

·基础研究·

# NSCLC转移淋巴结PD-L1表达分析及对一线TKI或化疗结局的影响

谢至, 吕志异, 卢丹霞, 张水莲, 郭伟滨, 潘雪, 张绪超, 杨学宁

(南方医科大学附属广东省人民医院//广东省医学科学院, 广东省肺癌转化医学重点实验室, 医学研究中心,  
广东广州 510080)

**摘要:**【目的】探讨晚期非小细胞肺癌(NSCLC)原发灶与配对转移淋巴结中PD-L1的表达特征,并明确其表达水平对一线靶向治疗和化疗疗效的预测价值。【方法】回顾性纳入2017年4月至2020年2月期间在广东省人民医院确诊为NSCLC、获得淋巴结转移灶、接受一线酪氨酸激酶抑制剂(TKI)或铂类双药化疗的128例患者。通过免疫组织化学技术(IHC)检测原发灶及转移淋巴结中PD-L1的表达,采用Wilcoxon符号秩检验比较原发灶与转移淋巴结的PD-L1表达特征。采用Kaplan-Meier法绘制生存曲线,并使用Log-rank检验比较组间差异。【结果】在28对配对样本中,NSCLC原发灶与转移淋巴结组织中的PD-L1表达水平(中位数:淋巴结32.5 vs. 原发灶10.0),组间差异无统计学意义( $MD=5.000, P=0.083$ )。生存分析显示,在驱动基因阳性患者中,淋巴结PD-L1高表达( $TPS \geq 50%$ )与接受一线TKI治疗后较短的无进展生存期(PFS)显著相关(中位PFS: $TPS \geq 50%: 4.0$  vs.  $1% \leq TPS < 50%: 8.9$  vs.  $TPS < 1%: 18.0$ 个月,  $\chi^2=15.284, P < 0.001$ )。相反,在驱动基因阴性患者中,淋巴结PD-L1高表达的患者一线化疗后PFS更长(中位PFS: $TPS \geq 50%: 7.9$  vs.  $1% \leq TPS < 50%: 3.0$ 个月,  $\chi^2=8.436, P=0.004$ ),且总体生存期(overall survival, OS)也延长(中位OS: $TPS \geq 50%: 28.8$  vs.  $1% \leq TPS < 50%: 14.2$ 个月,  $\chi^2=4.010, P=0.045$ )。【结论】晚期NSCLC患者转移淋巴结组织与肺原发病灶中PD-L1的表达具有一致性。淋巴结病灶PD-L1高表达与驱动基因阴性患者接受化疗后的更好生存预后及驱动基因阳性患者接受TKI治疗的不良预后相关。结果支持将转移淋巴结病灶PD-L1表达水平应用于晚期NSCLC个体化精准医学实践。

**关键词:**肺肿瘤;PD-L1;淋巴结转移;化疗;酪氨酸激酶抑制剂

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## PD-L1 Expression in Metastatic Lymph Nodes of NSCLC and Its Impact on First-line TKI or Chemotherapy Outcomes

XIE Zhi, LÜ Zhiyi, LU Danxia, ZHANG Shuilian, GUO Weibang,

PAN Xue, ZHANG Xuchao, YANG Xuening

(Medical Research Institute, Guangdong Provincial Key Laboratory of Translational Medicine in Lung Cancer, Guangdong Provincial People's Hospital // Guangdong Academy of Medical Sciences, Southern Medical University, Guangzhou 510080, China)

Correspondence to: YANG Xuening, E-mail: yangxncn@qq.com; ZHANG Xuchao, E-mail: zhxuchao3000@126.com

**Abstract:** 【Objective】 To investigate the heterogeneity of PD-L1 expression profiles between primary tumors and paired metastatic lymph nodes in advanced non-small cell lung cancer (NSCLC), and to determine the predictive value of

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作者简介:谢至,第一作者,研究方向:肺癌免疫微环境及治疗,E-mail:xiezi8045@sina.com;杨学宁,通信作者,博士,主任医师,E-mail:yangxncn@qq.com;张绪超,通信作者,博士,主任医师,E-mail:zhxuchao3000@126.com

key immune marker expression for the efficacy of first-line targeted therapy and chemotherapy.【Methods】 A retrospective analysis was conducted on 128 patients with histologically confirmed NSCLC and corresponding metastatic lymph nodes, who received first-line tyrosine kinase inhibitors (TKIs) or platinum-based doublet chemotherapy at Guangdong Provincial People's Hospital between April 2017 and February 2020. Immunohistochemistry (IHC) was employed to evaluate PD-L1 expression in primary tumors and metastatic lymph nodes. The Wilcoxon signed-rank test was performed to compare PD-L1 expression characteristics between primary tumors and metastatic lymph nodes. Kaplan-Meier survival curves were constructed, and the Log-rank test was used to compare differences between groups.【Results】 Among 28 paired cases, PD-L1 expression levels were numerically higher in metastatic lymph nodes than in primary NSCLC tumors (median: 32.5 vs. 10.0), although the difference did not reach statistical significance ( $MD = 5.000, P = 0.083$ ). Survival analysis revealed that in patients with driver gene-positive NSCLC, high PD-L1 expression (TPS  $\geq 50\%$ ) in lymph nodes was significantly associated with shorter progression-free survival (PFS) following first-line TKI therapy [median PFS: 4.0 (TPS  $\geq 50\%$ ) vs. 8.9 (1%  $\leq$  TPS  $< 50\%$ ) vs. 18.0 (TPS  $< 1\%$ ) months,  $\chi^2 = 15.284, P < 0.001$ ]. Conversely, in patients with driver gene-negative NSCLC, high PD-L1 expression in lymph nodes was associated with longer PFS [median PFS: 7.9 (TPS  $\geq 50\%$ ) vs. 3.0 (1%  $\leq$  TPS  $< 50\%$ ) months,  $\chi^2 = 8.436, P = 0.004$ ] and overall survival (OS) [median OS: 28.8 (TPS  $\geq 50\%$ ) vs. 14.2 (1%  $\leq$  TPS  $< 50\%$ ) months,  $\chi^2 = 4.010, P = 0.045$ ] after first-line chemotherapy.【Conclusion】 PD-L1 expression in metastatic lymph nodes is largely consistent with that in primary tumors of patients with advanced NSCLC. High PD-L1 expression in lymph nodes is associated with improved survival outcomes in driver gene-negative patients undergoing chemotherapy, whereas it portends a poor prognosis with TKI treatment in driver gene-positive patients. These findings support the application of PD-L1 expression levels in metastatic lymph nodes to guide personalized precision medicine strategies for advanced NSCLC.

