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Open issues on G3 Neuroendocrine Neoplasms: back to the future

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1 **Open issues on G3 Neuroendocrine Neoplasms: back to the future**

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16

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23 **Abstract**

24 The recent recognition that Grade 3 (G3) neuroendocrine neoplasms (NEN) can be divided into two
25 different categories according to the histopathological differentiation, i.e. G3 neuroendocrine
26 tumors (NET) and G3 neuroendocrine carcinomas (NEC), has generated a lot of interest concerning
27 not only the diagnosis, but also the differential management of such new group of NEN. However,
28 several issues need to be fully clarified in order to put G3 NET and G3 NEC in the right place. The
29 aim of this review is to focus on those issues that are still undetermined starting from the current
30 knowledge, evaluating the available evidence and the possible clinical implications.

31

32 **1. Introduction**

33 Neuroendocrine neoplasms (NEN) are well known to display a wide heterogeneity as concerns
34 histopathology, clinical presentation, treatment and prognosis. Despite their rarity, NEN have drawn
35 a lot of attention due to the newly available therapeutic approaches, that mainly depend on tumour
36 stage and grade (Rinke & Gress 2017; Cives & Strosberg 2017; Hilal 2017; Michael *et al.* 2017;
37 Lambrescu *et al.* 2017; Finkelstein *et al.* 2017; Neychev & Kebebew 2017; Gallo *et al.* 2017; Chan
38 *et al.* 2017a; Chan *et al.* 2017b). Since cure is difficult to achieve in most aggressive forms, therapy
39 is mainly aimed at delaying disease progression, in order to improve prognosis. The 2010 World
40 Health Organization (WHO) classification considers neuroendocrine cancers (NEC) as a single
41 category on the basis of a Ki-67 labelling index (L.I.) >20% (Rindi *et al.* 2010). It has recently
42 become apparent that the definition of NEC by the 2010 WHO classification includes a spectrum of
43 different entities that are characterized by different prognosis and response to therapy, depending on
44 tumour morphology (Welin *et al.* 2011; Vélayoudom-Céphise *et al.* 2013; Heetfeld *et al.* 2015;
45 Basturk *et al.* 2015; Hijioka *et al.* 2015; Milione *et al.* 2017) and Ki-67 L.I. cut off reassessment
46 (Sorbye *et al.* 2013; Milione *et al.* 2017), suggesting the introduction of a new NEN category
47 characterized by well-differentiated tumour morphology and Ki-67 L.I. >20%, indicated as G3 well
48 differentiated neuroendocrine tumors (NET). This proposal underlines that Ki-67 L.I. alone is not

49 able to properly describe G3 NEN, that instead appears to be a heterogeneous category, and brings
50 back the definition of these tumours to more morphological grounds, as indicated in the 2000 WHO
51 classification.

52

53 **2. Aim**

54 The aim of this review is to summarize the available data on diagnosis, management and prognosis
55 of G3 NET and G3 NEC and to highlight the issues that are still open to debate in the scientific
56 arena.

57

58 **3. Methodology**

59 Among the six authors, four (MCZ, EG, EM, and FLC) independently searched MEDLINE
60 (PubMed database) to detect articles published in the English language reporting on diagnosis and
61 management of G3 NET and G3 NEC, excluding Editorials and Letters. The search was last
62 updated October 23, 2017. Additional studies were identified by reviewing the references of all
63 selected articles.

64

65 **4. Diagnosis**

66 According to the current WHO classification (Rindi *et al.* 2010), the diagnosis of G3 gastro-entero-
67 pancreatic (GEP) NEN is based on the evaluation of proliferative activity (mitotic count >20/10
68 high power fields (HPF) and/or >20% Ki-67 L.I.) and on cell size (large cell vs. small cell). By
69 definition, these are poorly differentiated tumors, whereby they are called NEC and can display two
70 morphologic patterns (Fig.1, Fig.2). Grade 1 (G1) and grade 2 (G2) NET are, instead, well
71 differentiated forms whose diagnosis relies only on Ki-67 L.I. and/or mitotic activity (NET G1:
72 mitotic count <2/10 HPF and/or ≤2% Ki-67 L.I.; NET G2: mitotic count 2–20/10 HPF and/or 3–
73 20% Ki-67 L.I.). Recent evidence shows that G3 neoplasms represent a heterogeneous group of
74 neoplastic proliferations, including both well and poorly differentiated forms (Vélayoudom-Céphisé

75 *et al.* 2013; Basturk *et al.* 2015; Tang *et al.* 2016a; Heetfeld *et al.* 2015; Milione *et al.* 2017), with
76 different prognosis and response to medical treatments (Sorbye *et al.* 2013). Based on these
77 observations, a proposal for a new classification has been formulated, that consists of the
78 combination of morphology and proliferative activity (Fig.3), with the aim of a better prognostic
79 stratification. Three new categories could be identified: NET G3, characterized by well
80 differentiated morphology and 21-55% Ki-67 L.I.; NEC G3 that are poorly differentiated and show
81 21-55% Ki-67 L.I.; and finally NEC G4, that are poorly differentiated and show Ki-67 L.I. >55%
82 (Fazio *et al.* 2016). The new classification (WHO 2017) of pancreatic NEN (Klöppel *et al.* 2017)
83 has partially upheld this proposal: indeed, the G3 category now includes not only poorly
84 differentiated forms (NEC G3), but also well differentiated ones (NET G3). These observations
85 have been supported by molecular findings (Girardi *et al.* 2017) but they are still a matter of great
86 debate. Indeed, the proposal to discriminate G3 from G4 NEC only on the basis of Ki67,
87 considering 55% as cut-off, is supported by the evidence provided by a large clinical study (Sorbye
88 *et al.* 2013) but has not been adopted by any consensus group. Therefore, there are open questions
89 that still need to be clarified.

