

1                   **Objective Response by mRECIST as a Predictor and Potential**  
2                   **Surrogate End Point of Overall Survival in Advanced HCC**

3    **Authors**

4    Riccardo Lencioni<sup>1\*</sup>, Robert Montal<sup>2\*</sup>, Ferran Torres<sup>3</sup>, Joong-Won Park<sup>4</sup>, Thomas Decaens<sup>5</sup>,  
5    Jean-Luc Raoul<sup>6</sup>, Masatoshi Kudo<sup>7</sup>, Charissa Chang<sup>8</sup>, José Ríos<sup>3</sup>, Valerie Boige<sup>9</sup>, Eric  
6    Assenat<sup>10</sup>, Yoon-Koo Kang<sup>11</sup>, Ho-Yeong Lim<sup>12</sup>, Ian Walters<sup>13</sup>, Josep M. Llovet<sup>2,8,14</sup>.

7    *\*Both authors equally contributed to the study.*

8    **Author affiliations**

9    <sup>1</sup>Department of Interventional Radiology, University of Miami Miller School of Medicine,  
10   Sylvester Comprehensive Cancer Center, Miami, FL. <sup>2</sup>Liver Cancer Translational research  
11   laboratory, BCLC Group, IDIBAPS, Liver Unit, Hospital Clinic, University of Barcelona,  
12   Barcelona, Catalonia, Spain. <sup>3</sup>Medical Statistics Core Facility, IDIBAPS, Hospital Clinic,  
13   Barcelona, Spain; Biostatistics Unit, Faculty of Medicine, Autonomous University of  
14   Barcelona, Barcelona, Spain. <sup>4</sup>Center for Liver Cancer, National Cancer Center, Goyang,  
15   Republic of Korea. <sup>5</sup>Service d'Hepato-gastro-enterologie, Hôpital Henri Mondor, Faculty of  
16   Medicine, University of Paris-Est, and INSERM, Creteil, France. <sup>6</sup>Service d'Oncologie  
17   Médicale, Institut Paoli Calmette, Marseille, France. <sup>7</sup>Department of Gastroenterology and  
18   Hepatology, Kindai University Faculty of Medicine, Osaka, Japan. <sup>8</sup>Liver Cancer Program,  
19   Division of Liver Diseases, Ichan School of Medicine at Mount Sinai, New York, NY, USA.  
20   <sup>9</sup>Service de Gastro-enterologie, Institut Gustave Roussy, Villejuif, France. <sup>10</sup>Service  
21   d'Hépatogastro-entérologie, Hôpital Saint Eloi, Montpellier Cedex, France. <sup>11</sup>Department of  
22   Oncology, Asan Medical Center, Seoul, Republic of Korea. <sup>12</sup>Division of Hematology-  
23   Oncology, Samsung Medical Center, Seoul, Republic of Korea. <sup>13</sup>Bristol-Myers Squibb,  
24   Wallingford, CT, USA. <sup>14</sup>Institució Catalana de Recerca i Estudis Avançats, Barcelona,  
25   Catalonia. Spain.

26

27 **Corresponding author**

28 Josep M. Llovet, MD

29 Laboratori de Recerca Translacional en Oncologia Hepàtica;

30 BCLC-IDIBAPS, Liver Unit, Hospital Clínic;

31 University of Barcelona.

32 Carrer Rosselló 153, Barcelona (08036); Catalonia, Spain.

33 E-mail: [jmllovet@clinic.cat](mailto:jmllovet@clinic.cat);

34 Tel: +34 93-2279155; Fax: +34 93-3129406.

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38 **Abbreviations**

39 HCC, hepatocellular carcinoma; OS, overall survival; WHO, World Health Organization;  
40 RECIST, Response Evaluation Criteria in Solid Tumors; OR, objective response; EASL,  
41 European Society for the Study of the Liver; ORR, objective response rate; AASLD,  
42 American Association for the Study of Liver Diseases; TTP, time to progression; mRECIST,  
43 modified Response Evaluation Criteria in Solid Tumors; VEGFR, vascular endothelial growth  
44 factor receptor; FGFR, fibroblast growth factor receptor; BSC, best supportive care; ECOG  
45 PS, Eastern Cooperative Oncology Group performance status; CR, complete response; PR,  
46 partial response; HR, hazard ratio; CI, confidence interval; AFP, alpha-fetoprotein; PFS,  
47 progression-free survival.

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63 **Authors' contributions**

64 Conception and design: RL, RM, FT, IW, JML.

65 Collection of clinical data: RL, JWP, TD, JLR, MK, CC, VB, EA, YKK, HYL, JML.

66 Data analysis and interpretation: RL, RM, FT, JR, IW, JML.

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75 **Abstract**

76 **Background & aims.** The Modified Response Evaluation Criteria in Solid  
77 Tumors (mRECIST) was developed to overcome the limitations of standard RECIST criteria  
78 in response assessment of hepatocellular carcinoma (HCC). We aimed to investigate  
79 whether objective response by mRECIST accurately predicted overall survival (OS) in  
80 patients with advanced HCC treated with systemic targeted therapies and also to  
81 preliminarily assess this end-point as a potential surrogate of OS.

82 **Methods.** Individual patient data from the BRISK-PS randomized phase III trial comparing  
83 brivanib vs. placebo (the first to prospectively incorporate mRECIST) were used to analyze  
84 objective response as a predictor of OS in a time-dependent covariate analysis. Patients  
85 with available imaging scans during follow-up were included (n = 334; 85% of those  
86 randomized). Moreover, a correlation of the survival probability in deciles vs. the observed  
87 objective response was performed to evaluate its suitability as a surrogate end-point.

