

## Resolving genetic heterogeneity in cancer

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### Abstract

Cancer genomics studies using next-generation sequencing technologies have provided a snapshot of the genetic landscape of most cancer types. The same approaches are increasingly driving insights into cancer evolutionary patterns in time and space. To a large extent, cancer conforms to evolutionary rules defined by the rates at which clones mutate, adapt and grow. Compared to species evolution, however, cancer is a particular case owing to the vast size of tumour cell populations, chromosomal instability and its potential for phenotypic plasticity. Nevertheless, an evolutionary framework is a powerful aid to understand cancer progression and therapy failure. Indeed, such a framework could be applied to predict individual tumour behaviour and support treatment strategies.

### Introduction

Tumours are composed of subpopulations of cells (subclones) that can be distinguished on the basis of a variety of features that affect their phenotype, including genetic alterations such as single nucleotide variants (SNVs), small insertions and deletions (indels), somatic copy number alterations (SCNAs) and structural variants (SVs). Genetic intratumour heterogeneity has been documented across most cancers (reviewed in<sup>1</sup>) and acts as a substrate for **clonal evolution** [G]. The fundamental biological mechanisms underlying clonal evolution in cancer are similar to those that underpin the evolution of asexually reproducing species: replication, heritable variation, **genetic drift** [G], **selection** [G] and environmental changes. Central to the neo-Darwinian synthesis of evolutionary biology is the paradigm of molecular evolution, that is, evolutionary change at the level of DNA sequence, which links Mendelian genetics to Darwinian adaptation. Molecular evolution is relevant to cancer because the use of genomic sequencing is a key technology to understand temporal and

spatial patterns of somatic evolution, the accumulation of genomic alterations in somatic cells. At the core of molecular evolution, in turn, is theoretical population genetics, which has been the fundamental mathematical formalism to describe evolution for the past 90 years<sup>2,3</sup>. The same theoretical framework has been used to understand clonal evolution in cancer<sup>4 5 6 7 8 9 10 11</sup>. The study of the evolutionary dynamics of cancer clones is fundamentally concerned with the relative frequencies of cancer subpopulations over space and time. Although some peculiarities of cancer evolution distinguish it from classic species evolution (Box 1), classical evolutionary theory can nevertheless be readily applied to understand cancer development.

Over the past 5 years, a number of next-generation sequencing studies have captured cancer evolution in space and time, illuminating the variety of evolutionary patterns that shape cancer and showing their clinical relevance. Here, we provide an overview of the theoretical models of tumour evolution and the caveats around correctly interpreting genomic data and inferring evolutionary dynamics. We discuss the relevance of **chromosome instability [G]** (CIN) as a driver of cancer evolution and, in particular, metastases; the clinical value of evolutionary classification of cancer; and finally, the role of clonal evolution in treatment failure.

### **[H1] Current models of tumour evolution**

Cancer as a system is characterized by an astonishing complexity and emergent behaviour. Nevertheless, this complexity arises from the fairly simple, underlying evolutionary rules of mutation, genetic drift and selection, involving a large number of interacting agents (for example, the millions of cancer cells within a single lesion and the surrounding tumour microenvironment). The emergent behaviour gives rise to different observed 'modes' of evolution (**Figure 1**), which result from different combinations of the aforementioned fundamental rules in distinct contexts. In other words, since selective pressures change over time, so can the 'modes' of evolution. Here, we discuss the principles of selection and different modes of evolution.

#### *[H2] Selection*

Selection, whereby one lineage is 'favoured' over another and produces more surviving offspring, is a key force in evolution, as it leads to adaptation. In general, positive selection, the evolutionary force that causes cells to have more surviving offspring and so increase in frequency in a population, drives tumour progression<sup>12</sup>. Negative selection, also known as purifying selection, the evolutionary force by which cells with decreased fitness are eliminated from a population also influences tumour evolution, for example, by removing potent neo-antigens<sup>13,14</sup>. However, selection is not operative at all times. Whereas mutation and drift occur continuously, and their rates depend on cell division and population dynamics, selection is dependent on the environmental context. For example, if there is no differential survival within a population, the lack of positive selection would mean that the population evolves neutrally (only mutation and drift are at play). Consequently, branching

of a tumour **phylogenetic tree [G]** does not always imply clonal selection, as branching is the natural product of mutational processes<sup>15 16</sup>. Selection has the effect of 'pruning' the tumour tree, for example, favouring the expansion of some lineages (that is, branches) over others. The mutation rate itself could also be subject to selection. A higher mutation rate allows for diversification but also carries the 'risk' of increasing the rate at which deleterious mutations, which perturb cancer growth, are acquired<sup>17,18</sup>. For example, excessive chromosomal instability (CIN) can result in cell-autonomous lethality; however, a 'just-right' threshold of CIN may be evolutionary advantageous. Mutations in the subunits of the anaphase-promoting complex (also known as the cyclosome or APC/C) may be selected during the evolution of chromosomally unstable tumour cell populations, resulting in lengthening of mitosis, suppression of chromosome missegregation and attenuation of excessive CIN<sup>19</sup>.

Mathematical models suggest that, in a growing population, **mutator phenotypes [G]** are selected, because the cells that stochastically acquire positively selected mutations in effect doubly benefit from their own increased fitness and the negative fitness effect of deleterious mutations on the rest of the population<sup>20</sup>. Relatedly, modelling also suggests that a mutator phenotype increases the 'efficiency' of carcinogenesis by making it more likely that a necessary set of mutations is acquired for transformation and cancer progression<sup>18</sup>.

### *[H2] Branching evolution*

Evolution is always branched, because cell division and mutation continuously produce divergence at the level of genotypes. This fact is particularly true for cancer genomes, as cancers often have a mutator phenotype<sup>21</sup>. Hence, in principle, at any given time point a tumour cell population consists of different cell lineages. Random fluctuations in the birth and death rates of these distinct lineages can lead to genetic drift, whereby one lineage produces more surviving offspring than another lineage and expands by chance. Genetic drift is referred to as a form of **neutral evolution [G]**, as all lineages are neutral with respect to their chance of producing surviving offspring<sup>22,23</sup>. Similar patterns of branching are also apparent in healthy tissue<sup>24,25</sup>, emphasizing that branching is a necessary by-product of proliferating tissues. However, assuming no other limitations to growth, when multiple cancer subclones have increased fitness they will expand simultaneously due to selection, as evidenced by the finding of subclonal cancer **driver mutations [G]** and their impact on cancer progression<sup>26,27</sup>. Selection is also evident in the finding of parallel evolution within the same tumour where distinct lineages acquire mutations in the same cancer driver gene, leading to parallel subclonal expansions (examples<sup>26,28-30</sup>).

### *[H2] Linear evolution*

The linear evolution model posits that only one lineage survives over time. However, as with the fossil record, it does not imply that there was only ever a single lineage that evolved in a step-wise fashion. If only a single 'clone' survives to the point of sampling, and then is

detected, evolution will of course appear linear. However, conclusions regarding linear evolution from cancer genomic data are likely confounded by the limited sampling applied to the cancer in question and limits of resolution by next-generation sequencing technologies.

### *[H2] Neutral evolution*

Neutral evolution occurs in the absence of differential selection within a population and can be regarded as the evolution that occurs in-between selection events<sup>31</sup>. Prior to adaptive mutation occurring the population evolves neutrally, and when the mutation arises it initiates a **clonal sweep [G]** which can be complete or incomplete. If the sweep is complete and all the cells in the population carry the adaptive mutation, then the dynamics revert to neutral again.

