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A multicentre randomised phase III trial comparing pembrolizumab vs single-agent chemotherapy for advanced pre-treated malignant pleural mesothelioma: the European Thoracic Oncology Platform (ETOP 9-15) PROMISE-meso trial

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38 **Highlights**

- 39 • First RCT evaluating efficacy of an anti-PD1 agent versus chemotherapy in relapsed MPM,
40 with immunotherapy crossover allowed
- 41 • Objective response rate was significantly improved for pembrolizumab (22% vs 6%, $p=0.004$)
- 42 • No improvement for independently reviewed PFS for pembrolizumab over chemotherapy
43 (HR=1.06, 95% CI: 0.73-1.53, $p=0.76$)
- 44 • No overall survival improvement for pembrolizumab over chemotherapy (HR=1.04, 95% CI:
45 0.66-1.67, $p=0.85$)
- 46

47 **Abstract**48 *Background*

49 Malignant pleural mesothelioma (MPM) is an aggressive malignancy characterized by limited treatment options
50 and a poor prognosis. At relapse after platinum-based chemotherapy, single-agent chemotherapy is commonly
51 used and single-arm trials of immune-checkpoint inhibitors have demonstrated encouraging activity.

52

53 *Patients and methods*

54 PROMISE-meso is an open-label 1:1 randomised phase III trial investigating the efficacy of pembrolizumab
55 (200mg/Q3W) vs institutional choice single-agent chemotherapy (gemcitabine or vinorelbine) in relapsed MPM
56 patients with progression after/on previous platinum-based chemotherapy. Patients were performance status 0-1
57 and unselected for PD-L1 status. At progression, patients randomised to chemotherapy were allowed to
58 crossover to pembrolizumab. The primary endpoint was progression-free survival (PFS), assessed by blinded
59 independent central review (BICR). Secondary endpoints were overall survival (OS), investigator assessed (IA)-
60 PFS, objective response rate (ORR), and safety. Efficacy by PD-L1 status was investigated in exploratory
61 analyses.

62

63 *Results*

64 Between September 2017 and August 2018, 144 patients were randomised, (pembrolizumab: 73; chemotherapy:
65 71). At data cut-off [20/02/2019, median follow-up of 11.8 months (IQR: 9.9-14.5)], 118 BICR-PFS events were
66 observed. No difference in BICR-PFS was detected (HR=1.06, 95%CI:0.73-1.53; p=0.76), and median BICR-
67 PFS (95% CI) for pembrolizumab was 2.5(2.1-4.2), compared with 3.4(2.2-4.3) months for chemotherapy. A
68 difference in ORR for pembrolizumab was identified (22%, 95%CI:13%-33%), over chemotherapy
69 (6%,95%CI:2%-14%; p=0.004). Forty-five patients (63%) assigned to chemotherapy, received pembrolizumab
70 at progression. With follow-up to 21 August 2019 [17.5 months: 14.8-19.7)], no difference in OS was detected
71 between groups (HR=1.12,95%CI:0.74-1.69; p=0.59), even after adjusting for cross-over. Pembrolizumab safety
72 was consistent with previous observations. Exploratory efficacy analyses by PD-L1 status demonstrated no
73 improvements in ORR/PFS/OS.

74

75 *Conclusion*

76 This is the first randomised trial evaluating the efficacy of pembrolizumab in MPM patients progressing after/on
77 previous platinum-based chemotherapy. In biologically unselected patients, although associated with an
78 improved ORR, pembrolizumab improves neither PFS nor OS over single-agent chemotherapy.

79

80 **Key words**

81 Malignant pleural mesothelioma; Pembrolizumab; Immune-checkpoint inhibition; Randomized clinical trial

82

83 **Introduction**

84 Malignant pleural mesothelioma (MPM) is an aggressive malignancy caused in most cases by asbestos
85 exposure. The disease is invariably fatal, with median survival up to 16 months in most recent trials.

86 The only treatment proven to improve MPM survival to date is cisplatin-anti-folate combination first-line
87 chemotherapy^{1,2} and this benefit is modestly but significantly augmented with the addition of bevacizumab.³ At
88 relapse, no anti-cancer therapies have demonstrated a survival advantage and single-agent chemotherapy with
89 either vinorelbine or gemcitabine is commonly used in practice, supported by International Guidelines,⁴ with
90 modest activity shown in single-arm trials and institutional series reporting a progression-free survival (PFS) of
91 around 3 months.⁵

92 Immune-checkpoint inhibitors have demonstrated significant activity in other malignancies in some cases with
93 efficacy related to extent of PD-L1 tumour expression. Mesothelioma carcinogenesis is underpinned by the
94 chronic inflammatory response to asbestos fibres through multiple pathways.⁶ Moreover, PD-L1 is strongly
95 expressed on a proportion of mesotheliomas where it defines a poorer prognosis.⁷ Pembrolizumab is a
96 humanized monoclonal antibody, designed to directly block the interaction between PD-1 and its ligands. At
97 time of PROMISE-meso design, the KEYNOTE-028 MPM expansion cohort had reported an encouraging 28%
98 ORR and a median 6 month PFS in 25 PD-L1 expressing MPM patients.⁸ We designed this trial to formally
99 evaluate whether pembrolizumab improves PFS, assessed by blinded independent radiological review (BIRC),
100 compared to standard, institutional-choice single-agent chemotherapy with either gemcitabine or vinorelbine.

Journal Pre-proof

Methods*Patients*

Eligible patients had histologically confirmed MPM (all histologies), progressed on/after platinum-based chemotherapy, ECOG performance status (PS) 0-1, measurable/evaluable disease according to Response Evaluation Criteria in Solid Tumours (RECIST v1.1, pleural rind being measured perpendicular to the chest wall), adequate haematological/renal/liver function and tumour tissue available for translational research. All trial participants provided written informed consent.

