

ORIGINAL ARTICLE

Pooled ctDNA analysis of MONALEESA phase III advanced breast cancer trials

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Available online 5 September 2023

Background: The phase III MONALEESA trials tested the efficacy and safety of the cyclin-dependent kinase (CDK)4/6 inhibitor ribociclib with different endocrine therapy partners as first- or second-line treatment of hormone receptor–positive/human epidermal growth factor receptor 2–negative advanced breast cancer (ABC). Using the largest pooled biomarker dataset of the CDK4/6 inhibitor ribociclib in ABC to date, we identified potential biomarkers of response to ribociclib.

Patients and methods: Baseline circulating tumour DNA from patients in the MONALEESA trials was assessed using next-generation sequencing. An analysis of correlation between gene alteration status and progression-free survival (PFS) was carried out to identify potential biomarkers of response to ribociclib.

Results: Multiple frequently altered genes were identified. Alterations in *ERBB2*, *FAT3*, *FRS2*, *MDM2*, *SFRP1*, and *ZNF217* were associated with a greater PFS benefit with ribociclib versus placebo. Patients with high tumour mutational burden (TMB) and with *ANO1*, *CDKN2A/2B/2C*, and *RB1* alterations exhibited decreased sensitivity to ribociclib versus placebo.

Conclusions: Although exploratory, these results provide insight into alterations associated with the improved response to ribociclib treatment and may inform treatment sequencing in patients with actionable alterations following progression on CDK4/6 inhibitors. Validation of potential biomarkers identified here and development of prospective trials testing their clinical utility are warranted.

ClinicalTrials.gov identifiers: NCT01958021, NCT02422615, NCT02278120.

Key words: CDK4/6 inhibitor, advanced breast cancer, progression-free survival, ribociclib, biomarkers

INTRODUCTION

Cell cycle regulatory mechanisms are proven therapeutic targets in breast cancer.¹ Cyclin-dependent kinase 4 (CDK4) is dysregulated in most hormone receptor–positive (HR+) breast cancers.² CDK4 phosphorylates and inactivates retinoblastoma protein (encoded by the *RB1* gene), promoting G₁ to S phase transition.³ CDK4 is activated upon coupling to cyclin D1—a transcriptional target of the oestrogen receptor (ER) and mitogenic signalling pathways.⁴ CDK4 activation also results from p16 (encoded by the *CDKN2A* gene)

inactivation.⁴ Given the reported role of CDK4 in endocrine therapy (ET) resistance mechanisms and that inhibitors of CDK4 have decreased proliferation of HR+ breast cancer cells, CDK4/6 inhibitors (CDK4/6i) were developed for treating HR+ advanced breast cancer (ABC).^{1,5}

CDK4/6i improve progression-free survival (PFS) in patients with HR+/human epidermal growth factor receptor 2–negative (HER2–) ABC; significant overall survival benefits have been demonstrated by abemaciclib plus ET in MONARCH-2 and by ribociclib plus ET in the MONALEESA-2, MONALEESA-3, and MONALEESA-7 trials.^{6–10} Minimal clinical biomarker data are available to support identification of patients who might exhibit enhanced or reduced benefit from CDK4/6i. *CCNE1* overexpression was associated with decreased sensitivity to palbociclib plus fulvestrant in analyses of patients with HR+/HER2– ABC in PALOMA 3 (*n* = 302) and PEARL (*n* = 219).^{11,12} While these preliminary data

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suggest that expression of some genes could predict efficacy of CDK4/6i, there is no large amount of clinical evidence that DNA alterations predict response to CDK4/6i. Genomic alterations, including *FGFR1* amplification, *PTEN* loss, *CDK6* amplification, *RB1* loss, and *FAT1* loss, were reported to mediate CDK4/6i resistance in preclinical models and limited clinical samples but have not translated into validated predictive clinical biomarkers.¹³⁻²⁶ Using a large pooled biomarker dataset from three phase III trials, we assessed the predictive value of genomic alterations for efficacy of ribociclib, a CDK4/6i that preferentially inhibits CDK4 versus CDK6, in patients with HR+/HER2– ABC.^{27,28}

PATIENTS AND METHODS

Trials and patients

The analysis population consisted of patients enrolled in the MONALEESA-2, MONALEESA-3, and MONALEESA-7 trials, the details of which have been previously published (MONALEESA-2, NCT01958021; MONALEESA-3, NCT02422615; MONALEESA-7, NCT02278120).^{9,29-31} In brief, the MONALEESA trials were randomized, placebo-controlled, international, double-blind, phase III studies that evaluated ribociclib plus ET versus placebo plus ET in patients with HR+/HER2– ABC. The ET partners used in MONALEESA-2, MONALEESA-3, and MONALEESA-7 were letrozole, fulvestrant, and a nonsteroidal aromatase inhibitor (NSAI) or tamoxifen, respectively. The MONALEESA-2 trial assessed the efficacy of ribociclib plus letrozole versus placebo plus letrozole for postmenopausal patients who received no prior therapy in the ABC setting.³⁰ The MONALEESA-3 trial tested ribociclib plus fulvestrant versus placebo plus fulvestrant for patients who received ≤ 1 prior line of ET in the ABC setting.³¹ The MONALEESA-7 trial evaluated ribociclib plus goserelin and either an NSAI or tamoxifen versus placebo plus goserelin and NSAI or tamoxifen for premenopausal or perimenopausal patients who received no prior ET for ABC and ≤ 1 line of chemotherapy in the ABC setting.²⁹ The primary endpoint of each MONALEESA trial was investigator-assessed PFS. Results of these analyses were previously reported.²⁹⁻³¹ In the analysis presented here, PFS was defined as the time from the date of randomization to the date of the first documented progression per local radiology assessment (RECIST version 1.1) or death from any cause. Genomic profiling by next-generation sequencing was an exploratory endpoint to characterize molecular alterations in circulating tumour DNA (ctDNA) and correlate these alterations with efficacy outcomes in the MONALEESA trials.

All patients in the MONALEESA trials provided written informed consent before enrolment. The study protocols, including any modifications, were approved by an independent ethics committee or institutional review board at each site. These trials were conducted in accordance with the Good Clinical Practice guidelines and Declaration of Helsinki. A steering committee made up of Novartis representatives and participating international investigators oversaw each study. Safety data were assessed by an

independent data-monitoring committee. This manuscript is compliant with REMARK reporting guidelines.

Biomarker sample collection and assessment of genetic alterations and tumour mutational burden

The analysis of samples from MONALEESA trials was carried out retrospectively. The investigators who carried out the biological experiments were blinded for clinical data. The strategy for biomarker analysis was developed before data were analysed. Additional details on the analysis of gene alterations are outlined in the ‘Statistical analysis’ section.

The sample size in the analysis was based on sample and data availability. The total sample size for each trial was determined for the primary endpoint of each trial. We then attempted to sequence all available baseline plasma ctDNA samples with adequate volume and then included all samples for which next-generation sequencing was successful (i.e. passed quality control measures). Given this, the biomarker analysis was not designed to detect a specified effect size at a target power.

