



Clinical Parameters for Predicting the Survival in Patients with Squamous and Non-squamous-cell NSCLC Receiving PD-1 Inhibitor Therapy

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Abstract

We explored the associations between progression-free survival (PFS) after the initiation of PD-1 inhibitor therapy and the clinical parameters in patients with NSCLC. We reviewed the clinical data of patients with NSCLC treated with PD-1 inhibitor. Data of a total of 36 patients, including 16 patients with squamous cell NSCLC and 20 patients with non-squamous cell NSCLC were reviewed. Multivariate analyses identified EGFR status, C-reactive protein (CRP), and PFS following previous therapy as being significantly associated with the PFS after initiation of PD-1 inhibitor therapy in patients with NSCLC. In patients with squamous cell NSCLC, the blood neutrophil/lymphocyte ratio (NLR), serum lactate dehydrogenase (LDH), serum C-reactive protein (CRP), and PFS following previous therapy were identified as being significantly associated with the PFS after initiation of PD-1 inhibitor therapy. However, none of these associations, except for PFS following previous therapy, were found in patients with non-squamous cell NSCLC. NLR, LDH and CRP were associated with the PFS after initiation of PD-1 inhibitor therapy in patients with squamous cell NSCLC, and PFS following previous therapy was the common parameter associated with the PFS after initiation of PD-1 inhibitor therapy in both squamous-cell NSCLC and non-squamous-cell NSCLC patients.

Keywords Non-small cell lung cancer · Programmed death 1 inhibitor · Squamous cell lung cancer

Introduction

In two phase III trials, therapy with programmed death 1 (PD-1) inhibitors was demonstrated to prolong the overall survival (OS) than that with the conventional cytotoxic chemotherapeutic agent docetaxel in patients with previously treated non-small cell lung cancer (NSCLC) [1, 2]. However, identification of predictors of the clinical response to PD-1 inhibitor therapy is an important issue, because progressive disease, as defined according to the Response Evaluation Criteria in Solid Tumors (RECIST), was observed more frequently in the

PD-1 therapy arm [1, 2]. Although patients with positive tumor PD-L1 expression showed higher survival rates, the correlation between the tumor PD-L1 expression level and efficacy of PD-1 inhibitor therapy was not straightforward [2]. Furthermore, no association between the tumor PD-L1 expression level and survival rate was found in patients with squamous cell NSCLC [1].

Several clinical parameters have been identified as prognostic factors or predictors of survival in patients with NSCLC treated with PD-1 inhibitors, including the serum level of lactate dehydrogenase (LDH) [3–5], blood neutrophil/lymphocyte ratio (NLR) [6], serum level of C-reactive protein (CRP) [4], and tumor response to previous chemotherapy [7]. These previous studies addressed patients with NSCLC as a whole and did not analyze patients with squamous-cell NSCLC and non-squamous-cell NSCLC separately. It is possible that the nature of responses to PD-1 inhibitor therapy differs between patients with squamous-cell NSCLC and those with non-squamous-cell NSCLC, because a direct relationship between tumor PD-L1 expression and efficacy of PD-

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1 inhibitor therapy was shown only in patients with non-squamous-cell NSCLC [1, 2]. Therefore, we conducted a retrospective analysis to compare the association between clinical variables and the PFS after initiation of PD-1 inhibitor therapy separately in squamous-cell NSCLC and non-squamous-cell NSCLC patients.

Patients and Method

Patients

Clinical data were collected from the patient medical charts. The inclusion criteria were as follows; 1) patients with histologically or cytologically confirmed NSCLC at Toyama University Hospital; 2) patients treated with nivolumab or pembrolizumab between 2016 and 2018 depending on the attending doctor's discretion; 3) patients who had received more than one regimen of cytotoxic agents prior to the start of PD-1 inhibitor therapy. NLR was calculated by dividing peripheral blood neutrophil count by the peripheral blood lymphocyte count. PFS was calculated from the date of initiation of treatment to the date of documentation of disease progression or death, and censored by the last visit until which no disease progression was observed. Disease progression was determined based on physician's clinical judgment and/or RECIST version 1.1. The present study was conducted with the approval of the Ethics committee, University of Toyama, disclosing the information about study plan for participants, in accordance with Ethical Guidelines for Medical and Health Research Involving Human Subjects (Ministry of Health, Labor and Welfare of Japan).