88 **Results.** Objective response was observed in 11.5% and 1.9% of patients treated with  
89 brivanib and placebo respectively, and was associated with a better survival (median OS  
90 15.0 vs. 9.4 months,  $p < 0.001$ ). In addition, objective response had an independent  
91 prognostic value (HR = 0.48; 95% confidence interval [CI], 0.26–0.91,  $p = 0.025$ ) along with  
92 known prognostic factors. Finally, objective response showed promising results as a  
93 surrogate of OS in this trial (R = -0.92; 95% CI, -1 to -0.73,  $p < 0.001$ ). It was an early  
94 indicator of the treatment effect (median time to objective response was 1.4 months).

95 **Conclusions.** Objective response by mRECIST in advanced HCC predicts OS and thus can  
96 be considered as a candidate surrogate end-point. Further studies are needed to support  
97 this finding.

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100 **Introduction**

101 In 60% of cases, patients with hepatocellular carcinoma (HCC) are diagnosed  
102 when tumors are no longer eligible for potentially curative therapies [1]. In this setting, only  
103 two treatments have been included in guidelines after demonstrating survival advantages in  
104 randomized controlled trials. Patients at an intermediate stage benefit  
105 from chemoembolization and have an estimated median overall survival (OS) of  
106 26 months [2], while at advanced stages, sorafenib extends survival from 8 to almost  
107 11 months [3].

108 The optimal management of HCC requires an early and accurate assessment of tumor  
109 response to therapy, particularly for those patients who experience toxicity [1]. Nevertheless,  
110 traditionally established response criteria based on size for tumor burden, as defined by  
111 World Health Organization (WHO) criteria or the Response Evaluation Criteria in Solid  
112 Tumors (RECIST), have been challenged in HCC due to the nature of effective treatments.  
113 Both chemoembolization and sorafenib often induce direct tumor necrosis without critically  
114 affecting tumor size [4]. Moreover, valid radiological criteria are crucial for the optimal  
115 development of clinical trials testing new therapies for HCC: although the primary goal is to  
116 prolong survival, alternative end-points evaluating disease response and progression have  
117 been used to assess treatment effectiveness earlier and reduce drug development costs [5].

118 In addition, controversy remains on what should be an ideal surrogate end-point in HCC  
119 research. Objective response was considered an adequate surrogate end-point when  
120 assessing benefits of loco-regional therapies [2,6] by European Society for the Study of the  
121 Liver (EASL) criteria [7]. These criteria were proposed in 2000 by a panel of experts as an  
122 amendment to WHO criteria, considering treatment-induced tumor necrosis and the concept  
123 of viable tumor assessment. However, the standardization of RECIST in trials evaluating  
124 oncologic therapies led to adopting these criteria for the first time in HCC in the SHARP  
125 trial [3]. This landmark trial demonstrated that sorafenib was able to significantly increase  
126 OS compared to placebo, despite an objective response rate (ORR) of just 2%.

127 Subsequently, experts convened by the American Association for the Study of Liver  
128 Diseases (AASLD) developed a set of guidelines that aimed to provide a common  
129 conceptual framework for the design of clinical trials in HCC and endorsed time to  
130 progression (TTP) as the optimal secondary end-point in 2008 [5]. At the same time, this  
131 provided the basis of the modification of RECIST criteria (mRECIST) [8]. These criteria  
132 incorporate the concept of viable tumor assessment, defined as the portions of tumor  
133 showing arterial enhancement, and thus providing improved sensitivity for clinical  
134 assessment. Moreover, mRECIST also incorporates novel concepts in assessing  
135 progression with lymph node involvement, ascites and development of  
136 new lesions [5,8] (Fig. 1). Thus, assessment of response by mRECIST was thereafter  
137 endorsed by the EASL clinical practice guidelines of management of HCC [1].

138 Several studies and one meta-analysis have shown a correlation between objective  
139 response by mRECIST and survival in patients treated with loco-regional therapies [9–13]. In  
140 advanced HCC cases treated with systemic targeted therapies, few studies suggest a  
141 prognostic value of objective response by mRECIST [14–17]. However, their retrospective  
142 nature and the absence of a time-dependent multivariate analysis considering immortal time  
143 bias, limit the level of evidence in this setting.

144 We performed an individual patient data analysis of BRISK-PS, a phase III trial comparing  
145 brivanib and placebo in the second line setting that was the first to prospectively incorporate  
146 mRECIST for the assessment of treatment benefit [18]. The aim was to investigate whether  
147 objective response by mRECIST could accurately predict OS in patients with advanced HCC  
148 treated by systemic therapies.

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153 **Patients and Methods**

154 ***BRISK-PS Trial Design, Treatment and Assessments.***

155 BRISK-PS [18] was a multinational, double-blind, randomized, placebo-controlled, phase III  
156 study carried out between February 2009 and June 2011. Three hundred and ninety-five  
157 patients were randomly assigned (2:1) to receive brivanib, a dual inhibitor of vascular  
158 endothelial growth factor receptor and fibroblast growth factor receptor signaling pathways,  
159 800 mg once per day or matching placebo plus best supportive care (BSC). Patients were  
160 eligible if they had documented radiographic or symptomatic progression on/after or were  
161 intolerant to sorafenib. Patients were required to have one or more measurable target  
162 lesions. Other inclusion criteria included liver function of Child-Pugh Class A or B (a total  
163 score  $\leq 7$ ) without ascites or encephalopathy an Eastern Cooperative Oncology  
164 Group performance status (ECOG PS)  $\leq 2$ , and adequate hematologic, hepatic and renal  
165 functions. Stratification was carried out according to reason for sorafenib discontinuation  
166 (progression vs. intolerance), ECOG PS score (0 vs. 1–2), distant metastasis and/or  
167 macrovascular invasion (yes vs. no) and study site. All patients provided written informed  
168 consent before enrollment. The study was approved by the institutional review board or  
169 ethics committee at each center and complied with provisions of the Good Clinical Practice  
170 guidelines and the Declaration of Helsinki and local laws.

