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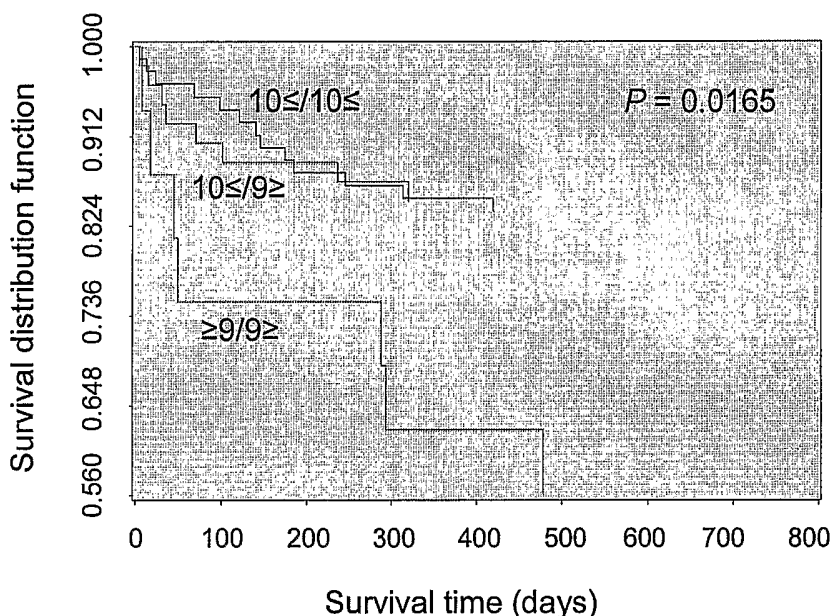
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(54) Title: BIOMARKERS FOR THE PREDICTION OF RESPONSIVENESS TO CLOZAPINE TREATMENT



(57) Abstract: This invention provides methods to predict the likelihood of suicidal or self-destructive behaviour in a patient during treatment. The method employs the detection of a VNTR polymorphism in the 3'-UTR of the dopamine transporter gene (SLC6A3). Patients with nine or fewer repeats are considered poor responders to clozapine. Nine or fewer repeats in the SLC6A3 gene have been correlated with poor expression of the SLC6A3 gene. Also provided are methods of treatment based on the presence or absence of this polymorphism or surrogate markers thereof. Also provided are kits to use in the methods of the invention.



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*For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.*

## BIOMARKERS FOR THE PREDICTION OF RESPONSIVENESS TO CLOZAPINE TREATMENT

### FIELD OF THE INVENTION

[01] This invention relates generally to the *in vitro* analysis of biological samples, and more particularly to the analysis of patient samples for biomarkers for responsiveness to the administration of clozapine.

### DESCRIPTION OF THE RELATED ART

[02] Schizophrenia is one of the most severe psychiatric disorders characterized by mental dysfunction across multiple domains of the brain. Freedman R, *N. Engl. J. Med.* 349(18): 1738-49 (2003). Suicide or suicide attempt occurs at a significantly greater rate in schizophrenia than in the general population, accounting for approximately 10% of deaths in these patients. The risk factors for suicide in schizophrenia are complex, including genetic and environmental factors. Interactions between genetic and environmental factors are also reported. Caspi A *et al.*, *Science* 301(5631): 386-9 (2003). Many studies suggested that genetic components can be accounted for about 70% of the risk. Freedman R, *N. Engl. J. Med.* 349(18): 1738-49 (2003). However, schizophrenia does not appear to be monogenic, and there are a number of chromosomal loci for which linkage to the illness has been replicated. Some single-nucleotide polymorphisms in the genes, such as serotonin receptors and dopamine transporters, have been associated with increased susceptibility to schizophrenia. Interestingly, these polymorphisms also appeared to have an impact on drug response.

[03] Current clinical studies have shown that the atypical antipsychotic clozapine (CLOZARIL® or LEPONEX®, Novartis Pharmaceutical Corporation, East Hanover, NJ, USA) can reduce the suicide rate dramatically in patients with schizophrenia and the related psychiatric disorder schizoaffective disorder. See Meltzer *et al.*, *Arch. Gen. Psychiatry*, 60: 82-91 (2003); published PCT patent application WO 2004/074513. A multicenter, randomized, international, 2-year study compared the risk for suicidal behaviour in patients treated with clozapine vs. olanzapine in patients considered at high risk for suicide. Meltzer HY, *J. Clin. Psychiatry* 60 Suppl 12: 47-50 (1999); Meltzer HY *et al.*, *Arch. Gen. Psychiatry*

60(1): 82-91 (2003); Potkin SG *et al.*, *Biol. Psychiatry* 54(4):444-52 (2003); Vandenberg DJ *et al.*, *Genomics* 14(4):1104 (1992); Grunhage F *et al.*, *Mol. Psychiatry* 5(3): 275 (2000). That study concluded that suicidal behaviour, including suicide attempts, hospitalizations for suicidal thoughts, need for rescue interventions, required concomitant treatment with anti-depressants, anxiolytics or soporifics, were all significantly less in patients treated with clozapine.

[04] The most possible mechanisms that lead to a decrease in suicidality are clozapine's superior anti-psychotic efficacy and intrinsic anti-depressant activity. In December 2002, the U.S. Food and Drug Administration (FDA) approved clozapine (CLOZARIL®) for treatment of recurrent suicidal behaviour in patients with schizophrenia or schizoaffective disorder who are at chronic risk. CLOZARIL® is the first medication ever approved for this use. Moreover, CLOZARIL®/LEPONEX® has been shown to be able to improve cognitive function.

[05] However, it has remained a difficult and often error prone task to accurately predict how likely suicidal behaviour is in a given patient. Inter-individual variability in response to clozapine treatment has been significant. Not all patients benefit from clozapine. Some react adversely to therapy while others fail to respond adequately. Despite the availability of a wide range of different drug classes, about 30 – 50% of patients have not responded sufficiently to acute treatment, regardless the initial choice of standard psychiatric medication. Freedman R, *N. Engl. J. Med.* 349(18): 1738-49 (2003)); Meltzer HY, *Ann. N.Y. Acad. Sci.* 932: 44-58; discussion 58-60; (2001). In addition, in the past there has been no objective test that could aid in the prediction of such behaviour. Now with the possession of a medication proven to be more effective at reducing the risk of suicide in these extremely ill patients it has become even more important for the physician to have objective and reliable means to predict the likelihood of suicidal or self-destructive behaviour. The identification of genetic factors underlying drug response is among the most promising areas of research in molecular medicine. Thus, there is a need for an objective test to help clinicians make this difficult and important determination.

## SUMMARY OF THE INVENTION

[06] The invention answers this need by providing biomarkers and methods for predicting the risk of suicidal behaviour in an individual who may be suffering from or susceptible to a

psychiatric disorder including schizophrenia. The invention provides biomarkers that are (1) useful disease markers; (2) can be used to get a better understanding of disease pathogenesis; and (3) can differentiate clozapine responders from clozapine non-responder in a patient population.

[07] In one embodiment, the invention comprises determining the forms of the variable number of tandem repeats (VNTR) polymorphism present in the 3'-untranslated region (UTR) of the Dopamine Transporter 1 gene (the DAT1 gene; SLC6A3 gene) of the individual. The SLC6A3 gene is located on chromosome 5p15.3. In another embodiment, the invention comprises determining for the two copies of the SLC6A3 gene (DAT1 gene) present in the individual, the identity of the nucleotide pair at the polymorphic site 59 A→G on Exon 9. The polymorphism 59 A→G is at position 41370 (SEQ ID NO:2) in GenBank Sequence No. AF119117.1. (SEQ ID NO:1 provides the sequences from positions 41341 – 41401 of GenBank Sequence No. AF119117.1.)

[08] These nucleotide variations may result in aberrant expression of the dopamine transporter, thereby affecting its function. Nine or fewer repeats in the SLC6A3 gene have been correlated with poor expression of the gene. The 59 A→G polymorphism (SEQ ID NO:2) results in an aberrant splicing of Exon 9 and therefore an aberrant, detectable RNA. The polypeptide product of the gene may be altered in patients with the polymorphism, which forms the basis for a blood test for this polymorphism and thereby provides an estimate of suicide potential in a patient.

[09] Therefore, in some embodiments, this invention provides methods for determining the genotype of a patient at the SLC6A3 locus and using this information in a method of predicting the risk of suicidal or self-destructive behaviour in that patient who is or may be at risk of suicidal or self-destructive behaviour. In another embodiment, this invention provides a method of predicting the likelihood of a Type 1 event occurring during treatment of a patient, who is or may be at risk for the occurrence of a Type 1 event. In one embodiment, this invention provides a method for determining the genotype of a patient at the 3'-UTR of the SLC6A3 gene, comprising: (a) obtaining a sample of body fluids or other tissue from the patient, and (b) determining for the two copies of the SLC6A3 gene present in the patient's blood or tissue, the number of VNTR polymorphisms. In another embodiment, this invention provides a method for determining the genotype of a patient at the SLC6A3 Exon 9 locus,

comprising: (c) determining for the two copies of the SLC6A3 gene present in the patient's blood or tissue, the identity of the nucleotide pair at the polymorphic site in SLC6A3 Exon 9 A59G (rs6347) at position 41370 in GenBank Sequence Accession Reference No.

AF119117.1, wherein (i) if both nucleotide pairs are AT then the patient is classed as AA; (ii) if one nucleotide pair is AT and one is GC then the patient is classed as GA; and (iii) if both nucleotide pairs are GC then the patient is classed as GG. In another embodiment, the genotype determination is made as described above, wherein, (a) if said patient is classed as AA then they will be considered to be in risk Category I, and (b) if said patient is classed as GA then they will be considered to be in risk Category II, and, (c) if said patient is classed as GG then they will be considered to be in risk Category III.

[10] In still another embodiment this invention provides methods for making the above determinations utilizing a surrogate marker for an SLC6A3 polymorphism. This method involves predicting the likelihood of a Type 1 event occurring during treatment of a patient, who is or may be at risk for the occurrence of a Type 1 event. In one embodiment, the biomarker is a surrogate for the presence of the number of VNTR polymorphisms in the 3'-UTR of the SLC6A3 gene (whether nine or fewer repeats or ten or more repeats). In another embodiment, the invention comprises making the determination whether or not a surrogate marker for the SLC6A3 Exon 9 A59G polymorphism is present in the said patient, wherein, (a) if said surrogate marker indicates that said patient should be classed as AA then they will be considered to be in risk Category I, and (b) if said surrogate marker indicates that said patient should be classed as GA then they will be considered to be in risk Category II, and (c) if said surrogate marker indicates that said patient should be classed as GG then they will be considered to be in risk Category III.

[11] Thus, in another embodiment the invention also provides methods for the determination of treatment decisions based on the knowledge of the polymorphisms of the SLC6A3 gene of the patient to be treated. On the basis of this information the individual can be treated in the most appropriate manner both with regard to the medication chosen and the degree of observation needed to assure patient safety. For example, individuals in intermediate- and high-risk categories receive an enhanced level of observation both in the hospital and as outpatients. See, Modestin J *et al.*, *J. Clin. Psychiatry* 66(4):534-8 (April 2005).

[12] In another embodiment, this invention provides a method to treat an individual who is or may be at risk of suicidal or self-destructive behaviour comprising: (a) assaying for the presence of the SLC6A3 gene expression product in the said patients body fluids or tissues, wherein (i) if the SLC6A3 gene expression product is found concentrations indicating a high, or at least an intermediate-risk genotype, the patient is treated with clozapine rather than any other similar medication, and more serious consideration is given to hospitalizing the individual during treatment or otherwise provide suicide prevention means; and (ii) if the concentration of the SLC6A3 gene expression product indicates that the individual would be considered to be in a low-risk category, then patient supervision need not be so intrusive for the patient.

[13] The above determinations would, in a preferred embodiment, be performed by testing for the availability and affinity or concentration of the gene expression product of the SLC6A3 gene (Dopamine Transporter 1 [DAT1]) through the measurement of the dopamine transporter binding potential (DATBP). This would entail the use of [ $^{11}\text{C}$ ]RTI-32, a Positron Emission Tomography (PET) imaging radioligand that is highly selective for the dopamine transporter. See Wilson, DaSilva & Houle, *J. Label. Comp. Radiopharm.*, 34: 759-765 (1994); and Wilson, DaSilva & Houle, *Nucl. Med. Biol.*, 23(2): 141-146 (1996).

[14] In another embodiment, the above determination would rely on the use [ $^{123}\text{I}$ ]- $\beta$ -CIT Single Photon Emission Computed Tomography (SPECT) technique as an alternative means to determine the DATBP. See Neumeister *et al.*, *Psychol. Med.* 31(8): 1467-1473 (2001).

[15] In a further embodiment, this invention provides a method to treat an individual who is or may be at risk of suicidal or self-destructive behaviour comprising: (a) detecting a level of mRNA expression corresponding to the SLC6A3 gene; (b) detecting a level of mRNA expression corresponding to the variant of the SLC6A3 gene from a low risk patient; and (c) comparing the levels of mRNA detected in (a) and (b) above, wherein (i) if (a) is present then the patient is known to be in an intermediate- or high-risk category and appropriate precautions will be taken. These precautions include, but are not limited to, increased level of observation, including hospitalization, and the use of clozapine in preference to other medications of similar type; and (ii) if (a) is detected and (b) is not, then the patient is considered to be in a high-risk category and even more stringent precautions of the type described above are taken during treatment.

[16] In another embodiment, this invention provides a method to choose subjects for inclusion in a clinical studies including, but not limited to, studies of suicide, anti-depressants or anti-psychotic medication comprising determining the SLC6A3 gene present in the individual, wherein the individual is included or excluded from the study based on the risk category shown.

[17] Another embodiment of the invention, is a kit for use in determining treatment strategy for an individual who is or may be at risk of suicidal or self-destructive behaviour. This kit includes the materials required to measure the levels of SLC6A3 gene expression products. In a preferred embodiment, this kit would contain the materials required to test for the availability and affinity or concentration of the gene expression product of the SLC6A3 gene (DAT1) through the measurement of the DATBP. This would entail the use of [<sup>11</sup>C]RTI-32, a PET imaging radioligand that is highly selective for the dopamine transporter. See Wilson, DaSilva & Houle (1994), *supra*; and Wilson, DaSilva & Houle (1996), *supra*.

[18] In addition, the kit would contain a container suitable for containing the needed materials and a sample of body fluid from the said individual, wherein the level of DATBP can be determined, and also including instructions for use of the kit. These instructions would include the proper use of the kit and the proper manor of interpreting the results, as well as suggestions for patient management depending on the specifics of the individual tested with the kit.

[19] In another embodiment, the above kit would rely on the use [<sup>123</sup>I]-β-CIT SPECT technique as an alternative means to determine the DATBP. See Neumeister *et al.* (2001), *supra*.

[20] A further embodiment of the invention, is a kit for use in determining treatment strategy for an individual who is or may be at risk of suicidal or self-destructive behaviour comprising: (a) a polynucleotide able to recognize and bind to the mRNA expression product of the SLC6A3 gene; (b) a container suitable for containing the said polynucleotide and a sample of body fluid from the said individual, wherein the said polynucleotide can contact the SLC6A3 mRNA, if it is present; (c) means to detect the combination of the said polynucleotide with the SLC6A3 mRNA; (d) means to determine if the mRNA is from a genome that of a low risk, intermediate risk or high risk individual; and (e) instructions for use of kit.



[21] In a further embodiment, this invention provides a method for determining the responsiveness of an individual who is or may be at risk of suicidal or self-destructive behaviour to treatment with various medications including, but not limited to, clozapine, including but not limited to CLOZARIL®, comprising: (a) determining, for the two copies of the SLC6A3 gene present in the individual, polymorphisms of the SLC6A3 gene that is in linkage disequilibrium (LD) with polymorphisms of the SLC6A3 gene indicative of whether an individual is a low risk, intermediate risk or high risk individual, as shown above; and (b) assigning the individual to a risk group based on the region of the SLC6A3 gene that is in LD with the indicative polymorphism.

[22] In another embodiment, this invention provides a kit for the identification of a patient's polymorphism pattern at the VNTR locus polymorphic site of the SLC6A3 gene, said kit comprising a means for determining a genetic polymorphism pattern at the VNTR locus polymorphic site of the SLC6A3 gene.

[23] In another embodiment, this invention provides a kit for the identification of a patient's polymorphism pattern at the SLC6A3 polymorphic site at Exon 9 A59G, said kit comprising a means for determining a genetic polymorphism pattern at the SLC6A3 polymorphic site at Exon 9 A59G.

[24] In another embodiment, the invention provides kits further comprising a DNA sample collecting means.

[25] Another embodiment of the invention is a kit for the identification of mRNA expression of the SLC6A3 gene, said kit comprising a means for determining the mRNA product of the SLC6A3 gene.

[26] A further embodiment of the present invention is a kit, wherein the means for determining the mRNA product of the SLC6A3 gene comprises a polynucleotide capable of binding to the mRNA expression product of the SLC6A3 gene.

[27] In another embodiment, this invention provides a kit for the identification of a patient's SLC6A3 gene expression product concentration or level comprising a means for detecting the concentration of the polypeptide expression product of the SLC6A3 gene in a fashion that distinguishes between the G variant and the A originating genotype.

[28] In another embodiment, this invention provides a kit, further comprising a means for collecting a body fluid sample.

[29] Further embodiments of the invention provide for a method of treating an individual who is or may be at risk of suicidal or self-destructive behaviour, in need of such treatment, a method to choose subjects for inclusion in a clinical study of an medication, or a method for determining the likelihood of suicidal or self-destructive behaviour in a patient during treatment, wherein said method is performed *ex vivo*.

[30] In still a further embodiment of this invention is provided a kit such as any of the kits described above but which detects a surrogate marker for the SLC6A3 polymorphism. Such a surrogate marker may be detected by any of the above methods, for example, by means such as detection of the mRNA of the surrogate marker genome or by detection of the polypeptide gene expression product of the surrogate marker. The presence or absence of the surrogate marker would then be used to make the above determinations based on the known association between it and the SLC6A3 polymorphism of interest.

#### BRIEF DISCUSSION OF THE DRAWINGS

[31] FIG. 1 is a graph showing the results of log rank test analysis for the Caucasians in the clozapine treatment group in EXAMPLE 1.

[32] FIG. 2 is a graph showing the results of log rank test analysis for the whole population in the clozapine treatment group in EXAMPLE 1.

[33] FIG. 3 is a graph showing the results of log rank test analysis for the Caucasians in the olanzapine treatment group.

[34] FIG. 4 is a graph showing the results of log rank test analysis for the whole population in the olanzapine treatment group.

[35] FIG. 5 is a graph showing a comparison of the Caucasians with 9 or fewer repeat alleles to the Caucasians with at least one copy of 10 or more repeat alleles in the clozapine treatment group.

[36] FIG. 6 is a graph showing a comparison of all subjects with 9 or fewer repeat alleles to all subjects with at least one copy of 10 or more repeat alleles in the clozapine treatment group.

[37] FIG. 7 is a graph showing a comparison of the Caucasians with 9 or fewer repeat alleles to the Caucasians with at least one copy of 10 or more repeat alleles in the olanzapine treatment group.

[38] FIG. 8 is a graph showing a comparison of all subjects with 9 or fewer repeat alleles to all subjects with at least one copy of 10 or more repeat alleles in the olanzapine treatment group.

#### DESCRIPTION OF THE PREFERRED EMBODIMENTS

[39] The definitions of certain terms as used in this specification are provided below. Definitions of other terms may be found in the glossary provided by the U.S. Department of Energy, Office of Science, Human Genome Project ([http://www.ornl.gov/sci/techresources/Human\\_Genome/glossary/](http://www.ornl.gov/sci/techresources/Human_Genome/glossary/)). In practicing the present invention, many conventional techniques in molecular biology, microbiology and recombinant DNA are used. These techniques are well-known and are explained in, *e.g.*, *Current Protocols in Molecular Biology*, Vols. I-III, Ausubel, ed. (1997); Sambrook *et al.*, *Molecular Cloning: A Laboratory Manual, Second Edition* (Cold Spring Harbor Laboratory Press, Cold Spring Harbor, NY, 1989); *DNA Cloning: A Practical Approach*, Vols. I and II, Glover D, ed. (1985); *Oligonucleotide Synthesis*, Gait, ed. (1984); *Nucleic Acid Hybridization*, Hames & Higgins, Eds. (1985); *Transcription and Translation*, Hames & Higgins, eds. (1984); *Animal Cell Culture*, Freshney, ed. (1986); *Immobilized Cells and Enzymes* (IRL Press, 1986); Perbal, *A Practical Guide to Molecular Cloning*; the series, *Methods in Enzymol.* (Academic Press, Inc., 1984); *Gene Transfer Vectors for Mammalian Cells*, Miller and Calos, Eds. (Cold Spring Harbor Laboratory, NY, 1987); and *Methods in Enzymology*, Vols. 154 and 155, Wu and Grossman, and Wu, Eds., respectively. All patent applications, patents and literature references cited herein are hereby incorporated by reference in their entirety.

