

The complex genetics in autism spectrum disorders

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Autism spectrum disorders (ASD) are a pervasive neurodevelopmental disease characterized by deficits in social interaction and nonverbal communication, as well as restricted interests and stereotypical behavior. Genetic changes/heritability is one of the major contributing factors, and hundreds to thousands of causative and susceptible genes, copy number variants (CNVs), linkage regions, and microRNAs have been associated with ASD which clearly indicates that ASD is a complex genetic disorder. Here, we will briefly summarize some of the high-confidence genetic changes in ASD and their possible roles in their pathogenesis.

autism spectrum disorders, genetics, causative genes, copy number variants

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Autism, first described by Leo Kanner in 1943, is a pervasive neurodevelopmental disorder that primarily affects children. In the *Diagnostic and Statistical Manual of Mental Disorders*, Fifth Edition (DSM-V), published in 2013, autism was merged into a broader category, called autism spectrum disorders (ASD), which also includes Asperger's syndrome, pervasive developmental disorders not otherwise specified (PDD NOS), and childhood disintegrative disorder (CDD; also known as Heller's syndrome). As a single diagnostic category, individuals with ASD show common deficits in social interaction and nonverbal communication, as well as restricted interests and stereotypical behavior. Although the exact cause of ASD remains unclear, genetic changes/heritability is one of the major contributing factors [1–3]. There are three lines of evidence to support this: (i) Early epidemiologic studies found that the chance of having a child with ASD is significantly higher in families that already have one child with ASD; in addition, the core

autistic symptoms, such as social impairments and repetitive behavior, show aggregation in multiplex autistic families [4–6]. (ii) Multiple twin studies have also shown that the concordance rate for autism ranges from 36% to 95% in monozygotic twins, which is much higher than the rate observed in dizygotic twins and the general population. Similarly, the concordance for social and cognitive deficits follows the same rank, monozygotic > dizygotic > general population [7–12]. (iii) The male:female ratio of individuals with ASD is 4:1, indicating a preferred localization of causal genes on the X-chromosome. Thus, ASD is a heritable, neuropsychiatric disease.

Mounting efforts using different methods, from case studies to genome-wide association studies (GWAS), have been performed to identify the genetic causes of ASD. To date, hundreds to thousands of causative and susceptible genes, copy number variants (CNVs), linkage regions, and microRNAs have been associated with ASD, which clearly indicates that these are complicated genetic disorders. Not surprisingly, most of the known genetic changes alter neural function, and particularly affect neurodevelopment and

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synaptic functions. On the basis of the genetics of autism that we have learned to date, many animal models have been generated to examine the pathophysiology of ASD [13,14]. Here, we will briefly summarize some of the high-confidence genetic changes in ASD and their possible roles in the pathogenesis.

1 Copy number variants in ASD

Cytogenetic abnormalities have been found in every chromosome in individuals with ASD [15], and studies have reported that CNVs, including deletions and duplications, are associated with 8%–20% of ASD cases [16]. Researchers use comparative genomic hybridization (array CGH) to identify the copy number changes, by which technique DNA from two samples is labeled with different colors, and hybridized to specific probes to measure the differences in fluorescence intensity. CGH has shown that *de novo* CNVs are a significant risk factor for simplex forms of ASD [17–19]. The size of the altered chromosomal regions is from tens of kilobases to megabases, and the affected regions include 1q21, 2q24, 2q37, 2p16, 3p14, 5p14-p15, 6p23, 7p21, 10q11, 11q25, 13q14, 15q11-q13, 16q22, 20p13-p12, 22q11 and 22q13, and X-p22 [15,17–19]. Among those CNVs, 15q, 22q, and 7q have been found fairly frequently in individuals with ASD [20–26], which is partly due to the genomic instability of these chromosomal regions [27]. Interestingly, 15q11-q13 duplication causes up to 5% of cases of autism [15,24,28–35], and 15q11-q13 deletion is involved in Angelman syndromes [36–41]. Transgenic mice with a duplication of a 6.3 Mb chromosomal region corresponding to human 15q11-13 have been generated, and those mice with a paternal duplication show social abnormalities in the three-chamber test, decreased exploratory activity and behavioral inflexibility in the maze test, and an accompanying reduction in brain serotonin levels [42,43]. Further characterization of the genes located on these CNVs, by a comparison with the large amount of the putative risk genes, would shed new light on the genetics of ASD.

