

## Beyond Hormone Receptors: liquid biopsy tools to unveil new clinical meanings and empower therapeutic decision-making in Luminal-like metastatic breast cancer

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### ABSTRACT

Immunohistochemical (IHC) tissue profiling is a standard practice in the management of metastatic breast cancer (mBC), that enables the identification of distinct biological phenotypes based on hormone receptors' expression. Luminal-like tumors primarily benefit from a first line treatment strategy combining endocrine therapy and cyclin-dependent kinase 4/6 inhibitors. However, IHC analyses necessitate invasive procedures and may encounter technical and interpretational challenges. In the current era of precision medicine, liquid biopsy holds potential to provide clinicians with additional insights into disease biology, including mechanisms underlying endocrine resistance and disease progression. Several liquid-based biomarkers are entering clinical practice and hold prognostic and predictive values in Luminal-like mBC, while many others are currently being investigated. The present work aims to summarize the current evidence regarding the clinical meanings of hormone receptors and their downstream molecular pathways, alongside their implications for therapeutic decision-making in Luminal-like mBC.

### 1. Introduction: current practice and limitations of hormone receptors' determination

Immunohistochemical (IHC) tissue profiling is routinely used in metastatic breast cancer (mBC) to define distinct biological subtypes based on the expression of hormone receptors (HRs), including estrogen (ER) and progesterone (PR) receptors, and the human epidermal growth factor receptor 2 (HER2) [1]. According to the American Society of Clinical Oncology and College of American Pathologists (ASCO/CAP) guidelines, a tumor sample is categorized as ER-negative if < 1% of cell nuclei exhibit immunoreactivity, while ER positivity is defined by staining in 1–100% of cells [2].

However, technical limitations and interpretation issues may hinder the application and interpretation of this approach. First, IHC is performed on tissue samples and results strongly depend on their origin and quality. In addition, the obtained profiles may not be representative of the overall tumor burden, due to intratumor heterogeneity [3].

Furthermore, multiple ER isoforms exist, but commonly used sample staining may not effectively detect all of them, with potential false negatives [4,5]. Lastly, from a biological perspective, IHC profiling should be considered a surrogate for a more complex molecular landscape, which strongly impacts on both prognosis and response to treatment; besides, discordances between IHC and gene expression analyses have been reported [6–9].

Liquid biopsy is a feasible option to overcome these issues: not only the detection of specific alterations can influence therapeutic decision-making, but also circulating tumor DNA (ctDNA)-based genomic signatures can identify complex biological features, such as tumor proliferation and ER signaling, opening new opportunities for the discovery of additional genomic predictors [10–12].

This review will summarize the current evidence regarding the clinical role of HRs beyond their classical IHC determination, focusing on how liquid biopsy tools could uncover hidden clinical features of the downstream molecular pathways, as well as their possible impact on

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therapeutic decision-making in Luminal-like mBC.

## 2. Molecular landscape of hormone receptors

### 2.1. Estrogen receptor downstream pathways and crosstalk

The natural history of Luminal-like mBC intimately depends on ER signaling, which is triggered by the binding of estradiol (E2) to specific receptors expressed on mammary epithelial cells. The ER family is composed of a G protein-coupled receptor (GPER1) and two isoforms of nuclear ER. ER $\alpha$  is the main responsible of carcinogenesis and is encoded by the *ESR1* gene located within chromosome 6, while ER $\beta$  is encoded by the *ESR2* gene on chromosome 14 and negatively controls cell proliferation [13–16] (Fig. 1).

ER $\alpha$ , initially located in the cytoplasm, binds to E2 and the resulting complex translocates into the nucleus and binds to specific DNA sequences, namely estrogen response elements (EREs), which promote the transcription of genes involved in cell proliferation, mitogenic signaling and survival. ER $\alpha$  can also interact with genes lacking EREs via alternative transcription factors in the cell nucleus [13,14,17]. Concomitantly, the E2-ER $\alpha$  complex exerts a “non-genomic” effect, by activating cytosolic kinase cascades, mainly the Ras-Raf-mitogen-activated protein kinase kinase (MEK)-mitogen-activated protein kinase (MAPK) and the phosphatidylinositol 3-kinase (PI3K)/AKT/mammalian target of rapamycin (mTOR) pathways. GPER1 can also control these signaling cascades, as well as downregulating pro-apoptotic gene sets [13,14,18,19] (Fig. 1).

