

Predictive Effect of IGFBP-3 on Low-Dose Tamoxifen Efficacy in Noninvasive Breast Cancer in the Phase III Tam-01 Trial



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ABSTRACT

Purpose: Low-dose tamoxifen 5 mg/day (babytam) for 3 years can decrease the incidence of new breast cancer events in women with breast intraepithelial neoplasia by 42% with limited toxicity, which provides a new treatment option for these disorders. However, predictive biomarkers of babytam efficacy are lacking. We studied whether baseline levels of insulin-like growth factor-1 (IGF-I), IGF-binding protein-3 (IGFBP-3), estradiol, and sex hormone-binding globulin (SHBG) and their ratios predict babytam efficacy on breast cancer events in a preplanned secondary analysis.

Patients and Methods: Within a 1:1 placebo-controlled, multicenter randomized trial of babytam or placebo administered for 3 years after surgery in women with hormone-sensitive or unknown breast intraepithelial neoplasia, including atypical ductal hyperplasia and lobular or ductal carcinoma *in situ*, 406 of 500 participants consented to blood sampling at baseline and at

1 and 3 years. Serum IGF-I, IGFBP-3, estradiol, and SHBG levels and their ratios were measured using chemiluminescent immunoassays. Biomarker changes were estimated using mixed-effects models, and incidence rate ratios were calculated after 10 years of follow-up with Poisson regression. Subgroup analyses were performed using an interaction test and subpopulation treatment effect pattern plot.

Results: Baseline levels of IGFBP-3 in the three top quartiles (≥ 3.44 $\mu\text{g/mL}$), but not in the lower quartile, predicted greater babytam efficacy compared with placebo ($P_{\text{interaction}} = 0.006$). Baseline IGF-I, estradiol, or SHBG levels were not predictive of babytam efficacy, whereas the IGF-I/IGFBP-3 ratio was borderline significant ($P_{\text{interaction}} = 0.067$).

Conclusions: High baseline levels of IGFBP-3 (≥ 3.44 $\mu\text{g/mL}$) predicted babytam efficacy and may help differentiate which women benefit most from this treatment.

Introduction

Low-dose tamoxifen (5 mg/day for 3 years, babytam) decreased subsequent breast cancer events by 42% compared with placebo after 10 years in women with ductal carcinoma *in situ* (DCIS) or

high-risk lesions (atypical ductal hyperplasia or lobular carcinoma *in situ*), without exceeding serious adverse events and patient-reported outcomes (1, 2), supporting its wide uptake in the medical community (3, 4) and National Comprehensive Cancer Network (NCCN) guideline inclusion (5). A biomarker trial also showed a noninferior reduction in mammographic density and less pronounced adverse events than 20 mg/day with lower doses of tamoxifen in premenopausal women only (6). The mechanisms behind the preventive effects of babytam remain therefore a subject of active investigation.

In addition to its antagonistic effects on estrogen receptor (ER)-dependent breast tissue proliferation, tamoxifen affects circulating biomarkers of breast cancer risk that might carry predictive significance. Specifically, insulin-like growth factor I (IGF-I), its main binding protein IGF-binding protein-3 (IGFBP-3), and their ratio, together with the estradiol/sex hormone-binding globulin (SHBG) ratio, have garnered attention for their putative predictive effect. Increased risk has been associated with higher levels of IGF-I and IGFBP-3 in healthy women (7), and higher recurrence rates have been associated with IGFBP-3 levels in patients with breast cancer (8, 9). Prospective studies demonstrated a higher risk of increased estradiol levels and decreased SHBG levels in pre- (10) and postmenopausal women (11). In premenopausal women, endogenous estradiol levels tend to synergize with IGF-I. Women with serum estradiol levels in the upper quartile benefitted most from raloxifene therapy (12), and the risk reduction by anastrozole was highest in

