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REVIEW ARTICLE

Liver transplantation for patients with human immunodeficiency virus and hepatitis C virus co-infection: update in 2013

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Abstract Because of the progress of anti-retroviral therapy (ART) for human immunodeficiency virus (HIV), mortality due to opportunistic infection resulting in AIDS has been remarkably reduced. However, meanwhile, half of those patients have died of end-stage liver cirrhosis due to hepatitis C virus (HCV) with liver cirrhosis and early occurrence of hepatocellular carcinoma. Recently, in 2013, non-cirrhotic portal hypertension due to ART drugs or still unknown mechanisms have become problematic with early progression of the disease in this patient population. Liver transplantation (LT) could be one treatment of choice in such cases, but the indications for LT perioperative management, including both HIV and HCV treatments and immunosuppression, are still challenging. In this review, we update the literature on HIV/HCV co-infection and LT as well as recent effort for modifying allocation system for those patients.

Keywords Co-infection · Hepatitis C virus · HIV · Human immunodeficiency virus · Liver transplantation

Introduction

The causes of death of human immunodeficiency virus (HIV) infected patients have dramatically changed since 1995. A major background factor behind these trends is the improved HIV control achieved with anti-retroviral therapy (ART) [1]. Despite dramatic reduction of death due to acquired immunodeficiency syndrome (AIDS), co-infected hepatitis C virus (HCV)-related death due to liver failure or hepatocellular carcinoma (HCC) became a serious problem, not only in Japan but all over the world, including England [2]. In Japan, in the late 1980s, contaminated blood products for hemophilia caused co-infection by HIV and HCV. In such cases, liver transplantation (LT) is the only possible treatment option to achieve long-term survival, but several modifications of perioperative management are required recently for better outcome.

In this review, the outcome and the points of management of LT for HIV/HCV co-infected patients were reviewed to save relatively young patients with HIV/HCV co-infection bearing HCC [3, 4], non-cirrhotic portal hypertension (NCPH) [5–7], and decompensated liver cirrhosis [8, 9]. An updated critical review of the literature in 2013 was performed, and new information on problems and results for LT for HIV/HCV co-infection were included.

Upcoming topics regarding LT indications for HIV/HCV co-infection in 2013

Non-cirrhotic portal hypertension

In HIV/HCV coinfected patients, liver failure due to HCV hepatitis was enhanced by ART-related hepatotoxicity, especially manifesting as non-cirrhotic portal hypertension [5–7]. One of the ART drugs, Didanosin (DDI), has been suspected for serious morbidity. Thus, not only in cases with deteriorated liver function, such as in Child–Pugh B or C cases, but also even in Class A cases, patients' liver function can easily deteriorate abruptly [10, 11]. The actual natural course of pure NCPH is unknown, because it can be modulated with HCV or other causes and reported as only case series. However, an important study regarding "Non-cirrhotic portal hypertension in HIV mono-infected patients without HCV" was published in 2012 [12]. All five patients had portal hypertensive symptoms such as ascites or variceal bleeding after ART medication. We need to await their prognostic information, since it can be extrapolated into HIV/HCV co-infected patients after successful HCV eradication.

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Therefore, all HIV/HCV co-infected patients should be carefully followed up so as not to miss the opportunity for LT. Recently, in Japan, a scoring system was created for listing a deceased donor LT for those patients with HIV/HCV co-infection due to previous contaminated blood products.

Hepatocellular carcinoma

Recently it became evident that HCC in HIV/HCV co-infected patients develop HCC at a very early stage of life, such as in the 30s and 40s [3, 4]. The molecular mechanism of its development still remains unclear, but surveillance in those patients should be considered for HCC strictly. In Japan, HIV/HCV co-infected hemophilic patients have been undergoing periodic examination for liver-related disease on a research basis. Early detection could contribute to treatment choices such as liver resection or liver transplantation. Regardless of the infectious status of HIV, treatment strategy for HCC in HIV/HCV infected patients should be the same in HCV mono-infected patients. Namely, whether liver resection could be performed or not should be based on the liver functional reserve. Also radio frequency ablation and transarterial chemoembolization can be selected according to the location, size and number of HCC.

Current results of LT for HIV/HCV co-infected patients in 2013

Indications for LT

As HCV mono-infected patients, LT should be considered when patients develop deteriorated liver function as indicated by a Child–Pugh score of class B or C in co-infected patients. Recently, Murillas et al. reported that the Model for End-stage Liver Disease (MELD) score is the best prognostic factor in HIV-infected patients [13]. HIV/HCV co-infected patients might be considered for LT before their MELD score increases to achieve comparable results with HCV mono-infected patients. Several studies showed that aggressive fibrosis in HIV/HCV co-infected patients compared with HCV mono-infected patients [14, 15], but the mechanism of this aggressive fibrosis remains unclear. Recently, transient elastography or acoustic radiation force impulse (ARFI) imaging to check for liver stiffness has been introduced as an effective and noninvasive modality to determine patients' candidacy for LT [16, 17].

Regardless of the presence of hemophilia, the indications and methods for performing liver transplantation remains unchanged for patients with HIV/HCV co-infection. In fact, after a successful liver transplantation, hemophilia can normally be cured. Usually, the conditions for liver transplantation are as follows: (1) AIDS symptoms have not surfaced; (2) CD4+ T lymphocyte count is 150–200/μl or above; and (3) as a result of ART, the amount of HIV RNA in the blood by PCR method is below the level of sensitivity of the assay.

In HIV/HCV co-infected patients, current studies show that a count of more than 100/μl CD4+ T lymphocytes is acceptable [18, 19], because patients generally have portal hypertension, which can cause leukocytopenia. In such patients, the ratio of CD4/CD8 is reported to be a realistic marker to predict postoperative complications including opportunistic infections. When the ratio is less than 0.15, the incidence of infectious complications is significantly higher [20].

In 2013, based on the evidence of rapid progression of the liver cirrhosis and portal hypertension in patients with HIV/HCV co-infection, a ranking system for waiting list of deceased donor LT has been set up in Japan. Even HIV/HCV co-infected liver cirrhotic patients with Child–Pugh class A can be listed for LT as "point 3" because of NCPH nature. Also co-infected patients with Child–Pugh class B and C can be listed as "point 6" and "point 8" based on the data from our HIV/AIDS project team of the Ministry of Health, Labor, and Welfare of Japan, and world literatures [21–23]. It is basically considered for previous victims of contaminated blood products for hemophilia.

Results of LT for patients with HIV/HCV co-infection

In the United States and Europe, liver transplantation from deceased donors has been performed in HIV patients since the 1980s. At that time, the outcomes of LT were very poor [11]. Recent series of reports are listed in Table 1 [24–31]. The reality is that, in addition to those listed therein, there have been many sporadic reports, such as reviews, expectations for liver transplantation, and assessment of indications.

In general, most reports concluded that the results were 10% worse than in the cases with HCV mono-infection, with a 3-year survival of around 60–70%. Recently, a 5-year patient survival of around 50% was reported, and there is debate whether these results can be accepted for patients of a younger age and were co-infected through previous use of a contaminated blood product. In Japan, the Tokyo group reported six cases of living donor liver transplantation (LDLT) between 2001 and 2004 [32]. Terrault et al. reported that older donor age, combined kidney-liver transplantation, an anti-HCV positive donor, and a body mass index <21 kg/m^2 were independent predictors of graft loss [33]. After LT, several studies showed that acute cellular rejection was more frequent and more severe in HIV/HCV co-infected patients than in HCV mono-infected patients, possibly due to difficulties in achieving optimal immunosuppression because of interactions between antiretroviral agents and immunosuppression.

Table 1 Updated outcome of liver transplantation for HIV positive recipients

Authors	Year	Country	*n*	Patient survival (%)			
				1 year	3 years	5 years	
Duclos-Vallee et al. [25]	2008	France	35	–	73	51	
Tsukada et al. [32]	2011	Japan	6	66	66	50	Only LDLT, only hemophilia
Terrault et al. [33]	2012	US	89	76	60	–	
Miro et al. [26]	2012	Spain	84	88	62	54	
Anadol et al. [27]	2012	Germany	32	90	65	60	
Harbell et al. [28]	2012	USA	125	91	67	–	
Baccarani et al. [31]	2012	Italy	32	–	79	69	
Di Benedetto et al. [46]	2012	Italy	30	75	65	50	with HCC
Ragni et al. [29]	2013	USA	15	71	38	–	only hemophilia

HCC hepatocellular carcinoma, *LDLT* living donor liver transplantation

Lowered outcome can be presumed from previous reports. Final mortality (graft loss) after LT was usually due to infection and multiorgan failure. As in Miro's report the causes due to the higher proportion of organs from donation after cardiac death (DCD) donors, higher rate of combined liver-kidney transplantation, increased rate of acute cellular rejection, HBV co-infection and infection. However, it was of note that there was no death due to infections related to HIV.

