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2	Large contribution of copy number alterations in early stage of Papillary Thyroid
3	Carcinoma
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14	Running title: Genomic landscape of Papillary Thyroid Carcinoma initiation
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23 Abstract

Papillary Thyroid Carcinoma (PTC) accounts for approximately 85% of patients with thyroid cancer. Despite its indolent nature, progression to higher stages is expected in a subgroup of patients. Hence, genomic characterization of the early stages of PTC may help to identify this subgroup, leading to better clinical management.

Here, we conducted a comprehensive mutational and somatic copy number alteration (SCNA)
investigation on 277 stage one PTC from TCGA.

SCNA analysis revealed amplification and deletion of several cancer related genes. We found 30 31 amplification of 60 oncogenes (Oncs), from which 15 were recurrently observed. Deletion of 58 32 tumor suppressors (TSs) was also detected. MAPK, PI3K-Akt, Rap1 and Ras were the signaling 33 pathways with large numbers of amplified Oncs. On the other hand, deleted TSs belonged mostly to cell cycle, PI3K-Akt, mTOR and cellular senescence pathways. This suggests that despite 34 heterogeneity in SCNA events, the final results would be the activation/deactivation of few 35 36 cancer signaling pathways. Of note, despite large amounts of heterogeneity in stage one PTC, recurrent broad deletion on Chr22 was detected in 21 individuals, leading to deletion of several 37 38 tumor suppressors.

In parallel, the oncogenic/pathogenic mutations in the RTK-RAS and PI3k-Akt pathways were detected. However, no pathogenic mutation was identified in known tumor suppressor genes. In order to identify a potential subgroup of BRAF (V600E) positive patients, who might progress to higher stages, low frequency mutations accompanying BRAF (V600E) were also identified.

In conclusion, our findings imply that SCNA have a substantial contribution to early stages of PTC.
Experimental validation of the observed genomic alterations, could help to stratify patients at
the time of diagnosis, and to move toward precision medicine in PTC.

Key words: Papillary thyroid carcinoma, Early stage, Genomic landscape, Mutations, Somatic copy
 number alterations

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Page **3** of **22**

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50 **1. Introduction**

Several decades of cancer research confirms a long incubation time of tumor lesion development. 51 52 This provides a great opportunity to detect early precancerous lesions and to intervene during 53 the initiation and progression of carcinogenesis [1]. During tumor initiation, oncogenes may bear activating mutations or be subjected to gene amplification, while tumor suppressors commonly 54 harbor inactivating mutations or acquire gene deletions. In this model, the accumulation of 55 56 somatic mutations or copy number alterations can confer a clonal advantage to a single aberrant cell that subsequently is positively selected for during cancer evolution, resulting in the 57 generation of a malignant clone [2, 3]. 58

59 Due to the lower frequency of background passenger mutations, and also difficulties in predicting functionality and pathogenicity of genetic variants from sequence data, distinguishing driver 60 61 mutations from passengers is a challenging task [4]. The high frequency (or recurring) mutations 62 across patients with certain types of cancers, is already the most reliable characteristic of driver mutations [5]. Recent studies, however indicated that the balance between the rate of DNA 63 replication errors and DNA repair in distinct genomic regions can considerably vary, affecting the 64 frequency of the occurrence of different mutations. This means that even low frequency 65 66 mutations which occur in the regions with low background mutability, can have pathogenic effects and therefore, taking the background mutability into the account can efficiently assist in 67 prioritizing mutations [6]. Of note, for several types of cancers, mutations in known cancer driver 68 69 genes are rare, with most of these cancers harboring genetic alterations with intermediate (2-70 22%) or low (<2%) frequencies in non-driver genes, indicating the possible contribution of low 71 frequency mutations in promoting cancer initiation[7].

