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Genetic Pathway-Based Hierarchical Clustering Analysis of Older Adults with Cognitive Complaints and Amnestic Mild Cognitive Impairment Using Clinical and Neuroimaging Phenotypes

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Abstract

Hierarchical clustering is frequently used for grouping results in expression or haplotype analyses. These methods can elucidate patterns between measures that can then be applied to discerning their validity in discriminating between experimental conditions. Here a hierarchical clustering method is used to analyze the results of an imaging genetics study using multiple brain morphology and cognitive testing endpoints for older adults with amnestic mild cognitive impairment (MCI) or cognitive complaints (CC) compared to healthy controls (HC). The single nucleotide polymorphisms (SNPs) are a subset of those included on a larger array that are found in a reported Alzheimer's disease (AD) and neurodegeneration pathway. The results indicate that genetic models within the endpoints cluster together, while there are 4 distinct sets of SNPs that

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differentiate between the endpoints, with most significant results associated with morphology endpoints rather than cognitive testing of patients' reported symptoms. The genes found in at least one cluster are *ABCB1, APBA1, BACE1, BACE2, BCL2, BCL2L1, CASP7, CHAT, CST3, DRD3, DRD5, IL6, LRP1, NAT1,* and *PSEN2*. The greater associations with morphology endpoints suggests that changes in brain structure can be influenced by an individual's genetic background in the absence of dementia and in some cases (Cognitive Complaints group) even without those effects necessarily being detectable on commonly used clinical tests of cognition. The results are consistent with polygenic influences on early neurodegenerative changes and demonstrate the effectiveness of hierarchical clustering in identifying genetic associations among multiple related phenotypic endpoints.

Introduction

With the rapid increase in genotyping technologies and increased ability to measure multiple endophenotypes, there is often a wealth of data and statistical results to be sorted through by investigators during the course of an analysis. As a result of this "data explosion", investigators are using a variety of methods to focus analyses and facilitate the interpretation of results and design studies to confirm findings. These methods include pathway analysis, which divides a genetic dataset into groups of genes known to have some kind of biological relationship with one another. Pathway-based analysis has been discussed as a way to study interactions more closely and increase the knowledge gained from larger genome-wide studies [Rao, 2008; Wilke, Mareedu and Moore, 2008]. Reducing analysis to individual pathways is particularly helpful when multiple endpoints and genetic models are being tested. These kinds of investigations produce an array of statistical results, but there is little literature discussing the validity of further organizing or clustering those results to discern more about the biological basis of obtained associations.

The field of imaging genetics is an excellent example of an area that produces a tremendous amount of data that subsequently needs to be evaluated and interpreted. Multiple measures of brain morphology as well as tests of cognition are administered to each patient from whom genetic data is collected. The imaging genetics study analyzed here investigated amnestic MCI, a condition characterized as a transitional state between the normal cognitive effects of aging and dementia associated with Alzheimer's disease (AD) pathology [Michon, 2009; Gauthier et al., 2006; Petersen et al., 2006; Kelley and Petersen, 2007; Fleisher et al., 2007]. Patients meeting criteria for amnestic MCI have approximately 50% risk of progression to a clinical diagnosis of AD over 5 years reflecting the strong relationship between these conditions. In individuals over the age of 65, the prevalence of MCI is somewhere between 3 and 19%. Part of the reason for the discrepancy is due to the fact that MCI is heterogeneous, having multiple subtypes of varying severity as well as the application of different diagnostic criteria [Gauthier et al., 2006]. Neuroimaging is an important biomarker with regard to risk of progression in that patients with amnestic MCI who also have reduced hippocampal volume are more likely to convert from MCI to dementia e.g.,[Jack et al., 1999; Risacher et al., 2009]. MCI patients perform differently from early probable AD patients on memory and especially on neuropsychological tests of other cognitive domains and they also may show different patterns of brain activation on functional MRI, but a clear clinical distinction between MCI and early AD remains a source of controversy [Machulda et al., 2003]. Older individuals with amnestic MCI and those with cognitive complaints (CC) in the absence of significant psychometric deficits report similar declines in cognitive function, however, those classified as CC do not have the requisite performance deficits that would lead to a diagnosis of MCI [Saykin et al., 2006]. There is evidence that CC and amnestic MCI (the subtype most likely to proceed to clinical AD) show similar patterns of brain atrophy, particularly loss of grey matter (GM) density in the

