**Epithelial control of colonisation by *Streptococcus pneumoniae* at the human mucosal**

**surface**

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**ABSTRACT**

Control of *Streptococcus pneumoniae* colonisation at human mucosal surfaces is critical to reducing the burden of pneumonia and invasive pneumococcal disease, interrupting transmission, and achieving herd protection. Using an Experimental Human Pneumococcal Carriage Model (EHPC), we show that *S. pneumoniae* colonisation is associated with epithelial surface adherence, microcolony formation and invasion, without overt disease. Interactions between different strains and the epithelium *in vitro* shaped the host transcriptomic response. Using epithelial modules from a human epithelial cell model that recapitulates our *in vivo* findings, comprising innate signalling/ regulatory pathways, inflammatory mediators, cellular metabolism and stress response genes, we find that inflammation in the EHPC model is most prominent around the time of bacterial clearance. These results show that rather than being confined to the epithelial surface and the overlying mucus layer, the pneumococcus undergoes micro-invasion that enhances the inflammatory/ innate immune response associated with clearance which may also trigger transmission.

Colonisation of upper respiratory tract (URT) mucosa by a range of pathogenic bacteria is a

necessary precursor to both disease and onward transmission. Although *Streptococcus pneumoniae*

is a common coloniser of the human nasopharynx, it is estimated to be responsible for >500,000

deaths due to pneumonia, meningitis and sepsis in children under five years of age worldwide[1].

In Europe and North America, there has been a dramatic effect of pneumococcal conjugate vaccine

(PCV) on vaccine serotype (VT) invasive disease, carriage and transmission[2]. However, the

emergence of non-VT pneumococcal disease worldwide and the more modest impact of PCV on

colonisation in high transmission settings, threaten this success[3]. Control of pneumococcal URT

colonisation in humans is not fully understood[4], and so defining the mechanistic basis for host control

of pneumococcal colonisation at the mucosal surface is therefore crucial for the further optimisation

of therapeutic interventions which target carriage and transmission.

Naturally acquired immunity to pneumococcal antigens is primarily mediated by mucosal T cells,

anti-protein antibodies, controlled by Treg[5,6]. The URT epithelium is central to this process[7], binding

and transporting antibodies, sensing bacteria via a range of surface and intracellular pathogen-

associated molecular patterns (PAMPs) receptors, and rapidly transducing signals to recruit innate

and inflammatory immune mechanisms[8,9].

Murine models suggest that adherence of *S. pneumoniae* to the mucosal epithelium may be followed

by paracellular transmigration and tight junction modulation[10,11]. In contrast, studies of immortalised

epithelial cell monolayers implicate endocytosis of *S. pneumoniae*, mediated though pneumococcal

protein C–polymeric immunoglobulin receptor interactions[12,13]. The relative importance of epithelial

endocytosis and paracellular migration in colonisation and invasion remains uncertain[13], but could

influence epithelial sensing of this otherwise extracellular pathogen[11]. This may include TLR2

signalling via lipoteichoic acid[14,15], Nod1 signalling via peptidoglycan[16] and TLR4 signalling via

pneumolysin, a pore-forming toxin that induces inflammation and mediates both clearance and

transmission in an infant mouse model[17-19].

We have explored the hypothesis that pneumococcal-epithelial engagement dictates the inflammatory/ innate immune response and therefore the outcome of colonisation. Much of what we understand of the control of pneumococcal colonisation is derived from epidemiological studies and murine carriage models. The experimental human pneumococcal carriage (EHPC) model provides a well-controlled, reproducible tool to characterise the cellular and molecular mechanisms that underlie pneumococcal colonisation in humans[20]. We have used human epithelial cell lines and different strains of *S. pneumoniae* to further probe these mechanisms and derive epithelial transcriptome module to interrogate the host response in the EHPC model. We show that pneumococcal colonisation in humans is characterised by microcolony formation, junctional protein association and migration across the epithelial barrier without disease, which we have termed micro-invasion. This pattern of bacterial-host cell association shapes epithelial sensing of *S. pneumoniae,* which is partially pneumolysin dependent. Together, our data suggest that pneumococcal engagement with the epithelium in the early phases of colonisation may occur without eliciting a marked host response.  As colonisation becomes more established, epithelial sensing of *S. pneumoniae* enhances innate immunity/ inflammation which we propose promotes clearance and may trigger transmission.

**RESULTS**

**Pneumococcal colonisation of the human nasopharynx is associated with epithelial adhesion, microcolony formation and micro-invasion**

We have used an EHPC model[21] to capture the epithelial events central to pneumococcal colonisation, obtaining human mucosal samples by curette biopsy. We defined a carrier as an individual colonised by 6B *S. pneumoniae* as detected by culture of nasal wash at any day following

inoculation. Clearance was defined as when *S. pneumoniae* colonisation became negative by culture

of nasal wash.

Colonisation was detected in 9/13 healthy volunteers by culture, 12/13 by microscopy and 9/11 by

LytA PCR (Table 1). Carriage was detected by culture/ PCR at day 2, whereas maximum detection

by microscopy was evident at day 6. This is not explained by colonisation density and therefore the

sensitivity of culture/ PCR. This could be explained by greater association with the epithelium

(detected by all techniques) rather than the overlying mucus (detected by culture/PCR but not

microscopy) over time. Clearance generally occurred between day 9 and day 27 (Table 1 and Figure

1b).

Curette biopsy samples visualised by confocal microscopy using Wheat Germ Agglutinin (WGA) as

a marker for surface carbohydrates and Junctional Adhesion Molecule A (JAM-A) as a marker of

tight junctions, yielded intact sheets of epithelial cells associated with polymorphonuclear leukocytes,

characterised morphologically (Figure 1a and Supplementary Figure 1a). Amongst carriers,

pneumococci were found on the epithelial surface (Table 1; Figure 1c, Figure 1d) which over time

became associated with microcolony formation (Figure 1e). There was evidence of pneumococcal

invasion of the epithelial monolayer ("micro-invasion", Figure 1e-f). Pneumococci were also

observed in phagocytic cells (Supplementary Figure 1a). Colonisation was frequently characterised

by co-association between *S. pneumoniae* and JAM-A (Figure 1f). This intimate association between

inoculated pneumococci and the mucosa in the EHPC model is suggestive of an active process that

reflects natural asymptomatic pneumococcal carriage in humans.