2 Causal genes in ASD

Hundreds of studies have been conducted to identify causative genes for ASD, and multiple genes have been implicated in ASD pathogenesis. Since the number of known ASD-related genes has grown so rapidly, we have chosen to focus on some of those that are the most well-defined and well-studied, and to examine their pathophysiological functions. We will divide those genes into two categories: (i) genes involved in neurodevelopment, and (ii) genes involved in neurodegeneration.

2.1 Genes involved in neurodevelopment

2.1.1 Fragile X mental retardation 1

Silencing of fragile X mental retardation 1 (*FMRI*) gene expression is the major cause of fragile X syndrome (FXS), which is the most common form of inherited intellectual disability [44]. Individuals with FXS show mental retardation, along with autistic-like behavior, such as social and language deficits [45]. Approximately 30% of those with FXS have been diagnosed with autism, and 3%–6% of individuals with autism have FXS [46]. *FMRI* is located on the X chromosome, and encodes protein fragile X mental retardation protein (FMRP). Most people with FXS carry a trinucleotide (CGG) repeat expansion in the 5' untranslated region, causing *FMRI* gene silencing at the transcriptional level, and loss of FMRP in neurons [47,48]. FMRP binds RNA and negatively regulates protein translation [44]. Although the exact mechanism controlling the specificity of FMRP binding mRNAs is not very clear, knockout (KO) of FMRP in mice leads to a global increase in protein synthesis [49–51]. Interestingly, among hundreds of putative mRNAs serving as FMRP targets, roughly 25% are risk genes for ASD, such as neurexin (Nrxn)-1, neuroligin (Nlgn)-3, and Src homology 3 (SH3) and multiple ankyrin repeat domains 3 (Shank3; <http://gene.sfari.org>).

FMRI-deficient mice show increased locomotor activity in the open-field test, elevated anxiety levels in the mirror-chamber test, and impaired social interaction with unfamiliar partners in multiple tests [52–56]. Interestingly, the FXS-like behavior phenotypes in *FMRI* KO mice were rescued by repressing the function of group I metabotropic glutamate receptors (Gp1 mGluRs). *FMRI* KO mice with 50% mGluR5 protein expressed *in vivo* resulted in the correction of seven out of the eight FXS-related phenotypes observed [49]. Furthermore, reduced mGluR5 expression also reversed cellular and synaptic phenotypes, such as increased protein synthesis, and also altered hippocampal long-term depression in the *FMRI* KO mice. In support of this mGluR hypothesis of Fragile X Syndrome, analysis of double KO *Drosophila* of *dFmr1* (homolog of the human *FMRI* gene) and dmGluRA (the *Drosophila* mGluR) has suggested that these two genes converge to regulate postsynaptic GluR trafficking, synaptic ultrastructure and plasticity, and motor behavior [57–59]. 2-methyl-6-(phenylethynyl)-pyridine (MPEP), a potent negative modulator of mGluR5 [60], consistently rescues many FXS-related deficits in KO mice [50,55,56,61–63], fly [64–66] and zebrafish [67], implying the therapeutic potential of FXS using mGluR5 inhibitors. Indeed, multiple human clinical trials with chemicals targeting mGluR5, or mGluR-related signaling pathways, or presynaptic release of glutamate, such as gamma-aminobutyric acid (GABA)_B receptor agonists, are being conducted, and are showing promising, but as yet inconclusive, results with regard to treating FXS [68–71].

Therefore, an attempt to identify corrective treatments for FXS, the single-gene disorder associated with autism, would provide valuable information for treating more genetically heterogeneous disorders, such as ASD.

2.1.2 *Neurexins and Neuroligins*

Nrxns and Nlgn are type-I transmembrane proteins localized at the pre- and postsynaptic sites, respectively [72]. There are three Nrxns in mammals, and three (in rodents) or five (in humans) Nlgn isoforms [73]. As a synaptic adhesion molecule pair at synapses, Nrxns and Nlgn form a protein complex with high binding affinity within the synaptic cleft in an isoform- and splicing site-dependent manner [74–76]. *In vivo* studies have shown that Nrxns and Nlgn also play an important role in the maturation of synapses [77–80]. Inactivation of the α -form of all three Nrxns in mice impairs presynaptic neurotransmitter release, and postsynaptic receptor function [81–83]. KO of *Nlgn-1*, *-2*, and *-3* in mice causes neonatal lethality, as well as massive synaptic alterations [80].

