

1 **Saikosaponin-d Suppresses COX2 through p-STAT3/C/EBP $\beta$  Signaling Pathway**  
2 **in Liver Cancer: a Novel Mechanism of Action**

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15 **Abstract**

16 Saikosaponin d (SSd) is an active extract from *Radix Bupleuri*, the dried root from the plant *Bupleurum*  
17 *falcatum* used in China for thousands of years to treat liver diseases. The SSd extract possesses valuable  
18 pharmacological activities including anti-cancer and anti-inflammatory effects, however, the  
19 mechanism underlying the anti-cancer activity of SSd is largely unknown. Here we explored the  
20 mechanism of action of SSd as an anti-cancer agent for liver cancer in two human hepatocellular  
21 carcinoma cell lines. Using MTT and annexin-V-FITC/PI assays, Western blots,  
22 immunohistochemistry, qRT-PCR, luciferase reporter assay, and a JAK2 specific-inhibitor (AG490),  
23 we demonstrated that the anti-tumorigenic effects of SSd acts through the intermediary p-  
24 STAT3/C/EBP $\beta$  signaling pathway to suppress cyclooxygenase (COX)-2. SSd effectively inhibited  
25 cell proliferation in a dose-dependent manner. Apoptosis was significantly increased in cells treated  
26 with SSd (2.5  $\mu$ g/ml-15  $\mu$ g/ml) with concurrent increase and decrease in pro-and anti-apoptosis  
27 proteins, respectively. COX-2, C/EBP $\beta$ , and p-STAT3 were significantly decreased, at both the  
28 translational and transcriptional levels, by SSd treatment. AG490 produced similar inhibitory effects  
29 on STAT3, p-STAT3, C/EBP $\beta$  and COX-2. In conclusion, our data suggests that SSd controls liver  
30 cancer proliferation through suppression of the p-STAT3/C/EBP $\beta$  signaling pathway inhibiting COX2  
31 expression. These findings further our understanding of the pharmacological action of SSd providing  
32 new information on SSd mechanism of action and shows potential for SSd as a novel therapy for liver  
33 cancer.

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35

36 **1 Introduction**

37 Hepatocellular carcinoma (HCC) is the fifth most common malignancy and the second cancer killer  
38 worldwide (1). Incidence and mortality rates of HCC are most prevalent in Eastern and South-Eastern  
39 Asia (1). HCC is aggressive and has a poor prognosis with an overall ratio of mortality to incidence of  
40 0.95. The majority of HCC patients are diagnosed at an advanced stage when treatment options are  
41 very limited and mostly ineffective. Therefore, new effective therapeutic strategies are needed to  
42 improve long-term survival. Saikosaponin d (SSd) is a natural plant product and has been proposed as  
43 a new efficacious treatment for HCCs patients (2-4).

44 For thousands of years herbs have been used in traditional Chinese medicine (TCM) to treat various  
45 liver diseases, including cancer (3, 4). *Radix Bupleuri* is a popular herb that is still used today in about  
46 150 traditional Chinese prescriptions for various clinical conditions including liver diseases in China  
47 (3-5). *Radix Bupleuri* (Chaihu in Chinese, Saiko in Japanese) is the dried root of the plant *Bupleurum*  
48 *falcatum* L (3, 4) and is commonly used as a principal herb in a classic compound herbal formula called  
49 *Xiao Chai Hu Tang* (XCHT, or *Sho-saiko-to* in Japanese) to treat hepatocellular carcinoma (6-8). In a  
50 prospective randomized clinical trial, Oka et al convincingly show that XCHT can prevent the  
51 development of HCC in patients with cirrhosis (6).

52 The phytochemistry, pharmacology and mode of action of the genus *Bupleurum* (9) and the derivatives  
53 of the dried root, *Radix Bupleuri*, have been extensively characterized (10). The active saikosaponins  
54 and extracts isolated from *Radix Bupleuri* and their applications have been recently reviewed (4). SSd  
55 is one of the major active triterpene saponins, a natural molecule extracted from *Radix Bupleuri*.  
56 Pharmacological benefits of SSd include anti-cancer, anti-inflammatory, antipyretic, antimicrobial,  
57 antiviral, hepato-protective and immunomodulatory effects (4). Since the anti-cancer properties of SSd  
58 were first identified in 1994 (11), anti-proliferation, anti-metastasis, and anti-angiogenesis have been  
59 demonstrated both *in vitro* (11, 12) and *in vivo* (2, 6, 13). The *in vitro* antitumor properties of SSd has  
60 been demonstrated in human hepatoma (11), human hepatocellular cells (14)(SMMC7721, HepG2,  
61 Hep3B, and 2.2.15), lung cancer, A549 cells (15), prostate carcinoma, DU145 cells (16), cervical  
62 carcinoma, Hela cells (17), breast carcinoma, MCF-7 cells (18) and thyroid cancer cells (ARO, 8305C,  
63 and SW1736) (19). Albeit, the exact mechanisms by which SSd exerts its anti-cancer effects are  
64 unclear.

65 COX-2 is a rate-limiting enzyme in the production of prostaglandins promoted by a variety of factors  
66 including cytokines, growth factors and tumor promoters (20). The overexpression of COX-2 is  
67 observed in many human cancers such as prostate (21), breast (22), lung (23), and liver cancer (24-31).  
68 The importance of the strong association between COX-2 overexpression and HCC has been well  
69 documented (24-32). Several studies found that COX-2 promoted HCC cell growth, migration and  
70 invasion (26, 29). In HCC patients, the protein expression of COX-2 correlates well with  
71 differentiation grades, suggesting that abnormal COX-2 expression has an important effect in  
72 hepatocarcinogenesis (31). Recently, *in vivo* mouse studies demonstrated that overexpression of COX-  
73 2 in the liver was sufficient to induce HCC (24). COX-2 overexpression has been shown to promote  
74 tumor initiation and proliferation and inhibit apoptosis by mediating the activation of downstream  
75 oncogenic pathways (33). Thus, the role of COX-2 in the pathogenesis of HCC is relatively well  
76 defined and deregulation of the COX-2 signaling pathway may serve as a basis for designing novel-  
77 targeted therapeutic strategies for cancer therapy. What is unclear is the upstream regulatory network  
78 controlling COX-2 expression.

79 Our laboratory has played an important role in describing the significance of SSd suppression of COX-  
80 2 in HCCs and the SSd's chemo-preventive effect on liver cancer associating with COX-2 inhibition  
81 (13, 14, 34, 35). In this study we extend these findings to understand the upstream mechanism of COX-  
82 2 inhibition by SSd treatment. The transcription factor CCAAT/enhancer binding protein  $\beta$  (C/EBP $\beta$ )  
83 is one of the key regulators implicated in COX-2 expression (36). Herein, for the first time, we  
84 presented our latest data demonstrating how SSd acted through the p-STAT3/C/EBP $\beta$  signaling  
85 pathway leading to COX-2 suppression and antitumor activity in human HCC cells. This information  
86 will contribute to our new understanding of the mechanisms of action by which SSd contributes to the  
87 treatment and prevention of HCC.

## 88 2 Materials and Methods

### 89 2.1 Reagents and chemicals

90 RPMI-1640 medium was purchased from Invitrogen Life Technologies, CA, USA. Fetal bovine serum  
91 (FBS) was supplied by HyClone, UT, USA. Tyrphostin AG490 (a JAK2 kinase inhibitor), dimethyl  
92 sulfoxide (DMSO), and acetic acid were purchased from Sigma (Poole, UK). IL-6 was purchased from  
93 Pepro Tech (NJ, USA). The primary antibodies against total STAT3, COX-2 and  $\beta$ -actin, and  
94 Streptavidin/Peroxidase for immunochemical staining were purchased from BIOS China, and the  
95 antibody against phosphorylated tyrosine705 STAT3 (p-tyr-705 STAT3) was purchased from Cell  
96 Signaling Technology (Massachusetts, USA). The anti-C/EBP $\beta$  antibody was purchased from Santa  
97 Cruz (California, USA). Cell culture dishes were purchased from NECU (Denmark). IL-6 was  
98 dissolved in acetic acid to a stock concentration of 1 $\mu$ g/mL, AG490 was dissolved in DMSO to a stock  
99 concentration of 100 mM/L. Both stock solutions were stored at -20 °C for further use. For all  
100 experiments, the optimal working concentrations of the tested reagents were prepared by diluting with  
101 RPMI-1640 medium.

