

1 **The prognostic values of Caveolin-1 immunoreactivity in peritubular capillaries in patients**
2 **with kidney transplantation**

3 Yasuyuki Nakada 1), Izumi Yamamoto 1), Shigeru Horita 2), Akimitsu Kobayashi 1), Aki Mafune 1),
4 Haruki Katsumata 1), Takafumi Yamakawa 1), Ai Katsuma 1), Mayuko Kawabe 1), Yudo Tanno 1),
5 Ichiro Ohkido 1), Nobuo Tsuboi 1), Hiroyasu Yamamoto 1,4), Masayoshi Okumi 3), Hideki Ishida 3),
6 Takashi Yokoo 1), and Kazunari Tanabe 3); Japan Academic Consortium of Kidney Transplantation
7 (JACK)

8 1) Division of Nephrology and hypertension, Department of Internal Medicine, The Jikei University
9 School of Medicine, Tokyo, Japan.

10 2) Department of Medicine, Kidney center, Tokyo Women's Medical University, Tokyo, Japan

11 3) Department of Urology, Tokyo Women's Medical University, Tokyo, Japan

12 4) Department of Internal Medicine, Atsugi City Hospital, Kanagawa, Japan

13 Corresponding author: Izumi Yamamoto, MD, PhD, Division of Nephrology and Hypertension,
14 Department of Internal Medicine, The Jikei University School of Medicine, 3-25-8, Nishi-Shimbashi,
15 Minato-ku, Tokyo, Japan, 105-8461.

16 Tel.: +81-3-3433-1111 ext.3221; fax: +81-3-3433-4297;

17 e-mail: izumi26@jikei.ac.jp

1 **Abstract**

2 Nakada Y, Yamamoto I, Horita S, Kobayashi A, Mafune A, Katsumata H, Yamakawa T, Katsuma A,
3 Kawabe M, Tanno Y, Ohkido I, Tsuboi N, Yamamoto H, Okumi M, Ishida H, Yokoo T, Tanabe K;
4 Japan Academic Consortium of Kidney Transplantation (JACK) The prognostic values of Caveolin-1
5 immunoreactivity in peritubular capillaries in patients with kidney transplantation. Clin Transplant
6 The low sensitivity of C4d immunoreactivity in peritubular capillaries (PTCs) hinders its use in the
7 diagnosis of chronic active antibody-mediated rejection (CAAMR). C4d-negative CAAMR was
8 defined in the 2013 Banff classification, which included on the expression of endothelial-associated
9 transcripts (ENDATs). We previously showed that the ENDAT caveolin-1 (CAV-1) is a distinct
10 feature of CAAMR. In this study, we investigated the prognostic value of CAV-1 immunoreactivity
11 in PTCs in kidney transplant patients. Ninety eight kidney transplant recipients were included in this
12 study. The prognostic value of CAV-1 immunoreactivity in PTCs was evaluated by
13 double-immunostaining for CAV-1 and pathologische Anatomie Leiden endothelium (PAL-E, a PTC
14 marker) in the PTCs of kidney allograft biopsy samples. The patients were divided into two groups:
15 CAV-1/PAL-E <50% and CAV-1/PAL-E ≥50%. Kaplan-Meier curves showed that CAV-1/PAL-E
16 ≥50% patients had a significantly worse prognosis than that of CAV-1/PAL-E <50% patients
17 (log-rank; $p < 0.001$). C4d staining of PTCs was not associated with the development of graft failure
18 (log-rank; $p = 0.345$), whereas in a multivariate Cox regression analysis, CAV-1 immunoreactivity in
19 PTCs was independently associated with graft failure (hazard ratio: 11.1; $p = 0.0324$). CAV-1

1 immunoreactivity in PTCs may serve as a prognostic marker for kidney allograft survival.

2 Key word: Caveolae, Caveolin-1, transplant glomerulopathy, chronic active antibody-mediated
3 rejection, kidney graft survival

4 Name and address of the author to whom requests for offprints should be sent:

5 Yasuyuki Nakada, MD, Division of Nephrology and Hypertension, Department of Internal Medicine,
6 The Jikei University School of Medicine, 3-25-8, Nishi-Shimbashi, Minato-ku, Tokyo, Japan,
7 105-8461.

8 Tel.: +81-3-3433-1111 ext.3221; fax: +81-3-3433-4297;

9

10

11

1 **Introduction**

2 The rate of kidney allograft survival improved dramatically following the introduction of effective
3 immunosuppressive agents, including calcineurin inhibitors (tacrolimus, cyclosporine) and
4 mycophenolate mofetil. Nonetheless, chronic rejection remains a major cause of allograft
5 dysfunction and failure. In a 2001 report, chronic rejection accounted for 19.7% of all allograft
6 failures (1). Of the various forms of rejection, chronic active antibody-mediated rejection (CAAMR)
7 is more difficult to treat and is closely associated with allograft survival (2). Its diagnosis therefore
8 requires accurate histopathological, serological, and immunological examinations. C4d, a
9 complement component detected in peritubular capillaries (PTCs), is a widely used diagnostic
10 marker for antibody-mediated rejection. In fact, the diagnostic definition of CAAMR provided by the
11 2007 Banff classification consisted of the following: (1) histopathological findings, (2) detection of
12 donor-specific antibodies (DSA), and (3) C4d staining of PTCs. Of these three criteria, however, C4d
13 staining was questioned because of its low sensitivity. Thus, at the 2013 Banff classification,
14 C4d-negative CAAMR was included in the group's final report (3, 4).

15 Sis et al. (5) suggested the use of endothelial cell (EC)-associated transcripts (ENDATs) as a
16 diagnostic marker of kidney transplant rejection, based on the hypothesis that allograft rejection
17 alters the degree of gene expression in ECs (5). The same authors found that ENDATs have a higher
18 sensitivity and slightly lower specificity than those of C4d staining in the diagnosis of allograft
19 rejection (77% vs. 31% and 71% vs. 94%, respectively). ENDATs include caveolin-1 (CAV-1), the

1 expression of which is increased significantly in CAAMR, but not in T-cell-mediated rejection (5).

2 CAV-1 is a primary component of the 50- to 100-nm flask-shaped invaginations of the plasma
3 membrane referred to as caveolae (6). Caveolae are present in most cells, including fibroblasts,
4 muscle cells, adipocytes (in which they account for 20% of the cell membrane), and ECs, but not in
5 neurons or lymphocytes (6). Their functions have not been fully determined, but so far they include
6 macromolecular transcytosis, vascular permeability, the regulation of endothelial nitric oxide
7 synthase (eNOS), angiogenesis, and endothelial regeneration (7-12).

