

# 1 **The role of iron uptake systems in the pathogenesis of colistin-resistant hypervirulent *K.pneumoniae*** 2 **infections**

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13 **Running Title:** Iron uptake systems of hypervirulent *K.pneumoniae*

## 14 15 16 **Summary**

17 Here we proposed the hypothesis that hypervirulent colistin resistant *K.pneumoniae* (CoLR-Kp) exhibit  
18 high number of virulence factors and have enhanced survival capacity against neutrophil activity.

19 We studied virulence genes of CoLR-Kp isolates and neutrophil response in 142 patients with invasive  
20 infections.

21 The patients infected with hypervirulent ST101 and ST395 CoLR-Kp had higher 30-day mortality (58%,  
22 p=0.005 and 75%, p=0.003, respectively. The yersiniabactin biosynthesis gene (ybtS) and ferric uptake  
23 operon associated gene (kfu) were significantly higher in ST101 (99%, p<0.001) and in ST395  
24 (94%,p<0.012). Being in ICU (OR: 7.9; CI: 1.43-55.98; p=0.024), kfu (OR:27.0; CI:5.67-179.65; p<0.001)  
25 and ST101 (OR: 17.2; CI: 2.45-350.40; p=0.01) were found to be predictors of 30-day mortality. The  
26 uptake of kfu<sup>+</sup>-ybtS<sup>+</sup> CoLR-Kp by neutrophils was significantly higher than kfu<sup>-</sup>-ybtS<sup>-</sup> CoLR-Kp (78% vs  
27 65%, p<0.001). However, kfu<sup>+</sup>-ybtS<sup>+</sup> CoLR-Kp were more resistant to the killing activity of neutrophils  
28 than negative ones (7.90 vs 4.22; p=0.001). The kfu<sup>+</sup>-ybtS<sup>+</sup> CoLR-Kp stimulated excessive NET formation  
29 while the NET's against kfu<sup>-</sup>-ybtS<sup>-</sup> CoLR-Kp were weak and rare.

30 Iron uptake systems enhance successful survival of *K.pneumoniae* against neutrophil phagocytic  
31 defense, and stimulate excessive NET formation. The drugs targeted to iron uptake systems would be  
32 a promising approach for treatment of hypervirulent *K.pneumoniae* infections.

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## 42 **Introduction**

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44 Colistin resistant hypervirulent *Klebsiella pneumoniae* (HvKp) infections are one of the emerging threats  
45 in public health because of high fatality rates (1-3). The ST101 and ST395 clones of *K.pneumoniae* are  
46 known as hypervirulent clones (4-7), and reported to be significant predictors of the mortality (8). The  
47 leading virulence factors of HvKp are mostly associated with capsular serotype, muco-viscosity, iron  
48 uptake systems and allantoin metabolism (9-11). Enhanced adhesion and attachment by fimbria and  
49 non-fimbrial-structures promote pathogenicity of *K.pneumoniae* as well (9, 12).

50

51 Iron uptake system is essential for survival and dissemination of pathogens during infections. These  
52 systems have also a significant effect on host inflammatory response (13). The neutrophils as the  
53 important cells of the immune defense, kill pathogens by engulfment or release of extracellular traps  
54 (NETs) (14). The function of NETs is to trap bacteria and promote extracellular killing by minimizing  
55 damage to host cells (14). A previous study reported that low phagocytic activity of neutrophils  
56 contributes to the success of carbapenem-resistant HvKp ST258 clone (15). However, our knowledge  
57 on immune escape mechanisms of colistin-resistant hypervirulent *K.pneumoniae* (ColR-HvKp) is very  
58 limited (10, 11). By this study, we aimed to describe the role of the major virulence factors of ColR-  
59 HvKp and their interaction with the neutrophils. Our results will provide an insight to depict the  
60 pathogenesis of the HvKp infection.

61

## 62 **Methods**

### 63 *Study population and Data Collection*

64 The patients diagnosed with colistin resistant *K.pneumoniae* infection between January 2015 and May  
65 2018 were included in the study. A study protocol reviewing patient's demographic data, underlying  
66 diseases, type of infection, isolation site, blood biochemical parameters, predisposing factors such as  
67 having operation within last one month, intensive care unit admission (ICU), type of antimicrobial  
68 agents used for empirical and agent-specific therapy, duration of colistin therapy before isolation of  
69 colistin-resistant isolates, and carbapenem resistance was used. The patients were followed up for

70 fatality for 30 days after hospital admission. Exclusion criteria were missing key data, subsequent  
71 episodes of the same patient.

