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Review



# Implications of HIV-1 Nef for "Shock and Kill" Strategies to Eliminate Latent Viral Reservoirs

4 Xiaomei T. Kuang<sup>1</sup> and Mark A. Brockman<sup>1,2,3,\*</sup>

- Department of Molecular Biology and Biochemistry, Simon Fraser University, V5A 1S6, Burnaby, British
   Columbia, Canada; xtk@sfu.ca and mark\_brockman@sfu.ca
- Faculty of Health Sciences, Simon Fraser University, V5A 1S6, Burnaby, British Columbia, Canada;
   mark\_brockman@sfu.ca
- 9 <sup>3</sup> British Columbia Centre for Excellence in HIV/AIDS, V6Z 1Y6, Vancouver, British Columbia, Canada;
   10 mark\_brockman@sfu.ca
- 11 \* Correspondence: mark\_brockman@sfu.ca; Tel.: +1-778-782-3341

12 Abstract: Finding a cure for HIV is challenging because the virus is able to integrate itself into the 13 host cell genome and establish a silent state, called latency, allowing it to evade antiviral drugs and 14 the immune system. Various "shock and kill" strategies are being explored in attempts to eliminate 15 latent HIV reservoirs. The goal of these approaches is to reactivate latent viruses ("shock"), thereby 16 exposing them to clearance by viral cytopathic effects or immune-mediated responses ("kill"). To 17 date, there has been limited clinical success using these methods. In this review, we highlight 18 various functions of the HIV accessory protein Nef and discuss their double-edged effects that may 19 contribute to the limited effectiveness of current "shock and kill" methods to eradicate latent HIV 20 reservoirs in treated individuals.

21 Keywords: HIV-1; Nef; viral latency; shock and kill

## 23 1. Introduction

22

24 The presence of long-lived latent HIV reservoirs is the major hurdle to achieving combination 25 antiretroviral therapy (cART)-free viral remission and a potential cure. To date, the only case of an 26 apparently successful HIV cure is the "Berlin patient", who received two hematopoietic stem cell 27 transplants from separate CCR5∆32 homozygous donors to treat his leukemia [1,2]. He displays no 28 evidence of HIV infection despite remaining off therapy since 2007. Such transplants are 29 exceptionally high-risk procedures and are thus not applicable to the global population of 30 approximately 37 million HIV-infected individuals [3]. Furthermore, subsequent attempts to use 31 similar transplantation strategies in HIV-infected individuals who were also undergoing cancer 32 therapy have been unsuccessful, with viral rebound observed within weeks to months following 33 cART discontinuation [4]. Therefore, the development of safer and more effective methods to reduce 34 or eliminate latent HIV reservoirs in cART-treated individuals is a high priority for researchers and 35 the community.

36 Different potentially curative approaches for HIV are currently under development, ranging 37 from pharmacological approaches to immune-based and genetic therapies. Of these, the most 38 intensively investigated strategies are the "shock and kill" methods to reduce or eliminate 39 replication-competent latent HIV reservoirs in cART-treated individuals [5]. However, this strategy 40 requires the induction of viral protein expression, including the regulatory and accessory proteins 41 Tat, Rev, Nef, Vif, Vpr and Vpu, which could interfere with this process. In this article, we introduce 42 the "shock and kill" method, describe the multi-functional viral accessory protein Nef, and consider 43 how Nef may alter the efficiency of HIV cure approaches by modulating viral reactivation from 44 latency or subsequent elimination by host immune mechanisms.

