

1 **Title: *ESR1* F404 mutations and acquired resistance to fulvestrant in *ESR1***
2 **mutant breast cancer.**

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17 Running title:

18 Mutations of *ESR1* at F404 confer fulvestrant resistance.

19 Keywords:

20 Fulvestrant, acquired resistance, breast cancer.

21 Additional information.

22 BK is supported by Cancer Research UK Grant A25161 and Institutional funding from
23 Breast Cancer Now. AP, MTHA, LXS and NCT are supported by funding from Breast
24 Cancer Now. Research support for J.A.K. and Y.H. was provided by the National
25 Institutes of Health (NIH/NCI, 1R01 CA220284) and the Breast Cancer Research
26 Foundation (BCRF-084). SC is supported by NIH Cancer Center Support Grant P30-
27 CA008748 and NIH R01CA245069.

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32 Conflict of interest disclosure statement:

33 BK has received a grant from Cancer Research UK, and honoraria from Guardant
34 Health outside the submitted work. AR has received honoraria for advisory boards and
35 talks: Novartis, Astra Zeneca, Daiichi-Sankyo, Roche, Pfizer, Lilly, Gilead, MSD,
36 Seagen, Stemline. IRM has paid consultancy for Roche, Novartis, Pfizer, Eli Lilly,
37 Pierre Fabre, Daiichi Sankyo, and AstraZeneca, and received travel/conference
38 expenses from Roche, Eli Lilly, and Daiichi Sankyo. SC has received research grant
39 support from Daiichi-Sankyo, AstraZeneca, and Ambrx; financial interests in Totus
40 Medicines and Odyssey Biosciences; and consulting fees from Novartis, AstraZeneca,
41 Lilly, and Paige.ai. NT has received advisory board honoraria from Astra Zeneca,
42 Bristol-Myers Squibb, Lilly, Merck Sharpe and Dohme, Novartis, Pfizer,
43 Roche/Genentech, GlaxoSmithKline, Zentalis pharmaceuticals, Repare therapeutics,
44 Arvinas, Inivata and research funding from Astra Zeneca, BioRad, Pfizer,

45 Roche/Genentech, Merck Sharpe and Dohme, Guardant Health, Invitae, Inivata,
46 Personalis, Natera. AP, MTHA, LXS, RC, HS, LM, LK, HJ, JB, YH, YW, and JAK
47 declare no conflict of interest.

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49 Word count: 4988, including 6 figures and 1 table.

50

51 **Abstract**

52 Fulvestrant is used to treat patients with hormone receptor positive advanced breast
53 cancer but acquired resistance is poorly understood. PlasmaMATCH Cohort A
54 (NCT03182634) investigated the activity of fulvestrant in patients with activating *ESR1*
55 mutations in circulating tumor DNA (ctDNA). Baseline *ESR1* mutations Y537S
56 associated with poor, and Y537C with good outcome. Sequencing of baseline and
57 EOT ctDNA samples (n=69) revealed 3/69 (4%) patients acquired novel *ESR1* F404
58 mutations (F404L, F404I, F404V), in *cis* with activating mutations. *In silico* modelling
59 revealed that *ESR1* F404 contributes to fulvestrant binding to ER α through a *pi*-
60 stacking bond, with mutations disrupting this bond. *In vitro* analysis demonstrated that
61 single F404L, E380Q, and D538G models were less sensitive to fulvestrant, while
62 compound mutations D538G+F404L and E380Q+F404L were resistant. Several oral
63 ER α degraders were active against compound mutant models. We have identified a
64 resistance mechanism specific to fulvestrant, that can be targeted by treatments in
65 clinical development.

66

67 **Statement of significance**

68 Novel F404 *ESR1* mutations may be acquired to cause overt resistance to fulvestrant
69 when combined with pre-existing activating *ESR1* mutations. Novel combinations of
70 mutations in the ER ligand binding domain may cause drug-specific resistance,
71 emphasising the potential of similar drug-specific mutations to impact efficacy of oral
72 ER degraders in development.

73

74 **Introduction**

75 For estrogen receptor positive (ER+) breast cancer, which accounts for 75% of breast
76 cancers, hormonal therapy forms the backbone of treatment. In advanced breast
77 cancer (ABC), the selective estrogen receptor degrader (SERD) fulvestrant is licenced
78 for use in the first and second line, both as a single agent, and in combination with
79 targeted therapies including CDK4/6 inhibitors and alpelisib(1-3). Fulvestrant acts by
80 competitively inhibiting the binding of estradiol to ER α (4), impeding receptor
81 dimerization and nuclear localisation(5,6), preventing the activation of estrogen
82 response elements within the regulatory regions of estrogen sensitive genes.
83 Fulvestrant-bound ER is also unstable, leading to increased degradation of the
84 estrogen receptor(6). Although a standard therapy for patients with ABC, few studies
85 have investigated mechanisms of resistance to fulvestrant.

86 Activating estrogen receptor mutations (*ESR1* mutations) are acquired through prior
87 aromatase inhibitor therapy for ABC(7), with circulating tumour DNA analysis
88 demonstrating that the mutations are present in 15-40% of patients treated with prior
89 aromatase inhibition(8-10). Activating *ESR1* mutations, that cluster at specific amino
90 acids in the ligand binding domain (LBD), result in ligand independent activation of
91 *ESR1*. Fulvestrant binding to mutant ER α is partially impaired, with higher
92 concentrations of fulvestrant required to inhibit mutant ER α *in vitro*(5,11). It is
93 considered unlikely that fulvestrant achieves concentrations required to optimally
94 inhibit mutant *ESR1* in the clinic, and new oral SERDS that do fully inhibit *ESR1*, such
95 as elacestrant, have improved activity as single agents(12-14).

96 The plasmaMATCH trial investigated the activity of a range of targeted treatments in
97 patients selected based on plasma circulating tumour DNA (ctDNA) testing. Cohort A

98 enrolled patients with ER+ ABC with activating *ESR1* mutations for treatment with
99 fulvestrant. Prior clinical research suggests a fulvestrant dose response (15,16), and
100 patients were treated with extended dose fulvestrant (500mg) given every 2 weeks,
101 twice as frequent as standard dosing, to increase fulvestrant exposure and target
102 *ESR1* mutant cancers. Median progression free survival was 2.2 months (17). Here
103 we investigate the genomic associations of response and resistance to fulvestrant in
104 Cohort A of the plasmaMATCH trial. We demonstrate that baseline *ESR1* variants are
105 predictive of response to fulvestrant, with frequent acquisition of potentially targetable
106 mutations. We identify mutations at F404 in estrogen receptor, that occur in *cis* with
107 classical activating *ESR1* mutations, and are acquired as a mechanism of resistance
108 to fulvestrant, identifying the first mechanism of acquired resistance specific to
109 fulvestrant.

110

111 Results

112 Baseline *ESR1* variants and differential fulvestrant activity

113 Of the 84 patients enrolled onto Cohort A treated with extended dose fulvestrant, 79
114 (94%) had targeted sequencing results available for analysis, all of whom had
115 detectable ctDNA. The observed baseline mutations reflected the profile of aromatase
116 inhibitor pre-treated advanced breast cancer. Mutations in *ESR1* (96%, 76/79
117 patients), *PIK3CA* (43% 34/79 patients) and *TP53* (30% 24/79 patients) were the most
118 commonly identified at baseline (Figure 1A). Median PFS in patients with neither
119 *PIK3CA* nor *TP53* mutations was not significantly altered (Supplementary Figure 1A
120 and B). The most frequent activating *ESR1* alterations in the Cohort were D538G (n =
121 44, 55.7%), Y537S (n = 34, 43.0%), E380Q (n = 22, 27.9%), Y537N (n = 22, 27.9%),
122 Y537C (n = 11, 13.9%), L536R (n = 7, 8.9%) and S463P (n = 4, 5.1%; Figure 1B). We
123 assessed the impact baseline *ESR1* mutations had on fulvestrant efficacy. Patients
124 with detectable baseline Y537C alterations had longer median progression-free
125 survival (PFS) on fulvestrant compared to patients with other baseline *ESR1* mutations
126 (5.6 month detected versus 2.0 months not detected, HR 2.8 [95% CI 1.3 to 5.9];
127 Figure 1C *left* panel). Conversely, patients with a baseline Y537S mutation had shorter
128 median PFS (1.8 detected versus 3.5 months not-detected, HR 0.53 (95% CI 0.33 to
129 0.86; Figure 1C *right* panel). Median PFS in patients on fulvestrant with a baseline
130 D538G, E380Q, and Y537N mutations was not significantly different compared to
131 patients with other baseline *ESR1* mutations (Supplementary Figure 1C-E). To assess
132 the impact of common activating mutations on fulvestrant activity *in vitro*, we
133 conducted a screen of MCF7 cells with transient transfection of mutant *ESR1*
134 expression constructs, assessing the impact of mutations on fulvestrant activity on an
135 ERE reporter construct. Matching the clinical observations, Y537S induced a high level

136 of resistance to fulvestrant, whilst Y537C was more sensitive (Figure 1D). This
137 provides further evidence for fulvestrant resistance of Y537S mutations, adding to the
138 prior data *in vitro* and *in vivo* (11,18-20), and clinical trial data (21).

