1 Stratification of the Gut Microbiota Composition Landscape Across the

2 Alzheimer's Disease Continuum in a Turkish Cohort

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4 Süleyman Yıldırım*#1,2, Özkan Ufuk Nalbantoğlu*3,4, Abdulahad Bayraktar*5, Fatma Betül Ercan⁶,

- 5 Aycan Gündoğdu^{4,7}, Halil Aziz Velioğlu^{2,6}, Mehmet Fatih Göl⁷, Ayten Ekinci Soylu⁷, Fatma Koç^{1&}, Ezgi
- 6 Aslan Gürpınar⁷, Kübra Sogukkanlı Kadak⁶, Muzaffer Arıkan², Adil Mardinoğlu^{5,8}, Mehmet Koçak⁹, Emel
- 7 Köseoğlu^{#,10}, Lütfü Hanoğlu^{#,11}
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- 1. Department of Medical Microbiology, Istanbul Medipol University International School of Medicine, Istanbul, Turkey
- 2. Regenerative and Restorative Medicine Research Center (REMER); Research Institute for Health Sciences and Technologies (SABITA), Istanbul Medipol University, Istanbul, Turkey.
- 3. Department of Computer Engineering, Erciyes University, Kayseri, Turkey
- 4. Genome and Stem Cell Center (GenKok), Erciyes University, Kayseri, Turkey
 - 5. Centre for Host-Microbiome Interactions, Faculty of Dentistry, Oral & Craniofacial Sciences, King's College London, London, SE1 9RT, UK
 - 6. Graduate Program in Neuroscience, Istanbul Medipol University International School of Medicine, Istanbul, Turkey
 - 7. Department of Microbiology and Clinical Microbiology, Erciyes University School of Medicine, Kayseri, Turkey
 - 8. Science for Life Laboratory, KTH Royal Institute of Technology, Stockholm, SE-17121, Sweden
 - 9. Department of Preventive Medicine, University of Tennessee Health Science Center, Memphis, TN, United States of America
 - 10. Department of Neurology, School of Medicine, Erciyes University, Kayseri, Turkey
 - 11. Department of Neurology, School of Medicine, Istanbul Medipol University, Istanbul, Turkey.
- **Running title**: Gut Microbiota Stratification in Alzheimer's Disease **Key Words**: Gut microbiome. Alzheimer's Diseases. 16S rRNA. Stratification

*Equal contribution.

#Corresponding authors:

Email addresses: Dr. Süleyman Yildirim <u>suleymanyildirim@medipol.edu.tr</u>

Dr. Emel Koseoglu emelk@erciyes.edu.tr

Dr. Lutfu Hanoglu Ihanoglu@medipol.edu.tr

[&]Current address: APC Microbiome Ireland, University College Cork, Cork T12 YT20, Ireland

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ABSTRACT

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53 Alzheimer's disease (AD) is a heterogeneous neurodegenerative disorder that spans over a 54 continuum with multiple phases including preclinical, mild cognitive impairment, and dementia. 55 Unlike most other chronic diseases there are limited number of human studies reporting on AD 56 gut microbiota in the literature. These published studies suggest that the gut microbiota of AD 57 continuum patients varies considerably throughout the disease stages, raising expectations for 58 existence of multiple microbiota community types. However, the community types of AD gut 59 microbiota were not systematically investigated before, leaving important research gap for diet-60 based intervention studies and recently initiated precision nutrition approaches aiming at 61 stratifying patients into distinct dietary subgroups. Here, we comprehensively assessed the 62 community types of gut microbiota across the AD continuum. We analyze 16S rRNA amplicon 63 sequencing of stool samples from 27 mild cognitive patients, 47 AD, and 51 non-demented control 64 subjects using tools compatible with compositional nature of microbiota. To characterize gut 65 microbiota community types, we applied multiple machine learning techniques including 66 partitioning around the medoid clustering, fitting probabilistic Dirichlet mixture model, Latent 67 Dirichlet Allocation model, and performed topological data analysis for population scale 68 microbiome stratification based on Mapper algorithm. These four distinct techniques all converge 69 on Prevotella and Bacteroides partitioning of the gut microbiota across AD continuum while some 70 methods provided fine scale resolution in partitioning the community landscape. The Signature 71 taxa and neuropsychometric parameters together robustly classify the heterogenous groups 72 within the cohort. Our results provide a framework for precision nutrition approaches and diet-73 based intervention studies targeting AD cohorts.

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IMPORTANCE

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The prevalence of AD worldwide is estimated to reach 131 million by 2050. Most disease 78 79 modifying treatments and drug trials have failed due partly to the heterogeneous and complex 80 nature of the disease. Unlike other neurodegenerative diseases gut microbiota of AD patients is 81 poorly studied. Recently initiated ambitious precision nutrition initiative or other diet-based 82 interventions can potentially be more effective if the heterogeneous disease such as AD is 83 deconstructed into multiple strata allowing for better identification of biomarkers across narrower 84 patient population for improved results. Because gut microbiota is inherently integral part of the 85 nutritional interventions there is unmet need for microbiota-informed stratification of AD clinical 86 cohorts in nutritional studies. Our study fills in this gap and draws attention to the need for 87 microbiota stratification as one of the essential steps for precision nutrition interventions. We 88 demonstrate that while Prevotella and Bacteroides clusters are the consensus partitions the newly 89 developed probabilistic methods can provide fine scale resolution in partitioning the AD gut 90 microbiome landscape.

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92 Key words: Alzheimer's Disease, Gut microbiota, Machine learning, Stratification, Dirichlet,
93 Topological data analysis

INTRODUCTION

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97 Alzheimer's Disease (AD) is the most common form of dementia worldwide and its prevalence is 98 estimated to reach 131 million by 2050 [1]. AD spans over a continuum starting with the non-99 symptomatic pre-clinical stage and advancing through the spectrum of clinical stages. These 100 stages are dashed with distinct pathophysiological states [2], namely the amyloid-tau-101 neuroinflammation axis. The clinical continuum entails mild memory loss and/or cognitive

impairments (mild cognitive impairment, MCI due to AD) and trajectories for function leading to memory problems besides cognitive impairment (dementia phase); and finally complete loss of independent functioning towards the end stage [3]. Moreover, The Alzheimer's dementia phase is further broken down into the stages of mild, moderate and severe, thereby making AD a complex and highly heterogenous disease.

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108 Traditionally, pathogenesis of AD is attributed to extracellular aggregation of amyloid-β-peptides 109 $(A\beta)$ in senile plaques and intracellular depositions of hyperphosphorylated tau that forms 110 neurofibrillary tangles [4]. Although numerous clinical trials based on the amyloid postulates have 111 been attempted virtually all of them have failed [5]. The unsettlingly consistent failure of clinical 112 trials targeting single target amyloid pathways prompted researchers to refine the amyloid 113 hypothesis [6] and even extend it to periphery [7]. Recently, a group of AD researchers asserted 114 that infectious agents reach and remain dormant in the central nervous system (CNS) and 115 undergo reactivation during aging, sparking cascades of inflammation, induce A β , and ultimately 116 neuronal degeneration [8]. Chronic inflammation in CNS mediated by microglial toxicity as well 117 as systemic inflammation in the periphery is widely recognized in AD and linked to amyloid 118 cascade hypothesis in animal experiments [9, 10]. None of the drugs available today for 119 Alzheimer's dementia slow or stop the damage and destruction of neurons [11]. Intervention at 120 different points along the Alzheimer's continuum should therefore be multimodal and involve 121 targeting neuropathology in brain, systemic inflammation in the body, and metabolic processes in 122 the periphery that escalate the disease in brain [12]. Non-pharmacologic, targeted, personalized, 123 and multimodal disease modifying interventions in AD, including diet and lifestyle changes to 124 optimize metabolic parameters has recently been under investigation [13-16].

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A growing body of evidence suggest that human gut microbiota is strongly associated with human metabolic processes in all organs including brain [17] and implicated in neuroinflammation via

128 brain-gut axis [18]. Gut microbes across animal models influence CNS by modulation of 129 neuroimmune function, sensory neuronal signaling, and metabolic activity [19]. Several studies 130 using transgenic animal model of AD reported gut microbiota alterations (see [19]) but these 131 animal models poorly mirror human AD. Unexpectedly, only a few human clinical studies on AD 132 were reported in the literature [20-28]. Of these studies, gut microbiota associated metabolites 133 such elevated Trimethylamine N-oxide (TMAO) in CSF [26] and altered bile acids profile [28] were 134 directly implicated in AD dementia. Importantly, dietary pattern of AD patients is at the center of 135 the precision medicine approaches [29]. Also, diet is one of the most important factors modulating 136 gut microbiota-based active metabolites. Disease modifying approaches involving diet should 137 therefore consider microbiota in AD. Indeed, a recent study [23] tested the impact of a modified 138 Mediterranean ketogenic diet on gut microbiome composition and demonstrated that the diet can 139 modulate the gut microbiome and metabolites in association with improved AD biomarkers in 140 CSF. These published studies, however, did not comprehensively investigate AD microbiota 141 subclusters across the disease continuum, leaving important gap in our understanding of human 142 microbiota in a highly heterogenous disease. Recently initiated ambitious precision nutrition 143 approaches [30-33] cannot be applied on a highly heterogenous disease before deconstructing 144 the disease into multiple strata and tailoring therapies accordingly.

