

1 **Distinct nuclear receptor expression in stroma adjacent to breast tumors**

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24 **Abstract**

25 The interaction between breast tumor epithelial and stromal cells is vital for initial and recurrent
26 tumor growth. While breast cancer associated stromal cells provide a favourable environment for
27 proliferation and metastasis, the molecular mechanisms contributing to this process are not fully
28 understood. Nuclear receptors (NRs) are intracellular transcription factors that directly regulate gene
29 expression. Little is known about the status of NRs in cancer-associated stroma.

30 Nuclear Receptor Low Density Taqman Arrays were used to compare the gene expression profiles of
31 all 48 nuclear receptor family members in a collection of primary cultured cancer-associated
32 fibroblasts (CAFs) obtained from estrogen receptor (ER) α positive breast cancers (n=9) and normal
33 breast adipose fibroblasts (NAFs) (n=7). Thirty-three of 48 NRs were expressed in both groups, while
34 11 NRs were not detected in either. Three NRs (dosage-sensitive sex reversal, adrenal hypoplasia
35 critical region, on chromosome X, gene 1 (*DAX-1*); estrogen-related receptor beta (*ERR- β*); and RAR-
36 related orphan receptor beta (*ROR- β*)) were only detected in NAFs, whilst one NR (liver receptor
37 homolog-1 (*LRH-1*)) was unique to CAFs. Of the NRs co-expressed, four were significantly down-
38 regulated in CAFs compared to NAFs (RAR-related orphan receptor- α (*ROR- α*); Thyroid hormone
39 receptor- β (*TR- β*); vitamin D receptor (*VDR*); and peroxisome proliferator-activated receptor- γ
40 (*PPAR- γ*)). Quantitative immunohistochemistry for LRH-1, TR- β and PPAR- γ proteins in stromal
41 fibroblasts from an independent panel of breast cancers (ER-positive (n=15), ER-negative (n=15),
42 normal (n=14)) positively correlated with mRNA expression profiles.

43 The differentially expressed NRs identified in tumor stroma are key mediators in aromatase regulation
44 and subsequent estrogen production. Our findings reveal a distinct pattern of NR expression that
45 therefore fits with a sustained and increased local estrogen microenvironment in ER-positive tumors.

46 NRs in CAFs may provide a new avenue for the development of intratumoral-targeted therapies in
47 breast cancer.

48 **Keywords:** nuclear receptors, breast cancer, stroma, aromatase, oestrogen, tumor microenvironment

49 **1. Introduction**

50 Tumor epithelial and stromal cell interaction is vital for initial and recurrent breast cancer
51 growth. The stromal environment consisting of fibroblasts, endothelial and immune cells, plays a
52 critical function not only in normal mammary gland morphogenesis but also provides the ideal
53 microenvironment for tumor growth (reviewed in [1, 2]). Key initiating events in the formation of
54 tumors include the active recruitment, by oncogenic precursor tumor cells, of stromal cell types such
55 as endothelial cells and macrophages, all of which induce the required adaptive changes to the
56 microenvironment [3]. While the stroma provides a scaffold for the breast, it also regulates epithelial
57 cell function through paracrine, physical and hormonal exchanges.

58 Tumor growth is supported by the adjacent stromal tissue comprising mainly of fibroblasts
59 (termed cancer-associated fibroblasts, CAFs) via production of hormones such as estrogens [4, 5] and
60 inflammatory cytokines such as interleukin 6 (IL-6) and stromal cell-derived factor 1 α (CXCL12) [6],
61 growth factors such as Transforming Growth Factor β (TGF β) [7] and the extracellular matrix
62 remodelling enzymes such as the matrix metalloproteinases- 1 and -7 [8]. CAFs behave similarly to
63 wound repair fibroblasts that increase epithelial growth through the secretion of cytokines, growth and
64 extracellular matrix factors [9, 10]. However, unlike wound-healing fibroblasts, CAFs remain
65 activated not undergoing quiescence or apoptosis, as seen during wound closure [11].

66 For the majority of breast cancers, tumor growth is initiated in the epithelial compartment and
67 is confined to the ducts (ductal carcinoma *in situ*, DCIS) but as the ductal layer breaks down, invasion
68 of epithelial cells occurs (invasive ductal carcinoma, IDC). During these processes, the stroma
69 through cell-cell and cell-microenvironment interactions regulates proliferation, survival, polarity,
70 differentiation and invasive capacity of epithelial cells [1, 3, 12, 13]. The importance of stroma in
71 tumor growth has been functionally demonstrated in animal models. For example, the targeted over-

72 expression of matrix metalloproteinase 3/ stromelysin-1 in the stroma promoted mammary
73 tumorigenesis [14] and irradiation of the mammary stroma induced tumor growth more rapidly
74 compared with non-irradiated tissue [15]. Among the stromal cells, the fibroblasts are known to have
75 a prominent role in tumor progression. The understanding of the gene networks and pathways
76 mediated by the neoplastic stroma or CAFs is poorly understood.

77 Nuclear receptors (NRs) are intracellular transcription factors that directly regulate gene
78 expression in response to endocrine hormones and/or lipophilic molecules. Together, NRs affect a
79 wide variety of functions, including development, cholesterol homeostasis, steroidogenesis,
80 reproductive function and metabolism. They are also critically involved in various cancers, in
81 particular breast cancer [16, 17]. This is highlighted by a recent study that discriminates the
82 prognostic value of NRs in breast cancer and identifies novel, clinically relevant, NR signatures [17].
83 To date, NR expression in stroma has not been specifically addressed.