139 Acquired mutations on fulvestrant.

140 Progression plasma DNA was sequenced in 70 patients, of whom 69 had a baseline
141 plasma sequenced (69/84, 82% enrolled patients). Pathogenic alterations were
142 acquired in 51% patients (35/69), particularly within estrogen and PI3K/AKT signalling
143 pathways (Figure 2A and Supplementary Figure 1F), including 17/69 (25%) patients
144 who acquired potentially targetable alterations, in genes including *PTEN*, *BRCA1/2*,
145 *PIK3CA*, *HER2* and *BRAF* (Figure 2A). The total number of acquired alterations was
146 not different in patients who gained clinical benefit (PR/SD \geq 24 weeks) versus those
147 that did not (Supplementary Figure 1G). For *ESR1* mutations, the majority of patients
148 (n = 50, 72.5%) maintained their respective poly- or monoclonal *ESR1* mutations, with
149 5.8% (n = 4) acquiring polyclonal disease through the course of treatment. In all 14/69
150 (20%) patients acquired *ESR1* mutations at progression, including with 6/69 (9%)
151 patients who acquired L536 mutations. This matched the result of our *ESR1* activation
152 mutation ERE screen, in which L536 mutations were the most resistant to fulvestrant
153 (Figure 1D), likely suggesting that L536 clones were selected through treatment due
154 to fulvestrant resistance.

155 Identification and investigation of *ESR1* F404, a novel acquired mutation.

156 We noted that 3/69 (4%) patients acquired mutations at F404 on progression (Figure
157 2B), a mutation that had not previously been described amongst *ESR1* mutations,
158 including one patient with five separate F404 mutations. The F404 locus is situated
159 within the LBD of *ESR1*, with codon TTT encoding the phenylalanine (Figure 2C). All
160 three patients had either a partial response or stable disease as their best response

161 on fulvestrant. Of the patients with PFS \geq 16 weeks, 12% acquired F404 mutations.
162 We additionally identified H356Y mutations in 3/69 (4%) patients, all in patients with
163 an activating L536P mutation, although subsequent functional experiments suggested
164 H356Y mutation did not impact ER α function (Supplementary Figure 2A and 2B).

165 All 3 of the patients with acquired F404 mutations harboured activating *ESR1* E380Q
166 mutations at baseline, whilst two of the patients also had baseline D538G mutations.
167 *Cis/trans* analysis of the three patients with co-mutant E380Q (a loci close enough to
168 F404 to be able to establish *cis/trans* patterns in ctDNA) revealed that 6/7 F404 base
169 changes detected in these patients occurred in *cis* with the E380Q mutation (Figure
170 2D; Supplementary Figure 3). The patient with the mutation in *trans* with E380Q had
171 additional *ESR1* mutations (D538G, S463P and Y537N), and it is possible that the
172 F404 mutation was in *cis* with one of those mutations.

173 In the absence of prior fulvestrant exposure F404 mutations were very rare. Only 1/800
174 (0.1%) screening plasma samples from the plasmaMATCH study had an F404
175 mutation, and this one patient had previously received fulvestrant and had activating
176 mutations in *ESR1* at D538G, E380Q, S463P and Y537N. Furthermore, we
177 interrogated other ctDNA data sets. In the PIPA combination study of fulvestrant,
178 palbociclib and taselisib, 1/16 (6%) patients acquired an F404 mutation at progression
179 (22). In the SERENA-1 study of the novel SERD camizestrant, baseline F404
180 mutations were identified in 2/214 (1%) patients both of whom had had prior fulvestrant
181 exposure and had other activating *ESR1* mutations(23). Therefore, F404 mutations
182 were found only with prior fulvestrant exposure, only in combination with other
183 classical activating *ESR1* mutations, and occurred in *cis* with activating mutations
184 expected to result in a translated protein that would carry the compound amino acid
185 changes.

186 The F404 amino acid residue contains an aromatic ring that, when estrogen is bound
187 to the receptor, forms a *pi*-stacking bond with a corresponding aromatic ring within
188 estrogen. Within the patients who harboured a F404 alteration, all base changes lead
189 to substitution of phenylalanine with one of either isoleucine, valine, or leucine, all of
190 which lack an aromatic ring (Figure 2E). Fulvestrant has a similar structure to estrogen
191 and includes an aromatic ring that forms a *pi*-stacking bond with F404 in structural
192 modelling (Figure 2F). *In silico* analysis of binding energies (Supplementary Methods),
193 on mutant *ESR1* backgrounds (Y537S or L536S), suggested mutations at F404
194 reduced the binding affinity of estrogen and fulvestrant to the estrogen receptor
195 (Supplementary Table 1). This potentially explains the clinical observation that F404
196 mutations only occurred in the presence of other activating *ESR1* mutations, as F404
197 mutation might otherwise impair estrogen binding and receptor activation in a wild-
198 type ER α receptor.

199 Generation and validation of *ESR1* F404L models

200 We investigated the functional consequences of F404 alteration, and the potential role
201 in fulvestrant resistance, using both CRISPR knock in models and transfection of
202 expression constructs. For both approaches, *ESR1* 1210T>C (F404L), one of the most
203 frequently identified F404 variants, was modelled as a single mutation (F404L) or as
204 a compound mutation in *cis* alongside activating *ESR1* mutations, D538G (1613A>G)
205 and E380Q (1138G>C) selected for investigation as the most frequently co-occurring
206 mutations in the clinical dataset.

207 MCF7 cells were subjected to CRISPR-Cas9 with homology directed repair (HDR) to
208 “Knock In” the target mutations. Clones were screened by Sanger sequencing of
209 genomic DNA. Any clones identified to harbour the targeted mutations were expanded
210 and expression of the mutant transcript confirmed by RT-PCR and Sanger sequencing

211 (Figure 3A). 3/72 (4%) F404 clones harboured the mutation, of which only 1/3 (33%;
212 F404L_D10) was found to express F404L. 3/59 (5%) D538G clones harboured the
213 mutation, all which 3/3 (100%) expressed the mutant protein. One of D538G clones,
214 D538G_D6C was noted to be homozygous for the mutation providing an ideal
215 background into which to knock in the p.F404L (Figure 3A). A second round of
216 CRISPR was used to introduce F404L into the D538G_D6C model, with cells divided
217 into pools and subjected to estrogen free conditions without (E) and with (EF)
218 fulvestrant (0.5 μ M). 4/24 (17%) clones selected in the absence of estrogen (E) had
219 expression of F404L (Figure 3A). In contrast, 28/30 (93%) of clones selected with
220 fulvestrant (EF) had expression of F404L, providing clear evidence of preferential
221 selection.

222 Growth of both the parental MCF7 and F404L_D10 cells was estrogen dependent. In
223 contrast, all models expressing D538G, and compound D538G+F404L, exhibited
224 estrogen independent growth (Figure 3B and 3C). Similarly, D538G expressing
225 models showed estradiol independent expression of the estrogen target gene
226 progesterone receptor (PgR) and trefoil factor1 (TFF1; Figure 3D), whereas F404L
227 showed estradiol dependent expression. Using an ERE-luciferase reporter gene
228 construct and transient expression, we further assessed the impact of F404L and
229 compound F404L+D538G mutations on estrogen mediated signalling (Figure 3E).
230 Cells transfected with D538G tended to increase ERE activity in the absence of
231 estrogen compared to cells expressing wild type *ESR1* (Figure 3F). Notably, cells
232 expressing F404L showed lower ERE activity compared to cells expressing wild type
233 *ESR1* when exposed to estrogen ($P=0.0488$, $n=4$; Figure 3F). Similarly, the
234 combination of E380Q, a less potent activator of ER signalling than D538G, and F404L
235 reduced ERE activity compared to wild type *ESR1* ($P<0.023$, $n=4$). Together these

236 results are consistent with the hypothesis that F404L impacts the LBD of ER α , without
237 activating the receptor.

238

239 Compound F404 mutations and resistance to fulvestrant

240 We explored the impact of F404L on sensitivity of MCF7 cells to fulvestrant. CRISPR
241 models expressing F404L had modestly reduced in sensitivity to fulvestrant compared
242 to parental MCF7 cells in both short- and long-term assays (Figure 4A, 4B and 4C).
243 Resistance to fulvestrant was substantially more marked in compound D538G+F404L
244 models showing profound resistance (Figure 4A and 4B). Similarly, quantification of
245 long-term colony formation assays show the compound D538G+F404L models clear
246 resistance to fulvestrant (Figure 4C). Single mutant CRISPR F404L, D538G models
247 and parental MCF7 cells had decreased expression of PgR, TFF1 and ER α when
248 treated with fulvestrant (Figure 4D). In contrast, models with compound D538G+F404L
249 had limited changes in expression of PgR, TFF1 and ER α when treated with
250 fulvestrant (Figure 4D). Supporting these observations, ERE activity associated with
251 transient expression of single and compound *ESR1* variants was reduced by treatment
252 with fulvestrant, with the exception of D538G+F404L which maintained ERE activity
253 compared to cells treated with estradiol alone (Figure 4E). Consistent with this, the
254 combination of F404L+L536P, a combination not seen in the clinical dataset,
255 maintained ERE activity when treated with fulvestrant (Supplementary Figure 3).
256 Together this data confirms that the combined effect of compound F404 and activating
257 *ESR1* mutations in *cis* in the same protein caused profound fulvestrant resistance.