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Translational Relevance

Low-dose tamoxifen (babytam, 5 mg/day for 3 years) is an important treatment option after breast preinvasive disease, given its long-term efficacy and safety. However, predictive biomarkers of babytam efficacy are lacking. Tamoxifen affects circulating biomarkers of breast cancer risk, and the use of predictive biomarkers could help increase precision preventive intervention by selecting patients who respond better. Our phase III trial of babytam after surgery for ductal carcinoma *in situ* or high-risk lesions included the measurement of the breast cancer risk biomarkers insulin-like growth factor I (IGF-I), its main binding protein IGF-binding protein-3 (IGFBP-3), and their ratio, together with estradiol and sex hormone-binding globulin and their ratio, to assess their predictive role. After 10-year follow-up, baseline IGFBP-3 in the upper quartile predicted greater efficacy of babytam compared with placebo ($P_{\text{interaction}} = 0.006$). The IGF-I/IGFBP-3 ratio was borderline significant ($P_{\text{interaction}} = 0.067$). Our findings provide a potential option for selecting women who benefit most from babytam.

women with estradiol/SHBG ratios in quartiles 2 to 4, but not in the lowest quartile, in a nested case-control study of the IBIS-II trial (13).

To improve the therapeutic prevention precision of babytam, we investigated the role of serum levels of IGF-I, IGFBP-3, estradiol, and SHBG and their molar ratios in predicting the efficacy of breast cancer events after 10 years of follow-up.

Patients and Methods

The study details and key clinical findings have been previously reported (1, 2). The study (Tam-01) was conducted in accordance with recognized ethical guidelines (Declaration of Helsinki) and was approved by the ethics committees of the sponsor (Galliera Hospital, Genoa, Italy) and participating sites. All women signed a written informed consent. In summary, we conducted a multicenter phase III trial comparing 5 mg/day tamoxifen with a placebo over 3 years in 500 women, ages 75 or younger, with an Eastern Cooperative Oncology Group performance status of 1 or less and hormone-sensitive (ER or progesterone receptor $\geq 1\%$) or unknown DCIS (69%) or breast intraepithelial neoplasia (atypical ductal hyperplasia, 20% or lobular carcinoma *in situ*, 11%). Women with high-grade or comedo/necrotic DCIS were treated with adjuvant radiotherapy at 50 Gy in 25 fractions. Participants were followed up every 6 months, undergoing annual mammography and transvaginal ultrasound for 3 years of treatment and then being seen annually for 7 years of follow-up. All breast-related events during the trial were centrally adjudicated by an expert committee. The primary endpoint was the incidence of invasive breast cancer or DCIS. Biomarker studies included circulating IGF-I, IGFBP-3, estradiol, SHBG, C-reactive protein, CYP2D6 SNPs, tamoxifen, and metabolite blood levels.

The mean (SD) age at treatment initiation was 54 (9) years, with 58% being postmenopausal. After a median follow-up of 9.7 years (IQR, 8.3–10.9 years), 66 breast cancers were diagnosed (15 *in situ* and 51 invasive): 25 in the tamoxifen group and 41 in the placebo

group (annual rate per 1,000 person-years: 11.3 with tamoxifen vs. 19.5 with placebo; HR, 0.58; 95% confidence interval, 0.35–0.95; P value = 0.03). The majority of recurrences were invasive (77%) and ipsilateral (59%). For contralateral breast cancer incidence, there were six events in the tamoxifen group and 16 in the placebo group (HR, 0.36; 95% confidence interval, 0.14–0.92; P value = 0.025). No differences were observed between the groups in terms of patient-reported outcomes (menopausal symptoms) or serious adverse events during the extended follow-up period.

In this preplanned biomarker study, 406 of 500 women consented to blood sampling at baseline and at 1 and 3 years. Serum levels of IGF-I, IGFBP-3, estradiol, and SHBG and their molar ratios were quantified by chemiluminescent assay. The units used were (nmol/L)/(nmol/L) for the IGF-I/IGFBP-3 molar ratio and (pmol/L)/(nmol/L) for the estradiol/SHBG molar ratio. We subdivided the hormone and protein values by the median, quartiles, and treatment arms. Biomarker changes were estimated using mixed-effects models for repeated measures, including treatment per time interaction, age and body mass index (BMI) as fixed effects, and a random intercept for patient ID to account for intrasubject variability. Ten-year incidence rate ratios of the primary endpoint (invasive breast cancer or DCIS) were calculated using Poisson regression. The predictive effect of the biomarkers was assessed using an interaction test. The subpopulation treatment effect pattern plot methodology (ref. 14) explored the 10-year cumulative incidence rate along the continuous scale of IGF-I, IGFBP-3, and their ratio. A sliding window pattern was adopted, including 100 subjects in each subpopulation, with 50 subjects overlapping between consecutive subpopulations. The analysis implemented 100,000 permutations of biomarker covariates, adjusting for age and baseline BMI. The issue of multiplicity was addressed by adopting the Benjamini–Hochberg methods for FDR correction (15). Statistical analyses were performed using Stata software (StataCorp. 2023, Release-18, RRID: SCR_012763). See Supplementary Table S1 for representativeness of study participants.

