Quantitative MHC class-I/-II gene expression levels in *CDK12* mutated prostate cancer

reveal intratumorally T cell adaptive immune response in tumors

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Abstract

Background: The inactivation of Cyclin-dependent Kinase 12, *CDK12*, has been used as a

predictive biomarker of treatment response to immune-checkpoint blockade (ICB) in ad-

vanced prostate cancer (PCa). However, some patients with CDK12 alterations fail to re-

spond to ICB. Changes in MHC expression have been linked to tumor progression and re-

duced response to ICB in different malignancies. **Methods:** Using transcriptome and WES

data from primary (*n*=48) and metastatic (*n*=10) *CDK12* defective PCa; we investigated vari-

ation in the expression of the MHC genes and associated downstream changes. We divided

the tumors into "High" and "Low" expression levels of MHC-I and -II based on gene expres-

sion quartiles. **Results:** *CDK12* defective tumors with increased MHC levels showed the ac-

tivation of several pathways associated with the immune system and elevated *PD-L1*, *IDO1*,

and *TIM3* expression. There was also increased composition of CD8+ T cells, B cells, γδ T

cells, and M1 Macrophages in *CDK12* mutated tumors with elevated MHC levels. In con-

trast, *CDK12* defective tumors with decreased MHC expression were often subject to loss of

heterozygosity (LOH) genomic events affecting MHC-I/-II and the *HLA* gene cluster on

chromosome 6. **Conclusions:** Our data suggest that *CDK12* defective PCa express higher

levels of classical MHC and have an active and inflamed tumor microenvironment with ele-

vated immunomodulatory pathway expression and increased presence of effector T cells. The

finding of lower MHC expression in tumors with LOH of associated genes on chromosome 6

suggests reduced MHC expression may be caused by acquisition of specific somatic genomic

events that reduce the expression of these antigen presentation genes. Collectively, these data

indicate that implementing a combined measure of *CDK12* mutation and MHC expression

levels together with an evaluation of LOH status may better predict outcomes for prostate

cancer tumors classified as eligible for ICB treatment.

Keywords: Biomarkers, Immunotherapy, Transcriptomics, TCGA, SU2C, Digital cytometry,

Antigen Presentation, Immune evasion, Adaptive immune system, Loss-of-Heterozygosity

(LOH)

Introduction

Treatment of advanced prostate cancer (PCa) remains a therapeutic challenge. Men

with distant metastases at diagnosis have the worst overall survival (OS), with only 30% of

patients surviving > 5 years [1]. For recurrent disease, acquired resistance to androgen depri-

vation therapy (ADT) and chemotherapy remains a significant cause of death [2]. Immune-

checkpoint blockade (ICB) therapies, such as PD-L1 inhibition, have shown only significant

benefits in a minority of patients [3]. Thus, it is necessary to discover and characterize the

genetic pathways and molecular signatures that could help predict more effective disease

progression control in advanced PCa.

The tumor mutation burden affects the infiltration of immune cells in the tumor mi-

croenvironment (TME) [4]. Because of the high load of neoantigens, tumors with defective

DNA damage repair (DDR) pathways are more suitable for immunotherapy [5]. The biallelic

inactivation of Cyclin-dependent Kinase 12, *CDK12*, was recently described as a novel im-

mune active class of advanced PCa with a more aggressive phenotype, a high mutation bur-

den derived from focal tandem duplication events, and high inflammatory and immune cell

infiltrate distinct from other defective molecular subtypes [6]–[9]. Although this new subtype

has been proposed as a predictive biomarker of treatment response to immune-checkpoint

blockade (ICB) in advanced prostate cancer (PCa), many patients with *CDK12* alterations

still fail to respond to ICB treatment. In a retrospective multi-center study, Antonarakis *et al.*

found that just 33% of the *CDK12*-altered advanced PCa patients had a prostate-specific anti-

gen (PSA) response and an increased progression-free survival of 5.4 months when treated

with anti-PD-1 therapy [10]. In another study, Schweizer *et al.* showed that of the nineteen

advanced patients who received ICB, eleven (59%) showed a response based on a decline in

PSA, with two patients (11%) having a 100% PSA decline. However, the molecular causes of

ICB resistance in this molecular subtype of PCa are poorly understood [10][11].

Tumor cells may develop various escape mechanisms that allow them to avoid recog-

nition and destruction by the immune system. For example, the expression of checkpoint pro-

teins (PD-1/PD-L1, CTLA-4, LAG3) by tumors can modulate the activity of immune infil-

trate cells [11]. Tumors may also develop intrinsic cancer-cell signaling that can suppress

infiltrating immune cells (WNT/β-catenin) and increase pro-tumorigenic immune cell infiltra-

tion (Tregs, M2 Macrophages) in the TME [12], [13]. Another mechanism exploited by tu-

mors to avoid the recognition of cytotoxic T cells (CD8+) and antigen-presenting cells

(APCs) is through loss of major histocompatibility complex class-I or class-II (MHC-I and

MHC-II) [14].

Changes in MHC expression have been linked to tumor progression, poor prognosis,

and reduced response to ICB in different malignancies [15], [16]. As classified by Garrido et

al., the alteration in the MHC expression can be divided into two major mechanistic groups:

tumors with "Soft" alterations are capable of recovering or upregulating MHC antigens after

cytokine exposure (e.g., they have regulatory abnormalities); those with "Hard" alterations

cannot recover MHC expression (e.g., they have structural defects) [17]. During tumor evolu-

tion, the infiltration of cytotoxic lymphocytes eliminates highly immunogenic tumor clones,

causing a selection of surviving cell populations that have acquired MHC alterations through

either "Soft" or "Hard" mechanistic alterations [18]. Low expression of MHC-I and -II has

been associated with poor prognosis and resistance to anti-CTLA-4 and anti-PD-1, respec-

tively [19], [20]. However, in PCa, there is presently limited information on the role of MHC-

I and MHC-II expression and ICB response and if the low expression of antigen presentation

mechanism could better predict the lack of response to ICB in *CDK12*-altered patients.

