Personalized functional profiling <u>ofusing</u> *ex_vivo* patient_derived_spheroids points <u>to-out</u> <u>a the</u> potential of an-antiangiogenic treatment <u>for in a patient with a metastatic atypical</u> lung <u>atypical</u>-carcinoid <u>tumors</u>

Hichul Kim, Victoria El-Khoury, Nadine Schulte, Tianzuo Zhan, Johannes Betge, Loic Cousin, Emanuele Felli, Patrick Pessaux, Arnaud Ogier, Oliver G Opitz, Bosung Ku, Matthias P Ebert & Yong-Jun Kwon

^aDepartment, University, City, Country; ^bDepartment, University, City, Country

Corresponding author:

Name:

Address:

Telephone number:

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Running head: Personalized functional profiling of ex vivo spheroids

Presentation:

Disclaimers:

Ethical approval

The patients participants provided tumor samples following informed consent. All the

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committee.

Disclosure statement

No potential conflict of interest was reported by the authors.

Funding

This work was supported by the Luxembourg Institute of Health and the Ministry of Higher Education_and Research (MESR) funding, under the Personalized Functional Profiling (PFP) Pprogram.

ABSTRACT

Herein, we report on This study outlines the case of a patient with a a-metastatic lung atypical lung carcinoid tumor who presented with-a pleural effusion and progression of liver metastases after developing resistance to conventional chemotherapytreatments. Personalized functional profiling (PFP), i.e. drug screening, was performed using liver metastasis-derivedin ex-vivo spheroids obtained from the patient's liver metastasis to identify potential therapeutic options. The Ddrug screening results identified revealed cediranib, an antiangiogenic drug, as a hit drug for this patient, from a library of 66 Food and Drug Administration (FDA)-approved and investigational drugs. The patient was administered a combination of bevacizumab and capecitabine on the Bbasedis onf the PFP-results and considering the reported evidence of clinical efficacy of this bevacizumab and capecitabine-combination in treating gastro-intestinal neuroendocrine tumors, this combination was given to the patient. After 4Four months later, the pleural effusion and pleural carcinosis regressed and there was no evidence of progression of the liver metastaseis did not progress. The patient was stable for experienced 2 years afterof a stable disease receiving -under the PFP-guided personalized treatment therapy, but ultimately died after acquiring resistance to the treatment and disease progression.

KEYWORDS: Personalized functional profiling; drug screening; pharmacotyping; personalized medicine; precision medicine; spheroids; neuroendocrine tumors; lung carcinoid <u>tumor</u>; antiangiogenic therapy Formatted: Font: Not Bold

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Recommended action: since the target journal does not require an Abstract for case reports, this comment may be irrelevant. However, if targeting another journal and maintaining the Abstract, please consider starting with a background sentence that succinctly explains the context and relevance of this case, before stating the aim. For example: "Metastatic atypical lung carcinoids are rare and have a poor prognosis due to (...). Herein we report..."

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I have followed this rule throughout the document, without including a separate comment at each instance to avoid inserting too many comments.

Commented [A17]: Focus area: The Abstract should clearly describe the broad implications of the study

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Introduction

Lung <u>neuroendocrine tumors (NETs)neuroendocrine tumors accountare for</u> approximately 20% of all lung cancers. They <u>are-</u>comprised of four subtypes<u>:</u> typical carcinoids, atypical carcinoids, large-cell neuroendocrine carcinomas<u></u> and small cell lung carcinomas.^[] <u>Carcinoids account for 1-2% One to two percent</u> of lung cancers is <u>carcinoids</u>.² <u>Considerable</u> <u>advances have been made in Ft</u>he treatment of <u>gastroenteropancreatic (GEP)-NETs</u> <u>has</u> achieved considerable advances-in recentthe last decades with the introduction of sunitinib, everolimus, somatostatin analogs<u></u> and peptide receptor radionuclide therapy (<u>PRRT</u>) (for somatostatin receptor-positive GEP-NET<u>s</u>) in the therapeutic scheme.^{3,4} <u>[TheThe</u> incidence of lung and <u>gastroenteropancreatic (GEP)_neuroendocrine tumors (NETs</u>) has increased significantly risen over the last 40 years most_-likely <u>due-owing to</u> improved diagnosis.³ <u>However</u>, everolimus remains is still the only treatment approved by the <u>United States</u>US Food and Drug Administration (FDA)-approved drug treatment for patients with-lung NET<u>s</u>, <u>especially</u> in particular those suffering from advanced, progressive, nonfunctional <u>lung</u> pulmonary NET<u>s</u>. Therefore, thus the need for more treatment options <u>are needed</u> in this indication.^{1,3,5,6}

