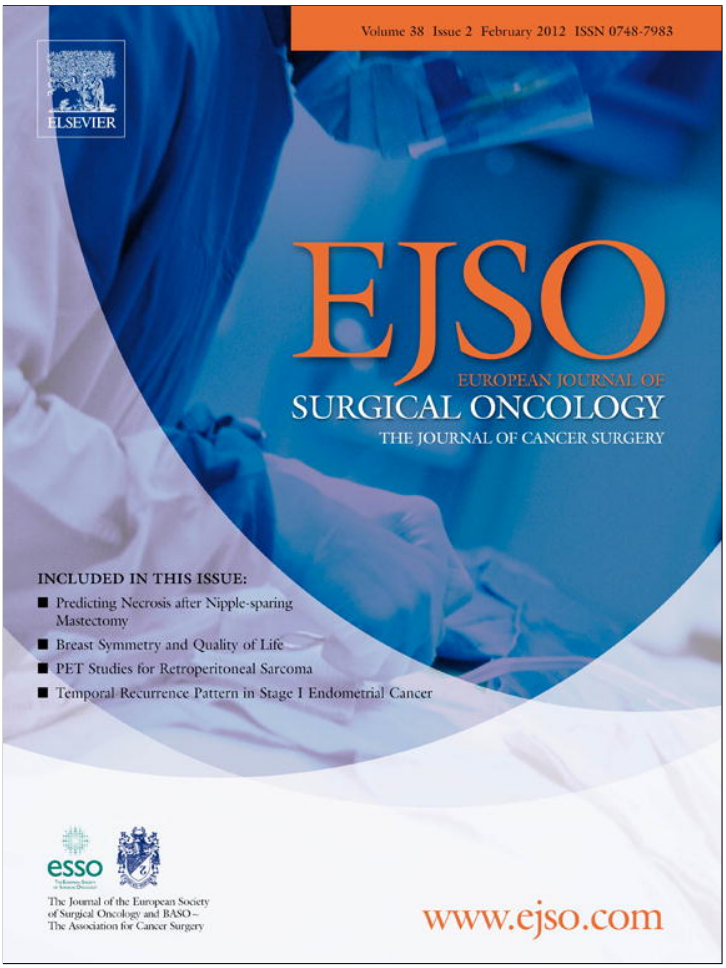

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Phase II trial of preoperative S-1 plus cisplatin followed by surgery for initially unresectable locally advanced gastric cancer

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Abstract

Background: The aim of this study was to evaluate the efficacy and feasibility of preoperative chemotherapy with S-1 plus cisplatin in patients with initially unresectable locally advanced gastric cancer.
Methods: We enrolled patients with initially unresectable locally advanced gastric cancer because of severe lymph node metastases or invasion of adjacent structures. Preoperative chemotherapy consisted of S-1 at 80 mg/m^2 divided in two daily doses for 21 days and cisplatin at 60 mg/m^2 intravenously on day 8, repeated every 35 days. If a tumor decreased in size, patients received 1 or 2 more courses. Surgery involved radical resection with D2 lymphadenectomy.
Results: Between December 2000 and December 2007, 27 patients were enrolled on the study. No CR was obtained, but PR was seen in 17 cases, and the response rate was 63.0%. Thirteen patients (48.1%) had R0 resections. There were no treatment related deaths. The median overall survival time (MST) and the 3-year overall survival (OS) of all patients were 31.4 months and 31.0%, respectively. Among the 13 patients who underwent curative resection, the median disease-free survival (DFS) and the 3-year DFS were 17.4 months and 23.1%, respectively. The MST and the 3-year OS were 50.1 months and 53.8%, respectively. The most common site of initial recurrence after the R0 resection was the para-aortic lymph nodes.
Conclusions: Preoperative S-1 plus cisplatin can be safely delivered to patients undergoing radical gastrectomy. This regimen is promising as neoadjuvant chemotherapy for resectable gastric cancer. For initially unresectable locally advanced gastric cancer, new trials using more effective regimens along with extended lymph node dissection are necessary.

