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| 1 | A novel risk stratification model based on the Children's Hepatic Tumors International Collaboration- |
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| 2 | Hepatoblastoma Stratification and deoxyribonucleic acid methylation analysis for hepatoblastoma |
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33 Abstract

34 Introduction: Hepatoblastoma (HB) is the most common pediatric liver tumor, and epigenetic 35 aberrations may be important in HB development. Recently, the Children's Hepatic Tumors 36 International Collaboration-Hepatoblastoma Stratification (CHIC-HS) developed risk stratification 37 based on clinicopathological factors. This study aimed to construct a more accurate model by 38 integrating CHIC-HS with molecular factors based on DNA methylation.

Methods: HB tumor specimens (N=132) from patients treated with the Japanese Pediatric Liver Tumors Group-2 protocol were collected and subjected to methylation analysis by bisulfite pyrosequencing. Associations between methylation status and clinicopathological factors, overall survival (OS), and event-free survival (EFS) were retrospectively analyzed. We investigated the effectiveness of the evaluation of methylation status in each CHIC-HS risk group and generated a new risk stratification model.

45 **Results:** Most specimens (82%) were from post-chemotherapy tissue. Hypermethylation in ≥ 2 of the 46 four genes (RASSF1A, PARP6, OCIAD2, and MST1R) was significantly associated with poorer OS 47 and EFS. Multivariate analysis indicated that ≥ 2 methylated genes was an independent prognostic 48 factor (hazard ratios of 6.014 and 3.684 for OS and EFS, respectively). Two or more methylated genes 49 was also associated with poorer OS in the CHIC-very low (VL)-/low (L)-risk and CHIC-intermediate 50 (I) risk groups (3-year OS rates were 83% vs. 98% and 50% vs. 95%, respectively). The 3-year OS 51 rates of the VL/L, I, and high-risk groups in the new stratification model were 98%, 90%, and 62% 52 (vs. CHIC-HS [96%, 82%, and 65%, respectively]), optimizing CHIC-HS.

53 Conclusions: Our proposed stratification system considers individual risk in HB and may improve
 54 patient clinical management.

55

56 Keywords: Hepatoblastoma, CHIC, DNA methylation, Biomarker, Risk stratification

57 Introduction

58 Hepatoblastoma (HB) is the most common liver tumor in children, mostly occurring in those <3 years 59 old. Its annual incidence is 1.5 cases per million [1]. HB treatment comprises stratification based on 60 clinicopathological factors, surgery for complete resection, and cisplatin-based chemotherapy [2]. To 61 date, four study groups, namely, the Children's Oncology Group, International Childhood Liver 62 Tumors Strategy Group, Society for Pediatric Oncology and Hematology, and Japanese Pediatric Liver 63 Tumors Group (JPLT), have played a central role in conducting clinical studies according to individual 64 stratification based on clinicopathological factors, such as the PRETreatment EXTent of disease 65 (PRETEXT) group, metastatic disease, serum alpha-fetoprotein (AFP) levels, and treatment regimens 66 [3–6]. In these studies, the overall survival (OS) was approximately 80%. However, the prognosis of 67 high-grade malignant cases, such as metastatic cases, remains poor, and long-term toxicity associated 68 with chemotherapy remains a serious challenge [2,7]. Therefore, the importance of providing 69 treatment without excesses and deficiencies for properly stratified patients is increasing. Thus, the 70 Children's Hepatic Tumors International Collaboration-Hepatoblastoma Stratification (CHIC-HS), a 71 new international stratification system that integrates various clinicopathological factors, has been 72 recently established based on a large-scale CHIC database (N=1,605), and the Pediatric Hepatic 73 International Tumor Trial using CHIC-HS is currently underway [8].