171 The primary end-point of OS was defined as the time from random assignment until death as  
172 a result of any cause. Secondary end-points were TTP and ORR. TTP was defined as the  
173 time from random assignment to radiologic disease progression and ORR as the percentage  
174 of patients with complete response (CR) or partial response (PR). Tumor measurements  
175 were performed every 6 weeks during treatment by contrast-enhanced, computed  
176 tomography or magnetic resonance imaging. To define objective response, confirmatory  
177 assessments were performed  $\geq 28$  days after the initial demonstration of the response.  
178 Assessment was performed by a blinded independent radiologic committee using mRECIST.  
179 Results of TTP and ORR were based on central review. Briefly, the study images were

180 subjected to quality control (adherence to image acquisition guidelines and trial protocol)  
181 before they were evaluated by two board-certified radiologists with specific expertise in liver  
182 imaging. If there was disagreement between the two reviewers in the response assessment  
183 at any time point, a third adjudicating radiologist reviewed the case and decided which of the  
184 two primary radiologists should be agreed with. In this regard, a previous study showed up  
185 to 73% of inter-reader agreement for mRECIST in HCC patients treated with sorafenib and a  
186 comparable weighted k coefficient to RECIST [15].

187 Overall, 226 of 263 brivanib patients (85.9%) and 108 of 132 placebo patients (81.8%) were  
188 evaluable for response because of the presence of baseline and at least one on-study scan.  
189 Of the 61 patients not evaluable due to discontinuation of treatment before the first  
190 radiological assessment, 27 survived less than 6 weeks.

191

### 192 ***Statistical Analysis.***

193 Analyses were performed using the SPSS v.23 and SAS v.9.4 software packages. A  
194 Fisher's exact test was used for comparison of frequency of two categorical variables. Mann-  
195 Whitney *U* test compared one categorical variable with one continuous variable. The hazard  
196 ratio (HR) and their associated confidence interval (CI) for OS were computed by Cox  
197 proportional hazard models for the aforementioned stratification factors (reason for sorafenib  
198 discontinuation, ECOG PS score, distant metastasis and macrovascular invasion), region,  
199 age, sex, race, risk factors, baseline analytical factors (albumin, bilirubin and alpha-  
200 fetoprotein [AFP]), nodal metastasis and objective response. Variables associated with OS  
201 (*p* value <0.10) in univariate analysis were included in multivariate models. Statistics  
202 involving evolutionary events were done by means of time-dependent covariate analysis.  
203 Survival curves were performed using Landmark Kaplan-Meier method without a fixed time  
204 (patients enter the objective response group as soon as they achieved this event); and were  
205 compared using the Mantel-Byar test; this method allowed analysis of survival from the point



206 where the variable changed [19,20]. The relationship between probability of survival in  
207 deciles and log (odds) (i.e.,  $\log [p/1 - p]$  where  $p$  is the prevalence of the end-point) for ORR  
208 was evaluated using Pearson's correlation coefficient and linear regression; the 95% CI for  
209 the R were estimated by bootstrap with 10,000 simulations. The same approach was used to  
210 evaluate the association between log HRs for OS and log odds ratios for ORR after dividing  
211 the trial into five subgroups at random. All statistical tests were two-tailed and the threshold  
212 level of significance was 0.05.

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215 **Results**

216 ***Objective response by mRECIST as an independent prognostic factor***

217 At the end of follow-up, 233 of the 334 patients with evaluable response had died, with a  
218 median OS of 10.1 months (95% CI; 8.6–11.6) and 9.5 (95% CI; 7.4–11.7) for brivanib and  
219 placebo groups respectively. There were no statistically significant differences between  
220 treatments (HR = 0.88; 95% CI, 0.67–1.16,  $p = 0.358$ ), as observed in the whole BRISK-PS  
221 population (HR = 0.89; 95.8% CI, 0.69–1.15,  $p = 0.331$ ).

222 There was no CR in either of the two arms among patients evaluated. ORR was 11.5%  
223 ( $n = 26/226$ ) with brivanib and 1.9% ( $n = 2/108$ ) with placebo. Overall, considering all  
224 patients assessed, those patients achieving objective response ( $n = 28$ ) had a median OS  
225 as per landmark analysis of 15.0 months (95% CI; 13.7–16.3), significantly better than the  
226 9.4 (95% CI; 8.2–10.6) months of patients without objective response ( $n = 306$ ) (HR = 0.28;  
227 95%CI 0.14–0.54,  $p < 0.001$ ) (Fig. 2A). Specifically, for patients in the brivanib arm, those  
228 with objective response had better survival (14.3 vs. 9.4 months, HR = 0.31; 95%CI 0.16–  
229 0.60,  $p < 0.001$ ) (Fig. 2B).