Trial design and treatment administration

Patients were randomly assigned (1:1) to receive either institutional choice chemotherapy, gemcitabine: 1000mg/m² intravenous (i.v.) day one and eight of three-week cycles (Q3W), vinorelbine: 30mg/m² i.v. or 60/80mg/m² orally day one and eight Q3W, or pembrolizumab at a fixed dose i.v. 200mg/Q3W until disease progression (PD), toxicity or patient refusal for a maximum of two years. Pembrolizumab administration was allowed beyond RECIST-defined PD in case of clinical benefit, upon physician and patient agreement. Patients in the chemotherapy arm were allowed to crossover to pembrolizumab at PD identified locally. Tumour assessments for all patients were performed by CT-scan of the thorax and upper abdomen at baseline, every 9 weeks for the first 6 months and every 12 weeks thereafter up to two years until tumour progression determined according to RECIST v1.1. Confirmation of response by additional imaging was not required. For both arms, radiology outcomes according to local sites was retrospectively independently evaluated by BICR performed by an external vendor. PD-L1 immunohistochemistry (IHC) was performed using clone SP263 (Supplement part II).

Ethics committees and relevant health authorities approved the trial protocol. This trial was registered with ClinicalTrials.gov, number NCT02991482.

127 *Randomisation and masking*

128 Computer assisted centralized block stratified randomisation balanced by institution, with histological subtype
129 stratum (epithelioid vs non-epithelioid) was implemented to allocate patients treatments. Participants, physicians
130 and investigators were not blinded to treatment assignment.

132 *Endpoints*

133 The primary endpoint was BICR-PFS, defined as time from randomisation to PD according to RECIST v1.1 or
134 death from any cause. Secondary endpoints included: investigator-assessed PFS (IA-PFS); Overall Survival
135 (OS; time from randomisation to death from any cause); ORR according to RECIST v1.1, based on BICR
136 (percentage of patients that achieved complete (CR)/partial response (PR)); time-to-treatment failure (TTF; time
137 from randomisation to treatment failure for any reason, including treatment discontinuation due to toxicity or
138 refusal/withdrawal, progression of disease or death, even after treatment completion); and safety according to
139 the common terminology criteria for adverse events (AEs) version 4.0 (CTCAE V4.0). Exploratory endpoints
140 included duration of response (DOR; BICR/IA), defined as the time from documented objective response to PD
141 or death from any cause, and efficacy by tumour PD-L1 status.

143 *Statistical Analysis*

144 The study was designed to detect an increase in median BICR-PFS, from 3.5 months for chemotherapy to
145 6.0 months for pembrolizumab, corresponding to a 6-month PFS of 30% versus 50% for chemotherapy and
146 pembrolizumab arms, respectively (Hazard Ratio (HR) of 0.58, assuming exponential survival). Using 80%
147 power and a one-sided type I error of 2.5%, 110 events were required to achieve the trial goal. No formal interim
148 analysis was planned. Interim safety analyses were performed in six-month intervals and reviewed by the
149 European Thoracic Oncology Platform (ETOP) independent data monitoring committee (IDMC).

150 Balance of baseline characteristics between the two treatment groups was tested by Fisher's exact and Mann-
151 Whitney tests, for categorical and continuous variables correspondingly. All time-to-event endpoints were
152 estimated by the Kaplan-Meier method and modelled via stratified Cox proportional hazards models adjusted for
153 clinicopathological variables of interest: sex, age, ECOG PS, PD-L1 status and the European Organization for
154 Research and Treatment of Cancer (EORTC) score for malignant mesothelioma.² The backward elimination

155 method, with a removal criterion at 10% was implemented to select the statistically significant predictors and
156 subsequently obtain HRs and corresponding 95% confidence intervals (CIs). The proportional hazards
157 assumption was tested, using the Schoenfeld residuals. All p-values reported for time-to-event endpoints
158 correspond to Wald test from stratified by histologic subtype Cox models except for the primary analysis of
159 BICR-PFS where we also report the stratified log-rank test, as set by the protocol. Difference in ORR was
160 assessed by the stratified Miettinen and Nurminen's method.

161 Efficacy outcomes were assessed separately, in subgroups defined by PD-L1 levels (cut-offs considered: 1% and
162 20%).

164 *Analysis populations*

165 Efficacy was assessed in the intent-to-treat (ITT) cohort: all patients randomised, analysed upon their initial
166 treatment assignment. Evaluation of treatment compliance and safety were assessed in the as-treated (AT)
167 population: all patients randomised that received at least one dose of trial treatment, with treatment assignments
168 designated according to actual study treatment received. Finally, the crossover (CO) cohort included all patients
169 randomised to chemotherapy that switched to pembrolizumab at PD.

171 *OS analysis taking into account crossover*

172 Censored and inverse probability weighted (IPW)¹⁰ analyses were performed for OS, to account for a possible
173 cross-over effect. In the censored analysis, all chemotherapy patients who switched to receive pembrolizumab
174 were censored at time of crossover. In the IPW approach, patients randomised to chemotherapy were censored at
175 the time of crossover. Simultaneously, inverse weights were assigned to the remainder of the chemotherapy
176 patients, according to compatibility of characteristics (both baseline characteristics and post-randomisation
177 factors).

Results

Patient and treatment characteristics

From September 2017 to August 2018, 151 patients, from 14 centres in three countries (United Kingdom, Switzerland and Spain) were screened. 144 were randomised: 73 to pembrolizumab and 71 chemotherapy, most receiving vinorelbine (83%). Two patients did not receive at least one dose of the assigned trial treatment: one randomised to chemotherapy withdrew consent, and one to pembrolizumab died before treatment initiation (Figure-1).

Arms were generally well-balanced with no significant demographic differences (Table-1). Patients' median age was 70 (52-83), were mostly male (81.9%), mostly epithelioid histological subtype (88.9%), either former or never smokers (93.1%), with ECOG PS1 (75.0%), and good prognosis EORTC score (68.8%).² PD-L1 (SP263 clone) scoring was available for 135 patients. Six cases (4.4%) were non-evaluable and of the remaining cases, 66 (51.2%) were PD-L1<1%, and 63 (48.8%) PD-L1 positive (1-20%: 38, ≥20%: 25 patients). All patients had received prior platinum-pemetrexed chemotherapy and around 20% had received additional treatments, usually an antiangiogenic agent. Five patients had undergone prior pleurectomy (not otherwise specified). Data on best response to prior chemotherapy or previous radical surgery was not captured.

