

Modeling Evolutionary Processes: Major and Minor Transitions in Evolution

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Steps in Evolution: Perspectives from Physics, Biochemistry
and Cell Biology – 150 Years after Darwin

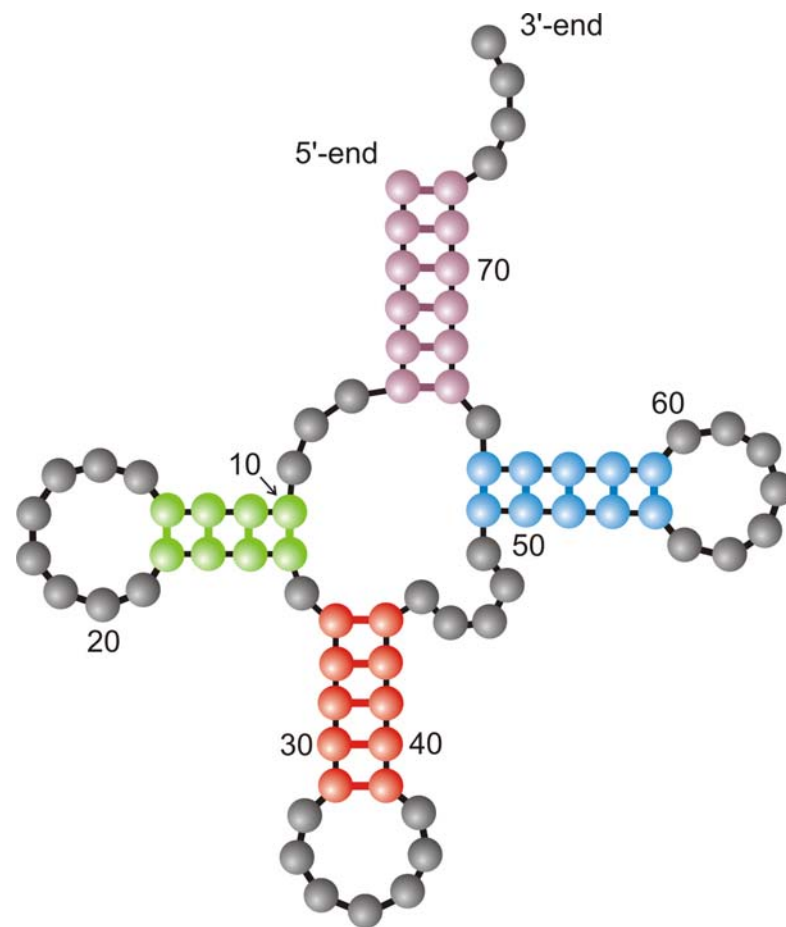
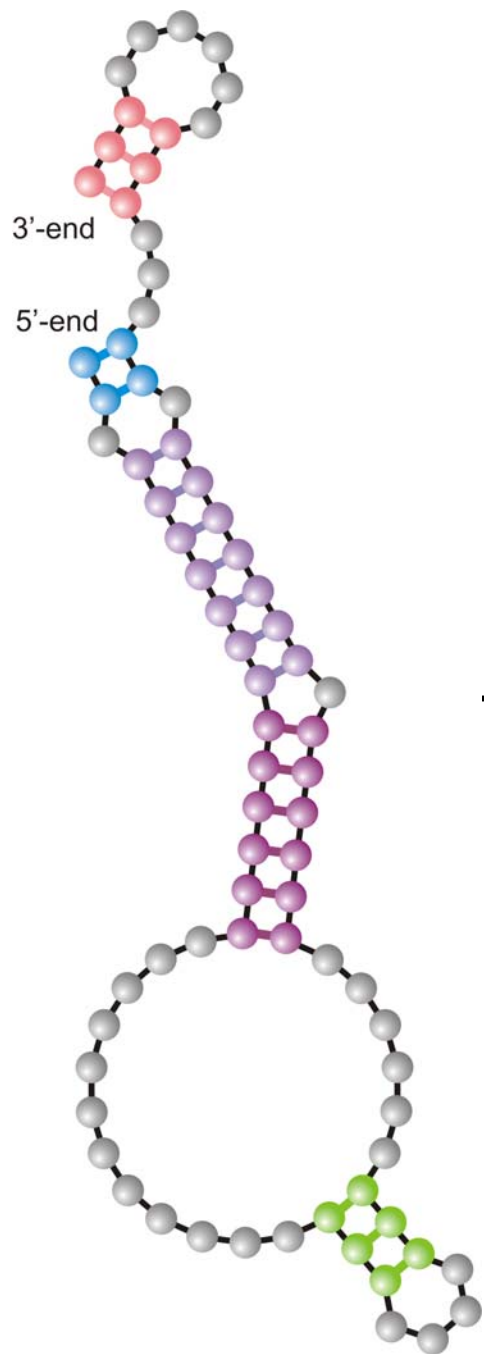
Bremen, 28.06.– 05.07.2009

