VOLUME 30 · NUMBER 8 · MARCH 10 2012

JOURNAL OF CLINICAL ONCOLOGY

ORIGINAL REPORT

Defucosylated Anti-CCR4 Monoclonal Antibody (KW-0761) for Relapsed Adult T-Cell Leukemia-Lymphoma: A Multicenter Phase II Study

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Submitted June 3, 2011; accepted December 5, 2011; published online ahead of print at www.jco.org on February 6, 2012.

Supported by Kyowa Hakko Kirin (Tokyo, Japan).

Presented in part at the 52nd Annual Meeting of the American Society of Hematology, December 4-7, 2010, Orlando, FL.

Authors' disclosures of potential conflicts of interest and author contributions are found at the end of this article.

Clinical Trials repository link available on JCO.org.

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0732-183X/12/3008-837/$20.00

DOI: 10.1200/JCO.2011.37.3472

ABSTRACT

Purpose
Adult T-cell leukemia-lymphoma (ATL) is usually resistant to conventional chemotherapies, and there are few other treatment options. Because CC chemokine receptor 4 (CCR4) is expressed on tumor cells from most patients with ATL, KW-0761, a humanized anti-CCR4 monoclonal antibody, which markedly enhances antibody-dependent cellular cytotoxicity, was evaluated in the treatment of patients with relapsed ATL.

Patients and Methods
A multicenter phase II study of KW-0761 for patients with relapsed, aggressive CCR4-positive ATL was conducted to evaluate efficacy, pharmacokinetic profile, and safety. The primary end point was overall response rate, and secondary end points included progression-free and overall survival from the first dose of KW-0761. Patients received intravenous infusions of KW-0761 once per week for 8 weeks at a dose of 1.0 mg/kg.

Results
Of 28 patients enrolled onto the study, 27 received at least one infusion of KW-0761. Objective responses were noted in 13 of 26 evaluable patients, including eight complete responses, with an overall response rate of 50% (95% CI, 30% to 70%). Median progression-free and overall survival were 5.2 and 13.7 months, respectively. The mean half-life period after the eighth infusion was 422 ± 147 hours (± standard deviation). The most common adverse events were infusion reactions (89%) and skin rashes (63%), which were manageable and reversible in all cases.

Conclusion
KW-0761 demonstrated clinically meaningful antitumor activity in patients with relapsed ATL, with an acceptable toxicity profile. Further investigation of KW-0761 for treatment of ATL and other T-cell neoplasms is warranted.

J Clin Oncol 30:837-842. © 2012 by American Society of Clinical Oncology

INTRODUCTION

Adult T-cell leukemia-lymphoma (ATL) is an aggressive peripheral T-cell neoplasm caused by human T-cell lymphotropic virus type I. The disease is resistant to conventional chemotherapeutic agents, and there currently exist limited treatment options; thus, it has a poor prognosis.[1-4] A recent phase III trial for previously untreated patients with aggressive ATL (acute, lymphoma, or unfavorable chronic type) age 33 to 69 years demonstrated that a dose-intensified multidrug regimen, VCAP-AMP-VECP (vincristine, cyclophosphamide, doxorubicin, and prednisone; doxorubicin, ranimustine, and prednisone; and vindesine, etoposide, carboplatin, and prednisone), resulted in median progression-free (PFS) and overall survival (OS) of 7.0 and 12.7 months, respectively.[5] This remains unsatisfactory compared with responses in other hematologic malignancies. Allogeneic hematopoietic stem-cell transplantation has evolved into a potential approach to treating patients with ATL over the last decade. However, only a small fraction of patients with ATL have the opportunity to benefit from transplantation, such as those who are younger, have achieved sufficient disease control, and have an appropriate stem-cell source.[6,7] Therefore, the development of alternative treatment strategies for patients with ATL is an urgent issue.

Because CC chemokine receptor 4 (CCR4) is expressed on tumor cells from most patients with ATL,[8,9] we postulated that it might represent a novel molecular target for immunotherapy. Accordingly, KW-0761, a next-generation humanized anti-CCR4 immunoglobulin G1 (IgG1) monoclonal antibody (mAb) with a defucosylated Fc region, which markedly enhances antibody-dependent cellular cytotoxicity (ADCC), was developed.[10,11] We demonstrated that robust ADCC by the defucosylated anti-CCR4 mAb against primary tumor cells from patients with ATL mediated by autologous effector cells was triggered both in vitro and in a humanized mouse model in vivo.[11-13] These promising preclinical results prompted us to conduct a phase I clinical trial of KW-0761 for patients with relapsed CCR4-positive peripheral T-cell lymphoma (PTCL), including ATL. This study demonstrated good tolerability, predictable pharmacokinetics, and preliminary evidence of potent antitumor activity and resulted in a recommended dose of 1.0 mg/kg for subsequent clinical trials.[14] Herein, we report the results of a multicenter phase II study designed to assess the efficacy, pharmacokinetic profile, and safety of KW-0761 monotherapy in patients with relapsed CCR4-positive aggressive ATL.

PATIENTS AND METHODS

Patients

Patients 20 years of age or older with CCR4-positive aggressive ATL (acute, lymphoma, or unfavorable chronic type)[1,4] who had relapsed after at least one prior chemotherapy regimen were eligible. The unfavorable chronic type of ATL was defined by the presence of at least one of the following three factors: low serum albumin, high lactate dehydrogenase, or high blood urea nitrogen concentration.[5] CCR4 expression was determined by immunohistochemistry or flow cytometry using a mouse anti-CCR4 mAb (KM2160)[8,14] and confirmed by a central review committee. All patients were required to have an Eastern Cooperative Oncology Group performance status of 0 to 2. Eligibility criteria also included the following laboratory values: absolute neutrophil count $\geq$ 1500/μL, platelet count $\geq$ 50,000/μL, hemoglobin $\geq$ 8.0 g/dL, AST $\leq$ 2.5 $\times$ the upper limit of the normal range (UNL), ALT [lteuq] 2.5 $\times$ UNL, total bilirubin $\leq$ 1.5 $\times$ UNL, serum creatinine $\leq$ 1.5 $\times$ UNL, corrected serum calcium $\leq$ 11.0 mg/dL, and arterial partial oxygen pressure $\geq$ 65 mmHg or arterial blood oxygen saturation $\geq$ 93%. Patients were excluded if they had an active infection, a history of organ transplantation, active concurrent cancers, CNS involvement, a bulky mass requiring emergent radiotherapy, or seropositivity for hepatitis B virus antigen, hepatitis C virus antibody, or HIV antibody.

Study Design

This study was a multicenter, single-arm, phase II trial. Objectives of the study were to evaluate the efficacy, pharmacokinetic profile, and safety of KW-0761 monotherapy. Patients received intravenous infusions of KW-0761 once per week for 8 weeks at a dose of 1.0 mg/kg.[14] Oral antihistamine and acetaminophen were administered before each KW-0761 infusion to prevent infusion reactions. The primary end point was overall response rate (ORR), and secondary end points included the best response by disease site, PFS, and OS. Objective responses were assessed after the fourth and eighth infusions of KW-0761 by an independent efficacy assessment committee according to the modified response criteria for ATL.[4] It was estimated that 25 patients would be required to detect a lower limit of the 95% CI exceeding the 5% threshold of ORR based on the assumptions that the minimum required ORR for a new drug for relapsed, aggressive ATL is 5%,[15] with an expected ORR for KW-0761 of 30%[14] with 90% power. Adverse events (AEs) were graded according to the National Cancer Institute Common Terminology Criteria for AEs, version 3.0. The presence of human anti-KW-0761 antibodies in the patients' plasma was examined using enzyme-linked immunosorbent assay. Blood samples collected at times strictly in accordance with the protocol were employed for the pharmacokinetic analysis. Samples were obtained from patients who had received at least one dose of KW-0761 up to all eight doses. When any event resulted in an alteration in the infusion protocol, only those samples taken before the alteration were used for the analysis. The following parameters were calculated for plasma KW-0761: maximum drug concentration and trough drug concentration of each KW-0761 administration, area under the blood concentration time curve from 0 to 7 days after the first and eighth doses, and half-life period ($t_{1/2}$) after the eighth dose. As an additional research parameter, we investigated blood T-cell subset distribution during and after KW-0761 treatment and compared these values with those of 10 healthy donors as controls (five men, five women; median age, 45 years; range, 41 to 57 years).

Statistical Analysis

Survival estimates were calculated using the Kaplan-Meier method. PFS was defined as the time from the first dose of KW-0761 to progression, relapse, or death resulting from any cause, whichever occurred first. OS was measured from the day of the first dose to death resulting from any cause. Regarding T-cell subset analysis, differences between the patients' values before KW-0761 treatment and those of the controls were examined using the Mann-Whitney U-test. Differences between KW-0761 pretreatment values and those at each time point after KW-0761 treatment were examined using the Wilcoxon signed-rank test. All analyses were performed with SPSS Statistics 17.0 (SPSS, Chicago, IL). In this study, $P < .05$ was considered significant.

Study Oversight

The study was sponsored by Kyowa Hakko Kirin Company (Tokyo, Japan). The academic investigators and the sponsor were jointly responsible for the study design. The protocol was approved by the institutional review board at each participating site, and all patients and controls provided written informed consent before enrollment according to the Declaration of Helsinki.

RESULTS

Patients

Of the 28 patients enrolled onto the study, 27 (12 men, 15 women) received at least one infusion of KW-0761. One patient was withdrawn for aggravation of the general condition before the administration of KW-0761. Demographics and clinical characteristics of the 27 patients are summarized in Table 1. Median age was 64 years (range, 49 to 83). The disease subtypes included 14 acute, six lymphoma, and seven unfavorable chronic type ATL. Of these 27 patients, 14 (52%) completed the schedule of eight planned infusions. Of the remaining 13 patients, 11 (41%) discontinued treatment because of disease progression, one (4%) because of skin rash, and another (4%) because of concurrent colon cancer, for which this patient was excluded from the efficacy evaluation.

Efficacy of KW-0761

Of 26 patients evaluable for efficacy, objective responses were noted in 13 patients (ORR, 50%; 95% CI, 30% to 70%), including eight complete responses (CRs). Responses according to disease site were 100% (13 of 13; all CRs) for blood, 63% (five of eight) for skin, and 25% (three of 12) for nodal and extranodal lesions. Responses according to disease subtype were 43% (six of 14) for acute, 33% (two of six) for lymphoma, and 83% (five of six) for unfavorable chronic type ATL. Responses according to number of prior chemotherapy regimens were 48% (10 of 21) in those who had one prior regimen and 60% (three of five) for those who had two or three prior regimens. Median PFS and OS were 5.2 and 13.7 months, respectively (Figs 1A, 1B).

Table 1. Patient Demographics and Clinical Characteristics (n = 27)*

Characteristic	No.	%
Age, years		
Median	64	
Range	49-83	
≥ 65	13	48
Sex		
Male	12	44
Female	15	56
ECOG performance status†		
0	15	56
1	7	26
2	5	19
Disease subtype		
Acute	14	52
Lymphoma	6	22
Chronic	7	26
Prior chemotherapy regimens, No.		
1	22	82
2	3	11
3	2	7

Abbreviation: ECOG, Eastern Cooperative Oncology Group.
*Of 28 patients enrolled, 27 received at least one infusion of KW-0761.
†ECOG performance status scores range from 0 (normal activity) to 5 (death), with higher scores indicating more severe disability.

