

Immunotherapy Integration In Thoracic Surgery: Recent Progress and Essential Perspective

-Esophageal cancer

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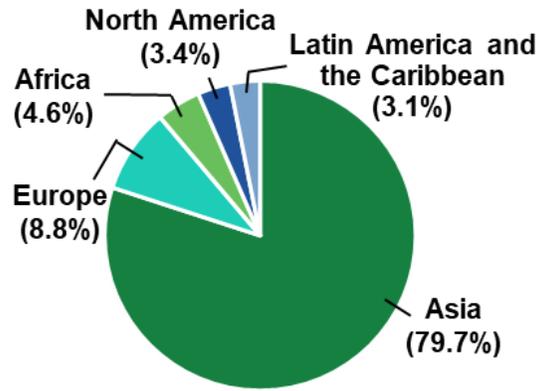
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Esophageal Cancer

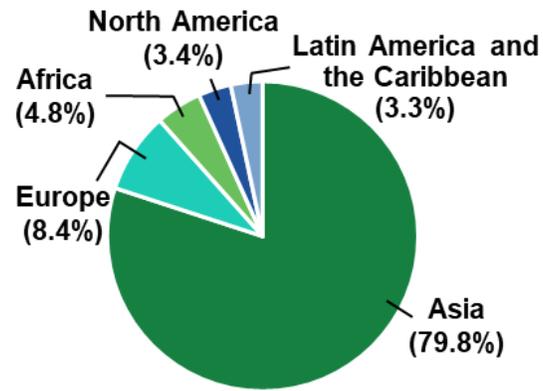
- Esophageal cancer was the 8th most common cancer and the 6th most common cause of cancer-related deaths worldwide in 2020.
 - Globally, an estimated 604,100 new cases of esophageal cancer were reported in 2020.¹

Incidence, Both Sexes



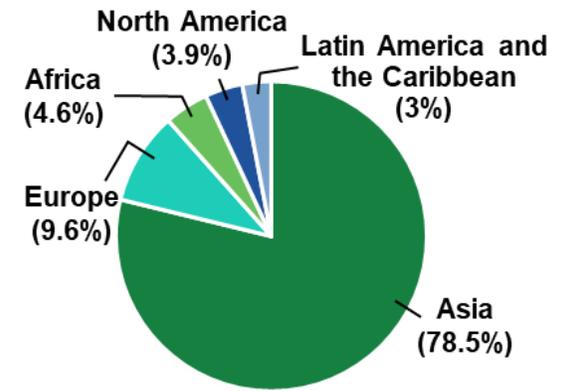
| Population | Number |
|---------------------------------|----------------|
| Asia | 481,552 |
| Europe | 52,993 |
| Africa | 27,546 |
| North America | 20,806 |
| Latin America and the Caribbean | 19,011 |
| Oceania | 2,192 |
| Total | 604,100 |

Mortality, Both Sexes



| Population | Number |
|---------------------------------|----------------|
| Asia | 434,363 |
| Europe | 45,511 |
| Africa | 26,097 |
| North America | 18,480 |
| Latin America and the Caribbean | 17,799 |
| Oceania | 1,826 |
| Total | 544,076 |

5-Year Prevalence, Both Sexes

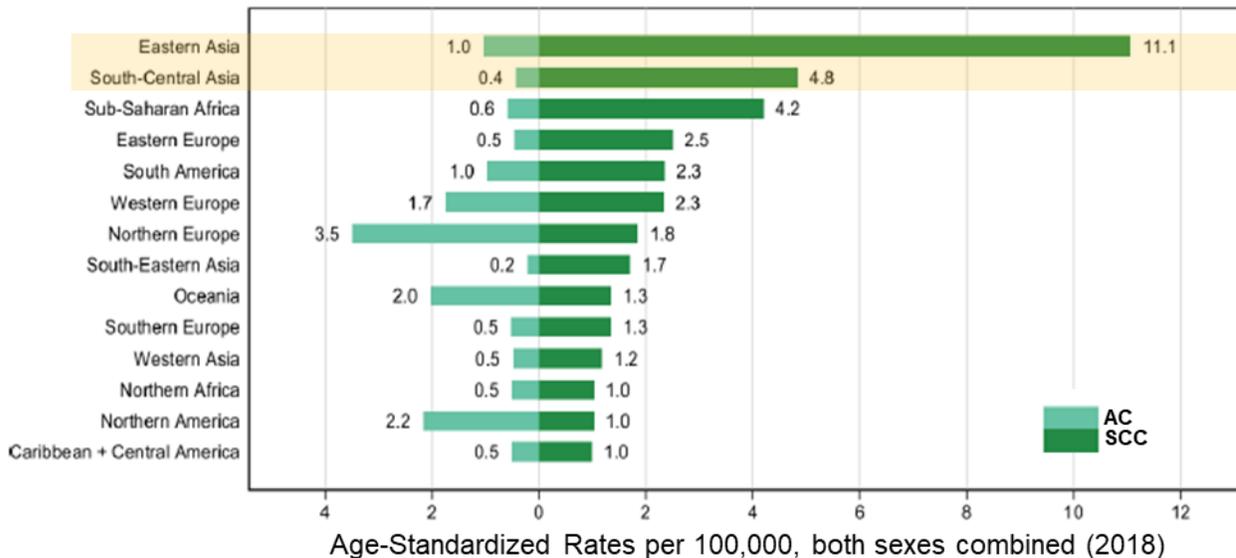


| Population | Number |
|---------------------------------|----------------|
| Asia | 523,122 |
| Europe | 64,061 |
| Africa | 30,341 |
| North America | 26,160 |
| Latin America and the Caribbean | 20,058 |
| Oceania | 2,646 |
| Total | 666,388 |

Esophageal Cancer: Histological Subtypes

- Two main types of esophageal cancer exist, based on histology.¹
 - **Squamous cell carcinoma (SCC)** is the most common type of esophageal cancer worldwide, with the highest incidence rates in Eastern Asia and Eastern Africa.¹
 - **Adenocarcinoma (AC)** is more common in Northern Europe, North America, and Oceania than in other regions.¹

Incidence Rates by Histological Subtype¹



Risk Factors for Esophageal Cancer²

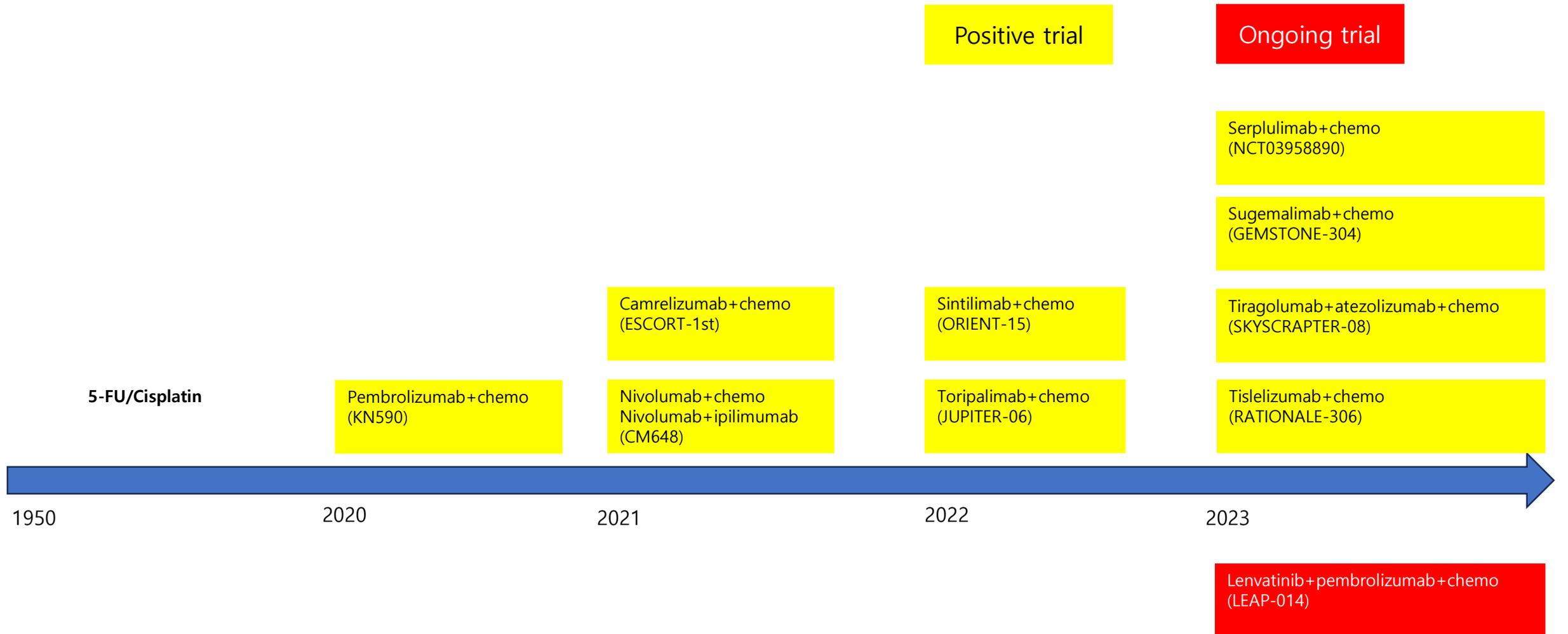
| Risk Factor | Squamous Cell Carcinoma | Adenocarcinoma |
|--------------------------|-------------------------|----------------|
| Aging | ✓ | ✓ |
| Sex | Male > Female | Male > Female |
| Tobacco | ✓ | ✓ |
| Alcohol | ✓ | – |
| GERD/Barrett's Esophagus | – | ✓ |
| Obesity | – | ✓ |

GERD = gastroesophageal reflux disease.

1. Arnold M et al. *Gut*. 2020;69(9):1564–1571. Reproduced from *Gut*, Arnold M et al, Vol. 69, 1564–1571, Copyright 2020, with permission from BMJ Publishing Group Ltd.

2. American Cancer Society. Esophageal Cancer Risk Factors. Last revised June 9, 2020. Accessed June 14, 2021. <https://www.cancer.org/cancer/esophagus-cancer/causes-risks-prevention/risk-factors.html>

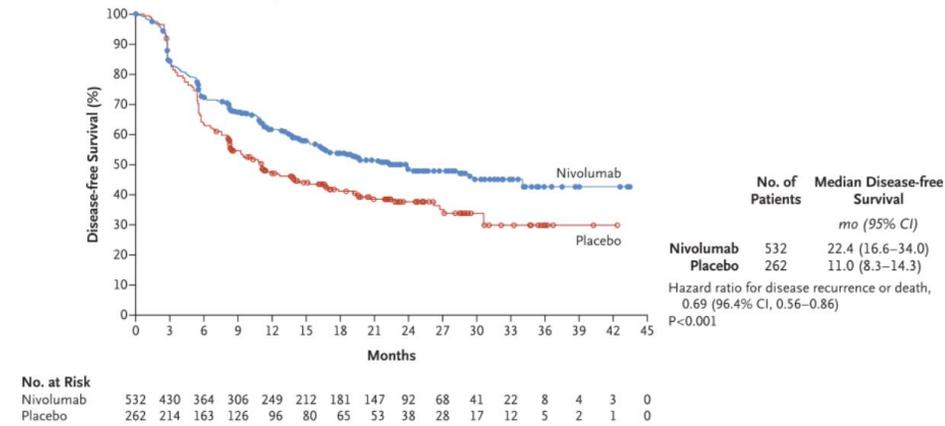
Current 1L immunotherapy-based treatment in advanced esophageal cancer



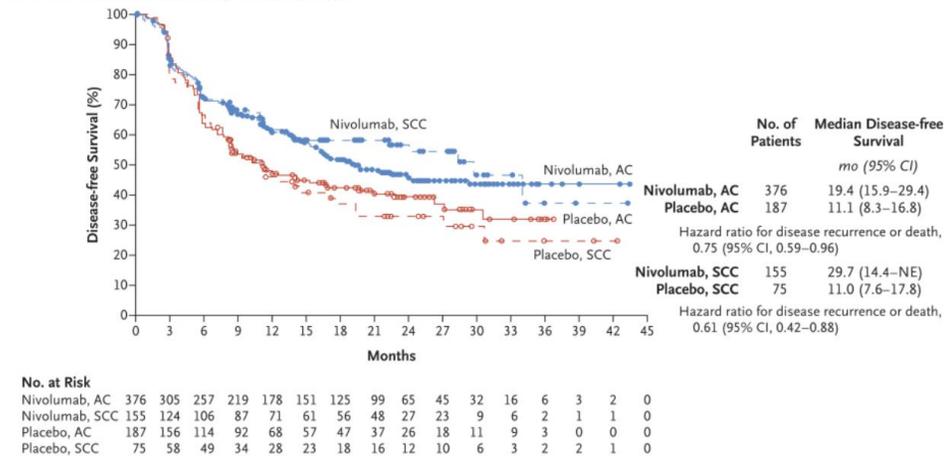
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- Immunotherapy Integration In Thoracic Surgery: Recent Progress and Essential Perspective**
 -Esophageal cancer

A Disease-free Survival in the Overall Population



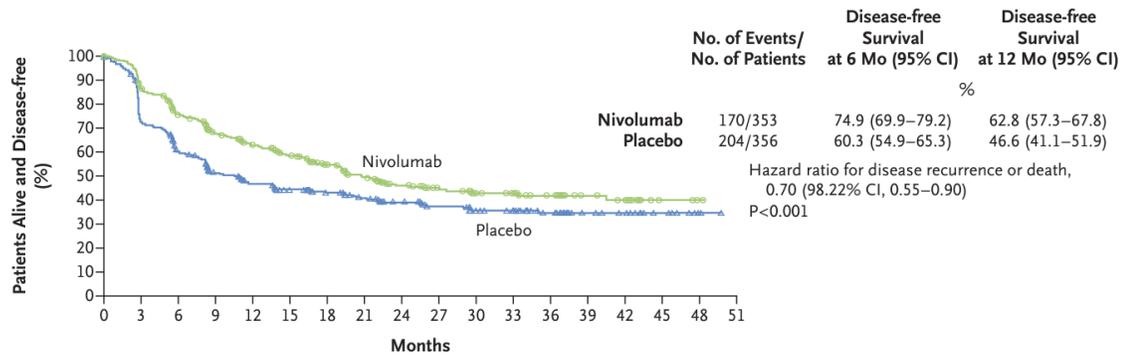
B Disease-free Survival According to Histologic Type



| Subgroup | No. of Patients | Median Disease-free Survival (mo) | | Unstratified Hazard Ratio (95% CI) |
|---|-----------------|-----------------------------------|---------|------------------------------------|
| | | Nivolumab | Placebo | |
| Overall | 794 | 22.4 | 11.0 | 0.70 (0.58–0.86) |
| Age | | | | |
| <65 yr | 507 | 24.4 | 10.8 | 0.65 (0.51–0.84) |
| ≥65 yr | 287 | 17.0 | 13.9 | 0.80 (0.57–1.12) |
| Sex | | | | |
| Male | 671 | 21.4 | 11.1 | 0.73 (0.59–0.91) |
| Female | 123 | Not reached | 11.0 | 0.59 (0.35–1.00) |
| Race | | | | |
| White | 648 | 21.3 | 10.9 | 0.71 (0.57–0.88) |
| Asian | 117 | 24.0 | 10.2 | 0.70 (0.41–1.22) |
| Black | 9 | 14.4 | 8.3 | 0.43 (0.06–3.06) |
| Other | 20 | Not reached | 14.1 | 0.48 (0.11–2.02) |
| Region | | | | |
| Asia | 106 | 24.0 | 14.3 | 0.78 (0.43–1.41) |
| Other | 688 | 21.4 | 11.0 | 0.69 (0.56–0.86) |
| ECOG performance-status score | | | | |
| 0 | 464 | 29.4 | 11.1 | 0.73 (0.56–0.96) |
| 1 | 330 | 17.0 | 10.9 | 0.66 (0.48–0.89) |
| Disease stage at initial diagnosis | | | | |
| II | 278 | 34.0 | 13.9 | 0.72 (0.51–1.02) |
| III | 514 | 19.4 | 8.5 | 0.68 (0.53–0.88) |
| Tumor location at trial entry | | | | |
| Esophagus | 462 | 24.0 | 8.3 | 0.61 (0.47–0.78) |
| Gastroesophageal junction | 332 | 22.4 | 20.6 | 0.87 (0.63–1.21) |
| Histologic type | | | | |
| Adenocarcinoma | 563 | 19.4 | 11.1 | 0.75 (0.59–0.96) |
| Squamous-cell carcinoma | 230 | 29.7 | 11.0 | 0.61 (0.42–0.88) |
| Tumor cell PD-L1 expression | | | | |
| ≥1% | 129 | 19.7 | 14.1 | 0.75 (0.45–1.24) |
| <1% | 570 | 21.3 | 11.1 | 0.73 (0.57–0.92) |
| Indeterminate or could not be evaluated | 95 | Not reached | 9.5 | 0.54 (0.27–1.05) |
| Pathological lymph-node status | | | | |
| ypN0 | 336 | Not reached | 27.0 | 0.74 (0.51–1.06) |
| ≥ypN1 | 457 | 14.8 | 7.6 | 0.67 (0.53–0.86) |
| Pathological tumor status | | | | |
| ypT0 | 47 | 34.0 | 5.2 | 0.35 (0.15–0.82) |
| ypT1 or ypT2 | 308 | 28.3 | 9.3 | 0.60 (0.44–0.83) |
| ypT3 or ypT4 | 436 | 18.9 | 14.1 | 0.84 (0.64–1.11) |
| Histologic grade | | | | |
| 1 or 2 | 438 | 29.4 | 13.9 | 0.68 (0.51–0.91) |
| 3 or 4 | 253 | 14.1 | 9.2 | 0.73 (0.52–1.02) |
| Not assessed | 101 | Not reached | 11.1 | 0.65 (0.37–1.16) |
| Time from complete resection to randomization | | | | |
| <10 wk | 256 | 24.0 | 14.1 | 0.84 (0.57–1.22) |
| ≥10 wk | 538 | 21.4 | 10.8 | 0.66 (0.52–0.84) |
| HER2 status | | | | |
| Positive | 63 | 19.6 | 7.6 | 0.78 (0.40–1.55) |
| Negative | 207 | 21.4 | 9.4 | 0.69 (0.46–1.03) |
| Not reported | 522 | 24.0 | 11.1 | 0.70 (0.55–0.90) |

