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Prognostic Implications of N-terminal Pro-B Type Natriuretic Peptide and High-Sensitivity Cardiac Troponin T in EMPEROR-Preserved

James L. Januzzi Jr MD¹, Javed Butler MD MPH², Faiez Zannad MD PhD³, Gerasimos Filippatos MD⁴, João Pedro Ferreira MD⁵, Stuart J. Pocock PhD⁶, Naveed Sattar MD⁷, Subodh Verma MD PhD FRCSC⁸, Ola Vedin, MD PhD⁹, Tomoko Iwata MSc¹⁰, Martina Brueckmann MD¹¹, Milton Packer MD¹², and Stefan D. Anker MD PhD¹³ on behalf of the EMPEROR-Preserved Trial Study Group

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Short title: NT-proBNP and hs-cTnT in EMPEROR-Preserved

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Abstract

Background: N-terminal pro-B type natriuretic peptide (NT-proBNP) and high-sensitivity cardiac troponin T (hs-cTnT) are associated with disease severity and outcomes among patients with heart failure with preserved ejection fraction (HFpEF).

Objectives: We evaluated associations between both biomarkers and clinical outcomes in the Empagliflozin Outcome Trial in Patients with Chronic Heart Failure with Preserved Ejection Fraction (EMPEROR-Preserved) Trial.

Methods: Of 5988 study participants, 5986 (99.9%) and 5825 (97.3%) had available baseline NT-proBNP and hs-cTnT; post-baseline NT-proBNP was also available. Baseline characteristics were expressed by biomarker quartiles. The effect of empagliflozin on cardiovascular death/HF hospitalization, the individual components, total HF hospitalizations, slope of decline of estimated glomerular filtration rate (eGFR) and a composite renal endpoint was examined across biomarker quartiles. Change in NT-proBNP across study visits as a function of treatment assignment was also assessed.

Results: Higher baseline NT-proBNP and hs-cTnT concentrations were associated with more comorbidities and worse HF severity. Incidence rates for cardiac and renal outcomes were 2-5-fold higher among those in the highest vs lowest NT-proBNP or hs-cTnT quartiles.

Empagliflozin consistently reduced the risk for cardiovascular events and reduced slope of eGFR decline across NT-proBNP or hs-cTnT quartiles. Empagliflozin treatment modestly lowered NT-proBNP; by 100 weeks the adjusted mean difference in NT-proBNP from placebo was 7%.

Increase in NT-proBNP from baseline to 12-weeks was strongly associated with risk of CV death/HF hospitalization.

Conclusions: The benefit of empagliflozin on cardiac outcomes and decline of eGFR is preserved across the wide range of baseline NT-proBNP and hs-cTnT evaluated. Empagliflozin modestly reduces NT-proBNP in HFpEF.

Key words: Heart failure, NT-proBNP, hs-cTn, empagliflozin, prognosis

Clinical trial registration: NCT03057951

Abbreviations

| | |
|-----------|--|
| HFpEF | Heart failure with preserved ejection fraction |
| NT-proBNP | N-terminal pro-B type natriuretic peptide |
| hs-cTnT | High sensitivity cardiac troponin T |
| SGLT2 | Sodium/glucose cotransporter 2 |
| CV | Cardiovascular |
| KCCQ | Kansas City Cardiomyopathy Questionnaire |

Evaluation and management of individuals with heart failure and preserved ejection fraction (HFpEF) may be challenging, and assessing risk in those with the diagnosis via clinical means may be difficult. To assist in the clinical assessment of those with HF, physicians have increasingly relied on testing of biomarkers, including N-terminal pro-B type natriuretic peptide (NT-proBNP) and high sensitivity cardiac troponin (hs-cTn). These two biomarkers have a powerful and well-established prognostic role in persons across the range of EF in HF, including those with HFpEF.^{1,2}

In addition to their prognostic importance, it is possible that baseline values of NT-proBNP or hs-cTn can be used to identify patients for effective treatments for HF. Although this is more explored in HF with reduced EF (HFrEF), among those with HFpEF, previous biomarker analyses in randomized trials of treatments for HFpEF (such as angiotensin receptor blockers or spironolactone) have detected heterogeneity between baseline NT-proBNP values and subsequent response to these therapies.^{3,4} Specifically, in these analyses, the most obvious benefit of studied therapies was observed among those with only modest elevation of the NT-proBNP. However, those with very low or very high concentrations of NT-proBNP appeared to have less benefit from both irbesartan or spironolactone. This ambiguity has led to confusion about the pharmacologic management in HFpEF and whether biomarkers have a role for predicting response to treatment.⁵ More information is needed regarding the proper utilization of HF biomarkers to inform evaluation and management in HFpEF, particularly with the advent of effective treatments.

The effect of sodium glucose cotransporter (SGLT2) inhibitor treatment on HFpEF outcome was recently evaluated in the Empagliflozin Outcome Trial in Patients with Chronic Heart Failure with Preserved Ejection Fraction (EMPEROR-Preserved).⁶ In this randomized

comparison of 10 mg of empagliflozin versus placebo for treatment of persons with HF and a left ventricular EF >40%, significant reductions in the primary composite endpoint of cardiovascular (CV) death/HF hospitalization along with reduction in total burden of HF hospitalization was observed in those treated with SGLT2 inhibition. We therefore sought to understand the prognostic meaning of baseline NT-proBNP and hs-cTnT in patients with HFpEF and how levels of these biomarkers might influence the response to empagliflozin; we also evaluated effect of empagliflozin on serially measured concentrations of NT-proBNP during long-term follow-up.

Methods

The Institutional Review Board of each study site approved of all study procedures and all patients provided informed consent.

Study Design

The design and primary results of the EMPEROR-Preserved Trial (NCT03057951) have been recently reported.^{6,7} The study included HF patients with an LVEF >40% and New York Heart Association Class II-IV functional class. Study participants were randomized in a double-blind manner to receive placebo or empagliflozin 10 mg daily. The protocol required an NT-proBNP concentration >300 ng/L for participation; this concentration was increased to >900 ng/L in the presence of atrial fibrillation at baseline.

The primary endpoint of EMPEROR-Preserved was time-to-first event in a composite of CV death or hospitalization for HF. The first secondary endpoint was the occurrence of all (first and recurrent) hospitalizations for HF. The second endpoint was the slope of the change in estimated glomerular filtration rate (eGFR) during double-blind treatment. In addition, time-to-first composite renal endpoint (consisting as progression to any of the following: chronic dialysis; renal transplantation; a sustained eGFR <15 mL/min/1.73m² for patients with baseline

eGFR ≥ 30 or sustained eGFR < 10 mL/min/1.73m² for patients with baseline eGFR < 30 mL/min/1.73m²; sustained reduction of eGFR by 40% or greater from baseline) was evaluated. Lastly, changes from baseline in the Kansas City Cardiomyopathy Questionnaire Clinical Summary Score (KCCQ-CSS) to 52 weeks of follow up were also evaluated.

