

1 **Rapid selection of sotrovimab escape variants in SARS-CoV-2 Omicron infected**
2 **immunocompromised patients**

3

4 Smaranda Gliga^{1,2#}, Nadine Luebke^{2,#,*}, Alexander Killer^{1,#}, Henning Gruell³, Andreas
5 Walker², Alexander T. Dilthey⁴, Carolin Lohr¹, Charlotte Flaßhove¹, Hans-Martin Orth¹,
6 Torsten Feldt¹, Johannes G. Bode¹, Florian Klein^{3,5}, Jörg Timm², Tom Luedde^{1,#} and Björn-
7 Erik Ole Jensen^{1,#}, on behalf of the *Sotrovimab Study Group*

8

9 *Sotrovimab Study Group group members listed in acknowledgement section*

10

- 11 (1) Department of Gastroenterology, Hepatology and Infectious Diseases, University
12 Hospital Duesseldorf, Medical Faculty, Heinrich-Heine-University Düsseldorf,
13 Germany.
14 (2) Institute of Virology, University Hospital Duesseldorf, Medical Faculty, Heinrich-
15 Heine-University Düsseldorf, Düsseldorf, Germany.
16 (3) Institute of Virology, Faculty of Medicine and University Hospital Cologne,
17 University of Cologne, Cologne, Germany.
18 (4) Institute of Medical Microbiology and Hospital Hygiene, Medical Faculty, Heinrich-
19 Heine-University Duesseldorf, Duesseldorf, Germany
20 (5) Center for Molecular Medicine Cologne (CMMC), University of Cologne, Cologne,
21 Germany.
22 (6) Institute of Immunology and Genetics, Kaiserslautern, Germany

23

24 # contributed equally to this article

25

26 ***Corresponding author:**

27 Nadine Lübke
28 Institute of Virology
29 Medical Faculty, Heinrich-Heine-University Düsseldorf
30 Moorenstrasse 5
31 40225 Düsseldorf Germany
32 e-mail: nadine.luebke@med.uni-duesseldorf.de

33

34

35

1 **Abstract**

2 **Background:** Monoclonal antibodies (mAb) targeting SARS-CoV-2 are predominantly less
3 effective against Omicron variants. Immunocompromised patients often experience prolonged
4 viral shedding and are therefore at increased risk for viral escape mutations, when mAbs are
5 used as monotherapy.

6 **Methods:** In an observational, prospective cohort, 57 patients infected with Omicron variants
7 receiving sotrovimab alone or in combination with remdesivir were followed. The study
8 endpoints were a decrease in SARS-CoV-2-RNA $<10^6$ copies/ml in nasopharyngeal swabs at
9 day 21 and the emergence of resistance mutations at days 7, 14, and 21 after sotrovimab
10 administration. All SARS-CoV-2 samples were analyzed by whole-genome sequencing,
11 individual variants within the quasispecies were subsequently quantified and further
12 characterized by a pseudovirus neutralization assay.

13 **Results:** 47/57 patients (82.5%) were infected with Omicron/BA.1 and 10/57 (17.5%) with
14 Omicron/BA.2. The vast majority of patients (43/57, 75.4%) were immunodeficient,
15 predominantly due to immunosuppression after organ transplantation or hematologic
16 malignancies. 21 days after sotrovimab administration, 12/43 (27.9%) of immunodeficient
17 patients had prolonged viral shedding compared to 1/14 (7.1%) immunocompetent patients
18 ($p=0.011$). Longitudinal sequencing revealed that 14/43 (32.6%) immunodeficient patients
19 had in part Omicron-specific viral spike protein mutations (e.g., P337S and/or E340D/V) that
20 substantially reduced susceptibility to sotrovimab in a pseudovirus neutralization assay.
21 Combination therapy with remdesivir significantly reduced the selection of escape variants.

22 **Conclusions:** Immunocompromised patients face a considerable risk of prolonged viral
23 shedding and emergence of escape mutations after early therapy with sotrovimab. These
24 findings underscore the importance of careful monitoring and the need to conduct dedicated
25 clinical trials for this patient population.

26 **Keywords:** immunodeficiency, sotrovimab, SARS-CoV-2, Omicron, escape

1 **Introduction**

2 During the SARS-CoV-2 pandemic, numerous studies have shown that treatment options
3 directly targeting SARS-CoV-2 itself are most successful in the early phase of COVID-19,
4 whereas in the late phases of COVID-19 with pneumonia and hyperinflammation,
5 immunomodulation is the main therapeutic principle. Several monoclonal antibodies (mAb)
6 targeting SARS-COV-2, such as bamlanivimab/etesevimab or casirivimab/imdevimab,
7 became available starting in late 2020 and were successfully used in the early phase of
8 COVID-19 to prevent disease progression in high-risk patients [1]. With the emergence of the
9 currently dominating variant of concern (VOC) Omicron in November 2021, a significant rise
10 in infection rates was observed. This went along with a loss of *in vitro* activity of the mAb
11 combination casirivimab/imdevimab, commonly used until then, because the target regions in
12 the spike protein were altered through several mutations [2]. In January 2022, sotrovimab
13 became available in Germany. It was one of the few mAbs found to be effective against the
14 Omicron variant *in vitro*, and thus represented a promising treatment option for early SARS-
15 CoV-2 infection [3-5].

16 Sotrovimab was approved for use in children over 12 and adults at high/moderate risk
17 for developing severe infection [6]. Up until now, only two randomized controlled trials have
18 evaluated the efficacy of sotrovimab in preventing hospitalization and disease progression but
19 only the COMET-ICE trial showed a benefit [3, 4, 7]. However, these trials did not include
20 severely immunodeficient patients such as solid organ transplant (SOT) recipients. Case
21 series as well as two cohort studies evaluated the efficacy and safety of sotrovimab in SOT
22 patients in the context of Omicron and reported a reduction in disease severity [8, 9].
23 However, it was suggested that therapy of SARS-CoV-2 infections with single mAbs might
24 promote the emergence of escape mutations in the spike protein, especially in
25 immunocompromised patients [10]. Recently, mutations have been reported after sotrovimab
26 therapy in patients infected with the Omicron variant, but the risk factors for the occurrence

1 and the longitudinal development of resistance are still largely unclear [11, 12]. Therefore, we
2 analyzed the outcome and risk factors for viral persistence after treatment with sotrovimab in
3 our cohort of patients treated since January 2022, focusing specifically on the emergence of
4 escape mutations.

