

# Autoantibody Development under Treatment with Immune-Checkpoint Inhibitors

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# Citation

Moel, E. C. de, Rozeman, E. A., Kapiteijn, E. H., Verdegaal, E. M. E., Grummels, A., Bakker, J. A., ... Woude, D. van der. (2019). Autoantibody Development under Treatment with Immune-Checkpoint Inhibitors. *Cancer Immunology Research*, 7(1), 6-11. doi:10.1158/2326-6066.CIR-18-0245

Version:Not Applicable (or Unknown)License:Leiden University Non-exclusive licenseDownloaded from:https://hdl.handle.net/1887/88280

Note: To cite this publication please use the final published version (if applicable).

- 1 Article type: Cancer Immunology Miniature
- 2 **Title**: Autoantibody development under treatment with immune checkpoint inhibitors
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- 22 The authors declare no potential conflicts of interest.
- 23
- 24 Funding: This project was funded by a ZonMw (the Netherlands Organisation for
- 25 Health Research and Development) *Veni*-grant (91617100).

26	
27	Word count full text: 2812 words
28	Word count without methods: 1720
29	Figures: 2
30	Tables: 1
31	Supplementary figures/tables: 4
32	Key words: autoantibodies, immune checkpoint inhibitors, ipilimumab, immune-related
33	adverse events, melanoma
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### 49 Abstract

50 Immune checkpoint inhibitors (ICIs) activate the immune system to assault cancer cells in a 51 manner that is not antigen specific. We hypothesized that tolerance may also be broken to 52 autoantigens, resulting in autoantibody formation, which could be associated with immune-53 related adverse events (irAEs) and antitumor efficacy. Twenty-three common clinical 54 autoantibodies in pre- and post-treatment sera from 133 ipilimumab-treated melanoma 55 patients were determined, and their development linked to the occurrence of irAEs, best 56 overall response, and survival. Autoantibodies developed in 19.2% (19/99) of patients who 57 were autoantibody-negative pre-treatment. A non-significant association was observed between development of any autoantibodies and any irAEs (OR: 2.92 [95% CI: 0.85 to 58 59 10.01]). Patients with anti-thyroid antibodies after ipilimumab had significantly more thyroid 60 dysfunction under subsequent anti-PD-1 therapy: 7/11 (54.6%) patients with anti-thyroid 61 antibodies after ipilimumab developed thyroid dysfunction under anti-PD1 versus 7/49 62 (14.3%) patients without antibodies (OR: 9.96 [95% CI: 1.94 to 51.1]). Patients who developed autoantibodies showed a trend for better survival (HR for all-cause death: 0.66 63 [95% CI: 0.34 to 1.26]) and therapy response (OR: 2.64 [95% CI: 0.85 to 8.16]). We 64 65 conclude that autoantibodies develop under ipilimumab treatment and could be a potential 66 marker of ICI toxicity and efficacy.

## 67 Introduction

Immune checkpoint inhibitors (ICIs) have improved the previously dismal prognosis of 68 69 patients with various types of cancer, but at the cost of immune-related adverse events 70 (irAEs) including arthritis, colitis, hepatitis, and various endocrinopathies [1]. ICIs inhibit 71 negative costimulatory signals to T cells, thereby enhancing antitumor T-cell responses [2]. 72 Because this mode of action is not antigen-specific, ICIs may also (re)activate otherwise 73 dormant autoreactive T-cells. This in turn might lead to a break in T-cell tolerance to not only 74 tumor antigens but also autoantigens, resulting in activation of autoreactive B-cells and 75 ultimately the formation of autoantibodies. If true, the occurrence of autoantibodies may be 76 associated with more frequent irAEs. Production of autoantibodies may indicate enhanced 77 global immunogenicity, which may, in turn, be associated with better antitumor responses, as 78 has been reported for changes in the T-cell repertoire [3-5]. Therefore, we determined if 79 autoimmune disease-associated autoantibodies were formed with ICI treatment and 80 investigated their association with irAEs and clinical outcome.

