

1 **Molecular portraits and trastuzumab responsiveness of estrogen**
2 **receptor-positive, progesterone receptor-positive, and HER2-positive**
3 **breast cancer**

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23 **Running head:** Molecular portraits of triple-positive breast cancer

24

1 **Abstract**

2 **Background.** Estrogen receptor-positive, progesterone receptor-positive, and
3 HER2-positive breast cancers (triple-positive breast cancers, TPBCs) account
4 for 5% to 10% of all breast cancers. The clinical and molecular features of
5 TPBCs remain elusive. In this study, we aim to analyze the multiomics
6 landscape and responsiveness of TPBCs to trastuzumab.

7 **Methods.** We employed five cohorts. The first cohort was from the Surveillance,
8 Epidemiology, and End Results database (n=32,056) and was used to
9 determine the clinical characteristics of TPBC. The second, third and fourth
10 cohorts were from The Cancer Genome Atlas (n=162), GSE2603 (n=37) and
11 GSE2109 (n=30) datasets, respectively, and were used to examine the
12 genomic features and molecular classification of TPBC. The fifth cohort
13 comprised TPBC patients treated at Fudan University Shanghai Cancer Center
14 (FUSCC, n=171) and was used to investigate an immunohistochemistry-
15 defined luminal A-like subgroup of TPBC.

16 **Results.** Patients with TPBC had a significantly better prognosis than those
17 with ER-PR-HER2+ breast cancer. Genomic analysis revealed that TPBCs
18 showed a lower *TP53* mutation rate (30% vs. 69%, $P < 0.001$) and lower levels
19 of HER2 mRNA and protein expression than ER-PR-HER2+ breast cancers.
20 More than 40% of TPBCs were classified as the luminal A intrinsic subtype, with
21 an even lower HER2 expression level. Based on the immunohistochemical
22 detection of CDCA8, BCL2 and STC2, we identified a luminal A-like subgroup

1 from TPBCs of the FUSCC cohort (CDCA8-negative, BCL2- and/or STC2-
2 positive). Patients with luminal A-like TPBC had a better prognosis and
3 benefited less from trastuzumab than those with TPBC of other subtypes.

4 **Conclusions.** TPBCs consist of clinically and genomically heterogeneous
5 subgroups that may require different therapeutic strategies. The luminal A-like
6 subgroup of TPBCs is associated with a better prognosis and reduced benefit
7 from trastuzumab.

8

9 **Key words:** triple-positive breast cancer; multiomics; molecular classification;
10 luminal A; trastuzumab

11

1 **Introduction**

2 Breast cancer is increasingly recognized as a heterogeneous disease that
3 exhibits substantial differences in terms of pathological features, biological
4 behavior and gene expression profiles. It is widely accepted that breast cancers
5 can be classified into four molecular subtypes (luminal A, luminal B, HER2-
6 enriched and basal-like) according to the gene expression patterns [1, 2]. In
7 clinical practice, a simplified classification based on the detection of estrogen
8 receptor (ER), progesterone receptor (PR), human epidermal growth factor
9 receptor 2 (HER2) and Ki67 by immunohistochemistry (IHC) and/or
10 fluorescence in situ hybridization has been adopted as a substitute [3]. The
11 classification results help guide treatment decisions.

12 Approximately 15-20% of breast cancers overexpress HER2, and nearly
13 half of these HER2-positive breast cancers also express hormone receptors
14 (HRs) [4, 5]. Previous retrospective studies reported a better prognosis for
15 HR+HER2+ breast cancers than for HR-HER2+ breast cancers [6]. However,
16 few studies have focused specifically on the clinical features and prognosis of
17 ER+PR+HER2+ breast cancers (triple-positive breast cancers, TPBCs). As for
18 treatment, although HER2-targeted therapy (e.g., trastuzumab) can improve
19 the prognosis of HER2-positive breast cancer patients regardless of HR status,
20 the benefit may be lower in HR+ patients than in HR- patients [7].

21 Compared with the surrogate IHC-based classification, the intrinsic
22 molecular classification based on gene expression profiling might better reveal

1 the molecular essence and indicate treatment sensitivity [8-10]. Although TPBC
2 was all categorized as the luminal B subtype according to the surrogate IHC
3 classification [3], it is heterogeneous according to the intrinsic molecular
4 classification. Previous studies have demonstrated that HR+HER2+ breast
5 cancers comprised at least luminal A, luminal B and HER2-enriched intrinsic
6 subtypes, and the intrinsic classification was associated with the sensitivity of
7 HER2-targeted therapy [11, 12]. Certain subgroups of TPBCs, such as luminal
8 A, may not be sensitive to HER2-targeted therapy.

9 In this study, we employed five well-characterized cohorts of breast cancer
10 patients to comprehensively study the clinical and molecular features of TPBC.
11 In addition, we developed and validated a clinically practical method based on
12 IHC to identify a luminal A-like subgroup of TPBC, which may benefit less from
13 trastuzumab.

14

1 **Methods**

2 **Study Cohorts**

3 Our study comprised five cohorts. The first cohort included 32,056 patients
4 with HER2-positive breast cancer identified from the Surveillance,
5 Epidemiology and End Results (SEER) database. We used this cohort to
6 examine the clinicopathologic features and prognoses of HER2-positive breast
7 cancers according to ER and PR status. The second cohort comprised 162
8 HER2-positive breast cancer patients identified from The Cancer Genome Atlas
9 (TCGA). Based on the somatic mutation, copy number, RNA-seq and reverse-
10 phase protein array (rppa) protein expression data, we unraveled the genomic
11 landscape and examined the HER2 expression level of HER2-positive breast
12 cancers according to ER and PR status. The third and fourth cohorts were from
13 two publicly available microarray datasets (GSE2603 and GSE2109), which
14 included 37 and 30 patients with TPBC, respectively. We used the TCGA cohort
15 and these two cohorts to study the intrinsic molecular classification of TPBC
16 and to identify the genes that can be used to identify the luminal A subgroup
17 from TPBC. The fifth cohort was a prospective observational cohort, which
18 included 171 consecutive TPBC patients treated at Fudan University Shanghai
19 Cancer Center (FUSCC) between 2007 and 2014.

20 Detailed information about our study cohort, bioinformatics and
21 immunohistochemical analysis methods can be found in the Supplementary
22 File.

23 **Statistical analysis**

24 Student's t test was used to compare differences in continuous variables,

1 while Pearson's chi-square test and Fisher's exact test were used to compare
2 differences in categorical variables. For multiple testing adjustment, a false
3 discovery rate was calculated using the R function "p.adjust". In the SEER and
4 TCGA cohorts, breast cancer-specific survival (BCSS) was defined as the
5 interval from diagnosis to death due to breast cancer. Overall survival (OS) was
6 defined as the interval from diagnosis to death from any cause. In the FUSCC
7 cohort, relapse-free survival (RFS) was defined as the time from diagnosis to
8 the first relapse, incidence of contralateral breast cancer, or death from any
9 cause. The survival curves were plotted using the Kaplan-Meier method, and
10 the survival differences between groups were compared using the log-rank test.
11 Multivariate survival analyses were performed using the Cox
12 proportional hazards model, and the results were reported as hazard ratios
13 (HRs) with 95% confidence intervals (CIs).

14 Statistical analyses were performed using R version 3.5.3 (R Foundation
15 for Statistical Computing, Vienna, Austria). All tests were two-sided, and a *P*
16 value < 0.05 was considered statistically significant.