6 **Methods**

7 **Study design**

8 We performed a prospective, observational cohort study in patients diagnosed with SARS-
9 CoV-2 infection who received sotrovimab therapy between the 20th of January and the 25th of
10 February 2022. Patients were either hospitalized or presented at the outpatient clinic at the
11 University Hospital Düsseldorf. Inclusion criteria were: (I) polymerase chain reaction (PCR)-
12 confirmed SARS-CoV-2 infection, (II) age over 12 years, (III) weight over 40 kg and (IV)
13 risk factors for developing a severe course of COVID-19. All patients provided informed
14 consent. Patients were pseudonymized with number IDs. A single dose of 500 mg of
15 sotrovimab was administered intravenously over a one-hour period as part of routine clinical
16 practice.

17 Baseline was defined as the day of sotrovimab administration. Nasopharyngeal swabs
18 and clinical parameters were collected at baseline and during the follow-up period: every 7
19 days (+/-2 days) until viral clearance was achieved. The main endpoints of the study were
20 percentage of patients with a decrease in SARS-CoV-2 RNA $<10^6$ copies/ml in
21 nasopharyngeal swabs 21 days after sotrovimab administration and the characterization of the
22 viral variants including the screening for escape mutations during the observation period of
23 28 days. Patients who did not attend their follow-up appointments and patients, for whom
24 viral genome sequencing was unsuccessful at any time during the study, were excluded from
25 the statistical analysis.

26

1 **Definition of prolonged viral shedding**

2 Prolonged viral shedding was defined as a persistent SARS-CoV-2 RNA concentration above
3 10^6 copies/ml 21 days after sotrovimab administration. The threshold of 10^6 SARS-CoV-2
4 RNA copies/ml or a Ct-value >25 is considered a measure of infectivity based on *in vitro* cell
5 culture data showing a correlation between viral load and viral cultivability and the associated
6 probability of transmission [13]. This cutoff value as correlate of contagiousness was also
7 chosen following the German recommendations of the Robert Koch Institute for the isolation
8 of SARS-CoV-2 infected hospitalized patients.

9

10 **Laboratory SARS-CoV-2 analyses**

11 All detailed information on SARS-CoV-2 detection and quantification, SARS-CoV-2 whole
12 genome sequencing and resistance analysis, pseudovirus cloning, production and
13 neutralization assays is provided in the Supplementary Appendix.

14

15 **Statistical analysis**

16 Detailed information on the statistical programs used and the statistical tests performed are
17 documented in the Supplementary Appendix.

18

19 **Results**

20 **Patients' characteristics**

21 A total of 57 patients (female=21; male=36) were enrolled into this study, of which 47
22 patients (82.5%) were infected with Omicron variant BA.1 and 10 patients (17.5%) with
23 Omicron variant BA.2 (Table 1). No symptoms were present in 21 of 57 (36.8%) patients,
24 while the rest had symptoms consistent with early COVID-19. The median time from onset of
25 symptoms to administration of sotrovimab was 3 days (interquartile range (IQR) 1-3.3). All
26 participants were in the early phase of COVID-19 when sotrovimab was administered, two of

1 them required low levels of oxygen supplementation for reasons unrelated to COVID-19. 42
2 of 57 patients (73.7%) received at least three doses of SARS-CoV-2 vaccine in accordance
3 with the recommendations of the Standing Committee on Vaccination (Supplementary Table
4 1). The median timespan since the last vaccination was 3 months (range 1-5). Two patients
5 died from causes unrelated to COVID-19: one from stage IV malignant melanoma, the other
6 from complications of acute lymphoblastic leukemia. In total, five patients could not be
7 monitored because they either died (malignant melanoma) or did not present to follow-up
8 (n=4).

9 Patients were grouped into immunocompetent (n=14) and immunodeficient (n=43).
10 Immunodeficiency mostly comprised solid organ transplantation (SOT), stem cell
11 transplantation (SCT), active hematologic malignancies and autoimmune diseases. The full
12 spectrum of diseases is presented in Table 1. Immunosuppressive medication was given to 39
13 out of 43 patients (90%) classified as immunodeficient (Supplementary Table 1).

15 **Prolonged viral shedding in immunodeficient COVID-19 patients infected with an** 16 **Omicron variant and treated with sotrovimab**

17 We analyzed the kinetics of viral clearance after the first positive SARS-CoV-2 PCR test and
18 after sotrovimab administration in immunocompetent and immunodeficient patients (Figure
19 1). All but one of the immunocompetent patients had a viral load (VL) below 10^6 copies/ml at
20 day 14, while 21/43 (48.8%) of immunodeficient patients had prolonged viral shedding at this
21 time (p=0.011). Moreover, even on day 21, 12/43 (27.9%) of the patients with
22 immunodeficiency had not achieved a VL $<10^6$ copies/ml. The only immunocompetent
23 patient who still had a VL $>10^6$ copies/mL on day 14 was lost to follow-up and therefore
24 considered for analysis as having a VL $>10^6$ copies/mL on day 21 (patient 37, Supplementary
25 Table 2). A higher proportion of patients presenting without COVID-related symptoms had
26 prolonged viral shedding after days 14 and 21 (Supplementary Table 4).