84 At the cellular level, NRs regulate proliferation, differentiation and apoptosis mainly via the
85 transcriptional regulation of target gene expression and as major points of convergence of multiple
86 signal transduction pathways. Many of the NRs act as ligand-inducible transcription factors,
87 responding to endogenous and exogenous hormones. There is a distinct subset of NRs that do not
88 have identifiable ligands and are termed orphan NRs. As such, these orphan NRs provide an important
89 avenue for the discovery of novel interacting compounds, with potential impact on many disease
90 outcomes [18, 19]. NRs such as ER α and PR are currently the most important clinical indicators of
91 breast tumor type and stage, response to treatment and prognosis. In addition, data from ER α and PR
92 knockout mouse models demonstrate the functional significance, in particular, of stromal PR in
93 normal mammary gland development [20, 21].

94 The NR superfamily comprises of 48 different receptors [22]. Little is known regarding the
95 expression of the majority of these NRs in either normal breast stroma or CAFs. We therefore profiled
96 the expression of these forty-eight NRs in breast CAFs obtained from 9 patients with ER α -positive
97 tumors and compared these to breast adipose fibroblasts (NAFs) derived from normal control

98 subjects. We identified four NRs to be significantly down-regulated in CAFs compared to NAFs:
99 *ROR- α* , *TR- β* , *VDR* and *PPAR- γ* . The NRs *DAX-1*, *ERR- β* and *ROR- β* were only detected in NAFs
100 while *LRH-1* was detected only in CAFs. Protein expression levels for LRH-1, TR- β , and PPAR- γ in
101 stromal fibroblasts was confirmed by immunohistochemistry using a larger independent panel of
102 normal and malignant breast tissues. These results identify novel NR targets in CAFs, suggesting
103 these may play important roles in mediating interactions between epithelial and stromal cells within
104 the tumor microenvironment.

105 **2. Materials and Methods**

106 **2.1 Patient Information and cell culture**

107 The patient sample group used for TaqMan Low-Density Arrays comprised of women with ER α
108 positive breast tumors (n=9) (Table 1). Primary CAFs were obtained from breast tissue by either
109 centrifugation or cell sorting methodologies as previously described [23, 24]. Clinical details of the
110 patients, tumor type, source and isolation method are summarized in Table 1. As controls, NAFs
111 (n=7) were either obtained from adjacent nonpathological breast tissues (outlined in Table 1) or from
112 women undergoing reduction mammoplasty. Subcutaneous adipose tissue was obtained from cancer-
113 free women at the time of reduction mammoplasty approved by the Southern Health Human Ethics
114 Research Committee at Prince Henry's Institute. Breast tumor specimens were obtained from either
115 Japanese female patients at Tohoku University Hospital and Tohoku Kosai Hospital (Tohoku
116 University School of Medicine and Tohoku Kosai Hospital approved the research protocols (2004-
117 144, 2005-068, and 2006-042, respectively)) or the Victorian Cancer Biobank (with approval from the
118 Human Research Ethics Committees of The Walter and Eliza Hall Institute of Medical Research and
119 Melbourne Health) (Table 1). The histological grade of each specimen was independently evaluated.
120 Informed consent was obtained from these patients before surgery in each institution. All fibroblast
121 cell lines, irrelevant of their source, were maintained in DMEM/F12 growth media supplemented with
122 15% fetal calf serum and antibiotics as previously described [25, 26]. Validation of NAF and CAF
123 sample groups was performed through the use of the established CAF cell marker Stromal Derived

124 Factor 1 (*SDF1*) [27]. Significant increases in *SDF-1* mRNA levels were detected in CAFs compared
125 to NAFs in line with previous findings [27, 28] (Supplementary Figure 1).

126 For immunohistochemical studies, formalin-fixed paraffin-embedded tissue sections of breast cancer
127 and normal breast tissues were obtained from the Australian Breast Cancer Tissue Bank (abctb.org.au)
128 and the Victorian Cancer BioBank (viccancerbiobank.org.au). Tissue sections of normal breast tissue
129 biopsies were obtained from the Susan G. Komen for the Cure Tissue Bank at the IU Simon Cancer
130 Center. Normal tissues were from women with no known history of breast disease and were collected
131 following reduction mammoplasty or from volunteers who donated normal breast tissue biopsies.
132 Breast cancer cases were primary invasive ductal carcinomas, with known hormone receptor status,
133 tumour grade and age at diagnosis. The characteristics of the patient group are described in Table 2.
134 All tissues were obtained with informed consent from donors, and the use of tissues received approval
135 from the human research ethics committees of the participating institutions.

136 **2.2 RNA isolation and QPCR**

137 Total RNA was isolated using the RNeasy Kit according to manufacturers' instructions (Qiagen
138 Australia), DNase (Ambion) treated to remove contaminating DNA. Reverse transcription of 1.5 µg
139 of total RNA was performed using random hexamers and SuperScript III reverse transcriptase
140 (Invitrogen). To perform quantitative real time pCR, we used TaqMan Low-Density Array (TLDA)
141 micro-fluidic cards (Applied Biosystems, Catalog no. 4379961) which contain custom designed
142 primers for 48 human NRs and 16 control genes. PCR was performed on the ABI 7900HT Real-Time
143 instrument. Briefly, a total of 100 µl reaction mixture with 50 µl cDNA template (330 ng) and an
144 equal volume of TaqMan[®] universal master mix (Applied Biosystems) was added to each line of
145 TLDA reservoir. PCR conditions were as follows: 2 min at 50°C, 10 min at 94.5°C and 30 s at 97°C,
146 and 1 min at 59.7°C for 40 cycles. Validation of CAF cells was performed using qRT-PCR primers
147 for *SDF-1* Fwd 5'-CTC AAC ACT CCA AAC TGT GCC C and Rev 5'-CTC CAG GTA CTC CTG
148 AAT CCA C; β -actin Fwd 5'-TGC GTG ACA TTG CGT GAC ATT AAG GAG AAG-3' and Rev 5'-
149 GCT CGT AGC TCT TCT CCA in PCR conditions as described above.

