

Aus der  
Klinik und Poliklinik für Strahlentherapie und Radioonkologie  
Klinikum der Ludwig-Maximilians-Universität München



## **Hypofraktionierung in der Strahlentherapie des anaplastischen Schilddrüsenkarzinoms**

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zum Erwerb des Doktorgrades der Medizin  
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vorgelegt von  
Dmytro Oliinyk

aus  
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*Meiner Familie*

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## Affidavit



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## Abkürzungsverzeichnis

- ALK - Anaplastic lymphoma kinase
- ATA – American Thyroid Association
- ATC – Anaplastic thyroid carcinoma (anaplastisches Schilddrüsenkarzinom)
- BRAF – Proto-oncogene B-Raf oder v-Raf murine sarcoma viral oncogene homolog B1
- V600E – BRAF-Mutation mit Valin (v) anstelle von Glutaminsäure (e) an der Position 600
- ChT – Chemotherapie
- CI – Confidence interval (Konfidenzintervall)
- CR – Complete response
- CT – Computertomographie
- CTCAE - Common Terminology Criteria for Adverse Events
- DSS – Disease-specific survival (krankheitsspezifisches Überleben)
- DTC – Differentiated thyroid carcinoma (differenziertes Schilddrüsenkarzinom)
- ECOG-Score – Performance score gemäß Eastern Cooperative Oncology Group
- EMA – Epithelial membrane antigen
- EQD2 – equivalent dose in 2-Gy fractions (Äquivalentdosis in 2-Gy-Fractionen)
- ESMO – European Society for Medical Oncology
- FAP – Familial adenomatous polyposis
- FDA – Food and Drug Administration
- FDG-PET-CT – <sup>18</sup>Fluor-Desoxyglukose Positronen-Emissions-Tomographie und CT
- FNA – Feinnadelaspirationszytologie
- FTC – Follicular thyroid carcinoma (follikuläres Schilddrüsenkarzinom)
- Gy – Gray
- HR – Hazard ratio
- Ki67 – Kiel-Antigen Nr. 67
- KPS – Karnofsky Performance Score
- LC – Local control (lokale Kontrolle)
- MEK – Mitogen-activated protein kinase
- MTC – Medullary thyroid carcinoma (medulläres Schilddrüsenkarzinom)
- mTOR – Mammalian target of rapamycin
- NCCN – National Comprehensive Cancer Network
- NCT – National clinical trial
- NGS – Next generation sequencing
- NTRK – Neurotrophic tyrosine receptor kinase

- OR – Odds ratio
- ORR – Overall response rate - Gesamtansprechrates
- OS – Overall survival (Gesamtüberleben)
- p21 – Cyclin-dependent kinase Inhibitor 1
- PAX8 – Paired-box protein 8
- PD(L)-1 – Programmed cell death protein 1 (ligand)
- PDTC – Poorly differentiated thyroid carcinoma (schlecht- bzw. wenig-differenziertes Schilddrüsenkarzinom)
- PFS – Progression-free survival (progressionsfreies Überleben)
- PI3KCA – Phosphatidylinositol 3-kinase
- PPR $\gamma$  – Peroxisome proliferator-activated receptor gamma
- PR – Partial response
- PSM – Propensity score matching
- PTC – Papillary thyroid carcinoma (papilläres Schilddrüsenkarzinom)
- R-Status – Resektionsausmaß eines Tumors nach TNM-Klassifikation (R0 – mikroskopisch tumorfrei, R1 – makroskopisch tumorfrei, R2 – makroskopische Tumorreste)
- RET – Rezeptortyrosinkinase Ret - rearranged during transfection
- RET/PTC – Rearranged during transfection/papillary thyroid carcinoma Fusionsprotein
- RT – Radiotherapie
- SD – Stable disease
- SEER - Surveillance, Epidemiology, and End Results Program
- TC – Thyroid cancer (Schilddrüsenkarzinom)
- TERT – Telomerase reverse transcriptase
- TNM – Facetten-Klassifikation der Ausdehnung des Primärtumors (T), Lymphknotenbefalls (N) und Metastasen (M)
- TP53 – Tumorsuppressorprotein p53
- TPS – Tumor proportion score
- TSH – Thyreoidea-stimulierendes Hormon
- TTF-1 – Thyroid transcription factor 1
- UICC – Union internationale contre le cancer

## Publikationsliste

**Publikation I (Erstautorenschaft):** Hypofractionated Radiotherapy for Anaplastic Thyroid Cancer: Systematic Review and Pooled Analysis

**Journal:** Cancers

**Impact factor (2020):** 6.639

**Publikation II (Koautorenschaft):** Clinical Outcome and Toxicity in the Treatment of Anaplastic Thyroid Cancer in Elderly Patients

**Journal:** Journal of Clinical Medicine

**Impact factor (2020):** 4.242

**Publikation III (Koautorenschaft):** Radiation to the Primary Tumor in Metastatic Anaplastic Thyroid Cancer

**Journal:** In vivo

**Impact factor (2019\*):** 1.541

*\*bekannter JIF zum Zeitpunkt des Einreichens der Publikation*

**Impact factor (2020):** 2.155

**Publikation IV (Erstautorenschaft):** Role of surgery to the primary tumor in metastatic anaplastic thyroid carcinoma: pooled analysis and SEER-based study

**Journal:** Journal of Cancer Research and Clinical Oncology

**Impact factor (2021):** 4.322



# 1. Der jeweils eigene Beitrag zu den Veröffentlichungen

## 1.1 Der Beitrag zur Publikation I

Diese Publikation wurde nahezu vollständig von mir konzipiert und erstellt. Dabei beschäftigte ich mich vor allem mit der Formulierung der Hypothese, der Datenerhebung und der schriftlichen Darstellung, wobei ich von der Koautorin Teresa Augustin unterstützt wurde. Die Arbeit und die Publikation wurde von mir und meinem Koautor Dr. Lukas Käsmann geplant. Die erhobenen Daten wurden von mir interpretiert und ausgewertet. Von der Koautorin Teresa Augustin und dem Koautor Dr. Lukas Käsmann unterstützen wurde ich dabei bei der Diskussion der statistischen Ergebnisse unterstützt. Unter Supervision von Prof. Dr. Claus Belka, Prof. Dr. Christine Spitzweg, Dr. Viktoria Köhler, Dr. Josefine Rauch und Dr. Lukas Käsmann wurde von mir auch das Manuskript erstellt. Der Koautor Prof. Claus Belka und die Koautorin Prof. Christine Spitzweg unterstützten mich dabei u. a. bei der Ausarbeitung der Diskussion und bei der Gestaltung des Artikeldesigns. Als korrespondierender Koautor fungierte Dr. Lukas Käsmann und die Revision der Publikation vor der Veröffentlichung wurde von mir durchgeführt. Am Lektorat waren alle Autoren beteiligt.

## 1.2 Der Beitrag zur Publikation II

Diese Publikation wurde vor allem von Teresa Augustin konzipiert und erstellt. Auch die Auswahl und Anwendung der Methoden und die Koordinierung bei der Umsetzung der Methoden wurden von Teresa Augustin übernommen. Die Supervision wurde von Prof. Dr. Claus Belka, Prof. Dr. Christine Spitzweg und Dr. Lukas Käsmann durchgeführt. Mein Beitrag beschränkte sich auf eine Unterstützung der Erstautorin bei der Datenakquise und -auswertung, bei der Redaktion der Tabellen und Schemata und bei der Erstellung und Anpassung des Manuskripts.

## 1.3 Der Beitrag zur Publikation III

Auch die Publikation III wurde hauptsächlich von Teresa Augustin konzipiert und erstellt. Die Erstautorin beschäftigte sich dabei insbesondere mit der Entwicklung der Hypothese und der Planung und Umsetzung der Arbeit. Als Koautor war ich an der Akquise der Patientendaten aus unserem Zentrum, der Vorbereitung der statistischen Auswertung, der Auswertung der Daten und der Anpassung und Erstellung des Manuskripts beteiligt. Die Supervision der Arbeit wurde von Prof. Dr. Claus Belka, Prof. Dr. Christine Spitzweg, Dr. Josefine Rauch und Dr. Lukas Käsmann übernommen.

## 1.4 Der Beitrag zur Publikation IV

Als Erstautor der Publikation IV war ich für die Erstellung der Hypothese, die Planung der Arbeit und die Auswahl der Methoden, die Koordination und statistische Aufbereitung und die Erstellung des Manuskripts verantwortlich. Der für die Arbeit erforderliche Zugang zur SEER-Database wurde durch den Koautor Dr. Lukas Käsmann ermöglicht. Die Koautoren Prof. Dr. Claus Belka, Prof. Dr. Christine Spitzweg, Dr. Viktoria Köhler und Dr. Josefine Rauch unterstützten mich mit

ihrer fachlichen Expertise bei der Revision des Manuskripts, der Planung der Diskussion und der Auswertung der Daten. Für die Korrespondenz mit dem Journal war Dr. Lukas Käsmann verantwortlich, die Revision und das Proof-Reading wurden hauptsächlich von mir und Teresa Augustin durchgeführt. Das Lektorat übernahmen alle Autoren.

## 2. Einleitung

### 2.1 Epidemiologie

Das anaplastische Schilddrüsenkarzinom (anaplastic thyroid cancer, ATC) bildet mit einer Prävalenz von ca. 2-3 % aller bösartigen Schilddrüsenneubildungen eines der seltensten Malignome [1–3]. Geographisch und auch geschlechtsspezifisch zeigen sich dabei deutliche Unterschiede [1–3]. Weltweit konnte in den letzten Jahren eine steigende Inzidenz festgestellt werden [1–3]. In Europa lag der Anteil des ATCs an allen Schilddrüsenmalignitäten im Zeitraum 2000-2007 bei ca. 3 % [4]. Nach dem Zentrum für Krebsregisterdaten des Robert-Koch Instituts erkrankten 2018 in Deutschland 4270 Frauen und 1930 Männer an malignen Schilddrüsentumoren [5]. Die Prognose beim ATC bleibt mit einem medianen Überleben von 3-6 Monaten und einer 1- bzw. 10-Jahresüberlebensrate von ca. 10-20 % bzw. < 5 % infaust [6,7]. Deshalb ist bei der insgesamt guten Prognose der differenzierten Schilddrüsenkarzinome das ATC für einen beträchtlichen Anteil der Sterbefälle verantwortlich [6,7].

### 2.2 Grundlagen

Schilddrüsenkarzinome (thyroid cancer, TC) werden histologisch hinsichtlich ihres Differenzierungsgrades unterteilt [8]. Papilläre und follikuläre TC und das Hürthe-Zell Karzinom gehören zu den differenzierten Schilddrüsenkarzinomen (*differentiated thyroid cancer*, DTC) [8]. Das ATC bildet eine undifferenzierte Unterform [8]. Außerdem gibt es noch schlecht differenzierte Karzinome (*poorly differentiated thyroid cancer*, PDTC) und das medulläre Schilddrüsenkarzinom, das von den C-Zellen ausgehend eine Sonderstellung einnimmt (*medullary thyroid cancer*, MTC) [8]. DTCs sind mit ca. 85-90 % und einer 10-Jahresüberlebensrate von über 95 % für die meisten Neuerkrankungen verantwortlich [9–13]. Die genauen ätiologischen Faktoren, die zur Entwicklung eines ATCs beitragen könnten, sind bis auf bereits vorhandene DTC-Läsionen oder Struma weitgehend unbekannt [14,15]. Die wichtigsten Risikofaktoren für die Entwicklung eines DTCs sind nach wie vor eine Exposition gegenüber radioaktiver Strahlung, Hashimoto Thyreoiditis, familiäre adenomatöse Polyposis (FAP) und das Cowdens-Syndrom [16–20].

Pathophysiologisch wurden für TCs zwei Hypothesen für die Karzinogenese aufgestellt, nämlich die klonale Evolution und das Stammzellmodell [21]. Dabei wird verdeutlicht, dass ATCs sowohl sekundär aus DTCs als auch *de novo* entstehen können. Bei der ersten Hypothese, der klonalen Evolution, wird der kumulative Effekt stochastischer Mutationen verantwortlich gemacht [21,22]. So wurde etwa beim Auftreten sequenzieller Mutationen im Tumorsuppressorprotein p53-Gen (*TP53*) und im *cyclin-dependent kinase inhibitor-1*-Gen (*p21*) für follikuläre Schilddrüsenkarzinome (follicular thyroid carcinoma, FTC) und papilläre Schilddrüsenkarzinome (papillary thyroid carcinoma, PTC) eine mögliche Transformation in ATC, und zwar teilweise über schlecht-differenzierte Schilddrüsenkarzinome als Zwischenstadium beschrieben [21–25]. Die zweite Hypothese des Stammzellmodells beschreibt die fehlende Konkordanz der für DTCs typischen Alterationen von Fusionsproteinen *rearranged during transfection/papillary thyroid carcinoma* (*RET/PTC*) und *paired-box protein 8/peroxisome proliferator-activated receptor gamma* (*PAX8/PPRγ*) bei ATCs zu erklären [21,26]. In diesem Fall werden neben genetischen auch epigenetische Effekte hinsichtlich der Vorläufer der Thyreozyten angenommen [21,22,24]. Beim ATC haben Alterationen im *proto-oncogene B-raf* (*BRAF*-Gen), inklusive Promotor der *telomerase reverse transcriptase* (*TERT*-Promotor) und den *TP53*- und Phosphatidylinositol-3-Kinase-Genen

(*PI3KCA*) die höchste Prävalenz, wobei durch integrative Transkriptomanalysen auch eine signifikante Hochregulierung im Signalweg *mammalian target of rapamycin* (*mTOR*-Signalweg) nachgewiesen werden konnte [27,28]. Dies findet seine Anwendung auch bei der Immuntherapie des ATCs [29,30]. Dabei zeigt sich beim ATC eine ausgeprägte genomische Heterogenität innerhalb von unterschiedlichen Zelllinien, sodass unter anderem 4 Mutations-Cluster identifiziert wurden [31,32]. Das ausgesprochen aggressive und invasive Wachstum der ATCs kann durch die Wechselwirkungen zwischen den entstehenden Mutationen, genomischer Instabilität und z. T. auch der alterierten Tumormikroumgebung erklärt werden [33–35]. In diesem Zusammenhang werden oft Indices vom Kiel-Antigen Nr. 67 (Ki-67-Indices) > 30 % und hohe Mitoseraten beobachtet [33–35].

Typische gemeinsame Charakteristika für die pathologische Beurteilung des ATCs sind Hyperzellularität mit teilweise den Osteoklasten ähnlichen und mehrkernigen Riesenzellen oder Spindelzellen, zentrale Nekrosen und ein invasives Wachstumsmuster insbesondere in den naheliegenden Gefäßen, was ein wichtiges Unterscheidungsmerkmal gegenüber den DTCs bildet [8,36]. Generell werden in Abhängigkeit von der Morphologie zwei histologische Hauptkategorien unterschieden: sarkomatoid und epithelial-squamös [36,37]. Daraus ergibt sich eine alternierende immunohistochemische Positivität für Calcitonin, epitheliales Membranantigen (EMA), *paired-box protein 8* (PAX-8), Vimentin und Zytokeratine, wobei das Tumorgewebe nur selten für Thyreoglobuline und den Thyroidalen Transkriptionsfaktor 1 (TTF-1) positiv zu sein scheint [36,38,39].

Die angesprochene Invasivität des Wachstums zeigt sich vor allem durch die in den bei der Diagnosestellung häufig vorhandenen Fernmetastasen und die Infiltration des umliegenden Gewebes [4,40–42]. Deshalb gehören zu den lokalen Komplikationen beim ATC in bis zu 40 % der Fälle vor allem eine Lymphknoteninfiltration, eine Kompression bzw. Infiltration der Trachea mit Dyspnoe und/oder Stridor, eine Kompression bzw. Infiltration des Ösophagus mit Dysphagie, Gefäßnervenschäden und Heiserkeit [43–45]. Die Trachealinfiltration mit sukzessiver Obstruktion der Atemwege bleibt trotz der oft vorhandenen Tracheostomie auch eine der häufigsten tumorbezogenen Todesursachen bei ATC-Patienten (ca. 50 %) [46]. Häufige Manifestationsorte der Fernmetastasen sind Lunge, Mediastinum, Leber und Knochen mit jeweils ca. 25 %, 25 %, 10 % und 6 % der Fälle [47]. Das Vorhandensein der Lymphknoteninvasion oder der angesprochenen Fernmetastasen korreliert neben Tumorgröße, Alter und bestimmten Therapiemodalitäten invers mit dem Gesamtüberleben [40,43,45,48–50].

Deshalb bleibt die initial diagnostische Erfassung der Tumorausbreitung unerlässlich [29, 35]. Die Diagnosestellung beim ATC umfasst neben der Anamnese, der klinischen Untersuchung und dem Labor mit Differentialblutbild und Konzentrationsbestimmung des Thyreoid-stimulierenden Hormons (TSH) auch einen Halsultraschall, eine Laryngoskopie zur Evaluation der Stimmbandfunktion und eine Computertomographie (CT) von Kopf, Hals, Thorax, Abdomen und Becken mit Kontrastmittel [51]. Bei einer Invasion der Trachea sollte eine Bronchoskopie und ggf. eine Tracheostoma-Anlage durchgeführt werden [51]. Außerdem bleibt eine <sup>18</sup>Fluor-Desoxyglukose Positronen-Emissions-Tomographie und CT (FDG-PET-CT) nach wie vor die sensitivste Methode, um die Tumorausbreitung erfassen zu können [29,35,51–54]. Die Diagnose wird vor allem histopathologisch durch eine Feinnadelaspirationszytologie (FNA) oder Stanz-Vakuumbiopsie bestätigt, wodurch ATCs bereits präoperativ von pleomorphen Sarkomen oder Lymphomen unterschieden werden können [29,35,51]. Wegen der zytologisch oft schwierigen Diagnose eines ATCs und der vom Untersucher abhängigen Treffsicherheit bei FNA bleibt eine stereotaktisch geführte Stanz- oder Vakuumbiopsie die Methode der Wahl [29,35,55,56]. Eine molekulare Diagnostik v.a. im Hinblick auf „druggable mutations“ beim ATC wird bei der Diagnosestellung von

den Leitlinien sowohl der *American Thyroid Association* Leitlinien (ATA) als der *European Society for Medical Oncology* (ESMO) und seit 2021/2022 auch des *National Comprehensive Cancer Network* (NCCN) empfohlen [29,35,51,57].

Nach der *Union internationale contre le cancer* (UICC) Version 8 der TNM wird jedes ATC unabhängig von einer lokalen oder disseminierten Tumorausbreitung dem Stadium IVA bis IVC zugeordnet [58]. Neuerdings wird ATC in der aktuellen TNM-Version allerdings nicht mehr standardmäßig mit dem Stadium cT4 verknüpft [58]. Nach der Definition wird aber jedes metastasierte ATC als ein Stadium IVC behandelt [58].

### 2.3 Die stadiengerechte Therapie beim ATC

Entscheidend für die Therapie ist beim ATC die initiale Tumorausbreitung hinsichtlich einer lokoregionären (UICC-Stadien IVA-B) oder disseminierten Erkrankung (UICC-Stadium IVC) [29,35,51,58]. Im Rahmen einer interdisziplinären Therapieplanung und einer individuellen Risiko-Nutzen-Abwägung werden standardmäßig eine totale Thyroidektomie mit einer anzustrebenden R0/R1-Resektion und eine therapeutische und bilateral-zentrale Lymphknoten-Dissektion sowie eine adjuvante Radiochemotherapie empfohlen [51]. Zu einem kleineren Anteil (bis zu 6 %) kommen ATCs auch als Inzidentalome im resezierten Schilddrüsengewebe vor [35]. In solchen Fällen kann sich die Operation auf eine Hemithyroidektomie beschränken, insbesondere wenn eine R0-Resektion durchgeführt wurde, wobei die Entscheidung für eine ergänzende totale Thyroidektomie auf den Merkmalen des nicht-ATC-Bestandteils der Malignität basiert [35]. Die Evidenz für eine weitere Therapie bleibt in solchen Situationen eingeschränkt [35]. Das Ausmaß der Resektion kann bei einer Infiltration des umliegenden Gewebes um eine Laryngektomie oder Ösophagektomie mit einer Muskel- und Gefäßresektion erweitert werden [59]. Weil diese Eingriffe allerdings mit einer erhöhten Morbidität in Verbindung gebracht werden, werden sie auch nicht empfohlen [35,59]. Darüber hinaus wird auch von R2-Resektionen abgeraten, da sich diese als „debulking“ bezeichneten chirurgischen Verfahren nicht als signifikant prognoseverbessernd für ATC-Patienten erwiesen haben [29,35]. Im Unterschied dazu waren R0/R1 in einigen Studien mit einem verbesserten Überleben assoziiert, wobei insbesondere im frühen Stadium IVA eine Morbiditätsreduktion festgestellt wurde [45,59–62]. Der generelle Nutzen einer chirurgischen Resektion konnte bei der lokoregionären Tumorausbreitung durch Studien umfassend belegt werden [40,45,63–70].

Bei R0/R1 resezierten Tumoren werden im kurativen Setting eine adjuvante Bestrahlung mit oder ohne Strahlungssensibilisatoren i.S. einer simultanen Chemotherapie mit hauptsächlich Taxanen und Anthrazyklinen (Daunorubicin, Paclitaxel) und Kombinationen untereinander oder abhängig von der Tumorausbreitung auch mit Platin-Agenten durchgeführt [29,35,51,57]. Bei einer initial nur unvollständig möglichen Resektion kann nach einer entsprechenden Patientenselektion eine neoadjuvante Radio(chemo)therapie angeboten werden [35,51,71–73]. Eine alternative Teilbestrahlung vor der Operation und eine Komplettierung der Bestrahlung nach dem Eingriff können zu einem ähnlichen therapeutischen Nutzen führen wie eine adjuvante Therapie, stellen aber keinen Therapiestandard dar [35,74].

Eine zunehmende Bedeutung erlangt beim ATC die Molekulardiagnostik (*next generation sequencing*, NGS) und zwar insbesondere bei den nicht *in sano* resezierbaren Primärtumoren und im Stadium IVC beim Vorhandensein von Fernmetastasen [29,35,51]. Im Mai 2018 wurde von der *Food and Drug Administration* (FDA) eine Kombinationstherapie für ATC-Patienten mit *BRAF*- und *mitogen-activated protein kinase* Inhibitoren (*MEK*-Inhibitoren), wie Dabrafenib (150 mg zweimal täglich) und Trametinib (2 mg einmal täglich) zugelassen [29]. Dieser Ansatz geht auf die

Studie von Subbiah et al. zurück, in der die Verträglichkeit und eine Gesamtansprechrate (*overall response rate*, ORR) von 69 % (11 von 16, 95%-iges CI: 41-89 %) für diese Therapie bei Patienten mit mutiertem *BRAF V600E*-ATC nachgewiesen wurden (*BRAF*-Mutation mit Valin [v] anstelle von Glutaminsäure [e] an der Position 600) [29,75]. Bei *BRAF*- und *MEK*-negativen Tumoren werden *neurotrophic tyrosine receptor kinase* Genfusionen (*NTRK*-Genfusionen) als alternativer Angriffspunkt verwendet [57]. Bei Patienten ohne *BRAF*- und *MEK*-Mutationsnachweis und fortgeschrittenen initialen Befund mit *NTRK*-Genfusion besteht die Möglichkeit einer Systemtherapie mit Larotrectinib [57]. Wegen einer hohen Sicherheit und einer ORR von 75 % (95%-iges CI: 61-85 %) bei TC wurde im unabhängigen Review auch dieses Medikament von der FDA 2018 zugelassen [51,76]. Die *anaplastic lymphoma kinase* (*ALK*)-genfusionierten ATCs sind selten, weshalb *ALK*-Inhibitoren bisher hauptsächlich in klinischen Studien oder Fallberichten zum Einsatz kamen [35,77,78]. Außerdem gibt es Hinweise auf eine Prognoseverbesserung beim Einsatz von Immuncheckpoint-Inhibitoren bei der Behandlung von ATCs [79–81]. Bei einer initial erhöhten Tumormutationslast und *programmed cell death protein 1 ligand* (*PD-L1*) *tumor proportion scores* (*TPS*) können bei soliden Tumoren auch Inhibitoren von *PD-L1* oder *programmed cell death protein 1* (*PD-1*) eingesetzt werden [82,83]. Obwohl die Datenlage zu dieser Therapie bisher eingeschränkt ist, wurden bereits 2018 die Sicherheit und eine vielversprechende Ansprechrate von 19.5 % des *PD-1*-Antikörpers Spartalizumab bei der Behandlung von mehrfach vorbehandelten ATCs beschrieben [29,84]. Außerdem wurde in einer Studie zu fortgeschrittenen ATCs mit Progression unter der Therapie mit Tyrosinkinaseinhibitoren Pembrolizumab hinzugefügt, wodurch eine *partial response rate* (*PR*-Rate) von 42 % und eine *stable disease* (*SD*) von 33 % erreicht werden konnten [81]. Bei einer Kombination von Lenvatinib und Pembrolizumab als Erstlinientherapie ergab sich eine *complete response* (*CR*) von 66% und eine *SD* von 16% [80]. Ähnlich wurde in einem Case Report gezeigt, dass eine neoadjuvante und *BRAF/MEK*-gerichtete Immuntherapie nach einer initialen Progression zusätzlich mit dem Checkpoint-Inhibitor Pembrolizumab kombiniert werden kann [85]. Dies führte zu einer *PR* und der anschließenden Möglichkeit einer vollständigen chirurgischen Resektion und einer adjuvanten Radiochemotherapie [85]. Bei dem Patienten soll diese Behandlung eine hohe Lebensqualität und eine *CR* innerhalb der 11-monatigen Follow-Up-Zeit ermöglicht haben [85]. Weitere Studien sind erforderlich, um „targeted therapies“ beim ATC zu etablieren. Aktuell wird dieses Thema in verschiedenen klinischen Studien (*national clinical trials*, *NCTs*) untersucht: *NCT04171622*, *NCT04675710*, *NCT03122496*, *NCT01236547*, *NCT04238624*, *NCT03975231*, *NCT05119296*, *NCT03181100* [86–93].

Im kurativen Setting und dabei vor allem in den Stadien IVA und IVB wird die Kombination einer initialen Resektion und einer anschließenden simultanen Radiochemotherapie als eine multimodale oder trimodale Therapie eingesetzt [29,35,57]. Fan et al. konnten in einer Untersuchung von 104 ATC-Patienten zeigen, dass die multimodale Therapie in der multivariaten Analyse signifikant mit einem verbesserten progressionsfreien Überleben korrelierte (*hazard ratio* [*HR*] 0.060; *p* = 0.017) [70]. Dass dieser Ansatz zu einer Verbesserung des Gesamt- und progressionsfreien Überlebens führt, konnte auch von anderen Studien bestätigt werden [94–99].

Im metastasierten ATC-Stadium IVC bleiben die individuellen Prognosefaktoren des Patienten entscheidend für die weitere Therapieplanung [29,35,51]. Die *NCCN*-Leitlinien empfehlen eine aggressive Therapie mit einer Resektion und einer adjuvanten Radiotherapie (*RT*) und/oder Chemotherapie (*ChT*) oder eine palliative Therapie mit einem Fokus auf einer lokoregionären Kontrolle durch *RT* oder *ChT*, *best supportive care* und einer lokalen Kontrolle der Fernmetastasen [51]. In beiden Fällen kann eine Untersuchung von *BRAF/MEK*-Mutationen dabei helfen, die geeigneten Patienten für eine Immuntherapie zu identifizieren [29,51]. Bei der ATC-Behandlung ist

auch das Management der Atemwege sehr wichtig, wobei eine Tracheostomie eine der möglichen Optionen bildet [46,100,101]. Dennoch sollte dieser Eingriff multidisziplinär diskutiert werden [35,46]. Es ist anzunehmen, dass er mit einer deutlich verringerten Lebensqualität und aufgrund lokaler Komplikationen mit einem schlechteren Therapieergebnis verbunden ist, vor allem wenn er außerhalb von Notfallsituationen elektiv bzw. vor einer RT durchgeführt wird [46,100,102]. Dies kann auf das initial aggressivere Tumorwachstum, größere Tumormasse und die mit der Intervention verbundenen Komplikationen zurückgeführt werden [35,46,101]. Alternativ können neben den physikalischen Maßnahmen eine oft vorhandene Dyspnoe und Stridor effektiv durch eine kurzfristige Steroidtherapie behandelt werden [35].

## 2.4 Radiotherapie und Fraktionierungsschemata beim ATC

Die Strahlentherapie wird beim ATC sowohl im kurativen als auch im palliativen Setting angewendet [35]. In Abhängigkeit von der Zielsetzung ergeben sich unterschiedliche Fraktionierungsschemata und Bestrahlungsdosen, die bisher aber nicht verbindlich festgelegt wurden [103]. In einer der größten retrospektiven Studien von Glaser et al. mit insgesamt 3553 Patienten mit ATC konnte in der multivariaten Analyse eine deutliche Verbesserung des Gesamtüberlebens bei den Patienten nachgewiesen werden, die eine Gesamtdosis über 59.4 Gray (Gy) erhielten ( $HR_{\text{Death}}$  0.41 [95%-iges CI 0.35-0.49],  $p < .0005$ ). Ähnliche Dosis-Wirkungs-Zusammenhänge konnten auch in weiteren Studien für Dosen über 59 Gy, 50 Gy und 40 Gy festgestellt werden [49,104,63]. Konventionell werden im definitiven bzw. adjuvanten Setting normofraktioniert 1.8-2.2 Gy pro Fraktion mit einer Gesamtdosis von 70 bzw. 66 Gy eingesetzt [35]. Alternative Bestrahlungsschemata befinden sich jenseits der konventionellen Fraktionierung und werden deshalb als hypo- ( $\geq 2.2$  Gy/Fraktion) oder hyperfraktionierte ( $< 1.8$  Gy/Fraktion) RT bezeichnet [105]. Hinsichtlich der nationalen und internationalen Leitlinien gibt es beim ATC unterschiedliche Empfehlungen zur Fraktionierung [35,51,106]. Um das Verhältnis für die jeweilige Fraktionierung begründen zu können, ist es wichtig, den radiobiologischen Hintergrund der Fraktionierung zu erläutern. Die Überlebenswahrscheinlichkeit von Zellen im Gewebe nach einer Strahlenexposition wird im linear-quadratischen Modell durch den folgenden Zusammenhang beschrieben [107]:

$$S = e^{-\alpha D - \beta D^2}$$

Dabei entspricht  $D$  der Expositionsdosis und  $\alpha$  und  $\beta$  stehen für die zelluläre Radiosensitivität [107]. Das Verhältnis zwischen  $\alpha$  und  $\beta$  entspricht der Dosis in Gy, bei der die Zellen im bestimmten Gewebe sowohl durch die lineare als auch durch quadratische Komponente der Gleichung gleichermaßen eliminiert werden [107]. Daran zeigt sich eine ausgeprägte Gewebespezifität, wobei spezifische Parameter für unterschiedliche Tumoren beschrieben wurden [108–110]. Die meisten Tumore weisen eine hohe Zellproliferationsrate auf und zeigen typischerweise  $\alpha/\beta$ -Werte von über 10 Gy, weshalb sie mit einer konventionellen Fraktionierung am sichersten eliminiert werden können [107,108]. Allerdings wird bei radioresistenten Tumoren von einem kleineren  $\alpha/\beta$ -Verhältnis ausgegangen, wie es für Melanome, Sarkome und das Prostatakarzinom beschrieben wurde [108,111]. Dabei kann die hypofraktionierte RT eingesetzt werden, um vergleichbare oder sogar bessere therapeutische Ergebnisse zu erzielen [112–115]. Das ATC gilt als radioresistent, und zwar u. a. wegen der pathophysiologischen Mutationen, die eine wichtige Rolle bei der Karzinogenese dieser Entität spielen [116–118]. Außerdem wurden optimierte hypofraktionierte RT-Schemata auch für andere und z. T. schnell wachsende Karzinome der Kopf-Hals-Region beschrieben [119]. Im Blick auf die kurze Lebenserwartung, eine Fokussierung auf den Erhalt der

Lebensqualität und die suffiziente lokale Kontrolle (*local control*, LC) bietet sich beim ATC eine Hypofraktionierung als eine geeignete Alternative für die Behandlung der Patienten an, bei der aber eine genauere Untersuchung erforderlich ist.

## 2.5 Der Hintergrund und ein Überblick zu den Publikationen

Die Veröffentlichungen beziehen sich auf die von mir retrospektiv erhobenen Daten der Patienten mit ATC im Stadium IVA bis IVC, die am LMU-Klinikum definitiv adjuvant oder palliativ behandelt wurden.

### 2.5.1 Publikation I

Das Überleben der ATC-Patienten bleibt eingeschränkt und bisher wurden keine genaueren therapeutischen Regimes festgelegt [103]. Wegen des kurzen Gesamtüberlebens und des aggressiven Wachstumsmusters des ATCs sind eine effiziente LC und eine Kontrolle der Symptome von besonderer Bedeutung für die allgemeine Lebensqualität der Patienten [35, 120]. Hinsichtlich der pathophysiologisch auftretenden Mutationen und der klinischen Erfahrung gilt das ATC als relativ radioresistent [116–118]. Deshalb bildet die hypofraktionierte Bestrahlung u. a. nach dem linear-quadratischen Modell eine legitime therapeutische Option, weil dadurch innerhalb eines kürzeren Zeitraums ein vergleichbares oder sogar besseres Therapieansprechen erreicht werden kann [116–118]. Die Hypofraktionierung bei der Behandlung von ATC wurde bereits in einigen Studien untersucht [116, 121–124]. Das Ziel der ersten Studie bestand darin, die Ergebnisse und die Toxizitäten bei der Behandlung von ATC mit dem hypofraktionierten Therapieschema in unserem tertiären Versorgungszentrum zu bewerten, ein systematisches Review mit einer gepoolten Datenanalyse zu erstellen und dabei Prognosefaktoren für das Gesamtüberleben (*overall survival*, OS) der Patienten zu identifizieren.

In der vorliegenden Publikation wurden die prognostischen Faktoren, Toxizität und Behandlungserfolge bei insgesamt 71 Patienten mit ATC untersucht. Dabei wurden die Daten aus unserem Zentrum ( $n = 11$ , welche den Einschlusskriterien entsprachen), sowie zusammengeführte externe Patientendaten aus unserem durchgeführten systematischen Review ( $n = 60$ ), analysiert [121–123]. Die uni- und multivariate Analyse umfasste beide Kohorten und verglich das hypofraktionierte Regime mit konventioneller Fraktionierung mittels *propensity score matching* (PSM). In der unizentrischen Kohorte korrelierte dabei die multimodale Therapie ( $p = 0.006$ ) und das männliche Geschlecht ( $p = 0.04$ ) mit einem verbesserten Überleben. Schwerwiegende Nebenwirkungen der Grade 4 und 5 gemäß der *Common Terminology Criteria for Adverse Events* (CTCAE) Version 4 wurden nicht beobachtet. Bei der gepoolten Analyse erwies sich eine multimodale Behandlung bestehend aus einer tumorgerichteten Operation, ChT und RT univariat als signifikant für das verbesserte OS ( $p < 0.001$ ). Des Weiteren zeigte sich, dass eine kumulative Strahlendosis  $\geq 50$  Gy, gemessen in einer Äquivalentdosis von 2-Gy-Frakturen (*equivalent dose in 2-Gy fractions*, EQD2), in univariater Analyse signifikant mit dem verbesserten OS assoziiert war ( $p = 0.014$ ). Bei der sukzessiven multivariaten Analyse zeigte sich nur die multimodale Therapie als ein unabhängiger Prädiktor für ein besseres OS ( $p = 0.003$ , HR: 0.636, 95%-iges CI: 0.469–0.861). Patienten, die mit einer normofraktionierten RT behandelt wurden, wurden im Verhältnis 1:2 mit Patienten gematcht, die mit einer hypofraktionierten RT behandelt wurden. Jedem Patienten, der mit einer normofraktionierten RT behandelt wurde, wurden zwei entsprechende Patienten mit demselben *performance score* gemäß *Eastern Cooperative Oncology Group* (ECOG)



und Geschlecht zugeordnet. Nach dem PSM ergab sich bei dem Fraktionierungsverfahren bei der univariaten Analyse keine Signifikanz ( $p = 0.372$ ). Deshalb scheint die hypofraktionierte Strahlentherapie im Vergleich mit der normofraktionierten RT hinsichtlich des OS nicht unterlegen zu sein, sodass sie ein integraler Bestandteil der multimodalen Behandlung werden könnte, was in weiteren Studien untersucht werden sollte.

## 2.5.2 Publikation II

Patienten im höheren Alter kommt eine besondere Stellung bei der onkologischen Behandlung zu, weil sie oft einen multimorbiden und reduzierten Allgemeinzustand (z.B. KPS) aufweisen [125–129]. Diese Patientenkohorte ( $\geq 65$  Jahre) ist allerdings beim ATC besonders stark repräsentiert [6, 43, 46, 66, 114]. Das Gesamtüberleben und die Prognose sind unter diesen Bedingungen stark eingeschränkt und das höhere Alter wurde in mehreren Studien als negativer prognostischer Faktor für das OS beim ATC eingestuft [49,64,131–133]. Unsere Hypothese besagte, dass eine suffiziente LC bei diesem eine Therapie relativ schlecht tolerierenden Kollektiv deshalb besonders wichtig wäre. Die hypofraktionierte Therapie könnte eine geeignete Behandlungsalternative für ältere Patienten werden, zunächst sollten aber individuelle prognostische Faktoren und mögliche RT-bedingte Toxizitäten für dieses Kollektiv genauer untersucht werden. Die zweite Studie wurde daher konzipiert, um das Alter als einen prognostischen Faktor bei älteren Patienten mit ATC zu evaluieren. Dabei wurden konsekutiv alle ATC-Patienten, die bei der Erstdiagnose  $\geq 65$  Jahre alt waren, hinsichtlich der Ergebnisse und einer behandlungsbedingten Toxizität untersucht. Außerdem wurden in diesem Kollektiv individualisierte prognostische Faktoren für das OS und das progressionsfreie Überleben (*progression-free survival*, PFS) erfasst.