Blood samples were collected in K2-EDTA blood collection tubes and processed within 30 min of the collection by centrifugation at 1600 *g* (± 150 *g*) for 10 min; the clear supernatant (plasma) was transferred to one fresh centrifuge tube and then centrifuged for another 10 min at 3000 *g* (± 150 *g*). The plasma aliquots were then stored in a -70°C or colder freezer and shipped in batches to the central laboratory on dry ice and stored in -70°C or colder freezers. There was no freeze-thaw before DNA extraction. Cell-free DNA was extracted from frozen plasma samples collected at baseline (before the initiation of study treatment) using the QIAamp Circulating Nucleic Acid Kit (Qiagen, Germantown, MD) and constructed into sequencing libraries with end repair, A-tailing, and PCR amplification (TruSeq Nano Library Preparation Kit, Illumina, San Diego, CA). Cell-free DNA was then sequenced on an Illumina HiSeq instrument targeted to a depth of $\times 1000$ coverage using a targeted panel of 558 genes including all exonic regions, select introns for translocation detection, and tiled regions for improved copy number calling. The limit of detection was determined to be 1% (Supplementary Figures S1 and S2, available at <https://doi.org/10.1016/j.annonc.2023.08.011>). Samples collected after first exposure of study treatment were removed. A total of 766 patients had a sample collected the same day as the first exposure to study treatment, and 411 patients had a plasma sample collected before the first exposure to study treatment (1/411 patients had samples collected between day -29 and day -44 ; 278/411 patients had samples collected between day -1 and day -28).

Single-nucleotide variants were identified using MuTect (Broad Institute, Cambridge, MA), and indels were identified using Pindel.^{32,33} PureCN was used to call copy number alterations while accounting for the ploidy and ctDNA fraction of the sample.³⁴ Amplifications were defined as ≥ 6 copies and ≥ 7 copies for focal and nonfocal events, respectively. Deletions were defined as 0 copies. Non-

frameshift mutations were defined as an insertion or deletion that does not cause a frameshift. Germline mutations and artefacts were filtered out using the publicly available dbSNP and ExAC databases. To remove artefacts, an internal database (Novartis Institutes for BioMedical Research) of normal circulating free DNA samples from 50 healthy individuals without cancer was used to estimate position-specific error rates and mutations were removed if they did not surpass the position-specific error rate. Variants with mutant allele fraction <1% were filtered out. Mutations/indels with an allelic fraction >40% and unknown functional significance were also removed because matched normal DNA was not sequenced. Synonymous mutations/indels were removed. To remove somatic mutations due to clonal haematopoiesis of indeterminate potential (CHIP), a classification approach was used to determine the CH status of each mutation/indel. Variants classified as CH positive were removed unless the variant was present at least 5 times in the breast cancer cohort of COSMIC.³⁵ To account for variability in levels of ctDNA shedding, patients with ctDNA fraction <1% were excluded from all analyses and ctDNA fraction was included as a covariate in all models.

Tumour mutational burden (TMB) was estimated as the number of somatic mutations per megabase using an established workflow.³⁶ The estimation includes synonymous and non-synonymous mutations in coding regions.

Statistical analysis

For statistical analyses, each gene in the ctDNA was classified in two ways. For the first approach, each gene was classified as altered if ≥ 1 alteration—defined as the presence of a copy number alteration, short insertion/deletion, or mutation—was detected and as wild-type (WT) if no alterations were detected. For the second approach, the classification focused on mutations/indels with known or likely functional significance and each gene was classified as altered if ≥ 1 alteration was detected and as WT if no alterations were detected. Correlative analyses were carried out for genes altered in $\geq 3\%$ of patients (68 genes from the first approach; 9 genes from the second approach) and genes of interest (*RB1*, *CDKN2A/B/C*, *BRCA1/2*, excluding amplifications) with respect to clinical outcome (PFS; Supplementary Figure S1, available at <https://doi.org/10.1016/j.annonc.2023.08.011>).

For key genes of interest (top predictive signals from predefined analysis or resistance genes reported in the literature), additional *ad hoc* analyses were carried out that focused on specific amino acid changes or types of alterations such as *PTEN* nonsense mutations and deletions, *NF1* nonsense and frameshift mutations, *FRS2/MDM2* amplifications, *BRCA1/2* alterations excluding amplifications and variants of unknown functional significance, *CDKN2A/B/C* loss-of-function variants (deletions, frameshift, nonsense).

TMB was divided into quartiles (Q1, 0-0.7; Q2, 0.7-1.3; Q3, 1.3-3.3; Q4, >3.3 mutations/Mb) and a cut-off of 10 mutations/Mb.

To identify potential biomarkers of response and resistance, the relationship between each biomarker and PFS was assessed. PFS was evaluated instead of overall survival because PFS was the primary endpoint of the MONALEESA trials and, at the time of this analysis, overall survival data were available only for MONALEESA-3 and MONALEESA-7. Kaplan–Meier curves were generated, and median PFS [95% confidence interval (CI)] was estimated by treatment arm and biomarker status. A Cox proportional hazards model was used to estimate the HRs of treatment benefit (ribociclib versus placebo) for PFS by biomarker status. Differential treatment benefit of ribociclib versus placebo between alteration and WT genes was assessed by including an interaction term between treatment and biomarker in the Cox proportional hazards model. All Cox proportional hazards models were stratified by study and adjusted for ctDNA fraction as a covariate. A false discovery rate (FDR) adjustment was applied to the gene–treatment interaction *P* value. Results for biomarkers with a nominal gene–treatment interaction *P* value < 0.10 are discussed in the ‘Results’ section. This is an exploratory analysis; thus, results are hypothesis generating. Additional research is needed to confirm the signals.

To compare patients with ctDNA fraction <1% versus $\geq 1\%$, a Fisher’s exact test was used to test the association with demographic and clinical variables. A Cox proportional hazards model stratified by study was used to assess the relationship between ctDNA fraction categories and PFS.

All statistical analyses were carried out using the R package.³⁷

RESULTS

Patient characteristics and genomic landscape per circulating tumour DNA analysis

Next-generation sequencing data were generated for 1674 baseline plasma ctDNA samples; among these, 1045 patients with ctDNA fraction $\geq 1\%$ were analysed. Patient characteristics and treatment efficacy were similar in the biomarker ($n = 1045$) and overall ($N = 2066$) populations (Supplementary Table S1, available at <https://doi.org/10.1016/j.annonc.2023.08.011>). In the biomarker population, 68 genes were altered in $\geq 3\%$ of patients (Figure 1). Some of the most frequently altered genes were *PIK3CA* (42%), *TP53* (21%), *FGF4* (15%), *FGF3* (15%), *ANO1* (14%), *FGF19* (14%), *CCND1* (13%), *ZNF703* (12%), *ADGRA2* (11%), *CDH1* (11%), and *WHSC1L1* (11%). Median PFS with corresponding hazard ratios (HRs) for treatment benefit was determined for each genetic subgroup (Supplementary Table S2, available at <https://doi.org/10.1016/j.annonc.2023.08.011>).

