

## II a期结肠癌的预后因素

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### ■背景资料

目前各种诊疗指南对 II 期结肠癌患者是否需要接受辅助治疗尚存在争议, 部分学者更为主张对 II b 期具有高危因素的结肠癌患者进行辅助治疗。II a 期的结肠癌患者通常被认为预后较好、不需接受辅助治疗; 但临床发现: 约有 20%-25% 的 II a 期结肠癌患者会在术后 3 年内发生复发和转移。因此, 区别 II a 期结肠癌的高危因素就成为一个亟待解决的临床问题。

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收稿日期: 2012-10-23 修回日期: 2012-11-20

接受日期: 2012-12-17 在线出版日期: 2012-12-28

### Prognostic factors of stage II a colon cancer

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Received: 2012-10-23 Revised: 2012-11-20  
Accepted: 2012-12-17 Published online: 2012-12-28

### Abstract

**AIM:** To investigate the prognostic factors of stage II a (pT3N0M0) colon cancer.

**METHODS:** The demographic, clinical and laboratory data for 161 patients with stage II a colon cancer treated with curative surgery alone at Peking University Cancer Hospital from January 2004 to June 2008 were reviewed retrospectively. Eighty-four valid cases were selected in this study based on inclusive and exclusive criteria. The 3-year disease-free survival (DFS) was tested by univariate and multivariate analyses to identify prognostic factors.

**RESULTS:** The overall 3-year DFS for the selected 84 cases was 88.1%. The 3-year DFS for patients with elevated CEA levels was significantly lower than those with normal CEA levels (76.5% vs 95.8%,  $P = 0.007$ ). Multivariate analysis dem-

onstrated that CEA level ( $OR = 8.013$ , 95% CI 1.573-40.817,  $P = 0.012$ ), expression of Ki67 ( $OR = 3.298$ , 95% CI 0.799-13.610,  $P = 0.099$ ), male gender ( $OR = 7.212$ , 95% CI 1.293-40.237,  $P = 0.024$ ) and anemia ( $OR = 6.461$ , 95% CI 1.537-27.151,  $P = 0.011$ ) were independent prognostic factors for the 3-year DFS. Stratified analysis revealed that elevated level of CEA combined with high expression of Ki67 was associated with a poorer prognosis (3-year DFS = 70%).

**CONCLUSION:** Elevated preoperative serum level of CEA and high expression of Ki67 in cancer tissue are predictors of poor prognosis for stage II a colon cancer. More intensive adjuvant treatment should be considered in patients with such high risk factors.

**Key Words:** Colorectal Cancer; Histopathology; Immunohistochemistry; Prognosis.

Wang L, Gu J, Peng YF. Prognostic factors of stage II a colon cancer. Shijie Huaren Xiaohua Zazhi 2012; 20(36): 3816-3821

### 摘要

**目的:** 探讨 II a 期(pT3N0M0)结肠癌的预后因素。

**方法:** 收集 2004-01/2008-06 北京大学肿瘤医院外科手术治疗且未接受辅助化疗的 II 期结肠癌患者共 161 例, 选取符合标准的 84 例 II a 期患者纳入研究。回顾性分析这些患者的临床病理资料、血清学肿瘤标志物指标、免疫组织化学结果以及 3 年无病生存率(3 years disease free survival, 3yrDFS), 通过单因素及多因素生存分析, 探讨 II a 期结肠癌的预后因素。

**结果:** 84 例入组患者的 3yrDFS 为 88.1%。术前血清癌胚抗原(carcinoembryonic antigen, CEA)水平升高患者的 3yrDFS 为 77.1%, 而 CEA 水平正常患者的 3yrDFS 为 95.9%, 二组间差异显著( $P = 0.007$ )。多因素生存分析显示: 男( $P = 0.024$ ,  $OR = 7.212$ , 1.293-40.237)、术前 CEA 水平升高( $P = 0.012$ ,  $OR = 8.013$ ,

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1.573-40.817)、术前贫血( $P = 0.011$ ,  $OR = 6.461$ , 1.537-27.151)以及Ki67高表达( $P = 0.099$ ,  $OR = 3.298$ , 0.799-13.610)是提示II a期结肠癌患者预后不良的独立风险因素, 而术前血清CEA水平升高合并Ki67高表达者预后较差(3yrDFS 70%).

