plementary tables 1 and 2; for supplementary material see www.karger.com/doi/10.1159/000328448).

K19 positivity was not an independent predictor of the overall rate of survival, and serum AFP (≥100 ng/ml), total bilirubin (≥2 mg/dl) and female sex were significant independent predictors of survival. It is suggested that the level of total bilirubin affects the liver function of the patient, and liver function is one of the most important prognostic factors for survival of HCC patients.

The average age of our patients in this study was 68 ± 8 years, and no patients received liver transplantation in this study. However, liver transplantation is the most desirable treatment for HCC worldwide. Because of the prolonged waiting time for liver transplantation, RFA has been considered a safe and effective bridging therapy to liver transplantation. In addition, pretransplant RFA in patients with HCC has been considered for downstaging of HCC, thus improving the patient's survival [6, 7, 23]. In this study, K19 expression of HCC was a significant independent predictor for exceeding the Milan criteria ($p = 0.016$). In fact, 9 of 10 patients with K19-positive HCC exceeded the Milan criteria within 16.8 months. Therefore, if RFA is considered as a bridging therapy session prior to liver transplantation, it would be useful to obtain information on K19 expression in tumor tissue by performing a tumor biopsy before RFA. Therefore, careful observation for early detection of recurrence should be considered if K19-positive HCC patients are awaiting liver transplantation.

Compared to surgical specimens, biopsies taken prior to RFA may present some difficulties with regard to histological investigation. Needle biopsies of the nodules are less often indicated when typical vascular imaging of HCC is obtained, compared to hypovascular nodules. Needle tract seeding should also be considered. Needle biopsy has played an important role in making a diagnosis in the past. Recently, more reliance has been placed on the vascular imaging profile, because of its sensitivity and specificity without the risk of tumor dissemination. In addition, in comparison to recent advances in imaging, the information obtained from liver biopsy is lacking, as these only provide simple histological characterization, such as tumor differentiation [24]. Moreover, the positive predictive value of the vascular profile on dynamic imaging for diagnosis of HCC exceeds 95% [25]. Therefore, the current tendency is to consider needle biopsy as non-essential for diagnosis. However, in this study, K19-positive HCC showed exactly the same imaging findings as K19-negative HCC, suggesting that it is difficult to distinguish between these tumor types by imaging profile alone. In addition, K19-positive, moderately and/or poorly differentiated HCC showed similar cytological and structural abnormalities to K19-negative HCC, indicating that K19 positivity is unpredictable without staining. In figure 2, we present an impressive comparison of the features of K19-positive and -negative HCC, showing that, although the histology was similar, the prognosis for these patients was completely different. From these findings, it is clear that immunohistochemistry for K19 is the only way of demonstrating its positivity. Fortunately, staining for K19 on paraffin sections is common in diagnostic pathology, and it is not a problem to add this to routine hematoxylin and eosin (H&E) staining. Moreover, even for a general pathologist with no liver specialization, evaluating K19 expression should not be difficult, as long as care is taken not to count bile ducts, which may be associated with the remains of portal tracts. Taken together, these finding could indicate that it may be beneficial to check tumors for K19 positivity prior to RFA. Further research is warranted in larger groups to validate these findings and outweigh the potential additional clinical benefit compared to the potential risk of tract seeding during percutaneous biopsy.

Although biopsy has an important role in understanding the biological characteristics of HCC [26], tumor seeding by needle biopsy should be avoided. In practice, this is a major concern with needle biopsy of tumors. A review of tumor seeding following therapeutic procedures in HCC indicated that seeding occurred in 0–12.5% of cases (median 0.95%, mean 2.5%) [22]. As the time between biopsy and the treatment procedure was not specified, it is difficult to identify the factors that could have caused seeding. In the present study, tumor biopsies were performed just before RFA, using a needle-guiding technique, and tumor seeding was not observed. The same puncture line was used for both tumor biopsy and RFA, allowing complete ablation of the tumor using the tumor biopsy route. This may be one of the reasons it was possible in this study to biopsy the tumors without dissemination or bleeding. After treatment by RFA, the tumor cannot be investigated for histological features and K19 expression; therefore, we recommend taking a biopsy just before RFA for predicting tumor behavior using K19 expression. This would be valuable to both the clinician and the patient.

The mechanism of K19-positive HCC remains unclear. The facts that K19-positive cells are present in HCCs and that these positive cells form a spectrum suggest that K19-positive HCC may have originated from hepatic progenitor cells. These hepatic progenitor cells,

which are liver-specific adult stem cells, have potential stem cell features such as proliferation and differentiation. Once a tumor takes on these phenotypes, K19-positive HCC can still preserve these stem cell phenotypes. Therefore, this could be a possible reason why K19-positive HCC shows aggressive behavior in comparison with K19-negative HCC. In fact, previous publications and our study confirm these features [27].

In conclusion, we successfully evaluated the positivity of K19 in biopsy specimens. K19-positive HCCs showed significantly more frequent recurrence after curative RFA than K19-negative tumors and positive staining of K19 in the cytoplasm of HCC is closely associated with early intrahepatic recurrence (<1 year) and dropout from the Milan criteria. On imaging, K19-positive HCC showed only typical HCC findings and it was difficult to distinguish between K19-positive and -negative HCC. Taken together, these findings could indicate that >5% K19 positivity in tumor biopsy tissue is important for predicting tumor recurrence, which is not possible by imaging. Because of the high risk of tumor recurrence in K19-positive HCC, close observation for early detection of recurrence should be required.

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Disclosure Statement

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Early Decrease in α-Fetoprotein, but Not Des-γ-Carboxy Prothrombin, Predicts Sorafenib Efficacy in Patients with Advanced Hepatocellular Carcinoma

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Key Words

Antitumor response · Chemotherapy · Des-γ-carboxy prothrombin · α-Fetoprotein · Hepatocellular carcinoma · Sorafenib · Tumor markers

Abstract

Objectives: The aim of this study was to investigate the relationships between early changes in the tumor markers α-fetoprotein (AFP) and des-γ-carboxy prothrombin (DCP), and antitumor response in the early period following administration of sorafenib in patients with advanced hepatocellular carcinoma (HCC). ***Methods:*** Forty-eight advanced HCC patients were evaluated. AFP and DCP were measured at baseline, and after 2 and 4 weeks, and the antitumor responses were evaluated according to the RECIST criteria 4 weeks after starting sorafenib therapy. The ratios of each tumor marker were compared by stratifying the patients into the partial response (PR) + stable disease (SD) group or the progressive disease (PD) group. ***Results:*** Both 2 and 4 weeks after starting sorafenib therapy, the AFP ratio in the PR + SD group (n = 32) was significantly lower than in the PD group (n = 16; p = 0.002, p = 0.002). DCP was elevated in both the PR + SD group and the PD group 2 weeks and 4 weeks after starting sorafenib therapy. ***Conclusions:*** Evaluation of AFP ratios 2 and 4 weeks after starting sorafenib therapy may be useful for predicting antitumor response. On the other hand, early elevation of DCP does not necessarily suggest treatment failure by sorafenib, as DCP elevation can occur despite therapeutic efficacy. Copyright © 2011 S. Karger AG, Basel

Introduction

Sorafenib is a molecularly targeted multikinase inhibitor that suppresses both signal transduction of tumor growth and angiogenesis by inhibiting Raf kinase, and VEGF and PDGF receptor kinase [1]. The SHARP Study and the Asia-Pacific Study [2, 3], two large-scale, phase III, clinical studies, demonstrated that sorafenib significantly prolongs time to progression (TTP) and improves overall survival (OS) in patients with advanced hepatocellular carcinoma (HCC), and confirmed its efficacy in improving prognosis in these patients for the first time as a systemic chemotherapeutic agent. Accordingly,

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sorafenib has been recognized as the only standard systemic chemotherapeutic agent for patients with advanced HCC for whom resection and local therapy are not indicated [4–6].