258 Compound F404 mutations increase estrogen dependent gene expression.

259 To extend the observations of increased estrogen signalling in F404 compound
260 models treated with fulvestrant (Figures 3C and 4C), RNAseq was performed for
261 models grown in estradiol (1nM) with and without fulvestrant (1 μ M) for 24 hours (n=3).
262 Gene set enrichment analysis (GSEA) of D538G+F404L compound mutant models
263 grown with estrogen had decreased “Early estrogen pathway” expression but were
264 otherwise similar to D538G mutant cells (Figure 5A, FDR adjusted $q < 0.05$;). However,
265 when treated with fulvestrant for 24hr, E2F transcription, MYC, proliferation and
266 estrogen mediated signalling were all significantly increased in the compound mutant
267 model (Figure 5B, FDR adjusted $q < 0.05$;). The F404L-D10 model had significant
268 upregulation of estrogen signalling compared to the wildtype control (FDR adjusted
269 $q < 0.05$). Similarly, estrogen signalling was increased in the D538G-D6C model
270 compared to the wildtype control maintained with and without fulvestrant treatment
271 (FDR adjusted $q < 0.05$; Figure 5C). Addition of F404L to D538G (D358G+F404L_EF
272 models), showed significant activation of both E2F target and estrogen response (early
273 and late) pathways with fulvestrant treatment (FDR adjusted $q < 0.05$; Figure 5C).
274 Differential response of the late estrogen response genes illustrated in Figures 5D
275 (estradiol; Supplementary Figure 4A) and 5E (Fulvestrant; Supplementary Figure 4B).
276 We noted two observations that suggested *ESR1* F404 mutations might be deleterious
277 in the absence of fulvestrant. F404 Compound mutations had lower “Early estrogen
278 pathway” expression (Figure 5A), and introduction of F404 reduced ERE activity
279 compared to wildtype protein in the presence of estrogen (Figure 3E). Consistent with
280 this the three double mutants expressing F404L models that were selected in the
281 presence of estrogen “E” (Figure 3A), all lost the F404L mutation in long term growth
282 (Supplementary Figure 5), likely suggesting a subclonal mutation that was

283 outcompeted by the F404F wildtype clone in long-term growth in the absence of
284 fulvestrant.

285 Compound F404 mutations are sensitive to novel SERDs.

286 *In silico* analysis of binding energies suggested mutations at F404L may increase the
287 binding affinity of second-generation oral SERDs (Supplementary Table 1). Therefore,
288 we investigated if fulvestrant resistance generated through compound F404 mutations
289 could be overcome by novel SERDs in clinical development, or by the selective
290 estrogen receptor modulator (SERM) tamoxifen. All novel SERDs investigated were
291 active against CRISPR models with both single F404L mutations and D538G+F404L
292 compound mutations, including elacestrant, camizestrant, 4OH tamoxifen and
293 giredestrant (Figure 6A-E, Table 1; Supplementary Figures 6-9). In particular, models
294 with D538G+F404L compound mutations that were overtly resistant to fulvestrant,
295 showed sensitivity to other SERD/SERMs comparable to other D538G expressing
296 models (Figure 6A-E; Supplementary Figures 6-9). Similarly, elacestrant,
297 camizestrant, 4OH tamoxifen or giredestrant all fully inhibited ERE activity following
298 transient transfection of D538G+F404L and E380Q+F404L (Figure 6F), despite
299 transfection of these compound mutations resulting in substantial resistance to
300 fulvestrant. Interestingly, 4OH tamoxifen did not completely suppress activity of the
301 ERE reporter gene assay, with ~10-20% activity irrespective of *ESR1* mutation (Figure
302 6F), potentially reflecting the difference in mechanism of action between it and the
303 SERDs.

304 Discussion

305 Here, we present a robust genomic analysis of resistance to fulvestrant in *ESR1*
306 mutant breast cancer using paired circulating tumour DNA sequencing in patients
307 treated with fulvestrant in the plasmaMATCH study(17). We identify novel *ESR1*
308 mutations that alter F404, that occur only in patients treated with fulvestrant with pre-
309 existing activating *ESR1* mutations in their cancer. F404 mutations are acquired in *cis*
310 with a pre-existing activating *ESR1* mutation, with the resulting compound mutation
311 resulting in profound resistance to fulvestrant, but with retained sensitivity to a range
312 of novel SERDs, identifying a treatment strategy to overcome acquired resistance
313 conveyed by F404 mutations.

314 Mutations at F404 do not appear to occur in the absence of fulvestrant exposure, and
315 then also only in the presence of other activating *ESR1* mutations. F404 has previously
316 been predicted to form *pi*-stacking bonds with plant polyphenols identified in a screen
317 of compounds as candidates with anti-estrogenic properties (24). Similarly, structural
318 analysis suggested that F404 forms a *pi*-stacking bond with an aromatic ring in both
319 estradiol and fulvestrant. Consistent with these predictions, *in vitro*, the introduction of
320 F404 mutations resulted in lower levels of ERE activity compared to wildtype *ESR1*
321 (Figure 3). Mutation of F404 would likely reduce *ESR1* activity in the absence of other
322 *ESR1* mutations, which may have a deleterious effect on tumour growth, explaining
323 the lack of F404 mutations observed without prior acquisition of an activating *ESR1*
324 mutation. Compound F404 mutations resulted in profound resistance to fulvestrant,
325 with single F404 mutant models showing more limited fulvestrant resistance. It is likely
326 that the effect of *ESR1* activating mutations on the ligand binding pocket, combined
327 with the loss of the *pi*-stacking bond, result in an impairment of fulvestrant affinity for

328 the ligand binding pocket. *In silico* analysis of binding energies was consistent with
329 this hypothesis, although formal *in vitro* studies in the future would be required to
330 assess this (Supplementary Table 1), with the alternative hypothesis being that F404X
331 mutations do not impact the binding of fulvestrant, but impact the conformational
332 change induced by fulvestrant binding. Interesting *in silico* analysis predicted that
333 binding energies of novel SERDs were not affected by, or even promoted by, F404
334 mutations, and consistent with this the efficacy of novel SERDs, was unaffected by
335 mutations in F404, providing a therapeutic option to circumvent this mechanism of
336 resistance. Investigation of a wider range of SERDs/SERMs is required to confirm
337 whether this resistance mutation is, as is currently suggested, specific to fulvestrant.
338 This endocrine therapy resistance mechanism is unique in leading to re-activation of
339 the estrogen receptor itself, in contrast to other mechanisms such as inactivating *NF1*
340 and *ARID1A* mutations (25,26), emphasising the need to identify whether further drug
341 specific mutations may limit the efficacy of oral ER degraders in clinical development.

342 Interestingly, our results predict that although F404 compound mutations promote
343 growth in the presence of fulvestrant, this conditional advantage may come at the
344 come at the cost of reduced fitness in the absence of fulvestrant, as F404 mutations
345 may reduce ER signalling in the absence of fulvestrant and therefore come at the cost
346 of impaired clonal growth once fulvestrant is withdrawn (Supplementary Figure 5). This
347 suggests that for patients with resistance to fulvestrant generated by F404 mutations,
348 there may be the possibility of rechallenging with fulvestrant after a treatment break,
349 as has been seen rechallenging with cetuximab in patients who *KRAS* mutations in
350 colorectal cancer(27).

351 Our study emphasises the extent to which tumour genomes may evolve through
352 fulvestrant therapy, with 25% patients acquiring a potentially targetable driver

353 mutation. Evidence suggests that ER positive breast cancers may become
354 substantially heterogeneous after progression on endocrine therapy, and that
355 heterogeneity presents a considerable challenge to subsequent treatment efficacy
356 (21,28,29). The high incidence of mutation 'acquisition' was largely driven by gain of
357 *ESR1* mutations, and likely reflects clonal selection in the cancer, whilst emphasising
358 the importance of ctDNA liquid biopsy testing to match treatment to current genomics
359 (17). This heterogeneity may be more marked in *ESR1* mutant cancer, as *ESR1*
360 mutations may co-occur with other mechanisms of genetic resistance, potentially
361 reflecting cancers that are pre-disposed to acquiring genetic mechanisms of
362 resistance (21,29) Recently, acquisition of secondary mutations in *cis* with hotspot
363 driver mutations in *PIK3CA* were described (30), leading to increased signalling and
364 tumour growth. *PIK3CA* double mutants were found to have increased sensitivity to
365 PI3K inhibitors (30). Similarly, we report double mutations in *ESR1* where the primary
366 mutation has been widely described (11,19,21,29,31), acquired in response to
367 exposure to aromatase inhibitors (7). In contrast to *PIK3CA* double mutations which
368 enhance PI3K signalling, acquisition of F404 only provides a growth advantage in the
369 context of exposure to fulvestrant.

370 In conclusion, we identify a novel *ESR1* mutation at ER α F404, that when acquired in
371 combination with an activating *ESR1* mutation induces resistance to the widely used
372 SERD fulvestrant. Mutations at this codon result in changes at F404 to amino acid
373 residues which lack an aromatic ring, disrupting the *pi*-stacking bond with both
374 estradiol and fulvestrant. The resistance of F404 double mutants is specific to
375 fulvestrant and can be overcome by use of alternate SERDs, suggesting a route to
376 overcome therapeutic resistance in the clinic. Mutations in the estrogen receptor can

377 confer resistance to ER binding drugs, without promoting ER activity, identifying a new
378 mechanism through which the cancer can become resistant to hormonal therapies.

379

380 **Materials and Methods**

381 Patient enrolment into plasmaMATCH and blood sampling

382 The plasmaMATCH trial (NCT03182634). was co-sponsored by the Institute of Cancer
383 Research and the Royal Marsden National Health Service (NHS) Foundation Trust,
384 London, UK, and approved by a Research Ethics Committee (16/SC/0271), as
385 previously reported (17). Baseline ctDNA testing was conducted with droplet digital
386 PCR (ddPCR), and from partway through the trial with targeted sequencing in parallel
387 to ddPCR. For patients enrolled prior to prospective targeted sequencing, a banked
388 pre-treatment plasma sample was retrospectively sequenced. An additional plasma
389 sample taken at disease progression was also subject to targeted sequencing.