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In the present study, we postulated that gut microbiota dysbiosis along the AD continuum should reflect an overlapping yet distinct community types. We show that AD gut microbiota includes distinct community types and the cognitive impairments in AD continuum is associated with unique gut microbiota signatures. Elucidating the diversity and community types of gut microbiota would facilitate identification of stratification biomarkers thereby contributing to precision nutrition approaches in AD.

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RESULTS

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156 Study Design and Participant Characteristics.

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158 The study cohort consisted of 47 AD, 27 MCI (all amnestic), and 51 subjects non-demented 159 controls (N=125). To minimize dietary confounding effect on the microbiome, we included healthy 160 co-habiting spouses of the patients sharing the same diet as controls. The control group therefore 161 largely (n=27) comprised partners of the patients. Participants were recruited in two health centers 162 located in different cities. The cohort groups were statistically not different in terms of sex, but age 163 and education factors were significantly different (Table 1), therefore statistically adjusted in 164 analyses. Expectedly, the groups were also different in cognitive tests including the Mini-Mental 165 State Exam (MMSE), and the Clinical Dementia rating (CDR). Most AD participants had very mild 166 or mild dementia, with clinical dementia rating (CDR) scores ranging from 0.5-3 (median CDR 1 167 for AD; 0.5 for MCI and 0 for the control group). The median MMSE scores were significantly 168 higher in control (MMSE=27) and MCI (MMSE=26) groups than AD (MMSE=16). A subset of AD 169 patients (n=12) was clinically asked to undergo lumbar puncture to ascertain diagnosis using CSF 170 biomarkers including A\u00df42/A\u00ef40 ratio, phosphorylated tau (p-tau), and the p-tau/A\u00ef42 ratio 171 (Supplementary Table S1). We collected medication information from the patient's registry.

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173 Microbiome composition is associated with disease status along the AD continuum

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The gut microbiota was profiled using the V3-V4 hypervariable region of the 16S rRNA gene; The Nephele automatic pipeline denoised the paired-end sequences and assigned amplicon sequence variants (ASVs) according to DADA2 [34]. The Nephele produced both unrarefied and the rarefied ASV tables. The rarefied table included a total of 3486 ASVs in the table (10769 sequences/sample) for downstream analyses. 180 The phylum level taxonomic analysis showed typical human gut microbiota profile in terms of 181 over-abundance of Firmicutes, Bacteroidetes, and Proteobacteria (Figure 1a). Together with 182 Verrucomicrobia, and Actinobacteria the five phyla comprised 99% of all reads but Proteobacteria 183 was overrepresented in AD patient samples. Notably, the genus level relative abundance 184 distributions across samples showed Prevotella 9 and Bacteroides were the most abundant of 185 top30 genera across the samples (Figure 1b). To perform differential abundance analysis 186 between samples we sought concordance analysis among multiple tools. ANCOM-BC or 187 ALDEx2, when used covariates in their models, both agreed that only Ruminoccus unclassified 188 is significantly differentially abundant among the groups (data not shown). Nevertheless, when 189 we employed limma-voom R package (age and sex adjusted, FDR<0.05) we found that 190 Prevotella 9. Bacteroides and members of Ruminococcaceae family were among the top most 191 significant differentially abundant taxa (ASV) between the cohort groups (Supplementary Tables 192 S2-5). A comprehensive comparative statistical assessment of multivariate and compositional 193 methods [35] demonstrated ALDEx2 or alike tools suffer from low power while limma-voom and 194 songbird in their own class were the best performers.

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Alpha diversity indices (Shannon, Inverse Simpson) did not show significant differences after multiple testing corrections (Kruskal-Wallis, Supplementary Figure S1 (a-d), FDR>0.05) but richness index, Chao1, showed significant difference between MCI and the control group (pairwise Wilcoxon rank sum test, p=0.008074).

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We employed both relative abundances based and recently developed compositionally aware tools, namely DEICODE [36] and Songbird [37] to compare the composition and structure of bacterial communities in samples using multiple beta diversity indices (Bray-Curtis, Jaccard, and Aitchison). The principal coordinates analysis showed separation of the three groups by both Bray-Curtis and Jaccard indices (Figure 2a-b). We used adonis2 function in giime2 plugin (g2-

206 diversity) to perform PERMONAVA analysis with 999 permutations and included interaction terms 207 (Supplementary Table S6) and seperation of the groups were highly significant (P=0.0001). Age 208 and Sex also significantly contributed to the total variance (P<0.001) but the interaction terms 209 were not significant. Furthermore, dispersion between groups tests (PERMDISP) indicated only 210 the dispersion MCI group is significantly heteregenous (pairwise comparisons p=0.033 for AD-211 MCI; p=0.024 for C-MCI; p=0.672 for AD-C), which may be attributed to unbalanced design. We 212 added further support for the seperation of the three groups from other ordinations. The Canonical 213 Analysis of Principal Coordinates (CAP) analysis unambigiously showed the three groups are 214 distinct (Figure 2c, trace statistic = 0.86855, p=0.001, 999 permutations). The final support in beta 215 diversity was provided by the DEICODE analysis (robust Aitchison PCA) (Figure 2d, 216 PERMANOVA p=0.02), which indicated that the three groups are distinct, and the community 217 clusters are largely driven by a subset of ASVs with taxonomic assignment Prevotella 9, 218 Bacteroides, unclassified within family а genus Ruminococcaceae 219 (Ruminococcaceae unclassified), and Escherichia/Shigella. Moreover, the co-occurrence 220 analysis using SparCC showed that Prevotella 9 and Bacteroides were negatively correlated 221 (Correlation=-0.4445, FDR =0.09355). Moreover, the genus level PCoAs showed partially 222 overlapping clusters of these two taxa while the groups overall were also significantly separated 223 (PERMANOVA, p <0.0001, Supplementary Figures S2 (a-c)). We therefore placed particular 224 attention to these two taxa in the rest of the downstream analyses.

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Enrichment analysis by multinomial regression embedded in the songbird tool with regard to covariates (formula: Age+Sex+Edu+MMSE+CDR+Groups(levels=("C", "MCI","AD")) indicated that the natural log ratio of *Prevotella_9* to *Bacteroides* and *Prevotella_9* to *Escherichia/Shigella* significantly separated AD group from the control group (Welch's t-test, FDR adjusted p=0.04) but not from the MCI group (Figure 3a-d). Importantly, the songbird excluded 25 samples from this analysis due to zero-rich abundances that do not allow for center-log ratio calculations. We 232 therefore tested the natural log ratio of top 25% allowing to include all samples in the analysis 233 ("Set1" in Supplementary Table S7) to the bottom 25% ("Set2", Supplementary Table S8) of the 234 ranked ASVs associated with the AD relative to the control group; also, same ratios for MCI 235 relative to the control group ("Set3" and "Set4", Supplementary Table S8) and the ASVs 236 enriched in each group were visualized with Qurro [38]. Both sets of ranked log ratios revealed 237 significant differences (Graph Pad Prism) between the log ratios of features differentiating groups 238 (Welch's t-test, FDR adjusted p= 0.0002).

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240 Discrete multiple subsets of gut microbiota exist along the AD continuum

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242 Considering the preceding results, we postulated that gut microbiota profile along the AD 243 continuum does not represent a single state, rather, distinct yet overlapping community types. We 244 addressed this hypothesis using four unique methods: 1- Partitioning around medoid (PAM)-245 based clustering [39], 2- Fitting Dirichlet multinomial mixture (DMM) models to partition microbial 246 community profiles into a finite number of clusters [40] using the Laplace approximation, 3- Fitting 247 Latent Dirichlet Allocation (LDA) [41, 42] using perplexity measure, and 4- Analyzing topological 248 futures of data density [43] based on the Mapper algorithm to capture subtle and non-linear 249 patterns of high-dimensional datasets and population level stratification.

