

Immune Restoration after Treatment of HIV-1 Infection with Highly Active Antiretroviral Therapy (HAART)

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Abstract

The availability of combination antiretroviral therapy (HAART) has been associated with dramatic decreases in HIV-related morbidity and mortality. These clinical benefits are probably mediated by a decrease in HIV-1 replication and an increase in the number and function of peripheral blood CD4+ lymphocytes. Despite many years of maintaining plasma HIV-1 RNA levels below the limits of detection, many patients do not achieve normal CD4+ lymphocyte counts. A larger proportion of patients who delay HAART for longer have incomplete numerical CD4+ restoration compared to patients who start therapy earlier. Even in patients who normalize their CD4+ lymphocytes insert counts, immune function remains impaired among those who delay HAART for longer periods. Whether subclinical immune deficiency will be associated over longer periods of follow-up with adverse clinical outcomes such as an increased number of infections and malignancies remains to be determined. If prolonged subclinical immunodeficiency is associated with adverse outcomes, the use of immune-based therapies may benefits patients while helping us ascertain the residual deficits responsible for incomplete immune restoration.

Key words

Antiretroviral therapy. CD4+ lymphocytes. Lymphocyte function. Immunization. Immune restoration.

Introduction

Infection with HIV-1 results in a progressive loss in the number and function of CD4+ lymphocytes that puts patients at risk of developing opportunistic infections and neoplasms¹⁻⁴. The introduction of potent combination antiretroviral therapy for

HIV-1 infection in the mid-1990s resulted in dramatic declines in HIV-1 associated morbidity and mortality⁵⁻⁸. Combinations of antiviral medications (highly active antiretroviral therapy or HAART) have become the standard of care for HIV-1 infection⁹.

Shortly after the initiation of HAART there is a rapid decline in the incidence of opportunistic infections^{5,6}. Nevertheless, despite continued long-term suppression of HIV-1 replication and a slow but continued rise in the number of CD4+ cells, many patients who start HAART during moderately advanced disease do not achieve normal numbers of peripheral blood CD4+ cells^{10,11}. In addition, many other lymphocyte subpopulation abnormalities that correlate with immune dysfunction re-

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main^{11,12}. It is unknown whether these persistent abnormalities will resolve with continued suppression of HIV-1 replication. More importantly, whether this subclinical immune deficiency will translate into adverse clinical outcomes remains unknown. In this regard, patients with hematological malignancies who experience incomplete immune restoration after chemotherapy remain at heightened risk for acquiring opportunistic infections^{13,14}.

This review will describe the numerical and functional immune restoration seen in patients who achieve successful long-term control of HIV-1 replication. We will show that immune restoration is incomplete and that the proportion of patients who achieve incomplete immune restoration is larger the longer therapy is delayed. We propose that by conducting well-designed clinical trials aimed at normalizing immune function in patients who exhibit incomplete restoration we hold the promise of offering clinical benefit to these patients while we learn about the dysfunctions responsible for this incomplete restoration. Also, we will be able to explore new ways of testing the utility of immune-based therapies.

Mechanisms of Peripheral Blood CD4+ Cell Recovery

First Phase Rise in CD4+ Lymphocytes.

Shortly after HAART initiation there is a rapid rise in the number of peripheral blood CD4+ lymphocytes. This rise occurs during the first twelve weeks after HAART initiation and represent between 50 and 75% of the CD4+ cell rise an average patient will experience during the first year of therapy¹⁵. Initial redistribution of lymphocytes from lymph nodes into circulation appears to be responsible for this initial rise; lymphocyte redistribution is supported by mathematical models¹⁶ and by the observation that only lymphocyte subpopulations present in lymph nodes (T-cells and B-cells, but not NK cells) increase in peripheral blood during this first phase¹⁷. During untreated HIV-infection there is an increase in the expression of proinflammatory cytokines in lymph nodes¹⁸ that results in increased expression of adhesion molecules¹⁹ and "trapping" of lymphocytes in lymph nodes. Many of these lymphocytes will probably die due to activation-induced cell death²⁰. A few weeks after starting HAART the expression of proinflammatory cytokines, adhesion molecules, and the proportion of apoptotic lymphocytes in lymph nodes decrease substantially (but does not normalize), in parallel with the increase in circulating CD4+ lymphocytes¹⁸⁻²⁰.