74 The stratification of high-grade malignant cases by molecular markers has been conducted through 75 comprehensive expression analysis [9–13]. HB is a tumor with a few mutations (2.9–3.9 76 mutations/tumor) [11,14]; hence, epigenetic alterations play an important role in HB development. We 77 have particularly focused on aberrant DNA methylation and speculated that the silencing of tumor 78 suppressor genes due to DNA hypermethylation increases the malignancy of HB. Previously, we have 79 revealed that the methylation status of RASSF1A, PARP6, OCIAD2, MST1R, and GPR180 is useful 80 for the prognostic stratification of HB [15-17]. This study aimed to establish a more accurate 81 stratification model by integrating CHIC-HS with molecular factors based on DNA methylation

- 82 analysis in a large Japanese cohort.
- 83

84 Material and Methods

85 **Patients and samples**

86 Genomic DNA was extracted from freshly frozen HB tumor tissues from 132 patients provided by the 87 JPLT. All patients underwent hepatectomy and pre- and/or postoperative chemotherapy in the JPLT 88 institutions between 1999 and 2012 according to the treatment regimens of the JPLT-2 [6]. The 89 specimens obtained from resection after preoperative chemotherapy were used for DNA extraction in 90 all cases except those that were resectable at diagnosis. Clinicopathological factors, such as age at 91 diagnosis, sex, AFP levels at diagnosis, PRETEXT, annotation factors, histology, and survival 92 information, were obtained from the JPLT database retrospectively. Annotation factors were evaluated 93 according to the criteria at the time of registration. The study protocol was approved by the ethics 94 committee of our institution. Informed consent was obtained from all patients by local physicians at 95 the participating institutions.

96

97 Bisulfite pyrosequencing

Methylation status was examined using bisulfite pyrosequencing as described previously [18]. The polymerase chain reaction and sequencing primers have been described previously [16,17]. Genomic DNA (500 ng) was modified with sodium bisulfite using an EpiTect[®] Bisulfite Kit (Qiagen, Hilden, Germany). Reactions were performed on a PSQ96MA system (Biotage, Uppsala, Sweden). The methylation rate (%) of each gene was defined as the average value of methylation levels at each CpG site included in the sequences analyzed by Pyro Q-CpG software (Biotage, Uppsala, Sweden).

104

105 Statistical analysis

106 Statistical analysis and data visualization were performed using GraphPad Prism 9 (GraphPad

107 Software, San Diego, CA) and EZR (Saitama Medical Center, Jichi Medical University, Saitama, 108 Japan), a graphical user interface for R (R Foundation for Statistical Computing, Vienna, Austria) [19]. 109 Receiver operating characteristic (ROC) analysis was used to determine adequate cutoff values for the 110 methylation rate to predict patient survival. OS was defined as the time from the date of diagnosis to 111 the date of death or last follow-up. Event-free survival (EFS) was defined as the time from the date of 112 diagnosis to the date of first relapse, death, diagnosis of secondary cancer, or the last follow-up, 113 whichever occurred first. The Kaplan-Meier method was used to construct the OS and EFS curves 114 and determine the estimated 3-year OS and EFS. The log-rank test was used to compare the OS and 115 EFS curves. The association between methylation status and clinicopathological factors was analyzed 116 using Fisher's exact test. Multivariate analysis of the association between methylation status and 117 clinicopathological factors found to be significant in the univariate analysis and survival time was 118 performed using Cox proportional hazards model. P<0.05 was considered statistically significant.

119

120 Results

121 **Patient characteristics**

A total of 132 patients were included in this study, with a median age of 18 months (range, 0–177) (Table 1). These patients represented 37% of cases enrolled in JPLT-2. There were no significant differences in patient charactersitics between the cohort of this study and overall JPLT-2 except for venous invasion and portal invasion [7].

