

1 **Empagliflozin in the treatment of heart failure and type 2**
2 **diabetes mellitus: Evidence from several large clinical trials**

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12 **Abstract**

13 Heart failure coexists with type 2 diabetes mellitus, which seriously affects the clinical
14 treatment and prognosis. At present, the treatment for patients with established heart
15 failure and type 2 diabetes mellitus is usually combined with two treatment strategies
16 for heart failure and type 2 diabetes mellitus. Recently, increasing studies showed that
17 empagliflozin, a sodium-glucose co-transporter-2 inhibitor, has a positive effect on the
18 treatment of patients with established heart failure and type 2 diabetes mellitus. Here,
19 we summarize the latest and current understanding of the management for patients with
20 established heart failure and type 2 diabetes mellitus and further present contemporary
21 treatment options, sodium-glucose co-transporter-2 inhibitor, for these particular
22 populations.

23 **Keywords:** empagliflozin; SGLT2i; heart failure; type 2 diabetes mellitus

24 **Background**

25 Heart failure (HF) and type 2 diabetes mellitus (T2DM) are common medical diseases[1,
26 2], especially among the elderly. Two diseases are usually diagnosed in the same patient
27 at the same time, which undoubtedly increases the difficulty of clinical management
28 and worsens the prognosis of patients[3, 4]. The clinical condition of patients with
29 T2DM complicated with HF, both HF with reduced ejection fraction (HFrEF) and HF
30 with preserved ejection fraction (HFpEF), is worse than that of patients with HF without
31 T2DM, and all-cause mortality and cardiovascular mortality are higher[5-7]. In another
32 word, T2DM exacerbates the prognosis of HF. Moreover, studies show that HF is an
33 independent predictor of clinical prognosis, whether fatal or nonfatal, in diabetic
34 patients[8-11]. The interaction between HF and T2DM makes the prognosis of patients
35 more unsatisfactory.

36 When a patient is diagnosed with HF and T2DM at the same time, our current
37 understanding is that, in general, all HF treatments are similarly effective irrespective
38 of T2DM. In recent years, many hypoglycemic drugs, such as sodium-glucose co-
39 transporter-2 inhibitors (SGLT-2is), have emerged in the treatment of HF. Although the
40 potential benefits and risks of SGLT-2is are unclear[12], SGLT-2is significantly reduce
41 cardiovascular events, including hospitalization for HF (HHF) and all-cause
42 hospitalization or death[13-17]. Scandinavian register-based cohort study indicated that
43 SGLT-2i lowers HF risk compared with dipeptidyl peptidase-4 inhibitor[18], another
44 glucose-lowering drug. This benefit from SGLT-2i may contribute to the upregulation
45 of the renin-angiotensin-aldosterone system[19]. Empagliflozin, an SGLT2i,
46 significantly reduces HHF in patients with established cardiovascular disease or at risk
47 of cardiovascular disease and improves cardiac function in HFrEF independent of
48 loading conditions[20]. The latest guideline recommended that empagliflozin should be
49 considered in patients with T2DM and either established cardiovascular disease or at
50 high cardiovascular risk to delay or prevent the onset of HF or prolong life[21]. A meta-
51 analysis also indicated that compared with placebo, empagliflozin reduced all-cause
52 and cardiovascular mortality independent of baseline risk[22]. Of note, few trials

53 supported the recommendation where the presence of HF at baseline well-characterized
54 or phenotyped, indicating that evidence supporting empagliflozin for patients with HF
55 and T2DM is still insufficient. Here, we critically review and distill contemporary
56 evidence of empagliflozin for treating established HF and T2DM, with a view to
57 provide a more systematic, comprehensive and rational understanding of this treatment
58 option.

59 **EMPA-REG OUTCOME**

60 The EMPA-REG OUTCOME trial was conducted to assess the effect of empagliflozin
61 on cardiovascular events in adults with T2DM at high cardiovascular risk[23]. The
62 investigators also set different doses of empagliflozin and placebo. The primary
63 outcome was cardiovascular mortality, nonfatal myocardial infarction, or nonfatal
64 stroke, and the key secondary composite outcome was the primary outcome plus
65 hospitalization for unstable angina. After a median observation time of 3.1 years,
66 patients in the empagliflozin group had 13.56% and 10.44% reduction in the primary
67 outcome and the key secondary composite outcome, respectively, compared with those
68 in the placebo group. Moreover, empagliflozin significantly lowers HHF,
69 cardiovascular mortality, and all-cause mortality than placebo, whereas reduces
70 nonfatal myocardial infarction and nonfatal stroke with no significance to placebo.
71 Furthermore, the effects of different empagliflozin doses were insignificant. In short,
72 the EMPA-REG OUTCOME trial demonstrated that empagliflozin reduces HHF risk
73 by 35% on top of the standard of care in patients with T2DM and established
74 cardiovascular disease[24]. The post hoc evaluation showed that the changes in
75 haematocrit and haemoglobin were the most important mediators of the reduction in
76 HHF and death from HF[25].