Gene alterations associated with increased sensitivity to ribociclib treatment

Genes with a nominal gene–treatment interaction <0.10 are reported in Figure 2 and discussed. Note that none of the genes survived a multiple testing correction (see FDR-

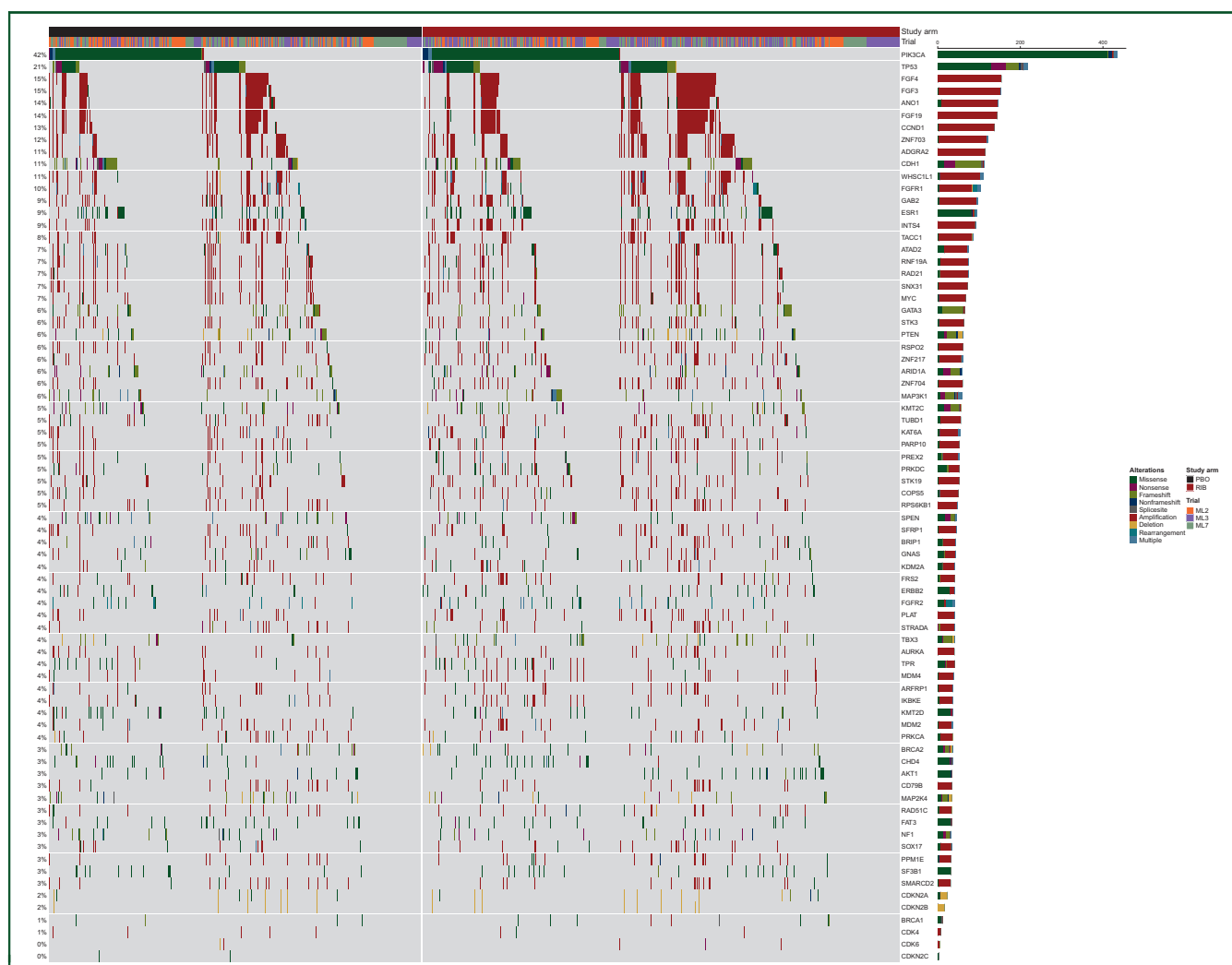


Figure 1. Oncoprint of genes altered in $\geq 3\%$ of patients and genes of interest. ML, MONALEESA; PBO, placebo; RIB, ribociclib.

adjusted P values in Figure 2). Ribociclib sensitivity was defined by PFS; genes with an alteration frequency of $\geq 3\%$ were assessed, as were several genes of interest, including *RB1*, *BRCA1/2* (excluding amplifications), and *CDKN2A/B/C*. Gene alterations associated with higher sensitivity to ribociclib (nominal P value for nominal gene–treatment interaction < 0.10) are reported in Figure 2A and Supplementary Figure S3A, available at <https://doi.org/10.1016/j.annonc.2023.08.011>. These include *ERBB2*, *FAT3*, *FRS2*, *MDM2*, *SFRP1*, and *ZNF217*. Alterations in these genes were generally associated with a poor response to placebo and an added benefit of ribociclib treatment (Figure 2B–E). *FRS2* and *MDM2* alterations were individually associated with high sensitivity ($P = 0.0714$ and $P = 0.0159$, respectively) (Figure 2F and G). *FRS2* and *MDM2*, located on the same amplicon (12q15), were co-amplified in 34/1045 patients (3%) (Supplementary Figure S3B, available at <https://doi.org/10.1016/j.annonc.2023.08.011>); no additional genes in this region were included in the panel; thus, amplification here may be a surrogate for amplifications somewhere within this region. Patients with co-amplified *FRS2/MDM2*

exhibited a greater reduction in disease progression with ribociclib versus placebo [HR = 0.23 (95% CI 0.11–0.51), $P = 0.0255$] (Figure 2H).

