

AD \_\_\_\_\_

Award Number: DAMD17-97-1-7115

TITLE: Clinical Trials with a Polyvalent Breast Cancer Vaccine

PRINCIPAL INVESTIGATOR: Phillip Livingston, M.D.

CONTRACTING ORGANIZATION: Sloan-Kettering Institute for Cancer Research  
New York, New York 10021

REPORT DATE: October 1999

TYPE OF REPORT: Annual

PREPARED FOR: U.S. Army Medical Research and Materiel Command  
Fort Detrick, Maryland 21702-5012

DISTRIBUTION STATEMENT: Distribution authorized to U.S. Government agencies only (proprietary information, Oct 99). Other requests for this document shall be referred to U.S. Army Medical Research and Materiel Command, 504 Scott Street, Fort Detrick, Maryland 21702-5012.

The views, opinions and/or findings contained in this report are those of the author(s) and should not be construed as an official Department of the Army position, policy or decision unless so designated by other documentation.

DTIC QUALITY INSPECTED 4

20001018 035

## NOTICE

USING GOVERNMENT DRAWINGS, SPECIFICATIONS, OR OTHER DATA INCLUDED IN THIS DOCUMENT FOR ANY PURPOSE OTHER THAN GOVERNMENT PROCUREMENT DOES NOT IN ANY WAY OBLIGATE THE U.S. GOVERNMENT. THE FACT THAT THE GOVERNMENT FORMULATED OR SUPPLIED THE DRAWINGS, SPECIFICATIONS, OR OTHER DATA DOES NOT LICENSE THE HOLDER OR ANY OTHER PERSON OR CORPORATION; OR CONVEY ANY RIGHTS OR PERMISSION TO MANUFACTURE, USE, OR SELL ANY PATENTED INVENTION THAT MAY RELATE TO THEM.

### LIMITED RIGHTS LEGEND

Award Number: DAMD17-97-1-7115

Organization: Sloan-Kettering Institute for Cancer Research

Those portions of the technical data contained in this report marked as limited rights data shall not, without the written permission of the above contractor, be (a) released or disclosed outside the government, (b) used by the Government for manufacture or, in the case of computer software documentation, for preparing the same or similar computer software, or (c) used by a party other than the Government, except that the Government may release or disclose technical data to persons outside the Government, or permit the use of technical data by such persons, if (i) such release, disclosure, or use is necessary for emergency repair or overhaul or (ii) is a release or disclosure of technical data (other than detailed manufacturing or process data) to, or use of such data by, a foreign government that is in the interest of the Government and is required for evaluational or informational purposes, provided in either case that such release, disclosure or use is made subject to a prohibition that the person to whom the data is released or disclosed may not further use, release or disclose such data, and the contractor or subcontractor or subcontractor asserting the restriction is notified of such release, disclosure or use. This legend, together with the indications of the portions of this data which are subject to such limitations, shall be included on any reproduction hereof which includes any part of the portions subject to such limitations.

THIS TECHNICAL REPORT HAS BEEN REVIEWED AND IS APPROVED FOR PUBLICATION.

Patricia Madson

9/24/02

# REPORT DOCUMENTATION PAGE

Form Approved  
OMB No. 074-0188

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing this collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188), Washington, DC 20503