390 For the baseline ctDNA test, 30-40ml of blood was collected in 3-4 10ml cell-free DNA
391 BCT Streck tubes. 30ml of blood was shipped at ambient temperature to a central
392 laboratory (Centre for Molecular Pathology, Royal Marsden Hospital) for ddPCR
393 testing and retrospective targeted sequencing. In addition, from partway through the
394 trial 10ml blood were shipped to Guardant Health (Redwood City, California, USA) for
395 targeted sequencing. An additional sample was collected at cycle 1 day1, and end of
396 treatment sample in 2 x 10mL BD Vacutainer® EDTA tubes, centrifuged within 1 hour
397 of collection, for retrospective targeted sequencing.

398 Computer modeling of estrogen *pi*-stacking with ER

399 Models of estrogen ligand A-ring *pi*-stacking with F404 in the ligand binding pocket of
400 ER α were generated as follows: There is no crystal structure for fulvestrant bound to
401 ER α ; the only related crystal structure is for ICI 164,384, a close fulvestrant analog, in
402 the other ER subtype, ER β (PDB ID 1HJ1). Therefore, we removed the ICI 164,384
403 ligand from this structure, modified the side chain to match that of fulvestrant, and

404 modelled it into the ER α crystal structure for the antiestrogen Bazedoxifene after
405 removing the Bazedoxifene ligand (PDB ID 6PSJ); the fitting was done using
406 Schrödinger Glide (<https://www.schrodinger.com/products/glide>). The estradiol
407 structure in ER α is from PDB ID 3UUD.

408 ctDNA testing and analysis.

409 ctDNA targeted sequencing was conducted with Guardant360 that identifies single
410 nucleotide variants (SNVs), indels, copy number alterations and fusions within protein-
411 coding regions of 73 (version 2.10) or 74 genes (version 2.11), as previously
412 described(29,32).

413 Variants from Guardant 360 were annotated with VEP version 96(33). Germline calls
414 were identified by Guardant360 with additional calls (identified based on a combination
415 of VAF frequency around 50% \pm 2% and VAF in general population in the Genome
416 Aggregation Database >0.001%) excluded. To identify pathogenic mutations, variants
417 were annotated with OncoKB(34) and CancerHotspots(35). Mutations were classified
418 as pathogenic based on Cancer Hotspots or OncoKB annotations or recurrent
419 mutations in key breast cancer genes (*ESR1*, *HER2*, *PIK3CA*, *EGFR*, *RB1* and
420 *FGFR2*) or splicing mutations. All analyses presented are based on mutations
421 assessed as likely pathogenic. Targetability was assigned using OncoKB annotation,
422 a manually curated database of alterations(34).

423 Cell Lines

424 MCF7 cell lines were obtained from ATCC and cultured in phenol free RPMI media
425 (32404-014, Life technologies) supplemented with 10% dextran/charcoal stripped FBS
426 (12676029, Life Technologies), 1nM oestradiol (Sigma), glutamine (25030149, Life
427 technologies), penicillin and streptomycin (15140-122, Life technologies). Cell lines

428 were banked in multiple aliquots on receipt to reduce risk of phenotypic drift and
429 identity confirmed by STR profiling with the PowerPlex 1.2 System (Promega). Cell
430 cultures were routinely tested for presence of mycoplasma using MycoAlert®
431 Detection kit (LT07-318 Lonza).

432 Antibodies and Drugs

433 Antibodies used were ER α (sc543, Santa Cruz Biotechnology), PGR (8757, Cell
434 Signaling Technology), TFF1 (15571, Cell Signaling Technology) and β actin (A5441
435 Sigma). Secondary antibodies used were α -rabbit-HRP (7074) and α -mouse-HRP
436 (7076, Cell Signaling Technology). Fulvestrant (S1191), 4OH-tamoxifen (S7827) and
437 camizestrant (S8958) were obtained from Selleck Chemicals. Elacestrant (HY-
438 19822A) and giredestrant (HY-109176) were obtained from MedChemExpress.

439 Generation and analysis of *ESR1* mutant CRISPR models

440 MCF7 cells were subjected to CRISPR-Cas9 genome editing with homology-directed
441 repair (HDR) using Integrated DNA Technologies' (IDT) Alt-R™ CRISPR-Cas9 system
442 according to manufacturer's guidelines. Briefly, the day before transfection 250,000
443 cells were plated per well of a 6 well plate in antibiotic free media containing HDR
444 enhancer V2 (2 μ M, 10007910 IDT). crRNA and HDR templates were designed using
445 IDT's Alt-R™ CRISPR HRD design tool ([https://eu.idtdna.com/pages/tools/alt-r-crispr-hdr-](https://eu.idtdna.com/pages/tools/alt-r-crispr-hdr-design-tool)
446 [design-tool](#); Supplementary table 2). gRNA complexes (1 μ M) were prepared by
447 hybridisation of targeting crRNA with tracrRNA-ATTO555 (1075928, IDT).
448 Ribonucleoprotein (RNP) complexes were prepared by addition of gRNA complexes,
449 Cas9 (1081060 IDT), HDR template, Cas9 PLUS reagent (ThermoFisher Scientific),
450 and OptiMEM (31985062, ThermoFisher Scientific), and incubated for 5min at room
451 temperature. Transfection mixes were prepared using RNP complexes with
452 Lipofectamine™ CRISPMAX™ (CMAX00008, ThermoFisher Scientific) and incubated

453 for 20mins at room temperature. Transfection mixes were added to pre-seeded cells
454 in 6 well plates and incubated overnight. 48h post transfection cells were split into
455 10cm dishes and cells cultured until colonies had established. gDNA was extracted
456 from the transfection pool using QuickExtract™ DNA Extraction Solution (QE09050
457 Lucigen) and CRISPR editing assessed using Alt-R Genome Editing Detection kit
458 (1075932 IDT). After approximately 2 weeks individual colonies were picked into 96
459 well plates and expanded. gDNA was extracted from colonies using QuickExtract™
460 DNA Extraction Solution (QE09050 Lucigen), subjected to PCR (primer details in
461 Supplementary table 1), PCR products isolated (QIAquick PCR purification kit, 28104
462 Qiagen) and screened for presence of targeted mutations by Sanger sequencing
463 (Azenta Life Sciences). Clones in which targeted mutations were identified were
464 expanded.

465 To confirm mutant *ESR1* variants were expressed by selected clones, RNA was
466 extracted using RNeasy Mini Kit (74104, Qiagen), cDNA prepared using SuperScript
467 IV first strand synthesis kit (18091050, ThermoFisher Scientific) and amplified using
468 AllTaq PCR Core Kit (203123, Qiagen; primer details in Supplementary table 1). As
469 described, PCR products were isolated and screened for presence of targeted
470 mutations by Sanger sequencing (Azenta Life Sciences).

471 Fulvestrant Screen of *ESR1* mutant expressing MCF7 cells

472 A series of expression constructs with *ESR1* point mutations was generated in the
473 pcDNA3.1 HA-ER α (18). Transfections of MCF7 cells using HA-tagged wild-type or
474 mutant ER α , with 3 \times -ERE-TATA-Luciferase reporter and pRL-TK-Renilla luciferase
475 plasmid (Promega) using Lipofectamine 2000 (Life technologies) were done according
476 to the methods of Toy et al 2013 (18). Cells were exposed to fulvestrant at indicated
477 concentrations 1 day after transfection for 24h, and luciferase activities were

478 determined using the Dual® Luciferase Reporter Assay System (E2920, Promega)
479 according to the manufacturer's instructions. Luciferase bioluminescence
480 measurements were performed with the Veritas Microplate Luminometer (Promega).

481 ERE assays with transient transfection

482 pcDNA3.1+/C-DYK plasmids, with the open reading frame of *ESR1* (NM_000125.4)
483 with and without point mutations (estrogen receptor constructs, ERCs; Supplementary
484 Table 2), were purchased from GenScript (The Netherlands). Sanger sequencing was
485 used to confirm the presence of the desired mutations within the custom insert. MCF-
486 7 cells were seeded in 6 well plates with 250,000 cells per well in antibiotic free media,
487 the following day transfected using Fugene 6 (Promega, USA) with the ERC, a plasmid
488 expressing an estrogen response element with firefly luciferase (ERE-luciferase) (36)
489 and pRL-CMV (*Renilla* luciferase control, Promega). 24 hours post transfection,
490 experimental conditions were applied for a further 24h, and firefly luciferase (ERE
491 activity) and *Renilla* luciferase using the Dual-Glo® Luciferase Assay System (E2920,
492 Promega) following the manufacturer's instructions measured with a VICTOR X3
493 MultiLab. Experiments were repeated a minimum of 3 times.

494 In Vitro Viability Assessment

495 Colony formation assays were conducted in 6-well plates, seeded with 10,000
496 cells/well prior to exposure to the indicated experimental conditions. Plates were fixed
497 with tricyclic acid (10%^{v/v}), stained with sulforhodamine B (S1402, Sigma; 0.37%^{w/v},
498 in 1% acetic acid) and colonies counted using a GelCOUNT instrument (Oxford
499 Technologies). For short-term survival assays, 700cells/well were plated in 384 well
500 plates and exposed to indicated drugs. Survival was assessed after 6 days of
501 treatment using CellTiter-Glo cell viability assay (G7572, Promega).