90

91 4.1 What is meant by "differentiation"?

92 A general rule is that the more the neoplasm recapitulates the normal tissue, the more it can be
93 considered as well differentiated. In other sites, specific histological grading scores have been
94 applied for years and have proved to be of great clinical value. Concerning NEN, there is
95 compelling need to make the morphological interpretation of the histological grade homogeneous
96 and reproducible, which is a difficult task to be realized due to their potential ubiquitous
97 localization. Within the same histological grade, morphological features characterizing these tumors
98 are not completely overlapping in all sites. As an example, many site-specific features may be
99 observed in the whole gastrointestinal tract. In the past, an attempt of classification was based on
100 the embryonic origin: foregut tumors are those deriving from thymus, esophagus, lung, stomach,

101 pancreas, gallbladder and duodenum; midgut tumors derive from appendix, ileum, caecum and
102 ascending colon; and finally hindgut tumors from distal large bowel and rectum. In the past, well
103 differentiated tumors (Soga & Tazawa 1971) were divided, on the basis of histological architectural
104 patterns, into type A (insular solid; more common in the small bowel and appendix), type B
105 (trabecular or ribbon-like; in the rectum or sigmoid colon), and type C (glandular; in the ampullary
106 region). Although this division is no longer in use, such a morphological variability is common to
107 both well differentiated neoplasms and poorly differentiated large cell carcinomas, mainly
108 concerning cytological features (Fazio *et al.* 2016). This morphological diagnostic algorithm,
109 combined with Ki-67 L.I. evaluation, discriminates well differentiated high grade neoplasms (G3
110 NET) from neuroendocrine carcinoma (G3 NEC) in the gastrointestinal tract (Fig. 3). However, the
111 evaluation of the described features might depend on the operator, especially in the absence of a
112 specific pathology training (Milione & Fazio 2017) or on tumor sampling.

113 Furthermore, in a large proportion of high grade NEN of the pancreas, it was shown that additional
114 ancillary information, including clinical findings and biomarker expression, may be of aid in the
115 distinction of NET G3 from NEC G3-4 (Tang *et al.* 2016b; Bastrurk *et al.* 2014). Therefore, in
116 pancreatic NEN, molecular information needs to be included in the diagnostic algorithm (Fig.3).

117

118 4.2 Are G3 NEN homogeneous?

119 Five studies (Vélayoudom-Céphise *et al.* 2013; Basturk *et al.* 2015; Tang *et al.* 2016a; Heetfeld *et*
120 *al.* 2015; Milione *et al.* 2017) investigated the role of morphology in G3 NEN, mostly of the
121 gastrointestinal tract. All of them provide data supporting the evidence that the current WHO G3
122 category is heterogeneous, containing at least two different groups of tumors. On a total of 461
123 analyzed cases (Table 1), G3 NET were more often observed in the pancreas, representing 43% of
124 G3 pancreatic NEN. The second most common site of this new category is the ileum (35% of ileal
125 G3 NEN) and then the stomach (18%). Therefore, most of the knowledge concerning G3NET
126 originates from the pancreatic site. Moreover, in this context, G3 NEC represents a peculiar entity,

127 which accurate diagnosis is not straightforward, because of the wide range of differential diagnoses
128 to be taken into consideration (G3 NET, acinar cell carcinoma, mixed acinar-NEC and primitive
129 neuroectodermal tumor) (Bastruk *et al.* 2014). Site-specific distribution of high and low grade
130 NEN throughout the gastrointestinal tract may be explained by the different histological
131 conformation of various districts. In the esophagus, for example, well differentiated NET are
132 uncommon, probably because normal tissue does not contain a significant neuroendocrine
133 population (Odze & Goldblum 2015). Interestingly, in one of the five case series that studied G3
134 NEN (Milione *et al.* 2017), it was observed that midgut and/or hindgut sites of origin statistically
135 correlated with a worse survival as compared with foregut. Given the heterogeneity of G3 NEN,
136 much has yet to be clarified as concerns differential diagnosis and sub-categorization into G3 NET
137 and G3 NEC in the various tumor sites of origin. On top of these difficulties lays the well known
138 intra-tumoral NEN heterogeneity. Indeed, these neoplasms may display areas characterized by high
139 grade with foci showing low/intermediate grade, especially in the settings of a well-differentiated
140 NET G1-2 progressing to a NET G3 (Tang *et al.* 2016a). Therefore, the correct characterization of
141 G3 NEN remains a matter of great debate.

142

143 4.3 Staging system: what staging for G3 NET?

