

1 **Activating transcription factor 4 modulates TGF β -induced aggressiveness in triple negative**
2 **breast cancer via SMAD2/3/4 and mTORC2 signaling**

3 Adrián González-González^{#1,2}, Esperanza Muñoz-Muela^{#1,2}, Juan A. Marchal³, Francisca E.
4 Cara^{1,2}, Maria P. Molina^{1,2}, Marina Cruz-Lozano^{1,2}, Gema Jiménez³, Akanksha Verma⁴, Alberto
5 Ramírez⁵, Wei Qian⁵, Wen Chen⁵, Anthony J. Kozielski⁵, Olivier Elemento⁴, María D. Martín-
6 Salvago⁶, Rafael J. Luque⁶, Carmen Rosa-Garrido⁷, David Landeira^{2,8}, María Quintana-Romero^{2,8},
7 Roberto R. Rosato⁵, Maria A. García⁹, Cesar L. Ramirez-Tortosa⁶, Hanna Kim¹⁰, Cristian
8 Rodriguez-Aguayo¹¹, Gabriel Lopez-Berestein¹¹, Anil K. Sood¹¹, Jose A. Lorente², Pedro
9 Sanchez-Rovira^{1,2}, Jenny C. Chang⁵, Sergio Granados-Principal^{1,2,7}.

10 # Contributed equally

11 ¹UGC Oncología Médica, Complejo Hospitalario de Jaén, Jaén, Spain.

12 ²GENYO, Centre for Genomics and Oncological Research, Granada, Spain.

13 ³Instituto de Biopatología y Medicina Regenerativa (IBIMER), Universidad de Granada, Granada,
14 Spain.

15 ⁴Institute for Computational Biomedicine, Weill Cornell Medical College, New York, NY, USA.

16 ⁵Houston Methodist Cancer Center, Houston Methodist Hospital, Houston, TX, USA.

17 ⁶UGC Anatomía Patológica, Complejo Hospitalario de Jaén, Jaén, Spain.

18 ⁷FIBAO. Complejo Hospitalario de Jaén, Servicio Andaluz de Salud, Jaén, Spain.

19 ⁸Department of Biochemistry and Molecular Biology II, Faculty of Pharmacy, University of
20 Granada, Granada, Spain.

21 ⁹Department of Oncology, Virgen de las Nieves University Hospital, Granada, Spain.

22 ¹⁰Texas Tech University Health Sciences Center, School of Pharmacy, Amarillo, TX, USA.

23 ¹¹Center for RNA Interference and Non-Coding RNA, The University of Texas MD Anderson
24 Cancer Center, Houston, TX, USA.

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27 **Corresponding author:** Sergio Granados-Principal, PhD, Complejo Hospitalario de Jaén,
28 Avenida del Ejército Español 10, Jaén, Spain. Phone: (+34) 651 55 79 21. E-mail:
29 sergio.granados.exts@juntadeandalucia.es

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46 **TRANSLATIONAL RELEVANCE**

47 Tumor heterogeneity, metastases, and drug resistance define the aggressiveness and poor survival
48 rates of triple-negative breast cancer (TNBC). ATF4 is overexpressed in breast cancer and TNBC,
49 but its impact on patient survival remains unclear. We demonstrated that *ATF4* expression
50 correlates with lower overall and relapse-free survival rates in breast cancer and TNBC patients.
51 ATF4 has growth factor-dependent functions, which remain unclear in breast cancer. We showed
52 *in vitro* and *in vivo* that *ATF4* depletion leads to the metastasis rate, cancer stemness, and tumor
53 cell survival reduction through the modulation of TGF β /SMAD and PI3K/mTOR pathways and
54 identified a pathway-guided gene signature with prognostic potential. Differential outcomes of
55 patients of the same cancer subtype, treated with the same therapies, demonstrate that novel
56 biomarkers and therapeutic targets are required for the personalized treatment approach. Our
57 findings suggest that ATF4 may serve as a prognostic biomarker and therapeutic target in TNBC
58 patients.

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69 **ABSTRACT**

70 **Purpose.** Based on the identified stress-independent cellular functions of activating transcription
71 factor 4 (ATF4), we reported enhanced ATF4 levels in MCF10A cells treated with TGF β 1. ATF4
72 is overexpressed in triple negative breast cancer (TNBC) patients, but its impact on patient survival
73 and the underlying mechanisms remain unknown. We aimed to determine *ATF4* effects on breast
74 cancer patient survival and TNBC aggressiveness, and the relationships between TGF β and ATF4.
75 Defining the signaling pathways may help us identify a cell signaling-tailored gene signature.

76 **Experimental design.** Patient survival data was determined by Kaplan-Meier analysis.
77 Relationship between TGF β and ATF4, their effects on aggressiveness (tumor proliferation,
78 metastasis, and stemness), and the underlying pathways were analyzed in three TNBC cell lines
79 and *in vivo* using patient-derived xenografts (PDXs).

80 **Results.** *ATF4* overexpression correlated with TNBC patient survival decrease and a SMAD-
81 dependent crosstalk between ATF4 and TGF β was identified. *ATF4* expression inhibition reduced
82 migration, invasiveness, mammosphere-forming efficiency, proliferation, epithelial-mesenchymal
83 transition, and antiapoptotic and stemness marker levels. In PDX models, *ATF4* silencing
84 decreased metastases, tumor growth, and relapse after chemotherapy. ATF4 was shown to be
85 active downstream of SMAD2/3/4 and mTORC2, regulating TGF β /SMAD and mTOR/RAC1-
86 RHOA pathways independently of stress. We defined an eight-gene signature with prognostic
87 potential, altered in 45% of 2509 breast cancer patients.

88 **Conclusions.** ATF4 may represent a valuable prognostic biomarker and therapeutic target in
89 TNBC patients, and we identified a cell-signaling pathway-based gene signature that may
90 contribute to the development of combinatorial targeted therapies for breast cancer.

91

92 **INTRODUCTION**

93 Breast cancer is the most commonly diagnosed type of cancer in women and it is associated with
94 high incidence and death rates (1,2). Triple negative breast cancer (TNBC) is an estrogen (ER),
95 progesterone, and HER2 receptor-negative, very aggressive form of breast cancer, with a poor
96 survival rate. TNBC is characterized by high proliferation, heterogeneity, metastases, drug
97 resistance, and incidence of relapse, and enriched in aggressiveness-related signaling pathways
98 such as TGF β or mTOR. Currently, no approved targeted therapies exist for its treatment (2,3).
99 New or improved targeted therapies, patient stratification into responsive-to-treatment subgroups
100 using novel prognostic biomarkers, and the identification of new therapeutic targets are required
101 to ensure an effective personalized therapy (1).

102 Under stress conditions, including hypoxia, nutrient deprivation, or endoplasmic reticulum stress
103 (ERS), the integrated stress response (ISR) is activated in cells to preserve homeostasis. The
104 activation of the ISR leads to the global protein synthesis reduction through the eukaryotic
105 translation initiation factor 2 alpha (eIF2 α) phosphorylation, driving the translation-regulated
106 activation of activating transcription factor 4 (ATF4) that regulates cell fate. eIF2 α
107 phosphorylation is initiated by protein kinase-like endoplasmic reticulum kinase (PERK,
108 EIF2AK3), general control nonderepressible 2 (GCN2, EIF2AK4), protein kinase double stranded
109 RNA-dependent (PKR, EIF2AK2), and heme-regulated inhibitor (HRI, EIF2AK1) in response to
110 the ERS, amino acid deprivation, viral infection, and heme-deficiency, respectively (4,5).

111 ATF4 is a transcription factor belonging to the ATF/cyclic adenosine monophosphate response
112 element binding protein (ATF/CREB) family, overexpressed in tumors, including breast cancer
113 and TNBC (6–8). ATF4 regulates tumor growth, autophagy, drug resistance, and metastasis during
114 ISR through PERK and GCN2 pathways (9–17). Independent of the cellular stress, ATF4 regulates

115 cell metabolism (8,18,19), osteoblast differentiation (20), drug resistance (21), invasion, and
116 metastasis in esophageal squamous cell carcinoma (22). In the absence of stress, high ATF4 levels
117 correlate with poorer cancer patient survival rate (22). We previously reported increased ATF4
118 expression in the unstressed MCF10A cells treated with TGF β 1 (23), indicating a potential TGF β -
119 mediated stress-independent control of ATF4 activity.

120 Due to these reports, we investigated whether ATF4 can regulate the TGF β -induced
121 aggressiveness of TNBC and affect patient survival. The identification of the relevant signaling
122 pathway may facilitate the design of combinatorial targeted therapies and provide a gene signature
123 that may improve personalized medicine in breast cancer.

124

125 **MATERIALS AND METHODS**

126 Supplementary Information includes Supplementary Materials and Methods, Supplementary
127 Figure Legends and Supplementary Tables.

128 **Bioinformatic analysis**

129 Using the Kaplan-Meier plotter (www.kmplot.com/analysis), the effects of query genes on
130 survival were assessed using 5143 samples from breast cancer patients. Gene expression, relapse-
131 free (RFS) ($n=3951$) and overall survival (OS) data ($n=1402$) were obtained from Gene Expression
132 Omnibus, European Genome-phenome Archive, and The Cancer Genome Atlas (24). Correlations,
133 genomic and transcriptomic alterations, and their impact on patient survival were studied using
134 OncoPrint and Kaplan-Meier analyses of 2509 breast cancer patients (25) by using cBioPortal
135 database (26,27).

