

# Bcl-2 and Noxa are potential prognostic indicators for patients with gastroenteropancreatic neuroendocrine neoplasms

**Guo Yu**

Sun Yat-sen University First Affiliated Hospital

**Zhang Lin**

Sun Yat-sen University Affiliated Tumor Hospital: Sun Yat-sen University Cancer Center

**Zhang Ning**

Sun Yat-sen University First Affiliated Hospital

**Luo Qiuyun**

Sun Yat-sen University Affiliated Tumor Hospital: Sun Yat-sen University Cancer Center

**Liu Man**

Sun Yat-sen University First Affiliated Hospital

**Yang Dajun**

Sun Yat-sen University Affiliated Tumor Hospital: Sun Yat-sen University Cancer Center

**Jie Chen** (✉ [chen0jie@hotmail.com](mailto:chen0jie@hotmail.com))

Fudan University Shanghai Cancer Center <https://orcid.org/0000-0001-8113-3515>

---

## Research Article

**Keywords:** Neuroendocrine neoplasm, Bcl-2, Apoptosis, Noxa, prognosis

**Posted Date:** February 15th, 2022

**DOI:** <https://doi.org/10.21203/rs.3.rs-1346706/v1>

**License:**   This work is licensed under a Creative Commons Attribution 4.0 International License. [Read Full License](#)

---

# Abstract

**Purpose** Bcl-2 family of proteins are of great significance in the pathogenesis and development of tumor. In this study, the relationship between the expression of Bcl-2 family proteins and clinicopathological features and prognosis of NENs were further investigated.

**Methods** 105 Patients diagnosed with gastroenteropancreatic NENs (GEP-NENs) with the paraffin specimen of the tumor available were retrospectively included, immunohistochemistry (IHC) was performed to detect the expression of Bcl-2 family proteins in paraffin-embedded samples. Student's t test and Chi-square test were applied to compare the difference of quantitative and categorical variables, respectively. Prognosis analysis was conducted according to Kaplan-Meier method. Univariate COX and multivariate COX regression analysis were used to screen out the independent prognostic factors.

**Results** The IHC score of Bcl-2 was significant higher in neuroendocrine carcinomas (NECs) patients (65.6% vs. 38.4%,  $P = 0.010$ ), while higher IHC score of Noxa was more common in neuroendocrine tumors (NETs) patients (49.3% vs. 25.0%,  $P = 0.020$ ). Survival analysis suggested that patients with higher Bcl-2 expression and lower Noxa expression had worse survival rate (42.9% vs. 73.2%,  $P < 0.001$ ; 42.6% vs. 81.8%,  $P < 0.001$ ). Multivariate cox analysis indicated that high Bcl-2 expression was an independent factor associated with poor DFS (hazard ratio [HR]: 2.661; 95% confidence interval [CI]: 1.385–5.110) and poor OS (HR: 3.205; 95% CI: 1.587–6.473;  $P = 0.001$ ), while higher Noxa expression was associated with improved DFS (HR: 0.324; 95% CI: 0.147–0.713) and better OS (HR: 0.293; 95% CI: 0.126–0.684).

**Conclusion** Higher expression of Bcl-2, and lower expression of Noxa were associated with unfavorable prognosis of GEP-NEN patients.

## 1. Introduction

Neuroendocrine tumor (NET) is a rare but highly heterogeneous malignant tumor, originating from neuroendocrine cells or peptide-energetic neurons, which has received increasing attention in recent years. In a series of 64,971 NETs reported by the Surveillance, Epidemiology, and End Results (SEER) program of the National Cancer Institute, the reported annual incidence rate grew from 1.09 per 100,000 in 1973 to 6.98 per 100,000 (1). In addition to the surgical treatment, the therapeutic effects of chemotherapy and approved target drugs are very limited. For instance, the median progression-free survival (PFS) of targeted therapies such as sunitinib and everolimus in pancreatic NET were 11.4 months and 11.0 months, respectively. In non-pancreatic neuroendocrine tumors, the PFS of sunitinib and everolimus was 1.7 months and 11.0 months, respectively(2–5). The market demand for targeted drugs in the field of GEP-NENs is still huge, and the research and development of new targeted small molecule drugs is still an arduous subject that needs to be resolved urgently.