[40] Thus, in a first aspect, this invention provides methods for determining the likelihood that an individual who is or may be at risk of suicidal or self-destructive behaviour will develop suicidal behaviour during treatment. These methods comprise determining the genotype or haplotype of the dopamine transportation gene DAT1 (SLC6A3), specifically the presence or absence of a SLC6A3 polymorphism in a patient.

[41] If the polymorphism is not present and both alleles contain an A, then the patient is classified into Category I, characterized in that such patients have a relatively lower risk of becoming suicidal during treatment. This Category is intended to represent that degree of risk

of suicidal or self destructive behaviour that one of skill in the art would estimate, for that patient, based on an examination of the patient's mental status at the time, past history, family history, nature and history of the patient's illness and known risk factors for suicide, such as the presence of substance abuse, *etc.*

[42] If the polymorphism is present on an allele but not the other, so the patient has a genotype of AG, then the patient is categorized as Category II, characterized in that there is a higher relative risk of the patient becoming suicidal with treatment. If the patient is homozygous for the polymorphism with genotype GG, then the patient is placed in Category III, characterized in that, in this category, the patient has the highest relative risk of becoming suicidal during treatment.

[43] As used herein, the terms "Category I", "Category II" and "Category III" refer to relative levels of risk that an individual will become suicidal or act in a self-destructive manner during treatment, *i.e.*, that a Type 1 event will occur. These categories are characterized in that the risk increases from Category I to Category II and increases still further in Category III.

[44] As will be readily appreciated by those of skill in the art, the prediction or assessment of the risk that an individual will engage in suicidal or self-destructive behaviour is subject to considerable uncertainty. The categories of risk, as used herein, are intended to reflect increasing relative levels of risk as compared to a baseline risk. This baseline risk would be the risk that one of skill in the art would estimate, for that patient, based on an examination of the patient's mental status at the time, past history, family history, nature and history of the patient's illness and known risk factors for suicide, such as the presence of co-morbid substance abuse, *etc.* This baseline risk would constitute a "Category I" risk assessment. A patient in a Category II risk group would be expected to be at a relatively greater risk of a Type 1 event during a given period of time. The increased risk may be 1.5, 2.0, 3.0 or 4.0 times the risk of a patient in Category I. A patient in Category III would be at the highest risk for a Type 1 event and this increased risk would be 3.0, 4.0, 5.0 or more times the risk as compared to a patient in Category I. This increased risk would be reflected in a greater likelihood of the patient engaging in suicidal or self destructive behaviour or experiencing a Type 1 event during a given period of time.

[45] As used herein, the term "suicide attempt" means an action by an individual committed either with wilful intent or as a response to internal compulsions or disordered thinking that puts himself or herself at high-risk for death.

[46] As used herein, the term "Type 1 Event" is defined as the occurrence of a significant suicide attempt or hospitalization due to imminent risk of suicide including, but not limited to, increased level of surveillance, and as confirmed by the Suicide Monitoring Board.

[47] As used herein, the term "extra suicide/self-destructive behaviour precautions" means any action taken by caregivers or others with the intention of reducing the likelihood that an individual may injure or kill him/herself. This includes, but is not limited to, any or all of the following increased frequency of observation, in or out of the hospital, *i.e.*, increased frequency of office visits or warning of family or friends to watch the individual, in the hospital this may include increased frequency of observation, *i.e.*, 5-minute checks instead of 15-minute checks or placing the patient on constant observation (eye contact) or close by constant observation (arms length eye contact) or restricting patient to their room or an observation room (quite room) or removing sharp or dangerous objects from the patients reach or in an extreme case placing the patient in restraints.

[48] As used herein the term "clozapine" shall refer to the medication clozapine (8-chloro-11-(4-methyl-1-piperazinyl)-5H-dibenzo [*be*] [1,4] diazepine) and to any of its salts or esters and shall include, but not be limited to, the brand name medication CLOZARIL® or LEPONEX®, Novartis Pharmaceutical Corporation, East Hanover, NJ.

[49] The detection of this polymorphism can be used to determine or predict the likelihood that a given patient will become suicidal during treatment. This polymorphism can be detected directly or by detecting the characteristic mRNA of the polymorphic variant gene or by detection of the presence and of the polypeptide (protein) expression product of the gene in body fluids or tissues. The relative level of the polypeptide expression product can be used to determine if the patient is heterozygous or homozygous for the polymorphism by comparison with a control group of normals, that is, individuals known not to have the polymorphism.

[50] The levels of SLC6A3 gene expression products are dependent on a number of factors including the existing physiological condition of the individual, the environment, medication, upstream factors and also inherent genetic factors like polymorphisms effecting the

functioning of promoter, enhancer, ribosomal binding sites, splice sites and exonic splicing enhancer sites.

[51] However, it is possible to measure the levels of SLC6A3 gene expression products. One published method for testing the availability and affinity or concentration of the gene expression product of the SLC6A3 gene (DAT1) is through the measurement of the DATBP. Lower DATBP may be associated with a higher levels of depression and suicidality.

[<sup>11</sup>C]RTI-32 is a PET imaging radioligand that is highly-selective for the dopamine transporter. See Wilson, DaSilva & Houle (1994), *supra*; and Wilson, DaSilva & Houle (1996), *supra*; Seeman, *Receptor Tables*, Vol. 2, "Drug Dissociation Constants For Neuroreceptors and Transporters", *Schizophrenia Research* (Toronto, 1993); Guttman *et al.*, *Neurology*, 48(6): 1578-1583 (1997); and Carroll *et al.*, *J. Med. Chem.*, 38(2): 379-388 (1995).

[52] This PET imaging radioligand, *i.e.*, [<sup>11</sup>C]RTI-32 PET can be used to detect the DATBP. See Meyer *et al.*, *Neuroreport*, 12(18): 4121-4125 (2001).

[53] In alternative embodiments, the DATBP can also be determined through [<sup>123</sup>I]-β-CIT SPECT technique. See Neumeister *et al.* (2001), *supra*.

[54] Once the average and mean "normal" levels are determined for each genotype group, the mean and standard deviations in the levels of the SLC6A3 gene product for each genotype group should be determined.

[55] These levels would serve as standard controls. The levels of the dopamine transporter should be measured in a given patient using either the PET technique or the SPECT technique.

[56] The standard control levels of the SLC6A3 gene expression product, thus determined in the different control groups, would then be compared with the measured level of an SLC6A3 gene expression product in a given patient. This gene expression product could be the characteristic mRNA associated with that particular genotype group or the polypeptide gene expression product of that genotype group. The patient could then be classified or assigned to a particular genotype group based on how similar the measured levels were compared to the control levels for a given group.

[57] As one of skill in the art will understand, there will be a certain degree of uncertainty involved in making this determination. Therefore, the standard deviations of the control group

levels would be used to make a probabilistic determination and the methods of this invention would be applicable over a wide range of probability based genotype group determinations. Thus, for example and not by way of limitation, in one embodiment, if the measured level of the SLC6A3 gene expression product falls within 2.5 standard deviations of the mean of any of the control groups, then that individual may be assigned to that genotype group. In another embodiment if the measured level of the SLC6A3 gene expression product falls within 2.0 standard deviations of the mean of any of the control groups then that individual may be assigned to that genotype group. In still another embodiment, if the measured level of the SLC6A3 gene expression product falls within 1.5 standard deviations of the mean of any of the control groups then that individual may be assigned to that genotype group. In yet another embodiment, if the measured level of the SLC6A3 gene expression product is 1.0 or less standard deviations of the mean of any of the control groups' levels then that individual may be assigned to that genotype group.

[58] Thus this process will allow the determining, with various degrees of probability, which group a specific patient should be placed in and such assignment to a genotype group would then determine the risk category into which the individual should be placed.

[59] Thus, in a first aspect, the invention provides methods of determining the likelihood that an individual will become suicidal during treatment. These methods comprise:

- (a) determining the genotype or haplotype of the SLC6A3 gene; and
- (b) making the determination of risk category based on the presence or absence of one or more polymorphic variants in the SLC6A3 gene.

[60] The SLC6A3 gene is located on chromosome 5p15.3.

[61] The detection of this polymorphism can be used to determine or predict the likelihood that the individual will experience suicidal or self-destructive behaviour during treatment. In addition, the polymorphisms can be detected directly or by detecting the characteristic mRNA of the polymorphic variant gene as opposed to that of the more common SLC6A3 genotype or by detecting the concentration of the polypeptide expression product of the SLC6A3 gene in the individual's body tissues or fluids.

[62] Methods to detect and measure mRNA levels and levels of polypeptide gene expression products are well known in the art and include the use of nucleotide microarrays and polypeptide detection methods involving mass spectrometers and/or antibody detection

and quantification techniques. See also, *Human Molecular Genetics*, 2<sup>nd</sup> Edition. Tom Strachan & Andrew Read. (John Wiley and Sons, Inc. Publication, NY, 1999).

[63] Furthermore, detection of the concentration of the polypeptide (protein) expression product of the SLC6A3 gene in body fluids or tissues can be used to determine the presence or absence of the polymorphism, and the relative level of the polypeptide expression product can be used to determine if the polymorphism is present in a homozygous or heterozygous state and therefore the risk category of the individual.

[64] Therefore, one embodiment of the present invention is a method for the determination of the presence or absence of the polymorphism in a patient by identifying the presence and concentration of the protein expression product of the SLC6A3 gene.

[65] In another embodiment, the present invention provides methods for determining an individual's risk category for suicidal or self-destructive behaviour during treatment and to develop appropriate treatment strategies. These methods comprise measuring the amount and ratio of mRNAs corresponding to the more common variant of the SLC6A3 gene, *i.e.*, A at site 59 versus the less common polymorphic variant with G in place of A. In this embodiment, the ratio of the two mRNAs is determined in a sample of the patient's body fluid or body tissue. If all the mRNA is from the A variant then the patient will be less likely to engage in suicidal behaviour during treatment (risk Category I). If all the mRNA is from the G variant then the patient will be more likely to engage in suicidal behaviour during treatment (risk Category III). However, If both types of mRNA are found then the patient is heterozygous for the polymorphism and will be expected to be intermediate in the likelihood of suicidal behaviour (risk Category II).

[66] One of skill in the art will readily recognize that, in addition to the specific polymorphisms disclosed herein, any polymorphism that is in linkage disequilibrium (LD) with the said polymorphism can also serve as a surrogate marker indicating responsiveness to the same drug or therapy as does the single nucleotide polymorphism (SNP) that it is in LD with. Therefore, any SNP in LD with the SNPs disclosed in this specification, can be used and is intended to be included in the methods of this invention.

[67] To determine if clozapine is more effective in reducing suicidality than a comparator anti-psychotic, a prospective, randomized, parallel-group study has been conducted to evaluate the risk for suicidality during treatment with clozapine compared to treatment with



olanzapine (ZYPREXIA™) in schizophrenic and schizoaffective patients who are known to be at high risk for suicide.

[68] To discover a potential association between genetic variation and suicidality or drug response, a pharmacogenetic study in a Phase IV clinical trial was conducted. The study looked at whether the polymorphisms in genes coding for the drug targets, associated enzymes or transporters, as well as genes involved in brain function or thought to be associated with schizophrenia were associated with any of the clinical parameters of efficacy studied in the course of the clinical trial. Occurrence of Type 1 Event and time to the occurrence of Type 1 Event were specifically studied.

[69] Polymorphisms in genes related to the drug targets or thought to be associated with schizophrenia were examined in an effort to identify genetic factors that may associate with treatment response or clinical trial outcome. As described above, a highly significant association ( $p=0.0001$ ) between a polymorphism on Exon 9 of the Dopamine Transporter 1 gene (SLC6A3 or DAT1) and Type 1 Events was observed.

[70] The primary objective of the this Phase IV trial was to compare the risk for suicide among schizophrenic patients treated with clozapine (CLOZARIL®/LEPONEX®) vs. olanzapine (ZYPREXIA™), as measured by either:

- 1) Time from baseline until first significant suicide attempt or hospitalization due to the imminent risk of suicide and including increased level of surveillance; or
- 2) Change from baseline in the Clinical Global Impression of Severity of Suicidality.

[71] The secondary objective was suicide-related:

- 1) To demonstrate decreased intensity of suicidal ideation in clozapine treated patients compared to vs. ZYPREXIA™-treated patients; and
- 2) To demonstrate a decrease in the number of rescue interventions required to prevent suicides in clozapine-treated patients compared to vs. ZYPREXIA™.

[72] Four Hundred and Two (402) individuals from this clinical trial consented to the pharmacogenetic study in accordance with protocols approved by local ethics committees. Fifteen (15) mL of blood were collected from the patients at the trial sites. The DNA was extracted by Covance (Indianapolis, USA) using the PUREGENE™ DNA Isolation Kit (D50K) according to the manufacturer's recommendations. See [http://www.gentra.com/purification\\_chemistries/puregene\\_protocols.asp?pid=1](http://www.gentra.com/purification_chemistries/puregene_protocols.asp?pid=1).

[73] *Genotyping.* Single nucleotide polymorphisms (SNPs) were identified by two distinct methods. Third Wave Technologies, Inc. (Madison, WI, USA) developed one collection of SNPs while the other set was developed from Public Databases. Public databases, such as PubMed, OMIM, the SNP Consortium, Locus Link, dbSNP and the Japanese SNP database were utilized. Information on SNPs developed. Candidate genes were genes related to the drug targets or thought to be related to the aetiology of the disease.

[74] Probe sets for genotyping were designed and synthesized by Third Wave Technologies, Inc. Genotyping was performed in house on 60 ng of genomic DNA using the INVADER® assay (Third Wave Technologies, Inc) according to the manufacturer's recommendations. See Lyamichev *et al.*, *Nat. Biotechnol.*, 17(3): 292-296 (1999); and Ryan *et al.*, *Mol. Diagn.*, 4(2): 135-144 (1999).

[75] *Statistical Analysis. Deviation from Hardy-Weinberg Equilibrium (HWE).* Data from a total of 400 patients were used in this study. The data was evaluated for potential deviation from HWE using an exact test. The Hardy-Weinberg law states that allele frequencies do not change from generation to generation in a large population with random mating. Deviation from HWE would suggest one of two possibilities:

- 1) a genotyping error; or
- 2) or an association between the polymorphism and the population being studied.

[76] In the second case, a particular polymorphism may be observed more frequently than would be expected if it is somehow involved in the disease aetiology.

[77] *Correlation between genotypes and clinical phenotypes.* For each SNP analyzed, a Log Rank test with the genotype classes as the explanatory variables was used to determine if there was a significant difference in the clinical outcome among the different genotype classes. Only SNPs with a minor allele frequency  $\geq 5\%$  were used in the analysis. For a given SNP, if a homozygous genotype was found with a frequency  $\leq 10\%$  in the studied population, the rare homozygous individuals were pooled with the heterozygous individuals for the analysis.

[78] In the presence of a significant result, Cox Proportional Hazards model was used to estimate the hazard ratio of genotype classes. A Bonferroni Correction was used for adjusting for multiple testing. Statistical analysis was carried out using the statistical program SAS Version 8.2 (SAS, Cary, NC). LD analysis was carried out using the GOLD™ package. See

Abecasis & Cookson, *Bioinformatics*, 16(2): 182-183 (2000). A Fisher's exact test was used for the case control study.

[79] *Representative nature of the genotyped population.* To determine how representative the genotyped population was of the entire clinical trial population the demographics and occurrence of Type 1 Events between the genotyped and non-genotyped populations were compared.

[80] *Association study between genetic variation and Type 1 Event.* The distribution of individuals across the treatment group is given in TABLE 1. The actual number of samples used for each genotype may be fewer, due to restricted participation in pharmacogenetic studies or due to the absence of genotype results.

TABLE 1  
Distribution of Number of Patients in Treatment Group Among the Genotyped and the Overall Study Groups

<u>Drug / Dose</u>	<u>Number of Individuals in the Study</u>	<u>Number of Individuals Genotyped</u>
Clozaril	490	197
Zyprexa	490	203

[81] Forty-three (43) polymorphisms divided among 22 candidate genes were initially genotyped. Among these, 23 polymorphisms showed a rare allele frequency  $\geq 5\%$  in the study population and were used for analysis. For each polymorphism studied, a survival analysis was conducted. A Log Rank test with the genotype classes as the explanatory variables was used to examine differences between time to Type 1 Event among the different genotype classes. As described above, a significant association between time to Type 1 Event and a synonymous polymorphism (Exon 9 A59G) in Exon 9 of the dopamine transporter SLC6A3 gene (also known as DAT1) was found ( $p=0.0001$ ). After Bonferroni Correction for multiple testing, the adjusted p-value was 0.0041. The coding sequence variant identified in Exon 9 corresponds to an A→G substitution. In that study, individuals with an GA and GG genotype had a higher incidence of Type 1 Event compared to individuals with the AA genotype. Individuals with the GG genotype in particular seemed more liable to experience a Type 1 Event. TABLE 2 lists the number of individuals experiencing a Type 1 Event for the different genotype groups.

TABLE 2  
Comparison of Type 1 Event Frequencies Among Different Genotype Groups

<u>Event</u>	<u>AA</u>	<u>GA</u>	<u>GG</u>
No Type 1 Event	175	95	29
Type 1 Event	31	35	20

[82] To quantify a difference between the three genotype groups, a Cox Proportional Hazard test was performed with Exon 9 A59G polymorphism and treatment as explanatory variables, the latter treated as a stratification variable (see TABLE 3). No significant treatment-genotype interaction was observed ( $p=0.6044$ ).

TABLE 3  
Summary of Results of Survival Analysis of Effect of Exon 9 A59G Polymorphism on Type 1 Event

<u>SLC6A3 Exon 9 G → A Polymorphism</u>	<u>Hazard Ratio</u>	<u>95% Confidence Interval</u>
AG vs. AA	1.84	1.132 - 2.989
GG vs. AA	3.167	1.804 - 5.562

[83] *Conditions treatable by the methods of this invention.* Examples of pathologic psychological (psychiatric) conditions in which the risk of suicidal behaviour or self-destructive behaviour may be assessed by using the methods or compounds of this invention include, but are not limited to, see *Diagnostic and Statistical Manual of Mental Disorders*, 4<sup>th</sup> Ed. (American Psychiatric Association (APA), Washington, DC, 1994) (*DSM-IV™*), for specific definitions of these disorders with full clinical descriptions and diagnostic criteria.

