1 Distinct gut metagenomics and metaproteomics signatures in

2 prediabetics and treatment-naïve type 2 diabetics

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28 Abstract (254 words)

29 Background

The gut microbiota plays important roles in modulating host metabolism. Previous studies have demonstrated differences in the gut microbiome of T2D and prediabetic individuals compared to healthy individuals, with distinct disease-related microbial profiles being reported in groups of different age and ethnicity. However, confounding factors such as anti-diabetic medication hamper identification of the gut microbial changes in disease development.

36 Method

We used a combination of in-depth metagenomics and metaproteomics analyses of faecal samples from treatment-naïve type 2 diabetic (TN-T2D, n=77), pre-diabetic (Pre-DM, n=80), and normal glucose tolerant (NGT, n=97) individuals to investigate compositional and functional changes of the gut microbiota and the faecal content of microbial and host proteins in Pre-DM and treatment-naïve T2D individuals to elucidate possible host-microbial interplays characterising different disease stages.

43 **Findings**

We observed distinct differences characterizing the gut microbiota of these three groups and validated several key features in an independent TN-T2D cohort. We also demonstrated that the content of several human antimicrobial peptides and pancreatic enzymes differed in faecal samples between three groups, such as reduced faecal level of antimicrobial peptides and pancreatic enzymes in TN-T2D.

49 **Interpretation**

50 Our findings suggest a complex, disease stage-dependent interplay between the gut 51 microbiota and the host and emphasize the value of metaproteomics to gain further 52 insight into interplays between the gut microbiota and the host.

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54 Funding

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58 Keywords

- 59 Metagenomics, metaproteomics, prediabetes, treatment-naïve type 2 diabetes
- 60

61 **Introduction (6,070 words for the main text)**

62 Type 2 diabetes mellitus (T2D) is a chronic heterogeneous disorder associated 63 with hyperglycaemia and low grade inflammation [1,2]. The prevalence has increased 64 dramatically in Westernized countries, and also in China, where 11.6% and 36% of 65 Chinese adults suffer from diabetes and prediabetes (Pre-DM), respectively [3]. Due 66 to complications and comorbidities related to the development of T2D, 67 comprehensive characterization of phenotypic, metabolic and molecular changes of 68 the host and the gut microbiota in pre-DM and T2D compared to NGT is needed to 69 enable early identification of prediabetic individuals at high risk of T2D development. 70 Cross-sectional metagenomic studies have linked alterations in the gut microbiome to 71 T2D and prediabetes [4–7]. However, a few recent intervention studies have reported 72 profound impact of antidiabetic drugs on the human gut microbiome, such as 73 metformin, acarbose and glucagon-like peptide-1 (GLP-1) based therapies [8–13], 74 emphasizing the importance of controlling for medication in studies on association 75 between the microbiota and T2D. Moreover, distinct disease-related microbial profiles have been reported in different age and ethnic groups [4–7], making it difficult to 76 77 identify the microbes possibly involved in disease development. Thus, detailed 78 information on the gut microbial species associated with T2D onset and progression is 79 still limited. Whereas information from metagenomics is limited to identification of 80 the presence of genes, taxa, and their inferred functional capacity, introduction of 81 additional omics approaches including metabolomics, metatranscriptomics, and 82 metaproteomics have increased our knowledge of microbial activity in health and 83 disease [14–17]. For instance, recent metatranscriptomics studies on inflammatory 84 bowel disease and cirrhosis cohorts have revealed considerable discrepancies between 85 data obtained from metagenomics vs metatranscriptomics analyses [17,18]. As 86 metaproteomics enables identification of microbial and human proteins 87 simultaneously in faecal samples [14,19,20], such an approach offers a potential for 88 deciphering both active microbial functions and host-microbiota interactions.

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90 In the present study, we examined 254 stool samples collected from a Chinese cohort 91 combining shotgun metagenomics and metaproteomics analyses. We characterized 92 substantial differences between NGT, Pre-DM and TN-T2D individuals. Of note, 93 consistent aberrations in Pre-DM and TN-T2D individuals included lower abundances 94 of *Clostridiales* species and higher abundances of *Megasphaera elsdenii* compared to 95 NGT individuals. Several robust microbial compositional changes were detected at both the DNA and protein levels, such as an enrichment of E. coli in Pre-DM 96 97 individuals and an increased abundance of Bacteroides spp. in TN-T2D patients. 98 Several Pre-DM-specific features were furthermore uncovered, including a reduced 99 capacity for processes involved in energy metabolism and bacterial growth, and an 100 enrichment of *Prevotella* proteins as detected by metaproteomics. Thus, our findings 101 revealed distinct characteristics of the intestinal ecosystem in the Pre-DM stage. Of 102 note, proteomics analyses of the faecal samples revealed that the levels of a number of 103 human proteins including several antimicrobial peptides (AMPs) differed in faecal 104 samples from NGT, Pre-DM, and TN-T2D individuals, suggesting that specific 105 differences in the host response amongst groups might also influence the composition 106 of the gut microbiota, or vice versa. In conclusion, our study provides a basis for 107 further analyses integrating faecal metagenomics and metaproteomics which may lead 108 to a better understanding of mechanisms underlying the development of Pre-DM and 109 T2D.

110

111 Materials and Methods

112 Suzhou T2D study population

The study population recruited from community residents from Suzhou, comprised 97 Chinese adults with normal glucose tolerance (NGT), 80 prediabetes patients (Pre-DM) and 77 newly diagnosed, treatment naïve type 2 diabetes patients (TN-T2D). All TN-T2D patients and Pre-DM individuals were screened and newly diagnosed according to the 2011 WHO criteria via well-trained staffs from the Suzhou Centre for Disease Prevention and Control (CDC), as described in detail in a recent published 119 lipidomic study based on this cohort [21]. All enrolled 254 individuals have reported 120 with no anti-diabetic treatments; thus, none have had taken insulin, or any oral or 121 injectable anti-diabetic medication before. Stool samples for metagenomics were 122 self-collected in 2ml faecal containers and immediately stored at -80°C and 123 transported to the laboratory on dry ice. DNA was extracted as previously described 124 [4]. A summary of sample information is presented in **Table S1.** In addition, shotgun 125 metagenomic datasets of stools from 94 anti-diabetic medication TN-T2D patients 126 from Shanghai [9], a city near to Suzhou, were used for validation purpose.

127

128 Method for Metagenomics

129 1. Generation of BGISEQ-500 based faecal metagenome data set

In this study, we performed DNA library construction and the combinatorial probe-anchor synthesis (cPAS)-based BGISEQ-500 sequencing for metagenomics (single-end; read length of 100bp) and applied the same quality control workflow to filter the low-quality reads in accordance with the recently published metagenomic study using this new platform [22]. The remaining high-quality reads were then aligned to hg19 to remove human reads [23]. Metagenomic data statistics is provided in **Table S2**.

137

138 2. Profiling of metagenomic samples and biodiversity analysis

139 High-quality non-human reads were aligned to the 9.9M integrated gene catalogue 140 (IGC) by SOAP2 using the criterion of identity $\geq 90\%$ [23]. Sequence-based gene 141 abundance profiling was performed as previously described. The relative abundances 142 of phyla, genera, species and KOs were calculated by the sum of the relative 143 abundance of their annotated genes. The alpha diversity (within-sample diversity) was 144 quantified by the Shannon index using the relative abundance profiles at gene, genus 145 and KO levels as described [23]. The beta diversity (between-sample diversity) was 146 calculated using Bray-Curtis dissimilarity (R version 3.3.2, vegan package 2.4-4).

147

148 **3.** Metagenome-wide association analysis (MWAS)

149 MWAS was performed on the Suzhou T2D cohort as previously described [4]. Using 150 non-parametric Kruskal-Wallis test (R version 3.3.2 stats package), we identified 151 266,015 genes showing significant different abundances between the NGT, Pre-DM 152 and TN-T2D groups (P < 0.05). After clustering, a total of 126 MLGs (≥ 100 genes) 153 were generated from these genes. The relative abundance of each MLG was summed 154 using the relative abundance values of all genes from this MLG. The taxonomic 155 annotation of each MLG was determined if more than 50% of genes in this MLG 156 could be assigned to a certain taxon according to their IGC annotation. The genes of 157 85 unclassified MLGs were further annotated using a reference sequence database 158 including 1520 high-quality genomes cultivated from healthy Chinese individuals 159 [24], resulted in the taxonomic annotations of 11 additional MLGs (See detailed 160 information in Table S5).

161

162 Method for Metaproteomics

163 **1. Sample preparation and LC-MS/MS analysis**

164 Faecal samples from 84 individuals from NGT, Pre-DM, and TN-T2D individuals 165 were used for metaproteome analysis using isobaric tags for relative and absolute 166 quantitation (iTRAQ)-coupled-liquid chromatography tandem mass spectrometry 167 (LC-MS/MS) (Figure S1). Each group consisted of 28 randomly selected individual 168 samples with matched age, sex and BMI by propensity score matching (R version 169 3.3.2, MatchIt package 2.4-21) [25] (Table S3). Faecal samples were processed using 170 the filter-aided sample preparation (FASP) protocol [26]. Briefly, 100mg frozen faeces 171 from each individual were suspended in 500µl lysis buffer (4% SDS, 100mM 172 dithiothreitol, 100mM Tris-HCL (pH=7.8) with freshly added protease inhibitors 173 (cOmpleteTM, EDTA-free Protease Inhibitor Cocktail, Roche Applied Science). The 174 samples were incubated for 5 min at 100 °C, followed by sonication to decrease the 175 viscosity. The protein supernatants were collected after centrifugation at 30,000g at 176 4 °C for 30 min and then quantified using a 2D-quant kit (Sigma). For each diagnostic