As part of the study design, blood was collected for measurement of NT-proBNP and hs-cTnT (Roche Diagnostics, Rotkreuz, SE) at baseline. Additionally, NT-proBNP results were also available at weeks 4, 12, 52, and 100.

Statistical Analysis

Study participants were categorized by quartiles of NT-proBNP and hs-cTnT and baseline characteristics were compared. Time-to-event analyses were performed using Cox proportional hazards models, adjusting for age, sex, region, baseline diagnosis of diabetes, LVEF and eGFR at baseline and treatment-by-cardiac biomarker (quartile) interaction. A joint frailty model was used for the analysis of first and recurrent events, incorporating the same variables as the time-to-event analyses and including CV death as a competing risk. Changes in eGFR slope were analyzed using a random coefficient model using on-treatment data, with age and baseline eGFR as linear covariates and sex, region, LVEF, diabetes status, baseline eGFR-by-time, treatment-by-cardiac biomarker (quartile) and treatment-by-time-by-cardiac biomarker (quartile) interaction terms as fixed effects. The relationship of cardiac biomarker (continuous) with outcomes was analyzed by the incidence rates using a Poisson model for primary outcome, adjusted with the same covariates as the Cox model and log-transformed cardiac biomarker as well as log-transformed cardiac biomarker-by-treatment interaction in addition.

Geometric mean concentration of NT-proBNP were analyzed across study visits using a mixed model with repeated measures, adjusted for age, baseline eGFR, region, baseline

diagnosis of diabetes, sex, LVEF, last projected visit based on dates of randomization and trial closure, baseline log-transformed cardiac biomarker concentration, treatment-by-visit interaction, and baseline log-transformed cardiac biomarker-by-visit interaction. Comparisons between treatment groups at various timepoints were made using adjusted geometric mean ratio (GMR). This approach allows for an understanding of the adjusted change in the geometric mean concentration (superior to arithmetic means for repeated measure comparisons over time) by expressing it as a ratio of the concentration at the present time point/concentration at baseline.

To assess the association between change in NT-proBNP from baseline to week 12 and subsequent primary endpoint events occurring after the week 12, a landmark analysis was performed adjusted for same covariates as the Cox model, baseline log-transformed NT-proBNP and NT-proBNP relative change from baseline to week 12.

All analyses were performed using SAS, version 9.4 (SAS Institute). The P values reported are 2-sided with $P < 0.05$ considered statistically significant. No adjustments for multiple testing were made.

Data Sharing

Data will be made available on request in adherence with transparency conventions in medical research and through requests to the corresponding author. Following execution of prespecified analyses a full database will be made available in adherence with the transparency policy of the sponsor (available at https://trials.boehringer-ingenelheim.com/transparency_policy.html).

Results

The study flow for the present analysis is detailed in **Supplemental Figure 1**. At baseline, of 5988 overall study participants in EMPEROR-Preserved, 5986 (99.9%) and 5825 (97.3%) had available NT-proBNP and hs-cTnT concentrations, respectively. The overall median baseline

(Q1, Q3) concentration of NT-proBNP and hs-cTnT were 974 (499, 1731) ng/L and 17.8 (11.6, 26.9) ng/L, respectively; 3767 (65.7%) had a hs-cTnT >14 ng/L (the 99th percentile concentration for a healthy reference population).

Biomarkers and Baseline Characteristics

Characteristics of the study participants by baseline NT-proBNP quartiles are described in **Table 1**. Patients with higher NT-proBNP values were older and had a greater medical severity of heart failure, including more longstanding HF, lower LVEF, worse symptoms and more prevalent atrial fibrillation. In addition, those with higher baseline concentration for NT-proBNP had worse health status, with meaningfully lower scores for the KCCQ-CSS, KCCQ overall summary score and KCCQ total symptom score, and they were more likely to have worse kidney function and higher hs-cTnT concentration (P value <0.001 for all comparisons). Those with higher baseline NT-proBNP concentrations were less likely to be treated with angiotensin converting enzyme inhibitors, but they were more likely to be treated with mineralocorticoid receptor antagonists or loop diuretics.

The baseline characteristics of study participants by baseline hs-cTnT are also detailed in **Table 1**, which shows generally similar patterns; higher hs-cTnT concentrations were associated with more severe heart failure and comorbidities. Those with higher hs-cTnT were notably less likely to be women (P <0.001) in distinction to NT-proBNP, whereas there were no obvious differences in sex across NT-proBNP quartiles. Notably, despite associations between hs-cTnT and prevalent coronary artery disease and a majority of study participants with a baseline hs-cTnT above the 99th percentile for a healthy population, most study participants with higher hs-cTnT concentrations did not have a history of either coronary artery disease or prior myocardial infarction.

Baseline NT-proBNP and Study Outcomes

Across quartiles of baseline NT-proBNP concentration, there was stepwise increase in the subsequent rates of the primary endpoint of CV death/HF hospitalization and its individual components (**Figure 1**). Among those randomized to placebo in the highest NT-proBNP quartile, there was >4-fold higher incidence rate for the CV death, HF hospitalization or the combined risk of both events (from 3.4 events/100 patient-years to 15.0 events/100 patient-years), with comparable patterns of considerably higher risk for the time to first renal composite outcome. Treatment with empagliflozin reduced events across NT-proBNP quartiles without interaction with baseline NT-proBNP (P value for trend >0.05); those with more substantial NT-proBNP elevation accrued similar relative benefits as those with lower values. However, since patients with the higher NT-proBNP had more elevated event rates, the absolute risk reduction with empagliflozin was greater in those patients with higher NT-proBNP concentrations (**Figure 2**). In a similar fashion, among patients in the placebo group, there was a stepwise increase in total hospitalizations for HF with higher NT-proBNP concentrations at baseline, with a 5-fold higher total number of hospitalizations (from 46 to 253) in the highest quartile of NT-proBNP (**Figure 1**). Empagliflozin reduced total HF hospitalizations without statistical heterogeneity across NT-proBNP concentrations, but with largest absolute reductions in patients in the highest quartiles.