8 We previously reported that caveolae and CAV-1 expression levels in PTCs are distinct markers of
9 chronic-rejection-induced transplant glomerulopathy (TG) and capillaropathy. CAV-1
10 immunoreactivity in PTCs is higher in patients with TG than in those with interstitial fibrosis or
11 tubular atrophy (11). TG is a distinct histological finding of CAAMR in the Banff classification,
12 which suggests the potential of CAV-1 immunoreactivity as a diagnostic tool in CAAMR (11).
13 However, the association between CAV-1 immunoreactivity in PTCs and graft survival has yet to be
14 evaluated. Therefore, in this study we explored whether CAV-1 immunoreactivity in PTCs correlates
15 with graft survival in kidney transplant recipients.

16

17 **Materials and Methods**

18 From a pool of 3574 kidney indication and protocol biopsies in 1362 cases reported at the Tokyo
19 Women's Medical University (TWMU) between July 2004 and May 2013, we selected the following

1 cases with: 1) long-term post-transplant period, 2) no missing values of his or her clinical and
2 prognostic data, 3) no ABO-incompatible cases, 4) specimens with both CAV-1 and PAL-E
3 immunostaining at the time of survey. We evaluated 98 biopsies obtained 8.29 ± 5.46 years after
4 kidney transplantation, which was possible to evaluate clinical and prognostic data. The average
5 allograft survival after allograft biopsy was 2.98 ± 1.79 years. Approval was obtained from the
6 Institutional Ethics Committee of Tokyo Women's Medical University (Identifier: 3336-R), and
7 written informed consent was obtained from patients. We identified sampling data from the
8 electronic database of the TWUMU's Kidney Center and reviewed the patients' clinical characteristics,
9 including sex, age at transplantation, biopsy date after transplantation, follow-up period after
10 diagnosis, C4d immunoreactivity in PTCs, and Banff 2013 classification as a pathological finding.

11 The pathological assessment was based on the Banff 2013 classification and was used to diagnose
12 rejection. Formalin-fixed paraffin sections were stained with hematoxylin and eosin, periodic
13 acid-Schiff, Masson's trichrome, and periodic-acid methenamine silver. Pathological findings were
14 assessed by more than two pathologists.

15 Immunohistochemistry was performed as described previously, using cold acetone-fixed frozen
16 sections reacted with a monoclonal antibody (mAb) against Pathologische Anatomie Leiden
17 endothelium (PAL-E; Progen, Heidelberg, Germany), a CAV-1 polyclonal antibody (pAb) (Santa
18 Cruz Biotechnology, Santa Cruz, CA, USA), and C4d mAb (Quidel, Alkmaar, The Netherlands) (11).
19 The bound primary antibody was detected using Alexa-488-conjugated goat anti-mouse IgG

1 antibody (1:500; Molecular Probes, Eugene, OR, USA) for both the PAL-E and C4d mAbs and
2 Alexa 568-conjugated goat anti-rabbit IgG antibody (1:1000; Molecular Probes) for the CAV-1 pAb.
3 To examine the degree of CAV-1 immunoreactivity in PTCs, biopsy samples were
4 double-immunostained for CAV-1 and PAL-E. PAL-E have been used as a specific endothelial
5 marker, and PAL-E antigen is identical with plasmalemmal vesicle associated protein-1 that is a
6 component of endothelial fenestral diaphragms (FDs). PV-1 is abundantly expressed in the
7 endothelium of peritubular capillaries and vasa recta, while is absent in glomerular and arterial
8 endothelium due to absence of FDs. Therefore, we used PAL-E as a marker of peritubular capillaries
9 in this study. Renal histopathology was photographed under a light microscope (DP-70, DP-73,
10 Olympus, Tokyo, Japan). CAV-1 immunoreactivity in PTCs was defined as the ratio of CAV-1- to
11 PAL-E-positive PTCs in the whole specimen (CAV-1/PAL-E; Fig. 1). To evaluate CAV-1/PAL-E,
12 we count all PTCs stained with PAL-E and CAV-1 in a whole biopsy section, and provide
13 percentage/ratio for CAV-1 positivity.

14 C4d immunoreactivity in PTCs was evaluated according to the Banff 2013 classification. To assess
15 the significance of CAV-1 in PTCs, the patients were divided into two groups: CAV-1/PAL-E \times 50%
16 (n=42) and CAV-1/PAL-E $<$ 50% (n=56).

17 Continuous data are expressed as the mean \pm standard deviation and discontinuous and ordinal
18 data as the rate and 95% confidence interval (CI). The Mann-Whitney test was used for comparisons
19 of the two groups of patients (CAV-1/PAL-E \times 50% vs. CAV-1/PAL-E $<$ 50%). Allograft survival

1 failure was defined as the return to dialysis. Kaplan-Meier curves were used to estimate
2 death-censored allograft survival; the results were compared with those obtained using the log-rank
3 statistic. The influence of clinical and pathological variables on graft survival was evaluated by
4 univariate and multivariate Cox regression analyses. In the multivariate analysis, the Banff g
5 (transplant glomerulitis) and ptc (peritubular capillaritis) scores were excluded because of their linear
6 combination with the microvascular inflammation (MVI) score, which was also determined in this
7 study. The Banff cv (fibrous intimal thickening) score was also excluded because only five patients
8 were positive. In all analyses, a p -value <0.05 was considered to indicate statistical significance.

9

10 **Results**

11 *Clinical characteristics of the patients*

12 The kidney allograft biopsy results of 98 recipients were analyzed. The characteristics of the
13 patients are listed in Table 1. The mean age of the patients was 44.7 ± 14.7 years, and 66.3% were
14 male. Fifty two percentages of specimens were obtained by induction biopsies (51 of 98 specimens).

15 Living kidney grafts accounted for 93.3% of the transplant procedures (91 of 98 patients)

16 The patients were divided into two distinct cohorts, CAV-1/PAL-E $<50\%$ and CAV-1/PAL-E $\times 50\%$,
17 to evaluate the influence on graft survival of CAV-1 immunoreactivity in PTCs. The clinical
18 characteristics of the two groups are shown in Table 2 and their Banff 2013 classifications in Table 3.

19 The age, sex, and follow-up period (months) at transplantation were similar between the

1 CAV-1/PAL-E <50% and CAV-1/PAL-E ×50% patients. The latter group had a higher serum
2 creatinine level at diagnosis, later time to diagnosis, longer follow-up period after diagnosis, and
3 higher rate of graft failure.

4

5 *CAV-1 immunoreactivity and histopathological characteristics*

6 As previously reported (11), higher CAV-1 expression was strongly associated with a higher rate of
7 TG (CAV-1/PAL-E <50% vs. CAV-1/PAL-E ×50%, 12.5% vs. 59.5%, $p < 0.0001$; Table 2). All
8 Banff 2013 classification scores, except tubulitis (t), and arteritis (v) were significantly higher in the
9 CAV-1/PAL-E ×50% group than in the CAV-1/PAL-E <50 group (Table 3).