177 group, protein extracts in equal amounts from four individuals were pooled, and the 178 selected 28 samples were thus aliquoted into 7 mixtures. A reference sample was 179 created by pooling equal amounts of protein from each of 84 individual sample and 28 180 samples from self-reported T2D patients. Each mixture containing 100µg proteins 181 was loaded onto a 10 kDa cut-off spin column (Vivacon 500, Sartorius AG, 182 Goettingen, Germany). The lysate was adjusted to 8M urea by centrifuging to remove 183 SDS and low-molecular-weight material. After reduction by dithiothreitol (DTT) and 184 alkylation by iodoacetamide (IAM), 8M urea was added and centrifuged to remove 185 any remaining reagent such as IAM. The urea buffer was then replaced with 0.5M 186 triethylammonium bicarbonate (TEAB) and the sample was washed with 0.5M TEAB 187 5 times. Trypsin (Promega, Madison, WI, USA) was added to digest the protein at a 188 protein: trypsin ratio of 50:1 and the mixtures were incubated for 18 hours at 37 °C. 189 The resulting peptides were eluted twice with 100µl 0.5M TEAB by centrifuging at 190 12,000 g for 30 min and vacuum-dried. The peptide mixture samples were then 191 dissolved in 0.5M TEAB and labelled with 8-plex iTRAQ reagents according to the 192 manufacturer's protocol (AB Sciex, USA). For each diagnostic group, 7 mixtures 193 were labelled with tags from I113 to I119. To perform the iTRAQ quantitation 194 throughout the whole experiment, we labelled the reference sample by tag 121 in each 195 iTRAQ run. Thus, three independent 8-plex iTRAQ runs were conducted. 196 Subsequently, labelled peptides were separated on a LC-20AB HPLC system 197 (Shimadzu, Kyoto, Japan) with an Ultremex SCX column (Phenomenon, Torrance, 198 CA) and collected into 20 fractions. Each fraction was analysed via a NanoLC system 199 coupled with a Q Exactive mass spectrometry (Thermo Fisher Scientific, San Jose, 200 CA) as described previously [27].

201

202 **2.** Database searching and protein identification

For protein database searching, we used Mascot (Version 2.3) [28] as the search engine with the following parameters: trypsin was used as default enzyme and up to two missed cleavages were allowed. Carbamidomethyl (C), iTRAQ8plex (N-term)

and iTRAQ8plex (K) were chosen as fixed modifications, and Oxidation (M) was
chosen as variable modification. The peptide mass tolerance was set to 10 ppm and
the fragment mass tolerance to 0.03 Da.

209 A two-step search method was applied. The MS/MS spectra were first searched 210 against a collection of three protein sequence databases, including Homo sapiens 211 sequences retrieved from SwissProt (release 2014_11), and human gut microbial 212 protein sequences of IGC genes mapped by sequencing reads from our 254 213 metagenomic samples. The detailed search parameters are presented in Table S4. The 214 Mascot search yielded a set of scored peptide-spectrum matches (PSMs) and the 215 proteins were inferred from the PSMs. Subsequently, a target-decoy protein database 216 was created containing the above-mentioned proteins and the reversed sequences from 217 these proteins. A second round search based on the target-decoy database was 218 performed to control for false positives as described elsewhere [29]. The PSMs were 219 re-scored by Mascot Percolator [30] integrated into IQuant [31], and filtered at false 220 discovery rate (FDR) ≤ 0.01 . To improve the confidence in identification, peptides 221 supported by ≥ 2 spectra were retained and protein identifications were thus inferred. 222

223 **3.** Meta-protein Generation

224 Due to the shared similarity of metagenomic protein reference sequences, a microbial 225 peptide hit is typically returned from several proteins within and between species. To 226 avoid inflating numbers and alleviate taxonomic ambiguities of identified microbial 227 proteins, several processes were performed to reduce data redundancy. We first 228 grouped the microbial proteins with at least one shared peptide to generate protein 229 clusters (Figure S2). Each cluster was then processed according to the maximum 230 parsimony principle. The minimum protein sets containing all peptides of each cluster 231 were selected and defined as the meta-protein representing the cluster (Figure S2). 232 Individual proteins which only contained unique peptides were also assigned as a 233 meta-protein. All redundant non-meta-protein sequences were thus omitted in 234 subsequent analyses.

235

236 4. Protein Quantification

237 Protein quantification was performed by IQuant [31] in the following three steps.

238 We first normalized the intensities of iTRAQ reporter ions for all spectra across the

eight iTRAQ-labelled samples (I113...I119, I121) using the formula (1) as follows:

240

241
$$\overline{s_{l-k}} = \frac{S_{l-k}}{median(S_{1-k}:S_{n-k})}$$
, where k=I113...I119, I121 (1)

242

243 Where $\overline{s_{i-k}}$ is the normalized relative intensity of spectrum *i* in the label *k*. 244

245 The reporter ion ratios were then determined using the formula (2):

246
$$\overline{r_{l-k}} = \frac{\overline{s_{l-k}}}{\overline{s_{l-121}}}$$
, where k = *l*113 ... *l*119 (2)

247 Where $\overline{r_{i-k}}$ is the ratio of relative intensity of spectrum *i* in the label *k*, with S_{i-121} , 248 the relative intensity of the global QC labelled with 121 tags, as denominators. 249

For protein quantification, only unique peptides were taken into consideration. The relative protein ratio was calculated using the mean relative intensity ratio of all unique peptide spectra in each protein using the formula (3):

253
$$\overline{p_k} = mean(\overline{r_{1-k}}; \overline{r_{p-k}}), \text{ where } k = I113 \dots I119$$
(3)

254 Where $\overline{p_k}$ is the protein ratio in label K and acts as an indication of the relative 255 proportions of that protein between the differently labelled samples.

256

257 **5.** Protein annotation

For microbial meta-proteins, taxonomic and functional annotations of identified proteins were derived from the putative protein-coding IGC genes. As a result, we linked 64.15% (8777 of 11,980) of the meta-proteins with annotation at the phylum or lower taxonomical levels and 80.27% (10983 of 11,980) with KEGG Ontology (KO) annotation. For human proteins, functional annotations were obtained from
UniProtKB/Swiss-Prot (release 2014_11).

264

265 Statistical analyses of metagenomes and metaproteomes

266 MLG-based random forest classification

Relative abundance data of all MLGs were subjected to random forest (RF) analysis to perform five-fold cross validation (R 3.3.2, caret package 6.0-77) [32]. The combinations of optimal MLGs markers maximising the discrimination accuracy between each two groups were thus determined by RF using an embedded feature selection strategy as previously reported [33]. The importance values of model-selected MLGs were calculated using "mean decrease in accuracy" strategy.

273

274 Spearman's rank coefficient correlation

275 Spearman's rank coefficient correlation (SCC) analysis was used for correlations 276 between MLG profiles and phenotypic factors, and between number of meta-proteins 277 and metagenomic abundances at the genus level, and between the levels of proteins. 278 The significance cut-off for SCC was set at an FDR adjusted P < 0.05.

279

280 Enrichment analysis of KEGG modules

281 Differentially enriched KEGG modules were identified according to reporter Z-scores 282 [34]. Z-score for each KO was first calculated from Benjamín-Hochberg (BH)-adjusted P values 283 from Wilcoxon rank-sum tests of comparisons between each two groups. The aggregated Z-score 284 for each module was calculated using Z-scores of all individual KOs belonging to the 285 corresponding module. A module was considered significant at a |reporter Z-score | \geq 286 1.96.

287

288 Other statistical analyses

Kruskal–Wallis test was conducted to detect the differences in continuous phenotypic
factors, microbial diversity, richness and MLG relative abundances between

291 multi-groups. Dunn's post hoc tests followed by pairwise comparisons were applied to 292 explore the differential phenotypes and MLGs between each two groups (R version 293 3.3.2, PMCMR package 4.1). The Dunn's post hoc p-values were adjusted with 294 the Benjamini-Hochberg method among multiple pairwise comparisons. The 295 significance cut-off was set as a Dunn's post hoc P value less than 0.05. Wilcoxon 296 rank-sum test was performed for comparisons of MLG relative abundances between 297 published TN-T2D patients from Shanghai [9] and NGT or Pre-DM from the Suzhou 298 cohort in this study for validation purposes. The significance cut-off of Wilcoxon 299 rank-sum test was set as a P value less than 0.05. Detailed information on enrichment 300 of MLGs between groups is provided in Table S5.

Wilcoxon rank-sum test was conducted to detect differences in protein levels between each two groups. The significance cut-off for proteins was set as a *P* value less than 0.05, and a fold change of protein levels > 1.2 or < 0.8. Chi-square test was conducted to detect the distribution of differences in discrete phenotypic factors, such as sex and treatment distribution between groups, and to identify differences in taxonomic and functional assignments between metagenomic and metaproteomic datasets. The significant cut-off was set as *P* value less than 0.05.

308

309 Data availability

Metagenomic sequencing data for 254 faecal samples can be accessed from China Nucleotide Sequence Archive (CNSA) with the dataset identifier CNP0000175. The mass spectrometry metaproteomics data have been deposited to the ProteomeXchange Consortium via the PRIDE partner repository with the dataset identifier PXD013452 and 10.6019/PXD013452.

315

316 **Results**

317 Experimental design

The cohort consisted of 77 TN-T2D patients, 80 Pre-DM individuals and 97 NGT individuals from Suzhou, China (**Methods**, **Table S1**). The three groups were

matched regarding body mass index (BMI) and sex (P > 0.05), but individuals with TN-T2D (mean age 66 +/- 8 years) were on average 5 years older than individuals in the two other groups (**Table S1**). Shotgun metagenomics was performed on faecal samples from all participants, whereas metaproteomics profiling was performed on a subgroup of 84 participants, including 28 age-, sex-, and BMI-matched individuals from each group (**Figure 1**).

326

327 Distinct metagenomics profiles in Chinese prediabetic and type 2 diabetic 328 individuals

329 Shotgun metagenomic sequencing of the 254 stool DNA samples was performed 330 using the BGISEQ-500 platform and raw reads were filtered and aligned to the 331 integrated gene catalogue (IGC) of the human gut microbiome to generate gene, 332 taxonomic and functional profiles as previously described (Methods, Table S2). In 333 line with previous studies [4–6], no significant differences in microbial gene-based 334 richness, alpha-diversity, and beta-diversity were found between the NGT, Pre-DM, 335 and TN-T2D individuals (Figure S3, Kruskal-Wallis (KW) test, P > 0.05). Using a 336 metagenome-wide association [4], identified approach we 266.015 337 T2D-associated genes (KW test, P < 0.05) and clustered these genes into 126 338 metagenomic linkage groups (MLGs, ≥ 100 genes, **Table S5**).

