

## 胃癌新辅助免疫治疗的进展、争议及展望

吕陈彬<sup>1</sup>, 刘绍群<sup>2</sup>, 陆俊<sup>3\*</sup>

1. 福建医科大学附属漳州市医院 胃外科, 福建 漳州 363000

2. 复旦大学附属闵行区中心医院 胃肠外科, 上海 201100

3. 复旦大学附属肿瘤医院 胃外二科, 复旦大学上海医学院肿瘤学系, 上海 200032

**【摘要】** 胃癌是全球范围内发病与死亡负担均较重的消化道恶性肿瘤。手术虽是胃癌治疗的核心手段,但在我国,绝大多数患者初诊时已属进展期,错失根治性手术时机。对于进展期胃癌,新辅助或辅助化学治疗联合手术切除已成为东西方治疗指南的推荐方案,但受限于肿瘤异质性及传统化学治疗的疗效瓶颈,进展期胃癌患者术后复发风险依然较高。近年来,免疫检查点抑制剂在进展期胃癌治疗中取得显著的生存获益,推动免疫治疗不断前移,为新辅助治疗方案提供新的选择。然而,新辅助免疫治疗在进展期胃癌中的应用仍处于探索阶段,面临着如何精准筛选获益人群、有效克服耐药机制等诸多挑战。本文旨在系统梳理胃癌新辅助免疫治疗的最新研究进展,分析当前其存在的争议,并展望未来可能的探索方向。

**【关键词】** 胃癌; 新辅助治疗; 免疫检查点抑制剂; 免疫治疗

## Advances, controversies, and future directions in neoadjuvant immunotherapy for gastric cancer

Lyu Chenbin<sup>1</sup>, Liu Shaoqun<sup>2</sup>, Lu Jun<sup>3\*</sup>

1. Department of Gastric Surgery, Zhangzhou Hospital Affiliated to Fujian Medical University, Zhangzhou 363000, Fujian, China

2. Department of Gastrointestinal Surgery, Minhang Hospital, Fudan University, Shanghai 201100, China

3. Second Department of Gastric Surgery, Fudan University Shanghai Cancer Center; Department of Medical Oncology, Shanghai Medical College, Fudan University, Shanghai 200032, China

\*Corresponding author: Lu Jun, E-mail: lujun@fudan.edu.cn

**【Abstract】** Gastric cancer represents a significant global health burden as a leading cause of morbidity and mortality among gastrointestinal malignancies. While surgery remains the cornerstone of gastric cancer treatment, the majority of patients in China are diagnosed at an advanced stage, with many no longer candidates for curative resection. For locally advanced gastric cancer, neoadjuvant or adjuvant chemotherapy combined with surgical resection has been established as a standard recommendation in both Eastern and Western clinical guidelines. However, due to limitations such as tumor heterogeneity and the efficacy ceiling of conventional chemotherapy, patients with advanced disease continue to face a high risk of postoperative recurrence. In recent years, immune checkpoint inhibitors have demonstrated significant survival benefits in the treatment of advanced gastric cancer, prompting their investigation in earlier lines of treatment and providing new options for neoadjuvant therapeutic strategies. Nevertheless, the application of neoadjuvant immunotherapy in locally advanced gastric cancer remains exploratory, facing multiple challenges including the precise identification of beneficiary populations and effective strategies to overcome resistance mechanisms. This article aims to systematically review the latest research advances in neoadjuvant immunotherapy for gastric cancer, analyze existing controversies, and discuss potential future directions.

