

# Prognostic Nomogram for Sorafenib Benefit in Hepatitis B Virus related Hepatocellular Carcinoma after Partial Hepatectomy

**Wei Dong**

Eastern Hepatobiliary Surgery Hospital

**Kai Yan**

Eastern Hepatobiliary Surgery Hospital

**Hua Yu**

Eastern Hepatobiliary Surgery Hospital

**Lei Huo**

Eastern Hepatobiliary Surgery Hospital

**Zhihong Xian**

Eastern Hepatobiliary Surgery Hospital

**Yanqing Zhao**

Eastern Hepatobiliary Surgery Hospital

**Jutang Li**

Tongren Hospital Shanghai Jiaotong University School of Medicine

**Yuchan Zhang**

Eastern Hepatobiliary Surgery Hospital

**Zhenying Cao**

Eastern Hepatobiliary Surgery Hospital

**Yong Fu**

Eastern Hepatobiliary Surgery Hospital

**Wenming Cong**

Eastern Hepatobiliary Surgery Hospital

**Hui Dong** (✉ [huidongwh@126.com](mailto:huidongwh@126.com))

The second military Medical University

---

## Research

**Keywords:** Hepatocellular carcinoma, Sorafenib, Personalized therapy, Hepatitis B virus, Nomogram.

**Posted Date:** September 1st, 2020

**DOI:** <https://doi.org/10.21203/rs.3.rs-66226/v1>

**License:**  This work is licensed under a Creative Commons Attribution 4.0 International License.

[Read Full License](#)

---

**Version of Record:** A version of this preprint was published at Frontiers in Oncology on February 11th, 2021. See the published version at <https://doi.org/10.3389/fonc.2020.605057>.

# Abstract

**Background** The prediction regarding the long-term prognosis of individuals subjected to sorafenib treatment following partial hepatectomy due to hepatitis B virus (HBV) related hepatocellular carcinoma (HCC) is rather difficult. The objective behind this work is to create an effective prognostic nomogram of sorafenib for personalized therapy of HBV-related HCC.

**Methods** 234 HBV-related HCC patients subjected or not subjected to sorafenib treatment following partial hepatectomy at the Eastern Hepatobiliary Surgery Hospital from 2008 to 2013 were compared to investigate the association between index levels and sorafenib benefit. The optimal cut-off point of the overall survival (OS) factor level was determined by x-tile. The selection of indicators is based on clinical findings. The Cox regression model with an interaction term was employed for evaluating the predictive value. Using a multivariate Cox proportional hazards model a Nomogram was subsequently formulated to analyze 113 patients treated with sorafenib. Determination of nomogram's discriminative ability and predictive accuracy was done using the concordance index (C-index), calibration, and ROC curve.

**Results** Subgroup analysis revealed that Low GPC3, pERK, pAKT, serum AFP levels, without MVI, under 50 years old, male, TNM stage I/II and BCLC stage 0/A were associated significantly with a better OS in patients subjected to sorafenib treatment compared to those not treated with sorafenib after surgery. The independent factors for OS were found to be GPC3, pERK, pAKT, serum AST and BCLC stage, following multivariate analysis of the sorafenib cohort, which was all included in the nomogram. The survival probability based on the calibration curve shows that the prediction of the nomogram was in good agreement with the actual observation. Survival was predicted to be 0.73 (95% CI, 0.67 to 0.78) based on the C-index of the nomogram. The area under the ROC curve (AUC) for the nomogram to predict the survival for 1, 3, and 5-year was 0.726, 0.816, and 0.823, respectively.

**Conclusion** This proposed nomogram has the potential to make quite a precise prediction regarding the prognosis of HBV-related HCC patients, who underwent sorafenib therapy following partial hepatectomy.

## Background

A primary liver cancer having a rather common occurrence is Hepatocellular carcinoma (HCC). Liver cancers are the 4th leading cause of cancer-related death and the 6th major source of morbidity around the globe. The World Health Organization (WHO), based on its annual projections, estimates that over a million people will die of liver cancer in 2030 [1]. Several randomized studies that test adjuvant treatments, such as chemotherapy, interferon (IFN), internal radiation, chemoembolization, retinoids, and immune therapies, have not yet proven beneficial or led to uncertain outcomes, hence are not recommended to be practiced clinically [2, 3]. In the past decade, the treatment of advanced HCC has improved significantly [4].

Sorafenib is the first approved drug for the systemic therapy of advanced-stage HCC. All other therapies have only recently exhibited clinical efficacy. Food and Drug Administration (FDA), USA, has approved

Lenvatinib, as first [5] or regorafenib [6], nivolumab [7], cabozantinib [8], and ramucirumab as second-line treatments. Being a multi-kinase inhibitor, Sorafenib targets the mitogen-activated protein kinase/extracellular signal-regulated kinase (MAPK/ERK) pathway, the vascular endothelial growth factor receptors-1/2/3 (VEGFR1/2/3), and c-KIT, among other targets, that provide a median survival advantage of nearly 3 months and reduce the risk of mortality by 31% in patients with an advanced stage of HCC [4].

Sorafenib acts by VEGF signaling driven angiogenesis and cell proliferation inhibited by MAPK/ERK [9]. In addition, sorafenib is known to impact both endothelial as well as tumor cells [9]. Although numerous investigations have been brought forward, the reliable predictive biomarkers of sorafenib responses (including targets of sorafenib such as VEGF or MAPK/ERK) in HCC patients are not ascertained as yet. Although sorafenib has been found to be beneficial for all patient subgroups, phase 3 Asia-Pacific HCC and SHARP trials based on latest meta-analysis of individual data revealed that sorafenib has significantly greater benefits for patients with HCV etiology and exclusive liver disease [10, 11]. In terms of biomarkers, the correlation analysis of SHARP trial showed that sorafenib treatment had a non-significant trend to improve survival in tumors with low plasma concentration of hepatocyte growth factor (HGF) and high c-Kit [12]. A great volume of efforts has been invested in the biomarkers screening for predicting the responses of sorafenib as well as prognosis of patients. Nevertheless, not a single biomarker has been identified for the clear prediction of sorafenib efficacy to date. In this scenario, investigating the association between clinicopathological index or biomarkers and sorafenib advantage in HCC needs a characteristic prognostic model for the prediction in the patient's selection in order to improve therapeutic efficacy.

Glypican-3 (GPC3) is a glycoprotein of oncofetal type, adhering to the cellular membrane through the glycosphosphatidylinositol anchor. In an adult healthy liver, no GPC3 expression was obvious. Contrastingly, GPC3 was overexpressed in HCC. The GPC3 protein and gene expression in serum and tumor tissues of HCCs was higher compared to non-malignant healthy livers [13, 14]. The prognostic value of serum GPC3 level and tumor cell GPC3 immunoreactivity as a biomarker in patients with HCC has already been well established. In addition, being a novel target molecule for therapeutic agents, GPC3 has also attracted much attention, and its clinical trials are progressing [15]. So far, there haven't been any investigations for exploring the association between the GPC3 expression and the prognosis of HCC patients subjected to sorafenib treatment. In liver cancer cells MAPK/ERK and PI3K/Akt are two of the major pro-oncogenic signaling pathways. These two signaling pathways are often hyperactivated and dysregulated in HCC and have a regulatory role in survival, cell differentiation, and proliferation [16–22]. Triggering of signaling pathways of MAPK and PI3K-AKT-mTOR had a poor outcome, and pERK (phosphorylated extracellular signal-regulated kinase) and pAKT (phosphorylation of protein kinase B) are the most common surrogate of AKT and MAPK pathway activation [4]. In this study, serum AST is included in many HCC prediction systems [23, 24], and it is an independent risk factor predicting prognosis. Previous investigations involving HCC patients subjected to sorafenib treatment have focused on an advanced stage of the disease, however, this study also included the early stage of HCC. In this study, we screened the sorafenib biomarker and clinicopathological index in HCC patients related to the hepatitis B virus and treated with sorafenib following partial hepatectomy. We then used a multivariate

Cox proportional hazards model to establish a nomogram to carry out an analysis of the 113 patients treated with sorafenib.