## 81 Methods

#### 82 Patients and serological measurements

For this analysis, we included one hundred thirty-three patients with late-stage melanoma who were treated with ipilimumab, a CTLA-4-inhibitor, for whom pre- and post-treatment serum or plasma samples were available. Patients were treated with a maximum of four cycles ipilimumab 3mg/kg in an expanded access program or according to the label after approval at the Netherlands Cancer Institute or the Leiden University Medical Center. Patients were included if they were at least 18 years of age and had histologically or cytologically proven irresectable stage IIIc or IV melanoma with measurable metastatic

90 lesions according to the RECIST 1.1 criteria. Patients were treated with four cycles of 91 intravenous 3 mg/kg ipilimumab every 3 weeks. Sixty-six (49.6%) of patients were treated 92 with anti-PD1 therapy following ipilimumab: either 2 mg/kg intravenous pembrolizumab 93 every three weeks, or 240 mg intravenous nivolumab every 4 weeks. The study was 94 conducted in accordance with the Declaration of Helsinki after approval by the institutional review boards of both centers. All patients signed informed consent for withdrawal of extra 95 96 blood samples for biomarker analysis. According to the study protocol, serum or plasma for 97 autoantibody determination was collected before initiation of ipilimumab treatment and 12 98 weeks after. Pre- and post-treatment serum was snap-frozen and stored at -80 degrees until 99 autoantibody determination. Due to failed measurements, post-ipilimumab autoantibody 100 status could not be determined in 4 patients (Supplementary Fig. S1).

### 101 Indirect immunofluorescence assays

102 Autoimmune hepatitis and primary biliary cirrhosis-associated anti-smooth muscle, anti-103 mitochondrial, and anti-liver/kidney microsome (LKM) antibodies were measured by indirect 104 immunofluorescence assay (IFA) using mouse liver/kidney/stomach substrate (Aesku). Anti-105 nuclear antibodies (ANA) were determined in all patients by IFA using the HEp-2000<sup>TM</sup> 106 ANA Test System which uses human epithelioid cells stably transfected with the SSA/Ro 107 autoantigen, cultured and fixed directly on the test wells (Immuno Concepts). Patient serum 108 samples at a dilution of 1:40 were incubated with antigen substrate for 30 minutes at room 109 temperature to allow specific binding of autoantibodies to cell nuclei. After washing with 110 phosphate-buffered saline to remove non-specifically bound antibodies, the substrate was 111 incubated with an anti-human antibody conjugated to fluorescein. After another washing step, 112 the nuclear staining pattern was read using the international consensus on antinuclear 113 antibody pattern (ICAP; [6]) by two experienced, independent readers trained in ANA-

pattern reporting and blinded to time-order and patient data of samples. In the case of lack of
consensus, a third reader functioned as tie-breaker. All system reagents, conjugates,
calibrators, and positive and negative controls were provided by and used according to
instructions of the manufacturer (Immuno Concepts). All steps of the IFA were conducted
using a Helmed fully automated IFA slide processor (Aesku).

### 119 Fluorescence enzyme immunoassays

120 Anti-cyclic citrullinated peptide 2 (CCP2) IgG, rheumatoid factor (RF) IgM, anti-gliadin IgG, 121 and (if ANA was positive by IFA) antibodies to extractable nuclear antigens (ENA) were determined by EliA<sup>TM</sup> technique on a Phadia<sup>TM</sup> ImmunoCap 250 instrument (Thermo Fisher 122 123 Scientific). This is a fully automated and high-throughput fluorescence enzyme immunoassay 124 system used for routine diagnostic laboratory testing. The fluorescence signal of measured 125 serum samples is compared to calibrators with known concentrations. For anti-CCP2 IgG, citrullinated synthetic peptides (second generation antigen) were used as antigen, for RF IgM, 126 127 aggregated rabbit IgG was used, for anti-gliadin IgG, synthetic deamidated gliadin peptides 128 were used, and for ENA, a Symphony Well<sup>TM</sup> of various antigens was used: human 129 recombinant U1RNP (RNP70, A, C), SS-A/Ro (60 kDa, 52 kDa), SS-B/La, Centromere B, 130 Scl-70 protein, Jo-1 protein, and native purified Sm proteins. Anti-ENA positive patients 131 were further assayed for the following specific ENA antibodies by EliA (coated antigens in 132 parentheses): anti-SSA (human recombinant SS-A/Ro (60 kDa, 52 kDa) proteins), anti-SSB 133 (human recombinant SS-B/La protein), anti-RNP70 (human recombinant RNP70 protein), anti-U1RNP (human recombinant U1RNP (RNP70, A, C) proteins), anti-Smith (synthetic 134 135 SmD3 peptide), anti-Jo1 (human recombinant Jo-1 protein), anti-CENP (human recombinant centromere protein B), anti-PMSCL (human recombinant PM-Scl protein), anti-RNAP3 136 137 (human recombinant RNA polymerase III protein), anti-Scl70s (human recombinant Scl-70

protein). All system reagents, conjugates, calibrators, and positive and negative controls wereused according to manufacturer's instructions.