Evasion apoptosis is one of the main steps of tumor initiation and progression, Apoptosis, which is one of the important forms of cell death, is tightly regulated by the balance between the activities of proteins in the Bcl-2 family, and plays an essential role in maintaining homeostasis in adult tissues(6, 7). The imbalance between cell proliferation and apoptosis is of great importance for tumorigenesis(8). In some solid and hematologic tumors, Bcl-2 overexpression is associated with more malignant phenotypes and poor prognosis(9–11). Based on this theory, some small molecules that target Bcl-2 were designed to activate apoptosis and have been developed and tested in clinical trials, marking breakthroughs in the field of cell death. Venetoclax, for instance, has been approved by the Food and Drug Administration (FDA) for the treatment of adult chronic lymphocytic leukemia (CLL) and small lymphocytic lymphoma (SLL), as well as combined treatment with azacitidine or decitabine for acute myeloid leukemia (AML)(9,

12). Although previous studies have found that pancreatic small cell NECs has a higher Bcl-2 expression level than pancreatic NETs(13), the expression of Bcl-2 family protein in GEP-NENs is still not known yet. To this end, we aimed to further study the expression of Bcl-2 family proteins in patients with GEP-NENs and investigate their relationships with the prognosis of patients.

## 2. Materials And Methods

### 2.1. Patient cohort and data collection

Paraffin-embedded tumor tissue samples were collected from 105 patients who were diagnosed with GEP-NENs at the first affiliated hospital, Sun Yat-Sen University (Guangzhou, China) from January 2008 to November 2016. All patients included were pathologically reassessed according to the 2019 world health organization(WHO) criteria(14) by a pathologist with extensive experience and TNM staging was re-performed according to the eighth edition AJCC guidelines(15). All the clinicopathological data, including gender, age, tumor grade, tumor size, lymphatic and distant metastasis status and follow-up data, were retrospectively collected from medical record system of The First Affiliated Hospital, Sun Yat-Sen University. This study was approved by the clinical ethics committee of The First Affiliated Hospital, Sun Yat-sen University (2020489) and undertaken in accordance with the ethical standards of the World Medical Association Declaration of Helsinki.

### 2.2. Immunohistochemical staining

Immunohistochemistry (IHC) was carried out as followed. In brief, first, the paraffin-embedded samples were sectioned into 4µm-thick sections and dewaxed in xylene, rehydrated in rinsed graded ethanol solutions. Endogenous peroxidase activity was then blocked with 3% hydrogen peroxide solution for 10 minutes, rinsed in phosphate buffered saline (PBS) 3 times for 5 min each. Then the tissue sections were heated at 100°C for 5 minutes in citrate (10mmol/L, pH 6.0) solution to retrieve the antigens. After cooling to room temperature, serum blocker was added to block non-specific antigen, and were incubated with the primary antibody Bcl-2 (ab182858; Abcam, Cambridge, MA, USA, 1:1000 dilution), Bcl-xL (cat#2764, Cell Signaling Technology, USA, 1:3000 dilution), Mcl-1(ab32087; Abcam, Cambridge, MA, USA, 1:200 dilution), Noxa (ab13654; Abcam, Cambridge, MA, USA, 1:2000 dilution), PUMA (ab33906; Abcam, Cambridge, MA, USA, 1:200 dilution) at 4°C overnight, followed by washing with PBS for three times, biotinylated goat anti-mouse IgG (1:400; Sigma, St. Louis, MO, USA) or goat anti-rabbit IgG (1:400; Sigma) for 30 min at room temperature. Finally, the signal was developed for visualization with 3,3'-diaminobenzidine tetrahydrochloride (DAB, DAKO, GLOSTRUP, Denmark), and all of the slides were counterstained with hematoxylin.

### 2.3. Immunohistochemical analysis

The slides were evaluated independently by two observers blinded to clinicopathological information. Any disagreement was resolved by a jointly reevaluation. Expression of markers was evaluated by the percentage of positive cells and staining intensity. The percentage of positive cells was evaluated quantitatively and scored as 0 for staining of < 2% of total cells counted, 1 for staining of 2–25%, 2 for staining of 26–50%, 3 for staining of 51–75%, and 4 for staining of > 75% of the cells examined. Intensity was graded as follows: 0, negative staining; 1, weak; 2, moderate; and 3, strong staining. A total “staining score” of 0–12 was calculated by multiplying staining intensity score and staining percentage score(16, 17).

### 2.4. Follow-up

All patients were followed up every three to six months for the first two years after diagnosis, then annually after two years, with the last telephone follow-up in June 2020. The time of death was recorded for patients who died, and the last follow-up date and status of patients who could not be reached were obtained from the hospital system. The

primary outcome was patient overall survival (OS), defined as the time from the date of diagnosis to death or the last follow-up. The secondary outcome of the study was disease-free survival (DFS), defined as the time from the date of diagnosis to disease recurrence or death or the last follow-up.

## **2.5. Statistical analyses**

IBM SPSS software, version 25.0 (IBM, Chicago, IL, USA) was used for statistical tests. The cut-off value of markers expression was determined by the median IHC score as previous study(18, 19). The IHC score which was greater than cut-off value was defined as high expression, while lower than cut-off value was defined as low expression.