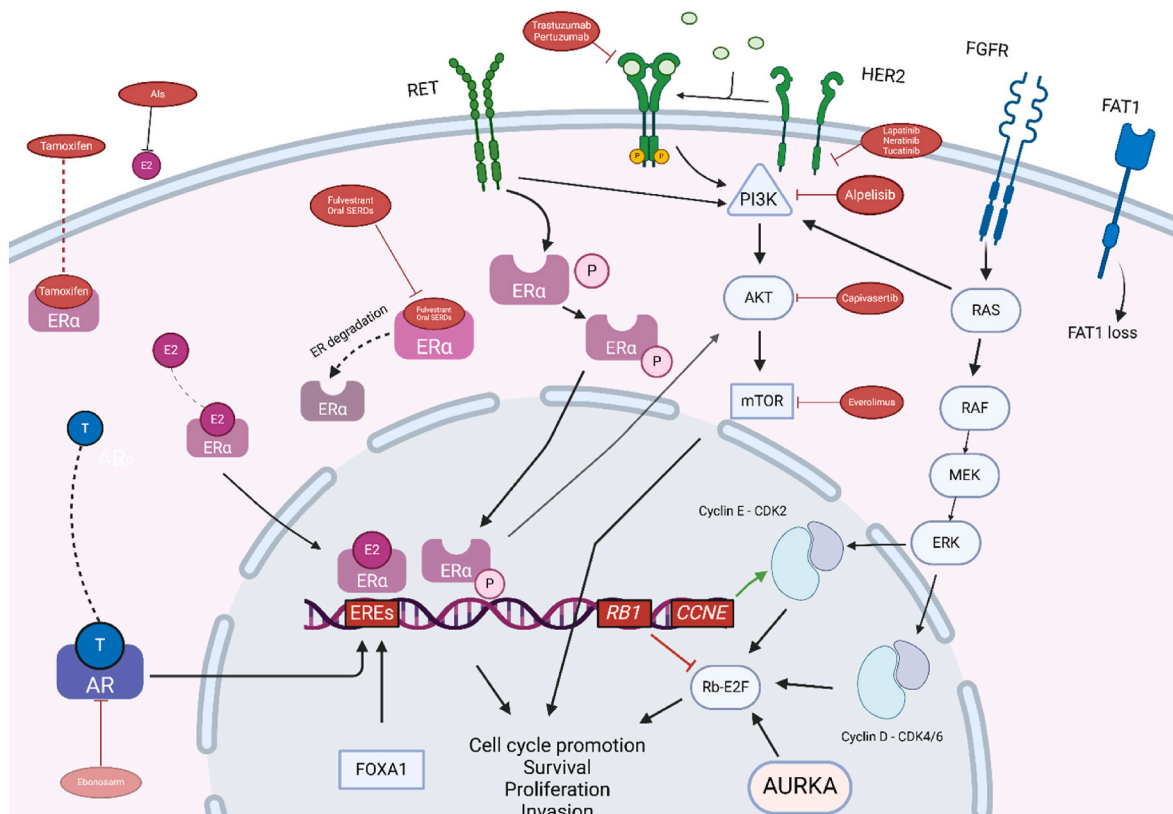
Several molecules play a key role in ER signaling, serving as

coactivators (e.g., AIB1, BCAS3, CIZ1, DBC1, MTA1, PELP1, SRC1/2/3) or corepressors (e.g., NCOR1, BRCA1, DACH1) of ER-mediated gene expression via different mechanisms. In fact, they can control chromatin remodeling, modulate ER binding to cytosolic kinases or retain it within the cytoplasm [13,20]. Transcription factors may also contribute to regulate ER signaling, with a predominant role played by Forkhead box protein A1 (FOXA1) [21]. Moreover, functional crosstalk between ER and other steroid HRs (e.g., PR, androgen receptor [AR]) and tyrosine kinase receptors like HER2 exist, whose interactions may crucially influence cellular processes [22,23].

### 2.2. Molecular mechanisms of endocrine resistance

ER signaling represents a composite system in which all involved molecular factors potentially contribute to the development of endocrine therapy (ET) resistance. While the clinical implications of certain molecular alterations are well-defined, others remain to be elucidated.

*ESR1* point mutations are among the most common mechanisms of ET resistance [24]. These activating alterations typically affect the ligand-binding domain region of ER $\alpha$ , leading to a constitutively active ER that promotes endocrine-independent cell growth [25]. Although being potentially detectable in primary lesions, *ESR1* variants are more frequently acquired under treatment pressure. Indeed, they have been identified in around 20–40% of patients with Luminal-like mBC after disease progression (PD) on aromatase inhibitors (AIs) [11,26]. Besides, recent evidence suggests that novel *ESR1* non-hotspot mutations may also contribute to the emergence of ET resistance. In fact, their variable binding affinity to selective ER modulators (SERMs) and degraders



**Fig. 1.** A summary of estrogen receptor downstream signaling and relevant crosstalk with other molecular pathways; the main therapeutic options available are also displayed (Created with BioRender.com).

Abbreviations: AIs, aromatase inhibitors; AR, androgen receptor; AKT, protein kinase B; AURKA, aurora kinase A; *CCNE1*, cyclin E1 gene; CDK, cyclin-dependent kinases; E2, estradiol; ER $\alpha$ , estrogen receptor alpha; EREs, estrogen response elements; ERK, extracellular signal-regulated kinase; FGFR, fibroblast growth factor receptor; FOXA1, forkhead box A1; HER2, human epidermal growth factor receptor 2; MEK, mitogen-activated protein kinase kinase; mTOR, mammalian target of rapamycin; P, phosphate group; PI3K, phosphatidylinositol 3-kinase; Rb, retinoblastoma protein; *RB1*, retinoblastoma 1 gene; RET, rearranged during transfection receptor; SERDs, selective estrogen receptor degraders; T, testosterone.

(SERDs) could influence the pharmacodynamic profile and antitumor effectiveness of these drugs [27,28].

Alterations in the PI3K/AKT/mTOR pathway are another well-established mechanism of ET resistance; its overactivation is mainly driven by *PIK3CA* somatic mutations, which account for about 40% of all detected mutations in Luminal-like mBC. Moreover, they can confer resistance to cyclin-dependent kinase 4/6 inhibitors (CDK4/6i) by constitutively activating the p110 $\alpha$  subunit of PI3K [29]. *AKT* activating and *PTEN* inhibiting variants can also be found, in smaller proportions [30–33]. The detection of these gene alterations seems to be equally reliable in either tissue specimens or ctDNA samples, with concordance rates for *PIK3CA* status reported to be about 70% for primary tumors and 80% for metastatic sites. A high degree of reliability was also observed with other cancer-derived circulating biomarkers (e.g., circulating tumor cells [CTCs]) [34–37].