**Epithelial surface marker expression *in vivo* is not altered in response to colonisation with *S.***

***pneumoniae***

To determine whether pneumococcal colonisation leads to epithelial activation, we analysed nasal

curette biopsy cells for surface expression of EpCAM (epithelial cell identification), IL-22Ra1,

HLADR, CD40, CD54 and CD107a (Supplementary Figure 2a-d). We did not detect a significant

change in the relative expression of IL-22Ra1 (protects the epithelial barrier, promotes anti-microbial

product secretion during infection, modulating pneumococcal carriage and clearance[22]), HLADR

(mediates T cell-antigen recognition and is a marker of epithelial activation[23]), CD40 (co-stimulatory

protein which binds CD154[24] (Supplementary Figure 2e-g)) or CD54 (a leukocyte adhesion molecule

which is also upregulated by CD40[24,25], initiating neutrophil migration and recruitment[26]) (Figure 2a).

However, although numbers of epithelial cells expressing CD107a did not change over time (Figure

2b), we observed an increase in CD107a$^{high}$ expression at day 2 post inoculation in carriage positive

volunteers vs. carriage negative volunteers (Figure 2b). CD107a in the epithelium forms the

membrane glycoprotein of late endosomes and phagolysosomes[13] and has previously been

implicated in pneumococcal endocytosis[13]. These data highlight the ability of the pneumococcus to

colonise the nasopharynx without marked inflammation and potentially implicate CD107a in the

process.

**S. pneumoniae infection of nasopharyngeal epithelial cells in vitro is associated with**

**pneumococcal adhesion, microcolony formation and micro-invasion**

To further understand epithelial responses to S. pneumoniae observed in the EHPC model, we

undertook infection experiments with Detroit 562 epithelial cells. We compared the 6B response with

two other representative clinical isolates, TIGR4 (the original sequenced strain[27]) and 23F, and a

TIGR4 pneumolysin deletion mutant strain (dPly).

TIGR4 association with Detroit 562 cells was over 100-fold higher for adhesion and over 70-fold

higher for invasion after three hours infection, compared to 6B or 23F strains (Figure 3a-b).

Pneumococcal adhesion to the epithelial surface was associated with microcolony formation and

internalisation of this conventionally extracellular pathogen[11] (Figure 3d-e, Supplementary Figure

3a). Intracellular pneumococci were contained within intracellular vesicles suggestive of endocytosis,

which was most marked with the TIGR4 strain (Figure 3b)[13]. Intracellular pneumococci were coated

with JAM-A (Figure 3f, Supplementary Figure 3a) and associated with the adherens junction protein

β catenin but not Claudin 4 (Supplementary Figure 3a). Pneumococci were located laterally,

transiting between cell junctions (Figure 3g), at the level of the nuclei and below the basal membrane

(Figure 3h). Transmigration across the epithelium (endocytosis or paracellular movement), as measured by the culture of pneumococci from the basal chamber of transwell inserts, was most marked with 23F (Figure 3c, five-fold higher compared to TIGR4, after three hours infection). A similar pattern of epithelial interaction was also seen at one hour suggesting these observations are not simply explained by differential growth.

Epithelial infection with the dPly-TIGR4 mutant showed a significant increase in adherence (Figure 3a, ten-fold higher after three hours infection), internalisation (Figure 3b, three-fold higher after three hours infection), but no significant differences in transmigration (Figure 3c) compared to the wild-type strain, implicating pneumolysin in the modulation of bacterial interactions with the epithelium.

Similar patterns of adherence and invasion were observed in infection experiments with human Calu3 and A549 epithelial cells demonstrating that these findings are cell-line independent (Supplementary Figure 4). Furthermore, primary epithelial cells differentiated on an air-liquid interface for 30 days and co-cultured with either 6B or 23F *S. pneumoniae* also revealed pneumococcal microcolony formation, micro-invasion and epithelial junctional protein association (Supplementary Figure 1b).

Together these data show the strain dependency of pneumococcal-epithelial interactions *in vitro* which mirror the pathways for epithelial micro-invasion seen *in vivo*.

**Endocytosis-related micro-invasion and transmigration**

To confirm that the pneumococcal endocytosis leads to transmigration across the epithelium, endocytosis was inhibited with dynasore and nystatin[13]. After one hour of infection, cellular uptake of 23F was inhibited by 82% (Figure 4a) and transmigration across the cell monolayer by 85% (Figure 4b). This inhibition of endocytosis and transmigration was also seen with TIGR4 (data not shown).

In agreement with previous studies using A549 and Calu3 cells[28], we found that viable pneumococci in Detroit 562 cells decreased over time (Supplementary Figure 5a). Using gentamicin treatment to eliminate the original extracellular inoculum, we observed *S. pneumoniae* in the apical and basal media (Supplementary Figure 5b), suggesting egress from the epithelium.

**Loss of epithelial cell barrier function is not a pre-requisite for micro-invasion by *S. pneumoniae***

*S. pneumoniae* has been shown to affect the integrity of epithelial barriers and tight junction function in murine models[10,29]. Having demonstrated pneumococcal micro-invasion without obvious epithelial morphological disruption, we explored possible effects on epithelial barrier function by measuring trans-epithelial electrical resistance (TEER) and permeability to 4kDa FITC-dextran in Detroit 562 cells. TEER was not adversely affected by pneumococcal co-culture (Figure 4c) and permeability was maintained with all the pneumococcal strains at three hours post-infection (Figure 4d). Although co-localisation of pneumococci was seen with host proteins, we did not detect marked epithelial membrane carbohydrate or protein re-distribution (WGA, Claudin 4 JAM-A, β catenin, Supplementary Figure 3a). Similar observations were made with A549 cells and Calu3 cells (Supplementary Figure 4). These data suggest that pneumococcal micro-invasion was not dependent on loss of epithelial cell barrier function during early interactions.

### *S. pneumoniae* upregulates epithelial surface CD54 and CD107a *in vitro*

In a similar manner to primary cells collected from nasal curettes, we assessed Detroit 562 cell surface marker expression in response to *S. pneumoniae* (Supplementary Figure 6a-c). There were no significant changes in IL-22Ra1, HLADR or CD40 expression in response to 6B, 23F, TIGR4 and dPly-TIGR4 strains (Supplementary Figure 6d-e). However, CD54[high] expression was significantly greater in response to the TIGR4 and dPly-TIGR4 strains, compared to non-infected cells (Figure 5a). Epithelial CD107a was upregulated in response to the 6B, 23F and TIGR4 strains (Figure 5b), but this was not seen with dPly-TIGR4. These data implicate pneumolysin in the induction of CD107a

but not CD54 epithelial surface expression and support the possibility that CD107a is involved in

pneumococcal-epithelial micro-invasion events seen *in vivo*.