Multiple genetic changes in *Nrxn* [84–94] and *Nlgn* genes [92,93,95–110] have been found in ASD patients. These changes include (i) point mutations, which cause frame shifts, small deletions, and missense mutations in both coding and promoter regions, (ii) distinct translocation events, and (iii) large-scale deletions of chromosomal DNA containing these gene loci. In support of these genes' involvements in ASD pathogenesis, KO of *Nrxn-1 α* in mice impairs social investigation and social approach behavior [111]; KO of *Nlgn-4* in mice leads to impairments in social interaction and communication [112]. Introduction of an ASD-related mutation (R451C in the *Nlgn-3* gene) into mice impairs social interaction, but increases spatial learning. Interestingly, KO of *Nlgn-3* in mice has no effect on social interaction and spatial learning, suggesting that R451C might serve as a gain-of-function mutation [113,114]. In addition, *Shank3*, which forms a postsynaptic protein complex with Nlgn via binding to PSD-95 [115], is also associated with ASD [116–119]. *Shank3* is a multi-domain scaffold protein, enriched at glutamatergic synapses, and has been associated with several neuropsychiatric disorders, including ASD and schizophrenia [120,121]. Family studies have shown that a *Shank3* heterozygous mutation could lead to ASD [116]. Haploinsufficiency of *Shank3* has been estimated to cause approximately 0.5%–0.75% of the monogenic form of autism [117,118]. The other members of the Shank protein family, *Shank1* and *Shank2*, are also associated with ASD [122–125]. Deletion of the *Shank3* PDZ domain in mice results in repetitive grooming and impaired social interaction, as well as decreased cortico-striatal synaptic transmission [126], while deletion of the ankyrin repeat domain exhibits mild autistic phenotypes and reduced glutamatergic transmission in the hippocampus [127].

Considering multiple mutations in genes encoding *Shank3*, *Nrxns*, and *Nlgn*s together, the observations

strongly suggest a synaptic failure, involving trans-synaptic interactions, in the pathogenesis of ASD [72].

2.1.3 *Methyl-CpG-binding protein 2 gene*

Mutations in the methyl-CpG-binding protein 2 gene (*MECP2*) are the major cause (>95%) of Rett syndrome (RTT) [128,129], a pervasive developmental disorder exhibiting autistic features, including poor social interactions and communications, which occur transiently during the regression period [130–132]. *MECP2* duplication syndrome has overlapping phenotypes with autism and mental retardation [133–135]. The *MECP2* gene is located on the X chromosome and functions as a transcriptional regulator. Although only a few coding mutations in *MECP2* are associated with autism [136–138], one study showed that its expression was significantly reduced by approximately 40% in the prefrontal cortex of 11 out of 14 individuals with autism, and by around 30% in four of four individuals with Angelman syndrome [130]. During normal brain development, *MECP2* plays a key role in neuronal morphogenesis, especially the formation of postsynaptic dendritic spines. RTT patients carrying *MECP2* mutations show reduced spine numbers in the hippocampus [139], and *MECP2* deficiency in mice consistently reduces the spine density in hippocampal pyramidal neurons [140–142]. *MECP2* serves as a balancer in gene regulation: it binds to methylated CpG dinucleotides and recruits histone deacetylase 1 to inactive gene expression [143,144]; while loss of *MECP2* *in vivo* represses the expression of thousands of genes, suggesting that it is a gene activator [145]. The exact mechanism of *MECP2* as a gene activator is not yet clear, but there is evidence to show that activity-dependent phosphorylation at S80A and S421A/S424A might account for the fine-tuning of *MECP2* functions [146,147].