150

151 **2.3 Data Analysis**

152 Data analysis and normalisation to control gene expression was performed with the ABI StatMiner
153 Software as per manufacturers' instructions and detailed methods previously published [29]. The
154 geNorm software (Applied Biosystems) analysis used to select the most stable endogenous controls
155 for data normalisation. The threshold cycle Ct was automatically given by SDS2.2 software package
156 (Applied Biosystems). A Ct >35 was deemed as transcript not detected. Relative quantities (RQ) were
157 determined using the equation: $RQ = 2^{-\Delta\Delta Ct}$. Data is expressed as mean \pm SD. Wilcoxon Non-
158 Parametric test was utilised for statistical analysis and a $P < 0.05$ was considered significant.

159 **2.4 Immunohistochemistry**

160 Immunoperoxidase staining was performed using anti-LRH-1 (NR5A2) rabbit polyclonal (Sigma-
161 Aldrich, Castle Hill, Australia), anti-PPAR- γ mouse monoclonal (Santa Cruz Biotechnology, CA,
162 USA) and anti-TR- β mouse monoclonal (Thermo-Fisher Scientific, North Ryde, Australia)
163 antibodies. Tissues were first heat treated under pressure in citrate buffer, as described previously
164 [30], to reveal epitopes. Primary antibody incubations were performed at 4°C, overnight, either in
165 phosphate buffered saline (pH7.5) containing 0.5% Triton X-100 (PPAR- γ and TR- β) or using
166 Ultravision polymer reagents (LRH-1) as described by the manufacturer (Thermo-Fisher Scientific).
167 Primary antibody binding was revealed by subsequent incubation 30 minutes at room temperature
168 with biotinylated goat secondary antibodies (Dako Australia, Botany, Australia), then one hour, room
169 temperature incubation with streptavidin-horseradish peroxidase conjugate (Dako Australia), followed
170 by colour development with diaminobenzidine substrate solution (Dako Australia). Stained sections
171 were scanned using a Hamamatsu Nanozoomer digital slide scanner. Staining was scored using a
172 three level intensity score and normalizing to percent positive detection as previously described [31].
173 Results were independently reviewed by two additional investigators who validated the original
174 scoring result. All three observers were experienced researchers with substantial expertise in breast
175 tissue pathology and immunohistochemistry.

176 3. Results

177 To assess the relative expression profiles of NRs in breast stromal cells we utilised Low Density
178 Taqman Arrays that detect all 48 NR family members along with 16 internal control genes. Of the 48
179 NRs, 11 NRs were not detected in either group, while 36 were expressed in the groups of NAFs
180 compared to 34 in the CAF group (Figure 1, Figure 2 and Table 3). When grouped based on their sub-
181 family classifications, both the NAF and CAFs exhibited similar NR expression profiles for endocrine
182 (11 of 12) and adopted orphan (8 of 11) NRs. In contrast, the expression profile of orphan NRs
183 differed between the two study groups. In the NAF samples, 17 of the total 25 orphan NRs were
184 expressed while in the CAF samples 15 were detected out of the 25 orphan NRs (Table 3). The three
185 orphan NRs that were exclusively detected in NAF samples included *DAX-1*, *ERR-β* and *ROR-β*
186 (Figure 1). Interestingly, the expression of the orphan receptor *LRH-1* was detected exclusively in
187 CAF samples (Figure 1). Eleven NRs were consistently not detected in either group - *CAR*, *ER-β*,
188 *ERR-γ*, *FXR*, *HNF4α*, *PNR*, *ROR-γ*, *RXR-γ*, *SF-1*, *SHP* and *TLX* (Figure 2).

189 Thirty-three NRs were found to be expressed in both NAF and CAF sample groups (Figure 1). The
190 relative expression of these NRs detected in both groups varied greatly, ranging from the highly
191 expressed *GR*, *COUP-TF2* and *LXR-β* NRs to those at very low levels such as *ER-α* or *HNF4-γ*
192 (Figure 2). Despite this, variance in expression patterns of NRs between patient samples was
193 strikingly low. As described above, we identified four orphan NRs that had a defined expression
194 detected in only NAFs (*DAX-1*, *ERR-β* and *ROR-β*) or CAFs (*LRH-1*). Of the 33 NRs detected in both
195 groups, we identified four NRs that showed significant differences in expression between groups.
196 Significantly down-regulated in CAFs compared to NAFs were the endocrine NRs *TR-β* and *VDR*; the
197 adopted orphan NR *PPAR-γ*, and the orphan NR *ROR-α* (Figure 3).

198 With the exception of *VDR* and *ROR-α*, mRNA levels of those NRs identified as having a differential
199 expression pattern between normal and tumor stromal cells was relatively low in comparison to the
200 majority of NRs expressed in either group. To confirm mRNA expression profiles correlated to those
201 of protein, quantitative immunohistochemistry was performed on three differentially expressed NRs

202 identified by Taqman Arrays - LRH-1, TR- β and PPAR- γ (Figure 4). A larger independent panel of
203 IDC breast cancers was used for the analysis (ER-positive (n=15), ER-negative (n=15), normal
204 (n=14)) (Table 2). ER-negative samples were used in this instance to determine if changes in NR
205 expression levels were related to ER-status. Immunohistochemical analysis of the NRs in stromal
206 fibroblasts correlated to those identified at the mRNA level. In comparison to normal tissue, both TR-
207 β and PPAR- γ stromal staining was significantly reduced in ER-positive tumors (Figure 4B).
208 Similarly in ER-negative tumors, both TR- β and PPAR- γ levels were reduced compared to normal;
209 however the difference in staining was only significant for PPAR- γ (Figure 4B). Independent of ER-
210 status, PPAR- γ stromal staining was significantly less in the tumor samples compared to normal; and
211 while close to being statistically significant ($p=0.053$), TR- β levels were also reduced compared to
212 normal tissue regardless of ER-status. Conversely, LRH-1 stromal staining was significantly elevated
213 in both ER-positive and ER-negative tumors, a process also independent on ER-status (Figure 4B).

