

# Copy number variations in esophageal squamous cell carcinoma: Emerging cancer drivers and biomarkers (Review)

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**Abstract.** The morbidity and mortality of esophageal squamous cell carcinoma (ESCC) remains high in China. ESCC is significantly influenced by a complex interplay of environmental and genetic factors. Copy number variations (CNVs) are a major form of genome-scale changes in ESCC and are closely related to tumorigenesis and development. Genome-wide detection and analysis allow the identification of important CNV-affected genes with potential clinical applications. In both coding and non-coding regions, CNVs have been identified frequently in certain segments of chromosomes. CNV-impacted genes have crucial roles in multiple cellular processes, including proliferation, apoptosis, metastasis, and metabolic pathways. More importantly, they may serve as potential therapeutic targets for patients with ESCC. Therefore, studying the role of CNVs in ESCC is helpful to explore the pathogenesis of ESCC and to find effective treatment targets, which have profound implications for the diagnosis and therapy of ESCC.

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## 1. Introduction

Esophageal cancer is a common digestive tract cancer worldwide and ranks seventh in morbidity and sixth in mortality rates among all cancer types. Approximately 604,000 new cases were recorded in 2020 worldwide (1). According to differences in histopathology, esophageal cancer can be divided into two subtypes: Esophageal adenocarcinoma (EAC) and esophageal squamous cell carcinoma (ESCC). ESCC is the most common type of esophageal cancer worldwide, which is primarily distributed in the Asian esophageal cancer belt, including Japan, northern China, Iran, and parts of Africa (2). With a 5-year survival rate ranging from 15 to 25% in China, there is an urgent need to improve patient survival by improving early diagnosis and treatment (3). Therefore, it is vital to study the pathogenesis of ESCC, to identify prognostic markers and effective drugs for patients.

To date, several genome-wide profiles of ESCC have been performed by whole genome, exome, and targeted sequencing. Compared with EAC, the copy number variations (CNVs) landscape of ESCC is more akin to that of other types of squamous carcinomas, such as head and neck squamous cell carcinoma (HNSCC) and cervical squamous cell carcinoma (CESC) (4-6). In addition to well-established cancer genes (*EGFR*, *CDKN2A/2B*, *CCND1*), researchers have also revealed that other genes (*CBX4*, *ZNF750*, *CDCA7*, *FAM84B*) may play important roles in ESCC (7-10). Moreover, generous focal CNV segments (amplifications and deletions) have been identified. Certain gene signatures in these segments can lead to metastasis or poor prognosis (11). Integrated gene enrichment analysis of somatic mutations and CNVs has found pivotal cancer pathways involved in ESCC progression, including the receptor tyrosine kinase (RTK)-Ras-PI3K, JAK-STAT, Akt, NOTCH, Wnt, cell cycle, and p53 signaling pathways (6,7,12). All these findings highlight potential therapeutic molecular targets for the management of ESCC (13).

Although certain reports have shed light on specific genes related to the molecular carcinogenic mechanism or targeted treatment of ESCC (6,12), a systematic review concerning CNVs has not been conducted yet to the best of our knowledge. The present review aimed to summarize the implications of CNVs on the formation and progression of ESCC; to describe the identified genes that are amplified or deleted in ESCC; and to discuss their roles as potential biomarkers. A summary of

the present review is presented in Table I. The current review may help to understand the genomic characteristics and variations in ESCC, thus providing a guideline for targeted therapy.

## 2. Mechanisms of formation of CNVs and their effects on gene expression

CNVs are widely distributed across the human genome and refer to the copy number change by deletion, insertion, inversion, translocation, duplication, and other types of chromosomal rearrangements (14). CNVs are generally DNA segments of >1 kb in size, with a mean fragment length of ~2.9 kb (15,16). CNVs are mainly generated by non-allele homologous recombination (NAHR), non-homologous end joining (NHEJ), a DNA replication-based mechanism such as fork stalling and template switching (FoSTeS), and long interspersed nuclear element-1 (L1) retrotransposition (17). NAHR is the principal mechanism for the formation of CNVs (18). DNA is damaged and repaired via a DNA double-stranded break repair mechanism to produce NHEJ following exposure to ionizing radiation or oxidative stress (19,20). In 2007, Lee *et al.* (21) proposed a FoSTeS model to explain the complex CNV rearrangements, which may explain the process of producing more complex and longer CNVs. Retrotransposon is primarily produced by spontaneous transposon L1s (22).

CNVs play a prominent role in tumorigenesis in various cancer types, including breast cancer, ovarian cancer, hepatocellular carcinoma, colorectal cancer, and bladder carcinoma (23-27). Amplified genomic regions are often detected to harbor oncogenes, while tumor suppressor genes are often located in the deleted regions. The molecular mechanisms of pathogenesis primarily include gene dosage, gene disruption and fusion, position effect, and recessive allele mutations (18). The gene dosage effect is characterized by changes in gene expression levels along with the CNVs. Gene breakups and breakpoint fusions are caused by interruptions directly by CNVs, resulting in loss of function or gain of function mutations. The position effect leading to rearrangement regulates distal and proximal gene expression, and affects the translation of adjacent genes (28,29).

## 3. Detection methods for CNVs

In recent years, with the rapid development of sequencing technologies, the methods of detecting CNVs have made notable progress. Common detection methods for CNVs can be primarily divided into two categories: i) Genome-wide detection of unknown CNVs and ii) specific detection of known CNVs. Microarray and sequencing are commonly used to detect genome-unknown CNVs.