Concurrently, there is evidence of improved lymphocyte function as evidenced by improved delayed-type hypersensitivity and lymphoproliferative responses to recall antigens such as *Candida* and cytomegalovirus^{15,21}. In summary, most of the decline in risk of opportunistic infections occurs at a time when the bulk of numerical and functional immune restoration is due to redistribution of lymphocytes from lymph nodes into the circulation after decreasing HIV-1 replication and its attendant proinflammatory state.

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Second Phase Rise in CD4+ Lymphocytes.

After the first 12 weeks of therapy peripheral blood CD4+ lymphocytes continue to rise, but a considerably slower pace^{10,11,15,16,21-24}. This modest continued increase in CD4+ lymphocytes appears to persist for at least 4 years after HAART initiation, provided that HIV-1 replication remains controlled^{25,26}. This second phase rise in CD4+ lymphocytes is mainly accounted for by an increase in *naïve* CD4+ lymphocytes, while memory CD4+ cells stabilize or increase only modestly¹¹. Given that during this second phase there is a continued increase in the number of lymphocytes that carry T-cell receptor excision circles (TREC)^{27,28}, a marker of recent thymic emigration, it is thought that this phase represents continued thymic production. Whether thymic function improves after HAART or whether the increase in TREC+ cells just represents residual thymic production after removal of cellular trapping and destruction remains to be determined. In addition, since at least during the first year after HAART initiation CD4+ cells repopulating peripheral blood are programmed to traffic to lymph nodes, residual redistribution may contribute to the second phase CD4+ lymphocyte rise²⁹. In contrast to the marked improvements in lymphocyte function seen during the initial weeks of HAART, immune function, as measured by lymphocyte proliferation or delayed-type hypersensitivity responses improve little, if at all, during the subsequent years of HAART administration¹¹.

Delayed HAART Initiation may Blunt or Delay Numerical CD4+ Cell Restoration

Several studies have been published describing the magnitude of immune restoration in patients receiving HAART for up to 4 years^{10,11,15,16,22,23,26,30-34}. The table shows the magnitude of immune restoration in subjects who have controlled HIV-1 replication in 75% or more of the viral load determinations after initiation of therapy. This table shows that persons who start HAART earlier during the course of disease are more likely to attain normal numbers of peripheral blood CD4+ lymphocytes. In addition, the expansion of CD8+ lymphocytes, the increase in CD8+ cell activation, and the decrease in CD28 expression on CD4+ and CD8+ lymphocytes all approach normal values faster and get closer to values seen in HIV-uninfected subjects the earlier HAART is initiated. It is not known if with prolonged follow-up, patients who start HAART during advanced HIV infection will be able to normalize all lymphocyte phenotypic abnormalities. Two small studies suggested that after about one year of HAART the increase in CD4+ lymphocytes tend-

Table 1. Immunologic changes in patients who maintain suppression of HIV-1 replication

Characteristics/Ref.	[30]	[33]	[34]	[32]	[16]	[11]	HIV (-) [11]
Number of patients	8	28	39	32	19	20	19
Stage of infection	Acute	Acute	Early	Early	Advanced	Advanced	NA
CD4+*	PreHAART	451	470	792	756	170	226
	PostHAART	761	758	1398	898	420	423
CD8+*	PreHAART	1880	1060	1392	1221	960	815
	PostHAART	NS	NS	791	985	NS	771
Ratio*	PreHAART	0.4	NS	0.72	0.7	NS	NS
	PostHAART	"Normal"	NS	2.02	1.2	NS	NS
% normal CD4**		88%	93%	NS	NS	NS	35%
Length of follow up	44 weeks	12 months	12 months	72 weeks	108 weeks	3 years	NA
Other markers	Normal CD28 on CD4	Trend to normalization of activation and CD28 expression	Persistent ↓ on CD8	Trend to normalization of % of CD4 cells on lymph nodes	Persistent abnormal activation and ↓ expression of CD28	Persistent abnormal activation and ↓ expression of CD28	

*Values represent medians or means as presented in the original publications. CD4+ and CD8+ lymphocytes are expressed in cells/ μ l. **Normal was defined as above 500 CD4+ cells/ μ l. PHI: primary HIV infection. NS: not stated; NA: not applicable.

ed to stop in patients who started therapy during advanced HIV-1 infection^{11,16}. A larger cohort study suggests a continuous rises in CD4+ lymphocytes after 4 years of therapy, even in patients who start HAART with fewer than 50 CD4+ lymphocytes/ml²⁶. Whether CD4+ lymphocyte counts and other phenotypic abnormalities will eventually normalize in these subjects remains to be seen.