77 **EMPRISE**

78 The EMPRISE study program used real-world data from three databases in the USA to
79 evaluate the effectiveness, safety, and impact on healthcare utilization of
80 empagliflozin[26]. The interim analysis of EMPRISE evaluated the impact of

81 empagliflozin on HHF and compared it with sitagliptin, a dipeptidyl peptidase-4
82 inhibitor, which has proven to have a neutral impact on HHF[27]. After propensity-
83 score matching, there were 16443 patients left in both groups from EMPRISE. Only
84 approximately 5% had records of existing HF. Over a mean follow-up of 5.3 months,
85 the initiation of empagliflozin decreased HHF-specific risk, defined as discharge
86 diagnosis of HF in the primary position, by 50%, and HHF-broad risk, defined as
87 discharge diagnosis of HF in any position, by 49%, compared with the initiation of
88 sitagliptin. Results of HHF-broad risk were consistent in patients with and without HF
89 history[26]. It should be noted that in the outcome analysis, due to a small change in
90 the definition of HF history, the number of patients with HF history in empagliflozin
91 and sitagliptin increased by 132% and 119%, respectively, which indicates that some
92 patients who did not suffer from HF at baseline developed HF during the follow-up.

93 **EMPA-TROPISM**

94 The EMPA-TROPISM trial, a randomized, double-blind, parallel-group, placebo-
95 controlled, trial, compared the efficacy of and safety of empagliflozin in non-diabetic
96 HFrEF (below 50%) patients[28]. Empagliflozin significantly improved left ventricular
97 end-diastolic and end-systolic volumes decreased left ventricular mass, increased left
98 ventricular ejection fraction, enhanced functional capacity as per peak O₂ consumption
99 oxygen uptake efficiency slope, and 6-min walk test, and improved quality of life as
100 per the Kansas City Cardiomyopathy Questionnaire-12 when compared with
101 placebo[29]. EMPA-TROPISM also demonstrated that empagliflozin regresses left
102 ventricular interstitial fibrosis, improves aortic stiffness, regresses epicardial adipose
103 tissue, and exerts an anti-inflammatory effect[30], which provides a new clue for the
104 mechanism of empagliflozin. Of the utmost importance, the favorable reversal of left
105 ventricular remodeling by empagliflozin has also been verified in SUGAR-DM-HF in
106 patients with HFrEF ($\leq 40\%$) and T2DM or prediabetes [31] and Empire HF in both
107 diabetic and non-diabetic HFrEF (below 40%) patients[32].

108 **EMPEROR-Reduced**

109 The EMPEROR-Reduced trial can well determine whether empagliflozin can
110 significantly increase the clinical benefit of HFpEF patients[33]. EMPEROR-Reduced
111 included 3730 HFpEF patients with or without T2DM, 1863 in the empagliflozin group
112 and 1867 in the placebo group, and empagliflozin significantly lowered HHF by 28%
113 and cardiovascular mortality by 7% than placebo, regardless of combining T2DM or
114 not[34].

115 **EMPEROR-Preserved**

116 The EMPEROR-Preserved trial enrolled 5988 patients with HFpEF, with and without
117 T2DM. The primary outcome was HHF or cardiovascular mortality. The results
118 indicated that empagliflozin reduced HHF by 27.12% and cardiovascular mortality by
119 10.98%[35]. What's more, EMPEROR-Preserved will drive the evolution of HFpEF
120 through a series of biomarkers that reflect important pathophysiological mechanisms of
121 HFpEF, and thus highlight more therapeutic options in HFpEF.

122 **Discussion**

123 EMPA-REG OUTCOME, EMPRISE, and EMPEROR-Reduced all showed that
124 empagliflozin reduces the risk of HHF among specific individuals (Table 1).
125 Nevertheless, these patients included in the trials did not have an established HF
126 combined with T2DM or the degree of HF combined with T2DM was low at baseline,
127 indicating the evidence of the clinical benefits of empagliflozin on HF patients
128 combined with T2DM are still not sufficient, therefore, long-term clinical exploration
129 including both HF with T2DM patients is needed.