### 140 Chemiluminescent immunoassays

Anti-thyroid peroxidase (TPO), anti-thyroglobulin (TG), and, in ANA-positive patients, antidsDNA were determined by non-competitive chemiluminescent immunoassay (CLIA) using
Immulite 2000<sup>TM</sup> (Siemens Healthineers). These assays use a luminescent adamantyl
dioxetane phosphate tracer and were performed using reagents provided by the manufacturer
according to instructions in the package insert.

147 Clinical data

148 Information about demographics, treatment response, survival status, and the 149 occurrence of irAEs was obtained from retrospective review of medical records. irAEs were 150 recorded starting from the first ipilimumab treatment until one year later, death, or the start of 151 different therapy (whichever occurred first), using Common Terminology Criteria for 152 Adverse Events (CTCAE) version 4.03: any grade arthralgia/arthritis, colitis, hypophysitis, 153 primary adrenal insufficiency, primary thyroid dysfunction, dermatitis (rash, vitiligo, or psoriasis), uveitis, or grade 3-4 hepatitis. Primary thyroid dysfunction as an irAE during anti-154 155 PD-1 treatment (nivolumab or pembrolizumab) following ipilimumab treatment was 156 determined in the same manner. Hematological and serum parameters necessary for making the above diagnoses were determined at baseline, every 3 months during follow-up, at 157 158 progressive disease, and according to the treating oncologist's clinical judgment. Three 159 patients had pre-existing hypothyroidism. Thyroid dysfunction was only registered as an irAE in these patients if symptoms were aggravated and a new medical intervention was indicated. 160

161 Two of the four cases of arthralgia/arthritis constituted a flare of pre-existing rheumatoid 162 arthritis (RA). Survival was defined as time from start of ipilimumab to death of any cause, recorded between start of first ipilimumab treatment until January 2018, for a median follow-163 164 up time of 20.4 months (IQR: 8.8-40.8). Radiologic evaluation (CT or PET/CT scanning) was 165 performed at baseline, week 12, and subsequently every 3 months until progression. 166 Response was scored according to RECIST 1.1 criteria. Best overall response was defined as 167 the best response recorded from start of ipilimumab until date of progression, death, or the 168 start of a different therapy (whichever occurred first). Patients achieving a partial response or 169 complete response were considered responding patients.

#### 170 Statistical analysis

171 We used McNemar's test for paired data to test whether autoantibody positivity 172 increased post-ipilimumab. Frequencies of irAEs in patients who developed antibodies versus 173 those who did not were compared using Fisher's exact tests. To test whether post-ipilimumab 174 autoantibody positivity was associated with 1) the development of any irAEs under 175 ipilimumab, primary thyroid dysfunction under subsequent anti-PD-1 therapy, or better 176 overall response, and 2) overall survival, binary logistic regression and Cox proportional 177 hazards regression, respectively, were used, and adjusted for age, gender, treating hospital, 178 and number of ipilimumab cycles received. All analyses were conducted using Stata 179 statistical software, Special Edition, release 14.1 (StataCorp LP).

# 180 **Results**

### 181 Autoantibody development

Mean age was 59 years (standard deviation: 14), and 62% of patients were male. Of
127 patients with complete pre-ipilimumab autoantibody data, 26 (20%) were positive for

any of the autoantibodies before treatment. In total, 29% (36/125) of patients with complete autoantibody data were autoantibody-positive after ipilimumab treatment. Of patients who were fully autoantibody-negative before ipilimumab treatment, 19.2% (19/99) developed any autoantibodies post-treatment (p<0.0001). Predominantly anti-TPO (4.8%, 6/125) and anti-TG (6.0%, 8/132) appeared in patients who were negative for these autoantibodies at baseline (p=0.03 and p=0.008, respectively). For all other autoantibodies, post-treatment positivity did not greatly change (Supplementary Fig. S1).