Preoperative management of HIV/HCV in liver transplantation

The number of HIV-RNA copies before LT is suggested as an independent risk factor of postoperative mortality, so that HIV should be controlled sufficiently before LT [30]. Accordingly, in patients who are under consideration to receive LT, ART can be safely stopped before LT, because HIV is generally well controlled for a long period by ART. Also ART can be toxic for the virgin graft, which underwent ischemia/reperfusion injury and liver resection in a donor. Once it is settled down after liver transplant, especially in LDLT cases, ART can be resumed with meticulous adjustment with calcineurin inhibitors.

Actually, after LT, ART should be restarted as soon as possible, because HIV-RNA appears at 3 to 30 days after ART is stopped [34], but the timing of restart of ART depends on the patient's condition, including liver function [35]. As long as the liver function has not fully recovered, or partial liver graft such as in LDLT has not yet sufficiently regenerated, ART cannot be started. Castells et al. reported in their case-control study that ART was started at a median of 8 days after LT (range 4–28 days) [36]. ART administered after LT should be the same as the preLT regimen, but the majority of ART drugs, including protease inhibitors and non-nucleoside reverse transcriptase inhibitors, have interactions with calcineurin inhibitors (CNI) or mammalian target-of-rapamycin (mTOR) [37], so that the monitoring of blood levels of immunosuppression is extremely important to avoid infectious complications or rejection. It can easily overshoot beyond the therapeutic level. Currently, a novel HIV-1 integrase inhibitor, raltegravir, is expected to be a feasible drug because it has no interactions with CNI, unlike other drugs [38, 39]. Therefore, the current recommended strategy in the light of LT could be to try raltegravir as ART before LT and see if HIV can be controlled with raltegravir. If it is the case, CNI could be used as usual after LT. However, if raltegravir cannot control HIV or cannot be applied due to other reasons, meticulous management of CNI (e.g. once a week administration with frequent trough monitoring) or Mycophenolate mofetil protocol should be considered. In fact, the novel protease inhibitor anti-HCV drug, telapreir, has the same character as ART drugs for HIV, and transplants team learn to overcome such drug interactions when post-LT HCV mono-infected patients are treated with telaprevir.

The treatment strategy for HCV in HIV/HCV co-infected patients is the same as in HCV mono-infected patients. Combination therapy of pegylated interferon (Peg-IFN) and ribavirin is the standard treatment both before and after LT in 2013. The treatment should be started as soon as possible, because in HIV/HCV co-infected patients, HCV recurrence may be accelerated in an immunocompromised state [40, 41]. As mentioned above, the novel protease inhibitor telaprevir is currently being introduced as an effective drug to achieve sustained viral response (SVR) of 70%, even in genotype 1b, with Peg-IFN/ribavirin in a non-transplant setting [42], but this drug is metabolized via cytochrome P450, as are CNI and various protease inhibitors of ART for HIV. Close monitoring of the CNI trough level should be performed, and although triple therapy with telaprevir/Peg-IFN/ribavirin or even without Peg-IFN is currently reported to be effective to prevent HCV recurrence after LT in HCV mono-infected cases, special attention should be paid when

this regimen is adapted for HIV/HCV co-infected patients. Additionally, mutational status of the IL28 B genotype should be investigated before interferon therapy for both donor and recipient.

Immunosuppression

Several reports have demonstrated both the in vitro and in vivo effectiveness of rapamycin in reducing HIV replication [43–45]. Di Benedetto et al. found that rapamycin monotherapy was significantly beneficial in long-term immunosuppression maintenance and HIV control after LT [46]. Mycophenolate mofetil is expected to be an effective immunosuppressive drug because of its efficacy in reducing HIV infection by both virological and immunological mechanisms. Mycophenolic acid, a selective inhibitor of the de novo synthesis of guanosine nucleotides in T and B lymphocytes, has been proposed to inhibit HIV replication in vitro by depleting the substrate (guanosine nucleotides) for reverse transcriptase. Using these drugs, a more effective regimen of immunosuppression with ART may be established. However, more information needs to be obtained to establish concrete immunosuppressive protocol.

As to steroids, several studies proposed that a steroid-free regimen can be safely applied and effective in LT for HCV cirrhosis. In HIV/HCV co-infected patients, a steroid-free protocol may play a beneficial role in preventing both HIV and HCV recurrence after LT [47, 48].

Hepatocellular carcinoma

Liver transplantation has been performed also for indication of HCC. The most updated study indicated that the existence of HCC did not change the outcome of LT provided that HCC was downstaged preoperatively for UCSF criteria [49]. Also for these cases sirolimus tended to be used as primary immunosuppressive agents. This encouraging result awaits further reports [50].

Conclusions

The above is an overview of liver transplantation performed to date in HIV/HCV- co-infected patients. Although, the results are 10% lower in patient survival after LT than those for HCV mono-infected patients, LT could be feasible in selected cases with HIV/HCV co-infection after careful evaluation within suitable stages of the disease. In light of the fact that most HIV/HCV co-infected patients in Japan are the victims of contaminated blood products, it is believed that the importance of liver transplantation will increase in the future in the context of medical relief as well. Our investigating team under the Ministry of Health, Labor, and Welfare of Japan has made all possible efforts to clarify the appropriate timing to put HIV/HCV co-infected patients on a waiting list for LT.

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Conflict of interest None declared.

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ELSEVIER

Analysis of the Hepatic Functional Reserve, Portal Hypertension, and Prognosis of Patients With Human Immunodeficiency Virus/Hepatitis C Virus Coinfection Through Contaminated Blood Products in Japan

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ABSTRACT

Background. As the survival of human immunodeficiency virus (HIV)-infected individuals has improved due to the widespread use of antiretroviral therapy, the mortality rate due to hepatitis C virus (HCV)-related liver disease has increased in HIV/HCV-coinfected patients.

Aim. The aims of this study were to establish the appropriate therapeutic strategy for HIV/HCV-coinfected patients by evaluating the liver function, including the hepatic functional reserve and portal hypertension, and to investigate the prognosis of HIV/HCV-coinfected patients in Japan.

Patients and Methods. In addition to regular liver function tests, the hepatic functional reserve of 41 patients with HIV/HCV coinfection was evaluated using the indocyanine green retention rate and liver galactosyl serum albumin-scintigraphy. The data for 146 patients with HIV/HCV coinfection through blood products were extracted from 4 major HIV centers in Japan. In addition to liver function tests, the platelet counts (PLT) were evaluated as a marker of portal hypertension.

Results. In spite of the relatively preserved general liver function test results, approximately 40% of the HIV/HCV-coinfected patients had an impaired hepatic functional reserve. In addition, while the albumin and bilirubin levels were normal, the PLT was <150,000/μL in 17 patients. Compared with HCV mono-infected patients with a PLT <150,000/μL, the survival of HIV/HCV-coinfected patients was shorter (HCV, 5 years, 97%; 10 years, 86% and HIV/HCV, 5 years, 87%; 10 years, 73%; $P < .05$).

Conclusion. These results must be taken into account to establish an optimal therapeutic strategy, including the appropriate timing of liver transplantation in HIV/HCV-coinfected patients in Japan.

FROM 1970 until the early 1980s, blood products were imported to Japan, and contaminated blood products were unknowingly used to treat patients with hemophilia. It was later revealed that these patients were sometimes infected with both human immunodeficiency virus (HIV) and hepatitis C virus (HCV; HIV/HCV coinfection) [1].

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However, as the survival of HIV-infected people has improved due to the widespread use of antiretroviral therapy, the mortality due to HCV-related liver disease has increased in HIV/HCV-coinfected patients [2,3].

The main aims of this investigation were to investigate the status of portal hypertension and the prognosis in HIV/HCV-coinfected patients, and to establish an appropriate therapeutic strategy for HIV/HCV-coinfected patients, including the timing of liver transplantation, in Japan.

PATIENTS AND METHODS

Routine hematology and blood chemistry tests (general liver function), abdominal ultrasonography, and contrast-enhanced computed tomography (CT) were performed for 30 patients with HIV/HCV coinfection at Nagasaki University Hospital. To investigate the hepatic functional reserve, liver GSA-scintigraphy and the indocyamine green retention test at 15 minutes were performed. In addition, upper gastrointestinal tract endoscopy to diagnose gastroesophageal varices was performed.

The data of the 146 patients who had acquired HIV/HCV coinfection through blood products were extracted from 4 major HIV centers in Japan, including the AIDS Clinical Center, Osaka National Hospital, Yokohama Municipal Hospital, and Kyushu Medical Center. In addition to liver function tests, platelet counts (PLT) were evaluated as a marker of portal hypertension. As a control, HCV mono-infected patients from Nagasaki Medical Center were used for comparison.

RESULTS

In spite of the relatively well-maintained general liver functions, approximately 40% of the HIV/HCV-coinfected patients had an impaired hepatic functional reserve (Table 1). In addition, in spite of maintained albumin and bilirubin levels, the PLT was <150,000/μL in 17 coinfected patients, indicating the presence of ongoing portal hypertension.

Even with Child-Pugh A liver function, the HIV/HCV-coinfected patients showed a worse prognosis than the HCV mono-infected patients. The prognosis was especially poor in those with lower PLT than in the patients with a normal PLT (Table 2). When compared with HCV mono-infected patients with a PLT <150,000 μL, the survival of HIV/HCV-coinfected patients was much shorter (HCV, 5 years, 97%; 10 years, 86% and HIV/HCV, 5 years, 87%; 10 years, 73%; $P < .05$).

