

## Progression of Treating Alzheimer's Disease with Stem Cell-based Therapies

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#### ABSTRACT

Alzheimer's disease is one form of dementia affecting a significant proportion of the population. The etiology of this prevalent disease is currently unknown. It is postulated that AD can be treated by using stem cell-based therapies by replacing the lost neurons in the atrophic regions of the brain. For these novel therapies to be successful several sources of stem cells have been proposed, such as pluripotent stem cells as well as multipotent stem cells. Proof of concept in animal studies have shown that stem cells can grafted into the affected regions or delivered intravenously into affected parts of the brain. These experiments had improved cognition and memory performance in rodents. The promising results seen in animal models have increased interest in conducting clinical trials using the same technique. In the last 5 years, several treatments have reached phase II clinical trials.

Keywords: Alzheimer's disease, dementia, neurodegenerative disease, stem cell based-therapies, stem cell-based treatments, stem cells

#### 1 Introduction

The prevalence of dementia is a major concern for the public health agencies all over the world. Current estimates state over 50 million people suffer from dementia globally and is expected to increase due to ageing of the population [1]. One form of dementia is due to Alzheimer's disease (AD), which is one of the leading causes of death in the United States [2]. The disease is characterized by significant atrophy in the subcortex and cerebral cortex. In the early stages of the disease patients display mild cognitive impairment, such as having problems with their short-term memory, semantic memory etc. As the disease progresses patients have shrinking vocabulary, problems communicating and the loss of long-term memory. In the advanced stages the patients become bedridden and unable to take care of themselves (Table 1) [3].

AD is classified as early onset or late onset, the latter constitutes of most of the AD cases. A significant proportion of early onset AD is familial and is manifested due to mutations in three genes: amyloid- $\beta$  precursor protein (A $\beta$ PP), presenilin-1 (PS-1) and presenilin-2 (PS-2) [4]. Gene knockout studies have shown that APP is involved in synapse formation [5]. Moreover A $\beta$ PP is a precursor molecule that is further cleaved by secretases (such as alpha-secretase, beta secretase and gamma secretase). When A $\beta$ PP is cleaved by  $\beta$ -secretase and  $\gamma$ -secretase amyloid beta (A $\beta$ ) is formed [6].

Currently the pathology of the disease is heavily debated. One of the premises of the disease is called the amyloid hypothesis, with the latest iteration being referred as the ion channel hypothesis. The notion of the hypothesis is that non-fibrillar and soluble  $A\beta$  oligomer is the most neurotoxic by forming membrane ion channels in the neurons. This allow unregulated calcium influx, leading to neuronal death [7], [8]. However not all AD diagnosed patients show presence of  $A\beta$ . This can be exemplified by Doraiswamy's



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and colleague's research conducted at Harvard. By using a molecule that binds to AB called Florbetapir they showed that PET scans of one third of AD patients recruited in the study did not show signs of  $A\beta$  in their PET scans [9]. Moreover pharmacological targets identified by adhering to the amyloid hypothesis lead to failed clinical outcomes in clinical trials. In one phase I clinical trial of an experimental vaccine (AN1792) for clearing up amyloid plaques failed to slow down the progression of AD [10]. Recent phase III clinical trials have followed the same trend. Verubecestat, which inhibits A<sup>β</sup> production by acting as an inhibitor for  $\beta$ -secretase, has failed in a phase III clinical trial [11], [12]. Similarly, a biologic was promising in animal models of AD but a phase III drug trial was terminated early due to lack of evidence [13]. Because of failure of drug development for treating AD there has been a renewed interest in stem cell-based therapies. In this review we will discuss the different sources of stem cells that can be used, proof of concept experiments using animal models and finally explore clinical trials being conducted on stem cell-based treatments for AD.

# **Table 1:** Progression of symptoms in AD. Adapted from Alistair Burns & Steve [3].

	Disease stage	Symptoms		
Disease progression	Mild Alzheimer's disease	Short term memory loss, problems with semantic memory, forgetfulness, repetitive questioning		
	Moderate Alzheimer's disease	Dysexecutive syndrome, showing cognitive deficits		
ion	Severe Alzheimer's disease	Assistance required in everyday tasks, bedbound altered sleep pattern, agitation, no language skills		

### 2 Sources of Stem Cells

Stem cells are undifferentiated cells that have the ability to differentiate into specialized cells or replicate to generate more stem cells. They can be grouped into two types: pluripotent or multipotent according to their potential for differentiation. Examples of pluripotent stem cells are embryonic stem cells (ESCs) and induced pluripotent stem cells (iPSCs) whilst examples of multipotent stem cells are neural stem cells (NSCs), mesenchymal stem cells (MSCs) etc (Table 2).

