

Epigenetic Switch between SOX2 and SOX9 Regulates Cancer Cell Plasticity

Sheng-Chieh Lin¹, Yu-Ting Chou¹, Shih Sheng Jiang², Junn-Liang Chang^{3,4}, Chih-Hung Chung⁵, Yu-Rung Kao⁵, I-Shou Chang², and Cheng-Wen Wu^{1,5,6,7,8}

Abstract

Cell differentiation within stem cell lineages can check proliferative potential, but nodal pathways that can limit tumor growth are obscure. Here, we report that lung cancer cell populations generate phenotypic and oncogenic plasticity via a switch between differentiation programs controlled by SOX2 and SOX9, thus altering proliferative and invasive capabilities. In lung cancer cells, SOX2 bound the *EPCAM* promoter to induce EpCAM-p21^{Cip1}-cyclin A2 signaling, encouraging cell proliferation as well as barrier properties. In contrast, SOX9 bound the *SLUG* promoter to induce

SLUG-mediated cell invasion with a spindle-like phenotype. Pharmacologic inhibition of HDAC elevated a SOX9-positive cell population from SOX2-positive cells, whereas ectopic expression of SOX2 inhibited SOX9 with increased H3K9me2 levels on the SOX9 promoter. In clinical specimens, the expression of SOX2 and SOX9 correlated negatively and positively with lung tumor grade, respectively. Our findings identify SOX2 and SOX9 as nodal epigenetic regulators in determining cancer cell plasticity and metastatic progression. *Cancer Res*; 76(23): 7036–48. ©2016 AACR.

Introduction

Epithelial-to-mesenchymal transition (EMT), defined by the loss of epithelial characteristics and acquisition of a mesenchymal phenotype, has significant roles in both normal embryonic development and cancer invasion (1, 2). Nonetheless, the reverse process [mesenchymal-to-epithelial transition (MET)] has been indicated to be essential for cancer progression (3–5). Cancer plasticity, a functional and phenotypic switch between mesenchymal-like and epithelial-like states in tumors, which correlate with invasion and proliferation, respectively, has been suggested to generate heterogeneity and control tumor progression (6, 7). Signaling networks orchestrated by master transcription factors determine stem cell fate and cancer cell identity (8, 9). However, the mechanism by which master transcriptional factors endow cells in tumors with diverse functions to generate cancer plasticity has been less well-studied.

SOX2, a master transcriptional factor involved in lung stem/progenitor cell functions, has been shown to promote tumor malignancy, thus linking stem/progenitor signaling with oncogenesis in lung cancer (10). SOX2 belongs to the SOX (Sry-related HMG Box) family of transcription factors and is essential for the maintenance of self-renewal and pluripotency in embryonic stem cells, as well as in adult tissue progenitor cells during lung development (11, 12). SOX2 signaling initiates the proliferation of lung stem/progenitor cells that line the respiratory tract and are critical for tissue homeostasis and cell proliferation during injury repair (13, 14). In addition, SOX2 expression has been detected in human breast and lung cancers (15, 16), and genomic SOX2 amplification has been observed in lung tumors, particularly of the squamous cell carcinoma subtype (17). SOX2 overexpression in the lung epithelium of adult mice induces lung tumor formation (18), thus indicating an oncogenic role for SOX2 in lung tumors. Although SOX2 promotes both proliferation and survival in lung cancer cells (10) and maintains the tumor-initiating and self-renewal features in squamous cell carcinomas of the skin (19), the role of SOX2 in cancer invasion and metastasis is less well-understood.

SOX9, another member of the SOX family, has been reported to activate *Slug* and thus induces EMT during avian neural crest development (20). SOX9 regulates lung branching morphogenesis and is highly expressed in a subgroup of lung adenocarcinomas (21, 22). In addition, SOX9 plays a critical role in chondrocyte differentiation, and cooperation between SOX9 and *Slug* has been shown to determine the mammary stem cell fate and encourage malignancy in breast cancer (23, 24).

Herein, we observed that SOX2 is expressed in highly proliferative but minimally invasive lung cancer cells; in contrast, cells selected for invasiveness exhibited enriched SOX9 expression but attenuated SOX2 expression, leading to reduced cell proliferation and increased invasiveness. We further revealed that the switch between SOX2 and SOX9 expression is epigenetically controlled and allows cancer cells to exhibit plasticity characterized by distinct proliferative and invasive properties.

¹Institute of Biotechnology, College of Life Science, National Tsing Hua University, Hsinchu, Taiwan. ²National Institute of Cancer Research, National Health Research Institutes, Miaoli, Taiwan. ³Department of Pathology and Laboratory Medicine, Taoyuan Armed Forces General Hospital, Taoyuan, Taiwan. ⁴Department of Biomedical Engineering, Ming Chuan University, Taoyuan, Taiwan. ⁵Institute of Biomedical Sciences, Academia Sinica, Taipei, Taiwan. ⁶Institute of Biochemistry and Molecular Biology, National Yang-Ming University, Taipei, Taiwan. ⁷Institute of Clinical Medicine, National Yang-Ming University, Taipei, Taiwan. ⁸Institute of Microbiology and Immunology, National Yang-Ming University, Taipei, Taiwan.

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Corresponding Authors: Cheng-Wen Wu, National Yang-Ming University, No. 155, Sec. 2, Linong Street, Taipei 11221, Taiwan. Phone: 886-2-2826-7919; Fax: 886-2-2823-6518; E-mail: cwwu@ym.edu.tw; and Yu-Ting Chou, National Tsing Hua University, No. 101, Sec. 2, Kuang-Fu Road, Hsinchu 30013, Taiwan. Phone: 886-3-574-2471; Fax: 886-3-571-5934; E-mail: ytchou@life.nthu.edu.tw

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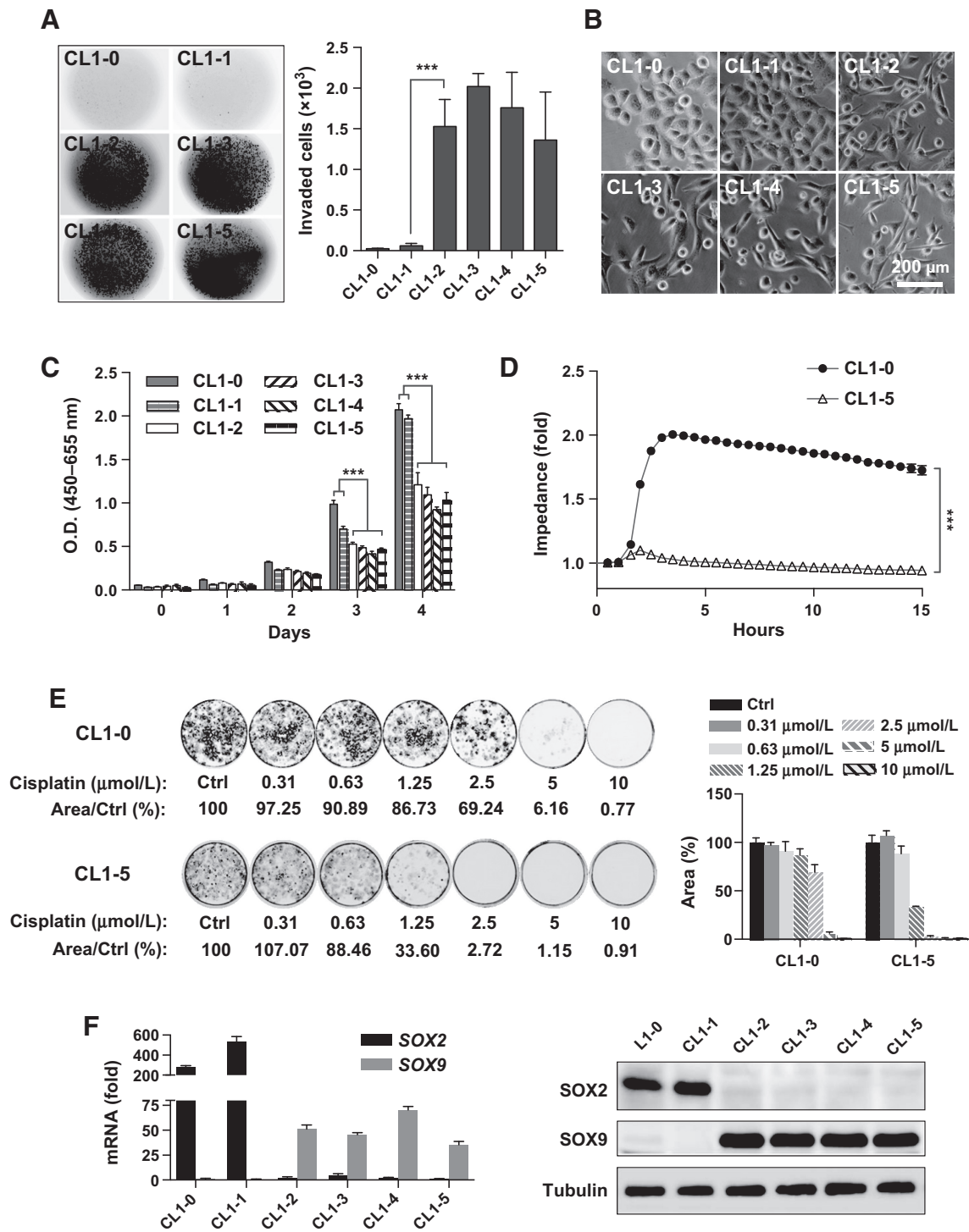