Gene alterations associated with lower sensitivity/relative resistance to ribociclib treatment

Gene alterations associated with lower sensitivity/relative resistance to ribociclib (P value for gene–treatment interaction < 0.10) are reported in Figure 3A and Supplementary Figure S3A, available at <https://doi.org/10.1016/j.annonc.2023.08.011>. These included *ANO1*, *CDKN2A/B/C*, and *RB1*. In patients with alterations in *ANO1* (147/1045; 14%), there was limited benefit of ribociclib versus placebo, with median PFS values of 10.5 versus 7.4 months [HR = 0.78 (95% CI 0.53–1.16); interaction $P = 0.0749$] (Figure 3B); however, the benefit of ribociclib over placebo was evident in patients with WT *ANO1* [HR = 0.53 (95% CI 0.44–0.63)]. For genes of interest though with lower alteration rate, *CDKN2A/B/C* alterations occurred in 27/1045 samples (3%). Patients with altered *CDKN2A/B/C* did not experience a benefit with ribociclib versus placebo [median PFS 6.5

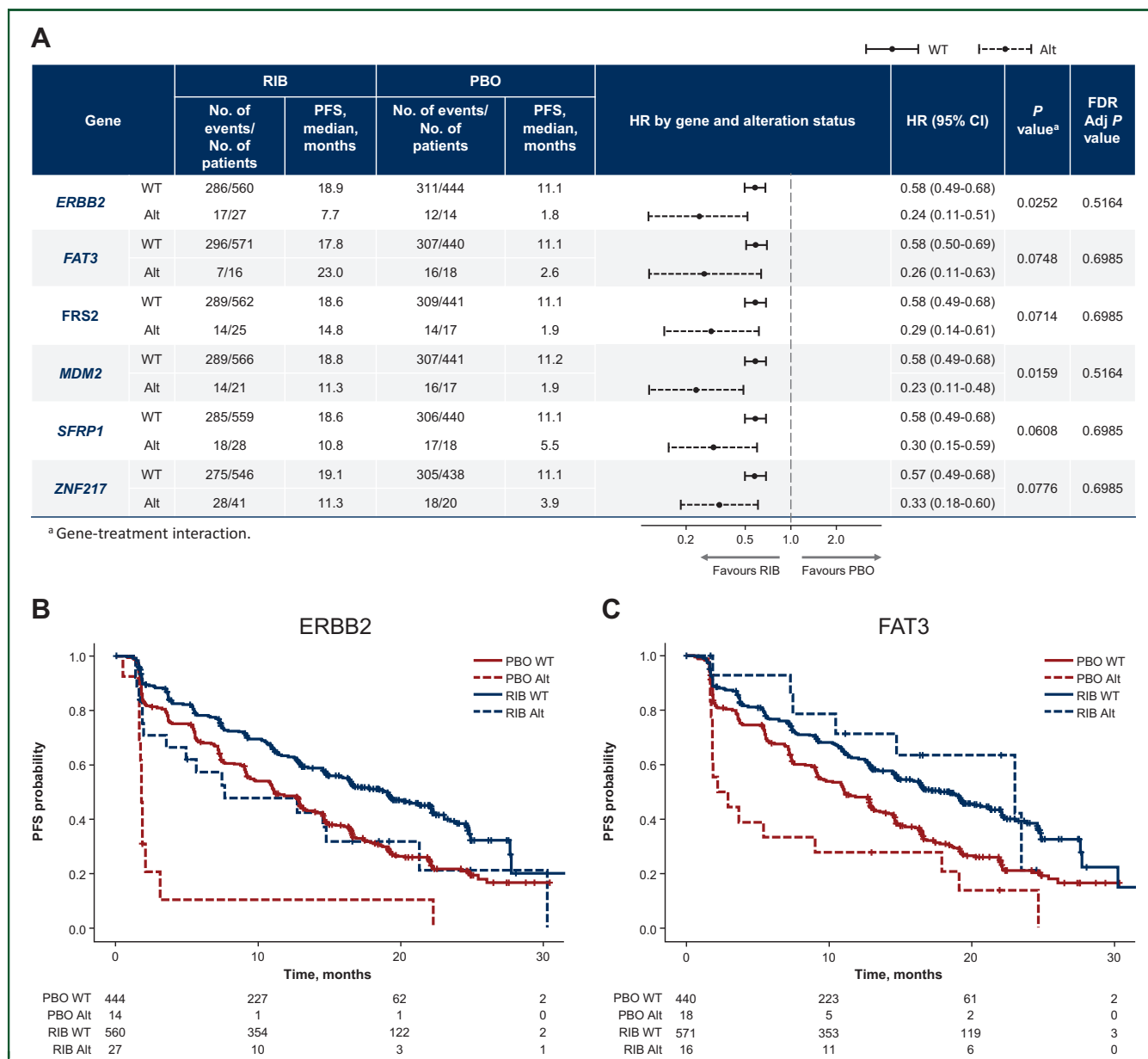


Figure 2. PFS in patients with gene alterations associated with improved outcomes with RIB. (A) Forest plot analysis of potential biomarkers of RIB response. (B) PFS by *ERBB2* Alt status. (C) PFS by *FAT3* Alt status. (D) PFS by *SFRP1* Alt status. (E) PFS by *ZNF217* Alt status. (F) PFS by *FRS2* amplification status. (G) PFS by *MDM2* Alt status. (H) PFS by *FRS2/MDM2* Alt status. (B-H) Kaplan–Meier curves for PFS in patients who exhibited alterations in the indicated genes in circulating tumour DNA. PFS in patients in the RIB treatment arm is shown in blue; PFS in patients in the PBO treatment arm is shown in red. The WT subgroup is indicated by a solid line, and the Alt subgroup is indicated by a dashed line. Number of patients at risk are displayed in the tables below each Kaplan–Meier curve. Adj, adjusted; Alt, alteration; CI, confidence interval; FDR, false discovery rate; HR, hazard ratio; PBO, placebo; PFS, progression-free survival; RIB, ribociclib; WT, wild-type.

versus 9.2 months; HR = 1.20 (95% CI 0.50-2.88); interaction *P* = 0.0874] (Figure 3C). Patients with *RB1* alterations (29/1045; 3%) experienced a decreased benefit with ribociclib versus placebo (Figure 3D), with a median PFS of 3.8 versus 9.2 months [HR = 1.48 (95% CI 0.65-3.38)] compared with that of 18.9 versus 11.1 months for those with WT *RB1* [HR = 0.56 (95% CI 0.47-0.66)].

Additional genes of interest

ESR1 alterations occurred in 92/1045 samples [9% overall, 5.7% in MONALEESA-2, 15.5% in MONALEESA-3 (3.6%-7.0% in the first-line setting, 17.8%-46.7% in the second-line

setting), and 3.8% in MONALEESA-7] (Supplementary Table S2, available at <https://doi.org/10.1016/j.annonc.2023.08.011>). While patients with *ESR1* alterations versus WT treated with placebo had poor PFS outcomes, a similar treatment benefit with ribociclib was observed with altered *ESR1* [HR = 0.49 (95% CI 0.31-0.78); median PFS for ribociclib versus placebo, 8.6 versus 3.7 months] or WT *ESR1* [HR = 0.57 (95% CI 0.48-0.68); median PFS for ribociclib versus placebo, 19.2 versus 11.4 months]. *FGFR1* alterations occurred in 92/1045 samples (9%) (Supplementary Table S2, available at <https://doi.org/10.1016/j.annonc.2023.08.011>). Patients benefited from ribociclib regardless of *FGFR1*