<b>1. AGENCY USE ONLY (Leave blank)</b>	<b>2. REPORT DATE</b> October 1999	<b>3. REPORT TYPE AND DATES COVERED</b> Annual (22 Sep 98 - 21 Sep 99)	
<b>4. TITLE AND SUBTITLE</b> Clinical Trials with a Polyvalent Breast Cancer Vaccine		<b>5. FUNDING NUMBERS</b> DAMD17-97-1-7115	
<b>6. AUTHOR(S)</b> Philip Livingston, M.D.			
<b>7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)</b> Sloan-Kettering Institute for Cancer Research New York, New York 10021  <b>E-MAIL:</b>		<b>8. PERFORMING ORGANIZATION REPORT NUMBER</b>	
<b>9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES)</b> U.S. Army Medical Research and Materiel Command Fort Detrick, Maryland 21702-5012		<b>10. SPONSORING / MONITORING AGENCY REPORT NUMBER</b>	
<b>11. SUPPLEMENTARY NOTES</b>			
<b>12a. DISTRIBUTION / AVAILABILITY STATEMENT</b> Distribution authorized to U.S. Government agencies only (proprietary information, Oct 99). Other requests for this document shall be referred to U.S. Army Medical Research and Materiel Command, 504 Scott Street, Fort Detrick, Maryland 21702-5012.			<b>12b. DISTRIBUTION CODE</b>
<b>13. ABSTRACT (Maximum 200 Words)</b>  <p>Preclinical studies with passively administered monoclonal antibodies or vaccine induced antibodies against glycolipid and mucin antigens have protected mice from tumor recurrence, even when treatment was initiated after tumor challenge. This timing is comparable to the adjuvant setting in the clinic. The glycolipid LeY and mucin MUC1 are expressed at the cell surface of most breast cancer cells in over 80% of breast cancer biopsy specimens. The optimal approach for antibody induction against these antigens has been conjugation to the immunogenic carrier molecule KLH and mixture with the potent immunological adjuvant QS21. The LeY-KLH and MUC1-KLH plus QS-21 vaccines prepared and tested over the last year have resulted in high titer antibodies against the synthetic antigens which were of relatively modest titer against tumor cells expressing these antigens. While these vaccines could be included in future polyvalent vaccines, it is our impression that we can augment the relevant immunogenicity by the modifications proposed which should make the immunogens more closely resemble the natural antigens. Consequently, glycosylated MUC1 peptides and LeY clusters will be conjugated to KLH, mixed with QS21, and tested over the next year.</p>			
<b>14. SUBJECT TERMS</b>  vaccine, antibodies, clinical trial, MUC1, LeY			<b>15. NUMBER OF PAGES</b>  10
			<b>16. PRICE CODE</b>
<b>17. SECURITY CLASSIFICATION OF REPORT</b> Unclassified	<b>18. SECURITY CLASSIFICATION OF THIS PAGE</b> Unclassified	<b>19. SECURITY CLASSIFICATION OF ABSTRACT</b> Unclassified	<b>20. LIMITATION OF ABSTRACT</b> Limited

NSN 7540-01-280-5500

Standard Form 298 (Rev. 2-89)  
Prescribed by ANSI Std. Z39-18  
298-102

FOREWORD

Opinions, interpretations, conclusions and recommendations are those of the author and are not necessarily endorsed by the U.S. Army.

✓

Where copyrighted material is quoted, permission has been obtained to use such material.

✓

Where material from documents designated for limited distribution is quoted, permission has been obtained to use the material.

✓

Citations of commercial organizations and trade names in this report do not constitute an official Department of the Army endorsement or approval of the products or services of these organizations.

\_\_\_\_\_

In conducting research using animals, the investigator(s) adhered to the "Guide for the Care and Use of Laboratory Animals," prepared by the Committee on Care and Use of Laboratory Animals of the Institute of Laboratory Animal Resources, National Research Council (NIH Publication No. 86-23, Revised 1985).

✓

For the protection of human subjects, the investigator(s) adhered to policies of applicable Federal Law 45 CFR 46.

\_\_\_\_\_

In conducting research utilizing recombinant DNA, the investigator(s) adhered to the NIH Guidelines for Research Involving Recombinant DNA Molecules.

✓

In the conduct of research involving hazardous organisms, the investigator(s) adhered to the CDC-NIH Guide for Biosafety in Microbiological and Biomedical Laboratories.

**DAMD ANNUAL PROGRESS REPORT 10/1/99**  
**DAMD17-97-1-7115**

---

Form 298	2
Foreword	3
Table of Contents	4
Introduction	5
Body	5
Key Research Accomplishments	7
Reportable Outcomes	8
Conclusions	8
References	9

## INTRODUCTION

Due to the 75% reduction in funding level from our original grant application the work scope has been restricted to the production and pre-clinical testing of MUC1 and Lewis Y vaccines for patients with breast cancer or ovarian cancer. The goal of the trials is to induce antibodies against MUC1 and Lewis Y which are cell surface antigens broadly expressed on cancers of the ovary and breast. Initial clinical trials with both preparations have been conducted over the last year and preliminary results are available. Modified version of these two vaccines (second generation) are currently being prepared for testing.

