

## Brief Report

## Title:

## Vaccine-breakthrough infection by the SARS-CoV-2 Omicron variant elicits broadly cross-reactive immune responses

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41

## 42 **SUMMARY**

43 Highly transmissible SARS-CoV-2 Omicron variant has posted a new crisis for  
44 COVID-19 pandemic control. Within a month, Omicron is dominating over Delta  
45 variant in several countries probably due to immune evasion. It remains unclear  
46 whether vaccine-induced memory responses can be recalled by Omicron infection.  
47 Here, we investigated host immune responses in the first vaccine-breakthrough case  
48 of Omicron infection in Hong Kong. We found that the breakthrough infection rapidly  
49 recruited potent cross-reactive broad neutralizing antibodies (bNAbs) against current  
50 VOCs, including Alpha, Beta, Gamma, Delta and Omicron, from unmeasurable IC<sub>50</sub>  
51 values to mean 1:2929 at around 9-12 days, which were higher than the mean peak  
52 IC<sub>50</sub> values of BioNTech-vaccinees. Cross-reactive spike- and nucleocapsid-specific  
53 CD4 and CD8 T cell responses were detected. Similar results were also obtained in  
54 the second vaccine-breakthrough case of Omicron infection. Our preliminary findings  
55 may have timely implications to booster vaccine optimization and preventive  
56 strategies of pandemic control.

57

## 58 **Keywords**

59 SARS-CoV-2; VOCs; Omicron; Broad neutralizing antibodies; Breakthrough  
60 infection; T cell responses

61

## 62 **Main text**

63 Highly transmissible SARS-CoV-2 and its variants have caused more than 279  
64 million infections with about 5.4 million deaths globally by December 26, 2021  
65 (<https://coronavirus.jhu.edu/map.html>). To fight the ongoing pandemic, 8.9 billion  
66 doses of several types of COVID-19 vaccine have already been extensively  
67 administered in many countries, which has reduced the rates of hospitalization and  
68 death significantly (Baden et al., 2021; Polack et al., 2020; Tanriover et al., 2021;  
69 Voysey et al., 2021; Xia et al., 2021). Since these vaccines cannot confer complete

70 prevention of upper airway transmission of SARS-CoV-2, the increasing numbers of  
71 vaccine-breakthrough infections and re-infections have been documented  
72 (Abu-Raddad et al., 2021; Birhane et al., 2021; To et al., 2021). This situation is  
73 becoming worse because of the rapid spread of SARS-CoV-2 variant of concerns  
74 (VOCs) and waning of vaccine-induced immune responses (Peng et al., 2021; Wang  
75 et al., 2021a; Wang et al., 2021b). After World Health Organization (WHO)  
76 designated the Omicron variant of concern (VOC) on the 26<sup>th</sup> of November 2021, the  
77 extremely rapid spread of this variant has led to another crisis of pandemic control.  
78 Within a month, Omicron is replacing the Delta VOC to become the dominant  
79 SARS-CoV-2 variant in many places in the South Africa, European countries and in  
80 the United States (Shu and McCauley, 2017). Two studies reported that the increased  
81 risk of re-infection was associated with emergence of Omicron in South Africa and  
82 Denmark (Espenhain et al., 2021; Pulliam et al., 2021). Both vaccine-induced  
83 neutralizing antibody (NAb) and current NAb combination therapy for passive  
84 immunization have significantly reduced activities (Lu et al., 2021; Wang et al.,  
85 2021a). Till now, it remains unclear whether vaccine-induced memory responses can  
86 be recalled by the Omicron viral infection. We, therefore, investigated the host  
87 immune responses in two vaccine-breakthrough cases of Omicron infection in Hong  
88 Kong. Our preliminary finding of Omicron-recalled broadly cross-reactive immune  
89 responses in these cases may have timely important implications to booster vaccine  
90 optimization and implementing adequate preventive interventions to control the  
91 pandemic.