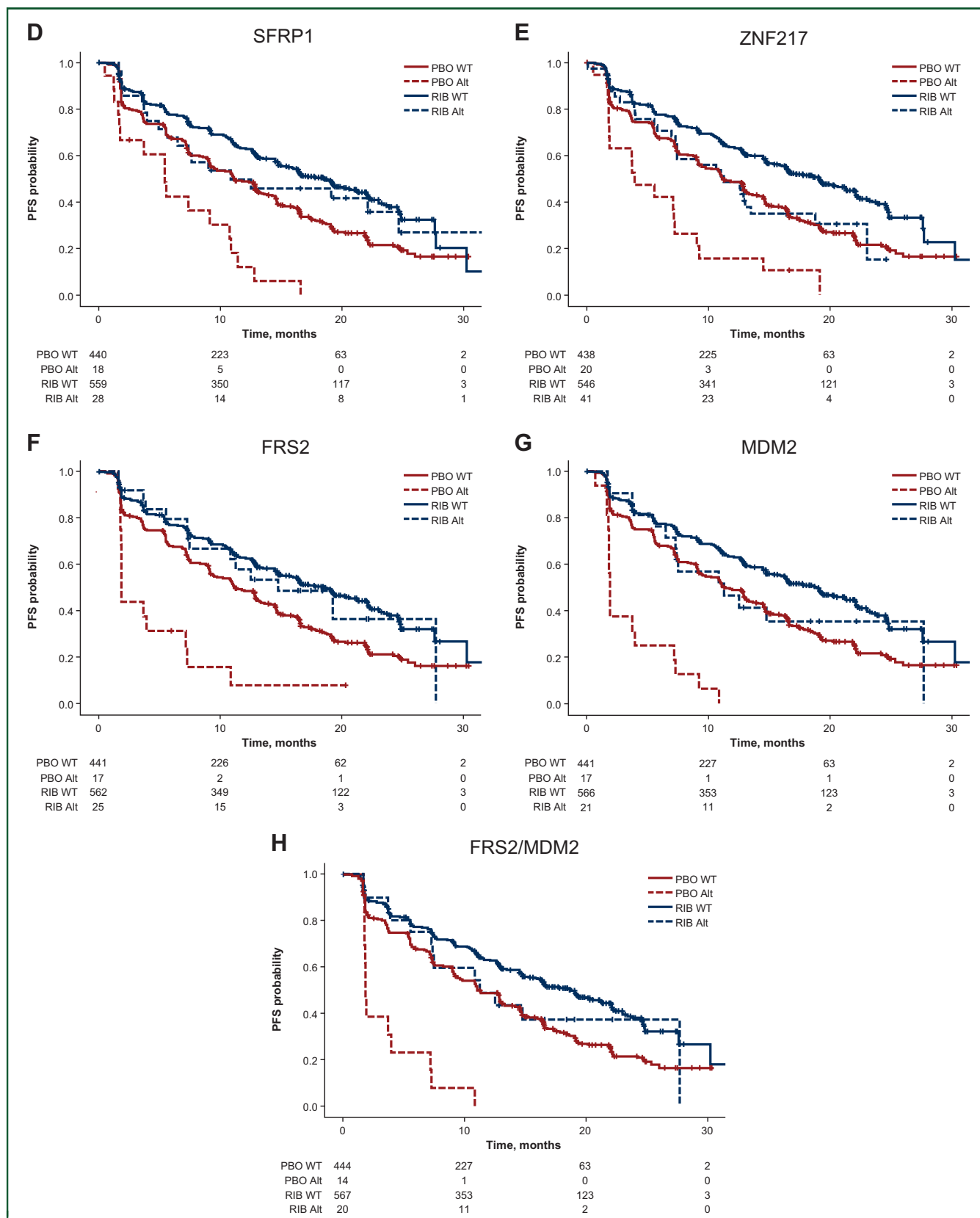


Figure 2. Continued.

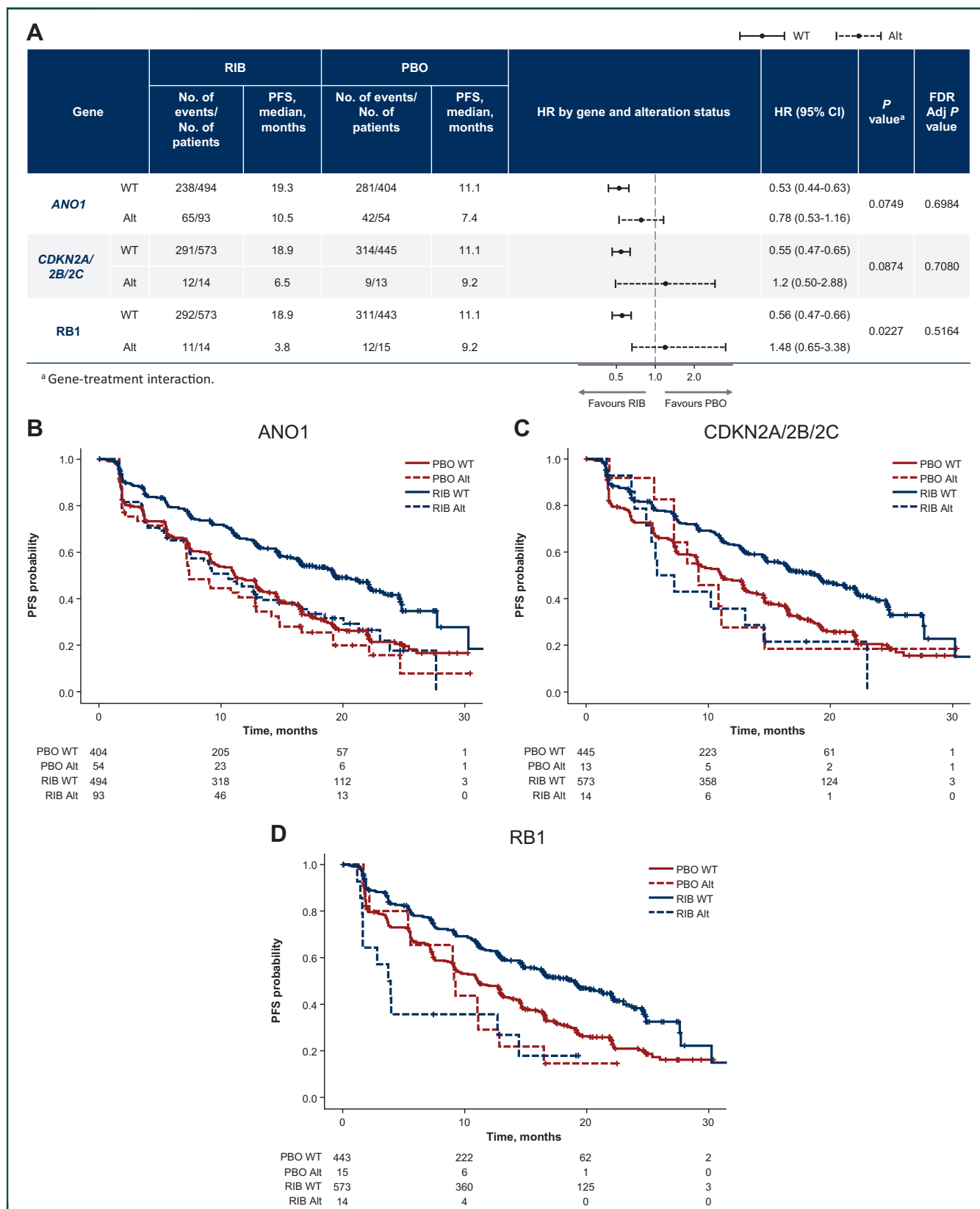


Figure 3. PFS in patients with gene alterations associated with decreased RIB activity.

