

脏层胸膜侵犯和脉管癌栓对非小细胞肺癌术后初始复发部位及预后的影响

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[摘要] 背景与目的: 脏层胸膜侵犯(visceral pleural invasion, VPI)和脉管癌栓(vessel invasion, VI)是非小细胞肺癌(non-small cell lung cancer, NSCLC)患者预后的危险因素, 前者的初始复发部位可能以局部复发为主, 而后者可能以远处转移多见。本研究主要探讨VPI和VI对初始复发部位及术后生存率的影响。方法: 回顾性分析广西医科大学附属肿瘤医院2007年1月—2013年12月期间住院的NSCLC手术患者的完整资料共计290例。VPI患者51例, 无VPI患者239例; 有VI患者29例, 无VI患者261例, 分别比较其临床特征、总生存期(overall survival, OS)及无病生存期(disease-free survival, DFS)的差异。结果: VPI组与无VPI组的肿瘤大小、淋巴结转移、TNM病理分期和初始复发部位相比, 差异有统计学意义($P<0.05$)。VI组与无VI组的淋巴结转移和TNM病理分期相比, 差异有统计学意义($P<0.05$)。VPI组的1年、3年和5年生存率(88.2%、56.7%和52.7%)均低于无VPI组(95.8%、83.7%和74.0%), 差异有统计学意义($P<0.001$)。VI组的1年、3年和5年生存率(79.3%、56.8%和48.7%)均低于无VI组(96.1%、81.3%和72.3%), 差异有统计学意义($P=0.001$)。Cox多因素分析结果显示, TNM病理分期是患者DFS的独立影响因素($P<0.05$)。淋巴结转移、VPI是患者OS的独立影响因素($P<0.05$)。结论: VPI患者的初始复发部位以局部复发多见; VPI和VI的NSCLC患者预后均较差, 需要更积极的术后治疗。

[关键词] 非小细胞肺癌; 脏层胸膜侵犯; 脉管癌栓; 初始复发部位

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Impact of visceral pleural invasion and vessel invasion on initial recurrence site and prognosis in surgically resected non-small cell lung cancer FENG Yao, MAO Naiquan, WANG Shoufeng, YANG Li, WU Junwei (Department of Thoracic Surgery, Affiliated Tumor Hospital of Guangxi Medical University, Nanning 530021, Guangxi Province, China)

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[Abstract] **Background and purpose:** Visceral pleural invasion (VPI) and vessel invasion (VI) are poor prognostic factors in patients with non-small cell lung cancer (NSCLC). The primary initial recurrence site may be local recurrence in VPI and distant metastasis in VI. The purpose of this study was to validate the prognostic impact and effect of the initial recurrence site of VPI and VI on survival outcomes for NSCLC. **Methods:** Two hundred and ninety patients who were diagnosed as having NSCLC and underwent lobectomy between Jan. 2007 and Dec. 2013 were retrospectively analyzed. VPI was identified in 51 patients as VPI group, the other 239 patients without VPI as non-VPI group. VI was identified in 29 patients as VI group, the other 261 patients without VI as non-VI group. Clinical characteristics, overall survival (OS), disease-free survival (DFS) were compared. **Results:** There were statistically significant differences between VPI group and non-VPI group in tumor size, lymph node metastasis, TNM stage and initial recurrence site ($P<0.05$). Furthermore, there were statistically significant differences between VI group and non-VI group in lymph node metastasis and TNM stage ($P<0.05$). The 1-, 3- and 5-year OS rates in VPI group (88.2%, 56.7% and 52.7%) were lower than those in non-VPI group (95.8%, 83.7% and 74.0%, $P<0.001$). The 1-, 3- and 5-year OS rates in VI group (79.3%, 56.8% and 48.7%) were lower than those in non-VI group (96.1%, 81.3% and

72.3%, $P=0.001$). Cox regression showed TNM stage was a significant prognostic factor for DFS, whereas lymph node metastasis and VPI were significant prognostic factors in patients with NSCLC. **Conclusion:** The primary initial recurrence site in VPI patients is local recurrence. Patients with VPI or VI may need more postoperative therapy because of their poor prognosis.