126

127 Table 1. Clinicopathological factors in patients with hepatoblastoma (N=132).

| | Total (n=132) |
|-------------------------------|---------------|
| Age, months (median, [range]) | 18 [0–177] |

Age group

| <3 years | 105 |
|--|-------------------------|
| 3–7 years | 19 |
| ≥8 years | 8 |
| Sex (male/female) | 76/56 |
| Serum AFP, ng/mL (median, [range]) | 266,000 [110–7,653,000] |
| Serum AFP group | |
| $\leq 100 \text{ ng/mL}$ | 0 |
| 101–1,000 ng/mL | 5 |
| >1,000 ng/mL | 116 |
| NA | 11 |
| Clinical classification: CHIC-HS (VL/L/I/H) | 17/57/29/29 |
| Preoperative chemotherapy (Y/N, %) | 108/24 (82%) |
| Tumor characteristics | |
| PRETEXT stage (I/II/III/IV) | 13/44/50/25 |
| Venous invasion (Y/N, %) | 11/121 (9%) |
| Portal invasion (Y/N, %) | 6/126 (5%) |
| Extrahepatic extension (Y/N, %) | 2/130 (2%) |
| Multifocality (Y/N, %) | 19/113 (14%) |
| Rupture (Y/N, %) | 12/120 (9%) |
| Metastasis at diagnosis (Y/N, %) | 20/112 (15%) |
| Histology | |
| Fetal/embryonal | 23/11 |
| Mixed epithelial/mixed epithelial and mesenchymal/NA | 43/16/39 |

Outcome

| Deaths (Y/N, %) | 29/103 (22%) |
|-----------------|--------------|
| | |

AFP, alpha-fetoprotein; NA, non-available; CHIC-HS, Children's Hepatic Tumors International
Collaboration-Hepatoblastoma Stratification (VL, very low; L, low; I, intermediate; H, high risk);
PRETEXT, PRETreatment EXTent of disease.

131

132The patients were classified into risk groups according to CHIC-HS, with 17, 57, 29, and 29 in the133very low-risk, low-risk, intermediate-risk, and high-risk groups, respectively (Table 1). The 3-year OS134and EFS rates of each risk group were 100%, 94.7%, 81.8%, and 65.0% (*P*=0.001) and 93.8%, 83.8%,

135 78.6%, and 51.7% (*P*=0.004), respectively.

136

137 Association between clinicopathological factors and methylation status

138 Bisulfite pyrosequencing results revealed the following median methylation rates of RASSF1A, PARP6,

139 OCIAD2, MSTIR, and GPR180: 13.42% (range, 1.97-84.35%), 7.01% (0-65.38%), 5.91% (0-

140 82.16%), 7.73% (0-81.62%), and 1.61% (0-64.37%), respectively (Supplementary Fig. 1). ROC

141 analysis (Supplementary Fig. 2) determined the following cutoff values of *RASSF1A*, *PARP6*, *OCIAD2*,

142 and *MST1R*: 31.77, 9.93, 34.33, and 32.94, respectively. The cutoff value of *GPR180* was 2.34, which

143 was significantly low that it was within the error range of the pyrosequencer [20]. Thus, *GPR180* was

- 144 excluded from this study. According to the log-rank test, hypermethylation of RASSF1A, PARP6,
- 145 OCIAD2, and MST1R was a significant poor prognostic factor for OS and EFS (Fig. 1).



148 Fig. 1 Kaplan-Meier curves for overall survival (OS) (upper panel) and event-free survival (EFS)

149 (lower panel) of 132 patients with hepatoblastoma classified by the methylation status of four genes

150 (RASSF1A, PARP6, OCIAD2, and MST1R). The blue line indicates the unmethylated group, and the

151 red line indicates the methylated group. The 3-year (dashed line) OS and EFS are shown on the side

- 152 of the survival curve. The log-rank test was performed to compare the OS and EFS curves.
- 153
- 154 The association between the methylated or unmethylated groups of the four genes and the 155 clinicopathological factors is shown in Table 2.
- 156