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The PAM-based clustering identified three (k=3) distinct clusters based on Gap statistics (Supplementary Figure S3a). PCoA analysis of the sample abundances in the three clusters indicated significant separation of the clusters (Figure 4a, PERMANOVA, p=0.001) . We confirmed optimum number of clusters using both Jensen-Shannon and Bray-Curtis distance metrices (data not shown). The relative abundance of the genus *Prevotella_9* dominated cluster-1 while the genus *Bacteroides* showed the highest relative abundances in the other two clusters (Figure 4b).

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259 Next, we employed the Dirichlet multinomial mixtures probabilistic community modeling using the 260 DirichletMultinomial R package [40] and fitting genus level absolute abundances. Based on 261 Laplace approximation three clusters (cluster 1, 2, and 3) represented the best model fit 262 (Supplementary Figure 3b), which was congruent with the PAM-based clustering. The PCoA 263 analysis of these clusters and PERMANOVA pairwise tests further supported existence of three 264 distinct clusters within the microbial community (Figure 4c, PERMANOVA, p=0.01). The genus 265 Bacteroides was the most abundant taxa in the first two clusters and the third cluster was 266 dominated by *Prevotella* 9 (Figure 4d). Notably, cluster2 included significantly higher abundance 267 of Bacteroides (26.3%) than cluster1 (9.9%) and cluster3 (4.7%). In addition to highly enriched 268 Bacteroides in cluster2 the decreasing trend of Faecalibacterium abundance and elevated 269 abundance of inflammation associated Escherchia/Shigella suggested that cluster2 can be 270 named "Bacteroides2 (Bact2) enterotype" as recently described [44, 45]. Reportedly, abundance 271 of Bacteroides in Bact2 enterotype can reach as high as 78% in patients with inflammatory bowel 272 disease and is associated with systemic inflammation. These results suggest that cluster2 273 includes patients with aggravated systemic inflammation.

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275 We also performed SIMPER analysis based on Bray-Curtis distance to identify taxa contributing 276 most to dissimilarities between clusters (data not shown). Bacteroides, Prevotella_9, 277 Faecalibacterium, and taxa within Ruminococcaceae family ranked among the top ten taxa 278 contributing most to differences between the three DMM clusters. To examine which factors were 279 associated with the DMM clusters we analyzed distribution of clinical metadata and diversity 280 metrics within the clusters. Alpha diversity indices (Chao1, Shannon, and Inverse Simpson) were 281 statistically different between all three clusters after Benjamini-Hochberg FDR adjustment. 282 However, CDR, MMSE, Age, Sex, and Education were not significant between the clusters

(Kruskal Wallis test followed by Dunn's posthoc test, FDR<0.05 and Fisher's Exact test was used
for Sex parameter). (Figure 5 a-h)

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286 We next tested LDA potential to stratify gut microbiota of the cohort participants. This 287 unsupervised machine learning technique is increasingly finding acceptance in the field of 288 microbiome [46-48] for its unique ability to reveal latent or hidden groups within the data cloud. 289 Supplementary Figure S4 shows LDA model's perplexity parameter and log-likelihood values to 290 find optimal number of clusters. Both parameters continued to partition the community without 291 reaching a clear optimum. This finding is unexpectedly consistent with recent publications using 292 LDA in microbial ecology [46-48]. Bacteria probability distributions (ranked by probability $\geq 1\%$ in 293 descending order) across the subgroups are displayed in Figure 6a. Interstingly, of the ten 294 subgroups two subgroups were dominated by Bacteroides (topic1 and topic5) and a subgroup 295 (topic2) dominated by *Prevotella* 9 with 97% probability. These subgroups therefore resemble 296 subgroups detected by PAM and DMM in terms of prevalence of Bacteroides and Prevotella 9. 297 Unlike DMM and PAM, however, LDA detected a distinct subgroup (topic10) with top ranking 298 genus was Escherichia/Shigella, which also included putatively opportunistic bacteria such as 299 Entercoccus and Klebsiella. Subgroups 4, 6, and 9 were conspicious with the genera known to 300 produce butyrate and acetate or is mucinphilic. Even though we present first ten subgroups 301 (topics) here we also examined higher order subgroups and observe that the ten subgroups are 302 further partitioned into additional subgroups such as subgroups with topranking probability of 303 Lactobacillus and Akkermansia emerge. Finally, we plotted Quetelet index by subgroups to infer 304 associations between subgroups and the cohort groups (Figure 6b). Quetelet index estimates the 305 relative change of the occurence frequency of a latent subgroup among all the samples compared 306 to that among the samples of the cohort groups. The index showed subgroups 1, 8,9, 10 are 307 positively associated with AD group. The subgroup 9 is enriched by the members of 308 Ruminococcaceae family. The top ranking Ruminococcaceae UCG 002 and Akkermansia are

more abundant in AD group than the control group according to limma-voom analysis. *Akkermansia* overabundance in AD gut microbiota is counterintutive but was previously reported by others [25] and this genus is more abundant in the gut microbiota of Parkinson's patients, also [49]. The subgroup 10, where *Escherichia/Shigella* is the top ranking genus, is strongly associated with AD group but negatively associated with other groups. Conversely, subgroups 2,4, and 7, which are enriched by short chain fatty acid producers, are positively associated with the control and MCI groups but negatively associated with AD.

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317 Another and last method we employed to stratify gut microbiota was topological data analysis 318 (TDA), based on the Mapper algorithm [50] embedded in recently developed tmap tool [43]. The 319 tmap tool was developed for network representation for stratification and association study of 320 high-dimensional microbiome data. After constructing TDA microbiome network using Mapper 321 algorithm (ordination, covering, and DBSCAN clustering) the workflow in the second step includes 322 computation of a modified version of the spatial analysis of functional enrichment (SAFE) scores 323 to map both the metadata and microbiome features into the TDA network to generate their vectors 324 of SAFE scores. Vectors of SAFE scores are then used to perform ranking and ordination, and 325 co-enrichment relations to delineate relationship between metadata and microbiome features. To 326 construct TDA network we first applied dimension reduction (filtering) in PCoA using Bray-Curtis 327 distance, followed the above algorithm and also repeated the entire analysis using Jensen-328 Shannon distance to reveal effect of distance metric, if any. To understand how driver taxa relate 329 to each other and with the clinical metadata we performed Principal Component Analysis (PCA) 330 of SAFE scores. Figure (7a) shows the TDA network and PCA (Bray-Curtis distance) of taxa-331 metadata based on SAFE scores (Supplementary Table S9), respectively. We obtained similar 332 TDA network profile using Jensen-Shannon distance (Figures 7b) and SAFE scores 333 Supplementary Table S10). Size of each marker is scaled according to the SAFE score and only 334 top30 bacteria species are shown in PCA figures for clarity. A node in the network represents a

335 group of samples sharing similar bacteria genus profiles. Two given nodes are linked when 336 common samples are shared between the two nodes. The TDA analysis using both distance 337 indices resulted in very similar stratification profile with the top ten SAFE scoring genera included 338 *Prevotella_9, Bacteroides, Rumunococaceae_unclassified, species of Lachnospiraceae, and* 339 *GCA90006675.* Unsurprisingly, a few taxa ranking differed between the two profiles such as 340 *Caprococcus_2, Mollicutes_RF39_unclassified.*

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342 Furthermore, Figures (8a and 8b) show taxa and host covariates based on Bray-Curtis and 343 Jensen-Shannon distances, respectively. Regardless of the distance metric, all three groups were 344 clearly separated. The drivers of microbiome stratification (Prevotella 9, Bacteroides, 345 Ruminococcus unclassified) are placed near the control, AD and MCI groups, respectively in both 346 PCA figures. Of the clinical metadata, MMSE, sex, and education were grouped with the control 347 group and co-enriched with Prevotella 9 but also with Prevotella 2, and Haemophilus, and 348 Lachnospiraceae NK4B4 group. Conversely, CDR, age, and AD group were clustered together 349 and co-enriched with taxa such as Subdoligranulum, Odoribacter, Bilophila, Alistipes. The MCI 350 group was co-enriched with Ruminocoaceae unclassified. Mollicutes RF39 unclassified. 351 Ruminocoaceae UCG 005, Lachnospiraceae unclassified. However, some taxa such as 352 Odoribacter was placed near the control group in Jensen-Shannon distance PCA Figure (8b), 353 suggesting co-enrichment of certain taxa can be somewhat influenced by the preferred distance 354 metric.