(A) Forest plot analysis of potential biomarkers of RIB resistance. (B) PFS by *ANO1* Alt status. (C) PFS by *CDKN2A/2B/2C* Alt status. (D) PFS by *RB1* Alt status. (B-D) Kaplan–Meier curves for PFS in patients who exhibited alterations in the indicated genes in circulating tumour DNA. PFS in patients in the RIB treatment arm is shown in blue; PFS in patients in the PBO treatment arm is shown in red. The WT subgroup is indicated by a solid line, and the Alt subgroup is indicated by a dashed line. Number of patients at risk are displayed in the tables below each Kaplan–Meier curve.

Adj, adjusted; Alt, alteration; CI, confidence interval; FDR, false discovery rate; HR, hazard ratio; PBO, placebo; PFS, progression-free survival; RIB, ribociclib; WT, wild-type.

alterations [altered: HR = 0.44 (95% CI 0.28-0.71); WT: HR = 0.57 (95% CI 0.48-0.68)]. With ribociclib versus placebo, median PFS was 18.9 versus 11.1 months in patients with WT *FGFR1* and 11.0 versus 6.1 months in patients with altered *FGFR1*. *BRCA1/2* alterations (excluding amplifications) occurred in 43/1045 samples (4%) (Supplementary Table S2, available at <https://doi.org/10.1016/j.annonc.2023.08.011>). Median PFS in patients with altered *BRCA1/2* was 14.6 months with ribociclib and 8.1 months with placebo [HR = 0.38 (95% CI 0.19-0.76)]; in patients with WT *BRCA1/2*, it was 18.8 months with ribociclib and 11.1 months with placebo [HR = 0.58 (95% CI 0.49-0.68)]. *BRCA2* alterations occurred in 36/1045 samples (3%). Regardless of *BRCA2* alteration status, the benefit of ribociclib was observed over placebo, similar to that observed in patients with alterations in *BRCA1/2* (Supplementary Table S2, available at <https://doi.org/10.1016/j.annonc.2023.08.011>). *AURKA* alterations were identified in 40/1045 samples (4%) (Supplementary Table S2, available at <https://doi.org/10.1016/j.annonc.2023.08.011>). Benefit with ribociclib was observed regardless of alteration status [altered: HR = 0.34 (95% CI 0.17-0.69); WT: HR = 0.57 (95% CI 0.49-0.68)]. *PTEN* loss (nonsense mutation or gene deletion) was observed in 19/1045 patients (2%) and was associated with worse prognosis, regardless of treatment (Supplementary Table S2, available at <https://doi.org/10.1016/j.annonc.2023.08.011>). In these patients, median PFS was 8.9 months with ribociclib and 10.9 months with placebo (HR, not estimable). *NF1* alterations were observed in 34/1045 samples (3%), of which 16/34 were nonsense/frameshift alterations (Supplementary Table S2, available at <https://doi.org/10.1016/j.annonc.2023.08.011>). Overall, patients with *NF1* alterations responded poorly to placebo versus ribociclib [median PFS 1.8 versus 13 months; HR = 0.32 (95% CI 0.15-0.68)], and this was particularly evident in those with nonsense/frameshift *NF1* alterations (median PFS 1.8 versus 23.5 months; HR, not estimable).

ctDNA fraction analysis

An analysis of patients with <1% versus ≥1% ctDNA fraction was undertaken. There were no significant differences between treatment arms in ctDNA fraction representativeness (Supplementary Table S3, available at <https://doi.org/10.1016/j.annonc.2023.08.011>). Patients with <1% ctDNA fraction generally had a more favourable best overall response, lower rate of prior chemotherapy and prior hormone therapy, higher frequency of *de novo* disease, better Eastern Cooperative Oncology Group (ECOG) performance status, and were composed of a slightly higher percentage of whites and a lower percentage of Asians. Total target lesion diameter at baseline was lower among patients with a ctDNA fraction <1% ($P < 0.0001$) (Supplementary Figure S4A, available at <https://doi.org/10.1016/j.annonc.2023.08.011>) and higher ctDNA fraction was prognostic of poorer PFS regardless of treatment (Supplementary Figure S4B, available at <https://doi.org/10.1016/j.annonc.2023.08.011>).

2023.08.011). The PFS benefit of ribociclib over placebo was observed regardless of ctDNA fraction.

Tumour mutational burden and efficacy of ribociclib

TMB was estimated in 1045 patients and the predictive relationship with PFS was assessed (Figure 4). There was no significant difference in TMB between arms, but TMB was lower in MONALEESA-7 than in MONALEESA-2 and MONALEESA-3. Higher TMB has been associated with increased age; thus, this observation could be explained by the enrolment of premenopausal patients in MONALEESA-7 (Supplementary Figure S5, available at <https://doi.org/10.1016/j.annonc.2023.08.011>).³⁸ The P value for interaction between TMB quartile and treatment effect was 0.0498. The benefit of ribociclib was observed across all quartiles, but the magnitude of benefit was weakest in the top quartile (HR = 0.74). A relative reduction in the efficacy of ribociclib versus placebo was observed with TMB >10 mutations/Mb [$n = 34$; median PFS 7.5 versus 5.1 months; HR = 0.59 (95% CI 0.22-1.57)]; this was consistent with the results in the top quartile in which the median PFS for ribociclib versus placebo was 9.2 versus 7.4 months [HR = 0.74 (95% CI 0.56-0.99)]. Higher TMB was prognostic of worse PFS regardless of treatment (Supplementary Figure S6, available at <https://doi.org/10.1016/j.annonc.2023.08.011>).

DISCUSSION

This is the largest pooled biomarker analysis characterizing the correlation between genomic alterations in baseline ctDNA and clinical efficacy of a CDK4/6i.