A<u>One of the major challenges in the management managing of cancer in general</u>, and lung NETs in particular, is <u>developing identifying personalized treatment strategies that allowing</u> increase patients' chances to benefit from anticancer therapy. <u>ManagingThe scarcity of this</u> rare type of lung tumor requires calls for the <u>involvement contribution of a</u> multidisciplinary experts<u>team</u> in the management of the disease.² The treatment of a m<u>M</u>etastatic <u>pulmonarylung</u> carcinoid tumor treatment is <u>palliative rather than not expected to be</u> curative and focuses on but relieving the symptoms eaused by associated with tumor growth or<u>and</u> hormonale replacementproduction.² So far. Celinical trials ontackling the management **Commented [A20]:** The journal guidelines mention that the text should be limited to 1,500 words or fewer (excluding the title page, references, figures, and tables). The original text was 1961 words. I have revised it to 1715 words.

Further reduction warrants extensive deletions that require your discretion. I would request you to go through the text and delete all details that you deem least important/inessential so that this limit can be met. I will be happy to check the revised text should you wish.

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Recommended action: before describing the treatment scenario, please consider adding a paragraph on the prognosis/mortality associated with lung carcinoids, as well as main challenges in treatment success. This information should be presented for carcinoids in general and for metastatic atypical carcinoids, which is the type in the present case.

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Commented [A24]: Focus area: Clarity / flow

Recommended action: for improved flow, please consider moving this sentence above, right after presenting the incidence of carcinoids. This is because the sentence seems to interrupt the flow of the text about treatments.

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Commented [A26]: Focus area: Clarity of the Rationale

Recommended action: Since this is the main topic of the presented case, the rationale should be more thoroughly and clearly described. Please consider expanding this idea by clarifying the concept of personalized treatment, why personalized treatments are important/advantageous in general and specifically in oncology, and what are the main challenges for its development and use. of<u>managing</u> advanced_stage pulmonary carcinoid<u>tumor</u>s <u>areremained</u> limited.⁷ and <u>pP</u>ersonalized drug screen<u>ings (on patient's tumor material, i.e.</u> functional tumor profiling or pharmacotyping)^{8,9} of patient-derived material is important for making appropriate are thus <u>highly encouraged to issue</u> treatment recommendations. Here<u>in</u> we report the case of a patient with a metastatic lung NET who underwent

personalized functional profiling (PFP) of his tumor and was treated based on the drug screening results.

Case presentation

A 52-year-old man was diagnosed with an atypical carcinoid of the lung (pT2 pN1 {{1/25}} G2_,_-10 mitoses/10 high_-power fields (HPF), Ki-67 =-15%) in June 2009. RA right lower bilobectomy and systematic lymphadenectomy were then performed. In May 2012, the patient was admitted to Mannheim University Medical Center forto undergo a undergoing a biopsy of the new lesions detected onfound in surveillance imaging and for suspectedsuspicious_-of-disseminated osteoplastic bone metastases. The i]mmunohistochemical staining analysis-of bone sectionsmaterial showed strong and continuous expression of chromogranin A and weak_-but specifically-membranespecificbound co-expression of CD56. The tumor cells stainedwere negative for cytokeratin 7 (CK-7), cytokeratin 20-(CK-20), thyroid transcription factor-1 (TTF-1), napsin A, prostate specific antigenPSA, and prostate specific acid phosphatase expression PSAP staining. The mAtitotic count was 4 per 10 high-power field-HPFs. T-and the Ki-67 index ranged frombetween 10% to and 15%. The A diagnosis of a-disseminated hepatic and bone metastase is due to an the clinically known lung atypical carcinoid of the lung was madeseen. The patient was treated with capecitabine and temozolomide from June 2012 to January **Commented [A27]:** Focus area: Insufficient background information / rationale clarity

Recommended action: Please consider explaining succinctly what personalized drug screening consists of, and complement citing some examples of its use in oncology.