Statistical Analysis

JMP version 11. 2. 0 was used for the statistical analysis. The primary endpoint was the PFS after initiation of PD-1 inhibitor therapy. The cutoff values for LDH, NLR, CRP, and PFS following prior therapy were determined based on previous reports [4, 8]. The PFS after the start of PD-1 inhibitor therapy assessed according to the clinical parameters was compared using the log rank test in patients with NSCLC, and clinical parameters with P value of <0.2 were entered into Cox proportional hazard model as independent variables. Then, the PFS after the start of PD-1 inhibitor therapy in each patient group assessed according to the clinical parameters was compared using the log rank test in patients with squamous cell and non-squamous cell NSCLC. Differences with p -values of less than 0.05 were considered as being significant.

Results

Patient Characteristics

Table 1 shows the patient characteristics. Data of a total of 36 patients, including 16 patients with squamous cell NSCLC and 20 patients with non-squamous cell NSCLC, were analyzed. In the non-squamous cell NSCLC group, there were 3 (15.0%) patients with *EGFR* gene mutation in the tumors, including exon 19 deletion, insertion, or exon 21 L858R.

Progression-Free Survival

Disease progression was observed in 13 (81.3%) patients of the squamous cell NSCLC group and 18 (90.0%) patients of the non-squamous cell NSCLC group. Table 2 shows the results of the analysis carried out using the Log rank test and Cox proportional hazards model to assess the association between clinical parameters and the PFS after the PD-1 inhibitor therapy started in patients with NSCLC. The P values for *EGFR* mutation status ($P = 0.121$), CRP ($P = 0.114$), PFS following previous therapy ($P < 0.001$), and histology ($P = 0.038$) were determined to be <0.2 by the log-rank test. These variables were entered into the Cox proportional hazards model as independent variables, and the analysis identified the *EGFR* status ($P = 0.043$), CRP ($P = 0.019$), and PFS following previous therapy ($P < 0.001$) as being associated with the PFS.

Table 3 shows the PFS times after the initiation of PD-1 inhibitor therapy in the patient group with squamous cell NSCLC. NLR ($P = 0.034$), LDH ($P = 0.049$), CRP ($P = 0.012$), and PFS following previous therapy ($P < 0.001$) were identified as being significantly associated with the PFS after initiation of PD-1 inhibitor therapy.

Table 4 shows the PFS times after the initiation of PD-1 inhibitor therapy in the patient group with non-squamous cell NSCLC. None of the above clinical parameters were significantly associated with the PFS after the initiation of PD-1 inhibitor therapy in this group, with the exception of PFS following previous therapy ($P = 0.028$).

Figure 1 shows Kaplan-Meier curve for PFS after initiation of PD-1 inhibitor therapy in each group divided by PFS following previous therapy in patient with NSCLC, squamous cell NSCLC, and non-squamous cell NSCLC.

Discussion

In the present study, we demonstrated associations between the PFS after the initiation of PD-1 inhibitor therapy and clinical parameters, including *EGFR* mutation status, CRP, and PFS following previous therapy in patients with NSCLC. However, differing associations between clinical variables

Table 1 Patient characteristics

| Number | | NSCLC 36 | Squamous cell NSCLC 16 | Non-squamous cell NSCLC 20 |
|-----------------------|-------------------|-------------|---------------------------|-------------------------------|
| Gender | Male | 27 (75%) | 13 (81.3%) | 14 (70.0%) |
| | Female | 9 (25%) | 3 (18.8%) | 6 (30.0%) |
| Age (y) | <70 | 16 (44.4%) | 6 (37.5%) | 10 (50%) |
| | ≥70 | 20 (55.6%) | 10 (62.5%) | 10 (50%) |
| PS | 0–1 | 23 (63.9%) | 9 (56.3%) | 14 (70.0%) |
| | ≥2 | 13 (36.1%) | 7 (43.8%) | 6 (30.0%) |
| Smoking history | Yes | 31 (86.1%) | 16 (100%) | 15 (75.0%) |
| | No | 5 (13.9%) | 0 (0%) | 5 (25.0%) |
| EGFR | Mutant | 3 (8.3%) | 0 (0%) | 3 (15.0%) |
| | Wild-type/unknown | 33 (91.7%) | 16 (100%) | 17 (85.0%) |
| ALK | Mutant | 0 (0%) | 0 (0%) | 0 (0%) |
| | Wild-type/unknown | 36 (100%) | 16 (100%) | 20 (100%) |
| PD-L1 | <1% | 12 (33.3%) | 2 (12.5%) | 10 (50%) |
| | ≥1% | 14 (38.9%) | 5 (31.3%) | 9 (45.0%) |
| | Unknown | 10 (27.8%) | 9 (56.3%) | 1 (5%) |
| NLR | <5 | 20 (55.6%) | 9 (56.3%) | 11 (55.0%) |
| | ≥5 | 16 (44.4%) | 7 (43.8%) | 9 (45.0%) |
| LDH | <245 IU/L | 23 (63.9%) | 13 (81.3%) | 10 (50.0%) |
| | ≥245 IU/L | 13 (36.1%) | 3 (18.8%) | 10 (50.0%) |
| CRP | <1.0 mg/dl | 12 (33.3%) | 3 (18.8%) | 9 (45.0%) |
| | ≥1.0 mg/dl | 24 (66.7%) | 13 (81.3%) | 11 (55.0%) |
| Prior regimen | Doublet therapy | 17 (47.2%) | 8 (50%) | 9 (45.0%) |
| | Monotherapy | 13 (36.1%) | 5 (31.3%) | 8 (40.0%) |
| | Chemoradiation | 6 (16.7%) | 3 (18.8%) | 3 (15.0%) |
| PFS (prior treatment) | <3 months | 13 (36.1%) | 4 (25%) | 9 (45.0%) |
| | ≥3 months | 23 (63.9%) | 12 (75%) | 11 (55.0%) |

