Journal of Visualized Experiments

Isolation and Characterization of Tumor-initiating Cells from Sarcoma Patient Derived Xenografts --Manuscript Draft--

Article Type:	Invited Methods Article - JoVE Produced Video
Manuscript Number:	JoVE57011R2
Full Title:	Isolation and Characterization of Tumor-initiating Cells from Sarcoma Patient Derived Xenografts
Keywords:	tumor-initiating cells, patient-derived xenograft, HLA class I, sarcomas, human tissue samples, intratumoral heterogeneity
Corresponding Author:	Dan Han Icahn School of Medicine at Mount Sinai New York, NY UNITED STATES
Corresponding Author's Institution:	Icahn School of Medicine at Mount Sinai
Corresponding Author E-Mail:	dan.han@mssm.edu
Order of Authors:	Dan Han
	Veronica Rodriguez-Bravo
	Josep Domingo-Domenech
	Carlos Cordon-Cardo
Additional Information:	
Question	Response
Please indicate whether this article will be Standard Access or Open Access.	Open Access (US\$4,200)
Please indicate the city, state/province, and country where this article will be filmed . Please do not use abbreviations.	New York, NY 10029, U.S.

TITLE:

2 Isolation and Characterization of Tumor-initiating Cells from Sarcoma Patient-derived

Xenografts

3 4 5

1

AUTHORS & AFFILIATIONS:

Dan Han¹, Veronica Rodriguez-Bravo¹, Josep Domingo-Domenech¹, Carlos Cordon-Cardo¹

7 8

6

¹Department of Pathology, Icahn School of Medicine at Mount Sinai, New York, NY, USA

9

10 Corresponding Author:

11 Carlos Cordon-Cardo (carlos.cordon-cardo@mssm.edu)

12

13 E-mail Addresses of the Co-authors:

14 Dan Han (dan.han@mssm.edu)

Veronica Rodriguez-Bravo (veronica.rodriguez-bravo@mssm.edu)Josep Domingo-Domenech (josep.domingo-domenech@mssm.edu)

17 18

KEYWORDS:

Tumor-initiating cells, patient-derived xenograft, human leukocyte antigen-1, sarcomas, human tissue samples, intratumoral heterogeneity

21 22

23

24

25

SUMMARY:

We describe a detailed protocol for the isolation of tumor-initiating cells from human sarcoma patient-derived xenografts by fluorescence-activated cell sorting, using human leukocyte antigen-1 (HLA-1) as a negative marker, and for the further validation and characterization of these HLA-1-negative tumor-initiating cells.

262728

29

30

31

32

33

34

35

36

37

38

39

40

41

ABSTRACT:

The existence and importance of tumor-initiating cells (TICs) have been supported by increasing evidence during the past decade. These TICs have been shown to be responsible for tumor initiation, metastasis, and drug resistance. Therefore, it is important to develop specific TIC-targeting therapy in addition to current chemotherapy strategies, which mostly focus on the bulk of non-TICs. In order to further understand the mechanism behind the malignancy of TICs, we describe a method to isolate and to characterize TICs in human sarcomas. Herein, we show a detailed protocol to generate patient-derived xenografts (PDXs) of human sarcomas and to isolate TICs by fluorescence-activated cell sorting (FACS) using human leukocyte antigen class I (HLA-1) as a negative marker. Also, we describe how to functionally characterize these TICs, including a sphere formation assay and a tumor formation assay, and to induce differentiation along mesenchymal pathways. The isolation and characterization of PDX TICs provide clues for the discovery of potential targeting therapy reagents. Moreover, increasing evidence suggests that this protocol may be further extended to isolate and characterize TICs from other types of human cancers.

42 43 44

INTRODUCTION:

Intratumoral cellular heterogeneity of human cancers has been supported by increasing evidence during the past decade¹. Similar to normal tissue, cancer tissue consists of a small subpopulation of TICs (also called cancer stem cells), which exhibit tumor-forming ability; meanwhile, the bulk of cancer cells exhibit differentiated phenotypes². These TICs show stem cell-like properties, including the expression of a stem cell marker and the ability of both self-renewal and asymmetric cell division, and thus, can initiate the formation of a cellular heterogeneous tumor³. Recent studies have revealed that TICs are not only responsible for tumor initiation but are also associated with tumor aggressiveness⁴, metastasis⁵, and drug resistance⁶. Therefore, it is important to understand the biology of TICs and, thus, develop a specific treatment strategy targeting these TICs.

FACS-based methods have been used to identify TICs using TICs markers, including CD133, CD24, and CD44 1 . Most of these markers are also expressed in normal stem cells 7 . However, none of these markers solely mark TICs. The roles these molecules play in the malignancy of TICs are still not clear. For example, CD133 can be frequently inactivated by DNA methylation, and thus, this intertumoral heterogeneity may render the accuracy of these markers 8 . ALDH1 is a marker that also functions to maintain the stemness of TICs 9 . It seems to be more effective in identifying breast cancer TICs but is still questionable in other tumor types 9 . Some signaling pathways play important roles in stem cell biology, including Wnt (wingless-related integration site), TGF- 6 (transforming growth factor beta), and Hedgehog 1 . But it is difficult to prove that these pathways are TIC-specific and to use the activity of these pathways to isolate TICs from primary tumors. Thus, a reliable novel TIC marker is urgently needed.

Human MHC class I, also called HLA-1, is a cell surface protein expressed in almost all nucleated cells¹⁰. HLA-1 functions as an antigen presenting a molecule that is specifically recognized by CD8 T cells¹⁰. The cytotoxic effect of CD8 T cells can be activated when cancer cells present a tumor antigen by HLA-1. Therefore, lacking HLA-1 on the cell surface of the cancer cells can lead to an immune escape from the cytotoxic CD8 T cells. The downregulation of HLA-1 has been described in different types of human cancer and is correlated with poor prognosis, metastasis, and drug resistance¹¹. We have shown that the loss of HLA-1 expression on the cell surface can be used to identify TICs in sarcomas, as well as in prostate cancer^{6,12}.

Here, we describe a detailed protocol to isolate TICs from human sarcoma PDXs by FACS, using HLA-1 as a negative marker, and to further validate and characterize these HLA-1-negative TICs.

PROTOCOL:

All protocols for mouse experiments discussed here were in accordance with institutional guidelines and approved by the Mount Sinai Medical Center Institutional Human Research Ethics Committee and Animal Care and Use Committee.

1. Processing of the Sarcoma Tissue Sample, and PDX Formation

1.1. Under an Institutional Review Board-approved protocol, have pathology service personnel prepare sarcoma samples from surgery specimens and immediately put each sample on ice in a

89 100 mm Petri dish.

90

91 1.2. Place the sample into a 15 mL polystyrene conical tube with 6 mL of cold Roswell Park 92 Memorial Institute (RPMI) 1640 culture medium supplemented with 10% fetal bovine serum 93 (FBS) and 1% penicillin/streptomycin. Process the tissue sample immediately.

94

95 1.3. (Optional) For osteosarcoma only, follow the following steps, which can be skipped for soft tissue sarcoma.

97

98 1.3.1. Cut the tissue into 20 mm³ pieces using a scalpel. Transfer the tissue pieces to a 15 mL tube 99 containing 3 mL of collagenase solution (RPMI 1640 with 1 mg/mL collagenase).

100

101 1.3.2. Put the tube into a water bath at 37 °C for 30 min.

102

1.3.3. Thoroughly vortex the tube and, then, add 3 mL of RPMI 1640 supplemented with 10% FBS
 to neutralize the collagenase activity.

105

1.3.4. Centrifuge for 5 min at 350 x g at room temperature. Remove the supernatant.

107

1.4. Working in a sterile biosafety cabinet, place the tissue sample in a 100 mm Petri dish. Add
 500 μL of sterile 1x phosphate-buffered saline (PBS) to the tissue. With a sterile scalpel,
 mechanically triturate the tissue into small pieces until no visible tissue piece is larger than 0.1
 mm.

112

1.5. Transfer the 500 μL cell suspension to a 35 μm cell strainer and collect the filtered suspension
 with a 50 mL polystyrene tube. Put this 50 mL polystyrene tube with the cell suspension on ice.

