ODE models for adoptive immunotherapy

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Abstract

Modified T cells that have been engineered to recognize the CD19 surface marker have recently been shown to be very successful at treating acute lymphocytic leukemias. Here we explore four previous approaches that have used ordinary differential equations to the model this type of therapy, compare their properties, and modify the models to address their deficiencies. Although the four models treat the workings of the immune system in slightly different ways, they all predict that adoptive immunotherapy can be successful to move a patient from the large tumor fixed point to an equilibrium with little or no tumor.

1 Introduction

With the use of gene transfer technologies, T cells can be genetically modified to stably express anitgens on their surface. Chimeric antigen receptors (CARs) are an application of this approach that combines an antigen recognition domain of a specific antibody with the intracellular domain of the CD3- ζ chain into a single chimeric protein [5, 13]. In most cancers, tumor specific targets for targeting are not well defined, but in *B*-cell neoplasms such as lymphoblastic leukemias, the surface marker CD19 is an attractive target because its expression is restricted to normal and malignant *B* cells and *B*-cell precursors. In a recent study [10] a total of 30 children and adults with relapsed or refractory acute lymphoblastic leukemia (ALL) received T cells transduced with a CD19-directed chimeric antigen receptor CTL019. Complete remission from this approach, which is called adoptive immunotherapy, was achieved in 27 out of 30 patients.

As described in an earlier study [6] of two patients conducted by the same group of researchers, each patient received a total dose of 10^8 CD3+ cells per kilogram (1.2×10^7 CTL109 cells per kilogram), given over a period of three consecutive days. Both children had an increase in circulating lymphocytes and neutrophils in the 2 weeks after CTL109 infusion. Approximately one month after infusion morphologic remission of leukemia was achieved in both children. While the therapy was successful both patients had acute toxic effects, which consisted of a fever and a cytokine-release syndrome, which occurred in 27% of the patients in the larger study. The goal of this paper is to develop a simple ODE model of adoptive immunotherapy. To do this we will analyze four previously studied models, compare their properties and modify them to address some of their deficiencies.

In 1994, **Kuznetsov**, **Makalkin**, **Taylor**, **and Perelson** [9] introduced the following simple model of the interaction of a tumor with effector cells (cytotoxic T lymphocytes) produced by the immune systems. Here, we use the notation of the original papers to make it easier to compare results.

$$\frac{dT}{dt} = aT(1 - bT) - nET$$

$$\frac{dE}{dt} = s - dE + pE\frac{T}{q+T} - mET$$
(1)

In words, in the absence of a tumor, effector cells are produced at rate s and die at rate d and thus reach an equilibrium of s/d cells. In the absence of an immune response the tumor shows logistic growth. Effector cells kill tumor cells according to mass action dynamics nET, dying as a result of this interaction at rate mET. Finally, the production of effector cells is stimulated by the presence of the tumor, but due to the Michaelis-Menten type term $p_0ET/(g+T)$ there is a maximum rate at which effector cells are produced. Based on tumor data from a mouse model, they assigned values to the parameters. Their mathematical analysis found equilibria and investigated their stability. We will describe their results in Section 2. For the moment, we want to concentrate on comparing the modeling approaches.

In 1998, **Kirschner and Panetta** [8] added interleukin-2 to the model, which is produced by CD4+ cells and stimulates the production of effector cells.

$$\frac{dT}{dt} = r_2 T (1 - bT) - aE \frac{T}{g_2 + T}
\frac{dE}{dt} = s_1 + cT - \mu_2 E + p_1 E \frac{I}{g_1 + I}
\frac{dI}{dt} = s_2 - \mu_3 I + p_2 E \frac{T}{g_3 + T}$$
(2)

As in the previous model, the tumor shows logistic growth, but now effector cell production is stimulated in proportion to the tumor mass and by the presence of interleukin but with a response that saturates for large I. Finally, interleukin is produced due to the interaction of effector cells and tumor cells.

Kirschner and Paneta set $s_1 = s_2 = 0$ in their initial analysis. They viewed $s_1 > 0$, $s_2 = 0$ as adoptive cellular immunotherapy, $s_1 = 0$, $s_2 > 0$ as interleukin therapy, and $s_1 > 0$, $s_2 > 0$ as combination therapy. In contrast, we will take $s_1 > 0$, $s_2 > 0$ to reflect the fact that CD4+ and CD8+ are always present, see e.g., [11]. Motivated by the treatment described above, we will view adoptive immunotherapy as a perturbation that adds effector cells to the tumor equilibrium, rather than a constant influx of new cells.

In 2014, **Dong**, **Miyazaki**, and **Takeuchi** [4] modified the previous approach to use H the number of CD4+ helper cells as a variable instead of the interleukin levels.

$$\frac{dT}{dt} = aT(1 - bT) - nET$$

$$\frac{dE}{dt} = s_1 - d_1E + pEH$$

$$\frac{dH}{dt} = s_2 - d_2H + k_2TH$$
(3)

Tumor growth is again logistic, but in contrast to (2), all the interactions are mass action. As we will see in Section 4, this change drastically alters the qualitative properties of the model.

In 2004, Moore and Li introduced a model with naive T cells and effector cells in order to study chronic mylogeneous leukemia. They used T_n and T_e for the two types of T cells and C for cancer so we have changed their variables to N, E, and T. After changing notation and replacing their Gompertzian growth by logistic, the system becomes

$$\frac{dT}{dt} = aT(1 - bT) - \gamma_c ET$$

$$\frac{dE}{dt} = s_e - d_e E \alpha_c ET/(T + g) + \alpha_n k_n N \frac{T}{T + g} - \gamma_e ET$$

$$\frac{dN}{dt} = s_n - d_n N - k_n N \frac{T}{T + g}$$
(4)

As in (1), the interaction between tumor cells and effector cells causes the death of each following mass action dynamics. The stimulation of the production of effector cells due to the presence of tumor follows a saturating response. A new feature here is the terms with $c_n T/(T+g_1)$ which model activation and proliferation of naive T cells in the lymph nodes to produce an average of α_c effector cells per naive cell.

There are other more complex models, such as the ones of de Pillis and Radunskya [2, 3]. Here, we will concentrate on the four models described above in order to understand the implications of the different modeling choices, e.g., the choice of the third variable used in the immune system model and mass-action kinetics versus a saturating response. To reduce the differences between the models we eliminate the direct stimulation of effector cells by the tumor in the last three models. Since the tumor stimulates the third variable which in turn stimulates effector cell production, direct stimulation is not necessary and may not be biologically realistic. In any case, comparing our results with conclusions in the original papers shows that removing these terms does not change the qualitative behavior of the system.

In Sections 2–5 we will analyze (1), (2), (3), and (4). In Section 6, we state our conclusions.