Figure 1. Negative interplay between proliferation and invasion. **A**, *In vitro* invasion assay for determining the invasiveness of CL1-0 cells and its *in vitro* invasion selection derivatives (CL1-1–CL1-5). The invaded cells were stained with propidium iodide (left) and quantified (right). **B**, Phase-contrast images of CL1-0 and its derivatives. **C**, WST-1 cell proliferation analysis of CL1-0 and its derivatives. **D**, ECIS analysis in CL1-0 and CL1-5 cells for measuring barrier properties. x-axis, time (h); y-axis, normalized impedance (fold change). **E**, Clonogenic assay for comparing the cisplatin-mediated cytotoxic effect on CL1-0 cells with that on CL1-5 cells (left). Quantitative analysis of the data from the clonogenic assay (right). **F**, qPCR (left) and immunoblotting (right) for the expression of SOX2 and SOX9 in CL1-0 and its derivatives.

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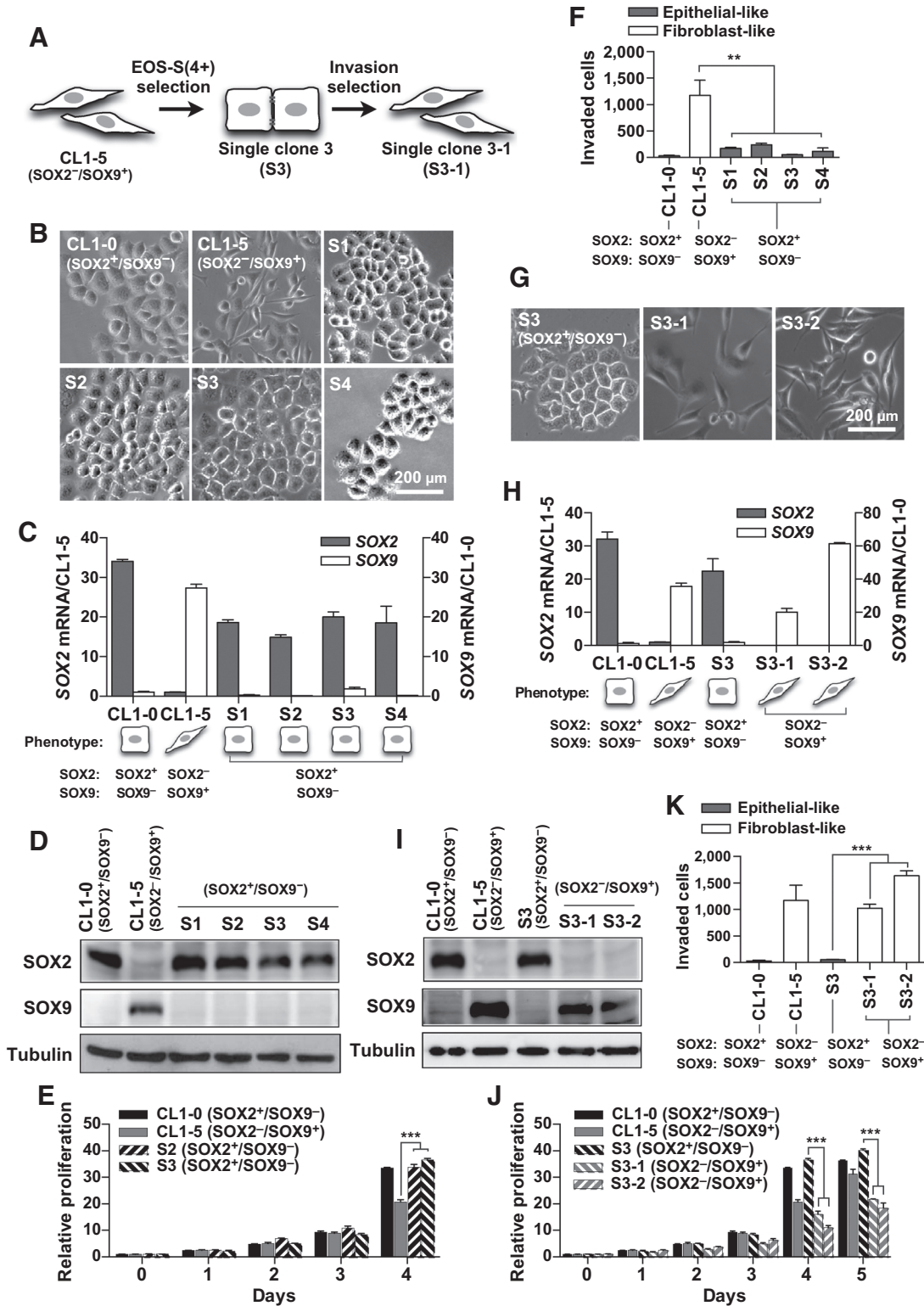


Figure 2. Switching expression between SOX2 and SOX9 controls cancer cell plasticity. **A**, Schematic diagram for sequential selection of SOX2-positive and invasive lung cancer cells with EOS-S(4+) and invasion assays. CL1-5 (SOX2-negative) cells were infected with EOS-S(4+) lentiviral vectors, followed by puromycin selection to identify S1~S4, 4 SOX2-positive clones. S3, a SOX2-positive clone, was further subjected to an invasion assay to obtain S3-1 and S3-2 invasive clones. **B**, Phase-contrast images of S1~S4 as well as parental CL1-5 and CL1-0 cells. (Continued on the following page.)

Materials and Methods

Cell culture

CL1 series cells (CL1-0–CL1-5) were established in our laboratory as previously described (25) and further certified via STR-PCR DNA profiling in 2015. H1975 cells were kindly provided by Dr. Wun-Shaing W. Chang at the National Health Research Institutes, Taiwan, and further authenticated via *EGFR* sequencing analysis in 2015. All lung cancer cells were cultured in RPMI-1640 medium containing 4 mmol/L L-glutamine, 1 mmol/L sodium pyruvate, 10 mmol/L HEPES, and 10% FBS.

Plasmid construction and viral infection

Human *SOX9* or *EPCAM* cDNA were purchased from Thermo Scientific and subcloned into the pHR'-puro vector. pHR'-*SOX2* and pLKO.1-*SOX2* were described previously (10). shRNA clones of pLKO.1-*SOX9*, -*EPCAM*, or -*HDAC1* were obtained from the National RNAi Core Facility, Academia Sinica, Taiwan. The *SLUG* promoter region (−1,140 to +175 bp) was amplified from gDNA and subcloned into the pGL3-basic vector. Detailed information about the shRNA clones is provided in Supplementary Table S1. Lentiviral production and infection were performed as described previously (26).

Immunoblotting

Cells were harvested in RIPA lysis buffer supplemented with a protease inhibitor cocktail. The antibodies against specific proteins and the titers used in this study are listed in Supplementary Table S2.

Matrigel invasion assay

An *in vitro* invasion assay was performed using a FluroBlok 24-multiwell cell culture insert system (BD Biosciences); detailed procedures for the invasion assay are described in the Supplementary Information.

