

Resistance in human pathogenic yeasts and filamentous fungi: prevalence, underlying molecular mechanisms and link to the use of antifungals in humans and the environment

Antifungal drug resistance in pathogenic fungi

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(V) Astvad KMT, Jensen RH, Hassan TM, Mathiasen EG, Thomsen GM, Pedersen UG, Christensen M, Hilberg O, Arendrup MC. 2014. First Detection of TR₄₆/Y121F/T289A and TR₃₄/L98H Alterations in *Aspergillus fumigatus* Isolates from Azole-Naive Patients in Denmark despite Negative Findings in the Environment. *Antimicrob. Agents Chemother.* 58:5096–101.

(VI) Jensen RH, Hagen F, Astvad KMT, Tyron A, Meis JF, Arendrup MC. 2016. Azole resistant *Aspergillus fumigatus* in Denmark: a laboratory based study on resistance mechanisms and genotypes. *Clin. Microbiol. Infect.* 22: 570.e1-9.

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LIST OF PAPERS

This PhD thesis is based on the following original papers

(I) Jensen RH, Johansen HK, Arendrup MC. 2012. Stepwise development of homozygous S80P substitution in *FKS1p* conferring echinocandin resistance in *Candida tropicalis*. *Antimicrob. Agents Chemother.* 57:614–7.

(II) Jensen RH, Justesen US, Rewes A, Perlin DS, Arendrup MC. 2014. Echinocandin failure case due to a yet unreported *FKS1* mutation in *Candida krusei*. *Antimicrob. Agents Chemother.* 58:3550–3552.

(III) Jensen RH, Astvad KMT, Silva LV, Sanglard D, Jørgensen R, Nielsen KF, Mathiasen EG, Doroudian G, Perlin DS, Arendrup MC. 2015. Stepwise emergence of azole, echinocandin and amphotericin B multidrug resistance in vivo in *Candida albicans* orchestrated by multiple genetic alterations. *J. Antimicrob. Chemother.* 70:2551–2555.

(IV) Jensen RH, Johansen HK, Søres LM, Lemming LE, Rosenvinge FS, Nielsen L, Olesen B, Kristensen L, Leitz C, Dzajic E, Kjaeldgaard P, Astvad KMT, Arendrup MC. 2016. Posttreatment antifungal resistance among colonizing *Candida* isolates in candidemia patients: results from a systematic multicentre study. *Antimicrob. Agents Chemother.* 60: 1500-08. *Notion: the dataset and presentation of data has been revised for this publication compared to the data presented in this thesis.*

ABBREVIATION LIST

Abbreviation	Stands for
DNA	Deoxyribonucleic acid
AA	Amino acid
SNP	Single nucleotide polymorphisms
Mutation	Corresponds to changes in the DNA
Alteration/change	Amino acid substitutions in the protein
GENE vs PROTEIN	The gene is <i>ITALICISED</i> while PROTEINS are not.
LOH	Loss of heterozygosity, the transition from heterozygous to homozygous of a single mutation or an entire gene/chromosome
GOF	Gain of function, relates to mutations, which renders a gene constitutively expressed
<i>FKS1</i> and <i>FKS2</i>	Genes encoding <i>FKS1</i> and <i>FKS2</i> , subunits of β -1,3-glucan synthase
<i>ERG11</i>	Gene encoding <i>ERG11</i> protein (lanosterol 14- α demethylase in <i>Candida</i>)
<i>ERG2</i>	Gene encoding <i>ERG2</i> , C8 isomerase
<i>ERG3</i>	Gene encoding <i>ERG3</i> , C5 desaturase
<i>ERG5</i>	Gene encoding <i>ERG5</i> , C22 desaturase
<i>ERG6</i>	Gene encoding <i>ERG6</i> , Δ [24] sterol C- methyltransferase
<i>CYP51A</i>	Gene encoding <i>CYP51A</i> (lanosterol 14- α demethylase in <i>Aspergillus</i>)
<i>MRR1</i>	Gene encoding <i>MRR1</i> a regulator of MDR genes
<i>MDR1</i>	Gene encoding the Major facilitator <i>MDR1</i> (drug efflux pump)

<i>CDR1</i>	Gene encoding <i>CDR1</i> ATP-binding cassette (ABC) transporter 1 (drug efflux pump)
<i>CDR2</i>	Gene encoding <i>CDR2</i> ATP-binding cassette (ABC) transporter 2 (drug efflux pump)
<i>TAC1</i>	Gene encoding Transcriptional activator of CDR genes
<i>UPC2</i>	Gene encoding <i>UPC2</i> a zinc cluster transcription factor (regulator of <i>ERG11</i>)
MLST	Multilocus sequence typing, genotyping method (most <i>Candida</i> spp.).
STRAF	Short Tandem Repeat <i>Aspergillus fumigatus</i> , genotyping method
Pseudo-outbreak	The occurrence of an increased number of positive tests in the laboratory, which does not correlate with clinical findings
ECDC	European Centre for Disease Control
EUCAST	European Committee for Antimicrobial Susceptibility Testing
MIC	Minimal inhibitory concentration
ECOFF	Epidemiological cut-off
AFST	Antifungal Susceptibility Testing
FLU	Fluconazole
VRC	Voriconazole
ITC	Itraconazole
POS	Posaconazole
AMB	Amphotericin B
CAS	Caspofungin
ANI	Anidulafungin
MICA	Micafungin

PART I: INTRODUCTION AND SCOPE

1.1 Drug resistance is associated with treatment failure

The emergence of drug resistant microbes is an inevitable drawback of drug exposure and a true illustration of Charles Darwin’s evolution concept “natural selection” [1]. It is drug-induced selection pressure, which eliminates susceptible microbes and allows survival of resistant strains rather than extinction. Thus, resistance is, for the organism, anything but futile and it is self-evident that when involved in microbial infections, drug resistance is highly undesirable and may contribute to treatment failure (Figure 1).

Increased resistance rates, limited therapeutic options and drug resistant microbes, evolved in the environment, displaying cross-resistance to clinical drugs further substantiates this as a serious public health concern [2].

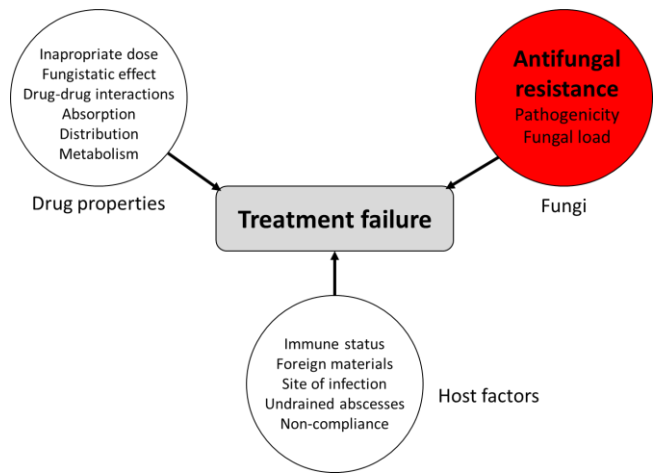


Figure 1. Three factors potentially contributing to treatment failure. When present, antifungal drug resistance may be a significant cause of treatment failure in patients suffering from severe fungal infections.

1.2 Conceptual understanding, antifungal drugs and resistance

The microbes studied in this thesis belong to the *Ascomycetes*, which comprise the most significant fungal pathogens causing critical invasive infections in immunocompromised patients [3, 4]. Treatment of such fungal infections is done by either (or a combination) of the three major antifungal drug classes; azoles, echinocandins and polyenes. Resistance to one drug class clearly challenges treatment due to the limited therapeutic options. Two general terms of resistance will be clearly defined; intrinsic resistance (also known as primary resistance) and acquired resistance (secondary resistance) [5]. Intrinsic resistance is on species-level where certain fungal species display inherited reduced susceptibility to a drug class (Figure 2).



Figure 2. Intrinsic resistance. Left, arbitrary scenario of a polyfungal population consisting of five different species; A, B, C, D and E. A is susceptible to all drug classes, while B is resistant to drug class 1, C is resistant to drug class 2, D is resistant to drug class 3 and E is multidrug resistant. Right, real life panel of species with reduced susceptibility to either of three antifungal drugs. *Candida auris* may display inherently reduced susceptibility to all three antifungals [6].

On the other hand, exposing a susceptible fungus to an antifungal drug can eventually lead to the acquisition of resistance (Figure 3), thus within a susceptible population; one resistant mutant evolves and survives (scenario I). Another route is that within a population, one resistant mutant has spontaneously evolved (scenario II) and antifungal exposure enables this mutant to proliferate rather than the wild-type siblings. However, antifungal resistance often comes with a fitness cost, thus in the absence of an antifungal selection pressure, this mutant will likely vanish from the population (scenario III). Still, in some cases, as we shall see for *Aspergillus fumigatus*, some mutants are equally fit and will persist along with wild-type isolates unaffected by the presence or absence of antifungal selection (scenario IV).

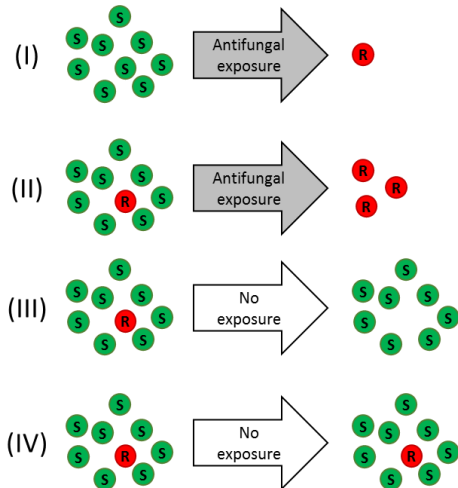


Figure 3. Resistance selection. Acquired drug resistance upon selection and equivalent events when selection is abolished. Stable resistant mutants may rarely occur, which are able to proliferate along with wild-type siblings even in the absence of antifungal exposure.

The underlying molecular mechanisms responsible for resistance depends on the antifungal drug class, to which resistance is observed, and this is tightly correlated to the different modes of actions.

1.2.1 Azoles, mode of action

Clinical azoles is the largest drug class in the management of fungal infections, and they act intracellularly by binding and inhibiting a key enzyme in the ergosterol pathway; lanosterol 14- α -demethylase a cytochrome P450 enzyme (named *ERG11* or *CYP51A* depending on the fungus) (Figure 4) [7]. Ergosterol is the main stabilising component in the fungal cell membranes and thus, an obstruction of the ergosterol synthesis pathway leads to cell membrane stress and growth inhibition [8]. There are several azoles in play, where fluconazole is mainly used for the treatment of *Candida* infections, second generation triazoles such as voriconazole, itraconazole, posaconazole and isavuconazole are primarily used for mould infections [9, 10].

1.2.2 Echinocandins, mode of action

Caspofungin, anidulafungin and micafungin are the current licensed echinocandins used and serve as first-line therapy of invasive *Candida* infections [9]. While primarily fungicidal against yeasts, echinocandins are fungistatic against moulds where they inhibit the growing tips of the hyphae [11]. Echinocandins act by interfering with a subunit of the membrane integrated β -1,3-glucan synthase (*FKS1*) and thereby inhibiting the synthesis of β

1,3 glucans, which are a major component of the fungal cell wall (Figure 4) [12]. This mode of action may explain the effect of echinocandins in the treatment of *Candida* biofilm where the major component in the extracellular matrix is β -1,3-glucans [13].

1.2.3 Polyenes, mode of action

Amphotericin B (AMB) and nystatin are the two licensed polyenes in Denmark, AMB for the treatment of invasive fungal infections and the latter for topical use. AMB acts by binding of ergosterol in the cell membrane leading to membrane instability through sequestering and pore formation, which results in cell death (Figure 4). AMB comes in several lipid formulations but may still be associated with some toxicity primarily due to cross-reaction to human cholesterol (structurally similar to ergosterol) [14]. The drug is acknowledged to show high efficiencies against disseminated fungal infections and is superior in the management of rare fungal infections (e.g. mucormycosis) due to the broad spectrum of action [15, 16].

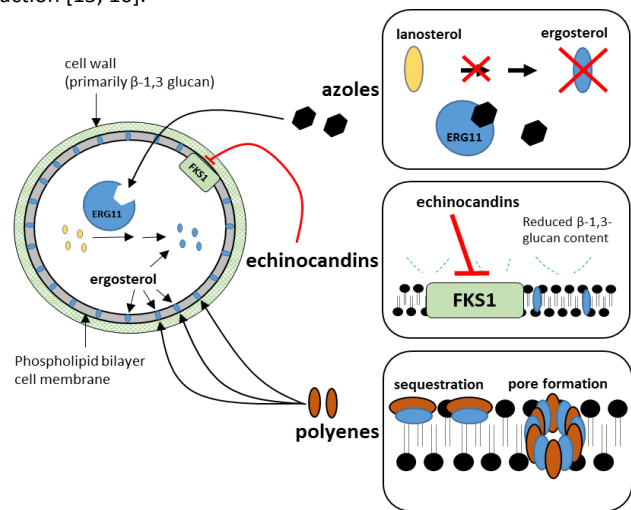


Figure 4. Mechanisms of the three antifungal drug classes. Azoles inhibit *ERG11* and the ergosterol biosynthesis. Echinocandins inhibit *FKS1* and thereby the synthesis of cell-wall β -1,3 glucan and finally polyenes bind ergosterol causing cell membrane instability through sequestration and pore formation.

Structures of the primary antifungal drugs are provided in supplementary reading (S.1 Antifungal drug structures). Each drug displays different pharmacodynamics and pharmacokinetics and although such attributes have been carefully scrutinised, the therapeutic management of a given infection still requires consideration of other parameters, such as the site of infection, severity of infection as well as the infectious agent [9, 10, 17]. Biochemical tests such as serum concentration assays for the mould active azoles enable close monitoring of the drug levels in the blood and ensure that the recommended concentrations are reached [18]. The importance of this is underlined by the fact that sub-optimal concentrations may enable resistance development and lead to clinical failure while too high levels may often be associated with toxicity. Moreover, the site of infection may limit the accessibility of the drug and indeed the abdominal reservoir has been shown to be a niche for resistance development to echinocandins [19]. Undoubtedly, positive cultures of the infectious agent remains invaluable for the optimal therapeutic management because susceptibility testing of the organism becomes available.

1.2.4 Susceptibility testing, breakpoints and interpretation of resistance

Several in vitro assays have been developed in order to test the susceptibility of an organism provided as the minimal inhibitory concentration (MIC); the concentration of a drug, which is required to kill or inhibit growth of the fungus. The subgroup Antifungal Susceptibility Testing (AFST) of the European Committee for Antimicrobial Susceptibility Testing (EUCAST) has established international reference protocols in order to normalise the methodology by which susceptibility is measured. Furthermore, EUCAST has set forth a species-specific approach for the most prevalent pathogenic yeasts (E.Def 7.2) [20] and moulds (E.Def 9.2) [21] and established clinical breakpoints. Such breakpoints can be used to determine whether an organism is susceptible (S), intermediate (I) or resistant to a drug, which in turn may be translated to clinical susceptibility. Susceptibility testing of wild-type populations results in a normal distribution of the MIC data as illustrated in Figure 5 and illustrate the abovementioned definitions of susceptibility.

Two steps above the modal MIC is often (but not always) defined as the epidemiological cut-off (ECOFF) value and although it may not translate to the clinical breakpoints, ECOFFs may be carefully applied in the absence of established breakpoints. Isolates classified as resistant should be treated with an alternative drug class [9, 10]. In this thesis, susceptibility was performed by the EUCAST methodology and interpreted with EUCAST breakpoints or

ECOFFs as provided in Table 1 (adapted from http://www.eucast.org/clinical_breakpoints). The CLSI breakpoints were applied for E-test susceptibility testing and indicated when used [22, 23].

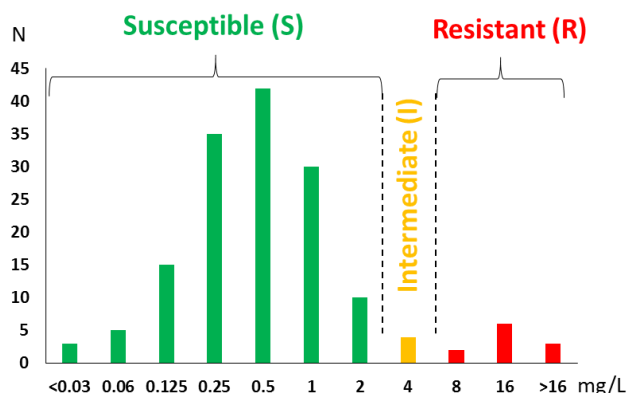


Figure 5. Fluconazole MICs for *Candida albicans*. The X-axis defines the MIC values and illustrates the three classifications susceptible (S), intermediate (I) and resistant (R). This indicates a normal distribution, and shows the intermediate step and MIC concentrations where the organism is regarded resistant. The breakpoint provided here corresponds to the suggested fluconazole breakpoint by EUCAST for *C. albicans*.

Table 1. Applied EUCAST breakpoints for the discrimination of susceptible and resistant isolates.