10

11 *CAV-1 immunoreactivity in PTCs could be a useful diagnostic marker for Transplant*

12 *Glomerulopathy.*

13 Our data demonstrated that PTCs C4d positivity had low sensitivity and high specificity for the
14 diagnosis of TG (53.1% and 87.9%), whereas, CAV-1 immunoreactivity (CAV-1/PAL-E×50%) in
15 PTCs had higher sensitivity and slightly lower specificity than PTCs C4d positivity (78.1% and
16 74.2%).

17

18 *Association between graft survival and CAV-1 immunoreactivity, or C4d staining in PTCs*

19 The cumulative incidence of graft failure was higher in the CAV-1/PAL-E ×50% group (21.4%,
20 47.6%, and 54.1% at 1, 3, and 5 years, respectively) than in the CAV-1/PAL-E <50% group (0.0%,

1 5.5%, and 12.1% at 1, 3, and 5 years, respectively) (log-rank, $p < 0.001$; Fig. 2). There was no
2 significant correlation between C4d immunoreactivity in PTCs and the development of graft failure
3 (log-rank, $p = 0.345$; Fig. 3).

4 5 *CAV-1 immunoreactivity as an independent risk factor for graft survival*

6 Putative determinants of graft failure development were analyzed using univariate and multivariate
7 logistic regression models. In the univariate Cox regression analysis, most variables were
8 significantly associated with graft survival, except recipient age at diagnosis, C4d staining in PTCs,
9 and the Banff i and v scores. In the multivariate analysis, CAV-1 immunoreactivity in PTCs, which
10 was superior to the pathological CAAMR, ci (interstitial fibrosis) score and the Banff cg (duplication
11 or double contours) in glomerular basement membrane) score, was independently associated with
12 graft survival (Table 4).

13

14 **Discussion**

15 This study showed that CAV-1 immunoreactivity levels in PTCs, derived from semi-quantitative
16 determinations, may be a useful prognostic marker for kidney transplant graft survival. It also
17 demonstrated that CAV-1 immunoreactivity in PTCs reflected pathological findings, including cg
18 and ci score, and was an independent factor for kidney graft survival. An additional finding was
19 that C4d immunoreactivity in PTCs was not associated with kidney graft survival.

1 Caveolae, and thus CAV-1 expression, are a distinct feature of chronic-rejection-induced transplant
2 capillaropathy (11). However, the association between CAV-1 immunoreactivity in PTCs and graft
3 survival is not fully understood. One of the main findings of the present study was the relationship
4 between semi-quantitatively determined CAV-1 immunoreactivity levels in PTCs and kidney graft
5 survival. As expected, the CAV-1/PAL-E $\times 50\%$ group had a lower graft survival rate because of a
6 higher rate of TG expression, which has been reported to be strongly correlated with lower graft
7 survival. This result is, however, in contrast to the findings of a molecular microscopy study (5),
8 which showed that the expression of CAV-1 mRNA was not significantly associated with the survival
9 of the transplanted kidney. The discrepancy to our own observations may be due to the different
10 methodologies: semi-quantitative CAV-1 immunoreactivity in PTCs versus CAV-1 mRNA collected
11 from a core biopsy (5). As shown in Fig. 1, the normal distribution of CAV-1 immunoreactivity in the
12 stable kidney allograft is mainly in the medial (smooth muscle cell) layer of interlobular arteries,
13 with additional expression in Bowman's capsule and the vasa recta. Therefore, the measurement of
14 CAV-1 mRNA in a core biopsy could dilute the effect of CAV-1 expression in PTCs.

15 Since the discovery of CAV-1 in 1992, much has been learned regarding the functions of caveolae
16 and CAV-1 in ECs, such as macromolecular transcytosis, vascular permeability, regulation of eNOS,
17 atherosclerosis, ion channel regulation, angiogenesis, and endothelial regeneration (7-12). In the
18 PTCs of kidney allografts, the expression of CAV-1 may be related to endothelial regeneration
19 following active endothelial damage by antibody-mediated mechanisms. Evidence supporting this

1 hypothesis comes from developmental studies of rat glomerular capillary ECs, in which caveolae are
2 present during the immature stage but disappear from S-shaped bodies in the maturing kidney. In
3 addition, in a model of Thy-1.1 nephritis used in the study of glomerular endothelium regeneration,
4 caveolae were transiently expressed during the regeneration stage and disappeared after its
5 completion (12). However, these findings are not from PTCs but from glomerular capillaries, such
6 that the significance of CAV-1 expression in PTCs in kidney allografts remains to be definitively
7 demonstrated. CAV-1 immunoreactivity in the endothelial cells of glomerular capillaries (GCs) is
8 segmental and weaker pattern than that in PTCs in the case of transplant glomerulopathy as shown in
9 Fig. 1B and 1C. We have no convincing reason to this discrepancy, however, one possible
10 explanation is the difference of GCs and PTCs. For example, endothelial cells in GCs have at least
11 four complement inhibitors (decay accelerating factor, membrane cofactor protein, complement
12 receptor 1 and protectin), in contrast, endothelial cells in PTCs have only one (protectin). These
13 difference often explain the difference of C4d immunoreactivity between GCs and PTCs in the case
14 of transplant glomerulopathy (13). Of note, in human glomerulus, glomerular CAV-1 expression is
15 normally recognized in mesangial cells, podocytes and Bowman epithelial cells. Therefore, the
16 evaluation of glomerular endothelial CAV-1 has potential limitation using only
17 immunohistochemistry (14).

18 The pathophysiological significance of caveolae expression is also unclear. In CAAMR, leukocytes
19 migrate and adhere to ECs in PTCs, in response to increased expression of the leukocyte adhesion

1 molecules ICAM (intracellular adhesion molecule)-1, E-selectin, and VCAM-1 by capillary ECs.
2 The activated leukocytes adhere to and thereby damage the endothelium (15). In this study, higher
3 CAV-1 immunoreactivity (CAV-1/PAL-E \times 50%) in PTCs was associated with higher microvascular
4 inflammation ($p < 0.0001$ compared with CAV-1/PAL-E $<$ 50% by the Mann-Whitney test, Table 3).
5 These results did not clarify whether CAV-1 expression was harmful or protective to endothelial
6 injury because endothelial injury and repair/regeneration could occur at the same time in continuous
7 endothelial injury such as CAAMR. Powter et al. showed the anti-inflammatory effect of caveolae *in*
8 *vitro* using senescent ECs expressing high levels of caveolae and its components (CAV-1, Cavin-1
9 and Cavin-2). These cells inhibited neutrophil recruitment by decreasing the expression of VCAM-1
10 and E-selectin and by suppressing NF- κ B (nuclear factor kappa B) activity; the effect was reversed
11 by CAV-1 knockout in senescent ECs. The results suggested the anti-inflammatory effect of caveolae
12 and its components, which may have implications in the protection of kidney transplants (16).