There are likely to be genetic polymorphisms that predispose individuals to develop MCI and/or CC due to the association of these conditions with AD which has known strong genetic contributors. Despite the many genetic studies of AD, there has been little research directed toward determining what specific polymorphisms are associated with MCI or CC. However, it is known that amnestic-type MCI (where a memory deficit is the predominant cognitive feature), like AD, is associated with the *APOE* ε4 allele, commonly considered the main genetic contributor to the development of late onset AD [Lopez et al., 2003; Bertram and Tanzi, 2008; Bertram et al., 2007; Farrer et al., 1997]. Cystatin C (*CST3*) and cholesterol 24-hydroxylase (*CYP46A1*) genes have been suggested to be associated with MCI among those with white matter lesions [Galluzzi et al., 2008]. A common polymorphism in the *KIBRA* gene that is associated with poorer episodic memory was not found to be associated with MCI risk [Almeida et al., 2008]. Though endophenotypes such as serum BDNF levels have been associated with MCI, individual polymorphisms such as *BDNF Val66Met* are not necessarily also associated due to the complexity of genetic interactions [Yu et al., 2008]. MCI and CC, like AD, are likely influenced by multiple interacting genes. Therefore, individual polymorphisms do not supply as much knowledge concerning the disease as pathways that incorporate ensembles of related genes and proteins.

The value of hierarchical clustering has been well established as part of various genetic and expression studies as a way to organize genes into groups that function in similar ways under certain conditions [Eisen et al., 1998; Levenstien, Yang and Ott, 2003; Sorlie et al., 2003]. For the purposes of this study we selected single nucleotide polymorphisms (SNPs) from pathways hypothesized to be involved in neurodegenerative disorders. These SNPs were then analyzed for association with neuroimaging phenotypes of CC and MCI individuals using a variety of genetic models. SNPs with at least one significant result below 0.01 were then hierarchically clustered to determine what associations were frequently associated with the same phenotypes. Therefore, we were able to investigate what groups of genetic models, rather than individual polymorphisms were associated with each of the endpoints.

Methods

Methods for recruitment, assessment and neuroimaging have been previously described in detail [Saykin et al., 2006]. A brief overview is provided here:

Recruitment of cases and controls and assessment of disease status

or dementia compared to healthy controls.

Subjects ($n = 132$) were enrolled individuals classified at baseline in the Dartmouth Memory and Aging Study as having cognitive complaints (CC) or amnestic MCI based on the criteria specified below, or as a healthy control (HC). For this analysis, subjects were considered cases if they were determined to be MCI or CC patients (n=85), while there were 47 HC participants. Each subject had to be at least 60 years of age, right handed, fluent in English, and have at least 12 years of formal education or a GED. An informant was available for each participant who knew the participant well and could answer questions about his or her cognitive and functional status. Those with any significant neurological, medical (including head trauma) or psychiatric condition other than those being investigated here were not included, as well as those with a history of substance dependence or who demonstrated nonamnestic MCI. All participants provided written informed consent according to procedures approved by the Institutional Committee for the Protection of Human Subjects.

Basic characteristics of the case and control samples with regard to covariates as well as morphological and cognitive measures are shown in Table 1.

Each participant received a detailed neuropsychological evaluation, including measures of memory, attention, executive function, language, spatial ability, general intellectual ability, and psychomotor speed as well as standard dementia screens. A geropsychiatrist (R.B.S) used a semi-structured evaluation to rule out depression, dementia and other Diagnostic and Statistical Manual of Mental Disorders, 4th Edition (DSM-IV) Axis I psychiatric disorders. A neurologic examination was also completed. Structural brain MRI scans, described below, were reviewed by a neuroradiologist blinded to clinical status, to rule out incidental pathology.

The results of the neuropsychological assessment, self and informant report indices, and the geropsychiatric and neurologic evaluation were used to classify individuals as MCI, CC or HC. The decision to characterize a participant as MCI, CC, HC or Other, was determined by a multidisciplinary consensus conference considering all available clinical information excluding quantitative MRI and genetic results. Typically, those considered to have significant CCs endorsed 20% or more of the items on a Cognitive Complaint Index (CCI) [Saykin et al., 2006]. The CC and MCI groups did not differ from each other on the CCI and endorsed approximately three times as many complaints as the HC group. Assessment of memory performance was based on age, education, and gender-adjusted scores using the mean, SD, and beta coefficients obtained from an expanded healthy demographically balanced control group. The MCI participants performed 1.5 SDs below the adjusted mean of HCs on at least one verbal memory test score (CVLT Total 1–5, Short Delay, Long Delay, WMS-III LM I or LM-II). The mean Z scores of each of these five measures were used to calculate a composite verbal memory *Z* score.

