

**TITLE:** Molecular Diagnostics and *In Utero* Therapeutics for Orofacial Clefts

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## ***Abstract***

Orofacial clefts and their management impose a substantial burden on patients, on their families, and on the health system. Under the current standard of care, affected patients are subjected to a life-long journey of corrective surgeries and multidisciplinary management to replace bone and soft tissues, restore esthetics and physiologic functions while restoring self-esteem and psychological health. Hence, a better understanding of the dynamic interplay of molecular signaling pathways at critical phases of palate development is necessary in order to pioneer novel prenatal interventions. Such pathways include transforming growth factor-beta (*Tgfb*), sonic hedgehog (*Shh*), wingless-integrated site (*Wnt*)/ $\beta$ -catenin, bone morphogenetic protein (*Bmp*), fibroblast growth factor (*Fgf*) and its associated receptors, among others. Here, we summarize commonly used surgical methods used to correct cleft defects postnatally. We also review the advances made in prenatal diagnostics of clefts through imaging and genomics and the various *in utero* surgical corrections that have been attempted thus far. An overview of how key mediators of signaling that drive palatogenesis is emphasized in the context of the framework and rationale for the development and testing of therapeutics in animal model systems as well as in humans is provided. The pros and cons of *in utero* therapies that can potentially restore molecular homeostasis needed for the proper growth and fusion of palatal shelves are presented. The theme advanced throughout this review is the need to develop pre-clinical molecular therapies that could ultimately be translated into human trials that can correct orofacial clefts at earlier stages of development.

1 ***Introduction***

2 Orofacial clefts (OFCs) are the most common craniofacial birth defect in humans, arising early  
3 in pregnancy after a disruption or failure in the growth and fusion of craniofacial tissues. The  
4 most common OFCs are clefts of the lip alone (CL), cleft lip with palate (CLP) or cleft palate  
5 (CP) (Leslie and Marazita 2013). Multiple genes and environmental factors contribute to this  
6 group of complex disorders that present as isolated/non-syndromic defects or those that involve  
7 other organ systems as part of a syndrome. Non-syndromic clefts of the lip and/or palate (CL/P)  
8 show a distribution of prevalence across ethnic and geographic groups, with rates ranging from  
9 1:500 to 1:2500 live human births. Since embryological origins are different for the upper lip and  
10 secondary palate, CL and CLP are viewed as variants of the same defect that differ in severity  
11 (Marazita 2012).

12  
13 One-third of OFCs are part of syndromes, including DiGeorge, Van der Woude and Treacher-  
14 Collins syndromes, as well as the Pierre Robin sequence (Pereira et al. 2018). Among the known  
15 environmental associations are maternal smoking or passive smoke exposure (Sabbagh et al.  
16 2015), viral infection (James et al. 2014), phenytoin and other anti-epileptic medication use  
17 (Veroniki et al. 2017), isotretinoin (Lammer et al. 1985) and deficiencies of zinc, folic acid and  
18 other micronutrients (Wehby and Murray 2010). A maternal history of diabetes mellitus,  
19 overweight and obesity, advanced maternal and/or paternal age and parental consanguinity have  
20 also been identified as factors that contribute to cleft development (Sabbagh et al. 2014).  
21 However, current evidence does not support the speculation that fetal exposure to alcohol early  
22 in development may be implicated in OFCs (Bell et al. 2014). The genetic origin of OFCs is  
23 supported by familial studies that show a 32-fold higher risk in the proband if first-degree

24 relatives are affected by CL/P (Sivertsen et al. 2008). Furthermore, genome-wide association  
25 studies (GWAS) have identified a range of DNA variants influencing the risk of OFCs (Leslie  
26 and Marazita 2013). Next-generation sequencing has allowed for the rapid discovery of cleft-  
27 associated genes for cases that are extremely rare, clinically heterogeneous or lack a strong  
28 family history (Weinberg et al. 2018). The recent use of a “cleft map” allowed the dissection and  
29 visualization of the contribution of shared genetic effects to phenotypic heterogeneity of OFCs  
30 and revealed that CL and CLP share GWAS loci (Carlson et al. 2019).