*Schizophrenic disorders*

- Schizophrenia, Catatonic, Subchronic, (295.21)
- Schizophrenia, Catatonic, Subchronic with Acute Exacerbation (295.23)
- Schizophrenia, Catatonic, in Remission (295.55)
- Schizophrenia, Disorganized, Subchronic (295.11)
- Schizophrenia, Disorganized, Subchronic with Acute Exacerbation (295.13)
- Schizophrenia, Disorganized, in Remission (295.15)
- Schizophrenia, Paranoid, Subchronic (295.31)
- Schizophrenia, Paranoid, Subchronic with Acute Exacerbation (295.33)
- Schizophrenia, Paranoid, in Remission (295.35)
- Schizophrenia, Undifferentiated, Subchronic (295.91)
- Schizophrenia, Undifferentiated, Subchronic with Acute Exacerbation (295.93)
- Schizophrenia, Undifferentiated, in Remission (295.95)
- Schizophrenia, Residual, Subchronic (295.61)
- Schizophrenia, Residual, Subchronic with Acute Exacerbation (295.63)
- Schizophrenia, Residual, in Remission (295.65)
- Delusional (Paranoid) Disorder (297.10)
- Schizophreniform Disorder (295.40)
- Induced Psychotic Disorder (297.30)
- Schizophrenia, Catatonic, Chronic (295.22)
- Schizophrenia, Catatonic, Chronic with Acute Exacerbation (295.24)
- Schizophrenia, Catatonic, Unspecified (295.20)
- Schizophrenia, Disorganized, Chronic (295.12)
- Schizophrenia, Disorganized, Chronic with Acute Exacerbation (295.14)
- Schizophrenia, Disorganized, Unspecified (295.10)
- Schizophrenia, Paranoid, Chronic (295.32)
- Schizophrenia, Paranoid, Chronic with Acute Exacerbation (295.34)
- Schizophrenia, Paranoid, Unspecified (295.30)
- Schizophrenia, Undifferentiated, Chronic (295.92)
- Schizophrenia, Undifferentiated, Chronic with Acute Exacerbation (295.94)
- Schizophrenia, Undifferentiated, Unspecified (295.90)
- Schizophrenia, Residual, Chronic (295.62)
- Schizophrenia, Residual, Chronic with Acute Exacerbation (295.94)
- Schizophrenia, Residual, Unspecified (295.60)
- Brief Reactive Psychosis (298.80)
- Schizoaffective Disorder (295.70)
- Psychotic Disorder NOS (Atypical Psychosis) (298.90)

*Affective disorders*

- Major Depressive Disorder, Severe with Psychotic Features (296.33)
- Depressive Disorder NOS (311)
- Bipolar I Disorder, Most Recent Episode Hypomanic (296.43)
- Bipolar I Disorder, Most Recent Episode Mixed, Severe with Psychotic Features (296.63)
- Bipolar I Disorder, Most Recent Episode Unspecified (296.89)
- Cyclothymic Disorder (301.13)
- Mood Disorder Due to General Medical Condition (293.83)
- Conduct Disorder, Solitary Aggressive Type (312.00)
- Tourette's Disorder (307.23)
- Transient Tic Disorder (307.21)
- Dysthymic Disorder (300.4)
- Bipolar I Disorder, Single Manic Episode, Severe with Psychotic Features (296.23)
- Bipolar I Disorder, Most Recent Episode Manic, Severe with Psychotic Features (296.43)
- Bipolar I Disorder Most Recent Episode Depressed, Severe with Psychotic Features (296.53)
- Bipolar II Disorder (296.89)
- Bipolar Disorder NOS (366)
- Mood Disorder NOS (296.90)
- Conduct Disorder, Undifferentiated Type (312.90)
- Chronic Motor or Vocal Tic Disorder (307.22)
- Tic Disorder NOS (307.20)

*Psychoactive substance use disorders*

- Alcohol Withdrawal Delirium (291.00)
- Alcohol Dementia Associated with Alcoholism (291.20)
- Amphetamine or Similarly Acting Sympathomimetic Delirium (292.81)
- Cannabis Delusional Disorder (292.11)
- Cocaine Delirium (292.81)
- Hallucinogen Hallucinoses (305.30)
- Hallucinogen Mood Disorder (292.84)
- Phencyclidine (PCP) or Similarly Acting Arylcyclohexylamine Intoxication (305.90)
- Alcohol Hallucinoses (291.30)
- Amphetamine or Similarly Acting Sympathomimetic Intoxication (305.70)
- Amphetamine or Similarly Acting Sympathomimetic Delusional Disorder (292.11)
- Cocaine Intoxication (305.60)
- Cocaine Delusional Disorder (292.11)
- Hallucinogen Delusional Disorder (292.11)
- Hallucinogen Post-Hallucinogen Perception Disorder (292.89)
- Phencyclidine (PCP) or Similarly Acting Arylcyclohexylamine Delirium (292.81)

*Psychoactive substance use disorders (cont.)*

- Phencyclidine (PCP) or Similarly Acting Arylcyclohexylamine Delusional Disorder (292.11)
- Phencyclidine (PCP) or Similarly Acting Arylcyclohexylamine Organic Mental Disorder NOS (292.90)
- Other or Unspecified Psychoactive Substance Delirium (292.81)
- Other or Unspecified Psychoactive Substance Delusional Disorder (292.11)
- Other or Unspecified Psychoactive Substance Mood Disorder (292.84)
- Other or Unspecified Psychoactive Substance Personality Disorder (292.89)
- Organic disorders
- Dementia (294.10)
- Organic Hallucinoses (293.82)
- Organic Anxiety Disorder (294.80)
- Organic Mental Disorder (294.80)
- Post-Traumatic Stress Disorder (309.89)
- Anxiety Disorder NOS (300.00)
- Hypochondriasis or Hypochondriacal Neurosis (300.70)
- Undifferentiated Somatoform Disorder (300.70)
- Intermittent Explosive Disorder (312.34)
- Pathological Gambling (312.31)
- Trichotillomania (312.39)
- Phencyclidine (PCP) or Similarly Acting Arylcyclohexylamine Mood Disorder (292.84)
- Other or Unspecified Psychoactive Substance Intoxication (305.90)
- Other or Unspecified Psychoactive Substance Dementia (292.82)
- Other or Unspecified Psychoactive Substance Hallucinoses (292.12)
- Other or Unspecified Psychoactive Substance Anxiety Disorder (292.89)
- Other or Unspecified Psychoactive Substance Organic Mental Disorder NOS (292.90)
- Delirium (293.00)
- Organic Delusional Disorder (293.81)
- Organic Mood Disorder (293.83)
- Organic Personality Disorder (310.10)
- Obsessive Compulsive Disorder (300.30)
- Generalized Anxiety Disorder (300.02)
- Body Dysmorphic Disorder (300.70)
- Somatization Disorder (300.81)
- Somatoform Disorder NOS (300.70)
- Kleptomania (312.32)
- Pyromania (312.33)
- Impulse Control Disorder NOS (312.39)

*Personality disorders*

- Paranoid (301.00)
- Schizotypal (301.22)
- Borderline (301.83)
- Schizoid (301.20)
- Antisocial (301.70)

[84] The term "psychosis" in this specification is meant to include all forms of psychoses, such as organic psychoses, drug-induced psychoses, Alzheimer related psychoses and psychosis or related conditions associated with other mental disorders, such as paranoid personality disorder, *etc.*

[85] The terms "schizophrenia" and "schizophreniform" diseases include all types of such disorders, *e.g.*, catatonic, disorganized, paranoid, undifferential and residual schizophrenia, and all conditions associated with such diseases, including positive and negative symptoms thereof.

[86] *Identification and Characterization of SNPs.* Many different techniques can be used to identify and characterize SNPs, including single-strand conformation polymorphism analysis, heteroduplex analysis by denaturing high-performance liquid chromatography (DHPLC), direct DNA sequencing and computational methods. See Shi, *Clin. Chem.*, 47: 164-172 (2001). Thanks to the wealth of sequence information in public databases, computational tools can be used to identify SNPs *in silico* by aligning independently submitted sequences for a given gene (either cDNA or genomic sequences). Comparison of SNPs obtained experimentally and by *in silico* methods showed that 55% of candidate SNPs found by SNPfinder ([http://lpgws.nci.nih.gov:82/perl/snp/snp\\_cgi.pl](http://lpgws.nci.nih.gov:82/perl/snp/snp_cgi.pl)) have also been discovered experimentally. See Cox, Boillot & Canzian, *Hum. Mutal.*, 17(2,): 141-150 (2001). However, these *in silico* methods could only find 27% of true SNPs.

[87] The most common SNP typing methods currently include hybridization, primer extension and cleavage methods. Each of these methods must be connected to an appropriate detection system. Detection technologies include fluorescent polarization, see Chen, Levine and Kwok, *Genome Res.*, 9(5):492-499 (1999), luminometric detection of pyrophosphate release (pyrosequencing) (see Ahmadiian *et al.*, *Anal. Biochem.*, 280(1) 103-110 (2000)), fluorescence resonance energy transfer (FRET)-based cleavage assays, DHPLC and mass spectrometry (see Shi (2001), *supra*; and U.S. Pat. No. 6,300,076 B1). Other methods of



detecting and characterizing SNPs are those disclosed in U.S. Pat. Nos. 6,297,018 B1 and 6,300,063 B1. The disclosures of the above references are incorporated herein by reference in their entirety.

[88] In a particularly preferred embodiment, the detection of the polymorphism can be accomplished by means of so called INVADER™ technology (available from Third Wave Technologies Inc. Madison, WI). In this assay, a specific upstream "invader" oligonucleotide and a partially overlapping downstream probe together form a specific structure when bound to complementary DNA template. This structure is recognized and cut at a specific site by the Cleavase enzyme, and this results in the release of the 5' flap of the probe oligonucleotide. This fragment then serves as the "invader" oligonucleotide with respect to synthetic secondary targets and secondary fluorescently-labelled signal probes contained in the reaction mixture. This results in specific cleavage of the secondary signal probes by the Cleavase enzyme. Fluorescence signal is generated when this secondary probe, labelled with dye molecules capable of fluorescence resonance energy transfer, is cleaved. Cleavases have stringent requirements relative to the structure formed by the overlapping DNA sequences or flaps and can, therefore, be used to specifically detect single base pair mismatches immediately upstream of the cleavage site on the downstream DNA strand. See Ryan *et al.* (1999), *supra*; and Lyamichev *et al.* (1999), *supra*, see also U.S. Pat. Nos. 5,846,717 and 6,001,567, the disclosures of which are incorporated herein by reference in their entirety.

[89] In some embodiments, a composition contains two or more differently labelled genotyping oligonucleotides for simultaneously probing the identity of nucleotides at two or more polymorphic sites. It is also contemplated that primer compositions may contain two or more sets of allele-specific primer pairs to allow simultaneous targeting and amplification of two or more regions containing a polymorphic site.

[90] SLC6A3 genotyping oligonucleotides of the invention may also be immobilized on or synthesized on a solid surface, such as a microchip, bead or glass slide. See, *e.g.*, WO 98/20020 and WO 98/20019. Such immobilized genotyping oligonucleotides may be used in a variety of polymorphism detection assays including, but not limited to, probe hybridization and polymerase extension assays. Immobilized SLC6A3 genotyping oligonucleotides of the invention may comprise an ordered array of oligonucleotides designed to rapidly screen a DNA sample for polymorphisms in multiple genes at the same time.

[91] An allele-specific oligonucleotide (ASO) primer of the invention has a 3' terminal nucleotide, or preferably a 3' penultimate nucleotide, that is complementary to only one nucleotide of a particular SNP, thereby acting as a primer for polymerase-mediated extension only if the allele containing that nucleotide is present. ASO primers hybridizing to either the coding or non-coding strand are contemplated by the invention. An ASO primer for detecting SLC6A3 gene polymorphisms could be developed using techniques known to those of skill in the art.

[92] Other genotyping oligonucleotides of the invention hybridize to a target region located one to several nucleotides downstream of one of the novel polymorphic sites identified herein. Such oligonucleotides are useful in polymerase-mediated primer extension methods for detecting one of the novel polymorphisms described herein and therefore such genotyping oligonucleotides are referred to herein as "primer-extension oligonucleotides". In a preferred embodiment, the 3'-terminus of a primer-extension oligonucleotide is a deoxynucleotide complementary to the nucleotide located immediately adjacent to the polymorphic site.

[93] In another embodiment, the invention provides a kit comprising at least two genotyping oligonucleotides packaged in separate containers. The kit may also contain other components, such as hybridization buffer (where the oligonucleotides are to be used as a probe) packaged in a separate container. Alternatively, where the oligonucleotides are to be used to amplify a target region, the kit may contain, packaged in separate containers, a polymerase and a reaction buffer optimized for primer extension mediated by the polymerase, such as polymerase chain reaction (PCR).

[94] The above described oligonucleotide compositions and kits are useful in methods for genotyping and/or haplotyping the SLC6A3 gene in an individual. As used herein, the terms "SLC6A3 genotype" and "SLC6A3 haplotype" mean the genotype or haplotype containing the nucleotide pair or nucleotide, respectively, that is present at one or more of the novel polymorphic sites described herein and may optionally also include the nucleotide pair or nucleotide present at one or more additional polymorphic sites in the SLC6A3 gene. The additional polymorphic sites may be currently known polymorphic sites or sites that are subsequently discovered.

[95] One embodiment of the genotyping method involves isolating from the individual a nucleic acid mixture comprising the two copies of the SLC6A3 gene, or a fragment thereof,

that are present in the individual, and determining the identity of the nucleotide pair at one or more of the polymorphic sites in the two copies to assign a SLC6A3 genotype to the individual. As will be readily understood by the skilled artisan, the two "copies" of a gene in an individual may be the same allele or may be different alleles. In a particularly preferred embodiment, the genotyping method comprises determining the identity of the nucleotide pair at each polymorphic site.

[96] Typically, the nucleic acid mixture or protein is isolated from a biological sample taken from the individual, such as a blood sample or tissue sample. Suitable tissue samples include whole blood, semen, saliva, tears, urine, faecal material, sweat, buccal smears, skin and biopsies of specific organ tissues, such as muscle or nerve tissue and hair. The nucleic acid mixture may be comprised of genomic DNA, mRNA or cDNA and, in the latter two cases, the biological sample must be obtained from an organ in which the SLC6A3 gene is expressed. Furthermore it will be understood by the skilled artisan that mRNA or cDNA preparations would not be used to detect polymorphisms located in introns or in 5' and 3' non-transcribed regions. If a SLC6A3 gene fragment is isolated, it must contain the polymorphic site(s) to be genotyped.

[97] One embodiment of the haplotyping method comprises isolating from the individual a nucleic acid molecule containing only one of the two copies of the SLC6A3 gene, or a fragment thereof, that is present in the individual and determining in that copy the identity of the nucleotide at one or more of the polymorphic sites in that copy to assign a SLC6A3 haplotype to the individual. The nucleic acid may be isolated using any method capable of separating the two copies of the SLC6A3 gene or fragment including, but not limited to, one of the methods described above for preparing SLC6A3 isogenes, with targeted *in vivo* cloning being the preferred approach.

[98] As will be readily appreciated by those skilled in the art, any individual clone will only provide haplotype information on one of the two SLC6A3 gene copies present in an individual. If haplotype information is desired for the individual's other copy, additional SLC6A3 clones will need to be examined. Typically, at least five clones should be examined to have more than a 90% probability of haplotyping both copies of the SLC6A3 gene in an individual. In a particularly preferred embodiment, the nucleotide at each of polymorphic site is identified.

[99] In a preferred embodiment, a SLC6A3 haplotype pair is determined for an individual by identifying the phased sequence of nucleotides at one or more of the polymorphic sites in each copy of the SLC6A3 gene that is present in the individual. In a particularly preferred embodiment, the haplotyping method comprises identifying the phased sequence of nucleotides at each polymorphic site in each copy of the SLC6A3 gene. When haplotyping both copies of the gene, the identifying step is preferably performed with each copy of the gene being placed in separate containers. However, it is also envisioned that if the two copies are labelled with different tags, or are otherwise separately distinguishable or identifiable, it could be possible in some cases to perform the method in the same container. For example, if first and second copies of the gene are labelled with different first and second fluorescent dyes, respectively, and an ASO labelled with yet a third different fluorescent dye is used to assay the polymorphic site(s), then detecting a combination of the first and third dyes would identify the polymorphism in the first gene copy while detecting a combination of the second and third dyes would identify the polymorphism in the second gene copy.

[100] In both, the genotyping and haplotyping methods, the identity of a nucleotide (or nucleotide pair) at a polymorphic site(s) may be determined by amplifying a target region(s) containing the polymorphic site(s) directly from one or both copies of the SLC6A3 gene, or fragment thereof, and the sequence of the amplified region(s) determined by conventional methods. It will be readily appreciated by the skilled artisan that only one nucleotide will be detected at a polymorphic site in individuals who are homozygous at that site, while two different nucleotides will be detected if the individual is heterozygous for that site. The polymorphism may be identified directly, known as positive-type identification, or by inference, referred to as negative-type identification. For example, where a SNP is known to be guanine and cytosine in a reference population, a site may be positively determined to be either guanine or cytosine for all individual homozygous at that site, or both guanine and cytosine, if the individual is heterozygous at that site. Alternatively, the site may be negatively determined to be not guanine (and thus cytosine/cytosine) or not cytosine (and thus guanine/guanine).

[101] In addition, the identity of the allele(s) present at any of the novel polymorphic sites described herein may be indirectly determined by genotyping a polymorphic site not disclosed herein that is in LD with the polymorphic site that is of interest. Two sites are said to be in LD

if the presence of a particular variant at one site enhances the predictability of another variant at the second site. See Stevens, *Mol. Diag.*, 4: 309-317 (1999). Polymorphic sites in linkage disequilibrium with the presently disclosed polymorphic sites may be located in regions of the gene or in other genomic regions not examined herein. Genotyping of a polymorphic site in LD with the novel polymorphic sites described herein may be performed by, but is not limited to, any of the above-mentioned methods for detecting the identity of the allele at a polymorphic site.

[102] The target region(s) may be amplified using any oligonucleotide-directed amplification method including, but not limited to, PCR (see U.S. Pat. No. 4,965,188), ligase chain reaction (LCR) (see Barany *et al.*, *Proc. Natl. Acad. Sci. USA*, 88(1): 189-193 (1991); and WO 90/01069) and oligonucleotide ligation assay (OLA) (see Landegren *et al.*, *Science*, 241: 1077-1080 (1988)). Oligonucleotides useful as primers or probes in such methods should specifically hybridize to a region of the nucleic acid that contains or is adjacent to the polymorphic site. Typically, the oligonucleotides are between 10-35 nucleotides in length and preferably, between 15-30 nucleotides in length. Most preferably, the oligonucleotides are 20-25 nucleotides long. The exact length of the oligonucleotide will depend on many factors that are routinely considered and practiced by the skilled artisan.

[103] Other known nucleic acid amplification procedures may be used to amplify the target region including transcription-based amplification systems (see U.S. Pat. No. 5,130,238; EP 329,822; U.S. Pat. No. 5,169,766 and PCT patent application WO 89/06700) and isothermal methods. See Walker *et al.*, *Proc. Natl. Acad. Sci. USA*, 89(1): 392-396 (1992).

[104] A polymorphism in the target region may also be assayed before or after amplification using one of several hybridization-based methods known in the art. Typically, ASOs are utilized in performing such methods. The ASOs may be used as differently labelled probe pairs, with one member of the pair showing a perfect match to one variant of a target sequence and the other member showing a perfect match to a different variant. In some embodiments, more than one polymorphic site may be detected at once using a set of ASOs or oligonucleotide pairs. Preferably, the members of the set have melting temperatures within 5°C and more preferably within 2°C, of each other when hybridizing to each of the polymorphic sites being detected.

[105] Hybridization of an ASO to a target polynucleotide may be performed with both entities in solution or such hybridization may be performed when either the oligonucleotide or the target polynucleotide is covalently or non-covalently affixed to a solid support.

Attachment may be mediated, *e.g.*, by antibody-antigen interactions, poly-L-Lys, streptavidin or avidin-biotin, salt bridges, hydrophobic interactions, chemical linkages, UV cross-linking baking, *etc.* ASOs may be synthesized directly on the solid support or attached to the solid support subsequent to synthesis. Solid-supports suitable for use in detection methods of the invention include substrates made of silicon, glass, plastic, paper and the like, which may be formed, *e.g.*, into wells (as in 96-well plates), slides, sheets, membranes, fibres, chips, dishes and beads. The solid support may be treated, coated or derivatized to facilitate the immobilization of the ASO or target nucleic acid.

[106] The genotype or haplotype for the SLC6A3 gene of an individual may also be determined by hybridization of a nucleic sample containing one or both copies of the gene to nucleic acid arrays and subarrays, such as described in WO 95/11995. The arrays would contain a battery of ASOs representing each of the polymorphic sites to be included in the genotype or haplotype.

[107] The identity of polymorphisms may also be determined using a mismatch detection technique including, but not limited to, the RNase protection method using riboprobes (see Winter *et al.*, *Proc. Natl. Acad. Sci. USA*, 82: 7575 (1985); and Meyers *et al.*, *Science*, 230: 1242 (1985)) and proteins which recognize nucleotide mismatches, such as the *E. coli* mutS protein. See Modrich, *Ann. Rev. Genet.*, 25: 229-253 (1991). Alternatively, variant alleles can be identified by single strand conformation polymorphism (SSCP) analysis (see Orita *et al.*, *Genomics*, 5: 874-879 (1989); Humphries *et al.*, *Molecular Diagnosis of Genetic Diseases*, Elles, Ed., pp. 321-340 (1996)) or denaturing gradient gel electrophoresis (DGGE). See Wartell, Hosseini & Moran Jr., *Nucl. Acids Res.*, 18(9): 2699-2706 (1990); and Sheffield *et al.*, *Proc. Natl. Acad. Sci. USA*, 86: 232-236 (1989).

[108] A polymerase-mediated primer extension method may also be used to identify the polymorphism(s). Several such methods have been described in the patent and scientific literature and include the "Genetic Bit Analysis" method (see WO 92/15712) and the ligase-/polymerase-mediated genetic bit analysis (see U.S. Pat. No. 5,679,524). Related methods are disclosed in WO 91/02087, WO 90/09455, WO 95/17676, U.S. Pat.

Nos. 5,302,509 and 5,945,283. Extended primers containing a polymorphism may be detected by mass spectrometry as described in U.S. Pat. No. 5,605,798. Another primer extension method is allele-specific PCR. See Ruano & Kidd, *Nucl. Acids Res.*, 17: 8392 (1989); Ruano *et al.*, *Nucl. Acids Res.*, 19(24): 6877-6882 (1991); PCT patent application WO 93/22456; and Turki *et al.*, *J. Clin. Invest.*, 95: 1635-1641 (1995). In addition, multiple polymorphic sites may be investigated by simultaneously amplifying multiple regions of the nucleic acid using sets of allele-specific primers as described in Wallace *et al.*, PCT patent application WO 89/10414.

[109] In a preferred embodiment, the haplotype frequency data for each ethnogeographic group is examined to determine whether it is consistent with HWE. HWE (see Hartl *et al.*, *Principles of Population Genomics*, 3<sup>rd</sup> Edition (Sinauer Associates, Sunderland, MA, 1997)) postulates that the frequency of finding the haplotype pair  $H_1/H_2$  is equal to  $P_{H-W}(H_1/H_2) = 2p(H_1)p(H_2)$  if  $H_1 \neq H_2$  and  $P_{H-W}(H_1/H_2) = p(H_1)p(H_2)$  if  $H_1 = H_2$ . A statistically significant difference between the observed and expected haplotype frequencies could be due to one or more factors including significant inbreeding in the population group, strong selective pressure on the gene, sampling bias and/or errors in the genotyping process. If large deviations from HWE are observed in an ethnogeographic group, the number of individuals in that group can be increased to see if the deviation is due to a sampling bias. If a larger sample size does not reduce the difference between observed and expected haplotype pair frequencies, then one may wish to consider haplotyping the individual using a direct haplotyping method, such as, *e.g.*, CLASPER System™ technology (see U.S. Pat. No. 5,866,404), or allele-specific long-range PCR. See Michalotos-Beloin *et al.*, *Nucl. Acids Res.* 24(23): 4841-4843 (1996).