13 CAV-1 has a unique morphology in that both its C- and N-termini face the cytoplasm. The protein
14 binds to the caveolae membrane via its hydrophobic domain. The scaffolding domain has been
15 mapped to amino acids 616101 and comprises the oligomerization domain (amino acids 816101),
16 which binds to and regulates the activity of signaling proteins. Moreover, the scaffolding domain of
17 CAV-1 interacts with eNOS to suppress the enzyme's activation (17). This interaction is also
18 suggested by observations in CAV-1^{-/-} mice, which have elevated basal levels of endothelial NO (18).
19 In ECs, NO exhibits anti-aggregation effects and suppresses the expression of leukocyte adhesion

1 molecules (19). Therefore, increased CAV-1 expression in PTCs could be harmful to ECs via
2 inhibition of eNOS activities. However, an opposite relationship between CAV-1 and eNOS has also
3 been reported. For example, an increase in vascular endothelial growth factor-induced eNOS
4 stimulation in response to CAV-1 was reported (20). Further studies are needed to clarify the role of
5 CAV-1 expression in eNOS activity in kidney allografts.

6 In our multivariable regression model, CAV-1 immunoreactivity in PTCs was an independent risk
7 factor for kidney graft survival, and was superior to pathological findings such as TG and interstitial
8 fibrosis for graft survival risk. Previous reports showed direct roles for TG and interstitial fibrosis /
9 tubular atrophy (IF/TA) in kidney graft failure (21-23). Kieran et al. reported a graft failure rate of
10 68% (13 of 19) in transplant patients with TG compared with 12% (7 of 59) in those without TG ($p <$
11 0.0001) (21). In addition, 30.7% and 15.0% of the graft failures were caused by IF/TA and TG,
12 respectively (22). Moreover, moderate or severe IF/TA and TG were independently associated with
13 death-censored graft survival in the recipients who had allograft biopsies after one-year
14 post-transplant (23). These results suggest that CAV-1 immunoreactivity in PTCs, which may be
15 related to endothelial regeneration after chronic allograft damage, is a significant risk factor for
16 allograft survival along with other chronic histopathological damage, including IF/TA and TG.

17 Another main finding of this study was the lack of an association between C4d immunoreactivity
18 in PTCs and graft survival. In 1996, Feucht et al. proposed C4d immunoreactivity in PTCs as a
19 footprint of the classical activation of complement, induced by the interaction between ECs and DSA,

1 and the association with kidney graft survival (24). Since then, many studies have suggested the
2 importance of C4d immunoreactivity in the diagnosis of CAAMR and in poor graft survival.
3 Consequently, C4d immunoreactivity in PTCs was introduced into the 2007 Banff classification as
4 one of the diagnostic criteria for CAAMR (24-27). However, C4d-negative CAAMR was added to
5 the 2013 Banff classification because of the low diagnostic sensitivity of C4d immunoreactivity (3).
6 Moreover, in recent years, several studies have failed to find an association between C4d
7 immunoreactivity and graft survival, similar to our own results. Loupy et al. described C4d as an
8 insufficient indicator of CAAMR activity and proposed the MVI score and positivity for class II
9 DSA at the early post-transplantation phase as superior substitute markers (28). Also, Sis et al.
10 showed that the concomitance of ENDATs and DSA is associated with kidney allograft survival, but
11 that the latter was not further influenced by the additional presence of C4d immunoreactivity (5).
12 Alloantibodies themselves can upregulate the expression of leukocyte adhesion molecules, including
13 VCAM-1 and ICAM-1, which can induce leukocyte recruitment to ECs (29, 30) and cause their
14 injury via interactions with NK (natural killer) cells and macrophages (31, 32). In fact, recent
15 transcriptional analyses of kidney transplant specimens showed that transcripts associated with NK
16 cells and their signaling pathways were increased in CAAMR (33, 34). These
17 complement-independent mechanisms of alloantibody induction might be significantly associated
18 with graft survival, without C4d immunoreactivity in ECs. In addition, in PTCs, C4d
19 immunoreactivity is easily altered by immunosuppressive therapies for CAAMR and can rapidly (46

1 8 days) diminish, which can complicate evaluation of the degree of histopathological injury due to
2 CAAMR (35). In the present study, CAV-1 immunoreactivity (CAV-1/PAL-E×50%) in PTCs was
3 higher sensitivity than PTCs C4d positivity for the diagnosis of transplant glomerulopathy, which is a
4 major histopathological finding of chronic endothelial cell injury, suggesting CAV-1 could be a
5 useful diagnostic marker for transplant glomerulopathy.

6

7 This study has several important limitations. First, detailed information on DSA was lacking, and
8 the follow-up period was relatively short. Second, it was retrospective in its design and based on a
9 small sample size. Additional studies are needed to assess whether the increased expression of
10 caveolae and CAV-1 in PTCs is beneficial or injurious to the kidney graft. Third, we used cut-off
11 level at 50% in CAV-1 immunoreactivity provisionally. Given clinical usefulness, we try to adopt
12 cut-off levels at 10%, 25%, and 50% for CAV-1 immunoreactivity according to 2013 Banff
13 classification (3). However, cases with CAV-1 immunoreactivity 10%>CAV-1/PAL-E were only
14 two cases and that in 25%>CAV-1/PAL-E were 16 cases, respectively. Therefore, we cannot avoid
15 adopting the cut-off level at 50% in CAV-1 immunoreactivity in this study. Fourth, this study was
16 performed in a single transplant institution and followed until May 2013, therefore, we could not
17 evaluate validity and a reproducibility using a validation set in this study. Thus, further studies are
18 needed to confirm these results clearer in multi-institutional research with long-term follow-up.
19 Nonetheless, our results suggest that CAV-1 immunoreactivity in PTCs, as determined by a

1 semi-quantitative evaluation, is a useful prognostic marker and, compared with other conventional
2 predictive factors, a superior independent risk factor for kidney graft survival. Investigation of the
3 function of caveolae and their components will shed light on their relationships with kidney
4 transplant survival and on the underlying pathophysiologic mechanisms. This should facilitate the
5 development of new treatment strategies to prevent allograft rejection and failure.

6

7 **Funding**

8 The authors have declared no funding.

9

10 **Acknowledgments**

11 We appreciate the support provided by Katsunori Shimada, PhD. (STATZ Institute, Inc., Tokyo,
12 Japan), who provided expert assistance with statistical analysis. Astellas Pharma Inc. (Tokyo, Japan)
13 supported this study with a grant. The sponsor was not involved in the study design, patient
14 enrollment, data collection, analysis, or interpretation, or preparation of the manuscript. The authors
15 thank Dr. Daisuke Toki (TWMU) for help with collection of the clinical data.