***Streptococcus pneumoniae* induces epithelial secretion of IL-6, IL-8 and CD54**

To assess the inflammatory consequences of pneumococcal-epithelial infections *in vitro*, we

measured a cytokine panel in Detroit 562 cell supernatants following *S. pneumoniae* incubation

(Figure 5c). We detected a significant increase in IL-6 and IL-8, which were strain dependent and

partially pneumolysin dependent. In line with surface marker observations, only TIGR4 significantly

upregulated the secretion of soluble CD54, which was dependent on pneumolysin (Figure 5c). These

data highlight the less inflammatory nature of the 6B strain compared to the more invasive strain,

TIGR4, and the importance of pneumolysin in the epithelial response. Pneumococcal wild-type strain

differences were not explained by differences in pneumolysin activity, as determined by hemolysis

(Supplementary Figure 7).

**Innate transcriptomic responses to epithelial infection by *S. pneumoniae in vitro***

To explore the hypothesis that the pattern of epithelial adhesion and micro-invasion results in

differential epithelial responses, we performed RNAseq of Detroit 562 cells infected with our panel

of *S. pneumoniae* strains. In comparison to non-infected epithelial cell cultures (Figure 6a), infection

with TIGR4 upregulated expression of 1127 genes (550 unique genes), 23F upregulated 650 genes

(69 unique genes), and 6B upregulated 153 genes (10 unique genes). The pneumolysin deficient

isogenic mutant of TIGR4 upregulated 220 genes (14 unique genes). Compared to non-infected

cells, 1193 genes were upregulated by *S. pneumoniae* infection overall and 93 were core to all

strains tested.

To elucidate the pathways that drive the transcriptional responses to each strain, we also undertook

transcription factor binding site enrichment analysis (Figure 6b, Online Supplementary File). The

responses to 6B and pneumolysin deficient strains were principally enriched in binding sites for the

NFkB/Rel family of transcription factors, indicating that an NFkB activation pathway was the

dominant driver for responses to these strains. In contrast, cellular responses to TIGR4 and 23F

strains revealed enriched binding sites for more diverse transcription factors, suggesting diverse

molecular pathways by which these strains may influence cellular function. This analysis revealed

particular enrichment of binding sites for beta-beta-alpha zinc finger superfamily of transcription

factors, including SP1 and KLF4, suggesting that these strains upregulate mitogen activated protein

kinase pathways upstream of these transcription factors[30].

The sets of genes upregulated by each strain individually were subjected to core and interactome

and pathway-enrichment analysis for functional annotation of the cellular response at systems level

(Figure 6c, Online Supplementary File). From 20 clusters of pathways, significant enrichment of

innate immune system responses was evident in all strains and included specific enrichment in Toll

receptor cascades, peptide ligand-binding receptors, NFkB and MAP kinase activation, Interferon

signalling and cytokine and chemokine signalling, (Figure 6c, 6d). In general, the greater number of

transcripts upregulated by TIGR4 and 23F strains compared to 6B translated to a larger number of

biological pathways with differential innate immune responses to each strain (Figure 6c). Fewer

transcriptional responses at the level of functional pathways in response to dPly-TIGR4 is consistent

with a role for pneumolysin in innate immune recognition of *S. pneumoniae*[31]. Fewer transcriptional

responses to 6B is consistent with our observations that this strain exhibits the lowest level of cellular

association and transmigration.

**Epithelial transcriptomic responses to 6B are detectable *in vivo***

Next, we sought to test whether these epithelial transcriptomic responses to *S. pneumoniae* were

also evident in the 6B EHPC model. We compared nasal transcriptomes sampled at two or nine days

after inoculation to pre-inoculation samples. These revealed significant enrichment of 158 transcripts

among individuals who became colonised (Supplementary Figure 9). These genes included Claudin

5 and Claudin 17, Defensin β 103A/B, Cadherin 16, Desmocollin 1 and Gap junction protein α1,

which suggests cytoskeletal re-organisation two days post-inoculation in carriage positive

individuals. At day 9 post-inoculation, innate molecules such as CCR3, matrix metalloproteinase 12

and MHC II molecules were enriched, suggesting innate activation. However, these gene sets were

not significantly enriched for any immune response pathway annotation perhaps because of the

statistical stringency necessary for genome-wide multiple testing and were not epithelial-specific.

Gene expression modules can successfully detect specific transcriptional programs in bulk tissue[32].

Therefore, as an alternative approach, we sought to target specific epithelial responses *in vivo* using

the *in vitro* interactome. A direct comparison of transcripts for 6B revealed FOSL-1, an AP-1

transcription factor subunit, to be enriched with carriage. To expand the sensitivity of the approach,

we evaluated the expression of two transcriptional modules in the nasal samples (Figure 7). A 'core'

module comprised of 16 interacting genes (Figure 7b) that were upregulated in the Detroit epithelium

by all the pneumococcal strains from Figure 7a, and a second 'integrated' module that comprised of

200 interacting genes (Figure 7c), which were upregulated in the Detroit epithelium by at least one

of the pneumococcal strains from Figure 7a. Among carriage negative individuals, we found no

increase in expression in either gene expression modules (Figure 7b-c). In contrast among the

individuals who became colonised, the expression of both modules, but significantly increased within

the integrated module (Figure 7b,7c), suggests that the prominence of responses at day nine may

reflect time-dependent proliferation of the 6B bacterial inoculum and the subsequent epithelial

interactions. These responses coincide around the time of bacterial clearance.

