

Identification of prognostic splicing factors and exploration of their potential regulatory mechanisms in pancreatic adenocarcinoma

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Pancreatic adenocarcinoma (PAAD), the most common subtype of pancreatic cancer, is a highly lethal disease. In this study, we integrated the expression profiles of splicing factors (SFs) of PAAD from RNA-sequencing data to provide a comprehensive view of the clinical significance of SFs. A prognostic index (PI) based on SFs was developed using the least absolute shrinkage and selection operator (LASSO) COX analysis. The PI exhibited excellent performance in predicting the status of overall survival of PAAD patients. We also used the percent spliced in (PSI) value obtained from SpliceSeq software to quantify different types of alternative splicing (AS). The prognostic value of AS events was explored using univariate COX and LASSO COX analyses; AS-based PIs were also proposed. The integration of prognosis-associated SFs and AS events suggested the potential regulatory mechanisms of splicing processes in PAAD. This study defined the markedly clinical significance of SFs and provided novel insight into their potential regulatory mechanisms.

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2 **mechanisms in pancreatic adenocarcinoma**

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16

17 **Abstract**

18 Pancreatic adenocarcinoma (PAAD), the most common subtype of pancreatic cancer, is a
19 highly lethal disease. In this study, we integrated the expression profiles of splicing factors (SFs)
20 of PAAD from RNA-sequencing data to provide a comprehensive view of the clinical significance
21 of SFs. A prognostic index (PI) based on SFs was developed using the least absolute shrinkage
22 and selection operator (LASSO) COX analysis. The PI exhibited excellent performance in
23 predicting the status of overall survival of PAAD patients. We also used the percent spliced in
24 (PSI) value obtained from SpliceSeq software to quantify different types of alternative splicing
25 (AS). The prognostic value of AS events was explored using univariate COX and LASSO COX
26 analyses; AS-based PIs were also proposed. The integration of prognosis-associated SFs and AS

27 events suggested the potential regulatory mechanisms of splicing processes in PAAD. This study
28 defined the markedly clinical significance of SFs and provided novel insight into their potential
29 regulatory mechanisms.

30 **Keywords**: Pancreatic adenocarcinoma, splicing factors, RNA-sequencing, overall survival

31

32 **Introduction**

33 Pancreatic cancer, the seventh most common cause of cancer-related death worldwide, is a
34 highly lethal disease (Bray et al. 2018; Liang et al. 2018; Wang et al. 2018). According to
35 epidemiological estimates in the United States, approximately 56,770 new pancreatic cancer cases
36 were diagnosed and 45,750 people died from the disease in 2019 (Siegel et al. 2019). Pancreatic
37 adenocarcinoma (PAAD) is the predominant subtype of pancreatic cancer and remains a health
38 priority (Chen et al. 2019; Kamisawa et al. 2016). Current treatments for PAAD include surgery,
39 chemotherapy, radiation therapy, and palliative care; surgery is regarded as the only option for
40 cure. However, most PAAD patients experience no symptoms in the early stages, which precludes
41 surgical removal (Strobel et al. 2019). Hence, molecular biomarkers that can effectively monitor
42 the onset and prognosis of PAAD are indispensable. In addition, the complex mechanisms
43 underlying the development of PAAD remains poorly understood.

44 Splicing is an important process *in vivo* and is responsible for transcript diversity (Dvinge &
45 Bradley 2015; Kim et al. 2018). Splicing factors (SFs) are a powerful manipulator in modulating
46 RNA processing and maintaining cellular homeostasis (Dvinge et al. 2016). More importantly,
47 intricate splicing events are orchestrated by a limited number of SFs. Many studies have found

48 links between the turbulences of SFs and the onset and progression of cancers (Cieply & Carstens.
49 2015 ; Shilo et al. ; Silipo et al. 2015). In PAAD, SFs also exhibit potential effective functions in
50 many ways. Adesso L et al (Adesso et al. 2013) found that silencing SRSF1, a member of the
51 arginine/serine-rich splicing factor protein family, could facilitate apoptosis induced by
52 gemcitabine via the MNK/eIF4E pathway (Adesso et al. 2013). This finding offers an alternative
53 way to enhance gemcitabine efficiency in PAAD. However, studies with a focus on the functions
54 of SFs in PAAD are still scarce. A comprehensive analysis to determine the clinical value of SFs
55 in PAAD is urgently needed.

56 Here, we systematically analyzed the clinical significance of SFs in PAAD and provided
57 clinically practicable molecular biomarkers. More importantly, a prognostic index (PI) based on
58 the expression profiles of SFs was proposed, which offers excellent survival prediction. Moreover,
59 we also explored the clinical significance of alternative splicing (AS) events. The PI based on AS
60 events also demonstrated a satisfactory prognosis prediction performance. In addition, the SF-AS
61 regulatory network also provides novel insight into the molecular function of SFs in PAAD.

62

63 **Methods**

64 **Data acquisition**

65 A catalog of 404 SF genes was obtained from a previous study (Seiler et al. 2018). The
66 fragments per kilobase of transcript per million mapped reads (FPKM) data of PAAD patients
67 were downloaded from the Cancer Genome Atlas (TCGA, <https://cancergenome.nih.gov/>)
68 database using the TCGAbiolinks R software package (Colaprico et al. 2016). The corresponding

69 clinical annotation had also been downloaded and extracted from the TCGA database. Gene name
70 annotation was performed using an ensemble database (GRCh38.95). Next, the FPKM expression
71 data were quantified to “transcripts per million” (TPM) data and normalized to the log₂ (TPM+1)
72 data type. Then, normalized TPM data was used for subsequent analysis.

73 **Survival analysis**

74 The R package survival outputs were used for univariate COX analysis of selected prognosis-
75 associated SFs. To obtain more accurate results, only PAAD patients with an overall survival (OS)
76 greater than 90 days were included in the survival analysis. Then, we further conducted gene
77 ontology (GO) and Kyoto Encyclopedia of Genes and Genomes (KEGG) pathway functional
78 enrichment analysis to reveal the potential molecular functions of prognosis-related SFs. The GO
79 analysis mainly includes biological processes (BPs), cellular components (CCs), and molecular
80 function (MF). The gene functional enrichment analysis was conducted using the “clusterProfiler”
81 package in R software (Yu et al. 2012)

82

83 **Survival-associated alternative splicing events**

84 SFs performed their molecular function mainly by regulating the AS events process
85 (Papasaikas & Valcárcel 2016). We further systematically analyzed the prognostic value of
86 alterations in AS events in PAAD and the associations between SFs and AS events. Transcript and
87 splicing event details of cross-tumors of TCGA RNA-seq data were downloaded from the TCGA
88 SpliceSeq database (<https://bioinformatics.mdanderson.org/TCGASpliceSeq/>) (Gao et al. 2019;
89 Lin et al. 2019; Lin et al. 2018; Ryan et al. 2016; Zhang et al. 2018). The SpliceSeq database

90 quantified the seven AS events, including Alternate Acceptor Site (AA), Alternate Donor Site
91 (AD), Alternate Promoter (AP), Alternate Terminator (AT), Exon Skip (ES), Mutually Exclusive
92 Exons (ME), and Retained Intron (RI), by calculating a percent-splice-in (PSI) value. The PSIs
93 ranged from 0–1. A PSI value of an ES event of 0.8 indicates that the exon is contained in
94 approximately 80% of the transcripts in the sample. We used splice event filters according to the
95 following conditions: 1) Percentage of samples with a PSI > 75% and 2) a minimum PSI standard
96 deviation > 0.1. The missing value was filled using the k-Nearest Neighbor (KNN) method. The
97 KNN was conducted with the Impute package in R software. Next, we integrated the PSI values
98 of AS events and the survival data of PAAD and conducted a univariate COX analysis to identify
99 prognosis-associated AS events. AS events with a P-value < 0.005 were identified as prognosis-
100 associated AS events.