Rates of the renal composite endpoint were slightly more than twice higher between lowest and highest NT-proBNP quartiles, but eGFR declined to a similar degree across NT-proBNP strata (**Table 2**): the mean slope of change among placebo patients was -2.56 mL/min/1.73 m²/year in Quartile 1 and -2.47 mL/min/1.73 m²/year in Quartile 4. In adjusted models, consistent with the main result of EMPEROR-Preserved, no significant reduction in the

composite renal outcome was observed across any of the NT-proBNP quartiles (**Figure 1**). Yet, empagliflozin slowed the rate of eGFR in each quartile without significant heterogeneity (effect size ranging from 0.92 to 1.69 mL/min/1.73 m²/year), P-trend =0.66).

Lastly, the effect of empagliflozin on adjusted mean KCCQ-CSS was comparable across NT-proBNP quartiles, with no interaction (**Supplemental Table 1**).

Change in NT-proBNP

Increase in NT-proBNP from baseline to 12-weeks was strongly associated with risk for the primary endpoint in those treated with placebo (HR 1.88 per log unit NT-proBNP increase, 95% CI 1.57-2.26; P <0.001) and empagliflozin (HR 1.57 per log unit NT-proBNP increase, 95% CI 1.30-1.90; P <0.001). From baseline to week 100, minor (albeit statistically significant from week 12 onwards) reduction in adjusted geometric mean NT-proBNP was seen, when compared to placebo; adjusted geometric mean reductions were 2%, 4%, 5%, and 7% larger than placebo at weeks 4, 12, 52, and 100, respectively (**Supplemental Figure 2**). A histogram demonstrating absolute NT-proBNP change from baseline to week 52 is included as **Supplemental Figure 3**.

Baseline hs-cTnT and Study Outcomes

Similar to the results for baseline NT-proBNP concentrations, there was a significant and clinically meaningful increase in the rates of subsequent primary endpoint of CV death/HF hospitalization events and its individual components across baseline hs-cTnT quartiles (**Figure 1**). There was a nearly 4-fold higher incidence rate/100 patient years for CV death, HF hospitalization or the combined risk of both events in placebo-treated study participants in the highest hs-cTnT quartile (from 4.3 events/100 patient-years to 16.5 events/100 patient-years),

with comparable patterns of higher risk for the time to first renal composite outcome in those with the highest quartile. Empagliflozin reduced events comparably across baseline hs-cTnT quartiles; no treatment by baseline hs-cTnT interaction was detected and relative reduction in events was similar regardless of baseline hs-cTnT. As in the case of NT-proBNP, study participants with highest baseline hs-cTnT had the largest absolute risk reductions with empagliflozin for the primary endpoint as shown in **Figure 2**. With higher baseline hs-cTnT there was increasing total number of hospitalizations for heart failure, with a 5-fold higher number of events between quartile 1 and 4 in those randomized to placebo (from 53 to 264 events; **Figure 1**). Regardless of baseline hs-cTnT, empagliflozin reduced total HF hospitalizations without statistical heterogeneity.

Rates of the composite renal outcome were nearly 4 times higher in the highest hs-cTnT quartile compared to the lowest quartile in placebo-treated participants. As shown in **Figure 1**, however, no difference in the composite renal outcome across hs-cTnT quartiles was observed. Similar to NT-proBNP, empagliflozin slowed the rate of eGFR decline in each hs-cTnT quartile without significant heterogeneity (**Table 2**; P-trend =0.45).

Adjusted mean KCCQ-CSS change was comparable across study visits and hs-cTnT quartiles without interaction by baseline biomarker concentration (**Supplemental Table 1**).

Discussion

In this planned analysis from the EMPEROR-Preserved trial, we have made several important findings (Central Illustration). Higher baseline concentrations of NT-proBNP and hs-cTnT were strongly associated with a greater risk profile and more severe HF in patients with an ejection fraction > 40%. Higher concentrations of NT-proBNP and hs-cTnT were associated with a 4 to

5-fold higher rate of the primary composite endpoint of CV death/HF hospitalization as well as the secondary endpoint of total HF hospitalizations. Higher baseline concentrations of both of these cardiac biomarkers were also highly associated with a greater likelihood for the composite renal endpoint during follow up care. Moreover, unlike in other analyses of irbesartan or spironolactone treatment in HFpEF, no biomarker-based heterogeneity in response to treatment with empagliflozin was seen: the relative risk reductions attributable to empagliflozin were comparable across baseline biomarker quartiles, with notably higher absolute reductions in those with higher biomarker concentrations. Change in NT-proBNP after baseline was associated with the primary outcome and treatment with empagliflozin was associated with a small relative reduction in NT-proBNP concentration across 100 weeks of treatment. These results illustrate the importance of biomarkers reflecting wall stress and cardiomyocyte necrosis for the risk stratification of both cardiac and renal outcomes in individuals with HFpEF and supports the benefit of empagliflozin regardless of biomarker concentration in HFpEF.

The results of this study provide strong evidence for both NT-proBNP and hs-cTnT as important disease markers and prognostic indicators in HFpEF. While concentrations of both NT-proBNP and hs-cTnT were lower in the EMPEROR-Preserved Trial when compared to the concentrations of both biomarkers in EMPEROR-Reduced⁸, a substantial percentage of study participants had significant elevation of both NT-proBNP or hs-cTnT, and greater values for either were associated with a higher risk clinical profile characterized by more advanced age, worse HF symptoms, higher antecedent hospitalization rates and higher prevalence of comorbidities that might be expected to complicate subsequent HF course and treatment. In adjusted models, higher baseline concentrations of both NT-proBNP and hs-cTnT remained independently associated with HF and renal outcomes.

Previous studies regarding NT-proBNP and therapeutic interventions for HFpEF have yielded conflicting patterns of results. Although natriuretic peptide concentrations were directly associated with the primary outcomes of the Irbesartan in Heart Failure with Preserved Ejection Fraction (I-PRESERVE)⁴ and Treatment of Preserved Cardiac Function Heart Failure With an Aldosterone Antagonist (TOPCAT)-Americas³ studies in both trials, Anand and colleagues reported an ‘inverted U shape’ association between NT-proBNP and reduction in risk from treatment: benefits of irbesartan and spironolactone were most obvious in those with only modest natriuretic peptide elevation. Although study participants in I-PRESERVE had substantially lower NT-proBNP than in the present analysis, in TOPCAT-Americas, the median concentration was comparable to EMPEROR-Preserved (900 vs 974 ng/L), and yet, in a manner similar to I-PRESERVE, the most obvious benefit from spironolactone in TOPCAT was seen in those in the lower third of NT-proBNP (median 480 ng/L, again very similar to the present analysis). These findings led to the hypothesis that marked elevation of NT-proBNP in HFpEF might identify a patient population whose HF was too advanced to respond to HF therapies or might have HF that was related to an infiltrative cardiomyopathies and other restrictive heart muscle disorders, which might respond poorly to neurohormonal antagonists. However, in contrast to these earlier findings, we found no such interaction between baseline NT-proBNP and subsequent response to empagliflozin, i.e., the relative reduction in risk from empagliflozin treatment was similar across NT-proBNP concentrations, with greatest absolute reduction in events seen in those with highest concentrations for NT-proBNP.