[110] In one embodiment of this method for predicting a SLC6A3 haplotype pair, the assigning step involves performing the following analysis. First, each of the possible haplotype pairs is compared to the haplotype pairs in the reference population. Generally, only one of the haplotype pairs in the reference population matches a possible haplotype pair and that pair is assigned to the individual. Occasionally, only one haplotype represented in the reference haplotype pairs is consistent with a possible haplotype pair for an individual, and in such cases the individual is assigned a haplotype pair containing this known haplotype and a new haplotype derived by subtracting the known haplotype from the possible haplotype pair.

In rare cases, either no haplotype in the reference population are consistent with the possible haplotype pairs, or alternatively, multiple reference haplotype pairs are consistent with the possible haplotype pairs. In such cases, the individual is preferably haplotyped using a direct molecular haplotyping method, such as, *e.g.*, CLASPER System™ technology (see U.S. Pat. No. 5,866,404), SMD or allele-specific long-range PCR. See Michalotos-Beloin *et al.* (1996), *supra*.

[111] The invention also provides a method for determining the frequency of a SLC6A3 genotype or SLC6A3 haplotype in a population. The method comprises determining the genotype or the haplotype pair for the SLC6A3 gene that is present in each member of the population, wherein the genotype or haplotype comprises the nucleotide pair or nucleotide detected at one or more of the polymorphic sites in the SLC6A3 gene including, but not limited to, the FS63 TER polymorphism; and calculating the frequency any particular genotype or haplotype is found in the population. The population may be a reference population, a family population, a same sex population, a population group, a trait population, *e.g.*, a group of individuals exhibiting a trait of interest, such as a medical condition or response to a therapeutic treatment.

[112] In another aspect of the invention, frequency data for SLC6A3 genotypes and/or haplotypes found in a reference population are used in a method for identifying an association between a trait and a SLC6A3 genotype or a SLC6A3 haplotype. The trait may be any detectable phenotype including, but not limited to, susceptibility to a disease or response to a treatment. The method involves obtaining data on the frequency of the genotype(s) or haplotype(s) of interest in a reference population, as well as in a population exhibiting the trait. Frequency data for one or both of the reference and trait populations may be obtained by genotyping or haplotyping each individual in the populations using one of the methods described above. The haplotypes for the trait population may be determined directly or, alternatively, by the predictive genotype to haplotype approach described above.

[113] In another embodiment, the frequency data for the reference and/or trait populations is obtained by accessing previously determined frequency data, which may be in written or electronic form. For example, the frequency data may be present in a database that is accessible by a computer. Once the frequency data is obtained the frequencies of the genotype(s) or haplotype(s) of interest in the reference and trait populations are compared. In



a preferred embodiment, the frequencies of all genotypes and/or haplotypes observed in the populations are compared. If a particular genotype or haplotype for the SLC6A3 gene is more frequent in the trait population than in the reference population at a statistically significant amount, then the trait is predicted to be associated with that SLC6A3 genotype or haplotype.

[114] In a preferred embodiment, statistical analysis is performed by the use of standard analysis of variation (ANOVA) tests with a Bonferoni Correction and/or a bootstrapping method that simulates the genotype phenotype correlation many times and calculates a significance value. When many polymorphisms are being analyzed a correction to factor may be performed to correct for a significant association that might be found by chance. For statistical methods for use in the methods of this invention. See *Statistical Methods in Biology, Third Edition*, Bailey, ed., Cambridge Univ. Press (1997); *Introduction to Computational Biology*, Waterman, ed., CRC Press (2000); and *Bioinformatics*, Baxeavanis and Ouellette, eds., John Wiley & Sons, Inc. (2001).

[115] In a preferred embodiment of the method, the trait of interest is a clinical response exhibited by a patient to some therapeutic treatment, e.g., response to a drug targeting SLC6A3 or response to a therapeutic treatment for a medical condition.

[116] As used herein, the term "linkage disequilibrium" (LD) means a situation in which some combinations of genetic markers occur more or less frequently together in a population than would be expected based on their distance apart in the genome or chance alone. This can result from reduced recombination in this region of the genome or from a founder effect, in which there has been insufficient time to reach equilibrium since one of the markers was introduced into the population.

[117] When the markers occur more frequently together than they should, this may also imply that the markers are close together on the genome and therefore tend to be inherited co-ordinately. In either case the presence of one marker makes it more likely that the other marker is also present in the particular patient. In this situation, the presence of one of these markers in a patient's genome can be used as a surrogate marker for the other. If one markers can be detected more easily than the other it may be desirable to test for the more easily detected one rather than the specific one of interest. Markers in linkage disequilibrium may or may not have any functional relationship to each other. The tendency of markers to be inherited together may be measured by percent recombination between loci.

[118] As used herein the term "surrogate marker" means a genetic marker such as a SNP or a specific genotype or haplotype that tends to occur with the SLC6A3 genetic marker of interest more often than expected by chance. Therefore the detection of this surrogate marker can be used, in the methods of this invention, as an indication that that the marker of interest is more likely to also be present than would be expected by chance. If this association is significant enough, then the detection of the surrogate marker can be used to indicate the presence of the marker of interest. Any of the methods of this invention may make use of surrogate markers that have been shown to occur in association with the SLC6A3 genotype or haplotype of interest.

[119] Therefore, in one embodiment of this invention, a detectable genotype or haplotype that is in LD with the SLC6A3 genotype or haplotype of interest may be used as a surrogate marker. A genotype that is in LD with a SLC6A3 genotype may be discovered by determining if a particular genotype or haplotype for the SLC6A3 gene is more frequent in the population that also demonstrates the potential surrogate marker genotype than in the reference population at a statistically significant rate or amount. In such a case this marker genotype is predicted to be associated with that SLC6A3 genotype or haplotype and then can be used as a surrogate marker in place of the SLC6A3 genotype. In various embodiments of this invention a surrogate marker may be used in this way if the likelihood of this marker occurring with the marker of interest is more than 50 %, preferably more than 60%, more preferably more than 70%, even more preferably more than 80%, or in an even preferred embodiment more than 90%, or in a more preferred embodiment more than 95%.

[120] As used herein, "medical condition" includes, but is not limited to, any condition or disease manifested as one or more physical and/or psychological symptoms for which treatment is desirable, and includes previously and newly-identified diseases and other disorders.

[121] As used herein the term "polymorphism" shall mean any sequence variant present at a frequency of >1% in a population. The sequence variant may be present at a frequency significantly greater than 1% such as 5% or 10 % or more. Also, the term may be used to refer to the sequence variation observed in an individual at a polymorphic site. Polymorphisms include nucleotide substitutions, insertions, deletions and microsatellites and may, but need not, result in detectable differences in gene expression or protein function.

[122] As used herein, the term "clinical response" means any or all of the following: a quantitative measure of the response, no response and adverse response, *i.e.*, side effects.

[123] As used herein the term "allele" shall mean a particular form of a gene or DNA sequence at a specific chromosomal location (locus).

[124] As used herein, the term "genotype" shall mean an unphased 5' to 3' sequence of nucleotide pair(s) found at one or more polymorphic sites in a locus on a pair of homologous chromosomes in an individual. As used herein, genotype includes a full-genotype and/or a sub-genotype.

[125] As used herein, the term "polynucleotide" shall mean any RNA or DNA, which may be unmodified or modified RNA or DNA. Polynucleotides include, without limitation, single- and double-stranded DNA, DNA that is a mixture of single- and double-stranded regions, single- and double-stranded RNA, and RNA that is mixture of single- and double-stranded regions, hybrid molecules comprising DNA and RNA that may be single-stranded or, more typically, double-stranded or a mixture of single- and double-stranded regions. In addition, polynucleotide refers to triple-stranded regions comprising RNA or DNA or both RNA and DNA. The term polynucleotide also includes DNAs or RNAs containing one or more modified bases and DNAs or RNAs with backbones modified for stability or for other reasons.

[126] As used herein the term "single nucleotide polymorphism (SNP)" shall mean the occurrence of nucleotide variability at a single nucleotide position in the genome, within a population. An SNP may occur within a gene or within intergenic regions of the genome.

[127] As used herein the term "gene" shall mean a segment of DNA that contains all the information for the regulated biosynthesis of an RNA product, including promoters, exons, introns, and other untranslated regions that control expression.

[128] As used herein the term "polypeptide" shall mean any polypeptide comprising two or more amino acids joined to each other by peptide bonds or modified peptide bonds, *i.e.*, peptide isosteres. Polypeptide refers to both short chains, commonly referred to as peptides, glycopeptides or oligomers, and to longer chains, generally referred to as proteins. Polypeptides may contain amino acids other than the 20 gene-encoded amino acids. Polypeptides include amino acid sequences modified either by natural processes, such as post-translational processing, or by chemical modification techniques that are well known in

the art. Such modifications are well described in basic texts and in more detailed monographs, as well as in a voluminous research literature.

[129] As used herein, the term "polymorphic site" shall mean a position within a locus at which at least two alternative sequences are found in a population, the most frequent of which has a frequency of no more than 99%.

[130] As used herein, the term "nucleotide pair" shall mean the nucleotides found at a polymorphic site on the two copies of a chromosome from an individual.

[131] As used herein, the term "phased" means, when applied to a sequence of nucleotide pairs for two or more polymorphic sites in a locus, the combination of nucleotides present at those polymorphic sites on a single copy of the locus is known.

[132] In order to deduce a correlation between clinical response to a treatment and a SLC6A3 genotype or haplotype, it is necessary to obtain data on the clinical responses exhibited by a population of individuals who received the treatment, hereinafter the "clinical population". This clinical data may be obtained by analyzing the results of a clinical trial that has already been run and/or the clinical data may be obtained by designing and carrying out one or more new clinical trials.

[133] As used herein, the term "clinical trial" means any research study designed to collect clinical data on responses to a particular treatment, and includes, but is not limited to, Phase I, II and III clinical trials. Standard methods are used to define the patient population and to enrol subjects.

[134] As used herein the term "locus" shall mean a location on a chromosome or DNA molecule corresponding to a gene or a physical or phenotypic feature.

[135] It is preferred that the individuals included in the clinical population have been graded for the existence of the medical condition of interest. This is important in cases where the symptom(s) being presented by the patients can be caused by more than one underlying condition, and where treatments of the underlying conditions are not the same. An example of this would be where patients experience breathing difficulties that are due to either asthma or respiratory infections. If both sets were treated with an asthma medication, there would be a spurious group of apparent non-responders that did not actually have asthma. These people would affect the ability to detect any correlation between haplotype and treatment outcome. This grading of potential patients could employ a standard physical exam or one or more lab

tests. Alternatively, grading of patients could use haplotyping for situations where there is a strong correlation between haplotype pair and disease susceptibility or severity.

[136] The therapeutic treatment of interest is administered to each individual in the trial population and each individual's response to the treatment is measured using one or more predetermined criteria. It is contemplated that in many cases, the trial population will exhibit a range of responses and that the investigator will choose the number of responder groups, *e.g.*, low, medium and high, made up by the various responses. In addition, the SLC6A3 gene for each individual in the trial population is genotyped and/or haplotyped, which may be done before or after administering the treatment.

[137] After both the clinical and polymorphism data have been obtained, correlations between individual response and SLC6A3 genotype or haplotype content are created. Correlations may be produced in several ways. In one method, individuals are grouped by their SLC6A3 genotype or haplotype (or haplotype pair) (also referred to as a polymorphism group), and then the averages and standard deviations of clinical responses exhibited by the members of each polymorphism group are calculated.

[138] These results are then analyzed to determine if any observed variation in clinical response between polymorphism groups is statistically significant. Statistical analysis methods which may be used are described in Fisher & vanBelle, *Biostatistics: A Methodology for the Health Sciences* (Wiley-Interscience, NY, 1993). This analysis may also include a regression calculation of which polymorphic sites in the SLC6A3 gene give the most significant contribution to the differences in phenotype.

[139] A second method for finding correlations between SLC6A3 haplotype content and clinical responses uses predictive models based on error-minimizing optimization algorithms. One of many possible optimization algorithms is a genetic algorithm. See Judson, "Genetic Algorithms and Their Uses in Chemistry", *Reviews in Computational Chemistry*, Lipkowitz & Boyd, Eds., Vol. 10, pp. 1-73 (VCH Publishers, NY, 1997). Simulated annealing (see Press *et al.*, *Numerical Recipes in C: The Art of Scientific Computing*, Ch. 10 (Cambridge University Press, Cambridge, 1992), neural networks (see Rich and Knight, *Artificial Intelligence*, Second Edition., Ch. 18 (McGraw-Hill, New York, 1991)), standard gradient descent methods (See Press *et al.* (1992), *supra*) or other global or local optimization approaches (see discussion in Judson (1997), *supra*) could also be used. Preferably, the correlation is found

using a genetic algorithm approach as described in PCT Application entitled "Methods for Obtaining and Using Haplotype Data", filed June 26, 2000.

[140] Correlations may also be analyzed using ANOVA techniques to determine how much of the variation in the clinical data is explained by different subsets of the polymorphic sites in the SLC6A3 gene. As described in PCT Application entitled "Methods for Obtaining and Using Haplotype Data", filed June 26, 2000, ANOVA is used to test hypotheses about whether a response variable is caused by or correlated with one or more traits or variables that can be measured. See Fisher & vanBelle (1993), *supra*.

[141] From the analyses described above, a mathematical model may be readily constructed by the skilled artisan that predicts clinical response as a function of SLC6A3 genotype or haplotype content. Preferably, the model is validated in one or more follow-up clinical trials designed to test the model.

[142] The identification of an association between a clinical response and a genotype or haplotype (or haplotype pair) for the SLC6A3 gene may be the basis for designing a diagnostic method to determine those individuals who will or will not respond to the treatment, or alternatively, will respond at a lower level and thus may require more treatment, *i.e.*, a greater dose of a drug. The diagnostic method may take one of several forms, *e.g.*, a direct DNA test, *i.e.*, genotyping or haplotyping one or more of the polymorphic sites in the SLC6A3 gene; a serological test; or a physical exam measurement. The only requirement is that there be a good correlation between the diagnostic test results and the underlying SLC6A3 genotype or haplotype that is in turn correlated with the clinical response. In a preferred embodiment, this diagnostic method uses the predictive haplotyping method described above.

[143] A computer may implement any or all analytical and mathematical operations involved in practicing the methods of the present invention. In addition, the computer may execute a program that generates views (or screens) displayed on a display device and with which the user can interact to view and analyze large amounts of information relating to the SLC6A3 gene and its genomic variation, including chromosome location, gene structure and gene family, gene expression data, polymorphism data, genetic sequence data and clinical data population data, *e.g.*, data on ethnogeographic origin, clinical responses, genotypes and haplotypes for one or more populations. The SLC6A3 polymorphism data described herein

may be stored as part of a relational database, *e.g.*, an instance of an Oracle database or a set of ASCII flat files. These polymorphism data may be stored on the computer's hard drive or may, for example, be stored on a CD-ROM or on one or more other storage devices accessible by the computer. For example, the data may be stored on one or more databases in communication with the computer via a network.

[144] In other embodiments, the invention provides methods, compositions and kits for haplotyping and/or genotyping the SLC6A3 gene in an individual. The compositions contain oligonucleotide probes and primers designed to specifically hybridize to one or more target regions containing, or that are adjacent to, a polymorphic site. The methods and compositions for establishing the genotype or haplotype of an individual at the novel polymorphic sites described herein are useful for studying the effect of the polymorphisms in the aetiology of diseases affected by the expression and function of the SLC6A3 protein or lack thereof, studying the efficacy of drugs targeting SLC6A3, predicting individual susceptibility to diseases affected by the expression and function of the SLC6A3 protein and predicting individual responsiveness to drugs targeting SLC6A3.

[145] In yet another embodiment, the invention provides a method for identifying an association between a genotype or haplotype and a trait. In preferred embodiments, the trait is susceptibility to a disease, severity of a disease, the staging of a disease or response to a drug. Such methods have applicability in developing diagnostic tests and therapeutic treatments for all pharmacogenetic applications where there is the potential for an association between a genotype and a treatment outcome including efficacy measurements, pharmacokinetic measurements and side effect measurements.

[146] The present invention also provides a computer system for storing and displaying polymorphism data determined for the SLC6A3 gene. The computer system comprises a computer processing unit; a display; and a database containing the polymorphism data. The polymorphism data includes the polymorphisms, the genotypes and the haplotypes identified for the SLC6A3 gene in a reference population. In a preferred embodiment, the computer system is capable of producing a display showing SLC6A3 haplotypes organized according to their evolutionary relationships.

[147] In describing the polymorphic sites identified herein reference is made to the sense strand of the gene for convenience. However, as recognized by the skilled artisan, nucleic acid

molecules containing the SLC6A3 gene may be complementary double stranded molecules and thus, reference to a particular site on the sense strand refers, as well to the corresponding site on the complementary antisense strand. Thus, reference may be made to the same polymorphic site on either strand and an oligonucleotide may be designed to hybridize specifically to either strand at a target region containing the polymorphic site. Thus, the invention also includes single-stranded polynucleotides that are complementary to the sense strand of the SLC6A3 genomic variants described herein.

[148] Effect(s) of the polymorphisms identified herein on expression of SLC6A3 may be investigated by preparing recombinant cells and/or organisms, preferably recombinant animals, containing a polymorphic variant of the SLC6A3 gene. As used herein, "expression" includes, but is not limited to, one or more of the following: transcription of the gene into precursor mRNA; splicing and other processing of the precursor mRNA to produce mature mRNA; mRNA stability; translation of the mature mRNA into SLC6A3 protein, including codon usage and tRNA availability; and glycosylation and/or other modifications of the translation product, if required for proper expression and function.

[149] To prepare a recombinant cell of the invention, the desired SLC6A3 isogene may be introduced into the cell in a vector such that the isogene remains extrachromosomal. In such a situation, the gene will be expressed by the cell from the extrachromosomal location. In a preferred embodiment, the SLC6A3 isogene is introduced into a cell in such a way that it recombines with the endogenous SLC6A3 gene present in the cell. Such recombination requires the occurrence of a double recombination event, thereby resulting in the desired SLC6A3 gene polymorphism. Vectors for the introduction of genes both for recombination and for extrachromosomal maintenance are known in the art, and any suitable vector or vector construct may be used in the invention. Methods, such as electroporation, particle bombardment, calcium phosphate co-precipitation and viral transduction for introducing DNA into cells are known in the art; therefore, the choice of method may lie with the competence and preference of the skilled practitioner.

[150] Examples of cells into which the SLC6A3 isogene may be introduced include, but are not limited to, continuous culture cells, such as COS, NIH/3T3, and primary or culture cells of the relevant tissue type, *i.e.*, they express the SLC6A3 isogene. Such recombinant cells can be used to compare the biological activities of the different protein variants.



[151] Recombinant organisms, *i.e.*, transgenic animals, expressing a variant gene are prepared using standard procedures known in the art. Preferably, a construct comprising the variant gene is introduced into a non-human animal or an ancestor of the animal at an embryonic stage, *i.e.*, the one-cell stage, or generally not later than about the eight-cell stage. Transgenic animals carrying the constructs of the invention can be made by several methods known to those having skill in the art. One method involves transfecting into the embryo a retrovirus constructed to contain one or more insulator elements, a gene or genes of interest, and other components known to those skilled in the art to provide a complete shuttle vector harbouring the insulated gene as a transgene. See, *e.g.*, U.S. Pat. No. 5,610,053. Another method involves directly injecting a transgene into the embryo. A third method involves the use of embryonic stem cells.

[152] Examples of animals, into which the SLC6A3 isogenes may be introduced include, but are not limited to, mice, rats, other rodents and non-human primates. See "The Introduction of Foreign Genes into Mice" and the cited references therein, In: *Recombinant DNA*, Watson, Gilman, Witkowski & Zoller, eds. (W.H. Freeman & Company, NY) pp. 254-272. Transgenic animals stably expressing a human SLC6A3 isogene and producing human SLC6A3 protein can be used as biological models for studying diseases related to abnormal SLC6A3 expression and/or activity, and for screening and assaying various candidate drugs, compounds and treatment regimens to reduce the symptoms or effects of these diseases.