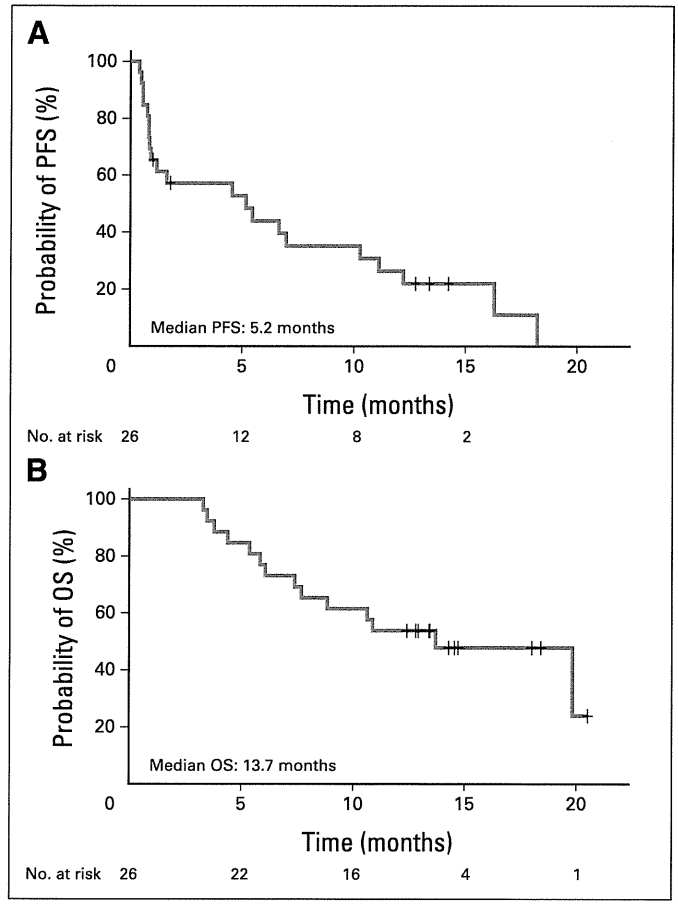

Fig 1. Kaplan-Meier curves of estimated (A) progression-free survival (PFS; median, 5.2 months) and (B) overall survival (OS; median, 13.7 months).

Pharmacokinetics

KW-0761 plasma concentrations over eight infusions, once per week, at 1.0 mg/kg are shown in Figure 2. Mean maximum drug concentration and trough drug concentration (± standard deviation) of the eighth infusion were 42.9 ± 14.2 μg/mL and 33.6 ± 10.6 μg/mL, respectively. Mean area under the blood concentration time curve from 0 to 7 days after the eighth infusion was 6,297 ± 1,812 μg × hours/mL. The mean $t_{1/2}$ after the eighth infusion was 422 ± 147 hours.

AEs

Table 2 lists AEs that occurred in at least 15% of patients or at grades 3 to 4, which were determined as possibly, probably, or definitely KW-0761 related. The most common nonhematologic AE was an infusion reaction (89%). In addition, 80% or more of the following recorded AEs occurred along with an infusion reaction: fever, chills, tachycardia, hypertension, nausea, and hypoxemia (Table 2). These events occurred primarily at the first infusion, becoming less frequent with subsequent treatments. The infusion reactions and component events were transient, and all patients recovered, although some needed systemic steroids. Skin rashes were observed as another frequent nonhematologic AE (63%), mostly occurring after the fourth or subsequent infusions. Of the 14 patients who developed grade 2 or higher skin rashes, objective responses were noted in 13 patients (93%), including eight CRs. On the other hand, of the 12 patients who developed no or grade 1 skin rashes, no objective responses were observed. A typical clinical course of the rash is depicted in Appendix Figures A1A and A1B (online only). The skin rash observed in this patient appeared after the seventh infusion, and the corresponding skin biopsy revealed mild perivascular CD8-positive cells dominating an inflammatory reaction, with an absence of ATL cells. The skin rash recovered on application of topical steroid. Of the 17 patients who developed skin rashes, one developed Stevens-Johnson syndrome, which was determined as possibly KW-0761 related, although that patient also received trimethoprim/sulfamethoxazole, fluconazole, and acyclovir for prevention of infection according to the protocol. This patient stopped those preventive agents and was treated with

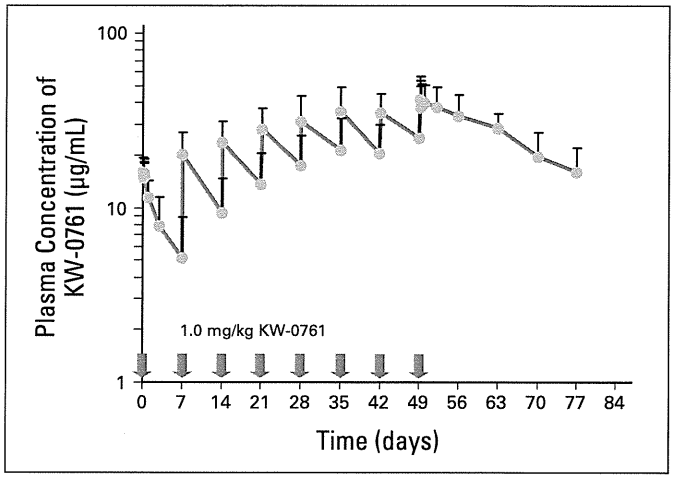

Fig 2. Pharmacokinetics of KW-0761. Mean KW-0761 plasma concentrations during and after 1.0 mg/kg KW-0761 infusions once per week for 8 weeks. Bar indicates upper limit of standard deviation.

Table 2. Adverse Events (n = 27)*

Adverse Event	Grade (No. of patients) 1	2	3	4	All Grades No. of Patients	%	Infusion Reaction Related (No. of patients) All Grades	≥ Grade 2
Nonhematologic								
Infusion reaction	1	22	1	0	24	89		
Fever	20	2	0	0	22	82	18	2
Rash	3	9	5	0	17	63	1	0
Chills	14	2	0	0	16	59	16	2
ALT	5	4	2	0	11	41		
AST	3	5	2	0	10	37		
Tachycardia	9	0	0	0	9	33	9	0
Hypertension	6	2	0	0	8	30	8	1
Albuminemia	7	1	0	0	8	30		
ALP	4	2	0	0	6	22		
Weight gain	5	0	0	0	5	19		
Nausea	4	1	0	0	5	19	5	1
Hyponatremia	5	0	0	0	5	19		
Hypoxemia	0	2	3	0	5	19	4	4
Hypotension	2	2	0	0	4	15	3	1
Pruritus	0	3	1	0	4	15		
γ-GTP	0	1	3	0	4	15		
Hypophosphatemia	0	4	0	0	4	15		
Hyperuricemia	4	0	0	0	4	15		
Hypercalcemia	1	1	0	1	3	11		
Hypokalemia	1	0	2	0	3	11		
Erythema multiforme†	0	0	1	0	1	4		
Hyperglycemia	0	0	1	0	1	4		
Tumor lysis syndrome	0	0	1	0	1	4		
Metabolic/laboratory, other‡	4	7	3	0	14	52		
Hematologic								
Lymphopenia§	0	6	9	11	26	96		
Leukocytopenia	3	7	8	0	18	67		
Thrombocytopenia	7	2	3	2	14	52		
Neutropenia	5	4	5	0	14	52		
Hemoglobin	4	3	1	0	8	30		

Abbreviations: ALP, alkaline phosphatase; BUN, blood urea nitrogen; CRP, C-reactive protein; GTP, glutamyl transpeptidase.

*Of 28 patients enrolled, 27 received at least one infusion of KW-0761. Listed are adverse events determined as possibly, probably, or definitely KW-0761 related that occurred in at least 15% of patients or were of grade 3 to 4 severity.

†One patient diagnosed as having Stevens-Johnson syndrome.

‡Other metabolic and laboratory test abnormalities included hypoproteinemia, BUN elevation, CRP, glycosuria, hypochloremia, and hyperammoniemia.

§Lymphopenia included decrease of abnormal lymphocytes.

systemic steroids, but improvement required the passage of 4 months. Lymphopenia, including a decrease in the number of ATL cells, occurred in 26 (96%) of the 27 patients. Grades 3 to 4 thrombocytopenia was observed in five patients (19%) but was not associated with bleeding, and grade 3 neutropenia also occurred in five patients but did not lead to a febrile episode. The latter two hematologic AEs improved in all patients. None of the patients developed detectable anti–KW-0761 antibody.

T-Cell Subset Analysis

The numbers of circulating blood CD4+ CCR4+, CD4+ CD25+ FOXP3+, CD4+ CCR4−, and CD4− CD8+ cells from KW-0761–treated patients and those from the 10 controls are presented as box and whisker plots in each graph (Appendix Figs A2A to A2D, online only). The numbers of CD4+ CCR4+ and CD4+ CD25+ FOXP3+ cells in patients with ATL before treatment were significantly higher than those in the controls but were significantly reduced after the first KW-0761 infusion. The reduction lasted for at least 4 months after the eighth infusion (Appendix Figs A2A, A2B; online only). The numbers of CD4+ CCR4−, and CD4− CD8+ cells in patients with untreated ATL were significantly lower than those in the controls. KW-0761 treatment led to a transient further reduction of those cells; however, recovery took place by the fifth infusion (Appendix Figs A2C, A2D; online only).

DISCUSSION

In the present multicenter phase II study, KW-0761 monotherapy demonstrated significant responses in patients with relapsed ATL with an acceptable toxicity profile. An ORR of 50% and median PFS and OS values of 5.2 and 13.7 months, respectively, were observed. Because the lower limit for an ORR with a 95% CI was 30%, this study met the primary end point. These results suggest an improvement over what has been achieved with other agents in relapsed ATL.[15] Cladribine was associated with an ORR of 7% (one of 15 patients),[16] and irinotecan hydrochloride treatment had an ORR of 38% (five of 13 patients) with a median duration of response of 31 days.[17] Antiviral therapy consisting of a combination of zidovudine and interferon, which has been proposed as a standard first-line therapy in leukemic subtypes of ATL,[18] was initially reported as having a median OS of 3.0 months in 19 patients with acute or lymphoma type ATL.[19] In addition, White et al[20] reported three objective responses lasting longer than 1 month with zidovudine plus interferon in 18 patients with ATL, of whom 15 had received prior therapy. Those observations collectively suggest that KW-0761 may offer an advantage over or provide an additional therapeutic option to the currently available therapy for relapsed ATL, although there were no direct comparisons.

On examining the results of ATL treatment according to disease site, disease in blood seemed to be more sensitive to KW-0761 than at other disease sites. Currently, we are unable to fully explain this difference; however, factors such as the KW-0761 delivery or the amount of ADCC effector cells such as natural killer (NK) cells and monocytes/macrophages in each disease site may be important.

Pharmacokinetic analyses demonstrated that the $t_{1/2}$ after the eighth administration of KW-0761 was nearly the same as that of circulating endogenous human IgG1, indicating good stability of this antibody in vivo. In addition, no anti-KW-0761 antibody was detected, suggesting that the antigenicity of this novel defucosylated mAb is not likely to be a problem clinically, consistent with findings in our preceding phase I study.[14]

The infusion reactions observed in the present study may also provide novel insights into problems associated with antibody therapy. It is generally recognized that complement plays a major role in infusion reactions,[21] but this mechanism cannot apply to KW-0761, because the agent is unable to mediate complement-dependent cytotoxicity.[11] Therefore, the infusion reactions observed here may have a different mechanism compared with those of other antibody therapies, such as rituximab. KW-0761 has a defucosylated Fc region, which markedly enhances ADCC because of increased binding affinity to the

Fcγ receptor on effector cells. Defucosylated IgG1 is a more potent activator of NK cells than nondefucosylated IgG1 during ADCC.[22] We surmise that the infusion reactions to KW-0761 were mainly induced by cytokines and related cytotoxic molecules released from highly activated NK cells.