1 Of note, 6 of 43 (13.9%) immunodeficient patients were infected with the BA.2
2 Omicron-variant, characterized by higher levels of *in vitro* resistance of sotrovimab compared
3 to BA.1. 29 out of 43 (67.4%) immunodeficient patients received additional therapy with
4 remdesivir at baseline (Supplementary Table 2). However, in the subgroup analysis, no
5 significant association was found regarding the occurrence of prolonged viral shedding and
6 following factors: Omicron variant, remdesivir administration, number of vaccinations and
7 months since last vaccination or time between symptom onset and sotrovimab infusion (Table
8 2). The only risk factor identified for prolonged viral shedding was immunodeficiency
9 ($r=0.329$; $p=0.016$).

10 Initial non-responders defined as patients whose symptoms either worsened despite
11 sotrovimab administration and required hospitalization (#30, 34), or who experienced a viral
12 rebound during the observation period (days 14-21: #8, 9, 10, 16; >21 days: #3, 26, 54)
13 received further antiviral therapy. All patients who showed a slow but steady decline in
14 SARS-CoV-2 VL did not receive further antiviral therapy, and five patients were lost to
15 follow up. In all 10 patients retreated with further antiviral drugs, the virus was subsequently
16 eliminated (Details in Supplementary Table 2).

17 Taken together, these results show that immunocompromised patients have a
18 substantial rate of prolonged viral shedding, even after administration of sotrovimab, which
19 was the standard therapy for patients infected with SARS-CoV-2 at high risk for disease
20 progression at the time of enrollment.

21 **Emergence and characterization of resistance mutations in Omicron VOC after the use**
22 **of sotrovimab**

23 Noting the prolonged viral shedding in immunocompromised patients after sotrovimab
24 administration, we next performed whole-genome nanopore sequencing of all available viral
25 samples with VL $>10^6$ copies/ml. Samples with detected resistance mutations were further
26 analyzed with quantitative Illumina sequencing with spike amino acid coverage averaging
27 98.5% (range 91.6-100%) (Sample overview table, online data repository server). This

1 analysis revealed that mutations at spike protein residues associated with resistance to
2 sotrovimab occurred in 14 of 57 patients (24.6%). No selection of escape mutations was
3 observed in the immunocompetent patients, but only in immunodeficient patients (14/43, 32.6
4 %), most of which had prolonged viral shedding. This group comprised 6 patients with SOT,
5 2 allogeneic SCT recipients, 2 patients with active hematologic malignancy receiving
6 chemotherapy as well as 1 patient each with cryoglobulinemic vasculitis, systemic lupus
7 erythematosus, and liver cirrhosis (Child-Pugh class A), each of whom received additional
8 immunomodulatory therapies, and finally 1 patient with common variable immunodeficiency
9 (Supplementary Table 2).

10 While no variants with reduced susceptibility to sotrovimab were detected at baseline
11 confirmed by Illumina sequence analysis, five patients had sotrovimab-resistant variants
12 already at day 7, whereas most escape mutations occurred between day 7 and day 14. Details
13 of the quantitative analysis of sotrovimab resistance mutations performed by Illumina
14 sequencing on SARS-CoV-2 samples with evidence of immune escape in nanopore
15 sequencing are shown in Figure 2. The first-appearing resistance mutations were detected
16 exclusively at positions 337 or 340 in the spike protein, predominantly featuring the
17 mutations P337S (n=8), E340K (n=9), and E340D (n=5). In addition, amino acid substitutions
18 P337H/L/R and E340A/V were found during our observation period of up to 28 days
19 (Supplementary Table 3). During the observation period, not only an increase in escape
20 variants (e.g., patients 2, 31 and 53), but also a change of the frequency of mutated variants
21 was observed, e.g., patient 10: E340D (d21) to E340K (d28) and patient 53: E340V (d7) to
22 E340D (d14) (Figure 2, Supplementary Table 3).

23 The sotrovimab-specific escape mutations (P337S, E340D/K/V) already detected on
24 day 7 were characterized in the BA.1 and BA.2 omicron background using a pseudovirus
25 neutralization assay (Figure 3). While in the B.1 background (a common lineage early in
26 2020[14]), only E340K und E340D were associated with reduced neutralization by
27 sotrovimab (IC_{50} : >100 μ g/ml and IC_{50} : 0.162 μ g/ml, respectively), all other detected

1 mutations completely abrogated neutralization by sotrovimab in both the BA.1 and BA.2
2 backgrounds (IC₅₀: >100 µg/ml).

3 To characterize the risk factors for the selection of escape mutations, correlation
4 analyses were performed (Table 2). This analysis revealed that two factors correlated with the
5 emergence of resistance mutations: immunodeficiency (r=0.305, p=0.021) and days until VL
6 below 10⁶ SARS-CoV-2 RNA copies/ml was achieved after sotrovimab administration
7 (r=0.322, p=0.019). In detail, patients with emergence of mutations had significantly delayed
8 time to viral clearance (mean 28.2, SD 16.2 days) compared to those without mutations (12.9,
9 SD 9.9 days); odds ratio 5.04 (95%CI, 1.29-18.3). In addition, for patients with tacrolimus
10 therapy, higher tacrolimus levels at baseline positively correlated with the emergence of
11 escape mutations (r=0.523, p=0.015). In immunodeficient patients, administration of
12 remdesivir in combination with the corresponding duration correlated negatively with the
13 occurrence of resistance mutations against sotrovimab (r=-0.392, p=0.009). Most patients
14 with selection of sotrovimab-specific escape mutations (13/14; 92.8%) were infected with the
15 BA.1 variant; however, only 6/43 immunodeficient patients were infected with BA.2.

16 Together, these findings suggest that sotrovimab monotherapy in immunocompromised
17 patients is associated with the risk of de-novo development of specific mutations leading to
18 immune escape.

19

20

21 **Discussion**

22 To our knowledge, this is one of the few studies reporting the frequent emergence of escape
23 mutations after sotrovimab treatment in a predominantly immunodeficient cohort of patients
24 infected with Omicron variants.