### 31 32 *Postnatal Surgical Correction of Cleft Palate Defects*

33  
34 The current standard-of-care for patients affected by craniofacial cleft anomalies includes  
35 postnatal surgical interventions that are based upon a timeline that coincides with midfacial  
36 growth and development. A variety of well-established CL and palatoplasty techniques are  
37 available and are dictated by the severity of clefting in individuals. CP repair, in general, is  
38 dependent upon the principles of a tension-free and multilayered closure with repositioning of  
39 the velar muscle sling (Dao and Goudy 2016). The consensus for the optimum timing of  
40 intervention falls between 10-12 months of age (Liao and Mars 2006), but most customarily  
41 within 18 months. While closure of the palatal defect will facilitate feeding and speech, the  
42 benefits of early palate repair must be carefully weighed against concerns of negatively affecting  
43 the patient’s midfacial growth (Liao and Mars 2006). A successful repair involves: (1) complete  
44 closure of the oral and nasal layers without fistula formation; (2) velopharyngeal competence  
45 with feeding and speech; (3) minimal impact on mid-facial growth; and (4) improved eustachian  
46 tube function.

47

48 While these initial goals can be achieved through velar muscle repositioning on first intervention,  
49 patients with a deficient or absent bone of the primary palate typically undergo a second surgical  
50 intervention (alveolar bone graft) during or prior to the mixed dentition stage, essential for the  
51 development of proper anatomical relationships of midface structures (Dao and Goudy 2016).  
52 Within the United States, pre- and post-surgical consultations involve a multi-disciplinary panel  
53 of care providers, including otorhinolaryngologists, oral and maxillofacial surgeons, speech  
54 therapists, audiologists, orthodontists, pediatric dental specialists and social workers.

55

### 56 *Prenatal Approaches*

57 **Diagnostic Screening** – At present, both invasive and non-invasive methods exist to collect fetal  
58 material for prenatal screening with a range of diagnostic approaches. For pregnancies arising  
59 from *in vitro* fertilization, it is possible to undertake pre-implantation genetic screening  
60 (Vermeesch et al. 2016). For natural pregnancies, routine invasive approaches involve harvesting  
61 fetal cells by real-time ultrasound-guided transabdominal aspiration of amniotic fluid (i.e.  
62 amniocentesis), typically at 16 weeks of gestation. Alternatively, placental cells (i.e. chorionic  
63 villus sampling (CVS)), retrieved between 10 to 13 weeks of gestation can be used (Ghidini  
64 2019). Since CVS results can be initially reported within 48 hours of testing and final results  
65 from long-term culture available in 7 to 10 days, fetal anomalies may be detected as early as the  
66 eleventh gestational week. In contrast, amniocentesis usually only provides an answer after 17  
67 weeks' gestation (Alfirevic et al. 2017).

68

69 Harvesting cell-free nucleic acids (cfDNA and cfRNA) from maternal blood is a more recent  
70 non-invasive approach to prenatal screening initially introduced to detect common fetal

71 autosomal and sex chromosome aneuploidies, now with the capacity to identify DNA  
72 microdeletions, CNVs and monogenic disorders (Ghidini et al. 2019). This approach has already  
73 been used to diagnose cleft-associated syndromes, such as DiGeorge syndrome (Wapner et al.  
74 2015). Sampling maternal biofluids is advantageous as it obviates the risk of fetal loss that  
75 accompanies invasive sampling of fetal tissue directly (Bianchi 2012). Since a negative result in  
76 cfRNA/DNA analysis has upwards of 99% negative predictive value, there has been a 70%  
77 decrease worldwide in invasive testing, with an associated reduction in costs to the healthcare  
78 system (Ghidini et al. 2019). However, the mixture of fetal and maternal material does confer  
79 additional downstream analytic complexity.

80

81 While karyotyping and microarray-based cytogenic techniques can detect aneuploidy, microarray  
82 is preferred, as it avails additional genetic information (Vermeesch et al. 2016), providing higher  
83 sensitivity and shorter turnaround times than conventional metaphase karyotyping (Bianchi  
84 2012). Recently, next-generation technologies have surpassed chromosomal microarray  
85 techniques for the diagnosis of genetic disease (Clark et al. 2018). Prenatal whole exome  
86 sequencing (WES) assists in the diagnosis of dysmorphic fetuses by identification of single  
87 nucleotide polymorphisms (SNPs) as well as insertion or deletion events (Thevenon et al. 2016).  
88 Cleft detection with fetal-parental-trio WES has recently been linked to enhanced detection of  
89 fetal structural anomalies relative to cytogenetic or microarray techniques (Lord et al. 2019).  
90 However, in recently published protocols, this technique follows ultrasound at approximately 11  
91 weeks of gestation, as it relies on the triangulation of data to predict the pathogenicity of each  
92 molecular variant based on fetal phenotype. Notwithstanding, prenatal molecular diagnoses  
93 derived from similar protocols have arisen almost twice as frequently in fetuses with craniofacial