Quantitative variables were presented as mean  $\pm$  average and categorical variables were presented as percentages. Chi-square test (or Fisher's exact test) was applied to compare the categorical variables. Cox proportional hazards regression was used for univariate analyses and factors, for which  $P < 0.05$  in univariate survival analyses, were further assessed in multivariate Cox models. Results were presented with hazard ratio (HR) and 95% confidence intervals (CI). Survival analyses were performed via Kaplan-Meier method and long-rank test was used to assess the individual risk factors related with survival. Two sides  $P$ -value  $< 0.05$  was considered statistically significant.

## **3. Results**

### **3.1. Clinicopathological characteristics of patients**

In total, 105 patients with GEP-NENs were included, including 28 cases (26.7%) with primary tumors in the stomach, 39 cases (37.1%) in the gut, and 38 cases (36.2%) in the pancreas (see Table 1). 63 (60.0%) of the patients were male and 42 (40.0%) were female with an average age of 51.0 years old (range, 10–81 years). As for tumor grade, 33 (31.4%) patients were diagnosed with grade 1 (G1), 27 (25.7%) with grade 2 (G2), 13 (12.4%) with grade 3 (G3), and 32 (30.5%) with NECs. Among these patients, 61(48.6%) of patients had lymph node metastases while 49 (46.7%) of patients had distant metastases.

Table 1  
Clinical data of 105 patients of GEP-NEN

Characteristic	Total(n = 105)
Sex, n (%)	
Male	63(60.0)
Female	42(40.0)
Age ( $\bar{x} \pm S$ )	51.0 $\pm$ 14.7
$\leq 60$	81(77.1)
$> 60$	24(22.9)
Primary tumor location, n (%)	
Stomach	28(26.7)
Gut	39(37.1)
Pancreas	38(36.2)
Grade, n (%)	
G1	33(31.4)
G2	27(25.7)
G3	13(12.4)
NEC	32(30.5)
T stage	
X	5(4.8)
1	29(27.6)
2	19(18.1)
3	27(25.7)
4	25(23.8)
N stage	
0	54(51.4)
1	45(42.9)
2	6(5.7)
M stage	
0	56(53.3)
1	49(46.7)
Surgical operation	
Yes	24(22.9)

Characteristic	Total(n = 105)
No	81(77.1)

### 3.2. Correlation analysis between Bcl-2 family markers and clinicopathological characteristics

As shown in Fig. 1, immunohistochemical staining for Bcl-2 and Noxa were found in cytoplasm of tumor cells. High expression of Bcl-2 was found in 49 (46.7%) tumor samples, while high expression of Noxa was found in 44 (41.9%) tumor samples. In order to determine the relationship between the expression of Bcl-2 family markers and clinicopathological parameters, we then took the Bcl-2 family markers expressions and clinical characteristics (including age, sex, primary tumor location, WHO grade, tumor stage, node stage, metastasis stage, survival status) into Chi-square test analysis (see Table 2). High expression of Bcl-2 mostly occurs in NEC patients (65.6% vs. 38.4%,  $P=0.010$ ) and associated with worse prognosis (65.1% vs. 33.9%,  $P=0.002$ ), while Bcl-2 expression and the other clinical parameters did not differ ( $P>0.05$ ). However, a diametrically opposite result was witnessed in Noxa. High expression of Noxa mostly occurs in NET patients (49.3% vs. 25.0%,  $P=0.020$ ) and associated with better prognosis (58.1% vs. 18.6%,  $P<0.001$ ). In addition, high Noxa expression seems to be associated with younger age at diagnosed (48.1% vs. 20.8%,  $P=0.017$ ). Expressions of Mcl-1, Bcl-xL, PUMA were not significantly different in subgroups of clinicopathological characteristics and survival outcomes (see Supplementary Table 1).

Table 2  
relationship between the expression of Bcl-2, Nox-a and clinicopathologic parameters