Currently, the mainstream approaches for analyzing CNVs are gene sequencing-based methods. Sequencing techniques comprise Sanger DNA sequencing, next-generation sequencing (NGS), and third-generation sequencing (TGS), of which NGS and TGS are commonly used. Whole genome sequencing (WGS), whole exome sequencing (WES), and targeted sequencing (TS) are frequently utilized for CNV detection by NGS or TGS. Each kind of sequencing may be applied to different aspects. WGS is a high-resolution and reliable approach to detect CNVs with greater coverage

and increased accuracy (30,31). Compared to WGS, WES needs less time and is cheaper, but its application is limited. Since exomes account for 1-1.5% of the human genome, WES is a better choice when only detecting coding region copy number changes. TS focuses on select DNA segments that can be used to identify somatic changes (32). In recent decades, NGS has revealed aberrant genes and signaling pathways, and has certain advantages regarding throughput capacity and price. TGS can be used to screen out single molecular genes even without PCR sequencing, and can generate longer and more accurate reads with faster speed (33,34). It can read >15 kb on average, which provides the possibility of obtaining longer sequences and avoids the need for fragment rejoining (35). By TGS, CNV fragment length, and specific sites can be detected more precisely. However, it has some drawbacks such as low throughput, and high cost and error rate.

Chromosome microarrays primarily consist of comparative genomic hybridization and single nucleotide polymorphisms. Candidate-gene screening is generally utilized to identify the CNVs of specific sites. High-throughput gene sequencing, chromosome microarray, and candidate-gene screening can be used for further detection (Fig. 1).

## 4. Affected protein-coding and non-coding CNV genes in ESCC

CNVs are involved in the initiation and development of ESCC (5). CNVs at the chromosomal level were present in 97.9% of patients with ESCC (4). Previous studies, some of them conducted by our group, have identified frequent CNV fragments, including gains at 3q, 5p, 7p, 7q, 8p, 8q, 12p, 14q, 16p, 17p, 18p, 20p, 20q, Xp, and Xq, and losses at 3p, 4p, 4q, 5q, 9p, 10p, 11p, 13q, 18q, 19p, 19q, and 21q (4-8). Certain genes have been identified with copy number changes, including *CCND1*, *CTTN*, *MYEOV*, *EGFR*, *FGFR1*, *ZNF750*, *SOX2*, and *FBXW7*, in ESCC (7,10,36). There are several studies focused on the screening of non-coding RNA, including microRNA (miR)-21, miR-23a, miR-342-3p, miR-483-5p, miR-548d-5p, miR-574-5p, miR-595, miR-766, miR-940, miR-1224-3p, miR-1260, miR-1280, miR-4448, and miR-4707-5p, which are overexpressed with amplifications, while let-7c, miR-139-3p and miR-139-5p are downregulated with losses (37,38). Due to genomic and epigenomic aberrations, several signaling pathways such as disrupted G<sub>1</sub>-S cell cycle and amplified PI3K/Akt/mTOR could be therapeutic targets for further treatment (36,39,40). Our previous study constructed an evolutionary tree of ESCC and found three models of evolution: i) Metastasis-to-metastasis; ii) linear spread; and iii) explosive metastasis models. The majority of amplifications or deletions of driving genes that play critical roles in tumor pathogenesis are trunk variations. Furthermore, cell cycle-regulated genes occur in the early stages of tumor progression in particular (12). Our group found that some local deletions were closely associated with a poor prognosis, including 13q12.11, 13q14.2, 17q25.3, and 22q13.33 (10). As mentioned above, CNVs can be clustered according to different locations at a chromosomal arm level. The following sections summarize important CNVs identified in ESCC (Fig. 2 and Table II).

Table I. Highlights of the article.

Highlights	(Refs.)
The complex formation mechanisms of CNVs including NAHR, NHEJ, FoSTeS, retrotransposon, amongst others.	(17-22)
The diversity of detection methods for CNVs including WGS, WES, TS, chromosome microarrays, amongst others.	(30-35)
The universality of CNVs affected genes including <i>NFE2L2</i> , <i>ZNF750</i> , amongst others.	(41-99)
The potential value of clinical application of CNV events including cetuximab and nimotuzumab in EGFR, Apatinib and Endor in VEGFR, amongst others.	(100-110)