In der vorliegenden Publikation sollten die Ergebnisse und die therapiebedingte Toxizität bei älteren Patienten ( $\geq 65$  Jahren) mit ATC, die eine (Chemo-)RT erhielten, uni- und multivariat bewertet und prognostische Faktoren für das OS ermittelt werden. Dabei wurden die Daten aus unserem Zentrum ( $n = 26$ ) evaluiert, welche den Einschlusskriterien entsprachen. Eine separate Analyse beinhaltete zusammengeführte externe Patientendaten aus unserem durchgeführten systematischen Review ( $n = 186$ ) [61,96,121–123,134–136]. Bei der unizentrischen Kohorte ergab sich bei der univariaten Analyse eine Assoziation von *Karnofsky Performance Score* (KPS)  $> 70$  % ( $p < 0.001$ ), N-Status ( $p = 0.028$ ), M-Status ( $p = 0.001$ ), UICC-Stadium IVA ( $p = 0.004$ ), multimodaler Behandlung ( $p < 0.001$ ) und einer EQD2  $> 49$  Gy ( $p < 0.001$ ) mit einem verbesserten OS. Ähnliche Ergebnisse wurden univariat auch für das progressionsfreie Überleben erzielt: KPS  $> 70$  % ( $p = 0.025$ ), N-Status ( $p < 0.001$ ), M-Status ( $p = 0.030$ ), Tumorresektion ( $p < 0.001$ ), multimodale Behandlung ( $p < 0.001$ ) und ein EQD2  $> 49$  Gy ( $p = 0.006$ ). In ähnlicher Weise wurde auch die gepoolte Kohorte univariat analysiert, wobei eine chirurgische Resektion ( $p < 0.001$ ), RT ( $p < 0.001$ ), eine sequenzielle oder konkurrente ChT ( $p < 0.001$ ) und eine multimodale Therapie ( $p < 0.001$ ) als wichtige prognostische Faktoren für das verbesserte OS identifiziert werden konnten. Bei der multivariaten Analyse zeigte sich nur die RT ( $p < 0.001$ , HR = 0.383, 95%-iges CI = 0.253-0.579) als ein unabhängiger prognostischer Faktor für das verbesserte OS. Danach wurde ein PSM durchgeführt. Dabei wurden die Patienten im Alter von  $\leq 64$  Jahren im Verhältnis 1:1 mit Patienten im Alter von  $\geq 65$  Jahren gematcht. Jedem Patienten im Alter von  $\leq 64$  Jahren wurde ein entsprechender Patient im Alter von  $\geq 65$  Jahren mit demselben UICC-Stadium (IV A/B vs. IVC) zugeordnet, wobei auch die Art der Behandlung berücksichtigt wurde, einschließlich Operation und ChT. In diesem Zusammenhang waren bei der multivariaten Analyse eine Tumorresektion ( $p < 0.001$ , HR = 0.294, 95%-iges CI = 0.192-0.45), eine RT ( $p < 0.001$ , HR = 0.042, 95%-iges CI = 0.018-0.098) und ein jüngeres Patientenalter ( $p = 0.008$ , HR = 1.721, 95%-iges CI =

1.151-2.573) signifikant mit einem verbesserten OS verbunden. Mit dieser Studie konnte gezeigt werden, dass das jüngere Patientenalter ein unabhängiger prognostischer Faktor für das verbesserte OS bei der Behandlung des ATC ist. Eine multimodale Behandlung des ATC mit einer Operation und Radiochemotherapie scheint bei tolerierbarer Toxizität bei Patienten im höheren Alter von über 64 Jahren mit vielversprechenden Ergebnissen verbunden zu sein.

### 2.5.3 Publikation III

Bei der Diagnosestellung weisen viele ATC-Patienten bereits Fernmetastasen auf [4,40–42]. Das Vorliegen der Fernmetastasen ist ein negativer prognostischer Faktor, der mit einem kürzeren Überleben verbunden ist [40,45,48–50,70]. Die oft vorhandenen lokalen Symptome, wie Dyspnoe, Dysphagie und Heiserkeit, verdeutlichen die Relevanz einer effizienten LC [43–45]. Die Datenlage für die Verwendung der RT im Stadium IVC ist nach wie vor eingeschränkt [40,63,137]. Eine suffiziente RT des Primärtumors scheint auch im Stadium IVC mit einer verbesserten Überlebensrate und einer besseren lokalen Kontrolle verbunden zu sein [63,70]. Eine hypofraktionierte RT stellt deshalb für diese Patienten eine wichtige Behandlungsalternative dar, die hypothetisch mit vergleichbaren Ergebnissen bei einem geringeren Zeitaufwand verbunden sein kann. Die neuen immunologischen Verfahren können zu deutlichen Verbesserungen beim Therapieansprechen führen, weshalb eine Untersuchung der RT-Wirkung in einem fortgeschrittenen Stadium für die Perspektive einer Kombination mit neuen Systemtherapien als unentbehrlich erscheint [75,76,81,84]. Die Identifikation besonderer Patientengruppen ist dabei für eine individualisierte Therapieplanung von besonderer Bedeutung. Deshalb ging es bei der dritten Publikation vor allem um eine Evaluation der prognostischen Faktoren und der Therapieergebnisse der ATC-Patienten im Stadium IVC, die am Primärtumor bestrahlt wurden.

In der vorliegenden Studie wurden prognostische Faktoren und Therapieergebnisse bei bestrahlten Patienten mit metastasiertem ATC ( $n = 20$ ) aus unserem Zentrum analysiert. Bei der univariaten Analyse konnten eine Tumoresektion ( $p = 0.005$ ), eine sequenzielle oder konkurrente ChT ( $p = 0.018$ ) und eine Erhöhung der Bestrahlungsdosis ( $> 39$  Gy,  $p = 0.038$ ) als prognoseverbessernde Faktoren für das OS identifiziert werden. Außerdem ergab sich bei einem KPS  $> 70$  % ein Trend zu einer längeren Überlebenszeit ( $p = 0.062$ ). Bei der multivariaten Analyse konnte bei keinem Faktor Signifikanz für das OS erzielt werden. Allerdings waren eine kleine Anzahl von Metastaseherden (1 vs. 2-4 Herde,  $p = 0.043$ ), eine Operation ( $p = 0.024$ ) und eine ChT ( $p = 0.039$ ) mit einem verbesserten PFS verbunden. Insgesamt wurde keine Toxizität der Grade 4-5 gemäß CTCAE beobachtet. Bei einem metastasierten ATC ermöglicht die Strahlentherapie des Primärtumors eine dauerhafte LC. Eine Kombination aus gleichzeitiger oder sequenzieller Chemotherapie und einer Erhöhung der Strahlendosis wurde bei Patienten mit metastasierter Erkrankung mit längeren Überlebensraten in Verbindung gebracht und sollte deshalb in ausgewählten Fällen in Betracht gezogen werden.

## 2.5.4 Publikation IV

Wie bereits beschrieben wurde, sind bei der Erstdiagnose des ATC oft bereits Fernmetastasen vorhanden, was mit einer besonders schlechten Prognose verbunden ist [3,4]. Die Fragen hinsichtlich der Notwendigkeit und des optimalen chirurgischen Eingriffs bleiben in diesem Stadium offen [29,57]. Zu den Optionen für eine chirurgische Behandlung von ATC gehören nach den Leitlinien der ATA die totale Thyreoidektomie, die subtotale Thyreoidektomie und die Hemithyreoidektomie [35]. Aktuelle Leitlinien empfehlen eine totale Thyreoidektomie auch im Stadium IVC, wenn eine R0/R1-Resektion erreicht werden kann, während eine Debulking-Operation generell nicht empfohlen wird [29,35,51]. Das Ausmaß des Eingriffs wird maßgeblich durch die initiale Tumorausbreitung bestimmt [35,138]. Durch die oft vorhandenen Infiltrationen der benachbarten Strukturen besteht die Option einer ultra-radikalen Resektion einschließlich Laryngektomie, einer Resektion der infrahyoiden Muskulatur, der Trachea oder des Ösophagus [138]. Sugitani et al. konnten einen Überlebensvorteil durch eine ultra-radikale Operation bei Patienten mit einem ATC IVB feststellen [138]. Allerdings konnte dies in weiteren Studien nicht bestätigt werden, da die Morbidität und die operativen Risiken oft den potenziellen Nutzen radikaler Resektionen überwogen [59]. Eine möglichst vollständige Reduktion der Tumormasse bleibt jedoch die entscheidende Voraussetzung für eine effiziente LC und ein besseres Ansprechen auf die RT [45,70]. Deshalb ist es wichtig, die vorhandenen chirurgischen Optionen bei der Behandlung von ATC IVC hinsichtlich der allgemeinen und krankheits-spezifischen Überlebensraten miteinander zu vergleichen. Die vorliegende im *Journal of Cancer Research and Clinical Oncology* publizierte Studie wurde daher mit dem Ziel einer Evaluation der Thyreoidektomie-Verfahren hinsichtlich des OS und des krankheitsspezifischen Überlebens (*disease-specific survival*, DSS) konzipiert und durchgeführt.

In der vorliegenden Arbeit wurden zwei große Patientenkollektive analysiert. Dabei wurden zum einen die Operation des Primärtumors und ihre Kombination mit systemischen und lokalen Therapien beim metastasierten ATC bei insgesamt 123 Patienten evaluiert. Die erste Kohorte setzte sich zusammen aus einem kombinierten Datensatz von unserem Zentrum ( $n = 20$ ) und externen Patientendaten, die aus unserem durchgeführten systematischen Literaturreview stammen ( $n = 103$ ) [61,73,95,96,121–123,135,136,139]. Die zweite Kohorte wurde aus dem *Surveillance, Epidemiology, and End Results Register* (SEER) akquiriert ( $n = 617$ ). Die gepoolte Kohortenstudie zeigte, dass eine Operation ( $p < 0,001$ ), eine suffiziente RT  $\geq 30$  Gy ( $p < 0,001$ ), eine Administration von ChT ( $p < 0,001$ ) und eine multimodale Behandlung ( $p = 0,014$ ) univariat zu einem verbesserten Gesamtüberleben führen. Bei der multivariaten Analyse waren eine Operation (HR = 1.997, 95%-iges CI = 1.162-3.433,  $p = 0,012$ ) und eine suffiziente RT  $\geq 30$  Gy (HR = 1.877, 95%-iges CI=1.232-2.843,  $p = 0,012$ ) unabhängige Prädiktoren für ein verbessertes Überleben. Bei den oben genannten Operationen wurde nicht weiter nach dem Operationstyp differenziert, daher handelte es sich um eine beliebige tumorgerichtete Operation. Bei den analysierten Operationsverfahren wurden die totale Thyreoidektomie in 28.2 % der Fälle, die subtotale Thyreoidektomie, die Hemithyreoidektomie und die Debulking-Operation jeweils in 10.3 %, 5.1 % bzw. 12.8 % der Fälle durchgeführt. In der anschließenden univariaten Analyse zeigte die totale Thyreoidektomie eine Tendenz zu einem verbesserten OS im Vergleich zu anderen Operationstypen, mit Überlebensraten von 45 bzw. 30 % nach 9 Monaten ( $p = 0,058$ ). In der SEER-basierten Studie mit Patienten, die sich einer tumorbezogenen Behandlung unterschiedlicher Art unterzogen ( $n = 445$ ), korrelierten die totale Thyreoidektomie ( $p = 0,031$ ), die Verabreichung einer ChT ( $p = 0,007$ ), eine RT ( $p < 0,001$ ), eine Kombination von Operation und RT mit oder ohne ChT ( $p$

< 0.001) und die multimodale Behandlung ( $p < 0.001$ ) univariat mit einem DSS. Bei der multivariaten Analyse war die Debulking-Operation ein unabhängiger Prädiktor für ein schlechteres Ergebnis ( $p = 0.010$ , HR = 0.535, 95%-iges CI: 0.332-0.862), während die Verabreichung einer RT mit einem längeren DSS korrelierte (HR = 2.316, 95%-iges CI: 1.362-3.939,  $p = 0.002$ ). Bei den operierten Sub-Kohorten aus dem SEER-Register korrelierten die totale Thyreoidektomie ( $p = 0.031$ ), die Verabreichung einer ChT ( $p = 0.007$ ), die RT ( $p < 0.001$ ), eine Kombination aus Operation und RT mit oder ohne ChT ( $p < 0.001$ ) und die multimodale Behandlung ( $p < 0.001$ ) mit einem verbesserten DSS univariat. Außerdem ergab sich bei der Debulking-Operation eine reziproke Proportionalität mit dem DSS ( $p < 0.001$ ). Bei der multivariaten Analyse war die Debulking-Operation ein unabhängiger Prädiktor für ein schlechteres DSS (HR = 0.535, 95%-iges CI: 0.332-0.862,  $p = 0.010$ ), während die RT-Verabreichung mit einem längeren DSS korrelierte (HR = 2.316, 95%-iges CI: 1.362-3.939,  $p = 0.002$ ). Insgesamt erwies sich in der vorliegenden Studie die Operation des Primärtumors als Thyreoidektomie in jeder Form, aber nicht als Debulking, als ein wichtiger Faktor für eine Verbesserung des Gesamt- und krankheitsspezifischen Überlebens bei den ATC-Patienten mit Fernmetastasen aus der SEER-Datenbank.

### 3. Zusammenfassung

Das anaplastische Schilddrüsenkarzinom (ATC) ist eine seltene, aber äußerst aggressive Erkrankung [1-7]. Die meisten Patienten sterben an dieser Erkrankung oder ihren Folgen innerhalb der ersten 6-12 Monate nach der Diagnose [6-7]. Bei den UICC-Stadien IVA und IVB ist die Strahlentherapie ein fester Bestandteil der Behandlung [29,35,57,137]. Die Entscheidung für eine RT im Stadium IVC hängt allerdings vor allem vom Allgemeinzustand des Patienten, vom Behandler und vom Mutationsstatus ab, weshalb keine allgemeingültige Behandlungsempfehlung möglich ist.

Die hypofraktionierte RT ist eine mögliche Behandlungsoption für ATC-Patienten, und zwar insbesondere im metastatischen Stadium, da eine solche lokale Therapie vergleichsweise kurz ist und die systemische Therapie daher nicht lange aufgeschoben werden muss. Darüber hinaus ergab sich präklinisch, dass mit hypofraktionierten Konzepten zumindest vergleichbare Ergebnisse erzielt werden können [116]. Gegenstand der vorliegenden kumulativen Arbeit war eine Untersuchung hypofraktionierter Therapiekonzepte für die Behandlung von ATC, wobei besondere Zielgruppen wie ältere Patienten ( $\geq 65$  Jahre), das metastasierte Stadium und die Integration anderer Therapiemodalitäten im Vordergrund standen.

In der systematischen Übersichtsarbeit und gepoolten Analyse der hypofraktionierten Strahlentherapie bei anaplastischem Schilddrüsenkarzinom wurden prognostische Faktoren, die Toxizität und der Behandlungserfolg bei 71 Patienten mit ATC untersucht und die hypofraktionierten Therapieschemata wurden mit der konventionellen Fraktionierung durch PSM verglichen. Dabei konnte nachgewiesen werden, dass dieses Fraktionierungsverfahren im Vergleich mit der konventionellen Fraktionierung hinsichtlich der Ergebnisse und der Toxizität nicht unterlegen war. Darüber hinaus konnten multimodale Behandlungsansätze und eine Dosisescalation von EQD2  $> 50$  Gy als signifikante prognostische Faktoren für das verbesserte Überleben identifiziert werden.

Die zweite Studie beschäftigte sich vor allem mit einer Bewertung der behandlungsbedingten Toxizität bei älteren Patienten (65 Jahre und älter), die sich einer multimodalen Behandlung von anaplastischem Schilddrüsenkrebs unterzogen. Die Studie bezog sich sowohl auf die Patientenkohorte von 26 Patienten aus unserer Institution als auch auf eine gepoolte Kohorte von 186 Patienten. Dabei wurden prognostische Faktoren ermittelt, die nur für diese Patientengruppe gelten, und die Prävalenz der häufigsten Grad 3 Toxizitäten wurde anhand der CTCAE bewertet. Die Ergebnisse deuten darauf hin, dass für diese spezielle Patientenkohorte ein multimodaler Therapieansatz, bestehend aus einer tumorgerichteten Operation, systemischer Therapie und adjuvanter Strahlentherapie, hinsichtlich der Verträglichkeit in Betracht gezogen werden könnte.

In der dritten Studie wurden prognostische Faktoren und Behandlungsergebnisse in einer Kohorte von  $n = 20$  Patienten mit metastasiertem ATC untersucht, die in unserem Zentrum behandelt wurden und dennoch eine Bestrahlung des Primärtumors erhielten. Bei Patienten mit metastasiertem ATC konnte durch die Bestrahlung eine günstige LC erreicht werden. Darüber hinaus konnte nachgewiesen werden, dass eine Intensivierung der Behandlung durch gleichzeitige oder sequentielle Chemotherapie und Eskalation der Strahlendosis auch bei fortschreitender Erkrankung mit einem verbesserten Überleben korreliert.

Bei der letzten Studie geht es um eine SEER-basierte Bewertung der chirurgischen Behandlung des Primärtumors bei metastasiertem ATC. Dabei sollte die Integration von chirurgischen oder anderen Behandlungsoptionen und prognostischen Faktoren bei metastasiertem ATC anhand von zwei großen Kohorten von 123 bzw. 617 Patienten bewertet werden. Ein wichtiges Ergebnis

besteht dabei u. a. darin, dass die R0/R1 Operation, im Gegensatz zum Debulking, sowie die Bestrahlung  $\geq 30$  Gy mit einem signifikant verlängertem Gesamtüberleben assoziiert sind. Eine Debulking Operation war ein unabhängiger Faktor für ein schlechteres, die Bestrahlung für ein verbessertes krankheitsspezifisches Überleben.

Zusammenfassend lässt sich feststellen, dass hypofraktionierte Therapiekonzepte insbesondere beim metastasierten Stadium IVC und einem günstigen Nebenwirkungsprofil eine angemessene Therapieoption darstellen können, die u. a. auch bei der multimodalen Behandlung und bei älteren Patienten eingesetzt werden kann ( $\geq 65$  Jahre).

## 4. Abstract

Anaplastic thyroid carcinoma (ATC) is a rare yet extremely aggressive condition [1-7]. The majority of patients succumb to the disease within the first 6 to 12 months following diagnosis [6-7]. Radiotherapy is an integral part of therapy in Union Internationale Contre le Cancer (UICC) stages IVA and IVB [29,35,57,137]. However, the decision to RT in stage IVC largely depends on the patient's general condition, treatment provider, and mutation status, so no universal treatment recommendation can be established.

Hypofractionated RT is a possible treatment option for ATC patients, especially in the metastatic stage, since such local therapy is comparatively short and systemic therapy will not be postponed for a long time. Furthermore, it has been shown preclinically that hypofractionated concepts can achieve at least comparable results [116]. This work aims to investigate hypofractionated therapy concepts in the treatment of ATC with a focus on particular target groups like elderly patients ( $\geq 65$  years), metastatic stage, and the integration of other therapy modalities.

In the systematic review and pooled analysis of hypofractionated radiotherapy for anaplastic thyroid cancer we analyzed prognostic factors, toxicity, and treatment success of 71 patients with ATC and compared the hypofractionated regimens with conventional fractionation by PSM. This fractionation regimen was shown to be non-inferior to conventional fractionation concerning outcome and toxicity. In addition, multimodality treatment approaches and dose escalation from EQD2  $> 50\text{Gy}$  were identified as significant prognostic factors for a better overall survival.

The second study was focused on evaluating treatment-related toxicity in elderly patients (aged 65 and above) who underwent multimodal treatment for anaplastic thyroid cancer. The study involved both the patient cohort of 26 patients from our institution and a pooled cohort of 186 patients. Prognostic factors unique to this patient group were identified, and the prevalence of the most common grade 3 toxicities according to the CTCAE was evaluated. The results suggest that for this specific patient cohort, a multimodal treatment approach, consisting of tumor-directed surgery, systemic therapy, and adjuvant radiotherapy, could be considered for its tolerability.

The third study examined prognostic factors and treatment results in a cohort of  $n = 20$  patients who developed metastatic ATC treated at our center and yet received irradiation to the primary tumor site. Patients with metastatic ATC had a beneficial local control when irradiated. Furthermore, it has been demonstrated that intensifying treatment through simultaneous or sequential chemotherapy and escalation of the radiation dose is also correlated with improved survival in cases of progressive disease.

The last study is a SEER-based evaluation of surgical treatment of the primary tumor in metastatic ATC. Hence, it aims to evaluate the integration of surgery or different surgical treatment options and prognostic factors in metastatic ATC using two large cohorts of 123 and 617 patients, respectively. An important finding is that R0/R1 surgery, in contrast to debulking, as well as radiation therapy  $\geq 30\text{ Gy}$ , are associated with significantly prolonged overall survival. A debulking surgery was an independent predictor for worse, while radiation therapy was associated with improved disease-specific survival.


In summary, hypofractionated therapy concepts are shown to be an appropriate treatment option, especially in metastatic ATC stage IVC with a favorable side effect profile, within the multimodality treatment framework, and in elderly patients ( $\geq 65$  years).

## 5. Paper I



Article

# Hypofractionated Radiotherapy for Anaplastic Thyroid Cancer: Systematic Review and Pooled Analysis

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**Simple Summary:** Anaplastic thyroid carcinoma is an aggressive cancer subtype with a dismal prognosis. Multimodal treatment approaches consisting of surgical resection, radiation therapy (RT) and chemotherapy have resulted in longer overall survival and promising outcomes. Hypofractionated RT is an alternative to conventional RT regimens. In this study, we aim to evaluate the outcome of hypofractionated regimens, perform a systematic review concerning hypofractionated RT and pooled analysis of this treatment modality. Hypofractionated RT appears to be non-inferior compared to conventional RT concerning OS after propensity score matching. In addition, radiation dose escalation correlated with a longer OS. In conclusion, hypofractionated RT is effective with manageable toxicity and could be an integral part in multimodal treatment.

**Abstract:** Anaplastic thyroid carcinoma (ATC) is associated with a poor prognosis due to aggressive tumor growth and high treatment resistance. Hypofractionated treatment concepts may be more effective and less time consuming compared to normofractionated radiotherapy (RT). In this retrospective study, we aim to evaluate the outcome of hypofractionated regimens and perform a systematic review concerning hypofractionated RT and pooled analysis of this treatment modality. A systematic review using the MEDLINE/Pubmed and Cochrane databases was performed. Data from all eligible studies were extracted, and a pooled analysis of literature and our cohort ( $n = 60$ ) was carried out to examine patient characteristics, toxicity, and outcomes of patients with ATC. As a result, median overall survival (OS) of the single center cohort was four (range 1–12) months. Survival rates at one, three, and six months were 82%, 55%, and 36%, respectively. In univariate analyses, multimodal treatment ( $p = 0.006$ ) and gender ( $p = 0.04$ ) were correlated with an improved OS. Six studies with a total number of 152 patients undergoing hypofractionated RT treatment were analyzed. The pooled analysis included four patient cohorts with 60 patients and showed median OS of 5.3 (range: 1–24) months. Multimodal treatment ( $p < 0.001$ ) and a cumulative radiation dose  $\geq 50$  Gy in equivalent dose in 2 Gy fractions (EQD2) ( $p = 0.014$ ) correlated with an improved OS. On multivariate analysis, multimodal treatment ( $p = 0.003$ , hazard ratio (HR): 0.636, 95% confidence interval (CI): 0.469–0.861) was an independent predictor for longer OS. After propensity score matching (PSM), hypofractionated RT appears to be non-inferior compared to normofractionated RT concerning OS. In conclusion, hypofractionated RT is effective with manageable toxicity. A dose escalation with  $\geq 50$  Gy (EQD2) correlated with a longer OS. Hypofractionated RT could be an integral part in multimodal treatment with a promising outcome.



**Keywords:** ATC; anaplastic thyroid cancer; hypofractionated; irradiation; survival

## 1. Introduction

Anaplastic thyroid carcinoma (ATC) remains one of the rarest and most aggressive neoplasms of the thyroid gland, enumerating a relatively stable incidence of approximately 3.4% in Europe [1]. ATC confers a dismal prognosis due to rapid progression with a median overall survival (OS) of 3–6 months [2]. Current treatment modalities incorporate multimodality approaches including surgery, radiotherapy (RT), and chemotherapy, as well as novel systemic treatment approaches with increasing research on targeted therapies including druggable BRAF V600E or RAS mutations, RET, ALK or NTRK fusions, and PD-L1 overexpression [3,4]. Depending on resectability and stage of disease, surgery with adjuvant chemoradiotherapy or definitive RT with concurrent chemotherapy (ChT) (usually with doxorubicin or platinum-based agent) can be considered standard of care [5,6]. Quality of life (QoL) and locoregional control represent primary treatment goals and need to be taken into account for decision making. Patients' overall prognosis should be considered when tailoring the treatment regimen. With the aim of a personalized treatment approach, patients with a limited prognosis should preferably receive a short palliative regimen consuming as little of the patients' remaining lifespan as possible.

To date, several established fractionation regimens can be administered in patients with ATC. Conventional irradiation once daily with 2 Gy per fraction up to 70 Gy of total dose was used for ATC treatment as an established standard option according to National Comprehensive Cancer Network (NCCN) Clinical Practice Guidelines in Oncology [5] and American Thyroid Association Guidelines [7]. Historically, altered fractionation techniques, e.g., hyperfractionated RT, have been introduced but failed to achieve less toxicity or improved outcome [6,8–10]. Delivery of higher radiation doses per fraction over a shorter period of time in form of hypofractionated RT could theoretically have advantages in terms of quality of life (QoL) and achieving local control (LC). In the preclinical study of Oweida et al. [11], hypofractionated RT demonstrated enhanced local tumor control compared to normofractionated RT in a mouse model. In addition, several clinical studies found promising results concerning hypofractionated RT in the treatment of ATC [12–14]. The aim of the present study is to evaluate the outcome and toxicity of hypofractionated regimens in the treatment of ATC at our tertiary care center and to perform a systematic review of literature with a pooled data analysis.

## 2. Results

### 2.1. Single Center Evaluation

#### 2.1.1. Treatment

A total of 17 ATC patients treated with hypofractionated RT at our center were identified. We excluded all patients treated in palliative intention and with a cumulative radiation dose  $\leq 30$  Gy. The remaining patients ( $n = 11$ ) were included in the analysis. Total thyroidectomy was performed in three patients (27%), respectively, before irradiation. ChT was administered in six patients (55%), four patients (67% of ChT group) received ChT (carboplatin AUC 2 with Paclitaxel 50mg/m<sup>2</sup> or doxorubicin (10 mg/m<sup>2</sup>) weekly) in combination with irradiation, while two patients (33% of ChT group) received ChT in a neoadjuvant concept with doxorubicin or carboplatin/paclitaxel before irradiation. Irradiation was administered using three-dimensional conformal RT (3D-CRT) technique in eight patients (73%), and three patients (27%) were treated using intensity modulated radiation therapy (IMRT). All patients were treated with single dose of 2.50 Gy (18%) or 3.00 Gy (82%). The cumulative radiation dose was calculated in equivalent dose in 2 Gy fractions (EQD2). The median EQD2 of our cohort was 49 (range 32–55) Gy (Table 1).

**Table 1.** Patient and treatment characteristics of single center cohort.

| Parameter                      | <i>n</i> |
|--------------------------------|----------|
| <b>Age, years</b>              |          |
| <73                            | 5 (46%)  |
| ≥73                            | 6 (55%)  |
| <b>Gender</b>                  |          |
| Male                           | 4 (36%)  |
| Female                         | 7 (64%)  |
| <b>ECOG-PS</b>                 |          |
| 0                              | 2 (18%)  |
| 1                              | 7 (64%)  |
| 2                              | 2 (18%)  |
| <b>T stage</b>                 |          |
| 3                              | 1 (9%)   |
| 4                              | 10 (91%) |
| <b>N stage</b>                 |          |
| 0                              | 1 (9%)   |
| 0                              | 10 (91%) |
| <b>M stage</b>                 |          |
| 0                              | 3 (27%)  |
| 1                              | 8 (73%)  |
| <b>UICC stage</b>              |          |
| IVB                            | 3 (27%)  |
| IVC                            | 8 (73%)  |
| <b>Surgery</b>                 |          |
| No                             | 8 (73%)  |
| Yes                            | 3 (27%)  |
| <b>Concurrent chemotherapy</b> |          |
| No                             | 4 (36%)  |
| Yes                            | 7 (64%)  |
| <b>Treatment</b>               |          |
| RT/CRT                         | 8 (73%)  |
| S+CRT                          | 3 (27%)  |
| <b>EQD2 level</b>              |          |
| < 45 Gy                        | 5 (46%)  |
| ≥ 45 Gy                        | 6 (55%)  |
| <b>RT technique</b>            |          |
| 3D-CRT                         | 8 (73%)  |
| IMRT                           | 3 (27%)  |

ECOG-PS = Eastern Cooperative Oncology Group Performance Score, UICC = Union internationale contre la cancer, IVB/IVC staging according to 8th edition of UICC, RT = radiation therapy, CRT = concomitant chemoradiotherapy, S+CRT = chemoradiotherapy following surgical resection.

### 2.1.2. Outcome

Median OS of the single center cohort was 4 (range 1–12, 95% confidence interval (CI): 0.763–7.237) months. Survival at one, three, and six months was 82%, 55%, and 36%, respectively (Table 2, Figure 1A). No local progression was observed during RT or within follow up. In univariate analyses, multimodal treatment ( $p = 0.006$ ) and gender ( $p = 0.04$ ) correlated with an improved OS (Table 2, Figure 1B,C), respectively. On multivariate analysis for OS no factor achieved significance. Age ( $p = 0.106$ ), Eastern Cooperative Oncology Group (ECOG) performance status ( $p = 0.326$ ), and RT technique ( $p = 0.701$ ) were not associated with OS.

**Table 2.** Uni- and multivariate analysis of overall survival (OS) in the single center cohort.

| Parameter                      | At 3 Months | At 6 Months | At 9 Months | <i>p</i> -Value (Univariate Analysis) | <i>p</i> -Value (Multivariate Analysis) |
|--------------------------------|-------------|-------------|-------------|---------------------------------------|---|
| <b>Age, years</b>              |             |             |             |                                       |   |
| <73                            | 60%         | 40%         | 40%         | 0.106                                 |   |
| ≥73                            | 50%         | 17%         | 0%          |                                       |   |
| <b>Gender</b>                  |             |             |             | 0.04                                  | 0.349                                   |
| Male                           | 71%         | 57%         | 43%         |                                       |   |
| Female                         | 25%         | 0%          | 0%          |                                       |   |
| <b>ECOG-PS</b>                 |             |             |             | 0.326                                 |   |
| 0                              | 100%        | 50%         | 50%         |                                       |   |
| 1                              | 57%         | 43%         | 29%         |                                       |   |
| 2                              | 0%          | 0%          | 0%          |                                       |   |
| <b>M stage</b>                 |             |             |             | 0.179                                 |   |
| 0                              | 100%        | 67%         | 67%         |                                       |   |
| 1                              | 38%         | 25%         | 13%         |                                       |   |
| <b>Treatment</b>               |             |             |             | 0.006                                 | 0.941                                   |
| RT/CRT                         | 38%         | 13%         | 0%          |                                       |   |
| S+CRT                          | 100%        | 100%        | 100%        |                                       |   |
| <b>Concurrent chemotherapy</b> |             |             |             | 0.327                                 |   |
| No                             | 57          | 29          | 14          |                                       |   |
| Yes                            | 50          | 50          | 50          |                                       |   |
| <b>EQD2 level</b>              |             |             |             | 0.241                                 |   |
| <45 Gy                         | 50%         | 33%         | 17%         |                                       |   |
| ≥45 Gy                         | 60%         | 40%         | 40%         |                                       |   |
| <b>RT technique</b>            |             |             |             | 0.701                                 |   |
| 3D-CRT                         | 50%         | 38%         | 38%         |                                       |   |
| IMRT                           | 67%         | 33%         | 0%          |                                       |   |

ECOG-PS = Eastern Cooperative Oncology Group Performance Score, UICC = Union internationale contre la cancer, IVA/IVB/IVC staging according to 8<sup>th</sup> edition of UICC, RT = radiation therapy, CRT = concurrent chemoradiotherapy, S+CRT = chemoradiotherapy following surgical resection, EQD2 = equivalent dose in 2Gy per fraction.

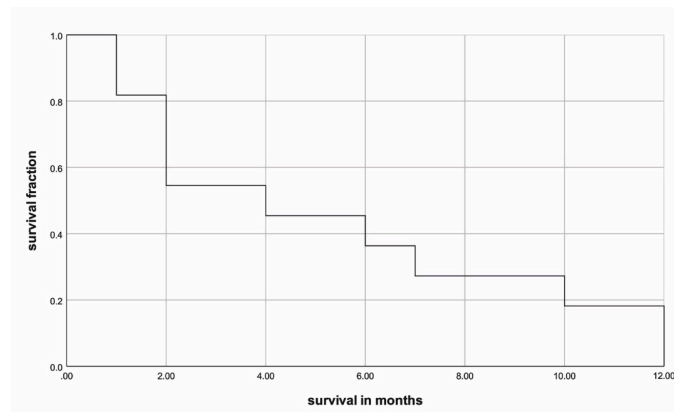
### 2.1.3. Treatment-Related Toxicity

Adverse events were evaluated according to the Common Terminology Criteria for Adverse Events (CTCAE) Version 4. The most frequent side effects of local radiation were dysphagia, dysphonia, dermatitis, and mucositis. Grade 3 acute toxicities of dysphagia, dysphonia, dermatitis, and mucositis were observed in 18%, 18%, 9%, and 9% of patients, respectively. Therapy-related toxicity grade 4/5 was not observed.

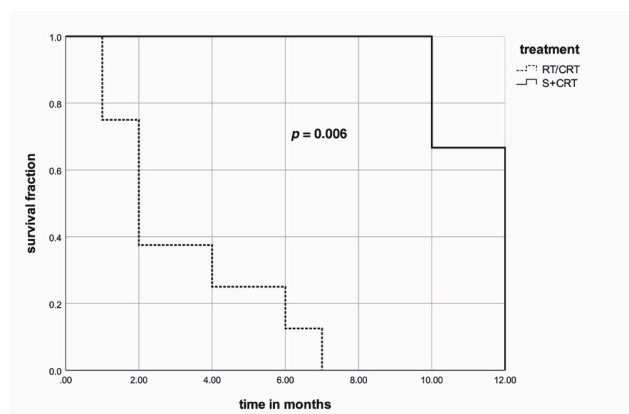
### 2.2. Systematic Review

In total, 267 studies were yielded by an initial literature search (MEDLINE/PubMed). Evaluation of the Cochrane database did not provide any eligible data. In total, 261 publications were manually excluded after abstract and full-text screening. Fifty-six of the excluded papers were reviews and hence inspected for relevant citations. All of the cited studies on hypofractionated RT were excluded due to the publication dates not meeting inclusion criteria. After abstract screening, 219 studies were excluded for reasons shown in Figure 2. A total of 48 publications was selected for full-text analysis. Six publications met inclusion criteria and were included in the systematic review (Figure 2; [12–17]). Included publications involved patient cohorts with heterogeneous stage distribution ranging from 26 to 62 patients [12–17]. Hypofractionated RT was administered to a total of 152 patients with at least 43% of all patients diagnosed in UICC stage IVC. Characteristics of patients, treatment modalities, symptoms, outcome, and toxicities that were reported in the included studies are shown in Tables 3–6.

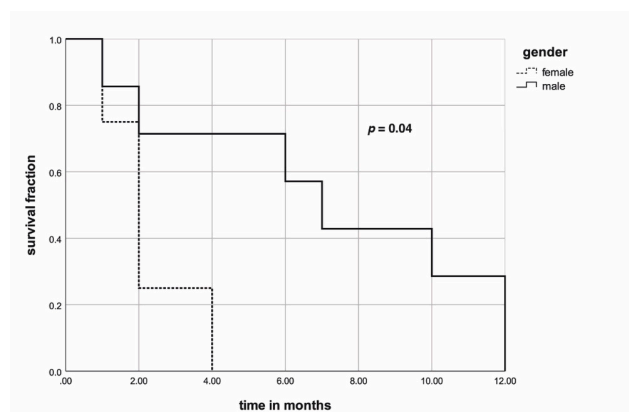
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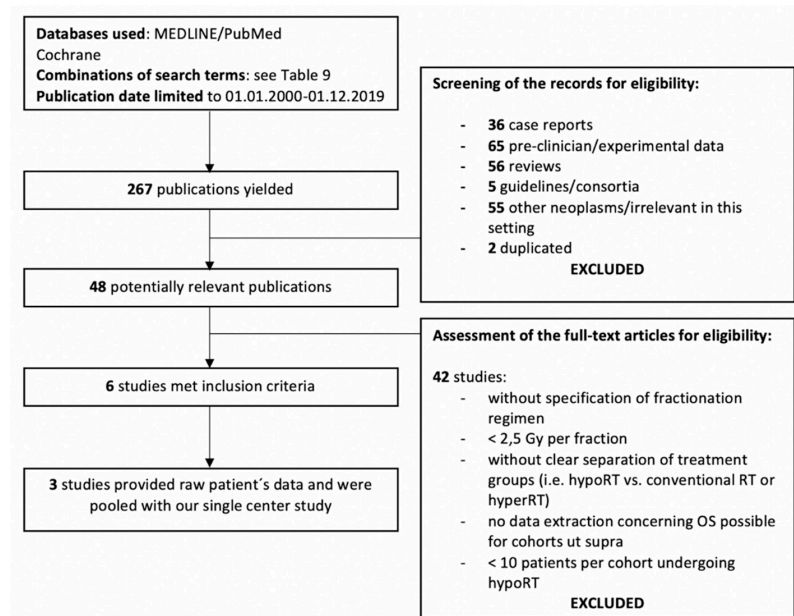
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C.



**Figure 1.** (A) Kaplan–Meier curve concerning overall survival of the single center cohort. (B) Kaplan–Meier curves concerning treatment mode for overall survival in the single center cohort. The  $p$ -value was calculated with the log-rank test. (C) Kaplan–Meier curves concerning gender for overall survival in the single center cohort. The  $p$ -value was calculated with the log-rank test.



**Figure 2.** A PRISMA (Preferred Reporting Items for Systematic Reviews and Meta-Analyses) flowchart for systematic review of literature with results summary.

Four studies [14–17] reported patient symptoms at initial diagnosis, but only Wang et al. [16] specified the symptoms of the cohort administered hypofractionated RT. Apart from the most common symptom of neck mass (73–88%), several impairments have been reported, including dysphagia (17–54%), dysphonia (31–50%), dyspnea (20–33%), and other [12,16]. Surgery and ChT was reported in 22–82% and 14–88% of hypofractionated RT treated patients, respectively. The median prescribed total dose was  $\leq 54$  Gy with the median dose per fraction ranging from 3 Gy to 5 Gy. Median OS was 3–9.3 months. Two authors reported a relatively long median OS of 9.3 and 6 months, respectively [12,14]. Survival rates at three, six, and 12 months were reported or calculated according to data of four authors [12,13,16,17]. Remarkably, a patient cohort of Stavvas et al. [12] stands out with a survival rate at 12 months of 41.2%. Local recurrence rate ranged from 18% up to 29%.