Somatic copy number alterations (SCNAs) can affect larger fractions of genomes than any other type of somatic variation. A comprehensive investigation of 12 tumor types demonstrated that the frequency of copy number alterations inversely correlated with mutational events in distinct tumors and suggested that each cancer type can be considered as mutation- or copy number alteration-dominant [8]. In another recent pan-cancer study of 16 different tumors, Smith &

Sheltzer investigated the association of mutations and SCNAs with the cancer survival rate, and indicated that prognostic biomarkers are predominantly found among copy number altered genes. They showed, for instance, that amplification of *EGFR*, *PIK3CA* and *BRAF* genes, strongly associated with poor survival in at least 4 different tumor types, while mutations in these oncogenes were largely uninformative [9].

An increasing body of evidence has demonstrated a large degree of genomic heterogeneity among patients with the same tumor type (inter-tumoral), or between tumor cells within a single tumor sample (intra-tumoral). While the former is a major obstacle toward categorizing patients into distinct genomic subtypes, the latter has impacts on response to treatment and also is the main cause of tumor relapse [10, 11].

Papillary Thyroid Carcinoma (PTC) accounts for approximately 85% of all thyroid cancer cases. A body of evidence has partly elucidated the underlying molecular mechanisms of PTC initiation, which include *RET/PTC* and *TRK* rearrangements, in addition to *BRAF* (V600E) and *RAS* mutations [12-17]. Nevertheless, the incidence and specificity of the suggested tumor markers considerably vary, impeding their clinical applications [18]. In addition, since benign thyroid nodules also show several mutational aberrations, these mutations seem to be insufficient to lead to thyroid carcinoma without accompanying other complementary molecular events [12].

94 To address the genomic complexities of PTC initiation, we examined the mutational and SCNA 95 landscapes in stage one of PTC. Our major goal was to evaluate the amount of contribution of 96 each of these genomic events in PTC initiation. Due to its indolent nature, small number of stage 97 one PTC tumors progress to higher stages. Thus, we proposed that low frequency mutations 98 accompanied by BRAF (V600E) mutations, in a subset of patients, are probably required for the 99 complete pathogenic effect of BRAF mutation. We believe that after confirmation the 100 complementary effect of these low frequency mutations for BRAF (V600E) mutation, they could 101 be efficiently implemented to identify and stratify stage one PTC patients with potential poor 102 prognosis.

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105 **2. Methods**

106 **2.1 Mutation** *analysis*

hg19 mutation data for THCA (Thyroid Cancer) was retrieved from TCGA using the TCGAbiolinks 107 108 package in R [19]; using the GDCquery() function with following parameters: data.category = 109 'simple nucleotide variation'; and file.type = 'bcgsc.ca THCA.IlluminaHiSeg DNASeg.1.somatic.maf'. We applied the 'Mutect' pipeline in 110 'TCGAbiolinks' to get the mutation annotation format (MAF) file. Further investigation of the 111 112 identified mutations was then carried out using the '*maftools*' package.

SIFT (Sorting Intolerant From Tolerant, [20]) and VEP (variant effect predictor, [21]) mutation
 annotation tools were then used to prioritize pathogenic mutations for further analysis.

We also searched 'MutaGene' [22] web server for the identified mutations, by selecting thyroid cancer as the cancer type. MutaGene provides lists of driver and potential driver mutations based on the local background mutability in different cancers. The authors claim that tumor suppressors with higher background mutability have higher recurrence frequency, while highly recurrent oncogenes are characterized by relatively low background mutability.

120 **2-2-** Somatic copy number alteration (SCNA) analysis

121 PTC copy number variation data was retrieved from the "genome wide snp 6-segmented scna minus germline CNV hg19 (MD5)" file from "FireBrowse.org" (Broad Institute of Harvard & MIT). 122 123 This is the level 3 Affymetrix SNP 6.0 data of the TCGA and has been pre-processed as follows: 124 the probe level SCNA has been calculated as LRR (log R ratio), that is, the ratio of the signal 125 intensity of tumor samples and paired normal samples. Then, using CBS (circular binary segmentation), LRR values have been segmented at the gene level and the "segment mean 126 127 values" were produced. Extra processing has then been performed to remove germline CNV, with the final data then being deposited at FireBrowse. Here we used the "GAIA" [23] package in R 128 129 3.5.0 to find recurrent SCNAs. We defined absolute 0.3 as the cutoff point for amplification / 130 deletion based on the "segment_mean" values. The "runGAIA()" function was used with a q-value

threshold of 0.15 to select the final recurrent SCNA. Finally, we employed *BiomaRt* and
 GenomicRanges packages to annotate the identified aberrations.