In vivo 5-6 days post fertilisation ESCs are located in a clump of cells called inner cell mass of the developing embryo. At this point the embryo is at the preimplantation stage. Scientists do not have to harvest ESCs embryo inside the womb as these embryos can be fertilized in vitro and expanded in culture indefinitely [14]-[16]. These ESCs can be made to differentiate into neurons and other cells found in the brain parenchyma, such as the glial cells. In fact ESCs can be specified into neurons in several ways. One approach for specifying ESCs into neural progenitors would be to culture ESCs in the presence of fetal calf serum augmented by basic fibroblast growth factor and epidermal growth factor [17], [18]. Similarly another efficient method of differentiating ESCs neurons involves stromal feeder cells or retinoic acid [19]. Recently a technique was developed of differentiation involves manipulating Sonic Hedgehog signaling. In this specific case ESCs are differentiated into cortical neurons by using a inhibitor for sonic hedgehog called cyclopamine [20].

iPSCs are one form of pluripotent stem cells and thus have the potential to form all three germ layers. These are somatic cells that have been reprogrammed into a pluripotent state. iPSCs were first created by Yamanka and his group, demonstrating that fibroblasts can be converted into a stem-like state after adding four transcriptional factors: Oct3/4, Sox2, c-Myc, and Klf4 [21]. Later Yamanaka and others have shown that other types of somatic cells (such as hepatocyptes, t-cells, etc.,) can also be reprogrammed into iPSCs [22], [23]. One group based in has demonstrated that somatic lung fibroblasts can be reprogrammed into iPSCs by using Oct4, Sox2, Klf4 and c-Myc (the same transcription factors used by Yamanaka et al). Once successfully reprogrammed these iPSCs can be specified into neural fate by blocking SMAD signaling with SMAD inhibitors, such as Noggin and SB431542 [24].

Study	[18]	[20]	[24]	[28]	[29]	[35]
Type of stem cell	Embryonic stem cells (ESCc)	Embryonic stem cells (ESCs)	Induced pluripotent stem cells (iPSCs) and embryonic stem cells (ESCs)	Neural stem cells (NSCs)	Neural stem cells (NSCs)	Mesenchymal stem cells (MSCs)
Method	Mouse ESC 4- day aggregates cultured in 5 X 10 <sup>-7</sup> M retinoic acid	Mouse ESCs cultured in serum-free and morphogen free chemically defined default medium at low density in the presence of 1 µM cyclopamine.	Monolayer of ESCs or iPSCs induced into neural fate by Noggin and SB431542.	NSCs seeded on poly-L- lysine coated dish differentiated into neurons in the presence of 100 ng/ml of interferon- $\gamma$ (IFN— $\gamma$ ).	Culture NSCs in the presence of 50 µM of Baicalin	Culture cells in the presence of 1 mM β- mercaptoethan ol for 24 hrs
Findings	81% ESC         aggregates         showed         neurite         outgrowths.         39 % of ESC         aggregates         differentiated         into neuron-         like cells.         The neurons-         like cells         expressed         class III β         tubulin,         neurofilament         L and M         subunit,         glutamate         receptor         subunits,         TTX-sensitive         sodium         channels and         voltage-gated         potassium         channels and         calcium	ESCs differentiated into a homogenous population of neural progenitors. The neural progenitors expressed markers for pyramidal neurons of the cerebral cortex (such as VGLUT1/2). After grafting the neurons showed axonal projections, which is associated with different layers of the cerebral cortex.	Neuroectoder mal differentiation was greater than 80% when both Noggin and SB431542 were used. Neuroectoder mal differentiation was less than 10% when either Noggin or SB431542 used. The Pax 6 <sup>+</sup> neural crest cells were competent to form dopaminergic and motor neurons.	After neural induction of NSCs with IFN $\gamma$ The number of NSCs differentiated into neurons were 8 times higher compared to controls in the presence of 100 ng/ml IFN— $\gamma$ differentiated IFN— $\gamma$ increased the expression of JNK without promoting ERK1/2.	Baicalin induced NSCs to extend neurite outgrowth, express neuronal markers and neurogenic transcriptoinal factors Neuronal differentiation was induced through activation of Erk1/2.	80% of MSCs differentiated into neuronal phenotype by induction with $\beta$ - mercaptoethan ol Neuronal cells expressed neurofilament- M, neuron- specific enolase, tau and nestin.