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\*通信作者:陆俊, E-mail: lujun@fudan.edu.cn

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## 1 新辅助免疫治疗的模式及进展

目前,临床常用的免疫检查点抑制剂(immune checkpoint inhibitor, ICI)可根据作用靶点分为3类:抗程序性死亡受体1(programmed death-1, PD-1)抗体(如纳武利尤单抗等)、抗程序性死亡受体配体1(programmed death-ligand 1, PD-L1)抗体(如度伐利尤单抗等)以及抗细胞毒性T淋巴细胞相关蛋白4(cytotoxic T-lymphocyte-associated protein 4, CTLA-4)抗体(如伊匹木单抗等)。鉴于胃癌的高度分子异质性,单一靶点治疗策略难以覆盖全部患者群体。因此,ICI联合其他治疗模式已成为当前及未来的重点探索方向<sup>[1]</sup>。

当前主要联合策略包括:免疫联合化学治疗(简称化疗)、免疫联合靶向治疗及化疗、免疫联合放疗等方案。此外,双免疫联合疗法在特定生物标志物筛选人群中亦展现出显著疗效。

### 1.1 新辅助免疫治疗联合化疗

新辅助免疫治疗联合化疗是当前最常见的治疗模式。化疗可通过多重机制协同增强免疫治疗疗效:诱导免疫原性细胞死亡释放肿瘤抗原、清除免疫抑制细胞群、促进效应T细胞浸润,并上调主要组织相容性复合体(major histocompatibility complex, MHC)表达<sup>[2]</sup>。

多项临床研究验证了这一联合策略的优越性。NEOSUMMIT-01研究显示,免疫联合化疗组的病理完全缓解(pathological complete response, pCR)率(22.2%比7.4%, $P=0.03$ )及主要病理缓解(major pathological response, MPR)率(44.4%比20.4%, $P=0.009$ )均高于化疗组,同时肿瘤降期显著(y<sub>p</sub>T<sub>0-2</sub>, 46.3%比22.2%, $P=0.008$ )<sup>[3]</sup>。德国的DANTE研究亦证实,与单纯化疗组相比,免疫联合化疗组具有更高的pCR率(24%比15%, $P=0.032$ ),且在PD-L1高表达和高微卫星不稳定(microsatellite instability-high, MSI-H)人群中获益更为突出<sup>[4]</sup>。全球Ⅲ期KEYNOTE-585研究发现,无论是主要队列(12.9%比2.0%, $P<0.00001$ )还是FLOT(奥沙利铂+多西他赛+氟尿嘧啶+亚叶酸钙)队列(13.0%比2.4%, $P<0.00001$ ),免疫联合化疗组的pCR率均高于单纯化疗组<sup>[5]</sup>。另一项全球Ⅲ期MATTERHORN研究亦提示免疫联合化疗组

的pCR率高于化疗组(19.2%比7.2%, $P<0.00001$ )<sup>[6]</sup>。

新辅助免疫治疗联合化疗能够显著提升pCR率已是不争的事实,然而这一优势能否转化为长期生存获益仍是当前学界关注的焦点。KEYNOTE-585研究显示,尽管免疫联合化疗组的无事件生存期呈现获益趋势(44.4个月比25.3个月, $P=0.0198$ ),但未能达到预设的统计学差异阈值( $P=0.0178$ ),同时总生存期亦未观察到显著改善(60.7个月比58.0个月, $P=0.174$ )<sup>[5]</sup>。而MATTERHORN研究发现,免疫联合化疗组相较于化疗组的无事件生存期延长(未达到比32.8个月, $P<0.001$ ),24个月的无事件生存率明显提高(67%比59%, $P<0.001$ );同时,总生存期观察到显著改善( $HR=0.78$ ,95%CI 0.63~0.96, $P=0.021$ ),且该生存获益不依赖于PD-L1的表达水平<sup>[6]</sup>。两项研究结果的差异提示新辅助免疫治疗的长期疗效可能受到治疗方案选择、患者人群特征以及生物标志物状态等多重因素的影响,值得未来深入探索<sup>[7]</sup>。

### 1.2 新辅助免疫联合靶向治疗及化疗

人表皮生长因子受体2(human epidermal growth factor receptor 2, HER2)过表达胃癌占全部胃癌的10%~12%<sup>[8-9]</sup>。ToGA研究和KEYNOTE-811研究奠定了免疫联合靶向治疗在晚期HER2阳性胃癌中的一线治疗地位,并加速其向围手术期治疗阶段延伸<sup>[10-11]</sup>。