101

102 **Construction of a PI**

103 To develop a PI based on the expression profiles of SFs genes, a least absolute shrinkage and
104 selection operator (LASSO) was conducted. Any SFs genes with P-values <0.005 were identified
105 as most the significant prognosis-related genes. Then, the selected most significant prognosis-
106 related SFs were further screened and confirmed by the LASSO regression. The classifier was
107 trained using 10-fold cross-validation to determine the optimal parameter configuration. The PI
108 was established with the following formula: $PI = \text{expression level of SF } 1 * \beta_1 + \text{expression of SF}$
109 $2 * \beta_2 + \dots \text{expression of SF } n * \beta_n$. We generated a risk score for each patient based on the PI.
110 Then, PAAD patients were placed into groups of two according to the median value of PI (Qin et

111 al. 2019).Furthermore, we used another gene expression dataset that were publicly available and
112 reported clinical outcome information to be used as validation cohort. Gene expression matrix of
113 pancreatic tumors patients in GSE62452 dataset was downloaded from the Gene Expression
114 Omnibus (<https://www.ncbi.nlm.nih.gov/geo/>).

115 Similarly, the top 20 AS values that were closely related to the prognosis (except the number
116 of ME <20) were subjected to a LASSO COX analysis to develop a PI based on AA, AD, AP, AT,
117 ES, ME, and RI, respectively. Then, a final PI was generated by submitting the top 20 AS events
118 for a LASSO COX analysis. The time-dependent incident dynamic ROCs with area under the
119 curve (AUC) values were calculated to estimate the performance of each model (Blanche et al.
120 2013).

121

122 **SF-AS regulatory network**

123 To construct an SF-AS regulatory network and learn more about the PI we proposed, we
124 analyzed the relationships between SFs genes included in the PI and OS associated AS events. Co-
125 expression relationships were identified by Pearson correlation analysis, and the threshold was set
126 to correlation coefficient $r > |0.6|$ with a P-value < 0.05 .

127

128 **Results**

129 **Identification of prognosis-associated SFs**

130 After removing those with an OS of less than 90 days, 166 total PAAD patients were included
131 in the present study and were comprised of 90 (54.2%) male and 76 (45.8%) female patients. By

132 integrating 404 SF gene expression profiles and the survival data, we conducted a univariate COX
133 analysis and found 93 SFs genes were correlated with the OS of PAAD patients ($P < 0.05$). The top
134 20 most significant SFs are listed in Figure 1.

135 Gene functional enrichment analysis revealed that prognosis-related SFs genes were classified
136 into 61 BPs, 21 CCs, 24 MF, and 3 KEGG pathways. For BPs, the three most significant categories
137 were “RNA splicing,” “mRNA processing,” and “RNA splicing via transesterification reactions
138 with bulged adenosine as nucleophile” (Figure 2A). For CCs, the three most significant terms were
139 “spliceosomal complex,” “small nuclear ribonucleoprotein complex,” and “spliceosomal snRNP
140 complex” (Figure 2B). For MF, these genes were mainly involved in “snRNA binding,” “mRNA
141 binding,” and “pre-mRNA binding” (Figure 2C). Furthermore, we found these SFs genes mainly
142 participated in “spliceosome,” “mRNA surveillance pathway,” and “RNA transport pathways”
143 (Figure 2D).

144

145 **Development of a PI based on SFs**

146 We suspected that a gene set could exhibit more accurate survival prediction performance than
147 a single gene. Therefore, we constructed an SF-based PI according to the results of the LASSO
148 COX analysis (Figure 3). This analysis was conducted using the most significant SFs ($P < 0.005$).
149 Finally, 12 SFs were included in the PI, including DDX21, GPATCH3, IGF2BP3, MYEF2,
150 NRIP2, PTBP3, RBM10, RBM14, RBM5, SRPK1, XAB2, and YBX3. The constructed PI based
151 on the 12 SFs = $[DDX21 * 0.204800595 + GPATCH3 * (-0.075547356) + IGF2BP3$
152 $* 0.060551219 + MYEF2 * (-0.16140842) + NRIP2 * (-0.274848438) + PTBP3 * 0.217746846 +$

153 $\text{RBM10} * (-0.096000129) + \text{RBM14} * (-0.147396111) + \text{RBM5} * (-0.289524669) + \text{SRPK1}$
154 $* 0.031528808 + \text{XAB2} * (-0.051783325) + \text{YBX3} * 0.30845434]$. Each patient was generated a
155 PI (Figure 4A). We found that the patients could be separated into two groups with distinct clinical
156 outcomes based on the median PI (Figure 4B). The heatmap also showed that the included SFs
157 were differentially expressed between the high- and low-risk groups (Figure 4C). K-M plots were
158 generated to reveal the survival significance of genes included in the prognostic signature (Figure
159 5). Based on the SF-based PI median value, PAAD patients could be separated into two groups
160 with distinct clinical outcomes (Figure 6A). The AUC was 0.734 in 3 year (Figure 6B). In the
161 validation cohort, patients in high-risk group suffered poorer survival near to statistical
162 significance (Figure 6C). The AUC was 0.681 in 3 year (Figure 6D).

163

164 **Identification of prognosis-associated AS events**

165 We obtained 10,354 AS events for the survival analysis, including 656 AA, 705 AD, 3181
166 AP, 1394 AT, 3494 ES, 62 ME, and 862 RI. We found that the 26 AA, 35AD, 297 AP, 122 AT,
167 230 ES, 6 ME, and 70 RI events were most significantly correlated with the OS of PAAD patients
168 ($P < 0.005$). LASSO COX analyses were conducted based on the top 20 most significant OS-
169 associated SFs. Seven PIs based on AA, AD, AP, AT, ES, ME, and RI were finally constructed
170 (Figure 7). According to the final PI based on AS events, a PI was generated for each patient
171 (Figure 8A). We found that the patients could be separated into two groups with distinct clinical
172 outcomes based on the median PI (Figure 8B). The heatmap also showed that the included AS
173 events were differentially expressed between the high- and low-risk groups (Figure 8C). The time-

174 dependent ROC of PI based on AS events indicated that the final PI possessed the highest AUC
175 (Figure 9A). The AUCs of SF-based PI, AS-based PI, and TNM are also displayed (Figure 9B).

176

177 **SF-AS regulatory network**

178 AS events are mainly regulated by just a few SFs. Therefore, we decided to explore the
179 prospective regulatory mechanism between SFs and AS events in PAAD. A Pearson correlation
180 analysis was performed and suggested that 33 favorable AS events (blue dots) and 6 risky AS
181 events (red dots) were closely related to the 4 SFs (green dots) (Figure 10).

182 **Discussion**

183 We performed a survival analysis focused on the clinical significance of SFs in PAAD based
184 on one of the largest available cancer genomics datasets to develop an excellent prognostic risk
185 score. Although systematic analyses of somatic mutations, copy numbers, gene expression
186 patterns, and associated AS events have been reported (Neelamraju et al. 2018; Sebestyén et al.
187 2016), many important issues in the field remain unresolved, especially the unique clinical value
188 of SFs in PAAD. Moreover, the AS events related to SFs could also provide novel insight into the
189 molecular function of SFs in PAAD.