KO/knockin of *MECP2* in mice has been shown to recapitulate some of the RTT and ASD phenotypes. Mice expressing a RTT-related mutation of *MECP2* (*MECP2*³⁰⁸) show impaired diurnal activity and social behavior [148]. Conditional KO of *MECP2* in hypothalamus single-minded 1 (*Sim1*)-expressing neurons affected social and feeding behaviors [149], and heterozygous loss of *MECP2* in female mice revealed γ and β band abnormalities in response to an auditory stimulus, as measured by electroencephalograph (EEG) [150]. In other studies, environmental enrichment during the early, but not late, developmental stage, improved motor coordination in female *MECP2*^{+/-} mice, and reduced anxiety-related behavior [151–153]. Therefore, further analysis of these animal models may provide more mechanistic clues to the pathogenesis of ASD.

2.1.4 *The gamma-aminobutyric acid receptor subunit beta-3 (GABRB3) and other GABA receptor genes*

The *GABRB3* gene encodes the β_3 subunit of the GABA_A receptor, a major postsynaptic receptor at inhibitory synapses in the brain. In 2002, Buxbaum et al. [154] reported the

association of GABRB3 polymorphism with autism, using the transmission disequilibrium test in a population of 80 ASD families. Subsequent analysis reproduced the association between GABRB3 polymorphisms and ASD [155–159]. Furthermore, the *GABRB3* gene is located within the 15q11-q13 region, the duplication of which is among the most frequently occurring events in people with ASD. Interestingly, one study showed that the *GABRB3* gene was monoallelically expressed in autistic brain samples, whereas it was biallelically expressed in control samples [160], implying altered GABA signaling in ASD. Inactivation of *GABRB3*, conventionally or conditionally, in mice results in significant impairments in development, and social behaviors, and also causes stereotypical behavior [161–164].

In addition to mutations in *GABRB3*, genetic changes in other GABA_A receptor-related genes have also been reported. Human 15q11-q13 region harbors the other two genes encoding GABA_A receptor subunits; *GABRA5* and *GABRG3*. *GABRA4* and *GABRB1* have also been identified as susceptible genes within Caucasians with autism [165,166]. Moreover, altered GABA levels in platelets and plasma have been observed in individuals with ASD [167,168]. Quantitative autoradiographic studies revealed a significant reduction in hippocampal GABA_A receptors, but not in serotonin or *N*-methyl-*D*-aspartate receptors or in kainate receptors [169]. The aberrant expression of various GABA_A receptor subunits has been repeatedly observed in multiple regions in brain specimens from people with ASD [170–173]. Although the precise contribution that the GABA system makes to ASD pathogenesis is inconclusive, it is likely that dysfunction in GABA signaling plays a significant role in causing the disease phenotype, and therefore requires further investigation.

2.2 Genes involved in neurodegeneration

Children with ASD usually experience a developmental regressive course during which behavioral signs of ASD occur over time [174]. For example, those with childhood disintegrative disorder, a rare form of low-functioning ASD, undergo the complete loss of certain language and social abilities that they had previously learned [175]. These phenomena of loss of previously acquired abilities can be speculated, at least in part, as being due to neurodegeneration in the developing brain. There is a growing body of evidence showing associations between ASD and neurodegeneration, including loss of neuronal cells, activation of microglia and astrocytes, and elevation of proinflammatory cytokines and oxidative stress [176,177]. Several post-mortem brain tissue studies have reported a decreased number of cerebellar Purkinje cells (PC), which function in modulating various cognitive and motor behaviors [178–180]. Using stereology and calbindin-D28k (CB) immunostaining, Whitney et al. [180] found that, in autistic groups, Purkinje neurons were generated, and migrated to their proper location in the Purkinje

layer, but were subject to subsequent neurodegeneration. Moreover, gliosis (a sign of glial activation) was also reported to accompany neuronal degeneration in the cerebellum [178]. In 2005, Vargas et al. [179] examined the associations between neuronal degeneration, neuroglial activation, and neuroinflammation. Neurodegeneration and glial activation appeared to predominantly occur in the PC and granular cell layers of the cerebellum, while the active neuroinflammatory process was observed in the cerebral cortex, white matter, and cerebellum of individuals with autism. Immunocytochemical studies showed that levels of proinflammatory chemokines, and macrophage chemoattractant protein-1 were elevated. This elevation is perhaps linked to the recruitment of macrophages to areas of neurodegeneration in the cerebellum [179].