**Table 2:** Potential sources of stem cells for treating Alzheimer's disease.

Interestingly some somatic cells can be converted into a different a lineage directly, avoiding the conversion of the stem-like state as seen in iPSC reprogramming. Liu and others based in University of Colorado have demonstrated that fibroblasts can be directly reprogrammed into dopaminergic neuron in the presence of five transcription factors: Mash1, Ngn2, Sox2, Nurr1, and Pitx3 [25].

Another type of stem cells are multipotent stem cell, which have a limited range of differentiation compared to pluripotent stem cells. One example of multipotent stem cells is neural stem cells (NSCs), which differentiate into astrocytes, neurons and oligodendrocytes during neurogenesis. Previously it was thought that after adolescence the brain is post-mitotic. However intricate lineage tracing experiments and radioactive Carbon-14 isotope analysis has shown that NSCs exist in subventricular zone (SVZ) and in the dentate gyrus (DG) of the hippocampus of the adult brain generate neurons during adulthood [26], [27]. NSCs in the SVZ give rise to inhibitory GABAergic and dopaminergic interneurons of the olfactory bulb whilst NSCs in DG give rise to excitatory glutamatergic granule neurons. Moreover NSCs can be readily expanded and differentiated into different neurons in vitro types making it a potential good source of stem cell transplantation for AD. Kim et al has shown that NSCs can be readily differentiated into neurons in the presence of interferon-y and Li and colleagues have proposed that flavonoid Baicalin induces NSCs into neurons [28], [29].

Similarly mesenchymal stem cells are (MSCs) are a type of multipotent stem cells. Whether mesenchymal stem cells (aka mesenchymal stromal cells) are true stem cells are out scope of this review. MSCs can be harvested from several sources: adipose tissues, placenta, umbilical cord blood, bone marrow, muscles etc [30]–[33]. MSCs from the adipose tissue is preferred instead of bone marrow because the procedure is less invasive [34]. MSCs can be advantageous instead of using NSCs because of their ability to differentiate into multiple lineages including neurons. A paper published in 2000 shows that that MSCs can differentiate into neural lineages, expressing nestin, in the presence of  $\beta$ -mercaptoethanol [35].

## 3 Approaches for Treating AD with Stem Cells

The theoretical approaches for treating AD with stem cells can be classified into endogenous repair and exogenous repair (Table 3). In endogenous repair involves activating the already present stem cells, such as NSCs, in the brain. Since hippocampal neurogenesis is involved in learning and memory it is presumed that activating NSCs may halt or at least slow down regression of AD. NSCs can be activated and upregulated by using growth factors that play a role in neurogenesis, such as insulin growth factor-1, brain derived neurotrophic factor and vascular endothelial growth factor [36].

Exogenous repair involves stem cell transplants, i.e. stem cells are implanted into the atrophic area through surgery or injected intravenously. ESCs can be one source of stem cells for stem cell transplantation. A study published by Yue and colleagues have generated basal forebrain cholinergic neurons progenitors from ESCs. They transplanted the progenitors into the forebrain of AD animal rodent models and showed that the progenitors functionally integrated into the basal forebrain cholinergic projection system. Excitingly the mice model showed improvements in learning and memory [37].

Another commonly studied stem cell treatments in neurodegenerative animal models are MSCs. One group based in Egypt (Salem et al) compared bone marrow derived mesenchymal stem cells (BM-MSCs) with the conventional AD drugs (such as rivastigmine and cerebrolysin). They showed that the mesenchymal stem cells administered intravenously reached the brain. Compared to the commonly prescribed drugs for AD BM-MSCs showed cognitive improvements bv upregulating expressions of choline acetyltransferase, survivin and nestin, which is a marker for neuronal progenitors [38]. Similarly, another group located in South Korea used adipose tissue derived mesenchymal stem cells (ADMSCs) as a source of stem cell based therapy. They indicated that the animal models used in

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their experiments had improvement cognition through increase in acetylcholine [39]. Interestingly MSCs can improve AD symptoms by other mechanisms. A study published by Shin *et al* in South Korea in 2014 in the journal autophagy revealed that MSCs improve the survival of neurons in the hippocampus in AD rodent models through neuroprotective effects. In their AD animal models administration of MSCs intravenously increased autosomal formation and A $\beta$  clearance [40].