### *[H2] Punctuated evolution*

Punctuated evolution posits rapid bursts of adaptive evolution rather than continual gradual steps. If the adaptive mutation is a large-scale alteration of the genome (for example, loss or gain, translocation or fusion of a chromosome) the adaptive clone has been referred to as a “hopeful monster”<sup>32,33</sup>. Compared to a small-scale mutation, its genome is significantly altered, with the ‘hopeful’ referring to the likelihood that the mutation is adaptive. **Punctuated equilibrium [G]** is a model first proposed by Eldridge and Gould in the early 1970s for species evolution<sup>34</sup> whereby adaptation occurs in a small spatially-isolated niche, until the newly-adapted individuals rapidly expand out of the niche and through the wider population. Because the niche is small, the gradually-adapting population is unlikely to be sampled before it expands, and so the evolutionary dynamics of the population at large are ‘punctuated’ by the expansion of the adapted clone. Equilibrium refers to long periods of apparent clonal stasis during which the adapted clone persists at low, likely undetectable, frequency in the population.

## **[H1] Inferring evolutionary mode with genomics**

Although adaptation occurs at the phenotypic level, measuring the tumour cell phenotype within its original environment is challenging. Surrogate measurements such as gene expression are informative, but given the complexity and plasticity of the cancer transcriptome, and the contribution to gene expression signals from cells within the tumour microenvironment, these are often difficult to interpret in light of evolution. This is why, to date, genome profiling has been the preferred tool to study cancer evolution. However, there are several major caveats when we try to understand the phenotypes from studying the genotypes, a problem that has been tackled over decades in the field of molecular evolution. The key issue is that the cancer **genotype–phenotype map [G]**, bar some notable exceptions, such as treatment resistance mutations, is largely unknown. Therefore, mapping the tumour phylogenetic tree and the underlying adaptive traits remains difficult.

## *[H2] Bulk sequencing*

The commonly used bulk sequencing, that is, profiling of a sample comprised of many cells, imposes a major limitation on inferences about tumour evolution dynamics. Because the standard depth of sequencing is many orders of magnitude smaller (100–1,000X) than the number of cells in the sample (10 million – 1 billion), bulk sequencing only recovers mutations that are either present in all, or the majority of, cancer cells in a given sample. Each doubling of the cancer cell population halves the frequency of new mutations arising in the population, and hence after just 7 doublings new mutations are undetectable with 100X sequencing, and after 10 doublings new mutations are undetectable at 1,000X sequencing depth. Thus, detecting selection that resulted in a limited clonal expansion (100s-1000s cells) is problematic. Contamination by stromal cells imposes an additional challenge as it dilutes out the frequency of cancer alleles. Thus, bulk sequencing mostly informs on the most recent common ancestor (MRCA) of the cells in the sample, a ‘node’ in the phylogenetic tree that is extinct in the current malignancy. The more cells in the bulk sample, the older the MRCA and shorter the apparent branches in the tree. Mathematically, this phenomenon emerges from coalescent theory<sup>16</sup> Consequently, different-sized samples can generate very different portraits of the clonal structure of a tumour.

## *[H2] Choice of sequencing assay*

The relative abundance of **passenger mutations [G]**, which are evolutionary neutral and non-adaptive, over driver mutations, **which** are under positive selection, makes the passengers that hitchhike on a driver event very informative vis a vis clonal dynamics. Passenger mutations provide a genetic mark to distinguish different functional clones and, more specifically, the number of passenger mutations unique to a lineage is a measure of the molecular age of that clone. The **variant allele frequency [G]** (VAF) determines clone abundance, and the proportion of passenger mutations shared between clones reveals their ancestry<sup>8,35</sup>. The choice of sequencing assay (high-depth targeted panel, moderate-depth exome or lower-depth whole-genome sequencing) represents a trade-off between the need for high-depth sequencing to accurately recover clone frequency (or even detect the clone at all) versus genome-wide detection of passenger mutations that uniquely identify distinct clones. Moreover, since deeper sequencing provides a broader temporal window on cancer evolution, the choice of sequencing assay is a compromise between genome sequencing, providing detail on the clonal architecture in only a short and early time window, versus deep targeted sequencing, which provides limited clonal information but greater temporal range. Here, deeper and broader (for example, more of the genome covered) sequencing is always preferred.

## *[H2] Allelic copy-number correction*

The study of evolutionary dynamics of cancer clones is fundamentally concerned with the relative frequencies of cancer clones over space and time. Many bioinformatics tools have been created to infer clonal frequencies from bulk sequencing data, such as PyClone<sup>36</sup>,

SciClone<sup>37</sup> and PhyloWGS<sup>38</sup>. Broadly, these tools attempt to identify sets of mutations that are all at the same frequency and assign them to clones. These tools have been instrumental to study cancer evolution from cancer bulk data. However, this task requires many prior inference steps, each of which risks the introduction of errors that are then propagated through the analysis. Structural alterations (loss, gain and rearrangements of genetic material) are common in cancer genomes and confound the interpretation of mutation frequency. Because structural alterations typically alter the copy number of a locus, they also have an impact on the relative frequency of any single nucleotide variant (SNV) mutation at that locus. Thus, to assign SNVs to clones, it is necessary to correct for the impact of copy number alteration (CNA), to turn the allelic frequency of an SNV into a clone frequency. In theory this is straightforward: the cellular abundance of any individual mutation is simply a product of its frequency and copy number. However, if the allelic copy number is incorrectly inferred, then the SNVs in that CNA will be scaled to the wrong frequency and so potentially erroneously appear as a new clone. In a tumour composed of 50% cancer cells, the difference in frequency of an SNV present on 1 of 3 copies versus 1 of 4 copies is only about 3%, which is a level of accuracy that is rarely achievable with moderate-depth sequencing (~100x). Moreover, errors can stem from the initial inference of the copy number of the locus. Consequently, errors in the allelic copy number inference propagate to produce an erroneous clone phylogenetic tree and give a misleading picture of the clonal structure of a tumour. Considering only SNVs located in diploid regions and exploiting the hitchhiking principle<sup>39</sup> helps, but in a highly **aneuploid [G]** genome risks discarding the majority of SNVs for downstream evolutionary analysis, thus losing signal for the subclonal reconstruction. It is important to note that clone identification is by the (abundant) hitchhiking mutations that define the clone, not from the drivers themselves. There remains a need for higher resolution data (>100x depth at whole-genome resolution) and improved clonal decomposition methods that effectively handle error propagation and quantify uncertainty. Emerging long-read and linked-read sequencing technology also offers the hope of circumventing this issue, as long reads intrinsically 'phase' mutations and so directly reveal their allelic identity<sup>40</sup>[ref]

### *[H2] Single-cell sequencing*

Single-cell sequencing is an exciting emerging alternative to bulk sequencing to explore tumour evolution<sup>41-45 42,44,46-48</sup>. In theory, sequencing individual cells removes the time bias inherent to bulk sequencing, as all genetic mutations within the sequenced cell should be detectable, irrespective of when the mutations arose. Clonal identity also becomes evident, removing the need for allelic copy-number correction. However, calling SNVs in single-cell sequencing remains challenging due to the level of noise and missing data. Combining information from multiple cells addresses this issue<sup>49</sup>, although at the cost of losing single-cell resolution. By contrast, CNAs can be reliably identified in single cells<sup>50</sup>; however, because the background CNA rate is still not well understood<sup>51</sup>, drawing inferences about temporal evolutionary dynamics from these data is not straightforward. Nevertheless,

single-cell sequencing offers a powerful route to learning how CNAs accrue, since sequencing individual cells means that some newly born cells can be analysed prior to the effects of selection, informing the 'background' CNA mutation rate<sup>51</sup>. Single-cell sequencing of cells from a large cancer risks sequencing many cells that are 'evolutionary dead ends' and would not contribute to future disease progression. Simply sequencing large numbers of cells would abrogate this issue and, moreover, gives a direct means to detect and characterize negative selection<sup>52</sup>, which cannot be identified by bulk sequencing. We expect single-cell sequencing to become the tool of choice in the future as sequencing costs continue to fall.

