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3 **Pertuzumab, trastuzumab and eribulin mesylate therapy for previously treated**

4 **advanced HER2-positive breast cancer: a feasibility study with analysis of**

5 **biomarkers**

6

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27 **Keywords:** breast cancer, eribulin mesylate, HER2-positive, trastuzumab,

28 pertuzumab

29 **Abstract**

30 The standard treatment for advanced human epidermal growth factor receptor 2  
31 (HER2)-positive breast cancer is the triple combination of pertuzumab, trastuzumab  
32 and docetaxel, but some patients cannot tolerate taxane. To explore a non-taxane  
33 triple therapy, we conducted a feasibility study of pertuzumab, trastuzumab and  
34 eribulin mesylate (PTE) therapy for previously treated advanced HER2-positive  
35 breast cancer with analyses of quality of life and biomarkers. Ten patients were  
36 enrolled, two of whom had a history of docetaxel allergy. The median number of prior  
37 regimens was 3. The most common Grade 3 toxicities were leukopenia (70%) and  
38 neutropenia (70%). Grade 4 or 5 adverse events were not observed. An improving  
39 trend for the Functional Assessment of Cancer Therapy-Breast (FACT-B) score at 3  
40 months was observed. Eight cases were included in the biomarker analysis. The  
41 peripheral CD8+ T cell/ CD4+Foxp3+ regulatory T cells (Tregs) ratio was significantly  
42 increased ( $p=0.039$ ). The frequency of peripheral Tregs was associated with the  
43 trastuzumab trough concentration ( $p=0.019$ ). In a non-clinical analysis, Eribulin  
44 mesylate significantly inhibited Ser473 Akt phosphorylation in PIK3CA wild-type cells  
45 and mutated cells. These results suggest that PTE therapy is a feasible and  
46 promising option for advanced HER2-positive breast cancer. Further investigation is  
47 warranted.

48

## 49 **Introduction**

50           The triple combination regimen of pertuzumab, trastuzumab and docetaxel is  
51 increasingly common because of its beneficial effects on human epidermal growth  
52 factor receptor 2 (HER2)-positive breast cancer [1-3]. However, this triple therapy is  
53 not appropriate for patients with a history of taxane allergy or those who are refractory  
54 to taxane. Thus, other safe and efficacious regimens combining a non-taxane with  
55 pertuzumab and trastuzumab are needed.

56           Eribulin mesylate is a non-taxane inhibitor of microtubule dynamics of the  
57 halichondrin class of antineoplastic drugs. This drug resulted in significant and  
58 clinically meaningful improvements in overall survival compared with the physician's  
59 treatment of choice for patients with heavily pretreated metastatic breast cancer [4]. In  
60 a phase II study, the combination of trastuzumab and eribulin mesylate as a first-line  
61 therapy exhibited a 71.2% overall response rate (ORR), 11.6 months of  
62 progression-free survival (PFS) and an acceptable safety profile for locally recurrent  
63 or metastatic HER2-positive breast cancer [5]. Another study using an eribulin  
64 mesylate and trastuzumab combination reported a similar ORR and safety profile for  
65 HER2-positive breast cancer [6]. Eribulin mesylate and trastuzumab treatment is safe  
66 and yields a promising outcome for Japanese patients with HER2-positive breast  
67 cancer [7]. These data suggest that pertuzumab, trastuzumab and eribulin mesylate

68 (PTE) could be promising as a treatment of advanced HER2-positive breast cancer.

69           The mechanism underlying prolonged overall survival in breast cancer  
70 patients treated with eribulin mesylate remains unclear. It is known that the serum  
71 HER2 extracellular domain (sHER) level, PIK3CA gene mutation status and  
72 trastuzumab concentration are associated with resistance to trastuzumab [8, 9]. The  
73 peripheral regulatory T cell (Treg) frequency is associated with a poor response [10],  
74 and tumor-infiltrating Tregs were correlated with decreased survival in breast cancer  
75 [11, 12].

76           Based on these findings, we conducted a feasibility study of PTE  
77 chemotherapy for previously treated advanced HER2-positive breast cancer,  
78 including an analysis of quality of life (QOL) and concomitant analysis of biomarkers  
79 such as sHER2 levels, PIK3CA gene mutation status and circulating Treg levels.

80

## 81 **Results**

82

### 83 *Patient characteristics*

84           Ten patients were enrolled from October 2013 to January 2015 (Supplemental  
85 Figure 1). The patient characteristics are presented in Table 1. The median age of the  
86 patients was 60 years (range: 35-75), and the median follow-up time was 14.7

87 months (range: 6.9-26.6). Two patients had a history of docetaxel allergy. The median  
88 number of prior regimens for metastatic disease was 3 (1-10). The median number of  
89 prior chemoregimens for metastatic disease was 3 (0-5). One patient developed lung  
90 and lymph metastases one year after adjuvant trastuzumab completion and under  
91 adjuvant tamoxifen.

92

### 93 *Dosage*

94 The median number of PTE cycles was 6 (3-11). Eight patients reduced their  
95 eribulin mesylate doses from 1.4 mg/m<sup>2</sup> to 1.1 mg/m<sup>2</sup> due to adverse events (AEs)  
96 (two patients), skipped day 8 of eribulin mesylate therapy (four patients), or were  
97 treated with the physician's treatment of choice (two patients). Five patients were  
98 administered ≤2.0 mg/body/day eribulin mesylate in the first cycle. Among these five  
99 patients, two required a dose reduction. All five patients whose eribulin mesylate  
100 dosage was >2.0 mg/body/day in the first cycle required a dose reduction. The  
101 dosages of pertuzumab and trastuzumab were not modified.

102

### 103 *AEs*

104 The common (≥30%) treatment-related AEs included leukopenia, neutropenia,  
105 lymphopenia, diarrhea, hypokalemia, mucositis, dysgeusia, nausea, and skin

106 disorder (Table 2). Grade 3 AEs included leukopenia (seven patients), neutropenia  
107 (eight patients), lymphopenia (two patients), febrile neutropenia (one patient),  
108 hypokalemia (one patient) and peripheral neuropathy (1 patient) (Table 2). Grade 4 or  
109 5 AEs were not observed.

110           Symptoms of cardiac failure were not observed. Left ventricular ejection  
111 fraction (LVEF) decreases below 50% were not observed. One patient had mild  
112 segmental hypokinesia. Her LVEF values at baseline and after treatment were 55%  
113 and 52%, respectively. She recovered 4 months after PTE discontinuation. One  
114 patient had a grade 2 corrected QT interval prolongation.

115

116 *QOL*

117           The QOL of nine patients could be assessed. Scores at baseline and 3 months  
118 after the first PTE therapy were the Functional Assessment of Cancer Therapy-Breast  
119 (FACT-B) TOI (pre, 51.3; post, 58.3), FACT-G (pre, 65.3; post, 72.0) and FACT-B total  
120 score (pre, 84.7; post, 93.2). These scores exhibited an improving trend at 3 months,  
121 but this trend was not statistically significant (Figure 1).

122

123 *Efficacy*

124           The median PFS was 4.8 months (95% confidence interval: 3.7-5.9). One

125 complete response (CR), one partial response (PR) and five cases of stable disease  
126 (SD) were observed (Table 3). Two patients (one CR and one SD) stopped eribulin  
127 mesylate and received trastuzumab and pertuzumab as maintenance therapy. These  
128 patients had a PFS of more than 2 years. At 3 months, all three patients with  
129 progressive disease (PD) developed brain metastasis. Of the three PD patients, two  
130 patients had extracranial progressive lesions, and the remaining patient had a PR for  
131 extracranial disease.

132

### 133 *Flow cytometric analysis of PBMCs*

134 Eight cases were available for flow cytometric analysis. At 3 months, the Treg  
135 frequency exhibited a tendency to decrease ( $p=0.052$ ) (Figure 2A). In addition, the  
136 CD8+ T cell/Treg ratio was significantly increased ( $p=0.039$ ) (Figure 2B). The  
137 frequencies of GITR-, CTLA-4- or PD-1-positive T cells were not altered  
138 (Supplemental Figure 2). The frequencies of naïve, CM, EM or TEMRA T cells were  
139 also unchanged (data not shown).