**结论:** 术前血清CEA水平联合肿瘤组织Ki67表达可以作为预测II a期结肠癌患者预后的重要指标。对于术前血清CEA水平升高并且Ki67高表达的II a期结肠癌患者可能应采取更积极的辅助治疗。

**关键词:** 结直肠肿瘤; 组织病理; 免疫组织化学; 预后

王林, 顾晋, 彭亦凡. II a期结肠癌的预后因素. 世界华人消化杂志 2012; 20(36): 3816-3821  
<http://www.wjgnet.com/1009-3079/20/3816.asp>

## 0 引言

结肠癌已成为我国最常见的消化系肿瘤之一, 且其发病率呈上升趋势。临幊上, 约有30%-40%的结肠癌在根治性切除后被确定为II期(即pT3/4N0M0)<sup>[2,3]</sup>。目前各种诊疗指南对II期结肠癌患者是否需要接受辅助治疗尚存在争议<sup>[4-7]</sup>, 仅主张对II b期具有高危因素的结肠癌患者进行辅助治疗<sup>[8,9]</sup>。II a期的结肠癌患者通常被认为预后较好、不需接受辅助治疗; 但临幊发现: 约有20%-25%的II a期结肠癌患者会在术后3年内发生复发和转移<sup>[10]</sup>。因此, 鉴别II a期结肠癌的高危因素就成为一个亟待解决的临幊问题<sup>[11]</sup>。本研究采用单因素和多因素生存分析方法, 对北京大学肿瘤医院结直肠外科收治的II a期结肠癌患者的临床病理资料、血清学肿瘤标志物指标、免疫组织化学结果以及3年无病生存率(3 years disease free survival, 3yrDFS)等进行回顾性分析, 以探索II a期结肠癌的预后因素。

## 1 材料和方法

**1.1 材料** 选取2004-01/2008-06所经治的161例II期结肠癌中随机选取84例II a期结肠癌患者进行研究。其中男50例, 女34例。病变部位: 升结肠癌36例, 横结肠癌7例, 降结肠癌19例, 乙状结肠癌22例。术后病理淋巴结检出数: 4-48(平均14.5)枚; 其中检出>12枚者59例(70.2%)。镜下见肿瘤分化不良者18例, 伴有脉管癌栓者2例。(1)入选标准: 接受了开放的结肠癌根治性切除术, 手术符合目前所提倡的全结肠系膜切除标准<sup>[12]</sup>; 术

后病理分期为pT3N0M0; 有完整的临床、病理和随访资料, 且免疫组织化学检查项目均一性较好; 患者术后未进行辅助放化疗; (2)排除标准: 患者术前未进行辅助放化疗; 遗传性结肠癌; 根据临床分期和术中所见存在合并同时性转移的结肠癌; 合并炎症性肠病的结肠癌。鼠抗人Ki67单克隆抗体、鼠抗人P53单克隆抗体购自德国Dako公司; SP免疫组织化学试剂盒和DAB显色试剂盒均购自北京中杉生物技术有限公司。

### 1.2 方法

**1.2.1 血清学CEA检测:** 入选患者均在手术前1 wk内采外周静脉血, 送检进行血清CEA水平的定量测试。所有样本均在北京大学肿瘤医院检验科进行检验, CEA滴度的判定使用Elecsys CEA reagent kit for Modular Analytics E170/cobas e 601/cobas e 602试剂盒(Roche, Germany), 以5 ng/mL作为临界值判断CEA是否升高。

**1.2.2 免疫组织化学:** 北京肿瘤医院病理科对于结肠癌手术切除标本行免疫组织化学检测, 检测包括Ki67和P53等指标, 实验按产品说明书操作。切片常规脱蜡至水, Ki67、P53采用高压热修复。30 mL/L H<sub>2</sub>O<sub>2</sub>孵育10 min, 蒸馏水冲洗, PBS浸泡5 min, 滴加正常兔血清工作液, 孵育10 min后倾去, 不洗; 滴加一抗37 °C孵育2 h, PBS冲洗3 min×3次。滴加二抗, 孵育15 min, PBS冲洗3 min×3次。滴加三抗, 孵育15 min, PBS冲洗3 min×3次, DAB显色, 苏木素复染, 脱水, 透明, 封片。PBS代替一抗作阴性对照, 正常大肠黏膜上皮表达情况作阳性对照。Ki67及P53蛋白均定位于细胞核内, 呈现棕黄色或者棕褐色颗粒, 每张组织切片随机选取10个高倍视野, 计数1 000个肿瘤细胞, Ki67蛋白按阳性细胞数占细胞总数比例分为0%-20%, >20%-40%, >40%-60%, >60%-80%, 和>80% 5组, 其中阳性细胞数>40%是定义高细胞增殖指数组, 而阳性细胞数≤40%是低细胞增殖指数组<sup>[13]</sup>。P53蛋白阳性细胞数占细胞总数比例≥10%定义为P53蛋白表达异常升高, 阳性细胞数<10%是定义为表达正常<sup>[13]</sup>。

**1.2.3 随访:** 所有患者术后均按照NCCN结肠癌治疗指南进行随访, 患者术后2年内每3 mo随访, 3-5年每6 mo随访。检查项目包括体检、血清CEA检查、血常规及生化、胸片、腹盆腔CT或超声。对于肿瘤局部复发或远隔转移的判断, 以影像学诊断为主。