144 According to the European Neuroendocrine Tumor Society (ENETS), all NEN are classified in a
145 single system (Rindi *et al.* 2006). The American Joint Committee on Cancer (AJCC), on the other
146 hand, in the seventh (Edge *et al.* 2010) and in the eighth edition (Asare *et al.* 2017), applies this
147 system only to G1 and G2 NET. Concerning G3 NEC, the AJCC recommends to classify them
148 according to the TNM staging of adenocarcinomas of the site of origin (Edge *et al.* 2010; Asare *et*
149 *al.* 2017). G3 NET are still in a grey zone since they represent "high grade, well differentiated
150 forms", whose biological behavior is quite similar to G2 NET in the first two years from diagnosis
151 in terms of overall survival (OS) (Milione *et al.* 2017). Indeed, the AJCC suggests to use the

152 parameters of well differentiated forms in staging the rare G3 NET, rather than those of poorly
153 differentiated carcinomas (Asare *et al.* 2017).

154

155 4.4 Lung and thorax "G3" NEN: more morphology, less proliferation!

156 The current WHO Classification of lung and thorax NEN (Brambilla *et al.* 2015) catalogues four
157 categories on the basis of morphological parameters (well differentiated/high grade neoplasm,
158 absence/presence of necrosis and mitotic activity): Typical Carcinoid (TC); Atypical Carcinoid
159 (AC); Large Cell Neuroendocrine Carcinoma (LCNEC); Small Cell Lung Carcinoma (SCLC). No
160 role is recognized for Ki-67 L.I., while, unlike GEP NEN, in this classification morphology alone
161 plays an essential role. Attempts to introduce a three tiered grading based on Ki-67 L.I., together
162 with mitotic count and necrosis, were performed but no clinical utility was achieved before the
163 approval of the last classification. A new proposal for a diagnostic algorithm is emerging for lung
164 NEN that is, just as for the GEP district, an integration of morphology (necrosis and mitoses) and
165 proliferation (Ki-67 L.I.), aimed at identifying three NEN categories: Lu-NET G1, Lu-NET G2 and
166 Lu-NET G3 (Rindiet *al.* 2013). This proposal would allow to handle tumors with similar behavior
167 according to their own biological potential. Furthermore, it would be worth to consider the mitotic
168 count among the diagnostic criteria. Indeed, NET G3 are often diagnosed only on the basis of Ki-67
169 L.I., but a low mitotic count (<20 mitosis/10 HPF) in a case with elevated Ki-67 L.I. (>20%) could
170 be helpful in identifying a well-differentiated form of high-grade NEN.

171

172 4.5 Molecular characteristics

173 A recently published comprehensive genomic analysis of 102 clinically sporadic pancreatic NET
174 disclosed the presence of genetic alterations affecting DNA damage and repair, chromatin
175 remodeling, telomere maintenance, and mTOR signaling (Scarpa *et al.* 2017), providing a
176 significant contribution to the understanding of this disease and helping in risk stratification and
177 treatment. However, only 5% of the investigated pancreatic NET were G3, and there is no

178 specification as to whether they were well or poorly differentiated neoplasms. Therefore, this study
179 cannot help in differentiating G3 NEN in the proposed sub-categories. Conversely, in the field of
180 NEN most of the detected molecular alterations involve NEC. Mutations in *TP53*, *BRAF* or *RAS*
181 genes, aberrations in the p16/Rb/cyclin D1 signaling pathway and microsatellite instability are the
182 most frequently reported molecular derangements (Pizzi *et al.* 2003, Kimiloglu *et al.*
183 2015, Vijayvergia *et al.* 2016). These features are often shared by both adenocarcinomas and NEC
184 components of mixed adenoneuroendocrine carcinomas (MANEC), as it was shown mostly in cases
185 of colo-rectal NEC (Takizawa *et al.* 2015; Woischke *et al.* 2017), and almost never detected in NET
186 (Takizawa *et al.* 2015). These evidences strongly suggest that NEC and NET belong to two
187 different families, linked by some histologic overlap and expression of neuroendocrine markers, but
188 differing substantially in terms of their genomic bases, clinical presentation and relationship to
189 non-NE neoplasms. In addition, a recent retrospective study found that pancreatic G3 NET display
190 *DAXX*, *ATRX* and *MEN1* gene mutations, similarly to well differentiated G2 NET, and not *RBI* or
191 *TP53* gene mutations, commonly found in G3 NEC (Tang *et al.* 2016; Hijioka *et al.* 2015).
192 Therefore, the characterization of such molecular derangements may help in differentiating G3 NET
193 from G3 NEC when morphology is not sufficient (Konukiewitz *et al.* 2017; Tang *et al.* 2016b).
194 Along this line, in pancreatic NET loss-of-function mutations in *DAXX* and *ATRX* genes have been
195 described, with consequent loss of expression of their related proteins by immunohistochemistry
196 (Yachida *et al.* 2012). Inactivating mutations of these genes were exclusive of this form, since they
197 have not been detected in small cell nor in large cell NEC. This finding could suggest that well
198 differentiated NET are genetically distinct from poorly differentiated forms. In the thoracic district,
199 comparative genomic hybridization studies and gene-expression profiling data have shown that
200 carcinoids are biologically different from NEC of the lung (Swart *et al.* 2012), and may help in
201 further characterizing lung NEN. Despite these promising results, the applied methodology is not
202 widely available and validation studies are still lacking. In a large series of LCNEC (Rekhtman *et*
203 *al.* 2016) three tumor subsets were identified on the basis of their genomic signatures: a major

204 group, characterized by *TP53*+*RBI* co-mutation/loss and other SCLC-type alterations
205 (e.g. *MYCL* amplification), another major group with NSCLC-like genetic profile, characterized by
206 the lack of co-altered *TP53*+*RBI* and the occurrence of NSCLC-type mutations (*STK11*,
207 *KRAS*, *KEAPI*) and, finally, a minor group, carcinoid-like, characterized by *MEN1* mutations and
208 low mutation burden.

