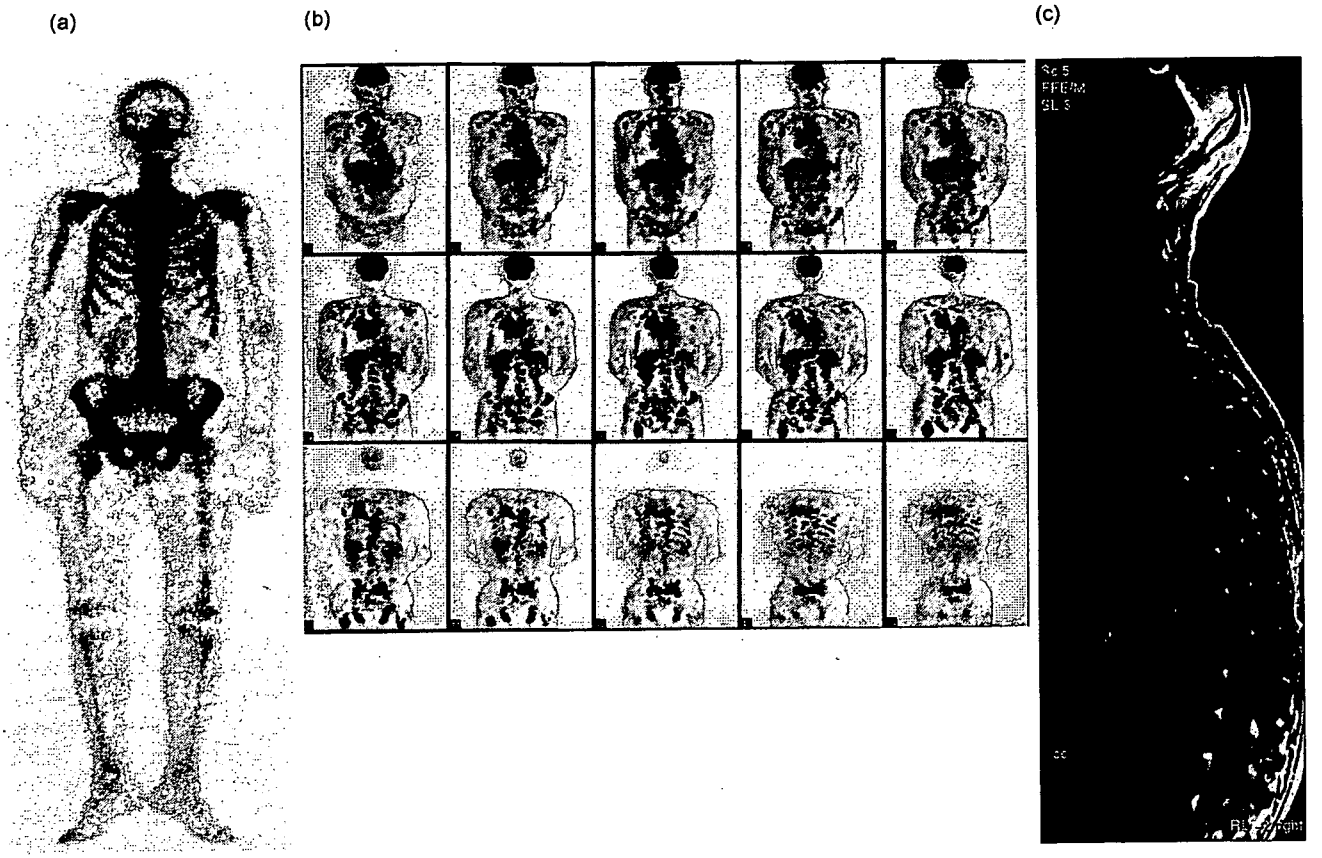


**Fig. 1** A 61-year-old man with small-cell lung cancer. Bone scintigraphy was negative for osseous metastasis (a). However, PET scan demonstrated increased FDG uptake in bones throughout the body (b). MRI of the spine confirmed multiple bone metastases (c).

mediastinal lesion showed no change although the primary tumour had decreased in size and atelectasis of the right middle lobe was improved. The mediastinal lymph nodes were considered negative for metastasis (No. 61).

## 4. Discussion

SCLC tends to disseminate early in the disease course and displays a more aggressive clinical behaviour than NSCLC. Local treatment modalities alone such as radiotherapy or surgery are not effective in prolonging survival beyond a few weeks. Systemic chemotherapy is the mainstay of treatment for patients in all stages of SCLC. A combination of chemotherapy and thoracic irradiation can promote long-term survival for patients diagnosed as having limited disease and recent clinical trials of chemoradiotherapy for LD-SCLC obtained 5-year survival rates of 24–26% [2,3]. However, thoracic irradiation might cause severe radiation pneumonitis, resulting in respiratory failure and/or treatment-related death. Furthermore, thoracic irradiation might also cause oesophagitis which worsens patient quality of life. Accurate clinical staging is important to determine the indications for chemoradiotherapy in SCLC. Our study demonstrated that FDG-PET scan detected unsuspected distant metastases in 8% of patients with LD-SCLC based on conventional staging procedures and that the detection of these new lesions changed their therapeutic strategies. Furthermore, FDG-PET scan detected regional lymph node metastases which had not been visualized on CT scan in 14% of patients. The radiation field could be appropriately set to cover the positive nodes based on the PET study results. Our results reconfirmed those of a previous preliminary study with a smaller number of patients [9].

Is the rate of the detection of unsuspected distant metastases (8%) clinically significant? Previous studies demonstrated that FDG-PET scan detected unsuspected distant metastases in 24% of patients with stage III NSCLC [6,7]. Compared to this result, the impact of FDG-PET on the staging of SCLC seems to be weaker. SCLC tends to have more obvious distant metastases than NSCLC, because of the aggressive biological behaviour of SCLC. Therefore, FDG-PET might detect unsuspected distant metastases at a relatively low rate. The most common region for unsuspected PET-detected metastasis in NSCLC was the abdomen, with 53% of pateints having adrenal, liver, and other lesions [6]. In our study, FDG-PET detected bone metastases in four of five patients who were upstaged from LD to ED. These lesions might reflect metastasis to the bone marrow, although no pathological evidence was obtained, because neither bone marrow biopsy nor aspiration cytology was routinely conducted for the initial clinical staging.

Our retrospective analyses have several limitations. We did not confirm histologically regional lymph node or distant metastases detected by FDG-PET or CT. These lesions were not routinely biopsied and most metastatic lesions were chemosensitive and radiosensitive. Our confirmation was inevitably based on observation of the clinical course.

Table 2 Disagreement between FDG-PET and conventional staging procedures (regional lymph node metastases)

| Patient no. | Age (years) | Gender | CT N | PET N | PET M | Interval between CT scan of the chest and FDG-PET (days) | Comments |
|---|---|---|---|---|---|---|---|
| 1 | 63 | Male | 3 | 3 | 0 | 8 | Contralateral supraclavicular lymph node metastasis (PET) |
| 5 | 64 | Female | 1 | 2 | 0 | 34 | Subcarinal lymph node metastasis (PET) |
| 16 | 71 | Male | 3 | 3 | 0 | 7 | Contralateral supraclavicular lymph node metastasis (PET) |
| 20 | 69 | Male | 3 | 3 | 0 | 20 | Ipsilateral supraclavicular lymph node metastasis (PET) |
| 25 | 60 | Male | 3 | 3 | 0 | 27 | Ipsilateral supraclavicular lymph node metastasis (PET) |
| 30 | 66 | Male | 2 | 2 | 0 | 7 | Pretracheal lymph node metastasis (PET) |
| 33 | 72 | Male | 3 | 3 | 0 | 13 | Ipsilateral supraclavicular lymph node metastasis (PET) |
| 41 | 49 | Female | 3 | 3 | 0 | 19 | Contralateral supraclavicular lymph node metastasis (PET) |
| 43 | 73 | Male | 2 | 0 | 0 | 34 | False-positive pretracheal lymph node metastasis (CT) |
| 56 | 48 | Female | 3 | 3 | 0 | 11 | Ipsilateral supraclavicular lymph node metastasis (PET) |
| 61 | 74 | Male | 2 | 0 | 0 | 27 | False-positive superior mediastinal and subcarinal lymph nodes (CT) |

FDG, fluorodeoxyglucose; PET, positron emission tomography; CT, computed tomography; N, node; M, metastasis.

We employed no special strategies to reduce the bias of PET readers. PET readers might have reported in such a way as to reduce or increase the impact of PET. One-third of patients received FDG-PET after commencement of chemotherapy. However, the median interval between commencement of chemotherapy and FDG-PET was 4 days (range: 1–11 days). We considered the chemotherapy to have had no effects on the findings of FDG-PET in such a short time after the initiation of chemotherapy.