Species	MIC breakpoints (mg/L)															
	FLU		VRC		ITC		POS		ANI		MICA		CAS		AMB	
	S ≤	R >	S ≤	R >	S ≤	R >	S ≤	R >	S ≤	R >	S ≤	R >	S ≤	R >	S ≤	R >
<i>C. albicans</i>	2	4	0.12	0.12	0.06	0.06	0.06	0.06	0.03	0.03	0.016	0.016	NE	NE	1	1
<i>C. glabrata</i>	0.002	32	NE	NE	NE	NE	NE	NE	0.06	0.06	0.03	0.03	NE	NE	1	1
<i>C. krusei</i>	R	R	NE	NE	NE	NE	NE	NE	0.06	0.06	0.25 ²	NE	0.25 ¹	0.5 ¹	1	1
<i>C. tropicalis</i>	2	4	0.12	0.12	0.12	0.12	0.06	0.06	0.06	0.06	0.03 ²	NE	0.25 ¹	NE	1	1
<i>A. fumigatus</i>	R	R	1	2	1	2	0.12	0.25	NE	NE	NE	NE	NE	NE	1	2

FLU, fluconazole; VRC, voriconazole; ITC, itraconazole; POS, posaconazole; ANI, anidulafungin; MICA, micafungin; CAS, caspofungin; AMB, amphotericin B. R, resistant; NE: not established.

¹Revised CLSI breakpoints used for *C. tropicalis* in Paper I and *C. krusei* in Paper II.

²The applied breakpoints were not established by EUCAST. Arguments for the chosen breakpoints were described in Paper I and Paper II for *C. tropicalis* and *C. krusei*, respectively.

1.3 Ploidy and pathogenicity

The organisms studied here are a heterogeneous population both in terms of ploidy (number of sets of chromosomes in the cells), pathogenicity and intrinsic susceptibility, which is illustrated in Figure 6 [18, 24–26]. Assessment of heterozygosity in diploid organisms was carried out based on scrutinised interpretation of Sanger sequencing results and have been further illustrated in supplementary reading (S.2 Sequence interpretation and ploidy).

1.4 Scope and structure of the thesis

In Denmark, acquired antifungal resistance has been a rare phenomenon both in the Danish fungaemia programme (initiated in 2003) and among *Aspergillus* infections [18, 27]. Still, the lack of susceptibility testing and/or referral of isolates may have contributed to an underestimation of this extent. Despite receiving increased worldwide attention, little was known in Denmark and thus, elucidating the Danish antifungal resistance epidemiology

seemed warranted. Accordingly, we set forth to investigate the prevalence and underlying molecular mechanisms of antifungal resistance among the most clinically relevant fungal yeast (*Candida* species) and mould (*Aspergillus fumigatus*) in Denmark. Moreover, for *A. fumigatus* to draw a link to environmentally derived resistance and finally to discuss the aspects of these apparent concerns. This thesis is divided into four sections focusing on:

- Part I: Background
 - Provide a conceptual understanding of antifungal drugs and resistance.
- Part II: Resistance in *Candida*
 - Describe the underlying molecular resistance mechanisms in *Candida* supported by case studies.
 - Investigate the prevalence of resistance in colonising *Candida* among *Candidaemia* patients post treatment.

- Part III: Resistance in *A. fumigatus*
 - Outline the current situation on azole resistance in *Aspergillus fumigatus* in Denmark.
 - Describe azole resistance in *A. fumigatus* potentially derived from environmental fungicide use.
- Part IV: Discussion
 - Evaluate the impact of these findings and reflect on future research needs related to the field of invasive fungal infections.

Paper I illustrated the two-step genetic event leading to echinocandin resistance in *Candida tropicalis*. Paper II described an intrinsically fluconazole resistant *Candida krusei* with acquired echinocandin resistance.

Paper III presented a clinical case with a gradual development of multidrug resistance in a series of clinical *C. albicans* isolates and sought to describe the complex genetic resistance mechanisms. Paper IV investigated the prevalence of antifungal resistance among colonising *Candida* isolates in *Candidaemia* patients exposed to antifungal drugs.

Paper V presented fatal cases involving azole resistant *A. fumigatus* possibly derived from the environment. Paper VI sought to clarify the current resistance epidemiology of clinical and environmental *A. fumigatus* isolates in Denmark and studied accumulated genotyping data in relation to the potential of clonal expansion.

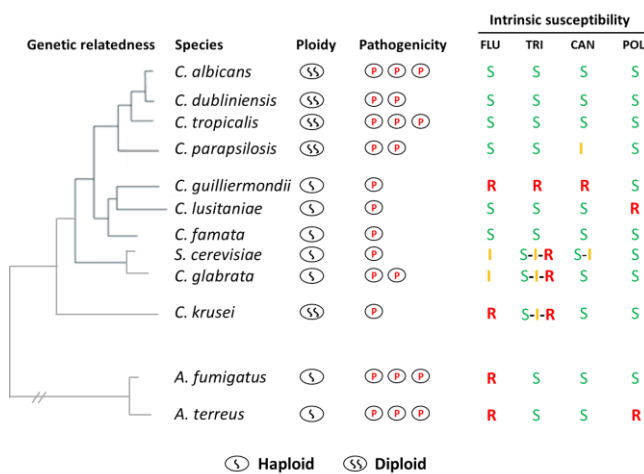


Figure 6. Characteristics of important fungal pathogens. Ploidy of the organisms as well as the level of pathogenicity and intrinsic susceptibility patterns of each wild-type population is shown. FLU, fluconazole, TRI, triazoles, CAN, echinocandins and POL, polyenes.

PART II: RESISTANCE IN THE OPPORTUNISTIC YEAST PATHOGEN *CANDIDA*

2.1 *Candida* epidemiology

Most fungal bloodstream infections are caused by Saccharomyces yeasts *Candida* species, which are commensals of the human body primarily residing at mucosal surfaces such as the oral cavity, gastrointestinal tract and the vagina [18]. Risk factors for acquiring a *Candida* bloodstream infection (*Candidaemia*) include surgery (especially those of the gastrointestinal tract), immunosuppression, haematological malignancies and introduction of foreign material (catheters and prostheses, which enable biofilm formation) [28]. The mortality rate of *Candidaemia* is in the range

of 30-40 % although the attributable mortality rates may be lower [29]. Several studies have documented that catheter removal and early initiation of antifungal treatment significantly increased survival rates in patients suspected with *Candidaemia* [30]. The Danish fungaemia surveillance network managed by the Mycology Unit at Statens Serum Institut monitors the epidemiology of fungal bloodstream infections in Denmark. Around 500 cases have been found annually corresponding to an incidence of 10/100,000) with about 98% caused by *Candida* species [31]. Obviously, knowledge on national epidemiology is essential in order to issue relevant therapeutic guidelines and in Denmark, the epidemiology has gradually shifted over the last decade. Thus, the intrinsically susceptible *Candida albicans* accounts for the majority 50% of all cases, while *Candida glabrata*, intrinsically less susceptible to fluconazole, has risen to approximately one third of all cases (Figure 7) [18].

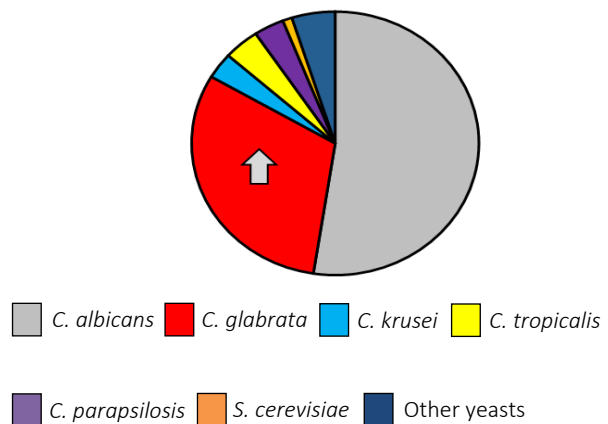


Figure 7. *Candidaemia* species distribution over a 12-month period.

A total of 471 *Candida* isolates were collected from *Candidaemia* patients over a 12-months period in 2013-2014. This distribution is only a close approximation of the current *Candidaemia* species distribution as some isolates from 2014 were referred with delay and not included here. Arrow indicates an increasing prevalence of *C. glabrata* over recent years.

The diagnosis of invasive candidiasis relies primarily on a positive blood culture, although clinical manifestations combined with several biomarker assays and microscopy, collectively support such diagnosis [18]. Still, molecular methods are increasingly acknowledged as a rapid and efficient alternative, because it targets DNA and pose superior sensitivity compared to the low-sensitive culturing [32, 33]. Certainly, the timing of diagnosis is correlated to outcome and rapid tests may improve the prognosis of such patients. Moreover, species identification plays an important role due to the large variations in susceptibility and the increasing prevalence of species less susceptible to fluconazole. The changing epidemiology as well as superior efficiencies, recent guidelines in Denmark and other countries with similar epidemiology have altered first-line therapy to echinocandins [31, 34]. This however, is associated with other concerns because resistance to this drug class is notorious to rapidly emerge during echinocandin treatment [35].

2.2 Echinocandin resistance and FKS variations in *Candida* (Paper I-II)

Both intrinsic and acquired resistance to echinocandins have almost solely been linked to variations of two specific hot-spot

regions of the *FKS1* protein [13, 36]. In *C. glabrata* and *Saccharomyces cerevisiae*, *FKS2* is a homologous gene in which, especially for *C. glabrata*, mutations have also been shown to confer echinocandin resistance [37]. Despite that the crystal structure remains to be solved, in silico hydrophobicity analysis of the *FKS1* protein sequence has been performed and the proposed transmembrane protein is illustrated in Figure 8 [37]. The location of the two hot spots indicated in the figure may not be exact but it does suggest the external location of the two *FKS1* hot spots and thus that the echinocandins do not enter the cell [38]. This may explain the absence of drug-efflux related resistance mechanisms for the echinocandins.

Thus, intrinsic or acquired variations of the hot spot regions lead to structural changes of *FKS1*, some of which reduce echinocandin affinity. Selection for echinocandin resistance in vivo has been demonstrated for several *Candida* species including *C. albicans* [39–43], *C. glabrata* [43–47] and *C. krusei* [43, 48, 49] and Table 2

provides an overview of amino acids in *FKS1* and *FKS2* associated with resistance in different *Candida* species.

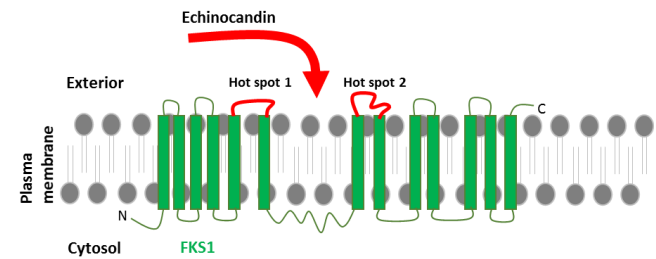


Figure 8. Proposed structure of the *FKS1* transmembrane protein. The transmembrane helices are shown as green barrels and the suggested hot spot regions coloured red. One study has suggested a third hot spot near and downstream of hot spot 1 but the actual role of this region in relation to echinocandin susceptibility is not fully elucidated [37].

Table 2. *FKS* hot spot overview of *Candida* species. Amino acid (AA) sequence of *FKS1* and *FKS2* hot spots in relevant *Candida* species in relation to echinocandin resistance updated from [50]. Species with documented acquired AA variants associated with echinocandin resistance are listed first followed by species with intrinsic AA variants potentially involved in reduced echinocandin susceptibility.

Species (FKS)	EUCAST BP ^E mg/L	FKS1 and FKS2 amino acid sequences		References
		Hot spot 1 (FLTSLRDP)	Hot spot 2 (DWIRRYTL)	
<i>C. albicans</i> (FKS1)	0.03	641- FLT <u>SLRDP</u>	1357-D WIRRY TL	[51–54]
<i>C. glabrata</i> (FKS1)	0.06	625- FLI <u>SLRDP</u>	1340-D WVRRY TL	[52, 55, 56]
<i>C. glabrata</i> (FKS2)	0.06	659- FLI <u>SLRDP</u>	1374-D WIRRY TL	[52, 55–57]
<i>C. krusei</i> (FKS1)**	0.06 [#]	655- FLI <u>SLRDP</u>	1364-D WIRRY TL	[58–62]
<i>C. tropicalis</i> (FKS1)*	0.06	76- FLT <u>SLRDP</u>	792-D WIRRY TL	[55, 60, 63, 64]
<i>C. dubliniensis</i> (FKS1)	0.03	641- FLT <u>SLRDP</u>	1357-D WIRRY TL	[65], this study
<i>C. lusitanae</i> (FKS1)*	(0.06)	634- FLT <u>SLRDP</u>	NA*-D WIRRY TL	[66], this study
<i>C. kefyri</i> (FKS1)*	(0.03)	54- FLT <u>SLRDP</u>	769-D WVRRY TL	[67, 68], this study
<i>C. parapsilosis</i> (FKS1)	4	652- FLT <u>SLRDA</u>	1369-D WIRRY TL	[69]
<i>C. metapsilosis</i> (FKS1)*	(4)	104- FLT <u>SLRDA</u>	821-D WIRRY TL	[69]
<i>C. orthopsilosis</i> (FKS1)*	(4)	39- FLT <u>SLRDA</u>	756-D WVRRY TL	[69]
<i>C. guilliermondii</i> (FKS1)	(4)	632- FMA <u>SLRDP</u>	1347-D WIRRY TL	[51]
<i>S. cerevisiae</i> (FKS1)	(1)	639- FLV <u>SLRDP</u>	1353-D WVRRY TL	[37, 70, 71]
<i>S. cerevisiae</i> (FKS2)	(1)	658- FLI <u>SLRDP</u>	1372-D WVRRY TL	[37, 70, 71]
<i>C. lipolytica</i> (FKS1)	NA	662- FLI <u>SLRDP</u>	1387-D WIRRCV L	[69]

Intrinsic or acquired amino acid (AA) variants in association with echinocandin susceptibility are in bold colour font:

X "strong R", associated with high resistance when altered. Involves stop codons and amino acid deletions.

X "weak R", medium or little impact on susceptibility when altered.

X natural AA variant associated with intrinsic resistance.

X natural AA variant with no suspected effect on susceptibility.

X natural AA variant with unknown effect on susceptibility.

EBreakpoints or ECOFFs are indicated. ECOFFs based on MICs of Danish blood isolates, peak MIC + 2 dilution steps.

Underlined amino acids have been discovered as variants associated with resistance in Danish clinical isolates.

*Accurate annotation remains unavailable.

**F645L and L701M outside hot-spot 1 are suggested to affect echinocandin susceptibility in *C. krusei*.

[#]micafungin (but not anidulafungin) ECOFF elevated for *C. krusei* (0.25 mg/L) compared to *C. albicans* (0.015 mg/L) and *C. glabrata* (0.03 mg/L).

As indicated in the table above, *C. parapsilosis*, *C. metapsilosis*, *C. orthopsilosis* and *C. guilliermondii* all harbour intrinsic *FKS1* variants, which have been shown to be responsible for intrinsic reduced echinocandin susceptibility [69]. Multiple *FKS1* changes have been detected and especially the amino acid corresponding to S645 in *C. albicans* is prone to alterations leading to significant echinocandin resistant phenotypes. Yet, resistance to echinocandins may come with a fitness cost because the altered *FKS1*

protein in turn can display reduced catalytic activity and thus reduced biosynthesis of the cell wall components [72]. Among the total of 45 Danish echinocandin resistant clinical isolates accumulated since 2008 (Table 3), *C. glabrata* accounted for 56% (25/45) of all echinocandin resistance cases, while *C. albicans* only comprised 16% (7/45). These numbers contrast the prevalence in the *Candidaemia* settings where *C. glabrata* only constitutes one third.

Table 3. FKS profiles of Danish clinical *Candida* with reduced echinocandin susceptibilities.