**Key words:** lung neoplasms; PD-L1; lymph node metastasis; chemotherapy; tyrosine kinase inhibitors

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非小细胞肺癌 (non-small cell lung cancer, NSCLC) 约占所有肺癌病例的 85% 以上, 是全球癌症相关死亡的主要原因之一<sup>[1]</sup>。多数患者在确诊时已处于晚期或存在远处转移, 总体预后较差, 五年生存率仅 20% 左右<sup>[2-3]</sup>。近年来, 尽管靶向治疗和免疫治疗显著改善了患者的预后, 但传统化疗仍是许多驱动基因阴性的晚期 NSCLC 患者一线治疗的主要选择<sup>[4]</sup>。因此, 探索更有效的治疗策略和疗效预测生物标志物对于改善患者预后具有重要意义。表皮生长因子受体 (epidermal growth factor receptor, *EGFR*) 突变和间变性淋巴瘤激酶 (anaplastic lymphoma kinase, *ALK*) 融合是 NSCLC 中最常见的驱动基因改变。针对这些靶点的酪氨酸激酶抑制剂 (tyrosine kinase inhibitor, TKI) 显著改善了患者的无进展生存期 (progression-free survival, PFS) 和总体生存期 (overall survival, OS)<sup>[5-7]</sup>。然而, 仍有 10%~20% 的患者会对 TKI 产生耐药, 其中 PD-L1 高表达可能与原发性耐药相关<sup>[8]</sup>。此外, NSCLC 患者对 TKI 的治疗反应存在较大差异<sup>[9-11]</sup>, 且几乎所有患者最终都会出现获得性

耐药<sup>[12]</sup>。在驱动基因阴性患者中, 化疗仍是主要治疗方式<sup>[13]</sup>, 含铂双药化疗作为标准方案, 可通过抑制肿瘤细胞增殖和 DNA 修复延长患者生存期<sup>[14-15]</sup>, 但其疗效具有显著的个体差异性, 部分患者对化疗的敏感性较差, 且化疗产生的相关毒副作用较大<sup>[16]</sup>。因此, 寻找能够精准预测化疗及靶向治疗疗效的生物标志物, 是优化个体化治疗的关键。程序性死亡配体 1 (programmed death-ligand-1, PD-L1) 作为关键的免疫检查点分子, 其表达水平已被证实与 NSCLC 患者免疫治疗疗效密切相关<sup>[17-19]</sup>。近年来的研究发现, PD-L1 的表达水平也可能影响化疗和靶向治疗的疗效。总体上关于 PD-L1 表达水平对接受 TKI 治疗患者的预后和生存的影响仍存在争议<sup>[20-21]</sup>, 且对驱动基因阴性的晚期 NSCLC 患者 PD-L1 的表达水平与其化疗疗效之间的关系仍需进一步的探索<sup>[22]</sup>。此外, 有报道免疫检查点分子在 NSCLC 原发灶和远处转移灶之间的表达存在不一致<sup>[23-24]</sup>。仅依赖原发灶活检结果指导全身治疗可能存在局限性。因此, 基于转移淋巴结 (常为临床常规活检部位) 的免疫微环境分析, 可能会为晚期

NSCLC的个体化治疗提供更多的依据。本研究旨在通过分析晚期NSCLC患者淋巴结转移灶与原发灶中关键免疫标志物PD-L1的表达一致性,并主要探讨淋巴结转移灶PD-L1对一线化疗及靶向治疗疗效和预后的预测意义。结果为临床上利用转移淋巴结病灶标本进行PD-L1表达的评估以及为晚期NSCLC精准治疗提供新的数据。

## 1 材料与方法

### 1.1 患者队列与数据收集

本研究为回顾性队列研究,连续纳入了2017年4月至2020年2月期间在广东省人民医院确诊为IV期NSCLC、获得淋巴结转移病灶、并接受一线TKI或含铂双药化疗的128例患者。所有患者的诊断均依据第八版肺癌TNM分期标准并经组织病理学证实。纳入标准包括:①根据第八版肺癌TNM分期,经组织病理学证实为IV期NSCLC患者;②已获取转移淋巴结病灶(同时尽可能收集配对原发灶)标本可用于免疫组化分析;③一线治疗方案为TKI单药治疗(适用于驱动基因阳性患者)或标准化疗(适用于驱动基因阴性患者)。排除标准为:①根据第八版TNM分期,病理类型为非NSCLC;②组织标本质量不佳或无法判读免疫组化染色结果;③临床或随访资料严重缺失;④在获取研究所用组织标本前曾接受过任何形式的抗肿瘤治疗(包括放疗、化疗、靶向或免疫治疗)。本研究方案经广东省人民医院伦理委员会批准(伦理号:GDREC2019215H),并遵循1964年赫尔辛基宣言(2008年修订版)的伦理准则进行,所有入组患者均签署了知情同意书。

### 1.2 疗效评价与随访

所有患者在接受一线治疗后,均根据实体肿瘤疗效评价标准(Response Evaluation Criteria in Solid Tumors, RECIST)1.1版进行疗效评价,将治疗反应分为完全缓解(complete response, CR)、部分缓解(partial response, PR)、疾病稳定(stable disease, SD)和疾病进展(progressive disease, PD)。本研究的主要终点评价指标为无进展生存期(progression-free survival, PFS)和总生存期(overall survival, OS)。PFS定义为从一线治疗开始至首次记录到疾病进展或任何原因死亡的时间,OS定义为从IV期诊断确立至任何原因死亡的时间。末次随访日期

为2022年12月31日,截至末次随访日期未到达终点的患者记为删失。同时收集年龄、性别、吸烟史、ECOG-PS(Eastern Cooperative Oncology Group Performance Status)评分、病理类型、基因突变状态、脑转移情况等患者的基本临床资料。

### 1.3 免疫组织化学染色

新鲜组织标本经40 g/L多聚甲醛液固定12~24 h后,流水缓慢冲洗0.5 h,进行全自动组织脱水机脱水以及石蜡包埋并切片,用于免疫组织化学染色(immunohistochemistry, IHC)和分析。TIM3、LAG3和IDO的染色流程如下:烤片、脱蜡、水化后于120 °C抗原修复液(GTR, GT100411)中修复3 min,冷却后于质量分数3%的H<sub>2</sub>O<sub>2</sub>溶液中孵育10 min。随后于PBS中浸洗5 min共3次,使用质量分数5%的BSA(Solarbio, A8010)溶液室温下封闭1 h。PBS中浸洗后开始一抗的孵育:TIM3(CST, 45208S, 1:400),LAG3(CST, 15372S, 1:200),IDO(CST, 86630S, 1:400)在室温下孵育1 h。一抗孵育完毕后于PBS中浸洗,随后使用IHC二抗试剂盒(Absin, abs996)室温孵育30 min,再次于PBS中浸洗后,使用DAB显色试剂进行显色。PDL1(Dako, 22C3)、CD8(Dako, GA623)和CD4(Dako, IR649)的染色使用Dako omnis 机带程序(Agilent)上机自动进行染色。所有标本染色后经苏木精复染,透明后用中性树脂封片,置于光学显微镜下观察标本。由两位对临床资料不知情的病理科医师独立对染色结果进行评估,PD-L1的表达采用肿瘤细胞阳性比例分数(tumor proportion score, TPS)表示,并根据PD-L1的TPS将患者分为三组:阴性(TPS<1%)、低表达(1%≤TPS<50%)及高表达组(TPS≥50%)。TIM-3、LAG-3与IDO的表达水平通过综合阳性细胞百分比与染色强度计算H-Score进行评估。CD8与CD4阳性T细胞的密度以阳性细胞数占比表示。根据各组分子表达水平的中位数,将患者分为高表达组和低表达组进行后续分析。

### 1.4 统计学分析

使用Shapiro-Wilk检验以检验数据是否符合正态分布,符合正态分布的数据用均数±标准差( $\bar{x} \pm s$ )描述,不符合正态分布的连续变量以中位数 $M(P_{25} \sim P_{75})$ 表示,分类变量用频数和百分比描述。采用Levene检验以确认方差齐性,符合正态分布且方差齐的两组独立样本之间比较采用Student's *t*检验,不符合正态分布的两配对样本之间比较则采用

Wilcoxon符号秩和检验,分类变量的组间比较采用 $\chi^2$ 检验或Fisher精确概率法。非正态分布的数据采用Spearman检验评估相关性。生存曲线的绘制采用Kaplan-Meier法,组间PFS的差异比较采用Log-rank检验。使用IBM SPSS Statistics 26、GraphPad Prism(V.9.0)和RStudio软件进行统计分析和可视化作图。定义 $P < 0.05$ 为差异具有统计学意义,所有检验均为双侧检验。