Lesson from other tumor

A Intention-to-Treat Population



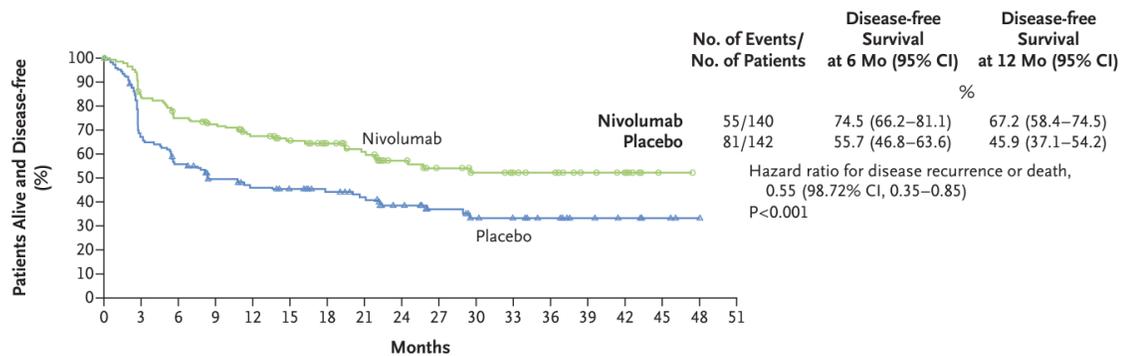
| | No. of Events/ No. of Patients | Disease-free Survival at 6 Mo (95% CI) | Disease-free Survival at 12 Mo (95% CI) |
|------------------|-----------------------------------|---|--|
| Nivolumab | 170/353 | 74.9 (69.9–79.2) | 62.8 (57.3–67.8) |
| Placebo | 204/356 | 60.3 (54.9–65.3) | 46.6 (41.1–51.9) |

Hazard ratio for disease recurrence or death, 0.70 (98.22% CI, 0.55–0.90)
P<0.001

No. at Risk

| Time (Months) | 0 | 3 | 6 | 9 | 12 | 15 | 18 | 21 | 24 | 27 | 30 | 33 | 36 | 39 | 42 | 45 | 48 | 51 |
|------------------|-----|-----|-----|-----|-----|-----|-----|-----|----|----|----|----|----|----|----|----|----|----|
| Nivolumab | 353 | 296 | 244 | 212 | 178 | 154 | 126 | 106 | 85 | 68 | 57 | 51 | 36 | 23 | 20 | 3 | 1 | 0 |
| Placebo | 356 | 248 | 198 | 157 | 134 | 121 | 105 | 94 | 80 | 65 | 54 | 50 | 37 | 22 | 19 | 10 | 2 | 0 |

B Patients with a PD-L1 Expression Level of ≥1%

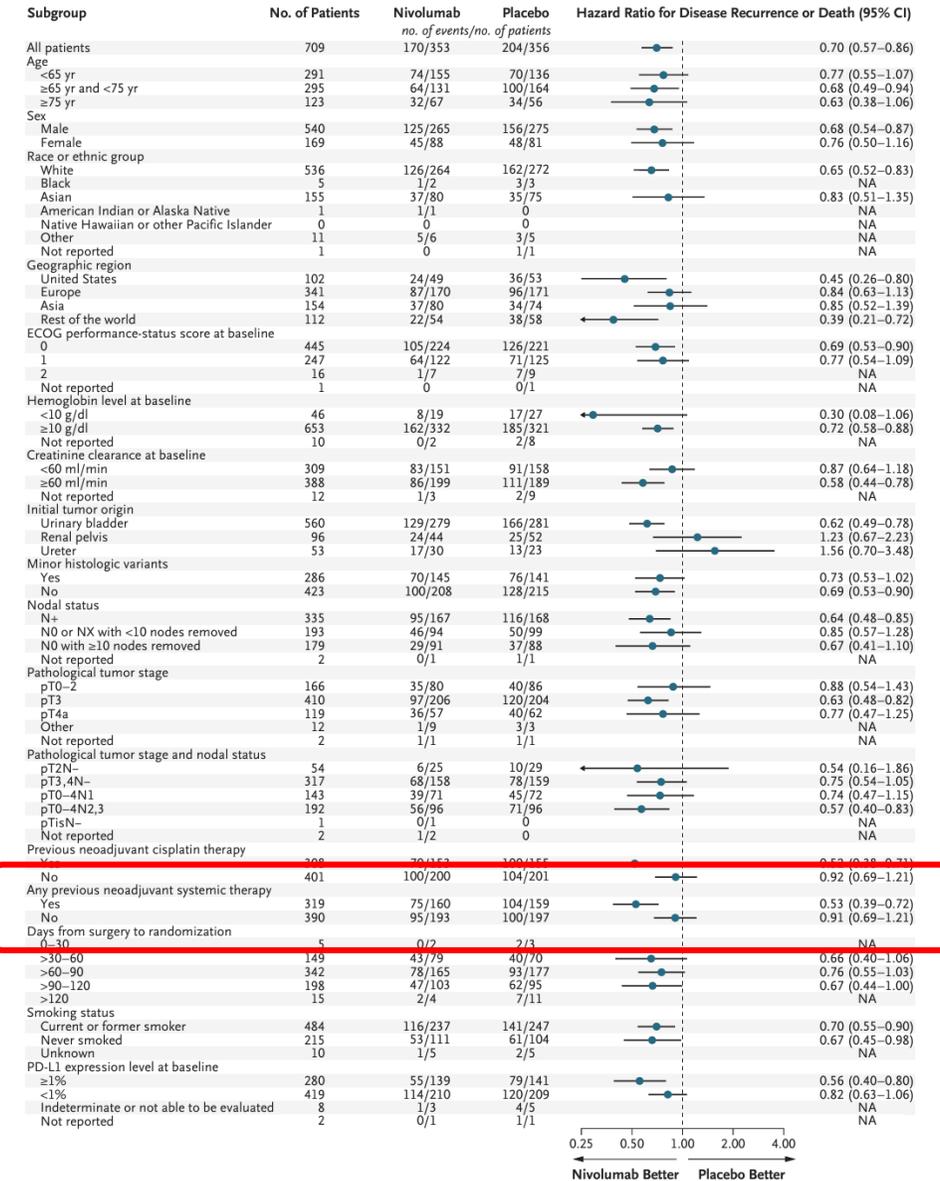


| | No. of Events/ No. of Patients | Disease-free Survival at 6 Mo (95% CI) | Disease-free Survival at 12 Mo (95% CI) |
|------------------|-----------------------------------|---|--|
| Nivolumab | 55/140 | 74.5 (66.2–81.1) | 67.2 (58.4–74.5) |
| Placebo | 81/142 | 55.7 (46.8–63.6) | 45.9 (37.1–54.2) |

Hazard ratio for disease recurrence or death, 0.55 (98.72% CI, 0.35–0.85)
P<0.001

No. at Risk

| Time (Months) | 0 | 3 | 6 | 9 | 12 | 15 | 18 | 21 | 24 | 27 | 30 | 33 | 36 | 39 | 42 | 45 | 48 | 51 |
|------------------|-----|-----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|
| Nivolumab | 140 | 113 | 98 | 91 | 76 | 68 | 58 | 50 | 38 | 31 | 27 | 24 | 21 | 12 | 10 | 1 | 0 | 0 |
| Placebo | 142 | 90 | 73 | 59 | 53 | 49 | 42 | 37 | 28 | 22 | 17 | 16 | 12 | 7 | 5 | 3 | 1 | 0 |



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- **Immunotherapy Integration In Thoracic Surgery:** Recent Progress and Essential Perspective -Esophageal cancer

Clinical scenario

1. Preop CCRT → surgery → FU
2. Preop systemic therapy → Surgery → FU
3. Definitive CCRT → FU

The role of immunotherapy

| HISTOLOGY | TUMOR CLASSIFICATION ^g | PRIMARY TREATMENT OPTIONS FOR PATIENTS WHO ARE MEDICALLY FIT |
|-------------------------|--|---|
| Squamous cell carcinoma | cT1b–cT2, N0 (low-risk lesions: <3 cm, well differentiated) ^o | Esophagectomy ^{c,d,t,u} (for non-cervical esophagus) → Surgical Outcomes After Esophagectomy (ESOPH-6) |
| | cT2, N0 (high-risk lesions: lymphovascular invasion (LVI), ≥3 cm, poorly differentiated) cT1b–cT2, N+ or cT3–cT4a, Any N ^w | Preoperative chemoradiation ^{x,y,z} → Response Assessment (ESOPH-5) |
| | | or Definitive chemoradiation ^{x,y} → Follow-up (ESOPH-9) |
| cT4b ^p | Definitive chemoradiation ^{x,y} → Response Assessment (ESOPH-5) or Consider chemotherapy alone in the setting of invasion of trachea, great vessels, vertebral body, or heart ^x (See Palliative Management [ESOPH-10]) | |



National Comprehensive Cancer Network®

NCCN Guidelines Version 3.2024

Esophageal and Esophagogastric Junction Cancers

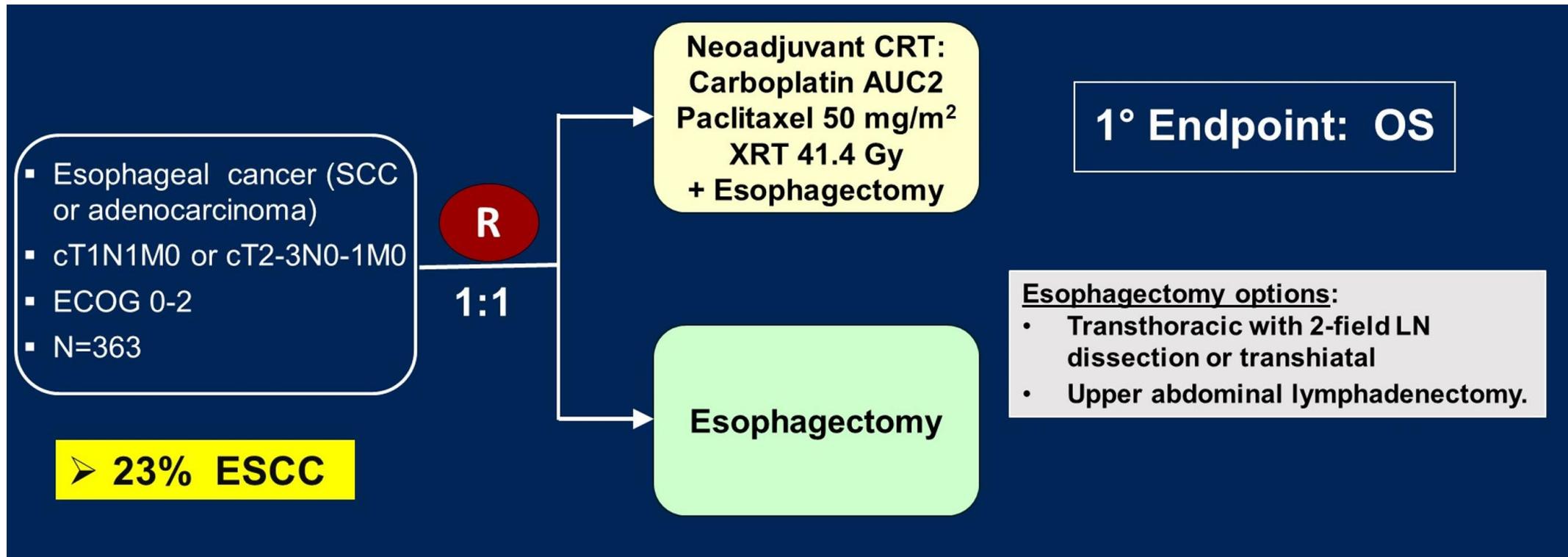
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Setting the Stage: Locoregional ESCC

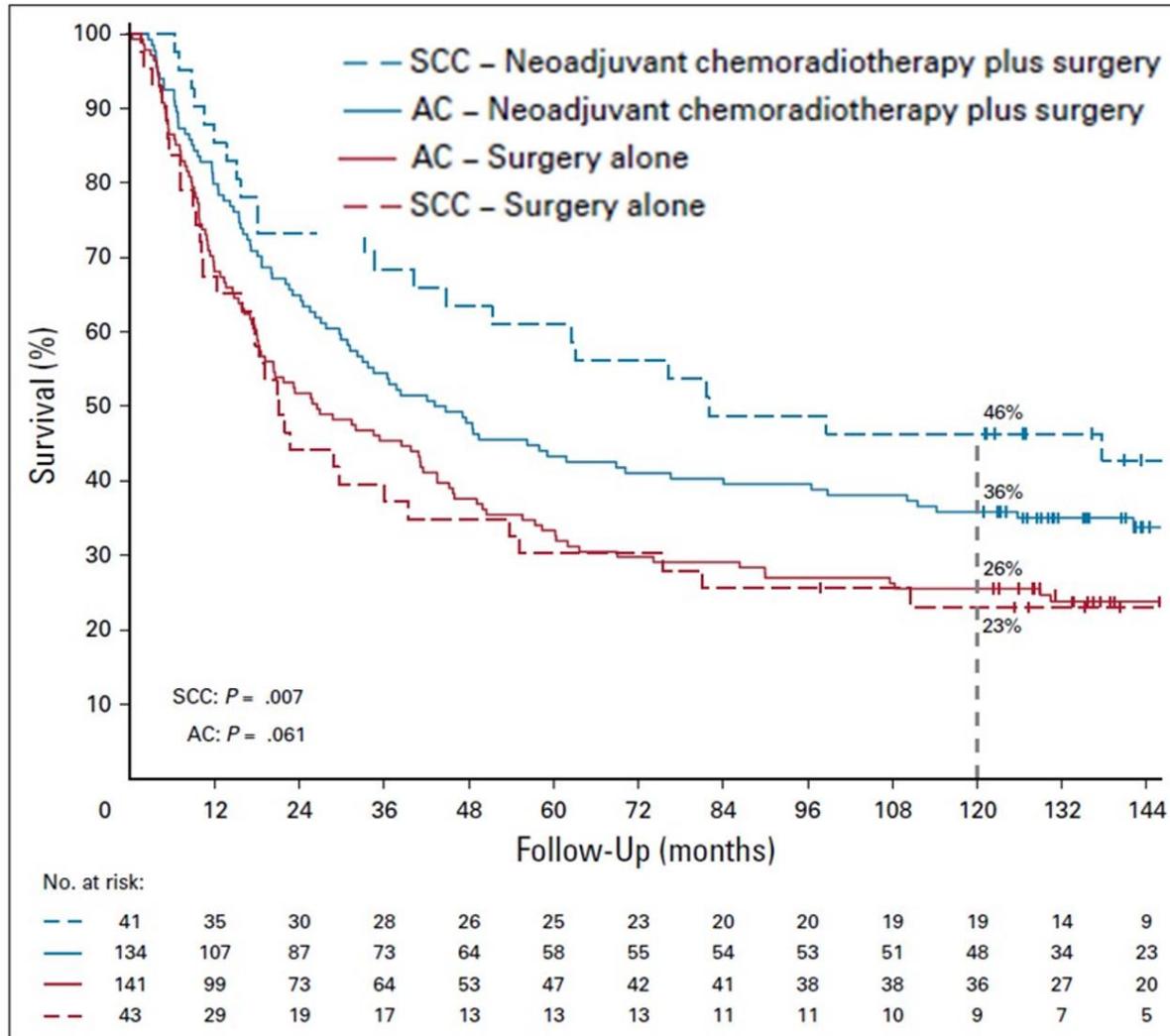
- Treatments are with curative intent.
- Surgical resection alone is insufficient.
- Multimodality approach is the standard of care.
- R0 resection is critical.
- Completion of planned therapies is essential.
- Systemic recurrences remain a challenge.

Neoadjuvant CCRT - CROSS

- CROSS trial
 - Phase III, N=366 (23% SqCC, 75% ADC, 2% Undiff.)
 - T1N1 – T2-3Nx (64% Node +ve)
 - Preop CCRT with paclitaxel/carboplatin vs. upfront surgery

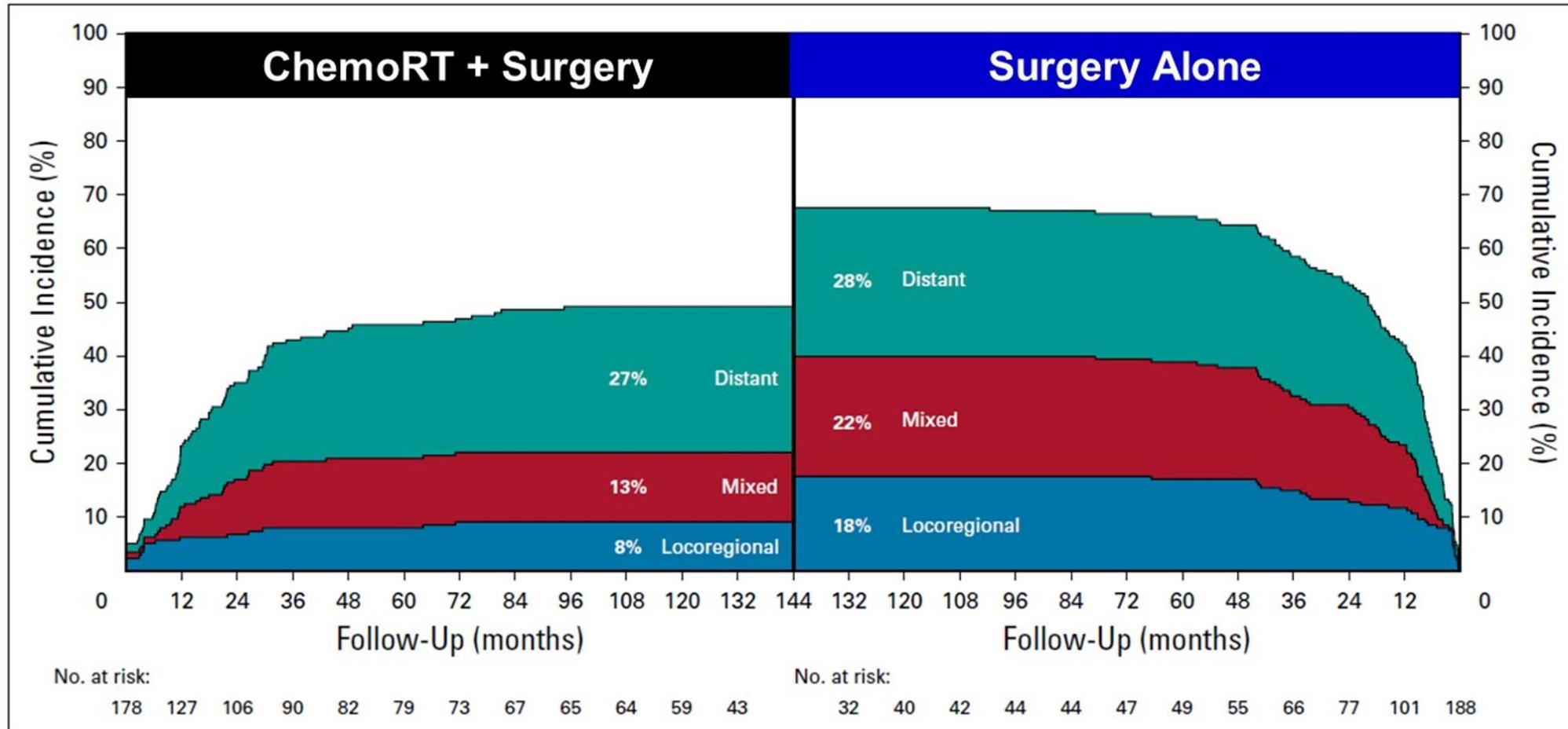


Neoadjuvant CCRT - CROSS



- Focus on ESCC
 - Median OS: 21 vs. 82 months
 - Median PFS: 11.6 vs. 74.7 months
 - pCR rate: 49%
 - 10 year OS rate: 23 vs. 46%