## BODY

### MUC1

We had previously immunized breast cancer patients with a MUC1-KLH (Keyhole Limpet Hemocyanin) plus QS-21 adjuvant vaccine containing 1 ½ repeats of the MUC1 20aa tandem repeat. This 32aa MUC1 vaccine induced high titer antibodies against MUC1 in essentially all immunized patients but these antibodies reacted weakly with the cell surface of tumor cells expressing MUC1 (1). Consequently, a variety of modifications of the MUC1 peptide have been identified for testing and this represents the first such trial. A 106aa MUC1 peptide expressing more than 5 repeats of the 20aa tandem repeat was prepared. This is no simple feat. This long peptide was prepared with a terminal cystine for linkage to KLH. Since the conjugation efficiency is only 15%, 30mg of the MUC1 peptide were required. The peptide was purified to exclude shorter MUC1 peptides, sequenced to confirm the proper sequence and conjugated to KLH using an M-maleimidobenzoyl-N-hydroxy succinimide (MBS) as previously described. Unbound MUC1 was excluded with a 30,000 molecular weight filter and the conjugate mixed with QS-21 and vialled. The epitope ratio of MUC1 to KLH was 560 to 1. Vials were opened to confirm sterility, purity, safety and immunogenicity as required by the FDA. Thirteen breast cancer patients were treated with this preparation. The vaccine was well tolerated with local erythema and induration lasting 2-4 days experienced by all patients and occasional low grade flu-like symptoms or fever last 12-24 hours experienced by occasional patients. This is categorized as grade 1 systemic and grade 2 local toxicity. No unexpected toxicities were encountered. Patients received five immunizations over a four-month period, receiving the initial three immunizations at one-week intervals. Pre and peek post immunization ELISA titers against purified MUC1, pre and post flow cytometry results against MCF7 are demonstrated in the table below.

**Table 1**  
**SUMMARY OF SEROLOGICAL RESPONSE TO VACCINATION WITH**  
**MUC1 (106AA)-KLH+QS21**

Patient	No. of Vaccination	Peak ELISA titer		IgM FACS % Positive Cells		IgM FACS % Positive Cells	
		IgM Pre	IgG Post	Pre	Post	Pre	Post
1	5	0	10	0	0	10.5	19
2	5	0	5120	0	320	10	41
3	5	0	640	0	320	9.2	22
4	5	0	160	0	640	10.3	10.4
5	5	0	640	0	5120	10.4	71
6	5	0	2560	0	5120	10.5	44
7	3	0	320	0	320	9.6	29
8	5	0	320	0	320	10	32
9	5	0	1280	0	320	10.3	46
10	5	0	1280	0	2560	10.2	70
11	5	0	640	0	640	9.4	14
12	5	0	320	0	640	10.4	17
13	5	0	2560	0	1280	9.6	16

It was anticipated that the longer MUC1 sequence would permit the peptide to assume a more physiologic tertiary configuration and hence result in the induction of antibodies more able to react with the tumor cell surface. This was not the case. As demonstrated with our previous shorter MUC1 peptides, high titer antibodies by ELISA were induced in most patients but these reacted only weakly with the tumor cell surface. We conclude from this that the longer peptide was no better than the shorter peptide and since it was far more laborious and expensive to prepare, no further studies with the MUC1 106aa peptide vaccine will be conducted. Consequently, we have focused on the other major possibility for augmenting the cell surface reactivity of vaccine induced antibodies against MUC1 as it is expressed at the cell surface. This involves the use of a glycosylated MUC1 peptide. This has been achieved through collaboration with Dr. Henrik Clausen of the Netherlands and the use of the T2 and T4 glycosyl transferases. We have prepared a 106aa MUC1 peptide fully glycosylated with N-acetyl galactose at all five sites per tandem repeat and a 32aa MUC1 glycosylated at three of the five potential sites. These have been conjugated to KLH and we are in the process of vialing vaccines for preclinical testing.