Median treatment cycles in the pembrolizumab and chemotherapy arms were 4 and 3, respectively (range: 1-24, 1-20). In the chemotherapy arm, no patients received chemotherapy beyond progression, one patient received radiotherapy and 45 (63%) patients who progressed crossed over to receive pembrolizumab. In the pembrolizumab arm, 27 patients (46.6% of 58 progressing patients) received pembrolizumab beyond progression, 9 (15.5%) received chemotherapy only and one (1.7%) received combination chemotherapy and radiotherapy (Figure-1).

Efficacy

Progression-free Survival

At data cut-off for the primary endpoint analysis of BICR-PFS (20 February 2019), median follow-up was 11.8 months, Interquartile Range (IQR): 9.9-14.5. Sixty-four (88.9%) patients in the pembrolizumab arm and 65 (92.9%) in the chemotherapy arm had discontinued treatment, mostly due to progression (87.5% and 72.3%, for

207 pembrolizumab and chemotherapy, respectively; Figure-1). A total of 118 (81.9%) PFS events were observed in
208 the ITT cohort by BICR (pembrolizumab: 62, chemotherapy: 56). No difference in BICR-PFS was identified
209 (HR=1.06,95%CI:0.73-1.53;p=0.76, Figure-2A), median BICR-PFS 2.5 months (95%CI:2.1-4.2) for
210 pembrolizumab versus 3.4 (95%CI:2.2-4.3) for chemotherapy, respectively (stratified log-rank test p=0.76). No
211 benefit of pembrolizumab over chemotherapy for BICR-PFS was detected in all subgroups examined (Figure-
212 2B), with a non-significant poorer BICR-PFS HR point estimate for pembrolizumab in non-epithelioid tumours.
213 PFS was significantly worse for those with “poor” EORTC prognostic score (HR=1.85(95%CI:1.21-2.84;
214 p=0.0049 Table-S1).
215 PFS results by investigator assessment (IA) were similar to BICR-PFS (Figure-S1, Table-S2). Agreement
216 between BICR and investigator assessment was 92%.

217 *Overall Survival*

219 OS was updated as of 21 August 2019, with a median follow-up of 17.5 months (IQR: 14.8-19.7), similar
220 between the two arms (p=0.36, Figure-1). Total of 92 deaths were recorded, 48(65.8%) in the pembrolizumab
221 and 44 (62.0%) in the chemotherapy arm. The main cause of death was mesothelioma (81 cases, 88.0%). No
222 significant difference in OS was observed between the pembrolizumab and chemotherapy arms: median
223 10.7 months (95%CI:7.6-15.0) and 12.4 months (95%CI:7.4-16.1), respectively (HR=1.12,95%CI: 0.74-1.69;
224 p=0.59, Figure-3A/3B). Similarly, no OS benefit of pembrolizumab over chemotherapy was observed for all
225 subgroups (Figure-3C), again with a non-significant poorer OS point estimate for pembrolizumab in the non-
226 epithelioid subgroup. No apparent effect of crossover was detected, with censored and IPW analyses yielding
227 similar results (Figure-3B; Table-S3).

228 A significant effect of “poor” EORTC score was detected, in all three analyses performed (ITT, Censored, IPW:
229 all p<0.001), (Table-S3).

231 *Objective Response Rate*

232 By BICR, the ORR for pembrolizumab was significantly improved: 22% (95%CI:13%-33%) with 16 objective
233 responses (all PR), and 6% (95%CI:2%-14%) for chemotherapy with 4 responses (all PRs) (p=0.004; accounting
234 for histological subtype). Median DOR (95%CI), for pembrolizumab was 4.6 months (2.1, Not Estimable (NE)),

with 10 of the 16 patients with PR subsequently progressing. For chemotherapy, median DOR was 7.2 months (NE, NE) with one of the 4 patients with PR progressing. Additional details including the waterfall plot are summarised in Table-S4 and Figure-S2. By IA, a similar significant ORR improvement for pembrolizumab (19%,95%CI:11%-30%) vs chemotherapy (3%,95%CI:0%-10%) was observed, ($p=0.001$; adjusting for histological subtype; Table-S5).

Time to treatment failure

The overall median TTF time was 2.4 months (95%CI:2.1-4.0; $p=0.17$), with no difference between arms (pembrolizumab: 2.8 months; 95%CI:2.1-4.2, chemotherapy: 2.3 months; 95%CI:2.1-3.9; Figure-S3).

Efficacy outcomes by PD-L1 status

PD-L1 expression results are described in Table-S6. Of the evaluable patients, 48.8% were PD-L1 positive (1%-cut-off), and expression was balanced between arms (pembrolizumab: 46.3% vs. chemotherapy: 51.6%, $p=0.59$). Balance in expression was also achieved at the 20%-cut-off (pembrolizumab: 16.4% vs. chemotherapy: 22.6%, $p=0.50$). No benefit of pembrolizumab on BICR-PFS was detected in subgroups defined by PD-L1 status (at 1% or 20% cut-offs, Figures-S4/S5). Similar results were seen for OS (Figures-S6/S7). An excess of PD-L1 positive patients was observed among the 16 patients randomized to pembrolizumab with PR (9 PD-L1 $\geq 1\%$ and 7 $< 1\%$, Figure-S8). Of the four patients randomized to chemotherapy with response, all but one were PD-L1 $\geq 1\%$ (Figure-S8). Further results (Figures-S9/S10), demonstrate no relationship between best change (%) in tumour size and TTF by PD-L1 status. Additional analyses using the clone E1L3N are also reported (Supplement part II), with similar conclusions.