### 102 2.2 SSd and its preparation

103 The SSd extract (purity  $\geq$  95%) from *Bupleurum falcatum* was purchased from Sigma (Poole, UK).  
104 For all experiments, a stock solution was prepared by dissolving SSd into DMSO to a concentration of  
105 10 mg/ml and stored at -20°C. The final concentrations of the tested compound were prepared by  
106 diluting the stock solution with DMEM. The final concentration of DMSO was less than 0.1%.

### 107 2.3 Cell lines and cell culture

108 The human hepatocellular carcinoma cell line SMMC-7721 was a kind gift from Professor Chen Wei  
109 (the First Affiliated Hospital of Xi'an Jiaotong University), and the human hepatocellular carcinoma  
110 HepG2 cell line was kindly provided by Urology Institute of Xi'an Jiaotong University. The identity  
111 and authentication of both cell lines used was confirmed by relevant authorized STR profile reports.  
112 Both SMMC-7721 and HepG2 cells were cultured as described previously and have been used  
113 extensively to study liver cancer (14).

### 114 2.4 Cell proliferation assay

115 The effect of SSd on cell proliferation was tested using the MTT assay. The cells were plated in 96-  
116 well plates at a density of 5x10<sup>3</sup> cells per well and were allowed to grow to 70% confluence. After 24h,  
117 the cells were separated into four treatment groups and treated with different concentrations of SSd  
118 (2.5, 5.0, 10.0, 15.0  $\mu$ g/ml) respectively. After 24, 48, and 72 h incubation, freshly prepared MTT test  
119 solution, was added to each well. After a 4h incubation period, the supernatant was discarded and 150 $\mu$ l

120 DMSO was added to dissolve the crystals. All analyzes were performed in biological triplicates. The  
121 absorbance was measured using an ELISA reader at a wavelength of 490 nm. The proliferation  
122 inhibition rate (PIR%) was calculated using the formula:  $(PIR\%) = (\text{control well A490} - \text{experimental}$   
123  $\text{well A490}) / \text{control well A490} \times 100\%$ .

## 124 **2.5 Apoptosis assay**

125 Apoptosis analysis of both SMMC-7721 and HepG2 cells was conducted using the Annexin V-FITC  
126 Apoptosis Detection Kit according to the manufacturer's instructions (Invitrogen, CA, USA). Briefly,  
127 cells ( $2 \times 10^6$  cells/dish) were seeded into six-well plates. Following 24h treatment with and without  
128 SSd (5.0mg/ml), cells were removed from the plates using trypsin, washed with ice-cold PBS twice,  
129 and harvested. The cells were then resuspended to approximately  $1 \times 10^6$  cells/ml and stained with  
130 Annexin V-APC and propidium iodine according to the manufacturer's instructions (KeyGEN  
131 BioTECH). Annexin V-APC/PI binding was analyzed by flow-cytometry using a BD FACSCalibur  
132 system. Each histogram was constructed with the data from at least 5000 events. All the samples were  
133 analyzed in triplicate.

## 134 **2.6 Immunocytochemistry**

135 Immunocytochemical staining was performed to assess the expression of COX-2, p-STAT3 and  
136 STAT3 proteins in SMMC-7721 cells. Cells were plated on coverslips in 24-well cell culture plates at  
137 a cell density of  $10 \times 10^4$  cells/well. When the cells reached 60-70% confluency they were separated  
138 into different treatment groups. The staining was performed on the coverslips obtained from each of  
139 the treatment groups. Immunocytochemistry S-P (Streptavidin/Peroxidase) methods were used  
140 according to the manufacturer's instructions. Briefly, the slides were placed into 0.1% Triton-X 100  
141 for 5 min and incubated for 15 minutes in 3% hydrogen peroxide at room temperature. After washing  
142 with PBS (pH 7.4), the slides were blocked by blocking reagent (normal goat serum) for 15 min at  
143 room temperature. The slides were incubated with primary antibody (rabbit anti human) at 4°C  
144 overnight in a humidity chamber. Slides were washed with PBS and then incubated with goat  
145 biotinylated anti rabbit immunoglobulin G for 10 min and then incubated with streptavidin/horseradish  
146 peroxidase for 10 min at 37°C. Finally, the slides were incubated with DAB working solution (Tiangen,  
147 China) for 5 min and counterstained with hematoxylin (nuclear counterstain) after they were washed  
148 with PBS. As a negative control, sections were treated with PBS with the omission of the primary  
149 antibody.

150 The images were quantitatively analysed using ImagePro Plus 7.1 software (Media Cybernetics, Silver  
151 Spring, MD) as described in previous studies (37, 38). The threshold for positive staining was defined  
152 by a pathologist who was blinded to the treatment. This threshold was used to analyse all of the  
153 subsequent samples. The results, which represent the average positive staining above the threshold for  
154 individual sections, were expressed as image units. The mean of these values represents the amount of  
155 staining per treatment group used for subsequent statistical comparison. The reading from the control  
156 group was set to 1 and the values for the others were derived from actual readings divided by the control  
157 reading.

## 158 **2.7 Western blotting analysis.**

159 Both SMMC-7721 and HepG2 cells were seeded into 6-well plates ( $2.5 \times 10^5$ /well). After 24 h the cells  
160 were divided into different groups and treated with vehicle (Control group), or IL-6 (25ng/ml) only, or  
161 IL-6 +SSd (2.5, 5.0, 10.0  $\mu$ l/ml), or IL-6+AG90 (10, 50, 100 $\mu$ mol/L), by adding the indicated drug  
162 concentrations directly into the cell culture medium. The next day tumor cells were lysed in lysis buffer



163 and centrifuged at 12 000 g for 15 min. Protein concentrations were determined using a Pierce™ BCA  
 164 Protein Assay Kit (Thermo Fisher Scientific) following the manufacturer's instructions. The protein  
 165 was separated by 10% SDS polyacrylamide gel electrophoresis and then transferred to a polyvinylidene  
 166 fluoride membrane. After blocking for 1 h with 5% milk in tris-buffered saline and tween 20, the  
 167 primary antibodies [total STAT3 (1:200), p-tyr-705 STAT3 (1:1000), C/EBPβ (1:1000), COX-2  
 168 (1:1000), and β-actin (1:300)] were added and incubated at 4°C overnight. After incubation with  
 169 secondary antibodies, horseradish peroxidase-conjugated secondary antibody (1:3000), membranes  
 170 were visualized with ECL (Santa Cruz, CA) detection. Protein bands were scanned using Odyssey  
 171 bands scanner (S/N ODY-2792 model: 9120). The intensities of the bands were analyzed using  
 172 Bandscan Software.

173 **2.8 Quantitative reverse transcriptase-PCR (qRT-PCR).**

174 QRT-PCR was conducted to assess the expression of mRNA for COX-2, STAT3, C/EBPβ in both  
 175 SMMC-7721 and HepG2 cells after treatment with SSd at various concentrations, or addition of  
 176 AG490. Cells were first seeded into 6cm dishes ( $2 \times 10^6$  cells/dish). After 24h incubation, cells in  
 177 treatment groups (Group 2 to 5) were then treated with IL-6 at 25ng/ml plus SSd (0, 2.5, 5.0 and 10.0  
 178 μg/ml), or JAK2 kinase inhibitor AG490 (0, 10, 50 and 100 μmol/L), for a further 24h. The total RNA  
 179 in cells in all treatment groups was extracted using TRIzol reagent (Invitrogen, CA, USA). RNA  
 180 integrity was confirmed by absorption at 260 nm and 280 nm using a spectrophotometer (Beckman  
 181 Coulter Du® 800, CA, USA). cDNA was synthesized using Transcript High Fidelity cDNA Synthesis  
 182 Kit (Fermentas). The primer sequences for target genes of COX-2, STAT3, C/EBPβ and β-actin are  
 183 detailed in Table 1. Using the Light Cycler 480 SYBR Green I Master Mix (Roche), qRT-PCR was  
 184 performed according to the qRT-PCR manufacturer's protocol (Invitrogen, CA, USA). Melting curve  
 185 detection was used to analyze the specificity of qRT-PCR products. The expression of mRNAs were  
 186 analyzed by Mx Pro QPCR software version 3.0, and the housekeeping gene, β-actin, was used as an  
 187 internal control to normalize variations in the integrity and total amount of cDNA. Data are expressed  
 188 as relative expression as described by Livak and Schmittgen (39).