Immune Function Remains Impaired, Even in Subjects who Normalize CD4+ Lymphocytes

Our group has been using the ability to respond to immunization as a gauge of immunologic competence. Conceptually, the development of an immune response to an immunogen is similar to the immune response needed to control an infectious agent. In both situations antigen-presenting cells recognize and present foreign antigens to lymphocytes, and these in turn generate cellular and humoral immune responses. In one case the outcome is resolution (or not) of the infection, which depends on the development (or failure) of an adequate immune response. In the case of immunization, we use the generation of humoral and cellular responses as the outcome. Using this approach we showed that even after more than 78 weeks of HAART, responses to immunization with recall and neo-antigens was impaired in HIV-infected patients, when compared to HIV-seronegative controls¹². In addition, we showed that responses to immunization among HIV-infected subjects receiving HAART are heterogeneous yet predictable. Subjects with controlled viral replication, with higher *naïve* and memory CD4+ cells at the time of immunization, with higher expression of CD28 on CD4+ cells,

and with decreased CD4+ cell activation were more likely to respond to immunization¹². Using this approach we tested immune function in patients with the best responses to HAART: those with viral loads consistently below the limit of detection and who had achieved "normal" CD4+ cell counts³⁵. At the time we studied these patients, they had been receiving HAART for longer than 3 years and had CD4+ lymphocyte counts in the normal range (median 730 cells/ μ l), not significantly different from counts in HIV-seronegative controls. Of note, the range of nadir CD4+ cell counts in the patients was very broad (20-506 cells/ μ l) and the median nadir CD4 was 250 cells/ μ l. Patients with a higher nadir CD4+ cell count and patients with increased expression of CD28 on CD4+ cells at the time of immunization were more likely to respond to immunization with recall and neo-antigens. No nadir CD4+ cell threshold was found above or below which the likelihood of response to immunization increased or decreased dramatically.

These findings have 2 important implications: even if patients normalize CD4+ cell counts, immunologic function may remain impaired if patients delay initiation of HAART. In addition, the earlier HAART is initiated, the more likely that immune phenotype and function will normalize. Recently, a large cohort study of patients starting HAART has shown that the 3-year prognosis of patients who start HAART with more than 350 CD4+ cells/ μ l is marginally but significantly better than those who start HAART with CD4+ ranging from 200 to 349 cells/ μ l, using an endpoint of death and new AIDS-defining events. Whether earlier initiation of HAART will ultimately be associated with clinical benefit after longer follow-up, or whether metabolic toxicities and antiretroviral failure will maim the benefits of early HAART initiation remains to be determined.

Hypothesis-Driven Clinical Trial Design will Help Identify Persistent Immunologic Lesions and May Offer Clinical Benefit

Potential explanations for incomplete immune restoration include residual viral replication, bone marrow insufficiency, thymic insufficiency, persistent trapping of cells in lymphoid organs, and irreversible damage to one or more lymphopoietic organs after prolonged uncontrolled HIV-1 replication. As we will discuss, we currently have immune-based therapeutics that can help us address the cause of incomplete immune restoration while performing studies aimed at magnifying the rise in CD4+ lymphocytes caused by controlling viral replication with HAART alone (Fig. 1). Many studies have shown that low level HIV-1 replication persists even in patients with plasma HIV-1 RNA levels below the limit of detection of currently available assays³⁶⁻³⁸. In addition, in one study patients with more residual replication, as measured by quantification of 2-LTR circles, had fewer peripheral blood CD4+ lymphocytes³⁷. Trials of intensification of antiretroviral therapy currently

underway will address whether residual HIV-1 replication accounts for the failure to completely restore CD4+ cell numbers, for the persistent increased immune activation, and for the persistent decrease in CD28 co-expression¹¹.