140

### 141 *Correlation between trastuzumab trough concentration and Treg change*

142 Among the 10 enrolled patients, eight serum samples were available. The  
143 average trastuzumab concentration of two cases who received a



144 non-trastuzumab-containing regimen immediately before PTE therapy was less than  
145 0.1 µg/mL before treatment. However, the average trastuzumab concentration of  
146 patients who received a trastuzumab-containing regimen immediately before PTE  
147 therapy was 1.26 µg/mL (range: 0.21-2.16). The average trastuzumab trough  
148 concentration at 3 months (immediately before the next cycle) was 1.99 µg/mL  
149 (range: 0.55-3.18). With the exception of one case, the concentration of each case at  
150 3 months was increased compared with that at baseline. The sHER values were  
151 assessed in eight cases. At baseline, two cases had normal sHER values (upper  
152 normal limit; 15.2 µg/mL), and six cases had increased sHER values. At 3 months, all  
153 six cases exhibited decreased sHER values: four cases were in the normal range;  
154 one case exhibited extreme reduction from 314.0 µg/mL to 33.4 µg/mL; and one case  
155 exhibited a moderate decrease from 187.0 µg/mL to 159.0 µg/mL. A strong negative  
156 correlation was noted between the trastuzumab trough concentration at 3 months and  
157 the baseline sHER value ( $r=-0.798$ ) (Figure 3A). No correlation between the  
158 trastuzumab trough concentration at 3 months and PFS was noted ( $r=0.192$ ) (Figure  
159 3B).

160         The Treg change ratio and sHER change were not significantly correlated  
161 ( $p=0.086$ ) (Figure 4A). However, a strong negative correlation was noted between the  
162 trastuzumab trough concentration at 3 months and the Treg change ( $p=0.019$ ) (Figure

163 4B).

164

165 *Inhibition of Akt signaling by eribulin mesylate*

166 A basic research study using breast cancer cell lines was conducted as a  
167 non-clinical collaborative study between Mie University and Eisai Co., Ltd. Paclitaxel  
168 exhibited an increased 50% inhibitory concentration (IC<sub>50</sub>) in PIK3CA mutant cell lines  
169 compared with the PIK3CA wild-type cell line. The IC<sub>50</sub> of eribulin mesylate in the  
170 PIK3CA mutant cell line BT-474 was similar to that in the PIK3CA wild-type cell line  
171 SK-BR-3 (Figure 5). The IC<sub>50</sub> of eribulin mesylate in another PIK3CA mutant cell line,  
172 namely, MDA-MB-361, was not assessable due to slow cell growth. Eribulin mesylate  
173 significantly inhibited Ser473 Akt phosphorylation in PIK3CA wild-type cells and  
174 mutated cells. In contrast, paclitaxel did not exhibit significant inhibition of Ser473 Akt  
175 phosphorylation (Figure 5 and Supplemental Figure 3).

176

177 **Discussion**

178 In the present study, we attempted to evaluate the feasibility of PTE  
179 chemotherapy for previously treated advanced HER2-positive breast cancer and to  
180 analyze QOL and biomarkers such as sHER2 levels, PIK3CA gene mutation status  
181 and circulating Tregs. Eribulin mesylate is an attractive cytotoxic agent because it

182 offers overall survival benefits for previously treated patients with breast cancer [4].

183 The overall survival benefit of eribulin mesylate was reproduced in patients with

184 advanced sarcoma [13]. Pertuzumab is a humanized anti-HER2 monoclonal antibody

185 [14, 15] and acts as a complementary drug of trastuzumab [16]. In the CLEOPTRA

186 trial, the addition of pertuzumab to trastuzumab and docetaxel resulted in superior

187 overall survival [3]. These data suggest that PTE is a promising regimen for advanced

188 HER2-positive breast cancer. In our study, manageable tolerability was found for PTE

189 therapy (Table 2), and the QOL (Figure 1) of patients with advanced HER2-positive

190 breast cancer was maintained. The most common grade 3 AEs were leukopenia and

191 neutropenia, which were reported as frequent severe AEs in previous studies of

192 eribulin monotherapy or in combination with trastuzumab [4-7]. A dose reduction of

193 eribulin mesylate was needed due to neutropenia in our study, and the need for dose

194 reduction might be influenced by prior chemotherapy. When PTE therapy is

195 administered to heavily pretreated HER2-positive breast cancer patients, 1.1 mg/m<sup>2</sup>

196 or ≤ 2.0 mg/body eribulin mesylate might be a reasonable dosage. The common

197 (≥30%) non-hematologic AEs were diarrhea, hypokalemia, mucositis, dysgeusia,

198 nausea, and skin disorder. The incidence of diarrhea in PTE therapy was higher than

199 that of eribulin mesylate monotherapy but comparable with that reported in the

200 CLEOPATRA study, suggesting that diarrhea is not enhanced by eribulin mesylate.

201 Although the sample size of our study is too small to assess efficacy, PTE therapy  
202 had one CR, one PR and five SD (Table 3), and two patients who received  
203 trastuzumab and pertuzumab as maintenance therapy had a PFS of more than 2  
204 years. Araki et al. recently reported a phase II clinical study of the combination  
205 therapy of pertuzumab, trastuzumab and eribulin mesylate [17]. In their trial, the ORR  
206 was 34.8%, and the PFS was 42.6 weeks. Thus, PTE therapy might be an alternative  
207 for HER2-positive breast cancer patients who are not candidates for taxane treatment.  
208 A phase III clinical study comparing pertuzumab, trastuzumab and eribulin mesylate  
209 combination therapy with pertuzumab, trastuzumab and paclitaxel or docetaxel  
210 conducted by the Japan Breast Cancer Research Group is ongoing  
211 (UMIN000027938) in Japan. This clinical trial will answer whether the PTE therapy  
212 serves as an alternative to paclitaxel or docetaxel, pertuzumab and trastuzumab.

213 The majority of HER2-positive metastatic breast cancer patients who achieve  
214 an initial response to trastuzumab develop resistance within 1 year [18]. Elucidation  
215 of the mechanisms of trastuzumab resistance is needed to improve the survival of  
216 HER2-positive breast cancer patients. One of the mechanisms of resistance to  
217 trastuzumab is an insufficient trastuzumab concentration [9]. Zabrecky et al. reported  
218 that sHER competes against trastuzumab in binding to a HER2-positive breast  
219 cancer cell line in vitro [19]. A previous report demonstrated that high sHER levels

220 correlate with worse prognosis in patients receiving trastuzumab. Pertuzumab binds  
221 to HER2 extracellular domain II, which might reduce the sHER levels and increase  
222 both the serum trastuzumab concentration and trastuzumab binding to HER2-positive  
223 cancer cells. However, a high sHER level was identified as a factor for poor prognosis  
224 in the CLEOPATRA trial [20]. Thus, we hypothesized that sHER competes with  
225 trastuzumab for binding to HER2-positive cancer cells under pertuzumab and  
226 trastuzumab therapy. As shown in Figure 3A, a strong relationship was noted  
227 between the baseline sHER and the serum trastuzumab trough concentration at 3  
228 months. Unfortunately, no significant relationship was noted between the serum  
229 trastuzumab trough concentration at 3 months and PFS (Figure 3B). This finding  
230 might be affected by other factors, such as Fcγ receptor polymorphisms [21] and the  
231 ESR1 level [22].

232         PIK3CA mutation is a poor prognostic factor in HER2-positive breast cancer  
233 [23, 24], and this finding was also confirmed in the CLEOPATRA trial [20]. Eribulin  
234 mesylate inhibited Akt signaling in PIK3CA-mutated cells, and this inhibition was  
235 comparable with that observed in PIK3CA wild-type cells (Figure 5). In this study,  
236 eight patients were assessed for PIK3CA status. Four patients had wild-type PIK3CA,  
237 and four patients had a mutant type. Of the four patients with PIK3CA mutations in  
238 our study, three had SD, and one had PD. One had a PFS of more than 3 years.