209 Another open issue concerns the role of immun checkpoints in NEN. Recently, PD-L1 expression
210 was assessed in 32 GEP NET (Kim *et al.* 2016), where it was found to associate with progression
211 free survival (PFS) and OS. Others found PD-L1 to be expressed only in high grade forms (Li *et al.*
212 2016). In the lung PD-L1 expression was apparent in 10.4% of LCNEC and 5.8% of SCLC, and
213 was not observed in carcinoid tumors (Tsuruoka *et al.* 2017), therefore suggesting that PD-L1
214 staining might help in differentiating poorly from well differentiated lung NET.

215

216 4.6 Does microenvironment have a role in NEN?

217 It is not clear why tumors arising in different tissues have different metastasizing behavior. Tumor
218 progression depends on complex biochemical and biological changes occurring in cancer cells and
219 in the associated stroma. In addition, the immune system has a critical role providing defense
220 actions and attack mechanisms against cancer (Weinberg 2014). The existence of an interconnection
221 between the neuroendocrine system and the microenvironment has been studied for years.
222 Chromogranin A, one of the major circulating NEN markers, is believed to be able to influence
223 neoplastic stroma and tumor growth (Corti *et al.* 2010; Marotta *et al.* 2017). Moreover,
224 neuroendocrine mediators are able to enhance inflammatory states and to interfere with the immune
225 response (Zappalà *et al.* 2012). In addition, the issue of epigenetic influence on metastatic behavior
226 of low-to-intermediate grade NEN, rather than a genetic drive, is still open. Heterogeneity in the
227 epigenetic profiles of different primary sites has been shown in NEN, thus suggesting the presence
228 of underlying differences in tumorigenic processes, microenvironment-driven modulation of
229 epigenetic states, and/or their possible correlation with the biological aggressiveness of these

230 diverse neoplasms (Cives *et al.* 2016). The clinical impact of this finding is under investigation: the
231 definition of an epigenetic fingerprinting could provide a more successful prognostic stratification
232 than those based on grade, site and differentiation.

233

234 **5. Management**

235 In non-metastatic NET G3, surgery appears as the first option, but, at the same time, the least
236 frequent, therefore systemic therapy is often necessary. Generally, chemotherapy regimen in
237 pancreatic NET G3 is similar to that implemented in NET G1/2 when Ki-67 L.I. is <55%, while it is
238 similar to the NEC chemotherapy regimen when Ki-67 L.I. is >55%. Literature reports describe
239 many different medical treatments for these tumors, ranging from somatostatin analogs (SSA), to
240 platinum-based regimens and molecular targeted drugs.

241 As concerns NET G3, a study evaluating 30 patients mostly affected with GEP tumors
242 demonstrated the efficacy of this approach in obtaining disease control (considered as stable
243 disease and partial/complete response) in 70% of the cases (Aparicio *et al.*2001). A further study
244 employed SSA in combination with fluorouracil (5-FU) in 29 GEP NET G3 patients, showing
245 disease control in 93% of the cases (Brizzi *et al.* 2009). On the other hand, in studies employing
246 chemotherapy including variable regimens (5-FU, streptozotocin, platinum-based drugs alone or in
247 combination with etoposide, capecitabine, and/or vincristine) disease control was achieved in
248 ~50% of the patients (Moertel *et al.* 1991; Mitry *et al.*1999; Bajetta *et al.*2007; Turner *et al.*2010).

249 As concerns NEC G3, a study employing SSA showed disease control in only one patient out of the
250 5 treated (Aparicio *et al.*2001). Two studies including 464 broncho-pulmonary NEC (Hanna *et*
251 *al.*2006; Mavroudis *et al.*2001) showed a very limited efficacy of the diverse chemotherapeutic
252 regimens employed (platinum-based drugs alone or in combination with etoposide, irinotecan or
253 paclitaxel), with disease control limited to 36% of the patients. As for GEP NEC G3, 9 studies
254 employed chemotherapy including 386 patients treated with variable regimens (5-FU,
255 streptozotocin, platinum-based drugs alone or in combination with etoposide, capecitabine, and/or

256 vincristine), showing disease control in ~65% of the patients (Brenner *et al.* 2004; Iwasa *et al.* 2010;
257 Hainsworth *et al.* 2006; Welin *et al.* 2012; Moertel *et al.* 1991; Mitry *et al.* 1999; Bajetta *et al.* 2007;
258 Turner *et al.* 2010).

