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1                   **The ORF3a protein of SARS-CoV-2 induces apoptosis in cells**

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24 Severe acute respiratory syndrome coronavirus-2 (SARS-CoV-2) has caused the  
25 ongoing pandemic of Coronavirus Disease 2019 (COVID-19). SARS-CoV-2 belongs  
26 to the genus *Betacoronavirus* of the *Coronaviridae* family, which includes SARS-CoV  
27 and Middle East respiratory syndrome coronavirus (MERS-CoV)<sup>1,2</sup>. Coronavirus-  
28 encoded accessory proteins play critical roles in virus-host interactions and the  
29 modulation of host immune responses, thereby contributing to coronaviral  
30 pathogenicity via different strategies<sup>3</sup>. However, the functions of SARS-CoV-2-  
31 encoded accessory proteins are not well understood. Apoptosis is a predominant type  
32 of programmed cell death, and has been recognized as an important host antiviral  
33 defense mechanism that controls viral infection and regulates the inflammatory  
34 response<sup>4,5</sup>. Previous studies have reported that the SARS-CoV-encoded accessory  
35 protein ORF3a can induce apoptosis in cells<sup>6,7</sup>, leading to the question of whether  
36 SARS-CoV-2 ORF3a also has pro-apoptotic activity. Here, we investigated the  
37 potential apoptosis-inducing activity of SARS-CoV-2 ORF3a in different cell lines, and  
38 compared the pro-apoptotic activities of SARS-CoV-2 ORF3a with those of SARS-  
39 CoV ORF3a using the same system.

40 We sought to determine whether SARS-CoV-2 ORF3a can induce apoptosis using  
41 annexin V-fluorescein 5-isothiocyanate(FITC)/propidium iodide (PI) double staining in  
42 cultured HEK293T, HepG2, and Vero E6 cells. We found that annexin V and PI staining  
43 was significantly increased in cells expressing SARS-CoV-2 ORF3a compared to that  
44 in control cells (Fig. 1a). Moreover, the quantified data based on measuring the  
45 apoptosis rate also confirmed the pro-apoptotic activity of ORF3a in different cell lines  
46 (Fig. 1b). Furthermore, we examined activated caspase-3, a marker of caspase-  
47 dependent apoptosis, by flow cytometry, and found that the percentage of cells with  
48 activated caspase-3 was significantly elevated in the presence of ORF3a (Fig. 1c).

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74 These results show that SARS-CoV-2 ORF3a can efficiently induce apoptosis in cells.

75 To determine the mechanism ~~through which~~ SARS-CoV-2 ORF3a induces  
76 apoptosis, activation of ~~the~~ apoptosis cascade in HEK293T cells expressing ORF3a was  
77 examined ~~by western blotting, probing for~~ some apoptosis pathway components at 24  
78 ~~and 48 h post-transfection~~. Cells treated with staurosporine, an apoptosis inducer, were  
79 used as ~~a~~ positive control. SARS-CoV-2 ORF3a induced the cleavage/activation of  
80 caspase-8, whereas Bcl-2 expression levels were not affected (Fig. 1d). The  
81 cleavage/activation of caspase-8 is recognized as a hallmark of the extrinsic apoptotic  
82 pathway, ~~whereas~~ Bcl-2 plays an important role in ~~initiation of the~~ intrinsic pathway<sup>8</sup>.  
83 Moreover, we found that the levels of truncated Bid (tBid), cleaved caspase-9, and  
84 cytochrome ~~c~~ were elevated in the presence of SARS-CoV-2 ORF3a (Fig. 1e), and  
85 either ~~a~~ caspase-8 or caspase-9 inhibitor significantly suppressed SARS-CoV-2 ORF3a-  
86 induced apoptosis (Fig. 1f-g). Thus, our results imply that SARS-CoV-2 ORF3a ~~can~~  
87 induce apoptosis via the extrinsic pathway, in which activated caspase-8 cleaves Bid to  
88 tBid and in turn induces the release of mitochondrial cytochrome ~~c~~, resulting in  
89 apoptosome formation and caspase-9 cleavage/activation.

90 We ~~next~~ sought to examine the relationship between ~~the~~ membrane association and  
91 pro-apoptotic activity of SARS-CoV-2 ORF3a. As previously reported, SARS-CoV  
92 ORF3a is a transmembrane protein that contains several conserved motifs including ~~a~~  
93 cysteine-rich motif (a.a.127–133), ~~tyrosine-~~based sorting motif (YXX $\Phi$ ; a.a.160–163),  
94 ~~and~~ diacidic EXD motif (a.a. 171–173), and these domains regulate ~~the~~ subcellular  
95 location of SARS-CoV ORF3a and ~~play~~ important roles in SARS-CoV ORF3a  
96 ~~infection~~, inducing apoptosis<sup>9,10</sup>. SARS-CoV-2 ORF3a shares 73% ~~amino acid~~  
97 homology ~~with~~ its counterpart ~~in~~ SARS-CoV, and the cysteine-rich and YXX $\Phi$  motifs  
98 are conserved but ~~the~~ EXD motif ~~was found to be~~ changed to SGD in SARS-CoV-2