Efficacy outcomes of crossover cohort

No difference with respect to baseline characteristics was detected between the crossover cohort (45 patients) and the trial population (Table-S7). Progression for this cohort was assessed only by investigators. With 32 treatment failures, mainly due to PD (30; 2 deaths, 1 patient decision, 1 other reason), median TTF was 2.1 months (95%CI:2.0-4.1). Median PFS measured from date of cross-over was 2.1 months (95%CI:1.8-4.1, 31

PFS events). Four partial responses were observed, corresponding to an ORR of 9%; 95%CI:2%-21% (Table-S8). Median OS for this cohort (from date of cross-over) was 9.1 months (95%CI:4.7-12.1).

Safety

AEs of any grade and irrespective of relation to treatment were experienced by 97.2% of patients for pembrolizumab and 92.9% for chemotherapy, while related to treatment were experienced by 69.4% and 74.3% respectively. Immune-related attribution for AEs was not specifically recorded. The percent of patients with a grade ≥ 3 treatment-related AE was 19.4% in the pembrolizumab arm, including a case of grade 3 hypophysitis and 25.7% in the chemotherapy arm. Five patients in each arm experienced a treatment-related AE resulting in treatment discontinuation. There was one treatment-related death in each arm (pembrolizumab: pneumonia, chemotherapy: dyspnoea, with PD being the primary cause).

The commonest treatment-related AEs were fatigue and diarrhoea, experienced by 26.1% and 18.3% of all patients, respectively, with no difference observed between the two treatment arms. Treatment related dry skin, maculopapular rash and pruritus were more frequently observed for pembrolizumab (relative risk compared to chemotherapy arm: 12%, 11% and 10%, respectively), while treatment-related nausea, constipation and oral mucositis were more frequently observed for chemotherapy (relative risk compared to pembrolizumab: 20%, 14% and 10%; Table-2). All treatment-related neutropenia events were observed in the chemotherapy arm. Immune-related adverse events, along with treatment association are presented in Table-S9.

Discussion

Our results unequivocally demonstrate that in biologically unselected pre-treated MPM patients, there is neither improvement in PFS nor OS for pembrolizumab over vinorelbine or gemcitabine chemotherapy. Whilst an improved ORR was observed for pembrolizumab, responses were generally transient. The majority of patients randomised to chemotherapy (63%) crossed-over on progression to pembrolizumab. Despite adjusting for this, no improvement in OS was identified. Inspection of the Kaplan Meier curves for PFS and OS demonstrates neither early crossover nor detrimental event rate for pembrolizumab with maintenance of proportional hazards, and no emerging plateau. Forest plots of PFS and OS demonstrated no clinical or pathological characteristic associated with significant pembrolizumab benefit. However, the non-epithelioid histological subtype was

290 suggestive of poorest outcomes from pembrolizumab with HR point estimates of 1.76 for PFS and 1.54 for OS
291 (non-significant) likely due to the small subgroup size. Importantly, PD-L1 expression did not correlate with any
292 signal of predictive utility for pembrolizumab, or prognostic impact. We could not comment on rates of
293 hyperprogression or pseudoprogression as these progression patterns were not specifically collected.

294 Toxicities identified were typical for each agent with the most discriminant toxicities in each arm typical for
295 their drug class. Rates of grade ≥ 3 treatment-related adverse events were similar for pembrolizumab and
296 chemotherapy (19.4% vs 25.7%, respectively) and similar to that seen in other trials, for example, 18% for
297 pembrolizumab in KEYNOTE-042¹¹ and 20% for the mesothelioma cohort of KEYNOTE-028⁸ and for
298 chemotherapy, considerably less than that reported for vinorelbine in the randomized anetumab
299 raptansine/vinorelbine trial (25.7% vs 57%).¹² Our results therefore do not identify any new safety concerns for
300 pembrolizumab in MPM.

301 Several factors should be considered in interpreting the lack of PFS or OS benefit for pembrolizumab despite an
302 improved ORR. Patients recruited were typical for a MPM trial population, (predominantly elderly, male,
303 epithelioid histological subtype, good performance status, mostly relapsed after platinum-based chemotherapy)
304 in line with the VANTAGE-014 trial. Patients with good EORTC prognostic score were slightly overrepresented
305 in the chemotherapy arm. Nevertheless, we confirmed the EORTC prognostic score utility (Tables-S1/S2)
306 giving additional validation to our trial population. We did not, however, capture data on best response to prior
307 chemotherapy and can therefore not exclude over representation of chemo-refractory patients. Nevertheless,
308 such patients would likely be randomly distributed, and control arm outcomes argue against this being a
309 significant bias. We did not use an artificially inadequate control arm, such as best supportive care, designing the
310 control arm reflecting routine clinical care. Indeed, control arm performance was as expected, recapitulating the
311 null hypothesis, 3.5 months PFS, similar to that observed for vinorelbine control in the anetumab raptansine
312 phase II trial (4.3 months).¹² Of note, PFS for pembrolizumab was numerically inferior to 5.4 months observed
313 in KEYNOTE-028, possibly reflecting the highly selected nature of the latter Phase I trial cases. Additionally,
314 enrollment criteria for KEYNOTE-028 included PD-L1 positive tumours which might represent an additional
315 selection factor.⁸ Whilst our study was powered to identify a large PFS benefit, (HR=0.58) we cannot exclude
316 pembrolizumab causing a smaller but significant difference, although inspection of the Kaplan Meier PFS curve
317 argues against any meaningful difference. We chose PFS as the primary endpoint rather than OS to allow an