CROSS 10-Year Follow-Up: Significant Distant Recurrences (Both Adeno and SCC Data)

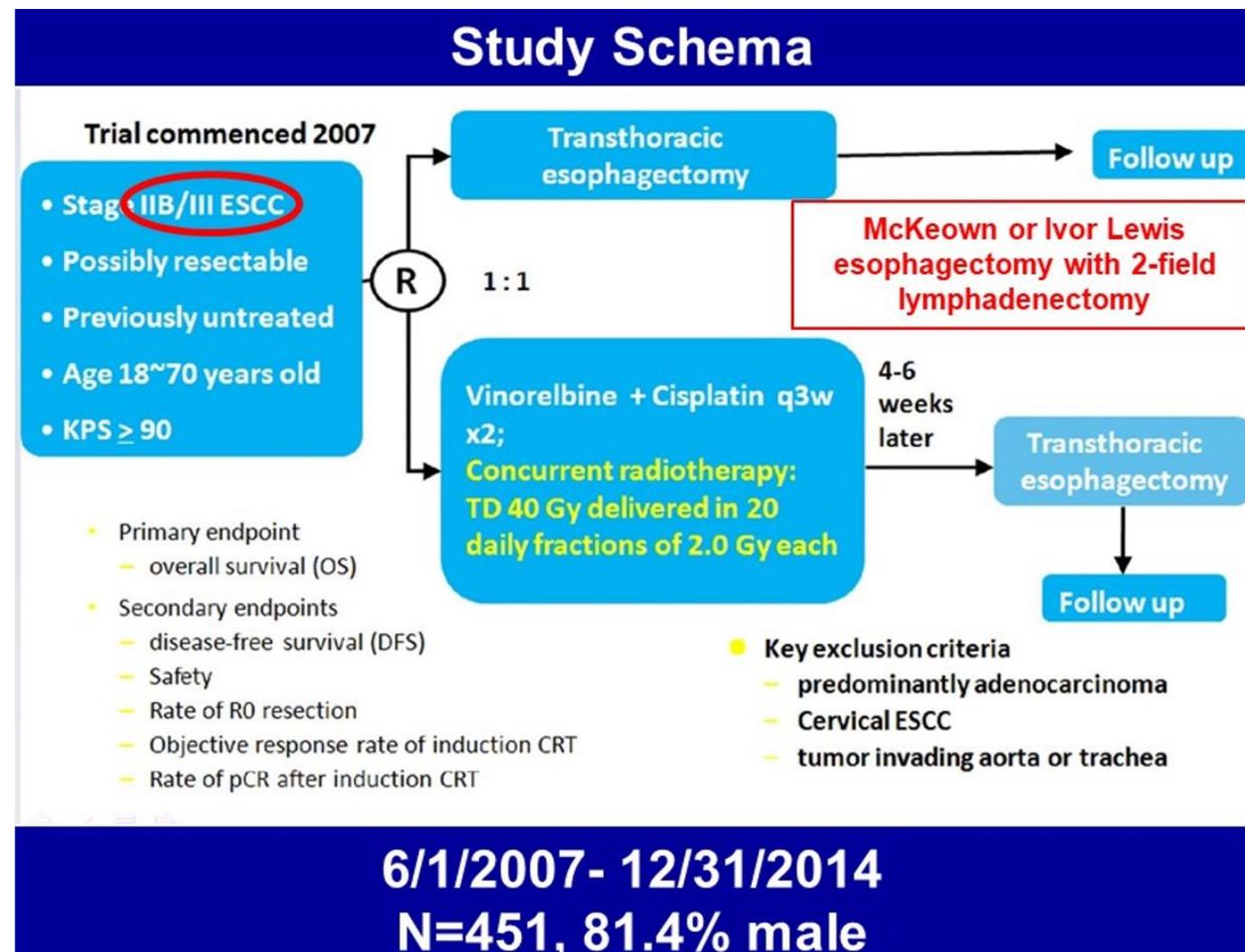


Low doses of radiosensitizing chemotherapy used limited systemic effects

Neoadjuvant CCRT - NEOCRTEC5010

Surgery vs. ChemoRT + Surgery for ESCC in China

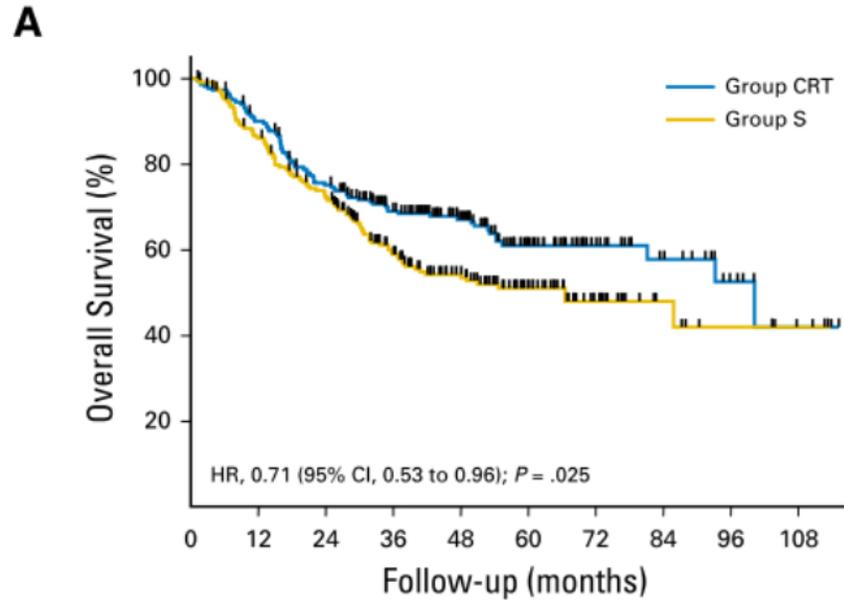
- Phase III, N=451 (100% SqCC), 100% Chinese
- Primary endpoint: OS
- T1-4N1M0/T4N0M0,
- Preop CCRT with vinorelbine/cisplatin vs. upfront surgery



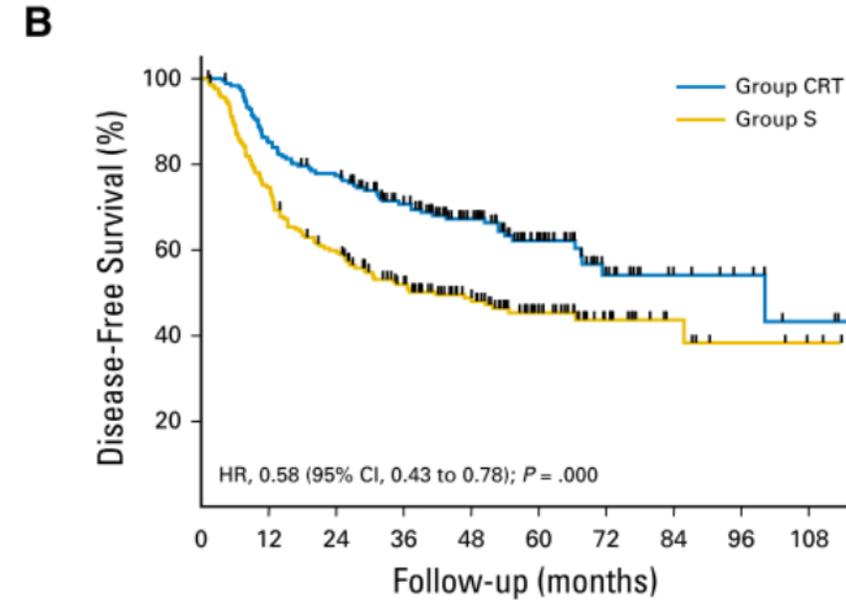
Neoadjuvant CCRT - NEOCRTEC5010

Surgery vs. ChemoRT + Surgery for ESCC in China

- OS: 100 vs. 66.5 months, HR 0.71; P=0.025



| No. at risk | | 0 | 12 | 24 | 36 | 48 | 60 | 72 | 84 | 96 | 108 |
|-------------|-----|-----|-----|-----|----|----|----|----|----|----|-----|
| Group CRT | 224 | 196 | 160 | 124 | 91 | 52 | 29 | 16 | 8 | 3 | |
| Group S | 227 | 192 | 157 | 108 | 75 | 44 | 21 | 8 | 4 | 2 | |



| No. at risk | | 0 | 12 | 24 | 36 | 48 | 60 | 72 | 84 | 96 | 108 |
|-------------|-----|-----|-----|-----|----|----|----|----|----|----|-----|
| Group CRT | 182 | 154 | 138 | 108 | 79 | 46 | 21 | 10 | 7 | 3 | |
| Group S | 207 | 153 | 120 | 89 | 65 | 37 | 19 | 8 | 4 | 2 | |

| Recurrence Rates* | ChemoRT | Surgery only |
|-------------------|---------|--------------|
| Locoregional | 13.7% | 21.7% |
| Distant | 25.3% | 35.7% |
| Overall | 34.6% | 49.3% |

Impact of RT in Locoregional Esophageal Cancer

- Pros
 - Downstage the tumor including pCR
 - Increase R0 resection rates
- Cons
 - Limited systemic control

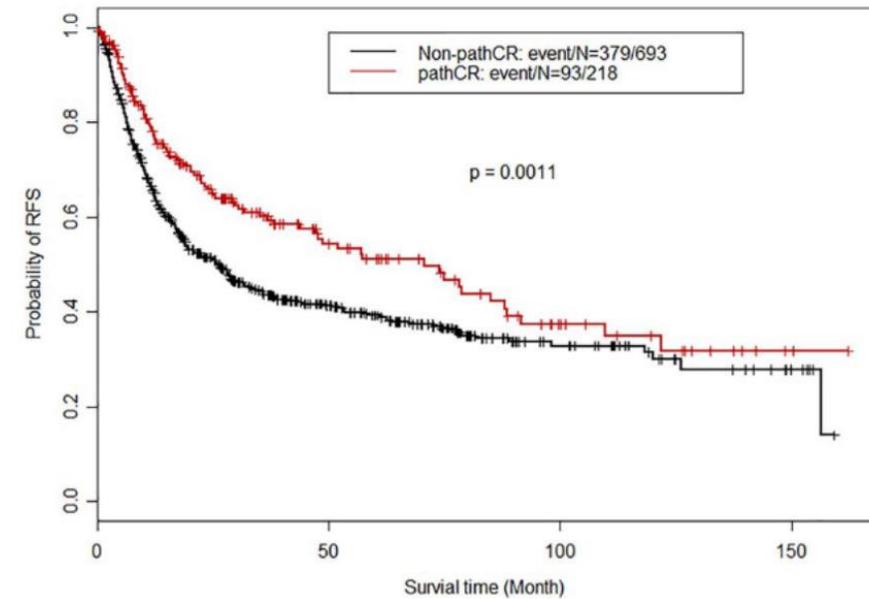
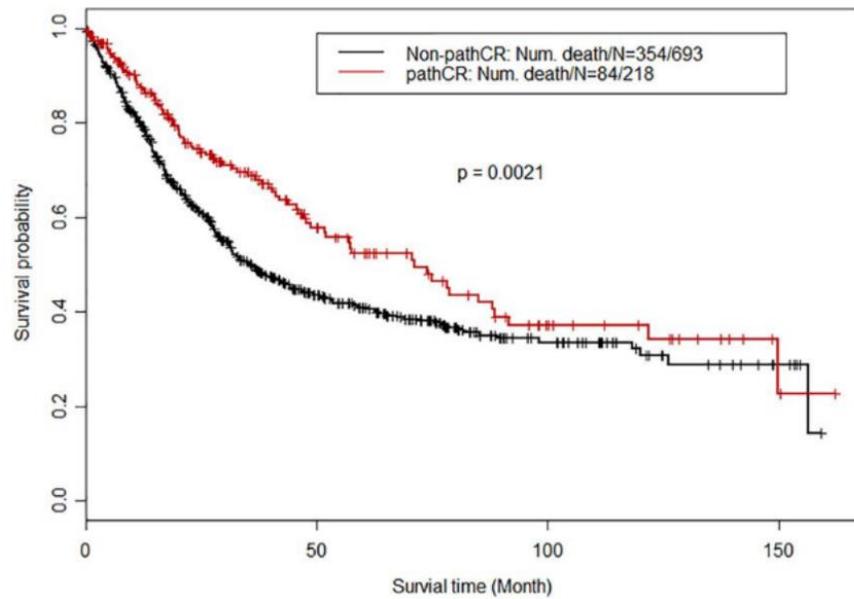
pCR rates among several neoadjuvant studies

| Study | Trial | Stage | Eligibility | Treatment | Patients | Pathology (%) | Chemotherapy | Radiotherapy | pCR (%) | OS (5Y, %) | R0 (%) | Postoperative mortality |
|-------------------------------|---------------------|---------------|-------------|-----------|----------|---------------|--------------|--------------|---------|-----------------------------|--------|-------------------------|
| Mariette et al. [10] (2014) | 00-09: FFCD 9901 | Stage I-II | T1-2N0-1 | S | 97 | Sq (70) | Cisplatin | 45 Gy | 33 | 34 | 92 | 3.4% in S |
| | | | T3N0 | NACRT→S | 98 | 5FU | | 41 | 94 | 11.1% in CRT+S | | |
| Van Hagen et al. [9] (2012) | 04-08: CROSS | Stage II-III | T1N1 | S | 188 | Sq (23) | Carboplatin | 41.4 Gy | 29 | 34 | 69 | 4% in both |
| | | | T2-3N0-1 | NACRT→S | 178 | Paclitaxel | | 47 | 92 | 4% in both groups | | |
| Yang et al. [11] (2018) | 07-14: NEOCRTE5010 | Stage IIB-III | T1-4N1 | S | 227 | Sq (100) | Vinorelbine | 40 Gy | 43.2 | 51 | 91.2 | 1.1% in CRT+S |
| | | | T4N0 | NACRT→S | 224 | Cisplatin | | 61 | 98.4 | 0.4% in S | | |
| MRC [14] (2002) ^{a)} | 92-98: British OEO2 | | Resectable | S | 402 | Sq (31) | Cisplatin | (-) | 4 | 17 | 54 | 10% in both |
| Kelsen et al. [16] (2007) | RTOG 8911 | Stage I-III | T1-3N0-N1 | S | 227 | Sq (47) | Cisplatin | (-) | 2.5 | 19 | 59 | 6% in both |
| | | | | NAC→S | 213 | 5FU | | 22 | 63 | 6% in both groups | | |
| Ando et al. [17] (2012) | 00-06: JCOG 9907 | Stage II-III | T1N1 | S→AC | 166 | Sq (100) | Cisplatin | (-) | 5 | 43 | 91 | Less than 1% in |
| | | | T2-3N0-1 | NAC→S | 164 | 5FU | | 55 | 96 | Less than 1% in both groups | | |

pCR, pathologic complete response; OS, overall survival; S, surgery; NACRT, neoadjuvant chemoradiotherapy; 5FU, 5-fluorouracil; CRT, chemotherapy; Sq, squamous cell carcinoma; NAC, neoadjuvant chemotherapy.

^{a)}Medical Research Council Oesophageal Cancer Working Group.

Clinical significance of pCR from MDACC experience



| Recurrence | PathCR | Non-PathCR |
|------------|----------------|-----------------|
| Distant | 41/218 (18.8%) | 199/693 (28.7%) |
| Local | 4/218 (1.8%) | 34/693 (4.9%) |

Abbreviation: pathCR, pathological complete response.

Phase 3 Studies Defining Standard Practice in Japan

| Years | Trial | Design | Results | Conclusions |
|-----------|----------|--|----------------------------------|--|
| 1992-1997 | JCOG9204 | Surgery alone vs. Postop Chemo (CF*) | 5 year DFS 45% vs. 55% p 0.04 | Postoperative chemotherapy is superior to surgery alone |
| 2000-2006 | JCOG9907 | Preop chemo (CF) vs. Postop chemo (CF) | 5 year OS 55% vs. 43% p 0.04 | Preoperative chemotherapy is superior |

Neoadjuvant CCRT vs. chemotherapy vs. intense chemotherapy

JCOG1109 NExT: Study Design

Key eligibility criteria

- Histologically proven ESCC
- ECOG PS 0-1
- cStage IB, II, III (nonT4) (UICC-TNM7th)
- Age 20-75 y.o.
- R0 esophagectomy is expected

Adjustment factors

- Institution
- cT1-2 / T3

Enrollment started 12/2012

R

Neoadjuvant CF
(5-fluorouracil + cisplatin)^a
Q3W x 2 course **6 weeks**

Neoadjuvant DCF
(5-fluorouracil + cisplatin + docetaxel)^b
Q3W x 3 course **9 weeks**

Neoadjuvant CF+RT
(5-fluorouracil + cisplatin + RT 41.4 Gv)^c
Q4W x 2 course **8 weeks**

Transthoracic esophagectomy with regional lymphadenectomy (D2≤)^d

Minimally invasive and open

Primary Endpoint: OS
Secondary endpoints:
PFS, % R0 resection, RR,
pathCR and AEs.

