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1 **A phase II study of carboplatin, pemetrexed, and bevacizumab followed by erlotinib and**  
2 **bevacizumab maintenance for non-squamous non-small cell lung cancer with wild-type *EGFR***  
3 **(HOT1101)**  
4

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1 **Abstract**

2 **Background:** This study evaluated the efficacy and safety of switch maintenance erlotinib and  
3 bevacizumab after induction therapy with carboplatin/pemetrexed/bevacizumab for non-squamous non-  
4 small cell lung cancer (NSCLC) with wild-type *EGFR*.

5 **Methods:** Enrolled patients had treatment-naïve, advanced non-squamous NSCLC with wild-type *EGFR*.  
6 Carboplatin (area under the curve [AUC] 5.0), pemetrexed (500 mg/m<sup>2</sup>) and bevacizumab (15 mg/kg)  
7 were administered on day 1 every 3 weeks for 4-6 cycles. Maintenance therapy with erlotinib (150  
8 mg/body) on day 1 through 21 plus bevacizumab on day 1 every 3 weeks were continued until disease  
9 progression or unacceptable toxicity. The primary endpoint was 6-month progression-free survival (PFS);  
10 secondary endpoints included overall survival (OS), overall response rate (ORR), toxicity, and quality of  
11 life (QOL).

12 **Results:** Fifty-one patients were enrolled between September 2011 and June 2014. The median number of  
13 cycles for induction and maintenance therapy were 4 (range: 1-6) and 4 (range: 1-20). Twenty-nine  
14 patients (58%) received maintenance therapy. The 6-month PFS rate was 59.5% (95% confidence interval  
15 [CI]: 45.0-72.6%). The ORR was 48.0% (95% CI: 34.8-61.5%), and disease control rate was 86.0% (95%  
16 CI: 73.8-93.0%). The median PFS and OS were 6.5 months (95% CI: 5.8-7.2 months) and **21.4 months**  
17 **(95% CI: 15.9-26.9 months)**, respectively. Although grades  $\geq 3$  adverse events were observed in 33  
18 patients (66.0%), most were hematologic; there was no febrile neutropenia. QOL was maintained  
19 throughout treatment.

20 **Conclusions:** Carboplatin/pemetrexed/bevacizumab followed by erlotinib and bevacizumab maintenance  
21 showed modest efficacy and was well tolerated in non-squamous NSCLC patients with wild-type *EGFR*.

22  
23 Keywords: maintenance therapy, pemetrexed, bevacizumab, erlotinib, non-small cell lung cancer  
24  
25

1 **1 Introduction**

2 Lung cancer is the leading cause of cancer-related death worldwide, and non-small cell lung  
3 cancer (NSCLC) accounts for more than 80% of all lung cancer cases [1,2]. Non-squamous (non-Sq)  
4 histology, mainly adenocarcinoma, is the predominant subtype of NSCLC. Nowadays, agents that target  
5 specific molecular abnormalities within the tumor, such as *EGFR* mutation, *ALK* rearrangement, and  
6 *ROS1* rearrangement, are the preferred first-line therapies [3-5]. Immune checkpoint inhibitors (ICIs) are  
7 also effective for subgroups of patients with NSCLC; pembrolizumab has shown superiority over  
8 platinum-based doublet therapy, leading to its approval as a first-line therapy for patients with NSCLC  
9 exhibiting programmed death-ligand 1 (PD-L1) overexpression [6]. However, chemotherapy remains the  
10 standard of care for the majority of patients without a defined molecular abnormality for which an  
11 approved targeted therapy is available.

12 Second-line therapy significantly improves overall survival (OS) of patients with NSCLC. As  
13 rapid deterioration after progression to first-line therapy might render patient ineligible for subsequent  
14 treatment, only two-thirds of patients receive second-line therapy in current clinical practice [7,8].  
15 Maintenance therapy can increase the proportion of patients who receive additional therapy beyond first-  
16 line platinum-based chemotherapy [9,10]. Decades ago, prolonging first-line platinum doublet therapy led  
17 to cumulative toxicity issues that precluded the use of this strategy [11]. The availability of better-  
18 tolerated drugs (pemetrexed, epidermal growth factor receptor [EGFR]-tyrosine kinase inhibitors [TKIs],  
19 and bevacizumab) has produced maintenance therapy as a feasible option [12-14].

20 There are two effective maintenance strategies: continuation maintenance and switch  
21 maintenance. The former is the practice of discontinuing the platinum agent after 4–6 cycles and then  
22 resuming one or more of the drugs used in the induction regimen; the latter involves switching to non-  
23 cross-resistant agents immediately following first-line therapy [15]. Single agents such as pemetrexed and  
24 erlotinib administered as maintenance therapy have shown significant improvements in OS compared  
25 with placebo [12,13,16], while gemcitabine showed improvement in progression-free survival (PFS) over  
26 placebo [10]. Combination therapies using bevacizumab plus either pemetrexed or erlotinib as  
27 continuation or switch maintenance have also been investigated in several phase 3 trials [17-20], and  
28 some have shown improved PFS over single-agent comparators [17,18,19].