Electric cell–substrate impedance sensor analysis

The gold electrodes of electric cell–substrate impedance sensor (ECIS) culturewares (8W10E+ or 8W1E) were coated with a 10 mmol/L cysteine solution. A total of 1.5×10^5 cells in 200 μ L of medium were inoculated into the well, and the barrier functions of cells were monitored under a current of 4,000 Hz for 18 hours, using an ECIS model 8Z device (Applied Biophysics).

Immunostaining

Detailed immunostaining procedures are described in the Supplementary Information.

Chromatin immunoprecipitation-qPCR

Chromatin immunoprecipitation (ChIP) was performed using a LowCell# ChIP kit (Diagenode) as previously described (26, 27). Detailed procedures and materials for the ChIP assay are

described in the Supplementary Information and Supplementary Table S3, respectively.

Human lung cancer

A lung cDNA array comprising 40 lung tumor cDNAs and 8 normal tissue cDNAs was purchased from OriGene Technologies for quantitative real-time (Q)-PCR analysis. Human lung cancer tissue arrays (CC5 and CCA4) were obtained from SuperBioChips Laboratories for the immunohistochemical analysis.

Cell proliferation assay

A WST-1 cell proliferation assay was performed as previously described (10).

Animal experiments

Tumor growth assays were conducted as previously described (10, 26). Detailed procedures for the xenograft assays are described in the Supplementary Information.

Public domain data analysis

The public gene expression profiling datasets used in this study were analyzed as described previously (22). The sources of these gene expression profiling datasets are listed in Supplementary Table S4. The median *SOX2* and *SOX9* levels were used as cutoff points for the overall survival analysis.

Statistical analysis

Differences in the immunohistochemical staining of human lung cancer specimens were assessed using a Pearson correlation analysis. Associations among the various markers and levels were calculated using Spearman rho correlation coefficient. $P < 0.05$ was considered to indicate a significant difference. All statistical analyses were performed using SPSS software, version 16 (SPSS, Inc.).

Results

Negative interplay between cancer cell proliferation and invasion

We previously established a series of human lung adenocarcinoma cell lines with differing invasive abilities via serial selection in a Boyden chamber assay (lines CL1-0–CL1-5; ref. 25) and demonstrated strong expression of *SOX2* in CL1-0 cells (10). To investigate the interplay of *SOX2* with cancer cell invasion and proliferation, CL1-0 and its invasive derivatives were subjected to proliferation and invasion assays. Invasion analysis revealed that these cells could be categorized into 2 groups: low-invasive (CL1-0 and CL1-1) and high-invasive (CL1-2, CL1-3, CL1-4, and CL1-5) cells (Fig. 1A). In addition, these cells exhibited distinct morphologic phenotypes that were visible under a phase-contrast microscope. Low-invasive cells exhibited an epithelial adhesive phenotype, whereas the high-invasive cells displayed a spindle fibroblast-like morphology (Fig. 1B). A cell proliferation assay

(Continued.) **C**, qPCR for the expression of *SOX2* (left) and *SOX9* (right) in CL1-0, CL1-5, and S1~S4. **D**, Immunoblotting for the expression of *SOX2* and *SOX9* in CL1-0, CL1-5, and S1~S4. **E**, WST-1 assay for comparing the cell proliferation potential of S2 and S3 with that of parental CL1-5 and CL1-0 cells. **F**, *In vitro* invasion assay for comparing the invasive ability of S1~S4 with that of parental CL1-5 and CL1-0 cells. **G**, Phase-contrast images of invasion-selected clones S3-1 and S3-2 as well as parental S3 clone. **H**, qPCR analysis to compare the mRNA expression of *SOX2* and *SOX9* in S3, S3-1, and S3-2 with that in CL1-0 and CL1-5. **I**, Immunoblotting analysis for comparing the expression of *SOX2* and *SOX9* in S3, S3-1, and S3-2 with that in CL1-0 and CL1-5 cells. **J**, WST-1 assay for comparing the cell proliferation potential of S3, S3-1, and S3-2 clones with that of CL1-0 and CL1-5 cells. **K**, Invasion assay for comparing invasive ability of S3, S3-1, and S3-2 with that of CL1-0 and CL1-5 cells.

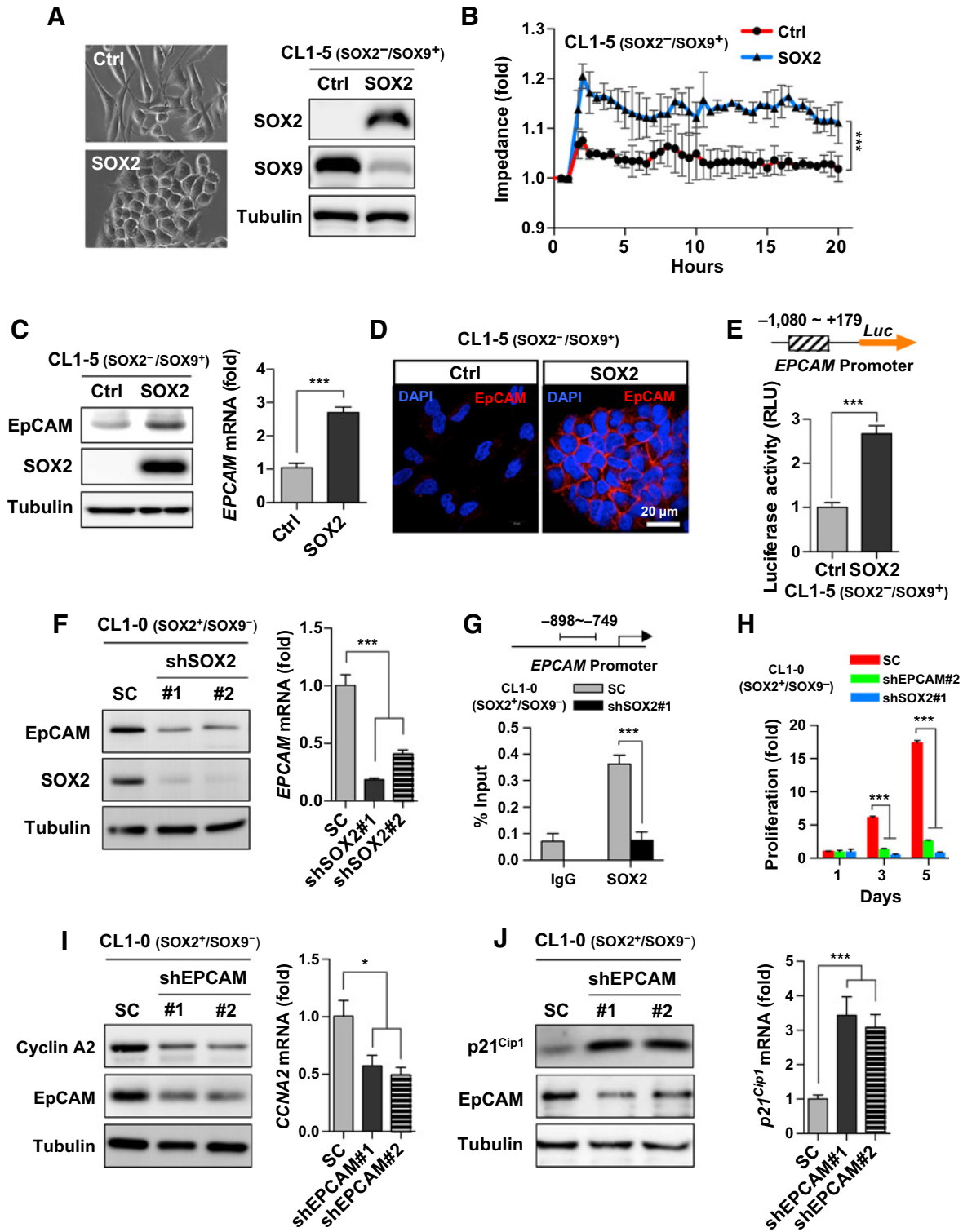


Figure 3.