239 These findings suggested that PTE triple agent therapy might be an effective  
240 treatment for HER2-positive breast cancer patients with either wild-type or mutated  
241 PIK3CA.

242 We observed a significant increase in the CD8+ T cells/Tregs ratio and a trend  
243 of reduced Tregs following PTE therapy. The cause of Treg reduction is an  
244 unresolved question. Perez et al. reported a strong positive correlation between Treg  
245 change and sHER change during trastuzumab therapy [10]. They hypothesized that  
246 sHER was eliminated from the circulation via antigen-trastuzumab complex formation  
247 and uptake by phagocytes through Fcγ receptor binding. Reduced circulating antigen  
248 subsequently reduces the expansion of antigen-specific Tregs [25, 26]. Trastuzumab  
249 and sHER complex formation could also lead to activation, maturation, and enhanced  
250 antigen cross-presentation by antigen-presenting cells [27, 28]. In our study, the  
251 correlation between Treg change and sHER change during PTE therapy was not  
252 confirmed (Figure 4A). Given that the response rate was 20%, the sHER level would  
253 not be affected by the tumor burden. Of the eight PBMC-assessable patients, six  
254 received a trastuzumab-containing regimen immediately before PTE therapy,  
255 suggesting that Treg reduction might be induced by eribulin mesylate. Eribulin  
256 mesylate could inhibit the transforming growth factor-beta (TGF-β) signaling pathway  
257 by decreasing TGF-β and/or Smad3 phosphorylation. TGF-β induced Foxp3 gene

258 expression in T cell receptor-challenged CD4<sup>+</sup>CD25<sup>-</sup> naïve T cells, mediating their  
259 transition toward Tregs [29]. Ueda et al. reported that eribulin mesylate reduced the  
260 blood TGF- $\beta$  concentrations in advanced breast cancer patients [30]. Eribulin  
261 mesylate could also reduce Smad2 and Smad3 phosphorylation [31]. Smad3 and/or  
262 Smad4 are required for TGF- $\beta$ -mediated induction of Foxp3 in naïve CD4<sup>+</sup> T cells  
263 [32]. These data supported the hypothesis that eribulin mesylate suppresses Treg  
264 induction via inhibition of the TGF- $\beta$ /Smad pathway. Further investigation of this  
265 hypothesis is needed. The small sample size is a limitation of the Treg analysis.  
266 Further investigations are needed to confirm the increase in the CD8<sup>+</sup> T cells/Tregs  
267 ratio after PTE therapy.

268         Although Tregs were reduced during PTE therapy, we did not observe any  
269 indications of T cell activation, such as significant changes in T cell subsets (naïve,  
270 CM, EM and TEMRA) and checkpoint molecule expression (CTLA-4, GITR, and  
271 PD-1), in peripheral blood (Supplemental Figure 2). Because PBMCs in our flow  
272 cytometric analysis were prepared by freeze-thawing under unstimulated conditions,  
273 the expression of checkpoint molecules might be underestimated. These data  
274 suggested that T cell activation mediated by the additions of checkpoint inhibitors to  
275 PTE therapy could enhance the anti-tumour effects. A strong negative correlation was  
276 noted between the trastuzumab trough concentration at 3 months and the Treg

277 change (Figure 4B). Petricevic et al. reported that antibody-dependent cellular  
278 cytotoxicity activity was similar during trastuzumab treatment [33]. Increased  
279 trastuzumab concentrations could enhance Fcγ-mediated activation of  
280 tumour-associated macrophage cytotoxicity [34, 35] and induce tumour-specific  
281 CD8+ T cells [36]. Activated macrophages might also induce tumour-specific CD4+  
282 helper T cells, resulting in a relative reduction in Tregs. Analysis of macrophages and  
283 T cells in the tumor microenvironment and regional lymph nodes is needed.

284         Although the sample size of this study was small, this is the first report of QOL  
285 and Treg analyses in advanced HER2-positive breast cancer patients who received  
286 PTE therapy, and the results showed that PTE therapy maintained the QOL of  
287 patients with advanced HER2-positive breast cancer. PTE therapy might be a feasible  
288 option for advanced HER2-positive breast cancer patients, but further investigation is  
289 warranted.

290

## 291 **Materials & methods**

292

### 293 *Patients and treatment*

294         This was a single-institutional, open-label feasibility study of PTE for previously  
295 treated advanced HER2-positive breast cancer. Patients with a HER2-positive status



296 [immunohistochemistry (IHC) 3+ or fluorescence in situ hybridization (FISH)  $\geq 2.0$ ];  
297 aged 20-80 years; a performance status (PS) (ECOG scale) of 0-2; an LVEF  $\geq 50\%$ ; a  
298 history of one or more cytotoxic agents and anti-HER2 therapy, including  
299 neo-adjuvant and adjuvant therapy; and adequate organ functions were enrolled.  
300 Patients with a history of eribulin mesylate use during the 6 months prior to consent or  
301 symptomatic brain metastasis were excluded.

302 Patients were treated with pertuzumab (840 mg loading, then 420 mg, day 1),  
303 trastuzumab (8 mg/kg loading, then 6 mg/kg, day 1), and eribulin mesylate (1.4  
304 mg/m<sup>2</sup>, day 1 and 8) every 3 weeks. A two-step dose reduction of eribulin mesylate  
305 (starting dose 1.4 mg/m<sup>2</sup>, to 1.1 mg/m<sup>2</sup>, then to 0.7 mg/m<sup>2</sup>) was performed, and this  
306 approach was based on the criteria of the Japanese user guide recommended by  
307 Eisai Inc. (<http://onc.eisai.jp/halaven/halaven/>). The dose of eribulin mesylate was  
308 reduced when the patients developed febrile neutropenia, grade 3-5 non-hematologic  
309 toxicity or skipped eribulin mesylate administration on day 8 due to a neutrophil count  
310  $< 1000/\text{mm}^3$ .

311 The primary end point of this study was the safety of PTE therapy. Secondary  
312 end points were responses, PFS, and QOL (FACT-B). The projected sample size was  
313 10 patients, as this was a feasibility study of a novel triple therapy for previously  
314 treated advanced HER2-positive breast cancer.

315 The protocol was reviewed and approved by the Institutional Review Board  
316 and conducted in accordance with the Declaration of Helsinki and applicable laws. All  
317 patients provided signed informed consent before registration [*Clinical Trial*  
318 *Registration Number*: UMIN000012018 (Registration Date: Oct 10, 2013)].

319

### 320 *Assessment*

321 AEs were assessed according to the National Cancer Institute Common  
322 Terminology Criteria for Adverse Events version 4.0. LVEF was assessed by cardiac  
323 ultrasonography every 3 months.

324 QOL was assessed using the FACT-B [37] prior to treatment and 3 months  
325 after PTE therapy. Japanese FACT-B version 4 consists of 37 items that are divided  
326 into five subscales: physical well-being (PWB; seven items, 0–28 points),  
327 social/family well-being (SWB; seven items, 0–28 points), emotional well-being  
328 (EWB; six items, 0–24 points), functional well-being (FWB; seven items, 0–28 points),  
329 and a breast cancer subscale (BCS; 10 items, 0–36 points). The FACT-B Trial  
330 Outcome Index (TOI), FACT-G Total score and FACT-B Total score were calculated  
331 as follows:

- 332 ● FACT-B TOI = (PWB score) + (FWB score) + (BCS score) (0-92 points)
- 333 ● FACT-G Total score = (PWB score) + (SWB score) + (EWB score) + (FWB

334 score) (0-108 points)

335 ● FACT-B Total score = (PWB score) + (SWB score) + (EWB score) + (FWB  
336 score) + (BCS score) (0-144 points)

337 High scores indicate a better QOL.

338 Computed tomography was performed every 3 months. Responses were  
339 assessed by Response Evaluation Criteria In Solid Tumors (RECIST) v1.1.

