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European Mitochondrial Haplogroups Are Associated With CD4+ T Cell Recovery in HIV-infected Patients on Combination Antiretroviral Therapy

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27 **ABSTRACT**

28 **Background:** There is substantial interindividual variability in the rate and extent of CD4+ T cell
29 (CD4+) recovery after starting combination antiretroviral therapy (cART). The aim of our study was to
30 determine whether mitochondrial DNA (mtDNA) haplogroups are associated with recovery of CD4+ in
31 HIV-infected patients on cART.

32 **Methods:** We carried out a retrospective study on 275 naïve cART patients with CD4+ counts <350
33 cells/mm³, who were followed-up during at least 24 months after initiating cART. mtDNA genotyping
34 was performed by Sequenom's MassARRAY platform.

35 **Results:** Patients within cluster JT and haplogroup J had a lower chance of achieving a CD4+ count
36 ≥500 cells/mm³ than patients within cluster HV and haplogroup H (hazard ratio (HR)=0.68 (p=0.058)
37 and HR=0.48 (p=0.010), respectively). The time of follow-up during which the CD4+ count was ≥500
38 cells/mm³ was longer in haplogroups HV and H than in haplogroups JT and J (20 months versus 6.2
39 months (p=0.049) and 20 months versus 0 months (p=0.047), respectively). Additionally, haplogroups
40 HV and H had higher chances of achieving CD4+ count ≥500 cells/mm³ during at least 12, 36, 48, and
41 60 months post-cART initiation compared to patients within haplogroups JT and J. Patients within
42 haplogroup T only had a lower chance of achieving CD4+ count ≥500 cells/mm³ during at least 48
43 months and 60 months post-cART initiation.

44 **Conclusion:** European mitochondrial haplogroups might influence CD4+ recovery in HIV-infected
45 patients following initiation with cART. Haplogroups J and T appear to be associated with a worse
46 profile of CD4+ recovery, whereas haplogroup H was associated with a better CD4+ reconstitution.

47

48 **Key-words:** mitochondria; polymorphisms; AIDS; antiretroviral therapy; immune system reconstitution

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50

51 INTRODUCTION

52 Mitochondria are essential organelles that provide energy to eukaryotic cells via oxidative
53 phosphorylation and regulate cellular survival via control of apoptosis while playing a key role in the
54 innate immune response against viral infections.¹ Systemic mitochondrial dysfunction is evident
55 during acquired immune deficiency syndrome (AIDS) progression, such as in the form of
56 mitochondrial genome (mtDNA) depletion, increased reactive oxygen species (ROS) formation,
57 antioxidant enzyme deficiency, and increased oxidative damage in patients with accelerated
58 disease.² In addition, mitochondrial toxicity contributes to serious side effects observed in human
59 immunodeficiency virus (HIV)-infected individuals treated with nucleoside reverse transcriptase
60 inhibitors (NRTIs).³ These drugs, such as didanosine, zidovudine, and stavudine, are potent inhibitors
61 of mitochondria DNA polymerase gamma; and zidovudine may inhibit thymidine kinase 2 and cause
62 reduced levels of endogenous nucleotides thereby decreasing synthesis of mtDNA.³

63 Mutations in mtDNA have been acquired throughout human history, and thus the human population
64 has been subdivided into a number of discrete mitochondrial clades or haplogroups, which are defined
65 on the basis of specific mtDNA polymorphisms.⁴ In European Caucasians, 4 major haplogroups or
66 clusters (HV, U, JT, and IWX) and several minor haplogroups have been identified (H, V, pre-V, J, T, Uk,
67 W, X, I, etc.).⁴ Variations in mtDNA have been directly associated with susceptibility to disorders such as
68 cancer, sepsis, diabetes, and degenerative diseases.⁵ In HIV infection, mtDNA haplogroup H has been
69 associated with a low likelihood of AIDS progression and/or severe immunodeficiency.⁶ Associations
70 with metabolic disturbances and liver fibrosis progression have also been detected in patients
71 coinfecting with hepatitis C virus.^{7,8} Moreover, mtDNA haplogroups J and T that are infected with HIV
72 have increased likelihoods of AIDS progression and/or CD4+ count <200 cells/mm³,⁶ metabolic
73 disturbances,⁷ and peripheral neuropathy;⁹ but lower chances of lipoatrophy¹⁰ and neuroretinal
74 disorder.¹¹

75 The CD4+ T cell is the primary cellular target of HIV, and a continuous loss of CD4+ T cells leads to
76 immunodeficiency, opportunistic diseases, and death.^{12,13} Hence, the CD4+ T cell count in peripheral
77 blood represents the principal surrogate marker for clinical symptoms and AIDS-defining illnesses;¹⁴
78 and it is also a major factor in the decision to initiate combination antiretroviral therapy (cART) in
79 HIV-infected individuals.^{15,16} The primary goal of cART is to reduce the plasma HIV-RNA to below
80 detectable levels. In this setting, sustained HIV suppression may restore and preserve immunologic
81 function, decreasing both AIDS-defining and non-AIDS-defining complications, and prolonging life.^{15,}
82 ¹⁶ However, there is substantial interindividual variability in the rate and extent of CD4+ T cell
83 recovery after starting cART.¹⁷ Up to 30-40% of cART-treated patients fail to achieve substantial
84 increases in CD4+ count and may continue to develop the disease.¹⁷⁻²¹

85 The aim of our study was to determine whether mtDNA haplogroups are associated with CD4+ T cell
86 recovery in cART-naïve HIV-infected patients after the initiation of cART.