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Commented [A29]: Focus area: Structure

Recommended action: the case is extremely thorough and well-described. However, the methodology of spheroid culture may not need to be so detailed for a case report. I suggest presenting that part as supplementary information.

2015.

<u>Treatment Therapy</u>-was <u>discontinuedthen interrupted_due_owing</u> to <u>a persistent</u>-stable disease <u>status</u>. In November 2016, the disease progressed. <u>The eExtensive tumor bone marrow</u> infiltration of the <u>bone marrow tumor</u>-precluded <u>a</u>-peptide receptor radionuclide therapy (<u>PRRT</u>). In December 2016, the patient was re<u>treated-exposed with-to</u> capecitabine and temozolomide until <u>the progression of the liver metastases</u> in February 2017. Consequently, <u>treatment therapy</u> was switched to everolimus.<u>-treatment.EvidenceEvidence</u> of pulmonary and hepatic <u>progressionprogressive disease appeared</u> in January 2018 <u>ledleading</u> to discontinuation of everolimus.

The ethics committee of X was consulted before the patient was treated on an individual^a single case basis. The committee granted approval₁, and the patient provided gave his informed consent prior tobefore the intervention. In March 2018, a re_biopsy of the liver showed a progressive NET (G3, Ki-67 =-18%). A sample was sent-transported to Ksilink (Strasbourg, France) for personalized functional profiling (PFP) (, i.e. drug screening of tumor-derived spheroids, and identification of potential hit drugs)s. The collected tumor sample consisted of four4 core-needle biopsy specimensies (corresponding to-125.5 mg in total; -(a-minimum of two2 needle biopsy specimensies is generally commonly required for spheroid generation).

<u>Biopsy specimensBriefly, the tumor biopsy_were was mechanically and enzymatically</u> dissociated as follows: <u>t</u>The-tumor wasy were washed-rinsed with cold DMEM/F12 medium supplemented with fetal bovine serum and antibiotics and minced into 1_-3-_mm³ fragments using sterile forceps and a scalpel. Tumor fragments were washed-rinsed and again then digested in DMEM/F12 medium containing collagenase. The cells were seeded in complete StemProTM hESC SFM medium (Gibco) in ultra-low attachment dishes; plates and incubated

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at 37°C in an atmosphere of 5% CO₂. <u>The cC</u>ells were regularly <u>observed</u> inspected under <u>a</u> microscope to check for spheroid formation. <u>The sS</u>pheroids were passaged every few <u>days</u> <u>viausing a</u> mild enzymatic dissociation to avoid <u>the</u> accumulationing of dead cells in the center of the spheroid.

The sSpheroid culture was <u>considered</u>deemed successful if the three-dimensional 3D-entities formeddisplayed a typical standard rounded multicellular structure and if they could outgrow propagated in culture within a few days in culture and <u>onpropagate after</u> passaging. Figure 1(a) shows bright-field images of <u>tumorpatient</u>-derived spheroids at <u>different</u>variable passages and days after plating. <u>Images were</u> - generated from <u>three</u>3 different tumor specimens [as-described above]. PFP was performed on short-term cultured spheroids im order-to deliver drug screening results back to the clinician within <u>an</u> acceptable timeframes. To do so, the sSpheroids were dissociated into single cells and small_-cell clusters and printed in anwith the alginate matrix <u>ofin</u> hanging drops onto 2_-mm_diameter pillars in a 384-pillar plate (with a technical duplicate), using <u>anthe</u> ASFA Spotter ST (Medical & Bio Decision, Suwon, South Korea) [{Figure 1(b)}].

