

# The role of 5-hydroxyindoleacetic acid in neuroendocrine tumors: the journey so far

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5-Hydroxyindole acetic acid (5-HIAA) is a surrogate marker for serotonin measurement and one of the first biochemical markers used in neuroendocrine tumors. In this review, we give a brief history of 5-HIAA and its precursor serotonin. We discuss its clinical utility and diagnostic performance in small intestinal neuroendocrine tumor and describe the challenges encountered during its analysis, historically performed in urine. The introduction of blood-based assays will help overcome some of the issues associated with its measurement in urine. The diagnostic performance of serum and plasma 5-HIAA has been shown to be comparable to that of urine 5-HIAA. Thus, analysis in either serum or plasma will provide a practical and convenient alternative to urine.

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## Practice points

- Neuroendocrine tumors (NETs) are a heterogeneous group of neoplasm that arise from cells within the neuroendocrine system.
- Patients with NETs can present with symptoms due to the increased production and secretion of biologically active hormones and biogenic amines.
- Small intestinal NETs are the most common cause of carcinoid syndrome, which presents clinically with diarrhea, flushing, wheezing and dyspnea as a result of the secretion of serotonin and other vasoactive substances.
- Over the years, biochemical markers have been used for the diagnosis and monitoring of patients with NETs.
- 5-Hydroxyindole acetic acid, a breakdown product of serotonin, was one of the first biochemical markers of NETs with specific utility in small intestinal NETs with carcinoid syndrome.
- Historically, 5-hydroxyindole acetic acid analysis has been performed in urine. However, measurement in blood, which shows a similar diagnostic and discriminatory performance, provides a practical and convenient alternative.

5-Hydroxyindole acetic acid (5-HIAA) is a metabolite of serotonin. The journey to the discovery of serotonin started as far back as the 19th century, when Ludwig and his colleague Schmidt in 1868 observed increased vascular resistance in the muscle of a dog perfused with defibrinated blood [1]. In 1912, O'Connor, following his investigation, deduced that the vasoconstrictor substance that exerts its effect in serum and not plasma is likely released during the clotting process by platelets [2]. Two different groups have been credited for the discovery of serotonin; Page, an American physiologist, and his colleagues Rapport, an organic chemist, and Green, a biochemist, isolated and identified this vasoconstrictor substance as 5-hydroxytryptamine (5-HT) also known as serotonin in 1948 [3,4]. An Italian pharmacologist and physiologist, Ersparmer in the 1930s discovered a smooth muscle contracting substance found in the enterochromaffin cells of the GI tract, which he named 'enteramine.' This was later found to be the same substance as serotonin [5]. Not long afterward, Twarog and Page identified serotonin in brain extracts [6]. Much of what we know about the biochemistry of serotonin is credited to Udenfriend and colleagues, a biochemist who was involved in understanding the metabolic pathway for serotonin from tryptophan to 5-HIAA [7]. He and his team were the first to show 5-HIAA was a normal component of human urine and they went on to describe a method for its measurement [8].

Table 1. Biochemical markers of neuroendocrine tumors.