115

116 1.6. Add another 500 µL of PBS to the tissue. Triturate for the second time, transfer the suspension through the cell strainer, and collect it into the same 50 mL tube.

118

1.7. Repeat these steps (steps 1.5 - 1.6) until the tissue section is completely dissociated, usually 6x - 8x.

121

1.8. Pellet the cell suspension by centrifugation at 350 x g for 10 min at room temperature.

Discard the supernatant, resuspend the pellet using 5 mL of hemolysis buffer (0.15 M NH₄Cl, 10 mM KHCO₃, and 0.1 mM EDTA), and incubate the solution for 5 min at room temperature to remove red blood cells.

126

1.9. Centrifuge for 5 min at 350 x g at room temperature and remove the hemolysis buffer. Wash the pellet with 5 mL of PBS. Centrifuge again for 5 min at 350 x g and remove the supernatant.

129

1.10. Resuspend the pellet with 1 mL of PBS and count the viable cell number using a hemocytometer or any other alternative method. Dilute the cells to a final concentration of 1 x
 107 cells in 200 μL of PBS. Leave the cell suspension on ice.

133

1.11. Leave the basement membrane matrix on ice to allow it to melt. Add 200 μL of basement membrane matrix to the 200 μL cell suspension. Gently mix and keep on ice.

136

1.12. Subcutaneously inject the cell suspension:basement membrane matrix (1:1) mixture into two NOD scid gamma (NSG) mice into their flanks. Use 200 µL for each injection.

139

1.13. Monitor the PDX formation by checking the injection site of the mice 2x a week. Remove the tumor xenograft when it reaches 1 cm in diameter.

142143

2. Isolation of Tumor-initiating Cells by FACS from the PDX

144

2.1. Surgically remove the PDX from the mice as described previously¹².

146

2.2. Cut the tumor in half. Fix half of the xenograft with 4% paraformaldehyde overnight. This is for histological analysis. Process the other half of the tissue as described above (steps 1.3 - 1.8) to get a tumor cell suspension.

150

2.3. Resuspend the pellet with PBS and count the viable cell number.

152

2.4. Dilute the cell suspension in PBS supplemented with 5% FBS to a concentration of 2 x 10⁶ cells/mL. Leave the cell suspension on ice for 30 min. Divide the cell suspension over two tubes.

Mark the tubes with isotope control and antibody, respectively. Note the number of cells in each tube.

157

2.5. Prepare 2x HLA-1-PE antibody by diluting the antibody with PBS supplemented with 5% FBS (1:250). Dilute the negative isotype control antibody with the same condition. Mix the cell suspension from the "antibody" tube with diluted antibody (1:1) to make the final antibody dilution 1:500. Mix the cell suspension from the "isotope control" tube with isotope control (1:1). Put the cell suspensions on ice for 90 min.

163

2.6. Centrifuge for 5 min at 350 x g at 4 °C and remove the supernatant. Add 10 mL of PBS to wash the pellet 2x.

166

2.7. Add 4',6-diamidino-2-phenylindole (DAPI) to PBS to a final concentration of 10 μg/mL. Add
 this DAPI solution to the cell pellet to make a cell suspension of 10⁷ cells/mL (using the cell numbers from step 2.4).

170

2.8. Filter the cell suspension through 35 μm strainer caps into 12 x 75 mm polystyrene tubes.

172

2.9. Use a flow cytometer to sort the HLA-1-negative TIC subpopulation⁶. Gate viable cells (DAPInegative) and collect both HLA-1-negative and -positive subpopulations into two 15 mL collection tubes, each containing 4 mL of RPMI 1640 culture medium.

177 3. Characterization of Tumor-initiating Cells

178179

3.1. Sarcosphere formation

180

3.1.1. Make sarcosphere growth medium, using alpha-MEM cell culture medium. Add supplements to make a final concentration of B-27 supplements (1x), N2 supplements (1x), basic fibroblast growth factor (bFGF) (20 ng/mL), and epidermal growth factor (EGF) (20 ng/mL) and penicillin/streptomycin (100 IU/mL). Filter the medium with a 0.2 μm cell culture filter before use.

186

187 3.1.2. Pellet the sorted HLA-1-negative and -positive subpopulation from step 2.9 and count the cell numbers of each subpopulation.

189

3.1.3. Dilute 1.5 x 10⁶ cells into 15 mL of the sarcosphere growth medium to make the cell dilution of 1 x 10⁵ cells/mL.

192

3.1.4. Serially dilute the cells with fresh sarcosphere growth medium to make 15 mL of each cell dilution of 10⁴, 10³, and 10² cells/mL. Then, prepare four 96-well ultra-low attachment cell culture plates, each for a cell dilution.

196 197

3.1.5. Transfer 100 μL of cell suspension from the 10⁵ cells/mL dilution to each well of the first 96-well ultra-low attachment cell culture plate. This plate has 10⁴ cells in each well.

198 199 200

201

202

3.1.6. Use the other three 96-well ultra-low attachment cell culture plates for the other three cell dilutions: 10^4 , 10^3 , and 10^2 cells/mL. Transfer 100 μ L of cell suspension to each well of the 96-well ultra-low attachment cell culture plates. These three culture plates have 1,000 cells/well, 100 cells/well, and 10 cells/well, respectively.

203204

3.1.7. Put the plates into a 37 °C, 5% CO₂ cell culture incubator.

205206207

208

3.1.8. Add new bFGF and EGF directly to the cell culture medium (final concentration of 20 ng/mL) every three days without changing the medium to avoid cells lost in the suspension culture.

209210

3.1.9. Using a light microscope, monitor the sarcosphere formation every day for three weeks, as shown in **Figure 2A**.

213

3.1.10. After three weeks, count the number of sarcosphere-positive wells and sarcospherenegative wells of each cell dilution for both HLA-1-negative and HLA-1-positive cells.

216

3.1.11. Calculate the sphere-forming cell frequency based on a Poisson probability distribution¹³.

Compare the HLA-1-negative TICs with the HLA-1-positive bulk cells.

219

3.2. Serial-dilution tumor-formation assay

3.2.1. Count the HLA-1-negative and -positive subpopulations from step 2.9.

223

3.2.2. Make serial dilutions of the cells with PBS to concentrations of 10⁶, 10⁵, 10⁴, and 10³ cells/mL. Use 1 mL of each dilution for the tumor formation in 10 mice.

226

3.2.3. Add 1 mL of basement membrane matrix to the 1 mL cell suspension of each dilution (1:1).
 Keep the 2 mL of each mixture on ice.

229

3.2.4. Subcutaneously inject 200 μL of the cell:basement membrane matrix mixture into the flanks of NGS mice, using HLA-1-negative cells for one flank and HLA-1-positive cells for the other flank of the same mouse. For each dilution, use 10 mice. Use 25G syringes with a needle for the injections.

234

3.2.5. Monitor the tumor formation in the mice for four to eight weeks, depending on the rate
 of tumor growth.

237238

3.2.6. Calculate the tumor-initiating cell frequency by the percentage of tumor formation at different input cell numbers. Compare the HLA-1-negative TICs with the HLA-1-positive bulk cells.

239240241

3.3. Induced differentiation along mesenchymal pathways

242

3.3.1. Use the sarcospheres formed during previous steps (step 3.1.9). Transfer the sarcospheres to a new 6-well plate. Culture the sarcosphere with 2.5 mL of alpha-MEM supplemented with 10% FBS to let the cells attach to the culture plate surface.

246 247

3.3.2. After an attachment for two days, switch the culture medium from alpha-MEM supplemented with 10% FBS to the 1:1 mixture of alpha-MEM supplemented with 10% FBS and human mesenchymal stem cell (hMSC) growth medium.

249250251

248

3.3.3. After two days, switch to complete hMSC growth medium.

252253

254

255

256

257

3.3.4. When the cells reach 90% confluency, aspirate the hMSC medium and add differentiation medium. For osteogenic differentiation, add osteogenic differentiation medium (hMSC growth medium supplemented with 10 nM dexamethasone, 5 mM β -glycerophosphate, 50 μ g/mL L-ascorbic acid, and 10 mM lithium chloride). For lipogenic differentiation, add adipocyte differentiation medium (hMSC growth medium supplemented with 0.5 μ M dexamethasone, 0.5 μ M isobutylmethylxanthine, and 50 μ M indomethacin).