29 Despite low objective response rates, some patients with wild-type *EGFR* NSCLC received a

1 modest survival benefit with EGFR-TKIs in certain clinical settings [13,21]. Moreover, potential crosstalk  
2 exists in vascular endothelial growth factor (VEGF) and EGFR pathways during tumor growth, metastasis,  
3 and angiogenesis in NSCLC, and the dual inhibition of these pathways using bevacizumab and EGFR-  
4 TKI showed efficacy in preclinical models, including in wild-type *EGFR* NSCLC [22,23]. Both the BeTA  
5 and ATLAS phase 3 trials, which investigated the efficacy of combination bevacizumab and erlotinib,  
6 showed improved PFS in Western patients with a lower prevalence of *EGFR* mutations [17,24]. These 2  
7 trials used induction therapies consisting of several combinations of platinum-based doublets other than  
8 platinum plus pemetrexed, which is currently the most frequently used regimen for the induction  
9 treatment. These data suggest that better tolerability to carboplatin and pemetrexed plus bevacizumab as  
10 an induction treatment might increase the efficacy of switch maintenance that comprises erlotinib and  
11 bevacizumab.

12           Based on this background, we conducted this prospective phase 2 trial to evaluate the  
13 efficacy and safety of combination carboplatin, pemetrexed, and bevacizumab followed by switch  
14 maintenance erlotinib and bevacizumab in patients with non-Sq NSCLC carrying wild-type *EGFR*.

## 16 **Patients and Methods**

### 17 **Eligibility**

18           Eligible patients were those of ages 20–74 years old with histologically or cytologically  
19 confirmed stage IIIB, stage IV, or postoperative recurrent non-Sq NSCLC carrying wild-type *EGFR*.  
20 Patients who received prior systemic therapy for lung cancer were excluded, but patients who experienced  
21 postoperative recurrence after at least 1 year had elapsed from the last administration of adjuvant  
22 chemotherapy were allowed. The following were also required for eligibility: an Eastern Cooperative  
23 Oncology Group performance status of 0 or 1; adequate organ function including of the bone marrow,  
24 liver, kidneys (creatinine clearance  $\geq 60$  mL/min and proteinuria  $\leq 1+$ ), and lungs (alveolar O<sub>2</sub> pressure  
25  $\geq 60$  Torr); and at least 1 measurable lesion as defined by the Response Evaluation Criteria in Solid  
26 Tumors (RECIST, version 1.1).

27           The exclusion criteria included: a history of hemoptysis ( $\geq 2.5$  mL); regular use of aspirin  
28 ( $\geq 325$  mg/day) or anticoagulants; a tumor in close proximity to a major vessel or with cavitation;  
29 symptomatic central nervous system metastasis; uncontrollable hypertension, presence of severe pleural,

1 abdominal, or cardiac effusion; unstable comorbidities including cardiovascular disease, stroke, gastric  
2 ulcer, and interstitial pneumonitis; a history of active double cancer; or ineligibility as deemed by an  
3 investigator. This study protocol was approved by the institutional review board at each participating  
4 institution. All patients were required to provide written informed consent before enrollment. This trial  
5 was registered under the University Medical Hospital Information Network (UMIN) Clinical Trials  
6 Registry Identifier UMIN000005872.

## 8 **Study design and treatment**

9 This study was designed as a prospective, multicenter, single-arm phase 2 trial. The primary  
10 endpoint was treatment efficacy measured as PFS rate at 6 months. Secondary endpoints were OS, overall  
11 response rate (ORR), safety, proportion of patients receiving maintenance treatment, and quality of life  
12 (QOL).

13 Eligible patients received pemetrexed 500 mg/m<sup>2</sup> through a 10-min intravenous infusion  
14 followed by intravenous infusion of carboplatin at a dose corresponding to an area under the curve (AUC)  
15 equal to 5 mg/mL/min (AUC=5) over 30 min, as well as bevacizumab 15 mg/kg for at least 30 min  
16 intravenously on day 1 of every 21-day cycle, for 4–6 cycles during the induction therapy. We used an  
17 AUC=5 of carboplatin based on the results of our previous trial instead of AUC=6 [25]. Afterwards,  
18 patients with complete response (CR), partial response (PR), or stable disease (SD) received maintenance  
19 therapy with erlotinib 150 mg/body on days 1–21 and bevacizumab 15 mg/kg on day 1 of every 21-day  
20 cycle until evidence of disease progression or unacceptable toxicity manifested. The period between the  
21 last dosage of induction therapy and the first dosage of maintenance therapy was required to be 3–6  
22 weeks. All patients received oral folic acid (0.5 mg) daily and a vitamin B12 (1 mg) injection every 9  
23 weeks, beginning at least 1 week before the first dose and continuing until 3 weeks after the last dose of  
24 pemetrexed.