92  
93 On mid-November 2021, the first Chinese vaccine-breakthrough case of Omicron  
94 patient (OP1) was diagnosed in a quarantine hotel in Hong Kong (Wong et al., 2021).  
95 OP1 arrived in Hong Kong from Canada and was tested negative by reverse  
96 transcription PCR (RT-PCR) for SARS-CoV-2 within 72 hours before arrival. Seven  
97 days after arrival, OP1 developed mild symptoms and showed a positive result for  
98 SARS-CoV-2 (Ct value 19) on day 8 after arrival and was hospitalized on the same  
99 day. To validate our findings, we subsequently received blood samples from an  
100 imported mild case of Omicron patient 2 (OP2), who was due to a separate  
101 transmission and was diagnosed about 9 days after the OP1. Based on the vaccination  
102 records, OP1 and OP2 were confirmed with Omicron infection at 178 and 53 days  
103 after the second dose of BNT162b2 and mRNA-1273, respectively (**Figure 1A**).  
104 During hospitalization, both cases presented with mild clinical symptoms not  
105 requiring oxygen supplementation or ICU treatment. With patients' informed consent,  
106 we obtained three sequential sera and one peripheral blood mononuclear cells

107 (PBMCs) samples from each patient to determine whether vaccine-induced memory  
108 responses can be recalled by the Omicron viral infection.

109

110 We first measured the neutralizing antibody titer ( $IC_{50}$ ) in their sera samples against  
111 the current panel of SARS-CoV-2 VOC pseudoviruses including Alpha (B.1.1.7),  
112 Beta (B.1.351), Gamma, Delta (B.1.617.2) and Omicron (B.1.1.529) as compared  
113 with D614G (WT). We compared  $IC_{50}$  values with 34 local vaccinees, whose blood  
114 was collected around mean 30 days after the second BNT162b2-vaccination  
115 (Pfizer–BioNTech) (**Figure 1A**) (Peng et al., 2021). Consistent with recent preprint  
116 publications by others, we found that the Omicron variant showed the greatest  
117 resistance to BNT162b2-vaccine-induced neutralization with an average 5.9-fold  
118 deficit relative to D614G (**Figure 1C**). Strikingly, however, the breakthrough  
119 infection was able to elicit cross-reactive broad neutralizing antibodies (bNAbs) from  
120 the unmeasurable levels (<1:20) to mean  $IC_{50}$  values of 1:2929 (range 588.5-5508)  
121 and from mean  $IC_{50}$  1:24.3 to 1:854.5 at 9 days in OP1 and 12 days in OP2 post  
122 symptoms onset (PSO), respectively (**Figure 1D**). Moreover, the amounts of NAbS  
123 were consistently higher than the mean  $IC_{50}$  values of BNT162b2-vaccinees across all  
124 VOCs tested. In particular, there were 121.41- and 74.89-fold higher  $IC_{50}$  values  
125 against Beta and Omicron in OP1 than those in BNT162b2-vaccinees (**Figure 1B**).  
126 Besides NAbS against the current panel of VOCs, OP1 also displayed enhanced  $IC_{50}$   
127 values of NAbS against 15/16 SARS-CoV-2 variants with individual mutations or  
128 deletions including the E484K mutation, which conferred significant resistance to  
129 vaccine-induced NAbS (**Figure S1**). These results demonstrated that, although the  
130 Omicron VOC evaded BNT162b2-vaccine-induced NAbS, the breakthrough infection  
131 elicited cross-reactive bNAbs generally against all current VOCs in both OP1 and  
132 OP2.

133

134 To understand cellular immune responses, we conducted flow cytometry analysis on  
135 PBMCs of OP1 and OP2 collected on day 11 and 12 PSO, respectively. Multi-color  
136 flow cytometry data showed no sign of severe immune suppression in both OP1 and  
137 OP2 who had similar frequencies of T lymphocyte without lymphocytopenia, stable  
138 conventional dendritic cell (cDC) : plasmacytoid dendritic cell (pDC) ratio and  
139 normal Myeloid-derived suppressor cells (MDSCs) to mild and healthy subjects as we  
140 described previously (**Figure S2**) (Zhou et al., 2020). For antigen-specific B cell  
141 activation, we measured the frequency of Spike-specific IgG<sup>+</sup> B cells in OP1 and OP2.  
142 The levels of 13.2% in OP1 and 2.31% in OP2 were relatively higher than mean 1.12%  
143 (range 0.004-7.92%) found among BNT162b2-vaccinees around their peak responses  
144 (**Figure 1E**). Unlike naturally infected COVID-19 patients, who display

145 predominantly tissue-like memory (TLM) B cell response (Woodruff et al., 2020),  
146 Spike-specific IgG<sup>+</sup> B cells from OP1 and OP2 exhibited the dominate phenotype of  
147 resting memory (RM) (**Figure 1F**), which was also found in our  
148 BNT162b2-vaccinees.

