

1 **Therapeutic approaches for spinal muscular atrophy (SMA)**

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14

15 **Abstract**

16 Spinal muscular atrophy (SMA) is an autosomal recessive neurodegenerative disorder
17 characterized by progressive muscle wasting and loss of muscle function due to severe motor
18 neuron dysfunction, secondary to mutations in the survival motor neuron 1 (*SMN1*) gene. A
19 second neighboring centromeric gene, *SMN2*, is intact in all patients but contains a C-to-T
20 variation in exon 7 that affects a splice enhancer and determines exclusion of exon 7 in the
21 majority of its transcript, leading to an unstable protein that cannot substitute for mutant
22 *SMN1*.

23 Following successful studies on disease models and intensive studies on *SMN* functions in
24 the past decade, *SMN* upregulation targeting *SMN2*, has been suggested as a possible

25 therapeutic approach. Recently we have witnessed an historical turning point with the first
26 disease-modifying treatment receiving Food and Drug Administration (FDA) approval and
27 now being available to patients also outside the clinical trial. This innovative treatment is an
28 antisense oligonucleotide (ASOs) which, administered intrathecally, is able to increase exon
29 7 inclusion in the majority of the *SMN2* mRNA, and increase the production of fully
30 functional SMN protein. Alternative advanced therapies, such as viral vector mediated gene
31 therapy and orally available small molecules are also showing promising results in early
32 clinical trial phases.

33

34 **Article**

35 Spinal muscular atrophy (SMA) is a monogenic autosomal recessive disorder having an
36 incidence of ~1 in 10000 live births. ^(1,2) Since the disease-causing genetic defect responsible
37 for SMA was identified in 1995, there has accrued significant understanding of SMA
38 pathogenesis, genetic, biologic and cellular mechanisms leading to crucial recent
39 breakthroughs in its treatment. Historically the treatment for SMA was divided between
40 optimisation of clinical management on one end and experimental therapies on the other, and
41 a recent Cochrane review on treatment for SMA reached the conclusion that no drug
42 treatment for SMA has been proven to have significant efficacy. ^(3, 4)

43 Recently the treatment's scenario has dramatically changed: the 23rd of December 2016 an
44 oligonucleotide drug, called Spinraza, has received FDA approval for the treatment of SMA
45 in the US. [The FDA approval has been echoed by the European Medicine Agency \(EMA\) on
46 21 April 2017, when the Committee for Medicinal Products for Human Use \(CHMP\)
47 adopted a positive opinion, recommending the granting of a marketing authorization for](#)

48 [the medicinal product Spinraza, intended for the treatment of 5q spinal muscular](#)
49 [atrophy \(SMA\).](#)

50
51 Spinraza is the first of a relatively rich list of experimental therapy compounds under
52 evaluation to arrive to the goalpost of FDA/[EMA](#) approval. There are indeed a number of
53 alternative approaches that are attractive therapeutic strategies, developed to either increase
54 SMN protein level (orally bioavailable small-molecule drugs that modulate the splicing of
55 SMN2; *SMN1* gene replacement using viral vector) or act as neuroprotective drugs to
56 improve motor neuron survival.

57 In this article we will review the most recent and promising therapeutic approaches for spinal
58 muscular atrophy. (Figure 1)

60 **Approved and experimental therapies aiming at increasing SMN protein levels**

61 With greater understanding of the molecular basis of SMA in the past 2 decades, a major
62 focus of therapeutic developments has been on increasing the full-length SMN protein by:
63 increasing the inclusion of exon 7 in *SMN2* transcripts; enhancing *SMN2* gene expression;
64 stabilizing the SMN protein, or replacing the *SMN1* gene.