#### 45 2. "Shock and kill" method

46 An illustration of the "shock and kill" method to eliminate latent HIV-infected cells in cART-47 suppressed individuals is shown in Figure 1A. Using latency-reversing agents (LRAs) that modulate 48 cellular chromatin structure or otherwise stimulate the HIV 5' LTR promoter, viral gene transcription 49 is reactivated ("shock") in latent HIV-infected cells. Subsequent viral protein expression followed by 50 proteasomal processing and presentation of viral antigens on the cell surface in complex with human 51 leukocyte antigen class I (HLA-I) molecules is then expected to result in the elimination ("kill") of 52 these cells by cytotoxic T lymphocytes (CTL). Alternatively, reactivated cells may undergo apoptosis 53 due to the accumulation of viral cytopathic effects (CPE). By maintaining individuals on cART 54

treatment during this process, viral replication and seeding of new HIV reservoirs is avoided.

#### 55 2.1. Inefficient viral reactivation using LRAs

56 Different classes of LRAs have been identified and tested for their ability to "shock" the latent 57 HIV reservoir. In particular, pan-histone deacetylase inhibitors (HDACi), such as vorinostat [6], 58 romidepsin [7], and panobinostat [8], are currently among the most promising classes of LRAs. 59 Through the inhibition of multiple HDAC enzymes, HDACi increases the overall level of acetylation 60 on histone molecules. This ultimately reduces chromatin condensation and promotes nonspecific 61 increases in both host and viral gene expression. Many HDACi are FDA-approved for cancer 62 treatment, and their pharmacological and toxicological profiles are known. Hence, HDACi have 63 advanced quickly to human clinical trials in the context of HIV cure strategies, where they have 64 demonstrated a range of abilities to induce latent viral reservoirs that broadly reflect their potency 65 [9,10]. Several other classes of LRAs have also been tested in clinical studies. For example, disulfiram 66 modestly reverses HIV latency by depleting PTEN (phosphatase and tensin homolog), which 67 subsequently results in activation of the PI3K/Akt pathway [11]. Protein kinase C (PKC) activators, 68 such as prostratin and bryostatin, potently initiate HIV transcription in ex vivo experiments [12,13]; 69 however, treatment with tolerable doses of bryostatin showed minimal ability to reactivate latent 70 HIV in vivo in human studies [14]. Additional LRAs such as Toll-like receptor (TLR) agonists [15] and 71 cytokines (i.e. interleukin-7 and -15) [16] are also being examined. Overall, none of these clinically 72 relevant LRAs has been shown to reverse HIV latency potently in infected individuals. In fact, one ex 73 vivo study indicated that many latent virus-infected cells remained uninduced despite strong T cell 74 stimulation using phytohemagglutinin (PHA) or phorbol 12-myristate 13-acetate (PMA) plus ionomycin [17], suggesting that repeated induction using more potent LRAs may be necessary to 75 76 achieve a clinically beneficial outcome.

#### 77 2.2. Ineffective clearance of reactivated cells

78 Despite some success inducing latent HIV gene expression in cART-treated individuals, no 79 significant reductions in viral reservoir size have been observed in vivo. This suggests that immune-80 mediated clearance of reactivated cells and/or viral CPE is inefficient. While it is often assumed that 81 the production of HIV proteins such as Vif and Vpr could cause cell death due to viral CPE [18], Shan 82 et al. demonstrated that the presence of viral protein expression was not associated with a 83 spontaneous reduction of latent HIV-infected cells following reactivation using vorinostat [19]. In 84 addition to the limited impact of viral CPE, the same study showed that CTL isolated from most 85 cART-treated individuals were unable to eliminate latent cells reactivated ex vivo with HDACi 86 efficiently without pre-stimulation using HIV antigens [19]. Nevertheless, a more recent study using 87 Nef- and Gag-stimulated CTL was unsuccessful in eliminating reactivated cells and reducing the size 88 of latent reservoirs [20]. The lack of CTL-mediated killing is potentially attributed to impaired CTL 89 functionality and/or limited viral peptide presentation by reactivated cells. While there has been 90 controversy regarding LRA-associated CTL impairment, results from clinical studies showed no 91 evidence of CTL dysfunction in patients who were treated with HDACi [7,21]. Nonetheless, 92 increasing evidence from in vitro studies are reporting associations between treatment with selected 93 LRAs and CTL dysfunction. In particular, romidepsin, panobinostat, and vorinostat appeared to

