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110 **1. Introduction** 111

Alzheimer's disease (AD) is the most common type of de-112 mentia and typically occurs after the age of 65 years. It is 113 114 highly heritable, but the known genetic risk factors 115 (currently numbering more than 25 loci including apolipo-116₀₅ protein E [APOE]) account for no more than 50% of the her-117 itability of the disorder [1]. However, genetic association 118 findings based on AD risk do not explain the whole genetic 119 architecture of AD because the mechanistic complexity un-120 derlying AD is not captured entirely by disease status, espe-121 cially in preclinical stages [2,3]. To overcome this limitation 122 and understand preclinical stages of AD, researchers have 123 examined the genetic underpinnings of AD-related endophe-124 notypes including cerebrospinal fluid (CSF) levels of amy-125 126 loid β peptide (amyloid β 42 [A β_{42}]) and tau proteins, 127 structural brain changes quantified by magnetic resonance 128 imaging (MRI), and neuropsychological test measures of 129 cognitive functioning, including memory loss [4,5]. 130 Genome-wide association (GWA) studies for AD-related en-131 dophenotypes have identified novel loci in the Alzheimer's 132 Disease Neuroimaging Initiative (ADNI) study that enrolled 133 appreciable numbers of subjects across three stages: AD de-134 mentia, mild cognitive impairment (MCI), and normal 135 cognitive functioning [6]. Previous ADNI studies indicated 136 the importance of delineating different stages of subjects 137 138 [7,8]. We hypothesized that some genes may contribute to 139 AD-related processes specifically during stages before AD 140 dementia onset. Genes and pathways that are strongly asso-141 ciated with AD-related endophenotypes in early disease 142 stages may be promising targets for developing AD bio-143 markers and preventive medicines. To test this hypothesis, 144 we conducted GWA analyses for AD-related endopheno-145 types in the ADNI sample stratified by stage. Here, we 146 focused on the association tests in the cognitively normal 147 (CN) and MCI subgroups because we were interested in 148 identifying genes that may contribute to AD-related pro-149 cesses before AD dementia onset. 150 151

1531542. Subjects and methods

155 2.1. Subjects 156

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157 GWA and phenotype data for ADNI participants were 158 downloaded from a public-access database (http://www. 15906 loni.usc.edu). A total of 1189 subjects before QC were avail-160 able with GWA data from two different chips (ADNI-1, 161 n = 757 and ADNI-GO/2, n = 432). We stratified subjects 162 by stage (CN, MCI, and AD dementia) based on diagnosis 163 at the baseline assessment as defined by the standard 164 ADNI protocol. Demographic information and mean endo-165 phenotype values stratified by stage as well as for the entire 166 sample are presented in Supplementary Table 1. Age is simi-167 larly distributed in each subgroup. Sample sizes for analyses 168 169 of CSF biomarkers were considerably smaller than for those 170 of other traits.

2.2. Phenotypic evaluation

Previously suggested AD-related endophenotypes including CSF biomarkers [9], MRI brain imaging measures [10], and episodic memory tests [11] were selected for GWA analyses in this study. CSF biomarkers of $A\beta_{42}$, total tau (t-Tau), and phosphorylated tau (p-Tau), brain MRI measure for hippocampal volume (HPV), and scores for logical memory tests of immediate and delayed recall (LMiT and LMdT) which were all measured at baseline were analyzed in this study. Details about collection of CSF biomarkers, brain MRI scan data, and neuropsychological tests are reported elsewhere [12–15]. 171

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2.3. Genotyping, quality control, imputation, and population substructure analysis

Details of quality control, genotype imputation, and population substructure analyses are described in Supplementary Information. After QC, the ADNI-1 sample with genotype data consisted of 187 CN, 329 MCI, and 163 AD dementia subjects, and the ADNI-GO/2 sample contained 118 CN, 252 MCI, and 27 AD dementia subjects with genotype data.

2.4. Statistical methods

2.4.1. GWA tests

Before the association tests, each of the six endophenotypes was adjusted for covariates using linear regression. Age and sex were used as covariates for the six endophenotypes. A term for education level was also included in the regression models for LMiT and LMdT, and the model for HPV was further adjusted for total intracranial volume. The residuals derived from the regression models were rank-transformed for normalization as previously described [16]. Analyses were conducted for all autosomal SNPs using the expected genotype dose, a quantitative measure between 0 and 2 of the number of effect alleles computed from the imputed genotype probabilities as the predictor. Association of the rank-normalized endophenotypes with each SNP was evaluated using a linear regression model including covariate terms for the first three principal components of population substructure using the R software package. The two ADNI data sets were analyzed independently for the CN and MCI subjects, and the results from the two ADNI data sets were combined by meta-analysis using inverse variance weights as implemented in the METAL program [17]. AD cases from the two ADNI₀₇ data sets were analyzed as one group because the ADNI-GO/2 sample included only 27 AD subjects and regression models for this group included an extra covariate for ADNI data set. The genome-wide significant (GWS) threshold was set at 5.0 \times 10⁻⁸. We determined a conservative study-wide significant (SWS) level of 8.3 \times 10⁻⁹, which was calculated as the GWS level divided by the effective number of two independent endophenotypes and three clinical subgroups. The effective number of independent

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