For most cancer types, nomograms have been developed [25–27]. In fact, for many cancers, the use of nomograms is more beneficial than traditional staging systems, therefore nomograms are often put forth as an alternative or as entirely new standards [28–31]. To the best of our understanding, this is the very first endeavor to construct a nomogram for prognosis based on the clinicopathologic and biomarker data of 113 patients of hepatitis B virus-related HCC treated with sorafenib after partial hepatectomy, in order to determine whether or not the model can predict patient survival accurately.

## Methods

### Patients and Treatment

To investigate the different aspects related to the advantages of sorafenib in HCC patients, 233 patients who went through surgery between April 2008 and February 2013 at Eastern Hepatobiliary Surgery Hospital (EHBH) were made a part of this study. Of them, 113 patients had been given sorafenib therapy following partial hepatectomy and were referred to as the sorafenib group. The rest of the patients who did not receive sorafenib was the control group. The inclusion criteria were defined as (1) Preoperatively the liver function was Child-Pugh A/B and the diagnosis was HCC; (2) Received sorafenib treatment within a month following surgery and continued until death or more than one year; (3) hepatitis B core antibody (HBcAb) and/or Hepatitis B surface antigen (HBsAg) are positive whereas hepatitis C antibody is negative; (4) The HCC patients had not been exposed to any pre-surgical treatments such as chemoembolization, high-intensity focused ultrasound or radiofrequency ablation. Their detailed clinicopathological features are described in Fig. 1. Slides from each surgically resected tissue were prepared using hematoxylin and eosin (H&E)-stained and examined by two accomplished hematopathologists (Hui Dong and Wen Ming Cong). The primary HCC specimens were collected from patients for microarrays construction and Immunohistochemistry (IHC) staining. Fig. S1 shows the flow diagrams of patients.

### Follow-Up

During the first-year post-surgery, follow up of the patients was done once every 2-3 months and later every 3-6 months. Assessments of liver function and serum tumor markers were carried out at every follow-up.

When recurrence or metastasis is suspected, every 6 months or sooner magnetic resonance imaging (MRI) or contrast-enhanced CT was performed. Metastasis or recurrence of HCC is the presence of a newly detectable tumor with or without elevated serum tumor markers and confirmed on both radiologic images. The time duration between surgery and last follow-up exam or the death was termed as overall survival (OS). Calculation of TTR was carried out from the date of surgery to the diagnosis of metastasis or recurrence.

## Tissue microarrays, IHC, and scoring

233 specimens were selected, and the representative core of each specimen was utilized to construct tissue microarrays. IHC was carried out and samples were measured according to previous reports [32, 33]. The system for imaging included a CCD camera by Leica, DFC420, linked to Leica DM IRE2 microscope obtained from Leica Microsystems Imaging Solutions, Cambridge, UK. The representative field images were taken from individual core under 200× magnification employing Leica QW in Plus v3 software. Counting and measurement of the photographs IOD were done employing software of Image-Pro plus V6.0 (Media Cybernetics, Bethesda, MD, USA) and the parameters used were IOD and Area sum. Dilution of the Primary antibodies was done as follows: a rabbit monoclonal [SP86] to Glypican 3 (ab95363; Abcam, Hong Kong; 1:100 dilution, cytomembrane staining), a monoclonal rabbit antibody against Erk1/2 (137F5)(4695; Cell Signaling Technology, Danvers, MA, USA; 1:100 dilution, cytoplasmic staining), a rabbit monoclonal antibody against AKT1 (D9R8K)(75692, Cell Signaling Technology, Danvers, MA, USA; 1:200 dilution, cytoplasmic staining).

## Statistical Analysis

Identification of risk factors was done via statistical analyses carried out using SPSS V22.0 software (IBM, Chicago, IL). Grouping of the categorical variables was completed in the light of clinical findings, and prior to modeling, decisions were made for the groups. A comparison of the continuous variables was done using the Mann-Whitney test for variables with the abnormal distribution. Optimal cessation points for the OS were calculated using the X-Tile statistical package (version 3.6.1, Yale University, New Haven, CT, USA). X-tile plot shows the presence of significant HCC subpopulations, and a two-dimensional projection of each possible subpopulation was used to show the robustness of the relationship between an outcome and a biomarker [34]. The extent of quantitative factors such as, -AST, serum ALT -ALP, -Cre, GPC3, pERK, pAKT were assessed by creating X-tile plots. Kaplan-Meier method was utilized to draw the survival curve while log-rank test was used for drawing the comparison. Multivariate analyses were carried out employing the Cox regression analysis. The estimated values were employed for time-dependent ROC (receiver operating characteristic) analysis. A nomogram was created based entirely on the outcomes of multivariate analysis, using rms6.0-0 packages in R version 4.0.1 (<http://www.r-project.org/>). Finally, using the backward step-down selection process based on the Akaike information criterion, a model selection process was implemented [35]. Concordance index (C-index) was employed to estimate Nomogram's performance and a comparison of the nomogram predicted versus with the Kaplan-Meier method-based survival probabilities was used for nomogram performance evaluation. These activities were initiated using Bootstraps with 1,000 resample. The accuracy of the prognostic prediction increased with an increase in the value of C-index [23]. *P* values under 0.05 were taken as statistically significant.

## Results

### Clinicopathologic Characteristics of Patients

In the sorafenib cohort, 113 individuals with HBV-related HCC were included who were subjected to sorafenib therapy after partial hepatectomy. For the control cohort, we studied 120 consecutive HBV-related HCC patients who did not receive sorafenib therapy after partial hepatectomy. Fig. 1 enlists the clinicopathologic traits of patients in the sorafenib and control cohorts. For the sorafenib cohort, the mean follow-up time was found to be 48.6 months, with a range extending from 12.8 to 126.5 months, the mean TTR came out to be 14.4 months (having a range extending from 1.3 to 98.7 months) whereas the mean OS was 35.7 months (ranging between 0.9 to 119.6 months). The mean follow-up time in the control cohort was 47.5 months (range, 4.9-111.5 months) whereas the mean TTR and mean OS was 12.7 months (range, 1.0 to 110.1 months) and 32.3 months (range, 3.1 to 111.5 months) respectively.

### **Relationship between indicators and prognosis in patients treated with sorafenib after surgery**

To investigate the clinicopathologic characteristics in HCC patients and biomarkers expression in HCC specimens, and their relationship with the outcome of the patient, pathologic features, serological indicator, HCC staging systems, and biomarkers were selected based on the clinical findings. IHC staining was employed for the detection of the expression of biomarkers including GPC3, pERK and pAKT in postoperative HCC specimens of 233 patients who were/were not subjected to secondary sorafenib therapy, followed by quantification and scoring. Fig. 2 shows the Representative images of expressed biomarkers in HCC specimens. Further, in order to define the optimal limit of those biomarkers and serological indicator levels, we used X-Tile to extend across all of the biomarker's expression and serological indicator value as the cutoff point for dividing the patients and estimating the magnitude of benefit of sorafenib against control in the high- or low-level groups. Patients were also grouped according to the pathologic features and HCC staging systems. According to sorafenib treatment status, subgroup analysis revealed that low levels of GPC3 ( $p=0.002$ ), pERK ( $p<0.001$ ) and pAKT ( $p=0.001$ ) were related to OS, and survival advantages of sorafenib treatment have also been witnessed in HCC in male patients ( $p=0.025$ ), Age < 50 years ( $p=0.018$ ), the lack of MVI ( $p=0.013$ ), AFP < 400  $\mu\text{g/L}$  ( $p=0.015$ ), ALT < 44 U/L ( $p=0.007$ ), ALP < 97 U/L ( $p=0.006$ ), AST < 40 U/L ( $p=0.003$ ), BCLC stage 0/A ( $p=0.0056$ ), TNM stage I/II ( $p=0.011$ ) or Child-Pugh stage A ( $p=0.009$ ) (Fig. 1). Consistent results were obtained using the Kaplan-Meier analysis of OS (Fig. S2). In addition, a significant interaction was also detected between treatment and these factors (Table 1). At the same time, the data also verified the significance of these factors in predicting the TTR advantages of sorafenib in HCC patients (Fig. S3).