One day after <u>cell</u>-printing, <u>the</u>-cells were exposed to a library of 66 FDA-approved <u>and</u> investigational drugs in a <u>4four_fold 7and seven-point</u> serial dilution <u>series</u> for <u>five5</u> days. Live cells were stained with calcein AM<u>i</u> and the plates were imaged using a high_throughput screening system. <u>CellsThe cells</u> were scanned at 4<u>×</u>* magnification. <u>C-and-elltheir</u> viability was <u>assessedquantified as-by</u> the area of <u>the</u>-calcein AM <u>live cell</u>-staining and normalized to <u>the that of DMSO-treated cells</u>. For each drug, the half-maximal inhibitory concentration (<u>IC50</u>) and <u>Ddose_-Rr</u>esponse <u>Ccurve (DRC)</u> were generated<u>i</u>; <u>and the_Aa</u>rea under the <u>dose-</u> <u>response curve-DRC (AUC)</u> was calculated. To identify personalized drug candidates, we compared the drug sensitivity profiles <u>ofobtained from</u> the patient's tumor_derived spheroids **Commented [A38]:** Please consider specifying the exact number/range of days here.

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Recommended action: This whole paragraph is very similar to text of a previous publication. Please consider paraphrasing. with the pharmacological landscape of <u>tumor-derived spheroids from</u> 11 other <u>patients with</u> cancer <u>patients' spheroids</u>.

The patients' clinicopathological characteristicsfeatures of the patients are summarized in Table 1 (Ppatient 11 is the subject of this case report). A drug was considered as a "hit" of interest for our patient if the AUC-z-score of the area under the dose-response curve was less than _-1, indicating the inclusion of the patient's tumor-derived spheroids in the top 16% of the most sensitive spheroids to this drug. Based on the dDrug sensitivity analysis, revealed only cediranib was selected as a hit drug (z-score < -1) [(Figure 2(a))]. OInterestingly, our patient's tumor was the most resistant to everolimus ([Figure 2(a))], consistent which is in line with the clinical evidence that of everolimus resistance manifested in this patient before collecting the tumor sampling sample used for drug screening [(Figure 2(a))]. The dose_response curves of the patient's derived spheroids treated with cediranib and everolimus showedshows a dose-dependent cytotoxic effect of cediranib but not of in these cells. In contrast, they were unresponsive to everolimus treatment _[(Figure 2(b))]. Cediranib, is a multi-kinase vascular endothelial growth factor (VEGF) receptor (VEGFR) inhibitor, has shown-that demonstrated promising results in preclinical trials but failed to meet its main goals in several clinical studies.¹⁰⁻¹² The Next-Ggeneration Ssequencing assay (Illumina TruSightTM Tumor 170 gene panel-Illumina®) of the liver metastasismetastatic sample from March 2018 did not identify reveal any druggable targets. Therefore, PFP and functional profiling remained the only option for improving the the disease outcome.

On the basis Therefore, based onf the personalized drug screening results and taking into account the clinical efficacy activity and safety profile of the combination of bevacizumab (a VEGF blocker) and capecitabine combination in gastro-intestinal NETs (-in the BETTER trial),¹³ the iInstitutional t umor Bboard recommended treatment with bevacizumab and

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Please consider mentioning whether these 11 other patients also provided consent.

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Recommended action: please consider providing Table 1 and its corresponding legend.

capecitabine and bevacizumab and. <u>T</u>treatment was initiated in May 2018, after evidence of pleural effusion and progression of liver metastases (Figure 3). <u>After 4Four</u> months later, the pleural effusion and pleural carcinosis regressed and the liver metastasies remained stable (Figure 3). The patient maintained awas stable disease for 2during a two-year years period after receiving -under the PFP-guided personalized treatment therapy. In June 2020, 25 months after the commencement of bevacizumab and capecitabine/bevacizumab therapystarted, the disease progressed implying acquired resistance and disease progression occurred-to this combination and. <u>T</u>-the patient died 6 months later.