The present study demonstrated that compared with the levels in the controls, KW-0761 led to a significant and lasting decrease in the number of CD4+ CCR4+ but not CD4+ CCR4− or CD4− CD8+ cells in patients with ATL. Consistent with the fact that CCR4 is expressed not only on T-helper type 2 cells but also on regulatory T (Treg) cells,[23-26] KW-0761 treatment also resulted in a significant and lasting decrease in CD4+ CD25+ FOXP3+ cells, including both ATL cells and endogenous non-ATL Treg cells.[27-29] Reduction or suppression of Treg cells is expected to be a potentially promising strategy for boosting antitumor immunity in patients with cancer, as observed in studies with ipilimumab,[30-33] although ipilimumab and KW-0761 have different targets; the former suppresses Treg cell function, and the latter decreases their number. Hence, KW-0761 could also lead to activation of antitumor immunity, which might also contribute to its potent anti-ATL response. Because ipilimumab causes immune-related AEs such as diarrhea and colitis, we were especially vigilant in monitoring for this type of AE. Because CCR4 contributes to lymphocyte skin-specific homing,[34] it was not surprising that skin rashes, which could be an immune-related AE, were frequently observed in the present KW-0761 study. Skin rashes, including the most severe case of Stevens-Johnson syndrome, the causal association of which with concomitant medications other than KW-0761 could not be excluded, proved to be manageable, and patients improved in all cases, although some needed systemic or topical steroid treatment. The observed better responses to KW-0761 in patients with grade 2 or higher skin rashes were highly impressive. However, the underlying mechanisms for this finding are not clear; thus, further detailed investigation is warranted. All of the 14 patients who developed grade 2 or higher skin rashes received five or more KW-0761 infusions according to the protocol, whereas only three of the 12 patients who developed no or grade 1 skin rashes received five or more KW-0761 infusions. This suggests the possibility that skin rashes were associated with the number of KW-0761 infusions. The Cochran-Mantel-Haenszel test stratified by the number of KW-0761 infusions ($\leq$ four $v \geq$ five) indicated a significant association between clinical response and skin rashes (no or grade 1 v grades 2 to 4; $P = .009$). However, the sample size is insufficient to draw such a conclusion.

Following on a phase III study (JCOG9801 [Japan Clinical Oncology Group 9801]) for untreated aggressive ATL,[5] the present promising results for KW-0761 monotherapy prompted us to conduct a subsequent randomized trial of VCAP-AMP-VECP chemotherapy with or without KW-0761 for previously untreated ATL (Clinicaltrials.gov: NCT01173887). CCR4 is also expressed on tumor cells from a subgroup of PTCL other than ATL, which also has an unfavorable prognosis.[2,35,36] Thus, we are currently conducting a phase II study of KW-0761 monotherapy for relapsed CCR4-positive PTCL (Clinicaltrials.gov:NCT01192984). In addition, Duvic et al[37] recently reported a phase I/II study of KW-0761 for refractory cutaneous T-cell lymphoma. They found that KW-0761 was well tolerated at doses of 0.1 to 1.0 mg/kg, and a promising ORR of 39% (15 of 38 patients) was achieved, although expression of CCR4 on lymphoma cells was not included as one of the eligibility criteria (Clinicaltrials-.gov: NCT00888927). Furthermore, clinical trials of KW-0761 for patients with Hodgkin's lymphoma may be worth trying, because it has been reported that Hodgkin's lymphoma tumor cells produce CCR4 ligand molecules, and migratory CCR4-expressing Treg cells prevent a host immune attack on tumor cells, thereby creating an immunologically favorable environment for the tumor cells.[38]

Although this phase II study offers a novel promising treatment option (KW-0761) for patients with relapsed ATL, some limitations should be discussed. First, the present phase II study was relatively small, with consequent limitations on drawing definitive conclusions about the efficacy and safety profile of KW-0761. Second, patients received different prior systemic chemotherapy regimens, which could affect the results of the present study. Finally, the enrolled patients all had aggressive ATL, but three clinical subtypes (acute, lymphoma, and unfavorable chronic type) were included. Although there may be no significant differences in susceptibility to conventional chemotherapies between these subtypes, the heterogeneity of the enrolled patients might have affected the results.

In conclusion, this multicenter phase II study demonstrated that KW-0761 monotherapy showed clinically meaningful antitumor activity in patients with relapsed ATL, with an acceptable toxicity profile. Further investigation of KW-0761 for ATL and other T-cell neoplasms is warranted on the basis of the present results.

AUTHORS' DISCLOSURES OF POTENTIAL CONFLICTS OF INTEREST

Although all authors completed the disclosure declaration, the following author(s) indicated a financial or other interest that is relevant to the subject matter under consideration in this article. Certain relationships marked with a "U" are those for which no compensation was received; those relationships marked with a "C" were compensated. For a detailed description of the disclosure categories, or for more information about ASCO's conflict of interest policy, please refer to the Author Disclosure Declaration and the Disclosures of Potential Conflicts of Interest section in Information for Contributors.

Employment or Leadership Position: Shiro Akinaga, Kyowa Hakko Kirin (C) **Consultant or Advisory Role:** Michinori Ogura, Kyowa Hakko Kirin (C) **Stock Ownership:** None **Honoraria:** Takashi Ishida, Kyowa Hakko Kirin **Research Funding:** Takashi Ishida, Kyowa Hakko Kirin **Expert Testimony:** None **Other Remuneration:** None

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VOLUME 30 · NUMBER 14 · MAY 10 2012

JOURNAL OF CLINICAL ONCOLOGY

ORIGINAL REPORT

Prognostic Index for Acute- and Lymphoma-Type Adult T-Cell Leukemia/Lymphoma

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Submitted August 10, 2011; accepted February 6, 2012; published online ahead of print at www.jco.org on April 2, 2012.

Supported in part by the Clinical Research Foundation, Fukuoka, Japan.

Authors' disclosures of potential conflicts of interest and author contributions are found at the end of this article.

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0732-183X/12/3014-1635/$20.00

DOI: 10.1200/JCO.2011.38.2101

ABSTRACT

Purpose
The prognosis of acute- and lymphoma-type adult T-cell leukemia/lymphoma (ATL) is poor, but there is marked diversity in survival outcomes. The aim of this study was to develop a prognostic index (PI) for acute- and lymphoma-type ATL (ATL-PI).

Patients and Methods
In a retrospective review, data from 807 patients newly diagnosed with acute- and lymphoma-type ATL between January 2000 and May 2009 were evaluated. We randomly divided subjects into training (n = 404) and validation (n = 403) samples, and developed a PI using a multivariable fractional polynomial model.

Results
Median overall survival time (MST) for the 807 patients was 7.7 months. The Ann Arbor stage (I and II *v* III and IV), performance status (0 to 1 *v* 2 to 4), and three continuous variables (age, serum albumin, and soluble interleukin-2 receptor [sIL-2R]) were identified as independent prognostic factors in the training sample. Using these variables, a prognostic model was devised to identify different levels of risk. In the validation sample, MSTs were 3.6, 7.3, and 16.2 months for patients at high, intermediate, and low risk, respectively ($P < .001$; $\chi^2 = 89.7$, 2 *df*; log-rank test). We also simplified the original ATL-PI according to dichotomizing age at 70 years, serum albumin at 3.5 g/dL, and sIL-2R at 20,000 U/mL and developed an easily calculable PI with prognostic discrimination power ($P < .001$; $\chi^2 = 74.2$, 2 *df*; log-rank test).

Conclusion
The ATL-PI is a promising new tool for identifying patients with acute- and lymphoma-type ATL at different risks.

J Clin Oncol 30:1635-1640. © 2012 by American Society of Clinical Oncology

INTRODUCTION

Adult T-cell leukemia/lymphoma (ATL) is a peripheral T-cell malignancy caused by human T-cell lymphotropic virus type I (HTLV-1).[1,2] HTLV-1 is endemic to the southwestern region of Japan, Caribbean basin, Central and South America, and western Africa. The cumulative incidence of ATL is estimated to be approximately 2.5% to 5% among HTLV-1 carriers.[3,4] Patients with ATL present with characteristic clinical features such as increased abnormal lymphocytes with cerebriform or flower-like nuclei (flower cells) in the peripheral blood, hypercalcemia, skin lesions, generalized lymphadenopathy, and hepatosplenomegaly accompanied by opportunistic infections.[1,5] A previous report by the Japan Clinical Oncology Group-Lymphoma Study Group (JCOG-LSG) identified five prognostic factors for ATL, including advanced performance status (PS), high lactic dehydrogenase (LDH), age of 40 years or older, total involved lesions, and hypercalcemia, on the basis of an analysis of 854 patients with newly diagnosed ATL registered between 1983 and 1987.[6] The JCOG-LSG then proposed four clinical subtypes: acute, lymphoma, chronic, and smoldering types. This system is known as Shimoyama classification and is based on prognostic factors and clinical features of the disease.[7] This classification is now widely used for determining therapeutic strategy. Generally, the prognosis of acute- and lymphoma-type ATL is poor, whereas that of the chronic and smoldering types is better. More than two decades have passed since the pivotal reports by JCOG-LSG, and ATL management has improved over this period. Recently, an International Consensus Meeting recommended treatment using chemotherapies

such as a vincristine, cyclophosphamide, doxorubicin, and prednisolone (VCAP) plus doxorubicin, ranimustine, and prednisolone (AMP) plus vindesine, etoposide, carboplatin, and prednisolone (VECP), which is a sequential combination chemotherapy consisting of VCAP, AMP, and VECP[8,9] with or without subsequent allogeneic hematopoietic cell transplantation (HCT) for acute- and lymphoma-type ATL, and a combination of interferon alfa and zidovudine (IFN/AZT) for acute-type ATL outside of clinical trials.[10]

However, there are diverse clinical courses and survival outcomes among patients with acute- and lymphoma-type ATL. Therefore, it is necessary to establish a prognostic index (PI) for a risk-adapted approach and to improve the quality of clinical trials. To determine prognosis in patients with acute- and lymphoma-type ATL, we elucidated prognostic factors by performing a nationwide survey of patients diagnosed during the past decade and developed a PI.

PATIENTS AND METHODS

Patients

We conducted a retrospective survey of patients with ATL diagnosed between January 1, 2000, and May 31, 2009, in Japan. The inclusion criterion for this investigation was a diagnosis of acute- and lymphoma-type ATL based on Shimoyama classification. Patients who had undergone allogeneic HCT were excluded from this analysis because there is an undetermined impact on survival using this novel intervention. All clinical data as well as the validity of diagnosis of ATL were centrally reviewed by two expert hematologists.

Clinical Data

We collected information regarding sex, age, institutional based–clinical subtype, WBC counts, neutrophil counts, lymphoid cell counts, abnormal lymphoid cell counts, hemoglobin, platelet counts, serum total protein, serum albumin, blood urea nitrogen (BUN), LDH, soluble interleukin-2 receptor (sIL-2R), presence of hypercalcemia, C-reactive protein, maximum tumor size, "B" symptoms, PS by Eastern Cooperative Oncology Group (ECOG), Ann Arbor stage, and number of lesions of involved lymph nodes, as well as the sites and number of involved extranodal lesions. We defined leukemic stage IV disease as the presence of more than 1% of abnormal lymphocytes in peripheral blood according to the definition for diagnosing acute- and lymphoma-type ATL in Shimoyama classification.[7] Overall survival (OS) was calculated from the time of diagnosis to the date of death by any cause or to the last follow-up date.

Approval of the study procedure was obtained from the ethics committee and institutional review board of the coordinating center (Fukuoka University) and at each participating center on the basis of their institutional policies.

Statistical Analysis

The data set was randomly split into either a training sample for developing a PI or a validation sample for evaluating the obtained PI. Continuous variables were not categorized a priori because categorizing a predictor would result in an inevitable loss of information.[11] We applied parametric models based on two-degree fractional polynomial (FP) functions to retain relevant variables continuous.[12] For each continuous variable X, one or two terms of the form X^p were fitted with powers, p, which were chosen from $(-2, -1, -0.5, 0, 0.5, 1, 2, \text{and } 3)$. The association of each variable with OS was evaluated using a univariable FP model, and variables showing a P value of less than .05 were considered candidate predictors. Then, the multivariable FP (MFP) procedure using backward elimination was performed. The backward elimination was based on closed testing,[12] and a P value of less than .05 was used for variable selection. A continuous PI from the final MFP model was categorized into three risk groups, with two optimal cutoff points in the continuous PI found by maximizing the log-rank statistics according to the minimal P value approach.

An explorative simplification of our continuous PI was developed, dichotomizing all the predictors a priori according to their standard cutoff points. Concordance between three risk groups from the simplified PI and those from the original PI was measured using weighted κ.

Survival curves were estimated using the Kaplan-Meier method and compared using the log-rank test. All statistical analyses were performed with SAS version 9.2 (SAS Institute, Cary, NC) with %mfp8 macro[13] and MATLAB (Mathworks, Natick, MA). All P values were reported as two-sided.