189 **Table 1** Primers used for RT-qPCR

Target gene	Forward primer (5'→3')	Reverse primer (5'→3')
COX-2	AGTATCACAGGCTTCCATTGACCAG	CCACAGCATCGATGTCACCATAG
STAT3	GGCTTCTCCTTCTGGGTCTGG	TCTTACCGCTGATGTCCTTCTCC
C/EBPβ	GTTTCATGCAACGCCTGGTG	AAGCAGTCCGCCCTCGTAGTAGAAG
β-actin	ATCGTGCGTGACATTAAGGAGAAG	AGGAAGGAAGGCTGGAAGAGTG

190 **2.9 Luciferase reporter assay**

191 Bioinformatic analysis (JASPAR (<http://jaspar.genereg.net/>)) was used to predict binding sites between  
 192 transcription factors and gene promoters. HepG2 cells seeded in 96-well plates were cultured for 24h  
 193 reaching 60-80 % confluency before transfection. The luciferase reporter vector, the wild-type (WT)  
 194 or mutant (Mut) (GeneChem, China) together with pcDNA3.1 plasmid (GeneChem, China) were co-  
 195 transfected using the Lipofectamine 2000 reagent (Invitrogen, Carlsbad, CA). At 48h post-transfection,  
 196 the Dual Luciferase Assay Kit (Promega) was used to examine the luciferase activity according to the  
 197 manufacturer's instructions. Renilla luciferase activity was used as a control.

198 **2.10 Cell transfection assay**

199 All the small interfering RNA (siRNA) sequences targeting STAT3 (Genepharma, Shanghai, China)  
 200 have been listed in Table 2. STAT3 knockdown was performed by transfecting STAT3-siRNA#1-3.

201 Transfection assays were conducted when the cells reached approximately 60-80% confluency  
 202 according to the manufacturer's instructions. Lipofectamine 2000 (Invitrogen, USA), Total RNA from  
 203 cells was extracted 48h post-transfection.

204 **Table 2.** siRNA Sequences used in the present study

Genes	sense (5'-3')	antisense (5'-3')
STAT3-siRNA1-398	CCACUUUGGUGUUUCAUAATT	UUAUGAAACACCAAAGUGGTT
STAT3-siRNA2-978	GCAACAGAUUGCCUGCAUUTT	AAUGCAGGCAAUCUGUUGCTT
STAT3-siRNA3-1070	CCCGUCAACAAAUUAAGAATT	UUCUAAAUUUGUUGACGGGTT

205

### 206 **2.11 Statistical analysis**

207 All statistical analysis was performed using SPSS package version 24.0. The results were expressed as  
 208 means  $\pm$ SD as indicated. All treatments were arranged in a randomized block design with three  
 209 replicates. Analysis of variance was used for comparison among different treatment groups. The  
 210 difference was considered statistically significant when  $P < 0.05$ .

## 211 **3 Results**

### 212 **3.1 Inhibitory effect of SSd on cancer cell proliferation**

213 The SSd antiproliferative effects in human hepatocellular carcinoma cancer cell lines, SMMC-7721  
 214 and HepG2, were demonstrated in a dose- and time-dependent manner using the MTT proliferation  
 215 assay. As illustrated in Fig. 1, the degree of inhibition was concomitant with an increase in SSd dosage  
 216 and the significance ( $P > 0.05$ ) was demonstrated in all treatment groups compared to control (vehicle).

### 217 **3.2 SSd induced apoptosis**

218 The degree of apoptosis was analyzed by flow cytometry in all treatment groups and compared to the  
 219 control groups in both SMMC-7721 and HepG2 cells (Fig. 2A). Post 24 h treatment with SSd, the  
 220 percentages of apoptotic cells were significantly increased in both cell types in a dose-dependent  
 221 fashion compared to controls ( $P < 0.05$  or  $0.01$ ) (Fig. 2B). At the protein level, SSd treatment also  
 222 resulted in an increase in the pro-apoptotic protein Bax and a decrease in the anti-apoptotic protein  
 223 Bcl-2. The high expression of CDK6 (a key protein kinase, which activates cell proliferation) and  
 224 cyclin B1 were inhibited by SSd in both SMMC-7721 and HepG2 cells (Fig. 2C).

### 225 **3.3 SSd suppressed protein expression of p-STAT3 and COX-2**

226 We utilized immunohistochemical staining to determine the expression and localization of STAT3, p-  
 227 Stat3 and COX-2 in tumor cells. Total STAT3, COX2 and p-tyr-705 STAT3 strongly stained in the  
 228 nuclear compartment (brown staining) in the control groups. Immunocytochemistry quantitation, using  
 229 ImagePro Plus 7.1 software, showed significant increase in p-tyr-705 STAT3 and COX-2 when the  
 230 cells were exposed to IL-6, however no significant changes were observed in total STAT3 with IL6  
 231 treatment. Both AG490 and SSd effectively inhibited the expression of p-tyr-705 STAT3 and COX-2  
 232 (Fig. 3A and B). However, the expression of total STAT3 showed no difference between the control  
 233 group and the SSd group (Fig. 3A and B). Both AG490 and SSd effectively inhibited the expression  
 234 of p-tyr-705 STAT3 and COX-2 (Fig. 3A and B). However, the expression of total STAT3 showed no  
 235 difference between the control group and the SSd group (Fig. 3A and B). The inhibition of p-STAT3  
 236 and COX-2 expression by both SSd ( $5\mu\text{g/ml}$ ) and AG490 ( $25\mu\text{mol/L}$ ) was statistically significant

237 (p<0.01). Interestingly, whilst treatments with AG490 and SSd significantly decreased nuclear COX2,  
238 a slight increase in COX2 expression was present in the cytoplasmic compartment.

### 239 **3.4 SSd Inhibited p-STAT3, C/EBP $\beta$ and COX-2 protein**

240 STAT3 and C/EBP $\beta$  are key signaling molecules involved in carcinogenesis of HCC. Here we  
241 determined the effects of SSd on the activation of STAT3 by measuring the level of p-STAT3 (tyr 705)  
242 in the total protein extracts. It is well known that the transcription factor CCAAT/enhancer-binding  
243 protein (C/EBP $\beta$ ) plays a key role in regulating COX-2 gene expression (40, 41). Therefore, we  
244 determined whether C/EBP $\beta$  was also an important target for SSd in these tumor cells. The  
245 representative images of Western blotting results from all treatment groups are presented in Figs. 4 &  
246 5. As shown in Figs. 4 & 5, IT-6 (25ng/mL) treatment resulted in nuclear translocation and  
247 phosphorylation of STAT3 in both cell types. The protein expression of C/EBP $\beta$ , p-tyr-705 STAT3  
248 and COX-2 were significantly higher compared to untreated cells (P<0.01). Following the addition of  
249 SSd at various concentrations in cell culture, the protein expression of all C/EBP $\beta$ , p-tyr-705 STAT3  
250 and COX-2 were significantly inhibited (P<0.01) in both SMMC-7721 and HepG2 cells and the  
251 inhibition was demonstrated in a dose-dependent manner (Fig 4). The observed inhibition of protein  
252 expression of C/EBP $\beta$ , p-tyr-705 STAT3 and COX-2 by AG490 (Fig 5) was similar to that  
253 demonstrated by SSd. The protein level of total STAT3 did not vary significantly among the five  
254 treatment groups.

### 255 **3.5 Effects of SSd on the expression of mRNA for STAT3, C/EBP $\beta$ and COX-2**

256 The mRNA expression of the target genes in the tumor cells were analyzed by qRT-PCR. The  
257 expression of mRNA for COX-2 and C/EBP $\beta$  was significantly higher in the IL-6 treated group  
258 compared to the control group (P<0.01) (shown in Fig. 6). However, the increased mRNA expression  
259 was abrogated by SSd and AG490 and the inhibition was observed in a dose-dependent manner. When  
260 compared with cells treated with IL-6, the mRNA expression for both COX-2 and C/EBP $\beta$  was  
261 significantly abrogated by both SSd and Ag490 (P<0.05 and 0.01) and the observed inhibition by SSd  
262 was similar to that observed by AG490 treatment. STAT3 expression showed no significant difference  
263 in all treatment groups tested.