Keywords: Neoadjuvant chemotherapy; Lymph node dissection; Bulky lymph node; TS-1; Cisplatin; Para-aortic lymph node

Introduction

Gastric cancer is still one of the most common cancers in the world; 876,000 new cases were anticipated worldwide in the year 2000.[1] In Japan, 110,323 new cases were anticipated in the year 2003 and the 5-year survival rate of gastric cancer diagnosed from 1993 to 1996 was 54.4%.[2,3]

Currently, surgery remains the mainstay of curative treatment. However, only an R0 resection is associated with significant cure rates. Patients having microscopic (R1) or macroscopic (R2) residual tumor have an extremely poor prognosis.[4]

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Preoperative and neoadjuvant chemotherapy represent investigational options. The rationale of preoperative chemotherapy is based on the difficulty of performing an R0 resection in patients with initially unresectable locally advanced tumors and the high risk of micrometastatic disease in these patients. Neoadjuvant chemotherapy has potential for resectable gastric cancer for the purpose of treating micrometastases.

Intensive chemotherapy is necessary for the improvement of the R0 resection rate and complete elimination of the micrometastases. However, it is difficult for patients who undergo gastrectomy to tolerate intensive chemotherapy. Because weight decreases by gastrectomy, it is necessary to reduce the dose of chemotherapy. The tolerance to chemotherapeutic agents with digestive organ toxicity was often reduced by gastrectomy-related gastrointestinal effects.

S-1 (TS-1, Taiho Pharmaceutical, Tokyo, Japan) is an orally active combination of tegafur (a prodrug that is converted by cells to fluorouracil), gimeracil (an inhibitor of dihydropyrimidine dehydrogenase, which degrades fluorouracil), and oteracil (which inhibits the phosphorylation of fluorouracil in the gastrointestinal tract, thereby reducing the gastrointestinal toxic effects of fluorouracil) at a molar ratio of 1:0.4:1. The response rate of S-1 alone exceeded 40% in two phase 2 trials involving patients with metastatic gastric cancer.[5,6] The combination chemotherapy of S-1 plus cisplatin (CDDP) achieved a high response rate (74%, 95%CI: 54.9–90.6) in a previous phase I/II study of patients with metastatic gastric cancer.[7]

These factors led us to perform the current phase II trial to investigate the use of an active preoperative chemotherapy regimen. The primary objectives of the trial were to investigate tolerance to the preoperative regimen, its effects on operative morbidity and mortality, and the response rate. Secondary objectives included evaluation of the R0 resection rate, disease-free and overall survival, and failure pattern.

Patients and methods

Patients

The study was conducted as a prospective multi-institutional phase II trial by the Osaka Gastrointestinal Cancer Chemotherapy Study Group (OGSG) in Japan. All patients had histologically confirmed adenocarcinoma of the stomach. They also had to have initially unresectable locally advanced tumors because of invasion to adjacent structures or severe lymph node metastases, staged by contrast-enhanced CT as T2-3N2-3M0 or T4NanyM0, according to the Japanese Classification of Gastric Carcinoma (2nd English Edition).[8] They also had to have lymph node metastases that were measurable according to the RECIST$^{1.0}$ guidelines.[9] We did not require laparoscopic staging as an entry criterion for this study. Any sites of suspected M1 disease had to be ruled out prior to entrance into the study. No prior chemotherapy or radiation was allowed. The age range was 20–75 years. The performance status (ECOG) was 0 from 1.

Because of the worse prognosis of type IV gastric cancer, also known as scirrhous or linitis plastica, we excluded such cases.[10] Acceptable hematologic profile (WBC $\geqq$ 4000 cells/mm^3, hemoglobin $\geqq$ 8.0 g/dl, platelets $\geqq$ 100,000 cells/mm^3), and renal (BUN $\leqq$ 25 mg/dl, creatinine $\leqq$ 1.2 mg/dl and/or creatinine clearance $>$ 60 ml/min) and hepatic function (total serum bilirubin $<$ 1.5 mg/dl) were required. In addition, certain respiratory function test results (ratio of the forced expiratory volume in one second $\geqq$ 50%, PaO2 in room air $\geqq$ 70 mmHg) were required criteria. No clinically significant auditory impairment was allowed. Patients with prior cancer diagnosed during the previous 5-year period (except for colon carcinoma *in situ*) were excluded. Other exclusion criteria included significant cardiac disease, pregnancy or serious infections. The protocol was reviewed and approved by the Institutional Review Board of each institution. All patients gave written informed consent.