In prostate cancer, *CDK12* inactivation is known to increase the immunogenicity of

tumor cells, but the relationship between *CDK12* loss and MHC expression has not been in-

vestigated. Changes in MHC-I and -II expression are involved in tumor immune evasion in

various types of cancer. There is also evidence that higher expression of MHC genes can

identify tumors likely to respond to ICB [15], [16]. However, the molecular and genomic

mechanisms responsible for reducing MHC expression are poorly understood. Hence, we

hypothesize that variation in the expression of the MHC genes could explain the lack of re-

sponse to ICB in *CDK12* defective tumors. The findings suggest that *CDK12* defective PCa

expressing higher MHC levels have an active and inflamed tumor microenvironment with

elevated immunomodulatory pathway expression and increased presence of effector T cells.

We also found that tumors with decreased MHC expression also showed loss-of-

heterozygosity (LOH) of MHC-I/-II and the *HLA* gene cluster on chromosome 6 associated

with MHC expression and antigen presentation. Collectively, these data suggest that imple-

menting a combined measure between *CDK12* mutation and the presence of MHC expression

may better predict outcomes for prostate cancer tumors classified as eligible for ICB treat-

ment based on *CDK12* subtype and normal antigen presentation function.

Methods

We used The CbioPortal for Cancer Genomics [21] to search primary (pPCa) and

metastatic castration-resistant (mCRPC) prostate tumors with *CDK12* mutated sample co-

horts and to download matched clinical information. The classification of samples having

CDK12 loss-of-function followed previous reports [7]–[9] based only on the presence of so-

matic mutations (non-synonymous mutations, deep deletions, and shallow deletions) in both

CDK12 alleles (*CDK12* defective) [6–8]. Only cohorts containing *CDK12* defective samples

WES and with RNA-seq data were selected in the database of Genotypes and Phenotypes

(dbGaP) database and applied for access under project ID 29255 (Additional file 1: Fig. S1,

additional table 1).

Transcriptomic analysis

For the pPCa (TCGA-Prostate Adenocarcinoma, $n = 48$), we used the package re-

count2 to download summarized experiments objects containing the transcription-level RNA-

Seq abundance matrix [22], [23]. For the mCRPC (SU2C, $n = 10$), we downloaded SRA

Paired-End (PE) reads using the SRAToolkit [24]. The quality of the raw reads was then

measured using the FASTQC program [25]. We quantified the transcripts using the software

Salmon v1.6.0 [26]. The transcriptome index was built using the reference GRCh38 version

of the human genome [27] and transcriptome [28], downloaded from ENSEMBL and

GENCODE, following the manual instruction. We then used the Tximport v1.22.0 package

to import the transcription-level abundance and estimate raw counts derived from the quanti-

fication step. The count data normalization, expression levels, and differential gene expres-

sion (DEG) analysis for pPCa and mCRPC cohorts were executed using the DESeq2 v1.34.0

[29], [30]. We used the clusterProfiler v4.2.1 to implement equally over-representation

(ORA) enrichment analysis and gene set enrichment analysis (GSEA) of the DEGs and the

whole transcriptome profile, respectively, using the Gene Ontology (GO) and Molecular Sig-

natures Database (MSigDB) [31]–[36] (Fig. S1).

MHC expression

We performed a hierarchical clustering analysis using representative MHC genes. We

observed two groups of *CDK12* defective tumors regarding MHC expression, as shown in

Additional file 1, Figure S1. We dichotomized expression levels below or above the first

quartile for each gene; we then used this classification to generate the final logical values

regarding the patient's MHC status ('High' or 'Low' expressed) (Additional file 1: Fig.

S2)[37], [38]. For the quartile quantification, we used the normalized expression values of the

classical genes that composed each MHC class (e.g., MHC-I: *HLA-A*, *HLA-B*, *HLA-C*; MHC-

II: *HLA-DPA1*, *HLA-DPB1*, *HLA-DQA1*, *HLA-DQB1*, *HLA-DQB2*, *HLA-DRA*, *HLA-DRB5*,

HLA-DRB6) [38]. Samples were classified as having MHC 'Low' expression when at least

one gene composing each class was expressed at a low level. In mCRPC *CDK12*- defective,

all tumors classified as MHC-High presented similar high expression of both MHC-I and -II;

thus, we called these tumors just MHC High (henceforth, mCRPC *CDK12* defective MHC

High). The summary values used to classify the tumors are shown in table S1. The final logi-

cal values are shown in additional tables 3, 4, 5, and 6.

Genomic profile

We downloaded SRA Paired-End (PE) reads for both pPCa (n=48) and mCRPC

(n=10) and processed it as previously described. The GRChg38 reference was sorted using

the SeqKit [39]. The final fastq files were then aligned to hg38 using bwa with a penalty for

up to 3 mismatches per read [40], [41]. Sam files were converted to bam files and processed

using samtools v1.16.1. To determine whether any MHC expression differences were related

to genomic alterations, we used the FACETS (Fraction and Allele-Specific Copy Number

Estimated from Tumor Sequencing) algorithm [42]. This approach uses matched normal-

tumors WES and provides mutant allele-specific copy-number homozygous/heterozygous

deletions, copy-number neutral loss-of-heterozygosity (LOH), allele-specific gain/amp in

genomic loci associated with genes involved in antigen presentation (Additional table 11).

Reference and variant allele read counts were extracted from the bam file for common, poly-

morphic SNPs downloaded from dbSNP (GRCh38p7) using FACETS *snp_pileup* function

with a minimum threshold for mapping quality, the minimum threshold for the base quality,

and minimum read depth of 15, 20, 20, respectively. The pre-processing followed the sug-

gested recommendations from the manual, and genomic intervals of 150-250bp were used to

avoid hyper-segmentation in high polymorphic neighborhood regions. Mutant allele-specific

copy-number changes were declared when the points changes were greater than a pre-

determined critical value (cval) of 100 compared to constant copy-number regions [43], [44].