FDG-PET is expected to have the potentially to both up- and downstage patients with SCLC as well as NSCLC. A previous study demonstrated that FDG-PET correctly downstaged ED to LD in three of 120 patients with SCLC [10]. These three patients had adrenal swelling on CT scan, but these lesions were negative on FDG-PET. On the other hand, FDG-PET correctly upstaged LD to ED in 10 of 120 patients with SCLC. It seems that SCLC seldom has a solitary distant metastasis because of its aggressive clinical behaviour. Most ED-SCLC has multiple, not solitary, or obvious distant metastasis. Furthermore, the health insurance system does not allow patients who obviously have metastatic lung cancer to receive FDG-PET in Japan. Therefore, we did not include patients with ED-SCLC in our analysis. Needless to say, FDG-PET is considered to be useful in patients with possible, but not evident, distant metastasis on other imaging tests, such as a solitary adrenal swelling.

According to the VALSG system, LD-SCLC is defined as a tumour confined to one hemithorax and regional lymph nodes [1]. Contralateral hilar or contralateral supraclavicular nodal involvement was classified as ED. According to the International Association for the Study of Lung Cancer (IASLC) consensus report, the classification of LD-SCLC includes bilateral hilar and/or supraclavicular nodal involvement, and ipsilateral pleural effusion [18]. A previous retrospective study demonstrated that the IASLC staging criteria for SCLC patients had a higher prognostic impact than VALSG criteria [19]. Therefore, we adopted the IASLC staging criteria for SCLC in our study.

In conclusion, FDG-PET scans detected unsuspected distant metastases in five of 63 patients with LD-SCLC (95% CI: 3–18%) and these findings resulted in a change of therapeutic strategies in these five patients. FDG-PET scans also detected contralateral supraclavicular lymph node metastases that had been negative on CT scans in three other

patients. These additional findings facilitated setting appropriate irradiation fields. FDG-PET scan is recommended as an initial staging tool in patients with apparent LD-SCLC.

## Conflict of interest

The authors certify that there are no potential conflicts of interest.

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Tohoku J. Exp. Med., 2007, **213**, 17-23

*Review*

# Problems with Registration-Directed Clinical Trials for Lung Cancer in Japan

IKUO SEKINE,[1] HIROSHI NOKIHARA,[1] NOBORU YAMAMOTO,[1] HIDEO KUNITOH,[1] YUICHIRO OHE,[1] NAGAHIRO SAIJO[2] and TOMOHIDE TAMURA[1]

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SEKINE, I., NOKIHARA, H., YAMAMOTO, N., KUNITOH, H., OHE, Y., SAIJO, N. and TAMURA, T. *Problems with Registration-Directed Clinical Trials for Lung Cancer in Japan.* Tohoku J. Exp. Med., 2007, **213** (1), 17-23 —— New anticancer agents against lung cancer are needed because efficacy of chemotherapy is limited. The long time required, low quality, and considerable costs of registration-directed clinical trials in Japan ("Chiken") have been pointed out. The quality of 24 phase I and 41 phase II trials of an anticancer drug for lung cancer were analyzed according to the approval year of the drug. The human resources and infrastructure to support oncology clinical practice and clinical trials were compared between Japan and the USA. A maximum tolerated dose was not defined in any of seven phase I trials before 1989, and was determined in two of six trials between 1989 and 1996 and in seven of 10 trials thereafter. Before 1989, 29 (20%) of 142 patients registered in two trials were ineligible, and the number of ineligible patients was not reported in the five trials. Sample size calculations were not performed in any of seven phase II trials before 1989 and were performed in only four of 10 trials between 1989 and 1996 and in all 23 trials conducted thereafter. The shortage of human resources, including medical oncologists, oncology nurse practitioners and clinical research coordinators, is serious and acute. The infrastructure to support clinical trials also remains insufficient in Japan. In conclusion, registration-directed clinical trials of anticancer agents have advanced significantly during last three decades but remain unsatisfactory. The development of infrastructure and human resources is an urgent task to ensure high-quality clinical trials without unnecessary delays. ——— clinical trials; medical oncologists; nurse practitioners; lung cancer; anticancer agents



Lung cancer is one of the most common malignancies and the leading cause of cancer-related deaths in many countries. In the year 2000, the annual number of deaths from lung cancer was estimated to be 1.1 million worldwide, and global lung caner incidence is increasing at a rate of 0.5% per year (Schottenfeld and Searle 2005). About 80% of patients with lung cancer have already developed distant metastases or pleural effusion, either by the time of the initial

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diagnosis or by the time recurrence is detected after surgery for local disease. These patients can be treated with systemic chemotherapy, but the efficacy of currently available anticancer agents is limited to the extent that patients with advanced disease rarely live long. Therefore, new chemotherapeutic agents continue to be developed against lung cancer (Sekine and Saijo 2000).

The Japanese Pharmaceutical Affairs Law (PAL) was enacted in 1948, and was first amended in 1960 to provide for regulations to ensure the maintenance of the quality, efficacy, and safety of drugs and medical devices, and to promote research and development of these medical and pharmaceutical products. Good Clinical Practice (GCP) was enforced by the Bureau Notification of the Ministry of Health and Welfare of Japan ("Kyokuchou-Tsuuchi") in 1989 (the former GCP). In 1996, the PAL and its related laws were amended to strengthen GCP (the new GCP), Good Laboratory Practice, Good Post-Marketing Surveillance Practice, and standard compliance reviews, conforming to the International Conference on Harmonization of Technical Requirements for Registration of Pharmaceuticals for Human Use. In contrast to the laws prevailing in the US and EU, marketing approval for anticancer agents in Japan has been granted based on reports of the anti-tumor effects of the new agents in phase II trials (Fujiwara and Kobayashi 2002).

Under this Japanese drug approval system regulated by the PAL, 23 anticancer drugs have been approved for use against lung cancer during the last five decades (Fig. 1). Of these, 9 drugs are original to Japan, some of which are routinely used all over the world. Several problems, however, have been pointed out in registration-directed clinical trials in Japan ("Chiken"), including the long time required, low quality, and considerable cost (The Ministry of Health, Labour and Welfare of Japan 2002; The Ministry of Education, Science and Culture and the Ministry of Health, Labour and Welfare 2003). As a result, Japanese cancer patients must wait for a long time

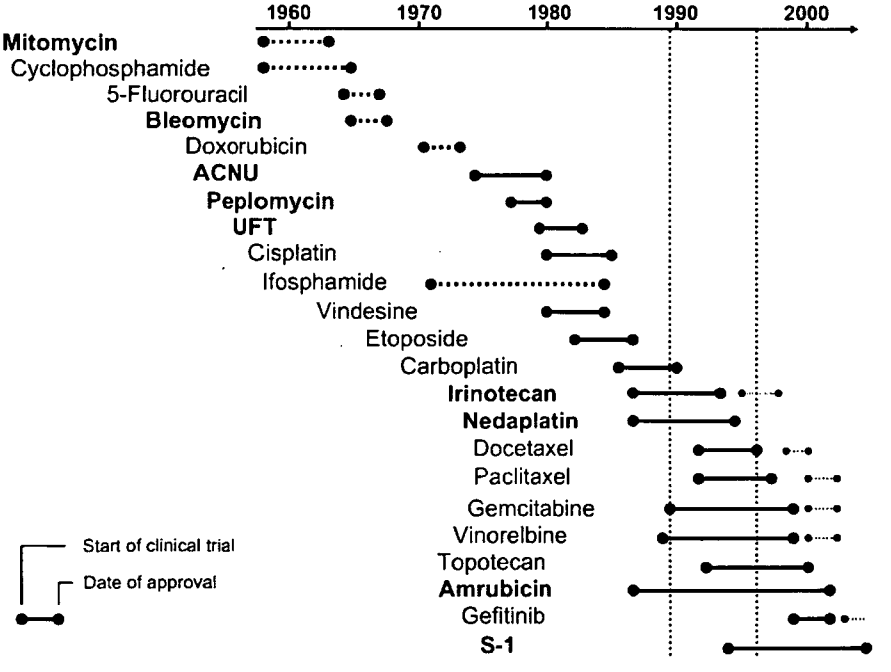


Fig. 1. Anticancer drugs approved for lung cancer in Japan.
Bold: original to Japan. Dotted line: case series studies, solid thick line: investigational new drug phase I-II trials for approval, and dotted thin line: post-marketing sponsored phase III trials. Vertical dotted lines indicate the year when the former and new GCP were issued.

until they receive new anticancer drugs which have been approved long before in other countries (The Ministry of Health, Labour and Welfare of Japan 2005). We discuss the aspects and issues of registration-directed trials in Japan by reviewing such trials for the 23 anticancer drugs.