340

#### 341 *Sample analysis*

342 Peripheral blood mononuclear cells (PBMCs) and serum were collected before  
343 and 3 months after the first PTE treatment (immediately before the next cycle).

344 Separated serum was cryopreserved. We investigated the serum trastuzumab

345 concentration, sHER value, and immune status. The serum trastuzumab

346 concentration was measured by sandwich enzyme-linked immunosorbent assay as

347 follows: anti-trastuzumab antibodies were coated onto immunoplates at a

348 concentration of 0.1 µg/50 µl. The collected serum samples were diluted from 1:4,000

349 to 1:1,024,000. After the plates were washed, goat anti-human IgG (H + L chain)

350 (MBL, Nagoya, Japan) and IgG-peroxidase (The Binding Site, San Diego, CA, USA)

351 were added. After the TMB substrate (Pierce, Rockford, IL, USA) was added, the

352 plate was assessed with a microplate reader (model 550; Bio-Rad, Hercules, CA

353 USA). The trastuzumab concentration of each sample was measured thrice, and the  
354 average value was used for the analyses. The sHER value was determined using  
355 chemiluminescent immunoassays as described by SRL Inc. (Tokyo, Japan).

356 PBMCs were isolated from peripheral blood by density gradient centrifugation  
357 and stored at  $\leq -80^{\circ}\text{C}$ . The immune status was assessed by flow cytometry analysis.

358 After thawing of frozen PBMCs, aliquots containing  $0.8\text{-}9.6 \times 10^5$  PBMCs were  
359 suspended in 100  $\mu\text{L}$  of staining buffer (phosphate buffered saline containing 2% fetal  
360 bovine serum). Antibodies for surface markers were then added, and the plates were  
361 then incubated for 15 minutes on ice. For intracellular protein (CTLA-4 and FOXP3)  
362 staining, we used the True-Nuclear<sup>TM</sup> Transcription Factor Staining Procedure  
363 (BioLegend, San Diego, CA, USA). The following antibodies were used: CD3-Brilliant  
364 Violet 711, CD4–Alexa Fluor 700, CD8a-Brilliant Violet 785, CD45RA-FITC,  
365 FOXP3-PE, CTLA-4-PE-Cy7, GITR–APC, PD-1-Brilliant Violet 421, and  
366 CCR7-Brilliant Violet 605 (BioLegend, San Diego, CA, USA). Isotype controls  
367 included the appropriate fluorochrome-conjugated mouse IgG1/ $\kappa$ , IgG2a/ $\kappa$ , or  
368 IgG2b/ $\kappa$ . Stained cells were detected using an LSR II Fortessa with FACS Diva  
369 software (BD Biosciences). The data were analyzed using FlowJo software (Tree Star,  
370 Ashland, OR, USA). The Treg subset was defined as CD3+CD4+FOXP3+ cells. T  
371 cells were classified as naïve (CD45RA+CCR7+), central memory (CM;

372 CD45RA-CCR7+), effector memory (EM; CD45RA-CCR7-), and terminally  
373 differentiated effector cells (TEMRA; CD45RA+CCR7-) [38]. Appropriate isotype  
374 controls served as the cut-off levels between positivity and negativity. A positive gate  
375 was set to include less than 0.1% of cells in each specimen with a matched isotype  
376 control.

377

### 378 *Cell lines*

379 SK-BR-3, BT-474 and MDA-MB-361 breast cancer cell lines were purchased  
380 from American Type Culture Collection. SK-BR-3, BT-474 and MDA-MB-361 cells  
381 were grown in McCoy's 5A Medium supplemented with 10% fetal bovine serum (FBS),  
382 Hybri-Care Medium supplemented with FBS and DMEM/F12 medium supplemented  
383 with FBS, respectively. In total, 100 units/ml penicillin and 100 µg/ml streptomycin  
384 were added to all culture media. The cultures were maintained at 37°C in a humidified  
385 atmosphere of 5% CO<sub>2</sub> and 95% air.

386

### 387 *Western blot assay*

388 Briefly, SK-BR-3, BT-474 and MDA-MB-361 cells were seeded in six-well  
389 plates or 10-cm dishes in complete culture media for overnight incubation. The cells  
390 were treated with DMSO or each concentration of eribulin mesylate or paclitaxel for

391 24 hours. The cells were then lysed with 1x cell lysis buffer (Cell Signaling Technology,  
392 Inc., Danvers, MA, USA) plus 1 mM PMSF or RIPA buffer containing protease  
393 inhibitor cocktail (Roche Diagnostics, Mannheim, Germany) and Halt phosphatase  
394 inhibitor cocktail (Thermo Fisher Scientific, Waltham, MA, USA). The cell lysates were  
395 cleared by centrifugation, and the protein concentration was measured using the  
396 Bio-Rad Protein Assay (Bio-Rad, Hercules, CA, USA) or BCA assay (Thermo Fisher  
397 Scientific Inc., Waltham, MA, USA). The proteins were denatured in 4x sample buffer  
398 (Thermo Fisher Scientific Inc., Waltham, MA, USA), separated by SDS-PAGE and  
399 transferred onto nitrocellulose membranes or PVDF membranes. After blocking, the  
400 membranes were incubated with anti-phospho-Akt (Ser473) (Cell Signaling  
401 Technologies), anti-Akt (Cell Signaling Technologies), and anti- $\beta$ -actin antibodies  
402 (Santa Cruz or Cell Signaling Technologies) at the recommended concentration  
403 overnight. Anti-rabbit IgG (LI-COR, Inc., Lincoln, NE, USA or Santa Cruz) and  
404 anti-mouse IgG (LI-COR) were used as secondary antibodies. Immunoreactive bands  
405 were visualized with an image analyzer (LI-COR Odyssey Fc Imaging System;  
406 LI-COR, Inc., Lincoln, NE, USA or LAS 4000; Fuji Film, Tokyo, Japan).

407

#### 408 *Statistical analysis*

409 The data for patients who were alive or lost to follow-up were censored at the

410 last date. The Kaplan–Meier method was used to estimate the PFS. The Wilcoxon  
411 signed-rank test was used to assess the QOL scores at baseline and 3 months after  
412 the first PTE treatment. Correlation coefficients for the serum trastuzumab  
413 concentration and the sHER value, the serum trastuzumab concentration and PFS,  
414 the serum trastuzumab concentration and Treg change ratio (3 months/baseline), and  
415 the Treg change ratio (3 months/baseline) and sHER change (3 months - baseline)  
416 \*100 / (baseline) were calculated. The paired t-test was used for comparisons of the  
417 immune statuses. All analyses were performed with IBM SPSS Statistics, version 23  
418 (IBM Japan, Ltd.).

419

420 **Abbreviations:** AEs, adverse events; CR, complete response; FACT-B, Functional  
421 Assessment of Cancer Therapy-Breast; FBS, fetal bovine serum; FISH, fluorescence  
422 in situ hybridization; HER2, human epidermal growth factor receptor 2; IC<sub>50</sub>, 50%  
423 inhibitory concentration; IHC, immunohistochemistry; ORR, overall response rate;  
424 PBMCs, peripheral blood mononuclear cells; PD, progressive disease; PFS,  
425 progression-free survival; PR, partial response; PS, performance status; PTE,  
426 pertuzumab, trastuzumab and eribulin mesylate; QOL, quality of life; RECIST,  
427 Response Evaluation Criteria In Solid Tumors; TGF-β, transforming growth  
428 factor-beta; TOI, Trial Outcome Index; Tregs, regulatory T cells; SD, stable disease;

429 sHER2, serum HER2 extracellular domain.

