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**Prognostische und prädiktive Bedeutung von Osteopontin und anderen hypoxie-  
assoziierten Plasmaproteinen in der Radiotherapie des lokal-fortgeschrittenen und  
metastasierten Bronchialkarzinoms**

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**Prognostic and predictive significance of osteopontin and other hypoxia-related  
plasma proteins in the radiotherapy of locally advanced and metastatic bronchial  
carcinoma**

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This work is dedicated in memory of my grandmother, Ms. Erna-Maria Ostheimer

## Summary

Response to radiation is impaired in hypoxic tumors compared to normoxic tissues, limiting treatment outcome of patients undergoing radiotherapy. It is crucial to identify patients with significant tumor hypoxia before treatment and to select them for hypoxia-specific therapies to overcome hypoxic radiation resistance and improve prognosis. I, therefore, evaluated the hypoxia-related proteins osteopontin (OPN), carbonic anhydrase IX (CAIX) and vascular endothelial growth factor (VEGF) for their prognostic impact in the radiotherapy of lung cancer.

From 2008 to 2011 a total of 97 patients with locally advanced or metastatic bronchial carcinoma (non small-cell lung cancer, NSCLC, and small-cell lung cancer, SCLC) were prospectively investigated. All patients were treated with primary curative- or palliative-intent radiotherapy ± chemotherapy. OPN plasma samples were obtained before (t0), at the end (t1) and four weeks after radiotherapy (t2). Pre-treatment (baseline) plasma levels of CAIX and VEGF were determined. Plasma concentrations were detected by enzyme-linked-immuno-sorbent-assay (ELISA). Absolute baseline plasma protein levels were tested for correlation, their association with clinicopathological patient characteristics and their impact on prognosis. OPN plasma level changes over time were monitored and correlated with therapy response and prognosis.

In all patient subgroups, median OPN plasma levels decreased during and after radiotherapy (n.s.). A positive correlation between OPN plasma levels detected at the different time points was noted but baseline OPN, VEGF and CAIX did not correlate. Baseline OPN plasma levels were associated with age (p=.03), gender (p=.03), weight loss (p=.001), lung function (FeV1, p=.002), T-stage (p=.02) and GTV (p=.01). Patients with distant metastases had considerably increased OPN plasma levels at all time points (p=.001); VEGF was significantly elevated in patients with larger GTV (p=.002) and low hemoglobin blood concentration (p=.04) and CAIX was related to N-stage (p=.04).

Therapy response was associated with OPN t1 plasma levels (p=.002) and their changes during radiotherapy (p=.04). OS was significantly reduced in patients with high OPN t0, t1 and t2 (p=.04, .004 and .02) plasma levels. OPN t0 (p=.02), t2 and OPN plasma level changes after radiotherapy (p=.002) remained independent predictors for OS in multivariate analysis. Biomarker combination resulted in an augmented prognostic effect with the triple marker combination VEGF-CAIX-OPN most significantly impacting OS. OPN t1, t2 plasma levels and their changes after radiotherapy significantly predicted PFS (p=.02 and .001) and baseline VEGF plasma levels remained independent predictors for both OS (p=.004) and PFS (p=.009).

My results suggest that elevated pre-treatment plasma levels of OPN, VEGF and CAIX indicate advanced tumor disease and that radiotherapy only marginally influences OPN plasma levels over time despite some evidence of a relation between OPN plasma levels and therapy response.

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## Table of abbreviations and symbols

CAIX	carbonic anhydrase IX
CD44	cluster of differentiation 44
CI	confidence interval
CT	computed tomography
DFS	disease-free survival
DNA	deoxyribonucleic acid
ECOG	Eastern Cooperative Oncology Group
ELISA	enzyme-linked-immuno-sorbent-assay
FFLR	freedom from local relapse
FeV1	forced expiratory one second volume (% of normal value)
F-MISO	fluoromisonidazole
Fx	fraction
GLUT-1	glucose transporter 1
GTV	gross tumor volume (ml)
G	tumor grading (differentiation G1 to G4)
Gy	Gray
Hb	hemoglobin
HIF-1 $\alpha$	hypoxia inducible factor 1 $\alpha$
IgG	immunoglobuline G
Ltd.	Limited
MFS	metastasis-free survival
mg	milligram
ml	milliliter
MRI	magnetic resonance imaging
mRNA	messenger ribonucleic acid
MMP	matrix metalloproteinases
m <sup>2</sup>	square meter
n	patient number
ng	nanogram
nm	nanometer
NSCLC	non small-cell lung cancer
OER	oxygen-enhancement ratio
OPN	osteopontin

OS	overall survival
PET	positron emission tomography
PFS	progression-free survival
p	p-value (significance level)
pg	picogram
pH	hydrogen potential
pO <sub>2</sub>	partial oxygen pressure (tissue)
PTV	planning target volume (ml)
r	correlation coefficient (Pearson)
rr	relative risk
RGD	tripeptide arginyl-glycyl-aspartic acid (Arg-Gly-Asp)
ROS	reactive oxygen species
rpm	rates per minute
SCLC	small-cell lung cancer
SD	single dose (Gray)
shRNA	small hairpin ribonucleic acid
siRNA	small interfering ribonucleic acid
SIBLING	small integrin-binding ligand N-linked glycoprotein
SPECT	single-photon computed tomography
TD	total dose (Gray)
TNM	tumor node metastasis
TTP	time to progression
TPZ	tirapazamine
UICC	Union internationale contre le cancer
uPa	urokinase plasminogen activator
USA	United States of America
VEGF	vascular endothelial growth factor



## **1. Introduction:**

### **1.1 Tumor hypoxia: Basic principles and clinical implications**

In many human cancers, particularly lung cancer, cure rates remain low throughout stages [1,2] and often, treatment resistance accounts for poor prognosis and therapeutic outcome. In radiation oncology, a critical factor for treatment resistance is tumor hypoxia which constitutes an important aspect of the tumor microenvironment [3-5].

The discovery of the influence of oxygenation on cellular response to radiation can be traced back to the observations of Holthusen, Schwarz and Mottram et al. who, more than 80 years ago, first described differing radiation sensitivity under anoxic and normoxic conditions. The specific relevance of tumor oxygenation for radiotherapy is outlined by Thomlinson and Gray [6]. The so-called “oxygen effect” belongs to the fundamental principles in radiation biology and is defined by the oxygen-enhancement-ratio (OER) which states that anoxic cells need a 2- to 3-fold higher radiation dose compared to normoxic cells in order to achieve the same biological effect (i.e. cell death) [7]. In other words, the OER predicates a 2- to 3-fold increased radio-sensitivity of well-oxygenated cells in comparison to anoxic cells. The responsible mechanism for increased radiation damage in the presence of oxygen is the formation of reactive oxygen species (ROS) which cause additional and permanent DNA damage, requiring lower radiation doses.

Solid tumors however, often feature extensive hypoxia [5,8-10] which is related to an imbalance between oxygen demand and supply. While oxygen consumption is significantly increased due to rapid tumor cell proliferation, oxygen delivery is inefficient owing to abnormal and dysfunctional microvasculature and diminished microcirculation (i.e. “perfusion-related hypoxia”) [11-13]. In addition to the fluctuating and unstable blood flow, deteriorated diffusion geometry with an increased diffusion distance limits oxygenation, particularly at the proliferative edge (i.e. “invasive front”) [14-16] of malignant tumors (i.e. “diffusion related hypoxia”) [12,17,18]. Another aspect contributing to tumor hypoxia is cancer- or treatment-induced anemia which is related to a reduced oxygen-carrying capacity due to hemoglobin depletion [19,20] which in turn adversely impacts prognosis in patients undergoing cancer treatment [4,21,22,24,25]. This underlines that tumor hypoxia cannot be regarded as a monocausal and constant phenomenon but rather is of dynamic nature with acute and chronic aspects [26,27] and both inter- and intra-tumor variation [28,29]. By inducing fundamental genomic and proteomic changes [12,30], hypoxia significantly alters the proliferative and metabolic behavior of tumor cells, that is compromising cell differentiation, DNA repair and apoptosis [3,31-33] and increasing

angiogenesis, mutability and tumor cell viability [3,12,19,20,26,27,31-39]. Ultimately, these alterations allow improved tumor cell adaptation to the hostile, hypoxic environment where hypoxia can be regarded as a “selection factor” enhancing clonal selection of well-adapted tumor cells and driving the tumor to a more aggressive, invasive, metastatic and highly malignant phenotype [40-46], featuring resistance to chemoradiotherapy [5,12,18,47-52]. On a clinical perspective, this is of considerable importance, particularly in the radiotherapy of cancer [24,53-56]: Nordmark et al. provided solid evidence that pre-treatment hypoxia (pO<sub>2</sub> electrode readings) is associated with inferior overall survival, response to radiation and tumor control in head-and-neck cancer patients including a subgroup of patients treated at the department of Radiation Oncology Halle [25,57,58].

## **1.2 Detection of clinically significant tumor hypoxia: hypoxic imaging and invasive oxygen electrode measurements**

Being a critical factor of radiation resistance, tumor hypoxia is regarded as a major therapeutic target in radiation oncology. At first however, reliable and feasible methods for the detection and quantification of clinically significant tumor hypoxia have to be found, evaluated and implemented into the clinical routine.

In the literature, different attempts to describe tumor oxygenation and to quantify tumor hypoxia have been investigated [59,60]. Traditionally, polarographic needle electrodes such as the “Sigma Eppendorf electrode system” [61], which are invasively placed into tumors, have been used to directly measure tissue oxygen levels in the experimental setting [28,62-64]. Clinically, there is evidence that pre-treatment oxygen levels, detected by microelectrode measurements, are of prognostic and predictive quality in different human cancer entities treated by radiotherapy [12,23,65]: In head and neck cancer or soft tissue sarcoma patients for instance, a low intra-tumoral pO<sub>2</sub> correlated with inferior survival after radiotherapy [53,57]. Despite the proven validity of this method its routine clinical application is limited by methodological (resolution, oxygen consumption by microelectrodes limiting continuous oxygen measurements within tumors over time, inter-observer variability, equipment costs, validation with other methods of measuring hypoxia [66-70] and biological (heterogeneity of oxygenation within tumors, i.e. location, distribution, level, duration and onset of hypoxia [17,64,71]) drawbacks [72,73]. In particular, the invasiveness and restriction of this method to easily accessible tumors as well as the transient nature of hypoxia underline the necessity for dynamic monitoring of tumor oxygenation throughout radiotherapy [12,69,74-76].

Consequently, imaging technologies such as magnetic resonance imaging (MRI) [19,77-80], single-photon computed tomography (SPECT) [81] and positron emission tomography (PET) [82-84] using different hypoxic tracers such as 18-fluoromisonidazole ( $^{18}\text{F}$ -MISO) [19,85] have been described as more feasible non-invasive approaches [85-87] to visualize tumor hypoxia, particularly accounting for its dynamic nature. High reproducibility and a good correlation with tumor oxygenation was reported for F-MISO-PET [88-90]. Hypoxia imaging with  $^{18}\text{F}$ -MISO-PET was suggested as a useful and feasible approach of guided dose escalation in the intensity-modulated radiotherapy of head and neck cancer with the goal of safely improving tumor control probability [91]. In the same tumor entity, F-MISO-PET imaging efficiently labeled hypoxic cells, successfully predicted the risk for tumor recurrence after radiotherapy [92] and was able to identify head and neck cancer patients who benefitted from additional treatment with the hypoxic cytotoxin tirapazamine [93]. The potential use of hypoxic PET-imaging in radiotherapy is experimentally documented for different cancer entities [94,95] including malignant glioma [96], sarcoma [97] and non small-cell lung cancer (NSCLC) where  $^{18}\text{F}$ -MISO uptake correlates with outcome after radiotherapy [98]. To increase their sensitivity and reliability, further evaluation and validation of hypoxic imaging is needed [65], preferably by correlation or combination with other approaches of mapping tumor hypoxia such as immunohistochemistry [99], polarographic needle electrodes [100] or endogenous and exogenous hypoxia markers [99,101-107]. Ultimately, biokinetics and application of hypoxic tracers has to be improved before hypoxic imaging techniques may be implemented into the clinical routine [85].

### **1.3 Extrinsic hypoxia markers**

While invasive approaches rather seem not suitable for the routine detection of tumor hypoxia (primarily due to their limited reach and invasive nature), so-called “extrinsic hypoxia markers” have amended the strategies of experimentally assessing tumor oxygenation in cancer patients before initiation of treatment in order to select them for hypoxia-specific targeted therapies which may be available in future.

Exogenous hypoxia markers including EF5 or pimonidazole, which is the most thoroughly investigated, are non-physiologic substances which have to be brought into the human body (by injection for example) where they accumulate under hypoxic conditions by chemical reduction (“bio-reducible markers”) [65,108]. Besides the high spatial resolution, the distinct advantage of this approach is its ability to delineate real hypoxia from anoxia

(where exogenous hypoxia markers are not metabolized and thus do not accumulate). This previously has been demonstrated clinically and prognostically in patients with head and neck cancer [12,109].

To some extent however, extrinsic hypoxia markers exhibit limited range and are more reflective of chronic rather than acute hypoxia, making them susceptible for partially missing oxygen tensions which might be of therapeutic relevance [76].

Generally, they do not incorporate necrotic areas which makes the correlation and validation of extrinsic hypoxia markers with invasive methods of measuring tumor oxygenation difficult due to the missing congruency between these two methods [110,111]. Analogue to invasive or imaging techniques, exogenously administered hypoxia markers suffer from depicting tumor oxygenation at a specific time point which neglects the dynamic and changing nature of tumor oxygenation [68,112].

Apart from the necessity of exogenous (possibly repeated) marker injection, consecutive biopsy is required for evaluation of hypoxic regions, for instance by immunohistochemistry [12]. However, imaging methods such as hypoxic PET could, combined with extrinsic hypoxia markers, complement and increase the validity of this approach [102,113].

#### **1.4 Intrinsic hypoxia-related proteins**

Unlike exogenous hypoxia markers, endogenous hypoxia-related proteins are naturally present in the human body where they are directly or indirectly induced by hypoxia which is why they are referred to as “intrinsic hypoxia markers”. For their potential relation to (tumor) hypoxia, these proteins have been suggested as surrogates of tumor oxygenation and possibly clinical radiation resistance [4,110]. Hypoxia inducible factor 1 $\alpha$  (HIF-1 $\alpha$ ), glucose transporter 1 (GLUT-1), carbonix anhydrase IX (CAIX), vascular endothelial growth factor (VEGF) and osteopontin (OPN) constitute the best characterized hypoxia-related molecules [65,68]. HIF-1 $\alpha$  is the only protein which is directly stimulated by hypoxia [40,114-116] and its overexpression has been associated with poor prognosis, advanced disease, an aggressive cancer phenotype and inferior response to cancer therapy in different malignancies [117-122]. HIF-1 $\alpha$  has also been linked to tumor hypoxia-related radiotherapy failure in head-and-neck cancer [123] an in NSCLC, there is evidence which suggests that the prognostic effect of HIF-1 $\alpha$  may be augmented by a co-expression or co-detection with other markers [124]. CAIX, GLUT-1 and VEGF are three downstream effectors of HIF-1 $\alpha$  [17,110,118,125,126] and have been linked to hypoxia [12,69,110,127-

129] and their co-expression displayed a significant association with prognosis in different cancer types including NSCLC [130].

The biological mechanism of hypoxic VEGF induction is that of a decrease in tissue oxygenation which triggers VEGF-mediated angiogenesis to improve perfusion and in consequence, restore a sufficient tissue partial oxygen pressure. A strong stimulation of VEGF by hypoxia was demonstrated in-vitro and in-vivo [131,132] and the prognostic value of VEGF overexpression and increased plasma levels has been documented for different types of human malignancies [133-135], including NSCLC [136-138].

Recently, VEGF mRNA was reported to significantly decrease after surgery and to be associated with overall- and disease-free survival in NSCLC patients, underlining the prognostic and predictive potential of this biomarker [139].

The relationship between hypoxia and CAIX, which seems to be localized primarily in hypoxic and necrotic tumor areas, has been well documented and tumor hypoxia suggested as a driving force for CAIX expression which is related to poor prognosis and resistance to radiotherapy in different types of cancer [73,140-142]. Interestingly, CAIX has been shown to most accurately predict clinically significant tumor hypoxia in NSCLC [143] where it is critically involved in the cellular response to hypoxia [144]. Here, it enables tumor cells to adapt to toxic, anoxic conditions and stimulates their migratory and invasive potential [145]. In the consequence, hypoxia-induced up-regulation of CAIX has been demonstrated to enhance tumor malignancy and increase resistance to cancer therapy which translates into poor prognosis and outcome in many human cancers, including lung- and head-and-neck cancer [140,142,144-151]. Clinically interesting is that the co-expression of CAIX and HIF1 $\alpha$  seems to be predictive for radioresistance in the radiotherapy of cancer [152,153]. Yet, some studies were not able to confirm these observations, suggesting a differential influence of the tumor-biological entity on the prognostic significance of CAIX expression [70,154,155].

Despite the robust relation of the aforementioned markers to hypoxia in-vitro [69,110], their hypoxic induction in-vivo remains complex and is not free from confounding elements of the tumor microenvironment such as Ph [116,156-159]. Thus, in-vitro and in-vivo study results on the relationship of intrinsic hypoxia markers with tumor hypoxia are conflicting [160]: While some studies report HIF-1 $\alpha$  levels to correlate with invasively (needle electrodes) detected pO<sub>2</sub> [69,73,110,161,162], other groups report no or only weak correlations with tumor oxygenation [163-167]. Nevertheless, endogenously secreted

hypoxia-related proteins may be a promising, less invasive, feasible and un toxic approach to quantify tumor oxygenation [17,68,130,168,169].

#### **1.4.1 Physiological function of osteopontin and its role in malignancy**

OPN is an acidic extracellular matrix (44-75kDa) glycoprotein [171,171] and belongs to the SIBLING protein family [172]. Originally discovered in 1989 in bone tissue where it is involved in matrix turnover and bone remodeling [173-179], OPN is physiologically expressed in various human tissues [180,181]. OPN undergoes post-transcriptional modification by alternate splicing [182,183], yielding three splice variants, functionally different in both physiologic conditions and in malignancy [184-186]. OPN exhibits various active domains including a binding site for CD44 surface receptors [187,188] and a RGD motif [171,172] which is the major interaction site for  $\alpha_v\beta_3$ -integrin receptors [189].

On the physiological level, OPN facilitates cell migration, motility, adhesion and chemotaxis in immune or inflammatory processes [190,192] and mediates degradation of the extra-cellular matrix [193-196]. It is also linked to angiogenesis [197,198] and participates in vascular remodeling [199-202].

In most malignant tumors, OPN is widely overexpressed [203-207] and protein secretion is significantly increased [208,209] which is related to enhanced tumor cell migration, proliferation, invasion and metastatic spread [189,210-213]. The latter is mediated by its  $\alpha\beta$ -integrin and CD44 receptors [211,214-216] which induce matrix metalloproteinases and urokinase-plasminogen-activator in various cancer types [189,217-221], ultimately resulting in the degradation of extra-cellular matrix.

Numerous in-vitro studies support the role of OPN in the enhancement of metastatic potential in different human cancer cell lines [222-224], including lung cancer [225] which is underlined by clinical investigations demonstrating a strong association of OPN with tumor metastasis [211,226,227].

Increased cell survival, escape from apoptosis and growth promotion mark some of the major tumorigenic effects of increased OPN expression during cancer progression which has prognostic implications [197,198,210,228,229]. OPN also plays a critical role in the tumor microenvironment (“tumor-host-interface”) where it seems to exert differential functions depending on the source of OPN production such as in tumor-associated macrophages [211,217,230,231].

Besides other cancer entities [209,211], in lung cancer, OPN is considerably overexpressed compared to normal lung tissue and healthy controls [186,208,232,233].

In (lung) cancer, both increased OPN expression and elevated plasma levels are significantly associated with parameters of advanced disease stage, prognosis [206,233-236] response to chemotherapy [237-240] and outcome after surgical treatment [1].

#### **1.4.2 Osteopontin in tumor hypoxia**

Apart from the pivotal role of OPN in human malignancy and besides its critical impact on prognosis of cancer patients, this protein is also potentially valuable in radiotherapy of cancer for its possible association with (tumor) hypoxia [4,241-243]. Numerous studies suggested that both OPN expression in tumor tissue and OPN protein secretion into plasma are related to hypoxia.

Evidence from different cancer entities including malignant glioma, sarcoma and lung cancer shows that hypoxia can induce OPN mRNA expression in tumor tissue as well as its secretion into plasma [25,244-249]. In cancer of the head-and-neck for instance, hypoxia increased OPN secretion into plasma where high OPN levels predicted poor survival and freedom from relapse [246] which underlines the clinical importance of the potential relation between elevated OPN (plasma/tumor) and hypoxia. For the same cancer entity, Bache et al. demonstrated that immunohistochemical OPN tumor staining correlated with tumor  $pO_2$ , detected by oxygen electrodes. Furthermore, high OPN expression in tumor tissue was correlated with low hemoglobin and high HIF-1 $\alpha$  values [250,251]. The same correlation with tumor  $pO_2$  could be determined for OPN plasma levels [241,242,246,251]. These results later were confirmed by Le et al. who reported a significant correlation of OPN tumor staining and tumor  $pO_2$  [247]. Overgaard et al. amended these findings in that he showed that high OPN plasma levels predicted poor disease-free survival and that only patients with high OPN plasma levels benefitted from the hypoxic radiosensitizer nimorazole [252,253]. Similarly, the application of the hypoxic cytotoxin tirapazamine (TPZ) significantly decreased OPN mRNA in nasopharyngeal cancer, thereby additively reducing tumor cell survival in-vitro [254.] In head and neck cancer however, the potential of TPZ is rather unclear [255].