72

### 73 *Microbiological and Molecular Studies*

74 Colistin resistance was studied by broth microdilution and breakpoint for resistance was set to >2 mg/L  
75 (16). Carbapenemase genes of OXA-48, NDM-1, KPC were examined by multiplex-PCR, and amplicons  
76 were sequenced (17). The *mcr-1* was screened by PCR described by Liu et al (18).

77 Genotyping of the isolates was carried out by MLST comparing seven housekeeping genes (*phoE*, *gapA*,  
78 *rpoB*, *tonB*, *inf*, *mdh*, and *pgi*) according to the protocol published on the Institute of Pasteur website  
79 (<http://bigsdbs.pasteur.fr/klebsiella/klebsiella.html>). ST types were determined using Applied Maths  
80 Bionumerics V7.6 software.

81 Virulence genes of type-1 and type-3 adhesins (*FimH-1*, *mrkD*), enterobactin biosynthesis (*entB*),  
82 aerobactin receptor (*iutA*), yersiniabactin receptor (*fyuA*), yersiniabactin biosynthesis (*ybtS*), ferric  
83 uptake operon associated gene (*kfu*), regulator of mucoid phenotype A (*rmpA*), capsule type 1 (*magA*),  
84 capsule type2 (*K2Wzy*), capsule type 5 (*K5wzx*), outer core lipopolysaccharide biosynthesis (*wabG*) and  
85 allantoin metabolism (*allS*) were screened by PCR using primers described previously (19)

86

### 87 *Phagocytosis assays*

88 For phagocytosis assays, 10 *ybtS*<sup>+</sup>-*kfu*<sup>+</sup>, eight *ybtS*<sup>-</sup>-*kfu*<sup>-</sup>, two *ybtS*<sup>-</sup>-*kfu*<sup>+</sup>, and one *ybtS*<sup>+</sup>-*kfu*<sup>-</sup> isolates were  
89 selected. *K. pneumoniae* ATCC 700831 and *S. epidermidis* ATCC 35984 were used as controls. Human  
90 neutrophils were separated from peripheral blood by density gradient centrifugation using Histopaque  
91 (Sigma–Aldrich, Germany) according to the manufacturer's instructions. Neutrophil purity was  
92 determined by Flow Cytometry (BD Biosciences, USA) using mouse anti-human CD15-PE (Bechman-  
93 Coulter, USA) antibody. *K. pneumoniae* isolates were stained with BacLight 488 (Thermo Scientific,  
94 USA) with slight changes to manufacturer's instructions. For phagocytosis, 2 x 10<sup>7</sup> neutrophils were  
95 incubated with bacterial suspension containing 3 x 10<sup>8</sup> bacteria for 30 minutes at 37 °C. Phagocytosis  
96 was stopped by adding 1ml of ice-cold PBS into tubes. A portion of each sample was stained with  
97 Mouse-Anti Human CD15-PE (Beckman Coulter, USA) and run under BD Accuri C6 Flow Cytometer. The  
98 internalized and/or surface attached bacteria were determined as CD15<sup>+</sup>BacLight 488<sup>+</sup> cells whereas  
99 free bacteria were determined as only BacLight 488<sup>+</sup> Cells. Phagocytic Index (Ph Index) was calculated  
100 by [(Initial bacterial count X Ph%)/100]. For viability testing, neutrophils were lysed with dH<sub>2</sub>O for 20  
101 minutes and cultured on tryptic soy agar by 10 fold dilutions. After overnight incubation, colonies were  
102 counted and the survival index was calculated by [(Colony count per ml/Ph Index) X100].