25 Previous publications showed a decreased severity of SARS-CoV-2 disease with the
26 Omicron variant [15]. Consistent with this, all patients in our high-risk cohort had
27 uncomplicated disease throughout the follow-up period and there was no SARS-CoV-2-

1 related mortality. Due to the observational nature of our study, it remains unclear whether the
2 clinical course might have been less favorable in some patients without early antiviral
3 therapy. When comparing the BA.1 and BA.2 Omicron variants in terms of prolonged viral
4 shedding after sotrovimab administration, there was no significant difference found in our
5 cohort. At this point, however, it must be emphasized that BA.2 was underrepresented in our
6 study cohort compared to BA.1 (17.5% vs. 82.5%, respectively). In our pseudovirus
7 neutralization assays (Figure 3), as well as in other studies, a reduced neutralization activity
8 of sotrovimab against BA.2 was described [16, 17]. These data have led the Food and Drug
9 Administration (FDA) to revoke the approval of sotrovimab for patients infected with BA.2 in
10 April 2022 [18].

11 A unique feature of our cohort is the high number of immunodeficient patients, almost
12 half of whom were patients with SOT, resulting in a higher risk of prolonged viral shedding,
13 therefore potentially promoting the emergence of highly mutated viruses [19-21]. In this
14 context, a higher baseline tacrolimus serum level was associated with the selection of escape
15 mutations in our study, which highlights the importance of considering treatment adjustments
16 of immunosuppressive medication during SARS-CoV-2 infection.

17 In our cohort, all but one of the immunocompetent patients (13/14, 92.9%) were below
18 the defined viral threshold of 10^6 SARS-CoV-2 RNA copies/ml at day 14 and no selection of
19 resistant variants to sotrovimab was detected. In contrast, sotrovimab escape mutations were
20 detected in 32.6% of immunodeficient patients, who predominantly experienced prolonged
21 periods of viral replication. Similarly, treatment with other mAbs or antiviral agents (such as
22 remdesivir) is also reported to promote the selection of viral mutations particularly in
23 immunosuppressed patients [10, 22-24].

24 Sotrovimab-specific resistance mutations were first described in an Australian cohort
25 of patients infected with the Delta variant [25]. Genome sequencing of samples from the
26 COMET-ICE trial detected 20 patients with sotrovimab escape mutations, out of which
27 P337L, E340A and E340K showed reduced susceptibility to sotrovimab in pseudotyped viral-
28 like particles (>100-fold change in EC50 value) [3, 18]. In the study published by Rockett *et*

1 *al.*, eight out of 100 included subjects developed one of the following mutations, E340A/K/V
2 or P337L combined with the E340 mutation occurring 6 to 13 days after sotrovimab
3 administration [25]. While in the Delta background mainly the P337L and the E340A were
4 selected, in the Omicron background other amino acids were selected at the same positions,
5 predominantly the P337S/R and the E340D/K, as also reported by other recent studies [11,
6 12].

7 In our longitudinal study, after detection of the sotrovimab-specific escape mutations
8 P337S/L/R and E340A/D/K/V at day 7, additional variants were detected during our
9 observation period (P337H). Moreover, changes in frequency of different escape variants
10 over time were observed, as already described in infections with the Delta variant,
11 presumably indicating ongoing viral evolution [25].

12 In the *in vitro* analyses carried out in our study, the pseudovirus neutralization assays
13 confirmed that both, the sotrovimab mutations E340K and E340V, which were also selected
14 in Delta, and the mutations P337S and E340D newly described in the Omicron context
15 completely abrogate the neutralization activity of sotrovimab. In the B.1 background, on the
16 other hand, a strongly reduced neutralization activity could only be observed for E340K,
17 whereas the E340D mutation reduced the neutralization activity of sotrovimab to a much
18 lesser extent. These data clearly show that not only the escape mutation itself, but also the
19 broader genetic background of the spike protein influences the impact of a specific escape
20 mutation on mAbs efficacy, as has already been observed in several efficacy studies for mAbs
21 [17, 26].

22 In a previous small cohort study conducted before the Omicron era, we had found that
23 the E484K mutation occurred upon bamlanivimab monotherapy in 83% of patients and in a
24 major portion of the viral population in the respective patients [10]. In contrast, in our study,
25 the frequency of sotrovimab-resistant viral variants was lower in most patients and showed a
26 very heterogeneous mutation spectrum [27, 28].

27 Our study has limitations that should be considered in further studies: (I) the relatively
28 small cohort, making subgroup analysis difficult (II) quantitative analysis with Illumina

1 sequencing was performed only in patients in whom spike protein mutations were detected in
2 nanopore sequencing, and therefore the diversity of viral quasispecies cannot be compared to
3 patients without detection of mutations in nanopore sequencing. However, failure to account
4 for possible minor spike protein mutations in this group seems unlikely, as these were not
5 detected in the patients with emerging sotrovimab resistance mutations.

6 There is growing evidence to support the hypothesis that new SARS-CoV-2 variants
7 preferentially occur in immunocompromised patients with persistent SARS-CoV-2 infection.
8 Since some of these variants may be more transmissible or may have better immune escape,
9 this has potentially significant implications for individual medical care and public health. In
10 immunocompromised patients, prolonged viral shedding must therefore be considered with
11 respect to infection control. Given the available data, administration of a single mAb or single
12 antiviral drug should be avoided in immunocompromised patients because of the risk of
13 emergent mutations. In our study, we could demonstrate that presence and length of
14 remdesivir therapy at baseline was associated with a reduced emergence of escape mutations.
15 In addition, a second remdesivir administration over a longer period of 10 days and
16 combination antiviral therapy resulted in a sustained decrease in viral load in the vast majority
17 of patients with persistently high nasopharyngeal VL and successfully terminated viral
18 shedding in them.