136 **Human tissue samples**

137 Paraffin-embedded tissue from TNBC patients ($n=35$), with pathologic information and follow-
138 up, no previous chemo or radiotherapy, and with previous written informed consents signed by all
139 patients, were obtained from the Jaen's node of the Biobank of the Public Health System of
140 Andalusia (Complejo Hospitalario de Jaén, Spain). All samples and procedures were approved by
141 the Ethical Committee for the Research of Jaén and were conducted in accordance with the
142 Declaration of Helsinki and International Ethical Guidelines for Biomedical Research Involving
143 Human Subjects (CIOMS).

144 **ATF4 immunohistochemistry and scoring in TNBC patients' tumor tissue**

145 Tumor tissue was stained for ATF4 (Abcam, ab28830) at 1:50 dilution as reported (28). ATF4 was
146 assessed blindly by three different pathologists. Both staining intensity and extent in neoplastic
147 cells were considered by using semiquantitative scores: A) staining intensity (granular,
148 cytoplasmic) was graded as 0: no staining; 1+: weak, 2+: moderate, 3+: intense (Fig. 1B). B)
149 staining extent was assigned with a value of 0-3 by the following criteria based on % of stained
150 tumor cells: 0-25%=0; 26-50%=1; 51-75%=2; 76-100%=3. Finally, an integrated score was
151 obtained by ponderation of the results as follows: values of staining extent were multiplied by the
152 value of its corresponding intensity score. Therefore, score 0 was multiplied by 0, score 1+ was
153 multiplied by 1, score 2+ was multiplied by 2, and score 3+ was multiplied by 3. The sum of these
154 values (from 0 to 7) was the final score. Example: negative=10%, 1+=50%, 2+=30%, 3+=10% are
155 assigned with the values 0, 1, 1, 0, respectively. ATF4 score: $(0 \times 0) + (1 \times 1) + (1 \times 2) + (0 \times 3) = 3$.

156 **Cell culture**

157 TNBC cell lines, MDA-MB-231 and BT549, were purchased from the American Type Culture
158 Collection, while SUM159PT cells were obtained from Asterand Bioscience. SBE (SMAD
159 binding element) reporter-HEK293 (SBE-HEK293) cell line was purchased from BPS Bioscience.

160 All cells were maintained in Dulbecco's modified Eagle medium (Gibco) supplemented with 10%
161 fetal bovine serum (Thermo Fisher Scientific) and 1% antibiotic-antimycotic (Gibco). SBE-
162 HEK293 cells were cultured under Geneticin selection (Sigma), following the manufacturer's
163 instructions.

164 **Small interfering (si)RNA-mediated knockdown**

165 The cells were transiently transfected with siRNAs targeting *ATF4* (25 nM), *SMAD2/3*, *SMAD4*,
166 *PERK*, *PKR*, *GCN2*, *HRI*, *eIF2 α* , *RPTOR*, *RICTOR*, *TAK1* (*MAP3K7*), and *RAS* (50 nM) using
167 Lipofectamine RNAiMAX (Invitrogen). TGF β 1 (10 ng/mL) was added 48 h post-transfection, and
168 the samples were incubated for 24 or 72 h, depending on the experiment.

169 **Animal experiments**

170 *Patient-derived xenografts (PDXs)*

171 All animal procedures were approved by the Methodist Hospital Research Institute Animal Care
172 and Use Review Office. Experiments were conducted using two human TNBC-derived PDXs,
173 BCM-4664 and BCM-3887 (basal intrinsic subtype) (29). PDXs were transplanted into the cleared
174 mammary fat pad of 4-5-week-old *NOD.Cg-Prkdc^{scid}Il2rg^{tm1Wjl}/SzJ* (NSG) mice maintained in the
175 standard conditions (28). When tumors reached 150-200 mm³ in size, the mice were randomly
176 assigned to four treatment groups ($n=8$ /group): 1) Non-coding siRNA (SCR), 2) *ATF4*-siRNA
177 (siRNA#2), 3) SCR plus docetaxel (Chemo+SCR, 20 mg/kg), and 4) siRNA#2 plus docetaxel
178 (Chemo+siRNA#2, 20 mg/kg) groups. siRNAs were injected twice weekly for 6 weeks at 5
179 μ g/mouse, and docetaxel was administered once per week on days 1, 14, and 28. Tumor volumes
180 and body weights were recorded every 2 days. Tumors were calipered and volume was calculated
181 as previously described (30). Mice were euthanized 24 h after the last injection and tumors were
182 collected for further analyses. For tumor relapse, docetaxel was given at 33 mg/kg dose to BCM-

183 4664-bearing mice, and tumor volume was recorded until the appearance of morbidity, loss of 20%
184 of body weight, or when tumors reached 2 cm³ in size. The metastatic PDX model of TNBC is
185 detailed in Supplementary Materials and Methods.

186 **Statistical analysis**

187 Differences between two groups were analyzed by two-tailed Student's *t*-test. Correlation between
188 ATF4 staining and OS after diagnosis in tumor tissue of TNBC patients was analyzed by the
189 Kaplan-Meier method and further Log-Rank test with SPSS 21.0. Patient samples were stratified
190 by computing all ATF4 scores by a ROC curve analysis, and the best performing threshold was
191 used as a cutoff of positive staining in the analysis. Tumor volume was assessed by two-way
192 analysis of variance (ANOVA) and Bonferroni's post-hoc test. Median survival post-treatment in
193 mice was analyzed using Log-Rank (Mantel-Cox) test and the hazard ratio with 95% confidence
194 intervals were calculated. Each dead animal was assigned with a number 1, and each surviving
195 mouse with a 0. The last day of treatment (day 42) was considered as day 0 for the survival analysis.
196 A *P*-value <0.05 was considered significant.

197

198 **RESULTS**

199 **High ATF4 expression, downstream of SMAD2/3/4, correlates with lower patient survival**

200 High *ATF4* expression was shown to correlate with poorer OS ($n=1402$, $P=0.0095$) and RFS
201 ($n=3951$, $P=8.4e-6$) in all breast cancer cases (All_BC), and RFS in ER⁻ ($n=801$, $P=0.0058$), ER⁺
202 ($n=2061$, $P=0.0011$) and TNBC ($n=255$, $P=0.016$) patients (Fig. 1A and Suppl. Fig. 1A). We next
203 investigated the ATF4 expression in 35 TNBC patients by IHC staining. The frequency of ATF4
204 positive staining was of 66% (intensity $\geq 1+$) (Fig. 1B). Our results showed that patients with a
205 score ≥ 1 (determined by ROC curve analysis and considered as positive cases for the Kaplan-

206 Meier analysis) (Suppl. Fig. 1B) had less OS after diagnosis (37 month) than patients with score
207 <1 (considered as negative cases) (46 months) starting at a 24-months follow-up (Fig. 1C),
208 however, it was not significant ($P=0.125$).

209 We previously reported increased ATF4 levels in TGF β 1-treated MCF10A cells (23). Because
210 TNBC microenvironment is often enriched in TGF β ligands (31), we analyzed TGF β activation
211 effects on ATF4 expression, and demonstrated that it increases in BT549 and SUM159PT cells
212 treated with TGF β 1, which was abrogated by the TGF β R1 kinase inhibitor LY2157299 treatment
213 ($P<0.001$, Fig. 1D), suggesting that ATF4 represents its downstream target. ATF4 expression
214 induced by TGF β 1 and thapsigargin was similar in SUM159PT and BT549, and lower in MDA-
215 MB-231 (Suppl. Fig. 1C). Knockdown experiments demonstrated that ATF4 is regulated by
216 SMAD2/3/4 (Fig. 1E). To analyze whether SMAD2/3 directly regulates ATF4, we analyzed the
217 human *ATF4* promoter region for SBEs and found the conserved CAGAC, CAGA, GTCT,
218 GGCGC, GGCCG motifs (32) (Suppl. Fig. 1D). Careful inspection of ChIP-Seq data of SMAD2/3
219 in BT549 cells treated with TGF β 1 for 1.5 h (33) showed specific binding of SMAD2/3 to
220 *SERPINE1* and *MMP2* (positive controls), *ATF4*, and the TGF β 1 responsive genes *IDI1*, *JUN* and
221 *CDKN1A* promoters, but not to *HBB* and *HPRT1* (negative controls) (Suppl. Fig. 1E). Further, we
222 carried out ChIP-qPCR analysis in BT549 cells treated with TGF β 1 for 1.5 hours and found that
223 SMAD2/3 bind to the *ATF4* promoter, comparable to the *SERPINE1* and *MMP2* promoters (Fig.
224 1F), what suggests that SMAD2/3 can bind and regulate the *ATF4* gene transcription.

225 To ascertain the importance of ATF4 effects on the TGF β pathway, we inhibited *ATF4* expression
226 and SBE activity was tested. The most effective siRNA sequence, siRNA#2 (Suppl. Fig. 2A),
227 decreased SBE activity in HEK-293 cells (Fig. 1G), and phosphorylated (p)-SMAD2/3,
228 SMAD2/3, and SMAD4 levels in BT549 and SUM159PT cells (Fig. 1H), indicating a positive

229 TGF β feedback. In breast cancer patients, co-expression of *ATF4* and the canonical TGF β pathway
230 members correlated with poorer OS ($P=0.0038$; Fig. 1I), with a shift from positive to negative
231 effects on survival when co-expressed with *SMAD4* or *SMAD3* in All_BC group (Fig. 1J). LOOCV
232 results showed that *ATF4* overexpression induces a significant decrease in OS (Suppl. Table S1).