*ERBB2* somatic activating mutations, affecting the kinase domain of HER2, can concur to the development of ET resistance, via a crosstalk between HER2 and ER signaling pathways [22,23] (Fig. 1). These alterations account for approximately 2% of all mBC cases and, despite their lower frequency, they increase to 3–5% in the Luminal-like biological subtype and may be observed independently of HER2 amplification or overexpression [38–40]. Notably, *ERBB2* mutations appear to be mutually exclusive with *ESR1* variants, so they may represent a possible independent prognostic and predictive marker in Luminal-like mBC [41]. Their mutational status could be effectively defined by liquid biopsy analyses conducted on both ctDNA and CTCs [42,43].

Aurora kinase A (*AURKA*) amplification enables increased phosphorylation of ER $\alpha$  transactivation domain, inducing its down-regulation, and has therefore been associated with resistance to tamoxifen and increased likelihood of disease relapse [44]. Targeted drugs, like alisertib, are currently being investigated as a potential mechanism to restore ET sensitivity [45] (Fig. 1).

The receptor tyrosine kinase (RTK)/RAS pathway is also involved in ET resistance. *FGFR* amplification works as a promoter of anchorage-independent proliferation and ET resistance, leading to increased tumor proliferation and aggressiveness; it can be found in about 16–27% of Luminal-like mBC, mostly with lower HRs expression [46]. ctDNA analyses performed in patients treated with ET plus CDK4/6i have identified *FGFR* alterations in about 5% of cases; investigations are ongoing to better elucidate their potential prognostic and predictive role, as well as possible targeted treatment strategies [47–50] (Fig. 1).

### 2.3. Estrogen receptor expression and its dynamic evolution

ER expression's reduction has been recognized as a possible mechanism of ET resistance. The most recent update of the ASCO/CAP guidelines has introduced the ER-low category [51]. Tumors falling into this category have been associated with poorer prognosis compared to the ER-positive counterparts, exhibiting annual recurrence patterns more akin to the triple negative (TNBC) biological subtype [52,53]. Additionally, they typically manifest more aggressive biological features, such as larger tumor volumes, poorer differentiation and higher proliferation indexes, and have consistently proven reduced sensitivity to ET and higher response rates to chemotherapy [54–59]. Interestingly, higher levels of *CCNE1* mRNA were found mostly in ER-low mBC and were associated with lower sensitivity to ET plus CDK4/6i [60]. Furthermore, a molecular analysis of 173 HER2-negative breast cancer patients revealed that stromal tumor-infiltrating lymphocytes, CD8<sup>+</sup> T cells, PD-L1 protein expression and immune-related gene signatures were more pronounced in the ER-low subgroup, suggesting an enhanced immune sensitivity of these diseases, likewise TNBC [61].

Substantial evidence have pointed out that ER expression can evolve over time and space, between the primary lesion and metastatic sites, with significant consequences in prognosis and prediction [62,63]. Dynamic monitoring would be warranted, although performing repeated tissue biopsies does not seem to be clinically feasible. Prat et al.

performed a ctDNA 0.5X shallow whole-genome sequencing analysis on 459 patients with mBC, looking for possible associations between 150 ctDNA-based signatures and tissue ER and HER2 status. Signatures related to Luminal biological processes were significantly enriched in the ER-positive subgroup, as expected. Moreover, after applying an unsupervised hierarchical cluster analysis to the ctDNA-based signatures, four distinct clusters were identified, with a high degree of correspondence to tissue-based RNA intrinsic subtyping. Interestingly, Cluster 2, which was found to be more associated with Luminal B features, could be further subdivided into two sub-clusters based on the different enrichment in proliferation hallmarks and Luminal A signatures. Furthermore, in an exploratory analysis of the PACE trial, blood samples were evaluated for CTCs enumeration and ER expression, with the help of a digital software: interestingly, a decrease in ER-positive CTCs was observed (26.3% at baseline vs 5.5% at PD), with concomitant increase in the rate of ER-negative samples with high CTCs count (i.e.,  $\geq 5$  CTCs/7.5 mL [64]) [65]. Overall, these results underline the technical and analytical feasibility of liquid biopsy methods to identify and dynamically monitor complex biological features, including variations in ER expression, similar to what tissue-based profiling could accomplish [12].

## 3. Emerging and complementary biomarkers

### 3.1. Androgen receptor

AR is another member of the steroid HRs superfamily, whose over-expression is found in up to 70–90% of Luminal-like mBC. AR exerts its downstream effects by acting through both “genomic” and “non-genomic” pathways, similar to ER, and can contribute to the imbalance between androgen and estrogen levels [66–71] (Fig. 1).

So far, research efforts concerning AR have primarily focused on TNBC, aiming to identify new potential therapeutic targets. However, a crosstalk between AR and ER has been described, as they can bind to similar EREs. Moreover, preclinical evidence has shown that AR is capable of modulating estrogen-dependent signaling, thereby influencing ER $\alpha$  expression in Luminal-like tumors [72–75].

The prognostic role of AR appears to be context-dependent, strongly determined by concomitant ER expression. In Luminal-like breast cancer, AR has been associated with favorable clinicopathologic features (e.g., small tumor size, low grade, and node-negative status), as well as reduced mortality. Conversely, these findings have not been observed in ER-negative tumors [68,76]. Interestingly, the AR/ER crosstalk may be involved in the development of ET resistance: indeed, a high AR/ER ratio has been associated with poor survival outcomes and increasing ET resistance [77–79]. Instead, the predictive role of AR is yet to be fully elucidated. A phase I/II study reported a certain activity of abiraterone acetate in post-menopausal patients with both ER- and AR-positive mBC who had previously received two or more ETs, while another trial did not yield positive results [80,81]. Data are also emerging on the activity of selective AR modulators, which have proven capable of inhibiting tumor cell growth in preclinical models of ET-resistant mBC. Enobosarm has demonstrated a 29–32% clinical benefit rate (CBR) at 24 weeks of treatment, with limited toxicities, in post-menopausal women previously treated with  $\geq 1$  ET line and having previously shown ET sensitivity [82] (Fig. 1).