### 2.3. Pooled Data Evaluation

Individual patients' data of three cohorts [12,13,17] met our database assessment protocol and were, therefore, pooled with our single center cohort ( $n = 71$ ) for further evaluation. After exclusion of palliative radiation with a cumulative radiation dose  $< 30$  Gy (EQD2), pooled analysis included a total of 60 patients treated with hypofractionated RT. Median age was 73 (range 49–92) years, 42% showed ECOG  $\geq 2$ , and 50% of patients presented with distant metastases at initial diagnosis. Furthermore, 60% in the pooled cohort received an EQD2 dose of hypofractionated RT  $\geq 50$  Gy. Single dose ranged from 2.50 Gy to 5.00 Gy in the pooled patient cohort. Concurrent ChT was administered in 62% of patients and 42% underwent either total or partial thyroidectomy.

Median OS of the pooled patient cohort was 5.3 (range: 1–24, 95% CI: 3472–7128) months. Survival at three, six, and 12 months were 69%, 46%, and 17%, respectively (Figure 3A).

**Table 3.** Characteristics of patient cohorts and treatment modalities in the systematic review.

| Author                         | Number of Patients (n)   | Median Age (Years)        | Presence of Metastases | Stage Distribution IVA/IVB/IVC (%) | hypoRT in (n) Patients | Surgery        | ChT            | Detailed RT Information  |
|--------------------------------|--|---------------------------|------------------------|------------------------------------|------------------------|----------------|----------------|--|
| Goutsouliak et al. (2004) [16] | 62 referred cases; 57: received radiotherapy, 33 in palliative intention | 84 (n = 62)               | 16% (n = 62)           | NR/NR/16 (n = 62)                  | 49                     | 21.0% (n = 62) | 14.5% (n = 62) | (1) n = 33: 30 Gy/3 Gy<br>(2) n = 8: 50 Gy/2.5 Gy<br>(3) n = 5: 40 Gy/2.67 Gy<br>(4) n = 2: 45 Gy/2.5 Gy<br>(5) n = 1: 45 Gy/3 Gy  |
| Wang et al. (2006) [17]        | 47: 24 in palliative intention   | 70.5 (46.1–89.7) (n = 24) | 25% (IVC)              | 8/67/25 (n = 24)                   | 24                     | 37.5%          | 16.7%          | Median 20 Gy/4Gy (5–40Gy/4Gy)  |
| Stavas et al. (2014) [12]      | 17   | 70 (59–84)                | 47% (n = 17)           | 41/12/47 (n = 17) AJCC 7th edition | 17                     | 82.4%          | 88.2%          | Median 54Gy/3Gy (40–62.5Gy/2.5–4Gy)  |
| Nachalon et al. (2015) [14]    | 26 patients: 12 treated in palliative intention                          | NR                        | 52% (n = 23)           | NR/NR/52% (n = 12)                 | 23                     | 21.7%          | 47.8%          | (1) resectable & ECOG<2: S+RCT 60–70Gy (n = 5)<br>(2) non-resect. & ECOG<2: RCT 70Gy (n = 6)<br>(3) M+ & ECOG<2: 50Gy (n = 9)<br>(4) M+ & ECOG>2: 30Gy (n = 3)<br>(5) no treatment (n = 3) |
| So et al. (2017) [15]          | 30: 18 treated in palliative intention                                   | 78 (63–92, n = 14)        | 50% (n = 14)           | 21/29/50 (n = 14)                  | 14                     | 28.6%          | 14.3%          | Median 45 Gy/3 Gy (18–45Gy/2.5–6Gy)  |
| Takahashi et al. (2018) [13]   | 33   | 71 (49–87) (n = 25)       | 40% (IVC)              | 19/32/40 (other 1.2%)              | 25                     | 28.0%          | 48.0%          | Median 50Gy/5Gy (5–60Gy/3–6Gy)   |

NR = not reported, hypoRT = hypofractionated radiotherapy, IVC = UICC (Union international contre la cancer stage according to 7th edition), ECOG = Eastern Cooperative Oncology Group performance score, AJCC = American Joint Committee on Cancer.

**Table 4.** Outcome of anaplastic thyroid carcinoma (ATC) patients undergoing hypofractionated radiotherapy (RT).

| Author                         | Median FU (95% CI) in Months | Survival after 3 Months | Survival after 6 Months | Survival after 12 Months | Median Survival (95% CI) in Months                               |
|--------------------------------|------------------------------|-------------------------|-------------------------|--------------------------|--|
| Goutsouliak et al. (2004) [15] | 3 (0.6–20)                   | NR                      | NR                      | NR                       | NR for other hypofractionated treatment modalities<br>3 (0.6–20) |
| Wang et al. (2006) [16]        | 4.7 (0.2–11.4)               | 54.2%                   | 16.7%                   | 0%                       | 3.2 (0.2–NR, <9)   |
| Stavas et al. (2014) [12]      | 9.3 (4.6–14)                 | 94.1%                   | 70.6%                   | 41.2%                    | 9.3 (4.6–14)   |
| Nachalon et al. (2015) [14]    | 6 (2.1–9.8)                  | NR                      | NR                      | NR                       | 6 (2.1–9.8)  |
| So et al. (2017) [17]          | 3.4 (1.9–4.9)                | 57.1%                   | 21.4%                   | 7.1%                     | 3.4 (1.9–4.9)  |
| Takahashi et al. (2018) [13]   | 3 (2.5–3.5)                  | 42.9%                   | 23.8%                   | 4.8%                     | 3 (2.5–3.5)  |

NR—not reported.

**Table 5.** Acute Common Terminology Criteria for Adverse Events (CTCAE) and Radiation Therapy Oncology Group (RTOG)  $\geq$  grade 3 adverse events due to the hypofractionated treatment.

| Author                         | CTCAE/RTOG $\geq$ Grade 3 Events |         |           |           |            |  | Local Recurrence       |
|--------------------------------|----------------------------------|---------|-----------|-----------|------------|--|------------------------|
|                                | Dysphagia                        | Dyspnea | Dysphonia | Mucositis | Dermatitis | Other Symptoms or Supportive Interventions       |                        |
| Goutsouliak et al. (2004) [15] | NR                               | NR      | NR        | NR        | NR         | NR   | NR                     |
| Wang et al. (2006) [16]        | NR                               | NR      | NR        | 0         | 0          | 4.2% esophagitis                                 | 20.1%                  |
| Stavas et al. (2014) [12]      | 24%                              | NR      | NR        | NR        | 24%        | 18% esophagitis;<br>23.5% PEG post-RT            | 18%                    |
| Nachalon et al. (2015) [14]    | 0                                | 0       | 0         | 0         | 0          | 23%: PEG<br>35%: tracheostomy                    | NR                     |
| So et al. (2017) [17]          | 0                                | 0       | 0         | 0         | 0          | 0  | 29%                    |
| Takahashi et al. (2018) [13]   | 26%                              | NR      | NR        | 5%        | 5%         | 10% tracheal necrosis & injury to carotid artery | 28%<br>5% died from LR |

NR = not reported, PEG = percutaneous endoscopic gastrostomy, LR = local recurrence.

**Table 6.** Patient and treatment characteristics of pooled patient cohort.

| Parameter                      | <i>n</i> |
|--------------------------------|----------|
| <b>Age, years</b>              |          |
| <73                            | 30 (50%) |
| $\geq$ 73                      | 30 (50%) |
| <b>Gender</b>                  |          |
| Male                           | 31 (52%) |
| Female                         | 29 (48%) |
| <b>ECOG-PS</b>                 |          |
| 0–1                            | 35 (58%) |
| 2–4                            | 25 (42%) |
| <b>UICC stage</b>              |          |
| IVA                            | 6 (10%)  |
| IVB                            | 22 (37%) |
| IVC                            | 30 (50%) |
| unknown                        | 2 (3%)   |
| <b>EQD2 level</b>              |          |
| <50 Gy                         | 24 (40%) |
| $\geq$ 50 Gy                   | 36 (60%) |
| <b>Single dose</b>             |          |
| 2.5–3.5 Gy                     | 40 (67%) |
| 4–5 Gy                         | 20 (33%) |
| <b>Concurrent chemotherapy</b> |          |
| No                             | 23 (38%) |
| Yes                            | 37 (62%) |
| <b>Treatment</b>               |          |
| RT                             | 24 (40%) |
| CRT                            | 11 (18%) |
| S + CRT                        | 25 (42%) |

ECOG-PS = Eastern Cooperative Oncology Group Performance Score, UICC = Union internationale contre la cancer; IVA/IVB/IVC staging according to 8<sup>th</sup> edition of UICC, RT = radiation therapy, EQD2 = equivalent dose in 2Gy per fraction, CRT = concurrent chemoradiotherapy, S+CRT = chemoradiotherapy following surgical resection.

In univariate analysis, EQD2 dose in exceed of 50 Gy ( $p = 0.014$ ) and administration of multimodal treatment (surgery and chemoradiotherapy (S + CRT),  $p < 0.001$ ) correlated with an improved OS (Table 7, Figure 3B,C), respectively. A trend for improved survival was found in younger age ( $<73$  age,  $p = 0.068$ ) and a single dose level of 2.5–3.5 Gy ( $p = 0.077$ ). On multivariate analysis, multimodal treatment ( $p = 0.003$ , hazard ratio [HR]: 0.636, 95% confidence interval [CI]: 0.469–0.861) were significantly associated with an improved OS, whereas a higher EQD2  $>50$  Gy ( $p = 0.065$ ) did not achieve significance on multivariate analysis.

**Table 7.** Uni- and multivariate analysis of overall survival (OS) of the pooled patient cohort.

| Parameter                      | At Three Months | At Six Months | At 12 Months | <i>p</i> -Value<br>(Univariate Analysis) | <i>p</i> -Value<br>(Multivariate Analysis) |
|--------------------------------|-----------------|---------------|--------------|--|--|
| <b>Age, years</b>              |                 |               |              |  |  |
| <73                            | 77%             | 58%           | 19%          | 0.068                                    |  |
| ≥73                            | 62%             | 35%           | 15%          |  |  |
| <b>Gender</b>                  |                 |               |              |  |  |
| Male                           | 76%             | 50%           | 8%           | 0.743                                    |  |
| Female                         | 62%             | 41%           | 24%          |  |  |
| <b>ECOG-PS</b>                 |                 |               |              |  |  |
| 0–1                            | 77%             | 49%           | 15%          | 0.95                                     |  |
| 2–4                            | 59%             | 41%           | 30%          |  |  |
| <b>UICC stage</b>              |                 |               |              |  |  |
| IVA/B                          | 74%             | 51%           | 25%          | 0.119                                    |  |
| IVC                            | 67%             | 42%           | 11%          |  |  |
| <b>EQD2 level</b>              |                 |               |              |  |  |
| <50 Gy                         | 50%             | 33%           | 8%           | <b>0.014</b>                             | <b>0.065</b>                               |
| 50 Gy                          | 82%             | 54%           | 24%          |  |  |
| <b>Single dose</b>             |                 |               |              |  |  |
| 2.5–3.5 Gy                     | 73%             | 51%           | 23%          | 0.077                                    |  |
| 4–5 Gy                         | 62%             | 34%           | 6%           |  |  |
| <b>Concurrent chemotherapy</b> |                 |               |              |  |  |
| No                             | 73%             | 44%           | 11%          | 0.286                                    |  |
| Yes                            | 67%             | 47%           | 20%          |  |  |
| <b>Treatment</b>               |                 |               |              |  |  |
| RT/CRT                         | 52%             | 24%           | 12%          | <b>&lt;0.001</b>                         | <b>0.003</b>                               |
| S+CRT                          | 92%             | 68%           | 32%          |  |  |

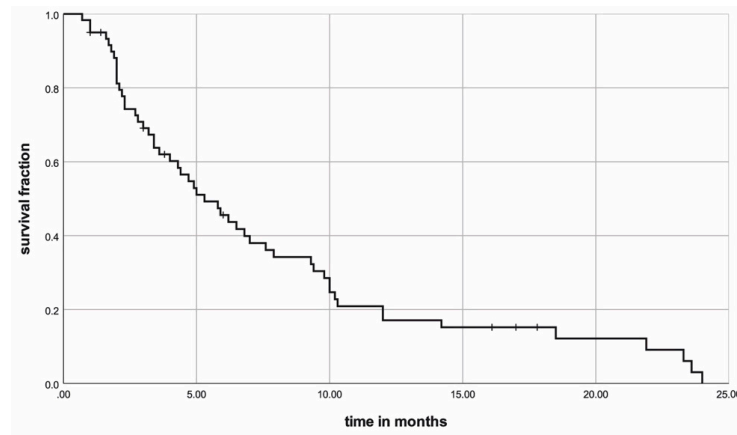
ECOG-PS = Eastern Cooperative Oncology Group Performance Score, UICC = Union internationale contre la cancer, IVA/IVB/IVC staging according to 8th edition of UICC, RT = radiation therapy, EQD2 = equivalent dose in 2Gy per fraction, CRT = concurrent chemoradiotherapy, S+CRT = chemoradiotherapy following surgical resection.

#### 2.4. Propensity Score Matching (PSM)

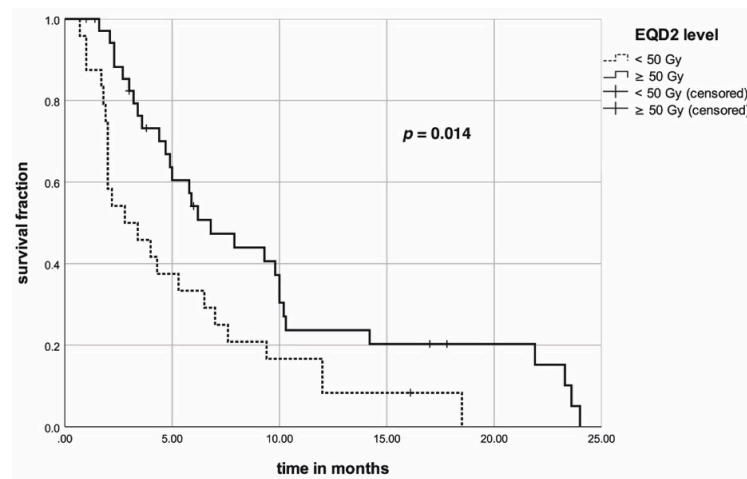
Individual patients' data of three cohorts [12,13,17] met our database assessment protocol, and our single center cohort were included in the propensity score matching (PSM) analysis. Normofractionated RT was defined as a single dose of less than 2.5 Gy and hypofractionated RT with  $\geq 2.5$  Gy. Patients receiving palliative radiation with  $\leq 30$  Gy were excluded from evaluation. Patients treated with normofractionated RT were matched in a 1:2 ratio to patients treated hypofractionated RT. To each patient treated with normofractionated RT, two corresponding patients with exactly the same ECOG PS and gender were matched. PSM also considered age and treatment mode. Eighteen normofractionated patients were matched to 36 hypofractionated patients (Table 8). In the normofractionated subgroup, 83% of all patients were treated with a single dose of 2 Gy and the median cumulative radiation was 60 Gy (range: 44–71, EQD2). In the hypofractionated subgroup, median cumulative radiation dose was 55 Gy (range: 33–65, EQD2).



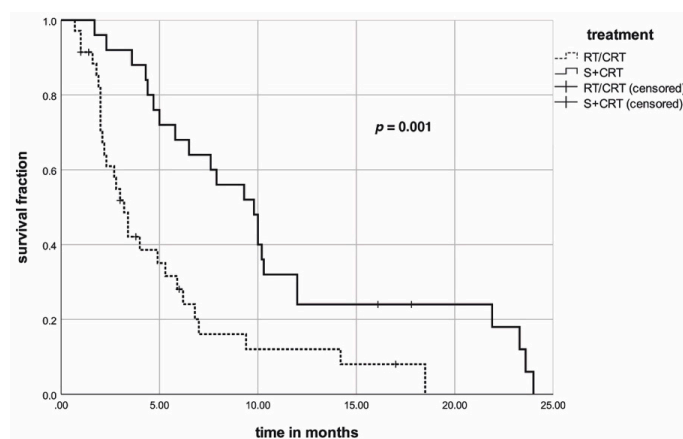
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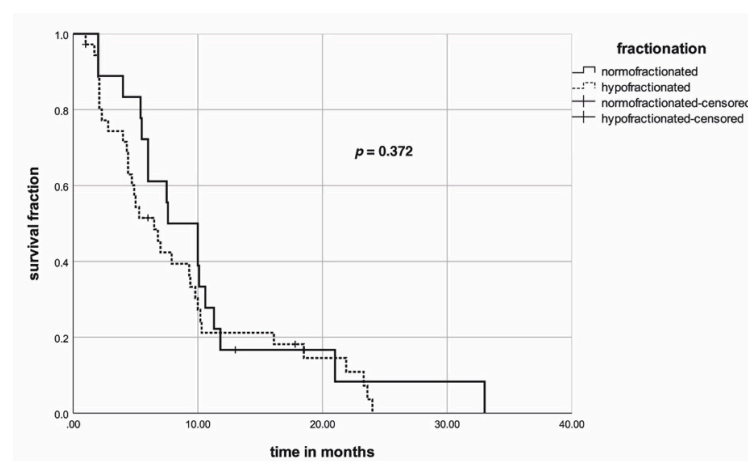


**Figure 3.** (A) Kaplan–Meier curve for overall survival of pooled patient cohort. (B) Kaplan–Meier curves concerning EQD2 level for overall survival of pooled patient cohort. The  $p$ -value was calculated with the log-rank test. (C) Kaplan–Meier curves concerning multimodal treatment for overall survival of pooled patient cohort. The  $p$ -value was calculated with the log-rank test.

**Table 8.** Patient and treatment characteristics of propensity score matching (PSM) cohort.

| Parameter               | Entire PSM-Cohort<br>N (%) | Normofractionated<br>Subgroup N (%) | Hypofractionated<br>Subgroup N (%) | <i>p</i> -Value |
|-------------------------|----------------------------|-------------------------------------|------------------------------------|-----------------|
| Total                   | 54 (100)                   | 18 (33)                             | 36 (67)                            |                 |
| Age, years (range)      | 70 (54–86)                 | 68 (55–83)                          | 71 (54–86)                         | 0.235           |
| Gender                  |                            |                                     |                                    |                 |
| Male                    | 27 (50)                    | 9 (50)                              | 18 (50)                            | 0.999           |
| Female                  | 27 (50)                    | 9 (50)                              | 18 (50)                            |                 |
| ECOG                    |                            |                                     |                                    |                 |
| 0–1                     | 48 (89)                    | 16 (89)                             | 42 (89)                            | 0.999           |
| 2–4                     | 6 (11)                     | 2 (11)                              | 4 (11)                             |                 |
| UICC stage              |                            |                                     |                                    |                 |
| IVA                     | 4 (10)                     | 2 (11)                              | 2 (6)                              | 0.002           |
| IVB                     | 23 (37)                    | 13 (72)                             | 10 (28)                            |                 |
| IVC                     | 26 (50)                    | 3 (17)                              | 23 (64)                            |                 |
| EQD2 level              |                            |                                     |                                    |                 |
| <50 Gy                  | 14 (26)                    | 2 (11)                              | 12 (33)                            | 0.082           |
| ≥50 Gy                  | 40 (74)                    | 16 (89)                             | 24 (67)                            |                 |
| Concurrent chemotherapy |                            |                                     |                                    |                 |
| No                      | 18 (33)                    | 6 (33)                              | 12 (33)                            | 0.999           |
| Yes                     | 36 (67)                    | 12 (67)                             | 24 (67)                            |                 |
| Treatment               |                            |                                     |                                    |                 |
| RT/CRT                  | 26 (48)                    | 6 (33)                              | 20 (56)                            | 0.128           |
| S+CRT/RT                | 28 (52)                    | 12 (67)                             | 16 (45)                            |                 |

Median OS of the entire PSM cohort was seven months (range: 1–33) with six, 12, and 24 months survival rates of 55%, 20%, and 3%. Median OS of the normofractionated RT subgroup was eight months (range: 1–33) with six, 12, and 24 months survival rates of 61%, 17%, and 8%. Median OS of the hypofractionated RT subgroup was seven months (range: 1–24) with six, 12, and 24 months survival rates of 52%, 21%, and 0%. Fractionation regimen achieved no significance ( $p = 0.372$ ) in univariate analysis for OS (Figure 4).



**Figure 4.** Kaplan–Meier curves concerning fractionation regimen for overall survival of PSM cohort. The *p*-value was calculated with the log-rank test.

### 3. Discussion

We report on the utilization of hypofractionated RT in a pooled patient cohort of 71 patients with ATC. To our knowledge, this is one of the largest studies reported to date, evaluating hypofractionated RT that was defined as a single dose per fraction  $\geq 2.5$  Gy [12,13,17].

The outcomes concerning OS and treatment-related toxicity reported in our pooled analysis are consistent with previous reports, with the majority of ATC patients presenting with symptomatic or metastatic disease. Improved OS in our cohort was observed in patients receiving multimodal treatment ( $p = 0.006$ ) and male patients ( $p = 0.04$ ). Administering ChT concurrent to hypofractionated RT showed a survival benefit of more than 30% at 12 months but was not an independent predictor ( $p = 0.327$ ). The results of the pooled data analysis suggest that a total dose of EQD2  $\geq 50$  Gy ( $p = 0.014$ ) and multimodal treatment ( $p < 0.001$ ) correlate with longer survival and, hence, are crucial for favorable OS.

When applied in ATC, conventional RT has been shown to provide symptom palliation with similar outcomes compared to conventional RT regarding local control [6,12,13,17]. In this context, Oweida et al. [11] investigated radiosensitivity toward hypofractionated RT of human ATC cell lines in an orthotopic mouse model [11,18] following the *in vitro* characterization of the levels of radiosensitivity based on genetic profiling of the ATC cell lines. The definition of hypofractionated RT at  $\geq 2.5$  Gy per fraction is aligned with our treatment protocol. A 51.8-fold decrease in local tumor growth ( $p = 0.0097$ ) assessed by average photon radiance ( $p = 0.0094$ ) *in vivo* at day 36 was reported in that study compared to the control, whereas conventional RT showed a 6.7-fold decrease ( $p = 0.0057$ ), respectively. In addition, hypofractionated RT treated mice had significantly longer OS than conventionally irradiated mice (HR = 6.049, 95% CI 1.863–28.05,  $p < 0.001$ ) and a decreased rate of pulmonary metastases ( $p < 0.001$ ), resulting in a strong preclinical rationale for the utilization of hypofractionated RT concepts.

To date, however, the use of hypofractionated RT in the treatment for ATC remains highly controversial. It is still mostly administered in palliative setting with a common cumulative dose  $\leq 30$  Gy [6]. Despite extensive research, studies comparing differently fractionated RT regimens for ATC are not available. For this purpose, we have investigated hypofractionation as an integral part of ATC treatment. Due to its rapid progression and the early onset of metastatic disease, management of ATC patients requires a multimodal approach including surgical resection of the primary tumor followed by chemoradiation [5–7].

The most recent study on ATC of Fan et al. [19] provided a comprehensive retrospective analysis of different outcomes in 104 ATC patients treated in a multimodal approach, which was administered to a total of 51% of patients and had a significant association ( $p = 0.017$ ) with a decreased risk of local disease progression, but no association with OS was found. Multimodal treatment approaches such as surgery followed by concurrent chemoradiotherapy have been shown to be significantly relevant for the beneficial OS as an independent predictor by Glaser et al. [20]. Similar findings were reported by several authors [12,20–23] and may be attributable to lower recurrence rate [24] and a decrease in local complication rate caused by impending of trachea or damage to esophagus and carotid artery [23,25]. Our single center data as well as our pooled analysis supports the multimodal treatment approach ( $p = 0.006$ ,  $p < 0.001$ ).

However, normofractionated RT remains the standard care in these studies, and data evaluating other fractionation regimens such as hypofractionation are limited [20–23,26]. Conversely, studies gathered by systematic review investigated the integration of hypofractionation into the treatment. Nachalon et al. [14] investigated hypofractionated RT in 23 patients with ATC (surgical resection performed in 22%) and reported ChT to have a significant effect on survival ( $p = 0.01$ ; administered to 48% of all patients). Stavas et al. [12] applied hypofractionated RT to 17 ATC patients in combination with surgery (82%) and ChT (88%–paclitaxel with or without carboplatin). Notably, Stavas et al. [12] and Nachalon et al. [14] do also stand out with their reported survival rates of 9.3 (range: 4.6–14) and 6 (range 2.1–9.8) months, respectively. These OS-rates are comparable to what has been reported for the entire cohort by e.g., Fan et al. [19] (seven months: 95%; CI: 4.5–9.5 months), where hyperfractionation

and conventional fractionation regimens were used instead. Therefore, integration of hypofractionated RT into multimodal treatment could be considered for patients with ATC.

Apart from multimodal approaches, one of the crucial findings concerning radiotherapy for ATC was a significant dose-response relation [20,26,27]. Wendler et al. [26] showed the dose-response relation in a multi-center study for a cohort consisting of 100 patients with a total EBRT > 40 Gy (HR = 0.34, 95% CI 0.15–0.76,  $p = 0.008$ ).

Large-scale analyses of patients from National Cancer Data Base by Glaser et al. [20] or Pezzi et al. [27] showed improved OS to be associated with high-dose RT in exceed of 59.3 Gy (HR = 0.67,  $p < 0.005$ ) and 59 Gy ( $p = 0.008$ ), respectively. These results are comparable to our findings in both, single center and pooled data evaluation with an EQD2 > 50 Gy being associated with longer OS. Importantly, data of Nachalon et al. [14] on the beneficial outcome of ATC patients treated with hypofractionated RT in curative intention ( $p < 0.001$ ) possibly implies comparable dose-response relation given different irradiation dosages of the gross tumors (70 Gy vs. 50–63 Gy vs. <30 Gy). Nevertheless, decisions for specific treatments were made based on individual characteristics of patients, including performance status, disease progression and resectability. Compared to our data, Takahashi et al. [13] similarly reported a total dose of >50 Gy ( $p = 0.049$ ) to correlate with longer OS in the univariate analysis. In order to compare normofractionated to hypofractionated RT, we performed a PSM analysis based on the same database assessment protocol with a 1:2 matching. After exclusion of palliative treatment and adjustment for performance status and gender, hypofractionated RT appears to be non-inferior to normofractionated RT concerning OS. Although, ATC is thought to be relatively radioresistant, treatment response could be achieved with sufficient cumulative radiation doses using hypofractionated regimens.

Development of distant metastases is a common part of disease progression in patients with ATC and can thus be a limiting factor for therapy related decisions. It is considered a significant risk factor for the survival [28]. Correspondingly, Stavas et al. [12] demonstrated a difference in the median OS for those patients with and without distant metastases (6.4 months vs. 14.2 months), respectively. This is also comparable with the results on metastatic status that were found in the studies mentioned previously [20,21,26,27]. In contrast, however, Wang et al. [16] and our study found no impact of TNM stage on progression-free survival or OS.

In addition, Quality of life (QoL) remains one the most important therapy goals in ATC and sufficient palliation of symptoms impacts OS and PFS. Indeed, Sugitani et al. [28] evaluated 677 patients with ATC from 38 different institutions and identified presence of acute local symptoms, such as severe dysphonia, dysphagia, dyspnea, and progressive tumor growth <1 month ( $p = 0.0014$ ), as significant risk for shorter OS in both univariate and multivariate analysis. Correspondingly, hypofractionation was reported to achieve local control in 71% of patients in an Australian study of So et al. [17]. It was administered to a cohort of 14 patients, who had a distant metastatic disease in 50%. In total, several studies [12,13,16,17] gathered by systematic review showed that hypofractionation can sufficiently provide an acceptable local control rate of 71–82% at the time of the last follow-up or death. This is comparable to the study mentioned previously [19] and not inferior to the results of single or combined modality treatment of Veness et al. [29]. In our study, however, we found no local progression during RT or within follow-up ( $\leq 12$  months).

Based on our data, irradiation with higher dosages per single fraction over a shorter period of time is sufficient to effectively reduce primary tumor volume. Importantly, radiotherapy-induced acute and late toxicities need to be considered using alternative fractionation regimens [30]. We found a manageable treatment-related toxicity of hypofractionated RT in our single center cohort as well as studies included into systematic review [12–14,16,17]. These results, especially of Stavas et al. [12], are similar to our single center data and seem to have more tolerable toxicity profiles than in the previously mentioned studies. On the contrary, toxicity rates obtained in the study of Takahashi et al. [13] excel across the studies included in the systematic review. The authors used an ultra-hypofractionated RT in ATC patients with a median dose per fraction of 5 Gy [13]. Therefore, patients in that study

developed acute grade 3 dysphagia, mucositis, and dermatitis in 26%, 5%, and 5% of cases, respectively, in the hypofractionated RT group ( $n = 19$ ), but also one case of grade 4 toxicity due to the injury of trachea and one case of grade 5 injury of carotid artery (18%) were reported. We found that hypofractionated RT ( $\geq 4\text{Gy/fr}$ ) is not beneficial for OS compared to moderate hypofractionated RT. Importantly, RT with a single dose of 2.50 to 3.50 Gy per fraction shows a trend of more favorable survival compared with  $\geq 4$  Gy (12-month survival rate of 23 versus 6%,  $p = 0.077$ ). Currently, the extent to which ultra-hypofractionation is associated with greater toxicity rates is controversial, as it has been reported for several other cancer subtypes [31].

Historically, hyperfractionated RT was considered as an alternative to normo- or hypofractionated RT regimen [32]. Dandekar et al. [10] treated 39 patients (80% with ATC) with hyperfractionated RT and were confronted with higher toxicity rates, when compared to our results: 38%, 12%, 30%, and 30% of grade 3 erythema, desquamation, dysphagia and esophagitis were reported. Respectively, grade 4 toxicity was reported in for 18%, 9%, 44%, and 47% of cases ( $n = 34/39$ ). In addition, local control (complete/partial response and stable disease) was reported in a total of 85% of patients in that research group, which is comparable to the reported results of studies from our systematic review.

With respect to the pathogenesis of radiation-induced toxicities, irradiation dosage may not be the only influence on the rate of adverse events [30]. The actual irradiation technique impacts radiation-induced acute and late toxicities. E.g., IMRT is reported to be safer by delivering higher doses of irradiation (66 Gy vs. 60 Gy 3D-CRT,  $p = 0.005$ ) with a better homogeneity than 3D-CRT, sparing high-risk regions (e.g. salivary gland, myelon) and to have a beneficial impact on OS and progression-free survival (PFS) (OS: HR = 0.30,  $p = 0.005$ ; PFS: HR = 0.33,  $p = 0.005$ ) [33]. Potential escalations are therefore possible because of a lower rate on severe toxicities—a total of 2 patients was reported to develop CTCAE Grade 3 dermatitis after IMRT by Park et al. [33]. In our study, however, IMRT technique did not achieve significance for beneficial OS in the univariate analysis ( $p = 0.701$ ).

Several limitations must be considered for our study such as the retrospective nature and, therefore, a risk of including hidden selection biases. Despite the small patient numbers and long recruiting time in our single center cohort, our pooled analysis remains one of the largest studies reported to date.

Hypofractionated RT shows manageable toxicity with acceptable local control even in dose-escalated regimens. Further prospective studies need to address hypofractionated RT in the context of multimodal treatment of ATC.

## 4. Patients and Methods

### 4.1. Single Center Evaluation

The study was ethically approved by the Institutional Review Board (IRB) of Ludwig-Maximilians University in Munich, Germany (approval number: 20-023). All consecutive patients with histologically confirmed ATC irradiated between 2009 and 2019 were evaluated. Hypofractionated RT to the primary tumor was defined as an irradiation with a single dose of 2.5 Gy or more. Patients receiving palliative radiation with a cumulative dose of  $\leq 30$  Gy were excluded. As a result, 11 (32%) patients were irradiated with a hypofractionated regimen and included in the single center cohort (Table 1).

### 4.2. Systematic Review of Literature

A complete literature search was conducted using MEDLINE/Pubmed (National Center for Biotechnology Information, Bethesda, MD, USA) and Cochrane databases on 15 February 2020 in order to identify relevant publications. The search strategy for MEDLINE/PubMed with Boolean operators and applied terms is illustrated in Table 9. All Cochrane reviews concerning ATC were evaluated on 25 February 2020. Data analysis was conducted within a timeframe from 25 February to 2 March 2020.

**Table 9.** Search terms used for PubMed/MEDLINE database search.

|   | Term   | Studies Identified |
|---|--|--------------------|
| 1 | (Radiotherapy or radiotherap* or radio-therap* or irradiation or irradiat* or re-irradiat* or reirradiat*) | 530,114            |
| 2 | ("anaplastic thyroid cancer" or "anaplastic thyroid carcinoma" or ATC)                                     | 4658               |
| 3 | 1 and 2  | 333                |
| 4 | "2000/01/01" [PDat]: "2019/12/01" [PDat]   | 267                |

Retrospective studies and prospective clinical trials dated from 1 January 2000 to 1 December 2019, written in English and containing search terms shown in Table 9 were included preliminarily. Abstracts were analyzed for eligibility based on irradiation dosage  $\geq 2.5$  Gy or hypofractionated RT in palliative or curative situation of ATC. Data regarding performance status and toxicity were extracted and analyzed, if available. Identified systematic reviews meeting search criteria were examined for relevant publications.

Publications reporting RT with a single dose less than 2.5 Gy per fraction were excluded. Pre-clinical in vitro and in vivo studies, drug trials, guidelines, consortia, duplicates, case-reports, and publications without exact specification of fractionation regimen or reviews were excluded. Studies providing no extractable data for groups treated with hypofractionated RT or reporting groups with a lower range of dose per fraction of less than 2.5 Gy were excluded. Flow-chart of literature reviewing process is shown in Figure 2.

#### 4.3. Pooled Analysis and Data Management

Eligible publications providing raw data on performance status, disease progression and stage, therapeutic modality, irradiation dosage and OS were extracted and pooled with our single center cohort in order to examine patient characteristics, treatment and outcomes of patients with ATC. Hypofractionated RT was redefined for raw data as  $\geq 2.5$  Gy per fraction, thus, aligning treatment specification with the patient cohort and the setting described above. Patients receiving palliative radiation doses with  $\leq 30$  Gy (EQD2) were excluded.

Statistical analyses were performed using SPSS statistics 25 (IBM, Chicago, IL, USA). Subgroups were compared using the log-rank test. All significant variables in univariate analysis were included in a multivariate Cox regression analysis. The proportional hazard assumption of the Cox regression analysis was tested. OS was defined as the time between the diagnosis of ATC and death. Patients still alive or lost to follow-up were censored at last visit. For all statistical analyses, a significance level of  $\alpha = 0.05$  was defined.

## 5. Conclusions

Hypofractionated RT appears to achieve sufficient local control with acceptable toxicity. Multimodal treatment and dose escalation ( $\geq 50$  Gy) are important prognostic factors in patients receiving hypofractionated RT in our single-center cohort and pooled analysis. Hypofractionated radiotherapy appears to be non-inferior compared to normofractionated RT concerning OS. Hypofractionated RT could be an integral part of multimodal treatment and should be investigated in further studies.

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## 6. Paper II



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Article

# Clinical Outcome and Toxicity in the Treatment of Anaplastic Thyroid Cancer in Elderly Patients

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**Abstract:** Background: The present study aims to evaluate the outcomes and toxicity of elderly anaplastic thyroid cancer (ATC) patients receiving (chemo)radiotherapy, as well as to identify prognostic factors. Patients and methods: A systematic review using the MEDLINE/PubMed and Cochrane databases was performed. Individual data from all eligible studies were extracted, and a pooled analysis ( $n = 186$ ) was conducted to examine patient characteristics and treatment. All consecutive ATC patients ( $\geq 65$  years) treated between 2009 and 2019 at our institution were evaluated for outcomes concerning progression-free survival (PFS), overall survival (OS) probabilities and treatment-related toxicity. Results: The systematic review and pooled analysis identified age as a prognostic factor. The median OS of our patient cohort ( $n = 26$ ) was three months (range = 0–125). The 6-, 12- and 24-month survival rates were 35%, 22% and 11%, respectively. In the univariate analysis, a Karnofsky performance status of  $>70\%$ , the Union for International Cancer Control Tumor–Node–Metastasis classification, multimodal therapy and an EQD2 of  $>49$  Gy were correlated with longer OS and PFS. The acute grade 3 toxicity of dysphagia, dyspnea, dermatitis, mucositis and dysphonia was found in 23%, 15%, 12%, 12% and 8% of patients. Conclusion: Age appears to be a prognostic factor in ATC. Elderly ATC patients can tolerate multimodal treatment and achieve a promising outcome. Prospective studies need to confirm our findings.

**Keywords:** ATC; anaplastic thyroid cancer; elderly; irradiation; survival

### 1. Introduction

Anaplastic thyroid cancer (ATC) is one of the rarest, yet one of the most lethal, carcinomas that is seen in the human body. It only accounts for 1–2% [1–4] of all known thyroid carcinomas per year; however, it is responsible for about 50% of thyroid-cancer-associated deaths [2,4,5]. Its aggressive growth leads to the rapid infiltration of vital adjacent organs, such as the trachea, larynx and esophagus, as well as neck vessels, nerves and muscles. Additionally, early metastases commonly to lung and bones [6–9] result in fatal outcomes with a median overall survival (OS) that ranges between three and six months [10]. The overall one-year survival rate is only 10–20% [1,4,5,11–14].

The optimal treatment of ATC remains unknown. Due to its low incidence, large prospective trials are rarely performed. However, several studies propose a multimodal therapy regime, consisting of radical resection, radiotherapy and chemotherapy, to improve outcomes in ATC patients [3,11,13–15]. Despite this, survival has remained relatively stable over the past decades [2], especially in elderly

patients, who make up an important subgroup of ATC patients, among which prognosis is very poor [3,4,12,15–18]. This group of people often represents a combination of several comorbidities, immunodeficiencies and organ dysfunctions and may not tolerate aggressive treatment [19,20]. In contrast, elderly patients with a poor prognosis should spend as little of their remaining lifetime attending oncologic treatments and are, therefore, better candidates for short treatments including hypofractionated radiotherapy [21]. These considerations mean that it is important to judge a patient's survival time as accurately as possible to personalize treatment approaches.

We aim to perform a systematic review using the MEDLINE/PubMed and Cochrane databases to evaluate patients' age as a prognostic factor. Individual data from all eligible studies will be extracted and pooled in order to examine patient characteristics and treatment. Furthermore, all consecutive ATC patients  $\geq 65$  years at initial diagnosis will be investigated concerning outcome and treatment-related toxicity and prognostic factors of OS and progression-free survival (PFS) will be identified.

## 2. Patients and Methods

### 2.1. Systematic Review of Literature

A systematic review of the literature was undertaken using PubMed/MEDLINE and Cochrane databases following the Preferred Reporting Items for Systematic Reviews and Meta-Analyses (PRISMA) protocol. Abstracts were screened for eligibility so that the most important articles were analyzed by full-text screening. Inclusion criteria were based on the study setting. Age was investigated as one of the prognostic factors in the uni-/multivariate analyses. Furthermore, treatment specifications and cut-off values for age of included studies were analyzed. Reviews, case reports, experimental data, personalized treatments, drug trials or publications arising conflict of interests were excluded.