SOX2 mediates EpCAM-p21^{Cip1}-cyclin A2 proliferative signaling. **A**, Phase-contrast images (left) and immunoblotting (right) in SOX2-overexpressing (SOX2) or control (Ctrl) CL1-5 cells. **B**, ECIS analysis for measuring barrier properties in CL1-5 cells infected with lentiviral vectors encoding SOX2 cDNA (SOX2) or empty control vector (Ctrl). x-axis, time (h); y-axis, normalized impedance (fold change). **C**, Immunoblotting (left) and qPCR (right) analyses for measuring protein and mRNA levels of EpCAM, respectively, in CL1-5 cells infected with lentiviral vectors encoding SOX2 cDNA (SOX2) or control vector (Ctrl). **D**, Immunofluorescent images of EpCAM (red) and DAPI (blue) in SOX2-overexpressing or control CL1-5 cells. Scale bar, 20 μm. (Continued on the following page.)

revealed that low-invasive CL1-0 and CL1-1 cells had a higher proliferation rate than did the high-invasive cells, indicating the presence of a negative correlation between cancer cell proliferation and invasion (Fig. 1C). An ECIS assay revealed a higher level of impedance in epithelial-like CL1-0 cells than in fibroblast-like CL1-5 cells (Fig. 1D). Moreover, we observed that CL1-0 cells were more resistant to cisplatin than were CL1-5 cells (Fig. 1E and Supplementary Fig. S1). A gene expression microarray analysis identified differing expression levels of *SOX2* and *SOX9* in the proliferative and invasive cells; these differences were further confirmed by qPCR and immunoblotting (Fig. 1F). These observations suggest different roles for *SOX2* and *SOX9* in the oncogenesis of lung cancer cells.

Switching between *SOX2* and *SOX9* expression modulates cancer cell plasticity

Because *SOX2* and *SOX9* are differentially expressed in proliferative and invasive lung cancer cells, we further examined whether mutual suppression between *SOX2* and *SOX9* would endow cells with proliferative and invasive abilities, thus generating cancer cell heterogeneity. To trace endogenous *SOX2* signaling, we used an EOS-S(4+) reporter plasmid to isolate *SOX2*-positive clones from CL1-5 (*SOX2*-low) cells (Fig. 2A). The EOS-S(4+) reporter plasmid, which contains 4 repeats of the *SOX2* regulatory region 2 (SRR2), was originally used to screen endogenous *SOX2*-activated induced pluripotent stem (iPS) cells (28). After transducing CL1-5 cells with an EOS-S(4+) lentiviral plasmid, followed by single-clone isolation, we were able to identify 4 clones with an epithelial phenotype (S1, S2, S3, and S4; Fig. 2B). qPCR and immunoblotting revealed that *SOX2*, but not *SOX9*, was expressed in these CL1-5 descendants (Fig. 2C and D). These clones exhibited a higher proliferative potential but reduced invasive ability when compared with unaltered CL1-5 cells (Fig. 2E and F), suggesting that *SOX2* inhibits invasion. To monitor the negative interplay between *SOX2* signaling and invasion, S3, a *SOX2*-positive CL1-5 descendant, was subjected to invasion analysis (Fig. 2A). Transwell invasion screening identified two S3 descendant clones, S3-1 and S3-2, with a mesenchymal phenotype (Fig. 2G). Short tandem repeat (STR) analysis confirmed the genomic backgrounds of these established clones (Supplementary Fig. S2). qPCR and immunoblotting revealed that *SOX9*, but not *SOX2*, was expressed in S3-1 and S3-2 cells (Fig. 2H and I). These clones exhibited a lower proliferative potential but increased invasive ability relative to S3 parent cells (Fig. 2J and K). Similarly, *SOX2*-positive single clones were isolated from H1975 via the EOS-S(4+) reporter system (Supplementary Fig. S3A). These H1975 descendants exhibited increased *SOX2* expression and decreased *SOX9* expression and displayed an epithelial phenotype, increased cellular proliferation, and decreased invasive ability (Supplementary Fig. S3A–S3D). These data support the existence of a negative interplay between *SOX2* and *SOX9*, which are respectively associated with cancer cell proliferation

and invasion and determine the distinct phenotypes of lung cancer cells.

SOX2 regulates the EpCAM–p21^{Cip1}–cyclin A2 signaling axis, encouraging tumor cell proliferation

We further examined the role of *SOX2* in the determination and maintenance of lung cancer cell epithelial morphology. Ectopic *SOX2* expression shifted the fibroblast-like morphology of CL1-5 cells to an epithelial morphology with improved barrier function (Fig. 3A and B). Moreover, *SOX2* expression was associated with reduced *SOX9* expression (Fig. 3A and Supplementary Fig. S4). Because EpCAM mediates cell–cell adhesion and maintains stem/progenitor cell properties by regulating proliferation in solid tumors (29–32), we investigated the possible role of EpCAM in *SOX2*-induced oncogenesis. Immunoblotting and qPCR confirmed that the *SOX2* expression led to elevated levels of *EPCAM* mRNA and protein (Fig. 3C). Immunofluorescent staining showed that *SOX2* expression induced EpCAM expression in CL1-5 cells, thus encouraging cell–cell adhesion (Fig. 3D). Moreover, *SOX2* knockdown attenuated the expression of EpCAM, indicating that *SOX2* regulates EpCAM (Fig. 3F). Ectopic *SOX2* expression led to enhanced *EPCAM* promoter reporter activity (Fig. 3E). To investigate the possible binding of *SOX2* to the *EPCAM* promoter, *SOX2*-silenced and control CL1-0 cells were subjected to a ChIP analysis (Fig. 3G). *SOX2* occupancy within the –898 to –749 bp region of the *EPCAM* promoter decreased upon *SOX2* knockdown, indicating that *SOX2* binds to the *EPCAM* promoter. To study the role of *SOX2*–EpCAM signaling in cancer cell proliferation, both EpCAM and *SOX2* were silenced in CL1-0 cells, which were then used in a WST-1 cell proliferation assay. Knockdown of either EpCAM or *SOX2* inhibited cell proliferation, supporting the idea that *SOX2*–EpCAM signaling regulates cell growth (Fig. 3H and Supplementary Fig. S5A and S5B). Because cyclin A2 and p21^{Cip1} positively and negatively regulate the cell cycle, respectively, and because the expressions of these proteins correlate with cancer malignancy (33, 34), we further tested the effect of EpCAM on cyclin A2 and p21^{Cip1} expression. EpCAM knockdown attenuated both the protein and mRNA levels of *CCNA2* (Fig. 3I). Furthermore, *CCNA2* knockdown decreased the growth ability of CL1-0 cells (Supplementary Fig. S6). In contrast, EpCAM silencing increased both the protein and mRNA levels of p21^{Cip1} (Fig. 3J). These findings suggest that the EpCAM–p21^{Cip1}–cyclin A2 signaling axis is involved in *SOX2*-mediated cancer cell proliferation.

The *SOX9*–SLUG signaling axis controls tumor invasion

To evaluate the role of *SOX9* in oncogenesis, we knocked down *SOX9* in CL1-5 cells, which were then subjected to various *in vitro* functional analyses. *SOX9* knockdown converted the fibroblast-like phenotype of CL1-5 cells to an epithelial morphology (Fig. 4A). Ectopic *SOX9* expression in CL1-0 cells induced a mesenchymal phenotype, suggesting that *SOX9* regulates cancer cell plasticity (Fig. 4A). ECIS analysis indicated that *SOX9*

(Continued.) **E**, *EPCAM* promoter reporter analysis in CL1-5 cells transfected with the pGL3-*EPCAM* promoter reporter plus or minus *SOX2* cDNA. **F**, Immunoblotting (left) and qPCR (right) analyses for measuring protein and mRNA levels of EpCAM, respectively, in CL1-0 cells infected with lentiviral vectors encoding shRNA against *SOX2* (shSOX2) or scrambled control (SC). **G**, ChIP assay for detecting the occupancy of *SOX2* at the –898 to –749 bp region of *EPCAM* promoter. *SOX2* binding to *EPCAM* promoter was detected in CL1-0 cells infected with scrambled control or shSOX2 lentiviral vectors. Results are represented as mean ± SD. **H**, WST-1 cell proliferation analysis of CL1-0 cells infected with lentiviral vectors encoding shRNA against EpCAM (shEPCAM), *SOX2* (shSOX2), or scrambled control. **I**, Immunoblotting (left) and qPCR (right) analyses for detecting protein and mRNA levels of *CCNA2*, respectively, in CL1-0 cells infected with lentiviral vectors encoding shEPCAM or a scrambled control. **J**, Immunoblotting (left) and qPCR (right) analyses for detecting protein and mRNA levels of p21^{Cip1} in CL1-0 cells infected with lentiviral vectors encoding shEPCAM or a scrambled control.

