

**Expression pattern and prognostic value of CTLA-4, CD86, and tumor-infiltrating lymphocytes in rectal cancer after neoadjuvant chemo(radio)therapy**

**Inventory of supplementary data**

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**Supplementary Table S1.** Correlation between the expression of immune-related molecules and clinicopathologic characteristics.

| Variables | CTLA-4 <sup>+</sup> cells |            |            | tCD4 <sup>+</sup> cells |            |           | sCD4 <sup>+</sup> cells |            |            | iCD4 <sup>+</sup> cells |            |           |       |
|-----------|---------------------------|------------|------------|-------------------------|------------|-----------|-------------------------|------------|------------|-------------------------|------------|-----------|-------|
|           | Low                       | High       | <i>p</i>   | Low                     | High       | <i>p</i>  | Low                     | High       | <i>p</i>   | Low                     | High       | <i>p</i>  |       |
| Age       | ≤55                       | 67 (51.9)  | 61 (48.4)  | 0.573                   | 92 (48.2)  | 8 (57.1)  | 0.517                   | 64 (50.8)  | 64 (49.6)  | 0.850                   | 86 (51.5)  | 42 (47.7) | 0.567 |
|           | > 55                      | 62 (48.1)  | 65 (51.6)  |                         | 99 (51.8)  | 6 (42.9)  |                         | 62 (49.2)  | 65 (50.4)  |                         | 81 (48.5)  | 46 (52.3) |       |
| Sex       | Male                      | 92 (71.3)  | 86 (68.3)  | 0.594                   | 136 (71.2) | 9 (63.4)  | 0.583                   | 91 (72.2)  | 87 (67.4)  | 0.406                   | 123 (73.7) | 55 (62.5) | 0.065 |
|           | Female                    | 37 (28.7)  | 40 (31.7)  |                         | 55 (28.8)  | 5 (35.7)  |                         | 35 (27.8)  | 42 (32.6)  |                         | 44 (26.3)  | 33 (37.5) |       |
| cT stage  | cT3                       | 101 (78.3) | 102 (81.0) | 0.598                   | 150 (78.5) | 12 (85.7) | 0.524                   | 93 (73.8)  | 110 (85.3) | 0.023 *                 | 127 (76.0) | 76 (86.4) | 0.052 |
|           | cT4                       | 28 (21.7)  | 24 (19.0)  |                         | 41 (21.5)  | 2 (14.3)  |                         | 33 (26.2)  | 19 (14.7)  |                         | 40 (24.0)  | 12 (13.6) |       |
| cN stage  | cN0                       | 23 (17.8)  | 34 (27.0)  | 0.079                   | 40 (20.9)  | 3 (21.4)  | 0.966                   | 36 (28.6)  | 21 (16.3)  | 0.018 *                 | 39 (23.4)  | 18 (20.5) | 0.597 |
|           | cN1–2                     | 106 (82.2) | 92 (73.0)  |                         | 151 (79.1) | 11 (78.6) |                         | 90 (71.4)  | 108 (83.7) |                         | 128 (76.6) | 70 (79.5) |       |
| ypT       | ypT0–2                    | 62 (48.1)  | 62 (49.2)  | 0.855                   | 67 (35.1)  | 7 (50.0)  | 0.262                   | 63 (50.0)  | 61 (47.3)  | 0.665                   | 87 (52.1)  | 37 (42.0) | 0.127 |
|           | ypT3–4                    | 67 (51.9)  | 64 (50.8)  |                         | 124 (64.9) | 7 (50.0)  |                         | 63 (50.0)  | 68 (52.7)  |                         | 80 (47.9)  | 51 (58.0) |       |
| ypN       | ypN0                      | 97 (75.2)  | 104 (82.5) | 0.151                   | 145 (75.9) | 10 (71.4) | 0.706                   | 101 (80.2) | 100 (77.5) | 0.606                   | 135 (80.8) | 66 (75.0) | 0.278 |
|           | ypN1–2                    | 32 (24.8)  | 22 (17.5)  |                         | 46 (24.1)  | 4 (28.6)  |                         | 25 (19.8)  | 29 (22.5)  |                         | 32 (19.2)  | 22 (25.0) |       |

\*, *p* < 0.05, statistically significant; The *p* value of 0.000 indicated *p* < 0.001.