190 PAAD is one of the most lethal cancers and causes a high morbidity. Hence, exploration of
191 the impact of multiple molecular biomarkers is crucial for a prognosis evaluation. Previously,
192 several studies have proposed prognostic signatures for survival prediction. Previously, several
193 studies have proposed prognostic signatures for survival prediction. For example, Yu Y et al
194 integrated the miRNA-expression profiles and clinical information of 168 PAAD patients in the

195 TCGA database and developed a two-microRNA signature for the diagnosis and prognosis
196 assessment.(Yu et al. 2018). Similarly, Shi X et al proposed a three-lncRNA signature for
197 potential survival prediction, and this signature served as an independent prognostic predictor in
198 PAAD.(Shi et al. 2018). ROC of the 3-lncRNA signature was 0.716, which is slightly lower than
199 the present study. Researchers have also provided a five-lncRNAs signature that could act as a
200 potential prognostic indicator for PAAD patients by mining the TCGA database.(Song et al.
201 2018). The AUC for the six-lncRNA biomarkers prognostic model was 0.727 at 5 years of OS.
202 These findings provide alternative clinically selectable indicators for PAAD surveillance. The
203 prognostic signature we proposed have well performance when compared with previous molecular
204 index. However, the prognostic signatures proposed based on the global alterations of genes could
205 only provide limited information. In the present study, we proposed a risk score that was mainly
206 focused on the expression profiles of SFs in PAAD. Because the roles of SFs in PAAD have not
207 been fully explored, more studies are needed to reveal their clinical significance. New findings
208 about the relationships between SFs and AS events could offer a broader insight into the molecular
209 process of PAAD.

210 We finally proposed a prognostic signature based on 12 SFs. Interestingly, some of these 12
211 SFs have been reported in PAAD. Schaeffer DF et al concluded that IGF2BP3 was upregulated in
212 PAAD, and its overexpression indicated poor survival based upon an immunohistochemical
213 analysis of 127 PAAD patients (Schaeffer et al. 2010). This result was consistent with our findings.
214 Subsequent analyses revealed that IGF2BP3 could promote cell invasiveness and the metastasis of
215 pancreatic cancer (Taniuchi et al. 2014). RBM5 has also been proven to be downregulated in

216 pancreatic cancer, and reduced RBM5 expression has a close association with poor
217 clinicopathological features (Peng et al. 2013). Furthermore, Hayes GM et al. reported that
218 knockdown of the expression levels of SRPK1 in pancreatic tumor cells could decrease the
219 proliferative capacity and increase the apoptotic potential of pancreatic tumor cells (Hayes et al.
220 2006). These results suggest that SRPK1 could be an effective therapeutic target for pancreatic
221 cancer. Previous reports about the SFs we proposed provide some evidence about their crucial
222 functions. Although previous studies have mentioned their clinical significance and molecular
223 function, a comprehensive exploration is still needed.

224 The prognosis anticipating value of AS events was widely explored recently for its limitless
225 potential for clinical applications. Several studies have attempted to investigate the prognostic
226 value of AS events in several types of cancer. For example, some researchers have explored the
227 prognostic value of AS events in lung cancer (Li et al. 2017). This groundbreaking research pointed
228 out the well-known value of AS events. Subsequently, researchers found that AS exhibited an
229 effective prognosis prediction value in thyroid cancer (Lin et al. 2019), gastrointestinal pan-
230 adenocarcinomas (Lin et al. 2018), and diffuse large B-cell lymphoma (Zhang et al. 2018).
231 Algorithmically, the established prognostic models were based on the PSI value. This value is a
232 useful method for quantifying AS events and demonstrating its clinical value. To the best of our
233 knowledge, we are the first group to integrate the clinical parameters and PSI values of AS events.
234 In this study, we also constructed an SF-AS potential regulatory network, which provides the
235 underlying mechanisms of SFs in PAAD. Indeed, many survival associated splicing events has
236 been validated. For example, previous study has reported that VEGFA/76336/ES significantly

237 associated poor survival in pancreatic cancer (Zhang et al. 2017). Furthermore, many SFs have
238 been validated important in splicing regulation and regulate the processes of tumors. RBM5 could
239 promote exon 4 skipping of AID pre-mRNA (Jin et al. 2012). YBX3 was found to be related to
240 spliceosomes in large-scale spliceosome capture and mass spectrometry analyses(Rappsilber et al.
241 2002).

242 As the present study was based on an *in silico* analysis, there are several inevitable limitations
243 that should be mentioned. First, no other independent study, especially a prospective study, has
244 validated the prognostic signatures we proposed. Second, the clinical parameters related to the
245 prognosis of PAAD have not been fully investigated.

246 **Conclusions**

247 In conclusion, we systematically explored the clinical significance of SFs in PAAD patients.
248 More importantly, a prognostic signature based on the prognosis-associated SFs was constructed
249 to separate PAAD patients into two groups with distinct clinical outcomes. These findings could
250 provide more information about the clinical value of SFs. The SF-AS regulatory network provided
251 information regarding the molecular functions of SFs.

252

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258 sincerely appreciate the public access to TCGA database.

259

260 **Figure Legends**

261

262 **Figure 1. The top 20 most significant survival-associated splicing factors.**

263

264 **Figure 2. Gene ontology and the Kyoto Encyclopedia of Genes and Genomes (KEGG)**
265 **pathway analysis of survival associated splicing factors.**

266 “RNA splicing,” “mRNA processing,” and “RNA splicing via transesterification reactions with
267 bulged adenosine as a nucleophile” are the three most significant biological process terms. (B)

268 “Spliceosomal complex,” “small nuclear ribonucleoprotein complex,” and “spliceosomal snRNP
269 complex” are the three most significant cellular component terms. (C) The three most significant

270 molecular function terms were “snRNA binding,” “mRNA binding,” and “pre-mRNA binding.”

271 (D) The KEGG pathway analysis revealed that these genes were mainly involved in
272 “spliceosome,” “mRNA surveillance pathway,” and “RNA transport.”

273

274 **Figure 3. Construction of the prognostic index based on the most significant survival-**
275 **associated splicing factor genes ($P < 0.005$) using the LASSO COX regression model.**

276 (A) The LASSO coefficient profiles of the splicing factors. A vertical line is drawn at the value
277 chosen by 10-fold cross-validation.

278 (B) Tuning parameter (λ) selection cross-validation error curve. The vertical lines were drawn at

279 the optimal values by the minimum criteria and the 1-SE criteria.

280

281 **Figure 4. The development of a prognostic index based on splicing factors.**

282 (A) Distribution of a risk score by the prognostic signature based on splicing factors. (B) The
283 patients were separated into two groups with distinct survival statuses according to the median
284 value of the risk score. (C) A heatmap shows the expression profiles of the included genes in the
285 high- and low-risk groups.

286

287 **Figure 5. Kaplan-Meier survival plots showed the clinical significance of the splicing**
288 **factors included in the PI.**

289 (A) DDX21, (B) NRIP2, (C) RBM5, (D) GPATCH3, (E) PTBP3, (F) SRPK1, (G) IGF2BP3, (H)
290 RBM10, (I) XAB2, (J) MYEF2, (K) RBM14, and (L) YBX3.