[Key words] Non-small cell lung cancer; Visceral pleural invasion; Vessel invasion; Initial recurrence site

肺癌是世界范围内常见的肿瘤, 其发病率和死亡率仍逐年上升。世界卫生组织(World Health Organization, WHO)将肺癌分为小细胞肺癌(small-cell lung cancer, SCLC)和非小细胞肺癌(non-small cell lung cancer, NSCLC)两大类, 其中NSCLC约占80%。目前根治性手术切除仍是NSCLC得到治愈的最好方法。尽管如此, I期的肺癌患者术后仍有30%~40%最终死于复发或转移^[1], 因此识别肺癌复发及转移的预测因子尤为重要, 它对术后是否需要行辅助治疗及随访时间的长短具有重要的参考价值^[2]。脉管癌栓(vessel invasion, VI)是根治性术后NSCLC的预后不良因子之一, 其对各个时期的肺癌均有预测意义, 可能与促进肺癌发生早期复发及转移相关^[3]。脏层胸膜侵犯(visceral pleural invasion, VPI)作为独立危险因素已在肺癌的TNM分期中出现^[4]。目前国外有研究表明, VPI和VI患者的初始复发部位有差异^[5], 但国内尚无报道。本研究主要探讨VPI和VI对NSCLC术后患者总生存率(overall survival, OS)及无病生存率(disease-free survival, DFS)的影响, 并分析VPI与VI患者的临床特征, 其中包括初始复发部位的差异性。

1 资料和方法

1.1 临床资料

回顾性分析广西医科大学附属肿瘤医院胸外科2007年1月—2013年12月行肺癌根治术NSCLC患者的临床资料, 共计290例, 男性190例, 女性100例, 入组标准为病理学证实均为I~III期。所有患者术前均进行常规检查: 血液化验、心电图、腹部B超、肺功能、胸部(增强)CT、头颅MRI及骨扫描。排除标准: ①临床资料不完整的患者; ②患者术前接受新辅助治疗的患者; ③标本残端阳性的患者; ④术前出现

远处转移的患者; ⑤行全肺切除的患者。

1.2 局部复发的定义

初始复发部位为术后复查首次发现的新增病灶, 本研究中局部复发为广义的局部复发^[5-7], 定义为包括同侧胸廓、肺内及癌性胸膜炎, 同侧及对侧纵隔、肺门出现的病灶, 其余复发部位均定义为远处转移。同时出现局部复发和远处转移者属远处转移。

1.3 病理学诊断与分组

国际肺癌研究协会(International Association for the Study of Lung Cancer, IASLC)第7版TNM分期对VPI进行分类^[8]: PL₀指脏层胸膜未受累或侵入表面但未超过脏层胸膜的弹性层; PL₁指肿瘤超过脏层胸膜的弹性层但未达到胸膜表面; PL₂指肿瘤超过脏层胸膜的弹性层且侵犯胸膜表面; PL₃指肿瘤侵犯壁层胸膜及其相邻结构。第7版TNM分期中PL₀不作为T分期分类特征, PL₁和PL₂定义为T_{2a}, PL₃定义为T₃。本研究根据是否存在VPI分成VPI组51例(PL₁和PL₂)和无VPI组239例(PL₀); VI的病理诊断采用CD34免疫组织化学法, 染色阳性的内皮细胞管腔内出现癌细胞即表示为脉管癌栓阳性, 证实有VI患者29例, 无VI患者261例。术后病理分期按照NCCN第7版TNM分期标准进行分期。

1.4 随访方式

入组患者术后进行门诊及电话随访。肺部CT: 术后1年内每3个月复查1次, 2年内每6个月1次, 第3年开始每6~12个月1次。腹部CT及头颅MRI每6个月复查1次, 骨扫描每12个月1次。电话随访为每6个月1次。随访时间为2007年1月—2015年11月。

1.5 评价指标

采用DFS和OS评价患者预后。DFS指接受肺部手术治疗的患者, 经若干年随访后, 第1次复发或最后1次随访未出现复发的时间; OS是指肿瘤疾病患者从接受治疗开始至发生任何原

因死亡的时间。

1.6 统计学处理

应用SPSS 17.0统计软件对研究数据进行分析。计量资料比较采用 t 检验，计数资料比较采用 χ^2 检验；Kaplan-Meier法计算生存率，Log-rank检验比较两组间差异，Cox回归模型进行多因素分析。 $P<0.05$ 为差异有统计学意义。