16

17 **Author contributions**

18 YN: designed research/study, performed research/study, collected data, analyzed data, and wrote the
19 paper. IY: designed research/study, performed research/study, and wrote the paper. SH:

1 performed/analyzed histological data. AK-HY: performed research/study, MO: performed
2 research/study, collected data, and manuscript review. HI, TY, and KT: performed research/study,
3 and manuscript review

4

5 **Figure legends**

6 Figure 1: Representative CAV-1 and PAL-E immunoreactivities in the peritubular capillaries of
7 transplant biopsy specimens with (AóC) and without transplant glomerulopathy (DóF). The
8 expression of PAL-E, a marker of peritubular capillaries, was seen in both sets of specimens
9 (compare A and D). CAV-1 immunoreactivity was detected in the walls of peritubular and glomerular
10 capillaries in transplant glomerulopathy specimens (B), but was not detected when there was no
11 rejection (E). CAV-1 staining in the medial smooth muscle cells and Bowman capsules of rejected
12 and non-rejected specimens was the same as that in the normal kidney (B, E). CAV-1 and PAL-E
13 staining in the transplant glomerulopathy (C) and non-rejection (F) images were merged.

14 Figure 2: Graft survival rate of the CAV-1/PAL-E < 50% and CAV-1/PAL-E × 50% groups.

15 Figure 3: Survival rate of C4d (+) and C4d () grafts.

16

17 **References**

18 1) The Japan Society of Transplantation. Factbook 2014

- 1 2) Gaston RS, Cecka JM, Kasiske BL, Fieberg AM, Leduc R, Cosio FC, et al. Evidence for
2 antibody-mediated injury as a major determinant of late kidney allograft failure. *Transplantation*.
3 2010;90(1):68-74.
- 4 3) Haas M, Sis B, Racusen LC, Solez K, Glotz D, Colvin RB, et al. Banff 2013 meeting report:
5 inclusion of C4d-negative antibody-mediated rejection and antibody-associated arterial lesions.
6 *Am J Transplant*. 2014;14(2):272-83.
- 7 4) Takeda A, Otsuka Y, Horike K, Inaguma D, Hiramitsu T, Yamamoto T, et al. Significance of
8 C4d deposition in antibody-mediated rejection. *Clin Transplant*. 2012;26 Suppl 24:43-8.
- 9 5) Sis B, Jhangri GS, Bunnag S, Allanach K, Kaplan B, Halloran PF. Endothelial gene expression in
10 kidney transplants with alloantibody indicates antibody-mediated damage despite lack of C4d
11 staining. *Am J Transplant*. 2009;9(10):2312-23.
- 12 6) Stan RV. Structure of caveolae. *Biochim Biophys Acta*. 2005;1746(3):334-48.
- 13 7) Shaul PW, Anderson RG. Role of plasmalemmal caveolae in signal transduction. *Am J Physiol*.
14 1998;275:843-51.
- 15 8) Chen J, Braet F, Brodsky S, Weinstein T, Romanov V, Noiri E, et al. VEGF-induced
16 mobilization of caveolae and increase in permeability of endothelial cells. *Am J Physiol Cell*
17 *Physiol*. 2002;282(5):1053-63.

- 1 9) García-Cardena G, Martasek P, Masters BS, Phillip M, Coueti SJ, Lii S, et al. Dissecting the
2 interaction between nitric oxide synthase (NOS) and caveolin. Functional significance of the nos
3 caveolin binding domain in vivo. *J Biol Chem.* 1997;272(41):25437-40.
- 4 10) Liu J, Razani B, Tang S, Terman BI, Ware A, Lisanti MP. Angiogenesis activators and inhibitors
5 differentially regulate caveolin-1 expression and caveolae formation in vascular endothelial cells.
6 Angiogenesis inhibitors block vascular endothelial growth factor-induced down-regulation of
7 caveolin-1. *J Biol Chem.* 1999;274(22):15781-5.
- 8 11) Yamamoto I, Horita S, Takahashi T, Kobayashi A, Toki D, Tanabe T, et al. Caveolin-1
9 expression is a distinct feature of chronic rejection-induced transplant capillaropathy. *Am J*
10 *Transplant.* 2008;8(12):2627-35.
- 11 12) Ichimura K, Stan RV, Kurihara H, Sakai T. Glomerular Endothelial Cells Form Diaphragms
12 during Development and Pathologic Conditions. *J Am Soc Nephrol.* 2009;19:146361471
- 13 13) Collins AB, Schneeberger EE, Pascual MA, Saidman SL, Williams WW, Tolloff-Rubin N, et al.
14 Complement activation in acute humoral renal allograft rejection: diagnostic significance of C4d
15 deposits in peritubular capillaries. *J Am Soc Nephrol.* 1999;10:2208-14.
- 16 14) Yamamoto I, Horita S, Takahashi T, Tanabe K, Fuchinoue S, Teraoka S, et al. Glomerular
17 Expression of Plasmalemmal Vesicle-Associated Protein-1 in Patients with Transplant
18 Glomerulopathy. *Am J Transplant.* 2007;7:1954-60

- 1 15) Tilney NL, Kusaka M, Pratschke J, Wilhelm M. Chronic Rejection. *Transplant Proc.* 1998;30,
2 159064
- 3 16) Powter EE, Coleman PR, Tran MH, Lay AJ, Bertolino P, Parton RG, et al. Caveolae control the
4 anti-inflammatory phenotype of senescent endothelial cells. *Aging Cell.* 2015;14:102611
- 5 17) Parat MO. The biology of caveolae: achievements and perspectives. *Int Rev Cell Mol Biol.*
6 2009;273:117-62
- 7 18) Drab M, Verkade P, Elger M, Kasper M, Lohn M, Lauterbach B, et al. Loss of caveolae, vascular
8 dysfunction, and pulmonary defects in caveolin-1 gene-disrupted mice. *Science.* 2001;293:24496
9 52
- 10 19) Lei J, Vodovotz Y, Tzeng E, Billiar R. Nitric oxide, a protective molecule in the cardiovascular
11 system. *Nitric Oxide.* 2013;35:175-85
- 12 20) Sonveaux P, Martinive P, DeWever J, Batova Z, Daneau G, Pelet M, et al. Caveolin-1 expression
13 is critical for VEGF-induced ischemic hindlimb collateralization and Nitric Oxide-mediated
14 angiogenesis. *Circ Res.* 2004;95:154661
- 15 21) Kieran N, Wang X, Perkins J, Davis C, Kendrick E, Bakthavatsalam R, et al. Combination of
16 peritubular C4d and transplant glomerulopathy predicts late renal allograft failure. *J Am Soc
17 Nephrol.* 2009;20:2260.
- 18 22) El-Zoghby ZM, Stegall MD, Lager DJ, Kremers WK, Amer H, Gloor JM, et al. Identifying
19 specific causes of kidney allograft loss. *Am J Transplant.* 2009;9(3):527-35.