α-Fetoprotein (AFP) and des-γ-carboxy prothrombin (DCP) are well-known and widely used serological tumor markers in the screening and diagnosis of HCC [7–11]. These tumor markers are also useful as indicators of the therapeutic effect by evaluating serial changes in these values before and after tumor resection and local ablation therapy. Although numerous studies have reported the relationships between the changes in tumor markers during treatment and antitumor response [12–19], there have been no comprehensive reports evaluating the relationship between prognosis and serial changes in AFP and DCP during treatment with sorafenib. Even in the SHARP Study and the Asia-Pacific Study, this relationship was not evaluated, despite the lack of systemic chemotherapeutic agents other than sorafenib that improve prognosis in advanced HCC.

Accordingly, we investigated cumulative TTP and OS stratified by antitumor effects based on image analysis, and assessed the relationship between antitumor effects and changes in AFP and DCP in the early period of sorafenib administration in patients with advanced HCC.

Patients and Methods

Patient Eligibility

Between July 2009 and December 2010, a total of 52 patients with advanced HCC were consecutively started on sorafenib (Nexavar®; Bayer Health Care Pharmaceuticals, West Haven, Conn., USA) therapy at the Division of Gastroenterology and Hepatology, Musashino Red Cross Hospital. Inclusion criteria for this study were as follows: HCC was diagnosed either by needle biopsy or by the combination of typical radiological findings on dynamic multidetector row computed tomography (MDCT) and elevated AFP serum levels, according to the American Association for the Study of Liver Diseases [20]; patients were classified as having advanced HCC if they were not eligible for or had disease progression after surgical or locoregional therapies; Eastern Cooperative Oncology Group performance status score of 0–1; Child-Pugh liver function class A or B (≤7); adequate hepatic function (albumin level >2.5 g/dl, total bilirubin level <3.0 mg/dl, and alanine and aspartate aminotransferase levels <5 times the upper limit of normal); dynamic MDCT was obtained at baseline and after 4 weeks of sorafenib treatment in order to assess the therapeutic effects.

Of 52 patients, 48 patients meeting the inclusion criteria were enrolled. HCC stage was diagnosed according to the criteria of the Liver Cancer Study Group of Japan [21]. This study was approved by the Ethics Committee of the Musashino Red Cross Hospital and was performed in compliance with the Helsinki Declaration.

Sorafenib Therapy

The starting dosage of sorafenib was 800 mg/day p.o. However, out of concern regarding the possibility of having to discontinue sorafenib treatment at an early stage due to adverse events, the initial dosage was set at 400 mg/day for patients aged ≥80 years, and those with a body weight ≤40 kg or a history of treatment for varices or ascites. Sorafenib therapy was continued until the occurrence of potentially fatal adverse events.

Image-Based Evaluation of Antitumor Effects

Dynamic MDCT images were taken at baseline and after 4 weeks of sorafenib treatment. Tumor responses were defined as the time point response [(in accordance with the Response Evaluation Criteria In Solid Tumors (RECIST; version 1.1)] [22] 4 weeks after sorafenib administration where the confirmation of response was not required. Patients in whom the effect was rated as partial response (PR) or stable disease (SD) were pooled in the PR + SD group, while patients showing progressive disease (PD) comprised the PD group. MDCT images were obtained every 2–6 weeks after the first MDCT image, which was obtained 4 weeks after the start of sorafenib administration.

Measurement and Evaluation of Serum AFP and DCP

The HCC tumor markers analyzed were serum AFP and DCP at baseline, and 2 and 4 weeks after starting sorafenib administration. Because DCP levels are influenced by vitamin K and warfarin, patients ingesting these agents were excluded from DCP analysis. For each patient, the baseline concentration of each tumor marker was assigned a value of 1, and the ratios for each tumor marker 2 and 4 weeks after the start of administration were calculated.

Statistics

Statistical analyses were performed using Stat View J software (version 5; SAS Institute, Cary, N.C., USA). TTP and OS after the start of sorafenib administration were analyzed by the Kaplan-Meier method, while comparisons between the two patient groups were performed by log-rank test. Tumor marker levels were analyzed by Wilcoxon signed-rank test, and comparisons of the ratios for the tumor markers between the two patient groups were performed by the Mann-Whitney U test. A value of $p < 0.05$ was considered to indicate a statistically significant difference.

Results

Patient Baseline Characteristics

Table 1 shows baseline characteristics of the 48 HCC patients enrolled in this study. The study cohort consisted of 38 males and 10 females, with a mean age of 69.9 ± 10.0 years. Six patients had never been treated for HCC, while the remaining 42 patients had previously undergone therapy. None of these previous treatments had involved molecularly targeted therapy. The starting dosage of sorafenib in this study was 800 mg/day in 26 patients and 400 mg/day in 22 patients. Criteria for starting sorafenib at 400 mg/day were as follows: (a) age ≥80 years

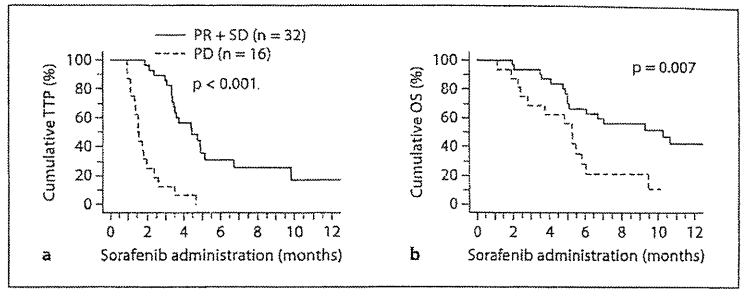

Fig. 1. Comparison of cumulative TTP (**a**) and OS (**b**) in the PR + SD and PD groups according to RECIST.

(n = 8); (b) body weight ≤40 kg (n = 2), and (c) history of treatment for varices or ascites (n = 12). The median baseline AFP level was 572 ng/ml (range, 2.3–148,000), and the median baseline DCP level was 424 mAU/ml (range, 15–305,000). The mean observation period was 7.2 ± 4.5 months.

Antitumor Responses 4 Weeks after the Start of Sorafenib Therapy

According to RECIST, 4 weeks after the start of sorafenib therapy, there were no complete responses, 2 PR, 30 SD, and 16 PD. The response rate was 4.2%, and the disease control rate was 66.7%.

