

1 **CNS gene therapy: present developments and emerging trends accelerating**  
2 **industry-academia pathways**

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32 **ABSTRACT**

33 The recent success of first central nervous system gene therapies has reinvigorated the growing  
34 community of gene therapy researchers and strengthened the field's market position. We are witnessing  
35 an increase of clinical trials with long-term efficiency mainly for neurometabolic, neurodegenerative and  
36 neurodevelopmental diseases caused by loss-of-function mutations. The ever-expanding knowledge  
37 and accessibility to the most advanced tools allow enrichment of applications to more complex  
38 diseases. This gradually contributes towards sealing the gap between top diseases impacting current  
39 global health and those towards which gene therapy development is currently aimed. Here, we highlight  
40 innovative therapeutic approaches that have reached the clinics and outline the latest improvements of  
41 vector design and targeting. Finally, we address the pressing challenges faced by clinical trials and the  
42 direction they are heading.

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## 46 **CURRENT STATUS OF GENE THERAPY**

47 The present level of gene therapy development offers unprecedented opportunities for central nervous  
48 system (CNS) diseases. Strategies inspired by several decades of knowledge are mainly focusing on  
49 genetic diseases caused by the loss-of-function mutations, where symptom management is often the  
50 sole treatment option. Orphan drug and rare paediatric disease fast track designation have contributed  
51 to the development of strategies for neurodegenerative, neurometabolic and neurodevelopmental  
52 disorders <sup>1</sup>. Though, the application spectrum is being increasingly enriched by more complex  
53 disorders, including Alzheimer's disease <sup>2</sup>, Parkinson's disease <sup>3</sup>, and epilepsy <sup>4</sup>. Academic laboratories  
54 have initially been at the forefront of the translational research work, paving the way toward gene  
55 therapy products that successfully reached the market <sup>5</sup>. The pioneering gene therapies that were  
56 approved in Europe and/or USA include Glybera (alipogene tiparvovec) for lipoprotein lipase deficiency  
57 <sup>6</sup>, later withdrawn from the market for commercial reasons <sup>7</sup>, Strimvelis<sup>®</sup> (*ex vivo* hematopoietic stem  
58 and progenitor cell (HSPC) gene therapy) for adenosine deaminase deficiency-induced severe  
59 combined immunodeficiency (ADA-SCID) <sup>8</sup>, Zynteglo<sup>®</sup> for  $\beta$ -thalassemia <sup>9</sup> and Luxturna<sup>®</sup> (voretigene  
60 neparvovec) for inherited retinal dystrophy <sup>10</sup>. For CNS indications, the first gene therapy drugs to  
61 receive marketing authorization were Zolgensma<sup>®</sup> (onasemnogene abeparvovec) for spinal muscular  
62 atrophy (SMA) in 2019 <sup>11</sup>, and Libmeldy<sup>®</sup> (*ex vivo* HSPC gene therapy) for metachromatic  
63 leukodystrophy (MLD) in 2020 <sup>12</sup>. The most recent marketing approval (August 2022) was granted to  
64 Upstaza<sup>™</sup> (eladocagene exuparvovec) for aromatic L-amino acid decarboxylase (AADC) deficiency.  
65 Commercialization of these products and the ever-expanding portfolio of diseases targeted by gene  
66 therapy initiated a wave of interest of pharmaceutical companies. This has been reflected by both  
67 Zolgensma<sup>®</sup> and Libmeldy<sup>®</sup>, originally developed in academic environment, being later acquired by  
68 pharmaceutical companies. In 2020, the global gene therapy market size was valued at \$ 2.26 billion,  
69 where SMA applications represented 41 % of revenue shares. By 2027, this market is estimated to  
70 bridge \$ 35 billion globally <sup>13</sup>.

71

## 72 **CNS GENE THERAPY: CLINICAL TRIALS**

73 The abovementioned success was preceded by valuable lessons learned from the clinical trials  
74 conducted over time. For the CNS, early gene therapy trials applied *ex vivo* approach for leukodystrophy  
75 diseases <sup>14,15</sup>. Lentivirally (LV) transduced CD34<sup>+</sup> haematopoietic stem cells showed therapeutic benefit