2 Kuznetsov et al

$$\frac{dE}{dt} = s - dE + pE\frac{T}{g+T} - mET$$

$$\frac{dT}{dt} = aT(1 - bT) - nET$$

Based on mouse data they propose the following concrete values:

$$s = 13,000$$
 $d = 0.0412$ $p = 0.1245$ $a = 0.18$ $b = 2 \times 10^{-9}$ $g = 2.019 \times 10^{7}$ $m = 3.422 \times 10^{-10}$ $\gamma_c = n = 1.101 \times 10^{-7}$

The death rate d = 0.0412 corresponds or an exponential life time with mean 1/d = 24.27 days. Setting T = 0 we see that in the absence of tumor there are s/d = 315,534 effector cells in equilibrium.

The first step in [9] is to nondimensionalize the system. Let $x = E/E_0$, $y = T/T_0$ where $E_0 = T_0 = 10^6$ and let $\tau = nT_0t$ where $n = 1.101 \times 10^{-7}$. This choice will turn -nET into -xy. Note that $\tau = 0.1101t$ or t = 9.80 days corresponds to $\tau = 1$. If we let

$$\frac{dx}{d\tau} = \sigma - \delta x + \rho x \frac{y}{y+\eta} - \mu xy
\frac{dy}{d\tau} = \alpha y (1 - \beta y) - xy$$
(5)

then since

$$\frac{dx}{d\tau} = \frac{1}{E_0} \cdot \frac{dE}{dt} \cdot \frac{dt}{d\tau}$$
 and $\frac{dy}{d\tau} = \frac{1}{T_0} \cdot \frac{dT}{dt} \cdot \frac{dt}{d\tau}$

then the new constants are

$$\sigma = \frac{s}{nT_0E_0} = 0.1181 \quad \delta = \frac{d}{nT_0} = 0.3743 \quad \rho = \frac{p}{nT_0} = 1.131 \quad \alpha = \frac{a}{nT_0} = 1.636$$

$$\eta = g/T_0 = 20.19 \quad \beta = bT_0 = 2.0 \times 10^{-3} \quad \mu = m/n = 3.11 \times 10^{-3}$$

Steady states. There is a tumor free equilibrium with

$$y_0^* = 0$$
 $x_0^* = \sigma/\delta = 0.3155.$

This root will be unstable if $\alpha > \sigma/\delta$ since for y small

$$\frac{dy}{dt} \approx \alpha y - x^* y$$

and the tumor will grow. To check stability for $\alpha < \sigma/\delta$, we linearize to get

$$L = \begin{pmatrix} -\delta - \mu y + \rho \frac{y}{y+\eta} & \rho x \frac{\eta}{(\eta+y)^2} - \mu x \\ -y & \alpha (1-\beta y) - \alpha \beta y - x \end{pmatrix}.$$
 (6)

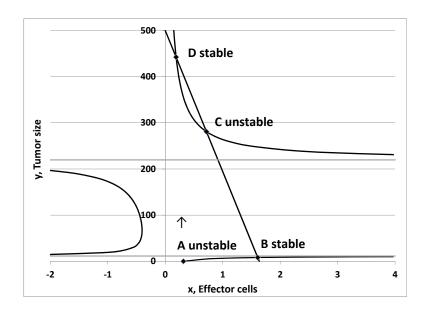


Figure 1: Graph of null clines in the model of Kuznetsov et al. The units are millions of cells. g(y) is a straight line. f(y) has three pieces because the denominator has two positive roots. There is the tumor free equilibrium A = (0.3155, 0). In addition the null clines intersect in three points B = (1.6093, 8.158), C = (0.7172, 280.8), and D = (0.1825, 442.2).

When y = 0, $x = x_0^*$ this is

$$\begin{pmatrix} -\delta & \rho x_0^* / \eta - \mu x_0^* \\ 0 & \alpha - x_0^* \end{pmatrix}$$

If $x_0^* = \sigma/\rho > \alpha$ the trace will be negative and the determinant positive so the tumor free equilibrium is stable.

Interior equilibria. If y > 0 then for $dy/d\tau = 0$ we need $x = \alpha(1 - \beta y) \equiv g(y)$. $dx/d\tau = 0$ when

$$x = \frac{\sigma}{\delta + \mu y - \rho y / (\eta + y)} \equiv f(y)$$

Multiplying top and bottom by $\eta + y$ we have $\mu y^2 + (\mu \eta + \delta - \rho)y + \delta \eta$. For the particular values we are considering

$$b \equiv \mu \eta + \delta - \rho = (3.011 \times 10^{-3})(20.59) + 0.3743 - 1.131 = -0.69592$$

so $b^2 - 4\mu\delta\eta = 0.39327$ and the denominator can vanish. It has roots at

$$y = \frac{-b \pm \sqrt{b^2 - 4\mu\delta\eta}}{2\mu} = 11.42 \text{ and } 219.70$$

The null clines are graphed in Figure 1. There are three interior equilibria.

To check the stability of $B,\,C$ and D we use the equilibrium equations to simplify the diagonal elements

$$\begin{pmatrix} -\sigma/x & x\left(-\mu + \rho \frac{\eta}{(\eta + y)^2}\right) \\ -y & -\alpha\beta y \end{pmatrix}$$

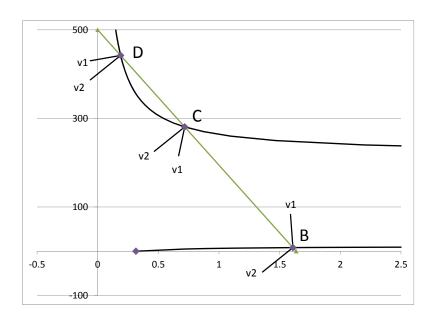


Figure 2: A geometric way of determining the stability of fixed points in the plane shows that as long as the intersections exist, B and D are stable and C is unstable. If we have a matrix with top row v_1 and bottom row v_2 then the absolute value of the determinant is the area of the trapezoid with vertices 0, v_1 , $v_1 + v_2$, and v_2 . The sign is positive if the vectors v_1 and v_2 are a left-handed coordinate system. That is, they have the same relative position as the unit vectors $e_1 = (1,0)$ and $e_2 = (0,1)$, or if e_1 is your thumb and e_2 your first finger, they look like your left hand.

The trace is always negative. A little computation shows that the determinant is positive for fixed points B and D, but negative for fixed point C, so we have the stabilities indicated in Figure 1.

These stability results can also be found by using geometry rather than algebra. See 2.

Adoptive immunotherapy.

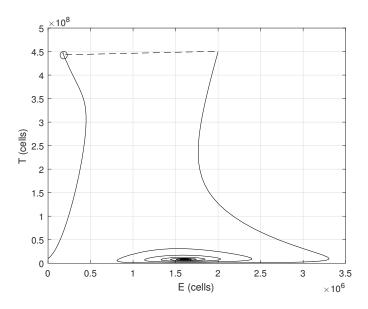


Figure 3: This numerical solution of the ODE shows that if the patient is in the large tumor equilibrium and we add 2×10^8 effector cells (indicated by the dotted line) then we end up in the small tumor equilibrium with $E=1.61\times10^6$ and $T=8.158\times10^6$. The other trajectory starts near 0 and goes to the large tumor state.