Patient ID	Species	Specimen	Date	EUCAST(and Etest MICs (mg/L))					FKS hot spot mutations
				ANI	MICA	VOR	FLU	AMB	AA substitution (no. in <i>C. albicans</i>)
SSI-OV-30	<i>C. albicans</i>	Oral swab	14.11.13	0.03	0.03	≤0.03	≤0.125	0.5	F641L
SSI-OV-56	<i>C. albicans</i>	Blood	18.2.15	0.25	1	≤0.03	≤0.125	0.125	S645P
SSI-OV-8	<i>C. albicans</i>	Urine cath.	3.6.14	0.5	>1	≤0.03	0.5	0.5	S645P
SSI-OV-20	<i>C. albicans</i>	Colon	06.5.11	0.5	na	0.125	≥16	>32	S645P ^H /V661F ^{H***}
SSI-OV-18	<i>C. albicans</i>	Oral swab	29.4.14	0.06	0.25	≤0.03	2	0.25	R647G
SSI-OV-38	<i>C. albicans</i>	Oral swab	29.8.13	0.125	0.06	≤0.03	≤0.125	0.38	D648V
SSI-OV-57	<i>C. albicans</i>	Blood	3.9.14	0.06	0.06	≤0.03	≤0.125	0.38	R1361H
SSI-OV-50	<i>C. dubliniensis</i>	Blood	27.7.8	0.125	na	≤0.03	≤0.125	0.02	F641S (F641) ^{****}
SSI-OV-41	<i>C. dubliniensis</i>	Blood	20.11.8	0.5	na	≤0.03	≤0.125	0.25	S645P (S645)
SSI-OV-26	<i>C. glabrata</i>	Oral swab	31.5.13	0.125	0.015	≤0.03	1	1	F659L (F641)
SSI-OV-20	<i>C. glabrata</i>	Oesoph.	25.2.11	0.125	na	4	>16	0.5	F659L (F641)
SSI-OV-27	<i>C. glabrata</i>	Blood	24.8.12	0.125	0.03	4	>16	0.03	F659S (F641)
SSI-OV-51	<i>C. glabrata</i>	Blood	5.2.9	0.50	na	0.25	8	2	F659S (F641)
SSI-OV-37	<i>C. glabrata</i>	Blood	9.9.14	0.25	0.06	≤0.03	0.25	0.25	F659C (F641)
SSI-OV-1	<i>C. glabrata</i>	Blood	6.8.11	0.125	0.06	2	>16	0.5	F659-DEL (F641)
SSI-OV-49	<i>C. glabrata</i>	Blood	30.5.13	0.125	0.125	2	>16	0.5	F659-DEL (F641)
SSI-OV-46	<i>C. glabrata</i>	Blood	3.12.12	0.25	0.25	0.125	4	0.5	F659-DEL (F641)
SSI-OV-11	<i>C. glabrata</i>	Oral swab	29.8.13	0.5	1	0.25	8	0.5	F659-DEL (F641)
SSI-OV-9	<i>C. glabrata</i>	Blood	30.4.13	>1	>1	0.5	16	0.25	F659-DEL/L712-STOP (F641/L728)
SSI-OV-35	<i>C. glabrata</i>	Trach	21.12.11	2	na	4	>16	0.5	S629P (S645)
SSI-OV-39	<i>C. glabrata</i>	Blood	29.6.12	0.03	0.125	≤0.03	2	0.5	S663F (S645)
SSI-OV-55	<i>C. glabrata</i>	CVC-tip	31.10.14	0.125	0.06	0.125	8	0.5	S663P (S645)
SSI-OV-22	<i>C. glabrata</i>	Oral swab	23.1.14	0.5	0.125	2	>16	0.5	S663P (S645)
SSI-OV-10	<i>C. glabrata</i>	Oral swab	24.10.13	0.5	0.25	0.06	4	0.5	S663P (S645)
SSI-OV-40	<i>C. glabrata</i>	Blood	23.7.13	0.25	0.5	2	>16	0.125	S663P (S645)
SSI-OV-42	<i>C. glabrata</i>	Trach.	14.2.14	0.25	0.5	0.125	4	0.5	S663P (S645)
SSI-OV-1	<i>C. glabrata</i>	Blood	6.8.11	0.5	0.5	4	>16	0.5	S663P (S645)
SSI-OV-15	<i>C. glabrata</i>	Oral swab	9.12.13	1	1	1	>16	1	S663P (S645)
SSI-OV-29	<i>C. glabrata</i>	Oral swab	22.4.15	1	1	0.125	8	0.125	S663P (S645)
SSI-OV-16	<i>C. glabrata</i>	Blood	23.9.14	>1	>1	2	>16	1	S663P (S645)
SSI-OV-39	<i>C. glabrata</i>	Blood	12.4.13	1	1	≤0.03	2	1	S663F/L630Q (S645/L646)
SSI-OV-24	<i>C. glabrata</i>	Blood	23.8.14	0.125	0.06	1	>16	0.5	D666E (D648)
SSI-OV-2	<i>C. glabrata</i>	Blood	17.10.12	0.25	0.03	0.125	8	0.5	P667T (P649)
SSI-OV-53	<i>C. glabrata</i>	Blood	28.2.15	0.03	0.06	4	>16	0.25	K1357M (V1340)
SSI-OV-13	<i>C. krusei</i>	Blood	16.8.13	>1	>1	0.25	>16	0.5	D662Y (D648) ^{**}
SSI-OV-21	<i>C. krusei</i>	BAL	17.12.14	0.06	0.125	0.125	>16	0.5	L701M (L687)
SSI-OV-5	<i>C. krusei</i>	Blood	30.10.14	0.125	0.125	0.5	>16	0.5	L701M (L687)
SSI-OV-48	<i>C. krusei</i>	Blood	21.11.13	0.125	0.125	0.5	>16	1.5	L701M (L687)
SSI-OV-4	<i>C. krusei</i>	Blood	2.1.15	0.125	0.25	0.25	>16	0.125	L701M (L687)
SSI-OV-52	<i>C. krusei</i>	Oral swab	25.6.13	0.125	0.25	1	>16	1	L701M (L687)
SSI-OV-23	<i>C. tropicalis</i>	Blood	4.11.12	0.125	0.06	0.06	1	0.5	F76L (F641)
SSI-OV-44	<i>C. tropicalis</i>	Blood	12.2.12	0.5	2	≤0.03	≤0.125	1	S80P (S645)
SSI-OV-25	<i>C. tropicalis</i>	Oral swab	1.4.11	0.5	>1	0.125	2	1	S80P (S645) [*]
SSI-OV-17	<i>C. lusitaniae</i>	Urine cath.	20.5.15	>1	>1	≤0.03	0.25	0.03	S638F (S645)
SSI-OV-45	<i>C. kefyr</i>	Blood	15.11.14	>1	>1	≤0.03	0.5	1	S645L/I1347L/V1330I ^{****} (S645)

^HHeterozygous variant.

^{*}Presented in Paper I

^{**}Presented in Paper II

^{***}Presented in Paper III

^{****}to our knowledge, first description in this species and potentially conferring echinocandin resistance

The high occurrence of FKS mutants in *C. glabrata* indicated a strong capacity of this species to acquire echinocandin resistance. Furthermore, the amino acid corresponding to S645 in *C. albicans* was the target of 44% (20/45) of all detected FKS variants associated with resistance and F641 accounted for 29% (13/45) (Figure 9).

As indicated in Table 3, a few specific cases were presented individually in Paper I-III. In Paper I [64], three *C. tropicalis* isolates were obtained from a patient with acute lymphoblastic leukaemia obtained within 9 weeks of caspofungin treatment. The first isolate was susceptible, while the second and third isolates were echinocandin resistant (Table 4). Multilocus sequence typing

(MLST) indicated genetic relatedness [73] and *FKS1* sequencing showed a gradual development of a homozygous mutation, which led to the AA substitution S80P corresponding to S645 in *C. albicans*.

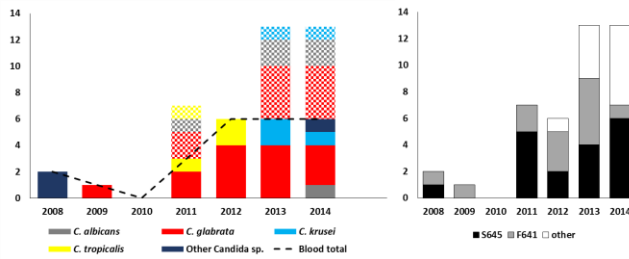


Figure 9. Historical representation of *FKS* variants in Danish *Candida* isolates since 2008. Y-axis, number of isolates. Left panel illustrates the number of isolates with acquired *FKS* mutations. Colours represents species, chequered patterns are isolates not obtained from blood and the broken line indicates the number of *FKS* mutants among blood isolates. Right panel illustrates the number of isolates with AA loci, which have been altered represented by the two most frequent sites corresponding to S645 and F641 in *C. albicans* and other.

Table 4. *Candida tropicalis* isolate overview, Paper I. Origins, resistance mechanisms, genotypes and susceptibility data (reproduced with permission from the publisher ASM).

Isolate*	Collection date (day.mo.yr)	<i>FKS1</i> Resistance mechanism	Allelic profiles according to the pubMLST database (<i>ICL1-MDR1-SAPT2-SAPT4-XYR-ZWF</i>)	MIC (mg/L) ^a						
				EUCAST (EDef 7.1)					Etest	
				POS	ANI	VRC	ITC	FLU	AMB	CAS
#1 ^{BC}	19.12.10	WT	16-20-4-10-25-5	≤0.03	≤0.03	≤0.03	0.06	1	0.50	0.125
#2 ^{BC-H}	5.03.11	S80S/P	16-20-4-10-25-5	≤0.03	0.25	≤0.03	≤0.03	0.25	0.50	>32
#3 ^{CO}	18.03.11	S80P	16-20-4-10-25-5	0.25	0.5	0.125	0.125	2	1	>32
REF-1 ^b	8.07.10	WT	1-7-4-6-2-4	≤0.03	≤0.03	≤0.03	≤0.03	≤0.125	1	N/A
REF-2 ^b	23.01.11	WT	1-3-1-7-2 (99.7%) ⁻¹	≤0.03	≤0.03	≤0.03	0.125	0.5	0.5	0.125

*origin of sample. BC, blood culture; BC-H, Blood culture obtained via an intravenous Hickman catheter; CO, Cavum oris.

WT, wild-type.

aANI, anidulafungin; MICA, micafungin; POS, posaconazole; VRC, voriconazole; ITC, itraconazole; FLU, fluconazole; AMB, amphotericin B; CAS, caspofungin.

bSusceptible reference isolate from unrelated patient included for comparison.

The S80S/P variant (heterozygous) was described previously in association with echinocandin resistance [63, 74] but the step-wise in vivo development of the S80P variant (homozygous) had to our knowledge not been shown before. The homozygous mutation could be associated with fitness costs as observed for *C. albicans* [72]. Yet, a potentially higher level of resistance for a homozygous variant, also seen in *C. albicans* [52, 75] could ultimately explain, why this loss-of-heterozygosity (LOH) did occur [76].

In Paper II [59], a breakthrough infection of a highly echinocandin resistant *C. krusei* isolate was presented. The resistant isolate harboured a novel *FKS1* variant D662Y, corresponding to D648Y in *C. albicans* [60], from a patient previously exposed to fluconazole (2 months) and caspofungin (14 days). The patient died on day 25 from cerebral infarction and fungal infection. The most prominent finding was the relatively strong impact, which this amino acid substitution may have had on echinocandin susceptibility in comparison with the equivalent variant found in *C. albicans* (Table 5).

Table 5. Strain representation from the *C. krusei* study. Species, *FKS1* profiles and echinocandin susceptibility data for the *C. krusei* isolate and relevant reference isolates (reproduced with permission from the publisher ASM)

Isolate #	Species	MICs (mg/L) and susceptibility*					<i>FKS1</i> hot spot 1 AA no.-sequence
		EUCAST		Etest			
		Anidulafungin	Micafungin	Caspofungin			
ATCC6258	<i>C. krusei</i>	0.03 S	0.125 WT	0.5 I		655-FLILSIRD P	
CPH-T5842	<i>C. krusei</i>	>1 R (≥5)	>1 non-WT (≥3)	16 R (6)		655-FLILSIRYP	
CPH-T53911	<i>C. albicans</i>	0.008 S	0.008 S	0.125 S		641-FLTLSLRDP	
DPL-1012	<i>C. albicans</i>	0.06 R (1)	0.06 R (2)	1 R (2)		641-FLTLSLRYP	

*Dilution steps above clinical breakpoints (anidulafungin and caspofungin) or ECOFF (micafungin) are provided in parenthesis. S, susceptible; I, intermediate; R, resistant; WT, wild-type MIC.

The intrinsic amino acid (AA) isoleucine (I660) uniquely found in the *C. krusei* *FKS1* hot spot region 1 is underlined and the *FKS1* substitution is bold.

Similarly to *C. albicans*, the corresponding D632Y substitution in *FKS1* of *C. glabrata* was shown to confer discrete echinocandin MIC elevations [77, 78]. Yet, since an isogenic wild-type suscepti-

ble *C. krusei* isolate was not available, it remains to be confirmed whether this single D662Y substitution was solely responsible for the observed high level echinocandin resistance in *C. krusei*.

Indeed, the wild-type population of *C. krusei* isolates does display higher echinocandin MICs, most pronounced for micafungin, compared to *C. albicans*, which could potentially be related with the intrinsic amino acid variation I660, unique for *C. krusei* (confer Table 2). It is acknowledged however, that echinocandin resistance depends both on *FKS1* genotype as well as species, which emphasises the therapeutic challenges when encountering acquired resistance.

While echinocandin resistance remains primarily coupled to changes of *FKS1* and *FKS2*, azole and polyene resistance mechanisms in *Candida* are more complex [79, 80].

2.3 Azole resistance in *Candida* is often multifaceted

There are four cellular mechanisms, which have been described to be responsible for azole resistance either solely or in interplay and potentially triggered by the stress response protein Hsp90 (Figure 10) [81, 82].

- (I) Genetic mutations in the gene encoding *ERG11*, which results in amino acid changes and thus an altered protein structure reducing azole drug affinity [83].
- (II) Overexpression of *ERG11*, which results in more *ERG11* proteins and thus higher concentration of the drug is required for inhibition [84].
- (III) Increased azole export by upregulated drug efflux transporters *MDR1*, *CDR1* and *CDR2* [85].
- (IV) Bypass of the *ERG11* dependent sterol pathway enabled by *ERG3* inactivation (loss-of-function) is a fourth but less common mechanism [86–88].

For resistance mechanism (I), numerous reports have associated amino acid changes in *ERG11* with azole resistance (e.g. A61, Y132, T229, G307, S405, G450 and I471), and the list is continuously expanding [83, 90–93]. Significant amino acid sites have been shown independently or in combination to be associated with reduced fluconazole and/or pan-azole susceptibilities when altered [83]. Still, not all AA substitutions have been validated genetically but a recent study solved the crystal structure of *ERG11* in *S. cerevisiae* [94], which serves as a model for *in silico* studies of *C. albicans* *ERG11* amino acid variations by homology modelling [95].

The genetic regulation of azole resistance is now well characterized. *ERG11* upregulation (mechanism (II)) is linked to specific gain-of-function (GOF) mutations in the zinc-cluster transcription factor encoding gene *UPC2* [96–100], as well as to increases in copy number due to isochromosome formation of chromosome 5 [101, 102]. In mechanism (III) GOF mutations in transcription factors *TAC1* (transcriptional activator of CDR genes) and *MRR1* (regulator of MDR genes) upregulate the major drug efflux pumps ABC transporters *CDR1/CDR2* and the major facilitator efflux pump *MDR1*, respectively [90, 103–107]. In addition, chromosome 5, on which both *ERG11* and *TAC1* are situated, has been shown to be capable of undergoing transformations, which involves a haploid state of chromosome 5 (loss of a chromosome) and subsequent duplication to restore a diploid and homozygous state (LOH). This may have significant implications because passive heterozygous mutations become homozygous resulting in a higher potential both with regards to structural changes of *ERG11* but also the regulatory effect of *TAC1* [101, 102].

When *ERG11* is inhibited, another protein, *ERG6*, mediates an alternative pathway transforming lanosterol to 14 α -methylated sterols (Figure 11). This however involves *ERG3*, which is respon-

sible for the formation of cell toxic 14 α -methyl-ergosta-8,24(28)-dien-3 β -6 α -diol. Thus, when *ERG3* is rendered inactive (resistance mechanism (IV)), suitable sterols are formed as alternatives to ergosterol during azole inhibition of *ERG11* [108, 109].

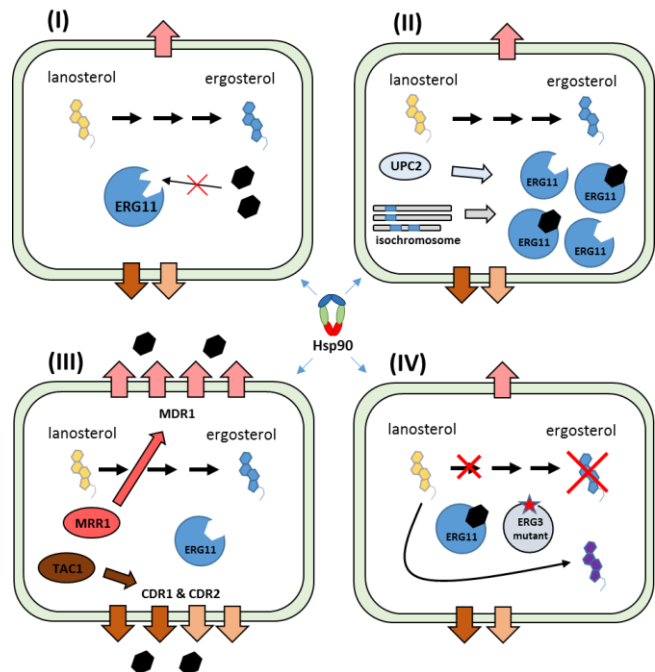


Figure 10. Azole resistance mechanisms in *Candida*. (I) alterations in the *ERG11* protein leading to reduced azole affinity. (II) upregulation of the gene encoding *ERG11*. (III) upregulation of drug-efflux pumps, which reduces the concentration of cytosolic azoles. (IV) *ERG11* independent sterol synthesis pathway is enabled due to *ERG3* inactivation. All four mechanisms may in part have been regulated by a stress response pathway triggered by Hsp90 [89].

While azoles inhibit an early step in the biosynthesis of ergosterol, polyenes bind ergosterol and thus the shared target may explain the occurrence of cross-resistance to polyenes and azoles [110, 111].

2.4 Polyene resistance is associated with ergosterol depletion

Polyenes bind to the primary cell membrane component ergosterol. Thus, in order for the fungus to evade polyenes, the cells are required to alternate the sterol content of the cell membrane to non-ergosterol sterols. Maintaining cell membrane stability in the absence of ergosterol is rarely beneficial for the fungus and is thus often associated with reduced fitness [85, 112]. Despite rare, polyene resistance has been detected and linked to the late obstruction of the ergosterol biosynthesis pathway (Figure 11) [14, 113] involving mutations in *ERG2* [110, 112], *ERG3*, [114–116], *ERG6* [117] or *ERG11* and *ERG5* [118].