Table 1. Patient Characteristics

Child-Pugh A/B/C	38 (93%)/1 (2%)/2 (5%)
ICG R15 (%)	
<10/10–20/20–30/30<	24 (59%)/8 (20%)/3 (7%)/6 (14%)
GSA schincigram LHL15	
>0.9/0.8–0.9/0.8>	28 (69%)/6 (15%)/7 (16%)
Liver configuration on CT	
Normal/CH/LC	10 (24%)/17 (42%)/14 (34%)
Splenomegaly	
Yes/no	26 (63%)/15 (37%)
Esophageal varices	
Yes/no	13 (32%)/28 (68%)

CH, chromic hepatitics; LC, liver cirrhosis.

Table 2. Patient Survival after Diagnosis

	5Y OS	10Y OS	
HCV mono-infection (Child-Pugh A)	97%	86%	
HIV/HCV coinfection (Child-Pugh A)			
PLT > 150,000	94%	85%	
PLT < 150,000	87%	73%	$P < .05$ vs HCV mono-infection

5Y OS, 5 year patient survival; 10Y OS, 10 year patient survival.

DISCUSSION

In HIV/HCV-coinfected patients, liver failure due to HCV hepatitis was previously reported to be enhanced by antiretroviral therapy ART-related hepatotoxicity, especially manifesting as noncirrhotic portal hypertension (NCPH) [4,5]. One of the ART drugs, Didanosin (DDI), has been suspected to be related to the serious morbidity observed in coinfected patients [6]. Thus, not only in patients with deteriorated liver function, such as in Child-Pugh B or C cases, but also even in Class A cases, the patients' liver function can easily deteriorate abruptly [7]. The natural course of pure NCPH is unknown because it can be modulated by HCV or other causes, and has only been reported as case series. An important study of "NCPH in HIV Mono-Infected Patients Without HCV" was published in 2012 [8]. All 5 patients had portal hypertensive symptoms, such as ascites or variceal bleeding, after receiving antiretroviral therapy.

Therefore, all HIV/HCV-coinfected patients should be carefully followed up so as not to miss an opportunity for liver transplantation (LT) [9]. The prognosis for HIV/HCV-coinfected patients was reported to be worse than that for HCV mono-infected patients [10]. In the present study, coinfected patients with a PTL <150,000 μL had an especially poor prognosis, with a shorter survival than mono-infected patients. Our results should be taken into account to establish a therapeutic strategy, while also considering the appropriate timing of LT in HIV/HCV-coinfected patients.

In 2013, based on the evidence of rapid progression of the liver cirrhosis and portal hypertension in patients with HIV/HCV coinfection, a rank-up system for the waiting list for deceased donor LT was set up in Japan. Even HIV/HCV-coinfected liver cirrhotic patients with Child-Pugh class A can be listed for LT as "point 3" because of the NCPH (noncirrhotic portal hypertension) nature. Coinfected patients with Child-Pugh class B and C disease can be listed as "point 6" and "point 8," respectively, based on the data collected by the HIV/acquired immunodeficiency syndrome (AIDS) project team of the Ministry of Health, Labor, and Welfare of Japan, and the published literature [11]. This primarily covers victims who received contaminated blood products for hemophilia.

Future perspectives on LT for HIV/HCV coinfection include the following: new anti-HCV agents should be

developed to improve the control against HCV; new ART drugs, such as Raltegravir, should facilitate post-transplantation immunosuppressive therapy; noninvasive tests for portal hypertension, such as the fibroscan, should be performed for hemophilic patients; and the development of guidelines for the management hemophilia in the peri-operative period should facilitate better outcomes.

In conclusion, the present results should be taken into account to establish an optimal therapeutic strategy, including the appropriate timing of LT in HIV/HCV-coinfected patients.

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Erlotinib alone or with bevacizumab as first-line therapy in patients with advanced non-squamous non-small-cell lung cancer harbouring *EGFR* mutations (JO25567): an open-label, randomised, multicentre, phase 2 study

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Summary

Background With use of EGFR tyrosine-kinase inhibitor monotherapy for patients with activating *EGFR* mutation-positive non-small-cell lung cancer (NSCLC), median progression-free survival has been extended to about 12 months. Nevertheless, new strategies are needed to further extend progression-free survival and overall survival with acceptable toxicity and tolerability for this population. We aimed to compare the efficacy and safety of the combination of erlotinib and bevacizumab compared with erlotinib alone in patients with non-squamous NSCLC with activating *EGFR* mutation-positive disease.

Methods In this open-label, randomised, multicentre, phase 2 study, patients from 30 centres across Japan with stage IIIB/IV or recurrent non-squamous NSCLC with activating *EGFR* mutations, Eastern Cooperative Oncology Group performance status 0 or 1, and no previous chemotherapy for advanced disease received erlotinib 150 mg/day plus bevacizumab 15 mg/kg every 3 weeks or erlotinib 150 mg/day monotherapy as a first-line therapy until disease progression or unacceptable toxicity. The primary endpoint was progression-free survival, as determined by an independent review committee. Randomisation was done with a dynamic allocation method, and the analysis used a modified intention-to-treat approach, including all patients who received at least one dose of study treatment and had tumour assessment at least once after randomisation. This study is registered with the Japan Pharmaceutical Information Center, number JapicCTI-111390.

Findings Between Feb 21, 2011, and March 5, 2012, 154 patients were enrolled. 77 were randomly assigned to receive erlotinib and bevacizumab and 77 to erlotinib alone, of whom 75 patients in the erlotinib plus bevacizumab group and 77 in the erlotinib alone group were included in the efficacy analyses. Median progression-free survival was 16·0 months (95% CI 13·9–18·1) with erlotinib plus bevacizumab and 9·7 months (5·7–11·1) with erlotinib alone (hazard ratio 0·54, 95% CI 0·36–0·79; log-rank test p=0·0015). The most common grade 3 or worse adverse events were rash (19 [25%] patients in the erlotinib plus bevacizumab group *vs* 15 [19%] patients in the erlotinib alone group), hypertension (45 [60%] *vs* eight [10%]), and proteinuria (six [8%] *vs* none). Serious adverse events occurred at a similar frequency in both groups (18 [24%] patients in the erlotinib plus bevacizumab group and 19 [25%] patients in the erlotinib alone group).

Interpretation Erlotinib plus bevacizumab combination could be a new first-line regimen in *EGFR* mutation-positive NSCLC. Further investigation of the regimen is warranted.

Funding Chugai Pharmaceutical Co Ltd.

Introduction

Lung cancer is a leading cause of death worldwide; it is the primary cause of cancer deaths in men and the secondary cause in women.[1] Most patients with lung cancer have non-small-cell lung cancer (NSCLC) and a clinically significant proportion of patients have activating mutations of *EGFR*.[2] In this subgroup of patients, EGFR tyrosine-kinase inhibitors have consistently led to better outcomes than has standard chemotherapy.[3–6] Erlotinib and gefitinib have been shown to prolong progression-free survival compared with chemotherapy in several phase 3 trials.[7–10] Unfortunately, most patients with NSCLC with activating *EGFR* mutations who are given EGFR tyrosine-kinase inhibitors eventually develop resistance and relapse within about 1 year of initiation of treatment.[5,7–11] To improve outcomes, the foundation treatment of EGFR tyrosine-kinase inhibitors should be built on through investigation of biologically synergistic combinations.

The anti-angiogenic monoclonal antibody bevacizumab targets the VEGF signalling pathway and has been shown to provide additional efficacy when used in combination with first-line platinum-based chemotherapy in several trials in non-squamous NSCLC.[12–14] The combination of erlotinib and bevacizumab has the potential to prolong progression-free survival in unselected populations of patients with NSCLC.[15,16] In a subgroup analysis of *EGFR*

mutation-positive participants in the phase 3 BeTa study of second-line treatment of NSCLC (12 patients treated with erlotinib and bevacizumab and 18 with erlotinib alone), median progression-free survival with erlotinib plus bevacizumab in patients with *EGFR* mutation-positive disease was substantially higher than with erlotinib alone (17·1 months *vs* 9·7 months).[16,17] However, this analysis was post-hoc and *EGFR* mutation status was not a prespecified stratification factor in this trial. Because of this limitation, we undertook this phase 2 trial to examine the combination of erlotinib and bevacizumab in patients with *EGFR* mutation-positive NSCLC.

Methods

Study design and patients

JO25567 was a randomised, open-label, multicentre, phase 2 study in patients with stage IIIB/IV (according to the 7th edition of the General Rule for Clinical and Pathological Record of Lung Cancer[18]) or recurrent NSCLC with activating *EGFR* mutations. Patients were enrolled from 30 centres across Japan.