318 early analysis of efficacy in case of a strong efficacy signal and since a PFS benefit has also been observed for
319 pembrolizumab trials in other malignancies with an OS benefit. However, we observe that PFS may be difficult
320 to accurately capture in mesothelioma, given the reliance on confidently calling disease progression using CT
321 and RECIST-based criteria. For this reason, and also noting open label treatment allocation, we ensured BICR
322 radiology review to minimize this risk of bias. We included cross-over to make the trial ethically appropriate,
323 given the high-rate of off-label pembrolizumab usage for relapsed MPM.¹³ To our knowledge, no patients
324 randomised to chemotherapy received anti-PD-1/L1 therapy outside the trial. Whilst mesothelioma progression
325 may be difficult to reliably classify,¹⁴ we accounted for this potential bias by making BICR-PFS the primary
326 endpoint noting high concordance between BICR-assessed and IA-assessed PFS. Moreover, others have argued
327 that PFS rate at 9 and 18 weeks is predictive of OS, giving an earlier endpoint readout, uncontaminated by
328 uncontrolled post-progression therapies.¹⁵ Pembrolizumab cross-over was accounted for by two well-defined
329 methods, both demonstrating no significant OS benefit, although, we cannot fully exclude a small OS benefit
330 that this methodology did not detect. Visual inspection of the Kaplan Meier OS curve would not allow this to be
331 easily identified given the high rate of crossover. Nevertheless, given that the majority of control arm patients
332 crossed-over to receive pembrolizumab and that the similarity of median OS observed for both arms (10.7 and
333 12.4 months for pembrolizumab and chemotherapy, respectively) is comparative to the vinorelbine control arm
334 of the anetumab ravtansine randomised phase II trial (11.6 months),¹² arguing against over-performance of the
335 control arm. Moreover, we cannot exclude a modest OS benefit for sequential chemotherapy-pembrolizumab (or
336 vice versa).

337 A potential benefit for immune-checkpoint inhibitor therapy in MPM is biologically attractive, given the
338 pathogenic inflammatory microenvironment and PD-L1 expression in 14-59% of tumours.^{16,17} However, with
339 the exception of rare cases with microsatellite instability, this plausibility is balanced by a tumour type of low
340 neoantigenic potential, low tumour mutation burden, mainly driven by genomic losses.¹⁸ During the recruitment
341 of PROMISE-meso, one randomised phase III trial of tremelimumab monotherapy (DETERMINE) has reported,
342 identifying no OS benefit, after two small, uncontrolled single-arm phase II trials suggested prolonged disease
343 control.^{19,20}

344 Similarly, four single-arm small cohorts of anti-PD1/L-1 agents^{16,17,21,22} and three cohorts of combination anti-
345 PD1/L-1 with anti-CTLA4 combination have been published.²²⁻²⁴ Across-trial comparisons are limiting, with

346 marked potential for hidden biases, including that from differing inclusion criteria such as requiring measurable
347 disease, requiring a mandatory new biopsy, endpoints, imaging frequency, independent assessment of
348 progression, or limited numbers of sites. ORRs observed in these studies of nivolumab were 10-29%,^{21,24} and
349 with median PFSs 2.6-6.1 months, median OS 10.7-17.3 months, and one-year survival rates between 43-
350 59%,^{16,21} compared with a one-year survival rate of 47.8% for PROMISE-meso. Nevertheless, the median PFS
351 of 2.5 months we identified was at the lower end of the variation of PFS identified in previous trials, and is more
352 likely to have been impacted on by clinical prognostic variables than discrepancies in measuring disease
353 progression. Similarly, median DOR for pembrolizumab in PROMISE-meso was shorter for pembrolizumab at
354 4.6 months (based on 16 responders, with 10 of them progressing) compared to 7.2 months for chemotherapy,
355 which should be interpreted with caution since it was based on only 4 responders with 1 progressing. Again,
356 whilst DOR may have been impacted by ability to confidently call progression by radiological criteria,
357 utilization of BICR will have ameliorated this bias as best as possible. Finally, pembrolizumab DOR was
358 considerably shorter than that reported by other single arm trials of anti-PD-1/L1 monotherapy which ranged
359 from 7.4 to 12.0. The impact of patient selection by different enrolment criteria in these trials on DOR is
360 unknown. The three trials of anti-PD-1/L1-CTLA4 combination demonstrated ORRs of 25-29%, similar to anti-
361 PD1/L-1 monotherapy, median PFSs of 5.6-6.2 months, median OS (where reported) of 11.2-15.9 months, with
362 one-year survival rates of 58-64%, again comparable with 47.8% we observed.²²⁻²⁴

363 We evaluated the predictive utility of tumour PD-L1 expression using both the SP263 and E1L3N clones and
364 demonstrated similar expression rates at the 1% cut-off to that previously reported, with a high concordance
365 between clones, and excess expression in non-epithelioid subtypes. We detected no associations between PD-L1
366 status and efficacy, although we utilized surplus diagnostic specimens, which may be non-representative at
367 enrolment time. Nevertheless, a lack of predictive PD-L1 expression utility has also been independently
368 identified by most trials^{8,17} but not all.²²

369 Ultimately, we did not demonstrate superior PFS or OS for pembrolizumab, despite a higher ORR, and on this
370 basis, pembrolizumab cannot be considered a new standard for relapsed MPM. Whilst OS was not improved
371 with pembrolizumab, PROMISE-meso was not designed for non-inferiority and therefore OS equivalence
372 between arms cannot be claimed. We have, however, been able to demonstrate meaningful activity for
373 pembrolizumab in individual cases. A better biological understanding for the basis of this benefit is therefore

374 required and additional translational analyses from PROMISE-meso are on-going to this end. We also await the
375 results of the CONFIRM trial (NCT03063450) a blinded randomised-controlled phase III trial of nivolumab
376 versus placebo in second and third-line relapsed MPM with the co-primary endpoints of PFS and OS.
377 As seen for other diseases with poor prognosis immune-checkpoint inhibitors may have the greatest efficacy in
378 the first-line setting. The very recent results of the CHECKMATE-743 trial (NCT02899299), evaluating
379 nivolumab-ipilimumab versus platinum-pemetrexed chemotherapy, refer to a statistically significant OS
380 improvement (Press-release BMS, 20 April 2020). Combinations with chemotherapy may also be effective, the
381 feasibility of cisplatin-pemetrexed-durvalumab has been explored in a single arm trial
382 (ACTRN12616001170415), and three international, multicentre randomised phase III trials are ongoing,
383 evaluating the combination of pembrolizumab-cisplatin-pemetrexed (NCT02784171), the combination of
384 durvalumab-cisplatin-pemetrexed (DREAM3R, NCT04334759) and the combination of carboplatin-
385 pemetrexed-bevacizumab-atezolizumab (ETOP BEAT-meso, NCT03762018).