*Review of registration-directed clinical trials for the 23 anticancer drugs*

A total of 65 phase I and II trials of an anticancer drug for approval were reviewed in terms of definition of eligibility criteria, maximum tolerated dose (MTD), sample size, response criteria, and extramural review for tumor responses. The MTD is the dose associated with seriouis but reversible toxicities in a sizeable proportion of patients and the one that offers the best chance for a favorable therapeutic ratio (Piantadosi 1997). The number of patients accrued in a trial, percentage of ineligible patients, number of participant hospitals in a trial, and the study period defined as the months between the first and last patient accrual were also analyzed. They were obtained from a published paper for 53 trials, from a meeting abstract and in-company resource for one trial, and from in-company resource alone for the remaining 11 trials. The clinical developmental period of an anticancer drug was defined as years between the start month of the first phase I trial and the month of the approval for lung cancer. These parameters are compared according to the approval year of the drug. We categorized three periods of approval: 1) before 1989, 2) between 1989 and 1996, and 3) between 1997 and 2004, because the former GCP was enforced in 1989, and the new GCP in 1997 (Fujiwara et al. 2002).

Of the 23 anticancer drugs, six drugs whose clinical development started before 1974 were approved on the basis of the clinical experience of the use of the drug without clinical trials (Fig. 1). A total of 24 phase I trials were identified (Table 1). The MTD was not defined in the protocol of any trials before 1989, but was defined in 33% of trials between 1989 and 1996, and in 70% of trials after 1996. Instead of the MTD, maximum acceptable dose, defined as the dose associated with grade 2 or severer toxicity in two thirds or more patients, was used in a trial after 1996. About twice more patients were registered in a trial before 1989 than thereafter, but 20% of the registered patients before 1989 were ineligible. The study period of a phase I trial got longer as the number of participant hospitals decreased, from 7 months and 11 hospitals before 1989 to 13 months and 4 hospitals after 1996, respectively.

In this review, 41 phase II trials for approval were analyzed (Table 2). Calculation of the sample size was not made in any trials before 1989, was seen in 40% of trials between 1989 and 1996, and in all trials thereafter. Response criteria were

TABLE 1. Investigational new drug phase I trials for approval.

| | Before 1989 | 1989-1996 | 1997 or thereafter |
|---|---|---|---|
| Total number of trials | 7 | 6 | 11 |
| Defined, number (%) of trials | | | |
| Eligibility criteria | 4 (57) | 6 (100) | 11 (100) |
| Maximum tolerated dose* | 0 (0) | 2 (33) | 7 (70) ‡ |
| Results of trials, median (range) | | | |
| Number of patients** | 61 (32-170) | 24 (18-54) | 29 (9-43) |
| % of ineligible patients | 20 (20-21) † | 8 (0-33) | 6 (0-22) |
| Number of hospitals | 11 (1-21) | 9 (1-18) | 4 (1-17) |
| Study period in months | 7 (5-30) | 10 (5-11) | 13 (8-24) |

*Statistically significant difference obtained ($p = 0.014$ by the chi-square test); **Statistically significant difference obtained ($p < 0.01$ by the Kruskal Wallis test); †Data were available in 2 trials only; ‡Data were available in 10 trials only.

TABLE 2. Investigational new drug phase II trials for approval.

| | Before 1989 | 1989-1996 | 1997 or thereafter |
|---|---|---|---|
| Total number of trials | 7 | 11 | 23 |
| Defined, number (%) of trials | | | |
| Eligibility criteria | 4 (57) | 11 (100) | 23 (100) |
| Sample size calculation* | 0 (0) | 4 (40) ‡ | 23 (100) |
| Response criteria | 6 (86) | 11 (100) | 23 (100) |
| Extramural review | 3 (43) | 9 (82) | 23 (100) |
| Results of trials, median (range) | | | |
| Number of patients | 71 (10-127) | 68 (18-153) | 61 (11-102) |
| % of ineligible patients | 18 (0-29) † | 3 (0-22) | 3 (0-12) |
| Number of hospitals | 27 (3-103) | 17 (1-30) | 20 (5-46) |
| Study period in months | 18 (12-36) | 12 (6-34) | 26 (4-48) § |

*Statistically significant difference obtained ($p < 0.01$ by the chi-square test); †Data were available in 5 trials only; ‡Data were available in 10 trials only; §Data were available in 22 trials only.

defined in almost all studies, but an extramural review was conducted only after 1989. The median number of registered patients in a trial was constant through the three periods, but the percentage of ineligible patients was high in trials conducted before 1989. The number of patients in a trial, and the number of hospitals in a trial were similar regardless of the year. The median study period in recent trials was 26 months.

The clinical development period was evaluated in the 23 drugs. Cisplatin was approved for germ cell tumors in 1983 and additionally approved for non-small cell lung cancer (NSCLC) in 1986. S-1 was firstly approved for gastric cancer in 1999, and additionally approved for NSCLC in 2004. The other drugs were approved for lung cancer for the first time. The median (range) clinical development period was 5.2 (3.2-14.5) years before 1989, 6.0 (4.8-9.1) years between 1989 and 1996, and 9.0 (3.9-15.4) years in 1997 or thereafter.

### *Development and recent problems of phase I and phase II trials in Japan*

The concept of the "clinical trial" was not widely followed in Japan until 1974, when a phase I trial of nimustine hydrochloride (ACNU) was launched as one part of the United States-Japan Cooperation Cancer Research Program on the basis of the agreement between the National Cancer Institute and Japan Society for the Promotion of Science (Sugano 1982; Niitani 1999). Phase I trials before 1989 required the accrual of many patients, because 1) the maximum tolerated dose was not defined, 2) many patients were treated at unnecessary dose levels because the modified Fibonacci dose escalation schedule was not applied, and 3) the percentage of ineligible patients was high. Some of these issues were improved in 1997 or thereafter, but the maximum tolerated dose is still not defined in as many as 40% of trials. Recently, oncology phase I trials came to be conducted among fewer hospitals than before, as more participants were recruited in each hospital. This facilitated communication among phase I investigators, which is important to complete phase I trials safely.

Phase II trials play the central role in anticancer agent approval in Japan, because the approval can be granted based on the response rate in these trials. The quality of protocols for phase II trials suggested by eligibility criteria, sample size calculation, response criteria, and extramural review has been improved significantly. The study period of phase II trials, however, was and is still too long, as long as 4 years in recent trials. To increase participant hospitals, however, is not necessarily a desirable solution,

because a certain number of patients per hospital are needed to maintain the quality of trials by training doctors in the application of a new drug. Thus, enhancing patient recruitment in each hospital participating in the trial is the most important consideration.

*A high standard of oncology clinical practice as the basis for clinical trials*

Since a high standard of clinical practice is the basis for all clinical trials, the infrastructure for oncological clinical practice should be promptly advanced. The shortage of human resources including medical oncologists and oncology nurse practitioners in Japan is serious and acute. In the United States, medical oncology was established as a separate discipline by the American Board of Internal Medicine in 1971, and approximately 8,000 certified internists as of 2003 have been further certified by the Board in the subspecialty of medical oncology (Holland et al. 2003). In contrast, medical oncology has not been established as an academic unit or a regular university course in many medical schools in Japan. The Japanese Society of Medical Oncology was launched as an association in 1993, and framed the system of cancer medical specialists in 2003. A total of 1,479 doctors were certified as a tentative medical oncology supervisor between 2003 and 2005, and 47 doctors as a medical oncology specialist in 2005 (Table 3) (Japanese Society of Medical Oncology 2005).

To deal with complex cancer care, oncology nurse practitioners in the United States have become an integral part of the multidisciplinary team in the care of patients. As of 2002, more than 19,000 oncology nurse practitioners have been certified by the Oncology Nursing Society in the United States (Rieger 2003). In contrast, the number of oncology nurse practitioners registered in the Japanese Nursing Association was only 44 as of 2005 (Table 3) (Japanese Nursing Association 2005). Introduction of oncology nurse practitioners in clinical practice should lessen the burden on oncologists significantly and help them to have the incentive to take part in registration-directed clinical trials.

*The infrastructure and human resources to support clinical trials*

The infrastructure to support in-house clinical trials remains insufficient and even lacking in almost all institutes in Japan, while it has been advanced systematically in the United States. In the 1960s, General Clinical Research Centers were founded with the support of National Institutes of Health in 80 universities and academic institutions to provide the primary resources and optimal environment necessary for investigators to conduct clinical research. They include experienced nursing, laboratory, computer system, and biostatistical staff (Robertson and Tung 2001; General Clinical Research Centers 2005). To carry out a multicenter trial, a central data center

TABLE 3. Medical oncology professionals in Japan and the USA.

| Professionals | *n* of medical oncology professionals | |
|---|---|---|
| | Japan | USA |
| Medical oncologists | 47 [1] | 8,000 [2] |
| Oncology nurse practitioners | 44 [3] | 19,000 < [4] |
| Clinical research coordinators | 335 [5] | 10,723 [6] |

[1] Certified by the Japanese Society of Medical Oncology in 2005.
[2] Certified by the American Board of Internal Medicine as of 2003.
[3] Certified by the Japanese Nursing Association as of 2005.
[4] Certified by the Oncology Nursing Society as of 2002.
[5] Certified by the Japanese Society of Clinical Pharmacology and Therapeutics as of 2005.
[6] Certified by the Association of Clinical Research Professionals as of 2005.

is needed to deal with the increased administrative difficulties and quality assurance problems associated with this type of trial (Pollock 1994). The quality control and quality assurance system of the Japan Clinical Oncology Group has been significantly developed during the last two decades (Japan Clinical Oncology Group 2005). Using Internet resources may facilitate developing national and regional networks for clinical trials by reducing the burden associated with the extensive research time and considerable cost of all these processes (Paul et al. 2005).