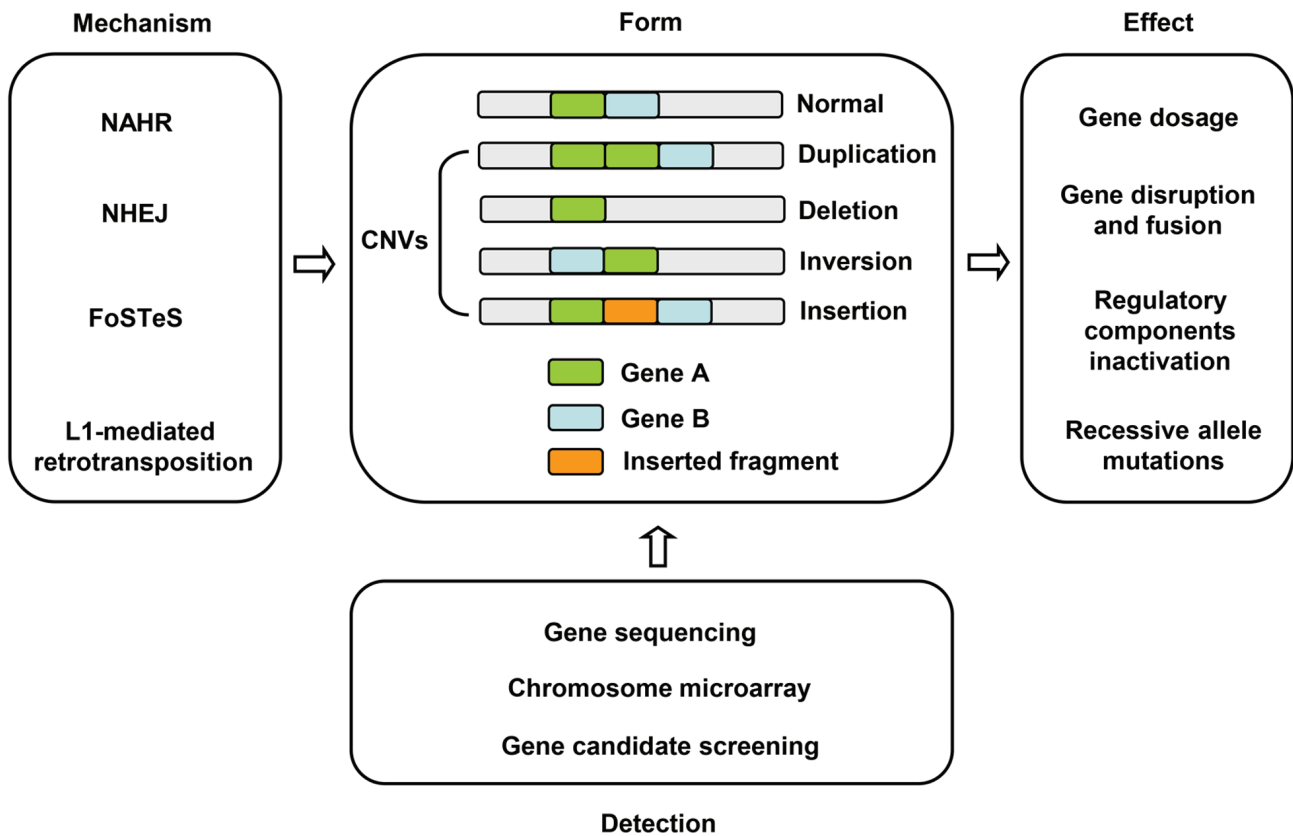


Figure 1. Diagram of the mechanisms, forms, effects, and detection methods of copy number variations.

### Chromosome 1

*1p36.32.* Previous studies on 1p36.32 have demonstrated that CNVs in long non-coding RNA (lncRNA) regions play critical roles in cancer progression. Importantly, certain lncRNAs may serve as prognostic biomarkers for clinical diagnosis. For example, lncRNA *TP73-AS1* is located in 1p36.32 and is upregulated in ESCC, promoting proliferation and suppressing apoptosis. *TP73-AS1* enhances the sensitivity of ESCC to cisplatin and 5-fluorouracil. In clinical samples, *TP73-AS1* is associated with TNM staging and tumor localization of ESCC, but not with sex, age, lymphatic metastasis, or differentiation. Increased copy numbers of *TP73-AS1* were found in early-stage ESCC, whereas decreased expression of *TP73-AS1* was found in advanced TNM stages (41).

*1q32.1.* Situated on chromosome 1q32.1, *AGPG* is identified as a metabolic lncRNA. According to Liu *et al* (42), the copy number of *AGPG* in ESCC cell lines was increased compared with normal cells. As a transcriptional target for

*p53*, *AGPG* plays a crucial role in promoting glycolysis and proliferation via PFKFB3, eventually leading to carcinogenesis. Furthermore, overall survival (OS) analysis revealed that advanced *AGPG* expression was indicative of a poor prognosis for ESCC, showing that it may be a promising target for metabolism-related treatment for ESCC.

### Chromosome 2

*2q31.2.* Large-scale chromosome amplification of the *NFE2L2* gene was commonly found in ESCC samples (43). *NFE2L2* was not only amplified in ESCC but also mutated in patients (10). *NFE2L2* (also known as NRF2) is a transcription factor strongly activated in ESCC. Elevated expression of NRF2 is indicative of a poor outcome, and has been found to be related to metabolism, as well as Notch and PI3K/Akt signaling (44). As an independent prognostic indicator in ESCC, upregulation of the *NRF2* gene is important for lymph node metastasis, postoperative recurrence, and OS (45-47). Inhibitors such as