339 We further applied the KW test to detect statistically significant differences in the 340 relative abundances of MLGs between individuals with NGT, Pre-DM, and TN-T2D. 341 Compared to NGT individuals, the abundances of MLGs from the *Clostridia* class, 342 such as Butyrivibrio crossotus (MLG-2076), Dialister invisus (MLG-3376) and 343 Roseburia hominis (MLG-14865 and MLG-14920) were significantly lower in 344 individuals with Pre-DM or TN-T2D (Figure 2A, Table S5, Dunn's post hoc test, P < 1345 (0.05), which is in agreement with previous findings in a Danish T2D cohort [6]. In 346 addition, we found that the abundance of the butyrate-producing Faecalibacterium 347 prausnitzii (MLG-4560) was lower in Pre-DM compared to both NGT and TN-T2D 348 individuals. On the contrary, MLGs annotated to Escherichia coli (MLG-7919 and 349 MLG-7840), Streptococcus salivarius (MLG-6991 and MLG-7099), and Eggerthella

350 sp. (MLG-351) were highly enriched in Pre-DM compared to NGT individuals 351 (Figure 2A, P < 0.05). An increased abundance of *Streptococcus* operational 352 taxonomic units (OTUs) was also recently reported in a Danish prediabetic cohort [7]. 353 Additionally, Pre-DM individuals also exhibited a significant enrichment in E. coli 354 abundance compared to TN-T2D individuals (Figure 2A, P < 0.05). Moreover, we 355 detected significantly lower abundances of Akkermansia muciniphila (MLG-2159) 356 and *Clostridium bartlettii* (MLG-7540) and higher abundances of *Bacteroides caccae* 357 and MLG-10325), Bacteroides finegoldii (MLG-10154 (MLG-10234 and 358 MLG-10159), and Collinsella intestinalis (MLG-10084) in TN-T2D patients 359 compared with NGT and Pre-DM individuals (Figure 2A, P < 0.05). Finally, the 360 abundance of Megasphaera elsdenii (MLG-1568) was significantly higher in both 361 TN-T2D and Pre-DM individuals than in NGT individuals (Figure 2A, P < 0.05), in 362 line with the positive correlation between the relative abundance of the genus 363 Megasphaera and T2D recently reported in a large cohort with about 7000 individuals 364 from South China [35]. Several key findings were further validated in faecal samples 365 of 94 treatment naïve T2D patients in Shanghai (Gu et al., 2017a), such as a lower 366 abundance of A. muciniphila and C. bartlettii compared to NGT and Pre-DM 367 individuals, and a lower abundance of *E. coli* compared to Pre-DM individuals in this 368 study (Figure 2A, Table S5, Wilcoxon rank test, P < 0.05). A summary of gut 369 microbial taxa reported in previously published cross-sectional T2D or prediabetes 370 studies is presented in Table S6.

371 We next performed Spearman's rank correlation analysis to explore the associations 372 between host phenotypes and MLGs. M. elsdenii and four unannotated MLGs 373 enriched in TN-T2D individuals showed significantly positive correlations to 374 glycaemic indices, including homeostasis model assessment of insulin resistance 375 (HOMA-IR), fasting blood glucose (FBG), 2h post-load glucose (2h-PG), and HbA1c, 376 whereas MLGs enriched in NGT were negatively correlated with the abovementioned 377 indices (adjusted P < 0.05, Figure S4A-B). Very few MLGs showed significant 378 correlations with non-glycaemic indices, such as age, BMI and systolic blood pressure

379 (SBP) (**Figure S4**).

380 To assess the discriminative power of MLGs in T2D and identify key MLGs 381 differentiating individuals with respect to different disease stages, we applied a 382 feature selection approach and constructed Random Forest (RF) classification models 383 comparing the groups (Methods). Remarkably, the RF models provided high 384 performances regarding classification of samples from the two different disease stages, 385 with area under the ROC curve (AUC) values from 0.90 to 0.94 (Figure 2B). Apart 386 from taxonomically unclassified MLGs, the most discriminatory MLG for separating 387 TN-T2D and NGT was A. muciniphila. Moreover, MLGs annotated to F. prausnitzii 388 and E. coli both showed to be important in separating Pre-DM samples from TN-T2D 389 and NGT samples (Figure 2C), indicating the unique microbial signatures of lower 390 abundance of *F. prausnitzii* and higher abundance of *E. coli* in Pre-DM individuals. 391 We also validated the predictive power of the RF models between TN-T2D and other 392 two groups, which showed an accuracy of 76. 6% (72 of 94 patients) for disease 393 prediction in a previously described TN-T2D cohort from Shanghai (Table S7) [9].

394 We next performed KEGG enrichment analyses to examine possible differential 395 patterns of microbial functional potentials in NGT, Pre-DM and TN-T2D individuals 396 (Table S8). Interestingly, we observed a significant enrichment in modules 397 comprising several sugar phosphotransferase systems (PTS), ATP-binding cassette 398 transporters (ABC transporters) of amino acids, and bacterial secretion systems in the 399 gut microbiota of Pre-DM compared to NGT individuals (reporter score \geq 1.96, 400 Figure 2D). Likewise, in line with previous findings in several Chinese cohorts with 401 metabolic diseases, such as atherosclerotic cardiovascular disease (ACVD), obesity 402 and T2D [36], a similar enrichment was found in TN-T2D patients compared with 403 NGT individuals (Figure 2D). The abundances of the transport system for microcin C, 404 a peptide-nucleotide antibiotic produced by Enterobacteria [37], and the transport 405 system for autoinducer-2 (AI-2), a quorum sensing signalling molecule reported in 406 Proteobacteria [38], were also significant higher in Pre-DM than in NGT individuals 407 (Figure 2D). Except for enrichment of type II-IV secretion and AI-2 transport systems

408 in Pre-DM vs TN-T2D, we found no other KEGG modules for PTS and ABC 409 transporters to differ significantly in abundance between Pre-DM and TN-T2D 410 individuals (Figure 2D). However, Pre-DM individuals displayed a significant 411 reduction with respect to several energy and nucleotide metabolism modules 412 compared to both NGT and TN-T2D individuals, including modules of V-type ATPase, 413 pyruvate: ferredoxin oxidoreductase, and bacterial ribosomal proteins (Figure 2D). 414 Taken together, these results indicate the possible involvement of substantial 415 compositional and functional disease-related gut microbial changes in the pre-diabetic 416 stage.

417

418 Gut metaproteomics simultaneously identifies faecal levels of microbial and 419 human proteins

420 To gain further insights into functional changes in the gut microbiota associated with 421 T2D, we conducted metaproteomic analyses using iTRAQ (isobaric peptide tags for 422 relative and absolute quantification) and LC-MS/MS-based protocols on 84 samples, 423 with 28 samples derived from each of the three diagnostic groups (Methods, Figure 424 **S1**). Using the strict parameters of 2 peptide-spectrum matches (PSMs) per protein, <425 10 ppm mass error and 1% PSM-level FDR (Methods), we identified a total of 426 145,014 high quality PSMs corresponding to 15,670 proteins, including 15,245 427 (97.29%) microbial proteins and 425 (2.71%) human proteins (Table S9). As reported 428 [14,19,20], one microbial peptide often exhibits matches to multiple proteins with 429 high sequence similarity, resulting in difficulties in identifying the microbial origin of 430 individual peptides. To alleviate ambiguities, we applied a maximum parsimony 431 principle reported in recent studies [14]⁻ [39] and generated 11,980 non-redundant 432 meta-proteins (78.58% of microbial proteins) containing at least one unique microbial 433 peptide. The relative intensities of these unique peptides were further used for 434 meta-protein quantification (Methods, Table S9). The number of identified 435 meta-proteins ranged between 5,067 in the Pre-DM samples to 8,134 in the TN-T2D 436 samples (Table S9). Venn diagrams showed that only 2782 meta-proteins (34.2%-54.9% 437 of the total number of meta-proteins per group) were shared among the three groups

438 (Figure S5A), indicating differential microbial expression patterns at the protein level 439 among the groups. Taxonomic annotations indicated a higher percentage of unique 440 Proteobacteria meta-proteins in Pre-DM individuals, compared to the other groups 441 (Chi-square test, P < 0.05, Figure S5B), whereas no difference in the distributions of 442 the uniquely detected meta-proteins associated with a wide range of functions was 443 found between the three groups (Figure S5C).

444

Concordance and discordance of microbiota features between metagenomes and metaproteomes

447 Based on annotated microbial features, we next investigated the consistency as well as 448 the divergence of microbial composition and function at the DNA and protein level. 449 At the phylum level, more than 90% genes and meta-proteins were consistently 450 assigned to three major phyla, namely Firmicutes, Bacteroidetes and Proteobacteria 451 (Figure 3A). Despite the overall consistency, we found a significantly higher 452 percentage of the annotated proteins to be assigned to Bacteroidetes (41%) compared 453 to the percentage of genes annotated to Bacteroidetes (25%) (Chi-square test, P < 0.05, 454 Figure 3A), suggesting that Bacteroidetes might display an overall higher protein 455 production than the other phyla across the 84 samples. At the genus level, the 456 composition of the metaproteomes was biased towards a limited number of genera. 457 Among 212 common metagenomically-identified genera detected in at least 10% of 458 the 84 samples, only 81 genera (38.21%) could be detected based on metaproteomics 459 (Table S10). Spearman's rank correlation analysis was subsequently performed to 460 determine the relationship between the number of meta-proteins and the abundances 461 at the genus level based on metagenomics. The more abundant a given genus was 462 based on metagenomics analysis, the more of the identified meta-proteins were 463 assigned to this genus (Spearman's correlation coefficient (SCC) = 0.726, P = 464 5.21E-08, Figure 3B, Table S9), with *Bacteroides* (n=1664), *Prevotella* (n=818) and 465 Faecalibacterium (n=719) harbouring most assigned meta-proteins. For a few genera, 466 such as Anaerotruncus (n=9), Paraprevotella (n=9) and Enterococcus (n=7), we were

467 only able to identify less than 10 meta-proteins although their median metagenomic468 abundances were greater than 1E-04 (Table S10).

