

regimen was applied to previously untreated patients with NSCLC, the response rate was high, at 29–46% [1, 3, 4, 8, 15, 18]. When a combination of PTX (administered every 3 weeks) and GEM was used for second-line chemotherapy, the response rate was either 18 or 39% [2, 14].

Weekly chemotherapy for lung cancer has recently been attempted at several facilities [3, 9]. Favorable results of weekly chemotherapy have also been reported for recurrent NSCLC [5, 16, 26, 28]. Compared to standard regimens of chemotherapy, with administration of drugs at intervals of 3–4 weeks, weekly chemotherapy has certain advantages. For example, the single dose level of anti-cancer drugs can be reduced with weekly chemotherapy, and the dose level can be adjusted after the start of treatment depending on signs of hematological toxicity of the drugs or the general condition of individual patients. In comparison with treatment at intervals of 3–4 weeks, weekly chemotherapy was of equal efficacy but had fewer side effects [3]. Weekly chemotherapy is thus a promising means of treating cases of recurrent NSCLC in which bone marrow function has been compromised by first-line chemotherapy.

The present study was undertaken to evaluate the effectiveness and safety of weekly chemotherapy using a combination of PTX and GEM in cases of advanced NSCLC in which tumor had recurred or relapsed after platinum-based first-line chemotherapy or platinum-based first-line chemotherapy had failed to exert efficacy.

Patients and methods

Patient selection

Patients were required to have histologically or cytologically confirmed non-resectable or metastatic NSCLC that had progressed during or after one or more chemotherapy regimens. The trial was initiated after a rest period of at least 4 weeks following previous chemotherapy (2 weeks in the case of radiotherapy). Patients were required to have recovered completely from prior therapy, and to have no ongoing toxicity greater than grade 1. Other eligibility criteria were as follows: measurable lesions; life expectancy of at least 12 weeks; Eastern Cooperative Oncology Group (ECOG) performance status ≤ 2 ; adequate bone marrow reserve (defined as absolute granulocyte count $\geq 2,000/\text{ml}$ and platelet count $\geq 100,000/\text{ml}$); adequate hepatic and renal function (defined as serum creatinine level $\leq 2 \text{ mg/dl}$, AST and ALT ≤ 1.5 times

the upper limit of normal, and bilirubin $\leq 1.5 \text{ mg/dl}$). Exclusion criteria included pre-existing motor or sensory neurological signs or symptoms \geq grade 2 (Common Terminology Criteria for Adverse Events version 3.0) and active infections. Asymptomatic treated or untreated patients with brain metastases were not excluded from the study. The Ethics Committee of the Tochigi Cancer Center approved the study protocols. Written informed consent was obtained from every patient stating that the patient was aware of the investigational nature of this treatment regimen.

Treatment

Paclitaxel was administered at a dose of 100 mg/m^2 intravenously during a 1-h infusion on days 1 and 8 of the treatment cycle. Gemcitabine was administered at a dose of $1,000 \text{ mg/m}^2$ intravenously during a 30-min infusion on days 1 and 8 of the treatment cycle. Prior to each treatment, patients were given diphenhydramine 50 mg orally, and an H2 blocker intravenously along with dexamethasone 16 mg 30 min before PTX administration. Granisetron 3 mg was administered intravenously as an antiemetic. The length of each chemotherapy cycle was 21 days. Patients who experienced grade 4 leukopenia or neutropenia that lasted for 3 or more days, or who experienced grade 4 thrombocytopenia or reversible grade 2 neurotoxicity or liver dysfunction, received reduced doses of both PTX and GEM (PTX 80 mg/m^2 , GEM 800 mg/m^2) for the next cycle. If non-hematological toxicities of grade 3 or higher occurred, treatment was stopped. Subsequent courses of chemotherapy were started after 3 weeks when the leukocyte count was $3,000/\text{mm}^3$ or more, the neutrophil count was $1,500/\text{mm}^3$ or more, the platelet count was $75,000/\text{mm}^3$ or more, serum creatinine were less than 1.5 mg/dl , GOT and GPT were less than twice the upper limit of the normal range, and neurotoxicity was grade 1 or less. If these variables did not return to adequate levels by the first day of the next course of chemotherapy, treatment was withheld until full recovery. If more than 6 weeks passed from the time of the last treatment before these criteria were met or if change in treatment more significant than reduction of dose was indicated, the patient was removed from the study at that time, but still included in the analysis of its results.

Evaluation of responses and toxicity

Pretreatment evaluation included medical history, physical examination, complete blood count, bone marrow examination, serum biochemical analyses,

chest roentgenogram, electrocardiogram, and urinalysis. All patients underwent radionuclide bone scan, magnetic resonance or computerized tomography (CT) of the brain, and CT of the thorax and abdomen. Complete blood count, biochemical tests, serum electrolytes, urinalysis, and chest roentgenograms were obtained before patients received chemotherapy.

Responses and toxicity were evaluated on the basis of tumor images obtained by CT and other techniques, laboratory data, and subjective/objective symptoms and signs before, during, and after administration of the study drugs and during the period from completion of treatment to final analysis. Measurable disease parameters were determined every 4 weeks by various means such as computerized tomography. Evaluation was performed in compliance with the Response Evaluation Criteria in Solid Tumors (RECIST) Guidelines for antitumor activity and with Common Terminology Criteria for Adverse Events version 3.0 for safety. Patients were withdrawn from the study if evidence of tumor progression was obtained. The Institutional Ethical Review Committee gave approval to the study.

The primary endpoint of the study was the response rate. Simon's two-stage optimum design was used to determine sample size and decision criteria. It was assumed that a response rate of 30% among eligible patients would indicate potential usefulness while a rate of 10% would be the lower limit of interest, with $\alpha = 0.05$ and $\beta = 0.10$. Using these design parameters, the first stage of the study was initially to enroll 18 patients, and this regimen was to be rejected if fewer than two patients had an objective response. If two or more patients responded, accrual was to be continued to 36 patients. Considering the percentage of probable dropout cases, 40 patients were required. Secondary endpoints were toxicity and overall survival. Response and survival rates were both calculated on an intent-to-treat basis. Overall survival and time to progression were measured from the start of this treatment up to the time of death or up to the date of the last follow-up clinical assessment. Survival curves were constructed using the Kaplan–Meier method.

Results

Patient characteristics

Forty patients were enrolled in this study from October 2000 to July 2003. All patients were assessable for toxicity, response, and survival. Characteristics of the 40 patients are listed in Table 1. All 40 patients had

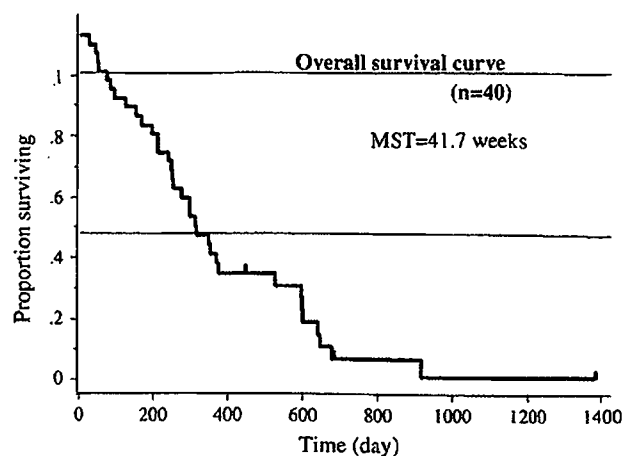


Fig. 1 Kaplan–Meier estimated overall survival curves. Median survival time, 41.7 weeks; 1-year survival rate, 38%

received a prior platinum-based chemotherapy regimen (Table 1). Two of these patients had received more than one chemotherapy regimen. All 40 patients were eligible for toxicity assessment. Four patients had received prior chemotherapy in the neoadjuvant setting. Of the 40 patients, 15 had initially responded to platinum-based therapy, 24 patients had achieved stable disease (SD), and one had progressive disease (PD).

Efficacy of treatment

The mean number of cycles administered per patient was 4, and number of cycles ranged from one to twelve. Three patients required reduction of dose due to neutropenia and thrombocytopenia. Thirteen patients exhibited partial response (PR). Overall response rate was 32.5% (13/40) [95% confidence interval (CI): 18–47%]. SD was achieved in 26 patients (65%), and one (2%) achieved PD. All 40 patients were included in the survival analysis, with a median follow-up time of 82.9 weeks (range 56–263 weeks). The overall median survival time was 41.7 weeks (95% CI: 28.5–54.7 weeks). The 1-year survival rate was 37.5% (15/40) (Fig. 1). The median time to disease progression was 19 weeks.