ALK anaplastic lymphoma kinase, *CRP* serum C-reactive protein, *EGFR* epidermal growth factor receptor, *LDH* serum lactate dehydrogenase, *NLR* neutrophil/lymphocyte ratio, *PD-L1* programmed death ligand 1, *PFS* progression-free survival, *PS* performance status

and the PFS after the start of PD-1 therapy between patients with squamous cell NSCLC and those with non-squamous cell NSCLC were observed.

Existence of an association between the PFS following previous therapy and the PFS following the trial treatment has been reported in studies on cytotoxic agents [8]. PFS following previous therapy may serve as a prognostic factor, because a short PFS following previous therapy could reflect a more aggressive nature of the tumor. On the other hand, it has been proposed that the immunogenic cell death following previous therapy could explain the association between the response to the most recent treatment before the initiation of PD-1 inhibitor therapy and the response to PD-1 inhibitor therapy [7].

CRP is measured as a systemic inflammatory marker in clinical practice. A possible explanation for the association of CRP with survival in cancer patients is its linkage to tumor progression and IL-6 [4]. In cancer patients, an association has been demonstrated between the CRP and tumor progression;

patients with inoperable tumors often have significantly higher serum CRP levels than those with operable tumors [9]. Serum IL-6 levels have been shown to be associated with the survival in cancer patients [10], and IL-6 has also been shown to prevent chemotherapy-induced apoptosis of human umbilical vein endothelial cells [11] and to induce DNA methylation, which enhances tumor growth, in cholangiocarcinoma [12].

Existence of an association between the serum LDH level and survival has been reported in patients with various malignant tumors [13]. LDH is a glycolytic enzyme involved in the anaerobic production of adenosine triphosphate. The proposed mechanisms underlying the association include production of lactic acid and intratumoral hypoxia, with activation of the hypoxia inducible factor-1 α -molecular cascade [14, 15]. LDH activity results in the production of lactic acid and acidification, which could facilitate the metastatic and invasive ability of cancer cells [14, 15]. Furthermore, it has been shown that accumulation of lactic acid suppresses cytokine

Table 2 Log rank test and Cox proportional hazard model of the progression-free survival (PFS) after initiation of PD-1 inhibitor therapy in patients with NSCLC ($n = 36$)

| | | Log rank test | | Cox proportional hazard model | |
|-----------------------|-------------------|----------------|--------|-------------------------------|--------|
| | | PFS | P | HR (95%CI) | P |
| Age (y) | <70 | 3.2 (1.3–4.2) | 0.342 | | |
| | ≥70 | 4.0 (1.4–8.8) | | | |
| PS | 0–1 | 4.0 (1.4–8.1) | 0.564 | | |
| | ≥2 | 2.6 (1.1–7.8) | | | |
| Smoking history | Yes | 4.0 (2.1–7.8) | 0.215 | | |
| | No | 1.7 (1.0–4.2) | | | |
| EGFR | Mutant | 1.1 (1.0–4.2) | 0.121 | 5.6 (1.1–25.9) | 0.043 |
| | Wild-type/unknown | 3.7 (2.1–6.8) | | 1.0 | |
| PD-L1 | <1% | 3.3 (0.8–4.2) | 0.642 | | |
| | ≥1% | 4.1 (1.7–8.8) | | | |
| | Unknown | 3.3 (0.7–8.3) | | | |
| NLR | <5 | 3.4 (1.3 (8.8) | 0.201 | | |
| | ≥5 | 3.7 (1.7–4.2) | | | |
| LDH | <245 IU/L | 3.7 (1.4–8.1) | 0.433 | | |
| | ≥245 IU/L | 3.6 (1.6–4.3) | | | |
| CRP | <1.0 mg/dl | 4.2 (1.1–18.7) | 0.114 | 0.3 (0.1–0.8) | 0.019 |
| | ≥1.0 mg/dl | 3.6 (1.4–4.1) | | 1.0 | |
| Prior regimen | Doublet therapy | 4.2 (1.6–8.8) | 0.741 | | |
| | Monotherapy | 3.7 (0.8–8.1) | | | |
| | Chemoradiation | 3.4 (1.0–NE) | | | |
| PFS (prior treatment) | <3 months | 1.6 (0.7–2.8) | <0.001 | 5.4 (2.1–14.8) | <0.001 |
| | ≥3 months | 4.3 (3.6–8.3) | | 1.0 | |
| Histology | Squamous | 4.2 (2.1–8.8) | 0.038 | 0.5 (0.2–1.1) | 0.087 |
| | Non-squamous | 2.6 (1.1–4.2) | | 1.0 | |