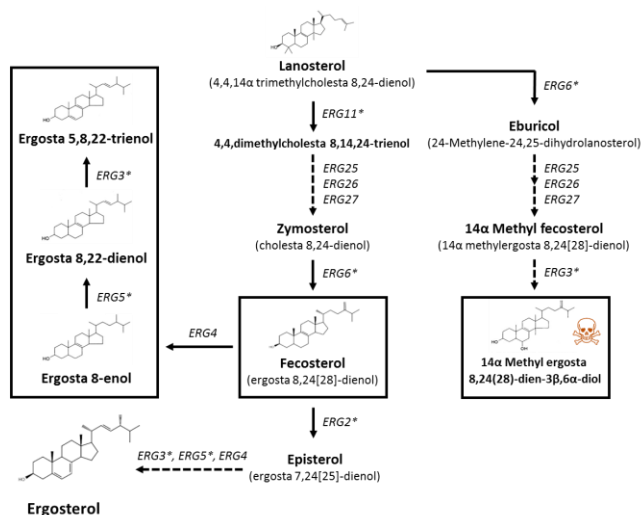


Figure 11. Ergosterol biosynthetic pathway in *C. albicans* from lanosterol to ergosterol. Alternative pathways enable the synthesis of other sterols serving as escape mechanisms when critical stages are inhibited. Asterisk (*) indicates those genes, which have been shown previously to be involved in polyene resistance [110, 112, 114–118].

2.5 Multidrug resistance in *C. albicans* orchestrated by multiple genetic events (Paper III)

Paper III [119] presented a unique case of serial clinical *C. albicans* from a single patient, developing resistance to azoles, echinocandins and polyenes in a stepwise manner and during several years of antifungal treatment (overview can be found in supplementary reading for Paper III). Assessment of resistance in these isolates involved genotyping (to confirm genetic relatedness) by MLST analysis [120, 121] and sequencing of genes, which have previously been linked to drug resistance. This included *FKS1* for echinocandin resistance [36, 51], *ERG11* [8], *TAC1* and *UPC2* [122] for azole resistance and multiple genes encoding proteins within the ergosterol pathway for polyene resistance. Moreover, characteristics such as gene expression analyses [122, 123] and ergosterol quantitation [7] substantiated the resistance profiles as well as the association between detected genetic changes and phenotypic resistance. All significant findings are presented in Table 6 and are assessed below.

Table 6. Characteristics of nine related and increasingly resistant *C. albicans* isolates. Site and date, susceptibility, gene products and relative gene expression levels for the isolates, P-1 through P-9 (reproduced with permission from the publisher Oxford University Press).

	P-1 (WT)	P-2 (WT)	P-3 (F)	P-4 (F)	P-5 (A)	P-6 (A+E)	P-7 (A+E)	P-8 (MDR)	P-9 (MDR)
Site	Oesophagus ^P	Oesophagus ^P	Oropharynx ^C	Oropharynx ^C	Oesophagus ^P	Oesophagus ^P	Faeces ^C	Faeces ^C	Colon biopsy ^P
Date	25.04.06	11.07.06	28.01.08	01.04.08	21.04.10	17.08.10	10.04.11	10.04.11	06.05.11
FLU ^{7,2}	0.125	0.25	16	8	>16	>16	>16	>16	16
ITZ ^{7,2}	≤0.03	≤0.03	≤0.03/4*	≤0.03	16	>4	16	16	>16
VRZ ^{7,2}	≤0.03	≤0.03	≤0.03/4*	≤0.03	1	0.5	0.25	0.125	0.125
POS ^{7,2}	NA	NA	≤0.03/4*	≤0.03	>4	>4	4	4	0.5/4*
ANI ^{7,2}	NA	NA	NA	0.015	0.015	0.25	1	1	0.5
CAS ^{ET}	0.06	0.25	0.25	0.25	0.50	>32	>32	>32	>32
AMB ^{ET}	0.25	0.5	0.38	0.5	0.5	0.5	0.5	>32	>32
<i>ERG11</i> ^{AA}	NA	NA	NA	E266D <u>G307S</u> <u>G450E</u> V488I	<u>A61E</u> E266D <u>G307S</u> <u>G450E</u> V488I	NA	<u>A61E</u> E266D <u>G307S</u> <u>G450E</u> V488I	<u>A61E</u> E266D <u>G307S</u> <u>G450E</u> V488I	<u>A61E</u> E266D <u>G307S</u> <u>G450E</u> V488I
<i>ERG11</i> (-) ^{GX}	NA	NA	NA	4.85	12.3	NA	0.43	5.70	3.44
<i>CDR1</i> (-) ^{GX}	NA	NA	NA	1.69	7.40	NA	2.95	4.73	1.45
<i>CDR2</i> (-) ^{GX}	NA	NA	NA	69.2	868.1	NA	194.8	132.5	14.5
<i>TAC1</i> ^{AA**}	NA	NA	NA	<u>R688Q</u> ^h	<u>R673L</u>	NA	<u>R673L</u>	<u>R673L</u>	<u>R673L</u>
<i>FKS1</i> ^{AA}	NA	NA	NA	V661F ^h	V661F ^h	NA	<u>S645P</u> ^h V661F ^h	<u>S645P</u> ^h V661F ^h	<u>S645P</u> ^h V661F ^h
<i>ERG2</i> ^{AA}	NA	NA	NA	WT	WT	NA	F105fs ^h ***	<u>F105fs</u> ^{**} *	<u>F105fs</u> [*] **

7.2EUCAST (*E. def* 7.2) MIC values (mg/L), ETETest (mg/L), AAamino acid changes, GXRelative gene expression, NA: Not available, hheterozygous, PPrimary specimen, CCulture.

FLU: fluconazole, ITZ: itraconazole, VRZ, voriconazole, POS, posaconazole. ANI: anidulafungin, CAS: caspofungin, AMB: amphotericin B. WT: wild-type susceptibility, F: Fluconazole resistant, A: azole resistant, E: echinocandin resistant, MDR, multidrug resistant.

MIC values above clinical breakpoints and regarded as resistant are highlighted grey. Underlined amino acid changes are known to be associated with resistance.

*Trailing phenotype with approximately 50% growth inhibition in the concentration range 0.5-4 mg/L.

**The *TAC1* gene sequence harboured multiple non-synonymous mutations but only potential GOF mutations are shown.

***Frameshift mutation F1055fsX23 due to basepair deletion (T314).

Two amino acid changes (G307S and G450E) in *ERG11*, found in isolate P-4, were probably the significant drivers of the observed fluconazole resistance [90] and may have been further potentiated by elevated expression levels of *ERG11* and particularly *CDR2*. Pan-azole resistance, observed in P-5, was likely inflicted by the additional A61E amino acid change in *ERG11* and upregulated expression of *ERG11*, *CDR1* and *CDR2*. The position of A61E in *ERG11* was modelled to understand the role of this novel variant in relation to itraconazole affinity (Figure 12). Indeed, a potential steric interference between the polar side chain of glutamic acid and itraconazole binding was observed, and could be a plausible explanation for reduced susceptibility to long tailed triazoles (itraconazole and posaconazole).

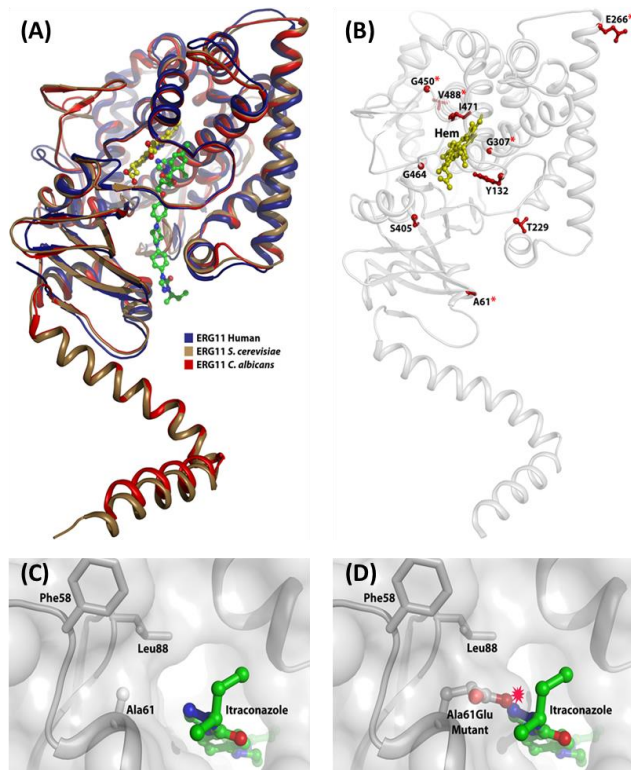


Figure 12. *C. albicans* ERG11 protein homology modelling. (A) Superposition of *ERG11* crystal structures from Human and *S. cerevisiae* and the Phyre2 model [124] of *C. albicans*. (B) Position of amino acids, which have been found altered in azole resistant *C. albicans* [83]. Red asterisks indicate the AA site, which was altered in the pan-azole resistant isolates in Paper III. (C) Close-up of the Phyre2 model of *ERG11* of *C. albicans* with Itraconazole superimposed into the binding site. (D) Position of the Ala61Glu (A61E) mutation in *C. albicans*, which potentially interferes with the tail of itraconazole and being responsible for resistance to long-tailed azoles.

The location of other relevant amino acid sites were also shown including G307 and G450. Still, the presented model can only provide indications of the actual molecular and structural events of such changes and may merely be used for visual understanding and theoretical support in relation to azole resistance [94, 95]. The observed gene expression for *ERG11* was not coupled to

mutations in *UPC2* and thus a compensatory mechanism, for the potentially reduced catalytic activity of *ERG11*, leading to *ERG11* upregulation deserves further investigation. *CDR1* and *CDR2* on the other hand, were potentially induced by *TAC1* due to a supposed novel GOF variant R673L. Moreover, *TAC1* had undergone a major LOH event rendering the entire gene homozygous in P-5 to P-9 as opposed to P-4 and the circumstances of this event would be interesting to study further [125].

Echinocandin resistance was induced by the acquisition of a well-known S645P substitution in *FKS1* due to heterozygous mutations in P-7 through P-9. Finally, amphotericin B resistance was probably linked to a frameshift mutation in *ERG2* conferring a severely truncated protein structure (from 217 to 126 AAs). In support of this hypothesis, we showed ergosterol depletion in the amphotericin B resistant isolates (P-8 and P-9) and found sterol profiles, which were similar to what was observed in other *Candida* species displaying *ERG2* associated AMB resistance [117, 126]. Additional sterol profiles for the isogenic isolates have been presented in supplementary reading (S.3 Additional sterol profiles of *ERG11* mutants from Paper III) and indicated that the mutations in *ERG11* may lead to a lowered catalytic activity of *ERG11* and thus a reduced the ergosterol biosynthesis.

Reduced fitness in resistant strains is a well-known phenomenon. GOF mutations in *TAC1* and *UPC2* are previously shown to attenuate virulence [122] and ergosterol deplete *C. albicans* were unable to form pseudohyphae and had delayed growth and reduced virulence [127]. Resistance to echinocandins is shown to be associated with cell-wall instability and especially the S645P variant has been shown to confer reduced catalytic capacity of *FKS1* leading to increased cell wall chitin content, which in turn attenuated fitness and virulence [50, 72, 75, 128]. We studied virulence in our resistant strains in the insect model *Galleria mellonella* caterpillars [129]. Besides the isogenic and increasingly resistant strains, two unrelated wild-type control strains (C-1 and C-2) and one control strain resistant to azoles and echinocandins (C-3) were included (Figure 13).

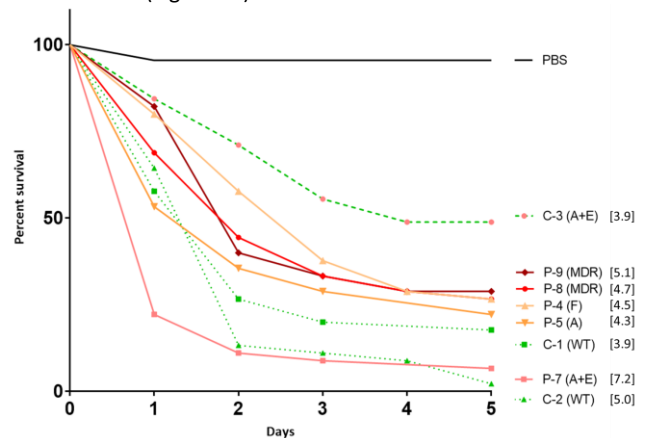


Figure 13. Virulence in the *Galleria mellonella* larvae model. Letters in parenthesis denote susceptibility profiles: WT, wild-type susceptibility; F, fluconazole resistant; A, azole resistant; and E, echinocandin resistant. Mean cells/larva injected ($\times 10^5$) are indicated in square brackets. Broken lines indicate reference strains and solid lines indicate clinical isolates (reproduced with permission from the publisher Oxford University Press).

Expectedly, the isogenic and increasingly resistant strains were less virulent (also taking the CFU variation into account). Interestingly, however, the azole and echinocandin resistant control strain, C-3, displayed a more pronounced loss of virulence. Still, the genetic background in C-3 was different than the clinical strains, thus whether virulence cost was truly abrogated by compensatory mechanisms in the clinical strains is unclear. Still, these results showed an only slightly reduced virulence, which may have played a role in the long-term persistence in the patient, potentially transcending from the oesophagus (P-1 to P-6) and through to the colon (P-7 to P-9). Potential sub-therapeutic drug concentrations in the oesophagus and the extensive treatment course may have enabled the development of unknown compensatory mechanisms, mediating a somewhat regained level of virulence.

This study was possibly the first to cover resistance against all three drug-classes in *C. albicans*, whereas multidrug resistance in *C. glabrata* have been reported previously although with a less degree of genetic support [79, 130]. We proposed several novel resistance mechanisms and they should ultimately be further investigated. Whole genome sequencing of these strains could indeed help resolve the true genetic landscape responsible for the rare phenotypic MDR trait. One next-generation sequencing strategy have recently been presented, assessing echinocandin and azole resistance in 40 *Candida* isolates by mapping six genes (*ERG11*, *ERG3*, *FKS1*, *FKS2*, *TAC1* and *PDR1*) often involved in resistance [131]. Besides presenting known as well as potentially novel resistance mutations, this study illustrated the future potential of deep sequencing methods for the understanding of antifungal resistance mechanisms in *Candida*.

2.6 Is resistance underestimated in fungaemia programmes? (Paper IV)

Several cases of acquired resistance were presented here and may indicate an increasing prevalence in Denmark. One question arises, whether we overlook something basing our estimates on the fungaemia programme, where acquired resistance remains rare [18]. One reason for this concern is that fungaemia programmes only involve the first blood culture isolate (where the patient ultimately has been least exposed to antifungals) and not subsequent isolates unless separated by more than 3-4 weeks (depending on the scheme). Thus, as suggested previously [18, 31], we might only see the tip of the iceberg and underestimate the occurrence of acquired resistance as potentially subsequent resistant isolates were never captured. Few studies have evaluated prophylactic treatment in correlation with subsequent *Candida* daemia [132, 133]. Both studies demonstrated a significantly altered species distribution among *Candida* daemia in patients previously exposed to either fluconazole or echinocandins towards species intrinsically less susceptible to either drug class. Indeed, increased prevalence of intrinsically resistant species is a prominent clinical concern. To address the effect of antifungal exposure in *Candida* daemia patients, we undertook a study (Paper IV) [134],

where post-treatment mucosal isolates were obtained (Figure 14). Project material and required approvals are provided in supplementary reading (S.4 Supplementary material for Paper IV).

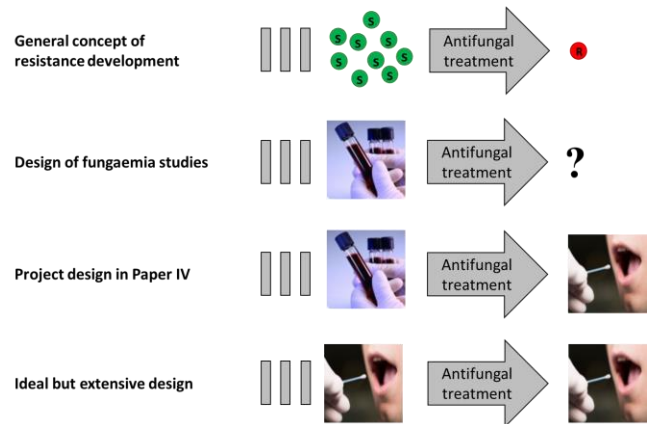


Figure 14. Project design in Paper IV. Upon antifungal treatment *Candida* isolates may develop resistance to a larger extent than reported in fungaemia studies. This could be elucidated by the implementation of follow-up samples from *Candida* daemia patients post treatment, which is what we described in Paper IV, pairing oral isolates with initial blood isolates, which were already routinely referred. Ideally, an initial oral swab should have been obtained but such study design would have been logistically too extensive not to mention the numerous additional isolates requiring analyses.

The design of this study was a systematic multicentre study where oral swabs were collected from 193 *Candida* daemia patients after antifungal exposure. Two questions were investigated for patients exposed to either azoles (N=114) or echinocandins (N=85) (some patients received both):

- 1) What influence did antifungal exposure have on the species distribution in colonising *Candida*?
- 2) What was the extent of acquired resistance in colonising *Candida* upon antifungal exposure?

Since all *Candida* daemia patients were treated with an antifungal and because initial oral isolates were not obtained due to logistical constraints, an unexposed control group lacked in question 1. Instead, blood isolates were regarded as controls and species distributions were thus compared between blood isolates and oral isolates from patients exposed to either azoles or echinocandins (Figure 15). The premise for such approach was that the infectious agent and the concomitant colonizing *Candida* species have been shown to be genetically identical in more than 90% of cases and that most patients were permanently colonised independently of infection [32, 135–140]. The 90% correlation between initial blood isolates and subsequent paired oral isolates was also what we showed through genotyping for those species, where an established typing scheme was adopted [73, 120, 141–145].