2 结果

2.1 临床特征

入组的290例患者中，VPI组51例，无VPI组

239例。两组的男女比例、平均年龄、吸烟、肿瘤组织学类型、分化程度、手术方式和复发率比较，差异无统计学意义($P>0.05$)。VPI组的肿瘤平均大小与无VPI组相比，差异有统计学意义 $[(4.38\pm 1.98) \text{ vs } (3.31\pm 1.54), P<0.001]$ 。VPI组的淋巴结转移N分期、TNM病理分期与无VPI组相比，差异有统计学意义($P<0.05$)。分层分析显示，VPI组的初始复发部位以局部复发为主，而无VPI组的初始复发部位以远处转移为主，差异有统计学意义($P<0.05$ ，表1)。

表 1 VPI与无VPI患者的临床特征

Tab. 1 The relationship of clinical characteristics between VPI and non-VPI patients

Characteristics	Non-VPI (N=239)	VPI (N=51)	P value
Gender			
Male	151 (63.2%)	39 (76.5%)	0.070
Female	88 (36.8%)	12 (25.3%)	
Mean age/year	58.49±9.59	60.12±10.97	0.285
Smoking			
Non-smoker	141 (59.0%)	28 (54.9%)	0.590
Smoker	98 (41.0%)	23 (45.1%)	
Histological type			
Adenocarcinoma	153 (64.0%)	29 (56.9%)	0.337
Non-adenocarcinoma	86 (36.0%)	22 (43.1%)	
Differentiation			
Poor	93 (38.9%)	17 (33.0%)	0.653
Moderately	112 (51.0%)	30 (58.8%)	
High	24 (10.0%)	4 (7.8%)	
Procedure			
Lobectomy	203 (84.9%)	43 (84.3%)	0.910
Segmentectomy	36 (15.1%)	8 (15.7%)	
Mean tumor size d/cm	3.31±1.54	4.38±1.98	<0.001
pN factor			
N ₀	198 (82.8%)	33 (64.7%)	0.007
N ₁	11 (4.6%)	7 (13.7%)	
N ₂	30 (12.6%)	11 (21.6%)	
pStage			
I A	125 (52.3%)	-	<0.001
I B	39 (16.3%)	20 (39.2%)	
II A	31 (13.0%)	9 (17.6%)	
II B	8 (3.3%)	3 (5.9%)	
III A	34 (14.2%)	18 (35.3%)	
III B	2 (0.8%)	1 (2.0%)	
Initial recurrence site			
Non-recurrence	180 (75.3%)	35 (68.6%)	0.322
Recurrence	59 (24.7%)	16 (31.4%)	
Distant	44 (74.6%)	6 (37.5%)	0.005
Local	15 (25.4%)	10 (62.5%)	

入组的290例患者中, VI组29例, 无VI组261例。两组的男女比例、平均年龄、吸烟、肿瘤组织学类型、分化程度、手术方式、肿瘤大小和复发率比较, 差异无统计学意义($P>0.05$)。

VI组的淋巴结转移N分期、TNM病理分期与无VI组相比, 差异有统计学意义($P<0.05$)。分层分析显示, VI组的初始复发部位与无VI组相比, 差异无统计学意义($P>0.05$, 表2)。

表 2 VI与无VI患者的临床特征

Tab. 2 The relationship of clinical characteristics between VI and non-VPI patients

Characteristic	Non-VI (N=261)	VI (N=29)	P value
Gender			
Male	167 (64.0%)	23 (79.3%)	0.100
Female	94 (36.0%)	6 (20.7%)	
Mean age/year	58.68±9.84	59.66±10.05	0.613
Smoking			
Non-smoker	153 (58.6%)	16 (55.2%)	0.721
Smoker	104 (41.4%)	13 (44.8%)	
Histological type			
Adenocarcinoma	164 (62.8%)	18 (62.1%)	0.935
Non-Adenocarcinoma	97 (37.2%)	11 (37.9%)	
Differentiation			
Poor	102 (39.1%)	8 (27.6%)	0.330
Moderately	133 (51.0%)	19 (65.5%)	
High	26 (10.0%)	2 (6.9%)	
Procedure			
Lobectomy	224 (85.8%)	22 (75.9%)	0.156
Segmentectomy	37 (14.2%)	7 (24.1%)	
Mean tumor size d/cm	3.47±1.66	3.64±1.77	0.621
pN factor			
N ₀	216 (82.8%)	15 (51.7%)	<0.001
N ₁	13 (5.0%)	5 (17.2%)	
N ₂	32 (12.3%)	9 (31.0%)	
pStage			
I A	117 (44.8%)	8 (27.6%)	0.032
I B	56 (21.5%)	3 (10.3%)	
II A	35 (13.4%)	5 (17.2%)	
II B	8 (3.1%)	3 (10.3%)	
III A	43 (16.5%)	9 (31.0%)	
III B	2 (0.8%)	1 (3.4%)	
Initial recurrence site			
Non-recurrence	197 (75.5%)	18 (62.1%)	0.118
Recurrence	64 (24.5%)	11 (37.9%)	
Distant	42 (65.6%)	8 (72.7%)	
Local	22 (33.4%)	3 (27.3%)	