### 264 **3.6 STAT3/C/EBP $\beta$ signaling pathway regulated the expression of COX2 in HCC cells**

265 In order to verify the regulatory mechanisms of STAT3/C/EBP $\beta$ /COX2 signaling pathway, we used  
266 the JASPAR program to predict the binding sites between these genes. The results suggested that  
267 STAT3 has a potential binding site on the C/EBP $\beta$  promoter, in addition, C/EBP $\beta$  has a potential  
268 binding site on the COX2 promoter. To verify the validity of the binding sites between genes, the  
269 luciferase reporter vectors were constructed for C/EBP $\beta$  and COX2 promoters (Fig.7 A, B). The  
270 luciferase reporter assay results showed co-transfection of cells with C/EBP $\beta$ -WT vector and  
271 pcDNA3.1-STAT3 significantly increased luciferase reporter activity, however, C/EBP $\beta$ -Mut in  
272 STAT3's putative targeting sites did not result in these effects (Fig. 7B). Similarly, co-transfection of  
273 cells with COX2-WT vector and pcDNA3.1-C/EBP $\beta$  significantly increased luciferase reporter  
274 activity, however, COX2-Mut in C/EBP $\beta$ 's putative targeting sites did not result in these effects (Fig.  
275 7D). In order to investigate the regulation of STAT3 on C/EBP $\beta$  and COX2 expression, three STAT3-  
276 specific small interfering RNAs (siRNA1-3) and a negative control (siRNA-NC) were transfected into  
277 HepG2 and SMMC-7721 cells to evaluate the inhibition efficiency of STAT3. As shown in Figure 7E,  
278 STAT3-siRNA1-3 produced the greatest reduction in endogenous STAT3 expression. Meanwhile,  
279 compared with the control group, interfering with the expression of STAT3 significantly down-

280 regulated the mRNA levels of C/EBP  $\beta$  and COX2 (Fig. 7 F, G). These results suggest that  
281 STAT3/C/EBP $\beta$  signaling positively regulates the expression of COX2 in HCC.

282

#### 283 4 Discussion

284 Building on our previous work, which identified the significant role of SSd in COX2 suppression in  
285 hepatocarcinogenesis and its chemo-preventative effects in HCC (13, 14, 34, 35), in this report, we  
286 extended our study to show that anti-tumorigenic effects of SSd acts through the intermediary p-  
287 STAT3/C/EBP $\beta$  signaling pathway to suppress COX-2. SSd effectively inhibited cell proliferation in  
288 a dose-dependent manner via regulating apoptosis. Most importantly, we provided evidence to  
289 support the signaling pathway from STAT3 to C/EBP $\beta$ , and then to COX2, leading to COX2  
290 suppression by SSd, uncovering the upstream regulatory pathway of COX2. This represents a novel  
291 mechanism of action for SSd.

292 Overexpression of COX-2 has been previously reported to induce tumor initiation, progression and  
293 angiogenesis in solid tumors, including liver cancers (24-26, 28, 29), identifying anti-COX-2  
294 treatment as an important target for liver cancer. Selective COX-2 inhibitors have demonstrated a  
295 significant inhibition on the proliferation of HCC cells (42). The commercially available celecoxib, a  
296 selective nonsteroidal anti-inflammatory drug (NSAID) COX-2 inhibitor, has been shown to exert its  
297 anticarcinogenic effect in the liver and in liver cell lines by inducing apoptosis through the intrinsic  
298 apoptotic pathway (42). Treatment of cancer cells with celecoxib led to demonstrated alterations in  
299 the relative levels of the Bcl-2 family, pro-apoptotic proteins increased and anti-apoptotic proteins  
300 decreased (43, 44). In keeping with these observations, we demonstrated that the natural product SSd  
301 significantly suppressed COX-2 protein and mRNA levels (Figs. 4 and 6). These findings were  
302 accompanied by significant inhibition of cell proliferation in both SMMC-7721 and HepG2 cells in a  
303 dose-and time-dependent manner. The magnitude of inhibition in both cell lines were similar (Fig. 1).  
304 We further demonstrated that SSd exerted its anti-carcinogenic effect in these cancer cell lines by  
305 decreasing the antiapoptotic protein Bcl-2 and increasing the pro-apoptotic protein Bad (Fig. 2). The  
306 antitumorigenic effects of SSd observed have similar properties to celecoxib treatment, suggesting  
307 that pro-apoptosis in our study may be initiated through COX-2 inhibition.

308 There is considerable information on the downstream regulatory network of COX-2 overexpression  
309 linking elevated COX-2 expression to carcinogenesis. COX-2 overexpression has been reported to  
310 enhance the expression of key oncogenic genes, (HB-EGF, Krt23, Pak1 and TNFRSF12A) and  
311 signaling cascades (AKT, STK33 and MTOR pathway), which contribute to the initiation and  
312 progression of HCC formation (24). To-date no study showing how SSd exerts its COX-2 suppression  
313 through the upstream regulatory network has been reported. This report described a novel antitumor  
314 action of SSd by inhibition of specific intermediary upstream regulators of COX-2 in HCC.

315 To elucidate the mechanism by which SSd inhibits COX-2 expression, we analyzed the protein  
316 expression of STAT3, p-STAT, C/EBP $\beta$  and COX-2 and mRNA expression for STAT3, C/EBP $\beta$  and  
317 COX-2 genes after treatment with SSd at increasing dosage concentrations. We found that at low  
318 concentrations, between 2.5-10  $\mu$ g/ml, SSd effectively suppressed both mRNA and protein expression  
319 of C/EBP $\beta$  and COX-2 (Figs. 4 and 6). IL-6 effectively stimulated the expression of C/EBP $\beta$  and COX-  
320 2 and significantly activated STAT3. Considering SSd suppressed the phosphorylation of STAT3  
321 (active form of STAT3), and AG490 exhibited a similar inhibitory profile to that of SSd on STAT3, p-  
322 STAT, C/EBP $\beta$  and COX-2, our results suggested a direct association between SSd-induced inhibition  
323 of COX-2 with downregulation of C/EBP $\beta$ . Furthermore, we used the JASPAR program to predict the

324 binding sites between STAT3, C/EBP $\beta$  and COX2 genes, and revealed that STAT3 has a potential  
325 binding site on the C/EBP $\beta$  promoter, and C/EBP $\beta$  has a potential binding site on the COX2 promoter.  
326 The luciferase reporter assay was used to validate the binding sites between genes in HCC cells. The  
327 results suggested that STAT3/C/EBP $\beta$  signaling positively regulates the expression of COX2 in HCC  
328 cells, providing evidence of the signaling pathway from STAT3 to C/EBP $\beta$ , and then to COX2.

329 In agreement with our data, previous studies demonstrated that the transcription factor C/EBP $\beta$ , as an  
330 upstream regulator of the COX-2 gene, was significantly elevated in various cancer tissues such as  
331 colorectal cancer, human ovarian epithelial tumor, gastric carcinoma (45), prostate cancer (46) and  
332 human HCC (13). Thus, further confirming an active role for C/EBP $\beta$  in tumorigenesis and cancer  
333 development. Other studies have found that the activation of C/EBP $\beta$  is crucial for the initial induction  
334 of COX-2 by growth factors, tumor promoters, cytokines and other inflammatory mediators in various  
335 cell types (41, 47), supporting suppression of this pathway, as demonstrated by SSd may be an  
336 important anti-cancer therapy. Overlapping overexpression of C/EBP $\beta$  and COX-2 has been observed  
337 in gastric carcinomas suggesting that C/EBP $\beta$  has the potential to mediate gastric carcinogenesis via  
338 the regulation of COX-2 expression (45). In human prostate tissues, high correlation of C/EBP $\beta$  and  
339 COX-2 expression were associated with chronic inflammation and prostate cancer development (46).  
340 Furthermore, anti-inflammatory drugs, such as salicylate, suppressed COX-2 expression via inhibition  
341 of C/EBP $\beta$  binding to the COX-2 promoter (48). Our previous study demonstrated a correlation  
342 between C/EBP $\beta$  overexpression and COX-2 overexpression in human HCC tissue (34). Collectively,  
343 these studies provide further support for our present findings, which show activation of the C/EBP $\beta$   
344 and COX-2 pathway plays a vital role in carcinogenesis.