NET markers	Study, year first isolated	NET type	Associated clinical syndrome
<b>Specific markers</b>			
Serotonin	Page <i>et al.</i> (1948)	SI-NET	Carcinoid
Urine 5-HIAA	Udenfriend <i>et al.</i> (1955)	SI-NET	Carcinoid
Gastrin	Edkins (1905)	Gastrinoma	Zollinger–Ellison
Insulin	Banting <i>et al.</i> (1922)	Insulinoma	Whipple's triad
Glucagon	Kimball <i>et al.</i> (1923)	Glucagonoma	None
Vasoactive intestinal peptide	Said <i>et al.</i> (1970)	VIPoma	WDHA
Somatostatin	Brazeau <i>et al.</i> (1973)	Somatostatinoma	None
Neurokinin A	Kimura <i>et al.</i> (1983)	SI-NET	None
<b>Non-specific markers</b>			
Chromogranin A	Blaschko <i>et al.</i> (1967)	Most NET	None
Pancreastatin	Tatemoto <i>et al.</i> (1986)	Most NET	None
Neurone-specific enolase	Marangos <i>et al.</i> (1974)	Poorly differentiated NET	None
Pancreatic polypeptide	Kimmel <i>et al.</i> (1971)	GEP-NET	None
NT-proBNP	Sudoh <i>et al.</i> (1987)	SI-NET (CHD)	None
Adrenaline	Abel & Takamine (1899)	Pheochromocytoma and paraganglioma	None
Noradrenaline	Euler (1946)	Pheochromocytoma and paraganglioma	None
Metanephrine	LaBrosse & Mann (1960)	Pheochromocytoma and paraganglioma	None
Normetanephrine	LaBrosse & Mann (1960)	Pheochromocytoma and paraganglioma	None

CHD: Carcinoid heart disease; GEP: Gastroenteropancreatic; NET: Neuroendocrine tumor; SI-NET: Small intestinal neuroendocrine tumor; WDHA: Watery diarrhea, hypokalemia and achlorhydria [30–41].

Interestingly, not long after the discovery of serotonin, it was implicated as the major substance secreted by carcinoid tumors. A lot of the knowledge that has been acquired over the years about the pathophysiology of serotonin can be traced back to studies carried out on patients with neuroendocrine tumors (NETs) [9,10].

### Neuroendocrine tumors

In 1907, the German pathologist Oberndorfer first described NETs arising from the GI tract as a distinct entity with a more benign course. He gave the name Karzinoiden (carcinoid tumors) to differentiate these tumors from adenocarcinomas [11], they are now referred to as NETs. These diverse group of neoplasms originate from cells within the neuroendocrine system. They have the ability to secrete increased amounts of biologically active products, which may be associated with specific hypersecretory syndromes that determine their clinical presentation. These biologically active NETs are classified as functioning tumors. Non-functioning NETs, on the other hand, do not secrete excess bioactive substances but present with symptoms that are due to the compression or invasion of surrounding organs or tissues [12]. NETs are rare, but over the years there has been an increase in their incidence which may not be completely explained by earlier diagnosis or better classification. A US-based population study gives the annual incidence of NETs to be approximately 7 per 100,000 people [13,14].

Small intestinal NETs (SI-NETs) previously known as midgut NETs originate from serotonin-secreting enterochromaffin cells. These tumors are often slow growing with a low proliferation rate, and are often diagnosed at an advanced stage once metastasis has occurred [15]. They can cause functional symptoms due to carcinoid syndrome (CS) that presents clinically with diarrhea, flushing, wheezing and dyspnea as a result of the secretion of serotonin and other vasoactive substances. CS commonly occurs in SI-NETs when there is metastasis of the tumor to the liver, but it can also be seen in bronchial and, more rarely, pancreatic, ovarian and rectal NETs. In 20–30% of patients with a SI-NET and liver metastasis, CS is present. A large population-based study carried out by Halperin *et al.* revealed that CS is present in 19% of patients with a NET and of these, 32% had a SI-NET and 8% a bronchial NET [16,17].

Biochemical markers have played an important role in the diagnosis and management of NETs over the years (Table 1). Urine 5-HIAA, the metabolic product of serotonin, is the most commonly used biochemical marker in the diagnosis and monitoring of SI-NETs, particularly when CS is present. Chromogranin A is currently used

as a general marker for NETs but it is considered to have poor specificity (10–35%) [18]. A novel biomarker, the NETest™ is a multianalyte reverse transcription PCR (qRT-PCR) test involving the simultaneous measurement of 51 neuroendocrine-specific marker genes and is currently undergoing validation with preliminary studies, which are suggesting its higher specificity and sensitivity (>95%) [19–21].