#### Lewis Y (Le<sup>Y</sup>)

Lewis Y pentasaccharide was synthesized as the allyl glycoside as described previously. It was conjugated to KLH following reductive amination with an Le<sup>Y</sup>-KLH conjugate ratio of 310-1. The yield of conjugated Le<sup>Y</sup> in this reaction was 8%. Le<sup>Y</sup>-KLH conjugate was vialled at four different concentrations with QS-

21 and the vials tested for sterility, safety, and immunogenicity. Twenty-four patients were vaccinated with vaccines containing 3, 10, 30 or 60mg of Le<sup>Y</sup> in-groups of six patients (2). The peak titer IgM and IgG ELISA results against Le<sup>Y</sup> and the pre and post immunization flow cytometry results at the four different vaccine doses are demonstrated in the table below. The 10µg dose was selected for testing in future vaccination trials. However, the ELISA titers and flow cytometry results were not as striking as initially hoped and so a second generation Le<sup>Y</sup> vaccine containing Le<sup>Y</sup> clusters is being prepared. This would contain three Le<sup>Y</sup> pentasaccharides linked to sequential or alternating serines on a short peptide chain with a terminal cystine, which is used for linkage to KLH. Synthesis of these clustered Le<sup>Y</sup> molecules is currently in progress.

**TABLE 2**

**Summary of Serological Responses to Vaccination with Le<sup>Y</sup>-KLH+QS21**

Vaccine Le <sup>Y</sup> Dose	No of Patients	Peak Median ELISA Titer IgM	Median Peak IgG	Median Peak FACS % Positive Cells	Median CDC % Lysis
3µg	6	20	0	10	7.3
10µg	6	80	0	26	29
30µg	6	40	0	24	19
60µg	6	20	0	8.6	7

**KEY RESEARCH ACCOMPLISHMENTS**

- 1) Preparation of a 106aa MUC1 peptide with proper sequence for conjugation to KLH and vaccine production.
- 2) Preparation of the MUC1-KLH vaccine and completion of pre-clinical and clinical testing.
- 3) Synthesis of Le<sup>Y</sup> pentasaccharides for vaccine production.
- 4) Preparation of the Le<sup>Y</sup> conjugate vaccine and completion of pre-clinical and clinical testing.
- 5) Preparation of second generation MUC1 and Le<sup>Y</sup> vaccines containing glycosylated MUC1 and Le<sup>Y</sup> clusters.

## REPORTABLE OUTCOMES

Two manuscripts have been submitted. The references are below.

1. Gilewski T., Adluri, S., Zhang, S., Ragupathi, G., Houghton, A., Norton, L. and Livingston, P.O. Vaccination of high risk breast cancer patients with Mucin-1 keyhole limpet hemocyanin conjugate plus QS-21. Clin Can Res, Submitted.
2. Sabbatini, P., Kudryashov, V., Danishefsky, S., Livingston, P.O., Ragupathi, G., Bornmann, W., Spassova, M., Spriggs, D., Aghajanian, C., Soignet, S., Peyton, M., O'Flaherty, C., Curtin, J. and Lloyd, K.O. Immunization of ovarian cancer patients with a synthetic LewisY – protein conjugate vaccine: clinical and serological results. Int J. Cancer. Submitted.

## CONCLUSIONS

The MUC1 and LeY vaccines prepared and tested over the last year have resulted in high titer antibodies against the synthetic antigens which were of relatively modest titer against tumor cells expressing these antigens. While these vaccines could be included in future polyvalent vaccines, it is our impression that we can augment the relevant immunogenicity by the modifications proposed. Consequently, glycosylated MUC1 peptides and LeY clusters will be tested over the next year.

## REFERENCES

1. Gilewski T., Adluri, S., Zhang, S., Ragupathi, G., Houghton, A., Norton, L. and Livingston, P.O. Vaccination of high risk breast cancer patients with Mucin-1 keyhole limpet hemocyanin conjugate plus QS-21. Clin Can Res, Submitted.
2. Sabbatini, P., Kudryashov, V., Danishefsky, S., Livingston, P.O., Ragupathi, G., Bornmann, W., Spassova, M., Spriggs, D., Aghajanian, C., Soignet, S., Peyton, M., O'Flaherty, C., Curtin, J. and Lloyd, K.O. Immunization of ovarian cancer patients with a synthetic LewisY – protein conjugate vaccine: clinical and serological results. Int J. Cancer. Submitted.