258259

3.3.5. Change the differentiation medium every three days.

261

3.3.6. After three to four weeks, stop the differentiation and wash the cells with PBS. Then, aspirate the PBS and add 2 mL of 10% formalin to the cells for fixation. Let the cells sit for 45 min at room temperature. Wash them with deionized water. The cells are now ready for Alizarin Red S staining (step 3.3.6.1) or Oil Red O staining (step 3.3.6.2).

- 3.3.6.1. To detect osteogenic differentiation, perform Alizarin Red S staining. Aspirate water and add 2 mL of Alizarin Red S working solution (2% Alizarin Red S, pH 6.0) to the cells, and let them sit for 5 min for staining. Wash the cells with deionized water and observe the reaction microscopically.
- 3.3.6.2. To detect adipogenic differentiation, perform Oil Red O staining.
- 3.3.6.2.1. Make an Oil Red O solution. Prepare a stock solution by adding 300 mg of Oil Red O powder to 100 mL of isopropanol.

3.3.6.2.2. Within 2 h before using, mix three parts (30 mL) of Oil Red O stock solution with two parts (20 mL) of deionized water. Allow the mixture to sit for 10 min at room temperature.

280 3.3.6.2.3. Filter the working solution using before use.

3.3.6.2.4. Remove the water from the cells prepared according to step 3.3.6. Add 2 mL of 60% isopropanol to cover the cell monolayer and the cells sit for 2 min.

3.3.6.2.5. Remove the isopropanol and add 2 mL of Oil Red O working solution. Allow the cells to sit for 5 min at room temperature.

3.3.6.2.6. Rinse the cells with deionized water and observe the reaction under a light microscope.

REPRESENTATIVE RESULTS:

A human sarcoma PDX was generated and stained. Intratumoral heterogeneity was shown by immunohistochemistry using HLA-1 antibody. The xenograft consisted of two distinct subpopulations, namely HLA-1 positive and negative (**Figure 1A**)¹². The sarcoma PDX showed histological similarities with the parental primary tumor (**Figure 1A**). Sarcoma PDX TICs were isolated by FACS. Using a double sorting method, the HLA-1-negative cells were highly enriched from the parental cell population (**Figure 1B**)¹².

Genes expressed in stem cells (*e.g.*, Oct4, Nanog, and Myc) were found to be highly expressed in isolated HLA-1-negative cells when compared to their HLA-1-positive counterpart (**Figure 1C**). Sox-9, a developmental gene reported to play important roles in other cancer stem cells, such as in breast carcinoma, were specifically expressed in HLA-1-negative cells (**Figure 1D**).

To validate the isolated HLA-1-negative subpopulation, a sarcosphere formation assay was performed to examine the self-renewal ability of the cells. HLA-1-negative cells were able to form spheres with an initial input of as little as 10 cells (**Figure 1E**)¹². In order to examine the tumorforming ability, a serial-dilution tumor-formation assay was performed. The same numbers of HLA-1-negative and -positive cells were injected subcutaneously into each flank of the same mouse. HLA-1-negative cells showed a significantly higher tumor formation ability (**Figure 1F**)¹², while xenografts formed by both HLA-1-negative and -positive subpopulations were cellular heterogeneous tumors (**Figure 1H**).

We performed a gene expression analysis of the isolated HLA-1-negative TICs¹². Genes associated with normal mesenchymal cell differentiation were elevated in TICs¹². Thus, we also tested whether HLA-1 TICs can be induced to terminal differentiation and result in a decreased tumor formation ability. The results showed that HLA-1-negative cells can be induced to differentiate along both lipogenic and osteogenic pathways and show strong Oil Red O and Alizarin Red S staining (**Figure 1G**). In contrast, HLA-1-positive cells do not differentiate under the same conditions. Thus, these results indicate a promising differentiated therapy strategy that may be used to target sarcoma TICs.

FIGURE & TABLE LEGENDS:

Figure 1: Isolation of HLA-1-negative cells from intratumoral heterogeneous sarcoma PDXs. (A) HLA-1-negative cells (arrows) were found in different subtypes of human sarcomas by immunohistochemistry (IHC). (a and b) Clear cell sarcoma. (c and d) Pleomorphic liposarcoma. (e and f) Leiomyosarcoma. (g and h) Malignant peripheral nerve sheath tumor. (i and j) Liposarcoma, not otherwise specified. (k and l) Dedifferentiated liposarcoma. The scale bar = 100 μ m. (B) Sarcoma PDXs were histologically similar to the parental tumor (hematoxylin and eosin [H&E] stain) and showed cellular heterogeneity in the HLA-1 expression by IHC. Here are shown representative pictures of sarcoma PDXs, including a clear cell sarcoma (CCS), a dedifferentiated chondrosarcoma (DCS), and a dedifferentiated liposarcoma (DDL). The scale bar = 100 μ m. (C) The subpopulation of HLA-1-negative cells was isolated by flow cytometry with a double-sort method. From top to bottom: first sort, second sort, and purity check. Isolated HLA-1-negative and HLA-1-positive cells were subjected to a subsequent functional analysis, including a tumor formation assay. The results from this figure are from a previous publication 12.

Figure 2: Characterization of HLA-1-negative TICs by functional assays. (A) A sphere formation assay showed that as few as 10 HLA-1-negative cells were able to form sarcoma spheres. Left: representative pictures of sarcoma spheres. Right: sphere-forming frequency; mean \pm SD. Scale bar = 100 μ m. (B) HLA-1-negative cells isolated from the sarcoma PDX were highly tumorigenic. Here shown are representative pictures of the tumor formed by HLA-1-negative and -positive cells from DDL. A thousand cells of HLA-1-negative and HLA-1-positive DDL cells were injected in separate flanks of the same mouse. (C) The mRNA levels of stem cell genes *Oct4*, *Nanog*, and *Myc* were expressed at higher levels in HLA-1-negative cells compared to HLA-1-positive cells. The data represent the mean \pm SD (n = 5). (D) Strong positive staining of Oil Red O and Alizarin Red S shows a terminal differentiation along lipogenic and osteogenic pathways that are induced from sarcoma TICs. (E) HLA-1 immunostaining of PDXs formed by HLA-1-positive (left) and -negative (right) subpopulations. Scale bar = 100 μ m. The results from this figure are from a previous publication¹².

DISCUSSION:

There are several critical steps which limit the success of this protocol to isolate and characterize tumor-initiating cells from human sarcoma PDXs. Human sarcoma includes many different subtypes. We observed that PDX formation is highly dependent on sarcoma subtypes. Clinical aggressive sarcomas with a histologically undifferentiated phenotype (e.g., pleomorphic

undifferentiated sarcomas [success rate 100%, n = 2], dedifferentiated liposarcomas [success rate 100%, n = 3]) have a high success rate of PDX formation. Meanwhile, sarcomas with differentiated phenotypes (e.g., well-differentiated liposarcomas [success rate 0%, n = 3]) show lower PDX formation rates. It is possible that tumorinitiating cells are present in more malignant subtypes at a higher percentage than in less malignant, differentiated subtypes. In addition, we recommend finishing the tumor-initiating cell isolation procedure within one day without any stop to minimize any loss of cell viability.

We have identified that HLA-1-negative cells exist widely in human sarcomas. But the percentage of HLA-1-negative cells can vary among samples from different patients. By this method, we have successfully isolated tumor-initiating cells from samples that have HLA-1-negative cells ranging from less than 0.5% to more than $30\%^{12}$. It is important to characterize the HLA-1-negative cells functionally by sphere formation and tumor formation assays to confirm the tumor-initiating cell identity of isolated HLA-1-negative cells.

However, the protocol presented here also has limitations. Previous data showed that HLA-1 expression is epigenetically regulated, which is consistent with the observation of HLA-1 expression's cellular heterogeneity within the same tumor¹². HLA-1 genomic mutations were detected in sarcomas and other cancer types. Mutations in HLA-1 genes may lead to the complete loss of HLA-1 on the cell surface in the whole tumor or to expressing nonfunctional mutated HLA-1. In either case, HLA-1 negativity cannot be used to identify TICs within the tumor.