Cumulative TTP and OS in the PR + SD and PD Groups

Cumulative TTP in the two groups according to RECIST is shown in figure 1a. The median observation period was 3.2 months. The median TTP was significantly longer in the PR + SD group than in the PD group (4.4 vs. 1.5 months; hazard ratio, 0.14; 95% CI, 0.06–0.29; $p < 0.001$).

Cumulative OS in the two groups according to RECIST is shown in figure 1b. The median observation period was 5.7 months. The median OS was significantly longer in the PR + SD group than in the PD group (10.3 vs. 5.2 months; hazard ratio, 0.36; 95% CI, 0.17–0.78; $p = 0.007$).

Comparison of Actual and Relative Levels of AFP at Baseline, and 2 and 4 Weeks after the Start of Sorafenib Therapy (Stratified by Antitumor Response)

AFP was not measured in 9 and 1 patients 2 and 4 weeks after starting sorafenib administration, respectively. Accordingly, AFP was analyzed in 39 and 47 patients 2 and 4 weeks after starting sorafenib administration, respectively.

Table 1. Baseline characteristics of the 48 HCC patients enrolled in this study

Mean age, years	69.9 ± 10.0
Male/female	38/10
HBV/HCV/NBNC	6/30/12
ECOG PS (0/1)	29/19
Child-Pugh score (5/6/7)	24/21/3
HCC stage (III/IVA/IVB)	11/18/19
Initial therapy/therapy for recurrence	6/42
Sorafenib starting dosage (800/400 mg)	26/22
Median serum AFP level, ng/ml	572
Range	2.3–148,000
Median serum DCP level, mAU/ml	424
Range	15–305,000
Mean observation period, months	7.2 ± 4.5

Numbers of patients are shown unless indicated otherwise. HBV/HCV = Hepatitis B/C virus; NBNC = non-HBV, non-HCV; ECOG = Eastern Cooperative Oncology Group; PS = performance status.

Data comparing actual AFP levels at baseline, and 2 and 4 weeks after starting sorafenib administration, both for the total patients and when stratified by antitumor response according to RECIST, are shown in table 2. Among the total number of patients, AFP showed no statistically significant differences between baseline and 2-week treatment levels, but in the PD group, AFP levels after 2 weeks of treatment were significantly elevated versus baseline levels ($p = 0.013$). Similarly, in the total number of patients, AFP showed no statistically significant differences between baseline and 4-week treatment levels, but in the PD group, AFP was significantly higher after 4 weeks of treatment compared with baseline levels ($p = 0.002$). In the PR + SD group, the median actual AFP level 4 weeks after starting sorafenib administration was higher than that at 2 weeks; however, there were no sig-

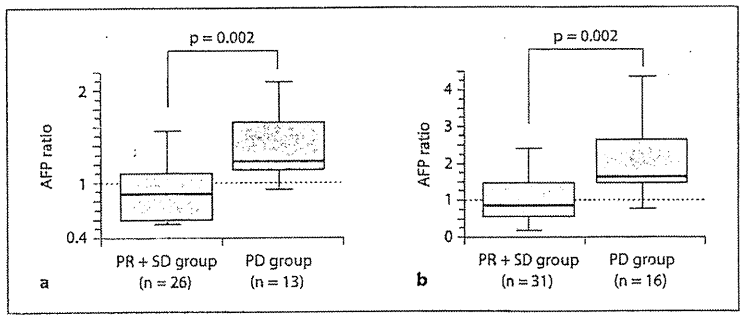

Fig. 2. AFP ratios 2 (**a**) and 4 weeks (**b**) after the start of sorafenib treatment in the PR + SD and PD groups according to RECIST.

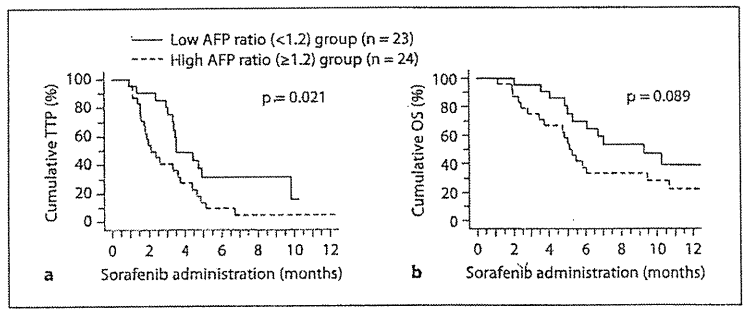

Fig. 3. Comparison of cumulative TTP (**a**) and OS (**b**) in the groups with low (<1.2) and high AFP ratio (≥1.2) 4 weeks after starting sorafenib therapy.

Table 2. Comparison of actual AFP levels (ng/ml) at baseline, and 2 and 4 weeks after the start of sorafenib therapy (stratified by antitumor response)

Groups	Baseline	After 2 weeks	p value	After 4 weeks	p value
Total	572 (2.3–148,000)	481 (2.2–163,300)	0.155	676 (1.1–281,700)	0.077
PR + SD	245.5 (2.3–148,000)	198 (2.2–163,300)	0.657	311 (1.1–281,700)	0.518
PD	2,321 (8.6–62,400)	3,303 (6.4–52,840)	0.013	6,258.5 (6.4–237,000)	0.002

nificant differences between AFP levels after 2 and 4 weeks (p = 0.423). On the other hand, in the PD group, the median actual AFP level 4 weeks after starting sorafenib administration was significantly higher than that after 2 weeks (p = 0.003).

Figure 2 compares the AFP ratios stratified by antitumor effects according to RECIST after 2 and 4 weeks of sorafenib treatment. AFP ratios 2 and 4 weeks after the start of sorafenib administration were 0.88 (range, 0.28–1.79) and 0.88 (range, 0.07–3.17) in the PR + SD group, and 1.24 (range, 0.74–2.12) and 1.63 (range, 0.64–7.35) in the PD group. At both time points, the ratio in the PR + SD group was significantly lower than in the PD group (p = 0.002, p = 0.002).

Cumulative TTP and OS in the Groups with Low and High AFP Ratio 4 Weeks after the Start of Sorafenib Therapy

The median AFP ratio 4 weeks after the start of sorafenib therapy was 1.2 (0.1–7.4).

Cumulative TTP (according to RECIST) in the groups with low (<1.2) and high AFP ratio (≥1.2) 4 weeks after the start of sorafenib therapy is shown in figure 3a. The median TTP was significantly longer in the low AFP (n = 23) ratio group than in the high AFP ratio group (n = 24; 3.5 vs. 2.1 months; hazard ratio, 0.46; 95% CI, 0.23–0.91; p = 0.021).

Cumulative OS in the low (n = 23) and high AFP ratio groups (n = 24) 4 weeks after the start of sorafenib therapy

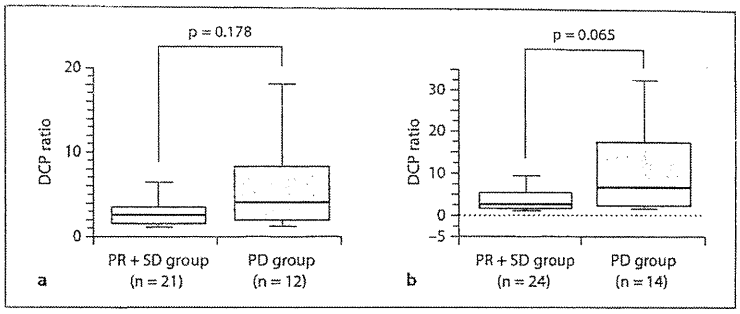

Fig. 4. DCP ratios 2 (**a**) and 4 weeks (**b**) after the start of sorafenib treatment in the PR + SD and PD groups according to RECIST.