3 Kirschner and Panetta

$$\frac{dT}{dt} = r_2 T (1 - bT) - aE \frac{T}{g_2 + T}$$

$$\frac{dE}{dt} = s_1 - \mu_2 E + p_1 E \frac{I}{g_1 + I}$$

$$\frac{dI}{dt} = s_2 - \mu_3 I + p_2 E \frac{T}{g_3 + T}$$
(7)

As explained in the introduction, we have removed the +cT term from dE/dt. KP vary the parameters s_1 and s_2 with the others set to the following values:

$$r_2 = 0.18$$
 $a = 1$ $b = 1 \times 10^{-9}$ $g_2 = 10^5$
 $\mu_2 = 0.03$ $p_1 = 0.1245$ $g_1 = 2 \times 10^7$ (8)
 $\mu_3 = 10$ $p_2 = 5$ $g_3 = 10^3$

Eventually we will set $s_1 = 10,000$ and $s_2 = 38,000$.

Theorem 1. The tumor free equilibrium exists if $s_2 < s_{2,c} = \mu_2 \mu_3 g_1/(p_1 - \mu_2)$. It has

$$T_0^* = 0$$
 $I_0^* = \frac{s_2}{\mu_3}$ $E_0^* = \frac{s_1}{\mu_2} \left[1 + \frac{s_2 p_1}{\mu_2 \mu_3 g_1 - s_2 (p_1 - \mu_2)} \right]$

The tumor free equilibrium is stable when $aE_0^*/g_2 > r_2$.

Remark 1. For our concrete values, $I_0^* = 3,800$ and $E_0^* \approx s_1/\mu_2 = 333,333$.

Proof. Suppose $T_0^* = 0$. In this case $I_0^* = s_2/\mu_3$. Plugging this in the first equation becomes

$$s_1 = \left(\mu_2 - p_1 \frac{I_0^*}{g_1 + I_0^*}\right) E_0^*$$

so to have an equilibrium we must have $\mu_2(g_1 + I_0^*) - p_1 I_0^* > 0$ which holds if

$$I_0^* < \frac{\mu_2 g_1}{p_1 - \mu_2} \quad \text{or} \quad s_2 < s_{2,c} \equiv \frac{\mu_2 \mu_3 g_1}{p_1 - \mu_2}.$$
 (9)

For our concrete parameters $s_{2,c} = 63,492,063$. When $s_2 < s_{2,c}$ we have

$$E_0^* = \frac{s_1(g_1 + I_0^*)}{\mu_2(g_1 + I_0^*) - p_1 I_0^*}$$
(10)

Filling in the value of I_0^* and doing some algebra gives the formula for E_0^* in the theorem. The tumor free equilibrium will be unstable if $r_2 > aE_0^*/g_2$ since a small tumor will grow. For our concrete parameters that is $E_0^* < 18,000$. Using (10) and $I_0^* = s_2/\mu_3$ this means

$$s_1 = E_0^* \left(\mu_2 - \frac{s_2 p_1}{\mu_3 g_1 + s_2} \right) < 18,000 \left(0.03 - \frac{0.1245 s_2}{10^6 + s_2} \right) \tag{11}$$

When $s_2 = 0$ this is $s_1 < 540$. When $s_2 = s_{2,c}$ this is $s_1 = 0$. To check stability when $aE_0^*/g_2 > r_2$ we look at the linearization

$$L = \begin{pmatrix} r_2(1-bT) - r_2bT - aEg_2/(g_2+T)^2 & -aT/(g_2+T) & 0\\ 0 & -\mu_2 + p_1I/(g_1+I) & g_1/(g_1+I)^2\\ p_2Eg_3/(g_3+T)^2 & p_2T/(g_3+T) & -\mu_3 \end{pmatrix}$$
(12)

Using the second equation in (7) to simplify $L_{2,2}$ and setting T=0 gives

$$\theta I - L = \begin{pmatrix} \theta - r_2 + aE/g_2 & 0 & 0\\ 0 & \theta + s_1/E & g_1/(g_1 + I)^2\\ -p_2 E/g_3 & 0 & \theta + \mu_3 \end{pmatrix}$$
(13)

The determinant is $(\theta - r_2 + aE/g_2)(\theta + s_1/E)(\theta + \mu_3)$ so the eigenvalues are $-s_1/E$, $r_2 - aE/g_2$, and $-\mu_3$. If $aE/g_2 > r_2$ all three eigenvalues are negative.

Interior equilibria. To look for other fixed points we begin by noting that dT/dt = 0 when

$$E = \frac{r_2}{a}(g_2 + T)(1 - bT)$$

Rearranging gives $bT^2 - (1 - g_2b)T - g_2 + aE/r_2 = 0$, which has roots

$$\frac{(1-g_2b)\pm\sqrt{(1-g_2b)^2-4b(aE/r_2-g_2)}}{2b}$$
 (14)

There will be no roots if $1-2g_2b+g_2b^2-4baE/r_2+4bg_2<0$ which holds if

$$E > \frac{r_2(1+g_2b)^2}{4ab}$$

For our concrete values this is $E > 4.5 \times 10^7$.

dE/dt = 0 when

$$0 = s_1 - \mu_2 E + p_1 E \left(1 - \frac{g_1}{g_1 + I} \right)$$

Rearranging we have $p_1Eg_1/(g_1+I)=s_1+(p_1-\mu_2)E$ or

$$I = g_1 \left(\frac{\mu_2 E - s_1}{(p_1 - \mu_2)E + s_1} \right) \tag{15}$$

dI/dt = 0 when

$$I = \frac{s_2}{\mu_3} + \frac{p_2 E}{\mu_3} \cdot \frac{T}{g_3 + T}$$

Our concrete values have $g_3 = 10^3$. To begin our analysis we will look at the behavior of the system in the part of the space where T is large enough so that $T/(T+10^3) \approx 1$. In this case the last equation becomes

$$I = \frac{s_2}{\mu_3} + \frac{p_2 E}{\mu_3} \tag{16}$$

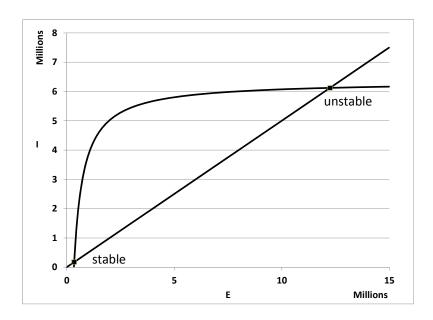


Figure 4: Null clines (16) and (15).

Note that the equations in (16) and (15) do not depend on T, and they will be a good approximation to the true null clines when $T \gg 10^3$.