2.2 患者的预后

入组的290例患者中位随访时间36个月, 随访终点共60例患者死亡, 累积OS为64.5% (图1)。22例患者失访, 失访率为7.58%。

VPI组的1、3和5年的DFS(84.3%、63.7%和42.5%)均低于无VPI组(90.6%、72.3%和54.6%), 差异无统计学意义($P=0.107$, 图2A)。VPI组的1、3和5年的OS(88.2%、56.7%

和52.7%)均低于无VPI组(95.8%、83.7%和74.0%), 差异有统计学意义($P<0.001$, 图2B)。

VI组1、3和5年的DFS(72.1%、62.8%和47.1%)均低于无VI组(91.4%、71.9%和63.8%), 差异有统计学意义($P=0.032$, 图3A)。VI组的1、3和5年的OS(79.3%、56.8%和48.7%)均低于无VI组(96.1%、81.3%和72.3%), 差异有统计学意义($P=0.001$, 图3B)。

2.3 患者临床特征与预后关系

单因素分析结果显示,腔镜/开胸、肿瘤大小和TNM分期对患者DFS有影响($P<0.05$),性别、吸烟史、组织学类型、腔镜/开胸、肿瘤大小、淋巴结转移、TNM分期、VPI和VI对患者OS有影响($P<0.05$)。Cox多因素分析结果显示,TNM分期是患者DFS的独立影响因素($P<0.05$),淋巴结转移和VPI是患者OS的独立影响因素($P<0.05$,表3、4)。