Table 3. Comparison of actual DCP levels (mAU/ml) at baseline, and 2 and 4 weeks after the start of sorafenib therapy (stratified by antitumor response)

Patients	Baseline	After 2 weeks	p value	After 4 weeks	p value
Total	424.5 (15–305,000)	741 (26–798,000)	<0.001	2,025 (78–1,020,000)	<0.001
PR + SD	425.5 (15–216,000)	741 (30–323,000)	<0.001	1,715 (81–524,000)	<0.001
PD	575.5 (19–305,000)	6,186.5 (26–798,000)	0.002	20,550 (78–1,020,000)	0.001

is shown in figure 3b. The median OS tended to be higher in the low than in the high AFP ratio group (9.3 vs. 5.1 months; hazard ratio, 0.53; 95% CI, 0.25–1.12; p = 0.089).

Comparison of Actual and Relative Levels of DCP at Baseline, and 2 and 4 Weeks after the Start of Sorafenib Therapy (Stratified by Antitumor Response)

In the analysis of DCP, 7 patients who were taking vitamin K and 1 patient who was on warfarin were excluded. In addition, DCP was not determined in 7 and 2 patients 2 and 4 weeks after starting sorafenib administration, respectively. Accordingly, DCP was analyzed in 33 patients 2 weeks and in 38 patients 4 weeks after starting sorafenib administration.

Data comparing actual DCP levels at baseline, and 2 and 4 weeks after starting sorafenib administration, both for the total number of patients and patients stratified by antitumor response according to RECIST, are shown in table 3. Actual levels of DCP after 2 weeks of treatment were significantly higher than baseline levels in the total number of patients, the PR + SD group and the PD group. After 2 weeks of treatment, DCP was elevated in 97.0% (32/33) of the patients. Similarly, actual levels of DCP after 4 weeks of treatment were also significantly elevated from baseline levels in all patient groups; the total number of patients, the PR + SD group, and the PD group. After 4 weeks of treatment, DCP was elevated in 92.1% (35/38) of the patients.

Figure 4 compares the DCP ratios between the PR + SD and PD groups according to RECIST after 2 and 4 weeks of sorafenib therapy. The DCP ratios 2 and 4 weeks after the start of sorafenib administration were 2.57 (range, 0.87–10.02) and 2.72 (range, 0.30–13.46) in the PR + SD group, and 4.02 (range, 1.12–35.03) and 6.73 (range, 1.25–45.08) in the PD group. There were no significant differences between the PR + SD and PD groups at either time point (p = 0.178, p = 0.065).

Cumulative TTP and OS in the Low and High DCP Ratio Groups 4 Weeks after the Start of Sorafenib Therapy

The median DCP ratio 4 weeks after the start of sorafenib therapy was 4.0 (0.3–45.1).

Cumulative TTP (according to RECIST) in the low (<4) and the high DCP ratio (≥4) groups 4 weeks after the start of sorafenib therapy is shown in figure 5a. There were no significant differences in the median DCP ratio between the low (n = 19) and the high DCP ratio group (n = 19; 3.5 vs. 2.4 months; hazard ratio, 1.06; 95% CI, 0.51–2.19; p = 0.874).

Cumulative OS in the low (n = 19) and high DCP ratio groups (n = 19) 4 weeks after the start of sorafenib thera-

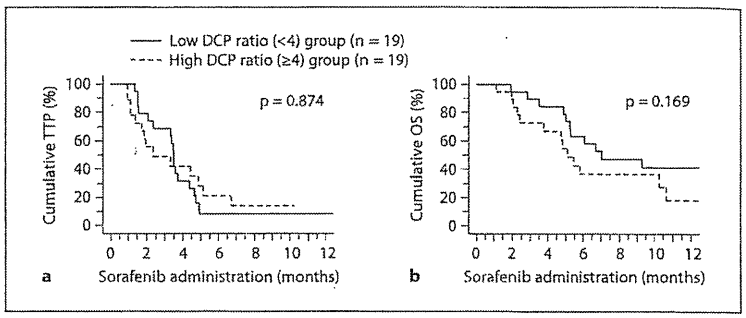

Fig. 5. Comparison of cumulative TTP (**a**) and OS (**b**) in the groups with low (<4) and high DCP ratio (≥4) 4 weeks after starting sorafenib therapy.

py is shown in figure 5b. There were no significant differences in median DCP ratio between the low and high DCP ratio groups (7.2 vs. 5.1 months; hazard ratio, 0.57; 95% CI, 0.25–2.55; p = 0.169).

Discussion

In the present study, we investigated the relationships between the changes in tumor markers, AFP and DCP, and antitumor responses in the early period following administration of sorafenib to patients with advanced HCC, and found that the relationship for AFP was different from that for DCP. With regard to AFP, both 2 and 4 weeks after starting sorafenib therapy, the ratio in the PR + SD group was significantly lower than in the PD group. On the other hand, DCP was elevated in both the PD group and the PR + SD group, and there were no statistically significant differences between the two groups either 2 or 4 weeks after starting sorafenib therapy. These results suggest that the time course changes for AFP in the early period after starting sorafenib administration are useful for predicting antitumor response assessed by image analysis.

Several studies have reported that the primary effect of sorafenib is inhibition of tumor growth rather than tumor shrinkage [2, 3, 23, 24]. In the SHARP Study, it was reported that the response rate in the sorafenib group based on RECIST criteria was only 2.3%, but both the cumulative TTP and cumulative survival duration were prolonged [2]. This can be considered an example of the limitations of using RECIST criteria, which focus on changes in the size of the entire tumor for evaluation of the therapeutic efficacy of molecularly targeted drugs. In the present study, cumulative TTP and OS were significantly better in the PR + SD group than in the PD group. In view of these findings, the primary clinical benefit of sorafenib is disease stabilization. Accordingly, it is important to evaluate treatment response in patients treated with sorafenib. In the present study, we analyzed the tumor marker response according to radiological response using the RECIST criteria. On the other hand, modified RECIST criteria were recently proposed as a method to assess arterial involvement [25]. Further investigation using these modified RECIST criteria is thus necessary.

In order to evaluate tumor responses, the formal recommendation of the panel of experts in HCC-Design Clinical Trials was to conduct imaging surveillance every 6–8 weeks using CT or MRI [4]. In our hospital, dynamic MDCT was obtained after 4 weeks of sorafenib treatment in order to assess early therapeutic effects. We found that antitumor responses 4 weeks after sorafenib administration correlated with both TTP and OS. Therefore, the present results indicate that it may be beneficial to evaluate the time point response 4 weeks after sorafenib administration in patients receiving sorafenib.