Eligible patients had histologically or cytologically (excluding sputum cytology) confirmed stage IIIB/IV or postoperative recurrent non-squamous NSCLC with activating *EGFR* mutation (either exon 19 deletion or Leu858Arg mutation). Tumour samples were screened for *EGFR* mutation by PCR-based hypersensitive *EGFR* mutation testing in local laboratories, according to standard testing practices. Other criteria included age 20 years or older when giving informed consent; Eastern Cooperative Oncology Group performance status 0 or 1; adequate haematological, hepatic, and renal function; and life expectancy 3 months or more at the time of registration. No previous chemotherapy for advanced disease was allowed, but postoperative adjuvant or neoadjuvant therapy of 6 months or more previously was allowed. Previous radiotherapy was also allowed, but only for non-lung lesions. Patients had to have one or more measurable lesion based on Response Evaluation Criteria in Solid Tumors (RECIST 1.1).

Major exclusion criteria included confirmation of Thr790Met mutation, presence of brain metastases, history or presence of haemoptysis or bloody sputum, any coagulation disorder, tumour invading or abutting major blood vessels, coexistence or history of interstitial lung disease, and previous receipt of EGFR inhibitors or VEGF receptor inhibitors.

This study was done in accordance with the Declaration of Helsinki and Good Clinical Practice guidelines. The study protocol was reviewed and approved by the institutional review boards of the participating institutions (appendix p 10), and written informed consent was obtained from all patients.

Randomisation and masking

Patients were randomly assigned (1:1) to receive either erlotinib plus bevacizumab or erlotinib alone with a dynamic allocation method. Central randomisation was done by a clinical research organisation (EPS Corporation, Tokyo, Japan). Patients were stratified according to sex (men *vs* women), disease stage (stage IIIB *vs* stage IV *vs* postoperative relapse), smoking history (never smokers or former light smokers *vs* others), and type of *EGFR* mutation (exon 19 deletion *vs* Leu858Arg mutation). All patients and investigators were unmasked to treatment allocation.

Procedures

Patients assigned to the erlotinib plus bevacizumab group received bevacizumab 15 mg/kg by intravenous infusion on day 1 of a 21-day cycle and erlotinib orally once daily at 150 mg/day, starting from day 1 of cycle 1. Patients in the erlotinib alone group received erlotinib orally once a day at 150 mg/day. Patients remained on treatment until disease progression or unacceptable toxicity. Changes to dose of erlotinib or bevacizumab because of adverse events were allowed, as per the protocol. The dose of bevacizumab was not to be reduced except when dose adjustment was needed because of change in bodyweight. Dose reduction of erlotinib was allowed for up to two doses (100 mg/day and 50 mg/day) in a stepwise decrease. After two steps of dose reduction, erlotinib was discontinued. Patients who required suspension of erlotinib for more than 3 weeks consecutively, or of bevacizumab for more than 6 weeks from the date of previous administration, were discontinued from study treatment. In the erlotinib plus bevacizumab group, if either drug was discontinued, the other could be

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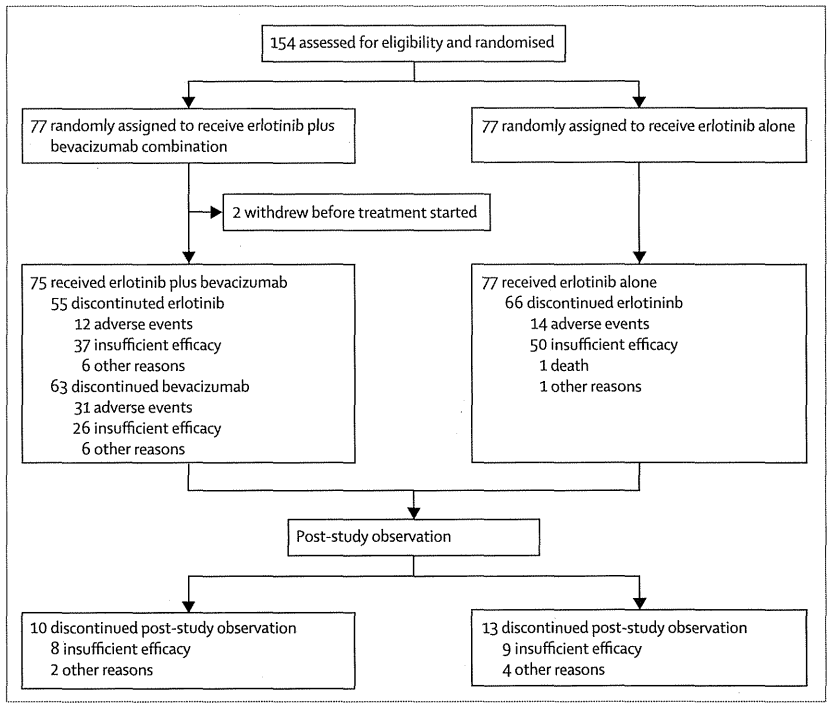

Figure 1: **Trial profile**

continued. Tumour lesions were assessed radiologically at baseline, week 4, week 7, every 6 weeks from week 7 to 18 months, and every 12 weeks thereafter until disease progression according to RECIST 1.1.

	Erlotinib plus bevacizumab group (n=75)	Erlotinib alone group (n=77)
Age (years)		
Median	67·0 (59–73)	67·0 (60–73)
<75	63 (84%)	62 (81%)
≥75	12 (16%)	15 (19%)
Sex		
Male	30 (40%)	26 (34%)
Female	45 (60%)	51 (66%)
Smoking status		
Never smoker	42 (56%)	45 (58%)
Former light smoker	9 (12%)	6 (8%)
Other	24 (32%)	26 (34%)
ECOG performance status		
0	43 (57%)	41 (53%)
1	32 (43%)	36 (47%)
Histopathological classification		
Adenocarcinoma	74 (99%)	76 (99%)
Large-cell carcinoma	0	1 (1%)
Adenosquamous carcinoma	1 (1%)	0
Clinical stage at screening		
IIIB	1 (1%)	0
IV	60 (80%)	62 (81%)
Postoperative recurrence	14 (19%)	15 (19%)
***EGFR* mutation type**		
Exon 19 deletion	40 (53%)	40 (52%)
Exon 21 Leu858Arg mutation	35 (47%)	37 (48%)

Data are n (%) or median (IQR). ECOG=Eastern Cooperative Oncology Group.

Table 1: **Baseline demographics and clinical characteristics**

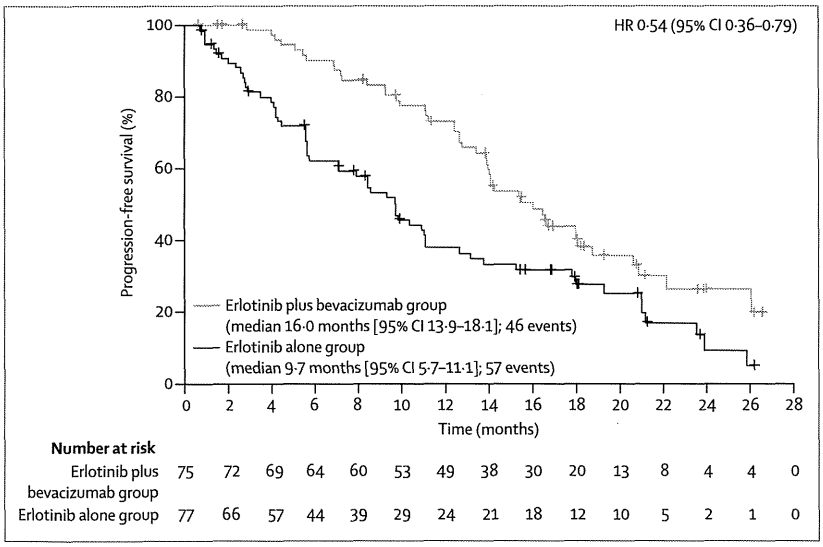

Figure 2: **Progression-free survival, as determined by independent review committee, in the modified intention-to-treat population**
HR=hazard ratio.

Patient-reported outcomes were assessed with the Functional Assessment of Cancer Therapy for patients with Lung cancer (FACT-L) scale until disease progression. An independent review committee of clinicians and radiologists masked to treatment assignment reviewed all tumour images and determined tumour response and progression status. Laboratory studies including blood and urine tests were done at days 1, 8, and 15 in cycles 1 and 2, and day 1 in cycle 3 and thereafter. Adverse events were monitored throughout the study period and were graded according to the National Cancer Institute Common Terminology Criteria for Adverse Events (CTC-AE) version 4.03.

Outcomes

The primary endpoint was progression-free survival, as determined by an independent review committee. Secondary endpoints were overall survival, tumour response (the proportion of patients with an objective response and disease control, and duration of response) according to RECIST 1.1, quality of life, symptom improvement measured by the FACT-L scale, and safety profile.

Statistical analysis

A median progression-free survival of 13 months was estimated for the erlotinib alone group, and 89 events were deemed necessary to detect a hazard ratio (HR) of 0·7 in favour of erlotinib plus bevacizumab, with a one-sided significance level of 0·2 and a power of 0·8. The target sample size was set at 150 patients (75 patients in both groups), allowing for dropouts. Median progression-free survival was estimated by the Kaplan-Meier method and compared between groups with an unstratified log-rank test. Greenwood's formula was used to calculate 95% CIs. HRs were calculated by unstratified Cox proportional hazard methodology.