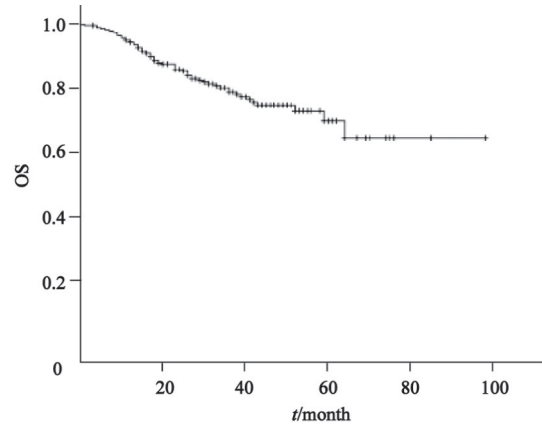


图1 290例患者的OS曲线

Fig. 1 The curve of OS for 290 patients

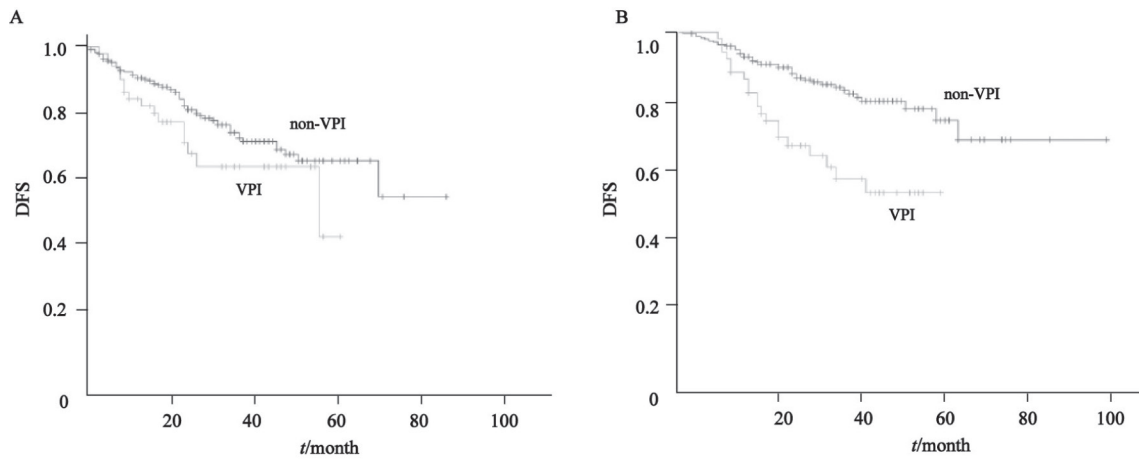


图2 VPI与无VPI患者的DFS和OS曲线

Fig. 2 The curve of DFS and OS for VPI and non-VPI patients

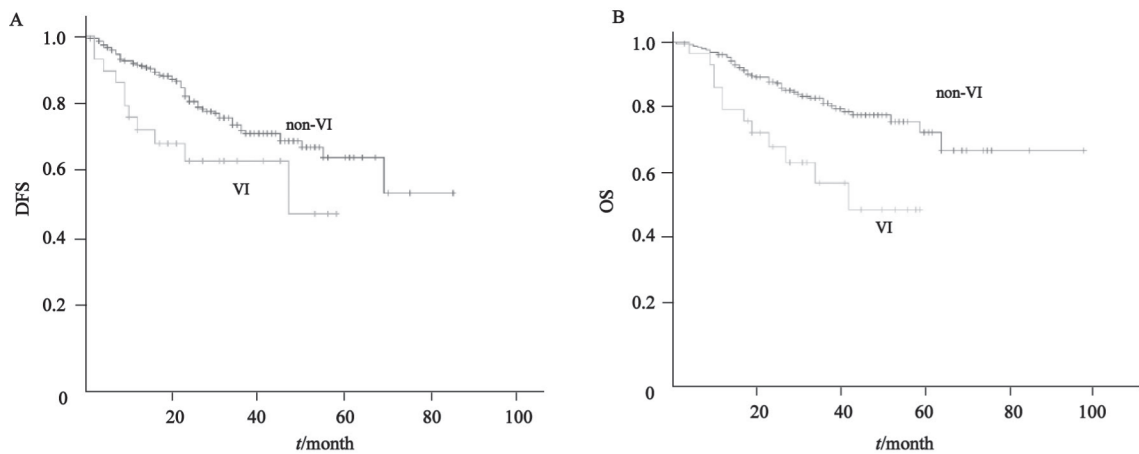


图3 VI与无VI患者的DFS和OS曲线

Fig. 3 The curve of DFS and OS for VI and non-VI patients

表 3 DFS和OS的单因素分析

Tab. 3 Univariate analysis of DFS and OS

Item	DFS		OS	
	HR (95%CI)	P value	HR (95%CI)	P value
Gender (male vs female)	0.989 (0.569-1.719)	0.969	2.200 (1.126-4.296)	0.021
Age (≥ 65 vs < 65)	1.436 (0.818-2.522)	0.207	1.156 (0.861-2.860)	0.142
Smoking history (yes vs no)	0.908 (0.532-1.552)	0.725	1.972 (1.111-3.501)	0.020
Histology (non-ADC vs ADC)	1.361 (0.796-2.327)	0.260	2.526 (1.416-4.505)	0.002
Differentiation (moderately and high vs poor)	0.765 (0.448-1.307)	0.327	0.690 (0.388-1.227)	0.206
Procedure (lobectomy vs segmentectomy)	2.469 (0.999-6.106)	0.050	1.452 (0.612-3.441)	0.397
VATS/thoracotomy	0.397 (0.185-0.849)	0.017	0.401 (0.173-0.931)	0.034
Tumor size <i>d</i> /cm (> 3 cm vs ≤ 3 cm)	2.148 (1.260-3.661)	0.005	2.744 (1.528-4.927)	0.001
pN factor (N_{1-2} vs N_0)	1.641 (0.884-3.045)	0.116	3.021 (1.605-5.682)	0.001
pStage (II-III vs I)	2.866 (1.597-5.145)	< 0.001	4.907 (1.795-13.416)	< 0.001
VPI (yes vs no)	1.395 (0.720-2.700)	0.324	3.210 (1.664-6.190)	0.001
VI (yes vs no)	1.881 (0.844-4.192)	0.122	3.132 (1.404-6.989)	0.005