502 Western Blotting

503 Cells were lysed in NP40 lysis buffer (1% v/v NP40, 10 mmol/L Tris-Cl pH8, 150
504 mmol/L NaCl, 1 mmol/L EDTA, 1 mmol/L DTT) supplemented with
505 protease/phosphatase inhibitor cocktail (5872, Cell Signaling Technologies). Western
506 blots were carried out with precast Bis-Tris gels (Life Technologies).

507 RNAseq expression analysis

508 *ESR1* mutant models and controls were treated with 1nM estradiol \pm 1 μ M fulvestrant
509 for 24hr (9 models with estradiol treatment, 7 of which also had fulvestrant treatment,
510 n=3), cells harvested, and RNA extracted using RNeasy Mini Kit (74104, Qiagen).
511 Each cell model was treated in 3 independent experiments.

512 48 total RNA samples were sent to Novogene (UK) Company Ltd and subjected to
513 Eukaryotic mRNA-Seq (Illumina Novaseq PE150, Q30 \geq 80%). Sequencing data for
514 48 RNA samples for 9 models using bcbio-nextgen,1.2.4 pipeline, reads were aligned
515 using STAR with version STAR 2.6.1d, counted using salmon,1.4.0. The data was
516 divided in two parts with respect to treatment with 1nM estradiol and 1 μ M fulvestrant
517 as EST and FUL. The data normalized using DEseq2 version '1.38.3'. DESeq2 was
518 also used to determine differentially expressed genes between different model of
519 single mutants (404_D10, 538_D6C) versus control (MCF7), single mutants
520 (404_D10, 538_D6C) versus wt_D11 and double mutants (538_404, 404_538) vs
521 single mutants (538_D6C, 404_D10) using shrunken log2 fold changes in EST and
522 FUL data respectively. Heatmaps were generated using pheatmap package version
523 '1.0.12'and ggplots '3.4.2' R package. GSEA analysis was carried out using Molecular
524 Signatures Database 'Hallmarks' gene set collection using package fgsea '1.24.0' and
525 clusterProfiler '4.6.2' R packages.

526 Statistical analyses

527 Statistical analysis was carried out using R version 4.0.5 and GraphPad Prism v8.4.3.
528 Time to event survival data were analysed with log-rank test and hazard ratios were
529 calculated with Cox regression. Plots were created using GraphPad Prism v8.4.3 and
530 the R software packages ggplot2 and survminer.

531

532 **Data Availability Statement**

533 The processed plasmaMATCH Guardant360 sequencing data generated and
534 analysed during the current study are available as part of Kingston B, *et al* 2021 (29).
535 We do not have permission from the patients to publicly deposit the raw sequencing
536 data. To protect the privacy and confidentiality of patients in this study, clinical data
537 are also not made publicly available. The data can be obtained by submitting a formal
538 data access request in accordance with the Institute of Cancer Research Clinical Trials
539 and Statistics Unit (ICR-CTSU) data and sample access policy. Requests are to be
540 made via a standard proforma describing the nature of the proposed research and
541 extent of data requirements which is reviewed by the trial management group. Data
542 recipients are required to enter a formal data sharing agreement, which describes the
543 conditions for data release and requirements for data transfer, storage, archiving,
544 publication, and intellectual property. Trial documentation including the protocol are
545 available on request by contacting plasmamatch-icrctsu@icr.ac.uk.

546

547 **Acknowledgments**

548 This research was funded by Cancer Research UK and Breast Cancer Now, and
549 sequencing of ctDNA was conducted by Guardant Health. The plasmaMATCH trial is
550 funded by Cancer Research UK (CRUK/15/010, C30746/A19505), with additional
551 support from AstraZeneca, Puma Biotechnology, Guardant Health and BioRad.
552 Grateful thanks to all trial participants and their families. We thank Breast Cancer Now
553 for funding this work as part of Programme Funding to the Breast Cancer Now Toby
554 Robins Research Centre. This study represents independent research supported by
555 the NIHR Biomedical Research Centre at The Royal Marsden NHS Foundation Trust
556 and the Institute of Cancer Research, London.

557 This study was presented in part at the 2022 American Society of Clinical Oncology
558 3-7th June 2022, J Clin Oncol 40, 2022 (suppl 16; abstr 1009),
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705

706 **Table 1. Calculated IC50 and EC50 of 4OH tamoxifen and novel SERDs in *ESR1* mutant models.**

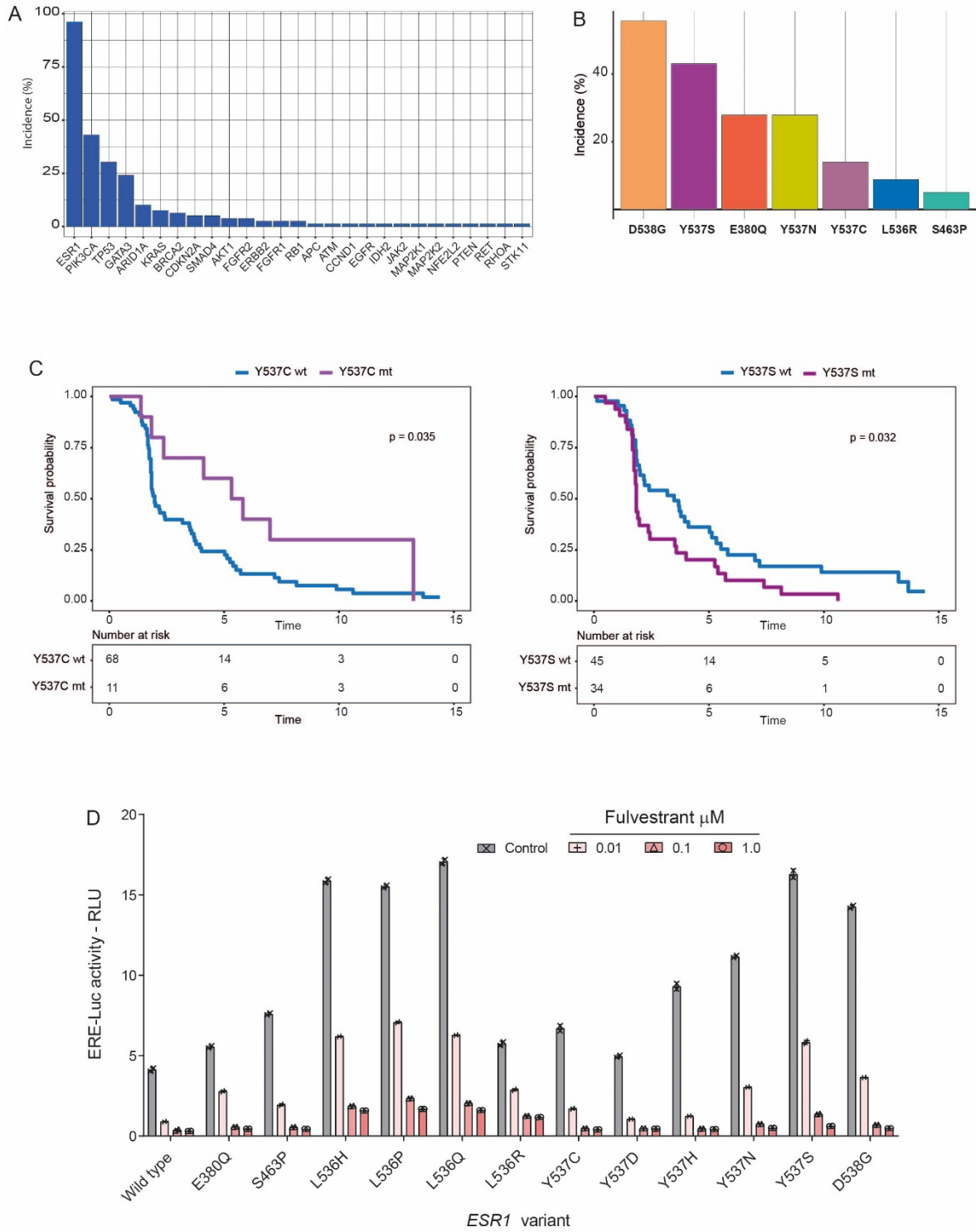
		MCF7	WT D11	F404L D10	D538G D6C	404 538 1EF	538 404 30EF	538 404 34EF	538 404 36EF	538 404 37EF
Elacestrant	IC50 (nM)	12.2	3.9	5.4	27.7	20.1	23.3	34.6	nc	35.5
	EC50 (nM)	16.2	10.7	6.9	59.0	24.9	27.5	46.3	67.0	57.8
Camizestrant	IC50 (nM)	1.0	0.7	1.8	14.0	9.6	9.9	15.1	7.5	15.8
	EC50 (nM)	2.5	2.2	2.2	28.8	10.9	12.2	20.8	47.2	25.3
4OH tamoxifen	IC50 (nM)	5.6	1.2	1.4	16.8	10.3	8.7	14.4	11.1	20.6
	EC50 (nM)	8.9	7.1	3.4	37.9	14.9	11.8	21.7	95.3	46.9
Giredestrant	IC50 (nM)	1.2	0.3	0.4	3.1	2.5	2.5	3.7	1.0	4.2
	EC50 (nM)	1.3	0.8	0.5	6.3	3.1	3.2	4.6	9.2	6.9