233 ***ATF4* inhibition suppresses the aggressiveness of TNBC cells**

234 *ATF4* depletion in the TNBC cells decreased their wound-healing ability independently of the
235 treatment with TGF β 1 (Fig. 2A and Suppl. Fig. 2B). According to its capacity to silence *ATF4*
236 (Suppl. Fig. 2A), siRNA#2 was more efficient to reduce the tumor cell migration. The migration
237 index was reduced in BT549, SUM159PT and MDA-MB-231 cells, with TGF β 1 (41%, 50% and
238 45%, respectively) and without it (42%, 61% and 65%, respectively) (Fig. 2A). *ATF4* knockdown
239 with siRNA#2 in BT549, SUM159PT and MDA-MB-231 cell lines reduced the number of
240 invading cells with (67%, 50% and 46%, respectively) and without TGF β 1 (38%, 23% and 54%,
241 respectively) (Fig. 2B). In absence of chemoattractant, less number of invading cells was seen
242 upon TGF β 1 treatment in BT549 and SUM159PT cell lines (50% and 42%, respectively). Such a
243 decrease was seen in MDA-MB-231 regardless the absence (44% decrease) or presence (55%
244 decrease) of TGF β 1 in the medium. These changes were accompanied with the downregulation of
245 epithelial-mesenchymal transition (EMT)-related transcription factors (*ZEB1*, *TWIST1*, *SNAIL*,
246 and *SLUG*) in all cells after TGF β 1 treatment, and *TWIST1* and *SNAIL* without TGF β 1. N-
247 cadherin levels were decreased in BT549 and SUM159PT cells, but they were not detected in
248 MDA-MB-231 cells (Fig. 2C). Cell proliferation diminished after *ATF4* knockdown (Fig. 2D),
249 which was followed by a reduction in *BCL2* and *MCL1* in these cells (Fig. 2E).

250 Cancer stem cells (CSCs) contribute to metastasis, tumor growth, and treatment resistance. To
251 determine whether the role of *ATF4* in the TNBC aggressiveness is affected by CSC alterations,

252 we assessed ATF4 expression in mammospheres as a surrogate marker of CSCs *versus* the attached
253 cells. Protein levels were shown to increase with time and mammosphere generation stage (Fig.
254 3A and Suppl. Fig. 2C). We investigated the effects of *ATF4* depletion on mammosphere-forming
255 efficiency (MSFE), which was reduced after *ATF4* knockdown in all cells (Fig. 3B). Since ATF4
256 expression was induced by oxidative stress in suspension cultures (13), we measured the
257 expression levels of stemness markers after *ATF4* inhibition in the attached cells, to determine
258 whether our results were due to the modulation of stem-like properties or they represent a
259 consequence of detachment. *NANOG*, *SOX2*, *OCT4*, and *CXCL10* levels were decreased in BT549
260 and SUM159PT cells (Fig. 3C). These results were confirmed at protein levels as well, except for
261 *CXCL10*, which was not detected (Fig. 3D). With TGFβ1, cleaved NOTCH1, OCT4 and CD44
262 expression levels were consistently decreased in all cells. Without TGFβ1, NANOG, NOTCH1
263 and CD44 proteins were inhibited by *ATF4*-siRNA (Fig. 3D).

264 ***ATF4* inhibition reduces metastases, tumor growth, and relapse in the PDX models**

265 We selected the BCM-3887 and BCM-4664 PDX models for our analyses, with high and medium
266 *ATF4* expression, respectively, by RNA-Seq and IHC (Fig. 4A and B). To determine the effects
267 of *ATF4* silencing on metastases, we used a highly metastatic PDX model (3887-LM) in mice.
268 After the primary tumor removal, mice were treated with DOPC-conjugated *ATF4*-siRNA#2 and
269 SCR twice weekly for 6 weeks. siRNA#2-treated animals had less metastatic nodules in liver and
270 lungs ($P<0.05$; Fig. 4C and D). Metastatic lesions were confirmed microscopically by Ki67
271 staining (Fig. 4E) and they were positive for ATF4 (Fig. 4F).

272 We assessed tumor growth, ALDF+ subpopulation number, and recurrence following the mouse
273 treatment with *ATF4*-siRNA and/or docetaxel. *In vivo* *ATF4* silencing significantly reduced the
274 tumor growth alone ($P<0.01$) or in combination with docetaxel ($P<0.05$; Fig. 5A), while the

275 ALDF+ subpopulation number decreased in BCM-3887 model (Fig. 5B). In the BCM-4664 model,
276 *ATF4* inhibition restrained the tumor growth (Fig. 5C) and the ALDF+ subpopulation number (Fig.
277 5D) compared with those in the controls. To investigate tumor relapse after chemotherapy, we co-
278 administered *ATF4*-siRNA and docetaxel (33 mg/kg) twice per week for 6 weeks to mice bearing
279 BCM-4664 tumors. Chemo+SCR tumors reached the minimum volume (124 mm³) at day 24,
280 while the regrowth was initiated at day 28 (128 mm³), showing a 2.4-fold increase at day 38. In
281 contrast, tumor volume in Chemo+siRNA#2 mice was 63 mm³ at day 24, and they started to
282 regrow at day 28 (78 mm³), reaching a 1.4-fold increase at day 38. At day 56, tumor volume in
283 Chemo+SCR was 2083 mm³, while it was shown to reach 548 mm³ in Chemo+siRNA#2 mice
284 ($P<0.001$; Fig. 5C). Median survival post-treatment was 28 days in Chemo+siRNA#2 and 15 days
285 in Chemo+SCR ($P<0.0001$; Fig. 5E). To confirm that *ATF4* targeting was successful, we
286 determined ATF4 expression in BCM-3887 (Fig. 5F) and BCM-4664 tumors (Fig. 5G).

287 **ATF4 is a downstream mTORC2 target and is involved in the regulation of mTOR/RAC1-**
288 **RHOA in a stress-independent manner**

289 To analyze whether TGF β activates ISR-dependent ATF4 expression, we knocked down *PERK*,
290 *PKR*, *GCN2*, *HRI*, and eIF2 α in the presence of TGF β 1, and demonstrated that their inhibition did
291 not downregulate ATF4 expression consistently across the cell lines (Fig. 6A). *PERK*, *PKR* and
292 *GCN2* depletion in SUM159PT cells, and *GCN2* in MDA-MB-231, inhibited ATF4, indicating a
293 cell line-dependent relevance of these pathways on ATF4 expression. Unexpectedly, ATF4 levels
294 were increased upon eIF2 α knockdown. Interestingly, after *PERK* knockdown, p-eIF2 α was
295 inhibited only in BT549 and MDA-MB-231 cells, what did not correlate with a decrease of ATF4.
296 We inhibited the non-canonical TGF β pathways MEK/ERK, PI3K, TAK1, and P38-MAPK (34)
297 using the pharmacological inhibitors and TGF β 1. ATF4 expression was decreased after PI3K and

298 TAK1 inhibition (Suppl. Fig. 3A). PI3K, mTOR, and SGK1/2 were shown to represent the
299 upstream ATF4 regulators, independent of AKT and PDK1 (Suppl. Fig. 3B). A second PI3K
300 inhibitor treatment excluded possible inhibitor-dependent off-target effects on ATF4 expression
301 (Suppl. Fig. 3C). To test whether the crosstalk between TGF β and RAS, upstream of PI3K,
302 represents the leading signal, we transfected BT549 and SUM159PT cells with *RAS*-siRNA,
303 accompanied or not by the treatment with TGF β 1. *RAS* inhibition failed to decrease ATF4 levels,
304 independent of p-AKT levels (Suppl. Fig. 3D).

305 Rapamycin inhibits mTORC1 and mTORC2 in a dose- and time-dependent manner, together with
306 SGK1 expression, which is activated by mTORC2 (35). To determine whether ATF4 is a
307 downstream target of mTORC1 and/or mTORC2 with active TGF β , TNBC cells were transfected
308 with *RPTOR* or *RICTOR*-siRNAs and treated with TGF β 1. We observed decreased ATF4 levels
309 only following the *RICTOR* inhibition in all analyzed cells (Fig. 6B). Since we showed that SNAIL
310 expression considerably decreases after *ATF4* knockdown, it was used as a surrogate for ATF4
311 inhibition. SNAIL levels were decreased after *RICTOR* silencing and TGF β 1 treatment in all
312 analyzed cells (Fig. 6C).

313 mTOR signaling activity is modulated by several feedback loops (35), and therefore, we analyzed
314 a potential feedback loop between ATF4 and mTORC1/2. In 2509 breast cancer patients, *ATF4*
315 expression was shown to correlate with the expression of mTORC1 (*EIF4E*, R=0.463; *RPS6*,
316 R=0.380) and mTORC2 targets (*NDRG1*, R=0.213; *RHOA*, R=0.320) ($P<0.0001$; Fig. 6D). The
317 positive feedback between ATF4 and mTORC1 and mTORC2 activity was further confirmed by
318 demonstrating that *ATF4*-siRNA treatment inhibited the downstream targets of mTORC2 (p-
319 *NDRG1*, *RHOA*, *RAC1*) and mTORC1 pathway (p-AKT, p-P70S6K) in SUM159PT and BT549
320 cells (Fig. 6E). Interestingly, *RHOA* and *RAC1* levels were consistently reduced after TGF β 1

321 treatment, and RAC1 expression inhibition was maintained at different time points in all cell lines
322 (Fig. 6E and Suppl. Fig. 3E).

323 Collectively, our data suggest that ATF4 is involved in and regulates both the canonical,
324 SMAD2/3/4, and non-canonical, PI3K/mTORC2/RHOA-RAC1, TGF β signaling pathways to
325 modulate metastasis, stemness, and tumor cell survival (Fig. 6F).