469 Comparing KEGG functional categories based on metagenomics and metaproteomics 470 data, we observed large differences in the relative contribution of individual 471 categories between the two datasets (Chi-square test, P < 0.05, Figure 3C), in 472 accordance with several previous studies [14,19,20]. For instance, as determined by 473 metaproteomics, 24% and 18% of the proteins were assigned to carbohydrate 474 metabolism and translation categories, whereas the corresponding metagenomic 475 percentages of the two categories were only 11% and 4%, respectively (Figure 3C). 476 We found that 1508 meta-proteins, accounting for 12.59% of all identified 477 meta-proteins, could be assigned to 10 KEGG orthologues (KO). The top KOs 478 harboured 360 proteins annotated as Ca-activated chloride channel homologues 479 (K07114), whereas the remaining KOs comprised proteins representing abundant 480 house-keeping proteins such as elongation factors, large subunit ribosomal proteins 481 (K02355, K02358 and K02395), chaperones (K04077 and K04043), and 482 glyceraldehyde 3-phosphate dehydrogenase (K00134) as well as flagellin proteins 483 (K02406) (Table S11, Figure S6A).

484 Aiming to link the microbial protein patterns to metagenomic microbial abundances, 485 we next conducted a fold-change analysis of meta-proteins. In agreement with our 486 metagenomic findings (Figure 2A), the Proteobacteria meta-proteins (mainly from 487 Escherichia, Citrobacter and Enterobacter) exhibited enrichment in the Pre-DM 488 group, whereas *Bacteroides* meta-proteins were enriched in TN-T2D individuals 489 (Figure 3D, Table S12, P < 0.05 and fold change of protein intensities > 1.2). 490 Surprisingly, *Prevotella* meta-proteins were selectively enriched in Pre-DM 491 individuals (Figure 3D), although no Prevotella annotated metagenomic MLGs 492 exhibited significantly higher abundance. At the functional level, we observed that the 493 level of meta-proteins involved in carbohydrate metabolism tended to be lower in 494 NGT compared to Pre-DM and TN-T2D individuals, including those involved in the 495 metabolism of succinate (Figure 3E, Figure S6B, Table S11).

496

497 Functional characteristics of faecal excreted human proteins in T2D

498 Among the 425 detected human proteins, we identified 218 human proteins that were 499 shared among the NGT, Pre-DM, and TN-T2D groups, accounting for 59.6% to 85.2% 500 of the identified human proteins in each group (Figure S7A). We next annotated the 501 human proteins with Gene Ontology (GO) terms to obtain insight into the functional 502 characteristics of the human proteins excreted in faeces (Table S13). Among the 503 identified proteins, 181 (42.59%) had previously been identified in faecal samples by 504 metaproteomics, indicative of their general presence (Table S14) [14,19,20]. These 505 included several intestinal mucin proteins, such as MUC-1, MUC-2, MUC-4, MUC5B, 506 MUC12 and MUC-13 as well as members of annexins (ANXA1- ANXA7, a family of 507 calcium-binding proteins) (Table S14). We identified 233 of the faecal human 508 proteins to have tissue-specific annotation, amongst which 151 proteins (64.81%) 509 were reported to exhibit high expression in the digestive system, and the remaining 510 proteins were annotated to be highly expressed in blood or other tissues such as 511 epidermis (Table S13). Of interest, 18 of the human proteins were annotated as AMPs 512 [40] (**Table S13**). Several human proteins involved in glucose metabolism, including 513 the sodium/glucose cotransporter 1, were detected in faecal samples of TN-T2D 514 patients only (Figure S6B). Inhibitors of this protein have been proposed for antidiabetic treatment ²⁶. Additionally, the TMAO-producing enzyme, dimethylaniline 515 516 monooxygenase [N-oxide-forming] 3 (FMO3) was also identified exclusively in the 517 TN-T2D group (Table S13). On the other hand, we found that ras 518 GTPase-activating-like protein (IQGAP1) and unconventional myosin-Ic (MYO1C) 519 were uniquely identified in the NGT group (Figure S7B). Loss of IQGAP1 and 520 MYO1C has been related to impairment of insulin signalling [43-45], but whether 521 their presence in faeces has functional implications remains to be established.

522

523 Forty-nine of the human proteins present in faeces were found to differ significantly 524 in intensity between at least two of the groups (**Figure 4A, Table S15**). We found

525 significantly higher levels of four AMPs, including defensin-5, neutrophil defensin-1, 526 lysozyme c, as well as secreted phospholipase A2, all with important roles in the 527 defence against bacteria [46-48], in faecal samples from NGT individuals than in 528 samples from TN-T2D individuals (Figure 4A). We also found higher levels of 529 mucin-5AC samples from NGT compared to TN-T2D individuals, suggesting 530 possible effects on the mucus barrier in TN-T2D. Interestingly, the level of the 531 antimicrobial cathepsin G, reported to inhibit the growth of several organisms from 532 the Proteobacteria phylum [49], was higher in samples from Pre-DM than NGT and 533 TN-T2D, and this was coupled to lower levels of alpha-1-antichymotrypsin and 534 alpha-1-antitrypsin, both known inhibitors of cathepsin G [50] (Figure 4A), 535 suggesting that Pre-DM individuals have initiated strategies to activate a defence 536 system against the enhanced relative abundances of E. coli. By contrast, we found that 537 several proteins within the immunoglobulin superfamily were present at lower levels 538 in samples from Pre-DM compared to NGT or TN-T2D (Figure 4A). Individuals with 539 Pre-DM also exhibited lower levels of lectin with galectin-3. а 540 beta-galactoside-binding ability. Galectin-3 has been reported to bind 541 lipopolysaccharides (LPS) from E. coli and play a role as a negative regulator of 542 LPS-mediated inflammation [51]. In addition, galectin-3 was also reported to improve 543 epithelial intercellular contact via desmoglein-2 stabilization [52]. Taken together, 544 these finding indicate that the gut ecosystem in Pre-DM individuals exhibits trait 545 compatible with the upregulation of defence systems against an increased abundance 546 of Proteobacteria simultaneously with the downregulation of factors capable of 547 reducing the impact of the inflammation-inducing activity of LPS. We also found that 548 several digestive enzymes differed in levels in faeces from NGT, Pre-DM, and 549 TN-T2D individuals. Thus, we found lower levels of proteases (trypsin and 550 chymotrypsin and their precursors) and lipases, and higher amylase (AMY1) levels in 551 TN-T2D (Figure 4A). It is also interesting to note that the level of dipeptidyl 552 peptidase 4 (DDP4), known to inhibit insulin secretion via its action on GLP-1, was 553 lower in individuals with Pre-DM than in TN-T2D individuals. A network analysis

revealed significant correlations between 20 human proteins showing significant differences in levels in two-pairwise comparisons between NGT, Pre-DM and TN-T2D individuals (**Figure 4B**). For instance, we identified a negative correlation between the defensin-5 and TN-T2D-enriched peptidyl-prolyl cis-trans isomerase B (PPIB) (**Figure 4B**, SCC, adjusted P < 0.05), the latter previously reported to be associated with islet dysfunction [53].

560 Aiming to investigate possible host-microbial protein interactions in the human gut, 561 we next investigate the possible correlation between the discriminatory bacterial and 562 human proteins. Interestingly, we found significantly negative correlations between 563 several Pre-DM-enriched E. coli proteins and human proteins involved in innate 564 immune responses (HV304, HV305) and adhesion (CEAM6, CEAM7), whereas 565 positive correlations were found between E. coli proteins and cathepsin G, 566 Cytochrome c (CYC) and trypsin-1 (TRY1) (Figure 4C, adjusted P < 0.05). 567 Conversely, NGT-enriched proteins from F. prausnitzii showed positive correlations 568 with several NGT-enriched digestive enzymes from the exocrine pancreas, such as 569 chymotrypsin-like elastase family member 3A (CEL3A), chymotrypsinogen B2 570 (CTRB2) and carboxypeptidases (CBPA1 and CBPB1).

571

572 **Discussion**

573 Our comparative study using metagenomics and metaproteomics in normal glucose 574 tolerant, pre-diabetics and treatment naïve T2D individuals provides important novel 575 findings with regard to disease-stage specifications at the gut bacterial and host level. 576 A substantial number of Pre-DM associated features were revealed at both the 577 metagenomics and metaproteomics level. Of specific note are the significantly higher 578 abundance of Proteobacteria species (dominated by E. coli) and the lower levels of 579 host proteins which potentially are involved in Proteobacteria-specific responses in 580 Pre-DM, such as galectin-3 and proteins within the immunoglobulin superfamily. 581 Furthermore, significantly higher levels of *Prevotella* proteins were uniquely detected 582 in Pre-DM individuals although the abundance of *Prevotella* was not significantly

enriched in this group based on metagenomics data. *Prevotella copri* has previously been shown to produce branched-chain amino acids (BCAA), reported to correlate with BCAA blood levels and insulin resistance [54]. However, in the present study only two enzymes related to the synthesis of BCAAs were detected among the identified *Prevotella* proteins with no differences in levels between the three groups.