**Supplementary Table S1.** Correlation between the expression of immune-related molecules and clinicopathologic characteristics (continued).

| Variables |        | CD86 <sup>+</sup> cells (%) |           |          | tCD8 <sup>+</sup> cells (%) |           |          | sCD8 <sup>+</sup> cells (%) |            |          | iCD8 <sup>+</sup> cells (%) |           |          |
|-----------|--------|-----------------------------|-----------|----------|-----------------------------|-----------|----------|-----------------------------|------------|----------|-----------------------------|-----------|----------|
|           |        | Low                         | High      | <i>p</i> | Low                         | High      | <i>p</i> | Low                         | High       | <i>p</i> | Low                         | High      | <i>p</i> |
| Age       | ≤ 55   | 109 (49.8)                  | 19 (52.8) | 0.738    | 74 (50.0)                   | 26 (45.6) | 0.574    | 68 (51.9)                   | 60 (48.4)  | 0.574    | 110 (52.4)                  | 18 (40.0) | 0.132    |
|           | > 55   | 110 (50.2)                  | 17 (47.2) |          | 74 (50.0)                   | 31 (54.4) |          | 63 (48.1)                   | 64 (51.6)  |          | 100 (47.6)                  | 27 (60.0) |          |
| Sex       | Male   | 152 (69.4)                  | 26 (72.2) | 0.733    | 104 (70.3)                  | 41 (71.9) | 0.815    | 91 (69.5)                   | 87 (70.2)  | 0.904    | 149 (71.0)                  | 29 (64.4) | 0.388    |
|           | Female | 67 (30.6)                   | 10 (27.8) |          | 44 (29.7)                   | 16 (28.1) |          | 40 (30.5)                   | 37 (29.8)  |          | 61 (29.0)                   | 16 (35.6) |          |
| cT stage  | cT3    | 173 (79.0)                  | 30 (83.3) | 0.549    | 112 (75.7)                  | 50 (87.7) | 0.058    | 100 (76.3)                  | 103 (83.1) | 0.183    | 162 (77.1)                  | 41 (91.1) | 0.035 *  |
|           | cT4    | 46 (21.0)                   | 6 (16.7)  |          | 36 (24.3)                   | 7 (12.3)  |          | 31 (23.7)                   | 21 (16.9)  |          | 48 (22.9)                   | 4 (8.9)   |          |
| cN stage  | cN0    | 47 (21.5)                   | 10 (27.8) | 0.399    | 35 (23.6)                   | 8 (14.0)  | 0.130    | 34 (26.0)                   | 23 (18.5)  | 0.156    | 45 (21.4)                   | 12 (26.7) | 0.444    |
|           | cN1–2  | 172 (78.5)                  | 26 (72.2) |          | 113 (76.4)                  | 49 (86.0) |          | 97 (74.0)                   | 101 (81.5) |          | 165 (78.6)                  | 33 (73.3) |          |
| ypT       | ypT0–2 | 109 (49.8)                  | 15 (41.7) | 0.367    | 50 (33.8)                   | 24 (42.1) | 0.266    | 64 (48.9)                   | 60 (48.4)  | 0.940    | 107 (51.0)                  | 17 (37.8) | 0.109    |
|           | ypT3–4 | 110 (50.2)                  | 21 (58.3) |          | 98 (66.2)                   | 33 (57.9) |          | 67 (51.1)                   | 64 (51.6)  |          | 103 (49.0)                  | 28 (62.2) |          |
| ypN       | ypN0   | 177 (80.8)                  | 24 (66.7) | 0.054    | 106 (71.6)                  | 49 (86.0) | 0.032 *  | 103 (78.6)                  | 98 (79.0)  | 0.937    | 165 (78.6)                  | 36 (80.0) | 0.831    |
|           | ypN1–2 | 42 (19.2)                   | 12 (33.3) |          | 42 (28.4)                   | 8 (14.0)  |          | 28 (21.4)                   | 26 (21.0)  |          | 45 (21.4)                   | 9 (20.0)  |          |

\*, *p* < 0.05, statistically significant; The *p* value of 0.000 indicated *p* < 0.001.