76 in a safe and efficient manner, comparable to the allogenic stem-cell transplantation, formerly the only  
77 available treatment choice. Subsequently, LV-based *in vivo* strategies emerged, including dopamine  
78 replacement drug Prosavin-LV, for Parkinson's disease (PD), developed by Oxford Biomedica.  
79 Prosavin-LV, directed on symptom management, achieved moderate improvements in motor behaviour  
80 at 6 and 12 months, lasting for up to four years in most patients <sup>16</sup>. The time between 2000 and 2010  
81 was marked by the influx of adeno-associated vectors (AAV) based approaches with AAV2-glutamate  
82 decarboxylase (*GAD*) and AAV2-neurturin for PD, AAV2-aspartoacylase (*ASPA*) for Canavan disease,  
83 and AAV2/5-N-acetyl-alpha-glucosaminidase (*NAGLU*) for Sanfilippo type B syndrome (MPSIIIB) <sup>17</sup>.  
84 The recent years have offered growing market opportunities for CNS gene therapy, with an escalating  
85 launch of new clinical-stage biotech companies. Presently, rare disorders targeted by AAV are the  
86 predominant pipeline runners and would also be the central focus in the following sections.  
87 The gradually occurring shift of gene therapy interest by industry and young biotech firms, though often  
88 stemming from academic ground, may bring new solutions to issues that were not previously tackled.

89

## 90 **Neurometabolic diseases**

91 Lysosomal storage disorders (LSDs) are the major focus of current gene therapy pipeline for inherited  
92 neurometabolic diseases, including gangliosidoses, mucopolysaccharidoses (MPS) and metachromatic  
93 leukodystrophy. With enzymatic deficiency being their cause, this approach takes advantage of the fact  
94 that functional enzyme secreted by the transduced cells may be taken up by distal non-transduced cells  
95 through cross-correction <sup>18</sup>. This way, therapeutic benefit may be reached by only modifying certain  
96 proportion of the CNS cells.

97 At the moment, extensive efforts are flowing into tackling GM1 and GM2 gangliosidoses. The AXO-  
98 AAV-GM1 and AXO-AAV-GM2 of the Sio Gene Therapies Inc. pipeline are targeting GM1  
99 gangliosidoses and Tay-Sachs/Sandhoff disease, respectively. So far, ten patients have been  
100 intravenously administered with AAV9-based AXO-AAV-GM1 gene therapy in Phase 1/2 clinical study  
101 (NCT03952637), with encouraging risk: benefit outcomes. To reduce immune response to the viral  
102 capsid and/or the  $\beta$ -galactosidase protein following IV administration, immunosuppression was given  
103 prior to vector delivery, maintained for six months afterwards. The low- and high-dose patient cohorts  
104 presented with amended disease biomarkers such as GM1 ganglioside activity in cerebrospinal fluid  
105 (CSF) and  $\beta$ -galactosidase activity in the serum. In another Phase 1/2 clinical trial (NCT04669535), four

106 Tay-Sachs and Sandhoff disease patients received AXO-AAV-GM2 treatment. Two neurotrophic  
107 AAVrh.8 vectors delivering hexosaminidase subunit alpha (*HEXA*) and beta (*HEXB*) genes in 1:1 ratio  
108 were co-administered into thalamus and cisterna magna. To our best knowledge, this is the first double  
109 vector CNS trial targeting thalamus, to ensure broad diffusion in the CNS. Both transduction of thalamus  
110 and diffusion in the CSF would lead to widespread coverage via axonal transport with connected brain  
111 structures <sup>19</sup>. Passage Bio Inc., is striving to lead its GM1 gangliosidosis AAV-therapy through Phase  
112 1/2 clinical trial. It employs the AAVhu68 serotype, constructed from the natural isolate carrying the  
113 beta-galactosidase (*GLB1*) gene. Improved spread in the brain is predicted by being administered  
114 directly into the cisterna magna. The safety and biomarker data of Imagine-1 trial (NCT04713475), for  
115 early infantile, low dose and late infantile, high dose cohorts are expected to be released later this year.  
116 Lysogen is also advancing its pipeline with GM1 gangliosidosis and MPS IIIA therapies. The LYSGM101  
117 candidate is now in the Phase I/II clinical trial (NCT04273269), in which AAVrh10 with *GLB1* gene cDNA  
118 is injected at a dose of  $2 \times 10^{12}$  vg/mL of CSF into cisterna magna of two early onset and two late onset  
119 GM1 child patients <sup>20</sup>.

120 For the MPS IIIA, also known as the Sanfilippo A Syndrome, following on promising safety and efficacy  
121 outcomes from Lysogen's MPS IIIA Phase I/II trial <sup>21</sup>, the AAVrh-10-based LYS-SAF302 (olenasufigene  
122 relduparvovec), carrying the *SGSH* gene cDNA is presently in Phase II/III testing (NCT03612869).  
123 Nineteen patients were dosed between February 2019 and March 2020 and improvement or  
124 stabilization of neurodevelopmental status in around half of them was confirmed after up to two-year  
125 follow-up. The complete results are underway and the company is now in discussion of the next steps  
126 <sup>22</sup>.