345 In conclusion, our study demonstrates that the antitumorigenic effects of SSd on HCC cells is a  
346 consequence of the suppression of COX-2 expression, which is mediated by downregulation of p-  
347 STAT3 via C/EBP $\beta$ . Mechanistically this study supports that SSd blocks phosphorylation and nuclear  
348 translocation of STAT3, then suppresses the expression of C/EBP $\beta$  mRNA and protein, leading to the  
349 inhibition of COX-2 expression. Linking STAT3, C/EBP $\beta$  and COX-2, this report presents a novel  
350 mechanism of action for SSd and advances our understanding of the pharmacological action of SSd in  
351 anti-tumorigenicity. Our results also suggests that low doses of SSd, a natural compound extract, shows  
352 great potential as a novel alternative chemo-preventive agent for the treatment of HCC.

353

## 354 **5 Conflict of Interest**

355 The authors declare that the research was conducted in the absence of any commercial or financial  
356 relationships that could be construed as a potential conflict of interest.

## 357 **6 Author Contributions**

358 MR participated in all experimental work; MR, EM, YRL, SH and YL analysed the data, drafted,  
359 revised and edited the paper; YL and SH planed the experiments and applied for research grants. YRL,  
360 XZ, XL, ZZ contributed to several parts of the experiment, and revised and edited the manuscript.

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- 493

## 494 FIGURE LEGENDS

495 **Figure 1. SSd inhibited proliferation of SMMC-7721 and HepG2 cells.** Adherent liver cancer  
496 cells (SMMC-7721 and HepH2) were seeded in 96-well plates ( $5 \times 10^3$  cells/well) and incubated with  
497 different concentrations of SSd ranging from 2.5 μg to 15 μg/ml, and time intervals ranging from 24-  
498 72h, as indicated on the histograms. Cell proliferation was determined by the MTT assay. Data were  
499 expressed as mean ± SD.

500 **Figure 2. SSd increased apoptosis in SMMC-7721 and HepG2 cells.** A: The tumor cells were  
501 treated with SSd at various concentrations or vehicle (control) and analyzed by flow cytometric  
502 analysis. B: Apoptosis rates in all treatment groups are presented as a histogram (data were expressed  
503 as mean ± SD). C: Western blots of Bax (a pro-apoptotic protein), CDK6, Bcl-2 and cyclin B1. β-  
504 actin was used as a loading control.

505 **Figure 3: Alteration of p-STAT3, COX-2 and STAT3 expression post treatment with SSd.** A:  
506 Representative images of immunocytochemical staining of SMMC-7721 cells pre- and post-  
507 treatment with AG490, SSd and IL-6. Control group: cells treated with PBS; IL-6 Group: Cells  
508 treated with IL-6 (25ng/ml); AG90 Group: Cells treated with IL-6 (25ng/ml) + AG490 (25 μmol/L)  
509 and SSd Group: Cells treated with IL-6 (25ng/ml) + SSd (5 μg/ml). (DAB used as chromogen;  
510 original magnification x 200): nuclear immunoreactivity. B: Results from quantitative analysis of  
511 images using ImagePro Plus 7.1 software and data were expressed as arbitrary image units. \*\*p <  
512 0.01, \*p < 0.05 compared to the control. Nucleus was stained using hematoxylin (blue), antibody  
513 staining (brown).

514 **Figure 4. Protein expression of total STAT3, p-STAT3, C/EBP $\beta$  and COX-2 following**  
 515 **treatment with SSd.** SMMC-7721 and HepG2 cells were seeded into 6-well plates ( $2.5 \times 10^5$ /well).  
 516 After 24 h culture in RPMI-1640 medium, the cells were divided into 5 groups and treated with SSd  
 517 in the following conditions: 1) Control group cells received no drug treatment ; 2) cells treated with  
 518 IL-6 (25 ng/ml) only; 3) cells treated with IL-6 (25 ng/ml) + SSd (2.5  $\mu$ g/ml); 4) cells treated with IL-  
 519 6 (25 ng/ml) + SSd (5.0  $\mu$ g/ml); 5) cells treated with IL-6 (25 ng/ml) + SSd (10.0  $\mu$ g/ml).  
 520 Representative Western blot of results are shown in upper panels. For the quantitation of Western  
 521 blots, protein expression was normalized to  $\beta$ -actin levels in each lane and expressed relative to  
 522 levels in normal cells. The data are presented as the mean  $\pm$ SD of three separate experiments.  
 523 \*indicated  $P < 0.05$  and \*\*meant  $P < 0.01$  when compared with group 2 where cells were treated with  
 524 IL-6 only.

525 **Figure 5. Protein expression of total STAT3, p-tyr-705 STAT3, C/EBP $\beta$  and COX-2 following**  
 526 **treatment with AG490 (JAK2 inhibitor).** Cell culture conditions are as described in Fig. 4. Tumor  
 527 cells (HepG2 and SMMC-7721) were divided into different groups and treated with different  
 528 concentrations of AG490 as follows: 1) control group- cells received no drug treatment ; 2) cells  
 529 treated with IL-6 (25 ng/ml) only; 3) cells treated with IL-6 (25 ng/ml) + AG490 (10 $\mu$ mol/L); 4) cells  
 530 treated with IL-6 (25 ng/ml) + AG490 (50 $\mu$ mol/L); 5) cells treated with IL-6 (25 ng/ml) + AG490  
 531 (100 $\mu$ mol/L).

532 **Figure 6. Expression of mRNA for total STAT3, C/EBP  $\beta$  and COX-2 as determined by qRT-**  
 533 **PCR. A: SSd treated cells-upper panel:** Tumor cells (HepG2 and SMMC-7721) were divided into  
 534 5 groups and treated with different concentrations of SSd as follows: 1) control group-cells received  
 535 no drug treatment ; 2) cells treated with IL-6 (25 ng/ml) only; 3) cells treated with IL-6 (25 ng/ml) +  
 536 SSd (2.5  $\mu$ g/ml); 4) cells treated with IL-6 (25 ng/ml) + SSd (5.0  $\mu$ g/ml); 5) cells treated with IL-6  
 537 (25 ng/ml) + SSd (10.0  $\mu$ g/ml). **B: AG490 treated cells-lower panel:** Both HepG2 and SMMC-7721  
 538 cells were divided into identical 5 groups and treated AG490 as various concentrations as follows: 1)  
 539 control group- cells received no drug treatment ; 2) cells treated with IL-6 (25 ng/ml) only; 3) cells  
 540 treated with IL-6 (25 ng/ml) + AG490 (10 $\mu$ mol/L); 4) cells treated with IL-6 (25 ng/ml) + AG490  
 541 (50 $\mu$ mol/L); 5) cells treated with IL-6 (25 ng/ml) + AG490 (100 $\mu$ mol/L). Data are expressed as  
 542 relative expression using the  $\Delta\Delta$ Cq method. \*\* $P < 0.01$  and \* $P < 0.05$  compared with group 2 (cells  
 543 treated with 25ng/mL IL-6).

544 **Figure 7. STAT3/C/EBP $\beta$  signal pathway regulate the expression of COX2 in HCC cells.**  
 545 Schematic illustrating the STAT3 binding sites at the promoter of C/EBP  $\beta$  (A), and the C/EBP  $\beta$   
 546 binding sites at the promoter of COX2 (B). (C) Luciferase reporter assay was applied to verify the  
 547 targeted binding effect between STAT3 and C/EBP  $\beta$ , \*\* $P < 0.01$ . (D) Luciferase reporter assay was  
 548 applied to verify the targeted binding effect between C/EBP  $\beta$  and COX2, \*\* $P < 0.01$ . (E) qRT-PCR  
 549 analysis of STAT3 expression following transfected HepG2 and SMMC-7721 cells with STAT3-  
 550 siRNA1-3. \* $P < 0.05$ , \*\* $P < 0.01$ . (F) qRT-PCR analysis of C/EBP  $\beta$  expression following transfected  
 551 HepG2 and SMMC-7721 cells with STAT3-siRNA1-3. \* $P < 0.05$ , \*\* $P < 0.01$ . (G) qRT-PCR analysis  
 552 of COX2 expression following transfected HepG2 and SMMC-7721 cells with STAT3-siRNA1-3.  
 553 \* $P < 0.05$ , \*\* $P < 0.01$ .