157 Table 2. Association between the methylation status of four genes and clinicopathological factors in

158 patients with hepatoblastoma (N=132)

| | | RAS | SSF1 | | мо | T1D | | 00 | 1403 | | DA | חחנ | |
|--------------|----------|-----|------|------------|----|-----|------------|----|------|------------|-----|-----|------------|
| | | | A | <i>P</i> - | MS | IIK | <i>P</i> - | | AD2 | <i>P</i> - | PA. | KPO | <i>P</i> - |
| | | М | U | valu | М | U | valu | М | U | valu | М | U | valu |
| | | n= | n= | e | n= | n= | e | n= | n= | e | n= | n= | e |
| | | 43 | 89 | | 23 | 109 | | 21 | 111 | | 36 | 96 | |
| | 0-2 | 20 | 85 | | 8 | 97 | | 10 | 95 | | 17 | 88 | |
| Age group | I. | | | < 0.0 | | | <0.0 | | | <0.0 | | | < 0.0 |
| (years) | 3-7 | 16 | 3 | 01 | 9 | 10 | 01 | 9 | 10 | 01 | 14 | 5 | 01 |
| | ≥ 8 | 7 | 1 | | 6 | 2 | | 2 | 6 | | 5 | 3 | |
| Say | М | 22 | 54 | 0.34 | 9 | 67 | 0.06 | 12 | 64 | 1 | 16 | 60 | 0.08 |
| Sex | F | 21 | 35 | 9 | 14 | 42 | 4 | 9 | 47 | 1 | 20 | 36 | 5 |
| Serum AFF | Y | 7 | 15 | 0.00 | 3 | 19 | 0.54 | 1 | 21 | 0.11 | 3 | 19 | 0.07 |
| ≥1,000,000 | | | | 0.80 | | | 0.56 | | | 0.11 | | | 0.07 |
| ng/mL | N | 36 | 63 | 8 | 20 | 79 | 5 | 20 | 79 | 8 | 33 | 66 | 6 |
| Preoperative | Y | 37 | 71 | 0.47 | 17 | 91 | 0.37 | 18 | 90 | 0.76 | 28 | 80 | 0.45 |

| chemotherapy | N | 6 | 18 | 4 | 6 | 18 | 0 | 3 | 21 | 4 | 8 | 16 | 7 |
|----------------------------|---------------|----|----|-------|----|-----|------|----|-----|------|----|----|------|
| Tumor characterist | ics: | | | | | | | | | | | | |
| PRETEXT IV | Y | 14 | 11 | 0.00 | 7 | 18 | 0.14 | 4 | 21 | 1 | 10 | 15 | 0.13 |
| (Y/N) | N | 29 | 78 | 9 | 16 | 91 | 5 | 17 | 90 | I | 26 | 81 | 6 |
| Vanada | Y | 8 | 3 | 0.00 | 4 | 7 | 0.10 | 3 | 8 | 0.38 | 7 | 4 | 0.00 |
| venous invasion | N | 35 | 86 | 5 | 19 | 102 | 0 | 18 | 103 | 1 | 29 | 92 | 9 |
| Dertel inservice | Y | 4 | 2 | 0.08 | 3 | 3 | 0.06 | 1 | 5 | 1 | 4 | 2 | 0.04 |
| Portal invasion | N | 39 | 87 | 8 | 20 | 106 | 5 | 20 | 106 | 1 | 32 | 94 | 7 |
| Extrahepatic | Y | 2 | 0 | 0.10 | 0 | 2 | 1 | 0 | 2 | 1 | 1 | 1 | 0.47 |
| extension | N | 41 | 89 | 4 | 23 | 107 | 1 | 21 | 109 | 1 | 35 | 95 | 3 |
| Multifacality | Y | 10 | 9 | 0.06 | 5 | 14 | 0.32 | 4 | 15 | 0.50 | 9 | 10 | 0.04 |
| Multifocality | Ν | 33 | 80 | 3 | 18 | 95 | 5 | 17 | 96 | 4 | 27 | 86 | 9 |
| Duratura | Y | 5 | 7 | 0.52 | 4 | 8 | 0.22 | 3 | 9 | 0.40 | 5 | 7 | 0.30 |
| Kupture | Ν | 38 | 82 | 5 | 19 | 101 | 2 | 18 | 102 | 5 | 31 | 89 | 7 |
| Metastasis at | Y | 14 | 6 | < 0.0 | 5 | 15 | 0.34 | 7 | 13 | 0.01 | 8 | 12 | 0.18 |
| diagnosis | Ν | 29 | 83 | 01 | 18 | 94 | 3 | 14 | 98 | 9 | 28 | 84 | 0 |
| HB histology: | | | | | | | | | | | | | |
| | Fetal | 6 | 17 | | 5 | 18 | | 1 | 22 | | 7 | 16 | |
| Embry | /onal | 4 | 7 | | 2 | 9 | | 2 | 9 | | 4 | 7 | |
| Mixed epith | nelial | 16 | 27 | 0.51 | 9 | 34 | 0.59 | 8 | 35 | 0.42 | 12 | 31 | 0.77 |
| Mixed epithelia mesench | l and ymal | 3 | 13 | 6 | 16 | 15 | 7 | 28 | 14 | 5 | 3 | 13 | 7 |
| | NA | 14 | 25 | | 0 | 33 | | 0 | 31 | | 10 | 29 | |