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135 **3 Results & Discussion**

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3.1 mutational events of stage one PTC

Table 1 represents the total number of mutation types as well as total number of samples with corresponding mutational events. In total, 237 out of 277 stage one PTC patients (85.6%), showed at least one type of detected mutational alterations (Figure 1.a). Figure 1.b represents top 20 most targeted genes by mutational events. The frequency of somatic mutations in stage one PTC was far less than what is generally indicated for most cancers (i.e., about 0.001 to more than 400 per Mb [4]), ranging from 0.0006 to 0.15 per Mb mutations. There were six patients with more than 100 mutations and 151 patients with less than 20 mutations (Figure 1.b).

Several mutational events associated with the RTK-RAS, NRF2, TP53, MYC, TGF-Beta, PI3K, Hippo,
WNT and NOTCH signaling pathways were detected, which target 34 tumor suppressors and 27
oncogenes (Table 2).

Mutational events with "high/moderate" and "damaging/damaging due to stop" impacts that annotated simultaneously by VEP and SIFT tools, were selected for further investigation, respectively. In total 1209, 2 and 4 pathogenic missense, frame shift deletion and translation start site mutations were detected in stage one PTC, respectively (Table S1). Pathway annotations of the genes harboring pathogenic mutations revealed several signaling and cancer associated pathways. Of note, several members of "thyroid cancer", "thyroid hormone synthesis" and "thyroid hormone signaling" pathways were identified.

Except for BRAF, NRAS and HRAS (all involved in thyroid cancer pathway) mutations which were detected in 128, 23 and 13 stage 1 PTC patients, no other pathogenic mutations were identified in more than 2 samples. However, it is possible that damaging mutations occur in different genes

in a biological pathway in different patients and despite the low frequency of observed 157 158 mutations, the same phenotypic changes would be resulted. For example, none of the 159 pathogenic mutations in PRKCB, ATP1A3, ADCY2, ADCY9, ATFF2, TSHR, PLCB2, PLCB3, PLCB4, CANX and GNAS genes that are involved in thyrocyte growth, differentiation and thyroid 160 hormone secretion were observed in \geq 2 patients. However, inspecting their role in "thyroid 161 hormone signaling pathway" showed that the consequence of all of these pathogenic mutations 162 would be the hypothyroidism. Several lines of research have demonstrated the association 163 between subclinical hypothyroidism and the cancer incidence and mortality rates for some 164 malignancies including colorectal, breast, prostate, liver and thyroid cancer [24-27]. 165

166 We further specified the clinical significance of the identified mutations in tumor suppressors 167 and oncogenes using VEP and SIFT tools. None of the identified mutations in 34 tumor suppressors were of high clinical significance, while Among mutations in the 27 oncogenes, NRAS 168 169 (rs11554290, rs121913254), HRAS (rs121913233), KRAS (rs121913238, rs121913529), AKT1 170 (rs121434592), and BRAF (rs121913364, rs113488022: recurrent [V600E]) mutations were "pathogenic/likely pathogenic" in VEP or "damaging" in SIFT. BRAF, HRAS, NRAS and KRAS 171 172 participate in RTK-RAS pathway and AKT1 and PIK3CA are involved in PI3K pathway. The role of 173 all of these pathogenic mutations in the dysregulation of MAPK and PI3K/AKT pathways in PTC 174 initiation have been well indicated [28].