Over production of oxidative stress is a key element of some neurodegenerative disorders, such as Alzheimer's disease (AD), Parkinson's disease, and amyotrophic lateral sclerosis [181]. Studies of individuals diagnosed with an ASD, showed that, 3-nitrotyrosine, a marker of oxidative stress, was increased in a brain-region-specific manner [182,183]. In a separate study, another oxidative stress marker, lipid hydroperoxide, was significantly elevated in the cerebellum and temporal cortex during ASD [184]. In 2012, using meta-analysis method, Frustaci et al. [185] reported that for the C677T allele in the methylene tetrahydrofolate reductase (*MTHFR*) gene, homozygous mutant subjects (TT) showed a meta-OR of 2.26 (95% confidence interval 1.30–3.91) of being affected by ASD with respect to the homozygous non mutant (CC). Additional single nucleotide polymorphisms (SNPs) in other genes encoding enzymes involved in oxidative stress, such as, have also been associated with a change in ASD risk from several case-control and linkage studies [186–190]. Thus, in the pathogenesis of ASD, oxidative stress may play an important role via neurodegeneration in genetically predisposed individuals.

In addition to the experimental evidence showing that neurodegeneration apparently occurs in the ASD brain, genes previously reported to be primarily involved in neurodegenerative disorders are also associated with ASD. We will summarize the evidence in this regard below.

2.2.1 Apolipoprotein E (ApoE) and Reelin

ApoE is a 299 amino acid glycoprotein that is primarily generated and secreted by glia in the brain. In humans, the *ApoE* gene shows polymorphism, which results in three different alleles: $\epsilon 2$, $\epsilon 3$, and $\epsilon 4$, and different phenotypes ($\epsilon 2/2$, $\epsilon 2/3$, $\epsilon 2/4$, $\epsilon 3/4$, and $\epsilon 4/4$). It plays an important role in mediating the regular supply of neuronal lipids, and scavenging A β peptides, as well as in the promotion of substantial neurotransmitter release [191,192]. Laboratory and epidemiologic research has consistently implicated the *ApoE* gene in the pathogenesis of late-onset sporadic AD [193], and the *ApoE* $\epsilon 4$ allele significantly increases the risk in a dose-dependent manner [194].

In 2009, the relationship between ApoE isoforms and ASD was evaluated by an identification of its frequency of alleles and genotypes [195]. A total of 67 (56 males and 11 females) unrelated Brazilians with autism, with ages ranging from 4 to 33 years, were selected for a case-control study. It was found that the allelic and genotypic frequencies between the patients and controls were significantly different. The *ApoE* $\epsilon 4$ allele was observed 30 times in those with autism (22.3%) and 20 times in control individuals (14.9%). The *ApoE* $\epsilon 2$ allele was observed 19 times in those with autism (14.1%) and five times in control individuals (3.73%). Moreover, $\epsilon 4/\epsilon 4$ and $\epsilon 2/\epsilon 2$ were not found in those with autism. These results suggested that the *ApoE* $\epsilon 4$ and *ApoE* $\epsilon 2$ isoforms may be involved in the etiological complexity of predisposition to autism. Another study addressed the linkage between primary autism and *ApoE* alleles in 119 simplex Italian families, and 44 simplex and 29 multiplex Caucasian-American families [196]. A preferential transmission of $\epsilon 2$ allele, over $\epsilon 3$ and $\epsilon 4$ alleles, to autistic offspring, was reported. A possible explanation is that ApoE competitively antagonized reelin binding to the ApoE receptor 2, with the ApoE2 protein variant displaying the lowest receptor binding affinity.

As described above, reelin is a secreted serine protease that is involved in the ApoE biochemical pathway, and mutations in reelin have been found in autism, AD, schizophrenia, bipolar disorder, depression, and epilepsy [197–200]. Several reelin polymorphisms have been associated with ASD, using RNA single-strand conformation polymorphism (RNA-SSCP) and DNA sequencing [201]. When comparing 95 Italian individuals with autism to 186 ethnically-matched controls, and haplotype-based haplotype relative risk in 172 complete trios from 165 families collected in Italy and in the USA, it was shown that a polymorphic GGC repeat located immediately 5' of the reelin ATG initiator codon conferred vulnerability to autism. In addition, converging lines of evidence show a possible role for the Reelin (*RELN*) gene in ASD: (i) The *RELN* gene is located within the area of chromosome 7q that is linked to ASD [202,203]. (ii) In studies, mice devoid of reelin showed similar developmental alterations to the cytoarchitectonic alterations described in the brains of people with autism [204,205].