### **[H1] Detecting selection**

Clonal selection drives cancer evolution, so naturally there is much interest in identifying the cause of a clone's selective advantage. However, detecting selection comes with several challenges (**Figure 2**). There are two broad approaches for detecting selection: (1) clone frequency-based methods and (2) mutational pattern-based methods. The two approaches are complementary and should be used in conjunction.

#### *[H2] Using clone frequency to detect selection*

Broadly, frequency-based methods detect selection by looking for lineages that are more abundant than is expected under neutral evolution. This is done exploiting the Variant Allele Frequency (VAF) distribution, often also referred to as the site frequency spectrum (SFS), as a surrogate for lineage frequency in a sample. The appeal of this approach is that the shape of the VAF distribution under neutral evolution in a well-mixed population is well known: specifically, under neutral evolution the number of mutations,  $m(f)$ , as a function of allelic frequency  $f$  follows a  $1/f^2$  distribution<sup>53 54 6 55 7</sup>. Multi-region sampling can also be used to measure clone frequency: selection for an ancestral clone causes it to have a disproportionate number of offspring in the phylogenetic tree constructed from these data<sup>56</sup>. Hybrid methods that simultaneously consider the VAF distributions from multi-region sampling also exist<sup>57</sup>.

Longitudinal sampling of clone abundance provides a particularly powerful method to detect selection: clones that grow disproportionately faster than others are likely under selection<sup>58</sup>. However, longitudinal tissue collection and temporal analyses of solid tumours is rendered challenging owing to the accessibility of tumour tissue. In due course, as sequencing technologies improve and costs decline, we anticipate that analyses of circulating free tumour DNA will help to circumvent some of these challenges<sup>59,60</sup>.

Frequency-based methods are limited by the power to detect small deviations from the null neutral model (e.g. deviations from the  $1/f^2$  distribution)<sup>8</sup>. Weak selection (for example, a relative selective advantage  $\sim 1\%$ ) causes only slow and slight shifts in clone frequency that may go undetected in moderate-depth sequencing<sup>8</sup>. Such weakly selected clones may never become detectable, especially if they arise too late [REF Sottoriva et al. 2015, Williams et al. 2018],<sup>8,61</sup> and may take longer than a human lifetime to become dominant. The spatial

architecture of a tumour presents a complication too — selection is invisible if all samples are taken within the selected clone (Figure 2). Moreover, frequency-based methods can detect only ongoing differential selection within a population. Once a selected clone has taken over, reaching fixation [G], the new (fitter) population of tumour cells is homogenous with respect to the selective alteration, and so the within-tumour evolution reverts to neutral. In this case, dense longitudinal sampling is necessary to accurately detect selection. There are therefore multiple caveats to inferring selection from single low-sequencing depth samples.

### *[H2] Using mutational patterns to detect selection*

Alternative methods use the burden and type of mutations across the genome to detect selection; collectively we refer to these as ‘mutational pattern’ methods. These methods exploit the fact that selection causes an over-representation of the mutations that increase fitness with respect to neutral mutations that measure lineage divergence<sup>8,62</sup>. Indeed, statistical tools to identify cancer driver mutations across tumours work by considering the frequency at which a gene is found to be mutated across cancers compared to background expectation<sup>63</sup>. The dN/dS ratio — the ratio of non-synonymous mutations (N mutations) to synonymous mutations (S mutations) normalized by their respective likelihood of occurrence — is a popular sequence-based method for detecting selection. The logic of the method is that non-synonymous mutations will tend to experience selection, whereas synonymous mutations will be evolutionary neutral, and so positive selection will cause an over-representation of NS mutations ( $dN/dS > 1$ ) whereas negative selection will cause an under-representation of NS mutations ( $dN/dS < 1$ )<sup>64</sup>. Driver genes should have positive dN/dS values<sup>24</sup>, and newly refined powerful methods for dN/dS calculation have been developed specifically for cancer data<sup>12,14</sup>.

For the dN/dS method to work, a sufficient number of mutations has to be under selection in the gene or locus to cause a statistically significant deviation of the ratio away from 1. Hence, a minimum mutation burden is required to calculate the ratio, and the method is challenging to apply to individual genes that have too few mutations in a cohort. Importantly, dN/dS methods provide ‘average’ estimates of selection (both positive<sup>12</sup> and negative<sup>14</sup> across a cohort of patients, and are hard to apply to individual tumour evolutionary dynamics. Few patients with extensive positive selection could drive the dN/dS value of a whole cohort [REF Heide 2018 – NatGen]. Population demographics also influence the dN/dS ratio in a complex manner and potentially confound its interpretation<sup>65,66</sup>. Nevertheless, combining frequency-based with mutational pattern-based methods can partially overcome the limitations of each approach, providing more robust estimates of clonal selection.

### *[H2] Stochasticity versus determinism*

In small populations, both in cancer and species, stochasticity can dominate the evolution of even strongly selected mutations<sup>3</sup>, but a large clone in a large population can behave more

deterministically<sup>67</sup>. The threshold between stochastic and becoming deterministic is inversely proportional to the selective advantage of the mutant<sup>58,68 23</sup>. This ‘evolutionary rule’ about the transition from stochasticity to determinism has implications for the predictability of cancer evolution: small, stochastically evolving clones have unpredictable evolution, whereas large clones evolve more predictably. In other words, we are likely to be able to accurately predict the evolution of clones that have already grown large enough to be detected, but an accurate prediction about the emergence of specific minor clones will be more challenging<sup>69</sup>.

## **[H1] Chromosome instability in cancer evolution**

### *[H2] CIN and clonal fitness*

Alterations in copy number affect a greater proportion of the cancer genome than any other mutation<sup>70</sup> and can act as “hopeful monsters”<sup>71</sup>, offering potentially high adaptive advantage to evolving cancers. They result from CIN, a consequence of ongoing errors in chromosome segregation during mitosis and errors of DNA replication and repair<sup>72,73</sup>. The end result is aneuploidy (an unbalanced chromosome complement) involving entire chromosomes (whole-chromosome aneuploidy) or parts of chromosomes (partial or segmental aneuploidy). Aneuploidy can also occur independently of CIN if a single event of chromosome missegregation leads to expansion of the aneuploid clone. Such tumours are homogeneously or clonally aneuploid, whereas tumours with ongoing CIN are heterogeneously or subclonally aneuploid<sup>74,75</sup>. In addition, aneuploidy can result from single catastrophic events, termed **chromoplexy [G]** (if affecting multiple chromosomes) or **chromothripsis [G]** (affecting 1–2 chromosomes), the relevance of which has become increasingly evident across different cancer types<sup>76</sup>. Irrespective of the mechanism, aneuploidy can alter the somatic copy number, and therefore expression, of many genes at the same time. Although the background alteration rate varies substantially across chromosomes<sup>51</sup> it does not account for evidence of recurrent chromosomal-level or arm-level aberrations in tumours<sup>77</sup>, which is likely explained by selection (both positive for CNA drivers or negative for lethal chromosomal states). The locations of tumour suppressor genes and oncogenes re-capitulates the patterns of aneuploidy observed across different cancers<sup>78,79</sup> and also shows the adaptive potential provided by CIN. In a mouse model of acute lymphoblastic leukaemia and hepatocellular carcinoma, induction of CIN in T cells and hepatocytes resulted in tumour-specific patterns of chromosome copy alterations<sup>80</sup>, suggesting that selective pressure is tissue context-dependent. CIN can also provide means of disease escape following curative treatment with surgery or disease control with targeted therapy. Induction of CIN in the KRAS model of lung cancer resulted in rapid relapse, with recurrent tumours showing high levels of aneuploidy, with emergent independence from the original oncogenic stimulus<sup>81</sup>. In chronic myeloid leukaemia, patients who developed resistance to BCR-ABL targeting imatinib developed additional chromosomal alterations<sup>82</sup>.