175 We further identified mutational mutual exclusivity between BRAF-NRAS, BRAF-HRAS, BRAF-MKI67 and BRAF-FRG1 gene pairs. The observed mutual exclusivity between BRAF and other 176 177 oncogenes can be explained by the functional redundancy provided through the activation of two oncogenes, particularly for those participating in the same signaling pathway. Moreover, it 178 has been demonstrated that turning on two oncogenes, at the same time, could be harmful for 179 tumor cells, promoting their senescence or death [29]. NRAS and HRAS oncogenes are direct 180 activators of BRAF in the MAPK pathway; thus, oncogenic mutations in NRAS and HRAS seems to 181 182 be sufficient for MAPK activation, promoting cell proliferation and survival.

Furthermore, recent studies showed the contribution of *MKI67* and *FRG1* in the tumorigenesis of several types of carcinomas including PTC, partly explaining their mutational mutual exclusivity with *BRAF* mutation [30-34].

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3.1.1 Potential novel driver mutations based on background mutability

187 As previously stated, the occurrence of mutations in regions with less possibility of bearing 188 mutations (low background mutability), is a way to find if a mutational event in a gene would be 189 harmful and that the targeted gene could be considered as novel driver mutation. Several 190 potential driver mutations were identified based on local background mutability provided by 191 MutaGene web server (Table 3). These potential novel mutations are involved in the NOTCH, HIPPO, PI3K-AKT, RAS-RTK, and MAPK signaling pathways. However, none of the identified 192 193 potential driver mutations were detected in more than 2 samples and their low frequencies could 194 exclude their contribution in PTC initiation.

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3.1.2 Low frequency mutations accompanying BRAF (V600E) mutation

196 Several research groups have demonstrated that few BRAF (V600E)-positive stage one PTC patients progress to higher stage cancer [35]. Previous studies hypothesized that low frequency 197 198 mutations accompanying BRAF mutation in a subset of BRAF positive patients will lead to the 199 complete pathogenic effects of BRAF [22]. Here, we identified 3 genes: FLG, KRTAP10-10 and F5, that harbor low frequency mutations, accompanied by BRAF (V600E) mutation in \geq 3 stage 1 PTC 200 201 patients(Figure 2). Among the identified low frequency mutations, FLG mutations are the most 202 frequent (identified in 11 patients) and has a higher possibility to be the major BRAF (V600E) 203 mutation contributor. Filaggrin (FLG) is an important epidermal protein highly expressed in the 204 outer layer of epidermis that establishes the skin barrier. FLG abnormalities are associated with 205 three skin diseases: atopic dermatitis, ichthyosis vulgaris and psoriasis vulgaris [36], and its 206 possible contribution to PTC initiation remains to be understood.

207 3.2 SCNA events of stage one PTC

In total, 156 gains and 167 losses were identified in 25 and 96 stage one PTC patients (43.77%),
 respectively. Figure 3.a represents the distribution of gains and losses in stage one PTC, per

210 chromosome. We defined alterations < 3Mb as focal, > 3Mb as broad, and those covering >98% 211 of a chromosomal arm as arm-level. Focusing on oncogenes and tumor suppressors, in overall, 212 60 broad amplifications of proto-oncogenes, of which 15 were recurrently observed in \geq 3 stage 213 one patients, arm-level gains of q arm of chromosomes 5, 7, 12, 16 and 17, targeting 52 proto-214 oncogenes (Table S2), arm-level deletion of chromosomes 2, 8, 9, 11 and 13 targeting 41 tumor 215 suppressors, and broad and focal deletion of 56 and 2 tumor suppressors, (Table S3) were 216 identified, respectively. Figure 3. b shows the number of identified arm-level, broad and focal gains-losses in proto-oncogenes and tumor suppressors. MAPK, Rap1, PI3K-Akt, Ras and mTOR 217 signaling pathways were the top 5 pathways with the large number (19, 18, 18, 14 and 10, 218 219 respectively) of amplified oncogenes (Figure 4.a). The most targeted pathways by loss of tumor 220 suppressors include cell cycle, PI3K-Akt, cellular senescence, mTOR and P53, with respectively 7, 6, 5, 5 and 4 tumor suppressors (Figure 4.b). 221