P-values were calculated using Fisher's exact test.

160 AFP, alpha-fetoprotein; Y, yes; N, no; PRETEXT, PRETreatment EXTent of disease; NA, non-

161 available; M, methylated; U, unmethylated.

162

163 Methylation of the four genes was found in patients aged >3 years. RASSF1A methylation was 164 significantly higher in patients with PRETEXT IV, venous invasion, and metastasis at diagnosis. 165 Patients with methylated PARP6 were predominantly found to have portal and venous invasion and 166 multifocality. Methylated OCIAD2 was more frequently found in patients with metastasis at diagnosis 167 than in those who did not. The methylation status of any gene was not significantly associated with 168 pathological subtype (Table 2). 169 170 Usefulness of assessing the number of methylated genes for predicting prognosis 171 As the number of methylated genes in the four genes (RASSF1A, PARP6, OCIAD2, and MST1R) 172 increased, both OS and EFS gradually worsened (Supplementary Fig. 3). We determined a cutoff value 173 of 2 from ROC analysis, and the patients who had \geq 2 methylated genes showed a significantly poorer 174 prognosis in OS and EFS (Fig. 2A).

The number of methylated genes



177 Fig. 2 A) Kaplan-Meier curves for overall survival (OS) (left panel) and event-free survival (EFS) 178(right panel) of 132 patients with hepatoblastoma (HB) classified by the number of the methylated 179 genes. The blue line is the group with ≤ 2 methylated genes, and the red line is the group with ≥ 2 180 methylated genes. The 3-year (dashed line) OS and EFS are shown on the side of the survival curve. 181 The log-rank test was performed to compare the OS and EFS curves. B) Forest plots of the hazard 182 ratios of clinicopathological factors (blue) and molecular factors (red and orange) based on 183 methylation analysis for OS (left panel) and EFS (right panel) according to univariate Cox hazard 184 regression analysis. The diamonds represent hazard ratios, and the lines represent 95% confidence 185 intervals. *P<0.05.

176

Α

187 According to univariate Cox proportional hazards regression analysis, the presence of ≥ 2

188 methylated genes had the highest hazard ratio for OS (mean, 7.005; range, 3.177-15.45; *P*<0.001) 189 among the existing clinicopathological factors and methylation assessment of every single gene (Fig. 190 2B). Multivariate Cox proportional hazards regression analysis revealed that the number of methylated 191 genes ≥ 2 is a significant independent prognostic factor for OS and EFS (Table 3). 192