103

### 104 *Detection of Neutrophil Extracellular Traps*

105 Two *ybtS*<sup>+</sup>-*kfu*<sup>+</sup> and two *ybtS*<sup>-</sup>-*kfu*<sup>-</sup> isolates were selected for NETosis experiments. Neutrophils (2 x 10<sup>5</sup>  
106 cells) incubated for 1 hour at 37°C for attachment to the surface. After incubation, 6 x 10<sup>6</sup> bacteria  
107 were added on neutrophils and incubated 90 minutes at 37°C for NET generation (1:30) . A portion of  
108 each cell was fixed and permeabilized with 4% BSA and 0,2 % Triton X-100. After blocking, the cells  
109 were stained with Mouse Anti-Human Myeloperoxidase (Santacruz, Germany) and Rabbit Anti-Human  
110 Histone-H3 (Abcam, USA) antibodies for one hour. Rabbit Anti-mouse Alexa-Fluor 594 (Biolegend, USA)  
111 and Goat Anti-rabbit Alexa-Fluor 488 (Thermo Scientific, USA) were used as secondary antibodies.  
112 Fluoreshield medium with DAPI (Abcam, USA) was used for mounting and analyses were performed  
113 under confocal microscope (Leica dmi8/Sp8, Germany). *K. pneumoniae* ATCC700831 was used as  
114 control. The remaining part was assessed for the viability of the bacteria after NET formation. Cell  
115 suspensions were cultured on tryptic soy agar by 10 fold dilutions and colony count/ml was recorded.

116

#### 117 *Statistical analysis*

118 Statistical analysis was performed using the statistical software package R. In univariate analyses, we  
119 used Wilcoxon rank-sum test for continuous covariates and Fisher's exact test for discrete covariates.  
120 In multivariate analyses, logistic regression was performed using the variables that were detected to  
121 be significant in univariate analyses. All the results of statistical analysis are available at the  
122 supplementary file ([https://midaslab.shinyapps.io/klebsiella\\_pneumoniae\\_virulence\\_analysis/](https://midaslab.shinyapps.io/klebsiella_pneumoniae_virulence_analysis/))

123

#### 124 **Results**

125 In this study, 142 patients with colistin resistant *K.pneumoniae* infection out of 710 (20%) were  
126 analyzed (Figure 1). In study group, 84% of the patients stayed in ICU, bacteremia was detected among  
127 43% of the patients and 47% of them had ventricular associated pneumonia (VAP). The median age of  
128 the patients was 61 and 58% of the patients were male. The 30-day mortality was 51%.

129

130 All the isolates were resistant to colistin, with MICs between 4 and 256mg/L. The majority of ColR-Kp  
131 belonged to ST101 (56%) and ST395(11%) HvKp, and the others distributed to various ST clones  
132 (minimum spanning tree in supplement) The patients infected with ST101 ColR-Kp had more VAP (56%,  
133 p=0.006), had higher 30-day mortality rate (58%p=0.005) than other clones. The mortality rate among  
134 ST395 type *K.pneumoniae* infected patients was 75% (p=0.003) (Table 1).

135

136 Among virulence factors, ferric uptake operon associated gene (*kfu*) and yersiniabactin (*ybtS*)  
137 components of iron uptake systems were found to be significantly higher in ST101 and ST395 ColR-Kp  
138 compared to the other clones. The *ybtS* and *kfu* positivity were 99% in ST101 (p=<0.001) and 94% in

139 ST395 clones ( $p < 0.012$ ). The mucoid type associated gene (*rmpA*) and fimH type adhesin were also  
140 significantly higher in ST101 with the percentage of 89%, ( $p = 0.005$ ) and 99%, ( $p = 0.024$ ), respectively.

141  
142 The carriage of OXA-48 carbapenemase was significantly higher (95%,  $p = 0.003$ ) in ST101 than the other  
143 clones (76%), however it was found to be very low (31%,  $p = 0.002$ ) in ST395 clone. On the contrary,  
144 NDM-1 production was significantly higher in ST395 (88%,  $p < 0.001$ ), and lower in ST101 (4%,  $p < 0.001$ )  
145 than the other clones (30%) (Table 2).