In the safety analysis, adverse events were converted to Medical Dictionary for Regulatory Activities (version 14.0) preferred terms, and tabulated by grade. Changes in laboratory test data with time were summarised in tables and graphs.

All patients who received at least one dose of the study treatment were included in the safety analysis population. The modified intention-to-treat population for the efficacy analysis included all patients who received at least one dose of study treatment and had tumour assessment at least once after randomisation. Statistical analyses were done with SAS version 9.2.

The study is registered with the Japan Pharmaceutical Information Center, number JapicCTI-111390.

Role of the funding source

The study was designed and funded by Chugai Pharmaceutical Co Ltd and monitored by a clinical research organisation (Niphix Corp, Tokyo, Japan) who obtained all data and did all initial data analyses; further analysis and interpretation was done by the funder, with

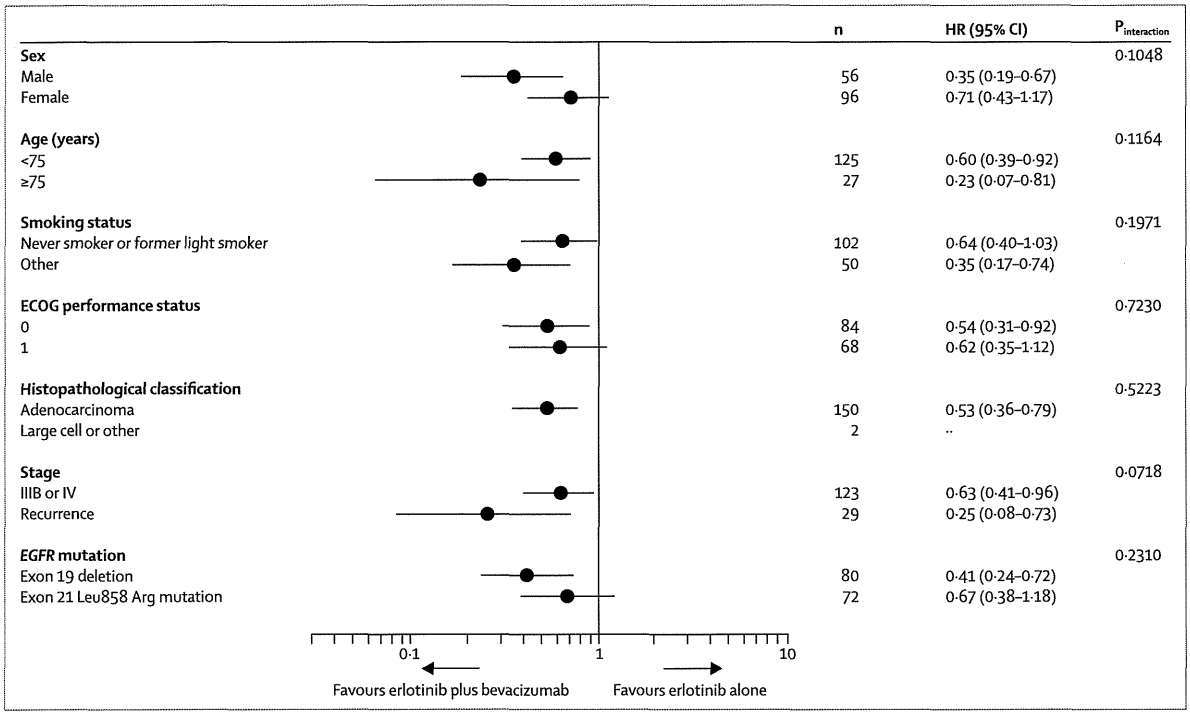

Figure 3: **Forest plot of hazard ratios for progression-free survival by baseline characteristics**
HR=hazard ratio.

	Erlotinib plus bevacizumab group (n=75)	Erlotinib alone group (n=77)
Complete response	3 (4%)	1 (1%)
Partial response	49 (65%)	48 (62%)
Stable disease	22 (29%)	19 (25%)
Progressive disease	0	6 (8%)
Non-evaluable	1 (1%)	3 (4%)

RECIST=Response Evaluation Criteria in Solid Tumors.

Table 2: **Best RECIST response, as determined by independent review committee**

input from the authors and investigators. The initial draft of the report was reviewed and commented on by all authors and by employees of Chugai Pharmaceutical Co Ltd. NobuY had full access to all data, and had final responsibility for the decision to submit the results for publication.

Results

Between Feb 21, 2011, and March 5, 2012, 154 patients were enrolled, of whom 77 were randomly assigned to receive erlotinib plus bevacizumab and 77 to erlotinib alone. Two patients withdrew before treatment started and were excluded (one had multiple thrombosis and the other had increased pleural effusion). Thus, data from 152 patients (75 patients in the erlotinib plus bevacizumab group and 77 in the erlotinib alone group) were included in the analysis population (figure 1). The cutoff date for the primary analysis was June 30, 2013, when 103 progression events had occurred; median follow-up was 20·4 months (IQR 17·4–24·1).

The baseline characteristics of patients were well balanced between the groups (table 1). Median age was 67 years (IQR 60–73), and 27 (18%) patients were aged 75 years or older. *EGFR* mutation subtypes were balanced between the two groups.

Progression-free survival was significantly prolonged with erlotinib plus bevacizumab compared with erlotinib alone (log-rank test p=0·0015; figure 2). When subgroup analyses were done by baseline clinical characteristics, most patient subgroups seemed to have greater benefit from erlotinib plus bevacizumab compared with erlotinib alone. No significant difference was noted between any of the subgroups ($p_{interaction}$>0·05 for all subgroups; figure 3).

Analysis of progression-free survival by mutation subtype showed that in patients whose tumours had an exon 19 deletion (40 [53%] of 75 patients in the erlotinib plus bevacizumab group and 40 [52%] of 77 patients in the erlotinib alone group), median progression-free survival was significantly longer with erlotinib plus bevacizumab than with erlotinib alone (18·0 months [95% CI 14·1–20·6] *vs* 10·3 months [95% CI 8·0–13·1]; HR 0·41 [95% CI 0·24–0·72]; p=0·0011; appendix p 1). In patients whose tumours harboured the Leu858Arg mutation (35 [47%] patients in the erlotinib plus bevacizumab group; 37 [48%] patients in the erlotinib alone group), median progression-free survival was numerically longer with erlotinib plus bevacizumab than with erlotinib alone, but

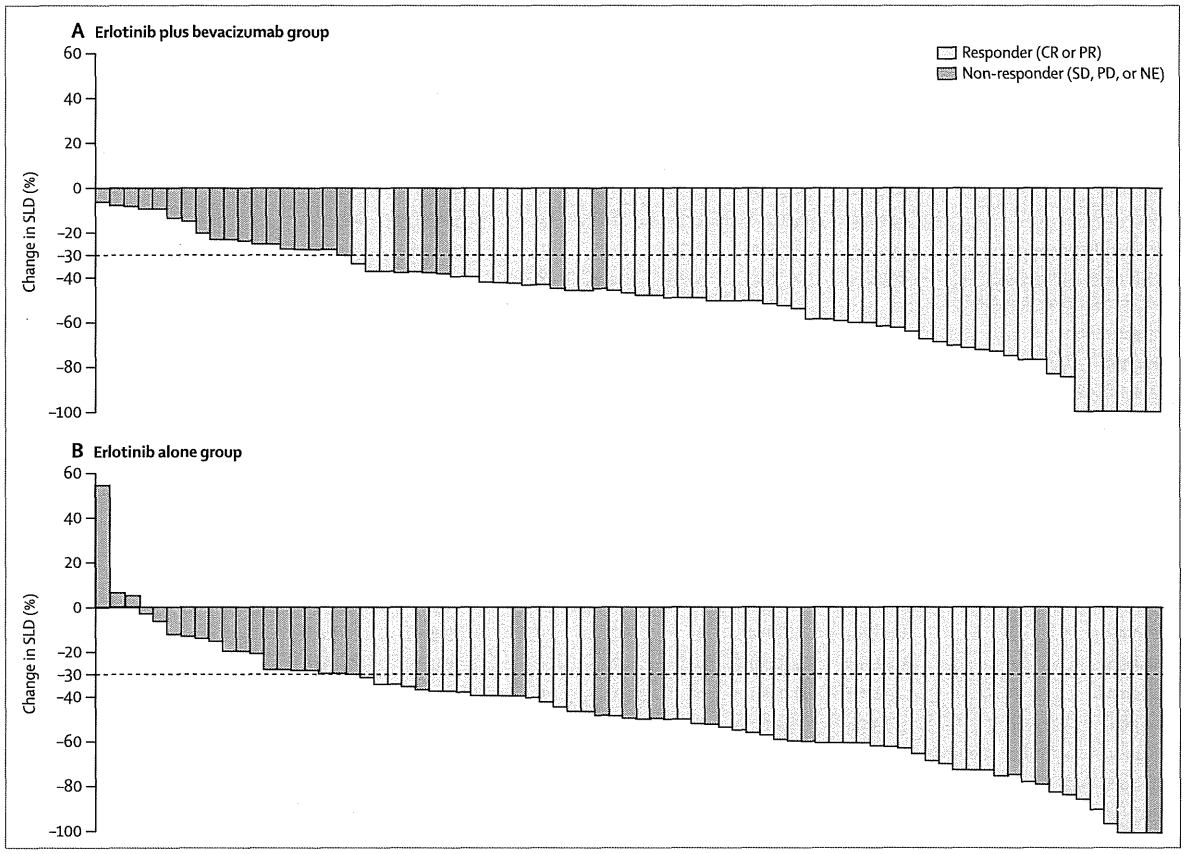

Figure 4: **Waterfall plot of best percentage change from baseline in the sum of longest tumour diameters**
Responders were confirmed by Response Evaluation Criteria in Solid Tumors. CR=complete response. PR=partial response. SD=stable disease. PD=progressive disease. NE=non-evaluable. SLD=sum of longest diameters.