588

589 Only a modest number of relatively highly abundant faecal proteins were identified in 590 the current study. This reflects the current methodological challenges in microbial 591 protein extraction, identification, and annotation as reported previously [55,56], as 592 well as the detection limitations of MS-based proteomics [57]. For instance, we 593 identified less than 50 proteins from each of several taxa with median abundances in 594 the 0.1 % ranges based on metagenomics data (such as NGT-enriched *Dialister*, 595 Butyrivibrio and Haemophilus). Nevertheless, metaproteomics provides a valuable 596 addition to not only estimating expression of microbial proteins, but also to delineate 597 host-microbial protein interactions in different disease stages. In this regard, we 598 identified higher levels of several host-derived AMPs in NGT individuals compared 599 to TN-T2D and Pre-DM individuals, suggesting a possible stronger host defence 600 against invading (disease-related) microbes in NGT individuals. By contrast, 601 significant negative associations were found between Pre-DM-enriched E. coli 602 proteins and several human proteins, including AMPs, adhesion molecules and 603 galectin-3, all involved in intestinal barrier function. It is also worth to note the 604 significant changes in levels and types of digestive enzymes identified in the faecal 605 samples, where TN-T2D showed enhanced alpha-amylase (AMY1) levels, as 606 compared to pancreatic-derived lipases and proteases. However, the level of 607 pancreatic alpha-amylase (AMYP) was lower in Pre-DM compared to the two other 608 groups. A metaproteomics study has reported lower faecal AMYP levels in type 1 diabetes (T1D) patients compared to their healthy relatives ¹⁰, whereas no difference 609 610 in levels of AMY1 was reported between T1D and controls, suggesting different 611 amylase responses might be present in Pre-DM, TN-T2D and T1D patients based on

612 metaproteomics data. Differences in levels of secreted digestive enzymes from the 613 exocrine pancreas in NGT, Pre-DM and T2D have to our notice not been addressed 614 previously, although it may be of major importance in relation to the metabolic state 615 in T2D.

Together, our findings suggest that unique and nonlinear changes of the intestinal ecosystem might exist in Pre-DM individuals before transition to T2D. Further large-scale, longitudinal follow-up studies are needed to delineate how microbial functions changes from prediabetes to diabetes and to address the nature of interactions between the gut microbiota and the host in the transitional phases leading to overt T2D.

622

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634

635 **Declarations of interests**

636 The authors declare no competing interests.

637

638 Author contributions

639 J.L. and H.Z. designed and coordinated the study. F.L. and J.Z. oversaw the blood and

faecal sample collection. Y.L, B.C., J.C., X. B., Y.H. and Y.G. participated in sample

641	collection and provided phenotypic information. G.H., B.Z, J.Z. and S.L. carried out
642	the metaproteomic experiments. H.Z., H.R., F.Y., Z.S, and H.Zou. performed the
643	bioinformatic analyses of metagenomic data. H.Z., H.R., C.F., B.Z, G.H., Y.Z. and
644	J.W. performed the bioinformatic analyses of metaproteomic data. H.Z. and H.R
645	performed integrative analyses of metagenomic and metaproteomic data. Y.Z.
646	performed revision of the figures. H.Z. interpreted together with J.L., S.B. and K.K.
647	the data and wrote the first version of the manuscript. J.L., K.K., S.B., and L.M.
648	performed revision of the manuscript. H.Z., H.R., C.F., G.H., F.Y., Z.Y., Y.Z., Z.S.,
649	J.W, L.M., S.B., K.K. and J.L. participated in discussions. All authors contributed to
650	the revision of the manuscript. All authors read and approved the final manuscript.
651	

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834 **Figure Legends**

835 Figure 1. Experimental overview.

836 254 participants were recruited from the Suzhou cohort and diagnosed as treatment 837 naive T2D patients (TN-T2D, n=77, red), prediabetic individuals (Pre-DM, n=80, 838 blue) or individuals with normal glucose tolerance (NGT, n=97, green). Each 839 participant provided two stool samples. One set of stool samples was used for 840 metagenomic shotgun sequencing, followed by IGC-based taxonomic and functional 841 analyses. The other set of stool samples, comprising a total of 84 samples with 28 842 age-, BMI- and sex-matched participants from each group, was selected for 843 metaproteomic analyses using isobaric tags for relative and absolute 844 quantitation (iTRAQ)-coupled-liquid chromatography tandem mass spectrometry 845 (iTRAQ-LC-MS/MS) to provide information on the microbial and host proteins 846 present in stool samples.

A total of 11, 980 meta-proteins and 425 human proteins were identified in this study. Microbial gene and protein profiling were used to determine alterations in the abundance of microbial taxa and functions, and human protein profiling was used to identify alterations in the abundance of human proteins in faecal samples from NGT, Pre-DM and TN-T2D individuals.

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Figure 2. Determination of alterations in the abundance of MLGs and functional modules.

(A) Heatmap of statistically significant annotated MLGs discriminating between TN-T2D, Pre-DM and NGT based on Z-scores. Red, MLGs enriched in high glucose groups, blue, MLGs enriched in low glucose groups. *, indicates MLGs significantly differed between any two groups in the Suzhou cohort; *Dunn's post hoc* test, P < 0.05. #, indicates significant MLGs replicated in the treatment naïve T2D patients from Shanghai (Gu et al., 2017a) compared with Pre-DM and NGT in the Suzhou cohort; Wilcoxon rank-sum test, P < 0.05 (See **Table S5** for full list).

862 (B) Performance of cross-validated random forest (RF) classification models using

relative abundance profiles of gut microbial MLGs, assessed by the area under the

864 ROC curve (AUC), 95% confidence intervals (CI). Orange, AUC for the RF model

- 865 classifying NGT (n=97) and Pre-DM (n=80). Grey, AUC for the RF model classifying
- 866 NGT (n=97) and TN-T2D (n=77). Blue, AUC for the RF model classifying Pre-DM

867 (n=80) and TN-T2D (n=77). The best cut-off points are marked on the ROC curves.

868 (C) Bar plot showing the 10 most discriminating MLGs in the RF models for

869 distinguishing between NGT, Pre-DM and TN-T2D. The bar lengths indicate the

- 870 importance of the selected MLGs, and colours represent enrichment in NGT (green),
- 871 Pre-DM (blue) and TN-T2D (red).

(D) Differential enrichment of KEGG modules comparing TN-T2D, Pre-DM and
NGT. Dashed lines indicate a reporter score of 1.96, corresponding to 95% confidence
in a normal distribution.

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Figure 3. Concordance and discordance of gut microbiome features in
metagenomes and metaproteomes.

878 (A) Taxonomic distribution at the phylum level. Inner circle, metagenomes; Outer879 circle, metaproteomes.

(B) Spearman's rank correlation between the median relative abundances of genera in
metagenomes of 84 samples selected for metaproteomics and the number of identified
meta-proteins assigned to the same genus. (C) Functional distribution at KEGG level
2. Inner circle, metagenomes; Outer circle, metaproteomes.

(D-E) Enrichment analysis of differentially expressed meta-proteins at taxonomic (d) and functional levels (e) comparing NGT, Pre-DM and TN-T2D individuals. The number of meta-proteins that exhibited significant differences in levels in each pairwise comparison is shown. Colours represent enrichment in NGT (green), Pre-DM (blue) and TN-T2D (red). Significant enrichment is defined as P < 0.05(Wilcoxon rank-sum test) with a fold change of mean intensities > 1.2 in pairwise comparisons.

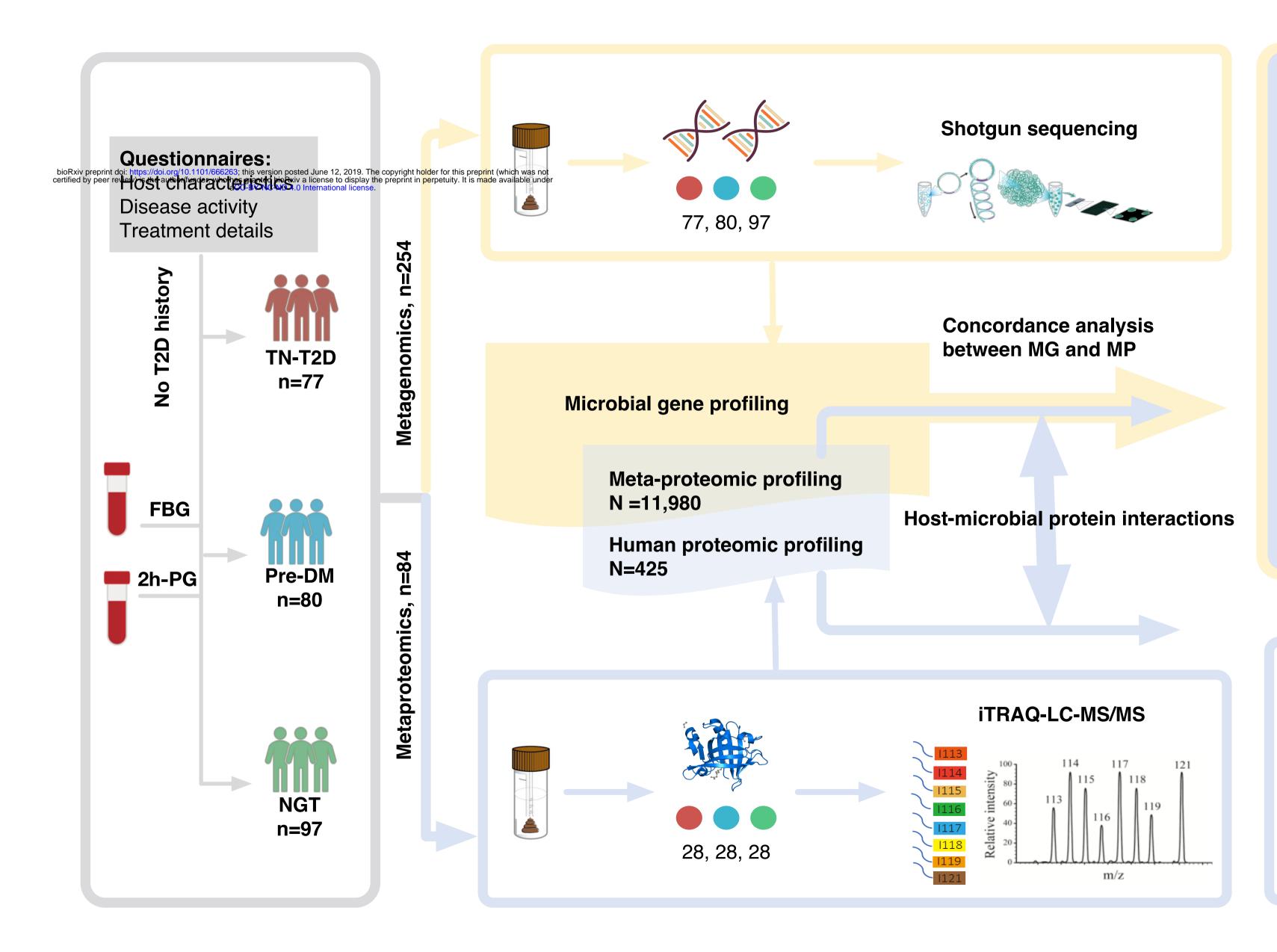
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Figure 4. Characterisation of human proteins in faecal samples from Chinese NGT, Pre-DM, and TN-T2D individuals.