94 morphological abnormalities (46%) compared to those without (24%) (Normand et al. 2018).  
95 Thus, first-trimester molecular diagnoses may be made possible by advances in imaging  
96 technology that allow morphologic assessment earlier in development. Pertinent also is that some  
97 (Ghidini et al. 2019), but not all, published studies provided real-time molecular diagnoses  
98 during pregnancy. The clinical utility of sequencing modalities will be enhanced by the advent of  
99 more efficient techniques and the refinement of pathology workflows to accelerate the  
100 turnaround time of molecular testing. While studies that have implemented WES have derived  
101 fetal tissue via invasive methods that involve CVS, amniotic fluid or fetal blood, it remains to be  
102 investigated whether less invasive strategies for obtaining fetal tissue could also be employed to  
103 promptly detect dysmorphology in offspring via analysis of genetic aberrations in fetal  
104 cfDNA/RNA. Cell-free fetal transcriptomics may be a useful diagnostic tool in the future, but its  
105 implementation would necessitate the acquisition of reference data for the expression of key  
106 genes across a range of developmental stages and accurate determination of the gestational age.  
107  
108 In addition to exploration of DNA- and RNA-based methodologies, discernment of variation at  
109 the *protein level* may aid in prenatal diagnosis. For decades, alpha-fetoprotein in maternal blood  
110 samples has been routinely used to assist in the detection of developmental anomalies including  
111 Down Syndrome (Cheng et al. 1993) and neural tube defects (Milunsky et al. 1980). Proteomic  
112 approaches have since arisen to better diagnose a range of chromosomal aberrations (Narasimhan  
113 et al. 2013). More recent advances in prenatal diagnostics have involved putative protein  
114 biomarkers to discriminate normal pregnancies from those with congenital heart defects, with  
115 changes in protein levels having been identified from as early as 8 weeks' gestation (Chen et al.  
116 2016). Interestingly, studied cardiac structural anomalies were polygenic in nature, which

117 foreshadows that the diagnosis of clefts with diverse genetic diagnoses may be possible by  
118 appraisal of a handful of biomarkers from known cleft-associated pathways. Conversely, analysis  
119 of these prenatal samples may enable us to glean a deeper understanding of the molecular events  
120 underpinning craniofacial dysmorphogenesis.

121

122 **In Utero Surgical Repair** – Surgical interventions are currently undertaken for a subset of  
123 fetuses diagnosed with congenital anomalies linked to high mortality or severe morbidity if  
124 treatment is delayed. However, there is considerable debate about the practicality and efficacy of  
125 these high-risk approaches. The appeal of prenatal interventions for OFC repair stems from their  
126 promise to definitively restore form and function prior to birth, thereby mitigating the need for  
127 complex postnatal surgical manipulations and multi-disciplinary dental/maxillofacial treatments  
128 that often commit patients to ongoing care into their adult years of life. Significantly, prenatal  
129 surgery can circumvent scarring sequelae associated with postnatal interventions, namely  
130 secondary dentoalveolar and midfacial growth deformities (Moore et al. 2018). The distinct  
131 benefit to intervening surgically *in utero* is the nearly-scarless mechanism of wound healing  
132 prenatally (Longaker et al. 1991; Ozturk et al. 2001). This is particularly advantageous in the  
133 case of OFCs, as the resultant therapy is heavily reliant on the reconstructive, functional and  
134 aesthetic outcome, given the physical and psychological impact of midfacial developmental  
135 anomalies (Wojcicki and Drozdowski 2011). Furthermore, prominent scars form within  
136 integumentary tissues, with underlying fibrous banding and contraction in facial morphology  
137 post-surgically. Some postulate that the less-intense inflammatory response during fetal  
138 development is responsible for scarless mechanisms of fetal wound repair *in utero*; there are also