### 3.2. FOXA1

FOXA1 is a pioneer transcription factor that regulates chromatin remodeling, facilitating the access of steroid HRs to their EREs [83]. IHC analyses and large-scale gene expression studies have demonstrated a positive correlation between FOXA1 and ER expression in primary breast cancer samples [84,85] (Fig. 1).

Evidence on the role of FOXA1 are conflicting. Indeed, early analyses have associated higher FOXA1 levels with longer disease-free survival

and late recurrence in Luminal-like breast cancer patients [21,86]. Conversely, FOXA1 methylation silencing was found more frequently in BRCA-deficient, basal-like tumors [87]. As such, FOXA1 was first recognized as a determinant of ET responsiveness, in light of its role in chromatin remodeling [88].

However, FOXA1 gene amplification or overexpression, resulting in high FOXA1 levels, has been reported to be primarily involved in the promotion of oncogenic signatures highly associated with ET resistance, cell growth and invasiveness. Possible mechanisms involve a reprogramming of ER chromatin targets and an induction of interleukin-8 signaling [33,89–91]. Specific FOXA1 mutations have also been considered, with neomorphic alterations inducing the transcription of alternative gene sets, while hypermorphic variants entail an overexpression of ER-dependent transcripts [92]. Thus, FOXA1 likely exerts different roles in ET-sensitive and ET-resistant breast cancers, according to the differential activation of ER-related genes [91].

Interestingly, recent reports have described FOXA1 alterations as recurrent structural variants frequently observed after ET exposure, although they appear to be mostly nonconcurrent with ESR1 variants. This observation suggests that both factors are strongly involved in ET resistance, with different underlying mechanisms [93,94]. In a biomarker analysis conducted within the phase III CONFIRM trial, increased FOXA1 transcriptional signaling appeared to be associated with decreased response to fulvestrant [95]. However, a comprehensive explanation is lacking and further studies will be necessary to clarify the meanings of FOXA1 signaling in Luminal-like mBC.

### 3.3. RET mutations

RET is a proto-oncogene that codes for a single-pass transmembrane RTK. Gene fusions between RET and other partners can occur, leading to the creation of a constantly active chimeric protein. These mutations have been widely described in different tumor types, mostly medullary thyroid, non-small cell lung and colon cancers [96–98] (Fig. 1).

In Luminal-like breast cancer, a crosstalk between RET and ER signaling has been reported. Estrogens can upregulate RET, promoting cell survival, proliferation, distant migration and invasion, while RET contributes to ET resistance through the activation of the PI3K/AKT/mTOR or MAPK pathways. Moreover, the chimeric RET protein is able to phosphorylate ER, keeping it in a ligand-independent, constantly active status [99–101].

The interplay between RET alterations and ER signaling in Luminal-like mBC has been underexplored so far; nevertheless, it looks like a promising actionable target to be investigated in the near future [102, 103].

### 3.4. ESR1 epigenetic signatures

ESR1 can be affected by several molecular mechanisms, other than point mutations. In particular, epigenetic signatures are being paid increasing attention: ESR1 methylation has been associated to reduced tumor dependency on ER signaling, suggesting it as a possible escape strategy, while its loss or amplification could drive ET resistance [104]. Their detection via non-invasive techniques, such as liquid biopsy, is becoming more and more available and could be a reliable tool to assess ET sensitivity [105,106]. Other mechanisms are also being investigated, including DNA methylation of specific ER CpG islands, histone deacetylation and repression of ER transcription mediated by the transcription factor Twist [107].

## 4. Clinical evidence supporting decision-making

The expansion of knowledge on the biology underlying tumor development, together with a constant progress of biotechnology, is transforming oncology practice towards a “precision medicine” model, allowing more and more patients to undergo a comprehensive molecular

profile, which may subsequently guide tailored therapeutic choices [108–110]. In the field of Luminal-like mBC, a first line approach consisting of a combination of ET with a CDK4/6i is the current standard of care [111–113]. However, resistance mechanisms can develop and PD will inevitably present; in this context, identifying actionable molecular targets is a priority to assist clinicians in tackling therapeutic decision-making, possibly delaying the need to use chemotherapy [114, 115].

### 4.1. ESR1 mutations

Preclinical and clinical data are pointing towards a relatively higher sensitivity of ESR1 mutant (ESR1mut) tumors to agents directly targeting ER, particularly SERDs. In a combined analysis of two phase III trials, detecting ESR1 mutations in baseline blood samples was associated with worse survival outcomes in patients treated with exemestane than in those who received fulvestrant [11,116,117]. Accordingly, fulvestrant is recommended as a subsequent option in patients who have experienced PD under previous first line ET with AIs or relapse within 12 months of its conclusion in the adjuvant setting [118].

Due to the suboptimal pharmacokinetic profile of fulvestrant, which requires an intramuscular injection, novel orally available SERDs are in development [119–122]. The first compound to provide evidence of clinical efficacy in a phase III study is elacestrant, which led to a statistically significant improvement in PFS with respect to standard second line ET in the ESR1mut cohort [119]. An individual patient data meta-analysis was conducted across the EMERALD, AMEERA-3, acELERA and SERENA-2 trials. A total of 1290 patients were considered: overall results suggested a general PFS benefit with oral SERDs mainly driven by ESR1mut cohorts, which preserved statistical significance in the subgroup analysis as opposed to ESR1 wild type patients [123]. On the basis of the EMERALD results, elacestrant has been approved for use by both the US and the European regulatory agencies in patients with Luminal-like, ESR1mut mBC experiencing PD after  $\geq 1$  ET line. However, performances of single agent ET still seem limited to few months of PFS benefit and, although encouraging, the first part of the Kaplan-Meier curves of the EMERALD trial suggests that there is still room for improving treatment strategy. Recently, the ADELA trial (NCT06382948) is opening to enrollment, testing the addition of everolimus to elacestrant in patients with Luminal-like, ESR1mut mBC (Table 1).