17

1 **Results**

2 **Clinicopathologic features and prognosis of triple-positive breast**
3 **cancers**

4 We outlined the demographic, tumor, and treatment characteristics of
5 patients with HER2-positive breast cancers in the SEER cohort according to
6 ER and PR status (Table S1). TPBCs accounted for 50.8% of HER2-positive
7 breast cancers, while ER+PR-HER2+, ER-PR+HER2+ and ER-PR-HER2+
8 breast cancers accounted for 18.1%, 1.9% and 29.2%, respectively. Compared
9 with ER-PR-HER2+ patients (≥ 50 years, 69.1%), TPBC (≥ 50 years, 62.8%) or
10 ER-PR+HER2+ patients (≥ 50 years, 64.2%) tended to be younger, while
11 ER+PR-HER2+ patients (≥ 50 years, 74.7%) tended to be older. Tumors of
12 TPBC and ER+PR-HER2+ breast cancer were less frequently of a higher grade
13 (grade 3 or undifferentiated, 48.9% and 58.6%, respectively) than those of ER-
14 PR-HER2+ breast cancer (grade 3 or undifferentiated, 75.5%). The tumor size
15 of TPBC and ER+PR-HER2+ breast cancer was relatively smaller (T1, 52.8%
16 and 51.4%, respectively) than that of ER-PR-HER2+ breast cancer (T1, 46.6%).
17 Patients with TPBC or ER+PR-HER2+ breast cancer were less likely to be
18 diagnosed with node-positive disease (38.4% and 38.1%, respectively) than
19 those with ER-PR-HER2+ breast cancer (42.3%). In addition, the rate of
20 lumpectomy in patients with TPBC or ER+PR-HER2+ breast cancer was higher
21 (51.2% and 46.9%) than that in patients with ER-PR-HER2+ breast cancer
22 (42.7%).

1 We next compared the survival difference among the four groups.
2 Compared with patients with ER-PR-HER2+ breast cancer, those with TPBC or
3 ER+PR-HER2+ breast cancer showed significantly better BCSS and OS (all
4 log-rank $P < 0.001$) (Figure 1). After adjusting for patient age, race, T category,
5 N category, tumor grade and surgery type in multivariate analyses, TPBC
6 (BCSS, HR = 0.49, 95% CI: 0.43-0.57, $P < 0.001$; OS, HR = 0.67, 95% CI: 0.60-
7 0.76, $P = 0.001$) and ER+PR-HER2+ breast cancer (BCSS, HR = 0.79, 95% CI:
8 0.67-0.93, $P = 0.004$; OS, HR = 0.82, 95% CI: 0.72-0.94, $P = 0.005$) were still
9 associated with better BCSS and OS than ER-PR-HER2 breast cancer (Table
10 1). The survival difference between ER-PR+HER2+ breast cancer and ER-PR-
11 HER2+ breast cancer was not statistically significant in either univariate or
12 multivariate analysis.

13 In summary, according to ER and PR status, HER2-positive breast cancers
14 can be divided into four subgroups with different clinicopathologic features.
15 TPBCs and ER+PR-HER2+ breast cancers were associated with a better
16 prognosis than ER-PR-HER2+ breast cancers.

17 **Genomic analyses revealed a lower HER2 expression level in TPBCs than**
18 **in ER-PR-HER2+ breast cancers**

19 To provide deeper insight into the biological nature of TPBCs, we
20 investigated the genomic landscape of HER2-positive breast cancers according
21 to ER and PR status using the TCGA data. Whole-exome sequencing data were
22 available for 147 of the 162 HER2-positive breast cancers. Overall, 12,236

1 somatic mutations were identified, including 11,106 single-nucleotide variants
2 (SNVs) and 1,130 insertions or deletions (indels) (Figure 2A). TPBCs harbored
3 a median of 31.5 nonsynonymous somatic mutations per tumor, while ER+PR-
4 HER2+, ER-PR+HER2+ and ER-PR-HER2+ breast cancers harbored 50.5, 40
5 and 40.5 nonsynonymous somatic mutations per tumor, respectively. *TP53*
6 (40%) was the most frequently mutated gene, followed by *PIK3CA* (29%),
7 *MUC4* (10%), *MUC16* (7%) and *CDH1* (7%). Of interest, TPBCs showed a
8 significantly lower *TP53* mutation rate than ER-PR-HER2+ breast cancers (30%
9 vs. 69%, $P < 0.001$). In addition, *MUC16*, *GATA3* and *ERBB3* mutations were
10 strongly associated with the ER+PR-HER2+ phenotype (Figure 2B).

11 We next examined the somatic copy number alterations (CNAs) of reported
12 cancer-related genes (Figure 2C). *ERBB2* was the most frequently affected
13 gene by somatic CNAs (60%). Of note, TPBCs showed significantly lower rates
14 of *ERBB2* and *MYC* amplification than ER-PR-HER2+ breast cancers (*ERBB2*:
15 53% vs. 85%, $P = 0.001$; *MYC*: 24% vs. 47%, $P = 0.013$). The frequency of
16 *CCND1* amplification and *FANCA* loss was higher in TPBCs than in ER-PR-
17 HER2+ breast cancers (*CCND1*: 26% vs. 6%, $P = 0.013$; *FANCA*, 72% vs. 50%,
18 $P = 0.023$). In addition, ER+PR-HER2+ breast cancers also exhibited a lower
19 *ERBB2* amplification rate (59% vs. 85%, $P = 0.017$).

20 The different *ERBB2* amplification rates among the four groups inspired us
21 to concentrate on the HER2 expression levels of HER2-positive breast cancers
22 according to ER and PR status. We found that the *ERBB2* mRNA expression

1 was significantly lower in TPBCs than in ER-PR-HER2+ breast cancers
2 (Figures 3A). Besides, both total HER2 and phosphorylated HER2 levels were
3 significantly lower in TPBCs than in ER-PR-HER2+ breast cancers (Figures 3B-
4 3C). All these data suggested relatively low levels of HER2 expression in
5 TPBCs compared with ER-PR-HER2+ breast cancers.

6 In summary, genomic analyses revealed different molecular features of
7 TPBCs from ER-PR-HER2+ breast cancers. In particular, TPBCs showed lower
8 HER2 expression levels than ER-PR-HER2+ breast cancers.

9 **Intrinsic molecular classification of TPBCs**

10 Intrinsic molecular subtyping of breast cancer is essential for understanding
11 the biological features of this disease and for making treatment choices.
12 However, few studies have examined the intrinsic molecular subtypes and the
13 molecular essence of TPBC. Thus, we explored the distribution of PAM50
14 intrinsic subtypes of TPBC from the TCGA, GSE2603 and GSE2109 cohorts
15 (Figure 4A). Surprisingly, the luminal A intrinsic subtype accounted for more
16 than 40% of TPBCs in all three cohorts. The percentages of luminal A intrinsic
17 subtype in TPBCs (TCGA, 50.6%; GSE2603, 40.5%; GSE2109, 43.3%) were
18 much higher than those in ER+PR-HER2+ (TCGA, 16.0%; GSE2603, 15.4%;
19 GSE2109, 0%) and ER-PR-HER2+ (TCGA, 0%; GSE2603, 0%; GSE2109,
20 9.1%) breast cancers. Based on the intrinsic molecular classification results,
21 we further explored the HER2 expression levels in different molecular subtypes
22 using the TCGA data. The ERBB2 mRNA expression, total HER2 level and

1 phosphorylated HER2 level were significantly lower in the luminal A subtype
2 than in the other subtypes (Figure 4B).