Preoperative chemotherapy

Patients found to have locally advanced gastric cancer as defined above, received two cycles of S-1 plus cisplatin every 35 days. Preoperative chemotherapy consisted of S-1 at 80 mg/m^2 divided in two daily doses for 21 days and cisplatin at 60 mg/m^2 intravenously on day 8. Physical examination, abdominal CT scan and assessment of toxicity were performed prior to each cycle. The response measurement of the preoperative chemotherapy was carried out according to the RECIST$^{1.0}$ guidelines. Because it was preoperative chemotherapy, response was not confirmed at least 4 weeks apart. Toxicity was recorded and graded according to the National Cancer Institution Common Toxicity Criteria (NCI-CTC) version 2.0 scale. Operative complication was graded according to the Common Terminology Criteria for Adverse Events v4.0 (CTCAE v4.0). If a tumor decreased in size, according to protocol criteria, we added 1 or 2 more courses. If curative resection was considered possible after planned chemotherapy, the patient had surgery. If curative resection was considered difficult, a further course of chemotherapy was added. The doses of both agents were attenuated for grade $\geqq$3 toxicities, using standard reduction criteria.

Surgery

The surgery was planned for 3–6 weeks from the day of last administration of chemotherapy. Surgery involved a radical resection, the extent of which (total or distal gastrectomy) depended on the site of the primary tumor, with a D2 lymphadenectomy. We performed D2 or more dissection in patients with metastasis to N3 lymph nodes before chemotherapy. Spleen preservation in total gastrectomy procedure was entrusted to the decision of each clinician.

Patients in whom curative resection was impossible underwent palliative operation. The postoperative treatment was left to the decision of each physician.

Biostatistical considerations

The 3 primary end points of the study were as follows; 1) tolerance to preoperative chemotherapy, 2) operative morbidity and mortality, and 3) objective response rate (ORR). Secondary end points were R0 resection rate, failure pattern, and disease-free and overall survival. One of the primary end points was ORR. The number of patients to be enrolled was calculated at 24, which was required given the assumption that the 95% confidence interval (CI) would be ±20%, assuming an expected response rate of 60%. Finally, we set the number as 30 patients in consideration of disqualified patients. The early stopping criterion of the trial was 3 treatment related deaths. Analogous samples were used to estimate the response rate, R0 resection rate, operative morbidity and mortality, and incidence of treatment related grade 3–4 toxicity. Overall survival (OS) of all patients was calculated from the day of registration in the trial. OS and disease-free survival (DFS) of the patients who underwent R0 resections were calculated from the day of surgery. Survival distributions were estimated using the Kaplan–Meier method.

Follow-up

Following completion of chemotherapy and surgery, patients were followed at 3- monthly intervals until year 3. Thereafter, 6-month follow-up visits were performed. CT scans and appropriate blood studies were performed on the occasion of each evaluation.

Results

Patient population

Between December 2000 and December 2007, 27 patients with initially unresectable local advanced gastric cancer were enrolled into the study from 9 institutions. As shown in Table 1, the male to female ratio was 20:7. The median age was 63 years. As for the histologic type, 15 cases were undifferentiated (including signet ring cell carcinoma) and 11 cases were differentiated type. One case was classified as mucinous carcinoma. There were 3 cStage IIIa (11.1%) preoperatively, 8 cStage IIIb (29.6%), and 16 cStage IV (59.3%).

Preoperative chemotherapy

The median number of preoperative chemotherapy regimens was 3 courses. Grade 3–4 toxicities associated with preoperative S-1/CDDP are described in Table 2. Hematologic toxicity (Grade 3/4) was 7.4% and non-hematologic toxicity (Grade 3/4) was 3.7%. Treatment was generally well tolerated and no chemotherapy-related deaths were observed. While there was no CR, there were 17 cases of PR and the response rate was 63.0% [95%CI: 42.4–80.6] (Table 2).