127 Other MPS conditions are mainly being tackled by Lysogen and Regenxbio. The Regenxbio has a  
128 Phase I/II clinical study (NCT03580083) underway, assessing the safety and tolerability of RGX-111.  
129 This is an AAV9- $\alpha$ -L-iduronidase (*IDUA*) gene therapy administered directly into the CNS via  
130 intracisternal injection of patients with MPS type I. In the trial for severe MPS II (NCT03566043) the  
131 RGX-121 agent with AAV9-based iduronate-2-sulfatase (*IDS*) expression cassette was administered  
132 into the CNS of patients (4 months - 5 years of age). The RGX-121 was well tolerated in all dose cohorts  
133 ( $1.3 \times 10^{10}$ ,  $6.5 \times 10^{10}$ ,  $2.0 \times 10^{11}$ ), each containing three patients. No drug-related serious adverse  
134 events were reported for up to 2 years post-treatment. There was gradual reduction of heparan sulfate

135 CSF levels, which are increased in MPS II. Normal neurodevelopment was also demonstrated by  
136 continuous gain of skills in various areas <sup>23</sup>.

137 There is a continuous development and clinical testing for different types of Batten disease, also  
138 regarded as neuronal ceroid lipofuscinoses (CLNs), on both academic and industrial grounds <sup>24</sup>.

139 A bold approach was adapted by Sondhi et al., where ceroid lipofuscinosis neuronal 2 (*CLN2*) cDNA  
140 was intraparenchymally delivered by AAVrh.10 to treat late infantile Batten disease in paediatric  
141 patients (NCT01161576). There was a 1.3 - 2.6-fold increase of *CLN2* gene product (Tripeptidyl  
142 Peptidase 1 ; *TPP1*) in cerebrospinal fluid post-therapy. Up to 47.5 % lowering of decline rate of motor  
143 and language function was recorded, compared to the European natural history cohort. Four out of  
144 seven children also showed reduced grey matter loss, detected by magnetic resonance imaging (MRI).  
145 However, this strategy did not outperform the conventional recombinant *TPP1* therapy. With a more  
146 optimized vector design and possibly multiple sites of administration, gene therapy could present a one-  
147 and-done solution, as recombinant *TPP1* therapy is currently required bi-weekly <sup>25</sup>.

148 At the industry level, Amicus Therapeutics released encouraging data with its Phase I/II AAV9-based  
149 drug AT-GTX-502 (NCT03770572) for *CLN3* Batten disease (17<sup>th</sup> Annual WORLDSymposium™ 2021).  
150 The intrathecally-administered therapy was safe and well tolerated in children patients for up to 15  
151 months post-surgery, with early indications of disease stabilization. This program was advanced  
152 following discontinuation of the *CLN6* Batten disease Phase I/II trial. The intrathecally-delivered AAV9  
153 therapeutic AT-GTX-501 (NCT04273243) showed disease stabilization at early timepoint of the trial,  
154 which was not sustained at the 24-months mark.

155 Neurogene has freshly initiated its Phase I/II trial for *CLN5* Batten disease (NCT05228145) in which  
156 AAV9 therapeutic NGN-101 is administered via both intravitreal (IVT) and intracerebroventricular (ICV)  
157 injection. This is the first trial to investigate treatment efficacy on both ocular and neurodegenerative  
158 disease aspects.

159 Aspa Therapeutics, a member of BridgeBioPharma, Inc. is conducting the CANaspire Phase I/II clinical  
160 study for Canavan disease (NCT04998396). The AAV9-based BBP-812 drug is carrying the *ASPA*  
161 transgene, which generates the aspartoacylase protein that breaks down the N-acetylaspartate (NAA)  
162 compound. Accumulation of NAA in the absence of aspartoacylase exerts toxicity to myelin in the brain.  
163 Six months after intravenous administration of BBP-812, the first dosed patient showed 77 % and 50 %  
164 decrease of NAA in CSF and urine, respectively. In the second patient at three months post-treatment,

165 the NAA in CSF was lowered by 89 % and by 81 % in the urine. Also, >50 % drop in NAA was recorded  
166 in brain white matter. These values suggest BBP-812 successfully crossed the blood-brain-barrier and  
167 mediated robust expression of functional protein. There is an ongoing recruitment and dosing of new  
168 patients and additional pharmacodynamics data is expected later in 2022.

169

## 170 **Neurodegenerative diseases**

171 Gene therapy approaches for neurodegenerative diseases have witnessed their own evolution over  
172 time. For the PD, the treatment was initially relying on AAV vectors, focused on enhanced conversion  
173 of orally-taken levodopa into dopamine. This was achieved by delivering the Aromatic L-Amino Acid  
174 Decarboxylase (*AADC*) gene to express the *AADC* enzyme that facilitates this conversion. Such  
175 treatment targeted to brain putamen was shown to be well tolerated, while restoring *AADC* expression  
176 in PD patients<sup>26,27</sup>.