### **Independent Prognostic Factors in the Sorafenib Cohort**

HCC Precision therapy is heavily reliant on the optimal combination of clinical variables and biomarkers to stratify patients [36, 37]. Therefore, Cox regression was performed according to the significant prognostic factors selected by the subgroup analysis. Table 1 illustrates the results of the univariate analysis as well as multivariate analysis. Univariate analysis of OS exhibits that low levels of GPC3, pERK, pAKT, serum AFP, without MVI, under 50 years old, male, TNM stage I or II, and BCLC stage 0/A had a significant association with an improved OS in sorafenib. Multivariate analyses demonstrated that serum AST, BCLC staging system, GPC3, pERK, and pAKT came out as independent risk factors associated with

OS. Diminished levels of GPC3 ( $P < 0.001$  Fig. 3A), pERK ( $P < 0.001$  as seen in Fig. 3B), pAKT ( $P < 0.001$  as seen in Fig. 3C), serum AST ( $P < 0.001$  as illustrated in Fig. 3E) and BCLC stage B/C ( $P < 0.001$ , Fig. 3D) predicted better OS of patients in the sorafenib category.

### Constructing and validating the prognostic prediction nomogram

The prognostic nomogram for the integration of all independent significant factors for OS in the sorafenib cohort can be seen in Fig. 4. The nomogram was evaluated in terms of its description power by using ROC curves and C-index values. For OS prediction the C-index was found to be 0.73; 95% CI ranging from 0.67-0.78. Figs 5A, 5C, and 5E show that the calibration plot for 1, 3- or 5-year survival probability following surgical reflected that the prediction of nomogram is in optimal agreement with real-time observations (The 1-, 3-, and 5-year AUCs of the nomogram in the sorafenib cohort were 0.726, 0.816, and 0.823, respectively (Figs 5B, 5D and 5F). In addition, the nomogram can rather exactly classify patients into three prognostic subcategories having respective scores of  $\leq 28$ , 28-122,  $> 122$ . The respective 5-year rates of OS of the three subgroups were 46.9%, 17.5%, and 0% in the sorafenib cohort ( $P < 0.001$ , Fig. 3F). The respective mean OS of nomogram stage I, stage II, and stage III in sorafenib cohort was found to be 56.0, 36.0, and 16.0 months, but the respective OS of three subgroups were 41.2, 29.5, 24.5 months in control cohort. The nomogram also showed the prognostic value in the control group ( $p = 0.003$ , Fig. S4F). In comparison to control group, the sorafenib group was found to have better OS in stage I ( $p < 0.001$ , Fig. S5A) and stage II ( $p = 0.017$ , Fig. S5B), but no significant difference was observed in stage III group ( $p = 0.226$ , Fig. S5C).

### Comparing the Accuracy of prediction between Nomogram and Single Independent Factor

The predictive potential for the prognosis of the nomogram and independent factor was compared for HCC patients exposed to sorafenib therapy following partial hepatectomy or the absence of it. Among these independent risk factors, only GPC3 (Fig. S4A) and BCLC system (Fig. S4D) showed the prognostic value in the control cohort. The C-index for OS prediction in sorafenib cohort, were 0.59 for BCLC staging system, 0.61 for serum AST, 0.62 for GPC3, 0.63 for pERK, 0.58 for pAKT, which were considerably less than the C-index established using the nomogram (0.73;  $P < 0.001$ ).

## Discussion

Survival benefits of sorafenib are limited, and some HCC patients later succumbed to disease progression after responding initially to sorafenib [38, 39]. It is noteworthy in particular, that as HCC is a highly heterogeneous malignancy, different individuals suffering from it might show variable responses to sorafenib thus resulting in an increased need for biomarkers regarding the selection of patients as well as prediction of response. Recently, the understanding of the underlying mechanism that influences the responses of HCC towards sorafenib has increased [37]. Llovet et al. generated a newly 146-gene signature able to recognize 30% of patients who benefitted from sorafenib [4]. A recent study reported FLT3 may be able to predict sorafenib benefit in HCC patients. Numerous other works have reported that amplifying VEGFA, FGF3/FGF4 or FGF19 may potentially predict HCC response to sorafenib [40, 41]. However, for

sorafenib, no effective biomarkers of response have been identified [4]. This work revolves around developing a nomogram to accurately make predictions regarding patient survival in HCC, for an individual exposed to sorafenib treatment after hepatic resection.

The significance of prognosis of tumor cell serum GPC3 levels and GPC3 immunoreactivity in patients with HCC has been defined [42]. EMT has been found to influence HCC resistance to sorafenib. Among various characteristics of EMT, an important hallmark is E-cadherin inhibition. Inhibition of E-cadherin leads to degradation of the surrounding extracellular matrix due to the migration of primary malignant cells from their primary site and finally their migration into the blood vessels and eventual takeover of secondary organs [43]. Wu et al. and Qi et al. showed that E-cadherin and GPC3 expression are correlated negatively in HepG2 cells [44, 45]. Additionally, the level of E-cadherin was low in GPC3 overexpression HCC tumor tissues [45]. In GPC3-silenced HepG2 cells, a decrease in Slug and Snail and other EMT-related proteins and migration-related proteins (matrix metalloproteinase 2 and 9) was observed [44]. In summary, these results indicate that EMT is promoted by GPC3 overexpression in HCC cells [13]. The level of GPC3 was also shown in this nomogram. Our results showed that a low level of GPC3 patients has a better OS than high in the sorafenib cohort. The low level of GPC3 is significantly related to an improved OS in patients subjected to sorafenib adjuvant therapy compared to those not treated with sorafenib.

pERK is a proxy for the sorafenib inhibitory of the RAS/MAPK pathway in vitro and solid tumors [9]. Several studies have proposed pERK as a candidate biomarker associated with prognosis following treatment with sorafenib, despite conflicting outcomes [46–48]. The lack of a validated system of scoring for pERK immunostaining, and the variation among cohorts, endpoints, and detection techniques could be the reason behind these inconsistencies [4]. The pERK level was included in the OS nomogram. Our results showed that a low level of pERK significantly correlated with an improved OS in patients exposed to sorafenib adjuvant therapy patients compared to those not treated with sorafenib. Decreased levels of pERK in patients led to better OS compared to those with high levels of pERK in the sorafenib cohort, but this was not found in the control group (Fig.S4).

The pAKT level was included in the OS nomogram. Our results showed that sorafenib adjuvant therapy patients have better OS compared with not treated with sorafenib in a low level of pAKT cohort, and low levels of pAKT patients have better OS than high in sorafenib cohort. This result is supported by previous reports. Many studies have revealed that in sorafenib-resistant HCC cells, the Akt pathway is highly activated, [49–52] and inhibition of Akt can potentially reverse this opposition by shifting autophagy from a role in cellular protection to a mechanism promoting death [49]. In addition, the response towards sorafenib is impaired in HCC due to irregular p-AKT activation [53, 54]. EMT has been observed to impact sorafenib resistance to HCC [53], and hyperactivity of PI3K/AKT signaling as a major originating reason [54, 55]. In this trial, we arrived at the result that patients with low pAKT expression in the Sorafenib cohort had a better prognosis, but for the control group, this trend was nonexistent. Simultaneously, among the patients with low pAKT level, patients who received sorafenib therapy after surgery had a better OS than those who did not.

The serum AST and BCLC systems were also shown in this nomogram. Serum AST is included in many HCC prediction systems [23, 24]. Our results showed that low serum AST has a better OS as compared to high serum AST in the sorafenib cohort, but this trend was not found in the control group (Fig.S4). In patients with low serum AST, those treated with sorafenib after surgery had a better OS than those who were not treated with sorafenib. Previous studies have focused on the advanced stage of BCLC in HCC patients, and this study found that sorafenib adjuvant therapy after surgery in the initial stage of BCLC had a better OS in comparison to those not treated with sorafenib.

Our proposed nomogram can thus quite predict the prognosis of HCC patients treated with sorafenib post-surgery quite accurately. The prediction accuracy of the nomogram was better than that of a single independent factor. We also found that treatment with sorafenib after surgery in nomogram stage I patients had a significant benefit, while nomogram stage II patients had a partial benefit, but nomogram stage III patients had no significant benefit. Thus, our nomogram can be employed to predict patient prognosis in patients with HCC exposed to sorafenib therapy after surgery, to select appropriate candidates for potentially successful adjuvant therapy, and patients were stratified in a randomized controlled trial design based on accurate prognostic stratification. At the same time, the model has the potential to facilitate active communication between patients and doctors about postoperative sequential treatment and prognostic analysis [56].