430

431 **Authors' contributions:** MI, ST and TM contributed to the design of the study. As  
432 members of the study steering committee, YT, MI, YM, ST, TM and NK oversaw the  
433 conduct of the study. MI, ST, HO, YY and TM contributed substantially to patient  
434 recruitment. YT, MI, YM, IT, HI, HS and NK contributed to data collection and  
435 analyses. YT, MI, TM and NK interpreted the data. YT performed the statistical  
436 analyses. YT and MI wrote the manuscript. MI conducted a non-clinical collaborative  
437 study between Mie University and Eisai Co., Ltd. All authors contributed to draft  
438 revisions, had full access to the data, attest to the accuracy and integrity of the data,  
439 and read and approved the final manuscript.

440

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444

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446 and Chugai Co., Ltd. The others have declared that no competing interests exist.  
447 Western blot assays using breast cancer cell lines were conducted as a non-clinical



448 collaborative study between Mie University and Eisai Co., Ltd., after completion of the

449 PTE clinical trial.

450

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454

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609

610 **Table 1: Patient Characteristics.**

No. of patients, total	10	
Median age, years (range)	60 (35-75)	
	N	%
Sex, female	10	100
ECOG PS		
0	5	50
1	5	50
History of chemotherapy		
Anthracycline	5	50
Taxane *	10	100
Trastuzumab	10	100
(within 3 months of PTE)	8	80
Lapatinib	5	50
(within 3 months of PTE)	2	20
Histology		
Invasive ductal carcinoma	10	100
Hormone receptor and HER2 status		
ER+ PgR+ HER2+	4	40
ER+ PgR- HER2+	2	20
ER- PgR- HER2+	4	40
Median No. of prior regimens for metastatic disease (range)	3 (1-10)	
Median No. of prior chemoregimens for metastatic disease (range)	3 (0-5)	

611 \* Two patients had a history of docetaxel allergy.

612 Abbreviations: ER, estrogen receptor; PgR, progesterone receptor.

613 **Table 2: Treatment-Related Adverse Events (N=10).**

	All grades (%)	Grade 3 (%)	Grade 4 (%)
<b>Non-hematologic toxicities</b>			
Diarrhea	7 (70)	0	0
Hypokalemia	7 (70)	1 (10)	0
Hypertension	2 (20)	2 (20)	0
ALT increased	4 (40)	0	0
γ-GTP increased	4 (40)	0	0
AST increased	3 (30)	0	0
Mucositis	3 (30)	0	0
Dysgeusia	3 (30)	0	0
Nausea	3 (30)	0	0
Skin disorder	3 (30)	0	0
Hyperkalemia	2 (20)	0	0
Vomiting	2 (20)	0	0
Febrile neutropenia	1 (10)	1 (10)	0
Peripheral neuropathy	1 (10)	1 (10)	0
ALP increased	1 (10)	0	0
Malaise	1 (10)	0	0
Appetite loss	1 (10)	0	0
Stomach pain	1 (10)	0	0
Myalgia	1 (10)	0	0
QTc interval prolonged	1 (10)	0	0
<b>Hematologic toxicities</b>			
Leukopenia	8 (80)	7 (70)	0
Neutropenia	8 (80)	7 (70)	0
Lymphopenia	7 (70)	2 (20)	0
Anemia	2 (20)	0	0
Platelet count decreased	1 (10)	0	0

614

615 **Table 3: Response.**

	No. of patients (%)	95% CI (%)
CR	1 (10)	
PR	1 (10)	
SD	5 (50)	
PD	3 (30)	
Objective response rate	2 (20)	2.5-55.6
Disease control rate	7 (70)	34.8-93.3

616 Abbreviations: CR, complete response; PR, partial response; SD, stable disease;

617 PD, progressive disease; CI, confidence interval.

618

619 **Figure Legends**

620 **Figure 1: QOL assessment.** The FACT-B Trial Outcome Index (TOI), FACT-G Total  
621 score and FACT-B Total score at baseline and 3 months after first PTE therapy are  
622 presented.

623

624 **Figure 2: Analysis of T cell subsets.** The T cell subsets in peripheral blood from five  
625 healthy donors and eight patients before and 3 months after PTE therapy were  
626 assessed. **A.** Frequency of Foxp3 expression in peripheral CD4+ T cells. **B.** CD8+ T  
627 cells/CD4+Foxp3+ Treg ratio.

628

629 **Figure 3: Correlation chart. A.** Between the trastuzumab trough concentration at 3  
630 months and sHER before treatment. **B.** Between the trastuzumab trough  
631 concentration at 3 months and PFS.

632

633 **Figure 4: Correlation chart. A.** Between the Treg change ratio (3 months/baseline)  
634 and sHER change  $\{(3 \text{ months} - \text{baseline}) / \text{baseline}\}$ . **B.** Between the Treg change  
635 ratio (3 months/baseline) and the trastuzumab trough concentration at 3 months.

636

637 **Figure 5: Phosphorylation of Akt. A.**  $IC_{50}$  of SK-BR-3 (PIK3CA wild-type) and

638 BT-474 (PIK3CA mutated-type). MDA-MB-361 (PIK3CA mutated-type) was not  
639 assessable. **B.** Western blot assay assessing Akt phosphorylation. The cell lines  
640 were assayed after 24 hours of cultivation with eribulin mesylate or paclitaxel. The  
641 average of four experiments is presented. The data are the means + SEMs. \*; upper  
642 95% CI <1 in one-sample t-test.

643

644 **Supplemental Figure Legends**

645 **Supplemental Figure 1: Diagram of enrolment.**

646

647 **Supplemental Figure 2: Analysis of T cell subsets.** The T cell subsets in peripheral

648 blood from five healthy donors and eight patients before and 3 months after PTE

649 therapy were assessed. **A.** Frequency of CTLA-4 and GITR expression in peripheral

650 CD4+ T cells. **B.** Frequency of CTLA-4, GITR, and PD-1 expression in peripheral

651 CD8+ T cells.

652

653 **Supplemental Figure 3: Western blotting gel of Akt phosphorylation in Figure 5.**