65 Splice switching antisense oligonucleotides (ASOs) are synthetic RNA molecules that can
66 interfere with physiological splicing of exons. They can either be designed to exclude an
67 exon from the pre-mRNA (as in the case of the exon skipping strategy utilised in Duchenne
68 muscular dystrophy) or induce the inclusion of an exon that would otherwise be removed (as
69 it is the case for *SMN2*). Indeed all SMA patients carry at least one copy of *SMN2*, in which a
70 single nucleotide change at a splice enhancer site excludes exon 7 in approximately 90% of
71 its transcripts and results in the translation of a non-functional protein. The manipulation of

72 this splicing, inducing an increase in exon 7 retention in *SMN2* pre-mRNA, is therefore an
73 attractive therapeutic approach, both because it is applicable to all patients with SMA, and
74 because the resulting mRNA, and eventually protein product, is identical to the one produced
75 by *SMN1*. These ASOs are highly effective at promoting inclusion of exon 7 in *SMN2*
76 transcripts and at increasing SMN protein levels both in vitro and in vivo, although they are
77 not capable of crossing the blood-brain barrier, so they require repeated intrathecal
78 administration. ^(5, 6)

79 Early open label clinical trials of the ASO Spinraza (also known as Isis 396443, SMN_{Rx} and
80 nusinersen), demonstrated a good safety profile and encouraging efficacy data both in type I
81 and type II SMA individuals. ⁽⁷⁾ (table 1 shows a list of clinical trials using the ASO
82 Spinraza).

83 A subsequent large randomised double blind controlled clinical trial (ENDEAR) in which
84 infants under 7 months of age with type I SMA received either Spinraza or sham procedure
85 (control arm) was interrupted early following the positive interim efficacy analysis, allowing
86 to all participants to be rolled over into an open label study (called SHINE). The positive
87 results from this study prompted the submission of the new drug application with the FDA.

88 While the drug is currently licensed in US for patients with SMA, and [at the time](#) the
89 application for EMA approval has been submitted, the pharmaceutical sponsor, Biogen, has
90 offered to the trial sites in several European countries, the possibility to enrol more patients
91 with type I SMA via an Expanded Access Program (EAP). (For more information visit
92 www.biogen.com) The interim results from the randomized control study in type II patients
93 and an open label study of Spinraza in pre-symptomatic infants have also been very
94 favourable.

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96 *Small molecules.* A number of low-molecular-weight drugs that can increase levels of full-
97 length SMN protein by different mechanisms, from activating the *SMN2* promoter to
98 increasing its expression, or forcing read-through of the *SMN2* product, are being studied. ^{(8,}

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99 ⁹⁾

100 Histone deacetylase inhibitor compounds can increase *SMN2* mRNA levels and had shown
101 promising results in mouse models and cell lines derived from SMA patients but, when tested
102 in clinical trials, they invariably showed little or no benefit. These have included clinical trials
103 with sodium phenylbutyrate, valproic acid and hydroxyuria. ⁽¹⁰⁻¹³⁾ (NCT00485511;
104 NCT00568698; NCT00528268; NCT00439218; NCT00439569; NCT00227266)

105 Other small-molecule drugs such as aminoglycosides promote ribosomal reading through the
106 stop codon of *SMNΔ7* transcripts, enabling the translation of a protein variant with increased
107 stability when compared to the native product of the *SMN2* gene lacking exon 7.
108 Subcutaneous administrations of a read-through inducing compound (TC007), while not
109 extending survival, did result in increased gross motor function in treated SMA transgenic
110 mice ⁽¹⁴⁾

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111 A different class of more potent drugs capable of altering the splicing pattern of *SMN2*
112 transcripts to favour the inclusion of exon 7 has been more recently developed. These drugs
113 have very substantial efficacy in improving outcome in the SMA transgenic mice and are
114 currently in early clinical trials.