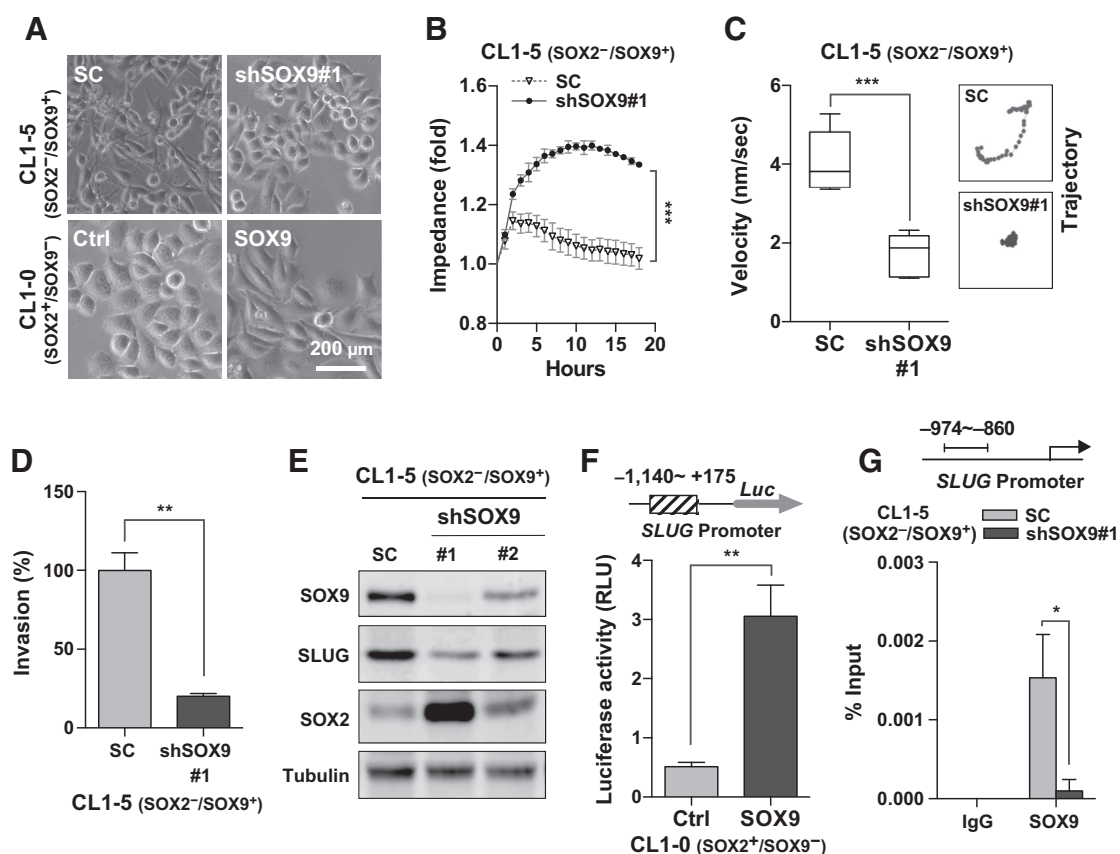


Figure 4.

SOX9 induces SLUG invasive signaling. **A**, Representative phase-contrast images of SOX9-silenced CL1-5 cells infected with shSOX9 (shSOX9#1) or scrambled control lentiviral vectors (top) or SOX9-overexpressing CL1-0 cells infected with SOX9 cDNA or empty control lentiviral vectors (bottom). Scale bar, 200 μ m. **B**, ECIS analysis for measuring barrier properties in CL1-5 cells infected with shSOX9 (shSOX9#1) or scrambled control (SC) lentiviral vectors. **C**, Cell tracking analysis for measuring the velocity (left) and trajectory (right) of CL1-5 cells infected with shSOX9 (shSOX9#1) or a scrambled control. The bars show the average of 10 single cells. **D**, Invasion assay of CL1-5 cells infected with shSOX9 (shSOX9#1) or scrambled control (SC) lentiviral vectors. **E**, Immunoblotting for comparing the expression of SOX9, SOX2, and SLUG in SOX9-silenced CL1-5 cells infected with a scrambled control or shSOX9 (shSOX9#1 or shSOX9#2) lentiviral vectors. shSOX9#1 and shSOX9#2 target different regions of SOX9 mRNA. **F**, *SLUG* promoter reporter analysis in CL1-5 cells transfected with the pGL3-*SLUG* promoter reporter plus or minus SOX9 cDNA. **G**, ChIP assay for detecting the occupancy of SOX9 at the -974 to -860 bp region of the *SLUG* promoter in CL1-5 cells infected with a scrambled control or shSOX9 (shSOX9#1) lentiviral vectors.

knockdown increased the barrier properties of these cells (Fig. 4B). Furthermore, SOX9 silencing impaired the cell migration and invasiveness of CL1-5 tumor cells (Fig. 4C and D). A clonogenic analysis and WST-1 cell proliferation assay showed that SOX9 knockdown enhanced cell proliferation (Supplementary Fig. S5C and S5D). Immunoblotting revealed that SOX9 silencing led to increased levels of SOX2 but attenuated levels of SLUG, a key regulator of cancer plasticity and invasion (Fig. 4E). A luciferase promoter reporter analysis indicated that SOX9 expression led to *SLUG* promoter transactivation ($-1,140$ to $+175$ bp; Fig. 4F). A potential SOX9 binding motif was identified in the -974 bp to -860 bp region of the *SLUG* promoter. Using ChIP, we observed the attenuated occupancy of SOX9 on the -974 bp to -860 bp region of the *SLUG* promoter in SOX9-silenced cells, supporting the idea that SOX9 binds to the *SLUG* promoter (Fig. 4G). Therefore, our data indicate that SOX9 inhibits SOX2 expression but promotes SLUG expression, thereby attenuating barrier properties and promoting increased invasiveness in lung cancer cells.

SOX2 and SOX9 mediate tumor growth and invasion, respectively, in animal models

To evaluate the involvement of SOX2 in tumor growth, SOX2 was knocked down in CL1-0 cells; these cells were subsequently used in a subcutaneous xenograft assay conducted in immunodeficient mice. We found that whereas CL1-0 parent cells formed tumors in this animal model, this tumor-forming ability was inhibited in SOX2-silenced cells, suggesting that SOX2 regulates tumor cell growth *in vivo* (Fig. 5A). To evaluate the participation of SOX9 in tumor invasion *in vivo*, SOX2⁺/SOX9⁻ CL1-0 and SOX2⁻/SOX9⁺ CL1-5 cells were intravenously injected into nude mice. An *in vivo* imaging system (IVIS) analysis revealed a greater incidence of CL1-5 tumors than of CL1-0 tumors on day 14 after injection (Fig. 5B). To further study the role of SOX9 in cancer cell invasion *in vivo*, SOX9 was silenced in CL1-5 cells, which were then used for an intravenous xenograft analysis. IVIS analysis revealed that SOX9 knockdown attenuated the lung invasiveness of intravenously injected CL1-5 cells (Fig. 5C-F and Supplementary Fig. S7). These results suggest that SOX2 and SOX9 play distinct roles *in vivo*. We