CRP serum C-reactive protein, EGFR epidermal growth factor receptor, HR hazard ratio, PFS progression-free survival

Table 3 Analysis of the progression-free survival (PFS) after initiation of PD-1 inhibitor therapy in patients with squamous cell NSCLC ($n = 16$)

| | | PFS (month, 95% CI) | P |
|--------------------------|-----------------|---------------------|--------|
| Age (y) | <70 | 4.1 (2.1–NE) | 0.656 |
| | ≥70 | 5.6 (0.7–18.7) | |
| PS | 0–1 | 6.8 (1.4–18.7) | 0.320 |
| | ≥2 | 4.1 (0.7–8.3) | |
| NLR | <5 | 8.8 (1.4–18.7) | 0.034 |
| | ≥5 | 3.7 (0.7–6.8) | |
| LDH | <245 IU/L | 6.8 (2.8–18.7) | 0.049 |
| | ≥245 IU/L | 2.1 (0.7–4.3) | |
| CRP | <1.0 mg/dl | 18.7 (NE) | 0.012 |
| | ≥1.0 mg/dl | 4.1 (2.1–6.8) | |
| Prior regimen | Doublet therapy | 5.6 (0.7–18.7) | 0.841 |
| | Monotherapy | 3.7 (1.4–NE) | |
| | Chemoradiation | 4.1 (4.1–NE) | |
| PFS (previous treatment) | <3 months | 2.1 (0.7–2.8) | <0.001 |
| | ≥3 months | 7.6 (3.7–18.7) | |

CI confidence interval, CRP serum C-reactive protein, EGFR epidermal growth factor receptor, LDH serum lactate dehydrogenase, NE not estimated, NLR neutrophil/lymphocyte ratio, PFS progression-free survival, PS performance status

Table 4 Analysis of the progression-free survival (PFS) after initiation of PD-1 inhibitor therapy in patients with non-squamous cell NSCLC ($n = 20$)

| | | PFS (month, 95% CI) | P |
|--------------------------|-------------------|---------------------|-------|
| Age (y) | <70 | 2.1 (0.8–4.2) | 0.811 |
| | ≥ 70 | 2.7 (0.5–8.1) | |
| PS | 0–1 | 2.7 (1.0–4.2) | 0.581 |
| | ≥ 2 | 2.1 (0.8–7.8) | |
| Smoking history | Yes | 2.7 (0.8–7.8) | 0.634 |
| | No | 1.7 (1.0–4.2) | |
| EGFR | Mutant | 1.1 (1.0–4.2) | 0.349 |
| | Wild type/unknown | 2.7 (1.3–7.8) | |
| PD-L1 | <1% | 2.1 (0.5–4.2) | 0.272 |
| | $\geq 1\%$ | 3.6 (0.7–10.8) | |
| NLR | <5 | 1.4 (0.8–8.1) | 0.697 |
| | ≥ 5 | 4.0 (0.5–7.8) | |
| LDH | <245 IU/L | 1.4 (0.5–2.7) | 0.159 |
| | ≥ 245 IU/L | 4 (0.8–7.8) | |
| CRP | <1.0 mg/dl | 2.7 (1.0–7.8) | 0.443 |
| | ≥ 1.0 mg/dl | 2.6 (0.7–4.0) | |
| Prior regimen | Doublet therapy | 3.6 (1.1–10.8) | 0.328 |
| | Monotherapy | 1.4 (0.5–8.1) | |
| | Chemoradiation | 1.7 (1.0–2.7) | |
| PFS (previous treatment) | <3 months | 1.3 (0.5–4.0) | 0.028 |
| | ≥ 3 months | 3.6 (1.4–8.1) | |

CI confidence interval, CRP serum C-reactive protein, LDH serum lactate dehydrogenase, NLR neutrophil/lymphocyte ratio, PFS progression-free survival, PS performance status

production from T cells and influences dendritic cell activation [16, 17].