146  
147 In univariate analysis, being in ICU (OR: 4.3; CI: 1.42-16.04;  $p = 0.005$ ), presence of *ybtS* (OR: 3.0; CI:  
148 1.01-10.02;  $p = 0.034$ ) and *kfu* (OR: 3.9; CI: 1.27-14.63;  $p = 0.009$ ) were found to be associated with 30-  
149 day mortality. In multivariate analysis, being in ICU (OR: 7.9; CI: 1.43-55.98;  $p = 0.024$ ), *kfu* (OR: 27.0;  
150 CI: 5.67-179.65;  $p < 0.001$ ) and ST101 (OR: 17.2; CI: 2.45-350.40;  $p = 0.01$ ) were found to be the predictors  
151 of 30-day fatality (supplement).

152  
153 The phagocytosis experiments showed that *ybtS* and *kfu* positive ColR-Kp were internalized at higher  
154 rates (median=78%) while negative isolates exhibited low phagocytosis rates (median=65%) after 30  
155 minutes of interaction with neutrophils ( $p < 0.001$ , Figure 2). The phagocytosis rates of *S.epidermidis*  
156 and *K.pneumoniae* ATCC controls were 89% and 73%, respectively. Survival of *kfu*<sup>+</sup>-*ybtS*<sup>+</sup> positive  
157 ColR-Kp was significantly higher than negative isolates with median survival index of 7.90 (range: 3.29-  
158 13.13) vs 4.22 (range: 0.36-5.64), respectively ( $p = 0.001$ ). The survival index of *S.epidermidis* and  
159 *K.pneumoniae* controls were 0.64 and 1.89, respectively (Figure 2). The survival index of two *ybtS*<sup>-</sup>-*kfu*<sup>+</sup>  
160 isolates were 12.04 and 12.13, and it was 5.13 in one *ybtS*<sup>+</sup>-*kfu*<sup>-</sup> isolate.

161  
162 Among 21 isolates, four were in ST101 clone. The median phagocytosis rate 80% was found to be and  
163 the survival index was 8.51.

164  
165 After NETosis, the mean colony count of two *kfu*<sup>+</sup>-*ybtS*<sup>+</sup> isolates was  $5.50 \times 10^6$  and it was  $4.05 \times 10^6$  for  
166 *kfu*<sup>-</sup>-*ybtS*<sup>-</sup> strains. The colony count of ATCC *K.pneumoniae* was  $4.3 \times 10^6$ . Confocal microscopy study  
167 showed that the *kfu*<sup>+</sup>-*ybtS*<sup>+</sup> isolate stimulated abundant NET formation with excessive release of  
168 chromatin granular content to the extracellular area. However, the NETs against *kfu*<sup>-</sup>-*ybtS*<sup>-</sup> negative  
169 ColR-Kp were weak and seen only in few areas (Figure 3).

170

## 171 Discussion

172 ColR-HvKP infections are usually fatal because of limited therapeutic options due to extensive drug  
173 resistance and successful immune escape mechanisms of these pathogens. Alternative approaches are

174 urgently needed in order to prevent and treat infections. One of the most promising strategies is  
175 inhibition of virulence factors. Here, we demonstrated the role of iron uptake systems in virulence of  
176 ColR-HvKP ST101 and ST395 clones.

177  
178 We determined significantly higher iron uptake associated gene (*kfu*) and yersiniabactin (*ybtS*)  
179 positivity in ST101 (99%) and ST395 (94%) isolates ( $p < 0.001$ , and  $p = 0.012$ , respectively). These genes  
180 were found to be associated with 30-day mortality. Yersiniabactin type siderophore is encoded in high  
181 pathogenicity island which is responsible for high mortality and dissemination of infections (20, 21). It  
182 was also reported to be associated with pulmonary infections (3, 22). Holden et al. demonstrated that  
183 during pneumonia siderophores stabilizes HIF-1 $\alpha$  and increases bacterial dissemination to the spleen  
184 (13). Lawlor et al. reported that the acquisition of yersiniabactin is an important step in the evolution  
185 of virulent *K.pneumoniae* (3). The *kfu* system was found to be associated with invasive infections and  
186 increased virulence in mice (23). In our study, multivariate analysis showed that *kfu* predicts 30-day  
187 mortality (OR: 27; CI: 5.67-179.56;  $p < 0.001$ ) and is a predictor of belonging ST101 clone (OD:20.3; CI:  
188 2.17-484.56;  $p = 0.018$ ).