[153] *TAQMAN™ Based mRNA Levels Analysis*. The RT-PCR (real-time quantitative PCR) assay utilizes an RNA reverse transcriptase to catalyze the synthesis of a DNA strand from an RNA strand, including an mRNA strand. The resultant DNA may be specifically detected and quantified and this process may be used to determine the levels of specific species of mRNA. One method for doing this is known under the Trademark TAQMAN (PE Applied Biosystems, Foster City, CA) and exploits the 5' nuclease activity of AMPLI TAQ GOLD™ DNA polymerase to cleave a specific form of probe during a PCR reaction. This is referred to as a TAQMAN™ probe. See Luthra *et al.*, "Novel 5' Exonuclease-Based Real-Time PCR Assay For the Detection of t(14;18)(q32;q21) in Patients With Follicular Lymphoma", *Am. J. Pathol.*, 153: 63-68 (1998). The probe consists of an oligonucleotide (usually  $\approx 20$  mer) with a 5'-reporter dye and a 3'-quencher dye. The fluorescent reporter dye, such as FAM (6-carboxyfluorescein), is covalently linked to the 5' end of the oligonucleotide. The reporter

is quenched by TAMRA (6-carboxy-N,N,N',N'-tetramethylrhodamine) attached via a linker arm that is located at the 3' end. See Kuimelis *et al.*, "Structural Analogues of TaqMan Probes for Real-Time Quantitative PCR", *Nucl. Acids Symp. Ser.*, 37: 255-256 (1997); and Mullah *et al.*, "Efficient Synthesis of Double Dye-Labelled Oligodeoxyribonucleotide Probes and Their Application in a Real Time PCR Assay", *Nucl. Acids Res.*, 26(4): 1026-1031 (1998). During the reaction, cleavage of the probe separates the reporter dye and the quencher dye, resulting in increased fluorescence of the reporter.

[154] The accumulation of PCR products is detected directly by monitoring the increase in fluorescence of the reporter dye. See Heid *et al.*, "Real Time Quantitative PCR", *Genome Res.*, 6(6): 986-994 (1996). Reactions are characterized by the point in time during cycling when amplification of a PCR product is first detected rather than the amount of PCR product accumulated after a fixed number of cycles. The higher the starting copy number of nucleic acid target, the sooner a significant increase in fluorescence is observed. See Gibson, Heid & Williams *et al.*, "A Novel Method For Real Time Quantitative RT-PCR", *Genome Res.*, 6: 995-1001 (1996).

[155] When the probe is intact, the proximity of the reporter dye to the quencher dye results in suppression of the reporter fluorescence primarily by Förster-type energy transfer. See Lakowicz *et al.*, "Oxygen Quenching and Fluorescence Depolarization of Tyrosine Residues in Proteins", *J. Biol. Chem.*, 258: 4794-4801 (1983). During PCR, if the target of interest is present, the probe specifically anneals between the forward and reverse primer sites. The 5'-3' nucleolytic activity of the AMPLITAQ GOLD™ DNA polymerase cleaves the probe between the reporter and the quencher only if the probe hybridizes to the target. The probe fragments are then displaced from the target, and polymerization of the strand continues. This process occurs in every cycle and does not interfere with the exponential accumulation of product. The 3' end of the probe is blocked to prevent extension of the probe during PCR.

[156] The passive reference is a dye included in the TAQMAN™ buffer and does not participate in the 5' nuclease assay. The passive reference provides an internal reference to which the reporter dye signal can be normalized during data analysis. Normalization is necessary to correct for fluorescent fluctuations due to changes in concentration or volume.

[157] Normalization is accomplished by dividing the emission intensity of the reporter dye by the emission intensity of the passive reference to obtain a ratio defined as the  $R_n$  (normalized reporter) for a given reaction tube.

[158] The threshold cycle or  $C_t$  value is the cycle at which a statistically significant increase in  $\Delta R_n$  is first detected. On a graph of  $R_n$  vs. cycle number, the threshold cycle occurs when the sequence detection application begins to detect the increase in signal associated with an exponential growth of PCR product.

[159] To perform quantitative measurements serial dilutions of a cRNA (standard) are included in each experiment in order to construct a standard curve necessary for the accurate and fast mRNA quantization. In order to estimate the reproducibility of the technique the amplification of the same cRNA sample may be performed multiple times.

[160] Other technologies for measuring the transcriptional state of a cell produce pools of restriction fragments of limited complexity for electrophoretic analysis, such as methods combining double restriction enzyme digestion with phasing primers (see, *e.g.*, EP 0 534 858 A1, filed September 24, 1992, by Zabeau *et al.*), or methods selecting restriction fragments with sites closest to a defined mRNA end. See, *e.g.*, Prashar & Weissman, "Analysis of Differential Gene Expression by Display of 3' End Restriction Fragments of cDNAs", *Proc. Natl. Acad. Sci. USA*, 93(2): 659-663 (1996).

[161] Other methods statistically sample cDNA pools, such as by sequencing sufficient bases, *e.g.*, 20-50 bases, in each of multiple cDNAs to identify each cDNA, or by sequencing short tags, *e.g.*, 9-10 bases, which are generated at known positions relative to a defined mRNA end pathway pattern. See, *e.g.*, Velculescu, *Science*, 270: 484-487 (1995).

[162] *Measurement of Other Aspects.* In various embodiments of the present invention, aspects of the biological state other than the transcriptional state, such as the translational state, the activity state or mixed aspects can be measured in order to obtain drug and pathway responses. Details of these embodiments are described in this section.

[163] *Translational state measurements* Expression of the protein encoded by the gene(s) can be detected by a probe which is detectably-labelled, or which can be subsequently-labelled. Generally, the probe is an antibody that recognizes the expressed protein.

[164] As used herein, the term "antibody" includes, but is not limited to, polyclonal antibodies, monoclonal antibodies, humanized or chimeric antibodies and biologically functional antibody fragments sufficient for binding of the antibody fragment to the protein.

[165] For the production of antibodies to a protein encoded by one of the disclosed genes, various host animals may be immunized by injection with the polypeptide, or a portion thereof. Such host animals may include, but are not limited to, rabbits, mice and rats, to name but a few. Various adjuvants may be used to increase the immunological response, depending on the host species including, but not limited to, Freund's (complete and incomplete), mineral gels, such as aluminium hydroxide; surface active substances, such as lysolecithin, pluronic polyols, polyanions, peptides, oil emulsions, keyhole limpet hemocyanin and dinitrophenol; and potentially useful human adjuvants, such as bacille Camette-Guerin (BCG) and *Corynebacterium parvum*.

[166] Polyclonal antibodies are heterogeneous populations of antibody molecules derived from the sera of animals immunized with an antigen, such as target gene product, or an antigenic functional derivative thereof. For the production of polyclonal antibodies, host animals, such as those described above, may be immunized by injection with the encoded protein, or a portion thereof, supplemented with adjuvants as also described above.

[167] Monoclonal antibodies (mAbs), which are homogeneous populations of antibodies to a particular antigen, may be obtained by any technique that provides for the production of antibody molecules by continuous cell lines in culture. These include, but are not limited to, the hybridoma technique of Kohler & Milstein, *Nature*, 256: 495-497 (1975); and U.S. Pat. No. 4,376,110. The human B-cell hybridoma technique of Kosbor *et al.*, *Immunol. Today*, 4: 72 (1983); Cole *et al.*, *Proc. Natl. Acad. Sci. USA*, 80: 2026-2030 (1983); and the EBV-hybridoma technique, Cole *et al.*, *Monoclonal Antibodies and Cancer Therapy* (Alan R. Liss, Inc., 1985) pp. 77-96. Such antibodies may be of any immunoglobulin class including IgG, IgM, IgE, IgA, IgD and any subclass thereof. The hybridoma producing the mAb of this invention may be cultivated *in vitro* or *in vivo*. Production of high titres of mAbs *in vivo* makes this the presently preferred method of production.

[168] In addition, techniques developed for the production of "chimeric antibodies" (see Morrison *et al.*, *Proc. Natl. Acad. Sci. USA*, 81: 6851-6855 (1984); Neuberger *et al.*, *Nature*, 312: 604-608 (1984); and Takeda *et al.*, *Nature*, 314: 452-454 (1985)), by splicing the genes

from a mouse antibody molecule of appropriate antigen specificity together with genes from a human antibody molecule of appropriate biological activity can be used. A chimeric antibody is a molecule in which different portions are derived from different animal species, such as those having a variable or hypervariable region derived from a murine mAb and a human immunoglobulin constant region.

[169] Alternatively, techniques described for the production of single chain antibodies, U.S. Pat. No. 4,946,778; Bird, *Science*, 242: 423-426 (1988); Huston *et al.*, *Proc. Natl. Acad. Sci. USA*, 85: 5879-5883 (1988); and Ward *et al.*, *Nature*, 334: 544-546 (1989), can be adapted to produce differentially expressed gene single-chain antibodies. Single-chain antibodies are formed by linking the heavy- and light-chain fragments of the Fv region via an amino acid bridge, resulting in a single-chain polypeptide.

[170] More preferably, techniques useful for the production of "humanized antibodies" can be adapted to produce antibodies to the proteins, fragments or derivatives thereof. Such techniques are disclosed in U.S. Pat. Nos. 5,932,448; 5,693,762; 5,693,761; 5,585,089; 5,530,101; 5,569,825; 5,625,126; 5,633,425; 5,789,650; 5,661,016; and 5,770,429.

[171] Antibody fragments, which recognize specific epitopes, may be generated by known techniques. For example, such fragments include, but are not limited to, the F(ab')<sub>2</sub> fragments which can be produced by pepsin digestion of the antibody molecule and the Fab fragments which can be generated by reducing the disulfide bridges of the F(ab')<sub>2</sub> fragments.

Alternatively, Fab expression libraries may be constructed (see Huse *et al.*, *Science*, 246: 1275-1281 (1989)), to allow rapid and easy identification of monoclonal Fab fragments with the desired specificity.

[172] The extent to which the known proteins are expressed in the sample is then determined by immunoassay methods that utilize the antibodies described above. Such immunoassay methods include, but are not limited to, dot blotting, western blotting, competitive and non-competitive protein binding assays, enzyme-linked immunosorbent assays (ELISA), immunohistochemistry, fluorescence activated cell sorting (FACS), and others commonly used and widely-described in scientific and patent literature, and many employed commercially.

[173] Particularly preferred, for ease of detection, is the sandwich ELISA, of which a number of variations exist, all of which are intended to be encompassed by the present

invention. For example, in a typical forward assay, unlabeled antibody is immobilized on a solid substrate and the sample to be tested brought into contact with the bound molecule after a suitable period of incubation, for a period of time sufficient to allow formation of an antibody-antigen binary complex. At this point, a second antibody, labelled with a reporter molecule capable of inducing a detectable signal, is then added and incubated, allowing time sufficient for the formation of a ternary complex of antibody-antigen-labelled antibody. Any unreacted material is washed away, and the presence of the antigen is determined by observation of a signal, or may be quantitated by comparing with a control sample containing known amounts of antigen. Variations on the forward assay include the simultaneous assay, in which both sample and antibody are added simultaneously to the bound antibody, or a reverse assay in which the labelled antibody and sample to be tested are first combined, incubated and added to the unlabeled surface bound antibody. These techniques are well-known to those skilled in the art, and the possibility of minor variations will be readily apparent. As used herein, "sandwich assay" is intended to encompass all variations on the basic two-site technique. For the immunoassays of the present invention, the only limiting factor is that the labelled antibody must be an antibody that is specific for the protein expressed by the gene of interest.

[174] The most commonly used reporter molecules in this type of assay are either enzymes, fluorophore- or radionuclide-containing molecules. In the case of an enzyme immunoassay (EIA) an enzyme is conjugated to the second antibody, usually by means of glutaraldehyde or periodate. As will be readily recognized, however, a wide variety of different ligation techniques exist, which are well-known to the skilled artisan. Commonly used enzymes include horseradish peroxidase, glucose oxidase,  $\beta$ -galactosidase and alkaline phosphatase, among others. The substrates to be used with the specific enzymes are generally chosen for the production, upon hydrolysis by the corresponding enzyme, of a detectable color change. For example, *p*-nitrophenyl phosphate is suitable for use with alkaline phosphatase conjugates; for peroxidase conjugates, 1,2-phenylenediamine or toluidine are commonly used. It is also possible to employ fluorogenic substrates, which yield a fluorescent product rather than the chromogenic substrates noted above. A solution containing the appropriate substrate is then added to the tertiary complex. The substrate reacts with the enzyme linked to the second antibody, giving a qualitative visual signal, which may be further quantitated, usually

spectrophotometrically, to give an evaluation of the amount of protein which is present in the serum sample.

[175] Alternately, fluorescent compounds, such as fluorescein and rhodamine, may be chemically coupled to antibodies without altering their binding capacity. When activated by illumination with light of a particular wavelength, the fluorochrome-labelled antibody absorbs the light energy, inducing a state of excitability in the molecule, followed by emission of the light at a characteristic longer wavelength. The emission appears as a characteristic color visually detectable with a light microscope. Immunofluorescence and EIA techniques are both very well-established in the art and are particularly preferred for the present method.

However, other reporter molecules, such as radioisotopes, chemiluminescent or bioluminescent molecules may also be employed. It will be readily apparent to the skilled artisan how to vary the procedure to suit the required use.

[176] Measurement of the translational state may also be performed according to several additional methods. For example, whole genome monitoring of protein, *i.e.*, the "proteome", Goffeau *et al.*, *supra*, can be carried out by constructing a microarray in which binding sites comprise immobilized, preferably monoclonal, antibodies specific to a plurality of protein species encoded by the cell genome. Preferably, antibodies are present for a substantial fraction of the encoded proteins, or at least for those proteins relevant to testing or confirming a biological network model of interest. Methods for making monoclonal antibodies are well-known. See, *e.g.*, Harlow and Lane, *Antibodies: A Laboratory Manual* (Cold Spring Harbor, NY, 1988), which is incorporated in its entirety for all purposes). In a one preferred embodiment, monoclonal antibodies are raised against synthetic peptide fragments designed based on genomic sequence of the cell. With such an antibody array, proteins from the cell are contacted to the array, and their binding is assayed with assays known in the art.

[177] Alternatively, proteins can be separated by two-dimensional gel electrophoresis systems. Two-dimensional gel electrophoresis is well-known in the art and typically involves iso-electric focusing along a first dimension followed by SDS-PAGE electrophoresis along a second dimension. See, *e.g.*, Hames *et al.*, "*Gel Electrophoresis of Proteins: A Practical Approach*" (IRL Press, NY, 1990); Shevchenko *et al.*, *Proc. Natl. Acad. Sci. USA*, 93: 14440-14445 (1996); Sagliocco *et al.*, *Yeast*, 12: 1519-1533 (1996); and Lander, *Science*, 274: 536-539 (1996). The resulting electropherograms can be analyzed by numerous

techniques, including mass spectrometric techniques, western blotting and immunoblot analysis using polyclonal and monoclonal antibodies, and internal and *N*-terminal micro-sequencing. Using these techniques, it is possible to identify a substantial fraction of all the proteins produced under given physiological conditions, including in cells, *e.g.*, in yeast, exposed to a drug, or in cells modified by, *e.g.*, deletion or over-expression of a specific gene.

[178] *Embodiments Based on Other Aspects of the Biological State.* Although monitoring cellular constituents other than mRNA abundances currently presents certain technical difficulties not encountered in monitoring mRNAs, it will be apparent to those of skill in the art that the use of methods of this invention that the activities of proteins relevant to the characterization of cell function can be measured, embodiments of this invention can be based on such measurements. Activity measurements can be performed by any functional, biochemical or physical means appropriate to the particular activity being characterized. Where the activity involves a chemical transformation, the cellular protein can be contacted with the natural substrates, and the rate of transformation measured. Where the activity involves association in multimeric units, *e.g.*, association of an activated DNA binding complex with DNA, the amount of associated protein or secondary consequences of the association, such as amounts of mRNA transcribed, can be measured. Also, where only a functional activity is known, *e.g.*, as in cell cycle control, performance of the function can be observed. However known and measured, the changes in protein activities form the response data analyzed by the foregoing methods of this invention.

[179] In alternative and non-limiting embodiments, response data may be formed of mixed aspects of the biological state of a cell. Response data can be constructed from, *e.g.*, changes in certain mRNA abundances, changes in certain protein abundances and changes in certain protein activities.

[180] *The Detection of Nucleic Acids and Proteins as Markers.* In a particular embodiment, the level of mRNA corresponding to the marker can be determined both by *in situ* and by *in vitro* formats in a biological sample using methods known in the art. The term "biological sample" is intended to include tissues, cells, biological fluids and isolates thereof, isolated from a subject, as well as tissues, cells and fluids present within a subject. Many expression detection methods use isolated RNA. For *in vitro* methods, any RNA isolation technique that does not select against the isolation of mRNA can be utilized for the purification of RNA



from cells. See, *e.g.*, Ausubel *et al.*, Ed., *Curr. Prot. Mol. Biol.*, John Wiley & Sons, NY (1987-1999). Additionally, large numbers of tissue samples can readily be processed using techniques well-known to those of skill in the art, such as, *e.g.*, the single-step RNA isolation process of Chomczynski, U.S. Pat. No. 4,843,155 (1989).

[181] The isolated mRNA can be used in hybridization or amplification assays that include, but are not limited to, Southern or Northern analyses, PCR analyses and probe arrays. One preferred diagnostic method for the detection of mRNA levels involve contacting the isolated mRNA with a nucleic acid molecule (probe) that can hybridize to the mRNA encoded by the gene being detected. The nucleic acid probe can be, *e.g.*, a full-length cDNA, or a portion thereof, such as an oligonucleotide of at least 7, 15, 30, 50, 100, 250 or 500 nucleotides in length and sufficient to specifically hybridize under stringent conditions to a mRNA or genomic DNA encoding a marker of the present invention. Other suitable probes for use in the diagnostic assays of the invention are described herein. Hybridization of an mRNA with the probe indicates that the marker in question is being expressed.

[182] In one format, the mRNA is immobilized on a solid surface and contacted with a probe, for example, by running the isolated mRNA on an agarose gel and transferring the mRNA from the gel to a membrane, such as nitrocellulose. In an alternative format, the probe(s) are immobilized on a solid surface and the mRNA is contacted with the probe(s), for example, in an Affymetrix gene chip array. A skilled artisan can readily adapt known mRNA detection methods for use in detecting the level of mRNA encoded by the markers of the present invention.

[183] An alternative method for determining the level of mRNA corresponding to a marker of the present invention in a sample involves the process of nucleic acid amplification, *e.g.*, by RT-PCR (the experimental embodiment set forth in Mullis, U.S. Pat. No. 4,683,202 (1987); ligase chain reaction, Barany (1991), *supra*; self-sustained sequence replication, Guatelli *et al.*, *Proc. Natl. Acad. Sci. USA*, 87 : 1874-1878 (1990); transcriptional amplification system, Kwoh *et al.*, *Proc. Natl. Acad. Sci. USA*, 86: 1173-1177 (1989); Q-Beta Replicase, Lizardi *et al.*, *Biol. Technology*, 6: 1197 (1988); rolling circle replication, Lizardi *et al.*, U.S. Pat. No. 5,854,033 (1988); or any other nucleic acid amplification method, followed by the detection of the amplified molecules using techniques well-known to those of skill in the art. These detection schemes are especially useful for the detection of the nucleic

acid molecules if such molecules are present in very low numbers. As used herein, amplification primers are defined as being a pair of nucleic acid molecules that can anneal to 5' or 3' regions of a gene (plus and minus strands, respectively, or vice-versa) and contain a short region in between. In general, amplification primers are from about 10-30 nucleotides in length and flank a region from about 50-200 nucleotides in length. Under appropriate conditions and with appropriate reagents, such primers permit the amplification of a nucleic acid molecule comprising the nucleotide sequence flanked by the primers.

[184] For *in situ* methods, mRNA does not need to be isolated from the cells prior to detection. In such methods, a cell or tissue sample is prepared/processed using known histological methods. The sample is then immobilized on a support, typically a glass slide, and then contacted with a probe that can hybridize to mRNA that encodes the marker.

[185] As an alternative to making determinations based on the absolute expression level of the marker, determinations may be based on the normalized expression level of the marker. Expression levels are normalized by correcting the absolute expression level of a marker by comparing its expression to the expression of a gene that is not a marker, *e.g.*, a housekeeping gene that is constitutively expressed. Suitable genes for normalization include housekeeping genes, such as the actin gene or epithelial cell-specific genes. This normalization allows the comparison of the expression level in one sample, *e.g.*, a patient sample, to another sample or between samples from different sources.

[186] Alternatively, the expression level can be provided as a relative expression level. To determine a relative expression level of a marker, the level of expression of the marker is determined for 10 or more samples of normal versus disease biological samples, preferably 50 or more samples, prior to the determination of the expression level for the sample in question. The mean expression level of each of the genes assayed in the larger number of samples is determined and this is used as a baseline expression level for the marker. The expression level of the marker determined for the test sample (absolute level of expression) is then divided by the mean expression value obtained for that marker. This provides a relative expression level.

[187] Preferably, the samples used in the baseline determination will be from patients who do not have the polymorphism. The choice of the cell source is dependent on the use of the relative expression level. Using expression found in normal tissues as a mean expression score aids in validating whether the marker assayed is specific (versus normal cells). In

addition, as more data is accumulated, the mean expression value can be revised, providing improved relative expression values based on accumulated data.