CS is also associated with the development of carcinoid heart disease (CHD). The first case of CHD was described in 1954. 20% of patients with CS have CHD and it has been shown to occur more frequently in patients with SI-NET [22,23]. The pathogenesis of CHD, though not completely understood, is linked, based on several lines of evidence, to the secretion of serotonin by the metastatic tumor, leading to formation of fibrous plaques and thickening of the right heart valves with consequent regurgitation or stenosis of the affected valve [22,24,25]. In patients with CHD, urine 5-HIAA levels are significantly raised (median urine 5-HIAA 576  $\mu\text{mol}/24\text{ h}$  vs 233  $\mu\text{mol}/24\text{ h}$ ) compared with those without CHD [26]. Plasma 5-HIAA has been shown to correlate with the development of CHD [25]. A urine 5-HIAA level of 300  $\mu\text{mol}/24\text{ h}$  or greater is regarded as an independent predictor for the development or progression of CHD [16].

Surgery is usually the initial treatment for NETs that have been diagnosed at an early stage of the disease. However, most patients with an SI-NETs present with metastases, commonly to the liver, mesentery and peritoneum, at the time of diagnosis. In distant metastatic disease, palliative surgery can still be offered [15,27]. Somatostatin analogs (SSA) are often used as first-line treatment in patients with metastatic NETs. They exert their anti-tumor effect by reducing the excessive secretion of hormones such as serotonin and by controlling tumor growth. Long-acting octreotide (intramuscular injection) and lanreotide (deep subcutaneous injection), both administered every 28 days, are the most commonly used SSA. Studies have shown that octreotide use in SI-NETs led to stabilization of tumor growth in approximately 50% of patients and regression of tumor in about 10% of patients. The majority of patients with CS experienced relief of their symptoms with SSA use [28].

Telotristat ethyl is a tryptophan hydroxylase inhibitor, which decreases the production of serotonin. It has been approved in the USA and Europe in combination with a SSA for the treatment of refractory diarrhea in patients with CS [24,28]. In a post hoc analysis in the Phase III TELESTAR trial, 78 and 87% of patients on 250 and 500 mg dose of telotristat ethyl three-times daily achieved a  $\geq 30\%$  reduction in urine 5-HIAA compared with 10% in the placebo group [29].

Peptide receptor radionuclide therapy is recommended when other medical treatments have failed. Treatment is delivered using radiolabeled molecules that bind to specific peptide receptors expressed by the tumor. Integrating SSA in the radiolabeled molecule such as Lutetium ( $^{177}\text{Lu}$ ) oxodotreotide ensures that the tumors that express somatostatin receptors are targeted. Quality of life analysis in the NETTER-1 trial suggests that the peptide receptor radionuclide therapy maintains and improves the quality of life in patients with SI-NETs [27,28].