Combining (16) and (15) shows that if (E, I) is a fixed point then

$$\frac{s_2}{\mu_3} + \frac{p_2 E}{\mu_3} = g_1 \left(\frac{\mu_2 E - s_1}{(p_1 - \mu_2)E + s_1} \right) \tag{17}$$

Cross-multiplying we have

$$((p_1 - \mu_2)E + s_1)\left(\frac{s_2}{\mu_3} + \frac{p_2E}{\mu_3}\right) = g_1(\mu_2E - s_1)$$

which is a quadratic equation $\alpha E^2 + \beta E + \gamma = 0$ with

$$\alpha = (p_1 - \mu_2) \frac{p_2}{\mu_3}$$

$$\beta = -g_1 \mu_2 + \frac{s_2(p_1 - \mu_2)}{\mu_3} + s_1 \frac{p_2}{\mu_3}$$

$$\gamma = g_1 s_1 + s_1 s_2 / \mu_3$$
(18)

When $s_1 = 10,000$ and $s_2 = 38,000$ the two roots of the quadratic equation are

$$E_1 = 345,909 E_2 = 1.224 \times 10^7 (19)$$

Using $I = (s_2 + p_2 E)/\mu_2$ we find that the corresponding values of I are

$$I_1 = 176,754 I_2 = 6.123 \times 10^6 (20)$$

Using (14) we see that corresponding to E_i there are two roots $T_{i,1} < T_{i,2}$ where

$$T_{1,1} = 1.825 \times 10^6$$
 $T_{2,1} = 7.324 \times 10^8$ $T_{1,2} = 1 \times 10^9$ $T_{2,2} = 9.266 \times 10^8$

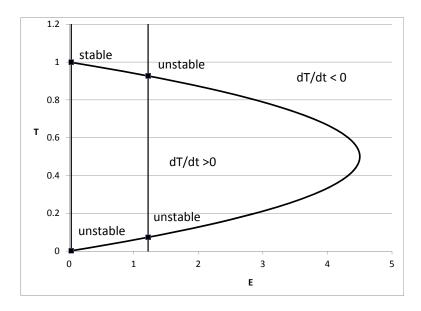


Figure 5: Values of E are $\times 10^7$, T are $\times 10^9$ cells. Solid curve is the null cline dT = 0. Vertical lines are the roots $E_1 = 0.0346$ and $E_2 = 1.224$. With each value of E the quadratic equation gives us two values of T, so there are four interior roots in addition to the stable tumor free equilibrium at (0.3333, 0). Values of dT/dt indicate that it will take a substantial influx of effector cells to get around the region where dT/dt > 0.

See Figure 5 for a picture.

Stability analysis. The (E, I) subsystem in (7) is (for large T) independent of T so we begin by studying that. Linearizing around a fixed point gives

$$\begin{pmatrix} dE/dt \\ dI/dt \end{pmatrix} = \begin{pmatrix} -\mu_2 + p_1 I/(g_1 + I) & p_1 E g_1/(g_1 + I)^2 \\ p_2 & -\mu_3 \end{pmatrix} \begin{pmatrix} E \\ I \end{pmatrix}$$
(21)

The equation dE/dt = 0 implies that in equilibrium $-\mu_2 + p_1I/(g_1 + I) = -s_1/E < 0$ so the trace is negative. The determinant is

$$\frac{s_1 \mu_3}{E} - p_1 p_2 E \frac{g_1}{(g_1 + I)^2}$$

Using the values given in (19) and (20) we see that for our concrete values the determinant of the matrix in (21) at (E_1, I_1) is positive while the determinant at (E_2, I_2) is negative. Thus (E_1, I_1) is stable, while (E_2, I_2) is a saddle point. This conclusion can also be found using the geometric reasoning in Figure 2, so the result holds as long as the intersections exist.

Combining this analysis with Figure 5 we see that $(E_2, I_2, T_{2,1})$, $(E_2, I_2, T_{2,2})$, $(E_1, I_1, T_{1,1})$ are unstable. To show that the remaining equilibrium $(E_1, I_1, T_{1,2})$ is stable we note that when we take $T = 10^9$ in (12) then (13) becomes

$$\theta I - L = \begin{pmatrix} \theta + r_2 & a & 0\\ 0 & \theta + s_1/E & g_1/(g_1 + I)^2\\ 0 & -p_2 & \theta + \mu_3 \end{pmatrix}$$

the characteristic polynomial $\det(\theta I - L)$ has the form $\theta^3 + b_1\theta^2 + b_2\theta + b_3$ where

$$b_1 = r_2 + s_1/E + \mu_3 > 0$$

$$b_2 = r_2 \left(\frac{s_1}{E} + \mu_3\right) + \left[\frac{s_1\mu_3}{E} + \frac{p_2q_1}{(g_1 + I)^2}\right] > 0$$

$$b_3 = r_2 \left(\frac{s_1\mu_3}{E} + \frac{p_2q_1}{(g_1 + I)^2}\right) > 0$$

To check the computation recall that b_1 is the trace of -L, b_2 the sum of its 2×2 principal minors, and $b_3 = \det(-L)$. As the formulas show all three $b_i > 0$. By the Routh-Hurwitz condition the equilibrium is locally stable if $b_4 \equiv b_1b_2 - b_3 > 0$. This is easy to see since r_2 times the term in square brackets in b_2 is b_3 and the other terms in b_1b_2 are positive. The reader should note that this argument shows that the large tumor equilibrium is stable (when it exists).

This picture will hold as long as the four roots exist, however using (18) we see that to have a solution we must have

$$(600,000 - 0.00945s_2 - s_1/2)^2 \ge 0.189 \left(2 \times 10^7 + \frac{s_2}{10}\right) s_1$$

or s_1 is less than the smaller root of

$$\frac{s_1^2}{4} - (4.38 \times 10^6 - 0.02385s_2)s_1 + (600,000 - 0.00945s_2)^2 = 0$$
 (22)

When $s_2 = 0$ this says $s_1 \le 82,251$ while if $s_2 = s_{2,c}$ this says $s_1 \le 0$.

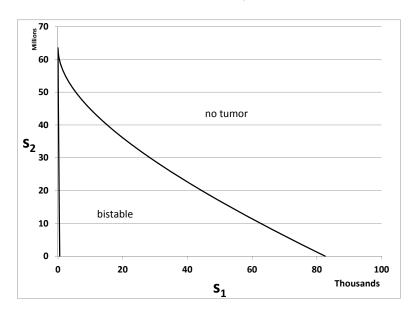


Figure 6: Phase diagram. The curve very close to the y-axis that ends at $s_1 = 540$ is defined by (11). Between it and the y-axis, the tumor free equilibrium is unstable. The other curve is the smaller root of (22). Note that this figure looks much different than the hand drawn panel A of Figure 6 in [8].

Adoptive immunotherapy. We expect that adoptive immunotherapy will work in the bistable region in the phase diagram in Figure 6. In the next figure we consider the situation when $s_1 = 10,000$, $s_2 = 38,000$ and the other parameters are given in (8).