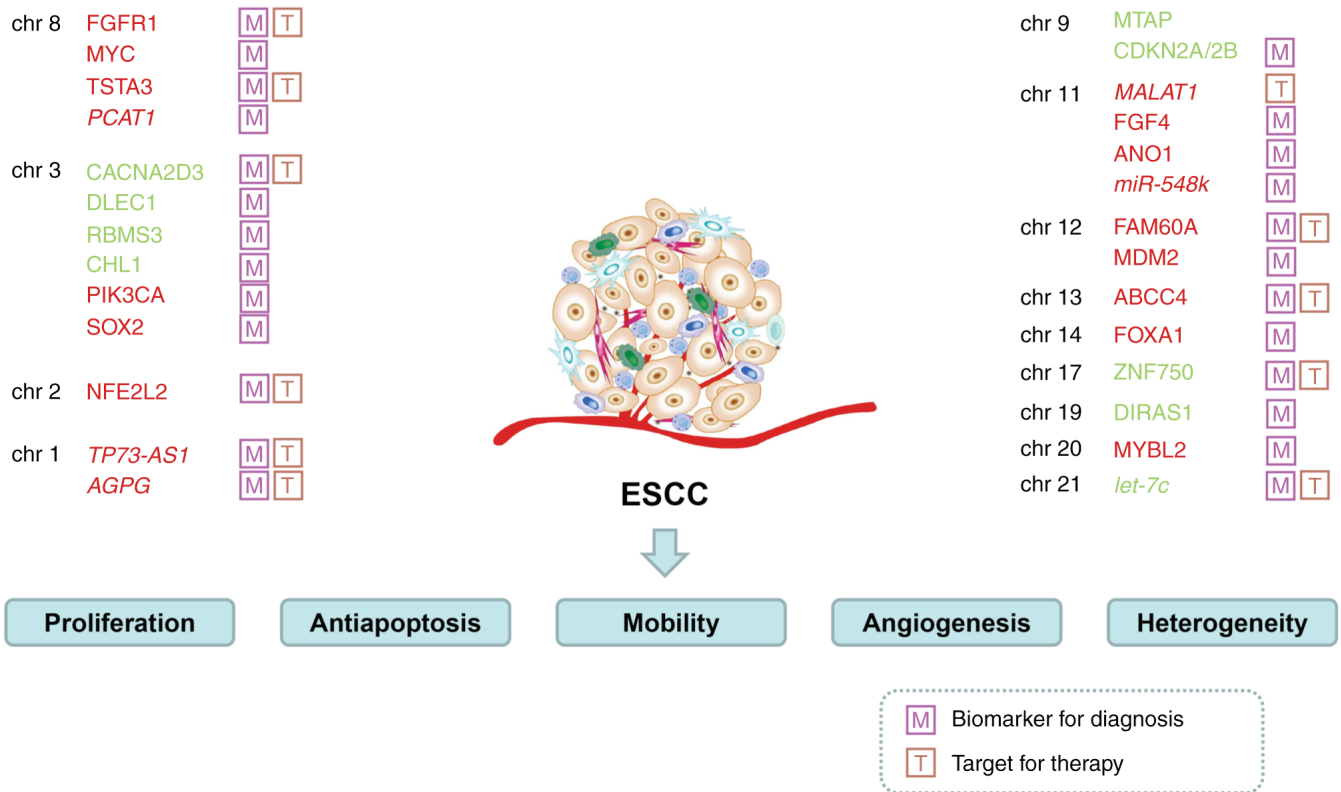


Figure 2. Overview of copy number variation-affected genes during the progression of esophageal squamous cell carcinoma. These genes have a close association with the characteristics of cancer, such as proliferation, anti-apoptosis, mobility, angiogenesis, and heterogeneity. Genes colored red indicate amplification or gain, while those colored green indicate deletion or loss. M, biomarker for diagnosis; T, therapeutic target.

AEM1 and ML385 can block signaling pathways and attack tumors (48,49). NRF2 is associated with chemoradiation; increased expression of NRF2 in the nucleus is predictive of a poor clinical response and shorter progression-free survival after chemoradiotherapy in patients with ESCC.

### Chromosome 3

**3p21-3p26.** *CACNA2D3*, which is located at 3p21.1, is a tumor suppressor gene. Reduced expression of *CACNA2D3* is significantly associated with lymph node metastasis, TNM staging, and a poorer prognosis in patients with ESCC. A functional study showed that *CACNA2D3* inhibited tumorigenesis and cell migration, and induced apoptosis (50). Moreover, *CACNA2D3* enhanced the sensitivity of ESCC to cisplatin by inducing calcium-mediated apoptosis and inhibiting the PI3K/Akt signaling pathway. Thus, regulating *CACNA2D3* expression is a potential novel strategy for improving the effectiveness of cisplatin in patients with ESCC (51). *DLEC1*, which is located at 3p22.2, is frequently downregulated not only in lung and nasopharyngeal carcinoma cell lines, but also in ESCC and other primary tumors. *DLEC1* is continuously expressed in normal tissues and immortalized epithelial cells. However, mutations in the *DLEC1* gene have rarely been detected. Promoter CpG methylation and histone acetylation leads to low expression of *DLEC1*. Promoter CpG methylation of *DLEC1* is frequently detected in ESCC, and is closely associated with lymph node metastasis, tumor recurrence, and progression. *DLEC1* inhibits cell proliferation via cell cycle arrest and metastasis. In addition, it can inhibit cell metastasis

by reversing epithelial-mesenchymal transformation (EMT) and stemness via the STAT3 signaling pathway (52). Decreased expression of *RBMS3* in 3p24 leads to a poorer prognosis in ESCC. Genetic loss of *RBMS3* can effectively reduce the oncogenicity of ESCC tumor cells *in vivo* and *in vitro*. It has been demonstrated that *RBMS3* dysregulates the expression of *MYC* and *CDK4*, thereby inhibiting the phosphorylation of Rb (53). *CHL1*, which is located at 3p26, is another important tumor suppressor gene. The deletion of *CHL1* is associated with poor differentiation, invasion, lymph node metastasis, tumor progression, and a worse OS rate in ESCC. The anti-proliferative and metastatic factor *CHL1* can inhibit cell adhesion via the AKT signaling pathway (54).