130 At present, the evidence for empagliflozin in the treatment of HFpEF is still sparse[36].
131 The prevalence of HFpEF increases with age[37]. The increased risk of HHF might be
132 explained by the occurrence of multiple comorbidities in older adults with HFpEF[38].
133 However, EMPEROR-Preserved did not include the total comorbidity burden as a
134 covariate in their analysis[39]. A prospective study was designed to assess the cognitive
135 and physical function in consecutive frail older adults with diabetes and HFpEF,

136 indicating empagliflozin improved Montreal cognitive assessment scores and physical
137 impairment assessed by the 5-m gait speed test[40]. EMPEROR-Preserved also
138 confirmed that health status, as measured by the Kansas City Cardiomyopathy
139 Questionnaire, improved at all time points when assessed (3, 8, and 12 months) for all
140 domains (total symptom score, clinical summary score, and overall summary score[41].
141 Despite this, the benefits of empagliflozin were observed early and consistently. The
142 nominal statistical significance was achieved for separation between the empagliflozin
143 and the placebo arms by day 18 for time to cardiovascular death or HHF, and this
144 significance was sustained from there to the trial period[42]. A similar pattern of early
145 and sustained benefit was seen for health-related quality of life scores, the Kansas City
146 Cardiomyopathy Questionnaire (total symptom score, clinical summary score, and
147 overall summary score), and New York Heart Association functional class as well[43].
148 Similarly, in EMPA-REG OUTCOME, the benefit of empagliflozin in reducing the risk
149 of HHF and cardiovascular death emerged within weeks after treatment initiation[44].
150 The simplest explanation for such fast and short-term effects of empagliflozin in
151 HFpEF is its diuretic effect[45]. However, the diuretic effect of empagliflozin is
152 different from loop diuretics in that empagliflozin caused a significant increase in 24-
153 hour urine volume without an increase in urinary sodium and electrolyte-free water
154 clearance[46] and a significant decrease in estimated plasma volume calculated by the
155 Straus formula and estimated the extracellular volume determined by the body surface
156 area[47]. A pooled analysis of both the EMPEROR-Reduced and EMPEROR-
157 Preserved trials indicated that the magnitude of the effect of empagliflozin on heart
158 failure outcomes and health status was similar in patients with ejection fractions < 25%
159 to < 65%, but it was attenuated in patients with an ejection fraction \geq 65%[48], which
160 may herald the recognition of a new phenotype characterized by supra-normal left
161 ventricular ejection fraction[49].
162 In addition to reducing HHF to a certain extent, empagliflozin also has a certain impact
163 on a series of biomarkers that may consider vital roles in the gradual development of
164 HF[50]. Serum adipocyte fatty acid-binding protein levels were significantly higher in

165 participants with T2DM without a known history of cardiovascular diseases or HHF
166 who developed HHF than those who did not, and empagliflozin reduced the serum
167 adipocyte fatty acid-binding protein levels[51]. The exploratory analysis of EMPA-
168 REG OUTCOME laid the foundation for long-term and short-term benefits of
169 empagliflozin on urinary albumin excretion, regardless of the albuminuria status at
170 baseline[52]. EMBLEM was completed in Japan to explore the effect of empagliflozin
171 on endothelial function in patients with T2DM and established cardiovascular
172 disease[53]. After 24 weeks of intervention, empagliflozin significantly improved
173 glycemic control and reduced body mass index. As for reactive hyperemia peripheral
174 arterial tonometry index, which was used to assess the effects of treatment on
175 endothelial function, there was no significant difference in the changes between
176 empagliflozin and placebo[54]. This Empire HF Biomarker substudy from Empire HF
177 showed that empagliflozin increased plasma growth differentiation factor-15, where the
178 increase was inversely associated with a decrease in left ventricular end-systolic and
179 end-diastolic volume, with no concomitant increase in plasma high-sensitive C-reactive
180 protein nor high-sensitive troponin T compared to placebo[55]. Moreover, Empire HF
181 investigated that empagliflozin did not change N-terminal pro-B-type natriuretic
182 peptide in low-risk patients with HFrEF with mild symptoms after 12 weeks[56].
183 Paradoxically, we notice that empagliflozin could significantly reduce N-terminal pro-
184 B-type natriuretic peptide in EMPEROR-Reduced[34]. Considering the longer follow-
185 up time of EMPEROR-Reduced (16 months), this may be one of the reasons for the
186 inconsistent results. Another ongoing EMMYtrial may provide us with more
187 information[57].