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Discussion

This ease-report highlights-gives the importance of a personalized functional profiling (PFP) approach-for personalized therapymedicine, especially when no other treatment option is available expected to generate a promising clinical response. Indeed, wW ith no druggable targets identified, as revealed byon the genomegenomic sequencing, and with the development acquisition of secondary-drug resistance to several therapies, the decision of pursue pursuing PFP-for drug recommendation, i.e. (-drug screening of the patient's tumor-derived spheroids generated from the patient biopsy, and identification of potential drug hit drugs) for drug recommendations allowed for permitted the identification selection of an antiangiogenic drug as a potential therapy and confirmation of -confirmed-the clinically observed resistance to previous treatment therapies. Accordingly, Tehe patient benefited from an additional 2 years treatment based, in part, on our observation of the significant activity efficacy of this class of drugs in an ex-vivo patient-derived spheroid model-from the patient's tumor.

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AIn cancer, angiogenesis, i.e. the formation of new and abnormal blood vessels, is an important forfactor in tumor growth and metastasis.¹⁴ The release of pro-angiogenic factors by cancer cells and the tumor microenvironment promotes stimulates the migration, and proliferation, and vessel formation inof endothelial cells-and triggers vessel formation.¹⁵ Apart from angiogenesis, oOther mechanisms contribute to account for tumor vascularization, especially in particular vessel co-option (,- a process whereby tumorcancer cells incorporate-and use preexisting vessels from the surrounding-normal tissue instead of inducing new vessel growth) to proliferate and spread, and vascular mimicry (which is the acquisition by tumor cells of an endothelial-like phenotype by tumor cells, resulting inleading to vascular-like structures).^{15,16} Previous studies have shown that NETs are highly vascularized, suggesting the possible potential efficacy of antiangiogenic drugs in treating these tumorsthis indication.^{17,18} Based on this rationale, Tseveral clinical trials have been conducted to evaluate the efficacy activity of antiangiogenic drugs in treating advanced NETs has been evaluated.¹⁹⁻²¹ This These_investigations-led to the FDA approval of sunitinib for treating in treating progressive, well_differentiated pancreatic NETs in for patients with locally advanced or metastatic disease.²² NoAlthough no antiangiogenic drugs have been granted FDA approval for lung NETs to date. However, of pulmonary origin yet, several clinical trials have already demonstrated shown the efficacy of antiangiogenic drugs, ir activity in this indication, as illustrated by the results of studies investigatingincluding surufatinib,²⁰ axitinib,²³ pazopanib,²⁴ and bevacizumab,²⁵ for treating NETs. in NET. Nevertheless, there is no consensus on general-treatment recommendations - can be given at this stage regarding using antiangiogenic drugs for treating lungin NETs of pulmonary origin. Resistance to Evasion of anti-angiogenic therapy after an initial response phase has been reported in several metastatic cancers.²⁶⁻²⁸ In thours case-report, the patient manifestedacquired resistance to the combination of capecitabine and Abevacizumab

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Recommended action: This sentence is very similar to that of a previous publication. Please consider paraphrasing. combination-after <u>2two</u>-years of treatment, <u>suggesting</u>. This acquired resistance suggests the activation of adaptive and compensatory mechanisms, (-e.g., up-regulation of pro-angiogenic factors other than VEGF [<u>a</u> (target <u>ofed by</u> bevacizumab]), vascular co-option, and vascular mimicry).^{15,16} The cancer stem cell population may <u>also</u>-be involved in the secondary drug resistance and tumor relapse, <u>as previously shown</u>.^{29,30} Unfortunately, the degradation <u>deterioration</u> of the patient's health <u>precluded additional condition</u> was not anymore compatible with a new-tumor sampling-procedure, and thus apreventing follow-up PFP-could not be envisaged.