25 In the event of severe toxicities during a given cycle, the doses of carboplatin and/or  
26 pemetrexed were reduced in subsequent cycles. Such toxicities included grade 4 thrombocytopenia, grade  
27  $\geq 3$  febrile neutropenia, or other grade  $\geq 3$  nonhematological toxicities. Dose reduction comprised of a  
28 decrease in carboplatin to an AUC of 4 mg/mL/min and a decrease in pemetrexed to 400 mg/m<sup>2</sup>.  
29 Subsequent dose increases were not permitted after a reduction in the chemotherapy dose. In the event of

1 recurrent severe toxicities following dose reduction, the protocol treatment was terminated.  
2  
3 Administration of erlotinib during the maintenance phase was interrupted if patients developed grade 3  
4  
5 neutropenia, grade 2 thrombocytopenia, a putative infection with a fever of  $\geq 38^{\circ}\text{C}$ , grade 1 hemoptysis or  
6  
7 interstitial lung disease, intolerable grade 2 rash, or other grade 3 nonhematological toxicities until the  
8  
9 toxicity had recovered to grade 0 or 1. Erlotinib dose was reduced to 100 mg/day (level -1) and 50  
10  
11 mg/day (level -2); the protocol treatment was terminated in the event of a third severe toxicity.  
12  
13 Bevacizumab administration was delayed in the presence of bevacizumab-related severe toxicities, such  
14  
15 as grade  $\geq 3$  thrombotic events, bleeding events, hypertension, or proteinuria. Bevacizumab dose  
16  
17 reductions were not permitted. If patients required a treatment delay of  $\geq 2$  weeks during both induction  
18  
19 and maintenance phase, the protocol treatment was terminated.  
20

## 21 22 23 **Baseline and treatment assessments**

24  
25 Patient assessment, which included physical examination, complete blood counts, and  
26  
27 biochemistry, was conducted once a week during the first cycle of treatment and then at least once for  
28  
29 every subsequent cycle. Chest radiography, computed tomography (CT) scans of the chest and abdomen,  
30  
31 magnetic resonance imaging studies of the brain, and bone scintigraphy or positron emission tomography-  
32  
33 CT studies were performed for baseline tumor assessment within 28 days before initiation of the protocol  
34  
35 treatment. Tumor response was assessed at baseline and every 2 cycles using the RECIST version 1.1. If a  
36  
37 patient was documented as having a CR or PR, confirmatory evaluation was performed after an interval  
38  
39 of at least 4 weeks. SD required a minimum 6-week period from enrollment in the study. Clinical  
40  
41 response data were confirmed by extramural review. Toxicities were graded using the National Cancer  
42  
43 Institute Common Terminology Criteria for Adverse Events (version 4.0). The quality of life was assessed  
44  
45 with the Functional Assessment of Cancer Therapy-General (FACT-G) and FACT-Lung (FACT-L)  
46  
47 questionnaires completed at baseline and after every other cycle. PFS was defined as the time from the  
48  
49 date of enrollment to the date of the first occurrence of disease progression or death from any cause;  
50  
51 patients who had not experienced progression or death at the data cutoff time were censored at the last  
52  
53 tumor assessment. OS was calculated from the date of enrollment to the date of death of any cause; data  
54  
55 were censored at the date of last follow-up if the patient was confirmed to be alive.  
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1 **Statistical methods**

2 At the time of trial planning in 2010, only the E4599 trial had shown superior OS with the  
3 PacCBeV (induction therapy with carboplatin, paclitaxel, and bevacizumab followed by bevacizumab  
4 continuation) regimen [14]. The median PFS of PacCBeV in the E4599 trial was 6.2 months. Assuming a  
5 hazard constant exponential distribution in the survival time distribution, the 6-month PFS rate of E4599  
6 was calculated as 51.3%. Assuming that a 6-month PFS rate of 70% in eligible patients would indicate  
7 potential treatment efficacy while a 6-month PFS rate of 50% would be the lower limit of interest, with  
8  $\alpha = 0.05$  and  $\beta = 0.20$ , the estimated accrual number was 47 patients. Hence, the accrual goal was  
9 51 patients to allow for potential dropouts. Efficacy and safety analyses were planned for patients who  
10 received at least 1 cycle of the treatment. Survival estimation was performed using the Kaplan-Meier  
11 method.

12  
13 **Results**

14 **Patient characteristics**

15 Between September 2011 and January 2014, a total of 51 patients were enrolled at 10  
16 institutions of the Hokkaido lung cancer clinical study group Trial (HOT) in Japan. Of these patients, 50  
17 were eligible for analysis and received the induction therapy; 1 patient developed cardiac tamponade  
18 rapidly before starting protocol treatment and was excluded from further analysis. Table 1 shows the  
19 baseline characteristics of the 50 patients. An *EGFR* mutation test for each patient was conducted at the  
20 local laboratory and not confirmed centrally. Highly sensitive methods such as PNA-LNA PCR clamp or  
21 Scorpion ARMS assay was covered by health insurance and widely used in Japan during the study period.