In the present study, AFP was significantly elevated in the PD group both 2 and 4 weeks after the start of administration compared with baseline. There has only been one report on AFP response after sorafenib therapy [26]. Shao et al. [26] reported the AFP responder group as patients whose AFP levels decreased to less than 0.8-fold of baseline levels within 1 month following sorafenib administration, while the non-responder group did not show this decrease. Consistent with our results, both the cumulative survival and TTP rates were significantly better in the AFP responder group than in the non-responder group. Hence, in the case of sorafenib therapy, changes in AFP levels may be correlated with the antitumor effects evaluated by image analysis, similarly to the course following other therapies for HCC, such as hepatic resection, radiofrequency ablation therapy, and transarterial chemoembolization. A comparison of the actual AFP levels 2 and 4

weeks after starting sorafenib administration in the PD group revealed that the median value after 4 weeks was significantly higher than that after 2 weeks. Even in the PR + SD group, the median value after 4 weeks was higher than that after 2 weeks. There were no significant differences between AFP levels after 2 and 4 weeks; thus, one of the reasons for this phenomenon was unevenness of AFP levels owing to the small sample size in this study.

With regard to DCP, there have been numerous reports that the time course change in DCP following treatment for HCC reflects therapeutic efficacy [17–19]. However, in the present study, we found that both the actual and relative levels of DCP were elevated in >90% of the patients, not only in the PD group but also in the PR + SD group, both 2 and 4 weeks after starting sorafenib therapy. To our knowledge, there have been no comprehensive clinical reports regarding the time course changes in DCP following sorafenib treatment. In a case report by Nakazawa et al. [27], DCP levels were markedly increased following treatment, even in patients who achieved a complete response on the basis of image analysis. From basic research, Murata et al. [28] reported that culturing a liver cancer cell line (HepG2) under hypoxic conditions resulted in increased DCP production by the cells. One possible mechanism for the increased DCP levels following sorafenib administration is that sorafenib-mediated inhibition of angiogenesis places tumor cells under hypoxic conditions, subsequently leading to increased DCP production. Thus, the increase in DCP levels following sorafenib administration may reflect HCC cell ischemia. Based on our results, increases in DCP soon after the start of sorafenib administration, regardless of antitumor effect, are not useful for assessing the antitumor responses, as DCP may increase in response to the ischemia caused by sorafenib.

Assessment by image analysis is the gold standard for evaluating antitumor responses of anticancer drugs [4, 22, 23]. However, such image analysis can be difficult in patients with multiple HCC lesions, vascular invasion, extrahepatic metastases, or ischemic tumors. In particular, patients in whom therapy using sorafenib is indicated are often in advanced stages of disease. There are limitations in using only radiological criteria to evaluate sorafenib treatment.

Our results suggest that the determination of early changes in AFP is useful for evaluating both antitumor response and prognostic efficacy of sorafenib, as assessed by TTP and OS, in patients with advanced HCC. In patients with advanced HCC treated with sorafenib, it is important to evaluate therapeutic efficacy as early as possible, as appropriate and early evaluation of sorafenib therapy can avoid unnecessary adverse events and allow second-line therapy when sorafenib therapy is not effective. In addition, determination of early changes in AFP is useful for evaluating the efficacy of new molecularly targeted agents currently under development. At present, there is no effective second-line treatment and we could not confirm whether continuing sorafenib administration would prolong the survival of patients with elevated AFP. Therefore, we cannot conclude that sorafenib therapy should be stopped in the case of elevated AFP ratio after 2 or 4 weeks of treatment. However, when an effective second-line treatment becomes available, an elevated AFP ratio may be a good indicator for switching to second-line therapy.

On the other hand, with regard to early changes in DCP, caution is required when assessing the antitumor response of sorafenib, as DCP elevation can occur irrespective of therapeutic effects.

In conclusion, our results suggest that early evaluation of AFP after starting sorafenib therapy is useful for predicting antitumor response. In contrast, early elevation of DCP does not necessarily suggest treatment failure of sorafenib. Appropriate and early evaluation of efficacy of sorafenib by AFP determination can provide valuable information that may influence subsequent decisions regarding patient management, thus avoiding unnecessary adverse events and allowing the opportunity for second-line therapy.

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Disclosure Statement

The authors declare that they have no financial conflicts of interest.

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Branched-Chain Amino Acids as Pharmacological Nutrients in Chronic Liver Disease

Takumi Kawaguchi,[1] Namiki Izumi,[2] Michael R. Charlton,[3] and Michio Sata[1]

Branched-chain amino acids (BCAAs) are a group of essential amino acids comprising valine, leucine, and isoleucine. A low ratio of plasma BCAAs to aromatic amino acids is a physiological hallmark of liver cirrhosis, and BCAA supplementation was originally devised with the intention of normalizing amino acid profiles and nutritional status. However, recent studies on BCAAs have revealed that, in addition to their role as protein constituents, they may have a role as pharmacological nutrients for patients with chronic liver disease. Large-scale, multicenter, randomized, double-blinded, controlled trials on BCAA supplementation have been performed in Italy and Japan, and results demonstrate that BCAA supplementation improves not only nutritional status, but also prognosis and quality of life in patients with liver cirrhosis. Moreover, accumulating experimental evidence suggests that the favorable effects of BCAA supplementation on prognosis may be supported by unforeseen pharmacological actions of BCAAs. This review summarizes the possible effects of BCAAs on albumin synthesis and insulin resistance from clinical and basic viewpoints. We also review the newly discovered clinical impact of BCAAs on hepatocellular carcinoma and the prognosis and quality of life of patients with liver cirrhosis. (HEPATOLOGY 2011;54:1063-1070)

The liver is a central organ for regulating metabolism, and a variety of metabolic disorders are frequently seen in patients with chronic liver disease.[1,2] Decreased serum ratio of branched-chain amino acids (BCAAs) to aromatic amino acids (AAAs) is a hallmark of liver cirrhosis and is caused by several factors, including reduced nutritional intake, hypermetabolism, and ammonia detoxification in skeletal muscle.[3] Low serum BCAA/AAA ratio reduces biosynthesis and secretion of albumin in hepatocytes,[4] and is also associated with the prognosis of patients with chronic liver disease.[5]

BCAAs have aliphatic side chains with a branch point, and comprise valine (Val), leucine (Leu), and isoleucine (Ile) (Fig. 1). BCAAs are not only a constituent of protein, but also a source of glutamate, which detoxifies ammonia by glutamine synthesis in skeletal muscle.[3] Clinical studies have demonstrated that intravenous administration of BCAA improves hepatic encephalopathy with hyperammonemia.[6] Although dairy products and vegetables contain high BCAA content, increased consumption of these foods does not affect plasma BCAA levels in patients with cirrhosis.[7] The guidelines of the American Society for Parenteral and Enteral Nutrition and the European Societies for Clinical Nutrition and Metabolism currently recommend BCAA supplementation only for patients with cirrhosis with chronic hepatic encephalopathy unresponsive to pharmacotherapy.[8,9] A series of subsequent clinical trials and *in vitro* and *in vivo* studies suggest the possibility of more expansive utility of BCAA supplementation in liver disease.