Toxicities (Table 2)

Table 2 lists toxicities observed during this study. Hematological toxicities included high incidences of leukopenia and neutropenia, with leukopenia and neutropenia of grade 3 or higher occurring in 45 and 60% of patients, respectively. Anemia and thrombocytopenia of grade 3 or higher occurred in 15 and 12.5% of patients, respectively. Non-hematological toxicities

Table 1 Patient characteristics

Eligible patients	40
Gender	
Male	27
Female	13
Age (years)	
Median	59
Range	33–75
Performance status	
0	7
1	27
2	6
Histology	
Adenocarcinoma	30
Squamous cell	8
Large cell	2
Stage III	10
Stage IV	30
Number of metastatic sites	
Median	2
Range	0–3
Location of metastases	
Bone	13
Lung nodules	12
Brain	10
Lymph nodes	7
Liver	5
Adrenals	3
Subcutaneous	1
Prior surgery	4
Prior irradiation	15
Lung only	9
Brain only	4
Lung and bone	2
Prior chemotherapy	40
Cisplatin/vinorelbine	32
Cisplatin/docetaxel	5
Cisplatin/irinotecan	3
Response to prior chemotherapy	
Partial response	15
Stable disease	24
Progressive disease	1

observed included grade 3 pneumonitis in one patient, who exhibited rapid recovery following administration of steroids, grade 3 diarrhea in one, and grade 3 rash in one. Other non-hematological toxicities observed were of grade 2 or less and included nausea in 47.5%, vomiting in 20%, alopecia in 45%, sensory neuropathy in 35%, and fatigue in 32.5% of patients. All of these toxicities disappeared or were improved by symptomatic treatment. There were no deaths due to toxicity.

Discussion

Although a standard regimen of chemotherapy for recurrent NSCLC is being established, it is still important to determine how the outcome of treatment of this cancer

can be improved [13, 23, 24]. At this point, the results of large-scale phase III clinical trials indicate single-agent chemotherapy with docetaxel, erlotinib, or pemetrexed as the standard chemotherapy regimen for recurrent NSCLC. In recent years, however, many reports have been published investigating two-drug combined therapy rather than single-agent therapy for recurrent NSCLC, with the objective of further improving therapeutic outcomes [2, 5, 7, 11–14, 20–26, 28].

A large number of reports have been published concerning salvage chemotherapy for recurrent NSCLC. Platinum-based chemotherapy is now used as the first-line chemotherapy at most medical facilities. Reports on second-line chemotherapy for NSCLC published to date have principally concerned uncombined drug therapy or two-drug combined therapy using non-platinum preparations [2, 5, 7, 11, 12, 14, 16, 17, 20–22, 25, 26, 28]. At several facilities, weekly administration chemotherapy has been adopted [5, 16, 26, 28]. Weekly-administration chemotherapy allows single dose levels to be reduced, thus making it possible to adjust the dose levels of anti-cancer agents after the start of treatment depending on adverse reactions or the general condition of individual patients.

Table 3 summarizes the results of two-drug combined therapy for recurrent NSCLC using non-platinum preparations [2, 6, 9, 10, 14, 19, 27]. The studies shown in this table were phase I-II in the case of that reported by Iaffaioli [14], phase III in that by Fossella [9], and phase II in the other studies. The overall response rate varied widely among studies, from 0.8 to 39%. The overall median survival time was 24–47 weeks and the one-year survival rate was 19–46%. Major adverse reactions observed in these studies were signs of hematological toxicity (particularly neutropenia), excluding the studies involving prophylactic G-CSF treatment reported by Androulakis [2] and Wachters [27]. Signs of non-hematological toxicity varied depending on the drugs used, and symptoms and signs unique to each drug were noted.

For combined PTX and GEM therapy for recurrent NSCLC, Androulakis [2] reported an overall response rate of 18%, an overall median survival time of 47 weeks, and a median time to disease progression of 34 weeks. Compared to the present study, the overall response rate reported by Androulakis was lower, while the overall median survival time and median time to disease progression were more favorable in the study by Androulakis. The dosing regimen used by Androulakis involved administration of PTX (175 mg/m²; day 8), GEM (900 mg/m²; days 1 and 8), and granulocyte colony-stimulating factor (G-CSF; days

Table 2 Maximum toxicity over 152 cycles (40 patients)

	CTCAE v 3.0 grade (number of patients)					Grade 3 ≤ (%)
	0	1	2	3	4	
Leukopenia	7	4	11	15	3	18 (45)
Neutropenia	6	5	5	17	7	24 (60)
Febrile neutropenia	–	–	–	2	–	2 (5)
Anemia	4	8	22	5	1	6 (15)
Thrombocytopenia	9	21	5	3	2	5 (12.5)
Pneumonitis	36	1	0	1	0	1 (2.5)
Diarrhea	27	9	3	1	0	1 (2.5)
Rash	22	15	2	1	0	1 (2.5)
Nausea	21	19	0	0	0	
Vomiting	32	3	5	0	0	
Fatigue	27	11	2	0	0	
Alopecia	22	17	1	0	0	
Neuropathy-sensory	26	14	0	0	0	
Edema	32	8	0	0	0	
Arthralgia	33	7	0	0	0	

CTCAE v 3.0 Common terminology criteria for adverse events version 3.0

Table 3 Non-platinum regimens used as second-line treatment of non-small cell lung cancer

First author (Ref.)	No. of patients	Regimen and schedule	Response rate (%)	Survival	
				Median (weeks)	1-year (%)
Androulakis [2]	49	P 175 mg/m ²	18	47	37
		G 900 mg/m ²			
		G-CSF 150 µg/m ²			
Iaffaioli [14]	37	P 90–240 mg/m ²	39	40	46
		G 1,000 mg/m ²			
Fossella [9]	123	FO 2 g/m ² /day	0.8	24	19
		V 30 mg/m ²			
Kosmas [19]	43	D 100 mg/m ²	33	36	28
		G 1,000 mg/m ²			
Cao [6]	33	CPT11 300 mg/m ²	9	25	23
		V 30 mg/m ²			
Georgoulas [10]	76	CPT11 300 mg/m ²	18.4	38	24.5
		G 1,000 mg/m ²			
Wachters [27]	52	CPT11 200 mg/m ²	10	27	30
		D 60 mg/m ²			
		G-CSF 150 µg/m ²			
Present study	40	P 100 mg/m ²	32.5	42	38
		G 1,000 mg/m ²			

P paclitaxel, G gem citabine, FO infostamide, V vinorebine, D docetaxel, CPT-11 irinotecan, G-CSF granulocyte colony-stimulating factor, d day, q every

9–15), with each cycle of treatment lasting for 3 weeks. Because their regimen involved prophylactic administration of G-CSF, the incidence of grade 3 or worse neutropenia was lower than that in the present study (12 vs. 60%). However, the incidence of grade 2 or worse fatigue (a sign of non-hematological toxicity) was lower in the present study (4%) than in that reported by Androulakis (51%).

Belani [19] reported the results obtained with combined use of PTX and GEM as first-line chemotherapy

for NSCLC. In their study, PTX was administered using two regimens and a comparison was made between treatment with PTX on day 1 (200 mg/m²) and weekly treatment with PTX on days 1 and 8 (100 mg/m²/dose; identical to the regimen used in the present study). According to their report, the response rate was 45% for the first regimen and 46% for the second regimen, the median survival time was 42 and 39 weeks and the 1-year survival rate 46 and 41% for the first and second regimens, respectively. Efficacy thus did not differ

significantly between the two regimens. Signs of hematological toxicity were the major adverse reactions observed following treatment with both regimens. The incidences of neutropenia and alopecia were lower with the weekly regimen. On the basis of these results, Belani concluded that weekly PTX treatment combined with GEM is also useful as first-line chemotherapy for NSCLC.

In conclusion, weekly chemotherapy with PTX and GEM is a tolerable and active regimen for patients with advanced NSCLC previously treated with platinum-containing chemotherapy regimens. It should be recommended as a candidate regimen in planning a phase III clinical study of NSCLC previously treated with platinum-containing chemotherapy, and will ultimately be evaluated in a phase III clinical study.