326 **Prognostic potential of a mechanism-based gene signature in breast cancer patients**

327 To help improve the prognosis and treatment decision-making in breast cancer patients, using
328 Kaplan-Meier plotter database, we studied the impact of different members of the
329 TGF β /SMAD/ATF4 and PI3K/mTOR/ATF4 pathways on the breast cancer patient RFS (Suppl.
330 Table S2) using multivariate analysis and LOOCV. Here, we identified an eight-gene signature,
331 including *ATF4*, *TGFBRI*, *SMAD4*, *PIK3CA*, *RPTOR*, *EIF4EBP1*, *RICTOR*, and *NDRG1* genes,
332 that predicts a poorer RFS in the high-expression cohort of All_BC (61-fold-change decrease;
333 $n=1764$, $P<0.005$), ER $^-$ (81-fold-change decrease, $n=347$, $P<0.005$) (Fig. 6G), and basal intrinsic
334 subtype ($n=618$, $P<0.005$; Suppl. Table S3). In All_BC group, this signature predicts a 27-time
335 poorer RFS compared with that predicted by using *ATF4* expression alone, as the single gene
336 associated with the highest significant decrease in RFS of this group. In the ER $^-$ group, multi-gene
337 signature predicts a 53-time poorer RFS compared with that predicted using *NDRG1* expression
338 alone, which was the gene associated with the highest significant decrease in the RFS of this group
339 ($P<0.005$; Fig. 6G). LOOCV results demonstrated that the lower RFS in ER $^+$ and TNBC patients
340 depended on the *NDRG1* expression, although its impact on RFS could not be determined in TNBC
341 patients ($P<0.008$; Suppl. Table S2).

342 OncoPrint in 2509 breast cancer patients showed that the gene-signature expression is altered in
343 1138 patients (45%) (Suppl. Fig. 3F). The percentages of alterations ranged from 4%-25% for

344 individual genes (*ATF4*, 4%; *TGFBRI*, 4%; *SMAD4*, 7%; *PIK3CA*, 7%; *RPTOR*, 8%; *EIF4EBP1*,
345 16%; *RICTOR*, 6%; *NDRG1*, 25%). Kaplan-Meier analysis and LOOCV results showed that
346 patients with the altered expressions ($n=1055$) of these genes have poorer survival (143 months)
347 compared with that of the patients without alterations ($n=925$, 173 months, $P=0.00005$) (Fig. 6H).

348

349 **DISCUSSION**

350 *ATF4* has been proposed as a potential contributor to the pathogenesis and development of breast
351 cancer, however, the underlying mechanisms and the impact on patient survival remain unclear.
352 In breast cancer patients, infiltrating carcinoma had higher p-*ATF4* than normal breast tissue, what
353 was associated with lymph node metastases (7). Recently, a gene expression analysis revealed that
354 *ATF4* is overexpressed in TNBC patient tissues (8). Here, we investigated the potential of *ATF4*
355 as a prognostic marker and therapeutic target in breast cancer and showed that high *ATF4* RNA
356 expression correlates with poorer survival in All_BC, ER⁺, ER⁻, and TNBC patients. In a cohort
357 of 35 TNBC patients we found a trend showing that *ATF4* protein expression correlates with a
358 poorer OS. Our results demonstrate that *ATF4* positiveness starts to have a negative impact on
359 survival of TNBC patients at 24 months of follow-up. A higher follow-up period and a bigger
360 cohort would be necessary to show statistically significant results.

361 During tumor invasion and metastases, active pathways like TGF β or NOTCH induce EMT, a shift
362 from the epithelial into mesenchymal phenotype, induced by transcription factors such as SNAIL,
363 SLUG, TWIST1, and ZEB1 (36). TGF β -induced EMT leads to the generation of CSCs with
364 increased self-renewal and tumor-initiating capabilities, resistance to apoptosis and chemotherapy,
365 decreased proliferation, and enhancing tumor recurrence (31). TNBC samples exhibit gene
366 expression profiles observed in CSCs and during EMT, such as increased TGF β and mTOR

367 expression (3), together with a more frequent expression of CSC markers, which is associated with
368 poorer patient outcomes (37). Similar to earlier reports in osteoblasts and pancreatic
369 adenocarcinoma cells (11,20), we reported previously enhanced ATF4 levels in MCF10A cells
370 treated with TGF β 1 (23), which suggests that *ATF4* expression is regulated by TGF β . This
371 pathway is commonly upregulated and necessary in tumor progression and EMT in TNBC patients
372 (3,31,38). Our results showed that ATF4 is expressed after TGF β 1 treatment in TNBC cells, and
373 its expression is inhibited by the treatment with LY2157299, suggesting a direct effect of TGF β
374 on ATF4 expression. We showed that SMAD2/3/4 were at least partially responsible for the
375 regulation of ATF4 expression after TGF β 1 treatment. Further analysis of previously published
376 ChIP-Seq data (33) and subsequent ChIP-qPCR in TGF β 1-treated BT549 cells, demonstrated for
377 the first time that SMAD2/3 bind and regulate *ATF4* transcription. Previous reports show that
378 ATF4 was dependent of SMAD3 in mouse adipocytes (39) but independent of SMAD4 in
379 osteoblasts (40). As previously described for ATF3 (41), *ATF4* depletion reduced TGF β activity
380 and SMAD2/3/4 expression, indicating the presence of a feedback loop between ATF4 and TGF β
381 pathway. In breast cancer patients, co-expression of *ATF4/TGFBRI*, *ATF4/SMAD2*,
382 *ATF4/SMAD4*, and *ATF4/SMAD3* resulted in poorer OS, shown to depend on *ATF4*
383 overexpression. Together, these results demonstrate that TGF β /SMAD2/3/4 are upstream of
384 ATF4, which regulate the signaling through a positive feedback with the TGF β pathway, and it
385 may be involved in the TGF β -associated aggressiveness of TNBC.

386 Here, we report a more important role of *ATF4* in the constitutive (average of 56% decrease) than
387 in the TGF β 1-induced tumor cell migration (average of 45% decrease). However, *ATF4* was more
388 relevant in the TGF β 1-induced than in the basal tumor cell invasiveness (average of 54% and 38%
389 decrease, respectively). Additionally, different EMT transcription factors and stemness markers

390 were inhibited by *ATF4* silencing when TGF β 1 was added or not to the medium. Our results
391 suggest that, under non-stressing conditions, *ATF4* is involved in the aggressiveness of TNBC
392 cells mediated not only by TGF β , but also by other signaling pathways. In TNBC PDX mouse
393 models, *ATF4* depletion resulted in a reduced lung and liver metastasis rate, tumor growth, ALDF+
394 CSC-like population numbers, delayed tumor relapse, and increased mouse survival. Accordingly,
395 independent of the ISR-induced ATF4 expression, the effects of ATF4 on the cell functions
396 regulated by growth-factors were shown to be important (8,18–22). Taken together, our findings
397 indicate that ATF4 modulates the aggressiveness of TNBC through the regulation of ISR-
398 independent key signaling pathways, suggesting a potential usefulness of this gene as a therapeutic
399 target.

400 ATF4 is regulated at both transcriptional and translational levels by different signals (6). Our
401 results show that ATF4 expression depends on the canonical SMAD-dependent TGF β pathway,
402 however, there are not evidences in literature showing that SMADs are responsible to modulate
403 protein translation. Numerous stress types induce the ISR-regulated ATF4 activation mediated by
404 p-eIF2 α (4). The ISR controlled by PERK-GCN2/eIF2 α /ATF4 mediates EMT and metastasis
405 (10,11,13), tumorigenesis (9,14), and chemoresistance (16,17). In non-stressing conditions and
406 presence of TGF β 1, we found that the ISR did not drive ATF4 expression for all the cell lines
407 tested herein, however, it was important in SUM159PT and MDA-MB-231 cells. Contrary to
408 previous reports (9–11,13,15,16), eIF2 α depletion induced ATF4 expression and, noteworthy,
409 when *PERK* was inhibited, reduced eIF2 α phosphorylation was only observed in BT549 and
410 MDA-MB-231, what did not reduce ATF4 levels. These results suggest that neither PERK nor
411 eIF2 α are responsible for the ATF4 translation in absence of stress and presence of TGF β 1.
412 Therefore, we sought to investigate the eIF2 α -independent regulator mechanism of ATF4

413 activation that could be shared by the three TNBC cell lines. TGF β activates non-canonical
414 pathways such as PI3K, MAPK, and TAK1 (34). Pharmacological inhibitor treatment showed that
415 ATF4 expression in the presence of TGF β 1 is also regulated by the PI3K/mTOR pathway
416 independent of AKT activity. In colorectal cancer, ATF4 stabilized by mutant PI3K was found
417 downstream of PDK1/RSK2, and shown to reprogram glutamine metabolism independently of
418 AKT (19). We showed that ATF4 expression does not depend on the presence of AKT, PDK1,
419 RSK2, or PIK3CA mutations, as only SUM159PT cells harbored a mutation in PIK3CA (3). In
420 contrast to previous reports (18,40), our findings revealed mTORC2 to be the leading upstream
421 regulator of ATF4 upon TGF β 1 treatment (although mTORC1 was also important in SUM159PT
422 and BT549 cells). mTORC2 has been reported as a necessary mediator in the TGF β -induced EMT
423 through AKT phosphorylation (Ser473) (42), a well-known feedback loop that activates mTORC1
424 (35), as well as in protein translation by direct interaction with ribosomal proteins (43). Similarly,
425 mTORC1 modulates not only ATF4 transcription but also translation independently of eIF2 α (5).
426 Whether mTORC2 can directly regulate ATF4 translation and transcription remains elusive, but it
427 would explain why ATF4 expression is independent of AKT, PDK1, RSK2, or PIK3CA mutations.
428 According to previous studies (5,15), we observed that ATF4 also regulates mTOR signaling by a
429 feedback loop on mTORC1, what may regulate cell survival and drug resistance induced by MCL1
430 and BCL2 (21,44), and mTORC2. We hypothesize that this dual regulation on mTOR may be
431 attributed to the ATF4-mediated regulation of RAC1 that further affects mTORC1 and mTORC2
432 activity in response to growth-factor stimulation (45), which may potentiate the mTORC2/AKT
433 feedback loop on mTORC1. Because TGF β signaling activates both mTORC1 (46) and mTORC2
434 (47) in a SMAD-dependent way by inhibition of DEPTOR (47), we suggest that TGF β could
435 activate mTORC2 (and mTORC1 in some cell lines) through a SMAD-dependent signaling, what

436 would induce ATF4 expression to mediate EMT, motility, metastasis, pluripotency, and self-
437 renewal. Active mTORC2 could also feedback on AKT to enhance mTORC1-dependent ATF4
438 translation and transcription. This circuit would be maintained by the feedback of ATF4 on mTOR
439 and TGF β signaling through the regulation of SMAD2/3/4 and mTORC1/2-RHOA-RAC1
440 pathways (48,49).