The new GCP demands more of the clinical researchers in time, resources and money to enhance the science, credibility, and ethics of clinical trials for approval (Sweatman 2003). The clinical research coordinator (CRC) plays a key role in the clinical trial process by supporting investigators. The CRCs are involved in every aspect of registration-directed clinical trials, including protocol development, checking eligibility criteria, informed consent, organizing study schedules, checking clinical tests, filling in case report forms, and providing support for monitoring and auditing the trials (Rico-Villademoros et al. 2004; Sakamoto 2004). Association of Clinical Research Professionals in the USA has offered the CRC certification since 1992, and there are 10,723 CRCs to date (Association of Clinical Research Professionals 2006). The Japanese Society of Clinical Pharmacology and Therapeutics launched the certified CRC system in 2003, and there were 335 certified CRCs as of 2005 (Table 3) (The Japanese Society of Clinical Pharmacology and Therapeutics 2005).

In conclusion, clinical trials of anticancer agents for approval have been developing significantly, but still remain at an unsatisfactory level. Development of the infrastructure and human resources for clinical trials is an urgent task to complete good quality clinical trials for approval without delay.

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# Epidermal Growth Factor Receptor Mutation Detection Using High-Resolution Melting Analysis Predicts Outcomes in Patients with Advanced Non–Small Cell Lung Cancer Treated with Gefitinib

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**Abstract**

**Purpose:** Epidermal growth factor receptor (*EGFR*) mutations, especially deletional mutations in exon 19 (DEL) and L858R, predict gefitinib sensitivity in patients with non–small cell lung cancer (NSCLC). In this study, we validated *EGFR* mutation detection using high-resolution melting analysis (HRMA) and evaluated the associations between *EGFR* mutations and clinical outcomes in advanced NSCLC patients treated with gefitinib on a larger scale.

**Experimental Design:** The presence of DEL or L858R was evaluated using HRMA and paraffin-embedded tissues and/or cytologic slides from 212 patients. In 66 patients, the results were compared with direct sequencing data.

**Results:** HRMA using formalin-fixed tissues had a 92% sensitivity and a 100% specificity. The analysis was successfully completed in 207 patients, and DEL or L858R mutations were detected in 85 (41%) patients. The response rate (78% versus 8%), time-to-progression (median, 9.2 versus 1.6 months), and overall survival (median, 21.7 versus 8.7 months) were significantly better in patients with *EGFR* mutations ($P < 0.001$). Even among the 34 patients with stable diseases, the time-to-progression was significantly longer in patients with *EGFR* mutations. Patients with DEL ($n = 49$) tended to have better outcomes than those with L858R ($n = 36$); the response rates were 86% and 67%, respectively ($P = 0.037$), and the median time-to-progression was 10.5 and 7.4 months, respectively ($P = 0.11$).

**Conclusions:** HRMA is a precise method for detecting DEL and L858R mutations and is useful for predicting clinical outcomes in patients with advanced NSCLC treated with gefitinib.

Gefitinib (Iressa; AstraZeneca) is an orally active, selective epidermal growth factor receptor (EGFR) tyrosine kinase inhibitor. Phase II studies have shown gefitinib antitumor activity in patients with advanced non–small cell lung cancer (NSCLC; refs. 1, 2). Several studies have shown that the response rate to gefitinib is higher in women, patients with adenocarcinoma, never smokers, and Japanese or East Asians (1–3); subsequently, somatic mutations in the kinase domain of *EGFR* were suggested to be a determinant of gefitinib sensitivity (4, 5). Since then, many retrospective studies have consistently revealed that *EGFR* mutations, mainly in-frame deletions including amino acids at codons 747 to 749 in exon 19 (DEL) and a missense mutation at codon 858 (L858R) in exon 21, are associated with tumor response, time-to-progression, and overall survival in NSCLC patients treated with gefitinib (6–8).

In our previous study, which clearly showed a correlation between *EGFR* mutations and gefitinib sensitivity in patients with recurrent NSCLC after surgical resection of the primary tumor (6), we used methanol-fixed, paraffin-embedded surgical specimens and did laser capture microdissection and direct sequencing, which we considered to be the most precise methods available for identifying mutations at that time. However, these methods are not useful in clinical practice for the treatment of advanced NSCLC for two reasons. First, the diagnostic samples of advanced NSCLC tumors, unlike surgical specimens, contain a small amount of tumor cells and are highly contaminated with normal cells. Second, laser capture microdissection and direct sequencing require special

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**Table 1.** Patient characteristics ($N$ = 212)

| | $n$ (%) |
|---|---|
| Age (y) | |
| Median (range) | 62 (29-84) |
| Sex | |
| Women | 92 (43) |
| Men | 120 (57) |
| Smoking history* | |
| Never smokers | 96 (45) |
| Former smokers | 38 (18) |
| Current smokers | 78 (37) |
| Histology | |
| Adenocarcinoma | 193 (91) |
| Others | 19 (9) |
| Performance status [1] | |
| 0 | 59 (28) |
| 1 | 123 (58) |
| 2 | 22 (10) |
| 3 | 8 (4) |
| Stage | |
| III | 42 (20) |
| IV | 75 (35) |
| Recurrence after surgery | 95 (45) |
| Gefitinib therapy | |
| First line | 89 (42) |
| Second line | 66 (31) |
| Third or more line | 57 (27) |

*Never smokers were defined as patients who have never had a smoking habit and former smokers were defined as patients who had stopped smoking at least 1 y before diagnosis.
[1] At the beginning of gefitinib therapy.

instruments and cost time and money. Recently, high-resolution melting analysis (HRMA) using the dye LCGreen I (Idaho Technology) was introduced as an easy, quick, and precise method for mutation screening (9), and we established a method for detecting DEL and L858R mutations using HRMA. Our cell line study revealed that DEL and L858R mutations could be detected using HRMA in the presence of 10% and 0.1% mutant cells, respectively (10). We also showed that the two major mutations could be identified by HRMA using DNA extracted from archived Papanicolaou-stained cytologic slides with 88% sensitivity and 100% specificity (10).

In this study, we validated *EGFR* mutation detection by HRMA using DNA extracted from archived paraffin-embedded tissues. We also did the HRMA in advanced NSCLC patients treated with gefitinib on a larger scale using archived tissues and/or cytologic slides.

## Patients and Methods

*Patients.* Among 364 consecutive patients with NSCLC who began receiving gefitinib monotherapy (250 mg/d) at the National Cancer Center Hospital between July 2002 and December 2004, 212 patients were retrospectively analyzed using HRMA. One hundred fifty-two patients were excluded from the analysis because tumor samples were not available ($n$ = 126) or their informed consent to the genetic analysis was not obtained ($n$ = 26).

*High-resolution melting analysis.* On a protocol approved by the Institutional Review Board of the National Cancer Center Hospital, we did the following genetic analyses. Formalin-fixed, paraffin-embedded tissues and/or Papanicolaou-stained cytologic slides containing sufficient tumor cells (at least 1% of nucleated cells) were selected after microscopic examination by a pathologist (K.T.). The detailed analysis method has been described previously (10). Briefly, DNA was extracted from the tissues and/or cytologic slides using a QIAamp DNA Micro kit (Qiagen). PCR was done using dye LCGreen I and primers designed to amplify a region containing E746-I759 of *EGFR* [DEL-specific primer, AAAATTCCCGTCGCTATC (forward) and AAGCAGAAACTCACATCG (reverse)] or L858 of *EGFR* [L858R-specific primer, AGATCACAGATTTTGGGC (forward) and ATTCTTTCTCTTCCGCAC (reverse)] on a LightCycler (Roche Diagnostics). The PCR products were denatured at 95°C for 5 min and cooled to 40°C to form heteroduplexes. The LightCycler capillary was then transferred to an HR-1 (Idaho Technology), a HRMA instrument, and heated at a transition rate of 0.3°C per second. Data were acquired and analyzed using the accompanying software (Idaho Technology). After normalization and temperature adjustment steps, melting curve shapes from 78.5°C to 85.5°C were compared between samples and control samples. Human Genomic DNA (Roche Diagnostics) was used as a control sample with wild-type (WT) *EGFR*. Samples revealing skewed or left-shifted curves from those of control samples were judged to have mutations. All analyses were done in a blinded fashion.