189 Another important disease strategy of hypervirulent clones is immune evasion from the innate  
190 response (24). The interaction of siderophores with host cells promotes pathogenicity of  
191 *K.pneumoniae* by induction of proinflammatory cytokines (21). Proinflammatory cytokines have a  
192 protective effect against *K.pneumoniae* by recruitment of neutrophils to the infection site. However,  
193 studies pointed out the evasion strategy of virulent *K.pneumoniae* through yersiniabactin secretion(15,  
194 21, 25-27). One important effect of yersiniabactin is evasion from innate immune protein Lipocalin 2  
195 which is produced by neutrophils or mucosal surfaces (25). The other effect of yersiniabactin is the  
196 enhancement of bacterial survival in phagocytic cells by reduction of the oxidative stress response (26).  
197 We proposed that, despite their high internalization rate by neutrophils, high survival index of the *kfu*<sup>+</sup>-  
198 *ybtS*<sup>+</sup> producing ColR-HvKp could be explained by their resistance inside neutrophils after being  
199 uptaken. Capsular polysaccharides of HvKp ST258 were reported to have an inhibition on phagocytosis  
200 activity of neutrophils (15). In this study, we did not find a difference in capsule types of ColR-HvKp  
201 and other clones.

202 Another significant finding of our study was NET release from neutrophils after encountering *kfu*<sup>+</sup>*ybtS*<sup>+</sup>  
203 ColR-HvKp (figure 3). We observed the extensive spread of myeloperoxidase and histone in the  
204 extracellular space of neutrophils. The role of NETs in the pathogenesis of infection is still under  
205 debate. While some pathogens are killed by NETs, others may survive or even benefit from NETs (28).  
206 Phagocytosis is a critical event of decisions to form NETs, and if the bacterium is killed by phagocytosis,

207 only a few azurophilic granules may leak into extracellular space with no NET formation (29). Similarly,  
208 the *kfu-ybtS* isolates of our study induced very rare NETs with a low amount of myeloperoxidase and  
209 histones in extracellular space (figure 3). As the control of our experiment, we studied *Klebsiella* ATCC  
210 strain, and we did not observe NETosis. Branzk et al. reported that NETs are formed in response to  
211 large pathogens. Virulent bacteria may circumvent phagocytosis by the formation of large aggregates  
212 and trigger NETosis (29). The successful survival of *kfu<sup>+</sup>-ybtS<sup>+</sup>* isolates (median survival index 7.9) from  
213 phagocytosis with induction of extensive NETosis suggested us that protective function of iron uptake  
214 systems from being killed by neutrophils might be one of the reasons for mortality of the patients  
215 through increased inflammation.

216  
217 In this study, the 30-day fatality of ST101 and ST395 were 58% and 75%. *K.pneumoniae* ST101 is known  
218 as hypervirulent clone mostly responsible for pneumonia and bacteremia in intensive care units. (30,  
219 31). In our study, ColR-HvKP ST101 isolates were found to be associated with VAP infections (p=0.009).  
220 In one of our previous studies, 30 day fatality of infections with ST101 *K.pneumoniae* was found to be  
221 72% (30). The ST395 clone is known as a potentially high-risk clone (32), and recent studies pointed  
222 out the emergence of carbapenem-resistant ST395 in France and Italy (33, 34). KPC-2 producing ST101  
223 *K. pneumoniae* was shown to have the highest number of virulence genes associated with capsule  
224 type, attachment and iron uptake than the other epidemic clones of *K.pneumonia* (10). Similarly, we  
225 observed more virulence genes for iron uptake system, attachment and mucoid phenotype among  
226 isolates belonged to ST101 and ST395 than the other clones (heatmap, supplement).

227  
228 Our novel findings in depiction of pathogenesis of HvKp strains should be supported by the animal  
229 studies. Particularly, an animal lung infection model should be developed.

230  
231 In conclusion, iron uptake systems have a significant contribution to the pathogenesis hypervirulent  
232 *K.pneumoniae* ST101 and ST395 infections. These systems enhance successful survival of  
233 *K.pneumoinae* against neutrophil phagocytic defense, and stimulate excessive NET formation. The  
234 drugs targeted to ferric uptake systems would be a promising approach for treatment of hypervirulent  
235 *K.pneumoniae* infections.

236  
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369 **Figure Legends:**

370 **Figure 1.** Distribution of the hypervirulent clones in *Klebsiella pneumoniae*.