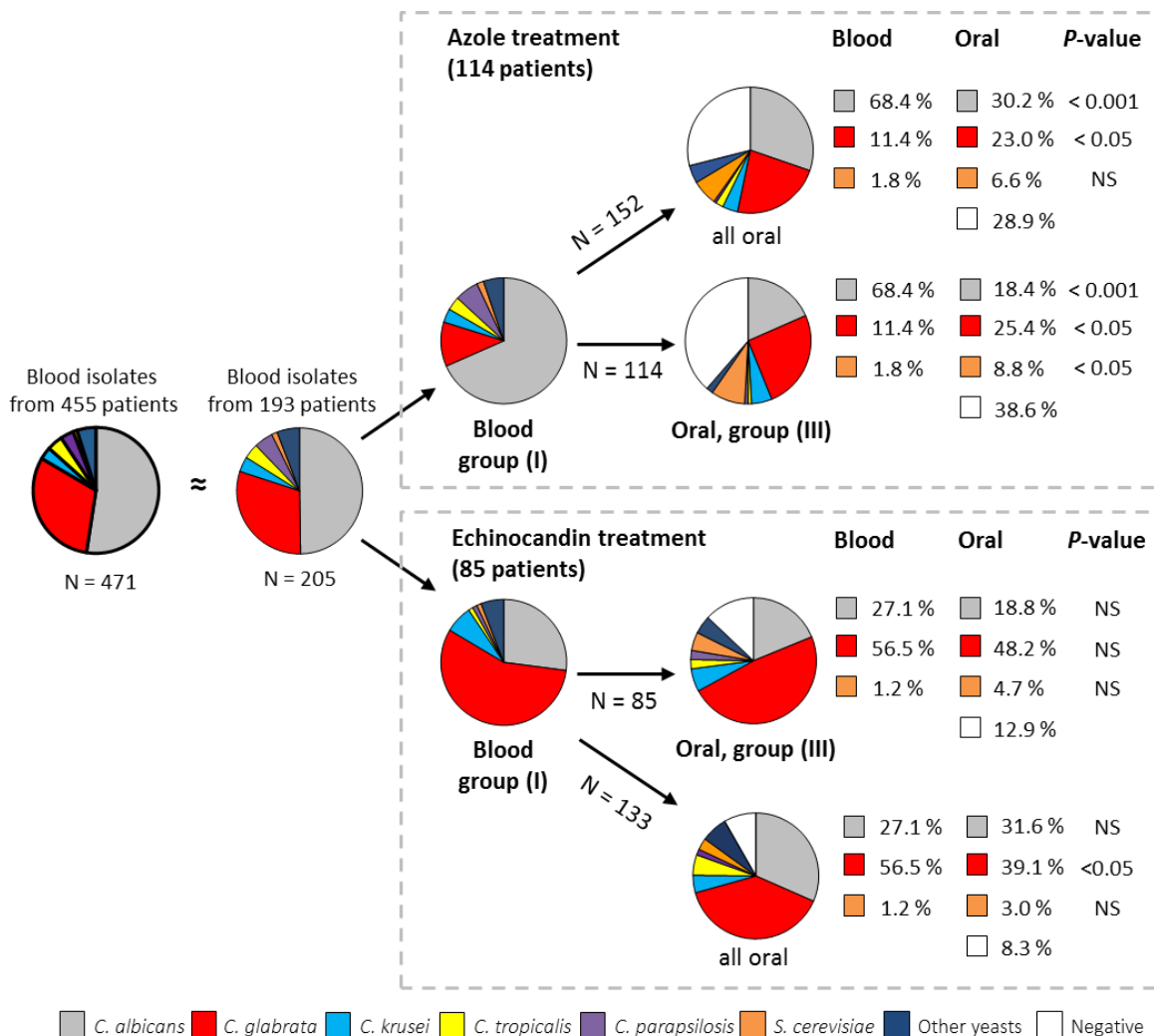


Figure 15. Species distributions among blood and oral isolates. Pie-charts displaying species distributions in the indicated groups. N, Number of isolates. Blood isolates, group (I) represented baseline colonization in patients exposed to either azoles or echinocandins. Group (III) oral isolates (≥ 7 days exposure) represented end of treatment colonization. NS, not significant. On patient level (horizontal), only the species with the highest ECOFF was counted in case of polyfungal samples but the distribution of all oral isolates have also been shown (above for azoles and below for echinocandins). Proportion analysis was performed by chi-squared or Fisher's exact tests and P-values < 0.05 were considered significant. No differences were observed for *C. krusei*, *C. tropicalis*, *C. parapsilosis* and other yeasts in neither treatment arm and P-values were thus not presented.

Importantly, we demonstrated significant differences in species distributions among blood and oral isolates in azole exposed patients, most prominently for *C. albicans* and *C. glabrata*, but not in echinocandin exposed patients (detailed data is provided in supplementary reading, S.4 Supplementary material for Paper IV). One interesting finding was the proportion of culture negative oral isolates being significantly lower in azole exposed patients compared to echinocandin exposed patients. One hypothesis was that azoles clear the colonising *Candida* on mucosal surfaces more effectively than echinocandins. This could partly be ex-

plained by the substantiated lower protein binding and associated higher drug concentrations at the mucosal surfaces. Still, because pretreatment oral swabs was not obtained, we cannot rule out that more patients in the azole group, theoretically might have been swab culture negative before treatment, thus ruling out the subsequent effect of exposure. This would on the other hand not explain the significantly higher prevalence of polyfungal oral samples among the echinocandin treated patients, which was also observed.

Table 7. Resistance proportions among *Candida glabrata* blood and oral isolates.

Comparisons	Isolates (exposure to azoles)		
	Oral (≥ 7 days)*	Blood (no exposure)	Oral (<7 days)
Fluconazole MIC above BP, no. of isolates/total (%)	10/34 (29.4%)	3/62 (4.8%) ^{<0.01}	5/48 (10.4%) ^{<0.05}
Fluconazole geometric mean MIC (mg/L)	10.01	3.66 ^{<0.05}	4.83 ^{<0.05}

	Isolates (exposure to echinocandins)		
	Oral (≥7 days)*	Comparisons	Oral (≥7 days)*
Anidulafungin MIC above BP, no. of isolates/total (%)	11/51 (21.6%)	3/62 (4.8%) ^{<0.01}	1/31 (3.2%) ^{<0.05}
Anidulafungin geometric mean MIC (mg/L)	0.053	0.043 ^{NS}	0.048 ^{NS}

BP: EUCAST clinical breakpoint for resistance.

*Reference column for statistical comparisons. Exposed ≥7 days to an azole or an echinocandin before the oral swab was obtained.

Controls were either blood isolates or oral isolates from patients exposed <7 days to either antifungal.

Superscript numbers indicate significant P values, NS: not significant.

The observed rates of acquired resistance in *C. glabrata* to fluconazole and echinocandin resistance were much higher than those presented in the recent surveillance studies [31, 146]. This further emphasised the potential underestimation of resistance in *Candida* species. High resistance rates have been presented previously both for echinocandins [19, 147, 148] and azoles [133, 136, 148] and again the site of infection seemed to play a role. Thus, it is hypothesised that the oral fungal microbiota may be an unrecognised reservoir of resistant *Candida* species (especially *C. glabrata*) in *Candidaemia* patients following treatment. Furthermore, acquired azole and echinocandin resistance in *C. glabrata* was common and add to the concern that this organism may become an important “multidrug resistant” yeast challenge of our time [149–152].

2.7 Bridging *Candida* and *Aspergillus*

Despite that *Candidaemia* is considered among the top five of the most prevalent nosocomial bloodstream infections (depending on the patient population), only rare cases of hospital outbreaks have been reported and primarily with *C. parapsilosis* in paediatric settings [153–156]. Thus, despite the recognised understanding that invasive candidiasis is related to the concomitant colonising *Candida* it remains unclear to what extent the colonising fungal microbiota is influenced by exogenous *Candida* [138, 139]. Only a few studies have investigated the potential concern of an exogenous source and presented the occurrence of resistant *Candida* on fruit and vegetables from (conventional) orchards displaying cross-resistance to clinical azoles [157, 158]. Although, this may be a negligible concern since the primary cause of invasive candidiasis is from a constant colonising microflora [139, 159] it would be interesting to pursue. In contrast, the current situation of resistant mould infections caused by the spore-producing airborne *Aspergillus fumigatus* potentially originating from the environment is now a worldwide concern [2].

For question 2, the number of isolates with MICs above the breakpoints was again compared between blood and oral isolates but an additional control group was defined. Oral isolates from patients exposed to <7 days of azoles or <7 days of echinocandins were applied as appropriate controls when assessing azole and echinocandin resistance respectively (Table 7).

PART III: RESISTANCE IN THE UBIQUITOUS MOULD *ASPERGILLUS FUMIGATUS*

3.1 *Aspergillus fumigatus* causes severe pulmonary infections

Among the spore producing *Ascomycetes* causing invasive infections, *Aspergillus* is the most prevalent genus represented primarily by *A. fumigatus* and less frequently *Aspergillus terreus*, *Aspergillus nidulans*, *Aspergillus niger* and *Aspergillus flavus* [160]. The

properties of the asexually produced spores makes this organism an airborne concern to human health. The fact that an average person inhales hundreds of spores daily may help explain the wide range of pulmonary diseases inflicted by *Aspergillus* species [161]. This covers allergic bronchopulmonary aspergillosis, chronic respiratory diseases and severe invasive infections [162, 163]. On a global measure, *Aspergillus* is estimated to cause health issues in millions of people annually, with invasive aspergillosis (IA) accounting for approximately 200,000 annually [162, 163]. In Denmark, chronic *Aspergillus* diseases and infections may be relatively frequent especially among cystic fibrosis (CF) patients while IA is rare and estimated to 50-60 cases/annually (or 0.9-1.1/100,000 inhabitants) [27]. Neutropenic patients lack neutrophils, which are an essential part of the innate immune defence against microbial infections, and thus such patients are highly prone to acquiring IA [164]. Further, challenges for those infections are the limited therapeutic options associated with acceptable response rates but also the difficulties in performing a correct diagnosis in time. The subgroup of the European Organization for Research and Treatment of Cancer (EORTC), Mycoses Study Group (MSG) published revised definitions for the diagnosis of invasive aspergillosis for clinical studies, which are divided in different significance levels; proven, probable and possible infection depending on the degree of evidence [165]. These definitions illustrate the complexity of establishing the diagnosis and that further diagnostic tools are needed to improve the prognosis of patients with IA. Indeed, early diagnosis as well as severity of underlying diseases impact the mortality rate of IA, which is acknowledged to be in the range of 30-50% [166, 167] but those numbers are alarmingly high (>80%) when the causative agent is resistant [163]. Since azoles constitute first line therapy of most *Aspergillus* infections, azole resistance is unquestionably the most significant clinical concern with respect to the management of aspergillosis.

3.2 *Aspergillus* and azole resistance – an emerging threat (Paper V-VI)

The increasing number of international reports addressing azole resistance in *A. fumigatus* reflects the worldwide focus on this emerging threat. While the variety of resistance mechanisms may be equally complex as for *Candida* species, about 90% of azole resistance cases in *A. fumigatus* has thus far, been linked to genetic changes of *CYP51A* (corresponding to *ERG11* in *Candida*) [168]. Consequently, structural changes of the azole target protein as well as upregulation is responsible for the observed resistance. The other 10% remain primarily unresolved, although increased drug efflux [169] and a potential GOF variant in a transcription factor complex subunit HapE have also been characterised as drivers of azole resistance [170]. In recent years, there has been an extraordinary focus on azole resistance in *A. fumigatus* iso-

lates potentially originating from the environment, and displaying cross-resistance to clinical azoles [2]. In fact, resistant *A. fumigatus*, supposedly derived from the environment, is increasingly found both in clinical and environmental samples [171]. The actual threat was emphasized by the discovery of genetically related azole-resistant *A. fumigatus* isolates found in azole naïve patients and the surrounding environmental samples [172–174]. The fact that azole resistance rates are increasing, especially in the Netherlands where almost 90% of clinical azole resistant *A. fumigatus* is carrying environmentally derived resistance mechanisms further substantiates the overall concern [171]. The dominant environmental azole resistance mechanisms are two similar genetic signature variants (Figure 16). The most prevalent is a 34-basepair tandem repeat in the promotor region combined with a mutation in the target gene leading to the amino acid substitution L98H, thus dubbed TR₃₄/L98H, conferring pan-azole resistance [171]. Later, a 46-basepair tandem repeat in the promotor region combined with two non-synonymous mutations in *CYP51A*, denoted TR₄₆/Y121F/T289A, conferring high voriconazole resistance, was described [174].

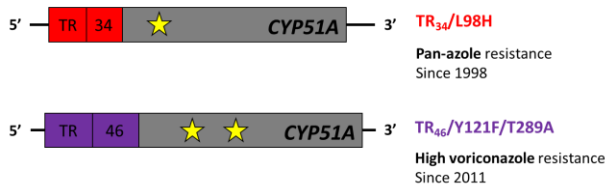


Figure 16. Two environmentally derived resistance mechanisms. Simplified illustration of the TR₃₄/L98H (above) and TR₄₆/Y121F/T289A (below) resistance mechanisms. Stars indicate mutations in *CYP51A* conferring AA substitutions. TR is a tandem repeat in the promotor region. Further detail on the tandem repeats can be found in supplementary reading (S.5 Sequence profiles of *CYP51A* promotor regions).

3.2.1 Azole resistance acquired ex vivo originating from the environment

The European Centre for Disease Control (ECDC) published a risk assessment of the impact of environmental usage of triazoles on the development and spread of resistance to medical triazoles in *Aspergillus* species [175]. The group of experts coordinated by ECDC presented the extent of this problem and also summarised evidence for the environmental origin of azole resistance development. The arguments are:

- 1) Azole resistant *A. fumigatus* isolates have been recovered from patients with no history of previous azole exposure (azole naïve patients) [176].
- 2) Azole resistant *A. fumigatus* isolates have been recovered from environmental samples and, almost exclusively, the two variants TR₃₄/L98H or TR₄₆/Y121F/T289A [177].
- 3) In the Netherlands and other countries, the two mechanisms TR₃₄/L98H and TR₄₆/Y121F/T289A are stable and dominating mechanisms among clinical and environmental isolates. In other populations including a high proportion of azole treated patients with chronic forms of aspergillosis, as in the UK, a more heterogeneous population of *CYP51A* variants exists. It is assumed that the in vivo selection of resistance may result in a more diverse panel of resistance mutations in *CYP51A* [168].
- 4) The two “environmental” resistance mechanisms possesses two independent genetic events (mutations and a tandem repeat), which has not been found previously in

any case of in vivo resistance development but present in azole resistant plant pathogenic moulds [2, 178].

- 5) Environmental TR₃₄/L98H isolates cluster genetically to clinical TR₃₄/L98H isolates but distinct from any other susceptible wild-type isolate [179, 180].
- 6) The TR₃₄/L98H isolates are cross-resistant to several triazole fungicides which were introduced in the agriculture just few years before the first detection of a TR₃₄/L98H isolate in 1998 (tebuconazole, propiconazole, difenoconazole, epoxiconazole and bromuconazole) [181, 182].
- 7) These triazole fungicides display similar structure as clinical azoles (thus, they theoretically possess same selection potential) (Figure 17). Moreover, they have been shown to induce tandem repeats in *CYP51A* in vitro, conferring reduced susceptibility to clinical azoles [181].

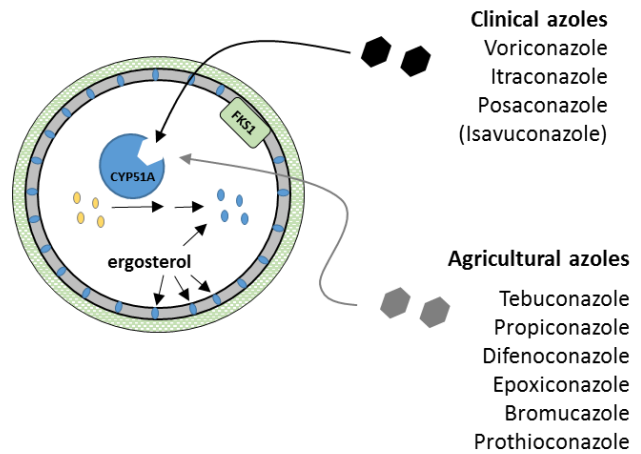


Figure 17. CYP51A inhibition by clinical and agricultural azoles. Simplified illustration of clinical and agricultural azoles being structurally similar. Tebuconazole has been shown to induce tandem repeats in the *CYP51A* promotor region in laboratory experiments [181].

In relation to the third argument by ECDC, it has been argued that the resistance mechanism TR₃₄/L98H in *A. fumigatus* was not associated with a fitness cost [181]. This supported the possible emergence of a stable clone able to proliferate equally among wild-types even in the absence of azole selection (confer scenario IV in Figure 3). While the TR₃₄/L98H resistant clone emerged in a Dutch patient in 1998 we described the first TR₃₄/L98H case in Denmark in a CF patient (from 2007) in 2011 [183]. Equivalently, the TR₄₆/Y121F/T289A was found in a Dutch patient in 2009 and we subsequently described the first TR₄₆/Y121F/T289A case in Denmark along with three additional TR₃₄/L98H cases in 2014 in Paper V [184]. All four cases had a lethal outcome, underlining the severity and poor prognosis of such resistant infections. In correlation with the first argument by ECDC, two of the patients were azole naïve at the time, the resistant isolates were discovered. This indicated that the patients acquired the resistant isolates by inhalation in the environment. Case 2 was co-infected with a Zygomycetes mould, which may have delayed the IA diagnosis. Furthermore, three patients were co-infected with genetically distinct wild-type susceptible *A. fumigatus*, one of which (Case 1) may have been undetected if STRAf genotyping had not resolved the presence of mixed isolates (case overview presented in Table 9).