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117 ORF3a (Fig. S1a). Thus, ~~we~~ constructed two mutant ORF3a proteins by mutating  
118 C130/133 of the cysteine-rich motif to S (SARS-CoV-2 ORF3a-CS) or Y160 of the  
119 YXXΦ motif to A (SARS-CoV-2 ORF3a-YA). The immunofluorescence assays showed  
120 that wild-type ORF3a of SARS-CoV-2 (ORF3a-WT) localized to ~~the~~ plasma membrane  
121 with punctate cytoplasmic staining, ~~whereas~~ ORF3a-CS and ORF3a-YA exhibited more  
122 cytoplasmic localization (Fig. 1h and S1b). The results of cytosol-membrane  
123 fractionation assays showed that ~~whereas~~ ORF3a-WT ~~was present~~ in both cytosol and  
124 membrane fractions, either ORF3a-CS or ORF3a-YA was absent in the membrane  
125 fraction (Fig. 1i and S1c). Moreover, we found that ORF3a-CS or ORF3a-YA showed  
126 minimal ~~apoptosis-inducing~~ and ~~caspase-3-activating activity~~ in cells in the presence or  
127 absence of z-VAD-fmk, a general caspase inhibitor (Fig. 1j and S1d). ~~In addition,~~  
128 ORF3a-CS or ORF3a-YA failed to induce the cleavage of Bid, caspase-8, and caspase-  
129 9 or the release of cytochrome ~~c~~ (Fig. 1k-l). These results indicate that membrane  
130 association is required for ~~the~~ pro-apoptotic activity of SARS-CoV-2 ORF3a.

131 To investigate if there is any difference between the pro-apoptotic activities of  
132 ORF3a proteins of SARS-CoV-2 and SARS-CoV, we examined the membrane  
133 association and apoptosis-induction ~~ability~~ of SARS-CoV ORF3a. SARS-CoV ORF3a  
134 ~~variants~~ were generated by mutating C127/130/133 to S (SARS-CoV ORF3a-CS) in  
135 ~~the~~ cysteine-rich motif, Y160 to A (SARS-CoV ORF3a-YA) in ~~the~~ diacidic motif, and  
136 171E/173D to A (SARS-CoV ORF3a-DE) in ~~the~~ EXD motif. We found that SARS-CoV  
137 ORF3a-CS and ORF3a-YA mutants were unable to associate with membranes or  
138 distribute in membrane fractions, ~~whereas~~ ORF3a-DE still showed membrane  
139 association ~~similar to that observed for~~ ORF3a-WT (Fig. S2a-b). Although the ORF3a-  
140 CS and ORF3a-YA ~~mutants~~ showed significantly lower ~~apoptosis-inducing~~ and  
141 ~~caspase-3-activating capacities than~~ WT ORF3a, they kept some pro-apoptotic

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161 activities compared to those of the negative control (vector), which could be further  
162 inhibited by z-VAD-fmk treatment (Fig. S2c-d). Moreover, the cleavage of Bid,  
163 caspase-8, and caspase-9 or the release of cytochrome c was apparently reduced but not  
164 eliminated in cells expressing SARS-CoV ORF3a-CS or - SARS-CoV ORF3a-YA (Fig.  
165 S2e-f). These results indicate that unlike that in SARS-CoV-2 ORF3a, the membrane  
166 association feature is involved in but not essential for the pro-apoptotic activity of  
167 SARS-CoV ORF3a (Fig. S3), suggesting that the two ORF3a proteins from different  
168 coronaviruses use different strategies to induce apoptosis.

169 We then sought to compare pro-apoptotic activities between these two coronaviral  
170 proteins. Our results showed that compared to those with SARS-CoV-2 ORF3a, SARS-  
171 CoV ORF3a expression induced higher levels of apoptosis in Vero E6, HEK293T, and  
172 HepG2 cells (Fig. 1m). Consistently, the caspase-3 activation level in SARS-CoV  
173 ORF3a-expressing cells was significantly higher than that in cells expressing SARS-  
174 CoV-2 ORF3a (Fig. 1n). Therefore, our findings show that SARS-CoV-2 ORF3a has  
175 relatively weaker pro-apoptotic activity than SARS-CoV ORF3a. Differences in the  
176 pro-apoptotic mechanism and relative strength probably contribute to the differences in  
177 pathogenicity between these two coronaviruses (Fig. 1o). Indeed, SARS-CoV-2 has  
178 been generally believed to be less virulent than SARS-CoV, and the diminished pro-  
179 apoptotic activity of SARS-CoV-2 ORF3a is probably associated with reduced  
180 apoptosis-mediated antiviral defence in infected cells. These properties probably confer  
181 certain advantages for SARS-CoV-2 in that infection can be relatively mild or even  
182 asymptomatic during early stages, thus allowing the virus to spread more widely.