The data from the present analysis suggest hs-cTnT is also a powerful biomarker of disease severity and outcomes in HFpEF and that empagliflozin reduces risk across the spectrum of hs-cTnT concentrations. The results from the present analysis are consistent with prior studies

indicating that myocardial necrosis is common among individuals with HFpEF, and this finding is associated with higher risk for non-coronary outcomes, such as hospitalization.^{9, 10} In the present study, placebo-treated patients with higher hs-cTnT values had a 4-fold increased risk for the primary endpoint, reminiscent of results from TOPCAT.² Importantly, empagliflozin reduced risk across the wide range of hs-cTnT results in this study, even in those with the most elevated concentrations.

We noted a strong association between change in NT-proBNP and risk for the primary endpoint of EMPEROR-Preserved. These results are consistent with prior results in HFpEF, and they provide important support for the role of NT-proBNP measurement as a tool for longitudinal risk assessment. In the I-PRESERVE Trial, increase or decrease in NT-proBNP concentration between baseline and 6 months was directionally associated with an increased risk for cardiovascular death or HF hospitalization¹¹, while in the more recent Efficacy and Safety of LCZ696 Compared to Valsartan, on Morbidity and Mortality in Heart Failure Patients With Preserved Ejection Fraction (PARAGON-HF) Trial of sacubitril/valsartan in HFpEF, Cunningham and colleagues reported decrease in NT-proBNP from a median concentration of 911 ng/L (comparable to that in EMPEROR-Preserved) by 16 weeks post-randomization was associated with lower subsequent risk of the primary endpoint of total HF hospitalizations or cardiovascular death.⁹ We observed similar patterns of response in the EMPEROR-Preserved Trial, even though empagliflozin produced only a small reduction in NT-proBNP. Following randomization, concentrations of NT-proBNP in both study arms fell initially, however both arms showed a gradual rise over the duration of the trial; at each time point, NT-proBNP was lower in those treated with empagliflozin. This may reflect effects of empagliflozin to reduce disease progression over time; similar patterns of natriuretic peptide concentrations have been

reported in those treated with SGLT2 inhibitors versus placebo in earlier trials of diabetes and HFrEF^{12, 13}.

Prior mechanistic studies help to contextualize the present clinical results. Among those with HFpEF, concentrations of natriuretic peptides are associated with increased LV end-diastolic pressure, cardiac hypertrophy and fibrosis, left atrial (LA) hypertension, pulmonary venous congestion, plasma volume expansion and worse kidney function.¹⁴ Similarly, hs-cTn has been associated with LA and LV remodeling and worse kidney function in HFpEF^{10, 15}; it is also linked to impairment in myocardial functional reserve, marked by greater abnormalities in Doppler-derived measures of systolic and diastolic function, impairment in cardiac output response, and accompanied by greater degrees of congestion.¹⁶ Mechanistic studies elucidating benefit of SGLT2 inhibitor therapy in HFpEF and how these mechanisms are informed by circulating or imaging biomarkers are needed.

Though providing strong evidence that empagliflozin exerts similar relative benefits across the wide spectrum of NT-proBNP and hs-cTnT and representing the largest single trial biomarker analysis of individuals with HFpEF to date, this analysis has limitations. First, while secular trends in NT-proBNP predict subsequent risk in the trial, the magnitude of NT-proBNP lowering in EMPEROR-Preserved due to empagliflozin treatment was modest relative to the clinical benefits observed; further study of the mechanisms by which SGLT2 inhibitors lower NT-proBNP is needed. Further, although NT-proBNP and hs-cTnT were both important predictors of risk in those with HFpEF, it is not clear whether these two biomarkers add to clinical factors for risk prediction. Lastly, we currently have only baseline values for hs-cTnT; further testing of banked samples for post-randomization changes in hs-cTnT is planned.

In conclusion, in the EMPEROR-Preserved Trial, higher baseline concentrations of both NT-proBNP and hs-cTnT were associated with disease severity and prognosis. Empagliflozin reduced cardiovascular events and slowed decline in kidney function regardless of baseline biomarker concentrations and showed similar relative benefits across the wide range of biomarker values recorded in the trial. These results provide further support for both NT-proBNP and hs-cTnT as disease markers and prognostic indicators in HFpEF.

Clinical Competencies

- Elevations of baseline levels of both NT-proBNP and hs-cTnT were associated with significantly increased risk of both cardiac and renal outcomes in EMPEROR-Preserved, underscoring their prognostic value in HFpEF populations.
- NT-proBNP increases over time are associated with rise in risk.
- Empagliflozin only modestly reduced levels of NT-proBNP but nevertheless showed consistent benefit on both cardiac outcomes and eGFR slope.

Translational Outlook

- Prior studies suggested heterogeneity of therapeutic response in HFpEF based on NT-proBNP concentrations. The EMPEROR-Preserved Trial found no such association between baseline NT-proBNP and subsequent benefit of empagliflozin.
- The modest impact of empagliflozin, an SGLT2-inhibitor, on NT-proBNP levels over time paired with its prognostic benefits independent of baseline levels of NT-proBNP and hs-cTnT underscores the alternative pathways through which the benefits of this drug

class are likely mediated. Further research into the mechanisms of action of empagliflozin in patients with HFpEF are warranted.

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Figure legends

Figure 1: Forest plots for key cardiovascular or renal endpoints in the EMPEROR-Preserved Trial. Outcomes and treatment effect are expressed as a function of A) NT-proBNP or B) hs-cTnT quartile. *Number with total heart failure hospitalization events. CV, cardiovascular; HF, heart failure; HR, hazard ratio; CI, confidence interval; NT-proBNP, N-terminal pro-B type natriuretic peptide; ng/L, nanograms/liter; hs-cTnT: high sensitivity cardiac troponin T

Figure 2: Adjusted rate differences for the primary endpoint of the EMPEROR-Preserved Trial across biomarker quartiles. Relative risk reduction was the same across biomarker concentration, however given greater risk for events at higher concentrations of A) NT-proBNP or B) hs-cTnT, reduction in absolute event rate from empagliflozin was greater with higher biomarker concentrations. CI, confidence interval; NT-proBNP, N-terminal pro-B type natriuretic peptide; ng/L, nanograms/liter; hs-cTnT: high sensitivity cardiac troponin T

Central Illustration: A summary of findings in the EMPEROR-Preserved NT-proBNP and hs-cTnT analysis.