87

88 **PATIENTS AND METHODS**

89 ***Patients***

90 We carried out a retrospective study on HIV-infected patients, who started cART between 1996 and
91 2010 in Hospital Gregorio Marañón (Madrid, Spain). This work was conducted in accordance with the
92 Declaration of Helsinki. All patients gave their written informed consent to be included in the study
93 and the Institutional Ethics Committee approved the study.

94 This population belonged to a cohort that has been followed according to recommendations from
95 the GESIDA/Spanish AIDS Plan regarding antiretroviral treatment in adults with HIV infection.¹⁵ The
96 criteria for inclusion were naïve cART patients with CD4+ count values <350 cells/mm³ during the
97 chronic phase of infection, DNA samples for genotyping mtDNA polymorphisms, data of CD4 and CV
98 at least every six months, and a follow-up of at least 24 months after the initiation of cART.

99 We conducted blood sample collections from HIV-infected patients who were in the hospital
100 between January 2010 and June 2010 (six months). From a total of 1500 patients who started cART
101 between 1996 and 2010, we only obtained blood samples from 960 of them. Of those, only 392 patients
102 had baseline CD4+ values <350 cells/mm³ and CD4 and CV data for at least every six months. Next,
103 only 325 patients had a follow-up of at least 24 months after the initiation of cART.

104 Of these 325 patients, we performed the assay for DNA genotyping but 27 patients were excluded
105 because we were unable to genotype the mtDNA polymorphisms to determine their mitochondrial
106 haplogroup. Additionally, to make this study more uniform, we excluded 33 patients who were not of
107 the European “N” mitochondrial macro-haplogroup, which is ancestral to almost all European and many
108 Eurasian haplogroups.⁴ In the end, we only analyzed 275 HIV-infected patients who started cART. In
109 addition, 162 healthy blood donors (negative for HIV, HCV, and HBV infection) from the “Centro de
110 Transfusión de la Comunidad de Madrid” participated as a control group. Their age and gender
111 characteristics were similar to the HIV-infected patients.

112 ***Clinical and laboratory marker data***

113 Data were collected by chart and database review with a standard questionnaire in order to obtain
114 baseline data such as age, sex, HIV risk group, Centers for Disease Control and Prevention (CDC)
115 clinical category, baseline CD4+ T cells and plasma HIV-RNA, hepatitis C virus (HCV) serology, and
116 cART regimen.

117 Following initiation of cART, patients were monitored every 3 - 6 months with measurements of
118 CD4+ T cells and plasma HIV-RNA. Plasma HIV-RNA was measured using the third-generation
119 branched DNA assay (Quantiplex version 3.0; Siemens, Barcelona, Spain), which displays a low

120 detection limit of 50 copies/mL. T-cell subsets in peripheral blood were quantified by flow cytometry
121 (FACScan, Becton-Dickinson Immunocytometry Systems, San Jose, CA, USA).

122 ***mtDNA Genotyping***

123 Total DNA was extracted from peripheral blood with Qiagen columns (QIAamp DNA Blood Midi/Maxi;
124 Qiagen, Hilden, Germany). DNA samples were sent to the Spanish National Genotyping Center (CeGen;
125 <http://www.cegen.org/>). Genotyping was performed by using Sequenom's MassARRAY platform (San
126 Diego, CA, USA) using the iPLEX® Gold assay design system.

127 Individuals within the European N macro cluster were further separated into the most common
128 European major haplogroups or clusters (HV, IWX, U, and JT) and haplogroups (H, V, pre-V, J, T, I, W and
129 X) according to 14 polymorphisms in the mtDNA (see **supplementary figure (SF) 1**). All patients were of
130 European ancestry because individuals not within the N macro cluster were excluded from the study.

131 ***Outcome variables***

132 The main outcome variables were: i) the temporal trend in CD4+ T cell counts after starting cART; ii) the
133 ability to achieve a value of CD4+ count ≥ 500 cells/mm³ during follow-up; iii) the total time with CD4+
134 count ≥ 500 cells/mm³ during follow-up; and iv) the ability to achieve and maintain CD4+ count ≥ 500
135 cells/mm³ over an extended period of time (at least 12, 24, 36, 48, and 60 months).

136 The total time with CD4+ count ≥ 500 cells/mm³ was calculated taking into account the time elapsed
137 between consecutive visits with the specific event (CD4+ count ≥ 500 cells/mm³). The counting was only
138 interrupted when there were at least two consecutive visits without these two outcome variables. Thus,
139 no patient may have 100% of follow-up time with CD4+ count ≥ 500 cells/mm³.