**Supplementary Table S2.** Association of immune-related molecules with TRG categories in nCT- and nCRT-treated groups

| Variables               |      | TRG of nCT-treated group |            |            |            | <i>p</i> | TRG of nCRT-treated group |           |            |           | <i>p</i> |
|-------------------------|------|--------------------------|------------|------------|------------|----------|---------------------------|-----------|------------|-----------|----------|
|                         |      | TRG 0                    | TRG 1      | TRG 2      | TRG 3      |          | TRG 0                     | TRG 1     | TRG 2      | TRG 3     |          |
| CTLA-4+ cells           | Low  | 7 (70.0)                 | 14 (58.3)  | 19 (54.3)  | 13 (35.1)  | 0.122    | 19 (47.5)                 | 31 (54.4) | 23 (48.9)  | 2 (40.0)  | 0.861    |
|                         | High | 3 (30.0)                 | 10 (41.7)  | 16 (45.7)  | 24 (64.9)  |          | 21 (52.5)                 | 26 (45.6) | 24 (51.1)  | 3 (60.0)  |          |
| CD8 <sup>+</sup> cells  | Low  | 10 (100.0)               | 19 (79.2)  | 27 (77.1)  | 29 (78.4)  | 0.429    | 37 (92.5)                 | 53 (93.0) | 40 (85.1)  | 4 (80.0)  | 0.452    |
|                         | High | 0 (0.0)                  | 5 (20.8)   | 8 (22.9)   | 8 (21.6)   |          | 3 (7.5)                   | 4 (7.0)   | 7 (14.9)   | 1 (20.0)  |          |
| tCD4 <sup>+</sup> cells | Low  | NA                       | 23 (95.8)  | 32 (91.4)  | 30 (81.1)  | 0.167    | NA                        | 56 (98.2) | 45 (95.7)  | 5 (100.0) | 0.687    |
|                         | High | NA                       | 1 (4.2)    | 3 (8.6)    | 7 (18.9)   |          | NA                        | 1 (1.8)   | 2 (4.3)    | 0 (0.0)   |          |
| sCD4 <sup>+</sup> cells | Low  | 5 (50.0)                 | 13 (54.2)  | 21 (60.0)  | 14 (37.8)  | 0.289    | 24 (60.0)                 | 31 (54.4) | 18 (38.3)  | 2 (40.0)  | 0.187    |
|                         | High | 5 (50.0)                 | 11 (45.8)  | 14 (40.0)  | 23 (62.2)  |          | 16 (40.0)                 | 26 (45.6) | 29 (61.7)  | 3 (60.0)  |          |
| iCD4 <sup>+</sup> cells | Low  | 10 (100.0)               | 24 (100.0) | 35 (100.0) | 37 (100.0) | NA       | 40 (100.0)                | 56 (98.2) | 47 (100.0) | 5 (100.0) | 0.654    |
|                         | High | 0 (0.0)                  | 0 (0.0)    | 0 (0.0)    | 0 (0.0)    |          | 0 (0.0)                   | 1 (1.8)   | 0 (0.0)    | 0 (0.0)   |          |
| tCD8 <sup>+</sup> cells | Low  | NA                       | 13 (54.2)  | 23 (65.7)  | 22 (59.5)  | 0.665    | NA                        | 51 (89.5) | 35 (74.5)  | 4 (80.0)  | 0.132    |
|                         | High | NA                       | 11 (45.8)  | 12 (34.3)  | 15 (40.5)  |          | NA                        | 6 (10.5)  | 12 (25.5)  | 1 (20.0)  |          |
| sCD8 <sup>+</sup> cells | Low  | 6 (60.0)                 | 9 (37.5)   | 17 (48.6)  | 22 (59.5)  | 0.359    | 27 (67.5)                 | 29 (50.9) | 17 (36.2)  | 2 (40.0)  | 0.033 *  |
|                         | High | 4 (40.0)                 | 15 (62.5)  | 18 (51.4)  | 15 (40.5)  |          | 13 (32.5)                 | 28 (49.1) | 30 (63.8)  | 3 (60.0)  |          |
| iCD8 <sup>+</sup> cells | Low  | 10 (100.0)               | 16 (66.7)  | 24 (68.6)  | 29 (78.4)  | 0.162    | 40 (100.0)                | 51 (89.5) | 37 (78.7)  | 3 (60.0)  | 0.005 *  |
|                         | High | 0 (0.0)                  | 8 (33.3)   | 11 (31.4)  | 8 (21.6)   |          | 0 (0.0)                   | 6 (10.5)  | 10 (21.3)  | 2 (40.0)  |          |

TRG, tumor regression grade; nCRT, neoadjuvant chemoradiotherapy; nCT, neoadjuvant chemotherapy.

\*,  $p < 0.05$ , statistically significant; The  $p$  value of 0.000 indicated  $p < 0.001$ .