Minimum follow up 36 months

^a5-FU 800 mg/m² IV days 1-5, cisplatin 80 mg/m² IV day1

^b5-FU 750 mg/m² IV days 1-5, cisplatin 70 mg/m² IV day1, docetaxel 70 mg/m² IV (day1)

^c5-FU 1000 mg/m² IV days 1-4, cisplatin 75 mg/m² IV day1

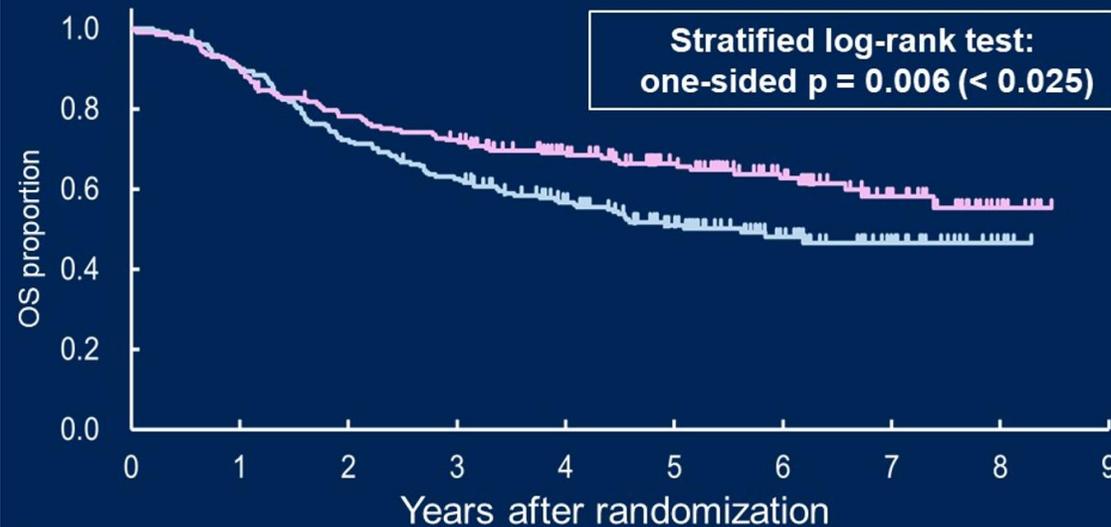
Nakamura et al, Jpn J Clin Oncol 2013;43(7)752–755

Intense chemotherapy vs. conventional chemotherapy

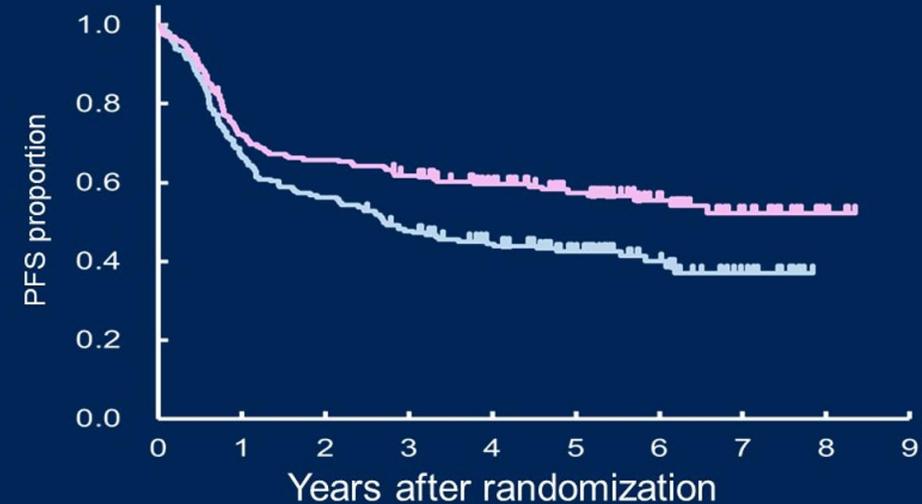
DCF Improves Overall Survival and Progression Free Survival

Neo DCF vs. CF

Overall Survival



Progression Free Survival



| | MST (95% CI) | 3-y OS (95% CI) | Stratified HR (95% CI) |
|---------|----------------|---------------------|------------------------|
| Neo CF | 5.6y (3.9y-NE) | 62.6% (55.5%-68.9%) | Ref. |
| Neo DCF | NR (6.7y-NE) | 72.1% (65.4%-77.8%) | 0.68 (0.50-0.92) |

| | mPFS (95% CI) | HR (95% CI) |
|---------|------------------|------------------|
| Neo CF | 2.7y (1.8y-4.8y) | Ref. |
| Neo DCF | NR (5.2y-NE) | 0.67 (0.51-0.88) |

MST: Median Survival Time

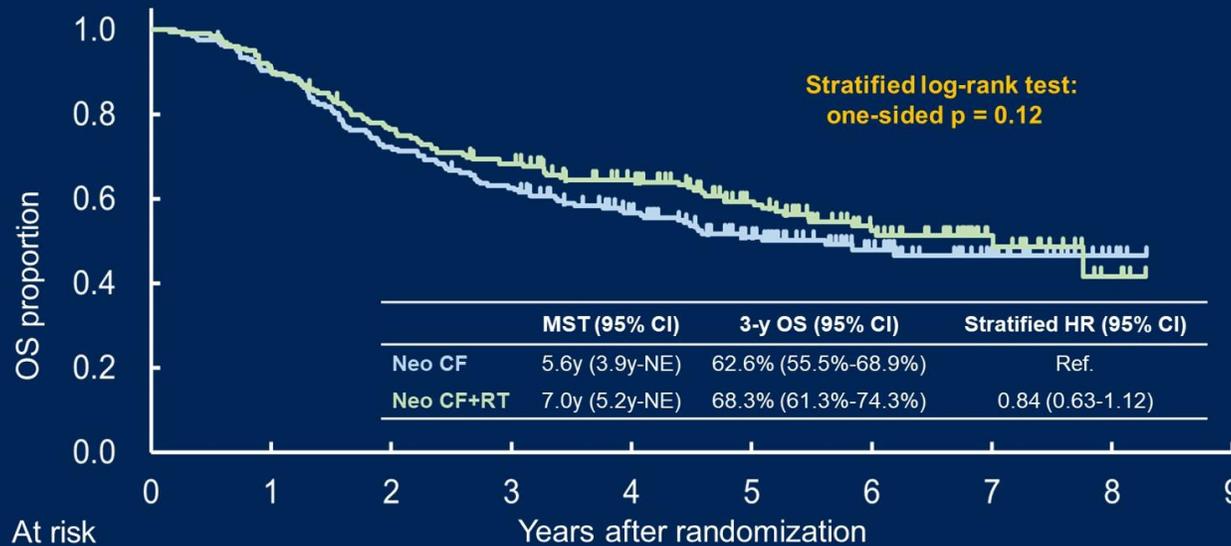
Neoadjuvant CCRT vs. conventional chemotherapy

OS

Neo CF+RT vs. CF

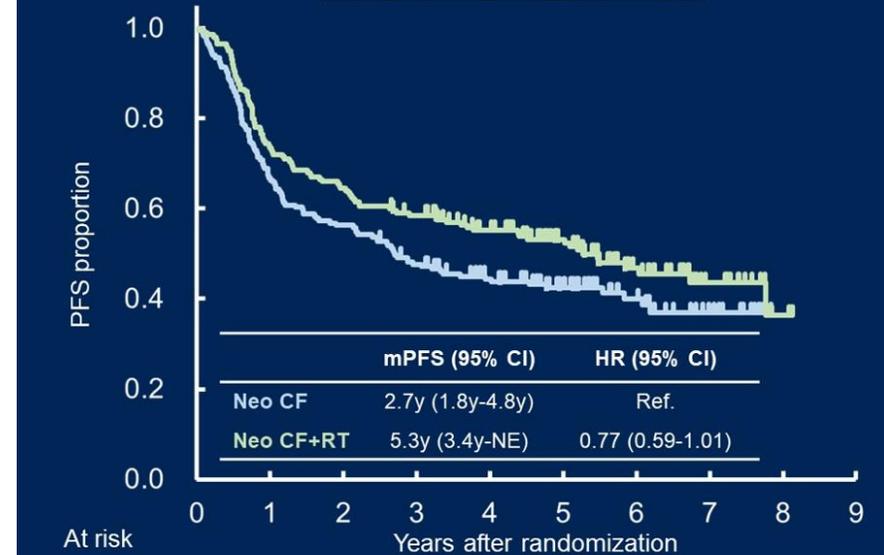
PFS

Overall survival: Neo CF vs Neo CF+RT



| | 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
|-----------|-----|-----|-----|-----|-----|----|----|----|---|---|
| At risk | | | | | | | | | | |
| Neo CF | 199 | 178 | 143 | 123 | 98 | 66 | 38 | 19 | 4 | 0 |
| Neo CF+RT | 200 | 182 | 151 | 133 | 111 | 79 | 47 | 19 | 4 | 0 |

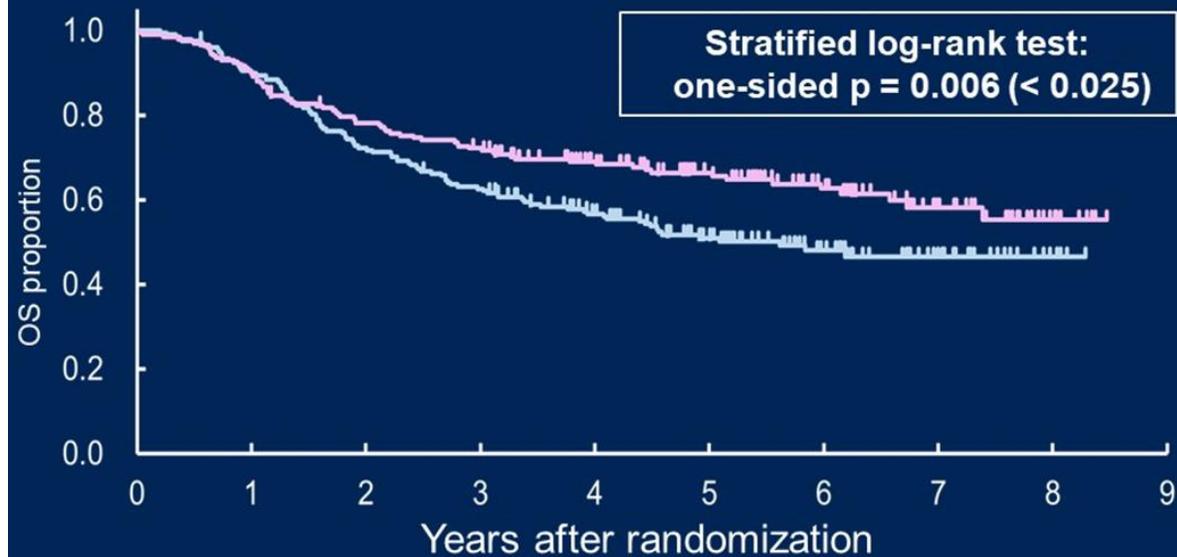
Neo CF vs Neo CF+RT



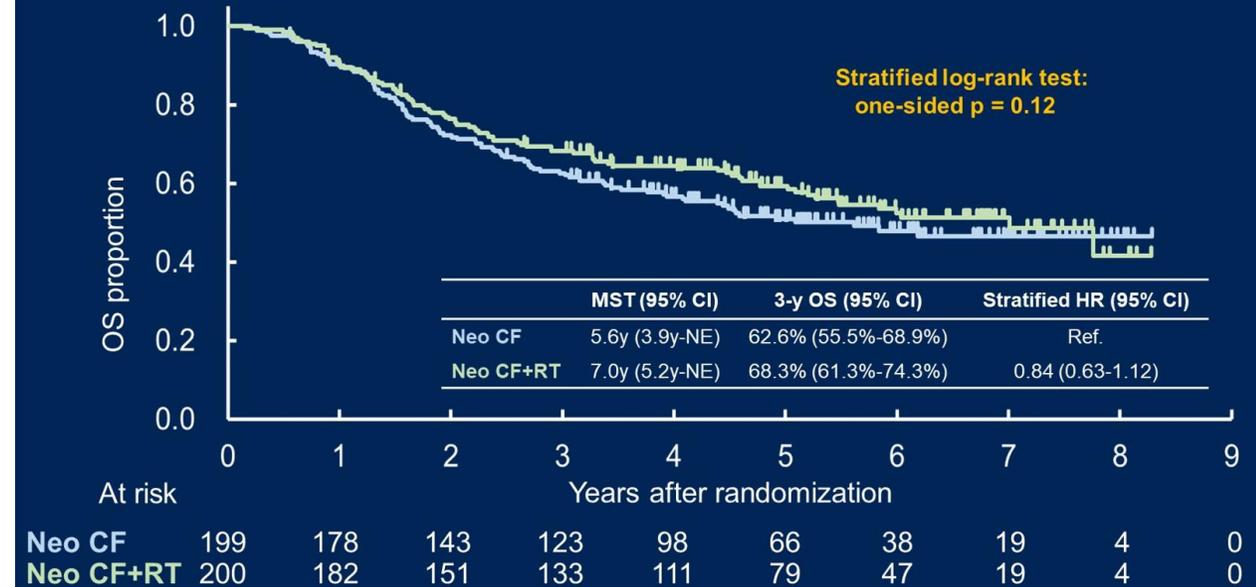
| | 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
|-----------|-----|-----|-----|-----|----|----|----|----|---|---|
| At risk | | | | | | | | | | |
| Neo CF | 199 | 133 | 112 | 93 | 77 | 53 | 30 | 11 | 0 | 0 |
| Neo CF+RT | 200 | 147 | 129 | 114 | 93 | 68 | 36 | 16 | 3 | 0 |

Intense chemo (DCF) vs. CCRT ?

Overall Survival



Overall survival: Neo CF vs Neo CF+RT



| | Median OS | 3-yr OS rates |
|-------------------|-------------|---------------|
| Neoadjuvant DCF | Not reached | 72.1% |
| Neoadjuvant CF+RT | 7.0yr | 68.3% |

JCOG-1109 (NExT study): pCR rates

Pathological outcomes

Patients underwent surgery

| | Neo CF (n=186) | Neo DCF (n=183) | Neo CF+RT (n=177) |
|---|----------------|------------------|-------------------|
| Histologic response of primary site*(%) | | | |
| Grade0 (ineffective) | 13 (7.0) | 8 (4.4) | 4 (2.3) |
| Grade1a (slightly effective a) | 113 (60.8) | 63 (34.4) | 15 (8.5) |
| Grade1b (slightly effective b) | 26 (14.0) | 14 (7.7) | 21 (11.9) |
| Grade2 (moderately effective) | 30 (16.1) | 58 (31.7) | 60 (33.9) |
| Grade3 (No residual tumor) | 4 (2.2) | 40 (21.9) | 77 (43.5) |
| ypStage (UICC-TNM7th) (%) | | | |
| ypStage 0 (pCR) | 4 (2.2) | 34 (18.6) | 65 (36.7) |
| ypStage I | 36 (19.4) | 34 (18.6) | 38 (21.5) |
| ypStage II | 46 (24.7) | 50 (27.3) | 36 (20.3) |
| ypStage III | 83 (44.6) | 48 (26.2) | 26 (14.7) |
| ypStage IV | 17 (9.1) | 17 (9.3) | 12 (6.8) |

*Japanese classification of esophageal cancer 13th edition

Why didn't higher pCR rate translate into longer OS?

R0 resection rates from JCOG-1109 (NExT study)

- Intense systemic treatment is Enough for R0 resection ?

Patients underwent surgery

| | Neo CF (n=188) | Neo DCF (n=185) | Neo CF+RT (n=178) |
|---|--------------------------------|--------------------------------|-------------------------------|
| No. of harvested LN# (median, range) | 58 (24-125) | 59 (19-143) | 49 (11-148) |
| Residual tumor# | | | |
| R0 / R1-2 | 168 (90.3) / 18 (9.7) | 173 (94.5) / 10 (5.5) | 175 (98.9) / 2 (1.1) |

| | Neo DCF (Intense systemic treatment) | Neo CF+RT (Current standard) |
|--------------------------------|---|---------------------------------|
| pCR rates | 18.6% | 36.7% |
| R0 rates | 94.5% | 98.9% |
| Systemic disease control rates | ? | ? |

Toxicities between chemotherapy and CCRT

| Causes of Death | All eligible patients | | |
|-------------------------|-----------------------|-----------------|-------------------|
| | Neo CF (n=193) | Neo DCF (n=199) | Neo CF+RT (n=197) |
| Alive (%) | 98 (50.8) | 126 (63.3) | 110 (55.8) |
| Death (%) | 95 (49.2) | 73 (36.7) | 87 (44.2) |
| Cause of death (%) | | | |
| Esophageal cancer | 73 (76.8) | 59 (80.8) | 55 (63.2) |
| Other disease | 11 (11.6) | 6 (8.2) | 23 (26.4) |
| Treatment related death | 3 (3.2) | 4 (5.5) | 2 (2.3) |
| Others | 2 (2.1) | 3 (4.0) | 0 (0.0) |
| Unknown | 6 (6.3) | 1 (1.3) | 7 (8.1) |

JCOG 1109 vs. CROSS vs. NEOCRTEC5010

| | JCOG1109 Neo DCF | CROSS ChemoRT | NEOCRTEC5010 ChemoRT |
|-------------------------------|---------------------|---------------------|-------------------------|
| EFFICACY | | | |
| OS | NR (6.7-NE) | 82 months | 100.1 months |
| OS Rate at 3 years | 72.1% | 51.2% | 65.8% |
| R0 Resection Rate | 94% | 92% (Adeno and SCC) | 99% |
| Path CR Rate | 18.6% | 49% | 43.2% |
| TOXICITY | | | |
| Grade ≥3 Neutropenia | 85.2% | 2% | 55.7% |
| Grade ≥3 Leukopenia | 63.8% | 6% | 48.8% |
| Grade ≥ 3 Febrile Neutropenia | 16.3% | N/A | N/A |
| Grade ≥3 Anorexia | 21.4% | 5% | 2.2% |

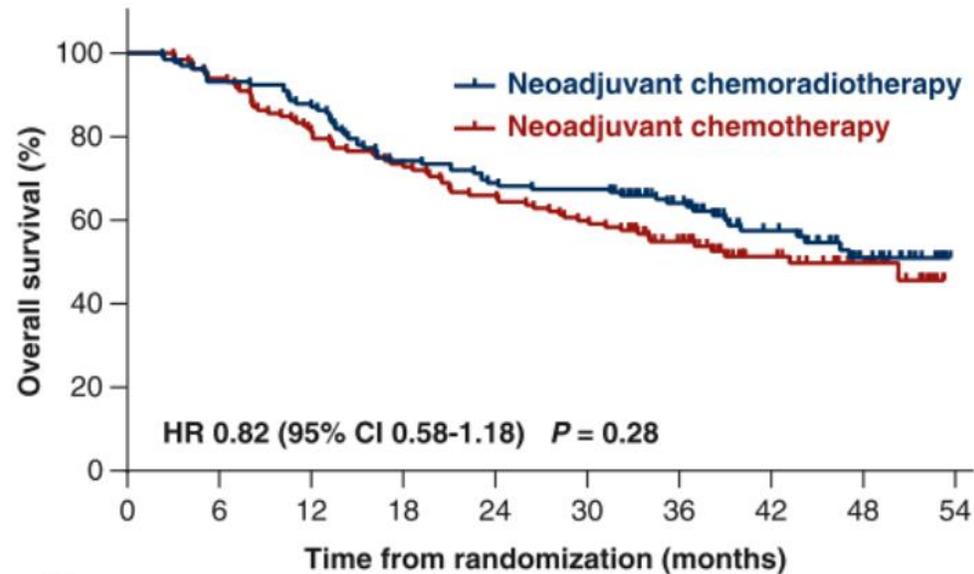
Limitation of this comparison: small # patients in CROSS trial had ESCC and midthorathic tumors.