259 Therefore, these studies support the hypothesis that NET G3 may be managed by SSA, in
260 association or not with chemotherapy, obtaining an overall good disease control rate. On the
261 contrary, NEC G3 seem to respond better to chemotherapy, mostly platinum-based compounds in
262 combination with different other drugs. Conversely, broncho-pulmonary NEC display a lower
263 sensitivity to chemotherapy as compared to NEC of GEP origin. Platinum-based chemotherapy
264 appears to be better than other types of chemotherapy for LCNC, although there are no randomized
265 studies indicating that platinum is the treatment of choice for these tumors. Thang and co-workers
266 explored Peptide Receptor Radionuclide Therapy (PRRT) efficacy in G3 NEN, evaluated by
267 RECIST 1.1 criteria and toxicity (Thang *et al.* 2017). They observed a longer PFS (12 months) and
268 OS (46 months) in 22 patients with Ki-67 L.I. $\leq 55\%$ as compared to 6 patients with Ki-67
269 L.I. $>55\%$ (4 and 7 months, respectively). Patients with FDG-avid disease, likely less differentiated,
270 showed progression, but clinically significant response (partial response + disease stabilization) was
271 obtained in 74% of the other 23 patients. Therefore, even though evidence is not very strong, PRRT
272 may be considered as a potential therapeutic strategy also for G3 NEN. It should be underlined,
273 however, that only few of the evaluated studies were performed by dividing G3 NEN on the basis of
274 the new concepts of differentiation. Available literature was analyzed by dissecting the studies and
275 taking into consideration those reporting grade and differentiation, trying to draw conclusions that,
276 of course, cannot provide solid information, but only general indications. Only prospective studies
277 will provide definitive information concerning the most appropriate therapeutic regimen for NET
278 G3 ad for NEC G3.

279

280

281

282 **6. Prognosis**

283 In keeping with the evidence that one of the main prognostic markers in NEN is represented by cell
284 differentiation (Faggiano *et al.* 2007; Madeira *et al.* 1998), NET G3 display less aggressive features
285 as compared to NEC G3 but worse outcome as compared to NET G2, with a disease-specific
286 survival ranging from 41 to 55 months (Sorbye *et al.* 2014; Basturk *et al.* 2015; Coriat *et al.* 2016;
287 Crippa *et al.* 2016a; Vélayoudom-Céphise *et al.* 2013). A recent study retrospectively evaluating
288 136 G3 GEP-NEC patients with a median follow-up of 81 months, showed an independent
289 prognostic value for Ki-67 L.I., mismatch repair proteins, stage, and CD117 expression (Milione *et*
290 *al.* 2017). The Authors provided support for a sub-classification of G3 NEN in three “types”, on the
291 basis of morphology and Ki-67 L.I., that are associated with different prognosis. They indeed
292 identified: type A neoplasms, represented by well-differentiated tumors with a Ki-67 L.I.=20–55%
293 and median OS of 43.6 months; type B, represented by poorly differentiated neoplasms with a Ki-
294 67 L.I.=20–55% and median OS of 24.5 months; type C, represented by poorly differentiated
295 neoplasms with a Ki-67 L.I.≥55%and median OS of 5.3 months. In addition, NET G3 may include
296 patients with well differentiated NET showing <20 mitoses/10 HPF (G2 by mitotic count) but Ki-67
297 L.I.>20%. These grade-discordant NET have been shown to display a worse prognosis as compared
298 to grade-concordant G2 NET (54 vs. 68 months) (Basturk *et al.* 2014). In keeping with the bad
299 prognosis of poorly differentiated cancers, NEC G3 represent a group of very aggressive
300 neoplasms. Pancreatic NEC G3 behave similarly to SCLC: they display lymph node and distant
301 metastases since diagnosis and are associated with a median survival of ~1 year (Basturk *et al.*
302 2014; Crippa *et al.* 2016b). Most of these patients may die few weeks after diagnosis, even if treated
303 with aggressive systemic chemotherapy (Sorbye *et al.* 2013). Therefore, it is apparent that still a lot
304 of work has to be done in order to better characterize these tumors and provide clinically useful
305 information, especially for treatment purposes.

306

307

308 **7. Conclusions**

309 The available studies highlight the rapid evolution in defining and characterizing NEN categories
310 on the basis of the growing amount of evidence in this field. G3 NEN diagnostic criteria need to be
311 refined in order to better address treatment on the basis of differential outcomes of these tumors.
312 Going back to highlight the importance of morphological differentiation may represent an important
313 indication in the difficult management of these tumors (Fig. 4). It is indeed crucial to gather as
314 much information as possible in order to ensure the best and quickest diagnostic path to these
315 patients, that need to be promptly (and frequently aggressively) treated (Fig. 5).
316 Only prospective studies will allow us to respond to the several questions raised by our analysis.

317

318 **8. Declaration of interest**

319 M C Zatelli has received consultant fees from Novartis, Pfizer and Genzyme. The other Authors
320 declare that there is no conflict of interest that could be perceived as prejudicing the impartiality of
321 the research reported

322

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329 knowledge on NET.

330

331 **10. Author contributions**

332 Maria Chiara Zatelli: wrote the Abstract, the Introduction, the Aim and Methodology, the part
333 related to Management and Prognosis, the Conclusions and revised the manuscript; Elia Guadagno:

334 wrote the part related to Diagnosis; Erika Messina helped in analysing the literature on treatment of
335 G3 NET/NEC and corrected the references; Fabio Lo Calzo helped in analysing the literature on
336 treatment of G3 NET/NEC and provided a critical review; Antongiulio Faggiano: proof-read the
337 manuscript; Annamaria Colao: supervised the project.

338

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350

351 **12. Figure legends**

352 **Figure 1:** A case of small cell carcinoma consisting of a dense proliferation of small sized cells
353 with high nucleus/cytoplasm ratio, nuclear moulding, without prominent nucleoli (Hematoxylin and
354 eosin stain, 40x magnification).