230 In order to evaluate objective response as a predictor of OS we used a Cox model with  
231 objective response as a time-dependent variable, since this variable was measured after  
232 entry into the study. Multivariate analysis irrespective of treatment identified objective  
233 response by mRECIST as an independent prognostic factor of OS (HR = 0.48; 95% CI,  
234 0.26–0.91,  $p = 0.025$ ) along with nodal metastasis, distant metastasis, macrovascular  
235 invasion, AFP >200 ng/ml, albumin > median and bilirubin > median (Table 1). Objective  
236 response maintained independent prognostic value in patients treated with brivanib  
237 (HR = 0.50; 95% CI, 0.25–0.99,  $p = 0.047$ ) (Table 2), indicating that objective response by  
238 mRECIST captures those patients in which treatment changes the natural history of the  
239 disease.

240 Baseline demographics and disease characteristics that significantly influenced obtaining a  
241 higher percentage of objective response by mRECIST after treatment with brivanib were:  
242 BCLC A/B stage, absence of distant metastasis and the presence of low and high levels of  
243 AFP and albumin, respectively (Table 3).

#### 244 ***Objective response by mRECIST as a surrogate end-point***

245 To further explore the impact of objective response by mRECIST in the assessment of  
246 efficacy of a systemic molecular targeted therapy, we performed a Pearson correlation  
247 between the raw survival probability of patients in deciles and the log odds ratios of ORR.  
248 This method allowed the determination of the ORR observed in each one of the ten  
249 subgroups, sorted by worse to better outcome, and their association. As shown in Fig. 3,  
250 treatment effects on ORR and OS were significantly associated ( $R = -0.92$ ; 95% CI, -1 to  
251  $-0.73$ ,  $p < 0.001$ ).

252 In order to provide additional surrogacy of end-points, a proper correlation between the  
253 treatment effect on the surrogate outcome (objective response by mRECIST) and the  
254 treatment effect on the clinical outcome (OS) is required. To attempt this, we split the cases  
255 in five random subgroups of equal size ( $395/5 = 79$ ). The association between log HRs for  
256 OS and log odds ratios for ORR was high ( $R = -0.80$ ; 95% CI, -1 to 0.23,  $p = 0.091$ ) (Fig.  
257 4).

258 Of note, median time to objective response was 1.4 months (range: 0.7–8.4) in the 26  
259 patients that reached a PR with brivanib. This means that the first radiological evaluation,  
260 conducted at 6 weeks, detects the majority of patients responding to treatment and thus,  
261 objective response could be considered an early surrogate end-point.

262 **Discussion**

263 OS remains as the main primary end-point in clinical research in oncology and in HCC.  
264 However, there is a need to identify a reliable secondary end-point able to recapitulate OS.  
265 This will allow ineffective drugs in phase II trials to be discarded, and enable testing new  
266 therapies in phase III, where median survivals of patients with intermediate HCC might  
267 exceed 30 months, and cross over treatments might dilute the potential benefits during  
268 follow-up. Objective response was previously considered a reliable surrogate end-point for  
269 loco-regional therapies in HCC [7], but studies assessing response by RECIST criteria failed  
270 to capture this benefit. At advanced stages of the disease, performance of objective  
271 response by RECIST was disappointing in capturing benefits of sorafenib therapy [3]. As a  
272 consequence of these failures, two strategies emerged: a) assess response according to the  
273 'hallmarks of HCC' for defining viable tumors (mRECIST criteria) [5,8], b) endorse TTP as a  
274 more adequate surrogate end-point, as per the SHARP trial results [5].

275 The present study defines objective response as an independent prognostic factor for OS,  
276 and as a potentially reliable surrogate end-point. First, we established an 11.5% ORR by  
277 mRECIST in patients treated with brivanib in the setting of BRISK-PS trial. This figure  
278 compares well with data from a phase III trial of brivanib in front-line advanced HCC, where  
279 an ORR of 12% in those 577 patients randomized to brivanib arm was reported [21].  
280 Furthermore, in this study, ORR for sorafenib was 9%, which is within the range of 9–28%  
281 described in several retrospective studies [14–17,22,23]. These figures for sorafenib are far  
282 from the 2% ORR described for RECIST [5]. Thus, assessment of mRECIST in patients with  
283 advanced HCC treated with anti-angiogenic drugs, might be in line with other alternative  
284 criteria developed to measure response in other solid tumors. This is the case for Choi  
285 criteria, for the measurement of response in gastrointestinal stromal tumors treated  
286 with imatinib [24] or immune-related response criteria for melanomas treated with checkpoint  
287 inhibitors [25].

288 Second, we sought to define if objective response was an independent predictor of OS in  
289 advanced HCC. For this purpose, we performed a multivariate time-dependent analysis that  
290 defined several variables related to tumoral status (macrovascular invasion, metastases,  
291 AFP >200 ng/ml), liver function (bilirubin, albumin) and treatment response measured by  
292 mRECIST as independent predictors for survival. This result is critical, since it represents  
293 the first requirement to propose ORR as surrogate end-point for OS in advanced HCC. In  
294 addition, the level of evidence is high due to the phase III randomized controlled nature of  
295 the original study.