3 We also compared the prognosis of TPBCs of the luminal A subtype and
4 the other subtypes using the TCGA cohort. We observed a tendency of better
5 DFS and OS in TPBC patients of the luminal A subtype than in those of the
6 other subtypes, but the difference did not reach statistical significance due to
7 the small sample size (DFS: log-rank $P = 0.107$, OS: log-rank $P = 0.088$; Figure
8 S2). The differences in clinicopathologic characteristics between the luminal A
9 subtype and the other subtypes were not significant (Table S2).

10 In summary, TPBCs comprised considerable luminal A intrinsic subtype
11 breast cancers, which may be associated with a better prognosis and a
12 relatively low HER2 expression level compared with the other intrinsic subtypes.

13 **Identification of luminal A-like subgroup TPBC and its clinical** 14 **implications**

15 The PAM50 intrinsic classification should be regarded as an important
16 reference to the prognostic evaluation and therapeutic decision-making in
17 patients with TPBC. We aimed to develop a clinically feasible method to identify
18 the luminal A subtype of TPBCs using IHC markers. We first identified the
19 differentially expressed genes between the luminal A subtype and the other
20 subtypes using the TCGA dataset. The identified genes were further filtered and
21 validated in the GSE2603 and GSE2109 datasets (Tables S3, S4). We next
22 tested the relationship between the mRNA expression and protein expression

1 of the remaining genes and retained those with a correlation coefficient of > 0.5 .
2 Finally, we conducted receiver operating characteristic (ROC) analysis to
3 assess the accuracy of using the mRNA expression of retained genes to identify
4 the luminal A subtype. According to the area under the curve (AUC), we
5 selected STC2, BCL2 and CDCA8 (Tables S5-S6) as the candidate
6 immunohistochemical markers. STC2 and BCL2 were highly expressed in the
7 luminal A subtype compared with the other subtypes, while CDCA8 was
8 expressed at low levels in the luminal A subtype (Figure 5A). A significant
9 positive correlation was observed between each gene's protein expression and
10 mRNA expression (Figure S3). The AUC of using BCL2 expression to identify
11 the luminal A subtype was 0.761 in TCGA, 0.758 in GSE2603 and 0.810 in
12 GSE2109. The AUC of using STC2 expression to identify the luminal A subtype
13 was 0.751 in TCGA, 0.739 in GSE2603 and 0.882 in GSE2109. The AUC of
14 using CDCA8 expression to identify the luminal A subtype was 0.918 in TCGA,
15 0.820 in GSE2603 and 0.955 in GSE2109 (Figure 5B). We also investigated
16 whether the expression of ESR1, PGR and ERBB2 could be used to identify
17 the luminal A subtype from TPBCs and found that the accuracy was far inferior
18 to that of our selected genes (Figure S4, S5).

19 Next, we validated the clinical implications of these three genes in the
20 FUSCC cohort by performing immunohistochemical detection to identify a
21 luminal A-like subgroup. According to the immunohistochemical staining results
22 of these three genes (Figure S6), we classified 171 TPBC tumors into the

1 luminal A-like group (n=59) and the non-luminal A-like group (n=112) (Table S7).
2 Tumors were classified into the luminal A-like group if they were CDCA8-
3 negative and positive for at least one of BCL2 and STC2, while those showing
4 other immunohistochemical staining results were placed into the non-luminal A-
5 like group. Patients with luminal A-like TPBC showed significantly better RFS
6 than those with non-luminal A-like TPBC (log-rank $P = 0.008$) (Figure 6A). In
7 the multivariate survival analysis, the luminal A-like group was still associated
8 with better relapse-free survival (HR = 0.33, 95% CI: 0.11-0.97, $P = 0.045$)
9 (Table S8).

10 Of note, in the non-luminal A-like group, patients treated with trastuzumab
11 showed significantly better RFS than those not treated with trastuzumab (log-
12 rank $P = 0.029$), while in the luminal A-like group, there was no difference in
13 RFS between patients treated with trastuzumab and those not treated with
14 trastuzumab (log-rank $P = 0.763$) (Figures 6B-6C, Figure S7).

15 In summary, we found that the mRNA expression of STC2, BCL2 and
16 CDCA8 can be used to identify the luminal A intrinsic subtype within TPBCs.
17 Based on this result, we developed an IHC-based method incorporating these
18 three genes to identify luminal A-like TPBCs and demonstrated that patients
19 with luminal A-like TPBC tended to have a better prognosis and benefited less
20 from trastuzumab therapy.

1 Discussion

2 In this study, we systemically studied the clinical and molecular features of
3 TPBCs. We demonstrated that patients with TPBC have a significantly better
4 prognosis than those with ER-PR-HER2+ breast cancers. We also found that
5 TPBCs exhibited a relatively low HER2 expression level compared with ER-PR-
6 HER2+ breast cancers. We further unraveled the intrinsic classification of TPBC
7 and found considerable luminal A subtype tumors that showed an even lower
8 HER2 expression level. Finally, we developed a practical method based on the
9 immunohistochemical detection of STC2, BCL2 and CDCA8 to identify a
10 luminal A-like subgroup from TPBCs that was associated with a relatively good
11 prognosis and reduced benefit from trastuzumab.

12 Compared with HER2-negative breast cancers, HER2-positive breast
13 cancers are more aggressive and have been associated with a poorer
14 prognosis before the administration of HER2-targeted therapy. HER2-positive
15 breast cancers can be further classified into ER+PR+HER2+, ER+PR-HER2+,
16 ER-PR+HER2+ and ER-PR-HER2+ breast cancers according to ER and PR
17 status. Taking advantage of the SEER database, we investigated the
18 clinicopathologic characteristics and prognoses of these four groups. We found
19 that compared with ER-PR-HER2+ breast cancers, TPBCs showed a lower
20 tumor stage and grade and were independently associated with longer BCSS
21 and OS. These results indicated that TPBCs were less aggressive than ER-PR-
22 HER2+ breast cancers.

1 We next examined the molecular features of TPBCs and compared them
2 with those of other HER2-positive subgroups. We revealed that TPBCs may
3 have different driver events from ER-PR-HER2+ breast cancers, including
4 lower *TP53* mutation rates, lower *ERBB2* amplification rates and higher *CCND1*
5 amplification rates. Among these events, we concentrated on *ERBB2*
6 amplification, which has been associated with tumor sensitivity to HER2-
7 targeted therapy [13]. We further compared the differences in HER2 mRNA and
8 protein expression between TPBCs and ER-PR-HER2+ breast cancers. All
9 these analyses suggested a lower HER2 expression level in TPBCs.