188 Numerous pathophysiological pathways contribute to the cardiovascular effects of
189 empagliflozin[58] (Figure 1). The SIMPLE trial investigated the effects of
190 empagliflozin on myocardial flow reserve reflecting microvascular perfusion among
191 patients with T2DM at high cardiovascular disease risk and found that empagliflozin
192 did not improve myocardial flow reserve[59]. Empagliflozin demonstrates direct
193 cardiac effects by lowering myocardial cytoplasmic Na^+ and Ca^{2+} and enhancing

194 mitochondrial Ca^{2+} , through impairment of myocardial Na^+/H^+ exchanger flux[60].
195 Cardiac metabolism is a complex network composed of many pathways, which is
196 responsible for providing sufficient ATP to continuously contracting organs[61].
197 Empagliflozin induces a cardiac metabolic shift away from the glucose-inefficient
198 myocardial utilization toward the consumption of fatty acids and ketone bodies[62],
199 which improves energetics. This enhanced ATP production explains the improvement
200 in left ventricular systolic and diastolic function[63, 64]. In a longitudinal cohort study,
201 empagliflozin significantly improved the phosphocreatine-to-ATP ratio accompanied
202 by a 7% absolute increase in the mean left ventricular ejection fraction, 3% absolute
203 increase in the mean global longitudinal strain, 8 mL/m² absolute reduction in the mean
204 myocardial cell volume, and 61% relative reduction in the mean plasma N-terminal
205 prohormone B-type natriuretic peptide[65]. Empagliflozin mitigates sympathetic
206 overdrive because it reduces plasma metanephrine level (the catabolite of
207 epinephrine)[63] and also stabilizes heart rate variability and improves heart rate
208 turbulence (a surrogate marker of sudden cardiac death)[66]. Empagliflozin induces a
209 diuretic and natriuretic effect that is more intense in the acute phase[67], which might
210 explain the improved pulmonary congestion and the lower filling pressures[68].
211 However, this diuretic effect only partially explains the benefits of empagliflozin
212 because it is attenuated in the chronic phase[46], and the efficacy of empagliflozin is
213 present both in patients with and without diuretics[69]. Furthermore, empagliflozin
214 induces an anti-inflammatory effect with inhibition of the inflammasome[70] and
215 polarization of the macrophages away from the pro-inflammatory M1 phenotype
216 towards the anti-inflammatory M2 phenotype[71], and anti-fibrosis effect via inhibiting
217 the TGF- β 1/Smad3 pathway[72]. Empagliflozin also improves the function of vascular
218 endothelial cells, suppresses oxidative stress, inhibits inflammation, and regulates
219 autophagy[73]. In a multicenter study, SGLT-2is significantly reduced the
220 inflammatory burden and ameliorated clinical outcomes in T2DM patients at 5 years of
221 follow-up post-coronary artery bypass grafting via minimally invasive extracorporeal
222 circulation[74]. In addition, empagliflozin had reno-protective effects, even in patients

223 with acute myocardial infarction[75].
224 Moreover, the nephroprotective effect of empagliflozin is also important in patients
225 with HF and T2DM. In patients with T2DM at high cardiovascular risk, EMPA-REG
226 OUTCOME indicated that empagliflozin was associated with slower progression of
227 kidney disease and lower rates of clinically relevant renal events than placebo when
228 added to standard care[76]. Additionally, patients in the empagliflozin group had a
229 better estimated glomerular filtration rate mean slope change per year than those in the
230 placebo group[35], the reduction in intraglomerular pressure of empagliflozin may
231 contribute to the long-term preservation of kidney function[77]. EMPA-KIDNEY,
232 another large, prospective, placebo-controlled trial, will provide more information
233 about whether empagliflozin can reduce the risk of cardiorenal prognosis in patients
234 with chronic kidney disease[78]. As we mentioned before, in patients with HF
235 combined with T2DM, there are other complications, such as hypertension, atrial
236 fibrillation, coronary artery disease, and chronic kidney disease, and the use of drugs is
237 more cumbersome. At present, our understanding of the interaction between different
238 drugs is still very shallow, which is an unavoidable issue in the clinical management of
239 this special group. In future clinical trials, we may need to focus on this issue.

240 **Conclusion**

241 We critically review several large clinical trials about empagliflozin, however,
242 empagliflozin was not originally developed for HF and T2DM, the inclusion population
243 is not particularly targeted in these trials, any recommendation for the treatment of
244 established HF and T2DM will be necessarily cautious. Additionally, well-designed
245 clinical trials with long follow-ups may provide us with more valuable information.