**DISCUSSION**

It is widely accepted that colonisation of the URT mucosa by many potentially pathogenic bacterial

species, involves transient association with the overlying mucus layer but that adherence to the

epithelial surface avoids mucus entrapment and muco-ciliary clearance[11,33]. While evading immunity,

bacterial replication then occurs prior to onward transmission to a new host. Even for *S. pneumoniae,*

the mechanisms underlying this transition from acquisition to established colonisation, and then

transmission and/or disease, are not well understood. By combining an EHPC model and *in vitro*

human cell culture systems, we show that pneumococcal colonisation leads to epithelial adherence,

microcolony formation and migration across the epithelial barrier without disease, which we have

termed micro-invasion. The finding of co-association with junctional proteins provides a possible

mechanism for micro-invasion. Clearance of the pneumococcus from the mucosa *in vivo* occurs in

the context of micro-invasion. Indeed, epithelial micro-invasion and not bacterial load *per se*, appears

to dictate unique transcription factor binding site signatures, downstream cytokine, chemokine and

metabolic pathway enrichment (Figure 8).

The concept of mucosal micro-invasion moves us away from current models of colonisation where

the pneumococcus is held up at the epithelial surface and that invasion leads to disease. Our data

are supported by murine colonisation experiments[34,35] and the detection of pneumococcal DNA in

blood of otherwise healthy, colonised children[36]. In line with other cell culture and murine

models[10,13,34,37], we have demonstrated that pneumococcal micro-invasion occurs by endocytosis

through the formation of cytoplasmic vacuoles, and by paracellular transcytosis across the

epithelium. Micro-invasion of the epithelium may overcome the inaccessibility of PAMP receptors

located either at the epithelial basolateral surface or intracellularly[38,39]. We have found that at early

time points, micro-invasion *in vitro* is also characterised by pneumococcal co-association with JAM-

A and β catenin without evidence of barrier dysfunction. In murine models at later time points, TLR-

dependent Claudin 7 and Claudin 10 down-regulation enhanced pneumococcal translocation across

the epithelium has been observed[10]. While this may occur as inflammation becomes more prominent,

our data suggest that micro-invasion can happen without barrier disruption and that the epithelium

plays an active role in the regulation of these complex host-pathogen interactions[9].

The differential impact of micro-invasion on the epithelial transcriptomic response was striking with

considerable enrichment of multiple diverse transcription factors and signalling pathways related to

innate immunity with the most invasive pneumococcal strains. The interactome module highlights that although enrichment of gene activation in response to all pneumococcal strains is apparent (the core module), a more diverse range of epithelial gene activation occurs between strains, reflecting specific host-pathogen interactions. Nasal colonisation in murine models is proinflammatory[40,41], but our *in vitro* and EHPC experiments with serotype 6B suggests this is not always the case, whereby pneumococcal-host cell adherence, growth, endocytosis and paracellular migration can be established without a marked host response. In the EHPC, clearance occurred around the time the epithelial transcriptomic response was most prominent. Weiser and colleagues argue that the colonising pneumococcus induces the host response that mediates clearance, but also promotes nutrient acquisition and onward transmission[11,17,42], which is supported by murine models[43] and epidemiological studies of viral-coinfection[44]. The enrichment of binding sites for SP1 and KLF4 transcription factors seen in our *in vitro* data suggests a counter-regulatory process aimed at minimising inflammation. KLF4 plays a role in barrier function, suppression of NFκB-dependent IL-8 secretion, regulation of IL-10 expression via TLR9-MyD88 and Yes-1, in response to *S. pneumoniae,* which is partially dependent on autolysin LytA[30,45,46]. Thus, by exploiting micro-invasion, the pneumococcus may carefully calibrate the host innate immune/ inflammatory response to promote survival through transmission.

A range of pneumococcal PAMPs including pneumolysin, may trigger this epithelial sensing process[17,47]. We found pneumolysin to be a prominent influencer of epithelial surface molecule upregulation, cytokine production and transcriptomic inflammatory response *in vitro*. Mediated by autolysin, the pneumococcus undergoes autolysis during stationery growth phase, resulting in additional PAMPs' release including bacterial DNA. In mice, pneumococcal DNA triggers inflammation through a DAI/STING/TBK1/IRF3 cascade[40,48], a response that may contribute to pneumococcal clearance. In our *in vitro* transcriptomic analyses, we detected enriched activation of IRF3/IFR7 in dPly-TIGR4. We suggest that in the context of micro-invasion, pneumococcal DNA may act as a trigger of epithelial sensing, inducing inflammation[48].

Our findings are limited by the pneumococcal strains available for testing in the EHPC model to

enable direct comparisons with *in vitro* data. Nonetheless, the use of different strains *in vitro* has

enabled us and others[49,50] to determine the impact of different patterns of epithelial adherence and

invasion on the host inflammatory/ innate immune response. Our findings are also supported by *ex*

*vivo* primary cell cultures in an air-liquid interface derived from the EHPC, and by the EHPC itself.

In conclusion, our data implicates the novel finding of micro-invasion during pneumococcal

colonisation of otherwise healthy humans. Micro-invasion may influence the outcome of colonisation

by altering the balance between innate immunity/ inflammation-driven transmission and clearance.

This balance may be further modulated by the frequency of carriage events, pneumococcal strain

co-colonisation, viral co-infections and other environmental pressures[1,43]. The pathways critical for

onward pneumococcal transmission remain to be determined in humans. Our approach combining

*in vitro* with *in vivo* human systems offers a potentially tractable way to interrogate this question.

**ACKNOWLEDGEMENTS**

This study was funded by the Wellcome Trust (Grant 106846/Z/15/Z). DF is supported by the Medical

Research Council (grant MR/M011569/1), Bill and Melinda Gates Foundation (grant OPP1117728)

and the National Institute for Health Research (NIHR) Local Comprehensive Research Network.

LytA PCR was performed by Prof. D Bogaert, University of Edinburgh, UK. RNAseq library

preparation undertaken at either UCL through the Pathogens Genomic Unit or at the Wellcome

Sanger Institute, Hinxton with thanks to Carl Anderson. Confocal imaging facilities at LSTM were

funded by a Wellcome Trust Multi-User Equipment Grant (104936/Z/14/Z). Flow cytometric

acquisition was funded by a Wellcome Trust Multi-User Equipment Grant (104936/Z/14/Z).

**AUTHOR CONTRIBUTIONS**: CMW, SPJ, DMF and RSH conceived and designed the study. CMW,

SP, SPJ, JR, EN, CS acquired the data. CMW, CV, SPJ, MN, JSB, DMF, RSH analysed and

interpreted the data. CMW wrote the first draft of the manuscript. CMW, CV, SP, SPJ, JR, EN, CS,

MN, JSB, DMF, RSH commented on and approved the manuscript.