10 As a clinically defined entity, TPBC is heterogeneous in terms of its intrinsic
11 molecular subtypes. Previous studies have shown that nearly 30% of
12 HR+/HER2+ breast cancers were classified as the luminal A subtype according
13 to intrinsic molecular classification [12, 14]. By contrast, the luminal A intrinsic
14 subgroup accounted for more than 40% of the TPBCs in all three cohorts with
15 intrinsic molecular classification results in our study. These luminal A subtype
16 TPBCs showed even lower levels of HER2 mRNA and protein expression than
17 TPBCs of the other intrinsic subtypes. This result suggested that luminal A
18 subtype TPBCs might be driven primarily by HR signaling pathways rather than
19 the HER2 signaling pathway [5, 15]. In addition, patients with luminal A subtype
20 TPBC tended to have a better prognosis. Thus, we inferred that luminal A
21 intrinsic subtype TPBCs represent a special subgroup of HER2-positive breast
22 cancers with particularly low levels of HER2 expression and a favorable

1 prognosis. This subgroup of TPBCs might benefit less from HER2-targeted
2 therapy.

3 The identification of luminal A intrinsic subtype TPBCs may be essential to
4 guide individualized treatment of TPBC patients. By analyzing the gene
5 expression profiling data, we demonstrated that the mRNA expression of STC2,
6 BCL2 and CDCA8 can be used to identify the luminal A intrinsic subtype within
7 TPBCs. According to previous studies, both STC2 and BCL2 are estrogen-
8 responsive genes that are upregulated in luminal breast tumors and correlate
9 with a better prognosis [16-20]. CDCA8 is a critical regulator of mitosis and cell
10 division and is associated with cancer growth and progression [21]. All these
11 **three markers** have been detected by IHC in the previous studies [18, 22, 23].
12 We detected these **three markers** by IHC in 171 TPBCs from the FUSCC cohort
13 and identified a luminal A-like subgroup. Patients with luminal A-like TPBC had
14 a better prognosis and benefited less from adjuvant trastuzumab. These results
15 suggested that **it might be possible for some patients with luminal A-like TPBC**
16 **to be treated with de-escalated trastuzumab therapy**. Vici et al also explored
17 the efficacy of trastuzumab in TPBCs [24]. They found that increased
18 expression of ER was associated with reduced trastuzumab benefit and that
19 this benefit tended to disappear in patients whose tumors expressed ER in >
20 50% of cells. However, our data suggested that the accuracy of using ER
21 expression to identify the luminal A intrinsic subtype was far inferior to that of
22 our selected markers.

1 Our study has some limitations. First, we did not perform intrinsic molecular
2 subtyping of the TPBCs in the FUSCC cohort; therefore, we were unable to
3 examine the accuracy of our IHC-based method for the identification of the
4 luminal A intrinsic subtype. Nevertheless, based on the treatment and follow-up
5 data, we observed that patients with luminal A-like TPBC identified by our IHC-
6 based method had a relatively better prognosis and benefited less from
7 trastuzumab therapy. These results demonstrated the clinical implications of
8 our IHC-based method. Second, we were unable to obtain data on HER2-
9 targeted therapy from the SEER and TCGA datasets; therefore, we could not
10 directly compare the efficacy of HER2-targeted therapy between TPBC and
11 other HER2-positive subgroups or between TPBCs of the luminal A intrinsic
12 subtype and TPBCs of the other subtypes. **Third, since there are only a very**
13 **small number of patients in the FUSCC cohort who did not receive**
14 **chemotherapy due to old age, we are unable to analyze whether it is possible**
15 **for patients with luminal A-like TPBC to be treated with de-escalated**
16 **chemotherapy.**

17 In conclusion, compared with ER-PR-HER2+ breast cancers, TPBCs are
18 less aggressive and show **a lower HER2 expression level**. A considerable
19 proportion of TPBCs are luminal A intrinsic subtype breast cancers. Evaluating
20 the expression of STC2, BCL2 and CDCA8 via IHC can help identify a luminal
21 A-like subgroup from TPBCs, which has a relatively better prognosis and may
22 benefit less from trastuzumab therapy.

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24

1 **Abbreviations**

2 AUC: area under the curve; BCSS: breast-cancer-specific survival; CC:
3 correlation coefficient; CNA: copy number alteration; ER: estrogen receptor;
4 FUSCC: Fudan University Shanghai Cancer Center; HER2: human epidermal
5 growth factor receptor 2; IHC: immunohistochemistry; OS: overall survival; PR:
6 progesterone receptor; RFS: relapse-free survival; ROC: receiver operating
7 characteristic; SEER: Surveillance, Epidemiology, and End Results; TCGA: The
8 Cancer Genome Atlas; TPBC, triple-positive breast cancer.

9

10 **Competing interests**

11 The authors have declared that no competing interest exists.

12

13 **Ethics approval and consent to participate**

14 Our study was approved by the independent ethics committee/institutional
15 review board at FUSCC Ethical Committee. The data from the SEER, TCGA,
16 GSE2603, GSE2109 datasets are publicly available and therefore do not
17 require informed patient consent.

18

19 **Authors' contributions**

20 YZJ and ZMS outlined the manuscript; all authors contributed to the literature
21 search, data collection, data analysis, and data interpretation. SZ, XYL and XJ
22 provided the figures and drafted the manuscript, with additional input from all
23 authors. All authors approved the final manuscript. SZ, XYL and XJ contributed

1 equally to this work.

2

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18

1 **Table 1. Multivariate analyses of breast cancer-specific survival (BCSS)**
 2 **and overall survival (OS) using Cox proportional hazards models in the**
 3 **SEER cohort.**

| Variables | BCSS | | OS | |
|-------------------------|------------------|---------|------------------|---------|
| | HR (95% CI) | P | HR (95% CI) | P |
| Age at diagnosis | | | | |
| ≤ 50 years | Reference | – | Reference | – |
| > 50 years | 1.83 (1.59-2.10) | < 0.001 | 2.64 (2.32-3.01) | < 0.001 |
| Race | | | | |
| White | Reference | – | Reference | – |
| Black | 1.29 (1.10-1.52) | 0.002 | 1.15 (1.00-1.32) | 0.052 |
| Others | 0.56 (0.44-0.71) | < 0.001 | 0.58 (0.48-0.70) | < 0.001 |
| Grade | | | | |
| 1 or 2 | Reference | – | Reference | – |
| 3 or UD | 1.43 (1.24-1.65) | <0.001 | 1.23 (1.10-1.37) | < 0.001 |
| T category | | | | |
| T1 | Reference | – | Reference | – |
| T2-4 | 2.67 (2.27-3.13) | < 0.001 | 2.01 (1.79-2.26) | < 0.001 |
| N category | | | | |
| N0 | Reference | – | Reference | – |
| N1-3 | 2.63 (2.28-3.04) | < 0.001 | 1.75 (1.57-1.95) | < 0.001 |
| Subtype | | | | |
| ER-PR-HER2+ | Reference | – | Reference | – |
| ER-PR+HER2+ | 0.77 (0.51-1.17) | 0.222 | 0.88 (0.63-1.24) | 0.477 |
| ER+PR-HER2+ | 0.79 (0.67-0.93) | 0.004 | 0.82 (0.72-0.94) | 0.005 |
| ER+PR+HER2+ | 0.49 (0.43-0.57) | < 0.001 | 0.67 (0.60-0.76) | < 0.001 |
| Surgery | | | | |
| Lumpectomy | Reference | – | Reference | – |
| Mastectomy | 1.54 (1.34-1.78) | < 0.001 | 1.42 (1.27-1.58) | < 0.001 |

4 Abbreviations: BCSS, breast cancer-specific survival; OS, overall survival; HR,
 5 hazard ratio; CI, confidence interval; UD, undifferentiated.