139 theories related to the impact of amniotic fluid sterility and richness in growth factors (e.g.  
140 hyaluronic acid) in promoting wound healing (Longaker et al. 1994; Ozturk et al. 2001).  
141  
142 Mucosal wounds and minor bone defects heal during the course of fetal development without the  
143 formation of tissue callus, the equivalent of scarring in integument (Stelnicki et al. 1999).  
144 Furthermore, maxillary growth restriction was not identified in early cleft treatment *in utero* in  
145 animal models. This is of particular clinical significance, as earlier repair of cleft anomalies  
146 during fetal development may allow for post-repair growth of midface morphology beyond that  
147 which can be achieved postnatally. Thus, earlier cleft repair *in utero* has a potential for CLP  
148 healing with minimal scar formation, lower or no restriction of mandibular/maxillary bone  
149 growth, and potential elimination for need of postnatal corrective procedures. However, there are  
150 important barriers that must be overcome in order to consider *in utero* surgical correction of  
151 OFCs clinically feasible. As false-positive results during prenatal morphological screening can  
152 lead to unnecessary, risk-provoking intervention for mother and fetus, it is critical that prenatal  
153 diagnostic techniques are first developed and optimized in larger animal models.

154

155 **Targeted Molecular Therapeutics** - Evidence of the efficacy of molecular agents to restore  
156 palatal morphogenesis in the prenatal period is also emerging. Beyond the environmental and  
157 stochastic factors known to influence palatogenesis, precision therapies can target genetic defects  
158 of craniofacial development. Precision therapies for Mendelian diseases, such as those that  
159 replace deficient proteins, directly target disease-associated pathways, or influence expression of  
160 disease-relevant genes, are clinically available for a number of conditions, such as lysosomal  
161 storage disorders, cystic fibrosis, tuberous sclerosis and spinal muscular atrophy (Dugger et al.

162 2018). While these approaches have historically been applied to monogenic conditions, there is  
163 scope for their extrapolation to conditions for which there is genetic heterogeneity but pathway  
164 homogeneity. Hence, while a range of causative mutations are implicated in CLP, targeting inter-  
165 related pathways may be of therapeutic benefit to cleft patients with a range of genetic etiologies.  
166 The most significant among the barriers that currently exist for the effective translation and  
167 application of biologically driven therapies to human OFCs is the underlying complexity of cleft  
168 genetics itself. While the molecular basis of an individual cleft condition is genetically  
169 heterogenous, known variants account for a minority of the estimated heritability. Hence, new  
170 gene discoveries along with the knowledge of interacting signaling pathways are critical for the  
171 advancement of the field.

172

173 In contrast to inherited metabolic diseases, that require chronic treatments with repeated infusion  
174 of replacement proteins or other bioactive molecules (Hughes 2018), therapies able to impact  
175 non-reversible developmental fate decisions can produce permanent effects in response to short  
176 term treatments. Such transient therapies have potential benefits over longer-acting gene therapy  
177 approaches that risk incorporation of transgenic products into maternal or filial DNA. Known  
178 cleft-associated genetic aberrations represent potential targets for appropriately timed precision  
179 gene product replacement therapies to restore the delicate molecular equilibrium required for  
180 normal embryonic development. The efficacy of such therapies at various timepoints in animal  
181 models has advanced contemporary knowledge of when the activity of key proteins peaks during  
182 palatogenesis. Trialed preclinical interventions and their outcomes are discussed below.