ESR1 mutations have also proven valuable for refining disease monitoring by anticipating the identification of PD. The PADA-1 trial showed that an early switch of the ET backbone, prompted by the detection of ESR1 mutations in the absence of clinical PD, while continuing with the same CDK4/6i (i.e., palbociclib), can significantly improve PFS, defined as the time elapsed from randomization to clinical PD or death [124]. Moreover, a recently presented biomarker analysis highlighted a higher rate of ESR1 mutations' ctDNA clearance at 2 months in patients switching to fulvestrant. Conversely, the type of ESR1 mutation and polyclonality did not appear to play any prognostic role [125]. The strategy of continuing CDK4/6i beyond PD has also been explored, both in a phase II trial and in a real-world context, suggesting a favorable impact on prognosis, with a potential added benefit specifically in the ESR1mut population [126,127]. Based on these results, further exploration is ongoing in the SERENA-6 phase III trial, which has been designed similarly to PADA-1, with main differences represented by the use of a newer oral SERD (i.e., camizestrant) in combination with any CDK4/6i and by the implementation of a double blind strategy [128, 129] (Table 1).

### 4.2. ERBB2 mutations

Neratinib, a second-generation oral pan-HER tyrosine kinase inhibitor, has previously demonstrated a certain capability to overcome ET resistance in Luminal-like, ERBB2 mutant (ERBB2mut) breast cancer cell

**Table 1**

List of the main ongoing trials employing ctDNA as either an inclusion criteria or decision factor for early treatment switch in Luminal-like metastatic breast cancer.

Trial	Phase	Study treatments	Disease setting	ctDNA utility and mutation assessed	Study status
<b>PADA-1</b> (NCT03079011)	II	<ul style="list-style-type: none"> <li>- Observational phase: palbociclib + AI</li> <li>- Randomized phase:               <ul style="list-style-type: none"> <li>o palbociclib + AI</li> <li>o palbociclib + fulvestrant</li> </ul> </li> </ul>	I/II line	Early switch <i>ESR1</i> mutations	Active, not recruiting Published results
<b>SERENA-6</b> (NCT04964934)	III	<ul style="list-style-type: none"> <li>- Observational phase: investigator's choice CDK4/6i + AI</li> <li>- Randomized phase:               <ul style="list-style-type: none"> <li>o investigator's choice CDK4/6i + AI</li> <li>o investigator's choice CDK4/6i + fulvestrant</li> </ul> </li> </ul>	I/II line	Early switch <i>ESR1</i> mutations	Active, not recruiting Results pending
<b>SAFIR-03</b> (NCT05625087)	II	<ul style="list-style-type: none"> <li>- SCREENING: investigator's choice CDK4/6i + fulvestrant</li> <li>- ARRIBA:               <ul style="list-style-type: none"> <li>o alpelisib + fulvestrant</li> <li>o ribociclib + fulvestrant</li> </ul> </li> </ul>	I/II line	Early switch <i>PIK3CA</i> mutations	Recruiting
<b>INTERACT</b> (NCT04256941)	II	<ul style="list-style-type: none"> <li>- Investigator's choice CDK4/6i + fulvestrant</li> <li>- Investigator's choice CDK4/6i + AI</li> </ul>	I line	Inclusion criteria <i>ESR1</i> mutations	Completed
<b>ADELA</b> (NCT06382948)	III	<ul style="list-style-type: none"> <li>- Elacestrant + everolimus</li> <li>- Elacestrant + placebo</li> </ul>	II/III line	Inclusion criteria <i>ESR1</i> mutations	Not yet recruiting
<b>ELAINE-3</b> (NCT05696626)	III	<ul style="list-style-type: none"> <li>- Lasofoxifene + abemaciclib</li> <li>- Fulvestrant + abemaciclib</li> </ul>	II/III line	Inclusion criteria <i>ESR1</i> mutations	Recruiting
<b>INAVO120</b> (NCT04191499)	III	<ul style="list-style-type: none"> <li>- Inavolisib + palbociclib + fulvestrant</li> <li>- Placebo + palbociclib + fulvestrant</li> </ul>	I line	Inclusion criteria <i>PIK3CA</i> mutations	Active, not recruiting Published results
<b>INAVO121</b> (NCT05646862)	III	<ul style="list-style-type: none"> <li>- Inavolisib + fulvestrant</li> <li>- Alpelisib + fulvestrant</li> </ul>	I/II/III line	Inclusion criteria <i>PIK3CA</i> mutations	Recruiting
<b>CAPitello-292</b> (NCT04862663)	Ib/III	<ul style="list-style-type: none"> <li>- Capivasertib + palbociclib + fulvestrant</li> <li>- Placebo + palbociclib + fulvestrant</li> </ul>	> II line	Inclusion criteria for phase III AKT alterations	Recruiting

Abbreviations: AI, aromatase inhibitor; AKT, protein kinase B; CDK4/6i, cyclin-dependent kinase 4/6 inhibitors; ctDNA, circulating tumor DNA; *ESR1*, estrogen receptor 1 gene; *PIK3CA*, phosphatidylinositol 3-kinase catalytic subunit alpha gene.