**COMPETING INTERESTS:** The authors declare no competing financial interests.

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**METHODS**

**Bacteria**

*S. pneumoniae* clinical strains used were 6B (BHN 418[51]), 23F (P1121[52]) and TIGR4 (P1672[53]),

together with a pneumolysin deficient TIGR4 mutant strain (kind gift from Prof T Mitchell, University

of Birmingham). Stocks of bacterial aliquots grown to O.D.$_{600nm}$ 0.3 were stored at -80$^o$C, defrosted,

resuspended in cell culture media and used once. Colony forming units (CFU) were counted on

horse blood agar plates (EO Labs).

**Experimental Human Pneumococcal Carriage Model (EHPC)**

Following written informed consent, healthy non-smoking adults between the ages of 18 – 59 were

inoculated with 80,000 CFU/nostril live 6B *S. pneumoniae* (BHN418), grown to mid-log phase in

vegetone broth as previously described[54]. Individuals naturally colonised with *S. pneumoniae* or in

regular contact with at-risk individuals were excluded. Nasal washes and mucosal cells (curette

biopsy) from the inferior turbinate were obtained by PBS syringe and curettage using a plastic Rhino-

probe™ (Arlington Scientific), in this order of collection respectively, before pneumococcal

inoculation. Sampling was then repeated on days 2, 6, 9, and 14 - 27 post pneumococcal

inoculation[55]. Volunteers received the TIV vaccine intramuscularly at day 3 post pneumococcal

inoculation. Bacteria collected from nasal washes were quantified by CFU counts. At each time-

point, two curettage samples were obtained and processed for confocal immunofluorescence, flow

cytometry, primary cell culture and /or transcriptomic analysis by RNA sequencing (RNAseq). There

were no adverse events. The carriage status of each volunteer was blinded until sample analysis

was completed.

Ethical approval was given by NHS Research and Ethics Committee (REC)/Liverpool School of

Tropical Medicine (LSTM) REC, reference numbers: 15/NW/0146 and 14/NW/1460 and Human

Tissue Authority licensing number 12548.

**Human Respiratory Tract Epithelial Cell Lines**

Human pharyngeal carcinoma Detroit 562 epithelial cells (ATCC_CCL-138) and human bronchial

carcinoma Calu3 epithelial cells (ATCC_HTB-55) were grown in 10% FCS in alpha MEM media

(Gibco). Human alveolar epithelial carcinoma A549 epithelial cells (ATCC_CCL-185) were grown in

10% FCS with 1% L-glutamine in Hams/F-12 media (Gibco).

**Pneumococcal-epithelial cell co-culture**

*Association and Invasion assays* - confluent Detroit 562 (typically day 8 post plating), Calu3 (typically

day 10 post plating) and A549 (typically day 4 post plating) monolayers cultured on 12 well plates

(Corning), were exposed to *S. pneumoniae* for three hours in 1% FCS alpha MEM (~MOI

approximately 1 cell : 10 pneumococci). The medium was removed, and cells washed three times in

HBSS$^{+/+}$. Cells were incubated in 1% saponin for 10 minutes at 37$^\circ$C and lysed by repetitive pipetting.

Dilutions of bacteria were plated on blood agar and colonies counted after 16 hours. To quantify

internalised bacteria, 100µg/ml gentamicin was added for 1 hour to the cells, which were then

washed another three times, before incubating with 1% Saponin and plating on blood agar plates.

CFUs were counted after 16 hours incubation at 37$^\circ$C, 5% $CO_2$. There were no differences in

pneumococcal pre- or post-inoculum, or growth density between the strains, in the cell supernatant

three hours post-infection.

*Transmigration assay* - Detroit 562 cells were cultured on 3μm pore, PET Transwell Inserts

(ThermoFisher) typically for 10 days to achieve confluent, polarised monolayers. Calu3 cells were

plated onto Transwell inserts typically for 12 days and A549 cells typically for 6 days. Cell culture

media was changed 1 hour prior to addition of bacteria to 1% FCS (250μl apical chamber, 1ml basal

chamber). Resistance was recorded before and after *S. pneumoniae* were added using an EVOM2

(World Precision Instruments). 1mg/ml FITC-dextran (Sigma Aldrich) was added to the apical

chamber of selected inserts to assess permeability. Approximately 12 million bacteria were added

to the cells (~MOI 1 cell : 25 bacteria). During the time course, 50μl was removed, diluted and plated,

from the basal chamber to measure bacterial load by counting CFU/well. Permeability was recorded

using a FLUOstar Omega (BMG Labtech) at 488nm.

*Endocytosis inhibition assays* - Detroit 562 cells cultured on 12 well plates were treated with 100μM

dynasore (Cambridge Biosciences) and 7.5μg/ml nystatin (Sigma Aldrich) to block endocytosis for

30 minutes prior to, and for the duration of pneumococcal infection incubation period. DMSO was

used as a control. Cells were washed and treated with gentamicin and lysed with saponin as

described above.

**Confocal Microscopy**

For the *in vivo* analysis, mucosal cells derived by curettage from the EHPC model were placed

directly into 4% PFA for 1 hour. Cells were cytospun onto microscope slides and allowed to air dry.

For the *in vitro* analysis, epithelial cell lines on transwell membranes were fixed in either 4% PFA

(Pierce, Methanol Free) or 1:1 mix of methanol:acetone for 20 minutes. Cells were permeabilised

with 0.2% Triton X-100 for 10 minutes and blocked for 1 hour in blocking buffer (3% goat serum and

3% BSA in PBS) before incubation with anti-6B pneumococcal antisera, JAM-A, Claudin-4 or β-

catenin primary antibodies (see Supplementary Information) for one hour and then secondary and/or

conjugated antibodies for 45 minutes. DAPI solution was added for 5 minutes. After washing, the

stained samples were mounted using Aqua PolyMount (VWR International) with a coverslip onto a

microslide. The entire cytospin for each sample was manually viewed by microscopy for detection of

pneumococci. Multiple fields of view (>3) were imaged for each transwell insert, for each condition.

Images were captured using either an inverted LSM 700, LSM 880, or TissueFAXS Zeiss Confocal

Microscope. Z stacks were recorded at 1µm intervals at either 40x oil or 63x oil objectives. For the

*in vivo* samples, the operator (CMW) was blinded to the colonisation status of the volunteer at the

time of sampling.