177 Lately, a clinical trial (NCT01973543) with AAV2-VY-*AADC* agent developed by Voyager Therapeutics,  
178 exhibited stable or improved motor function in the three-year follow-up in patients with moderately  
179 advanced PD<sup>28</sup>. Here, the treatment was administered via intraoperative magnetic resonance imaging  
180 (iMRI) guidance, allowing visualization of the virus spread and thus efficient target coverage. Combined  
181 with the convection enhanced delivery (CED), this trial instigated the new era of intraparenchymal virus  
182 delivery<sup>29</sup>.

183 *AADC* deficiency disease itself also benefited from the *AADC* gene delivery. Promising outcomes from  
184 the earlier studies prompted *AADC* utilization to compensate for its loss-of function. In the clinical  
185 studies (NCT01395641 NCT02926066), the intraputamina AAV2-*hAADC*-based eladocogene  
186 exuparvovec demonstrated durable safety profile, with notable motor and cognitive improvements  
187 persisting during the >5 years follow-up<sup>30</sup>. Built on this success, the newly approved *AADC* drug  
188 Upstaza™ by PTC Therapeutics, Inc., is the first gene therapy on the market directly administered into  
189 the brain, available for paediatric patients over 18 months old.

190 Taysa Gene Therapies is moving forward with two programs for giant axonal neuropathy (GAN) and  
191 Rett syndrome. The AAV9-based TSHA-120 candidate is currently in a Phase I study (NCT02362438)  
192 to treat GAN, conducted by National Institute of Health (NIH). This program is the first to intrathecally  
193 dose a gene therapy in clinical setting.

194 To target peripheral and autonomic CNS manifestations, Taysha is currently investigating drug delivery  
195 via the vagus nerve. In its study, GAN rats were administered AAV9-gigaxonin (GAN) via intrathecal  
196 (IT) or IT plus vagus nerve injection <sup>31</sup>. Twenty months post injection, IT plus vagus nerve AAV9-GAN  
197 was found to be more efficient than IT alone, based on the heart rate, blood pressure and respirations  
198 measurements comparable to the wild-type (WT) rats. Nerve fibre loss in dorsal columns of the spinal  
199 cord was shown to be prevented to greater extent than IT route only. These results were in agreement  
200 with subsequent study in dogs, where direct vagus nerve delivery of AAV9-chicken  $\beta$ -actin hybrid (CBh)-  
201 green fluorescent protein (GFP) mediated robust transduction of neurons critical for autonomic nervous  
202 system function. Also, no sign of neuroinflammation or significant chronic inflammatory infiltrates were  
203 detected, supporting high safety profile of this approach. Assessment of the possibility of AAV9 re-  
204 dosing via vagus nerve is presently underway.

205 The company Passage Bio Inc. partnered with the University of Pennsylvania's Gene Therapy program  
206 to run Phase 1/2 upliFT-D trial for Frontotemporal dementia (NCT04747431) and GALax-C trial for  
207 Krabbe disease (Globoid cell leukodystrophy) (NCT04771416). The Cohort 1 interim safety and  
208 biomarker data of the latter should be available by the end of the year.

209 Finally, gene-silencing therapy termed AMT-130 for Huntington's disease has lately seen encouraging  
210 progress amid the uniQure's update on the ongoing U.S. Phase I/II clinical trial (NCT04120493). AMT-  
211 130 comprises an artificial microRNA-embedded short hairpin RNA (shRNA) aimed at elimination of  
212 mutant Huntingtin protein production via non-selective knockdown of Huntingtin (HTT) gene. Following  
213 direct delivery of rAAV5-miHTT into the brain striatum, 53.8 % mean decrease of mutant Huntingtin was  
214 recorded in low dose-treated patients 12 months post-surgery. At this time point, the neurofilament light  
215 chain (NfL), a neuronal damage biomarker, also reached close to baseline levels. Successively, the  
216 AMT-130 European cohort Phase I/II trial (NCT05243017) is currently enrolling new patients to follow  
217 up on the demonstrated safety in the previous trial.

218 Most recently, AskBio received a green light for Phase I/II trial with an AAV-based BV-101 drug,  
219 directly administered to the brain of early-stage HD patients <sup>32</sup>. Unlike other strategies for HD, it is  
220 designed to restore cholesterol pathway in affected neurons by delivering cytochrome P450 family 46  
221 subfamily A member 1 (*CYP46A1*) cDNA, which shows lower expression in HD patients <sup>33</sup>. This should  
222 allegedly lead to neuroprotection and improved mutant Huntingtin clearance and physical performance.  
223 The trial will begin in the last quarter of 2022. Interestingly, *CYP46A1* was previously implicated in



224 Phase I trial (NCT03706885), where it was pharmacologically stimulated in AD patients, with results  
225 underway.

226 Although there is a dynamic clinical assessment of the mentioned diseases, the CNS gene therapy field  
227 has also observed halting of several other trials.