[188] *Detection of Polypeptides*. In another embodiment of the present invention, a polypeptide corresponding to a marker is detected. A preferred agent for detecting a polypeptide of the invention is an antibody capable of binding to a polypeptide corresponding to a marker of the invention, preferably an antibody with a detectable label. Antibodies can be polyclonal, or more preferably, monoclonal. An intact antibody, or a fragment thereof, *e.g.*, Fab or F(ab')<sub>2</sub> can be used. The term "labelled", with regard to the probe or antibody, is intended to encompass direct-labelling of the probe or antibody by coupling, *i.e.*, physically linking, a detectable substance to the probe or antibody, as well as indirect-labelling of the probe or antibody by reactivity with another reagent that is directly-labelled. Examples of indirect labelling include detection of a primary antibody using a fluorescently-labelled secondary antibody and end-labelling of a DNA probe with biotin such that it can be detected with fluorescently-labelled streptavidin.

[189] Proteins from individuals can be isolated using techniques that are well-known to those of skill in the art. The protein isolation methods employed can, *e.g.*, be such as those described in Harlow and Lane (1988), *supra*.

[190] A variety of formats can be employed to determine whether a sample contains a protein that binds to a given antibody. Examples of such formats include, but are not limited to, EIA; radioimmunoassay (RIA), Western blot analysis and ELISA. A skilled artisan can readily adapt known protein/antibody detection methods for use in determining whether cells express a marker of the present invention and the relative concentration of that specific polypeptide expression product in blood or other body tissues.

[191] In one format, antibodies or antibody fragments, can be used in methods, such as Western blots or immunofluorescence techniques to detect the expressed proteins. In such uses, it is generally preferable to immobilize either the antibody or proteins on a solid support. Suitable solid phase supports or carriers include any support capable of binding an antigen or an antibody. Well-known supports or carriers include glass, polystyrene, polypropylene, polyethylene, dextran, nylon, amylases, natural and modified celluloses, polyacrylamides, gabbros and magnetite.

[192] One skilled in the art will know many other suitable carriers for binding antibody or antigen, and will be able to adapt such support for use with the present invention. For example, protein isolated from patient cells can be run on a polyacrylamide gel electrophoresis and immobilized onto a solid phase support, such as nitrocellulose. The support can then be washed with suitable buffers followed by treatment with the detectably-labelled antibody. The solid phase support can then be washed with the buffer a second time to remove unbound antibody. The amount of bound label on the solid support can then be detected by conventional means and this measurement translated into a level or concentration of protein in blood or another body tissue.

[193] The invention also encompasses kits for detecting the presence of a polypeptide or nucleic acid corresponding to a marker of the invention in a biological sample, *e.g.*, any body fluid including, but not limited to, serum, plasma, lymph, cystic fluid, urine, stool, csf, acitic fluid or blood and including biopsy samples of body tissue. For example, the kit can comprise a labelled compound or agent capable of detecting a polypeptide or an mRNA encoding a polypeptide corresponding to a marker of the invention in a biological sample and means for determining the amount of the polypeptide or mRNA in the sample, *e.g.*, an antibody which binds the polypeptide or an oligonucleotide probe which binds to DNA or mRNA encoding the polypeptide. Kits can also include instructions for interpreting the results obtained using the kit.

- [194] For antibody-based kits, the kit can comprise, *e.g.*,
- 1) a first antibody, *e.g.*, attached to a solid support, which binds to a polypeptide corresponding to a marker or the invention; and, optionally
  - 2) a second, different antibody which binds to either the polypeptide or the first antibody and is conjugated to a detectable label.
- [195] For oligonucleotide-based kits, the kit can comprise, *e.g.*,
- 1) an oligonucleotide, *e.g.*, a detectably-labelled oligonucleotide, which hybridizes to a nucleic acid sequence encoding a polypeptide corresponding to a marker of the invention; or
  - 2) a pair of primers useful for amplifying a nucleic acid molecule corresponding to a marker of the invention.
- [196] The kit can also comprise, *e.g.*, a buffering agent, a preservative or a protein-stabilizing agent. The kit can further comprise components necessary for detecting the detectable-label, *e.g.*, an enzyme or a substrate. The kit can also contain a control sample or a series of control samples, which can be assayed and compared to the test sample. Each component of the kit can be enclosed within an individual container and all of the various containers can be within a single package, along with instructions for interpreting the results of the assays performed using the kit.
- [197] *Introduction of Antibodies Into Cells.* Characterization of intracellular proteins and their concentrations can be done in a variety of ways. For example, antibodies can be introduced into cells in many ways, including, *e.g.*, microinjection of antibodies into a cell (see Morgan *et al.*, *Immunol. Today*, 9: 84-86 (1988)) or transforming hybridoma mRNA encoding a desired antibody into a cell. See Burke *et al.*, *Cell*, 36: 847-858 (1984). In a further technique, recombinant antibodies can be engineering and ectopically-expressed in a wide variety of non-lymphoid cell types to bind to target proteins, as well as to block target protein activities. See Biocca *et al.*, *Trends Cell Biol.*, 5: 248-252 (1995). Expression of the antibody is preferably under control of a controllable promoter, such as the Tet promoter, or a constitutively active promoter, for production of saturating perturbations. A first step is the selection of a particular monoclonal antibody with appropriate specificity to the target protein (see below). Then sequences encoding the variable regions of the selected antibody can be cloned into various engineered antibody formats, including, *e.g.*, whole antibody, Fab

fragments, Fv fragments, single chain Fv fragments ( $V_H$  and  $V_L$  regions united by a peptide linker) ("ScFv" fragments), diabodies (two associated ScFv fragments with different specificity), and so forth. See Hayden, Gilliland & Ledbetter, *Curr. Opin. Immunol.*, 9(2): 201-212 (1997). Intracellularly-expressed antibodies of the various formats can be targeted into cellular compartments, *e.g.*, the cytoplasm, the nucleus, the mitochondria, *etc.*, by expressing them as fusions with the various known intracellular leader sequences. See Bradbury *et al.*, *Antibody Engineering*, Borrebaeck, Ed. Vol. 2, pp. 295-361 (IRL Press, 1995). In particular, the ScFv format appears to be particularly suitable for cytoplasmic targeting.

[198] *The Variety of Useful Antibody Types*. Antibody types include, but are not limited to, polyclonal, monoclonal, chimeric, single-chain, Fab fragments and an Fab expression library. Various procedures known in the art may be used for the production of polyclonal antibodies to a target protein. For production of the antibody, various host animals can be immunized by injection with the target protein, such host animals include, but are not limited to, rabbit, mice, rats, *etc.* Various adjuvants can be used to increase the immunological response, depending on the host species, and include, but are not limited to, Freund's (complete and incomplete), mineral gels, such as aluminium hydroxide; surface active substances, such as lysolecithin, pluronic polyols, polyanions, peptides, oil emulsions and dinitrophenol; and potentially useful human adjuvants, such as BCG and *Corynebacterium parvum*.

[199] *Monoclonal Antibodies*. For preparation of monoclonal antibodies directed towards a target protein, any technique that provides for the production of antibody molecules by continuous cell lines in culture may be used. Such techniques include, but are not restricted to, the hybridoma technique originally developed by Kohler and Milstein (1975), *supra*; the trioma technique; the human B-cell hybridoma technique (see Kozbor *et al.*, *Immunol. Today*, 4: 72 (1983)); and the EBV hybridoma technique to produce human monoclonal antibodies. See Cole *et al.* (1985), *supra*. In an additional embodiment of the invention, monoclonal antibodies can be produced in germ-free animals utilizing recent technology (PCT patent application PCT/US90/02545). According to the invention, human antibodies may be used and can be obtained by using human hybridomas (see Cole *et al.* (1983), *supra*, or by transforming human B cells with EBV virus *in vitro*. See Cole *et al.* (1985), *supra*. In fact, according to the invention, techniques developed for the production of "chimeric antibodies"

(see Morrison *et al.* (1984), *supra*; Neuberger *et al.* (1984), *supra*; Takeda *et al.* (1985), *supra*, by splicing the genes from a mouse antibody molecule specific for the target protein together with genes from a human antibody molecule of appropriate biological activity can be used; such antibodies are within the scope of this invention.

[200] Additionally, where monoclonal antibodies are advantageous, they can be alternatively selected from large antibody libraries using the techniques of phage display. See Marks *et al.*, *J. Biol. Chem.*, 267(3): 16007-16010 (1992). Using this technique, libraries of up to 10-12 different antibodies have been expressed on the surface of fd filamentous phage, creating a "single pot" *in vitro* immune system of antibodies available for the selection of monoclonal antibodies. See Griffiths *et al.*, *EMBO J.*, 13 (14): 3245-3260 (1994). Selection of antibodies from such libraries can be done by techniques known in the art, including contacting the phage to immobilized target protein, selecting and cloning phage bound to the target and subcloning the sequences encoding the antibody variable regions into an appropriate vector expressing a desired antibody format.

[201] According to the invention, techniques described for the production of single-chain antibodies (see U.S. Pat. No. 4,946,778) can be adapted to produce single-chain antibodies specific to the target protein. An additional embodiment of the invention utilizes the techniques described for the construction of Fab expression libraries (see Huse *et al.* (1989), *supra*) to allow rapid and easy identification of monoclonal Fab fragments with the desired specificity for the target protein.

[202] Antibody fragments that contain the idiotypes of the target protein can be generated by techniques known in the art. For example, such fragments include, but are not limited to, the F(ab')<sub>2</sub> fragment which can be produced by pepsin digestion of the antibody molecule; the Fab' fragments that can be generated by reducing the disulfide bridges of the F(ab')<sub>2</sub> fragment, the Fab fragments that can be generated by treating the antibody molecule with papain and a reducing agent, and Fv fragments.

[203] In the production of antibodies, screening for the desired antibody can be accomplished by techniques known in the art, *e.g.*, ELISA. To select antibodies specific to a target protein, one may assay generated hybridomas or a phage display antibody library for an antibody that binds to the target protein.

[204] *Administration of Treatment.* The dosages of the drugs used in the treatment of the disorders disclosed in the present invention must, in the final analysis, be set by the physician in charge of the case, using knowledge of the drugs, the properties of the drugs in combination as determined in clinical trials and the characteristics of the patient, including diseases other than that for which the physician is treating the patient. General outlines of the dosages, and some preferred dosages, can and will be provided here, *e.g.*, Iloperidone from 1-50 mg once per day and most preferred from 12-16 mg once per day; Olanzapine from about 0.25-50 mg, once/day; preferred, from 1-30 mg once/day; and most preferably 1-25 mg once per day; Clozapine from about 12.5-900 mg daily; preferred, from about 150-450 mg daily; Risperidone from about 0.25-16 mg daily; preferred from about 2-8 mg daily; Sertindole from about 0.0001-1.0 mg/kg daily; Quetiapine from about 1.0-40 mg/kg given once daily or in divided doses; Ziprasidone from about 5-500 mg daily; preferred from about 50-100 mg daily; Haldol from 0.5-40 mg once or twice per day.

[205] All of the compounds concerned are orally available and are normally administered orally, and so oral administration of the adjunctive combination is preferred. They may be administered together, in a single dosage form, or may be administered separately. However, oral administration is not the only route or even the only preferred route. For example, transdermal administration may be very desirable for patients who are forgetful or petulant about taking oral medicine. One of the drugs may be administered by one route, such as oral, and the others may be administered by the transdermal, percutaneous, intravenous, intramuscular, intranasal or intrarectal route, in particular circumstances. The route of administration may be varied in any way, limited by the physical properties of the drugs and the convenience of the patient and the caregiver.

#### EXAMPLE 1

[206] *Association between a VNTR polymorphism in the 3'UTR region of the DAT1 gene and clozapine response.* The objective of this EXAMPLE was to evaluate potential association between a VNTR polymorphism in the 3'UTR region of the Dopamine Transporter 1 gene (SLC6A3; DAT1) and drug response in the patients with schizophrenia or schizoaffective disorders treated with clozapine.



[207] A retrospective pharmacogenetic analysis was conducted in an attempt to evaluate potential association between a variable number of tandem repeats (VNTR) polymorphism in the 3'UTR region of the DAT1 gene and drug response in the patients with schizophrenia or schizoaffective disorders treated with clozapine.

[208] A multicenter, randomized, two-year study comparing the risk for suicidal behaviour in patients treated with clozapine vs olanzapine had already been conducted in patients with schizophrenia or schizoaffective disorders (see above). A significant association between a synonymous polymorphism on exon 9 of the dopamine transporter gene (SLC6A3) and the time to Type 1 event was observed in the clozapine group. Subjects with GG genotype were found to be poor responders because they exhibited worst suicidal behaviour at the end point of study. The study results also showed that clozapine was more effective than olanzapine in preventing suicide attempts. See, published PCT patent application WO 2004/074513.

[209] *Genotyping.* Four hundred and two samples from the patients enrolled in the InterSePT study (see above) were collected and genotyped for the VNTR polymorphism. A total of 402 subjects enrolled in the InterSePT study consented to Pharmacogenetics study in accordance with protocols approved by local ethics committees. 15ml of blood were collected from the patients at the trial sites. The DNA was extracted by Covance (Indianapolis, USA) using the PUREGENE™ DNA Isolation Kit (D50K) according to the manufacturer's recommendations. VNTR genotyping was performed using PCR approach as described by Kidd (Kidd Laboratory, [http://info.med.yale.edu/genetics/kkidd/SLC6A3\\_3VNTR.html](http://info.med.yale.edu/genetics/kkidd/SLC6A3_3VNTR.html)). The sense and antisense PCR primers were 5'-GGT GTA GGG AAC GGC CTG AGA G-3' (SEQ ID NO:3) and 5'-CTT CCT GGA GGT CAC GGC TCA AGG-3' (SEQ ID NO:4), respectively. Approximately 100 - 200 ng of genomic DNA was needed for each assay. Thirty cycles of PCR were performed with the condition of 94°C (30"), 62°C (30") and 72°C (30"). PCR products were analyzed using 2% agarose gel.

[210] *Clinical assessments.* For the primary efficacy variable, time (in days, after randomization) to meeting any one of the following two criteria: (a) a significant suicide attempt; and (b) hospitalization due to imminent suicide risk. Type 1 Event is defined as combination of above two items. For secondary efficacy variables, the following were determined: (a) percentage of subjects with significant suicide attempts; (b) percentage of subjects with hospitalization due to imminent suicide risk; (c) change from baseline in the

total score of the Positive and Negative Syndrome Scale (PANSS); (d) change from baseline in the Positive subtotal of PANSS; and (e) change from baseline in the Negative subtotal of PANSS.

[211] *Statistic analysis.* The SAS Version 8.2 for Windows package was used for statistical analysis. The continuous and dichotomous variables in demographic differences between the genotype groups were compared using non-parametric ANOVA and Fisher's exact test, respectively. The differential effects of genotypes on the time to Type 1 event were evaluated using log rank test. Age, gender, substance abuse, and lifetime suicide attempts were adjusted in further analysis using the Cox proportional hazards model.

[212] A log rank test identified a significant association between the VNTR polymorphism and suicidal behaviour measured by the risk of Type 1 event during the study. Furthermore, this association only existed in the clozapine treatment group. The subjects with nine or fewer repeat alleles exhibited significantly higher rate of Type 1 event ( $P = 0.004$ ). The same subjects also exhibited significantly more lifetime suicide attempts ( $P = 0.01$ ). To adjust for potential confounding in the relationship between the VNTR polymorphism and the risk of Type 1 event, a Cox proportional hazards model was constructed. The multivariate model consisted of the VNTR polymorphism in addition to the covariates: age, gender, substance abuse, and lifetime suicide attempts. The association between the VNTR polymorphism and the risk of Type 1 event remained significant ( $P = 0.0085$ ). These results showed that subjects with nine or fewer repeat alleles in the VNTR polymorphism are poor responders to clozapine treatment with respect to suicidal behaviour. In addition, there were no significant differences between genotype groups in response to clozapine treatment measured by psychotic assessments including positive and negative syndrome scale (PANSS).

[213] *Association of the VNTR polymorphism in the DAT1 gene with clozapine response.* In the pharmacogenetic analysis of the present EXAMPLE, genetic effects on drug response in these two treatment groups were compared. As shown in TABLE 4, majority of the subjects were Caucasians. There were no significant differences between genotype groups in age and diagnosis. The subjects with 10 or more repeat alleles tended to have relative younger age although the difference was not statistically significant.

TABLE 4

Demographic characteristics of the subjects enrolled in the InterSePT study classified according to the VNTR polymorphism in the hDAT1 gene

<u>Variable</u>	<u>9≥/9≥</u>	<u>10≤/9≥</u>	<u>10≤/10≤</u>	<u>P value</u>
Number of subjects	35	145	199	
Gender, % female	51.43 (18)	47.59 (69)	36.68 (73)	0.0626 <sup>+</sup>
Race, % Caucasian	74.29	77.24	79.9	0.6719 <sup>+</sup>
		38.11	36.93	
Age	34.00 (8.58)	(10.62)	(10.98)	0.1741*
Diagnosis, %				
Schizophrenia	51.43	56.55	61.31	0.4582*

Values are means (SD).

<sup>+</sup>Fisher's exact test was used.

\*ANOVA was used.

9≥: less than or equal to 9 repeats; 10≤: more than or equal to 10 repeats.

[214] In the log rank test, a significant association between the VNTR polymorphism and the time to Type 1 event was observed in the clozapine treatment group (Caucasian subpopulation:  $P = 0.0165$ , whole population:  $P = 0.0252$ ), but not in the olanzapine treatment group (Caucasian subpopulation:  $P = 0.4058$ , whole population:  $P = 0.7495$ ) (FIG. 1 and FIG. 2). The subjects with 9 or fewer repeat alleles exhibited significantly higher rate of Type 1 event compared to the subjects with at least one copy of 10 or more repeat alleles, suggesting that the 9 or fewer repeat alleles might be correlated with poor clozapine response in a recessive manner. However, as shown in FIG. 3 and FIG. 4, no such an association can be detected in the olanzapine treatment group (Caucasian subpopulation:  $P = 0.4058$ , whole population:  $P = 0.7495$ ).

[215] The subjects with at least one copy of 10 or more repeat alleles behaved similarly with respect to the risk of Type 1 event. Thus, comparison of the subjects with 9 or fewer repeat alleles to the subjects with at least one copy of 10 or more repeat alleles was performed. An

improved significance of the association was observed (Caucasian subpopulation:  $P = 0.0042$ , whole population:  $P = 0.0082$ ) (FIG. 5 and FIG. 6). Similar analysis was also performed for the olanzapine treatment group. Again, as shown in FIG. 7 and FIG. 8, no association can be detected in the olanzapine treatment group (Caucasian subpopulation:  $P = 0.2486$ , whole population:  $P = 0.7959$ ).

[216] To adjust for potential confounding in the relationship between the VNTR polymorphism and the risk of Type 1 event, a Cox proportional hazards model was constructed. The multivariate model consisted of the VNTR polymorphism in addition to the covariates: age, gender, substance abuse, and lifetime suicide attempts. As shown in TABLE 5, the association between the VNTR polymorphism and the risk of Type 1 event remained significant in the clozapine treatment group (Caucasian subpopulation:  $P = 0.0085$ , whole population:  $P = 0.0396$ ). Similarly, no association can be detected in the olanzapine treatment group (Caucasian subpopulation:  $P = 0.2647$ , whole population:  $P = 0.6902$ ).

**TABLE 5**  
**Results of Cox proportional hazards model analysis for the association between the VNTR polymorphism and Type 1 event**

Group	Unadjusted Hazard Ratio		Adjusted Hazard Ratio*	
	(95% CI)	<i>P</i>	(95% CI)	<i>P</i>
Clozapine in Caucasians	0.307 (0.130 - 0.723)	0.0069	0.296 (0.120 - 0.733)	0.0085
Olanzapine in Caucasians	0.548 (0.194 - 1.547)	0.2557	0.542 (0.185 - 1.590)	0.2647
Clozapine in whole population	0.342 (0.148 - 0.788)	0.0118	0.396 (0.167 - 0.936)	0.0396
Olanzapine in whole population	0.886 (0.353 - 2.225)	0.796	0.824 (0.317 - 2.138)	0.6902

Values are means (SD).

\*Age, gender, substance abuse, and lifetime suicide attempts were adjusted.

[217] Percentage of subjects with Type 1 event in each genotype group at the end of study was also calculated. As shown in TABLE 6, 44% of the Caucasians with 9 or fewer repeat alleles showed Type 1 event. In contrast, only about 16% of the Caucasians with at least one copy of 10 or more repeat alleles showed Type 1 event. In the whole population, 39% of the subjects with 9 or fewer repeat alleles showed Type 1 event and about 16% of the subjects with at least one copy of 10 or more repeat alleles showed Type 1 event. These results were consistent with the association detected by log rank test and Cox proportional hazards model.

**TABLE 6**  
Type 1 event at the end of study classified according to the  
VNTR polymorphism in the hDAT1 gene

<u>Treatment group</u>	<u>Race group</u>	<u>End point Type 1 event</u>	<u>9≤/9≤</u>	<u>10≤/9≤</u>	<u>10≤/10≤</u>
Clozapine	Whole	Yes	7 (39%)	10 (14%)	18 (18%)
		No	11 (61%)	60 (86%)	83 (82%)
	Caucasian	Yes	7 (44%)	8 (15%)	14 (17%)
		No	9 (56%)	45 (85%)	67 (83%)
Olazapine	Whole	Yes	5 (29%)	21 (28%)	26 (27%)
		No	12 (71%)	54 (72%)	72 (73%)
	Caucasian	Yes	4 (40%)	14 (24%)	19 (24%)
		No	6 (60%)	45 (76%)	59 (76%)
Clozapine and Olazapine	Whole	Yes	12 (34%)	31 (21%)	44 (22%)
		No	23 (66%)	114 (79%)	155 (78%)
	Caucasian	Yes	11 (42%)	22 (20%)	33 (21%)
		No	15 (58%)	90 (80%)	126 (79%)

Values are numbers of subjects (%).