**Supplementary Table S3.** Univariate analysis for survival.

| Variables                               | PFS      | DMFS     | OS       |
|---|----------|----------|----------|
|   | <i>p</i> | <i>p</i> | <i>p</i> |
| Age (> 55 vs ≤55)                       | 0.833    | 0.948    | 0.272    |
| Gender (Female vs Male)                 | 0.976    | 0.981    | 0.501    |
| cT stage (cT4 vs cT3)                   | 0.182    | 0.138    | 0.156    |
| cN stage (cN1-cN2 vs cN0)               | 0.250    | 0.312    | 0.407    |
| Therapy method (nCT vs nCRT)            | 0.944    | 0.675    | 0.617    |
| ypT (ypT3-ypT4 vs ypT0-ypT2)            | 0.000 *  | 0.000 *  | 0.009 *  |
| ypN (ypN1-ypN2 vs ypN0)                 | 0.000 *  | 0.000 *  | 0.000 *  |
| TRG (TRG 3 vs TRG 2 vs TRG 1 vs TRG 0)  | 0.001 *  | 0.002 *  | 0.060    |
| CTLA-4 <sup>+</sup> cells (High vs Low) | 0.145    | 0.031 *  | 0.876    |
| CD86 <sup>+</sup> cells (High vs Low)   | 0.757    | 0.942    | 0.028 *  |
| tCD4 <sup>+</sup> cells (High vs Low)   | 0.503    | 0.679    | 0.791    |
| sCD4 <sup>+</sup> cells (High vs Low)   | 0.413    | 0.512    | 0.308    |
| iCD4 <sup>+</sup> cells (High vs Low)   | 0.346    | 0.366    | 0.987    |
| tCD8 <sup>+</sup> cells (High vs Low)   | 0.330    | 0.298    | 0.452    |
| sCD8 <sup>+</sup> cells (High vs Low)   | 0.049 *  | 0.053    | 0.845    |
| iCD8 <sup>+</sup> cells (High vs Low)   | 0.568    | 0.830    | 0.922    |

PFS, progression free survival; DMFS, distant metastasis free survival; OS, overall survival.

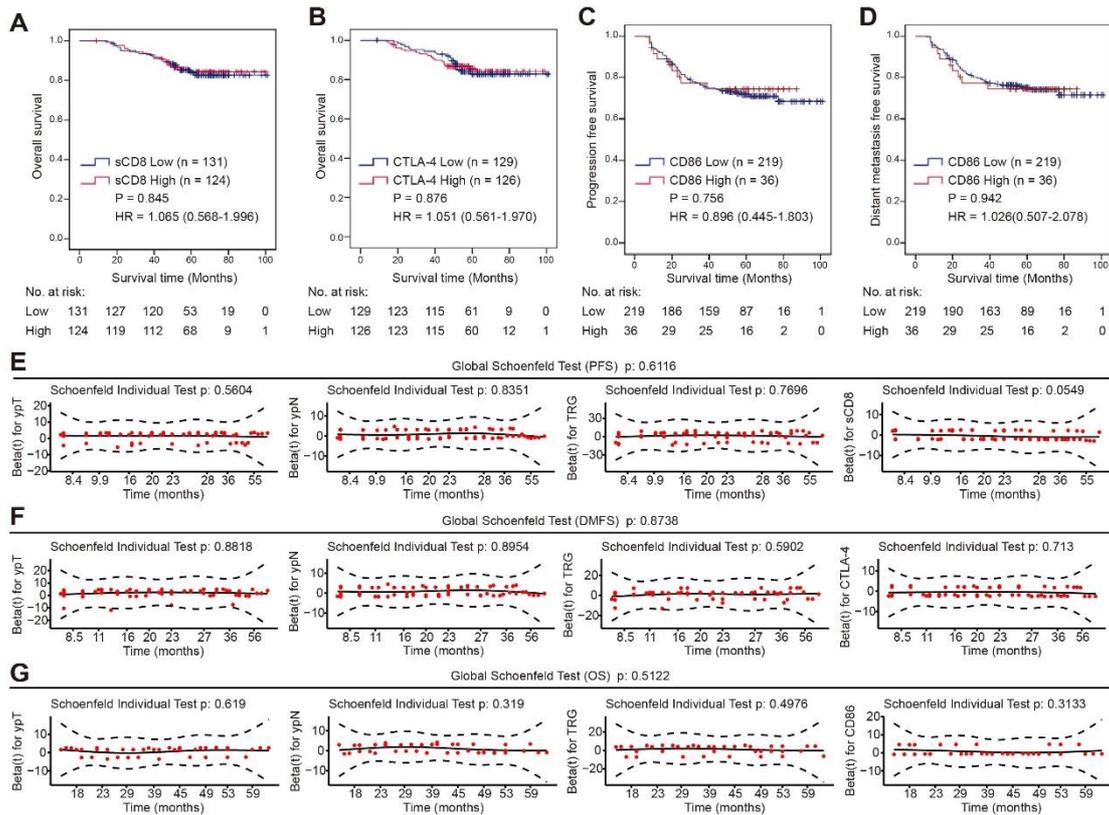
\*,  $p < 0.05$ , statistically significant; The  $p$  value of 0.000 indicated  $p < 0.001$ .