- 1 23) Naesens M, Kuypers DR, De Vusser K, Evenepoel P, Claes K, Bammens B, et al. The histology
2 of kidney transplant failure: a long-term follow-up study. *Transplantation*. 2014;98(4):427-35.
- 3 24) Feucht HE, Schneeberger H, Hillebrand G, Burkhardt K, Weiss M, Riethmüller G, et al.
4 Capillary deposition of C4d complement fragment and early renal graft loss. *Kidney Int*.
5 1993;43:1333-8
- 6 25) Haas M, Rahman MH, Racusen LC, Kraus ES, Bagnasco SM, Segev DL, et al. C4d and C3d
7 staining in biopsies of ABO- and HLA-incompatible renal allografts: Correlation with histologic
8 findings. *Am J Transplant*. 2006; 6: 1829-40.
- 9 26) Crespo M, Pascual M, Tolkoff-Rubin N, Mauiyyedi S, Collins AB, Fitzpatrick D, et al. Acute
10 humoral rejection in renal allograft recipients: I. Incidence, serology and clinical characteristics.
11 *Transplantation*. 2001;71:652-68.
- 12 27) Solez K, Colvin RB, Racusen LC, Haas M, Sis B, Mengel M, et al. Banff 07 classification of
13 renal allograft pathology: updates and future directions. *Am J Transplant*. 2008;8:753-60
- 14 28) Loupy A, Hill GS, Suberbielle C, Charron D, Anglicheau A, Zuber J, et al. Significance of C4d
15 Banff scores in early protocol biopsies of kidney transplant recipients with preformed
16 donor-specific antibodies (DSA). *Am J Transplant*. 2011;11(1):56-65.
- 17 29) Lucchiari N, Panajotopoulos N, Xu C, Rodrigues H, Ianhez LE, Kalil J, et al. Antibodies eluted
18 from acutely rejected renal allografts bind to and activate human endothelial cells. *Hum Immunol*.
19 2000;61:518-27

- 1 30) Zhang X and Reed EF. Effect of Antibodies on Endothelium. *Am J Transplant*. 2009;9:2459665
- 2 31) Halloran PF, Wadgymar A, Ritchie S, Falk J, Solez K, Srinivasa NS. The significance of
3 the anti-class I antibody response.
4 I. Clinical and pathologic features of anti-classI-mediated rejection. *Transplantation*. 1990; 49:
5 85-91
- 6 32) Hirohashi T, Chase CM, Pelle PD, Sebastian D, Alessandrini A, Madsen JC, et al. A novel
7 pathway of chronic allograft rejection mediated by NK cells and alloantibody. *Am J Transplant*.
8 2012;12:313-21
- 9 33) Hidalgo LG, Sellares j, Sis B, Mengel M, Chang J, Halloran PF. Interpreting NK cell transcripts
10 versus T cell transcripts in renal transplant biopsies. *Am J Transplant*. 2012;12:1180-91
- 11 34) Venner JM, Hidalgo LG, Famulski KS, Chang J, Halloran PF. The molecular landscape of
12 antibody-mediated kidney transplant rejection: Evidence for NK involvement through CD16a Fc
13 receptors. *Am J Transplant*. 2015;15:1336-48
- 14 35) Nickleit V, Mihatsch MJ. Kidney transplants, antibodies and rejection: Is C4d a magic marker?
15 *Nephrol Dial Transplant*. 2003;18:223269.

16

【Table 1】 Patient characteristics

	Mean±SD
N	98
Age (years)	44.7±14.7
Male sex	65 (66.3%)
Serum creatinine at diagnosis (mg/dl)	1.63±1.02
Post-transplant time to biopsy (years)	8.29±5.46
Follow-up period after biopsy (years)	2.98±1.79
Induction biopsies	51 (52.0%)
Number of graft failures	24 (24.5%)
Rate of C4d positivity on PTCs	24 (24.5%)
Caveolin-1 immunoreactivity (%)	47.7±22.3
Living kidney transplantation	91 (92.9%)
TG cases	32 (32.7%)

PTCs: peritubular capillaries

TG: transplant glomerulopathy

Caveolin-1 immunoreactivity: the mean percentage of PTCs staining for Caveolin-1 in PTCs

【Table 2】 Clinical characteristics of the CAV-1/PAL-E <50% and CAV-1/PAL-E ×50% groups

	CAV-1/PAL-E <50%	CAV-1/PAL-E ×50%	<i>p</i> -value
N	56	42	
Age	43.68±12.73	46.0±12.8	0.3026
Male sex	35 (62.5%)	30 (71.4%)	0.3571
Serum creatinine at diagnosis	1.33±0.43	2.03±1.40	0.0013
Post-transplant time to biopsy (year)	7.39±5.02	9.36±5.86	0.0958
Follow-up period (year)	3.47±1.87	2.34±1.45	0.0916
Induction biopsies	18 (32.1%)	33 (78.6%)	<0.0001
Number of graft failures	5 (8.9%)	19 (45.2%)	<0.0001
Rate of C4d positivity on PTCs	6 (10.7%)	18 (42.9%)	0.0003
Caveolin-1 immunoreactivity (%)	31.4±10.3	69.3±14.0	<0.0001
TG cases	7 (12.5%)	25 (59.5%)	<0.0001

PTCs: peritubular capillaries TG: transplant glomerulopathy

Caveolin-1 immunoreactivity: the mean percentage of PTCs staining for Caveolin-1 in PTCs

【Table 3】 Renal histopathology according to the Banff scoring system in the CAV-1/PAL-E <50% and CAV-1/PAL-E ≥50% groups

	CAV-1/PAL-E <50%	CAV-1/PAL-E ≥50%	<i>p</i> -value
i	0.054±0.227	0.381±0.623	0.0006
t	0.018±0.134	0.095±0.484	0.3931
g	0.125±0.429	0.881±1.087	<0.0001
v	0.000±0.000	0.048±0.216	0.1007
ci	0.893±0.802	1.452±0.942	0.0028
ct	0.857±0.796	1.452±0.942	0.0015
cg	0.196±0.553	1.357±1.265	<0.0001
cv	0.000±0.000	0.214±0.606	0.0084
ptc	0.196±0.585	1.262±0.964	<0.0001
ah	1.536±1.078	1.976±1.047	0.0395
MVI	0.321±0.936	2.143±1.775	<0.0001

MVI: microvascular inflammation (g + ptc according to the 2013 Banff classification).