Table 1: Baseline characteristics of study participants as a function of quartiles of A) NT-proBNP or B) hs-cTnT.

A)

| Variable | Quartile 1 <499 ng/L (N=1496) | Quartile 2 499 to <974 ng/L (N=1495) | Quartile 3 974 to <1731 ng/L (N=1498) | Quartile 4 ≥1731 ng/L (N=1497) | P value for trend |
|--|-------------------------------------|--|---|--------------------------------------|----------------------------|
| Age, years, mean ± SD | 69.5 ± 9.4 | 71.1 ± 9.4 | 73.1 ± 8.8 | 74.0 ± 9.3 | <0.001 |
| Female, number (%) | 704 (47.1) | 653 (43.7) | 664 (44.3) | 655 (43.8) | 0.11 |
| Race, number (%) | | | | | <0.001 |
| White | 1159 (77.5) | 1134 (75.9) | 1157 (77.2) | 1091 (72.9) | |
| Black | 81 (5.4) | 69 (4.6) | 48 (3.2) | 59 (3.9) | |
| Asian | 146 (9.8) | 203 (13.6) | 215 (14.4) | 260 (17.4) | |
| Other or Missing | 110 (7.4) | 89 (6.0) | 78 (5.2) | 87 (5.8) | |
| Region, number (%) | | | | | <0.001 |
| North America | 167 (11.2) | 175 (11.7) | 181 (12.1) | 195 (13.0) | |
| Latin America | 440 (29.4) | 402 (26.9) | 319 (21.3) | 354 (23.6) | |
| Europe | 701 (46.9) | 664 (44.4) | 713 (47.6) | 610 (40.7) | |
| Asia | 105 (7.0) | 163 (10.9) | 193 (12.9) | 225 (15.0) | |
| Other | 83 (5.5) | 91 (6.1) | 92 (6.1) | 113 (7.5) | |
| Clinical course of heart failure | | | | | |
| Duration of heart failure, years, median (Q1, Q3) | 2.4 (0.9, 5.8) | 2.6 (1.1, 6.0) | 3.0 (1.0, 6.3) | 2.4 (0.9, 5.3) | 0.55 |
| NYHA Functional Class III-IV, number (%) | 215 (14.4) | 238 (15.9) | 289 (19.3) | 359 (24.0) | 0.001 |
| Hospitalization for heart failure within 12 months, number (%) | 253 (16.9) | 288 (19.3) | 365 (24.4) | 462 (30.9) | <0.001 |
| Left ventricular ejection fraction, %, mean ± SD | 55.0 ± 8.7 | 54.4 ± 9.0 | 54.3 ± 8.6 | 53.7 ± 8.8 | <0.001 |
| Left ventricular ejection fraction < 50%, number (%) | 442 (29.5) | 504 (33.7) | 490 (32.7) | 547 (36.5) | <0.001 |
| Body mass index, kg/m², mean ± SD | 30.8 ± 5.7 | 29.9 ± 5.9 | 30.0 ± 6.0 | 28.6 ± 5.7 | <0.001 |
| Heart rate, beats/min, mean ± SD | 67.7 ± 10.4 | 68.6 ± 11.2 | 71.8 ± 12.0 | 73.4 ± 12.8 | <0.001 |
| Systolic blood pressure, mm Hg, mean ± SD | 132.5 ± 14.8 | 132.6 ± 15.9 | 131.9 ± 15.7 | 130.3 ± 16.1 | <0.001 |
| Medical History | | | | | |
| Ischemic cause of heart failure, number (%) | 645 (43.1) | 580 (38.8) | 462 (30.8) | 429 (28.7) | <0.001 |

| | | | | | |
|---|-------------------|-------------------|-------------------|-------------------|--------|
| History of myocardial infarction, number (%) | 561 (37.5) | 508 (34.0) | 363 (24.2) | 347 (23.2) | <0.001 |
| Diabetes mellitus, number (%) | 764 (51.1) | 779 (52.1) | 708 (47.3) | 685 (45.8) | <0.001 |
| History of atrial fibrillation, number (%) | 376 (25.1) | 621 (41.5) | 1053 (70.3) | 1085 (72.5) | <0.001 |
| Atrial fibrillation at baseline, number (%) | 348 (23.3) | 603 (40.3) | 1038 (69.3) | 1068 (71.3) | <0.001 |
| Hypertension, number (%) | 1383 (92.4) | 1357 (90.8) | 1352 (90.3) | 1330 (88.8) | <0.001 |
| HF management, baseline | | | | | |
| ACEi/ARB, number (%) | 1274 (85.2) | 1199 (80.2) | 1154 (77.0) | 1077 (71.9) | <0.001 |
| ARNI, number (%) | 27 (1.8) | 42 (2.8) | 34 (2.3) | 30 (2.0) | 0.97 |
| Beta blocker, number (%) | 1268 (84.8) | 1293 (86.5) | 1303 (87.0) | 1301 (86.9) | 0.08 |
| Mineralocorticoid receptor antagonist, number (%) | 525 (35.1) | 527 (35.3) | 584 (39.0) | 607 (40.5) | <0.001 |
| Loop diuretic, number (%) | 837 (55.9) | 926 (61.9) | 1084 (72.4) | 1205 (80.5) | <0.001 |
| Laboratory findings | | | | | |
| eGFR, mL/min/1.73 m ² , mean ± SD | 66.2 ± 19.6 | 63.3 ± 19.8 | 60.1 ± 18.8 | 53.0 ± 18.7 | <0.001 |
| eGFR <60 mL/min/1.73 m ² , number (%) | 581 (38.8) | 655 (43.8) | 755 (50.4) | 997 (66.6) | <0.001 |
| Hemoglobin, g/dL, mean ± SD | 13.5 ± 1.5 | 13.4 ± 1.5 | 13.4 ± 1.6 | 13.1 ± 1.7 | <0.001 |
| hs-cTnT, ng/L, median (Q1, Q3) | 14.0 (9.5, 20.9) | 16.6 (11.5, 24.2) | 17.9 (11.9, 27.2) | 24.1 (16.1, 37.7) | <0.001 |
| Kansas City Cardiomyopathy Questionnaire | | | | | |
| Clinical summary score, median (Q1, Q3) | 75.5 (56.8, 89.6) | 76.8 (57.8, 89.6) | 72.3 (55.7, 87.5) | 70.3 (52.6, 85.4) | <0.001 |
| Overall summary score, median (Q1, Q3) | 74.3 (54.9, 87.5) | 75.0 (57.6, 88.0) | 70.8 (55.2, 85.9) | 68.3 (50.5, 83.4) | <0.001 |
| Total symptom score, median (Q1, Q3) | 77.6 (60.4, 92.7) | 81.3 (60.4, 93.8) | 77.1 (59.4, 91.7) | 75.0 (55.6, 89.6) | <0.001 |