Study	[37]	[38]	[39]	[40]
Type of stem	Mouse and human	Rat bone marrow	Human adipose tissue-	Human
cell	embryonic stem cells	derived mesenchymal stem cell	derived mesenchymal stem cells	mesenchymal stem cells
Model	5XFAD and APP/PS1 AD mice models	AD induced in Sprague–Dawley rats by administering aluminum chloride	18-month-old ICR mice model	5-week-old ICR mice and APP/ PSEN1 double transgenic mice models
Delivery route	8 x 10 <sup>4</sup> mouse or humans BFNC progenitors injected bilaterally into the basal forebrain.	3 x 10 <sup>6</sup> BM-MSCs /rat injected intravenously through the tail vein	For intravenous transplantation 1 x 10 <sup>6</sup> ADMSCs /100 µl/mouse cells were injected and for intracerebroventricular transplantation 4 x 10 <sup>5</sup> ADMSCs /2 µl /mouse cells were injected.	$1.0 \times 10^{6}$ MSCs were intravenously injected through the tail vein
Findings	ESCs differentiated into competent BFCNs. The grafts differentiated into functional mature cholinergic neurons and integrated into the basal forebrain cholinergic projection system. Mice with cell transplants showed improvements in learning and memory.	BM-MSC crossed the blood-brain barrier and reached affected areas of the brain. The rats that received treatment showed an increase in proliferation of choline acetyltransferase and survivin labelled cells. The brains of rats that received treatment had a marked decrease in Aβ accumulation	Transplanted ADMSCs differentiated into neurones and intro astrocytes. The ADMSCs expressed the expression of nerve growth factor and brain-derived neurotrophic factor. Compared to controls mice treated with ADMSCs had improved physical and cognitive performances.	MSCs administration increased expression of Beclin 1, LC3-II and autophagosome induction in brain tissue Induction of autophagic system increased A $\beta$ clearance. MSCs increased cellular survivability through neuroprotective effects

Table 3: Novel	stem cell	treatments	in animal	models

## 4 Clinical trials of stem cell therapy

Before any treatment can be routinely performed in the hospital these treatments need to be evaluated in clinical trials to assess their efficacy and safety. At the moment most of the stem cellbased therapies clinical trials being conducted in the last 10 years are at the phase I stage (Table 4). At this stage the safety and tolerability of the treatment are being measured on recruited patients diagnosed with the disease.

Trial identifier	NCT01297218	NCT02054208	NCT02600130	NCT02833792	NCT02672306
Start date	February 2011	February 2014	August 2016	June 2016	October 2017
End date	December 2011	July 2019	March 2020	June 2020	October 2019
Phase	Ι	I/IIa	Ι	IIa	I/II
Study design	Open label, single group evaluating safety	Randomized, multiple dose cohort study	Randomized and double-blinded for assessing safety and efficacy	Randomized, crossover study evaluating efficacy and safety	Randomized and double blinded study assessing efficacy and safety
Inclusion criteria	Probable AD by NINCDS- ADRDA criteria, positive for Aβ by PIB-PET (SUV > 1.5)	Probable AD by NINCDS-ADRDA criteria, positive for Aβ by PIB-PET (SUV > 1.5) or Florbetaben PET	Probable AD by NINCDS- ADRDA positive for Aβ by PET using AMYViD, Vizamyl, or Neuraceq tracers	Probable AD by NINCDS- ADRDA criteria, positive for Aβ by Florbetaben PET	Probable AD by NINCDS- ADRDA criteria, MMSE score between 10 and 26
Type of stem cells	Human Umbilical Cord Blood Derived Mesenchymal Stem Cells	Human Umbilical Cord Blood Derived Mesenchymal Stem Cells	Allogeneic Human Mesenchymal Stem Cell	Allogeneic Human Mesenchymal Stem Cells	Umbilical Cord Mesenchymal Stem Cell
Subjects enrolled	9	45	38	40	16
Dosage	Dose A – $3 \times 10^6$ cells per brain DOSE B – $6 \times 10^6$ cells per brain	Dose A – 3 intraventricular injections of 1 x $10^7$ cells Dose B – 3 intraventricular injections of 3 x $10^7$ cells	Dose $A - 20 x$ $10^6$ cells per peripheral intravenous infusion Dose $B - 100 x$ $10^6$ per peripheral intravenous infusion	1 intravenous injection of 1.5 x 10 <sup>6</sup> per kg of body weight	8 intravenous injection of 20 x 10 <sup>6</sup> cells

Table 4:	Clinicals	trials	in the	last	10 years
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One phase I clinical trial in 2011 conducted at Samsung Medical Center, South Korea evaluated the safety of using NEUROSTEM®-AD, which consists of human umbilical cord blood derived mesenchymal stem cells (Trial identifier: NCT01297218). In this trial 9 AD diagnosed patients were recruited and subjected to administration of NEUROSTEM®-AD into the hippocampus by stereotactic injection. 3 of these patients received low dose of NEUROSTEM®-

AD whilst the remaining 6 patients received high dose of NEUROSTEM®-AD. The patients were followed for 2 years and showed good tolerability without severe adverse side-effects [41]. In 2017 the Samsung Medical Center started the second phase clinical trial of this stem cell-based therapy to measure the efficacy of the treatment. It will be interesting to see clinical outcome of this trial, which is estimated to end in July 2019 (Trial

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identifier: NCT02054208). Similarly Longeveron LLC at United States has started a phase 1 clinical trial using allogeneic human mesenchymal stem cells (Trial Identifier: NCT02600130). This trial will recruit 25 subjects diagnosed with AD to investigate the safety and tolerability of the treatment. The trial participants will either receive high dose, low dose or placebo.