Using HLA-1 as a negative marker, we have successfully isolated TICs from a variety of human sarcoma subtypes and validated our results by functional analysis. Thus, we were able to perform molecular studies including gene expression analysis on the TICs, in order to develop specific treatment targeting these TICs.

ACKNOWLEDGMENTS:

This research was supported by NCI-P01-CA087497 (to C.C.-C. and D.H.) and NIH-U 54-0OD020353 (to C.C.-C., D.H., and J.D.-D.), the Agilent Thought Leader Award (to C.C.-C.), and the Martel Foundation (to C.C.-C. and J.D.-D.).

DISCLOSURES:

The authors have nothing to disclose.

REFERENCES

Medema, J. Cancer stem cells: the challenges ahead. *Nature Cell Biology.* 15 (4), 338-344,
 10.1038/ncb2717 (2013).

Jordan, C., Guzman, M., Noble, M. Cancer stem cells. *The New England Journal of Medicine*.
 355 (12), 1253-1261, 10.1056/NEJMra061808 (2006).

398 3. Jordan, C. Cancer stem cells: controversial or just misunderstood? *Cell Stem Cell.* **4** (3), 203-399 205, 10.1016/j.stem.2009.02.003 (2009).

400

- 401 4. Bapat, S., Mali, A., Koppikar, C., Kurrey, N. Stem and progenitor-like cells contribute to the
- aggressive behavior of human epithelial ovarian cancer. Cancer Research. 65 (8), 3025-3029,
- 403 10.1158/0008-5472.CAN-04-3931 (2005).

404

- 5. Charafe-Jauffret, E. Breast cancer cell lines contain functional cancer stem cells with
- 406 metastatic capacity and a distinct molecular signature. Cancer Research. 69 (4), 1302-1313,
- 407 10.1158/0008-5472.CAN-08-2741 (2009)

408

- 409 6. Domingo-Domenech, J. et al. Suppression of acquired docetaxel resistance in prostate cancer
- 410 through depletion of notch- and hedgehog-dependent tumor-initiating cells. Cancer Cell. 22 (3),
- 411 373-388, 10.1016/j.ccr.2012.07.016 (2012)

412

- 413 7. Reya, T., Morrison, S., Clarke, M., Weissman, I. Stem cells, cancer, and cancer stem cells.
- 414 *Nature.* **414** (6859), 105-111, 10.1038/35102167 (2001).

415

- 416 8. Yi, J. et al. Abnormal DNA methylation of CD133 in colorectal and glioblastoma tumors.
- 417 Cancer Research. **68** (19), 8094-8103, 10.1158/0008-5472.CAN-07-6208 (2008).

418

- 9. Ginestier, C. et al. ALDH1 is a marker of normal and malignant human mammary stem cells
- and a predictor of poor clinical outcome. *Cell Stem Cell.* **1** (5), 555-567,
- 421 10.1016/j.stem.2007.08.014 (2007).

422

- 423 10. Garrido, F. et al. Natural history of HLA expression during tumour development.
- 424 *Immunology Today.* **14** (10), 491-499, 10.1016/0167-5699(93)90264-L (1993).

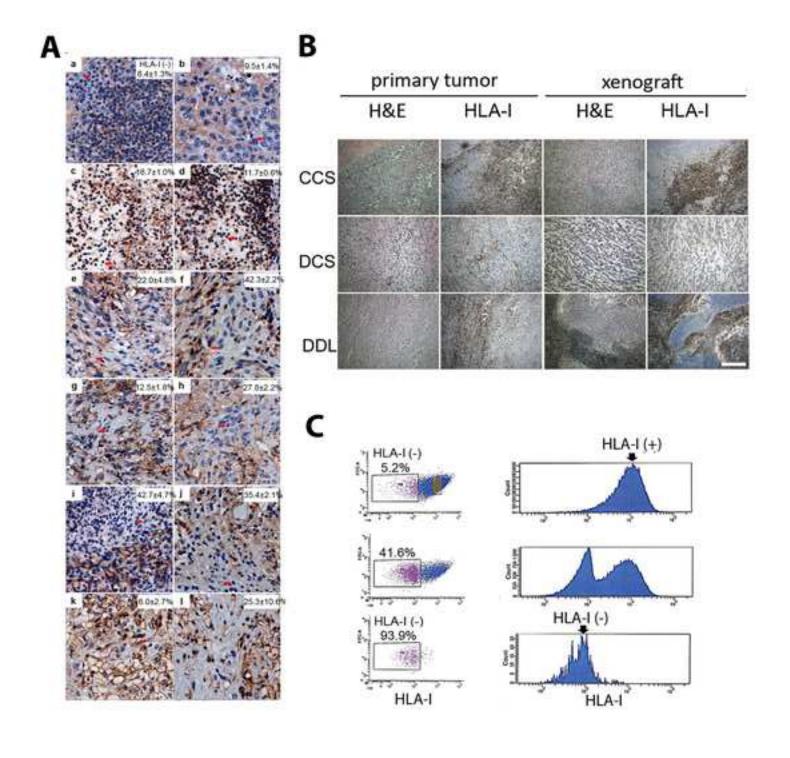
425

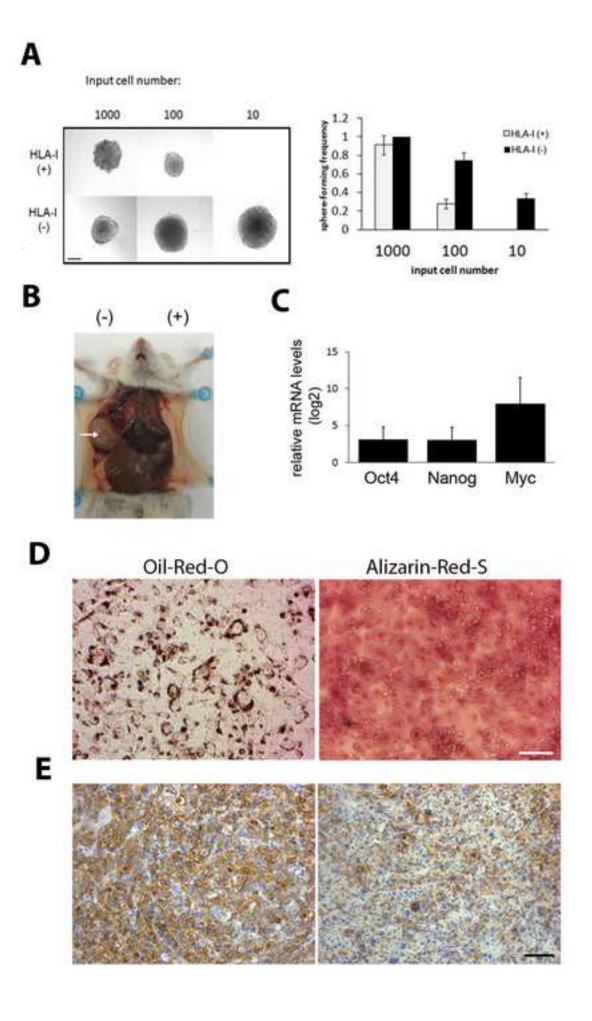
- 426 11. Chang, C.C., Campoli, M., Ferrone, S. Classical and nonclassical HLA class I antigen and NK
- 427 cell-activating ligand changes in malignant cells: current challenges and future directions.
- 428 Advances in Cancer Research. **93**, 189-234, 10.1016/S0065-230X(05)93006-6 (2005).

429

- 430 12. Han, D. et al. Targeting sarcoma tumor-initiating cells through differentiation therapy. Stem
- 431 *Cell Research.* **21**, 117-123, 10.1016/j.scr.2017.04.004 (2017).

- 433 13. Hu, Y., Smyth, G.K. ELDA: Extreme limiting dilution analysis for comparing depleted and
- enriched populations in stem cell and other assays. Journal of Immunology. **347**, 70-78,
- 435 10.1016/j.jim.2009.06.008 (2009).