This study suffers from some inevitable limitations. First, only a single Chinese institution was used for the establishment of a nomogram. Secondly, the patients in the cohort had a background of HBV infection, HCV infection patients were not included. Since HCV infection was an important factor for HCC cancerization, especially in Western countries, it is not clear whether this nomogram is suitable for patients with a Western background. Third, this study only has a primary cohort but no validation cohort, which is still a limitation and to a certain extent, might affect the results as well. Finally, whether or not the proposed nomogram applies to individual patients receiving another adjuvant therapy other than sorafenib still remains to be ascertained.

## Conclusion

To conclude, our proposed nomogram can be used to choose appropriate candidates for potential and effective sorafenib adjuvant therapy after surgery. There is still an immense need for additional studies to establish whether or not it applies to other patient cohorts.

## Abbreviations

|     |                              |
|-----|------------------------------|
| ALT | Alanine aminotransferase     |
| AST | Aspartate transaminase       |
| AUC | The area under the ROC curve |

|          |  |
|----------|--|
| C-index  | Concordance index  |
| FDA      | Food and Drug Administration   |
| GPC3     | Glypican-3   |
| HBcAb    | Hepatitis B core antibody  |
| HBsAg    | Hepatitis B surface antigen  |
| HBV      | Hepatitis B virus  |
| HCC      | Hepatocellular carcinoma   |
| HCV      | Hepatitis C virus  |
| HE       | Hematoxylin-eosin  |
| HGF      | Hepatocyte growth factor   |
| IFN      | Interferon   |
| IHC      | Immunohistochemistry   |
| MAPK/ERK | Mitogen-activated protein kinase/extracellular signal-regulated kinase |
| MRI      | Magnetic resonance imaging   |
| OS       | Overall survival   |
| pAKT     | Phosphorylated AKT   |
| pERK     | Phosphorylated ERK   |
| ROC      | Receiver operating characteristic                                      |
| TBIL     | Total bilirubin  |
| TNM      | Tumor-node-metastasis classification system                            |
| TTR      | Time to recurrence   |
| VEGFR    | Vascular endothelial growth factor receptors                           |
| WHO      | World Health Organization  |

## Declarations

## **Ethics Approval and Consent Statement**

The research protocol was approved by the Ethics Committee Shanghai Eastern Hepatobiliary Surgery Hospital. All the patients provide written informed consent.

## **Consent for Publication**

All authors have seen the manuscript and approved to submit to your journal.

## **Availability of data and materials**

All data analysed during this study are included in this manuscript.

## **Competing interests**

The authors declare that they have no competing interests.

## **Funding**

This study was supported by grants from the National Natural Science Foundation of China [grant numbers: 81272662, 81472278, 81472769]; Funds for Creative Research Groups of National Natural Science Foundation of China [grant number: 81521091]; Shanghai Municipal Commission of Health and Family Planning [grant numbers: 201840152]; and National Commission of Health and Family Planning [grant numbers:2018ZX10302207-004-005].

## **Authors' contributions**

Study concept design: W-MC, HD and WD; Immunohistochemistry stain: WD, HY, and Z-HX; Acquisition of data, interpretation of data: WD, HY, YF, KY, Y-QZ, LH, Y-CZ and Z-YC; All authors contributed to data analysis, drafting and revising the article, gave final approval of the version to be published, and agree to be accountable for all aspects of the work.

## **Acknowledgements**

The authors would like to thank Youwen Qian, Yuyao Zhu and Jia Chen in Department of Pathology, Eastern Hepatobiliary Surgery Hospital, the Second Military Medical University for their technical assistance.

## **Authors' information**

Wei Dong, Email: well\_dw@126.com; Yong Fu, Email: fuyg1982@163.com; Kai Yan, Email: 739376536@qq.com; Hua Yu, Email: yuhuagws@163.com; Lei Huo, Email:leidfgd@163.com; Zhihong Xian, Email: xianzh7210@163.com; Jutang Li, Email:lijutang@163.com, Yuchan Zhang, Email: 1025456197@qq.com; Zhenying Cao, Email: 1228956965@qq.com; Wenming Cong, Email:wmcong@smmu.edu.cn; Hui Dong, Email: huidongwh@126.com.

## References

1. Villanueva A: **Hepatocellular Carcinoma.** *The New England journal of medicine* 2019, **380**:1450-1462.
2. **EASL Clinical Practice Guidelines: Management of hepatocellular carcinoma.** *Journal of hepatology* 2018, **69**:182-236.
3. Heimbach J, Kulik L, Finn R, Sirlin C, Abecassis M, Roberts L, Zhu A, Murad M, Marrero J: **AASLD guidelines for the treatment of hepatocellular carcinoma.** *Hepatology (Baltimore, Md)* 2018, **67**:358-380.
4. Pinyol R, Montal R, Bassaganyas L, Sia D, Takayama T, Chau G, Mazzaferro V, Roayaie S, Lee H, Kokudo N, et al: **Molecular predictors of prevention of recurrence in HCC with sorafenib as adjuvant treatment and prognostic factors in the phase 3 STORM trial.** *Gut* 2019, **68**:1065-1075.
5. Kudo M, Finn R, Qin S, Han K, Ikeda K, Piscaglia F, Baron A, Park J, Han G, Jassem J, et al: **Lenvatinib versus sorafenib in first-line treatment of patients with unresectable hepatocellular carcinoma: a randomised phase 3 non-inferiority trial.** *Lancet (London, England)* 2018, **391**:1163-1173.
6. Bruix J, Qin S, Merle P, Granito A, Huang Y, Bodoky G, Pracht M, Yokosuka O, Rosmorduc O, Breder V, et al: **Regorafenib for patients with hepatocellular carcinoma who progressed on sorafenib treatment (RESORCE): a randomised, double-blind, placebo-controlled, phase 3 trial.** *Lancet (London, England)* 2017, **389**:56-66.
7. El-Khoueiry A, Sangro B, Yau T, Crocenzi T, Kudo M, Hsu C, Kim T, Choo S, Trojan J, Welling T, et al: **Nivolumab in patients with advanced hepatocellular carcinoma (CheckMate 040): an open-label, non-comparative, phase 1/2 dose escalation and expansion trial.** *Lancet (London, England)* 2017, **389**:2492-2502.
8. Abou-Alfa G, Meyer T, Cheng A, El-Khoueiry A, Rimassa L, Ryoo B, Cicin I, Merle P, Chen Y, Park J, et al: **Cabozantinib in Patients with Advanced and Progressing Hepatocellular Carcinoma.** *The New England journal of medicine* 2018, **379**:54-63.
9. Wilhelm S, Adnane L, Newell P, Villanueva A, Llovet J, Lynch M: **Preclinical overview of sorafenib, a multikinase inhibitor that targets both Raf and VEGF and PDGF receptor tyrosine kinase signaling.** *Molecular cancer therapeutics* 2008, **7**:3129-3140.
10. Jackson R, Psarelli E, Berhane S, Khan H, Johnson P: **Impact of Viral Status on Survival in Patients Receiving Sorafenib for Advanced Hepatocellular Cancer: A Meta-Analysis of Randomized Phase III Trials.** *Journal of clinical oncology : official journal of the American Society of Clinical Oncology* 2017, **35**:622-628.
11. Bruix J, Cheng A, Meinhardt G, Nakajima K, De Sanctis Y, Llovet J: **Prognostic factors and predictors of sorafenib benefit in patients with hepatocellular carcinoma: Analysis of two phase III studies.** *Journal of hepatology* 2017, **67**:999-1008.
12. Llovet J, Peña C, Lathia C, Shan M, Meinhardt G, Bruix J: **Plasma biomarkers as predictors of outcome in patients with advanced hepatocellular carcinoma.** *Clinical cancer research : an official journal of the American Association for Cancer Research* 2012, **18**:2290-2300.