22  
23 **Treatment delivery**

24 The CONSORT diagram of the study is shown in Fig. 1. Overall, the 50 eligible patients  
25 received a median of 4 cycles (range: 1–6 cycles) of induction therapy; 43 patients (86%) completed at  
26 least 4 cycles of induction therapy. Twenty-nine patients (58%) switched to the maintenance therapy and  
27 received a median of 4 cycles (range: 1–20 cycles). Of 29 patients, 6 (20.7%) and 3 (10.3%) received  $\geq 8$   
28 and  $\geq 10$  cycles of maintenance treatment, respectively. Twenty-one patients (42%) did not receive  
29 maintenance therapy because of disease progression during or after the completion of induction therapy

1 (n=10), toxicity (n=7), or patient choice (n=4). In the induction phase, 10 patients (20%) experienced  
2 dose reductions of chemotherapy. Of 29 patients who received maintenance therapy, 8 (28%) experienced  
3 erlotinib dose reductions. The reasons for discontinuing maintenance therapy were disease progression  
4 (n=16), toxicity (n=9), or patient choice (n=3). Rash acneiform was the most frequent reason for  
5 discontinuing maintenance treatment (5/9 patients) despite erlotinib dose reduction. One patient was still  
6 on treatment by the cutoff date.

## 8 **Efficacy**

9 Fifty patients were deemed eligible for evaluation of efficacy. No patient achieved a CR  
10 while 24 (48%) had a PR; the ORR was 48% (95% confidence interval [CI]: 34.8–61.5%) (Table 2). All  
11 24 patients with PR achieved an objective response during the induction phase. Nineteen patients (38%)  
12 maintained an SD, yielding a disease control rate of 86% (95% CI: 73.8–93.0%). Seven patients (14%)  
13 experienced PD. After a median follow-up period of 14.3 months (range: 1.1–30.7 months), the median  
14 PFS (mPFS) and OS (mOS) were 6.5 months (95% CI: 5.8–7.2 months) and **21.4 months (95% CI: 15.9-**  
15 **26.9 months)**, respectively (Fig. 2). The 6-months PFS rate (the primary endpoint) was 59.5% (95% CI:  
16 45.0–72.6%). The mPFS of the maintenance phase only (n=29) was 4.2 months (95% CI: 2.1–6.0 months).  
17 At the time of data collection cutoff, which was 1 year and 8 months after the last patient enrolled, 17  
18 patients (34%) were still alive.

## 20 **Safety**

21 The major adverse events of all eligible patients in each treatment phase (induction and  
22 maintenance phase) are summarized in Table 3. Although grade  $\geq 3$  adverse events were observed in 33  
23 patients (66.0%), most were hematologic, and no febrile neutropenia was detected. One patient  
24 experienced grade 4 intestinal perforation and was salvaged by emergency surgery on day 5 in the first  
25 cycle of induction therapy. The operative pathology reported a metastasis at the perforation site. It is  
26 possible that bevacizumab caused intestinal perforation. One patient (3.4%) died due to ventricular  
27 fibrillation on day 15 in the first cycle of maintenance therapy, which was considered a treatment-related  
28 event.

1 **Quality of life**

2 Thirty-nine patients (78%) completed the QOL questionnaire at baseline. The number of  
3 patients with evaluable QOL was lower than expected owing to the low questionnaire completion rate at  
4 some institutions. Fig. 3 showed the mean FACT-L and FACT-G scores, trial outcome index (TOI), and  
5 Lung Cancer Subscale (LCS) at baseline, at the beginning of third cycle in the induction phase, at the  
6 beginning of maintenance therapy, and at the third, fifth, and seventh cycles in the maintenance phase.  
7 Although the number of evaluable patients was relatively low in the latter course of treatment, there was  
8 no significant decline in the FACT-L, FACT-G, TOI and LCS scores during treatment.

9  
10 **Second-line therapy**

11 Thirty-seven patients (74%) underwent second-line therapy. The regimens of second-line  
12 therapy are shown in Table 4. No patients who progressed during induction phase were administered  
13 erlotinib or erlotinib plus bevacizumab as second-line therapy. Three patients (8%) achieved PR, 23  
14 patients (62%) had SD, 7 patients (19%) had PD, and 4 patients (11%) were not evaluable, judged by  
15 each investigator.

16  
17 **Discussion**

18 To our knowledge, this is the first multicenter phase 2 study to evaluate the efficacy and  
19 safety of switch maintenance erlotinib and bevacizumab after the induction therapy with  
20 carboplatin/pemetrexed/bevacizumab for non-Sq NSCLC with wild-type *EGFR*. Switch maintenance is  
21 considered an “early second-line” therapy. Docetaxel is the standard second-line treatment and has been  
22 previously tested as “early second-line” therapy; therefore, we tested another hypothesis and selected  
23 erlotinib in this trial [26]. This combination therapy achieved an ORR of 48%, mPFS of 6.5 months, and  
24 **mOS of 21.4 months**. The lower limit of the one-sided 95% CI of the 6-month PFS rate, the primary  
25 endpoint, was 45.0%; this did not exceed the prior assumption of 50%. Although 1 patient (2%) died due  
26 to ventricular fibrillation in the maintenance phase, 43 patients (86%) completed  $\geq 4$  cycles of induction  
27 therapy without experiencing febrile neutropenia, and 29 (58%) received a median of 4 cycles of  
28 maintenance therapy.