### 2.2. Pooled Analysis

Eligible publications providing raw data on age, TNM/UICC stage distribution, treatment (e.g., surgery, radiotherapy, chemotherapy) and outcome were extracted and evaluated in order to examine patient- and treatment-related characteristics as well as the outcomes of ATC patients.

Statistical analyses were performed using SPSS statistics 25 (IBM, Chicago, IL, USA). Subgroups were compared using the log-rank test. For all statistical analyses, a significance level of  $\alpha = 0.05$  was defined.

### 2.3. Single-Center Patient Cohort

The retrospective study included data from 26 consecutive patients diagnosed with ATC between 2009 and 2019 at our center. The study protocol was approved by the ethics committee of the Ludwig Maximilian University of Munich (Munich, Germany) (Approval Number: 19–885).

### 2.4. Data Acquisition

Data were analyzed according to ten patient- and treatment-related characteristics: age, gender, Karnofsky performance status (KPS), the Union for International Cancer Control classification (UICC stage), nodal involvement, distant metastases, radiation technique, performance of surgery, chemotherapy and radiation dose escalation. Inclusion criteria were patients  $\geq 65$  years with a histologically confirmed ATC, staged according to the revised 8th edition of the Union for International Cancer Control Tumor–Node–Metastasis (UICC TNM) classification. The information was gained from pathological reports, which were available in all 26 cases. The study endpoints were the 6-, 12- and 24-month OS and PFS. Multimodal treatment was defined based on earlier reports such as trimodal therapy containing surgical resection and postoperative chemoradiotherapy (CRT) [22].

### 2.5. Criteria for Multimodal Treatment Approach

In accordance with the guidelines of the European Society for Medical Oncology (ESMO), surgical resection of the tumor burden (partial or total) was only performed in patients with a prospect of achieving R0/R1 status and was based on the perioperative risk assessment, as well as on comorbidities [11]. Importantly, M0 status was not an exclusion criterion for surgery. Similarly, radical CRT was performed subsequently if no absolute contraindications arose, such as a KPS status of <40% and/or poor liver or kidney function and cardiovascular comorbidities. Relative contraindications were discussed within multidisciplinary tumor boards consisting of surgeons, radiation oncologists and oncologists.

### 2.6. Statistical Analysis

Statistical analyses were performed using SPSS Statistics 25 (IBM, Chicago, IL, USA). Subgroups were compared by a log-rank test. All significant variables in the univariate analysis were included in a multivariate Cox regression analysis. The proportional hazard assumption of the Cox regression analysis was tested. PFS was defined as the time between the last day of radiotherapy and the occurrence of local or distant progression or death from all causes. OS was defined as the time between the last day of radiotherapy and death. For all statistical analyses,  $p \leq 0.05$  was considered statistically significant.

## 3. Results

### 3.1. Systematic Review of Literature

Our search criteria with combinations of terms and operators are shown in Figure 1. In total, 162 publications were yielded using PubMed/MEDLINE databases. The Cochrane database did not provide any additional studies. Abstracts of these studies were screened for eligibility and excluded for the reasons shown in Figure 1. Ninety-eight potentially relevant publications underwent full-text assessment for eligibility and are included in Table 1. The matching criteria are shown in Figure 1. As a result, 43 publications were included in our systematic review of the literature with a total of 15 722 ATC patients diagnosed or analyzed in the past 20 years. In 33 (76.7%) of the included studies, younger age was significantly associated with a favorable outcome, at least in the univariate analysis. Furthermore, in 23 (53.5%) publications, age achieved significance in the multivariate analysis. Importantly, the most commonly chosen cut-off values for age were 70 (21%) and 65 (18.6%) years, representing cohorts of 2213 and 7923 patients, respectively. A review of the literature was undertaken by two authors (T.A. and D.O.) in order to minimize the risk of selection bias.

**Table 1.** Systematic review of the literature: age as a prognostic factor in patients with anaplastic thyroid cancer (ATC).

| Author                      | Number of Patients (N) | Treatment                          | Age Cut-Off (Years)   | Results  |
|-----------------------------|------------------------|------------------------------------|---|--|
| Sugitani et al. (2001) [23] | 47                     | Multimodal—20%<br>Other—80%        | 40–49 (7%)<br>50–59 (16%)<br>60–69 (34%)<br>70–79 (35%)<br>80–89 (7%) | Age was not a significant prognostic factor in the uni- or multivariate analysis             |
| Pierie et al. (2002) [24]   | 67                     | Surgery—67%<br>EBRT—84%<br>ChT—31% | Cut-off: 70<br>≤70 (45%)<br>>70 (55%)<br>Cut-off: 70                  | An age of ≤70 years was an independent predictor for beneficial OS (HR = 0.47, $p < 0.023$ ) |
| Kihara et al. (2004) [25]   | 19                     | Surgery—53%<br>RT—68%<br>ChT—63%   | 40–49 (5%)<br>50–59 (0%)<br>60–69 (26%)<br>70–79 (32%)<br>80–89 (37%) | Age was not a significant prognostic factor in the uni- or multivariate analysis             |

Table 1. Cont.

| Author                          | Number of Patients (N) | Treatment   | Age Cut-Off (Years)  | Results   |
|---------------------------------|------------------------|---|--|---|
| Kebebew et al. (2005) [18]      | 516                    | Surgery—49%<br>EBRT—63.2%<br>ChT—not reported   | Cut-off: 60<br>Mean: 71.3 (15–95)  | An age of <60 years was an independent predictor for beneficial survival (HR = 0.482, 95% CI = 0.268–0.867, $p < 0.05$ )  |
| Brignardello et al. (2007) [26] | 27                     | Surgery + adjuvant RT/ChT—56%<br>Surgery + neoadjuvant RT/ChT—19%<br>ChT alone—19%<br>Unilateral palliative surgery—12%<br>postoperative: 42.9% only RT, 7.1% only ChT and 14.3% both | Median: 70 (46–92)   | Age was not a significant prognostic factor in the uni- or multivariate analysis  |
| Kim et al. (2007) [27]          | 121                    | Bilateral curative surgery—59%<br>postoperative: 50.7% only RT, 8.5% only ChT and 12.7% both<br>RT alone—10.7%<br>ChT alone—1.7%<br>ChT/RT—4.1%                                       | Cut-off: 60<br><60 (33%)<br>≥60 (67%)  | An age of <60 years was an independent predictor for lower disease-specific mortality (HR = 0.47, 95% CI = 0.30–0.74, $p = 0.001$ )   |
| Chen et al. (2008) [28]         | 261                    | Surgery only—26.1%<br>EBRT alone—14.2%<br>Surgery + EBRT—49.4%  | <45 (5.7%)<br>45–54 (9.2%)<br>55–64 (19.9%)<br>65–74 (29.1%)<br>75–84 (23.4%)<br>≥85 (12.6%) | Younger age was an independent predictor for improved overall survival (HR = 1.02, 95% CI = 1.00–1.03, $p = 0.007$ )  |
| Yau et al. (2008) [29]          | 50                     | Surgery—68%<br>EBRT—46%<br>ChT—36%  | Cut-off: 65<br>≤65 (28%)<br>>65 (72%)  | In the univariate analysis, an age of ≤65 years was significantly associated with improved survival ( $p = 0.025$ )<br>No significance in the multivariate analysis                             |
| Bhatia et al. (2009) [30]       | 53                     | Surgery—58.5%<br>RT—100%<br>CRT—73.6%<br>Sequential ChT—16.9%   | Median: 66.1 (27–88)   | Age was not a significant prognostic factor in the uni- or multivariate analysis  |
| Roche et al. (2010) [31]        | 26                     | Surgery—84.6%<br>RT—53.8%<br>ChT—19.2%  | Mean: 75 (52.3–90.8)   | Age >75 years was an independent predictor for poor prognosis ( $p < 0.05$ )  |
| Akaishi et al. (2011) [32]      | 100                    | Surgery—70%<br>RT—78%<br>ChT—28%  | Cut-off: 70<br><70 (52%)<br>≥70 (48%)  | Age ≥70 years was a significant risk factor for poorer survival in the multivariate analysis (RR = 1.03, 95% CI = 1.01–1.05, $p = 0.014$ )  |
| Derbel et al. (2011) [33]       | 44                     | Surgery alone—4.5%<br>Surgery + ChT—7%<br>Surgery + RT + ChT—79.5%<br>RT alone—4.5%<br>Surgery + RT—4.5%  | Cut-off: 65<br>Median 65 (44–80)   | An age of >65 years was associated with poorer outcome in the univariate analysis (HR = 2.36, 95% CI = 1.15–4.84, no $p$ -value reported)   |
| Sherman et al. (2011) [34]      | 37                     | Surgery + CRT—51%<br>CRT—100%   | Cut-off: 70<br><70 (73%)<br>≥70 (27%)  | An age of <70 years was an independent predictor for beneficial OS (HR = 0.32, 95% CI = 0.13–0.78, $p = 0.013$ )  |
| Tashima et al. (2011) [35]      | 33                     | Surgery—58%<br>RT—52%<br>ChT—39%<br>RT + ChT—36%  | Cut-off: 60<br>Median: 68 (26–93)  | In the univariate analysis, an age of >60 years was associated with decreased survival ( $p = 0.04$ ).<br>No significance in the multivariate analysis  |
| Sugitani et al. (2012) [36]     | 677                    | Surgery—45%<br>EBRT—59%<br>ChT—47%  | Cut-off: 70<br><70 (48%)<br>≥70 (52%)<br>≤44 (3.0%)  | An age of <70 years was an independent predictor for beneficial survival (HR = 1.28, 95% CI = 1.04–1.58, $p = 0.020$ )  |
| Haymart et al. (2013) [3]       | 2742                   | Surgery—50.2%<br>RT—58.2%<br>ChT—38.8%  | 45–64 (27.5%)<br>65–74 (27.5%)<br>75–84 (30.4%)<br>≥85 (11.7%)                               | An age of ≥85 years was associated with greater mortality in the adjusted Cox regression model (HR = 3.43, 95% CI = 2.34–5.03, $p < 0.05$ )   |
| Dumke et al. (2014) [37]        | 40                     | Surgery—80%<br>RT—98%<br>ChT—15%  | Median: 67 (38–84)   | Age was not a significant prognostic factor in the uni- or multivariate analysis  |
| Mohebbati et al. (2014) [38]    | 83                     | Surgery alone—12%<br>RT alone—4%<br>ChT/RT—5%<br>Surgery + RT + ChT—46%   | Cut-off: 60<br>≤60 (35%)<br>>60 (65%)  | 1-year DSS ( $p = 0.012$ ) in the univariate analysis<br>≤60 (52%)<br>>60 (24%)<br>No significance in the multivariate analysis   |
| Polistena et al. (2014) [39]    | 79                     | Surgery—57%<br>RT—59%<br>ChT—100%<br>Surgery alone—29%<br>EBRT alone—12%<br>ChT alone—5%<br>Surgery + RT—26%<br>Surgery + RT/ChT—14%<br>Surgery + ChT—10%                             | Cut-off: 75<br><75 (53%)<br>>75 (47%)  | Patients <75 years and with tumors <5 cm in extent had the most favorable prognosis among subgroups in the univariate analysis ( $p < 0.05$ )   |
| Sun et al. (2014) [12]          | 42                     | Surgery—57%<br>Pre-OP RT—2.4%<br>Post-OP RT—78.7%<br>ChT—79%  | Cut-off: 55<br><55 (33%)<br>≥55 (67%)  | In the univariate analysis, an age of ≤55 years was significantly associated with improved 1- and 3-year overall survival rates ( $p = 0.012$ )<br>No significance in the multivariate analysis |
| Ziveljevic et al. (2014) [17]   | 150                    | Surgery—47%<br>RT—20%<br>ChT—0%   | ≤50 (7.3%)<br>51–70 (73.3%)<br>≥70 (19.3%)   | Younger age was an independent predictor of favorable survival (OR = 0.68, 95% CI = 0.49–0.95, $p = 0.023$ )  |
| Lo et al. (2015) [40]           | 15                     | Surgery—47%<br>RT—20%<br>ChT—0%   | Median: 63 (36–73)   | Age was not a significant prognostic factor in the uni- or multivariate analysis  |

Table 1. Cont.

| Author                       | Number of Patients (N) | Treatment  | Age Cut-Off (Years)   | Results   |
|------------------------------|------------------------|--|---|---|
| Paunovic et al. (2015) [41]  | 150                    | Surgery—56.7%<br>Pre-OP RT—2.4%<br>Post-OP RT—78.8%<br>ChT—2.4%  | <40 (1.3%)<br>41–50 (6.1%)<br>51–60 (19.3%)<br>61–70 (54.0%)<br>>70 (19.3%) | An age of <50 years is an independent predictor associated with overall survival (RR = 0.68, 95% CI = 0.49–0.95, $p = 0.023$ )  |
| Baek et al. (2016) [42]      | 329                    | RT/cCRT—15.2%<br>Curative resection—28.6%<br>Curative resection and adjuvant RT/cCRT—25.5%<br>Curative resection and adjuvant ChT—3.0% | Cut-off: 70<br><70 (51.7%)<br>≥70 (48.3%)                                   | An age of ≥70 years was an independent predictor for poorer disease-specific survival (HR = 1.493, 95% CI = 1.134–1.965, $p < 0.01$ )   |
| Glaser et al. (2016) [43]    | 3552                   | Surgery—49.5%<br>RT—58.7%<br>ChT—41.6%   | Cut-off: 65<br><65 (31.6%)<br>≥65 (68.4%)                                   | An age of <65 years was an independent predictor for improved overall survival (HR = 1.42, 95% CI = 1.26–1.60, $p < 0.0005$ )   |
| Käsmann et al. (2016) [44]   | 9                      | Surgery—78%<br>RT—78%<br>ChT—78%   | Cut-off: 64<br>≤64 (56%)<br>>64 (44%)                                       | Age was not a significant prognostic factor in the uni- or multivariate analysis  |
| Lee et al. (2016) [13]       | 98 (ATC)               | Surgery-based—58.2%<br>EBRT-based—17.3%<br>ChT—7.1%  | Mean: 63.4 ± 13.4   | Age at diagnosis in years achieved significance in the multivariate analysis (OR = 1.022, 95% CI = 0.01–1.10, $p = 0.029$ ) in a group, where resectability was adjusted with age, tumor size, WBC count and N status |
| Lennon et al. (2016) [45]    | 64                     | Surgery alone—17.2%<br>RT alone—26.6%<br>ChT alone—4.7%<br>Surgery + RT—10.9%<br>RT + ChT—9.4%<br>Surgery + RT + ChT—12.5%             | Cut-off: 70<br>Median: 72 (47–93)   | In the univariate analysis, an age of >70 years was associated with improved overall survival ( $p = 0.041$ )<br>No significance in the multivariate analysis   |
| Liu et al. (2016) [6]        | 50                     | Total or extensive thyroidectomy—76%<br>Palliative resection of cervical lymph nodes—6%<br>RT—32%<br>ChT—16%                           | Cut-off: 60<br>≤60 (52%)<br>>60 (48%)                                       | Age was not a significant prognostic factor in the uni- or multivariate analysis  |
| Pezzi et al. (2016) [5]      | 1288                   | Surgery (any neck, but only R2)—11.6%<br>RT—47.7%<br>ChT—53.8%   | Cut-off: 65<br>Average: 70.4  | An age of <65 years was an independent predictor for beneficial patient survival (HR = 1.317, 95% CI = 1.137–1.526, $p < 0.001$ )   |
| Wendler et al. (2016) [16]   | 100                    | Surgery—83%<br>EBRT—81%<br>ChT—56%   | Cut-off: 70<br><70 (46%)<br>≥70 (54%)                                       | An age of <70 years was an independent predictor for beneficial survival (HR = 1.048, 95% CI = 1.015–1.082, $p = 0.004$ )   |
| Hvilsom et al. (2017) [46]   | 219                    | Thyroid surgery (R0–2)—50.7%<br>Lymph node surgery—72%<br>ChT/RT—Not reported  | Median: 74 (30–94)  | An age of ≤73.6 years was an independent predictor for improved overall survival (HR = 1.4, 95% CI = 1.0–2.0)   |
| Jacobsen et al. (2017) [47]  | 31                     | Surgery—42%<br>RT—100%<br>ChT—74%  | Median: 69 (26–87)  | In the univariate analysis, age at diagnosis in years achieved significance (HR = 1.02, 95% CI = 0.98–1.07)<br>No significance in the multivariate analysis   |
| Park et al. (2018) [48]      | 41                     | Surgery + RT + ChT—39%<br>Surgery + RT—12.2%<br>RT + ChT—36.6%<br>RT alone—12.2%   | Cut-off: 65<br><65 (31.7%)<br>≥65 (68.3%)                                   | Age was not associated with better/poorer outcome in the univariate analysis (HR = 1.44, 95% CI = 0.69–3.01, $p = 0.328$ )  |
| Takahashi et al. (2018) [49] | 33                     | Surgery—39%<br>ChT—52%<br>CRT—45%  | Median 68 (41–87)   | Age (≥ median vs. < median) was not associated with better/poorer outcome in the univariate analysis (HR = 1.22, 95% CI = 0.57–2.60, $p = 0.605$ )  |
| Corrigan et al. (2019) [15]  | 28                     | Surgery—71.4%<br>EBRT—75%<br>ChT—50%   | Not reported  | Younger age is an independent predictor for better overall survival (HR = 1.079; 95% CI = 1.022–1.139; $p = 0.006$ )  |
| Fan et al. (2019) [22]       | 104                    | ChT/RT—95.2%<br>Surgery + RT + ChT—51%   | Cut-off: 70<br>Median: 63.5 (28–87)   | In the univariate analysis, the age of <70 years was significantly associated with improved overall survival ( $p < 0.001$ )<br>No significance in the multivariate analysis  |
| Huang et al. (2019) [50]     | 735                    | Surgery—26%<br>RT—36%<br>ChT—31%<br>No treatment—22%   | Cut-off: 70<br>Median: 70<br>IQR: 60–80                                     | Age at diagnosis in years achieved significance in the multivariate analysis (HR = 1.022, 95% CI = 1.010–1.034, $p < 0.001$ )<br>No difference in favor for the subgroups ≤/≥70 years in terms of total thyroidectomy |
| Li et al. (2019) [51]        | 1048                   | Primary surgery—45%<br>EBRT—55%<br>ChT—42%<br>Surgery—12%<br>Surgery + RT—15%<br>Surgery + cCRT—2%                                     | Cut-off: 65<br><65 (33%)<br>≥65 (67%)                                       | An age of ≥65 years was an independent predictor for overall survival (HR = 1.34, 95% CI = 1.16–1.55, $p < 0.001$ )   |
| De Ridder et al. (2020) [52] | 812                    | Surgery + RT + ChT—3%<br>Surgery + ChT—1%<br>RT—28%<br>cCRT—1%<br>RT + ChT—3%<br>ChT—1%  | Median: 73 (29–99)  | Age at diagnosis was an independent prognostic factor for poorer outcome (HR = 1.014, 95% CI = 1.006–1.020, $p < 0.001$ )   |
| Gui et al. (2020) [53]       | 1404                   | Surgery—44%<br>EBRT—59%<br>ChT—not reported  | Cut-off: 65<br><65 (34%)<br>≥65 (66%)                                       | An age of ≥65 years was an independent predictor for worse overall survival (HR = 1.525, 95% CI = 1.326–1.752, $p < 0.001$ )  |

Table 1. Cont.

| Author                   | Number of Patients (N) | Treatment  | Age Cut-Off (Years)                   | Results   |
|--------------------------|------------------------|--|---------------------------------------|---|
| Lin et al. (2020) [54]   | 1567/717               | Surgery—566/1567 (36%)<br>Not reported for RT/ChT                                    | Median: 71 (23–100)                   | Younger age is an independent predictor for overall survival (HR = 1.02, 95% CI = 1.01–1.02, $p < 0.001$ )  |
| Saeed et al. (2020) [55] | 496                    | Surgery—100%<br>Adjuvant EBRT—76%<br>Adjuvant Chemotherapy—59%<br>Adjuvant CRT—56.4% | Cut-off: 65<br><65 (42%)<br>≥65 (58%) | In the univariate analysis, an age of ≥65 years was a significant prognostic factor for overall survival ( $p = 0.04$ )<br>No significance in the multivariate analysis |

External Beam Radiation Therapy (EBRT), Chemotherapy (ChT), Overall Survival (OS), Hazard Ratio (HR), Odds Ratio (OR), Relative Risk (RR), Radiation Therapy (RT), Confidence Interval (CI), Chemoradiotherapy (CRT), concurrent chemoradiotherapy (cCRT), Disease Specific Survival (DSS).

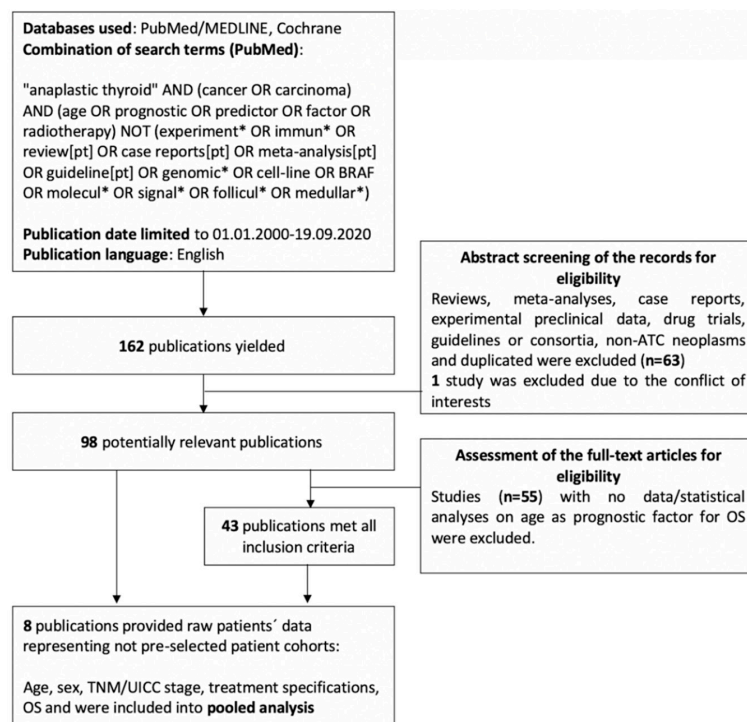


Figure 1. PRISMA flowchart for the systematic review.

### 3.2. Results of the Pooled Analysis

The individual patient data of eight eligible publications were extracted ( $n = 186$ ) (Table 2) [49,56–62]. The median age at initial diagnosis was 68 (range = 35–92) years. Treatment consisted of surgery in 95 (51%), radiotherapy in 152 (82%) and sequential or concurrent chemotherapy in 114 (61%) of all patients. Multimodal treatment containing surgery followed by postoperative chemoradiotherapy was administered in 74 (40%) patients. Fifty-one (27%) patients were diagnosed with metastatic disease (UICC stage IVC).

The median OS was 5.9 months (range: 0–157). Survival rates at 6, 12 and 24 months were 50%, 24% and 15%, respectively. Surgery ( $p < 0.001$ ), radiotherapy ( $p < 0.001$ ), sequential or concurrent chemotherapy ( $p < 0.001$ ) and administering multimodal treatment ( $p < 0.001$ ) were prognostic factors concerning OS in the univariate analysis. In the multivariate analysis, radiotherapy ( $p < 0.001$ , hazard ratio (HR) = 0.383, 95% confidence interval (CI) = 0.253–0.579) was significantly associated with an improved OS, whereas surgery ( $p = 0.107$ , HR = 0.640, 95% CI = 0.372–1.100), sequential or concurrent chemotherapy ( $p = 0.067$ , HR = 0.664, 95% CI = 0.428–1.029) and multimodal treatment ( $p = 0.464$ , HR = 0.777, 95% CI = 0.396–1.526) did not achieve significance in the multivariate analysis.

**Table 2.** Patient and treatment characteristics of the pooled patient cohort.

| Parameter                             | Value (%)  |
|---------------------------------------|------------|
| Total                                 | 186 (100)  |
| Age, years (range)                    | 68 (35–92) |
| Gender                                |            |
| Male                                  | 54 (39)    |
| Female                                | 60 (44)    |
| Unknown                               | 24 (17)    |
| UICC stage                            |            |
| IVA/B                                 | 113 (61)   |
| IVC                                   | 51 (27)    |
| Unknown                               | 22 (12)    |
| Surgery                               |            |
| No                                    | 91 (49)    |
| Yes                                   | 95 (51)    |
| Radiotherapy                          |            |
| No                                    | 34 (18)    |
| Yes                                   | 152 (82)   |
| Sequential or concurrent chemotherapy |            |
| No                                    | 72 (39)    |
| Yes                                   | 114 (61)   |
| Multimodal treatment                  |            |
| No                                    | 112 (60)   |
| Yes                                   | 74 (40)    |

Union of International Cancer Control (UICC).

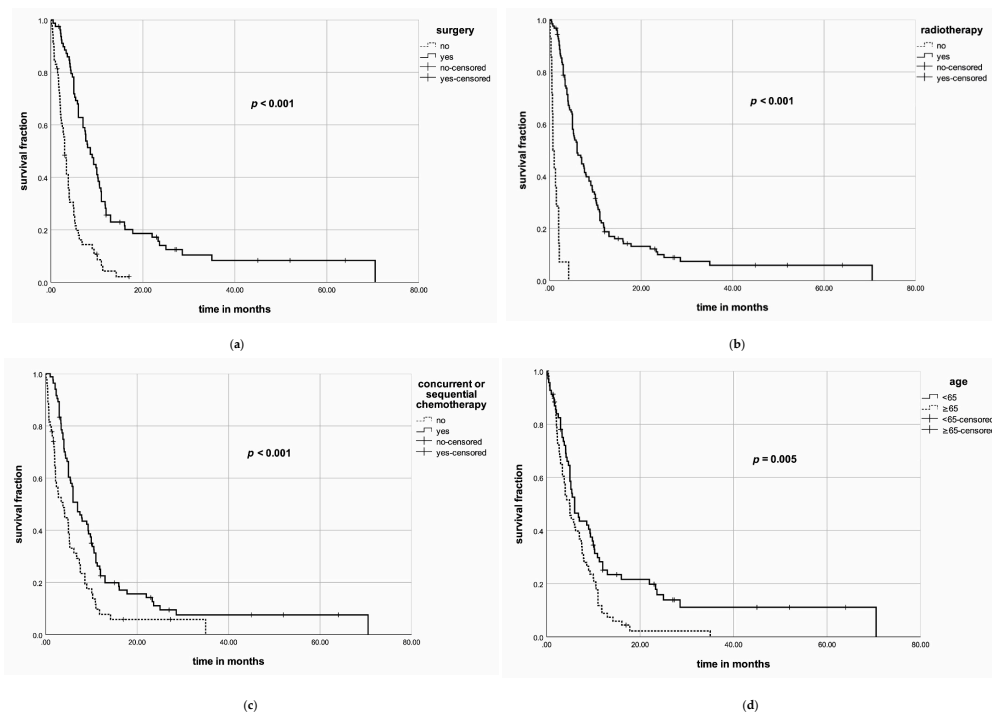
### 3.3. Propensity Score Matching (PSM)

Individual patients' data of all eligible patient cohorts [49,56–62] were included according to our database assessment protocol in the propensity score matching (PSM) analysis. Patients aged <64 years were matched in a 1:1 ratio to patients aged ≥65 years. To each patient aged <64 years, one corresponding patient aged ≥65 years with exactly the same UICC stage (IVA/B vs. IVC) was matched. PSM also considered the treatment mode, including surgery and chemotherapy. Sixty-nine patients aged <64 years were matched to 69 patients aged ≥65 years (Table 3). Surgery ( $p < 0.001$ ), radiotherapy ( $p < 0.001$ ), concurrent or sequential chemotherapy ( $p < 0.001$ ) and younger age ( $p = 0.005$ ) were associated with an improved OS in the univariate analysis (Figure 2), whereas gender did not achieve significance ( $p = 0.96$ ). In the multivariate analysis, surgery ( $p < 0.001$ , HR = 0.294, 95% CI = 0.192–0.45), radiotherapy ( $p < 0.001$ , HR = 0.042, 95% CI = 0.018–0.098) and younger age ( $p = 0.008$ , HR = 1.721, 95% CI = 1.151–2.573) were significantly associated with an improved OS, whereas concurrent or sequential chemotherapy ( $p = 0.171$ , HR = 1.406, 95% CI = 0.863–2.289) failed to achieve significance.

**Table 3.** Patient and treatment characteristics of the propensity score cohort.

| Parameter                             | Entire PSM Cohort,<br>N (%) | Subgroup with<br>Patients Aged < 65 Years,<br>N (%) | Subgroup with<br>Patients Aged ≥ 65 Years,<br>N (%) | p-Value |
|---------------------------------------|-----------------------------|---|---|---------|
| Total                                 | 138 (100)                   | 69 (50)   | 69 (50)   |         |
| Age, years (range)                    | 65 (35–92)                  | 56 (35–64)  | 74 (65–92)  | <0.001  |
| Gender                                |                             |   |   |         |
| Male                                  | 54 (39)                     | 33 (48)   | 21 (30)   | 0.009   |
| Female                                | 60 (44)                     | 22 (32)   | 38 (55)   |         |
| Unknown                               | 24 (17)                     | 14 (20)   | 10 (15)   |         |
| UICC stage                            |                             |   |   |         |
| IVA/B                                 | 92 (67)                     | 46 (67)   | 46 (67)   | 0.999   |
| IVC                                   | 46 (33)                     | 23 (33)   | 23 (33)   |         |
| Surgery                               |                             |   |   |         |
| No                                    | 59 (43)                     | 27 (39)   | 32 (46)   | 0.391   |
| Yes                                   | 79 (57)                     | 42 (61)   | 37 (54)   |         |
| Radiotherapy                          |                             |   |   |         |
| No                                    | 14 (10)                     | 8 (12)  | 6 (9)   | 0.574   |
| Yes                                   | 124 (90)                    | 61 (88)   | 63 (91)   |         |
| Sequential or concurrent chemotherapy |                             |   |   |         |
| No                                    | 54 (39)                     | 18 (26)   | 36 (52)   | 0.002   |
| Yes                                   | 84 (61)                     | 51 (74)   | 33 (48)   |         |

Union for International Cancer Control (UICC).



**Figure 2.** (a) Kaplan–Meier curve for surgery and overall survival in the univariate propensity score matching (PSM) analysis; (b) Kaplan–Meier curve for radiotherapy and overall survival in the univariate PSM analysis; (c) Kaplan–Meier curve for sequential or concurrent chemotherapy and overall survival in the univariate PSM analysis; (d) Kaplan–Meier curve for age and overall survival in the univariate PSM analysis.



### 3.4. Patient Characteristics of Our Single-Center Cohort

The median age at initial diagnosis was 74 (65–97) years and 13 (50%) of all patients were female. The Karnofsky performance status (KPS) was  $\leq 70\%$  in 12 (46%) and  $>70\%$  in 14 patients (54%). In only one (4%) patient, the disease was limited to the thyroid gland (stage IVA). Nine (35%) patients had extrathyroidal infiltrations (stage IVB) and 16 (62%) already showed distant metastases (stage IVC), respectively (Table 4). At initial diagnosis, 62% of patients had distant metastases that were found in one (44%), two (44%), three (6%) or four (6%) different organs. Ninety-four percent of the metastases were localized pulmonary, 50% lymphatic, 19% osseous, 6% hepatic and 6% cerebral (Table 2). Twelve patients (46%) were treated in a multimodal approach (Table 5 + CRT cohort).

**Table 4.** Eighth edition of the Union for International Cancer Control Tumor–Node–Metastasis (UICC TNM) classification.

| Stage | Eighth Edition of UICC TNM  |
|-------|---|
|       | T1–3a, N0 and M0  |
| IVA   | T1: Tumor $\leq 2$ cm in the greatest dimension limited to the thyroid<br>T2: Tumor $> 2$ cm but $\leq 4$ cm in the greatest dimension limited to the thyroid<br>T3a: Tumor $> 4$ cm limited to the thyroid<br>T1–3a, N1 and M0 or T3b–T4b, any N and M0  |
|       | T3b: Gross extrathyroidal extension invading only strap muscles (sternohyoid, sternothyroid, thyrohyoid and omohyoid muscles) from a tumor of any size  |
| IVB   | T4a: Gross extrathyroidal extension invading subcutaneous soft tissues, larynx, trachea, esophagus or recurrent laryngeal nerve from a tumor of any size<br>T4b: Gross extrathyroidal extension invading prevertebral fascia or encasing a carotid artery or mediastinal vessels from a tumor of any size |
| IVC   | Any T, any N and M1   |

Union of International Cancer Control (UICC), Tumor (T), Node (N), Metastases (M).

**Table 5.** Patient- and treatment-related characteristics.

| Parameter                  | <i>n</i> |
|----------------------------|----------|
| Age, years                 |          |
| <74                        | 11 (42%) |
| ≥74                        | 15 (58%) |
| Gender                     |          |
| Male                       | 13 (50%) |
| Female                     | 13 (50%) |
| KPS, %                     |          |
| ≤70                        | 12 (46%) |
| >70                        | 14 (54%) |
| T stage                    |          |
| 2–3                        | 2 (8%)   |
| 4                          | 24 (92%) |
| N stage                    |          |
| 0                          | 10 (39%) |
| 1                          | 16 (62%) |
| M stage                    |          |
| 0                          | 10 (39%) |
| 1                          | 16 (62%) |
| Number of metastatic sites |          |
| 1                          | 7 (44%)  |
| 2                          | 7 (44%)  |
| 3                          | 1 (6%)   |
| 4                          | 1 (6%)   |
| UICC stage                 |          |
| IVA                        | 1 (4%)   |
| IVB                        | 9 (35%)  |
| IVC                        | 16 (62%) |
| Surgery                    |          |
| No                         | 14 (54%) |
| Yes                        | 12 (46%) |
| Chemotherapy               |          |
| No                         | 13 (50%) |
| Yes                        | 13 (50%) |
| Treatment                  |          |
| RT/CRT                     | 14 (54%) |
| S+CRT                      | 12 (46%) |
| Resection status           |          |
| R0                         | 1 (8%)   |
| R1                         | 7 (58%)  |
| R2                         | 4 (33%)  |
| EQD2 level                 |          |
| ≤49                        | 14 (54%) |
| >49                        | 12 (46%) |
| RT technique               |          |
| 3D-CRT                     | 17 (65%) |
| IMRT                       | 9 (35%)  |

Karnofsky performance status (KPS), Tumor (T), Node (N), Metastases (M), Union of International Cancer Control (UICC), Radiation Therapy (RT), Chemoradiotherapy (CRT), three-dimensional conformal radiotherapy (3D-CRT), equivalent dose in 2 Gy fractions (EQD2), intensity-modulated radiation therapy (IMRT).

### 3.5. Treatment-Related Characteristics

A hemithyroidectomy was performed in four (15%) patients, total and subtotal thyroidectomy in six (23%) and two (8%) patients, respectively. Chemotherapy was administered in 13 (50%) patients. Of those, six (46%) patients received concurrent chemotherapy with carboplatin (area under the curve (AUC) = 2) and administered 50 mg/m<sup>2</sup> paclitaxel weekly. Single-agent chemotherapy with doxorubicin (10 or 20 mg/m<sup>2</sup>) was given weekly concurrent to radiation in five (38%) patients. Sequential chemotherapy was given in two (15%) patients (paclitaxel with carboplatin or pemetrexed). Irradiation was administered using a three-dimensional conformal radiotherapy (3D-CRT) technique in 17 (65%) patients. Nine (35%) patients were treated using intensity-modulated radiation therapy (IMRT) (Table 5). The cumulative radiation dose was calculated in equivalent dose in 2 Gy fractions (EQD2). The median EQD2 was 49 Gy (range = 5–71).

### 3.6. Treatment-Related Toxicities

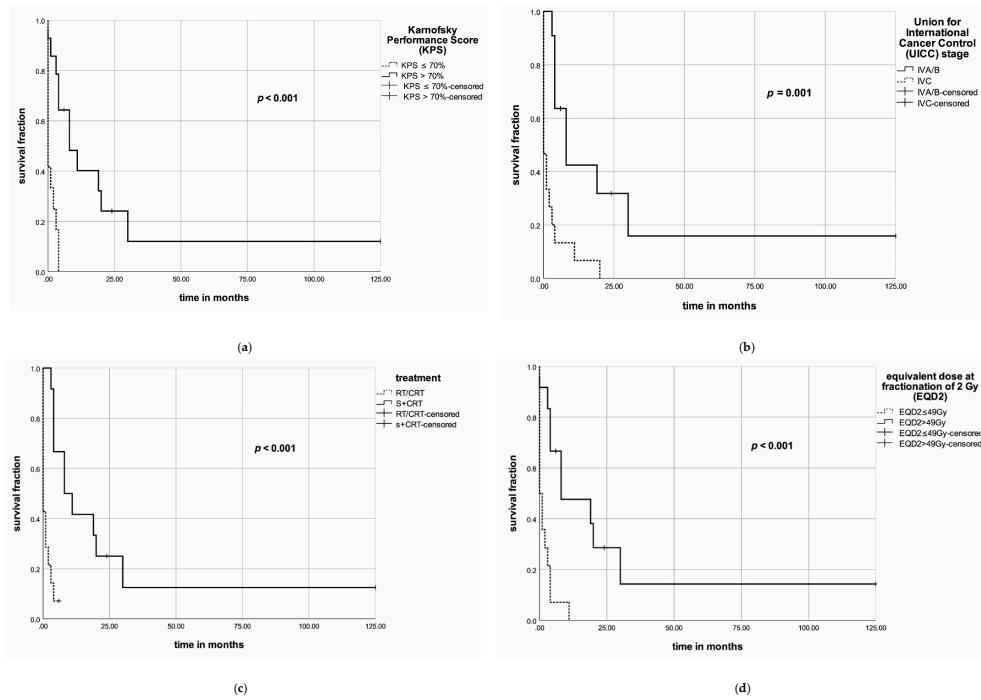
Treatment-emergent adverse events (TEAE) were evaluated according to the Common Terminology Criteria for Adverse Events (CTCAE) Version 4. The most common side effects were dysphagia, dermatitis, mucositis, dyspnea and dysphonia. Acute grade 3 toxicity of dysphagia, dyspnea, dermatitis, mucositis and dysphonia was found in 23%, 15%, 12%, 12% and 8% of patients. Therapy-related toxicity grade 4/5 was not observed. An EQD2 of  $\geq 40$  Gy was associated with radiation-induced dermatitis grade  $\geq 2$  ( $p = 0.04$ ), as well as with dysphagia grade  $\geq 2$  ( $p = 0.005$ ) and mucositis grade  $\geq 2$  ( $p = 0.04$ ). Dyspnea grade  $\geq 2$  was not correlated with an EQD2 of  $\geq 40$  Gy ( $p = 0.07$ ).