296 Finally, we aimed to explore if ORR could be used as a potential surrogate end-point in  
297 HCC. The way to evaluate therapeutic effectiveness in oncology is based upon a statistically  
298 significant and clinically meaningful improvement in OS [26]. In clinical research, surrogate  
299 end-points are used in order to provide earlier measures of difference in treatment effect  
300 than OS [1,27]. In our study, we identified a significant correlation between ORR assessed  
301 by mRECIST after brivanib and OS ( $R = -0.92$ ). Notably, most patients with objective  
302 response could be identified in the first radiological evaluation conducted at 6 weeks.  
303 Moreover, objective response overcomes a limitation of other end-points that include  
304 disease stabilization in their definitions (disease control rate, TTP or progression-free  
305 survival [PFS]) since these end-points may be influenced by the inherent speed of  
306 progression of tumors independently of the effect of the drug [28]. This makes objective  
307 response by mRECIST a promising surrogate end-point to evaluate efficacy (if a treatment is  
308 effective for a certain condition) after a phase II trial, and thus to decide its further  
309 development.

310 Thus, if ORR is an independent predictor of survival and a potentially good surrogate of OS,  
311 we need to explain how the differences in ORR between brivanib and placebo arms (Odds  
312 ratio 5.72; 95% CI, 1.41–23.25,  $p = 0.003$ ) were unable to correlate with the lack of survival  
313 differences in this trial. The most obvious explanation is that the magnitude of the benefit  
314 obtained by a drug certainly depends on the type of ORR benefit (CR vs. PR) and the

315 toxicity. The ORR obtained in the trial according to intention to treat for the brivanib arm was  
316 9.9% (26/263), a figure that is suboptimal to impact on the final OS result. Other effective  
317 drugs in cancer such as crizotinib, which achieved a 29% absolute increase in ORR  
318 compared to chemotherapy (74% vs. 45%) in non-small cell lung cancer [29], or nivolumab,  
319 which achieved 40% ORR in melanoma patients, but with a high rate of complete  
320 responses [30], are examples defining a threshold for ORR to directly impact in OS benefit.  
321 Therefore, to reliably predict differences among treatments, a higher magnitude of the  
322 difference in terms of quantity (percentage of objective response) and quality (presence of  
323 CRs or long-lasting responses) would be necessary. This concept is particularly challenging  
324 in the HCC field since, unlike other tumors, the post-progression time is generally longer  
325 than TTP and may dilute part of the benefit produced by the drug during treatment [18,31].

326 The importance of objective response as a surrogate end-point in cancer trials has been  
327 acknowledged in some papers by regulatory agencies and used in breakthrough trials [32].  
328 Indeed, 24 of the 25 FDA accelerated marketing approvals for oncologic indications between  
329 2009 and 2014 were based on ORR [33]. This point is of significance since the last  
330 randomized studies conducted in HCC have shown inconsistencies between TTP and  
331 OS [34]. In this sense, for instance, the two positive trials showed similar OS rates for  
332 sorafenib in front-line and regorafenib in second line but with clearly distinct TTP  
333 figures [3,35]. Thus, TTP is currently re-visited as a surrogate end-point in trial design for  
334 advanced HCC. In order to provide absolutely robust data to enforce recommendations in  
335 guidelines, the definitive evidence will be obtained when several randomized trials following  
336 mRECIST assessment will be available, allowing this a meta-analysis approach comparing  
337 the Pearson correlation coefficient of ORR, TTP or other surrogate end-points with OS [36–  
338 40].

339 In conclusion, these results provide high-level evidence, suggesting that radiological  
340 response in advanced HCC by mRECIST captures clinically meaningful outcomes in terms  
341 of OS and therefore, if confirmed in other future studies at individual and trial-level [36–40],

342 objective response can be proposed as a complementary surrogate end-point for the  
343 efficient development of clinical trials.

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Author names in bold designate shared co-first authorship.

**Table 1. Univariate and multivariate time-dependent analysis of OS in BRISK-PS patients who could be assessed for tumor response.**

	Univariate analysis		Multivariate analysis	
	HR [95% CI]	<i>P</i> value	HR [95% CI]	<i>P</i> value
Distant metastasis	1.27 [0.96 - 1.67]	0.094	1.37 [1.05 - 1.78]	<b>0.019</b>
Macrovascular invasion	1.77 [1.33 - 2.34]	< 0.001	1.54 [1.19 - 1.99]	<b>0.001</b>
Nodal metastasis	1.52 [1.17 - 1.99]	0.002	1.36 [1.07 - 1.73]	<b>0.013</b>
AFP > 200ng/ml	2.02 [1.55 - 2.62]	< 0.001	1.99 [1.56 - 2.54]	<b>&lt; 0.001</b>
Albumin > median <sup>1</sup>	0.58 [0.45 - 0.75]	< 0.001	0.65 [0.51 - 0.83]	<b>0.001</b>
Bilirubin > median <sup>2</sup>	2.32 [1.78 - 3.03]	< 0.001	2.24 [1.73 - 2.89]	<b>&lt; 0.001</b>
OR mRECIST	0.28 [0.14 - 0.54]	< 0.001	0.48 [0.26 - 0.91]	<b>0.025</b>

<sup>1</sup> 3.59g/dl, <sup>2</sup> 0.98mg/dl. OR: Objective response.

Variables with *p* value > 0.10 in univariate analysis were reason for sorafenib discontinuation, ECOG PS score, region, age, sex, race and risk factors.