**Flow cytometry**

For the *in vivo* analysis, cells from two curette samples were incubated in cold PBS++ (PBS

supplemented with 5mM EDTA and 0.5% FCS) were dislodged by pipetting and centrifuged at 440g

for 5 mins at 4°C. Supernatant was removed, and cells resuspended in 25µl of PBS++ with

Live/Dead™ Fixable Violet Dead Cell Stain (ThermoFisher). After 15 minutes incubation on ice, an

antibody cocktail to stain for epithelial surface marker expression (see Supplementary Information)

was added and incubated for another 15 minutes. Samples were vortexed, resuspended in 3.5mls

of PBS++ and filtered over a pre-wetted 70µm filter. Samples were transferred to a 5ml FACS tube,

centrifuged and resuspended in 200µl Cell Fix (BD Biosciences) and acquired on LSRII Flow

Cytometer (BD Biosciences). Compensation was run and applied for each experimental replicate

and voltages consistent throughout. Isotype controls (Biolegend) and FL-1 controls were also run for

each antibody. Analyses of data was performed using FlowJo LLC version 10 software. Data was

performed on the gated epithelial cell population and only samples containing 500 or more cells are

reported.

For the *in vitro* analysis, confluent monolayers of Detroit 562 cells on 6 well plates were incubated

with *S. pneumoniae* for 6 hours in 1% FCS phenol free alpha MEM (base media, Life Technologies).

Cells were washed three times in PBS and gently lifted from the plate using a cell scraper in 300µl

of base media supplemented with 1mM EDTA. Samples were transferred to 5ml FACS tubes and

placed on ice for the duration of the protocol. Each cell sample was incubated with an antibody

cocktail for epithelial surface marker expression (see Supplemental Information) for 30 minutes

before rinsing in 1ml base media and centrifuging at 300g for 5 minutes at 4°C. Cells were fixed in

600µl of 4% PFA and acquired on a LSR II Flow Cytometer (BD Biosciences). Compensation was

run and applied for each experimental replicate and voltages consistent throughout. Isotype controls

(BD Biosciences), FL-1 and single stains were also run for each experiment. Samples were acquired

until 300,000 events had been collected. Analyses were performed using FlowJo LLC version 10

software.

**ELISAs**

Supernatant from Detroit 562 cells that had been incubated with *S. pneumoniae* for 6 hours, was

collected for cytokine analysis. IL-1β, IL-6, IL-8, IFNγ, TNFα, ICAM-1 DuoSet® ELISA kits were

purchased from R&D Systems and protocol followed according to manufacturers' instructions.

**RNA samples and sequencing (RNASeq)**

Mucosal curettage samples and epithelial cell cultures (incubated with or without *S. pneumoniae* for

3 hours) were collected in RNALater (ThermoFisher) and stored at -80°C. RNA Extraction was

performed using the RNEasy micro kit (Qiagen) and genomic DNA was removed with on column

DNA digestion or with the Turbo DNA-free Kit (Qiagen). Extracted RNA quality was assessed and

quantified using a BioAnalyser (Agilent 2100). Library preparation and RNA-sequencing (Illumina

Hiseq4000, 20M reads, 100 paired-end reads) were performed at the Beijing Genome Institute

(China) or the Sanger Institute (UK) for mucosal curettage samples. For the Detroit 562 samples,

library preparation was performed using the Kappa Hyperprep kit (Roche Diagnostics) and

sequencing was performed by the Pathogens Genomic Unit (UCL) on the Illumina Nextseq using

the Nextseq 500/550 High Output 75 cycle kit (Illumina) according to manufacturers' instructions,

giving 15-20 million 41bp paired end reads per sample.

All data processing and analysis was conducted in R, language and environment for statistical

computing (https://www.R-project.org). Paired end reads were mapped to the Ensembl human

transcriptome reference sequence (homo sapiens GRCh38). Mapping and generation of read counts

per transcript were performed using Kallisto[56], based on pseudoalignment. R/Bioconductor package

Tximport was used to import the mapped counts data and summarise the transcripts-level data into

gene level data[57]. DESeq2 and SARTools packages[58], were used for differential gene expression

analysis, using a false discovery rate (FDR) <0.05, following normalisation with a negative binomial

generalised linear model. In addition, transcript abundance for protein coding genes was expressed

as $\log_2$-transformed transcripts per million (TPM) by normalising the read counts to gene length and

then read depth. Transcriptomes from nasal samples ranged from 16 to 66 million reads per sample

and in principle component analysis, revealed a batch effect that was corrected by the Combat

function in the Surrogate Variable Analysis (SVA) R/Bioconductor package (Supplementary

Figure)[59].

Identification of interacting networks and pathway enrichment analysis was performed using XGR R

package[60]. Interacting genes (supported by at least one experimental source of evidence) were

identified from the Pathway Commons database for directed interactions (Supplementary File).

These were then subjected to Reactome pathway enrichment analysis with FDR<0.05

(Supplementary File). K-means clustering of Jaccard indices to quantify similarity between the

composition of genes mapping to each pathway was used to identify 20 groups of pathways, from

which the pathway consisting of the largest total number of genes was selected to provide a

representative annotation for each group. The expression of gene modules in the nasal

transcriptomes was represented by the mean $\log_2$ TPM value of the genes in each module.

**Code Availability**

Codes used to process the RNAseq data can be found at https://github.com/cristina86cristina.

**Statistics**

All experiments were conducted with replicates in three or more independent experiments unless stated otherwise. Error bars represent SEM unless stated otherwise. GraphPad Prism Version 10 was used to perform two-tailed parametric (t-tests or ANOVA) or non-parametric (Mann-Whitney or Kruskal-Wallis tests) analysis, which was based on the Shapiro-Wilk normality test. P values less than 0.05 were considered significant and are derived from non-parametric statistical tests unless stated otherwise.

**FIGURE LEGENDS**

**Table 1. *Streptococcus pneumoniae* association with the nasal epithelium in the EHPC model detected by culture, confocal microscopy and LytA PCR**

Nasal washes and nasal curette biopsies were collected from carriage positive and carriage negative volunteers over time. Standard methods for measuring bacterial density by culture (CFU) and LytA PCR were compared against counts visualised by confocal microscopy for pneumococcal association with nasal cells over time. The data was derived from 13 volunteers. + (1-10 pneumococci); ++ (11-50 pneumococci); +++ (51-100 pneumococci); ++++ (>100 pneumococci); n/a = reading not taken.