228 Voyager Therapeutics recently announced moving its (mi)RNA HTT candidate VY-HTT01 for  
229 Huntington's disease (HD) treatment into the clinics in the Phase I trial (NCT04885114). However, the  
230 study of this AAV1-based intraparenchymal drug was withdrawn before patient enrolment in the  
231 summer of 2021.

232 Interestingly, in March 2021, Phase III study (NCT03842969) of antisense oligonucleotides (ASO) drug  
233 tominersen, conducted by Roche was also discontinued, as no clinical benefit was achieved compared  
234 to placebo. At frequent doses, tominersen even resulted in worsened condition. In the same month,  
235 Wave Life Sciences also discontinued Phase I/II trial of its two ASOs for HD (NCT04617847 and  
236 NCT04617860), due to lack of efficacy.

237 Also, the Phase I/II trial for GM2 gangliosidosis with AAV9-TSHA-101 candidate conducted by Taysha  
238 Therapeutics has been suspended while regulatory information is being required. These results have  
239 revealed safety concerns and technological bottlenecks that will have to be acted upon for successful  
240 clinical outcomes.

241

## 242 **ONGOING DEVELOPMENTS**

243 As gene therapy treatment becomes available for more and more patients, there is a pressing urge to  
244 identify novel vector variants for targeted gene delivery, optimize manufacturing process at large scale,  
245 address delivery method efficiency and evade immune responses.

### 246 **AAV variants to improve transduction**

247 At present, majority of AAV capsids utilized in the clinics are in most cases natural serotypes<sup>34</sup>. These  
248 AAV serotypes vary in their capsid protein sequences which affects their ability to transduce specific  
249 organs or cell types. Clinical data indicate that one of the limiting factors remains weak *in vivo*  
250 transduction or sub-optimal cell-type specific targeting<sup>35</sup>. In recent years, novel viral vector variant  
251 generation, primarily to improve organ targeting, has been observed at high rate. The custom-designed  
252 capsids hold the promise of greatly improving delivery efficiency, which would allow administration of  
253 lower virus dose. This could help reduce side effects, that appear to be dose-dependent<sup>36</sup>. Moreover,

254 batches accounted for more doses could be manufactured, thus treating larger patient cohorts more  
255 economically. Availability of such capsids would positively impact patient eligibility, safety and efficacy  
256 of the treatment.

257 Rational design and directed evolution have originally been at the forefront of novel capsid discovery.  
258 The rational design harnesses prior knowledge about AAV biology and structure, to generate capsid  
259 variants with desired properties by systematic assessment and refinement. The new variants are  
260 engineered via genetic mutation of capsid residues, insertion of non-viral parts or chemical  
261 modifications<sup>37</sup>. In directed evolution, processes such as capsid shuffling of known serotypes, peptide  
262 insertion or error-prone PCR are employed to produce highly diverse capsid libraries. Most potent  
263 functional variants are recovered following multi-round selection process<sup>38</sup>. Today, the state-of-art AAV  
264 capsid design is the focus of several laboratories and biotech start-ups. Machine learning  
265 complemented by high throughput measurement and characterization methods are progressively  
266 becoming the new standard<sup>39,40</sup>. Here, automatic learning is facilitated by a collection of advanced  
267 algorithms. The input data are readily used to predict possible outcomes of complex processes such as  
268 new AAV capsid design, based on the learned and integrated rules. The accuracy of the outcomes is  
269 in proportion to the amount of the input datasets. On top of this, integration of biological knowledge  
270 would produce robust results with smaller data size, considering the sequence-to-function correlation.  
271 Altogether, the typical outcome would deliver possible new capsids with their predicted function and  
272 efficiency<sup>35</sup>.

273 These applications drove, for example, the formation of Dyno Therapeutics, for the discovery and  
274 optimization of AAV vectors through artificial intelligence. The company has entered CNS gene therapy  
275 space through collaboration with Roche. Dyno employs its CapsidMap™ platform, employing machine  
276 learning combined with experimental data, for next-generation AAV vector development. *In vivo* delivery  
277 properties of new synthetic AAV capsids are measured in high throughput, harnessing the synthesis of  
278 DNA library and next-generation DNA sequencing.