183

184 *TGF-β3 Rescue* - Given its role in medial edge epithelial fusion of the left and right palatal  
185 processes, transient, high-level expression of Tgfβ3 is critical to murine palatogenesis (Funato et  
186 al. 2015). To remedy the cleft phenotype of Tgfβ3-null mice, Spivak et al. pioneered a virally  
187 mediated intra-amniotic Tgfβ3 gene transfer therapy and showed palatal fusion without adverse  
188 effects in 100% of pups followed injections at E12.5 and E13.5 (Spivak et al. 2007). Another  
189 group tested delayed timing of therapy at E14.5 and E15.5 resulting in 82% and 75% palatal  
190 closures, respectively (Wu et al. 2012). Since TGFβ3 polymorphisms are also associated with  
191 non-syndromic clefts in humans (Zhu et al. 2010), successful translation into human fetuses was  
192 hypothesized to yield successful outcomes between gestational weeks 8 and 10 (Spivak et al.  
193 2007). Promising results from murine palatal cultures foreshadow the potential versatility of  
194 TGFβ3-based therapies for CP attributed to environmental causes, including dioxin exposure  
195 (Thomae et al. 2005). In 2019, a group of researchers were able to rescue a core binding factor β  
196 (Cbfb) (a cofactor of the Runx1 family of transcription factors) -deficiency-induced anterior CP  
197 phenotype through the in vitro administration of folic acid (Sarper et al. 2019). In these mutants,  
198 TGFβ3 expression is disrupted in the area of failed anterior palatal fusion and affects the  
199 phosphorylation of Stat3, a downstream effector molecule of cellular proliferation, migration,  
200 and apoptosis. This reversal of CP using folic acid highlights the obligatory function of the  
201 Runx1/Cbfb-Stat3-TGFβ3 signaling axis in anterior palatal fusion.

202

203 *Activation of Shh signaling* - The intestinal cell kinase (ICK) gene encoding for a mitogen-  
204 activated protein (MAP) kinase involved in activating Shh signaling during development is down  
205 regulated during endocrine-cerebro-osteodysplasia (ECO), a syndrome that includes CP. As the  
206 first study to attempt prenatal pharmaceutical activation of Shh signaling, Shin et al., in 2019

207 injected a small-molecule agonist for Smoothed (SAG) intraperitoneally into pregnant *Ick<sup>tm1a/+</sup>*  
208 mice at various stages (Shin et al. 2019). Although success in palatal closures showed variable  
209 efficacy, the highest efficiency was achieved at E11.25, indicating that developmental windows  
210 are critical for restoring molecular homeostasis in Shh-mediated actions.

211

212 *Modulation of the Wnt signaling pathway* – The importance of Wnt signaling and related  
213 pathway genes in palate formation is elegantly reviewed by Reynolds et al., 2019 b. The first  
214 Wnt pathway intervention study was performed on mice deficient in glycogen synthase kinase-  
215 3 $\beta$  (GSK-3 $\beta$ ), a key mediator of canonical Wnt signaling. Subcutaneous rapamycin was  
216 administered every 12 hours to pregnant dams at E13.5 to E15 in order to stabilize the  
217 recombinant FRB-tagged Gsk-3 $\beta$  protein. Complete and partial alleviation of the cleft phenotype  
218 was subsequently reported in 5/9 and 1/9 treated pups, respectively (Liu et al. 2007). Rescue was  
219 not observed with later injection regimens, which attests to the developmental window during  
220 which Gsk-3 $\beta$  functions in palatogenesis. While an elegant proof-of-concept of targeted Wnt  
221 pathway manipulation, the clinical utility of this study is limited by its development in a  
222 conveniently inducible transgenic system that *cannot* be clinically reproduced in humans.

223

224 Another set of approaches target the activities of dickkopf-related (Dkk) proteins that are  
225 extracellular antagonists of Wnt signal transduction and function by high-affinity binding to Wnt  
226 co-receptors Lrp5/6. *In situ* application of dickkopf1 (Dkk1) to the maxillary processes of chick  
227 embryos via protein-impregnated beads elicits downregulation of osteochondrogenic targets of  
228 Wnt signaling, including *Bmp4*, *Tbx22*, *Sox9* and *Barx1*, thereby hindering growth of the  
229 maxillary and palatine bones (Shimomura et al. 2019).

230  
231 Small-molecule inhibitors of Dkk1 and Dkk2 are now known to share a functional molecular  
232 relationship with the paired box domain-containing transcription factor, Pax9. Pax9  
233 hemizyosity in humans led to a decreased level of Wnt signaling and concurrent increased level  
234 of Dkks, suggesting that Pax9 deficiency-related phenotypes could be mitigated with direct Dkk  
235 antagonism (Schuffenhauer et al. 1999). Researchers have subsequently revealed the potential  
236 linkages between Pax9 and CP in cases from America, Japan, Korea, and China (Song et al.  
237 2013). The controlled delivery of a small-molecule WAY-262611 that has been shown to  
238 potentiate downstream Wnt- $\beta$ -catenin signaling via Dkk1 antagonism (Pelletier et al. 2009),  
239 faithfully reversed secondary CPs in Pax9-deficient mice *in utero* (Jia et al. 2017) (see Figure 1).  
240 However, WAY-262611 could not rescue the expression of *Msx1* and *Bmp4*, which appear  
241 restricted to the anterior palatal mesenchyme. Jia *et al.* also trialed another Dkk inhibitor, IIIc3a  
242 (Li et al. 2012), via tail vein injections and showed complete closure of secondary palate in 80%  
243 (12/15) of embryos (Jia et al. 2017). Maternal intraperitoneal injections at E12.5, E13.5 and  
244 E14.5, also resulted in resolution of the cleft defect in middle and posterior regions of 7/11 Pax9-  
245 deficient palates as shown in independent studies by Li et al., 2017.