149

150 Besides Spike-specific IgG<sup>+</sup> B cell responses, we measured cross-reactive T cell  
151 responses to the Spike and nucleocapsid (NP) peptide pools derived from wildtype  
152 SARS-CoV-2 in OP1 and OP2 as compared with BNT162b2-vaccinees by  
153 intracellular cytokine staining. The cytomegalovirus (CMV) pp65 peptide pool was  
154 used as a positive control. We found that Spike- and NP-specific CD4 IFN- $\gamma$   
155 responses were 0.61% and 0.12% in OP1 and 0.15% and 0.10% in OP2, respectively  
156 (**Figure 1G**). Moreover, Spike- and NP-specific CD8 IFN- $\gamma$  responses were 0.56%  
157 and 0.11% in OP1 and 0.10% and 0.08% in OP2, respectively (**Figure 1G**). These  
158 results indicated that cross-reactive CD4 and CD8 T cell responses to wild type  
159 SARS-CoV-2 were primarily against the Spike as compared with NP. Moreover, the  
160 Spike-specific T cell responses were relatively higher in OP1 or comparable in OP2  
161 as compared with mean values in BNT162b2-vaccinees (CD4 T: mean 0.19% and  
162 CD8 T: mean 0.10%). Since much weaker or unmeasurable T cell responses were  
163 found in severe COVID-19 patients around the same period PSO (Rydzynski  
164 Moderbacher et al., 2020; Zhou et al., 2020), T cell responses in OP1 and OP2  
165 probably also contributed to disease progression control.

166

167 In this brief report, we provide timely communication on immune responses in two  
168 cases of vaccine-breakthrough infections by the SARS-CoV-2 Omicron variant in  
169 Hong Kong. Although antibody evasion has been clearly documented against  
170 Omicron due to 32 amino acid changes in viral spike protein (Cameroni et al., 2021;  
171 Cele et al., 2021; Planas et al., 2021a; Wang et al., 2021a), we report here that  
172 Omicron vaccine-breakthrough infections could elicit cross-reactive bNAb responses  
173 against all current SARS-CoV-2 VOCs. Since the amounts of bNAb responses were  
174 higher than the mean IC<sub>50</sub> values of in BNT162b2-vaccinees at their peak response  
175 period, we believe that the Omicron infection rapidly recruited the vaccine-induced  
176 memory immune responses during the acute phase of infection, which probably  
177 contributed to protection and was in line with the mild clinical presentation in both  
178 patients. Encouragingly, besides rapid bNAb responses, both spike- and NP-specific  
179 CD4 and CD8 T cells cross-reactive to wild type peptide pools were measurable on  
180 day 11-12, which probably also contributed to disease progression control (Lipsitch et  
181 al., 2020; Zhou et al., 2020).

182

183 Both OP1 and OP2 showed high amounts of bNAbs against the Omicron variant and  
184 other VOCs. According to the GASAID database, during the period from October 4,  
185 2021 to December 26, 2021, the relative variant genome frequency of the current  
186 circulating Delta variant has declined from 89% to 19.6% while the Omicron variant  
187 has increased from 0% to 67.4% in African countries. Besides insufficient vaccination  
188 coverage and preventive masking, high viral infectivity and antibody escape are likely  
189 the key reasons for the rapidity of Omicron spread. Based on *in vitro* experiments, the  
190 Omicron variant showed a 10-fold increase in infectivity than the Beta or Delta  
191 variants (Lu et al., 2021). Consistent with previous findings that the Beta variant  
192 compromised vaccine-induced neutralizing activity (Planas et al., 2021b; Wang et al.,  
193 2021a), similar findings have already been made for the Omicron variant with even  
194 worse antibody evasion (Cameroni et al., 2021; Cele et al., 2021; Planas et al., 2021a;  
195 Wang et al., 2021a). We also made similar findings that a significant drop of  
196 neutralizing activity against Omicron variant was observed among the convalescent  
197 patients and vaccine recipients (Lu et al., 2021; Wang et al., 2022). Since the Omicron  
198 variant caused a higher rate of vaccine-breakthrough infection and reinfection than the  
199 Delta variant (Espenhain et al., 2021), it is worrisome if such infections would lead to  
200 more severe sickness or death due to immune escape. In this study, we demonstrated  
201 that the Omicron breakthrough infection rapidly recruited vaccine-induced memory  
202 bNAbs and T cell immune responses, which very likely contributed to protection to  
203 both OP1 and OP2. Our finding is consistent with and provides a probable immune  
204 mechanism underlying a recent report that most Omicron patients had no signs of  
205 severe COVID-19 as compared with the Delta variant (Espenhain et al., 2021). Future  
206 studies, however, remain necessary to evaluate Omicron-specific T cell immunity for  
207 protection although there were no significant reductions in CD4 and CD8 T cell  
208 responses to the spike peptides-derived from Alpha and Delta spike variants (Jordan  
209 et al., 2021). Our findings, therefore, re-emphasize the importance of complete  
210 vaccination coverage among human populations especially in developing countries.  
211 Since similarly high amounts of bNAbs against both Omicron and other VOCs were  
212 detected in both OP1 and OP2, the rapid development of Omicron-based vaccine is a  
213 reasonable strategy for the booster vaccine optimization.