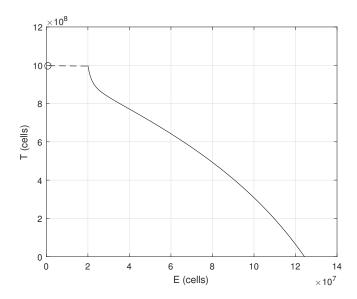


Figure 7: In this numerical solution of the ODE the patient was in the large tumor equilibrium of 1×10^8 cells and 2×10^7 effector cells were added. It may seem that the number of effector cells E hits the axis a little above 1.2×10^8 . However after reaching this position the solution goes down the E axis to the tumor free equilibrium.

4 Dong, Miyazaki, Takeuchi

Again to make it easier to compare with [4] we return to using their notation. As before, we have removed the term k_1TE from dE/dt which models direct stimulation of effector cell production by the tumor.

$$\frac{dT}{dt} = aT(1 - bT) - nET$$

$$\frac{dE}{dt} = s_1 - d_1E + pEH$$

$$\frac{dH}{dt} = s_2 - d_2H + k_2TH$$
(23)

DMT vary the parameters k_1 and k_2 . The others are assigned values

$$a = 0.168,$$
 $b = 2 \times 10^{-9},$ $n = 10^{-7},$ $s_1 = 11,810$ $d_1 = 0.03473,$ $s_2 = 38,000$ $d_2 = 0.0055.$ (24)

Their first step is to nondimensionalize the system. Let

$$x = \frac{T}{T_0}$$
 $y = \frac{E}{T_0}$ $z = \frac{H}{T_0}$ $\tau = nT_0t$

where $T_0 = 10^6$ cells and $n = 10^{-7}$. Thus $nT_0 = 10^{-1}$, i.e., $\tau = 0.1t$, or time t = 10 corresponds to time $\tau = 1$. Changing variables the system becomes

$$\frac{dx}{d\tau} = \alpha x (1 - \beta x) - xy
\frac{dy}{d\tau} = \sigma_1 - \delta_1 y + \rho yz
\frac{dz}{d\tau} = \sigma_2 - \delta_2 z + \omega_2 xz$$
(25)

The growth rate is now $\alpha = a/nT_0$ with $\beta = bT_0$. The production rates are now $\rho = p/n$ and $\omega_2 = k_2/n$. Death rates $\delta_i = d_i/nT_0$, while the input rates are $\sigma_i = s_i/(nT_0^2)$. Thus the concrete example has

$$\alpha = 1.636, \quad \beta = 0.002, \quad \sigma_1 = 0.1181,$$

 $\delta_1 = 0.3473, \quad \sigma_2 = 0.38, \quad \delta_2 = 0.055.$

and they vary ρ and ω_2 . Later we will take $\rho = 0.03$ and $\omega_2 = 0.01$.

Equilibria. The first step in the analysis is to find fixed points of the dynamics, which satisfy

$$0 = x(\alpha(1 - \beta x) - y)$$

$$\sigma_1 = y(\delta_1 - \rho z)$$

$$\sigma_2 = z(\delta_2 - \omega_2 x)$$
(26)

Theorem 2. The tumor free equilibrium, has $x_0^* = 0$, $z_0^* = \sigma_2/\delta_2$, and

$$y_0^* = \frac{\sigma_1}{\delta_1 - \rho \sigma_2 / \delta_2}$$

It exists if $\rho < \rho_0$, and is stable if $\rho > \rho_1$ where

$$\rho_0 = \frac{\delta_2}{\sigma_2} \cdot \delta_1 \quad and \quad \rho_1 = \frac{\delta_2}{\sigma_2} \left(\delta_1 - \frac{\sigma_1}{\alpha} \right)$$

Remark 2. In our concrete example, $\rho_1 = 0.039819$, $\rho_0 = 0.050267$, $z_0^* = 6.9091$, and $y_0^* = 0.8433$, where the units for the last two numbers are millions of cells.

Proof. For $y_0^* > 0$ we must have $\rho < \delta_1 \delta_2 / \sigma_2 = \rho_0$. The fixed point is unstable if

$$\alpha > y_0^* = \frac{\sigma_1 \delta_2}{\delta_1 \delta_2 - \rho \sigma_2} \tag{27}$$

because in this case a small tumor will grow. Flipping the fraction over and rearranging this becomes

$$\frac{\rho\sigma_2}{\sigma_1\delta_2} < \frac{\delta_1}{\sigma_1} - \frac{1}{\alpha}$$
 or $\rho < \frac{\delta_2}{\sigma_2} \left(\delta_1 - \frac{\sigma_1}{\alpha}\right) = \rho_1$.

To check stability for $\rho > \rho_1$ we linearize around the fixed point

$$L = \begin{pmatrix} \alpha(1 - \beta x) - \alpha \beta x - y & -x & 0\\ 0 & -\delta_1 + \rho z & \rho y\\ \omega_2 z & 0 & -\delta_2 + \omega_2 x \end{pmatrix}$$
(28)

To find the eigenvalues for the tumor free equilibrium, we set x=0 and look at

$$\theta I - L = \begin{pmatrix} \theta - \alpha + y & 0 & 0\\ 0 & \theta + \delta_1 - \rho z & -\rho y\\ -\omega_2 z & 0 & \theta + \delta_2 \end{pmatrix}$$
 (29)

Recalling that $z_0^* = \sigma_2/\delta_2$ the determinant of $\theta I - L$ is

$$(\theta - \alpha + y_0^*)(\theta + \delta_1 - \rho \sigma_2/\delta_2)(\theta + \delta_2).$$

The eigenvalues are $-\delta_2$, $\rho\sigma_2/\delta_2 - \delta_1$ and $\alpha - y_0^*$. The second one is negative if $\rho < \rho_0$. The third is negative if $\alpha < y_0^*$, i.e., $\rho > \rho_1$.

When the source terms $\sigma_1, \sigma_2 > 0$ any equilibrium will have $y^*, z^* > 0$. Thus by (26) any equilibrium with $x^* > 0$ must satisfy

$$y^* = \alpha(1 - \beta x^*) \qquad z^* = \frac{\sigma_2}{\delta_2 - \omega_2 x^*}$$

which requires

$$0 < x^* < 1/\beta \text{ and } x^* < \delta_2/\omega_2.$$
 (30)

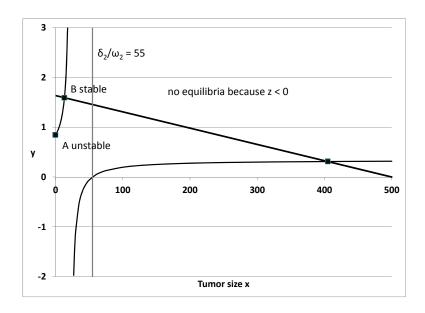


Figure 8: Null clines of DMT with values given in (24), $\rho = 0.03 < \rho_0$ and $\omega_2 = 0.001$.