355 Identification of signature taxa for AD continuum and association with metadata

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We constructed Random Forest (RF) model on selected features of gut microbiota and psychometric test scores (MMSE and CDR) that are typically used as proxy in clinical diagnosis. Using songbird, we selected 300 ASV (Top 25%) that differentiates between the healthy (control) and the disease groups (MCI and AD). We then plotted the ASVs with the first 20 highest mean

361 decrease Gini values (Figure 9a) and included ASVs with mean decrease Gini values above the 362 breakpoint curve in the RF analysis. We identified the following 9 ASVs above the breakpoint: 363 Faecalibacterium (ASV45), Sutterella(ASV607), Coprobacter(ASV531), Bacteroides (ASV81), 364 Anaerostipes(ASV364). Ruminoccocaceae unclassified(ASV203), Lactobacillus (ASV65). 365 Clostridium sensu stricto 1 (ASV118), Ruminococcus 1 (ASV59). Notably, ASVs beyond the 366 breakpoint line are largely the bacterial species responsible for the stratification of gut microbiota 367 in the samples such as Faecalibacterium, Bacteroides, and Ruminococcus unclassified. We next 368 calculated diagnostic accuracy of the RF model by plotting receiver operating characteristics 369 curve (ROC) for the above 9 taxa, MMSE, and CDR separately and in combination for each cohort 370 group (Figure 9b). The ROC value for these selected nine taxa were moderately accurate (AUC 371 63%, FIg 8a) but when we included MMSE and/or CDR, we found that the RF model robustly 372 classify all three groups (groupwise AUC range 0.74-1.0, Figures 9b).

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Taxa association with clinical parameters

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376 We used multivariate association with linear models (MaAsLin2) to assess association between 377 individual taxa and clinical metadata including patients drugs ($q \le 0.25$). This analysis showed 378 that Roseburia, Lactobacillus, Fusicatenibacter were negatively associated with AD 379 (Supplementary Figure S5). Of the medication categories there are several taxa found to be 380 positively associated with anti-depression and statin. Blautia, Caprococcus, Butyricoccus, Dorea, 381 Lachnospiraceae family members, some Ruminoclostridium and Ruminococaceae, known to be 382 butyrate producers are all positively associated with antidepression drugs. Unexpectedly, we 383 found that several taxa were significantly associated with Statin medication and, of these taxa, 384 Streptococcus and unclassified member of Erysipelotrichaceae were highly significantly 385 associated with statin medication. We also observed the following taxa positively associated with 386 statin medication; unclassified members of Ruminococaceae and Lachnospiraceae,

387 Phascolarctobacterium, Desulfovibrio, Caprobacter, Bifidobacterium, Butyricoccus, Blautia,
388 Barnesiella.

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DISCUSSION

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391 In this study, we demonstrate that gut microbiota across AD continuum not only differentiates 392 between cognitive states but also comprise subgroups delineated by locally dominant co-393 occurring bacteria. Stratification of the gut microbiota along the AD continuum is major unmet 394 need for diet-based and precision nutrition interventions in AD cohorts and here we present proof-395 of-concept data that can be insighful for the emerging dietary and precision medicine/nutrition 396 initiatives involving AD patients. A key finding in this study is that these approaches all converge 397 on *Prevotella* and *Bacteroides* stratification, which are also robustly supported by enrichment and 398 ordination analyses that these two species are the drivers of community diversity and 399 composition. Rather than focusing on a single gut microbiota stratification method we have 400 exercised the best practice of implementing multiple methods to compare, contrast, and sought 401 support from alternative analyses. Also, all methods ranked the following taxa among the Top10 402 bacteria contributing to seperation of the groups; Escherchia/Shigella, Faecalibacterium, Blautia, 403 Ruminococcaceae unclassified, Ruminococcaceae UCG-002, Lachnospiraceae unclassified, 404 Parabacteroides, suggesting these taxa play significant role in the observed community structure 405 of the gut microbiota of the patients in this study.

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407 PAM clustering and DMM concordantly showed three distinct clusters, one of which is consistent 408 with the recently described Bact2 group [44]. The subjects in this group are likely to have 409 aggravated dysbiosis as manifested from increased abundance of opportunistic pathogens 410 *Escherichia/Shigella* and some species of *Bacteroides* species and lower abundance of 411 *Faecalibacterium* and other SCFA producers. Notably, LDA analysis shuffles similar set of taxa

412 as the number of subgroups increase but *Bacteroides* and *Prevotella_9* are predominantly the 413 most abundant taxa in many of these clusters. Strikingly, *Escherichia/Shigella* dominates one of 414 the subgroups in LDA analysis together with opportunistic *Klebsiella* and *Enterococcus*, 415 suggesting dysbiotic community type may be enriched in this subgroup.

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417 Topological data analysis (TDA) we used to stratify gut microbiota in this study deserves a 418 particular attention among others. TDA, based on the Mapper algorithm [50], represents the 419 underlying distribution of data in a metric space by dividing the data into overlapping similar 420 subsets according to a filter function, local clustering on each subset and representing the results 421 in an undirected network. A node in the network represents a group of samples with similar 422 microbiome profiles, and if common samples between nodes are shared then the nodes are 423 linked. Next, a modified special analysis of functional enrichment (SAFE) algorithm maps the 424 metadata and taxa into the network. Finally, vectors of SAFE scores can be used in ordination to 425 rank the driver taxa and their relationship with the metadata, all these algorithms are integrated 426 into *tmap* [43]. The SAFE scores we obtain following these algorithms allowed us to identify the 427 driver species that are responsible for community structure and showed their relationship with the 428 metadata. We employed Bray-Curtis and Jensen-Shannon to check the variation resulting from 429 distance metric. Prevotella 9, Bacteroides, and Ruminoccus unclassified were ranked among 430 the top10 taxa with high SAFE scores, albeit in different order, suggesting TDA is robust and 431 consistent even with different distance metrics. In addition to these three taxa unclassified 432 members of again other taxa within Ruminoccus family and Lachnospiraceae were congruent 433 with other three methods we tested. Interestingly, this analysis identified GCA-900066575 taxa 434 (Uncultured human intestinal bacterium) as one of the subclusters in contrast with other methods 435 we used. This genus is taxonomically in the family of Lachnospiraceae, which includes members 436 of SCFA producers [51], still some other members were associated with metabolic diseases such 437 as obesity [52]. Indeed, another related member of this family GCA-900066225 ranked among the top10 taxa when Bray-Curtis distance was used but enriched around AD. It is therefore important to note that TDA, unlike clustering or probabilistic partitioning methods, provided fine resolution in terms of stratification of the gut microbiota composition. Conversely, TDA did not rank *Escherchia/Shigella* subnetwork among top ten taxa, neither the ordination showed clear association with the disease. Together, bioinformatic tools developed in the field of microbiome have all their strengths and drawbacks and therefore overlaps in bioinformatic analyses should be pursued.

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446 Several lines of evidence showed human cohorts in microbiome studies can be phenotypically 447 partitioned along *Prevotella* and *Bacteroides* stratification [53-58]. A recent comprehensive report 448 [59] provided evidence that Mediterranean diet-based intervention is associated with specific 449 functional and taxonomic components of the gut microbiome, and its effect is a function of 450 microbial composition. Notably, absence of *Prevotella copri* in the gut microbiomes of a subgroup 451 of participants was associated with the protective health benefits of the dietary intervention, 452 emphasizing the premise that microbiome-informed stratified dietary intervention would be guite 453 effective. Nevertheless, P. copri is ambivalently associated with both heath and diseases 454 depending on the strain and geography [60], which prompts us to further consider its role in AD.

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456 Taxonomically, the genus *Prevotella* 9 is predicted to belong to *Prevotella copri* complex [61]. 457 Comparative genome analysis of the strains of *P.copri* complex, however, show that some strains 458 qualify to be assigned to even a separate species of *Prevotella* due to low genomic similarities 459 [62, 63]. Some P. copri strains are associated with disease states such as rheumatoid arthritis 460 [64], while some other strains are associated with habitual diet and life style [54] and 461 underrepresented in Westernized populations. Thus, strain level resolution of Prevotella 9 is 462 needed to draw inferences. Expectedly, multiple strains of P. copri are likely to be part of the 463 bacterial community in the samples. Even though we found Prevotella 9 to be associated with

464 the control group the enrichment analysis using songbird ranked some ASVs belong to 465 Prevotella 9 (species level) at the top and few other ASVs at the bottom of the log ratio 466 differentials, suggesting analysis beyond species taxonomic hierarchy would provide better 467 resolution in terms of their associations with human phenotypes. Oligotypes of these two genera 468 in an earlier work were found to be differentially associated with plant based or some others were 469 associated with animal-based diet [55]. A recent report provided evidence that Bacteroides 470 cellulosilyticus predicted weight gain more precisely than the ratio of Prevotella and Bacteroides 471 genus. Together, our differential enrichment analysis results are in line with these reports that 472 species or even strain level resolution of these two genera could provide better predictive 473 biomarker power for diet-based intervention studies.