The bone marrow is the source of T lymphocyte precursors. It is known that bone marrow function is impaired during untreated HIV-1 infection³⁹. Bone marrow function improves after HAART administration^{40,41}. Whether bone marrow insufficiency accounts for the slow and blunted increase in CD4+ lymphocytes in people who successfully control HIV-1 replication remains to be determined. In patients receiving HAART who had incomplete suppression of HIV-1 replication, administration of 250 µg of GM-CSF subcutaneously (SQ) thrice weekly produced an increase of only 19 CD4+ cells after 16 weeks, compared to no increase among placebo recipients⁴². It is unknown whether use of GM-CSF in HAART-treated patients with controlled viral replication or in patients receiving other cytokines, such as interleukin-2 (IL-2), will produce larger CD4+ lymphocyte rises.

Pre-T lymphocytes migrate to the thymic cortex, where they rearrange their T-cell receptor genes. Subsequently, CD4+CD8+ double positive lym-

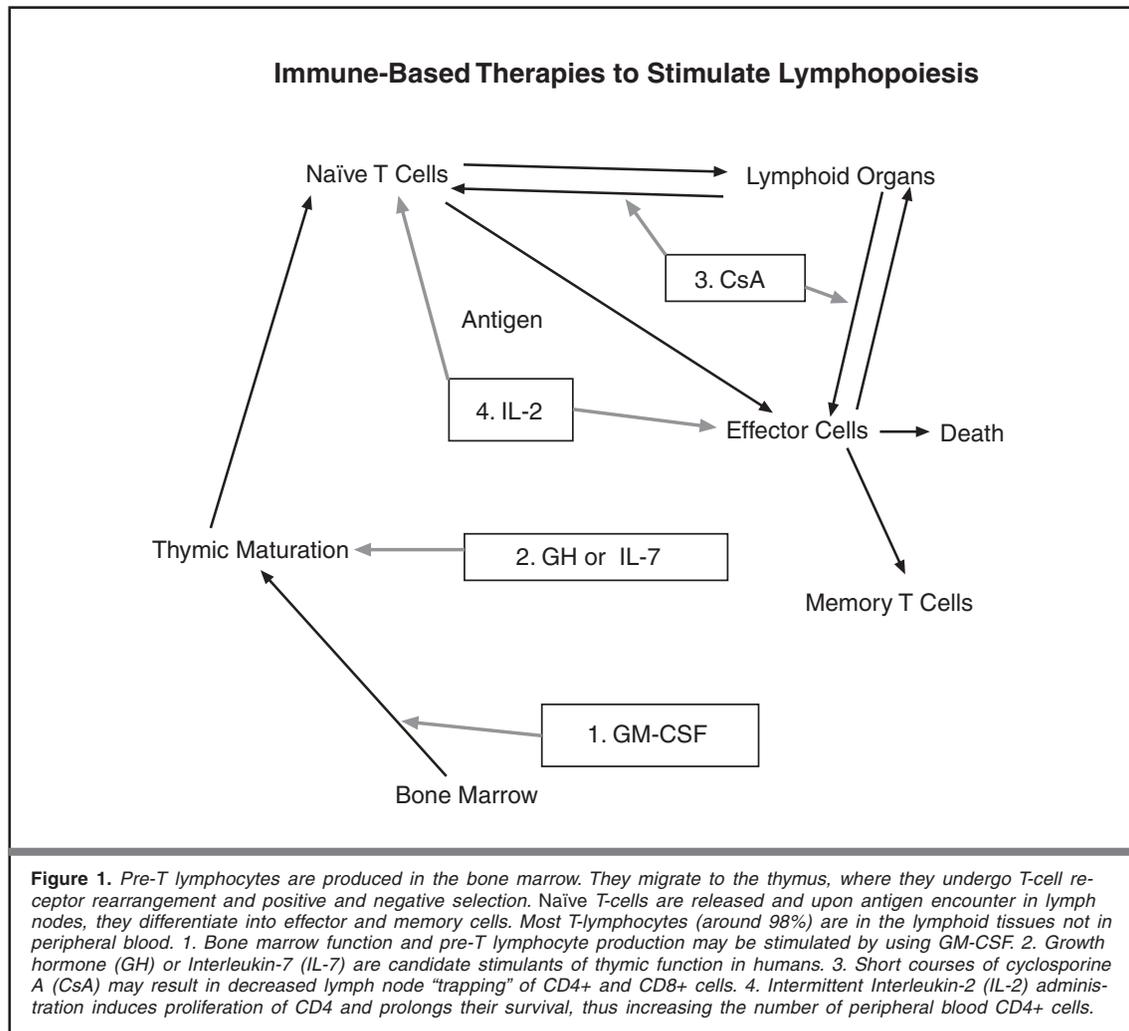


Figure 1. Pre-T lymphocytes are produced in the bone marrow. They migrate to the thymus, where they undergo T-cell receptor rearrangement and positive and negative selection. Naïve T-cells are released and upon antigen encounter in lymph nodes, they differentiate into effector and memory cells. Most T-lymphocytes (around 98%) are in the lymphoid tissues not in peripheral blood. 1. Bone marrow function and pre-T lymphocyte production may be stimulated by using GM-CSF. 2. Growth hormone (GH) or Interleukin-7 (IL-7) are candidate stimulants of thymic function in humans. 3. Short courses of cyclosporine A (CsA) may result in decreased lymph node "trapping" of CD4+ and CD8+ cells. 4. Intermittent Interleukin-2 (IL-2) administration induces proliferation of CD4 and prolongs their survival, thus increasing the number of peripheral blood CD4+ cells.

phocytes are positively and negatively selected in the thymus, and the positively selected cells give rise to CD4+ and CD8+ naïve lymphocytes, that are then released into the circulation. The thymus involutes with age⁴³ and thymic architecture is disrupted in HIV-1 infection⁴⁴. Although in many HAART treated patients there is evidence of thymic function after treatment with HAART^{27,28,45}, it is not known whether thymic function actually improves after HAART. As has been shown in CD4 restoration after chemotherapy⁴⁶, our group has shown that among some patients who fail to increase CD4+ lymphocytes