19 In summary, combination therapies with at least two mAbs or other antivirals such as
20 remdesivir, molnupiravir, and nirmatrelvir/ritonavir should be considered when treating
21 immunodeficient patients with SARS-CoV-2 infection. These results also highlight the
22 importance of particularly careful monitoring and the need to conduct dedicated clinical trials
23 to establish the optimal treatment strategy for this patient population. This is especially true in
24 this stage of the pandemic since, with the availability of vaccines that prevent severe disease
25 courses for most patients, immunodeficient patients represent one of the most vulnerable and
26 severely affected patient groups.

27

1 **Notes**

2 **Author contributions**

3 SG, NL, AK, TL and BJ were responsible for conceptualization and supervised the study. SG,
4 NL, AK, HG, AW, ATD, CL, CF, SK, JV, TS, AZ, TF, JB, H-MO, FK, JT, TL and BJ
5 contributed to investigation and data curation. SG, NL, AK, BJ, HG and JT conducted the
6 formal analysis. SG, BJ, TL, NL, AK, JT, HG and FK were responsible for methodology,
7 data validation and visualization. SG, NL, AK, HG, JT, TL and BJ contributed to the original
8 draft. All authors critically revised the manuscript and approved the final version.

9 Additionally, the members of the *Sotrovimab study group* had the following contribution: SK,
10 JVP, TPS and AZ were instrumental in patient management, as well as the coordination of
11 outpatient care for the study participants. AT and MD coordinated the Illumina sequencing
12 and performed the bioinformatic analysis of the sequencing data.

13 **Acknowledgements**

14 The authors would like to thank the patients and their relatives, the clinical staff involved in
15 care of the patients, the laboratory staff involved in the virological analyses, and all others
16 who contributed to the study, especially Kanika Vanshylla for support with pseudovirus
17 neutralization assays.

18
19 **Sotrovimab Study Group group members:** Sarah Krieg¹, Joanna Ventura Pereira¹, Tobias
20 Paul Seraphin¹, Alex Zaufel¹, Alexander Thielen⁶, Martin Däumer⁶

21 **Data availability**

22 Raw data are generated at the University Hospital Düsseldorf and in cooperation at the
23 University Hospital Cologne. Derived or additional data supporting the findings of this study
24 could be provided by the corresponding authors upon reasonable request. All Nanopore and

1 Illumina sequence data can be found on the Open Science Framework (OSF) server
2 https://osf.io/q7js6/?view_only=59884b79343e449ea9f7103f99c118a9.

3

4 **Ethical approval**

5 The investigations were performed in accordance with the Declaration of Helsinki, our study
6 on COVID-19-associated risk factors, clinical course, and viral genomes was approved via
7 the ethics vote of the local ethics committee of the medical faculty of Heinrich-Heine-
8 University (study number 5350). All patients gave written informed consent.

9 **Funding**

10 This work was supported by COVIM [FKZ: 01KX2021], a joint project funded by the
11 Federal Ministry of Education and Research (BMBF) reported by BJ and JGB, the EuCARE
12 project "European cohorts of patients and schools to advance response to epidemics", which
13 is funded by the European Commission as part of the HORIZON HLTH 2021 CORONA 01
14 [Grant No. 101046016], and the joint project Beyond COVID-19 funded by the Ministry of
15 Culture and Science of the State of North Rhine-Westphalia reported by BJ. The funders had
16 no role in study design, data collection, data analysis, interpretation or writing of the report.

17 **Conflict of interest**

18 NL received honoraria for presentations from Gilead, MSD, Abbvie, ViiV (outside the
19 submitted work) and served on advisory boards for ViiV and Theratechnologies (outside the
20 submitted work), including consulting fees for ViiV and Theratechnologies. BJ received
21 honoraria for presentations from Gilead (remdesivir) and GSK (sotrovimab) as well as Falk,
22 Janssen-Cilag, ViiV, Gilead, Fresenius Medical Care (outside the submitted work), received
23 travel support from Gilead and served on advisory boards for ViiV, Gilead,
24 Theratechnologies (outside the submitted work); consulting fees from Gilead, ViiV, and
25 Theratechnologies; and leadership or fiduciary role in other board, society, committee or
26 advocacy group for Development of National Recommendations on COVID-19 treatment

1 (COVRIIN) (unpaid participation). TF was PI for a Gilead clinical trial (remdesivir) and
2 served on Gilead advisory boards (outside the submitted work) (PI and participation in
3 SIMPLE trials on Remdesivir for moderate and severe COVID-19, no personal fees;
4 publication on the treatment of Remdesivir, authorships amongst others including Gilead
5 team members, no personal fees). TF reports a leadership or fiduciary role with Robert Koch
6 Institute on the development of national recommendations on COVID-19 treatment. TL
7 received honoraria for lectures from Abbvie, BMS, Gilead and travel support von Gilead und
8 Abbvie and served on advisory boards for Gilead. TL was involved in the development of the
9 national recommendation on COVID-19 treatment and received honoraria for presentations
10 for Abbvie, BMS and Gilead and received travel support from Gilead and Abbvie. HG and
11 FK are listed as inventors on patent applications on SARS-CoV-2 neutralizing antibodies
12 filed by the University of Cologne. AK received lecture fees from Gilead and participated on
13 Advisory Boards for Gilead. AK was supported for attending meetings from Abbvie. All
14 other authors declare no competing interest regarding this work.