Table 1
Patient characteristics ($n = 27$).

		Number	%
Age, years	Median (range)	63	(48–75)
Gender	Male	20	74.1
	Female	7	25.9
Histology	Differentiated	11	40.7
	Undifferentiated	15	55.6
	Other	1	3.7
Pretreatment cStage	T2N2M0 (IIIA)	3	11.1
	T3N2M0 (IIIB)	7	25.9
	T4N1M0 (IIIB)	1	3.7
	T2N3M0 (IV)	5	18.5
	T3N3M0 (IV)	6	22.2
	T4N2M0 (IV)	3	11.1
	T4N3M0 (IV)	2	7.4

Operative outcome

All patients who were entered into this trial had initially unresectable tumors. Nine patients were diagnosed as being unresectable when chemotherapy was completed and did not undergo surgery. Eighteen patients (66.7%) underwent laparotomy (Table 3). Thirteen patients (48.1%) had R0 resections. Three patients (11.1%) underwent R1 surgery, because of positive results of peritoneal washing cytology. Two patients underwent simple laparotomy because of peritoneal metastases or unresectable local extension of metastatic lymph nodes. Postoperative complications are described in Table 3. The incidence of complications was 22.2%. One patient underwent operative intervention because of pancreatic leakage; however, there were no surgery-related deaths.

Table 2
Courses, responses and toxicities of preoperative chemotherapy.

				n	%
Courses	Median (range)			3	(1–9)
Response	CR			0	0.0
	PR			17	63.0
	SD			6	22.2
	PD			4	14.8
Toxicities		Grade1/2		Grade3/4	
		n	%	*n*	%
	Neutropenia	10	37.0	2	7.4
	Thrombocytopenia	3	11.1	1	3.7
	Hemoglobin	21	77.8	1	3.7
	Vomiting	7	25.9	1	3.7
	Nausea	13	48.1	1	3.7
	Diarrhea	4	14.8	1	3.7
	Anorexia	17	63.0	1	3.7
	Cerebral infarction	0	0	1	3.7
Treatment related death				0	0.0

Table 3
Operative outcome ($n = 27$).

		Number	%
No operation		9	33.3
Operation		18	66.7
	R0 resection	13	48.1
	R1 resection	3	11.1
	R2 resection	0	0
	Simple Laparotomy	2	22.2
Complications			
	None	14	77.8
	Pancreatic leak	3 (Grade 1: 2, Grade 4: 1)	16.7
	Lymphorrhea	1 (Grade 1)	5.6
	Anastomotic leak	0	0.0
Re-operation		1	5.6
Mortality		0	0.0

Seven of 9 patients who did not undergo surgery received 2nd-line chemotherapy (S-1: 3 patients, S-1/CPT-11: 2 patients, CPT-11/CDDP: 1 patient, Paclitaxel: 1 patient). Four of 5 patients who underwent R1-2 surgery received further chemotherapy (S-1/Paclitaxel: 2 patients, S-1: 1 patient, CPT-11/CDDP: 1 patient).

Overall survival of all patients

Only one patient was lost to follow-up at 8 months from the first day of preoperative chemotherapy, but all other patients were followed more than three years. The median overall survival time and the 3-year overall survival rate of all patients were 31.4 months and 31.0% [95%CI: 17.5–55.1], respectively.

DFS, OS, and first relapse site of patients who underwent R0 resection

Thirteen patients underwent R0 resection. The details of these patients are shown in Table 4. Twelve of these 13 patients (92.3%) achieved PR after preoperative chemotherapy. The median number of course of chemotherapy of these patients was 3 (2–5). Of these patients, only 2 patients (15.4%) underwent D2 plus para-aortic lymph node dissection (D3). Downstaging was observed in 11 patients (84.6%). Seven of 13 patients received postoperative adjuvant chemotherapy (S-1: 4 patients, S-1 plus CDDP: 1 patient, CPT-11: 1 patient, CPT-11/CDDP: 1 patient). To date, recurrence has been diagnosed in 10 patients. First relapse site of five of ten patients was para-aortic lymph nodes. The median disease-free survival time and the 3-year disease-free survival rate of the 13 patients were 17.4 months and 23.1% [95%CI: 8.6–62.3], respectively (Fig. 1A). The median overall survival time and the 3-year overall survival rate of the 13 patients were 50.1 months and 53.8% [95% CI: 32.6–89.1], respectively (Fig. 1B).