Measurement of Endpoints-clinical, neuroimaging

Scans were obtained on a GE Signa 1.5-T Horizon LX magnet, and hippocampal volume was obtained as previously described [Saykin et al., 2006; McHugh et al., 2007]. Briefly, a T1-weighted three-dimensional spoiled gradient echo (SPGR) coronal volume was acquired. Left and right hippocampal volumes were calculated for each participant by summing the coronal slice areas and then adjusted for age and total intracranial volume using a regression model. GM density within the hippocampus was measured using a region of interest (ROI) template to extract the mean value from voxel-based morphometry derived GM images. [Saykin et al., 2006].

Genotyping

Genotyping was done using a 3300 SNP targeted neuroscience panel developed in partnership between the Dartmouth Neurogenetics Group (DNG) and Affymetrix (Affymetrix Inc., Santa Clara, CA). Candidate genes and alleles were included after extensive literature review, database searching and deliberation by the DNG. Genes or alleles were included if they had a known or hypothesized involvement in critical pathways relevant to cognition or major neurological and psychiatric disorders (e.g. neurodegeneration, inflammation, depression). Candidate genes or alleles were assigned relative importance based on their probable role in neuropsychiatric processes, a reported minor allele frequency of at least 15%, and known or suspected roles in gene expression. The resulting array was implemented by Affymetrix using molecular inversion probe technology and consisted of 3300 single nucleotide polymorphisms (SNPs) from approximately 1000 candidate genes. AD/MCI is one of several disorders being investigated using this microarray. Approximately 1000 individuals have been successfully genotyped to date. Reliability was excellent, with an overall genotyping rate of 99.79%.

A pathway-based analysis was undertaken using suspected AD and neurodegeneration susceptibility genes. The SNPs selected were those from genes in the KEGG Alzheimer's disease pathway, Genetic Association Database (GAD) and AlzGene database that were available on the array ($n = 110$ genes, 834 SNPs)[Kanehisa et al., 2008; Becker et al., 2004; Bertram et al., 2007](Table S1). These were selected to assemble one larger Alzheimer's and neurodegeneration pathway. Many of the SNPs labeled as influencing neurodegeneration in GAD and AlzGene were also found in the KEGG Alzheimer's pathway. The creation of the larger pathway was to supplement the SNP list with genes that have strongly suggested roles in AD or MCI, but that are not yet included in KEGG.

Analysis

Before proceeding with further analyses, F-statistics were calculated using *Powermarker* to determine if genetic structure was present in the data that might bias the results [Liu and Muse, 2005]. Once the possibility of structure bias was eliminated, cases defined as those with CC or MCI were compared to healthy controls. Linear regression was used to determine the relationship between 5 different genetic models (Main Effect, Dominant, Recessive, Additive, Heterosis) per SNP and each endpoint (verbal memory score, right and left hippocampal volume and gray matter density, and the CCI). Linear regression was performed using R (v.2.7.2) [R Development Core Team, 2005] for each SNP and each model resulting in a total of 4170 statistical tests. *APOE* epsilon 4 status (ε4+ vs ε 4−) was used as a covariate for all analyses due to its already known very strong effect. For each potential endpoint, some normalizations were performed during data collection or preprocessing. Relevant factors that were not already adjusted for were included as covariates in the analysis as follows: no additional covariates were taken into account for verbal memory score, right and left hippocampal volume were covaried for age and total intracranial volume (ICV), gray matter density was covaried for age and sex, and the CCI was covaried for age, education and sex.

The linear regression results were filtered to keep only those SNPs that had at least one significant association with an endpoint and model at an α of 0.01 (given multiple testing 42) models are expected by chance). For this stage of the analysis it was determined that the α used as a threshold to filter the results should be between 0.05 and 0.01 in order to minimize false discoveries without eliminating the majority of the results. Also given the exploratory nature of this analysis with a focus on preventing type II error than type I error, 0.01 was determined to be acceptable. The results were then clustered using the R package pvclust by both SNPs and endpoints. First, hierarchical clustering is performed on each row and column using the the R package hclust, wherein the rows and columns are grouped based on their similarity. Subsequently, pvclust estimates a p-value for the clusters using bootstrap resampling [Suzuki and Shimodaira, 2006]. We chose Manhattan distance and an average agglomeration method (hclust) with 500 bootstrap replications. An α of 0.05 was selected (with rounding) to determine significance. It is important to note that the clustering, though only including SNPs with a significant association with an endpoint, was done across all the association results for each of those SNPs for each model. To further determine if the clusters of SNPs independently predict the same endpoints or if the clusters were due to linkage disequilibrium (LD), pairwise linkage disequilibrium (D') was calculated using *Powermarker* [Liu and Muse, 2005].