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401

402

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499 recurrent malignant pleural mesothelioma (INITIATE): results of a prospective, single-arm, phase 2 trial.
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List of Tables and Figures*List of Tables***Table-1:** Baseline characteristics, overall and by treatment arm (ITT cohort)**Table-2:** Safety information of the as-treated cohort*List of Figures***Figure-1:** Trial design and flow-chart**Figure-2:** Progression-free survival, assessed by blinded independent central review (ITT cohort).

A) Kaplan-Meier plot for BICR-PFS, by treatment arm.

B) Exploration of treatment effect within levels of clinicopathological variables of interest

Figure-3: Overall Survival (ITT cohort)

A) Kaplan-Meier plot for OS, by treatment arm

B) Treatment effect, adjusting for cross-over

C) Exploration of treatment effect within levels of clinicopathological variables of interest

Table-1. Baseline characteristics, overall and by treatment arm

Characteristic	All patients (N=144)	Pembrolizumab (N=73)	Chemotherapy (N=71)	p-value*
Age (yrs at randomization)				
N	144	73	71	0.020
Mean (95% CI)	68.9 (67.8, 70.1)	67.7 (66.1, 69.4)	70.2 (68.6, 71.7)	
Median (Min-Max)	70.0 (52.0 – 83.0)	69.0 (52.0-83.0)	71.0 (53.0-83.0)	
Age cat. -n(%)				
<70 yrs	71 (49.3)	42 (57.5)	29(40.8)	0.048
≥70 yrs	73 (50.7)	31 (42.5)	42 (59.2)	
Sex - n(%)				
Male	118 (81.9)	58 (79.4)	60 (84.5)	0.52
Female	26 (18.1)	15 (20.6)	11 (15.5)	
Histological Subtype - n(%)				
Epithelioid	128 (88.9)	66(90.4)	62 (87.3)	0.60
Non-epithelioid	16 (11.1)	7(9.6)	9 (12.7)	
Smoking history - n(%)				
Current	9 (6.3)	5 (6.8)	4 (5.6)	0.56 [¥]
Former (≥100 cigarettes in the past during the whole life)	62 (43.1)	34 (46.6)	28 (39.4)	0.32 ^{¥,§}
Never (0-99 cigarettes during the whole life)	72 (50.0)	33 (45.2)	39 (54.9)	
Unknown/missing	1 (0.7)	1 (1.4)	0 (0.0)	
ECOG performance status - n(%)				
0	35 (24.3)	21 (28.8)	14 (19.7)	0.24
1	108 (75.0)	51 (69.9)	57 (80.3)	
2 [¶]	1 (0.7)	1 (1.4)	0 (0.0)	

Characteristic	All patients (N=144)	Pembrolizumab (N=73)	Chemotherapy (N=71)	p-value*
EORTC Score- n (%)				
Good prognosis	99 (68.8)	45 (61.6)	54 (76.1)	0.07
Poor prognosis	45 (31.2)	28 (38.4)	17 (23.9)	
Prior treatment- n (%)				
Carboplatin/pemetrexed ^{€†}	54 (37.5)	27 (37.0)	27 (38.0)	0.18
Cisplatin/pemetrexed ^{€†}	46 (31.9)	24 (32.9)	22 (31.0)	
Platinum ±pemetrexed ±other [€]	30 (20.8)	13 (17.8)	17 (23.9)	
Cisplatin/pemetrexed&carboplatin/pemetrexed [€]	8 (5.5)	7 (9.6)	1 (1.4)	
Missing [‡]	6 (4.2)	2 (2.7)	4 (5.6)	
PD-L1- n(%) (N=135 samples scored)				
<1%	66 (48.9)	36 (52.2)	30 (45.5)	0.67 [‡]
1-20%	38 (28.2)	20 (29.0)	18 (27.3)	0.69**
≥20%	25 (18.5)	11 (15.9)	14 (21.1)	
Not Evaluable	6 (4.4)	2 (2.9)	(6.1)	

*Fisher's exact categorical, Mann-Whitney U test for continuous variables

[‡]Category "Unknown/Missing" or 'Missing' excluded

[§]Categories "Current" & "Former" combined

[€]Among these patients, 13 have also received radiotherapy

[†]Among these patients there are 5 that underwent pleurectomy

[‡]ECOG performance status 2 due to leg braces, confirmed by ETOP

**Excluding categories "Missing" & "Not Evaluable"

Table-2. Safety information of the as-treated cohort

Event	Pembrolizumab	Chemotherapy	
	n(%) patients		
Safety cohort	72	70	
Any AE	70 (97.2)	65 (92.9)	
Treatment related AE	50 (69.4)	52(74.3)	
Treatment related AEs Grade: 3-5	14 (19.4)	18 (25.7)	
Treatment related AEs leading to death	1 (1.4)	1 (1.4)	
Treatment related AEs leading to treatment discontinuation	5 (6.9)	5 (7.1)	
Treatment related AEs occurring in ≥10% of the patients in either arm	n(%) patients		Risk Difference (95% CI)
Fatigue	14 (19.4%)	23 (32.9)	-0.13 (-0.28, 0.01)
Diarrhea	11 (15.3%)	15 (21.4)	-0.06 (-0.19, 0.07)
Nausea	5 (6.9%)	19 (27.1)	-0.20 (-0.32, -0.08) [¥]
Anorexia	6 (8.3%)	11 (15.7)	-0.07 (-0.18, 0.03)
Constipation	3 (4.2%)	13 (18.6)	-0.14 (-0.25, -0.04) [¥]
Pruritus	9 (12.5%)	2 (2.9)	0.10 (0.01, 0.18) [¥]
Mucositis oral	2 (2.8%)	9 (12.9)	-0.10 (-0.19, -0.01) [¥]
Dry skin	10 (13.9%)	1 (1.4)	0.12 (0.04, 0.21) [¥]
Vomiting	4 (5.6%)	7 (10.0)	-0.04 (-0.13, 0.04)
Rash maculo-papular	9 (12.5%)	1 (1.4)	0.11 (0.03, 0.19) [¥]
Neutrophil count decreased	0 (0.0%)	9 (12.9)	-0.13(-0.21, -0.05) [¥]