13. Zhou F, Shang W, Yu X, Tian J: **Glypican-3: A promising biomarker for hepatocellular carcinoma diagnosis and treatment.***Medicinal research reviews* 2018, **38**:741-767.
14. Capurro M, Wanless I, Sherman M, Deboer G, Shi W, Miyoshi E, Filmus J: **Glypican-3: a novel serum and histochemical marker for hepatocellular carcinoma.***Gastroenterology* 2003, **125**:89-97.
15. Nishida T, Kataoka H: **Glypican 3-Targeted Therapy in Hepatocellular Carcinoma.***Cancers* 2019, **11**.
16. Hanahan D, Weinberg R: **Hallmarks of cancer: the next generation.***Cell* 2011, **144**:646-674.
17. Pavlova N, Thompson C: **The Emerging Hallmarks of Cancer Metabolism.***Cell metabolism* 2016, **23**:27-47.
18. Elstrom R, Bauer D, Buzzai M, Karnauskas R, Harris M, Plas D, Zhuang H, Cinalli R, Alavi A, Rudin C, Thompson C: **Akt stimulates aerobic glycolysis in cancer cells.***Cancer research* 2004, **64**:3892-3899.
19. Zhou Q, Lui V, Yeo W: **Targeting the PI3K/Akt/mTOR pathway in hepatocellular carcinoma.***Future oncology (London, England)* 2011, **7**:1149-1167.
20. Yang S, Liu G: **Targeting the Ras/Raf/MEK/ERK pathway in hepatocellular carcinoma.***Oncology letters* 2017, **13**:1041-1047.
21. Jones R, Thompson C: **Tumor suppressors and cell metabolism: a recipe for cancer growth.***Genes & development* 2009, **23**:537-548.
22. Dimri M, Humphries A, Laknaur A, Elattar S, Lee T, Sharma A, Kolhe R, Satyanarayana A: **NAD(P)H Quinone Dehydrogenase 1 Ablation Inhibits Activation of the Phosphoinositide 3-Kinase/Akt Serine/Threonine Kinase and Mitogen-Activated Protein Kinase/Extracellular Signal-Regulated Kinase Pathways and Blocks Metabolic Adaptation in Hepatocellular Carcinoma.***Hepatology (Baltimore, Md)* 2020, **71**:549-568.
23. Huitzil-Melendez F, Capanu M, O'Reilly E, Duffy A, Gansukh B, Saltz L, Abou-Alfa G: **Advanced hepatocellular carcinoma: which staging systems best predict prognosis?***Journal of clinical oncology : official journal of the American Society of Clinical Oncology* 2010, **28**:2889-2895.
24. Ercolani G, Grazi G, Ravaioli M, Del Gaudio M, Gardini A, Cescon M, Varotti G, Cetta F, Cavallari A: **Liver resection for hepatocellular carcinoma on cirrhosis: univariate and multivariate analysis of risk factors for intrahepatic recurrence.***Annals of surgery* 2003, **237**:536-543.
25. Bochner B, Kattan M, Vora K: **Postoperative nomogram predicting risk of recurrence after radical cystectomy for bladder cancer.***Journal of clinical oncology : official journal of the American Society of Clinical Oncology* 2006, **24**:3967-3972.
26. Karakiewicz P, Briganti A, Chun F, Trinh Q, Perrotte P, Ficarra V, Cindolo L, De la Taille A, Tostain J, Mulders P, et al: **Multi-institutional validation of a new renal cancer-specific survival nomogram.***Journal of clinical oncology : official journal of the American Society of Clinical Oncology* 2007, **25**:1316-1322.
27. Wierda W, O'Brien S, Wang X, Faderl S, Ferrajoli A, Do K, Cortes J, Thomas D, Garcia-Manero G, Koller C, et al: **Prognostic nomogram and index for overall survival in previously untreated patients with chronic lymphocytic leukemia.***Blood* 2007, **109**:4679-4685.

28. Sternberg C: **Are nomograms better than currently available stage groupings for bladder cancer?** *Journal of clinical oncology : official journal of the American Society of Clinical Oncology* 2006, **24**:3819-3820.
29. Mariani L, Miceli R, Kattan M, Brennan M, Colecchia M, Fiore M, Casali P, Gronchi A: **Validation and adaptation of a nomogram for predicting the survival of patients with extremity soft tissue sarcoma using a three-grade system.** *Cancer* 2005, **103**:402-408.
30. Wang L, Hricak H, Kattan M, Chen H, Scardino P, Kuroiwa K: **Prediction of organ-confined prostate cancer: incremental value of MR imaging and MR spectroscopic imaging to staging nomograms.** *Radiology* 2006, **238**:597-603.
31. Wang Y, Li J, Xia Y, Gong R, Wang K, Yan Z, Wan X, Liu G, Wu D, Shi L, et al: **Prognostic nomogram for intrahepatic cholangiocarcinoma after partial hepatectomy.** *Journal of clinical oncology : official journal of the American Society of Clinical Oncology* 2013, **31**:1188-1195.
32. Jin G, Dong W, Dong H, Yu H, Chen J, Yu W, Li A, Cong W, Wu M: **The diagnostic and prognostic value of MRP8/MRP14 in intrahepatic cholangiocarcinoma.** *Oncotarget* 2015, **6**:39357-39364.
33. Dong W, Yu H, Zhu Y, Xian Z, Chen J, Wang H, Shi C, Jin G, Dong H, Cong W: **A Novel Pathological Scoring System for Hepatic Cirrhosis with Hepatocellular Carcinoma.** *Cancer Management and Research* 2020, **12**:5537-5547.
34. Camp R, Dolled-Filhart M, Rimm D: **X-tile: a new bio-informatics tool for biomarker assessment and outcome-based cut-point optimization.** *Clinical cancer research : an official journal of the American Association for Cancer Research* 2004, **10**:7252-7259.
35. Harrell F, Lee K, Mark D: **Multivariable prognostic models: issues in developing models, evaluating assumptions and adequacy, and measuring and reducing errors.** *Statistics in medicine* 1996, **15**:361-387.
36. Llovet J, Montal R, Sia D, Finn R: **Molecular therapies and precision medicine for hepatocellular carcinoma.** *Nature reviews Clinical oncology* 2018, **15**:599-616.
37. Sun W, Li S, Xu L, Zhong W, Wang Z, Pan C, Li J, Jin G, Ta N, Dong W, et al: **High FLT3 Levels May Predict Sorafenib Benefit in Hepatocellular Carcinoma.** *Clinical cancer research : an official journal of the American Association for Cancer Research* 2020.
38. Kudo M: **Lenvatinib May Drastically Change the Treatment Landscape of Hepatocellular Carcinoma.** *Liver cancer* 2018, **7**:1-19.
39. Li W, Dong X, He C, Tan G, Li Z, Zhai B, Feng J, Jiang X, Liu C, Jiang H, Sun X: **LncRNA SNHG1 contributes to sorafenib resistance by activating the Akt pathway and is positively regulated by miR-21 in hepatocellular carcinoma cells.** *Journal of experimental & clinical cancer research : CR* 2019, **38**:183.
40. Horwitz E, Stein I, Andreozzi M, Nemeth J, Shoham A, Pappo O, Schweitzer N, Tornillo L, Kanarek N, Quagliata L, et al: **Human and mouse VEGFA-amplified hepatocellular carcinomas are highly sensitive to sorafenib treatment.** *Cancer discovery* 2014, **4**:730-743.