The use of OPN plasma levels as a potential surrogate of clinically significant tumor hypoxia in NSCLC has been demonstrated by Le et al. In their study, they showed that  $pO_2$  was significantly reduced in resectable NSCLC compared to healthy lung tissue and that high plasma OPN levels correlated with low tumor  $pO_2$ . Notably, patients with low OPN had a significantly reduced risk for tumor recurrence after therapy (resection) implying better oxygenated tumors in these patients [161].

These findings are complemented by the results of Li, Blasberg and Mack et al. who reported both significantly increased OPN expression and elevated OPN plasma levels in NSCLC patients (compared to healthy controls) being related to reduced therapy response and overall survival after chemotherapy or surgery of NSCLC [228,239,256].

#### **1.4.3 Detection and targeting of osteopontin and hypoxia-related proteins**

The quantification of the expression of endogenous hypoxia-related proteins usually requires tumor tissue and utilizes approaches such as immunohistochemistry.

One clear advantage of circulating intrinsic hypoxia-related molecules including OPN, CAIX and VEGF is their easy detection in body fluids, primarily patient plasma or serum of cancer patients [257-259]. Evidence shows that the detection of biomarker levels in patient plasma is more reliable and should be preferred [260,261].

The established measurement platform is that of enzyme-linked immuno-sorbent assay (ELISA) which is commercially available and routinely practicable in the clinical setting [262]. However, results on plasma marker concentration are critically dependent on the ELISA system used and are generally not conferrable from one ELISA to another despite of a correlation of plasma concentrations between ELISAs [263,264]. The latter fact might contribute to the difficulty of demarcating clear plasma protein level cut-off values which are still under investigation. Indisputable however is that both protein expression and plasma protein levels of the aforementioned hypoxia-related molecules are significantly and prognostically relevant increased in cancer patients. New developments and improvements of ELISA techniques, such as the use of a dual-antibody detection system, continuously increase the sensitivity of marker detection [265].

After decades of research in exploiting hypoxic radiation resistance including attempts such as hyperbaric oxygenation and hyperthermia failed to generate clinically viable treatment strategies [266,267], targeting hypoxia-related proteins may open up new strategies in overcoming hypoxic radiation resistance [17,57,68,184,247,268].

In a therapeutic perspective, multiple targeting approaches of OPN have been under investigation [269,270]. In different cancer entities, knockdown of OPN mRNA expression and protein levels by RNA interference (siRNA) resulted in a marked increase in tumor cell apoptosis, decreased invasion and cancer cell motility (by down-regulation of uPA and MMPs), colony formation and metastatic spread [211,271]. Solid results also exist for the combination with radiotherapy where silencing of OPN increased radiosensitivity [272,273].



Immunologic targeting of OPN showed promising results and interestingly, simultaneous inhibition of both OPN and VEGF by a bi-specific antibody seems to be more efficient than single-marker knockdown [274]. Using small RNA-endonucleases or anti-sense-oligonucleotides on the post-transcriptional level significantly diminished OPN-promoted tumor growth and spread in different human malignancies [229,270,275-277].

Despite promising results in-vitro and in-vivo, issues such as drug design, administration, side effects, bio-availability and specificity (in particular due to the partly bipolar function of tumor and host OPN) still limit the transfer from bench to bedside.

CAIX also has been suggested as a promising targetable biomarker for its association with treatment-resistant hypoxic tumors [150,151,278]. In-vitro and in-vivo results demonstrated successful depletion of this protein by shRNA, monoclonal antibodies or small molecule inhibitors, resulting in tumor growth attenuation and inhibition of metastasis in different tumor entities, yielding (hypoxic) targeting agents for CAIX which are currently under preclinical and clinical investigation [150,151,279,280]. Interestingly, knockdown of CAIX seems to enhance the effect of the anti-VEGF antibody bevacizumab which underlines the clinical potential of combined targeted therapy of hypoxia-related proteins [281]. Solid in-vitro results and first clinical evidence demonstrates radiosensitizing effects of a VEGF-targeted therapy in combination with radiotherapy [282-284] and underline the therapeutic exploitation of the “hypoxic crosslink” between HIF-1 $\alpha$ , CAIX and VEGF [285,286].

## **2. Purpose**

The purpose of this prospective clinical study was to evaluate the prognostic and predictive quality of plasma levels of the hypoxia-related proteins OPN, VEGF and CAIX in patients with lung cancer (SCLC and NSCLC) treated with radiotherapy with respect to the subgroups curative-intent NSCLC (M0-stage), palliative-intent NSCLC (M1-stage) and SCLC. The following hypotheses and questions were addressed in this work:

1. What is the plasma concentration of the aforementioned proteins and is there a correlation between plasma markers determined at different time points in lung cancer patients undergoing radiotherapy?
2. Are pre-therapeutic plasma biomarker levels associated with clinical, pathological and socio-demographic patient characteristics and do elevated plasma levels before radiotherapy reflect advanced disease and an aggressive cancer phenotype?

3. Is there a difference in absolute plasma levels between M0- and M1-stage lung cancer patients and do elevated plasma marker levels mirror metastatic tumor burden?
4. Are elevated OPN plasma levels associated with parameters of oxygenation such as hemoglobin and lung function?
5. Are absolute plasma levels of the studied biomarkers, measured before radiotherapy, associated with prognosis and outcome after radiotherapy of lung cancer and does a co-detection of baseline plasma biomarkers augment the prognostic effect?
6. How do OPN plasma levels change throughout and after radiotherapy (if measured at several time points) and are plasma level changes of prognostic and predictive relevance in the radiotherapy in lung cancer?
7. Can absolute plasma biomarker levels or their changes serve as independent prognostic predictors of outcome after radical radiotherapy of NSCLC?

### **3. Material and Methods**

The entire patient collective, patient subgroups, inclusion and exclusion criteria, indication for radiotherapy, treatment details and the follow-up procedure are illustrated below.

In addition, the principle of enzyme-linked immunosorbent assay (ELISA) and the technical aspects of the specific ELISAs used in this study are described. The statistical methods and endpoints applied in this study are defined in 3.5.

#### **3.1 Patient collective, inclusion criteria, indication for radiotherapy and follow-up**

Between November 1<sup>st</sup> 2008 and December 31<sup>st</sup> 2010, 107 patients newly diagnosed with inoperable lung cancer (NSCLC and SCLC) who were admitted to the Department of Radiation Oncology of the Martin Luther University Halle-Wittenberg, Halle, Germany, were prospectively recruited.

Inclusion criteria were (1) histologically (by biopsy) confirmed NSCLC or SCLC, (2) no prior surgery or radiotherapy, (3) indication for curative- or palliative-intent radio(chemo)therapy, (4) age  $\geq$  18 years and (5) signed informed consent.

Of the 107 patients who met the inclusion criteria, 10 patients were excluded later due to patients' death before the start of radiotherapy, abortion of radiotherapy by patient will or patient transfer to another hospital for radiotherapy. Thus, a total of 97 patients could be analyzed in this study. In each patient case, indication for radiotherapy was determined by

a multidisciplinary tumor board including a medical oncologist, thoracic surgeon, radiation oncologist, radiologist, pathologist and nuclear medicine physician.

Patients were followed-up regularly at the Department of Radiation Oncology, Martin Luther University Halle-Wittenberg (initially 4 weeks after the end of radiotherapy and later at longer intervals). Survival status was obtained and monitored in cooperation with local citizen registration offices. Survival data was last updated on August 31<sup>st</sup>, 2014.

Therapy response and tumor control evaluation usually was performed 4 weeks after completion of radiotherapy at affiliated hospitals by comparatively assessing CT-image studies from before to after radiotherapy by an experienced radiologist.

### **3.2 Patient collective and subgroups**

The entire collective includes 97 patients (n= 81 NSCLC, n=16 SCLC). Subgroups were formed according to histology and presence or absence of distant metastases, yielding a cohort of 61 patients with NSCLC in M0-stage who were treated with curative-intent (radical) radiotherapy or chemoradiation and a cohort of 20 NSCLC patients with M1-situation, treated with palliative-intent radiotherapy. The SCLC-group contained 11 patients with M0-stage and 5 patients in M1-stage. The entire patient collective and the three subgroups, i.e. curative-intent NSCLC (M0-stage), palliative-intent NSCLC (M1-stage) and SCLC have been analyzed separately.

Sociodemographic data and clinical characteristics were taken from the patients' charts and clinical tumor staging is based on the Union internationale contre le cancer (UICC) TNM classification, 7<sup>th</sup> edition.

#### **3.2.1 Entire patient collective (n=97)**

**Table 1** shows sociodemographic and clinicopathological patient characteristics of the entire patient collective (n=97). In total, 41 patients (42%) were treated with radiotherapy alone while 56 patients (58%) received combined radiochemotherapy. UICC stage distribution was: 7 patients (7%) stage I, 3 (3%) stage II, 18 (19%) stage IIIa, 44 (45%) stage IIIb and 25 (26%) stage IV and among M1-stage patients, 16 (64%) had multiple and 9 (36%) had solitary metastasis.

#### **3.2.2 Curative-intent NSCLC (M0-stage) cohort (n=61)**

Clinical and sociodemographic patient characteristics of the curative-intent NSCLC (M0-stage) cohort are presented in **Table 1**. In this patient group, 19 (31%) received irradiation

treatment only and 42 (69%) were treated with simultaneous radiochemotherapy. UICC stage was: 7 patients (12%) UICC I, 2 patients (3%) UICC II, 18 patients (30%) UICC IIIa and 34 patients (56%) UICC IIIb.

### **3.2.3 Palliative-intent NSCLC (M1-Stage) cohort (n=20)**

An overview of social, demographic and clinical patient characteristics of the palliative-intent NSCLC cohort is given in **Table 1**. Among palliative-intent NSCLC patients, 16 (80%) received radiotherapy alone and 4 (20%) were treated with combined radiochemotherapy. All patients in this cohort were staged M1 (UICC IV) with 12 (60%) having metastases at multiple organ locations while 8 patients (40%) had solitary organ metastasis.

### **3.2.4 SCLC cohort (n=16)**

Clinicopathological and sociodemographic patient characteristics of the SCLC cohort are shown in **Table 1**. Combined radiochemotherapy was administered in 10 patients (63%), 6 patients (37%) were treated with radiotherapy alone. In this subgroup 80% of patients had multiple metastases and 20% had a solitary organ metastasis.

## **3.3 Curative- and palliative-intent radiotherapy and radiochemotherapy**

All patients received a planning CT (Siemens Lightspeed RT) without contrast and the “Oncentra Masterplan External Beam” software (Nucletron, Elekta) was used for contouring and treatment planning. PTV included the macroscopic tumor as visible in CT image studies and regional lymph nodes with lymphatic drainage ways (plus safety margin). If available, CT studies were correlated with PET imaging for target volume delineation. The following organs at risk were contoured: ipsi- and contralateral lung, spinal cord, heart, esophagus and in some cases chest-wall.

The patients were immobilized using a positioning frame (“breast board”) which was also in place when the planning CT image series were acquired. Radiotherapy was given as a 3D-conformed photon technique at the Siemens “Primus” or “MX” lineac-accelerator.

The treatment of M0-stage patients (UICC I-IIIb) consisted of a curative-intent definitive (radical) normofractionated (5 Fx/week) radiotherapy with a cumulative median total dose (TD) of 66 (59,5-66) Gy, given usually in 33 fractions with a median daily single dose (SD) of 2 (1,5-2,5) Gy. Radiotherapy was divided into a primary series (TD 50 Gy, SD 2 Gy) and a consecutive boost radiation (TD 16 Gy, SD 2 Gy) which included the tumor lesion and lymph nodes which were suspicious by CT or positive by PET imaging.

**Table 1.** Sociodemographic and clinical patient characteristics of the entire patient collective, the NSCLC cohort and the SCLC cohort

		all patients (n=97)	curative-intent NSCLC (n=61)	palliative-intent NSCLC (n=20)	SCLC (n=16)
<b>sex</b>	<i>m</i>	83 (86%)	51 (84%)	20 (100%)	12 (75%)
	<i>f</i>	14 (14)	10 (16%)	0 (0%)	4 (25%)
<b>age</b>	(median years, range)	65 (35-86)	65 (47-86)	64.5 (35-80)	65.5 (44-75)
<b>smoking habits</b>	<i>never</i>	11 (11%)	8 (13%)	1 (5%)	2 (13%)
	<i>former</i>	8 (8%)	5 (8%)	1 (5%)	2 (13%)
	<i>current</i>	77 (79%)	47 (77%)	18 (90%)	12 (75%)
	<i>unknown</i>	1 (1%)	1 (2%)	0 (0%)	0 (0%)
<b>weight loss<sup>1</sup></b>	<i>yes</i>	28 (29%)	13 (21%)	12 (60%)	3 (19%)
	<i>no</i>	62 (64%)	44 (72%)	8 (40%)	10 (62%)
	<i>unknown</i>	7 (7%)	4 (7%)	0 (0%)	3 (19%)
<b>anemia</b>	<i>yes</i>	75 (77%)	46 (75%)	16 (80%)	13 (81%)
	<i>no</i>	22 (23%)	15 (25%)	4 (20%)	3 (19%)
<b>hemoglobin</b>	(median g/dl, range)	12.1 (8.3-17.4)	12.1 (8.3-15)	12.3 (8.7-17.4)	11.9 (8.5-11.1)
<b>FeV1<sup>2</sup></b>	(median % of normal value, range)	67.8 (20-124%)	67.8 (27.3-124)	66.1 (20-107.6)	71.6 (35-109.2)
<b>histology</b>	<i>SCC<sup>3</sup></i>	37 (38%)	29 (48%)	8 (40%)	n/a <sup>6</sup>
	<i>adeno-carcinoma</i>	35 (36%)	26 (43%)	9 (45%)	
	<i>large-cell-carcinoma</i>	3 (3%)	2 (3%)	0 (0%)	
	<i>nos<sup>4</sup></i>	16 (17%)	1 (2%)	2 (10%)	
	<i>unknown</i>	6 (6%)	3 (5%)	5 (25%)	
<b>grading</b>	<i>well</i>	2 (2%)	2 (3%)	0 (0%)	0 (0%)
	<i>moderately</i>	22 (23%)	17 (28%)	5 (25%)	0 (0%)
	<i>poor</i>	32 (32%)	22 (36%)	8 (40%)	2 (13%)
	<i>undifferentiated</i>	16 (17%)	9 (15%)	2 (10%)	5 (31%)
	<i>unknown</i>	25 (26%)	11 (18%)	5 (25%)	9 (56%)
<b>T-stage</b>	<i>T1</i>	8 (8%)	8 (13%)	0 (0%)	0 (0%)
	<i>T2</i>	28 (29%)	18 (30%)	6 (30%)	4 (25%)
	<i>T3</i>	17 (18%)	10 (16%)	4 (20%)	3 (19%)
	<i>T4</i>	43 (44%)	25 (41%)	9 (45%)	9 (56%)
	<i>Tx</i>	1 (1%)	0 (0%)	1 (5%)	0 (0%)
<b>N-stage</b>	<i>N0</i>	16 (17%)	12 (20%)	1 (5%)	3 (19%)
	<i>N1</i>	3 (3%)	2 (3%)	0 (0%)	1 (6%)
	<i>N2</i>	33 (34%)	22 (36%)	10 (50%)	1 (6%)
	<i>N3</i>	44 (45%)	25 (41%)	8 (40%)	11 (69%)
	<i>Nx</i>	1 (1%)	0 (0%)	1 (5%)	0 (0%)
<b>M-Stage</b>	<i>M0</i>	72 (74%)	61 (100%)	0 (0%)	11 (69%)
	<i>M1</i>	25 (26%)	0 (0%)	20 (100%)	5 (31%)
<b>GTV<sup>5</sup></b>	(median ml, range)	130.6 (3.3-1379.4)	140.9 (3.3-1379.4)	118 (12.8-945.1)	132.6 (7.8-578)

<sup>1</sup> ? 10% body weight / 6 months <sup>2</sup> forced expiratory volume in 1 second <sup>3</sup> squamous-cell carcinoma <sup>4</sup> not otherwise specified <sup>5</sup> gross tumor volume <sup>6</sup> not applicable

If “Eastern Cooperative Oncology Group” (ECOG) performance status allowed simultaneous chemotherapy, two courses of a double-agent cisplatin- (20mg/m<sup>2</sup>/body surface/day) and vinorelbine-based (25 mg/m<sup>2</sup>/body surface/day) regimen were carried out in the first and fifth treatment week (day 1-5 and day 35-40).

In total, 16 patients (24%) received radiotherapy alone, 52 patients (76%) were treated with combined radiochemotherapy and of the 68 curative-intent patients, 22 (32%) were given neoadjuvant chemotherapy before the start of radiotherapy.

Palliative-intent treatment for M1-stage patients (UICC IV) normally consisted of a hypofractionated radiotherapy given in usually 15 fractions (5 Fx/week, monday–friday) with a median single dose of 3 (2,5-3) Gy up to a median total dose of 45 (30-50) Gy.

19 patients (66%) were treated by radiotherapy alone and 10 patients (34%) received simultaneous, mostly single-agent based chemotherapy together with radiotherapy; in summa, 9 out of 29 palliative-intent patients (31%) had chemotherapy prior to radiotherapy. Chemotherapy agents mainly included etoposide, carboplatin, gemcitabine and paclitaxel.

### **3.4 Plasma sample acquisition, storage and processing**

Blood samples of all patients were obtained by peripheral venous puncture before the start of radiotherapy (t0 time point), preferably together with routine blood sampling, and baseline (i.e. pre-treatment) plasma concentrations of OPN (t0), CAIX and VEGF was determined by ELISA. In addition, OPN plasma levels were measured at the end (t1 time point) and four weeks after radiotherapy (t2 time point), usually at the first post-radiotherapeutic follow-up at our facility.

Blood was anticoagulated (9 ml Saerstedt monovette, Nüumbercht, Germany) and centrifuged at 4° Celsius for 10 minutes with 4000 rpm. Plasma was removed, aliquoted and stored at -80° Celsius until assayed.

Each plasma sample was measured in duplicate and blinded by a validated and commercially available ELISA according to the manufacturer's instructions.

#### **3.4.1 Specifications of Human OPN ELISA Assay [287]**

OPN concentration was determined using the Human Osteopontin Assay (IBL Ltd., Japan) which is a solid phase sandwich ELISA utilizing two kinds of highly specific antibodies: Anti-human OPN (O-17) rabbit IgG affinity purified coating antibody which reacts at part of the N-terminal of human OPN and anti-human OPN (10A16) mouse IgG MoAb Fab'-HRP (labeled antibody) which reacts at part of the right side from thrombin cleavage site of human OPN. The quantification of absorbance is done at 450 nm and the measurement range is from 5 to 320 ng/ml with a sensitivity of 3.33 ng/ml and a specificity (cross reactivity) of 100% (human OPN), 0.2% (mouse OPN) and  $\leq 0.1\%$  (rat OPN), respectively.

#### **3.4.2 Specifications of Quantikine Human VEGF ELISA [288]**

The Quantikine Human VEGF ELISA kit (R&D Systems, USA) was used for VEGF. It is also a sandwich assay technique using a monoclonal mouse antibody specific for VEGF<sub>165</sub>.

It has been plated and immobilized onto the solid layer of the microtiter plate. The second antibody is polyclonal and conjugated to horseradish peroxidase as the reporter enzyme. The principle is analogue to that described in 3.4.1. In this assay, absorbance is measured at 450 nm and the minimal detectable dose of VEGF is between <5 pg/ml and <9 pg/ml (sensitivity). According to the manufacturer, cross-reactivity and interference with VEGF-related factors may be observed at levels  $\geq 500$  to 4000 pg/ml (<.5% cross-reactivity) and the assay recognizes both natural and recombinant human VEGF (specificity).

### **3.4.3 Specifications of Human CA IX Quantikine ELISA [289]**

For CAIX, the Human CA IX Quantikine ELISA Kit (R&D Systems, USA) was conducted. The solid-phase sandwich ELISA uses a monoclonal antibody specific for CAIX and has been immobilized on a microplate. The polyclonal detection antibody is conjugated to the reporter enzyme horseradish peroxidase. The sensitivity of this assay is 4.39 pg/ml, its range is from 15.6 to 1000 pg/ml and it is specific for natural and recombinant human CAIX. Cross-reactivity with available related enzymes is reported with <.5%

### **3.5 Statistical analysis and endpoints**

All statistical analyses were performed using the SPSS PASW software (version 18) for windows (SPSS Inc., USA). P-values were two-sided and  $p < .05$  was regarded statistically significant. Pearson's test was used to test for correlation between biomarker plasma levels and Wilcoxon's test compared median OPN levels before, at the end and after treatment in the entire patient collective and patient subgroups.

Non-parametric tests (Mann-Whithney's u-test, Kruskal-Wallis' h-test) tested for differences in pretherapeutic (baseline) biomarker plasma levels between two groups and determined association of pre-treatment plasma levels with patient, disease and treatment characteristics in the entire patient collective and the curative-intent NSCLC M0 patient cohort. Due to the small patient number, the SCLC and palliative-intent NSCLC M1 cohort have been excluded from the aforementioned analysis.

Biomarker plasma levels were dichotomized using the median as the cutoff value with "high" marker levels referring to  $\geq$  median and "low" marker levels to  $<$  median.

Relative changes in OPN plasma levels from one measuring time point to the other were divided into three categories according to the percent change based on the baseline OPN levels before radiotherapy (t0): fall ( $\geq -10\%$ ), stable (between  $-10\%$  and  $+10\%$ ) and rise ( $\geq +10\%$ ). Follow-up time (i.e. from the start of radiotherapy until last seen) in living patients is

reported in months (range) and survival status of patients was last updated on August 31<sup>st</sup> 2014.

Primary endpoints included overall survival (OS, i.e. from the start of radiotherapy until death from any cause or until last seen during follow-up), progression-free survival (PFS, i.e. from the start of radiotherapy until any disease progress in recurring patients or until death or last seen during follow-up without disease progression in non-recurring patients) and time-to-progression (TTP, i.e. from the start of radiotherapy until any disease progression with death counting as a censoring variable).