291

292 **Figure 6: The survival prediction performance of the prognostic index.**

293 Kaplan-Meier survival plots suggested that patients in the high-risk group could expect a poor
294 survival in the TCGA database (A) and GSE62452 (C). ROC curves with calculated AUCs of
295 prognostic signatures built in the PAAD cohort for risk prediction over 3 years in the TCGA
296 database (B) and GSE62452 (D).

297 **Figure 7. Kaplan-Meier survival plots showed the stratification of the prognostic index based**
298 **on alternative splicing events.**

299 (A) Acceptor Site, (B) Alternate Donor Site, (C) Alternate Promoter, (D) Alternate Terminator,

300 (E) Exon Skip, (F) Mutually Exclusive Exons, (G) Retained Intron, and (H) all types of AS events.

301

302 **Figure 8. The development of a PI based on alternative splicing events.**

303 (A) Distribution of the risk score by the prognostic signature based on alternative splicing events.

304 (B) The patients were separated into two groups with distinct survival statuses by the median

305 value of the risk score. (C) A heatmap displays the expression profiles of the included genes

306 in the high- and low-risk groups.

307

308 **Figure 9. Time-dependent receiver operating characteristic (ROC) curves of the survival**
309 **prediction systems.**

310 (A) The area under the curve (AUC) of the ROC at 500, 1000, 1500, and 2000 days, respectively.

311 The AUC of the prognostic index that was based on all types of alternative splicing events was

312 the highest.

313 (B) The AUC of the ROC at 500, 1000, 1500, and 2000 days, respectively. The AUC of the

314 prognostic index that was based on all types of alternative splicing events was the highest.

315

316 **Figure 10. Prognostic splicing factors and the splicing correlation network in PAAD.**

317 The construction of an SF-AS regulatory network. Green dots represent the SFs; red dots indicate

318 risky alternative splicing events, and blue dots represent protective events.

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Figure 1

The top 20 most significant survival-associated splicing factors.

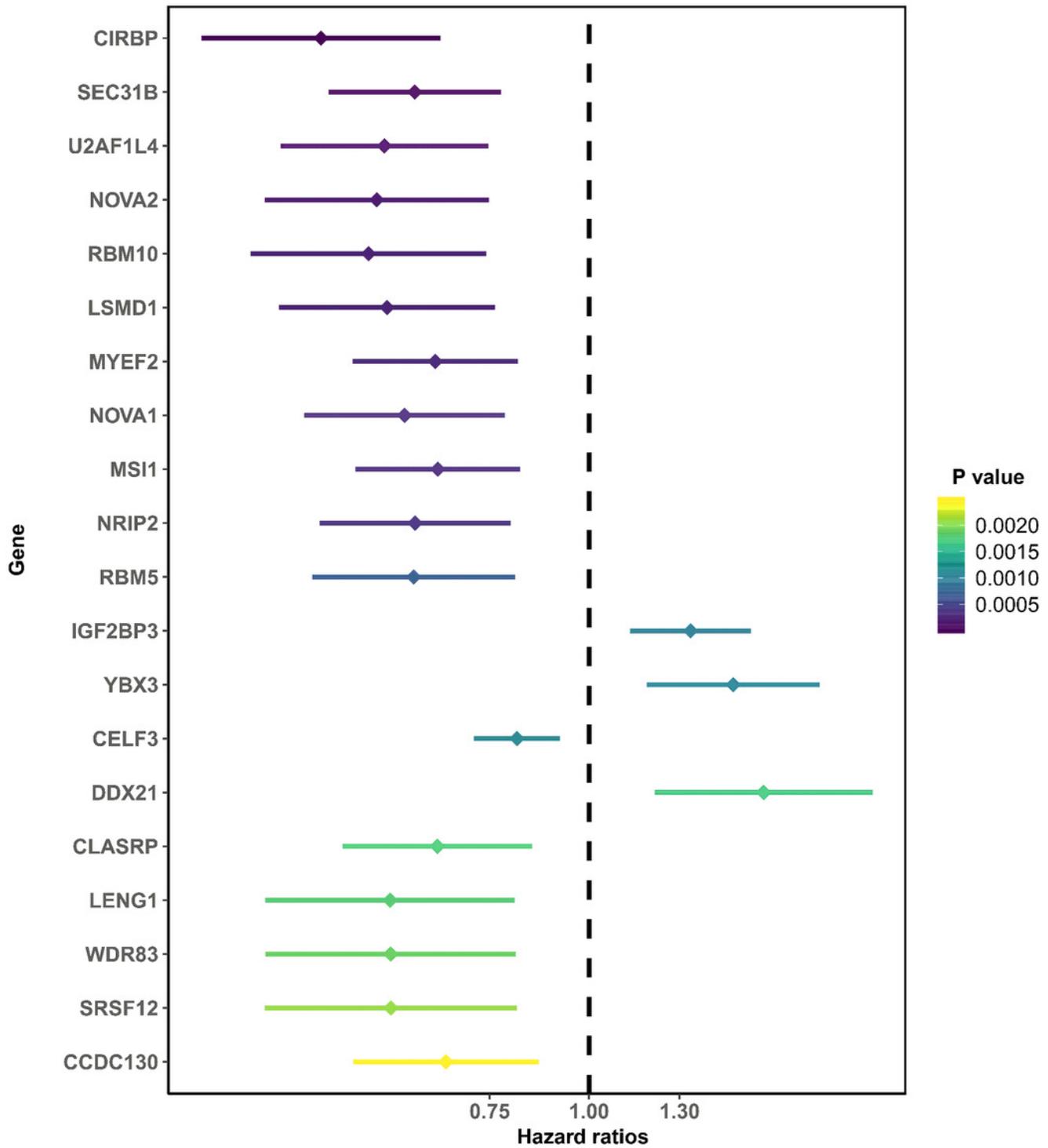


Figure 2

Gene ontology and the Kyoto Encyclopedia of Genes and Genomes (KEGG) pathway analysis of survival associated splicing factors.