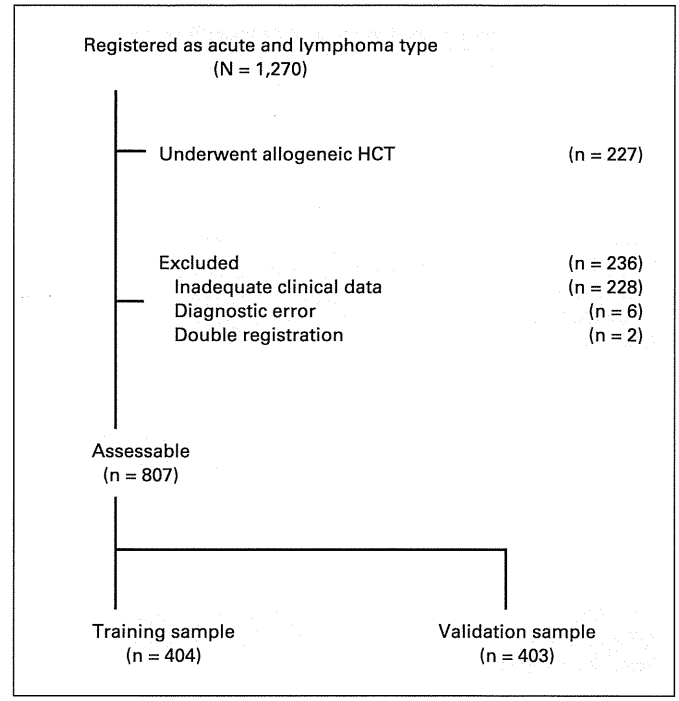

Fig 1. CONSORT flowchart of patients: 1,270 patients diagnosed with acute- and lymphoma-type adult T-cell leukemia/lymphoma were registered. Of these patients, 227 patients were excluded because they had undergone allogeneic hematopoietic cell transplantation (HCT). Two hundred thirty-six patients were excluded for the following reasons: 228 for inadequate clinical data at diagnosis because they had at least one missing value of covariates in Table 1, six for diagnostic error, and two for double registration. The remaining 807 patients were analyzed and randomly divided into training (n = 404) and validation (n = 403) samples.

RESULTS

Patient Characteristics

Data from 1,270 patients with acute- and lymphoma-type ATL were submitted from 81 institutions across Japan (Fig 1). A total of 227 patients had undergone allogeneic HCT and were excluded. Of the remaining 1,043 patients, 236 patients were excluded for the following reasons: 228 for inadequate clinical data at diagnosis because they had at least one missing value of covariates in Table 1, six for diagnostic error, and two for double registration. Thus 807 patients were analyzed for the development of the PI. Baseline characteristics are shown in Table 1. Deaths were observed in 641 patients (79%), and the median overall survival time (MST) was 7.7 months (95% CI, 7.0 to 8.7 months). The most common cause of death was progressive disease (81.3%). Death from infection without disease progression was 13.4%.

The number of patients who received initial treatment was 765 (95%), whereas 37 (4.6%) did not receive any treatment, and five were uncertain. Of the 765 patients who had received initial treatment, 755

Table 1. Baseline Characteristics of All Patients (n = 807)

Characteristic	No.	%
Age, years		
Median	67	
Range	35-91	
Sex		
Female	383	47
Male	424	53
Subtype		
Acute type	564	70
Lymphoma type	243	30
Neutrophil count, × 10^9/L		
Median	5.2	
Range	0.16-37	
Hemoglobin level, g/dL		
Median	13	
Range	7.4-18.0	
Platelet count, × 10^9/L		
Median	206	
Range	8-885	
Serum total protein, g/dL		
Median	6.6	
Range	3.2-8.9	
Serum albumin, g/dL		
Median	3.6	
Range	1.8-5.8	
BUN, mg/dL		
Median	16	
Range	3.6-118.3	
LDH, IU/L		
Median	621	
Range	127-13,813	
LDH > 2 × ULN	457	57
Soluble IL-2R, U/mL		
Median	22,800	
Range	303-683,000	
Hypercalcemia present	279	35
Increased CRP present	576	65
Ann Arbor stage		
I-II	77	10
III-IV	730	90
ECOG PS		
0-1	396	49
2-4	411	51
B symptoms present	252	31
No. of lymph node lesions		
Median	3	
Range	0-8	
No. of extranodal sites		
Median	1	
Range	0-7	
No. of total involved lesions		
Median	4	
Range	0-13	
Bone marrow involvement present	252	31
Liver involvement present	96	12
Spleen involvement present	138	17
Pleural effusion present	97	12
Ascites present	63	8

NOTE. The soluble IL-2R level by pg/mL can be converted to U/mL using the formula: value (pg/mL) × 0.113.

Abbreviations: BUN, blood urea nitrogen; CRP, C-reactive protein; ECOG PS, Eastern Cooperative Oncology Group performance status; IL-2R, interleukin-2 receptor; LDH, lactate dehydrogenase; ULN, upper limit of normal.

Table 2. Results of Variable Selection by the MFP Model in the Training Sample (n = 404)

Variable	HR	95% CI	*P*
Stage			
I-II	1.00		
III-IV	1.91	1.25 to 2.92	.003
ECOG PS			
0-1	1.00		
2-4	1.42	1.13 to 1.80	.003
Age, years (continuous)	1.02	1.01 to 1.03	.007
Serum albumin, g/dL (continuous)	0.70	0.57 to 0.87	.001
Log_{10}(sIL-2R), U/mL (continuous)	1.45	1.19 to 1.76	< .001

Abbreviations: ECOG PS; Eastern Cooperative Oncology Group performance status; HR, hazard ratio; MFP, multivariable fractional polynomial; sIL-2R, soluble interleukin-2 receptor.

had chemotherapy and 10 patients had undergone lesion-directed treatment (Appendix Fig A1, online only). No patient received IFN/AZT, which is considered a standard treatment for acute-type ATL in the world,[10,14] because this combination of agents has not been approved for ATL in Japan.

Development of the PI

We randomly selected 404 patients (50% of the 807 patients) as a training sample and developed a PI based on this set. First, in univariate analysis with the two-degree univariable FP model, all variables except sex showed *P* values less than .05 (likelihood ratio test). We then performed backward elimination using the MFP model. Variables that remained independently significant included Ann Arbor stage (I or II *v* III or IV), ECOG PS (0 to 1 *v* 2 to 4), and the three continuous variables of age, serum albumin, and sIL-2R. The MFP model yielded a significant nonlinear function for sIL-2R (log transformation), whereas the other four variables fitted linearly, thus allowing an expression of a final multivariate model in terms of the usual Cox regression model. The estimated hazard ratios and their 95% CIs in the final multivariate model in the training sample are shown in Table 2. A linear risk function based on Cox regression coefficients (ie, the log of hazard ratios), which hereafter we call ATL-PI, was as follows: ATL-PI = 0.65 (if stage = III or IV) + 0.35 (if ECOG PS > 1) + 0.016 × age (years) − 0.36 × albumin (g/dL) + 0.37 × $\log_{10}$ (sIL-2R [U/mL]).

The median of the ATL-PI in the training sample was 2.13 (range, 0.30 to 3.48), 10% of values were less than 1.31, and 90% of values were less than 2.86. Potential cutoff points between 1.30 and 2.90 were evaluated, and the value of 2.6 showed the best discrimination on the basis of the log-rank test (1 *df*) and was defined as the high-risk group for 91 patients (23%, ATL-PI ≥ 2.6). To define the low-risk group, the value of 1.6 was chosen as the best discriminator using the log-rank test (2 *df*), and 76 patients were classified as low risk (19%, ATL-PI < 1.6). The distribution of ATL-PI was similar in the validation sample (n = 403) with high-, intermediate-, and low-risk groups of 99 (25%), 232 (56%), and 72 (18%) patients, respectively, using the designated cutoff points. The three risk groups according to the ATL-PI were effectively prognostic in the validation sample, as shown in Figure 2 ($P < .001$; $\chi^2 = 89.7$, 2 *df*; log-rank test). MSTs were 3.6 (95% CI, 2.4 to 4.6), 7.3 (95% CI, 6.4 to 8.5), and 16.2 (95% CI, 14.5 to 24.7) months for patients at high, intermediate, and low risk, respectively, and OS rates

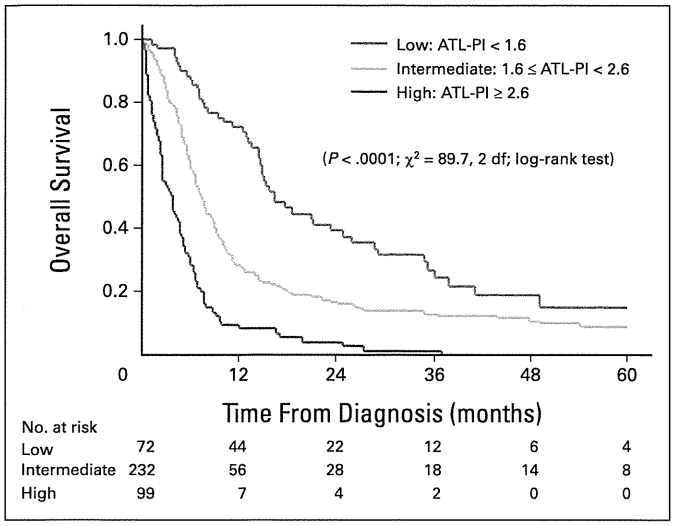

Fig 2. Overall survival curves for the validation sample (n = 403) according to the adult T-cell leukemia/lymphoma prognostic index (ATL-PI): An ATL-PI score was calculated as 0.65 (if stage = III or IV) + 0.35 (if Eastern Cooperative Oncology Group performance status > 1) + 0.016 × age (years) − 0.36 × albumin (g/dL) + 0.37 × $\log_{10}$[soluble interleukin-2 receptor (U/mL)].

Table 3. Results of Cox Regression Model With Dichotomized Covariates in the Training Sample (n = 404)

Variable	HR	95% CI	*P*	Score
Stage				
I-II	1.00			
III-IV	2.17	1.43 to 3.30	< .001	2
ECOG PS				
0-1	1.00			
2-4	1.51	1.20 to 1.90	.001	1
Age, years				
≤ 70	1.00			
> 70	1.45	1.15 to 1.83	.002	1
Serum albumin, g/dL				
≥ 3.5	1.00			
< 3.5	1.42	1.12 to 1.79	.003	1
sIL-2R, U/mL				
≤ 20,000	1.00			
> 20,000	1.37	1.09 to 1.73	.008	1

NOTE. The five variables are those selected by the multivariable fractional polynomial model. In fitting the Cox model, age, serum albumin, and sIL-2R were dichotomized. The last column shows an assigned score for each variable in the calculation of the simplified adult T-cell leukemia/lymphoma prognostic index.

Abbreviations: ECOG PS, Eastern Cooperative Oncology Group performance status; HR, hazard ratio; sIL-2R, soluble interleukin-2 receptor.

at 2 years were 4% (95% CI, 1% to 10%), 17% (95% CI, 12% to 22%), and 39% (95% CI, 27% to 51%), respectively.

Simplified ATL-PI

In the previous section, we described how a continuous PI was established from a model in which all relevant covariates were kept continuous. This PI was then used to categorize the three risk groups. Although this procedure is statistically valid for deriving the categorized risk groups,[11] to make the scoring system easier and clinically practicable, we simplified the system by initially dichotomizing individual continuous covariates. Median values of the identified continuous prognostic factors for age, serum albumin, and sIL-2R were 67 years, 3.6 g/dL, and 21,500 U/mL in the training sample, respectively. Therefore, we set the clinically appropriate cutoff points at 70 years for age, 3.5 g/dL for serum albumin, and 20,000 U/mL for sIL-2R and subsequently fitted a multivariate Cox model based on these dichotomizations in the training sample (Table 3). The estimated Cox regression coefficients were 0.77, 0.41, 0.37, 0.35, and 0.31 for the Ann Arbor stage, ECOG PS, age, albumin, and sIL-2R, respectively. From the weights of these variables, we defined a simplified ATL-PI as follows: simplified ATL-PI = 2 (if stage = III or IV) + 1 (if ECOG PS > 1) + 1 (if age > 70 years) + 1 (if albumin < 3.5 g/dL) + 1 (if sIL-2R > 20,000 U/mL).