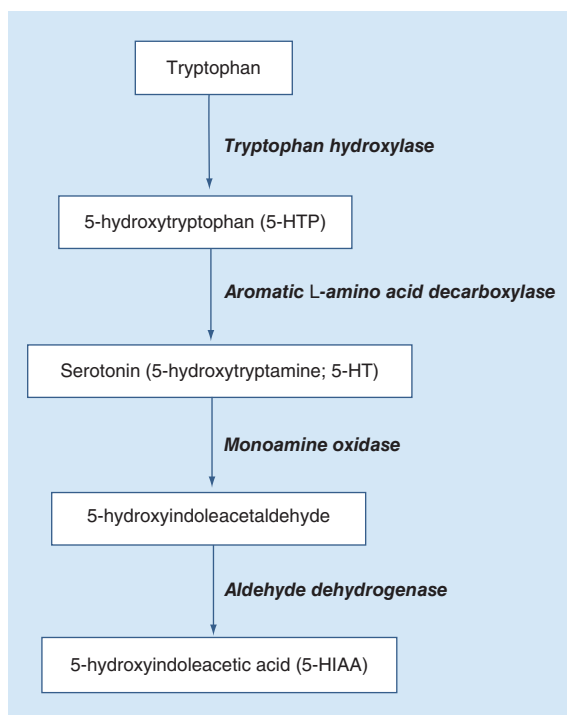
## Serotonin

Serotonin (5-HT) is a biogenic amine synthesized from the essential amino acid tryptophan. The majority of the body's 5-HT is produced in the enterochromaffin cells of the GI tract. A small proportion is synthesized in the serotonergic neurons of the CNS. Blood 5-HT is almost completely found in platelets where it is stored in dense granules. A small amount is present in plasma. Platelets do not synthesize 5-HT, their 5-HT content is predominantly from the enterochromaffin cells of the GI tract following its release into the circulation. The metabolism of 5-HT is via oxidative deamination by monoamine oxidase to 5-hydroxyindoleacetaldehyde, which in turn is oxidized to 5-HIAA, the major metabolite or reduced to 5-hydroxytryptophol.

5-HT is an important signaling molecule involved in various physiological processes. It regulates gut motility and in the CNS is involved in temperature control, mood and sleep. It also plays a role in platelet aggregation, vascular tone and metabolic processes such as regulation of bone turnover, lipid metabolism and glucose homeostasis [42,43].

## Serotonin analysis

Various methods have been employed in the analysis of 5-HT. Earlier methods such as paper chromatography and spectrofluorometry were superseded by more sensitive and specific techniques, including radioimmunoassays and enzyme-linked immunosorbent assays. The use of these assays was limited by cross-reactivity and interference by endogenous substances in the samples. HPLC and LC–MS methods are now commonly used as they provide better specificity and sensitivity, also allowing for the simultaneous measurement of 5-HT metabolites and other related compounds [43,44]. 5-HT has been measured in whole blood, platelet-rich plasma, platelet-poor plasma, serum and urine but they are challenges surrounding its analysis. Pre-analytically, there are precautions around sample



**Figure 1. Pathway for 5-hydroxyindole acetic acid synthesis.**

collection and preparation because 5-HT can easily be released from platelets, leading to a falsely elevated result. Also, 5-HT is readily oxidized and degraded enzymatically, which can give erroneously low results. The addition of antioxidants to specimen tubes and the immediate freezing of samples after collection are measures used to ensure the stability of 5-HT. The saturation of platelets at high 5-HT concentration and issues surrounding the reference range for measurement of 5-HT in platelet-poor plasma due to the huge variation in results reported by different studies limits the analysis of 5-HT in platelets [45,46]

### 5-Hydroxyindole acetic acid

5-HIAA is made up of an indole ring with two functional groups, a phenol and a carboxymethyl group. The production of 5-HIAA via oxidative deamination is the major metabolic fate of serotonin. It is synthesized mainly in the kidney and liver and excreted in the urine as it is water soluble [8,47]. Sjoerdsma, Udenfriend and their colleagues outlined the metabolic pathway for serotonin from tryptophan to 5-HIAA (Figure 1) [7,10]. In various neurological conditions, 5-HIAA is used as a surrogate for serotonin measurement [48,49].

Serotonin and 5-HIAA were the initial biochemistry markers used in NETs which had originally been identified as carcinoid tumors. This was due to earlier observations that include the discovery of high levels of serotonin in the blood and tissue of patients with metastatic carcinoid tumors, the demonstration of increased urinary 5-HIAA in this group of patients and the description and association of CS with 5-HT [10,50–52]. Over the years, further work and advances in the NET field corroborated these findings that serotonin is the main substance secreted by carcinoid tumors.

### 5-HIAA analysis

Historically, urine 5-HIAA has been the preferred biochemical marker for carcinoid tumors. Udenfriend *et al.* described a colorimetric method for its measurement [8]; a problem with the colorimetric method was its poor specificity, which required several modifications. Fluorimetric assays were also used in urine 5-HIAA analysis. Although a sensitive method, its use was limited by interference from other urine constituents. Other methods such as immunoassays, thin layer chromatography, gas chromatography, HPLC and MS/MS have been described. HPLC assays are now commonly used, with the advantage of measuring other compounds such as metanephrines simultaneously [47,53–57].