after controlling HIV-1 replication there is evidence of impaired thymic function⁴⁷. Whether this impaired thymic function is the result of true thymic failure or whether it is the result of inadequate supply of pre-T cells by the bone marrow remains to be seen. Growth hormone (GH) has been shown to improve thymic function in mice with atrophic thymuses⁴⁸. More recently, GH has been shown to increase thymic volume and number of naïve CD4+ cells after administration to a small number of HIV-1 infected humans⁴⁹.

Interleukin-7 (IL-7) is a cytokine that induces survival and proliferation of immature thymocytes⁵⁰. In murine models of radiation-induced lymphopenia, IL-7 administration enhances thymopoiesis. This cytokine is being developed for human use. Studies using GH or interleukin-7, in HIV-1 infected patients with incomplete immune restoration will address whether improving thymic function will result in peripheral blood CD4+ lymphocyte rises.

Shortly after initiation of HAART there is a decrease, but not normalization, of the inflammatory state that causes lymphocyte trapping in lymphoid organs^{18,19}. *In vivo*, cyclosporine A decreases proinflammatory cytokine and adhesion molecule expression^{51,52}. In patients who started HAART during acute HIV-1 infection Rizzarda et al. have shown that an 8 week course of cyclosporine A used to attain plasma levels similar to those used for organ transplantation resulted in larger CD4+ lymphocyte rises than those seen in historical acute HIV-1 seroconverters treated with the same HAART regimen⁵³. Cyclosporine-treated patients had higher CD4+ lymphocytes than historic controls even one year after cessation of cyclosporine administration. Whether cyclosporine administration will result in augmentation of the CD4+ lymphocyte rise caused by HAART in patients with chronic HIV-1 infection and the mechanisms whereby cyclosporine A induces CD4+ lymphocyte rises are currently being studied in a controlled trial.

IL-2 is a T-cell growth factor that induces CD4+ cell proliferation and prolongs CD4+ survival⁵⁴. High-dose, intermittent IL-2 administration has been shown to increase peripheral blood CD4+ lymphocyte counts when given to HIV-1 infected patients with high CD4+ lymphocyte counts or to HAART-treated patients with low circulating CD4+ cell counts⁵⁵⁻⁵⁷. Whether the increase in CD4+ lympho-

cyte counts induced by IL-2 will translate into clinical benefit is currently being studied in 2 large, randomized clinical trials.