Name of Material/ Equipment	Company	Catalog Number	Comments/Description
0.2 μm cell culture filter	ThermoFisher	450-0020	
100 mm Petri dish	Falcon	353003	
15 mL conical tube	Falcon	352196	
35 μm cell strainer	Falcon	352340	
50 mL polystyrene tube	Falcon	352070	
96-well ultra-low attachment cell culture plate	Corning	7007	
Alizarin Red S	Sigma-Aldrich	A5533	
B-27	Gibco	08-0085SA	
bFGF	Invitrogen	PHG0021	
dexamethasone	Sigma-Aldrich	D4902	
EGF	Invitrogen	PHG0311	
HLA-1-PE antibody	Abcam	ab43545	
hMSC growth medium	ATCC	PCS-500-030	
indomethacin	Sigma-Aldrich	17378	
isobutylmethylxanthine	Sigma-Aldrich	15879	
isopropanol	Sigma-Aldrich	W292907	
Isotype Control Antibody	Abcam	ab103534	
L-ascorbic acid	Sigma-Aldrich	A5960	
lithium chloride	Sigma-Aldrich	62476	
Matrigel basement membrane matrix	Corning	354230	
MEM Alpha	Gibco	12571-063	
N2	Gibco	17502-048	
NSG mice	The Jackson Lab	005557	
Oil Red O	Sigma-Aldrich	O0625	
PBS	Corning	21-040-CM	
penicillin/streptomycin	Gibco	15140-122	
RPMI 1640	Gibco	11875-093	
Syringe with needle	BD	309626	
β-glycerophosphate	Sigma-Aldrich	G9422	

☑ Urgent

☐ For review

Fax	Cover Sheet			_
To:	Attn: JoVE Editorial	Fax:	866,381.2236	
From:	Dan Han	Date:	10/2/2018	
Re:	Author's License Agreement	Pages:	4- Including cover sheet	
Cc:	N/A			

☐ Please comment

☐ Please reply

☐ Please recycle



I Alowite Cemer #200 Cembridge, MA 02140 tel. 617,945,9051 Wyzycjoyd, com

ARTICLE AND VIDEO LICENSE AGREEMENT

Title of Article: Isolation and Characterization of Tumor-initiating Cells from Sarcoma Patient Derived Xenografts Author(s): Dan Han, Veronica Rodriguez-Bravo, Josep Domingo-Domenech Carlos Cordon-Cardo Item 1: The Author elects to have the Materials be made available (as described at http://www.jove.com/publish) via: Standard Access X Open Access Item 2: Please select one of the following items: The Author is **NOT** a United States government employee. $oxedsymbol{eta}$ The Author is a United States government employee and the Materials were prepared in the course of his or her duties as a United States government employee. oxed The Author is a United States government employee but the Materials were NOT prepared in the course of his or her duties as a United States government employee.

ARTICLE AND VIDEO LICENSE AGREEMENT

Defined Terms. As used in this Article and Video License Agreement, the following terms shall have the following meanings: "Agreement" means this Article and Video License Agreement; "Article" means the article specified on the last page of this Agreement, including any associated materials such as texts, figures, tables, artwork, abstracts, or summaries contained therein; "Author" means the author who is a signatory to this Agreement; "Collective Work" means a work, such as a periodical issue, anthology or encyclopedia, in which the Materials in their entirety in unmodified form, along with a number of other contributions, constituting separate and independent works in themselves, are assembled into a collective whole; "CRC License" means the Creative Commons Attribution-Non Commercial-No Derivs 3.0 Unported Agreement, the terms and conditions of which can be found at: http://creativecommons.org/licenses/by-nc-

nd/3.0/legalcode; "Derivative Work" means a work based upon the Materials or upon the Materials and other preexisting works, such as a translation, musical arrangement, dramatization, fictionalization, motion picture version, sound recording, art reproduction. abridgment, condensation, or any other form in which the Materials may be recast, transformed, or adapted; "Institution" means the institution, listed on the last page of this Agreement, by which the Author was employed at the time of the creation of the Materials; "JoVE" means MyJove Corporation, a Massachusetts corporation and the publisher of The Journal of Visualized Experiments; "Materials" means the Article and / or the Video; "Parties" means the Author and JoVE; "Video" means any video(s) made by the Author, alone or in conjunction with any other parties, or by JoVE or Its affiliates or agents, individually or in collaboration with the Author or any other parties, incorporating all or any portion

of the Article, and in which the Author may or may not appear.

- 2. Background. The Author, who is the author of the Article, in order to ensure the dissemination and protection of the Article, desires to have the JoVE publish the Article and create and transmit videos based on the Article. In furtherance of such goals, the Parties desire to memorialize in this Agreement the respective rights of each Party in and to the Article and the Video.
- Grant of Rights in Article. In consideration of JoVE agreeing to publish the Article, the Author hereby grants to JoVE, subject to Sections 4 and 7 below, the exclusive, royalty-free, perpetual (for the full term of copyright in the Article, including any extensions thereto) license (a) to publish, reproduce, distribute, display and store the Article in all forms, formats and media whether now known or hereafter developed (including without limitation in print, digital and electronic form) throughout the world, (b) to translate the Article Into other languages, create adaptations, summaries or extracts of the Article or other Derivative Works (Including, without limitation, the Video) or Collective Works based on all or any portion of the Article and exercise all of the rights set forth in (a) above in such translations, adaptations, summarles, extracts, Derivative Works or Collective Works and (c) to license others to do any or all of the above. The foregoing rights may be exercised in all media and formats, whether now known or hereafter devised, and include the right to make such modifications as are technically necessary to exercise the rights in other media and formats. If the "Open Access" box has been checked in Item 1 above, JoVE and the Author hereby grant to the public all such rights in the Article as provided in, but subject to all limitations and requirements set forth in, the CRC License.



ARTICLE AND VIDEO LICENSE AGREEMENT

- 4. Retention of Rights in Article. Notwithstanding the exclusive license granted to JoVE in Section 3 above, the Author shall, with respect to the Article, retain the non-exclusive right to use all or part of the Article for the non-commercial purpose of giving lectures, presentations or teaching classes, and to post a copy of the Article on the Institution's website or the Author's personal website, in each case provided that a link to the Article on the JoVE website is provided and notice of JoVE's copyright in the Article is included. All non-copyright intellectual property rights in and to the Article, such as patent rights, shall remain with the Author.
- 5. Grant of Rights in Video Standard Access. This Section 5 applies If the "Standard Access" box has been checked in Item 1 above or if no box has been checked in Item 1 above. In consideration of JoVE agreeing to produce, display or otherwise assist with the Video, the Author hereby acknowledges and agrees that, Subject to Section 7 below, JoVE is and shall be the sole and exclusive owner of all rights of any nature, including, without limitation, all copyrights, in and to the Video. To the extent that, by law, the Author is deemed, now or at any time in the future, to have any rights of any nature in or to the Video, the Author hereby disclaims all such rights and transfers all such rights to JoVE.
- Grant of Rights in Video Open Access. This Section 6 applies only if the "Open Access" box has been checked in Item 1 above. In consideration of JoVE agreeing to produce, display or otherwise assist with the Video, the Author hereby grants to JoVE, subject to Section 7 below, the exclusive, royalty-free, perpetual (for the full term of copyright in the Article, including any extensions thereto) license (a) to publish, reproduce, distribute, display and store the Video in all forms, formats and media whether now known or hereafter developed (including without limitation in print, digital and electronic form) throughout the world, (b) to translate the Video into other languages, create adaptations, summaries or extracts of the Video or other Derivative Works or Collective Works based on all or any portion of the Video and exercise all of the rights set forth in (a) above in such translations, adaptations, summaries, extracts, Derivative Works of Collective Works and (c) to license others to do any or all of the above. The foregoing rights may be exercised in all media and formats, whether now known or hereafter devised, and include the right to make such modifications as are technically necessary to exercise the rights in other media and formats. For any Video to which this Section 6 is applicable, JoVE and the Author hereby grant to the public all such rights in the Video as provided in, but subject to all limitations and requirements set forth in, the CRC License.
- 7. **Government Employees.** If the Author is a United States government employee and the Article was prepared in the course of his or her duties as a United States government employee, as indicated in Item 2 above, and any of the Ilcenses or grants granted by the Author hereunder exceed the scope of the 17 U.S.C. 403, then the rights granted hereunder shall be limited to the maximum