Parameters	Expression of Bcl-2		P value*	Expression of Nox-a		P value*
	Low (n = 56, %)	High (n = 49, %)		Low (n = 61,%)	High (n = 44, %)	
Age,year						
≤60	45(55.6)	36(44.4)	0.402	42(51.9)	39(48.1)	0.017
>60	11(45.8)	9(54.2)		19(79.2)	5(20.8)	
Sex						
Male	34(54.9)	29(46.0)	0.873	40(63.5)	23(36.5)	0.170
Female	22(52.4)	20(47.6)		21(50.0)	21(50.0)	
Primary tumor location						
Stomache	12(42.9)	16(57.1)	0.409	21(75.0)	7(25.0)	0.024
Gut	23(59.0)	16(41.0)		24(61.5)	15(38.5)	
Pancreas	21(55.3)	17(44.7)		16(42.1)	22(57.9)	
WHO Grade						
NET	45(61.6)	28(38.4)	0.010	37(50.7)	36(49.3)	0.020
NEC	11(34.4)	21(65.6)		24(75.0)	8(25.0)	
T stage						
1-3	41(54.7)	34(45.3)	0.204	41(54.7)	34(45.3)	0.242
4	10(40.0)	15(60.0)		17(68.0)	8(32.0)	
N stage						
0	32(59.3)	22(40.7)	0.210	27(50.0)	27(50.0)	0.084
1-3	24(47.1)	27(52.9)		34(66.7)	17(33.3)	
M stage						
0	32(57.1)	24(42.9)	0.403	30(53.6)	26(46.4)	0.315
1	24(49.0)	25(51.0)		31(63.3)	18(36.7)	
Survival status						
Alive	41(66.1)	21(33.9)	0.002	26(41.9)	36(58.1)	< 0.001
Dead	15(34.9)	28(65.1)		35(81.4)	8(18.6)	
Note: * X <sup>2</sup> test, a, Pearson's Chi-Square test						

### 3.3. Bcl-2 and Noxa are potential predictors for survival outcome of patients with GEP-NENs

In total, 105 patients were followed up for a median of 45 months (range 1-129 months). During the follow-up, 43 (41.0%) patients died, of whom 3 (7.0%) cases were classified as G1, 6 (14.0%) cases as G2, 8 (18.6%) cases as G3, and 26 (60.5%) cases as NECs. Among these patients, 41 (95.3%) patients died due to tumor progression, 1 (2.3%) patient died due to cerebrovascular disease, and 1 (2.3%) patient died by accident. To evaluate the expression of Bcl-2 family markers as predictors for prognosis, Kaplan– Meier survival curves were used for analysis. The high level of Bcl-2 is significantly correlated with poor DFS ( $p < 0.001$ , Fig. 2A), we then divided the patients into NETs and NECs subgroups for further analysis and found that the high expression of Bcl-2 has a predictive effect only in NET patients ( $p = 0.032$ , Fig. 2B) but not in NEC patients ( $p = 0.090$ , Fig. 2C). A similar trend was observed in OS, high Bcl-2 expressions are correlated with poor OS ( $p < 0.001$ , Fig. 3A), no matter in NET patients ( $p = 0.012$ , Fig. 3B) or NEC patients. ( $p = 0.032$ , Fig. 3C). On the contrary, Noxa can be a positive prognostic factor for DFS ( $p < 0.001$ , Fig. 2D) and OS ( $p < 0.001$ , Fig. 3D), when dividing patients into NET and NEC subgroups, Noxa can also be a predictive marker with positive effect, but for NEC group patients, there is no difference between high and low Noxa expression for DFS ( $p = 0.071$ , Fig. 2F). Other markers were also subjected to long-rank test, the expressions of Bcl-xl, Mcl-1, and PUMA were not correlated with DFS (S-Figure1) and OS (S-Figure2).

### **3.4 Age, primary tumor location, metastatic stage, Bcl-2 expression and Noxa expression could be a risk model of DFS and OS for NEN patients**

As shown in Table 3, univariate and multivariate Cox regression analyses were used to identify risk factors for NEN patients. Univariate Cox regression analyses demonstrate that age above 60 years old (HR: 3.269; 95% CI: 1.816–5.883,  $p < 0.001$ ), NEC (HR: 5.858; 95% CI: 3.298–10.402,  $p < 0.001$ ), T stage 4 (HR: 2.158; 95% CI: 1.187–3.9214,  $p = 0.012$ ), node metastasis 1–2 (HR: 1.806; 95% CI: 1.025–3.183,  $p = 0.041$ ), distance metastasis (HR: 2.278; 95% CI: 1.283–4.043,  $p = 0.005$ ), and high Bcl-2 expression (HR: 2.949; 95% CI: 1.643–5.295,  $p < 0.001$ ) were negatively and significantly correlated with DFS, while pancreas NENs (HR: 0.364; 95% CI: 0.179–0.741,  $p = 0.005$ ), operation (HR: 0.326; 95% CI: 0.183–0.581,  $p < 0.001$ ), high Noxa expression (HR: 0.293; 95% CI: 0.152–0.563,  $p < 0.001$ ) were positively correlated with DFS. Multivariate Cox regression analyses indicated that NEC (HR: 8.899; 95% CI: 3.681–21.510,  $p < 0.001$ ), node metastases 1–2 (HR: 0.481; 95% CI: 0.241–0.958,  $p = 0.037$ ), distant metastases (HR: 2.260; 95% CI: 1.120–4.562,  $p = 0.023$ ), operation (HR: 0.310; 95% CI: 0.140–0.690,  $p = 0.004$ ), high Bcl-2 expression (HR: 2.661; 95% CI: 1.385–5.110,  $p = 0.003$ ), high Noxa expression (HR: 0.324; 95% CI: 0.147–0.713,  $p = 0.005$ ) were independent predictors of NEN patients' DFS.