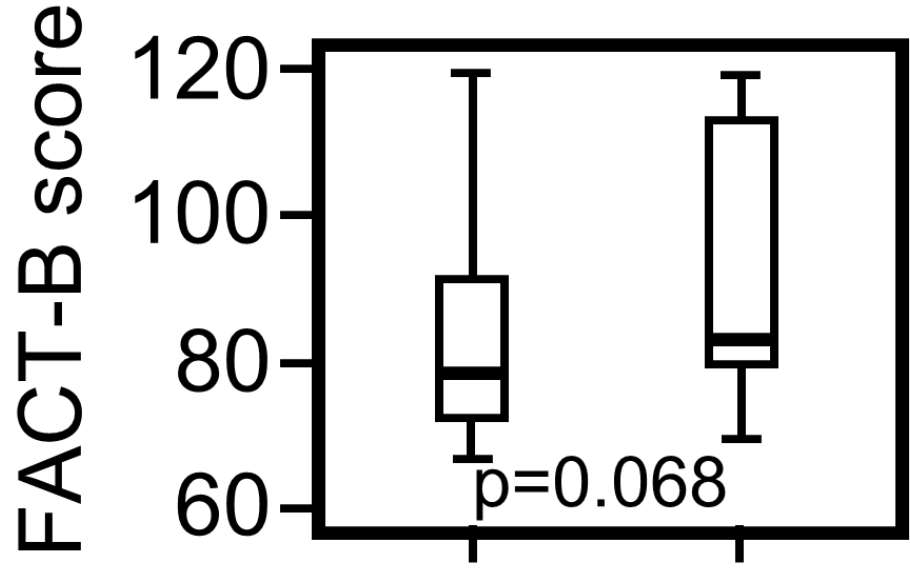
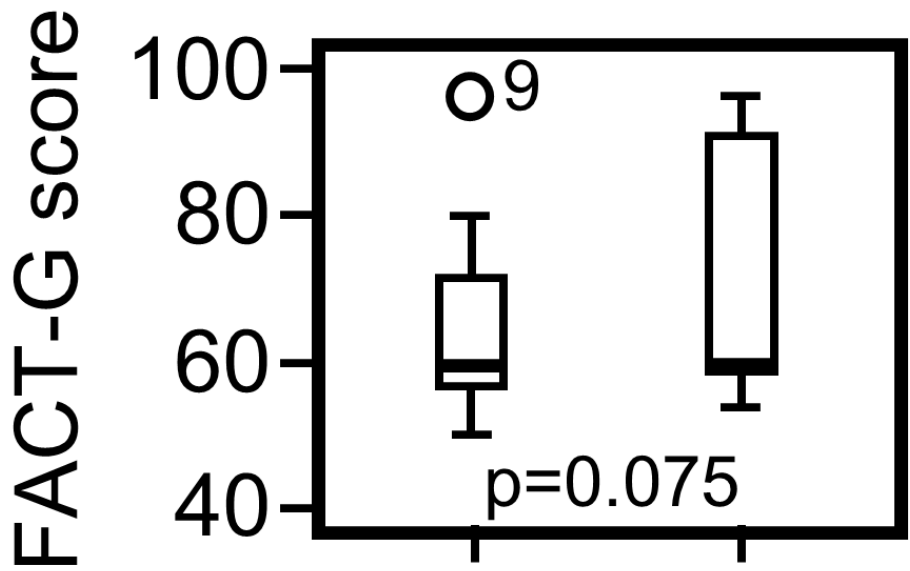
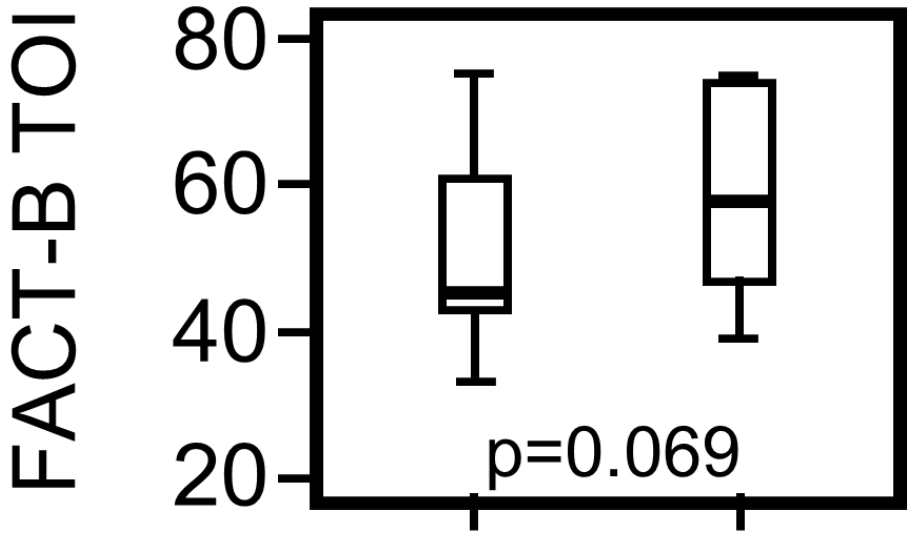


654 Supplemental Table 1: Cell Count of T cells obtained by Flow Cytometry.

		Peripheral blood	Flow cytometry								
		Lymphocyte (/μL)	CD3+ T cells	CD4+ T cells				CD8+ T cells			
				Total	Foxp3+	CTLA-4+	GITR+	Total	CTLA-4+	GITR+	PD-1+
PTE #2	Baseline	1750	9771	6824	70	84	483	762	3	8	4
	3 months	1840	9845	6653	38	191	614	842	20	3	12
PTE #3	Baseline	1170	10000	5071	243	389	1173	2669	333	9	13
	3 months	1630	10000	3828	90	525	877	3189	702	14	12
PTE #5	Baseline	1220	10000	3857	134	578	497	3953	787	23	23
	3 months	1410	8804	3804	101	809	1076	3182	1084	10	27
PTE #6	Baseline	3300	10000	3473	62	202	235	1688	101	6	10
	3 months	2780	10000	5521	50	67	414	1771	51	5	5
PTE #7	Baseline	1640	10000	5176	78	1170	597	1161	460	2	4
	3 months	2160	10000	3305	59	564	426	1904	632	8	23
PTE #8	Baseline	790	10000	7267	89	1558	257	1588	62	4	332
	3 months	830	10000	8219	72	1642	678	982	92	17	178
PTE #9	Baseline	670	6588	3845	109	1177	366	743	92	0	221
	3 months	810	10000	6188	90	1608	455	2080	183	3	292
PTE #10	Baseline	840	10000	6771	67	732	350	2347	80	7	297
	3 months	890	10000	6386	72	1239	200	2342	144	3	474
HD #1			10000	7005	44	1476	416	1946	379	12	17

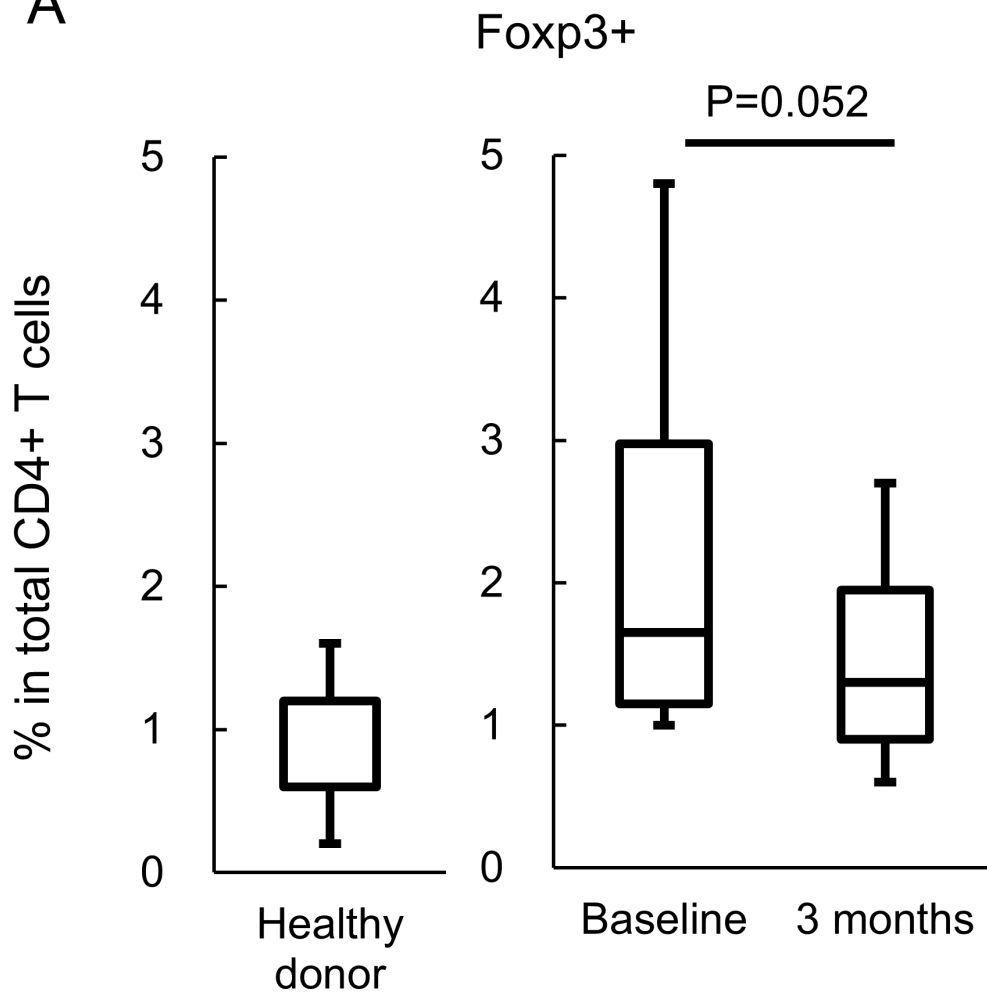
HD #2			7007	3681	45	1467	568	1223	569	19	8
HD #3			10000	3226	8	5	92	1783	7	9	1
HD #4			10000	2889	16	20	114	3525	66	10	3
HD #5			8733	3654	57	28	5.9	2944	59	9	3