表 4 DFS和OS的Cox多因素分析

Tab. 4 Cox multivariate analysis of DFS and OS

Item	DFS		OS	
	HR (95%CI)	P value	HR (95%CI)	P value
Gender (male vs female)			1.206 (0.561-2.595)	0.631
Smoking history (yes vs no)			1.161 (0.596-2.261)	0.661
Histology (ADC vs non-ADC)			1.408 (0.800-2.475)	0.235
VATS/thoracotomy	0.851 (0.402-1.803)	0.674	1.150 (0.488-2.709)	0.749
Tumor size <i>d</i> /cm (> 3 cm vs ≤ 3 cm)	0.945 (0.504-1.770)	0.859	1.658 (0.779-3.526)	0.189
pN factor (N_{1-2} vs N_0)			1.909 (1.032-3.532)	0.039
pStage (II-III vs I)	2.857 (1.425-5.729)	0.003	1.292 (0.481-3.469)	0.611
VPI (yes vs no)			1.844 (1.013-3.358)	0.045
VI (yes vs no)			1.776 (0.879-3.589)	0.110

3 讨 论

肺癌VPI早在1958年就被认为是肺癌的独立预后因素之一。VPI是19世纪70年代被加入NSCLC的TNM分期作为独立的分期标准。根据第7版NSCLC的TNM分期, 肿瘤直径如 ≤ 3 cm的NSCLC并有VPI导致NSCLC由 T_{1a} 或者 T_{1b} 期升级为 T_{2a} 期。张海涛等^[9]研究表明, 无VPI肺癌患者的OS明显优于有VPI者, 本研究结果也支持上述结论。目前已有的研究显示, VPI可能与肺癌的淋巴结转移具有一定的相关性。脏层胸膜有丰富的淋巴管网, 广泛分布于肺组织表面, 通过穿入肺内的淋巴系统汇入位于支气管旁的淋巴系统, 最终汇入肺门淋巴结^[10], 同时也表明胸膜淋巴引流是淋巴结转移的有效途径。同时, VPI患者的肿瘤细胞可以在胸腔内发生播散, 被膈肌及壁层胸膜再吸收更容易发生 N_2 淋

巴结转移。这也说明VPI患者初始复发部位可能以局部复发为主。Yanagawa等^[5]研究表明, VPI患者局部复发率高于远处转移率, 与本研究结论一致, 提示VPI患者手术中需要进行更彻底的系统淋巴结清扫, 术后根据需要进行辅助化疗^[6], 如胸腔灌注化疗药物、纵隔淋巴结区的照射治疗等, 以防止局部复发。

VI在NSCLC的发生率为5%~30%, 是肿瘤侵犯脉管系统和淋巴结转移的先决条件。VI分为血管癌栓(blood vessel invasion, BVI)和淋巴管癌栓(lymphatic vessel invasion, LVI)。VI的判定标准为镜下发现肿瘤的小静脉、小动脉或小淋巴管的管壁受侵、破坏或管腔内有瘤栓^[11]。1992年, Macchiarini等^[12]首次发现BVI对NSCLC根治性术后的早期复发率及5年OS和PFS有重要影响。目前大多数医学学者认为, VI对预后具有重要影响^[13], 但也有一些

学者认为, BVI和LVI两者的预后意义是不同的^[14-17]。本研究显示, VI组的OS明显低于无VI组, 提示癌栓是术后重要的不良预后因素, 两组DFS差异有统计学意义($P=0.032$), 说明VI患者总体复发率较高。Yanagawa等^[5]研究表明, 有VI者与无VI者局部复发率与远处转移率无差异, 本研究也与该结论相一致。这可能与BVI易破坏微小血管导致全身转移, 而LVI易侵蚀淋巴管从而引起局部复发有关, 也可能跟入组VI的例数偏少有关。对于将VI鉴别到BVI及LVI有待进一步研究。

综上所述, VPI患者的初始复发部位以局部复发多见; VPI和VI的NSCLC患者预后较差, 需要进行规范的手术治疗及更积极的术后治疗。

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