140 ***Statistical Analysis***

141 Due to the distribution of patients within haplogroups, we analyzed the data according to 4 major
142 haplogroups or clusters (HV, IWX, U, and JT) and 3 haplogroups (H, J, and T) separately. Statistical
143 analysis was performed by SPSS 19.0 software (SPSS INC, Chicago, IL, USA). All tests were two-tailed
144 with p-values < 0.05 considered significant.

145 Categorical data and proportions were analyzed by using the chi-squared test or Fisher's exact test.
146 Mann-Whitney U tests were used to compare data between independent groups. Kaplan-Meier and
147 Cox regression analyses were used to analyze the time to achieve the first value of CD4+ count ≥ 500
148 cells/mm³ as an outcome. Cox regression test was adjusted by baseline characteristics such as gender,
149 age, HCV infection, AIDS, CD4+ T cells/mm³, HIV-RNA, and NRTIs with mitochondrial toxicity
150 (Zidovudine, Didanosine, Stavudine) in the initial cART regimen.

151 A Generalized Linear Models (GLM) with a log-link was used to compare the time with CD4+ count ≥ 500
152 cells/mm³ among different mtDNA clusters and haplogroups. Logistic regression analyses were also
153 performed to calculate the likelihood of achieving CD4+ count values ≥ 500 cells/mm³ for a long period
154 of time according to mtDNA haplogroups. All regression tests were adjusted by gender, age, HCV
155 infection, AIDS, CD4+ T cells/mm³ and HIV-RNA at baseline, percentage of the whole follow-up period
156 when HIV-RNA <50 copies/mL, and NRTIs with mitochondrial toxicity (Zidovudine, Didanosine,
157 Stavudine) in the initial cART.

158

159

160 **RESULTS**

161 ***Characteristics of the study population***

162 **Table 1** shows the characteristics of 275 HIV-infected patients who self-identified as “white” and had
163 a western European, or N, mitochondrial macro cluster. We did not find any significant differences
164 among haplogroups in epidemiological, clinical, or antiretroviral therapy characteristics. In addition,
165 no patient received TDF and ddi in combination. Additionally, the median of follow-up time among
166 patients from the different European haplogroups was higher than 100 months, and we did not see
167 significant differences among groups.

168 **SF 2** shows the frequencies of mtDNA haplogroups in patients and healthy controls. We did not find
169 any significant differences between groups in the frequencies of mtDNA haplogroups, and the
170 distribution of mtDNA haplogroups across our HIV-infected patients was similar to data found by
171 other authors concerning HIV infection within a Caucasian population.^{6, 22, 23} The haplogroups Pre-V,
172 V, I, X, and W had frequencies of less than 5% (**SF 2**) and were therefore included in broader clusters
173 to minimize type I errors in statistical analyses. Thus, the genetic association tests were performed
174 on the major haplogroups or clusters HV, U, JT, and IXW and on the haplogroups H, J, and T.

175 ***European haplogroups and temporal trends in CD4+ T cell counts after starting cART***

176 Patients within cluster HV had higher median CD4+ count than patients within cluster JT at the 60th
177 month ($p= 0.026$) and the 72nd month ($p= 0.035$) of follow-up (**Figure 1A**). In addition, patients within
178 haplogroup H had higher median CD4+ count than patients within haplogroup J at the 48th month ($p=$
179 0.026), the 60th month ($p= 0.014$), and the 72nd month ($p= 0.037$) of follow-up (**Figure 1B**).

180 ***European haplogroups and time to achieve CD4+ count ≥ 500 cells/mm³***

181 In the Kaplan-Meier analysis, more than half of the patients reached CD4+ count values ≥ 500
182 cells/mm³ in all analyzed haplogroups but patients within cluster JT and haplogroup J had slower
183 CD4+ recovery, because they took longer to reach the initial CD4+ count value ≥ 500 cells/mm³ (**SF3**).
184 The adjusted Cox regression showed that patients within cluster JT and haplogroup J had a lower
185 likelihood of achieving a CD4+ count value ≥ 500 cells/mm³ than patients within cluster HV and
186 haplogroup H (hazard ratio (HR)= 0.68 (**Figure 2A**; $p= 0.058$) and HR= 0.48 (**Figure 2B**; $p= 0.010$),
187 respectively).

188 ***European haplogroups and time with CD4+ count ≥ 500 cells/mm³***

189 The time of follow-up during which CD4+ count was ≥ 500 cells/mm³ was longer in patients within
190 cluster HV than in patients within cluster JT (median of 20 months versus 6.2 months; $p= 0.029$)

191 **(Figure 3A)**. Furthermore, patients within haplogroup H had a longer time with CD4+ count ≥ 500
192 cells/mm³ than patients within haplogroup J (median of 20 months versus 0 months; $p=0.024$) **(Figure**
193 **3B)**. When a GLM adjusted by the most relevant clinical and epidemiological variables was
194 performed, patients within cluster HV and haplogroup H had higher values of time with CD4+ count
195 ≥ 500 cells/mm³ than patients within cluster JT and haplogroup J ($p= 0.004$ and $p= 0.027$,
196 respectively).