Discussion

The combination chemotherapy of S-1 plus cisplatin was chosen because it had achieved a high response rate of 74% (95%CI: 54.9–90.6) in previous phase I/II study of patients with metastatic gastric cancer. The incidences of severe (Grade 3/4) hematological and non-hematological toxicities were 15.8 and 26.3%, respectively.[7] A randomized controlled trial in Japan showed the superiority of S-1/cisplatin compared with S-1 monotherapy according to the response rate and survival for metastatic gastric cancer.[11] Therefore, S-1/cisplatin therapy is now the standard treatment for metastatic gastric cancer in Japan.

This multi-institutional phase II prospective trial of preoperative chemotherapy in initially unresectable locally advanced gastric cancer showed that preoperative chemotherapy using S-1/cisplatin was not only feasible but also achieved a high response rate. The overall response rate was 63.0% [95%CI: 42.4–80.6]. The incidence of grade 3/4 toxicities was less than 10% and treatment related

Table 4
Patients who underwent R0 resection.

No.	cStage	Course	Response	Gastrectomy	D	Combined resection	fStage	Nodes	First relapse
1	T3N2M0 (IIIB)	2	PR	Distal	D3	Liver, Gallbladder	T2N2M0 (IIIA)	4	None
2	T3N3M0 (IV)	3	PR	Total	D2	Spleen, Panc. (tail) Gallbladder	T2N2M0 (IIIA)	6	Brain
3	T3N2M0 (IIIB)	2	PR	Total	D2	Spleen	T2N2M0 (IIIA)	10	Lymph (para AO)
4	T3N2M0 (IIIB)	2	PR	Distal	D3	None	T2N2M0 (IIIA)	3	None
5	T3N2M0 (IIIB)	3	PR	Total	D1*	Liver	T2N0M0 (IB)	0	None
6	T2N2M0 (IIIA)	2	SD	Distal	D2	Panc. (head)	T4N3M0 (IV)	7	Peritoneum
7	T4N2M0 (IV)	3	PR	Total	D2	Spleen, Panc. (tail)	T3N2M0 (IIIB)	10	Lymph (para AO)
8	T2N3M0 (IV)	4	PR	Distal	D2	Gallbladder	T2N2M0 (IIIA)	1	Bone
9	T4N3M0 (IV)	3	PR	Distal	D2	None	T1N0M0 (IA)	0	Lung
10	T4N1M0 (IIIB)	3	PR	Total	D2	Spleen	T2N2M0 (IIIA)	4	Lymph (hepatic)
11	T2N3M0 (IV)	5	PR	Total	D1*	None	T2N3M0 (IV)	2	Lymph (para AO)
12	T2N2M0 (IIIA)	3	PR	Total	D1*	None	T2N0M0 (IB)	0	Lymph (para AO)
13	T3N2M0 (IIIB)	3	PR	Total	D1*	None	T2N2M0 (IIIA)	13	Lymph (para AO)

D1*: we performed almost D2 dissection, but it classified D1 dissection according to the Japanese classification of gastric carcinoma (2nd English edition), because of preserving spleen.