This analysis has implications for further clinical research and practice, including identification of patients with CDK4/6i-resistant tumours. Consistent with preclinical studies showing that *RB1* mutations confer CDK4/6i resistance, patients with *RB1* mutations demonstrated little PFS benefit with ribociclib [HR = 1.48 (95% CI 0.65-3.38)], although alterations in *RB1* occurred in 3% of patients.³⁹ Patients with loss-of-function alterations of *CDKN2A/B/C* had numerically shorter PFS treated with ribociclib compared with placebo; this is in contrast with reported preclinical observations.^{40,41} Compared with WT, alterations in *ANO1* were observed to be associated with lower ribociclib sensitivity. Among patients with alterations associated with decreased sensitivity to ribociclib, PFS with ET was in the same range as that observed in patients without alteration, suggesting that these genes could be involved in CDK4/6i but not ET resistance. Additionally, when the *PTEN* analysis was restricted to nonsense mutations or gene deletions ($n = 19$), median PFS was shorter with ribociclib than ET alone in patients with altered *PTEN*, implicating *PTEN* loss-of-function mutations as potential biomarkers of ribociclib resistance. These data are consistent with prior studies and could provide rationale to combine PI3K pathway inhibitors, CDK4/6i, and ET in patients with *PTEN* loss-of-function mutations.¹⁴ As previously reported, *PIK3CA* mutations were not predictive of CDK4/6i efficacy.^{42,43}

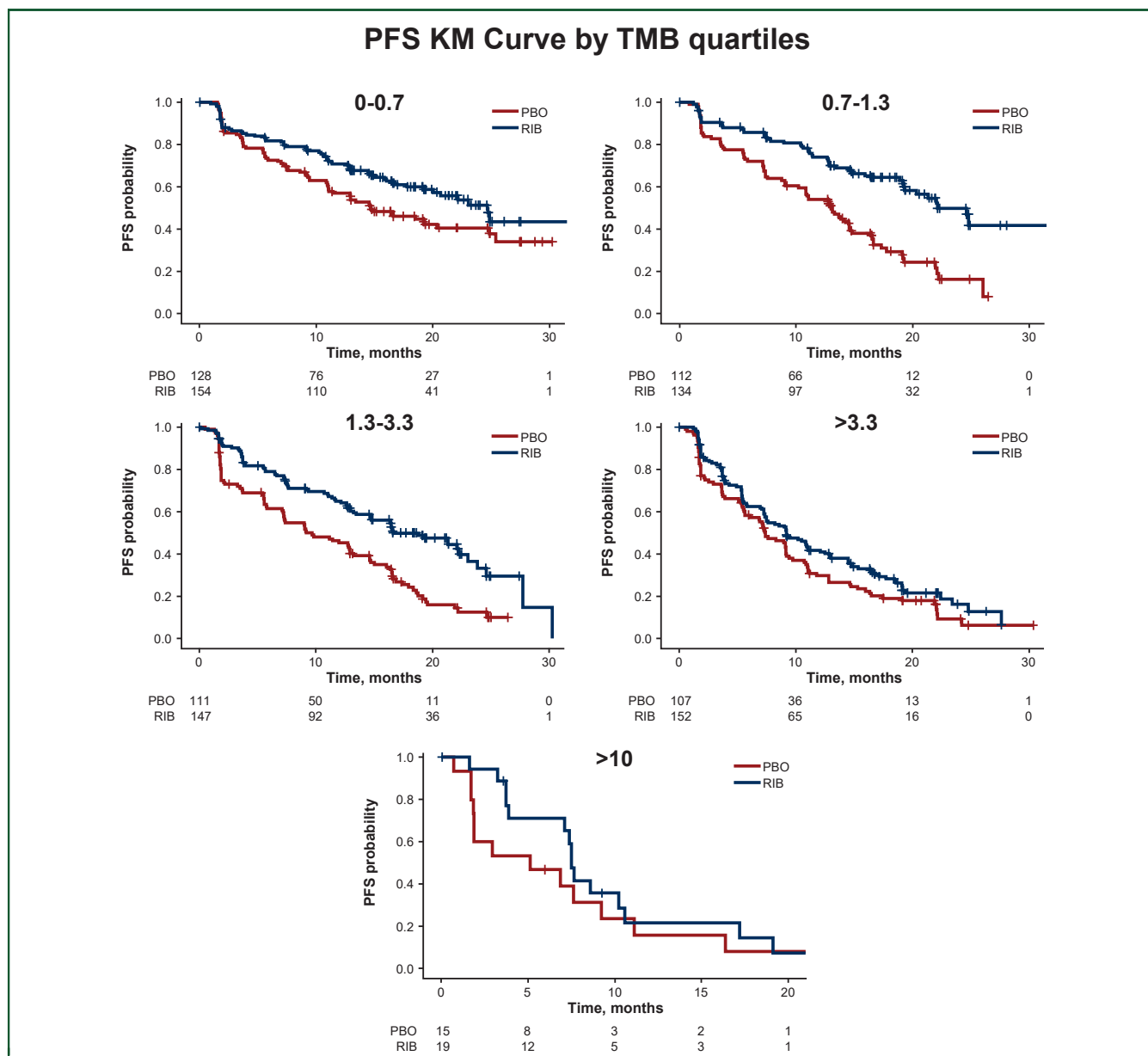


Figure 4. Prognostic and predictive relationship between PFS and TMB. PFS by TMB. PFS in patients in the RIB treatment arm is shown in blue; PFS in patients in the PBO treatment arm is shown in red. HR (95% CI) estimates and median PFS (95% CI) values are shown in the corresponding table. CI, confidence interval; HR, hazard ratio; KM, Kaplan–Meier; NA, not available; PBO, placebo; PFS, progression-free survival; Q, quartile; RIB, ribociclib; TMB, tumour mutational burden.

ERBB2, *FAT3*, *FRS2*, *MDM2*, *SFRP1*, and *ZNF217* alterations were associated with sensitivity to ribociclib treatment. Patients treated with ET alone with alterations in these genes had a shorter PFS than those with WT genes, suggesting that these genes are associated with ET resistance. Although these alterations are associated with ET resistance, the addition of a CDK4/6i appears to reverse the resistance leading to a large relative increase in PFS. An interesting observation is that, while *MDM2* alterations were associated with sensitivity to ribociclib and met the interaction $P < 0.10$ threshold, *TP53* alterations did not meet this threshold. The results of *MDM2* may be related to the fact that *MDM2* and *FRS2* were co-amplified, with *FRS2* being the potential driver of the ribociclib benefit observed.

With respect to additional genes of interest, in the case of *ESR1* and *FGFR1*, while a benefit was observed for ribociclib over ET alone regardless of whether an alteration was present, those with alterations in these genes had a shorter PFS, regardless of treatment. The identification of genomic alterations associated with sensitivity to CDK4/6i could help identify which patients derive benefit from CDK4/6i in the adjuvant setting.