**Supplementary Table S4.** Multivariate analysis for overall survival for patients with TRG 1-3 and low sCD8<sup>+</sup> cell density.

| Variables                 |        | HR   | 95% CI     | <i>p</i> |
|---------------------------|--------|------|------------|----------|
| ypT                       | ypT0-2 | 1.00 |            |          |
|                           | ypT3-4 | 0.80 | 0.19-3.33  | 0.764    |
| ypN                       | ypN0   | 1.00 |            |          |
|                           | ypN1-2 | 3.76 | 1.27-11.13 | 0.017 *  |
| TRG                       | TRG 1  | 1    |            |          |
|                           | TRG 2  | 3.00 | 0.73-12.23 | 0.127    |
|                           | TRG 3  | 2.42 | 0.53-11.08 | 0.256    |
| sCD8 <sub>low</sub> /CD86 | Low    | 1    |            |          |
|                           | High   | 5.65 | 1.84-17.37 | 0.003 *  |

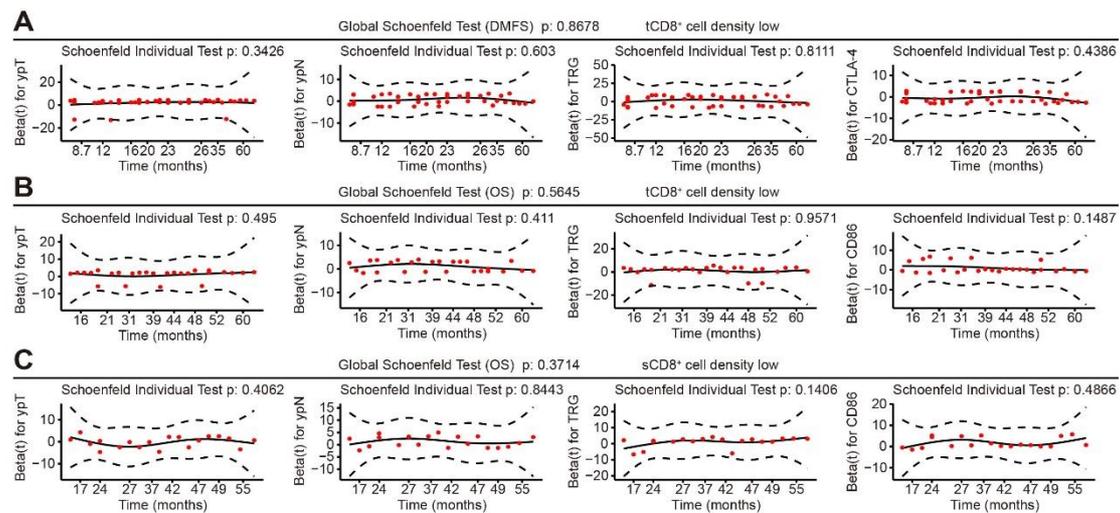
\*,  $p < 0.05$ , statistically significant.

### Supplementary Figure S1



**Supplementary Figure S1.** Kaplan-Meier curves and multivariate analysis of survival. Kaplan-Meier curves of OS according to the expression of sCD8 (A) and CTLA-4 (B). Kaplan-Meier curves of PFS (C) and DMFS (D) according to CD86 expression. Tested the assumptions of Cox PH model for PFS (E), DMFS (F), and OS (G). PFS, progression free survival; DMFS, distant metastasis free survival; OS, overall survival.

### Supplementary Figure S2



**Supplementary Figure S2.** The assumption of Cox PH model test. Tested the assumptions of Cox PH model for DMFS and OS according to tCD8<sup>+</sup> (A,B) and sCD8<sup>+</sup> (C) cell density low.