B)

| Variable | Quartile 1 <11.6 ng/L (N=1439) | Quartile 2 11.6 to <17.8 ng/L (N=1473) | Quartile 3 17.8 to <27.0 ng/L (N=1448) | Quartile 4 ≥27.0 ng/L (N=1465) | P value for trend |
|--|--------------------------------------|--|--|--------------------------------------|----------------------------|
| Age, years, mean ± SD | 68.5 ± 9.5 | 72.3 ± 8.4 | 73.3 ± 9.0 | 73.4 ± 9.9 | <0.001 |
| Female, number (%) | 916 (63.7) | 701 (47.6) | 560 (38.7) | 425 (29.0) | <0.001 |
| Race, number (%) | | | | | 0.008 |
| White | 1070 (74.4) | 1127 (76.5) | 1101 (76.0) | 1112 (75.9) | |
| Black | 61 (4.2) | 53 (3.6) | 73 (5.0) | 66 (4.5) | |
| Asian | 197 (13.7) | 204 (13.8) | 208 (14.4) | 211 (14.4) | |
| Other or Missing | 111 (7.7) | 89 (6.0) | 66 (4.6) | 76 (5.2) | |
| Region, number (%) | | | | | <0.001 |
| North America | 136 (9.5) | 138 (9.4) | 180 (12.4) | 240 (16.4) | |
| Latin America | 414 (28.8) | 360 (24.4) | 352 (24.3) | 337 (23.0) | |
| Europe | 629 (43.7) | 718 (48.7) | 662 (45.7) | 600 (41.0) | |
| Asia | 164 (11.4) | 172 (11.7) | 179 (12.4) | 168 (11.5) | |
| Other | 96 (6.7) | 85 (5.8) | 75 (5.2) | 120 (8.2) | |
| Clinical course of heart failure | | | | | |
| Duration of heart failure, years, median (Q1, Q3) | 2.4 (1.0, 5.6) | 2.7 (1.0, 5.8) | 2.9 (1.0, 6.1) | 2.5 (0.9, 5.8) | 0.43 |
| NYHA Functional Class III-IV, number (%) | 214 (14.9) | 223 (15.1) | 257 (17.7) | 354 (24.2) | <0.001 |
| Hospitalization for heart failure within 12 months, number (%) | 234 (16.3) | 307 (20.8) | 338 (23.3) | 458 (31.3) | <0.001 |
| Left ventricular ejection fraction, %, mean ± SD | 54.9 ± 8.7 | 54.4 ± 8.7 | 54.1 ± 8.9 | 53.9 ± 8.7 | 0.001 |
| Left ventricular ejection fraction < 50%, number (%) | 423 (29.4) | 485 (32.9) | 506 (34.9) | 522 (35.6) | <0.001 |
| Body mass index, kg/m², mean ± SD | 30.0 ± 5.9 | 29.6 ± 5.8 | 29.9 ± 6.0 | 29.9 ± 5.9 | 0.93 |
| Heart rate, beats/min, mean ± SD | 70.3 ± 11.7 | 70.5 ± 11.7 | 70.0 ± 12.2 | 70.6 ± 11.8 | 0.74 |
| Systolic blood pressure, mm Hg, mean ± SD | 130.9 ± 14.9 | 131.8 ± 15.6 | 132.9 ± 15.6 | 131.9 ± 16.4 | 0.02 |
| Medical History | | | | | |
| Ischemic cause of heart failure, number (%) | 453 (31.5) | 518 (35.2) | 555 (38.3) | 530 (36.2) | <0.001 |
| History of myocardial infarction, number (%) | 392 (27.2) | 410 (27.8) | 490 (33.8) | 430 (29.4) | 0.02 |

| | | | | | |
|---|-------------------|-------------------|-------------------|-------------------|--------|
| Diabetes mellitus, number (%) | 565 (39.3) | 675 (45.8) | 725 (50.1) | 887 (60.5) | <0.001 |
| History of atrial fibrillation, number (%) | 701 (48.7) | 804 (54.6) | 771 (53.2) | 781 (53.3) | 0.03 |
| Atrial fibrillation at baseline, number (%) | 680 (47.3) | 787 (53.4) | 755 (52.1) | 757 (51.7) | 0.04 |
| Hypertension, number (%) | 1261 (87.6) | 1329 (90.2) | 1322 (91.3) | 1354 (92.4) | <0.001 |
| HF management, baseline | | | | | |
| ACEi/ARB, number (%) | 1153 (80.1) | 1189 (80.7) | 1154 (79.7) | 1080 (73.7) | <0.001 |
| ARNI, number (%) | 33 (2.3) | 31 (2.1) | 29 (2.0) | 33 (2.3) | 0.90 |
| Beta blocker, number (%) | 1288 (89.5) | 1290 (87.6) | 1242 (85.8) | 1208 (82.5) | <0.001 |
| Mineralocorticoid receptor antagonist, number (%) | 504 (35.0) | 550 (37.3) | 537 (37.1) | 598 (40.8) | 0.003 |
| Loop diuretic, number (%) | 801 (55.7) | 910 (61.8) | 1034 (71.4) | 1201 (82.0) | <0.001 |
| Laboratory findings | | | | | |
| eGFR, mL/min/1.73 m ² , mean ± SD | 70.5 ± 17.8 | 63.2 ± 17.9 | 57.8 ± 18.9 | 51.3 ± 19.5 | <0.001 |
| eGFR <60 mL/min/1.73 m ² , number (%) | 428 (29.7) | 654 (44.4) | 818 (56.5) | 1003 (68.5) | <0.001 |
| Hemoglobin, g/dL, mean ± SD | 13.5 ± 1.4 | 13.4 ± 1.5 | 13.4 ± 1.6 | 13.0 ± 1.7 | <0.001 |
| NT-proBNP, ng/L, median (Q1, Q3) | 697 (369, 1282) | 833 (464, 1446) | 1023 (536, 1821) | 1468 (774, 2755) | <0.001 |
| Kansas City Cardiomyopathy Questionnaire | | | | | |
| Clinical summary score, median (Q1, Q3) | 77.1 (58.3, 89.6) | 75.2 (59.4, 89.6) | 75.0 (56.3, 88.5) | 68.8 (50.5, 84.5) | <0.001 |
| Overall summary score, median (Q1, Q3) | 74.8 (56.3, 87.5) | 74.0 (57.6, 87.5) | 72.7 (55.7, 86.6) | 67.7 (49.0, 83.9) | <0.001 |
| Total symptom score, median (Q1, Q3) | 79.2 (60.4, 91.7) | 79.2 (62.5, 93.8) | 78.1 (60.4, 91.7) | 75.0 (54.2, 88.5) | <0.001 |