41. Arao T, Ueshima K, Matsumoto K, Nagai T, Kimura H, Hagiwara S, Sakurai T, Haji S, Kanazawa A, Hidaka H, et al: **FGF3/FGF4 amplification and multiple lung metastases in responders to sorafenib in hepatocellular carcinoma.***Hepatology (Baltimore, Md)* 2013, **57**:1407-1415.
42. Zhang P, Li K, Shen Y, Gao P, Dong Z, Cai J, Zhang C, Huang X, Tian M, Hu Z, et al: **Galectin-1 induces hepatocellular carcinoma EMT and sorafenib resistance by activating FAK/PI3K/AKT signaling.***Cell death & disease* 2016, **7**:e2201.
43. Thiery J: **Epithelial-mesenchymal transitions in development and pathologies.***Current opinion in cell biology* 2003, **15**:740-746.
44. Qi X, Wu D, Cui H, Ma N, Su J, Wang Y, Jiang Y: **Silencing of the glypican-3 gene affects the biological behavior of human hepatocellular carcinoma cells.***Molecular medicine reports* 2014, **10**:3177-3184.
45. Wu Y, Liu H, Weng H, Zhang X, Li P, Fan C, Li B, Dong P, Li L, Dooley S, Ding H: **Glypican-3 promotes epithelial-mesenchymal transition of hepatocellular carcinoma cells through ERK signaling pathway.***International journal of oncology* 2015, **46**:1275-1285.
46. Negri F, Dal Bello B, Porta C, Campanini N, Rossi S, Tinelli C, Poggi G, Missale G, Fanello S, Salvagni S, et al: **Expression of pERK and VEGFR-2 in advanced hepatocellular carcinoma and resistance to sorafenib treatment.***Liver international : official journal of the International Association for the Study of the Liver* 2015, **35**:2001-2008.
47. Personeni N, Rimassa L, Pressiani T, Destro A, Ligorio C, Tronconi M, Bozzarelli S, Carnaghi C, Di Tommaso L, Giordano L, et al: **Molecular determinants of outcome in sorafenib-treated patients with hepatocellular carcinoma.***Journal of cancer research and clinical oncology* 2013, **139**:1179-1187.
48. Chen J, Ji T, Zhao J, Li G, Zhang J, Jin R, Liu J, Liu X, Liang X, Huang D, et al: **Sorafenib-resistant hepatocellular carcinoma stratified by phosphorylated ERK activates PD-1 immune checkpoint.***Oncotarget* 2016, **7**:41274-41284.
49. Ke A, Shi G, Zhou J, Huang X, Shi Y, Ding Z, Wang X, Devbhandari R, Fan J: **CD151 amplifies signaling by integrin  $\alpha 6\beta 1$  to PI3K and induces the epithelial-mesenchymal transition in HCC cells.***Gastroenterology* 2011, **140**:1629-1641.e1615.
50. Llovet J, Ricci S, Mazzaferro V, Hilgard P, Gane E, Blanc J, de Oliveira A, Santoro A, Raoul J, Forner A, et al: **Sorafenib in advanced hepatocellular carcinoma.***The New England journal of medicine* 2008, **359**:378-390.
51. Martínez-Bosch N, Fernández-Barrena M, Moreno M, Ortiz-Zapater E, Munné-Collado J, Iglesias M, André S, Gabius H, Hwang R, Poirier F, et al: **Galectin-1 drives pancreatic carcinogenesis through stroma remodeling and Hedgehog signaling activation.***Cancer research* 2014, **74**:3512-3524.
52. Wang Z, Li Y, Ahmad A, Azmi A, Kong D, Banerjee S, Sarkar F: **Targeting miRNAs involved in cancer stem cell and EMT regulation: An emerging concept in overcoming drug resistance.***Drug resistance updates : reviews and commentaries in antimicrobial and anticancer chemotherapy* 2010, **13**:109-118.
53. Huang X, Ke A, Shi G, Zhang X, Zhang C, Shi Y, Wang X, Ding Z, Xiao Y, Yan J, et al:  **$\alpha B$ -crystallin complexes with 14-3-3 $\zeta$  to induce epithelial-mesenchymal transition and resistance to sorafenib in**

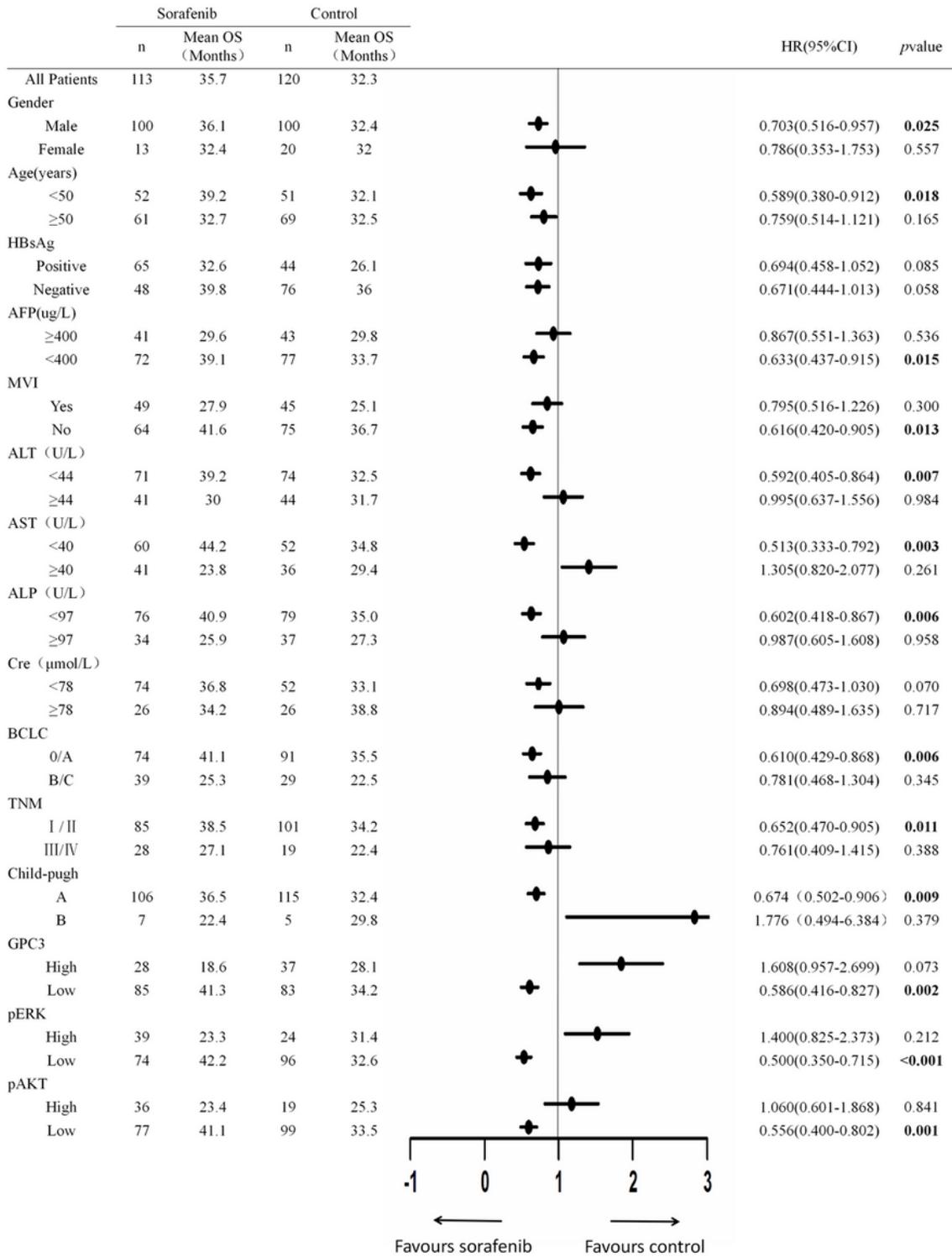
**hepatocellular carcinoma.*Hepatology (Baltimore, Md)* 2013, **57**:2235-2247.**

54. Zhai B, Sun X: **Mechanisms of resistance to sorafenib and the corresponding strategies in hepatocellular carcinoma.***World journal of hepatology* 2013, **5**:345-352.
55. van Malenstein H, Dekervel J, Verslype C, Van Cutsem E, Windmolders P, Nevens F, van Pelt J: **Long-term exposure to sorafenib of liver cancer cells induces resistance with epithelial-to-mesenchymal transition, increased invasion and risk of rebound growth.***Cancer letters* 2013, **329**:74-83.
56. Li J, Zhou J, Yang P, Xia Y, Shi Y, Wu D, Lv G, Zheng W, Wang K, Wan X, et al: **Nomograms for survival prediction in patients undergoing liver resection for hepatitis B virus related early stage hepatocellular carcinoma.***European journal of cancer (Oxford, England : 1990)* 2016, **62**:86-95.