1                   1                   In the PointBreak study, the PemCBeV (induction therapy with carboplatin, pemetrexed, and  
2 bevacizumab followed by continuation maintenance therapy with pemetrexed and bevacizumab) and the  
3 PacCBeV treatment groups showed identical efficacy, with ORRs of 34.1% and 33.0%, DCRs of 65.9%  
4 and 69.8%, mPFS of 6.0 months and 5.6 months, and mOS of 12.0 months and 13.4 months from the start  
5 of induction therapy, respectively. Additionally, 66.0% of patients in the PemCBeV arm and 67.3% of  
6 those in the PacCBeV arm received maintenance therapy [19]. In the ATLAS study, induction therapy  
7 with any platinum-doublet (other than pemetrexed) plus bevacizumab followed by switch maintenance  
8 therapy with bevacizumab and erlotinib or placebo improved PFS over placebo to 4.8 months vs. 3.7  
9 months (hazard ratio [HR], 0.71; 95% CI, 0.58–0.86;  $p < .001$ ) without improving OS (14.4 months vs.  
10 13.3 months; HR, 0.92; 95% CI, 0.70–1.21;  $p = .5341$ ) from the start of maintenance therapy [17].  
11 Considering that only patients with *EGFR* wild-type NSCLC were eligible for our study, mOS of 21.4  
12 months was favorable. In addition, our findings of an ORR of 48% without febrile neutropenia by using  
13 an AUC=5 of carboplatin are also noteworthy.

14                   14                   On the other hand, the favorable OS in our study might be attributable to the strict eligibility  
15 criteria. Several retrospective studies showed that eligibility for bevacizumab is an independent favorable  
16 prognostic factor in NSCLC [27,28]. Additionally, erlotinib eligibility was required in our study, which  
17 might have increased the proportion of patients with never or light smoking status and contributed to the  
18 favorable OS outcome. Weiss et al. conducted a phase 2 trial of PemCBeV in patients with NSCLC with  
19 never or former/light smoking status, and showed similar efficacy with an ORR of 47%, mPFS of 12.6  
20 months, and mOS of 20.3 months from the start of induction therapy [28]. Two other Japanese phase 2  
21 studies of PemCBeV also reported similar favorable outcomes [29,30]. The additional benefits of adding  
22 bevacizumab to carboplatin and pemetrexed in Non-Sq NSCLC patients should be verified in other  
23 contexts.

24                   24                   Despite the statistically superior efficacy of EGFR-TKIs in the initial randomized clinical  
25 trial [21], the indication of such agents in patients with wild-type *EGFR* NSCLC has been limited  
26 [3,32,33]. However, even when using the “sensitive” *EGFR* mutation analysis method, a substantial  
27 number of patients who might benefit from EGFR-TKIs may be unable to take advantage of them  
28 because of their limited indication [34]. Therefore, in addition to the dual blockade of the EGFR and  
29 VEGF pathways in wild-type *EGFR* NSCLC, our protocol using EGFR-TKIs as a maintenance strategy

1 would therefore treat those patients who would have otherwise missed such therapies because of a false-  
2 negative *EGFR* mutation status test. Considering the modest clinical efficacy of EGFR-TKI and  
3 bevacizumab for wild-type EGFR, which is the most likely explanation for not achieving the primary  
4 endpoint, it is difficult to justify the routine use of this regimen for EGFR wild-type NSCLC. However,  
5 the fact that 10% of patients received  $\geq 10$  cycles of maintenance therapy suggests that a subpopulation of  
6 patients can derive a benefit from this switch maintenance strategy. The increased QOL in the latter  
7 course of treatment may also reflect the treatment's efficacy in such subpopulations.

8           Seventeen patients (34%) survived for over 2 years. After undergoing protocol treatment, 2  
9 patients were diagnosed as ALK positive and 1 patient was diagnosed as ROS1 positive. One case has  
10 recently been identified as an EGFR false negative case. After 20 cycles of maintenance therapy, the  
11 patient relapsed with pleural effusion, which contained EGFR mutation positive NSCLC cells. However,  
12 driver mutations were not found in the remaining 14/17 patients in whom survival exceeded 2 years.  
13 There was no association between baseline characteristics and longer survival and we did not collect any  
14 pretreatment tumor specimens. Therefore, we could not identify the specific subgroup with a favorable  
15 outcome, which is the greatest limitation of the present study.

16           In the United States (US), pembrolizumab was recently approved as a first-line combination  
17 therapy with carboplatin and pemetrexed for patients with advanced NSCLC irrespective of their PD-L1  
18 expression status, based on the result of a randomized phase 2 study, recently corroborated by a  
19 subsequent phase 3 trial [35,36]. Although this combination therapy has not yet been approved outside the  
20 US, most patients without activating driver mutations might be good candidates for this ICI combination  
21 therapy. Identifying patients who should be treated with a bevacizumab combination regimen and/or an  
22 ICI combination remains an important issue.