15

16

17

18

19

20

1 **References:**

- 2 1. Kreuzberger N, Hirsch C, Chai KL, et al. SARS-CoV-2-neutralising monoclonal
3 antibodies for treatment of COVID-19. *Cochrane Database Syst Rev* **2021**; 9:
4 CD013825.
- 5 2. Hoffmann M, Kruger N, Schulz S, et al. The Omicron variant is highly resistant
6 against antibody-mediated neutralization: Implications for control of the COVID-19
7 pandemic. *Cell* **2022**; 185(3): 447-56 e11.
- 8 3. Gupta A, Gonzalez-Rojas Y, Juarez E, et al. Early Treatment for Covid-19 with
9 SARS-CoV-2 Neutralizing Antibody Sotrovimab. *The New England journal of*
10 *medicine* **2021**; 385(21): 1941-50.
- 11 4. Gupta A, Gonzalez-Rojas Y, Juarez E, et al. Effect of Sotrovimab on Hospitalization
12 or Death Among High-risk Patients With Mild to Moderate COVID-19: A
13 Randomized Clinical Trial. *Jama* **2022**; 327(13): 1236-46.
- 14 5. Yamasoba D, Kosugi Y, Kimura I, et al. Neutralisation sensitivity of SARS-CoV-2
15 omicron subvariants to therapeutic monoclonal antibodies. *The Lancet Infectious*
16 *diseases* **2022**.
- 17 6. COVID-19: EMA recommends authorisation of antibody medicine Xevudy.
18 Available at: [https://www.ema.europa.eu/en/news/covid-19-ema-recommends-](https://www.ema.europa.eu/en/news/covid-19-ema-recommends-authorisation-antibody-medicine-xevudy)
19 [authorisation-antibody-medicine-xevudy](https://www.ema.europa.eu/en/news/covid-19-ema-recommends-authorisation-antibody-medicine-xevudy). Accessed 14th of May.
- 20 7. Group AC-TfIwC-S. Efficacy and safety of two neutralising monoclonal antibody
21 therapies, sotrovimab and BRII-196 plus BRII-198, for adults hospitalised with
22 COVID-19 (TICO): a randomised controlled trial. *The Lancet Infectious diseases*
23 **2022**; 22(5): 622-35.
- 24 8. Martin-Blondel G, Marcelin AG, Soulie C, et al. Outcome of very high-risk patients
25 treated by Sotrovimab for mild-to-moderate COVID-19 Omicron, a prospective
26 cohort study (the ANRS 0003S COCOPREV study). *J Infect* **2022**.
- 27 9. Solera JT, Arbol BG, Alshahrani A, et al. Impact of Vaccination and Early
28 Monoclonal Antibody Therapy on COVID-19 Outcomes in Organ Transplant
29 Recipients During the Omicron Wave. *Clinical infectious diseases : an official*
30 *publication of the Infectious Diseases Society of America* **2022**.
- 31 10. Jensen B, Luebke N, Feldt T, et al. Emergence of the E484K mutation in SARS-
32 COV-2-infected immunocompromised patients treated with bamlanivimab in
33 Germany. *Lancet Reg Health Eur* **2021**; 8: 100164.
- 34 11. Destras G, Bal A, Simon B, Lina B, Josset L. Sotrovimab drives SARS-CoV-2
35 omicron variant evolution in immunocompromised patients. *Lancet Microbe* **2022**.
- 36 12. Vellas C, Tremeaux P, Del Bello A, et al. Resistance mutations in SARS-CoV-2
37 omicron variant in patients treated with Sotrovimab. *Clinical microbiology and*
38 *infection : the official publication of the European Society of Clinical Microbiology*
39 *and Infectious Diseases* **2022**.
- 40 13. Jefferson T, Spencer EA, Brassey J, Heneghan C. Viral Cultures for Coronavirus
41 Disease 2019 Infectivity Assessment: A Systematic Review. *Clinical infectious*
42 *diseases : an official publication of the Infectious Diseases Society of America* **2021**;
43 73(11): e3884-e99.
- 44 14. Tallarita M, Giardina F, Novazzi F, et al. Spread of multiple SARS-CoV-2 lineages
45 April-August 2020 anticipated the second pandemic wave in Lombardy (Italy).
46 *Pediatr Allergy Immunol* **2022**; 33 Suppl 27: 89-92.

- 1 15. Abdullah F, Myers J, Basu D, et al. Decreased severity of disease during the first
2 global omicron variant covid-19 outbreak in a large hospital in tshwane, south africa.
3 Int J Infect Dis **2022**; 116: 38-42.
- 4 16. Bruel T, Hadjadj J, Maes P, et al. Serum neutralization of SARS-CoV-2 Omicron
5 sublineages BA.1 and BA.2 in patients receiving monoclonal antibodies. Nat Med
6 **2022**.
- 7 17. Takashita E, Kinoshita N, Yamayoshi S, et al. Efficacy of Antiviral Agents against
8 the SARS-CoV-2 Omicron Subvariant BA.2. The New England journal of medicine
9 **2022**; 386(15): 1475-7.
- 10 18. FDA updates Sotrovimab emergency use authorization. Available at:
11 [https://www.fda.gov/drugs/drug-safety-and-availability/fda-updates-sotrovimab-](https://www.fda.gov/drugs/drug-safety-and-availability/fda-updates-sotrovimab-emergency-use-authorization)
12 [emergency-use-authorization](https://www.fda.gov/drugs/drug-safety-and-availability/fda-updates-sotrovimab-emergency-use-authorization). Accessed 14th of May.
- 13 19. Choi B, Choudhary MC, Regan J, et al. Persistence and Evolution of SARS-CoV-2 in
14 an Immunocompromised Host. The New England journal of medicine **2020**; 383(23):
15 2291-3.
- 16 20. Corey L, Beyrer C, Cohen MS, Michael NL, Bedford T, Rolland M. SARS-CoV-2
17 Variants in Patients with Immunosuppression. The New England journal of medicine
18 **2021**; 385(6): 562-6.
- 19 21. Truong TT, Ryutov A, Pandey U, et al. Increased viral variants in children and young
20 adults with impaired humoral immunity and persistent SARS-CoV-2 infection: A
21 consecutive case series. EBioMedicine **2021**; 67: 103355.
- 22 22. Gandhi S, Klein J, Robertson AJ, et al. De novo emergence of a remdesivir resistance
23 mutation during treatment of persistent SARS-CoV-2 infection in an
24 immunocompromised patient: a case report. Nat Commun **2022**; 13(1): 1547.
- 25 23. Leung WF, Chorlton S, Tyson J, et al. COVID-19 in an immunocompromised host:
26 persistent shedding of viable SARS-CoV-2 and emergence of multiple mutations: a
27 case report. Int J Infect Dis **2022**; 114: 178-82.
- 28 24. Vellas C, Del Bello A, Debard A, et al. Influence of treatment with neutralizing
29 monoclonal antibodies on the SARS-CoV-2 nasopharyngeal load and quasispecies.
30 Clinical microbiology and infection : the official publication of the European Society
31 of Clinical Microbiology and Infectious Diseases **2022**; 28(1): 139 e5- e8.
- 32 25. Rockett R, Basile K, Maddocks S, et al. Resistance Mutations in SARS-CoV-2 Delta
33 Variant after Sotrovimab Use. The New England journal of medicine **2022**; 386(15):
34 1477-9.
- 35 26. Singh DD, Sharma A, Lee HJ, Yadav DK. SARS-CoV-2: Recent Variants and
36 Clinical Efficacy of Antibody-Based Therapy. Front Cell Infect Microbiol **2022**; 12:
37 839170.
- 38 27. Peiffer-Smadja N, Bridier-Nahmias A, Ferre VM, et al. Emergence of E484K
39 Mutation Following Bamlanivimab Monotherapy among High-Risk Patients Infected
40 with the Alpha Variant of SARS-CoV-2. Viruses **2021**; 13(8).
- 41 28. Sanjuán R D-CP. Genetic Diversity and Evolution of Viral Populations. Encyclopedia
42 of Virology **2021**: 53-61.
- 43
44
45
46
47