279 In the novel capsid identification, Voyager is advancing its RNA-driven TRACER (Tropism Redirection  
280 of AAV by Cell-type-specific Expression of RNA) platform. Cell-specific RNA expression is harnessed  
281 for capsid libraries, as it might pose a more realistic and reliable assessment of functional transduction  
282 than DNA-based screening. The technology is applied on AAV5 serotype, as there is low occurrence  
283 of pre-existing neutralizing antibodies in general population, which are the eligibility determinant for

284 patients in clinical trials. The newly identified variant, VCAP-100 has outperformed the conventionally  
285 used AAV5 in brain transduction in rats and NHPs with 40-fold and 60-fold, respectively <sup>41</sup>. Upon  
286 intravenous administration, ( $5 \times 10^{13}$  viral genomes per kg), in cynomolgus monkeys, 20-fold greater  
287 brain transduction and 5-fold greater spinal cord transduction was recorded, compared to the AAV9.  
288 Both neuronal and glial cells were potently transduced across the whole brain region, but mainly in the  
289 thalamus, hippocampus, caudate, putamen, cerebellar cortex and deep cerebellar nuclei, suggesting  
290 applicability of VCAP-100 in various CNS diseases.

291 Affinia Therapeutics and Taysha Gene Therapies are pursuing similar strategies. Harnessing the AAV  
292 evolutionary path, novel AAV capsid libraries are devised by advanced computational algorithms  
293 termed ancestral sequence reconstruction (ASR) <sup>42</sup>. It enables characterization of variants with  
294 enhanced properties, by reconstructing ancestral AAVs to the known natural capsids. The newly  
295 designed capsids are then manufactured and individually evaluated in experiments by the use of  
296 specific barcodes.

297 Employing this workflow, a highly efficient gene therapy vector, Anc80, has been previously identified  
298 in the academic setting, from the AAV 1,2, 8 and 9 ancestry line. Initially showing robust targeting of  
299 muscle and liver, the synthetic Anc80L65 sub-variant was shown to be especially potent in mouse  
300 retina, following the sub retinal delivery <sup>43</sup>. Encouraging outcomes were replicated in the same study in  
301 Rhesus macaques, proposing the vector for further clinical use in eye retina.

302 In the murine brain, the Anc80L65 was characterized by Hudrey et al., where it reached transduction  
303 efficiency of neurons and astrocytes comparable to the conventional AAV9 after intravenous and  
304 intraparenchymal delivery <sup>44</sup>. Via the intracebroventricular route, Anc80L65 reached broader diffusion  
305 than AAV9, with expression extending to the cerebellum. This vector might be of particular interest for  
306 application to certain neurologic diseases, including mucopolysaccharidosis type IIIA <sup>45</sup>, Batten disease  
307 <sup>46</sup> or metachromatic leukodystrophy (MLD) <sup>47</sup> for its strong tropism for ependymal cells and choroid  
308 plexus. Indeed, the Anc80L65 capsid used for MLD therapy is currently in preclinical development at  
309 Affinia. Anc80L65 was also shown to have superior expression and targeting properties over AAV9 in  
310 CNS in adult cynomolgus monkeys following the lumbar puncture injection and cisternal magna  
311 injection. Furthermore, four-fold increase in the yield of this candidate carrying the arylsulfatase A  
312 (ARSA) gene was reached in collaboration with Lonza. Through a multi-year, non-exclusive contract,  
313 Lonza provides development and manufacturing services of Affinia's lead candidates.

314

315 **Improving transgene expression: promoters**

316 Apart from the lawful ownership for the company, new promoters designed *in silico* are being  
317 extensively considered to direct enhanced gene expression and cell-type specificity. There is an urgent  
318 need for such promoters, as limited treatment efficiency with low transgene expression and toxicity are  
319 still being observed due to unspecific transduction. Ubiquitous promoters are actually implemented in  
320 67% of clinical trials for CNS disorders, with cytomegalovirus immediate-early (CMV) promoter and  
321 CMV immediate enhancer/ $\beta$ -actin (CAG) promoter being the most frequent<sup>34</sup>. These two promoters are  
322 also the principal choice in clinical trials overall. This might pose an issue in the long-term as it has been  
323 established that CMV enhancer, present in both CMV and CAG is often gradually silenced both *in vitro*  
324 and *in vivo*, due to CpG dinucleotide methylation<sup>48,49</sup>.

325 In July 2021, Affinia has partnered with the Institute of Molecular and Clinical Ophthalmology Basel  
326 (IOB) to tackle efficient gene expression, by identifying new rationally-designed next-generation  
327 promoters.

328 Transgene clearance is another concern observed with robust synthetic promoters. It usually occurs  
329 due to cellular stress caused by transgene overexpression and thus imbalance in proper expression of  
330 other genes. Remarkably, the CMV and CAG promoters were outperformed by mouse  
331 phosphoglycerate kinase 1 (mPGK) and human synuclein (hSYN) within the AAV1 construct in brain  
332 and spinal cord of the *in vivo* models, though their usage has not yet been translated into the clinical  
333 setting<sup>50</sup>.