441 Identifying patterns that predict signaling pathway activation, by using gene signatures and
442 considering the target interactions, has been demonstrated to be a viable approach to the
443 personalized TNBC treatment (1). Since ATF4 is involved in TGF β /SMAD and
444 TGF β /PI3K/mTOR pathways, we identified an eight-gene prognostic signature, including *ATF4*,
445 *TGFBRI*, *SMAD4*, *PIK3CA*, *RPTOR*, *EIF4EBP1*, *RICTOR*, and *NDRG1* genes that can be used
446 for the prediction of patient survival in all breast cancer, ER $^-$, and the basal subtype groups. The
447 expression of these signature genes was shown to be altered in 45% of 2509 breast cancer patients,
448 with lower survival rates observed in these patients. Breast cancer patient stratification, especially
449 ER $^-$ patients, according to this gene signature may provide a useful strategy for designing effective
450 signaling pathway-guided combinatorial targeted therapies aimed at the reduction of tumor
451 growth, metastases, and relapse risk, and may allow the identification of potentially responsive
452 patients.

453 In conclusion, we demonstrate here for the first time the potential of ATF4 as a prognostic
454 biomarker and a therapeutic target in TNBC patients. Furthermore, we showed that ATF4 is
455 involved in the regulation of signaling pathways associated with tumor metastasis, proliferation,
456 and drug resistance, which induce the aggressiveness of TNBC. In contrast to the previous reports,
457 ATF4 activity was shown to be independent of the ISR, integrating and modulating
458 TGF β /SMAD2/3/4 and TGF β /PI3K/mTORC1/2 pathways. We identified a signaling pathway-

459 guided prognostic gene signature in breast cancer patients that may help design combinatorial
460 targeted therapies, identify potential responsive patients, and predict and overcome drug
461 resistance. Precision medicine may benefit from our approach by improving the treatment
462 decision-making in breast cancer patients.

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643 **Figure Legends**

644 **Figure 1. *ATF4* expression correlates with poor patient survival and SMAD-dependent**
645 **TGF β signaling. A)** Kaplan-Meier showing that high *ATF4* expression correlates with poorer
646 overall (OS) ($n=1402$) and relapse-free survival (RFS) in all breast cancer (All_BC, $n=3951$),
647 estrogen receptor negative (ER⁻, $n=801$) and triple negative breast cancer patients (TNBC, $n=255$).
648 Follow-up threshold was set at 10 years. **B)** Representative images of negative, 1+, 2+, and 3+
649 *ATF4* staining intensity in TNBC patients' tumor tissue (original optical objective: 20X). **C)**
650 Kaplan-Meier analysis showing the impact of *ATF4* staining on the OS after diagnosis of TNBC
651 patients' tumor tissue ($n=35$). **D)** RT-PCR and western blot of *ATF4* in BT549 and SUM159PT
652 cells treated with TGF β 1 (10 ng/mL), LY2157299 (5 μ M) and combination for 72 h. Inhibitor was
653 added 1 h before TGF β 1. **E)** Western blot of *ATF4* in BT549 and SUM159PT cells transfected
654 with *SMAD2/3* and *SMAD4*-siRNAs. TGF β 1 was added 48 h after transfection for 24 h. **F)** Binding
655 of *SMAD2/3* to the *ATF4* promoter region in BT549 cells upon TGF β 1 treatment for 1.5 h was
656 assayed by ChIP-qPCR. Values are expressed relative to input for the promoter regions of
657 *SMAD2/3* bound-genes (*SERPINE1*, *MMP2*), negative controls (*LAMB3*, *HPRT*) and *ATF4*. IgG
658 was used as a non-specific binding control. **G)** SBE reporter assay in SBE-HEK293 cells after
659 *ATF4* knockdown with/without TGF β 1 for 24 h. RLU: Relative Light Units. **H)** Effect of *ATF4*
660 knockdown following treatment with TGF β 1 for 24 h and 72 h on *SMAD2/3* and *SMAD4*,
661 respectively. Two targeted *ATF4*-siRNAs (siRNA#1 and siRNA#2) were used in BT549.
662 siRNA#2 was the most efficient and further used in SUM159PT cells. **I)** Changes in OS of breast
663 cancer patients when *ATF4* ($n=1402$), *SMAD2* ($n=626$), *SMAD3* ($n=1402$), *SMAD4* ($n=626$) and
664 *TGFBR1* ($n=626$) are expressed alone or co-expressed. Survival fold change was tested by multiple

665 testing correction (* $P < 0.0038$). **J**) Kaplan-Meier showing breast cancer patient OS when *ATF4* is
666 co-expressed with *SMAD2*, *SMAD3* or *SMAD4*. HR: Hazard Ratio. *** $P < 0.001$.

667 **Figure 2. *ATF4* silencing inhibits the metastatic and proliferative properties of tumor cells**
668 **and correlates with less expression of EMT and pro-survival markers. A)** Migration and **B)**
669 invasion of BT549, SUM159PT and MDA-MB-231 cells after *ATF4* knockdown treated
670 with/without TGF β 1 for 24 h (MDA-MB-231 for 72 h). **C)** Changes in protein expression of EMT
671 markers (N-cadherin, ZEB1, SNAIL, SLUG, TWIST1) after *ATF4* silencing in BT549,
672 SUM159PT and MDA-MB-231 cells with and without TGF β 1 for 24 h. **D)** Proliferation after
673 *ATF4* knockdown with/without TGF β 1 for 24 h (MDA-MB-231 for 72 h). **E)** Western blot analysis
674 of pro-survival proteins (BCL2 and MCL1) after transfection with *ATF4*-siRNA#2 and treatment
675 with TGF β 1 for 72 h. * $P < 0.05$, ** $P < 0.01$, *** $P < 0.001$.

676 **Figure 3. Mammosphere formation is decreased after *ATF4* knockdown and correlates with**
677 **lower stemness markers expression. A)** Increased *ATF4* protein expression in primary and
678 secondary mammosphere generations (1MS and 2MS, respectively) compared with attached (Att.)
679 cells. **B)** Mammosphere-forming efficiency (MSFE) in three TNBC cell lines after *ATF4* inhibition
680 and treatment with TGF β 1 for 24 h. **C)** mRNA expression of *NANOG*, *SOX2*, *OCT4*, *NOTCH1*
681 and *CXCL10* after *ATF4* knockdown and treatment with TGF β 1 for 72 h in BT549 and SUM159PT
682 cells in adherent conditions. **D)** Western blot of stemness markers after *ATF4* silencing and
683 treatment with TGF β 1 for 24 h (BT549, MDA-MB-231) and 72 h (SUM159PT). * $P < 0.05$, **
684 $P < 0.01$, *** $P < 0.001$.

685 **Figure 4. *ATF4* targeting reduces liver and lung metastases in the PDX model 3887-LM. A)**
686 *ATF4* mRNA levels in 20 different TNBC PDX models by RNA-sequencing. **B)** Representative
687 images of *ATF4* IHC staining of BCM-3887 and BCM-4664 PDX tumor tissues (original optical

688 objective: 20X). **C)** Representative images and percentage of mice ($n=5/\text{group}$) with liver and **D)**
689 lung metastases, after treatment with *ATF4*-siRNA#2 and SCR (control) for 6 weeks. **E)**
690 Immunohistochemical assessment of liver and lung metastases by Ki67 staining (original optical
691 objectives: 4X and 20X). **F)** Representative images of *ATF4* IHC staining of liver and lung
692 metastases (original optical objectives: 4X and 20X).

693 **Figure 5. *ATF4* inhibition delays PDX tumor growth, cancer stem cell population number,**
694 **tumor relapse and widens post-treatment survival.** **A)** Volume of BCM-3887 tumors
695 ($n=8/\text{group}$) treated with siRNA#2 and SCR with and without docetaxel (20 mg/kg). **B)** Flow
696 cytometric analysis of Aldefluor-positive (ALDF+) subpopulation after *ATF4* knockdown and
697 treatment with/without docetaxel in BCM-3387 tumor tissue. **C)** Volume of BCM-4664 tumors
698 ($n=8/\text{group}$) treated with siRNA#2 and SCR. Co-treatment of siRNAs with docetaxel (33 mg /kg)
699 for 6 weeks was used to study tumor relapse after treatment. The arrow indicates the end of
700 treatment. **D)** ALDF+ subpopulation after *ATF4* knockdown in BCM-4664 tumors. **E)** Kaplan-
701 Meier curve of median survival post-treatment in BCM-4664-bearing mice after *ATF4* knockdown
702 in combination with docetaxel (33 mg/kg), $P=0.0001$. **F)** Western blot and densitometric analysis
703 showing *ATF4* knockdown efficiency in BCM-3387 and **G)** BCM-4664 tumor tissues ($n=5/\text{PDX}$).
704 * $P<0.05$, ** $P<0.01$, *** $P<0.001$.