Abbreviations: BCAA, branched-chain amino acid; BCATm, mitochondrial BCAA aminotransferase; DC, dendritic cell; GLUT, glucose transporter; IGF, insulin-like growth factor; IL, interleukin; Ile, isoleucine; Leu, leucine; MAPK, mitogen-activated protein kinase; mRNA, messenger RNA; MSUD, maple syrup urine disease; mTOR, mammalian target of rapamycin; NK, natural killer; PI3K, phosphatidylinositol 3-kinase; QOL, quality of life; Val, valine.

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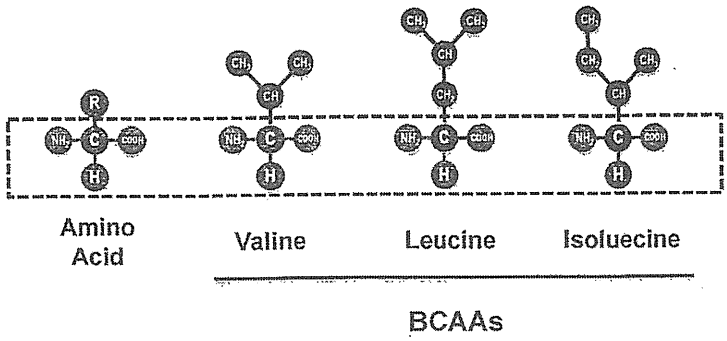

Fig. 1. Chemical structure of BCAAs. The dotted rectangle indicates the basic amino acid structure. The generic BCAA has an aliphatic side chain with a branch point. R, residue.

The liver carries out four main functions in protein metabolism: formation of plasma proteins, amino acid interconversion, deamination of amino acids, and urea synthesis (for ammonia excretion). Among the many other functions of the liver, it is responsible for the metabolism of hormones that have discordant effects on protein metabolism, including insulin, androgens, and glucagon. It is thus not surprising that cirrhosis is associated with altered circulating amino acid profiles, with decreased serum BCAA levels seen in patients even with compensated cirrhosis.[10] It is widely believed that the changes in amino acid metabolism not only occur as an epiphenomenon of liver disease but also play a role in the pathogenesis of many of the complications of cirrhosis, such as encephalopathy,[11] hypoalbuminemia with edema, and insulin resistance.[12-14] The potential of BCAA supplementation to alter the metabolic basis and frequency of complications of cirrhosis is suggested by studies indicating that BCAAs may inhibit hepatocarcinogenesis and improve immune function and oxidative stress *in vitro* and *in vivo*.[15-19] Clinical studies have further demonstrated that BCAA supplementation may improve the quality of life (QOL) and prognosis in patients with liver cirrhosis.[16,20,21]

Nutritional aspects of BCAAs on hepatic encephalopathy, liver regeneration, or hepatic cachexia have been well reviewed.[22,23] In this article, we review the recently identified pharmaceutical aspects of BCAAs on pathological conditions and complications associated with chronic liver disease from both the clinical and basic research viewpoints. We also summarize side effects of BCAA supplementation (Supporting Text).

Albumin Synthesis

BCAAs, particularly Leu, activate the mammalian target of rapamycin (mTOR) and subsequently up-regulates the downstream eukaryotic initiation factor 4E-binding protein-1 and 70-kDa ribosomal protein S6 kinase, which regulate messenger RNA (mRNA) translation and synthesis of albumin in cultured rat hepatocytes (Fig. 2).[4,12,24] Leu also stimulates the nuclear import of polypyrimidine-tract–binding protein, which binds to albumin mRNA and increases its translation in HepG2 cells (Fig. 2).[25] Consistent with these *in vitro* studies, BCAA supplementation has been found to activate the mTOR signaling cascade and increase albumin synthesis in animal models of cirrhosis.[26]

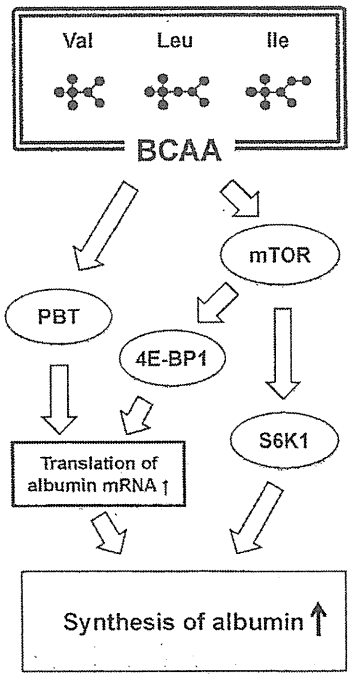

Fig. 2. Molecular mechanisms for BCAA-induced albumin synthesis. BCAA activates the mTOR and subsequently up-regulates the downstream molecules, eukaryotic initiation factor 4E-binding protein-1 (4E-BP1) and 70-kDa ribosomal protein S6 kinase (S6K1), which regulate mRNA translation and synthesis, respectively. BCAAs also stimulate the nuclear import of polypyrimidine-tract-binding protein (PBT), which binds with albumin mRNA and increases albumin translation.

Muto et al. conducted a multicenter, randomized, controlled trial in which 622 patients with cirrhosis were administered BCAAs at 12 g/day for 2 years. In that study, serum albumin levels in the BCAA group were significantly higher than in the nutrient intake-matched control group.[16] However, in another randomized, controlled study by Marchesini et al., BCAA treatment did not result in a significant increase in serum albumin levels.[15] Although the reason for this discrepancy remains unclear, a possible explanation is the difference in the BCAA/AAA ratio among the participants in the two studies. Approximately 45% of enrolled patients were Child-Pugh class A in the former study,[16] whereas all the patients were Child-Pugh class B or C in the latter study.[15] The BCAA/AAA ratio decreases along with progression of liver cirrhosis.[27] Because the BCAA/AAA ratio is positively correlated with the synthesis and secretion of albumin,[4] and the response to BCAA treatment,[27] a low BCAA/AAA ratio may be a reason for the discrepancy in results between the studies. In addition, the majority of other randomized, controlled trials have demonstrated that BCAA supplementation results in a significant increase in serum albumin levels in patients with cirrhosis (Supporting Table 1). The aggregate of the evidence suggests that BCAA administration may increase serum albumin levels in patients with liver cirrhosis.

Insulin Resistance

BCAAs are thought to affect glucose metabolism.[28] Recently, She et al. knocked out the gene of mitochondrial BCAA aminotransferase (BCATm), which catalyzes the first step of BCAA catabolism, leading to a significant elevation in the serum BCAA level. In $BCATm^{-/-}$ mice, fasting blood glucose and fasting serum insulin levels were decreased by 33% and 67%, respectively, and the Homeostasis Model Assessment for Insulin Resistance index was significantly lower than that of wild-type mice.[14] Similarly, treatment with Leu or Ile has been reported to improve insulin sensitivity in mice fed a high-fat diet.[29,30]

Supplementation with BCAAs enhances glucose metabolism in skeletal muscle, adipose tissue, and liver; however, the molecular mechanisms in each organ are different. In skeletal muscle, BCAAs promote glucose uptake through activation of phosphatidylinositol 3-kinase (PI3K) and protein kinase C and subsequent translocation of glucose transporter 1 (GLUT1) and GLUT4 to the plasma membrane (Fig. 3).[13,31] In adipose tissue, Leu enhances insulin-induced phosphorylation of Akt (protein kinase B) on Ser473 and Thr308