246  
247 Since Wnt signaling pathway is critical for organogenesis and is also implicated in  
248 tumorigenesis (particularly bone tumors), it is crucial to perform thorough toxicology analyses.  
249 Jia et al. in 2017 performed MRI imaging on mothers injected intraperitoneally with Wnt agonist  
250 small-molecule therapies, along with surviving wild-type and heterozygous progeny, showing no  
251 toxic effects or tumor development up to 18 months following the last injection.

252

253 ***Challenges and Considerations for a Way Forward***

254 Prior to the translation of prenatal intervention for the correction of human OFCs, a number of  
255 barriers remain to be overcome. The implementation of *in utero* therapies is constrained by the  
256 inability of contemporary approaches to identify structural anomalies in the first trimester of  
257 pregnancy. Since the primary and secondary palates form between 6 to 7 weeks and 8 to 10  
258 weeks of gestation, respectively (Yu et al. 2017), cleft detection prior to or during this window  
259 would be essential for maximum therapeutic effect. Clearly, more research is needed on whether  
260 therapies can indeed operate retroactively and if intervention times can be targeted later in  
261 palatogenesis.

262

263 Whereas the maxillary lip and alveolar ridge can be confidently evaluated with conventional  
264 ultrasonography, isolated clefts of the secondary palate have historically gone undetected. While  
265 conventional screening protocols subject to initial ultrasound can identify cleft phenotypes at  
266 week 20, high-frequency ultrasonic technology can accurately visualize structures as early as 13  
267 weeks' gestation (Maarse et al. 2010). Novel two- and three-dimensional ultrasound techniques  
268 have ameliorated detection rates of secondary CP, but are largely implemented in the latter stage  
269 of pregnancy. In spite of reports of first-trimester diagnoses with select ultrasound techniques,  
270 these novel approaches have yet to be widely adopted in routine screening. Similarly, while MRI  
271 has higher positive predictive value than ultrasound for posterior CPs, it is not typically  
272 employed until weeks 20-39 (Tian et al. 2019).

273

274 The potential for earlier OFC identification through screening of prospective parents for  
275 pathogenic mutations that could induce palatal dysmorphogenesis in their offspring is an exciting

276 forefront in precision medicine. Current diagnostic panels only include genes known to cause  
277 lethal and/or debilitating diseases. Non-syndromic OFCs and those that are part of syndromes  
278 (i.e. *WNT7A* and *MKSI*) are not captured in routine screening panels and will be overlooked  
279 prior to pregnancy. Even as panels are updated with more genes definitively linked to birth  
280 defects, preconception screening is limited by the inability to detect *de novo* mutations. The latter  
281 are causative in 3.5-fold more cases of fetal structural anomalies detected *in utero* than inherited  
282 genetic abnormalities (Lord et al. 2019). Importantly, these methods of screening would not be  
283 effective in detecting environmentally induced OFCs (i.e. those due to factors such as vitamin  
284 deficiencies and teratogenic exposures), and they depend upon *a priori* knowledge of specific  
285 single SNPs, insertion or deletion events and CNVs. This necessitates prenatal screening to  
286 adequately determine whether a developing fetus harbors a molecular aberration that can lead to  
287 disordered morphogenesis and be considered for targeted putative therapies.