Will the Increase in CD4+ Lymphocytes Conferred by the Use of Immune-Based Therapies result in Clinical Benefit?

Due to the success of HAART in decreasing morbidity and mortality in developed countries⁷, testing the clinical efficacy of new interventions will require either the performance of multiple large and long-duration clinical trials using clinical endpoints or the development of surrogate markers. Requiring clinical endpoint studies for immune-based therapies will considerably slow the development of these agents. In addition, due to the different mechanism of action of these biologicals, the demonstration that the increase in CD4+ lymphocytes by one agent such as IL-2 will not accelerate the development of different agents, resulting in the need for designing large, long, and expensive trials for every candidate. For antiretroviral therapies a decrease in plasma HIV-1 RNA level is an accepted surrogate marker of clinical benefit. No such surrogate exists for immune-based therapies.

We propose that the ability or failure to respond to immunization with different antigens could be an adequate surrogate marker for functional immune competence. We have shown that HIV-1 infected patients receiving HAART and HIV-1 uninfected individuals have subnormal responses to immunization^{12,35}; in addition, responses to immunization are heterogeneous among HAART-treated patients, even when CD4+ cell counts are comparable³⁵. More recently we have shown that in patients who start HAART with or without IL-2 during moderately advanced HIV-1 disease, the increase in CD4+ lymphocytes in recipients of HAART plus IL-2 is not associated with an increased ability to respond to immunization when compared to responses in patients treated with HAART alone⁵⁸. This finding is notable given that IL-2 recipients had twice as many peripheral blood CD4+ cells at the time of immunization and suggests that the increase in CD4+ lymphocytes in this patient population will not necessarily result in improved immune function.

For the ability to respond to immunization to be considered an adequate surrogate of clinical benefit of an immune-based intervention, the ability to respond to immunization needs to explain the clinical benefit. Although small studies suggest that HIV-1 infected patients who respond to immunization have a more favorable course of HIV disease^{59,60}, a more formal demonstration of the association of response to immunization and clinical benefit is needed. Nevertheless, we consider that incorporating immunization studies in early phase trials of immune-based therapies will allow

us to learn about functional immunity, even if the formal link to clinical benefit is so far lacking.

Restoration of HIV-Specific Immune Responses

The generation of SIV-specific CD8+ immune responses after immunization is associated with control of SIV replication in macaque models⁶¹. In addition, the development of immune-escape mutants is temporally associated with loss of control of SIV replication⁶². CD8+ lymphocyte depletion using anti-CD8 antibodies results in an increase in SIV replication⁶³⁻⁶⁵. All this evidence strongly suggests that HIV-specific CD8+ lymphocytes mediate immune control of HIV-1 replication. HIV-1 specific CD8+ responses decrease after administration of HAART⁶⁶. HIV-1 specific lymphoproliferative responses also have been associated with control of HIV-1 replication⁶⁷, but whether these responses are cause or consequence of low levels of HIV-1 replication remains unknown. These responses are recovered after initiation of HAART in a variable proportion of patients, the sooner after HIV-1 infection HAART is initiated, the more likely a patient will be to exhibit HIV-specific lymphoproliferative responses^{22,68-70}.

In conclusion, after initiation of HAART HIV-1 specific CD8 responses decrease, and although HIV-specific CD4+ lymphoproliferative responses return in some patients, the likelihood that patients will be able to achieve immune control of HIV-1 replication without additional intervention is remote. Again, immune-based therapies such as therapeutic immunization are needed to generate HIV-specific responses and to ascertain whether patients who start HAART during chronic HIV-1 disease will be able to achieve immune control of HIV-1 replication. The fact that many patients with chronic HIV-1 infection have broad HIV-specific immune responses⁷¹ and the ability of HIV-1 to rapidly evade these responses⁷² creates a formidable challenge for HIV-1 therapeutic immunization.

Conclusions

Immune restoration after HAART is incomplete but sufficient to protect patients from common opportunistic infections. Whether incomplete immune restoration will be associated with late onset complications such as malignancies remains to be determined. Immune-based therapies to magnify immune restoration after HAART and creative ways to test them will teach us about the residual immune lesions after treatment of HIV-1 infection while potentially offering patients clinical benefit.

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