474

One limitation of our study was that although we were able control drug induced confounding, we did not control other potential confounders such as diet, BMI, stool consistency. We largely recruited cohabiting spouses as non-demented controls sharing the same diet patterns with the patients and carnivory is rare due to the high cost of meat in the country. We therefore did not predict diet can strongly impact our results.

480

In conclusion, we demonstrate in this study that gut microbiota along the Alzheimer's Disease continuum comprises stratified community structure dashed primarily by *Prevotella* and *Bacteroides* but also subnetworks of other taxa exist in the community. The signature taxa when used together with MMSE and CDR robustly classify heterogenous groups hence posing potential biomarker value. The study adds to limited number of clinical studies profiling gut microbiota of AD continuum patients.

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MATERIALS AND METHODS

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492 Subject Recruitment and Study Design: The Istanbul Medipol University and Ercives University 493 Ethical Review Boards approved this study (Approval numbers: 186/16.4.2015 and 85/ 494 20.02.2015, respectively). All participants were informed of the objectives of this study and signed 495 a written consent form prior to their participation. The diagnosis of dementia and MCI due to AD 496 were based on the criteria of the National Institute on Aging-Alzheimer's Association workgroups 497 on diagnostic guidelines for Alzheimer's disease [65, 66]. Exclusion criteria for this study included 498 history of substance abuse, any significant neurologic disease, major psychiatric disorders 499 including major depression. Also, individuals who used commercial probiotics or antibiotics during 500 the study period or within 1-month prior to providing stool sample, or who major GI tract surgery 501 in past 5 years. Both health centers followed the same protocols in recruiting cohorts and used 502 kits from the same manufacturers to minimize the variations in wet lab procedures.

503

504 Lumbar puncture. CSF biomarkers assays: Cerebro Spinal Fluid (CSF) samples were included 505 in the analyses from a subset of AD patients if the patient was requested to donate CSF sample 506 as part of the clinically mendated diagnostic protocol. CSF samples were collected in the morning 507 after overnight fasting using spinal needles (22 gauge) and syringes at the L3/4 or L4/5 interspace. 508 CSF was then aliquoted into 0.5 mL non-adsorbing polypropylene tubes and stored at -80 °C 509 until assay. Biomarker molecules in CSF (AB42, phosphorylated tau (p-tau), and the p-tau/AB42 510 ratio) were measured consistent with the Alzheimer's Association flowchart for lumbar puncture 511 and CSF sample processing and the biomarker levels were determined as previously described 512 [67]. Single 96-well ELISA kits (Innogenetics, Ghent, Belgium) were used in quantitation.

513

514 **Sample collection and DNA extraction:** Stool samples from all participants were collected in 515 the neurology clinics of the university training hospitals. The participants were given a collection kit included a sterile tube and provided a brief instruction for collection. Self-collected samples
were placed within approximately 30 mins of collection in -80 freezers and kept frozen until DNA
extraction.

519

520 16S rRNA gene sequencing and PCR were performed as previously described [68] with minor 521 modifications. Briefly, genomic DNA was extracted from 220 mg fecal samples using QiaAmp 522 DNA Stool Mini Kit (Qiagen, Germany) per manufacturer's instructions with the addition of bead 523 beating (0.1 mm zirconium-beads) and lysozyme and RNAse A incubation steps.

524

525 **PCR and amplicon sequencing:** To amplify the variable V3-V4 regions of the 16S rRNA gene, 526 the primers 341 F (5'-CCTACGGGNGGCWGCAG-3') 805 R (5'and 527 GACTACHVGGGTATCTAATCC-3') were used. MiSeq sequencing adaptor sequences were 528 added to the 5' ends of forward and reverse primers. Approximately 12.5 ng of purified DNA from 529 each sample was used as a template for PCR amplification in 25 µl reaction mixture by using 2 × 530 KAPA HiFi Hot Start Ready Mix (Kapa Biosystems, MA, USA). For PCR amplification, the 531 following conditions were followed: denaturation at 95 °C for 3 min., followed by 25 cycles of 532 denaturation at 95 °C for 30 sec., annealing at 55 °C for 30 sec. and extension at 72 °C for 30 533 sec., with a final extension at 72 °C for 5 min. Amplified PCR products were purified with 534 Agencourt AMPure XP purification system (Beckman Coulter) and Nextera PCR was performed 535 by using sample-specific barcodes. The constructed Nextera libraries were then sequenced by 536 Illumina MiSeq platform using MiSeq Reagent Kit v2 chemistry.

537

Sequence processing and taxonomic assignment: The pair-end 16S rRNA reads were first
 used cutadapt v1.9 program [69] for the process of quality filtering, trimming and uploaded on the
 DADA2 pipeline [34] integrated into the Nephele platform [70] (v.2.0, <u>http://nephele.niaid.nih.gov</u>).
 Chimeric sequences are automatically removed by this pipeline, which generates both rarefied

and unrarefied ASV abundance tables. We used Rarefied (10769 reads/sample) ASV table in most downstream analysis due to large differences between some total sample reads except for the scale invariant DEICODE and songbird. We removed any sequences that were classified as either being originated from eukarya, archaea, mitochondria, chloroplasts or unknown kingdoms.

547 Quality control: We included no sample DNA extractions and no template negative control 548 samples in every sequencing library prepared. Using reads in the negative control samples as 549 reference we identified and removed probable contaminant reads of 13 ASVs from the ASV table. 550 as predicted by Decontam R package [71] using the 'prevalence' method. In this method, the 551 binary coded features across samples are compared to the prevalence in negative controls to 552 identify contaminants. Also, we sequenced the same amplicon of an AD sample three times to 553 check the sequencing variation. Although both centers used same protocols and kits from the 554 same manufacturer in sequencing, we sequenced amplicons amplified from two same genomic 555 DNA templates again from AD samples at both centers to check the center-to-center sequencing 556 concordance. No differences could be identified between the taxonomic compositions of the 557 samples seuguenced at both centers nor between the technical replicates (PCoA, PERMANOVA 558 p=0.1).

559

560 Numerical Ecology and Statistical Analysis: Most numerical downstream analysis of ASV 561 abundances were performed in R environment [72]. All P values, where appropriate, were 562 adjusted for multiple testing using Benjamini-Hochberg (False Discovery Rate; FDR) method. We 563 measured within samples microbial diversity (alpha diversity) using Observed richness, Chao1, 564 Shannon, and Inverse Simpson in *phyloseg* [73] and tested using Kruskal Wallis. To identify 565 differentially abundant bacterial species we employed animalculus [58] and limma [74] R 566 packages. We assessed microbial diversity between samples (beta diversity) using multiple 567 distance metrics including Bray-Curtis, Jaccard, Canonical Analysis of Principal Components 568 (CAP). CAP analysis and the similarity percentages breakdown (SIMPER) procedure were 569 performed using PRIMER.v7 [75]. Additionally, due to the compositional nature of the data, we 570 also included robust Aitchison PCA, using the Qiime2 DEICODE plugin [36] to calculate beta 571 diversity with feature loadings. The resulting ordination was visualized using Emperor [76]. We 572 tested significance of beta diversity among groups using again Qiime diversity plugin 573 PERMANOVA.

574

575 Next, we used Songbird [37] for multinomial regression to rank species association with disease 576 status with the following parameters: (formula: "MMSE+CDR+Sex+Edu+C(Group, Diff, 577 levels=('C', 'MCI', 'AD'), -p-epochs 10000 --p-differential-prior 0.5 --p-summary-interval 1 --p-578 random-seed 3 -min-sample-count 1000 -min-feature-count 0). Of note, the formula structure 579 follows Patsy formatting (https://patsy.readthedocs.io/en/latest/) such that Groups (C, MCI, AD) 580 represent levels=["healthy", "mild", "severe"] states, respectively. A null model was generated 581 using the same parameters. The fitted model demonstrated better fit compared to the null model (pseudo $Q^2 = 0.874027$). Taxa ranks were visualized using Qurro [38]. Significance was 582 583 determined using a Welch's t-test between groups, performed by Graph Pad Prism.

584

To identify microbial species associated with the clinical metadata including patients' medication we performed multivariate association with linear models (MaAsLin2) [77]. The control group was excluded from this analysis as they were not normally prescribed these medications. We employed the R package MaAsLin 2.1.0 to perform per-feature tests. We log-transformed relative abundances of microbial species and standardized continuous variables into Z-scores and binary encoded medication information before including them in the MaAsLin models (q<0.25 for significance).