**Table 2. Univariate and multivariate time-dependent analysis of OS in patients treated with brivanib and who could be assessed for tumor response in BRISK-PS.**

	Univariate analysis		Multivariate analysis	
	HR [95% CI]	P value	HR [95% CI]	P value
Distant metastasis	1.51 [1.06 - 2.16]	0.022	1.35 [0.97 - 1.89]	0.076
Macrovascular invasion	1.85 [1.33 - 2.57]	< 0.001	1.64 [1.20 - 2.24]	<b>0.002</b>
Nodal metastasis	1.60 [1.16 - 2.22]	0.005	1.30 [0.96 - 1.77]	0.086
AFP > 200ng/ml	2.16 [1.56 - 2.99]	< 0.001	1.97 [1.44 - 2.69]	<b>&lt; 0.001</b>
Albumin > median <sup>1</sup>	0.56 [0.41 - 0.77]	< 0.001	0.58 [0.43 - 0.80]	<b>0.001</b>
Bilirubin > median <sup>2</sup>	2.57 [1.85 - 3.57]	< 0.001	2.31 [1.68 - 3.18]	<b>&lt; 0.001</b>
OR mRECIST	0.31 [0.16 - 0.60]	< 0.001	0.50 [0.25 - 0.99]	<b>0.047</b>

<sup>1</sup> 3.59g/dl, <sup>2</sup> 0.98mg/dl. OR: Objective response.

Variables with p value > 0.10 in univariate analysis were reason for sorafenib discontinuation, ECOG PS score, region, age, sex, race and risk factors.

**Table 3. Baseline demographics and disease characteristics in patients with and without objective response by mRECIST after treatment with brivanib.**

	<b>OR (n=26)</b>	<b>No OR (n=200)</b>	<b>P value</b>
Age (median), years	63 [36–76]	63 [19–85]	0.933
Sex			
Male	23 (88.5)	165 (82.5)	0.583
Female	3 (11.5)	35 (17.5)	
Race			
White	13 (50.0)	84 (42.0)	0.530
Asian	11 (42.3)	103 (51.5)	0.380
Black/African American	0 (0)	10 (5.0)	0.380
Other	2 (7.7)	3 (1.5)	0.100
Region			
America & Europe	16 (61.5)	110 (55.0)	0.675
Asia	10 (38.5)	90 (45.0)	
Risk factors*			
Alcoholic liver disease	6 (23.1)	20 (10.0)	0.093
Hepatitis B	7 (26.9)	80 (40.0)	0.284
Hepatitis C	7 (26.9)	43 (21.5)	0.615
Other	2 (7.7)	7 (3.5)	0.277
Child-Pugh class			
A	26 (100)	189 (94.5)	0.620
B	0 (0)	11 (5.5)	
ECOG PS score			
0	21 (80.8)	125 (62.5)	0.082
1/2	5 (19.2)	75 (37.5)	
Reason for sorafenib discontinuation			
Progression	21 (80.8)	177 (88.5)	0.337
Intolerance	5 (19.2)	23 (11.5)	
BCLC stage			
A/B	9 (34.6)	18 (9.0)	<b>0.001</b>
C	17 (65.4)	182 (91.0)	
Distant metastasis	9 (34.6)	142 (71.0)	<b>0.001</b>
Nodal metastasis	7 (26.9)	76 (38.1)	0.387
Macrovascular invasion	8 (30.8)	61 (30.5)	1.000
AFP (median), ng/ml	24 [2–9101]	353 [1–1.2x10 <sup>6</sup> ]	<b>0.001</b>
Albumin (median), g/dl	4.0 [3.0–4.4]	3.5 [2.1–5.0]	<b>0.002</b>
Bilirubin (median), mg/dl	0.9 [0.4–5.7]	0.98 [0.2 – 15.2]	0.191

OR: Objective response. \*54 patients with more than one risk factor were excluded. (%). [range].