On the basis of the best discriminations according to the log-rank test in the training sample, scores from 0 to 2 were categorized into the low-risk group, 3 and 4 into the intermediate-risk group, and from 5 to 6 into the high-risk group. The simplified ATL-PI was then applied to the validation sample, which showed a distribution from 0 through 6 (0, n = 13; 1, n = 10; 2, n = 54; 3, n = 112; 4, n = 96; 5, n = 78; 6, n = 40). Frequencies of the three risk groups were 118 patients (29%), 208 patients (52%), and 77 patients (19%), for high-, intermediate-, and low-risk groups, respectively. This classification yielded a high concordance with the original ATL-PI (weighted κ, 0.82) in the validation sample and resulted in a good separation of OS curves ($P < .001$; $\chi^2 = 74.2$, 2 *df*; log-rank test). Survival curves of the three groups according to the simplified ATL-PI are shown in Figure 3. MSTs were 4.6 (95% CI, 2.6 to 5.4), 7.0 (95% CI, 6.3 to 8.6), and 16.2 (95% CI, 13.4 to 23.2) months, and the 2-year OS rates were 6% (95% CI, 2% to 12%), 17% (95% CI, 12% to 23%), 37% (95% CI, 25% to 49%) for patients at high, intermediate, and low risk, respectively. These results indicated that the simplified ATL-PI also had good prognostic power in the validation sample.

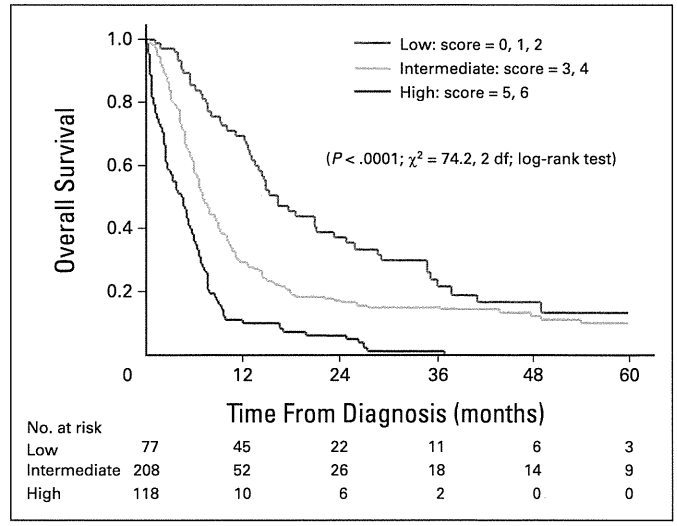

Fig 3. Overall survival curves for the validation sample (n = 403) according to the simplified adult T-cell leukemia/lymphoma prognostic index (ATL-PI): The score for the simplified ATL-PI was calculated as 2 (if stage = III or IV) + 1 (if Eastern Cooperative Oncology Group performance status > 1) + 1 (if age > 70 years) + 1 (if albumin < 3.5 g/dL) + 1 (if soluble interleukin-2 receptor > 20,000 U/mL).

Age-Adjusted ATL-PI

The simplified ATL-PI was applied to a subgroup of patients who were 60 years of age or younger (n = 109) or 70 years of age or younger (n = 255). The predictive capability of the previously determined risk factors other than age was evaluated within each age subgroup in the validation sample. Scores from 0 to 2 were categorized into the low-risk group, 3 and 4 into the intermediate-risk group, and 5 into the high-risk group. The three risk groups according to this age-adjusted ATL-PI were effectively prognostic in patient subgroups younger than 60 or 70 years of age (Appendix Fig A2, online only). MSTs were 2.8 (95% CI, 0.4 to 5.4), 6.5 (95% CI, 5.8 to 9.1), and 16.2 (95% CI, 13.4 to 35.1) months for patients at high, intermediate, and low risk among those younger than 60 years and 3.1 (95% CI, 2.1 to 5.3), 6.7 (95% CI, 5.6 to 8.4), and 16.2 (95% CI, 12.8 to 21.0) months among those younger than 70 years, respectively.

Application of ATL-PI to Patients With Allogeneic HCT

We applied the simplified ATL-PI to 192 patients with allogeneic HCT in whom data was available for five variates. The numbers of high-risk patients were as few as 12 patients (6%), whereas 97 (51%) and 83 (43%) patients showed intermediate and low risk, respectively. MSTs were 9.2 (95% CI, 4.2 to 12.7), 14.0 (95% CI, 11.0 to 17.9), and 14.3 (95% CI, 11.3 to 26.0) months at high, intermediate, and low risk, respectively (Appendix Fig A3). No statistical difference was observed among the three groups ($P = .08$; $\chi^2 = 5.04$, 2 *df*; log-rank test).

DISCUSSION

PIs for specified subentities of malignant lymphoma have involved the International Prognostic Index (IPI) for diffuse large B-cell lymphoma (DLBCL),[15] follicular lymphoma IPI for follicular lymphoma,[16] and PI for advanced Hodgkin's lymphoma.[17] PI for T-cell lymphoma, including peripheral T-cell lymphoma unspecified and extranodal natural killer T-cell lymphoma, nasal type, were also reported.[18,19] However, there have been no studies regarding PI for acute- or lymphoma-type ATL. The aim of this study was to develop a system for risk stratification in patients with acute- and lymphoma-type ATL. Importantly, this is the largest study to analyze prognosis among patients with acute- and lymphoma-type ATL, and the ATL-PI is the first PI for this cohort enabling differentiation among three subgroups with significantly different prognoses. The simplified version of the ATL-PI demonstrated a similar power of prognostic discrimination.

The ATL-PI consists of five factors: Ann Arbor stage, ECOG PS, age, serum albumin, and sIL-2R. In our multivariate analysis, the most significant factor concerning prognostic relevance to survival was the Ann Arbor stage (I or II *v* III or IV). Ann Arbor stage has been included in prognostic indices for other types of lymphoma but not emphasized in ATL because many patients with acute type fall into stage IV as a result of the leukemic phase of the disease. The prognostic significance of the Ann Arbor stage can be translated into better survival in patients with acute- and lymphoma-type ATL with limited disease. Serum sIL-2R level[20,21] was a significant novel indicator in our analyses. Notably, the survival impact of the serum sIL-2R levels was stronger than LDH levels, which are commonly included in PIs for many types of malignant lymphoma. It is thus conceivable that serum sIL-2R can be a new marker of tumor load in ATL.

Recent analysis of 126 patients from the International Peripheral T-Cell Lymphoma Project suggested that the IPI, which is commonly used in the management of patients with DLBCL,[15] is also a useful tool for predicting clinical outcome of patients with ATL.[22] However, in contrast to our study, most patients registered in the previous project had lymphoma type. We applied the IPI to 403 patients in the validation sample and confirmed that most patients were allocated into the intermediate- or high-risk groups, whereas patients in the low-risk group accounted for only 5.7%; the median age of 67 years in our analysis was higher than that in patients involved in the IPI study (56 years),[15] and many more patients with ATL than with DLBCL were in stage IV as a result of frequent leukemic manifestation in the peripheral blood. Moreover, 89% of patients surpassed the normal upper limit of LDH in our study. A similar tendency was observed in applying the PI for peripheral T-cell lymphoma unspecified to the validation sample.[18]

We additionally investigated the simplified ATL-PI according to chemotherapeutic regimens. The MSTs were 4.8, 7.3, and 14.7 months for patients with a cyclophosphamide, doxorubicin, vincristine, and prednisolone (CHOP)/CHOP-like regimen at high, intermediate, and low risk, respectively, and 5.3, 8.7, and 14.9 months for patients with VCAP-AMP-VECP, respectively. Thus the simplified ATL-PI was not affected by chemotherapeutic regimens.

We excluded patients treated with allogeneic HCT in our analysis because allogeneic HCT has an undetermined impact on survival. In fact, allogeneic HCT may have the potential to put some patients into cure, thus significantly prolonging their survival, whereas allogeneic HCT causes an observed treatment-related mortality of up to 43%,[23-25] implying that prognoses of a specific fraction of patients are perturbed by this intervention. We applied the simplified ATL-PI to patients who received allogeneic HCT, but it was not possible to distinguish patient subgroups between low and intermediate risks. This may be because transplantation was applied to a particular population who could complete induction treatment and survived until transplantation (6 months median since diagnosis), regardless of their risk classification. The predominant difference appears in the intermediate-risk group, where the MSTs were 14.0 and 6.5 months for patients with allogeneic HCT and standard therapy, respectively, suggesting that allogeneic HCT might have improved the prognosis for the group, although this should be interpreted with caution because of the potential bias in patient selection for transplant. There is a need for a larger study to address this issue.

In conclusion, we proposed an original ATL-PI and its simplified version including five prognostic factors for acute- and lymphoma-type ATL. The ATL-PI, the first PI for acute- and lymphoma-type ATL, is a promising platform that can be used to determine optimal treatment based on risk stratification and for well-controlled clinical trials. Further international studies including patients treated with IFN/AZT, which is a common treatment for acute-type ATL outside Japan, is warranted to assess the power of the ATL-PI.

AUTHORS' DISCLOSURES OF POTENTIAL CONFLICTS OF INTEREST

The author(s) indicated no potential conflicts of interest.

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Leukemia Research 37 (2013) 21–27

Contents lists available at SciVerse ScienceDirect

Leukemia Research

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Angioimmunoblastic T-cell lymphoma mice model

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ARTICLE INFO

Article history:
Received 7 May 2012
Received in revised form 26 July 2012
Accepted 11 September 2012
Available online 29 September 2012

Keywords:
Angioimmunoblastic T-cell lymphoma
Follicular helper T cell
BCL6
PD1
NOG mice
Tumor microenvironment

ABSTRACT

We established an angioimmunoblastic T-cell lymphoma (AITL) mouse model using NOD/Shi-*scid*, IL-2Rγ^{null} mice as recipients. The immunohistological findings of the AITL mice were almost identical to those of patients with AITL. In addition, substantial amounts of human immunoglobulin G/A/M were detected in the sera of the AITL mice. This result indicates that AITL tumor cells helped antibody production by B cells or plasma cells. This is the first report of reconstituting follicular helper T (TFH) function in AITL cells in an experimental model, and this is consistent with the theory that TFH cell is the cell of origin of AITL tumor cells.

1. Introduction

Angioimmunoblastic T-cell lymphoma (AITL) represents a distinct clinicopathological entity among nodal peripheral T-cell lymphomas. A complex network of interactions between AITL tumor cells and the various reactive cellular components of the tumor microenvironment forms the clinical and histological features of AITL [1]. Because of its complexity, analysis of the immunopathogenesis of AITL in vitro seems to be impossible. On the other hand, recent advances in the development of novel mouse models, in which human hematopoietic and/or immune systems could be reconstituted, have contributed to analyzing the pathogenesis of various human diseases and evaluating the effects of therapeutic agents [2–6]. In the present study, we aimed to establish a novel AITL mouse model in which both primary tumor cells of human AITL and microenvironmental reactive cells engraft and interact with each other, using NOD/Shi-*scid*, IL-2Rγ^{null} (NOG) mice [7,8] as recipients, and analyzed the immunopathogenesis of AITL.

2. Materials and methods

2.1. Human cells

The donors of tumor cells provided written informed consent before sampling in accordance with the Declaration of Helsinki. The present study was approved by the institutional ethics committee of Nagoya City University Graduate School of Medical Sciences.

2.2. Animals

NOG mice were purchased from the Central Institute for Experimental Animals and used at 6–8 weeks of age. All of the in vivo experiments were performed in accordance with the United Kingdom Coordinating Committee on Cancer Research Guidelines for the Welfare of Animals in Experimental Neoplasia, Second Edition, and were approved by the ethics committee of the Center for Experimental Animal Science, Nagoya City University Graduate School of Medical Sciences.