Digital cytometry

To investigate and quantify the immune cell composition in the TME of tumors hav-

ing *CDK12* defects, we used the bulk tissue gene expression profiles (GEP) from RNA-seq

data from both pPCa and mCRPC with the digital cytometry CIBERSORTx [45]–[47]. This

program uses bulk tissue GEP, compares the data with prior knowledge of expression profiles

from purified leukocytes, and estimates a tumor's relative immune abundance composition.

We used the 'signature matrix' containing a validated leukocyte GEP of 22 human hemato-

poietic cell phenotypes, leukocyte gene signature matrix (LM22), to estimate the immune cell

composition from the TME.

Computational and statistical analysis

We used a GNU/Linux environment to perform the quality control and quantify the

raw reads to the human transcriptome. Subsequently, downstream analysis was performed in

RStudio software (R Foundation for Statistical Computing, R v4.1.2). Pearson Correlation

was used to analyze the normalized expression levels (coef. level = 0.95). A gene was con-

sidered differentially expressed when log2 foldchange > 1 expressed from the reference

group with a *p*-adjusted value < 0.05. For the enrichment analysis, we used a cutoff value of

0.05.

Results

Clinical analysis

The material under study was obtained retrospectively from the cBioPortal public

domain. The 58 cases, defined according to NCCN criteria, had the intermediate-risk disease

(clinical stage T2b, or T2c, Gleason score of 7, or PSA = 10–20 ng/ml) and high-risk disease

(clinical stage T3a or higher, Gleason score 8–10, or PSA >20 ng/ml). We divided our cases

into two cohorts, primary and metastatic tumors (Additional table 1). The pPCa cohort com-

prises 48 cases, approximately 63 years old (median), with clinical stages ranging from T2b

to T4. Within these tumors, 62.5% were classified as MHC I high and 47.916% as MHC II

high. The pPCa *CDK12*-defective MHC-I High exhibited a trend towards better overall sur-

vival compared to the MHC lower expression group ($p > 0.05$, Additional file 1: Figure S3).

The mCRPC cohort comprises 10 cases, approximately 63 years old (median), with

Gleason scores ranging from 6 to 9. Among them, 60% were classified as MHC High. The

metastatic sites were bone, liver, lymph nodes, and soft tissues, and 50% of the tumors were

treated with taxanes and 40% with Abiraterone plus enzalutamide. Tumors with higher MHC

expression exhibited apparently better overall survival when compared to the MHC lower

expression group ($p > 0.5$, Additional file 1: Figure S3).

Transcriptomics

Our working hypothesis for this study is that variation in the expression of the MHC

genes among *CDK12* defective tumors could provide predictive information on poor ICB

responses in this molecular subtype of prostate cancer. To investigate MHC expression levels

in PCa further, we compared the transcriptomics of prostate tumors, including *CDK12* defec-

tive (*CDK12* defective) prostate tumors, classified as "MHC High" (top 75% quartile) to the

transcriptomics of tumors classified as having a low expression of MHC genes (bottom 25%

quartile).

CDK12 defective MHC-I/-II High-expression tumors showed distinct transcriptome profiles

with upregulation of IFN-γ-responsive genes and an inflamed TME

We first compared the transcriptome of *CDK12* defective tumors classified as MHC-

High and MHC-Low (Fig 1a-c, Additional file 1: Fig. S2). The 48 primary PCa *CDK12* de-

fective MHC-I High showed 1319 upregulated and 2153 downregulated genes (Additional

table 7, 8) and showed four apparent clusters (Fig. 1a). The upper cluster (I) has *IGHV* and

IGLV over-expressed genes linked to *CDK12* MHC I high. The central clusters (II, III) have

four *HLA* genes overexpressed in the MHC I high group, which supports our classification

based on *CDK12* defective MHC expression (e.g., *HLA-A*, *HLA-B*, *HLA-C*). Also, this cluster

showed upregulation of many genes related to antigen presentation and CD8+ T cell activity

(Fig. 1a). The lower cluster (IV) has 14 downregulated genes when MHC I is highly ex-

pressed. Likewise, *CDK12* defective MHC-II High exhibited 1129 upregulated and 580

downregulated genes (Additional tables 7, 9). Our comparison showed two clusters (Fig. 1b).

The upper cluster showed the upregulation of genes related to cytotoxicity, immune cell mi-

gration, and immune suppression (Fig. 1b).

Analysis of ten mCRPC tumors identified 230 upregulated and 46 downregulated

genes that were differentially expressed in *CDK12* defective MHC-high (Additional tables 7,

10) and showed two distinct clusters (Fig. 1c). The lower cluster showed the upregulation of

genes linked to innate and adaptative immune response CD4+ and CD8+ T cell activity (Fig.

1c). In conclusion, for both primary PCa and metastatic CRPC, *CDK12* defective PCa that

express higher MHC levels was associated with transcriptomic changes that indicate a gen-

eral pattern of activation of IFN-γ-responsive and cytotoxic activity genes.

To better understand the transcriptional alterations in *CDK12* defective tumors classi-

fied as MHC-I/-II high-expressed, we used ORA and GSEA analysis to identify potential

functional associations of expression changes associated with differentially expressed genes.

In primary PCa, tumors with *CDK12* defective MHC-I and MHC-II high-expressed showed

significative enrichment of pathways related to activation of immune cells and antigen

presentation by MHC-I and MHC-II, as expected (Fig. 1d, e, Additional table 8, 9). Further-

more, GSEA results showed activation of many Hallmarks pathways in *CDK12* defective

MHC-I high-expressed (e.g., Epithelial-Mesenchymal Transition, Inflammatory Response,

Interferon Gamma Response, Interferon Alpha Response, TNFA Signaling via NFKB, P53,

and IL2/STAT5 Signaling (Fig. 2a, Additional table 8). In addition, the *CDK12* defective

MHC-II High group had similar pathway activation but with the addition of Allograft Rejec-

tion (Fig. 2b, Additional table 9).