23           **In conclusion, although carboplatin/pemetrexed/bevacizumab followed by erlotinib and**  
24 **bevacizumab maintenance showed modest efficacy and was well tolerated in non-squamous NSCLC**  
25 **patients with wild-type *EGFR*, this is a negative phase 2 trial. Considering a subpopulation of patients**  
26 **might be able to derive a long-time survival benefit from this switch maintenance strategy, further**  
27 **exploration of identifying useful biomarkers are warranted.**

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3

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6

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9

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**Figure Captions**

Fig. 1  
CONSORT diagram of the study.

Fig. 2  
Kaplan-Meier curves of (A) progression-free survival (PFS) and (B) overall survival (OS). CI, confidence interval.

Fig. 3  
Functional Assessment of Cancer Therapy (FACT)-Lung (FACT-L), FACT-General (FACT-G), trial outcome index (TOI), and lung cancer subscale (LCS) scores at baseline and during treatment. (i), induction therapy; (m), maintenance therapy.

Table 1. Patient characteristics

Characteristics	n	(%)
Age (years)		
Median	64	
Range	36–74	
Sex		
Male	27	(54)
Female	23	(46)
ECOG Performance Status		
0	28	(56)
1	22	(44)
Disease Stage		
IIIB	5	(10)
IV	41	(82)
Recurrence	5	(8)
Histology		
Adenocarcinoma	48	(96)
Non-small cell carcinoma	2	(4)
Smoking status		
Never	13	(26)
Ever	34	(68)
Unknown	3	(6)

ECOG, Eastern Cooperative Oncology Group.

Table 2. Treatment outcomes

Outcome	n	(%)
CR	0	(0)
PR	24	(48)
SD	19	(38)
PD	7	(14)
ORR	24	(48)
DCR	43	(86)

Abbreviations: CR, complete response; PR, partial response; SD, stable disease; PD, progressive disease; ORR, overall response rate; DCR, disease control rate

Table 3. Safety profiles

Adverse Event	Induction phase, n=50						Maintenance phase, n=29							
	Any Grade		Grade 3		Grade 4		Any Grade		Grade 3		Grade 4		Grade 5	
	No.	(%)	No.	(%)	No.	(%)	No.	(%)	No.	(%)	No.	(%)	No.	(%)
<b>Hematologic</b>														
Leukopenia	38	(76.0)	12	(24.0)	2	(4.0)	7	(24.1)	0	(0)	0	(0)	0	(0)
Neutropenia	41	(82.0)	17	(34.0)	7	(14.0)	3	(10.3)	1	(3.4)	0	(0)	0	(0)
Anemia	43	(86.0)	9	(18.0)	0	(0)	19	(65.5)	1	(3.4)	0	(0)	0	(0)
Thrombocytopenia	38	(76.0)	8	(16.0)	3	(6.0)	4	(13.8)	0	(0)	0	(0)	0	(0)
<b>Nonhematologic</b>														
Fatigue	31	(62.0)	3	(6.0)	0	(0)	12	(41.4)	1	(3.4)	0	(0)	0	(0)
Anorexia	31	(62.0)	7	(14.0)	0	(0)	10	(34.5)	1	(3.4)	0	(0)	0	(0)
Nausea	26	(52.0)	3	(6.0)	0	(0)	6	(20.7)	0	(0)	0	(0)	0	(0)
Vomiting	6	(12.0)	0	(0)	0	(0)	2	(6.9)	0	(0)	0	(0)	0	(0)
Diarrhea	6	(12.0)	0	(0)	0	(0)	10	(34.5)	2	(6.9)	0	(0)	0	(0)
Constipation	18	(36.0)	0	(0)	0	(0)	7	(24.1)	0	(0)	0	(0)	0	(0)
Mucositis	7	(14.0)	0	(0)	0	(0)	8	(27.6)	1	(3.4)	0	(0)	0	(0)
Hypertension	19	(38.0)	5	(10.0)	0	(0)	10	(34.5)	1	(3.4)	0	(0)	0	(0)
Proteinuria	7	(14.0)	0	(0)	0	(0)	11	(37.9)	1	(3.4)	0	(0)	0	(0)
Localized edema	0	(0)	0	(0)	0	(0)	1	(3.4)	1	(3.4)	0	(0)	0	(0)
Epistaxis	8	(16.0)	0	(0)	0	(0)	2	(6.9)	0	(0)	0	(0)	0	(0)