2.3. Primary AITL cell-bearing mouse model

The affected lymph node cells from two patients with AITL were suspended in RPMI-1640, and intraperitoneally (i.p.) injected into NOG mice. Lymph node cells of AITL patient 1 were injected at a dose of 2.5×10^7 lymph node cells/mouse (total 2 mice), and those of patient 2 were injected at a dose of 4.0×10^6 lymph node cells/mouse (total 3 mice). When mice that had received lymph node cells from patient 1 or 2 became weakened, they were sacrificed at day 34 and 48, respectively.

2.4. Antibodies and flow cytometry

The following antibodies were used for flow cytometry: MultiTEST CD3 (clone SK7) FITC/CD16 (B73.1) + CD56 (NCAM 16.2) PE/CD45 (2D1) PerCP/CD19 (SJ25C1)

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http://dx.doi.org/10.1016/j.leukres.2012.09.009

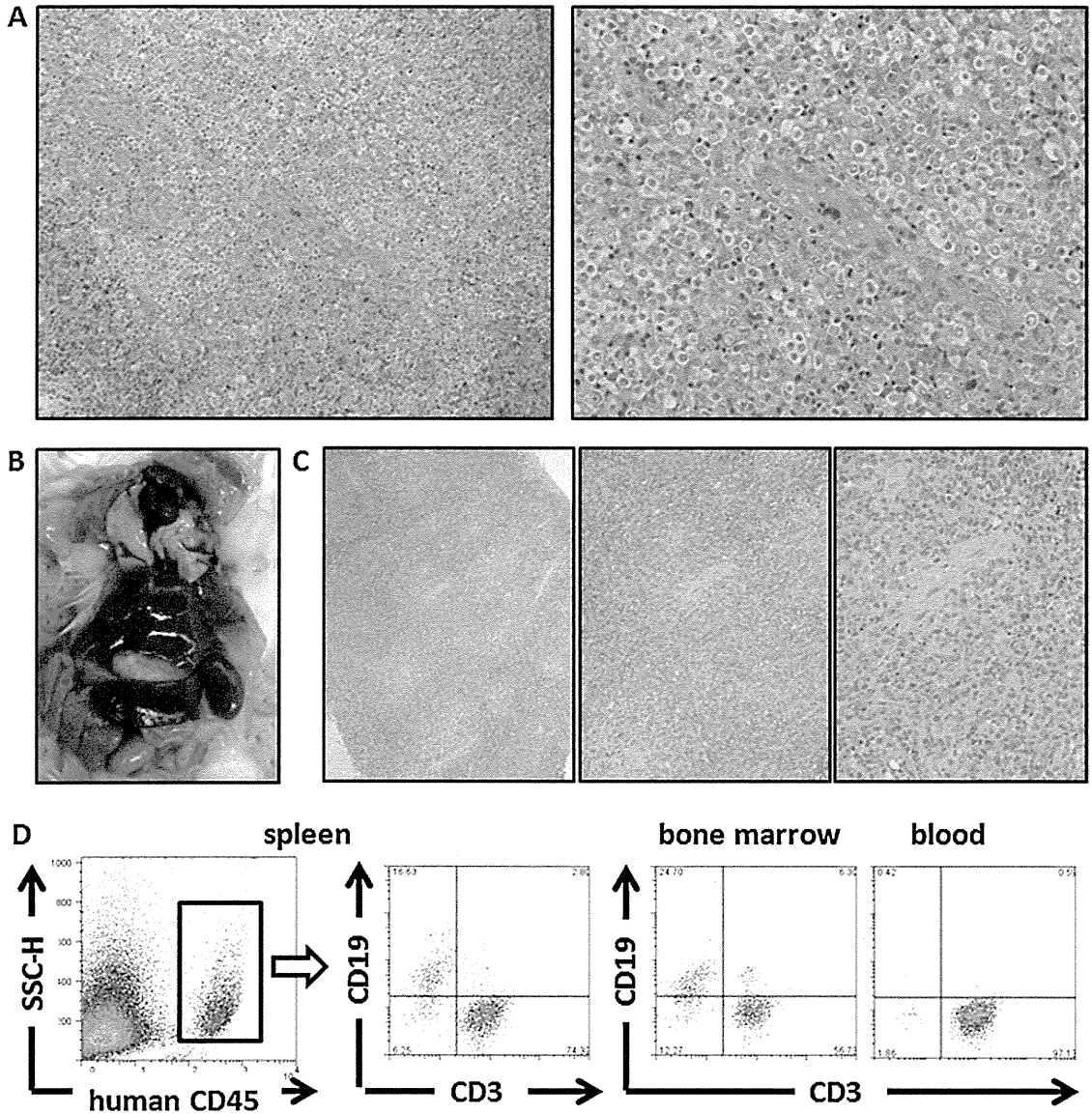

Fig. 1. Primary AITL cell-bearing NOG mouse model. (A) Microscopic images with hematoxylin and eosin staining of the affected lymph node of AITL patient 1 are shown. (B) Macroscopic image of a primary AITL cell-bearing NOG mouse is shown. (C) Sections of the AITL-affected mouse spleen with hematoxylin and eosin staining are shown. (D) The presence of human CD45-positive cells in the infiltrate of the mouse spleen, bone marrow, and blood was determined by flow cytometric analysis of human CD3 and CD19 expression.

APC Reagent, MultiTEST CD3 FITC/CD8 (SK1) PE/CD45 PerCP/CD4 (SK3) APC Reagent. All antibodies were purchased from BD Biosciences (San Jose, CA, USA). Whole blood cells from mice were treated with BD FACS lysing solution (BD Biosciences) for lysing red blood cells. Cells were analyzed by a FACSCalibur (BD Biosciences) with the aid of FlowJo software (Tree Star, Inc., Ashland, OR, USA).

2.5. Immunopathological analysis

Hematoxylin and eosin (HE) staining and immunostaining using antihuman alpha-smooth muscle actin (α-SMA) (1A4; DAKO, Glostrup, Denmark), VEGF-A (sc-152, rabbit polyclonal, Santa Cruz, Heidelberg, Germany), CD3 (SP7; SPRING BIOSCIENCE, Pleasanton, CA, USA), CD20 (L26; DAKO), PD1 (programmed death 1, CD279) (ab52587, Abcam, Cambridge, MA, USA), CD138 (B-B4, Serotec, Raleigh, NC, USA), B cell lymphoma 6 (BCL6) (EP529Y; Epitomics, Burlingame, CA, USA), CD45RO (UCHL1, DAKO), immunoglobulin kappa (KP-53, Novocastra, Newcastle, UK) and lambda light chain (HP-6054, Novocastra) were performed. The presence of Epstein–Barr virus encoded RNA (EBER) was examined by in situ hybridization using EBER Probe (Leica Microsystems, Newcastle, UK) on formalin-fixed, paraffin-embedded sections. Double immunostaining analysis of human CD45RO and human BCL6 was performed as previously described [9]. Briefly, formalin-fixed, paraffin-embedded sections of AITL-affected spleen were immunostained using antibodies against human CD45RO and human BCL6. CD45RO protein in the membrane was visualized in purple (Bajoran purple, Biocare Medical, Concord, CA, USA) and BCL6 protein in the nucleus was visualized in brown (DAB, Leica Microsystems).

2.6. Clonality assay

Clonal assessment of the AITL cells was performed using IdentiClone™ TCRB Gene Clonality Assay (*In vivo*Scribe Technologies, Inc., San Diego, CA, USA) according to the instructions of the manufacturer. Southern blotting analysis of T cell receptor Cβ1 gene was performed at SRL, Inc. (Tokyo, Japan).

2.7. Mouse serum protein

The mouse serum protein fraction was analyzed at SRL, Inc. Human immunoglobulin (Ig) G/A/M in mice serum were also measured at SRL, Inc.

3. Results

3.1. Establishment of the primary AITL cell-bearing NOG mouse model

Microscopic images of the affected lymph node of AITL patient 1 are shown in Fig. 1A. There was marked proliferation of arborizing

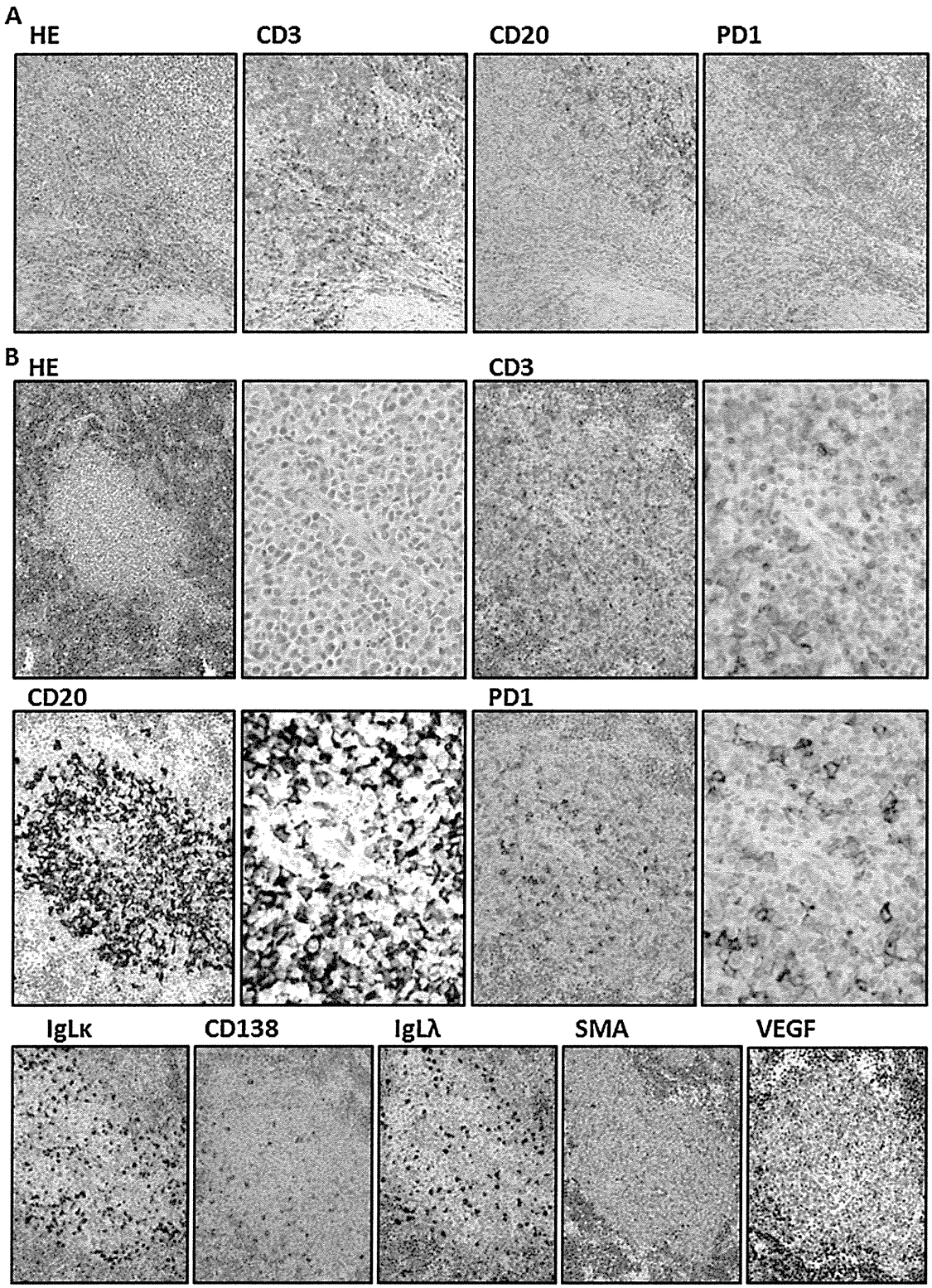

Fig. 2. Immunohistochemical analysis of primary AITL cell-bearing NOG mouse model. (A) Microscopic images with hematoxylin and eosin staining, and staining by anti-CD3, CD20, PD1, and CD138, of the affected lymph node of AITL patient 2 are shown. (B) Immunohistochemical images of sections of the spleen of a primary AITL-affected mouse that had been injected with affected lymph node cells from patient 2, with hematoxylin and eosin staining, and staining by anti-CD3, CD20, PD1, CD138, immunoglobulin kappa and lambda light chain, VEGF-A, and alpha-smooth muscle actin (α-SMA).

high endothelial venules (HEV). There was polymorphic infiltrate composed of small to medium-sized lymphocytes with clear to pale cytoplasm, distinct cell membranes and minimal cytological atypia. The neoplastic cells were admixed with variable numbers of small reactive lymphocytes, eosinophils, plasma cells, and histiocytes. These histological findings are typical of AITL [10]. NOG mice bearing AITL cells from patient 1 presented marked splenomegaly and mild hepatomegaly. The macroscopic appearance of a primary AITL cell-bearing NOG mouse from patient 1 is shown in Fig. 1B. Microscopic analysis revealed that the mice spleen

architectures were partially replaced by the infiltration of small to medium-sized lymphocytes with clear to pale cytoplasm, distinct cell membranes and minimal cytological atypia. The infiltrate also included plasma cells. Marked proliferation of HEV was seen in the spleen (Fig. 1C).