## 2 结果

### 2.1 患者临床病理特征

本研究共纳入128例NSCLC患者,对应156个肿瘤标本,包含128个转移淋巴结标本和28个肺部原发灶标本。128例患者中有83.6%(83/128)的患者含有驱动基因变异(图1A)。83例驱动基因阳性患者中,各驱动基因改变的检出率分别为EGFR突变32.0%(41/83)、EML4-ALK融合16.4%(21/83)、KRAS基因12号外显子突变8.6%(11/83)和MET基因扩增23.4%(30/83)。其中20例患者存在两种及以上基因的共突变。患者平均年龄( $56.5 \pm 11.4$ )岁,男性78例(60.9%),从不吸烟者81例(63.3%)。多数患者(119例,93.0%)入院时的ECOG PS评分为0~1分。组织学类型以腺癌为主(113例,88.3%),其次为鳞癌(15例,11.7%),44.5%(57例)的患者存在脑转移。

为比较NSCLC原发灶与转移淋巴结免疫微环境中重要的免疫检查点分子表达的异质性,我们从总队列中选取了28例拥有配对原发灶和淋巴结标本的患者,作为配对子集分析。28例患者的平均年龄( $56.3 \pm 9.9$ )岁,男性16例(57.1%),从不吸烟者19例(67.9%)。大多数患者(27例,96.4%)入院时的ECOG PS评分为0~1分。组织学类型同样以主腺癌(25例,89.3%),鳞癌3例(10.7%),有脑转移者13例(46.4%)。其基因突变谱与总体队列相似。我们进一步将所有标本按标本取材部位划分为原发灶队列( $n=28$ )与转移淋巴结队列( $n=128$ ),以进行样本层面的分析。

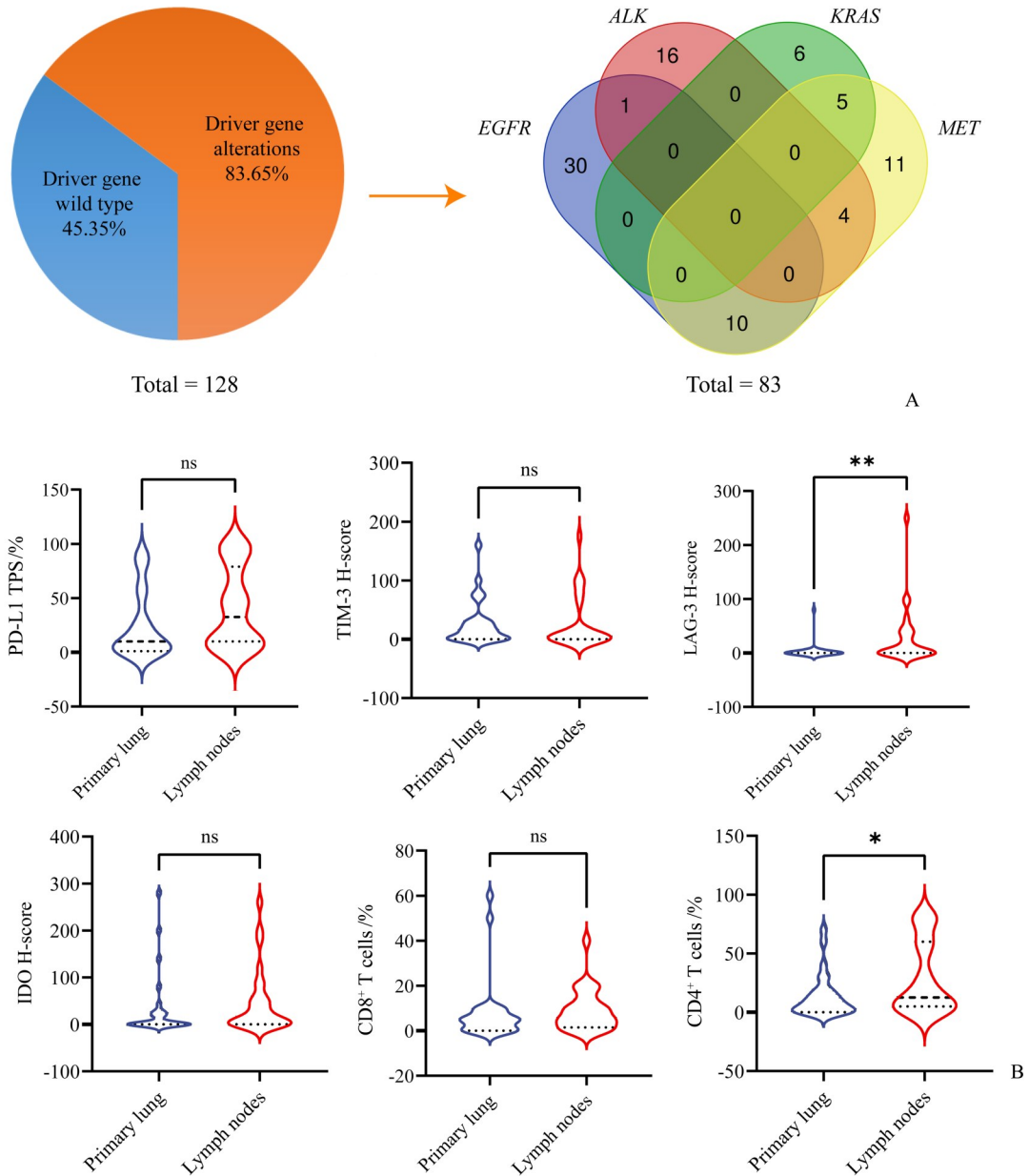
### 2.2 淋巴结转移灶与原发灶免疫微环境检查点分子表达比较

所有原发灶和淋巴结标本均进行了PD-L1、TIM-3、LAG-3、IDO、CD8和CD4的免疫组织化学染色,各免疫标志物在不同部位病灶的代表性染色

图片见图2。为明确肿瘤在原发部位与转移淋巴结部位的PD-L1表达水平是否存在差异,我们对28例配对样本的PD-L1表达水平进行了比较和分析。Wilcoxon符号秩和检验分析显示,转移淋巴结与配对的原发灶中的PD-L1表达水平无统计学差异(中位数:淋巴结32.5 vs. 原发灶10.0,  $MD=5.000$ ,  $P=0.083$ )。与原发灶相比,转移淋巴结的LAG-3表达整体水平显著升高(中位数:淋巴结0.0 vs. 原发灶0.0,  $Q3$ :淋巴结38.8 vs. 原发灶0.0,  $MD=0.000$ ,  $P=0.005$ ),尽管两组的中位数相同,但分布呈上移趋势,提示转移部位存在更高的LAG-3表达。同时,转移淋巴结中CD4<sup>+</sup>T细胞浸润密度亦明显增加(中位数:淋巴结12.5 vs. 原发灶7.5,  $MD=7.500$ ,  $P=0.010$ )。但其他分子如TIM-3(4.0 vs. 15.0,  $MD=-1.500$ ,  $P=0.397$ )和IDO(15.0 vs. 0.0,  $MD=1.000$ ,  $P=0.341$ )表达以及CD8<sup>+</sup>T细胞密度(5.0 vs. 5.0,  $MD=0.000$ ,  $P=0.147$ )在两组间均未观察到统计学差异(图1B)。