- rights permitted under such statute. In such case, all provisions contained herein that are not in conflict with such statute shall remain in full force and effect, and all provisions contained herein that do so conflict shall be deemed to be amended so as to provide to JoVE the maximum rights permissible within such statute.
- 8. Protection of the Work. The Author(s) authorize JoVE to take steps in the Author(s) name and on their behalf if JoVE believes some third party could be infringing or might infringe the copyright of either the Author's Article and/or Video.
- 9. Likeness, Privacy, Personality. The Author hereby grants JoVE the right to use the Author's name, voice, likeness, picture, photograph, image, blography and performance in any way, commercial or otherwise, in connection with the Materials and the sale, promotion and distribution thereof. The Author hereby walves any and all rights he or she may have, relating to his or her appearance in the Video or otherwise relating to the Materials, under all applicable privacy, likeness, personality or similar laws.
- 10 Author Warranties. The Author represents and warrants that the Article is original, that it has not been published, that the copyright interest is owned by the Author (or, If more than one author is listed at the beginning of this Agreement, by such authors collectively) and has not been assigned, licensed, or otherwise transferred to any other party. The Author represents and warrants that the author(s) listed at the top of this Agreement are the only authors of the Materials. If more than one author is listed at the top of this Agreement and if any such author has not entered Into a separate Article and Video License Agreement with JoVE relating to the Materials, the Author represents and warrants that the Author has been authorized by each of the other such authors to execute this Agreement on his or her behalf and to bind him or her with respect to the terms of this Agreement as If each of them had been a party hereto as an Author. The Author warrants that the use, reproduction, distribution, public or private performance or display, and/or modification of all or any portion of the Materials does not and will not violate, infringe and/or misappropriate the patent, trademark. intellectual property or other rights of any third party. The Author represents and warrants that it has and will continue to comply with all government, institutional and other regulations, including, without limitation all Institutional, laboratory, hospital, ethical, human and animal treatment, privacy, and all other rules, regulations, laws, procedures or guidelines, applicable to the Materials, and that all research involving human and animal subjects has been approved by the Author's relevant institutional review board.
- 11. JoVE Discretion. If the Author requests the assistance of JoVE in producing the Video in the Author's facility, the Author shall ensure that the presence of JoVE employees, agents or independent contractors is in accordance with the relevant regulations of the Author's Institution. If more than one author is listed at the beginning of this Agreement, JoVE may, in its sole



ARTICLE AND VIDEO LICENSE AGREEMENT

discretion, elect not take any action with respect to the Article until such time as it has received complete, executed Article and Video License Agreements from each such author. JoVE reserves the right, in its absolute and sole discretion and without giving any reason therefore, to accept or decline any work submitted to JoVE. JoVE and its employees, agents and independent contractors shall have full, unfettered access to the facilities of the Author or of the Author's institution as necessary to make the Video, whether actually published or not. JoVE has sole discretion as to the method of making and publishing the Materials, including, without limitation, to all decisions regarding editing, lighting, filming, timing of publication, if any, length, quality, content and the like.

Indemnification. The Author agrees to indemnify JoVE and/or its successors and assigns from and against any and all claims, costs, and expenses, including attorney's fees, arising out of any breach of any warranty or other representations contained herein. The Author further agrees to indemnify and hold harmless JoVE from and against any and all claims, costs, and expenses, including attorney's fees, resulting from the breach by the Author of any representation or warranty contained herein or from allegations or instances of violation of intellectual property rights, damage to the Author's or the Author's institution's facilities, fraud, libel, defamation, research, equipment, experiments, property damage, personal injury, violations of institutional, laboratory, hospital, ethical, human and animal treatment, privacy or other rules, regulations, laws, procedures or guidelines, liabilities and other losses or damages related in any way to the submission of work to JoVE, making of videos by JoVE, or publication in JoVE or elsewhere by JoVE. The Author shall be responsible for, and shall hold JoVE harmless from, damages caused by lack of sterilization, lack of cleanliness or by contamination due to

the making of a video by JoVE its employees, agents or independent contractors. All sterilization, cleanliness or decontamination procedures shall be solely the responsibility of the Author and shall be undertaken at the Author's expense. All indemnifications provided herein shall include JoVE's attorney's fees and costs related to said losses or damages. Such indemnification and holding harmless shall include such losses or damages incurred by, or in connection with, acts or omissions of JoVE, its employees, agents or independent contractors.

- 13. Fees. To cover the cost incurred for publication, JoVE must receive payment before production and publication the Materials. Payment is due in 21 days of invoice. Should the Materials not be published due to an editorial or production decision, these funds will be returned to the Author. Withdrawal by the Author of any submitted Materials after final peer review approval will result in a US\$1,200 fee to 'cover pre-production expenses incurred by JoVE. If payment is not received by the completion of filming, production and publication of the Materials will be suspended until payment is received.
- 14. Transfer, Governing Law. This Agreement may be assigned by JoVE and shall Inure to the benefits of any of JoVE's successors and assignees. This Agreement shall be governed and construed by the internal laws of the Commonwealth of Massachusetts without glving effect to any conflict of law provision thereunder. This Agreement may be executed in counterparts, each of which shall be deemed an original, but all of which together shall be deemed to me one and the same agreement. A signed copy of this Agreement delivered by facsimile, e-mall or other means of electronic transmission shall be deemed to have the same legal effect as delivery of an original signed copy of this Agreement.

A signed copy of this document must be sent with all new submissions. Only one Agreement is required per submission.

CORRESPONDING AUTHOR

Name:					-	_
	Carlos Cordon-Cardo, MD, PhD					
Department:	Pathology					
Institution:	Icahn School of Medicine					
Title:	Chairman of Department of Pathology					
Signature:	_ Soules Consult Color	Date:	October 1,	2018		_

Please submit a signed and dated copy of this license by one of the following three methods:

- 1. Upload an electronic version on the JoVE submission site
- 2. Fax the document to +1.866.381,2236
- 3. Mail the document to JoVE / Attn: JoVE Editorial / 1 Alewife Center #200 / Cambridge, MA 02140

Dear Editor,

We thank for your and the reviewers' valuable time and generous comments on our manuscript: Isolation and characterization of tumor-initiating cells from sarcoma patient derived xenografts (57011_R0_072117).

For the second time, we have revised and modified the text and figure according to the reviewers' comments. These changes have improved the manuscript considerably. And we believe that the manuscript is now suitable for publication in JoVE.

Sincerely,

Dan Han, Ph.D. Laboratory of Carlos Cordon-Cardo Department of Pathology Icahn School of Medicine at Mount Sinai

Editorial comments:

Note that there have been some formatting changes, and some areas of concern have been highlighted in green (feel free to remove the latter after editing).

General:

1. Please proofread; there are still a few grammar and usage mistakes.

We proofread to correct the grammar mistakes.

Protocol:

1. "Matrigel" is commercial; please use a generic term that is subsequently defined in the Table of Materials.

We replaced it with basement membrane matrix and added the produce in the Table of Materials.

2. 1.1/1.2: Why are these in the third person? Will you be doing them yourselves? If not, they shouldn't be marked for filming.

We obtained tumor samples from the clinical lab. Thus, we have removed this part from filming.

3. 1.1.1/3.2.4: What gauge needle for these injections? Please also include in the Table of Materials.

We used 25G needle and added the product into the Table of Materials.

4. 2.5: Please provide the isotope control antibodies in the Table of Materials.

We added the product into Table of Materials.

5. 3.1.1/3.3.6.2.3: How fine a filter, and what type? Please provide in the Table of Materials.

We used standard 0.2 µm cell culture filter. We added it into the Table of Materials.

6. 3.3.6.2.6: What sort of microscope is used for this?

We used standard light microscope. We clarified this in the text.

Results:

1. Can you explain somewhere here that "that HLA positive cells are fast dividing cells compared to HLA negative cells", as you indicated in your response to reviewer 2?