[218] In addition, there were no significant differences between genotype groups in response to clozapine treatment measured by psychotic assessments including positive and negative syndrome scale (PANSS).

[219] *Association of the VNTR polymorphism in the DAT1 gene with lifetime suicide attempts.* Potential impact of the VNTR polymorphism in the DAT1 gene on baseline disease severity was examined. As shown in TABLE 7, there was a significant difference between the

genotype groups in lifetime suicide attempts or suicide attempts in past 36 months. The subjects with nine or fewer repeat alleles in the VNTR polymorphism exhibited significantly higher suicide attempts compared to the subjects with at least one copy of 10 or more repeat alleles. The association with lifetime suicide attempts suggested a possible role of this polymorphism in modifying disease severity.

**TABLE 7**  
**Baseline characteristics classified according to the VNTR polymorphism**  
**in the hDAT1 gene**

	9≥/9≥	10≤/9≥	10≤/10≤	P value
<u>All races+</u>				
Number of subjects	35	145	199	
Age at onset	23.86 (7.03)	27.28 (9.20)	25.00 (9.10)	0.6467*
Delusion/hallucinations, %	37.14 (13)	44.14 (64)	39.20 (78)	0.5728 <sup>+</sup>
Suicide attempts in past 36 months	1.34 (1.63)	0.80 (1.96)	0.72 (1.46)	<b>0.0532*</b>
Lifetime suicide attempts	3.97 (3.53)	2.50 (3.35)	2.65 (3.18)	<b>0.0136*</b>
Severity of suicidality	2.29 (1.18)	2.23 (1.04)	2.15 (0.99)	0.7435*
Total score of calgary depression	8.63 (5.46)	9.94 (5.65)	10.00 (5.92)	0.1675*
Total score of covi anxiety	3.60 (2.29)	3.92 (2.70)	3.86 (2.55)	0.4546*
Total score of PANSS	79.06 (22.23)	83.50 (20.46)	81.22 (21.00)	0.3527*
Total score of PANSS positive subscale	18.03 (5.37)	17.81 (6.10)	17.69 (5.91)	0.8475*
Total score of PANSS negative subscale	20.66 (8.02)	22.83 (7.47)	21.93 (7.81)	0.2310*
Total score of ESRS	18.42 (24.39)	17.29 (18.17)	14.67 (15.11)	0.1798*
Total score of functioning scale	41.71 (8.13)	40.83 (8.19)	41.47 (7.78)	0.9513*
<u>Caucasians++</u>				
Number of subjects	26	112	159	
Age at onset	25.65 (6.86)	28.73 (9.23)	25.70 (9.43)	0.7659
Delusion/hallucinations, %	34.62 (9)	41.96 (47)	37.11 (59)	0.6471
Suicide attempts in past 36 months	1.50 (1.73)	0.63 (1.96)	0.64 (1.45)	<b>0.0123</b>
Lifetime suicide attempts	4.23 (4.00)	2.29 (3.29)	2.70 (3.38)	<b>0.0116</b>
Severity of suicidality	2.35 (1.16)	2.30 (1.06)	2.21 (0.97)	0.8096
Total score of calgary depression	9.46 (5.53)	10.58 (5.61)	10.57 (5.74)	0.3206
Total score of covi anxiety	4.04 (2.22)	4.07 (2.70)	4.04 (2.48)	0.8958
Total score of PANSS	82.81 (19.07)	81.91 (19.50)	81.25 (21.36)	0.8343
PANSS positive subscale	18.31 (4.61)	17.17 (5.63)	17.64 (5.75)	0.4776
PANSS negative subscale	22.42 (6.95)	22.49 (6.98)	21.67 (8.09)	0.8446
Total score of ESRS	19.21 (27.32)	17.69 (18.05)	14.06 (14.81)	0.1777
Total score of functioning scale	40.65 (8.38)	40.46 (7.95)	41.65 (7.69)	0.6211

Values are means (SD).

\*The difference between genotype groups was compared using ANCOVA. Age and gender were adjusted

<sup>+</sup>Fisher's exact test was used.

[220] *Discussion.* Among the several polymorphisms already described in the DAT1 locus, a 40-bp VNTR polymorphism has been extensively investigated in association studies with

human diseases. It appeared that this VNTR polymorphism might be associated with posttraumatic stress disorder (Segman RH *et al.*, *Mol. Psychiatry* 7(8): 903-7 (2002)), attention deficit hyperactivity disorder (ADHD) (Smith KM *et al.*, *Am. J. Med. Genet.* 119B(1):77-85 (2003); Chen CK *et al.*, *Mol. Psychiatry* 8(4):393-6 (2003)), prolonged methamphetamine psychosis (Ujike H *et al.*, *Pharmacogenomics J.* 3(4):242-7 (2003)), externalizing behaviour problems in children (Young SE *et al.*, *Am. J. Med. Genet.* 114(2):144-9 (2002)), and eating disorders with binge-eating behaviour (Shinohara M *et al.*, *J. Psychiatry Neurosci.* 29(2):134-7 (2004)). Interestingly, an association between this VNTR polymorphism and methylphenidate response in the patients with ADHD was observed. Kirley A *et al.*, *Am. J. Med. Genet.* 121B(1): 50-4 (2003).

[221] The dopamine transporter plays a critical role in regulating the activity of dopamine in the synapse by taking released dopamine back up into the presynaptic terminals. The transporter-assisted uptake of serotonin and dopamine has been accounted for activities in human behaviour or mental status, because they are the sites of action of widely used antidepressant and psychoactive drugs. The VNTR polymorphism in the 3'UTR of the DAT1 gene affects gene expression in brain, possibly resulting in altered neuronal transmission. Mill J *et al.*, *Am. J. Med. Genet.* 114(8): 975-9 (2002); Fuke S *et al.*, *Pharmacogenomics J.* 1(2):152-6 (2001). This polymorphism, therefore, represents a good marker for pharmacogenetic analysis.

[222] In this EXAMPLE, we observed a significant association between the VNTR polymorphism and the risk of Type 1 event in the patients with schizophrenia or schizoaffective disorders treated with clozapine. This association only existed in the clozapine treatment group, but not in the olanzapine treatment group, suggesting a direct relationship between the VNTR polymorphism and clozapine response.

[223] The association with lifetime suicide attempts indicates a function of this polymorphism in modifying disease severity. The subjects with 9 or fewer repeat alleles tended to have higher risk of Type 1 event and response less well to clozapine treatment.

[224] *Summary.* Clozapine is one of the most clinically potent drugs currently available for treating the symptoms of schizophrenia. When those most likely to benefit from clozapine are identified prior to treatment, it significantly improves the clinical management of these patients.

[225] An association between two polymorphisms (VNTR in 3'-UTR and polymorphism on exon 9) in the dopamine transporter gene (SLC6A3) and time to Type 1 event (suicide attempt) was found in patients treated with Clozaril®. These results show that SLC6A3 genotype may be used for predicting clozapine response in treatment for suicidality. Significance of the association was improved slightly when the two risk factors were combined. About 40% patients in the subpopulation with the two risk factors experienced Type 1 events at the end of study; only 15% patients in the subpopulation without the two risk factors had Type 1 events. According to the genotypes, about 10% of the patients are calculated to be poor responders. Thus, clozapine response rate can be improved significantly if the potential poor responders can be excluded from treatment based on the SLC6A3 genotype.

#### *EXAMPLE 2*

[226] In an effort to determine whether there is a difference between schizophrenia and schizoaffective disorder on genetic impact on clozapine response, disease-based subpopulation analysis was performed. As shown in the TABLE 8, the association between the VNTR polymorphism of the DAT1 gene and clozapine response measured by Type 1 event only existed in subjects with schizophrenia, but not in the subjects with schizoaffective disorder. In addition, there was no difference between genotype groups in response to olanzapine treatment in subjects with schizophrenia or schizoaffective disorder. These results show that there is a significant difference between schizophrenia and schizoaffective disorder on genetic impact on suicidal behaviour. The 3'UTR VNTR polymorphism of the DAT1 gene is a genetic marker for predicting clozapine response in schizophrenia patients.



**TABLE 8**  
**Type 1 event at the end of study classified**  
**according to the VNTR polymorphism in the hDAT1 gene**

<u>Disease</u> <u>population</u>	<u>Treatment</u>	<u>Type 1</u> <u>event</u> <sup>+</sup>	<u>S/S</u>	<u>Genotype</u> <u>S/L</u>	<u>L/L</u>	<u>P value</u> <sup>++</sup>	<u>P value</u> <sup>+++</sup>
All with schizophrenia	Clozapine	Yes	4 (50%)	5 (13%)	8 (13%)	<b>0.0034</b>	<b>0.0008</b>
		No	4 (50%)	35 (87%)	53 (87%)		
	Olanzapine	Yes	2 (20%)	10 (24%)	11 (18%)	0.7936	0.8834
		No	8 (80%)	32 (76%)	50 (82%)		
Caucasians with schizophrenia	Clozapine	Yes	4 (67%)	4 (15%)	5 (11%)	<b>0.0004</b>	<b>&lt;0.0001</b>
		No	2 (33%)	23 (85%)	39 (89%)		
	Olanzapine	Yes	1 (25%)	7 (23%)	8 (18%)	0.8004	0.9345
		No	3 (75%)	24 (77%)	37 (82%)		
All with schizoaffective disorder	Clozapine	Yes	3 (30%)	5 (17%)	10 (25%)	0.7081	0.5375
		No	7 (70%)	25 (83%)	30 (75%)		
	Olanzapine	Yes	3 (43%)	11 (33%)	15 (40%)	0.8842	0.6359
		No	4 (57%)	22 (67%)	22 (60%)		
Caucasians with schizoaffective disorder	Clozapine	Yes	3 (30%)	4 (15%)	9 (24%)	0.6691	0.4808
		No	7 (70%)	22 (85%)	28 (76%)		
	Olanzapine	Yes	3 (50%)	7 (25%)	11 (33%)	0.4075	0.1897
		No	3 (50%)	21 (75%)	22 (67%)		

Values are numbers of subjects (%).

<sup>+</sup>End point Type 1 event.

S/S = 9≥/9≥; S/L = 10≤/9≥; L/L = 10≤/10≤.

<sup>++</sup>Log rank test was used to compare for overall differences of the time to Type 1 event between genotype groups.

<sup>+++</sup>Log rank test was used to compare for differences of the time to Type 1 event between S/S and S/L plus L/L.

## REFERENCES CITED

[227] All references cited herein are incorporated herein by reference in their entirety and for all purposes to the same extent as if each individual publication or patent or patent application was specifically and individually indicated to be incorporated by reference in its entirety for all purposes. The discussion of references herein is intended merely to summarize the assertions made by their authors and no admission is made that any reference constitutes prior art. Applicants reserve the right to challenge the accuracy and pertinence of the cited references.

[228] In addition, all GenBank accession numbers, Unigene Cluster numbers and protein accession numbers cited herein are incorporated herein by reference in their entirety and for all purposes to the same extent as if each such number was specifically and individually indicated to be incorporated by reference in its entirety for all purposes.

[229] The present invention is not to be limited in terms of the particular embodiments described in this application, which are intended as single illustrations of individual aspects of the invention. Many modifications and variations of this invention can be made without departing from its spirit and scope, as will be apparent to those skilled in the art. Functionally equivalent methods and apparatus within the scope of the invention, in addition to those enumerated herein, will be apparent to those skilled in the art from the foregoing description and accompanying drawings. Such modifications and variations are intended to fall within the scope of the appended claims. The present invention is to be limited only by the terms of the appended claims, along with the full scope of equivalents to which such claims are entitled.

## CLAIMS

We claim:

1. Use of clozapine in the manufacture of a medicament for the treatment of schizophrenia in a selected patient population, wherein the selected patient population is selected on the basis of biomarkers present in patient samples that indicate responsiveness to clozapine.
2. A use according to Claim 1, wherein the biomarker is a variable number of tandem repeats (VNTR) polymorphism located in the 3'-untranslated region (UTR) region of the Dopamine Transporter 1 (SLC6A3; DAT1) gene.
3. A use according to Claim 2, wherein the biomarker further comprises a polymorphic site in SLC6A3 Exon 9 A59G at position 41370 in GenBank Sequence Accession Reference No. AF119117.1.

4. A method of predicting patient responsiveness to clozapine treatment, comprising the steps of
- (a) obtaining a sample of body fluids or other tissue from the patient, and
  - (b) determining for the two copies of the SLC6A3 gene present in the patient's body fluid or tissue, the identity of the variable number of tandem repeats (VNTR) polymorphism present in the 3'UTR region of the SLC6A3 gene (hDAT1 gene), wherein:
    - (i) if both copies of the SLC6A3 gene have nine or fewer repeat alleles in the VNTR polymorphism, then the patients are predicted to be poor responders to clozapine treatment with respect to suicidal behaviour;
    - (ii) if one copy of the SLC6A3 gene has nine or fewer repeat alleles in the VNTR polymorphism and the other copy has ten or more repeat alleles in the VNTR polymorphism, then the patients are predicted to be good responders to clozapine treatment with respect to suicidal behaviour; and
    - (iii) if both copies of the SLC6A3 gene have ten or more repeat alleles in the VNTR polymorphism, then the patients are predicted to be good responders to clozapine treatment with respect to suicidal behaviour.
5. A method according to Claim 4, further comprising the step of:
- (c) determining for the two copies of the SLC6A3 gene present in the patient's body fluid or tissue, the identity of the nucleotide pair at the polymorphic site in SLC6A3 Exon 9 A59G at position 41370 in GenBank Sequence Accession Reference No. AF119117.1, wherein:
    - (i) if both nucleotide pairs are AT then the patient is classed as AA and said patient is considered to be in risk Category I;
    - (ii) if one nucleotide pair is AT and one is GC then the patient is classed as GA and said patient is considered to be in risk Category II; and
    - (iii) if both nucleotide pairs are GC then the patient is classed as GG and said patient is considered to be in risk Category III.

6. A method according to Claim 5, further comprising the step of:
  - (d) if the patient is placed in risk Category II or III, then extra suicide/self-destructive behaviour precautions are taken during treatment.
7. A method according to any one of Claims 4 to 6, wherein the body fluid is blood.
8. A method of predicting responsiveness to clozapine treatment, comprising, making the determination whether or not a surrogate marker for the identity of the variable number of tandem repeats (VNTR) polymorphism present in the 3'UTR region of the SLC6A3 gene of the patient, wherein:
  - (i) if the surrogate marker for both copies of the SLC6A3 gene having nine or fewer repeat alleles in the VNTR polymorphism, then the patients are predicted to be poor responders to clozapine treatment with respect to suicidal behaviour;
  - (ii) if the surrogate marker for both copies of the SLC6A3 gene having nine or fewer repeat alleles in the VNTR polymorphism and the other copy having ten or more repeat alleles in the VNTR polymorphism, then the patients are predicted to be good responders to clozapine treatment with respect to suicidal behaviour; and
  - (iii) if the surrogate marker for both copies of the SLC6A3 gene having ten or more repeat alleles in the VNTR polymorphism, then the patients are predicted to be good responders to clozapine treatment with respect to suicidal behaviour.
9. A kit for predicting responsiveness to clozapine treatment, said kit comprising
  - (a) a means for determining a variable number of tandem repeats (VNTR) polymorphism present in the 3'UTR region of the SLC6A3 gene; and
  - (b) a means for determining a genetic polymorphism pattern at the SLC6A3 polymorphic site at Exon 9 A59G polymorphism site.
10. A kit according to Claim 9, further comprising a DNA sample collecting means.

11. A kit according to Claim 9 or 10, wherein the means for determining a genetic polymorphism pattern at the SLC6A3 polymorphic sites comprises SLC6A3 genotyping oligonucleotides.
12. A kit according to Claim 11, wherein the SLC6A3 genotyping primer composition comprises at least two sets of allele specific primer pairs.
13. A kit according to Claim 11 or 12, wherein the SLC6A3 genotyping oligonucleotides are packaged in separate containers.
14. A kit according to any one of Claim 9 to 13, further comprising a means for collecting a body fluid sample.

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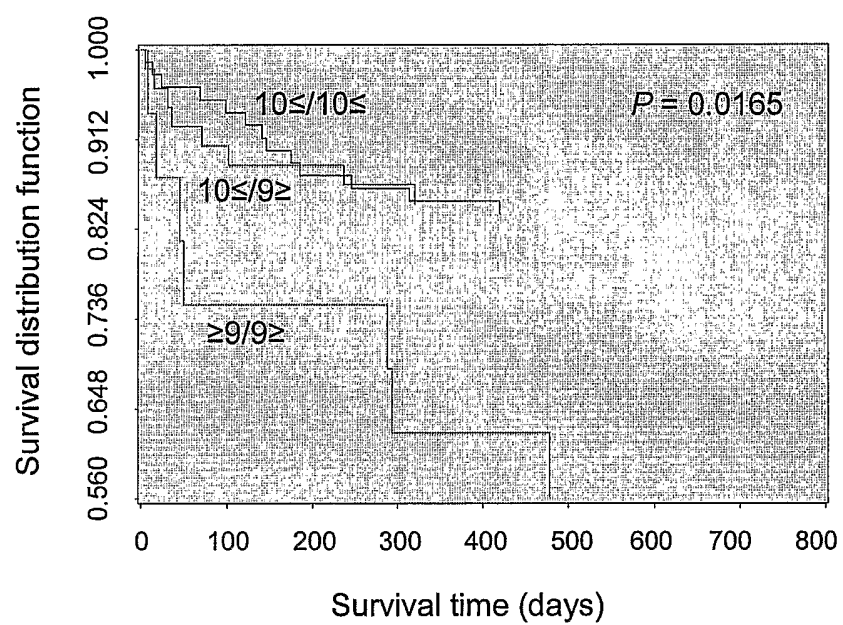


FIG. 1

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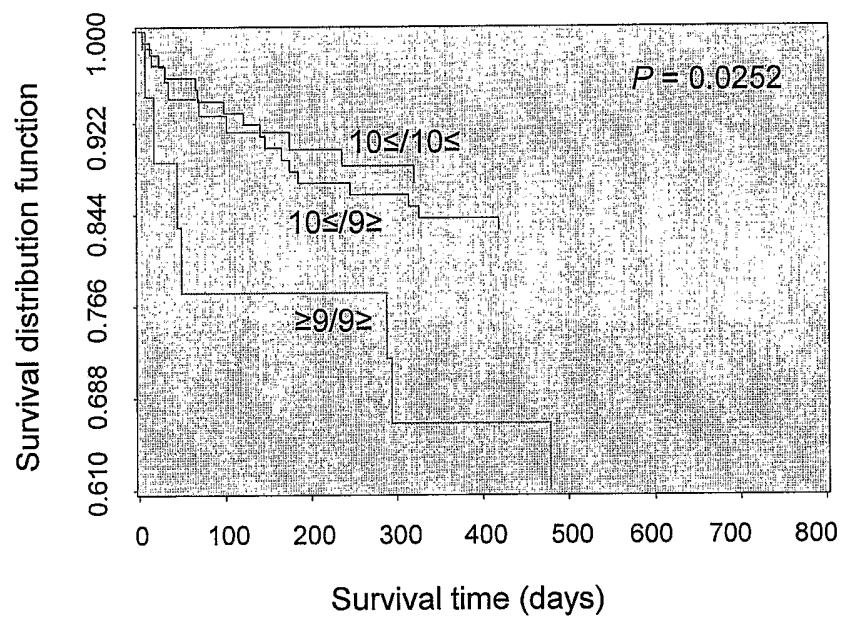


FIG. 2



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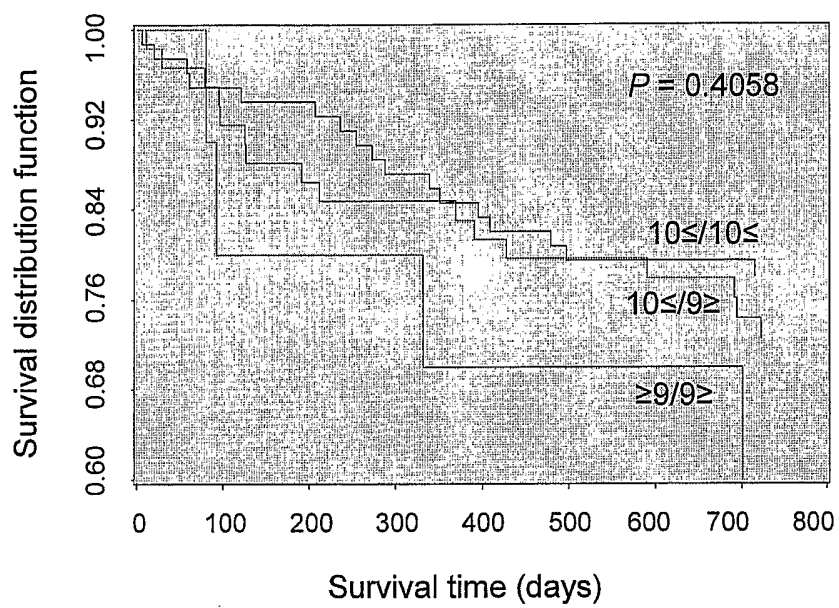