Data availability

Individual participant data are not publicly available because this requirement was not anticipated in the study protocol.

The deidentified data underlying this article may be shared upon request to the corresponding author. A specific purpose for data request is required for approval by the institutional authorities.

Results

There was no difference in the event rates between women with blood samples ($n = 406$) and those without ($n = 94$, not shown). The participant flow diagram is illustrated in Supplementary Fig. S1, and the main subject characteristics at baseline are presented in Supplementary Table S2. The direct effects of babytam on biomarker levels at 1 and 3 years are illustrated in Supplementary Figs. S2–S4. Compared with placebo, the IGF-I level and IGF-I/IGFBP-3 ratio decreased significantly, with a slight increase in IGFBP-3 by babytam irrespective of menopausal status (Supplementary Fig. S2). The effects on estradiol differed by menopausal status, with an increase observed in premenopausal women, whereas SHBG increased in both pre- and postmenopausal women (Supplementary Figs. S3 and S4).

The predictive effects of these biomarkers are shown in **Table 1** and further stratified by menopausal status in Supplementary Tables S3 and S4. Baseline levels of IGFBP-3 in the three top quartiles (≥ 3.44 $\mu\text{g/mL}$),

Table 1. Mean event rate (per 1,000 person-years) stratified by treatment arm and baseline IGF-I, IGFBP-3, E2, and SHBG and IGF-I/IGFBP-3 and E2/SHBG ratios at 10 years of follow-up.

10-year follow-up	Babytam	Placebo	IRR (95% CI)
IGF-I ^a , ng/mL			
≤Median (127.3)	11.8 (6.3–21.9)	20.9 (13.2–33.2)	0.49 (0.22–1.11)
>Median	11.0 (5.9–20.5)	21.5 (13.5–34.0)	0.52 (0.23–1.15)
IRR (95% CI)	0.90 (0.35–2.31)	1.09 (0.53–2.22)	<i>P</i> _{interaction} = 0.967
IGFBP-3 ^a , µg/mL			
Q1 (≤3.43)	10.6 (4.0–28.3)	8.8 (3.3–23.4)	1.24 (0.33–4.66)
Q2 (3.44–4.21)	21.4 (11.5–39.8)	25.5 (13.3–49.0)	0.75 (0.30–1.85)
Q3 (4.22–4.91)	11.6 (4.8–27.8)	20.6 (10.3–41.3)	0.59 (0.18–1.98)
Q4 (≥4.92)	2.2 (0.3–15.9)	30.7 (18.2–51.8)	0.07 (0.01–0.52)**
IRR (95% CI)	0.71 (0.50–1.01)	1.36 (1.02–1.82)*	<i>P</i> _{interaction} = 0.006***
IGF-I/IGFBP-3 ^a			
≤Median (0.167)	7.7 (3.7–16.2)	26.3 (17.2–40.4)	0.29 (0.13–0.69)**
>Median	15.9 (9.2–27.4)	16.4 (9.7–27.7)	0.89 (0.41–1.94)
IRR (95% CI)	1.72 (0.67–4.40)	0.60 (0.30–1.20)	<i>P</i> _{interaction} = 0.067
E2 ^a , pg/mL			
≤Median (15.8)	7.9 (3.7–16.5)	21.1 (13.3–33.5)	0.38 (0.16–0.91)*
>Median	15.0 (8.7–25.8)	21.3 (13.4–33.8)	0.62 (0.29–1.34)
IRR (95% CI)	1.47 (0.54–3.96)	0.90 (0.39–2.11)	<i>P</i> _{interaction} = 0.390
SHBG ^a , nmol/L			
≤Median (60.2)	13.2 (7.3–23.8)	25.2 (16.4–36.8)	0.50 (0.24–1.05)
>Median	9.7 (5.1–18.7)	17.3 (10.5–28.8)	0.54 (0.23–1.30)
IRR (95% CI)	0.67 (0.24–1.90)	0.77 (0.32–1.85)	<i>P</i> _{interaction} = 0.801
E2/SHBG ^a			
≤Median (1.37)	9.4 (4.7–18.9)	19.3 (12.0–31.1)	0.49 (0.21–1.16)
>Median	13.2 (7.5–23.2)	23.2 (14.8–36.4)	0.52 (0.24–1.10)
IRR (95% CI)	0.91 (0.33–2.50)	1.09 (0.51–2.35)	<i>P</i> _{interaction} = 0.977

Abbreviations: CI, confidence interval; E2, estradiol; IRR, incidence rate ratio.