655 Abbreviation: HD, healthy donor; PTE, pertuzumab, trastuzumab and eribulin mesylate.

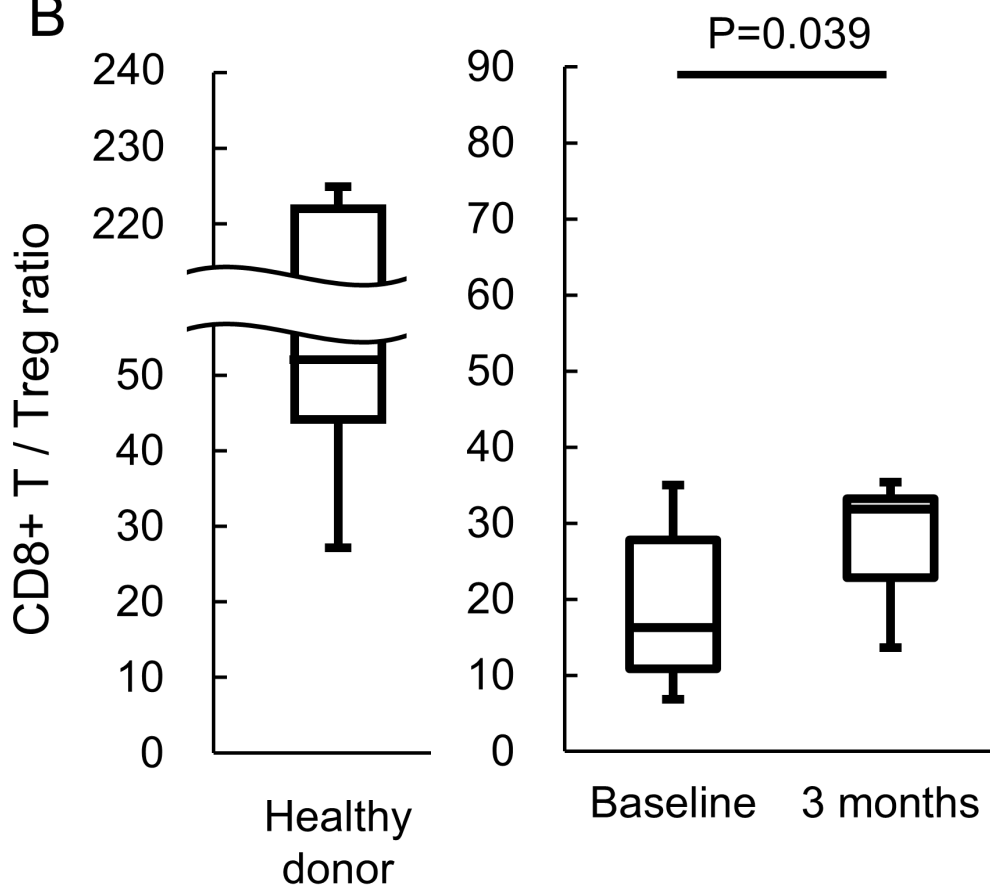


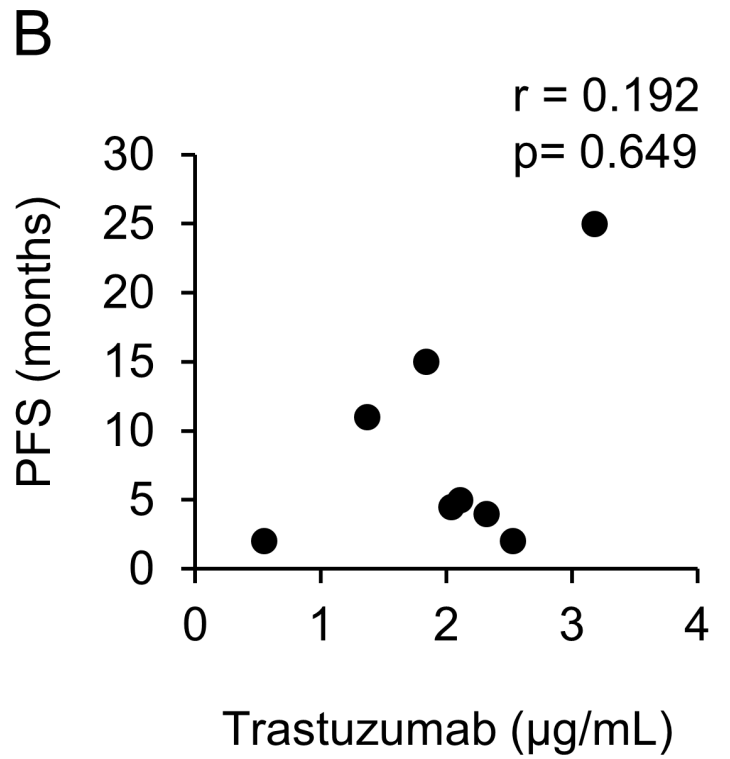
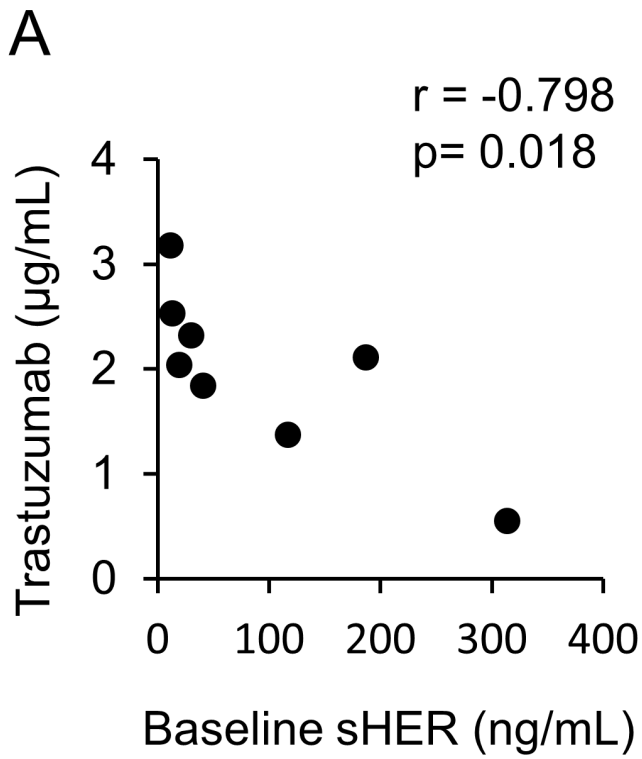
Baseline  
3 months