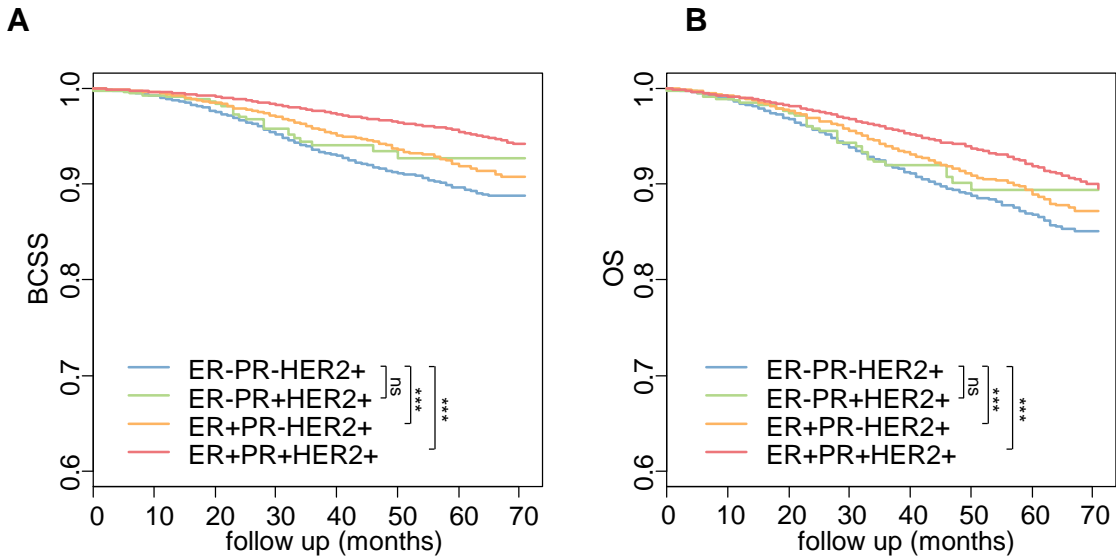


Figure 1 (A) BCSS and (B) OS of HER2-positive breast cancers according to ER and PR status.

P values were calculated using the log-rank test. ***, $P < 0.001$; **, $P < 0.01$; *, $P < 0.05$; ns, not significant.

Abbreviations: BCSS, breast cancer-specific survival; OS, overall survival.

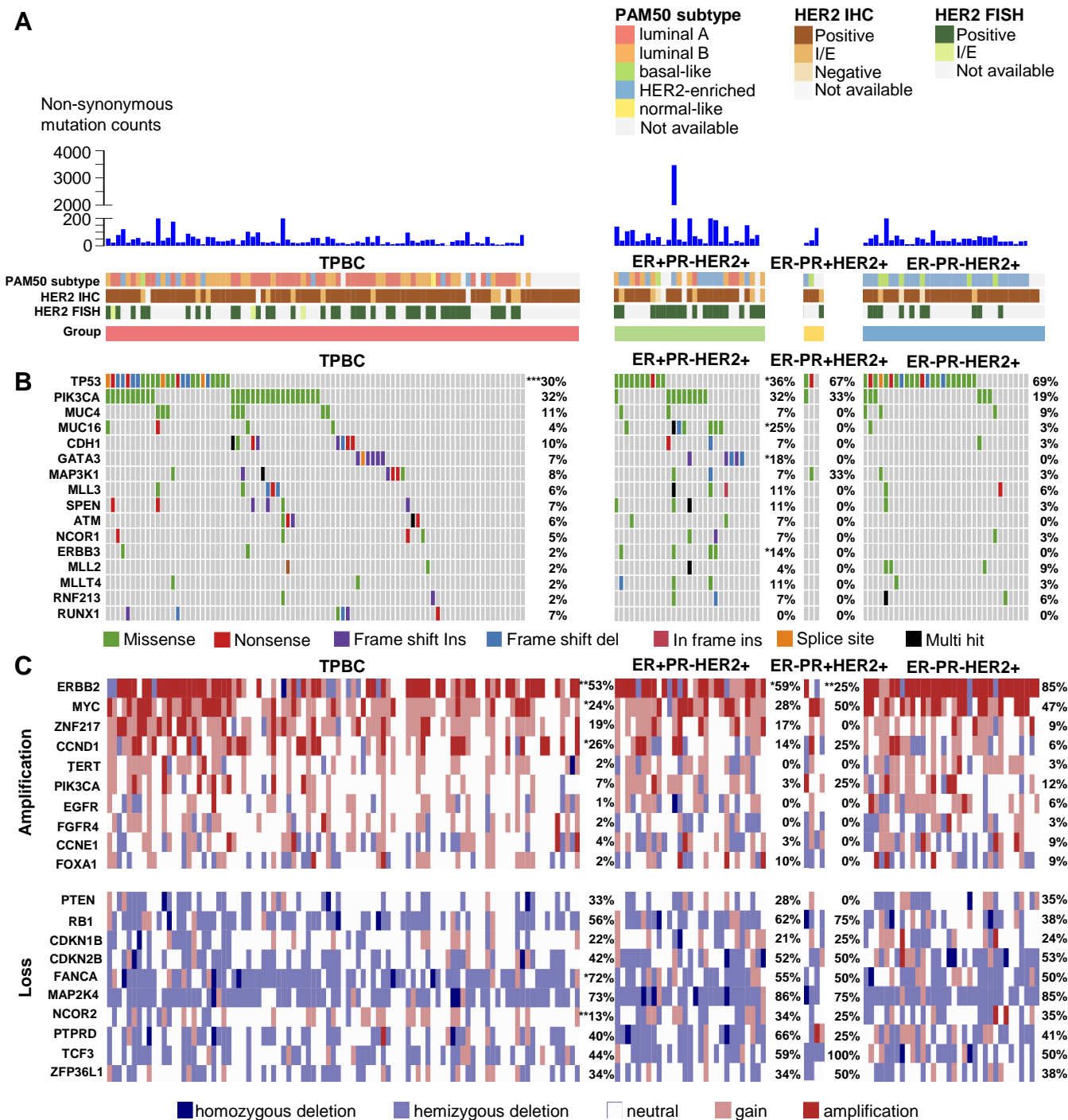


Figure 2. The genomic landscape of HER2-positive breast cancers from the TCGA dataset according to ER and PR status.

(A) 162 HER2-positive samples are classified into four groups according to the IHC-based ER and PR status. Clinical and molecular features are annotated below. The mutation data are available for 147 of 162 HER2-positive cases.

(B) Known cancer-related genes mutated in at least 4% of the patients with

mutation data. The non-synonymous mutation rates of these genes in each group are listed on the right.

(C) Known cancer-related genes located in significant GISTIC 2.0 peaks with a q value < 0.05 (The CNA events are defined according to the discrete copy number calls provided by GISTIC 2.0: -2 = homozygous deletion; -1 = hemizygous deletion; 0 = neutral; 1 = gain; 2 = amplification). Homozygous and hemizygous deletion are collectively called gene loss. The amplification or loss rates of these genes in each subgroup are listed on the right.

Differences in the rates of gene mutation, amplification and loss are compared between ER-PR-HER+ subgroup and each of the other three subgroups. P values are calculated using the chi-square test or Fisher's exact test. ***, $P < 0.001$; **, $P < 0.01$; *, $P < 0.05$.

Abbreviations: I/E, Indeterminate or Equivocal; TPBC, triple-positive breast cancer; IHC, immunohistochemistry; FISH, fluorescence in situ hybridization.