*, *P* < 0.05; **, *P* < 0.01. ***Statistically significant even after Benjamini–Hochberg FDR correction.

P values were calculated using Poisson regression adjusted for age and BMI at baseline.

^aAll women.

but not in the lowest quartile, predicted increasingly greater babytam efficacy compared with placebo (*p* interaction = 0.006 by Poisson, Fig. 1). Similar results observed on breast cancer cumulative incidence curves by IGFBP-3 quartiles and treatment arms are shown in Fig. 2. The subpopulation treatment effect pattern plot technique confirmed the effect modification of baseline IGFBP-3 and, to a lesser extent, of the IGF-I/IGFBP-3 ratio on babytam efficacy (supremum test *P* value = 0.051 and 0.056, Fig. 3). Baseline IGF-I, estradiol, or SHBG did not seem to predict babytam efficacy on cumulative incidence Kaplan–Meier curves, whereas the IGF-I/IGFBP-3 ratio was borderline significant (*P*_{interaction} = 0.067; Supplementary Figs. S5A and S5B).

Discussion

The identification of predictive biomarkers is crucial for selecting patients who may benefit most from a specific therapy without experiencing unwanted toxicity. This is particularly important in preventive therapy to increase precision and limit adverse events. A biomarker is predictive when the treatment effect differs according to its presence or level.

The direct modulation of the IGF-I/IGFBP-3 ratio following babytam administration confirms the role of this drug in modulating the IGF axis (16). More importantly, our results show the predictive effect of IGFBP-3 and IGF-I/IGFBP-3 ratio on babytam efficacy. Baseline levels of IGFBP-3 in the three top quartiles (≥3.44

µg/mL), but not in the lowest quartile, predicted greater babytam efficacy compared with placebo. Findings in the placebo arm indicate that high IGFBP-3 levels are a significant risk factor for new breast cancer events, in line with prior studies in healthy women (7) and patients with breast cancer (8, 9). In a case-cohort study within the Melbourne Collaborative Cohort Study, IGF-I and IGFBP-3 were positively associated with breast cancer risk in older women (17). Likewise, the Nurses' Health Study II found that IGFBP-3 was associated with increased risk in postmenopausal women (18). A large prospective case-control study nested within the European Prospective Investigation into Cancer and Nutrition cohort confirmed previous findings for an association of serum IGF-I and IGFBP-3 concentrations with breast cancer risk, particularly for women with a later diagnosis of cancer (19).

The decline in IGFBP-3 over 3 years on placebo supports the known effect of aging on this biomarker. However, the interaction between babytam and IGFBP-3 on breast events was adjusted for age and BMI, thus attenuating their respective effect. IGFBP-3 may exert modulatory effects related to its role in regulating IGF bioavailability via sequestration in circulating ternary complexes (20). The IGFBP-3 ternary complex, being unable to cross the vascular endothelium, prolongs IGF half-life in circulation and maintains an IGF reservoir (21). It inhibits the mitogenic and antiapoptotic effects of free IGF-I until the complex is broken down. Conversely, IGFBP-3 can directly modulate IGF actions in tissues, for example, interacting with the