多项Ⅱ期研究结果展现出卓越前景:可切除HER2阳性患者接受卡瑞利珠单抗联合曲妥珠单抗及CAPOX方案(卡培他滨+奥沙利铂)新辅助治疗后的pCR率达21.7%~31.3%<sup>[12-13]</sup>;接受替雷利珠单抗联合曲妥珠单抗及DOS方案(多西他赛+奥沙利铂+替吉奥)的局部进展期患者的pCR率高达42.9%~58.3%<sup>[14]</sup>。此外,随着HER2靶向药物的迭代升级,抗体药物偶联物在HER2过表达胃癌治疗领域取得显著突破。国内团队开展的一项Ⅱ期研究显示,维迪西妥单抗联合卡瑞利珠单抗与替吉奥方案用于HER2过表达局部进展期胃癌新辅助治疗的pCR率为33%,且R0切除率达到100%<sup>[15]</sup>。

抗血管生成药物通过促进肿瘤血管正常化与改善免疫微环境的双重机制,为免疫联合治疗提供强效协同作用。Ⅲ期DRAGON-IV研究首次证实卡瑞利珠单抗联合阿帕替尼及SOX方案(奥沙利

铂+替吉奥)对比单纯化疗,可显著提升pCR率(18.3%比5.0%, $P<0.0001$ ),且安全性可控<sup>[16]</sup>。这一成功模式在多项研究中同样得到验证:TAOS-3B试验中SOX联合替雷利珠单抗及阿帕替尼方案的pCR率为24%<sup>[17]</sup>;Arise-FJ-G005研究显示卡瑞利珠单抗及阿帕替尼联合化疗可提升MPR率至33.3%<sup>[18]</sup>。这些研究结果共同确立了免疫联合抗血管生成药物及化疗在新辅助治疗中的重要地位。笔者团队的一项II期临床研究,探索信迪利单抗联合索凡替尼及SOX的胃癌新辅助治疗方案,目前正处于病例纳入阶段(NCT06447636),该研究结果值得期待。

### 1.3 新辅助免疫治疗联合放化疗

在局部进展期胃癌的新辅助治疗领域,免疫治疗联合放化疗的策略展现出突破性潜力。Wei等<sup>[19]</sup>的II期研究发现信迪利单抗联合同步放化疗可获得38.2%的pCR率及79.4%的MPR率,中位无事件生存期达21.1个月。Neo-PLANET研究结果显示卡瑞利珠单抗联合放化疗方案可实现33.3%的pCR率与91.7%的R0切除率<sup>[20]</sup>。2025年欧洲肿瘤内科学会(European Society for Medical Oncology, ESMO)大会公布的GAS-Jiangsu 01研究采用低剂量放射治疗(简称放疗)联合替雷利珠单抗及CAPOX方案,结果显示患者的pCR率突破40%,MPR率达81%,且安全性良好,为优化治疗策略提供新方向<sup>[21]</sup>。

值得注意的是,现有证据多源于II期单臂研究,其长期生存获益尚需III期随机对照试验验证<sup>[22]</sup>。未来研究应聚焦于优化放疗剂量与药物组合模式,并建立精准生物标志物体系,以推动个体化治疗策略的完善。

### 1.4 新辅助双免疫治疗

在错配修复缺陷(deficient mismatch repair, dMMR)或MSI-H这一特定胃癌人群中进行的新辅助免疫治疗探索,已展现出令人瞩目的疗效。法国GERCOR NEONIPIGA II期研究提示纳武利尤单抗联合伊匹木单抗的双免疫治疗方案可显著提高局部进展期dMMR/MSI-H胃/胃食管结合部腺癌患者的pCR率(达到58.6%),且91%的患者实现了R0切除<sup>[23]</sup>。意大利INFINITY研究验证接受曲美木单抗联合度伐利尤单抗治疗后,患者的pCR率达60%,2年的无进展生存率和总生存率分别为84.1%和91.7%;对于接受该双免疫治疗