### 2.3 淋巴结PD-L1高表达与TKI治疗预后不良相关

2.3.1 EGFR-TKI治疗亚组中淋巴结PD-L1表达的预后价值 为探讨驱动基因阳性晚期NSCLC患者其转移淋巴结病灶中的PD-L1表达( $n=31$ )对一线EGFR-TKI疗效的预测价值,我们对淋巴结队列中接受一线EGFR-TKI治疗且随访生存资料完整的患者进行了生存分析。结果显示,PD-L1表达水平(TPS)与PFS显著相关。TPS<1%( $n=4$ )、1%≤TPS<50%( $n=18$ )和TPS≥50%( $n=9$ )的3组患者中位PFS分别为18.0个月(95% CI: 13.6~22.4)、11.0个月(95% CI: 7.2~14.8)和4.0个月(95% CI: 1.8~6.2),组间差异具有统计学意义( $\chi^2=7.004$ ,  $P=0.030$ )。两两比较显示,TPS<1%组的中位PFS显著长于1%≤TPS<50%组( $\chi^2=4.096$ ,  $P=0.043$ )及TPS≥50%组( $\chi^2=5.929$ ,  $P=0.015$ )。在总生存期方面,不同PD-L1表达水平的3组患者中位OS分别为TPS<1%组75.9个月(95% CI: 12.1~139.7)、1%≤TPS<50%组28.8个月(95% CI: 16.8~40.8)、TPS≥50%组38.7个月(95% CI: 8.7~68.7),整体差异虽无统计学意义( $\chi^2=5.681$ ,  $P=0.058$ ),但两两比较结果同样显示TPS<1%组的中位OS显著优于1%≤TPS<50%组( $\chi^2=4.980$ ,  $P=0.026$ )及TPS≥50%组( $\chi^2=4.018$ ,  $P=0.045$ ;图3A)。为进一步排除其他混杂因素的影响,采用Cox比例风险模型评估淋巴结PD-L1的表达对TKI治疗的独立预测和预后价值。多变量回归分析显示PD-L1高表达与TKI治



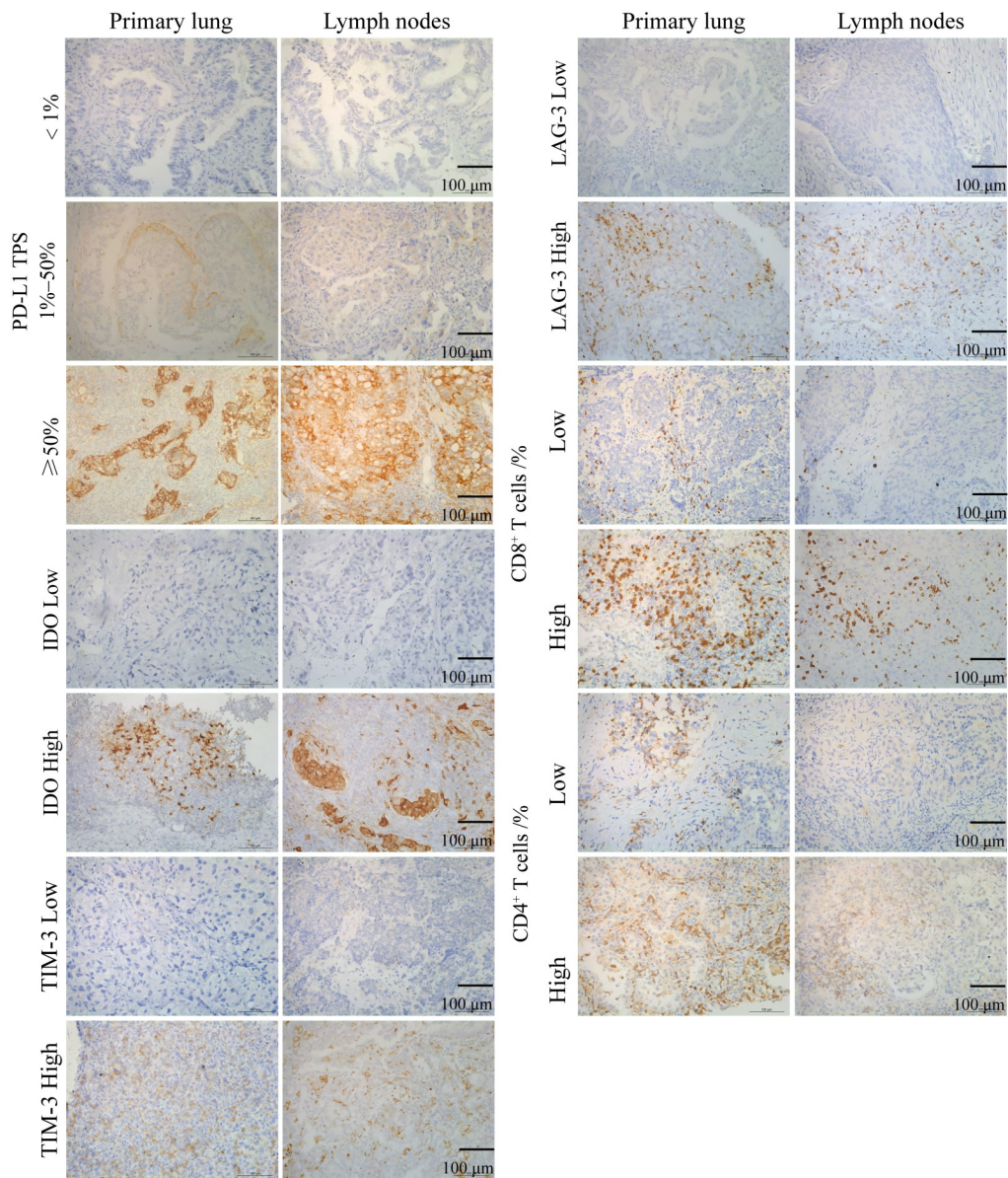
A: Distribution of driver gene alterations among 128 patients. B: Expression of immune markers in different tissues from 28 paired patients. Driver gene, *EGFR*, exon 18-21 alterations; *KRAS*, exon 12 mutation; *ALK*, *EMLA-ALK* fusion; *MET*, *MET* amplification. Paired comparison of immune marker expression levels between primary tumors and metastatic lymph nodes. Statistical significance was determined by Wilcoxon signed-rank test ( $n=28$ ). \* $P < 0.05$ , \*\* $P < 0.01$ , ns represents  $P > 0.05$ .

图1 晚期NSCLC患者驱动基因改变分布及原发肺组织和转移淋巴结组织中PD-L1和其他免疫标志物的表达  
**Fig. 1 Distribution of driver gene alterations and expression of PD-L1 and other immune markers in primary lung and metastatic lymph nodes of advanced NSCLC patients**

疗进展的关联具有统计学意义,校正后的风险比为3.168,95% CI为(1.511~6.641), $P=0.002$ ,而PD-L1高表达与TKI治疗的OS间的关联也具有统计学意义( $P=0.022$ ,表1)。

2.3.2 ALK-TKI治疗亚组中淋巴结PD-L1表达的预后价值 同样,我们也对淋巴结队列中接受一线

ALK-TKI治疗且随访生存资料完整的患者( $n=11$ )进行了生存分析。结果显示,PD-L1表达水平(TPS)与PFS显著相关。TPS<1%( $n=2$ )、1%≤TPS<50%( $n=7$ )和TPS≥50%( $n=2$ )的3组患者中位PFS分别为19.3个月、5.6个月和5.0个月,组间差异具有统计学意义( $\chi^2=6.096$ , $P=0.047$ )。两两比较显示,



Scale bars=100  $\mu$ m, Magnification at 20  $\times$ .