This is a very important question that we should make it clear. Based on our results in cell population growth rate, cell cycle analysis, gene expression profiling. HLA-I(+) cells proliferate faster than their HLA-I(-) counterparts. Therefore, we argued that the difference in tumor formation assays truly showed the difference in tumorigenicity but not cell growth between HLA-I(-) and HLA-I(+) cells.

Figures:

1. Is it possible to split the current figure up into 2 or more figures (e.g., Isolation and Characterization figures)? There is no limit on the amount of figures, and this may make some things clearer.

This is a very good suggestion. We made the changes to split the results in two figures.

2. Please obtain explicit copyright permission to reuse Figure 1 (and any other figures you may make). Explicit permission can be expressed in the form of a letter from the editor or a link to the editorial policy that allows re-prints.

We obtained the permission for reuse in our figures.

3. 1D/G/H: Please explain the scale bars in the legend. Alternatively, if they all are the same length; please explicitly say so. Also, the white scale bar in H is hard to see.

We changed the color into black in that picture to make it easier to be seen (It is now in Figure 2 as we split the figure into two as suggested by the reviewer). We also added the scale bars in the legend as you suggested.

4. 1A: Per reviewer 3, can you also provide images from the HLA-1 (-) tumors created in step 3? This isn't critical, though. Also (per reviewer 1), can you indicate the sarcoma subtype?

The tumor we presented in Figure 2B is from step 3. We clarified that in addition to the subtypes in the legend as suggested.

5. 1B: Can this be higher resolution?

We replaced it with a better picture as you suggested.

6. 1B: Are these just 3 different samples? Also, is this also showing isolation for HLA-I (+) cells? Is that the yellow box? Please explain this more in general in the legend.

This is three steps in flow cytometry to isolated purified HLA-I(-) cells from one sample. We made it clear in the legend.

7. 1C,E: Please explain the error bars (what they represent, what is n).

As you suggested, we added the information in the legend of Figure 2C.

8. 1C: Please explain this more in the legend .

We clarified this in the legend.

9. 1D: What are the insets showing? What is the black scale bar on the side for? What is the CD44 for?

To make our point clear without confusion, we remove this picture from the figure.

Click here to access/download;Supplemental File (Figures, Permissions, **ELSEVIER LICENSE**);RightsLink Printable License.pdf

TERMS AND CONDITIONS

Jun 27, 2018

This Agreement between Icahn School of Medicine at Mount Sinai -- Dan Han ("You") and Elsevier ("Elsevier") consists of your license details and the terms and conditions provided by Elsevier and Copyright Clearance Center.

License Number 4377101450808

License date Jun 27, 2018

Licensed Content Publisher Elsevier

Licensed Content Publication Stem Cell Research

Licensed Content Title Targeting sarcoma tumor-initiating cells through differentiation

therapy

Licensed Content Author Dan Han, Veronica Rodriguez-Bravo, Elizabeth

Charytonowicz, Elizabeth Demicco, Josep Domingo-Domenech, Robert

G. Maki, Carlos Cordon-Cardo

Licensed Content Date May 1, 2017

Licensed Content Volume 21

Licensed Content Issue n/a

7 Licensed Content Pages

Start Page 117

End Page 123

Type of Use reuse in a journal/magazine

author of new work Requestor type

Intended publisher of new

work

Other

Portion figures/tables/illustrations

Number of

figures/tables/illustrations

electronic **Format**

Are you the author of this

Elsevier article?

Yes

Will you be translating? No

Original figure numbers figure 1, 2, 3, 4

Title of the article Isolation and characterization of tumor-initiating cells from sarcoma

patient derived xenografts

Publication new article is in The Journal of Visualized Experiments

Publisher of the new article other

Author of new article Dan Han, Veronica Rodriguez-Bravo, Josep Domingo-Domenech,

Carlos Cordon-Cardo

Dec 2018 Expected publication date

Estimated size of new article 10 (number of pages)

Requestor Location Icahn School of Medicine at Mount Sinai

1 Gus Levy Pl, Anne 24-16

NEW YORK, NY 10029

United States Attn: Dan Han

Publisher Tax ID 98-0397604

Total 0.00 USD

Terms and Conditions

INTRODUCTION

1. The publisher for this copyrighted material is Elsevier. By clicking "accept" in connection with completing this licensing transaction, you agree that the following terms and conditions apply to this transaction (along with the Billing and Payment terms and conditions established by Copyright Clearance Center, Inc. ("CCC"), at the time that you opened your Rightslink account and that are available at any time at http://myaccount.copyright.com).

GENERAL TERMS

- 2. Elsevier hereby grants you permission to reproduce the aforementioned material subject to the terms and conditions indicated.
- 3. Acknowledgement: If any part of the material to be used (for example, figures) has appeared in our publication with credit or acknowledgement to another source, permission must also be sought from that source. If such permission is not obtained then that material may not be included in your publication/copies. Suitable acknowledgement to the source must be made, either as a footnote or in a reference list at the end of your publication, as follows:
- "Reprinted from Publication title, Vol /edition number, Author(s), Title of article / title of chapter, Pages No., Copyright (Year), with permission from Elsevier [OR APPLICABLE SOCIETY COPYRIGHT OWNER]." Also Lancet special credit "Reprinted from The Lancet, Vol. number, Author(s), Title of article, Pages No., Copyright (Year), with permission from Elsevier."
- 4. Reproduction of this material is confined to the purpose and/or media for which permission is hereby given.
- 5. Altering/Modifying Material: Not Permitted. However figures and illustrations may be altered/adapted minimally to serve your work. Any other abbreviations, additions, deletions and/or any other alterations shall be made only with prior written authorization of Elsevier Ltd. (Please contact Elsevier at permissions@elsevier.com). No modifications can be made to any Lancet figures/tables and they must be reproduced in full.
- 6. If the permission fee for the requested use of our material is waived in this instance, please be advised that your future requests for Elsevier materials may attract a fee.
- 7. Reservation of Rights: Publisher reserves all rights not specifically granted in the combination of (i) the license details provided by you and accepted in the course of this licensing transaction, (ii) these terms and conditions and (iii) CCC's Billing and Payment terms and conditions.
- 8. License Contingent Upon Payment: While you may exercise the rights licensed immediately upon issuance of the license at the end of the licensing process for the transaction, provided that you have disclosed complete and accurate details of your proposed

use, no license is finally effective unless and until full payment is received from you (either by publisher or by CCC) as provided in CCC's Billing and Payment terms and conditions. If full payment is not received on a timely basis, then any license preliminarily granted shall be deemed automatically revoked and shall be void as if never granted. Further, in the event that you breach any of these terms and conditions or any of CCC's Billing and Payment terms and conditions, the license is automatically revoked and shall be void as if never granted. Use of materials as described in a revoked license, as well as any use of the materials beyond the scope of an unrevoked license, may constitute copyright infringement and publisher reserves the right to take any and all action to protect its copyright in the materials.

- 9. Warranties: Publisher makes no representations or warranties with respect to the licensed material.
- 10. Indemnity: You hereby indemnify and agree to hold harmless publisher and CCC, and their respective officers, directors, employees and agents, from and against any and all claims arising out of your use of the licensed material other than as specifically authorized pursuant to this license.
- 11. No Transfer of License: This license is personal to you and may not be sublicensed, assigned, or transferred by you to any other person without publisher's written permission.
- 12. No Amendment Except in Writing: This license may not be amended except in a writing signed by both parties (or, in the case of publisher, by CCC on publisher's behalf).
- 13. Objection to Contrary Terms: Publisher hereby objects to any terms contained in any purchase order, acknowledgment, check endorsement or other writing prepared by you, which terms are inconsistent with these terms and conditions or CCC's Billing and Payment terms and conditions. These terms and conditions, together with CCC's Billing and Payment terms and conditions (which are incorporated herein), comprise the entire agreement between you and publisher (and CCC) concerning this licensing transaction. In the event of any conflict between your obligations established by these terms and conditions and those established by CCC's Billing and Payment terms and conditions, these terms and conditions shall control.
- 14. Revocation: Elsevier or Copyright Clearance Center may deny the permissions described in this License at their sole discretion, for any reason or no reason, with a full refund payable to you. Notice of such denial will be made using the contact information provided by you. Failure to receive such notice will not alter or invalidate the denial. In no event will Elsevier or Copyright Clearance Center be responsible or liable for any costs, expenses or damage incurred by you as a result of a denial of your permission request, other than a refund of the amount(s) paid by you to Elsevier and/or Copyright Clearance Center for denied permissions.