The *CDK12* defective metastatic group with MHC high-expressed showed enrichment

of cytotoxicity and adaptative cytotoxicity immune response (Fig. 1f, Additional table 10). In

addition, GSEA results showed activation of various Hallmarks and Reactome pathways

(e.g., Allograft Rejection, Interferon Gamma Response, Inflammatory Response, Interferon

Alpha Response, IL2/STAT5 Signaling, Apoptosis, TCR Signaling, Interleukin 10 Signaling,

Constitutive Signaling by Aberrant PI3K in Cancer, and the suppressive PD1 Signaling

pathway) (Fig. 2c-d, Additional table 10). Our transcriptomic analysis suggests that *CDK12*

defective PCa expressing high MHC genes display the activation of various pathways associ-

ated with an active and inflamed tumor microenvironment.

CDK12 defective MHC-I/-II High groups exhibited tumor microenvironment with high expression of chemokines and immunomodulatory genes.

We investigate the difference between chemokines and immunomodulatory gene expression to elucidate the underlying immunologic signature in TME of CDK12 defective tumors expressing high MHC genes. In primary PCa, the *CDK12* defective MHC-I High exhibited upregulation of many chemokines linked to APCs and effector T cell migration (Addition file 1, Figure S4) and the immunomodulatory genes *HAVCR2* (*TIM3*) and *IDO1*. (Fig. 3a-b). Also, the MHC-II high group presented increased expression of chemokines related to Natural killer, T effector cell, and B cell infiltration (Addition file 1, Fig. S2, Figure S5), and the immunomodulatory genes *CD274* (*PD-L1*), *HAVCR2* (*TIM3*), and *IDO1* (Fig. 2c-e). Based on Pearson Correlation analysis, we observed a significant positive correlation between MHC-I complex genes and *IDO1* but with no other investigated gene (Addition file 1, Figure S7a). Interestingly, among the MHC-II genes, correlation analysis showed a significant positive association between the expression of the MHC-II complex and the immunomodulatory genes *CD274* (*PD-L1*), *IDO1*, and *HAVCR2* (*TIM3*) (Figure S7b).

The *CDK12* defective metastatic group with high expression of MHC showed high expression of chemokines (Addition file 1, Figure S6) and the immunomodulatory gene *CD274* (*PD-L1*) (Fig. 3f). Furthermore, we observed a significant positive association between the immunomodulatory genes *HAVCR2* (*TIM3*) and *CTLA4*, *LAG3*, and MHC-I and -II genes (Addition file 1, Figure S7c-d). As shown, *CDK12* defective tumors' expression of higher levels of MHC genes shows a pattern of upregulation of chemokine and immunomodulatory mechanisms.

CDK12 defective MHC-I/-II High CDK12 defective tumors showed distinct immune cell infil-

trate in the TME.

Our transcriptomics analysis predicted that *CDK12* defective tumors expressing high

levels of MHC-I/-II genes would display enrichment of immune cells with high effector and

cytotoxic activity and the co-inhibitory expression of inhibitory pathways by tumor cells

(Figures 1, 2, 3). We used *in silico* cytometry (CIBERSORTx) to test this hypothesis and to

estimate the immune cell composition in the TME of *CDK12* defective tumors expressing

high levels of MHC-I/-II genes.

We investigated whether tumors expressing high MHC-I and -II levels affected the

variation in immune cell composition in *CDK12* defective tumors in both cohorts. In primary

PCa, *CDK12* defective MHC-I high-expressed showed a significant increase in the composi-

tion of Naïve B cells, CD8+ T cells, and $\gamma\delta$ T cells. In contrast, the reduced composition of

Mastocytes (Fig. 4a). In comparison, the MHC-II high-expressed group exhibited an increase

of $\gamma\delta$ T cells and reduced composition of Plasma cells and M0 macrophages (Figure 4b).

Additionally, the *CDK12* defective metastatic group with high expression of MHC

showed a significative increased composition of CD8+ T cell and M1 Macrophages (Figure

4c). Our results generally indicate that *CDK12* defective PCa expressing higher levels of

MHC displayed increased APCs and effector lymphocytes traffic in their TME.

Genomics alterations of MHC-I/-II region associated with defective CDK12

During tumor evolution, the infiltration of cytotoxic lymphocytes eliminates highly

immunogenic tumor clones, causing a preferential selection and survival of cell populations

that have acquired MHC alterations. To determine whether the low levels of MHC-I/-II genes

in *CDK12* defective tumors were derived from somatic genomic alterations affecting antigen

presentation genes, we used an allele-specific copy number algorithm to estimate the copy

number profile of *CDK12* defective tumors expressing low levels of MHC-I/-II genes. The

algorithm incorporates quantitative analysis of RNA-seq data derived from MHC-I/-II and

HLA genes on chromosome 6 together with several other genes, such as *PTEN*, that are

commonly subject to LOH in PCa [48]. Estimates include the determination of the relative

clonality of allele-specific copy number alterations based on the fraction of tumor cells bear-

ing LOH.

WES of primary PCa revealed both subclonal allele-specific copy-neutral losses of

heterozygosity (CN-LOH) and complete loss of heterozygosity (LOH) events affecting

MHC-I/-II and *HLA* genes on chromosome 6. Both major clonal and minor subclonal events

were detected by comparing the copy number to the estimated cellular fraction of tumor cells

harboring the copy number alteration (Table 1 and Figure S9). One example is illustrated by

tumor TCGA-KK-A8IA in which only one major clonal event was detected with a cellular

fraction = 0.833, and LOH events were detected on chromosomes 2, 5, and 10. While TCGA-

YL-A8HO revealed four subclonal events, capturing biallelic loss, CN-LOH, and LOH in

chromosomes 2, 5, 6, 15, and 16. Tumors expressing lower levels of MHC-I/II genes may be

associated with the somatic genomic LOH events affecting regional transcriptional regulators

of MHC expression and the cis-acting regulatory components of the MHC (Table 1). Two

patients also showed subclonal complete loss of the *B2M* locus (ID: TCGA-EJ-8471, cellular

fraction = 0.37; TCGA-YL-A8HO, cellular fraction = 0.27. Table 1). Interestingly, *B2M* is an

important component of the MHC-I complex, and mutations of this gene have previously

been associated with ICB resistance [49].