### 191 Association of autoantibodies with irAEs under ipilimumab

192 A non-significant association was seen between the development of any autoantibody 193 and irAEs: 15/19 (78.9%) patients who developed any autoantibody experienced irAEs 194 compared to 46/80 (57.5%) patients who did not develop autoantibodies (OR: 2.92 [95% CI: 195 0.85 to 10.01]) (Fig. 1). When disregarding autoantibody status pre-ipilimumab, patients with 196 autoantibodies post-treatment also experienced more irAEs (Supplementary Fig. S2). No 197 significant association between pre-ipilimumab autoantibody positivity and irAEs was 198 observed: 8/26 (31%) patients who were autoantibody-positive pre-ipilimumab experienced 199 irAEs compared to 38/100 (37%) patients who were autoantibody-negative pre-ipilimumab 200 (OR: 1.61 [95% CI: 0.62 to 4.18]; p=0.33).

In a pre-specified subgroup analysis, we focused only on the irAEs related to the tested autoantibodies (arthritis/arthralgia, hepatitis, thyroid dysfunction, colitis, adrenal insufficiency, dermatitis, or sicca symptoms). In this analysis, 14/19 (73.7%) patients who developed autoantibodies had irAEs related to the tested antibodies compared to 37/80 (46.3%) patients who did not develop autoantibodies, indicating a significant association between the development of autoantibodies and irAEs (OR: 3.64 [95% CI: 1.13 to 11.75]). However, the appearance of a specific autoantibody did not associate with the occurrence of an irAE in the organ system affected by the disease for which the specific autoantibody hasdiagnostic value (Table 1).

### 210 Association of autoantibodies with thyroid dysfunction under anti-PD-1 therapy

211 We hypothesized that autoantibody development with ipilimumab treatment might 212 predispose patients to irAEs during subsequent anti-PD-1 therapy. Following progression on 213 ipilimumab treatment and after exclusion of patients who had thyroid dysfunction with 214 ipilimumab (n=12), 61 (50.4%) patients received anti-PD-1 therapy. In these patients, we 215 found a significant association between the development of thyroid autoantibodies while on 216 ipilimumab and subsequent thyroid dysfunction under PD-1 blockade: 4/9 (44.4%) patients 217 who developed thyroid autoantibodies with ipilimumab and subsequently received anti-PD1-218 therapy had thyroid dysfunction under anti–PD-1 compared to only 7/48 (14.6%) patients 219 who did not develop autoantibodies (OR: 6.26 [95% CI: 1.07 to 36.5]; p=0.04). The 220 association between the development of thyroid autoantibodies while on ipilimumab and 221 subsequent thyroid dysfunction under PD-1 blockade was even stronger when autoantibody 222 status pre-ipilimumab was disregarded and all anti-PD-1-treated patients were included in the 223 analysis (n=60; one patient missing anti-TPO measurement): 7/11 (54.6%) patients who had 224 thyroid autoantibodies after ipilimumab treatment developed thyroid dysfunction under anti-225 PD-1 compared to 7/49 (14.3%) patients who did not develop autoantibodies (OR: 9.96 [95% 226 CI: 1.94 to 51.1]; p=0.006).

## 227 Association of autoantibody development with survival and response

We next investigated the association of autoantibody development following the initial

ipilimumab treatment with survival and response. During the median follow-up time of 20.4

- 230 months (IQR: 8.8-40.8), 92 (69%) patients succumbed to disease after a median of 11.2
- 231 months (IQR 7.3-21.9), 87 patients (65%) had stable or progressive disease, and 46 patients

(35%) achieved complete or partial response. Patients who developed autoantibodies had a
minor survival benefit compared to those that stayed autoantibody-negative, although this
was not significant (HR for all-cause death: 0.66 [95% CI: 0.34 to 1.26]; p=0.21; Fig. 2).
There was no significant association between the presence of a specific autoantibody and
survival (Supplementary Table S1).

There was also a trend towards an association between development of any
autoantibody and treatment responses (OR for response: 2.64 [95% CI: 0.85 to 8.16];
p=0.09). When assessing specific autoantibodies, only the development of thyroid
autoantibodies was significantly associated with treatment response (OR for response: 5.43
[95% CI: 1.38 to 21.4]; p=0.02).