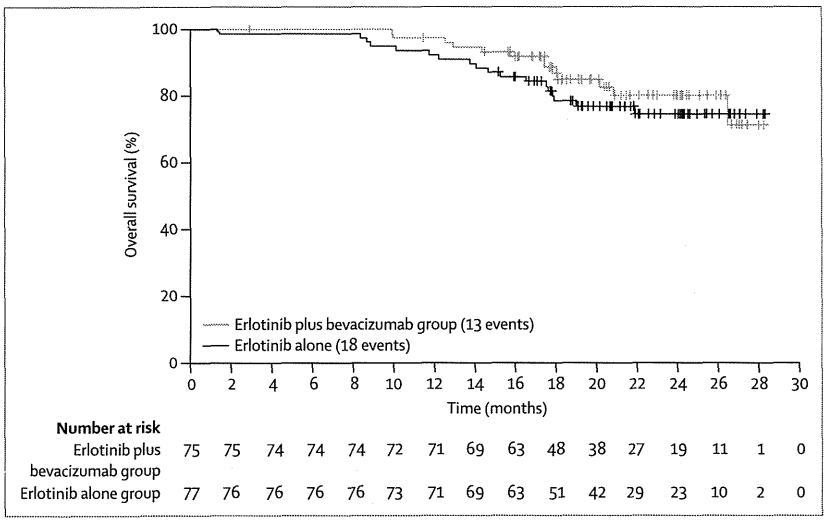

Figure 5: **Overall survival, as determined by independent review committee, in the modified intention-to-treat population**

the difference was not significant (13·9 months [95% CI 11·2–20·9] *vs* 7·1 months [95% CI 4·3–15·2], respectively; HR 0·67 [95% CI 0·38–1·18]; p=0·1653; appendix p 2).

52 (69% [95% CI 58–80]) patients in the erlotinib plus bevacizumab group had an objective response, as did 49 (64% [52–74]) patients in the erlotinib alone group (p=0·4951), although median duration of response was not significantly longer with erlotinib plus bevacizumab than with erlotinib alone (13·3 months [95% CI 11·6–16·5] *vs* 9·3 months [6·9–13·8]; p=0·1118). A greater proportion of patients achieved disease control with erlotinib plus bevacizumab (74 [99%] *vs* 68 [88%]; p=0·0177). Best responses to treatment are shown in table 2.

Figure 4 shows change in tumour size from baseline in the two groups. All patients in the erlotinib plus bevacizumab achieved tumour reduction, but three patients in the erlotinib alone group did not. Of patients who had a 30% or greater reduction in tumour size during treatment, six (8%) patients in the erlotinib plus bevacizumab group and 12 (16%) patients in the erlotinib alone group did not meet the criteria for complete or partial response according to RECIST.

Overall survival data are immature at present and so we cannot present any statistical analyses. At data cutoff, only 13 events (17%) had occurred in the erlotinib plus bevacizumab group and 18 events (23%) in the erlotinib alone group (figure 5).

	Erlotinib plus bevacizumab group (n=75)					Erlotinib alone group (n=77)				
	All	Grade 1–2	Grade 3	Grade 4	Grade 5	All	Grade 1–2	Grade 3	Grade 4	Grade 5
Rash	74 (99%)	55 (73%)	19 (25%)	0	0	76 (99%)	61 (79%)	15 (19%)	0	0
Diarrhoea	61 (81%)	60 (80%)	1 (1%)	0	0	60 (78%)	59 (77%)	1 (1%)	0	0
Paronychia	57 (76%)	55 (73%)	2 (3%)	0	0	50 (65%)	47 (61%)	3 (4%)	0	0
Dry skin	56 (75%)	54 (72%)	2 (3%)	0	0	45 (58%)	45 (58%)	0	0	0
Stomatitis	47 (63%)	46 (61%)	1 (1%)	0	0	46 (60%)	44 (57%)	2 (3%)	0	0
Haemorrhagic event	54 (72%)	52 (69%)	2 (3%)	0	0	22 (29%)	22 (29%)	0	0	0
Liver function disorder or abnormal hepatic function	33 (44%)	27 (36%)	5 (7%)	1 (1%)	0	39 (51%)	25 (32%)	7 (9%)	7 (9%)	0
Hypertension	57 (76%)	12 (16%)	45 (60%)	0	0	10 (13%)	2 (3%)	8 (10%)	0	0
Pruritus	34 (45%)	33 (44%)	1 (1%)	0	0	32 (42%)	32 (42%)	0	0	0
Weight decreased	33 (44%)	33 (44%)	0	0	0	19 (25%)	19 (25%)	0	0	0
Decreased appetite	26 (35%)	25 (33%)	1 (1%)	0	0	26 (34%)	25 (32%)	1 (1%)	0	0
Proteinuria	39 (52%)	33 (44%)	6 (8%)	0	0	3 (4%)	3 (4%)	0	0	0
Dysgeusia	20 (27%)	20 (27%)	0	0	0	17 (22%)	17 (22%)	0	0	0
Nasopharyngitis	20 (27%)	20 (27%)	0	0	0	15 (19%)	15 (19%)	0	0	0
Constipation	17 (23%)	17 (23%)	0	0	0	15 (19%)	14 (18%)	1 (1%)	0	0
Alopecia	13 (17%)	13 (17%)	0	0	0	14 (18%)	14 (18%)	0	0	0
Nausea	12 (16%)	12 (16%)	0	0	0	15 (19%)	15 (19%)	0	0	0
Vomiting	14 (19%)	14 (19%)	0	0	0	7 (9%)	7 (9%)	0	0	0
Malaise	10 (13%)	10 (13%)	0	0	0	10 (13%)	10 (13%)	0	0	0
Insomnia	8 (11%)	8 (11%)	0	0	0	8 (10%)	8 (10%)	0	0	0
Pyrexia	7 (9%)	7 (9%)	0	0	0	9 (12%)	9 (12%)	0	0	0
Upper respiratory tract infection	9 (12%)	9 (12%)	0	0	0	7 (9%)	7 (9%)	0	0	0
Conjunctivitis	8 (11%)	8 (11%)	0	0	0	7 (9%)	7 (9%)	0	0	0
Peripheral oedema	8 (11%)	8 (11%)	0	0	0	6 (8%)	6 (8%)	0	0	0
Fatigue	10 (13%)	9 (12%)	1 (1%)	0	0	3 (4%)	3 (4%)	0	0	0
Nail disorder	9 (12%)	9 (12%)	0	0	0	4 (5%)	4 (5%)	0	0	0
Dry eye	8 (11%)	8 (11%)	0	0	0	3 (4%)	3 (4%)	0	0	0
Dysphonia	8 (11%)	8 (11%)	0	0	0	1 (1%)	1 (1%)	0	0	0

Data are n (%).

Table 3: **Adverse events reported by 10% or more patients for grades 1 and 2 and all adverse events for grades 3–5 (safety population)**

68 (91%) patients in the erlotinib plus bevacizumab group and 41 (53%) patients in the erlotinib group had grade 3 or 4 adverse events. The most common adverse events of any grade in the erlotinib plus bevacizumab group were rash, diarrhoea, hypertension, and paronychia, and in the erlotininb alone group were rash, diarrhoea, and paronychia (table 3). The most common grade 3 or worse adverse events in the erlotinib plus bevacizumab group were hypertension, rash, proteinuria, and liver function disorder or abnormal hepatic function, and in the erlotinib group were rash, liver function disorder or abnormal hepatic function, and hypertension (table 3). Substantially higher (>40%) incidences of hypertension, haemorrhagic events, and proteinuria were noted in the erlotinib plus bevacizumab group compared with the erlotinib alone group (table 3). Serious adverse events were reported by 18 (24%) patients in the erlotinib plus bevacizumab group and 19 (25%) patients in the erlotinib group.