Intestinal perforation	1	(2.0)	0	(0)	1	(2.0)	0	(0)	0	(0)	0	(0)	0	(0)
Rash acneiform	2	(4.0)	1	(2.0)	0	(0)	18	(62.0)	3	(10.3)	0	(0)	0	(0)
Pruritus	3	(6.0)	0	(0)	0	(0)	9	(31.0)	0	(0)	0	(0)	0	(0)
Alopecia	4	(8.0)	0	(0)	0	(0)	2	(6.9)	0	(0)	0	(0)	0	(0)
Pneumonitis	1	(2.0)	0	(0)	0	(0)	1	(3.4)	0	(0)	0	(0)	0	(0)
Infection	4	(8.0)	1	(2.0)	0	(0)	0	(0)	0	(0)	0	(0)	0	(0)
AST increased	26	(52.0)	1	(2.0)	0	(0)	11	(37.9)	0	(0)	0	(0)	0	(0)
ALT increased	24	(48.0)	0	(0)	0	(0)	9	(31.0)	0	(0)	0	(0)	0	(0)
Cre increased	14	(28.0)	0	(0)	0	(0)	12	(41.4)	0	(0)	0	(0)	0	(0)
Hyperkalemia	12	(24.0)	0	(0)	0	(0)	2	(7.0)	0	(0)	0	(0)	0	(0)
Ventricular fibrillation	0	(0)	0	(0)	0	(0)	1	(3.4)	0	(0)	0	(0)	1	(3.4)

Abbreviations: AST, aspartate transaminase; ALT, alanine transaminase; Cre, creatinine.

Table 4. Second-line therapy

Regimen	n	(%)
docetaxel	15	(41)
S-1	4	(11)
pemetrexed/bevacizumab	3	(8)
carboplatin/pemetrexed	2	(5)
pemetrexed	2	(5)
carboplatin/docetaxel	1	(3)
carboplatin/nab-paclitaxel	1	(3)
carboplatin/pemetrexed/bevacizumab	1	(3)
cisplatin/S-1	1	(3)
cisplatin/vinorelbine	1	(3)
amrubicin	1	(3)
gemcitabine	1	(3)
bevacizumab	1	(3)
alectinib	1	(3)
crizotinib	1	(3)
nivolumab	1	(3)
Total	37	(100)



Fig. 1

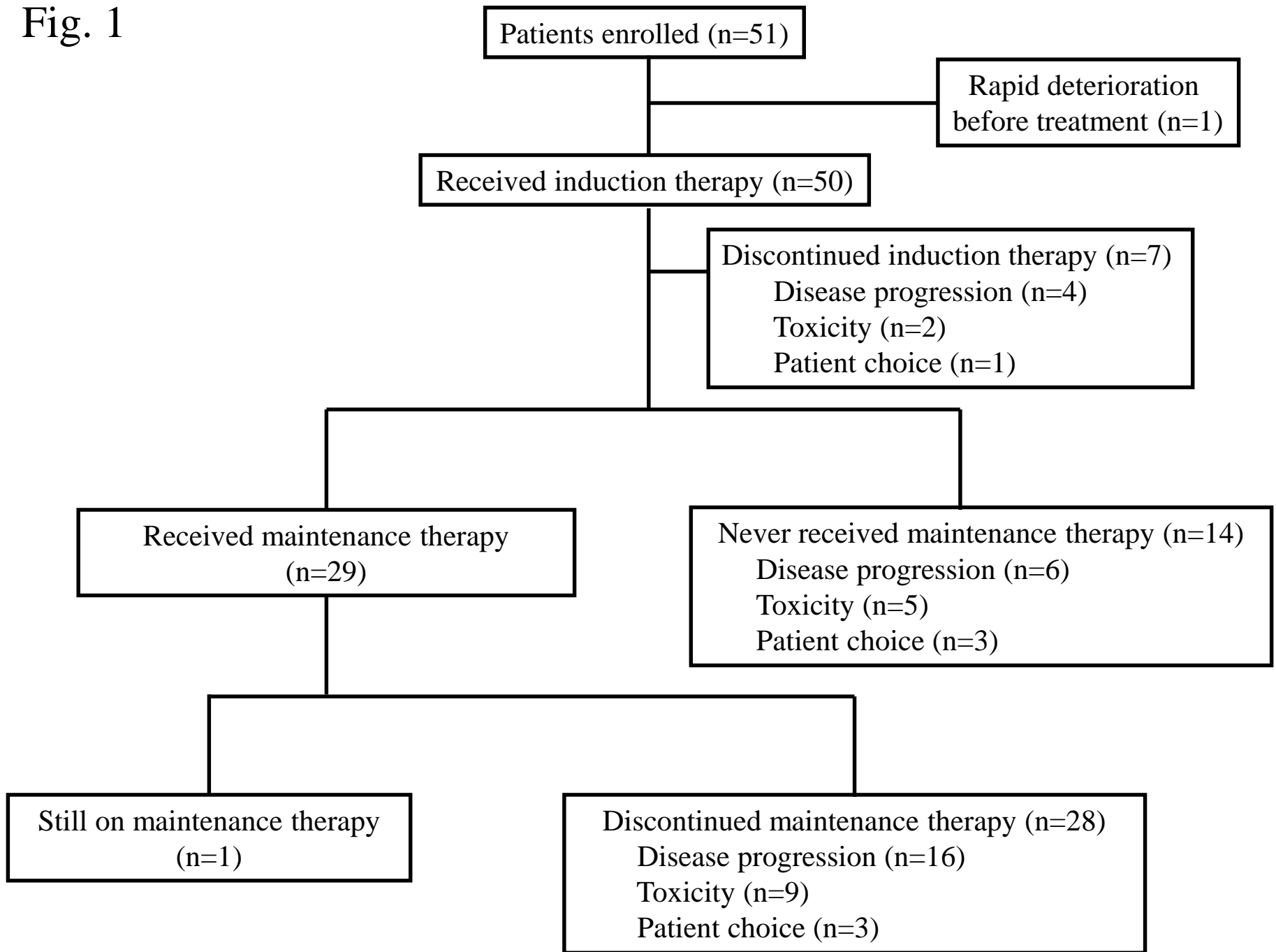
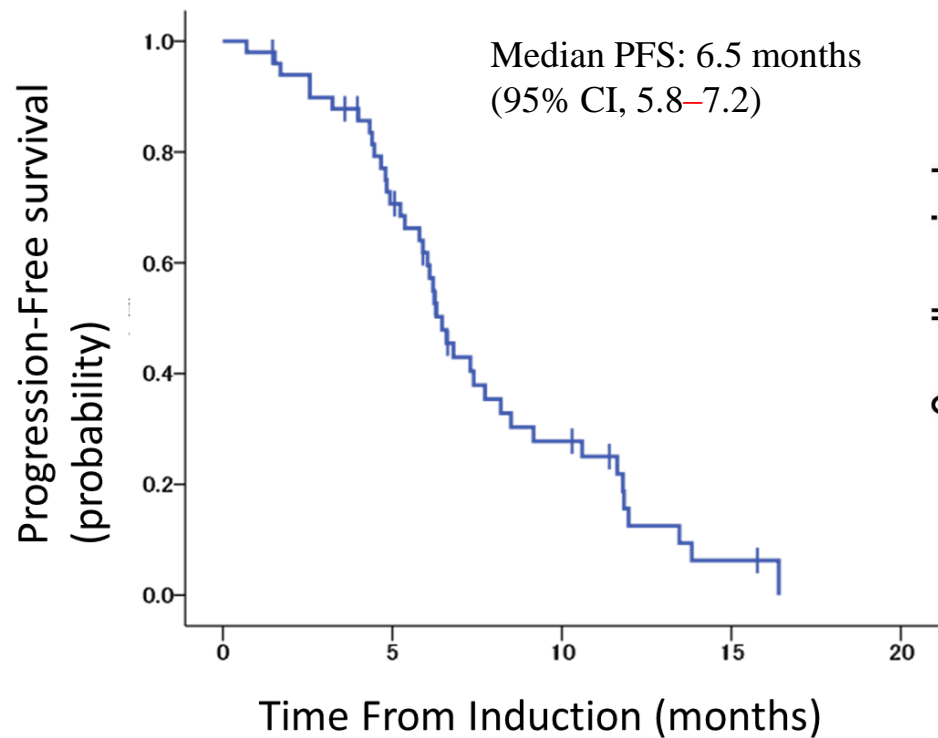