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Phase II trial of carboplatin and paclitaxel in non-small cell lung cancer patients previously treated with chemotherapy

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Summary The purpose of this phase II trial was to evaluate the efficacy and toxicity of carboplatin plus paclitaxel in the treatment of advanced non-small cell lung cancer (NSCLC) previously treated with chemotherapy. Patients with a performance status (PS) of 0 or 1 who had received one or two previous chemotherapy regimens for advanced NSCLC were eligible. Paclitaxel 200 mg/m² was infused over 3 h and followed by carboplatin (area under the curve 6) infusion over 1 h, once every 3 weeks. Thirty patients were enrolled. A complete response was observed in 1 patient and a partial response in 10 patients, for an overall response rate of 36.7%. The median time to progression was 5.3 months. The median survival time was 9.9 months, and the 1-year survival rate was 47%. Hematological toxicity in the form of grade 3/4 neutropenia occurred in 54%, but grade 3 febrile neutropenia developed in only 3%. Non-hematological grade 3 toxicities were less frequent. There were no treatment-related deaths. The combination of carboplatin plus paclitaxel is an active and well-tolerated regimen for the treatment of NSCLC patients who have previously been treated with chemotherapy and have a good PS.

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1. Introduction

Lung cancer remains a major cause of death from cancer in many countries. More than half of all patients diagnosed with non-small cell lung cancer (NSCLC) have advanced stage

IIIB or IV disease at presentation, and patients with advanced NSCLC are candidates for systemic chemotherapy. Platinum-based chemotherapy is considered the standard first-line treatment for patients with advanced NSCLC, and prolongs survival, palliates symptoms, and improves quality of life [1,2]. Many patients with good performance status (PS) when progression occurs after first-line chemotherapy are suitable candidates for second-line chemotherapy [3].

The taxanes are an important class of new agents for the treatment of advanced NSCLC. Paclitaxel, in combination with carboplatin, is the most common regimen

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used as first-line chemotherapy for advanced NSCLC, and this combination has a more favorable toxicity profile and is more convenient to administer than other platinum-based regimens [4,5]. Docetaxel has been investigated more extensively than any other agent for second-line treatment of advanced NSCLC, and the results of two randomized phase III trials of second-line chemotherapy in patients with advanced NSCLC demonstrated that docetaxel monotherapy significantly improved survival compared with best supportive care or other single agents (vinorelbine or ifosfamide) [6,7].

Belani et al. recently reported that results of a phase III trial comparing a carboplatin plus paclitaxel regimen with a cisplatin plus etoposide regimen for first-line treatment of advanced NSCLC [8]. Carboplatin plus paclitaxel yielded a higher response rate (23% versus 15%), time to progression (121 days versus 111 days), and overall quality of life benefit than cisplatin plus etoposide, but the median survival time was better in the cisplatin plus etoposide arm than in the carboplatin plus paclitaxel arm (274 days and 233 days, respectively [$P=0.086$]). The authors reported that a substantially greater proportion of patients in the cisplatin plus etoposide arm received second-line chemotherapy with a taxane-containing regimen than in the carboplatin plus paclitaxel arm, and suggested that treatment with taxanes in a second-line setting may have had an impact on the survival in their study. Remarkably, more than half of the regimens that were used in the second-line setting of their study consisted of paclitaxel alone or carboplatin plus paclitaxel, not docetaxel. While the efficacy of paclitaxel-containing regimens as first-line chemotherapy for advanced NSCLC has been established in many randomized phase III trials [9], the data on the efficacy of paclitaxel-containing regimens in second-line settings are limited [10,11].

Based these considerations we conducted a phase II trial to evaluate the efficacy and toxicity of carboplatin plus paclitaxel in the treatment of advanced NSCLC previously treated with chemotherapy.

2. Patients and methods

2.1. Eligibility criteria

The inclusion criteria were: pathologically confirmed advanced NSCLC patients with measurable disease who had received one or two previous chemotherapy regimens for their disease. Patients were required to submit evidence of failure of prior chemotherapy. Patients who were previously treated with carboplatin or paclitaxel were excluded if the best response was progressive disease (PD). Patients who had received prior radiotherapy were eligible provided that at least 30 days had elapsed between the completion of radiotherapy and entry into the study. Patients were also required to be 20–75 years of age, have an Eastern Cooperative Oncology Group PS of 0 or 1, and have adequate organ function as indicated by the following parameters: absolute neutrophil count $\geq 1500 \text{ mm}^{-3}$, platelet count $\geq 100,000 \text{ mm}^{-3}$, hemoglobin $\geq 9.0 \text{ g/dl}$, AST and ALT $\leq 2.0 \times$ the institutional upper normal limits, total bilirubin $\leq 1.5 \text{ mg/dl}$, creatinine $\leq 1.5 \text{ mg/dl}$, $\text{PaO}_2 \geq 65 \text{ Torr}$.

Exclusion criteria were: uncontrolled pleural or pericardial effusion, active concomitant malignancy, prior irradiation to areas encompassing more than a third of the pelvis plus spine, active infection, myocardial insufficiency or myocardial infarction within the preceding 6 months, uncontrolled diabetes mellitus or hypertension, any other condition that could compromise protocol compliance, pregnancy and/or breast-feeding. All patients were required to provide written informed consent before entry into the study. The study was approved by the institutional review board of our institution.

2.2. Treatment plan

Treatment was started within a week of entry into the study. Patients received paclitaxel 200 mg/m^2 diluted in 500 ml of 0.9% saline as a 3-h intravenous infusion followed by carboplatin (area under the curve [AUC] 6; Calvert formula) diluted in 250 ml of 5% glucose as a 1-h intravenous infusion, every 3 weeks. All patients were premedicated with dexamethasone (24 mg i.v.), famotidine (20 mg i.v.), and diphenhydramine (50 mg orally) 30 min before the paclitaxel infusion to prevent a hypersensitivity reaction. A 5-HT₃-receptor antagonist was intravenously administered as an antiemetic before carboplatin. Therapy was continued for at least two cycles unless the patient experienced unacceptable toxicity or had PD. The maximum number of cycles of chemotherapy was six. In the event of grade 4 leukopenia or thrombocytopenia or of grade 3 neutropenic fever, the dose of carboplatin and paclitaxel was reduced to AUC 5 and 175 mg/m^2 , respectively, in the following cycle of chemotherapy. The next cycle of chemotherapy was started if the neutrophil count was $\geq 1500 \text{ mm}^{-3}$, the platelet count $\geq 100,000 \text{ mm}^{-3}$, AST and ALT $\leq 100 \text{ IU/l}$, total bilirubin $\leq 2.0 \text{ mg/dl}$, creatinine $\leq 1.5 \text{ mg/dl}$, PS 0 or 1, and the patient was afebrile.

Pretreatment evaluation included a medical history, a physical examination, vital signs, height and body weight, PS, complete blood count, biochemical studies, arterial blood gas analysis, electrocardiogram, chest radiograph and computed tomography scan (CT), abdominal ultrasound or CT, and brain magnetic resonance imaging or CT. A complete blood count, biochemical studies, and chest radiograph were performed weekly during the first cycle of chemotherapy, and 2 weekly starting with the second cycle.

2.3. Response and toxicity assessment

Objective tumor response was assessed as complete response (CR), partial response (PR), stable disease ≥ 8 weeks (SD), or PD according to the Response Evaluation Criteria in Solid Tumors. Measurable lesions were defined as lesions whose longest diameter was $\geq 2 \text{ cm}$. Imaging studies were repeated every 4 weeks until the objective tumor response was confirmed. All responses were reviewed by an independent radiologist. Toxicity was graded using National Cancer Institute-Common Toxicity Criteria version 2.0.

2.4. Statistical analysis

The primary endpoint of this study was the response rate, defined as the proportion of patients whose best response was CR or PR among all enrolled patients in the intent-to-treat analysis. The secondary end points were toxicity and overall and progression-free survival (PFS) from the date of enrollment in this study.