**Table 2.** Clinical validation of HRMA and direct sequencing without laser capture microdissection

| | HRMA without LCM | | | Direct sequencing without LCM (6) |
|---|---|---|---|---|
| | Formalin-fixed tissues | Methanol-fixed tissues | Cytologic slides (10) | |
| $n$ | 66 | 66 | 29 | 66 |
| Successfully analyzed, $n$ (%) | 63 (95) | 66 (100) | 28 (97) | 66 (100) |
| True positive | 34 | 36 | 14 | 28 |
| True negative | 26 | 29 | 12 | 29 |
| False positive | 0 | 0 | 0 | 0 |
| False negative | 3 | 1 | 2 | 9 |
| Sensitivity (%) | 92 | 97 | 88 | 76 |
| Specificity (%) | 100 | 100 | 100 | 100 |
| Positive predictive value (%) | 100 | 100 | 100 | 100 |
| Negative predictive value (%) | 90 | 97 | 86 | 76 |

NOTE: The results of these analyses were compared with those of direct sequencing with LCM (used as the "gold standard" method). True positive is defined as the correct detection of deletional mutations in exon 19 or L858R.
Abbreviation: LCM, laser capture microdissection.

**Table 3.** *EGFR* mutations among patient subgroups

| | *n* | *EGFR* mutations | | | | *P* |
|---|---|---|---|---|---|---|
| | | DEL | L858R | Total | % | |
| Total | 207 | 49 | 36 | 85 | 41 | |
| Sex | | | | | | |
| Women | 89 | 31 | 17 | 48 | 54 | 0.001 |
| Men | 118 | 18 | 19 | 37 | 31 | |
| Smoking history | | | | | | |
| Never smokers | 93 | 30 | 19 | 49 | 53 | 0.002* |
| Former smokers | 38 | 12 | 10 | 22 | 58 | |
| Current smokers | 76 | 7 | 7 | 14 | 18 | |
| Histology | | | | | | |
| Adenocarcinoma | 189 | 48 | 35 | 83 | 44 | 0.007 |
| Others | 18 | 1† | 1‡ | 2 | 11 | |

*Comparison between never smokers and others.
† Pleomorphic carcinoma.
‡ Adenosquamous carcinoma.

*Clinical validation of HRMA.* Direct sequencing with and without laser capture microdissection had been done in 66 patients with recurrent NSCLC after surgery in the previous study (6). In these patients, HRMA was done using both formalin-fixed and methanol-fixed surgical specimens without laser capture microdissection, and the results were compared with the results of direct sequencing with laser capture microdissection, which we considered to be the gold standard method.

*Radiologic evaluation.* One board-certified radiologist (U.T.) who was unaware of the patients' mutational statuses reviewed the baseline, the first follow-up, and confirmatory imaging studies and classified the tumor responses into complete response (CR), partial response (PR), stable disease (SD), and progressive disease (PD) using standard bidimensional measurements (11). In patients without measurable lesions, significant clinical benefit and disease progression were defined as clinical PR and clinical PD, respectively. Patients who died before the follow-up imaging studies were classified as PD. SD was subdivided into minor response (MR), long SD, and short SD. MR was defined as a ≥25% decrease in the sum of the products of the perpendicular diameters of all measurable lesions, and long SD meant that SD lasted for >6 months. Responders were defined as patients with CR, PR, or clinical PR.

*Statistical analysis.* The associations among *EGFR* mutations, patient characteristics, and tumor responses to gefitinib were assessed using a $\chi^2$ test. The differences in time-to-progression and overall survival according to the patient subgroups were compared using Kaplan-Meier curves and log-rank tests. The starting point of the time-to-progression and overall survival was the first administration of gefitinib. Multivariate analyses using logistic regression models and Cox proportional hazard models were done to assess the association between the clinical outcomes and the following factors: age (<70 versus ≥70 years), sex, smoking history (never smokers versus others), histology (adenocarcinoma versus others), performance status (0/1 versus 2/3), stage (recurrence after surgery versus III/IV), prior chemotherapy (yes versus no), and the mutational status of *EGFR* (mutant versus WT). All analyses were done using the SPSS statistical package (SPSS version 11.0 for Windows; SPSS, Inc.).

## Results

*Patient characteristics.* The patient characteristics are listed in Table 1. All the patients were East Asians: 210 Japanese, 1 Korean, and 1 Chinese. The median follow-up time for the survivors was 29.7 months (range, 10.7-49.8 months).

*Clinical validation of HRMA.* The clinical validation of the HRMA results using various samples is shown in Table 2. The sensitivity of HRMA using DNA extracted from formalin-fixed tissues was 92%, significantly higher than that of direct sequencing without laser capture microdissection but lower than that of HRMA using methanol-fixed tissues. The specificity and positive predictive values were 100% in all the analyses.

*Mutational analysis.* HRMA was completed in 207 patients. Five patients could not be successfully analyzed because of incomplete PCR. Of the 207 patients, 130 were analyzed using tissue samples (96 samples were obtained by thoracotomy, 17 by mediastinoscopic lymph node biopsy, 9 by thoracoscopic lung or pleural biopsy, 5 by resection or biopsy of distant metastases, and 3 by transbronchial lung biopsy), and 117 were analyzed using cytology samples (43 samples were obtained by bronchial brushing or washing, 40 from pleural effusion, 9 by transbronchial needle aspiration, 8 from pericardial effusion, 7 by needle aspiration of superficial lymph nodes, 6 by percutaneous needle aspiration of lung tumors, and 4 from sputum). In 40 patients who were analyzed using both tissue and cytology samples, 4 had inconsistent results; mutations were detected only in tissue samples and not in cytology samples (3 patients) or vice versa (1 patient). These four patients were judged to have mutations because false-negative results were more common than false-positive results in the validation of HRMA. Consequently, DEL and L858R mutations were detected in 49 (24%) and 36 (17%) patients, respectively, and these mutations were mutually exclusive. The other 122 (59%) patients were classified as having WT *EGFR* in this study, although some of them may have had minor mutations. As

**Table 4.** *EGFR* mutations and response to gefitinib

| | Responders | | SD | | | PD | Response rate (%) | *P* |
|---|---|---|---|---|---|---|---|---|
| | CR | PR | MR | Long SD | Short SD | | | |
| WT | 0 | 10 | 2 | 4 | 17 | 89 | 10/122 (8) | $<10^{-23}$ |
| Mutant | 2 | 64* | 6 | 4 | 1 | 8† | 66/85 (78) | |
| DEL | 0 | 42 | 2 | 2 | 1 | 2 | 42/49 (86) | 0.037 |
| L858R | 2 | 22 | 4 | 2 | 0 | 6 | 24/36 (67) | |
| Total | 2 | 74 | 8 | 8 | 18 | 97 | 76/207 (37) | |

*Including four clinical responders without measurable lesions.
† Including a patient who had no measurable lesions at baseline.