**3q26.** The 3q26 segment has been found to be amplified in various tumors such as cervical, ovarian, lung, and head and neck cancer (55). The 3q26 region is notably highly amplified in ESCC, and harbors oncogenes such as *PIK3CA*, *PRKCI*, *MDS1-EVII*, and *SOX2* (56-58). As an oncogene, *PIK3CA* encodes the catalytic subunit p110-kinase of PI3K, which is highly expressed in esophageal cancer and is involved in the PI3K signaling pathway to promote the development of ESCC (57,59). Gene amplification results in overexpression of *PRKCI*. Immunohistochemical analysis using 180 ESCC samples showed that overexpression of *PRKCI* was correlated with lymph node metastasis, while upregulated expression of *PRKCI* was correlated with poor prognosis in ESCC (56). SRY-box transcription factor 2 (*SOX2*) has been evaluated in several studies. For instance, Gen *et al* (60,61) reported the role of *SOX2* as a protooncogene in ESCC. The change in

Table II. Copy number variations associated with esophageal squamous cell carcinoma.

Chromosome Location	Associated genes	Variation type	Frequency (%)	Function	Mechanisms	Clinical implications	(Refs.)
1p36.32	<i>TP73-AS1</i>	Gain	2.1	Oncogene	Promote proliferation, suppress apoptosis, and increase the chemical sensitivity to cisplatin and 5-FU	An independent prognostic biomarker and a potential therapeutic target	(41)
1q32.1	<i>AGPG</i>	Gain	1.1	Oncogene	Promote glycolysis and proliferation	A promising target for metabolism-related treatment	(42)
2q31.2	<i>NFE2L2</i>	Gain	14.3	Oncogene	Associate with metabolic pathways, Notch signaling pathway and PI3K/Akt signaling pathway	A predictive marker used in chemoradiotherapy	(44-49)
3p21.1	<i>CACNA2D3</i>	Loss	9	Suppressor gene	Inhibit tumorigenesis, mobility, induce apoptosis and enhance the chemical sensitivity to cisplatin	A potential target when combined with cisplatin	(50,51)
3p22.2	<i>DLEC1</i>	Loss	40.2	Suppressor gene	Inhibit cell cycle and metastasis, inhibit JAK/STAT3, MAPK/ERK, Wnt/ $\beta$ -catenin and AKT pathways	DLEC1 methylation as a biomarker in ESCC	(52)
3p26	<i>RBMS3</i>	Loss	61	Suppressor gene	Reduce the tumorigenicity of ESCC tumor cells	A novel therapeutic target	(53)
3p26	<i>CHLI</i>	Loss	41	Suppressor gene	Anti-proliferation, anti-metastasis. Inhibit AKT signaling pathway involved in cell adhesion	Unknown	(54)
3q26	<i>PIK3CA</i>	Gain	29	Oncogene	Involve in PI3K signaling pathway to promote ESCC	A predictive marker	(57,59)
8p11	<i>SOX2</i>	Gain	28	Oncogene	Activate HIF-1 $\alpha$ /STAT3 signaling pathway and promote metastasis	Indicative of a poor prognosis	(60-63)
8q24	<i>FGFR1</i>	Gain	9	Oncogene	Activate MEK-ERK signaling pathway	A potential therapeutic target	(13,36,64-67)
8q24	<i>MYC</i>	Gain	43	Oncogene	Involve in TLR7/NF- $\kappa$ B, PI3K/AKT and other signaling pathways	An independent prognostic factor	(11,68-71)
9p21.3	<i>TSTA3</i>	Gain	13	Oncogene	Promote metastasis by regulating fucosylation of LAMP2 and ERBB2	An independent indicator of poor prognosis	(72,73)
9p21.3	<i>PCAT1</i>	Gain	18	Oncogene	Sponge miR-326 as a ceRNA	A non-invasive biomarker	(38,114)
9p21.3	<i>MTAP</i>	Loss	28	Suppressor gene	Induce EMT through the GSK3 $\beta$ /Slug/E-cadherin signal axis	Unknown	(74)
11q13	<i>CDKN2A2B</i>	Loss	63/56	Suppressor gene	Deregulate G1 phase during the cell cycle	A marker of sensitivity to CDK4/6 inhibitors	(8,75-77)
11q13	<i>MALAT1</i>	Gain	22.2	Oncogene	Inhibit the effect of radiotherapy	A potential target in radiotherapy	(115,116)
11q13	<i>FGF4</i>	Gain	54	Oncogene	Unknown	An independent prognostic factor	(80)

Table II. Continued.

Chromosome location	Associated genes	Variation type	Frequency (%)	Function	Mechanisms	Clinical implications	(Refs.)
	<i>ANO1</i>	Gain	57	Oncogene	Promote proliferation, invasion and migration	A predictive marker	(37,81,82)
	<i>mir-548k</i>	Gain	57	Oncogene	Facilitate lymphatic metastasis and regulate microenvironment through the secretion of VEGFC	A predictive marker in early diagnosis	(6,83)
12q11.21	<i>FAM60A</i>	Gain	9	Oncogene	Regulates cell cycle, promote cell proliferation, and inhibit apoptosis	A therapeutic target	(84)
12q15	<i>MDM2</i>	Gain	5	Oncogene	Promote cell proliferation and inhibit apoptosis	A predictive marker used in radiochemotherapy	(85-88)
13q32.1	<i>ABCC4</i>	Gain	14.8	Oncogene	Promote the proliferation and activate oncogenic pathways	A predictive marker and therapeutic target	(89)
14q21.1	<i>FOXAI</i>	Gain	8.3	Oncogene	Promote invasion and migration	A predictive marker	(90-92)
17q25.3	<i>ZNF750</i>	Loss	14	Suppressor gene	Inhibit tumor proliferation, invasion, migration and angiogenesis	A novel therapeutic target	(93,94)
19p13.3	<i>DIRAS1</i>	Loss	59.3	Suppressor gene	Promote cell apoptosis and inhibit invasion	A predictive marker	(98)
20q13.12	<i>MYBL2</i>	Gain	51.4	Oncogene	Induce ESCC cell proliferation and regulate cell cycle	An independent indicator of poor prognosis	(38,99)