Since few patients with advanced stage lung cancer (usually stage IIIa and IIIb) achieved complete remission (i.e. freedom from any disease) after radiotherapy, disease-free survival (DFS, referring to patients with complete response only) was not evaluated in this study. PFS, normally referring to patients with partial remission only, in this study refers to all patients, regardless of their tumor response.

Secondary endpoints were initial tumor control after radiotherapy (i.e. at the first post-radiotherapeutic re-staging evaluation) which was classified as complete remission (no tumor detectable), partial remission (tumor size decrease  $\geq 50\%$ ), stable disease (tumor size change  $\leq 25\%$ ) and progressive disease (tumor size increase of  $> 25\%$ ) according to comparison of CT images from before and after radiotherapy by an experienced radiologist (therapy response was rated "good" if the patients had complete or partial remission after radiotherapy while it was categorized "poor" if stable or progressive disease was noted after radiotherapy); metastasis-free survival (MFS, i.e. from the start of radiotherapy until occurrence of distant metastasis or until death or last seen during follow-up without metastasis in non-metastasizing patients with local relapse counting as a censoring variable) and freedom from local relapse (FFLR, i.e. from the start of radiotherapy until local relapse or until death or last seen during follow-up without local relapse).

Primary and secondary endpoint analysis was restricted to the entire patient collective and the curative-intent NSCLC (M0) cohort. SCLC and palliative-intent NSCLC (M1) patients were excluded from endpoint analysis for the limited patient number in these subgroups.

Survival time is reported in median months (range) and survival curves were generated using the Kaplan-Meier product-limit method and differences between survival curves were assessed with log-rank-test. To identify prognostic factors for OS, univariate and multivariate analyses were performed using the Cox proportional hazard regression model. The relative risk and hazard ratio was evaluated with the  $\chi^2$ -test and is reported with a 95%-confidence interval (95%-CI).



### 3.6 Ethics vote and informed consent

Prior to the start of the prospective recruitment of the patients, a formal proposal consisting of a detailed study description including the written information and consent form for the patient was submitted to the ethics committee of the medical faculty which approved the study and gave a positive vote for the project.

Each patient who met the inclusion criteria as stated in 3.1 was offered to participate in the study in an informative talk given by an experienced Radiation Oncology physician emphasizing the voluntary nature of the project. The scientific background, purpose and procedure of the study was explained using a detailed written information form and written informed consent was obtained for each patient using the consent form.

## 4. Results

Absolute baseline (pre-treatment) plasma levels of OPN, VEGF and CAIX, their combination as well as relative OPN plasma level changes over time are described below. They were assessed for interrelation, association with clinicopathological patient characteristics and their impact on prognosis.

### 4.1 Plasma marker concentration, changes and interrelation in all patients and subgroups

For the pre-treatment measurement time point (t0), OPN plasma samples of all patients could be acquired (n=97). At the end of treatment (t1), 91 patients (94%) had OPN plasma samples and four weeks after radiotherapy, OPN plasma samples were available in 69 patients (71%). Baseline VEGF and CAIX plasma samples could be obtained in 96 patients (99%). Median absolute pre-treatment plasma concentration of OPN, VEGF and CAIX for the entire patient collective and for subgroups is presented in **table 2**.

**Table 2.** Median pre-treatment plasma concentration (*min-max*) of OPN (ng/ml), VEGF (pg/ml), uPa (ng/ml), uPaR (ng/ml) and PAI (ng/ml) in the entire patient cohort and subgroups

	all patients (n=97)	plasma samples	curative-intent NSCLC (M0, n=61)	plasma samples	palliative-intent NSCLC (M1, n=20)	plasma samples	SCLC (n=16)	plasma samples				
OPN (t0) <sup>1</sup>	819.8	(223.1-4716.7)	97	817	(299-2441)	61	1049.6	(453.5-4716.7)	20	740.8	(400.4-2177.2)	16
VEGF <sup>2</sup>	89.7	(0-1078.1)	96	92	(0-1078.1)	60	113.2	(2.9-264.2)	20	94.6	(24.2-357.8)	16
CAIX <sup>2</sup>	94.8	(14.8 -1000)	96	105	(22-420)	61	76.3	(14.8-179.3)	19	123.6	(55.5-1000)	16

<sup>1</sup> in ng/ml    <sup>2</sup> in pg/ml

**Table 3** shows intra- and post-therapeutic changes in OPN plasma levels for subgroups. Both in the entire and the curative-intent NSCLC (M0) cohort, OPN plasma levels non-significantly decreased during (t0 to t1) and after treatment (t1 to t2), **table 3**.

In palliative-intent (M1) and SCLC patients, median OPN plasma levels increased during and decreased after treatment, **table 3**. However, these changes remained insignificant. Among curative-intent NSCLC (M0) patients, 46% had decreasing, 17% had stable and 34% had increasing OPN plasma levels during treatment (t0 to t2).

**Table 3.** Median OPN plasma (ng/ml) levels before (t0), at the end (t1) and four weeks after radiotherapy (t2) in the entire patient cohort and subgroups

	all patients (n=97)	plasma samples	curative-intent NSCLC (M0, n=61)	plasma samples	palliative-intent NSCLC (M1, n=20)	plasma samples	SCLC (n=16)	plasma samples				
OPN t0	819.8	(223.1-4716.7)	97	760.9	(223.1-2441)	61	1049.6	(453.5-4716.7)	20	740.8	(400.4-2177.2)	16
OPN t1	793.1	(323-4521.6)	91	715.5	(323-2304.3)	58	1086.7	(545.7-4521.6)	18	779.4	(395.3-2420)	15
OPN t2	680.1	(71.6-4577.9)	69	632.5	(71.6-2855.8)	49	779.5	(525.4-4577.9)	9	770.5	(378.5-2415.2)	11

In palliative-intent NSCLC (M0) patients, 21% had decreasing, 7% had stable and 43% had increasing OPN levels during treatment.

Mean OPN plasma levels before (t0), at the end (t1) and 4 weeks after treatment (t2) were not significantly different. At all three time points, palliative-intent NSCLC (M1) patients had significantly higher OPN plasma levels compared to curative-intent NSCLC (M0) patients (OPN t0: 761 vs. 1050 ng/ml,  $p < .0001$ ; OPN t1: 716 vs. 1087 ng/ml,  $p < .0001$ ; OPN t2: 633 vs. 780 ng/ml,  $p < .0001$ ).

In the entire patient collective, OPN plasma levels detected at either time point correlated with each other (t0 & t1:  $r = .5$ ,  $p < .0001$ ; t0 & t2:  $r = .3$ ,  $p = .004$ ; t1 & t2:  $r = .5$ ,  $p < .0001$ ) and median VEGF plasma levels inversely correlated with hemoglobin levels ( $r = -.2$ ,  $p = .03$ ).

No significant correlation between OPN, VEGF and CAIX was found in the entire patient collective.

In curative-intent NSCLC M0 patients, pre-treatment OPN (t0) plasma levels were positively correlated with CAIX plasma levels ( $r = .3$ ,  $p = .03$ ), VEGF plasma levels ( $r = .3$ ,  $p = .03$ ), end-of-treatment OPN (t1,  $r = .6$ ,  $p < .0001$ ) and OPN plasma concentration 4 weeks after radiotherapy ( $r = .5$ ,  $p = .001$ ). OPN t1 plasma levels also correlated with OPN plasma concentration 4 weeks after treatment (t2,  $r = .3$ ,  $p = .03$ ). An inverse correlation was determined between VEGF and hemoglobin concentration ( $r = -.3$ ,  $p = .03$ ) and between OPN t0 values and hemoglobin concentration ( $r = -.5$ ,  $p = .001$ ). A trend was noted for a correlation between VEGF and CAIX plasma levels ( $r = .2$ ,  $p = .09$ ). CAIX correlated positively with VEGF ( $r = .03$ ,  $p = .02$ ).

In palliative-intent NSCLC M1 patients, baseline OPN plasma levels before radiotherapy (t0) correlated with OPN levels at the end of treatment (t1,  $r = .5$ ,  $p = .03$ ) and OPN 4 weeks after treatment (t2) trended to correlate with pre-treatment OPN ( $r = .6$ ,  $p = .06$ ). In this patient group, CAIX positively correlated with pre-therapeutic OPN (t0,  $r = .4$ ,  $p = .04$ ) and a

trend could be determined for an inverse correlation between OPN t0 and hemoglobin ( $r=.4$ ,  $p=.05$ ). VEGF also correlated with CAIX ( $r=.5$ ,  $p=.04$ ) and an inverse correlation was noted between hemoglobin blood levels and CAIX ( $r=.5$ ,  $p=.04$ ).

In the SCLC patient cohort, median plasma OPN plasma levels before the start of radiotherapy (t0) correlated with VEGF ( $r=.5$ ,  $p=.03$ ) and CAIX ( $r=.5$ ,  $p=.03$ ).

A positive correlation was also determined for post-treatment OPN (t2) and end-of-treatment OPN (t2,  $r=.8$ ,  $p=.002$ ) which also correlated with VEGF ( $r=.7$ ,  $p=.007$ ).

#### **4.2 Patient and treatment characteristics and their association with pre-treatment plasma protein levels in the entire patient collective and curative-intent NSCLC M0 patients**

The association of pre-treatment OPN (t0), VEGF and CAIX plasma levels with clinicopathological and sociodemographic patient characteristics is presented in **table 4** for the entire ( $n=97$ , left side of table) and the curative-intent NSCLC (M0) cohort ( $n=61$ , right side of table). Significant associations are highlighted in bold in the table.

In the entire patient collective, the association of median pre-treatment OPN plasma levels with T-stage was more pronounced if T-stage was grouped together as T1-2 vs. T3-4, with median OPN plasma levels before treatment being 651 ng/ml (T1-2) vs. 865 ng/ml (T3-4),  $p=.003$ . Pre-treatment OPN plasma levels of N+ (849 ng/ml,  $n=80$ ) or N2-3 (848 ng/ml,  $n=77$ ) patients were significantly higher than those of N- (642 ng/ml,  $n=16$ ) or N0-1 (652 ng/ml,  $n=19$ ) patients ( $p=.01$  and  $.04$ ). OPN plasma levels before treatment were almost twice as high in patients with distant metastases compared to patients in M0-stage (1140 vs. 737 ng/ml,  $p=.001$ ). Consequently, UICC stage correlated with OPN t0 plasma levels where higher plasma levels were found in patients with higher disease stage (UICC I-II: 622 ng/ml,  $n=10$  vs. UICC III: 804 ng/ml,  $n=62$  vs. UICC IV: 1140 ng/ml,  $n=25$ ,  $p=.001$ ).

When SCC histology was directly compared to adeno-carcinoma, patients with SCC ( $n=37$ ) had higher OPN plasma levels before treatment than patients with adeno-carcinoma ( $n=35$ ; 871 vs. 706 ng/ml,  $p=.01$ ) and a trend for elevated pre-treatment OPN plasma levels in NSCLC patients ( $n=81$ ) compared to SCLC patients ( $n=16$ ) was found (820 vs. 741 ng/ml,  $p=.07$ ). Anemic patients had higher VEGF levels before treatment ( $p=0.04$ ) and a trend for higher T-stage in patients with elevated VEGF plasma levels before treatment was noted (T1-2: 62 ng/ml,  $n=35$  vs. T3-4: 102 ng/ml,  $n=58$ ,  $p=.07$ ).

When patients with N0-2 stage were tested against those in N3 stage, baseline CAIX plasma levels were significantly higher in the latter subgroup (N0-2: 66 ng/ml,  $n=51$  vs. N3:

123 ng/ml, n=44; p=.004). In the direct comparison between NSCLC and SCLC, the latter histology was associated with higher pre-treatment CAIX plasma levels compared to the NSCLC histologic subtype (124 ng/ml, n=80 vs. 92 ng/ml, n=80; p=.03) and a trend for elevated baseline CAIX levels was noted in patients with higher tumor grade (G1-2: 91 ng/ml, n=25 vs. G3-4: 94 ng/ml, n=47; p=.09). UICC stage was not associated with pre-therapeutic CAIX plasma concentration (p=.7).

Similar findings can be reported for the curative-intent NSCLC (M0) patient cohort. A trend for higher OPN plasma levels in patients with higher tumor grade was noted (G1-2 vs. G3-4: 691 ng/ml, n=19 vs. 838 ng/ml, n=30, p=.08). When T1-2 was evaluated against T3-4 stage, OPN plasma levels were significantly elevated in the latter group (658 ng/ml, n=26 vs. 847 ng/ml, n=34, p=.007) and trend for higher VEGF levels in T3-4 stage patients (102 pg/ml, n=34) was found compared to T1-2 stage (58 pg/ml, n=26, p=.07). A trend was also found for increased OPN (p=.08) in patients with N+ stage (versus N0 stage). Higher median OPN plasma levels were found in patients with advanced UICC stage (UICC I-II: 595 ng/ml, n=9 vs. UICC III: 820 ng/ml, n=51, p=.003) and a trend for elevated VEGF plasma levels in patients with higher UICC stage was noted (p=.08). An association between higher T-stage and increased baseline CAIX plasma levels was determined (T1-2: 86 ng/ml, n=25 vs. T3-4: 106 ng/ml, n=35, p=.04) and a statistical trend for higher pre-treatment CAIX plasma levels in patients with poorly or undifferentiated tumors (G1-2: 62 ng/ml, n=19 vs. G3-4: 106 ng/ml, n=31; p=.06) was found. Higher N-stage trended to be associated with CAIX (N0-2: 65 ng/ml, n=36 vs. N3: 151 ng/ml, n=25; p=.06).

#### **4.3 Univariate analysis of plasma biomarker levels and their changes in the entire patient collective and in the curative-intent NSCLC M0 patient cohort**

Absolute plasma biomarker levels and their relative changes were tested for an association with the primary and secondary endpoints in the entire patient collective and in the curative-intent NSCLC (M0) patient cohort. Median follow-up in surviving patients was 41 (12 – 66) months and at the time of the last survival data update (08-2014), 81 patients (84%) already had died. In 59%, death was cancer-related, in 7% it was not cancer-related and in 34% the cause of death remained unspecified.

##### **4.3.1 Initial tumor control and response to radiotherapy**

Follow up data on initial tumor control at the first post-radiotherapy response evaluation (4-6 weeks after the end of radiotherapy) was available in 71 patients (73%).

In the entire patient cohort, 2 patients (2%) had complete and 51 patients (53%) had partial remission; 13 patients (13%) had stable and 5 patients (5%) had progressive disease. Good therapy response was noted in 55% of patients (n=53) while 19% (n=18) showed poor response to radiotherapy. In 27% of cases, no information on tumor control was available.

Among curative-intent NSCLC M0 patients, complete remission could be achieved in 2 (3%), partial remission in 36 patients (59%); 9 patients (15%) had stable and 2 (3%) progressive disease. Therapy response was good in 36 patients (62%) while it was poor in 11 patients (18%). 20% of patients had no data on tumor control after radiotherapy.

In the entire patient collective, both tumor control and therapy response was not associated with OPN t0, t1, t2, CAIX and VEGF plasma levels ( $p=.8$ ,  $.9$ ,  $.3$ ,  $.7$  and  $p=.6$ ,  $.5$ ,  $.6$ ,  $.7$ ). However, median end-of-treatment OPN plasma levels (t1) were significantly elevated in patients with poor tumor control ( $p=.01$ ): Patients with progressive disease after radiotherapy (n=5) had the highest OPN plasma levels at the end of treatment (1585.1 ng/ml), followed by patients with stable disease (n=12, 961.8 ng/ml), partial remission (n=50, 714.5 ng/ml) and those with complete remission (n=2, 815.3 ng/ml), **figure 1a**. Accordingly, OPN plasma levels at the end of treatment (t1) were significantly higher in non-responding patients compared to responding patients (1184.2 vs. 715.5 ng/ml,  $p=.002$ ), **figure 1b**.

Relative OPN plasma level changes after radiotherapy (t1 to t2) were not related to tumor control and therapy response ( $p=.2$ , and  $.4$ ) but intratherapeutic plasma level changes (t0 to t1) were associated with therapy response: Responding patients had a median decrease in OPN t0 to t1 plasma levels by -4.7% as opposed to a median increase by +14.7% which was noted in non-responding patients ( $p=.04$ ), **figure 1c**.

In addition, relative OPN t0t1 plasma levels were related to tumor control, however, these findings remained a statistical trend ( $p=.1$ ): Patients with progressive disease (n=5) after radiotherapy had a median OPN plasma level change from before (t0) to the end of radiotherapy (t1) by +43.7%, patients with stable disease (n=13) had a median increase by +14.4%. OPN t0t1 plasma levels of patients with partial remission (n=50) decreased by -4.2% and patients with complete remission (n=2) displayed a median decrease in their intratherapeutic plasma levels by -15.9%, **figure 1d**.

In cross-table analysis, among responding patients, 30 had low (i.e. below the) median OPN t1 levels and 22 had OPN t1 plasma levels above the median while among non-responding patients, 13 had OPN t1 plasma levels above and 4 below the median ( $p=.01$ ).

**Table 4.** Association of pre-treatment OPN (t0), VEGF and CAIX plasma levels with clinicopathological patient characteristics in the entire patient cohort (n=97)

Characteristic	OPN	VEGF	CAIX
	ng/ml	pg/ml	ng/ml
<b>age</b>	<b>.03</b>	.2	.2
> median	886 (n=50)	72 (n=48)	106 (n=49)
≤ median	744 (n=47)	99 (n=46)	88 (n=47)
<b>Sex</b>	<b>.03</b>	.2	.3
male	850 (n=83)	92 (n=82)	98 (n=82)
female	678 (n=14)	70 (n=14)	95 (n=14)
<b>FeV1<sup>1</sup></b>	<b>.002</b>	.8	.8
> median	690 (n=44)	92 (n=43)	93 (43)
≤ median	910 (n=44)	87 (n=42)	98 (n=44)
<b>weight loss<sup>2</sup></b>	<b>.001</b>	.3	.6
yes	999 (n=28)	79 (n=27)	90 (n=27)
no	726 (n=62)	102 (n=61)	93 (n=62)
<b>hemoglobin</b>	<b>.3</b>	<b>.04</b>	.7
> median	791 (n=51)	72 (n=51)	95 (n=50)
≤ median	849 (n=46)	102 (n=43)	97 (n=46)
<b>histology</b>	<b>.1</b>	.3	.6
SCC <sup>3</sup>	871 (n=37)	107 (n=37)	86 (n=37)
adeno-carcinoma	706 (n=35)	88 (n=33)	92 (n=34)
large-cell-carcinoma	652 (n=3)	356 (n=3)	183 (n=3)
SCLC	866 (n=16)	122 (n=16)	109 (n=16)
unknown	626 (n=6)	33 (n=5)	83 (n=6)
<b>Grading</b>	<b>.7</b>	.4	.3
well (G1)	844 (n=2)	35 (n=2)	76 (n=2)
moderate (G2)	712 (n=22)	94 (n=22)	91 (n=22)
poor (G3)	855 (n=32)	100 (n=32)	90 (n=31)
undifferentiated (G4)	858 (n=16)	90 (n=16)	106 (n=16)
nos <sup>4</sup>	671 (n=25)	60 (n=25)	89 (n=24)
<b>T-stage</b>	<b>.02</b>	.3	.3
T1	561 (n=8)	64 (n=8)	54 (n=8)
T2	677 (n=28)	62 (n=27)	86 (n=26)
T3	919 (n=17)	107 (n=17)	190 (n=17)
T4	1034 (n=43)	97 (n=41)	103 (n=42)
Tx	n/a (n=1)	n/a (n=1)	n/a (n=1)
<b>N-stage</b>	<b>.08</b>	.7	<b>.04</b>
N0	642 (n=16)	78 (n=16)	76 (n=16)
N1	850 (n=3)	88(n=3)	109 (n=3)
N2	867 (n=33)	102 (n=33)	62 (n=32)
N3	825 (n=44)	72 (n=44)	123 (n=44)
Nx	n/a (n=1)	n/a (n=1)	n/a (n=1)
<b>M-stage</b>	<b>.001</b>	.2	.3
M0	737 (n=72)	83 (n=71)	100 (n=72)
M1	1140 (n=25)	133 (n=23)	92 (n=24)
<b>GTV<sup>5</sup></b>	<b>.01</b>	<b>.002</b>	.5
> median	859 (n=48)	126 (n=47)	105 (n=47)
≤ median	689 (n=47)	58 (n=47)	93 (n=47)

Association of pre-treatment OPN (t0), VEGF and CAIX plasma levels with clinicopathological patient characteristics in the curative-intent NSCLC M0 patient cohort (n=61)