According to Simon's minimax two-stage phase II study design, the treatment program was designed for a minimal response rate of 5% and to provide a significance level of 0.05 with a statistical power of 80% in assessing the activity of the regimen according to a 20% response rate. The upper limit for first-stage drug rejection was no response in 13 evaluable patients. The upper limit for second-stage drug rejection was three responses in 27 evaluable patients. Overall survival time was defined as the interval between enrollment in this study and death or the most recent follow-up visit. PFS was defined as the interval between enrollment in this study and the first documented PD, death, or the most recent follow-up visit. Survival was estimated by the Kaplan–Meier analysis method. All comparisons between proportions were performed by Fisher's exact test.

3. Results

3.1. Patient characteristics

Between October 2002 and November 2003, 30 patients were enrolled in this study, and their characteristics are shown in Table 1. Twenty-six (87%) patients were men, and 21 (70%) patients had adenocarcinoma. Median age was 60 years. The majority of the patients (93%) had received prior platinum-based chemotherapy, and seven (23%) patients had received two prior chemotherapy regimens. The platinum-based chemotherapy regimens that had been used were: cisplatin plus vinorelbine ($n=26$), cisplatin plus gemcitabine ($n=1$), and carboplatin plus gemcitabine ($n=1$). There were 15 (50%) responders to any of the prior chemotherapy regimens and 12 of them had experienced a response (CR/PR) to cisplatin-based chemotherapy. Twenty-one (70%) patients had a treatment-free interval of 3 or more months since the final dose of the prior chemotherapy regimen.

A total of 94 cycles of chemotherapy were administered, and the median number of cycles per patient was three (range, 1–6). Four patients had received only one cycle of treatment either because of toxicity (two patients, grade 3 rash), the patient's refusal (one patient), or PD (one patient).

3.2. Response and survival

Two patients were not evaluable for response because the protocol treatment had been terminated because of toxicity (grade 3 rash) during the first cycle of chemotherapy, and they subsequently received further chemotherapy without PD. There was 1 CR and 10 PRs among the 30 patients, and the objective response rate in the intent-to-treat analysis was 36.7% (95% confidence interval [CI], 19.9–56.1%) (Table 2). Treatment outcomes of all patients are listed in

Table 1. Patient characteristics

Characteristic	No. of patients (%)
Patients enrolled	30
Sex	
Male	26
Female	4
Age, years	
Median	60
Range	39–75
ECOG performance status	
0	7
1	23
Stage	
IIIB	11
IV	19
Histology	
Adenocarcinoma	21
Squamous cell carcinoma	7
Large cell carcinoma	2
Prior treatment	
Platinum-based chemotherapy	28 (93)
Docetaxel	5 (16)
Chest radiotherapy	4 (13)
No. of prior chemotherapy regimens	
1	23
2	7

Table 3. The response rate of patients who experienced a response (CR/PR) to prior cisplatin-based chemotherapy was 43% (6/14), as opposed to 23% (3/13) among the non-response patients ($P=0.41$). The response rate of the patients who had received one prior chemotherapy regimen was 39% (9/23), as opposed to 28% (2/7) among the patients who had received two regimens ($P>0.99$). According to the treatment-free interval since the final dose of the prior chemotherapy regimen, the response rate of patients whose interval was 3 months or more was 33% (7/21), com-

Table 2. Treatment efficacy ($n=30$)

	No. of patients	%
Response		
Overall response rate	11	36.7
Complete response	1	3.3
Partial response	10	33.3
Stable disease	12	40
Progressive disease	5	16.7
Not evaluable	2	6.7
Survival		
Median (months)	9.9	
1 year (%)	47	
Progression-free survival		
Median (months)	5.3	

Table 3 Treatment outcomes of all patients

Patient No.	Prior first-line therapy		Prior second-line therapy		Time from last therapy (months)	CBDCA + PTX, best response	PFS (months)	Survival (months)
	Regimen	Best response	Regimen	Best response				
1	CDDP + VNR	SD	DOC	PD	1.8	SD	1.4	25.2
2	CBDCA + GEM	NE	Gefitinib	PD	0.8	PR	3.8	8.8
3	CDDP + VNR	SD	—	—	6.8	SD	7.6	18.1
4	CDDP + GEM	PR	—	—	9.5	PR	7.5	33.8+
5	CDDP + VNR	SD	—	—	4.8	SD	2.8	7.0
6	CDDP + VNR + DOC + RT	PR	—	—	6.0	PR	8.0	21.6
7	GEM + VNR	SD	—	—	23.0	PD	1.2	7.8
8	CDDP + VNR + RT	PR	—	—	13.6	SD	6.7	25.0+
9	CDDP + VNR	SD	—	—	5.0	SD	2.1	3.7
10	CDDP + VNR	SD	—	—	5.0	PD	1.2	6.7
11	CDDP + VNR	PR	—	—	8.9	NE	1.1	3.3
12	CDDP + VNR	SD	Gefitinib	CR	1.9	SD	6.3	6.3
13	CDDP + VNR	PR	—	—	5.4	NE	1.0	13.4
14	CDDP + VNR	PR	—	—	1.7	SD	4.8	5.7
15	CDDP + VNR + RT	PR	—	—	9.3	SD	5.0	15.7
16	CDDP + VNR	SD	—	—	2.8	PR	3.7	15.8
17	CDDP + VNR	SD	DOC + GEM	SD	3.8	SD	5.3	21.6+
18	CDDP + VNR + DOC + RT	PR	—	—	3.9	SD	4.5	9.0
19	CDDP + VNR	PR	—	—	12.9	PR	9.4	16.0
20	CDDP + VNR	PR	—	—	11.5	CR	24.8+	24.8
21	CDDP + VNR	PD	—	—	1.1	PR	9.2	23.6+
22	CDDP + VNR	SD	DOC	SD	4.5	PD	2.3	5.5
23	Gefitinib	SD	—	—	0.9	PR	8.8	12.7
24	CDDP + VNR	PR	—	—	11.1	PR	5.3	10.2
25	CDDP + VNR	PR	Gefitinib	PR	4.4	PR	5.5	9.9
26	CDDP + VNR	NE	—	—	11.7	PR	7.0	12.2
27	CDDP + VNR	PR	—	—	5.4	SD	6.2	9.4
28	CDDP + VNR	SD	—	—	0.8	PD	1.4	2.5
29	CDDP + VNR	PR	—	—	4.4	PD	0.2	8.4
30	Gefitinib	PD	CDDP + VNR	PD	0.9	SD	3.1	3.3

CBDCA, carboplatin; PTX, paclitaxel; PFS, progression-free survival; CDDP, cisplatin; VNR, vinorelbine; GEM, gemcitabine; DOC, docetaxel; RT, chest radiotherapy; SD, stable disease; NE, not evaluable; PR, partial response; PD, progressive disease; CR, complete response.

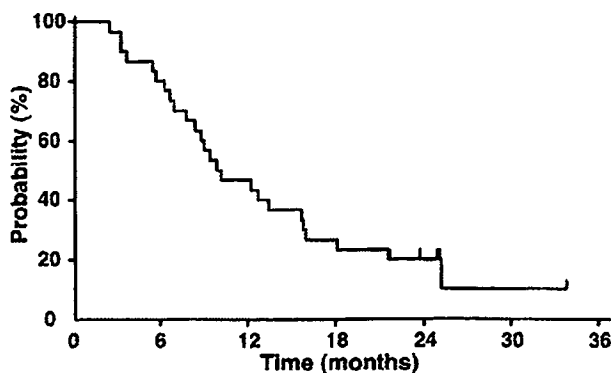


Fig. 1 Kaplan-Meier curve for overall survival.

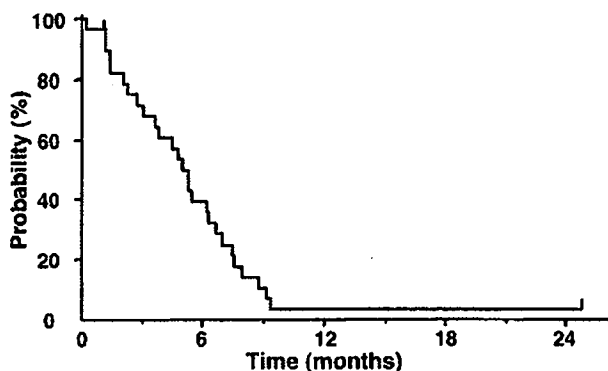


Fig. 2 Kaplan-Meier curve for progression-free survival.

pared with 44% (4/9) in patients in whom it was less than 3 months ($P=0.68$).