242 To determine whether the observed associations between autoantibody development 243 and clinical outcomes were due to an association of irAEs with both entities, we also 244 investigated the association between irAEs and clinical outcomes. No association between occurrence of irAEs and survival or treatment response was found (HR for all-cause death: 245 246 1.12 [95% CI: 0.70 to 1.79], p=0.64; OR for response: 1.53 [95% CI: 0.68 to 3.46], p=0.31). 247 The estimates of the association between autoantibodies and survival and treatment response 248 reported above did not greatly change after adjusting the analyses for occurrence of irAEs: HR for all-cause death: 0.65 [95% CI: 0.34 to 1.25], p=0.20; OR for response: 2.50 [95% CI: 249 250 0.80 to 7.84], p=0.12. All associations of autoantibody status with survival and treatment 251 response were similar when autoantibody status pre-ipilimumab was disregarded and all 252 patients were included in the analysis (Supplementary Table S2). Patients who were 253 autoantibody-positive pre-ipilimumab had no survival or response benefit compared to 254 patients who were autoantibody-negative (HR for all-cause death: 1.16 [95% CI: 0.67 to 255 2.03], p=0.59; OR for response: 0.53 [95% CI: 0.19 to 1.46]; p=0.22).

256

# 257 **Discussion**

In this study, we found that ipilimumab treatment induced development of autoantibodies in a fifth of melanoma patients. Our analyses revealed a trend for association between autoantibodies and irAEs under ipilimumab, and a much stronger, significant association between ipilimumab-induced thyroid autoantibodies and thyroid dysfunction under subsequent PD-1 blockade. Lastly, we found a minor survival and response benefit in patients who developed autoantibodies, specifically in those who developed thyroid autoantibodies.

265 We determined the presence autoantibodies both pre- and post-treatment with ICI therapy and linked these data to irAEs and clinical outcomes. Our results expand previous 266 267 findings regarding the presence thyroid autoantibodies in patients with ICI-induced thyroid 268 dysfunction [7-10] by showing that these autoantibodies also develop in the absence of overt 269 thyroid dysfunction. Anti-thyroid antibodies are surprisingly common in populations without 270 overt thyroid disease, associated with or induced by concomitant autoimmune disease (i.e.: 271 type 1 diabetes mellitus, rheumatoid arthritis (RA), and Celiac's disease) [11-17], mutations 272 in CTLA-4 [18, 19], upregulation of MHC class II molecules on thyrocytes leading to thyroid 273 antigen presentation to autoreactive T-cells [20], or as we show here, ipilimumab treatment. 274 Our data also confirm previous studies reporting that patients rarely develop RA 275 autoantibodies [21-24] or autoimmune hepatitis antibodies even in the presence of the related 276 irAE [25-28]. 277 Our findings demonstrated that the development of thyroid autoantibodies predisposes euthyroid ipilimumab-treated patients to subsequent thyroid dysfunction under anti-PD-1 278 279 therapy. The association between thyroid autoantibodies and thyroid dysfunction under anti-

280 PD-1 therapy has been described previously [29, 30]. Our results confirm that it is clinically

useful to monitor patients with pre-existing thyroid autoantibodies closely for thyroid
dysfunction with anti–PD-1 therapy.

283 Although several studies report an association between irAEs and clinical outcome 284 under ICIs [31, 32], we did not find such an association in this study. A relationship between 285 immune-related thyroid dysfunction and clinical outcome has been described previously for 286 various types of cancer immunotherapy, including IL2 [33-35], interferon- $2\alpha$  [35-37], and 287 pembrolizumab [29]. Some of these studies also found a response or survival benefit under 288 IL2 [33, 34] or interferon- $2\alpha$  [36] for patients who developed thyroid autoantibodies. These 289 findings are in line with our observations that patients developing thyroid autoantibodies with 290 ICI have a better treatment response.