214 In summary, analysis of breast stromal fibroblasts indicates a predominantly (5 out of 8) altered
215 pattern of expression of orphan NRs between normal and tumour. Four of these orphan NRs (*DAX-1*,
216 *ERR- β* , *ROR- β* and *LRH-1*) are restricted to either sample group. Interestingly, four of thirty-three co-
217 expressed NRs were significantly down-regulated in CAFs; these include *TR- β* , *VDR*, *PPAR- γ* , and
218 *ROR- α* . An increase in LRH-1 was observed in CAFs compared to NAFs. This reflected the
219 observation that although LRH-1 was detected in a subset of NAFs in most tissues, the percent
220 positivity of LRH-1 expression in CAFs was markedly higher leading to the statistically significant
221 difference observed. Correlation of the protein levels of LRH-1, TR- β and PPAR- γ in an independent
222 breast cancer sample group shows consistency to NR array data. Collectively, our data suggests that
223 differential expression of these nuclear receptors in ER-positive and ER-negative stroma adjacent to a
224 tumour may be an important facet of tumour progression.

225 **4. Discussion**

226 Cancer-associated fibroblasts form a heterogeneous population either in response to tumour
227 heterogeneity and/or differences in origin of cell types [32, 33, 34]. This altered stromal environment

228 that consists of fibroblasts, endothelial and immune cells has significant impact on tumour growth.
229 However what gene networks and pathways contribute to transforming the preneoplastic and cancer-
230 associated fibroblasts are poorly understood. Majority of work characterizing CAFs has focused on
231 alterations to ECM proteins [35], which describe the “activated fibroblast” phenotype [36], secretion
232 of factors such as TGFB and SDF-1 [6] and aromatase production [4, 5]. Our study is the first focused
233 investigation into expression profiles of nuclear receptors in tumor adjacent stroma in ER-positive
234 breast cancers.

235 Among the similarities, eleven NRs were consistently not detected in either NAFs or CAF
236 samples. Of these, similar results were found for *SHP*, *HNF4 α* , *TLX*, *FXR*, *CAR* and *SF-1* in a larger
237 NR profiling study that used whole normal, ER-negative and ER-positive breast tumor tissue [17].
238 The absence of *PR*, *ROR- γ* and *RXR- γ* expression in the breast stroma had previously not been
239 demonstrated, however the lack of *ER- β* and *ERR- γ* expression is in contrast to previous observations
240 [37, 38, 39].

241 Eight NRs showed differential mRNA expression profiles in normal and tumor-associated
242 stroma. The expression of *LRH-1* was only detected in CAFs, whereas the NRs *DAX-1*, *ERR- β* and
243 *ROR- β* were detected exclusively in NAFs. Furthermore, we identified four NRs to be significantly
244 down-regulated in CAFs compared to NAFs - *ROR- α* , *TR- β* , *VDR* and *PPAR- γ* . With the exception of
245 *VDR* and *ROR- α* , the identified NRs are expressed at relatively low levels in both sample groups.
246 Despite this, immunohistochemical staining of breast tumour tissue confirmed that protein expression
247 patterns of the NRs LRH-1, TR- β , and PPAR- γ in tumour-associated stroma in ER-positive and ER-
248 negative IDC of the breast matched the mRNA transcript data. While in the NR array data LRH-1
249 mRNA levels were undetectable in normal fibroblasts, immunohistochemical staining revealed LRH-
250 1 expression in normal breast stroma (Figure 4A). We observed increased LRH-1 immunostaining in
251 tumour-adjacent stroma, consistent with previous reports [40, 41]. Furthermore, we have recently
252 shown discordance between LRH-1 transcriptional variants and protein levels in ER-positive *versus*
253 ER-negative breast cancer cell lines, a mechanism mediated by differences in mRNA stability and

254 ER-status [42]. While we have not investigated if this discordance holds true for stromal fibroblasts, it
255 is a possibility worth pursuing in the future. The isolation and growth of CAFs and NAFs in culture
256 may also be reflective of this discordance when compared to expression patterns in tissue biopsies.

257 LRH-1 is well described as playing a prominent role in breast cancer where it is capable of
258 inducing tumor cell proliferation via co-regulation of ER- α target genes, tumour cell migration and
259 invasion [40, 43, 44, 45]. As a consequence, targeting LRH-1 in the breast is an area of intense focus
260 [46, 47]. In support of this, LRH-1 is a key mediator in the activation of the *CYP19A1* gene that
261 encodes the cytochrome P450 enzyme aromatase [40, 48, 49, 50] to increase intratumoral estrogen
262 levels in the tumor stroma [4, 5, 41]. Targeting this process is hypothesized to inhibit estrogen
263 production in a breast specific manner.

264 We also observed significantly reduced mRNA and protein levels for TR- β and PPAR- γ in
265 tumour-associated stroma when compared with normal stroma. Little is known about the expression
266 patterns of TR- β and PPAR- γ in clinical biopsies, and in the tumor stroma in particular, although both
267 NRs have clear established roles in mammary tumour development and the utility of their ligands as
268 potential breast cancer treatments is of current interest [51]. The effects of a lack of functional TR- β
269 in the development of mammary tumours is evident in an elegant *in vivo* model study where a
270 homozygous loss of function mutation of *Thrb* gene causing a frameshift [52, 53, 54] resulted in
271 increased mammary gland hyperplasia and tumor incidence, in heterozygous PTEN knockout mice
272 [55]. While *in vivo* deletion of *Thrb* gene in the stromal and epithelial compartments may provide
273 further insight into mechanisms affected by TR- β , the study by Guigon and co-workers presents
274 strong functional evidence in support of clinical data where several mutations in *TR- β* gene correlate
275 with increased breast cancer incidence [56].