方案后实现临床完全缓解并进入非手术管理路径的13例患者,随访期间仅发现1例因局部进展接受挽救性手术,12个月非胃切除生存率达64.2%<sup>[24]</sup>。日本NO LIMIT研究采用纳武利尤单抗联合低剂量伊匹木单抗的双免疫治疗方案,结果显示患者的客观缓解率为62.1%,中位无进展生存期为13.8个月,12个月总生存率为79.5%<sup>[25]</sup>。一项纳入197例患者的个体数据汇总分析亦证实,新辅助CTLA-4/PD-(L)1双重阻断方案对比FLOT方案化疗能显著提升pCR率(61.9%比3.7%, $P=0.002$ )和MPR率(78.6%比10.0%, $P<0.001$ ),淋巴结阴性率提高至85.7%,T分期降期率达88.1%;而36个月生存率与预后良好的接受单纯手术的患者相当<sup>[26]</sup>。以上研究为dMMR/MSI-H人群探索去化疗、去手术的治疗模式提供了重要循证依据。

此外,卡度尼利作为PD-1/CTLA-4双特异性抗体,通过同步阻断2条免疫检查点通路展现出独特机制优势。国内一项多中心II期研究证实,卡度尼利联合化疗新辅助治疗HER2阴性局部进展期胃食管结合部腺癌可获得21.1%的pCR率,实现71.9%的肿瘤降期率,且疾病控制率和R0切除率均达100%<sup>[27]</sup>。因此,新辅助免疫治疗已成为局部进展期dMMR/MSI-H胃癌的核心治疗策略。未来重点在于优化联合策略、探索生物标志物及确立器官保留治疗标准。

## 2 新辅助免疫治疗的挑战及争议

### 2.1 新辅助免疫治疗的获益人群及生物标志物特征

胃癌具有高度异质性和个体差异性,目前仍缺乏精准的生物标志物来筛选免疫治疗的潜在获益人群<sup>[28]</sup>。dMMR/MSI-H被公认为免疫治疗的优势标志物,该类患者对免疫治疗的应答率显著提升<sup>[29]</sup>。PD-L1表达虽然是1个重要的预测指标,但其预测价值存在异质性。PANDA、INFINITY和Neo-PLANET等研究并未发现PD-L1表达与病理反应或生存结局存在明确关联<sup>[20,24,30]</sup>,这可能源于其表达的时空异质性、检测抗体差异及评估标准不统一。因此,探索新的生物标志物成为当前研究的重点。

除上述标志物外,肿瘤突变负荷、EB病毒(Epstein-Barr virus, EBV)阳性状态、MHC-II分子表达水平、肿瘤微环境中的免疫细胞浸润特征等新

兴指标展现出预测潜力<sup>[31-32]</sup>。DRAGON IV 研究显示,EBV 阳性患者接受 SOXRC 方案(SOX 联合卡瑞利珠单抗及阿帕替尼)治疗的 pCR 率达 25%<sup>[16]</sup>。多项研究证实 MHC-II 高表达与病理反应呈正相关,自然杀伤(natural killer, NK)细胞、B 细胞及 CD8<sup>+</sup>T 细胞等免疫细胞的动态变化也与治疗应答密切相关<sup>[33-34]</sup>。PANDA 试验还发现,PD-1<sup>+</sup>CD8<sup>+</sup>T 细胞的富集及 T 细胞因子 1 (T-cell factor 1, TCF1) 的高表达可能是潜在的预测指标<sup>[30]</sup>。未来趋势在于通过人工智能技术整合多组学数据,构建更为精准的预测模型。随着检测技术的标准化和生物标志物体系的完善,胃癌围手术期免疫治疗将迈向更加个体化的精准医疗时代。