In contrast to primary PCa, metastatic tumors harboring *CDK12* mutation expressing

low levels of MHC-I/II showed allele-specific copy number gains in the MHC-I/I*I* complex

and key regulators of MHC expression (Table 2 and Figure S10). Interestingly, one patient

showed a clonal LOH event at the *JAK2* and *B2M* loci (ID: 5115615, cellular fraction =

0.90).

These data indicate that low expression of MHC in primary tumor clones appears to

be associated with frequent somatic CN-LOH and LOH subclonal genomic alterations in

primary tumors harboring *CDK12* mutation. While metastatic tumors revealed both LOH and

high copy-number gains affecting antigen presentation genes and their regulators. Therefore,

these subclonal CN-LOH and LOH events are associated with impaired MHC expression that

may contribute to reducing tumor immunogenicity.

Discussion

In prostate cancer, *CDK12* inactivation is known to increase the immunogenicity of

tumor cells [9], [50]–[53]. Changes in MHC-I and -II expression are involved in tumor im-

mune evasion in various types of cancer [38], [54]–[56]. Using RNA-seq data, we observed

two groups of *CDK12* defective tumors regarding MHC expression. Tumors expressing high-

er levels of MHC showed the activation of multiple pathways associated with the immune

system, significantly high expression of immunomodulatory genes, and increased CD8+ T

cells, B cells, γδ T cells, and M1 Macrophages composition in their TME. Also, Tumors with

low MHC expression showed allele-specific copy-number alteration in genes involved in

regulating MHC expression and antigen presentation.

Analysis of the clinical data showed that higher expression of MHC genes in pPCa

and mCRPC, respectively, exhibited a trend towards better overall survival when compared

to the MHC lower expression group ($p > 0.05$, Fig. S3). Several studies have found similar

expression relationships of the *MHC-I* and *-II* genes associated with better clinical outcomes

and different resistance mechanisms [20], [57], [58]. Lack of MHC-I expression in melanoma

was linked to higher odds of progressive disease and resistance to anti-CTLA4 but not anti-

PD1 [20]. In the same study, expression of MHC-II in tumors was associated with tumors

more likely to respond to anti-PD1 treatment. MHC-II expression was linked to a positive

outcome in Hodgkin Lymphoma treated with nivolumab (anti-PD1) [57]. Park et al. showed

that MHC-II positivity in tumor cells was associated with better disease-free survival in pa-

tients with lymph node metastasis [58]. From a practical standpoint, these results suggest that

analysis of MHC-I and -II expression levels could be developed to determine whether

CDK12 defective prostate tumors expressing higher levels of MHC genes are more likely to

respond to ICB treatments.

Transcriptomic signatures associated with MHC expression variation have been de-

scribed in different tumor types [38]. These signatures capture the activity of genes and bio-

logical pathways related to tumor cells' cross-talk with the TME and appear to correlate with

clinical responses to ICB [20], [38], [59]–[61]. Ayers *et al.* proposed a gene expression pro-

file with eighteen genes relevant to predicting the clinical outcome of anti-PD1 therapy [59].

This IFN-γ gene signature in pretreatment tumor biopsies was associated with better results in

melanoma, head-and-neck squamous cell carcinoma, and gastric cancer treated with

pembrolizumab. In our study, the *CDK12* patient tumors expressing high levels of MHC

genes showed the presence IFN-γ gene signature, which might reflect a better response to

anti-PD1 therapy (Figure S8). Our results also showed the activation of pathways related to

IFN-γ response in both the pPCA and mCRPC cohorts (Fig. 1B, D, F, Fig. 3B, D, Fig. 4B-C).

An IFN-γ gene signature can alternatively activate the expression immunomodulatory

mechanisms and promote adaptative resistance to therapeutic anti-PD1 [62], [63]. IFN-γ is a

central actor in the elimination phase during immunoediting [64]. However, exacerbated lev-

els of IFN-γ are also associated with developing protumor molecular mechanisms leading to

an immunosuppressive and tolerogenic TME [63]. We identified the upregulation of

immunomodulatory molecules, such as *IDO1*, *TIM3,* and *CD274(PD-L1),* in both prostate

tumors expressing higher levels of MHC-I and -II genes (Fig. 2). Interestingly, the *CDK12*

patient tumors expressing high levels of MHC genes showed the presence IFN-γ gene signa-

ture, including upregulation of a non-classical MHC molecule (*HLA-E*), which is known reg-

ulator of NK cell and CTL [65], [66]. We also found a link between *IGHV* and *IGLV* over-

expressed genes in a group of the *CDK12* defective pPCa expressing high levels of MHC-I

(Fig. 1A, upper cluster I). The production of Ig by tumor cells (cancer-derived Ig) is de-

scribed in various tumors and prostate cancer [67]–[70]. Also, cancer-derived Ig may act as

checkpoint proteins and inhibit effector T cells and NK cells [68], [71]. Our findings indicate

the presence of an acquired resistance mechanism in a subset of *CDK12* defective prostate

tumors expressing high levels of MHC genes. We suppose that measuring the basal expres-

sion of MHC genes could be developed as a biomarker to characterize *CDK12* patient sam-

ples with a previously inflamed environment and which would reflect the expression of

immunomodulatory genes linked to resistance to anti-PD1.

The expression of MHC molecules plays a pivotal role in providing the signals neces-

sary to recognize and activate the immune system against tumor neoantigens and is essential

to controlling tumor growth through cytotoxic activity [64], [72]. We found a higher abun-

dance of CD8+ T cells in *CDK12* defective tumors expressing high levels of MHC genes

(Figure 4). This result may either indicate the dependence of CD8+ T cells in MHC-I antigen

presentation or suggest that enhanced CD4+ Th infiltrate could support the continued accu-

mulation of CD8+ CTLs in the tumor microenvironment [60]. Interestingly, *CDK12* pPCa

with high expression of both MHC-I and -II genes showed increased levels of γδ T cells

(Figure 4a-b). The basal effector immune cell population, such as γδ T cells in pPCa, may

contribute to IFN-γ signaling and indicate the dependence of the MHC-unrestricted recogni-

tion role of γδ T cells and its presence in the TME [20], [73].