371 **Figure 2.** The phagocytosis of ColR-Kp by neutrophils. Phagocytosis rate of *kfu*<sup>+</sup>-*ybtS*<sup>+</sup> and *kfu*<sup>-</sup>-*ybtS*<sup>-</sup>  
372 isolates (A); Survival of *kfu*<sup>+</sup>-*ybtS*<sup>+</sup> and *kfu*<sup>-</sup>-*ybtS*<sup>-</sup> isolates after being phagocytosed by neutrophils (B)

373 **Figure 3.** Confocal microscopic images of NETs. The samples were stained consecutively with  
374 myeloperoxidase (MPO, red) and histone 3 (H3, green). The nuclei were counterstained with DAPI  
375 (blue). Neutrophils were seen intact with *K. pneumoniae* ATCC 700831 control(A-D). The *kfu*<sup>-</sup>-*ybtS*<sup>-</sup>  
376 isolates depicted rare and weak NET formation (E-L). The rectangular area in image H was magnified

377 in images I-L. The *kfu<sup>+</sup>-ybtS<sup>+</sup>* isolates showed abundant NET formation with excessive histone and MPO  
378 release in extracellular matrix (M-U). The rectangular area in image P was magnified in images I-L.  
379 *Bars: A-H, M-P= 25 μm; I-L, R-U= 10 μm.*

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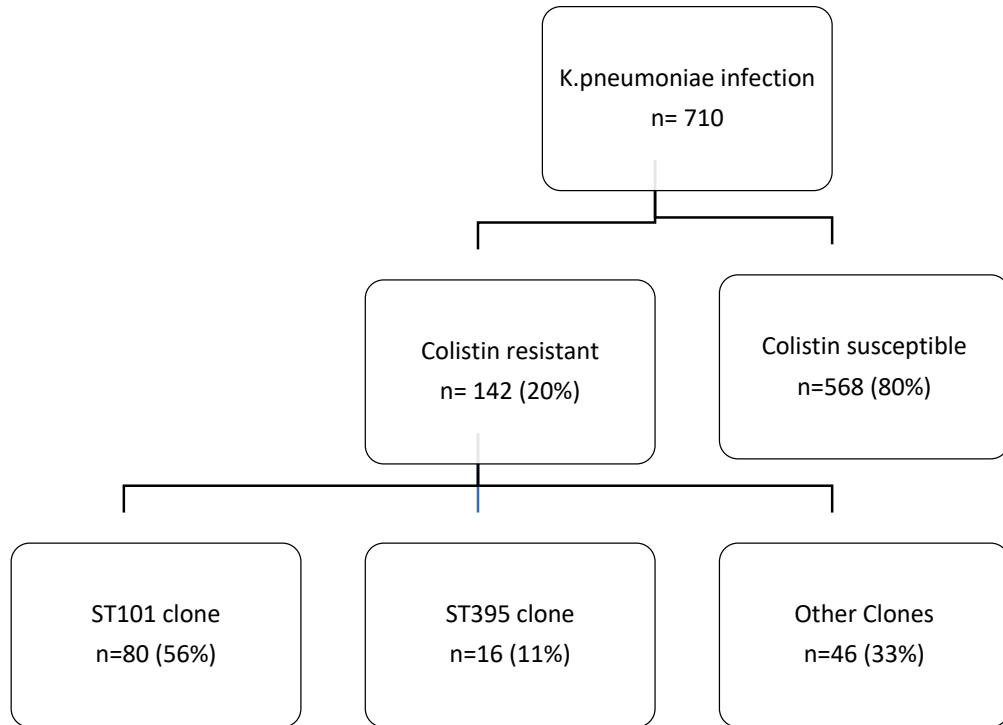