A 24-h urine collection is required for the analysis of 5-HIAA as random urine produces varying concentrations. The specimen is collected in an acidified container because 5-HIAA, like other 5-hydroxyindoles, easily undergoes

**Table 2. Interfering factors in urine 5-hydroxyindole acetic acid analysis.**

Interfering factors	Urine 5-HIAA concentration	Mechanism of effect
<b>Foods</b>		
Bananas, plantain, plums, pineapples, kiwi fruit, figs, dates, cantaloupe melon, honeydew melon, grapefruit, walnuts, pecan, macadamia, and Brazil nuts, aubergine, olives, broccoli, spinach, cauliflower	Increased	Rich in serotonin or tryptophan
<b>Medications</b>		
Glyceryl guaiacolate present in cough remedies, naproxen, paracetamol	Increased	Analytical interference
Cisplatin, fluorouracil, melphalan	Increased	Increased 5-HIAA excretion
Imipramine	Decreased	Blocks serotonin re-uptake
Isoniazid and methyldopa	Decreased	Inhibits 5-HT synthesis
Isocarboxazid and moclobemide	Decreased	Inhibits conversion of 5-HT to 5-HIAA
Levodopa and ethanol	Decreased	Diverts tryptophan and 5-HT to alternative pathways
Chlorpromazine	Decreased	Analytical interference
Data taken from [47,53,59–61].		

oxidation at an alkaline pH. Addition of a weak acid such as acetic acid was recommended but it was found to interfere with a colorimetric method. Commonly, hydrochloric acid is used to lower the pH to 3 [47,53].

Urine 5-HIAA excretion is increased by tryptophan- or serotonin-rich foods (Table 2). A study on the influence of diet on urine 5-HIAA excretion suggests that 5-HIAA levels return to baseline by the second day after a serotonin-rich diet is stopped [58]. Thus, prior to urine 5-HIAA collection, tryptophan- and serotonin-containing foods should be stopped for about 48 h. Certain medications can affect urine 5-HIAA concentration (Table 2). Chemotherapy drugs such as cisplatin cause an increase in urine 5-HIAA excretion, presumably due to the release of a large amount of 5-HT by the cancer cells. Other medications such as monoamine oxidase inhibitors exert their effect by acting on the metabolic pathway of serotonin, which can alter 5-HIAA excretion. Interference with analytical methods for urine 5-HIAA is another way in which medications have been found to either falsely increase or decrease 5-HIAA concentration. This is not an issue with the modern 5-HIAA assays, which predominantly employ the HPLC method [47,53,59].

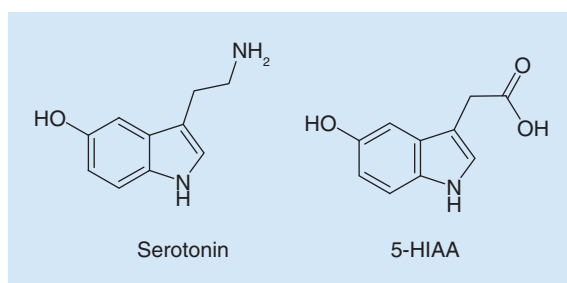
### 5-HIAA: diagnostic performance & utility

Several studies have shown the sensitivity of urine 5-HIAA to be between 35 and 73%, and the specificity 89–100% depending on the cutoff used [62–64]. In patients with CS, a urine 5-HIAA level greater than 300  $\mu\text{mol}/24\text{ h}$  is associated with an increased risk of developing CHD [65]. The prognostic role of urine 5-HIAA was demonstrated in a study of patients with SI-NETs [66]. However, other studies have shown that in multivariate analysis, urine 5-HIAA had no prognostic benefit [67].