Moreover in the last 5 years 2 other stem cell based treatments have reached the phase II stage. One of the clinical trials is using mesenchymal stem cells and will assess the efficacy of the treatment (Trial Identifier: NCT02833792). This trial is expected to end in 2020. Likewise another Human Umbilical Cord-Derived Mesenchymal Stem Cells phase II trial is being conducted at South China Research Center for Stem Cell and Regenerative Medicine at China (Trial Identifier: NCT02672306). This study will evaluate the efficacy of the treatment and is expected to end in the last quarter of 2019.

## 5 Perspective

AD is one common form of dementia, affecting over 50 million people worldwide and placing a huge burden on society [1]. This neurodegenerative disease is well characterized by extreme atrophy in hippocampus and cerebral cortex due to neuronal death. At the moment the exact triggers that instigate the neuronal loss is controversial. There have been several hypotheses postulated; with the common ones being amyloid and tau hypotheses. There have been several novel treatments proposed agreeing with this hypothesis. Unfortunately the clinical trials showed no significant benefit or were terminated early because of ethical concerns with administering treatment to thousands of patients that are unlikely to work [11]. The failure of the clinical trials raises the following questions: is it time to completely abandon this hypothesis or shall we try to intervene at the earlier stages of the disease? If we want to intervene at the early stages of the disease, at the pre-symptomatic stage, we need to develop good biomarkers for the early phase of this disease.

Because of the failure of the clinical trials following the amyloid hypothesis has encouraged researchers to posit new ideas. One approach would be to promote neurogenesis by activating NSCs niches in SVG and DG of the brain. However neurogenesis drastically decreases with age and the rate of loss of neurons in AD is significantly more dramatic [36]. Also the upregulation of NSCs in SVG do not generate all neuronal subtypes and thus cannot repopulate pyramidal neurons of CA1, which is one of the neuronal subtypes affected in AD [42]. Therefore the rate of neurogenesis is unlikely to keep up with the rate of neuronal loss. Moreover in the later phases of AD the NSCs are not expected to survive therefore attempting to activate NSCs will not lead to any clinical benefit.

Another approach to treat AD would be exogenous repair, such as cell replacement therapy derived from stem cells. One source of stem cells are ESCs but the spontaneous propensity of ESCs to form teratocarcinomas and their ability to generate an immune response into the host necessitates caution for clinical use [43]. The issues of ESCs host rejection can be rectified by using an autologous therapeutic approach. In this method somatic cells are taken from the patient, reprogrammed into stem like state in vitro and then transplanted back into the patient. Furthermore iPSCs are less tumorigenic than ESCs because the mutations acquired during reprogramming are mostly benign [44]. However the AD risk genes that initially aggravates AD is likely to be present in the iPSCs derived cells and thus not actually curing the disease.

Before any of these novel treatments can be attempted on humans' researchers need to test them on animal models. Proof of concepts of these ideas have elicited encouraging results using ESCs as well as MSCs. Studies mentioned in this review have shown that stem cell treatments can improve learning and memory in rodents. However animal models used in these experiments obeyed amyloid hypothesis and therefore in my opinion do not fully recapitulate AD that is observed in humans.

In the last 10 year there have been several clinical trials registered for treating AD using stem cellbased therapy. Three have reached phase II where efficacy of the treatment is evaluated. It is too early to state whether stem cells will be routinely used in the clinic because none have reached stage III and IV yet and can still fail.

#### 6 Conclusion

Alzheimer's disease (AD) places a huge burden on the health agencies all of over the world. At the moment there is no cure for AD but it is theorized that cell replacement therapy is one potential mechanism of treating this disease. This review has explored several preclinical studies that showed that stem cell-based therapies improve cognition and memory in AD models. The impressive results from preclinical studies have paved the way for clinical trials. It is hoped that the information gained from these clinical trials will accelerate availability of stem cell-based therapies for all hospital patients suffering from AD.

#### 7 Competing Interest

The authors declared that no conflict of interest exist in this publication.

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