276 PPAR- γ has well defined role in adipogenesis involving preadipocyte differentiation into
277 mature adipocytes [57] and its roles in mammary tumorigenesis is also well established. PPAR γ
278 delays the *in vivo* progression of 7,12-dimethylbenz[a]anthracene (DMBA)-mediated breast tumours
279 as revealed with PPAR γ haploinsufficient mice [58]. In addition, adipocyte-specific PPAR γ knockout

280 mice, tumour incidence is great than that in the control group treated rosiglitazone [59]. Interestingly,
281 rosiglitazone treatment reduced mammary tumour volumes by 50% and this may be via reduction in
282 *BRCA1* expression in mammary stromal adipocytes. Additionally, clinical studies demonstrate an
283 inverse association of PPAR- γ expression with invasive breast cancer [60] and decreased tumor
284 recurrence [61] in patients.

285 A well-described mechanism via which the tumour-associated stroma contributes to tumour
286 growth is via paracrine estrogen production. The reduced expression of *ROR- α* , *TR- β* , *VDR*, *ERR- β* ,
287 *DAX-1* and *PPAR- γ* and increased *LRH-1* levels in CAFs all have a demonstrated net effect on stromal
288 estrogen synthesis pathway. Adipose tumor stromal cells are the major source of local estrogen in
289 post-menopausal women with ER-positive breast cancer [4, 5]. While LRH-1 has been shown to have
290 a clear role in oestrogen production through the up-regulation of the aromatase gene, via the cancer-
291 associated tissue-specific promoter PII, it is also interesting to note that ROR- α , TR- β , VDR, ERR- β
292 and PPAR- γ , identified in this study with reduced expression, have previously been shown to repress
293 aromatase transcription. We have previously demonstrated that PPAR- γ ligands inhibit PII-derived
294 aromatase expression in breast adipose stromal cells [62]; the TR- β ligand triiodothyronine (T3) is
295 capable of silencing PII-derived aromatase activity in mouse Sertoli cells [63]; calcitriol induces VDR
296 binding and repression of PII-mediated expression and subsequent oestrogen synthesis *in vitro* [64]
297 and *in vivo* [65]; and finally DAX-1 is known to antagonizes aromatase expression in a number of
298 instances [66, 67, 68, 69]. Given the importance of aromatase expression in the breast tumor stroma,
299 our findings reveal a pattern of NR expression that fits with a sustained and increased local estrogen
300 microenvironment. The precise mechanism of the action of these NRs on aromatase in the breast
301 stroma warrants further investigation.

302 We have identified a distinct set of NRs that may have an important contribution in causing
303 the alterations in the stromal environment in response to a tumour and/or establishing the pre-
304 neoplastic niche for tumour initiation. These NRs have been demonstrated to have roles in mammary
305 development and tumorigenesis. The combined effect of reduced expression of these NRs may result

306 in significant alterations to the tumour stromal environment via various cellular mechanisms some of
307 which are discussed.

308 The reduced expression of orphan nuclear receptors ROR- α and related ROR- β , may
309 contribute to breast tumour growth via the regulation of inflammatory pathways. ROR- α is a negative
310 regulator of inflammation, suppressing TNF α -induced expression of COX-2, IL-6 and IL-8 via the
311 inhibition of the NF- κ B promoter [70], thereby suppressing tumour metastasis [71]. Moretti *et al*
312 demonstrate that the activation of ROR- α with a selective ligand (CGP 52608) decreases tumor cell
313 proliferation, migration and invasion [72], suggesting that the activation of ROR- α may also be of
314 therapeutic benefit in breast cancers targeting tumor growth [73].

315 VDR has known roles in the suppression of cancer cell invasion, angiogenesis and metastasis
316 [74, 75, 76]. Indeed VDR has important functions in regulating normal mammary development; in
317 *Vdr* knockout female mice there is more extensive ductal elongation and branching compared to wild-
318 type, increased responsiveness to estrogen and progesterone, represented by increases in ductal
319 epithelial cell proliferation [77]. In the context of our observations, the decrease in VDR expression in
320 the adjacent tissue may thus be a tumor-initiating event whereby the surrounding tissue is more
321 responsive to hormones and for hyperplastic growth of ductal epithelial cells.

322 The ERRs are highly homologous in structure and functionality [78]. Their primary role is the
323 regulation of cellular metabolism regulation of the glycolytic pathway, the tricarboxylic acid (TCA)
324 cycle and oxidative phosphorylation (reviewed in [79]). This function is particularly relevant in
325 rapidly proliferating cells such as breast tumour cells [80, 81]. While most of these functions are
326 assigned to ERR- α and ERR- γ , specifically ERR- β has been shown to regulate pluripotency in
327 embryonic stem cells and function as a reprogramming factor for the generation of induced
328 pluripotent cells [82, 83, 84]. The loss of expression of ERR- β expression in CAFs may thus signify a
329 distinct change in cell reprogramming.

330 The orphan nuclear receptor DAX-1 is found to be expressed in NAF but not CAF samples.
331 DAX-1 is unique in that it lacks a DNA binding motif, however, it heterodimerizes with many

332 members of the NR superfamily to inhibit their activity. Hence a relatively small change in DAX-1
333 expression may potentially have a profound effect on NR function. Highly expressed in gonadal
334 tissue, knockout of Dax-1 gene in mice results in spermatogenic failure, while in humans
335 abnormalities in DAX-1 genes can lead male-to-female sex reversal [85]. Its roles in cancer have not
336 been fully studied. DAX-1 interacts with the NR5A subfamily of orphan NRs (LRH-1 and SF-1) in
337 several tissues to repress aromatase transcription [66, 67, 68, 69, 86, 87]. Hence its repression may
338 also contribute to the overall increase in aromatase expression in CAFs.

339 In conclusion, we provide a cell specific NR signature in the cancer microenvironment that
340 may individually or collectively impact tumor proliferation and metastasis. The inter-relationships
341 between NRs, their interactions with co-regulator proteins make them a complex network of
342 transcription factors with wide ranging cellular functions. With this in mind, we suggest that further
343 studies should profile stromal cell characteristics adjacent to the tumor where correlations to steroid
344 receptor status, grade and stage will aid in the development of early prognostic markers.