355 **Figure 2:** A case of large cell neuroendocrine carcinoma: large sized cells with abundant cytoplasm
356 and nuclei with vesicular chromatin and a central nucleolus are typical morphologic features of this
357 NEC subtype. (Hematoxylin and eosin stain, 40x magnification).

358

359 **Figure 3:** Schematic representation of the new proposed diagnostic algorithm for GEP-
360 neuroendocrine neoplasms that is mainly based on the combination of morphology and Ki-67
361 Labeling Index. In some instances (*), especially in pancreatic NEN, an integration with
362 immunohistochemical and molecular study of additional biomarkers is needed.

363

364 **Figure 4:** The different spectrum of G3: NET to NEC.

365

366 **Figure 5:** indicative flow-chart for NEN G3 diagnosis.

367

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For Review Only

Figure 1

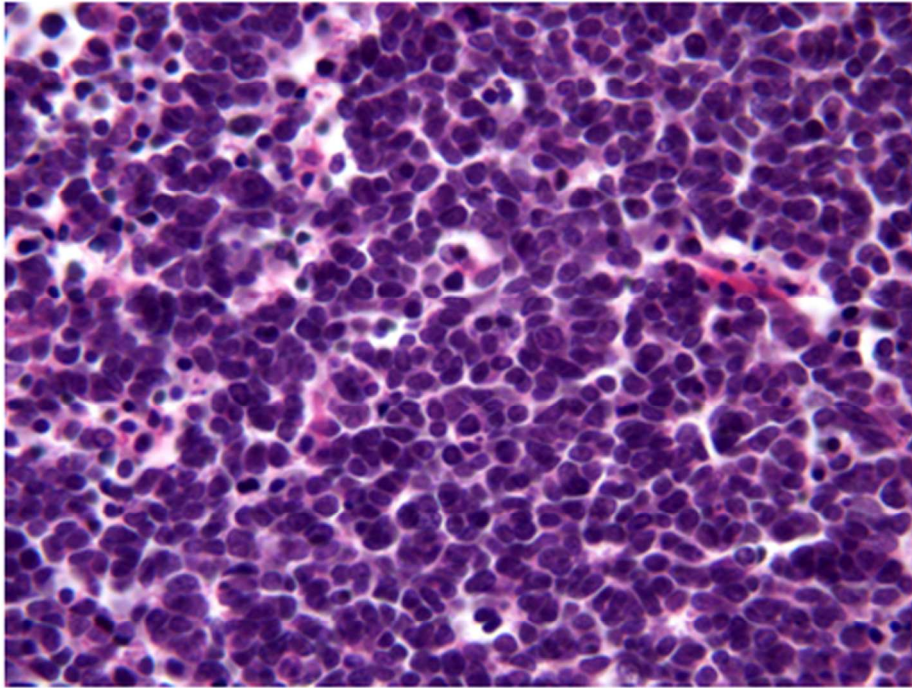


Figure 1

112x96mm (300 x 300 DPI)



Figure 2

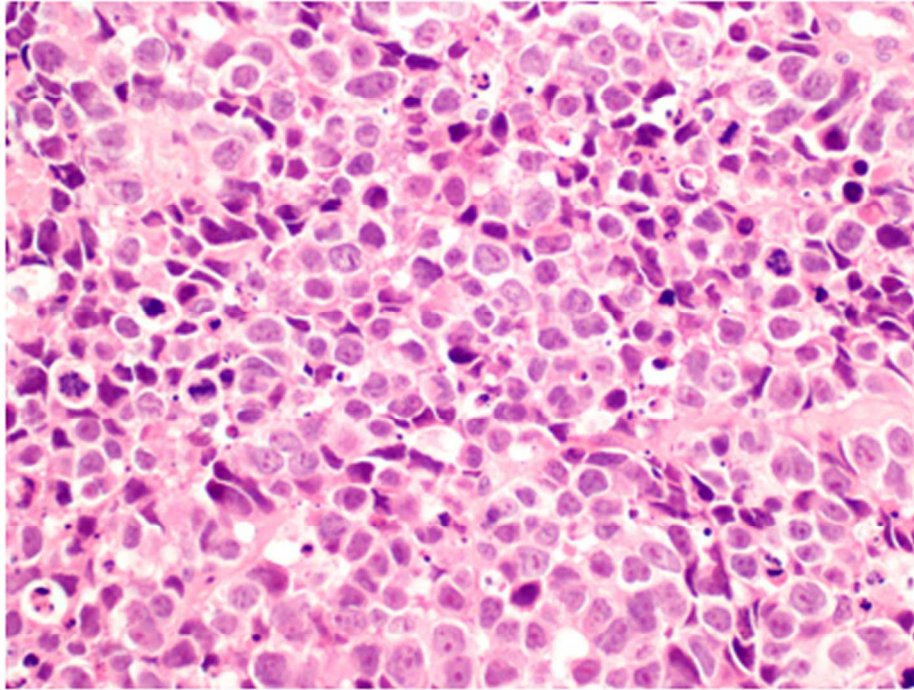


Figure 1

109x93mm (300 x 300 DPI)