Table 3  
Univariate and multivariate Cox regression analysis of overall survival and disease-free survival

Variable	HR(95%CI)	P	HR(95%CI)	P	HR(95%CI)	P	HR(95%CI)	P
Age (≤ 60 year vs. >60 year)	3.269(1.816–5.883)	< 0.001	1.056(0.466–2.390)	0.896	3.631(1.947–6.772)	< 0.001	1.309(0.579–2.957)	0.518
Sex (Male vs. Female)	0.882(0.498–1.562)	0.667			0.844(0.455–1.567)	0.591		
Primary tumor location (stomach vs. gut)	0.602(0.316–1.149)	0.124	1.535(0.745–3.165)	0.246	2.627(1.248–5.531)	0.011	0.428(0.156–1.178)	0.100
Primary tumor location (stomach vs. pancreas)	0.364(0.179–0.741)	0.005	1.666(0.624–4.446)	0.308	1.380(0.637–2.989)	0.663	0.559(0.221–1.413)	0.219
WHO Grade (NET vs. NEC)	5.858(3.298–10.402)	< 0.001	8.899(3.681–21.510)	< 0.001	6.507(3.481–12.163)	< 0.001	8.860(3.958–24.560)	< 0.001
T (1–3 vs. 4)	2.158(1.187–3.921)	0.012	1.399(0.666–2.937)	0.375	1.895(0.992–3.619)	0.053		
N (0 vs. 1–2)	1.806(1.025–3.183)	0.041	0.481(0.241–0.958)	0.037	1.646 (0.898–3.018)	0.107		
M (0 vs. 1)	2.278(1.283–4.043)	0.005	2.260(1.120–4.562)	0.023	2.023(1.095–3.736)	0.024	1.583(0.804–3.118)	0.184
Operation (No vs. Yes)	0.326(0.183–0.581)	< 0.001	0.310(0.140–0.690)	0.004	0.322(0.174–0.597)	< 0.001	0.314 (0.142–0.696)	0.004
Bcl-2 expression (low vs. high)	2.949(1.643–5.295)	< 0.001	2.661(1.385–5.110)	0.003	3.669(1.914–7.032)	< 0.001	3.205(1.587–6.473)	0.001
Noxa expression (low vs. high)	0.293(0.152–0.563)	< 0.001	0.324(0.147–0.713)	0.005	0.216(0.099–0.469)	< 0.001	0.293(0.126–0.684)	0.005
Bcl-xl expression (low vs. high)	0.860(0.476–1.555)	0.618			0.912(0.483–1.723)	0.777		

Abbreviations: HR, hazard ratio; 95%CI, 95% confidence interval.

Puma expression (low vs. high)	0.758(0.430–1.336)	0.338			0.823(0.449–1.511)	0.530		
Mcl-1 expression (low vs. high)	0.866(0.494–1.519)	0.615			0.720(0.388–1.337)	0.299		
<b>For patients diagnosed as NET</b>								
Bcl-2 expression (low vs. high)	2.459(1.052–5.748)	0.038	3.497(1.399–8.739)	0.007	3.272(1.231–8.701)	0.017	4.189(1.494–11.745)	0.006
Nox-a expression (low vs. high)	0.182(0.061–0.539)	0.002	0.144(0.047–0.442)	0.001	0.184(0.053–0.640)	0.008	0.151(0.042–0.541)	0.004
<b>For patients diagnosed as NEC</b>								
Bcl-2 expression (low vs. high)	2.014(0.876–4.629)	0.099	1.992(0.864–4.593)	0.106	2.514(1.042–6.607)	0.040	2.355(0.972–5.703)	0.058
Nox-a expression (low vs. high)								
Abbreviations: HR, hazard ratio; 95%CI, 95% confidence interval.								

As for OS, the univariate analysis revealed that age above 60 years old (HR: 1.309; 95% CI: 1.947–6.772,  $p < 0.001$ ), tumor located in gut (HR: 2.627; 95% CI: 1.248–5.531,  $p = 0.011$ ), NEC (HR: 6.507; 95% CI: 3.481–12.163,  $p < 0.001$ ), distant metastases (HR: 2.023; 95% CI: 1.095–3.736,  $p = 0.024$ ), operation (HR: 0.322; 95% CI: 0.174–0.597,  $p < 0.001$ ), high Bcl-2 expression (HR: 3.669; 95% CI: 1.914–7.032,  $p < 0.001$ ), high Noxa expression (HR: 0.216; 95% CI: 0.099–0.469,  $p < 0.001$ ) were significant correlated with OS. We further carried out these factors for multivariate Cox regression analyses, which showed that NEC (HR: 8.860; 95% CI: 3.958–24.560,  $p < 0.001$ ), operation (HR: 0.314; 95% CI: 0.142–0.696,  $p = 0.004$ ), and high Noxa expression (HR: 0.293; 95% CI: 0.126–0.684,  $p = 0.005$ ) were identified as independent predictors of GEP-NEN patients' OS.