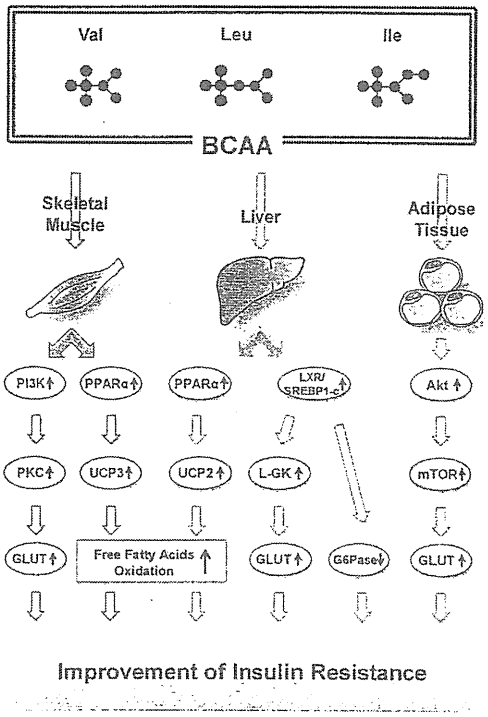

Fig. 3. Distinctive molecular pathway for BCAA-induced improvement of insulin resistance in insulin target organs. BCAAs improve glucose metabolism by acting on insulin target organs such as skeletal muscle, adipose tissue, and the liver. However, the molecular mechanisms in each organ differ. In the skeletal muscle, BCAAs promote glucose uptake through activation of PI3K and protein kinase C and subsequent translocation of GLUT1 and GLUT4 to the plasma membrane. In the adipose tissue, BCAAs, especially Leu, augment insulin-induced phosphorylation of Akt and mTOR, and consequently increase the glucose uptake. In the liver, BCAA activates the liver X receptor α (LXR)/sterol regulatory element binding protein-1c (SREBP1-c) pathway and subsequently up-regulates liver-type glucokinase (L-GK) and GLUT2. In addition, LXR/SREBP-1c activation suppresses hepatic expression of glucose-6-phosphatase (G6Pase), which catalyzes the final steps of gluconeogenesis. BCAAs also increase peroxisome proliferator-activated receptor (PPAR) α expression and subsequent uncoupling proteins 2 (UCP2) in liver and UCP3 in muscle. Up-regulation of UCP2 and UCP3 expression increases oxidation of free fatty acids and improves insulin resistance.

and mTOR on Ser2448, ultimately increasing glucose uptake (Fig. 3).[32] In the liver, BCAAs up-regulate the liver X receptor α (LXRα)/sterol regulatory element binding protein-1c (SREBP1c) pathway and subsequently activate liver-type glucokinase and GLUT2. In addition, BCAA suppresses hepatic expression of glucose-6-phosphatase, which catalyzes the final steps of gluconeogenesis (Fig. 3).[33] Recently, BCAA supplementation has been reported to improve insulin resistance by increasing oxidation of free fatty acids. BCAAs increase peroxisome proliferator-activated receptor α

expression and subsequent expression of uncoupling proteins 2 in liver and uncoupling proteins 3 in muscle (Fig. 3).[34,35] These recent studies have revealed distinct cross-talk mechanisms between BCAAs and the insulin signaling cascade in insulin target organs.

Previous clinical studies have reported that BCAA infusion decreases plasma glucose levels in patients with advanced liver cirrhosis.[36] Furthermore, oral BCAA supplementation reduces both blood glucose[37,38] and insulin resistance in patients with chronic liver disease.[18,39] However, these studies had small sample sizes and/or were lacking in adequate controls. A randomized, controlled trial is required to definitively evaluate the effects of BCAA supplementation on insulin resistance in cirrhosis.

Hepatocellular Carcinoma

Clinical studies have reported that long-term oral supplementation with BCAAs is associated with decreased frequency of development of hepatocellular carcinoma (HCC) and HCC recurrence after treatment with radiofrequency ablation in patients with cirrhosis.[17,40] Recent animal studies have also suggested an antihepatocarcinogenic activity of BCAAs.[41,42] Animals used in these studies were, however, obese diabetic mice with insulin resistance.[41,42] Because insulin resistance is closely linked to hepatocarcinogenesis,[43] it is possible that BCAAs may inhibit hepatocarcinogenesis through amelioration of insulin resistance. Indeed, suppression of hepatocarcinogenesis is accompanied with significant reduction in insulin resistance in BCAA-treated animals.[41,42] A randomized, controlled trial demonstrated that BCAA supplementation reduces the frequency of development of HCC, but the effect was only evident in patients with cirrhosis who are obese and have hepatitis C virus infection (approximately 30% reduction in the development of HCC in 3 years).[17] Because patients who are obese and infected with hepatitis C virus frequently have insulin resistance,[44,45] these findings also support the hypothesis that BCAAs suppress hepatocarcinogenesis through amelioration of insulin resistance.

Insulin is a carcinogenic factor with mitogenic and cell proliferative effects through activation of mitogen-activated protein kinase (MAPK)/extracellular signal-regulated kinase pathway.[46] Insulin also cross-reacts with insulin-like growth factor 1 (IGF-1) receptor and further activates the Raf/MAPK kinase/MAPK cascade.[47] Moreover, excess insulin binds to IGF-binding proteins, resulting in increased levels of free serum IGF-1 (Fig. 4).[48] Thus, insulin resistance/hyperinsulinemia enhances hepatocarcinogenesis through multiple pathways. Possible mechanisms for BCAA-induced inhibition of HCC development include: (1) BCAA activation of the insulin signaling cascade through up-regulation of PI3K[2,13,18] with reduction of serum insulin levels (Fig. 4) and (2) inhibition of the IGF/IGF-1R axis by suppressing the expressions of IGF-1, IGF-2, and IGF-1 receptor mRNA (Fig. 4).[41]

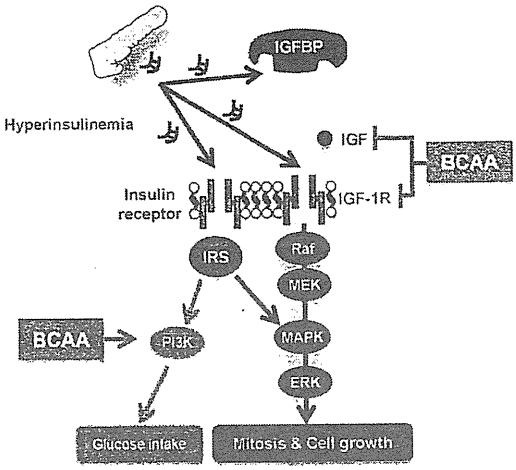

Fig. 4. Molecular mechanisms of the association between hyperinsulinemia and HCC and of BCAA-induced inhibition of hepatocarcinogenesis. As an adaptive response to insulin resistance, pancreatic beta cells secrete excess insulin. Insulin activates mitosis and cell growth through activation of the insulin receptor substrate (IRS)/mitogen-activated protein kinase (MAPK)/extracellular signal-regulated kinase (ERK) pathway. Insulin also cross-reacts with IGF-1 receptor (IGF-1R) and further activates the Raf/MAPK kinase (MEK)/MAPK cascade. Furthermore, excess insulin binds to IGF-binding proteins (IGFBP), resulting in increase in the level of free serum IGF-1. BCAA activates the insulin signaling cascade via up-regulation of PI3K and improves glucose uptake and reduces the serum insulin levels. BCAA also suppresses the IGF/IGF-1R axis through down-regulation of IGF-1, IGF-2, and IGF-1R mRNA expressions, leading to inhibition of mitosis and cell growth.