Some effects of CIN are independent of gene-specific alterations, including reduced proliferation, proteotoxic stress, metabolic changes, upregulation of the stress response and further genome instability. Additional genome instability in particular has a profound impact as aneuploid cells continue to create more genetic diversity<sup>83,84</sup>. The fact that aneuploidy (or CIN) can be both detrimental and advantageous highlights the importance of determining the selective landscape. This is well illustrated in yeast where aneuploidy provides a fitness advantage under severe environmental conditions, acting as “first evolutionary line of defense”<sup>85</sup>, but does not persist upon reversion to normal conditions. In a systematic study of the oncogenic potential of aneuploidy in mouse embryonic fibroblasts, trisomy failed to induce transformation under any conditions and the cells grew poorly compared to matched euploid cells, consistent with a fitness penalty<sup>86</sup>. However, during long-term growth, triploid cells acquired other aneuploidies that conferred improved fitness. The authors suggest that low levels of aneuploidy may be tumour-protective, but that the genome-destabilizing effects of aneuploidy are tumour-promoting under certain growth conditions. Thus, the rare growth-promoting aneuploidies expand and rise to clonal levels, whilst growth-inhibitory aneuploidies are selected against. Consistent with this notion, aneuploid cells grew better than euploid cells under conditions of environmental stress such as hypoxia and chemotherapy<sup>87</sup>. Addition of a single chromosome increased the tolerance to environmental stresses and was not chromosome-specific, suggesting that overexpression of particular genes is not the only contributor to adaptive potential.

### *[H2] CIN and metastases*

Complex processes of metastatic spread, which require a multitude of cellular phenotypes, could be well served by the karyotypic and phenotypic heterogeneity generated by CIN. Comparative studies of matched primary tumour–metastasis pairs have reported enrichment for aneuploidy in metastatic lesions from prostate, pancreatic, breast and colon cancers (reviewed in<sup>88</sup>). Through a detailed clonal resolution of matched clear cell renal cell cancer (ccRCC) primary and metastatic tumours, we recently reported that a critical difference between tumour clones that are metastasis-competent compared to those that fail to metastasize is the degree of aneuploidy and chromosome complexity (measured by fluorescence-activated cell sorting (FACS) and weighted genome instability index<sup>89 90</sup>). Furthermore, we observed that specific somatic CNAs, loss of 9p and loss of 14q, were highly enriched within the metastasizing clones, reflecting active selection. We found no evidence of selection for the smaller scale mutations such as SNVs<sup>90</sup>. Beyond altering the expression of many genes simultaneously, potential mechanisms by which chromosomal alterations contribute to metastasis include the induction of mesenchymal transition through changes in expression of intercellular junction proteins<sup>91</sup>, activation of the cGAS–stimulator of interferon genes (STING) pathway by cytosolic DNA from chromosome missegregation<sup>92 93,94</sup>, and immune evasion<sup>95</sup>.

## *[H2] CIN and clinical outcomes*

The role of CIN in cancer evolution and progression is evidenced by its association with poor clinical outcomes in a number of retrospective studies<sup>96,97</sup>. More recently, analyses in a prospective cohort of early stage non-small cell lung cancer (NSCLC) evolution (TRACERx-Lung study) showed that CIN confers an increased risk of recurrence and death independently of known predictive markers<sup>27</sup>. In TRACERx-Renal, a similarly prospective study of ccRCC, an increase in aneuploidy was associated with shorter progression-free and overall survival<sup>26</sup>. Intriguingly, the level of CIN has a bearing on its overall impact on prognosis. In a pan-cancer analysis of >2,000 samples, only moderate levels of CIN (>25% and <75%) were associated with decreased survival, concordant with previous studies showing that excessive levels of CIN confer an improved prognosis<sup>98,99 100</sup>. These observations are consistent with a fitness cost of CIN, with the selective advantage of karyotypic heterogeneity negated by excessive levels of aneuploidy.

CIN is also linked to resistance to anti-cancer treatment, including chemotherapy<sup>101,102</sup>, and CTLA4 and PD1 immune checkpoint inhibitors (CPIs)<sup>95 103</sup>. In NSCLC, CIN can lead to subclonal loss of heterozygosity (LOH) in the genes encoding the human leukocyte antigen (HLA)<sup>104</sup>, with pervasive evidence of positive selection for this event in tumours. In this context, HLA LOH facilitates accumulation of subclonal neoantigens, and further clonal evolution<sup>104</sup>. In ccRCC, we observed increased rates of HLA LOH in primary tumour subclones that were selected in metastatic sites<sup>90</sup>, highlighting again the role of immune evasion in metastasis.

## **[H1] Evolutionary patterns and patient outcomes**

Whether understanding a tumour's evolutionary trajectory and evolutionary potential can help to predict patient outcomes remains a critical question in the context of precision medicine.

### **H1A Clonal diversity and clinical outcomes**

The presence of clonal diversity (both neutral and non-neutral) is expected to provide a rich repertoire of alterations that could be adaptive under selective pressure of therapy, alterations in tumour environment or metastatic colonisation of distant sites. In a prospective study of Barrett's oesophagus, a premalignant condition, progression to adenocarcinoma correlated with clonal diversity independently of other genetic risk factors<sup>105</sup>. Multiple studies have demonstrated the link between subclonal diversification and adverse clinical outcomes in chronic lymphocytic leukaemia<sup>106 107</sup>, head and neck cancer<sup>108</sup>, ovarian cancer<sup>109</sup> and across other cancer types<sup>110</sup>. Subclonal diversification of SCNAs and mutational drivers was associated with adverse prognostic features in ccRCC, and independently associated with reduced progression-free and overall survival<sup>26</sup>. In NSCLC, diversity of somatic CNAs but not SNVs correlated with the risk of relapse and death<sup>27</sup>. In patients with breast cancer, intratumour heterogeneity of *HER2* copy number, detected at single-cell resolution, was associated with shorter survival<sup>111</sup>. In multiple myeloma, detection of neutral evolution dynamics correlated with progression-free and

overall survival<sup>112</sup> and was associated with the presence of a strong clonal (truncal) oncogenic driver, which might explain the lack of ongoing selection.

### **H1B Punctuated versus gradual evolution and clinical phenotypes**

It is increasingly apparent that some tumours acquire multiple and/or strong drivers in a short period of time (punctuated evolution), whereas others show a more steady rate of driver acquisition (gradual evolution)<sup>10,113-115</sup>. The result of punctuated evolution is a rapid clonal sweep and a functionally homogenous tumour mass. In ccRCC, these tumours are characterized by low driver intratumour heterogeneity and high levels of clonal aneuploidy that became fixed early on in tumour evolution<sup>26</sup>. These tumours proliferated faster, disseminated rapidly to many different sites (Figure 3a), and had worse outcome, compared to those characterized by clonal diversity and subclonal aneuploidy. Metastases from rapidly evolving tumours were seeded by the same dominant clone found at the primary site, resulting in limited inter-metastatic heterogeneity in untreated patients (Figure 3a). By contrast, tumours with subclonal aneuploidy, evolving in a Darwinian fashion and gradually accumulating driver alterations, grew more slowly and over longer periods of time<sup>26</sup>. In some cases metastases were seeded by multiple clones resulting in inter-metastatic heterogeneity (in untreated patients). In line with this finding, a mathematical model of metastases formation suggests that the probability of observing inter-metastatic heterogeneity (which results from distinct clones in the primary tumour seeding different metastatic sites) increases when the primary tumour grows slowly<sup>116</sup>. Intriguingly, gradually evolving tumours were also associated with a specific pattern of metastatic progression, termed “oligometastases”<sup>90</sup> (Figure 3b). Oligometastases, defined as a small number of lesions confined to a single site, are conceptualized as an intermediate state of metastatic capacity<sup>117,118</sup> with an important clinical implication for directed, potentially curative treatment for such lesions. Reduced metastatic efficiency of clonally diverse tumours could be a result of clonal interference (inter-clonal competition at the primary tumour site) or a reflection of weak clonal drivers, with subclonal driver events providing additional fitness required for metastases.