197 ***European haplogroups and long-term CD4+ T cells recovery***

198 Additionally, cluster JT and haplogroups J and T had the lowest percentage of patients who achieved
199 CD4+ count values ≥ 500 cells/mm³ for a long period of time, while cluster HV and haplogroup H had
200 the highest values (see **SF4**). After adjusting for the most relevant clinical and epidemiological
201 variables, we found significant values for achieving CD4+ count values ≥ 500 cells/mm³ during at least
202 12, 36, 48, and 60 months within cluster HV and haplogroup H versus patients within cluster JT, and
203 haplogroups J and T **(Figure 4)**. Thus, cluster HV patients had higher chances than cluster JT patients
204 of achieving CD4+ count ≥ 500 cells/mm³ during at least 12 months (OR= 2.17; $p= 0.039$), 36 months
205 (OR= 3.11; $p= 0.008$), 48 months (OR= 4.42; $p= 0.003$), and 60 months (OR= 5.20; $p= 0.003$) **(Figure**
206 **4A)**. Patients within haplogroup H had higher chances than patients within haplogroup J of achieving
207 CD4+ count ≥ 500 cells/mm³ during at least 12 months (OR= 3.14; $p= 0.019$), 36 months (OR= 3.53; $p=$
208 0.026), 48 months (OR= 3.53; $p= 0.042$), and 60 months (OR= 4.34; $p= 0.044$) **(Figure 4B)**. Finally,
209 patients within haplogroup H had higher chances than patients within haplogroup T of achieving
210 CD4+ count ≥ 500 cells/mm³ during at least 48 months (OR= 6.31; $p= 0.021$) and 60 months (OR= 6.24;
211 $p= 0.040$) **(Figure 4C)**.

212

213 **DISCUSSION**

214 Our study showed that there was a relationship between mtDNA haplogroups and CD4+ T cell
215 recovery. Cluster HV and haplogroup H were associated with successful CD4+ reconstitution while
216 cluster JT and haplogroup J were associated with worse CD4+ T cell recovery. The association of
217 haplogroup T with a worse CD4+ T cell reconstitution was only evident when we analyzed long-term
218 CD4+ recovery (CD4+ count ≥ 500 cells/mm³ during at least 48 and 60 months). Moreover, we did not
219 find any significant differences among patients within clusters U and IXW, possibly because the
220 number of patients in these haplogroups was low and/or CD4+ recovery appeared to be in between
221 haplogroups HV/H and JT/J/T.

222 The molecular mechanism underlying the functional differences between these mitochondrial
223 haplogroups could be the reason for the different CD4+ T cell recovery characteristics during cART.
224 Mitochondrial haplogroup H has demonstrated higher activity in the electron transport chain,
225 producing higher quantities of ATP and ROS than other haplogroups, such as J, which exhibits lower
226 energy efficiency.^{24, 25} Hendrickson *et al.* reported associations of haplogroups J and U (lower ATP
227 and ROS production) with increased prevalences of progression to AIDS and/or values of CD4+ <200
228 cells/mm³ in an analysis using longitudinal data from several U.S. cohorts, whereas the more tightly
229 coupled haplogroup H (higher ATP and ROS production) was associated with a decreased prevalence
230 of AIDS progression and death among therapy-naïve Caucasian patients.⁶ On the other hand, a cross-
231 sectional study did not find associations between mtDNA haplogroups and current CD4+ count or
232 plasma HIV-RNA among a population of predominantly ART-treated patients.²⁶ In two recent studies
233 among ART-naïve Africans patients, the mtDNA haplogroup L2 was associated with changes in T-cell
234 activation from baseline to 48-weeks as well as with poorer CD4+ recovery.^{27, 28} To our knowledge,
235 our study shows for the first time an association between European mtDNA haplogroups and CD4+
236 recovery in Caucasian HIV-infected patients on cART during a long-term follow-up period.

237 Contradictory results have been shown, however, since haplogroup H may lead to higher production
238 of ROS,²⁵ which would increase the oxidative damage in the immune system during HIV infection.²⁹
239 However, haplogroup H has been associated with a delay in AIDS progression because ROS
240 production may enhance innate immunity.⁶ Furthermore, higher rates of ROS production may lead to
241 an up-regulation of antioxidant defenses without causing severe immune damage,³⁰ which may
242 contribute to maintaining good immune function, ensuring good control of HIV replication and, in
243 turn, decreasing oxidative stress and apoptosis.^{31, 32} Besides, it is possible that the degree of energy
244 efficiency could have a larger impact on the pathophysiology of HIV infection than the generation of
245 ROS. This would be a reason for patients within cluster HV and haplogroups H to have more
246 successful CD4+ T cell reconstitution than patients within cluster JT, and haplogroups J and T.