183 In summary, the findings of this work extend our knowledge of ORF3a, a key  
184 accessory protein encoded by SARS-CoV-2, which will probably help to shed light on  
185 the pathogenicity of this deadly coronavirus.

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218

219 **Author Contributions**

220 Y.R. performed the experiments with the help of T.S., D.W., J.M., W.C., M.H., Y.H. and  
221 X.-Y.Z., W.Z., Y.Q. and X.Z. designed the experiments. Y.R., Y.Q. and X.Z. interpreted  
222 the results and wrote the manuscript.

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224 **Supplementary Data**

225 **Supplementary Materials and Methods**

226 **Supplementary References**

227 **Supplementary Figures 1-2**

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256

257 **Figure legends**

258 **Figure 1. (a-b)** HEK293T, HepG2<sub>2</sub> and Vero E6 cells were transfected with FLAG-  
259 SARS-CoV-2 ORF3a. After 24 h, cells were stained with annexin V-fluorescein 5-  
260 isothiocyanate (FITC)/propidium iodide (PI) for flow cytometric analysis (a), and the  
261 percentage of apoptotic cells was measured (b). **(c)** Vero E6 cells were transfected with  
262 FLAG-SARS-CoV-2 ORF3a. After 24 h, cells were stained with caspase-3/7 green  
263 detection reagent for fluorescence analysis, and the percentage of cells displaying  
264 caspase-3 activation was measured. **(d)** HEK293T cells were transfected with empty  
265 vector or FLAG-SARS-CoV-2 ORF3a. After 12 and 24 h, cells were subjected to  
266 western blotting analysis using the indicated antibodies. Cells treated with STS for 5 h  
267 were used as a positive control. STS, staurosporine. **(e)** HEK293T cells transfected with  
268 empty vector or FLAG-SARS-CoV-2 ORF3a for 12 and 24 h, or cells treated with STS  
269 for 5 h, were collected and the mitochondria were separated via gradient centrifugation.  
270 Cell lysates without mitochondria were subjected to western blotting using the indicated  
271 antibodies. The total cell lysates within intact mitochondria were used as positive the  
272 control. GDH, glutamate dehydrogenase. **(f-g)** Vero E6 cells were transfected with  
273 FLAG-SARS-CoV-2 ORF3a in the presence of DMSO, caspase-8 inhibitor, or caspase-  
274 9 inhibitor. After 24 h, cells were stained with annexin V-FITC/PI for flow cytometric  
275 analysis (f), and the percentage of apoptotic cells was measured (g). **(h)** HEK293T cells  
276 were transfected with FLAG-SARS-CoV-2 ORF3a and its mutants (CS and YA). After  
277 24 h, cells were stained with a mouse anti-FLAG antibody and Alexa-488 conjugated  
278 anti-mouse IgG for immunofluorescence. Scale bar, 10  $\mu$ M. **(i)** HEK293T cells were  
279 transfected with FLAG-SARS-CoV-2 ORF3a and its mutants (CS and YA). After 24 h,  
280 cells were collected and the membrane and plasma proteins were separately extracted  
281 for western blotting. **(j)** Vero E6 cells were transfected with FLAG-SARS-CoV-2

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312 ORF3a mutants (CS and YA) and treated with DMSO or a general caspase inhibitor.  
 313 After 24 h, cells were treated with annexin V-FITC/PI for flow cytometric analysis, and  
 314 the percentage of apoptotic cells was measured. **(k-l)** HEK293T cells were transfected  
 315 with vector or FLAG-SARS-CoV-2 ORF3a and its mutants (CS and YA). After 24 h,  
 316 cells were collected and the membrane and plasma proteins were separately extracted  
 317 for western blotting (k). To examine levels of cytochrome c in the cytosol, mitochondria  
 318 were separated via gradient centrifugation, and cell lysates without mitochondria were  
 319 subjected to western blotting (l). **(m)** HEK293T, HepG2, and Vero E6 cells were  
 320 transfected with vector, FLAG-SARS-CoV ORF3a, or FLAG-SARS-CoV-2 ORF3a.  
 321 After 24 h, cells were stained with annexin V-FITC/PI for flow cytometric analysis, and  
 322 the percentage of apoptotic cells was measured. **(n)** Vero E6 cells were transfected with  
 323 vector, FLAG-SARS-CoV ORF3a, or FLAG-SARS-CoV-2 ORF3a. After 24 h,  
 324 caspase-3 activation was detected by using caspase-3/7 green detection reagent, and the  
 325 percentage of cells displaying caspase-3 activation was measured. **(o)** Left, the pro-  
 326 apoptotic activity of SARS-CoV-2 ORF3a requires the membrane association of ORF3a.  
 327 Right, membrane association is involved but not essential for the pro-apoptotic activity  
 328 of SARS-CoV ORF3a, and SARS-CoV ORF3a can induce apoptosis in a membrane-  
 329 independent manner. SARS-CoV-2 ORF induces apoptosis in a lesser extent than that  
 330 of SARS-CoV ORF3a. **\*\* $p < 0.01$ , \*\*\* $p < 0.001$  by two-tailed Student's *t* test.**

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