lines and xenograft models. Its association with fulvestrant may lead to a concomitant suppression of both HER2 and ER pathways [23,130]. The clinical utility of neratinib is currently being investigated in pre-treated patients with mBC, either as a single agent or in combination with other drugs [131]. In the MutHER phase II trial, a 30–38% CBR was documented in patients with Luminal-like, *ERBB2*mut mBC who either received a previous treatment with fulvestrant or were naïve to it, respectively [132]. In the SUMMIT basket trial, the CBR was reported to be as high as 30.4% for neratinib monotherapy and 46.8% for neratinib plus fulvestrant, respectively. Furthermore, the median PFS and duration of response (DoR) were numerically longer within the combination arm, although the trial was not designed to compare them [133].

ctDNA analyses conducted within these studies identified the occurrence of secondary *ERBB2* activating variants upon PD as putative mechanisms of resistance to neratinib. This observation prompted the exploration of dual HER2 targeting to achieve a more comprehensive inhibition of the pathway, potentially maximizing treatment response [132,133]. It was postulated that a triplet strategy with neratinib, fulvestrant and trastuzumab would at least delay the emergence of further *ERBB2* alterations and prolong treatment responses. To test this hypothesis, a cohort of Luminal-like, HER2 non-amplified, *ERBB2*mut patients was incorporated in the SUMMIT trial and a comparison between fulvestrant, alone or in combination with trastuzumab, and the triplet was conducted in a small, randomized subcohort of 21 individuals. The additional role of neratinib eventually proved to be substantial: indeed, DoR, CBR and PFS were all superior in patients receiving the triplet compared with those undergoing fulvestrant ± trastuzumab. Moreover, as patients were allowed to cross over to the triplet arm after PD on fulvestrant ± trastuzumab, subsequent more profound responses were observed [134].

Significantly, these results were obtained in a cohort of patients with Luminal-like, *ERBB2*mut mBC classified as HER2 negative (i.e., IHC score 0, 1+ or 2+ without in situ hybridization [ISH] amplification). A careful interpretation is required, as the trial population was limited; however, the triplet regimen has provided promising clinical efficacy in this specific subgroup. Interestingly, the identification of *ERBB2*

mutations in DNA samples from archival biopsies suggests the potential for early detection, enhancing the understanding of tumor biology and treatment customization [42,135].

#### 4.3. Mutations in the PI3K/AKT/mTOR axis

Several post-hoc biomarker analyses conducted within pivotal phase III trials agreed that *PIK3CA* mutations have no predictive role for CDK4/6i efficacy, both in the first line and in the post-ET progression setting. However, a *PIK3CA* mutant (*PIK3CA*mut) status was associated with numerically shorter PFS and OS [48,112,136–139].

The first compound targeting the PI3K/AKT/mTOR axis to be introduced was everolimus, an mTOR inhibitor: when associated to exemestane, it provided a significant PFS benefit compared with single agent AI, with only a numerically longer OS; however, patients were not selected for molecular alterations. A biomarker analysis reported no differences in PFS benefit according to *PIK3CA* status [140,141]. Later, alpelisib, an  $\alpha$ -specific PI3K inhibitor, demonstrated a statistically significant PFS improvement when combined with fulvestrant in the SOLAR-1 phase III trial. Patients were enrolled based on tissue-detected *PIK3CA*mut; still, a ctDNA subgroup analysis was performed, confirming a PFS benefit regardless of the tissue status. Again, OS was only numerically longer, both in the overall population and in ctDNA-detected patients [142–144]. The activity of alpelisib plus fulvestrant after CDK4/6i failure was also explored in the phase II BYLieve trial; a biomarker analysis reported that a low ctDNA fraction (i.e., < 10%) was associated with improved PFS in all study cohorts [145,146]. Ongoing phase III trials are testing the efficacy of PI3K inhibitors (e.g., alpelisib or inavolisib), focusing specifically on selected *PIK3CA*mut patient populations [147,148].

More recently, a new class of selective AKT inhibitors is being considered. Capivasertib, a first-in-class compound, has already proved able to improve both PFS and OS, in combination with fulvestrant, in the FAKTION phase II trial, regardless of any alteration in the PI3K/AKT/PTEN pathway; however, the analytical plan was only limited to tissue or blood testing for *PIK3CA* exons 9 or 20 variants and tissue IHC for

PTEN alterations [149]. Lately, an expanded biomarker analysis, performed with more accurate tissue and blood next generation sequencing (NGS) assays, suggested a greater advantage in patients harboring PI3K/AKT/PTEN defects [150].

Similar data emerged from the phase III CAPItello-291 trial, in which capivasertib or placebo were added to fulvestrant in a molecularly-unselected population. A PFS benefit was documented both in the overall population and in patients harboring PI3K/AKT/PTEN pathway alterations, regardless of previous CDK4/6i exposure. However, a significant proportion of patients deemed to be “PI3K/AKT/PTEN non-altered” were later found to carry “NGS unknown” variants. Further exploratory analyses on “non-altered” patients showed that PFS benefit was not confirmed after excluding “NGS unknown” variant carriers. Moreover, an “NGS unknown” status has been associated with sustained PFS advantage, leading to the assumption that it may encompass a large proportion of molecular alterations [32]. Accordingly, the US and European regulatory agencies have approved the use of capivasertib, in combination with fulvestrant, only for patients with Luminal-like mBC experiencing PD after  $\geq 1$  ET line and harboring at least one PI3K/AKT/PTEN alteration. Further advances in the detection of these variants might help refining patient selection in the near future.

Finally, an evolution of the early-switch strategy is being tested specifically in the context of ET-resistant disease in the phase II SAFIR-03 study (NCT05625087). In the SCREENING part of this trial, patients treated with fulvestrant plus CDK4/6i are longitudinally followed with serial ctDNA monitoring; those with a persistently detectable *PIK3CA* mutation for at least 4 weeks are then randomized in the ARRIBA section, to receive either alpelisib or ribociclib, while continuing treatment with fulvestrant (Table 1).