193 Table 3. Multivariate Cox proportional hazards regression analysis for overall survival (OS) and event-

194 free survival (EFS)

| OS | HR | 95% CI | <i>P</i> -value |
|-------------------------------------|-------|-------------|-----------------|
| Age \geq 3 years | 0.574 | 0.219-1.505 | 0.259 |
| Metastasis | 2.351 | 1.029–5.372 | 0.043 |
| VPEFR+ | 1.249 | 0.504-3.098 | 0.631 |
| PRETEXT IV | 1.923 | 0.837-4.419 | 0124 |
| Number of methylated genes ≥ 2 | 6.014 | 2.367-15.28 | < 0.001 |
| | | | |
| EFS | HR | 95% CI | <i>P</i> -value |
| Metastasis | 2.212 | 1.070-4.574 | 0.032 |
| Number of methylated genes ≥ 2 | 3.684 | 1.847–7.350 | < 0.001 |

HR, hazard ratio; CI, confidence interval; PRETEXT, PRETreatment EXTent of disease; VPEFR+, at
least one of the PRETEXT annotation factors (involvement of hepatic vein, involvement of portal vein,
extrahepatic tumor extension, multifocal liver tumor, and tumor rupture at diagnosis) was present.

195

200 Integration of CHIC-HS and DNA methylation analysis

201 Subgroup analysis revealed that in the CHIC-very low-risk group, the patients who had ≥ 2

202 methylated genes had a significantly worse prognosis in OS (3-year OS: 98% vs. 83%, P=0.011) and

203 EFS (3-year EFS: 90% vs. 66%, P=0.0046) (Fig. 3A).



Fig. 3 A) Kaplan–Meier curves for overall survival (OS) (upper panel) and event-free survival (EFS) (lower panel) of 132 patients with hepatoblastoma (HB) classified by the number of the methylated genes in each Children's Hepatic Tumors International Collaboration-Hepatoblastoma Stratification risk group. The blue line is the group with <2 methylated genes, and the red line is the group with \geq 2 methylated genes. The 3-year (dashed line) OS and EFS are shown on the side of the survival curve. The log-rank test was performed to compare the OS and EFS curves. B) Distribution of the methylation status of four genes and clinicopathological factors in 132 patients with HB.

214 Patients who had ≥ 2 methylated genes in the intermediate-risk group had a significantly worse OS 215 (3-year OS: 95% vs. 50%, P=0.011) and tended to have a worse EFS (3-year EFS: 90% vs. 50%, 216 P=0.053) (Fig. 3A). In the CHIC-high-risk group, patients who had ≥ 2 methylated genes tended to 217 have a worse OS (3-year OS: 79% vs. 57%, P=0.053) and EFS (3-year OS: 80% vs. 37%, P=0.101); 218 however, the differences were not statistically significant (Fig. 3A). These findings suggest that the 219 evaluation of the number of methylated genes in the four genes could optimize the stratification by 220 CHIC-HS. The distribution of the methylation status of the four genes and clinicopathological factors 221 are shown in Fig. 3B. This indicates that the evaluation of the methylation status of the four genes 222 enabled us to select the patients with poor prognosis, whose prognosis was not appropriately predicted 223 by the clinicopathological factors used to define the risk stratification in CHIC-HS. For example, the 224 four patients from the leftmost column of the CHIC-low group had poor prognoses, even though they 225 were stratified into the good prognosis group. However, in the methylation analysis, they were 226 classified in the poor prognosis group with ≥ 2 methylated genes (Fig. 3B). Based on the new 227 stratification system that integrates CHIC-HS and DNA methylation analysis data (mCHIC-HS), 228 patients in the CHIC-very low-/low- and CHIC-intermediate-risk groups were reclassified according 229 to the presence or absence of ≥ 2 methylated genes (Fig. 4A).