2.2.2 Amyloid β precursor protein (*APP*)

APP, located on chromosome 21, encodes a type-I transmembrane protein and contains three major isoforms: APP695, APP751, and APP770 [206]. The latter two isoforms contain a 56 amino acid kunitz protease inhibitor (KPI) domain within their extracellular regions, while the APP695 isoform is predominantly expressed in neurons and lacks the KPI domains [207,208]. It has been suggested that APP plays a role in neurite outgrowth and synaptogenesis, cell adhesion, calcium metabolism, and neuronal protein trafficking along the axon [209].

Mutations in *APP*, which lead to abnormal processing of the APP protein and accumulation of amyloid β ($A\beta$), have been implicated in cerebroarterial amyloidosis and autosomal dominant AD [210]. Numerous lines of evidence show that $A\beta$ has neurotoxic effects and is deleterious to neuronal function. The amyloid cascade hypothesis indicates excessive $A\beta$ as being the initiating event in AD, leading to synaptic impairment and eventually dementia [211].

Functional and mechanistic links between impaired APP processing and autism have previously been reported. Frackowiak et al. [212] suggested a self-enhancing pathological process, initiated by intraneuronal deposition of N-terminally truncated $A\beta$ in children with ASD. The abnormal metabolism of APP accelerated N-truncated $A\beta$ deposition in cytoplasm, which became a source of reactive oxygen species and lipid peroxidation products. A positive feedback loop then formed as accumulation of lipid peroxidation products caused dysfunction of mitochondria and further increased $A\beta$ accumulation, thus leading to neuronal dysfunction in autism. Similar observations were reported by Wegiel et al. [213], in that the percentage of amyloid-positive neurons increases in individuals diagnosed with ASD. The increased intraneuronal amyloid was mainly composed of N-terminally truncated $A\beta$. Moreover, diffuse plaques containing $A\beta_{40/42}$ have been detected in three adults with ASD, suggesting an age-associated risk of alterations of APP processing. Sokol et al. [214] studied secreted APP, $A\beta_{40}$, and $A\beta_{42}$ in children with and without autism; children with autism showed higher levels of secreted APP and lower levels of $A\beta_{40}$, compared with controls.

3 Perspectives

ASD cover a wide spectrum of neurodevelopmental disorders with genetic and phenotypic complexity. Extensive efforts have been made to identify the causative genetic changes that could explain the specific phenotype of ASD, and tens to thousands of associative CNVs and genes have been found. It is now fairly clear that no single master gene confers ASD pathogenesis, since none of these candidate genes contributes to even 1% of ASD cases [215]. Approximately 15% of ASD cases have a known genetic cause of either gene mutations or chromosomal rearrangements [215,216]. *De novo* or inherited CNVs account for up to 10%–20% of idiopathic ASD cases [16]. Recently, common variants (also referred as SNPs), which individually exert only small effects on ASD risk, have been shown to contribute to 40%–60% of idiopathic ASD cases when they are all considered together [217]. Despite the complexity in the genetics of autism, pathway and network analysis, using integrative approaches, has provided some clues that might result in a common autistic phenotype. Willsey et al. [218] adopted coexpression network analysis to identify convergent points in ASD brain, and pinpointed

a convergence in glutamatergic neurons in layers 5/6 of the human mid-fetal prefrontal and primary motor-somatosensory cortex. Parikshak et al. [219] reported that ASD genes are most associated with glutamatergic neurons in layer 2 in the adult cortex, by comparing RNA-sequence data between ASD and intellectual disability. Despite a limited number of reports, these initial studies using integrative approaches appear to provide an attractive mechanistic framework for further investigations of ASD. Taken together, given the complexity of genetics and phenotypes of ASD, efforts are required to not only identify further genetic changes, such as mutations and CNVs, but new analysis approaches are also needed to examine the huge amount of genetic data to gain better insights into the pathophysiological mechanisms of ASD.

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