Characteristic	OPN	VEGF	CAIX
	ng/ml	pg/ml	ng/ml
<b>age</b>	<b>.09</b>	.3	.8
> median	831 (n=30)	67 (n=30)	109 (n=31)
≤ median	726 (n=31)	95 (n=31)	86 (n=30)
<b>Sex</b>	<b>.9</b>	.4	.5
male	746 (n=51)	88 (n=51)	104 (n=51)
female	768 (n=10)	86 (n=10)	85 (n=10)
<b>FeV1<sup>1</sup></b>	<b>.01</b>	.5	.1
> median	691 (n=29)	60 (n=29)	96 (n=29)
≤ median	848 (n=28)	118 (n=28)	93 (n=29)
<b>weight loss<sup>2</sup></b>	<b>.001</b>	.7	.6
yes	1001 (n=13)	93 (n=13)	106 (n=13)
no	692 (n=43)	88 (n=43)	86 (n=44)
<b>hemoglobin</b>	<b>.6</b>	<b>.04</b>	.6
> median	712 (n=32)	57 (n=32)	110 (n=32)
≤ median	770 (m=28)	104 (n=28)	86 (n=29)
<b>histology</b>	<b>.2</b>	<b>.08</b>	.8
SCC <sup>3</sup>	820 (n=29)	107 (n=29)	86 (n=20)
adeno-carcinoma	706 (n=25)	88 (n=25)	110 (n=26)
large-cell-carcinoma	507 (n=2)	44 (n=2)	123 (n=2)
nos	n/a (n=1)	n/a (n=1)	n/a (n=1)
unknown	460 (n=3)	24 (n=3)	109 (n=3)
<b>Grading</b>	<b>.3</b>	.4	.2
well (G1)	844 (n=2)	35 (n=2)	86 (n=2)
moderate (G2)	691 (n=17)	85 (n=17)	62 (n=17)
poor (G3)	830 (n=21)	92 (n=21)	96 (n=22)
undifferentiated (G4)	841 (n=9)	83 (n=9)	114 (n=9)
unknown	706 (n=11)	72 (n=11)	171 (n=11)
<b>T-stage</b>	<b>.02</b>	.4	.1
T1	561 (n=8)	64 (n=8)	54 (n=8)
T2	690 (n=18)	58 (n=18)	115 (n=18)
T3	847 (n=10)	97 (n=10)	177 (n=10)
T4	840 (n=24)	102 (n=24)	96 (n=25)
<b>N-stage</b>	<b>.4</b>	.3	.3
N0	651 (n=12)	85 (n=12)	74 (n=12)
N1	805 (n=2)	88 (n=2)	86 (n=2)
N2	852 (n=22)	102 (n=22)	64 (n=22)
N3	768 (n=24)	67 (n=24)	151 (n=25)
Nx	n/a (n=1)	n/a (n=1)	n/a (n=1)
<b>GTV<sup>5</sup></b>	<b>.03</b>	<b>&lt;.0001</b>	.6
> median	819 (n=30)	132 (n=30)	86 (n=31)
≤ median	677 (n=30)	52 (n=30)	108 (n=30)

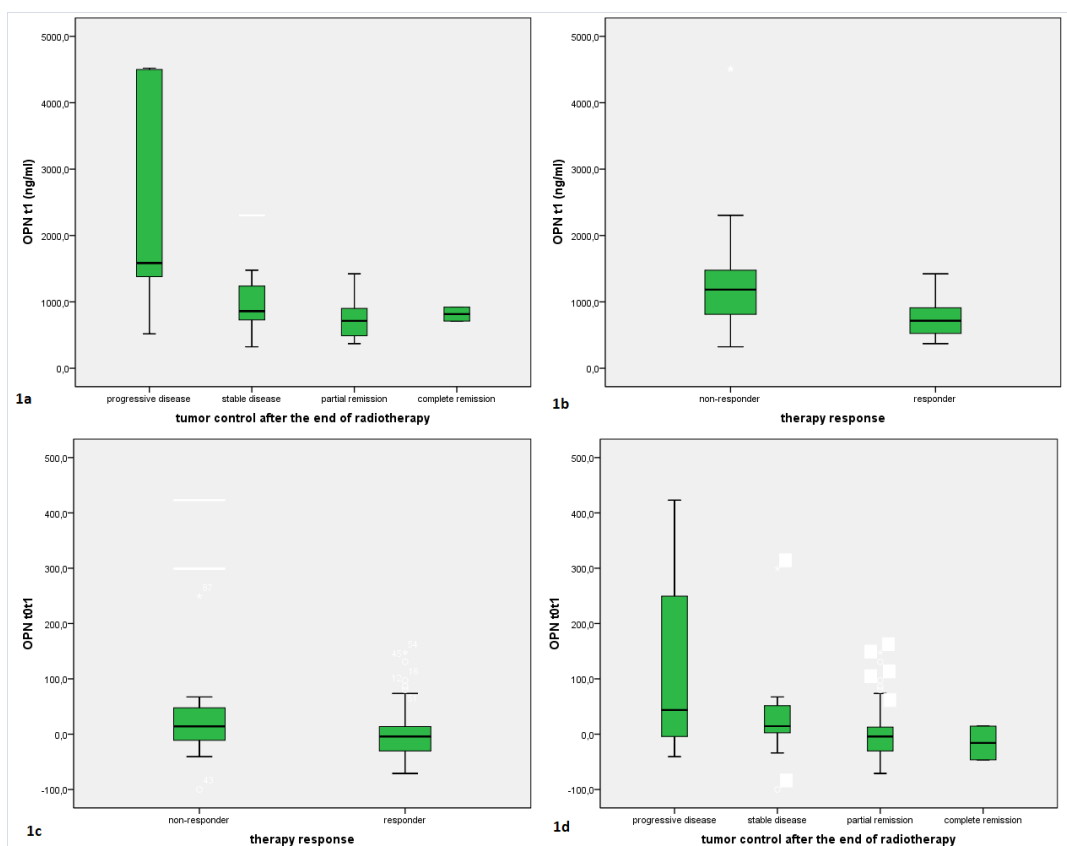
<sup>1</sup> forced expiratory volume in 1 second <sup>2</sup> ≥ 10% body weight / 6 months <sup>3</sup> squamous-cell carcinoma <sup>4</sup> not otherwise specified <sup>5</sup> gross tumor volume

Relative intratherapeutic OPN (t0 to t1) plasma level changes were associated with therapy response in cross-table analysis: Among responding patients, 29 had decreasing and 23 had increasing OPN t0t1 plasma levels, while in non-responding patients, 13 had increasing and 4 decreasing OPN t01 plasma levels (p=.02).

When patients were classified in rising vs. falling vs. stable intratherapeutic OPN (t0t1) plasma levels, among responding patients, 23 had falling, 13 had stable and 16 had increasing OPN t0t1 plasma levels while in non-responding patients, 4 had falling, 3 had stable and 11 had increasing OPN t0t1 plasma levels (p=.07).

In curative-intent NSCLC (M0) patients, absolute OPN, CAIX and VEGF plasma levels were not associated with tumor control or therapy response but a trend was noted for better therapy response in patients with decreasing intratherapeutic OPN (t0 to t1) plasma levels: OPN plasma levels in responding patients decreased by -3.6% during radiotherapy while they increased by 14.9% in non-responding patients (p=.04).

In cross-table analysis, a significant association between therapy response and relative intratherapeutic OPN plasma level changes (t0 to t1) was observed: Among responding patients, 16 had decreasing, 10 stable and 11 increasing OPN plasma levels during radiotherapy while in non-responding patients, 2 had falling, 1 stable and 8 increasing OPN plasma levels (p=.03). Tumor control was not related to OPN plasma level changes.



**Figure 1** Histogram of the association of median post-treatment OPN plasma levels and their relative changes with tumor control and therapy response in the entire patient cohort (n=97). Black line indicates the median, error bars in black and range in green.

**1a** Post-treatment OPN (t1) plasma levels in patients with progressive, stable disease, partial or complete remission four weeks after the end of radiotherapy.

**1b** Post-treatment OPN (t1) plasma levels in responding and non-responding patients.

**1c** Intratherapeutic OPN plasma level changes (t1 to t2) in responding and non-responding patients.

**1d** Intratherapeutic OPN plasma levels changes (t0 to t1) in patients with progressive, stable disease, partial or complete remission four weeks after the end of radiotherapy.

#### 4.3.2 Overall survival (OS)

Median OS was 11 (0 – 66) months in all patients and in curative-intent NSCLC M0 patients, it was 16 (1 – 66) months. In the latter subgroup, 50 deaths (82%) were registered at the last survival data update and 56% of deaths were cancer-related, 8% were not cancer-related and in 64% of cases, death cause could not be specified.

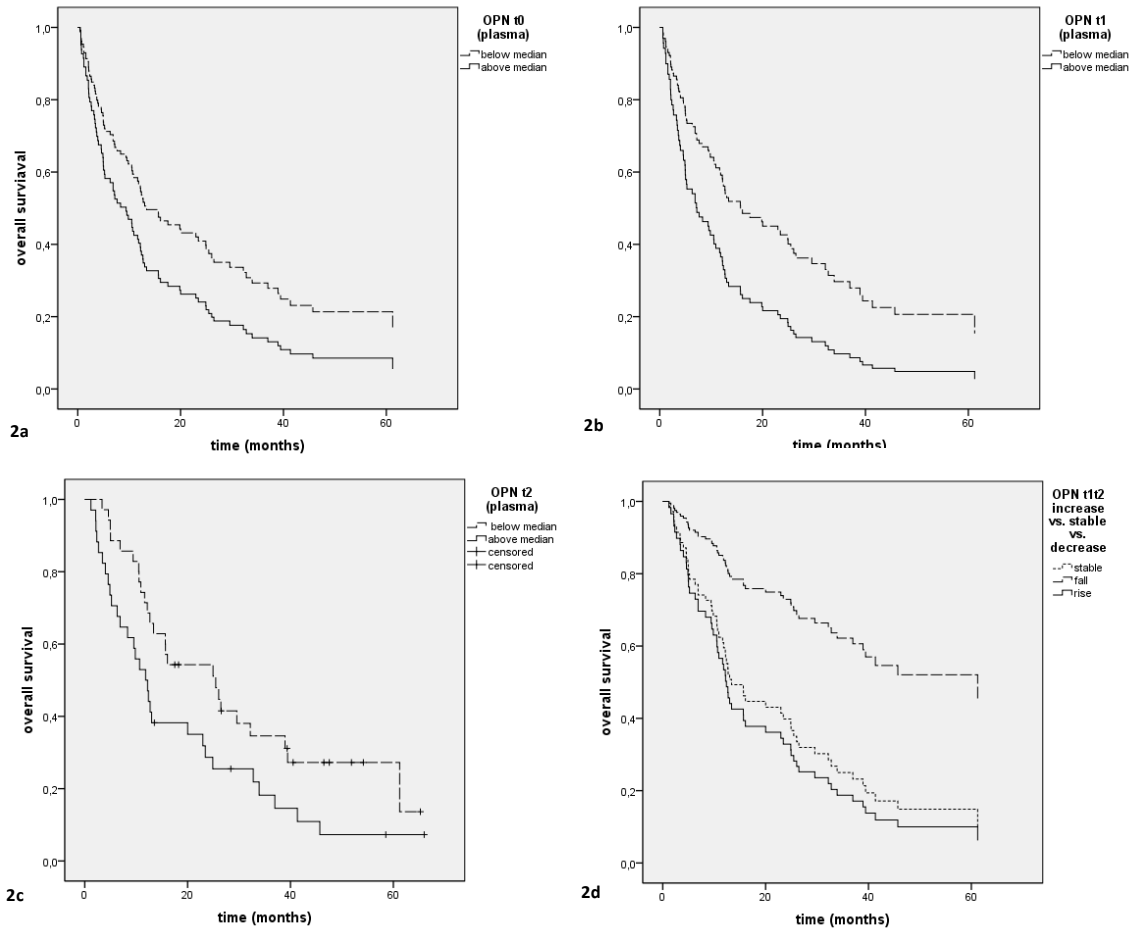
Cancer-specific survival (i.e. disease-specific survival) was 7 (0 – 37) months in the entire patient cohort (n=57) and it was 13 (2 – 37) months in the curative-intent cohort (n=14).

In the entire patient collective, absolute OPN plasma levels before (t0), at the end (t1) and 4 weeks after radiotherapy (t2) were associated with OS. Patients with high pre-treatment OPN plasma levels (i.e. t0  $\geq$  median, n=57) had a median OS of 7.6 months compared to patients with low t0 plasma levels (i.e. < median, n=40) who lived 16.1 months (p=.04). Patients with elevated baseline OPN plasma levels also had a significantly increased risk of death compared to patients with low OPN t0 levels (rr=1.6, 95%-CI [1.01-2.5], p=.04), **figure 2a**. OS was 6.9 months in patients with elevated OPN t1 plasma levels (n=46) as opposed to 15.7 months in patients with low OPN plasma levels at the end of treatment (n=45, p=.004). Patients also had a significantly increased risk of death if their plasma levels were elevated at the end of treatment (t1, rr=1.9, 95%-CI [1.2-3], p=.005), **figure 2b**. Superior OS was also found in patients with low OPN plasma levels 4 weeks after radiotherapy (t2) when compared to patients with high plasma levels (25.5 months, n=35 vs. 11.8 months, n=34, p=.02) who also had a significantly increased risk of death (rr=1.8, 95%-CI [1.1-3.1], p=.03), **figure 2c**. Absolute CAIX and VEGF plasma levels before treatment were not associated with OS in all 97 patients (p=.7 and p= .5). No survival differences were determined in patients with increasing, stable or decreasing OPN plasma levels during treatment (t0 to t1, p=.8) but a trend for superior survival was noted in patients with falling (n=37) or stable (n=7) post-therapeutic OPN plasma levels compared to patients with increasing (n=26) plasma levels from t1 to t2 time point (p=.09). The latter patients also had an increased risk of death (rr=1.2, 95%-CI [.7-2.1], p=.07), **figure 2d**.

In the curative-intent NSCCL M0 cohort, OPN baseline (t0) and t1 plasma levels were not associated with OS but I found a trend for prolonged survival in patients with low post-treatment (t2) OPN plasma levels (26.5 months, n=27 vs. 12.7 months, n=22, p=.08) and an increased risk of death in patients with high OPN t2 plasma levels (rr=1.7, 95%-CI [.9-3.2], p=.09), **figure 3a**.

Median pre-treatment plasma levels of VEGF and CAIX were not associated with OS.





**Figure 2** Association of plasma marker levels with overall survival (OS) in the entire patient collective (n=97).  
**2a** baseline OPN (t0) plasma levels and overall survival in Cox proportional hazards model  
**2b** end-of-treatment OPN (t1) plasma levels and overall survival in Cox proportional hazards model  
**2c** post-treatment OPN (t2) plasma levels and overall survival in Kaplan Meier analysis  
**2d** increasing vs. stable vs. decreasing post-treatment OPN (t1 to t2) plasma levels and overall survival in Cox proportional hazards model

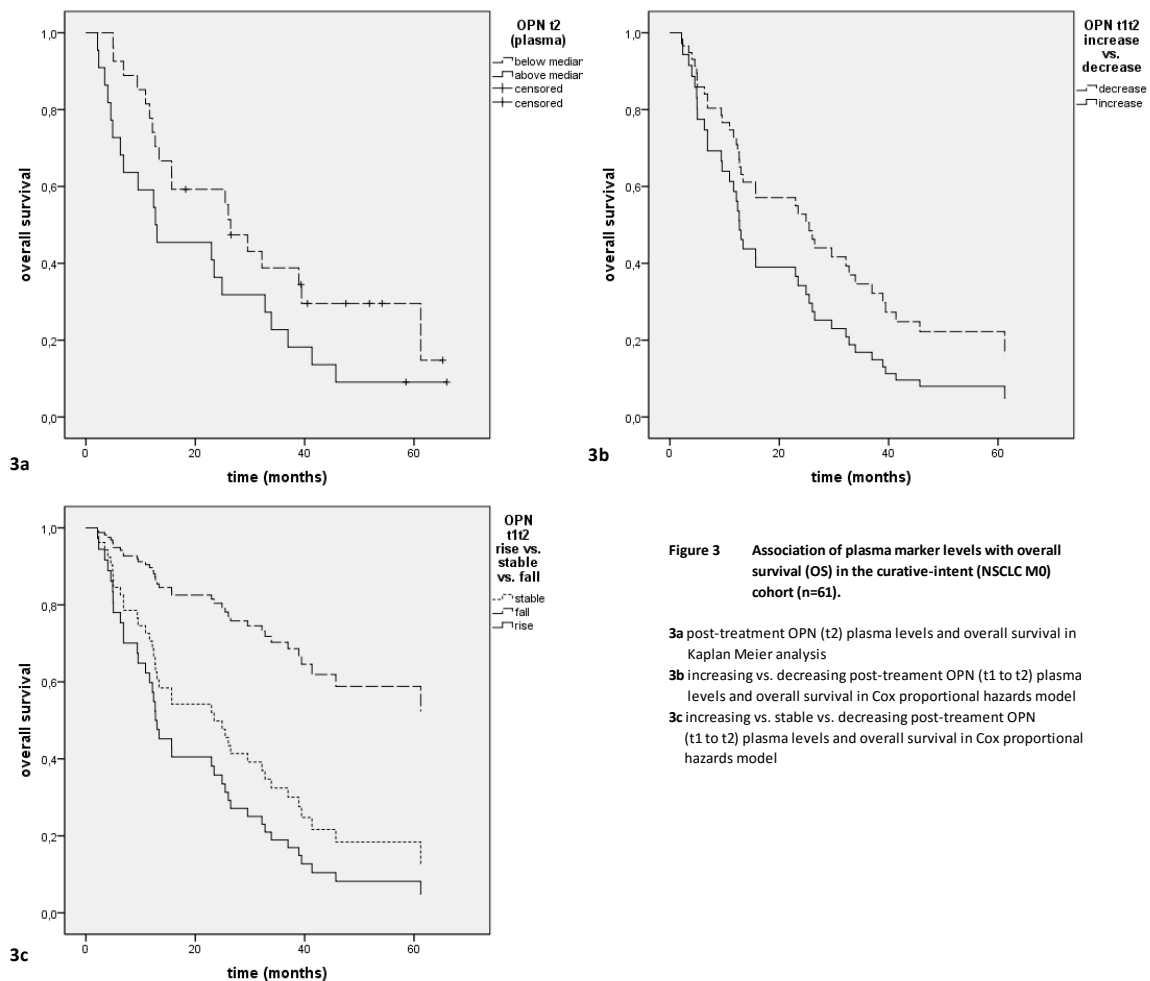
Relative OPN plasma level changes during radiotherapy (t0 to t1) were not related to survival but patients with increasing OPN plasma levels after treatment (t1 to t2) had a poorer OS than patients with decreasing post-treatment OPN plasma levels (10.9 months, n=18 vs. 26.5 months, n=29, p=.1), **figure 3b**. This trend was more pronounced if patients were divided into increasing (n=16) vs. stable (n=5) vs. decreasing (n=28) OPN t1 to t2 plasma levels as defined in 3.5 (13 vs. 14.4 vs. 15.7 months, p=.07), **figure 3c**.

#### 4.3.3 Progression-free survival (PFS)

Median PFS was 6 (0 – 65) months in all patients. In this group, 47 patients (49%) developed a disease progress during follow-up (n=23: 24% local relapse, n=11: 11% distant metastasis, n=13: 13% both), 19 patients (20%) remained without progressive

disease during follow-up (i.e. until death or last seen) and in 31 patients (32%), no data on disease progress was available.

In curative-intent NSCLC M0 patients, median PFS was 9 (1 – 65) months and disease progress during follow-up was noted in 26 patients (43%). 18 patients (30%) had no disease progress until their death or last seen during follow-up and disease progress data was missing in 17 patients (28%). In this patient group, 23% (n=14) had local, 7% (n=4) distant and 13% (n=8) had both local and distant disease progression.



**Figure 3** Association of plasma marker levels with overall survival (OS) in the curative-intent (NSCLC M0) cohort (n=61).

In the entire patient cohort, elevated OPN plasma levels at the end of (t1) and four weeks after radiotherapy (t2) were significantly associated with PFS.

Patients with elevated end-of-treatment OPN plasma levels (t1, n=46) had a median PFS of 5.6 months compared to patients with OPN t1 levels below the median (n=45, 9.1

months,  $p=.02$ ). The former patients also had a significantly elevated risk for disease progression ( $rr=1.7$ , 95%-CI [1.1-2.7],  $p=.02$ ), **figure 4a**.

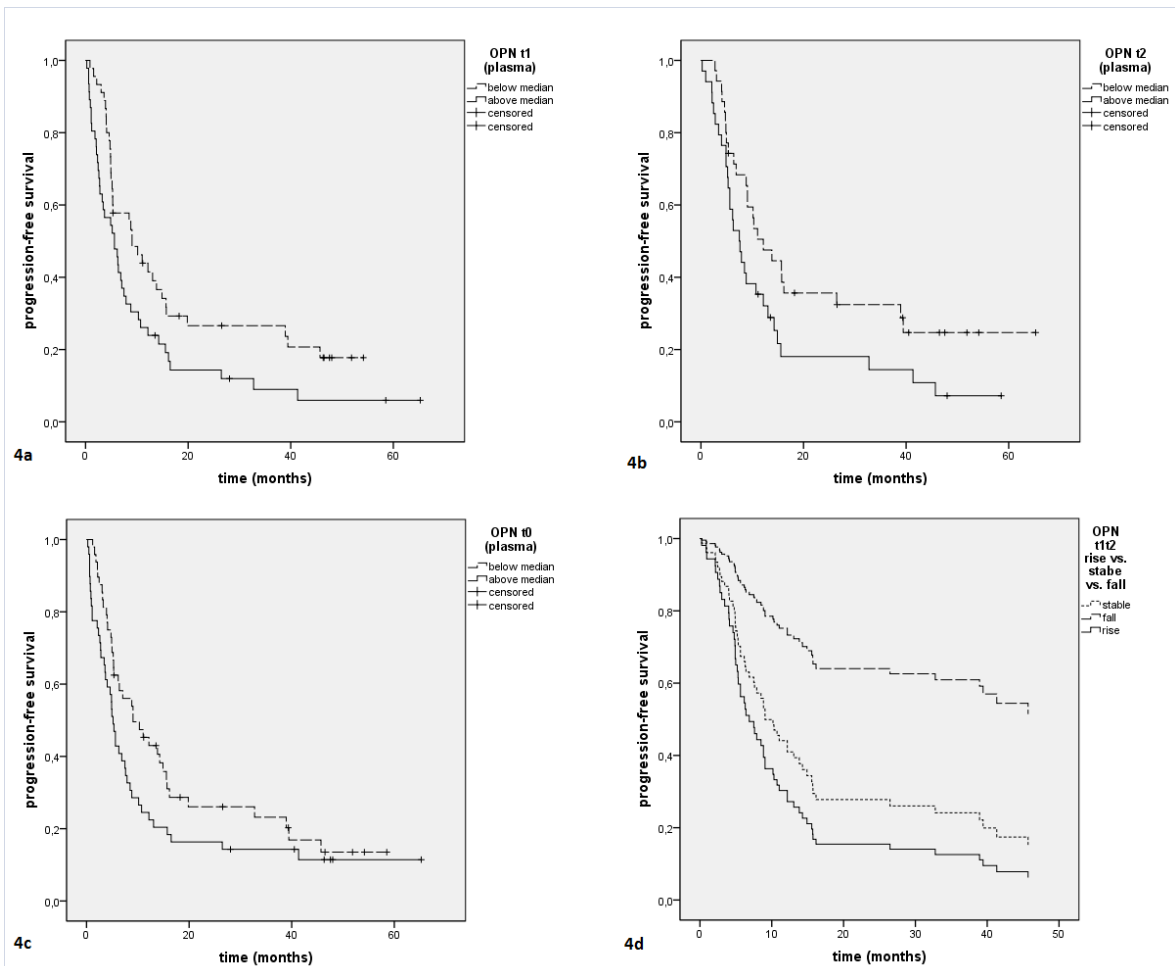
Patients with low OPN plasma levels four weeks after the end of radiotherapy ( $t_2$ ,  $n=35$ ) had a median PFS of 12.2 months as opposed to patients with elevated OPN  $t_2$  levels ( $n=34$ , 7.5 months,  $p=.04$ ) who also had a significantly increased risk for disease progress ( $rr=1.7$ , 95%-CI [1.1-3],  $p=.04$ ), **figure 4b**. A trend for reduced PFS in patients with elevated pre-treatment OPN plasma levels ( $t_0$ ,  $n=49$ ) compared to patients with low baseline plasma OPN levels ( $n=48$ ) was noted ( $p=.06$ ), **figure 4c**. Absolute pre-treatment VEGF and CAIX plasma levels were not associated with PFS ( $p=.77$  and  $p=.97$ ).