Flow cytometric analysis demonstrated that human CD3-positive T cells as well as CD19-positive B cells infiltrated into the spleen of the mice (Fig. 1D, left 2 panels). Both human T and B cells also infiltrated the mice bone marrow, but only T cells were detected in the blood (Fig. 1D, right 2 panels).

Microscopic images of the affected lymph node of AITL patient 2 are shown in Fig. 2A. There was polymorphic infiltrate composed of small to medium-sized lymphocytes including CD3-positive T cells as well as CD20-positive B cells. Some of the infiltrated cells were positive for PD1, which is known to be expressed on follicular helper T (TFH) cells [11,12] as well as AITL tumor cells [13]. These histological findings are also typical of AITL [10].

NOG mice bearing AITL cells from patient 2 presented marked splenomegaly and mild hepatomegaly. Immunohistochemical analyses of the AITL mice from patient 2 also demonstrated that the mice spleen architectures were partially replaced by the infiltration of small to medium-sized lymphocytes with clear to pale cytoplasm (Fig. 2B, upper left 2 panels). CD3-positive T cells (Fig. 2B, upper right 2 panels) as well as CD20-positive B cells (Fig. 2B, middle left 2 panels) infiltrated the mice spleen. Some of the infiltrated cells were positive for PD1 (Fig. 2B, middle right 2 panels). The infiltrated cells included CD138-positive plasma cells with no slanted distributions of immunoglobulin kappa or lambda light chain (Fig. 2B, lower left 3 panels). EBER-positive cells were not observed in the infiltrate (data not shown). There were abundant SMA-positive blood vessels in the spleen, and the infiltrate included VEGF-producing cells, most of which were AITL tumor cells (Fig. 2B, lower right 2 panels). These observations collectively indicated that the infiltrate consisted of PD1-positive AITL cells, a large number of reactive lymphocytes including both B and T cells, and polyclonal plasma cells, and there was marked vascular proliferation in the spleen. These immunohistological findings in the NOG AITL mice (Figs. 1C and 2B) were nearly identical to those in the respective donor AITL patients (Figs. 1A and 2A).

3.2. Human antibody production in the AITL NOG mice

Given the observation that there were abundant reactive human lymphocytes including B cells and plasma cells in AITL-affected mice spleen, we investigated whether they produced human Ig in the AITL NOG mice. As shown in Fig. 3A, significant Ig fractions and substantial amounts of human IgG/A/M were detected in the AITL mice from both donors. Double immunostaining revealed that human CD45RO- and BCL6-double-positive cells were detected in AITL-affected spleen (Fig. 3B). On the other hand, $CD45RO^{-}BCL6^{+}$ cells were considered to be reactive B cells, because BCL6 is a transcriptional repressor expressed by germinal center B cells [14,15]. These observations collectively indicated that $CD45RO^{+}BCL6^{+}$ AITL tumor cells helped antibody production by B cells or plasma cells. $CD45RO^{+}BCL6^{-}$ cells were also detected in the spleen, and they were reactive T cells with memory phenotype [16].

3.3. Serial transplantations in AITL NOG mice

Suspensions of spleen cells from the mice receiving primary lymph node cells from AITL patient 1 were serially i.p. transplanted into fresh NOG mice. The second NOG mice were sacrificed when they became weakened. The second NOG mice presented marked splenomegaly and mild hepatomegaly (data not shown). Flow cytometric analysis demonstrated that human CD3-positive T cells, including both CD4 and CD8 cells, infiltrated into the mice liver, spleen, and bone marrow. In contrast to the first AITL mice, infiltration of B cells (CD4 and CD8 double negative cells) was not observed (Fig. 4A, left 6 panels). In the subsequent 3rd AITL mice, infiltration of CD8 cells was markedly decreased, and in the 4th AITL mice, the infiltrate of the liver, spleen, and bone marrow consisted of almost exclusively CD4-positive T cells (Fig. 4A, right 6 panels). Along with the disappearance of infiltrating B cells, human Ig was not detected in the sera of 2nd, 3rd and 4th AITL NOG mice (Fig. 4B). Clonality analysis by PCR detected clonal rearrangement of the T cell receptor in the affected lymph node from AITL patient 1 (Fig. 4C, top panel), which was confirmed by Southern blotting analysis of the T cell receptor Cβ1 gene (Fig. 4D, left panels, arrows). Clonality analysis by PCR demonstrated that there were two T cell clones in the spleen cells of the first AITL NOG mice, and the product size of one of these two was the same as that of the original AITL patient (Fig. 4C, upper 2 panels, arrows), indicating that a neoplastic T cell clone from the original AITL patient engrafted and proliferated in the first AITL NOG mice. This observation was confirmed by Southern blotting analysis (Fig. 4D, arrows). The same two T cell clones were detected in the 3rd and 4th AITL mice as those in the 1st AITL mice (Fig. 4C, lower 3 panels, arrows and arrowheads).

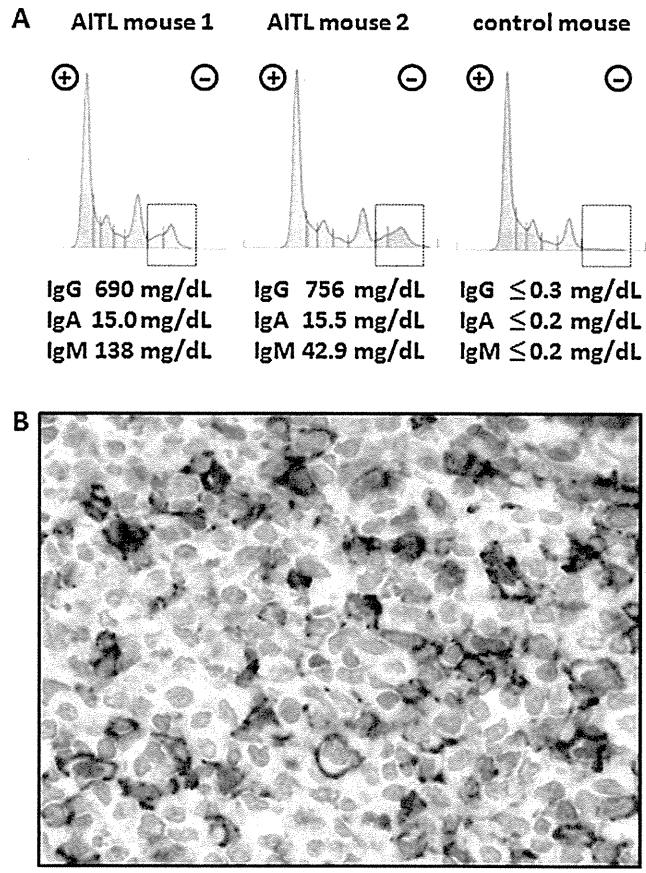

Fig. 3. Human antibody production in the AITL NOG mice. (A) Serum protein fraction of NOG mice that had been injected with affected lymph node cells from AITL patient 1 and 2, and that of a naïve NOG mouse. (B) Double immunostaining analysis for human CD45RO and BCL6 in the AITL-affected mouse spleen. CD45RO in the membrane is visualized in purple and BCL6 in the nucleus is visualized in brown.

3.4. Macroscopic and microscopic findings of 4th AITL mice

The 4th AITL mice presented marked splenomegaly and mild hepatomegaly (Fig. 5A). Mice spleen architectures were almost wholly replaced by the infiltration of small to medium-sized lymphocytes with clear to pale cytoplasm. There was also marked

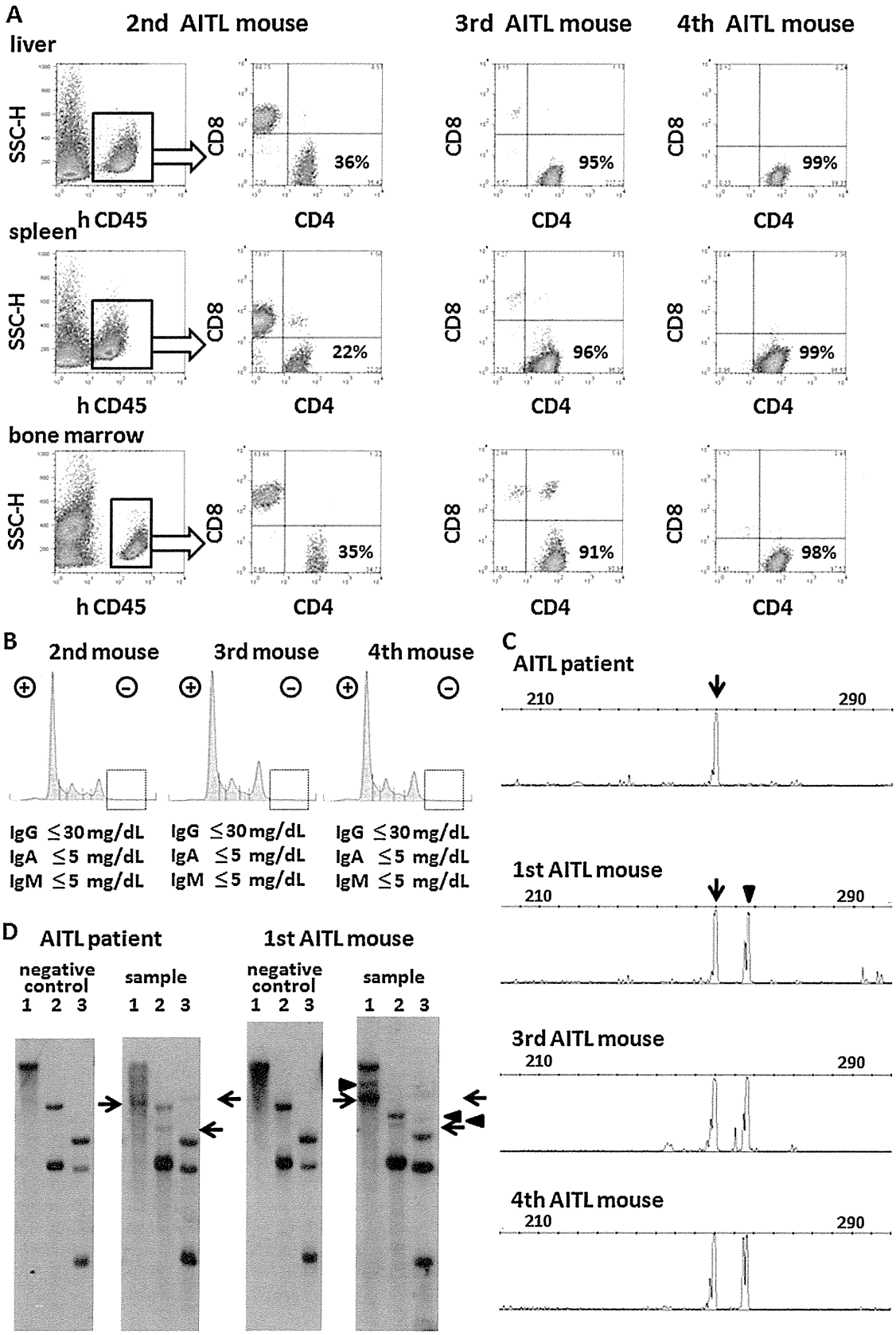

Fig. 4. Serial transplantations of spleen cells from AITL NOG mice. (A) The presence of human CD45-positive cells in the liver, spleen and bone marrow of the 2nd, 3rd, and 4th AITL NOG mice was determined by human CD4 and CD8 expression. (B) Serum protein fraction of 2nd, 3rd, and 4th AITL NOG mice. (C) Clonality analysis by PCR. Arrow and arrowhead indicate the clonal rearrangement of T cell receptor. (D) Clonality analysis by Southern blotting of T cell receptor Cβ1 gene. 1, 2, and 3 indicate BamH I, EcoR V, and Hind III, respectively. Arrow and arrowhead indicate the rearrangement band.