222 Of note, among the identified broad deletions, a recurrent broad deletion on chr22 q arm (in 21 223 stage one PTC), were identified, encompassing 720 genes, including several members of the Hippo, TGFB, FOXO1, MAPK, RAS, PI3K-AKT, JAK-STAT, P53, and mTOR signaling pathways As well 224 225 as six tumor suppressors — CHEK2, MN1, NF2, RASL10A, SMARCB1 and SUSD2 (Figure 5). As the 226 activator of P53, the functional product of CHEK2 (Checkpoint kinase 2), regulates cell division. 227 Inactivating mutation of CHEK2 has been reported in a variety of cancers including PTC [37]. In a 228 recent research, Borun and colleagues showed that NF2 (aka Merlin) deletion results into the 229 activation of Ras expression in PTC, and induces cell proliferation [38]. In addition, previous studies showed that inactivation of NF2 and SMARCB1 provoking central nervous system 230 231 tumors[39].

To identify functional SCNAs, i.e., those that may affect gene expression level, we evaluated the relationship between the gene expression alterations identified in stage one PTC in our previous study [40] with the gains and losses identified in our current study. Results highlighted elevated expression of *ECM1* and *ESM1* and decreased expression of *DNAJB1*, *PLA2R1*, *FBLN1*, and *NR4A3*. Except for *FBLN1*, which we found as recurrently deleted in 21 stage one patients with the broad deletion on chr22, other functional gains or losses were observed in no more than 4 patients. Previous studies have indicated elevated expression of 2 functional genes (*ECM1* and *ESM1*) in

239 different cancers. The overexpression of extra-cellular matrix 1 (ECM1) results in the migration, 240 invasion and adhesion of tumor cells [41, 42]. Endothelial cell-specific molecule-1 (ESM-1, aka 241 Endocan) also plays a role in tumor growth and angiogenesis through the Akt-dependent activation of NF-kB pathway[43, 44]. Among functional losses, DNAJB1, a member of DNAJ 242 243 protein family, has anti-apoptotic activity [45] and thus, we expected increase in its activity during stage one PTC. It can be inferred from the presence of DNAJB1 among functional deleted 244 genes in stage one PTC that these kinds of compensatory molecular events, that are not present 245 in aggressive tumors, is responsible for the indolent nature of PTC. *PLA2R1* is a positive regulator 246 of DNA damage response, and several investigations have confirmed its tumor suppressor 247 248 activities in several cancers, including thyroid cancer [46]. Moreover, the epigenetic regulation of *PLA2R1* through hyper methylation of its promoter and also by micro RNAs inhibition, support 249 250 its tumor suppressor activity [47, 48]. Fibulin1 (FBLN1), is a multi-functional extracellular tumor 251 suppressor; with the epigenetic down-regulation in various cancers [49-51]. NR4A3 is a tumor suppressor and direct transcriptional target of P53, that is involved in modulating apoptosis, 252 253 tumorigenesis and cell cycle [52].

Evaluation of stage one PTC patients by follow-up data could help to evaluate and prioritize the identified mutations and SCNAs according to patients' outcome (Distant metastasis, locoregional recurrence, or new primary tumor). However, follow-up data was available for very few stage one PTC patients, thus we could not generalize genomic alterations of these patients to entire stage one PTC patients.

4. Conclusion

Figure 6 shows key mutational and copy number alteration features with the potential contribution to the tumor development in PTC initiation.

Since progression to higher stages (stage three and stage four) are expected for approximately 18% of stage one PTC [53], the prevalence of pathogenic mutations in a large number of stage one PTC patients excludes their exclusive contribution to poor clinical outcome; thus, their oncogenic effects have to be considered alongside other genomic alterations such as accompanying low frequency mutations. Moreover, it has previously been indicated that, copy

number alteration of several oncogenes correlates with poorer outcome, while their mutational
 changes does not correlate with survival [9]. Thus, we believe that the traditional perspective of
 considering the mutational alterations as the major and sole contributor to tumor initiation and
 progression should be revised.