214

215 The major limitation of this study is the small number of vaccine-breakthrough  
216 infections by the SARS-CoV-2 Omicron variant found in Hong Kong. Some  
217 mutations in Omicron spike are shared with preexisting VOCs, such as D614G in all  
218 VOCs, K417N, E484K and N501Y in Beta variant, and T478K in Delta variant. The

219 E484K mutation in Beta variant has been reported for evasion of many NAbs under  
220 clinical development (Wang et al., 2021a). These mutations in combination with  
221 additional mutations have led to the striking antibody evasion manifested by the  
222 Omicron variant (Wang et al., 2021a). Nevertheless, our preliminary finding, that OP1  
223 and OP2 could generate bNAbs against all VOCs after infection, suggested that the  
224 Omicron-targeted vaccine might boost a broad protection among existing vaccinees  
225 against SARS-CoV-2 VOC infection. Since current vaccines showed weak effect on  
226 Omicron, our findings also implicate that the development of Omicron-targeted  
227 vaccines is urgent and beneficial to fight all current SARS-CoV-2 VOCs, especially  
228 when the increased infectivity of Omicron variant has been preliminarily reported *in*  
229 *vitro* (Lu et al., 2021).

230

## 231 **SUPPLEMENTAL INFORMATION**

232 2 supplemental figures.

233

## 234 **STAR METHODS**

### 235 **RESOURCE AVAILABILITY**

#### 236 **Lead Contact**

237 Further information and requests for resources and reagent should be directed to and  
238 will be fulfilled by the Lead Contact, Zhiwei Chen ([zchenai@hku.hk](mailto:zchenai@hku.hk)).

239

#### 240 **Materials Availability**

241 This study did not generate new unique reagents.

242

#### 243 **Data and Code Availability**

244 The study did not generate any unique datasets or codes.

245

## 246 **EXPERIMENTAL MODELS AND SUBJECT DETAILS**

247

#### 248 **Human subjects**

249 This study was approved by the Institutional Review Board of the University of Hong  
250 Kong/Hospital Authority Hong Kong West Cluster (Ref No. UW 21-452). Written  
251 informed consent was obtained from all study subjects. Peripheral blood mononuclear  
252 cells (PBMCs) from healthy donors and patients were isolated from fresh blood  
253 samples using Ficoll-Paque density gradient centrifugation in our BSL-3 laboratory at  
254 the same day of blood collection. The majority of purified PBMCs were used for  
255 immune cell phenotyping whereas plasma samples were subjected to antibody testing.

256 The rest of the cells were cryopreserved in freezing medium (Synth-a-Freeze  
257 Cryopreservation Medium, ThermoFisher Scientific) at  $5 \times 10^6$  cells/mL at  $-150^{\circ}\text{C}$ .

258

### 259 **Pseudotyped viral neutralization assay**

260 To determine the neutralizing activity of subject' plasma, plasma was inactivated at  
261  $56^{\circ}\text{C}$  for 30 min prior to a pseudotyped viral entry assay. In brief, different  
262 SARS-CoV-2 pseudotyped viruses were generated through co-transfection of 293T  
263 cells with 2 plasmids, pSARS-CoV-2 S and pNL4-3Luc\_Env\_Vpr, carrying the  
264 optimized SARS-CoV-2 S gene and a human immunodeficiency virus type 1  
265 backbone, respectively. At 48 h post-transfection, viral supernatant was collected and  
266 frozen at  $-150^{\circ}\text{C}$ . Serially diluted plasma samples (from 1:20 to 1:14580) were  
267 incubated with 200 TCID<sub>50</sub> of pseudovirus at  $37^{\circ}\text{C}$  for 1 h. The plasma-virus mixtures  
268 were then added into pre-seeded HEK293T-hACE2 cells. After 48 h, infected cells  
269 were lysed, and luciferase activity was measured using Luciferase Assay System kits  
270 (Promega) in a Victor3-1420 Multilabel Counter (PerkinElmer). The 50% inhibitory  
271 concentrations (IC<sub>50</sub>) of each plasma specimen were calculated to reflect  
272 anti-SARS-CoV-2 potency.