Due to the continuous findings of the environmental resistant genotypes among clinical isolates, and now also outside the CF population, we investigated the occurrence in the environment in

two additional surveys (Table 8). Surprisingly, no resistant isolates were discovered in the environment in spite of a larger sample material compared to the study from 2010 [185]. Still, seasonal and climate variations were suggested to play a role compared to

equivalent surveys in other countries. Indeed, the recent surveys were carried out either in early fall or early spring and only in countries with high prevalence or a warmer climate, environmental resistance has been detected throughout the year [184].

Table 8. Environmental samples from Paper V. Soil samples and *A. fumigatus* findings from the two environmental surveys (2010 and 2013) compared with the data from a previously published study performed in 2009 (reprinted from [184] with permission by the publisher, ASM).

	Farms							
	Tivoli		Hospital		Conventional		Organic	
	2009*	2010	2009*	2010****	2010	2013	2010	2013
No. soil samples (%)	23 (100)	17 (100)	27 (100)	25 (100)	12 (100)	130(100)	15 (100)	40(100)
No. <i>A. fumigatus</i> (%)	21 (91)	15 (88)	17 (63)	19 (76)	11 (92)	45 (35)	13 (87)	10 (25)
No. resistant (%)	3 (13)***	0	1 (4)**	0	0	0	0	0

*Data compiled from previous study [185].

**Or 6% of *A. fumigatus* isolates

***Or 14% of *A. fumigatus* isolates

****Indoor

Table 9. *A. fumigatus* case overview from Paper V. Mould isolates, diagnostic delay, MICs, resistance genotypes (*CYP51A* profiles) and STRAf typing of clinical isolates obtained from the four patients (reprinted from [184] with permission by the publisher, ASM).

CASE	Day	Site*	Days delay*	Species	MIC (mg/L)			<i>CYP51A</i> profiles	STRAf (2A-2B-2C-3A-3B-3C-4A-4B-4C)	Outcome
					POS	VRZ	ITZ			
1	7	BAL	12/11	<i>A. fumigatus</i>	0.06	1	0.25	WT	18-19-8-26-10-21-9-9-5	
	7	BAL	12/11	<i>A. fumigatus</i>	1	4	>8	TR ₃₄ /L98H/S297T/F495I	14-10-9-30-9-6-8-10-20	Died
	17	BAL	14/7	<i>A. fumigatus</i>	0.5	1	>8	TR ₃₄ /L98H/S297T/F495I	14-10-9-30-9-6-8-10-20	
2	44	BAL	18/8	<i>A. fumigatus</i>	0.03	0.25	0.125	WT	14-20-11-34-9-7-8-10-12	
	90	TS	20/18	<i>A. fumigatus</i>	0.5	4	>8	TR ₃₄ /L98H	25-10-12-79-9-9-8-10-11	
	90	TS	20/18	<i>R. pusillus</i>	0.25	>4	0.5	NA	NA	
	106	TS	13/9	<i>R. pusillus</i>	0.125	>4	0.25	NA	NA	Died
	110	TS	9/8	<i>R. pusillus</i>	0.125	>4	0.25	NA	NA	
	117	TS	9/8	<i>A. fumigatus</i>	≤0.03	0.5	0.25	WT	25-16-19-48-17-23-8-9-5	
3	117	TS	9/8	<i>R. pusillus</i>	0.25	>4	0.25	NA	NA	
	6	BAL	16/10	<i>A. fumigatus</i>	0.5	4	>8	TR ₃₄ /L98H	20-20-28-32-9-6-8-10-20	Died
4	-7	BAL	26/11	<i>A. fumigatus</i>	0.06	0.5	0.125	WT	18-25-15-26-11-7-26-30-8	
	36	Sputum	7/6	<i>A. fumigatus</i>	0.125	>4	0.25	TR ₄₆ /Y121F/T289A	26-21-16-32-9-10-8-14-10	
	58	Sputum	ND/7	<i>A. fumigatus</i>	0.25	>4	0.5	TR ₄₆ /Y121F/T289A	26-21-16-32-9-10-8-14-10	Died
	62	Sputum	10/9	<i>A. fumigatus</i>	0.25	>4	0.5	TR ₄₆ /Y121F/T289A	26-21-16-32-9-10-8-14-10	

NA: Not applicable, ND: not determined, *CYP51A* and STRAf genotyping was only applicable to *A. fumigatus*. WT, wild-type; POS, posaconazole; VRZ, voriconazole; ITZ, itraconazole.

*Origin of sample: BAL: bronchoalveolar lavage. TS: tracheal sputum/aspilation.

**Diagnostic delay (from initial sampling to microbiological diagnosis/from sample arrival at reference laboratory to microbiological diagnosis).

3.2.2 The worldwide extent of azole resistant *A. fumigatus* derived from the environment

The extent of azole resistant *A. fumigatus* carrying environmentally derived azole resistance is now worldwide (Figure 18) with the recent findings TR₃₄/L98H and TR₄₆/Y121F/T289A isolates all over Europe [171, 174, 179, 180, 183, 184, 186–205], in North America [206, 207], Colombia [208], India [209], China [201] and Tanzania [190].

Besides the lack of studies addressing this concern in many parts of the world, another important point may explain the high occurrence mainly in Europe and Asia compared to other parts of the world. Triazole fungicide consumption was assessed in a recent study [182] and the authors found that out of the overall world consumption, western Europe and Asia-Pacific accounted for 37% and 24% respectively, thus almost two thirds. Besides the unknown travel-patterns of *A. fumigatus* within air, compost, flower pots etc., triazoles fungicide use could indeed be a valid explanation for this current relative confinement of azole resistant *A. fumigatus* [182].

Besides the two dominating resistance mechanisms above, other resistance mechanisms (G432S and TR₅₃/WT) found in isolates from azole naïve patients were suggested to be acquired from the environment [212, 213] and additionally environmental surveys have identified two AA variants, most often involved in in vivo resistance development (M220I and G54A)[203].

clones have not been discovered but for the most part, it may merely be a matter of the lack of sampling rather than absence.

3.2.3 In vivo acquired resistance upon azole treatment

Genotyping has allowed tracing of initially susceptible isolates with resistant progeny selected upon azole exposure both in vitro and in vivo harboring mutations in *CYP51A* [214, 215]. The list of known mutations conferring AA substitutions associated with resistance was recently reviewed [182] and an updated Table 10 is presented below.

As for *C. albicans* the *CYP51A* protein in *A. fumigatus* has been modelled and significant amino acid sites were identified in relation to the heme center to substantiate the importance for azole access and potentially resistance (Figure 19) [221, 222]. Genotyping also assisted in the detection of in vivo selection of azole resistance mutations in *CYP51A*, developed during azole exposure (M220I and P216L) in [183] and Paper VI [223]. We also demonstrated an equivalent *CYP51A* variant in *A. terreus* (M217I, corresponding to M220I in *A. fumigatus*) acquiring azole resistance upon azole exposure [224].

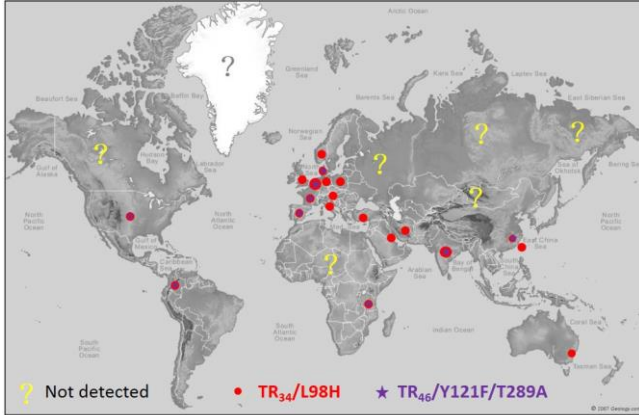


Figure 18. Geographical distribution of TR₃₄/L98H and TR₄₆/Y121F/T289A isolates. There are still many countries in the world where these resistant

Table 10. *CYP51A* amino acid substitutions associated with azole resistance [182]. This list comprises amino acid variants, which have been found in clinical and/or environmental isolates displaying reduced azole susceptibility patterns as indicated. The AA substitutions were found as sole variations unless indicated otherwise.

<i>CYP51A</i> AA substitution	Association with resistance			Comment
	ITZ	POS	VRZ	
WT	S	S	S	The wild-type variant
N22D	R	NA	NA	
G54x	R	S/I/R	S	E, K, R, V, W variants. G54A in environment [203]
L98H	R	S/I/R	I/R	Found with TR ₃₄ and engineered in [216]
Y121F	S	S	R	Found alone [217] and high VRZ resistant with TR ₄₆ /T289A
G138x	S/R	S/R	R	C, R variants
H147Y	R	I	R	
P216L	R	I/R	S/I	
F219x	R	S/I/R	S/I/R	I, S variants. M220I also in environment [203]
M220x	R	S/I/R	S/I/R	K, I, T, V variants
I242V	I/R	NA	NA	[206]
I266N	R	I	S	Probably N266I [218]
A284T	S/I	S/I	S/I	
T289A	S	S	S	Engineered [219] and high VRZ resistant with TR ₄₆ /Y121F
TR ₃₄ /L98H	R	S/I/R	I/R	
TR ₄₆ /Y121F/T289A	I/R	I/R	R	
S297T	S	S	S	Often found with TR ₃₄ /L98H/F495I
F332K	R	I	S	Probably P332K [182]
S400I	S	S	I	
E427G	R	S/I	I/R	
Y431C	I/R	S/R	S/I/R	
G432S	R	S	S	Also found in azole naïve patient [212]
G434C	R	R	R	
T440A	R	NA	NA	
G448S	R	I/R	R	Also described in [220]
Y491H	R	NA	NA	
F495I	S	S	S	Often found with TR ₃₄ /L98H/S297T

S, susceptible, I, intermediate, R, resistant according to EUCAST breakpoint definitions [21] and confer Table 1.

The clinical implication was in this case potentiated by the intrinsic polyene resistance in *A. terreus*, but fortunately acquired azole resistance in *A. terreus* has to our knowledge remained a very rare event. Overall, such cases illustrate the constant concern for patients undergoing long-term azole exposure. On a second note, mutants suspected to derive in vivo display higher diversity both with regards to resistance mutations in *CYP51A* but also with regards to STRAf genotyping profiles as observed previously [180, 198].

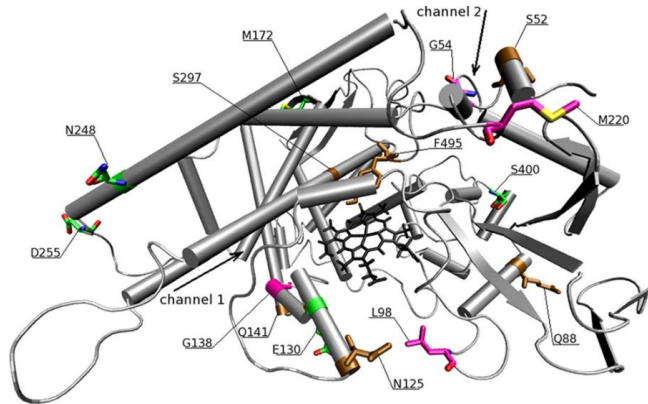


Figure 19. *CYP51A* protein model of *A. fumigatus*. The model includes important amino acids relevant in association with azole susceptibility and most amino acids have been experimentally validated as drivers of resistance. The illustration is printed from a previous paper [221] with permission from the publisher ASM.

3.2.4 Prevalence of azole resistant *A. fumigatus* in Denmark

In Denmark, four studies have addressed azole resistance in *A. fumigatus* both from environment and clinical isolates [27, 183–185] describing a prevalence of 8% in soil samples in the first environmental survey but 0% in two subsequent environmental studies. One study prospectively investigated azole resistance in clinical isolates during 3 months. This study presented an azole resistance prevalence of 4% of which two isolates were *A. fumigatus* and only one harboured a known *CYP51A* variant (M220K) associated with azole resistance. Moreover, a Danish CF cohort was sampled in which a prevalence of 4.5% azole resistant *A. fumigatus* isolates were found in 2007 and 2009 [183]. This cohort probably represented a population where acquired resistance is higher than in the entire Danish population because CF patients often undergo long-term antifungal exposure due to their inherited predisposition for *Aspergillus* disease. Since Paper V showed that environmentally derived azole resistant *A. fumigatus* persist in Danish clinical samples [184], there has been an increasing demand to uncover the prevalence of azole resistance.

An assessment of the susceptibility data of different *CYP51A* variants encountered among Danish *A. fumigatus* isolates is provided in supplementary reading (S.6 EUCAST susceptibility of Danish *A. fumigatus* isolates with *CYP51A* mutations).

Paper VI [223] was a laboratory based retrospective study from 2010-2014, which investigated the occurrence of azole resistant *A. fumigatus* as well as the underlying resistance mechanisms and genotyping data. An increasing number of *A. fumigatus* isolates were obtained, either as referred isolates or as culture positive of primary specimens, and the proportion of susceptibility tested isolates also increased (Figure 20). Moreover, an increase in azole resistance was seen both with regards to isolates, to 6% in 2014 ($P < 0.001$) and patients, to almost 4% in 2014 ($P < 0.05$) (Figure 20).

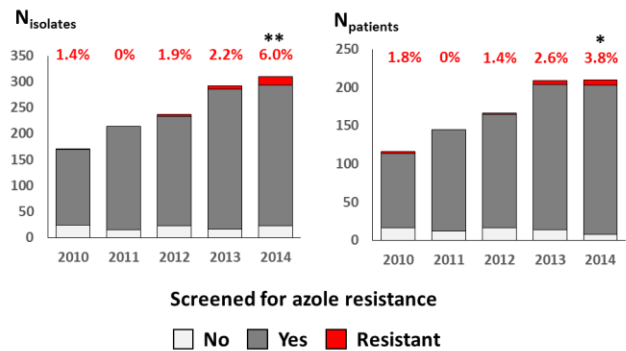


Figure 20. Referred *A. fumigatus* isolates from 2010-2014. Overview of *A. fumigatus* isolates (left) and corresponding patients (right) examined at Statens Serum Institut from 2010-2014. Grey indicates when the isolates were screened for azole resistance, white indicates isolates not tested and red indicates resistant isolates. Red numbers above each bar indicate percentage of resistance (among susceptibility tested isolates). * $P < 0.05$ ** $P < 0.001$, chi-squared test for trends in proportions.

3.2.5 Strengths and pitfalls of *A. fumigatus* genotyping, what have we learned?

During the study period for Paper VI there was a potential outbreak at a haematology unit (2012-2013). This was assessed by analysis of an increased number of patient specimens (*Aspergillus* galactomannan antigen, culture, microscopy, susceptibility patterns and genetic analysis if culture positive) as well as samples from seven ventilation filters. In short, the outbreak was not resolved and a single common source of *A. fumigatus* was undetected (Table 11). However, since 13 of 14 patients had positive biomarker (galactomannan antigen) results within a short period of time and because the ceiling in connecting hall-ways were undergoing repair, an outbreak associated with the construction work was indeed a plausible explanation for this increased incidence.

Table 11. The Roskilde *A. fumigatus* outbreak. Microsatellite typing, susceptibility data and demographics.

Patient*	Acquired		Source	Clinical Outcome	EUCAST MIC (mg/L)			STRAf microsatellite typing								Comparison Dendrogram	
	Date	Site			ITZ	POS	VRZ	2A	2B	2C	3A	3B	3C	4A	4B		4C
SSI-19 ^{PBL}	04-06-13	TS	Slagelse	Died	S	S	S	14	20	11	32	9	7	8	12	32	
SSI-32 ^{UHM}	21-06-13	BAL	Nørre Alslev	Alive	S	S	S	18	23	15	33	11	18	13	9	8	
SSI-58 ^{HCL}	27-09-13	BAL	Sorø	Alive	S	S	S	23	23	15	36	11	20	13	9	5	
ROS-13-6	July 2013	Air	Roskilde	NA	S	S	S	23	22	15	48	11	7	13	9	5	
ROS-13-5	July 2013	Air	Roskilde	NA	S	S	S	21	22	9	12	10	27	10	9	10	
SSI-44 ^{BL}	22-05-13	BAL	Boeslunde	Alive	S	S	S	18	12	8	29	10	20	9	9	8	
SSI-26 ^{UHM}	02-10-13	BAL	Køge	Alive	S	S	S	18	12	11	16	10	13	8	9	5	
ROS-13-7	July 2013	Air	Roskilde	NA	S	S	S	18	12	16	25	10	23	8	9	7	
ROS-13-4	July 2013	Air	Roskilde	NA	S	S	S	18	12	21	28	10	20	8	9	10	
ROS-13-3	July 2013	Air	Roskilde	NA	S	S	S	13	10	9	10	11	9	8	9	19	
SSI-33 ^{Haem.}	22-06-13	BAL	Slagelse	Alive	S	S	S	25	20	8	10	10	21	9	10	5	
ROS-13-2	July 2013	Air	Roskilde	NA	S	S	S	15	20	9	10	10	6	8	10	10	

*Superscript letters indicate underlying diseases of patients, PBL: Plasmablastic lymphoma, BL: Burkitt's lymphoma, UHM: unspecified haematological malignancy, HCL: Hairy cell leukaemia. Haem: haemophagocytosis.

TS: tracheal/sputum. BAL: bronchoalveolar lavage. Air: air samples from ventilation filters. STRAf: Short tandem repeat *A. fumigatus* microsatellite genotyping assay. Markers are 2A, 2B, 2C, 3A, 3B, 3C, 4A, 4B and 4C. ITZ: Itraconazole, POS: Posaconazole, VRZ: Voriconazole. Dendrogram was created by UPGMA clustering of categorical (STRAf) values. Fractions indicate number of identical markers out of 9 total.