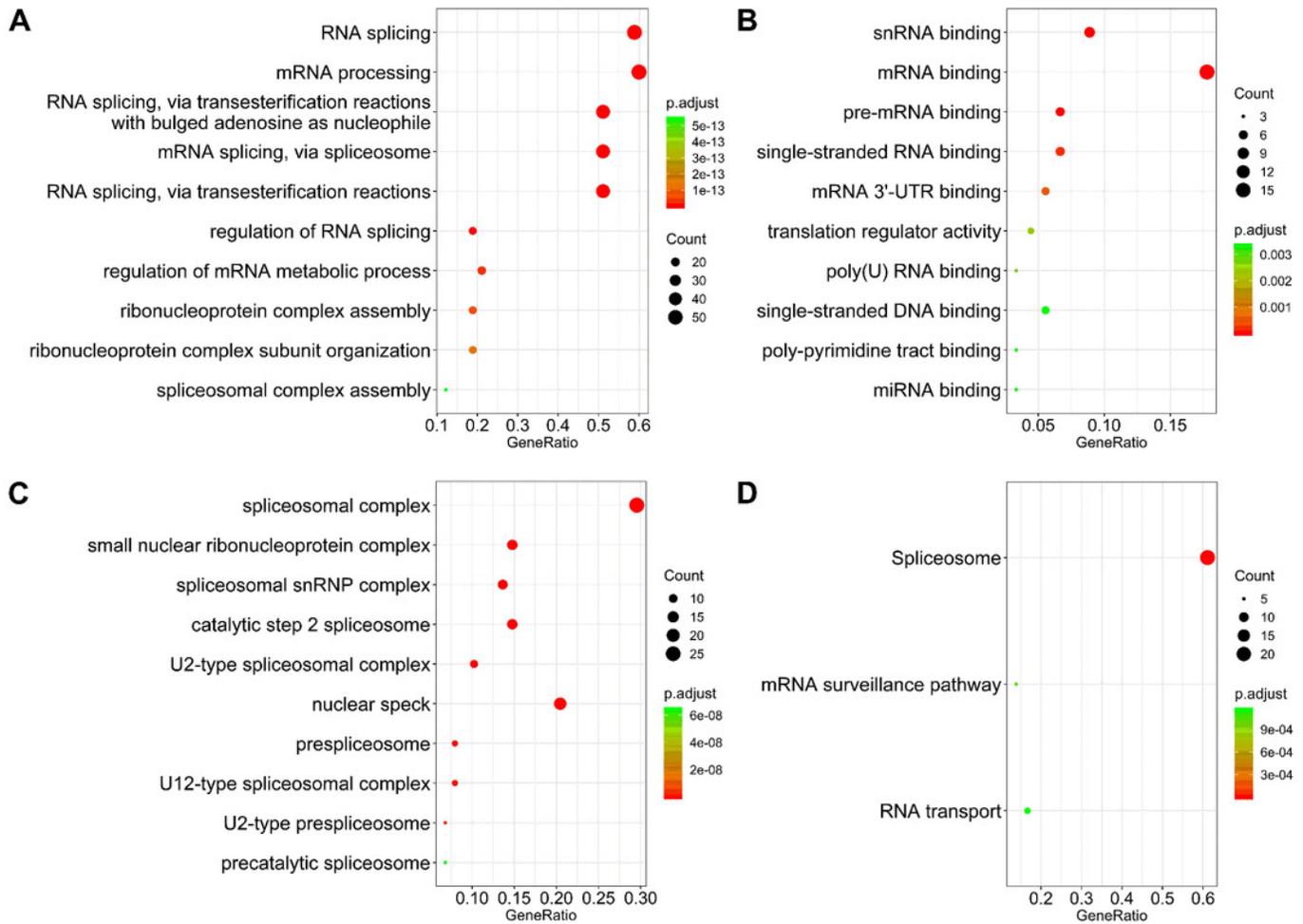


Figure 3

Construction of the prognostic index based on the most significant survival-associated splicing factor genes ($P < 0.005$) using the LASSO COX regression model.

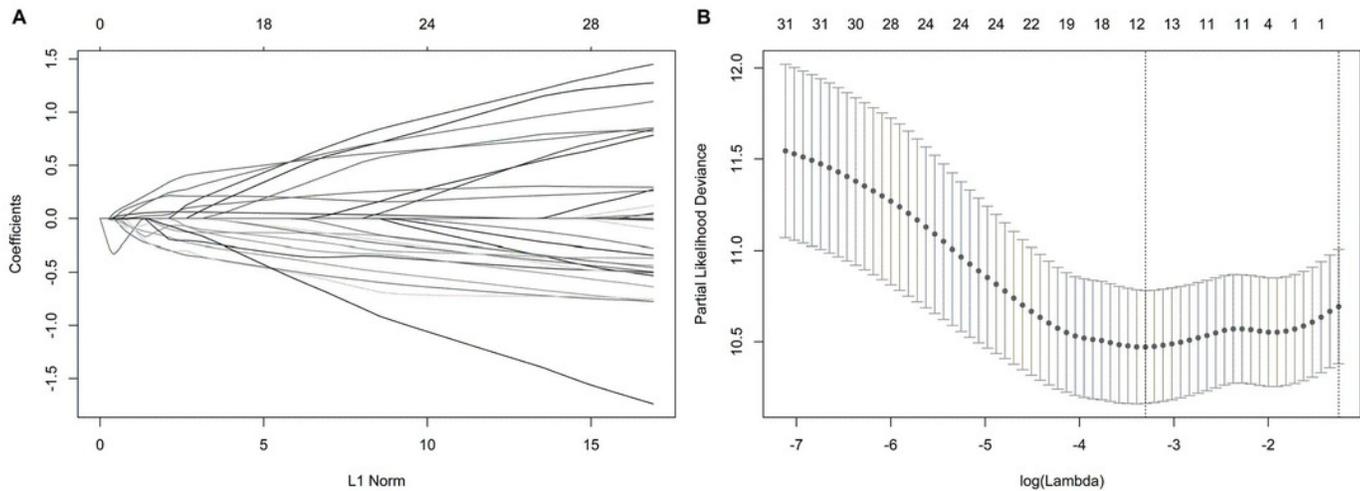


Figure 4

The development of a prognostic index based on splicing factors.