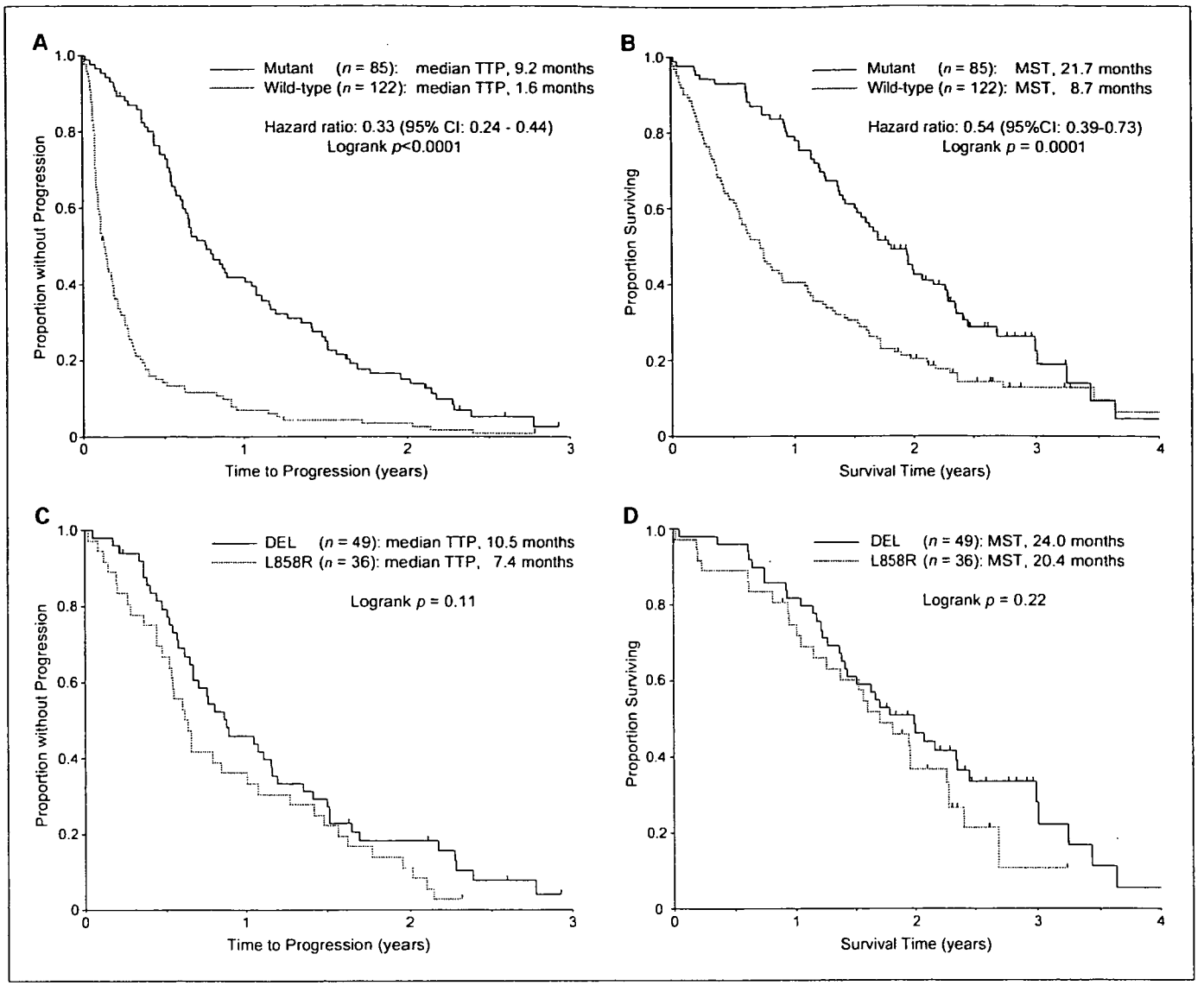


Fig. 1. Kaplan-Meier plot of time-to-progression (*A*) and overall survival (*B*) for patients with or without *EGFR* mutations. Kaplan-Meier plot of time-to-progression (*C*) and overall survival (*D*) for patients with DEL or L858R mutations. TTP, time-to-progression; MST, median survival time.

shown in Table 3, *EGFR* mutations were detected more frequently in women, never smokers, and patients with adenocarcinoma. Patient characteristics were not significantly different between patients with DEL mutations and those with an L858R mutation.

***EGFR mutations and clinical outcomes.*** The association of the mutational status of *EGFR* and the response to gefitinib is shown in Table 4. The response rate was significantly higher in patients with *EGFR* mutations than in those with WT *EGFR* (78% versus 8%; $P < 10^{-23}$). Among patients with *EGFR* mutations, those with DEL mutations had a higher response rate than those with an L858R mutation (86% versus 67%; $P = 0.037$). Tumor responses were classified as SD in 11 patients with *EGFR* mutations and in 23 patients with WT *EGFR*. Among the patients with SD, a MR and/or a long SD (>6 months) were observed more frequently (91% versus 26%; $P = 0.0004$) and the time-to-progression was significantly longer (median, 6.9 versus 4.4 months; $P = 0.019$) in the patients with *EGFR* mutations than in the patients with WT *EGFR*.

As shown in Fig. 1, the time-to-progression (median, 9.2 versus 1.6 months; $P < 0.0001$) and overall survival (median, 21.7 versus 8.7 months; $P = 0.0001$) were significantly longer in patients with *EGFR* mutations than in those with WT *EGFR*. Patients with DEL mutations tended to have a longer time-to-progression (median, 10.5 versus 7.4 months; $P = 0.11$) and overall survival (median, 24.0 versus 20.4 months; $P = 0.22$) than those with an L858R mutation, although the difference did not reach statistical significance.

Clinical outcomes among subgroups of patients are shown in Table 5. In the univariate analysis, sex, smoking history, and histology were significant predictive factors for gefitinib sensitivity.

In the multivariate analyses, the mutational status of *EGFR* was an independent predictive factor of response [odds ratio, 38.9; 95% confidence interval (95% CI), 15.7-96.5; $P < 0.001$], time-to-progression (hazard ratio, 0.33; 95% CI, 0.24-0.45; $P < 0.001$), and overall survival (hazard ratio, 0.48; 95% CI, 0.34-0.67; $P < 0.001$). A poor performance status (2/3) was an

independent predictor of a shorter time-to-progression (hazard ratio, 1.80; 95% CI, 1.19-2.72; $P = 0.006$) and overall survival (hazard ratio, 3.97; 95% CI, 2.56-6.16; $P < 0.001$), and a history of prior chemotherapy was another independent predictor of a shorter overall survival (hazard ratio, 1.59; 95% CI, 1.14-2.23; $P = 0.006$). However, other clinical characteristics, including sex, smoking history, and histology, were not independent predictive factors for any clinical outcomes.

## Discussion

In the current study, we showed the practicality of our new HRMA method for detecting two major *EGFR* mutations, DEL and L858R. The sensitivity and specificity of the analysis were 92% and 100%, respectively, when archived formalin-fixed, paraffin-embedded tissues were used without laser capture microdissection. Given the similar results that were obtained when Papanicolaou-stained cytologic slides were used (10), DEL and L858R mutations can likely be detected from such archived samples with about a 90% sensitivity and 100% specificity. Because the mutations were detected by HRMA even when only a small proportion (0.1% or 10%) of mutant cells existed (10), laser capture microdissection or other enrichment procedures are not needed in most cases. This is a major advantage of HRMA over direct sequencing because direct sequencing requires laser capture microdissection for accurate evaluation (6). However, there remained some risk of indeterminate or false-negative results because the DNA might have degenerated during sampling or the preservation of the archived samples. In fact, an analysis using methanol-fixed tissues, which are known to preserve DNA better than formalin-fixed tissues (12), was stable with no indeterminate and fewer false-negative results. Thus, an even higher sensitivity can be expected when fresh tumor samples are used. In any event, HRMA was successfully used to identify *EGFR* mutations and, more importantly, predict the clinical outcomes of gefitinib-treated patients with a high sensitivity and specificity.

Although the detection of *EGFR* mutations can provide patients with NSCLC and their physicians with critical information for optimal decision making, such tests are not common in clinical settings mainly because of the difficulty and impracticality of direct sequencing. Recently, highly sensitive nonsequencing methods to detect *EGFR* mutations in small tumor samples contaminated with normal cells have been reported (10, 13-21). Among them, HRMA has the advantages of being able to identify the mutations with less labor, time, and expense; PCR and the melting analysis can be done in the same capillary tube within a few hours, and the running cost is only about 1 U.S. dollar per sample. HRMA is expected to be one of the most practical methods for detecting *EGFR* mutations in clinical settings.

We analyzed consecutive gefitinib-treated patients in a single institution on a larger scale than any other previous report. The mutational analysis by HRMA was successful in 207 patients and confirmed strong and independent associations between the two major *EGFR* mutations and clinical outcomes. Clinical predictors, such as sex, smoking history, and histology, added little predictive information to that provided by the mutational analysis. We believe that the mutational status of *EGFR* is the most important predictor of clinical outcomes in gefitinib-treated patients.

Among the patients without the two major mutations, 8% were responders. This result may be due to false-negative HRMA results, other *EGFR* mutations, or other determinants of gefitinib sensitivity. As for other *EGFR* mutations, the direct sequencing of exons 18 to 24 was done in four responders without DEL or L858R mutations, and one of them had G719C and S768I mutations. Although missense mutations at codon 719 of *EGFR* (G719C, G719S, or G719A) may be associated with gefitinib sensitivity, the predictive significance of these mutations is unclear because the number of reported patients is small (6). At present, we consider the accurate detection of the two major *EGFR* mutations to be sufficient for optimal decision making.

Recently, the *EGFR* copy number was reported to be another predictor of gefitinib sensitivity (6, 22, 23), and Cappuzzo et al. (22) suggested that this factor was a stronger predictor of overall survival than *EGFR* mutations. Our previous study also showed that the *EGFR* copy number evaluated by quantitative

**Table 5.** Clinical outcomes among subgroups of patients

| | *n* | Response rate (%) | *P* | Median TTP (mo) | *P* | MST (mo) | *P* |
|---|---|---|---|---|---|---|---|
| Total | 207 | 37 | | 3.7 | | 14.5 | |
| Sex | | | | | | | |
| Women | 89 | 51 | <0.001 | 5.6 | 0.17 | 18.3 | 0.15 |
| Men | 118 | 26 | | 2.3 | | 9.6 | |
| Smoking history | | | | | | | |
| Never smokers | 93 | 51 | <0.001* | 6.2 | 0.073* | 16.9 | 0.22* |
| Former smokers | 38 | 47 | | 5.2 | | 14.5 | |
| Current smokers | 76 | 14 | | 2.2 | | 9.1 | |
| Histology | | | | | | | |
| Adenocarcinoma | 189 | 40 | 0.004 | 4.3 | 0.060 | 15.1 | 0.10 |
| Others | 18 | 6 | | 1.6 | | 4.9 | |
| *EGFR* mutations | | | | | | | |
| DEL/L858R | 85 | 78 | <0.001 | 9.2 | <0.001 | 21.7 | <0.001 |
| WT | 122 | 8 | | 1.6 | | 8.7 | |

Abbreviations: TTP, time-to-progression; MST, median survival time.
*Comparison between never smokers and others.