### 3.7. Outcomes on Survival and Relapse in the Single-Center Evaluation

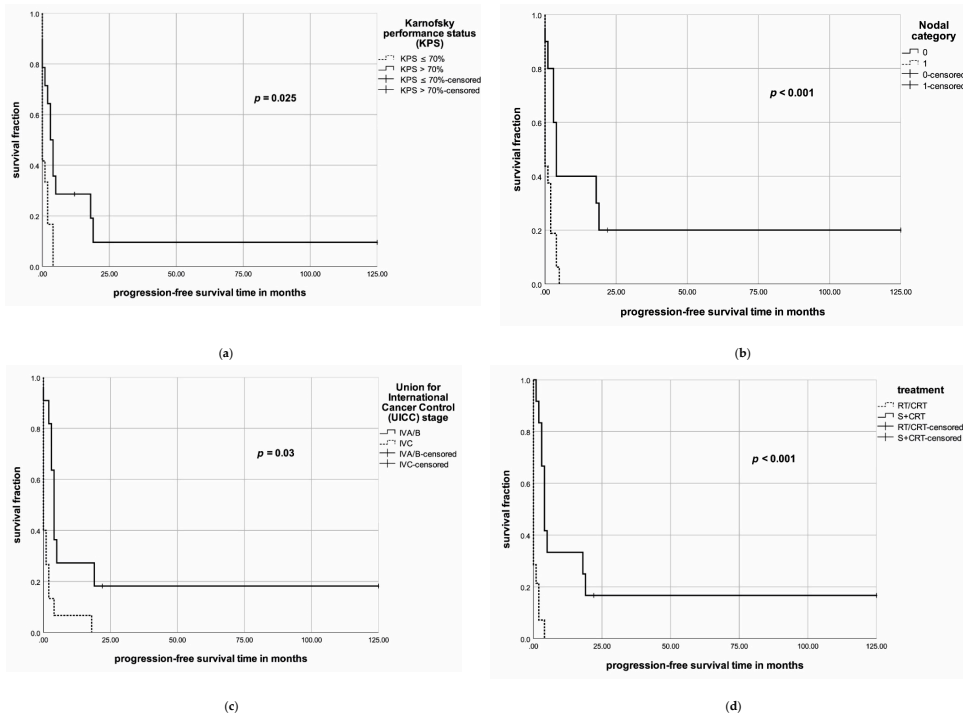
The median OS after the end of radiotherapy was three months (range = 0–125, 95% confidence interval (CI) = 0.75–5.29). The 6-, 12- and 24-month survival rates were 35%, 22% and 11%, respectively. The median PFS after the end of radiotherapy was two months (range = 0–125, 95% CI = 0.34–3.66). Local recurrence was observed in three (12%) patients during follow-up.

### 3.8. Patient- and Treatment-Related Factors of Prognosis in the Single-Center Evaluation

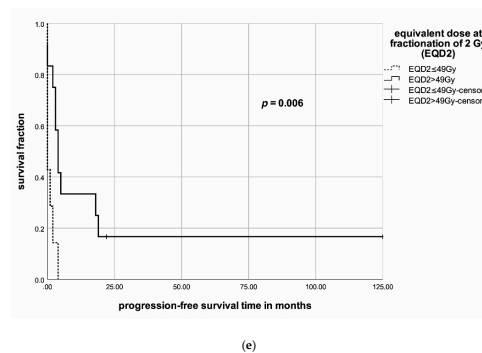
In the univariate analyses, KPS ( $>70\%$ ), N category, M category, UICC stage, surgery, multimodal treatment and an EQD2 of  $>49$  Gy were associated with an improved OS (Figure 3). In the multivariate analysis, for OS, none of the following factors achieved significance: KPS (hazard ratio (HR) = 0.42, 95% confidence interval (95% CI) = 0.07–2.64,  $p = 0.36$ ), UICC stage (HR = 1.45, 95% CI = 0.34–6.22,  $p = 0.62$ ), multimodal therapy (HR = 0.52, 95% CI = 0.07–3.91,  $p = 0.52$ ) or EQD2 level (HR = 0.56, 95% CI = 0.14–2.32,  $p = 0.43$ ) (Table 6). Univariate analysis of PFS, KPS ( $>70\%$ ), N category, M category, surgery, multimodal therapy and an EQD2  $> 49$  Gy resulted in improved PFS (Figure 4a–e). In the multivariate analysis, none of the following factors had a significant impact on PFS (Table 7): KPS (HR = 1.63, 95% CI = 0.35–7.45,  $p = 0.53$ ), N category (HR = 1.81, 95% CI = 0.56–5.92,  $p = 0.33$ ), M category (HR = 1.94, 95% CI = 0.45–8.32,  $p = 0.37$ ), multimodal therapy (HR = 0.41, 95% CI = 0.06–2.72,  $p = 0.35$ ) or EQD2 level (HR = 0.95, 95% CI = 0.21–4.34,  $p = 0.94$ ).



**Figure 3.** (a) Kaplan–Meier diagram for the Karnofsky performance status (KPS) and overall survival; (b) Kaplan–Meier diagram for the UICC stage and overall survival; (c) Kaplan–Meier diagram for treatment approaches and overall survival; (d) Kaplan–Meier diagram for EDQ2 levels and overall survival.



**Figure 4.** *Cont.*



(e)

**Figure 4.** (a) Kaplan–Meier diagram for the KPS and progression-free survival (PFS); (b) Kaplan–Meier diagram for N status and PFS; (c) Kaplan–Meier diagram for the UICC stage and PFS; (d) Kaplan–Meier diagram for treatment approaches and PFS; (e) Kaplan–Meier diagram for EDQ2 levels and PFS.

**Table 6.** Uni- and multivariate analysis of overall survival (OS).

| Parameter    | Univariate Analysis |              |              |         | Multivariate Analysis |              |              |              |
|--------------|---------------------|--------------|--------------|---------|-----------------------|--------------|--------------|--------------|
|              | At 6 Months         | At 12 Months | At 24 Months | p-Value | p-Value               | Hazard Ratio | 95% CI Lower | 95% CI Upper |
| Age, years   |                     |              |              |         |                       |              |              |              |
| ≤74          | 55%                 | 36%          | 12%          | 0.15    | -                     | -            | -            | -            |
| >74          | 22%                 | 10%          | 10%          |         |                       |              |              |              |
| Gender       |                     |              |              |         |                       |              |              |              |
| Male         | 23%                 | 23%          | 12%          | 0.45    | -                     | -            | -            | -            |
| Female       | 46%                 | 19%          | 9%           |         |                       |              |              |              |
| KPS, %       |                     |              |              |         |                       |              |              |              |
| ≤70          | 0%                  | 0%           | 0%           | <0.001  | 0.357                 | 0.422        | 0.068        | 2.64         |
| >70          | 64%                 | 40%          | 20%          |         |                       |              |              |              |
| N stage      |                     |              |              |         |                       |              |              |              |
| 0            | 50%                 | 40%          | 27%          | 0.028   | -                     | -            | -            | -            |
| 1            | 25%                 | 8%           | 0%           |         |                       |              |              |              |
| M stage      |                     |              |              |         |                       |              |              |              |
| 0            | 70%                 | 47%          | 31%          | 0.001   | -                     | -            | -            | -            |
| 1            | 13%                 | 6%           | 0%           |         |                       |              |              |              |
| UICC stage   |                     |              |              |         |                       |              |              |              |
| IVA          | 100%                | 100%         | 100%         | 0.004   | 0.618                 | 1.449        | 0.337        | 6.223        |
| IVB          | 67%                 | 40%          | 27%          |         |                       |              |              |              |
| IVC          | 13%                 | 6%           | 0%           |         |                       |              |              |              |
| Surgery      |                     |              |              |         |                       |              |              |              |
| No           | 7%                  | 0%           | 0%           | <0.001  | -                     | -            | -            | -            |
| Yes          | 67%                 | 42%          | 21%          |         |                       |              |              |              |
| Chemotherapy |                     |              |              |         |                       |              |              |              |
| No           | 31%                 | 21%          | 21%          | 0.78    | -                     | -            | -            | -            |
| Yes          | 39%                 | 23%          | 0%           |         |                       |              |              |              |
| Treatment    |                     |              |              |         |                       |              |              |              |
| RT/CRT       | 7%                  | 0%           | 0%           | <0.001  | 0.524                 | 0.519        | 0.069        | 3.911        |
| S+CRT        | 67%                 | 42%          | 21%          |         |                       |              |              |              |
| EQD2 level   |                     |              |              |         |                       |              |              |              |
| ≤49          | 7%                  | 0%           | 0%           | <0.001  | 0.426                 | 0.562        | 0.136        | 2.32         |
| >49          | 67%                 | 42%          | 24%          |         |                       |              |              |              |
| RT technique |                     |              |              |         |                       |              |              |              |
| 3D-CRT       | 29%                 | 12%          | 6%           | 0.18    | -                     | -            | -            | -            |
| IMRT         | 44%                 | 44%          | 22%          |         |                       |              |              |              |

Karnofsky performance status (KPS), Node (N), Metastases (M), Union of International Cancer Control (UICC), Radiation Therapy (RT), Chemoradiotherapy (CRT), three-dimensional conformal radiotherapy (3D-CRT), equivalent dose in 2 Gy fractions (EQD2), intensity-modulated radiation therapy (IMRT).

**Table 7.** Uni- and multivariate analysis of progression-free survival (PFS).

| Parameter    | Univariate Analysis |             |              |         | Multivariate Analysis |              |              |              |
|--------------|---------------------|-------------|--------------|---------|-----------------------|--------------|--------------|--------------|
|              | At 3 Months         | At 6 Months | At 12 Months | p-Value | p-Value               | Hazard Ratio | 95% CI Lower | 95% CI Upper |
| Age, years   |                     |             |              |         |                       |              |              |              |
| ≤74          | 27%                 | 27%         | 27%          | 0.29    | -                     | -            | -            | -            |
| >74          | 27%                 | 7%          | 7%           |         |                       |              |              |              |
| Gender       |                     |             |              |         |                       |              |              |              |
| Male         | 31%                 | 23%         | 23%          | 0.82    | -                     | -            | -            | -            |
| Female       | 23%                 | 8%          | 8%           |         |                       |              |              |              |
| KPS, %       |                     |             |              |         |                       |              |              |              |
| ≤70          | 17%                 | 0%          | 0%           | 0.025   | 0.532                 | 1.625        | 0.354        | 7.452        |
| >70          | 36%                 | 29%         | 29%          |         |                       |              |              |              |
| N stage      |                     |             |              |         |                       |              |              |              |
| 0            | 60%                 | 40%         | 40%          | <0.001  | 0.325                 | 1.812        | 0.555        | 5.919        |
| 1            | 6%                  | 0%          | 0%           |         |                       |              |              |              |
| M stage      |                     |             |              |         |                       |              |              |              |
| 0            | 40%                 | 30%         | 30%          | 0.03    | 0.373                 | 1.939        | 0.452        | 8.318        |
| 1            | 19%                 | 6%          | 6%           |         |                       |              |              |              |
| UICC stage   |                     |             |              |         |                       |              |              |              |
| IVA          | 100%                | 100%        | 100%         | 0.056   | -                     | -            | -            | -            |
| IVB          | 33%                 | 22%         | 22%          |         |                       |              |              |              |
| IVC          | 19%                 | 6%          | 6%           |         |                       |              |              |              |
| Surgery      |                     |             |              |         |                       |              |              |              |
| No           | 7%                  | 0%          | 0%           | <0.001  | -                     | -            | -            | -            |
| Yes          | 50%                 | 33%         | 33%          |         |                       |              |              |              |
| Chemotherapy |                     |             |              |         |                       |              |              |              |
| No           | 15%                 | 15%         | 15%          | 0.36    | -                     | -            | -            | -            |
| Yes          | 39%                 | 15%         | 15%          |         |                       |              |              |              |
| Treatment    |                     |             |              |         |                       |              |              |              |
| RT/CRT       | 7%                  | 0%          | 0%           | <0.001  | 0.352                 | 0.405        | 0.06         | 2.718        |
| S+CRT        | 50%                 | 33%         | 33%          |         |                       |              |              |              |
| EQD2 level   |                     |             |              |         |                       |              |              |              |
| ≤49          | 14%                 | 0%          | 0%           | 0.006   | 0.944                 | 0.947        | 0.207        | 4.34         |
| >49          | 42%                 | 33%         | 33%          |         |                       |              |              |              |
| RT technique |                     |             |              |         |                       |              |              |              |
| 3D-CRT       | 18%                 | 6%          | 6%           | 0.18    | -                     | -            | -            | -            |
| IMRT         | 44%                 | 33%         | 33%          |         |                       |              |              |              |

Karnofsky performance status (KPS), Tumor (T), Node (N), Metastases (M), Union of International Cancer Control (UICC), Radiation Therapy (RT), Chemoradiotherapy (CRT), three-dimensional conformal radiotherapy (3D-CRT), equivalent dose in 2 Gy fractions (EQD2), intensity-modulated radiation therapy (IMRT).

#### 4. Discussion

The main goal of this report was to investigate the prognostic impact of age in the treatment of ATC, as well as to study real-world clinical data and outcomes from elderly patients with ATC who received multimodal therapy outside the framework of a clinical trial. To our knowledge, this is the first comprehensive experience reported to date, evaluating patients aged  $\geq 65$  years in order to investigate the outcomes concerning OS and PFS, treatment-related toxicity and prognostic factors.

In general, age appears to be an important risk factor for the outcomes in patients with ATC [3,4,12,15–18]. Two multicenter studies with almost 3000 patients found increasing age as a prognostic factor, resulting in a less favorable outcome [3,17]. In the study of Wendler et al. with 100 patients, an age  $> 70$  was found to be an independent prognostic factor for shorter OS [16]. This is in accordance with a large registry study from Japan that included 677 ATC patients [4]. They also found an age  $> 70$  associated with a decreased OS, while an analysis of Surveillance, Epidemiology and End Results Program (SEER) data with 516 patients reports that patients older than 60 years already suffer from higher mortality rates [18]. Their data show a difference of 28% in cancer-specific survival (CSS) after a follow-up of one year when comparing patients over 60 with those under 60 years of age. On the other hand, the single-center cohort with 54 patients from Rao et al. found no association of patients above 60 years with worse OS ( $p = 0.5$ ). This might be due to the small cohort and a relatively low median age of 63 years [14].

Wendler et al. confirmed that age has a severe impact on treatment allocation. In patients <60 years, 77% received multimodal therapy, while in the group >80 years only 17% received this aggressive treatment approach [16]. Unfortunately, no reasons are given here for the individual assignments of therapies or conclusions regarding quality of life.

Based on the results of our systematic review and pooled analysis, age appears to have a prognostic impact on the outcome concerning OS. Elderly patients (aged  $\geq 65$  years) showed a significant association with poorer OS compared to younger patients. Therefore, elderly patients need to be considered as a special patient group in ATC treatment.

The KPS represents an important prognostic factor for OS and PFS in several types of cancer [20,63–65]. In our cohort, all patients with a KPS  $\leq 70\%$  died in less than six months. On the other hand, for patients with a KPS  $> 70\%$ , the 6-, 12- and 24-month survival rates were 64%, 40% and even 20%, respectively. In ATC, KPS, as well as the Eastern Cooperative Oncology Group Performance Index (ECOG), are not frequently reported in the literature and their prognostic value remains controversial. Future studies need to address this issue and provide a performance status, e.g., ECOG or KPS, in order to consequently prevent selection bias.

Nodal involvement and distant metastases determine the UICC stage and are, therefore, important for clinical outcomes. According to Wendler et al. and Glaser et al. [16,43], nodal involvement impacts OS negatively. Additionally, many larger and smaller studies report that patients with distant metastases experience a dismal prognosis [4–6,12,16,43,50]. In our study cohort, local nodal involvement and distant metastases were associated with poor outcome, which corresponds with the published literature. We found a six-month overall survival rate of patients with nodal involvement at an initial diagnosis of 25%, while it was 50% for those who did not have nodal involvement at that time.

The UICC stage represents a clinically important prognostic factor for OS. In our study, patients were diagnosed according to the revised eighth edition of the UICC TNM classification. We found that OS, as well as PFS, strongly depend on the stage. The 6- and 12-month survival rates were as follows: 100% each in IVA stage; 67% and 40%, respectively, for stage IVB; and 13% and 6%, respectively, for stage IVC. Similarly, the results from the studies by Haymart et al. and Wendler et al. are consistent with our findings [3,16].

Importantly, more than 40% of all ATC cases occur in advanced stages, which means that symptoms of local compression with dyspnea and dysphagia and/or distant metastases are present [1,5,8,13,14,66]. These cases correspond to the unresectable stage IVB or stage IVC, in which, usually, no surgery or only an incomplete resection (R2) is possible [2,5,7]. In this situation, definitive chemoradiotherapy may provide local control and symptomatic relief [6–8,50].

According to the published literature, the administered radiation dose depends on treatment goals (palliative vs. curative treatment) and ranges mainly between 20 and 75 Gy [5,11]. Nevertheless, the exact radiation dose in curative settings remains highly controversial. We found a radiation dose of  $>49$  Gy as a significant prognostic factor for OS and PFS, while other researchers described a dose of  $>60$  Gy [5,22]. According to Fan et al., radiation doses of  $>60$  Gy are associated with an improved local disease control ( $p < 0.001$ ) and overall survival ( $p = 0.004$ ). Differences were also found in the median OS for patients with radiotherapy (RT) doses of  $>60$  Gy (10.6 months) vs. doses  $<60$  Gy (3.6 months) [22]. Furthermore, the results of Glaser et al. show a more favorable outcome with higher-dose radiation ( $\geq 59.4$  Gy) [43].

In accordance with the recent analysis of 1288 patients from the National Cancer Database (NCDB), radiotherapy can stop or delay the local growth process. As a result, patients with advanced stage IVB and IVC and unresectable tumors may benefit from more aggressive treatments. They found that patients who received radiation from 60 to 75 Gy had significantly better OS rates compared to patients with radiation doses from 45 to 59.9 Gy [5]. Our study found that a radiation dose of  $>49$  Gy results in a more favorable OS, in addition to patients aged  $\geq 65$  years [6,11,12,16]. On the other hand, we found that an EQD2 of  $\geq 40$  Gy is associated with radiation dermatitis grade  $\geq 2$  ( $p = 0.04$ ), as well as with dysphagia grade  $\geq 2$  ( $p = 0.005$ ) and mucositis grade  $\geq 2$  ( $p = 0.04$ ). Interestingly, dyspnea ( $p = 0.07$ ) was

not associated with an irradiation dose. According to Fan et al., irradiation with >60 Gy in patients resulted in no grade 4 subacute or later adverse effects. However, common acute grade 3 adverse events were reported for dermatitis (20%), mucositis (13%), dysphagia (8%) and fatigue (7%) [22]. Similarly, to the results of Fan et al., no treatment-related toxicity grade 4/5 was observed in our study cohort. In contrast, our study cohort showed acute grade 3 toxicity of dermatitis and mucositis both only in 12% of all patients, which might be due to lower radiation doses. Severe dysphagia, however, was present in 23% of our patients. The reasons and possible confounders for this relatively high percentage are potentially due to the close surveillance of our patients and the proactive insertion of a percutaneous endoscopic gastrostomy (PEG) at our center.

The implementation of new radiation delivery techniques such as Intensity-Modulated Radiotherapy (IMRT) achieved improved outcomes concerning OS and PFS with less toxicity compared to older radiation techniques like 2D/3D-CRT [48]. The study by Park et al., which included 41 patients, found that IMRT ( $n = 28$ ) resulted in a more favorable OS (HR = 0.40,  $p = 0.005$ ) and PFS (HR = 0.33,  $p = 0.005$ ) compared to 3D-CRT ( $n = 13$ ). In addition, higher radiation doses could be safely achieved using IMRT rather than 3D-CRT (median doses of 66 Gy vs. 60 Gy,  $p = 0.005$ ) [48]. A small cohort study by He et al. confirmed that with IMRT, the dose tolerance was significantly improved; almost all patients received higher-dose radiation (>54 Gy) [67]. On the other hand, Corrigan et al. emphasized the recommendation of IMRT in the treatment of neck and head cancer, but little evidence was available regarding the treatment of ATC. However, they also found an association between IMRT and higher 12-month survival rates compared to 2/3D-CRT [15]. In our study, we found a benefit for IMRT at the 12-month survival rate compared to 3D-CRT (44% vs. 12% at 12 months). However, the difference was not significant.

The administration of chemotherapy in our cohort resulted in no further improvement of OS and PFS. Several studies confirm our controversial findings [12,15,50]. In contrast, two German studies found a survival benefit for administering concurrent or sequential chemotherapy to radiotherapy [16,44]. However, administering concurrent chemotherapy to radiotherapy in ATC remains highly controversial especially in elderly patients. Tiedje et al. recently summarized the latest evidence and confirmed that it is still unclear whether chemotherapy or chemoradiotherapy may improve patients' outcomes. Moreover, administering chemotherapy only in stage IVC or also in stage IVA or IVB remains arguable [68].

Recent studies show that trimodal treatment (surgery, radiotherapy and chemotherapy) combined as a multimodal therapy significantly improves both OS and PFS in patients with ATC [3,5,11,13–16]. As a result, this multimodal therapy regime is increasingly becoming the standard of care, especially for patients in stage IVA and resectable stage IVB [1,12,14] and was incorporated into national and international guideline recommendations [1,69].

We found that elderly patients ( $\geq 65$  years) appear to benefit from multimodal treatment including surgical resection followed by CRT compared to definitive chemo-/radiotherapy alone. Nonetheless, it failed to achieve significance in the multivariate analysis given the limitations of our study, such as limited patient number and the retrospective study design. The combination of surgery and chemoradiotherapy showed 6-, 12- and 24-month OS rates of 67%, 42% and 21%, respectively, compared to definitive chemo-/radiotherapy with 7%, 0% and 0%. Significantly improved PFS rates were also observed in 50%, 33% and 33% of patients compared to those with only definitive chemo-/radiotherapy of, again, 7%, 0% and 0%. Fan et al. observed in a cohort of 104 patients a 12-month OS rate of 54.7% in 53 patients who were treated with multimodal therapy. On the other hand, the 12-month overall survival rate in the 51 patients who were treated with concurrent chemoradiation or radiotherapy alone was only 12.8%. In the multivariate analysis, they also found multimodal treatment associated with improved local progression-free survival (LPFS) ( $p = 0.017$ ). The 12-month LPFS rate in patients who were treated multimodally was 85.9% vs. 54.1% in those patients who were not ( $p = 0.003$ ) [22]. Importantly, not all patients may tolerate combined or multimodal treatment approaches. Elderly patients with ATC need more attention and personalized treatment. In order



to optimize such personalized approaches, the patients' survival prognoses must be considered for decision-making. Therefore, our study revealed several prognostic factors, namely KPS, UICC, multimodal treatment and radiation dose escalation as well as outcome and toxicity in elderly patients.

Several limitations must be considered interpreting the results of the present study such as the retrospective nature and, therefore, a risk of including hidden selection and confounding biases. In addition, the patient cohort is relatively small with a long recruitment period.

According to our findings, treatment-related toxicity appears to be manageable in patients aged  $\geq 65$  years. Outcomes in elderly patients can be improved by more intensive therapy regimes such as combined treatments or dose escalation. We state that age does not need to be an exclusion factor for multimodal treatments and should be discussed within multidisciplinary tumor boards consisting of surgeons, oncologists and radiation oncologists.

## 5. Conclusions

Age is an independent prognostic factor in the treatment of ATC. Multimodal treatment including surgery and chemoradiotherapy in elderly patients with ATC appears to be associated with promising outcomes with manageable toxicity. Several prognostic factors for elderly patients were identified and may help physicians to estimate a patient's prognosis and tailoring personalized treatment approaches. Despite the rare occurrence, ATC remains highly lethal, and therefore, prospective studies in elderly patients are needed in order to improve future outcomes.

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## 7. Paper III

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# Radiation to the Primary Tumor in Metastatic Anaplastic Thyroid Cancer

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**Abstract.** *Background/Aim:* Metastatic anaplastic thyroid cancer is associated with a dismal prognosis. We evaluated outcome and prognostic factors in patients receiving radiation to the primary tumor in metastatic anaplastic thyroid cancer (ATC). *Patients and Methods:* All consecutive patients with metastatic ATC (n=20) undergoing irradiation between 2009 and 2019 for anaplastic thyroid cancer were investigated. *Results:* Median survival time and median progression-free survival were 2 (range=1-22) and 2 (1-20) months. In univariate analyses, surgery, concurrent or sequential chemotherapy and higher radiation dose escalation (>39 Gy) were correlated with longer overall survival (p=0.005, p=0.018 and p=0.038), respectively. Karnofsky performance status >70% showed a trend of longer survival time (p=0.062). Limited metastatic disease, surgery and concurrent/sequential chemotherapy are correlated with longer progression-free survival times (p=0.043, p=0.024 and p=0.039), respectively. *Conclusion:* Radiation to the primary tumor in metastatic anaplastic thyroid cancer is safe and offers durable local control. Treatment intensification including concurrent or sequential chemotherapy and radiation dose escalation were associated with longer survival rates and should be considered in selected patients with metastatic disease.

Anaplastic thyroid cancer (ATC) is an orphan disease with a dismal prognosis (1-6). Median survival times range between

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**Key Words:** ATC, anaplastic thyroid cancer, metastatic, irradiation, survival.

3 and 16 months depending on Union for International Cancer Control tumor–node–metastasis (UICC TNM) stage (7-9). National and international guidelines recommend that ATC patients with stage IVA/B should be considered for radical surgery if negative pathological margins (R0/R1) can be achieved and should be avoided if there is a high chance of gross residual disease (R2) (2-5).

However, the majority of ATC patients are considered to be inoperable due to locally advanced disease and comorbidities. So far, no standard treatment regimen has been successfully established in stage IVC (4, 5).

Local radiotherapy (RT) should always be considered as part of the initial multimodal therapy approach to improve overall survival (OS) (6, 9-11) and provide local and symptom control in order to maintain quality of life. However, it is a matter of debate if local RT is still recommended in metastatic disease where aggressive systemic therapy has to be weighed against benefits from local control and limited systemic approaches.

The aim of the present study was to evaluate outcome and prognostic factors in patients receiving radiation to primary tumor of metastatic anaplastic thyroid cancer.

### Patients and Methods

*Study population.* The medical charts of 20 consecutive patients with metastatic anaplastic thyroid cancer treated with irradiation to primary tumor between 2009 and 2019 were reviewed. Patient and treatment characteristics are summarized in Table I. The Institutional Research Ethical Review Board approved the study (approval number: 19-885).

*Diagnostics and treatment.* ATC was histologically confirmed in all patients and diagnosed as stage IVC according to the revised 8th edition of the UICC TNM classification (7). A lobectomy was performed in two (10%) patients and three (15%) patients had received a total thyroidectomy. Chemotherapy was administered in 9 (45%) patients, of which 5 (25%) patients received concurrent chemotherapy with carboplatin AUC 2 with Paclitaxel 50 mg/m<sup>2</sup> weekly, which has been the standard at our Institution in the recent years, and 3 patients (15%) received concurrent chemotherapy with

doxorubicin (10 or 20 mg/m<sup>2</sup>) weekly. Sequential chemotherapy (doxorubicin/cisplatin) was administered in one (5%) patient before radiation. Three-dimensional conformal radiotherapy (3D-CRT) technique was administered in 13 (65%) patients and 7 (35%) patients received intensity modulated radiation therapy (IMRT). The median radiation dose in equivalent dose in 2 Gy fractions (EQD2) was 42 (range=5-70) Gy. Seven potential patient- and treatment-related features, namely age, gender, Karnofsky performance status (KPS), number of involved metastatic sites, surgery, concurrent and sequential chemotherapy and radiation dose escalation were analysed for their impact on OS and progression-free survival (PFS). Treatment-related side-effects were evaluated using Common Terminology Criteria for Adverse events (CTCAE) version 4.

**Statistical analysis.** Statistical analyses were performed using SPSS statistics 25 (IBM, New York City, NY, SA). The log-rank test was used to compare subgroups. All significant variables in univariate analysis were included in a multivariate analysis (Cox regression). OS was defined as the time between diagnosis and death. PFS was defined as the time between diagnosis and the development of local relapse, distant metastases or death from all causes.

For all statistical analyses, a *p*-value <0.05 was considered statistically significant.

## Results

Median survival time was 2 (range=1-22) months. Survival at 1, 3 and 12 months of the entire cohort was 65, 30 and 5%, respectively. No local progression was observed in the first 12 months after radiotherapy. Progression-free survival was 2 (range=1-20) months. In univariate analyses, surgery (*p*=0.005), sequential or concurrent chemotherapy (*p*=0.018) and radiation dose escalation (>39 Gy, *p*=0.038) resulted in improved OS (Table II), respectively. Karnofsky performance status >70% showed a trend for longer survival time (*p*=0.062). On multivariate analysis, no factor achieved significance for OS. Limited metastatic sites (1 vs. 2-4 sites, *p*=0.043), surgery (*p*=0.024) and chemotherapy (*p*=0.039) are associated with improved PFS (Table III). On multivariate analysis for PFS no factor achieved significance.

Acute toxicity (grade 3) of dysphagia, dyspnea, dermatitis, mucositis and dysphonia were found in 20%, 30%, 5%, 5% and 10% of patients, respectively. CTCAE grade 4/5 was not observed.

## Discussion

The treatment of patients with metastatic ATC should be planned in a multidisciplinary expert team also considering prognostic factors, which allow estimating the patient's prognosis (1, 10, 12). Systemic treatment remains the main treatment of metastatic ATC, but usually results in low response rates and significant toxicities. Treatment with paclitaxel or doxorubicin or combined treatment approaches (e.g. carboplatin/paclitaxel, docetaxel/doxorubicin) are recommended (5).

Table I. Patient- and treatment-related characteristics.

|                                 | N  | %  |
|---------------------------------|----|----|
| Age, years                      |    |    |
| <73                             | 10 | 50 |
| ≥73                             | 10 | 50 |
| Gender                          |    |    |
| Female                          | 11 | 55 |
| Male                            | 9  | 45 |
| Karnofsky performance status, % |    |    |
| ≤70                             | 14 | 70 |
| >70                             | 6  | 30 |
| T stage                         |    |    |
| 3                               | 1  | 5  |
| 4                               | 19 | 95 |
| N category                      |    |    |
| 0                               | 5  | 25 |
| 1                               | 15 | 75 |
| Number of metastatic sites      |    |    |
| 1                               | 11 | 55 |
| 2-4                             | 9  | 45 |
| Metastatic sites                |    |    |
| Pulmonary                       | 19 | 95 |
| Distant lymph node              | 8  | 40 |
| Bone                            | 3  | 15 |
| Brain                           | 1  | 5  |
| Liver                           | 1  | 5  |
| Surgery                         |    |    |
| No                              | 15 | 75 |
| Yes                             | 5  | 25 |
| Chemotherapy                    |    |    |
| No                              | 11 | 55 |
| Yes                             | 9  | 45 |
| Radiation dose, Gy              |    |    |
| ≤39                             | 8  | 40 |
| >39                             | 12 | 60 |

T: Tumor, N: nodal, Gy: Gray.

Tumor-related complications such as airway or esophageal obstruction, hemorrhage and vocal cord paralysis can be lethal and should be taken into account for shared-decision making (2-5). Therefore, prognostic factors that indicate the effect of radiotherapy on local control and survival are important to identify high-risk patients who do not achieve a satisfying outcome and may benefit from treatment intensification such as radiation dose escalation or concurrent chemotherapy.

Several studies investigated potential prognostic factors in ATC such as age, presence of acute symptoms, leukocytosis, large local tumors, resection status and distant metastasis (1, 13, 14). Data about prognostic factors in stage IVC are still limited (8, 13, 15).

The present study aimed to evaluate outcome and prognostic factors in patients with metastatic anaplastic thyroid cancer that received radiation to the primary tumor. As a result, cervical irradiation appears to be effective and offers durable local

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Table II. Uni- and multivariate analyses of overall survival.

|                                 | At 1 month,% | At 3 months, % | At 12 months, % | <i>p</i> -Value<br>(univariate analyses) | <i>p</i> -Value<br>(multivariate analyses) |
|---------------------------------|--------------|----------------|-----------------|--|--|
| Age, years                      |              |                |                 |  |  |
| <73                             | 60           | 30             | 10              |  |  |
| ≥73                             | 70           | 30             | 0               | 0.47                                     |  |
| Gender                          |              |                |                 |  |  |
| Female                          | 64           | 27             | 9               |  |  |
| Male                            | 67           | 33             | 0               | 0.802                                    |  |
| Karnofsky performance status, % |              |                |                 |  |  |
| ≤70                             | 57           | 21             | 0               |  |  |
| >70                             | 83           | 50             | 17              | 0.062                                    |  |
| Metastatic sites                |              |                |                 |  |  |
| 1                               | 73           | 36             | 9               |  |  |
| 2-4                             | 56           | 22             | 0               | 0.322                                    |  |
| Surgery                         |              |                |                 |  |  |
| No                              | 53           | 13             | 0               |  |  |
| Yes                             | 100          | 80             | 20              | 0.005                                    | 0.051                                      |
| Chemotherapy                    |              |                |                 |  |  |
| No                              | 44           | 11             | 0               |  |  |
| Yes                             | 82           | 46             | 9               | 0.018                                    | 0.988                                      |
| Radiation dose, Gy              |              |                |                 |  |  |
| ≤39                             | 38           | 13             | 0               |  |  |
| >39                             | 83           | 42             | 8               | 0.038                                    | 0.415                                      |

Gy: Gray.

Table III. Uni- and multivariate analyses of progression-free survival.

|                                 | At 1 Month, % | At 3 months, % | At 12 months, % | <i>p</i> -Value<br>(univariate analyses) | <i>p</i> -Value<br>(multivariate analyses) |
|---------------------------------|---------------|----------------|-----------------|--|--|
| Age, years                      |               |                |                 |  |  |
| <73                             | 50            | 20             | 10              | 0.926                                    |  |
| ≥73                             | 70            | 30             | 0               |  |  |
| Gender                          |               |                |                 |  |  |
| Female                          | 64            | 18             | 9               |  |  |
| Male                            | 56            | 22             | 0               | 0.896                                    |  |
| Karnofsky performance status, % |               |                |                 |  |  |
| ≤70                             | 50            | 14             | 0               |  |  |
| >70                             | 83            | 33             | 17              | 0.192                                    |  |
| N stage                         |               |                |                 |  |  |
| 0                               | 60            | 40             | 20              |  |  |
| 1                               | 60            | 13             | 0               | 0.263                                    |  |
| Metastatic sites                |               |                |                 |  |  |
| 1                               | 64            | 36             | 9               |  |  |
| 2-4                             | 56            | 0              | 0               | 0.043                                    | 0.336                                      |
| Surgery                         |               |                |                 |  |  |
| No                              | 47            | 7              | 0               |  |  |
| Yes                             | 100           | 60             | 20              | 0.024                                    | 0.23                                       |
| Chemotherapy                    |               |                |                 |  |  |
| No                              | 44            | 0              | 0               |  |  |
| Yes                             | 73            | 36             | 9               | 0.039                                    | 0.598                                      |
| Radiation dose, Gy              |               |                |                 |  |  |
| ≤39                             | 38            | 0              | 0               |  |  |
| >39                             | 75            | 33             | 8               | 0.075                                    |  |

Gy: Gray.



control of the disease. In our analysis surgery, chemotherapy (carboplatin/paclitaxel or doxorubicin) and radiation dose escalation (>39 Gy) were correlated with longer OS. This is consistent with the findings by Wendler *et al.* who reported a significant association of multimodal treatment approaches with a survival benefit in ATC stage IVC patients (1) as well as the study of Sugitani *et al.* with 223 ATC patients in stage IVC which found that radical surgery ( $p=0.0002$ ), dose escalated radiotherapy ( $\geq 40$  Gy) ( $p<0.0001$ ) and chemotherapy ( $p<0.0001$ ) were correlated with longer survival rates (13).

A National Cancer Data Base (NCDB) study of 606 patients with ATC stage IVC found a dose-survival correlation in patients receiving 60 to 75 Gy compared to 45 to 59.9 Gy (15). These data go along with the findings of our present study.

Despite local and symptom control, pattern of failure in ATC tends to be metastatic progression, which is consistent with our study (16). We found that a limited number of metastatic sites ('oligometastatic disease') appears to be a prognostic factor for PFS (see Table III) and that these patients may benefit from more aggressive treatment approaches which offer reliable local control and longer OS.

Treatment-related side-effects were manageable according to our study. However, treatment intensification should be discussed in multidisciplinary teams including surgeons, radiation oncologists, endocrinologists, medical oncologists, and palliative care teams.

Due to a substantial increase of druggable tumor-specific molecular aberrations in the past decade, molecular profiling has become an integral part of diagnosis and therapy in oncology, gaining more and more importance in the treatment of ATC. The most frequently investigated single agents or agents in combined treatment approaches are multikinase inhibitors (*e.g.* lenvatinib, sorafenib), PI3K/mTOR inhibitors (*e.g.* everolimus), vascular-targeting agents (*e.g.* fosbretabulin), BRAF-inhibitors (*e.g.* dabrafenib) and checkpoint inhibitors (*e.g.* pembrolizumab, spartalizumab) (17-23).

The combination of BRAF-inhibitor dabrafenib and MEK-inhibitor trametinib achieved approval by the Food and Drug Administration (FDA) in 2018 based on the promising results of a phase II study comprising BRAFV600E-mutated ATC (21). The overall response rate in the ATC-subgroup was 61%, of which 57% experienced a partial and 4% a complete response. In addition, several checkpoint inhibitors such as pembrolizumab, spartalizumab and durvalumab alone or in combination with conventional treatment regimens (RT, ChT) have been investigated (22-24).

Recently, the combination of lenvatinib with pembrolizumab has achieved excellent results in metastatic ATC (25). However, larger trials investigating this combined treatment approach are ongoing and highly anticipated (26).

Several limitations must be considered in interpreting the results of our study such as the retrospective design and, therefore, a risk of including hidden selection biases. In

addition, the patient cohort is relatively small with a long recruitment period. However, ATC is an orphan disease and stage IVC is associated with a dismal prognosis. We found that local irradiation offers durable local control in metastatic ATC patients and identified several prognostic factors in this setting. As a result, we are convinced that our study may help physicians to tailor personalized treatment approaches.

In summary, treatment-related side-effects appear to be manageable and therapy intensification including concurrent or sequential chemotherapy and radiation dose escalation were correlated with longer survival rates.

## Conclusion

Radiation to the primary tumor in metastatic anaplastic thyroid cancer is safe and offers durable local control. Treatment intensification including concurrent or sequential chemotherapy and radiation dose escalation were correlated with longer survival rates and should be considered in selected patients with metastatic disease.

## Conflicts of Interest

There are no conflicts of interest to declare regarding this study.

## Authors' Contributions

Conception and Design: L.K., T.A., D.O.; Administrative support: C.B., C.S., L.K.; Provision of study materials or patients: L.K., C.S., C.B., J.R.; Collection and assembly of data: L.K., T.A., D.O.; Data analysis and interpretation: L.K., T.A., D.O.; Manuscript writing: All authors; Final approval of manuscript: All Authors.