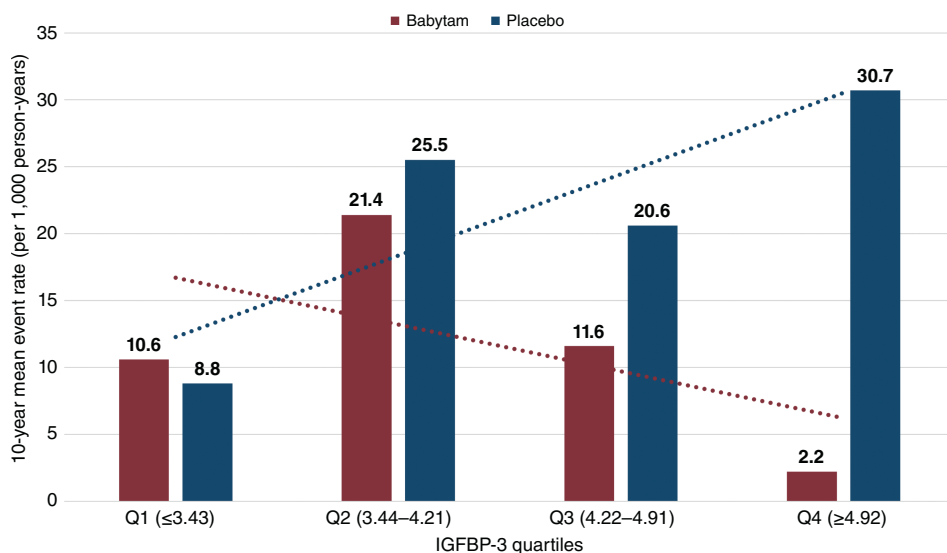
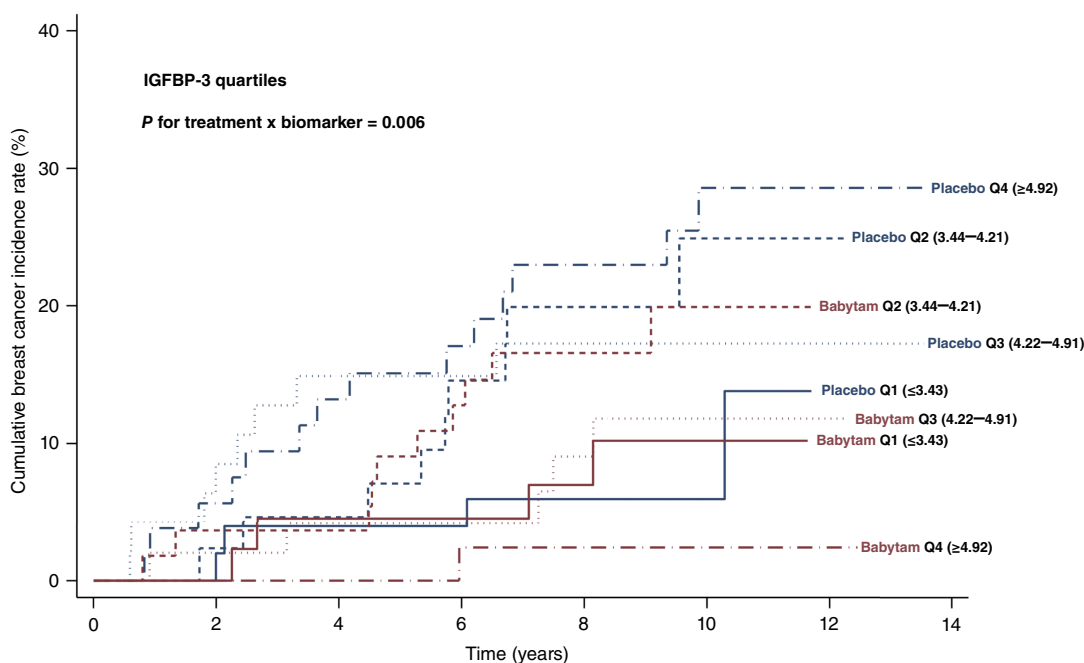


Figure 1. Ten-year cumulative mean event rate (per 1,000 person-years) according to baseline IGFBP-3 quartiles (Q1-Q4) and treatment arm. $P_{\text{interaction}} = 0.006$ by Poisson adjustment for age and BMI.

extracellular matrix (21), undergoing cellular uptake and nuclear importation binding to nuclear receptors, thereby regulating gene transcription independently (22). Notably, IGFBP-3 has been shown to increase cancer risk and proliferation of breast

cancer cells (23). The blockade of ER function by babytam at the mammary gland might be particularly effective in subjects in the higher IGFBP-3 quartiles, reducing the likelihood of cross-talk between insulin-like growth factor receptor and ER, thus



Number at risk:

Placebo Q1 (≤ 3.43)	52	(1)	50	(1)	49	(0)	47	(1)	41	(0)	18	(1)	0	(0)	0
Placebo Q2 (3.44–4.21)	43	(1)	42	(1)	39	(4)	34	(2)	26	(1)	14	(0)	1	(0)	0
Placebo Q3 (4.22–4.91)	48	(4)	43	(3)	40	(0)	37	(1)	28	(0)	14	(0)	5	(0)	0
Placebo Q4 (≥ 4.92)	53	(3)	50	(4)	46	(2)	42	(3)	37	(2)	23	(0)	1	(0)	0
Babytam Q1 (≤ 3.43)	47	(0)	44	(2)	41	(0)	40	(1)	31	(1)	13	(0)	0	(0)	0
Babytam Q2 (3.44–4.21)	56	(2)	53	(0)	53	(5)	47	(2)	39	(1)	18	(0)	0	(0)	0
Babytam Q3 (4.22–4.91)	51	(1)	49	(1)	44	(0)	42	(2)	33	(1)	18	(0)	3	(0)	0
Babytam Q4 (≥ 4.92)	46	(0)	45	(0)	45	(1)	41	(0)	37	(0)	28	(0)	3	(0)	0

Figure 2.

Ten-year cumulative breast cancer incidence rate (%) according to IGFBP-3 quartiles (Q1-Q4) and treatment arm. $P_{\text{interaction}} = 0.006$ by Poisson adjustment for age and BMI.

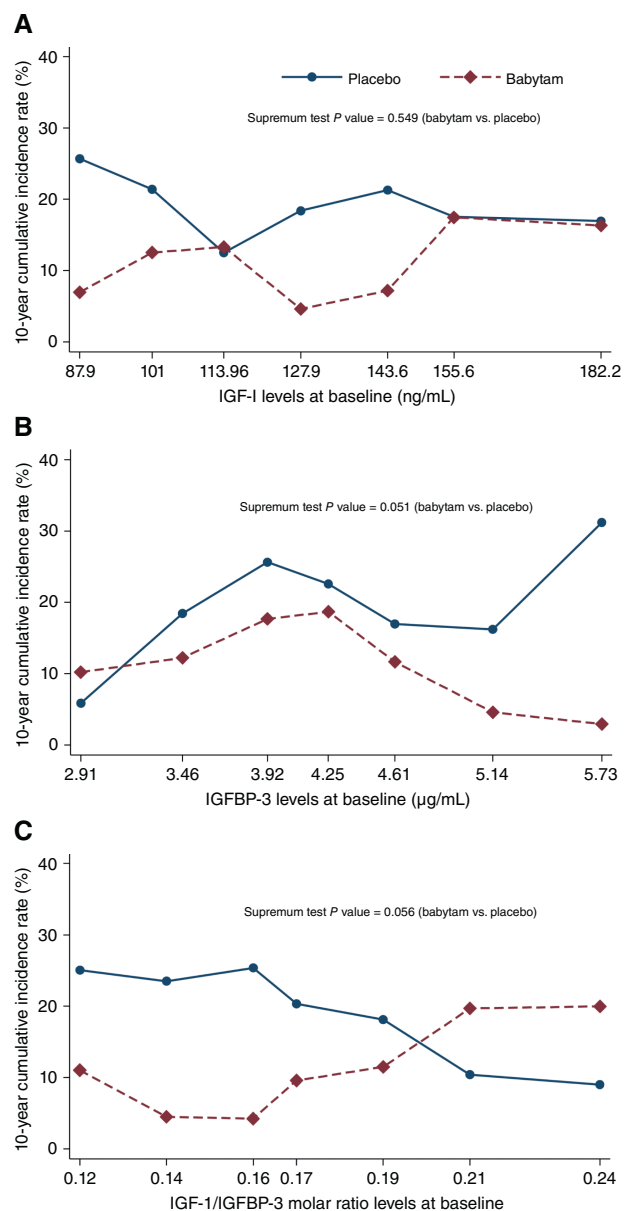


Figure 3. Subpopulation treatment effect pattern plot (STEPP) of the 10-year cumulative incidence by baseline IGF-I (top), IGFBP-3 (middle), and IGF-I/IGFBP-3 molar ratio (bottom) and treatment arm. The plot was drawn by adopting the sliding window pattern, including 100 subjects in each subpopulation and 50 subjects in common among consecutive subpopulations, implementing 100,000 permutations of the covariate of biomarkers, adjusting for age and BMI at baseline. **(A)** IGF-I levels at baseline (ng/mL); **(B)** IGFBP-3 levels at baseline (µg/mL); and **(C)** IGF-I/IGFBP-3 molar ratio levels at baseline are shown.

counteracting the IGF-mediated enhancement of cell proliferation and cell adhesion (21, 24, 25).