Web-Page for further information:

<http://www.tbi.univie.ac.at/~pks>

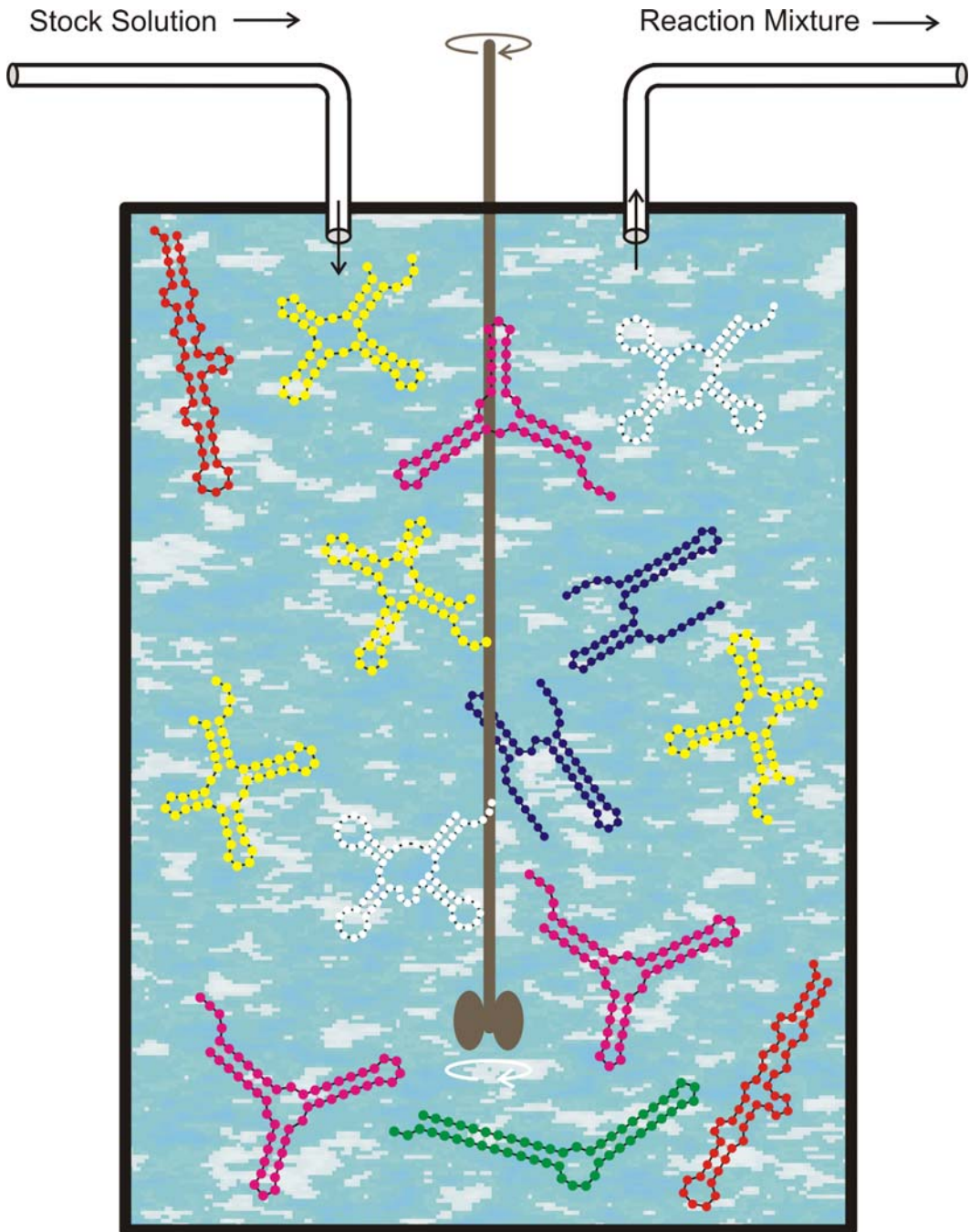
1. Reconstruction of evolutionary processes
2. Diffusion in sequence space and shape space
3. Continuous and discontinuous transitions
4. Mechanism of RNA optimization
5. Major transitions in evolution