Pancreatic cancer has traditionally been viewed as following gradual evolution, with sequential acquisition of driver events. However, some pancreatic cancers show punctuated equilibrium as the principle evolutionary trajectory, whereby multiple driver events are acquired sometimes through a single ‘catastrophic’ event, resulting in complex genomic rearrangements<sup>119</sup>. Consistent with our observations in renal cancer, such evolutionary trajectories result in limited inter-metastatic heterogeneity, as all metastases are seeded by the dominant primary tumour clone<sup>120</sup>. Another example is uveal melanoma, which is characterized by aggressive albeit latent liver metastases in a proportion of patients, especially those whose primary tumour harbours *BAP1* mutations. *BAP1* mutations and chromosomal complexity were shown to arise in a short burst early on in tumorigenesis<sup>113</sup>, implying that metastatic potential can be acquired at the earliest

stages of cancer evolution. Similar observations have been made in triple-negative breast cancer<sup>115</sup>, while chromoplexy and chromotripsis were shown to fuel rapid evolution in prostate cancer and colorectal cancer<sup>114,121</sup>, respectively.

Finally, the temporal order in which mutations are acquired during tumour evolution affects clinical phenotype and outcome in myeloproliferative neoplasms<sup>122</sup>, ccRCC<sup>26</sup>, NSCLC and breast cancer<sup>123</sup>. These observations are consistent with determinism and suggest that evolutionary trajectories could potentially be predicted for patient benefit.

The observation of the wide spectrum of evolutionary patterns in cancer begins to reconcile the diverse clinical phenotypes and varied outcomes seen in the clinic. In particular, the occurrence of punctuated genomic evolution highlights the challenge of managing cancers that acquire metastatic competency early, cancers that are 'born to be bad'. Supporting this notion are pre-clinical models that show metastatic dissemination before frank malignancy is detected histologically<sup>124</sup>. These observations are especially relevant for cancer screening approaches. As the latency between the emergence of the invasive clone and metastatic spread can be short, the window for early detection could be very limited<sup>125</sup>. Many questions about evolutionary trajectories remain, including the environmental conditions which favour gradual evolution (gradual accumulation of driver mutations), or punctuated evolution (large-scale rearrangements of the genome leading to many drivers acquired at once) and how these may be altered for therapeutic benefit.

### **[H1] Origin of the treatment-resistant clone**

Despite continuing advances in the treatment of cancer, metastatic tumours remain largely incurable. Understanding how treatment resistance evolves under the selective pressure of therapy can inform novel strategies to delay or prevent its onset.

#### *[H2] Resistance to targeted therapies*

Targeting oncogenic drivers in both blood and solid malignancies has brought about a remarkable change in the cancer treatment landscape. Notable examples include BCR–ABL translocation in chronic myeloid leukaemia, where the use of imatinib has resulted in 10-year survival rates of ~85%<sup>126</sup>; KIT mutations in gastrointestinal stromal tumours (GISTs), *HER2* amplification in breast cancer, EGFR mutations in NSCLC, and BRAF mutations in melanoma. However, with the exception of chronic myeloid leukaemia, disease control afforded by targeted agents is fairly short-lived, and treatment rarely results in long-term survival for the patient. Mutational complexity of solid cancers may be a contributing factor to the inevitability of resistance, as every additional mutation could provide a pathway to treatment resistance. Accordingly, higher tumour mutational burden (TMB) correlates with shortened benefit from EGFR-tyrosine kinase inhibitor (TKI) treatment in metastatic EGFR-mutant NSCLC<sup>127</sup>. Although resistance mutations can arise de novo<sup>128</sup>, they frequently pre-exist as minor subclones (Figure 4a)<sup>129,130</sup>, although the ability to detect them in pre-treatment samples is limited by the breadth of sampling and depth of sequencing.

Modelling of tumour growth suggests that detectable metastatic lesions can harbour ten or more resistant subclones<sup>131</sup>. Although there are limitations to these models (reviewed in<sup>132</sup>), the predictions are consistent with the observations in clinical and genomic data. In a recent study of patients with chronic lymphoid leukaemia treated with ibrutinib, resistance was attributable to the emergence of mutations in BTK and/or PLCG2, which were detected with a high-sensitivity method up to 15 months prior to clinical progression, with some patients evolving multiple resistance mutations<sup>133</sup>. Polyclonal treatment resistance has been described in other tumour types, with evidence of parallel expansion of clones harbouring distinct mechanisms of resistance under selective pressure of therapy<sup>134-136</sup>. Upfront evaluation of the resistant clones can also be used to forecast the duration of therapeutic benefit, as recently demonstrated in metastatic colorectal cancer using frequent time-course liquid biopsies and mathematical modelling<sup>137</sup>.

Thus, a comprehensive catalogue of resistant mutations could inform appropriate combinatorial strategies, while dynamic monitoring of emerging and resolving alterations can facilitate adaptive treatment strategies. This approach was well illustrated by the example of EGFR inhibition in colorectal cancer and the waxing and waning of the resistant RAS mutant alleles in the blood in response to treatment initiation and withdrawal<sup>138</sup>. These observations also highlight the issue of fitness penalty associated with resistant mutations: KRAS mutations were detected in cell-free DNA from patients who developed resistance to EGFR inhibition; however, when therapy was withdrawn they remained undetectable, suggesting that they require ongoing therapy for their maintenance and that resistance comes at a cost. The higher the fitness cost, the harder it is for the resistant clone to emerge as modelled in patient-derived **xenografts** (PDXs) [G] from individuals with BRAF-V600E mutant melanoma or NSCLC, who developed resistance to BRAF inhibition. PDXs were exposed to ERK inhibition (downstream of BRAF), which resulted in multiple BRAF-amplified clones being selected and propagated. When BRAF, MEK and ERK inhibition were combined in an intermittent schedule, the fitness disadvantage prevented the emergence of the BRAF-amplified subclones<sup>139</sup>. Finally, clonal complexity may affect the drug target itself. Although frequently clonal by virtue of being founder alterations, drug targets can also be found in tumour subclones. In a recent clinical trial, FGFR inhibitor responders harboured a clonal FGFR amplification, whereas non-responders harboured subclonal amplifications<sup>140</sup>.

### [H2] Resistance to immune checkpoint inhibition

Another important development in cancer therapeutics has been the advent of **immune checkpoint blockade** [G]. The efficacy of CPIs is contingent on pre-existing recognition of the tumour by the immune system, through presentation of neoantigens which result from somatic mutations accumulated by the tumour<sup>141</sup>. Accordingly, the CPIs have been most effective in tumour types with an abundance of somatic mutations (that is, a high TMB)<sup>142</sup> which increases the likelihood of a potent neoantigen being presented to the immune system. Initially, it was expected that CPIs might circumvent the clonal diversity faced by targeted therapies; however, it has become apparent that clonal evolution has a profound

impact on immunotherapy success and failure. Subclonal neoantigens do not stimulate an adequate tumour response, as shown by reduced sensitivity to checkpoint blockade in melanoma and NSCLC tumours that have a significant proportion of subclonal mutations<sup>143</sup>. This pattern has been confirmed across additional tumour types<sup>144</sup>. Neoantigen evolution, or immune-editing, underlies some aspects of acquired resistance to CPIs. Loss of both clonal and subclonal neoantigens under selective pressure of CPI treatment has been reported. Clonal neoantigens are lost through deletion of the chromosome region that harbours the alteration, whereas subclonal neoantigens are lost through outgrowth of alternative subclones<sup>145</sup>. Critically, peptides generated from the lost neoantigens elicited clonal T-cell expansion in autologous T-cell cultures<sup>145</sup>, suggesting that they generated functional immune responses. Neoantigen immune-editing has also been reported in the context of adoptive transfer of autologous lymphocytes that specifically target proteins encoded by cancer-specific mutations, another area of active clinical development which holds much promise<sup>146</sup>. T-cell recognized neoantigens were selectively lost over time in metastatic melanomas treated by adoptive T-cell transfer, accompanied by the development of neoantigen-specific T-cell reactivity in tumour-infiltrating lymphocytes<sup>147</sup>, which indicates immune-editing.