Relative OPN plasma level changes during treatment ( $t_0$  to  $t_1$ ) did not show any relation to PFS but post-radiotherapy OPN level changes ( $t_1$  to  $t_2$ ) were significantly related to PFS. Patients with increasing post-treatment OPN plasma levels ( $n=26$ ) had a median PFS of 5.2 months compared to 9.1 months in patients with stable ( $n=7$ ) and 15.6 months in patients with decreasing OPN  $t_1t_2$  plasma levels ( $n=37$ ,  $p=.03$ ). Correspondingly, a trend for an elevated relative risk for disease progression in patients with increasing OPN  $t_1t_2$  plasma levels ( $rr=1.5$ , 95%-CI [.9-2.5],  $p=.05$ ) was observed, **figure 4d**.

In the curative-intent NSCLC M0 patient cohort, absolute pre-treatment plasma levels of OPN, VEGF and CAIX were not associated with PFS ( $p=.5$ ,  $p=.8$  and  $p=.5$ ).

OPN plasma levels at the end of ( $t_1$ ) and four weeks after radiotherapy ( $t_2$ ) were also not related to PFS ( $p=.4$  and  $p=.1$ ). Relative OPN plasma level changes after ( $t_1$  to  $t_2$ ) but not during radiotherapy ( $t_0$  to  $t_1$ ,  $p=.9$ ) were associated with PFS. A trend for prolonged PFS was noted in patients with decreasing ( $n=29$ ) compared to increasing OPN plasma levels ( $n=18$ ) after treatment ( $t_1t_2$ , 14.3 months vs. 5.3 months,  $p=.08$ ). The latter patients also had an increased risk for disease progression ( $rr=1.7$ , 95%-CI [.9-3.3],  $p=.09$ ).

When patients were classified according to their relative OPN plasma level changes after radiotherapy in increasing vs. stable vs. decreasing OPN  $t_1t_2$  levels, the effect on PFS was more pronounced. Patients with increasing OPN  $t_1t_2$  plasma levels ( $n=16$ ) had a median PFS of 6.2 months, median PFS in patients with stable plasma levels ( $n=5$ ) was 10.3 months and 22 months in patients with decreasing plasma levels ( $n=28$ ) after radiotherapy ( $p=.009$ ). Patients with decreasing OPN plasma levels after radiotherapy also had the lowest risk for disease progression, followed by patients with stable and those with increasing OPN  $t_1t_2$  plasma levels whose relative risk was elevated by a factor 1.9 (95%-CI [1.1-3.8],  $p=.02$ ), **figure 5**.



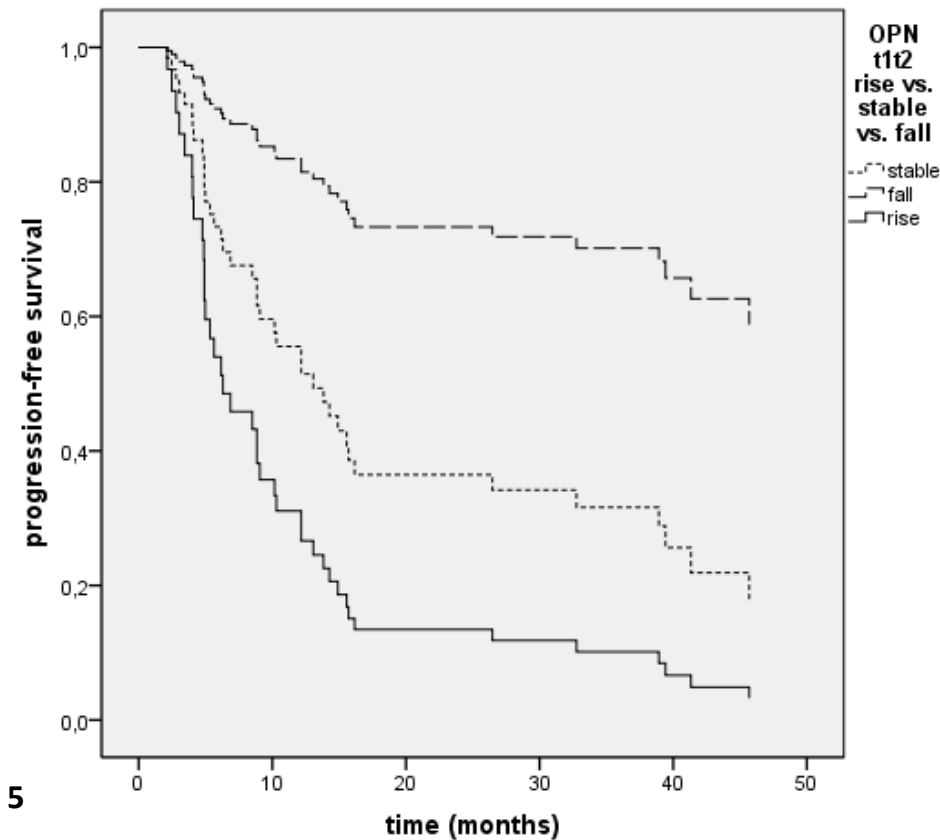
**Figure 4** Association of plasma marker levels with progression-free survival (PFS) in the entire patient collective (n=97).  
 4a end-of-treatment OPN (t1) plasma levels and progression-free survival in Kaplan Meier analysis  
 4b post-treatment OPN (t2) plasma levels and progression-free survival in Kaplan Meier analysis  
 4c pre-treatment OPN (t0) plasma levels and progression-free survival in Kaplan Meier analysis  
 4d increasing vs. stable vs. decreasing post-treatment OPN (t1 to t2) plasma levels and progression-free survival in Cox proportional hazards model

Additionally, patients whose relative increase in OPN t1t2 plasma levels was higher than the median increase of all patients had a significantly reduced PFS compared to patients whose plasma level increase was lower than the median increase (6.3 months, n=21 vs. 15.7 months, n=26, p=.04). The relative risk for disease progression was also significantly elevated on the former patient group (rr=1.9, 95%-CI [1.02-3.6], p=.04).

#### 4.3.4 Time to progression (TTP)

Median TTP in the entire patient collective was 7 (0 – 17) months and in the curative-intent patient cohort it was 9 (2 – 17) months.

TTP was not associated with absolute baseline plasma levels of OPN (t0, p=.2), VEGF (p=.2) and CAIX (p=.4) or with end-of-treatment (t1) and post-treatment (t2) OPN plasma levels (p= .6 and .7).



**Figure 5 Association of plasma marker levels with progression-free survival (PFS) in the curative-intent (NSCLC M0) cohort (n=61).**  
 Increasing vs. stable vs. decreasing post-treatment OPN (t1 to t2) plasma levels and progression-free survival in Cox proportional hazards model

Relative OPN plasma level changes during (t0 to t1) and after radiotherapy (t1 to t2) were not related to TTP ( $p=.2$  and  $.5$ ) even though patients with increasing OPN plasma levels during and after treatment had an overall reduced TTP and an increased risk for progression compared patients with decreasing or stable OPN plasma levels in the same timeframe.

In the curative-intent patient cohort, median post-treatment OPN (t2), pre-treatment OPN (t0), CAIX and VEGF plasma levels were not linked to TTP ( $p=.7$ ,  $.4$  and  $.5$ ) but patients with elevated end-of-treatment (t1) OPN plasma levels had a significantly reduced TTP compared to patients with low OPN t2 plasma levels (8.8 months,  $n=12$  vs. 5.3 months,  $n=12$ ,  $p=.04$ ). Also, patients with increasing OPN plasma levels during therapy (t0 to t1,  $n=9$ ) had an inferior TTP compared to patients with stable ( $n=4$ ) or decreasing ( $n=12$ )

plasma levels (5.3 vs. 8.8 vs. 14.9 months,  $p=.01$ ). No correlation of relative OPN plasma level changes after radiotherapy (t1 to t2) and TTP was determined ( $p=.4$ ).

#### **4.3.5 Metastasis-free survival (MFS)**

Median MFS in the entire patient collective was 12 (0 – 66) months and in 24 patients (24%), distant metastasis occurred during follow-up. In NSCLC M0 patients, MFS was 16 (3 – 66) months (12 patients developed distant metastasis during follow-up, 20%).

**Table 5** shows the association of absolute OPN plasma levels and their changes with MFS. In all patients, VEGF and CAIX plasma levels as well as OPN t0t1 plasma level changes were not related to MFS and in curative-intent NSCLC (M0) patients, MFS was not associated with baseline OPN, CAIX and VEGF plasma levels.

#### **4.3.6 Freedom from local relapse (FFLR)**

In the entire patient cohort, median FFLR was 9 (1 – 66) months and 36 patients (37%) were diagnosed with local relapse during follow-up. In the curative-intent NSCLC M0 cohort median FFLR was 12 (2 – 66) months and 22 patients (36%) had local recurrence during follow-up. The association of absolute baseline biomarker plasma levels and relative OPN plasma level changes with FFLR is presented in **table 6**.

In the entire patient cohort, absolute plasma biomarker levels of OPN, CAIX and VEGF were not associated with FFLR (OPN t0, t1, t2:  $p=.2, .3, .3$ ; CAIX:  $p=.7$ ; VEGF:  $p=.5$ ).

Relative OPN plasma level changes during radiotherapy (t0 to t1) were not related to FFLR ( $p=.9$ ).

In the curative-intent patient cohort (NSCLC M0), no correlation between FFLR and absolute plasma concentration of OPN, CAIX and VEGF was found (OPN t0:  $p=.6$ , t1:  $p=.7$ , t2:  $p=.5$ , CAIX:  $p=.4$ , VEGF:  $p=.3$ ). Relative OPN plasma level changes during radiotherapy (t0t1) were not associated with FFLR ( $p=.5$ ).

#### **4.4 Univariate analysis of the association of clinical patient characteristics with prognosis in the entire and curative-intent NSCLC M0 patient cohort**

Clinical patient and tumor characteristics have been tested for their association with prognosis in both the entire and the curative-intent NSCLC M0 patient cohort with restriction to OS and PFS as the primary endpoints in univariate analysis.

In the entire collective, weight loss ( $p=.02$ ), T-stage ( $p=.003$ ), M-stage ( $p<.0001$ ), UICC-stage ( $p<.0001$ ) and GTV ( $p<.0001$ ) but not N-stage ( $p=.16$ ), histology ( $p=.8$ ) or grade

(p=.21) were associated with OS in univariate analysis. A trend for reduced OS in patients with N+ stage compared to N0 stage was noted (p=.05). Weight loss (p=.02), T-stage (p=.02), N-stage (p=.04) and GTV (p=.001) were significantly associated with PFS in the entire patient collective and a trend for reduced PFS in patients with hemoglobin levels below the median (compared to above the median) was noted (p=.05).

**Table 5.** Association of median OPN plasma levels and their changes with metastasis-free survival (MFS) in the entire (left side) and the curative-intent patient cohort (right side)

	MFS	p <sup>1</sup>	rr <sup>2</sup>	95%-CI	p <sup>3</sup>		MFS	p <sup>1</sup>	rr <sup>2</sup>	95%-CI	p <sup>3</sup>
<b>OPN t0</b>		<b>.04</b>				<b>OPN t0t1</b>		<b>.06</b>			
<median	16.2 (n=20)					increase	12.2 (n=8)				
≥median	5.6 (n=22)		2.1	.98-4.3	.05	decrease	39.4 (n=17)		.36	.12-1.1	.07
<b>OPN t1</b>		<b>.02</b>				<b>OPN t1t2</b>		<b>.04</b>			
<median	15.7 (n=20)					increase	5.3 (n=7)		3.5	1.2-10.1	.02
≥median	6.4 (n=20)		2.3	1.1-4.7	.02	decrease	39.4 (n=15)				
<b>OPN t2</b>		<b>.06</b>				<b>OPN t1t2</b>		<b>.05</b>			
<median	16.2 (n=19)					increase	12.2 (n=3)		2.9	.7-11.2	.09
≥median	7.9 (n=16)		2.1	.9-4.8	.07	stable	16 (n=4)				
<b>OPN t1t2</b>		<b>.05</b>				decrease	23.7 (n=17)				
increase	15.7 (n=12)		2.2	.97-5.1	.05						
decrease	7.5 (n=21)										
<b>OPN t1t2</b>		<b>.04</b>									
increase	11 (n=7)		2.4	.9-6.4	.06						
stable	12.2 (n=6)										
decrease	20.1 (n=22)										

<sup>1</sup> p-value referring to differences in MFS according to high vs. low OPN plasma levels <sup>2</sup> relative risk <sup>3</sup> p-value referring to rr

**Table 6.** Association of median OPN plasma levels and their changes with freedom from local relapse (FFLR) in the entire (left side) and the curative-intent patient cohort (right side)

	FFLR	p <sup>1</sup>	rr <sup>2</sup>	95%-CI <sup>3</sup>	p <sup>4</sup>		FFLR	p <sup>1</sup>	rr <sup>2</sup>	95%-CI <sup>3</sup>	p <sup>4</sup>
<b>OPN t1t2</b>		<b>.02</b>				<b>OPN t1t2</b>		<b>.01</b>			
increase	8.8 (n=16)		2.4	1.1-5	.03	increase	9.8 (n=13)		3	1.2-7.3	.01
decrease	13.8 (n=26)					decrease	16.2 (n=21)				
<b>OPN t1t2</b>		<b>.004</b>				<b>OPN t1t2</b>		<b>.002</b>			
increase	6.2 (n=15)		2.6	1.2-5.6	.01	increase	6.2 (n=11)		3.7	1.5-9.5	.007
stable	10.7 (n=4)					stable	16.2 (n=4)				
decrease	16.7 (n=27)					decrease	25.7 (n=21)				

<sup>1</sup> p-value referring to differences in FFLR according to OPN plasma levels <sup>2</sup> relative risk <sup>3</sup> 95-confidence interval

<sup>4</sup> p-value referring to relative risk

In the curative-intent NSCLC M0 patient group, T-stage (p=.003), grade (p=.02), UICC stage (p=.02) and GTV (p=<.0001) but not weight loss (p=.25), N-stage (p=.66) or nodal involvement (i.e. N0 vs. N+, p=.93) significantly predicted OS in the univariate analysis.

For the association of clinicopathological parameters with PFS in this patient group, significant results could be determined for GTV ( $p=.002$ ), UICC stage ( $p=.04$ ) and T-stage ( $p=.03$ ) while a trend was noted for inferior PFS with poorer tumor differentiation ( $p=.06$ ).

#### **4.5 Multivariate and combined analysis of plasma biomarker levels and their changes in the curative-intent NSCLC M0 patient cohort**

Relative OPN plasma level changes and absolute OPN, CAIX and VEGF plasma levels have been evaluated for their association with prognosis (overall-, OS, and progression-free survival, PFS) in multivariate analysis including known prognostic and clinical factors. Additionally, biomarker combination of baseline (i.e. pre-treatment) OPN, CAIX and VEGF plasma levels was assessed for their prognostic quality in multivariate analysis. Since the informative value of prognostic models is most useful in patients treated with curative-intent, the aforementioned analyses have been restricted to the NSCLC M0 patient cohort. Both palliative-intent and SCLC patients (in order to ensure adequate homogeneity of the studied patient cohort) have been excluded from uni- and multivariate analysis.

##### **4.5.1 Absolute plasma OPN levels in a multivariate prognostic model**

A prognostic baseline model for OS was created which consisted of the factors anemia (yes vs. no), gender (male vs. female), forced expiratory volume (FeV1, above vs. below median), tumor grading (G1 vs. G2 vs. G3 vs. G4), age (above vs. below median), OPN t0 plasma levels (above vs. below median), weight loss (yes vs. no), T-stage (T1 vs. T2 vs. T3 vs. T4) and N-stage (N0 vs. N1 vs. N2 vs. N3).

Then, a stepwise backward logistic regression was used to determine the parameters which most significantly predicted OS. The final model ( $p<.0001$ , **table 7**) included anemia ( $p=.02$ ), gender ( $p=.09$ ), weight loss ( $p=.006$ ), grade ( $p=.004$ ), age ( $p=.03$ ), T-stage ( $p<.0001$ ) and OPN t0 ( $p=.02$ ). N-stage ( $p=.5$ ) and FeV1 ( $p=.8$ ) were not significantly associated with OS and thus have been removed from the prognostic model.

When T-stage was replaced by gross-tumor-volume (GTV, above vs. below median) and N-stage was replaced by nodal involvement (N0 vs. N+) in the same baseline model, the final model ( $p<.0001$ ) consisted of grade ( $p=.04$ ) and GTV ( $p<.0001$ ) only while all other parameters including OPN t0 ( $p=.5$ ) were removed from the initial model.

When baseline OPN (t0) plasma levels were replaced by end-of-treatment OPN (t1) plasma levels in the same initial model, they did not prove to be independently associated



with OS in multivariate analysis (p=.3). Only weight loss (p=.04), grade (p=.005) and T-stage (p<.0001) remained independent predictors for OS in the final model (p<.0001).

I finally tested post-treatment OPN (t2) plasma levels in the same baseline prognostic model and found it was significantly associated with OS. The final model (p=.001) consisted of OPN t2 (rr=2.6 for patients with plasma levels above the median, 95%-CI [1.2-5.6], p=.01) and T-stage (rr=1.5 for T4-stage patients, 95%-CI [.5-4.7], p=.003).

For PFS, the same multivariate prognostic models have been calculated and evaluated.

In the baseline model consisting of anemia, FeV1, age, gender, tumor grading, T-stage, N-stage, weight loss and pre-treatment OPN plasma levels (t0), only age (p=.08), grading (p=.02), T-stage (p=.01) and weight loss (p=.06) remained in the final model (p=.009) after a stepwise logistic regression. OPN t0 plasma levels remained insignificant (p=.3).

When T-stage was replaced by GTV in the same model, the final model (p=.007) consisted of GTV only which significantly predicted PFS (p=.009; rr=2.2, 95%-CI [1.2-4.1]).

When OPN t0 plasma levels were replaced by end-of treatment OPN plasma levels (t1) in the same baseline model, only weight loss (p=.04), grading (p=.005), T-stage (p<.0001) and N-stage (p=.007) significantly predicted PFS in the final model (p<.0001) while OPN t1 plasma levels were not significant (p=.4). Substituting T-stage by GTV resulted in a change of the final model (p<.0001) which then contained grading (p=.03) and GTV (p<.0001) only. When absolute OPN plasma levels four weeks after treatment (t2) were evaluated in the same baseline prognostic model for PFS, the final model (p=.001) consisted of T-stage (p=.003; rr=1.2, 95%-CI [1.1-4.2] for T2-3 vs. T1; rr=2.6, 95%-CI [1.2-5.7] for T4 vs. T1) and OPN t2 plasma levels (p=.02; rr=2.6, 95%-CI [1.2-5.7]).

When T-stage was replaced by GTV in the same model, only the latter parameter remained significant (p=.003; rr=2.9, 95%-CI [1.5-5.8]) in the final model (p=.002) while OPN dropped out of the model due to low significance (p=.9).

**Table 7.** Multivariate Cox regression model for overall survival in curative-intent NSCLC M0 patients

Variable	Compared groups	Subject group <sup>2</sup>	Hazard ratio <sup>3</sup>	95%-CI	p
<b>anemia</b>	<i>yes vs. no</i>	yes	2.8	1.2-6.6	.02
<b>sex</b>	<i>male vs. female</i>	female	.4	.1-1.1	.09
<b>weight loss</b>	<i>yes vs. no</i>	yes	3.6	1.5-9	.006
<b>grade</b>	<i>1 vs. 2 vs. 3 vs. 4</i>	1	.04	.006-.3	.004
<b>age</b>	<i>above vs. below median</i>	above median	2.3	1.1-4.7	.03
<b>T-stage</b>	<i>T1 vs. T2 vs. T3 vs. T4</i>	T4	6.3	1.6-25.8	<.0001
<b>OPN t0<sup>1</sup></b>	<i>above vs. below median</i>	above median	2.5	1.6-12.3	.02

<sup>1</sup> osteopontin before treatment <sup>2</sup> discriminated or favored subgroup <sup>3</sup> >1 reflecting an increased risk of death, <1 reflecting a reduced risk of death

#### **4.5.2 Relative OPN plasma level changes in a multivariate prognostic model**

For the evaluation of the prognostic quality of relative OPN plasma level changes over time, the latter have been integrated in the same prognostic baseline model, consisting of gender, anemia, FeV1, grading, age, T-stage, N-stage and in addition, OPN t0t1 plasma level changes (increase vs. decrease).