554

Figure 1.TIF

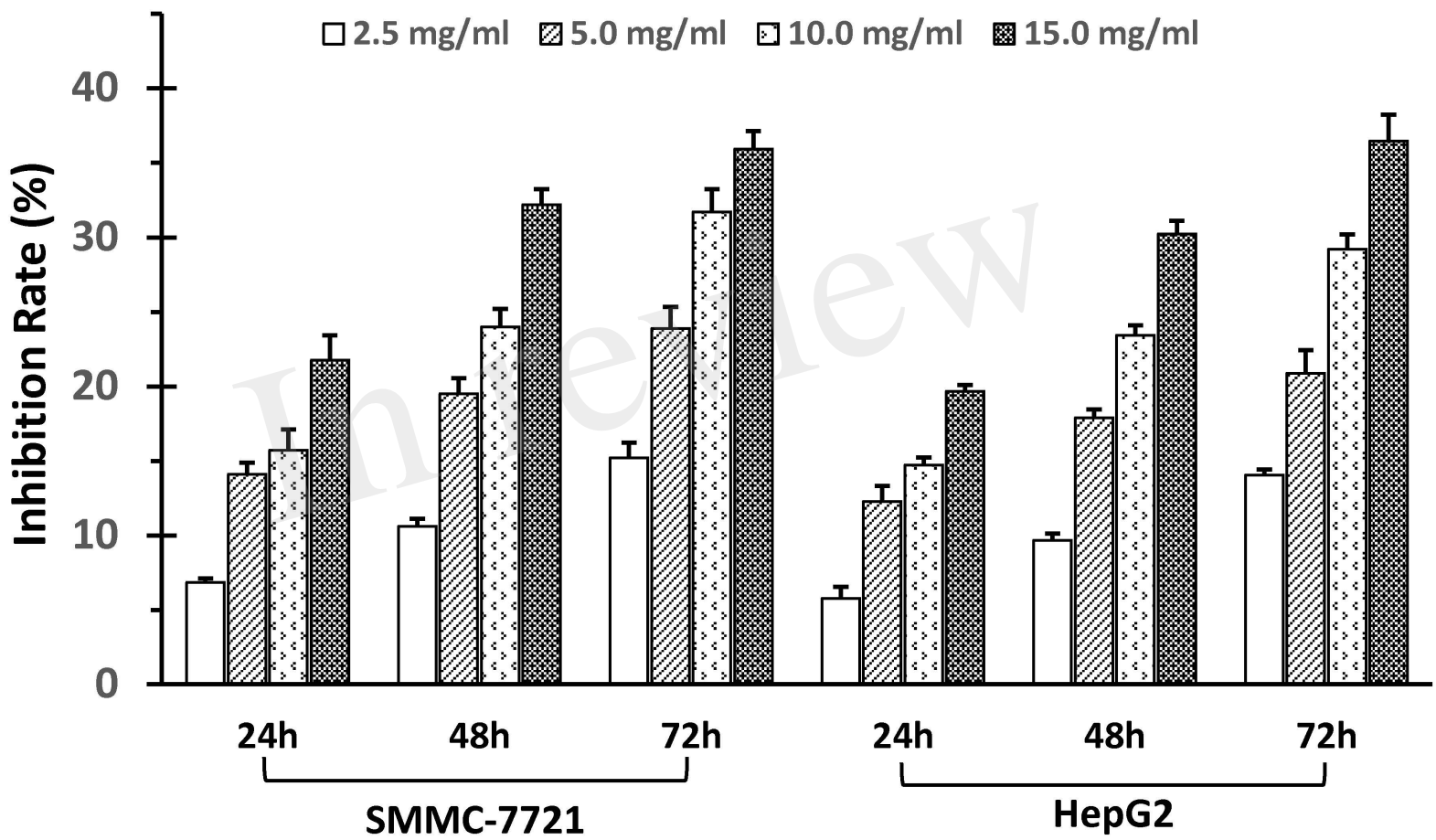
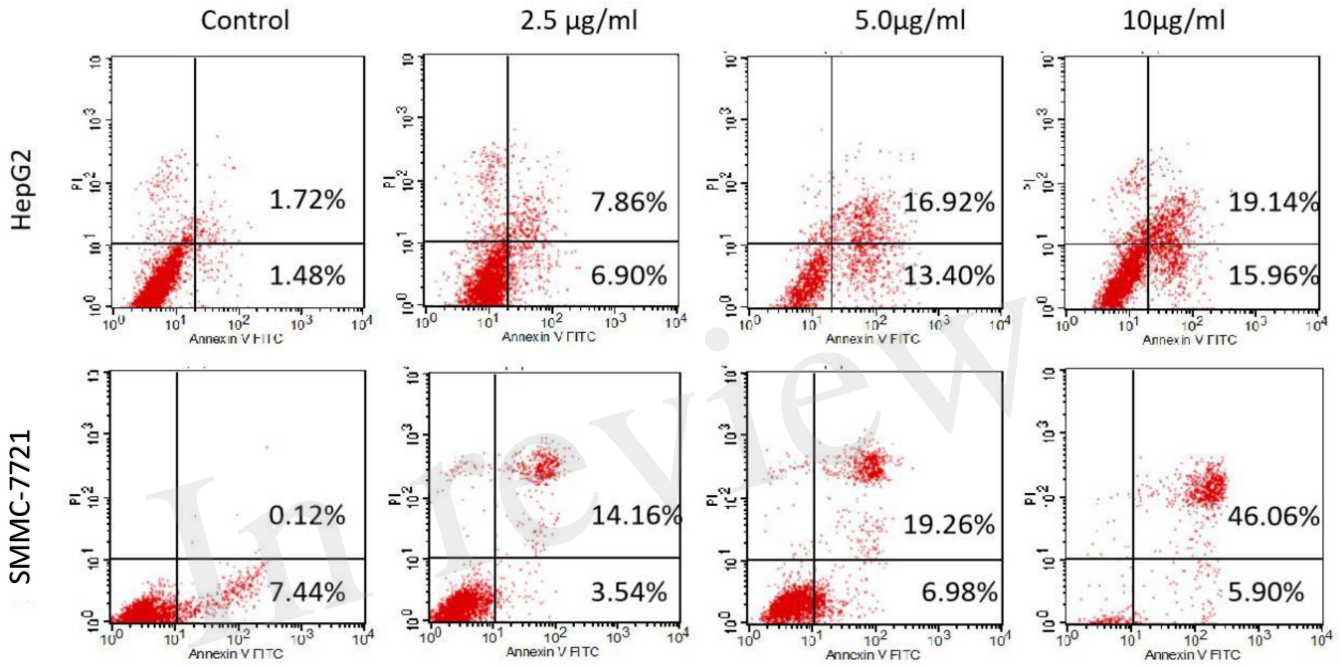