## 2.2 新辅助免疫治疗的耐药

尽管 ICI 在胃癌治疗中取得重大突破,但其耐药性仍是当前面临的关键挑战。胃癌 PD-1 抑制剂耐药机制主要涉及 3 个层面:在肿瘤细胞层面,干扰素  $\gamma$  (interferon- $\gamma$ , IFN- $\gamma$ )、丝裂原活化蛋白激酶(mitogen-activated protein kinase, MAPK)及 Wnt/ $\beta$ -catenin 等关键信号通路的功能异常可导致 T 细胞功能障碍及免疫检查点表达改变<sup>[35-37]</sup>,同时抗原呈递机制缺陷(如 MHC 分子下调及新抗原缺失)会进一步削弱免疫识别<sup>[38]</sup>;在肿瘤微环境层面,调节性 T 细胞、髓源性抑制细胞、M2 型巨噬细胞等免疫抑制细胞的浸润以及肿瘤相关成纤维细胞形成的物理屏障共同营造免疫抑制状态,并通过诱导 CD8<sup>+</sup>T 细胞耗竭导致耐药<sup>[39-40]</sup>;在全身系统层面,肠道菌群失调(如幽门螺杆菌感染)及肿瘤代谢重编程(如葡萄糖与脂质代谢异常)可通过调节免疫稳态及营养竞争促进耐药发生<sup>[41-43]</sup>。这些多维度机制相互交织,共同导致免疫治疗应答失败。深入解析上述通路并为个体化联合治疗策略提供新靶点,是克服耐药的关键方向。

## 2.3 新辅助免疫治疗相关不良事件

ICI 在胃癌治疗中引发的免疫相关不良事件(immune-related adverse events, irAEs)可累及全身多个器官系统。皮肤最为常见(25%~60%),以斑丘疹和瘙痒为主,严重者可出现 Stevens-Johnson 综合征或药物反应伴嗜酸性粒细胞增多和系统症状(drug reaction with eosinophilia and systemic symptoms, DRESS)综合征<sup>[44-45]</sup>。胃肠道与肝脏不良事件亦较常见,ICI 相关结肠炎发生率为 8%~22%,以水样腹泻为典型表现,偶可并发肠穿孔;肝炎发生率约

15%,多数表现为无症状肝酶升高,少数可进展为急性肝衰竭<sup>[46]</sup>。内分泌系统 irAEs 发生率为 5%~20%,以甲状腺功能异常为主,需警惕垂体炎和肾上腺功能不全引发的危象<sup>[47]</sup>。肺部 irAEs 发生率较低(3%~6%),但肺炎可表现为无症状影像学改变或症状性呼吸困难<sup>[48]</sup>。罕见 irAEs 可累及血液、神经及心血管系统,其中心肌炎发生率虽仅为 0.4%~1.4%,却是致死率最高的 irAEs 之一<sup>[49-50]</sup>。irAEs 机制尚未完全明确,普遍认为与 T 细胞过度激活、自身抗体产生及炎症因子释放有关<sup>[51]</sup>。未来需聚焦 irAEs 预测生物标志物[如 C-X-C 基序趋化因子配体(C-X-C motif chemokine ligand, CXCL)9、CXCL10]开发、个体化治疗策略优化及新型靶向 ICI[如淋巴细胞活化基因 3(lymphocyte activation gene 3, LAG-3)、T 细胞免疫球蛋白黏蛋白 3(T-cell immunoglobulin mucin 3, TIM-3)抑制剂]探索,以平衡疗效与安全性<sup>[52-53]</sup>。

在新辅助免疫治疗模式下,ICI 引发的 irAEs 不仅关乎药物治疗安全性,更直接影响到后续手术的时机、难度与围手术期风险。与晚期胃癌的系统治疗不同,局部进展期胃癌患者接受新辅助免疫治疗后往往需按期接受根治性手术,而 irAEs 可能导致手术延迟、术中解剖困难或术后并发症增加。为保障手术安全性,术前实施 irAEs 的全程化防控与多学科协同管理至关重要。