copy number of SOX2 was positively correlated with SOX2 expression levels (62). SOX2 promotes ESCC and leads to a poorer prognosis in ESCC. High expression of SOX2 is related to differentiation in ESCC (60). By regulating Slug, SOX2 activates the HIF-1 $\alpha$ /STAT3 signaling pathway and promotes metastasis in ESCC (63). These aforementioned studies suggest that 3q26 is a vital region for the tumorigenesis of ESCC.

#### Chromosome 8

**8p11.** The *FGFR1* gene, which is situated in 8p11, is significantly amplified in ESCC (36). Patients with high *FGFR1* expression typically have a short disease-free survival. *FGFR1* is an independent predictor of prognosis (64). In other solid tumors, *FGFR1* amplification can be used as a hallmark for the prediction of the effectiveness of targeted inhibitors and therefore may similarly act as a promising therapeutic target in ESCC (36). By analyzing >500 cancer cell lines, it was suggested that gains of *FGFR1* may be the most effective marker for determining the sensitivity of *FGFR1* inhibitors (65). Previous *in vitro* experiments demonstrated that PD173074 prevented cell viability and blocked the MEK-ERK signaling pathway. Anti-*FGFR1* drugs such as PD173074 may be used to inhibit ESCC growth, which may be applied in targeted therapies in the future (64,66). The *FGFR1* inhibitor AZD4547 can enhance the sensitivity of ESCC cells to gefitinib (67). The results of multiple clinical trials indicated that the small-molecular inhibitor of *FGFR1*, dovitinib, exhibited good efficacy in ESCC (13).

**8q24.** The 8q24 chromosomal region contains the *MYC* gene. Amplification of the *MYC* gene is indicative of a poorer prognosis and is an independent prognostic factor. In the majority of clinical cases of ESCC, *MYC* was closely associated with clinical stage, degree of histological differentiation, lymph node metastasis, and invasive depth of ESCC (11,68). *MYC* can affect the development of ESCC through multiple signaling pathways such as the TLR7/NF- $\kappa$ B and PI3K/AKT signaling pathways (69-71). Furthermore, GDP-L-fucose synthase (TSTA3) was focally amplified in this region and was significantly associated with poor outcomes of patients with ESCC according to our previous study (72). TSTA3 may act as a driver gene during metastasis by regulating the fucosylation of LAMP2 and ERBB2. Thus, fucosylation inhibitors may be applied to suppress ESCC metastasis (72,73).

#### Chromosome 9

**9p21.3.** 9p21.3 is the most frequently deleted region in ESCC. In 9p21.3, the *MTAP* gene is adjacent to *CDKN2A/2B*, which is a tumor suppressor gene. *MTAP* induces EMT through the GSK3 $\beta$ /Slug/E-cadherin signaling axis to promote ESCC metastasis (74). The loss of *CDKN2A/2B* occurs frequently, and is closely associated with lymph node metastasis and poor prognosis in ESCC (8,75). Deficiency of *CDKN2A/2B* is a marker of sensitivity to CDK4/6 inhibitors, which deregulates the G<sub>1</sub> phase of the cell cycle in ESCC (76,77). The 9p region often shows a loss of heterozygosity.

#### Chromosome 11

**11q13.2-11q13.4.** The 11q13.2-11q13.4 region is frequently amplified in ESCC and other various tumors, such as HNSCC and breast cancer (78,79). Amplification of 11q13.3 indicates

poor outcomes in patients with ESCC (10). The 11q13.2-11q13.4 segment contains 'FGFs-FADD-SHANK2'. Moreover, the *MYEOV*, *CCND1*, *CPTIA*, *CTTN*, *PPFIA*, *FADD*, *TMEM16*, and *CTTS* genes are also located in this region. FGFs include FGF3, FGF4, and FGF19. Upregulated expression of SHANK2 contributes to a poor prognosis of ESCC (38). *FGF4* gene amplification is associated with clinical stages and can be used to predict 5-year survival and recurrence rates. Serving as an independent prognostic factor, FGF4 upregulation is indicative of a shorter OS and disease-free survival (80). The *ANO1* gene, also known as *TMEM16A* or *DOG1*, encoding the Ca<sup>2+</sup>-activated Cl<sup>-</sup> channel protein, is an oncogene that can facilitate cell proliferation, invasion, and migration. Upregulated *ANO1* expression is associated with a poor prognosis, and is significantly associated with lymphatic metastasis and advanced TNM stages. Immunohistochemical experiments demonstrated that *ANO1* was upregulated in tumor specimens from patients with ESCC (37). Previous *in vivo* and *in vitro* studies demonstrated that the downregulation of *ANO1* via the TGF- $\beta$  signaling pathway could significantly inhibit the carcinogenesis of ESCC (81). *ANO1* may thus be used as a biomarker for ESCC (82).

miR-548k has been identified as an oncogene that is present in the 11q13.3-13.4 amplicon, which induces malignant phenotypes of ESCC (6). In addition, miR-548k notably facilitated lymphatic metastasis and regulated the microenvironment through increased secretion of VEGFC. miR-548k and VEGFC may thus have potential as biomarkers for the early diagnosis of their clinical features in serum detection, and may thus serve as novel targets for the prognostic prediction of ESCC (83).