705 **Figure 6. The TGF β -induced mTORC2 is the upstream regulator of ATF4 complementary**
706 **to TGF β /SMAD signaling. Prognostic potential of a mechanism-based gene signature in**
707 **breast cancer patients.** **A)** Western blot of *ATF4* in cells transfected with siRNA for typical
708 integrated-stress-response (ISR) mediators and treated with TGF β 1 for 72 h. **B)** *ATF4* protein
709 levels after knockdown of *RPTOR* and *RICTOR* treated with TGF β 1 for 72 h (SUM159PT, BT549)
710 or 24 h (MDA-MB-231). *TAK1*-siRNA was also tested in SUM159PT. **C)** Change in SNAIL

711 expression by *RPTOR* and *RICTOR*-siRNAs in three cell lines treated with TGFβ1 for 24 h. **D)**
712 Pearson's correlation of *ATF4* mRNA expression with components of mTORC2 (*NDRG1*, *RHOA*)
713 and mTORC1 (*RPS6*, *EIF4E*) signaling in a cohort of 2509 breast cancer patients. **E)** Western blot
714 of mTORC2 and mTORC1 components in cells transfected with *ATF4*-siRNA and treated with
715 TGFβ1 for 72 h (SUM159PT cells were treated for 24 h to test for mTORC1 signaling). **F)**
716 Schematic showing the upstream regulators, the positive feedbacks detected, the downstream
717 targets of ATF4, and its corresponding biological effects that modulate TNBC aggressiveness upon
718 activation of TGFβ which are conserved in the three TNBC cell lines tested. **G)** Prognostic value
719 (RFS fold change) of the eight-gene signature *versus* each-single-gene in all (All_BC) and ER⁻
720 breast cancer patients. Survival fold change was tested by multiple testing correction (* $P < 0.005$)
721 and leave-one-out cross-validation. **H)** Impact of the eight-gene signature on the survival of breast
722 cancer patients with alterations in DNA (amplification, deletion) and RNA expression (up- and
723 downregulation) of each gene. Every gene was tested by leave-one-out cross-validation.

FIGURE 1

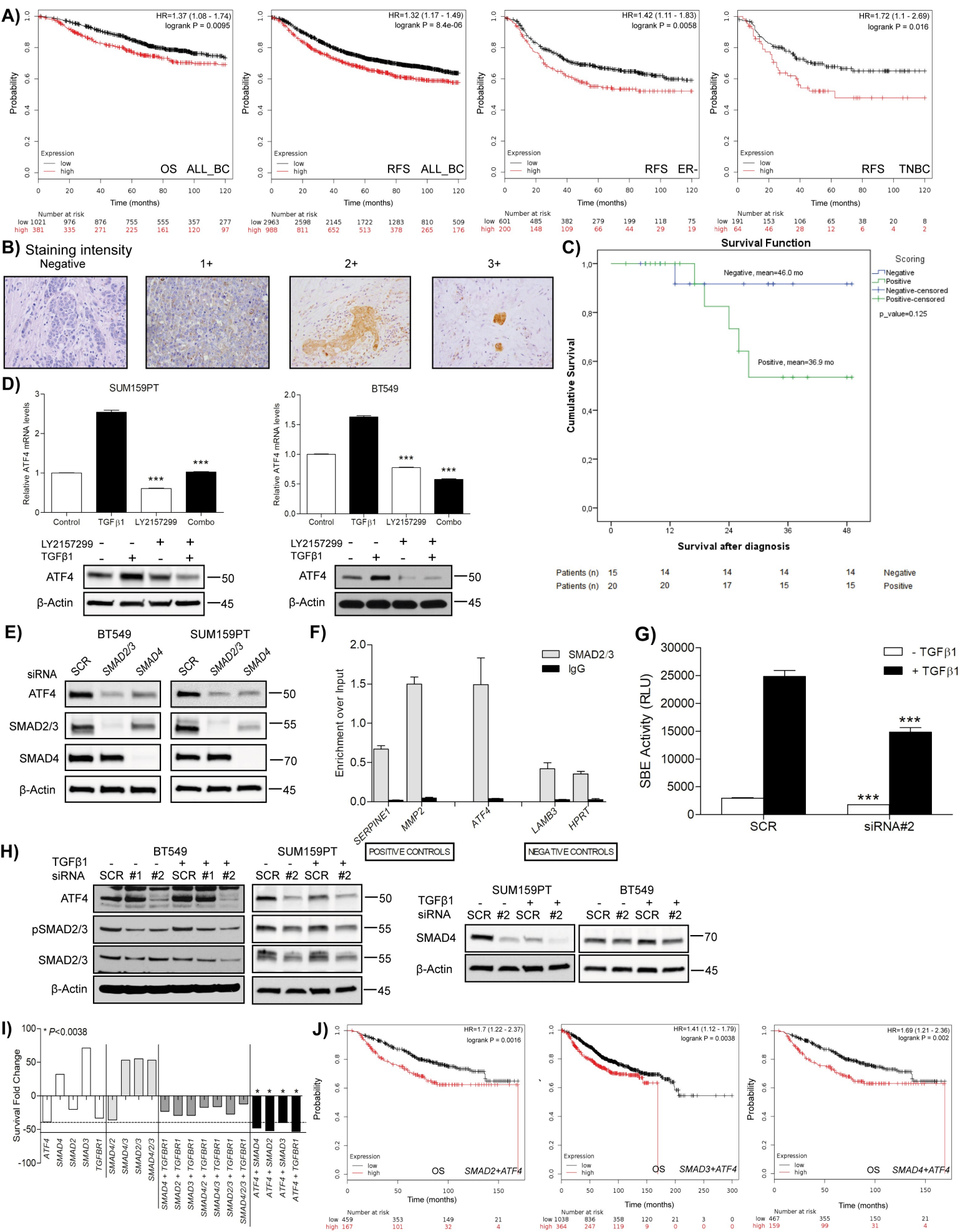


FIGURE 2

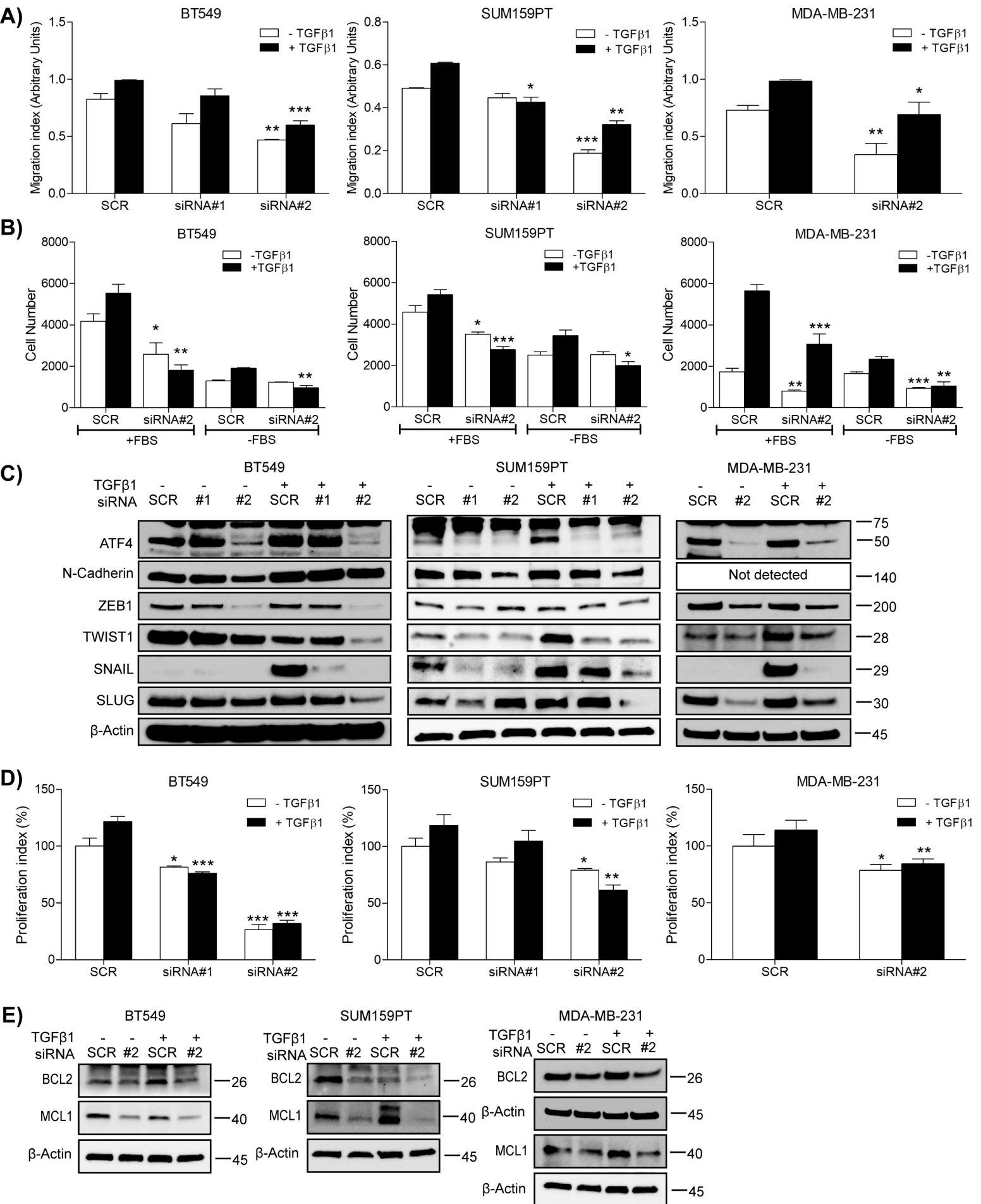
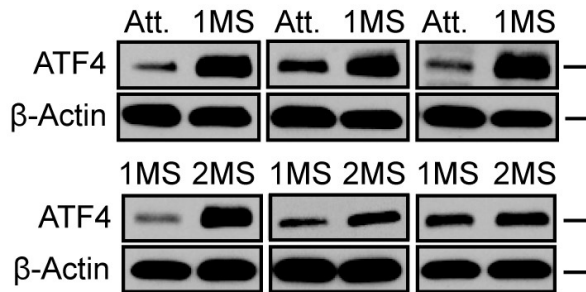
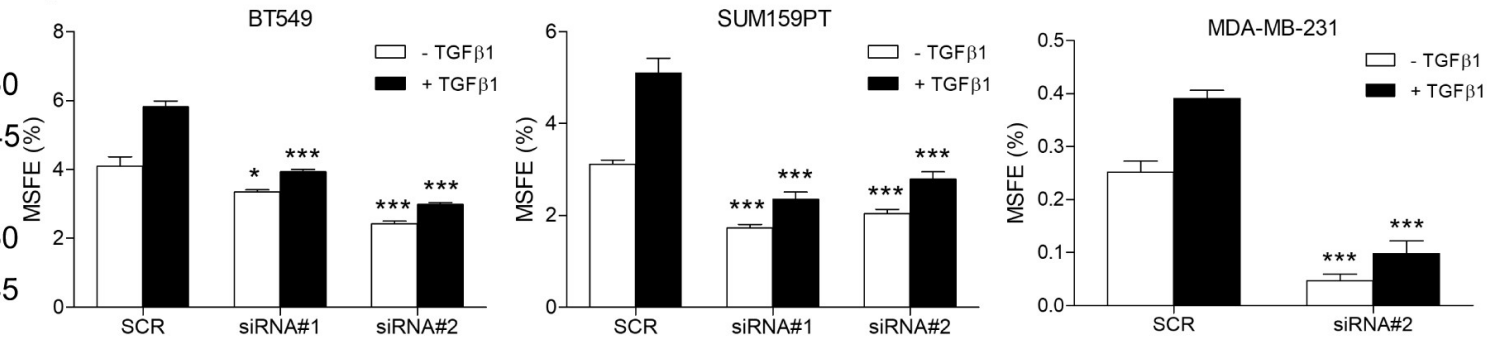