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## 8. Paper IV

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### RESEARCH



# Role of surgery to the primary tumor in metastatic anaplastic thyroid carcinoma: pooled analysis and SEER-based study

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### Abstract

**Purpose** Anaplastic thyroid carcinoma (ATC) is an orphan disease with a fatal outcome. Surgery to the primary tumor in metastatic ATC is controversial. Determination of specific surgical techniques may help facilitate local control and, hence, beneficial overall and disease-specific survival.

**Methods** Using individualized patient data derived from our systematic review of literature and our single center study ( $n = 123$ ), conducting a Surveillance, Epidemiology, and End Results register (SEER)-based study ( $n = 617$ ) we evaluated surgery, its combination with systemic and local therapies in metastatic ATC.

**Results** Pooled cohort study showed surgery ( $p < 0.001$ ), RT  $\geq 30$  Gy ( $p < 0.001$ ), ChT ( $p < 0.001$ ) and multimodal treatment ( $p = 0.014$ ) to result in improved OS univariately. In the multivariate analysis, surgery (1.997 [1.162–3.433],  $p = 0.012$ ) and RT  $\geq 30$  Gy (1.877 [1.232–2.843],  $p = 0.012$ ) were independent predictors for OS. In SEER-based study of patients undergoing any tumor-directed treatment ( $n = 445$ ) total thyroidectomy ( $p = 0.031$ ), administration of ChT ( $p = 0.007$ ), RT ( $p < 0.001$ ), combination of surgery and RT  $\pm$  ChT ( $p < 0.001$ ) and multimodal treatment ( $p < 0.001$ ) correlated with an improved DSS univariately. On the multivariate analysis, debulking surgery was an independent predictor for a worse outcome (HR 0.535, 95%CI 0.332–0.862,  $p = 0.010$ ), whereas RT administration correlated with a longer DSS (HR 2.316, 95%CI 1.362–3.939,  $p = 0.002$ ). Among operated patients from SEER register total thyroidectomy ( $p = 0.031$ ), ChT ( $p = 0.007$ ), RT ( $p < 0.001$ ), combination of surgery and RT  $\pm$  ChT ( $p < 0.001$ ) and multimodal treatment ( $p < 0.001$ ) correlated with an improved DSS in the univariate analysis, whereas debulking surgery was inversely correlated with the DSS ( $p < 0.001$ ). On the multivariate analysis, debulking surgery was an independent predictor for a worse DSS (HR 0.535, 95%CI 0.332–0.862,  $p = 0.010$ ), whilst RT administration correlated with a longer DSS (HR 2.316, 95%CI 1.362–3.939,  $p = 0.002$ ).

**Conclusions** Surgery to the primary tumor with the aim of R0/R1 resection, but not debulking, is associated with a significant OS and DSS benefit even in systemically metastasized disease.

**Keywords** ATC · Anaplastic thyroid carcinoma · Thyroidectomy · Surgery · Survival

### Introduction

Anaplastic thyroid carcinoma (ATC) is an orphan disease and one of the most aggressive cancers due to its rapid progression with limited mean survival of 3–6 months (Neff et al. 2008). Distant metastases that are often present at the time of initial diagnosis in ATC do not only result in a very dismal prognosis but also present a major challenge in decision making for the optimal treatment regime (Maso et al. 2017; Maniakas et al. 2020). At this stage most commonly utilized therapies include cytotoxic chemotherapy (ChT) with or without radiation therapy (RT) (Bible et al. 2021; Haddad et al. 2018; Filetti et al. 2019). More recently

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immunotherapeutic approaches and targeted therapies have been proposed for the treatment of advanced and metastatic ATC if targetable mutations are detected (Bible et al. 2021; Haddad et al. 2018; Filetti et al. 2019; Subbiah et al. 2018).

Current guidelines (National Comprehensive Cancer Network [NCCN], American Thyroid Association [ATA]) recommend to consider thyroidectomy also in ATC stage IVC if the primary tumor is considered resectable and R0/R1 margins are achievable (Bible et al. 2021; Haddad et al. 2018). It is important to consider local and distant complications when planning therapy at this stage of the disease and to evaluate individual susceptibility toward a chosen therapy within a multidisciplinary expert team. Surgical therapy to the primary tumor ranging from debulking surgery to R0 thyroidectomy could possibly prevent patients from developing life-threatening aspirations, dysphagia, dyspnea, bleedings or superior vena cava syndrome (Haigh et al. 2001). Some of these complications may, however, be prevented by less invasive interventions, e.g., tracheostomy, percutaneous endoscopic gastrostomy (PEG) or venous stenting. Furthermore, sufficient radiation therapy to the primary site

or systemic therapies with platin-based agents or targeted therapies to actionable mutations such as *BRAF V600E*, or *NTRK* and *RET* gene fusions may also provide sufficient local control rates (Filetti et al. 2019). Thus, it is important to analyze outcomes and prognostic factors among patients with metastatic ATC to determine the rationale for an invasive intervention.

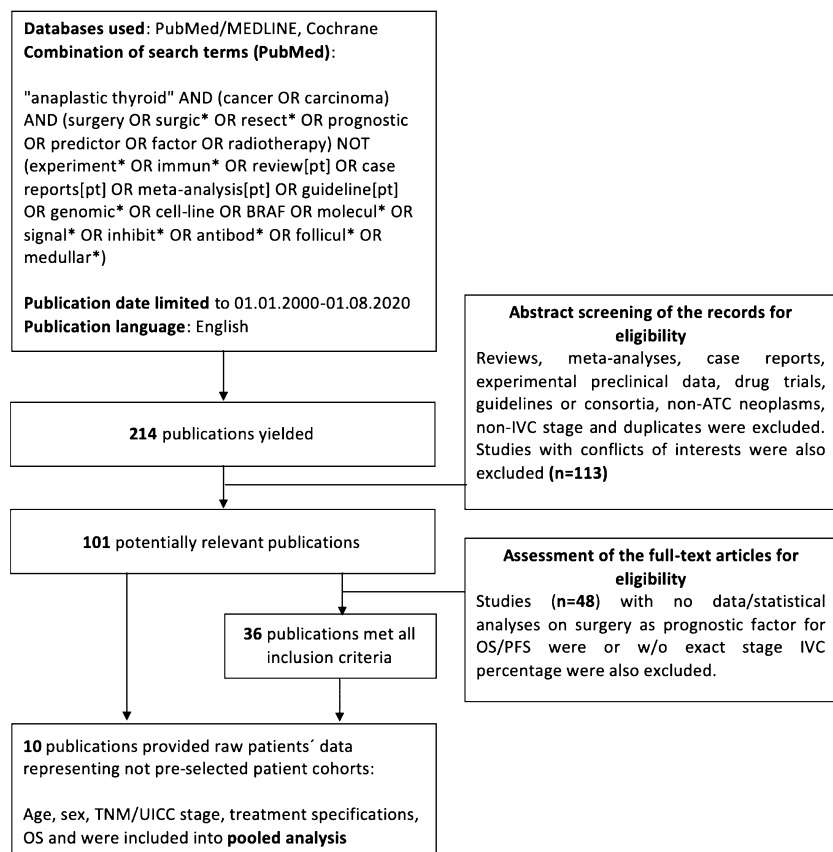
In this study we aim to investigate the role of different surgical procedures to the primary tumor in patients with ATC stage IVC on their survival. Hereby we compared various surgery types among each other by performing a systematic review of literature, pooled analysis derived from individualized patient data and SEER-database analysis.

## Patients and methods

### Systematic review of literature and pooled analysis

A systematic review of literature was primarily carried out on 30 th October 2020 and repeated on 15 August 2021

**Fig. 1** PRISMA-flowchart for the systematic review of literature: surgery in stage IVC ATC patients



using PubMed/MEDLINE (National Center for Biotechnology Information, Bethesda, MD, USA) and Cochrane databases to identify relevant publications according to PRISMA-protocol. A full list of search terms is provided in Fig. 1. Articles published in English, in the timeframe from 1 January 2000 to 1 August 2021 and identified by the mentioned terms were included into the preliminary analysis. Further eligibility assessment incorporated abstract screening for article and neoplasm type, as well as duplicates. Studies with conflicts of interests, e.g. publications of our facility were excluded. Reviews, meta-analyses, case reports, experimental preclinical data, drug trials, guidelines or consortia and studies without stage IVC ATC were excluded. Remaining articles were analyzed in full-text and excluded, if data or statistical analyses on surgery as prognostic factor for OS/PFS were missing. Furthermore, only studies with exact stage IVC percentage data were included. Publications with individualized patients' data on age, sex, TNM/UICC stage, treatment specifications and OS were included into pooled analysis. The complete review process was based on the PRISMA guidelines and is depicted in Fig. 1.

A cohort of patients with metastatic ATC from our facility has been described previously and pooled with the newly identified data to form a representative cohort (Augustin et al. 2021). Inclusion and censorship criteria have been reported in that study.

### SEER-based analysis

Based on the promising results of the pooled analysis we used Surveillance, Epidemiology, and End Results (SEER) database to further verify our null hypothesis. Data on all patients diagnosed with ATC employing histopathological codes of International Classification of Disease for Oncology (3rd edition; ICD-O-3; code 8021/3 [Carcinoma, anaplastic, NOS] and site [Thyroid]) from 2000 to 2016 were analyzed. Only patients with metastatic ATC were included into our study. Patients with aberrant stages as M1/IVC were excluded from the analysis. Staging was based on the SEER histological stage A (1973–2015) [Distant] and American Joint Committee on Cancer (AJCC) 3<sup>rd</sup>–7<sup>th</sup> editions [M1/IVC]. Following information was subsequently extracted from the SEER database: sex, age, surgery record and type according to “Rx Surg Prim Site (1998+)”, RT codes and sequences, ChT records, cause-specific deaths codes, vital status and survival in months. Data acquisition date was 2 August 2021. Surgery records “isthmectomy only”, “resection of less than one lobe” and “local surgical excision” were considered as debulking surgery. Patients without specified type of thyroidectomy “thyroidectomy NOS”, “surgery NOS” or “unknown if surgery performed; death certificate ONLY” were excluded from the analysis.

### Statistical analysis

Statistical analysis was conducted using SPSS statistics 25 (IBM, Chicago, IL, USA). Univariate analysis of variables comprised log-rank test. Significant variables were subsequently analyzed multivariately in the Cox regression. Significance level was defined for all analyses at  $\alpha=0.05$ . In our single-center data patients were censored if lost to follow-up, overall survival (OS) was defined as the time from initial diagnosis to death, sufficient RT dose was defined as a total RT dose of  $\geq 30$  Gy due to a considerable number of patients receiving a total dose of  $< 30$  Gy. In these cases, RT was mostly discontinued given the premature patients death or local complications.

## Results

### Systematic review of literature and pooled analysis

In total, 214 publications were yielded by our combination of search terms in the PubMed MEDLINE database. Cochrane search did not reveal any relevant studies. Potentially relevant publications accounted for 101 studies and were identified by abstract screening for eligibility, as shown in Fig. 1. Full-text assessment of these articles was based on the presence of statistical analyses specific for our hypothesis, namely, surgery as prognostic factor for improved overall or progression-free survival (OS, DSS and PFS, respectively). Thus, 36 retrospective studies were fully included into our systematic review (Table 1). A total of 12,725 patients were evaluated by the mentioned studies. Stage IVC accounted for 41.1% or approximately 5226 of these patients. Resection margins were reported at least partially by 16 (44.4%) of the studies. Twenty-seven (75%) publications showed surgery or certain resection status to be favorable for a longer survival, decreased relative risk or an improved local control (LC) in the univariate analysis. Two studies claimed their univariate analysis to be significant at  $\alpha$ -levels of  $p < 0.2$  or did not provide additional information on the significance level other than  $p < 0.1$ . In multivariate analysis, surgery or certain resection status were identified as an independent prognostic factor in 19 (52.7%) publications. Two publications did not provide  $p$  values for their multivariate analyses, but the 95% CI did not cross HR value of 1.0.

In total, 10 studies (Takahashi et al. 2019; Aslan et al. 2014; Crevoisier et al. 2004; Stavos et al. 2014; Ito et al. 2012; Lim et al. 2012; So et al. 2017; Tennvall et al. 2002; Troch et al. 2010; Busnardo et al. 2000) provided individualized patient data that were eligible for a pooled analysis with our single center cohort described previously (Augustin et al. 2021). This new cohort included 123 patients with stage IVC ATC and a median age of 71 (39–94) years

**Table 1** Systematic review of literature—surgery in AITC

| Author                  | Num-ber of patients | Median age (IQR, years)  | Stage IVA/IVB/ IVC % | Surgery  | R status   | RT % and regimen | Total RT dose                                 | ChT %        | ChT agent   | Additional information  | Univariate for surgery (HR [95% CI]; <i>p</i> value)                                     | Multivariate for surgery (HR [95% CI]; <i>p</i> value)               |
|-------------------------|---------------------|--|----------------------|--|--|------------------|---|--------------|---|---|--|--|
| Fan et al. (2020)       | 104                 | 63.5 (28–87)   | 4.8/73.1/22.1        | NOS—50%  | R0—12.5%<br>R1—21.2%<br>R2—16.3%                           | 100.0            | Median 66 Gy/33Fr (6–70.25 Gy/3–40)           | 95.2—current | DOX-based—73.7%<br>PTX-based—24.3%<br>Others—2%   | Trimodal Ther-apy—51.0%   | <i>p</i> < .001  | 0.278 [0.029–2.687]; <i>p</i> = 0.269, NS                            |
| Corrigan et al. (2019)  | 28                  | 70.9 (63.8–74.7)   | 7.1/74.1/17.9        | NOS 71.4%  | NR   | 67.9             | < 40 Gy—39.3%<br>≥ 40 Gy—21.4                 | 50%          | With RT:<br>DOX—36.4%<br>Other combina-tions—63.6%  | S + RT + ChT—35.7%<br>S + RT—17.9%<br>RT + ChT—10.7%<br>RT only—10.7%<br>S only—17.9%<br>ChT only—3.6%                                    | 0.384 (0.157–0.938), <i>p</i> = .004   | 0.198 (0.065–0.598), <i>p</i> = .004                                 |
| Glaser et al. (2016)    | 3552                | ≥ 65—68.4%   | NR/NR/41.6           | TT—23.2%<br>Other—26.3%  | Margins nega-tive—13.2%<br>Mar-gins positive/unknown—36.3% | 58.7             | Median 45 Gy (≤ 36 Gy—32.1%; ≥ 59.4 Gy—38.1%) | 46.1         | Single agent—57%<br>Multiagent—43%  | NR  | S other than total:<br>1.32 (1.13–1.54),<br><i>p</i> < 0.005                             | OR for death within 2 y: 0.59 (95%CI 0.45–0.78),<br><i>p</i> < 0.005 |
| Panovic et al. (2015)   | 150                 | < 40—1.3<br>41–50—6.1<br>51–60—19.3<br>61–70—54.0<br>> 70—19.3 | NR/NR/32.9           | Tumor reduc-tion—31.8<br>Lobectomy—4.7<br>Thyroidectomy and dissection—47.1                  | NR   | 81.2             | NR  | 2.4          | NR  | NeoAd RT—2.4<br>Adj RT—78.8   | RR 1.51 (1.30–1.81),<br><i>p</i> < .001  | RR 0.43 (0.29–0.63)<br><i>p</i> < .001                               |
| Takahashi et al. (2019) | 33                  | 68 (41–87)   | 12/39/39             | NOS—39%  | NR   | 100              | Median 50 Gy (5–74 Gy)                        | 52           | CARB + PTX—35.3%<br>NDP + 5-FU—17.6%<br>NDP + ETOP—11.8%<br>PTX—11.8%<br>Other—23.5%<br>N = 17                                | CRT—45%<br>N = 33   | NS<br>OS: 0.77 (0.35–1.66),<br><i>p</i> = 510<br>LC: 0.63 (0.18–2.07),<br><i>p</i> = 445 | NR   |
| Wentler et al. (2016)   | 100                 | 70.5 (38–92)   | 9/32/54              | Primary—83%:<br>- TT—43%<br>- HT—19%<br>- Two-stage thyroid-ectomy—8%<br>Tumor reduc-tion—3% | R0—14%<br>R1—27%<br>R2—52%                                 | 83               | Median 57.6 (13.5–80) Gy                      | 56           | DOX—25<br>PTX—9<br>PTX + PEM—8<br>DOX + CDDP—8<br>CARB + PTX—14<br>TKI's—10<br>Other—10<br>(absolute numbers as in the study) | S + ChT + EBRT—49%<br>S + EBRT—19%<br>S only—11%<br>EBRT only—9%<br>EBRT + ChT—4%<br>S + ChT—4%<br>ChT only—0%<br>Best supportive care—4% | NS,<br><i>p</i> = .376   | NR   |
| Jacobsen et al. (2017)  | 31                  | 69 (26–87)   | 6.5/64.5/29          | Any S—100%<br>Thyroidec-tomy—69.2%   | R0—38.5%<br>R1—46.15%<br>R2—15.4%                          | 100              | Median 64 (41.6–64) Gy                        | 74.2         | DOX-based—74.2%   | RT Only—19.3%<br>CRT—38.7%<br>S + RT—6.5%<br>S + CRT—35.5%  | No S: 4.95 (2.01–12.2),<br><i>p</i> < .2   | No S: 4.78 (1.92–11.9), <i>p</i> < .2                                |

Table 1 (continued)

| Author                    | Number of patients | Median age (IQR, years)      | Stage IVA/IVB/IVC % | Surgery   | R status                      | RT % and regimen         | Total RT dose  | ChT %               | ChT agent  | Additional information  | Univariate for surgery (HR [95% CI]; <i>p</i> value)   | Multivariate for surgery (HR [95% CI]; <i>p</i> value) |
|---------------------------|--------------------|------------------------------|---------------------|---|-------------------------------|--------------------------|--|---------------------|--|---|--|--|
| Bhatia et al. (2009)      | 53                 | Median NR; Mean: 66.1 ± 12.0 | NR/NR/47.2          | Complete—35.8%<br>Subtotal—22.6%                          | NR                            | 100                      | 3DRT: 46.5 (4.0–70.0) Gy<br>IMRT: 60.0 (39.9–69.0) Gy          | 91 (81% concurrent) | CARB/PTX—18.8%<br>DOX/CDDP—16.7%<br>CDDP—14.6%<br>CARB—10.4%<br>CDDP/FLD/ARA-C—4.2%<br>DOX/CDDP/PTX—4.2%<br>Other combinations—12.5% | NR  | NS<br>0.57 (0.31–1.05), <i>p</i> = .07   | NR   |
| Kim et al. (2007)         | 121                | Median NR; Mean: 64 ± 11     | NR/NR/24            | Bilateral—59%<br>Unilateral—12%                           | NR                            | RT only—45.5<br>CRT—13.2 | NR   | 20.7%               | DOX + CDDP—88%<br>GEM—8%<br>DOX—4%   | RT only—10.7%<br>ChT only—1.6%<br>ChT + RT—4.1%<br>S only—20.7%<br>S + RT—34.7%<br>S + ChT—5.9%<br>S + ChT + RT—9.1%<br>BSC—13.2% | <i>p</i> < .001  | NS   |
| Brigardello et al. (2014) | 55                 | 73.15 (61.61–79.19)          | 0/43/6/56.4         | 74.5%: maximal debulking—70.1%<br>Partial debulking—29.3% | NR                            | 54.5                     | 50–54 Gy in 1.8–2.0 Gy/fr                                      | 87.3                | DOX and CDDP-based—87.5%<br>PTX-based—12.5%  | Early S alone—12.2%<br>S + ChT—29.3%<br>S + ChT + RT—58.5%<br>NeoChT + RT + S—9.8%<br>NeoChT + RT—4.9%<br>NeoChT only—14.6%       | Partial S: 5.36 (2.34–12.30), <i>p</i> < .001  | Partial S: 5.33 (2.33–12.19), <i>p</i> < .001          |
| Pezzi et al. (2017)       | 1288               | Median NR; Mean—70.2         | NR/NR/47            | Any S—11.7%   | NR                            | 47.7                     | < 45 Gy—47.9%<br>45–59.9 Gy—21.8%<br>60–75 Gy—29.0%<br>NR—1.3% | 36.6                | NR   | NR  | <i>p</i> = .004  | 0.786 (0.643–0.962), <i>p</i> < .001                   |
| Liu et al. (2016)         | 50                 | ≤ 60—52%<br>> 60—48%         | 30/38/32            | 100%  | RO—34%<br>RI—42%<br>Other—24% | 32                       | 30–70 Gy—100%<br>> 40 Gy—93.8%                                 | 16                  | IFX, DOX, DTIC   | S only—4.2%<br>S + RT/ChT—34%<br>CRT—2%<br>ChT only—4%<br>Tracheostomy, biopsy, other—18%   | R0&R1 vs. No S in ATC: <i>p</i> < .001<br>IVA/B: S vs. non-S treatment in ATC: <i>p</i> = .521 | S in ATC IVA/B: Exp(B) = .331, <i>p</i> = .038         |
| Pierie et al. (2002)      | 67                 | 73 (40–92)                   | NR/NR/49            | Any S—65.7%<br>Complete—27.3%<br>Incomplete—72.7%         | NR                            | 83.5                     | 25–73 Gy;<br>≤ 45 Gy—51.8%<br>> 45 Gy—48.2%                    | 31.3                | DOX-based—NR   | NR  | No S: 28.9 (CI—NR), <i>p</i> = .0004<br>S: <i>p</i> < .0001                                    | Any S: 0.28 (CI—NR), <i>p</i> = .0004                  |

Table 1 (continued)

| Author                   | Number of patients | Median age (IQR, years)                  | Stage IVA/IVB/IVC % | Surgery  | R status               | RT % and regimen | Total RT dose                        | ChT % | ChT agent   | Additional information   | Univariate for surgery (HR [95% CI]; <i>p</i> value) | Multivariate for surgery (HR [95% CI]; <i>p</i> value)          |
|--------------------------|--------------------|--|---------------------|--|------------------------|------------------|--------------------------------------|-------|---|--|--|---|
| Aslan et al. (2014)      | 29                 | 64.5 (35–91)                             | 10.3/62.1/27.6      | Any S—55.2%; Total thyroidectomy—56.3%; Subtotal—25%; Biopsy—18.7%   | R0—25%; R1—25%; R2—50% | 65.5             | NR                                   | 44.8  | DOX—84.6%; DOX + CDDP—7.7% (1); DOX + SOR—7.7% (1)        | S + RT + ChT—31%; S + RT—17.2%; RT + ChT—13.8%; RT only—3.5% (1); S only—10.3%; None—24.1%   | R0; <i>p</i> = .05                                   | NR  |
| Kihara et al. (2004)     | 19                 | Median NR; Mean: 73.4 (45–87)            | NR/NR/47            | Any S—53%; Complete—40%  | R0—40%; R1/2—NR        | 68.4             | ≥ 45 Gy—69.2%; < 45 Gy—30.8%         | 63.2  | DOX (alone)/combination—75%; PTX—8.3% (1); Other—NR       | S + RT + ChT—26.3%; S + RT/ChT—10.5%; S alone—15.8%; Other—NR  | Complete/no S; <i>p</i> = .002                       | Incomplete resection: RR 1.475 (1.168–16.340), <i>p</i> = .0284 |
| Zivaljevic et al. (2014) | 150                | Median NR; (35–89) ≤ 60—26.7% > 60—73.3% | NR/NR/32.9          | Any S—56.7%; Lobectomy—4.7%; Thyroidectomy and dissection—47.1%; Tumor reduction—31.8%; Biopsy—14.1%; Tracheotomy—2.4% | NR                     | Pre/Post S: 46   | NR                                   | 1.3%  | NR  | NR   | <i>p</i> < .1  | OR = 0.43 (0.29–0.63), <i>p</i> < .001                          |
| Huang et al. (2019)      | 735                | 70 (60–80)                               | NR/NR/44.1          | Any S—44.2%; TT—60%; Less than TT—40%  | NR                     | 54.7             | NR                                   | 42.4  | NR  | No treatment—21.9%; ChT only—3.7%; S only—16.3%; S + ChT—2.6%; RT only—11%; RT + ChT—17.2%; S + RT—7.7%; S + RT + ChT—19.5%; Total: 725 patients (Table 2) | <i>p</i> < .001                                      | TT vs. Less than TT: 0.655 (0.521–0.838), <i>p</i> = .001       |
| Yau et al. (2008)        | 50                 | 72 (36–104)                              | NR/NR/18            | Any S—68%; TT—82.4%; Subtotal—8.8%; Lobectomy—5.9%; Radiofrequency ablation—2.9% (1)                                   | NR                     | 46               | NR                                   | 36    | NR  | NR   | <i>p</i> < .01                                       | NS  |
| Sun et al. (2015)        | 42                 | 60 (42–80)                               | 7.1/69.1/23.8       | Any S—78.6%; Thyroidectomy alone—60.1%; Thyroidectomy + neck dissection—38.9%  | NR                     | 100              | 24–70 Gy < 40 Gy—47.6% ≥ 40 Gy—52.4% | 28.6  | DOX + CDDP—25%; PTX + CDDP—33.3%; BLEO, 5-FU + CDDP—41.7% | ChT alone—4.8%; S alone—11.9%; RT alone—28.6%; S + RT—26.2%; S + RT + ChT—14.3%; S + ChT—9.5%; No treatment—4.8%   | 3-year OS for S type; <i>p</i> = .113                | NR  |



Table 1 (continued)

| Author              | Number of patients | Median age (IQR, years) | Stage IVA/IVB/IVC %       | Surgery   | R status                          | RT % and regimen | Total RT dose              | ChT % | ChT agent  | Additional information   | Univariate for surgery (HR [95% CI]; <i>p</i> value)          | Multivariate for surgery (HR [95% CI]; <i>p</i> value)        |
|---------------------|--------------------|-------------------------|---------------------------|---|-----------------------------------|------------------|----------------------------|-------|--|--|---|---|
| Lee et al. (2016b)  | 98                 | Median NR; 63.5–13.4    | NR/NR/20.4                | NOS—58.2%   | NR                                | 17.3             | NR                         | 7.1   | NR   | NR   | Resectability: Adjusted OR: 1.39 (1.21–1.74), <i>p</i> = .004 | Resectability: Adjusted OR: 1.39 (1.21–1.74), <i>p</i> = .004 |
| Haigh et al. (2001) | 33                 | 69 (47–80)              | NR/NR/64                  | Any S—79%; TT—54%; Near-total thyroidectomy—19%; Total thyroid lobectomy—12%; Minor excision/sub-musculotomy—8%; Node dissection alone—8%; Concomitant neck dissection—31%; Concomitant tracheostomy—8% | NR                                | NR               | 45–75 Gy                   | NR    | DOX, PTX, CDDP, CARB, ETOP, CYC, MEL, BLEO   | NR   | Curative S vs. Palliative S; <i>p</i> < .001                  | Curative S: RR 0.1 (0.02–0.63), <i>p</i> = .01                |
| Baek et al. (2017)  | 329                | Median NR; 68.1 (22–89) | 17.3/49.5/31.3            | Any S—57.1%; Curative S—50%; Curative S + CRT/RT—44.7%; Curative S + ChT—5.3%   | R0—11.7%; R1—71.3%; NR—17%        | 40.7             | <40 Gy—24.6%; ≥40 Gy—75.4% | NR    | CDDP, CARB, DTX, PTX, DOX  | No definite treatment—24.6% RT/concurrent CRT—15.2% Curative resection—28.6% Curative resection and adjuvant RT/concurrent CRT—25.5% Curative resection and adjuvant chemotherapy—3% Chemotherapy—3% | Treatment method including S; <i>p</i> < .01                  | Curative S only: 0.505 (0.339–0.752), <i>p</i> < .01          |
| Dumke et al. (2014) | 40                 | 67 (38–84)              | NR/NR/22.5 (at diagnosis) | Any S—80%; TT—68%; Subtotal—12%   | R0—10%; R1—7.5%; R2—50%; Rx—32.5% | 97.5             | Median 50 (6–60.4) Gy      | 15    | Mono DOX—2patients<br>PTX mono/ combination IFX/CARB/<br>ETOP, EPR mono+unknown protocol—a 1 patient | NR   | R-status: <i>p</i> = .41                                      | NR  |

Table 1 (continued)

| Author                   | Number of patients | Median age (IQR, years)           | Stage IVA/IVB/IVC %         | Surgery   | R status  | RT % and regimen   | Total RT dose                  | ChT %             | ChT agent   | Additional information   | Univariate for surgery (HR [95% CI]; <i>p</i> value) | Multivariate for surgery (HR [95% CI]; <i>p</i> value)     |
|--------------------------|--------------------|-----------------------------------|-----------------------------|---|---|--------------------|--------------------------------|-------------------|---|--|--|--|
| Mohabati et al. (2014)   | 83                 | 60 (28–89)                        | NR/NR/24                    | NOS—83%   | R0/1—40.6%<br>R2/x—59.4%  | assured 64         | 6–70 Gy                        | assured 57        | DOX ± Pt-based<br>ChT   | S ± RT ± ChT—71%<br>S alone—12%<br>ChT/RT—5%<br>RT alone—4%<br>S + RT—14%<br>S + PORT + ChT—46%<br>S + ChT—11% | <i>p</i> < .001                                      | 2996 (1.2–7.1),<br><i>p</i> = .013                         |
| Kebebew et al. (2005)    | 516                | Median NR;<br>Mean<br>71.3 ± 12.7 | NR/NR/43                    | Any S—49%;<br>Total—4.7%;<br>Subtotal or near<br>TT—14.6%<br>Lobectomy and/<br>or isthmusec-<br>tomy—9.1%<br>Removal < lobe—<br>3.2%<br>Thyroidec-<br>tomy, NOS—2 p<br>Surgery, NOS—<br>67.6% | NR  | 63.2               | NR                             | NR                | NR  | NR   | <i>p</i> < .0001                                     | NS<br>0.779 (0.312–1.946)                                  |
| Akashi et al. (2011)     | 100                | 68 (41–90)                        | 11/31/58                    | Any S—70%;<br>TT—50%<br>Subtotal—15.7%<br>Lobectomy—32.9%<br>Partial lobec-<br>tomy—1.4% (1)  | R0—34.3%<br>R1/2—65.7%  | 78                 | ≥ 40 Gy—74.4%<br>< 40 Gy—25.6% | 28                | PTX, CDDP, DOX,<br>EPOP-based   | S + CRT—15%<br>S + RT—60%<br>CRT—5%<br>RT alone—10%<br>ChT alone—10%   | <i>p</i> < .0001                                     | No S;<br>RR 3.99 (2.37–<br>6.66), <i>p</i> < .0001         |
| Derbel et al. (2011)     | 44                 | 65 (44–80)                        | NR/NR/45.4                  | Any S—100%;<br>TT—63.6%<br>Near total thyroid-<br>ectomy—15.9%<br>Biopsy/Debulk-<br>ing—20.4%   | NR  | 88.5               | 46–50 Gy                       | 86.4              | DOX + CDDP—<br>86.8%<br>DOX + CARB—<br>7.9%<br>DOX—2.6% (1)<br>PTX—2.6% (1) | S alone—4.5%<br>S + ChT—7%<br>S + RT + ChT—79.5%<br>RT alone—4.5%<br>S + RT—4.5%                               | Near-total/<br>total S;<br><i>p</i> < .05            | NR   |
| Crevoisier et al. (2004) | 30                 | Median NR;<br>Mean 59<br>(40–79)  | NR/NR/20                    | Any S—80%   | MCR—58.3%<br>IR—41.7%   | 100                | 40–55 Gy                       | 100               | DOX (60 mg/<br>m2) + CDDP<br>(120 mg/m2)—<br>100%                           | NR   | <i>p</i> = .01                                       | MCR: 2.7 (1.1–6.8),<br><i>p</i> = .04                      |
| Haymart et al. (2013)    | 2742               | Mean:<br>70 ± 12.29               | 37.6/37.3/25.1<br>(n = 649) | Any S—51.4%<br>(n = 2086);<br>Total thyroidec-<br>tomy—64%<br>Lobectomy—26%   | NR  | 60.4<br>(n = 2086) | NR                             | 40%<br>(n = 2086) | NR  | NR   | <i>p</i> < .001                                      | No S; UHR 1.85<br>(1.67, 2.05)<br>AHR 1.79 (1.61,<br>1.99) |
| McIver et al. (2001)     | 134                | Mean: 60                          | NR/NR/46                    | Any S—72%;<br>TT—13%<br>Near-total—29%<br>Lobectomy—46%<br>Complex—12%  | Complete—30%<br>Minimal resi-<br>due—26%<br>Gross incom-<br>plete—44% | 50                 | NR                             | 12                | NR  | S + RT—39.6%<br>S + ChT—9.4%   | NS<br><i>p</i> > .4                                  | NR   |

**Table 1** (continued)

| Author                 | Num-ber of patients             | Median age (IQR, years) | Stage IVA/IVB/IVC % | Surgery   | R status                           | RT % and regimen | Total RT dose             | ChT % | ChT agent   | Additional information  | Univariate for surgery (HR [95% CI]; <i>p</i> value)      | Multivariate for surgery (HR [95% CI]; <i>p</i> value) |
|------------------------|---------------------------------|-------------------------|---------------------|---|------------------------------------|------------------|---------------------------|-------|---|---|---|--|
| Sugitani et al. (2012) | 677 (547 with com-mon type ATC) | Mean: 68.7 ± 11.0       | 13/44/42            | Any S—55%; Palliative—51.8% Radical—48.2%   | NR                                 | 58.3             | <40 Gy—75.2% ≥40 Gy—24.6% | 46.6  | NR  | NR  | <i>p</i> = .0002  | Radical S: 0.43 (0.27–0.68), <i>p</i> = 0.0003         |
| Brigard et al. (2007)  | 27                              | 46–92                   | NR/NR/55.6          | Any S—74.1%; Maximal debulking—70% Palliative—30%   | NR                                 | 55.6             | 36–40 Gy                  | 55.6  | DOX, CDDP, PTX  | NR  | Maximal debulking: 0.18 (0.06–0.54)                       | Maximal debulking: 0.23 (0.07–0.79)                    |
| Ridder et al. (2020)   | 812                             | 73 (29–99)              | NR/NR/42.1          | NOS—31%   | NR                                 | 52               | NR                        | 11    | NR  | Only S/RT/ChT—40% S+RT/CRT/S+ChT/RT+ChT—20% S+CRT/S+RT+ChT—4% | 0.4 (0.3–0.5), <i>p</i> < .001                            | 0.5 (0.4–0.6), <i>p</i> < .001                         |
| Roche et al. (2010)    | 26                              | Mean 72.1 (52.3–90.8)   | NR/NR/15.4          | Any S—84.6%; TT/subtotal—72.7% Lobo-isthmic-thyroidectomies/hemithyroidectomies—18.2% Tumorec-tomy—9.1% | R0—46.2% R1—53.9% ( <i>n</i> = 26) | 53.8             | NR                        | 19.2  | NR  | Adjuvant RT—50% S+RT+ChT—19.2%                                | R0/R1 <i>p</i> = .014                                     | NS   |
| Gui et al. (2020)      | 1014                            | ≥65—64.5% <65—35.5%     | NR/NR/56.1          | Any S—45.5%; TT—61.9% Lobectomy—38.1%   | NR                                 | 56.3             | NR                        | NR    | NR  | NR  | Total: 0.705 (0.570–0.873), <i>p</i> = .001               | Total: 0.782 (0.630–0.971), <i>p</i> = .026            |
| Ito et al. (2012)      | 40                              | 74 (52–85)              | 0/62.5/37.5         | Any S—50% TT—40% Subtotal/near-total—20% Palliative/tracheos-tomy—40%                                   | R0—0% R1—10% R2—90%                | 70               | 45–60 Gy                  | 52.5  | Combinations of CDDP, ADM, EPR, ETOP, DTX, 5-FU and PTX | NR  | S+CRT beneficial for median survival time: <i>p</i> < .01 | NR   |

S surgery, ChT chemotherapy, RT radiation therapy, CRT concurrent chemoradiotherapy, TT total thyroidectomy, HT hemithyroidectomy, NOS not otherwise specified, NR not reported, R resec-tion status, IQR interquartile range, HR hazard ratio, RR relative risk, OR Odds ratio, CI confidence interval, EBRT external beam radiation therapy, NeoAd neoadjuvant, Adj adjuvant, fr. fraction, Gy Gray, DOX doxorubicine, PTX paclitaxel, CARB carboplatin, NVP nedaplatin, 5-FU 5-fluorouracil, ETOP etoposide, PEM pemtrexed, CDDP cisplatin, TKI tyrosine kinase inhibitor, FLD flutardabine, ARA-C cytarabine, CYC cyclophosphamide, MEL melphalan, BLEO bleomycin, SOR sorafenib, DTIC dacarbazine, IFX ifosfamide, GEM gemcitabine

**Table 2** Patients characteristics from the pooled analysis: whole cohort and only operated patients

| Characteristic                       | Number and %                 | Number and %                 |
|--------------------------------------|------------------------------|------------------------------|
| Age in years (median, IQR)           | 71 (39–97)<br><i>n</i> = 123 | 68 (39–83)<br><i>n</i> = 39  |
| Age group                            |                              |                              |
| < 50 years                           | 5 (4.1%)                     | 3 (7.7%)                     |
| 50–59 years                          | 19 (15.4%)                   | 6 (15.4%)                    |
| 60–69 years                          | 28 (22.8%)                   | 11 (28.2%)                   |
| 70–79 years                          | 50 (40.7%)                   | 18 (46.2%)                   |
| ≥ 80 years                           | 21 (17.1%)                   | 1 (2.6%)                     |
| Elderly patients                     |                              |                              |
| ≥ 65 years                           | 40 (67.5%)                   | 24 (61.5%)                   |
| < 65 years                           | 83 (32.5%)                   | 15 (38.5%)                   |
| Sex                                  |                              |                              |
| Female                               | 71 (57.7%)                   | 22 (56.4%)                   |
| Male                                 | 44 (35.8%)                   | 15 (38.5%)                   |
| Not reported                         | 8 (6.5%)<br><i>n</i> = 123   | 2 (5.1%)<br><i>n</i> = 39    |
| Stage                                |                              |                              |
| IVC                                  | 100%                         | 100%                         |
| ChT record                           | 76 (61.8%)                   | 33 (84.6%)                   |
| RT/ChT sequence                      |                              |                              |
| ChT concurrent to RT                 | 49 (39.8%)                   | 23 (39.8%)                   |
| ChT not concurrent to RT             | 11 (8.9%)                    | 6 (8.9%)                     |
| ChT without RT ± surgery             | 12 (9.8%)                    | 2 (9.8%)                     |
| RT without ChT ± surgery             | 29 (23.6%)                   | 4 (23.6%)                    |
| No ChT and no RT ± surgery           | 18 (14.6%)                   | 2 (14.6%)                    |
| Sequence unknown                     | 4 (3.3%)                     | 2 (3.3%)                     |
| RT record                            | 97 (76.4%)                   | 35 (89.7%)                   |
| Sufficient RT ≥ 30 Gy                | 80 (*82.5%)                  | 33 (*94.3%)                  |
| RT dose unknown                      | 2 (*2.1%),<br><i>n</i> = 97  | 1 (*2.85%),<br><i>n</i> = 35 |
| Surgery                              | 39 (31.7%)                   | 39 (100%)                    |
| Surgery type                         | <i>n</i> = 39                | –                            |
| Total thyroidectomy                  | 11 (28.2%)                   |                              |
| Subtotal OR near-total thyroidectomy | 4 (10.3%)                    |                              |
| Lobectomy/hemi-thyroidectomy         | 2 (5.1%)                     |                              |
| Debulking                            | 5 (12.8%)                    |                              |
| N/A                                  | 17 (43.6%)                   |                              |
| Resection margins                    | <i>n</i> = 39                | –                            |
| R0                                   | 2 (5.1%)                     |                              |
| R1                                   | 17 (43.6%)                   |                              |
| R2                                   | 16 (41.0%)                   |                              |
| N/A                                  | 4 (10.3)                     |                              |
| Margins < R2                         | <i>n</i> = 39                | –                            |
| Yes                                  | 16 (41.0%)                   |                              |
| No                                   | 19 (48.7%)                   |                              |
| N/A                                  | 4 (10.3%)                    |                              |
| Multimodal treatment                 | 21 (17.1%)                   | 21 (53.8%)                   |
| Total number of patients             | 123                          | 39                           |

(Table 2). Treatment records were available for RT, ChT and surgery in 61.8, 76.4 and 31.7% of the cases, respectively. Treatment sequences with RT/ChT were reported for 96.7% of the population. In 39.8% of the cases, concurrent chemoradiotherapy (CRT) was administered. Sufficient RT was used in 33 (26.8%) cases. Surgical intervention included debulking, sub- or near total thyroidectomy, total thyroidectomy or was not specified. Information about resection status was available for 35 (28.4%) of these patients and multimodal treatment was applied in 21 (17.1%) of the cases. OS rate was 27.1% and 7.9% at 6 and 12 months, respectively. In the univariate analysis surgery ( $p < 0.001$ ), administration of sufficient RT  $\geq 30$  Gy ( $p < 0.001$ ), ChT ( $p < 0.001$ ) and multimodal treatment ( $p = 0.014$ ) resulted in improved OS (Fig. 2A–D). A specific age group or the age < 65 years did not correlate with an improved OS, but there was a tendency for patients < 65 years towards a better survival rate at 6 months: 19.3 vs. 27.1%. In the multivariate analysis, only surgery (1.997 [1.162–3.433],  $p = 0.012$ ) and sufficient RT  $\geq 30$  Gy (1.877 [1.232–2.843],  $p = 0.012$ ) were identified as independent predictors for OS (Table 3).