345 **Figure Legends**

346 **Figure 1.** Expression of NRs in NAFs and CAFs. Thirty-three NRs are detected in each sample group
347 while DAX-1, ERR- β and ROR- β are uniquely detected in NAFs while LRH-1 is only detected in
348 CAFs.

349 **Figure 2.** Expression profiles of NRs in (A) NAFs and (B) CAFs. The levels of NR expression are
350 indicated by the pie charts, and their names are shown in the tables to the right. A ranking of highest
351 to lowest expression is detailed in the lower panel. Normalized NR mRNA-expression levels were
352 defined as Absent if the PCR Ct value was >35 , Low if the level was below 1.0 arbitrary units,
353 Moderate if the level was between 1.0 and 10.0, and High if the level was greater than 10.0 arbitrary
354 units.

355 **Figure 3.** NR relative expression in NAFs vs CAFs. Normalized NR mRNA-expression levels as
356 grouped in sub-family. Primary cultured CAFs (n=9) and NAFs (n=7). StatMiner Analytical software

357 was used to perform Non-Parametric (Wilcoxon) tests while geNorm selected the most stable
358 endogenous controls used for normalisation. * $p < 0.05$. Error bars represent standard error of means.

359 **Figure 4.** Immunohistochemical staining of LRH-1, TR- β and PPAR- γ in IDC breast cancers. (A)
360 Representative images showing stromal and epithelial cell staining from a panel of ER-positive, ER-
361 negative tumors and normal tissue (Table 2). Scale Bar – 100 μm . (B) Stromal fibroblast staining was
362 scored using a three level intensity score and normalized to percent positive detection. Positive
363 immuno staining is shown in brown while negative control is shown in insert. Student t tests (2 tailed,
364 equal variance for ER-positive/negative vs normal; unequal for cancer vs normal) were performed.
365 ER-positive (n=15), ER-negative (n=15), Normal (n=14). * $p < 0.05$, ** $p < 0.01$. Error bars represent
366 standard error of means.

367 **Table 1.** The clinicopathological information of breast cancers in which stromal cells were obtained
368 and used for NR arrays. ¹ Japanese female patients at Tohoku University Hospital and Tohoku Kosai
369 Hospital, CAFs isolated by collagenase digestion and centrifugation [25]. ² Obtained from the
370 Victorian Cancer Biobank following cell sorting methodologies [23]. Histological grade was
371 determined according to Robbins et al. and each score represent that of tubular formation, nuclear
372 atypia and mitosis [88]. ER and PR immunoreactivity was evaluated according to Allred et al. [89].
373 PS: proportional score, IS: Intensity score and TS: total score. HER2 immunoreactivity was evaluated
374 based on the CAP-ASCO guideline [90].

375 **Table 2.** The clinicopathological information of breast cancers and normal tissue used for
376 immunohistochemistry. Refer to Materials and Methods for further description.

377 **Table 3.** Summary of nuclear receptor expression profiles in NAF and CAF samples groups. Numbers
378 depict amount of nuclear receptors expressed from each sub-classification group. Changes in
379 expression of nuclear receptors (\uparrow elevated or \downarrow decreased) when comparing CAF to NAF sample
380 groups.

381 **Supplementary Figure 1.** Supplementary Figure 1. Validation of CAFs using marker SDF-1. RNA
382 isolated from NAFs (n=7) and CAFs (n=9) was used for qRT-PCR of the CAF marker SDF-1.
383 Significant levels of SDF-1 mRNA were detected in CAFs compared to normal. Two-tailed
384 independent t-test *p<0.05. Error bars represent standard error of means.

385

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404

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Table 1. Clinicopathological information on breast cancer sample group

Patient ID	Age (years)	Receptor Status	Tumor Grade	Tumor Type
1 ¹	47	ER+, PR+, HER2-	Grade II	IDC
2 ¹	76	ER+, PR+, HER2-	Grade II	IDC
3 ¹	69	ER+, PR+, HER2-	Grade II	IDC
4 ¹	74	ER+, PR+, HER2-	Grade I	IDC
5 ¹	48	ER+, PR-, HER2+	Grade II	IDC
6 ²	60	ER+, PR+, HER2+	Grade II	IDC
7 ²	70	ER+, PR+, HER2-	Grade II	IDC
8 ²	66	ER+, PR-, HER2-	Grade II	IDC
9 ²	66	ER+, PR+, HER2-	Grade II	DCIS

703 Table 2. Clinicopathological information on normal and malignant breast samples

704

Clinical feature	Cohort details
Tumour cohorts	
ER-positive (n)	15
Grade I (n)	1
Grade II (n)	10
Grade III (n)	4
Age, mean (range) years	65 (36-90)
ER-negative (n)	15
Grade II (n)	4
Grade III (n)	11
Age, mean (range) years	60 (27-85)
Normal breast cohorts (n)	14
Pre-menopausal (n)	11
Reduction mammoplasty (n)	7
Breast biopsy (n)	4
Age, mean (range) years	38 (22-46)
Post-menopausal (n)	3
Breast biopsy (n)	3
Age, mean (range) years	57 (55-58)

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716 Table 3. Summary of nuclear receptor expression profiles in NAF and CAF samples groups.