273

### 274 **Flow cytometry analysis**

275 For immune cell profile analysis, PBMCs were incubated for 10 min with Fc Block  
276 (BD Biosciences) in staining buffer (PBS containing 2% FBS) followed by staining  
277 with the indicated antibodies for 30 min at  $4^{\circ}\text{C}$ . For T cell responses, PBMCs were  
278 stimulated with 2  $\mu\text{g/mL}$  COVID-19 Spike or NP peptide pool (15-mer overlapping  
279 by 11) or CMV pp65 peptide pool in the presence of 0.5  $\mu\text{g/mL}$  anti-CD28 and  
280 anti-CD49d mAbs (BD Bioscience). Cells were incubated at  $37^{\circ}\text{C}$  overnight and BFA  
281 was added at 2 h post incubation, as previously described (Li et al., 2008a). After  
282 overnight incubation, cells were washed with staining buffer (PBS containing 2%  
283 FBS) and stained with mAbs against surface markers. For intracellular staining, cells  
284 were fixed and permeabilized with BD Cytofix/Cytoperm (BD Biosciences) prior to  
285 staining with the mAbs against cytokines with Pern/Wash buffer (BD Biosciences).  
286 Stained cells were acquired by FACS AriaIII Flow Cytometer (BD Biosciences) inside  
287 a BSL-3 laboratory and analyzed with FlowJo software (v10.6) (BD Bioscience).

288

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300 Zhang for the Delta variant plasmid.

301

## 302 **AUTHOR CONTRIBUTIONS**

303 Z.C. and R.Z. conceived and designed the study. R.Z. and Z.C. designed experiments,  
304 analyzed data, and wrote the manuscript. R.Z., H.H., and N.L. performed the flow  
305 cytometry analysis. K.K.-W.T., J.M.-C.C., B.H.-S.L., V.W.-M.C. and O.T.-Y.T.  
306 collected clinical samples and data. Q.P., D.Y. and K.-K.A conducted the pseudoviral  
307 neutralization assay. J.-P.C. provided technique support. K.-Y.Y. provided critical  
308 comments.

309

## 310 **DECLARATION OF INTERESTS**

311 The authors declare no competing interests.

312

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405

406 **Figure legend**

407 **Figure 1. Cross-reactive immune responses elicited by vaccine-breakthrough**  
408 **infection of the SARS-CoV-2 Omicron variant.** (A) Characterization of 2 Omicron  
409 patients and 34 BNT162b2-vaccinees. (B) Neutralizing antibody titers among the  
410 BNT162b2-vaccinees (grey) (n=34) and two Omicron patients (OP1: red and OP2: blue)  
411 at the peak response time. Neutralizing antibody titers represent serum dilution  
412 required to achieve 50% virus neutralization (IC<sub>50</sub>). The numbers indicate the fold of  
413 enhancement of IC<sub>50</sub> values relative to mean titer measured among  
414 BNT162b2-vaccinees. (C) Fold-change of mean IC<sub>50</sub> values relative to the  
415 SARS-CoV-2 D614G strain among the BNT162b2-vaccinees. (D) Longitudinal  
416 neutralizing antibody titers (IC<sub>50</sub>) of OP1 and OP2 against the full panel of VOCs. Each  
417 symbol with color-coding represents an individual VOC. (E) The gating strategy for  
418 SARS-CoV-2 Spike-specific B cells by flow cytometry. AF488 and AF647 double  
419 positive cells were defined as Spike-specific cells. Representative plots (left) and  
420 quantified results (right) are shown. (F) Phenotypes of Spike-specific B cells were  
421 defined by using CD21 and CD27 markers (left). Pie chart showed the proportion of  
422 activated (AM), tissue-like memory (TLM), intermediate memory (IM) and  
423 resting-memory (RM) B cells. (G) PBMCs were subjected to the ICS assay against  
424 Spike or NP or CMV peptide pools. IFN- $\gamma$ <sup>+</sup> cells were gated on CD4 and CD8 T cells,  
425 respectively (left). Quantified results (right) depict the percentage of IFN- $\gamma$ <sup>+</sup> cells.