The median follow-up time was 24 months. The median survival time (MST) was 9.9 months (range, 2.5–33.8 months), and the 1-year survival rate was 47% (95% CI, 29–65%). The median PFS was 5.3 months. The Kaplan-Meier curve for overall survival and for PFS is shown in Figs. 1 and 2, respectively. Nineteen patients (63%) received at least one subsequent chemotherapy regimen, and their regimens are shown in Table 4. Fourteen of them were treated with gefitinib, and a PR was achieved in three of them.

3.3. Toxicity

The common toxicities associated with carboplatin plus paclitaxel are listed in Table 5. Grade 3/4 neutropenia occurred in 54% of the patients in our study, but grade 3 febrile neutropenia developed in only 3%. Grade 3/4 anemia and thrombocytopenia were observed in five patients (16%)

and two patients (13%), respectively. Non-hematological grade 3 toxicities were less frequent. Grade 3 hyponatremia was observed in five (16%) patients, but they were all asymptomatic. Grade 2 neuropathy occurred in 33% of the patients. There were no treatment-related deaths.

4. Discussion

Docetaxel, pemetrexed, and erlotinib have been approved for second-line treatment of advanced NSCLC on the basis of the results of phase III trials [6,7,12,13]. Hanna et al. reported a phase III study comparing 3-weekly pemetrexed 500 mg/m² with 3-weekly docetaxel 75 mg/m² as second-line treatment for advanced NSCLC. The overall response rate with pemetrexed and docetaxel was 9.1% and 8.8%, respectively, and MST was 8.3 months and 7.9 months, respectively. Although efficacy in terms of the outcome as measured by survival time and response rate was similar for both treatments, the pemetrexed group experienced less grades 3–4 hematological toxicity and alopecia of all grades [12]. In the trial reported by Shepherd et al. 731 NSCLC patients previously treated with chemotherapy were randomized to receive either erlotinib at a dose of 150 mg daily or placebo, and the response rate in the erlotinib group was 8.9%. MST was 6.7 months in the erlotinib group and 4.7 months in the placebo group ($P<0.001$). The results of their trial showed that erlotinib significantly prolonged the survival of patients with advanced NSCLC who had previously been treated with chemotherapy [13]. Despite the positive results of these phase III trials, the response rate of advanced NSCLC to second-line chemotherapy remains low, and the life expectancy of advanced NSCLC patients remains short. Alternative effective chemotherapy option is needed for second-line treatment of advanced NSCLC.

The combination of carboplatin plus paclitaxel has proved effective as one of the standard platinum-based doublet regimens for first-line treatment of advanced NSCLC [4,5,14]. However, since the efficacy of carboplatin plus paclitaxel used in a second-line setting had hardly been assessed, in the present study we evaluated the efficacy and toxicity of carboplatin plus paclitaxel in the second- or third-line treatment of advanced NSCLC. The results in the 30 patients with advanced NSCLC previously treated with chemotherapy indicated that the combination of carboplatin plus paclitaxel yielded an objective response rate of 36.7% and an MST of 9.9 months, with a 1-year survival rate of 47%. Our study had not included patients who were treated with the platinum/taxane combination chemotherapy. Most of the toxicity observed in our study was hematological. Grade 3/4 neutropenia, anemia, or thrombocytopenia occurred in 54, 16, or 13% of the patients in our study, respectively. Hematological toxicity of carboplatin plus paclitaxel used in first-line treatment for Japanese patients with advanced NSCLC has been reported that grade 3/4 neutropenia, anemia, or thrombocytopenia occurred in 88, 15, or 11% of the patients [15]. The toxicity observed in our study appeared similar to that of carboplatin plus paclitaxel, which was administered as the first-line treatment, although the number of patients in our study was not large. The combination of carboplatin plus paclitaxel seems to be effective and tolerable, not only as first-line therapy for advanced NSCLC but

Table 4 Post-study chemotherapy

Regimen	No. of patients	Responder (%)
Gefitinib	14	3 (21)
Docetaxel	9	0
Gemcitabine plus viborelbine	1	0

Table 5 Hematological and non-hematological toxicity (n = 30)

Toxicity	NCI-CTC Version 2.0, grade							
	0-1		2		3		4	
	n	%	n	%	n	%	n	%
Leukopenia	11	37	10	33	9	30	0	0
Neutropenia	10	33	4	13	14	47	2	7
Anemia	7	23	18	60	3	10	2	7
Thrombocytopenia	27	90	1	3	2	7	0	0
Febrile neutropenia	29	97	—	—	1	3	0	0
Nausea	27	90	3	10	0	0	—	—
Fatigue	30	100	0	0	0	0	0	0
Neuropathy	20	67	10	33	0	0	0	0
Arthralgia	21	70	8	27	1	3	0	0
Rash	28	93	0	0	2	6	0	0
Infection	29	97	0	0	1	3	0	0
Arrhythmia	29	97	0	0	1	3	0	0
Alopecia	21	70	9	30	—	—	—	—
AST/ALT	29	97	1	3	0	0	0	0
Hyponatremia	25	83	—	—	5	17	0	0

as second-line therapy as well if the patients had not been previously treated with the platinum/taxane combination chemotherapy.

Hotta et al. reported a meta-analysis based on abstracted data to compare the effect of carboplatin-based chemotherapy with that of cisplatin-based chemotherapy on overall survival, response rate, and toxicity in the first-line treatment of patients with advanced NSCLC [16]. The results indicated that combination chemotherapy consisting of cisplatin plus a third generation agent produced a significant survival benefit compared with carboplatin plus a third generation agent, although the toxicity profiles of the two modalities were quite different. Recently, Pignon et al. reported a pooled analysis from five randomized clinical trials of cisplatin-based chemotherapy in completely resected NSCLC patients [17]. Their analysis suggested that adjuvant cisplatin-based chemotherapy improved survival in patients with NSCLC. Based on the results of their meta-analysis, cisplatin-based chemotherapy should be recommended as first-line therapy for patients with advanced NSCLC. Moreover, in view of the results of our own study, we speculate that the combination of carboplatin plus paclitaxel may be suitable as second-line treatment for advanced NSCLC patients who had experienced progression after first-line cisplatin-based chemotherapy.

Care must be exercised in interpreting the favorable outcome in our study. One concern is that it was a single-institution phase II study, and therefore patient selection may have influenced the outcome. The responders to any of the prior chemotherapy regimens accounted for 50% of the 30 patients enrolled in this study, and about 80% of the patients had received only one prior chemotherapy regimen. The selection criteria, such as an ECOG PS of 0 or 1, may also have contributed to this favorable outcome. Another concern is that our study had included only five patients who were previously treated with chemotherapy using taxanes. Therefore, the efficacy of carboplatin plus paclitaxel as the

secondary therapy after chemotherapy using taxanes is not clear. A further randomized study is warranted to be able to draw definitive conclusions about our results.

Conflict of interest statement

None declared.

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Phase II Trial of Preoperative Chemoradiotherapy Followed by Surgical Resection in Patients With Superior Sulcus Non–Small-Cell Lung Cancers: Report of Japan Clinical Oncology Group Trial 9806

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ABSTRACT

Purpose

To evaluate the safety and efficacy of preoperative chemoradiotherapy followed by surgical resection for superior sulcus tumors (SSTs).

Patients and Methods

Patients with pathologically documented non–small-cell lung cancer with invasion of the first rib or more superior chest wall were enrolled as eligible; those with distant metastasis, pleural dissemination, and/or mediastinal node involvement were excluded. Patients received two cycles of chemotherapy every 4 weeks as follows: mitomycin 8 mg/m² on day 1, vindesine 3 mg/m² on days 1 and 8, and cisplatin 80 mg/m² on day 1. Radiotherapy directed at the tumor and the ipsilateral supraclavicular nodes was started on day 2 of each course, at the total dose of 45 Gy in 25 fractions, with a 1-week split. Thoracotomy was undertaken 2 to 4 weeks after completion of the chemoradiotherapy. Those with unresectable disease received boost radiotherapy.

Results

From May 1999 to November 2002, 76 patients were enrolled, of whom 20 had T4 disease; 75 patients were fully assessable. Chemoradiotherapy was generally well tolerated. Fifty-seven patients (76%) underwent surgical resection, and pathologic complete resection was achieved in 51 patients (68%). There were 12 patients with pathologic complete response. Major postoperative morbidity, including chylothorax, empyema, pneumonitis, adult respiratory distress syndrome, and bleeding, was observed in eight patients. There were three treatment-related deaths, including two deaths owing to postsurgical complications and one death owing to sepsis during chemoradiotherapy. The disease-free and overall survival rates at 3 years were 49% and 61%, respectively; at 5 years, they were 45% and 56%, respectively.