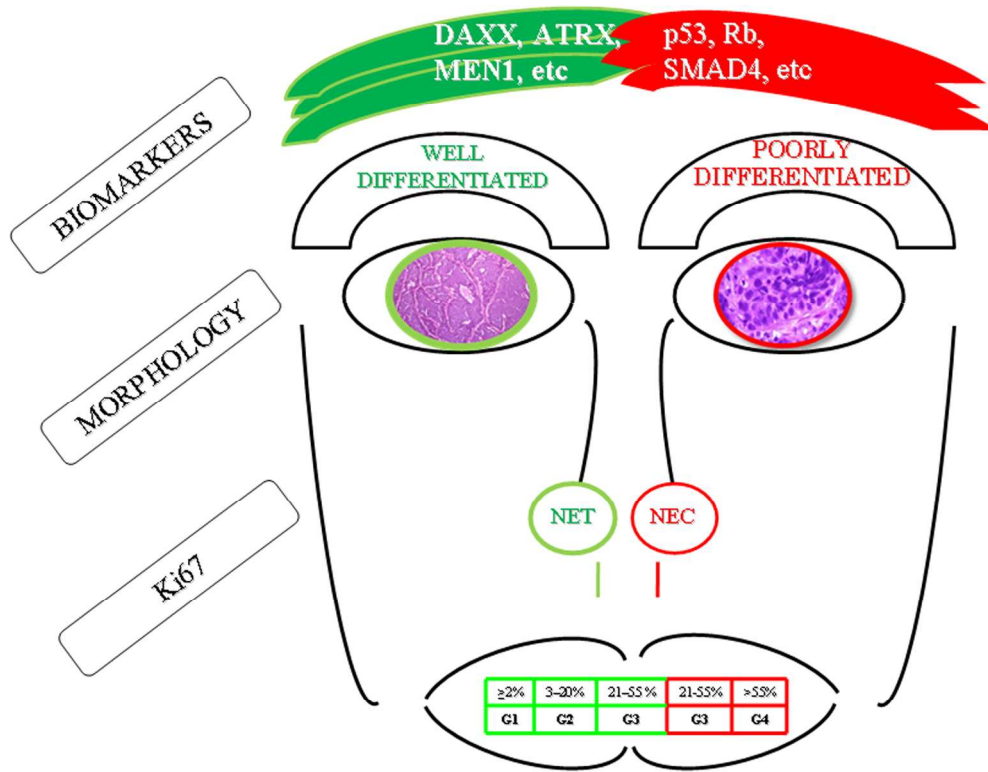


Figure 3

216x171mm (300 x 300 DPI)

Figure 4

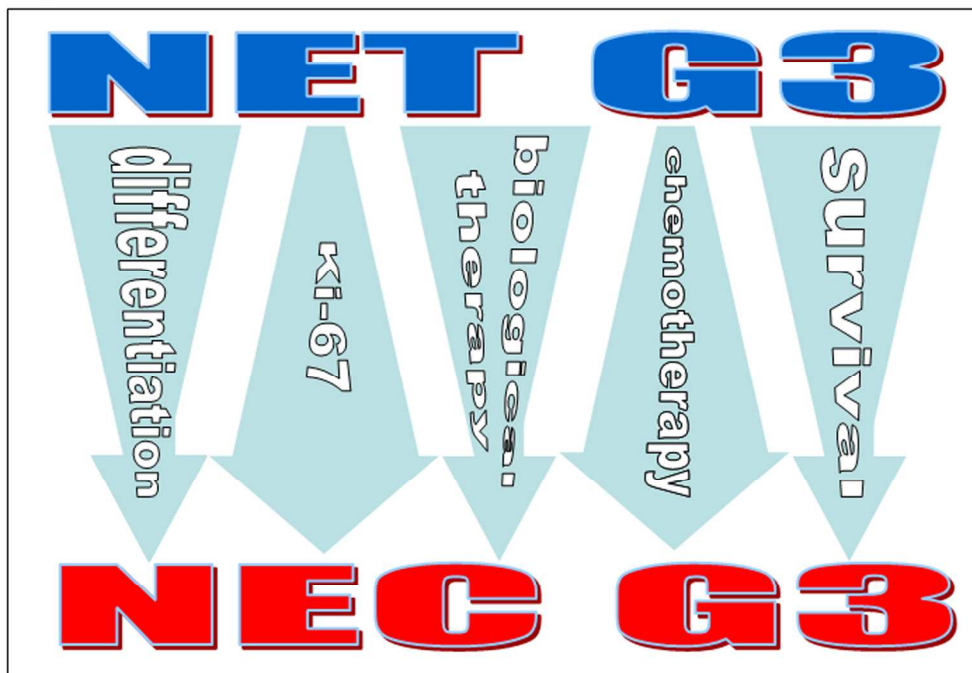


Figure 4

188x137mm (300 x 300 DPI)