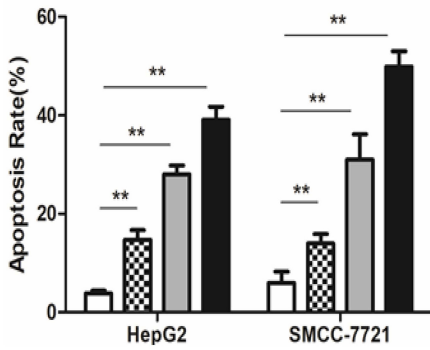


Figure 2.JPEG

A



B



C

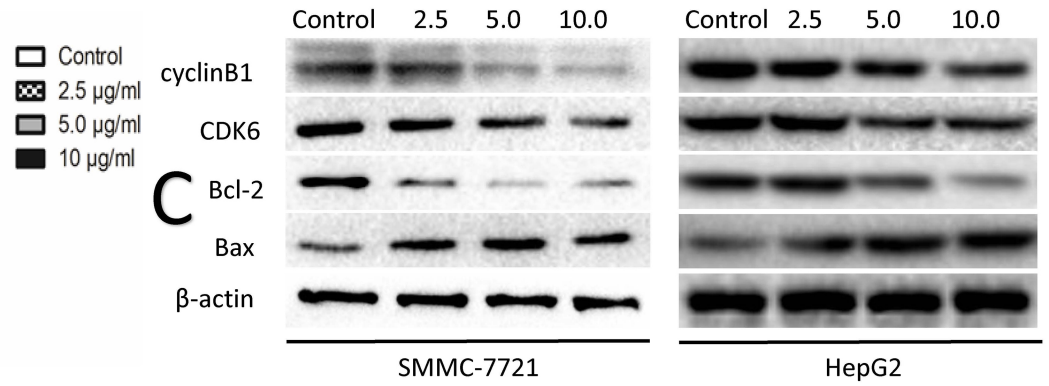


Figure 3.JPEG

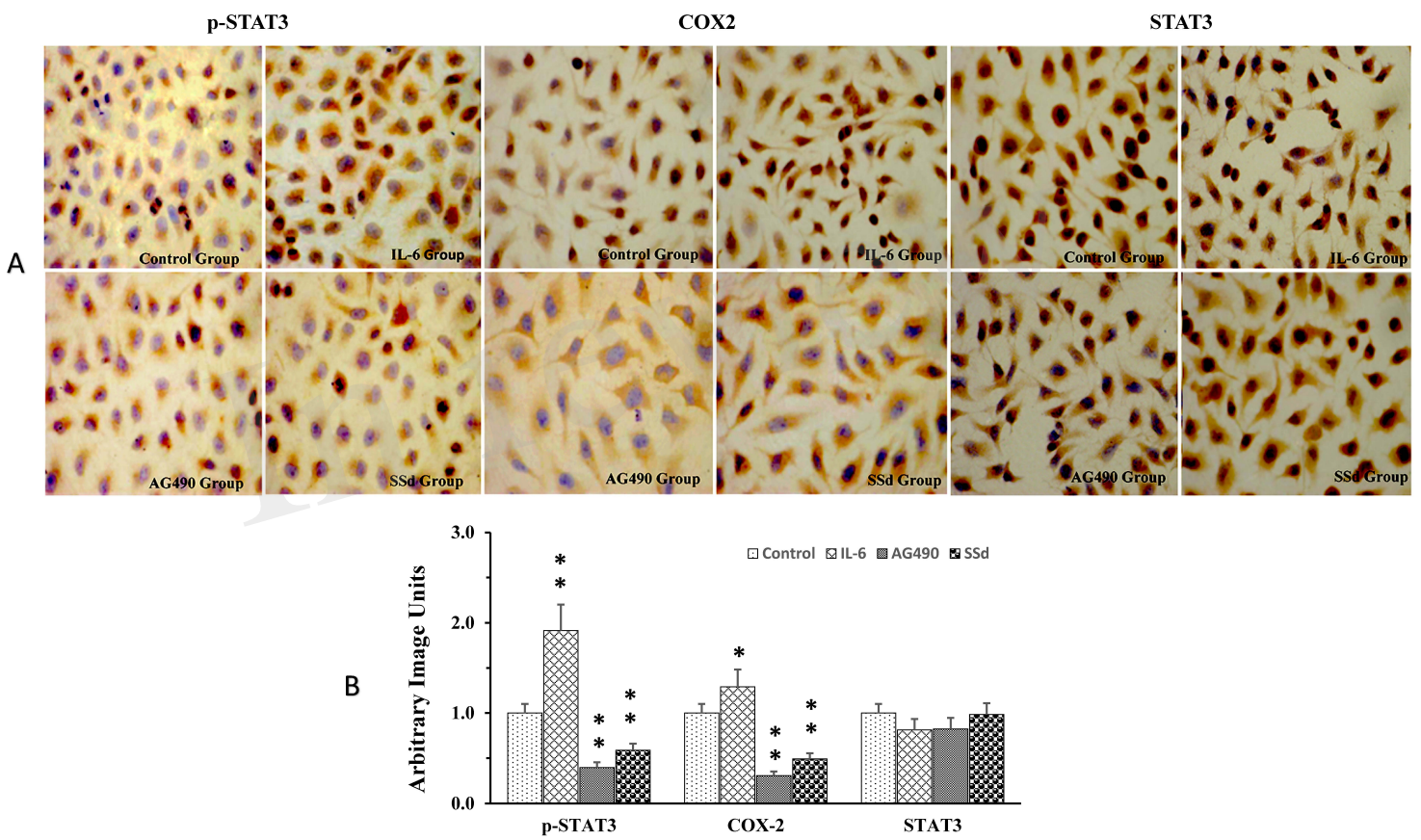


Figure 4.JPEG