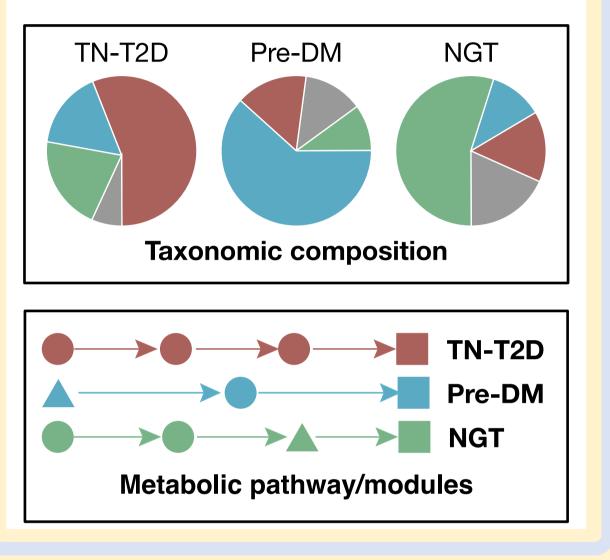
(A) Heatmap showing levels of 49 discriminatory human proteins as fold change between each two groups. *, P < 0.05 and fold change of protein levels > 1.2 or < 0.8. (B) Protein-protein interaction network based on 20 discriminatory human proteins in at least two pair-wise comparisons. The group signatures indicate human proteins with significantly higher or lower levels in this group compared to others. Orange indicates higher protein levels and blue indicates lower protein levels.

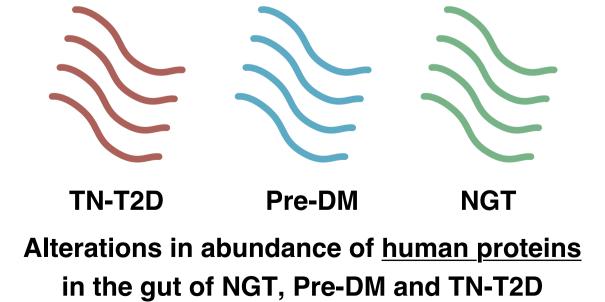
900 (C) Protein-protein interactions based on discriminatory meta-proteins in pair-wise
 901 comparisons and discriminatory human proteins. Only discriminatory meta-proteins
 902 annotated to the corresponding taxon of the MLGs were selected for the analysis.

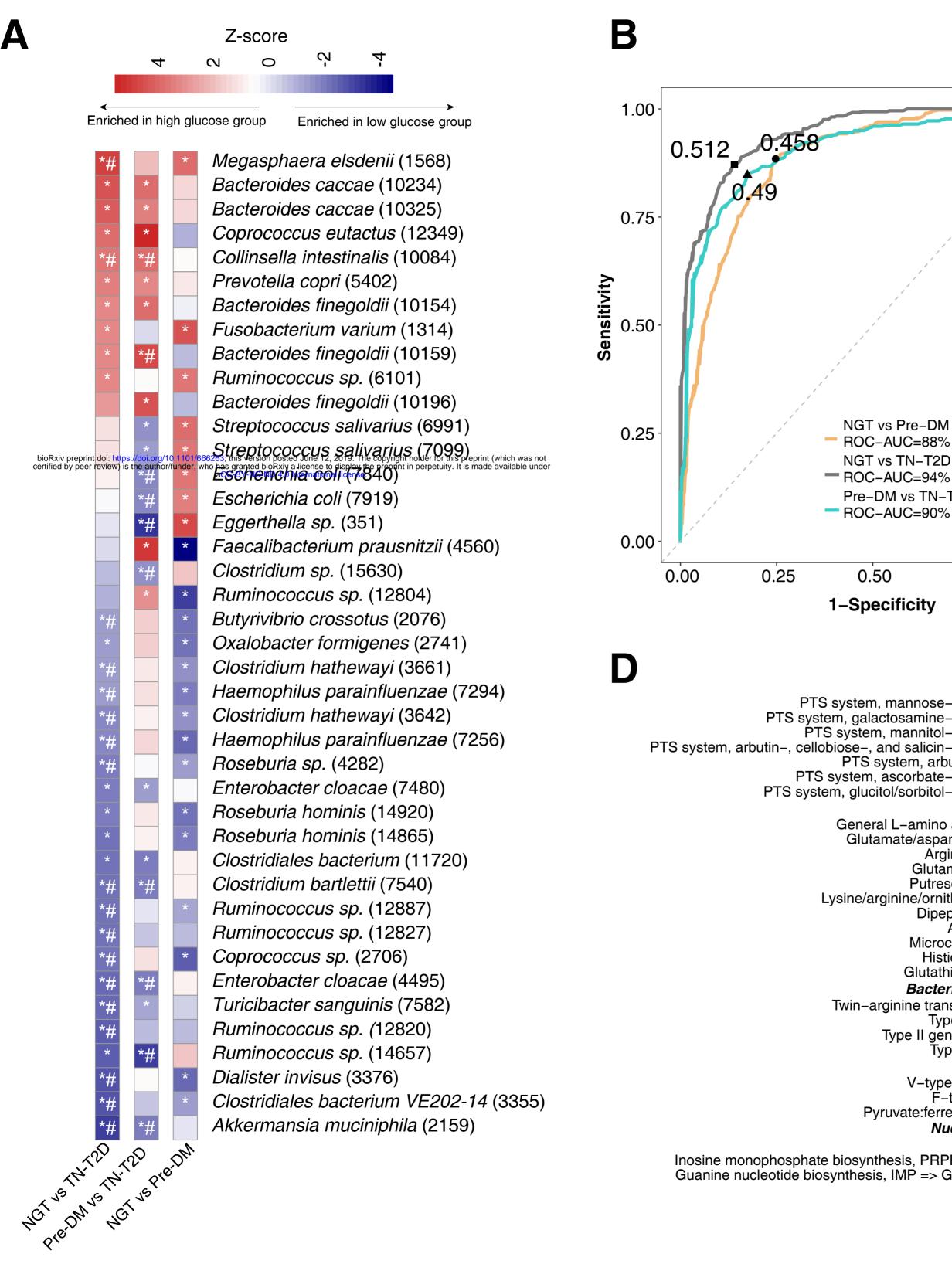
The circles indicate human proteins and diamonds indicate meta-proteins. Detailed information on the numbered meta-proteins is presented in **Table S12**. Colours represent protein enrichment in NGT (green), Pre-DM (blue) and TN-T2D (red). Pink line indicates positive correlation and grey line indicates negative correlation (Spearman's rank correlations, adjusted P < 0.05).



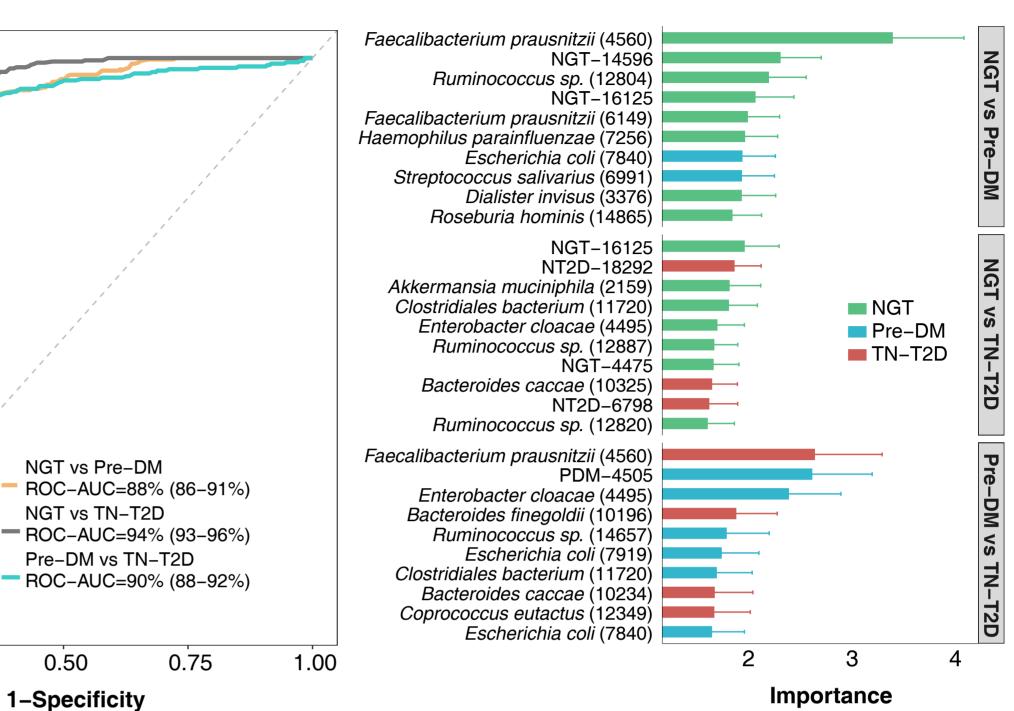
Alterations in abundance of <u>microbial taxa</u> <u>and functions</u> in NGT, Pre-DM and TN-T2D