After a stepwise regression, only grading ( $p=.002$ ) and T-stage ( $p<.0001$ ) but not OPN level changes (t0 to t1 time point,  $p=.8$ ), FeV1 ( $p=.9$ ), age ( $p=.5$ ), N-stage ( $p=.3$ ), anemia ( $p=.6$ ) or gender ( $p=.8$ ) were significantly associated with OS in the final model ( $p<.0001$ ).

When T-stage was replaced by gross tumor volume (GTV), the final model ( $p<.0001$ ) contained grading ( $p=.03$ ) and GTV ( $p<.0001$ ) while the other clinical factors including OPN t0t1 were removed.

Different prognostic models have been further calculated such as a model initially including OPN t0t1, gender, weight loss, grading, T-stage and N-stage. However, intratherapeutic OPN t0t1 plasma level changes did not prove as an independent predictor for OS besides weight loss ( $p=.08$ ), grading ( $p=.002$ ) and T-stage ( $p=.001$ ) in any model.

When intratherapeutic OPN plasma level changes (to to t1 time point) were grouped in decreasing vs. stable vs. increasing plasma levels during radiotherapy and included into the same prognostic model with gender, anemia, FeV1, grading, age, T- and N-stage, only grade and T-stage ( $p<.0001$ ) remained significant predictors for OS in the final model ( $p<.0001$ ) while relative OPN t0t1 plasma level changes remained insignificant ( $p=.3$ ).

When weight loss was added and T-stage replaced by GTV in the same model with OPN t0t1 (increase vs. stable vs. decrease), anemia, FeV1, age, gender and grade, the final model which significantly predicted OS ( $p<.0001$ ) consisted of GTV ( $p<.0001$ ), N-stage ( $p=.004$ ), gender ( $p=.02$ ) and OPN t0t1 plasma level changes ( $p=.05$ ).

The same prognostic model was used to evaluate the predictive quality of post-treatment OPN plasma level changes (t1 to t2, increase vs. decrease). The initial model included the latter in addition to anemia, FeV1, age, gender, weight loss, T-stage, grading and N-stage. The final model ( $p=.002$ ) consisted of T-stage which remained the only independent predictor for OS ( $p=.004$ ) while all other parameters, including OPN ( $p=.1$ ), were not significantly associated with prognosis. When T-stage was replaced by GTV in the same model, only the latter significantly predicted OS in the final model ( $p<.0001$ ).

When post-treatment OPN plasma level changes, grouped into increasing vs. stable vs. decreasing OPN levels from t1 to t2 time point, were analyzed in the same prognostic model together with anemia, FeV1, age, gender, weight loss, grading, T-stage and N-

stage, the final model ( $p < .0001$ ) consisted of T-stage ( $p < .0001$ ), gender ( $p = .06$ ), anemia ( $p = .03$ ) and post-treatment OPN t1t2 plasma levels ( $p < .0001$ ) which significantly predicted OS (rr=6.02, 95%-CI [2.3-15.6], **table 8**. When T-stage was replaced by GTV in the same model, the final model which significantly predicted OS ( $p = .002$ ) consisted of GTV ( $p = .001$ ) and OPN t1t2 plasma levels (rr=2.1, 95%-CI [1.1-4.3],  $p = .06$ ).

PFS was evaluated, using the same baseline prognostic model consisting of anemia, FeV1, age, gender, weight loss, tumor grade, T-stage, N-stage and relative OPN t0t1 plasma level changes (i.e. increase vs. decrease). The final model ( $p = .008$ ) contained grade ( $p = .02$ ) and T-stage ( $p = .02$ ) which significantly predicted PFS while relative OPN t0t1 plasma level changes remained without significance ( $p = .09$ ).

When T-stage was replaced by GTV in the same model, only grade ( $p = .06$ ) and GTV ( $p = .001$ ) remained in the final model ( $p = .002$ ).

**Table 8.** Multivariate Cox regression model for overall survival in curative-intent NSCLC M0 patients (n=61)

Variable	Compared groups	Subject group <sup>1</sup>	Hazard ratio <sup>2</sup>	95%-CI	p
<b>OPN t1t2<sup>3</sup></b>	<i>increase vs. stable vs. decrease</i>	stable	.9	.2-4.4	<.0001
		increase	6.02	2.3-15.6	
<b>T-stage</b>	<i>T1 vs. T2 vs. T3 vs. T4</i>	T3	1.5	.4-5.2	<.0001
		T4	1.8	.6-5.6	
<b>gender</b>	<i>male vs. female</i>	female	.4	.13-1.1	.065
<b>anemia</b>	<i>yes vs. no</i>	yes	2.6	1.1-6.2	.034

<sup>1</sup> discriminated or favored subgroup <sup>2</sup> reflected in increased (>1) or reduced (<1) risk of death

<sup>3</sup> osteopontin plasma level changes (increase, +10%; decrease, -10%; stable, between +10% rise and -10% fall) from the end (t1) to four weeks after treatment (t2)

Intratherapeutic OPN plasma level changes were further grouped in increasing vs. stable vs. decreasing t0t1 plasma levels and were included in the same baseline model.

The final model only consisted of T-stage ( $p = .02$ ) and grade ( $p = .004$ ) which significantly predicted PFS ( $p = .008$ ) while OPN t0t1 plasma levels did not reach statistical significance ( $p = .24$ ). When T-stage was replaced by GTV in the same model, only the latter parameter ( $p = .001$ ) and grade ( $p = .06$ ) remained in the final model ( $p = .002$ ) which significantly predicted PFS (OPN t0t1,  $p = .3$ ).

I then included post-treatment OPN plasma level changes (t1t2 increase vs. decrease) in the same model. The final model ( $p = .02$ ) consisted of T-stage ( $p = .03$ ) and OPN t1t2 plasma levels ( $p = .07$ ) which predicted PFS. Patients with increasing OPN plasma levels after radiotherapy had an increased risk to die by a factor 1.9 (95-% CI [.9-4.1] and the

relative risk to die was 1.4 (95%-CI [1.1-4.8]) in T3/T4-stage patients compared to T1/T2-stage patients. When GTV was included in the same model instead of T-stage, only GTV remained in the final model (p=.003) as an independent significant predictor for PFS (rr=2.7; 95%-CI [1.4-5.5], p=.004).

OPN t1t2 plasma levels then were further grouped in increasing vs. stable vs. decreasing plasma levels after treatment and were included in the same baseline model.

I found that in the final model which significantly predicted PFS (p=.001), both T-stage (p=.006) and OPN t1t2 (p=.001) were independent predictors for PFS, **table 9**.

Replacing T-stage by GTV resulted in a change in the final prognostic model (p=.001) which then consisted of OPN t1t2 plasma levels (rr=3; 95%-CI [1.5-6.3], p=.004) and GTV (rr=3; 95%-CI [1.5-6.3], p=.003).

**Table 9.** Multivariate Cox regression model for progression-free survival (PFS) in curative-intent NSCLC M0 patients (n=61)

Variable	Compared groups	Subject group <sup>1</sup>	Hazard ratio <sup>2</sup>	95%-CI	p
OPN t1t2 <sup>3</sup>	increase vs.	stable	.5	.1-2.4	.001
	stable vs.	increase	4.1	1.8-8.9	
	decrease				
T-stage	T1 vs. T2 vs.	T3	1.2	.3-4.4	.006
	T3 vs. T4	T4	1.4	.4-4.6	

<sup>1</sup> discriminated or favored subgroup <sup>2</sup> reflected in increased (>1) or reduced (<1) risk of death <sup>3</sup> osteopontin plasma level changes (increase, +10%; decrease, -10%; stable, between +10% rise and -10% fall) from the end (t1) to four weeks after treatment (t2)

#### 4.5.3 Absolute baseline CAIX and VEGF plasma levels in a multivariate prognostic model

Baseline, i.e. pre-radiotherapy, plasma levels of VEGF and CAIX have also been assessed for their prognostic impact on OS and PFS in a multivariate analysis using the same prognostic model as described above.

When pre-treatment VEGF plasma levels were evaluated together with other potential prognostic factors for OS including age, gender, anemia, weight loss, T-stage, N-stage, grade and FeV1, the final model which significantly predicted OS (p<.0001) contained T-stage (p<.0001), grade (p=.002), weight loss (p=.007), age (p=.08) and VEGF (p=.07). When T-stage was replaced by GTV in the same model, the final model (p<.0001) then

consisted of gender (p=.03), weight loss (p=.07), GTV (p<.0001) and VEGF (p=.004) which remained independent predictors for OS, **table 10**.

VEGF was also evaluated for its impact on PFS in a multivariate analysis using the same prognostic model. After a stepwise backwards logistic regression, only T-stage (p=.01), grade (p=.01), weight loss (p=.04) and age (p=.1) remained in the final model which significantly predicted PFS (p=.006). When T-stage was replaced by GTV in the same model, the final model (p=.003) now included VEGF (p=.009; rr=.4, 95%-CI [.2-.8] for VEGF levels below the median), gender (p=.05; rr=.4, 95%-CI [.2-1] for female gender) and GTV (p=.001; rr=3.4, 95%-CI [1.7-7.1] for GTV above the median).

I then evaluated baseline CAIX plasma levels using the same prognostic model and found that it was not significant (p=.71) while age (p=.06), weight loss (p=.03), grade (p=.001) and T-stage (p=.001) significantly predicted OS in the final model (p<.0001).

**Table 10.** Multivariate Cox regression model for overall survival in curative-intent NSCLC M0 patients (n=61)

Variable	Compared groups	Subject group <sup>1</sup>	Hazard ratio <sup>2</sup>	95%-CI	p
VEGF	above vs. below median	below median	.4	.2-.7	.004
GTV <sup>3</sup>	above vs. below median	above median	4.9	2.3-10.4	<.0001
gender	male vs. female	female	.4	.2-.9	.03
weight loss	yes vs. no	yes	2	.9-4.2	.07

<sup>1</sup> discriminated or favored subgroup <sup>2</sup> reflected in increased (>1) or reduced (<1) risk of death

<sup>3</sup> gross tumor volume

Exchanging T-stage by GTV changed the final model (p<.0001) which then only consisted of grade (p=.04) and GTV (p=.001).

For PFS, similar results were found: the baseline prognostic model which initially included CAIX plasma levels, age, gender, weight loss, anemia, T-stage, N-stage, grade and FeV1 consisted of age (p=.08), weight loss (p=.06), grade (p=.02) and T-stage (p=.01) after the logistic regression (p=.009) while CAIX remained insignificant (p=.6).

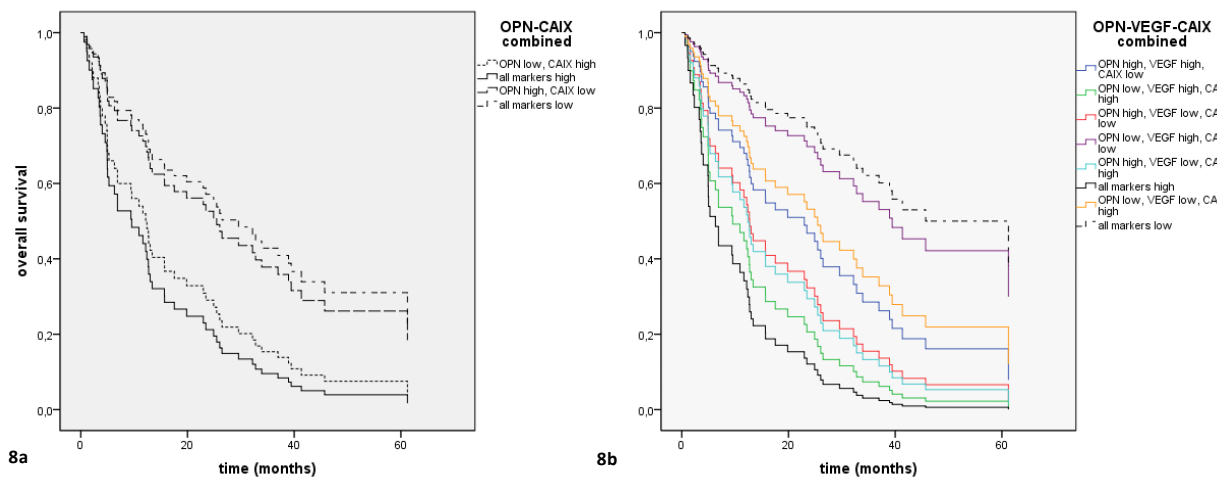
Replacing T-stage by GTV resulted in a final model for PFS (p=.007) which only contained GTV as an independent predictor for PFS (p=.009; rr=2.2, 95%-CI [1.2-4.1] for GTV higher than the median).

#### 4.5.4 Combination of OPN, CAIX and VEGF and their impact on OS and PFS

Combined biomarker baseline (pre-therapeutic) plasma levels were evaluated for OS and PFS, i.e. the double-biomarker pairs OPN-VEGF, OPN-CAIX and VEGF-CAIX and the triple combination OPN-VEGF-CAIX. Each biomarker pair was analyzed according to the plasma concentration based on the median, yielding 4 subgroups for double-biomarker pairs and 6 subgroups for the triple marker combination (i.e. plasma levels of all markers above the median vs. plasma levels all biomarkers below the median vs. intermediate groups with one plasma marker below or above the median and vice versa).

For the pairs OPN-VEGF ( $p=.62$ ) and VEGF-CAIX ( $p=.98$ ), no significant differences in OS were found in subgroups. OS however, significantly differed between subgroups for OPN-CAIX: Median OS was 29.6 (16.7-42.5) month in the group with plasma levels of both biomarkers below the median, it was 26 (20.1-32) months in the group OPN high/CAIX low, 15.7 (7.9-23.5) months in the group OPN low/CAIX high and 6.7 (0-12.7) months in the group with plasma levels of both markers above the median ( $p=.03$ ). Accordingly, the relative risk to die was significantly different, **figure 6a**. Compared to patients with plasma levels of both markers below the median, patients whose plasma levels were higher than the median had a significantly increased risk of death ( $rr=1.3$ , 95%-CI [1.1-2.6],  $p=.04$ ).

The triple biomarker combination OPN-CAIX-VEGF showed a significantly different OS of subgroups ( $p=.02$ ), **figure 6b**: Median OS was 41.3 (9.9-72.1) months in patients with low plasma levels of all three markers compared to 5.3 (4.5-6.1) months in patients with high plasma levels of all three biomarkers.



**Figure 6 Association of combined plasma marker levels with OS in n=61 curative-intent NSCLC M0 patients in Cox regression analysis.**  
**6a** Absolute pre-therapeutic plasma levels of the double biomarker combination OPN and CAIX (*high* refers to plasma levels above the median, *low* refers to plasma levels below the median)  
**6b** Absolute pre-therapeutic plasma levels of the triple biomarker combination OPN, VEGF and CAIX (*high* refers to plasma levels above the median, *low* refers to plasma levels below the median)

The latter patient group also had a significantly increased risk to die compared to the index group of patients with low levels of all markers (rr=2.7, 95%-CI [1.1-7.6], p=.04), **table 11**. Median PFS was not significantly different between subgroups for the double biomarker combination OPN-VEGF (p=.91) and VEGF-CAIX (p=.8). However, a trend (p=.07) for superior PFS in patients with low plasma levels of OPN-CAIX was noted: Median PFS was 14.3 (9.7-18.8) month in patients with low plasma levels of both OPN and CAIX, it was 10.2 (3-17.4) month in patients with high OPN/low CAIX plasma concentration, 5.6 (3.8-7.4) months in patients with high CAIX/low OPN plasma levels and 5.2 (2.7-7.8) months in patients with high plasma levels of both OPN and CAIX. Accordingly, the relative risk of death was increased in patients with high levels of both CAIX and OPN compared to patients with low plasma levels of both markers (rr=1.1, 95%-CI [.5-2.1], p=.09).

**Table 11.** Overall survival (Kaplan-Meier analysis) and hazard ratio (Cox proportional hazards model) in curative-intent NSCLC M0 patients (n=61) according to plasma levels of the triple biomarker combination

Plasma level	Median OS <sup>1</sup> (range)	Hazard ratio <sup>2</sup>	95%-CI <sup>3</sup>	p <sup>4</sup>
all markers low <sup>5</sup>	41.3 (9.9-72.1)	n/a <sup>7</sup>	n/a	n/a
OPN high <sup>6</sup> , VEGF low, CAIX low	17.5 (5.8-27.6)	1.5	.47-4.7	.5
OPN high, VEGF high, CAIX low	22.9 (.9-45.1)	.83	.32-2.2	.71
OPN high, VEGF low, CAIX high	16 (6.7-24.6)	1.6	.52-5	.41
OPN low, VEGF high, CAIX low	36.9 (0-110.4)	.4	.08-1.8	.22
OPN low, VEGF low, CAIX high	25.5 (4.5-46.4)	.47	.14-1.6	.23
OPN low, VEGF high, CAIX high	14.3 (4.1-24.4)	2.1	.74-5.8	.17
all markers high	5.3 (4.5-6.1)	2.7	1.1-7.6	<b>.04</b>

<sup>1</sup> overall survival in months <sup>2</sup> reflecting the risk to die in comparison to the subgroup with low levels of all three markers as the comparison group (values >1 increased risk, <1 reduced risk) <sup>3</sup> confidence interval <sup>4</sup> p-value corresponds to hazard ratio which is referring to the comparison group with low levels of all three markers <sup>5</sup> below the median <sup>6</sup> pre-treatment (OPN t0), above the median <sup>7</sup> not applicable

The triple biomarker combination OPN-VEGF-CAIX non-significantly impacted PFS which was highest in patients with low plasma concentration of all three biomarkers (41.3 [0-108] months) and lowest in patients with high plasma levels of OPN-VEGF-CAIX (4.9 [2.2-7.5] months,  $p=.11$ ). The latter patients also had an elevated risk to die ( $rr=1.6$ , 95%-CI [.6-4.2],  $p=.15$ ) compared to patients with low plasma levels of all three biomarkers.

#### **4.5.5 Combined analysis of baseline OPN, CAIX and VEGF plasma levels in a multivariate prognostic model**

Pre-treatment (baseline) plasma levels of OPN, VEGF and CAIX have been evaluated in combination for their impact on OS and PFS in multivariate analysis.

At first, I included absolute baseline plasma levels of pre-therapeutic OPN (t0), CAIX and VEGF in the same prognostic model for OS as described above (i.e. containing age, gender, weight loss, FeV1, tumor grade, N-stage, T-stage and anemia).

After stepwise logistic regression, T-stage ( $p<.0001$ ), grade ( $p=.002$ ), weight loss ( $p=.002$ ), age ( $p=.08$ ), gender ( $p=.08$ ), anemia ( $p=.09$ ), OPN ( $p=.02$ ) and VEGF ( $p=.04$ ) were independent predictors for OS in the final model ( $p<.0001$ ), **table 12**.

With T-stage replaced by GTV in the same baseline model, the final model which significantly predicted OS ( $p<.0001$ ), included VEGF ( $p=.004$ ), gender ( $p=.03$ ), weight loss ( $p=.07$ ) and GTV ( $p<.0001$ ).

For the evaluation of PFS, the initial model included the same clinicopathological parameters and in addition, OPN t0, CAIX and VEGF plasma levels as described above.

After a stepwise logistic regression, only age ( $p=.09$ ), weight loss ( $p=.05$ ), grade ( $p=.03$ ) and T-stage ( $p=.008$ ) remained in the final model which significantly predicted PFS ( $p=.006$ ) while VEGF ( $p=.2$ ), CAIX ( $p=.7$ ) and OPN ( $p=.2$ ) were not significant.

When T-stage was replaced by GTV in the same baseline model, the final model ( $p=.003$ ) consisted of VEGF ( $rr=.4$ , 95%-CI [.2-.8] for plasma levels below the median,  $p=.009$ ), gender ( $rr=.4$ , 95%-CI [.2-1.1] for female patients,  $p=.05$ ) and GTV ( $rr=3.5$ , 95%-CI [1.7-7.1] for GTV above the median,  $p=.001$ ). OPN and CAIX remained insignificant ( $p=.3$  and  $.6$ ).

Since only the triple marker combination OPN-VEGF-CAIX and the double marker combination OPN-CAIX but not OPN-VEGF and VEGF-CAIX significantly impacted OS (trend for PFS) in the univariate analysis (4.5.4), only the combination OPN-CAIX and the triple combination have been evaluated in multivariate analysis for OS and PFS using the same prognostic model described above (containing anemia, FeV1, age, gender, T-stage, weight loss, tumor grade and N-stage).