To look for other interior equilibria, we note that the first equation in (23) implies that in equilibrium

$$y_1(x) = \alpha(1 - \beta x) \tag{31}$$

This a straight line that always goes through the point $(1/\beta, 0)$. The third equation in (26) implies $z = \sigma_2/(\delta_2 - \omega_2 x)$. Using this in the second equation in (26) we have

$$y_2(x) = \frac{\sigma_1}{\delta_1 - \rho \sigma_2 / (\delta_2 - \omega_2 x)}$$
(32)

When x = 0 this is $\sigma_1 \delta_2 / (\delta_1 \delta_2 - \rho \sigma_2) = y_0^*$. The denominator is 0 when $\delta_1 (\delta_2 - \omega_2 x) = \rho \sigma_2$. That is, when

$$x = \frac{\delta_1 \delta_2 - \rho \sigma_2}{\delta_1 \omega_2} \equiv x_0 \tag{33}$$

As $x \uparrow x_0$, $y(x) \to \infty$. As $x \downarrow x_0$, $y(x) \to -\infty$. Note that (32) implies $y(\delta_2/\omega_2) = 0$ As $x \to \infty$, $y(x) \to \sigma_1/\delta_1 > 0$ so the null clines $\{y_1(x) = 0\}$ and $\{y_2(x) = 0\}$ intersect at a point with $\hat{x} \in (\omega_2/\delta_2, 1/\beta)$ but at that point $\hat{z} = \sigma_2/(\delta_2 - \omega_2 x) < 0$ so this is not an equilibrium.

There is an intersection of null clines at an $\bar{x} < \delta_2/\omega_2$ if $y_1(0) > y_2(0)$, that is, if $\alpha > y_0^*$. By the reasoning just after (27) this is equivalent to $\rho < \rho_1$. We will call this equilibrium B. If $\rho_1 < \rho < \rho_0$ then equilibrium B disappears and the tumor free equilibrium is stable. If $\rho > \rho_0 = \delta_1 \delta_2/\sigma_2$ then x_0 defined in (33) is negative, i.e., the first branch of $y_2(z)$ lies to the left of the y axis, so there is no equilibrium. The third equation in (25) implies $\lim_{\tau \to \infty} z(\tau) \ge \sigma_2/\delta_2$, so using the definition of ρ_0 we see that eventually $\rho z(\tau) - \delta_1 > 0$ and it follows that $y(\tau) \to \infty$

Stability analysis. Our next goal is to complete the proof of the following table (x means the equilibrium does not exist) by showing the result in the upper right corner.

$$\begin{array}{ccc} & A & B \\ \rho < \rho_1 & \text{unstable stable} \\ \rho_1 < \rho < \rho_0 & \text{stable } & x \\ \rho_0 < \rho & x & x \end{array}$$

We begin by noting that (26) implies

$$0 = \alpha(1 - \beta x) - y$$

$$\sigma_1/y = \delta_1 - \rho z$$

$$\sigma_2/z = \delta_2 - \omega_2 x$$

Using these equalities we can simplify the matrix in (28) to

$$L = \begin{pmatrix} -\alpha \beta x & -x & 0\\ 0 & -\sigma_1/y & \rho y\\ \omega_2 z & 0 & -\sigma_2/z \end{pmatrix}$$

and we look at

$$\theta I - L = \begin{pmatrix} \theta + \alpha \beta x & x & 0 \\ 0 & \theta + \sigma_1/y & -\rho y \\ -\omega_2 z & 0 & \theta + \sigma_2/z \end{pmatrix}$$

The characteristic polynomial takes the form $\theta^3 + b_1\theta^2 + b_2\theta + b_3$ where

$$b_1 = \alpha \beta x + \sigma_1 / y + \sigma_2 / z > 0$$

$$b_2 = \alpha \beta x \left(\frac{\sigma_1}{y} + \frac{\sigma_2}{z} \right) + \frac{\sigma_1 \sigma_2}{yz} > 0$$

$$b_3 = \alpha \beta x \frac{\sigma_1 \sigma_2}{yz} + \rho \omega_2 xyz > 0$$

As the formulas show all three $b_i > 0$. By the Routh-Hurwitz condition the equilibrium is locally stable if $b_4 \equiv b_1 b_2 - b_3 > 0$. In the example drawn in Figure 8

$$x_B^* = 13.26$$
 $y_B^* = 1.5923$ $z_B^* = 9.104$

Using the formula above we find $b_1 = 0.3562$, $b_2 = 0.3127$, $b_3 = 0.008422$, so $b_4 > 0$ and the fixed point is stable. [4] show that when ω_2 is increased a Hopf bifurcation can lead to a stable periodic orbit. We will ignore that here because the analysis predicts that adoptive immunotherapy, as we have formulated it, does not work. We never have a situation where the tumor free and tumor states are both stable.

4.1 Modified DMT model

To address the lack of bistability, we will introduce saturation into interactions with the tumor:

$$\frac{dx}{d\tau} = \alpha x (1 - \beta x) - y \frac{x}{x + \eta_1}$$

$$\frac{dy}{d\tau} = \sigma_1 - \delta_1 y + \rho y z$$

$$\frac{dz}{d\tau} = \sigma_2 - \delta_2 z + \omega_2 z \frac{x}{x + \eta_3}$$
(34)

The tumor free equilibrium is the same as for the original equation: $z_0^* = 6.9091$, $y_0^* = 0.8433$. To look for interior fixed points we note that the last equation implies

$$z = \frac{\sigma_2}{\delta_2 - \omega_2 x / (x + \eta_3)}$$

If $\delta_2 > \omega_2$, which holds for our concrete parameters, then z > 0 for all $x \ge 0$. The second equation implies

$$y = \frac{\sigma_1}{\delta_1 - \rho z} = \frac{\sigma_1}{\delta_1 - \rho \sigma_2 / [\delta_2 - \omega_2 x / (x + \eta_2)]} \equiv y_2(x)$$

The last equation is messy but it is easy to see that $y_2(x)$ is increasing in x

$$y_2(0) = \frac{\sigma_1}{\delta_1 - \rho \sigma_2 / \delta_2} = y_0^* \qquad y_2(1/\beta) \approx \frac{\sigma_1}{\delta_1 - \rho \sigma_2 / (\delta_2 - \omega_2)}$$

As before for the tumor free equilibrium to exist we need $\delta_1 - \rho \sigma_2/\delta_2 > 0$ which is $\rho < \delta_1 \delta_2/\rho = \rho_0$. If we use the concrete values and set $\rho = 0.03$ and $\omega_2 = 0.01$ then

$$y_2(0) = \frac{0.1181}{0.3473 - 6.909\rho} = 0.8433$$
 and $y_2(1/\beta) = \frac{.1181}{.3473 - 8.444\rho} = 1.255$

The first equation in (34) is

$$y_1(x) = \alpha(x + \eta_1)(1 - \beta x)$$

 $y_1(1/\beta) = 0$ while $y_1(1/2\beta) > \alpha/4\beta = 204.5$ so there will be an intersection C near $x = 1/\beta$ $y_1(0) = \alpha \eta_1$, and $y_1(-\eta_1) = 0$ so:

- if $y_1(0) < y_2(0)$ then there will be an intersection producing an equilibrium B near x = 0. However the picture is different than it was before. The tumor free equilibrium A is stable because it sits above the null cline $dx/d\tau = 0$. The equilibrium at thee intersection of the null clines is unstable and the large tumor equilibrium will be stable.
- If $y_1(0) > y_2(0)$ then there is no intersection near x = 0. The tumor free equilibrium is unstable because it sits beneath the null cline $dx/d\tau = 0$, and the large tumor equilibrium C will be stable with the intermediate equilibrium B unstable. This follows from the geometric reasoning in Figure 2.