The loss of MHC expression could be derived from two different disruption means

[74]. First, regulatory abnormalities downregulate the expression of MHC genes through

mechanisms that do not affect the genomic structure of HLA genes. In such cases, specific T-

cells can recover the MHC expression-mediated response (e.g., IFN-γ signaling). Second,

during tumor evolution, the infiltration of cytotoxic lymphocytes eliminates tumor clones

high immunogenic, causing a selection of clones that may present structural alteration, or

"Hard" lesions, in the MHC loci or other genomic regions (e.g., *B2M*, *IFN*, *STAT*) distinct

from the derived clone [49].

Genomic studies of chromosome 6 in various cancers suggest reduced MHC expres-

sion is often associated with genetic and LOH aberrations that may result in reduced antigen

presentation and, thus, facilitate immune evasion [15], [75]. In keeping with these data, our

WES of pPCa and mCRPC revealed CN-LOH and LOH in *CDK12* defective tumors express-

ing low levels of MHC-I/II genes at known regulators of MHC expression and the compo-

nents of the MHC (Table 1-2). Two pPCa patients also showed complete loss of the *B2M*

locus, while one mCRPC exhibited a LOH event at the *B2M*, an important component of the

MHC-I complex [49]. These results indicate that after selection, the low expression of MHC

genes is derived from tumor clones harboring "Hard" genomics alterations comprising loci

involved in normal MHC expression. Therefore, these clones will be invisible to the immune

system and contribute to tumor progression [18].

This study has a number of limitations. First, future studies in a large number of pa-

tients harboring CDK12 mutations are needed to address potential statistical bias regarding

our low number of patients. Second, we did not address the potential molecular mechanism

underlying the alteration of the low expression of MHC in *CDK12* defective prostate cancer,

including epigenetic alterations and miRNA activity. Further studies are needed to approach

the causes of MHC disruption derived from "Soft" alterations that occurs in *CDK12* defective

prostate cancer. Third, because the non-tumor cell content was not defined in this study, we

could not establish a limit for the contribution of the *CDK12* defective tumor cells and TME

to the MHC expression since the RNA-seq relies on data from bulk tissue [76].

Conclusion

We distinguished two sets of *CDK12* defective tumors based on differential MHC ex-

pression levels. Our data suggest that *CDK12* defective PCa expressing higher levels of clas-

sical MHC genes have an active and inflamed tumor microenvironment with elevated

immunomodulatory pathway expression and increased presence of effector T cells. Tumors

with decreased MHC expression showed copy-number alteration in genes that regulate MHC

expression and antigen presentation. More extensive *in vitro* and *in vivo* investigations are

required to relate this molecular subtype to potential actionable immunomodulatory mecha-

nisms or possible therapeutic targets in PCa. These findings also support investigations into

the clinical use of MHC expression levels in *CDK12* defective prostate cancer to identify

tumors likely to respond to ICB treatment.

List of abbreviations

ADT: Androgen Deprivation therapy

APC: Antigen-presenting cells

CDK12: Cyclin-dependent Kinase 12

CN-LOH: Copy-neutral loss of heterozygosity

dbGaP: The database of Genotypes and Phenotypes

DDR: **DNA damage repair**

DEGs: Differentially expressed genes

FACETS: Fraction and Allele-Specific Copy Number Estimated from Tumor Sequencing

FDR: False discovery rate

GEP: Gene expression profile

GO: Gene ontology

ICB: Immune-checkpoint blockade

LM22: Leukocyte gene signature matrix

LOH: loss of heterozygosity

mCRPC: Metastatic Castration-Resistant Prostate Cancer

MHC: Major histocompatibility complex

MSigDB: Molecular Signature Database

NCCN: National Comprehensive Cancer Network

ORA: Over-representation analyses

PCa: Prostate Cancer

PE: Paired-end

pPCa: Primary prostate cancer

PRAD: Prostate Adenocarcinoma

PSA: Prostate-specific antigen

TCGA-PRAD: The Cancer Genome Atlas

TME: Tumor microenvironment

LOH: Loss-of-Heterozygosity

Ethics approval and consent to participate

Not applicable.

Consent for publication

Not applicable.

Availability of data and materials

499   The original dataset is deposited in the database of Genomic and Phenotypes (dbGaP)

500   under accession numbers phs000178.v11.p8.c1, phs000915.v2.p2.c1. The original clinical

501   information of both cohorts is deposited in the CbioPortal [77] and GDC Portal [78]. All oth-

502   er data supporting the conclusions of this article are included within the article and its addi-

503   tional files.

Competing interests

506   The authors declare that they have no competing interests.

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Authors' contributions

515   Conception: W. L. D. and J. A. S

516   Interpretation or analysis of data: W. L. D., S. L. B., and J. A. S

517   Preparation of the manuscript: W. L. D. and J. A. S.

518   Revision for important intellectual content: L. P. C, C. M. M., and R. B. R.

519   Supervision: S. L. B. and J. A. S.

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Legends

Figure 1. MHC-I/-II high expression in CDK12 defective prostate cancer showed dis-

tinct transcriptome activity. (a) Transcriptome heatmap exhibiting clustering of top 50

DEGs in pPCa CDK12-Mut MHC-I High group ($n = 30$). The upper cluster (I) has IGHV and

IGLV over-expressed genes linked to *CDK12* MHC I high. The central clusters (II and III)

has four HLA genes overexpressed in the MHC I high group, supporting our CDK12 mutated

MHC expression classification. The lower cluster (IV) has 14 downregulated genes when

MHC I is highly expressed. (b) Transcriptome heatmap exhibiting clustering of top 50 DEGs

in the pPCa CDK12-Mut MHC-II High group ($n = 23$). The upper cluster (I) has upregulation

of genes related to cytotoxicity, immune cell migration, and immune suppression. We could

not observe clinical features associated with MHC I or II clusters. (c) Transcriptome heatmap

exhibiting clustering of top 50 DEGs in the mCRPC CDK12-Mut MHC High group ($n = 6$).