12 (16%) patients in the erlotinib plus bevacizumab group and 14 (18%) patients in the erlotinib group discontinued erlotinib because of adverse events. 31 (41%) patients discontinued bevacizumab because of adverse events (figure 1). Ten patients discontinued both erlotinib and bevacizumab because of adverse events in the erlotinib plus bevacizumab group. Of these patients, seven discontinued erlotinib and bevacizumab simultaneously because of adverse events (liver function disorder or abnormal hepatic function in two patients, and infection, pancreatic cancer, rash, interstitial lung disease, and cerebral infarction in one patient each). In the remaining three patients, bevacizumab was initially discontinued, and patients continued on erlotinib monotherapy, although this was also subsequently discontinued. The dose of erlotinib was reduced to 100 mg for 34 (45%) of 75 patients in the erlotinib plus bevacizumab group and 33 (43%) of 77 patients in the erlotinib alone group; and to 50 mg for 17 (23%) of patients in the erlotinib plus bevacizumab group and eight (10%) patients in the erlotinib alone group.

The major adverse events leading to discontinuation of erlotinib in both groups were liver function disorder or abnormal hepatic function (two [3%] patients in the erlotinib plus bevacizumab group, eight [10%] in the

Panel: Research in context

Systematic review

We searched PubMed for articles published in English until Feb 1, 2014 (with no restrictions for the starting date), using the search terms "bevacizumab", "erlotinib", "NSCLC", and "EGFR". We identified two studies that had assessed the efficacy of erlotinib plus bevacizumab in the first-line setting.[19,20] However, no previous study had assessed the efficacy of the combination of erlotinib and bevacizumab as first-line therapy for patients with activating *EGFR* mutation-positive NSCLC.

Interpretation

To our knowledge, this study is the first to show that the combination of erlotinib and bevacizumab can significantly prolong progression-free survival compared with erlotinib alone in patients with non-squamous *EGFR* mutation-positive NSCLC. Some degree of increased toxicity, particularly hypertension, proteinuria, and haemorrhagic events, was noted with the addition of bevacizumab. Our findings suggest that the combination of erlotinib and bevacizumab could be a new first-line regimen in *EGFR* mutation-positive NSCLC. Two clinical trials, BELIEF (NCT01562028) and ACCRU RC1126 (NCT01532089) are ongoing and the results are awaited to confirm the efficacy and safety shown in our study.

erlotinib alone group), interstitial lung disease (two [3%], three [4%]), and rash (two [3%], none). Major adverse events leading to discontinuation of bevacizumab were proteinuria (11 [15%] patients), haemorrhagic events (nine [12%]), and hypertension (two [3%]). Most haemorrhagic events were low-grade epistaxis or haemorrhoidal bleeding. All of the 11 patients who discontinued bevacizumab because of proteinuria had grade 3 or lower events, and five of these patients recovered during the study period. All of the nine patients who discontinued because of haemorrhagic events had grade 3 or lower events; eight patients improved or recovered during the study period.

The median duration of erlotinib treatment was 431 days (range 21–837) in the erlotinib plus bevacizumab group and 254 days (18–829) in the erlotinib group, whereas median duration of bevacizumab was 325 days (1–815). The median duration of bevacizumab in patients who discontinued treatment because of proteinuria was 329 days (113–639) and because of haemorrhagic events was 128 days (23–357).

The relative dose intensity of erlotinib (calculated as [totally administered dose / total treatment duration] / 150×100) was similar in both groups (95·3% [range 34·7–100·0] in the erlotinib plus bevacizumab group and 98·7% [33·3–100·0] in the erlotinib alone group), whereas that of bevacizumab (calculated as totally administered dose/planned dose×100) was 93·9% (72·4–99·7).

Haemoptysis was reported in six (8%) patients in the erlotinib plus bevacizumab group (five [7%] patients had grade 1 events and one [1%] had a grade 2 event); one patient (1%) had a grade 1 event in the erlotinib alone group. Interstitial lung disease was reported for five (3%) of all patients. One patient in the erlotinib alone group had grade 3 interstitial lung disease, but all other cases were grade 1 or 2, and all patients recovered. During the study period, one patient in the erlotinib group died by drowning, and a potential association with the study drug was confirmed.

No significant difference was noted between the two groups in terms of quality of life, including total FACT-L score, trial outcome index score, and all other subscores, since the standard deviations at each time point overlapped (appendix pp 3–9).

Discussion

In this study, the addition of bevacizumab to erlotinib significantly prolonged progression-free survival in patients with NSCLC with activating *EGFR* mutation-positive disease compared with erlotinib alone. To our knowledge, this is the first randomised study to show a clinically significant treatment effect of combining an EGFR tyrosine-kinase inhibitor with another biological drug in patients with activating *EGFR* mutation-positive NSCLC (panel). We noted clear separation of the Kaplan-Meier survival curves from the start of treatment, despite the use of erlotinib in both groups.

Multivariate analysis according to baseline patient characteristics showed a consistent treatment benefit, with longer progression-free survival noted with erlotinib plus bevacizumab across most subgroups of patients. Previous studies have reported that erlotinib tends to be more effective in tumours with *EGFR* exon 19 deletions versus those with Leu858Arg mutations,[7,8,21] which is consistent with our results.

No new safety signals were identified and the incidence of adverse events (any grade) and serious adverse events was similar between the two groups. There were more grade 3 or worse adverse events in the erlotinib plus bevacizumab group. Discontinuation of bevacizumab because of adverse events was more common than that reported in previous studies.[13,14] One possible reason for this discrepancy could be the longer duration of treatment than in previous studies: the median treatment duration of bevacizumab was 325 days (16 cycles), which is substantially longer than that in previous studies. Furthermore, proteinuria was one of the major adverse events that led to discontinuation of bevacizumab, and the time to onset of bevacizumab discontinuation because of proteinuria tended to be in the later treatment phase (median 329 days [range 113–639]). Nevertheless, despite the high incidence of bevacizumab discontinuation because of adverse events, most of these events (mainly proteinuria and haemorrhagic events) were deemed non-serious and reversible.

The incidence of grade 3 or greater hypertension and proteinuria were higher than those in previous studies, again possibly related to the prolonged duration of treatment. Another potential factor that could explain the difference in the incidence of hypertension is in the definition of grading used; we used CTC-AE version 4.03, whereas previous studies[14,16] used CTC-AE version 3. Akhtar and colleagues[22] showed that the change in CTC-AE version from 3 to 4 could lead to a significant

shift in the severity of adverse events in clinical trials. Furthermore, despite the somewhat higher incidence of hypertension observed in this study, only two (3%) of 75 patients discontinued bevacizumab administration because of hypertension.

Although we noted no significant difference in the proportion of patients achieving an objective response between the erlotinib plus bevacizumab group and erlotinib alone groups, all patients in the erlotinib plus bevacizumab group had a reduction in tumour size. Of those patients who had a greater than 30% reduction in the sum of longest diameter of their target lesions from baseline, more patients in the erlotinib alone group failed to meet the criteria for complete or partial response. These findings suggest that the addition of bevacizumab to erlotinib might help to maintain the tumour-suppressing effect after reduction in tumour size, which might explain the difference in progression-free survival between the two groups.

One possible mechanism to explain this effect could be improved drug delivery. Bevacizumab changes tumour vessel physiology, resulting in increased intratumoral uptake of drugs.[23,24] The results of a preclinical study suggested that patients on lower doses of EGFR tyrosine-kinase inhibitors tend to develop treatment resistance earlier than those who receive higher doses.[25,26] Therefore, achieving a higher intratumoral concentration of erlotinib could delay the appearance of resistant cells. Another possible mechanism that could explain these findings is the effective blocking of angiogenesis signalling via the VEGF receptor and EGFR signalling pathways, which is thought to promote tumour growth.[27,28] In addition to synergistic inhibition of tumour growth signalling, VEGF signal inhibition is still effective for tumours harbouring EGFR tyrosine-kinase inhibitor resistance mutations. In preclinical studies, blocking the VEGF receptor signalling pathway overcame resistance for EGFR signalling blockage by Thr790Met EGFR mutation in vivo.[29,30]

Another treatment strategy that has been recently investigated is the combination of an EGFR tyrosine-kinase inhibitor with chemotherapy. Wu and colleagues[31] reported that platinum doublet chemotherapy with intercalated erlotinib increased progression-free survival compared with platinum doublet chemotherapy alone. In a subset analysis of the *EGFR* mutation-positive population in this study, progression-free survival was 16·8 months. In our study, median progression-free survival with erlotinib and bevacizumab was 16·0 months. The first-line use of erlotinib and bevacizumab could allow chemotherapy to be reserved for subsequent lines of treatment, which might further improve survival outcomes in these patients.

Our study has several limitations. First, the analysis of *EGFR* mutations was not done at a central laboratory and various methods were used, including the peptide nucleic acid, locked nucleic acid PCR clamp method, the PCR invader method, and the cycleave method. However, on the basis of previous evidence, these methods are generally judged to provide consistent results.[32] Second, because some patients are still receiving the first-line treatment and overall survival data are still immature, assessment of subsequent treatment effects after progression is not possible. Data relating to post-study treatment will be reported in due course with updated overall survival results. Third, we did not use the EQ-5D questionnaire developed by the EuroQol group for quality-of-life assessment. Therefore, we could not formally estimate quality-adjusted life-years for a cost-effectiveness analysis. The health economics related to the combined use of erlotinib and bevacizumab remains unclear and should be discussed in future studies. Additionally, follow-up for overall survival is still ongoing and these results are needed before the clinical value of this combination can be determined.