FIGURE 3

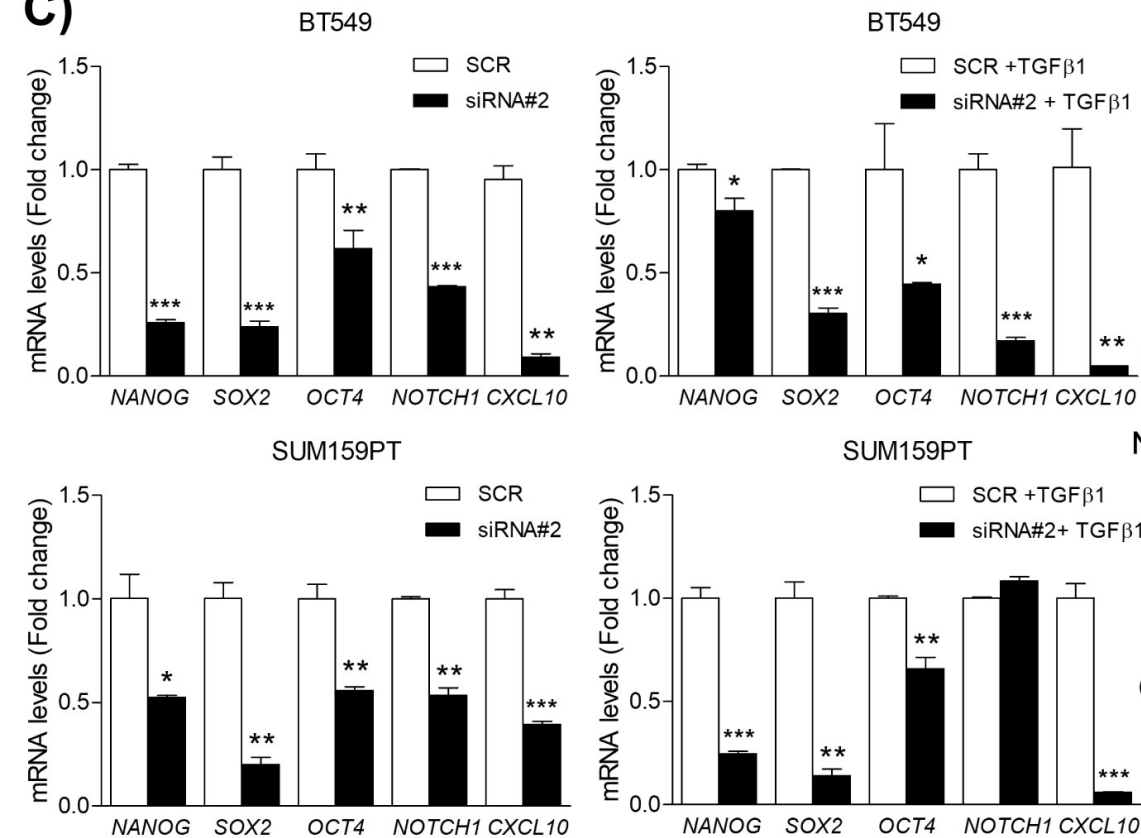
A) SUM159PT BT549 MDA-MB-231



B)



C)



D)