The combined MHC I and II showed two distinct clusters. The lower cluster showed the

upregulation of genes linked to innate and adaptative immune response and CD4+ and CD8+

T cell activity. (d) Enriched GO (BP) pathways of the upregulated genes from pPCa CDK12-

Mut MHC-I. **(e)** Enriched GO (BP) pathways of the upregulated genes from pPCa CDK12-

Mut MHC-II High group. **(f)** Enriched GO (BP) pathways of the upregulated genes from the

mCRPC CDK12-Mut High group. The DEGs are relative to the CDK12-Mut 'Low' group.

Clinical information is displayed on top of the heatmap for each patient. The color scale in

the heatmap represents the Z-score of the normalized read counts for each gene, where the

red scale indicates upregulated and blue low-expressed genes. Enrichment analyses were per-

formed using *clusterProfiler* and *p*-adjusted value = 0.05 as the cutoff. Bar plots show the top

20 most significant Gene Ontology (BP) terms.

Figure 2. MHC high expressed *CDK12* defective prostate tumors are associated with

activation of immune-related pathways. (a) Gene Set Enrichment Analysis of Hallmark's

pathways in pPCa *CDK12-Mut* MHC-I High (*n* = 30)**. (b)** Gene Set Enrichment Analysis of

Hallmark pathways in pPCa *CDK12-Mut* MHC-II High (*n* = 23). **(c-d)** Gene Set Enrichment

Analysis of Hallmarks and Reactome pathways in mCRPC *CDK12-Mut* MHC High (*n* = 10).

A normalized enrichment score indicates each factor's positive or negative association with

the condition of interest, which means activation or suppression of the pathway. Enrichment

analyses were performed using *clusterProfiler* and *p*-adjusted value = 0.05 as the cutoff.

Figure 3. MHC high expressed CDK12 defective prostate cancer showed enhanced ex-

pression of immunomodulatory genes. RNA-sequencing expression level of

immunomodulatory genes **(a)** *IDO1* ($p < 0.018$), **(b)** *HAVCR2* (*TIM3*) ($p < 0.0022$) in

CDK12-Mut MHC-I High. *n* = 48; **(c)** *CD274* (*PD-L1*) ($p < 0.0028$), **(d)** *HAVCR2* (*TIM3*) (*p*

< 0.00012)*,* **(e)** *IDO1* ($p < 0.001$) in *CDK12-Mut* MHC-II High. *n* = 48; **(f)** *CD274* (*PD-L1*)

($p < 0.0095$)*. n* = 10; *: *p*-value < 0.05; **: *p*-value < 0.01, by Mann-Whitney test. *IDO1*,

Indoleamine 2,3-Dioxygenase 1; *HAVCR3* (*TIM3*), T-Cell Immunoglobulin Mucin Receptor

3; *CD274* (*PD-L1*), Programmed Cell Death 1 Ligand 1.

Figure 4. MHC high expressed *CDK12* defective is associated with enhanced T cell re-

cruitment of prostate tumors. (a) CIBERSORT-derived immune cell abundance of 22 dis-

tinct cell subsets based on *CDK12* defective MHC-I High pPCa (*n* = 30)**. (b)** CIBERSORT-

derived immune cell abundance of 22 distinct cell subsets based on *CDK12* defective MHC-

II High pPCa (*n* = 23). **(c)** CIBERSORT-derived immune cell abundance of 22 distinct cell

subsets based on *CDK12* defective MHC High mCRPC (*n* = 10). *: *p*-value < 0.05; **: *p*-

value < 0.01, by Mann-Whitney test.

Table 1. *CDK12* defective in primary MHC low expressed tumors. Integral results of

FACETS analysis of whole-exome sequencing data from *CDK12* defective primary tumors

expressing low levels of MHC-I/II. For each patient, the table shows the integer copy number

for the allelic ratio of the heterozygous SNPs in the tumor/normal pair. The first column is

the patient ID and the second column are the MHC region loci and other genes commonly

subject to LOH in PCa. The last two columns represent the total copy number and the minor

copy number, respectively. Tumors with a 2:1 ratio are considered normal for each position,

while 2:0 and 1:0 represent CN-LOH and LOH events. The cellular fraction represents the

estimated number of cells harboring the genotype. Primary PCa revealed subclonal CN-LOH

and LOH at *JAK1, STAT1, IRF2, IRF1, MHC-I/II, TAP1, TAP2, IFNR1, JAK2, B2M, CIITA,*

NLRC5, and *IFNR1*. Two patients showed biallelic loss at the *B2M* locus (Total copy num-

ber/minor copy number ratio=0:0). *MHC-I = *HLA-A, HLA-B,* and *HLA-C;* MHC-II = *HLA-*

DRA, HLA-DRB5, HLA-DRB6, HLA-DPA1, HLA-DPB1, HLA-DQA1, HLA-DQB1, and

HLA-DQB2.

Table 2. *CDK12* **defective in metastatic MHC low expressed tumors.** Integral results of FACETS analysis of whole-exome sequencing data from *CDK12* defective metastatic tumors expressing low levels of MHC-I/II. The same parameters shown in Table 1 were used to characterize LOH for each gene of interest. Metastatic PCa showed allele-specific copy number gains at *JAK1, STAT1, IRF2, IRF1, MHC-I/II, TAP1, TAP2, IFNR1, JAK2, B2M, CIITA, NLRC5,* and *IFNR1*. One patient showed a clonal LOH event at the *JAK2* and *B2M* loci (Total copy number/minor copy number ratio=1:0). *MHC-I = *HLA-A, HLA-B,* and *HLA-C;* MHC-II = *HLA-DRA, HLA-DRB5, HLA-DRB6, HLA-DPA1, HLA-DPB1, HLA-DQA1, HLA-DQB1,* and *HLA-DQB2*.