334

335 **Transgene expression: microRNA-based regulatory element**

336 To induce optimal transgene expression, Taysha therapeutics introduces a miRNA target component  
337 in its TSHA-102 candidate for treatment of Rett syndrome, presently in preclinical testing<sup>51</sup>. The system  
338 comprises an AAV9 encoding a mini methyl-CpG binding protein 2 (*MECP2*) gene harnessing the miR-  
339 Responsive Autoregulatory Element (miRARE), for miRNA targeting (AAV9-miniMECP2-miRARE).  
340 This helps prevent the overexpression of the *MECP2* transgene, which was previously shown to induce  
341 dose-dependent toxicity. Bioinformatics analysis was used to identify CNS-relevant miRNAs associated  
342 with genes related to intellectual disabilities, whose expression rises in correlation with *MECP2*.

343 Following the binding of these miRNAs in the 3' untranslated region of the *MECP2* transgene, its  
344 expression is conditionally downregulated via endogenous RNA interference (RNAi) machinery,  
345 creating a negative feedback loop. In such manner, the exogenous *MECP2* expression is tightly  
346 regulated.

347 Preclinical efficacy of TSHA-102 was demonstrated in the knock-out (KO) mouse dose escalation study  
348 by intrathecal (IT) delivery. Here, over 50 % life extension of KO mice was observed following the  
349 maximum dose at postnatal day 28 (P28) ( $8.8 \times 10^{11}$  vg/mouse; human equivalent dose  $2.86 \times 10^{15}$  vg).  
350 At earlier administration points of P7 and P14, lifespan was extended with 10-fold lower dose. The  
351 apnoea frequency was reduced by over 50 % in the maximum dose KO group, while earlier  
352 administration points resulted in lowered apnoea frequency with 10-fold lower dose <sup>52</sup>. This is a  
353 significant translational factor, as the respiratory health of Rett syndrome patients is often heavily  
354 compromised <sup>53</sup>.

355

## 356 **CHALLENGES FOR CLINICAL TRIALS**

357 As highlighted clinical trials for gene replacement therapies are beginning to produce a pipeline from  
358 identification of genetic cause through testing, manufacturing and delivery. The success of these trials  
359 has generated strategies around dosing, delivery and study design, although concerns remain –  
360 particularly about the permanent nature of many of the treatments <sup>54</sup>. The rapid growth of gene therapies  
361 and the fast-increasing populations of patients that could benefit, means the one of the biggest  
362 challenges may become simply obtaining clinical grade gene therapy products to bring to trials, a  
363 growing (and frustrating) barrier to new studies (**Figure 1**) <sup>55</sup>. This is combined with the challenges of  
364 increase in scale as the number and range of treatments begins to grow exponentially (reviewed for  
365 AAV in <sup>56</sup>). However, there are potentially valuable lessons from the COVID vaccine manufacture, which  
366 may be translatable to large scale good manufacturing practices (GMP) manufacture of other gene and  
367 cell therapy treatments <sup>57</sup>. Even with potential improvements, the costs of development and treatment  
368 remain a concern, with one estimate that by 2034, 1.09 million patients will be treated by gene therapy  
369 with a total cost of \$306 billion <sup>58</sup>.

370

## 371 **The real challenge**

372 On a positive note, emerging manufacturing shortages and regulatory delays are symptoms of success  
373 in gene replacement therapies, which has offered hope to thousands of patients. However, this success  
374 has also introduced an understandable bias in the field of gene therapy for neurological disorders. As  
375 successes in delivering gene therapy treatments to rare genetic diseases stack up, more research  
376 groups and industrial partners have joined the field.

377 But is this approach at risk of diminishing returns, as more companies and researchers chase  
378 increasingly rare diseases? Is there a more strategic way to capture the promise of gene therapy for  
379 improving global health and well-being?

380 An uncomfortable truth for researchers in gene therapy is that these treatments are expensive, and may  
381 not be fairly available to all patients<sup>59</sup>. One issue is that the focus on rare diseases means that currently  
382 the expense of research and development (R&D) for many rare disease gene therapies areas orphan  
383 treatments, which are subject to higher costs per patient<sup>60</sup>.

384 Researchers interested in developing expensive new treatments may wish to focus on those with the  
385 largest impact on global health, and this may require shifting away from more gene replacement  
386 therapies for rare genetic disorders to industrial partners, and refocussing high risk research funding on  
387 diseases with less clear gene therapy avenues.

388 The Parkinson's field has led this effort, with mixed results (reviewed in section CNS gene therapy:  
389 clinical trials). However, compared to industrial efforts, fundamental research is more robust to high-  
390 risk approaches, and new approaches to treating Parkinson's continue. Forays into Alzheimer's  
391 Disease have also begun, in spite of enormous challenges around identifying the mechanism of this  
392 common disease<sup>61</sup>. Indeed, one treatment focusses on the first identified risk factor apolipoprotein E4  
393 (*APOE4*) homozygosity, by supplementing with the protective *APOE2* variant (NCT03634007). Thus,  
394 in spite of the lack of clarity around how APOE variants increase risk of the disease, there is a potential  
395 'gene supplementation therapy' for the approach.