## 3 术前免疫治疗、靶向治疗、放疗对手术难度和并发症的潜在影响

尽管多模式新辅助治疗显著提升了 pCR 率与肿瘤降期效果,但其引发的独特组织反应与全身效应,也为后续手术的难度及围手术期并发症风险带来了新的挑战<sup>[54]</sup>。新辅助免疫治疗通过激活 T 细胞等免疫机制攻击肿瘤,同时也可导致治疗区域的组织炎症反应。其最显著的影响是引起组织水肿与纤维化,这使得原有的胃周解剖间隙,特别是系膜融合平面变得模糊不清<sup>[55-56]</sup>。这些改变可能导致术中出血风险增加、手术时间延长,并提升了邻近器官(如胰腺、脾血管)副损伤的概率<sup>[57]</sup>。笔者团队一项基于倾向性评分匹配的双中心研究显示,在接受新辅助免疫治疗联合化疗后,患者的手术时间延长 15~30 min<sup>[58]</sup>。而一项纳入国内 47 家医院 1205 例患者的真实世界研究显示,免疫联合治疗组的腹腔镜中转开腹率为 6.5%,单纯化疗

组则为 3.8% ( $P=0.459$ )<sup>[59]</sup>。

尽管多项研究表明,新辅助免疫治疗联合化疗的总体并发症发生率与单纯化疗相当<sup>[5-6,60]</sup>,但其对手术技术层面的要求显著提高。此外,如果联合靶向药物,特别是抗血管生成类药物,可能会同时影响正常组织的血液供应与修复能力<sup>[61]</sup>。虽然目前关于新辅助靶向治疗对胃癌手术安全性影响的大规模数据尚不充分,但其作用机制提示,外科医生需警惕术后吻合口漏、出血及伤口愈合延迟的风险<sup>[62]</sup>。对于接受此类治疗的患者,术中需更加精细地处理拟吻合的肠管血供,并确保彻底止血。

而新辅助放疗在胃食管结合部癌中应用较多,其通过高能射线杀灭肿瘤细胞,但也会导致照射野内产生显著的纤维化与组织粘连,使得手术分离异常困难,极大地增加了术中周围脏器损伤的风险。

由此可见,术前免疫、靶向治疗及放疗在提升肿瘤学疗效的同时,确实通过不同机制增加了胃癌根治术的技术复杂性和对围手术期管理的要求。未来研究应致力于建立术中组织改变的评价体系,并通过前瞻性临床研究,明确不同治疗模式下最佳的手术时机与术式选择,最终实现肿瘤根治与手术安全的最佳平衡。

#### 4 新辅助免疫治疗的未来展望

胃癌治疗已进入靶向治疗与免疫治疗协同发展的新阶段。随着 HER2、Claudin18.2 等分子靶向药物的应用,以及抗体药物偶联物和双特异性抗体技术的突破,特定患者群体的生存期得到显著改善<sup>[1]</sup>。与此同时,免疫治疗从 PD-1 单抗向联合治疗策略拓展,嵌合抗原受体 T 细胞(chimeric antigen receptor T-Cell, CAR-T) 等创新疗法也展现出良好的应用前景<sup>[63]</sup>。

胃癌新辅助免疫治疗当前面临的主要挑战包括肿瘤异质性、耐药机制和人群差异。为了应对这些挑战,未来的发展将聚焦于以下几个方向:通过多组学分析实现精准分型,利用液体活检等技术进行动态监测,并制定个体化治疗策略。在临床实践层面,建议将微卫星不稳定性、HER2、PD-L1 等生物标志物检测纳入常规评估,建立多学科协作的管理模式,优化新辅助治疗周期安排,并完善术后监测体系。人工智能技术将在这一过程中发挥重要作用,从辅助诊断到治疗决策,为精准医疗提

供技术支持。通过整合多维度信息和创新技术,胃癌治疗正朝着更加精准、个体化的方向发展,有望为患者带来更好的治疗效果。

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