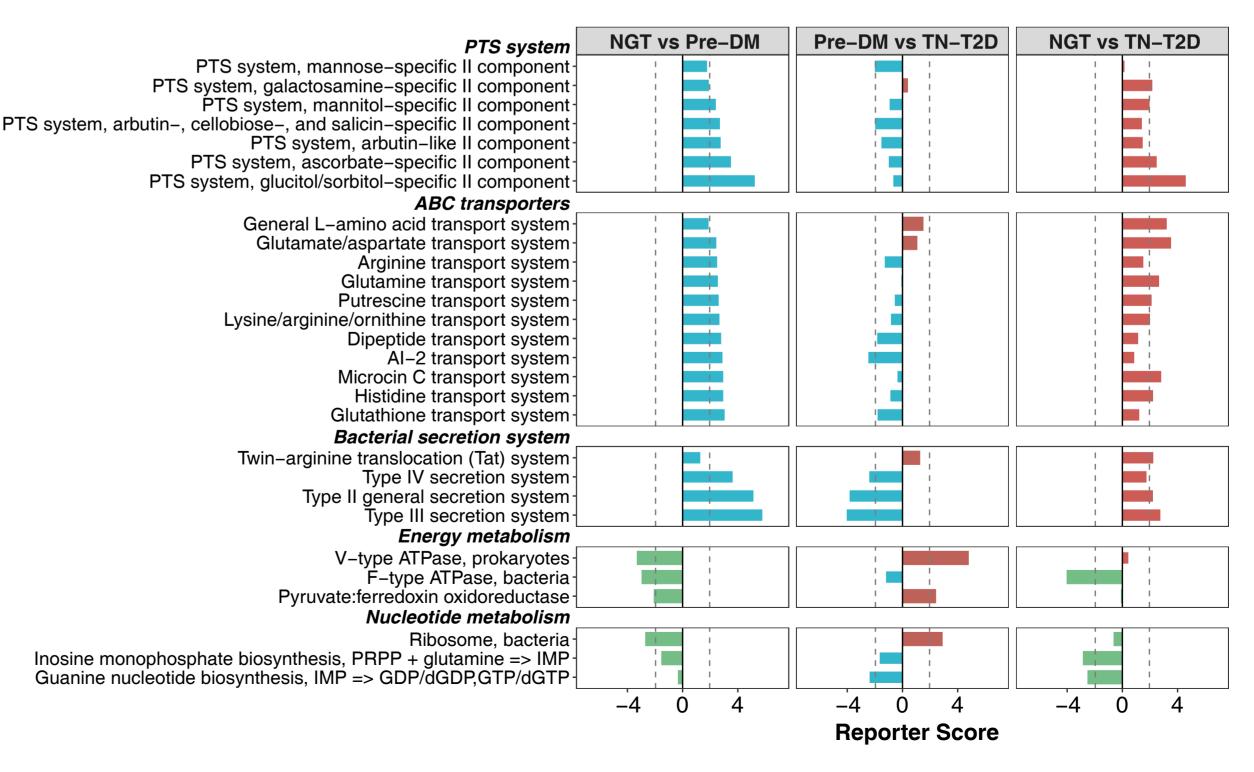


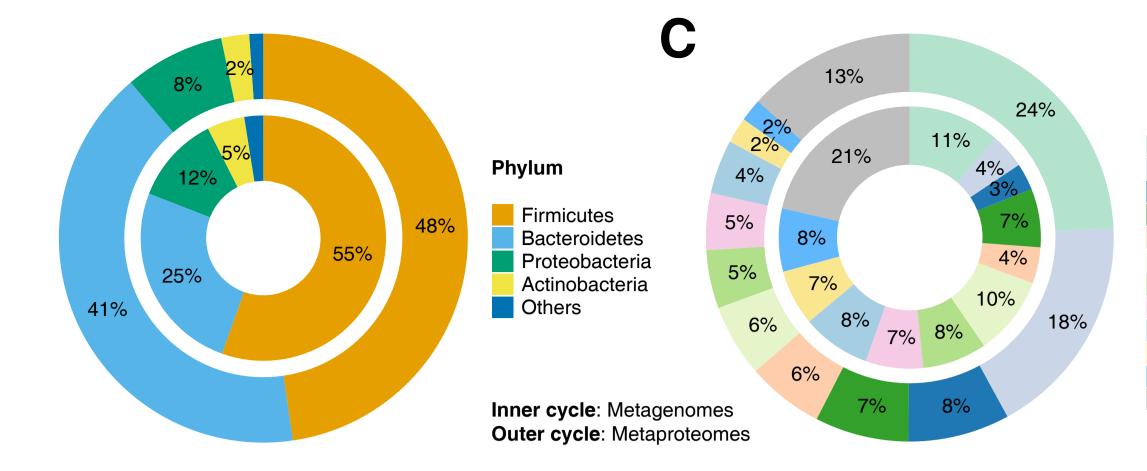






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KEGG function

- Carbohydrate Metabolism
- Translation
- **Energy Metabolism**
- Amino Acid Metabolism
- Nucleotide Metabolism
- Membrane Transport
- **Poorly Characterized**
- Metabolism
- Cellular Processes and Signaling
- **Replication and Repair**
- **Genetic Information Processing**

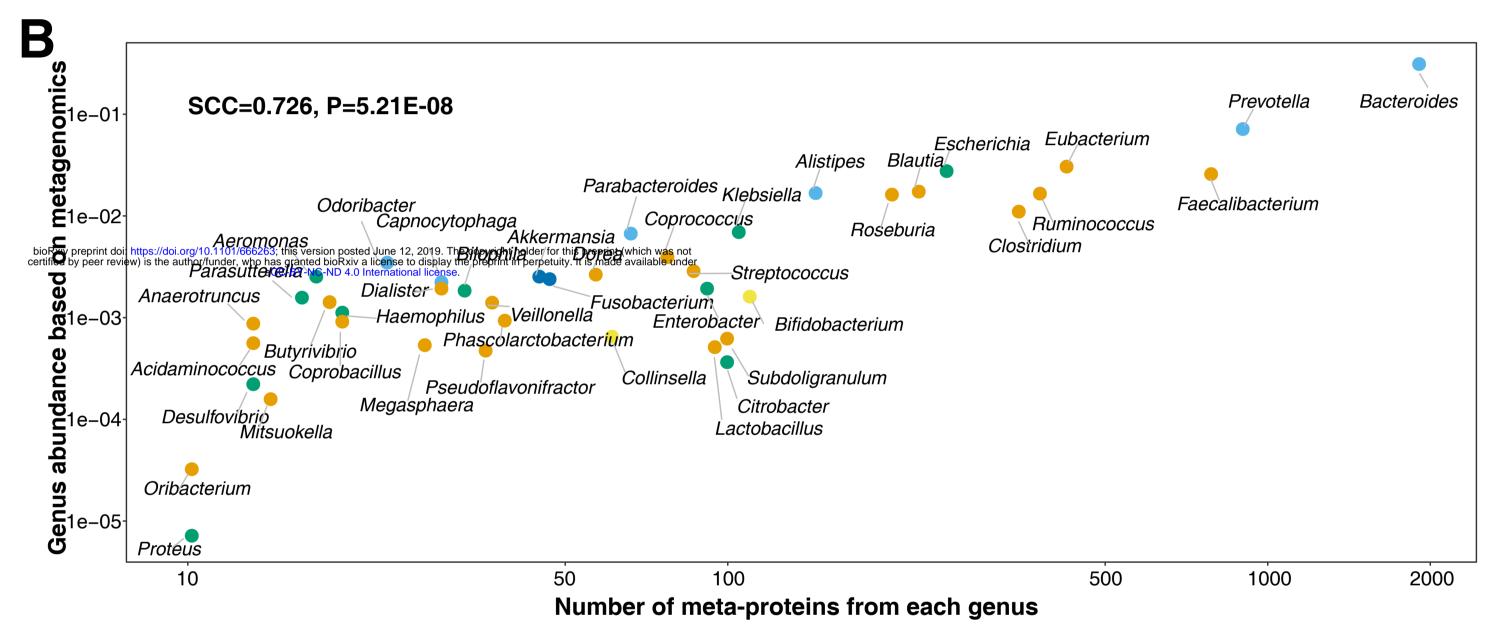
NGT

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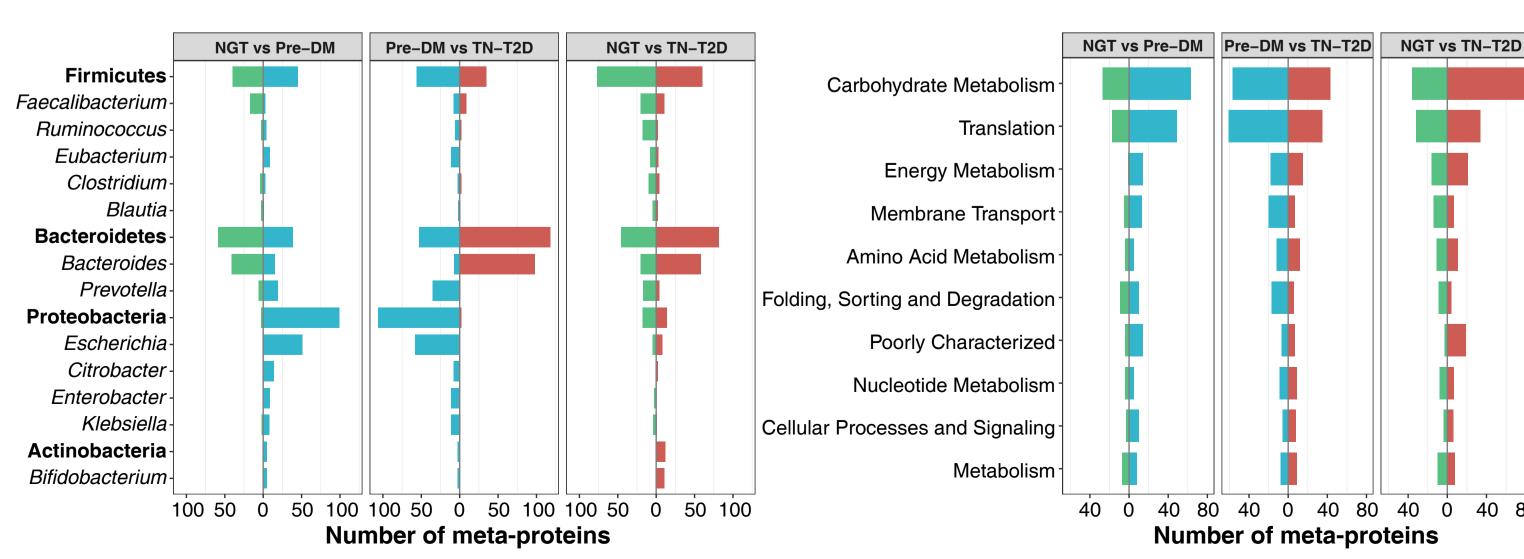
Pre-DM