592

593 Stratification of gut microbiota: We employed clustering, probabilistic partitioning, and 594 topological data analysis approaches for the stratification of gut microbiota in the samples. 595 Partitioning around the medoid (PAM) approach [39] clusters samples by iteratively updating each 596 cluster's medoid. We assigned samples to community types using the function pam() in R 597 package *cluster* based on Bray Curtis and Jensen Shannon distances. The number of clusters 598 was determined by Gap statistic evaluation. Departing from the clustering approach, we next used 599 two distinct probabilistic methods to partition microbiota landscape, namely Dirichlet multinomial 600 mixture models (DMM) [40] and Latent Dirichlet Allocation (LDA) [41, 42]. Genus level 601 abundances were fitted to DMM models to partition microbial community profiles into a finite 602 number of clusters, using the Laplace approximation as previously described [40, 78].

603

604 As a second probabilistic partitioning we performed LDA, is a multi-level hierarchical Bayesian 605 model [41] otherwise used for collections of discrete data such as text corpus analysis in 606 linguistics. LDA is a generalization of Dirichlet multinomial mixture modeling where biological 607 samples are allowed to have fractional membership and distinct microbial communities have 608 different microbial signatures. Thus, for each taxon there is a vector of probabilities across all 609 clusters that it can be assigned to. Each cluster, therefore, has a different probability of containing 610 taxa, indicating chance of microbes in a particular subgroup (strata) co-occurring due to 611 community assembly dynamics. To fit the model we used Gibb's sampling with the R package 612 MetaTopics (v.1.0) [79]. The relative abundances of genus collapsed table with abundances more 613 than 0.1% and 5% sample prevalence was input to the model. We plotted perplexity measure and 614 loglikelyhood values to estimate model performance and optimal number of topics (subgroups of 615 microbial assemblages) using 5-fold cross-validation. However, we observed that both 616 parameters continued to improve with increasing subgroup number without a clear optimum 617 except the first jump in perplexity was near 10 topics. We therefore picked first 10 topics for the 618 sake of interpretability.

619

620 The final method we applied was topological data analysis (TDA) based on the Mapper algorithm 621 [50] and network representation for stratification and association of study of high dimensional 622 microbiome data, all integrated into *tmap* tool [43]. The framework enables to reveal association 623 of taxa or metadata within the entire network and to identify enrichment subnetworks of different 624 association patterns. Conceptually, the Mapper algorithm transforms a distance matrix and 625 represent the shape of the data cloud in an undirected network. Next, a modified version of special 626 analysis functional enrichment (SAFE) algorithm to map the value of the target feature into the 627 network was employed, followed by ordination of SAFE scores to show taxa-metadata association 628 [43].

629

630 Signature taxa: To identify microbial signature of severity of cognitive impairment in AD 631 continuum we implemented a machine learning procedure. We first took advantage of songbird 632 tool to select features including the covariates and healthy (control) and disease states (AD+MCI) 633 in the model formula. We subsequently fit the list of ASV selected this way into Random Forest 634 models. We plotted the area under the receiver operating characteristic curve (AUROC) to show 635 prediction performance of the models. To create the classifiers, a random forest constituted of 636 500 trees were computed using the default settings of the "randomForest" function implemented 637 in the randomForest R package (v4.6-7). Mean decrease Gini values were averaged for each 638 ASV among the 100 random forest replicates. The ASVs with the first 20 highest mean decrease 639 Gini values were plotted. ASVs with mean decrease Gini values above the breakpoint curve were 640 chosen to be part of the classifier. Breakpoints were estimated using the "breakpoints" function 641 included in the strucchange R package [52]. We subsequently fit the list of ASVs selected this 642 way with or without psychometric test values, i.e. MMSE and CDR, into Random Forest models, 643 and bootstrapped for 100 times. We plotted the area under the receiver operating characteristic 644 curve (AUROC) to show prediction performance of the models.

645	
646	DATA ACCESSION
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648	The 16S rRNA generated by this study have been submitted to the NCBI BioProject database,
649	(https://www.ncbi.nlm.nih.gov/bioproject/) under accession number PRJNA734525.
650	
651	AUTHOR CONTRIBUTIONS
652	
653	Conception and Design: SY, OUN, EK, and LH; Sample Collection and Processing: BS, AG,
654	FK, MFG, DK, AES, HAV, EAG, and KS; Data Analysis: SY, OUN, AB, MA, and MK; Data
655	Interpretation: SY, OUN, MK, AM, LH and EK. Manuscript Writing – Original Draft: SY; Writing,
656	Review, and Editing: OUN, MK, AM, LH and EK. All authors read and approved the final
657	manuscript.
658	
659	DISCLOSURE DECLARATION
660	
661	The authors do not have any conflicts of interest to disclose.
662	
663	LEGENDS FOR SUPPLEMENTAL TABLES AND FIGURES
664	
665	Table S1. Levels of Cerebro-Spinal Fluid Biomarkers of a Subset of AD Patients.
666	Table S2-S5. Differentially Abundant ASV and genus level taxa between cohort groups as
667	detected by Limma-Voom Model (Age and Sex Adjusted)
668	Table S6. PERMANOVA analysis of covariates
669	Table S7-S8. Enrichment analysis by multinomial regression embedded in the songbird (Set1,
670	Set2, Set3, and Set4)

,

671 **Table S9-S10**: Ranking of SAFE scores calculated using tmap algorithm

672

673

- 674 **Figure S1**. Alpha diversity analysis. Box plots show (A) Chao1 index, (B) Inverse Simpson, (C)
- 675 Observed species, (D) Shannon diversity index
- 676 Figure S2. Multi-Dimensional Scale (MDS) Analysis of genus relative abundances. (A) MDS
- 677 analysis of the samples (B) Gradient of *Prevotella_9* abundances across the samples. (C)
- 678 Gradient of *Bacteroides* abundances across the samples
- 679 Figure S3. Determining the number of clusters in the gut microbiota. The optimal number of
- 680 clusters based on (A) Gap statistic with standart error bars for PAM analysis. (B) Laplace method
- 681 for evaluating model fit for increasing number of Dirichlet mixture components

Figure S4. Latent Dirichlet Allocation Model Performance. LDA model's perplexity parameter
 (top) and log-likelihood values (bottom) to find optimal number of clusters.

Figure S5. Associations of the patient drugs with genus-level features. The heatmap shows per-feature testing in MaAsLin 2 using linear mixed models to identify microbial species associated with drugs used by the patients. Colors of the heatmap reflects the beta coefficient for drugs and age and sex from linear mixed models in MaAsLin 2 with genus-level feature as outcomes.

689 **ACKNOWLEDGEMENTS**

690

691 This study was supported by funding from The Scientific and Technological Research Council of

Turkey (TÜBITAK) to Prof. Dr. Süleyman Yildirim and Prof. Dr. Emel Köseoglu (Project numbers.

- 693 2236-115C056 and 215S707, respectively). The funding agency had no role in study design, data
- 694 collection and interpretation, or the decision to submit the work for publication.
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- 696

697	Refere	ences
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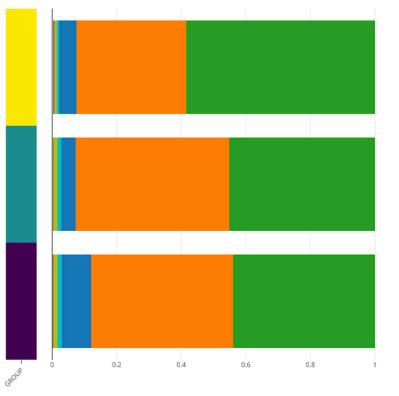
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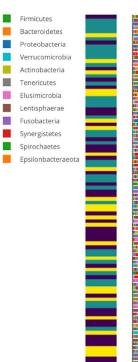
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	С	MCI	AD
n, (N=125)	51	27	47
Sex (Female, N%)	45% (23/51)	41% (11/27)	49% (23/47)
Age (years, mean ± SDEV)	67 ± 5.3	69.2 ± 6.4	71.4 ± 5.1
Education (Years)	7.2 ± 4.1	10.4 ± 5.2	4.4 ± 4.1
MMSE	27.1 ± 1.7	25.4 ± 2.7	16.9 ± 5.7
CDR			
0	100%	0%	0
0.5	0	100% (27/27)	29.8% (14/47)
1	0	0	31.9% (15/47)
2	0	0	29.8% (14/47)
3	0	0	8.5% (4/47)
Aβ1–42/P-Tau (pg/mL)	NA	NA	5.97 ± 3.7 (n=14)
Aβ1–42/T-Tau (pg/mL)	NA	NA	0.91 ± 0.6 (n=14)
<u>Medications</u>			
AA	NA	37% (10/27)	27.6% (13/47)
ADd	NA	81% (22/27)	87% (41/47)
Adep	NA	66.7% (18/27)	27.6% (13/47)
AE	NA	18.5% (5/27)	8.5% (4/47)
Aht	NA	48% (13/27)	29.8% (14/47)
Apsik	NA	11.1% (3/27)	21.2% (10/47)
Adiab	NA	29.6% (8/27)	19.1% (9/47)
PP	NA	7.4% (2/27)	6.3% (3/47)