图2 晚期NSCLC患者原发肺组织和转移淋巴结组织中不同免疫标志物的代表性IHC染色图

Fig. 2 Representative IHC staining images of different immune markers in primary lung and metastatic lymph nodes samples among advanced NSCLC patients

TPS<1%组的中位PFS显著长于1% $\leq$ TPS<50%组( $\chi^2=4.474$ ,  $P=0.034$ )。在总生存期方面,不同PD-L1表达水平的三组患者中位OS的整体差异无统计学意义( $\chi^2=2.978$ ,  $P=0.226$ ),两两比较结果也未发现有统计学意义的组间差异(图3B)。

2.3.3 全体TKI治疗队列中淋巴结PD-L1表达的预后价值 我们对淋巴结队列中所有接受一线TKI(EGFR或ALK或MET小分子靶向激酶抑制剂)治疗且随访生存资料完整的患者( $n=45$ )进行了生

存分析。以探索驱动基因阳性晚期NSCLC患者其转移淋巴结病灶中的PD-L1表达对一线TKI疗效的预测价值。结果显示,PD-L1表达水平(TPS)与PFS显著相关。TPS<1%( $n=6$ )、1% $\leq$ TPS<50%( $n=25$ )和TPS $\geq$ 50%( $n=14$ )的3组患者中位PFS分别为18.0个月(95% CI: 14.0~22.0)、8.9个月(95% CI: 7.7~10.1)和4.0个月(95% CI: 0.7~7.3),组间差异具有统计学意义( $\chi^2=15.284$ ,  $P<0.001$ )。两两比较显示,TPS<1%组的中位PFS显著长于1% $\leq$

表1 EGFR-TKI治疗晚期NSCLC患者的PFS和OS相关临床因素的多因素Cox回归分析结果  
Table 1 Multivariate Cox analyses of clinical factors for PFS and OS in advanced NSCLC patients treated with EGFR-TKI

Item	PFS			OS		
	HR (95% CI)	Wald $\chi^2$	P	HR (95% CI)	Wald $\chi^2$	P
Age*	0.963 (0.923-1.005)	-1.740	0.082	1.002 (0.963-1.042)	0.087	0.930
Sex (female vs. male)	1.790 (0.550-5.818)	0.967	0.333	1.510 (0.460-4.961)	0.679	0.498
Smoking (former vs. never)	1.600 (0.466-5.493)	0.747	0.455	1.226 (0.347-4.330)	0.316	0.752
Brain metastasis (yes vs. no)	0.508 (0.162-1.600)	-1.157	0.247	0.865 (0.307-2.432)	-0.277	0.782
EGFR-TKI generation (third vs. second vs. first)	1.683 (0.675-4.194)	1.116	0.264	0.383 (0.145-1.009)	-1.941	0.052
EGFR mutation type [exon21 (L858R) vs. exon19 deletions]	0.561 (0.309-1.018)	-1.900	0.057	0.873 (0.543-1.402)	-0.563	0.573
TKI type (third vs. second vs. First)	1.683 (0.675-4.194)	1.116	0.264	0.383 (0.145-1.009)	-1.941	0.052
MET amplification (yes vs. no)	2.920 (0.795-10.727)	1.614	0.107	1.815 (0.546-6.033)	0.972	0.331
PD-L1 expression (TPS $\geq$ 50% vs. 1% $\leq$ TPS<50%)	3.168 (1.511-6.641)	3.052	<b>0.002</b>	2.281 (1.124-4.630)	2.284	<b>0.022</b>

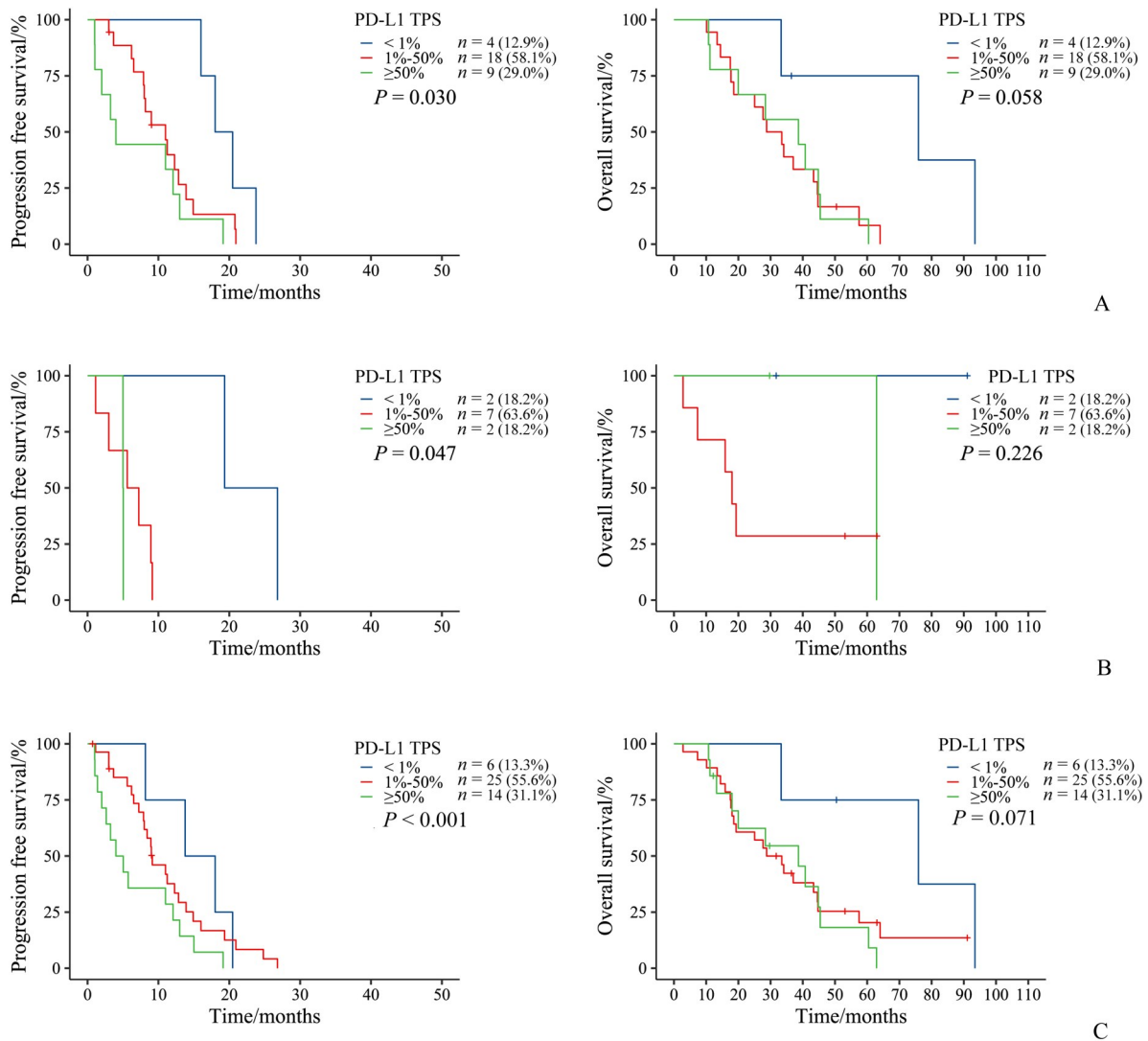
ECOG PS: Eastern Cooperative Oncology Group Performance Status; PD-L1: programmed cell death ligand 1. \* Age was used as a continuous variable.