The genes selected for analysis had previously demonstrated some relation to AD or neurodegeneration, which increases the probability that they interact with one another. In order to further investigate if similar association patterns between genes were due to direct interactions between genes, the genes in statistically significant clusters that were not explained by LD were analyzed using Chilibot (a Natural Language Processing tool that searches for co-occurrences in Medline) [Chen and Sharp, 2004].

Results

F-statistics calculated across all of the SNPs showed only minute structure, which was not unbalanced between cases and controls (θ = 0.0024); therefore further analyses did not require correction for structure bias. Within the AD and neurodegeneration pathways defined above, there were 78 SNPs in 33 genes that were significant for at least one genetic model for one endpoint at an α of 0.01, exceeding the results expected by chance. Every genetic model had at least one SNP that was significant. Figure 1a demonstrates the results of the clustering. A pattern was apparent wherein genetic models within endpoints cluster together, except for right and left hippocampal volume, for which all the models cluster together (significant clustering shown as red boxes). Figure S1 shows the dendrogram for the clustering of the endpoints. The most frequent significance was found within the models for left and right hippocampal volume and for gray matter density. There was significant clustering among SNPs as well. Several pairs or triplets of SNPs within genes significantly cluster together, though several of these can be explained by LD, as shown in the adjacent plot. There were, however, 4 larger groups (Figure 1b) of SNPs that clustered together that can only be partially explained by LD. The first (cluster 1) contained the genes *BACE1, BACE2, APBA1,* and *CST3*, which predominantly showed association with gray matter density. There was very little LD between genes in this group, though there was considerable LD within the *APBA1* gene. The second cluster had very little LD, and consisted of the SNPS within *IL6, CASP7, CHAT, APBA1,* and *LRP*. Cluster 2 appeared to be most closely associated with gray matter density and hippocampal volume. Cluster 3 contained four genes, namely *PSEN2, BACE2, ABCB1, NAT1* that were again significant in models of gray matter density and recessive and heterosis models of hippocampal volume. Cluster 4 was partially explained by LD between SNPs in the *BCL2L1* gene, but also contained a polymorphism in *BACE1, BCL2* and *DRD3* and associations with left and right hippocampal volume.

A literature search confirmed that many of the genes found in each of the clusters have a variety of roles in the cleavage of amyloid proteins, apoptosis, and inflammation (Table 2). The functions of proteins were not specific to clusters (i.e. apoptosis and amyloid related proteins were found in several clusters). Text Mining with Chilibot was therefore used to investigate interactions between genes (Table 3). Cluster 1 contained the strongest known interactions, though cluster 2 showed some evidence of possible interactions as well. Clusters 3 and 4 showed little evidence of known biological interaction. Especially strong within cluster 1 were interactions between *BACE1* and *BACE2, BACE1* and *APBA1, APBA1* and *CST3,* and *APBA1* and *BCL2*. Within cluster 2 the most evidence for biological interaction was found between *IL6* and *CHAT, APBA1* and *LRP1* and *CHAT* and *APBA1*.

Discussion

MRI has recently been confirmed as a useful measure in genetic studies of AD [Jack et al., 1999; Potkin et al., 2009; Grundman et al., 2003; Du et al., 2006] and particularly in MCI as a predictor of progression to AD with greater consistency than cognitive testing [Jack et al., 2003]. The methodology employed here, use of hierarchical clustering within genetic models and a variety of cognitive and neuroimaging endpoints, revealed many interesting potential associations. The fact that there were 78 SNPs all with a significant result <0.01 suggests that there are benefits to studying associations on a pathway level in order to more fully explore the biology behind the results of the strongest candidate genes, though a few of these are likely false positives.

The selection of raw p-values as a clustering endpoint has advantages and disadvantages. Pvalues were a first choice for the introduction of this method as they are readily used by

most investigators as measures of the importance of model variables. However, other metrics could likewise be explored and the clustering improved. For example, it is possible that clustering regression coefficients in fewer dimensions may introduce even more stability, while various transformations could also be applied to the data to reduce noise.

There did not appear to be LD blocks that were associated with large variations in phenotypes or inconsistent within-block patterns of association, which further serves to strengthen the validity of the clustering metric. When undertaking pathway-based analysis, the selection of the pathway is an essential step. The use of SNPs selected on the basis of several highly overlapping AD and neurodegeneration pathways appeared especially informative with regard to brain morphology as these pathways would be expected to directly influence morphological changes.