Figure 1

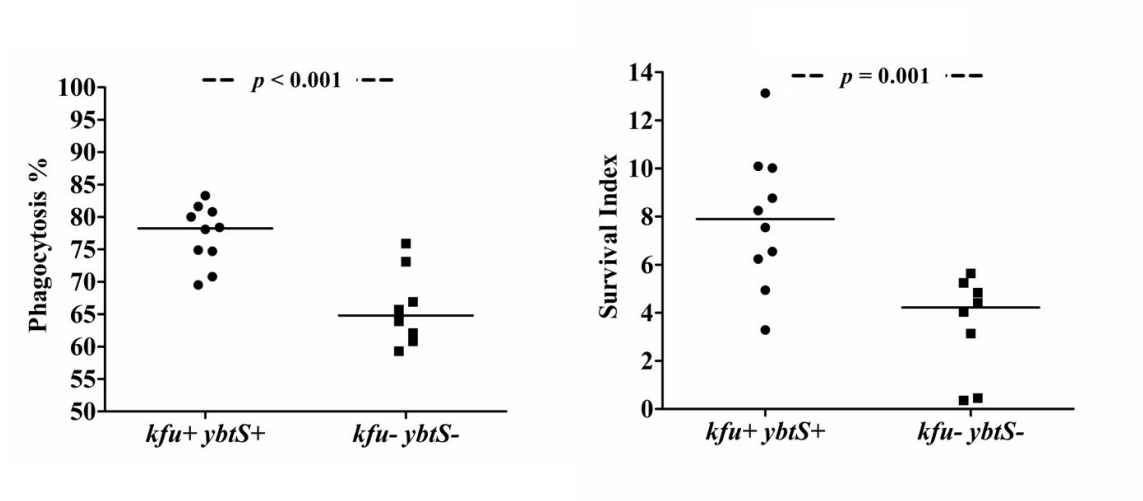
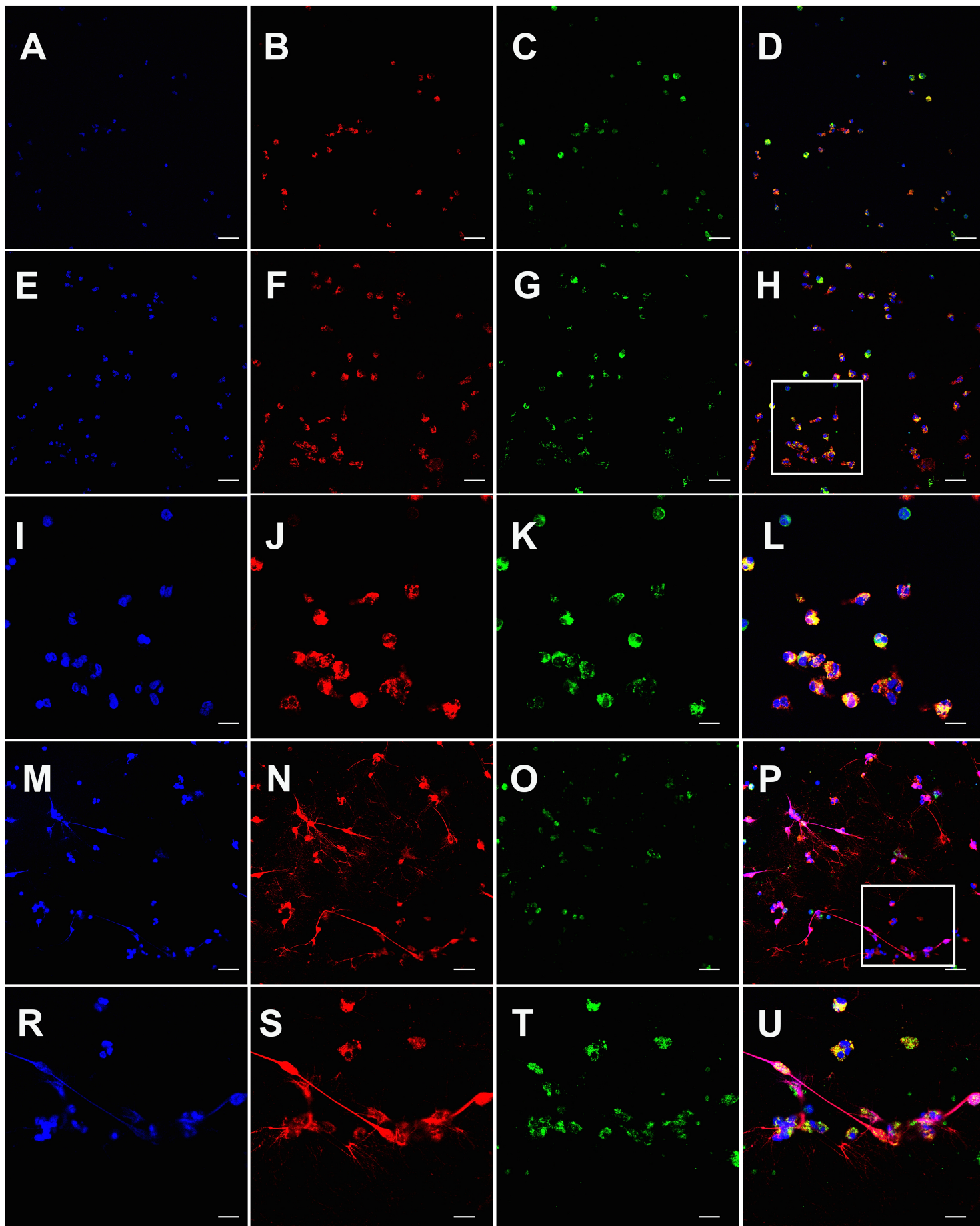