707 nc not calculated

708

709 **Figures**

Figure 1



710

711

712 **Figure 1. Baseline *ESR1* mutations and fulvestrant efficacy**

713 A. % Incidence of mutations in indicated genes at baseline in Cohort A (n=79
714 assessable patients).

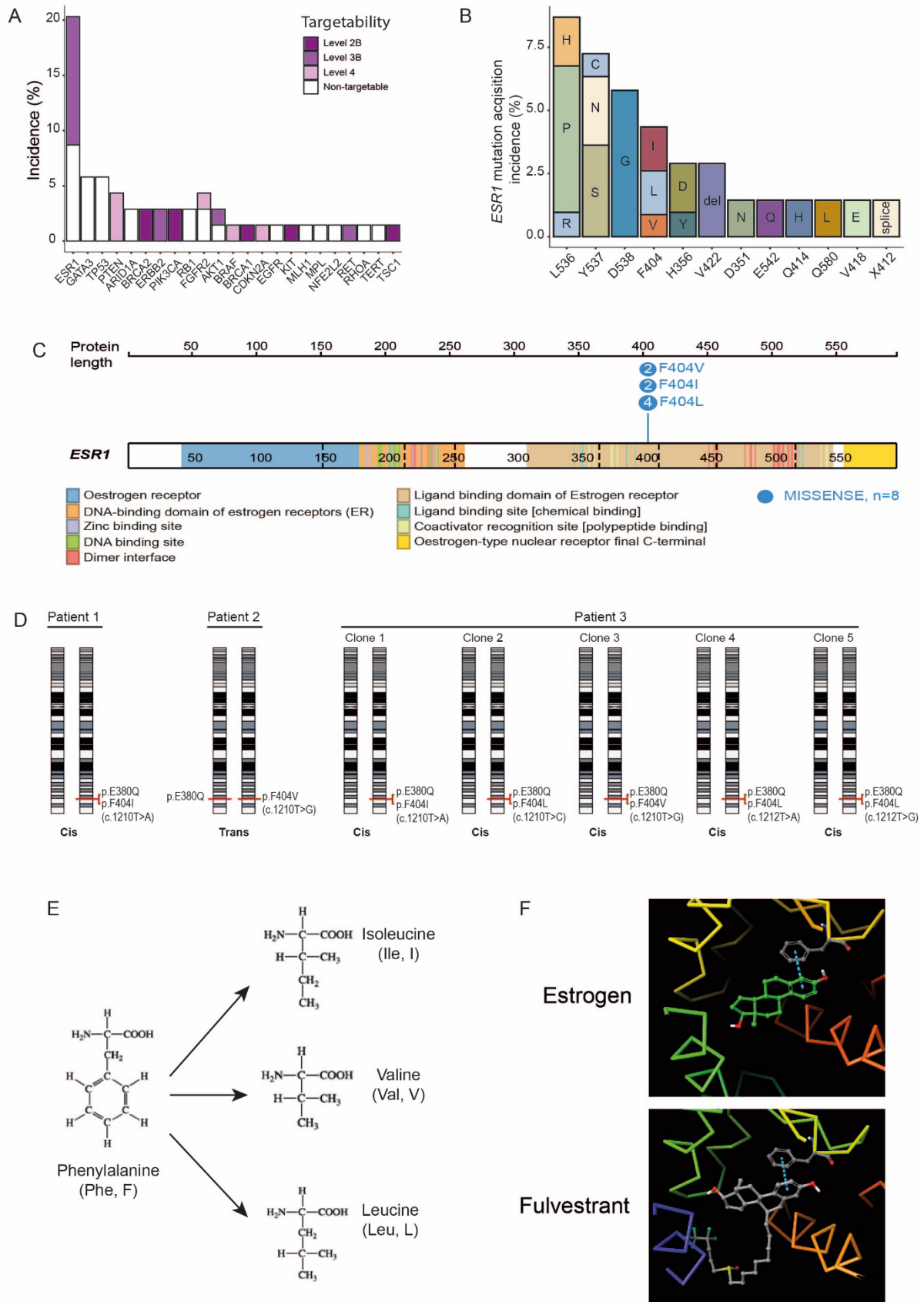
715 B. Incidence of baseline *ESR1* alterations within Cohort A (n=79 assessable patients).

716 C. Progression-free survival of patients in Cohort A, divided by baseline *ESR1* Y537C
717 mutation status (left) and *ESR1* Y537S mutation status (right). p-values from log rank
718 test. HR >1 denotes worse PFS for that group. WT, wild type; mt, mutant

719 D. MCF7 cells were co-transfected with the indicated *ESR1* expression constructs and
720 treated with the indicated concentration of fulvestrant in the presence of 1nM estradiol
721 for 24 hours and ERE-luciferase reporter activity determined. 2 independent
722 experiments.

723

Figure 2



724

725

726 **Figure 2. Acquired mutations on Fulvestrant.**

727 A. incidence of acquired alterations (n=69 assessable patients), coloured by
728 targetability of the alterations (methods). Level 2B denotes the highest level of
729 supporting evidence (“Standard care biomarker recommended by the NCCN or other
730 professional advice guidelines predictive of response to an FDA-approved drug”),
731 while Level 4 is the lowest (“Compelling biochemical evidence supports the biomarker
732 as being predictive of response to a drug”).

733 B. incidence of acquired *ESR1* mutations (n=14 patients), and resultant amino acid
734 changes.

735 C. *ESR1* F404 locus in the DNA-binding domain of the estrogen receptor. The number
736 of base changes identified within the dataset that result in the three different missense
737 mutations are illustrated using <https://proteinpaint.stjude.org/> (37).

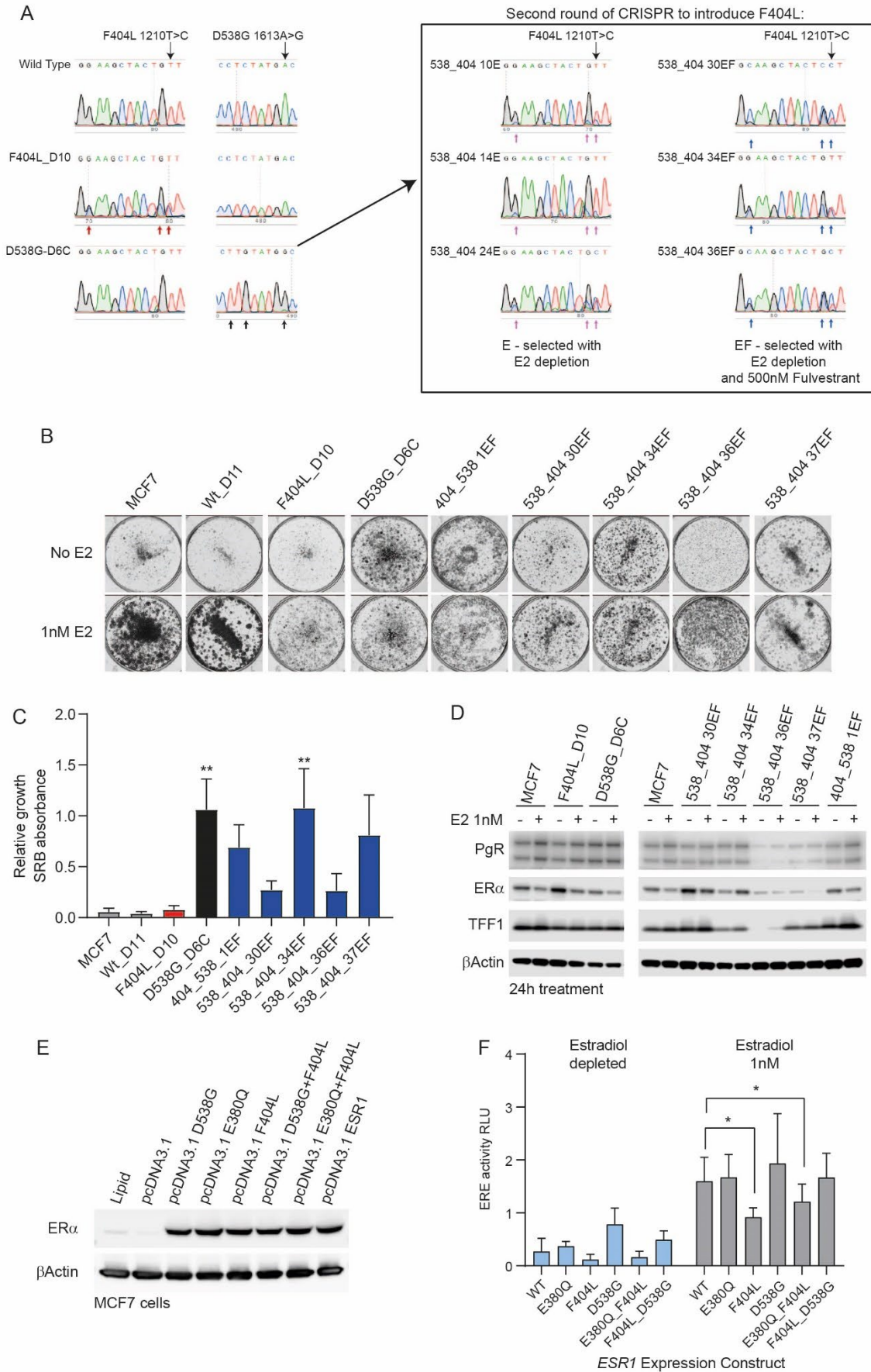
738 D. *cis/trans* analysis of F404 and E380Q in the three patients with assessable targeted
739 sequencing data. Both alleles of chromosome 6 are represented, with annotated
740 location of the F404 and E380Q on each respective allele representing the *cis/trans*
741 relationship of the variants.