Inactivation of antigen presentation is another important mechanism of acquired CPI resistance. For example, point mutations, deletions or LOH in *B2M*, which encodes an essential component of MHC class I antigen presentation, and in the genes encoding interferon-receptor-associated Janus kinase 1 (JAK1) or JAK2, have all been reported as common mechanisms<sup>43,148</sup>. Just as with the drivers of resistance to targeted therapy, these alterations were selected and expanded under therapy. Vaccine strategies are also vulnerable to these alterations. In a trial of an RNA-based vaccine against a spectrum of cancer mutations, neo-epitope-specific killing was demonstrated in a patient who initially responded but developed resistance owing to the outgrowth of  $\beta$ 2-microglobulin-deficient melanoma cells<sup>149</sup>. Another mechanism of immune evasion occurs through selection of tumour populations where HLA is either mutated or lost. In a recent report of adoptive T cell transfer in a patient with colorectal cancer, profiling of a progressive lesion revealed loss of the chromosome 6 haplotype encoding the HLA allele that recognizes the targeted mutant KRAS<sup>150</sup>.

## **[H1] Conclusions and perspective**

An understanding of the dynamics of cancer evolution might lead to improvement in clinical outcomes, as it enables prognoses to be accurately determined and 'evolution-aware' patient management to be applied. Genomic analysis provides a quantitative measurement of evolutionary dynamics and evolutionary potential. There is tremendous value still to be gleaned from analyses of the rapidly growing public repository of cancer genomic data; particular insight can be gained from the large sample numbers and the inter-comparison of evolutionary dynamics between cancer types. However, we caution that our inferences are

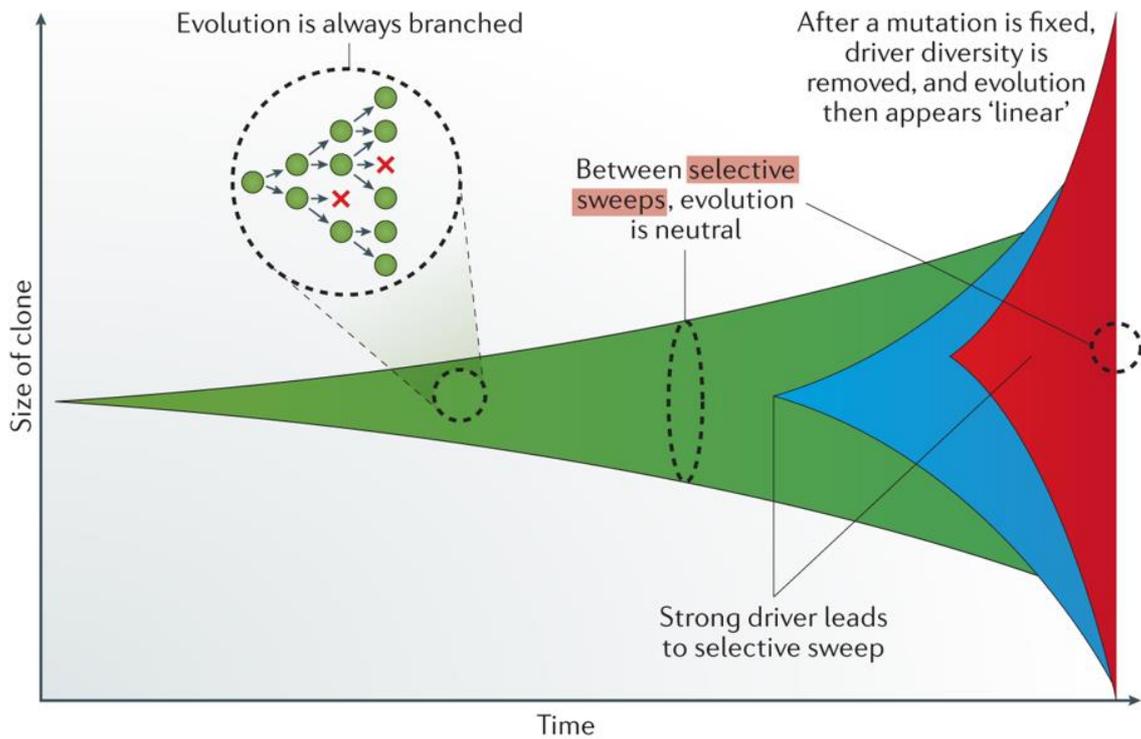
severely restricted by the limitations of single-biopsy, bulk-sequenced data sets. As sequencing costs continue to fall, deeper sequencing (e.g. exceeding the current 'best' of 100x whole-genome), will allow more accurate determination of clonal fractions (reducing error on inferences derived from these data) and enable the resolution of smaller clones. Single-cell sequencing technology promises to circumvent much of the complexity of 'bulk' sequencing data, and this maturing technology promises the concurrent measurement of genotypes and phenotypes in individual cells<sup>151</sup>, together with a characterization of their in-situ microenvironment<sup>42</sup>.

Improving the availability of samples from which to study cancer evolutionary dynamics also presents a bottleneck; we hope initiatives such as our TRACERx<sup>152</sup> and PEACE<sup>153</sup> studies, which provide infrastructure for longitudinal and post-mortem collection of tumour samples, will become more common. Even at a single time-point, these studies provide greater representative tumour sampling relative to single-tumour biopsies, which under-represent tumour bulk, leading to the risk of clonal illusion. Quantitative genomic analysis of 'liquid biopsies' (the analysis of tumour DNA from peripheral blood samples) may overcome this issue and provide an amenable route for minimally-invasive longitudinal disease monitoring as well as predictions on disease course and treatment response<sup>59,137,154-156</sup>. In summary, evolutionary genomics provides an ever-improving lens to reveal the clonal dynamics of cancer and impact patient outcomes.