To identify the most favorable surgical approach, we selected or identified patients with ATC stage IVC who underwent different surgical procedures, and analyzed possible predictors for an improved OS. A sub-cohort of 39 patients was investigated (Table 2). Median age was 68 (39–83) years, 84.6% of the patients received RT  $\geq 30$  Gy, 39.8%—with concurrent ChT, and multimodal therapy was administered to 53.8%. Surgical types analyzed included total thyroidectomy in 28.2% of the cases, sub- or near total thyroidectomy, lobectomy/hemi-thyroidectomy and debulking in 10.3, 5.1 and 12.8% of the cases, respectively. Surgical data of 43.6% of the operated patients was, unfortunately, not available. Resection margins other than R2 were reported for 41% of the patients. In the univariate analysis only, total thyroidectomy showed a tendency towards an improved OS, when compared to other surgery types with survival rates at 9 months of 45 and 30%, respectively ( $p = 0.058$ ) (Fig. 3A, B). Margin status, therapy regimen, age or multimodality were not significantly correlating with OS in the operated sub-cohort.

Given the insufficiency of the individual surgical data gathered from the pooled analysis we decided to use SEER data base to identify best surgical approach. Therefore, we have analyzed a cohort of 617 ATC stage IVC patients (Table 4). Median age was 69 (33–97) years, ChT and RT were employed in 61.4 and 52% of patients, respectively. A total of 187 (30.3%) patients underwent surgery, i.e., either lobectomy and/or isthmectomy, removal of less than one lobe, sub- or near-total thyroidectomy and total thyroidectomy in 22.4, 18.2, 11.8 and 47.6% of cases, respectively. Multimodal treatment was administered to a total of 11.7% of patients and > 75% of all patients had an ATC-related

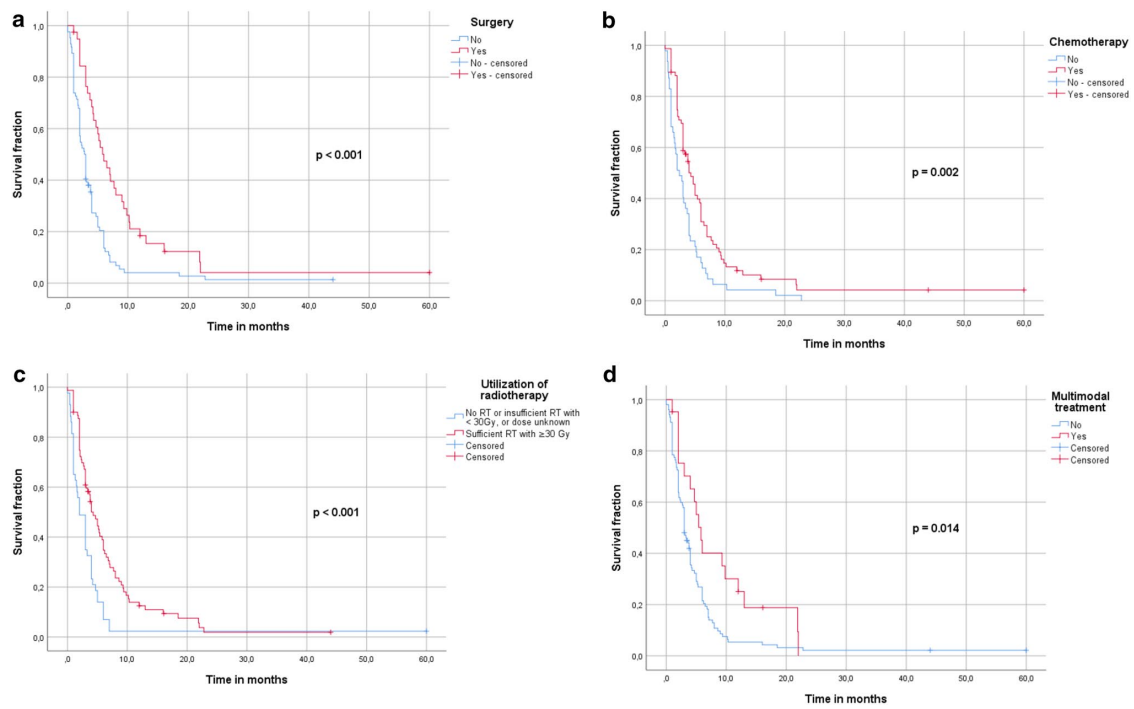


Fig. 2 A–D. Univariate analysis of prognostic factors for patients from the pooled cohort

Table 3 Uni- and multivariate analyses of the pooled cohort

| Cohort   | Univariate analysis        | Multivariate analysis (HR, 95%CI, <i>p</i> value) |
|--|----------------------------|---|
| <b>Total</b>   | –                          | –   |
| Surgery  | <b><i>p</i> &lt; 0.001</b> | <b>1.997 [1.162–3.433], <i>p</i> = 0.012</b>      |
| ChT record   | <b><i>p</i> = 0.002</b>    | 1.479 [0.982–2.228], <i>p</i> = 0.061             |
| Sufficient RT ≥ 30 Gy vs. No RT/<br>RT < 30 Gy/dose NA | <b><i>p</i> &lt; 0.001</b> | <b>1.877 [1.232–2.843], <i>p</i> = 0.012</b>      |
| Multimodal treatment with RT ≥ 30 Gy                   | <b><i>p</i> = 0.014</b>    | 0.772 [0.384–1.555], <i>p</i> = 0.469             |
| Age cohorts  | <i>p</i> = 0.844           | –   |
| Elderly (≥ 65 years)                                   | <i>p</i> = 0.65            | –   |

Statistically significant values (*p* < 0.05) are in bold

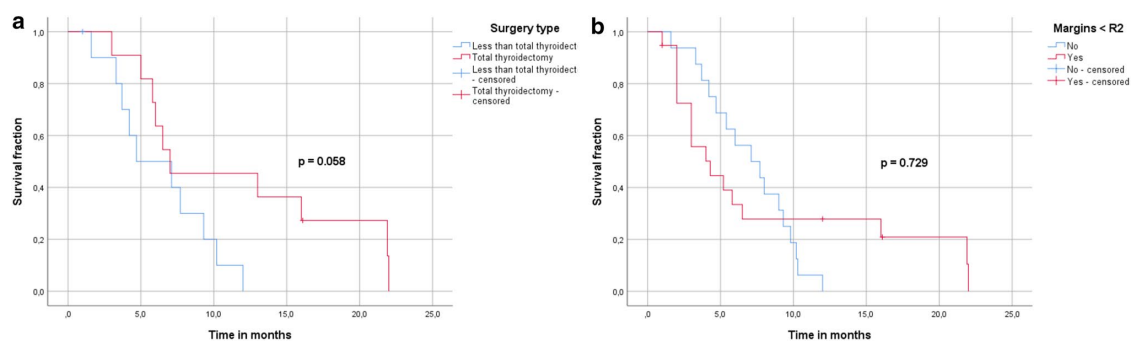


Fig. 3 A–B. Univariate analysis of prognostic factors within the operated cohort from the pooled analysis

**Table 4** Patient characteristics from SEER database (any treatment left, without best supportive care mid, operated right)

| Characteristic                       | Number and %   | Number and %   | Number and %   |
|--------------------------------------|----------------|----------------|----------------|
| Age in years (median, IQR)           | 69 (33–97)     | 67 (34–93)     | 66 (34–93)     |
| Age group                            |                |                |                |
| <50 years                            | 44 (7.1%)      | 40 (9.0%)      | 22 (11.8%)     |
| 50–59 years                          | 95 (15.4%)     | 78 (17.5%)     | 34 (18.2%)     |
| 60–69 years                          | 176 (28.5%)    | 134 (30.1%)    | 61 (32.6%)     |
| 70–79 years                          | 169 (27.4%)    | 117 (26.3%)    | 47 (25.1%)     |
| ≥80 years                            | 133 (21.6%)    | 76 (17.1%)     | 23 (12.3%)     |
| Elderly patients                     |                |                |                |
| ≥65 years                            | 393 (67.3%)    | 188 (42.2%)    | 87 (46.5%)     |
| <65 years                            | 224 (36.3%)    | 257 (57.8%)    | 100 (53.5%)    |
| Sex                                  |                |                |                |
| Female                               | 346 (56.1%)    | 225 (50.6%)    | 87 (46.5%)     |
| Male                                 | 271 (43.9%)    | 220 (49.4%)    | 100 (53.5%)    |
| Years of diagnosis                   |                |                |                |
| 2000–2004                            | 129 (20.9%)    | 97 (21.8%)     | 34 (18.2%)     |
| 2005–2010                            | 206 (33.4%)    | 148 (33.3%)    | 64 (34.2%)     |
| 2011–2016                            | 282 (45.7%)    | 200 (44.9%)    | 89 (47.6%)     |
| ChT                                  | 238 (38.5%)    | 238 (53.5%)    | 88 (47.1%)     |
| RT record                            | 321 (52.0%)    | 321 (72.3%)    | 103 (55.1%)    |
| RT sequence                          | <i>n</i> = 617 | <i>n</i> = 445 | <i>n</i> = 187 |
| No RT AND/OR cancer-directed surgery | 486 (78.8%)    | 314 (70.6%)    | 84 (44.9%)     |
| Adjuvant                             | 123 (19.9%)    | 123 (27.6%)    | 98 (53.4%)     |
| Neoadjuvant                          | 3 (0.5%)       | 3 (0.7%)       | 2 (1.1%)       |
| Before AND after surgery             | 5 (0.8%)       | 5 (1.1%)       | 3 (1.6%)       |
| Surgery                              | 187 (30.3%)    | 187 (42%)      | 187 (100%)     |
| Surgery type                         | <i>n</i> = 187 | –              | –              |
| Lobectomy AND/OR isthmectomy         | 42 (22.4%)     |                |                |
| Removal of less than one lobe, NOS   | 34 (18.2%)     |                |                |
| Subtotal OR near-total thyroidectomy | 22 (11.8%)     |                |                |
| Total thyroidectomy                  | 89 (47.6%)     |                |                |
| Multimodal treatment                 | 72 (11.7%)     | 72 (16.2%)     | 72 (38.5%)     |
| Cause of death                       |                |                |                |
| N/A not first tumor                  | 94 (15.2%)     | 59 (13.3%)     | 31 (16.6%)     |
| Dead, attributable to ATC            | 472 (76.5%)    | 346 (78.8%)    | 133 (71.1%)    |
| Alive OR dead of other cause         | 44 (7.1%)      | 35 (7.9%)      | 21 (11.2%)     |
| Dead, but COD missing/unknown        | 7 (1.1%)       | 5 (1.1%)       | 2 (1.1%)       |
| Total number of patients             | 617            | 445            | 187            |

death. On the univariate analysis surgery ( $p < 0.001$ ), administration of ChT ( $p < 0.001$ ) or RT ( $p < 0.001$ ), multimodal treatment ( $p < 0.001$ ) and age group ( $p < 0.001$ ) correlated with an improved OS and DSS. Age  $\geq 65$  years (OS:  $p < 0.001$ , DSS:  $p = 0.008$ ) correlated with a worsened OS and DSS (Suppl. Figures 1A–F, 2A–F). On the multivariate analysis surgery (OS–HR 1.934, 95% CI 1.538–2.427,  $p < 0.001$ ; DSS–HR 1.803, 95% CI 1.275–2.550,  $p < 0.001$ ), RT (OS–HR 1.873, 95% CI 1.558–2.247,  $p < 0.001$ ; DSS–HR 1.611, 95% CI 1.191–2.178,  $p = 0.002$ ), ChT (HR 1.727, 95% CI 1.412–2.114,  $p < 0.001$ ; DSS–HR 1.572, 95% CI 1.197–2.064,  $p = 0.001$ ) were independent predictors for

an improved OS and DSS (Table 5). Age  $\geq 65$  years (HR 0.795, 95% CI 0.665–0.950,  $p = 0.012$ ) was also identified as an independent predictor for a higher overall mortality. Administration of best supportive care only correlated inversely with DSS on the univariate analysis ( $p < 0.001$ ), but it was not an independent predictor for a worse DSS.

Furthermore, we eliminated 172 patients from our analysis, who did not receive any cancer-directed treatment, to verify predictors for an improved OS/DSS. On the univariate analysis surgery ( $p < 0.001$ ), RT ( $p < 0.001$ ), ChT ( $p < 0.001$ ), multimodal treatment ( $p < 0.001$ ), age  $\geq 65$  years ( $p < 0.001$ ) and combinations of therapies (not trimodal) vs. RT alone

**Table 5** Multivariate analysis of prognostic factors for OS and DSS of the SEER cohorts

| Factor               | Whole cohort |             |         |       |             |         | Without BSC |             |         |       |             |         |
|----------------------|--------------|-------------|---------|-------|-------------|---------|-------------|-------------|---------|-------|-------------|---------|
|                      | OS           |             |         | DSS   |             |         | OS          |             |         | DSS   |             |         |
|                      | HR           | 95%CI       | p value | HR    | 95%CI       | p value | HR          | 95%CI       | p value | HR    | 95%CI       | p value |
| Surgery              | 1.953        | 1.557–2.450 | < 0.001 | 1.803 | 1.275–2.550 | < 0.001 | 1.769       | 1.289–2.427 | < 0.001 | 1.913 | 1.286–2.845 | 0.001*  |
| RT                   | 1.880        | 1.566–2.258 | < 0.001 | 1.611 | 1.191–2.178 | 0.002*  | 1.729       | 1.311–2.280 | < 0.001 | 1.490 | 1.058–2.099 | 0.022*  |
| ChT                  | 1.723        | 1.409–2.108 | < 0.001 | 1.572 | 1.197–2.064 | 0.001*  | 1.638       | 1.273–2.106 | < 0.001 | 1.579 | 1.203–2.072 | < 0.001 |
| Multimodal treatment | 0.692        | 0.478–1.002 | 0.051   | 0.900 | 0.542–1.494 | 0.683   | 0.790       | 0.499–1.249 | 0.313   | 0.844 | 0.504–1.413 | 0.518   |
| Age ≥ 65 years       | 0.795        | 0.665–0.950 | 0.012   | 0.970 | 0.799–1.178 | 0.760   | 0.789       | 0.644–0.967 | 0.022   | NA    | NA          | NA      |

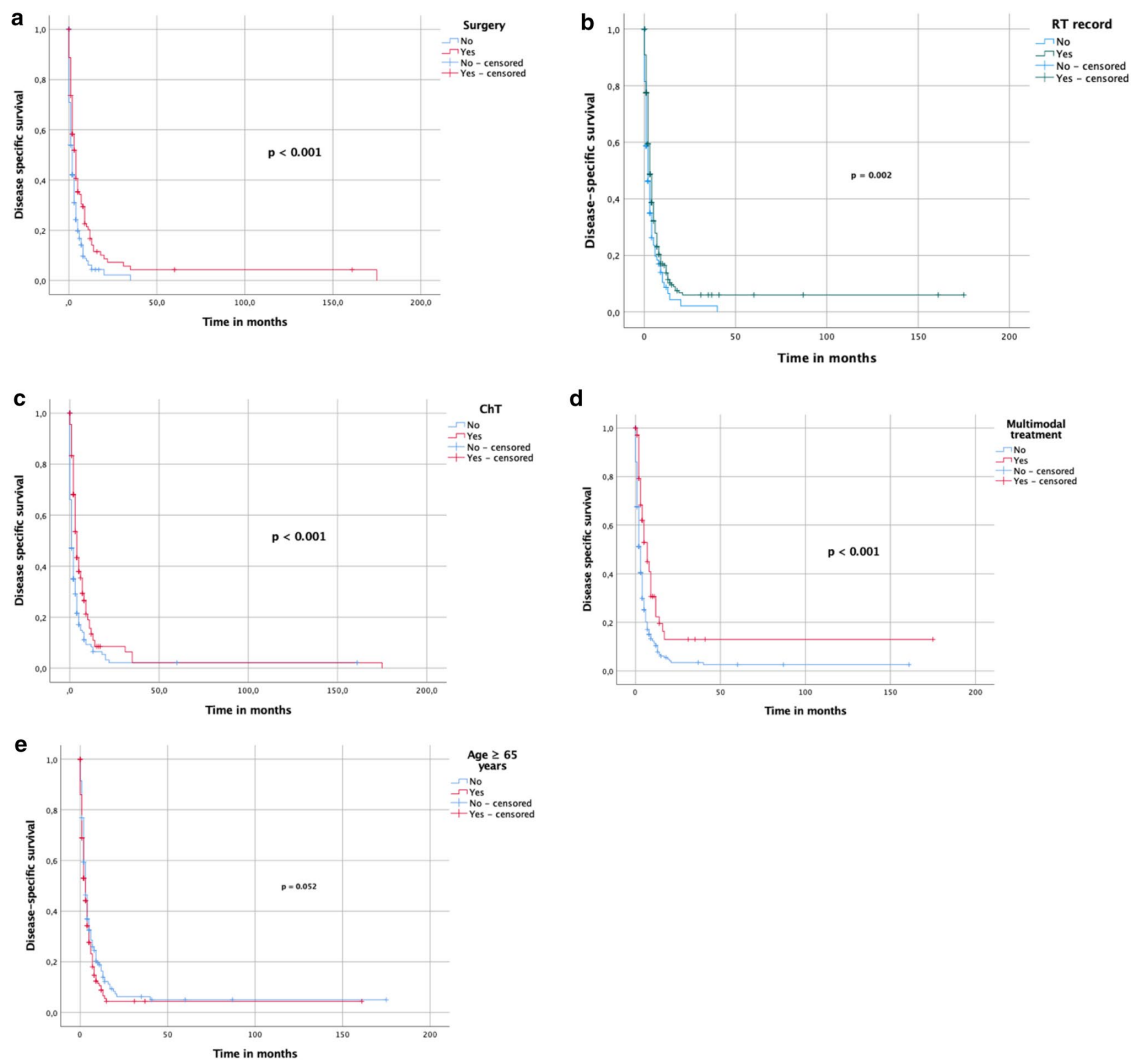
Statistically significant values ( $p < 0.05$ ) are in bold

( $p < 0.001$ ) or surgery alone ( $p < 0.001$ ), correlated with an improved OS (Suppl. Figure 3A–E). Multivariately, surgery (HR 1.769, 95% CI 1.289–2.427,  $p < 0.001$ ) administration of RT (HR 1.729, 95% CI 1.311–2.280,  $p < 0.001$ ), ChT (HR 1.638, 95% CI 1.273–2.106,  $p < 0.001$ ) and age < 65 years (HR 0.789, 95% CI 0.644–0.967,  $p = 0.022$ ) were independent predictors for an improved OS (Table 5). Univariate analyses for DSS showed similar correlations: surgery ( $p < 0.001$ ), ChT ( $p < 0.001$ ), RT ( $p = 0.002$ ), multimodal treatment ( $p < 0.001$ ), ChT without RT or without surgery vs. surgery and RT ± ChT ( $p < 0.001$ ), combined therapies (not only trimodal) vs. RT only ( $p < 0.001$ ) or surgery only ( $p = 0.008$ ) (Fig. 4A–E). On the multivariate analysis surgery (HR 1.913, 95% CI 1.286–2.845,  $p = 0.001$ ) administration of RT (HR 1.490, 95% CI 1.058–2.099,  $p = 0.022$ ) and ChT (HR 1.579, 95% CI 1.203–2.072,  $p < 0.001$ ) were independent predictors for an improved DSS (Table 5).

To identify specific surgical interventions, that correlate with best OS/DSS, we subsequently analyzed a separate cohort of patients, who all underwent surgery and/or any other cancer-directed treatment. On the univariate analysis, total thyroidectomy ( $p = 0.031$ ), administration of ChT ( $p = 0.007$ ), RT ( $p < 0.001$ ), combination of surgery and RT ± ChT ( $p < 0.001$ ) and multimodal treatment ( $p < 0.001$ ) correlated with an improved DSS (Fig. 5A–I). Debulking surgery inversely correlated with the DSS ( $p < 0.001$ ) (Fig. 5D). On the multivariate analysis, debulking surgery was an independent predictor for a worse outcome (HR 0.535, 95% CI 0.332–0.862,  $p = 0.010$ ), whereas RT administration correlated with a longer DSS (HR 2.316, 95% CI 1.362–3.939,  $p = 0.002$ ) (Table 6). Total, sub-total and near-total thyroidectomy showed significantly longer DSS than other thyroid surgeries ( $p = 0.043$  and  $p = 0.031$ ) (Fig. 5A, B). On the other hand, if debulking patients were eliminated from the analysis, there was no significant difference in the DSS, when comparing total and less than total thyroidectomy (OS- $p = 0.115$ ; DSS- $p = 0.463$ , Fig. 5C, Suppl. Figure 4C). Similarly, total thyroidectomy ( $p = 0.005$ ), administration of ChT ( $p < 0.001$ ), RT ( $p < 0.001$ ), as well as multimodality ( $p < 0.001$ ) and age < 65 years ( $p = 0.002$ ) correlated with a longer OS (Suppl. Figure 4A–I). However, on the multivariate analysis only administration of RT (HR 2.349, 95% CI 1.469–3.757,  $p < 0.001$ ) and debulking (HR 1.564, 95% CI 1.024–2.389,  $p = 0.038$ ) were independent predictors for OS (Table 6).

### Discussion

In the current study, we have evaluated the impact of different thyroid surgical strategies on OS and DSS in 3 different cohorts of patients with ATC stage IVC and found it to be associated with a significantly improved outcome.



**Fig. 4** A–E. DSS of patients from SEER database without best supportive care only regimen

Furthermore, we showed that administration of RT, ChT and multimodal therapy, as well as younger age correlate with an improved OS or DSS.

The role of surgical treatment in metastatic ATC remains controversial. There are several treatment approaches at this stage, which may include surgery to the primary tumor and neck dissection depending on the specific guideline (Bible et al. 2021; Haddad et al. 2018; Filetti et al. 2019). Oncological surgical approaches in ATC vary from total thyroidectomy, subtotal or near total thyroidectomy to debulking. On the basis of tumor size and/or infiltration of adjacent structures, as well as extent of metastatic disease, i.e.,

T-/N-/M-stage, different strategies have to be considered within a multidisciplinary board. Removal of one of the lobes is less invasive, but yet only plausible in patients with intrathyroidal or incidental ATC, whereas total thyroidectomy is recommended by most of the guidelines (Bible et al. 2021; Haddad et al. 2018; Smallridge et al. 2012). If feasible and the tumor classified as resectable, R0/R1 resection has to be goal (Haddad et al. 2018), which, however, is rarely achievable given the infiltrative growth pattern (Filetti et al. 2019). Based on our systematic review, several studies have reported a negative resection margin to be associated with a survival benefit (Aslan et al. 2014; Glaser et al. 2016; Roche



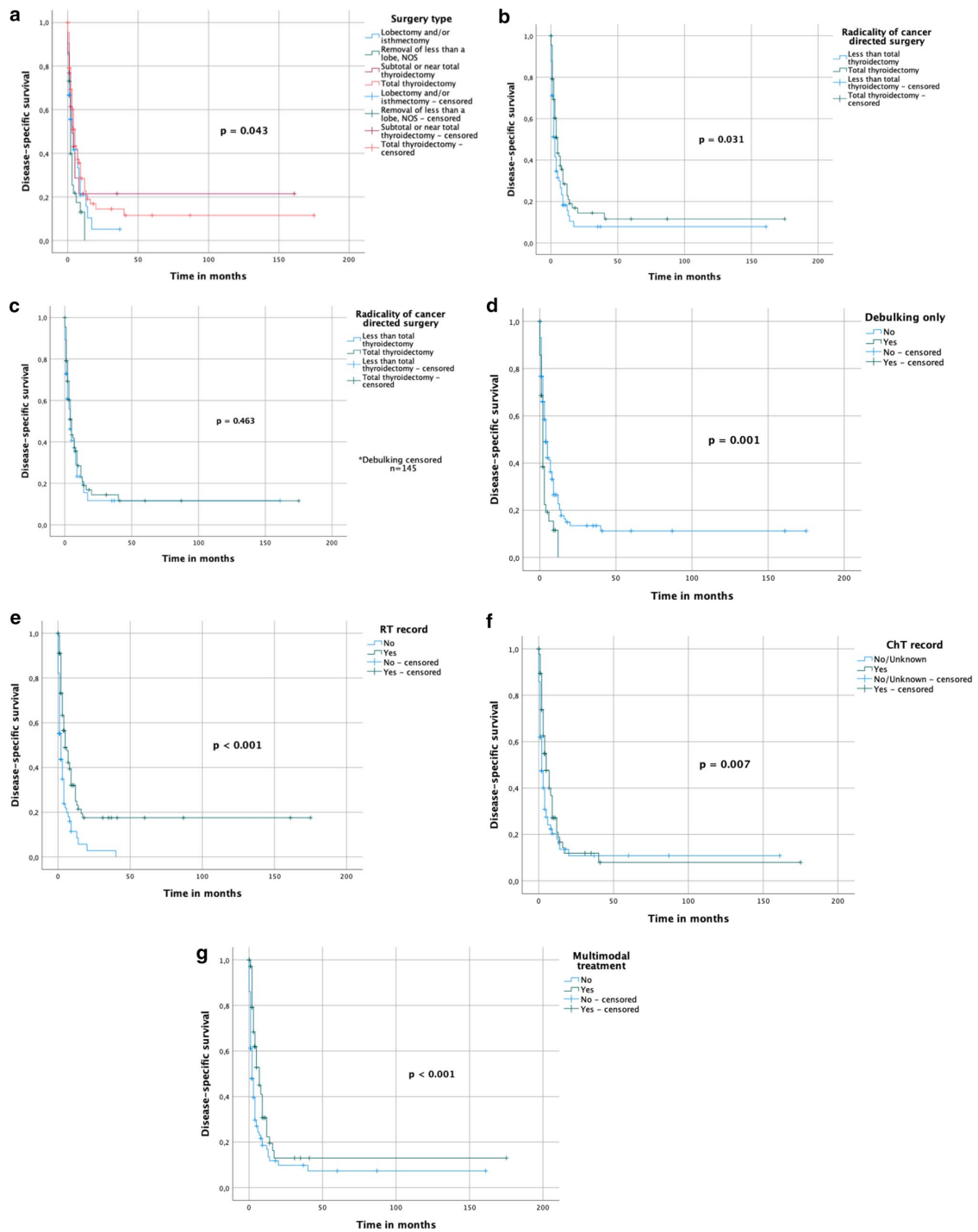


Fig. 5 A–G. DSS of operated patients from SEER database

**Table 6** Multivariate analysis of prognostic factors for OS and DSS within the operated SEER cohort

| Factor                                | OS    |             |                  | DSS   |             |                |
|---------------------------------------|-------|-------------|------------------|-------|-------------|----------------|
|                                       | HR    | 95%CI       | <i>p</i> value   | HR    | 95%CI       | <i>p</i> value |
| Radicality of cancer-directed surgery | 0.851 | 0.593–1.220 | 0.38             | 0.908 | 0.605–1.364 | 0.643          |
| Debulking only                        | 1.564 | 1.024–2.389 | <b>0.038</b>     | 0.535 | 0.332–0.862 | <b>0.010</b>   |
| ChT administrated                     | 1.433 | 0.818–2.511 | 0.209            | 1.150 | 0.651–2.033 | 0.630          |
| RT administrated                      | 2.349 | 1.469–3.757 | <b>&lt;0.001</b> | 2.316 | 1.362–3.939 | <b>0.002</b>   |
| Multimodal treatment                  | 0.711 | 0.345–1.469 | 0.357            | 0.937 | 0.430–2.039 | 0.869          |
| Age ≥ 65 years                        | 0.794 | 0.570–1.105 | 0.171            | NA    | NA          | NA             |

Statistically significant values ( $p < 0.05$ ) are in bold

et al. 2010; Liu et al. 2016; Passler et al. 1999). However, our pooled analysis on the resection status did not show any correlation with survival, which may be attributed to a small and heterogeneous sample size of only 35 patients with accurate data on the resection margins. Since ATC is characterized by an aggressive growth, it often infiltrates neighboring structures, so that an option of an ultra-radical resection including laryngectomy, resection of the infrahyoid muscles, trachea or esophagus arises. Thus, Sugitani et al. (Sugitani et al. 2014) found ultra-radical surgery to offer a benefit for survival in patients with an ATC IVB. Conversely, Goffredo et al. (Goffredo et al. 2015) evaluated a retrospective cohort of 335 operated ATC patients and did not find a survival benefit for aggressive resections in stages IVB and IVC. In that study a missing potential benefit from surgery was attributed to the morbidities and operative risks of radical resections. In our systematic review we did not find any of the studies evaluating exclusively ATC IVC patients or comparing radical resections with limited thyroid surgeries. However, some large-scale studies (Glaser et al. 2016; Sugitani et al. 2012; Gui et al. 2020; Ridder et al. 2020; Haymart et al. 2013; Kebebew et al. 2005; Huang et al. 2019; Pezzi et al. 2017) have reported their cohorts to contain up to 56.1% stage IVC patients and all of these studies found surgery to be associated with an improved OS (Gui et al. 2020). This is similar to our findings, that surgical treatment to the primary tumor also in an advanced stage ATC is an appropriate treatment option and can bear a significant survival benefit in selected patients. In addition, we have shown total thyroidectomy as a specified surgical approach to correlate with an improved OS/DSS. In that analysis we found no difference between TT and less than TT surgeries excluding debulking, i.e., compared subtotal-, near total thyroidectomies or lobectomies. This is in line with a study of Venkatesh et al. who reported less invasive thyroidectomies to be non-inferior to TT in terms of OS (Venkatesh et al. 1990). In our pooled analysis, we were only able to see a tendency regimen toward an improved OS for TT ( $p = 0.058$ ).

Removal of the gross tumor in the head and neck region is of crucial importance for adjuvant RT or ChT, since it facilitates a beneficial local control by these therapies, as it was shown for ATC by some authors (Glaser et al. 2016; Fan et al. 2020). However, the extent of primary tumor-directed surgery needs to take into consideration the extent of primary tumor spread. The risk–benefit-ratio needs to be thoroughly evaluated between surgery to the primary tumor which may enhance therapeutic outcome and the risk of surgery-induced morbidity and delay of systemic therapy. The main goal of surgery to the primary tumor in systemically metastasized ATC is to avoid potential complications from the locally destructive tumor growth leading to obstructions of airway and hence respiratory insufficiency, as well as compression and/or infiltration of carotid vessels, as these are common death causes reported to date (Kitamura et al. 1999). Nilsson et al. investigated debulking surgery to the primary tumor in ATC and found it to improve patients' outcome within multimodality approach (Nilsson et al. 1998). Debulking as palliative surgery in ATC IVC is, however, generally not recommended, as there is no sufficient evidence for a patient's benefit within the multimodality approach, where urgently necessary systemic treatment is of highest priority (Bible et al. 2021; Haddad et al. 2018; Filetti et al. 2019; Sugitani et al. 2018). In our analyses debulking surgery was an independent predictor for a higher overall and disease-specific mortality in ATC IVC patients. This may be caused by the unfavorable constellation of peri-operative morbidity and insufficient response towards RT or systemic therapies in terms of local control. Moreover, debulking surgery is only performed in cases, where R0/R1 resection is not achievable in locally aggressive advanced disease, which is a prognostically unfavorable constellation by itself. In addition, debulking surgery postpones the start of RT and/or systemic therapy and can lead to intervention-related complications with a negative impact on the outcome.

In general, there are several specific complications after an oncologic thyroid surgery: permanent and transient uni- or bilateral recurrent laryngeal nerve palsy, injuries to the

superior laryngeal nerve, tracheomalacia, hypoparathyroidism, and fistulae (Rosato et al. 2004; Oertli and Udelsman 2007). The incidence of nerve injury, the most common specific complication, has been sufficiently decreased by the utilization of an intraoperative neurological monitoring, as suggested by some authors (Bai and Chen 2018; Zheng et al. 2013). Other complications can effectively be managed with either conservative or additional invasive approaches (Orloff et al. 2018; Campisi et al. 2013; Lee et al. 2016a; Spitzweg et al. 2017). These potential risks in the course of surgery, especially debulking, seem to outweigh the profit from this intervention because of the heterogeneous volume of the remaining tumor burden. Thus, limited (not ultra-radical) thyroidectomy, but not debulking, may be offered in selected patients with ATC IVC, since there is a promising evidence of potential profit, whereas complications can appropriately be avoided or managed. Furthermore, data suggest that at least <R2 resection has to be achieved to facilitate further therapeutic response.

In ATC, surgery is recommended to be followed by adjuvant therapy, consisting of local RT with or without simultaneous or sequential ChT, to reduce the risk of local recurrence and thus improve overall survival. The recommended radiation doses range between 20 and 75 Gy, depending on the therapeutic goal (Filetti et al. 2019; Pezzi et al. 2017). For palliative radiation, doses between 20 and 30 Gy are usually administered; for a curative therapeutic goal, doses of  $\geq 40$  Gy are used (Liu et al. 2016; Sugitani et al. 2018; Sun et al. 2015; Wendler et al. 2016). However, there is still disagreement about the level of doses administered to patients with a curative therapy goal. In addition to studies recommending  $\geq 40$  Gy for ATC patients, however, many indicate effective irradiation only at doses of  $\geq 60$  Gy. According to a study by Fan et al. for example, irradiation doses of  $\geq 60$  Gy improve overall survival ( $p = 0.004$ ), as well as local control ( $p < 0.001$ ) and additionally prolong median overall survival (10.6 months vs. 3.6 months) (Fan et al. 2020). Similar results were obtained in the study by Glaser et al. which indicates an effective radiation dose for a favorable outcome at  $\geq 59.4$  Gy (Glaser et al. 2016). A more aggressive therapy regimen with higher radiation doses not only shows a benefit in stage IVA, but also in selected patients in inoperable stage IVB or stage IVC. Higher doses have a positive effect on local control and reduce the risk of local recurrence and thus improve overall survival rates (Pezzi et al. 2017). The evaluations of Fan et al. also suggest that higher radiation doses do not necessarily mean higher toxicity and that grade 4 toxicities did not occur more frequently than with lower radiation doses (Fan et al. 2020). In our pooled analysis from the systematic review, sufficient radiation doses beyond 30 Gy correlated uni- and multivariately with a beneficial OS (Table 3, Fig. 2C). Analyses obtained from the SEER database also show RT to be an

independent predictor for a beneficial OS and DSS (Suppl. Figures 1C, 2B); however, exact dosage remains unknown due to limited SEER data. Furthermore, our previous study showed that RT in advanced ATC may also offer a durable local control and can be considered safe for patients (Augustin et al. 2021).

The application of ChT, usually in combination with adjuvant RT, is still controversial. Systemic therapy is the main treatment regimen for metastatic patients, but has only a low response rate and usually leads to significant side effects with a corresponding loss of quality of life (Filetti et al. 2019). There are studies that show that ChT in ATC does not bring a survival benefit and only increases therapy-associated toxicities (Huang et al. 2019; Sun et al. 2015; Corrigan et al. 2019). Other studies, however, found a survival benefit that can be achieved by simultaneously or sequentially administered ChT (Wendler et al. 2016; Käsmann et al. 2016). Recommended ChT regimens include either single-agent therapy with paclitaxel or doxorubicin, or a combination of agents, such as carboplatin/paclitaxel and docetaxel/doxorubicin (Haddad et al. 2018; Filetti et al. 2019; Ain KB et al. (CATCHIT) Group\* 2000; ; Sosa et al. 2014; Shimaoka et al. 1985). In our analysis, administration of ChT corresponded with beneficial OS and DSS rates in univariate analysis and also in multivariate analysis in both SEER cohorts (Suppl. Figures 1B, C, 3C, F, 4F; Fig. 4C; 5F; Tables 5 and 6), but also univariately in the pooled cohort (Fig. 2B).