Neoadjuvant CCRT vs. chemotherapy: Chinese result

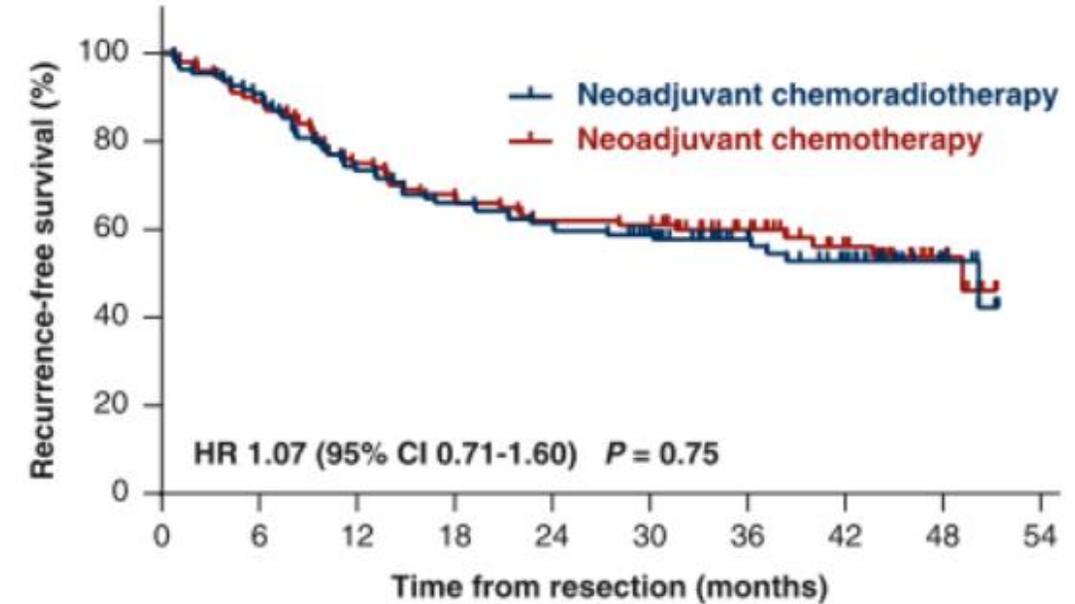
- CMISG1701 study
- Neoadjuvant chemoradiotherapy versus neoadjuvant chemotherapy followed by minimally invasive esophagectomy
- Bulky tumors: cT3-4N0-1
- Neoadjuvant CCRT (CROSS) vs. intense chemotherapy
 - Intense chemotherapy: Two cycles of paclitaxel (175 mg/ m²) and cisplatin (75 mg/m²) q3wks

| Outcome | nCRT group (n = 112), n (%) | nCT group (n = 104), n (%) | P value |
|--|-----------------------------------|----------------------------------|---------|
| R0 resection | 109 (97.3) | 100 (96.2) | 0.921 |
| Histological response of primary tumor | | | <0.001 |
| TRG1 (residual tumor 0%) | 40 (35.7) | 4 (3.8) | |
| TRG2 (residual tumor 1%-10%) | 31 (27.7) | 10 (9.6) | |
| TRG3 (residual tumor 11%-50%) | 19 (17) | 17 (16.3) | |
| TRG4 (residual tumor >50%) | 22 (19.6) | 73 (70.2) | |
| ypT stage | | | <0.001 |
| ypT0 | 40 (35.7) | 4 (3.8) | |
| ypT1 | 17 (15.2) | 15 (14.4) | |
| ypT2 | 23 (20.5) | 23 (22.1) | |
| ypT3 | 22 (19.6) | 48 (46.2) | |
| ypT4 | 10 (8.9) | 14 (13.4) | |
| Lymph nodes involved | | | 0.030 |
| ypN0 | 74 (66.1) | 48 (46.2) | |
| ypN1 | 26 (23.2) | 36 (34.6) | |
| ypN2 | 9 (8.0) | 14 (13.5) | |
| ypN3 | 3 (2.7) | 6 (5.8) | |
| LVI + PNI | | | 0.004 |
| Negative | 100 (89.3) | 77 (74) | |
| Positive | 12 (10.7) | 27 (26) | |
| Lymph node harvested, median | 20 | 24 | 0.001 |
| ypStage | | | <0.001 |
| ypStage I | 58 (51.8) | 21 (20.2) | |
| Including ypTONOM0, pCR | 31 (27.7) | 3 (5.3) | <0.001 |
| ypStage II | 11 (9.8) | 21 (20.2) | |
| ypStage III | 34 (30.4) | 49 (47.1) | |
| ypStage IV | 9 (8.0) | 13 (12.5) | |
| ypTON+M0 | 9 (8.0) | 1 (0.96) | 0.013 |

Neoadjuvant CCRT vs. chemotherapy: Chinese result OS and PFS



| Number at risk | | 0 | 6 | 12 | 18 | 24 | 30 | 36 | 42 | 48 | 54 |
|-------------------------------|-----|-----|-----|----|----|----|----|----|----|----|----|
| Neoadjuvant chemoradiotherapy | 132 | 123 | 116 | 98 | 91 | 89 | 70 | 43 | 22 | 0 | |
| Neoadjuvant chemotherapy | 132 | 124 | 107 | 96 | 87 | 79 | 56 | 34 | 20 | 0 | |



| Number at risk | | 0 | 6 | 12 | 18 | 24 | 30 | 36 | 42 | 48 | 54 |
|-------------------------------|-----|----|----|----|----|----|----|----|----|----|----|
| Neoadjuvant chemoradiotherapy | 109 | 99 | 80 | 72 | 67 | 59 | 39 | 26 | 10 | 0 | |
| Neoadjuvant chemotherapy | 100 | 89 | 75 | 67 | 62 | 61 | 40 | 25 | 9 | 0 | |

Endpoint of preoperative treatment

- pCR
 - Surrogate marker for local control
 - Reflect the good systemic control ?
 - Is associated with
 - Decreased recurrence
 - Prolonged survival
 - Improved prognosis
- Distant recurrence
 - Need systemic control
- Safety



The possible role of
Immunotherapy

Lesson from metastatic setting

- Response rates of ICI+chemo vs. chemo alone among the first line setting

| Trial | Immunotherapy | Chemo backbone | ORR (ICI+chemo) | ORR (Chemo Alone) | CR (ICI+Chemo) | CR (Chemo Alone) |
|---------------|----------------------------|------------------------------|-----------------|-------------------|----------------|------------------|
| KEYNOTE-590 | Pembrolizumab | 5-FU+Cisplatin | 45% | 29% | 5% | 3% |
| CHECKMATE-648 | Nivolumab | 5-FU+Cisplatin | 53% | 20% | 6% | 3% |
| ESCORT-1st | Camrelizumab | Paclitaxel+Cisplatin | 72% | 62% | 5% | 2% |
| ORIENT-15 | Sintilimab | Paclitaxel+Cisplatin | 64% | 52% | 7% | 3% |
| JUPITER-06 | Toripalimab | Paclitaxel+Cisplatin | 69% | 52% | 4.5% | 2.6% |
| RATIONALE 306 | Tislelizumab | Paclitaxel or 5-FU+Cisplatin | 63% | 42% | 8% | 2% |
| SKYSCRAPER-08 | Tiragolumab + Atezolizumab | 5-FU+Cisplatin | 45% | 27% | 5% | 3% |

Chemotherapy and Immunotherapy: Friends or Foes?

- Foes with immunotherapy ?
 - Chemotherapy
 - Dose-dependent myelosuppression.
 - Immunosuppressive.
 - Sometimes, used to treat autoimmune diseases or to prevent transplant rejection.
 - Suggesting an antagonistic effect with immunotherapy.
- Friends with immunotherapy ?
 - Chemotherapy
 - The ability to debulk the BULKY tumor mass
 - Decreasing the number of tumor cells that should need to be eliminated by immune cells
 - Reducing the immunosuppressive factors produced by cancer cells

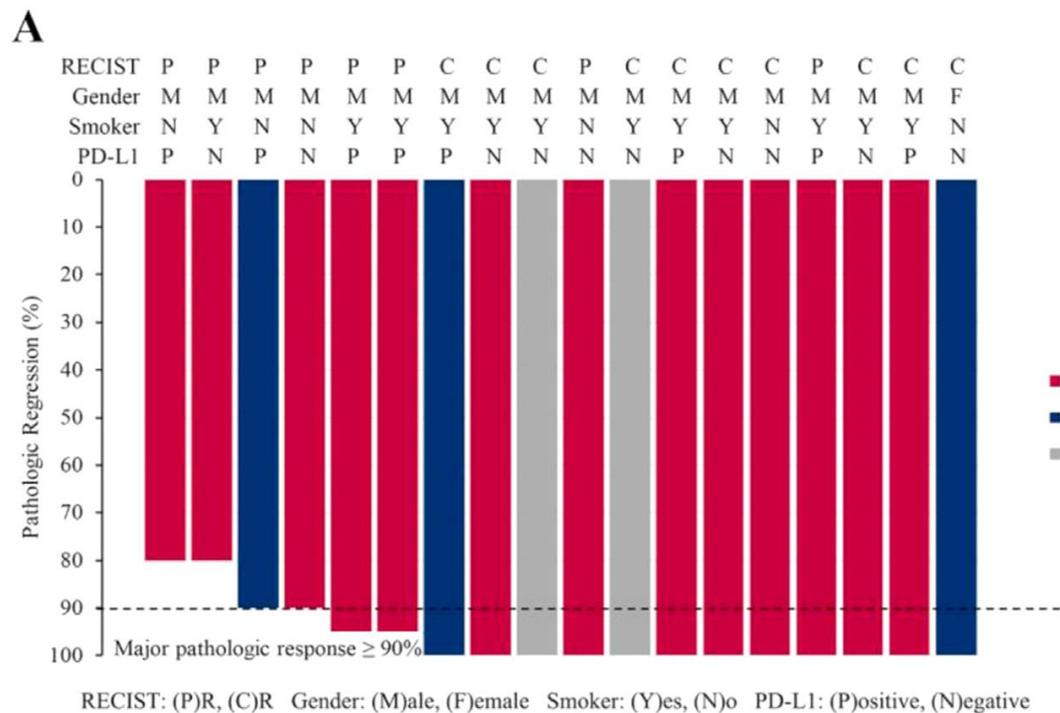
Current status of neoadjuvant immunotherapy

Neoadjuvant RT combination

| Trial | Phase | # Patients | Pathology | Clinical Stage | Immune Checkpoint Inhibitor | Immune Target | Chemotherapeutic Agents | Radiotherapy | Primary Endpoint | Pathologic Complete Response (pCR) | Safety-Grade \geq 3 AE | Trial | Phase | # Patients | Pathology | Clinical Stage | Immune Checkpoint Inhibitor | Immune Target | Chemotherapeutic Agents | Radiotherapy | Primary Endpoint | Pathologic Complete Response (pCR) | Safety-Grade \geq 3 AE |
|----------------|-------------|------------|-----------|----------------|-----------------------------|---------------|---|------------------------|---------------------------------|------------------------------------|--------------------------|-------------------|-------|------------|-----------|----------------|--|---------------|--------------------------------------|--------------|--------------------------|------------------------------------|----------------------------------|
| PALACE-1 [21] | Ib | 20 | ESCC | II-IVA | Pembrolizumab | PD-1 | Carboplatin, Paclitaxel | 23 fractions of 1.8 Gy | Safety | 55.60% | 65% | NIC-ESCC2019 [30] | II | 56 | ESCC | II-IVA | Camrelizumab | PD-1 | Nab-paclitaxel, cisplatin | N/A | pCR | 13.70% | 10.70% |
| PERFECT [22] | II | 40 | EAC | II-IVA | Atezolizumab | PD-L1 | Carboplatin, Paclitaxel | 23 fractions of 1.8 Gy | Feasibility | 40% | 30% | Shen et al. [24] | II | 28 | ESCC | II-IVA | Nivolumab, Pembrolizumab, Camrelizumab | PD-1 | Nab-paclitaxel, Carboplatin | N/A | Safety, Feasibility | 40.70% | 7.10% |
| ESONICT-1 [26] | II | 30 | ESCC | III-IV | Sintilimab | PD-1 | Cisplatin, Albumin-bound paclitaxel | N/A | pCR, AEs | 21.70% | 3% | Yang et al. [25] | Pilot | 16 | ESCC | II-IVA | Camrelizumab | PD-1 | Paclitaxel, Carboplatin | N/A | pCR | 31.30% | N/A (only mild and tolerable AE) |
| ESONICT-2 [29] | II | 20 | ESCC | III-IVA | Toripalimab | PD-1 | Cisplatin, Docetaxel | N/A | pCR, AEs | 16.70% | 20% | Xing et al. [31] | II | 30 | ESCC | II-IVA | Toripalimab | PD-1 | Paclitaxel, Cisplatin | N/A | pCR | 36% | 6.67% |
| SIN-ICE [23] | Pilot Study | 23 | ESCC | II-IVA | Sintilimab | PD-1 | Docetaxel/ Albumin-bound paclitaxel, Nedaplatin | N/A | pCR, safety | 35.30% | 30.40% | Yang et al. [32] | Pilot | 23 | ESCC | II-III | Camrelizumab | PD-1 | Nab-paclitaxel, Carboplatin | N/A | Safety, Feasibility | 25% | 47.80% |
| PEN-ICE [27] | II | 18 | ESCC | II-IVA | Pembrolizumab | PD-1 | Platinum-based two drug | N/A | Safety, Efficacy | 46.20% | 27.80% | He et al. [20] | II | 20 | ESCC | III-IVA | Toripalimab | PD-1 | Paclitaxel, Carboplatin | N/A | Safety, Feasibility, MPR | 18.80% | 20% |
| TD-NICE [28] | II | 45 | ESCC | II-IVA | Tislelizumab | PD-1 | Nab-paclitaxel, Carboplatin | N/A | Major Pathologic Response (MPR) | 50% | 42.20% | Liu et al. [33] | II | 60 | ESCC | III-IVA | Camrelizumab | PD-1 | Nab-paclitaxel, Carboplatin | N/A | pCR | 39.20% | 56.70% |
| | | | | | | | | | | | | Wang et al. [34] | Ib | 30 | ESCC | II-III | Camrelizumab | PD-1 | Nab-paclitaxel, nedaplatin, apatinib | N/A | Safety | 24.10% | 36.70% |

PALACE-1

- Locally advanced ESCC, N=20
- Phase 1b, primary endpoint: safety
- Pembrolizumab+paclitaxel+carboplatin+RT
- Paclitaxel/carboplatin: CROSS regimen



pCR: 55%

Adverse events during neoadjuvant pembrolizumab plus chemo-radiotherapy and after surgery.

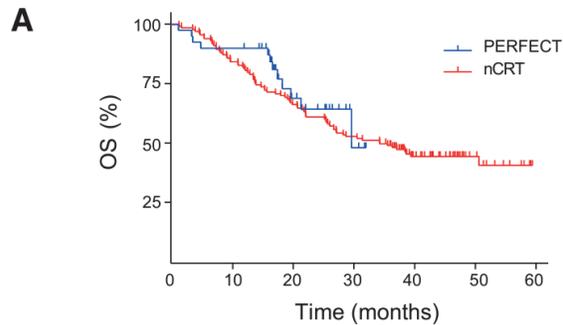
| Events | No. (%) |
|--|---------|
| Postoperative events (N=18)—no. of patients (%) | |
| Pneumonia | 4 (22) |
| Atelectasis | 4 (22) |
| Pleural effusion | 3 (17) |
| Pneumothorax | 1 (6) |
| Anastomotic leakage | 1 (6) |
| Gastrointestinal fistula | 1 (6) |
| Wound infection | 1 (6) |
| Hoarseness | 4 (22) |
| Dysphagia | 1 (6) |
| Postoperative intrathoracic haemorrhage | 1 (6) |

| Events of any grade during neoadjuvant therapy (N=20)—no. of patients (%) | |
|--|----------|
| Leukopenia | 20 (100) |
| Decreased neutrophil count | 9 (45) |
| Lymphopenia | 20 (100) |
| Anaemia | 16 (80) |
| Decreased platelet count | 1 (5) |
| Dermatitis | 1 (5) |
| Pneumonitis | 4 (20) |
| Alopecia | 11 (55) |
| Anorexia | 9 (45) |
| Constipation | 4 (20) |
| Diarrhoea | 2 (10) |
| Fatigue | 11 (55) |
| Nausea | 8 (40) |
| Vomiting | 3 (15) |
| Oesophageal haemorrhage | 2 (10) |
| Esophagitis | 11 (55) |

| Events of grade ≥ 3 during neoadjuvant therapy (N=20)—no. of patients (%) | |
|--|---------|
| Leukopenia | 2 (10) |
| Decreased neutrophil count | 1 (5) |
| Lymphopenia | 12 (60) |
| Oesophageal haemorrhage | 1 (5) |

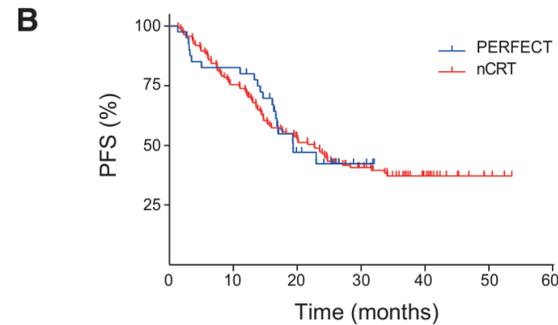
PERFECT

- Locally advanced ESCC, N=40
- Phase 2, primary endpoint: feasibility
- Atezolizumab+paclitaxel+carboplatin+RT
- Paclitaxel/carboplatin: CROSS regimen



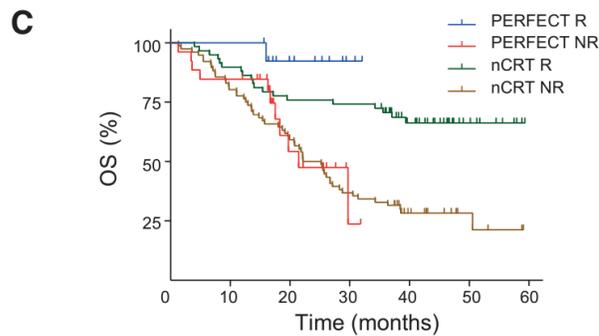
No. at risk:
PERFECT
nCRT

| | | | | |
|---------|-----|-----|----|----|
| | 40 | 37 | 17 | 4 |
| PERFECT | | | | |
| nCRT | 134 | 114 | 90 | 72 |



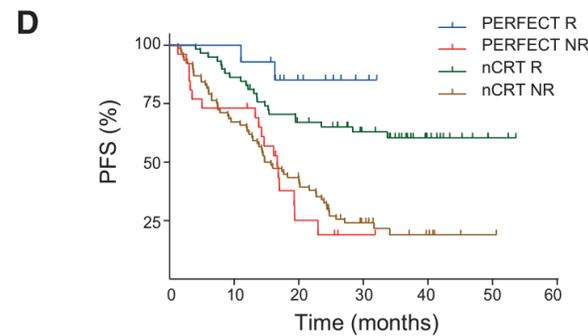
No. at risk:
PERFECT
nCRT

| | | | | |
|---------|-----|-----|----|----|
| | 40 | 34 | 12 | 4 |
| PERFECT | | | | |
| nCRT | 134 | 102 | 70 | 41 |



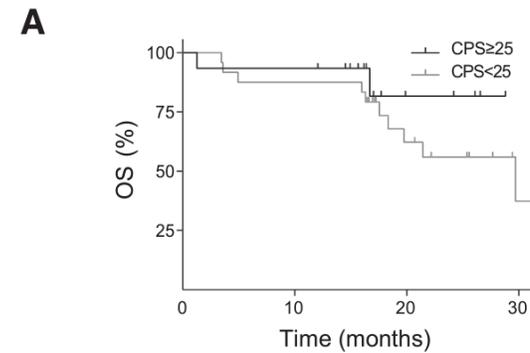
No. at risk:
PERFECT R
PERFECT NR
nCRT R
nCRT NR

| | | | | |
|------------|----|----|----|----|
| | 14 | 14 | 9 | 3 |
| PERFECT R | | | | |
| PERFECT NR | 26 | 23 | 9 | 2 |
| nCRT R | 58 | 53 | 45 | 44 |
| nCRT NR | 76 | 62 | 46 | 29 |