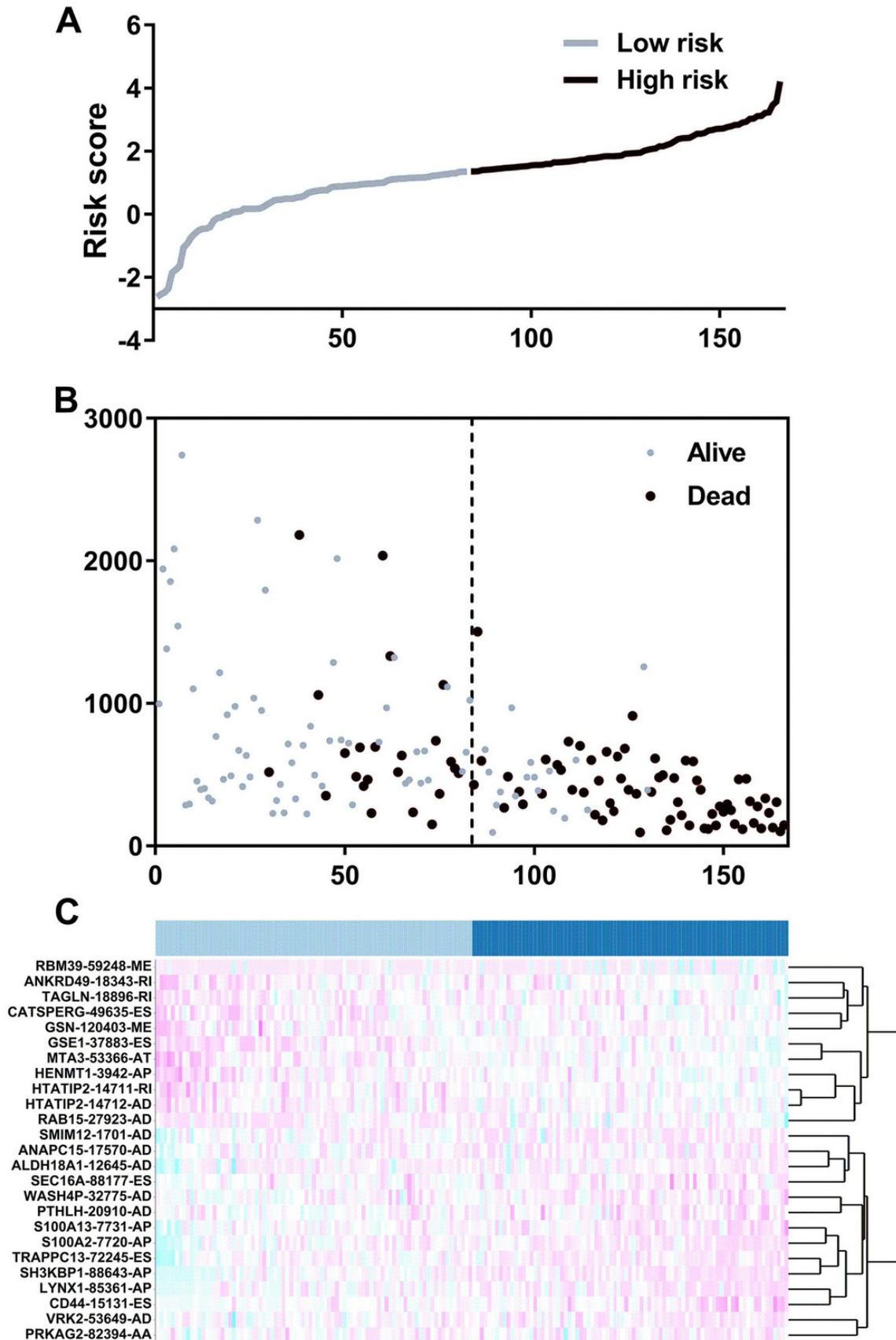


Figure 5

Kaplan-Meier survival plots showed the clinical significance of the splicing factors included in the PI.

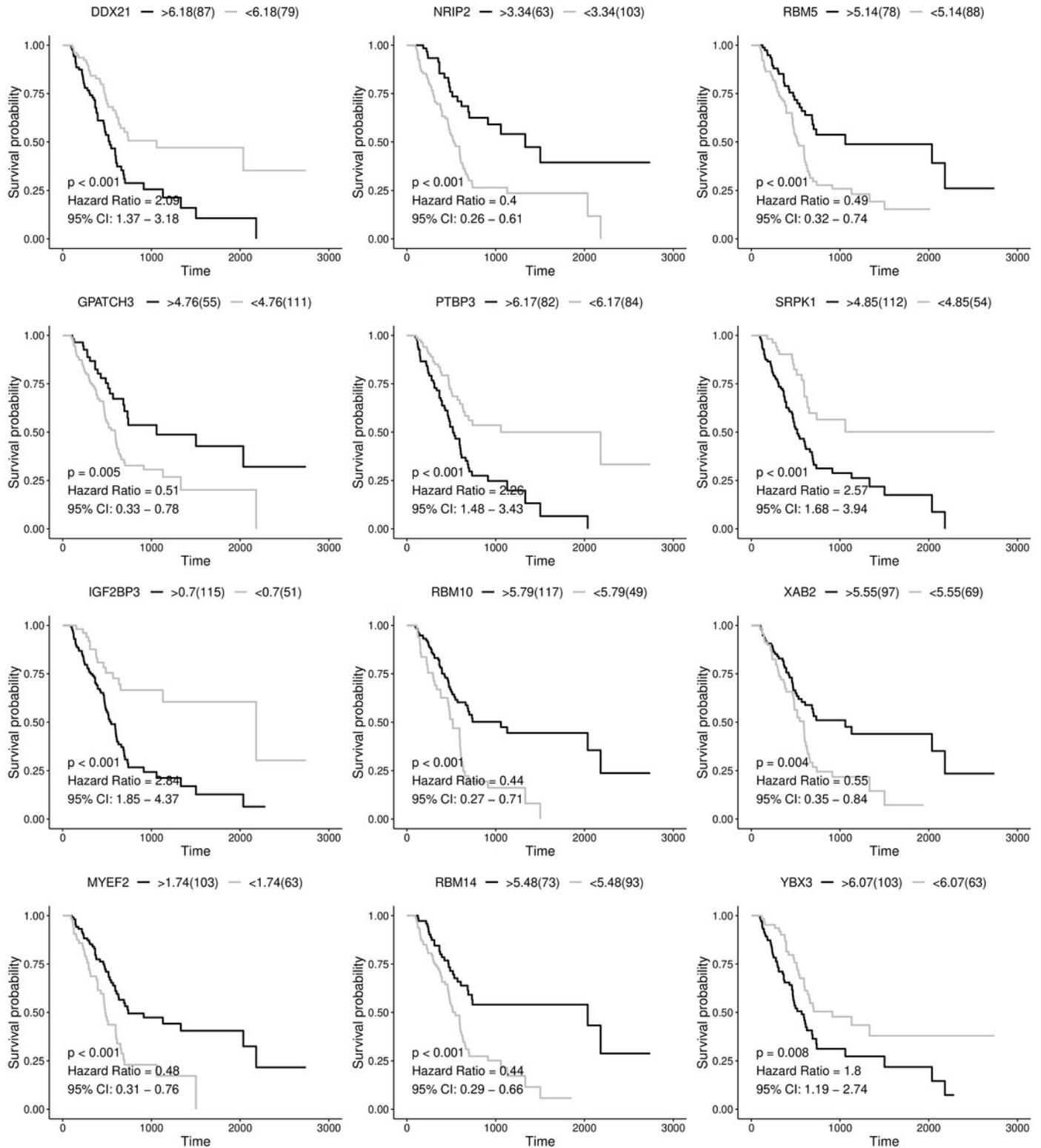


Figure 6

The survival prediction performance of the prognostic index.