246 **Declarations**

247 **Ethics approval and consent to participate**

248 Not applicable.

249 **Consent for publication**

250 Not applicable.

251 **Availability of data and materials**

252 Not applicable.

253 **Competing interests**

254 The authors declare that they have no competing interests.

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260 **Authors' contributions**

261 BL and NG conceived, designed, or planned the idea. All authors collected and read the
262 literature. BL drafted the manuscript. NG revised the manuscript. All authors read and
263 approved the final manuscript.

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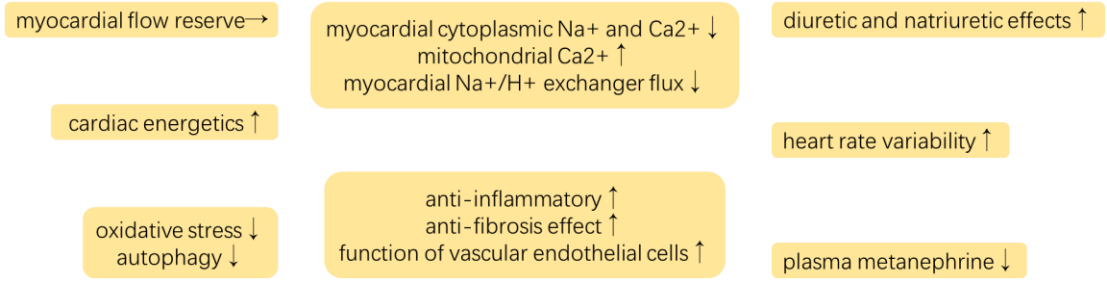
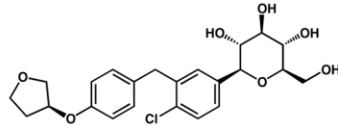
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Table 1. Summary of main trials

	EMPA-REG OUTCOME (N = 7020)[24]	EMPRISE (N = 32886)[26]	EMPA-TROPISM (N = 84)[29]	EMPEROR-Reduced (N = 3730)[34]	EMPEROR-Preserved (N = 5750)[35]
Patients	T2DM at high cardiovascular risk	T2DM	Nondiabetic HFrEF	HFrEF with or without T2DM	HFpEF with and without T2DM
Intervention	Empagliflozin (10 or 25 mg once daily)	Empagliflozin (10 or 25 mg once daily)	Empagliflozin (10 mg once daily)	Empagliflozin (10 mg once daily)	Empagliflozin (10 mg once daily)
Comparison	Placebo	Sitagliptin	Placebo	Placebo	Placebo
Outcomes	Death from cardiovascular causes, nonfatal myocardial infarction, or nonfatal stroke. The key secondary outcome was a composite of the primary outcome plus hospitalization for unstable angina.	HHF.	The primary endpoint was change in left ventricular end-diastolic and systolic volume assessed by cardiac magnetic resonance. Secondary endpoints included changes in LV left ventricular mass, left ventricular ejection fraction, peak oxygen consumption in the cardiopulmonary exercise test, 6-min walk test, and quality of life.	A composite of cardiovascular death or HHF.	The primary endpoint is the time-to-first-event analysis of the combined risk for cardiovascular death or HHF. The trial also evaluates the effects of empagliflozin on renal function, cardiovascular death, all-cause mortality and recurrent hospitalization events.
Design	Randomized, double-blind, placebo-controlled trial	First interim analysis	Randomized, double-blind, parallel-group, placebo-controlled, trial	International, multicenter, randomized, double-blind, parallel-group, placebo-controlled, event-driven trial	International, multicenter, randomized, double-blind, parallel-group, placebo-controlled trial
Follow-up	3.1 years	5.3 months	6 months	16 months	26.2 months
Conclusions	Patients with T2DM at high	Compared with sitagliptin,	Empagliflozin administration to nondiabetic	Empagliflozin group	Empagliflozin reduced the

	<p>risk for cardiovascular events who received empagliflozin had a lower rate of the primary composite cardiovascular outcome and of death from any cause.</p>	<p>empagliflozin was associated with a decreased risk of HHF among patients with T2DM with and without a history of cardiovascular disease.</p>	<p>HFrEF patients significantly improves left ventricular volumes, left ventricular mass, left ventricular systolic function, functional capacity, and quality of life when compared with placebo.</p>	<p>had a lower risk of cardiovascular death or HHF regardless of the presence or absence of T2DM.</p>	<p>combined risk of cardiovascular death or HHF in patients with HFpEF, regardless of the presence or absence of diabetes.</p>
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↑ Improved, → Not changed, ↓ Decreased

Figure 1. Cartoon depicting the mechanism of action of empagliflozin and the beneficial effects of on the cardiovascular system.