The biochemical marker CgA, whose diagnostic specificity is dependent on the type of NET and the tumor burden [68], has been shown to be a prognostic marker of NET. Studies have shown its sensitivity to be between 43 and 100% and its specificity 10–35% [62,63,69–71]. The experience of a single center has shown that in SI-NETs, the sensitivities of both urine 5-HIAA and CgA was similar (69 vs 68%) and in patients with liver metastases, the sensitivity of urine 5-HIAA was greater (86 vs 77%) [72]; both markers have demonstrated good sensitivities in patients with CS [62].

Measurement of 5-HIAA in plasma or serum addresses the inconvenience and issues surrounding urine collection, commonly the stress associated with the timing and collection of the urine and the exposure to a hazardous substance used as a preservative in the sample container. Several methods have been described in the analysis of plasma or serum 5-HIAA, they include HPLC, gas chromatography MS and LC–MS/MS [71,73–75].

Studies comparing urine and plasma 5-HIAA have shown good agreement and statistically significant correlation between both sample types [75,76]. The diagnostic performance of these tests depends on the chosen cutoff. Urine 5-HIAA at a cutoff of 40–56  $\mu\text{mol}/24\text{ h}$  showed sensitivities between 74 and 85% compared with 79.6 and 89% in plasma 5-HIAA at a cutoff of 118 nmol/l. Specificities were between 90–97% in urine and 74–100% in plasma. Concordance was also shown in their discriminating capacity. The receiver-operating characteristic (ROC) curve obtained by Adaway *et al.* in their comparison of urine and plasma 5-HIAA showed the area under the curve (AUC)



**Figure 2. The chemical structure of serotonin and 5-hydroxyindole acetic acid.**

to be 0.920 for urine 5-HIAA and 0.917 for plasma 5-HIAA. AUC for the ROC curve in the study by Carling *et al.* was 0.895 and 0.902 for urine and plasma 5-HIAA, respectively [64,71,76].

Adaway *et al.* also compared urine and serum 5-HIAA in 68 patients and reported a good agreement between urine and serum 5-HIAA in more than 90% of these patients. Another study comparing urine and serum 5-HIAA showed the sensitivity of urine 5-HIAA at a cutoff of 40  $\mu\text{mol}/24\text{ h}$  was 67% with a specificity of 81% compared with serum 5-HIAA with a sensitivity of 57% and specificity of 95% at a cutoff of 123 nmol/l. ROC analysis showed similarities in their ability to detect NETs, with AUC for urine 5-HIAA 0.83 and 0.81 for serum 5-HIAA [71,76].

Comparison of serum and plasma 5-HIAA revealed higher 5-HIAA concentration in the serum, which may have been caused by the release of 5-HIAA from cells during clotting [76]. A study looking at the association between biomarkers and CHD showed NT-proBNP and plasma 5-HIAA had similar discriminatory ability in the diagnosis of CHD; ROC curve analysis showed the AUC for NT-proBNP was 0.82 and plasma 5-HIAA was 0.85 [25].

## Conclusion & future perspective

NETs are a heterogeneous group of neoplasms. Although 5-HIAA has its limitations as a biomarker for NETs, its utility as a specific marker of SI-NETs, which commonly presents with CS, cannot be overlooked. Studies performed to date have shown that serum and plasma 5-HIAA have similar diagnostic performance and discriminatory capacity as the urine 5-HIAA assay. Avoidance of serotonin-rich foods may only be required 8–12 h before blood sample collection [64,71]. Therefore, the way forward will be measurement of 5-HIAA in serum or plasma, which will offer a more practical and convenient alternative to its historic measurement in urine (Figure 2).

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The authors have no relevant affiliations or financial involvement with any organization or entity with a financial interest in or financial conflict with the subject matter or materials discussed in the manuscript. This includes employment, consultancies, honoraria, stock ownership or options, expert testimony, grants or patents received or pending, or royalties.

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## Author contributions

M Ewang-Emukowhate wrote the first draft of the article. All the authors agreed on the original concept and design of the article, reviewed and revised the draft, and contributed to the final version of the article.

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