Although systematic reviews have reported increased risk with higher levels of IGF-I and IGFBP-3 (7–9), the direct role of IGFBP-3 in breast carcinogenesis is complex. The IGFBP-3 activity may be modulated through several proteolytic enzymes, which could, to some

extent, affect the analytic results of serum concentrations, depending on the assay methodology applied (19). However, we can exclude any significant postsampling proteolysis interference as the serum was separated and stored in aliquots at -80°C until IGFBP-3 measurement. Additionally, women were free of cancer at blood draws.

We did not observe any significant interaction between estradiol and estradiol/SHBG on tamoxifen response at 10-year follow-up, indicating no predictive role of these biomarkers. In a previous analysis with fewer events at 5-year follow-up, we showed a non-significant trend to a greater benefit in postmenopausal women or women with estradiol levels below the median of 15.8 pg/mL. However, the interaction test was again not significant at 10 years ($P = 0.13$ and $P = 0.42$ for menopausal status and estradiol levels, respectively), indicating no predictive effect of both variables. It is important to underline that these subgroup analyses are underpowered for the low number of events in premenopausal women so that any firm conclusion about a lower benefit in premenopausal women is premature. Moreover, we were unable to synchronize blood drawing and menstrual cycle phase in some premenopausal women.

Our findings of a greater response to babytam in women with high IGFBP-3 levels offer an additional clue over and above the mild estradiol increase to explain why babytam might be less effective in young, premenopausal women (26).

The increase in the estradiol/SHBG molar ratio observed in premenopausal women versus the mild decrease in postmenopausal women underscores the complex interplay between tamoxifen and endogenous estrogen levels, which may influence drug efficacy. However, the estradiol/SHBG ratio did not exhibit a predictive role for babytam efficacy in postmenopausal women, at variance with a previous study on raloxifene (12).

Given their low cost, serum IGF-I and IGFBP-3 might be measured routinely and integrated into risk management decisions to distinguish which women will benefit most from babytam. However, a limitation is that the study was not specifically powered to assess the prognostic and predictive effects of biomarkers, although these were preplanned secondary objectives of the trial. The finding needs further validation in an independent cohort investigating this biomarker in a similar setting before it can be introduced into clinical practice.

In conclusion, this study unveils the potential of serum biomarkers, specifically IGFBP-3 and IGF-I/IGFBP-3 ratios, as predictive factors of babytam efficacy among individuals with DCIS or high-risk lesions. These findings hold significant implications in clinical practice, offering a means to discern patients who may derive maximal benefits from babytam.

Authors' Disclosures

E. Blondeaux reports personal fees from Eli Lilly and Company and grants from Gilead Sciences outside the submitted work. L. Boni reports personal fees from Pfizer outside the submitted work. L. Cortesi reports personal fees from Astra-Zeneca, MSD, Pfizer, Novartis, Gilead Sciences, Roche, and Daichii Sankyo outside the submitted work. No disclosures were reported by the other authors.

Authors' Contributions

H. Johansson: Conceptualization, data curation, supervision, methodology, writing—original draft, writing—review and editing. **D. Macis:** Resources, data curation, writing—review and editing. **M. Oliva:** Software, formal analysis, methodology, writing—original draft, writing—review and editing. **M. Puntoni:** Conceptualization, data curation, software, formal analysis, supervision, methodology, writing—original draft, writing—review and editing. **E. Blondeaux:** Software, formal analysis, writing—review and editing. **A. Guerrieri-Gonzaga:** Data curation, project administration, writing—review and editing. **V. Aristarco:** Resources, data curation, writing—review and editing. **I.M. Briata:** Data curation, project administration, writing—review and editing. **T. Buttiron-Webber:**

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Note

Supplementary data for this article are available at Clinical Cancer Research Online (<http://clincancerres.aacrjournals.org/>).

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