【Table 4】 Cox regression hazard analysis of graft survival correlations^a

Variable	Univariate analysis		
	² score	HR (95% CI)	<i>p</i> -value
Clinical Paramaters			
Age at diagnosis	1.9504	1.0221 (0.9912-1.0539)	0.1625
Post-transplant time to biopsy	3.9217	1.0064 (1.0001-1.0128)	0.0477
Pathological Paramaters			
i	1.4165	1.5198 (0.7628-3.0278)	0.2340
g	19.6898	2.1243 (1.5230-2.9632)	<0.0001
v	1.6695	3.7795 (0.5029-28.4024)	0.1963
ci	9.3445	2.0463 (1.2930-3.2386)	0.0022
ct	9.7431	2.0606 (1.3087-3.2445)	0.0018
cg	23.1929	2.2827 (1.6314-3.1940)	<0.0001
cv	15.8175	3.3071 (1.8343-5.9627)	0.0001
ptc	10.9146	1.7885 (1.2668-2.5251)	0.0010
ah	6.7668	1.8647 (1.1661-2.9820)	0.0093
MVI	17.2736	1.5133 (1.2447-1.8398)	<0.0001
Pathological CAAMR	15.1505	5.8270 (2.3989-14.1540)	<0.0001
CAV-1/PAL-E	19.2812	64.4592 (10.039-413.88)	<0.0001
C4d staining	0.8870	1.5049 (0.6428-3.5230)	0.3463
Multivariate analysis model 1			
ci	3.6718	1.6697 (0.9884-2.8206)	0.0553
cg	6.8054	2.0696 (1.1983-3.5746)	0.0091
Pathological CAAMR	0.0335	1.1427 (0.2742-4.7616)	0.8547
Multivariate analysis model 2			
CAV-1/PAL-E	4.5852	11.017 (1.2253-99.061)	0.0322
ci	3.4098	1.6368 (0.9702-2.7614)	0.0648
cg	2.9705	1.5972 (0.9378-2.7202)	0.0848
Pathological CAAMR	0.0522	1.1665 (0.3110-4.3753)	0.8193

MVI: microvascular inflammation (g + ptc according to the 2013 Banff classification). HR: hazard ratio, CI: confidence interval.

Pathological CAAMR: meeting both criteria 1 and 2 of the Banff 2013 classification for CAAMR

^a The $\delta\delta$ score in the Banff classification could not be calculated because of the very low number of positive samples in the univariate analysis.

^b Hazard ratios in each Banff score are per unit increase

Figure 1

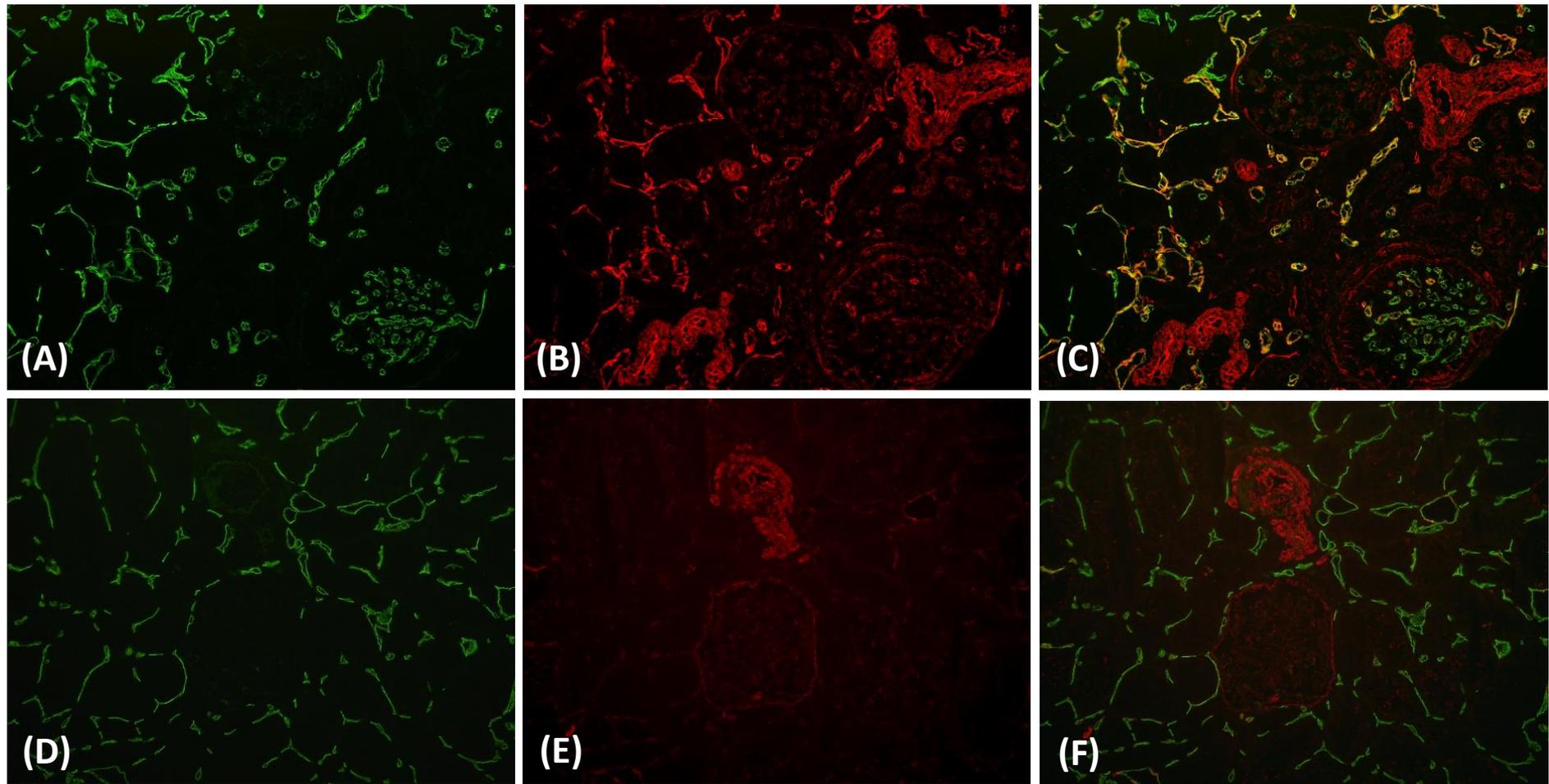
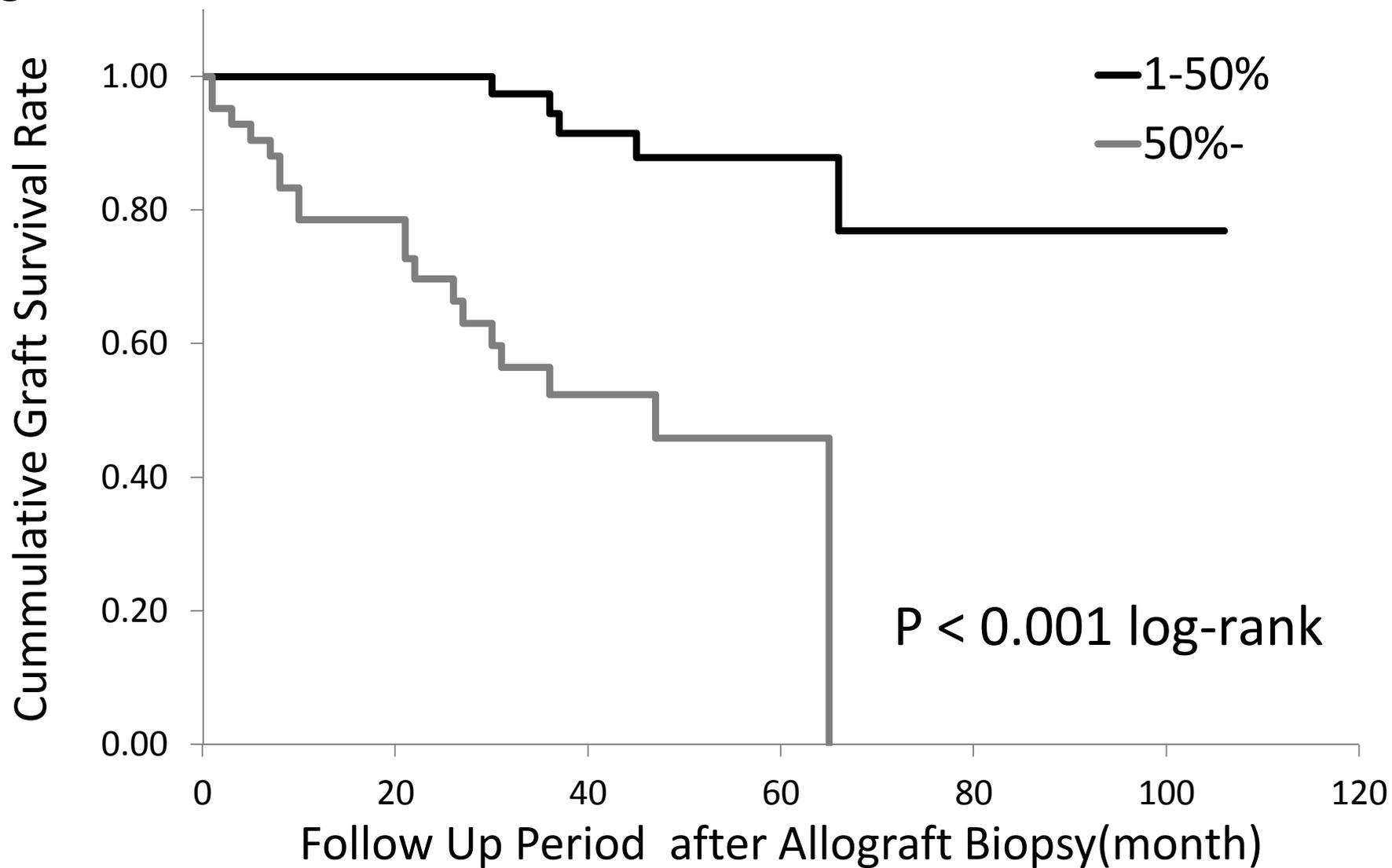