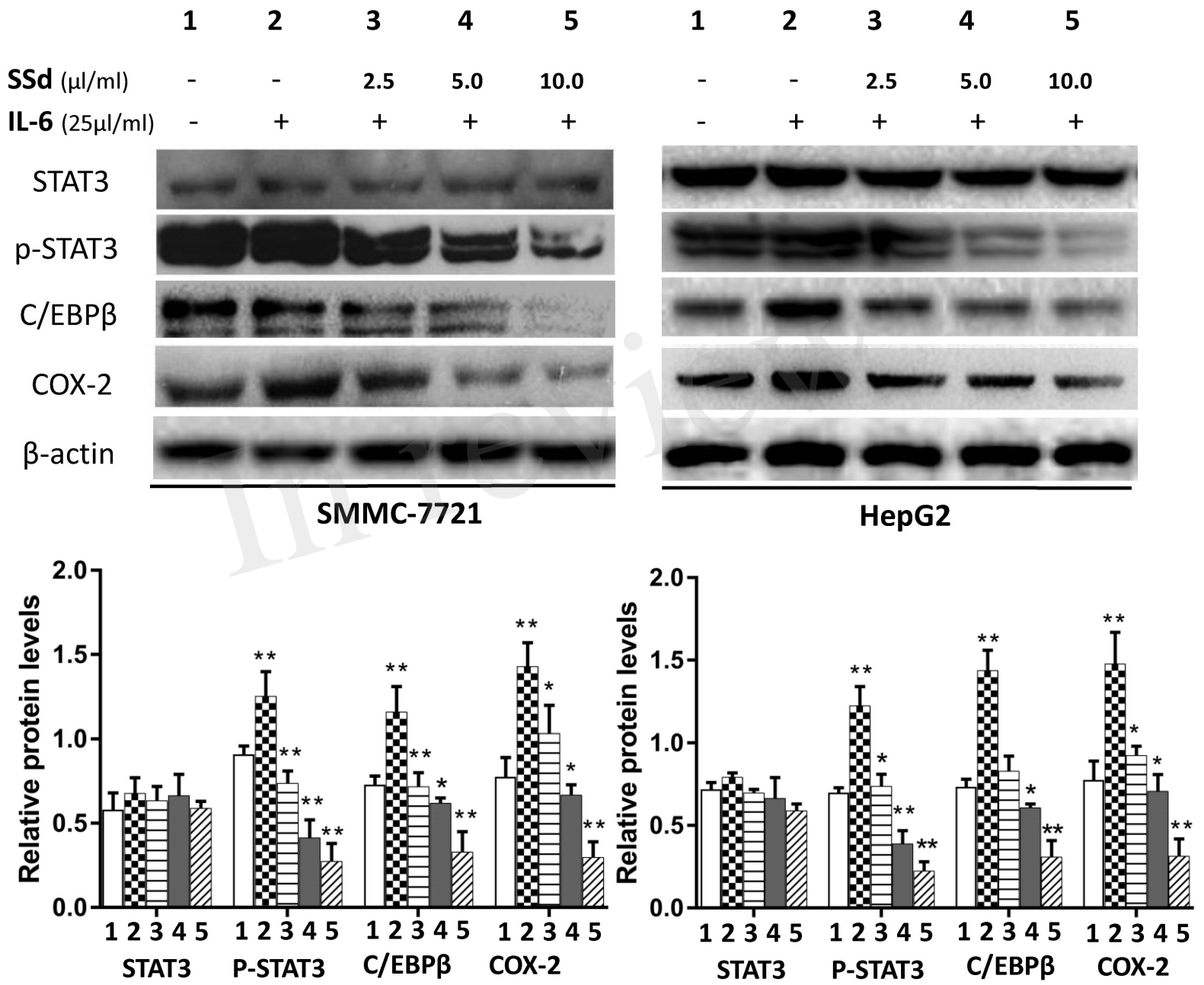


Figure 5.TIF

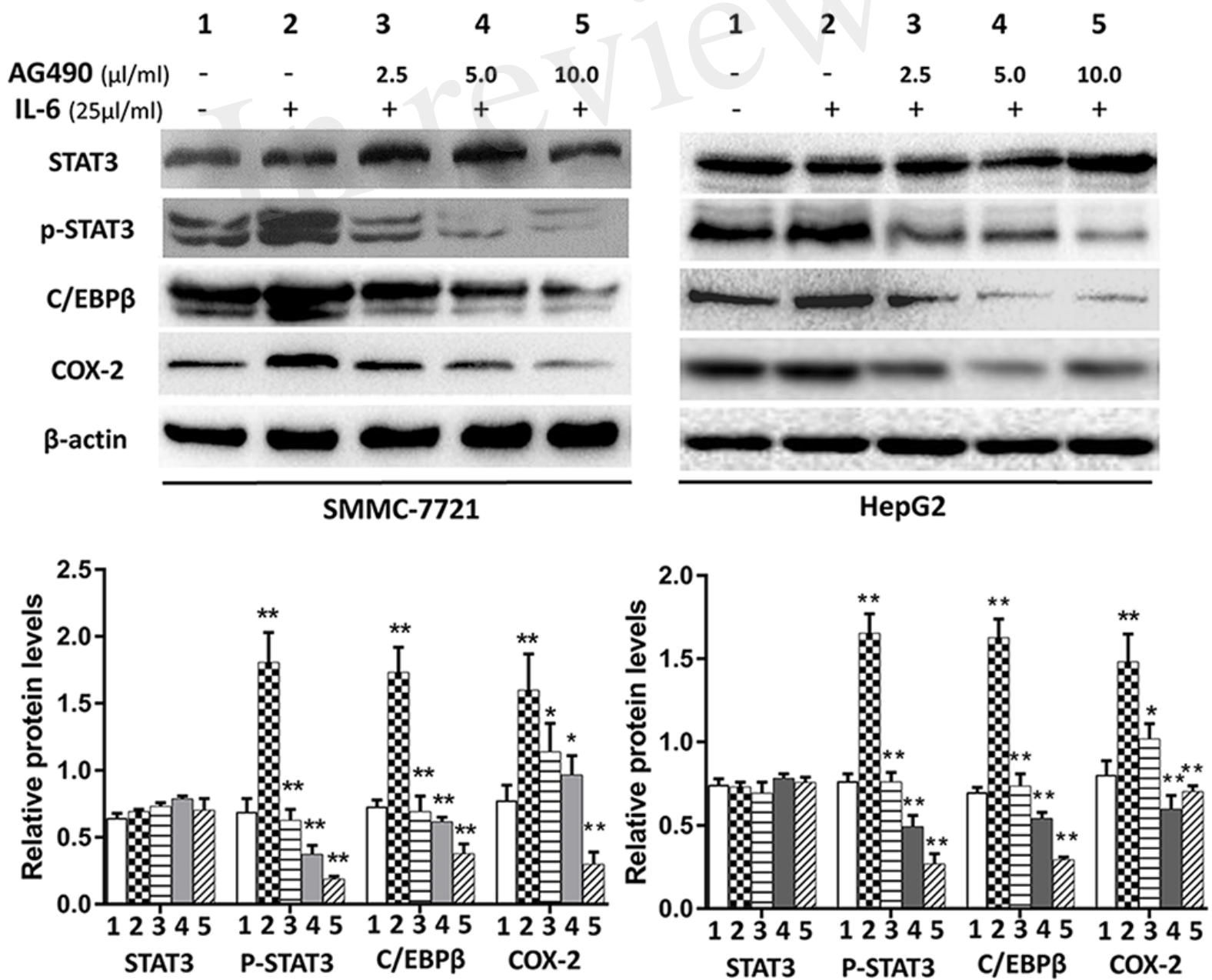


Figure 6.TIF

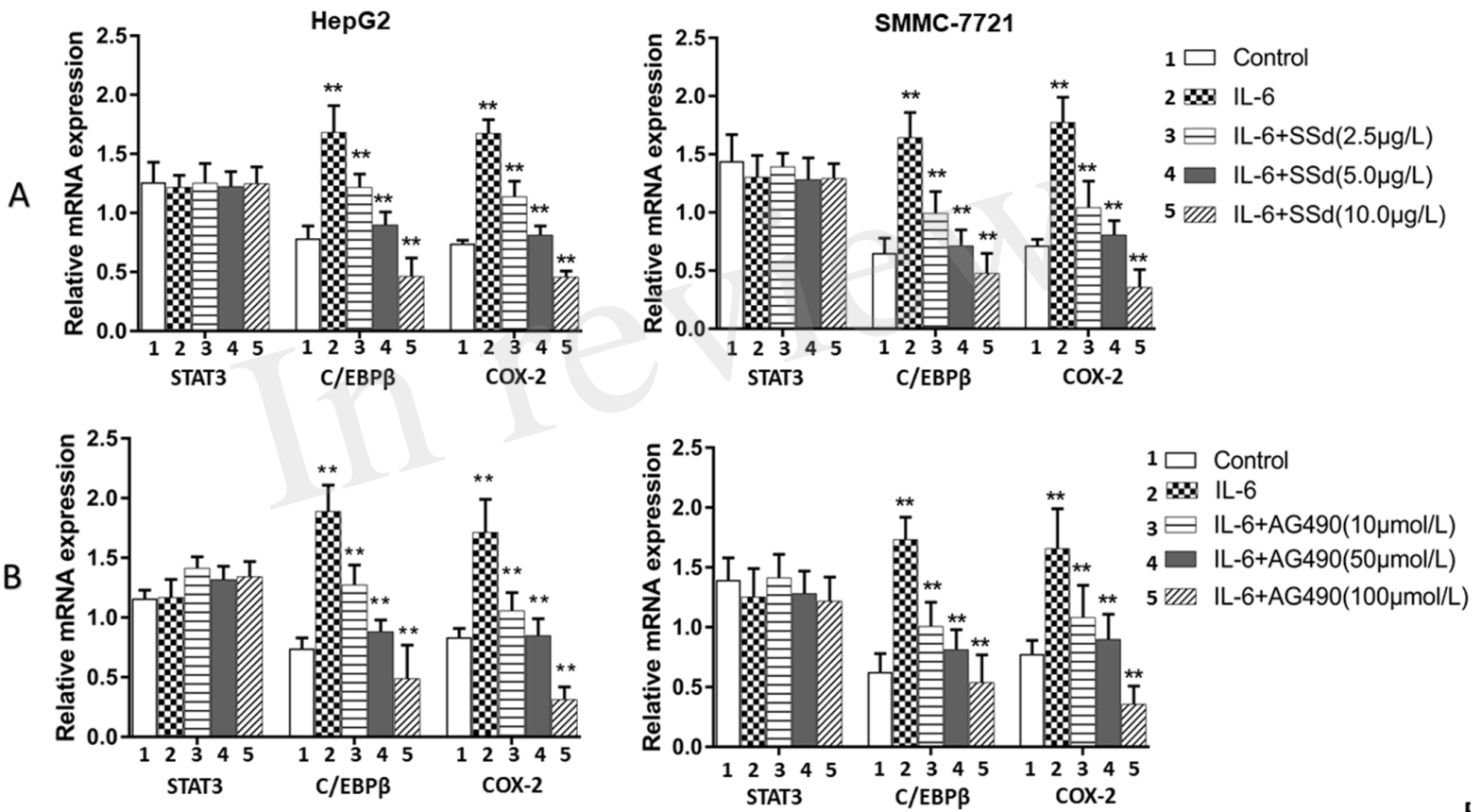




Figure 7.JPEG