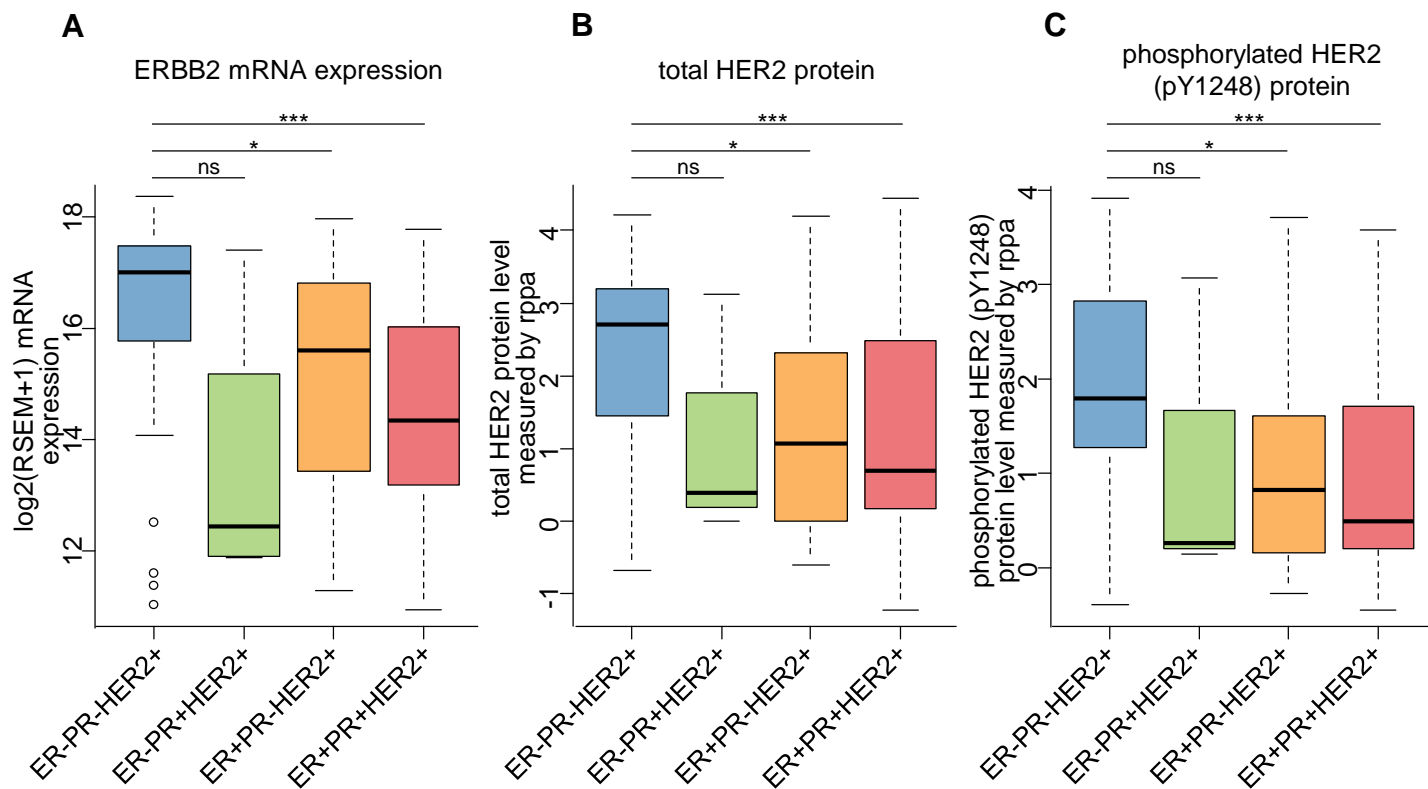


Figure 3. Low levels of HER2 expression and activation in TPBC compared with ER-PR-HER2+ breast cancers.

(A) ERBB2 mRNA expression in HER2-positive breast cancers according to ER and PR status.

(B) Total HER2 protein levels in HER2-positive breast cancers according to ER and PR status.

(C) Phosphorylated HER2 (pY1248) protein levels in HER2-positive breast cancers according to ER and PR status.

P values were calculated using Student's *t* test. ***, *P* < 0.001; **, *P* < 0.01; *, *P* < 0.05; ns, not significant.

Abbreviation: TPBC, triple-positive breast cancer; rppa, reverse-phase protein array.

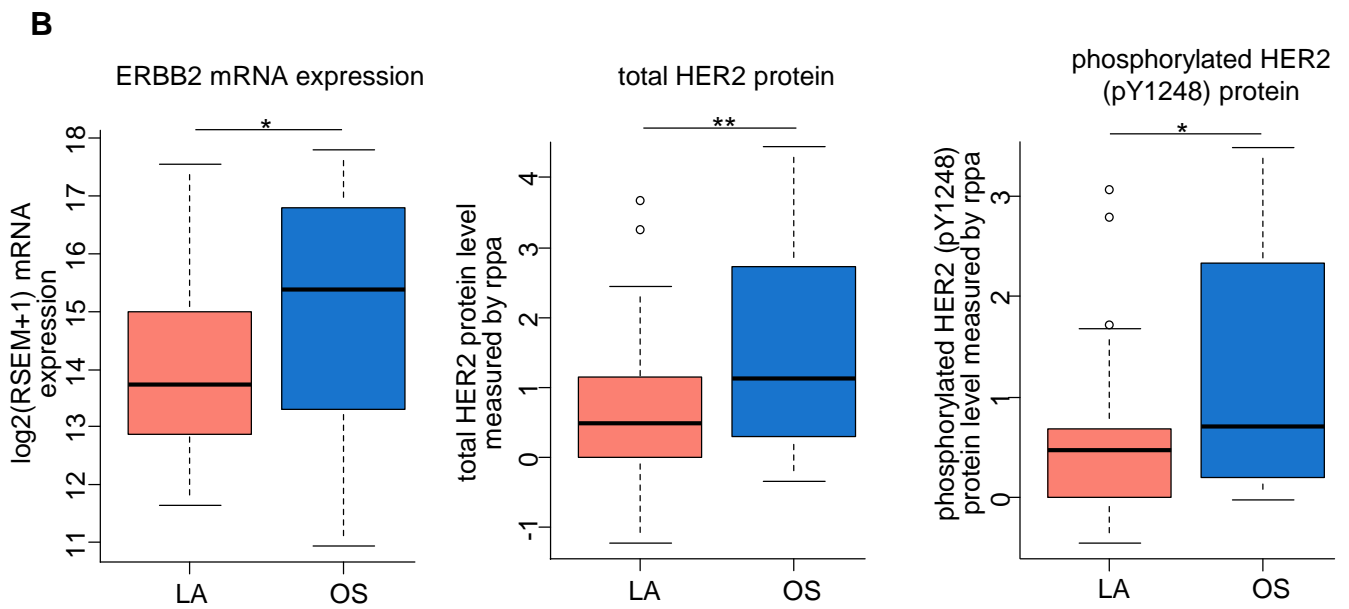
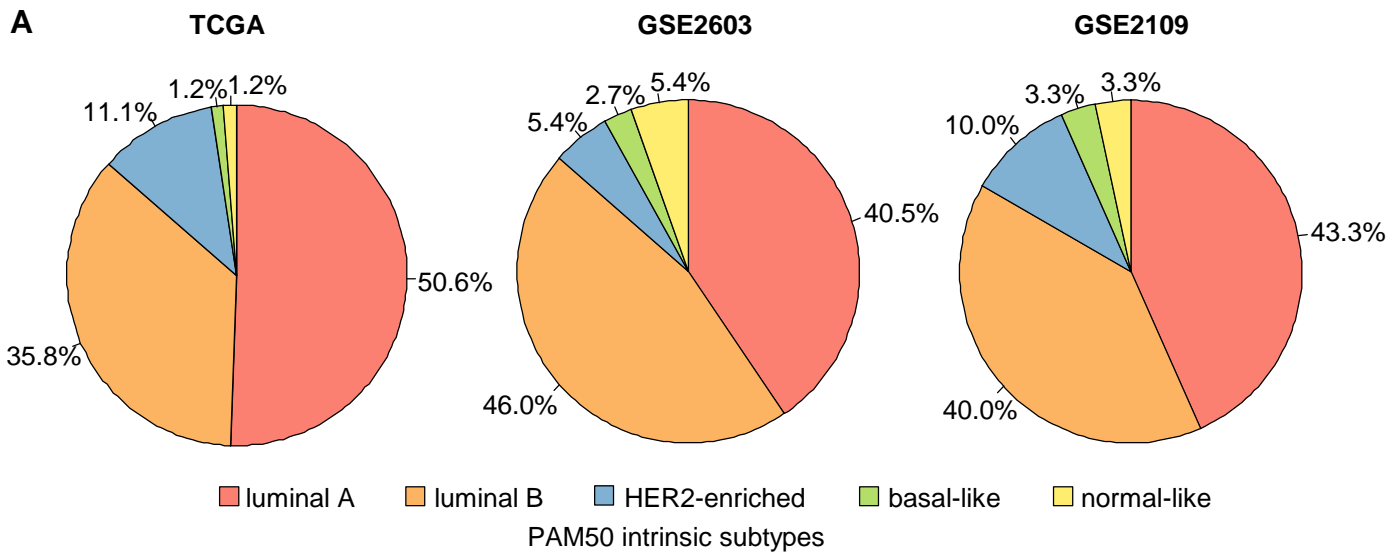