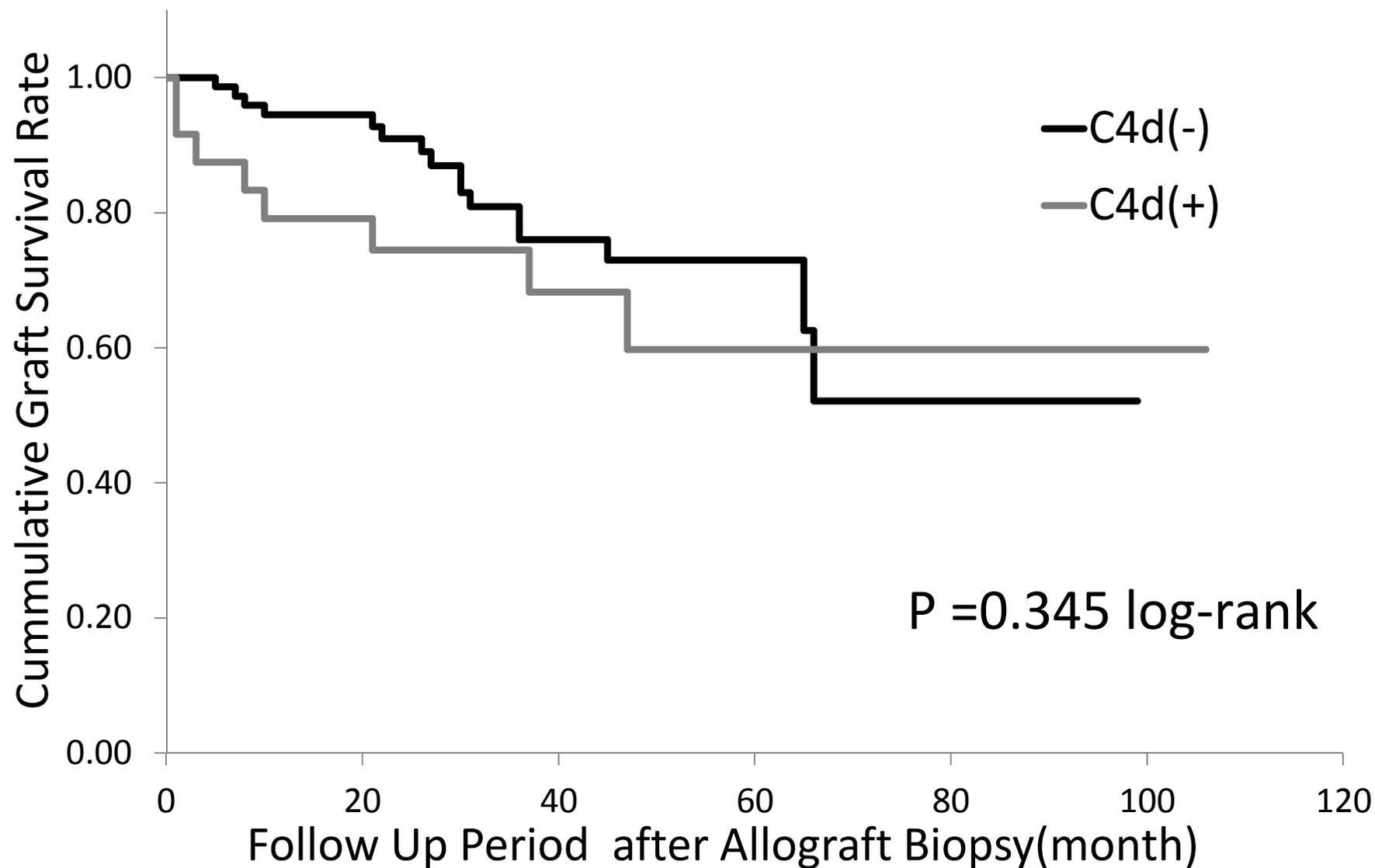
Figure 2



No. at risk

1-50%	56	44	29	12	5	2
50%-	42	28	14	2	0	0

Figure 3



No. at risk

C4d(-)	74	54	29	10	3	0
C4d(+)	24	18	12	4	3	1