TPS<50%组( $\chi^2=9.025$ ,  $P=0.001$ )及TPS $\geq$ 50%组( $\chi^2=12.453$ ,  $P<0.001$ )。在总生存期方面,不同PD-L1表达水平的3组患者中位OS分别为TPS<1%组93.4个月、1% $\leq$ TPS<50%组27.7个月(95% CI: 10.0~45.5)、TPS $\geq$ 50%组38.7个月(95% CI: 16.4~61.0),整体差异虽无统计学意义( $\chi^2=5.301$ ,  $P=0.071$ ),但两两比较结果显示TPS<1%组的中位OS显著优于1% $\leq$ TPS<50%组( $\chi^2=4.020$ ,  $P=0.045$ )及TPS $\geq$ 50%组( $\chi^2=7.094$ ,  $P=0.008$ ;图3C)。相比之下,TIM-3、LAG-3、IDO表达水平以及CD8<sup>+</sup>和CD4<sup>+</sup>T细胞密度与PFS均无显著关联(图4A)。其余免疫标志物同样未显示与OS存在显著相关性(图4B)。

#### 2.4 淋巴结PD-L1高表达的驱动基因阴性NSCLC患者化疗预后更佳

为进一步明确驱动基因阴性晚期NSCLC患者

其转移淋巴结免疫标志物对一线化疗疗效的预测作用,我们对淋巴结队列中接受一线化疗的患者( $n=39$ )进行了生存分析。结果显示,PD-L1高表达(TPS $\geq$ 50%)的患者一线化疗的获益更好。TPS $\geq$ 50%组患者的中位PFS显著长于1% $\leq$ TPS<50%组[7.9个月(95% CI: 2.5~13.2) vs. 3.0个月(95% CI: 1.8~4.2),  $\chi^2=8.436$ ,  $P=0.004$ ]。在总生存期OS方面,TPS $\geq$ 50%组同样展现出显著优势[28.8个月(95% CI: 19.2~38.4) vs. 14.2个月(95% CI: 6.6~21.7);  $\chi^2=4.010$ ,  $P=0.045$ ]。然而,TIM-3、LAG-3、IDO的表达水平以及CD8<sup>+</sup>、CD4<sup>+</sup>T细胞密度与PFS或OS均无显著关联(图5)。为进一步排除其他混杂因素的影响,采用Cox比例风险模型评估淋巴结PD-L1的表达对化疗的独立预测和预后价值。多变量回归分析显示PD-L1高表达与TKI治疗进展的关联具有统计学意义,校正后的风险比为0.083,



A: The PFS and OS curves for patients who received first-line EGFR-TKI treatments stratified by PD-L1 expression (TPS < 1%, 1% ≤ TPS < 50%, and TPS ≥ 50%) in metastatic lymph nodes. B: The PFS and OS curves for patients who received first-line ALK-TKI treatments stratified by PD-L1 expression (TPS < 1%, 1% ≤ TPS < 50%, and TPS ≥ 50%) in metastatic lymph nodes. C: The PFS and OS curves for patients who received first-line TKI treatments stratified by PD-L1 expression (TPS < 1%, 1% ≤ TPS < 50%, and TPS ≥ 50%) in metastatic lymph nodes.

图3 转移淋巴结中PD-L1表达对接受一线靶向治疗的驱动基因阳性NSCLC患者的PFS和OS的影响

Fig. 3 Kaplan-Meier survival analysis of PFS and overall OS based on the expression of PD-L1 in metastatic lymph nodes of patients with driver gene-positive NSCLC treated with first-line targeted therapy

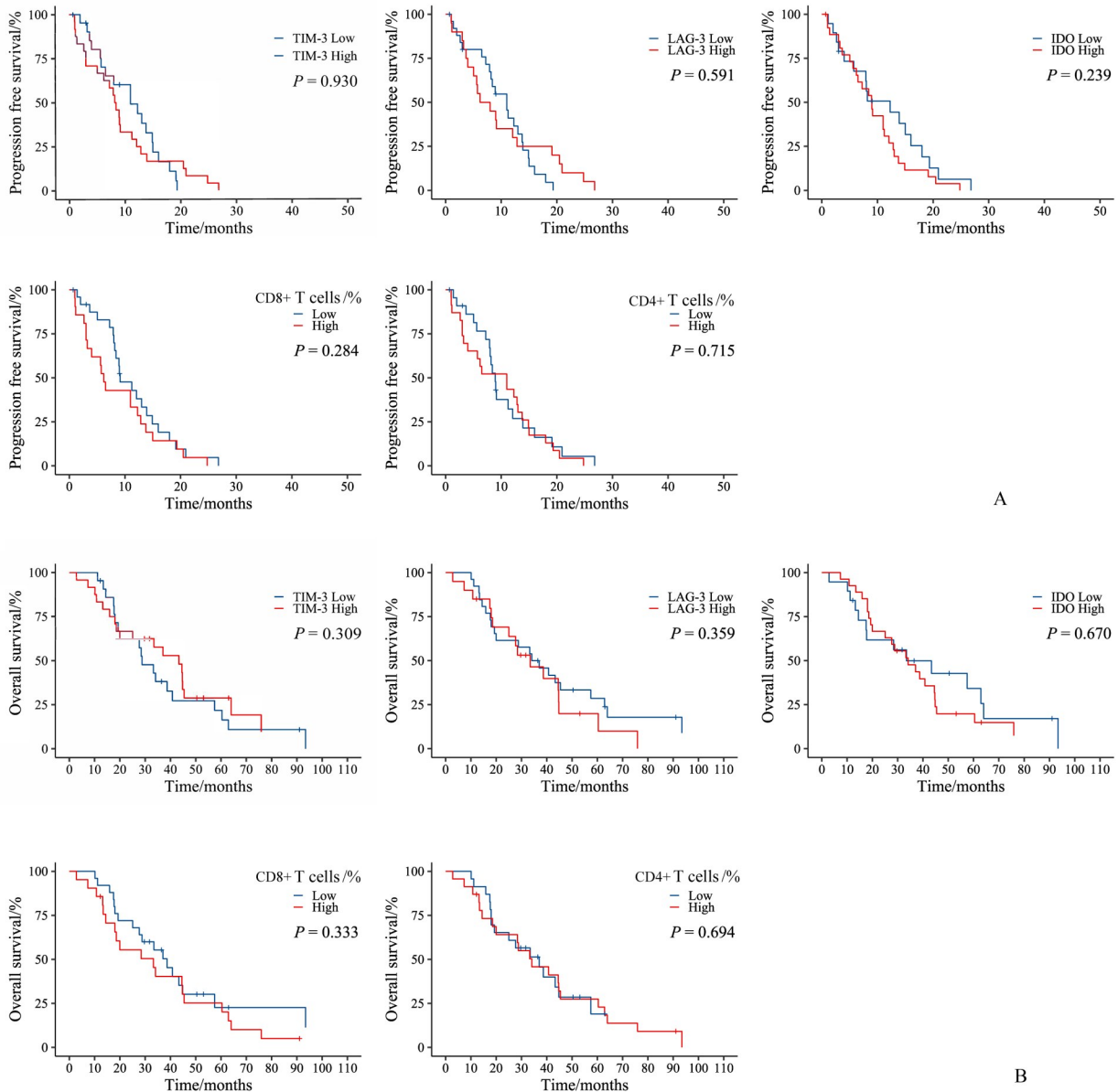
95% CI为(0.011~0.629),  $P=0.016$ ,而PD-L1高表达与TKI治疗的OS间的关联也具有统计学意义( $P=0.022$ ;表2)。