## 4. Discussion

In order to further explore biomarkers to predict long-term survival in GEP-NENs, our study evaluated the Bcl-2 family protein expressions in tumor tissue of GEP-NEN patients. There are considerable evidences to suggest that Bcl-2 and Noxa expressions correlate with tumor grade and survival prognosis. That is, overexpression of Bcl-2 protein and low expression of Noxa protein indicated poor tumor differentiation and poor prognosis.

Bcl-2 is the fundamental member of Bcl-2 family of apoptosis and classified as oncogene(20). Dysregulation of bcl-2 family proteins has been found in a variety of tumors such as lung cancer, melanoma, and AML(21–23). In this study, we found that the expression of Bcl-2 in NECs was significantly higher than that of NETs in GEP-NENs, and the same trend was also observed in previous studies which focused on pancreatic NENs, suggesting that overexpression of Bcl-2 may be responsible for higher proliferation rate and more malignant phenotype of NECs compared to NETs(13). This phenomenon was also observed in NETs derived from lung, that is, the expression of Bcl-2 in small cell lung cancer (SCLC) was higher than that of typical carcinoid (TC) and atypical carcinoid (AC). What's more, considerable evidence suggest that a positive correlation was observed between Bcl-2 and chromogranin A (CgA), which indicated the expression of Bcl-2 may be involved in neuroendocrine differentiation(13, 21, 24). In addition, overexpression of Bcl-2 also induces resistance of chemotherapy and targeted therapies(25, 26). Currently, several Bcl-2 inhibitors, including Venetoclax, have demonstrated a marked activity *in vitro* studies and good pharmacological effects in clinical trials and have been approved by FDA for the treatment of SCLC, AML and chronic CLL(27–29). We found overexpression of Bcl-2 in poorly differentiated GEP-NECs, suggesting that inhibitors targeting Bcl-2 may also be a future option for these patients.

On the contrary, Noxa, which selectively binds to Mcl-1, belongs to a subclass of BH3-only proteins and plays pro-apoptotic effect through the neutralization of Mcl-1(30, 31). Previous studies have revealed that Noxa gene expression and protein function have been linked to cell death in kinds of hematopoietic and solid cancers, such as melanoma, multiple myeloma (MM), and CLL(31–33). In melanoma and breast cancer studies, induced upregulation of Noxa enhances the pharmacological effects of BH3 analogue ABT-737(34, 35). In this study, we also observed that the expression of Noxa is significantly higher in NETs, compared with NECs, and was positively associated with prognosis. Restoring or enhancing Noxa expression may significantly increase treatment efficacy and may serve as a worthwhile strategy to be explored in GEP-NENs.

This study still has some limitations. First of all, this is a retrospective study, with inherent limitations of retrospective research, such as missing some data. Secondly, given to limitations in the understanding of NENs in the early years, some patients did not receive standard treatment. Consequently, further large sample and multi-center studies are of great importance to validate these conclusions.

## Conclusion

Taken together, our study, for the first time, systematically detected the expression of Bcl-2 family proteins in GEP-NENs, and further evaluated the relationship between the expression of Bcl-2 family proteins and the prognosis of GEP-NEN patients. Our results demonstrated that Bcl-2 and Noxa were valuable and independent prognostic indicators of DFS and OS in GEP-NENs. It gave us a new understanding of NENs and laid the ground for the application of drugs targeting Bcl-2 family proteins in treating NENs.

## Declarations

### Author contributions

All authors contributed to the study conception and design. Data collection and analysis were performed by Guo Yu, Zhang Lin and Zhang Ning; Experiments design: Yang Dajun and Chen Jie; Immunohistochemical staining and analysis: Liu Man, Luo Qiuyun;

Manuscript writing: Guo Yu, Zhang Lin and Zhang Ning, and Liu Man. All authors read and approved the final manuscript.

## Funding

This work was supported by Guangzhou Science and Technology Plan (201804010078); Province Natural Science Fund of Guangdong (2019A1515011373); National Natural Science Foundation of China (82003268).

## Conflict of Interest Disclosure Statement

The authors have declared that no competing interest exists.