This case illustrated the complexity of *A. fumigatus* outbreak investigation, which due to the ubiquitous nature of *A. fumigatus*, uncovering a source of outbreaks may be like finding a needle in a haystack. The challenge in assessing STRAf genotype data may be associated with further ambiguity, prompted by the finding of identical genotypes from different sources. Indeed, we found a relatively high occurrence of shared genotypes both among Danish clinical and environmental isolates but also across different countries (Table 12). One main point was the scrutiny and care, with which STRAf genotyping data should be interpreted. Identical genotypes could in some settings indicate outbreaks, which is

the strength of such high-resolution assay [214] but in our case, the diversity of genotypes in the filters and patients prohibited identification of a common source. On the other hand, identical genotypes were found among patients, which were hospitalised simultaneously at the same wards, and the patient samples handled in the same clinical microbiology laboratory. As only one patient in each incident had signs and symptoms of invasive aspergillosis only one patient was regarded truly infected, while the false positive patients were examples of pseudo-outbreaks [225].

Table 12. Collection of *A. fumigatus* isolates with identical genotypes from unrelated sources.

Group no.	Patient	Date	Site	STRAf markers								Azole resistance		Location		100% matching STRAf genotypes	
				2A	2B	2C	3A	3B	3C	4A	4B	4C	CYP51A profiles	City/country	DK isolate	Origin of foreign isolate	
1	SSI-58	Sep-13	BAL	23	23	15	36	11	20	13	9	5	ND Suscept.	Sorø**	KLM-R6		
	KLM-R6	Aug-07	Resp.	23	23	15	36	11	20	13	9	5	WT	Faroe Islands ^k	SSI-58		
2	SSI-53	Jun-14	Exp.	20	21	12	83	10	7	8	9	10	TR ₃₄ /L98H	København*	SSI-27		
	SSI-53	Aug-14	Exp.	20	21	12	83	10	7	8	9	10	TR ₃₄ /L98H	København*	SSI-27		
	SSI-27	Jun-14	BAL	20	21	12	83	10	7	8	9	10	TR ₃₄ /L98H	Odder*	SSI-53		
	SSI-36	Jun-14	Exp.	20	21	12	84	10	7	8	9	10	TR ₃₄ /L98H	Middelfart*	(SSI-27, SSI-53)		
3	KLM-R2	Oct-07	Resp.	14	20	8	40	9	11	8	10	20	TR ₃₄ /L98H/S297T /F495I	Hillerød*	KLM-R5	Dutch resistant clinical isolate[193]	
	KLM-R5	Oct-07	Resp.	14	20	8	40	9	11	8	10	20	TR ₃₄ /L98H/S297T /F495I	Værløse*	KLM-R2	Dutch resistant clinical isolate[193]	
4	AST-4	Mar-14	BAL	18	12	11	16	10	13	8	9	5	WT	Ry***	SSI-26	Bern[214], Apeldoorn	
	SSI-26	Oct-13	BAL	18	12	11	16	10	13	8	9	5	ND Suscept.	Køge**	AST-4	Bern[214], Apeldoorn	
5	SSI-33	Jun-13	BAL	25	20	8	10	10	21	9	10	5	ND Suscept.	Slagelse**	SSI-18	Oslo[197], Apeldoorn	
	SSI-18	Nov-09	Resp.	25	20	8	10	10	21	9	10	5	WT-RES	Halsnæs	SSI-33	Oslo[197], Apeldoorn	
6	AST-4	Feb-14	BAL	18	12	8	27	10	20	9	9	5	WT	Ry***	RH-14-4	Merelbeke[226], Nijmegen, Oslo[197]	
	RH-14-4	Sep-14	Air	18	12	8	27	10	20	9	9	5	ND Suscept.	København	AST-4	Merelbeke[226], Nijmegen, Oslo[197]	
7	KRO-H2	Sep-13	Soil	13	20	10	10	10	10	8	9	20	WT	Ringsted	SSI-8, RH-14-20	Madrid[227], Apeldoorn	
	SSI-8	1992	Exp.	13	20	10	10	10	10	8	9	20	ND Suscept.	København	KRO-H2, RH-14-20	Madrid[227], Apeldoorn	
	RH-14-20	Sep-14	Air	13	20	10	10	10	10	8	9	20	ND Suscept.	København	KRO-H2, SSI-8	Madrid[227], Apeldoorn	
8	AST-3	Jun-13	BAL	20	20	28	32	9	6	8	10	20	TR ₃₄ /L98H	Kgs. Lyngby		Dutch resistant clinical isolate[193]	

Group no.	Patient	Date	Site	STRAf markers									Azole resistance	Location	100% matching STRAf genotypes	
				2A	2B	2C	3A	3B	3C	4A	4B	4C	CYP51A profiles	City/country	DK isolate	Origin of foreign isolate
	ROS-13-3	2013	Air	13	10	9	10	11	9	8	9	19	ND Suscept.	Roskilde**		Merebeke[226], US [172]
	SSI-44	May-13	BAL	18	12	8	29	10	20	9	9	8	ND Suscept.	Boeslunde**		Apeldoorn
	AST-1	May-12	BAL	18	19	8	26	10	21	9	9	5	WT	Køge		Oslo[197]
	SSI-38	Jan-07	Resp.	18	21	15	60	11	24	17.3	9	5	WT-RES	Hellerup		Würzburg[214]
	SSI-32	Jun-13	BAL	18	23	15	33	11	18	13	9	8	ND Suscept.	Nørre Aslev**		Würzburg[214]
	RH-14-7	Sep-14	Air	20	12	9	10	8	10	8	9	10	ND Suscept.	København		Oslo[197], Apeldoorn
	SSI-20	Nov-10	Exp.	20	19	8	31	14	20	9	9	5	WT-RES	København		Oslo[197]
	AST-2	Jan-13	BAL	14	20	11	34	9	7	8	10	12	WT	Vejle		Oslo[197], Nijmegen, Apeldoorn
	RH-14-12	Aug-14	Air	18	12	13	14	10	12	8	9	5	ND Suscept.	København		Oslo[197], Bern[214], Apeldoorn
	SSI-13	1997	Eye	18	12	21	13	9	17	8	9	10	ND Suscept.	Stenløse		US [172]
	ROS-13-4	2013	Air	18	12	21	28	10	20	8	9	10	ND Suscept.	Roskilde**		Apeldoorn
	RH-14-24	Aug-14	Air	21	22	18	26	10	15	9	13	8	ND Suscept.	København		Apeldoorn
	SSI-47	Mar-13	Exp.	18	23	26	36	11	28	22	10	8	WT-RES	Risskov		Apeldoorn

*Presumed pseudo-outbreak. All samples obtained and cultured within 3 days at the same hospital [225].

**Patients or air samples from the Roskilde outbreak

***Sample obtained while patient were hospitalized at Rigshospitalet.

Group 1 through 7 contain two or more isolates with identical genotypes.

KKLM-R6 is a cystic fibrosis patient and regularly in Denmark where respiratory samples are obtained. Whether this isolate is acquired from Denmark is unclear

The fact that more than 15% of unique genotypes among Danish *A. fumigatus* isolates were identical to genotypes from other countries despite the high discriminatory potential of STRAf typing was surprising. Such frequency may support a theory on clonal expansion and especially genotypes from Norway (3.3%) and The Netherlands (1.7%) were relatively frequent shared with Danish genotypes (Figure 21). Importantly, two genotypes from isolates carrying the TR₃₄/L98H resistance mechanisms were shared with Dutch TR₃₄/L98H isolates and it would be especially interesting to analyse such isolates in more depth and determine the degree of relatedness. Whether the resistance mechanisms are constantly evolving in the environment or whether resistant clones are ubiquitously spread may still be questioned. Genetic insight in a Dutch collection of *A. fumigatus* isolates suggested clonal expansion of the TR₃₄/L98H clone rather than random sexual reproduction leading to the same resistant phenotype [228]. Although, this study only included isolates from one country, samples were gathered from 300 km apart, which could indicate an airborne spread [228]. Moreover, identical STRAf genotypes with the TR₃₄/L98H resistance mechanism distributed all over India were found [189] as well as identical genotypes and resistance mecha-

nisms among isolates from Tanzania and the Netherlands [190]. One study further highlighted the possibility that an airborne route could be responsible for the spread to other nearby countries and continents based on whole genome sequencing of STRAf related TR₃₄/L98H isolates [229]. This study demonstrated very close relationship between the TR₃₄/L98H isolates within India and suggested that such (dominant and stable) clone could have arisen from a recent mating of a stable Indian wild-type strain with a European TR₃₄/L98H isolate [229]. Finally, the authors suggested that despite a higher diversity among European TR₃₄/L98H isolates, one common ancestor could indeed have been the case, potentially arising from The Netherlands [229]. The diversity of *A. fumigatus* and the spread of this organism is yet to be fully understood. Indeed, the reproductive mode and the production of millions of asexual spores underline the potential of clonal expansion of stable clones. Still, the unique feature of this organism to undergo sexual mating does challenge the overall understanding of the spread of *A. fumigatus*. Whole genome sequencing may indeed play a significant role in exploring this complex situation and help elucidate the true origin of environmentally derived resistance mechanisms.

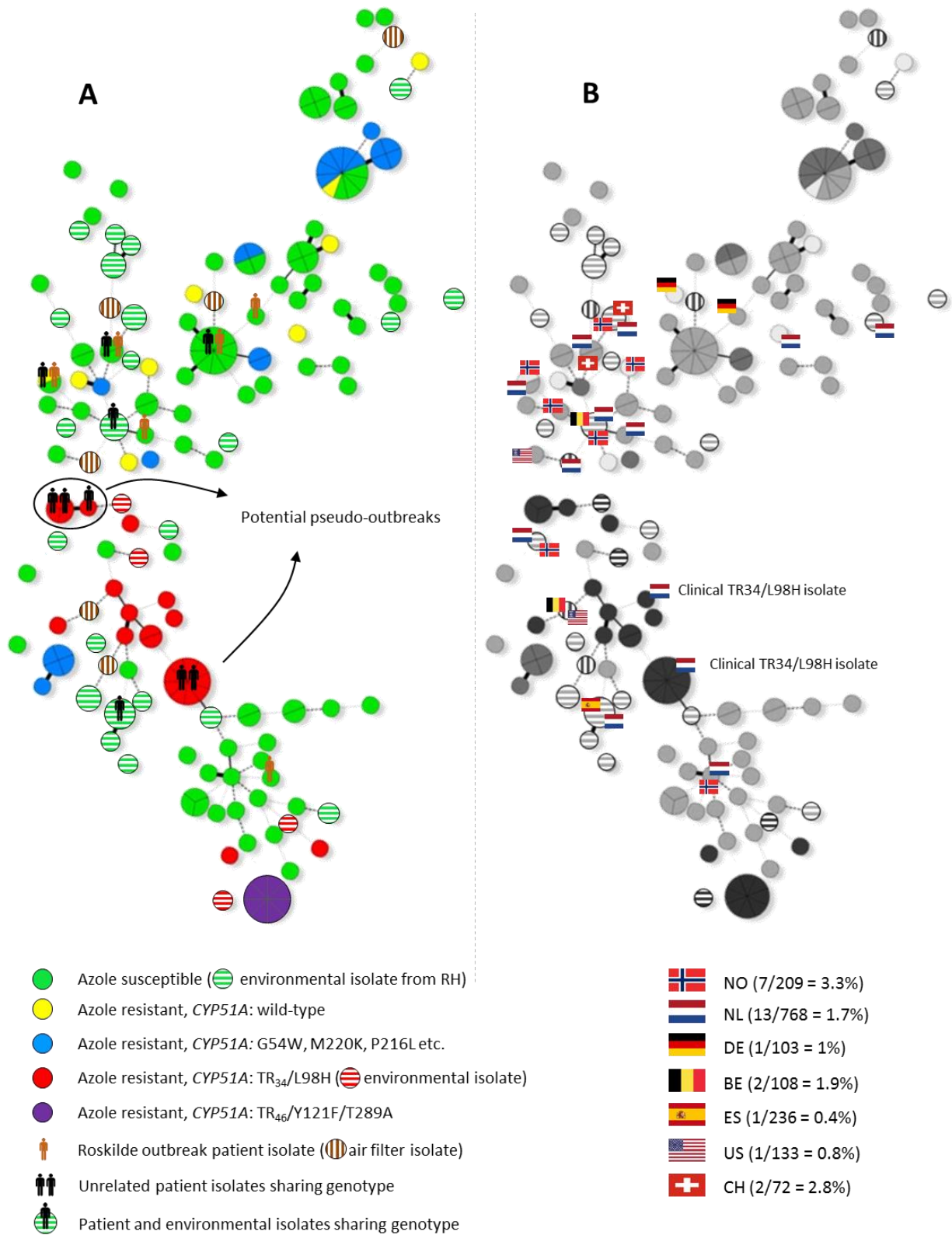


Figure 21. Minimum spanning tree of STRAf genotyped Danish *A. fumigatus* isolates. Each circle represents a unique genotype. Heavy connecting lines indicate similarity in 8/9 microsatellites. Colours, symbols and flags are described in the figure. A) Danish overview illustrating genotypes from azole susceptible and resistant isolates as well as clinical and environmental isolates. Furthermore, the Roskilde outbreak and the seven incidents of shared STRAf genotypes between unrelated isolates have been indicated. RH, University Hospital of Copenhagen, Rigshospitalet. B) Black and white representation of the Danish genotypes with national flags of where *A. fumigatus* has been uncovered sharing identical STRAf genotypes on all 9 markers. The numbers and % in parenthesis is the number of genotypes/total from each country (in our data), which were identical to Danish STRAf genotypes.

4.1 Recapitulating antifungal drug resistance in Denmark

Drug resistance has emerged in Denmark and is a persisting concern for patients suffering from severe *Candida* and *Aspergillus* infections. Uncovering the true prevalence of antifungal resistance in Denmark is complex but this thesis may contribute to a broader overview of the current situation for the most frequent invasive fungal infections. Indeed, the management of fungal infections face the challenges of resistance and as we demonstrated for *A. fumigatus* also from an external source. For *Candida* infections, the main concern remains a changing epidemiology towards species intrinsically less susceptible to fluconazole. Still, rapidly acquired resistance to echinocandins gives rise to another concern. Among Danish clinical *Candida* isolates, a larger capacity of *C. glabrata* to acquire echinocandin resistance was indicated, posing a potential multi-drug resistant threat due to the inherent reduced fluconazole susceptibility of this species [152]. Indeed *C. glabrata* is suggested to be highly prone to resistance development due to a discernible degree of genomic instability triggered by antifungal stress induction [89]. Multidrug resistance is however rare, probably due to the complexity and multitude of genetic events cellular changes required for such trait [119]. Still, *C. albicans* illustrated an enormous capacity to evolve with antifungal drugs and the proposed novel azole and polyene resistance mechanisms deserve further investigation. Insight in the genetic landscape of antifungal resistance contributes to the understanding of resistance selection and may in turn help preventing resistance development as well as emphasise the demand for novel fungicidal drugs [89]. Antifungal resistance in *Candida* may be more frequent than suggested by surveillance studies and the oral cavity may serve as an unrecognised reservoir for resistance selection, which was also shown in the abdomen in relation to echinocandin resistance [19]. Species distributions affected by antifungal exposure was indicated in this thesis and has been shown previously both for fluconazole and caspofungin treated patients [132, 133, 136]. The clinical implications of such findings imply that any patient exposed to antifungal drugs may have altered *Candida* colonisation, which in turn imposes a risk of later infection caused by a species with intrinsic or acquired resistance. This could be further illuminated by two clinical surveys; one follow up study of survived patients, obtaining oral swabs at later time-points to clarify whether the resistant strain had persisted or only transiently present in response to antifungal exposure. Another study could investigate the oral flora in patients before initiation of empirical treatment and subsequently tracing those patients with documented candidiasis to see whether the preliminary exposure had an effect on the invasive pathogen. Such study would give some clarity to the missing link in our study and is similar to a previous study, except that the number of detected invasive infections were very low [136]. The overall conclusion remains the same; antifungal exposure is a strong driver of resistance in *Candidaemia* patients, and may be higher in certain anatomical niches such as the oral microbiota. This underlines the necessity of careful antifungal stewardship as well as susceptibility testing of *Candida* isolates both from blood but ideally also from other sites of the body.

The overall azole resistance rates among clinical *A. fumigatus* isolates in Denmark have increased to about 6% (4% on patient level), and mostly represented by the _{TR34}/L98H resistance mechanism as in the Netherlands [176]. Azole resistant *A. fumigatus*

derived from environmental fungicide use is a tangible concern and although the incidence is low, we illustrated that this phenomenon is still associated with serious clinical implications. This situation may be somewhat similar to the observed methicillin resistant *Staphylococcus aureus* (MRSA), emerged in conventional pig farms and now serving as a source of infection [230, 231]. Also here, antibiotic resistance has evolved in the environmental niche (in the pigs) and pose a constant threat to farmers as well as associated families, which are in close contact with MRSA carrying pigs. The severity of this issue is substantiated by the fact that humans can be permanent carriers of MRSA strains, posing a discernible threat if a patient carrying MRSA becomes vulnerable to infection [230]. Although rarer and probably more complex, azole resistant *A. fumigatus* in the environment may pose a comparable serious health concern, especially for those patients at risk of acquiring IA and increased awareness is warranted. Moreover, the supposed outbreak related to renovation of ceilings in nearby hallways underlines the importance of maintaining spore levels in the air of hospital wards (especially haematological and intensive care units) as low as possible [173]. It is possible that the occurrence of *Aspergillus* associated outbreaks is underreported since many IA cases are never diagnosed or remain unresolved. Moreover, extra care should be taken, before reporting on potential airborne outbreaks, in order to avoid undesirable media attention, and improved tools are still demanded for resolving outbreaks of this ubiquitous microbe.