Further investigation of the pathway results using hierarchical clustering revealed which clinical measures and imaging endophenotypes were most closely associated with the measured SNPs. In this study, SNPs were frequently associated with right and left hippocampal volume and gray matter density, and rarely associated with verbal memory score or the cognitive complaint index. This suggests that changes in brain morphology are a good endophenotype for SNPs commonly associated with AD and neurodegeneration, but that these effects are not necessarily as strongly associated with cognitive tests and symptom measures in MCI and CC patients, perhaps because the morphological changes can be directly impacted by the polymorphisms effect on gene expression and protein function. This methodology further revealed directions for investigation into interactions between genes that cluster together. The genes within the clusters may impact the endpoints through different mechanisms, or there may be true additive effects or interactions that have yet to be elucidated.

Most of the genes found within clusters are associated with either beta-amyloid production or apoptosis. The remaining genes belong to signaling, immunological or metabolic pathways. The influence of beta-amyloid production on apoptosis and therefore neurodegeneration in the hippocampus has been well established [Watt et al., 1994], though the precise molecular mechanism by which beta-amyloid toxicity acts is not fully known. There are, however, several current theories centered around different protein malfunctions, including involvement of mitochondrial regulation of calcium homeostasis and interactions between caspases [Gorman, 2008; Calissano, Matrone and Amadoro, 2009; Nilsen et al., 2006]. The particular frequency with which genes involved in beta-amyloid production and apoptosis cluster with hippocampal volume and GM metrics may be due to their direct biological link to atrophy in these regions of the brain.

Several of the genes that grouped together showed considerable evidence for being biologically associated with one another. The genes in cluster 1 showed evidence for biological interaction and lend support to the validity of the hierarchical clustering approach. Homologs, such as *BACE1* and *BACE2* in cluster 1 would be expected to similarly affect morphology, as would genes that directly bind such as *BACE2* and *BCL2* and *BACE2* and *APBA1*. Within cluster 2 there was also evidence for direct biological interactions between *IL6* and *CHAT*, *APBA1* and *CHAT* and *APBA1* and *LRP1*. The two smaller clusters (3 and 4) showed little or no evidence of biological interaction, while the larger clusters seem to be associated due to connections with a few "key" genes. These genes for cluster 1 are *BACE1* and *APBA1*, and *CHAT* and *APBA1* for cluster 2, indicating that cluster 1 is largely centered around amyloid-beta production and deposition and apoptosis. Cluster 2 is centered on amyloid-beta and acetylcholine production.

As previously described, there has been much debate on the benefits and drawbacks of whole-genome vs. pathway approaches to discerning genetic effects. Though each method has advantages and disadvantages, our results suggest that pathway approaches have the potential to elucidate genetic effects using methods that may be too computationally intensive to conduct on a genome-wide scale and for which results would be difficult to interpret. Additionally, the burden of applying a threshold needed for assessing genome wide significance in the context of modest sample sizes typical for imaging genetics experiments would likely eliminate potentially important signal from candidate loci. Using hierarchical clustering to investigate similarity in results between multiple endpoints reveals added information with regard to the usefulness of those endpoints in relation to genetic background. In the present study, nearly twice the number of significant results was obtained than would be expected by chance and hierarchical clustering assisted in the organization of findings and assessment of biological plausibility. Though these results are encouraging, further investigation and replication will be required to confirm the associations between these genomic markers and brain morphology endpoints in those at risk for AD.

Supplementary Material

Refer to Web version on PubMed Central for supplementary material.

Acknowledgments

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Sloan et al. Page 13

a- Complete heatmap for all SNPs with at least a single *p*-value below 0.01 (in yellow). All *p*-values above 0.01 are shown in blue. Significant clusters of endpoints and SNPs are boxed in red (verbal memory score all clustered together significantly, as indicated by the connecting red line between the boxes). Alongside the heatmap is an LD plot for the SNPs in the same order as the heatmap. The LD statistic is D' as calculated within *Powermarker*. b- A close-up of each cluster along with LD plot.

Table 1

Average population (standard deviation) characteristics for major covariates and diagnostic criteria by case/ control status and sex.

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Table 2

The hypothesized role of each gene found in one of the three clusters on AD and MCI based on a literature search with sample references.

Table 3

Chilibot results for clusters 1-4, showing each gene comparison, the number of interactive and parallel sentences found for each gene pair, and the Chilibot results for clusters 1–4, showing each gene comparison, the number of interactive and parallel sentences found for each gene pair, and the relationship suggested by the mined literature. relationship suggested by the mined literature.