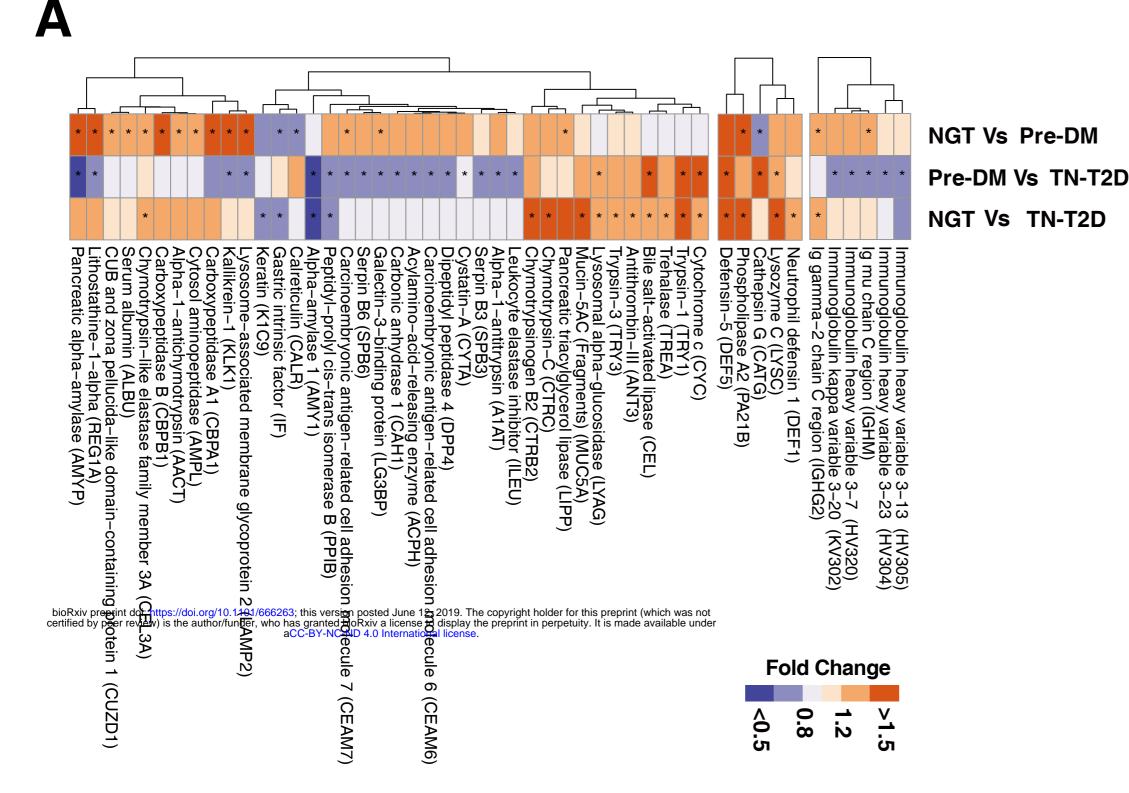
TN-T2D

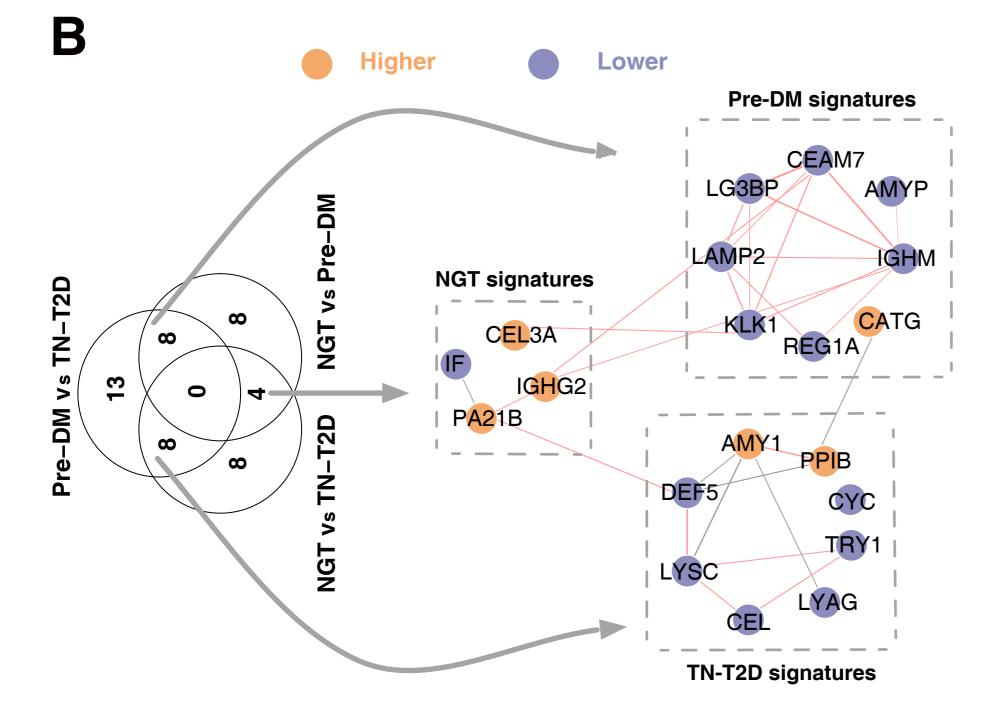
Others

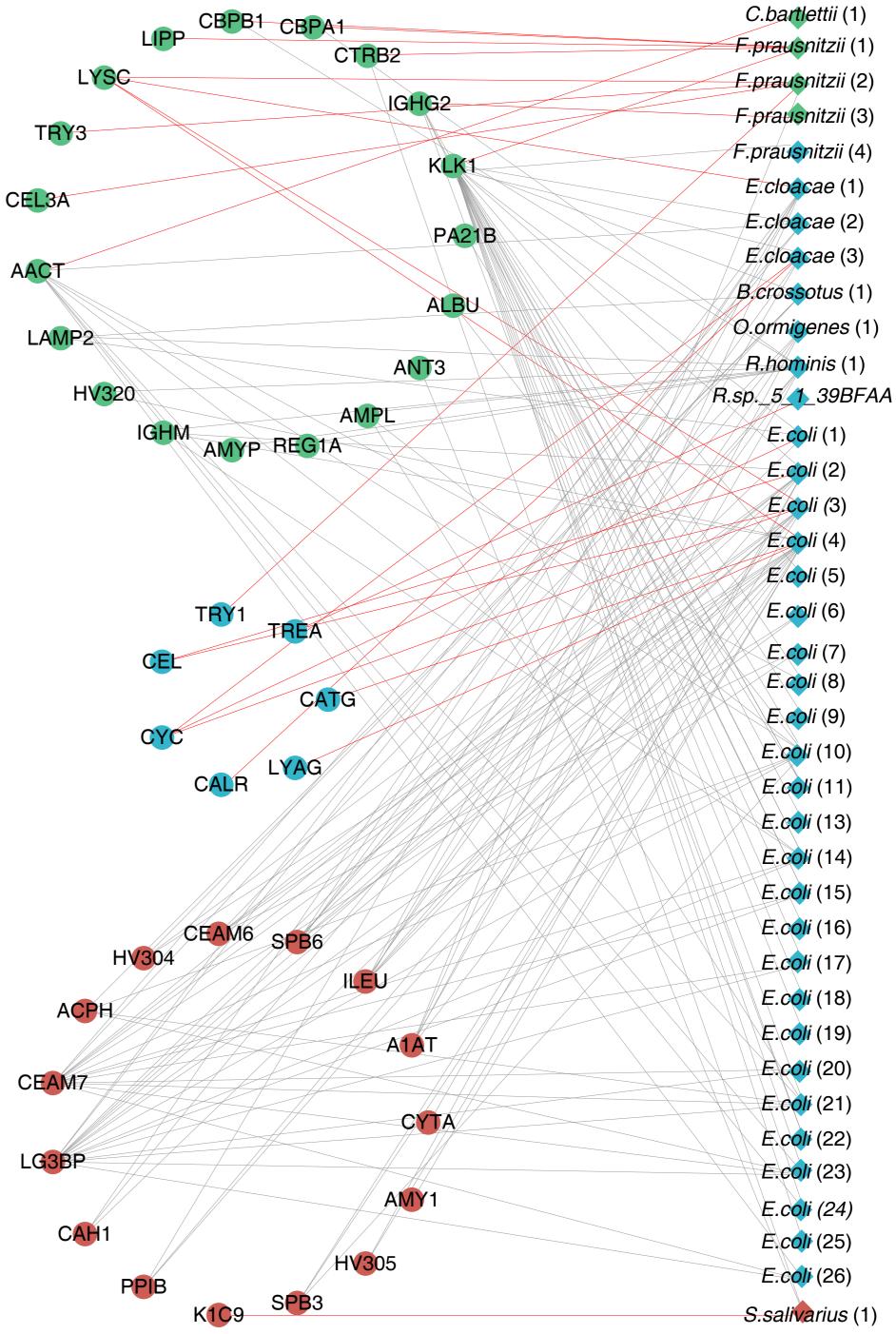


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