- 94 reduce the production of cytokines IFN- $\gamma$ , TNF- $\alpha$  and IL-2 [20,22]. Correspondingly, these HDACi-
- 95 treated CTL displayed impaired ability to eliminate HIV-infected cells [22]. On the other hand,
- 96 limited studies have investigated HIV peptide presentation by reactivating cells. Clutton et al.
- 97 observed impaired antigen presentation in reactivating cells due to inadvertent reduction in HLA
- 98 class I expression following HDACi stimulation [23].
- 99 In summary, clinical studies have not reported successful reduction of the latent viral reservoir 100 *in vivo* [6,7,10,21]. The major hurdles encountered by these strategies include inefficient induction of
- 101 viral protein expression and ineffective clearance of reactivated cells by the host immune system.

## 102 3. Modulation of HIV-infected cells by Nef

HIV-1 Nef is a ~27 kDa myristoylated protein. It is encoded by the highly variable *nef* gene, which is located near the 3' end of the viral genome. Nef is one of the earliest and most abundant viral proteins expressed by cells following infection [24-27], and presumably, following viral reactivation. Although Nef is often not required for HIV replication *in vitro*, it has been shown to be crucial for viral pathogenesis *in vivo*. Nef does not display any enzymatic activity; rather, it serves as a multi-functional adaptor protein that interacts with host proteins to interfere with a variety of processes in infected cells [28,29].

110 Nef downregulates CD4 expression on the surface of virus-infected cells [30] through clathrin-111 mediated endocytosis [31,32] and increased endosomal retention [33,34] of CD4 molecules. Because 112 CD4 is the primary receptor for HIV attachment and entry into target cells, reduced CD4 expression 113 allows more efficient release of newly formed HIV particles [35,36], enhances virion infectivity [37] 114 and inhibits superinfection [38]. Perhaps more important in the context of viral reactivation from 115 latency, the interaction between CD4 and Env glycoproteins on the same cell has been shown to alter 116 the conformation of Env to expose epitopes that are recognized by antibodies with potent antibody-117 dependent cellular cytotoxicity (ADCC) activity [39-41]. Hence, efficient downregulation of CD4 by 118 Nef can also protect infected cells from elimination by ADCC [42].

119 Nef is also well-known for its ability to evade the host immune response by selectively 120 downregulating two HLA-I molecules, HLA-A and HLA-B [43-45]. This activity of Nef is genetically 121 separable and mechanistically distinct from that of CD4 downregulation [46,47]. HLA-restricted CTL 122 responses are associated with better control of viremia during primary HIV infection [48,49] and 123 differential rates of clinical disease progression [50,51]. Thus, reduced expression of HLA-A and 124 HLA-B molecules on the surface of infected cells can protect them from CTL recognition and 125 elimination [52]. In addition, retention of HLA-C and HLA-E can inhibit the cytolytic activity of 126 natural killer (NK) cells [44,45], preventing virus-infected cells from being eliminated through this 127 innate immune mechanism.

128 A novel strategy to explain how Nef enhances viral infectivity was elucidated by two groups of 129 researchers in 2015, who demonstrated that Nef can antagonize host restriction factors serine 130 incorporator 3 and 5 (SERINC3/5) [53,54]. While understanding the precise mechanisms responsible 131 for SERINC-mediated antiviral activity is currently an area of active investigation [55,56], 132 incorporation of SERINC3 or 5 into the membrane of newly formed virions significantly reduces their 133 ability to form fusion pores with target cells, resulting in lower HIV infectivity [57]. To counteract 134 these host restriction factors, Nef can downregulate SERINC3/5 from the surface of infected cells, 135 which ultimately leads to the production of progeny virions that display higher infectivity [58].