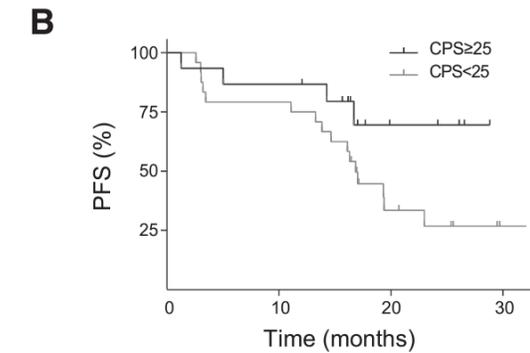
No. at risk:
PERFECT R
PERFECT NR
nCRT R
nCRT NR

| | | | | |
|------------|----|----|----|----|
| | 14 | 14 | 8 | 3 |
| PERFECT R | | | | |
| PERFECT NR | 26 | 20 | 5 | 2 |
| nCRT R | 58 | 51 | 38 | 27 |
| nCRT NR | 76 | 52 | 33 | 15 |



No. at risk:
CPS ≥ 25
CPS < 25

| | | | | |
|----------|----|----|----|---|
| | 15 | 15 | 5 | 0 |
| CPS ≥ 25 | | | | |
| CPS < 25 | 24 | 22 | 12 | 3 |



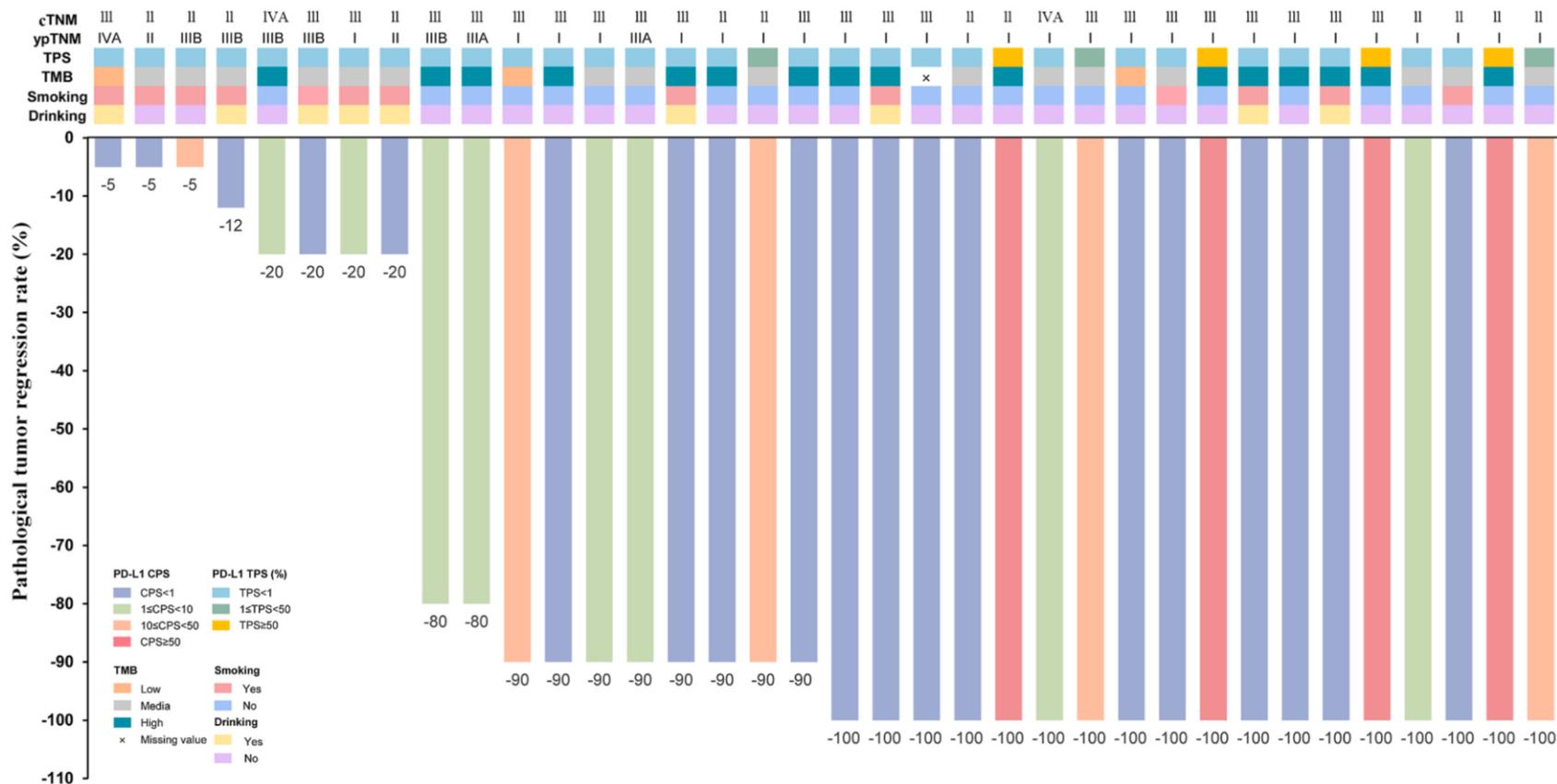
No. at risk:
CPS ≥ 25
CPS < 25

| | | | | |
|----------|----|----|---|---|
| | 15 | 14 | 5 | 0 |
| CPS ≥ 25 | | | | |
| CPS < 25 | 24 | 20 | 7 | 3 |

pCR: 30%

TD-NICE

- Locally advanced ESCC, N=45
- Phase 2, primary endpoint: Major pathologic response
- Tislelizumab+nab-paclitaxel+carboplatin
- Nab-Paclitaxel/carboplatin: not CROSS regimen (paclitaxel 260mg/m². carboplatin AUC 5)

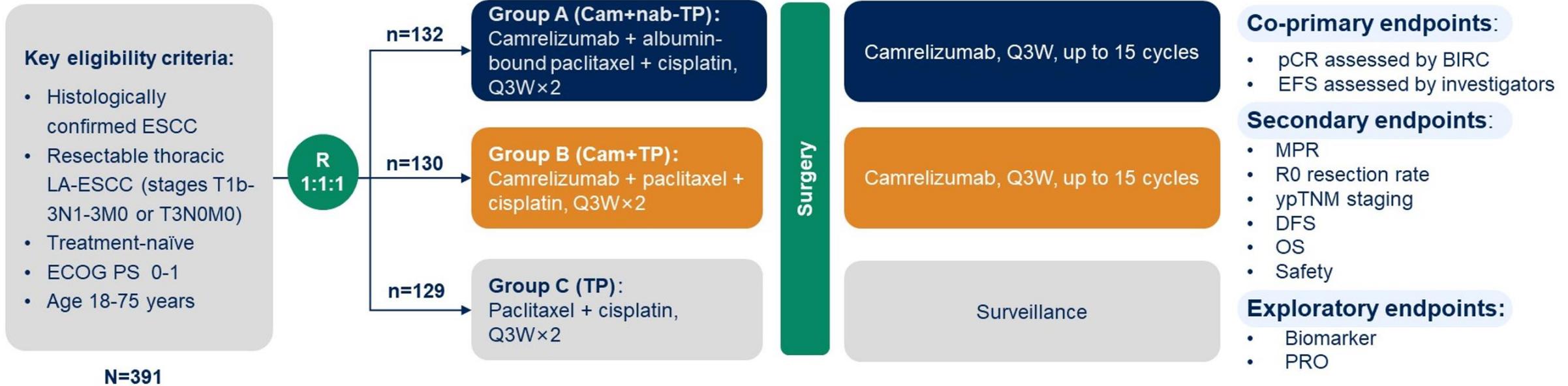


pCR: 50%

ESCORT-NEO/NCCESOIJ

Study design

A randomized, multi-center, open-label phase III trial (ChiCTR2000040034)



Stratification factors:

Stages: I-II vs III vs IVA

Regimens:

- Albumin-bound paclitaxel: 125 mg/m², IV, D1 and D8, Q3W
- Paclitaxel: 175 mg/m², IV, D1, Q3W
- Cisplatin: 75 mg/m², IV, D1, Q3W
- Camrelizumab: 200 mg, IV, D1, Q3W

Baseline characteristics in ITT population

| | Group A: Cam+nab-TP (n=132) | Group B: Cam+TP (n=130) | Group C: TP (n=129) |
|------------------------------|-----------------------------------|-------------------------------|---------------------------|
| Age (years) | | | |
| <65 | 74 (56.1) | 79 (60.8) | 63 (48.8) |
| ≥65 | 58 (43.9) | 51 (39.2) | 66 (51.2) |
| Median (range) | 63 (45-75) | 63 (44-75) | 65 (44-75) |
| Sex, n (%) | | | |
| Male | 116 (87.9) | 112 (86.2) | 104 (80.6) |
| Female | 16 (12.1) | 18 (13.8) | 25 (19.4) |
| ECOG PS, n (%) | | | |
| 0 | 105 (79.5) | 106 (81.5) | 104 (80.6) |
| 1 | 27 (20.5) | 24 (18.5) | 25 (19.4) |
| Tumor location, n (%) | | | |
| Upper | 10 (7.6) | 12 (9.2) | 19 (14.7) |
| Middle | 69 (52.3) | 75 (57.7) | 57 (44.2) |
| Lower | 53 (40.2) | 43 (33.1) | 53 (41.1) |
| T stage, n (%) | | | |
| T1b | 3 (2.3) | 1 (0.8) | 2 (1.6) |
| T2 | 15 (11.4) | 13 (10.0) | 19 (14.7) |
| T3 | 114 (86.4) | 116 (89.2) | 108 (83.7) |

| | Group A: Cam+nab-TP (n=132) | Group B: Cam+TP (n=130) | Group C: TP (n=129) |
|------------------------------|-----------------------------------|-------------------------------|---------------------------|
| N stage, n (%) | | | |
| N0 | 20 (15.2) | 24 (18.5) | 20 (15.5) |
| N1 | 71 (53.8) | 71 (54.6) | 73 (56.6) |
| N2 | 38 (28.8) | 33 (25.4) | 35 (27.1) |
| N3 | 3 (2.3) | 2 (1.5) | 1 (0.8) |
| Clinical stage, n (%) | | | |
| I/II | 34 (25.8) | 35 (26.9) | 37 (28.7) |
| III | 95 (72.0) | 93 (71.5) | 91 (70.5) |
| IVA | 3 (2.3) | 2 (1.5) | 1 (0.8) |
| PD-L1 TPS, n (%) | | | |
| <1% | 43 (32.6) | 59 (45.4) | 49 (38.0) |
| ≥1% | 78 (59.1) | 61 (46.9) | 62 (48.1) |
| <10% | 99 (75.0) | 98 (75.4) | 97 (75.2) |
| ≥10% | 22 (16.7) | 22 (16.9) | 14 (10.9) |
| Unknown | 11 (8.3) | 10 (7.7) | 18 (14.0) |
| PD-L1 CPS, n (%) | | | |
| <1 | 14 (10.6) | 18 (13.8) | 15 (11.6) |
| ≥1 | 109 (82.6) | 102 (78.5) | 96 (74.4) |
| <10 | 68 (51.5) | 80 (61.5) | 72 (55.8) |
| ≥10 | 55 (41.7) | 40 (30.8) | 39 (30.2) |
| Unknown | 9 (6.8) | 10 (7.7) | 18 (14.0) |

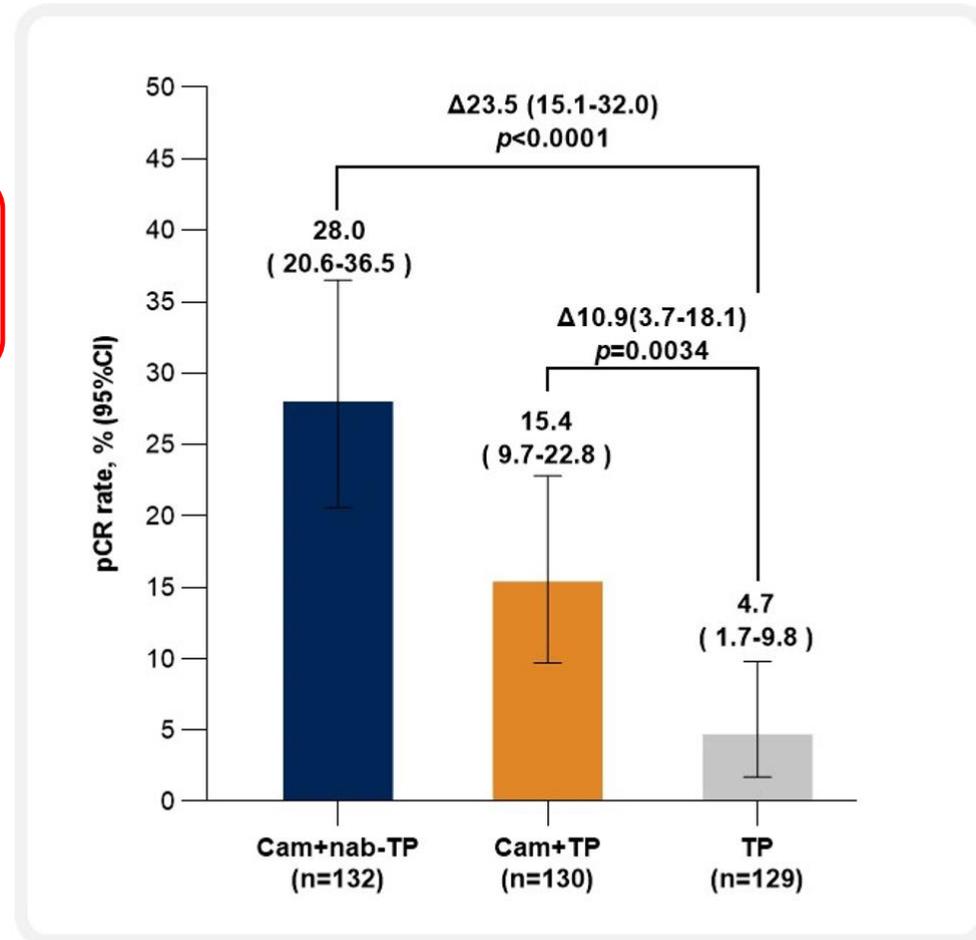
Primary endpoint: pCR rate assessed by BIRC in ITT population

| | Group A: Cam+nab-TP (n=132) | Group B: Cam+TP (n=130) | Group C: TP (n=129) |
|--|-----------------------------------|-------------------------------|---------------------------|
| pCR rate, % (95%CI) ^a | 28.0 (20.6, 36.5) | 15.4 (9.7, 22.8) | 4.7 (1.7, 9.8) |
| Difference (vs. Group C), % (95%CI) ^b | 23.5 (15.1, 32.0) | 10.9 (3.7, 18.1) | |
| OR (vs. Group C) (95%CI) ^b | 8.11 (3.28, 20.06) | 3.81 (1.48, 9.80) | |
| p value (vs. Group C) ^c | <0.0001 | 0.0034 | |

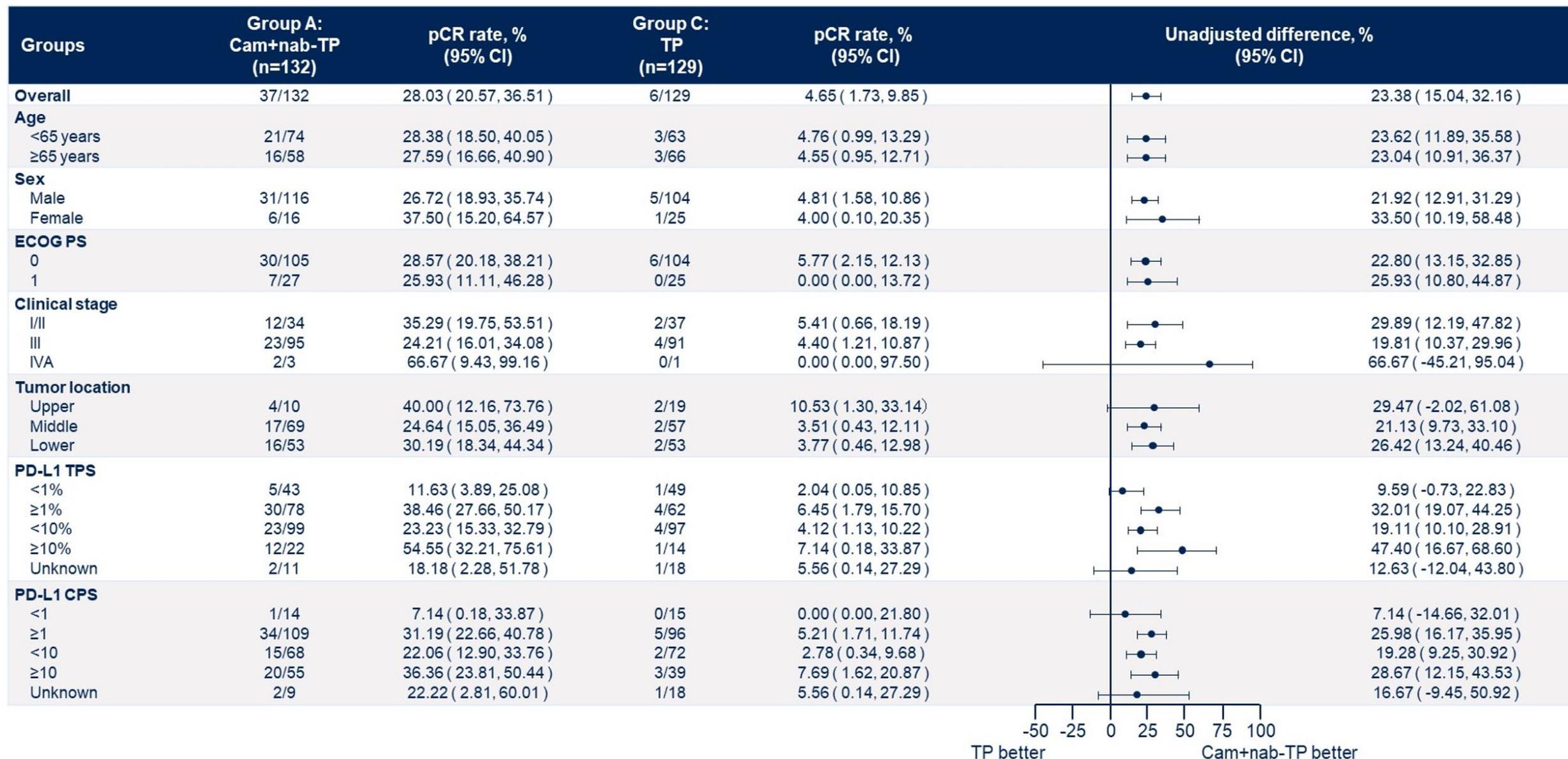
a 95%CI were calculated based on the Clopper-Pearson method.

b 95%CI for the stratification factor-adjusted rate differences were derived using the Mantel-Haenszel method.

c The CMH test, stratified by clinical staging (stage I/II vs. III/IVA), was used to compare between groups.