## **Figure legends**

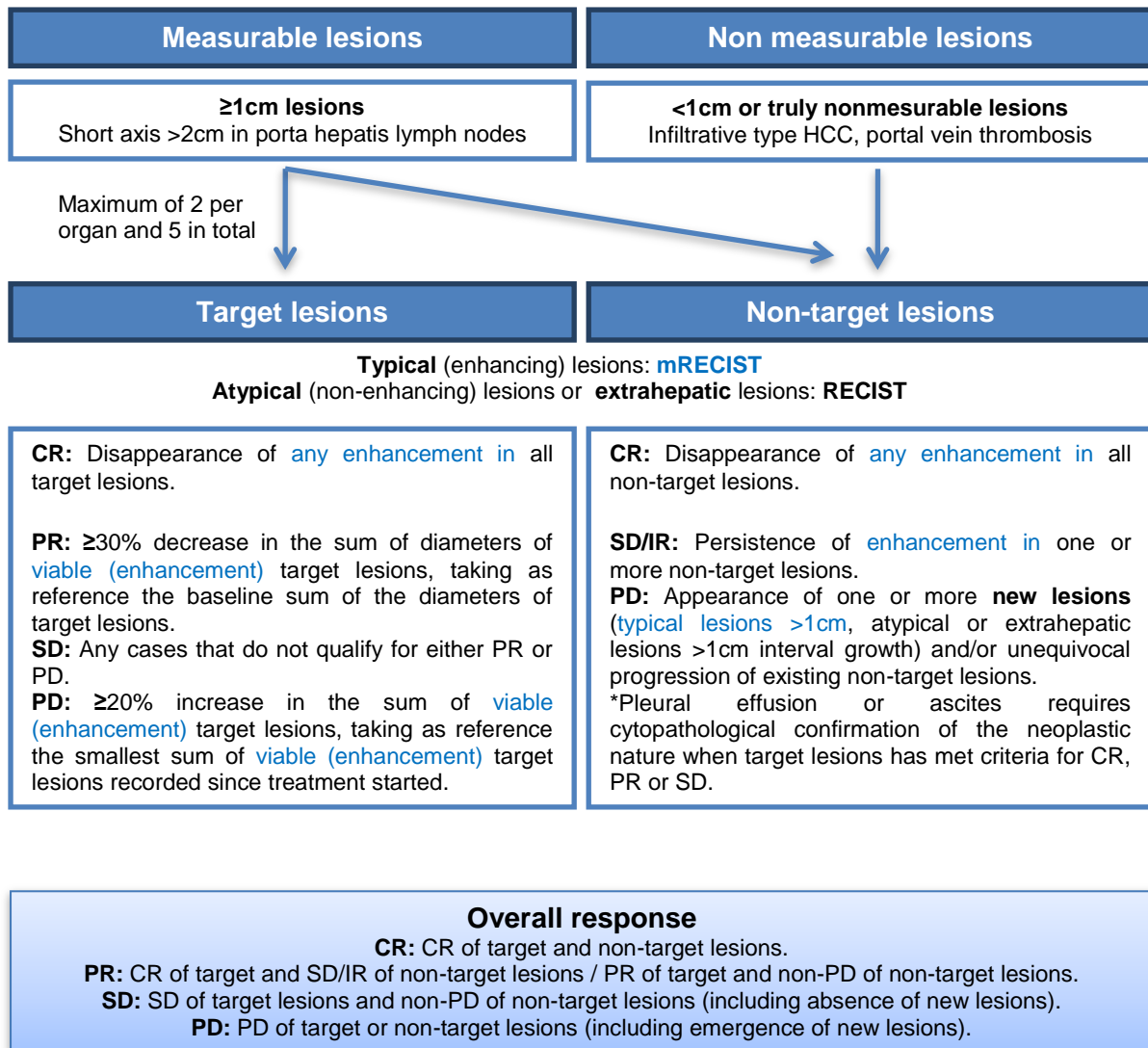
**Fig. 1. Response assessment in HCC by mRECIST following the AASLD JNCI Guidelines (adapted from ref 8).** CR: Complete response. PR: Partial response. SD: Stable disease. PD: Progressive disease. IR: Incomplete response.

**Fig. 2. Landmark Kaplan-Meier curve of OS between patients with response or not by mRECIST in BRISK-PS (A) and in those treated with brivanib (B).** *P* value according to Mantel-Byar test.

**Fig. 3. Correlation between raw survival probability using deciles and odds of ORR in brivanib patients within BRISK-PS.** Each one of the ten subgroups sorted by worse to better outcome has an observed ORR. The central regression line is their association. Internal and external 95% CI bands identify the uncertainty for expected value of the dependent variable and for the individual predicted value, respectively.  
Deciles of Survival Probability= $-1.293-2.261*\log\text{Odds}(\text{ORR})$ .

**Fig. 4. Correlation between HR for OS and odds ratio for ORR in five random subsamples of patients within BRISK-PS.** The central regression line is their association. Internal and external 95% CI bands identify the uncertainty for expected value of the dependent variable and for the individual predicted value, respectively.  
 $\ln(\text{HR for OS})=0.621 -1.139*\ln(\text{Odds Ratio for ORR})$ .