136 Another critical role of Nef during HIV infection is its ability to modulate T cell signaling events. 137 By downregulating CD4 and CD28 molecules on the surface of virus-infected T cells, Nef reduces the 138 efficiency of T cell activation mediated through the T cell receptor (TCR) [30,59]. To further suppress 139 antigen-mediated stimulation of infected T cells, Nef binds Lck and redirects it to the trans-Golgi 140 network (TGN), away from the plasma membrane where it can no longer participate in proximal 141 TCR signal amplification events [60-62]. Together, the reduced availability of CD4, CD28 and Lck 142 signaling molecules prevents the formation of an immunological synapse at the plasma membrane 143 [60,61,63]. Paradoxically, while altered trafficking of Lck interrupts TCR-mediated signaling at the 144 plasma membrane, it permits the activation of Ras and downstream mitogen-activated protein 145 kinase/extracellular signal-regulated kinases (MAPK/ERK) signaling events at the intracellular TGN

146 compartment by forming a large complex that has been referred to as the Nef "signalosome" [62]. 147 Alternatively, Nef can induce Ras activity via formation of a Nef-associated kinase complex (NAKC), 148 which is comprised of Nef, Lck, linker of activated T cells (LAT) and Ras proteins [62,64]. In synergy 149 with activated Ras signaling, interaction between Nef and the endoplasmic reticulum-resident 150 inositol triphosphate receptor (IP3R) can trigger calcium flux into the cytosol and induce TCR-151 independent NFAT activation [65,66]. Together, Nef's uncoupled effects on T cell activation 152 pathways can simultaneously suppress activation-induced cell death (AICD) triggered by 153 extracellular antigen recognition and also increase viral gene transcription.

154 Current evidence indicates that Nef may protect virus-infected cells from apoptosis, while 155 simultaneously eliciting the death of bystander immune cells, which may enhance pathogenesis. To 156 prevent infected cells from undergoing programmed cell death, Nef inhibits the activities of 157 apoptosis signal-regulating kinase 1 (ASK1) [67], tumor suppressor p53 [68] and pro-apoptotic 158 protein BAD (Bcl-2-associated death promoter) [69]. In contrast, secreted Nef can upregulate Fas 159 ligand induced apoptosis of uninfected bystander CD4<sup>+</sup> T cells and CTL [70-72], thereby dampening 160 the local immune response against HIV-infected cells. Transgenic mice expressing Nef display AIDS-161 like pathologies [73], raising the possibility that induction of Nef by "shock and kill" methods may 162 lead to toxicity, particularly in localized tissues that harbor latent viral reservoirs, such as lymph 163 nodes or the central nervous system [74,75].

Finally, by manipulating cytoskeletal dynamics, Nef may promote a more permissive cellular environment to support viral replication or spread. Nef associates with the serine/threonine kinase PAK2 in a multiprotein complex and redirects its phosphorylation to a novel target, the actin depolymerization factor cofilin, [76,77], which results in reduced F-actin turnover and actin cytoskeleton remodeling [78,79]. Consequently, this prevents F-actin accumulation at the immunological synapses upon TCR engagement [61], thereby contributing to the inhibition of AICD and prolonging the survival of infected cells [80].

## 171 4. The double-edged effect of HIV-1 Nef

## 172 4.1. How Nef might enhance "shock and kill" strategies

173 Many factors that promote HIV latency are likely to contribute to the inducibility of viral 174 reservoirs upon treatment with an LRA. Even though Nef's role in the context of latency is not fully 175 characterized, several studies have highlighted its ability to induce viral reactivation. For example, 176 Fujinaga et al. demonstrated that exogenous Nef was activated virus production in latent cell lines 177 (i.e. MOLT-20-2 and U1) as well as in peripheral blood mononuclear cells (PBMC) isolated from 178 asymptomatic HIV-infected individuals [81]. Follow-up studies by the same group suggested that 179 this effect was driven by Nef's ability to induce Ras-mediated MAPK/ERK signaling [82]. The effect 180 of Nef on latency reversal was confirmed in a separate study using U1 cells [83]. More recently, 181 treatment using exogenous Nef alone was also found to be sufficient to activate the Akt pathway and 182 to increase HIV reactivation in the Jurkat-derived 1G5 latent T cell line [84].