291 Our results indicate that CTLA-4 inhibition may lead to loss of B-cell self-tolerance. 292 ICIs execute their function in an antigen-independent manner by diversifying the T-cell 293 repertoire against a multitude of tumor antigens [3, 5]. In this study, we found that tolerance 294 to non-tumor autoantigens is broken as well and that breaking of tolerance may be associated 295 with signs of clinical autoimmunity, under CTLA-4 inhibition as well as subsequent PD-1 296 blockade. We did not observe that specific autoantibodies induced disease in their related 297 organ systems, but our results lacked the power to test this hypothesis. Breaking of B-cell 298 tolerance and development of autoantibodies was also associated with better treatment 299 response (statistical trend) and a survival benefit (though non-significantly). Previous studies 300 have shown that greater expansion of the T-cell repertoire by ICIs is associated with better 301 response [3, 5, 38]. We hypothesize that this expansion is paired with T cell-dependent 302 activation of autoreactive B-cells and autoantibody production. If this is the case, 303 autoantibodies may function as a marker for effective ICI-induced immunogenicity, and it is 304 this enhanced immunity (rather than the autoantibodies themselves) which in turn leads to 305 reactions against both clinically favorable (e.g.: tumor) and unfavorable (e.g.: non-

tumor/self) tissues. This could explain the link found in this study between autoantibodiesand both treatment response and irAEs.

308 The main limitation of this study is a lack of power due to the limited number of 309 patients. This may explain why some of our findings failed to reach statistical significance. We also had limited clinical data for which to correct our analyses. However, our study tested 310 311 all patients treated with ipilimumab (not just the subset that developed irAEs) for a broad 312 panel of autoantibodies in a longitudinal manner, facilitating a pre- and post-treatment 313 comparison of autoantibody prevalence. We conclude that the development of autoantibodies is common with ipilimumab 314 315 treatment and that autoantibody presence is associated with the development of irAEs and a 316 trend for better overall response and survival. These results indicate a promising avenue for

317 future research in the quest for biomarkers predicting ICI therapy toxicity and efficacy.

# 319 Tables and Figure Legends

- **Table 1**: Association between autoantibody development and irAEs.
- 321

	Converted to	Stayed negative	р	
	positive for	for		
Any irAE / any antibody	15/19 (78.9%)	46/80 (57.5%)	0.12	
Any autoantibody-related irAE † / any	14/19 (73.7%)	37/80 (46.3%)	0.04	
antibody				
Arthralgia or arthritis / anti-CCP2 or RF	0/3 (0%)	3/121 (2.5%)	1.00	
Hepatitis / autoimmune hepatitis antibodies‡	1/8 (12.5%)	4/109 (3.7%)	0.30	
Thyroiditis / anti-TPO or anti-TG	2/13 (15.4%)	8/111 (7.2%)	0.28	
Colitis / anti-endomysium or anti-gliadin	0/2 (0%)	30/129 (23.3%)	1.00	
IgG				
Adrenal insufficiency / anti-adrenal cortex	0/0 (0%)	0/133 (0%)	N/A	
Dermatitis / anti-nuclear antibodies	1/4 (25%)	33/122 (27%)	1.00	
Sicca symptoms / anti-nuclear antibodies	0/4 (0%)	1/122 (0.8%)	1.00	
In each cell, n/N indicates the number of patients who developed the irAE (n) out of the total				

number who converted to positive or stayed negative for the indicated antibody (N). p-values are calculated by Fisher's exact test. † arthritis/arthralgia, hepatitis, thyroid dysfunction, colitis, adrenal insufficiency, dermatitis, or sicca symptoms. ‡ anti-smooth muscle, anti-mitochondria, anti-liver-kidney-microsome, or anti-nuclear antibodies.

## 322 Figure Legends

- **Figure 1:** Frequency of irAEs in pre-ipilimumab autoantibody-negative patients who did not
- 324 develop autoantibodies (left) versus those who developed autoantibodies (right) after
- 325 ipilimumab treatment.

- 327 **Figure 2:** Overall survival in patients who were negative for autoantibody at baseline.
- 328 Patients who developed autoantibodies (n=19) were compared to those who did not develop
- 329 autoantibodies (n=80). Numbers below the graph indicate the number of patients at risk
- 330 within each group.

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Supplementary Figure S1: Heatmap of antibody positivity pre- and post-ipilimumab treatment. Not shown: all patients were anti-ENA negative at baseline, while at follow-up, two patients became anti-ENA positive, specifically anti-SSA positive.