Fig. 2

A



B

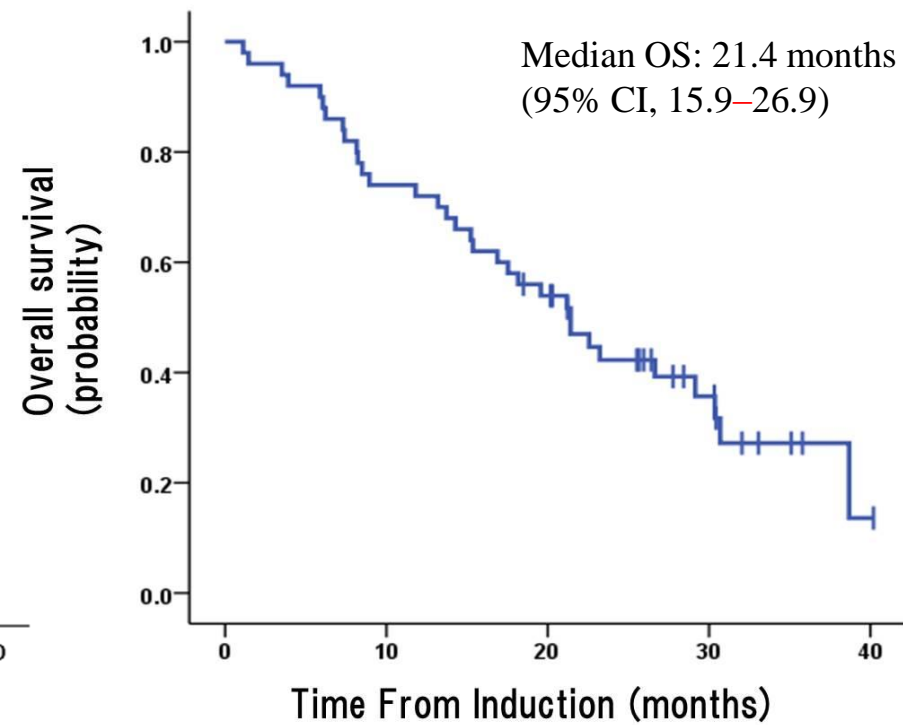


Fig. 3