### 3 讨论

本研究回顾性分析了128例晚期NSCLC患者的临床病理资料及配对原发灶与转移淋巴结中PD-L1的表达异质性,并评估其对一线靶向治疗及

化疗疗效的影响。结果发现原发灶与转移淋巴结之间的PD-L1表达具有较好的一致性;其次,在驱动基因阴性患者中,淋巴结PD-L1高表达与一线化疗后更长的PFS相关;而在驱动基因阳性患者中,淋巴结PD-L1高表达则提示接受TKI(EGFR或ALK或MET小分子靶向激酶抑制剂)治疗后的PFS较差,在全体TKI和EGFR-TKI治疗亚组中的OS也较差。

本研究显示晚期NSCLC患者原发病灶与配对

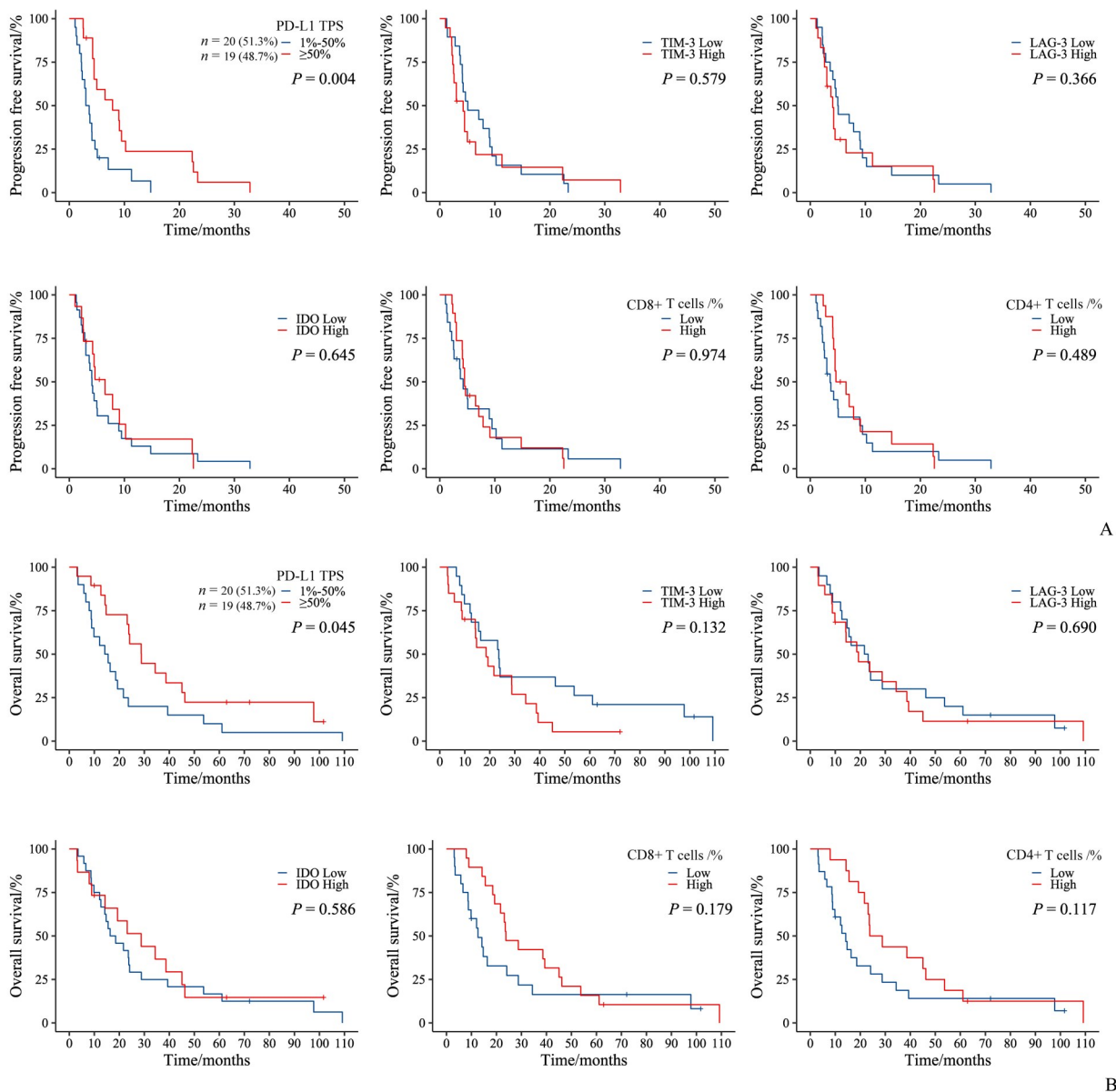


(A) PFS and (B) OS curves for patients stratified by other immune marker expression levels (TIM-3, LAG-3, IDO, CD8, and CD4) in metastatic lymph nodes.

图4 转移淋巴结中其他免疫标志物对接受一线靶向治疗的驱动基因阳性NSCLC患者的PFS和OS的影响  
Fig. 4 Kaplan-Meier survival analysis of PFS and overall OS based on the expression of other immune markers in metastatic lymph nodes of patients with driver gene-positive NSCLC treated with first-line targeted therapy

转移淋巴结之间的PD-L1表达水平基本一致,与部分既往报道提到的相符<sup>[25]</sup>,并且原发肿瘤和转移灶中的PD-L1表达具有很强的正相关性<sup>[26]</sup>。除转移淋巴结外,原发性肺癌和脑转移瘤样本中的PD-L1表达一致率也高达86%<sup>[27]</sup>。但也有研究显示PD-L1在不同转移部位与原发灶之间的表达存在显著差异<sup>[28-30]</sup>。例如三阴性乳腺癌肝转移灶的PD-L1阳性率显著低于原发灶和淋巴结转移灶<sup>[31]</sup>。这种

PD-L1表达的异质性可能源于肿瘤微环境中免疫细胞浸润程度和肿瘤细胞自身分子特征的差异<sup>[32-33]</sup>。尽管多部位活检可以提高PD-L1检测的准确性<sup>[34]</sup>,但其在临床实践中的应用仍受限于活检取材的操作难度与患者耐受性。总体来看,转移淋巴结组织的PD-L1表达检测可在一定程度上替代原发肺组织的检测,可为无法获得原发肿瘤标本的患者提供重要检测依据,同时对治疗方式的选择和



(A) PFS and (B) OS curves for patients stratified by PD-L1 expression (TPS < 1%, 1% ≤ TPS < 50%, and TPS ≥ 50%) and other immune marker expression levels (TIM-3, LAG-3, IDO, CD8, and CD4) in metastatic lymph nodes.