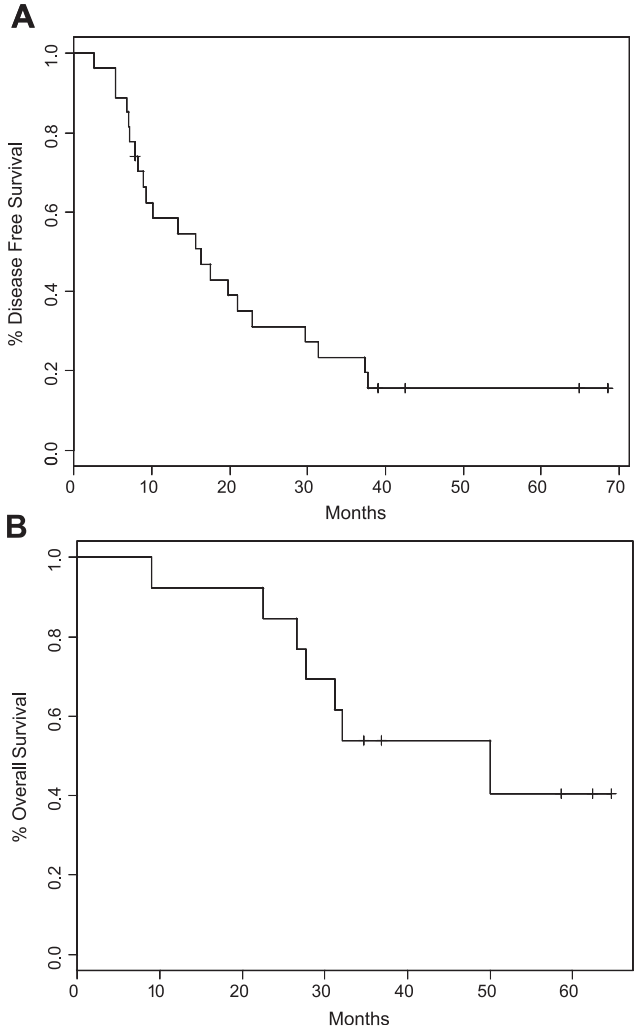

Figure 1. Disease-free and overall survival of the patients who underwent R0 surgery ($n = 13$).

mortality was 0.0%. Similar results were reported in other studies.[12,13] These results encourage the use of S-1/cisplatin combination chemotherapy as neoadjuvant treatment for patients who have resectable gastric cancer. Such trials are currently under way in Japan.[14,15]

The recently completed MAGIC trial constitutes a larger study regarding neoadjuvant chemotherapy in gastric cancer. In this study, 503 patients were randomized to three cycles of pre- and three cycles of postoperative epirubicin/cisplatin/5-FU (ECF) chemotherapy or surgery alone. Neoadjuvant chemotherapy was tolerable and was completed in 88% of patients. Significant downsizing (5.0 versus 3.1 cm median tumor size, $P < 0.001$), downstaging (54% versus 36% T1–T2 tumors, $P = 0.01$) and enhanced resectability (79% versus 69%, $P = 0.02$) were noted. Improved progression-free survival and survival were demonstrated, with an overall 5-year survival of 36% versus 23% for those undergoing surgery alone.[16] We should conduct phase III clinical trials of the neoadjuvant chemotherapy of S-1/cisplatin therapy for resectable gastric cancer.

In Japan, the ACTS-GC trail demonstrated a survival advantage of postoperative adjuvant chemotherapy after R0 resection. R0 patients were randomized to adjuvant chemotherapy using S-1 (529 patients) versus surgery alone (530 patients); improved survival (3-year overall survival rates of 80.1% versus 70.1%, $P = 0.003$) was noted.[17] Adjuvant chemotherapy, as reported by the ACTS-GC Group, is now considered a standard treatment for R0 patients. However, of the 283 patients who had stage III disease and received S-1 adjuvant chemotherapy, 73 patients died. The hazard ratio of the adjuvant chemotherapy group worsened with an increasingly advanced stage. These results suggest that S-1 monotherapy is insufficient for patients who have stage III or more. However, for patients who have initially unresectable gastric cancer like the patients enrolled in this trial, S-1/cisplatin chemotherapy is insufficient because of the high relapse rate of patients who underwent R0 resection.

For the patients immediately after gastrectomy, highly toxic chemotherapy is difficult because of overlaps between chemotherapy-induced gastrointestinal toxicity and digestive symptoms due to gastrectomy.[18] Therefore, further improvements in preoperative therapy will require development of more effective chemotherapeutic regimens. During the last decade, several new agents with promising activity against gastric cancer were identified. These include paclitaxel, docetaxel, irinotecan and trastuzumab. These agents are now undergoing phase II and III trials, as part of combination regimens.[19–22] If improved outcome is seen in metastatic disease, these agents will undergo extensive testing in the preoperative setting.