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Nuclear Receptor Expression Profile			
Sub-classification	NAFs	CAFs	Relative change in CAFs vs NAFs
Endocrine receptors (n=12)	11	11	↓ TR-β ↓ VDR
Orphan receptors (n=25)	17	15	↓ DAX-1 ↓ ERR-β ↓ ROR-α ↓ ROR-β ↑ LRH-1
Adopted orphan receptors (n=11)	8	8	↓ PPAR-γ
Total (n=48)	36	34	

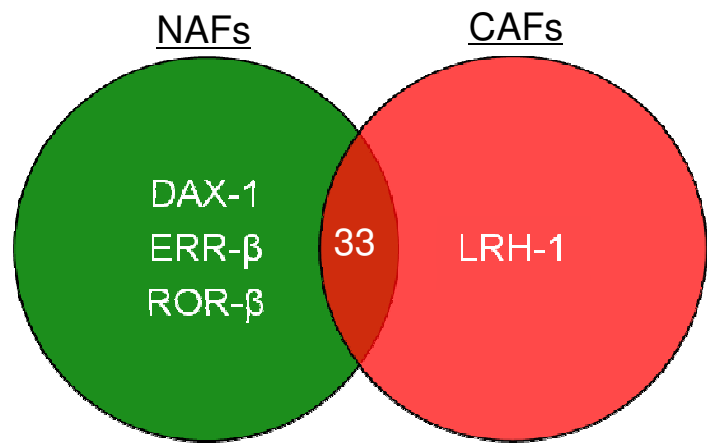
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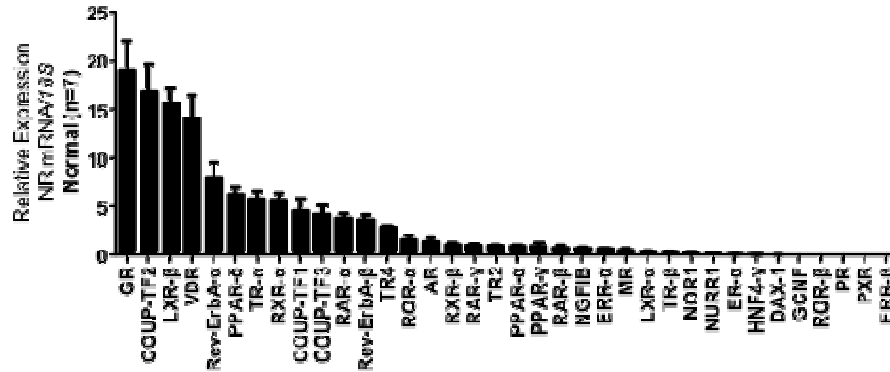
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NAFs

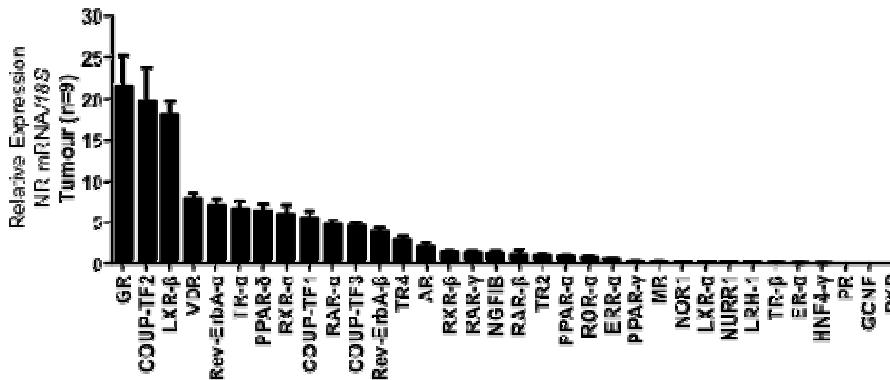
Absent		Low				Moderate		High
CAR	ERR-γ	DAX-1	ER-α	ERR-α	ERR-β	AR	COUP-TF1	GR
ER-β	FXR	GCNF	HNF4-γ	LXR-α	MR	COUP-TF3	PPAR-δ	COUP-TF2
HNF4-α	LRH-1	NGFIB	NURR1	NOR1	PR	RAR-α	RAR-γ	LXR-β
PNR	ROR-γ	PXR	PPAR-α	PPAR-γ	RAR-β	Rev-ErbA-α	Rev-ErbA-β	VDR
RXR-γ	SF-1	ROR-β	TR-β	TR2		ROR-α	RXR-α	
SHP	TLX					RXR-β	TR-α	
						TR4		



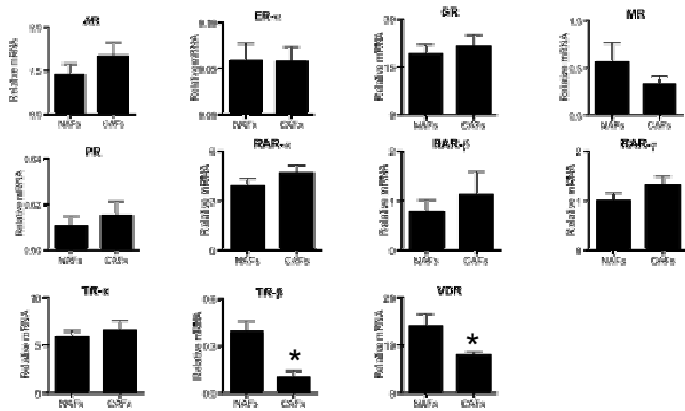
B

CAFs

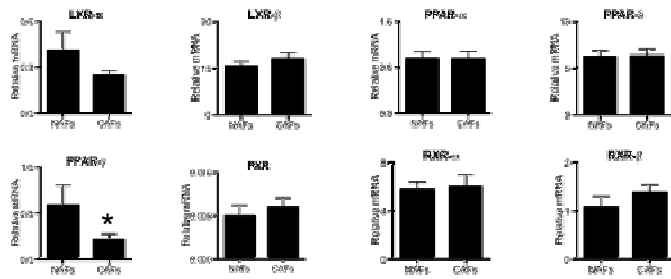
Absent		Low				Moderate		High
CAR	DAX-1	ERR-α	ER-α	GCNF	HNF4-γ	AR	COUP-TF1	COUP-TF2
ER-β	ERR-γ	LXR-α	LRH-1	MR	NURR1	COUP-TF3	NGFIB	GR
ERR-β	FXR	NOR1	PPAR-α	PPAR-γ	PXR	PPAR-δ	Rev-ErbA-α	LXR-β
HNF4-α	PNR	PR	ROR-α	TR-β		Rev-ErbA-β	RAR-β	
ROR-β	ROR-γ					RAR-α	RAR-γ	
RXR-γ	SF-1					RXR-α	RXR-β	
SHP	TLX					TR2	TR4	
						TR-α	VDR	