В

CHIC-HS





233 Collaboration-Hepatoblastoma Stratification (mCHIC-HS). Methylation analysis of four genes is 234 performed in the CHIC-very low-/low- and intermediate-risk groups and those groups are reclassified 235 according to the number of methylated genes. VL, very low; L, low; I, intermediate; H, high. B) 236 Kaplan–Meier curves for overall survival (OS) (left panel) and event-free survival (EFS) (right panel) 237 of 132 patients with hepatoblastoma stratified by CHIC-HS (upper panel) and mCHIC-HS (lower 238 panel). The blue line is the very low-/low-risk group, the orange line is the intermediate-risk group, 239 and the red line is the high-risk group. The 3-year (dashed line) OS and EFS are shown on the side of 240 the survival curve. The log-rank test was performed to compare the OS and EFS curves.

241

242 The 3-year OS in the mCHIC-very low-/low-risk group increased from 96% to 98%, the number of 243 patients decreased, and the population was redefined with a better prognosis (Fig. 4B). In contrast, the 244 3-year OS in the mCHIC-high-risk group decreased from 65% to 62%, the number of patients 245 increased, and the population had a worse prognosis (Fig. 4B). The area under the ROC curve (AUC) 246 values of mCHIC-HS for 3-year OS and EFS were 0.817 (95% CI: 0.725-0.908) and 0.731 (95% CI: 247 0.626-0.836), which were higher than those of CHIC-HS (AUC: 0.762 [95% CI: 0.649-0.876] and 248 0.687 [95% CI: 0.569-0.804], P=0.087 and 0.128, respectively); however, there was no significant 249 difference.

250

251 Discussion

This study reconfirmed the usefulness of the methylation-based molecular prognostic markers we have previously identified in a large Japanese cohort and established a more precise stratification model by combining CHIC-HS with methylation analysis. Interestingly, the patients who had more methylated genes out of the four genes had poorer prognoses, and having \geq 2 methylated genes was a significant poor prognostic factor identified in the multivariate Cox proportional hazard regression model. Patients who had methylated genes had a significantly poorer prognosis and were older. Aging is one of the causes of inducing aberrant methylation [21]. We compared the methylation rates of the four genes in each age group and found that all genes, except *OCIAD2*, showed higher methylation rates in older patients (Supplementary Fig. 4). Age-related methylation may be the molecular background for age to be a clinically important prognostic factor in HB.

262 Recent studies have proposed prognostic models integrating CHIC-HS and the molecular prognostic 263 factors for HB. Carrillo-Reixach et al. found that a population with overexpressed 14q32 genes of the DLK1-DIO3 locus and a specific methylation status (Epigenetic-Cluster B: Epi-CB) had a poor 264 265 prognosis through comprehensive analysis. They proposed molecular risk stratification (MRS-HB), a 266 prognostic prediction model that classifies patients into three groups (MRS-1, MRS-2, and MRS-3) 267 according to the combination of their presence or absence [22]. They combined CHIC-HS with MRS-268 HB to improve the ability to discriminate between low- and high-risk patients [22]. The Epi-CB group 269 was characterized by the hypermethylation of CpG islands [22]. Since the four genes we examined in 270 this study were also extracted as genes that show hypermethylation of the CpG islands in the promoter 271 region [17], these combinations may reflect such methylation tendencies and function as prognostic 272 factors. Cairo et al. presented a risk classification model based on the combination of CHIC-HS and 273 16-gene signature and reclassified the CHIC-intermediate-risk and CHIC-high-risk groups into 274 intermediate-risk C1 (IR-C1) and high-risk C2 (HR-C2) according to the presence of either the C1 or 275 C2 subtype of the 16-gene signature [13]. This model allows the identification of lower-risk patients 276 from the high-risk group and could reduce unnecessary high-intensity treatment [13].