NLR has been reported to be associated with the prognosis in patients with various solid tumors [18]. Several clinical studies and meta-analyses have pointed out the importance of CD3- or CD8-positive tumor-infiltrating lymphocytes for survival in cancer patients, and the presence of tumor-infiltrating lymphocytes has been reported as a favorable factor for the outcome in cancer patients [19]. However, in vitro experimental research has demonstrated that neutrophils

inhibit cytotoxic T lymphocyte cell lytic activity [20, 21]. Furthermore, the presence of tumor-infiltrating CD15-positive neutrophils has been reported to be associated with tumor progression and poorer survival in patients with gastric cancer [22]. Although the precise mechanisms remain to be clarified, these could explain the association between NLR and the prognosis in cancer patients.

Because these parameters mentioned above were reported to be associated with the survival in various clinical settings not limited to patients receiving PD-1 inhibitors, these are

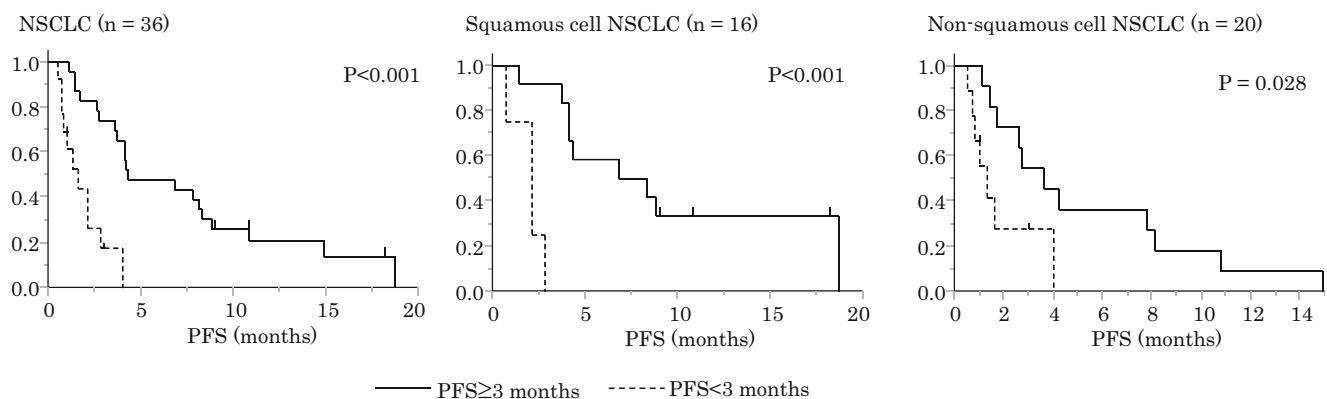


Fig. 1 Kaplan-Meier curve for PFS in each group divided according to the PFS following previous therapy (solid line; PFS ≥ 3 months, dashed line; PFS < 3 months) in patient with NSCLC, squamous cell NSCLC, and non-squamous cell NSCLC

likely to be prognostic factors. However, it remains unclear whether these can serve as predictors of the response to PD-1 inhibitor therapy.

We are unable to explain, from the present data, the reasons for the differing associations between clinical variables and the PFS after the start of PD-1 therapy between patients with squamous cell NSCLC and those with non-squamous cell NSCLC. The immunological characteristics of the tumor environment may differ between non-squamous cell NSCLC and squamous cell NSCLC, given that an association between tumor PD-L1 expression and the efficacy of PD-1 inhibitor therapy was shown only in patients with non-squamous cell NSCLC, and not in squamous cell NSCLC patients.

One of the important limitations of the present study was the small sample size, which could have led to a lower statistical power and difficulty in adjustment for the relevant patient characteristics in the multivariate analysis in a subset analysis of patients with squamous cell and non-squamous cell NSCLC.

In conclusion, the present study showed an association between PFS following previous therapy and PFS after the initiation of PD-1 inhibitor therapy in both patients with non-squamous cell NSCLC and those with squamous cell NSCLC. On the other hand, LDH, NLR and CRP were associated with the PFS after initiation of PD-1 inhibitor therapy only in patients with squamous cell NSCLC. These findings may indicate the different nature of responses to PD-1 inhibitor therapy between squamous-cell NSCLC and non-squamous cell NSCLC.

Compliance with Ethical Standards

Conflict of Interest None.

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