**Figure 1. *Streptococcus pneumoniae* colonisation of the human nasal epithelium from the EHPC model is associated with adhesion, microcolony formation and micro-invasion in response to *S. pneumoniae* 6B colonisation**

(a) Representative fields from the EHPC model nasal curette biopsies show intact epithelium can be obtained from the samples (as visualised by XY planes) and they retain their size and shape (as visualised by XZ planes). Cells were stained with Wheat Germ Agglutinin (WGA) or Junctional

Adhesion Molecule -A (JAM-A, red) and nuclei. (b) The pattern of pneumococcal density detected

by culture and microscopy. (c) The proportion of bacteria located on the cell surface, intracellularly,

or paracellularly visualised by confocal microscopy, quantified from 8 volunteers collected over time

from microscopy counts. (d) Cells were stained for surface carbohydrates using WGA (red), and the

bacteria were marked with specific serotype antiserum (green). XY images of 1µm slices through a

layer of cells, with bacteria associated. (e) Examples of cells showing; (ei) Microcolony formation on

the surface of the epithelium, (eii) bacterial internalization, (eiii) migration through epithelial uptake

internally or between cells. (f) Co-association between *S. pneumoniae* (green) and JAM-A (red).

Nuclei (blue). Bacterial uptake appeared co-associated with JAM-A (yellow).

**Figure 2. Epithelial surface marker expression is not altered in response *to S.***

***pneumoniae* 6B colonisation *in vivo***

Epithelial cells from nasal curette biopsies were analysed by flow cytometry for (a) CD54 and (b)

CD107a. Results were expressed as median fluorescence intensity (left) and high cell surface

expression (≥95% of the baseline expression) representing at least two volunteers per time point

who were carriage negative (black) and carriage positive (grey).

**Figure 3. *Streptococcus pneumoniae* infection of nasopharyngeal epithelium *in vitro* is**

**associated with adhesion, microcolony formation, micro-invasion, transmigration and is**

**partially influenced by pneumolysin.**

(a) Pneumococcal association and (b) internalisation: Detroit 562 cell monolayers were stimulated

with pneumococci for 1 or 3 hours and the quantity of associated bacteria was determined by culture

(CFU); n>3. (****P = <0.0001: (a) 1hr (dashed lines, ANOVA); 3hr (solid lines, Kruskall-Wallis); (b)

Kruskall-Wallis). (c) Pneumococcal transmigration: Cells on transwell inserts were stimulated with

pneumococci for 3 hours and bacterial density in the basal chamber was determined (**P = 0.0092,

Kruskall-Wallis). N = 5. (di) Representative pneumococcal-density (green) images of cells (blue

nuclei). Scale bar = 20µm. n > 3. (e - h) Representative images of pneumococcal localization (green)

from cells (red, JAM-A), illustrating: (e) differences in adherence by 6B and TIGR4; (f) internalised

bacteria co-localised with JAM-A with associated intracellular vesicle-like bodies (yellow); (g) lateral

localisation of pneumococci (XY images) with possible paracellular movement co-associated with

JAM-A (XZ images); (h) basal localisation of bacteria at the level of nuclei and insert pores. N = >20.

**Figure 4. Transmigration of *S. pneumoniae* is endocytosis-dependent but does not disrupt**

**barrier integrity or function**

(a and b) Detroit 562 cells were treated with dynasore and nystatin for 30 minutes prior to and during

incubation with 23F, for 1 hour. (a) Intracellular bacteria were quantified using a gentamicin

protection assay and CFUs counted (****P = <0.0001, Mann-Whitney). (b) Transmigrated bacteria

after one hour were counted by CFUs (*P = 0.013 Mann-Whitney). N = 4. (c and d) Cells were co-

infected with pneumococci for three hours on transwell inserts and barrier function was measured.

(c) TEER was compared before and after exposure to pneumococci. N = 9. Calcium withdrawal was

used as a positive control (***P = 0.0013, unpaired T-test, n = 3). (d) Permeability was assessed by

leak to 4kDa FITC-dextran, collected from basal chamber. N = >4. ****P = <0.0001 comparing non-

infected against pneumococci (Kruskall-Wallis). Blank inserts were used as a positive control (Mann-

Whitney).

**Figure 5. Epithelial CD107a and CD54 surface expression and secretion of IL-6, IL-8 and CD54**

**are upregulated after *S. pneumoniae* exposure *in vitro***

(a and b) Detroit 562 cells were stimulated with *S. pneumoniae* for 6 hours and the median

fluorescence intensity and high-expressing cells for (a) CD54 and (b) CD107a were analysed by flow

cytometry. n = >3 independent experiments (**** P < 0.0001 CD107a MFI, compared to non-infected

cells, ANOVA. *** P = 0.0009 for MFI CD107a, TIGR4 v dPly, unpaired T-test. *** P < 0.001 CD107a

high expression, compared to non-infected cells, ANOVA *P = 0.028 for high expression CD107a,

TIGR4 vs. dPly, Mann-Whitney). (* P = 0.048 NI v TIGR4; * P = 0.0367 NI v dPly for CD54, ANOVA).

(c) IL-6, IL-8 and CD54 in the supernatants from Detroit 562 cells stimulated with *S. pneumoniae* for

6 hours, were measured by ELISA. N = 6 independent experiments with replicates. (**** P <0.0001

IL-6; *** P = 0.0013 CD54; **** P < 0.0001 IL-8 (Kruskall-Wallis test)).

**Figure 6. The epithelial transcriptomic response to *Streptococcus pneumoniae in vitro* is**

**influenced by epithelial adhesion and micro-invasion**

(a) The total number of Detroit 562 epithelial genes upregulated following exposure to 6B, 23F,

TIGR4 and TIGR4-dPly pneumococci, compared to non-infected samples. N = 3 independent

experiments with replicates. Genes with an FDR <0.05 were considered for further analysis. The

matrix shows intersections for the four strains, sorted by size. Dark circles in the matrix indicates

sets that are part of the intersection (d) Bubble heat map showing the results of transcriptional factor

analysis in Opossum for each strain. Transcriptional factors are ordered by family and then sorted

by number of genes in the database. The colour represents the log2 z-scores (a continuum from

blue to red as before) and the size shows the number of genes annotated to the particular pathway.