PCR was associated with response; however, an increased *EGFR* copy number was concentrated in patients with *EGFR* mutations and was not an independent predictor of response and overall survival (6). In the current study, we showed that *EGFR* mutations were associated with better outcomes even among patients with SD. The interpretation of this result is difficult because a long SD might be caused by intrinsic characteristics independent of treatment; however, this result suggested that *EGFR* mutations predicted not only "super responders" but also "non-super responders" who gained a clinical benefit. Contrary to these findings, Cappuzzo et al. (22) showed that *EGFR* mutations predicted only responders and were not associated with overall survival, whereas *EGFR* copy number was associated with both response and SD and was an independent predictor of overall survival. Although the reason of these discrepancies is unclear, we consider that if *EGFR* mutations are accurately identified, *EGFR* copy number adds little information for patient selection, at least in Japanese patients.

About the outcomes of patients with DEL or L858R mutations, our larger scale study produced results similar to those of some previous studies, which indicated that DEL mutations were associated with better outcomes after EGFR tyrosine kinase inhibitor treatment than an L858R mutation (24-27). Further investigations are needed to clarify the difference in the biological characteristics of the two mutations. However, in the current study, the difference was small and even patients with an L858R mutation had favorable outcomes: the response rate was 67%, the median time-to-progression was 7.4 months, and the median survival time was 20.4 months. We now think that both DEL and L858R mutations should be treated equally in clinical decision-making.

In conclusion, the detection of DEL and L858R mutations using HRMA is accurate and practical. Using HRMA, we confirmed a strong association between the two major *EGFR* mutations and clinical outcomes in patients with advanced NSCLC treated with gefitinib.

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# Effect of Platinum Combined with Irinotecan or Paclitaxel against Large Cell Neuroendocrine Carcinoma of the Lung

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**Background:** The efficacy of chemotherapy in patients with large cell neuroendocrine carcinoma of the lung (LCNEC) remains unclear.
**Methods:** Of 42 consecutive patients with LCNEC, 22 with measurable disease receiving chemotherapy were enrolled as the subjects of this study. The clinical characteristics and objective responses to chemotherapy in these patients were analysed retrospectively.
**Results:** The distribution of the disease stage in the patients consisting of 21 males and one female (median age: 67 years; range: 47–78 years) was as follows: stage IIB ($n = 1$), stage IIIA ($n = 1$), stage IIIB ($n = 5$), stage IV ($n = 8$), and post-operative recurrence ($n = 7$). Chemotherapy consisted of cisplatin and irinotecan ($n = 9$), a platinum agent and paclitaxel ($n = 6$), paclitaxel alone ($n = 1$), cisplatin and vinorelbine ($n = 1$), cisplatin and docetaxel ($n = 1$), and a platinum and etoposide ($n = 4$). The objective response rate in the 22 patients was 59.1% (95% CI, 38.1–80.1). An objective response was obtained in five of the nine patients receiving irinotecan and five of the seven patients receiving paclitaxel. The progression-free survival, median overall survival and 1-year survival rates were 4.1 months (95% CI, 3.1–5.1), 10.3 months (95% CI, 5.8–14.8) and 43.0% (95% CI, 20.7–65.3), respectively. The median overall survival of the patients treated with irinotecan or paclitaxel was 10.3 months (95% CI, 0–21.8), and the 1-year survival rate of these patients was 47.6% (95% CI, 20.4–74.8).
**Conclusion:** Our results suggest that irinotecan and paclitaxel may be active against LCNEC.

*Key words: lung cancer – large cell neuroendocrine carcinoma – chemotherapy – irinotecan – paclitaxel*

## INTRODUCTION

Neuroendocrine tumors of the lung can be placed in the biological spectrum ranging from typical to atypical carcinoid, which are tumors of low to intermediate grade malignancy, to large cell neuroendocrine carcinomas (LCNEC) and small-cell lung carcinomas (SCLC), which are high-grade malignant tumors. LCNEC was proposed as a separate category by Travis et al. in 1991, who recognized a type of poorly differentiated high-grade carcinoma exhibiting features of neuroendocrine appearance on light microscopy, immunohistochemistry, and/or electron microscopy (1). Several different terminologies and classifications have been proposed to date, and this class of tumors is likely to become widely recognized and included in the updated histological classification of the World Health Organization (2).

The clinical features of LCNEC have not yet been completely clarified. The prognosis of patients with surgically resected LCNEC is intermediate between that of an atypical carcinoid and SCLC, and is the same as that of resected non-small-cell lung carcinoma (NSCLC), except for stage I LCNEC, which has a poorer prognosis than that of stage I NSCLC (3–6). In a multi-institutional study in Japan, it was found that both LCNEC and SCLC were similarly aggressive and that there was no survival difference between the two types of lung cancer (7). In a small case series of LCNEC, we reviewed the records of patients with surgically resected,

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and patients treated medically who were autopsied before 1995, and determined that the chemosensitivity of LCNEC to cisplatin-based regimens may be intermediate between that of NSCLC and SCLC (8). Third generation cytotoxic agents developed in the 1990s, such as paclitaxel, docetaxel, gemcitabine, vinorelbine and irinotecan, have been shown to be active agents against advanced lung cancer, and combinations of platinum and one of the third generation cytotoxic agents have been shown to be superior in terms of prolonging the survival to the existing platinum-based combinations in both patients with NSCLC and those with SCLC (9–14). In the present study, we conducted a retrospective review of the records of our patients with LCNEC who had been treated with chemotherapy, and analysed the efficacy of the chemotherapy regimens.

## PATIENTS AND METHODS

From April 1999 to January 2006, 42 patients were diagnosed as having LCNEC at our institution. Of these, one patient underwent surgery, four were treated with radiation therapy alone, and three received only supportive care. Of the 34 patients who had received chemotherapy, four who had also received concurrent radiotherapy and two without evaluable lesions were excluded from this study. In addition, six patients who entered a phase II trial of cisplatin and irinotecan combination for LCNEC were also excluded from this study, because their results will be published elsewhere. Thus, 22 patients were finally enrolled as the subjects of this study.

The histological confirmation of the diagnosis of LCNEC in the medically treated patients was based on examination of biopsy and/or cytology specimens. The histological or cytological diagnosis was reviewed by one of the authors (K.T.). We classified LCNEC according to the histopathological criteria proposed in the WHO classification. Immunohistochemical analysis was performed to confirm the neuroendocrine differentiation of the tumor cells (2).

Clinical information about the cases was obtained from medical records. All patients underwent a chest and abdominal computed tomography, a head computed tomography or magnetic resonance imaging and a bone scintigraphy in clinical disease staging before chemotherapy. The clinical disease staging was reassessed according to the latest International Union Against Cancer (UICC) staging criteria (15). The response to chemotherapy and the survival were assessed retrospectively. The objective tumor response was evaluated according to the Response Evaluation Criteria in Solid Tumor guidelines (16). The survival distributions for overall survival (OS) and progression-free survival (PFS) were estimated according to the Kaplan–Meier method (17). The OS was measured from the date of start of chemotherapy to the date of death or the last follow-up. For PFS, documented disease recurrence was scored as an event. All analyses were performed using the SPSS statistical software (SPSS version 11.0 for Windows; SPSS Inc, Chicago, IL).

## RESULTS

The clinical characteristics of the 22 patients are summarized in Table 1. Surgical resected primary tumor, incisional biopsy of metastatic lesion, exploratatory thoracotomy, transbronchial or percutaneous biopsy and cytological examination were positive in seven, five, two, six and two patients, respectively. Thus, the histological diagnosis was made based on examination of a large tumor sample in 14 (63.6%) of the 22 patients. The marked predominance of men and smokers in this study was consistent with the demographic features of our previous LCNEC studies (6–8). One patient with stage IIB received chemotherapy and was enrolled to this study, because surgical resection and definitive radiotherapy were not indicated in this patient because of his poor pulmonary function. Abnormally high serum levels of CEA, NSE and proGRP at the start of chemotherapy were found in 52.4% (11/21), 72.7% (16/22) and 52.4% (11/21) of the patients, respectively.