LIMITED LICENSE

The following terms and conditions apply only to specific license types:

- 15. **Translation**: This permission is granted for non-exclusive world **English** rights only unless your license was granted for translation rights. If you licensed translation rights you may only translate this content into the languages you requested. A professional translator must perform all translations and reproduce the content word for word preserving the integrity of the article.
- 16. **Posting licensed content on any Website**: The following terms and conditions apply as follows: Licensing material from an Elsevier journal: All content posted to the web site must maintain the copyright information line on the bottom of each image; A hyper-text must be included to the Homepage of the journal from which you are licensing at http://www.sciencedirect.com/science/journal/xxxxx or the Elsevier homepage for books at http://www.elsevier.com; Central Storage: This license does not include permission for a

scanned version of the material to be stored in a central repository such as that provided by Heron/XanEdu.

Licensing material from an Elsevier book: A hyper-text link must be included to the Elsevier homepage at http://www.elsevier.com. All content posted to the web site must maintain the copyright information line on the bottom of each image.

Posting licensed content on Electronic reserve: In addition to the above the following clauses are applicable: The web site must be password-protected and made available only to bona fide students registered on a relevant course. This permission is granted for 1 year only. You may obtain a new license for future website posting.

17. **For journal authors:** the following clauses are applicable in addition to the above: **Preprints:**

A preprint is an author's own write-up of research results and analysis, it has not been peer-reviewed, nor has it had any other value added to it by a publisher (such as formatting, copyright, technical enhancement etc.).

Authors can share their preprints anywhere at any time. Preprints should not be added to or enhanced in any way in order to appear more like, or to substitute for, the final versions of articles however authors can update their preprints on arXiv or RePEc with their Accepted Author Manuscript (see below).

If accepted for publication, we encourage authors to link from the preprint to their formal publication via its DOI. Millions of researchers have access to the formal publications on ScienceDirect, and so links will help users to find, access, cite and use the best available version. Please note that Cell Press, The Lancet and some society-owned have different preprint policies. Information on these policies is available on the journal homepage.

Accepted Author Manuscripts: An accepted author manuscript is the manuscript of an article that has been accepted for publication and which typically includes author-incorporated changes suggested during submission, peer review and editor-author communications.

Authors can share their accepted author manuscript:

- immediately
 - via their non-commercial person homepage or blog
 - by updating a preprint in arXiv or RePEc with the accepted manuscript
 - via their research institute or institutional repository for internal institutional uses or as part of an invitation-only research collaboration work-group
 - directly by providing copies to their students or to research collaborators for their personal use
 - for private scholarly sharing as part of an invitation-only work group on commercial sites with which Elsevier has an agreement
- After the embargo period
 - via non-commercial hosting platforms such as their institutional repository
 - via commercial sites with which Elsevier has an agreement

In all cases accepted manuscripts should:

- link to the formal publication via its DOI
- bear a CC-BY-NC-ND license this is easy to do
- if aggregated with other manuscripts, for example in a repository or other site, be shared in alignment with our hosting policy not be added to or enhanced in any way to appear more like, or to substitute for, the published journal article.

Published journal article (JPA): A published journal article (PJA) is the definitive final record of published research that appears or will appear in the journal and embodies all value-adding publishing activities including peer review co-ordination, copy-editing, formatting, (if relevant) pagination and online enrichment.

Policies for sharing publishing journal articles differ for subscription and gold open access articles:

<u>Subscription Articles:</u> If you are an author, please share a link to your article rather than the full-text. Millions of researchers have access to the formal publications on ScienceDirect, and so links will help your users to find, access, cite, and use the best available version. Theses and dissertations which contain embedded PJAs as part of the formal submission can be posted publicly by the awarding institution with DOI links back to the formal publications on ScienceDirect.

If you are affiliated with a library that subscribes to ScienceDirect you have additional private sharing rights for others' research accessed under that agreement. This includes use for classroom teaching and internal training at the institution (including use in course packs and courseware programs), and inclusion of the article for grant funding purposes.

Gold Open Access Articles: May be shared according to the author-selected end-user license and should contain a CrossMark logo, the end user license, and a DOI link to the

Please refer to Elsevier's posting policy for further information.

formal publication on ScienceDirect.

- 18. **For book authors** the following clauses are applicable in addition to the above: Authors are permitted to place a brief summary of their work online only. You are not allowed to download and post the published electronic version of your chapter, nor may you scan the printed edition to create an electronic version. **Posting to a repository:** Authors are permitted to post a summary of their chapter only in their institution's repository.
- 19. **Thesis/Dissertation**: If your license is for use in a thesis/dissertation your thesis may be submitted to your institution in either print or electronic form. Should your thesis be published commercially, please reapply for permission. These requirements include permission for the Library and Archives of Canada to supply single copies, on demand, of the complete thesis and include permission for Proquest/UMI to supply single copies, on demand, of the complete thesis. Should your thesis be published commercially, please reapply for permission. Theses and dissertations which contain embedded PJAs as part of the formal submission can be posted publicly by the awarding institution with DOI links back to the formal publications on ScienceDirect.

Elsevier Open Access Terms and Conditions

You can publish open access with Elsevier in hundreds of open access journals or in nearly 2000 established subscription journals that support open access publishing. Permitted third party re-use of these open access articles is defined by the author's choice of Creative Commons user license. See our open access license policy for more information.

Terms & Conditions applicable to all Open Access articles published with Elsevier: Any reuse of the article must not represent the author as endorsing the adaptation of the article nor should the article be modified in such a way as to damage the author's honour or reputation. If any changes have been made, such changes must be clearly indicated. The author(s) must be appropriately credited and we ask that you include the end user license and a DOI link to the formal publication on ScienceDirect.

If any part of the material to be used (for example, figures) has appeared in our publication with credit or acknowledgement to another source it is the responsibility of the user to ensure their reuse complies with the terms and conditions determined by the rights holder.

Additional Terms & Conditions applicable to each Creative Commons user license:

CC BY: The CC-BY license allows users to copy, to create extracts, abstracts and new works from the Article, to alter and revise the Article and to make commercial use of the Article (including reuse and/or resale of the Article by commercial entities), provided the user gives appropriate credit (with a link to the formal publication through the relevant DOI), provides a link to the license, indicates if changes were made and the licensor is not represented as endorsing the use made of the work. The full details of the license are available at http://creativecommons.org/licenses/by/4.0.

CC BY NC SA: The CC BY-NC-SA license allows users to copy, to create extracts, abstracts and new works from the Article, to alter and revise the Article, provided this is not done for commercial purposes, and that the user gives appropriate credit (with a link to the formal publication through the relevant DOI), provides a link to the license, indicates if changes were made and the licensor is not represented as endorsing the use made of the work. Further, any new works must be made available on the same conditions. The full details of the license are available at http://creativecommons.org/licenses/by-nc-sa/4.0. CC BY NC ND: The CC BY-NC-ND license allows users to copy and distribute the Article, provided this is not done for commercial purposes and further does not permit distribution of the Article if it is changed or edited in any way, and provided the user gives appropriate credit (with a link to the formal publication through the relevant DOI), provides a link to the license, and that the licensor is not represented as endorsing the use made of the work. The full details of the license are available at http://creativecommons.org/licenses/by-nc-nd/4.0. Any commercial reuse of Open Access articles published with a CC BY NC SA or CC BY NC ND license requires permission from Elsevier and will be subject to a fee. Commercial reuse includes:

- Associating advertising with the full text of the Article
- Charging fees for document delivery or access
- Article aggregation
- Systematic distribution via e-mail lists or share buttons

Posting or linking by commercial companies for use by customers of those companies.

20. Other Conditions:

v1.9

Questions? customercare@copyright.com or +1-855-239-3415 (toll free in the US) or +1-978-646-2777.