Broad deletion on chr22 and the recurrent amplification of 15 proto-oncogenes, were the onlyhighly recurrent events in stage one PTC.

We identified that in stage one PTC, oncogenic activation occurs through both pathogenic mutations and gene amplification, while tumor suppressor inhibition is exclusively mediated by SCNA. In addition, a large number of gains or losses in oncogenes and tumor suppressors, respectively, highlights the considerable contribution of SCNA, compared with mutational events, in early-stage PTC. The tumorigenic role of the introduced driver mutations (based on background mutability of genes) as well as low frequency mutations accompanying BRAF(V600E), should be evaluated in distinct populations of stage one PTC.

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Table 1: Number of targeted genes and patients in each mutation type in stage one PTC.

Mutation Type	No of targeted genes	No of patients
Missense	3291	174 (63%)
Small Insertion/Deletions	127	63 (23%)
Silent	4410	171 (62%)
Splice Site	135	67 (24%)
Translation Start Site	14	12 (4%)

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- **Table 2:** Number of stage one PTC patients with mutations in tumor suppressors (TSs) and oncogenes in different
- cancer signaling pathways.

Signaling pathways	#Patients with mutations in TSs	# Patients with mutations in Oncogenes
RTK-RAS	3	176
Нірро	13	3
Wnt	6	11
NOTCH	9	3
ТР53	8	0
РІЗК	0	4
MYC	2	0
TGF-beta	1	0
NRF2	1	0

Table 3: Potential driver mutations based on background mutability identified by MutaGene webserver.

Mutation	Туре	Gene Symbol	Signaling pathways
p.Lys740Thr	Missense	CTBP2	NOTCH
p.Asn978Ser	Missense	CTBP2	NOTCH
p.Gly732Glu	Missense	CTBP2	NOTCH
p.Gly732Arg	Missense	CTBP2	NOTCH
p.lle625Phe	Missense	CTBP2	NOTCH
p.Lys1162Gln	Missense	KDM5A	NOTCH
p.Gln590Pro	Missense	MAML2	NOTCH
p.Phe5028Ser	Missense	HMCN1	HIPPO
p.Asn709Asp	Missense	DEPDC5	PI3K-AKT
p.Leu703His	Missense	KSR2	RTK-RAS
p.Pro1070Ala	Missense	PLXNB1	RTK-RAS
p.Leu1660Val	Missense	PLXNB1	RTK-RAS
p.Val1492Gly	Missense	CHD4	WNT

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- 296 **Conflicts of interest/Competing interests:** There is no conflict of interest.
- 297 Ethics approval: All TCGA data had already been collected from patients considering TCGA Ethics &