288

289 Current strategies for prenatal correction of OFC phenotypes in the animal models discussed  
290 have focused solely on single-gene mutations but offer valuable proof-of-concepts for  
291 replacement therapy approaches that restore molecular homeostasis during critical stages of  
292 development. It is also important to consider the potentially undesirable developmental  
293 implications or delayed pathological outcomes of therapies, given that many palate-specific  
294 molecular targets function within signaling cascades with diverse molecular outcomes. For  
295 example, beyond its developmental roles, Wnt signaling also orchestrates tumorigenesis in  
296 several organ systems (Zhan et al. 2017). Notwithstanding, the controlled dosage of agonist or  
297 antagonist drugs that target discrete ligand-receptor complexes can be effective as pathologic  
298 levels are likely modulated by cellular regulatory mechanisms (Komiya and Habas 2008).

299 Targeted drug delivery systems must be optimized in order to drive translation of preclinical  
300 methodologies. Due to variability in the transplacental passage of therapeutic agents  
301 administered systemically to pregnant women, this route of delivery is considered suboptimal  
302 (Hermes et al. 2014). In primates, less than 1% of maternal serum concentrations of a protein  
303 tagged with the Fc portion of an IgG1 reached the fetus following maternal systemic delivery  
304 (Schneider et al. 2018). Thus, to compensate, mothers would be exposed to large quantities of  
305 exogenous molecules with potentially detrimental effects. However, no signs of maternal or fetal  
306 drug-related toxicity have been demonstrated in primates at the maximum dose administered in  
307 humans to remedy ectodermal dysplasia.

308

309 Although it is believed that lower quantities of molecules administered intra-amniotically are  
310 needed (as amniotic fluid may serve as a reservoir promoting targeted drug uptake), drug kinetics  
311 must be measured to rule out toxicity and side effects to both mother and fetus (Hermes et al.  
312 2014). While fetal and maternal outcomes may be compromised by invasive injection protocols,  
313 less invasive ultrasound-guided injections have been employed in mice and humans (Schneider  
314 et al. 2018). In murine models, even fetuses in high-dose cohorts survived intra-amniotic  
315 injection and were born without complications (Hermes et al. 2014). Of the three human babies  
316 born following intra-amniotic EDA therapy, the twins were born prematurely, as is common of  
317 multiple pregnancies, but the single pregnancy was carried for a normal gestational term.  
318 Consequently, more studies are required to determine whether an association exists between  
319 premature births and *in utero* therapy and whether this has clinically significant implications.

320



321 With the dawn of direct-to-consumer genomic analysis assays, a high propensity for  
322 misinterpretation of test results will persist, further reinforcing the need for effective  
323 communication between knowledgeable provider and responsive patient. The International Fetal  
324 Transplantation and Immunology Society's *In Utero* Gene Therapy Consensus Statement  
325 dictates prenatal intervention should only be considered when both a reliable molecular diagnosis  
326 *and* a strong genotype-phenotype correlation exists (Almeida-Porada et al. 2019). Multiple  
327 barriers presently preclude the widespread adoption of genomics into prenatal clinical practice,  
328 compromising shared decision-making processes in prenatal diagnostics and management. The  
329 advent of CRISPR/Cas9 technology to readily generate craniofacial disease models with specific  
330 human mutations should aid in the translation of new technologies (Neben et al. 2016). The 1998  
331 UK Gene Therapy Advisory Committee recommends that *in utero* treatment should be reserved  
332 for cases that confer a clear advantage over postnatal intervention (Kingdom. 1998). While  
333 precision medicine gives rise to a range of other ethical conundrums, we believe that the promise  
334 of precision-driven approaches for early diagnosis and therapy for the treatment of orofacial  
335 clefts is an essential step forward.

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353 **Author 1 (JDO):** Contributed to conception and design; Contributed to acquisition, analysis, or  
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362 interpretation; Drafted the manuscript; Critically revised the manuscript; Gave final approval.

363 \*All authors agree to be accountable for all aspects of the work.

364

365 **CONFLICT OF INTEREST STATEMENT**

366 None of the authors have any conflicts of interest to disclose.

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537  
538 **FIGURE LEGEND**

539  
540 **Figure 1.** Small-molecule inhibitors of Dkk1 and Dkk2 (inhibitors of LRP5/6) allow for the  
541 activation of Wnt/B-catenin signaling transduction. Several different molecules have been  
542 described (e.g. WAY262611; IIC3a) and trialed to rescue the phenotype of murine cleft models  
543 in which Dkk1/2 are upregulated in the posterior palate to the detriment of Wnt signaling.