1 **Tables**

2

3 **Table 1. Baseline characteristics of patients grouped by immunodeficiency**

| Variable | n |
|--|-----------|
| Total | 57 |
| Gender | |
| • Male | 36 |
| • Female | 21 |
| Groups | |
| • Immunocompetent | 14 |
| • Immunodeficient | 43 |
| Solid organ transplantation (SOT) | |
| Kidney | 18 |
| Heart | 2 |
| Heart+ Kidney | 1 |
| Heart+ Lung | 1 |
| Kidney + Pancreas | 1 |
| Stem cell transplantation (SCT) | |
| Allogeneic | 5 |
| Autologous | 2 |
| Leukemia | |
| Acute lymphoblastic leukemia (ALL) | 2 |
| Acute myeloblastic leukemia (AML) * | 2 |
| AML+ chronic myelomonocytic leukemia (CMML) | 1 |
| CMML | 1 |
| Lymphoma | |
| Diffuse large B cell lymphoma (DLBCL) | 1 |
| T-cell lymphoma* | 1 |
| AL amyloidosis/ smoldering multiple myeloma * | 1 |
| Other malignancies | |
| Stage IV Malignant melanoma and Stage IV NSCLC** | 1 |
| Common variable immune deficiency (CVID) | 1 |
| Autoimmune diseases | |
| Cryoglobulinemic vasculitis | 1 |
| p-ANCA vasculitis | 1 |
| Rheumatoid arthritis | 1 |
| Systemic lupus erythematosus (SLE) | 1 |
| Ulcerative colitis | 1 |
| Liver cirrhosis Child A *** | 1 |
| Liver fibrosis with portal hypertension*** | 1 |

4 *. patients with previous allogeneic (2) and autologous (1) SCT and malignancy relapse

5 **: dexamethasone therapy for cerebral metastases

6 ***: patients with liver fibrosis/cirrhosis had a concurrent autoimmune disease

7 NSCLC: non-small cell lung cancer

8

9

10

11

12

13

14

15

16

1 Table 2. Bivariate correlation between clinical parameters, duration until viral load
 2 10^6 copies/ml and resistance mutations

| Parameter | VL 10^6 copies/ml since first pos. PCR test (days) | VL 10^6 copies/ml since Sotrovimab administration (days) | Mutations day 7 (0=none, 1=mutation) | Mutations day 14 (0=none, 1=mutation) | Mutations overall (0=none, 1=mutation) |
|---|---|---|--------------------------------------|---------------------------------------|--|
| | <i>Correlation coefficient (r) p-value</i> | | | | |
| Remdesivir therapy at baseline (0= 0, 1= 3 and 2=5 days) • Immunocompetent | -0.355 0.234 | -0.224 0.462 | NA | | |
| | • Immunodeficient | 0.057 0.726 | -0.036 0.827 | -0.372 0.015 | -0.261 0.099 |
| Omicron variant (0=BA.1,1=BA.2) • Immunocompetent | 0.068 0.824 | 0.207 0.498 | NA | | |
| | • Immunodeficient | 0.032 0.844 | 0.107 0.510 | -0.150 0.343 | -0.095 0.555 |
| Time since last vaccination (months) • Immunocompetent | 0.073 0.822 | 0.080 0.805 | N/A | | |
| | • Immunodeficient | 0.298 0.109 | 0.241 0.199 | 0.011 0.953 | 0.179 0.345 |
| Number of vaccinations • Immunocompetent | 0.408 0.167 | 0.496 0.085 | NA | | |
| | • Immunodeficient | 0.041 0.804 | 0.046 0.780 | 0.117 0.467 | -0.125 0.422 |
| Immunodeficiency (0= immunocompetent, 1=immunodeficient) | 0.329 0.016 | 0.208 0.135 | 0.320 0.015 | 0.275 0.042 | 0.305 0.021 |
| Viral clearance after sotrovimab administration (days) | NA | | 0.258 0.062 | 0.401 0.004 | 0.322 0.019 |
| Tacrolimus levels at baseline (ng/ml) | 0.349 0.132 | 0.275 0.240 | 0.161 0.486 | 0.451 0.046 | 0.523 0.015 |
| Days since first symptoms (number of pairs= 35 *) | 0.075 0.669 | -0.251 0.146 | 0.090 0.600 | -0.144 0.417 | -0.10 0.955 |

3 Significant correlations are marked with bold. NA: not applicable. *: 1 patient was lost to follow-up and not included in this
 4 analysis