298 Policies.

- 299 Authors contribution: NH performed the analyses and wrote the manuscript, MH, KB and CM reviewed
- 300 the manuscript; MK supervised the analyses.
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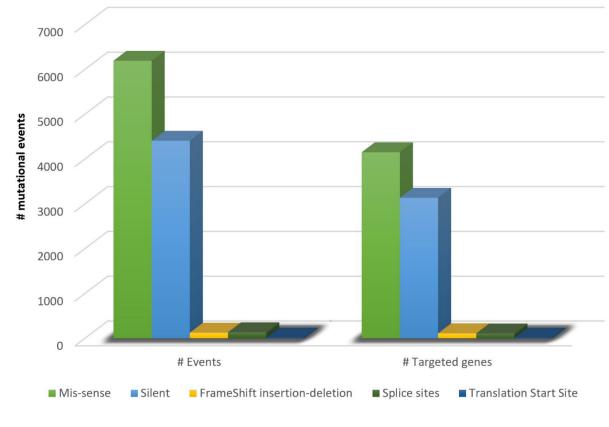
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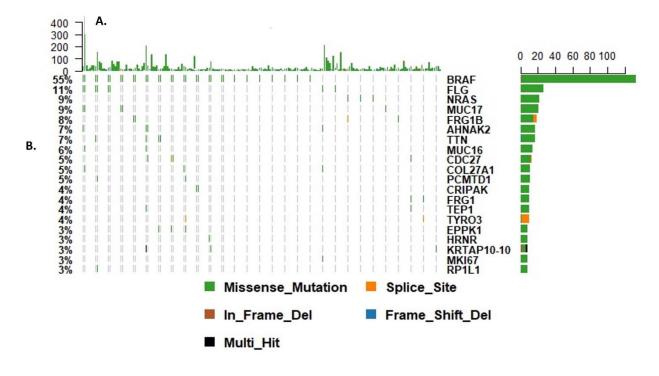
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425	Table legends:
426	Table 1: Number of targeted genes and patients in each mutation type in stage one PTC.
427 428	Table 2: Number of stage one PTC patients with mutations in tumor suppressors (TSs) and oncogenes in different cancer signaling pathways.
429	Table 3: Potential driver mutations based on background mutability identified by MutaGene webserver.
430	Table S1: The identified pathogenic mutations confirmed by SIFT and VEP tools.
431	Table S2: Proto-oncogenes targeted by arm-level and broad gains.
432	Table S3: Tumor suppressors targeted by arm-level, broad and focal loss.
433	
434	Figure legends:
435	Figure 1: a. Number of different mutational events (left) and targeted genes (right) in stage one PTC. b.
436	The frequency of mutations across 237 stage one PTC patients: ranging from 2 to 449. B-Top 20 most
437	frequent mutated genes with the number (right) and percent (left) of targeted patients.
438	Figure 2: Thirty low frequency mutations accompanying BRAF(V600E) mutation in 24 patients.
439	Figure 3: a. Distribution of gains and losses across chromosomes in stage one PTC. b. Arm-level vs. broad
440	and focal gains/losses in proto-oncogenes and tumor suppressors.
441	Figure 4: a. Amplified oncogenes and b. tumor suppressors, associated molecular pathways.
442	Figure 5: Signaling pathways targeted by the recurrent broad deletion of chr22 and corresponding
443	genes.
444	Figure 6: Key genomic alteration features in stage one PTC.
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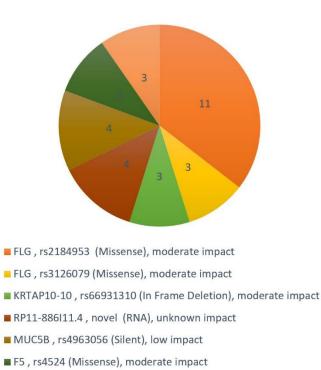
- **Fig.1.a**



453 Fig.1.b

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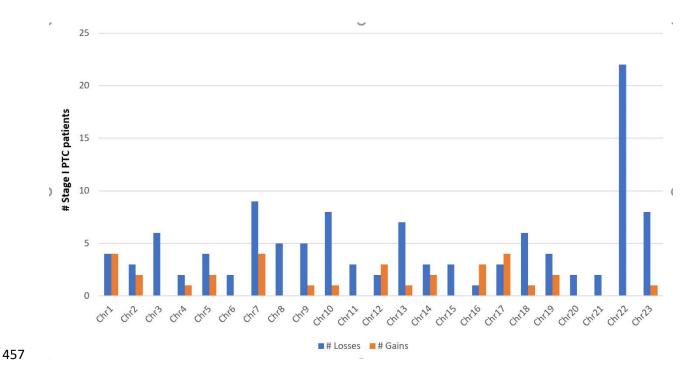