742 E, Mutations at phenylalanine 404 result in substitution of amino acid residues without
743 an aromatic ring.

744 F, *In silico* modelling predicts the aromatic ring of F404 contributes to a *pi*-stacking
745 bond between the receptor and both estrogen and fulvestrant.

746

Figure 3



748 **Figure 3. F404 does not activate estrogen signalling.**

749 A. CRISPR clones of MCF7 cells expressing *ESR1* F404L (1210T>C, CRISPR edit
750 indicated by red arrows) or D538G (1613A>G; CRISPR edit indicated by black arrows)
751 were identified by RT-PCR followed by Sanger sequencing (left hand panels).
752 Similarly, a second round of CRISPR was used to introduce *ESR1* F404L (1210T>C)
753 into a clone (D6C) that expressed D538G (1613A>G; right hand panels).

754 B. Estrogen dependent growth was assessed in colony formation assay. Parental
755 MCF7 cells and indicated *ESR1* mutant models were grown in either the absence or
756 presence of estradiol (1nM) for 14 days.

757 C. Quantification of colony formation assays of *ESR1* mutant models treated with and
758 without estradiol (1nM). SRB stained colonies were dissolved and absorbance at
759 565nm measured. Mean with sem, n=3 independent experiments, nonparametric one
760 way ANOVA with Dunn's multiple comparisons test, **P<0.01.

761 D. Expression of estrogen target genes, progesterone receptor (PgR) and trefoil
762 factor-1 (TFF1), assessed by western blot in parental MCF7 cells and indicated *ESR1*
763 mutant models grown in either the absence or presence of estradiol (1nM) for 24
764 hours.

765 E. MCF7 cells were transfected with *ESR1* expression constructs with indicated *ESR1*
766 variants. Expression of ER α was determined by western blot.

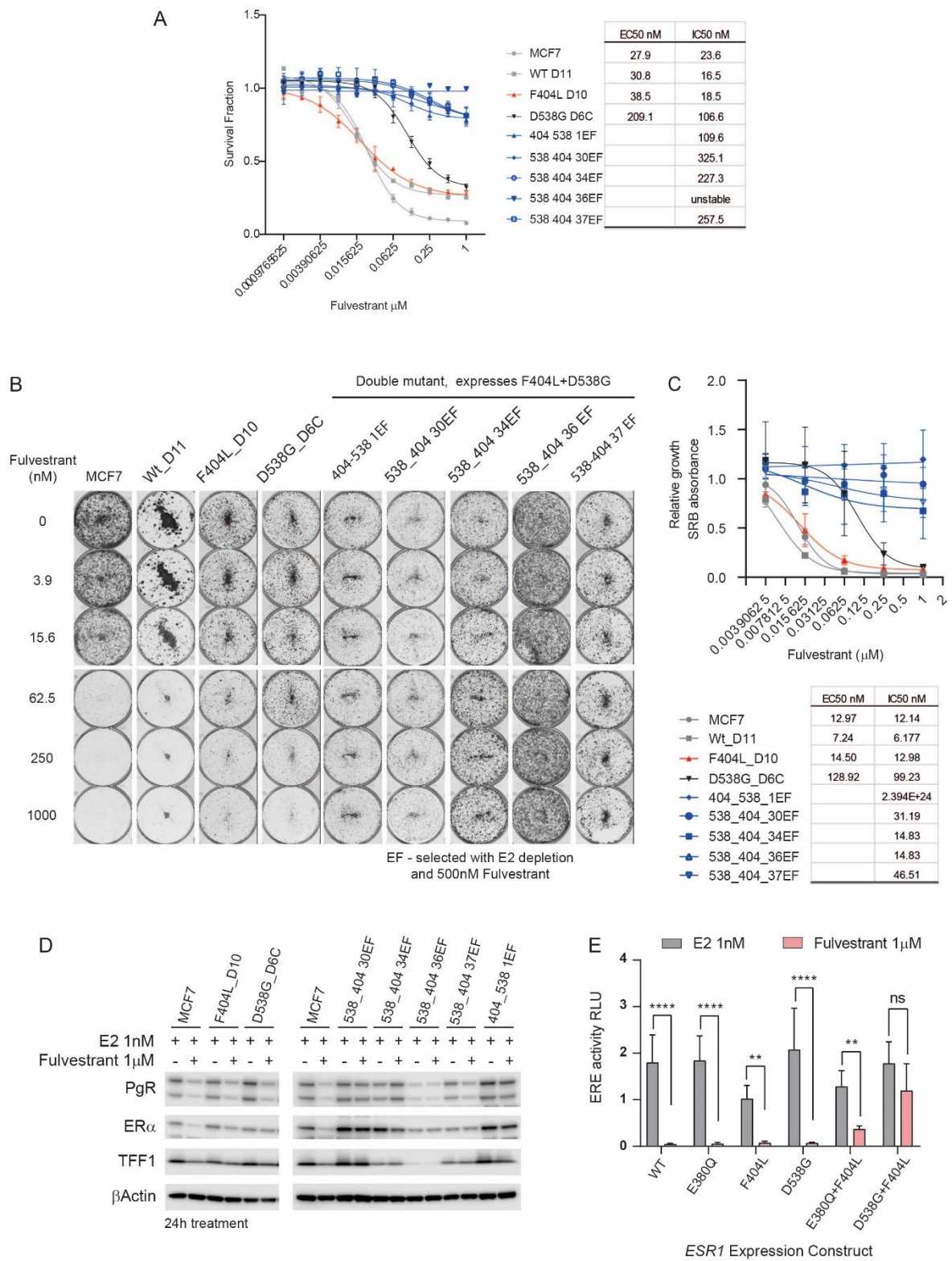
767 F. MCF7 cells were co-transfected with the indicated *ESR1* expression constructs
768 ERE-luciferase reporter and control construct. Cells were treated in either the absence
769 or presence of estradiol (1nM) for 24 hours and ERE-luciferase activity assessed. 2-

770 way repeated measures ANOVA with Dunnett's multiple comparisons test, n=4 mean

771 with SD, *P<0.05.

772

Figure 4



773

774

775 **Figure 4. Compound F404L mutations induces resistance to fulvestrant.**

776 A. Compound mutations of D538G-F404L in MCF7 cells, along with single mutations
777 and wildtype, with sensitivity to fulvestrant assessed after 6 days treatment with Cell
778 Titre Glo viability assay. N=4 mean with SD.

779 B. Representative images of clonogenic assays grown in indicated concentrations of
780 fulvestrant for 14 days.

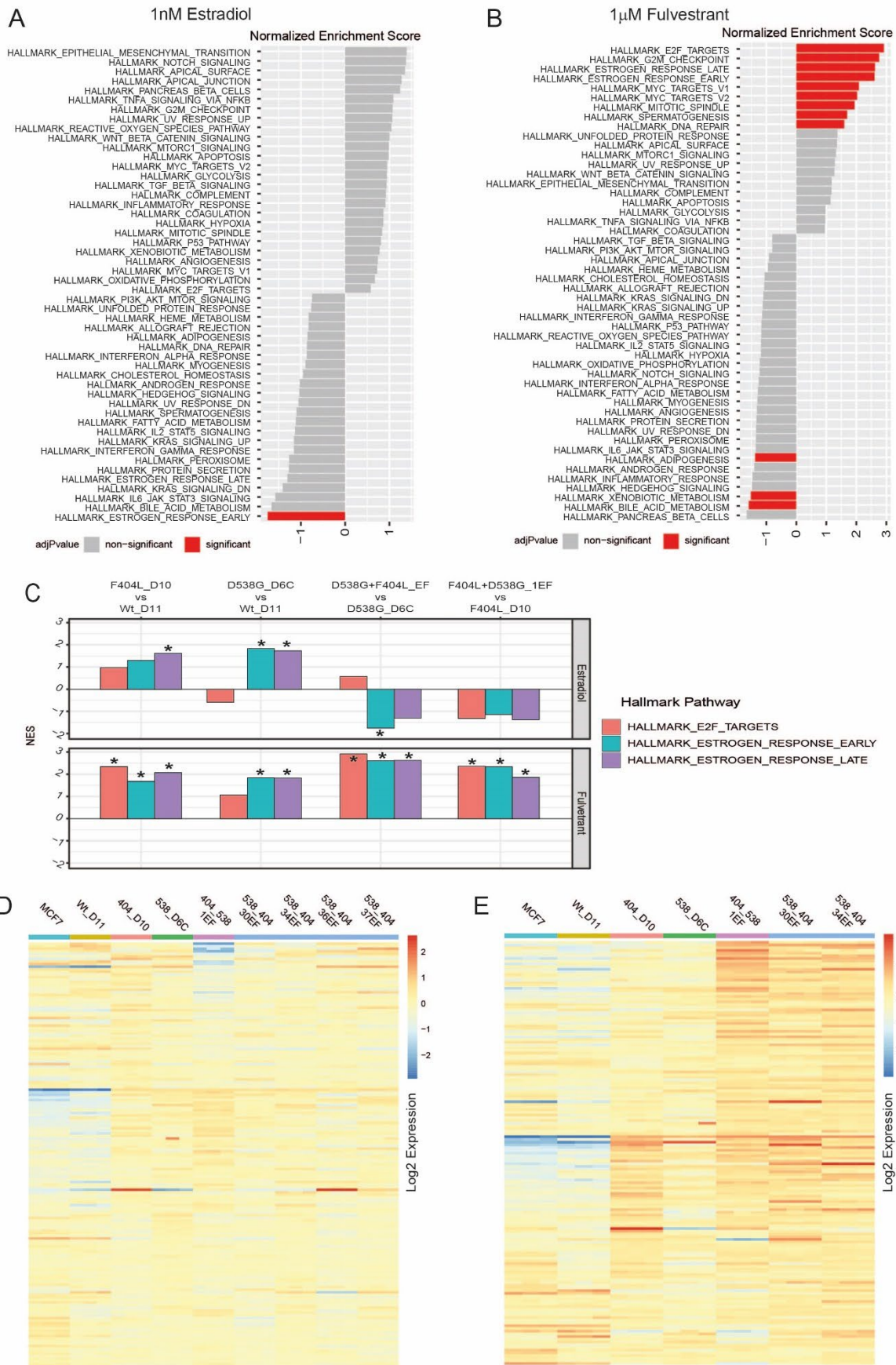
781 C. Quantification of colony formation assays for *ESR1* mutant models treated with the
782 indicated concentrations of fulvestrant for 14 days. EC50 and IC50 values were
783 calculated from the response curves. SRB stained colonies were dissolved and
784 absorbance at 565nm measured. Mean with sem, n=3 independent experiments.