## Table

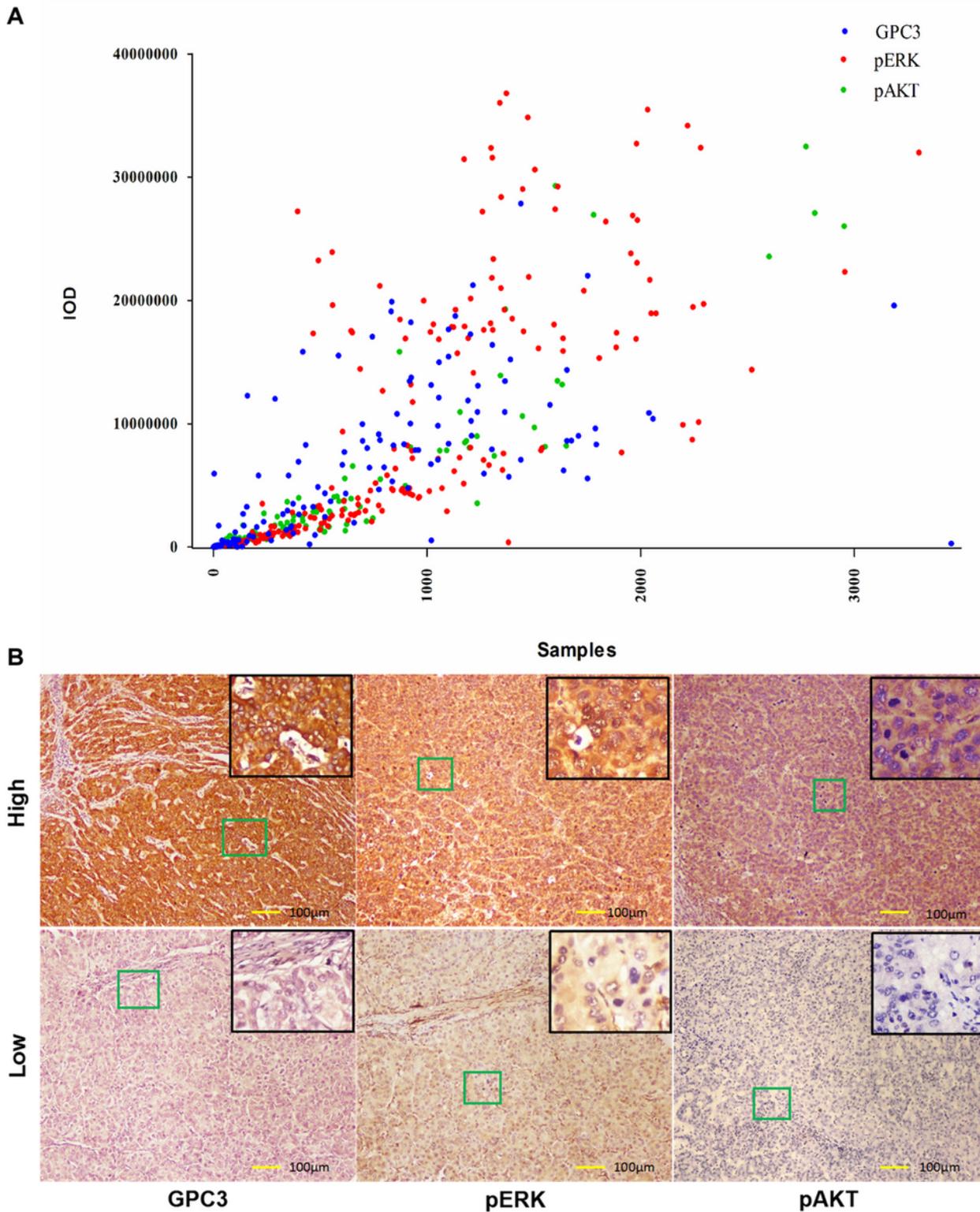
Due to technical limitations Table 1 is available as a download in the Supplementary Files.

## Figures



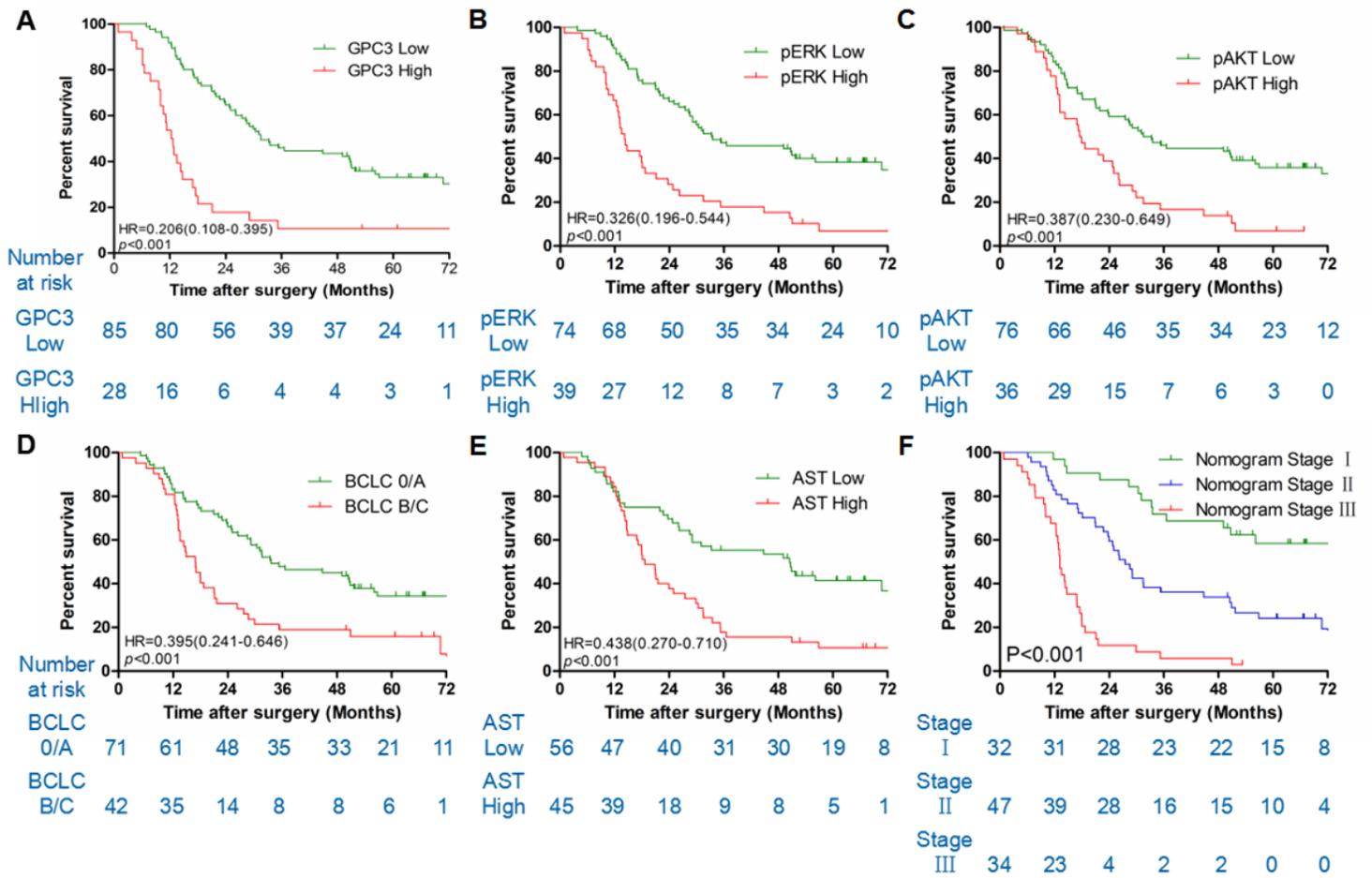
**Figure 1**

The Baseline Characteristics of Subgroup. \* The p value of interactions between treatment and biomark levels or clinical variables were also shown.