Table 1. Demographic characteristics of the participants in the cohort

C: Control group, MCI: Mild Cognitive Impairment group; AD: Alzheimer's Disease group; MMSE: Mini-Mental State Exam (MMSE); CDR:Clinical Dementia Rating. AA:Antiaggregant; ADd:AD-treatment; Adep: Antidepressant; AE:Antiepileptic; Aht:Antihypertansive; Apsik: Antipychotic; Adiab:Antidiabetic; PP: Proton-pump inhibitor





AD

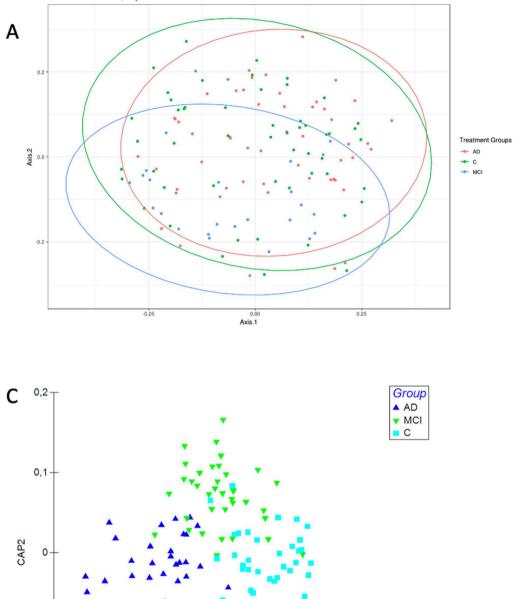
С

MCI

GROUP

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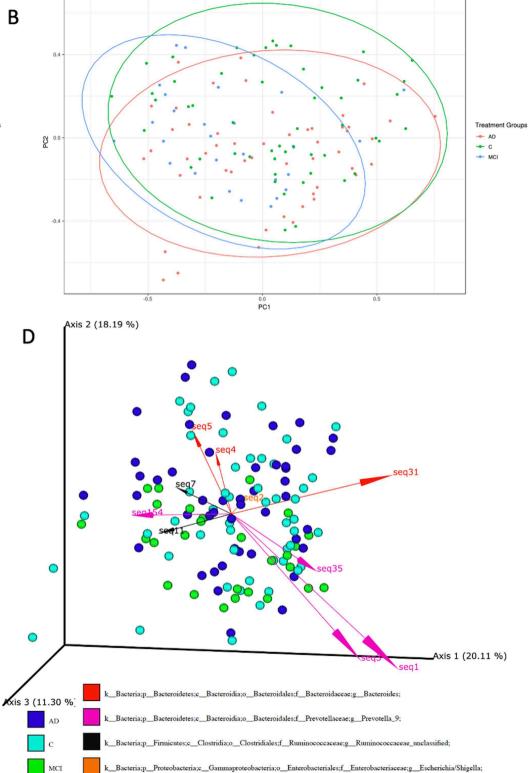
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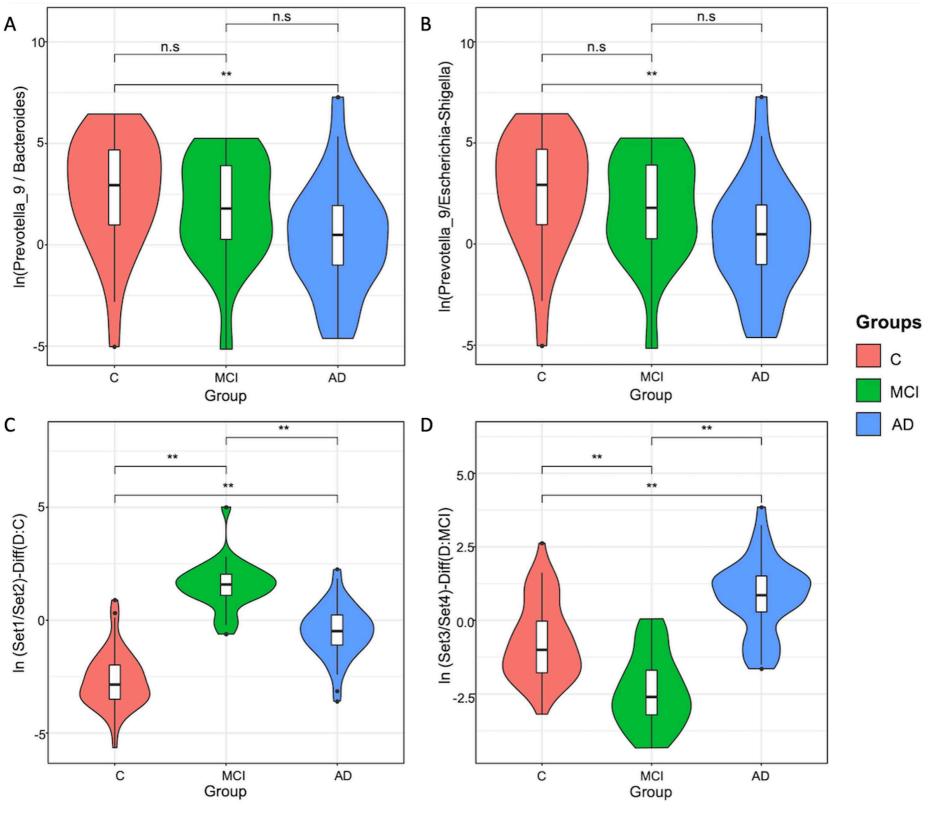
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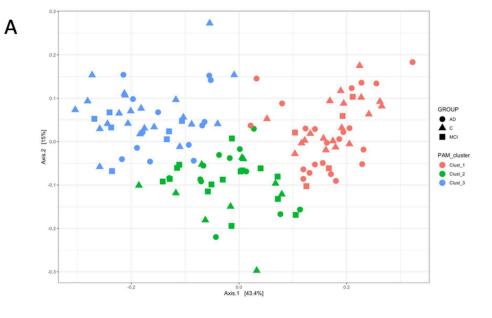
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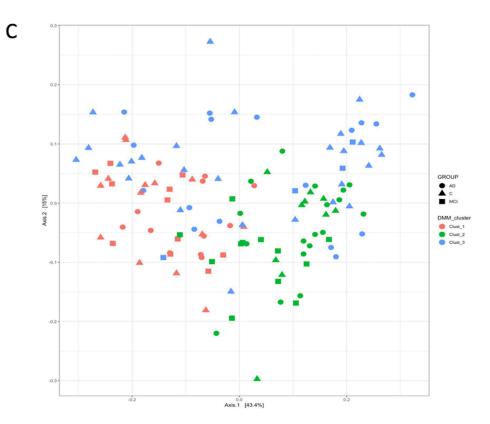
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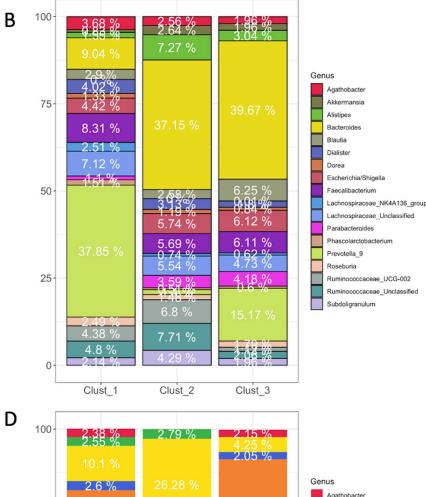
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3.57 %

45.84 %

2.1 %

4.66 %

2.32%

Cluster2

33.34 %

5.49 % 1.76 %

3.76 %

38.63 %

2:46 %

Cluster3

75-

50-

25-

0.