247 There is great controversy about when to start cART. The decision of when to initiate cART requires
248 weighing the benefits treatment has in terms of morbidity and mortality against the risks.^{15, 16}
249 Although randomized clinical trials clearly demonstrate the benefits of starting cART in HIV-infected
250 patients with CD4+ count <350 cells/mm³,³³ there is also an evidentiary basis to recommend starting
251 cART in persons with CD4+ count >350 cells/mm³. HIV-infected persons with CD4+ count in the range
252 of 350-500 cells/mm³ have increased rates of some comorbidities such as non-AIDS-defining
253 malignancies and vascular, kidney, and liver disease,³⁴⁻³⁹ probably due to uncontrolled HIV replication
254 and increased T-cell activation and inflammation.⁴⁰⁻⁴⁵ The amount of data supporting early initiation
255 of therapy is less when the CD4+ count increases to >500 cells/mm³, and concerns remain over the
256 unknown overall benefit, long-term risks, and cumulative additional costs associated with earlier
257 treatment.^{15, 16} In addressing this doubt, our data could provide information to make a decision on
258 when to start cART. Patients within haplogroups J and T (worse CD4+ reconstitution) would not wait
259 until CD4+ count was <350 cells/mm³ before initiating cART. On the contrary, they might be treated
260 when CD4+ count was in the range 350-500 cells/mm³ or even better when CD4+ count was still >500
261 cells/mm³. Conversely, patients within haplogroup H (better CD4+ reconstitution) might wait until
262 CD4+ count falls into the range of 350-500 cells/mm³. However, we must emphasize that the decision
263 over when to initiate cART in therapy-naïve HIV-infected patients is multifactorial, and a
264 recommendation for delaying the initiation of cART simply because a given patient has a favorable
265 haplogroup should be taken with caution; however, the information provided by the genotyping of
266 mitochondrial haplogroups should not be disregarded.

267 There are factors that may influence the extent of CD4 recovery in patients on cART, however they
268 have not been studied in detail in this work. Among them is the cART modality.^{46, 47} However, with
269 the study design and patients available for this work, it is difficult to analyze the effect of a drug or
270 combination of specific drugs because HIV therapies were prescribed in function of the availability of
271 these drugs from 1996 to 2010. In addition, these initial HIV treatments were modified during the
272 follow-up at the discretion of individual physician according to the needs of each patient. Moreover,
273 our cohort may be relatively outdated taking into account that more than 30% of patients initiated
274 cART with zidovudine, and our results might not be able to be extrapolated to the current
275 antiretroviral regimens. However, after a given cART achieves an undetectable HIV viral load, we
276 think that the influence of the drug used might be secondary except for the side effects that may
277 result in poorer adherence, or that the drug has direct effects on mitochondrial function. Thus, we
278 have included in the regression model the adjustment of two key variables such as the percentage of
279 the whole follow-up period with HIV-RNA <50 copies/mL (indirect measure of cART adherence) and
280 the inclusion of NRTIs with mitochondrial toxicity (Zidovudine, Didanosine, Stavudine) in the cART.

281 Another important factor is HCV infection, which may influence the extent of CD4+ recovery in
282 patients on cART.^{48, 49} Therefore, in our study, we have included test results for HCV antibodies for
283 adjusting the logistic regression analysis; but we have not included the value of the PCR test for HCV
284 (active hepatitis C). Initially, the large majority of patients with HCV antibodies had chronic hepatitis
285 C. Afterwards, during the follow-up, a high percentage of HIV/HCV coinfecting patients were treated
286 with interferon alpha and ribavirin, clearing HCV infection in about 50% of these patients. However,
287 such as with cART, it is difficult to analyze the effect of HCV clearance with the study design and
288 patients available for this work. Moreover, the regression analysis was not adjusted by
289 hypersplenism, a condition particularly important in patients with cirrhosis due to chronic hepatitis
290 C.⁵⁰ In our cohort, around 40% of patients had HCV infection at baseline. However, according to our
291 estimates, we think that only about 7% of patients had cirrhosis in 2002 and 12% of patients in 2010;
292 and of these, only 25% had a Child-Pugh score of B or C (unpublished data). This means that around
293 1% of our patients may have had hypersplenism, a very low number that would have had little effect
294 on our results.

295 This study has other limitations that must be taken into account to ensure correct interpretation of
296 the data. First, this is a retrospective study and, therefore, the case record is selected a priori from
297 patients surviving long enough to yield sufficient follow-up (at least 24 months for this analysis).
298 Thus, nonresponders or advanced patients showing early mortality on therapy are excluded. Second,
299 the sample size is limited, which may have impaired the ability to detect less robust associations and
300 may affect the adjustment of the regression models when using a large number of covariates.
301 Additionally, we did not do detailed analyses on some of the haplogroups when sample size was low.
302 Third, we did not have reliable data about adherence to cART, but we used the percentage of time
303 with HIV-RNA <50 copies/mL during the entire follow-up time as representative of adherence, and this
304 was used in the multivariate models to adjust the OR values. Although adherence is a critical
305 determinant of the efficacy of cART, ideal measures remain elusive and are subject to errors.
306 However, almost always, a good adherence is accompanied by a control of HIV viral load (HIV-RNA
307 <50 copies/mL).⁵¹ In addition, HIV viral load data is an objective assessment of adherence. Fourth,
308 although these results suggest that variations in mtDNA may influence CD4+ reconstitution, we do
309 not have any direct functional measurements of mitochondrial oxidative phosphorylation or
310 apoptosis in these subjects to provide additional data on the potential mechanism. Future studies
311 will need to include such measurements. Fifth, this study was carried out on Caucasian patients who
312 started cART with a CD4+ count <350 cells/mm³ thus the results of our study are only truly applicable
313 to this setting.