Under our concrete parameters if $\eta_1 = 0.1$, i.e., the original half-saturation level was 10^5 , then we are in the case $y_1(0) < y_2(0)$. To complete our choice of parameters we set $\eta_3 = 0.1$ also. Figure 9 shows a picture of the null clines. Figure 10 shows that if enough effector cells are given then adoptive immunotherapy is effective.

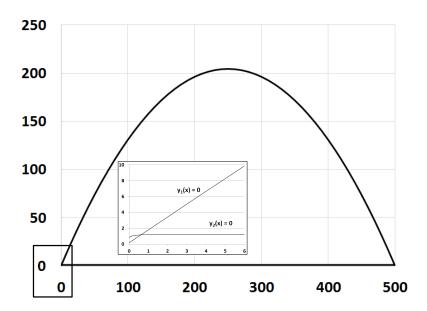


Figure 9: A look at the null clines $\{y_1(x)=0\}$ and $\{y_2(x)=0\}$. The inset shows an enlarged picture of the situation near 0.

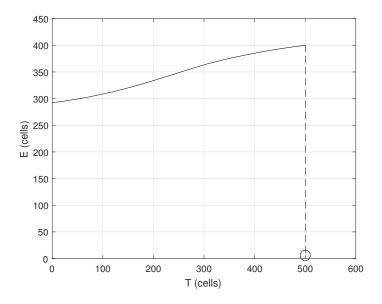


Figure 10: Numerical solution of (34) shows that if we add 4×10^8 effector cells then we end up in the tumor free equilibrium. This may not be clear from the picture but once the trajectory gets near T=0 when $E\approx 300$ it moves along the axis to the tumor free fixed point at E=0.8437.

5 Moore and Li

Again, we have eliminated the term $\alpha_c ET/(T+g)$ from dE/dt which the tumor directly stimulates the production of effector cells.

$$\frac{dT}{dt} = aT(1 - bT) - \gamma_c ET$$

$$\frac{dE}{dt} = s_e - d_e E + \alpha_n k_n N \frac{T}{T + g} - \gamma_e ET$$

$$\frac{dN}{dt} = s_n - d_n N - k_n N \frac{T}{T + g}$$
(35)

Here, for consistency with other models we use T, E, and N for variables instead of C, T_e , and T_n

Moore and Li use Gompertzian growth $r_c T \ln(T_{max}/T)$ and take $r_c = 0.03$. To stay close to the parameters of the three previous models we set a = 0.18. They express T, E, and N in units of $cells/\mu l$ and use

$$b = 1/300,000$$
 $\gamma_c = \gamma_e = 0.005$ $g = 100$
 $k_n = 0.001$ $\alpha_n = 0.41$ $s_e = 0$ $d_e = 0.06$ $s_n = 0.073$ $d_n = 0.04$

If we change from cells/ μl to cells and recall that the human body has about 5 liters of blood then

- The value of b translates into carrying capacity of 1.5×10^{12} , This is much larger than the others which are about 10^9 , but in many human tumor growth models the carrying capacity is taken to be 10^{12} , a lethal tumor burden.
- γ_c becomes 5×10^{-9} which is smaller than the choices of KMTP: 1.107×10^7 , and DMT: 10^{-7} . In addition, here $\gamma_e/\gamma_c = 1$, while in the first paper $\gamma_e/\gamma_c = 0.00311$ and in the second $\gamma_e = 0$.
- The half-saturation value g become 10^8 , similar to value of $g = 2.019 \times 10^7$ in KMTP and $g_1 = 2 \times 10^7$ in KP.
- The death rates $d_n = 0.04$ and $d_e = 0.06$ translate into expected lifetimes of 25 for naive T cells and 16.66 days for effector cells, similar to previous estimates.

The value of $s_n = 0.073$ seems too small. If there is no tumor then the number of naive cells per μ l equilibrates to $s_n/d_n = 1.825$. On page 517 of [12] the authors quote Mohri et al [11] to argue that the CD4+ T cells in healthy individuals is approximately 1080 $cells/\mu$ l. For this to hold we need $s_n = 43.2$. They are also quote a figure of 600 $cells/\mu$ l for CD8+. For this to hold we need $s_e = 36$. It also seems that the value of $\alpha_n = 0.41$ is too low. On page 517 the authors quote Janeway et al [7] as saying that an activated T cell proliferates for approximately 7 days producing 1000 daughter cells. For this reason we will take $\alpha_n = 100$ cells generated per day.

Based on the discussion above, we will use the following values in our concrete example

$$b = 1/30,000$$
 $\gamma_c = 0.005$ $\gamma_e = 0.0001$ $g = 100$ (36)
 $k_n = 0.001$ $\alpha_n = 100$ $s_e = 36$ $d_e = 0.06$ $s_n = 43.2$ $d_n = 0.04$

Theorem 3. The tumor-free equilibrium has $T_0^* = 0$, $E_0^* = s_e/d_e$ and $N_0^* = s_n/d_n$. It is stable when

$$a < \gamma_c E_0^* \tag{37}$$

Remark 3. For our concrete values $E_0^* = 600$ and $N_0^* = 1080$.

Proof. If $a > \gamma_c E_0^*$ then a small tumor will grow. To show that it is stable if (37) holds, we note that linearizing the system gives

$$L = \begin{pmatrix} a(1 - bT) - abT - \gamma_c E & -\gamma_c T & 0\\ -\gamma_e E + g\alpha_n k_n N/(T + g)^2 & -d_e - \gamma_e T & \alpha_n k_n T/(T + g)\\ -gk_n N/(T + g)^2 & 0 & -d_n - k_n T/(T + g) \end{pmatrix}$$
(38)

When T=0 we have

$$\theta I - L = \begin{pmatrix} \theta - a + \gamma_c E & 0 & 0\\ \gamma_e E - \alpha_n k_n N/g & \theta + d_e & 0\\ k_n N/g & 0 & \theta + d_n \end{pmatrix}$$
(39)

so the characteristic polynomial is

$$(\theta - a + \gamma_c E)(\theta + d_e)(\theta + d_n) = 0$$

Under our assumption (37) all three eigenvalues are negative, so the tumor free equilibrium is stable. \Box

To find other equilibria, we note that dN/dt = 0 implies

$$N = \frac{s_n}{d_n + k_n T/(T+g)} \tag{40}$$

Using this in the one term in the second equation that contains N, system becomes

$$\frac{dT}{dt} = aT(1 - bT) - \gamma_c ET$$

$$\frac{dE}{dt} = s_e - d_e E + \frac{\alpha_n k_n s_n}{d_n + k_n T/(T + g)} \cdot \frac{T}{T + g} - \gamma_e ET$$