Higher baseline purity/ctDNA levels have been shown to be prognostic of poor response and to correlate with prognostic clinical factors.^{44,45} In this analysis, we found that a ctDNA fraction of $<1\%$ was associated with a more favourable best overall response, lower rates of prior chemotherapy and prior hormone therapy, higher

TMB quartile	Treatment	n/N	PFS, median, months	PFS 95% CI	HR (95% CI)
Q1 (0-0.7)	PBO	71/128	14.69	11.01-20.30	0.63 (0.45-0.88)
	RIB	63/154	24.67	19.19-NA	
Q2 (0.7-1.3)	PBO	79/112	13.11	10.25-14.59	0.43 (0.30-0.60)
	RIB	53/134	22.14	19.35-NA	
Q3 (1.3-3.3)	PBO	86/111	9.17	7.20-12.91	0.47 (0.35-0.64)
	RIB	78/147	16.59	13.47-22.21	
Q4 (>3.3)	PBO	87/107	7.43	5.65-9.17	0.74 (0.56-0.99)
	RIB	109/152	9.23	7.36-11.07	
TMB >10	PBO	14/15	5.1	1.7-9.2	0.59 (0.22-1.57)
	RIB	15/19	7.5	3.7-10.5	

Figure 4. Continued.

frequency of *de novo* disease, and better ECOG performance status. We also observed that ctDNA fraction <1% was associated with a lower total target lesion diameter at baseline and was prognostic of better PFS; however, the benefit of ribociclib was observed over ET alone regardless of ctDNA fraction.

While ribociclib generally demonstrated benefit in patients with TMB in lower quartiles (Q1-Q4), it was weakest in the top quartile, and patients with TMB >10 did not experience a clinically relevant benefit with ribociclib. These patients therefore represent a large unmet need, and there remains a necessity to develop prospective clinical trials testing new drugs in this population. A basket study recently showed that pembrolizumab is effective in patients with high TMB, irrespective of tumour origin.⁴⁶ Prior reports suggested that patients with HR+, TMB-high metastatic cancers could be responsive to anti-programmed cell death protein 1 antibodies.⁴⁷ These findings challenge the conventional sequence of therapy in HR+ ABC, for which consensus groups suggest that patients should start with ET.⁴⁸ Thus, there is rationale to test cytotoxic agents and immunotherapies in this selected population because studies suggest that TMB-high cancers could be sensitive to chemotherapy.⁴⁹

In addition to its large size, this analysis had several strengths (Supplementary Table S4, available at <https://doi.org/10.1016/j.annonc.2023.08.011>). Use of ctDNA as a surrogate pool of all metastases in a patient is likely more informative than an analysis of a single metastatic tumour biopsy specimen. Analysis of genomic status at study entry is another strength, given that many published reports used archival material from primary tumours, which is unlikely to reflect the genomic profile of the metastatic tumour. Nevertheless, this analysis had several

limitations. Data generation was initiated when unique molecular identifiers were not routinely used, limiting the sensitivity of the assay. Given the relative insensitivity of ctDNA detection, the requirement of ctDNA fraction >1% for inclusion, and the previous findings that patients with detectable ctDNA have a worse outcome overall, the selection of the population included in this analysis could have been biased towards patients with poorer prognosis.⁵⁰ The ability to detect copy number is more limited in ctDNA, and the frequency of amplified genes is likely underestimated here. Subclonal variants may be missing in patients with low levels of shedding or very low mutant allele fractions. Patients presented a large variability of ctDNA that could potentially affect the mutant allele fraction of the genes. This could be relevant for genes associated with resistance, as high ctDNA levels could be associated with more aggressive disease. To mitigate this limitation, we limited the analyses to patients who had ctDNA levels $\geq 1\%$. TMB was estimated using all non-synonymous and synonymous alterations but was not adjusted for CHIP, which is another limitation of this analysis; however, patients with CHIP generally have few CHIP mutations (generally 1 or fewer), and thus the impact on TMB should be limited.^{35,51-53} Germline sequencing was not carried out, but germline mutations were filtered out bioinformatically (Methods). This analysis was exploratory, and if an adjustment was carried out, none of the alterations would have remained significant with a *P* value of 0.05. This dataset did not have the power to test the predictive value of alterations occurring at low frequency, thus splitting the current population into training and test sets would have limited the power of the analysis. Small sample sizes and wide 95% CIs in some cases should also be noted. While adjusted for each trial, the analyses cannot test whether the predictive value of an alteration is specific to an ET backbone. This analysis tested the association between gene alteration and drug resistance or sensitivity, but only mechanistic investigation will provide evidence of causality.

This analysis identified biomarkers that may be associated with response of or resistance to ribociclib that could affect future drug development for patients with ABC. These data are hypothesis generating, and while they do not have immediate clinical implications, they do provide direction for future research.

FUNDING

This analysis was sponsored by Novartis, which also provided financial support for medical editorial assistance.

ACKNOWLEDGEMENTS

We thank the patients who participated in these trials, their families and caregivers, datamonitoring committee members, study steering committee members, and the staff who assisted with the trial at each site. We thank Casey Nielsen, PhD, of MediTech Media, for medical editorial assistance with this manuscript. Ribociclib was discovered by Novartis

Institutes for BioMedical Research in collaboration with Astex Pharmaceuticals.

DISCLOSURE

FA's institution has received research funding from Astra-Zeneca, Lilly, Novartis, Pfizer, and Roche. FS, NS, AL, TT, and NB report employment and stock ownership with Novartis. GH reports receiving consulting or advisory role fees from Agendia, Lilly, Merck, Novartis, Peregrine Pharmaceuticals, and Roche and travel expenses from Novartis, and his institution has received research funding from Novartis. SC reports advisory board fees, and his institution has received funds for participation in clinical trials by Novartis, Pfizer, F. Hoffmann-La Roche Ltd., and Eli Lilly. AB's institution has received research grants from Genentech, Novartis, Pfizer, Merck, Sanofi, Radius Health, Immunomedics, Mersana, and Innocrin, and he has received advisory board and consulting fees from Biotheranostics Inc.; advisory board, consulting fees, steering committee, and travel support from Pfizer, Novartis, Genentech, Merck, Radius Health, and Immunomedics; advisory board, consulting fees, and travel support from Spectrum Pharma, Taiho, and Daiichi Sankyo; and advisory board and consulting fees from Puma Biotechnology. DT has received consulting fees and clinical research support paid to his institution from Novartis and reports consulting fees from Pfizer, Genomic Health, GSK, Polyphor, and Sellas Life Sciences Group and scientific advisory board (unpaid) for Puma Biotechnology. Y-SL has received clinical trial study fees, grants for clinical study of *ESR1* mutation detected by cell-free DNA, advisory board consultation fee, and speaker fee from Novartis; consultation fee from Pfizer; contracted research grant from Roche, Merck Sharp & Dohme, and Pfizer; and invited speaker fees from Eisai and AstraZeneca. DS has received board of directors (stock) and travel expenses from BioMarin; stock ownership, research funding, and travel expenses from Pfizer; advisory board, consulting, research funding, and travel expenses from Novartis; consulting fees from Eli Lilly; and stock ownership with Amgen and Seagen Inc. CLA has received research funding grant from Pfizer, Lilly, Takeda, Radius Health, and Puma Biotechnology and advisory board fees from Novartis, Lilly, Merck, Sanofi, Symphogen, Taiho Oncology, Puma Biotechnology, Radius, H3 Biomedicine, OrigiMed, and Daiichi Sankyo. PN has declared no conflicts of interest.

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