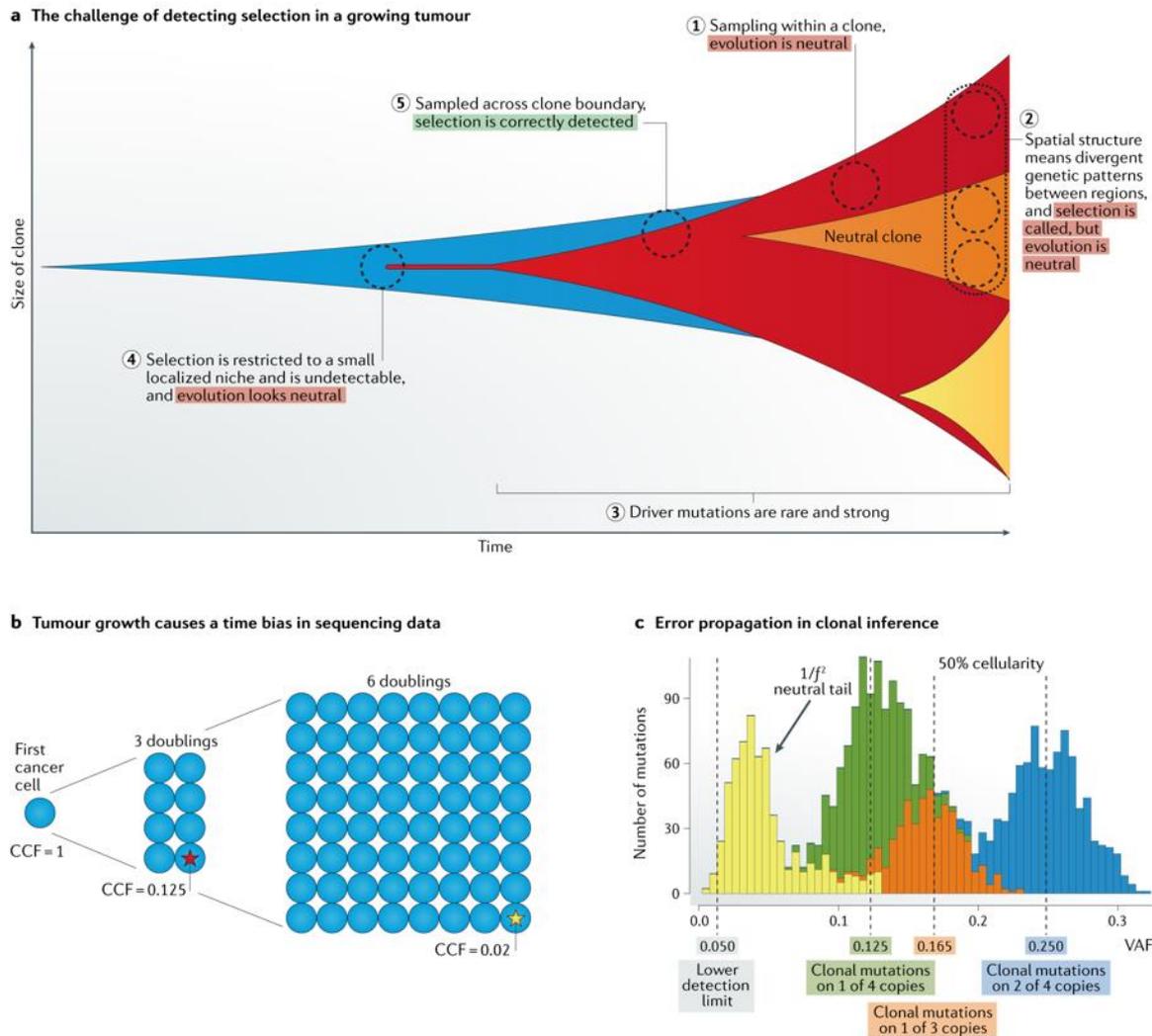
### **Box 1. Is cancer a special case of evolution?**

Despite major overlaps between evolutionary biology and cancer biology, there are a few aspects of cancer evolution that indicate tumours may be a special case of evolutionary systems. First, tumours are extremely large populations, much larger than most common ecosystems and more akin to bacteria colonies, with populations in the order of 100s of billions of cells. This implies that the total diversity is astounding. Another special feature of cancers is chromosomal instability, which is central to cancer evolution. Chromosomal instability allows for the generation of true 'hopeful monsters' — grossly altered clones that may be adaptive — a phenomena thought to be very rare in species evolution. Cancer cell plasticity, or phenotypic change that does not require underlying heritable variation, is also a fundamental force that guides tumour adaptation and makes the system rather 'non-Darwinian' in some contexts.