#### Chromosome 12

**12q11.21.** *FAM60A* is also known as SIN3-HDAC Complex Associated Factor. Gains of copy numbers lead to the upregulation of *FAM60A* in ESCC. Thus, as a driver gene of ESCC, it may be a clinical target. *FAM60A* is upregulated in tumor tissues of ESCC, and is closely associated with tumor size, lymph node metastasis, and TNM staging. Knockdown of the *FAM60A* gene can repress *FAM60A* expression, arrest cell cycle events at the G<sub>2</sub>/M phase, reduce the proportion of G<sub>1</sub> phase cells, inhibit cell proliferation, and promote apoptosis. *FAM60A* contributes to metastasis of ESCC, and is predictive of a poor outcome (84).

**12q15.** *MDM2* is located on 12q15, and exhibits gains in 9% of ESCC cases. In a previous study, *MDM2* gene amplification notably influenced overall prognosis and led to a shorter survival time (85). *MDM2* could promote cell proliferation and apoptosis resistance (86). *MDM2* negatively regulates p53 protein activity and plays a vital role in p53-mediated apoptosis, aging, and cell cycle arrest. Nutlin-3, an antagonist of *MDM2*, stabilizes p53 and increases p53 expression in wild-type p53 cells. Radiotherapy combined with Nutlin-3 can notably inhibit wild-type p53 cells and enhance sensitivity to radiotherapy (87). *MDM2* can also be used as a predictor of chemoresistance in ESCC phase III (88).

#### Chromosome 13

**13q32.1.** Gains of the *ABCC4* gene were found in ESCC. Decreased expression of *ABCC4* can result in reduced activity

of COX-2, the PGE2 receptor, and MYC, therefore inhibiting the activity and proliferation of ESCC cells. High expression of ABCC4 indicates poor prognosis. ABCC4 activates oncogenic pathways, thereby promoting carcinogenesis in ESCC. ABCC4 may thus have predictive and therapeutic value for the management of ESCC (89).

#### Chromosome 14

*14q21.1*. The *FOXA1* gene, also known as *HNF3A*, is located in a frequently amplified region and functions as a DNA-binding transcription factor (90). FOXA1 expression is correlated with differentiation, vascular invasion, lymphatic metastasis, and subtyping (91). Knockdown of the *FOXA1* gene markedly reduced invasion and migration in ESCC (91). Accordingly, FOXA1 is predictive of a poor prognosis in patients with ESCC (92).

#### Chromosome 17

*17q25.3*. The *ZNF750* gene is focally deleted in ESCC (93). Decreased *ZNF750* gene expression promotes tumor proliferation, invasion, migration, and angiogenesis (93,94). ZNF750 directly binds to the promoter of *SNAI1* to suppress EMT in ESCC (94). Deletions of *ZNF750* indicate advanced malignancy and a poor clinical outcome, which highlights its potential as a therapeutic target for the management of ESCC.

#### Chromosome 19

*19p13.3*. Deletion of 19p is quite common in lung cancer, ovarian cancer, and ESCC (95-97). The Ras-like small GTPase *DIRAS1* at 19p13.3 is a tumor suppressor gene. DNA copy number loss leads to downregulation of *DIRAS1*, while reduced expression of *DIRAS1* contributes to metastasis, and poor outcomes in patients with ESCC. *DIRAS1* can promote cell apoptosis via dephosphorylating Bad via the ERK1/2 and p38 MAPK signaling pathways, while inhibiting invasion by regulating MMP2 and MMP9 (98).

#### Chromosome 20

*20q13.12*. With tandem amplified somatic CNVs, the *MYBL2* gene is upregulated in tumor tissue with copy number gains, which indicates a poorer prognosis (38,99). As a nuclear protein, *MYBL2* overexpression can induce cell proliferation, as well as regulate the cell cycle during the S and G<sub>2</sub>/M phases in ESCC (99). Deletion of *MYBL2* reduced the levels of the cell cycle-related proteins CDK1 and cyclin B1 in ESCC cells. Knockdown of *MYBL2* also inhibited ESCC cell proliferation and migration (38).