183 In addition to Ras and Akt, Nef can also regulate cellular activation status by interacting with 184 other host proteins. Hence, it is not entirely surprising that Nef could activate latent HIV-infected cell 185 lines. For instance, the presence of Nef can trigger formation of NAKC and induce downstream 186 Ras/MAPK activity [62,64]. Through its interaction with IP3R, Nef can trigger calcium flux into the 187 cytosol and induce NFAT activation [65,66]. In both cases, early production of Nef during viral 188 reactivation might enhance latent T cell activation. Moreover, previous studies reported that Nef can 189 be released into the extracellular space either in soluble form [85,86] or within exosomes [87,88]. Both 190 soluble and exosome-associated Nef have been shown to induce HIV reactivation in latently infected 191 cells [81,89], but their proposed molecular mechanisms are distinct. In particular, soluble Nef may 192 bind non-specifically to the surface of latent HIV-infected cells and be internalized via endocytosis 193 [90,91]. After entering the cell, Nef can induce Ras/MAPK [82] and PI3K/Akt [84] signaling pathways 194 that ultimately activate viral gene transcription. On the other hand, Nef increases the production of 195 exosomes containing activated ADAM17 (a disintegrin and metalloprotease domain 17) [92], an 196 enzyme that converts pro-TNF- $\alpha$  into its active form. Uptake of ADAM17-containing exosomes by 197 target cells can induce the release of TNF- $\alpha$  [93], which subsequently binds to TNF receptor type 1 198 and activates NF-kB and JNK pathways [94]. Additionally, Nef has been shown to increase exosome 199 release, which presumably enhances transfer of Nef-associated signaling activities to nearby cells 200 [95]. Nef-mediated effects on cellular signaling are complex and their potential impacts on viral 201 reactivation are not mutually exclusive. In fact, based on these previous findings, we speculate that 202 Nef's ability to enhance viral reactivation may be attributed to a positive feedback loop of cellular 203 activation. Specifically, upon stimulation with LRAs, early Nef expression may increase viral gene 204 expression. Subsequent secretion of soluble Nef and Nef/ADAM17-contaning exosomes could 205 further increase the activation of latent cells through direct effects of Nef or TNF-mediated signaling 206 pathways.

#### 207 4.2. How Nef might impair "shock and kill" strategies

208 Recent results by Huang et al. suggested that replication-competent latent proviruses may 209 display resistance to elimination by HIV-specific CTL [96]. Hence, apart from LRA-associated 210 impairments in CTL functions, the expression of Nef immediately following viral reactivation may 211 further reduce the ability of CTL to recognize and eliminate latent reservoirs. Specifically, the ability 212 of Nef to selectively downregulate surface HLA-I molecules [43-45] may allow reactivated cells to 213 evade immune surveillance. In support of this theory, Mujib et al. used small molecules designed to 214 inhibit Nef, which partially reversed HLA downregulation and promoted the elimination of 215 reactivating cells by HIV-specific CTL [97]. While the ability of Nef to downregulate CD4 can prevent 216 ADCC-mediated elimination of productive virus-infected cells [42], no studies have examined this 217 question in the context of latent viral reservoirs.