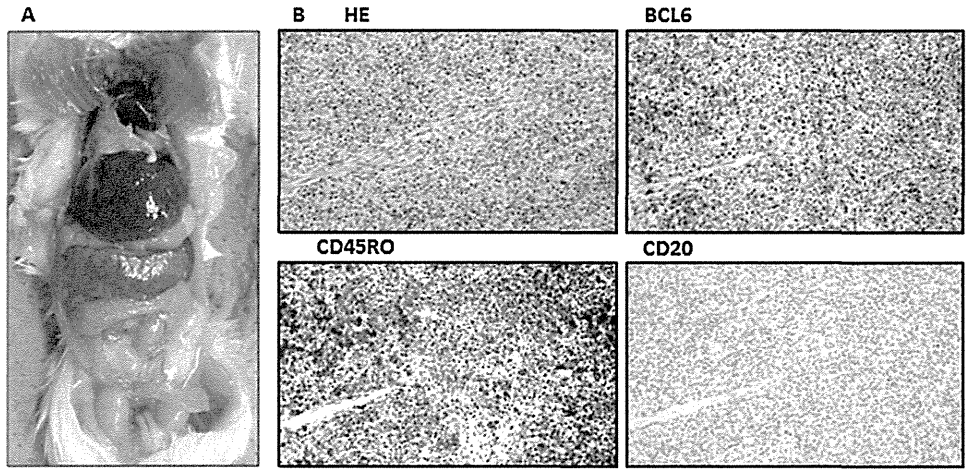

Fig. 5. Macroscopic and microscopic findings of 4th AITL mice. (A) Macroscopic image of a 4th AITL mouse. (B) Immunohistochemical images of the 4th AITL mouse spleen with hematoxylin and eosin staining, and staining by anti-BCL6, CD45RO, and CD20 antibodies.

vascular proliferation in the spleen. Most of the infiltrated cells were positive for CD45RO and BCL6. In contrast to the 1st AITL NOG mice, there were no CD20- (Fig. 5B) or CD138-positive reactive cells (data not shown), which were consistent with the results of flow cytometric analyses (Fig. 4A).

4. Discussion

The recent identification of $CD4^+$ TFH cell as the cell of origin of AITL provides a rationale to explain some of the clinical and histological features of AITL. A fundamental function of TFH cells is regulation of B cell-mediated humoral immunity. It has been known that in humanized NOG mice reconstituted with human $CD34^+$ hematopoietic stem cells, there was little IgG production because of the inappropriate differentiation of human B cells in the mouse environment [17–20]. Considering this fact, it was striking that the present AITL NOG mice produced polyclonal human Ig including IgG. This was direct evidence that $CD45RO^+BCL6^+$ AITL tumor cells functioned as TFH cells, and to the best of our knowledge, this is the first report to reconstitute TFH function in AITL cells in an experimental model either in vitro or in vivo. This could also explain one of the characteristic clinical features of AITL patients, hypergammaglobulinemia. In the AITL mice, human B cells were observed in the spleen and bone marrow, but not in blood, suggesting that antibody production mediated by T cells might need a suitable microenvironment like the germinal center of lymph nodes.

Serial transplantations of spleen cells of AITL NOG mice resulted in the reduction of reactive components such as B cell lineage and CD8-positive cells. CD4-positive AITL neoplastic cells can survive for a long period of time only by interacting with mouse environment cells. As a result, they failed to interact with human B or plasma cells, leading to the absence of human Ig production in the 2nd, 3rd, and 4th AITL NOG mice.

In general, not only monoclonal T cell receptor rearrangement, but also oligoclonal rearrangements were detected in AITL cases [1]. In the present study, although only one T cell clone (clone #1) was detected in an AITL patient 1, another T cell clone (clone #2) was also detected in the AITL NOG mice. We surmise that there were two neoplastic clones in the patient's affected lymph node, although the level of clone #2 was below the detectable limit. Because NOG mice have severe multiple immune dysfunctions, clone #2 was able to increase in the mice to a detectable level.

The immunohistological findings of the present AITL mice were almost identical to those of AITL patients; i.e., only a fraction of AITL neoplastic cells, which were small to medium-sized cells with clear cytoplasms and minimal cytologic atypia, were admixed with a reactive population of small lymphocytes including B and T cells, and plasma cells, and the spleen showed prominent vascularization. On the other hand, there was a lack of myeloid lineage cells such as eosinophils, histiocytes, and follicular dendritic cells, in the background inflammatory components, probably due to their fundamentally short life span. There was also a lack of EBV-positive B cells in the infiltrate in the present AITL mice, which could be explained by the fact that there was a lack of EBV-positive B cells in the background inflammatory components in the affected lymph node of both donors. In this type of analysis, attention should be paid to cross-reaction of antihuman antigens antibodies to mouse cells. The antihuman CD3, CD20, PD1, CD138, BCL6, CD45RO, immunoglobulin kappa and lambda light chain antibodies in the present study did not react with hematopoietic cells of mice origin (data not shown), probably due to the lack of mice T, B, and NK cells in NOG mice [7,8].

In conclusion, primary AITL tumor cells and reactive components engrafted NOG mice, and AITL cells interacted with B and plasma cells, and functioned as TFH cells. Human Igs including IgG were produced in the mice. The present observations strongly support the recent identification of TFH cell as the cell of origin of AITL. The present procedures using NOG mice would be a powerful tool to understand the immunopathogenesis of AITL.

Grants support

The present study was supported by Grants-in-Aid for Young Scientists (A) (No. 22689029, T. Ishida), Scientific Research (B) (No. 22300333, T. Ishida, and R. Ueda), and Scientific Support Programs for Cancer Research (No. 221S0001, T. Ishida) from the Ministry of Education, Culture, Sports, Science and Technology of Japan, Grants-in-Aid for National Cancer Center Research and Development Fund (No. 21-6-3, T. Ishida), and Health and Labour Sciences Research Grants (H22-Clinical Cancer Research-general-028, T. Ishida, and H23-Third Term Comprehensive Control Research for Cancer-general-011, T. Ishida, and H. Inagaki) from the Ministry of Health, Labour and Welfare, Japan.

Conflicts of interest

Nagoya City University Graduate School of Medical Sciences has received research grant support from Kyowa Hakko Kirin for works

provided by Takashi Ishida. No other conflict of interest relevant to this article is reported.

Acknowledgements

We thank Ms. Chiori Fukuyama for her excellent technical assistance, and Ms. Naomi Ochiai for her excellent secretarial assistance.

Authors' contributions. F.S., T.I., R.U., and H.I. designed the research. F.S., T.I., A.I., F.M., A.M., and H.T. performed the experiments. All of the authors analyzed and interpreted the data. F.S. and T.I. wrote the paper, and all of the other authors contributed to writing the paper.

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Cancer Immunity (15 January 2013) Vol. 13, p. 3

Cancer Immunity
Article

A novel human-derived antibody against NY-ESO-1 improves the efficacy of chemotherapy

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We investigated whether antibodies against intracellular tumor-associated antigens support tumor-specific immunity when administered together with a treatment that destroys the tumor. We propose that released antigens form immune complexes with the antibodies, which are then efficiently taken up by dendritic cells. We cloned the first human monoclonal antibodies against the Cancer/Testis (CT) antigen, NY-ESO-1. We tested whether the monoclonal anti-NY-ESO-1 antibody (12D7) facilitates cross-presentation of a NY-ESO-1-derived epitope by dendritic cells to human CD8+ T cells, and whether this results in the maturation of dendritic cells *in vitro*. We investigated the efficacy of 12D7 in combination with chemotherapy using BALB/c mice bearing syngeneic CT26 tumors that express intracellular NY-ESO-1. Human dendritic cells that were incubated with NY-ESO-1:12D7 immune complexes efficiently stimulated NY-ESO-$1_{157-165}$/HLA-A2-specific human CD8+ T cells to produce interferon-γ, whereas NY-ESO-1 alone did not. Furthermore, the incubation of dendritic cells with NY-ESO-1:12D7 immune complexes resulted in the maturation of dendritic cells. Treatment of BALB/c mice that bear CT26/NY-ESO-1 tumors with 5-fluorouracil (5-FU) plus 12D7 was significantly more effective than chemotherapy alone. We propose systemic injection of monoclonal antibodies (mAbs) against tumor-associated antigens plus a treatment that promotes the local release of those antigens resulting in immune complex formation as a novel therapeutic modality for cancer.

Keywords: NY-ESO-1, antibody, chemotherapy

Introduction

Cancer/Testis (CT) antigens form an extended family of proteins that are frequently expressed in a large variety of malignancies but are absent from healthy tissue, except for the testis and placenta. Cancer patients often develop spontaneous immune responses toward CT antigens, which illustrate their immunogenicity (1-3). Their apparent immunogenicity and unique expression pattern make CT antigens attractive targets for immunotherapy, and a number of clinical trials in which cancer patients were immunized with CT antigens in different forms have been completed, some of which show objective clinical responses (4-12).

Dendritic cell (DC) maturation is a key prerequisite for the activation of T cells, and moreover, antigen presentation by steady-state DCs results in peripheral tolerance induction, a process that is considered crucial for the protection against autoimmunity (13, 14). DC maturation usually is induced by infection or inflammation—or by adjuvants for that matter—and can be a local event. Insufficient maturation of tumor-associated DCs may be one of multiple reasons for the compromised response of tumor-infiltrating T cells compared to peripheral T cells (15, 16). Cross-presentation of sufficient amounts of tumor-derived antigens may be another limiting factor, especially because the number of tumor-associated DCs often is low and cross-presentation is inefficient (17, 18). Therefore, we developed a novel immunotherapeutic approach that combines enhanced cross-presentation of epitopes derived from intracellular proteins with concomitant DC maturation. We hypothesized that administration of monoclonal antibodies (mAbs) against CT antigens together with a therapy that releases these usually intracellular antigens may support the local formation of immune complexes, which are efficiently taken up by DCs (19, 20) resulting in increased presentation of CT antigen-derived epitopes to CD8+ T cells. Because there is evidence that the uptake of immune complexes by DCs through the activating receptor for IgG (FcγRIIA) results in DC maturation (21), the use of mAbs against CT antigens may serve both purposes: DC activation and enhanced cross-presentation.

The fact that NY-ESO-1 is one of the best-characterized and most immunogenic CT antigens known to date (22, 23) and is frequently expressed by tumors of different origin (6, 24) prompted us to clone human-derived mAbs against NY-ESO-1 from patients who had high serum levels of NY-ESO-1-specific IgG and, thus, presumably a high frequency of NY-ESO-1-specific B cells. The obvious advantage of cloning a therapeutic antibody from humans is that adverse side effects of such an antibody are very unlikely and that it therefore can relatively be quickly tested in clinical trials. We report here the generation of the first human-derived IgG1 mAbs against NY-ESO-1 and the selection of a lead development candidate (12D7). We show that 12D7 facilitates cross-presentation of a NY-ESO-1-derived epitope to CD8+ T cells, that 12D7:NY-ESO-1 immune