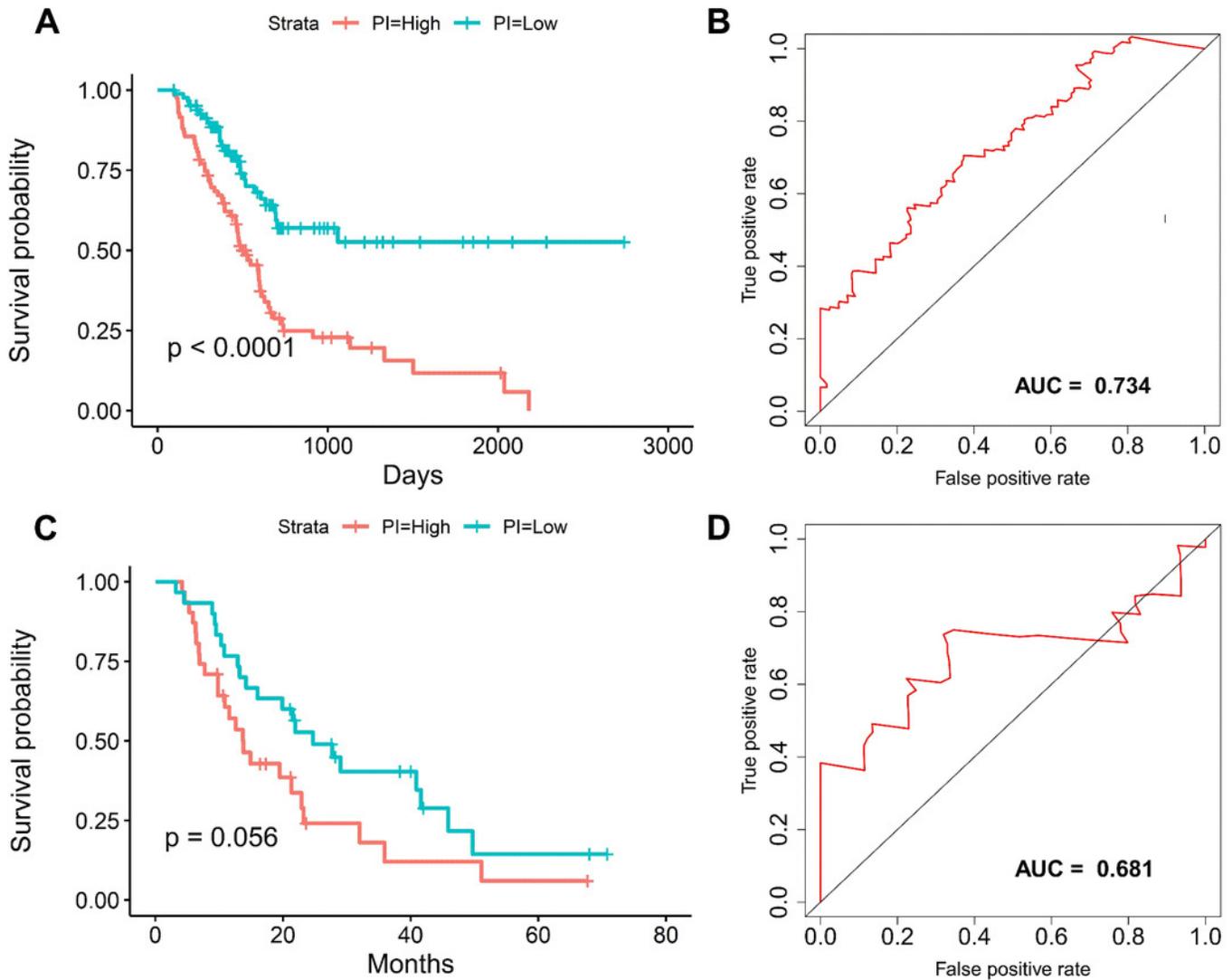


Figure 7

Kaplan-Meier survival plots showed the stratification of the prognostic index based on alternative splicing events

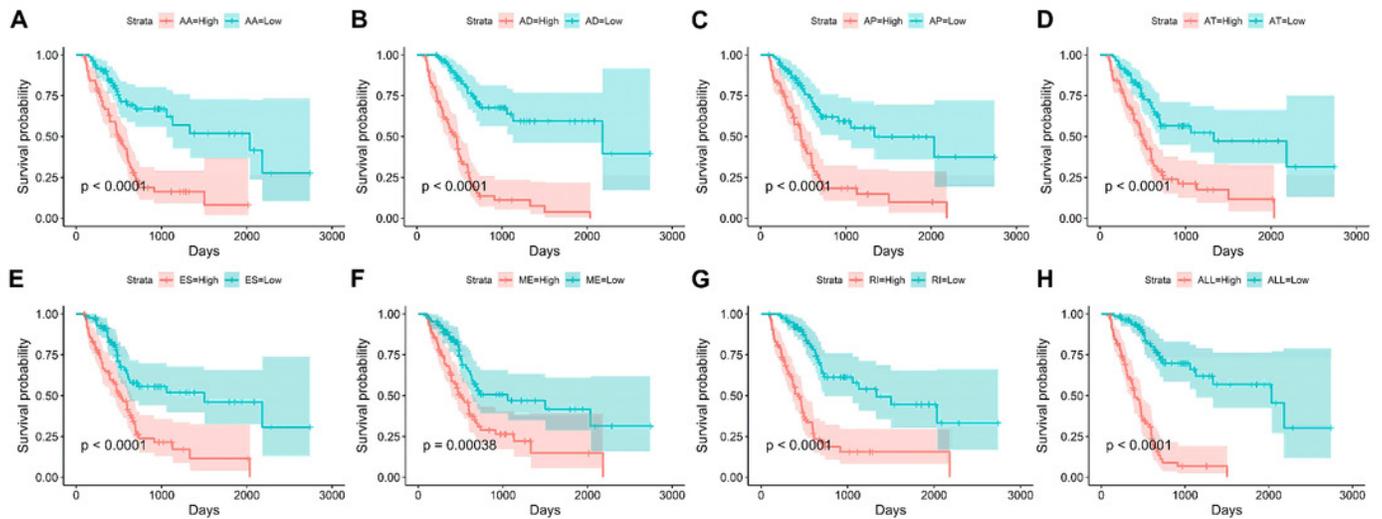


Figure 8

The development of a PI based on alternative splicing events.

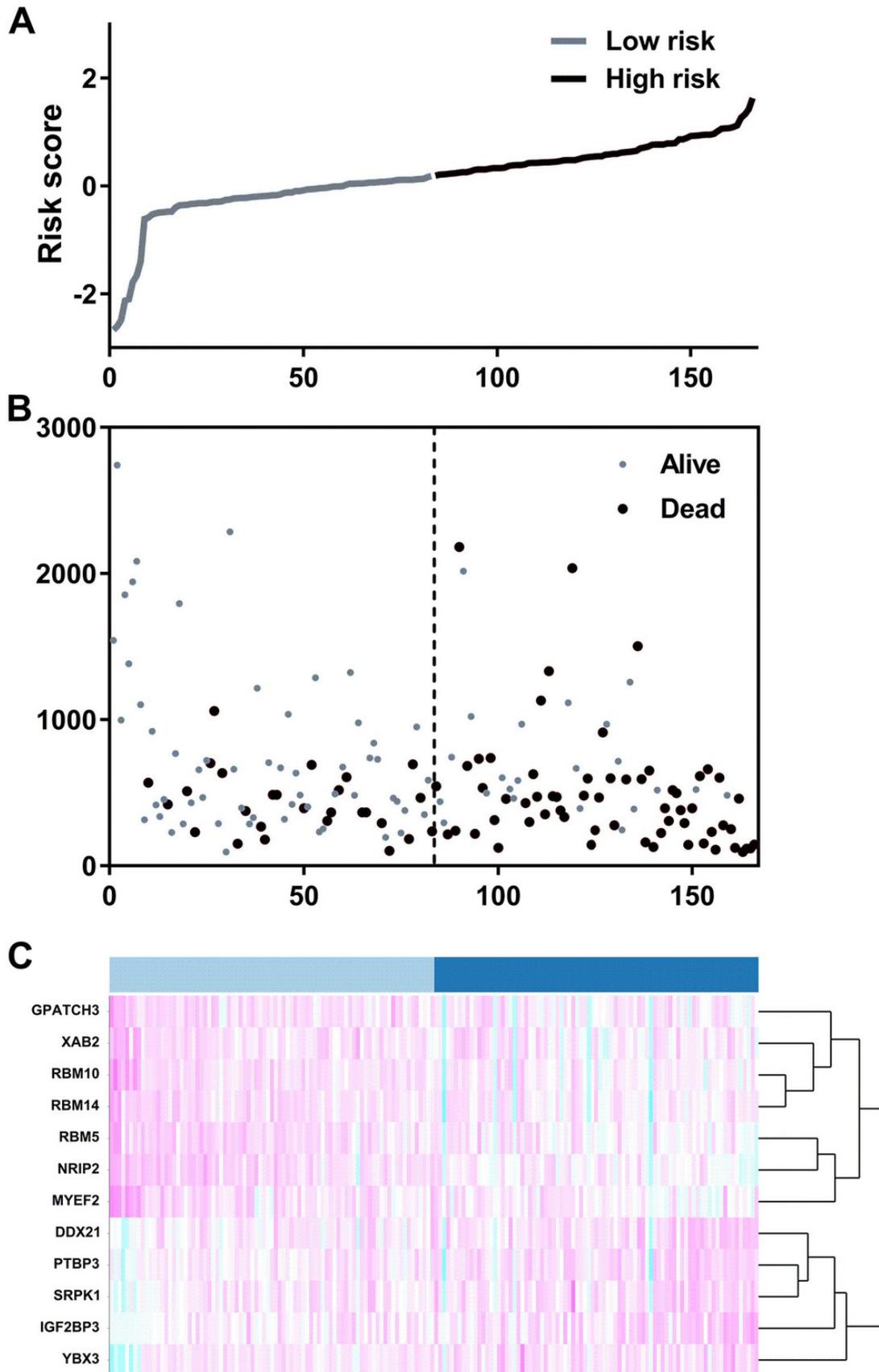


Figure 9

Time-dependent receiver operating characteristic (ROC) curves of the survival prediction systems.