Combination of all three therapeutic approaches in the course of a multimodality therapy approach shows an advantage in the vast majority of patients with regard to overall survival and progression-free survival (Haymart et al. 2013; Pezzi et al. 2017; Fan et al. 2020; Corrigan et al. 2019; Rao et al. 2017). In stage IVA and resectable stage IVB, this approach is already an established standard of care (Haddad et al. 2018; Filetti et al. 2019; Smallridge et al. 2012; Sun et al. 2015). However, some studies are extending multimodal therapy to patients in stage IVB and stage IVC. Tian et al. showed CRT in ATC patients with metastatic disease to correlate with a longer 1-year OS (HR 0.65,  $p < 0.001$ ) (Tian et al. 2020). Depending on the physical condition of the patients and their personal expectations, a more intensive therapy regime should, therefore, be considered. The decision on the individual therapy approach should be made within the framework of an interdisciplinary expert team of oncologists, radiotherapists, endocrinologists, pathologists and surgeons. In our analyses, multimodal therapy in ATC IVC was associated with a prolonged OS and DSS in all of our cohorts on the univariate analysis ( $p$  value:  $< 0.001$ – $0.014$ , Figs. 2–5, Suppl. Figures 1–4). On the multivariate analysis, it, however, did not reach any significance (Fig. 5G, Suppl. Figure 4G).

In the course of our investigation, we also evaluated the impact of older age  $\geq 65$  years in metastatic ATC on the OS and DSS. We found it to be an independent predictor for a higher overall mortality in both SEER databases, but not for the disease-specific mortality (Table 5, Suppl. Figures 1F, 2E, 3E, 4I; Fig. 4E). This is in line with the findings of other authors that stated age  $\geq 65$  and  $\geq 70$  years, respectively, to be an independent predictor for a shortened OS (Glaser et al. 2016; Sugitani et al. 2012; Pezzi et al. 2017). Such a difference is most likely caused by the lower performance score and lower susceptibility for intensive treatment regimens in older patients.

In addition, some authors reported a significant increase in survival of ATC patients within the last two decades due to a significantly improved patient-management (Maniakas et al. 2020). Prasongsook et al. have also shown a difference between treatment outcome in ATC patients, yet not for the multimodal approach in the metastasized ATC (Prasongsook et al. 2017). In none of our analysis, however, we were able to find any difference in the patient outcome depending on the year of their diagnosis. Conversely, we have only investigated an advanced stage ATC. These findings, however, were generated from the data of an era prior to Food and Drug Administration approvals (FDA, USA) of any of the available TKIs or immunotherapies for ATC. A combination of dabrafenib and trametinib has been approved by FDA for an advanced, *BRAF V600E/MEK* positive ATC, as it showed acceptable toxicity with an overall response rate (ORR) of 69% in May 2018 (Subbiah et al. 2018; Highlights of prescribing information xxxx). Furthermore, first results of the phase-II ATLEP trial on the combination of Lenvatinib and pembrolizumab in the metastasized ATC/PDTC showed a promising outcome with acceptable toxicity (Dierks et al. 2021). In total, not only may these therapies provide an improved survival, distant and local control rates, but it may also facilitate a reevaluation of the role of surgery in ATC stage IVC, especially when used in a neo-adjuvant setting.

Our study has several limitations, such as the retrospective nature and, hence, the risk of including hidden selection biases. In addition, SEER data on ChT and RT have been reported to have limitations in terms of sensitivity, biases and variables within the treatment sequence (Noone et al. 2016). The SEER data have, however, still a significant positive-predictive value, but have to be used with caution. In our analysis, we partially investigated patients with any tumor-directed treatment and did not evaluate any treatment-related sequences, to minimize possible biases between treated and untreated patients.

In conclusion, we were able to show that surgery to the primary tumor—thyroidectomy in any form, but not debulking—was an important factor bearing an OS and a DSS benefit for ATC patients with distant metastases from SEER database. Furthermore, sufficient RT ( $\geq 30$  Gy),

administration of ChT or combined multimodal treatment and young age  $< 65$  years had a significant influence on the OS and DSS from both pooled and SEER-based analysis.

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## Declarations

**Conflict of interest** The authors declare no conflict of interest.

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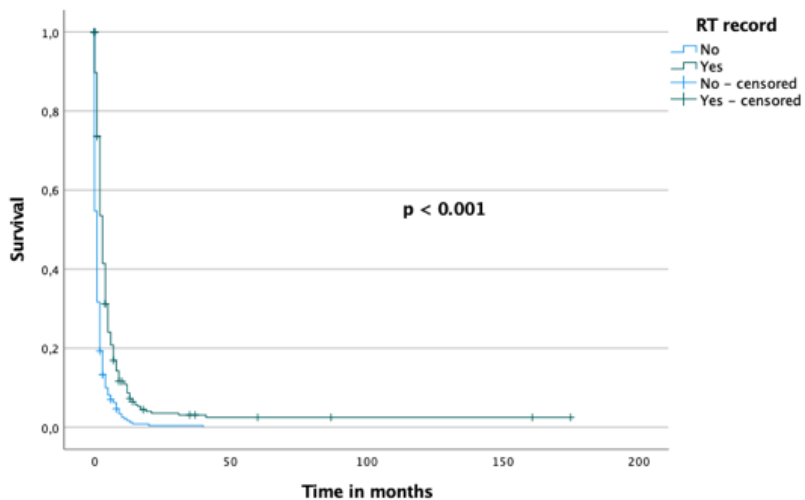
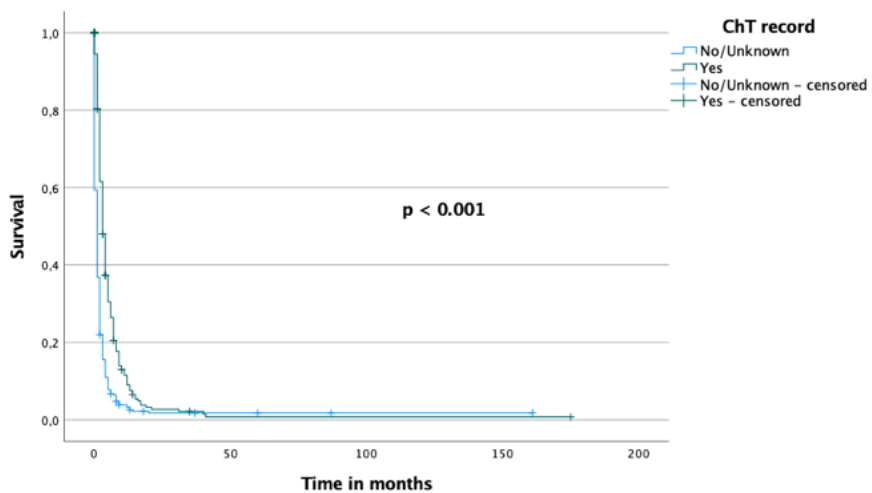
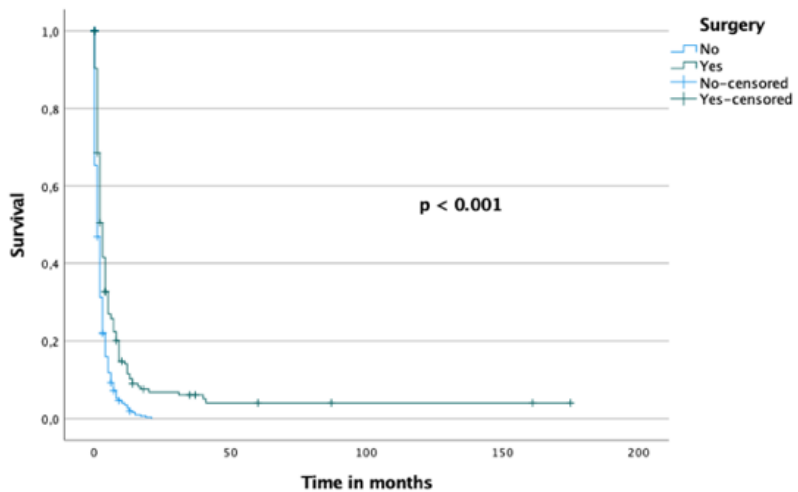


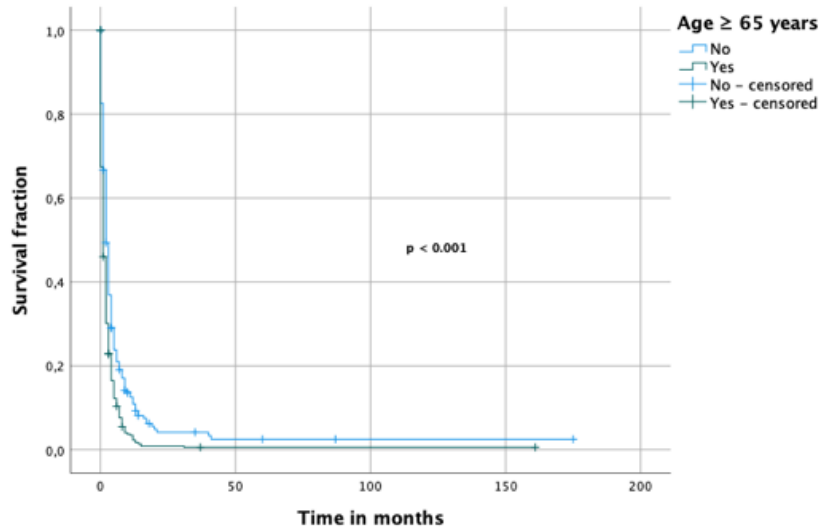
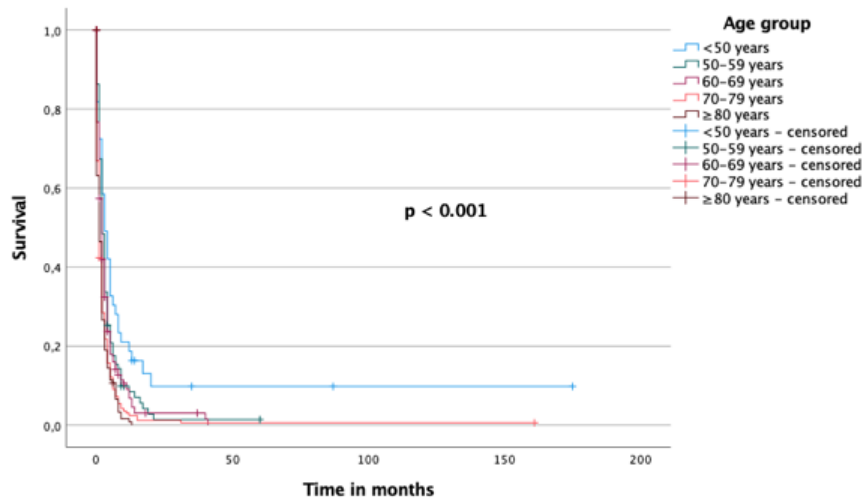
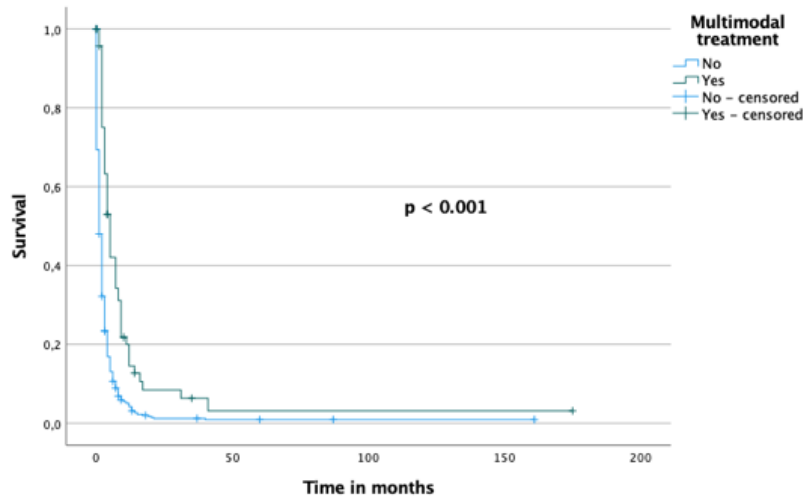
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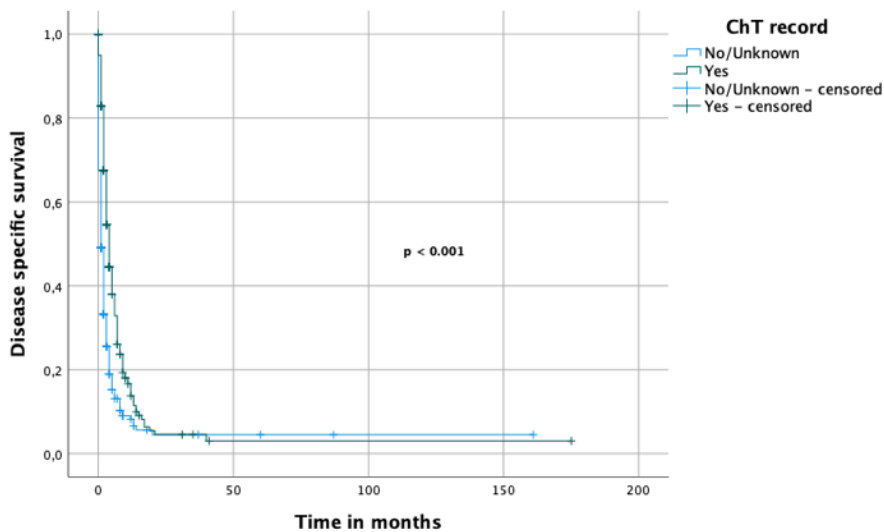
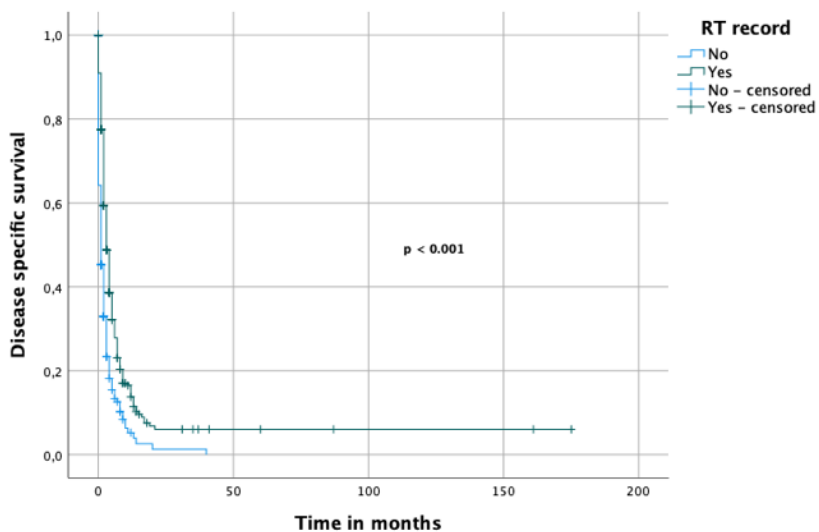
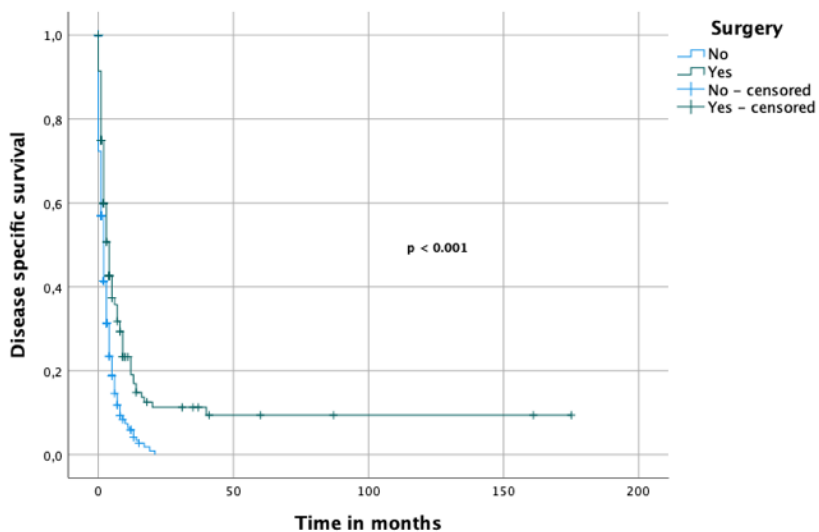
## Anhang A: Supplementary Material zum Paper IV

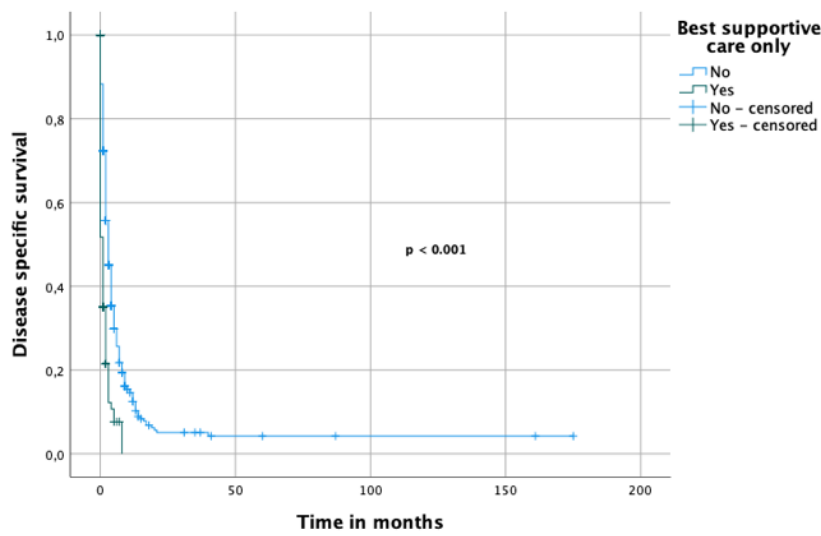
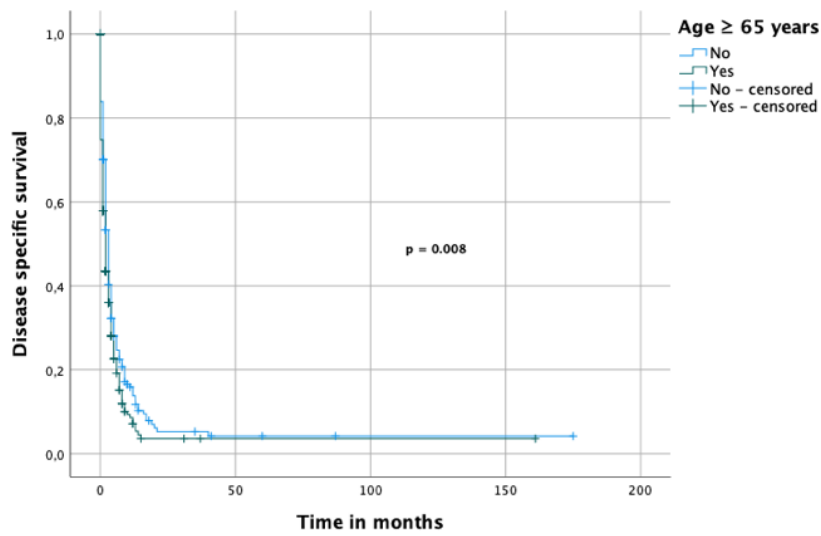
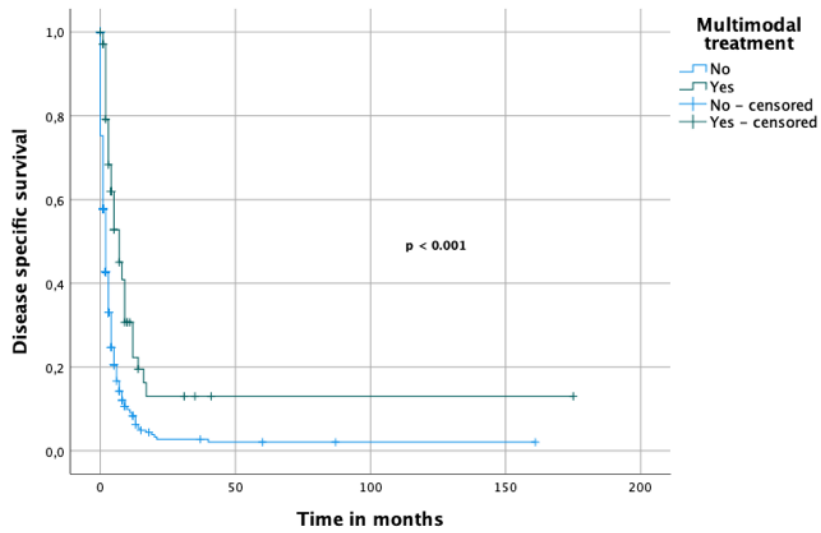
Figures 1A-F. Kaplan-Meier curves of prognostic factors for OS in the whole SEER cohort (n = 617)



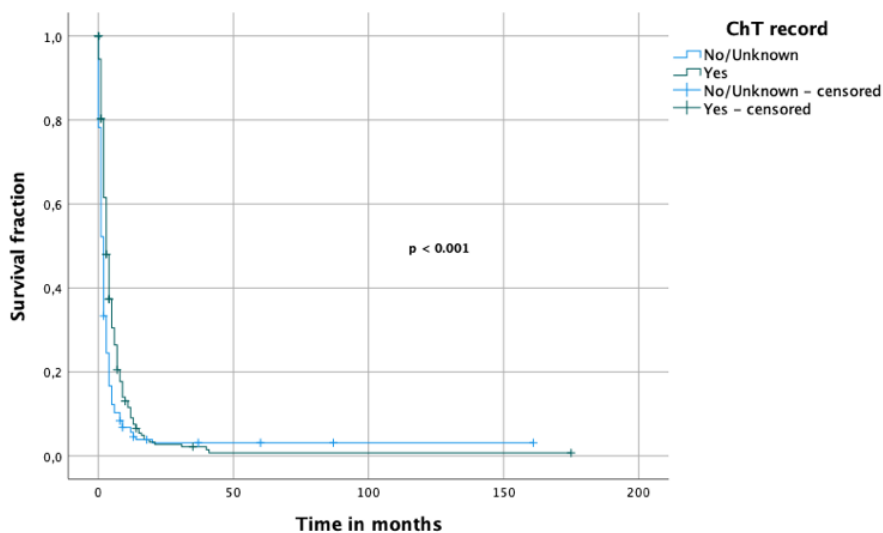
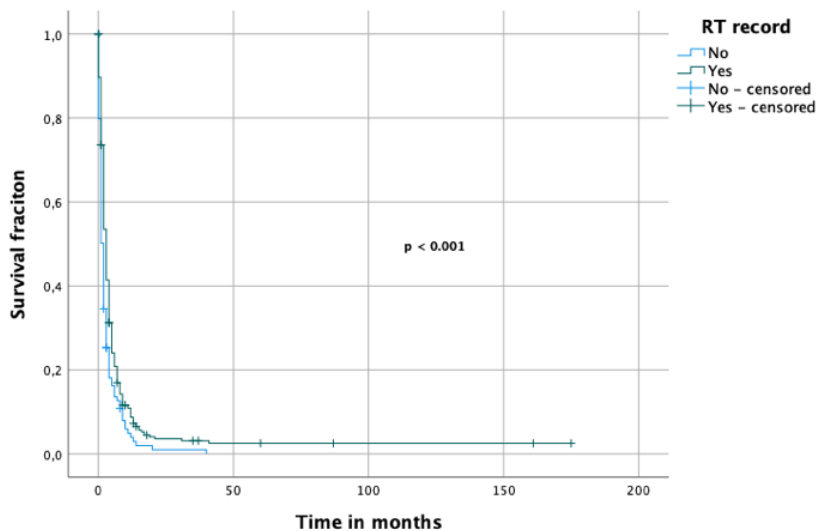
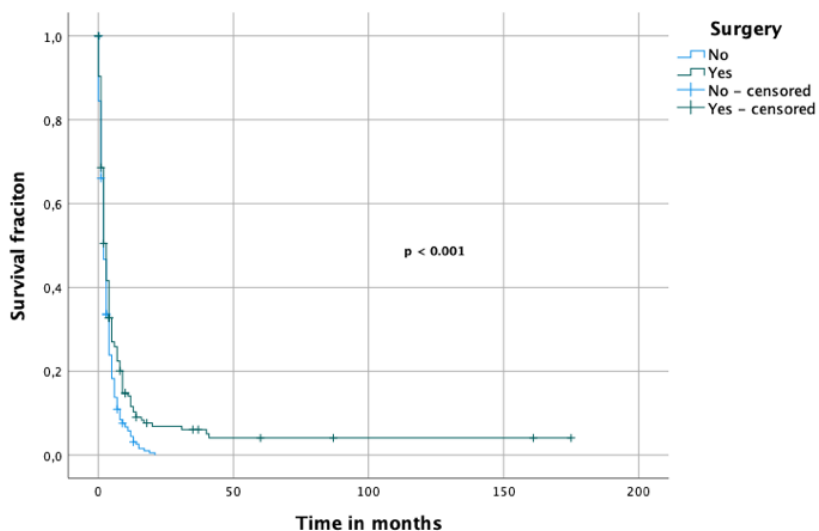


Figures 2A-F: Kaplan-Meier curves of prognostic factors for DSS in the whole SEER cohort (n = 617)





Figures 3A-E. OS of patients from the SEER cohort undergoing any tumor directed treatment.



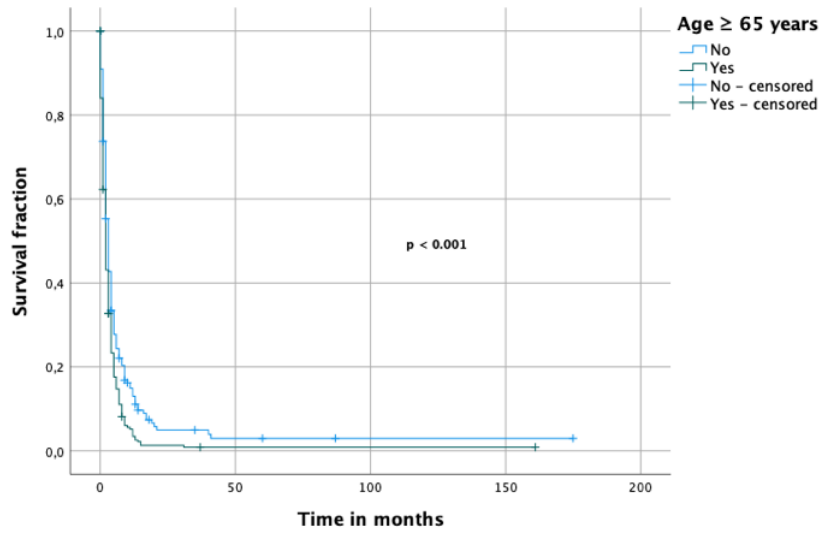
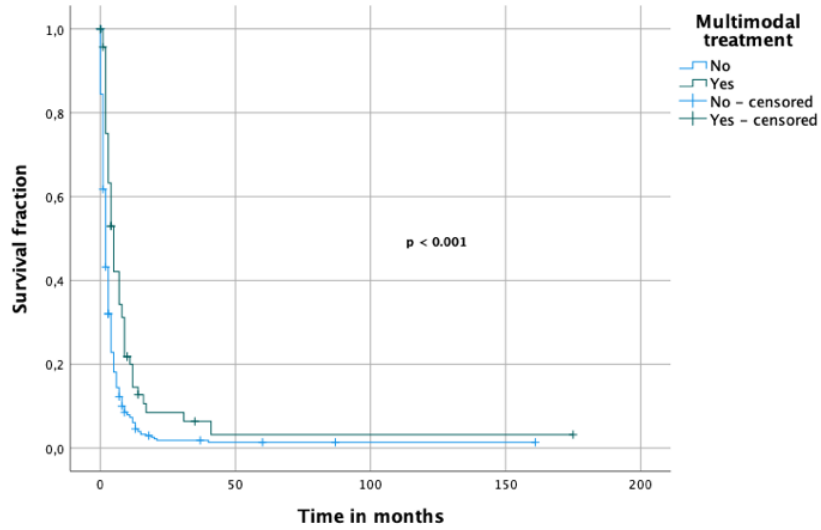
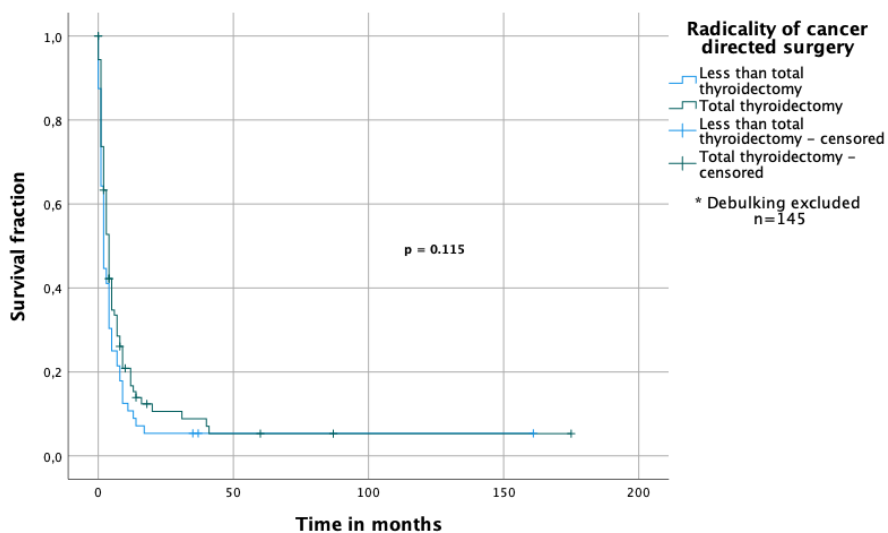
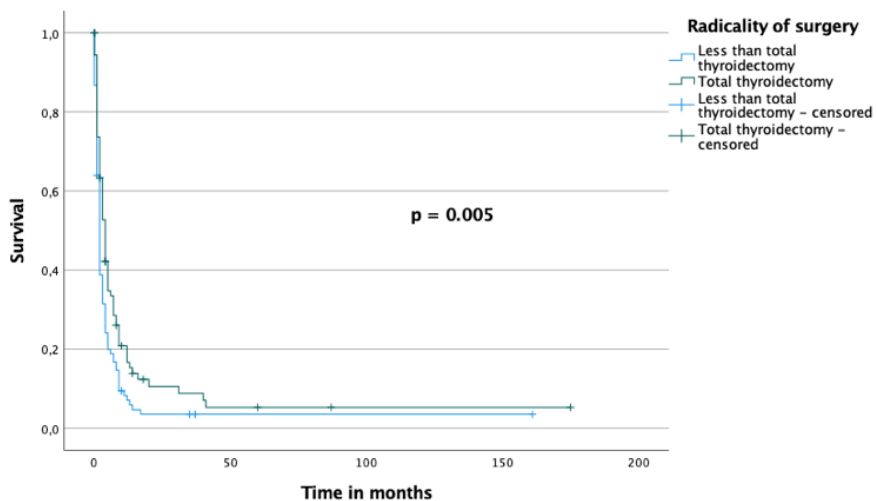
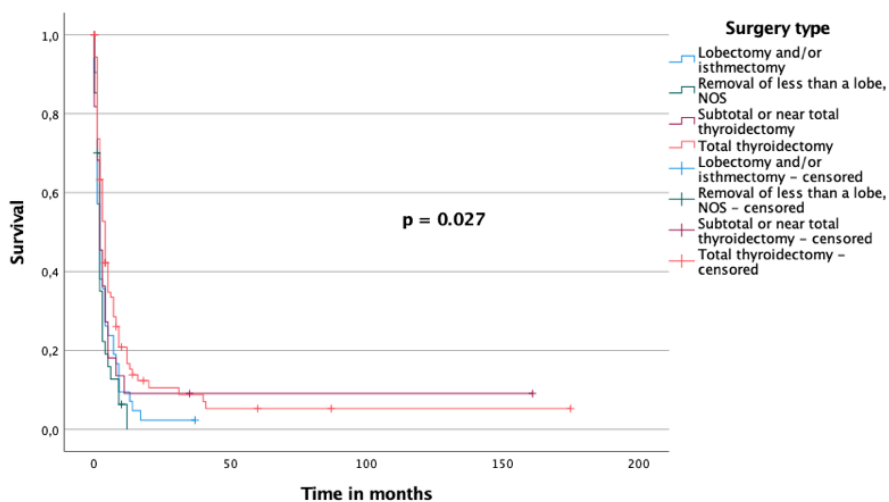
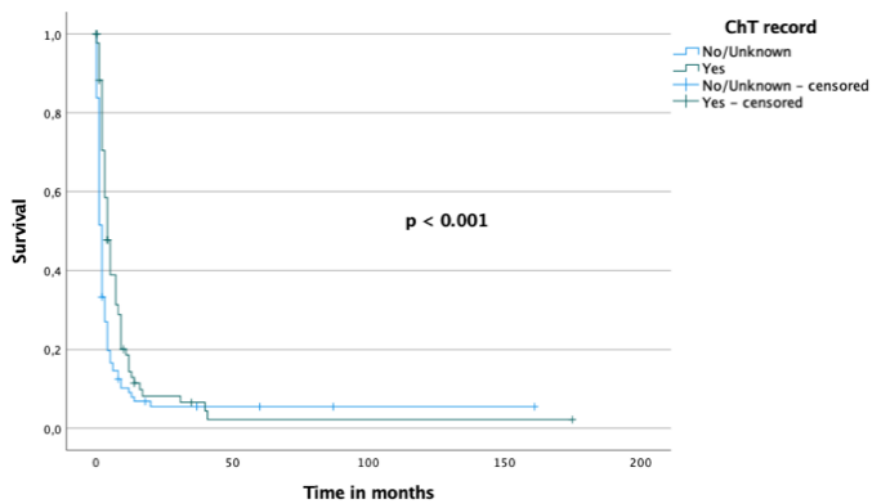
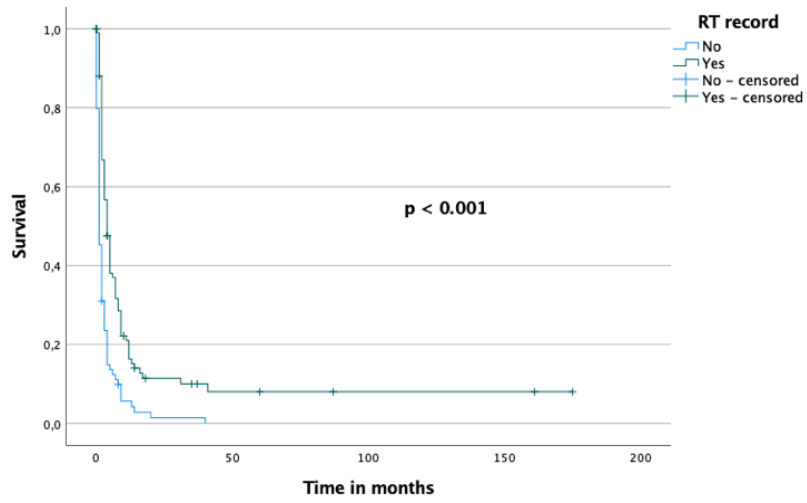
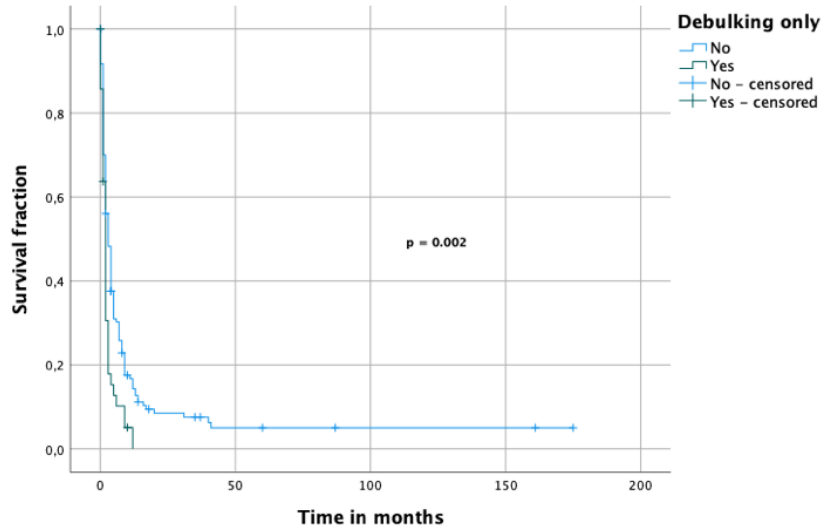
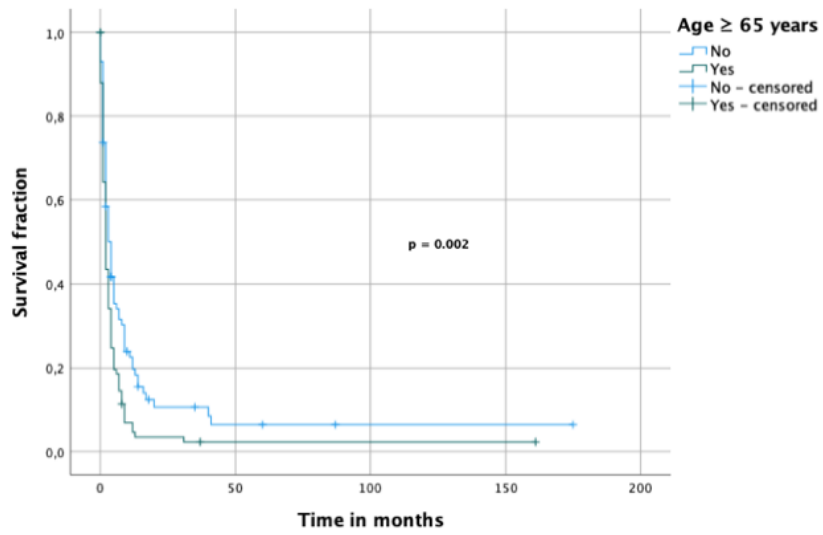
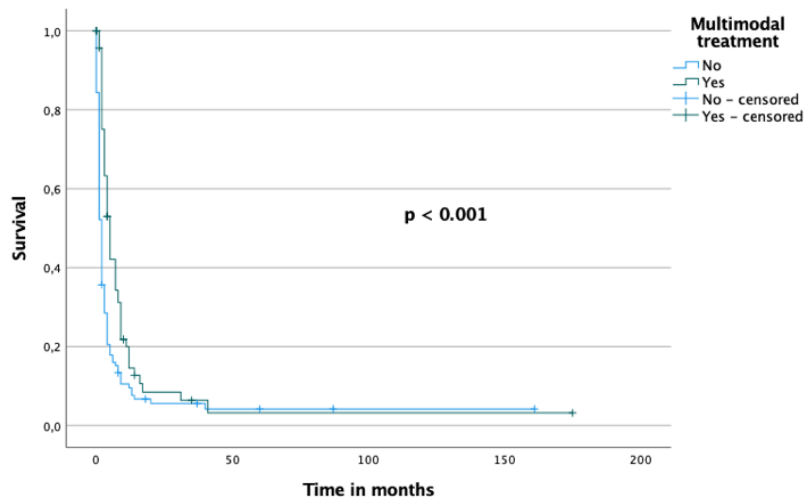




Figure 4A-I. OS of operated cohort from the SEER database







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