Subgroup analysis of pCR (Cam+nab-TP vs. TP)



MPR & pathological regression in primary tumor by BIRC

| | Group A: Cam+nab-TP | Group B: Cam+TP | Group C: TP |
|--|---------------------|-------------------|-------------------|
| ITT population | n=132 | n=130 | n=129 |
| MPR rate, % (95%CI) ^a | 59.1 (50.2, 67.6) | 36.2 (27.9, 45.0) | 20.9 (14.3, 29.0) |
| Difference (vs. Group C), % (95%CI) ^b | 38.3 (27.4, 49.3) | 15.4 (4.7, 26.2) | |
| OR (vs. Group C) (95%CI) ^b | 5.51 (3.18, 9.56) | 2.19 (1.25, 3.84) | |
| Tumor regression grade (Mandard criteria) in primary tumor, n (%) | n=114 | n=116 | n=103 |
| TRG 1 | 47 (41.2) | 23 (19.8) | 7 (6.8) |
| TRG 2 | 24 (21.1) | 21 (18.1) | 12 (11.7) |
| TRG 3 | 30 (26.3) | 36 (31.0) | 32 (31.1) |
| TRG 4 | 13 (11.4) | 34 (29.3) | 47 (45.6) |
| TRG 5 | 0 | 2 (1.7) | 5 (4.9) |

a 95%CI were calculated based on the Clopper-Pearson method.

b 95%CI for the stratification factor-adjusted rate differences were derived using the Mantel-Haenszel method.

Surgery summary

| | Group A: Cam+nab-TP (n=114) | Group B: Cam+TP (n=116) | Group C: TP (n=103) |
|--|-----------------------------------|-------------------------------|---------------------------|
| Definitive surgery rate (%)^a | 86.4 (114/132) | 89.2 (116/130) | 79.8 (103/129) |
| Types of surgical procedures, n (%) | | | |
| McKeown | 107 (93.9) | 106 (91.4) | 95 (92.2) |
| Ivor-Lewis | 6 (5.3) | 10 (8.6) | 7 (6.8) |
| Sweet | 1 (0.9) | 0 | 0 |
| Other | 0 | 0 | 1 (1.0) |
| Lymph node dissection extent, n (%) | | | |
| Total two-field | 97 (85.1) | 100 (86.2) | 82 (79.6) |
| Extended two-field | 1 (0.9) | 1 (0.9) | 2 (1.9) |
| Standard two-field | 1 (0.9) | 0 | 0 |
| Three-field | 15 (13.2) | 15 (12.9) | 19 (18.4) |

| | Group A: Cam+nab-TP (n=114) | Group B: Cam+TP (n=116) | Group C: TP (n=103) |
|--|-----------------------------------|-------------------------------|---------------------------|
| Duration of surgery (hours) | | | |
| Median (range) | 4.3 (2.6-8.9) | 4.2 (2.8-7.2) | 4.2 (2.9-10.8) |
| Margin status, n (%) | | | |
| R0 | 113 (99.1) | 111 (95.7) | 95 (92.2) |
| R1 | 1 (0.9) | 4 (3.4) | 6 (5.8) |
| R2 | 0 | 1 (0.9) | 2 (1.9) |
| Reoperations^b, n (%) | 0 | 1 (0.9) | 1 (1.0) |
| Mortality within 30 days^c, n (%) | 1 (0.9) | 2 (1.7) | 1 (1.0) |
| Mortality within 90 days^d, n (%) | 2 (1.8) | 2 (1.7) | 1 (1.0) |

a Based on ITT population

b Two patients underwent reoperation: Group B: adhesive intestinal obstruction; Group C: anastomotic leak.

c Mortality within 30 days included: Group A: sudden postoperative death, cause unknown; Group B: both septic shock; Group C: myocardial infarction.

d Mortality within 90 days included mortality within 30 days, with one more death in Group A: severe pneumonia.

Surgical complications in >1 patient

| Events ^a , n (%) | Group A: Cam+nab-TP (n=114) | | Group B: Cam+TP (n=116) | | Group C: TP (n=103) | |
|----------------------------------|--------------------------------|----------------|----------------------------|------------------|------------------------|----------------|
| | Any grade | Grade ≥3 | Any grade | Grade ≥3 | Any grade | Grade ≥3 |
| Any events | 39 (34.2) | 7 (6.1) | 45 (38.8) | 14 (12.1) | 33 (32.0) | 7 (6.8) |
| Pneumonia | 12 (10.5) | 0 | 21 (18.1) | 1 (0.9) | 15 (14.6) | 2 (1.9) |
| Recurrent laryngeal nerve injury | 11 (9.6) | 0 | 11 (9.5) | 1 (0.9) | 9 (8.7) | 1 (1.0) |
| Dysrhythmia | 7 (6.1) | 0 | 2 (1.7) | 0 | 3 (2.9) | 0 |
| Pleural effusion | 3 (2.6) | 3 (2.6) | 12 (10.3) | 7 (6.0) | 7 (6.8) | 3 (2.9) |
| Anastomotic leak | 3 (2.6) | 1 (0.9) | 5 (4.3) | 2 (1.7) | 6 (5.8) | 1 (1.0) |
| Conduit necrosis | 2 (1.8) | 0 | 1 (0.9) | 0 | 1 (1.0) | 0 |
| Respiratory failure | 1 (0.9) | 1 (0.9) | 0 | 0 | 1 (1.0) | 1 (1.0) |
| Intrathoracic abscess | 1 (0.9) | 1 (0.9) | 0 | 0 | 1 (1.0) | 0 |
| Delirium | 1 (0.9) | 0 | 0 | 0 | 1 (1.0) | 0 |
| Septic shock | 0 | 0 | 3 (2.6) | 3 (2.6) | 0 | 0 |
| Chylous leak | 0 | 0 | 0 | 0 | 2 (1.9) | 0 |
| Atelectasis | 0 | 0 | 1 (0.9) | 0 | 1 (1.0) | 1 (1.0) |
| Delayed conduit emptying | 0 | 0 | 0 | 0 | 2 (1.9) | 1 (1.0) |

^a Based on Clavien-Dindo classification

Summary of preoperative AEs

| Events ^a , n (%) | Group A: Cam+nab-TP (n=132) | Group B: Cam+TP (n=130) | Group C: TP (n=125) |
|--|--------------------------------|----------------------------|------------------------|
| TEAE | 125 (94.7) | 118 (90.8) | 108 (86.4) |
| Grade ≥3 TEAE | 46 (34.8) | 41 (31.5) | 37 (29.6) |
| TEAE leading to camrelizumab discontinuation | 1 (0.8) | 1 (0.8) | - |
| TEAE leading to chemotherapy discontinuation | 4 (3.0) | 5 (3.8) | 1 (0.8) |
| TEAE leading to death | 0 | 1 (0.8) | 0 |
| TRAE | 124 (93.9) | 108 (83.1) | 104 (83.2) |
| Grade ≥3 TRAE | 45 (34.1) | 38 (29.2) | 36 (28.8) |
| TRAE leading to camrelizumab discontinuation | 1 (0.8) ^b | 1 (0.8) ^c | - |
| TRAE leading to chemotherapy discontinuation | 4 (3.0) | 5 (3.8) | 1 (0.8) |
| TRAE leading to death | 0 | 1 (0.8) ^c | 0 |
| SAE | 10 (7.6) | 12 (9.2) | 7 (5.6) |
| irAE | 36 (27.3) | 32 (24.6) | 0 |
| Grade ≥3 irAE | 6 (4.5) | 5 (3.8) | 0 |

a Based on CTCAE version 5.0; b Preoperative acute kidney injury; c Subacute hepatic failure.

Ongoing phase III studies of perioperative immune checkpoint inhibitor therapy

| Trial | ICI therapy | Histology | Patients, n | Neoadjuvant therapy | Adjuvant therapy | Primary end point |
|---|---------------|-----------|-------------|--|------------------------|-------------------|
| Adjuvant NCT05495152 | Sintilimab | SCC | 219 | None | Sintilimab observation | DFS |
| Neoadjuvant NCT04848753 | Toripalimab | SCC | 632 | Cisplatin + paclitaxel + toripalimab Cisplatin + paclitaxel | None | EFS |
| NCT05213312 | Nivolumab | SCC | 90 | Cisplatin + paclitaxel or cisplatin + 5-fluorouracil + nivolumab Cisplatin + paclitaxel or cisplatin + 5-fluorouracil | None | pCR |
| NCT04973306 | Tislelizumab | SCC | 176 | Carboplatin + paclitaxel + tislelizumab + radiotherapy Carboplatin + paclitaxel + radiotherapy | None | pCR |
| NCT05357846 | Sintilimab | SCC | 422 | Cisplatin + paclitaxel + sintilimab + radiotherapy Cisplatin + paclitaxel + radiotherapy | None | OS |
| NCT05244798 | Sintilimab | SCC | 420 | Carboplatin + nab-paclitaxel + sintilimab Carboplatin + nab-paclitaxel + sintilimab + radiotherapy Carboplatin + nab-paclitaxel + radiotherapy | None | pCR |
| Perioperative therapy NCT04280822 | Toripalimab | SCC | 400 | Cisplatin + paclitaxel + tislelizumab Cisplatin + paclitaxel | Tislelizumab None | EFS |
| NCT04807673 | Pembrolizumab | SCC | 342 | Cisplatin + paclitaxel + pembrolizumab Cisplatin + paclitaxel + radiotherapy | Pembrolizumab None | EFS |

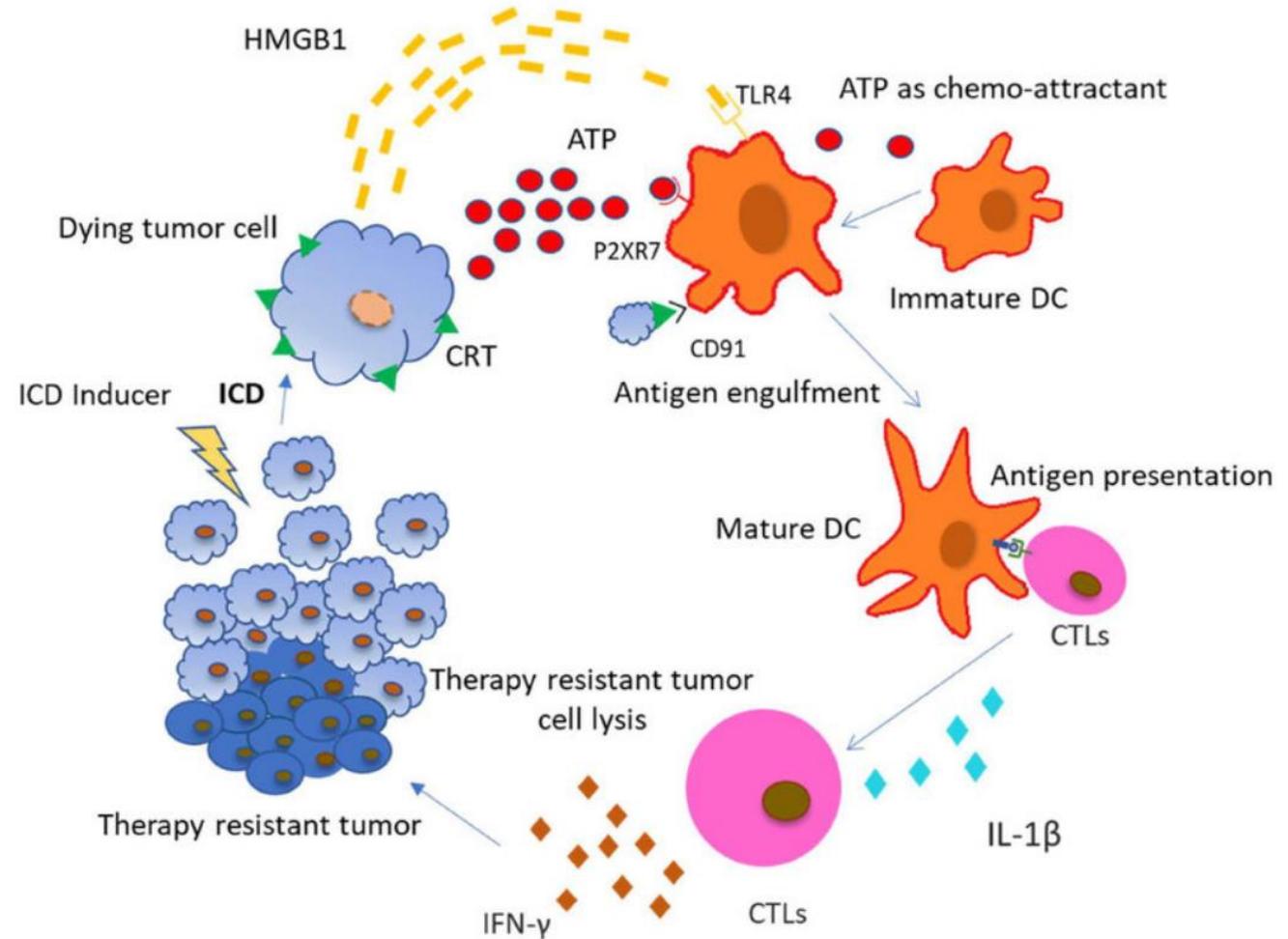
DFS: Disease-free survival; EFS: Event-free survival; OS: Overall survival; pCR: Pathological complete response; SCC: Squamous cell carcinoma.

Current challenging issue

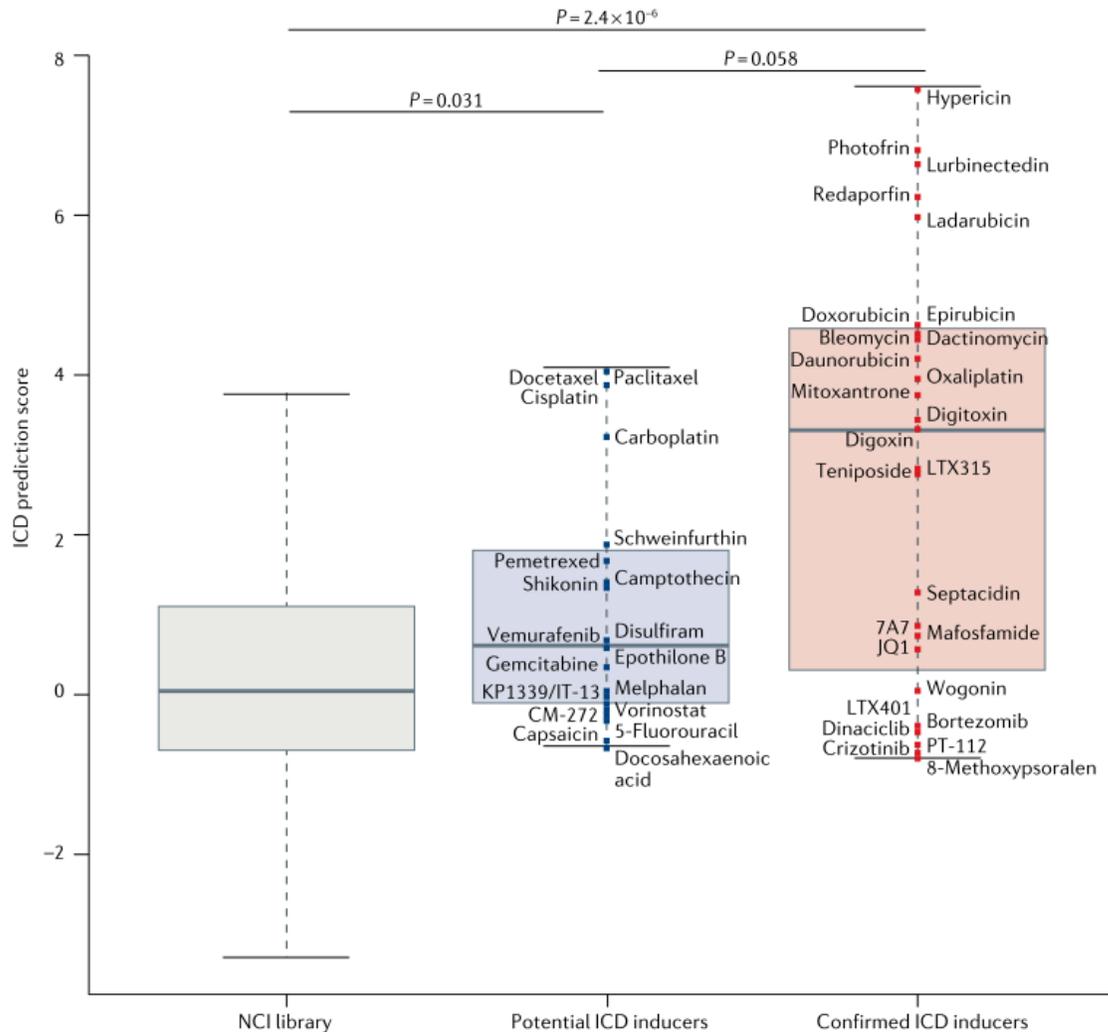
- Proper partner of ICI (chemotherapy only vs CRT)
 - Radiotherapy induced immune-response
 - Appropriate chemotherapy ?
 - Safety
- Optimal timing, sequence ?
- Predictive biomarker

Immunogenic Cell Death: Chemotherapy Meets Immunology

- Insult of cancer cells by cytotoxic chemotherapy leads to release and relocation of damage associated molecular patterns (DAMPs) that increase the adjuvanticity of cancer cells
- Release of intracellular molecules, such as ATP, enhances the recruitment of APCs
- Cytotoxic T lymphocytes (CTLs) are activated by these mature DCs by antigen presentation and IL-1 β secretion.
- CTLs produce inflammatory cytokines like IFN- γ which leads to the elimination of chemotherapy resistant tumors.