115 One of these molecules was identified by PTC Therapeutics using a high throughput drug
116 screening platform. This demonstrated unequivocal and robust efficacy in preclinical SMA
117 transgenic mice studies. ⁽¹⁵⁾ Roche then chemically optimized this compound and brought it
118 into the clinic as an orally bioavailable drug. A phase 1 multicentre randomized, double
119 blind, placebo-controlled study was initiated in 2015 to investigate the safety, tolerability,
120 pharmacokinetics and pharmacodynamics of RG7800 following 12 weeks of treatment in

121 adult and pediatric patients with SMA (MOONFISH study; NCT02240355). After recruiting
122 the first cohort of patients, the sponsor placed the trial on clinical hold due to unexpected eye
123 safety findings observed in the parallel chronic preclinical toxicology study of RG7800. This
124 clinical trial was eventually terminated. More recently Roche has initiated two phase I/II
125 studies to investigate the safety, tolerability, pharmacokinetics, pharmacodynamics and
126 efficacy of a similar compound, RG7916, in infants with type 1—SMA (FIREFISH;
127 NCT02913482) and in Type 2 and 3 Spinal Muscular Atrophy (SUNFISH; NCT02908685).
128 Both studies are currently ongoing and recruiting patients.

129 Novartis is pursuing a similar strategy with a small molecule also capable of increasing exon
130 7 retention in the SMN2 transcript and capable of substantially increase life expectancy in
131 SMA transgenic mice ⁽¹⁶⁾; an open-label phase I/II study of oral LMI070 in infants with Type
132 1 spinal muscular atrophy was initiated in April 2015 in four European countries
133 (NCT02268552). In middle 2016 the pharmaceutical sponsor has decided to pause the
134 enrollment study as parallel chronic preclinical toxicology studies, using daily dosing for a
135 year compared to weekly dosing in the human study, showed unexpected injuries to the
136 peripheral nerves and spinal cord, testes, and blood vessels in the kidney. Since the
137 announcement, all patients enrolled in the trial were closely monitored and the study is
138 currently ongoing but not recruiting participants.

139
140 *Viral Gene therapy.* As a monogenic disease, SMA is a good target for vector-based gene
141 replacement therapy to restore a normal form of the *SMN1* gene in patients. Viral-mediated
142 *SMN* gene delivery has been remarkably successful in preclinical studies. Both systemic and
143 intra-cerebro-ventricular injection of self-complementary adeno-associated viral vectors
144 (scAAV) expressing SMN showed efficient transduction of motor neurons in both mice and

145 non-human primates, as well as nearly complete correction of the SMA phenotype in mice.

146 ⁽¹⁷⁻¹⁹⁾

147 In selecting a potential vector to deliver the *SMN1* gene, ~~the~~ adeno-associated virus vectors
148 (AAV) ~~8 and 9~~ appeared to be an excellent contenders due to ~~their~~ its ability to cross the
149 blood–brain barrier after systemic (intravenous) delivery in mouse models ^(20, 21)

150 AveXis is currently conducting a single site study in the US (Nationwide Children’s Hospital,
151 Columbus, Ohio, Dr Jerry Mendell), the first gene therapy phase I clinical trial to assess the
152 safety of intravenous delivery of scAAV9-SMN in type 1 SMA infants. (NCT02122952) This
153 open-label, dose-escalation clinical trial of AVXS-101 injected intravenously through a
154 peripheral limb vein is currently active but not recruiting. A total of 15 infants have been
155 enrolled in this study; participants were allocated in 2 cohorts receiving 6.7e13 vg/kg of
156 AVXS-101 (n=3) and 2.0e14 vg/kg of AVXS-101 (n=12) delivered as a single intravenous
157 administration.

158 The primary analysis for efficacy will be assessed when all patients reach 13.6 months of age
159 with an estimate study completion in December 2017.

160 Encouraging preliminary data were presented at several international conferences in 2016,
161 and AveXis is planning a larger multicentre Phase III open-label single-dose, by intravenous
162 infusion, gene replacement therapy clinical trial for patients with SMA type 1 both in US and
163 EU.