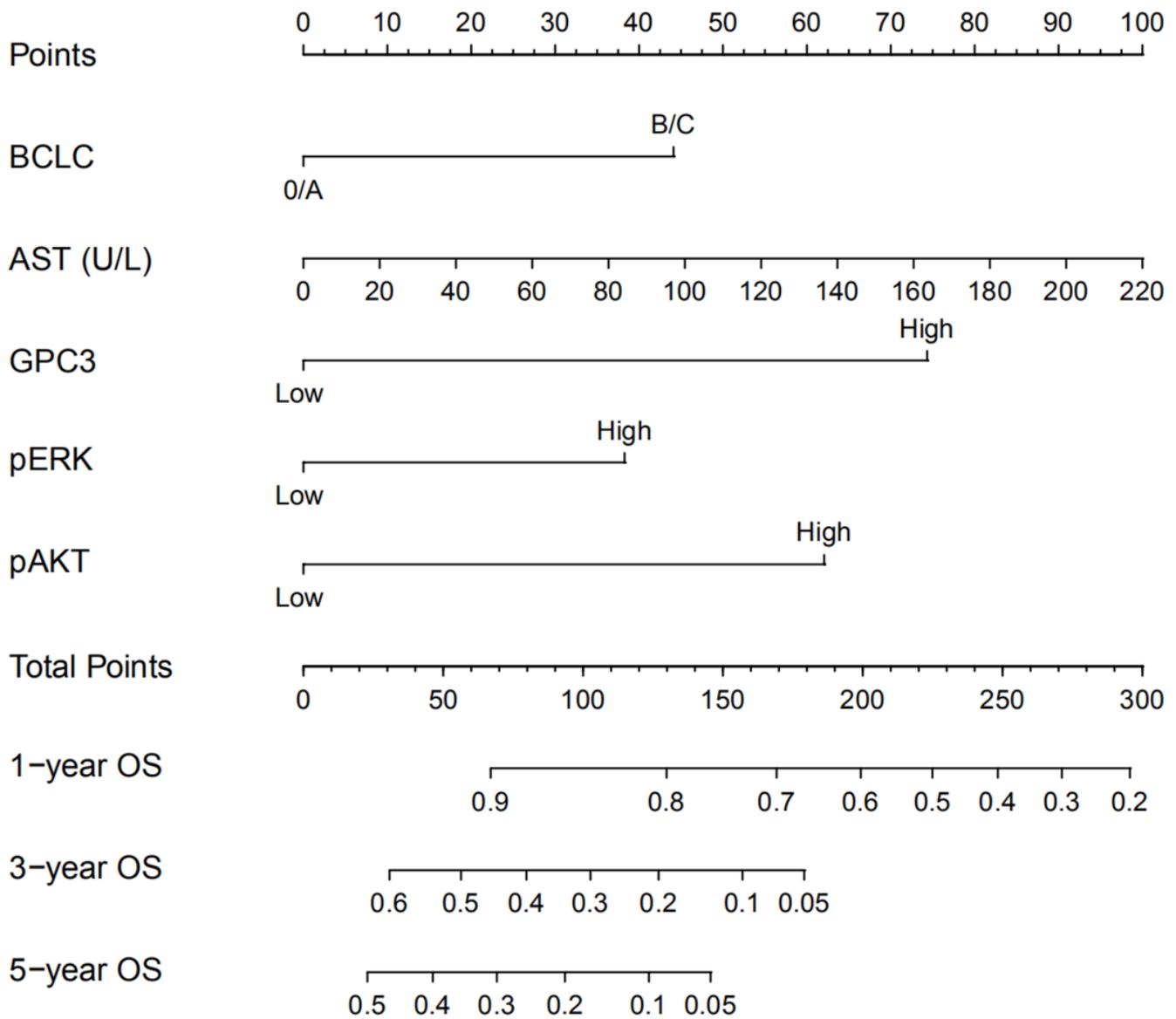
**Figure 2**

Expression of GPC3, pERK and pAKT in Hepatitis B Virus related HCC. a. Immunohistochemical expression of GPC3, pERK and pAKT in HBV-related HCC. A scatter plot of samples and IOD for each marker was obtained. b. Representative images of IHC staining of GPC3, pERK and pAKT from indicated patients were shown. Scale bar=100  $\mu$ m.



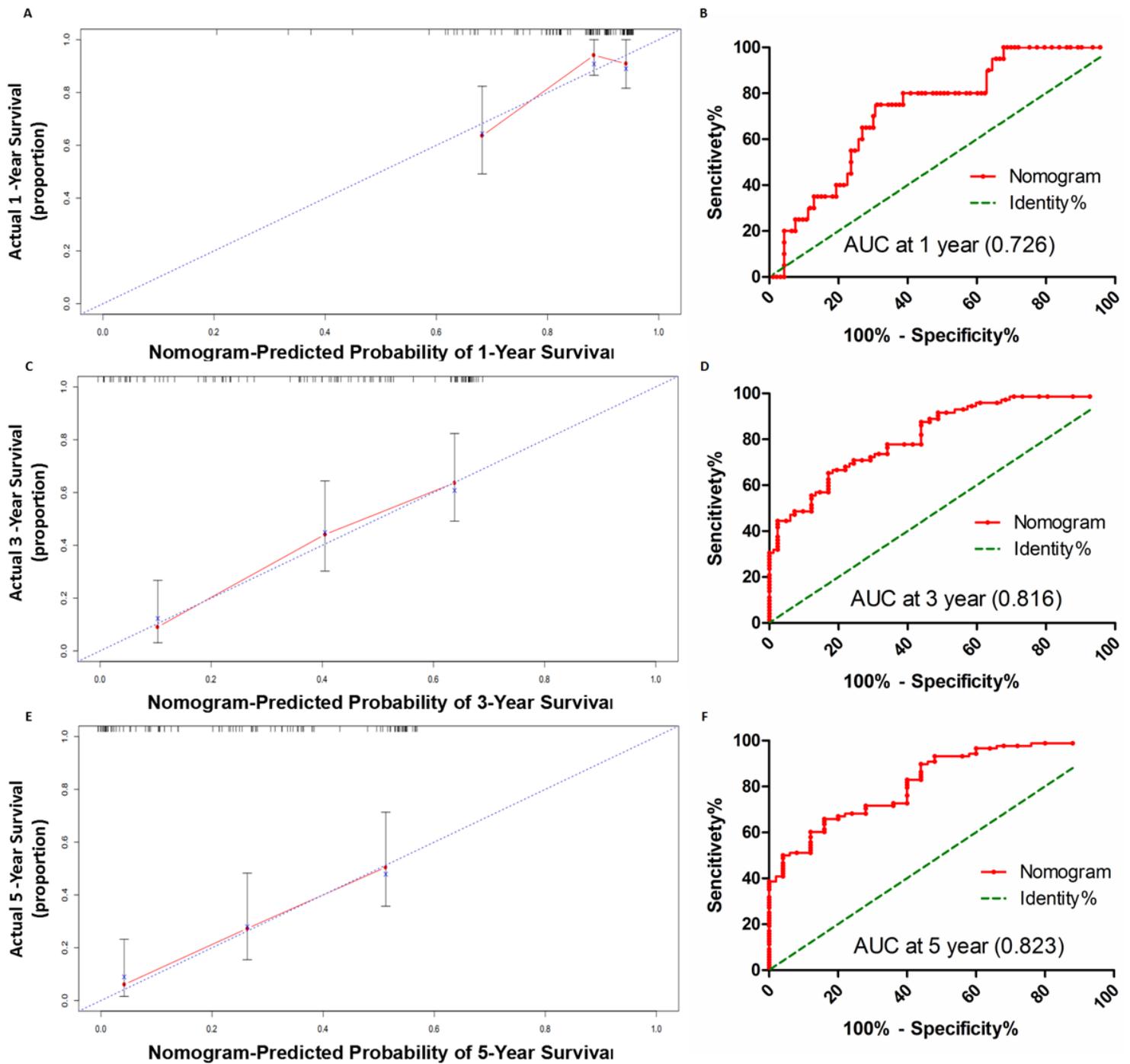
**Figure 3**

Kaplan-Meier survival curves of OS in the sorafenib cohort. GPC3(a), pERK(b), pAKT(c), BCLC staging system(d), serum AST(e) and nomogram stage(f) of sorfenib cohort.



**Figure 4**

Nomogram for predicting OS of patients who received sorafenib after liver resection for Hepatitis B Virus related HCC. To use the nomogram, an individual patient's value is located on each variable axis and a line is drawn upwards to determine the number of points received for each variable value. The sum of these numbers is located on the total points axis and a line is drawn downwards to the survival axes to determine the likelihood of 1-, 3- or 5-year survival rate.



**Figure 5**

The calibration curve for predicting patients OS at 1-year(a), 3-year(c) and 5-year(e) in the sorafenib cohort; The AUC values of ROC predicted 1-year(b), 3-year(d) and 5-year(f) OS rates of Nomogram in the sorafenib cohort.

## Supplementary Files

This is a list of supplementary files associated with this preprint. Click to download.

- Table.xls
- SupplementaryMaterial.docx
- Fig.S1.png
- Fig.S2.png
- Fig.S3.png
- Fig.S4.png
- Fig.S5.png