NT-proBNP denotes: N-terminal pro-B type natriuretic peptide; hs-cTnT denotes: high sensitivity cardiac troponin T; Q denotes:

quartile; NYHA denotes: New York Heart Association; SD denotes: standard deviation; kg/m² denotes: kilogram per meter squared;

ACEi/ARB denotes: angiotensin converting enzyme inhibitor or angiotensin II receptor blocker; ARNI denotes: angiotensin

receptor/neprilysin inhibitor; eGFR denotes: estimated glomerular filtration rate; mL/min/1.73m² denotes: milliliters per minute per

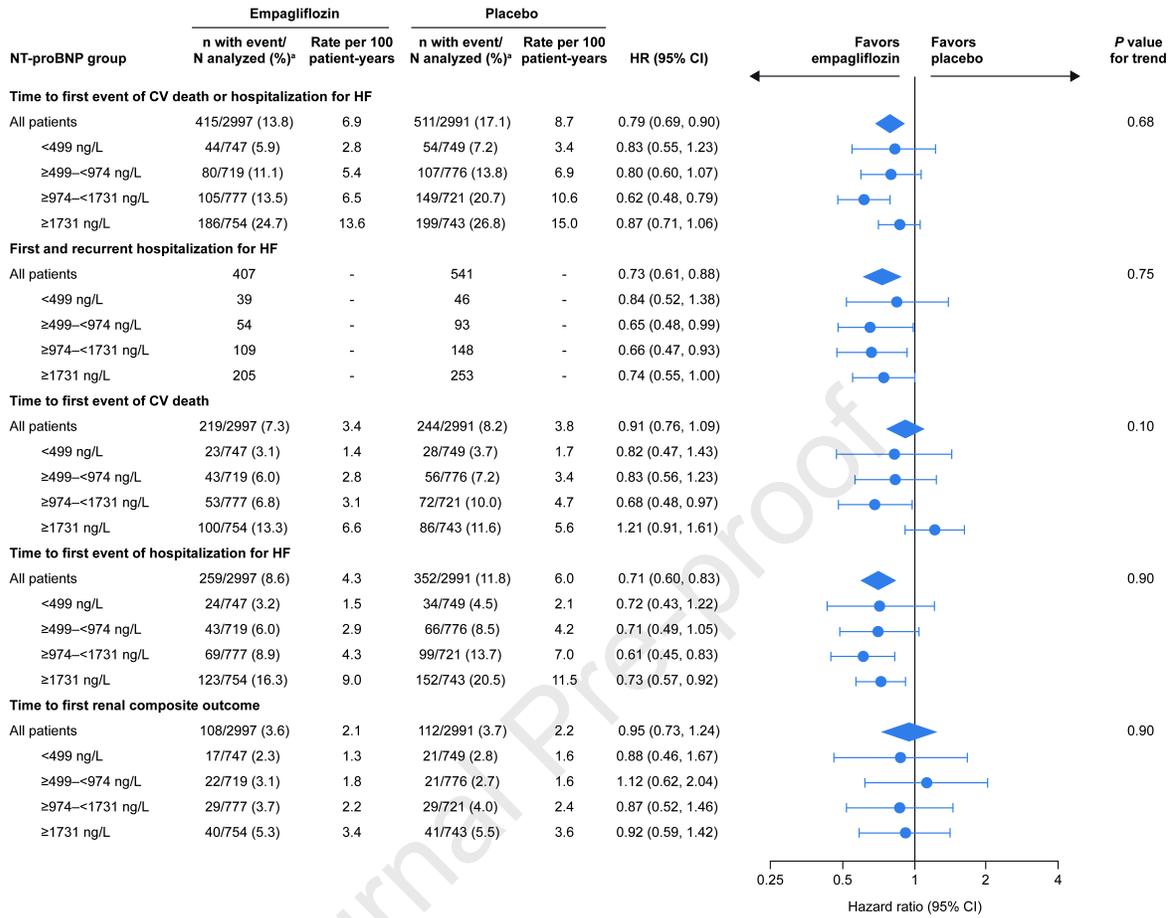
1.73 squared meters; g/dL denotes: grams per deciliter; ng/L denotes: nanograms per liter; P value compares group means using

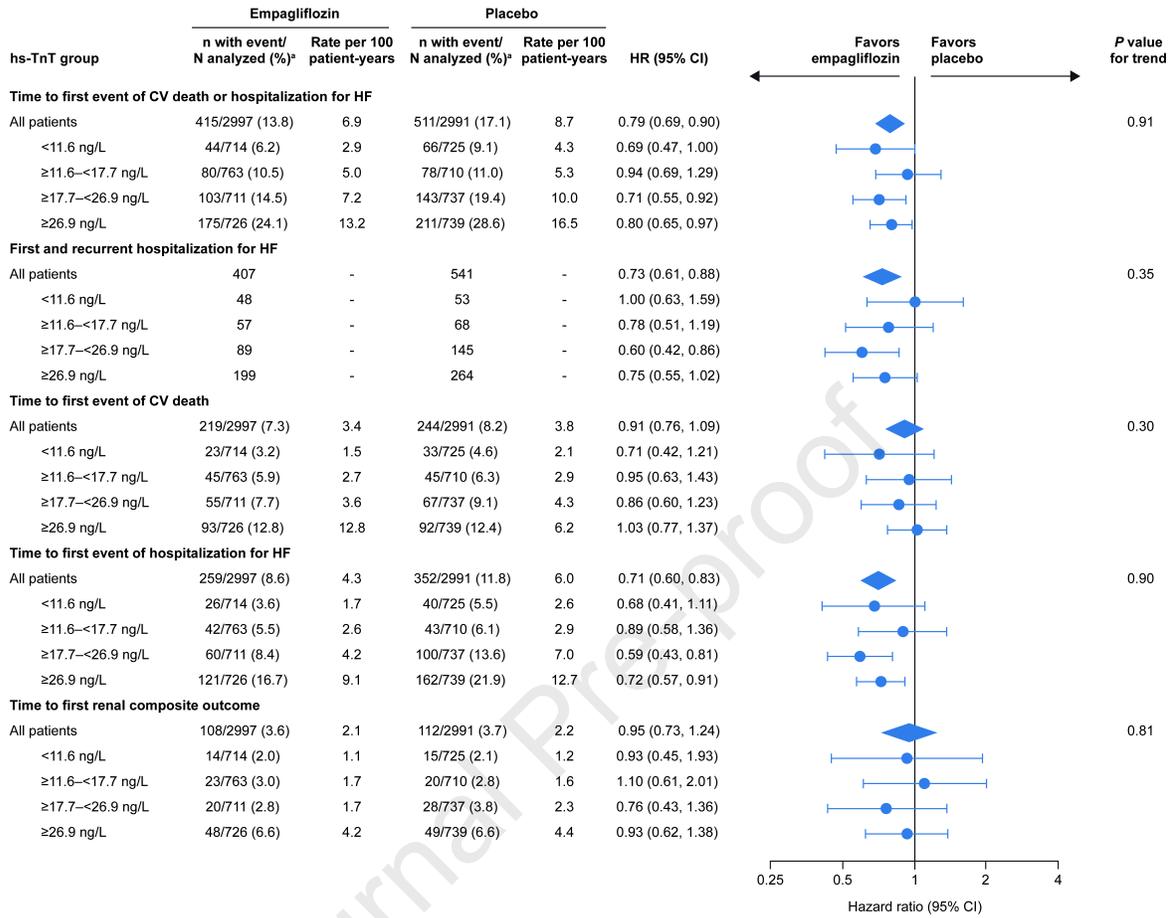
analysis of variance for continuous variables and chi-square test for categorical variables.