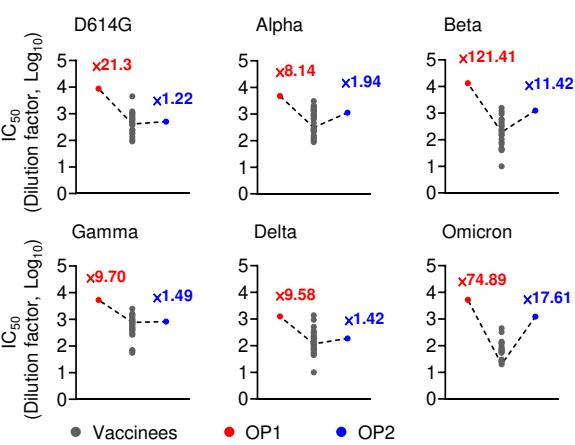
**A**

Subject characterization

	OP1	OP2	Vaccinees (n=34)
Age, median years (IQR)	62	37	30.5 (26.8-35.3)
Gender, male (%)	100%	100%	16 (47.1%)
Vaccination	BNT162b2	mRNA-1273	BNT162b2
The median interval days between the full vaccination and the first blood collection (IQR)	178	53	30 (22-32)
The median intervals days between full vaccination and symptom onset	178	54	Not applied

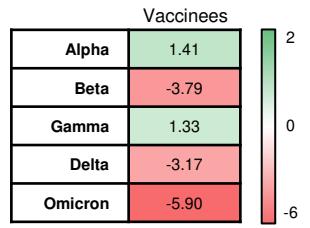
IQR: interquartile range

**B**

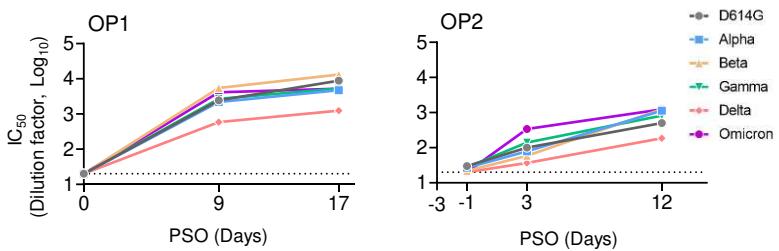


**C**

Fold change of IC<sub>50</sub> relative to D614G

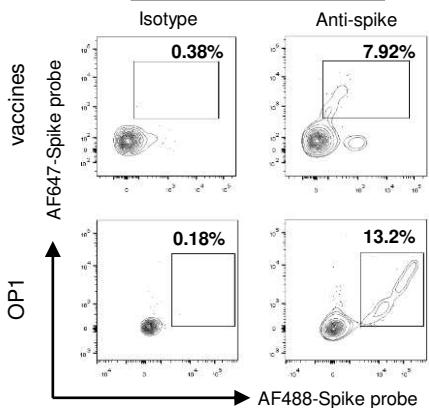


**D**



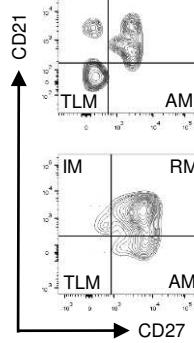
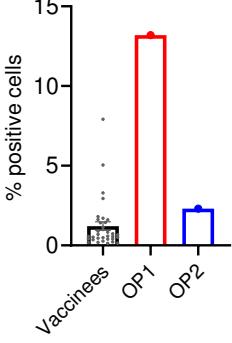
**E**

Gated on IgG<sup>+</sup> B cells



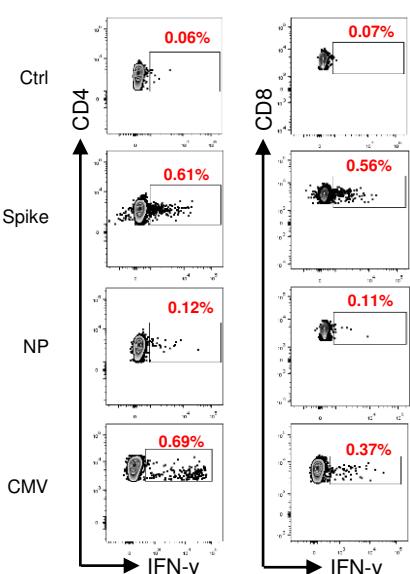
**F**

Gated on Spike<sup>+</sup> cells



**G**

OP1



OP2