**统计学处理** 采用SPSS13.0统计软件进行分析。分类变量中率的比较采用 $\chi^2$ 检验, 显著性水

**■创新盘点**  
 本研究紧贴临床, 采用单因素和多因素生存分析方法, 对所收治的II a期结肠癌患者的临床病理资料、血清学肿瘤标志物指标、免疫组织化学结果以及3年无病生存率(3yrDFS)等进行回顾性分析, 研究发现: 血清CEA水平升高、肿瘤组织Ki67高表达是3yrDFS显著减低的风险因素, 合并这2种风险因素的患者, 其预后显著低于II a期结肠癌的整体预后。

**■应用要点**

本研究发现血清CEA水平升高、肿瘤组织Ki67高表达是3yrDFS显著减低的风险因素，合并这2种风险因素的患者，其预后显著低于Ⅱa期结肠癌的整体预后。这有助于为临床判定Ⅱa期结肠癌的预后和指导化疗提供一个客观的参考指标。

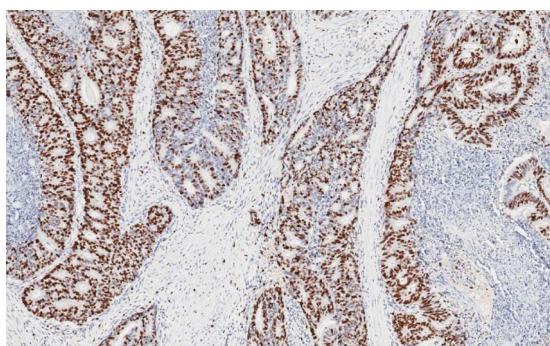


图1 Ki67阳性表达(SP×200)。

表1 入组病例的临床病理资料

临床病理因素	n	3yrDFS(%)	P值
性别			
男	50	84.0	0.144
女	34	94.1	
年龄(岁)			
<65	42	95.2	0.054
≥65	42	81.0	
血清CEA (ng/mL)			
≤5	49	95.9	0.007
>5	35	77.1	
血清CA199 (ng/mL)			
≤27	70	90.0	0.252
>27	14	78.6	
血红蛋白(g/L)			
<110	32	81.2	0.108
≥110	52	92.3	
肿瘤部位			
右半结肠	43	86.0	0.521
左半结肠	41	90.2	
肿瘤长径(cm)			
<5	38	89.5	0.702
≥5	46	87.0	
淋巴结数			
<12	25	88.0	0.917
≥12	59	88.1	
肿瘤分化			
高中分化	66	86.4	0.335
低分化、黏液	18	94.4	
脉管癌栓			
无	82	87.8	N/A
有	2	100.0	
Ki67表达			
低	46	93.5	0.104
高	38	81.6	
P53表达			
阴性	13	76.9	0.189
阳性	71	90.1	

3yrDFS: 3年无病生存率。

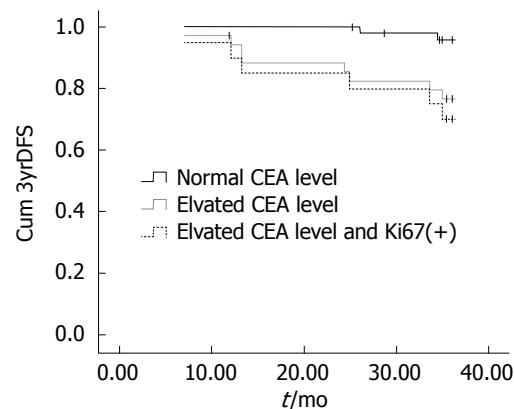


图2 入组病例的生存分析。3yrDFS: 3年无病生存率；CEA: 血清癌胚抗原。

准 $P = 0.05$ 。单因素生存分析采用Kaplan-Meier曲线法(Log-rank检验)，显著性水准品 $P = 0.05$ 。多因素生存分析采用COX回归模型，显著性水准 $P = 0.1$ 。

## 2 结果

2.1 无病生存率 本组失访10例，随访74例。随访时间：2-77 mo(中位时间45 mo)。随访病例的3yrDFS为88.1%；其中8例发生异时性肝转移，2例发生异时性肺转移，未见局部复发病例。  
2.2 单因素预后分析 术前血清CEA水平升高者的3yrDFS为77.1%，而CEA水平正常者的3yrDFS为95.9%，差异显著( $P = 0.007$ )。

而高龄(年龄≥65岁)( $P = 0.054$ )、术前贫血( $P = 0.108$ )、肿瘤组织Ki67高表达( $P = 0.104$ )虽无统计学差异(图1)，但显示出了影响3yrDFS的趋势(表1)。