#### 4.4. *BRCA1/2 and beyond*

Poly(ADP-ribose) polymerase inhibitors (PARPi) are gaining increasingly prominence as a targeted therapeutic option in patients with breast cancer harboring germline *BRCA1/2* mutations (*gBRCA1/2mut*), after the demonstration of their capability to interfere with aberrant DNA damage repair mechanisms by inducing the so-called “synthetic lethality” [151,152]. *gBRCA1/2mut* are estimated to occur in about 5–6% of unselected cases, with enrichment according to variables like age, biological subtype and ancestry; they are mostly detected via liquid-based assays, analyzing germline DNA extracted from leucocytes [153].

Currently, olaparib and talazoparib have provided the most advanced evidence of clinical activity in HER2-negative mBC: both drugs have been compared with physicians’ choice non-platinum single-agent chemotherapy, showing statistically significant benefits in terms of PFS and overall quality of life, with only numerical OS improvements [154–157]. Both trials included a subgroup of patients with Luminal-like mBC; in these cohorts, both olaparib and talazoparib seemed to produce similar PFS benefits, as compared to the overall trial population, without significant differences [156–158]. As a result, these drugs have been endorsed for clinical use in patients with Luminal-like mBC carrying *gBRCA1/2mut*, who had been previously exposed to anthracycline- and taxane-based chemotherapy, after PD on  $\geq 1$  prior ET line. Therefore, *gBRCA1/2mut* are currently classified as Tier I actionable alterations in breast cancer, according to the European Society of Medical Oncology Scale for Clinical Actionability of molecular Targets (ESCAT) [159], as well as an extremely important predictive biomarker in Luminal-like mBC.

Nonetheless, there are open questions that still need to be answered. First, increased sensitivity to PARPi has been described in patients carrying other defects in the homologous recombination repair molecular machinery (i.e., homologous recombination deficient, HRD), including other tumor suppressor genes, such as *PALB2*, *RAD51C/D*, *ATR*, *ATM*, *CHEK2*, *FANCA* and *FANCC* [160]. The predictive role of HRD alterations is well-recognized in other cancers, with most evidence deriving

from ovarian cancer, while their value currently seems to be more attenuated in mBC [161]. Besides, real-world evidence suggests smaller survival benefits for patients with Luminal-like mBC and *gBRCA1/2mut* treated with ET [162]. The efficacy in *gBRCA1/2mut* carriers has not been addressed in the pivotal trials of first line CDK4/6i, but data from the PADA-1 trial are similarly pointing towards less benefit from first line palbociclib and AI, possibly due to an increasing emergence of *ESR1mut* [163]. PARPi are currently being tested in association with ET and even immune checkpoint inhibitors in patients with Luminal-like mBC and either *gBRCA1/2mut* or other HRD abnormalities: preliminary data have shown encouraging efficacy and antitumor activity, which seem at least comparable to standard second- and third line options, and manageable safety profiles [164,165]. Front-line use of PARPi is not warranted at present, as no randomized trials have directly compared these compounds to CDK4/6i; however, some real-world cases have reported interestingly good responses [166].

#### 4.5. *Understanding sensitivity and resistance to CDK4/6 inhibitors*

The introduction of CDK4/6i has redefined the first line treatment landscape of Luminal-like mBC, yet the emergence of resistance to these compounds represent a pervasive challenge [167]. Extensive research has been conducted to explore the mechanisms of resistance to CDK4/6i using liquid biopsy biomarkers, such as ctDNA and CTCs [168]. A recent, comprehensive pooled analysis of ctDNA samples from the MONALEESA trials identified distinct alterations. In this study, variants involving *ANO1*, *CDKN2A/B/C* and *RBI* have been associated with decreased sensitivity or relative resistance to ribociclib, while an enhanced response was linked to alterations in *ERBB2*, *FAT3*, *FRS2*, *MDM2*, *SFRP1* and *ZNF217* genes. These results suggest that ctDNA can potentially identify patients with Luminal-like mBC likely to derive more benefit from CDK4/6i treatment, both in the first and in later lines [137].

Other molecular mechanisms driving resistance to ET and CDK4/6i are emerging and may be detected via ctDNA testing. An exploratory analysis within the PALOMA-3 trial has raised particular interest in alterations to genes involved in cell cycle regulation: *CCNE1* amplification and *RBI* loss were detected in about 17% of baseline ctDNA samples and were associated with worse prognosis and smaller benefit from palbociclib and fulvestrant [169]. Data are also emerging on the role of *FAT1* loss: in a large NGS analysis, *FAT1* and *RBI* loss were more frequently observed in patients experiencing rapid PD after CDK4/6i rechallenge and were associated with shorter time to treatment failure, suggesting a potential negative predictive value for this strategy [170] (Fig. 1).

Finally, liquid-based biomarkers are emerging as promising indicators of CDK4/6i activity. Serum thymidine kinase (sTKa) has raised particular interest in many phase II trials [171–173], especially the BioItaLee study, which enrolled postmenopausal patients with Luminal-like mBC treated with first line ribociclib plus letrozole. A sustained sTKa inhibition has been associated with more favorable PFS, whereas a lack of inhibition by day 15 of the first treatment cycle correlated with worse outcome [174].