**Table 12.** Multivariate Cox regression model for overall survival in curative-intent NSCLC M0 patients (n=61)

Variable	Compared groups	Subject group <sup>1</sup>	Hazard ratio <sup>2</sup>	95%-CI <sup>3</sup>	p
<b>anemia</b>	<i>yes vs. no</i>	yes	2	.9-4.3	.09
<b>age</b>	<i>above vs. below median</i>	above median	1.9	.9-3.9	.08
<b>Grade</b>	<i>G1-2 vs. G3-4</i>	G1-2	.05	.007-.3	.002
<b>T-stage</b>	<i>T1-2 vs. T3-4</i>	T3-4	3.7	1.1-14.4	<.0001
<b>VEGF</b>	<i>above vs. below median</i>	below median	.4	.2-.9	.04
<b>OPN t0</b>	<i>above vs. below median</i>	below median	.07	.5-.2	.02
<b>gender</b>	<i>male vs. female</i>	male	2.5	.9-7.4	.08
<b>weight loss</b>	<i>yes vs. no</i>	yes	4.8	01.08.2013	.002

<sup>1</sup> discriminated or favored subgroup <sup>2</sup> reflected in increased (>1) or reduced (<1) risk of death

<sup>3</sup> confidence interval

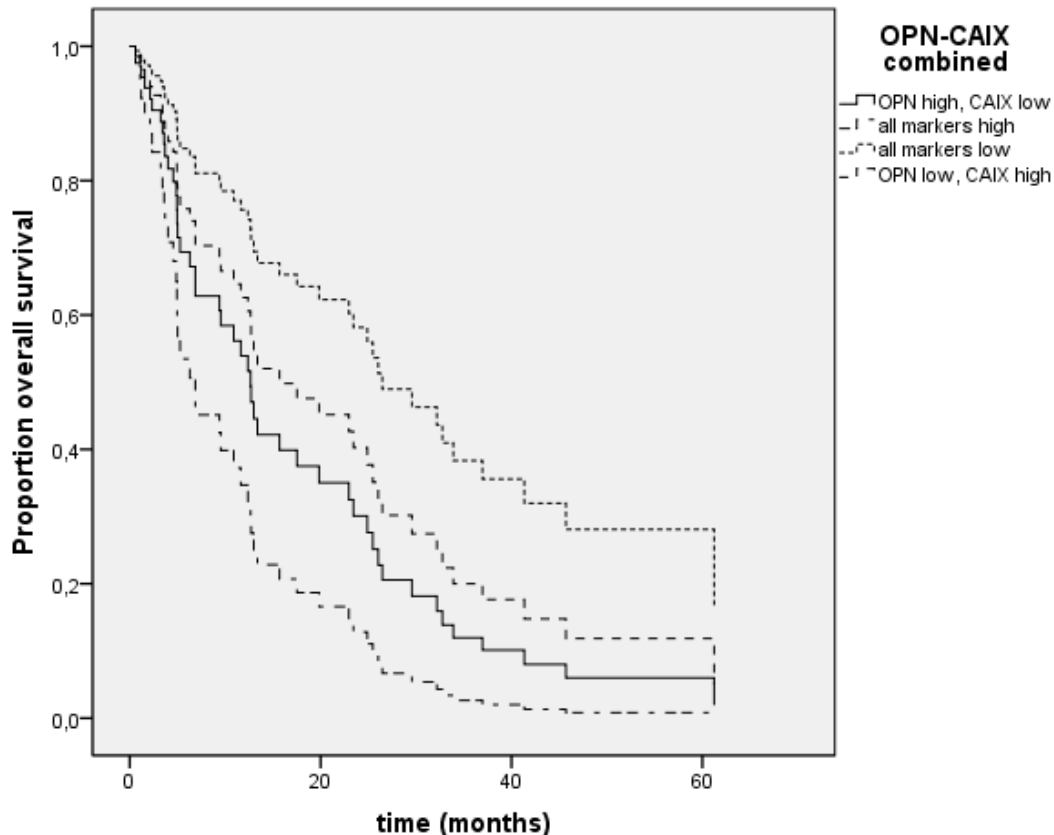
After a stepwise backward logistic regression, the final model which significantly predicted OS (p<.0001) consisted of anemia (p=.1), T-stage (p=.001) and OPN-CAIX (p=.002) which were all independent predictors for OS. When T-stage was replaced by GTV in the same model, the final model (p<.0001) contained anemia (p=.11), OPN-CAIX (p=.03) and GTV (p=.001). Replacing N-stage (i.e. N0, N1, N2, N3) by nodal status (N0 vs. N+) resulted in a change in the final model (p<.0001), now consisting of anemia (p=.08), OPN-CAIX (p=.03), GTV (p<.0001) and nodal status (p=.08), **table 13, figure 7**.

**Table 13.** Multivariate Cox regression model for overall survival in curative-intent NSCLC M0 patients (n=61)

Variable	Compared groups	Subject group <sup>1</sup>	Hazard ratio <sup>2</sup>	95%-CI <sup>3</sup>	p
<b>anemia</b>	<i>yes vs. no</i>	yes	1.9	.9-4.9	.08
<b>GTV<sup>4</sup></b>	<i>above vs. below median</i>	above median	3.8	1.8-7.9	<.0001
<b>nodal status</b>	<i>N0 vs. N+</i>	N0	.4	.2-1.1	.08
<b>OPN t0-CAIX</b>	<i>OPN-CAIX low vs. OPN-CAIX high vs. OPN high/CAIX low vs. OPN low/CAIX high</i>	OPN-CAIX high	2.1	1.2-4.9	.03

<sup>1</sup> discriminated or favored subgroup <sup>2</sup> reflected in increased (>1) or reduced (<1) risk of death

<sup>3</sup> confidence interval <sup>4</sup> gross tumor volume



**Figure 7 Association of combined plasma marker levels OPN and CAIX with OS in n=61 curative-intent NSCLC M0 patients in multivariate Cox regression analysis.**  
 Absolute pre-therapeutic plasma levels of the double biomarker combination OPN and CAIX (high refers to plasma levels above the median, low refers to plasma levels below the median).

I then evaluated the prognostic impact of the triple biomarker combination OPN-VEGF-CAIX in the same multivariate model for OS.

After a stepwise backward logistic regression, the final model ( $p=.001$ ) contained T-stage ( $p=.002$ ), OPN-VEGF-CAIX ( $p=.005$ ) and N-stage ( $p=.08$ ).

Compared to patients with low plasma levels of all three markers, those with high levels of OPN-VEGF-CAIX had a significantly elevated risk to die ( $rr=9.1$ , 95%-CI [1.1-19.3]) as had patients with higher T-stage ( $rr=3.3$ , 95%-CI [1.1-15.2] for T2;  $rr=3.9$ , 95%-CI [1.3-15.7] for T3-4). When T-stage was replaced by GTV in the same baseline model, the final model which significantly predicted PFS ( $p<.0001$ ) then contained N-stage ( $p=.001$ ,  $rr=.1$ , 95%-CI [.03-.39] for patients with N0 compared to N+), GTV ( $p<.0001$ ,  $r=6.3$ , 95%-CI [2.6-15.3] for

patients with GTV higher than the median) and OPN-VEGF-CAIX ( $p=.006$ ,  $rr=8.8$ , 95%-CI [1.7-44.9] for patients with high plasma levels of all three markers).

For PFS, also the double and triple combination OPN-CAIX and OPN-VEGF-CAIX were evaluated in a multivariate analysis.

If OPN-CAIX was integrated in the baseline model including age, gender, FeV1, weight loss, T-stage, N-stage, grade and anemia, the final model ( $p=.02$ ) consisted of the independent prognostic factors T-stage ( $p=.04$ ) and OPN-CAIX ( $p=.03$ ).

When T-stage was replaced by the GTV, the final model ( $p=.007$ ) included GTV only ( $rr=2.2$ , 95%-CI [1.2-4.1],  $p=.009$ ) while OPN-CAIX remained insignificant ( $p=.11$ ).

When the triple plasma marker combination OPN-VEGF-CAIX was assessed using the same baseline model, the final model ( $p=.06$ ) contained T-stage ( $p=.05$ ) and OPN-VEGF-CAIX ( $p=.06$ ). When T-stage was replaced by GTV in the same baseline model, the final model which significantly predicted PFS ( $p=.01$ ) consisted of gender ( $p=.04$ ), OPN-VEGF-CAIX ( $p=.006$ ) and GTV ( $p=.001$ ). In this model, female patients had a lower risk to die ( $rr=.4$ , 95%-CI [.2-.9]) while patients with a GTV above the median had increased risk of death ( $rr=3.7$ , 95%-CI [1.7-8.2]). Patients whose OPN-VEGF-CAIX were lower than the median had a reduced risk of death by a factor .15 (95%-CI [.04-.58]).

## **5. Discussion**

In the following section, the results of this work are discussed and interpreted against the background of the current literature and the limitations of this work are clarified.

### **5.1 Influence of radiotherapy on the OPN plasma level course over time**

This is the first work to evaluate the serial detection of OPN plasma levels before, during and after radical radiotherapy for lung cancer [290,291].

I found that OPN plasma levels remained mostly constant during radiotherapy in both curative-intent (M0) NSCLC patients (from 761 ng/ml, t0 to 716 ng/ml, t2) and palliative-intent (M1) NSCLC patients (from 1050 ng/ml, t0 to 1087 ng/ml, t1).

In the entire patient collective, OPN plasma levels slightly decreased during treatment whereas a considerable decline in OPN plasma levels was noted after radiotherapy (median -113 ng/ml). However, in both the entire patient collective and in subgroups the aforementioned overall OPN plasma level changes remained insignificant, which is consistent with the findings of Snitcovsky et al. who reported pre- and post-treatment OPN plasma levels in patients with head-and-neck cancer undergoing radiochemotherapy not to

be significantly different [238]. Nevertheless, my results could indicate that in non-metastasized patients, OPN plasma levels decrease during radiotherapy because the primary tumor, as the main source for (increased) OPN, shrinks in response to radiation while in metastasized patients, the failure to decrease of OPN levels may be related to their metastatic tumor load not being affected by radiation treatment [292,293]. This hypothesis is substantiated by my finding that OPN plasma levels not only further decreased after the end of radiotherapy but also that the most prominent OPN plasma level decrease could be observed after radiotherapy in NSCLC M0 patients (from 716 ng/ml, t1 to 633 ng/ml, t2). This is in accordance with the results of Blasberg et al. who reported a significant reduction in OPN plasma levels after resection of early stage NSCLC [256]. In contrast to the work of Blasberg however, in my study, patients were diagnosed with advanced-stage NSCLC and treatment was radiotherapy. Assuming that the malignant tumor is the primary source of increased OPN plasma concentration, it is conceivable that an early and significant decrease in OPN plasma levels may be observed after surgical removal of the tumor whereas with radiotherapy, tumoricidal effects are not as instant since tumor shrinkage occurs over the whole treatment course and tumor regression continues after the end of radiotherapy. This is supported by my finding that most prominent OPN level changes were noted after radiotherapy and stands in line with the results of Blasberg et al. who also observed the most obvious plasma level changes when OPN was evaluated after treatment [256].

## **5.2 Baseline biomarker plasma levels and their interrelation**

Baseline OPN, VEGF and CAIX plasma levels in this study were 830 ng/ml, 90 pg/ml and 95 pg/ml (entire patient collective). Comparison with marker plasma levels published elsewhere is difficult due to the plasma level dependency on the ELISA system used [264]. The biomarkers investigated in this study and OPN in particular, have been shown to be expressed in numerous human tissues where they are involved in various physiological and pathological processes including infections and sepsis [294,295], lung disease [295,296], vascular disease, inflammation, autoimmune [297] and cardiovascular diseases where OPN is crucially involved in atherosclerotic plaque formation [200-202,298]. Evidently, OPN has many sources and can also be elevated in benign disease as well which is why this protein is considered a multi-modal mediator [296,298] and despite its crucial role in cancer [189,299] cannot be regarded as a cancer-specific marker, limiting the informative value of crude biomarker plasma levels alone.

Nevertheless, the majority of studies demonstrated that OPN, VEGF and CAIX expression and circulating levels are considerably increased in (lung) cancer patients distinguishing them from healthy controls [133,135,208,300-304].

Despite the fact that clear cut-off values discriminating healthy individuals from cancer patients are not known so far [301], OPN expression and plasma levels have been suggested as a potential diagnostic tool in some human cancer entities [302-305].

In my work, only cancer patients were evaluated and a control group of healthy individuals for comparison of median OPN plasma levels was not used which can be regarded as a weak point. Since numerous studies demonstrated an overexpression of OPN in various human cancers, including lung cancer [206,232,300,306] and showed that OPN plasma levels are significantly elevated in cancer patients compared to healthy controls [233,307], scientific evidence is sufficient to dispense with a healthy control group in this study.

Most of the patients in this study had additional comorbidities. Therefore an effect of the latter on overall biomarker plasma levels may not be excluded. It also cannot be answered by this work whether these effects are of clinical significance or not but since most published studies show that for instance OPN plasma levels are considerably elevated in cancer patients, the impact of benign comorbidities on overall OPN plasma levels in my patient collective might be rather of fluctuating nature and supposedly negligible small.

In my study, I found a positive correlation between OPN plasma levels measured at different time points and baseline OPN, VEGF and CAIX were positively interrelated which strengthens the rationale for a co-detection of these biomarkers [308].

Phuoc et al. reported an inverse correlation between VEGF and CAIX in renal cell cancer patients [308]. Notably, I determined an inverse correlation between hemoglobin levels and both OPN ( $p=.08$ ) and VEGF ( $p=.04$ ) which could be indicative of a poor oxygenation status of patients [129,251,309,310]. In the context of a rather poorly oxygenated patient with a tumor featuring extensive hypoxia and neo-angiogenesis, reflected by increased overall plasma concentrations of OPN, VEGF and CAIX (HIF-1 $\alpha$  mediated), my finding that OPN and VEGF were linearly correlated in curative-intent NSCLC M0 patients could be indicative of the cooperative role of these proteins in tumor growth [51,311-314]

### **5.3 Pre-therapeutic plasma biomarker levels as indicators of advanced disease and biologically aggressive tumor behavior**

In this work, baseline (i.e. pre-treatment) plasma levels of OPN, VEGF and CAIX were evaluated for their association with clinicopathological patient and tumor characteristics.

OPN plasma levels were higher in male ( $p=.03$ ) and in older patients ( $p=.03$ , entire patient collective and  $p=.09$ , NSCLC M0 cohort) which is in contrast to prior studies reporting no significant correlation between OPN plasma levels and age in cancer patients [239,240,256]. One study however, reported a significant age-dependent increase in OPN expression and serum levels which negatively impacted muscle regeneration in the context of inflammation [315].

In my patient collective, median OPN plasma levels were significantly higher in patients with squamous-cell carcinoma compared to adenocarcinoma ( $p=.01$ ) and a trend for higher OPN plasma levels in NSCLC was noted in comparison to SCLC histology ( $p=.07$ ). A differential OPN expression in lung cancer was published before [232]: Zhang et al. reported a predominant expression of OPN in squamous-cell carcinoma (69%) and a lower expression in adenocarcinoma (21%); the lowest OPN expression rate was found in SCLC (11%) which is supportive of my results.

High OPN plasma levels were associated with low hemoglobin levels ( $p=.08$ ), poor lung function ( $p=.002$  and  $.01$ ), weight loss ( $p=.001$ ), high tumor grade ( $p=.08$ ), large tumor volume (GTV,  $p=.01$  and  $.03$ ), higher UICC-stage ( $p=.001$  and  $.003$ ) and T-stage ( $p=.02$ ). VEGF plasma levels were also related to GTV ( $p=.002$  and  $<.0001$ ), T-stage ( $p=.07$ ) and UICC-stage ( $p=.08$ ) and elevated baseline CAIX plasma levels were found in patients with higher N-stage ( $p=.04$ ,  $.06$  and  $.004$ ), grade ( $p=.09$  and  $.06$ ), T-stage ( $p=.04$ ) and SCLC histology ( $p=.03$ ) which is in accordance with the current literature reporting a significant association of increased VEGF with advanced tumor disease [301,316].

Interestingly, Fuhrmann-Benzakein et al. reported baseline VEGF plasma levels to be significantly related to tumor metastasis [316] which is contrasting my results where baseline VEGF plasma levels were not significantly different in M0- and M1-stage patients. The aforementioned findings could in summa be indicative of a rapidly progressing, highly invasive tumor [311] with an aggressive and biologically unfavorable phenotype [317-320] which exhibits extensive hypoxia and angiogenesis and is accompanied by a significant paraneoplastic systemic inflammatory reaction which in turn drives (muscle) wasting and cachexia [321]. These observations are in accordance with current literature, confirming the association of elevated OPN plasma levels with characteristics of advanced disease in (lung) cancer patients [206,236,303,307,318,319,322,323].

In my work, it is demonstrated that median OPN plasma levels before ( $t_0$ ), at the end ( $t_1$ ) and four weeks after completion of radiotherapy ( $t_2$ ) are significantly higher in metastasized (M1-stage) NSCLC patients compared to those with M0-stage ( $p<.0001$ ).

These findings are concordant with the current literature, reporting significantly increased (plasma/tumor) OPN in metastatic patients which is of prognostic relevance in many human cancers including lung cancer [325-328], underlining the association of OPN with the metastatic and invasive cancer phenotype [40,222,224,292,303,307,328,329].

#### **5.4 The predictive power of the biomarkers OPN, VEGF and CAIX in the radiotherapy of NSCLC**

Apart from the prognostic quality of OPN, VEGF and CAIX plasma levels, their predictive power has been evaluated in this work.

Previously, Poon et al. investigated a substantial number of studies on the prognostic and predictive effects of circulating VEGF in cancer patients. He found that apart from its association with advanced disease stage, which is in accordance with my own results (4.2 and 5.3), VEGF might be useful in predicting tumor response after cancer therapy [330].

In the curative-intent (NSCLC M0) patient collective in my study, absolute biomarker plasma levels were not associated with tumor control and therapy response after radiotherapy but OPN plasma levels at the end of radiotherapy (t1) were significantly lower in responding patients who achieved complete or partial remission after radiotherapy in the entire patient collective ( $p=.002$ ): Among non-responders, significantly more patients had elevated OPN t1 plasma levels when compared to responding patients ( $p=.01$ ).

No significant relation between absolute CAIX, VEGF and OPN plasma levels and TTP or FFLR in the entire or curative-intent patient cohort was found. However, NSCLC-M0 patients with high OPN plasma levels at the end of radiotherapy (t1) had a significantly shorter TTP compared to patients with low OPN t1 plasma levels ( $p=.04$ ). This finding agrees with current literature, suggesting a negative influence of elevated baseline OPN on tumor recurrence, freedom-from-relapse and event-free survival in cancer patients [209,323,331].

Interestingly, not post-treatment OPN plasma level changes (t1 to t2) but intra-therapeutic plasma level changes were significantly related to therapy response in the entire patient collective ( $p=.04$ ). Decreasing OPN plasma levels were noted in responding patients as opposed to increasing plasma levels in non-responders. Analog findings could be obtained in curative-intent NSCLC M0 patients, however they remained a statistical trend ( $p=.05$ ). Yet, cross-table analysis revealed a significantly higher number of patients with increasing OPN plasma levels during radiotherapy (t0 to t1) in the non-responders group ( $p=.03$ ).

In the entire patient cohort, no association between relative OPN plasma level changes during or after radiotherapy and TTP was observed but increasing OPN plasma levels from the end of therapy (t1) to four weeks after radiotherapy (t2) significantly predicted shorter time to local progression (FFLP,  $p=.02$  and  $.004$ ) and were associated with an increased risk of relapse after radiotherapy ( $rr=2.4$ ,  $p=.03$ ;  $rr=2.6$ ,  $p=.01$ ).

In curative-intent NSCLC M0 patients, TTP was lower in patients with increasing OPN plasma levels during but not after radiotherapy ( $p=.01$ ). FFLR was almost double in patients with decreasing OPN plasma levels after radiotherapy compared to those with increasing OPN t1 to t2 plasma levels ( $p=.01$  and  $p=.002$ ). The latter patients also had a significantly elevated risk of local relapse ( $rr=3$ ,  $p=.03$  and  $rr=3.7$ ,  $p=.007$ ).

To the author's knowledge, this is the first study to suggest a potential predictive quality of OPN plasma levels and their changes after radiotherapy of NSCLC. My findings amend previously published data on the association of increased absolute, mostly pre-therapeutic OPN levels with reduced disease-/relapse-free survival and cancer progression [323].

In the surgical therapy of NSCLC, Takenaka et al. reported preoperative OPN plasma levels to significantly predict prognosis [332] and Blasberg et al. suggested increasing OPN plasma levels after resection of early-stage NSCLC as indicators of tumor recurrence [256]. In head-and-neck cancer, both pre- and post-treatment OPN plasma levels significantly predicted tumor response after chemoradiotherapy [237].

Hui et al. not only reported a significant association of baseline OPN plasma levels with tumor control after radiotherapy of nasopharyngeal carcinoma but also observed a more than doubled complete response rate in patients with low baseline OPN plasma levels compared to patients with high pre-treatment plasma OPN (88% vs. 40%,  $p=.009$ ) [245].

However in my work, both the small patient numbers of compared subgroups and the insufficient follow-up data on tumor control which was available in 73% of curative-intent patients, needs to be considered when interpreting the results presented here.

Therapy response evaluation in my work was restricted to a single time point 4-6 weeks after radiotherapy following the rationale that radiation-induced inflammation and edema in tumor-surrounding tissue disappears and tumor regression continues after the end of radiotherapy. Evaluation of tumor control at more than one time point after radiotherapy however, is critical since patients will have received widely differing treatments after the end of radiotherapy. Nevertheless, the predictive potential of absolute OPN plasma levels and their changes remains to be investigated by larger studies incorporating more measurement time points in order to validate the hypotheses generated by this study.



## **5.5 The prognostic value of serial plasma OPN detection in the curative-intent radiotherapy of NSCLC**

This is the first study to evaluate the prognostic impact of sequential detection of OPN plasma levels before, at the end of and four weeks after radiotherapy of lung cancer.

In the chemotherapy of NSCLC, a significant association of baseline OPN plasma levels and both OS and PFS has been reported by several studies [239,240]. Interestingly, Mack et al. observed no association between baseline VEGF plasma levels and outcome in NSCLC patients treated with chemotherapy [239] despite the clinical significance of the cooperative role of OPN and VEGF in lung cancer biology [311,312].

Also in other tumor entities such as head-and-neck cancer or malignant melanoma, elevated pre-treatment OPN plasma levels were linked to inferior prognosis, underlining the prognostic potential of serial detection of this biomarker [209,238,252,333].