## References

1. Dasari A, Shen C, Halperin D, Zhao B, Zhou S, Xu Y, et al. Trends in the Incidence, Prevalence, and Survival Outcomes in Patients With Neuroendocrine Tumors in the United States. *JAMA Oncol.* 2017;3(10):1335-42.
2. Yoo C, Cho H, Song MJ, Hong SM, Kim KP, Chang HM, et al. Efficacy and safety of everolimus and sunitinib in patients with gastroenteropancreatic neuroendocrine tumor. *Cancer Chemother Pharmacol.* 2017;79(1):139 – 46.
3. Yao JC, Shah MH, Ito T, Bohas CL, Wolin EM, Van Cutsem E, et al. Everolimus for advanced pancreatic neuroendocrine tumors. *N Engl J Med.* 2011;364(6):514 – 23.
4. Yao JC, Fazio N, Singh S, Buzzoni R, Carnaghi C, Wolin E, et al. Everolimus for the treatment of advanced, non-functional neuroendocrine tumours of the lung or gastrointestinal tract (RADIANT-4): a randomised, placebo-controlled, phase 3 study. *Lancet.* 2016;387(10022):968 – 77.
5. Raymond E, Dahan L, Raoul JL, Bang YJ, Borbath I, Lombard-Bohas C, et al. Sunitinib malate for the treatment of pancreatic neuroendocrine tumors. *N Engl J Med.* 2011;364(6):501 – 13.
6. Guikema JE, Amiot M, Eldering E. Exploiting the pro-apoptotic function of NOXA as a therapeutic modality in cancer. *Expert Opin Ther Targets.* 2017;21(8):767 – 79.
7. Bruckheimer EM, Cho SH, Sarkiss M, Herrmann J, McDonnell TJ. The Bcl-2 gene family and apoptosis. *Adv Biochem Eng Biotechnol.* 1998;62:75–105.
8. Dietrich JB. [Apoptosis and anti-apoptosis genes in the Bcl-2 family]. *Arch Physiol Biochem.* 1997;105(2):125 – 35.
9. Kapoor I, Bodo J, Hill B, Hsi E, Almasan A. Targeting BCL-2 in B-cell malignancies and overcoming therapeutic resistance. *Cell death & disease.* 2020;11(11):941.
10. Moul JW. Angiogenesis, p53, bcl-2 and Ki-67 in the progression of prostate cancer after radical prostatectomy. *Eur Urol.* 1999;35(5–6):399–407.
11. Wei Y, Cao Y, Sun R, Cheng L, Xiong X, Jin X, et al. Targeting Bcl-2 Proteins in Acute Myeloid Leukemia. *Front Oncol.* 2020;10:584974.
12. Gangat N, Tefferi A. Venetoclax-based chemotherapy in acute and chronic myeloid neoplasms: literature survey and practice points. *Blood cancer journal.* 2020;10(11):122.
13. Yachida S, Vakiani E, White CM, Zhong Y, Saunders T, Morgan R, et al. Small cell and large cell neuroendocrine carcinomas of the pancreas are genetically similar and distinct from well-differentiated pancreatic neuroendocrine tumors. *Am J Surg Pathol.* 2012;36(2):173 – 84.