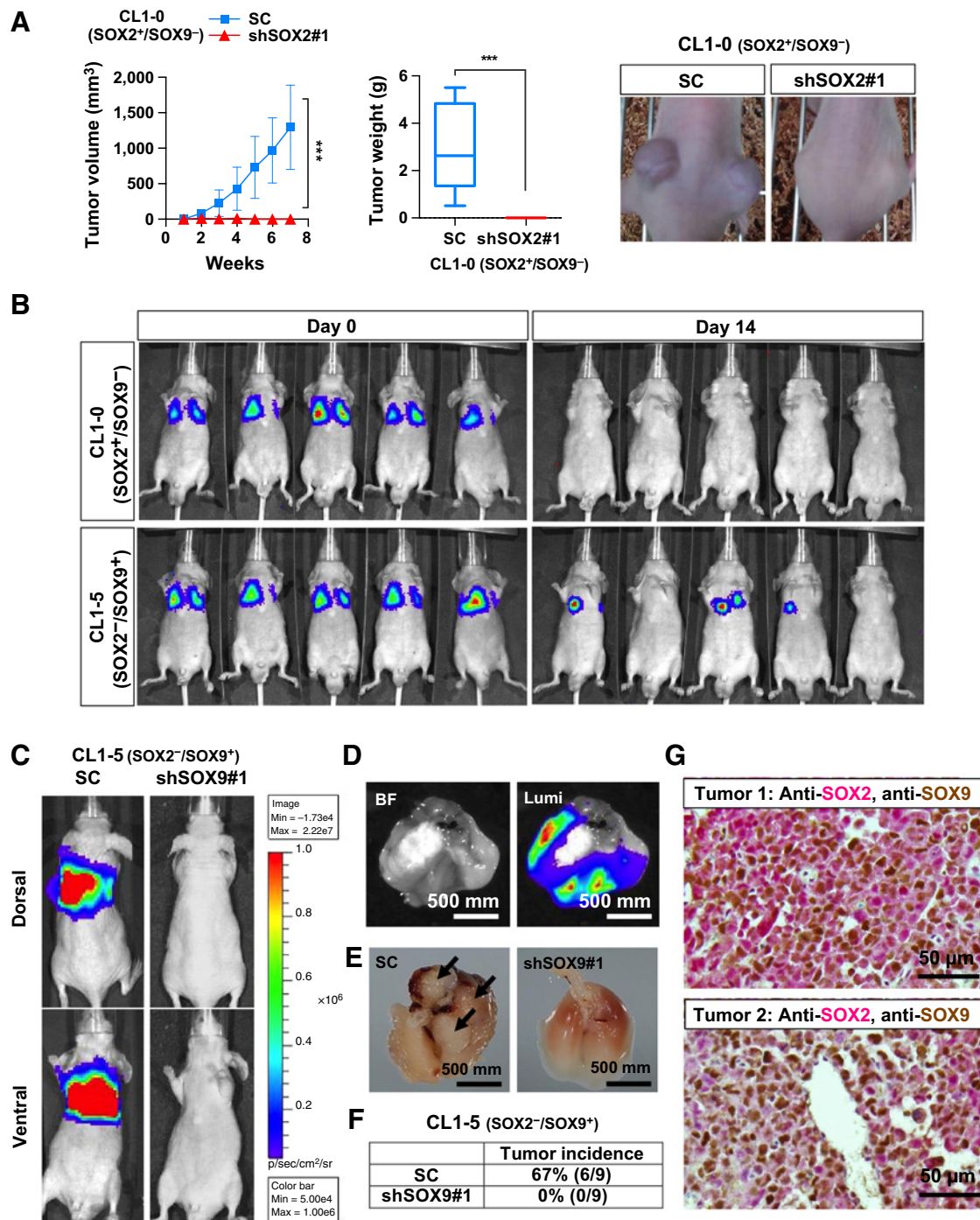


Figure 5.

Roles of SOX2- and SOX9-mediated oncogenesis *in vivo*. **A**, Tumor growth assay of SOX2-silenced lung cancer cells. CL1-0 cells were infected with shSOX2 or scrambled control (SC) lentiviral vectors, followed by subcutaneous xenografted implantation into the flank region of nude mice. Tumor volumes were monitored over time (left). Tumor weights were measured after sacrificing the mice (middle). Bright view of tumor bearing mouse (right). Error bars, SEM ($n = 10$ or $n = 5$). **B**, Bioluminescent images of nude mice intravenously implanted with CL1-0 or CL1-5 cells. **C**, Bioluminescent images of nude mice intravenously implanted with SOX9-silenced CL1-5 cells (right) versus those implanted with the scrambled control cells (left). **D**, Representative bioluminescent signaling in lung tumors derived from CL1-5 cells infected with the scrambled control lentiviral vector. BF, bright field; Lumi, luminescent image. **E**, Bright view of the lung carrying tumors from control CL1-5 cells versus that from SOX9-silenced one. Arrows, tumor nodules. **F**, Lung tumor incidence in mice from control CL1-5 cells versus that from SOX9-silenced one. **G**, Double-staining immunohistochemical analysis of the expression of SOX2 (pink) and SOX9 (brown) in lung tumors derived from scrambled control CL1-5 cells.

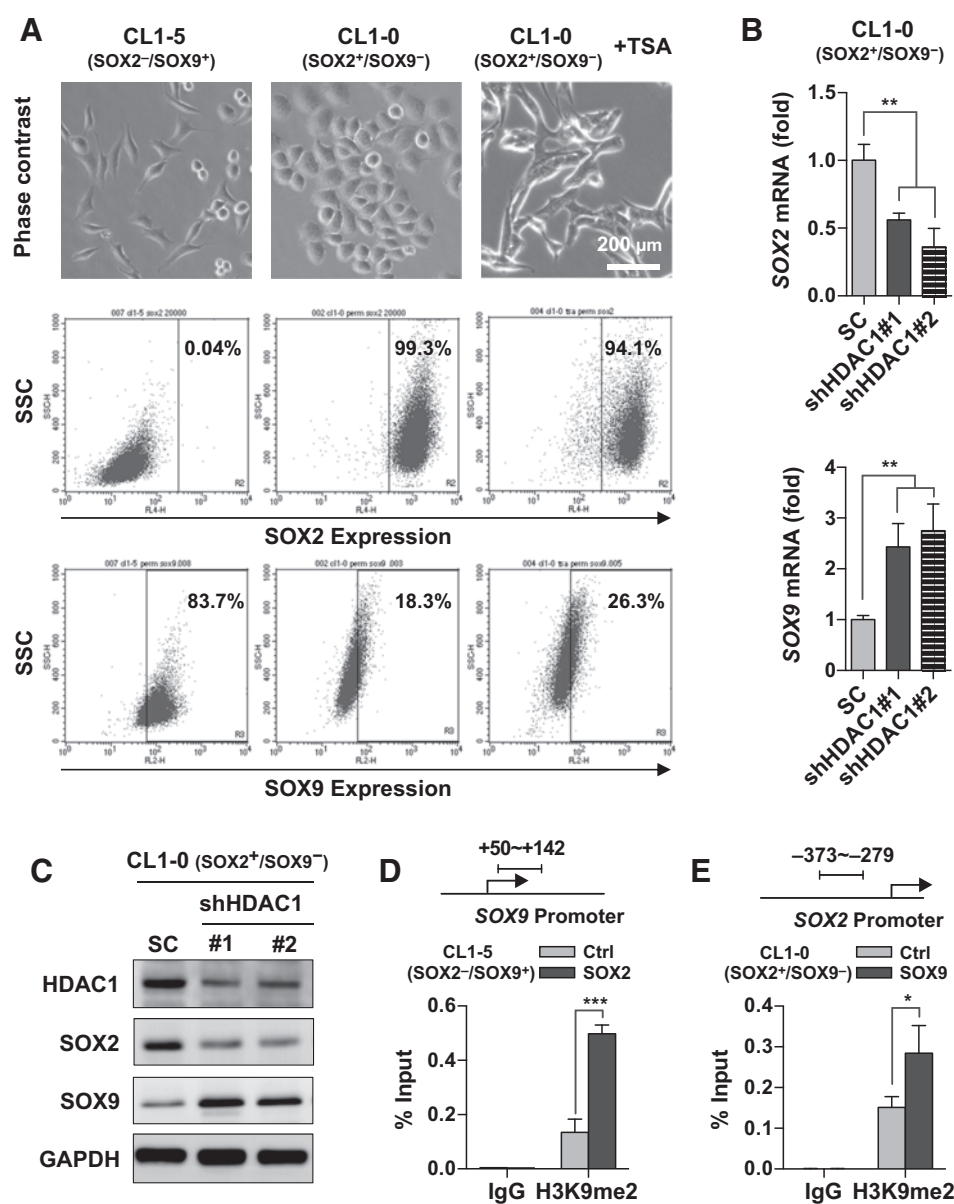


Figure 6.