2.3 多因素预后生存分析 COX回归分析显示：降低3yrDFS的独立风险因素有血清CEA水平升高( $P = 0.012$ ,  $OR = 8.013$ , 1.573-40.817)，男性( $P = 0.024$ ,  $OR = 7.212$ , 1.293-40.237)，术前贫血( $P = 0.011$ ,  $OR = 6.461$ , 1.537-27.151)以及肿瘤组织Ki67高表达( $P = 0.099$ ,  $OR = 3.298$ , 0.799-13.610)。亚组分析显示：血清CEA升高伴Ki67高表达患者的3yrDFS(95.9%)显著低于血清CEA水平正常者(70%,  $P = 0.002$ )(图2)。

## 3 讨论

临幊上Ⅱ期病例约占全部结肠癌病例的40%<sup>[14,15]</sup>。目前认为Ⅱ期结肠癌的高危因素有<sup>[8,16-18]</sup>：血清CEA>5 ng/mL，合并穿孔、梗阻，急诊手术，淋巴结<12枚，脉管癌栓和神经侵犯等。此外，肿瘤浸润前缘存在肿瘤细胞出芽(tumor

budding)、VEGF高表达等也与不良预后有关<sup>[19-23]</sup>。目前普遍认为II b/c期(T4a/b, N0M0)预后较差<sup>[8,24]</sup>, 因此诊疗指南普遍建议对T4期结肠癌进行辅助治疗。但研究显示<sup>[8,14,15]</sup>: II期结肠癌患者辅助化疗的绝对生存获益仅为2%-4%。对于II a期结肠癌患者的风险评价仍然存在争议。因此, 如何进一步甄别高危II期结肠癌患者是目前研究的热点问题。

因检测手段非常成熟且性价比较高, CEA已成为结肠癌诊疗中最重要的肿瘤标志物<sup>[25]</sup>。术前常规检测血清CEA水平被美国病理医师协会作为I类推荐<sup>[18,26]</sup>, 而美国临床肿瘤学会则建议术后应随访检测CEA水平3年以上<sup>[27]</sup>。但术前CEA水平升高的II期结肠癌是否需要更积极的辅助治疗尚存在争议<sup>[14,15,28-30]</sup>。多数文献[31-38]中, 术前CEA升高是结肠癌的预后不良因素, 尤其是I-II期的肿瘤<sup>[34,35]</sup>。尽管90%以上的结肠癌细胞都表达CEA, 但外周血清CEA升高者仅有30%-40%, 这提示结肠癌的浸润程度和外分泌能力存在个体差异, 而这些差异也导致患者预后不同<sup>[39]</sup>。

Ki67的表达水平则反映了肿瘤的原位增殖能力<sup>[13]</sup>, 虽有学者<sup>[40,41]</sup>认为Ki67或P53等免疫组织化学指标与患者预后相关, 但作为预后单一因素的提示意义有限。有学者将CEA与Ki67或P53免疫组织化学指标联合评价, 以期提高判断结肠癌预后的准确性<sup>[42,43]</sup>, 但其仅测量肿瘤组织的CEA表达水平, 而忽略了血清CEA水平所提示的肿瘤浸润能力。

本研究发现: 血清CEA水平升高、肿瘤组织Ki67高表达是3yr DFS显著减低的风险因素, 合并这2种风险因素的患者, 其无病生存率(70%)显著低于II a期结肠癌的整体无病生存率(88.1%), 也差于既往文献报道的II a期结肠癌无病生存率(87.5%)<sup>[1]</sup>。此类患者能否从更积极的辅助治疗中获益? 这还需随机对照研究提供更多证据。本研究的多因素分析中还发现: 其他因素如男性( $P = 0.024$ , OR = 7.212, 1.293-40.237), 术前贫血( $P = 0.011$ , OR = 6.461, 1.537-27.151)也影响II a期结肠癌的预后, 这提示II a期结肠癌预后评价的复杂性。

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#### ■名词解释

3年无病生存率: 是指某种疾病患者经3年随访, 到随访结束时未复发转移、仍存活的病例数占观察病例的比例, 常用于评价疾病治疗的远期疗效。

## ■ 同行评价

本研究具有一定  
临床意义。

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编辑 田滢 电编 鲁亚静

ISSN 1009-3079 (print) ISSN 2219-2859 (online) CN 14-1260/R 2012年版权归世界华人消化杂志

• 消息 •

## 《世界华人消化杂志》栏目设置

**本刊讯** 本刊栏目设置包括述评, 基础研究, 临床研究, 焦点论坛, 文献综述, 研究快报, 临床经验, 病例报告, 会议纪要. 文稿应具科学性、先进性、可读性及实用性, 重点突出, 文字简练, 数据可靠, 写作规范, 表达准确.