The worldwide spread of azole resistance in the environment still needs further studies but there lies a great challenge in unravelling the spread of potential resistant ancestors due to the clonal as well as sexual reproductive mode and the generation of often millions of progeny within one *A. fumigatus* colony. Our analysis of accumulated Danish genotypes illustrated the enormous diversity of *A. fumigatus* as well as the somewhat ambiguity when interpreting the results. The high degree of identical genotypes in Danish and foreign isolates were unexpected and could be a result of clonal expansion. Despite the high discriminatory power of the microsatellite based STRAf genotyping assay, our results suggest that care, with which interpretation of such data, should be assessed. Nevertheless, early diagnosis, systematic referral of mould isolates as well as susceptibility testing is in high demand to improve the management of invasive aspergillosis. This would further enhance the epidemiological understanding and the constant monitoring of the emerging azole resistance in Denmark.

4.2 Relevant topics left behind

In the attempt in covering the broad perspectives of antifungal drug resistance in Denmark, the compromise has been to stay rather brief on certain topics, which may be more significant than accounted for here. First, *Candida* biofilm formation especially on foreign objects such as catheters not only serves as a major source for disseminated *Candida* infection but may also serve as first line resistance against antifungals [232]. Moreover, biofilm may further enable resistance development due to associated sub-therapeutic drug concentrations within the biofilm [232]. The genetic interplay and cellular components involved in biological challenging feature is extensive and not fully elucidated [233]. The cellular landscape and genetic mechanisms involved in resistance may be even more complex than addressed here and indeed the novelty of potential resistance mechanisms require independent validation. Moreover, explaining why virulence was less attenuated in the MDR *C. albicans* isolates deserve further

elucidation and by doing so, cellular and genetic mechanisms may be identified, which could serve as potential targets for reducing virulence. One antifungal drug class not discussed in this thesis is the pyrimidine analogue 5-flucytosine (a prodrug), which is a drug inhibiting both protein and DNA synthesis mediated by intracellular modifications. This drug is rarely used as monotherapy due to a high level of acquired resistance when given alone but have served applicable in rare *Candida* infections e.g. at challenging anatomical sites such as the central nervous system [234, 235]. Still, resistance to 5-flucytosine is primarily driven by mutations leading to specific amino acid substitutions in proteins involved in uptake and modifications of the prodrug [235].

4.3 Three areas requiring further research

There are several projects, which are currently ongoing and require further research (Figure 22).

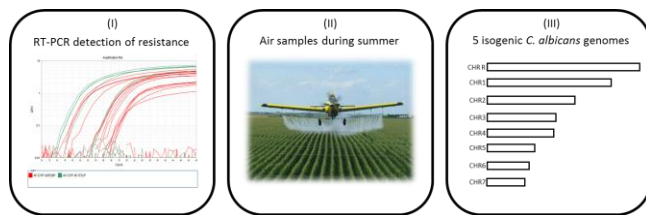


Figure 22. Three projects to be completed in near future. Left panel, RT-PCR to detect *A. fumigatus* in respiratory samples as well as the two environmental resistance markers. Mid panel, spore collection from air during summer months from agricultural fields. Right panel, whole genome sequencing of the 5 sequential and supposedly isogenic *C. albicans* strains from Paper III, to uncover the full genetic landscape responsible for the observed resistance.

- (I) Real-time PCR based analysis for the detection of *Aspergillus* DNA among respiratory samples is currently in the pipeline and may serve as a valuable contribution to improved diagnostics of IA [236]. This includes detection of the two environmentally derived resistance mechanisms TR₃₄/L98H and TR₄₆/Y121F/T289A, which may further help resolve the choice of treatment, when aspergillosis is suspected. Similar approaches have been proposed for echinocandin resistance in *C. albicans* targeting *FKS1* [237, 238]. The panel of PCR assays may be expanded to *C. glabrata* too but as this thesis also demonstrated, *FKS1* variants are diverse and still emerging, thus, assays for all *FKS1* variants in *Candida* would be infeasible.
- (II) Azole resistant *A. fumigatus* remained absent in our environmental surveys but sampling during the summer period may help elucidate the true prevalence of TR₃₄/L98H and TR₄₆/Y121F/T289A strains in the environment. One ongoing environmental study is being carried out by a collaborating agricultural university and they have collected spores during the summer months June-August for several years and from several conventional agricultural fields. DNA will be extracted from these samples and analysed in the above mentioned RT-PCR for the detection of *A. fumigatus* as well as azole resistance markers.
- (III) Further in depth understanding of the MDR *C. albicans* isolates from Paper III has been sought by whole genome sequencing. Thus the entire genetic landscape may be elucidated and the underlying chromosome transformations, involved in loss-of-heterozygosity of both *ERG11* and *TAC1*, uncovered

[102]. Moreover, single nucleotide polymorphism (SNP) analysis would help reveal the rate of which spontaneous mutations occurred during the heavy antifungal pressure that the patient was exposed to.

4.4 Three suggested future projects

Besides the ongoing projects, other ideas have emerged throughout this thesis and may be pursued in the future (Figure 23).

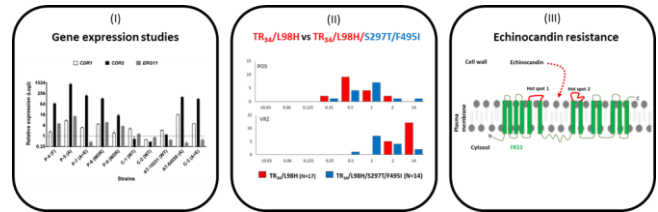


Figure 23. Three suggested projects for future studies. Left panel, gene expression studies in relation to drug resistance, particularly azole resistance in *Candida* species. Mid panel, assessment of potential differences between the two variants of TR₃₄/L98H, which could have clinical relevance. Right panel, echinocandin resistance at certain anatomical niches could be investigated further.

- (I) Gene expression study. Elevated expression levels of genes (applied in Paper III) have thus far been carried out by collaborators, despite that this cellular feature plays a significant role in potentiating azole resistance especially for *C. glabrata*. One outcome of the national surveillance as well as the clinical study in Paper IV was the high number of azole resistant *Candida* and the underlying mechanisms remain to be fully resolved in these isolates. While the methodology may be straight-forward we still do not have this analysis implemented and would be desirable [122].
- (II) Further assessment of the TR₃₄/L98H/S297T/F495I mechanism. Indications on slightly different susceptibility profiles of the TR₃₄/L98H vs. the other variant TR₃₄/L98H/S297T/F495I was observed (supplementary reading, S.7 Azole MIC distribution of frequent *CYP51A* variants). Intuitively, additional amino acid substitutions in *CYP51A* could have implications on azole susceptibility but not necessarily increasing resistance. Instead, the TR₃₄/L98H/S297T/F495I variant displayed a modal MIC one step higher for posaconazole but two steps lower for voriconazole compared to TR₃₄/L98H. Indeed, batch to batch variations, biological inaccuracy, low number of isolates etc. may all contribute to an inaccurate interpretation of this observation but it may be relevant to pursue. This could have significant clinical implication in the management of such infections because a lower in vitro MIC for voriconazole could potentially correlate to successful management by dose escalation of voriconazole rather than alternating treatment to weaker alternatives.
- (III) Further assessment of the in vivo role of echinocandins. Investigating echinocandin penetration in different relevant anatomical sites applying pharmacodynamics and pharmacokinetics could be pursued. This would involve improved measurements of echinocandin concentrations in those sites compared to serum levels. Moreover, such study should also address the potentially increased risk of acquired resistance as a consequence of sub-therapeutic drug levels in those anatomical sites. The protein bound nature of echinocandins may indeed be the primary cause of sub-therapeutic levels in cer-

tain sites and studying this feature could help identify the required levels for efficient treatment in those anatomical sites.

4.5 Ideas for future

If money, time, expertise and hands were not an issue, the number of ideas for future studies are many and I have sought to outline the concepts of those, I find most relevant (Figure 24).

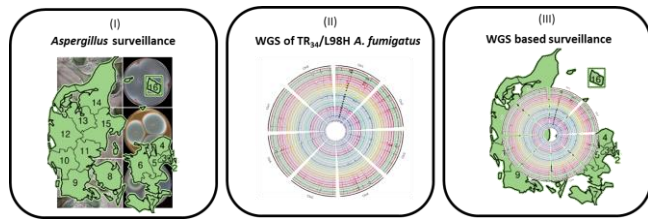


Figure 24. Ideas for the future. Left panel, national surveillance of invasive *Aspergillus* infections. Mid panel, routine whole genome sequencing of all collected *A. fumigatus* isolates harbouring environmental azole resistance mechanisms. Right panel, WGS based surveillance of all invasive fungal infections.

- (I) As indicated for the *Aspergillus* section, a systematic referral of mould isolates would increase the detection of *Aspergillus* infections as well as the precision of estimated resistance rates. Hopefully, such national surveillance could be implemented. This should ideally be combined with an improved evaluation of respiratory and one day serum samples from high-risk patients to be analysed by *Aspergillus* specific PCR in addition to current biomarker assays. This would contribute to improved diagnostics and thus patient care, a refined understanding of the actual burden not only of invasive aspergillosis but also of environmental azole resistance rates.
- (II) Whole genome sequencing of isolates carrying TR₃₄/L98H and TR₄₆/Y121F/T289A resistance mechanisms could help elucidate the origin and route of these clones and answer one important question. Are these clones dispersed by clonal expansion or are they independently developed in different niches all around the globe?
- (III) In the bacterial world, smaller genomes and primarily clonal expansion make WGS invaluable in studying these organisms both with regards to outbreak investigation, resistance screening, virulence determination and epidemiological purposes. Likewise, such advanced methods could one day be applied in combination with routine surveillance of yeast and mould infections and a national WGS based surveillance of all invasive fungal infections could be a highly valuable tool. Still, the fungal genomes are typically 10 times larger than bacteria and combined with additional factors such as sexual mating and poly-ploidy of fungal species make such approach currently less attractive. When more fungal genomes are mapped, reliable databases curated and most genes concerning resistance and virulence have been identified, this platform may one day become economically feasible.

On an even larger scale other ideas for future projects and collaborations are listed below.

- Genetic platform for mutational analyses. The *ERG2* mutation was sought constructed in *C. albicans* (and later *S. cerevisiae* as a model) at another collaborating university both by me but also a master's student, although both unsuccessfully. I therefore propose the establishment of a high throughput

genetic platform for the in vitro evidence based assessment of potentially novel resistance associated mutations. Such platform is currently present in other labs and should be within reach. The platform should primarily be within *Candida* but an equivalent platform for *A. fumigatus* would also be desired.

- Surveillance of invasive fungal infections is not permanently implemented in many fellow Nordic countries and thus initiatives such as a Scandinavian fungaemia surveillance network could be warranted. This could help elucidate the low incidence of *Candidaemia* outside Denmark and also further address whether antifungal resistance may be overlooked in other countries.
- Microbiome studies are increasingly employed and the host mycobiome in relation to gastrointestinal diseases have been investigated [239]. Moreover, microbiome studies based on bacteria (using the 16S ribosomal DNA) and fungi (using the ITS region) are available but it would be intriguing to pursue a combined bacterial and eukaryotic microbiome assay (bacteria, parasites and fungi). This could have extensive clinical as well as scientific potential since it is now acknowledged, that the microbiome play vital roles both in relation to infections but also in a wide range of non-microbial diseases and lifestyle syndromes [240].

4.5 The final note

Please remember three points from this thesis.

- (I) Antifungal exposure is associated with the risk of selecting resistance, primarily against echinocandins in *Candida*, but the changing epidemiology may pose the most apparent concern.
- (II) Antifungal resistance may be underestimated among drug exposed patients and thus, precautions should be taken when managing fungal infections, especially in patients previously exposed to antifungals.
- (III) Long-term azole exposure in patients with *A. fumigatus* infections may select resistance in vivo but the most important clinical concern is the increased risk of acquiring azole resistant *A. fumigatus* derived from environmental fungicide.

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ABSTRACT

Antifungal drug resistance is a multifaceted clinical challenge, and when present, a primary cause of treatment failure in patients with severe fungal infections. Changing epidemiology, increasing resistance rates and a narrow antifungal armamentarium may further underline the required attention on resistance particularly within the most prevalent invasive fungal infections caused by *Candida* yeasts and *Aspergillus* moulds. In Denmark, the resistance epidemiology remains to be fully elucidated. This thesis sought to address this demand as well as provide insight into the landscape of underlying molecular resistance mechanisms.

Paper I and II both contributed to the understanding of *FKS* (β -glucan synthase) mediated echinocandin resistance in *Candida* species. Paper I covered a unique stepwise acquisition of a homozygous mutation in *FKS1* of *Candida tropicalis* leading to an amino acid change corresponding to a well-known S645P in *Candida albicans*. Paper II presented a failure case due to *Candida krusei* displaying high-level echinocandin resistance likely attributable to an acquired D662Y amino acid substitution in *FKS1*. Intrinsic differences in *FKS1* among *Candida* species may explain why the level of resistance both depends on the mutation as well as the species and cannot be easily translated to the level of clinical resistance. Intrinsic fluconazole resistance in *C. krusei* further substantiated the clinical implications of acquired echinocandin resistance.

Paper III presented a rare multidrug resistance case in a series of isogenic *C. albicans* isolates, almost covering the entire spectrum of known resistance mechanisms in *Candida* and involved the proposal of novel resistance mutations. An A61E change in *ERG11* was potentially involved in reduced susceptibility to long-structured azoles. Increased expression levels of azole efflux pumps were probably accredited to novel gain-of-function variants in the transcription factor *TAC1* (R688Q and R673L). Echinocandin resistance was induced by the well-known S645P variant of *FKS1* and polyene resistance was likely inflicted by a frameshift mutation in *ERG2* leading to loss of function of the encoded protein and subsequent ergosterol depletion. The number of acquired resistance cases is increasing in our settings and Paper IV sought to illuminate whether antifungal resistance is overlooked in the current fungaemia programme. This involved the acquisition of post-treatment oral isolates from 193 *Candida* patients among which 114 received azoles (primarily fluconazole) and 85 received an echinocandin (and some both). Azole exposed patients carried a significantly higher proportion of species less susceptible to fluconazole (primarily *Candida glabrata*) among colonising *Candida* compared to baseline blood isolates ($P < 0.001$). A similar trend was seen for echinocandin treated patients although not statistically significant. Interestingly, there was a high frequency of acquired resistance, 29.4% to fluconazole and 21.6% to echinocandins, among colonising *C. glabrata* isolates post treatment. These figures were both significantly higher compared to baseline blood isolates as well as oral isolates from patients with no or minimal exposure to either drug class. In contrast, acquired resistance among *C. albicans* oral isolates was rare (<5%). Thus, the oral cavity may be an unrecog-

nized reservoir of resistant *Candida* species, especially *C. glabrata* following azole or echinocandin treatment. This underlines the care of which therapeutic stewardship must be taken both for antifungal naïve patients, to avoid resistance development, as well as for patients previously exposed to antifungals.

Paper V presented four fatal cases of invasive aspergillosis involving azole resistant *Aspergillus fumigatus* harbouring resistance mechanisms (TR₃₄/L98H and TR₄₆/Y121F/T289A), which are thought to derive from environmental fungicide use. The clinical concern is evident because the route of infection is through inhalation of potentially azole resistant spores. Still, recent environmental surveys were unable to detect azole resistant *A. fumigatus* in numerous soil samples but seasonal variations could be one explanation for this paradox.

Paper VI was a retrospective laboratory based study and aimed to elucidate the prevalence of azole resistance in *A. fumigatus* isolates from 2010-2014 in Denmark. This study also sought to uncover the underlying resistance mechanisms, primarily attributable to *CYP51A* mutations, and finally to assess the accumulated genotyping data. Among 1162 *A. fumigatus* isolates, 94.5% were screened for azole resistance and a significant increasing trend was observed for the number of azole resistant isolates to approximately 6% in 2014 ($P < 0.001$) and 4% in corresponding patients ($P < 0.05$). The underlying resistance mutations were diverse but still dominated by the TR₃₄/L98H resistance mechanism responsible for >50% of all our azole resistant isolates. The genotyping data of resistant and a selection of susceptible *A. fumigatus* showed high identity to foreign isolates (>15%). This could argue for the hypothesis on clonal expansion, which has previously been suggested for TR₃₄/L98H clones in the Netherlands and India, but could also indicate an insufficient discriminatory power of such analysis. Still, a proposed *A. fumigatus* outbreak in a haematology ward was unresolved since no genetically identical isolates were recovered from patients and air samples, illustrating the ubiquitous nature of this organism.

Overall, the main concerns are a changing *Candida* epidemiology towards species less susceptible to fluconazole combined with the rapid acquisition of echinocandin resistance, especially among *C. glabrata* isolates. For *A. fumigatus*, the concern is the emergence of azole resistant strains in the environment, displaying cross-resistance to clinical azoles, and thus posing unforeseen clinical challenges in the management of invasive aspergillosis. Collectively, these findings call for an increased awareness especially at clinical microbiology laboratories, which ideally would lead to susceptibility testing of all clinically relevant isolates by reference or validated methods. Moreover, novel diagnostic approaches for non-culturable pathogens are warranted and especially DNA based detection by PCR may serve as a solid complementary tool for improved diagnostics of invasive fungal infections.

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