54.26 %

5.59 %

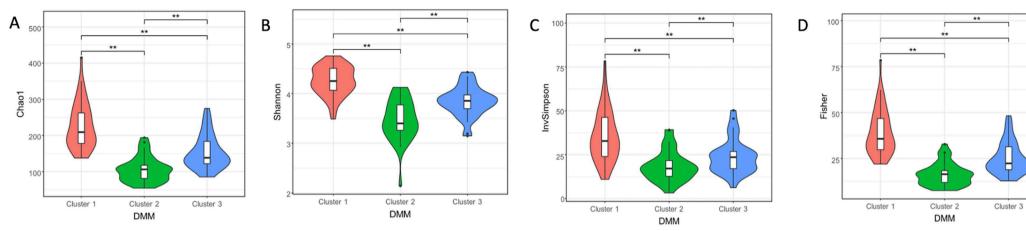
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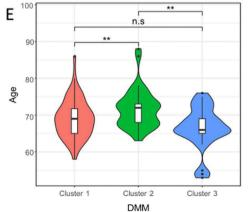
4.57 %

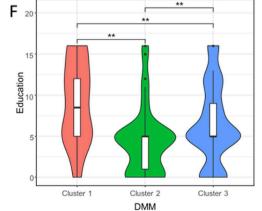
2:84 %

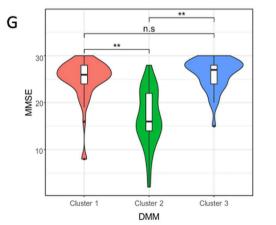
Cluster1

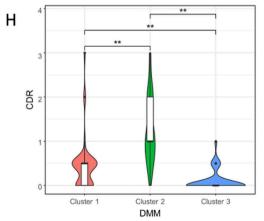


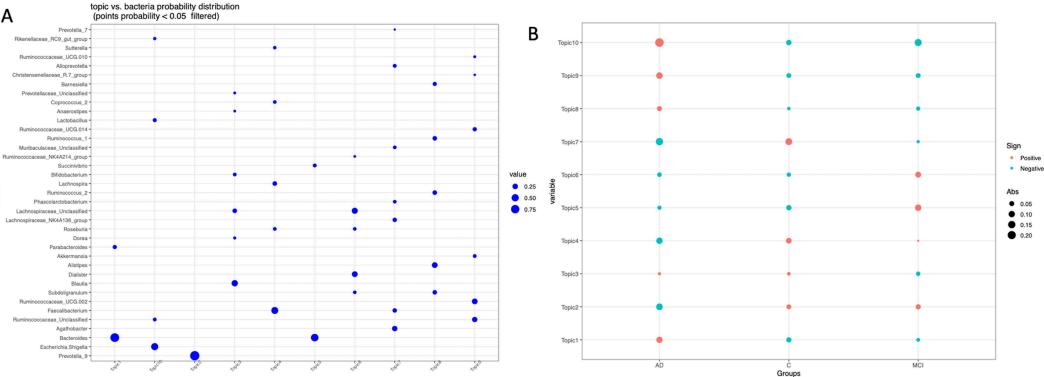




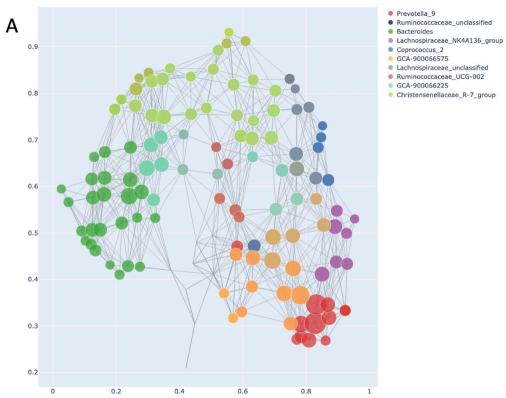


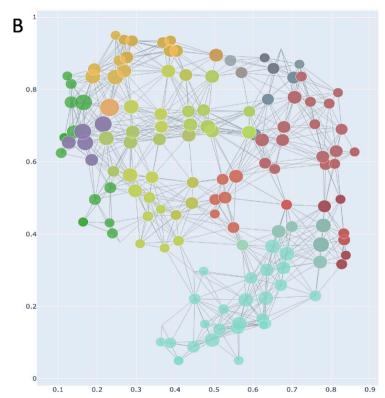






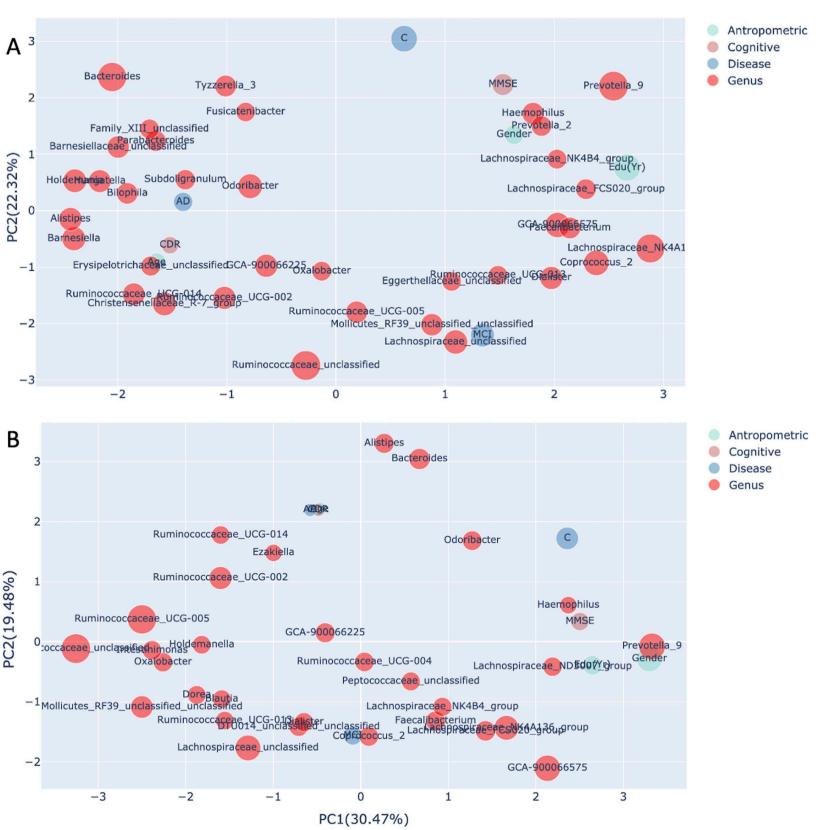
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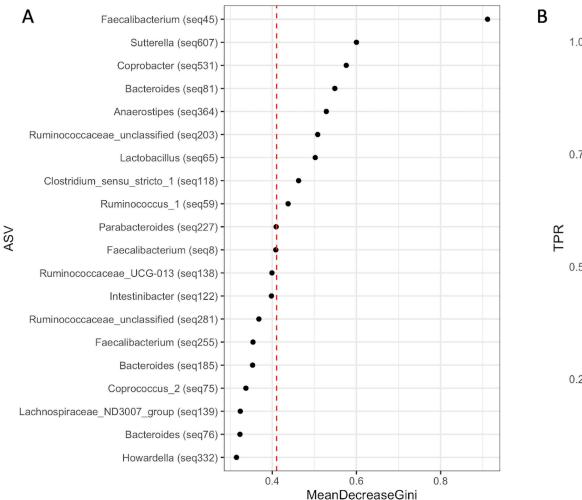


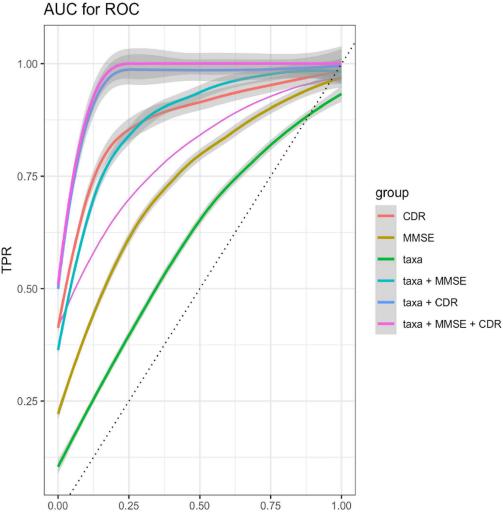


Ruminococcaceae_unclassified

- Ruminococcaceae_UCG-005
- Prevotella_9
- GCA-900066575
- Lachnospiraceae_unclassified
- Lachnospiraceae_NK4A136_group
- Mollicutes RF39 unclassified unclassified
- Ruminococcaceae_UCG-002
- Bacteroides
- Lachnospiraceae_FCS020_group







FPR