164

165 **Other therapeutic approaches:**

166 Neuroprotective compounds. Olesoxime is another small molecule that has shown
167 neuroprotective properties in a number of in-vitro and in-vivo studies promoting neurite
168 outgrowth and communication with the mitochondrial permeability transition pore. In-vitro
169 neuronal cell death studies demonstrated a dose-dependent increase in cell survival with the

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170 use of olesoxime in trophic factor deprivation assays. Furthermore, in SOD1G93A transgenic
171 mouse models of ALS, treatment with olesoxime resulted in the prevention of weight loss, a
172 delay in severe muscle function decline, and a 10% increase in lifespan compared to vehicle-
173 treated controls. ⁽²²⁾

174 This drug has been tested in a phase II randomized, multicentre, double blind, placebo-
175 controlled trial completed in 2013. A total of 165 non-ambulant patients with SMA type II
176 and III, aged 3 to 25 years, were recruited in 23 sites in different European countries (France,
177 Germany, Italy, UK, Poland, Netherlands, Belgium) and followed in the study for
178 approximately two years. The randomization ratio was 2:1, with 108 to the olesoxime group
179 (10mg/kg), and 57 to the placebo group. Preliminary results suggested that olesoxime
180 maintains motor function and improves overall health status over the two-year treatment
181 period.

182 An open-label study sponsored by Hoffmann-La Roche enrolling patients who participated in
183 the phase II study to evaluate long term safety, tolerability, and effectiveness of olesoxime
184 (OLEOS; NCT02628743) in patients with Spinal Muscular Atrophy is currently ongoing. The
185 estimated study completion date is December 2020.

186
187 *Skeletal muscle troponin activation.* This type of therapeutic approach using another small-
188 molecule is intended to slow the rate of calcium release from the regulatory troponin complex
189 of fast skeletal muscle fibers, which may improve muscle function and physical performance
190 in people with SMA. In collaboration with Astellas, Cytokinetics has developed CK-2127107
191 (CK-107), a novel skeletal muscle troponin activator which in preclinical models of spinal
192 muscular atrophy, has demonstrated increases in submaximal skeletal muscle force in
193 response to neuronal input and delays in the onset and reductions in the degree of muscle
194 fatigue. ⁽²³⁾

195 A Phase 2, Double-Blind, Randomized, Placebo-Controlled, Study of CK-2127107 in Two
196 Ascending Dose Cohorts of ambulant and non-ambulant Patients With SMA type II, III and
197 IV is currently recruiting patients in the US and Canada. (NCT02644668)

198

199 Albuterol. Albuterol is a beta-adrenergic agonist that is recognized to have a positive anabolic
200 effect in healthy individuals. This property has been evaluated in a pilot study on SMA type II
201 and III patients that showed a significant improvement of myometry, FVC and DEXA scores
202 at 6 months evaluation. ⁽²⁴⁾ A following open label pilot study using oral salbutamol, which is
203 a form of albuterol, showed an improvement of the functional scores at the Hammersmith
204 Functional Motor Scale (HFMS) after 6 and 12 months of treatment. ⁽²⁵⁾ In-vitro studies have
205 also shown that salbutamol can unexpectedly increase the ratio of full length to truncated
206 SMN mRNA, SMN protein and gem numbers by promoting the exon 7 inclusion and this
207 effect was found to be directly proportional to the *SMN2* gene copy number. ^(26, 27)

208

209 Stem cells. One of the goals of transplanted stem cells is to support endogenous motor
210 neurons through the delivery of neuroprotective agents and, ideally, to also partially restore
211 neuronal and non-neuronal cells. ⁽²⁸⁻³⁰⁾ Neural stem cells obtained from the spinal cord
212 administered intrathecally to SMA mice showed appropriate migration into the parenchyma
213 and the capability to generate a small proportion of motor neurons. These treated mice
214 exhibited improved motor unit and neuromuscular function and showed a 38% increase in
215 life expectancy. ⁽³¹⁾

216 Despite the positive results of neural stem cell transplantation in mice, its translational value
217 in human is unclear. Alternative protocols, which include the use of embryonic stem cells or
218 induced pluripotent stem cells for transplantation, have been tried in animal models. These
219 cells have the ability to differentiate in vitro and in vivo into neural stem cells and motor

220 neurons. ⁽³²⁻³⁴⁾ Immune-suppression therapy may be necessary for this strategy to be
221 successful.