Immunogenic Cell Death: Chemotherapy Meets Immunology

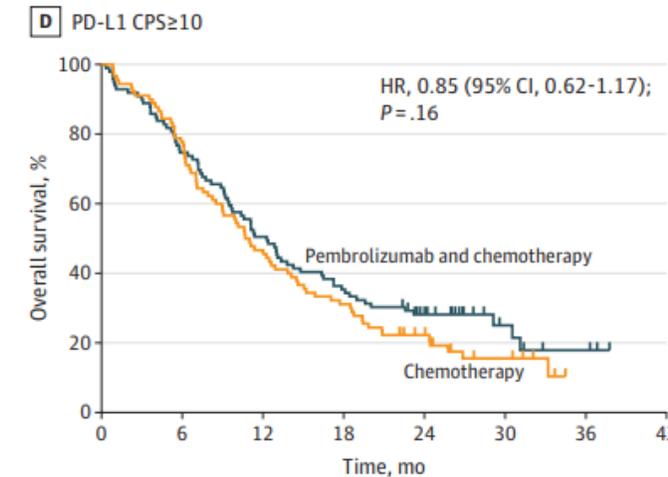
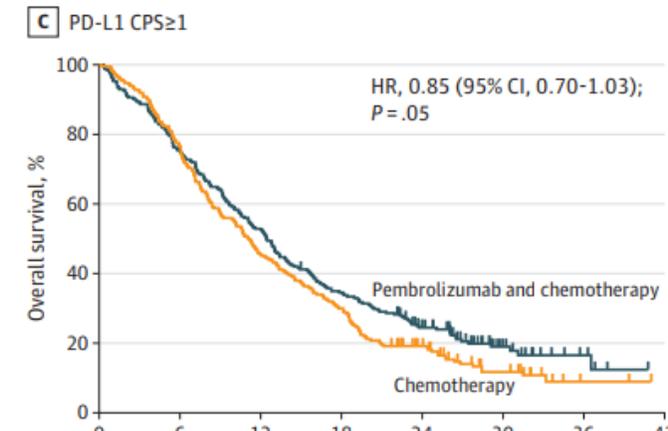
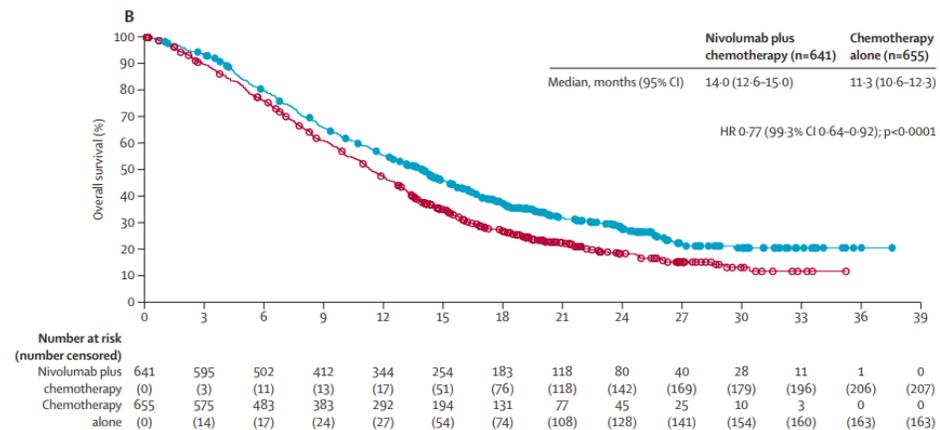
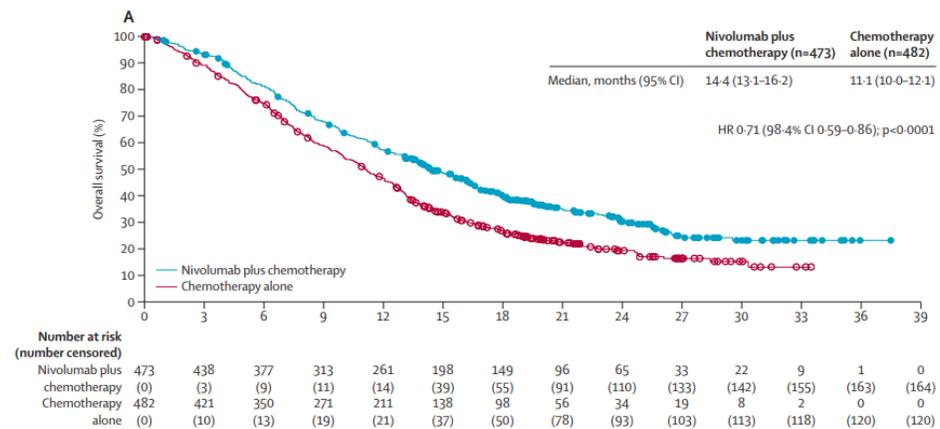


- Several studies suggested that immunogenic cell death effect according to chemotherapy.
- Conventional chemotherapy can mediate immunostimulatory effects by targeting cancer cells or immune cells as well as by altering whole-body physiology.
- Immunostimulatory chemotherapeutics stand out as promising partners for combination regimens involving immune checkpoint inhibitors, although additional research is required to identify the optimal regimens.

Immunogenic Cell Death: Chemotherapy Meets Immunology

CM649: Positive trial Nivo+5-FU+ **Oxaliplatin**

KN-062: Negative trial Pembro+5-FU+ **Cisplatin**



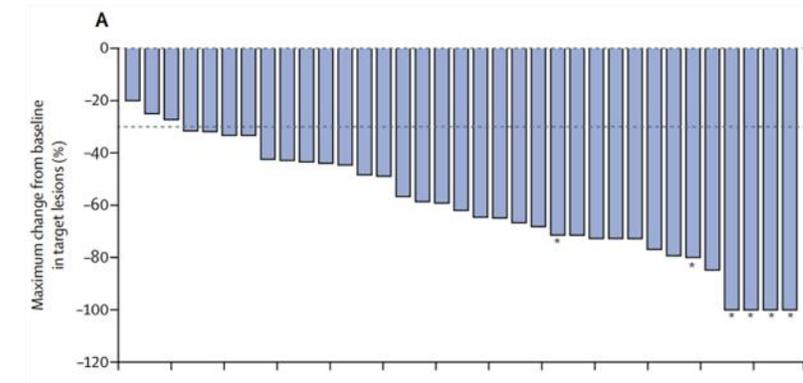
Appropriate chemotherapy regimen

- Optimizing chemo-immunotherapy regimens based on synergistic mechanism

| Study | Number | Therapy | | Median overall survival (months) | | Hazard ratio (95%CI) |
|---------------|--------|------------------------|---------------|-------------------------------------|-------------------------------------|----------------------|
| | | Chemotherapy | Immunotherapy | Chemotherapy vs. Chemoimmunotherapy | Chemotherapy vs. Chemoimmunotherapy | |
| KEYNOTE-590 | 548 | 5-FU + cisplatin | Pembrolizumab | 9.8 vs. 12.6 | | 0.72 (0.60-0.88) |
| CheckMate-648 | 645 | 5-FU + cisplatin | Nivolumab | 10.7 vs. 13.2 | | 0.74 (0.58-0.96) |
| ORIENT-15 | 43 | 5-FU + cisplatin | Sintilimab | Not available | | 0.31 (0.08-1.20) |
| ORIENT-15 | 616 | Paclitaxel + cisplatin | Sintilimab | 12.5 vs. 16.7 | | 0.65 (0.52-0.80) |
| JUPITER-6 | 514 | Paclitaxel + cisplatin | Toripalimab | 11.0 vs. 17.0 | | 0.58 (0.43-0.78) |
| ESCORT-1st | 596 | Paclitaxel + cisplatin | Camrelizumab | 12.0 vs. 15.3 | | 0.70 (0.56-0.88) |

| | ICI+FP | ICI+PC |
|----|-----------|-----------|
| OS | 13mo | 15-16mo |
| HR | 0.72-0.74 | 0.58-0.70 |

- More combination is more benefit ?
 - Trastuzumab+Pembrolizumab+chemotherapy
 - N=35
 - DCR=100%
- ADCs

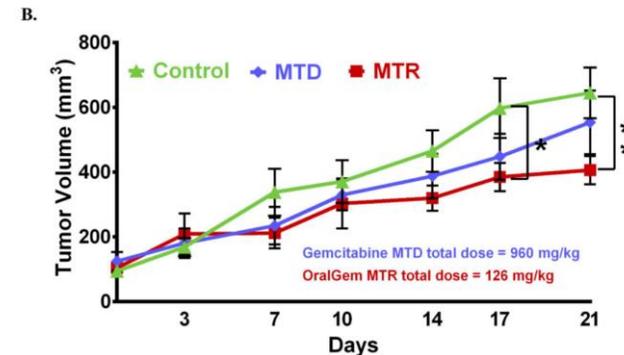
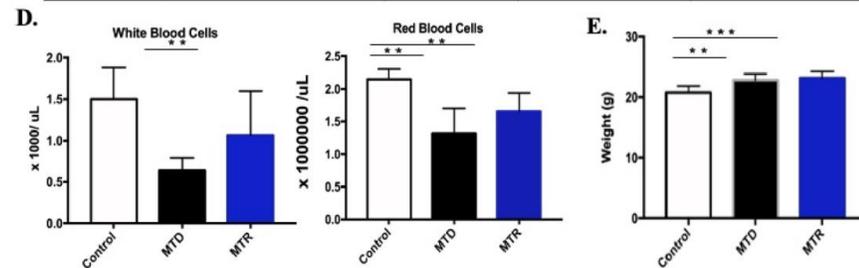


The Right Dose of Chemotherapy

- Maximum tolerated dose
 - Toxicities of combination therapy
 - Effect of killing tumor cell or tumor shrinkage
 - Dose-dependent myelosuppression
 - Depletion of effector immune cells
- Metronomic or lower dose as partners of ICI ?

C.

| Compounds | Cmax (μM) | Cmax ($\mu\text{g/mL}$) | AUCs ($\text{h} \times \mu\text{g/mL}$) | Tmax (h) |
|---|------------------------|---------------------------|---|----------|
| Gemcitabine (120 mg/kg) i.p. | 285 \pm 150 | 75.1 \pm 33.3 | 66 | 0.25 |
| Gemcitabine by OralGem (6 mg/kg) per os | 0.37 \pm 0.12 | 0.097 \pm 0.018 | 0.31 | 0.5 |



- In clinical settings, the effect of metronomic chemotherapy has not yet been well-established.
 - The concept of metronomic or lower dose chemotherapy is only skewed to the perspective of anti-tumor immunity.

The Timing of Chemo-Immunotherapy

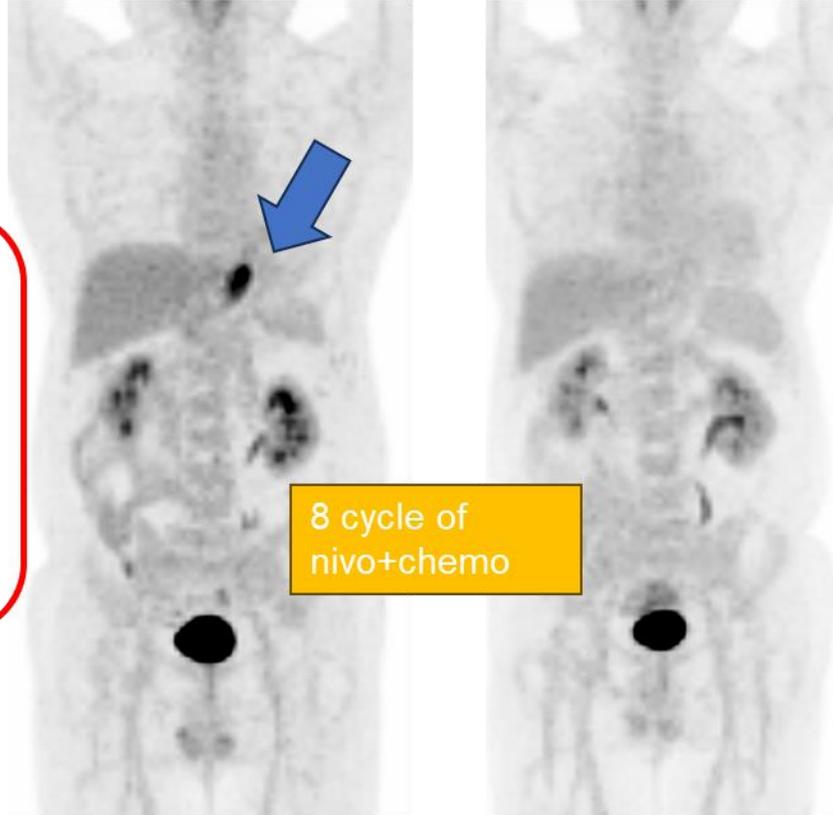
- TME is a key determinant of ICI responsiveness, and dynamically changes alongside tumor progression.
- Earlier metastatic stage
 - Theoretically, immunotherapy administered to patients in **earlier stages** of the disease, with less deteriorated immunity and before a myeloablative chemotherapy treatment.
 - ICI+chemo showed a promising efficacy **in the first line setting**.
- Perioperative setting
 - Neoadjuvant
 - Adjuvant
 - No radiographic tumor
 - Micro-metastatic tumor burden: Appropriate induction of ICD from chemotherapy ?

What is appropriate biomarker of ICI and chemotherapy ?

- No answer
- Numerous pre-clinical and clinical biomarker studies.

Case: 53/M

- Metastatic gastric cancer with peritoneal seeding nodules
 - Poorly cohesive carcinoma., HER2 0/3
 - EBV neg
 - MMRp, MSS
 - PD-L1 28-8 CPS 0, PD-L1 22C3 CPS 0,
 - TMB 0.95mut/mb, no actionable alteration



| [FROZEN SECTION DIAGNOSIS] | | |
|----------------------------|------|--|
| 검체명 | 검체번호 | 진단명 |
| peritoneum | 001 | Negative for malignancy. 본 진단은 참고로 하십시오. |
| ,peritoneum 2 | 002 | Negative for malignancy. 본 진단은 참고로 하십시오. |

[FROZEN SECTION PERMANENT DIAGNOSIS]
Peritoneum, excision(#1 & #2);
Chronic inflammation with fibrosis.

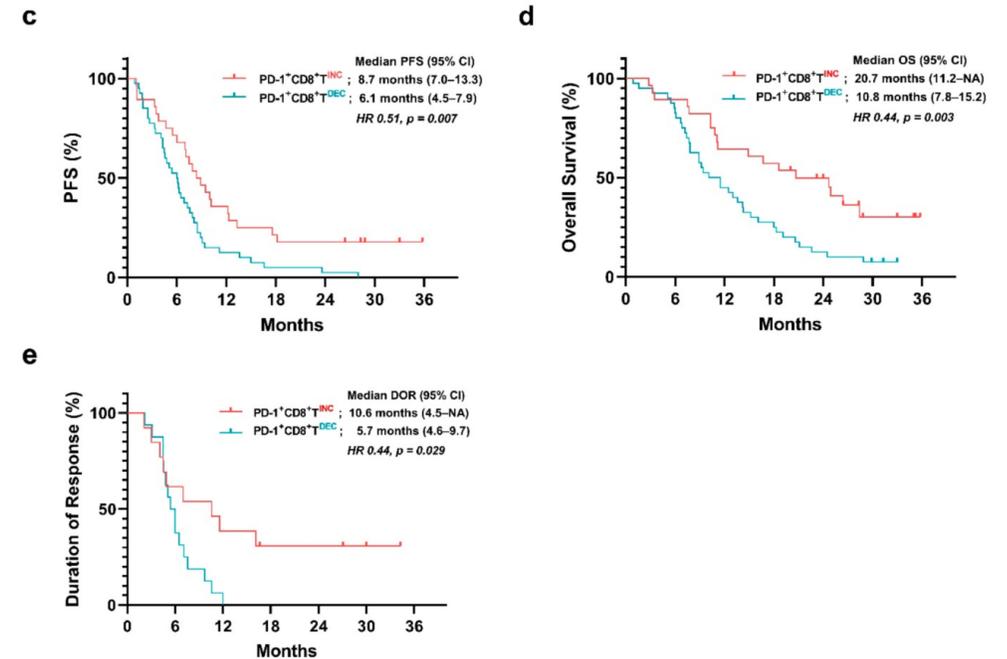
[MICROSCOPIC DESCRIPTION]
-Depth of invasion; unapplicable (pTx)
-Lymphatic invasion; absent
-Vascular invasion; absent
-Perineural invasion; absent
-Lymph node metastasis; absent (0/24) (pN0)
#1(0/3) #3(0/12) #4sb(0/2) #4d(0/0) #5(0/0) #6(0/1)
#7(0/3) #8a(0/0) #9(0/2) #11p(0/0) #12a(0/0) LN around hernia sac (#13)(0/1)
-Associated gastritis; lymphoid follicles

[DIAGNOSIS]
1. Stomach, subtotal gastrectomy with lymph node dissection;
1) No remaining malignancy.
2) Fibrosis with lymphoid aggregates.
2. "Hernia sac", excision(#12);
Vascular congestion.
3. Vagus nerve, excision(#14);
Unremarkable.

Effect on immune cells - Activation of Immune Effector Cells

- Several hypotheses and backgrounds.
- For examples
 - Gemcitabine restores the proliferative capacity of T effector cells
 - Paclitaxel enhances the maturation of DC precursors by the activation of TLR-4 and ultimately favors the efficient priming of CD8+ T cell.
 - Lymphotoxic chemotherapy might result in a paradoxical reshaping of the T-cell repertoire and the differentiation into tumor-attacking cytotoxic T cells.

Early Increase in Circulating PD-1+CD8+ T Cells Predicts Favorable Survival in Patients with Advanced Gastric Cancer Receiving Chemotherapy



| Immune Cells | Drugs | Effect | Issues | Model |
|---------------|-------|---------------|-------------------|----------------------|
| DC | PCTXL | Maturation | Experimental data | In vivo and in vitro |
| CD 8+ T cells | Gem | Proliferation | - | Human |

Summary

- Current issue
 - pCR, down-staging, R0 resection
 - Systemic control
 - Safety
 - Neoadjuvant vs. adjuvant vs. perioperative

- Emerging issue in the immunotherapy era
 - Biomarker
 - Appropriate partner
 - Immunomodulatory properties of chemotherapeutic drugs and radiation
 - The optimal dose, timing, sequence or combination
 - Novel agents (Newer immunotherapy, ADC, bispecific antibody, etc)
 - Monitoring

Summary