Conclusion

This trimodality approach is safe and effective for the treatment of patients with SSTs.

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Superior sulcus tumors (SSTs), involving structures at the thoracic inlet, represent a small subtype of non–small-cell lung carcinoma (NSCLC). These SSTs, first described by Henry Pancoast^{1,2} and thus also called Pancoast tumors, have posed a challenging problem for surgeons, radiation oncologists, and medical oncologists alike, ever since they were first described.³

Preoperative radiotherapy has long been the community standard in the management of SSTs.⁴⁻¹⁷ However, both the complete resection rate (approximately 50%) and long-term survival rate

(approximately 30%) have remained poor and unchanged over the last 40 years, since the first treatment strategy was reported in the 1960s. Local control has remained the main problem,^{15,17,18} adversely affecting quality of life as well as survival of patients. Presence of mediastinal lymph node metastasis (N2 status) has been reported to be associated with a particularly poor prognosis.^{9,18}

However, a series of clinical trials over the last two decades have shown concurrent chemoradiotherapy to be beneficial in the treatment of unresectable stage III NSCLC.¹⁹⁻²¹ The addition of chemotherapy to thoracic radiotherapy seems to suppress distant micrometastases,^{22,23} and giving

concurrent chemotherapy with radiotherapy has been shown to yield improved local control^{19,24} with survival benefit.

Encouraged by the promising data of concurrent chemoradiotherapy for N2 NSCLC, the Southwest Oncology Group (SWOG) applied this modality as preoperative therapy for patients with SSTs (SWOG 9416, Intergroup Trial 0160), and reported favorable results.²⁵

The Japan Clinical Oncology Group (JCOG) launched another trial of this preoperative concurrent chemoradiotherapy, or the trimodality approach, for the treatment of SSTs in 1999, before the first report of SWOG 9416 was published. Our study was initiated to evaluate the safety and efficacy of this treatment strategy in this rare subset of patients with NSCLC. As the induction treatment, we used mitomycin, vindesine, and cisplatin (MVP) combination chemotherapy, which has been demonstrated to be safe and effective for concurrent chemotherapy with thoracic radiotherapy in Japanese trials.¹⁹



Eligibility Criteria

Patients with untreated histologically or cytologically documented NSCLC involving the superior sulcus with clinical stage T3 or T4 disease were eligible for entry onto this study. T4 diseases included tumor invasion to the spine (including to a transverse process of vertebra), aorta, or superior vena cava; invasion to the chest wall or subclavian vessels was included in T3 disease. Involvement of the superior sulcus was confirmed by computed tomographic (CT) or magnetic resonance imaging (MRI) evidence of tumor invasion of the first rib or more superior chest wall. Patients with pleural or pericardial dissemination, malignant effusion, and/or distant metastasis (M1) were excluded. Those with clinical N2 disease (mediastinal node involvement) were also excluded; all mediastinal nodes measuring ≥ 1.0 cm in size on CT images were required to be biopsied and documented to be negative for metastasis before patient enrollment. However, those with ipsilateral supraclavicular node involvement (N3) were eligible, unless it was accompanied by mediastinal node metastasis. Each patient was required to fulfill the following criteria: 15 to 74 years of age, Eastern Cooperative Oncology Group performance status of 0 to 1; adequate organ function (ie, leukocyte count $\geq 4,000/\mu\text{L}$, platelet count $\geq 10^5/\mu\text{L}$, hemoglobin ≥ 11.0 g/dL, serum creatinine less than 1.5 mg/dL, creatinine clearance ≥ 60 mL/min, serum bilirubin less than 1.5 mg/dL, serum ALT and AST less than double the upper limit of the institutional normal range, arterial partial pressure of oxygen ≥ 70 mmHg, and predicted postoperative forced expiratory volume in 1 second ≥ 0.8 L. From July 2001, when the protocol was revised after the death of a patient from septic shock during chemoradiotherapy, those patients with systemic use of corticosteroids were excluded.

Patient eligibility was confirmed by the JCOG Data Center before patient registration. This study was approved by the institutional review boards at each participating center, and written informed consent was obtained from all patients.

Treatment Plan

Induction chemotherapy. Patients received two courses of MVP combination chemotherapy with a 4-week interval in between. Mitomycin was administered at 8 mg/m² on chemotherapy day 1, and vindesine was administered at 3 mg/m² on days 1 and 8; both were administered as bolus injections. Cisplatin was administered at 80 mg/m² as a 2-hour infusion on day 1, with ample hydration and antiemetic administration.

The second cycle of chemotherapy was postponed until all the severe toxicities recovered to grade 1 or 0. If the second cycle could not be started within 2 weeks of the due date, it was canceled, and the patient received only preoperative radiotherapy, if possible.

Induction radiotherapy. Thoracic radiotherapy was started with a linear accelerator (≥ 4 MeV) on chemotherapy day 2. The first session was scheduled

to be given with the first chemotherapy cycle at 27 Gy in 15 fractions over 3 weeks. Then the second session was started after a week's interval until day 2 of the second course of chemotherapy. The second session, given with the second cycle of MVP, was administered at 18 Gy in 10 fractions over 2 weeks. The total radiation dose was thus 45 Gy in 25 fractions administered over 6 weeks, including the 1-week split, or interval, between the two sessions; this schedule, including the split, basically followed that of the original method reported by Furuse et al.¹⁹ The radiation field included the primary tumor and the ipsilateral supraclavicular nodes. The mediastinal and hilar nodes were not irradiated, even in cases with hilar node involvement (clinical N1 cases).

Surgery. After the induction chemoradiotherapy, each case was re-evaluated to determine the clinical response and resectability. The resectability of the tumor was determined by the multimodality team of each institution, irrespective of the clinical response (tumor shrinkage). Surgical resection of the tumor was performed 2 to 4 weeks after the completion of the induction therapy. The surgical procedures undertaken included lobectomy or pneumonectomy, with systematic node dissection. Standard systematic node dissection, ND2, includes complete removal of the hilar and mediastinal nodes. Less complete dissection includes ND0 (ie, no systematic dissection with or without lymph node sampling) or ND1 (ie, hilar node dissection with or without mediastinal lymph node sampling).

Boost therapy. For unresected or incompletely resected cases, boost radiotherapy of 21.6 Gy in 12 fractions was given. Those who were judged to have undergone complete resection were followed up without additional therapy until clinical evidence of recurrence.

Patient Evaluation and Follow-Up

Before enrollment onto the study, each patient underwent complete medical history taking and physical examination, blood cell count determinations, serum biochemistry testing, arterial blood gas analysis, chest x-ray, ECG, CT scan of the chest, bronchoscopy, CT scan or ultrasound of the upper abdomen, whole-brain CT or MRI, and an isotope bone scan. Chest MRI was recommended for evaluation of the local tumor status but was not mandatory. Blood cell counts, serum biochemistry testing, and chest x-ray were performed weekly during each course of chemotherapy. Chest CT was performed every 3 to 4 weeks during the induction therapy.

Chemotherapy toxicity was evaluated according to the JCOG Toxicity Criteria,²⁶ modified from the National Cancer Institute Common Toxicity Criteria version 1. Tumor responses were assessed radiographically according to the standard, two-dimensional WHO criteria²⁷ and were classified into complete response (CR), partial response, no change, progressive disease (PD), and not assessable. Response confirmation at 4 weeks or longer intervals was not necessitated. After curative resection and/or definitive boost radiotherapy, the patients were followed up with periodic re-evaluation, including with chest CT, as well as a systemic survey every 6 months for the first 3 years.

Central Review

Radiographic reviews for eligibility of the enrolled patients and the clinical responses were performed at the time of the JCOG Lung Cancer Surgical Study Group meeting, held every 3 to 4 months. The study coordinator (H.K., a medical oncologist), the group coordinator (M.T., a surgical oncologist), and a few selected investigators of the group reviewed the radiographic films. The clinical response data presented below were all confirmed by this central review.

Statistical Considerations

The primary end point of the study was the survival rate at 3 years. The sample size calculation was performed, as described in Appendix 1 (online only).