218 As the leading class of LRAs, HDACi triggers various apoptotic pathways to induce tumor cell 219 death (reviewed in [98]). While this strongly suggests that the use of certain LRAs could inadvertently 220 induce apoptosis of latent reservoirs upon viral reactivation, the mechanism(s) involved have not 221 been explored. Nonetheless, the ability of Nef to counteract multiple apoptotic pathways and 222 promote cell survival could further hinder the clearance of reactivating reservoirs. First, Nef can bind 223 directly to ASK-1 [67], an importance intermediate of Fas- and TNF- $\alpha$ -induced death signaling 224 cascades [99,100], thereby preventing its dissociation from negative regulator thioredoxin [101]. 225 Consequently, this inhibits ASK-1-mediated activation of downstream JNK signaling pathway to 226 induce apoptosis [102]. Second, Nef can protect cells from undergoing p53-mediated apoptosis by 227 binding and destabilizing p53, causing an overall reduction of this protein [68]. Third, the ability of 228 Nef to associate with PI3K can induce downstream PAK-mediated phosphorylation of pro-apoptotic 229 protein BAD [69]. Since phosphorylated BAD is incapable of forming heterodimers with anti-230 apoptotic proteins Bcl-2 and Bcl-XL, these proteins remain active for the promotion of cell survival 231 [103].

232 Furthermore, broad reactivation of HIV proteins using LRAs may lead to AICD among the 233 proportion of reservoir cells that is HIV-specific [104]. In this case, Nef's ability to downregulate CD4 234 expression, modulate T cell signaling and cytoskeleton rearrangement may protect these cells from 235 undergoing AICD. Taken together, early Nef expression following LRA-induced viral reactivation 236 could inhibit CTL-mediated killing, apoptosis and AICD of latent reservoir, which may contribute to

237 the lack of success seen using current "shock and kill" methods.



**Figure 1. Impact of Nef on "shock and kill" methods to eradicate HIV reservoirs. (A)** An illustration shows the expected outcome of a latent HIV-infected T cell following induction with LRAs ("shock"). The integrated HIV proviral genome is transcribed (1) and translated into viral proteins (2). Some viral proteins are degraded into peptide antigens and loaded onto HLA-I molecules (3) for presentation on the cell surface (4). Recognition of peptide-HLA complexes by CTL (5) induces cytotoxic mechanisms that kill the infected cell. Alternatively, the expression of viral proteins may induce viral cytopathic effects that result in death of the infected cell. (**B**) An illustration shows the potential contributions of Nef to modulate the reactivation and elimination of latent HIV-infected cells by "shock and kill" methods. In the presence of Nef, viral protein expression is robust, but HLA-I molecules are down-regulated and cellular apoptosis is inhibited. In the absence of Nef, viral protein expression is reduced, thus limiting the amount of viral antigen that is available for presentation on HLA-I. In both scenarios, CTL-mediated recognition and elimination may be hindered.

## 252 5. Conclusions

253 The efficiency of "shock and kill" strategies is determined by the degree to which latent HIV 254 reservoirs are reactivated and subsequently eliminated in the host. We hypothesize that Nef might 255 play a "dual" role in modulating both of these important factors (as illustrated in Figure 1B). While 256 studies have demonstrated the use of exogeneous Nef to induce viral reactivation, Nef's ability to 257 mediate immune evasion and to enhance cell survival through inhibition of apoptosis are also well 258 documented. Nef leads to downregulation of HLA-I molecules on the cell surface [43-45], which 259 reduces presentation of viral peptide antigens and impairs CTL-mediated recognition and cytolytic 260 activity against reactivating reservoirs [52]. Additionally, Net's ability to modulate apoptotic 261 pathways may prevent reactivated cells from dying due to viral cytopathic effects [67,69]. In contrast, 262 latent cells that lack functional Nef may be unable to produce viral proteins efficiently. As a result, 263 presentation of viral peptides may be limited despite retaining high levels of HLA-I expression on 264 the cell surface. Hence, the diverse roles played by Nef may create double-edged effects in the setting 265 of a "shock and kill" strategy. Further studies to explore the possible impact of Nef and other viral 266 accessory proteins, such as Vpr and Vpu, during HIV reactivation from latency may lead to enhanced 267 clinical interventions.

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