FIG. 3

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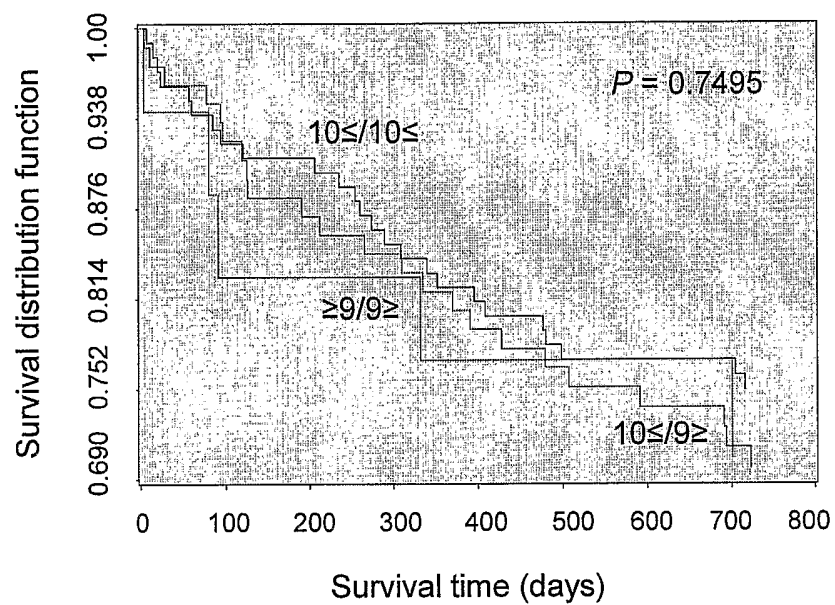


FIG. 4

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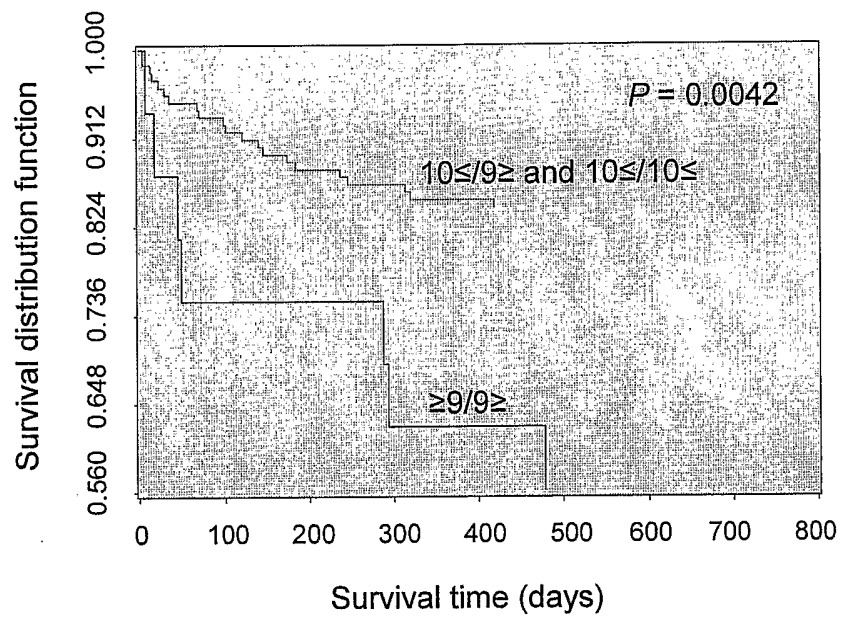


FIG. 5

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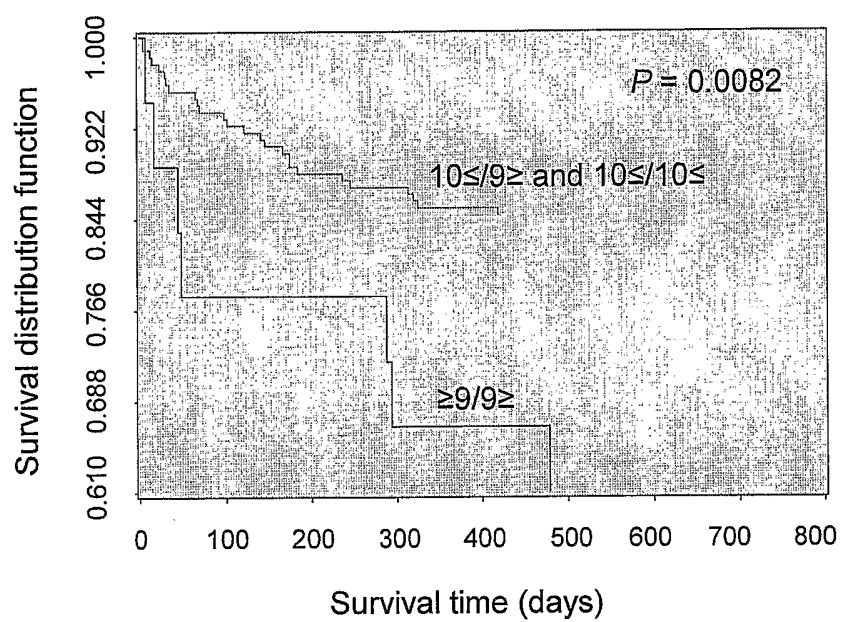


FIG. 6

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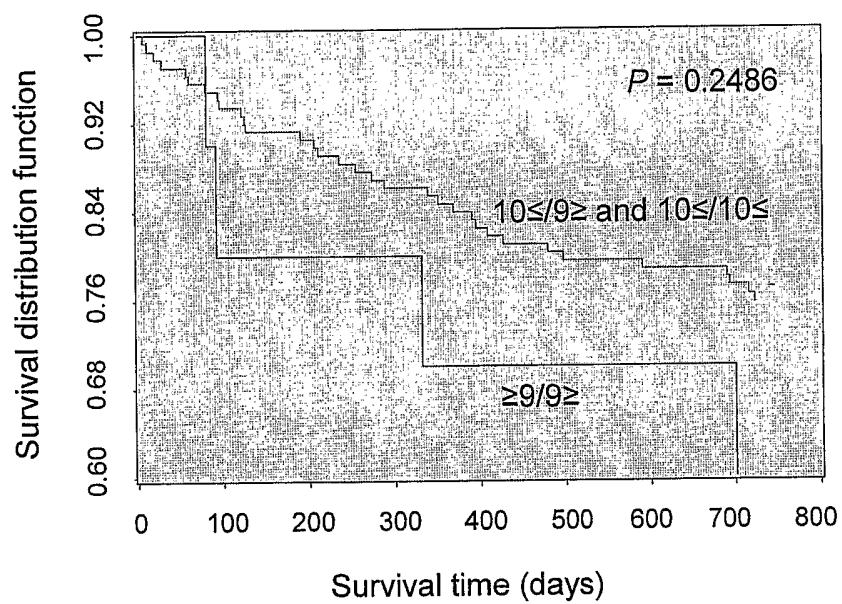


FIG. 7

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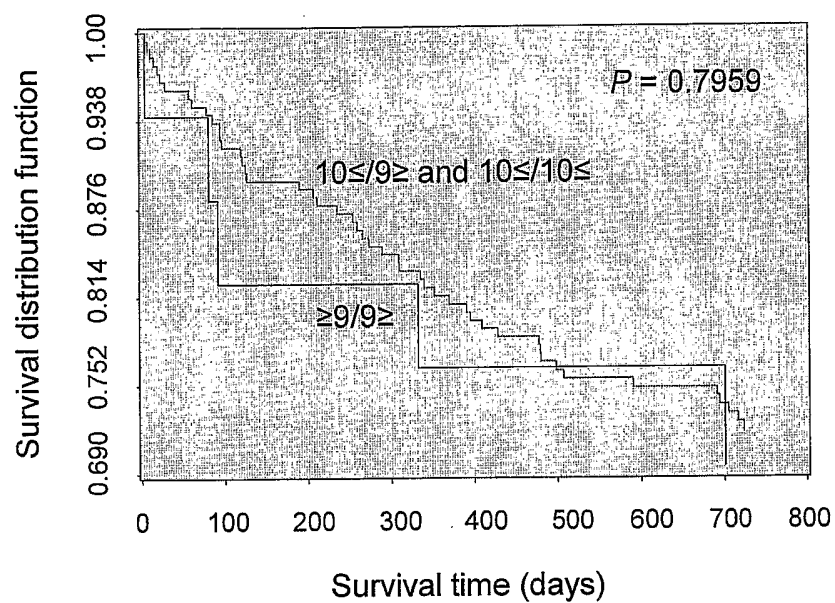


FIG. 8

## 33840A SEQLIST.TXT

## SEQUENCE LISTING

<110> Novartis AG  
He, Yungsheng  
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<120> BIOMARKERS FOR THE PREDICTION OF  
RESPONSIVENESS TO CLOZAPINE TREATMENT

<130> DV/4-33840A/USN

<150> 60/577,131

<151> 2004-06-04

<160> 4

<170> FastSEQ for windows Version 4.0

<210> 1

<211> 60

<212> DNA

<213> Homo sapiens

<220>

<221> allele

<222> (1)...(60)

<223> Homo sapiens dopamine transporter (SLC6A3) gene,  
positions 41341 to 41401

<400> 1

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<210> 2

<211> 60

<212> DNA

<213> Homo sapiens

<220>

<221> variation

<222> (1)...(60)

<223> Homo sapiens dopamine transporter (SLC6A3) gene,  
positions 41341 to 41401, polymorphism 59 A->G is  
at position 41370

<400> 2

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<210> 3

<211> 22

<212> DNA

<213> Homo sapiens

<220>

<221> primer\_bind

<222> (1)...(22)

<223> PCR primer sense

<400> 3

ggtgtaggga acggcctgag ag

22

<210> 4

<211> 24

<212> DNA

<213> Homo sapiens

33840A SEQLIST.TXT

<220>  
<221> protein\_bind  
<222> (1)...(24)  
<223> PCR primer antisense

<400> 4  
cttcctggag gtcacggctc aagg

24



# INTERNATIONAL SEARCH REPORT

International Application No

PCT/EP2005/006002

**A. CLASSIFICATION OF SUBJECT MATTER**  
IPC 7 C12Q1/68

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 C12Q

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, BIOSIS, EMBASE, WPI Data, PAJ, Sequence Search

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	WO 03/101377 A (IDGENE PHARMACEUTICALS LTD; DARVASI, ARIEL; ZAK, NAOMI) 11 December 2003 (2003-12-11) claims 29-31	1-3
X	WO 03/070082 A (IDGENE PHARMACEUTICALS LTD; DARVASI, ARIEL; ZAK, NAOMI) 28 August 2003 (2003-08-28) claims 31-33	1-3
X	ARRANZ M J ET AL: "Pharmacogenetic prediction of clozapine response" LANCET (NORTH AMERICAN EDITION), vol. 355, no. 9215, 6 May 2000 (2000-05-06), pages 1615-1616, XP002344479 ISSN: 0099-5355 the whole document	1-3

☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

**\* Special categories of cited documents:**

\*A\* document defining the general state of the art which is not considered to be of particular relevance

\*E\* earlier document but published on or after the international filing date

\*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)

\*O\* document referring to an oral disclosure, use, exhibition or other means

\*P\* document published prior to the international filing date but later than the priority date claimed

\*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

\*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

\*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

\*Z\* document member of the same patent family

Date of the actual completion of the international search

12 September 2005

Date of mailing of the international search report

26/09/2005

Name and mailing address of the ISA

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Aguilera, M

## INTERNATIONAL SEARCH REPORT

International Application No.

PCT/EP2005/006002

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	ARRANZ M ET AL: "ASSOCIATION BETWEEN CLOZAPINE RESPONSE AND ALLELIC VARIATION IN 5-HT2A RECEPTOR GENE" LANCET THE, LANCET LIMITED. LONDON, GB, vol. 346, 29 July 1995 (1995-07-29), pages 281-282, XP002034249 ISSN: 0140-6736 the whole document	1-3
X	----- BASILE V S ET AL: "PHARMACOGENOMICS IN SCHIZOPHRENIA: THE QUEST FOR INDIVIDUALIZED THERAPY" HUMAN MOLECULAR GENETICS, OXFORD UNIVERSITY PRESS, SURREY, GB, vol. 11, no. 20, 2002, pages 2517-2530, XP001181305 ISSN: 0964-6906 abstract; table 1	1-3
X	----- GB 2 381 525 A (* TCS CELLWORKS LTD) 7 May 2003 (2003-05-07) page 32, paragraph 1 - page 35, paragraph 1 page 28, paragraph 3 - page 29, paragraph 2	1-3
X	----- VANDENBERGH D J ET AL: "HUMAN DOPAMINE TRANSPORTER CDNA PREDICTS REDUCED GLYCOSYLATION, DISPLAYS A NOVEL REPETITIVE ELEMENT AND PROVIDES RACIALLY-DIMORPHICTAQI RFLPS" MOLECULAR BRAIN RESEARCH, ELSEVIER SCIENCE BV, AMSTERDAM, NL, vol. 15, no. 1/2, September 1992 (1992-09), pages 161-166, XP000406137 ISSN: 0169-328X figure 1	9,11
X	----- WU X ET AL: "Molecular cloning of the mouse dopamine transporter and pharmacological comparison with the human homologue" GENE, ELSEVIER BIOMEDICAL PRESS. AMSTERDAM, NL, vol. 233, no. 1-2, 11 June 1999 (1999-06-11), pages 163-170, XP004173076 ISSN: 0378-1119 figure 1; table 1	9,11
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# INTERNATIONAL SEARCH REPORT

International Application No

PCT/EP2005/006002

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	<p>BADRI F ET AL: "Dopamine and serotonin system genes may predict clinical response to clozapine"</p> <p>AMERICAN JOURNAL OF HUMAN GENETICS, UNIVERSITY OF CHICAGO PRESS, CHICAGO,, US, vol. 59, no. 4 SUPPL, 1996, page A247, XP009030429</p> <p>ISSN: 0002-9297</p> <p>abstract</p>	
A	<p>SZEKERES GYORGY ET AL: "Role of dopamine D3 receptor (DRD3) and dopamine transporter (DAT) polymorphism in cognitive dysfunctions and therapeutic response to atypical antipsychotics in patients with schizophrenia."</p> <p>AMERICAN JOURNAL OF MEDICAL GENETICS, vol. 124B, no. 1, 1 January 2004 (2004-01-01), pages 1-5, XP002344480</p> <p>ISSN: 0148-7299</p> <p>the whole document</p>	
A	<p>MILL JONATHAN ET AL: "Expression of the dopamine transporter gene is regulated by the 3' UTR VNTR: Evidence from brain and lymphocytes using quantitative RT-PCR."</p> <p>AMERICAN JOURNAL OF MEDICAL GENETICS. 8 DEC 2002, vol. 114, no. 8, 8 December 2002 (2002-12-08), pages 975-979, XP002344481</p> <p>ISSN: 0148-7299</p> <p>the whole document</p>	
A	<p>FUKE S ET AL: "THE VNTR POLYMORPHISM OF THE HUMAN DOPAMINE TRANSPORTER (DAT1) GENE AFFECTS GENE EXPRESSION"</p> <p>PHARMACOGENOMICS JOURNAL, NATURE PUBLISHING GROUP, GB, vol. 1, no. 2, 2001, pages 152-156, XP001147910</p> <p>ISSN: 1470-269X</p> <p>the whole document</p>	
A	<p>MILLER G M ET AL: "POLYMORPHISMS IN THE 3'-UNTRANSLATED REGION OF HUMAN AND MONKEY DOPAMINE TRANSPORTER GENES AFFECT REPORTER GENE EXPRESSION"</p> <p>MOLECULAR PSYCHIATRY, BASINGSTOKE, GB, vol. 7, no. 1, 2002, pages 44-55, XP009030445</p> <p>ISSN: 1359-4184</p> <p>the whole document</p>	

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## INTERNATIONAL SEARCH REPORT

International Application No

PCT/EP2005/006002

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT		
Category °	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	MARTINEZ D ET AL: "The variable number of tandem repeats polymorphism of the dopamine transporter gene is not associated with significant change in dopamine transporter phenotype in humans." NEUROPSYCHOPHARMACOLOGY : OFFICIAL PUBLICATION OF THE AMERICAN COLLEGE OF NEUROPSYCHOPHARMACOLOGY. MAY 2001, vol. 24, no. 5, May 2001 (2001-05), pages 553-560, XP002344482 ISSN: 0893-133X abstract	
A	GREENWOOD T A ET AL: "Promoter and intronic variants affect the transcriptional regulation of the human dopamine transporter gene" GENOMICS, ACADEMIC PRESS, SAN DIEGO, US, vol. 82, no. 5, November 2003 (2003-11), pages 511-520, XP004464126 ISSN: 0888-7543 Discussion abstract	
A	HAHN M K ET AL: "GENE ORGANIZATION AND POLYMORPHISMS OF MONOAMINE TRANSPORTERS RELATIONSHIP TO PSYCHIATRIC AND OTHER COMPLEX DISEASES" CONTEMPORARY NEUROSCIENCE, HUMANA PRESS, CLIFTON, NJ, US, 2002, pages 111-169, XP001180979 ISSN: 1061-5954 section 3	
P,X	WO 2004/074513 A (NOVARTIS AG; NOVARTIS PHARMA GMBH; KUDARAVALLI, SRIDHAR; LEROY, ELISAB) 2 September 2004 (2004-09-02) the whole document	1-3

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/EP2005/006002

Patent document cited in search report		Publication date		Patent family member(s)	Publication date
WO 03101377	A	11-12-2003	AU	2003231897 A1	19-12-2003
			WO	03101377 A2	11-12-2003
WO 03070082	A	28-08-2003	AU	2003207989 A1	09-09-2003
			WO	03070082 A2	28-08-2003
GB 2381525	A	07-05-2003	EP	1466000 A2	13-10-2004
			WO	03038099 A2	08-05-2003
			US	2005075300 A1	07-04-2005
WO 2004074513	A	02-09-2004	WO	2004074513 A1	02-09-2004

## INTERNATIONAL SEARCH REPORT

International application No.  
PCT/EP2005/006002

### Box II Observations where certain claims were found unsearchable (Continuation of item 2 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☒ Claims Nos.: 4-7  
because they relate to subject matter not required to be searched by this Authority, namely:  
see FURTHER INFORMATION sheet PCT/ISA/210
2. ☒ Claims Nos.: 8  
because they relate to parts of the International Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:  
see FURTHER INFORMATION sheet PCT/ISA/210
3. ☐ Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

### Box III Observations where unity of invention is lacking (Continuation of item 3 of first sheet)

This International Searching Authority found multiple inventions in this International application, as follows:

1. ☐ As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

#### Remark on Protest

- ☐ The additional search fees were accompanied by the applicant's protest.
- ☐ No protest accompanied the payment of additional search fees.

## FURTHER INFORMATION CONTINUED FROM PCT/ISA/ 210

Continuation of Box II.1

Claims Nos.: 4-7

Claims 4-7 comprise a step (a) of obtaining a sample of body fluids or other tissue from a patient which, in the context of the present application, is considered to involve a surgical procedure. Therefore, said claims are excluded from this ISR according to Rule 39.1(iv) PCT. Nevertheless, the search has been carried out for methods comprising steps (b) to (d) on a patient's sample previously obtained.

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Continuation of Box II.2

Claims Nos.: 8

The subject-matter of claim 8 relates to a method of predicting responsiveness to clozapine treatment comprising the determination whether or not a surrogate marker for the SLC6A3-VNTR polymorphism is present in a patient's sample. The claim covers all methods making use of said "surrogate markers", whereas the application provides no support within the meaning of Article 6 PCT nor disclosure within the meaning of Article 5 PCT for any of such markers.

Moreover, claim 8 also lacks clarity (Article 6 PCT) because the definition of the "surrogate marker" does not comprise any technical feature (structural and/or chemical properties), but only one possible method of identification (linkage analysis) which does not confer said marker with any clear property that makes it, as such, distinguishable from any other known genetic marker.

In the present case, the claims so lack support, and the application so lacks clarity and disclosure, that a meaningful search of claim 8 is impossible.

The applicant's attention is drawn to the fact that claims relating to inventions in respect of which no international search report has been established need not be the subject of an international preliminary examination (Rule 66.1(e) PCT). The applicant is advised that the EPO policy when acting as an International Preliminary Examining Authority is normally not to carry out a preliminary examination on matter which has not been searched. This is the case irrespective of whether or not the claims are amended following receipt of the search report or during any Chapter II procedure. If the application proceeds into the regional phase before the EPO, the applicant is reminded that a search may be carried out during examination before the EPO (see EPO Guideline C-VI, 8.5), should the problems which led to the Article 17(2) declaration be overcome.