Besides activation of intracellular insulin and IGF-1 signaling cascade, insulin causes angiogenesis,[42] migration of HCC,[49] and epithelial mesenchymal transition of hepatocytes.[50] Because BCAAs reduce insulin resistance, BCAAs may suppress angiogenesis, migration, and epithelial mesenchymal transition of hepatocytes. BCAAs are also known to attenuate insulin resistance-induced expression of endothelial growth factor and eventually suppress hepatic neovascularization.[42] Thus, the diverse effects of BCAAs on insulin resistance may suppress hepatocarcinogenic activity.

In addition, BCAAs are reported to affect immune function *ex vivo* and *in vivo* studies (Supporting Table

2). In patients with cirrhosis, BCAAs increase liver-associated lymphocyte counts and restore phagocytic function of neutrophils and natural killer activity of lymphocytes.[51] Moreover, BCAA treatment may suppress hepatic oxidative stress by modulating the redox state of albumin.[52,53] Serum albumin is divided into two forms, reduced and oxidized albumin, depending on the redox state at Cys34,[54,55] and the oxidized/reduced albumin ratio increases in patients with cirrhosis.[56,57] BCAA supplementation increases ratio of reduced albumin[52] and decreases iron-related oxidative stress in patients with cirrhosis,[53] suggesting that BCAAs may reduce the iron-induced oxidative stress through a qualitative alteration of serum albumin. Thus, BCAAs may suppress hepatocarcinogenesis partly by improvement of immune function and reduction of oxidative stress.

Mortality and Clinical Decompensation

Some reports suggest that oral BCAA supplementation improves survival in a rat model of cirrhosis and in decompensated patients with cirrhosis.[58-60] Marchesini et al. first performed a randomized, controlled trial exploring the usefulness of BCAAs in patients with cirrhosis.[15] One year of BCAA treatment significantly reduced the occurrence of the primary outcome (a composite of death, number of hospital admissions, and duration of hospital stay) compared to that in the lactalbumin-treated group.[15] Although this study shows the effectiveness of BCAA supplementation, the complications that contributed to the reduction of outcome incidence was not identified because of a small number of enrolled patients (n = 59 in BCAA group) and high dropout rate (15% in the BCAA group) due to poor compliance with the BCAA supplement.

Since 1996, a BCAA supplement formulation (L-Val:L-Leu:L-Ile = 1.2:2:1; Ajinomoto Pharmaceuticals, Tokyo, Japan) has been approved for use in cirrhosis in Japan. The supplement is in the form of small uniform granules, which reduces BCAA-induced stimulation of taste buds and contributes to improved compliance. Using these BCAA granules, Muto et al. performed a large (n = 314 in the BCAA group) randomized, controlled trial.[16] None of the patients discontinued the study because of poor compliance. A preplanned safety analysis revealed that BCAA granules significantly reduced the occurrence of the overall primary outcome (hepatic failure, variceal bleeding, development of liver cancer, and death from any cause) compared to that in the control diet group. Among individual events of primary outcome, the occurrence of hepatic failure was significantly less in the BCAA group compared to the control diet group (hazard ratio 0.45; 95% confidence interval 0.23-0.88; $P = 0.016$). On the basis of the results, the Data and Safety Monitoring Board concluded that the harm associated with the increased occurrence of primary outcome in the control diet group outweigh any potential benefits and the study was discontinued 10 months early due to safety concerns. Beneficial effects of BCAAs on clinical decompensation, including development of hepatic failure, are also reported in patients with cirrhosis accompanied with HCC.[61-63] Thus, the treatment with BCAA supplementation is now recommended in the guidelines for the treatment of liver cirrhosis by the Study Group for the Standardization of Treatment of Viral Hepatitis Including Cirrhosis from the Ministry of Health, Labour and Welfare of Japan.[64]

Quality of Life

Generally, the overall health status and QOL of patients with liver cirrhosis is poor.[65,66] Patients with cirrhosis frequently complain of fatigue and sleep disturbances. There is, however, no standard approach to the management of these symptoms in the absence of overt hepatic encephalopathy.[67] In a randomized study, BCAA-enriched supplements have been reported to improve weakness and easy fatigability compared to ordinary food.[20] BCAA-enriched supplementation has also been reported to improve the Epworth Sleepiness Scale score.[21] In large-scale randomized controlled trials, BCAA supplementation was found to significantly improve the Short Form-36 scores of general health perception compared to control groups.[15,16]

Although it is still unclear how BCAA supplementation provides relief from fatigue and sleep disturbances in patients with cirrhosis, there are at least three possible mechanisms. First, fatigue and sleep disturbances could be caused by minimal hepatic encephalopathy, and BCAA may ameliorate these symptoms by improving this condition.[68] Second, increased serum tryptophan levels are known to impair the QOL in various conditions involving malnourishment, including liver cirrhosis.[69] Tryptophan is a precursor for the neurotransmitter 5-hydroxytryptamine, which is associated with fatigue and sleep disturbances.[70] Because BCAAs compete with tryptophan for transport into the brain, these symptoms may be alleviated by supplementation with BCAAs.[71] Third, impaired cerebral blood flow is associated with fatigue and sleep disturbance[72] and is decreased in patients with liver cirrhosis.[73,74] BCAA supplementation is known to improve cerebral blood flow, possibly resulting in lessened fatigue and sleep disturbances.[75,76]

Muscle cramps are also associated with poor QOL in patients with liver cirrhosis,[77] and the frequency of muscle cramps has been reported to be dramatically reduced by BCAA supplementation over a period of 3 months (7.4 ± 2.0 versus 0.3 ± 0.5 times/week).[78] Muscle cramps are caused by a variety of factors, including diuretic treatment, reduction of circulating volume, and deficiency of vitamin E and taurine.[79] Amino acid imbalance decreases taurine production, and therefore, BCAA may inhibit muscle cramps, possibly through improvement of the imbalance and consequent restoration of taurine production.[78,79]

Conclusion

In this article, we have reviewed evidence for potential pharmaceutical properties of BCAAs on various physiological and clinical events associated with chronic liver disease. Evidence for beneficial effects of BCAA supplementation has yet to be fully validated, and improvement for low compliance of BCAA supplementation is still required. However, there is substantial evidence that depletion of serum BCAA levels is involved in the progression of liver disease and the development of clinically important sequelae. Pharmacological supplementation with BCAAs may be a promising therapeutic strategy for patients with liver cirrhosis.

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Recent advances of radiofrequency ablation for early hepatocellular carcinoma

1. Namiki Izumi

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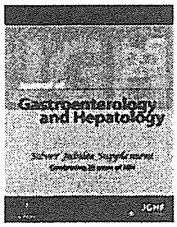

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