A

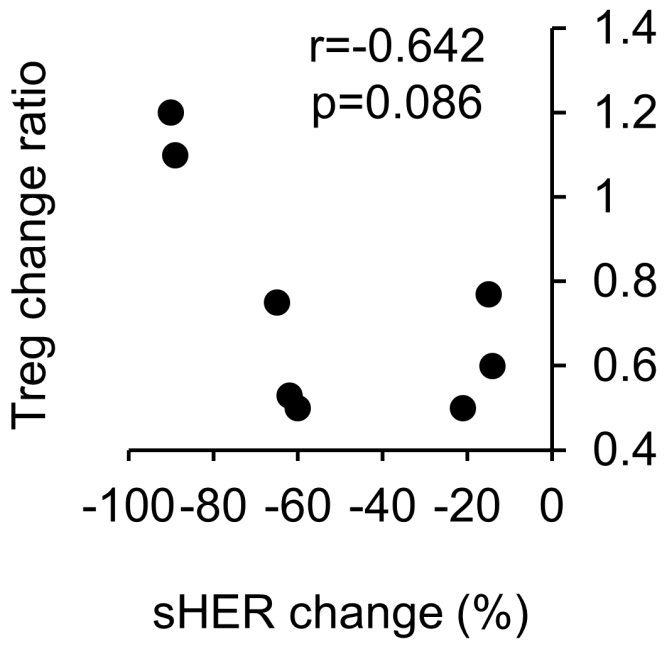


B

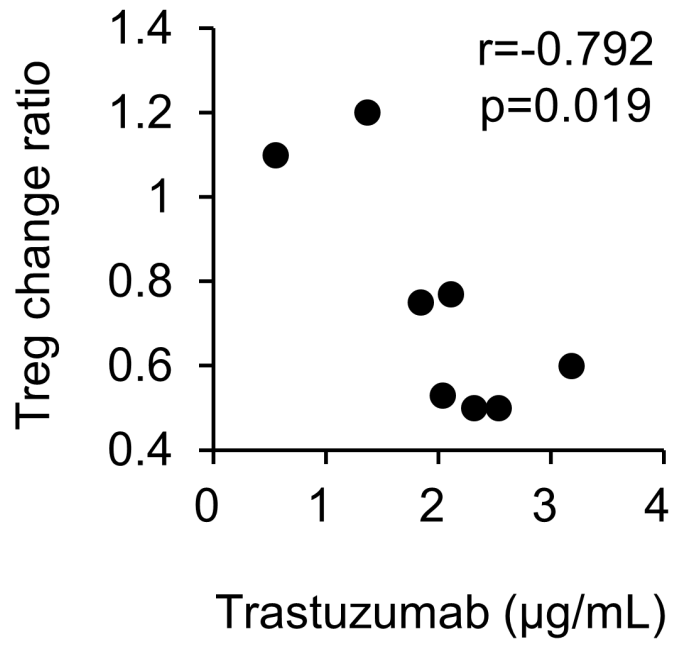




A



B

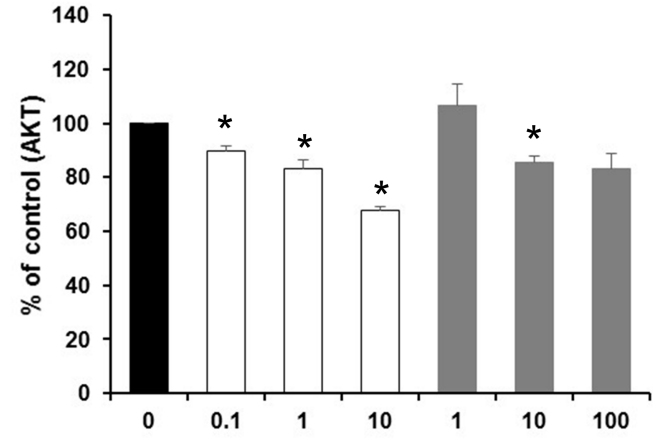
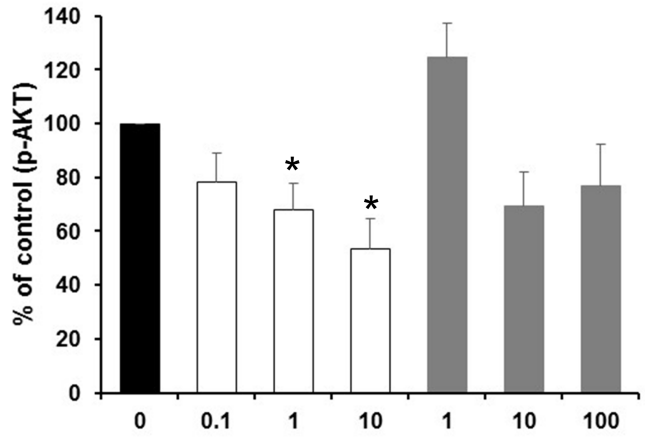


**A**IC<sub>50</sub>(nM)

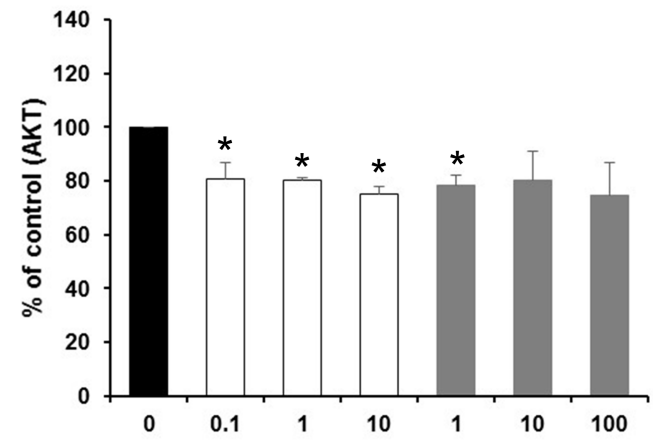
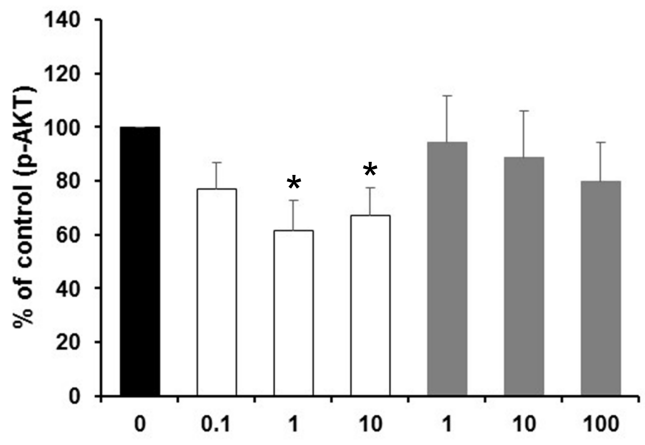
	Eribulin	Paclitaxel
SK-BR-3	0.121	1.055
BT-474	0.104	3.000

IC<sub>50</sub> of MDA-MB-361 was not assessable.**B**

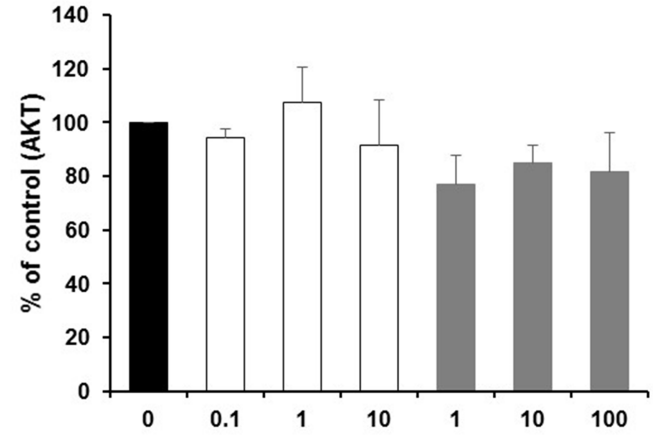
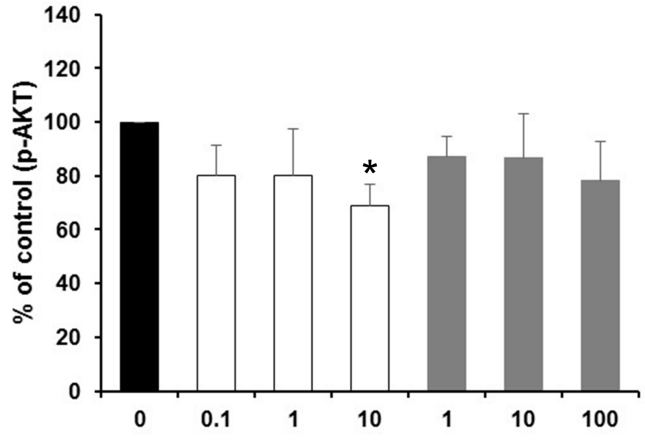
SK-BR-3



BT-474



MDA-MB-361



Eribulin (nM) Paclitaxel (nM)

Eribulin (nM) Paclitaxel (nM)