314 In summary, European mitochondrial haplogroups might influence CD4+ T cell recovery in HIV-
315 infected patients after the initiation of cART. Haplogroups J and T appear to be associated with a
316 worse profile of CD4+ T cell recovery, whereas haplogroup H was associated with a better CD4+
317 reconstitution. Due to the small sample size, our results should be considered more as preliminary
318 data than as definitive results. Replication of these results with independent larger studies may allow
319 for a more specific assessment of mtDNA subhaplogroups associated with even more pronounced
320 differences in CD4 recovery.

321

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330

331 **Transparency declarations**

332 The authors do not have a commercial or other association that might pose a conflict of interest.

333

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337 participation and the Centro de Transfusión of Comunidad de Madrid for the healthy donor blood
338 samples provided.

339

340 **AUTHORS CONTRIBUTIONS**

341 JB and SR participated in the study concept and design. JB, DM, JC, JCL, PC and TAE participated in
342 patient selection, collection of samples and acquisition of data. MGF, AFR, MAJS, MGA, and YC
343 participated in sample preparation, DNA isolation and genotyping pre-procedure, and contributed
344 with critical revision of the manuscript. JMB and SR performed all statistical analysis. SR supervised
345 the study. All authors revised the manuscript from a draft by SR.

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482 **Figure 1.** Temporal trends of median CD4+ (cells/mm³) according to European haplogroups in HIV-
483 infected patients on cART. (*), significant differences (p<0.05) between haplogroups HV and JT, and
484 between haplogroups H and J were extracted from a Mann-Whitney test.

485

486 **Figure 2.** Likelihood of achieving the first value of CD4+ count ≥ 500 cells/ mm³. Data were extracted
487 from Cox proportional hazards test adjusted by baseline characteristics such as gender, age, HCV
488 infection, AIDS, CD4+/mm³, HIV-RNA, and the inclusion of NRTIs with mitochondrial toxicity
489 (Zidovudine, Didanosine, Stavudine) in the initial cART.

490

491 **Figure 3.** Summary of the median time with CD4+ count ≥ 500 cells/mm³ in HIV-infected patients on
492 cART according to European haplogroups. P-values were extracted from a Mann-Whitney test.

493

494 **Figure 4.** Likelihood of achieving CD4+ count ≥ 500 cells/mm³ over an extended period of time
495 according to European haplogroups JT, J and T among HIV-infected patients on cART. Data were
496 extracted from logistic regression test adjusted by gender, age, HCV infection, AIDS, CD4+/mm³ and
497 HIV-RNA at baseline, percentage of time with HIV-RNA <50 copies/mL in respect to the whole follow-
498 up period, and NRTIs with mitochondrial toxicity (Zidovudine, Didanosine, Stavudine) in the initial
499 cART.

500

Table 1. Clinical, immunologic, and virologic characteristics of the HIV-1-infected patients at baseline.

	Clusters or major-Haplogroups				
	HV	IXW	U	JT	All
No.	133	23	68	51	275
Male	99 (74.4%)	17 (73.9%)	52 (76.5%)	40 (78.4%)	208 (75.6%)
Age (years)	38.1 (32 - 45.1)	38.6 (30.7 - 41.3)	37.6 (32.6 - 50.1)	36.8 (32 - 46)	37.8 (32 - 45.1)
Clinical category C (CDC)	62 (46.6%)	12 (52.2%)	28 (41.2%)	29 (56.9%)	131 (47.6%)
Intravenous drug use (IDU)	47 (35.3%)	8 (34.8%)	31 (45.6%)	19 (37.3%)	105 (38.2%)
HCV infection	51 (38.3%)	9 (39.1%)	33 (48.5%)	19 (37.3%)	112 (40.7%)
HIV markers					
CD4+ T cells/mm ³	136 (48 - 225)	93 (51 - 252)	153 (74 - 241)	127 (50 - 230)	136 (50 - 231)
Log ₁₀ plasma HIV-RNA (copies/mL)	4.56 (3.89 - 5.28)	4.95 (4.27 - 5.51)	4.55 (4.09 - 5.19)	4.93 (4.24 - 5.42)	4.71 (4.06 - 5.30)
First cART regimen					
<i>Nucleoside analogue (NRTI)</i>					
Zidovudine	49 (36.8%)	4 (17.4%)	23 (33.8%)	21 (41.2%)	97 (35.3%)
Azlctabine	4 (3%)	0 (0%)	0 (0%)	1 (2%)	5 (1.8%)
Didanosine	19 (14.3%)	8 (34.8%)	9 (13.2%)	12 (23.5%)	48 (17.5%)
Stavudine	41 (30.8%)	9 (39.1%)	26 (38.2%)	16 (31.4%)	92 (33.5%)
Lamivudine	96 (72.2%)	18 (78.3%)	49 (72.1%)	39 (76.5%)	202 (73.5%)
Abacavir	13 (9.8%)	1 (4.3%)	11 (16.2%)	3 (5.9%)	28 (10.2%)
Tenofovir	30 (22.6%)	4 (17.4%)	13 (19.1%)	8 (15.7%)	55 (20%)
Emtricitabine	24 (18%)	2 (8.7%)	13 (19.1%)	5 (9.8%)	44 (16%)
<i>Protease inhibitor (PI)</i>					
Ritonavir	43 (32.3%)	9 (39.1%)	19 (27.9%)	13 (25.5%)	84 (30.5%)
Nelfinavir	7 (5.3%)	1 (4.3%)	1 (1.5%)	4 (7.8%)	13 (4.7%)
Lopinavir	23 (17.3%)	8 (34.8%)	9 (13.2%)	8 (15.7%)	48 (17.5%)
Saquinavir	7 (5.3%)	0 (0%)	4 (5.9%)	2 (3.9%)	13 (4.7%)
Indinavir	42 (31.6%)	6 (26.1%)	21 (30.9%)	16 (31.4%)	85 (30.9%)
Amprenavir	4 (3%)	0 (0%)	1 (1.5%)	1 (2%)	6 (2.2%)
Atazanavir	5 (3.8%)	0 (0%)	4 (5.9%)	0 (0%)	9 (3.3%)