Epigenetic regulation in SOX2 and SOX9 switching. **A**, Phase-contrast images (top) and flow cytometric analysis of CL1-5, CL1-0, and CL1-0 cells treated with TSA (500 nmol/L) to measure SOX2-positive or SOX9-positive populations (middle and bottom, respectively). x-axis, SOX2 or SOX9 expression; y-axis: SSC. **B**, qPCR analysis for measuring SOX2 (top) or SOX9 (bottom) levels in HDAC1-silenced CL1-0 cells. **C**, Western blotting for detecting HDAC1, SOX2, and SOX9 expression in HDAC1-silenced CL1-0 cells. **D**, ChIP assay for comparing H3K9me2 levels on SOX9 promoter in SOX2-overexpressing CL1-5 and control cells. **E**, ChIP assay for comparing H3K9me2 level on SOX2 promoter in SOX9-overexpressing CL1-0 with that in control cells. *, $P < 0.05$.

further detected both SOX2⁻/SOX9⁺ and SOX2⁺/SOX9⁻ cells in metastasized lung tumors that had originated from CL1-5 (SOX2⁻/SOX9⁺) cells, which suggests that SOX2 and SOX9 switching might generate heterogeneity in metastatic tumors (Fig. 5G).

Epigenetic modification regulates the SOX2 and SOX9 switch

Because epigenetic regulation contributes to stem/progenitor cell differentiation, CL1-0 cells were treated with trichostatin A (TSA), a histone deacetylase (HDAC) inhibitor, and analyzed via flow cytometry to monitor changes in the SOX2- and SOX9-positive populations and thus assess the involvement of epigenetic regulation in switching between SOX2 and SOX9 expression. Flow cytometric analysis revealed that SOX2-negative cells were rare among untreated CL1-0 cells; however, TSA-mediated pharmacological HDAC inhibition reduced the percentage of SOX2-positive cells while increasing the percentage of SOX9-positive cells, which exhibited a more spindle-like morphology (Fig. 6A).

Because SOX2 recruits HDAC1, which in turn regulates SOX2 function (35, 36), we further examined the effects of HDAC1 on the differential expression of SOX2 and SOX9. HDAC1 silencing attenuated the expression of SOX2 but promoted the expression of SOX9, thus suggesting that epigenetic regulation plays a role in switching between SOX2 and SOX9 expression (Fig. 6B and C).

To further examine the involvement of histone modification in the switch between SOX2 and SOX9 expression, a ChIP analysis was conducted to measure the enrichment of dimethylated histone H3 lysine 9 (H3K9me2) on the SOX9 and SOX2 promoters upon the expression of SOX2 or SOX9. We found that ectopic SOX2 expression led to elevated H3K9me2 levels on the SOX9 promoter in CL1-5 cells, thus attenuating the expression of SOX9 (Fig. 6D and Supplementary Figs. S4 and S8). In contrast, SOX9 expression increased the level of H3K9me2 on the SOX2 promoter in CL1-0 cells (Fig. 6E). Together, our data demonstrate a role for epigenetic regulation in the mutual inhibition between SOX2 and SOX9.

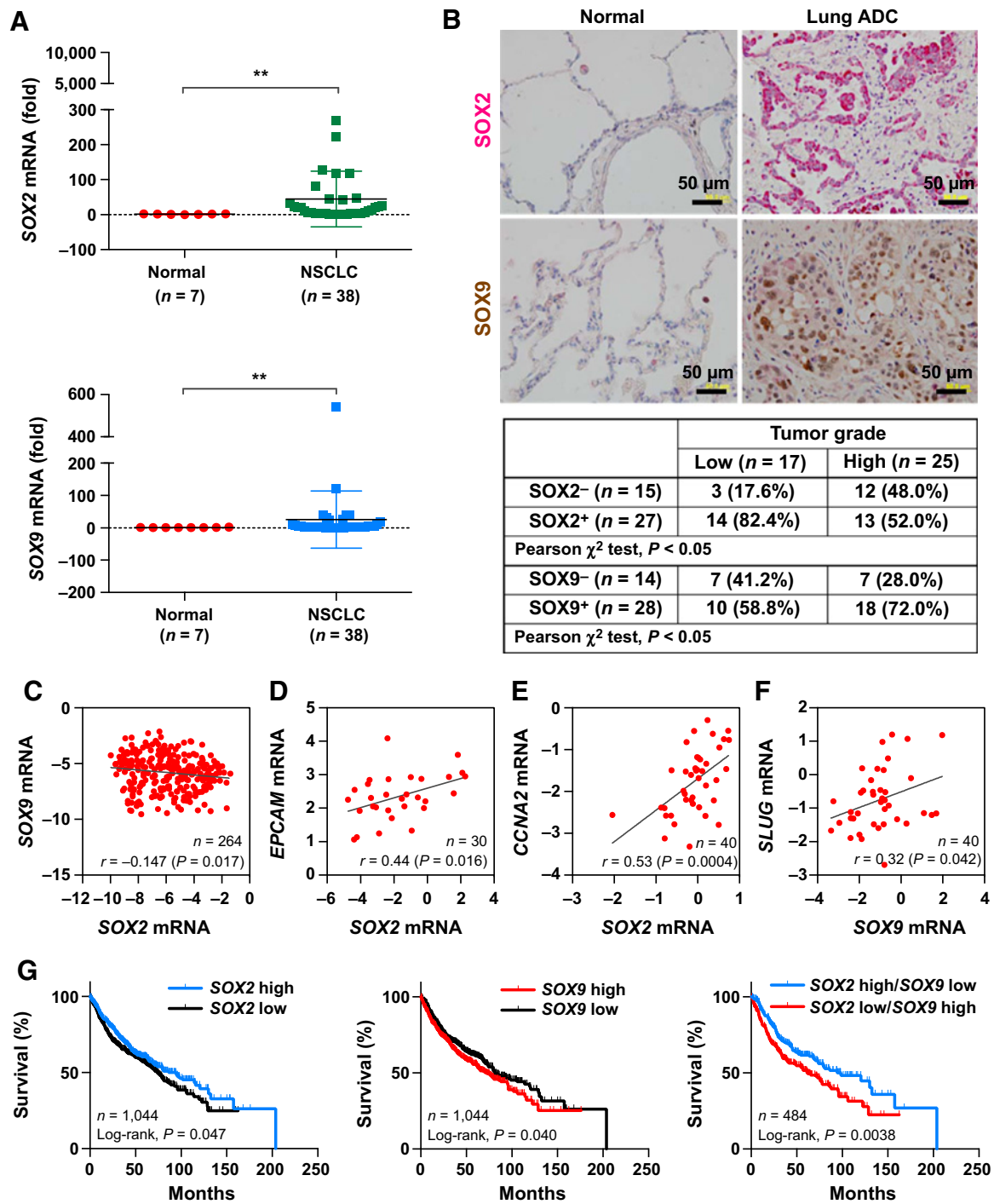


Figure 7.

Correlation analysis of SOX2 and SOX9 levels in primary lung tumors. **A**, qPCR analysis comparing SOX2 and SOX9 levels in lung tumors from patients with NSCLC versus nontumor tissues. **B**, Representative immunohistochemical analysis for the expression of SOX2 (pink) and SOX9 (brown) in lung adenocarcinoma versus nontumor tissues (top). Correlation analysis of the expression of SOX2 and SOX9 with tumor grade (bottom). **, $P < 0.01$. Pearson χ^2 correlation analysis of the expression of SOX2 and SOX9 with tumor grade. **C**, A scatter plot generated from primary lung adenocarcinoma (GSE30219) displaying a negative correlation between SOX2 and SOX9 levels. **D**, A scatter plot generated from primary lung adenocarcinoma (TCGA) displaying a positive correlation between SOX2 and EPCAM levels. **E**, A scatter plot generated from primary lung adenocarcinoma (GSE3398) displaying a positive correlation between SOX2 and CCNA2 levels. **F**, A scatter plot generated from primary lung adenocarcinoma (GSE3398) displaying a positive correlation between SOX9 and SLUG levels. **G**, Kaplan-Meier analysis for the correlation of SOX2 (left) or SOX9 (middle) expression with the overall survival of patients with NSCLC ($n = 1,044$) from the six databases (GSE4573, GSE14814, GSE3141, GSE19188, GSE31210, and NCI Director's Challenge Consortium). The overall survival data were further stratified by SOX2 low/SOX9 high and SOX2 high/SOX9 low signatures for Kaplan-Meier analysis (right). Comparative analysis by log-rank test was performed between the different groups.