#### 4.6. *The role of CTCs*

Quantitative analysis of CTCs has proven valuable in supporting clinical decision-making in Luminal-like mBC. CTCs enumeration, stratified according to the validated cutoff of 5 CTCs/7.5 mL [64], was suggested as a potential stand-alone driver of first line treatment choices in the French STIC-CTC trial. The primary endpoint of PFS was met, showing that this liquid biopsy-based approach is at least noninferior to a clinician-driven strategy; OS data, although not significant, also showed a numerical improvement in the CTC-driven arm. Importantly, CTCs enumeration appeared to be most useful in case of discordance between the two estimates: indeed, patients with high CTCs count and a low clinical risk profile seemed to derive greater benefit by the CTC-driven choice for chemotherapy [175,176]. The external validity is

limited by the fact that the trial was run before the introduction of CDK4/6i; nonetheless, it shows the feasibility of this approach and warrants further exploration in the current treatment landscape.

Similar data are emerging in the second line setting, underlining the potential role of CTCs in predicting benefit from a CDK4/6i beyond progression strategy. In the PACE trial, patients with high CTCs count exhibited a substantial benefit from the combination of fulvestrant plus palbociclib, with or without avelumab, as compared to fulvestrant alone, after a first line CDK4/6i-based regimen [177].

Further hints are coming from more detailed CTCs analyses focused on their molecular background. Intriguingly, preliminary findings from an ongoing study evaluating the transcriptional profiles of CTCs at baseline and during palbociclib treatment have suggested a more common overexpression of *CDK2*, *WWTR1* and *YAP1* among non-responding patients, while *MLH1* and *NFKB1* seemed to be more prevalent in responders [178].

Finally, several reports have described a certain heterogeneity in HER2 expression among metastatic lesions [179]. In parallel, the concept of HER2-low expression is gaining consideration also in Luminal-like mBC, after the positive results obtained by trastuzumab deruxtecan in patients previously exposed to  $\geq 2$  ET lines [180,181]. In this context, CTCs phenotyping is emerging as a tool to further identify HER2 expression, either complete or HER2-low, in patients that would otherwise be classified as HER2-negative according to IHC [182–184]. Clinical explorations are also ongoing to evaluate the potential benefit of antiHER2 therapies in patients with HER2-expressing CTCs, with promising results [185].

## 5. Future perspectives

A multitude of unexplored liquid-based biomarkers exist, with potential clinical applications yet to be elucidated. The variant allele fraction (VAF) serves as a metric to assess the mutational load of a specific gene alteration, playing a pivotal role in distinguishing driver and passenger mutations [186,187]. While tissue analysis provides enhanced sensitivity in detecting low-frequency variants, calculating VAF in ctDNA samples not only offers a non-invasive approach, but also allows for a more comprehensive evaluation of the spatial and temporal heterogeneity within tumor biology [35,188]. Moreover, VAF dynamics have been associated with PFS and changes in tumor size in retrospective analyses of plasma samples, conducted both in a subset of patients with *ERBB2*mut mBC treated with neratinib and in the larger PALOMA-3 cohort [135,189]. Besides, in a longitudinal on-treatment monitoring of somatic mutations, ctDNA clearance after 30 days has been related to PFS improvements, while increasing VAF and number of alterations seemed to indicate a higher PD risk [190,191].

Concurrently, efforts are being made towards integrating ctDNA analysis to the classical radiological assessments, in order to predict and possibly anticipate PD. In the phase Ib MONALEESASIA trial, the median lead time between ctDNA increase and clinical or radiological PD was 83 days (range, 14–309 days) [192]. Despite the sensitivity of the analysis and the substantial variability in lead times, these findings suggest possible improvements in disease monitoring by the integration of liquid biopsy to radiological imaging.

Although liquid biopsy is gaining momentum, some potential caveats should be kept in mind. First, blood samples may yield lower DNA rates, as compared to tissue; moreover, when analyzing cell-free DNA, a careful distinction should be made between ctDNA and features associated with clonal hematopoiesis, that is a para-physiological process related to cell aging, consisting in the accumulation of somatic mutations and the clonal expansion of hematopoietic stem cells [193]. Finally, standardized criteria to define the somatic or germline origin of mutations are still needed, as a certain discordance exists in the available literature [194].

## 6. Conclusions

IHC tissue analysis currently remains the standard procedure to identify Luminal-like mBC; however, this technique is unable to fully capture the complexity underlying ER signaling. In this context, liquid biopsy enables a more in-depth evaluation of tumor heterogeneity and better understanding of mechanisms of ET resistance and PD and offers a feasible, non-invasive tool to guide treatment decision-making.

Several biomarkers have already been evaluated in phase II-III clinical trials: *ESR1* mutations have been associated with better survival outcomes for new oral SERDs, while *PIK3CA* variants have predictive significance only for PI3K inhibitors. Further studies will soon elucidate their role regarding new AKT and PTEN inhibitors. Although *ERBB2* mutations are less common, they may offer additional treatment guidance in the future, even in the absence of HER2 amplification or overexpression. Prior knowledge of *gBRCA1/2* status is now mandatory to better plan treatment choices for patients carrying these variants.

Furthermore, CTCs analysis may still play a role in supporting treatment decisions: although not formally proven, evidence are pointing towards possible clinical utility by CTCs enumeration in Luminal-like mBC. Non-invasive assessment of HER2 expression via CTCs phenotyping and the evaluation of transcriptional profiles of CTCs hold promising in current research.

Other molecular biomarkers are emerging, their potential use being currently in the early phases of investigation. Their integration into the therapeutic algorithm will be crucial for improving treatment tailoring in the near future.

## Authors' disclosure of potential conflicts of interest

**Lorenzo Gerratana** reports consulting or advisory role for AstraZeneca, Daiichi Sankyo, Eli Lilly, GlaxoSmithKline, Incyte, Novartis, Pfizer, MSD, Menarini Stemline and Abbvie; research funding from Menarini Silicon Biosystems; travel expenses from Menarini Stemline.

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