14. Nagtegaal ID OR, Klimstra D WHO Classification of Tumours. Digestive System Tumours. Fifth Edition: World Health Organization Press. 2019.
15. Edge SB, Edge SB. AJCC cancer staging manual 8th ed: Springer; 2017.
16. Creytens D. NKX2.2 immunohistochemistry in the distinction of Ewing sarcoma from cytomorphologic mimics: Diagnostic utility and pitfalls-Comment on Russell-Goldman et al. *Cancer Cytopathol.* 2019;127(3):202.
17. Guo Z, Zhang X, Zhu H, Zhong N, Luo X, Zhang Y, et al. Telo2 induced progression of colorectal cancer by binding with RICTOR through mTORC2. *Oncol Rep.* 2021;45(2):523 – 34.
18. Chen W, Peng J, Ou Q, Wen Y, Jiang W, Deng Y, et al. Expression of NDRG2 in Human Colorectal Cancer and its Association with Prognosis. *J Cancer.* 2019;10(15):3373-80.
19. Peng J, Zhao Y, Luo Q, Chen H, Fan W, Pan Z, et al. High WNT6 expression indicates unfavorable survival outcome for patients with colorectal liver metastasis after liver resection. *J Cancer.* 2019;10(12):2619-27.
20. Ebrahim AS, Sabbagh H, Liddane A, Raufi A, Kandouz M, Al-Katib A. Hematologic malignancies: newer strategies to counter the BCL-2 protein. *J Cancer Res Clin Oncol.* 2016;142(9):2013-22.
21. Wang DG, Johnston CF, Sloan JM, Buchanan KD. Expression of Bcl-2 in lung neuroendocrine tumours: comparison with p53. *J Pathol.* 1998;184(3):247 – 51.
22. Rahmani M, Nkwocha J, Hawkins E, Pei X, Parker RE, Kmiecik M, et al. Cotargeting BCL-2 and PI3K Induces BAX-Dependent Mitochondrial Apoptosis in AML Cells. *Cancer Res.* 2018;78(11):3075-86.
23. Trisciuglio D, Desideri M, Ciuffreda L, Mottolese M, Ribatti D, Vacca A, et al. Bcl-2 overexpression in melanoma cells increases tumor progression-associated properties and in vivo tumor growth. *J Cell Physiol.* 2005;205(3):414 – 21.
24. Gal AA, Sheppard MN, Nolen JD, Cohen C. p53, cellular proliferation, and apoptosis-related factors in thymic neuroendocrine tumors. *Mod Pathol.* 2004;17(1):33 – 9.
25. Fisher TC, Milner AE, Gregory CD, Jackman AL, Aherne GW, Hartley JA, et al. bcl-2 modulation of apoptosis induced by anticancer drugs: resistance to thymidylate stress is independent of classical resistance pathways. *Cancer Res.* 1993;53(14):3321-6.
26. Sartorius UA, Krammer PH. Upregulation of Bcl-2 is involved in the mediation of chemotherapy resistance in human small cell lung cancer cell lines. *Int J Cancer.* 2002;97(5):584 – 92.
27. Hafezi S, Rahmani M. Targeting BCL-2 in Cancer: Advances, Challenges, and Perspectives. *Cancers (Basel).* 2021;13(6).
28. Lochmann TL, Floros KV, Naseri M, Powell KM, Cook W, March RJ, et al. Venetoclax Is Effective in Small-Cell Lung Cancers with High BCL-2 Expression. *Clin Cancer Res.* 2018;24(2):360-9.
29. Pollyea DA. Venetoclax in AML: Where We Are and Where We Are Headed. *Clin Lymphoma Myeloma Leuk.* 2020;20 Suppl 1:S25-S6.
30. Gomez-Bougie P, Wulleme-Toumi S, Menoret E, Trichet V, Robillard N, Philippe M, et al. Noxa up-regulation and Mcl-1 cleavage are associated to apoptosis induction by bortezomib in multiple myeloma. *Cancer Res.* 2007;67(11):5418-24.
31. Ponder KG, Matulis SM, Hitosugi S, Gupta VA, Sharp C, Burrows F, et al. Dual inhibition of Mcl-1 by the combination of carfilzomib and TG02 in multiple myeloma. *Cancer Biol Ther.* 2016;17(7):769 – 77.
32. Albert MC, Brinkmann K, Kashkar H. Noxa and cancer therapy: Tuning up the mitochondrial death machinery in response to chemotherapy. *Mol Cell Oncol.* 2014;1(1):e29906.
33. Mackus WJ, Kater AP, Grummels A, Evers LM, Hooijbrink B, Kramer MH, et al. Chronic lymphocytic leukemia cells display p53-dependent drug-induced Puma upregulation. *Leukemia.* 2005;19(3):427 – 34.

34. Lucas KM, Mohana-Kumaran N, Lau D, Zhang XD, Hersey P, Huang DC, et al. Modulation of NOXA and MCL-1 as a strategy for sensitizing melanoma cells to the BH3-mimetic ABT-737. *Clin Cancer Res.* 2012;18(3):783 – 95.
35. Seveno C, Loussouarn D, Brechet S, Campone M, Juin P, Barille-Nion S. gamma-Secretase inhibition promotes cell death, Noxa upregulation, and sensitization to BH3 mimetic ABT-737 in human breast cancer cells. *Breast Cancer Res.* 2012;14(3):R96.

## Figures

### Figure 1

IHC staining for Bcl-2 and Noxa. A. High and low expression of Bcl-2 protein (200x). B. High and low expression of Noxa protein (200x). Second line shows a higher magnification(400x), respectively.

### Figure 2

Kaplan-Meier analysis showing high Bcl-2 expression is associated with poor DFS (A), When patients were grouped by NET and NEC, this relationship existed only in the NET group (B), but not in the NEC group (C). On the contrary, high Noxa expression is associated with better DFS (D), and this relationship is still existed only in NET group (E) not in NEC group (F).

### Figure 3

Kaplan-Meier analysis showing high Bcl-2 expression is associated with poor OS (A). When patients were grouped by NET and NEC, this relationship existed in the NET group (B), and NEC group (C). On the contrary, high Noxa expression is associated with better OS (D), and this relationship is still existed not only in NET group (E) but also in NEC group (F).

## Supplementary Files

This is a list of supplementary files associated with this preprint. Click to download.

- [Stable1.docx](#)
- [Sfigure1.tif](#)
- [Sfigure2.tif](#)