### 5. CNVs with clinical application in ESCC

Research on CNVs aims to identify candidate genes and provide clues for the development of effective ESCC clinical treatment. To date, copy number variant genes that have been used in clinical targeted therapy of ESCC include EGFR and VEGFR. Mapped on chromosome 7p11.2, amplified EGFR belongs to the ErbB family of RTKs, and can transfer the downstream signal to the RAS-RAF-MEK-ERK-MAPK and PI3K-AKT-mTOR pathways (100). With an amplification rate of 24.3%, excessive activation of EGFR leads to cell proliferation, invasion, metastasis and poor prognosis in ESCC (6,101). As a well-known valid target for various tumors, EGFR is

considered to have potential in ESCC treatment. Thus far, several drugs have been applied to block EGFR signaling such as the monoclonal antibodies cetuximab and nimotuzumab, and the small molecular inhibitor gefitinib. Combination of cetuximab with other adjuvant therapies such as chemotherapeutic drugs and radiotherapy has been shown to exert a remarkable effect on reducing ESCC progression (102). However, the adverse effects need to be taken into consideration. Nimotuzumab exhibits low toxicity, and may thus be a promising treatment strategy for advanced or metastatic ESCC (103). In addition to EGFR, VEGFR also performs well as an effective therapeutic target. VEGFR binds to VEGF to form the VEGF/VEGFR complex and trigger the PI3K/AKT and MAPK/ERK signaling pathways (104). Apatinib and Endor, two anticarcinogens independently developed by Chinese scientists that target the VEGF/VEGFR axis, have been evaluated in clinical trials and may become novel drugs for patients with ESCC (105-107).

Another target, HER-2, has been used for various tumors, particularly breast cancer (108). HER-2 may have potential for the treatment of esophageal cancer as well. In a clinical phase III trial, patients with advanced esophageal adenocarcinoma received combined treatment of the HER-2 specific inhibitor lapatinib and CapeOx; OS reached 12.2 months compared with that of the untreated group (10.5 months), showing a distinct curative effect in esophageal adenocarcinoma (109). At present, clinical evaluation of lapatinib is still required in ESCC. In addition to the utilization of copy number variant genes for targeted therapy, they may also be used for chemoradiotherapy. The MYC locus is highly amplified with a rate of 43% and is expressed throughout the entire process of chemoradiotherapy, which may facilitate an increase in resistance (4). Furthermore, a focal copy-number increase in MYC is markedly associated with a reduced survival rate (110). With an increased understanding of ESCC, additional targets are expected to be identified in the future.

### 6. Conclusions and future prospectives

CNVs play crucial roles in ESCC occurrence and development by altering numerous protein-coding genes. Future studies should focus on identifying the emerging functions of non-coding RNAs [including miRNAs, lncRNAs, and circular RNAs (circRNAs)] in copy number aberrations, since protein-coding sequences constitute only 2% of the total genome sequence, while the remaining 98% corresponds to non-coding sequences. However, the function of non-coding RNA has not yet been fully elucidated with regard to CNVs.

The expression of lncRNAs is more specific, particularly in cells, tissues, and during the developmental stages, and in diseased tissues (111,112). Compared with linear RNA, circRNAs are more stable, abundant, and better conserved. Thus, they may serve as a potential target. For instance, lower expression of deleted miRNA *let-7c* is correlated with a poorer prognosis and reaction to chemotherapy, and it may be used to predict clinical effects. *In vitro*, *let-7c* suppresses the IL6/STAT3 signaling pathway after cisplatin exposure. In short, *let-7c* is a therapeutic target for ESCC and is deserved of further research and exploitation for the management of cancer (37,113). Amplified lncRNA *PCAT1* acts as an

oncogene and sponges miR-326 as a competing endogenous RNA. *PCAT1* was notably detected in exosomes secreted by ESCC cells, highlighting its potential as a non-invasive biomarker for patients with cancer (38,114). Overexpression of the lncRNA *MALAT1* may result from frequent amplification of 11q13.1 in ESCC (115). *MALAT1* inhibits the effect of radiotherapy partly due to enhanced CksI expression. These results demonstrate that *MALAT1*-targeted therapy may be feasible for improving the effectiveness of radiotherapy (116). Though promising, non-coding RNA-based therapies remain in an early stage of development and need further validation in confirmatory clinical trials. Numerous studies have been conducted to investigate ESCC; however, ESCC still lacks efficient marker genes for diagnosis and subtyping, unlike *HER2* in breast cancer, and *EGFR* and *ROS* in lung cancer.

Tumors are comprised of not only cancer cells but also various stromal cells, which form the microenvironment the tumor is situated in, and this contributes to cell proliferation, drug resistance, invasion, migration, and the poor outcomes of clinical treatment (117,118). In addition, intra-tumor heterogeneity may lead to differences in the therapeutic efficacy when treating malignant tumors (119). However, the heterogeneity and tumor components of ESCC have not been clearly elucidated yet. Although admixed samples of diverse cell types have been analyzed by second-generation or TGS, heterogeneity was not noticeably detected (120). Single-cell sequencing offers the possibility of exploring genuine cellular and molecular components during tumorigenesis (121). Tumor cells showed higher CNV levels compared with normal epidermal cells in ESCC analyzed at the single-cell level, which exhibited remarkable heterogeneity (122). However, further research is needed to explore the microenvironment of ESCC and to identify more effective targets for tumor therapy.

In conclusion, this review comprehensively summarized the CNV events and CNV-affected genes in ESCC, which contributed to a deeper understanding of the molecular mechanisms underlying the occurrence, development, recurrence, and metastasis of ESCC. Improving our understanding of CNVs in ESCC will be valuable for identifying biomarkers for early diagnosis and molecular typing, as well as prognostic markers, and novel therapeutic targets for the management of ESCC.

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#### Availability of data and materials

Not applicable.

#### Authors' contributions

JR prepared the manuscript. LZ conceived the subject of review. PK, YW, and DG reviewed and edited the manuscript. Data authentication is not applicable. All authors have read and approved the final manuscript.

#### Patient consent for publication

Not applicable.

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#### Competing interests

The authors declare that they have no competing interests.

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