In summary, our study provides, to the best of our knowledge, the first evidence that the addition of bevacizumab to erlotinib confers a significant improvement in progression-free survival when used as first-line treatment for patients with non-squamous NSCLC with activating *EGFR* mutation-positive disease. Some degree of increased toxicity, particularly hypertension, proteinuria, and haemorrhagic events, seems to be associated with the addition of bevacizumab. Our findings suggest that the combination of erlotinib and bevacizumab could be a new first-line regimen in *EGFR* mutation-positive NSCLC, and that further investigation of the regimen is warranted. Two clinical trials, BELIEF (NCT01562028) and ACCRU RC1126 (NCT01532089), are ongoing and the results are awaited to confirm the efficacy and safety shown in our study.

Contributors

NobuY was the principal investigator. TS, TK, MN, KG, NoboY, IO, TY, KT, RH, MF, and NobuY contributed to the study design and data analysis and data interpretation. TS, TK, MN, KG, SA, YH, NoboY, TH, MM, KN, SN, IO, and NobuY contributed to patient recruitment and data collection. NobuY, TS, KT, and RH prepared the initial draft of the report input from other authors. All authors approved the final version of the report.

Declaration of interests

TS received research grants and honoraria from Chugai Pharmaceutical. TK received research grants and honoraria from Chugai Pharmaceutical; honoraria from Eli Lilly, Ono Pharmaceutical, Novartis Pharma, Taiho Pharmaceutical, and AstraZeneca; and research grants from Nippon Boehringer Ingelheim, Kyowa Hakko Kirin, Pfizer, and Shionogi. MN received research grants and honoraria from Chugai Pharmaceutical, Pfizer, Novartis Pharma, Taiho Pharmaceutical, Nippon Boehringer Ingelheim, and AstraZeneca; research grants from MSD and Bristol-Myers Squibb. KG received research grants and honoraria from Chugai Pharmaceutical, Taiho Pharmaceutical and Nippon Boehringer Ingelheim; honoraria from AstraZeneca, Sanofi, Novartis Pharma, Pfizer, Yakult Honsha, Ono Pharmaceutical and Eli Lilly. SA received honoraria from Chugai Pharmaceutical, Eli Lilly, Taiho Pharmaceutical, Sawai Pharmaceutical, and Novartis Pharma. YH received research grants and honoraria from Chugai Pharmaceutical, Ono Pharmaceutical, and Taiho Pharmaceutical; honoraria from AstraZeneca, Eli Lilly, Novartis Pharma, and Takeda Pharmaceutical; research grants form Yakult Honsha, MSD, Kyowa Hakko Kirin, and Daiichi Sankyo. NoboY received research grants form Chugai Pharmaceutical, Pfizer, Takeda Bio, Astellas Pharma, Taiho Pharmaceutical, and Bristol-Myers Squibb. TH received research grants form Chugai Pharmaceutical, AstraZeneca, Nippon Boehringer Ingelheim, Pfizer, Eli Lilly, Takeda Bio, Novartis Pharma, Ono Pharmaceutical, Daiichi Sankyo, Merck Serono, Kyowa Hakko Kirin, Dainippon Sumitomo Pharma, Bristol-Myers Squibb, and Esai.

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ORIGINAL ARTICLE

Evaluating the 21-gene assay Recurrence Score® as a predictor of clinical response to 24 weeks of neoadjuvant exemestane in estrogen receptor-positive breast cancer

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Abstract
Background The aim of this study was to investigate the association between the results of the Recurrence Score (RS) assay and the clinical response to neoadjuvant endocrine therapy in postmenopausal women with breast cancer.
Methods Core biopsy samples at baseline and post-treatment surgical samples were obtained from 80 and 77 of 116 patients, respectively, enrolled in the multicenter prospective study of neoadjuvant exemestane therapy (JFMC34-0601). The 21-gene assay was performed after appropriate manual microdissection. The estrogen receptor (ER), progesterone receptor, HER2 and Ki-67 were assayed by immunohistochemistry at a central laboratory. Clinical response was assessed based on the RECIST (Response Evaluation Criteria In Solid Tumors) guideline.
Results Sixty-four core biopsy samples and 52 resection samples met the RS quality requirements. The clinical response rate in those patients with a low RS result (low RS group; 19/32, 59.4 %) was significantly higher than that in those patients with a high RS result (high RS group; 3/15, 20.0 %) ($P = 0.015$) and similar to that in patients with an intermediate RS result (intermediate RS group; 10/17, 58.8 %). The rates of breast-conserving surgery (BCS) were 90.6 % (29/32) in the low RS group, 76.5 % (13/17) in the intermediate RS group and 46.7 % (7/15) in the high RS group. The odds ratio for BCS adjusted for continuous

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baseline Ki-67 was 0.114 [95 % confidence interval (CI) 0.014–0.721; $P = 0.028$] between the high and low RS groups. RS values in pre-treatment samples were highly correlated with those in post-treatment samples (Spearman correlation coefficient 0.745, 95 % CI 0.592–0.846).

Conclusion Our results demonstrate the predictive value of the RS for clinical response to neoadjuvant exemestane therapy in postmenopausal women with ER-positive breast cancer.

Keywords Recurrence Score · Neoadjuvant endocrine therapy · Ki-67 · Clinical response · Breast-conserving surgery rate

Introduction

There are several potential advantages to neoadjuvant therapy of breast cancer in terms of improving outcomes in women with operable and inoperable early-stage disease [1, 2]. Both neoadjuvant chemotherapy and endocrine therapy have been shown to enable less extensive resection and improve rates of breast-conserving surgery (BCS) [3–6]. The ACOSOG Z1031 trial, which compared three aromatase inhibitors (AIs) in neoadjuvant settings, showed that 51 % (81/159) of the patients who were designated candidates for mastectomy experienced downstaging to BCS [7]. Neoadjuvant endocrine therapy is now an acceptable option for postmenopausal patients with endocrine-responsive disease [8].

Despite the use of standard biomarkers, the considerable heterogeneity of response to therapy still represents a challenge to clinicians in terms of choosing the most suitable neoadjuvant therapy. As such, tools to improve the identification of those patients who will respond to therapy would represent a major clinical advance. Although the Ki-67 labeling index (LI) shows some consistency in predicting response to chemotherapy, its ability to predict response to neoadjuvant endocrine therapy is controversial [9, 10].

We previously reported results from a neoadjuvant exemestane study in postmenopausal women [11]. In that study, the target response rate was 51 % (59/116), and 40 (77 %) of 59 patients who would have required mastectomy were converted to BCS. Neither baseline Ki-67 LI nor changes in Ki-67 LI were associated with clinical response in the study.

The Onco*type* DX® assay (Genomic Health, Redwood City, CA) has been shown to be able assess recurrence risk in women with hormone receptor-positive (HR+), lymph node-negative or -positive, early stage breast cancer who are treated with adjuvant endocrine therapy [12–15]. It has also been shown to predict the likelihood of benefit from adjuvant chemotherapy [12, 16]. Accordingly, the assay is included in clinical guidelines for use in patients with HR+ lymph node-negative disease; however, its applicability to HR+ postmenopausal women with lymph node positive disease is considered controversial, pending results of the RxPONDER trial [8, 17–19]. Additionally, studies in the neoadjuvant setting have shown that the test can be used to predict the response to chemotherapy [20, 21]. More recently, a study suggested that the Recurrence Score (RS) value may predict responses to neoadjuvant endocrine therapy with either tamoxifen or anastrozole [22]. The Onco*type* DX assay may improve the clinician's ability to discriminate between clinically similar tumors based on the tumor's underlying biology. Consequently, the aim of this study was to investigate the clinical usefulness of the RS assay results in the prediction of response to neoadjuvant endocrine therapy.

Methods

Study design

This was a prospectively designed study using archived tumor tissues from the previously conducted JFMC34-0601 study. The primary objective was to assess the association between the results of the RS assay at baseline and clinical response, by comparing the response rates between patients with a low RS result (<18; low RS group) and those with a high RS result (≥31; high RS group). Secondary objectives included assessment of the associations of continuous baseline RS, quantitative estrogen receptor (ER) by reverse transcriptase (RT)-PCR and Ki-67 with clinical response and with BCS, as well as associations of changes from baseline to post-treatment values of these markers with clinical response. The study protocol was approved by the Ethics Committee of each participating institution. Informed consent was obtained from all patients. The study was performed in accordance with the Helsinki Declaration.

Patient cohort and tumor samples

Eligibility criteria for the parent JFMC34-0601 study included age 55–75 years, ER+ and stage II or IIIa invasive breast cancer (T2-3, N0-2, M0). Patients were confirmed positive for ER or progesterone receptor (PgR) by immunohistochemistry (≥10 % nuclear staining). The study treatment was 25 mg/day exemestane for 16 weeks, with a possible 8-week extension based on the assessment of clinical response. Patients with progressive disease (PD) were withdrawn from the study. At week 24, patients underwent surgery, except those with PD, who had the option of selecting another treatment approach.