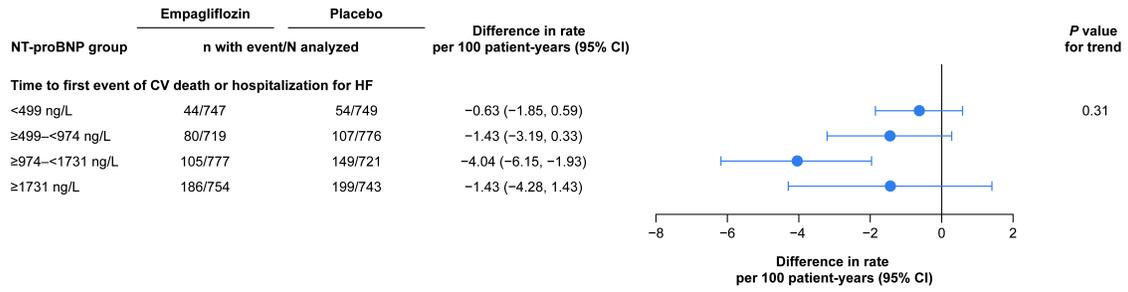
Table 2: Mean slope of change in estimated glomerular filtration rate relative to NT-proBNP or hs-cTnT quartile and treatment assignment. Empagliflozin reduced decline in kidney function regardless of biomarker quartile.

| Biomarker quartile | Empagliflozin, eGFR slope, mL/min/1.73m ² /year | Placebo, eGFR slope, mL/min/1.73m ² /year | Slope difference (95% CI) | P value for trend |
|-----------------------------------|--|--|---------------------------|----------------------|
| NT-proBNP | | | | |
| Q1 (<499 ng/L) | -1.38 | -2.56 | 1.18 (0.60, 1.76) | 0.66 |
| Q2 (499 to <974 ng/L) | -0.86 | -2.54 | 1.68 (1.09, 2.27) | |
| Q3 (974 to <1731 ng/L) | -1.28 | -2.96 | 1.69 (1.09, 2.28) | |
| Q4 (≥1731 ng/L) | -1.55 | -2.47 | 0.92 (0.29, 1.55) | |
| hs-cTnT | | | | |
| Q1 (<11.6 ng/L) | -1.48 | -2.79 | 1.31 (0.73, 1.90) | 0.45 |
| Q2 (11.6 to <17.7 ng/L) | -1.37 | -2.38 | 1.02 (0.43, 1.60) | |
| Q3 (17.7 to <26.9 ng/L) | -1.06 | -2.50 | 1.44 (0.83, 2.05) | |
| Q4 (≥26.9 ng/L) | -1.24 | -2.79 | 1.54 (0.90, 2.19) | |

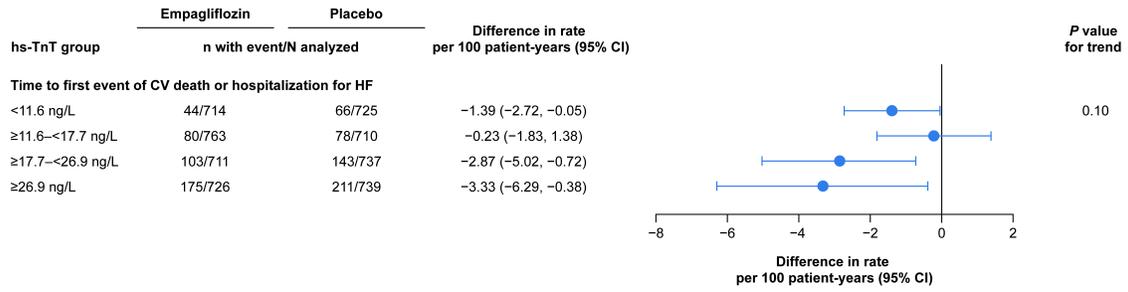
eGFR denotes: estimated glomerular filtration rate; CI denotes: confidence interval; NT-proBNP denotes: N-terminal pro-B type natriuretic peptide; ng/L denotes: nanograms/liter; Q denotes: quartile; hs-cTnT denotes: high sensitivity cardiac troponin T







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5988 patients with heart failure

- LVEF >40%
- Treated with empagliflozin vs placebo



Blood drawn for NT-proBNP and hs-cTnT

- NT-proBNP at baseline and serially
- hs-cTnT at baseline only



Assessments

- Baseline clinical status
- HF/renal events follow-up

FINDINGS

Higher baseline concentrations of NT-proBNP and hs-cTnT strongly associated with risk profile and more severe HF

↑NT-proBNP and hs-cTnT was associated with a 4 to 5-fold higher rate of CV death/HF hospitalization, total HF hospitalization and the composite renal endpoint

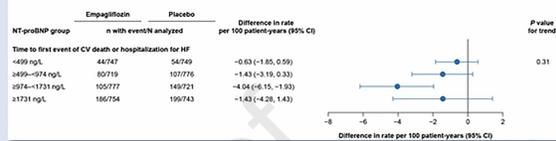
Unlike other therapies, relative risk reductions attributable to empagliflozin were comparable across baseline marker quartiles

Change in NT-proBNP after baseline was associated with the primary outcome and treatment with empagliflozin was associated with a small relative reduction in NT-proBNP concentration across 100 weeks of treatment

OUTCOME ACROSS BIOMARKER STRATA

Absolute event rate difference, empa vs placebo

NT-proBNP



hs-cTnT