222 The findings of improved SMA phenotype in mice following the intrathecal transplantation of
223 embryonic stem cell-derived neural stem cells included proper migration to target tissue in
224 the spinal cord, neuroprotective function, and a 58% increase in lifespan. ⁽³⁵⁾

225 A protocol to test neuronal stem cells in SMA patients is currently on hold by the FDA,
226 however there are no imminent clinical trials expected in humans. ⁽³⁶⁾

227 Similarly, a controversial approach of allogenic mesenchymal cell transplantation,
228 administered intravenously and intrathecally, initiated by a private enterprise in Italy, was
229 interrupted in 2014 by a panel of experts appointed by the Italian Ministry of Health due to
230 both lack of proven efficacy and serious concerns on the quality of the proposed drug as the
231 mesenchymal cells given to patients were not grown under the approved EU strict set of
232 quality control standards.

233 While the SMA research field is rapidly expanding with all the above therapeutic
234 opportunities, and the outcome of the recently concluded phase 3 trials of Spinraza are
235 extremely encouraging, nevertheless, there are still several questions that remain unsolved. A
236 question is whether there is a defect of motor neurons development, a progressive loss of
237 motor neurons or both. The timing for optimal intervention for all these approaches is not
238 clear in the human, and in particular at which point there is irreversible pathology that
239 precludes any meaningful therapeutic response in the various subtypes of SMA. Indeed,
240 while a precise relationship between timing of the therapeutic intervention and response has
241 been identified in several studies in the SMA mouse model, the equivalent information in the
242 human is currently not available. Nor is it clear if clinical responses to these therapies will be
243 sustained over time, especially in the growing child. In addition, animal models and limited
244 but instructive patients case-reports have provided evidence that SMA pathology is not

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245 restricted to motor neurons, but rather is a composite of pathology involving also skeletal
246 muscle, neuromuscular junctions, interneurons and sensory-motor neurotransmission. ⁽³⁷⁻⁴²⁾
247 Systemic organ dysfunction or structural changes have been described in the most severe end
248 of the SMA spectrum. It remains uncertain whether treatments that target motor neurons and
249 not systemic tissues will lead to the development of multi-organ system dysfunction over
250 time. Questions like “when, how, and which cell types should be targeted?” remain still
251 critical to design innovative therapeutic strategies, and in particular the potential for a
252 therapeutic advantage when targeting both the peripheral tissues and the CNS versus
253 targeting exclusively the CNS needs to be demonstrated. Considering the therapeutic tools
254 under development, it is likely that the answer to these questions will come from the studies
255 in patients in the years to come.

256

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263

264 Conflict of interests.

265 FM is involved as principal investigator in the following clinical trials: nusinersen (SHINE,
266 sponsored by Ionis and Biogen); olesoxime (OLEOS, sponsored by Roche). He has
267 participated in scientific advisory board activities for Roche; Biogen and Avexis, and is also a

268 member of the Pfizer rare disease scientific advisory board. MS is involved as sub-
269 investigator in SHINE clinical trial and is principal investigator in OLEOS clinical trial.

270 RF is involved as principal investigator in the following SMA clinical trials:
271 nusinersen (CS3A, ENDEAR, CHERISH, NURTURE and SHINE, sponsored by Ionis and
272 Biogen) and CK-2127107 (CY 5021 study, sponsored by Cytokinetics and Astellas). He has
273 participated in scientific advisory board activities for Ionis, Biogen, Roche, Novartis and
274 AveXis; has served on the DSMB for the Roche RG7800 and AveXis AVXS-101 phase 1
275 study; and has served as an advisor to CureSMA (US), the SMA Foundation (US), SMA
276 REACH (UK) and SMA Europe.

277 EM is involved as principal investigator in the following clinical trials: nusinersen (SHINE,
278 sponsored by Ionis and Biogen); olesoxime (OLEOS, sponsored by Roche). He has
279 participated in scientific advisory board activities for Ionis, Roche; Biogen and Avexis,

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