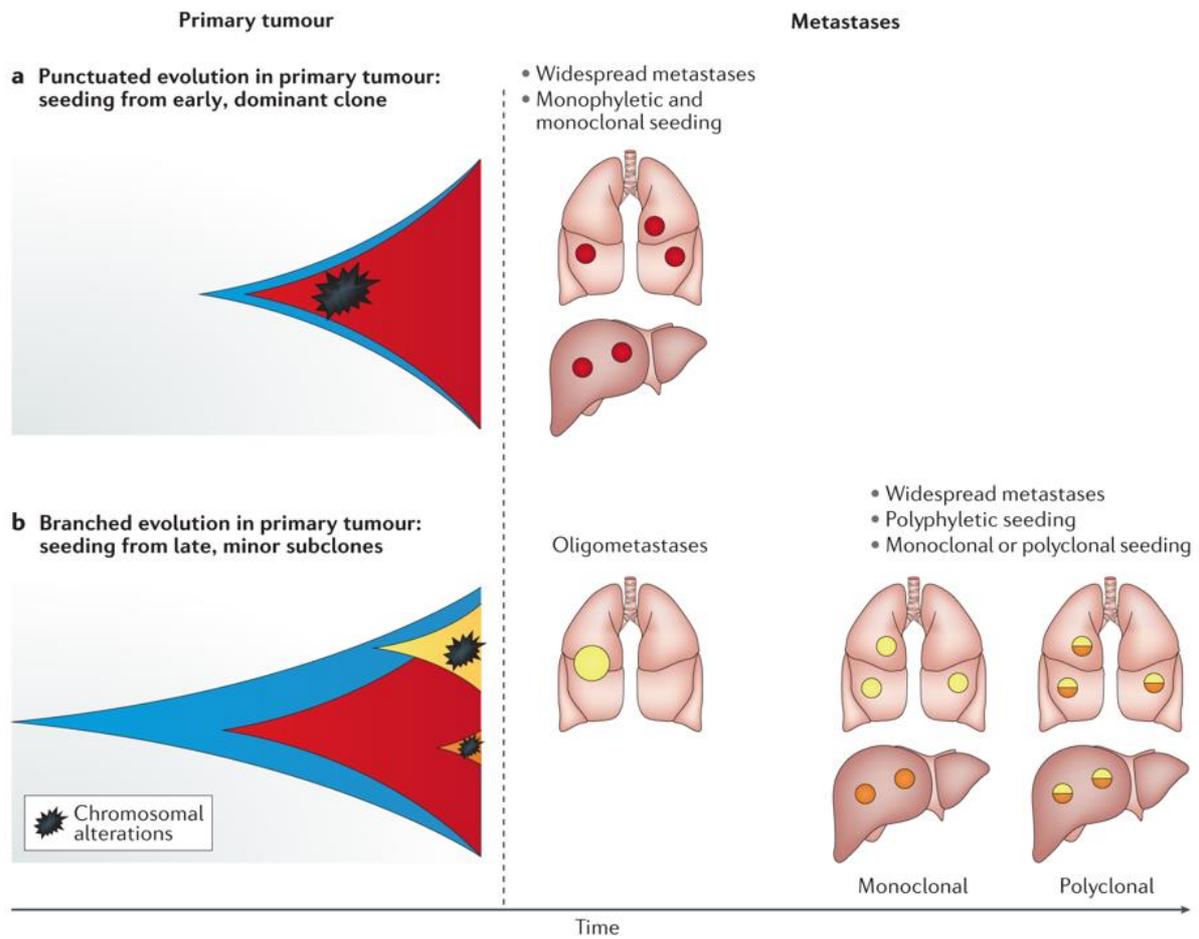
### **Figures**



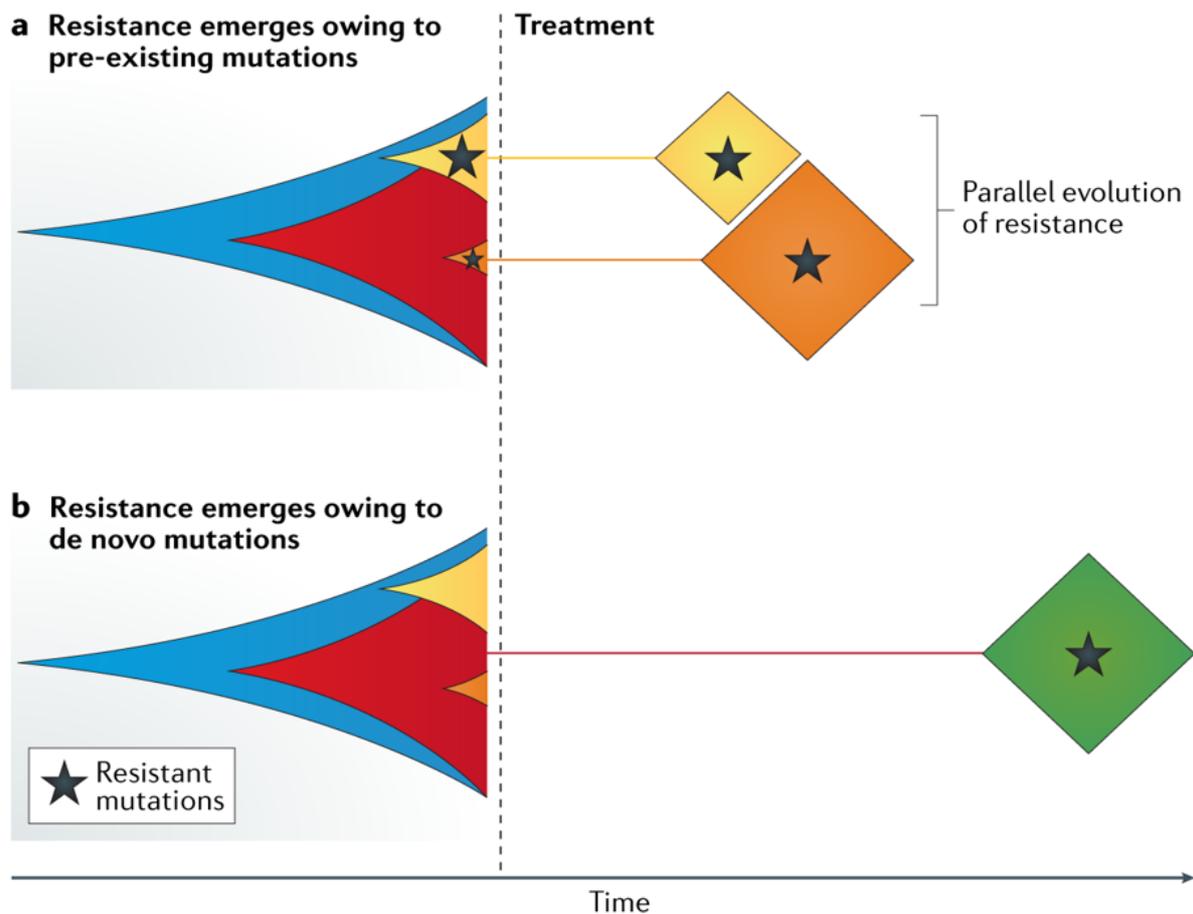
**Figure 1. Modes of cancer evolution.** Cancers evolve according to Darwinian rules: mutation and selection of beneficial new mutations drives the expansion of subclones, and between and within selected clones, the cellular populations experience neutral drift. Different 'modes' of evolution appear depending on when and how the evolutionary process is sampled.



**Figure 2. Challenges in detecting selection.** **a.** Limited sampling in time and space confounds measurement of evolutionary dynamics. (i) Sampling within a clone shows neutral dynamics. (ii) Non-uniform spatial sampling can look like selection when it is just genetic divergence. (iii) If driver mutations accrue rarely but exhibit a strong effect, most evolutionary time shows only neutral dynamics. (iv) Selection occurs within a small niche that is below the detection limit, so evolution appears neutral because selected subclones are undetectable. (v) Using frequency/phylogenetic methods, selection can only be detected when multiple subclones are sampled. **b.** Bulk sequencing data has a profound time bias, allowing only the earliest – and so highest frequency – mutations to be detected. As a tumour doubles its cell number, new mutations that arise represent an exponentially smaller fraction of the tumour, and so rapidly fall below detectable frequency. **c.** Error in copy-number assignment propagates and confounds the identification of tumour subclones. Limited depth sequencing (say 100X) causes dispersion in the true VAF of a variant, and true VAF is determined by clonal abundance and underlying copy-number state (coloured shapes on plot). This leads to mutations in different clones, or at different copy-number states, being erroneously misassigned clonal identities (red boxes). The  $1/f^2$  tail of low frequency mutations is an inevitable consequence of tumour growth, and further complicates clonal inference on VAF data.



**Figure 3. Clonal evolution and metastases.** Different modes of evolution in the primary tumour can impact the mode of metastatic progression<sup>26</sup>. Metastatic capacity is associated with increased chromosome complexity<sup>90</sup>. **A.** Tumours that evolve in a punctuated fashion with early onset of clonal chromosome complexity grow rapidly and metastasise early and widely. Metastases are monophyletic (single dominant clone seeds all the metastatic sites) and monoclonal (single clone seeds single site), and there is limited inter-metastatic heterogeneity. **B.** Tumours that evolve in a branched/Darwinian fashion grow more slowly are composed of distinct subpopulations of cells with differential metastatic capacity and chromosome complexity is acquired late. They can be associated with solitary or oligo-metastases. When they spread to multiple sites they may do so in a polyphyletic fashion (different subclones seed different sites), which may include organ-specific patterns and result in inter-metastatic heterogeneity<sup>116</sup>. If multiple clones seed the same site, the metastasis is polyclonal.



**Figure 4. Clonal evolution of treatment resistance. A.** Resistant mutations can be present in the tumour population before the start of therapy, usually as a minor subclone<sup>131,133</sup>. They may evade detection in the baseline sample if they are present at very low frequency or a restricted to an unsampled region of the tumour. They may be even neutral or deleterious before therapy. Under the selective pressure of therapy, the treatment-sensitive population diminishes leaving the resistant population to expand under positive selection. Multiple subclones bearing distinct resistant mutations can emerge at the same time, indicating parallel evolution of resistance<sup>134-137</sup>. **B.** Treatment resistance can be a result of a de novo mutation which carries a selection advantage under therapy and becomes fixed in the tumour population. In this case resistance takes longer to emerge<sup>128</sup>.

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**Samra: Ref 64 and ref 21 should be merged.**

**Date is wrong for Goldschmidt -ref 66**

**From ref 66 onwards they are "Samra's references"!**

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## **Author contributions**

The authors contributed equally to all aspects of the article.

## **Competing interests**

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## **Glossary**

### **Clonal evolution**

A process by which genetic and epigenetic alterations create diversity that acts as substrate for natural selection.

### **Subclone**

A populations of cells in the tumor that harbour the same set of genomic alterations

### **Genetic drift**

A stochastic random process that changes subclone frequency

### **Selection**

A non-random process shaped by environmental and tumour properties that changes subclone frequency

### **Chromosome instability**

A type of genomic instability that involves parts of or entire chromosomes.

### **Mutator phenotype**

Increase in mutation rates in cancer

### **Neutral evolution**

Clonal diversity not caused by selection

### **Phylogenetic tree**

A branching diagram showing the hierarchy of clones within the tumour

### **Clonal sweep**

Reduction of diversity due to the fixation of a variant due to strong positive selection.

### **Punctuated equilibrium**

Rapid speciation events with long periods of intervening stasis.

### **Hopeful monster**

The generation of an individual with a grossly-altered genome compared to its ancestor, which may be adaptive. A hopeful monster is the result of punctuated change in the genome.

### **Passenger mutation**

A mutation that has no effect on clone fitness

**Driver mutation**

A mutation that increases clone fitness

**Variant Allele Frequency**

Relative frequency of a variant in a tumour sample, expressed as a percentage

**Aneuploid**

The presence of an abnormal chromosome complement

**Fixation**

Rise of a variant in frequency in the population to 100%

**Chromoplexy**

A complex rearrangement of the cancer genome that involves a number of chromosomes

**Chromothripsis**

A complex rearrangement of the cancer genome that involves a single chromosome

**Patient-derived xenografts**

A tumour model where the tissue from patient's tumour is implanted in an immunodeficient mouse.

**Immune checkpoint blockade**

Therapies that target immune checkpoints such as CTLA4 and PD1 which tumours can use to escape anti-tumour immune responses