(c) Bubble heat map showing the results of Reactome Pathway Analysis for upregulated genes in

each strain compared to non-infected cells. Pathways were clustered in 20 groups using K-means

on Jaccard index and the biggest pathway for each group was selected for representative annotation

of each cluster. Individual pathways within clusters are shown in Supplementary Figure 8. The colour

represents the log2 z-scores (a continuum from blue (lowest values) and red (highest values) and

the size shows the number of genes annotated to each pathway.  (d) Selected bubble heat map

clusters representing the individual pathways within each cluster from (c).

**Figure 7. Epithelial-derived transcriptomic responses to *S. pneumoniae* in the EHPC model**

**correlate with bacterial clearance**

(a) Network representation generated from the *in vitro* analyses for each strain. From the genes

present in the networks, an integrated gene list (200 genes) and a core genes list (16 genes) were

generated and tested as modules in the *in vivo* data. (b and c) Upregulated genes in comparison to

the transcriptomes of carriage negative and carriage positive volunteers were compared between

time points. Plots represent log2 TPM arithmetic mean for genes in the core (b) and integrated (c)

modules. P = <0.05, (one tail Mann-Whitney test). Number of samples for carriage negative and

positive, respectively: pre (17:14), day 2 (15:14), day 9 (7:7).

**Figure 8. Model of the control of pneumococcal colonisation by the human mucosal**

**epithelium.**

Following pneumococcal adhesion and microcolony formation on the epithelial surface, the

host response is dependent on the subsequent pattern of interaction. Micro-invasion

(endocytosis and paracellular transmigration) amplifies epithelial sensing and inflammation/

innate immunity, which we postulate leads to immune cell engagement. This process of

epithelial sensing inflammation/ innate immunity may enhance both transmission and

clearance. Co-association with junctional proteins may facilitate migration across the barrier.

# Table 1

| ID | Pneumococcal density | Pre | D2 | D6 | D9 | D27 | Surface | Intracellular | Lateral |
|----|----------------------|-----|----|----|----|-----|---------|---------------|---------|
| 1 | Culture (CFU/ml) | 0 | 373 | 520 | 10 | 2 | | | |
| | Microscopy (counts) | 0 | + | + | 0 | + | + | 0 | 0 |
| | LytA PCR | NEG | POS | POS | n/a | POS | | | |
| 2 | Culture (CFU/ml) | 0 | 0 | 0 | 0 | 0 | | | |
| | Microscopy (counts) | + | + | 0 | 0 | 0 | ++ | + | 0 |
| | LytA PCR | NEG | NEG | NEG | n/a | NEG | | | |
| 3 | Culture (CFU/ml) | 0 | 0 | 0 | 0 | 0 | | | |
| | Microscopy (counts) | 0 | + | 0 | 0 | 0 | + | 0 | 0 |
| | LytA PCR | NEG | POS | NEG | n/a | NEG | | | |
| 4 | Culture (CFU/ml) | 0 | 3 | 9 | 0 | 0 | | | |
| | Microscopy (counts) | 0 | 0 | 0 | + | 0 | + | 0 | 0 |
| | LytA PCR | NEG | POS | POS | n/a | NEG | | | |
| 5 | Culture (CFU/ml) | 0 | $7 \times 10^3$ | 223 | 22 | 0 | | | |
| | Microscopy (counts) | 0 | + | + | + | 0 | + | + | 0 |
| | LytA PCR | n/a | n/a | n/a | n/a | n/a | | | |
| 6 | Culture (CFU/ml) | 0 | $1.9 \times 10^4$ | $5.7 \times 10^3$ | $3.7 \times 10^4$ | 11 | | | |
| | Microscopy (counts) | 0 | ++ | ++++ | ++ | 0 | +++ | ++ | + |
| | LytA PCR | NEG | POS | POS | n/a | POS | | | |
| 7 | Culture (CFU/ml) | 0 | 822 | $1.1 \times 10^3$ | 160 | 0 | | | |
| | Microscopy (counts) | 0 | + | +++ | ++ | 0 | ++ | + | + |
| | LytA PCR | NEG | POS | POS | n/a | NEG | | | |
| 8 | Culture (CFU/ml) | 0 | 0 | 0 | 0 | 0 | | | |
| | Microscopy (counts) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | LytA PCR | n/a | n/a | n/a | n/a | n/a | | | |
| 9 | Culture (CFU/ml) | 0 | 221 | 695 | 4 | <1 | | | |
| | Microscopy (counts) | n/a | + | +++ | + | n/a | +++ | + | + |
| | LytA PCR | NEG | POS | POS | n/a | NEG | | | |
| 10 | Culture (CFU/ml) | 0 | $1 \times 10^3$ | 0 | 0 | 0 | | | |
| | Microscopy (counts) | n/a | 0 | + | 0 | n/a | + | 0 | 0 |
| | LytA PCR | NEG | POS | POS | n/a | POS | | | |
| 11 | Culture (CFU/ml) | 0 | $1.8 \times 10^6$ | $1.8 \times 10^6$ | $1.9 \times 10^4$ | <1 | | | |
| | Microscopy (counts) | n/a | ++++ | ++++ | + | n/a | +++ | + | + |
| | LytA PCR | NEG | POS | POS | n/a | NEG | | | |
| 12 | Culture (CFU/ml) | 0 | 0 | 0 | 0 | 0 | | | |
| | Microscopy (counts) | NR | ++ | 0 | 0 | n/a | ++ | + | + |
| | LytA PCR | NEG | NEG | NEG | n/a | NEG | | | |
| 13 | Culture (CFU/ml) | 0 | 23 | 2 | 0 | 0 | | | |
| | Microscopy (counts) | n/a | + | 0 | 0 | n/a | + | 0 | 0 |
| | LytA PCR | POS | POS | POS | n/a | POS | | | |

*Note: "Sample day" spans columns Pre, D2, D6, D9, D27. "Pneumococcal association" spans columns Surface, Intracellular, Lateral.*

## Figure 1

# Figure 2

carriage negative ☐   carriage positive ☐

# Figure 3

# Figure 4

**a**

**b**

**c**

**d**

# Figure 5

# Figure 6

**a**

**b**

**c**

**d**

# Figure 7

**a**

**b**

**c**

**Figure 8**