[¥]Statistically significant result

Key eligibility criteria

- Malignant pleural mesothelioma (all histologies)
- Progression after previous platinum-based chemotherapy
- ECOG PS 0-1
- Measurable/evaluable disease as per RECIST v1.1 criteria
- Adequate haematological, renal and liver function
- Availability of tumor tissue for translational research

Journal Pre-proof

151 patients registered in E10P database

7 ineligible for inclusion

144 randomly assigned
accrual period: Sep.2017-Aug.2018

73 allocated to Pembrolizumab (ITT)
200mg fixed dose i.v. day 1 of each 3-week cycle (Q3W)

71 allocated to Chemotherapy (ITT)
12 Gemcitabine 1000mg/m² d1 Q3W i.v. or
58 Vinorelbine 30mg/m² d1/8 Q3W i.v. or 60/80mg/m² d1/8 Q3W p.o.

72 received treatment (1 death prior initiation)
64 discontinued treatment
56 progressive disease
4 death
1 toxicity
1 patient decision
0 investigator decision
2 other

70 received treatment (1 withdrawal prior initiation)
65 discontinued treatment
47 progressive disease
4 death
6 toxicity
1 patient decision
6 investigator decision
1 other

As of 20 Feb. 2019
Median FU (IQR):
11.8 months (9.9, 14.5)

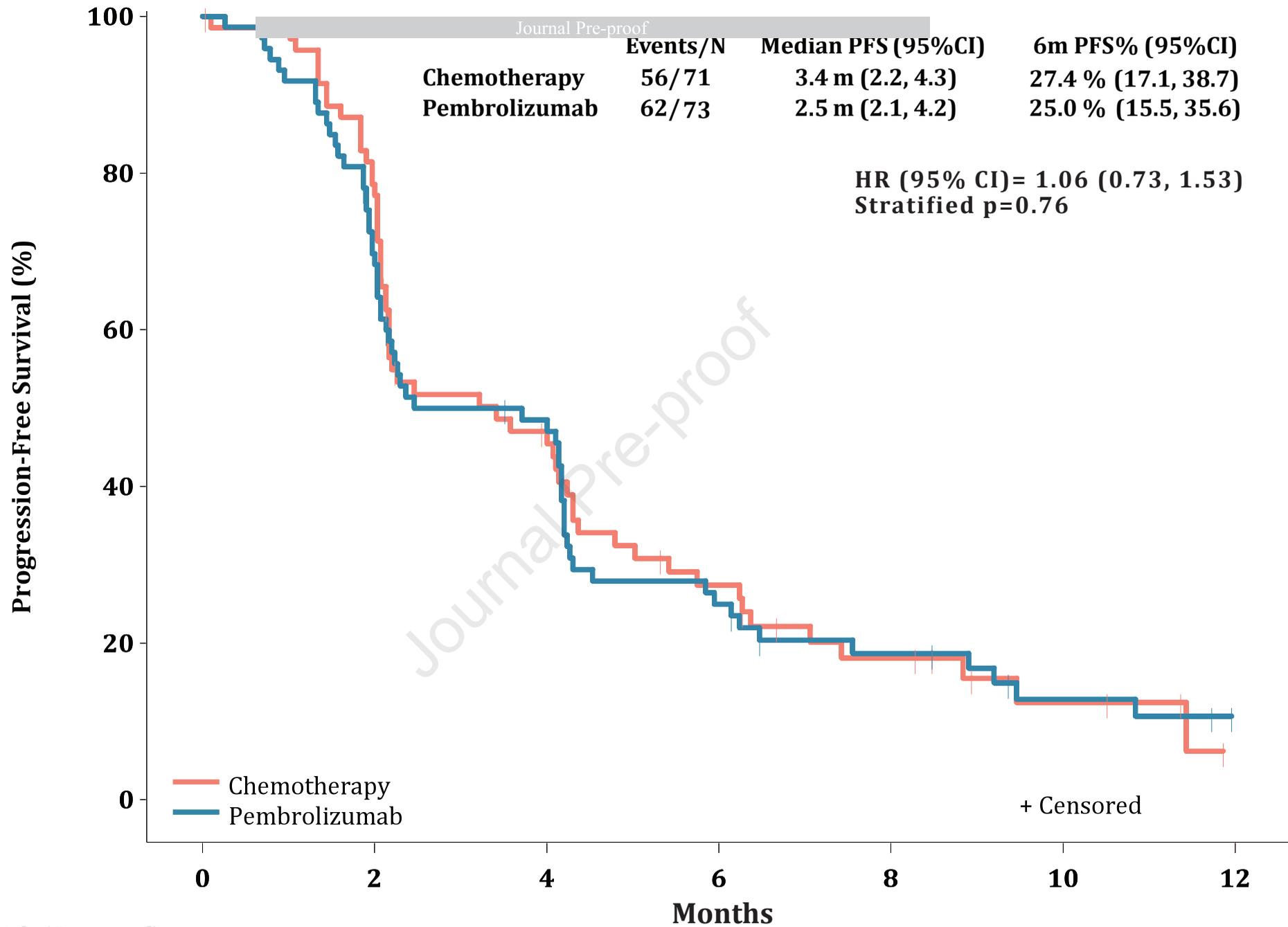
45 patients switched to
pembrolizumab at progression

23 patients still on follow-up
2 withdrawals
Median FU (IQR): 18.2 months (15.7, 20.2)