Here, I found that in the entire patient collective but not in the curative-intent patient cohort, absolute OPN plasma levels before (t0), at the end of (t1) and four weeks after radiotherapy (t2) were significantly related to survival (OPN t0, t1 and t2:  $p=.04$ ,  $.004$  and  $.02$ ) with elevated plasma levels being associated with an increased risk of death (t0:  $rr=1.6$ ,  $p=.04$ ; t1:  $rr=1.9$ ,  $p=.005$  and t2:  $rr=1.8$ ,  $p=.03$ ). In the curative-intent NSCLC (M0) cohort, a trend for lower OS in patients with high post-treatment OPN plasma levels (t2) was noted ( $p=.08$ ). In both the entire and the curative-intent NSCLC-M0 patient cohort, absolute baseline VEGF and CAIX plasma levels were not related to survival.

Similar findings could be obtained for PFS: Both end-of-treatment (t1) OPN plasma levels and those measured four weeks after radiotherapy (t2) were significantly associated with tumor progression ( $p=.02$  and  $.04$ ) in the entire patient cohort while baseline (t0) plasma levels of OPN, VEGF and CAIX did not show a relationship with PFS as it was in the curative-intent NSCLC-M0 patient cohort. Unlike my own findings, current literature suggests a negative prognostic impact of elevated tumor expression and plasma levels of VEGF and CAIX in (lung) cancer [137,138,169,303,308].

In both the entire and curative-intent NSCLC (M0) patient cohort in my study, OPN plasma level changes during radiotherapy (t0 to t1) were not related to OS or PFS. However, a trend for reduced OS in patients with increasing post-treatment OPN plasma levels (t1 to t2) was noted in the entire ( $p=.07$ ) and the curative-intent cohort ( $p=.07$ ). A significant association between OPN plasma levels changes after radiotherapy (t1 to t2) and PFS was determined in both the entire ( $p=.03$ ) and the curative-intent NSCLC (M0) cohort ( $p=.009$ ). Patients with increasing OPN plasma levels after treatment had a reduced PFS

and an increased risk for tumor progression compared to patients with stable or falling OPN t1 to t2 plasma levels (rr=1.5, p=.05, entire patient collective; rr=1.9, p=.02).

Since in my study, OS, PFS and MFS were best in patients with decreasing OPN plasma levels after radiotherapy, intermediate in patients with stable and worst in patients with increasing post-treatment OPN plasma levels, it can be assumed that while decreasing OPN plasma levels after radiotherapy indicate a major reduction in tumor volume (good response to radiotherapy), stable post-treatment OPN plasma levels might reflect residual or a less radiation-responsive tumor. Increasing OPN plasma levels after radiotherapy might be related to a largely radio-resistant, progressive tumor and / or growth of initially present but occult micrometastasis [334], translating into poor OS, PFS and MFS.

Since OPN plasma levels have been shown to be associated with parameters of advanced disease as well as tumor burden in cancer patients and since patients with higher T-stage (p=.003 and .007), larger tumor volume (GTV) and lymphonodal spread (p=.01, .04 and .08) in my study had significantly elevated OPN plasma levels in both the entire and the curative NSCLC M0 patient cohort, it needs to be discussed to what extent OPN plasma levels are affected by tumor volume and its changes during or after radiotherapy.

Assumed that OPN merely is a surrogate of tumor burden, relative OPN plasma level changes would then rather reflect tumor volume changes during or after radiotherapy.

In this case, decreasing OPN plasma levels after treatment might simply be an expression of tumor shrinkage, translating into a superior prognosis [335,336].

Therefore, a potential “tumor volume effect” on OPN plasma levels should be investigated in future studies in order to determine the correlation between OPN plasma level- and tumor volume changes during radiotherapy. Assessment of tumor volume (i.e. GTV) and its changes by integration of serial CT- or preferably PET imaging at the time of OPN readings during and after radiotherapy could prove to be a suitable approach.

Nevertheless, multivariate analyses in my study demonstrate that baseline OPN plasma levels (t0, p=.02), end-of-treatment OPN (t1, p=.01) and relative OPN plasma level changes after radiotherapy (t1t2, p<.0001) remained significant predictors for OS independent from other prognostic factors such as GTV (p<.0001), T-stage (p<.0001) or N-stage (p=.004, 4.5.1 and 4.5.2) which, in part, reflect tumor volume. Accordingly, post-treatment OPN (t2, p=.02) and relative OPN plasma level changes after radiotherapy (t1t2, p=.007 and p=.004) were predictive for PFS beyond T-stage (p=.003 and .006) or GTV (p=.003), 4.5.2 and 4.5.1.

## 5.6 The prognostic role of serial OPN detection in tumor metastasis

In the entire patient collective, MFS was considerably shorter in patients with elevated OPN plasma levels before (t0,  $p=.04$ ), at the end of treatment (t1,  $p=.02$ ) and four weeks after radiotherapy (t2,  $p=.07$ ). The risk to die from metastasis during follow-up was also significantly increased in patients with high pre-treatment ( $rr=2.1$ ,  $p=.05$ ) and end-of-treatment OPN plasma levels ( $rr=2.3$ ,  $p=.02$ ). In the curative-intent NSCLC patient cohort, absolute plasma levels of OPN, VEGF and CAIX were not associated with MFS.

The current literature mostly evaluated absolute pre-treatment OPN plasma levels.

Here, I report that increasing OPN plasma levels after radiotherapy (t1 to t2) translate into a reduced MFS compared to patients with stable or decreasing post-treatment OPN plasma levels (entire patient cohort,  $p=.04$ ). Similar findings could be obtained for curative-intent NSCLC (M0) patients: Patients with increasing post-treatment OPN plasma levels had a shorter MFS and an increased risk of death ( $rr=3.5$ ,  $p=.02$ ) than patients with decreasing (or stable) OPN plasma levels after therapy ( $p=.04$  and  $p=.05$ ).

In summa, my findings that not only pre-treatment OPN was significantly higher in metastasized patients (5.3) but also that OPN levels after radiotherapy and particularly their increase was significantly associated with reduced MFS and the development of metastasis during follow-up, strengthens and amends current literature where OPN plasma levels have been shown to be associated with tumor metastasis in many human cancers [40,292,327,328,337]. In patients with hepatocellular carcinoma for instance, OPN overexpression was associated with early disease recurrence, occurrence of metastasis and poor survival [229]. Interestingly, the role of metastasis-promoting OPN in the context of tumor hypoxia has been demonstrated for many human cancers [338,339].

My results underline the crucial role of OPN in cancer progression and dissemination where an induction of this protein has been associated with the metastatic and invasive (lung) cancer phenotype [269,292,325,340-342]. Against this background, it needs to be discussed whether OPN plasma levels merely reflect metastatic tumor burden which is supported by the fact that in my study, elevated (pre-treatment) OPN plasma levels were significantly increased in M1-stage patients and that M0- and M1-stage patients did not significantly differ in tumor size (T stage) or nodal involvement (N stage). The prognostic effects of OPN might then rather be surrogative of metastatic tumor load [293,325]. However, I demonstrated that OPN plasma levels and particularly their changes were also of prognostic significance in non-metastasized (M0) curative-intent NSCLC patients (4.3, 4.5 and 5.5). In this patient collective, increasing OPN plasma levels after radiotherapy

significantly correlated with poor prognosis, that is MFS (besides OS and PFS). Since the majority of (lung) cancer patients die as a result of distant metastasis, monitoring of OPN plasma levels after definitive radiotherapy of NSCLC may help to identify patients with a high risk for the development of metastasis and death [326,335], prompting more rigorous systemic therapy after radiotherapy.

### **5.7 The use of a co-detection of the potential hypoxia-related proteins OPN, CAIX and VEGF for a plasma hypoxia score in the curative-intended radiotherapy of NSCLC**

With respect to the intricacy of tumor hypoxia and the fact that none of the studied hypoxia markers can be currently considered “gold standard” in the detection of tumor hypoxia or a direct surrogate of the latter [69,160], a combination of hypoxia-related proteins could integrate different aspects of tumor hypoxia and hypothetically prove to be more robust in predicting prognosis than a single marker [65]. The association of tumor hypoxia with OPN and CAIX expression [161] and the cooperative role of OPN and VEGF in lung cancer [311,343] further support the hypothesis that OPN (together with other hypoxia-related proteins [344]), might be a potential predictor of clinically significant tumor hypoxia [249].

In the literature, there is solid evidence for a relation of OPN, VEGF and CAIX with prognosis in (lung) cancer patients undergoing treatment [130,137,138,169,208,301,323, 345-347]. Yet, most of these studies were single marker based and investigated the prognostic value of baseline circulating biomarkers in surgery or chemotherapy of cancer [140,238,246]. Thus, equivalent data for the radiotherapy of NSCLC, particularly the prognostic effect of a co-detection of the aforementioned biomarkers, is still missing [348].

In my study, unlike OPN, baseline VEGF and CAIX plasma levels were not related to OS, PFS or MFS in univariate analysis (entire and curative-intent NSCLC cohort).

However, when I evaluated baseline VEGF and CAIX plasma levels in multivariate analysis, I found that VEGF (and OPN) but not CAIX significantly predicted OS and PFS ( $p=.004$  and  $.009$ ) independent from GTV ( $p<.0001$  and  $.001$ ) and other prognostic factors (4.5.3). One explanation for the lack of a significant association of VEGF and CAIX with prognosis in my study could be the limited patient number of compared subgroups. This is underlined by my finding that VEGF and CAIX trended to be related to prognosis and suggests that significant results could be obtained in studies with higher patient numbers.

The rationale for a co-detection of baseline plasma levels of OPN, VEGF and CAIX is based on their cooperative role in cancer progression such as tumor neo-vascularization

[256,349,311] which is of clinical importance [119] on the one hand and on the correlation of the biomarkers reported in this study (4.1) on the other hand. Additional support for a combination of the aforementioned biomarkers comes from the fact that each single marker has been related to prognosis in cancer patients in the literature previously.

I assumed that co-detection of the aforementioned biomarkers could provide additional prognostic information, augmenting the prognostic value of a single biomarker in the curative-intent radiotherapy of NSCLC. My results show that when plasma levels of OPN and CAIX were combined, the double marker combination had an increased prognostic effect with elevated plasma levels of both biomarkers being associated with a significantly increased risk of death (4.5.4). The prognostic effect was more pronounced when all three markers were combined, yielding a median OS of 41 months in patients with low compared to 5 months in patients with high plasma levels of all three markers (4.5.4).

In the multivariate analysis, combined plasma levels of OPN-CAIX and also the triple biomarker combination OPN-VEGF-CAIX significantly predicted OS and PFS independent from known prognostic factors such as T-stage, N-stage or GTV (4.5.5).

These findings support the hypothesis that the prognostic effect of a co-detection of the studied biomarkers could be superior and more robust than single biomarker evaluation which is strengthened by the literature [350]. Phuoc et al. for instance reported a superior prognostic impact of the co-expression of VEGF and CAIX in renal cell carcinoma [308].

The combined evaluation of OPN, VEGF and CAIX is further supported by the clinically relevant relation between VEGF and CAIX as downstream effectors of HIF 1 $\alpha$  in the cellular response to hypoxia on the one hand [120,351] and by the cooperative role of OPN and VEGF in tumor growth and neo-angiogenesis [51,312-314] on the other hand. Interestingly, co-expression of OPN and VEGF has been suggested as a surrogate marker of tumor recovery after radiotherapy [313,314] and also for VEGF and CAIX, co-expression has been linked to response after radiotherapy of NSCLC.

These observations are supported by my findings that both OPN and VEGF were positively correlated and that OPN plasma level increases after radiotherapy were related to reduced OS and PFS [311] which could indicate remaining or recurrent disease after radiotherapy with the underlying cause being hypoxic radiation resistance of the tumor.

Thus, my data in principle justifies further combined evaluation of the hypoxia-related proteins OPN, VEGF and CAIX, for instance as part of an individual prognostic hypoxia patient profile, i.e. "plasma hypoxia score" [344,352], helping to identify patients with significant hypoxic tumor burden before the start of radiotherapy.

Incorporating other methods of detection of clinically significant tumor hypoxia such as exogenous hypoxia markers [353] or hypoxia-specific imaging [354-356] could enhance the validity of this approach by integrating different aspects of hypoxia such as dynamic changes in tumor oxygenation and re-oxygenation, monitored for instance by sequential F-MISO-PET readings [357,358]. Ultimately, this could provide useful information for selecting patients with largely hypoxic tumors for anti-hypoxic treatment approaches [359] which may be available in future [184,270,360].

Numerous studies for instance reported first promising results in targeting OPN and other hypoxia-related proteins, thereby opening up a therapeutic perspective besides the potential prognostic and predictive role of these biomarkers [40,269,361]. Kou et al. for instance followed an immunologic approach by developing a bi-specific antibody targeting both OPN and VEGF which resulted in a significant reduction of tumor volume, microvessel density and metastatic lesions in hepatocellular carcinoma patients [274].

### **5.8 Methodological limitations of this work**

When interpreting the results of this work, all limitations inherent to such prospective study design have to be considered. The overall patient number (n=97) and particularly the number of patients in the respective subgroups was small which underlines the exploratory character of this work and limits the conclusions made when interpreting my results.

The basis of this study was a heterogeneous patient collective consisting of non-metastasized (M0) patients treated with curative-, metastasized (M1) patients treated with palliative intent (NSCLC and SCLC). This implies that both histology and treatment concepts (radiation dose, anti-cancer agents) were different among patients and additionally, some patients (even though constituting only a minor part of the entire patient collective) previously received induction chemotherapy. To reduce this bias and to ensure adequate patient collective homogeneity for statistical analysis, patient subgroups have been formed according to histology and M-status, yielding three subgroups (NSCLC-M0, curative-intent cohort; NSCLC-M1, palliative-intent cohort and SCLC cohort) which have been evaluated separately. Increasing patient cohort homogeneity however, comes at the cost of smaller patient numbers in subgroups.

The impact of biomarker plasma levels on the clinical endpoints OS, PFS, FFLR, tumor control, MFS and TTP has been evaluated in univariate and multivariate analysis which have been restricted to the entire patient collective (to ensure endpoint evaluation in a patient collective with adequate size) and the curative-intent NSCLC M0 patient cohort.

The latter patient cohort constitutes the main subject group of survival and clinical outcome analyses in this study since NSCLC M0-stage patients are of particular interest in radiation oncology for their curative treatment chance. Thus, both prognostic and predictive biomarkers are of considerable value in these patients.

Due to the limited value of prognostic biomarkers in palliative-intent patients (poor prognosis and survival time, absence of indication for curative-intent treatment), the latter have been excluded from endpoint analyses. Also the SCLC cohort has been excluded from analysis of the association of baseline protein levels with clinical patient characteristics and survival analysis for the small patient number in this group (n=16).

While follow-up time (median 41 months in surviving patients) and integrity of survival data in this study was solid to allow adequate conclusions on the impact of biomarker plasma levels on patient survival, clinical data on therapy response, tumor progression and remission was rather incomplete. Since the patient number with available follow-up data on tumor control was small, particularly the evaluation of the endpoints TTP and FFLR is critical. In addition, re-staging and therapy response evaluation after radiotherapy was carried out in a decentralized manner. Hospitals taking over patients for follow-up care after radiotherapy were responsible for imaging studies and their assessment (without central review). This may have compromised standardization of tumor response evaluation. The primary endpoint cancer(disease)-specific survival was not analyzed in this work because in most patients, death was clearly cancer-related so that overall and cancer-specific survival can be regarded as almost identical in the studied patient collective.

The statistical concern may be raised that the number of statistical tests relative to the number of events might imply a risk of mass significance. As part of the present prospective pilot study, I evaluated a number of clinical factors and biomarkers in an exploratory session in univariate analysis. In the multivariate analysis, the number of factors entered into the model appears adequate with regard to the number of events. However, future studies will require stricter biometric study planning.

In order to evaluate the prognostic impact of relative OPN plasma level changes over time, patients have been grouped into increasing vs. decreasing (vs. stable) intra- or post-therapeutic OPN plasma levels. In future studies, patient subgroups with falling or rising OPN plasma levels during or after radiotherapy could also be further classified by OPN velocity [362]. In this work, it is demonstrated that OPN plasma level changes over time, particularly in the post-radiotherapy time window, possess prognostic and maybe predictive quality. At this point, it is difficult to envision how to individualize radio-oncologic

therapies according to post-radiotherapy biomarker plasma level changes. However, not only OPN plasma level changes during and after radiotherapy but also absolute pre-treatment plasma levels were evaluated. While (high) baseline OPN levels before radiotherapy (indicating a hypoxic, aggressive and radioresistant cancer phenotype) could influence radiotherapy individualization by means such as hypoxic modification during radiotherapy, which might be available in future, post-treatment OPN level changes (identifying patients with high risk for death and relapse after radiotherapy) could help in the decision-making process for ongoing (intensified) cancer treatment after radiotherapy. As far as biomarker plasma samples are concerned, the number of both baseline samples which were acquired before the start of radiotherapy and of those obtained at the end of radiotherapy was sufficient whereas a total of 69 patients (71%) had OPN plasma samples four weeks after radiotherapy. The reduced number of OPN t2 plasma samples can be explained by logistic problems and loss of follow-up in some patients which limits the prognostic conclusions based on post-treatment OPN plasma levels.

Another constraining factor is the fact that after the end of radiotherapy, patients will have received widely differing therapies according to their tumor situation during follow-up. However, since the last measurement time point for OPN was 4 weeks after radiotherapy, the majority of patients probably will not yet have started with ongoing consolidation treatment, especially because treatment response evaluation by post-radiotherapy imaging (i.e. re-staging) usually is not performed earlier than 4-6 weeks after radiotherapy.

In summa, further larger, preferably multi-center prospective studies utilizing pre-hoc biometric study planning are needed to validate the results of this study which was a hypothesis-generating study. Additionally, verification of the results and corroboration of the hypotheses generated by this study in an independent data set would be desirable.

## **6. Conclusions**

My results suggest that baseline plasma levels of OPN and the other investigated biomarkers reflect tumor biology and disease extent. Here, increased plasma levels could indicate an aggressive, biologically unfavorable and invasive cancer phenotype, advanced disease stage and extensive hypoxia [46]. Consequently, detection of baseline biomarker levels before radiotherapy might help selecting patients with radioresistant tumors who need individualized and more rigorous treatment, i.e. radiation dose escalation in hypoxic tumor areas or hypoxia modification using hypoxic radiosensitizers [252].



In contrast, relative OPN plasma level changes during and especially after radiotherapy provide additional prognostic information beyond T-stage, N-stage and tumor volume (GTV). Increasing post-treatment plasma levels are associated with poor OS, PFS and MFS which could be indicative of tumor persistence or recurrence and a high risk for the development of distant disease spread (i.e. metastasis) after radiotherapy [227,325]. Thus, monitoring OPN plasma levels during and after radiotherapy could be potentially useful in the decision-making process for consolidating treatment after definitive radiotherapy of NSCLC in order to ultimately reduce both death and relapse rates [256].

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## Theses

1. OPN plasma levels do not significantly change during radiotherapy, but notably (even though not significantly) decrease after radical radiotherapy of NSCLC.
2. OPN plasma levels before, during and after radiotherapy are interrelated, OPN baseline plasma levels are positively correlated with CAIX and VEGF in NSCLC M0 patients and baseline VEGF and OPN inversely correlate with hemoglobin.
3. Baseline OPN plasma levels are associated with age, gender, poor patient oxygenation (FeV1, hemoglobin) and clinical parameters indicating advanced / aggressive tumor disease (T-stage, weight loss); OPN plasma levels at all measurement time points are significantly elevated in metastasized NSCLC patients (compared to M0-stage patients).
4. Baseline OPN, VEGF and CAIX plasma levels are related to tumor burden (i.e. metastasis, tumor volume/GTV, N-stage) and absolute OPN (but not CAIX and VEGF) plasma levels before, at the end and 4 weeks after radiotherapy predict MFS as do OPN plasma level changes after radical radiotherapy of NSCLC.
5. Baseline biomarker plasma levels are not associated with tumor control and therapy response after radiotherapy but end-of-treatment OPN plasma levels predict tumor response and time to progression in NSCLC M0 patients.
6. Decreasing OPN plasma levels during radiotherapy predict superior therapy response and time to progression, post-treatment OPN plasma level changes are related to tumor control (freedom from local relapse) in NSCLC M0 patients.
7. Absolute OPN plasma levels before, 4 weeks after radiotherapy and relative OPN plasma level changes after therapy remain independent predictors for OS after radical radiotherapy of NSCLC.
8. Baseline VEGF, CAIX plasma levels and OPN plasma level changes during radiotherapy are not associated with OS or PFS (univariate analysis).
9. OPN plasma levels at the end, 4 weeks after radiotherapy and post-treatment OPN plasma level changes predict PFS after radical radiotherapy of NSCLC.
10. The prognostic effect of a single biomarker is augmented by combining biomarkers with the triple marker combination OPN-VEGF-CAIX showing the most prominent impact on prognosis (OS / PFS) in both univariate and multivariate analysis.

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## **Statement of autonomy**

I hereby declare that I created the presented work without non-permitted help of third parties and without use of other than the herein mentioned resources. Concepts and data directly or indirectly taken from other sources are marked by stating the sources. The rules of assurance of good scientific practice have been respected (Amtsblatt der MLU Nr. 5, 02.07.09).

I further declare that I did not make use of nongratuitous help from consultation services (counselors for conferral of a doctorate or other persons) for the creation of this work with regards to content. Nobody has been given direct or indirect monetary values by me which are related to the content of the presented work.

This work in its present or a similar form has not been submitted to any other examination authority neither domestic nor abroad.

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Christian Ostheimer

## **Statement of prior conferral of a doctorate**

I hereby testify that no prior attempt of conferral of a doctorate has been made by me and that there is no current attempt of conferral of a doctorate made by me at another university.

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Christian Ostheimer

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