The right-hand sides are 0 when

$$E = f(T) = a(1 - bT)/\gamma_c \tag{41}$$

$$E = g(T) = \left(s_e + \frac{\alpha_n k_n s_n T / (T+g)}{d_n + k_n T / (T+g)}\right) \cdot \frac{1}{d_e + \gamma_e T}$$

$$\tag{42}$$

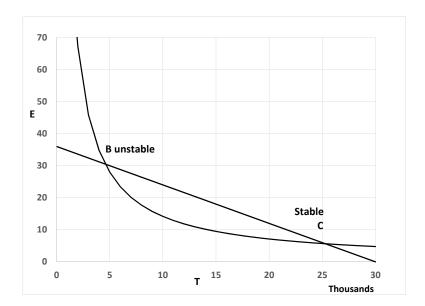


Figure 11: Null clines for Moore-Li with parameters given by (36). The tumor free equilibrium A with $E_0 = 600$ is off the top of the graph.

To compute solutions it is useful to first consider our concrete example. When T is large $T/(T+g_i)\approx 1$ so the second null cline is

$$E \approx \left(s_e + \frac{\alpha_n k_n s_n}{d_n + k_n}\right) \frac{1}{d_e + \gamma_e T} = \frac{141.37}{0.06 + 0.001T}$$
(43)

The first null cline is 36(1 - bT) where b = 1/30,000 so we want to solve

$$0.06 + 0.001T - 0.06bT - 0.001bT^2 = \frac{141.37}{36} = 3.93$$

Multiplying by 1000 and rearranging this is $bT^2 - 0.998T + 3,870 = 0$. The solutions are

$$\frac{0.998 \pm \sqrt{(0.998)^2 - 4(3,870)/30,000}}{2b)} = \frac{0.152}{b} \qquad \frac{0.8454}{b}$$

Using (43) and (40) we find

$$T_1^* = 4,560$$
 $E_1^* = 30.6$ $N_1^* \approx \frac{s_n}{d_n + k_n} = 1053.65$ $T_2^* = 25,362$ $E_2^* = 5.56$ $N_2^* \approx \frac{s_n}{d_n + k_n} = 1053.65$

These are equilibrium B and C in Figure 11.

Stability analysis. The geometric approach of Figure 2 shows that B is unstable in the T-E plane. Using (38) with the equations in (35) we see that in general the linearization is

$$L = \begin{pmatrix} -abT & -\gamma_c T & 0\\ -\gamma_e E + \alpha_n k_n N \frac{g}{(T+g)^2} + & \left(-s_e - \alpha_n k_n N \frac{T}{T+g}\right) / E & \alpha_n k_n \frac{T}{T+g}\\ -k_n N \frac{g}{(T+g)^2} & 0 & -s_n / N \end{pmatrix}$$

Since g = 100, when T = 25,362 we have

$$\theta I - L \approx \begin{pmatrix} \theta + abT & \gamma_c T & 0\\ \gamma_e E & \theta + (s_e + \alpha_n k_n N)/E & \alpha_n k_n\\ 0 & 0 & \theta s_n/N \end{pmatrix}$$

so the characteristic polynomial is $\theta^3 + b_1\theta^2 + b_2\theta + b_3$ with

$$b_1 = abT + (s_e + \alpha_n k_n N)/E + s_n/N > 0$$

$$b_2 = \Delta + (s_e + \alpha_n k_n N)s_n/EN + abTs_n/N$$

$$b_3 = \Delta s_n/N$$

where $\Delta = abT(s_e + \alpha_n k_n N)/E - \gamma_c T \gamma_e E$. To show that b_2 , b_3 , and $b_1 b_2 - b_3 > 0$ it is enough to check that $\Delta > 0$.

Lemma 1. $\Delta = 0$ occurs when the two equilibria B = c.

Proof. Geometrically this is obvious because it is where the determinant b_3 vanishes. Using (40) and (42) we see that

$$(s_e + \alpha_n k_n N)/E = d_e + \gamma_e T$$

The first equation in (35) implies

$$\gamma_c T \gamma_e E = \gamma_e a T (1 - bT)$$

so we have

$$\Delta = aT[b(d_e + \gamma_e T) - \gamma_e (1 - bT)]$$

Our quadratic equation has the form

$$(d_e + \gamma_e T)(1 - bT) = K$$

for some constant. The derivative of the left-hand side is

$$\gamma_e(1-bT) - b(d_e + \gamma_e T)$$

We have a double root when the derivative is 0, which is the same as $\Delta = 0$.

Adoptive immunotherapy. The next figure shows that in our concrete example a adoptive immunotherapy is successful.

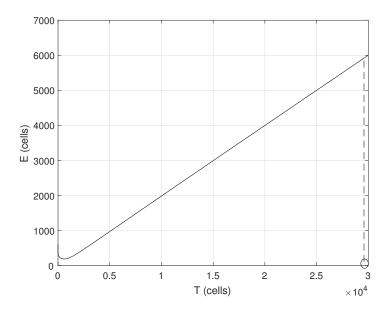


Figure 12: This numerical solution of the ODE in (35) with parameters given in (36) shows that if the patient is in the large tumor equilibrium and we add 6×10^9 effector cells then we end up in the tumor free equilibrium, which is at 600 on the E axis.

6 Conclusions

Here we have explored four models of the interaction of tumors with the immune system. In the process, we have established a structure unifying the models in order to compare and contrast their behavior. Kuznetsov, Makalkin, Taylor and Perelson [9] used a simple model with only tumor and effector cells. The other three systems introduced a third variable that stimulates the production of effector cells. Kirschner and Panetta [8] used interleukin, Dong, Miyazaki, and Takeuchi [4] helper cells, and Moore and Li [12] naive T cells. Based on our analysis of the models, we modified the DMT model to introduce saturating interactions between the tumor cells and the two other species, and we made substantial changes to the parameters of ML.

Once this was done the four models had similar qualitative behavior: there are two stable equilibria, a "tumor free" state (in which there is no tumor or a very small one) and a large tumor. For each model, we showed that if adoptive immunotherapy was done as described in Grupp [6], and if enough effector cells were added then the system could be moved from the large tumor state to the tumor free condition. While all four models predict success the details show considerable differences. The number of effector cells needed ranged from 2×10^7 to 6×10^9 . In addition, the way the system moved from one equilibrium to the other was different. In DMT and ML the effector cell concentration never exceeded the initial value. In KMTP it was never more than 1.5 times the initial dose. However, in KP there

was a cytokine storm after treatment that increased the initial dose of 2×10^7 to six times the initial value before it crashed back to a low level.

We have mathematically shown that in four different approaches to modeling the immune system, adoptive immunotherapy can work as a successful cancer treatment. However, the observations in the last paragraph show that in order to develop an accurate model for assessing treatment, we need to choose the correct way to model the immune system and find the right parameters for modeling tumor immunotherapy in humans.

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