Figure 2.

**DAPI****MPO****H3****MERGED****ATCC control****A****B****C****D****kfu<sup>-</sup>ybtS<sup>-</sup>****E****F****G****H****kfu<sup>-</sup>ybtS<sup>-</sup>****I****J****K****L****kfu<sup>+</sup>-ybtS<sup>+</sup>****M****N****O****P****kfu<sup>+</sup>-ybtS<sup>+</sup>****R****S****T****U**

**Table 1:** Clinical characteristics of the patients infected with colistin resistant *K.pneumoniae*

<b>Patient</b>	<b>Total (n=142) Median (range)</b>	<b>ST101 n=80 n (%)</b>	<b>ST395 n=16 n (%)</b>	<b>Others*(n=46) n (%)</b>
Age	61 (0-91)	63 (0-86)	62 (30-84)	53 (0-91)
Female Gender	60 (42)	34 (43)	7 (44)	19 (41)
Bacteremia	61 (43)	33 (41) P=0.852	10(63) P=0.147	18 (39)
VAP	67 (47)	44 (55) P=0.009	9(56) P=0.079	14 (30)
Mortality	95 (67)	61 (76) P=0.002	12(75) P=0.082	22 (48)
30-day mortality	72(51)	46 (58) P=0.005	12(75) P=0.003	14 (30)
Being in ICU	119 (84)	68 (86) P=0.323	15(94) P=0.261	36 (78)

\*Non-ST101 and Non-ST395 ColR-Kp



**Table 2:** The virulence factors and carbapenemase types in the ColR-Kp ST101 and ST395 clones

	Mucooid type and Capsule type n (/%)				Iron metabolism n (/%)					Adhesins n (/%)		LPS synt n (/%)	Allantoin met n (/%)	Carbapenemase type n (/%)	
	<i>RmpA</i>	<i>MagA</i>	<i>K2Wzy</i>	<i>K5wzx</i>	<i>FyuA</i>	<i>Kfu</i>	<i>lutA</i>	<i>ybtS</i>	<i>entB</i>	<i>mrkD</i>	<i>FimH</i>	<i>WabG</i>	<i>AllS</i>	OXA-48	NDM-1
ST101 N=80	71 (89)	6 (8)	31 (39)	0	79 (99)	79 (99)	4 (5)	79 (99)	80 (100)	79 (99)	79 (99)	80 (100)	0	76 (95)	3 (4)
p	0.005	1	0.707		0.553	<0.001	0.285	<0.001		0.059	0.024	0.365		P=0.00	P<0.001
ST395 n=16	14 (88)	0	9 (56)	0	15 (94)	15 (94)	1 (6)	15 (94)	15 (100)	15 (94)	16 (100)	16 (100)	0	5 (31)	14 (88)
p	0.194	0.565	0.401		1	0.012	1	0.012		1	0.315	1		P=0.002	P<0.001
Others n=46*	32 (68)	23 (49)	20 (43)	0	45 (96)	28 (60)	5 (11)	28 (60)	47 (100)	43 (92)	42 (89)	46 (98)	0	36 (77)	14 (30)

\*Non ST101 and NonST395 ColR-Kp