F5 , rs4525 (Missense), moderate impact

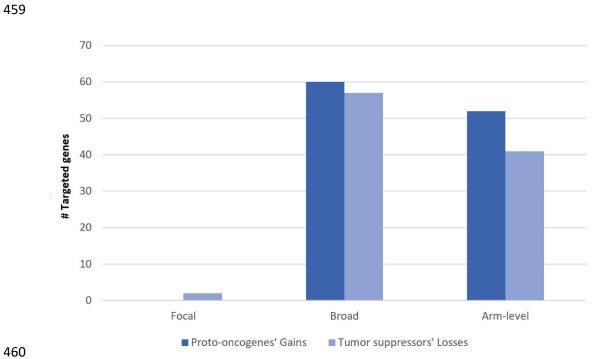
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456 Fig.2



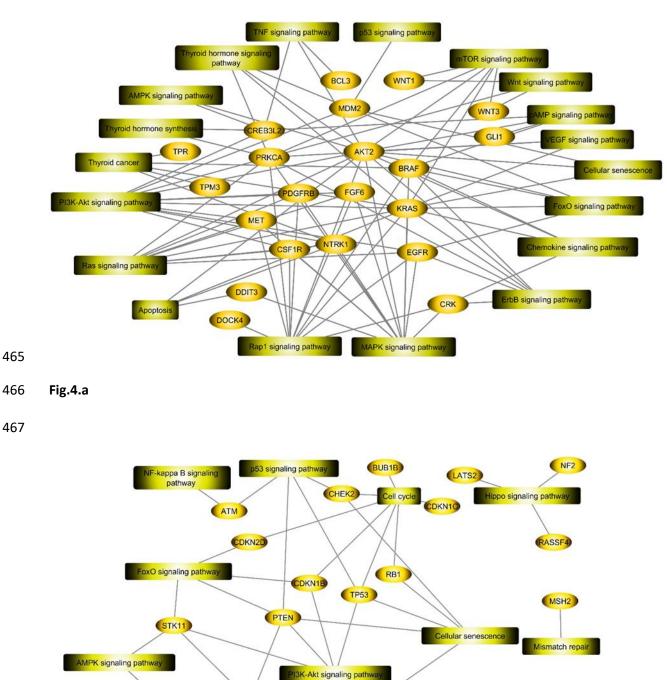






- Fig.3.b





469 Fig.4.b

PHLPP1

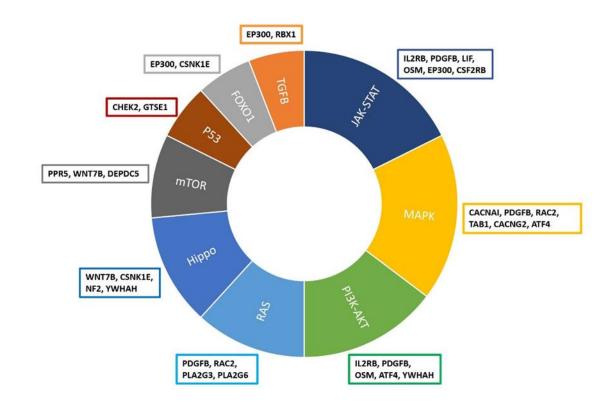
mTOR signaling pathway

(TSC1)

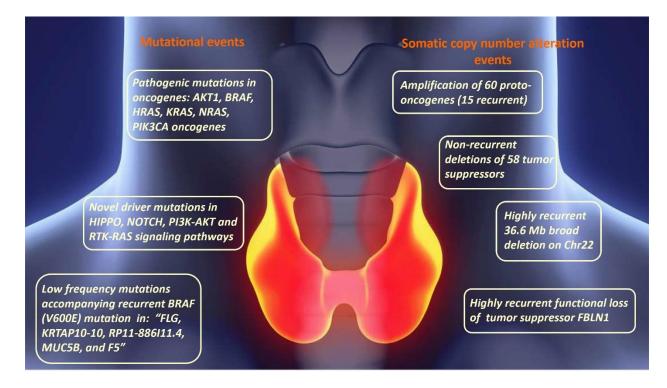
PRR5

FLCN





472 Fig.5



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474 Fig.6