396

### 397 **Taking on the big challenge**

398 One possible way forward may be a re-alignment of fundamental gene therapy research in neurology  
399 to refocus on the global burden of diseases. The global impact of different neurological diseases is  
400 systematically reviewed in the Global Burden of Diseases Study<sup>62</sup>. A concern is the mismatch between  
401 the top diseases impacting global health and those towards which gene therapy development is

402 currently aimed. Globally, stroke and migraine are the leading cause of age-standardised disability-  
403 adjusted life year (DALY) rates, but currently there are no clinical trials for genetic therapies for either  
404 of these disorders. We must descend to the third cause of DALYs, Alzheimer's and other Dementias,  
405 to reach the first possible hope for a gene therapy treatment, which is receiving increasing interest <sup>2</sup>.  
406 For epilepsy (5<sup>th</sup>) there is a single trial in the US ClinicalTrials database. Parkinson's is 11<sup>th</sup>, and 'Other  
407 neurological disorders' for which so many gene therapy trials are targeted, comes in at the 12<sup>th</sup> even as  
408 a total.

409 Stroke is an acute change in blood flow, but current treatment have recently extended the window for  
410 treatment from 4.5 to up to 24 hours <sup>63</sup> meaning that some genetic treatments, may be effective if  
411 delivered soon enough. What microRNA, siRNA or other targets may be possible to protect neurons?  
412 Migraine presents a different set of problems, here the challenge is less about the speed of intervention,  
413 and more about the route of delivery – are there non-invasive ways of delivering treatments that could  
414 lead to long term reduction in migraine severity? Treatments for migraine are rapidly changing with the  
415 introduction of novel monoclonal antibodies, and there is potential for gene delivery <sup>64</sup> if research is  
416 guided in this direction.

417 There are a growing number of research teams with hard-earned expertise in design and delivery of  
418 gene and genetic therapies, but they have traditionally mainly emerged from studies of rare genetic  
419 diseases where their expertise lies and the therapeutic approach is more straightforward.  
420 Collaborations bringing this gene therapy expertise with groups leading in mechanisms of complex  
421 diseases as stroke and migraine could open the doors for gene therapy to address leading global  
422 burdens of disease – if manufacturing can keep up.

423

## 424 **Conclusion**

425 The recent months have witnessed significant clinical efforts in rare CNS disease treatment, both  
426 academia and industry-driven. There are still outstanding challenges, such as up-scaling the vector  
427 production and downstream processing, to be most likely tackled by the industry sector. However, we  
428 have endorsed substantial recession in biotechnology companies' investments following the clinical trial  
429 underperformance of several therapeutics accompanied by the public market downturn. Although all  
430 drug research areas have been touched by this downfall, publicly traded gene therapy sector seemed  
431 to be especially susceptible, reflected in extremely decreased and volatile companies' shares. The

432 current financial situation is clearly pushing companies into tough capital conservation, leading to  
433 prioritisation of only highly promising activities further down their pipeline, ideally, with lower competitive  
434 dynamics. This may have notable future implications, like facing decelerating development process, as  
435 many research programs haven't yet reached the clinic and might require several more years to prove  
436 their strategies efficient, provided that they will have enough financial means to do so. Despite this, new  
437 gene therapy approvals still emerged, maintaining the momentum, crucial for accelerating more  
438 therapies through clinical trials to help the patients suffering from these incurable diseases.

439

440



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443

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463 **FIGURE LEGEND**

464

465 **Figure 1. The route towards a gene therapy for a complex disease.**

466 The diseases that impact a major fraction of the general population are complex, so their aetiology is a  
467 combination of multiple and diverse genetic and environmental factors. The symptomatology affects  
468 different aspects of the nervous system physiology, which requires a careful selection of disease models  
469 to study and dissect the pathophysiology of the disease. The elements affected will range from the  
470 microscopic to the organic level and safety concerns must be taken into account when selecting what  
471 to target. Furthermore, the therapeutic approach will depend in whether treating the most pressing  
472 symptomatology or restoring low/high genetic expression to rescue part of the homeostasis. Depending  
473 on the therapeutic approach, the most convenient delivery route will also need to be tested. Reached  
474 this point, the testing through clinical trials of our gene therapy will be necessarily subjected to a close  
475 assessment of reliable biomarkers. The selection of biomarkers will be crucial to be able to assess the  
476 effectiveness of a gene therapy among an heterogeneous patient cohort in the most objective way  
477 possible.

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