Figure 4. Subtyping of TPBCs according to PAM50 intrinsic classification.

(A) PAM50 intrinsic classification of TPBCs from the TCGA, GSE2603 and GSE2109 datasets.

(B) Low HER2 expression level of the luminal A subtype among TPBCs.

P values were calculated using Student's *t* test. ***, *P* < 0.001; **, *P* < 0.01; *, *P* < 0.05.

Abbreviations: TPBC, triple-positive breast cancer; LA, luminal A; OS, other subtypes; rppa, reverse-phase protein array.

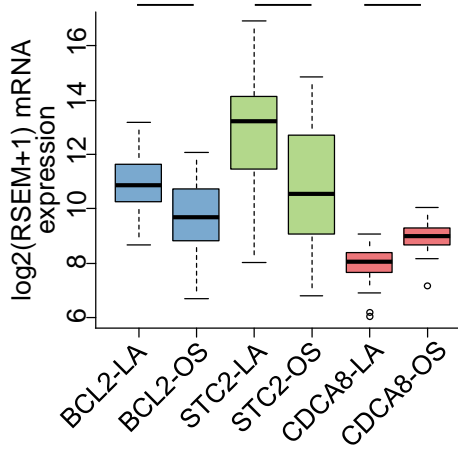
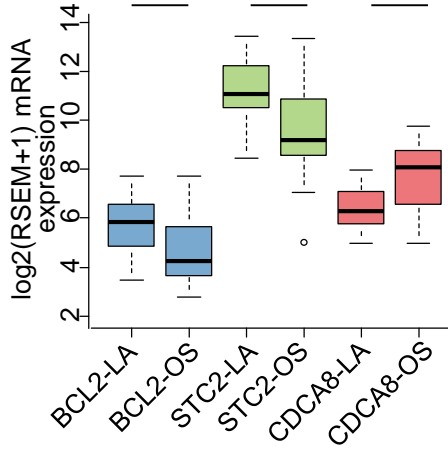
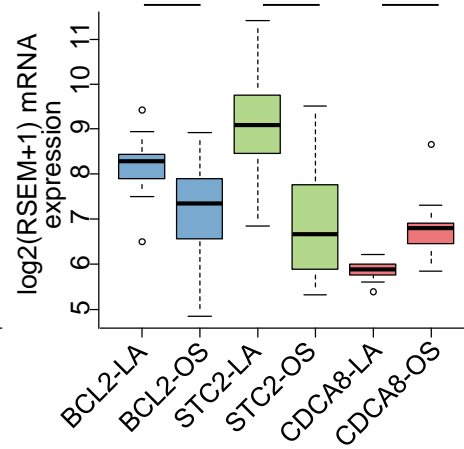
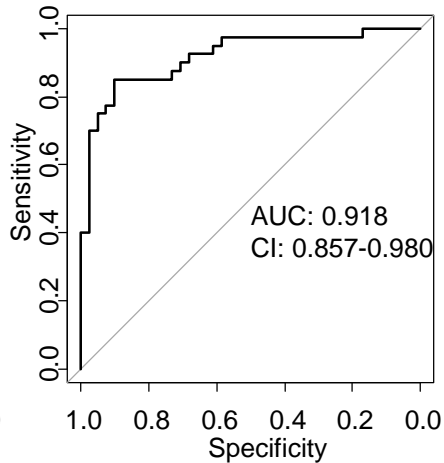
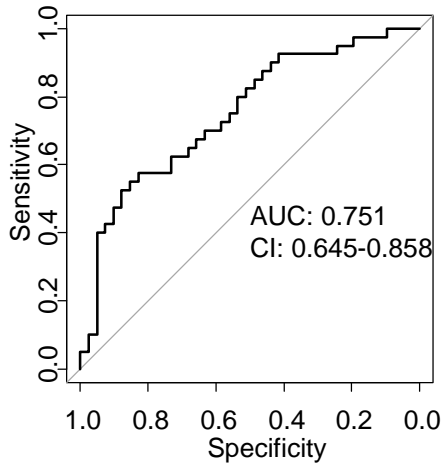
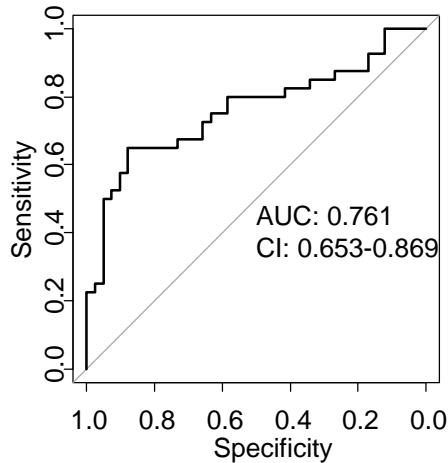
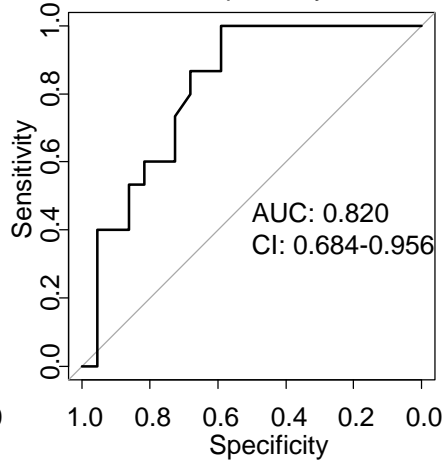
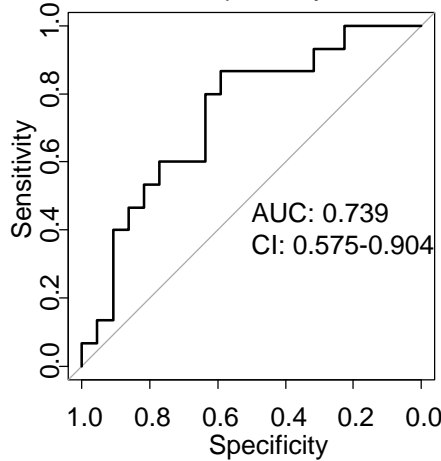
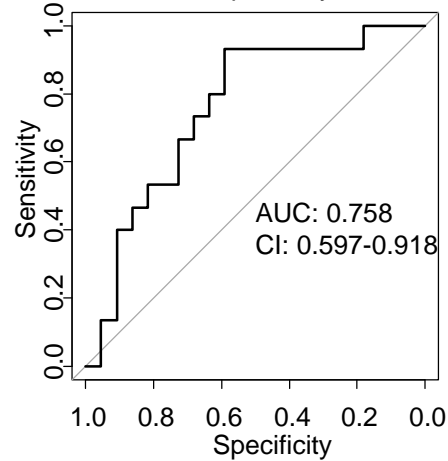
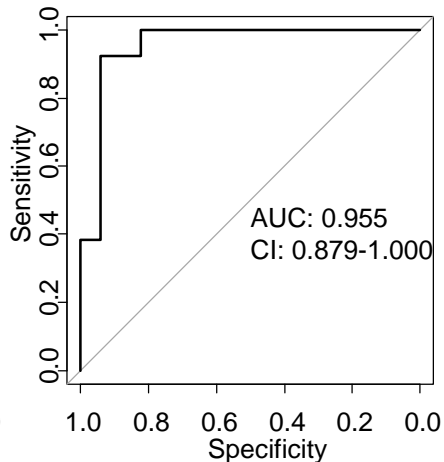
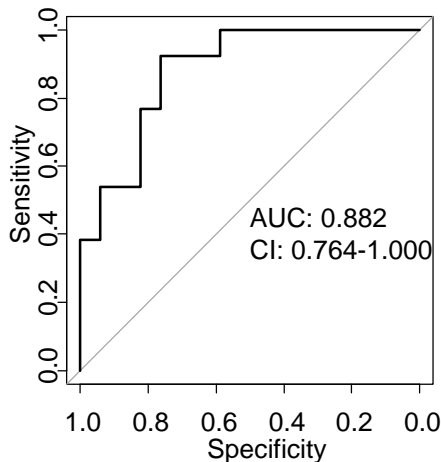
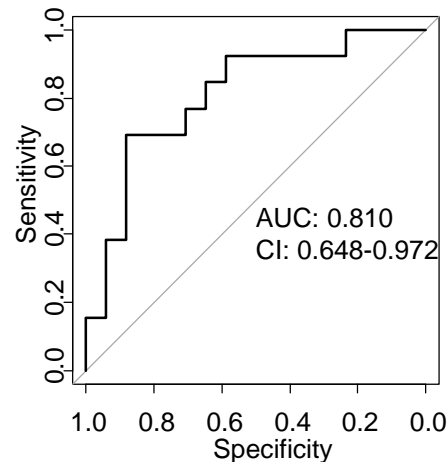
A**TCGA****GSE2603****GSE2109****B****BCL2****STC2****CDCA8****TCGA****GSE2603****GSE2109**