Secondary end points included the objective tumor response to chemotherapy, complete resection rate, and postsurgical morbidity/mortality. Both overall survival (OS) and progression-free survival (PFS) were calculated from the date of enrollment by the Kaplan-Meier method. For exploratory analysis to identify prognostic factors, the OS or PFS of subgroups was compared by two-sided log-rank tests. All analyses were performed with the SAS software version 8.2 (SAS Institute, Cary, NC).

RESULTS

Patient Characteristics

From May 1999 to November 2002, 76 patients from 19 institutions were enrolled onto the study. Three patients were ineligible. One patient was found to have concomitant anemia and did not receive the protocol treatment. Two others were found ineligible by the central review, after completion of the protocol therapy; the tumor was judged not to involve the first rib in one case, and in the other, a mediastinal node was judged to be enlarged on chest CT, without confirmation by mediastinoscopy. These two cases were included in the analysis. Therefore, 75 patients were analyzed to determine the toxicities, response rates, surgical and pathologic results, PFS, and OS. All 76 patients were included in the analysis of the patient characteristics, as shown in Table 1. In each of the T4 cases, the tumor was judged to have involved the spine. Nodal status was clinically determined and was pathologically confirmed in only a few cases.

Induction Therapy Delivery and Toxicity

The study schema with the actual numbers of patients receiving the protocol therapy is shown in Appendix Figure A1 (online only).

Table 1. Patient Characteristics (n = 76)

Characteristic	No. of Patients	%
Sex		
Male	67	88
Female	9	12
Age, years		
Median	57.5	
Range	34-74	
ECOG performance status		
0	30	39
1	46	61
Clinical T stage		
T3	56	74
T4	20	26
Clinical N stage		
N0	59	78
N1	9	12
N2*	1	1
N3	7	9
Smoking history		
No	4	5
Yes	72	95
Median smoking history	1.5 packs for 37 years	
Body weight loss within 6 months		
≤ 5%	61	80
5-10%	7	9
> 10%	5	7
Missing	3	4
Histology		
Adenocarcinoma	34	45
Squamous cell carcinoma	27	36
Others/unclassified	15	20
Primary site		
Right	39	51
Left	37	49

Abbreviation: ECOG, Eastern Cooperative Oncology Group.
*Found ineligible by central review but included in the subsequent analyses.

The induction therapy could be completed in 71 (95%) of the 75 patients. The treatment was terminated in the remaining four patients after only one course of chemotherapy (owing to the development of adverse events in two cases, patient refusal in one case, and early toxicity-related death in one case).

Table 2 lists the major toxicities of the protocol therapy. They were mainly hematologic, and although more than 80% of the patients experienced neutropenia/leukopenia, they were generally transient and not complicated by infection/fever. Overall, toxicities were well tolerated. There was one toxic death on chemoradiotherapy day 6 as a result of severe myelosuppression and subsequent development of septic shock.

Clinical Response to the Induction Therapy

The clinical responses of the 75 eligible patients to induction therapy were judged radiologically and confirmed by the central review. The responses were as follows: CR, 0 patients; partial response, 46 patients; no change, 22 patients; PD, five patients; not assessable, two patients. The overall response rate was 61% (95% CI, 49% to 72%).

Surgical and Pathologic Results

Thoracotomy was performed in 57 (76%) of the 75 patients who received the induction therapy. The surgical procedures undertaken

Table 2. Major Toxicities of Induction Therapy (N = 75) and Postsurgical Complications

Toxicity or Complication	No. of Patients			% Grade 3/4
	Grade 1/2	Grade 3	Grade 4	
Acute toxicity*				
Leukopenia	1/11	37	26†	84
Neutropenia	3/9	26	36†	83
Anemia	19/47	5	0	7
Thrombocytopenia	14/12	9	2†	15
ALT	27/5	2	0	3
Creatinine	18/2	0	0	0
PaO ₂	37/6	0	0	0
Emesis	32/25	2	— (not defined)	3
Diarrhea	7/5	1	0	1
Constipation	22/3	1	0	1
Esophagitis	22/9	0	0	0
Infection	10/9	6	1†	9
Neuropathy	8/0	0	— (not defined)	0
Skin toxicity	16/2	1	0	1
Fever	25/19	1	1	3
Postsurgical complications‡				
ARDS	0	1	1 (grade 5)	
Empyema	0	2	0	
Cylothorax	1	1	0	
Pneumonitis	0	1	0	
Late complications‡				
Pneumonitis	0	1	0	
Bleeding	0	0	1 (grade 5)	

Abbreviations: PaO₂, alveolar-arterial difference in partial pressure of oxygen; ARDS, adult respiratory distress syndrome.

*During induction therapy.

†Includes one patient with toxic death owing to septic shock.

‡Report of each complication was evaluated by National Cancer Institute Common Toxicity Criteria version 3.0.

were as follows: lobectomy, 53 patients; partial resection, three patients; exploratory thoracotomy, one patient; none of the cases required pneumonectomy. Combined resection of the chest wall was undertaken in 51 of the 57 patients. Complete mediastinal lymph node dissection (ND2) was performed in 42 patients, and the remaining 15 patients underwent less extensive dissection or sampling (ND0 or ND1).

The results of thoracotomy were as follows: gross residual tumor (R2 resection, including one with probe thoracotomy), three patients; microscopically residual tumor on pathologic review (R1 resection), three patients; complete surgical and pathologic resection (R0 resection), 51 patients. Pathologic downstaging of the tumor as compared with the clinical stage before induction therapy was achieved in 23 patients (40% of the patients who underwent surgery); this is an inherently inaccurate figure and should be interpreted as such, owing to the lack of pathologic confirmation of the c stage at presentation. Pathologic CR, with no residual viable tumor cells in the resected specimens, was achieved in 12 patients (16% of the 75 treated patients). Table 3 lists the surgical and pathologic results according to the initial clinical T factor.

The major postoperative morbidities included adult respiratory distress syndrome (ARDS) in two patients, empyema in two patients,

chylothorax in two patients, and pneumonitis in two patients. One patient died of sudden major bleeding on postoperative day 24. The bleeding was identified at autopsy as being from an intercostal artery. Another patient died of ARDS after off-protocol pneumonectomy. The patient had been judged to have PD in response to the induction therapy as a result of emergence of intrapulmonary metastases. The attending surgeon and the patient agreed to salvage surgery, and the patient developed postoperative ARDS.

Thus the total number of toxic deaths was three, including one caused by septic shock during the induction, one by delayed postoperative bleeding, and one by the development of ARDS after off-protocol, salvage surgery.

Boost Therapy

Boost radiotherapy was given to 15 patients, including 12 of the 15 patients in whom thoracotomy was not performed after the completion of induction chemoradiotherapy. One patient received boost radiotherapy after grossly incomplete resection, and another received boost radiotherapy after gross complete resection with microscopically residual disease. In 12 of the 15 patients, boost radiotherapy was completed with a total dose of 66.6 Gy.

PFS and OS

Figures 1 and 2 show the PFS and OS curves, updated in November 2006. Forty-one patients were alive, with a median follow-up period of 68 months. The median PFS time was 28 months. The PFS rates at 3 and 5 years were 49% and 45%, respectively. The median OS has not yet been reached. The OS at 3 and 5 years were 61% and 56%, respectively. Subset analysis (Appendix Figs A2 through A5, online only) revealed that clinical T stage was a prognostic factor (Appendix Fig A2). Patients with clinical T3 disease had better outcome than those with clinical T4 disease (the survival rates at 3 and 5 years were 69% and 61%, respectively, versus 40% and 40%, respectively; log-rank $P = .031$). The clinical N stage and histologic type of the tumor did not significantly affect the OS (Appendix Figs A3 and A4) or PFS. As expected, the survival rate was good in patients in whom complete resection could be achieved, with a projected 5-year OS of 70% as compared with 24% in whom complete resection could not be