5
 6
 7

1 **Figure Legends**

2

3 **Figure 1: Patients with persistent viral replication ($\geq 10^6$ copies/ml) after sotrovimab**
4 **administration.**

5 **a:** Prolonged viral shedding day 21 after first positive SARS-CoV-2 PCR test according to
6 immunocompetence; **b:** Prolonged viral shedding day 21 after sotrovimab administration in
7 immunocompetent patients and patients with immunodeficiency. Numbers at risk are patients
8 with a viral load $\geq 10^6$ copies/ml; censored are patients lost to follow-up (one patient was first
9 lost to follow-up day 28 and was included in numbers at risk)

10

11 **Figure 2. Prevalence and evolution of escape mutations in the spike protein of SARS-**
12 **CoV-2 after sotrovimab treatment.**

13 Detected amino acid exchanges in the spike protein at positions 337 and 340 on day 0, day 7
14 and day 14 after sotrovimab administration. The frequency of reads in % is indicated by the
15 color scale. The determined patient-related SARS-CoV-2 variant is shown. Only patients with
16 detected mutations after sotrovimab treatment are indicated. Patients selecting a spike protein
17 mutation after day 14 are not included in this figure (patient #51).

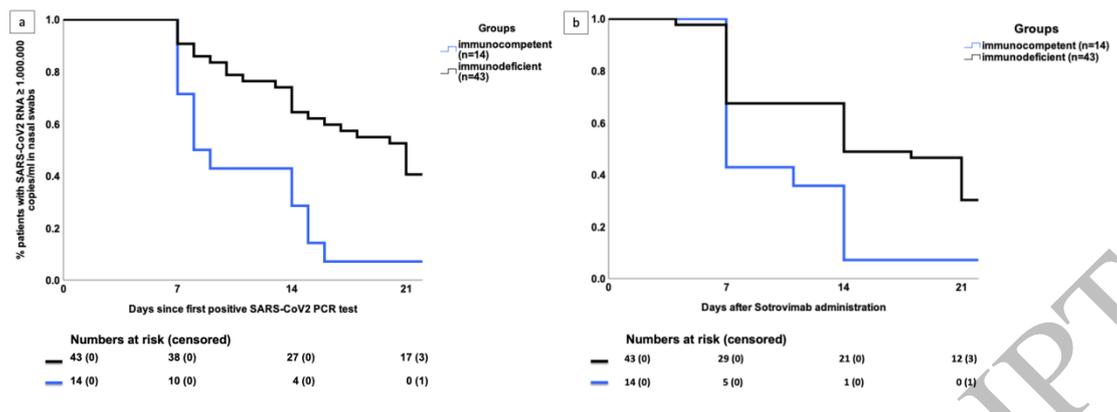
18

19 **Figure 3: Neutralization of SARS-CoV-2 spike mutants by sotrovimab.**

20 SARS-CoV-2 variant specific pseudoviruses harboring mutations emerging after sotrovimab
21 treatment were analyzed in sotrovimab neutralization assays (a). All samples were tested in
22 duplicates. Symbols and bars indicate mean and standard deviation, respectively. The
23 determined IC_{50} values are shown in (b).

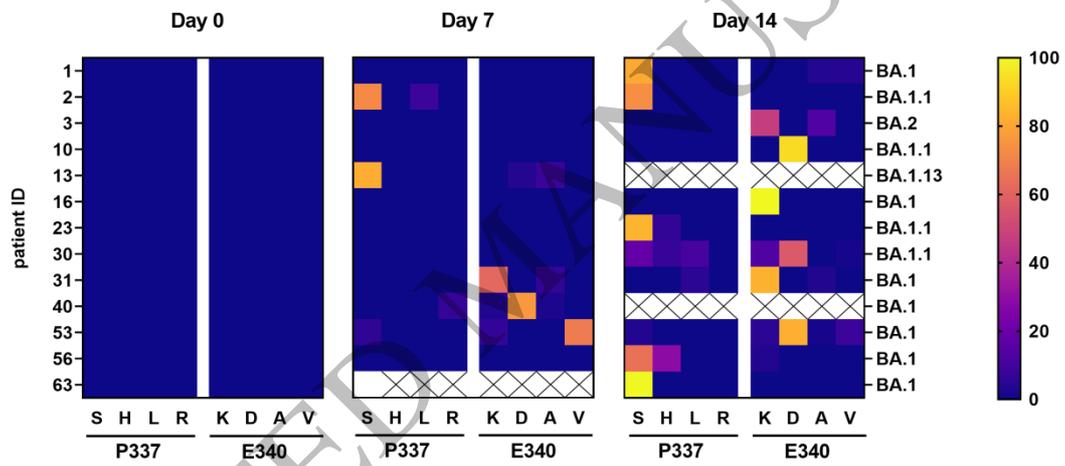
24

25



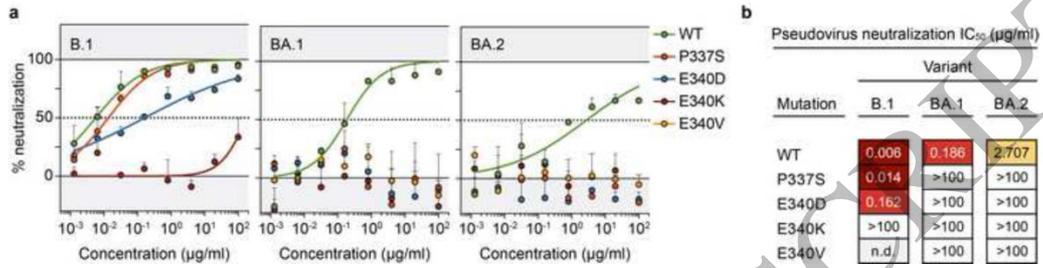
1
2
3
4

Figure 1
203x76 mm (x DPI)



5
6
7
8

Figure 2
234x106 mm (x DPI)



1
2
3

Figure 3

162x41 mm (x DPI)