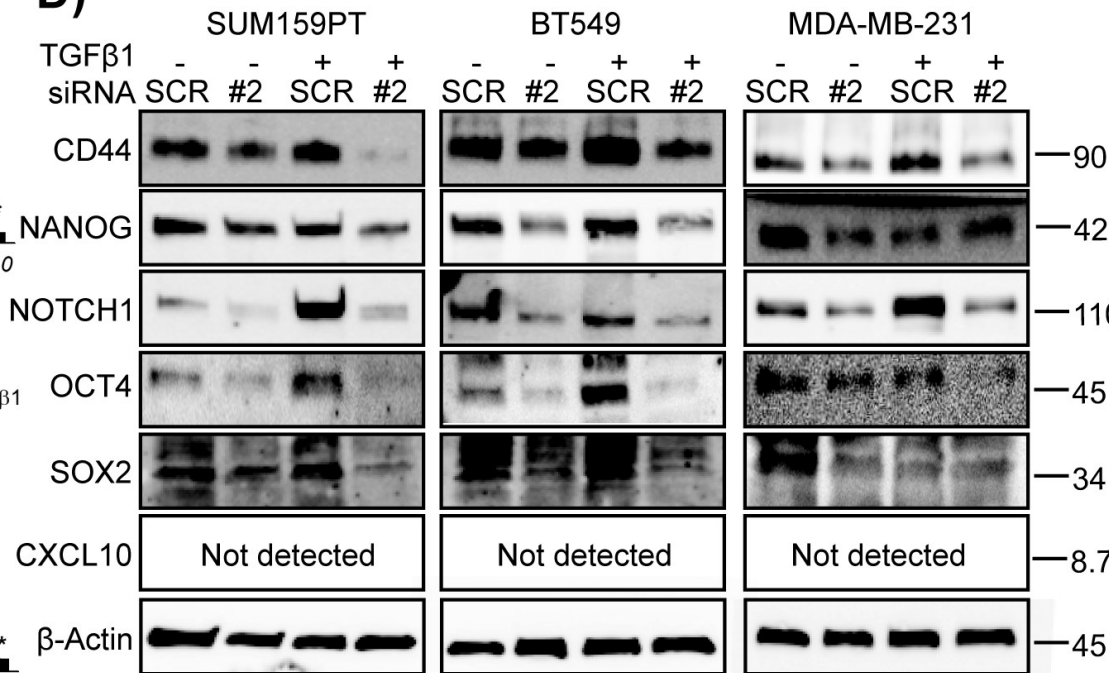


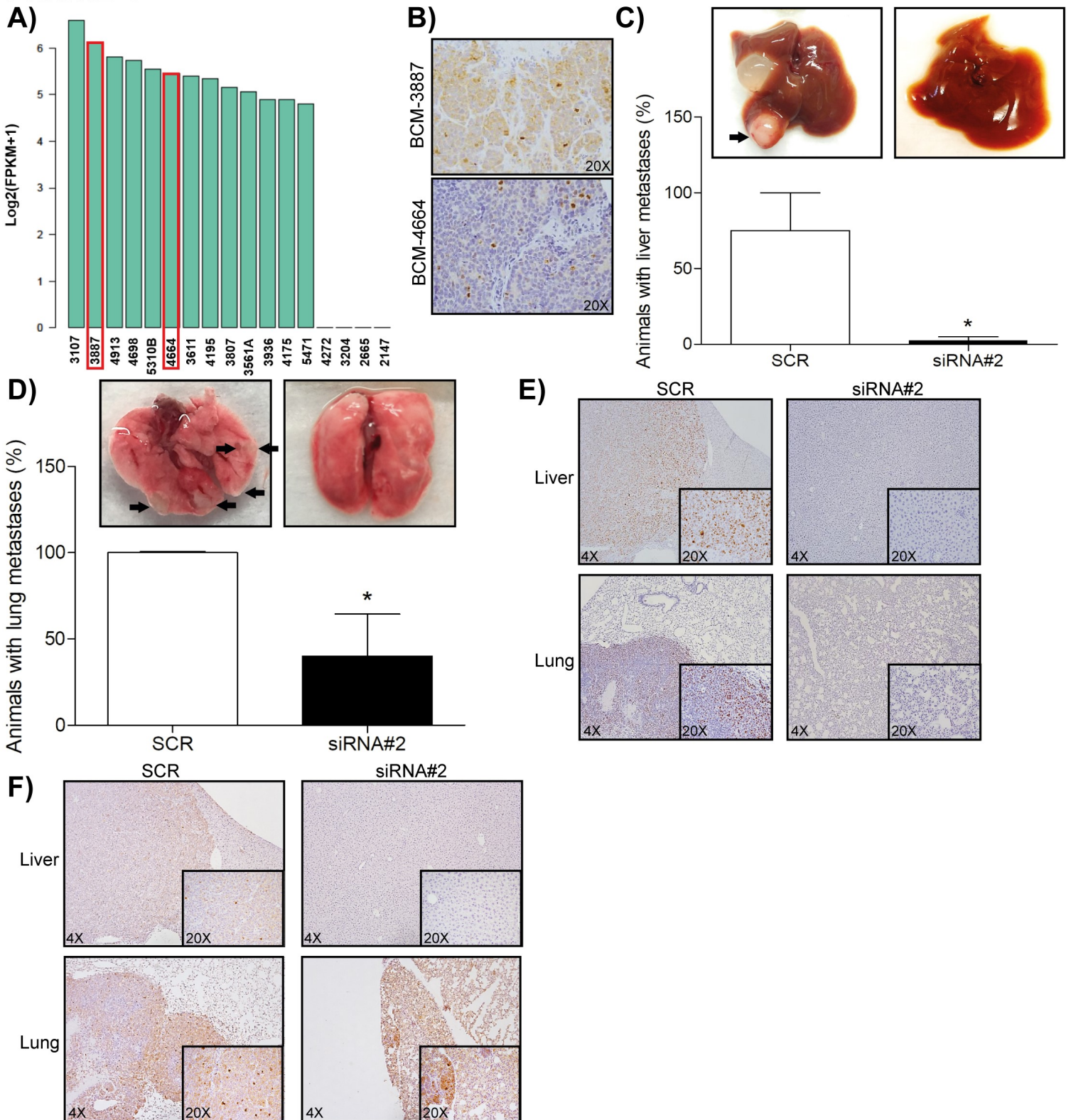
FIGURE 4

FIGURE 5

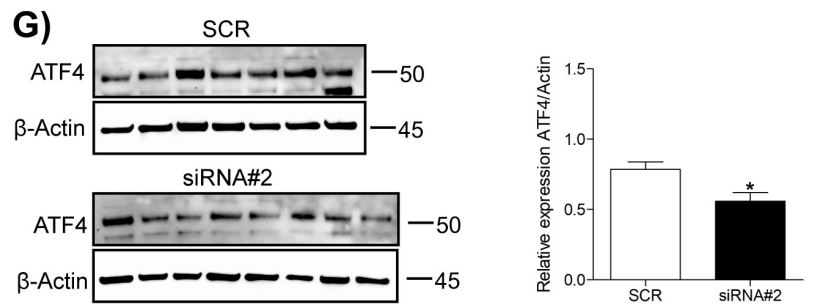
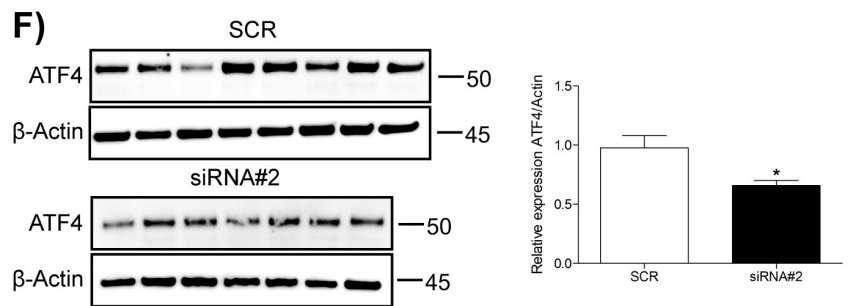
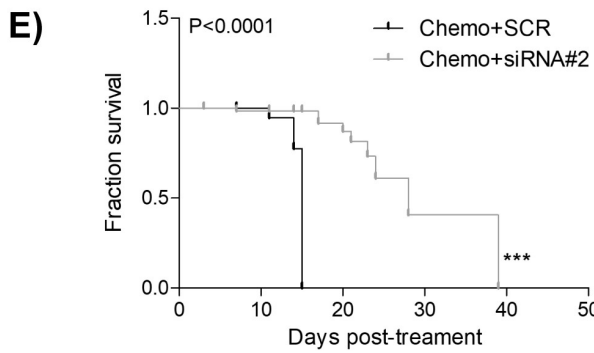
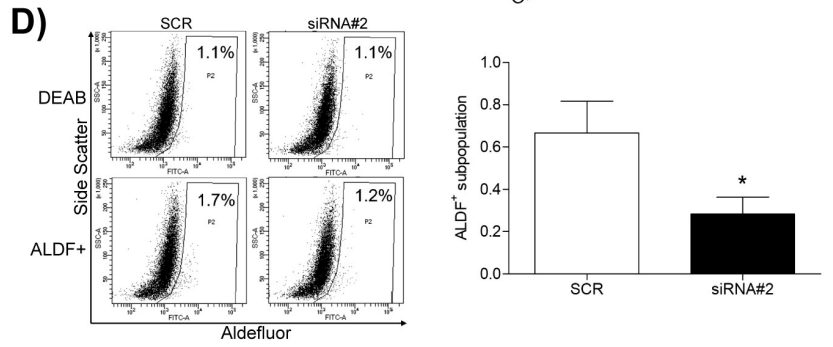
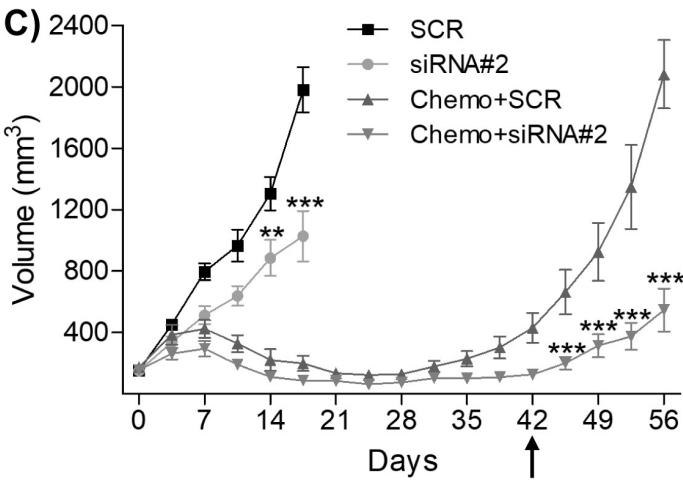
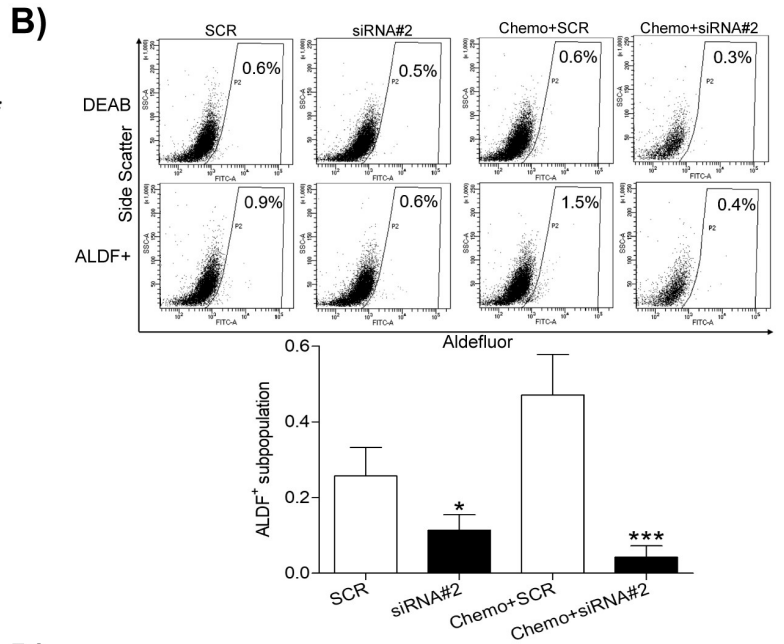
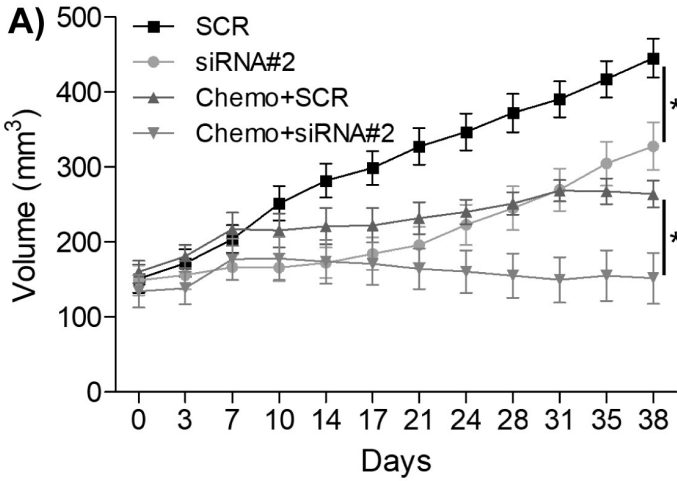


FIGURE 6