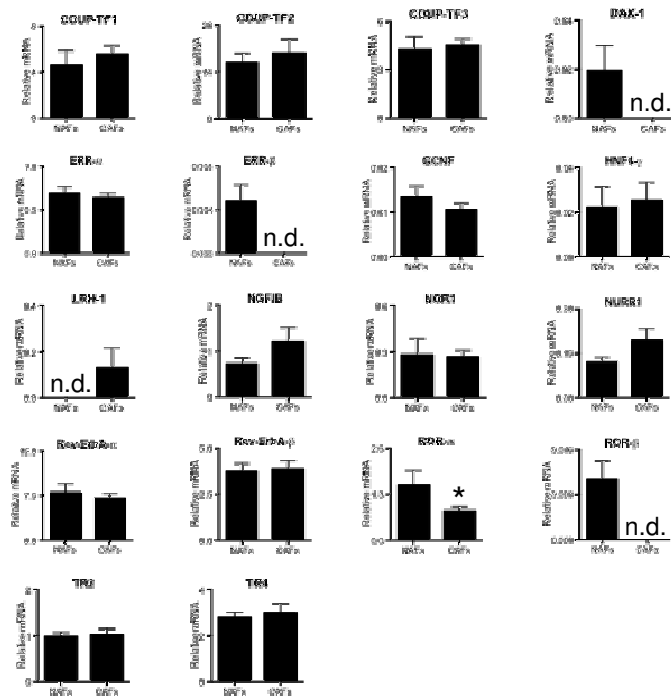
Endocrine Receptors

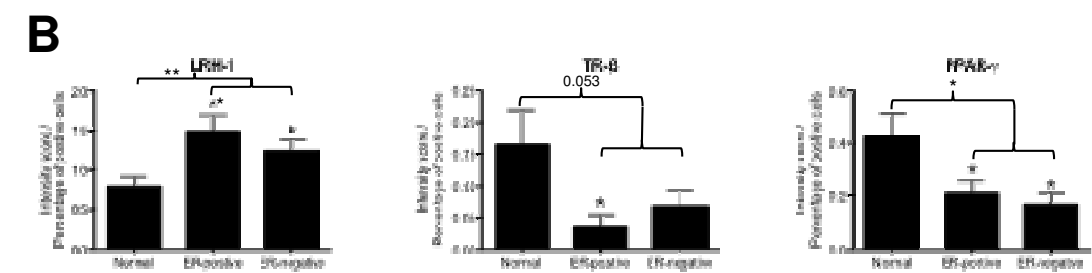
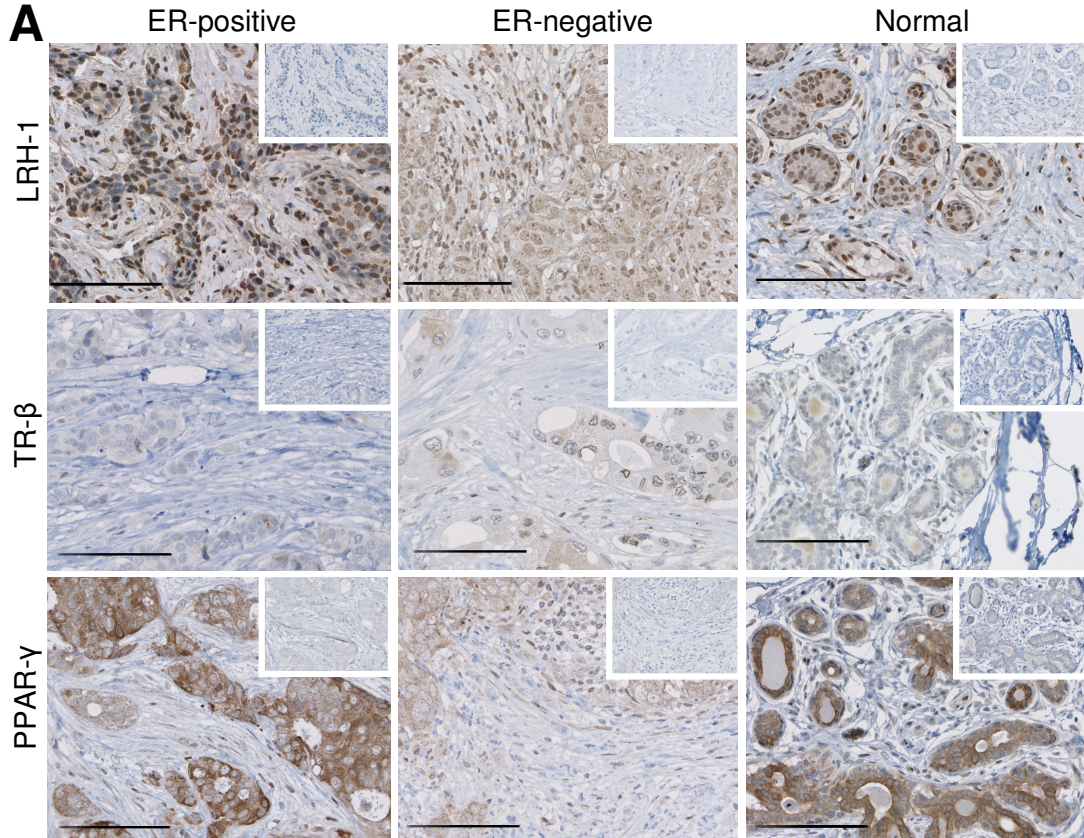


Adopted Orphan Receptors



Orphan Receptors







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