Herein, we propose a novel risk stratification model based on methylation analysis by bisulfite pyrosequencing methods called mCHIC-HS, which could optimize CHIC-HS. According to the CHIC-HS, which is solely based on clinical factors, there were patients in our cohort with poor prognoses who were incorrectly classified in the very low-/low-risk and would be treated insufficiently, despite biologically highly malignant tumors. However, by selecting these cases based on the methylation analysis of the four genes and redefining them as the mCHIC-intermediate-risk groups 283 according to our model, treatment of appropriate intensity can be provided to these patients. Similarly, 284 in the CHIC-intermediate-risk group, patients with a prognosis equivalent to the CHIC-high-risk group 285 could be selected by methylation analysis and redefined as the mCHIC-high-risk group. Compared 286 with previously proposed models, our model exhibits two major differences. First, it was based on the 287 evaluation of methylation rates using a pyrosequencer. Bisulfite pyrosequencing is a highly 288 quantitative and reproducible method; thus, it is reliable for clinical applications. Moreover, when 289 considering the clinical application of the integrated model and collection and analysis of samples at 290 a central facility, the extraction and analysis of DNA from the biopsy samples is advantageous, as 291 DNA is more stable than RNA. It is also feasible that the entry hurdle for introduction is lower than 292 the comprehensive analysis in terms of cost. Although the cost of comprehensive analysis is gradually 293 declining, it remains expensive. For the evaluation of four genes per sample, we estimate that 294 pyrosequencing is about 1 % of the the costs of comprehensive analysis. Therefore, processing large 295 numbers of samples is more economical. In addition, the small number of genes to be evaluated is also 296 an advantage. Second, our model focused on selecting higher-risk patients from the lower-risk group. 297 Cairo et al.'s model [13] did not stratify the CHIC-very low-/low-risk group. Therefore, a more useful 298 model may be obtained by combining the methylation analysis of the four genes with the expression 299 analysis of the 16 genes.

300 This study had some limitations. First, this was a retrospective study. Therefore, there is a difference 301 between the definition of the annotation factors collected by JPLT-2 and those adopted by CHIC [6,23]. 302 For example, in the CHIC protocol, blood vessels encircled by tumors by >180° are considered 303 positive for vascular invasion; thus, some cases that were negative for vascular invasion in the JPLT-304 2 may be considered positive by CHIC. Therefore, in this study, there is a possibility that the low-risk 305 group included cases that were originally in the intermediate-risk group. Second, 82% of the 306 specimens used in this analysis were modified with preoperative chemotherapy. Biopsy specimens 307 unaffected by chemotherapy will be used for analysis in clinical applications; thus, our results may 308 not be applicable directly. When applying this model to clinical practice, validation should be 309 performed using specimens that have not been modified by chemotherapy. However, we found no 310 significant difference in the methylation rates of the four genes between those who received 311 preoperative chemotherapy and those who did not in this cohort (Supplementary Fig. 5). Furthermore, 312 we validated whether the evaluation of the methylation status of the four genes could stratify the 313 prognosis, using the results of methylation bead array using biopsy specimens before chemotherapy 314 enrolled in JPLT-2 reported by Nagae et al [12]. The OS was significantly worse in the methylated 315 group (Supplementary Fig. 6A). Using cases included both in this cohort and the study by Nagae et al. 316 [12], we also assessed the correlation between the beta-value obtained from the biopsy specimens 317 before chemotherapy and the methylation rate obtained from the specimens after chemotherapy. A 318 high correlation was found in all four genes (Supplementary Fig. 6B). Therefore, it is expected that 319 our model will also prove useful when validated with biopsy specimens before chemotherapy. Finally, 320 a tailor-made therapy for specific pathways and molecules in each stratified population was not 321 proposed; this would be addressed in the future.

322

323 Conclusions

We proposed a novel risk stratification model that integrates CHIC-HS with realistically feasible methylation analysis-based molecular prognostic markers to achieve more appropriate risk-adaptive therapy. We aim to conduct a prospective study using this model to verify its effectiveness in future trials.

328

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339 Data Availability Statement

- 340 The data that support the findings of this study are available from the corresponding author upon
- 341 reasonable request.
- 342

343 **Conflicts of interest**

344 The authors report no conflicts of intrest.

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