图5 转移淋巴结中各免疫标志物对接受一线化疗的驱动基因阴性NSCLC患者的PFS和OS的影响

Fig. 5 Kaplan-Meier survival analysis of PFS and OS based on the expression of immune markers in metastatic lymph nodes of patients with driver gene-negative NSCLC treated with chemotherapy

决策提供重要指导。

我们的研究还显示在驱动基因阴性晚期NSCLC患者中,淋巴结PD-L1高表达与更优的化疗反应和PFS延长相关,这与部分研究报道的PD-L1高表达患者对化疗敏感性较高的结论一致<sup>[17,35]</sup>。其潜在机制可能包括:PD-L1高表达的肿瘤细胞可能具有较高的免疫原性,而化疗可能通过诱导免疫细胞的募集进一步增强抗肿瘤免疫反应<sup>[36]</sup>;某些化

疗药物,如铂类药物和紫杉醇,可通过诱导免疫原性细胞死亡(immunogenic cell death, ICD)激活抗肿瘤免疫反应,从而增强化疗疗效<sup>[37,38]</sup>;此外,PD-L1高表达可能与肿瘤细胞增殖相关,从而使其对化疗药物的作用也更加敏感<sup>[39]</sup>。本研究未发现PD-L1表达与化疗患者OS的显著关联,这可能与PD-L1高表达患者在化疗后更易出现耐药或远处转移有关<sup>[40]</sup>。此外,化疗的毒性可能影响其长期行

表2 化疗治疗晚期NSCLC患者的PFS和OS相关临床因素的多因素Cox回归分析结果

Table 2 Multivariate Cox analyses of clinical factors for PFS and OS in advanced NSCLC patients treated with chemotherapy

Item	PFS			OS		
	HR (95% CI)	Wald $\chi^2$	P	HR (95% CI)	Wald $\chi^2$	P
Age*	0.995 (0.959-1.036)	-0.257	0.797	1.003 (0.969-1.039)	0.173	0.863
Sex (female vs. male)	0.938 (0.361-2.435)	-0.132	0.895	0.482 (0.194-1.200)	-1.569	0.117
Smoking (former vs. never)	1.525 (0.600-3.887)	0.884	0.376	1.066 (0.418-2.721)	0.134	0.894
Brain metastasis (yes vs. no)	1.435 (0.638-3.228)	0.873	0.383	0.921 (0.417-2.036)	-0.204	0.839
PD-L1 expression (TPS $\geq$ 50% vs. 1% $\leq$ TPS<50%)	0.083 (0.011-0.629)	-2.408	0.016	0.482 (0.218-1.064)	-1.806	0.071

ECOG PS: Eastern Cooperative Oncology Group Performance Status; PD-L1: programmed cell death ligand 1. \* Age was used as a continuous variable.

效,尤其在PD-L1高表达的患者中,化疗可能诱导免疫抑制微环境的形成,从而加速肿瘤进展<sup>[41]</sup>。此外,在免疫性化疗过程中,缺乏PD-L1的树突状细胞(dendritic cell, DC)在化疗过程中更容易受损,抗肿瘤效应显著降低,且PD-L1的丧失会导致SLC7A11下调,脂质过氧化增加,从而引发DCs铁死亡并抑制抗肿瘤免疫反应<sup>[42]</sup>。因此,未来研究应结合肿瘤突变负荷、免疫细胞分型等多组学指标进一步探索PD-L1表达水平影响化疗的具体机制,并结合免疫治疗等联合治疗策略以改善患者的长期预后。

在驱动基因阳性患者中,本研究观察到PD-L1高表达与TKI治疗较差的PFS和OS显著相关,这与既往研究结果一致,提示PD-L1高表达可能是NSCLC患者TKI治疗的不良预后标志物,尤其与一代和三代EGFR-TKI的早期耐药性和生存期<sup>[43-44]</sup>较短相关。有些患者通常还存在着其他靶向基因的突变,如ALK融合、KRAS突变以及MET扩增。PD-L1高表达也是ALK重排NSCLC患者不良预后的预测和预后生物标志物,并且与免疫抑制性微环境相关<sup>[45]</sup>。EGFR突变NSCLC患者中PD-L1高表达的除了与更高的原发性耐药风险相关<sup>[8]</sup>,还可能促进肿瘤发生和获得性耐药<sup>[46]</sup>;其次,PD-L1高表达常表示肿瘤已建立较强的免疫抑制微环境,可能削弱T细胞介导的肿瘤清除作用,从而降低TKI疗效<sup>[47]</sup>;PD-L1表达与MET的激活和扩增有关,且在NSCLC细胞系中,c-MET信号传导会直接诱导PD-

L1表达<sup>[48-49]</sup>,异常的MET激活可导致肿瘤细胞对TKI(如厄洛替尼)治疗的获得性耐药<sup>[50-51]</sup>,同时MET扩增和EGFR-T790M突变会上调NSCLC中PD-L1的表达,并通过不同机制促进肿瘤细胞的免疫逃逸<sup>[52-53]</sup>。2018年发表的研究显示PD-L1高表达与EGFR突变NSCLC患者使用EGFR-TKI原发耐药相关,且无论EGFR突变亚型如何,与PD-L1低表达或无表达相比,PD-L1高表达的NSCLC患者客观缓解率显著降低,PFS明显缩短<sup>[54]</sup>。但FLAURA研究等关键临床试验的结果表明,无论PD-L1表达水平如何,奥希替尼均能带来显著获益<sup>[55]</sup>。有充分证据表明,PD-L1阳性可降低EGFR-TKI疗效可能与TMB升高相关,TMB升高不仅提高了新抗原数量和T细胞活性,也伴随PD-L1表达增强,TMB增高通常源于驱动突变和拷贝数变异的增加,这些变异在EGFR之外可能维持肿瘤生长,削弱EGFR靶向治疗的效果<sup>[56]</sup>。上述发现提示,对于驱动基因突变且PD-L1高表达的晚期NSCLC患者,初始治疗策略或应在谨慎评估患者状态的情况下考虑使用TKI联合其他治疗比如免疫治疗,或尽早转换治疗策略以克服耐药。

然而,本研究也存在一些局限性。首先,本研究为单中心回顾性研究,样本量相对较小,尽管我们分析了128例患者的免疫检查点分子表达情况,但样本的异质性和时间的限制可能会影响结果的推广,结果需要更大样本量的验证。其次,未深入探讨PD-L1与其他免疫检查点如TIM-3、LAG-3等

的协同表达模式及其联合预测价值。第三,未能动态监测治疗过程中PD-L1表达的演变情况。最后,在进行TKI治疗的亚组分析时,由于MET-TKI亚组人数较少( $n=4$ ),所以未对MET-TKI亚组进行单独的生存分析。此外,本研究探讨了驱动基因阴性NSCLC患者PD-L1的表达特征及其对患者一线化疗的影响。然而,驱动基因阴性并不等同于分子层面上的真正“野生型”,如*STK11*、*KEAP1*和*TP53*等突变可能出现在这些患者中,影响肿瘤微环境和对免疫治疗的反应。当前队列的一个重要局限是缺乏下一代测序(NGS)数据,无法准确排除生物学上的混杂因素,未来的研究应整合基因组数据,以更深入地分析这些分子特征对治疗效果的影响,为个性化治疗提供更加精准的依据。而且我们的研究主要集中在免疫标志物的表达上,尚缺乏对这些标志物功能机制的深入探讨。未来的研究应进一步扩大样本量,纳入更多的免疫标志物,以前瞻性研究更全面地了解NSCLC淋巴结转移灶中的免疫微

环境,验证转移灶PD-L1表达水平对化疗和靶向治疗疗效的预测价值,还可结合多区域活检与液体活检技术,动态评估标志物表达变化,探索PD-L1与肿瘤微环境内其他细胞组分、信号通路的交互作用,将为晚期NSCLC的个体化治疗提供更全面的理论依据。

本研究揭示了晚期NSCLC患者淋巴结转移灶与原发灶中PD-L1表达的一致性,支持在临床实践中获取原发灶困难时,将转移阳性淋巴结作为检测PD-L1表达水平的可靠替代标本。本研究也进一步提示淋巴结转移灶中PD-L1表达在预测治疗效果方面的重要价值,尤其是在TKI治疗和化疗中;在驱动基因阴性患者中,淋巴结转移灶PD-L1高表达或为化疗获益的正向指标;而在驱动基因阳性患者中,淋巴结转移灶PD-L1高表达则提示TKI疗效不佳。未来的研究应进一步验证淋巴结转移灶PD-L1等检查点标志物在NSCLC治疗中的预测预后作用,开发新的治疗策略以改善NSCLC患者的预后。

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