The absence of laparoscopic staging might have allowed inclusion of patients with positive peritoneal cytology or small peritoneal implants that could have disappeared with the chemotherapy; these patients have a worse prognosis, which could have impacted on the final results. Actually, there were 3 cases of positive cytology at exploration after chemotherapy. Laparoscopic staging should be mandatorily included in future similar projects.

An interesting point is that there were many para-aortic lymph node recurrences in the patients who underwent R0 resection. Among 13 patients who underwent curative resection, initial recurrence in 5 patients was in a para-aortic lymph node. These patients had not undergone para-aortic lymph node dissection. The prognostic improvement effect of the para-aortic lymph node dissection was refuted by two clinical trials.[23,24] In the JCOG 9501 trial, 523 patients with resectable gastric cancer were enrolled, and 263 were assigned to D2 group and 260 were assigned to D2 plus para-aortic nodal dissection. The 5-year overall survival rate was 69.2% for D2 lymphadenectomy group and 70.3% for the D2 lymphadenectomy plus para-aortic nodal dissection group; the hazard ratio for death was 1.03 (95%CI, 0.77 to 1.37; $P = 0.85$). There were also no significant differences in recurrence-free

survival and the pattern of recurrence between the two groups.[23] In the East Asian Surgical Oncology Group trial, 269 patients with resectable gastric cancer were enrolled, and 135 were assigned to the D2 group and 134 were assigned to the D2 plus para-aortic nodal dissection. The 5-year overall survival rates were 52.6% for the D2 lymphadenectomy group and 55.0% for the D2 lymphadenectomy plus para-aortic nodal dissection group. There was no significant difference in survival between the two groups ($P = 0.801$).[24] It was concluded that the D2 lymphadenectomy plus para-aortic nodal dissection did not improve prognosis regarding D2 lymph node dissection in the resectable gastric cancer.

However, in these trials, patients who had gross metastases to the para-aortic nodes were excluded. The incidence of metastases in the para-aortic nodes was lower than expected in 8.5% and 9.7%, respectively. The median number of metastatic nodes was only 2 nodes among the patients who underwent D2 plus para-aortic nodal dissection in the JCOG 9501. In the East Asian Surgical Oncology Group trial, the mean number of metastatic nodes was 5.9 in the para-aortic lymph node dissection group.

Recently, 15-year follow-up results of a randomized nationwide Dutch D1D2 trial were published. 711 patients underwent randomly assigned treatment with curative intent (380 in the D1 group and 331 in the D2 group). Overall 15-year survival was 21% for the D1 group and 29% for the D2 group. Gastric cancer-related death rate was significantly higher in the D1 group (48%, 182 patients) than that in the D2 group (37%, 123 patients). Local recurrence was 22% (82 patients) in the D1 group versus 12% (40 patients) in D2, and regional recurrence was 19% (73 patients) in D1 versus 13% (43 patients) in D2. After a median follow-up of 15 years, D2 lymphadenectomy was associated with lower locoregional recurrence and gastric cancer-related death rates than D1 surgery.[25] This difference was greater in the patients with lymph node metastases from 7 to 15.[26]

The observation period was shorter in the clinical trials of JCOG and East Asian Surgical Oncology Group than in the Dutch trail, and fewer mortality events occurred and also fewer metastases to lymph nodes. Therefore, para-aortic lymph node dissection might have better prognosis in patients with severe lymph node metastases like the patients enrolled in our trial.

In summary, preoperative S-1/cisplatin can be safely delivered to patients undergoing radical gastrectomy. The response rate was high, with no increase in operative morbidity and mortality compared with those upon surgery without preoperative chemotherapy.[27] Controlled trials of neoadjuvant chemotherapy using this regimen with the postoperative S-1 monotherapy for resectable gastric cancer are necessary. For initially unresectable locally advanced gastric cancer, the rate of recurrence was high, and the most common initial recurrent site was para-aortic lymph node. New trials, using a more effective regimen along with extended lymph node dissection are necessary.

Conflict of interest statement

The authors declare no conflict of interest.

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