838 **Figure 1**

A)

B)

C)

D)

Figu

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Figure 3

845   **Figure 4**

Patient ID	Gene	chrom	start	end	cellular fraction	Total copy number	Minor copy number
TCGA-KK-A8IA	STAT1	2	134713128	192194260	0.833	1	0
TCGA-KK-A8IA	IRF1	5	55231421	143147410	0.833	1	0
TCGA-KK-A8IA	PTEN	10	87552401	89139399	0.833	1	0
TCGA-KK-A8IA	B2M	15	41191425	77615398	0.208	0	0
TCGA-KK-A8IG	IFNGR1	6	65302925	170584366	0.668	1	0
TCGA-KK-A8I6	PTEN	10	73243437	104454566	0.332	0	0
TCGA-KK-A8I6	NLRC5	16	49396608	90096324	0.11	0	0
TCGA-XJ-A9DX	NLRC5	16	49280867	57722991	0.62	1	0
TCGA-ZG-A9LM	STAT1	2	134317491	192057773	0.47	2	0
TCGA-ZG-A9LM	B2M	15	19882284	101922415	0.47	2	0
TCGA-ZG-A9LM	NLRC5	16	56276055	89228602	0.47	2	0
TCGA-EJ-8472	JAK1	1	21619903	67705610	0.37	1	0
TCGA-EJ-8472	B2M	15	42751857	97971259	0.37	2	0
TCGA-XQ-A8TA	IRF2	4	177976002	189984351	0.92	1	0
TCGA-XQ-A8TA	IRF1	5	128464930	181260211	0.92	2	0
TCGA-XQ-A8TA	PTEN	10	87790275	89599433	0.92	0	0
TCGA-YL-A8HO	STAT1	2	119157673	199659594	0.12	0	0
TCGA-YL-A8HO	IRF1	5	143082	181260211	0.38	2	0
TCGA-YL-A8HO	*MHC-I/II, TAP1/2	6	304637	170584276	0.27	1	0
TCGA-YL-A8HO	IFNGR1	6	304637	170584276	0.27	1	0
TCGA-YL-A8HO	B2M	15	19882294	101922415	0.27	1	0
TCGA-YL-A8HO	CIITA	16	8644541	58196892	0.22	2	0
TCGA-YL-A8HO	NLRC5	16	8644541	58196892	0.22	2	0
TCGA-XK-AAJA	PTEN	10	7243639	12235132	0.54	1	0
TCGA-KK-A7AP	B2M	15	33311111	57091863	0.87	1	0
TCGA-KK-A7AP	NLRC5	16	48347484	90177833	0.87	1	0
TCGA-HC-7744	B2M	15	42515191	45178103	0.12	0	0
TCGA-KK-A8IG	IFNGR1	6	65302925	170584366	0.668	1	0
TCGA-EJ-7784	JAK2	9	14859	18718116	0.437	1	0
TCGA-HC-A48F	JAK1	1	41513578	80451865	0.86	1	0
TCGA-HC-A48F	IRF2	4	85671	189984257	0.21	1	0
TCGA-HC-A48F	IRF1	5	54400082	171456817	0.86	1	0
TCGA-HC-A48F	*MHC-I/II, TAP1/2	6	304637	170584366	0.31	1	0
TCGA-HC-A48F	IFNGR1	6	304637	170584366	0.31	1	0
TCGA-HC-A48F	PTEN	10	49168049	118015066	0.21	1	0
TCGA-HC-A48F	B2M	15	44380814	50749712	0.86	1	0
TCGA-HC-A48F	NLRC5	16	35085998	90177833	0.86	1	0

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848 **Table1**

Patient ID	Gene	chrom	start	end	cellular fraction	Total copy number	Minor copy number
5115412	*JAK1*	1	33804897	68440771	0.49	5	2
5115412	*STAT1*	2	187346385	205615949	0.54	5	2
5115412	*IRF2*	4	182891198	185757023	0.87	6	2
5115412	*IRF1*	5	112892242	139881181	0.81	4	2
5115412	MHC-I	6	29555893	32256053	0.87	4	1
5115412	MHC-II	6	32288409	38345160	0.30	6	2
5115412	*TAP-1*	6	32288409	38345160	0.30	6	2
5115412	*TAP-2*	6	32288409	38345160	0.30	6	2
5115412	*JAK2*	9	2804198	15486990	0.59	4	2
5115412	*PTEN*	10	80253502	93958843	0.30	6	2
5115412	*B2M*	15	30626570	59138344	0.59	4	2
5115412	*CIITA*	16	198972	17358048	0.59	4	2
5115412	*NLRC5*	16	57372390	71634040	0.52	4	2
5115412	*IFNGR2*	21	33230307	34889712	0.87	5	2
1115161	*IRF2*	4	184116877	186709443	0.51	6	3
1115161	*HLA-A*	6	29330997	30628358	0.79	3	1
1115161	*HLA-B*	6	30635016	31382266	0.59	5	2
1115161	*HLA-C*	6	30635016	31382266	0.59	5	2
1115161	*JAK2*	9	52538	33113788	0.20	3	1
5115615	*JAK1*	1	63571201	65432064	0.912	3	1
5115615	*STAT1*	2	188522965	192194738	0.912	3	1
5115615	MHC-I	6	29944749	30415099	0.899	3	1
5115615	MHC-I/II	6	30469283	32407241	0.902	4	2
5115615	MHC-II	6	32439760	32666486	0.912	3	1
5115615	MHC-II/*TAP1/2*	6	32666737	34289022	0.902	4	2
5115615	*JAK2*	9	117666	9091026	0.906	1	0
5115615	*B2M*	15	41691484	46828068	0.906	1	0
5115615	*CIITA*	16	9938304	11178578	0.912	3	1
5115615	*IFNGR2*	21	33335636	37018290	0.899	3	1

859   **Table 2**