	Clusters or major-Haplogroups				
	HV	IXW	U	JT	All
<i>Non-Nucleoside analogue (NNRTI)</i>					
Nevirapine	12 (9%)	3 (13%)	10 (14.7%)	9 (17.6%)	34 (12.4%)
Efavirenz	26 (19.5%)	4 (17.4%)	15 (22.1%)	9 (17.6%)	54 (19.6%)
<i>Others</i>					
Enfuvirtide	1 (0.8%)	0 (0%)	0 (0%)	0 (0%)	1 (0.4%)
Raltegravir	1 (0.8%)	1 (4.3%)	1 (1.5%)	0 (0%)	3 (1.1%)
<i>cART protocols</i>					
3 NRTI	4 (3%)	1 (4.3%)	2 (2.9%)	2 (3.9%)	9 (3.3%)
2 NRTI + 1 PI	53 (39.8%)	8 (34.8%)	20 (29.4%)	19 (37.3%)	100 (36.4%)
2 NRTI + 1 NNRTI	32 (24.1%)	6 (26.1%)	21 (30.9%)	16 (31.4%)	75 (27.3%)
2 NRTI + 2 PI	35 (26.3%)	6 (26.1%)	18 (26.5%)	11 (21.6%)	70 (25.5%)
3 NRTI + 1 NNRTI	5 (3.8%)	0 (0%)	4 (5.9%)	0 (0%)	9 (3.3%)
Others	4 (3%)	2 (8.7%)	3 (4.4%)	3 (5.9%)	12 (4.4%)
2 years on cART initiation					
Same regimen as the cART initiation (%)	55/125 (44%)	12/22 (54.5%)	34/65 (52.3%)	23/47 (48.9%)	124/259 (47.9%)
No. of line therapy	2 (1 - 2)	1 (1 - 2)	1 (1 - 2)	1 (1 - 2)	1 (1 - 2)
5 years on cART initiation					
Same regimen as the cART initiation (%)	10/92 (10.9%)	6/19 (31.6%)	8/48 (16.7%)	8/37 (21.6%)	32/196 (16.3%)
No. of line therapy	2 (2 - 3)	2 (1 - 3)	2 (2 - 3)	2 (2 - 3.5)	2 (2 - 3)
8 years on cART initiation					
Same regimen as the cART initiation (%)	6/62 (9.7%)	1/13 (7.7%)	4/36 (11.1%)	1/22 (4.5%)	12/133 (9%)
No. of line therapy	3 (2 - 4)	3 (2 - 4)	3 (2 - 4)	3 (2 - 4)	3 (2 - 4)

Values are expressed as median (percentile 25 - percentile 75) and absolute count (percentage). HCV: Hepatitis C virus. HIV-1: Human immunodeficiency virus type 1. HIV-RNA: plasma HIV load. cART: combination antiretroviral therapy. NRTI: nucleoside analogue HIV reverse transcriptase inhibitor. NNRTI: non-nucleoside analogue HIV reverse transcriptase inhibitor. PI: protease inhibitor. CDC: Center for Disease Control and Prevention.

Figure 1.