SOX2 and SOX9 expression correlate with tumor grade in patients with non-small cell lung cancer

The aforementioned results suggest that SOX2 and SOX9 exhibit different oncogenic properties. We next examined SOX2 and SOX9 levels in non-small cell lung cancer (NSCLC) tumors and nontumorous tissues. qPCR revealed higher levels of both SOX2 and SOX9 in lung tumors, compared with nontumorous tissues (Fig. 7A). Consistent with that finding, an immunohistochemical analysis indicated high levels of both SOX2 and SOX9 in NSCLC tissues (Fig. 7B, top). A correlation analysis revealed that the SOX2 and SOX9 levels were associated with low and high tumor grades, respectively (Fig. 7B, bottom). We further validated this correlation between SOX2 and SOX9 levels in primary lung adenocarcinoma. Here, SOX2 and SOX9 levels exhibited a negative correlation (Fig. 7C and Supplementary Fig. S9A). Consistent with our *in vitro* analysis, SOX2 expression was positively associated with EPCAM and CCNA2 expression (Fig. 7D and E and Supplementary Fig. S9B). In contrast, SOX9 expression correlated with SLUG levels in primary lung tumors (Fig. 7F). These findings support the presence of a mutually exclusive pattern of SOX2 and SOX9 expression, leading to the regulation of distinct oncogenic signaling pathways in lung tumors. A Kaplan–Meier survival analysis of patients with NSCLC was conducted to determine the prognostic significance of SOX2 and SOX9 expression. We found that a high SOX2 level correlated with good survival, whereas a high SOX9 level correlated with poor survival (Fig. 7G, left and middle). Moreover, tumors harboring a SOX2 low/SOX9 high signature were associated with worse survival, compared with those carrying a SOX2 high/SOX9 low signature (Fig. 7G, right). These data indicate that SOX2 and SOX9 might function as prognostic biomarkers in NSCLC.

Discussion

It has long been observed that highly motile cancer cells tend to have lower proliferation rates and vice versa (37–39). In this study, we demonstrated that SOX2 promotes proliferation but inhibits the expression of SOX9, thus maintaining barrier properties. In contrast, SOX9 expression suppresses barrier properties but encourages EMT and invasiveness in lung cancer cells. Our findings support the notion that the switch between SOX2 and SOX9 expression is under epigenetic control and provide critical insights into cancer cell plasticity, which is marked by differential proliferation and invasion abilities of cancer cells.

The intriguing observation that cancer cells exhibit biologic features similar to those of stem/progenitor cells suggests that cancer and stem/progenitor cells share regulatory signaling mechanisms. SOX2 regulates embryonic stem (ES) cell self-renewal and participates in the proliferation of lung progenitor cells, which replenish damaged tissues during bronchiolar injury repair. We found that SOX2 enhances the expression of EpCAM, which inhibits p21^{Cip1} but induces cyclin A2 and thus promotes increased lung cancer cell proliferation. SOX2 has consistently been found to regulate cancer stem cells and thus encourage tumor initiation in lung and other types of cancer (10, 19). SOX2 or EpCAM is reported to promote cisplatin chemoresistance via enhanced survival signaling in lung and other cancer cells (10, 40). Here, we observed that SOX2-positive cells are more resistant to cisplatin than are SOX9-positive cells (Fig. 1E and Supplementary Fig. S1). In mice, Sox2 regulates squamous skin tumor cell proliferation and stemness features via direct and/or indirect

control of downstream targets, such as *Ccnd2*, *Cdkn2a*, and *Trp63* (10, 19). Moreover, SOX2 interacts with CTNBN1 to activate cyclin D1-dependent proliferation in breast cancer cells (15, 16), suggesting that SOX2 promotes tumor growth by regulating distinct downstream targets in different cells. In addition, EpCAM promotes the reprogramming of fibroblasts into iPS cells, whereas p21^{Cip1} inhibits this process (41, 42). Our data suggest that the SOX2–EpCAM–p21^{Cip1}–cyclin A2 pathway not only elicits stem/progenitor cell-like features but also encourages malignancy.

In contrast to SOX2, SOX9 expression accelerates ES cell differentiation via a p21^{Cip1}-dependent pathway and contributes to chondrogenesis (43). We observed that SOX9 expression induces mesenchymal morphology, whereas SOX9 silencing induces barrier properties, suggesting a critical role for SOX9 in EMT in lung cancer cells. SLUG, a key regulator of EMT, is overexpressed and thus encourages invasion in a subgroup of lung cancer (44). We found that SOX9 binds the SLUG promoter to induce its expression. Sox9–Slug signaling was previously reported to regulate avian neural crest development (20) and to enhance metastatic potential in a mouse tumor model (23). Consistently, we observed that SOX9 silencing attenuated SLUG expression and inhibited lung cancer cell invasion *in vitro* and in animal models. Moreover, we found that in lung tumors, SOX9 expression correlated with an advanced tumor grade and SLUG levels. Our findings support the involvement of SOX9–SLUG signaling in lung cancer cell invasion.

Although EMT has been attributed to cancer dissemination, several reports indicate that MET, a reversal of EMT, is critical for cancer metastasis (3–5), particularly with regard to cancer cell seeding and colonization in distant organs. In addition, increased barrier properties, mediated by adhesion molecules, such as EpCAM and E-cadherin, have been suggested to support cell proliferation and survival. Although our data suggest that the SOX2–EpCAM–p21^{Cip1}–cyclin A2 pathway inhibits cancer cell invasion, we observed the presence of both SOX2[−]/SOX9⁺ and SOX2⁺/SOX9[−] cells in metastases of intravenously injected lung tumors (Fig. 5G). The involvement of SOX2-mediated MET in cancer metastasis requires further investigation.

By selecting invasive lung cancer cells from noninvasive SOX2⁺/SOX9[−] lung cancer cells, we discovered that SOX9 programming switched on while SOX2 program switched off. Upon enriching the endogenous expression of SOX2 in SOX2[−]/SOX9⁺ invasive lung cancer cells, we observed that the SOX9 program was turned off, accompanied by increased proliferative but decreased invasive abilities. Epigenetic regulation mediates stem/progenitor cell differentiation and iPS cell reprogramming, a process that can be further boosted by HDAC inhibitors (45, 46). By using TSA to inhibit HDACs in SOX2⁺/SOX9[−] cells followed by flow cytometry to analyze SOX2 and SOX9 expression, we observed an increase in the SOX2[−]/SOX9⁺ population. Moreover, ectopic SOX2 expression in SOX2[−]/SOX9⁺ lung cancer cells led to elevated H3K9me2 levels on the SOX9 promoter and attenuated SOX9 expression and vice versa. In agreement with these findings, we observed the reciprocal enrichment of H3K9me2 on the SOX2 and SOX9 promoters of CL1-1 and CL1-2 cells (Supplementary Fig. S8), which exhibit distinct phenotypic features and oncogenic properties as described in Fig. 1. Although SOX2 interacts with HDAC1, the functional role of this interaction had not previously been addressed. We observed that HDAC1 silencing increased SOX9 expression, further demonstrating the involvement of HDAC1 in the switch between SOX2 and SOX9 expression. A

correlation analysis of lung adenocarcinoma cohorts indicated a positive association between *SOX2* and *HDAC1* levels (Supplementary Fig. S9C). Our findings support the critical involvement of epigenetic regulation in the switch between *SOX2* and *SOX9* expression. Although the observation that epigenetic regulation between *SOX2* and *SOX9* creates cancer plasticity with the switch between epithelial-like and mesenchymal-like states may imply stem cell differentiation and dedifferentiation, we do not have direct evidence for the involvement of cancer stem cells in these phenomena.

Taken together, our data indicate that a subgroup of lung cancer cells adopts *SOX2*-EpCAM-p21^{Cip1}-cyclin A2 signaling to promote cell proliferation. In contrast, *SOX9*-*SLUG* signaling induces EMT and promotes cancer cell invasion. Cancer cell plasticity, indicated by a switch between *SOX2* and *SOX9* expression programs, is under epigenetic control and endows cancer cells with different proliferative and invasive abilities, as well as the morphological plasticity to cope with selection pressures (Supplementary Fig. S10). These findings provide new insights into the role of epigenetic-mediated cancer cell plasticity in tumor progression.

Disclosure of Potential Conflicts of Interest

No potential conflicts of interest were disclosed.

Authors' Contributions

Conception and design: Y.-T. Chou, S.S. Jiang

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