Only

Figure 5

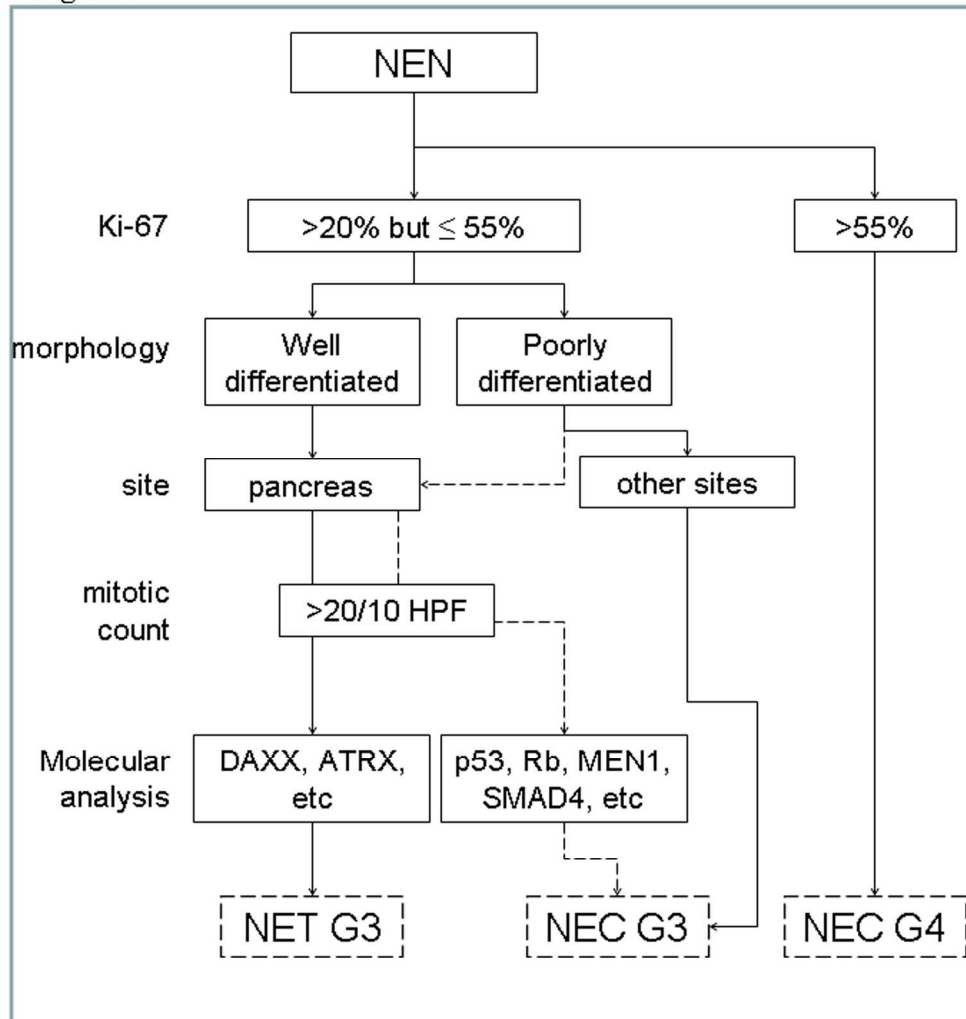


Figure 5

185x203mm (300 x 300 DPI)

Table 1: Studies evaluating site-specific distribution of G3 NEN, with detail of G3 NET.

Site	G3 NEN	Total	G3 NET	Total
Esophagus	8 ⁽⁴⁾ + 5 ⁽⁵⁾	13	0 ⁽⁴⁾ + 0 ⁽⁵⁾	0
Stomach	17 ⁽⁴⁾ + 28 ⁽⁵⁾	45	3 ⁽⁴⁾ + 5 ⁽⁵⁾	8 (18%)
Pancreas	9 ⁽¹⁾ +62 ⁽²⁾ +21 ⁽³⁾ +65 ⁽⁴⁾ +33 ⁽⁵⁾	190	7 ⁽¹⁾ +1 ⁽²⁾ +21 ⁽³⁾ +24 ⁽⁴⁾ +11 ⁽⁵⁾	82 (43%)
Duodenum	7 ⁽⁴⁾ + 5 ⁽⁵⁾	12	1 ⁽⁴⁾ + 0 ⁽⁵⁾	1 (8%)
Ileum	6 ⁽³⁾ +11 ⁽⁴⁾ + 17 ^{(5)*}	34	6 ⁽³⁾ +2 ⁽⁴⁾ + 4 ⁽⁵⁾	12 (35%)
Colon	31 ⁽⁴⁾ + 46 ⁽⁵⁾	77	0 ⁽⁴⁾ + 4 ⁽⁵⁾	4 (5%)
Biliary ducts	2 ⁽³⁾ + 2 ⁽⁵⁾	4	2 ⁽³⁾ + 0 ⁽⁵⁾	2 (n.e.)
Rectum	2 ⁽³⁾ +24 ⁽⁴⁾ + 1 ⁽¹⁾	27	2 ⁽³⁾ +3 ⁽⁴⁾ + 0 ⁽¹⁾	5 (19%)
Lung	2 ⁽¹⁾	2	1 ⁽¹⁾	1 (n.e.)
Thymus	2 ⁽¹⁾	2	2 ⁽¹⁾	2 (n.e.)
Larynx	3 ⁽¹⁾	3	1 ⁽¹⁾	1 (n.e.)
Unknown	7 ⁽¹⁾ +28 ⁽⁴⁾	35	1 ⁽¹⁾ +0 ⁽⁴⁾	1 (3%)
Others	4 ⁽¹⁾ +13 ⁽⁴⁾	17	0 ⁽¹⁾ +1 ⁽⁴⁾	1(6%)

* ileum+ciecum+appendix; n.e: not evaluable;

⁽¹⁾ Vélayoudom-Céphise FL et al. 2013; ⁽²⁾ Basturk et al. 2015; ⁽³⁾ Tang LH et al. 2016; ⁽⁴⁾ Heetfeld M et al. 2015;

⁽⁵⁾ Milione M et al. 2017.