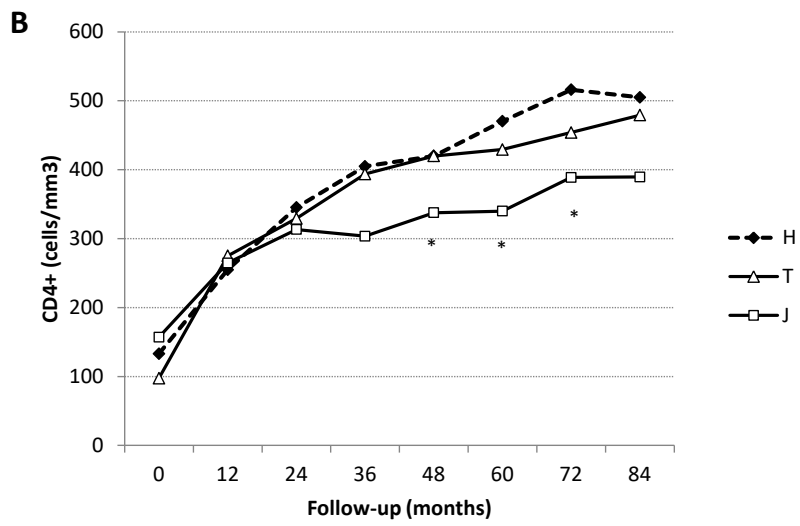
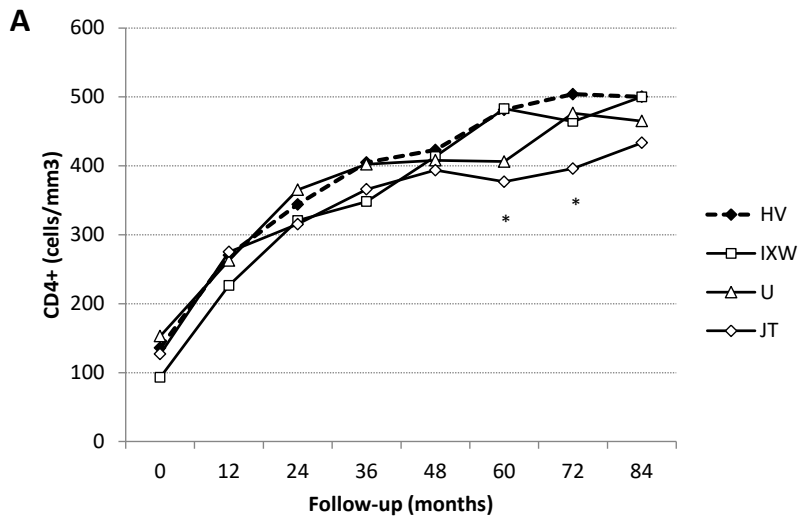


Figure 2.

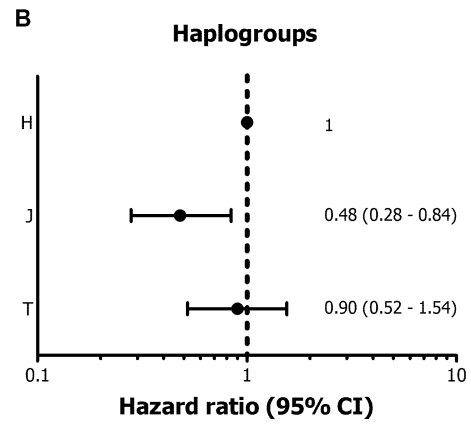
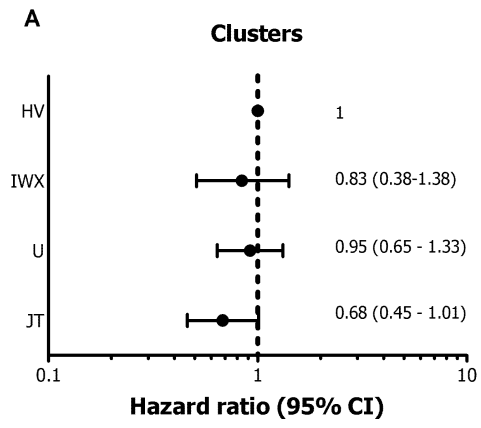


Figure 3.

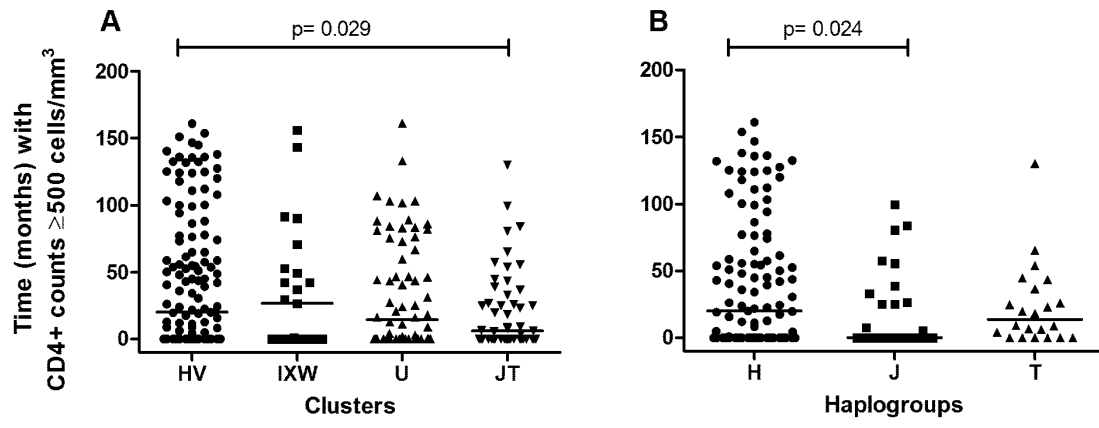


Figure 4.