Table 3. Surgical and Pathologic Results According to Initial Clinical T Stage

Characteristic	c-T3	c-T4
No. of patients	55	20
No surgery performed		
No.	7	11
%	13	55
Reason for no surgery		
Protocol violation	0	1
Toxic death	0	1
Adverse event	0	1
Progressive disease	2	2
Judged unresectable	0	3
Patient refusal	5	3
Surgical procedures		
Thoracotomy		
No.	48	9
%	87	45
Pneumonectomy	0	0
Lobectomy	45	8
Probe thoracotomy	1	0
Other	2	1
With combined resection	44	7
Rib	38	6
Parietal pleura	4	1
Vertebra	3	3
Major vessel	3	0
Clavicle	1	0
Completeness of resection		
R2 operation	2	1
R1 operation	3	0
R0 operation		
No.	43	8
%	78	40
Pathologic results		
Downstaging	18	5
Pathologic complete response	9	3

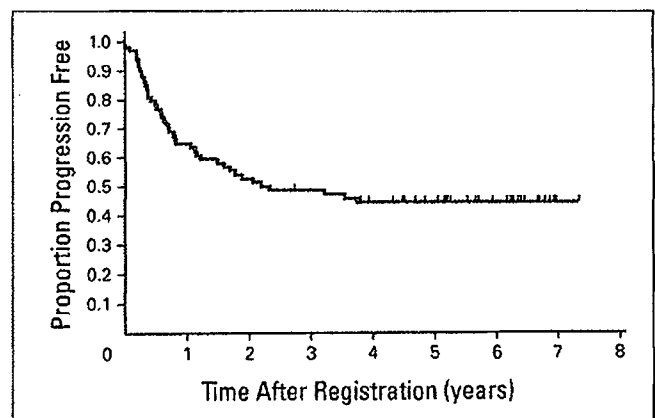


Fig 1. Progression-free survival (PFS) of the 75 eligible patients. PFS at 3 years and 5 years was 49% (95% CI, 38% to 60%) and 45% (95% CI, 34% to 56%), respectively, with a median PFS of 27.7 months.

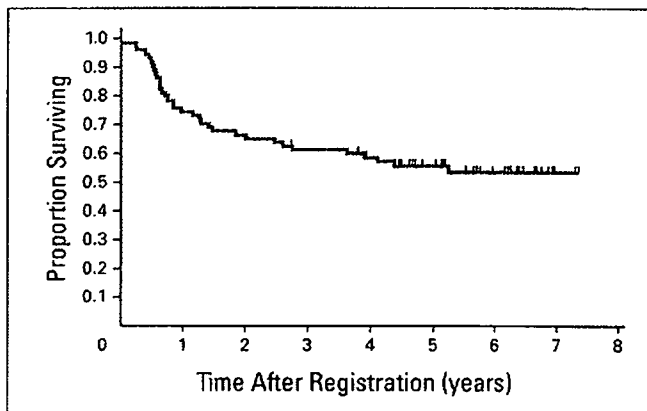


Fig 2. Overall survival (OS) of the 75 eligible patients. OS at 3 years and 5 years was 61% (95% CI, 49% to 71%) and 56% (95% CI, 44% to 66%), respectively. The median OS has not been reached.

achieved (Appendix Fig A5). The survival of the 12 patients with pathologic CR was especially favorable (Appendix Fig A6, online only).

Pattern of Relapse

So far, 39 patients have experienced tumor relapse. Table 4 lists the initial relapse sites, according to the curative extent of the surgical resection. For unresected or incompletely resected cases, locoregional relapse was predominant. To the contrary, for completely resected cases, relapse at distant sites was the most frequent relapse pattern, with some brain-only relapse patients.

We conducted a multi-institutional phase II trial of a trimodality approach, namely, preoperative chemoradiotherapy followed by surgical resection, in patients with SSTs. Because of the rarity of this subtype of NSCLC, no randomized trial has been conducted previously.²⁸ Our report is the second of a large-scale, prospective trial after SWOG 9416/INT 0160 and reproduced its favorable outcomes.²⁵

The long-term results of the SWOG 9416/INT 0160 trial were recently published.²⁹ Although the chemotherapy regimens used were different, a standard classic platinum-based combination was used in both. The preoperative radiotherapy doses were also identical (45 Gy), although a 1-week split (interval between two sessions) was included in our protocol (but not in the SWOG trial). Boost chemotherapy was planned after curative resection in the SWOG trial, but the compliance

Table 4. Initial Relapse Sites

Relapse Site	Patients With Complete Resection (n = 51)	Patients Without Complete Resection (n = 24)	Total (N = 75)
Locoregional* only	2	8	10
Distant only	14	6	20
Brain only	4	1	5
Both	4	5	9
Total	20	19	39

*Locoregional = surgical margin, within radiation field, hilar lymph nodes, mediastinal lymph nodes, supraclavicular lymph nodes.

rate was poor,²⁵ as in other perioperative therapy reports; we had anticipated that the majority of the patients would not be fit enough for additional toxic therapy after a major thoracic surgery and did not include it in our protocol.

Despite these minor differences, the results of the two trials were strikingly similar (Table A1, online only). The radiologic response rate was higher, whereas the pathologic CR rate was lower in our trial, but the differences were probably not clinically relevant, considering interobserver differences in the response evaluation and the well-known discrepancy between clinical versus pathologic effects. The intensive trimodality approach was found to be feasible in both reports, with a reasonably low toxic death rate of 4%. The resection rate, which had remained unchanged at approximately 50% for almost 40 years with conventional preoperative radiotherapy, was approximately 70% in both studies. Particularly noteworthy was the reproducibility of the favorable survival data, with a 5-year OS rate of 44% in the United States trial and 56% in our trial, which were clearly superior to the historical value of 30%.^{3,25}

A shift in the trend of clinical problems also became clear.^{25,28,29} The relapse patterns changed from predominantly locoregional^{17,18} to mainly distant recurrences in cases with complete resection,^{25,28,29} and a significant number of such patients suffered from metastasis in the brain as the initial site of relapse.²⁹ To the contrary, complete resection could be achieved in less than half of the patients with c-T4 disease, and neither local control nor long-term survival was satisfactory in those in whom it could not be achieved. It seems that there might be room for improvement in radiotherapy.

Several questions remain unresolved. One is that of management of patients with mediastinal node involvement. These clinical N2 cases have been known to have the poorest prognosis^{9,18} and were excluded from both the SWOG and JCOG trials. Although trimodality approaches have been reported in cases with clinical N2 stage NSCLC,^{30,31} inclusion of the hilar and mediastinal nodes in the irradiation field increased the toxicity risk to an unacceptable level in our prior phase II trial (JCOG 9805).³²

In addition to the unresolved questions above, our study also had a critical limitation. Although this was a prospective, large-scale, and multi-institutional trial, no definite conclusions could be obtained from the single-arm phase II study. As repeatedly pointed out, however, a phase III trial would be unrealistic due to the rarity of SSTs. Possibly, clinical questions common with other patient subsets could be tested in a phase III trial targeting a broader patient population; for example, patients with SSTs and other stage III NSCLC could be enrolled onto a phase III trial of prophylactic cranial irradiation after definitive induction therapy.³³

In conclusion, we report a favorable outcome of preoperative chemoradiotherapy in patients with SSTs, confirming the results of the previous SWOG/Intergroup trial. We believe that this strategy may be acceptable as standard for the treatment of this disease and also serves as a reference for future trials.

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Appendix

The Appendix is included in the full-text version of this article, available online at www.jco.org. It is not included in the PDF version (via Adobe® Reader®).



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Photodynamic therapy for lung cancers based on novel photodynamic diagnosis using talaporfin sodium (NPe6) and autofluorescence bronchoscopy

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Summary

Background: We had previously developed the possibility of use of a photodynamic diagnosis (PDD) system using a tumor-selective photosensitizer and laser irradiation for the early detection and photodynamic therapy (PDT) for centrally located early lung cancers. Recently, we established the autofluorescence diagnosis system integrated into a videoendoscope (SAFE-3000) as a very useful technique for the early diagnosis of lung cancer.

Patients and methods: Twenty-nine patients (38 lesions) with centrally located early lung cancer received PDD and PDT using the second-generation photosensitizer, talaporfin sodium (NPe6). Just before the PDT, we defined the tumor margin accurately using the novel PDD system SAFE-3000 with NPe6 and a diode laser (408 nm).

Results: Red fluorescence emitted from the tumor by excitation of the photosensitizer by the diode laser (408 nm) from SAFE-3000 allowed accurate determination of the tumor margin just before the PDT. The complete remission (CR) rate following NPe6-PDT in the cases with early lung cancer was 92.1% (35/38 lesions). We also confirmed the loss of red fluorescence

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