As of 21 Aug. 2019
Median FU (IQR):
17.5 months (14.8, 19.7)

26 patients still on follow-up
1 withdrawal
Median FU (IQR): 17.2 months (14.8, 19.1)

27 received further cycles of pembrolizumab
beyond progression

A

No at Risk (Censored)

Chemotherapy	71(0)	55(1)	29(6)	16(7)	9(9)	4(12)	0(15)
Pembrolizumab	73(0)	50(1)	33(3)	17(3)	11(5)	6(7)	3(9)

B

Events/ N Median PFS (months)

HR* (95% CI)

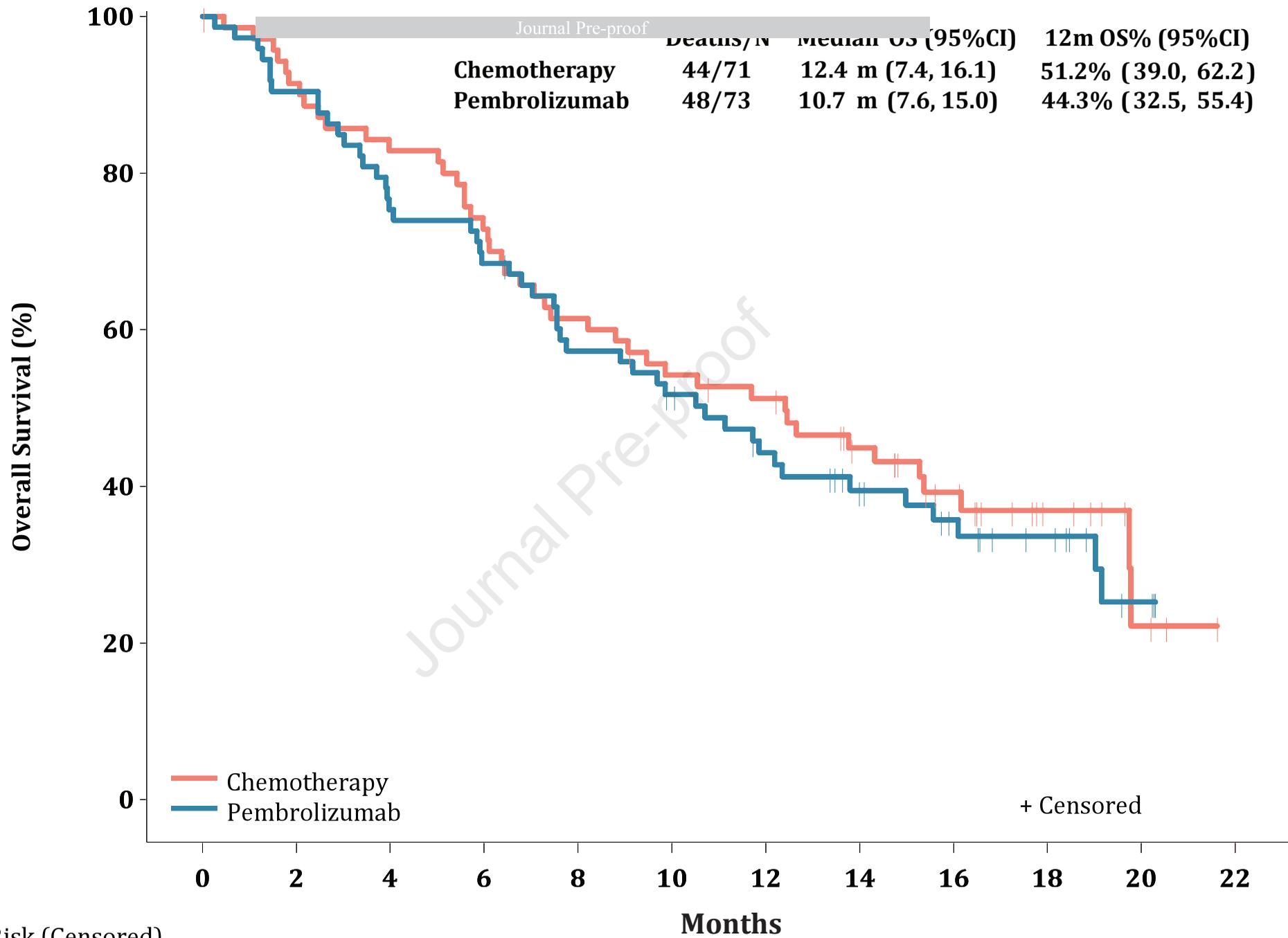
	Events/ N	Median PFS (months)		HR* (95% CI)
Gender				
Female	22/ 26	4.2		0.79 (0.33, 1.88)
Male	96/ 118	2.5		1.13 (0.75, 1.69)
Age				
<70	62/ 71	2.3		1.07 (0.64, 1.78)
≥70	56/ 73	4.1		0.95 (0.56, 1.63)
ECOG PS				
0	29/ 35	3.7		1.10 (0.51, 2.39)
1	88/ 108	3.4		1.04 (0.68, 1.58)
EORTC score				
Good prognosis	77/ 99	4.1		0.97 (0.62, 1.53)
Poor prognosis	41/ 45	2.0		1.04 (0.55, 1.95)
Histological Subtype				
Non - epithelioid	14/ 16	3.4		1.76 (0.58, 5.33)
Epithelioid	104/ 128	3.2		0.99 (0.68, 1.47)
<hr/>				
All patients	118/ 144	3.4		1.04 (0.72, 1.50)

0.5 1 1.5 2 2.5

← Pembrolizumab superior

→ Chemotherapy superior

* Unadjusted/unstratified HRs

A

No at Risk (Censored)

Chemotherapy	71(0)	64(1)	58(1)	51(1)	43(1)	37(2)	34(3)	26(7)	18(12)	9(20)	3(24)	0(27)
Pembrolizumab	73(0)	66(0)	55(0)	50(0)	41(1)	36(2)	29(4)	22(8)	17(11)	12(15)	5(20)	2(23)

B