Figure 5. Identification of the luminal A subgroup from TPBCs by the mRNA expression of BCL2, STC and CDCA8.

(A) Expression of BCL2, STC and CDCA8 between TPBCs of the luminal A subtype and those of the other subtypes in the TCGA, GSE2603 and GSE2109 datasets.

P values were calculated using Student's *t* test. ***, *P* < 0.001; **, *P* < 0.01; *, *P* < 0.05.

(B) ROC curves of using the mRNA expression of BCL2, STC2 and CDCA8 to identify the luminal A subgroup from TPBCs.

Abbreviations: TPBC, triple-positive breast cancer; LA, luminal A; OS, other subtypes; ROC, receiver operating characteristic; AUC, area under the curve; CI, confidence interval.

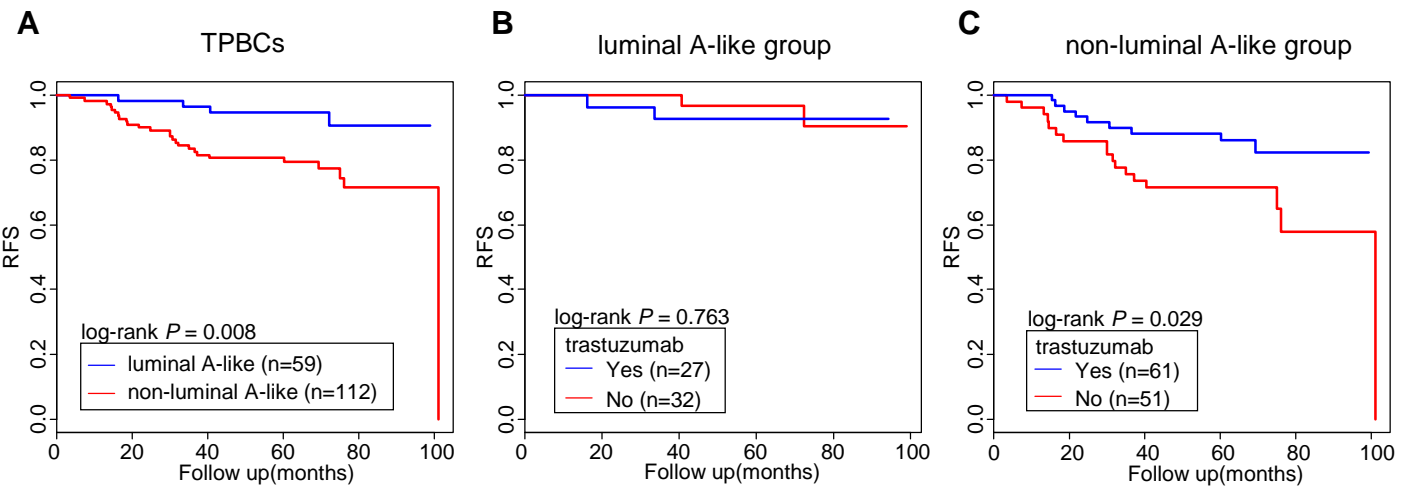


Figure 6. Clinical implications of luminal A-like TPBCs.

(A) Difference in relapse-free survival between luminal A-like and non-luminal A-like TPBCs.

(B) Comparison of relapse-free survival between patients treated with trastuzumab and those not treated with trastuzumab in the luminal A-like group.

(C) Comparison of relapse-free survival between patients treated with trastuzumab and those not treated with trastuzumab in the non-luminal A-like group.

P values were calculated using the log-rank test.

Abbreviations: TPBC, triple-positive breast cancer; RFS, relapse-free survival.