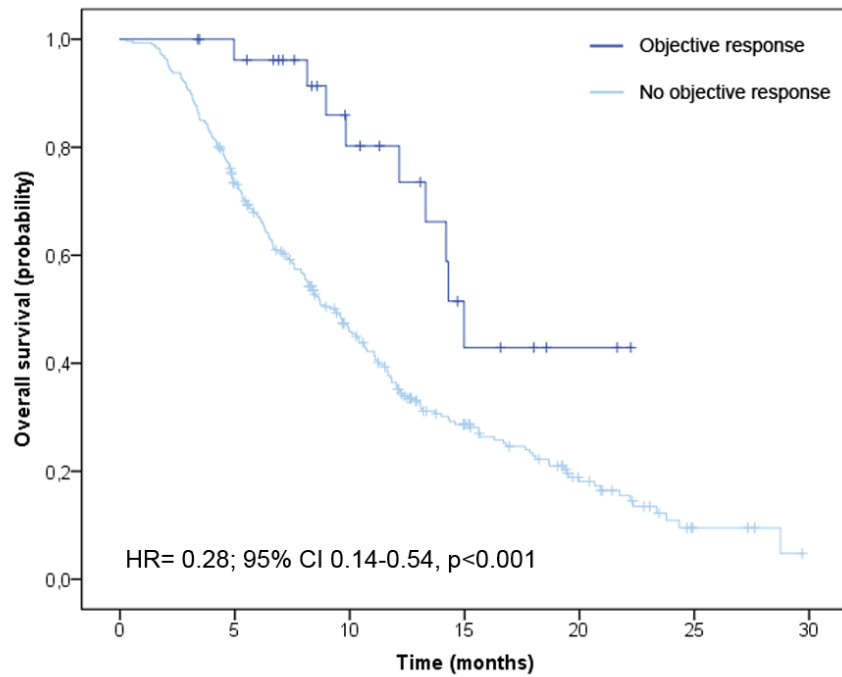
Fig. 1





**Fig. 2**

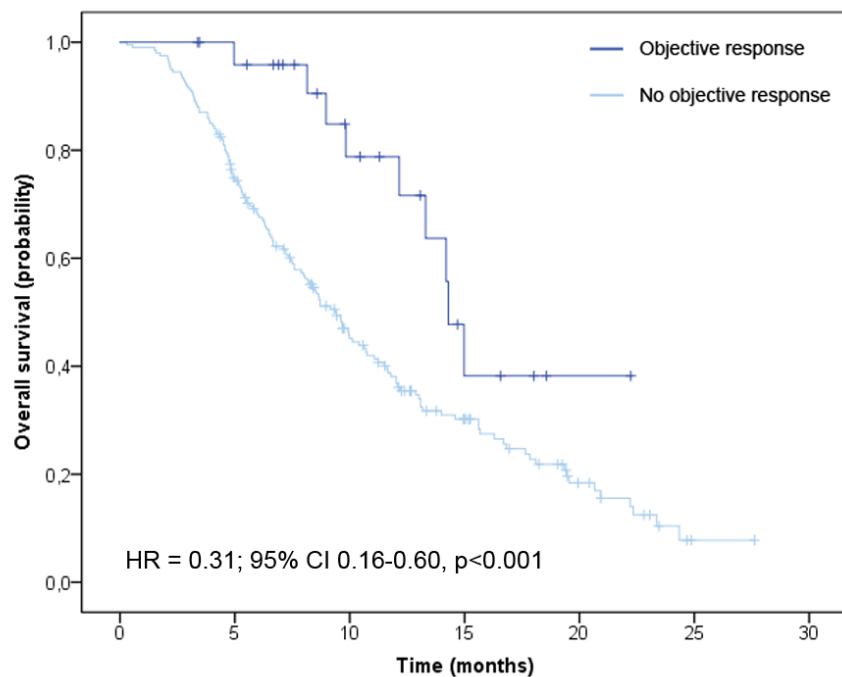
**A**



No. at risk

	0	5	10	15	20	25	30
Objective response	28	25	14	5	2		
No objective response	306	216	115	55	23	4	

**B**



No. at risk

	0	5	10	15	20	25	30
Objective response	26	23	13	4	1		
No objective response	200	144	72	36	14	1	

**Fig. 3**

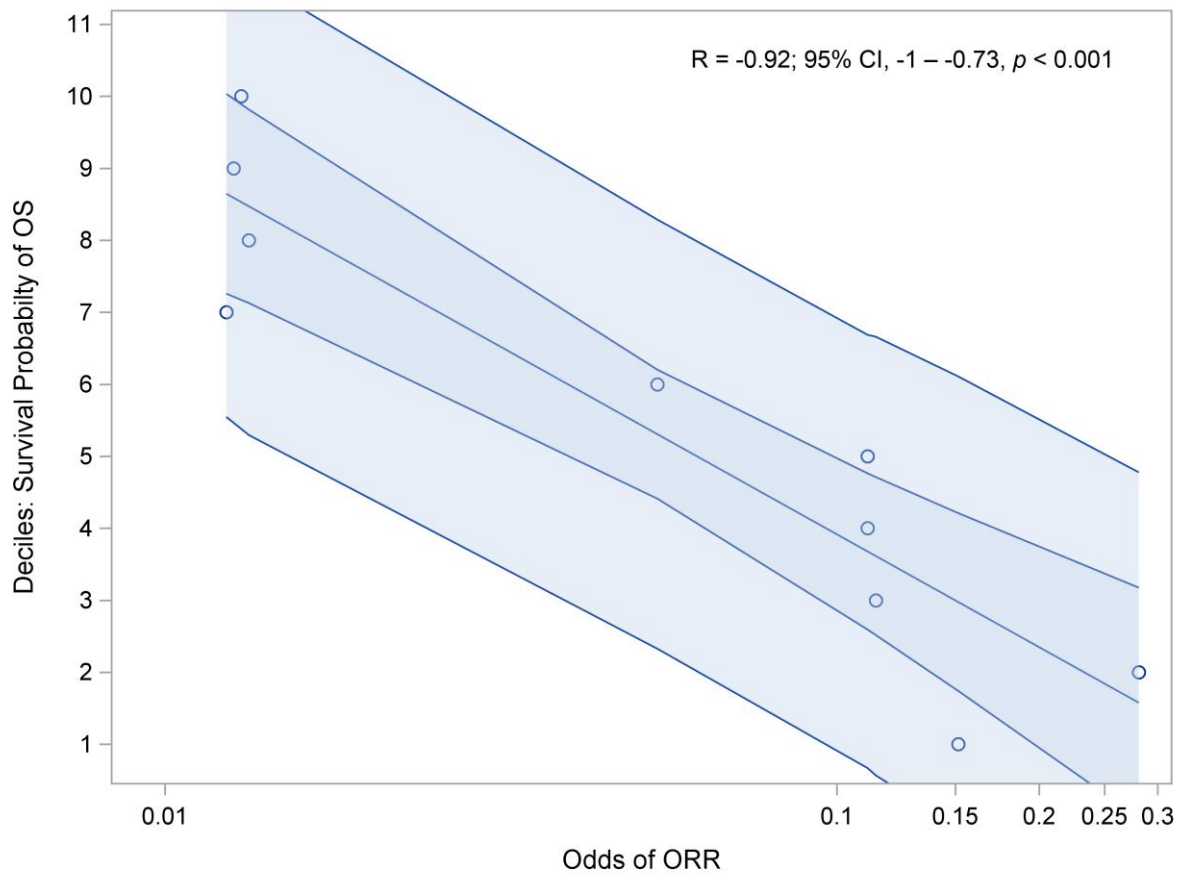


Fig. 4