Among the-three-dimensional (3D)-models used in preclinical research, patient-derived xenografts (PDX) models have contributed significantly-contributed to theadvancements in advancing precision medicine and are widelystill largely used in biomedical research.³¹ NeverthelessHowever, some limitations of these three-dimensional3D preclinical models exist-are to be mentioned; : the The potential -possible contribution to the observed drug response of factors inherent to the animal model itself to the observed drug response;³² the lengthy procedure (6_-to-8_-monthss) procedure required for the generation of generating patient-derived xenograft these PDX-models, which may not be compatible with the rapid progression of the disease;^{33,34} and and the limited number of protocols that can be used tested.³¹

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Recommended action: please consider explaining the reasons for this limitation (or, in alternative, delete the sentence since the incompatibility between treatment development vs disease progression is likely the main challenge).

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spheroids is cancer cells with stem_-cell<u>-like</u> features that may contribute to <u>tumor</u> relapse-in the clinic. In addition<u>Moreover</u>, our animal-free approach is easily applicable in a hospital environment. <u>Such a Ppersonalized strategy isstrategies are needed</u>, <u>highly required</u> especially <u>for aggressive and in-</u>multi<u>drug</u>--resistant <u>tumors that are</u>, poorly <u>studiedunderstood</u>, <u>aggressive tumors</u>, as is the case <u>offor-this a</u> metastatic <u>lung</u> atypical <u>lung</u> carcinoid <u>tumor</u>.

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Acknowledgments

We thank the patients who participated for their participation in this study and the

physiciansclinicians for their collaborationcooperation.

References

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Journal article with one, two, or three authors 1. Dolan ME, Pegg AE: O6-Benzylguanine and its role in chemotherapy. Clin Cancer Res 8:837-847, 1997 Journal article with more than three authors

2. Knox S, Hoppe RT, Maloney D, et al: Treatment of cutaneous T-cell lymphoma with chimeric anti-CD4 monoclonal antibody. Blood 87:893-899, 1996 Journal article in press (manuscript has been accepted for publication)

3. Scadden DT, Schenkein DP, Bernstein Z, et al: Combined immunotoxin and chemotherapy for AIDS-related non-Hodgkin's lymphoma. Cancer (in press) Supplement

4. Brusamolino E, Orlandi E, Morra E, et al: Analysis of long- term results and prognostic factors among 138 patients with advanced Hodgkin's disease treated with the alternating MOPP/ABVD chemotherapy. Ann Oncol 5:S53-S57, 1994 (suppl 2)

Book with a single author 5. Woodruff R: Symptom Control in Advanced Cancer. Victoria, Australia, Asperula Pty Ltd, 1997, pp 65-69 Book with multiple authors

6. Iverson C, Flanagin A, Fontanarosa PB, et al: American Medical Association Manual of Style (ed 9). Baltimore, MD, Williams & Wilkins, 1998

Chapter in a multiauthored book with editors

7. Seykora JT, Elder DE: Common acquired nevi and dysplastic nevi as precursor lesions and risk markers of melanoma, in Kirkwood JM (ed): Molecular Diagnosis and Treatment of Melanoma. New York, NY, Marcel Dekker, 1998, pp 55-86

Table

Table 1.

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Figure 1. Representation of the micropillar-based drug screening workflow for personalized

functional profiling.

Figure 2. Drug sensitivity profiles of ex_-vivo patient-derived spheroids.

Figure 3. Chest and abdominal/pelvic computed tomography (CT) scans during

capecitabine/bevacizumab treatment.

Source: Personalized functional profiling using ex-vivo patient-derived spheroids points out the potential of an antiangiogenic treatment in a patient with a metastatic lung atypical carcinoid by Hichul Kim, Victoria El-Khoury, Nadine Schulte et al., used under <u>CC-BY</u> **Commented [A54]:** The guidelines mention the following: Limit of 6 total figures and tables, not including figure pieces. Table pieces (such as Table 1a and 1b) are not allowed. Authors should remove information from photographs and manuscripts that might identify a patient.

All Kaplan-Meier plots must include risk tables.

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