785 D. Expression of estrogen target genes, progesterone receptor (PgR) and trefoil
786 factor-1 (TFF1), assessed by western blot in parental MCF7 cells and indicated *ESR1*
787 mutant models grown in the presence of 1nM estradiol or 1 μ M fulvestrant.

788 E. MCF7 cells were co-transfected with the indicated *ESR1* expression constructs
789 ERE-luciferase reporter and control construct. Cells were treated with 1nM estradiol
790 either the absence or presence of fulvestrant (1 μ M) for 24 hours and ERE-luciferase
791 activity assessed. 2-way repeated measures ANOVA with Sidak's multiple
792 comparisons test, n=4 mean with SD, **P<0.01, ***P<0.001, ****P<0.0001.

793

Figure 5



795

796 **Figure 5. Transcriptomic analysis of *ESR1* mutant models**

797 A, Gene set enrichment analysis for D538G+F404L models compared to D538G D6C
798 cells maintained in 1nM estradiol. Pathways highlighted red, false discovery rate
799 adjusted q value <0.05.

800 B, Gene set enrichment analysis for D538G+F404L models compared to D538G D6C
801 cells treated with 1 μ M fulvestrant for 24hr. Pathways highlighted red, false discovery
802 rate adjusted q value <0.05.

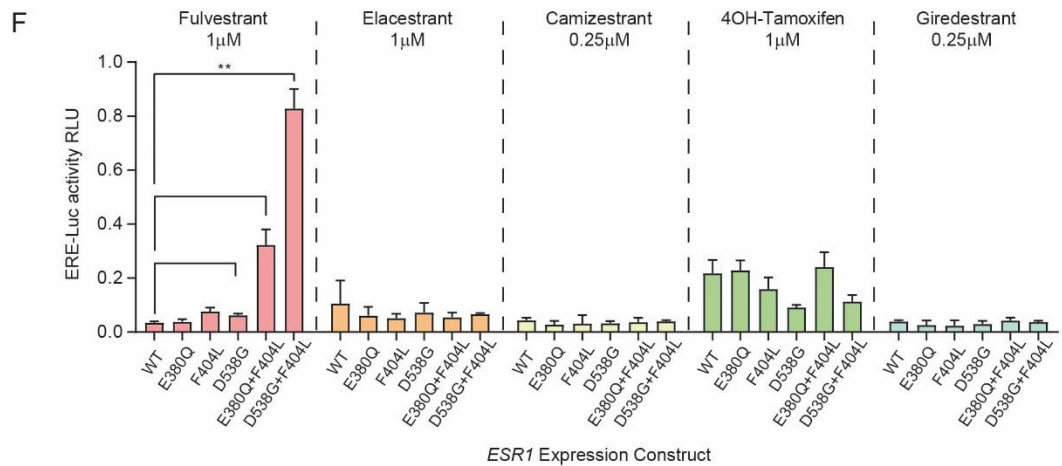
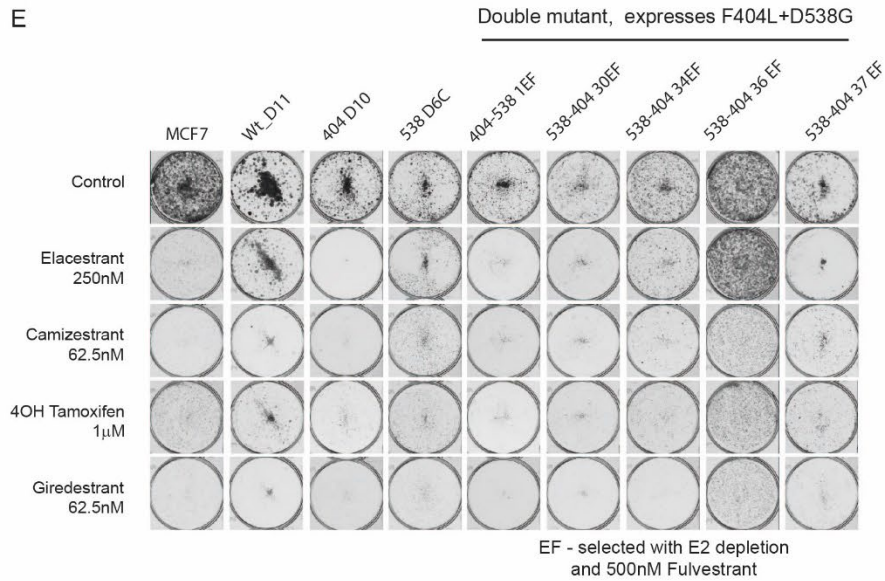
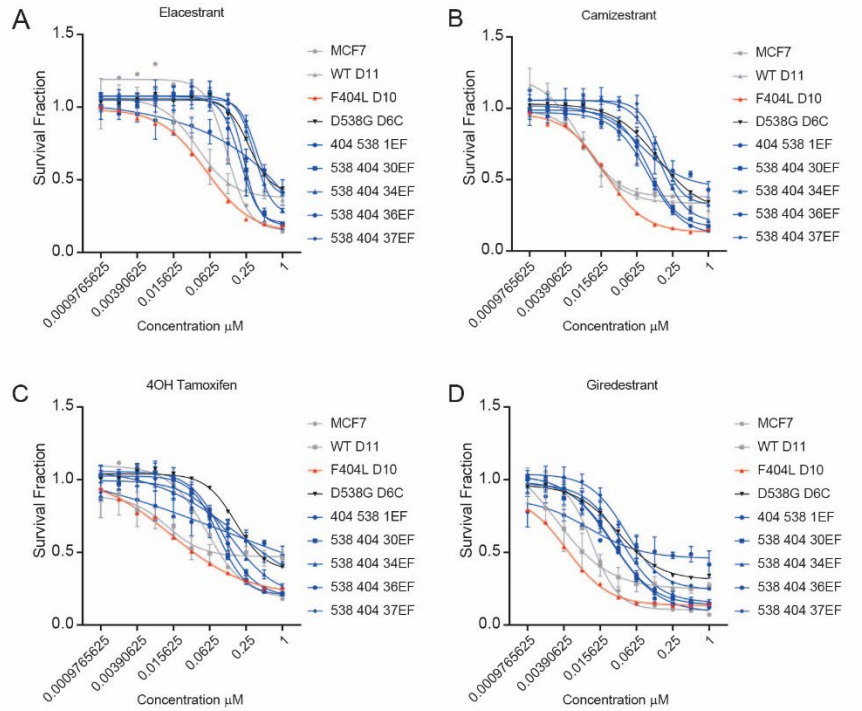
803 C, Gene Set Enrichment Analysis (GSEA) for *ESR1* mutant models. Normalised
804 enrichment score (NES) is shown for the indicated pathways. *False discovery rate
805 adjusted q value <0.05.

806 D, Heat map of “Estrogen response late” genes (Log2 expression) for *ESR1* mutant
807 models maintained in 1nM estradiol.

808 E, Heat map of “Estrogen response late” genes (Log2 expression) for *ESR1* mutant
809 models treated with 1 μ M fulvestrant in presence of 1nMestradiol.

810

Figure 6



812 **Figure 6. Compound F404 mutations are sensitive to novel SERDs.**

813 A-D. Compound mutations of D538G-F404L in MCF7 cells, along with single
814 mutations and wildtype, with sensitivity to elacestrant (A), camizestrant (B), 4OH
815 tamoxifen (C) and giredestrant (D), assessed after 6 days treatment with Cell Titre Glo
816 viability assay. N=4 mean with SD.

817 E. Representative clonogenic assays grown in indicated concentrations of
818 elacestrant, camizestrant, 4OH tamoxifen and giredestrant for 14 days.

819 F. MCF7 cells were co-transfected with the indicated *ESR1* expression constructs
820 ERE-luciferase reporter and control construct. Cells were treated with indicated
821 concentrations of fulvestrant, elacestrant, camizestrant, 4OH tamoxifen and
822 giredestrant, in the presence of 1nM estradiol, for 24 hours and ERE-luciferase activity
823 assessed. 2-way repeated measures ANOVA with Sidak's multiple comparisons test,
824 n=3 mean with SD, *P<0.05.