**Table 1.** Patient characteristics

| Characteristics | | *n* | % |
|---|---|---|---|
| Gender | Male | 21 | 95 |
| | Female | 1 | 5 |
| Age | Median (range) | 67 (47–78) | |
| Smoking history | Yes | 21 | 95 |
| | No | 1 | 5 |
| Performance status | 0 | 7 | 32 |
| | 1 | 14 | 64 |
| | 2 | 1 | 5 |
| Clinical stage | IIB | 1 | 4 |
| | IIIA | 1 | 5 |
| | IIIB | 5 | 23 |
| | IV | 8 | 36 |
| | Post-operative recurrence | 7 | 32 |
| Prior treatment | None | 14 | 64 |
| | Surgery | 7 | 32 |
| | Surgery for brain metastasis | 1 | 5 |
| | Radiotherapy | 3 | 14 |
| Site of metastasis | None | 7 | 32 |
| | Brain | 2 | 9 |
| | Lung | 3 | 14 |
| | Liver | 5 | 23 |
| | Bone | 4 | 18 |
| | Lymph node | 6 | 27 |
| | Others | 3 | 14 |

The chemotherapy regimens used were as follows: cisplatin (80 mg/m$^2$, day 1) and irinotecan (60 mg/m$^2$, days 1 and 8) ($n = 6$); cisplatin (60 mg/m$^2$, day 1) and irinotecan (60 mg/m$^2$, days 1, 8 and 15) ($n = 3$); carboplatin (AUC = 6, day 1) and paclitaxel (200 mg/m$^2$, day 1) ($n = 5$); cisplatin (80 mg/m$^2$, day 1) and paclitaxel (175 mg/m$^2$, day 1) ($n = 1$); paclitaxel alone (80 mg/m$^2$, weekly) ($n = 1$); cisplatin (80 mg/m$^2$, day 1) and vinorelbine (20 mg/m$^2$, days 1, 8 and 15) ($n = 1$); cisplatin (25 mg/m$^2$, days 1, 8 and 15) and docetaxel (20 mg/m$^2$, days 1, 8 and 15) ($n = 1$); carboplatin (AUC = 5, day 1) and etoposide (100 mg/m$^2$, days 1–3) ($n = 3$); cisplatin (80 mg/m$^2$, day 1) and etoposide (100 mg/m$^2$, days 1–3) ($n = 1$). The median number of chemotherapy cycles was three (range, 1–5). One complete response and 12 partial responses were noted in the 22 patients, yielding an overall response rate of 59.1% (95% CI, 38.1–80.1) (Table 2). An objective response was obtained in five of the nine patients (55.6%) receiving irinotecan and five of the seven patients (71.4%) receiving paclitaxel. The toxicities related to these treatments were, in general, acceptable. Two patients received gefitinib after failure of the first-line chemotherapy, but none of them achieved an objective response. The overall PFS, median OS and 1-year survival rate of all the patients were 4.1 months (95% CI, 3.1–5.1), 10.3 months (95% CI, 5.8–14.8) and 43.3% (95% CI, 21.0–65.6), respectively (Fig. 1). The median OS of the patients treated with irinotecan or paclitaxel was 10.3 months (95% CI, 0–21.8), and the 1-year survival rate of these patients was 47.6% (95% CI, 20.4–74.8).

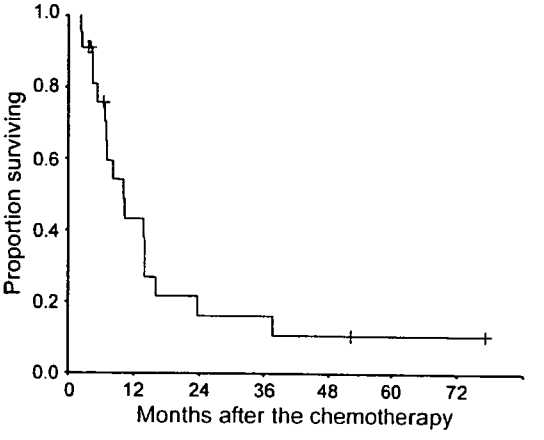


**Figure 1.** Kaplan–Meier curve for overall survival ($n = 22$). The median survival time was 10.3 months, and the 1- and 2-year survival rates were 43.3 and 16.2%, respectively.

## DISCUSSION

In this study, the histological diagnosis of LCNEC was based on examination of a large tumor sample in 14 (63.6%) of the 22 patients, based on biopsies or cytological specimens in the remaining patients (36.4%). Numerous studies have demonstrated that the diagnosis of LCNEC is possible from biopsies or cytological specimens if a sufficient number of tumor cells can be obtained (8,18–21). To establish the pathological diagnosis of LCNEC in this series, we performed a pathological review of the biopsy and cytology specimens, because it was difficult to obtain large specimens of the tumor in these patients with advanced cancer treated medically.

We previously reported a response rate of 64% in 14 chemo-naïve patients with LCNEC who received cisplatin plus mitomycin, vindesine, or etoposide (8). In that study, however, patients with a diagnosis of poorly differentiated adenocarcinoma, poorly differentiated squamous cell carcinoma, large cell carcinoma and small cell carcinoma were selected, and then a diagnosis of LCNEC was made retrospectively by reviewing autopsy or surgically resected specimens. Thus, they were not consecutive, but highly selected patients. This explains, at least partly, the high response rate in the previous study. On the other hand, in the current study we analysed consecutive patients with a diagnosis of LCNEC that is established before treatment.

Rossi et al. showed that objective responses were observed in six (50%) of 12 patients with metastatic LCNEC who received a platinum and etoposide regimen, while no response was obtained in 15 patients receiving regimens for NSCLC treatment (cisplatin and gemcitabine in 10 patients, gemcitabine alone in two patients, and carboplatin and paclitaxel in three patients) (22). In addition, the patients receiving the platinum and etoposide regimen had a significantly better survival than the patients who received the other regimens (median survival time, 51 months versus 21 months). These survival data, however, sound too good for lung cancer patients with a metastatic disease. Neither patient characteristics nor explanation for

**Table 2.** Chemotherapy regimens and responses

| Regimens | | No. of patients | CR/PR/SD/PD | Response rate (%) |
|---|---|---|---|---|
| CPT-11-based | CDDP + CPT-11 | 9 | 0/5/3/1 | 55.6 |
| PTX-based | CBDCA + PTX | 5 | 0/3/2/0 | 60.0 |
| | CDDP + PTX | 1 | 1/0/0/0 | – |
| | PTX | 1 | 0/1/0/0 | – |
| VNR-based | CDDP + VNR | 1 | 0/1/0/0 | – |
| DTX-based | CDDP + DTX | 1 | 0/1/0/0 | – |
| ETP-based | CBDCA + ETP | 3 | 0/0/3/0 | 0 |
| | CDDP+ ETP | 1 | 0/1/0/0 | – |
| Total | | 22 | | 59.1 |

CPT-11, irinotecan; PTX, paclitaxel; VNR, vinorelbine; DTX, docetaxel; ETP, etoposide; CDDP, cisplatin; CBDCA, carboplatin; CR, complete response; PR, partial response; SD, stable disease; PD, progressive disease.

such a long survival was presented in this report (22). Another case series of LCNEC showed that three patients with a stage IV disease received platinum-based chemotherapy (cisplatin and etoposide, carboplatin and gemcitabine, and cisplatin, docetaxel and gemcitabine) but none of them achieved an objective response. Of five patients who received gefitinib as salvage therapy, one achieved a partial response (23).

In this study, the clinical response rates of LCNEC to chemotherapy regimens containing irinotecan or paclitaxel were as high as 70%. The published response rates of NSCLC and SCLC to these regimens are 30–33% and 68–84%, respectively (10–14). The PFS of 4.1 months and median OS of 10.3 months were comparable to the results of previous randomized phase III trials that have reported PFS values of 4.1–6.9 months and median OS values of 9.3–12.8 months in extensive-stage disease SCLC (14). Thus, the response rate and survival of LCNEC were comparable with those of SCLC. Although our retrospective review of clinical data revealed heterogeneous approaches in treatment regimens, our results suggested that irinotecan and paclitaxel may be active agents against LCNEC. LCNEC exhibit both features of NSCLC and SCLC in terms of the morphology and immnohistochemistry, and these anti-cancer agents are effective against both of these types of lung cancer. Considered together, the combinations of cisplatin and irinotecan, and carboplatin and paclitaxel may be promising regimens for LCNEC.

To evaluate the efficacy of irinotecan- or paclitaxel-based combined chemotherapy for LCNEC, it is necessary to perform prospective phase II trials. However, such trials for LCNEC may be difficult to perform for the following reasons. First, patient accrual is problematic because LCNEC is a relatively rare tumor and accounts for only about 3% of lung cancer patients treated by surgical resection (6). It took us 7 years to accumulate 22 patients with LCNEC treated with chemotherapy. Besides, some studies have revealed the efficacy of adjuvant chemotherapy for both SCLC and NSCLC (24–26). Thus, when patients treated with platinum-based adjuvant chemotherapy regimens are excluded, few subjects with LCNEC with the diagnosis confirmed based on examination of large tumor specimens may remain. Therefore, these trials may only be possible as multi-institutional studies. Second, because it can sometimes be difficult to define the histology of LCNEC without examination of specimens large enough to appreciate the histological architecture and obtain reproducibility, pathological review by experts panel would be needed in these trials.

In conclusion, our results showed that irinotecan- or paclitaxel-based regimens may be as active against LCNEC as that against SCLC. A phase II multi-institutional trial is under way in Japan to elucidate the efficacy of cisplatin- and irinotecan-based therapy regimens against LCNEC.

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**Conflict of interest statement**
None declared.

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