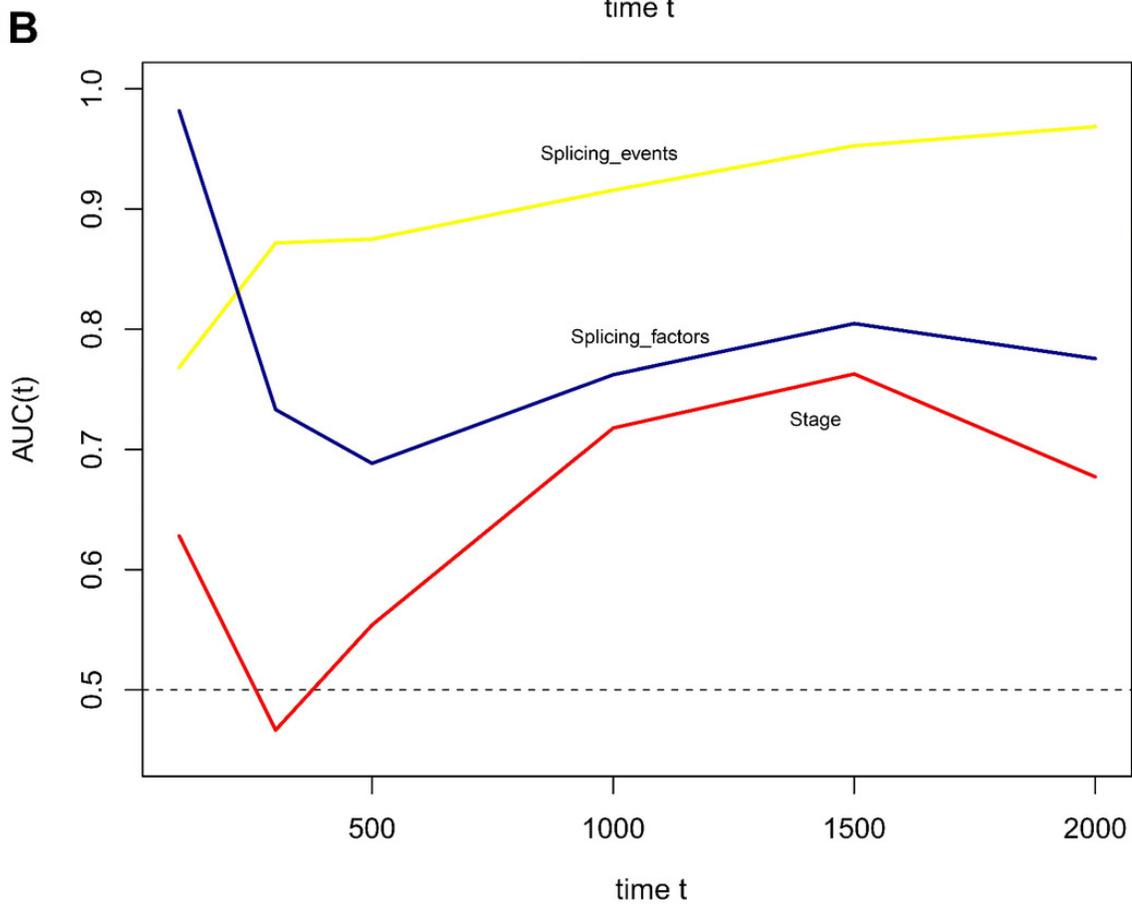
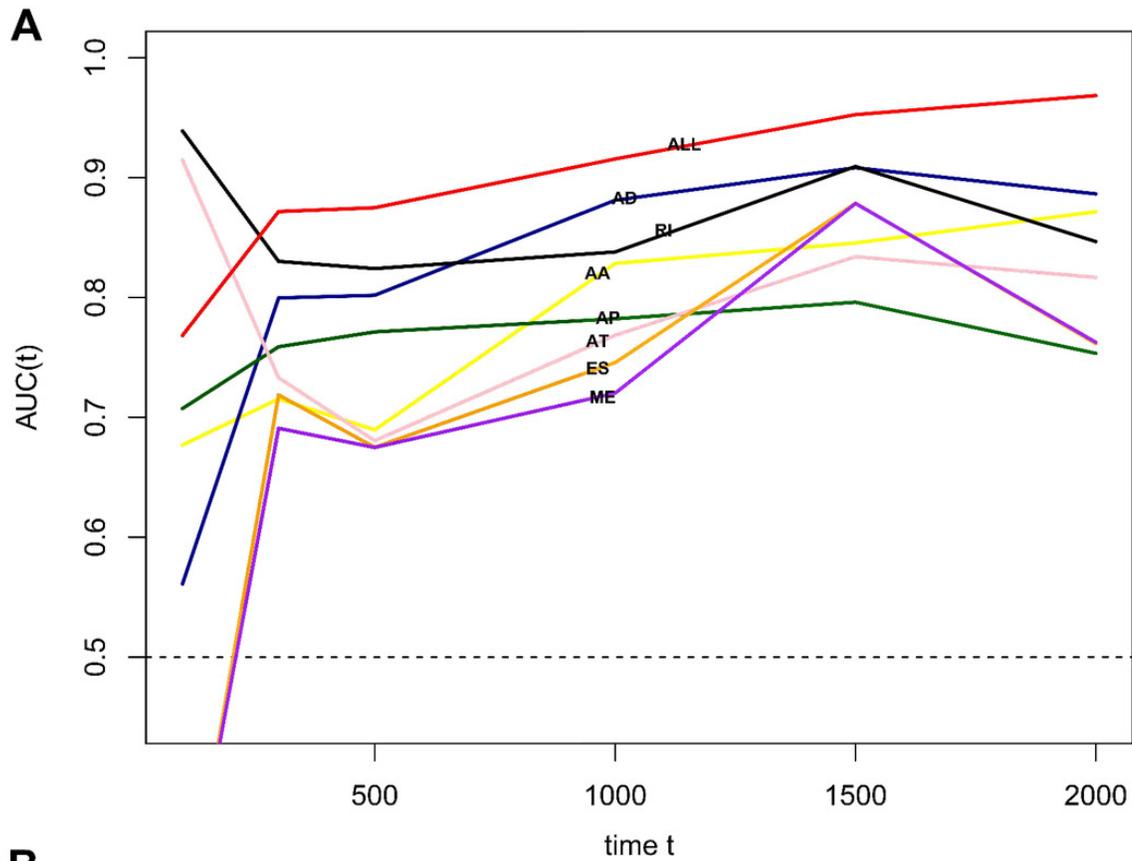


Figure 10

Prognostic splicing factors and the splicing correlation network in PAAD.