1. **Reconstruction of evolutionary processes**
2. Diffusion in sequence space and shape space
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Structure of
randomly chosen
initial sequence

Phenylalanyl-tRNA as
target structure



Replication rate constant:

$$f_k = \gamma / [\alpha + \Delta d_S^{(k)}]$$

$$\Delta d_S^{(k)} = d_H(S_k, S_\tau)$$

Selection constraint:

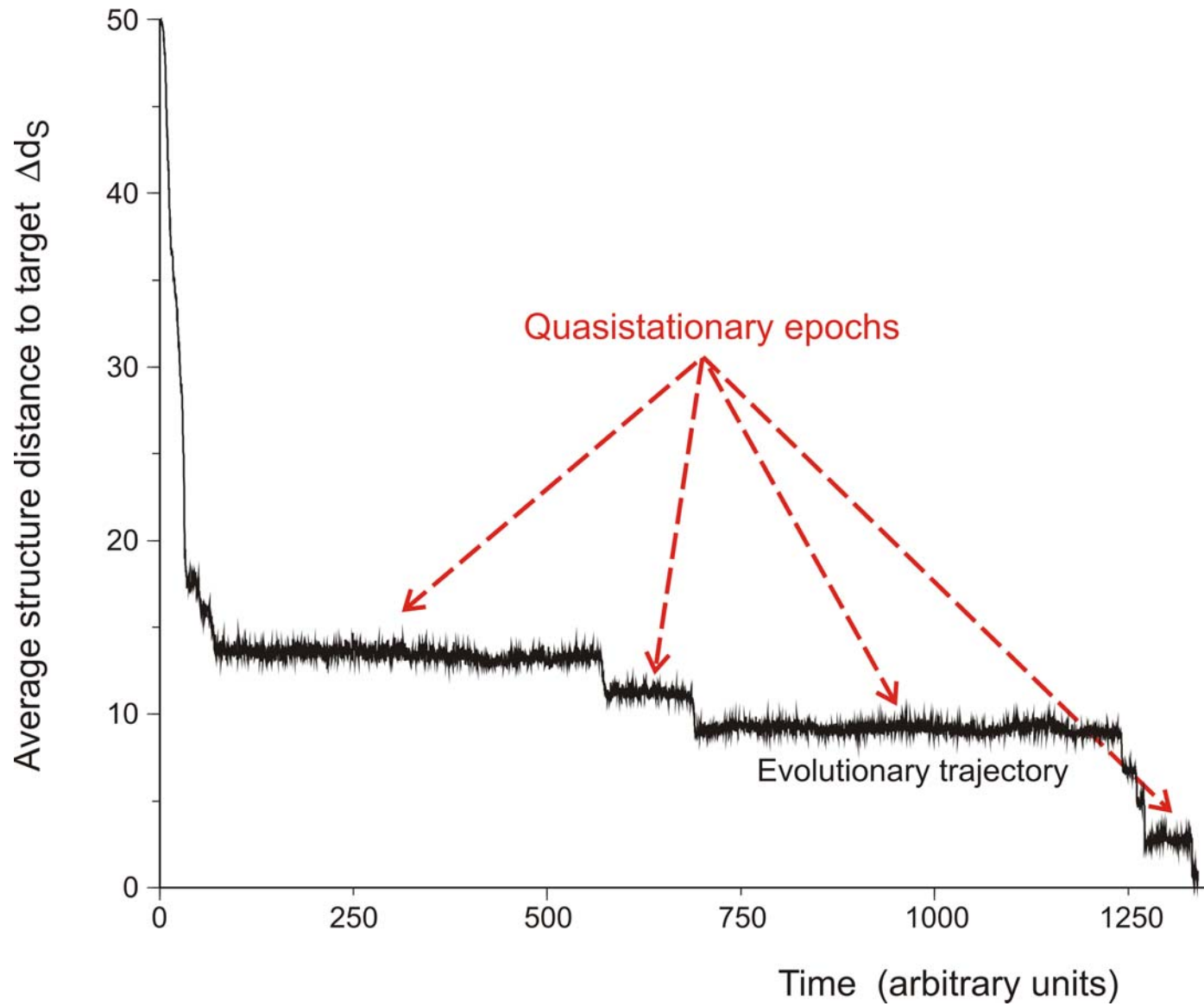
Population size, $N = \#$ RNA molecules, is controlled by the flow

$$N(t) \approx \bar{N} \pm \sqrt{\bar{N}}$$

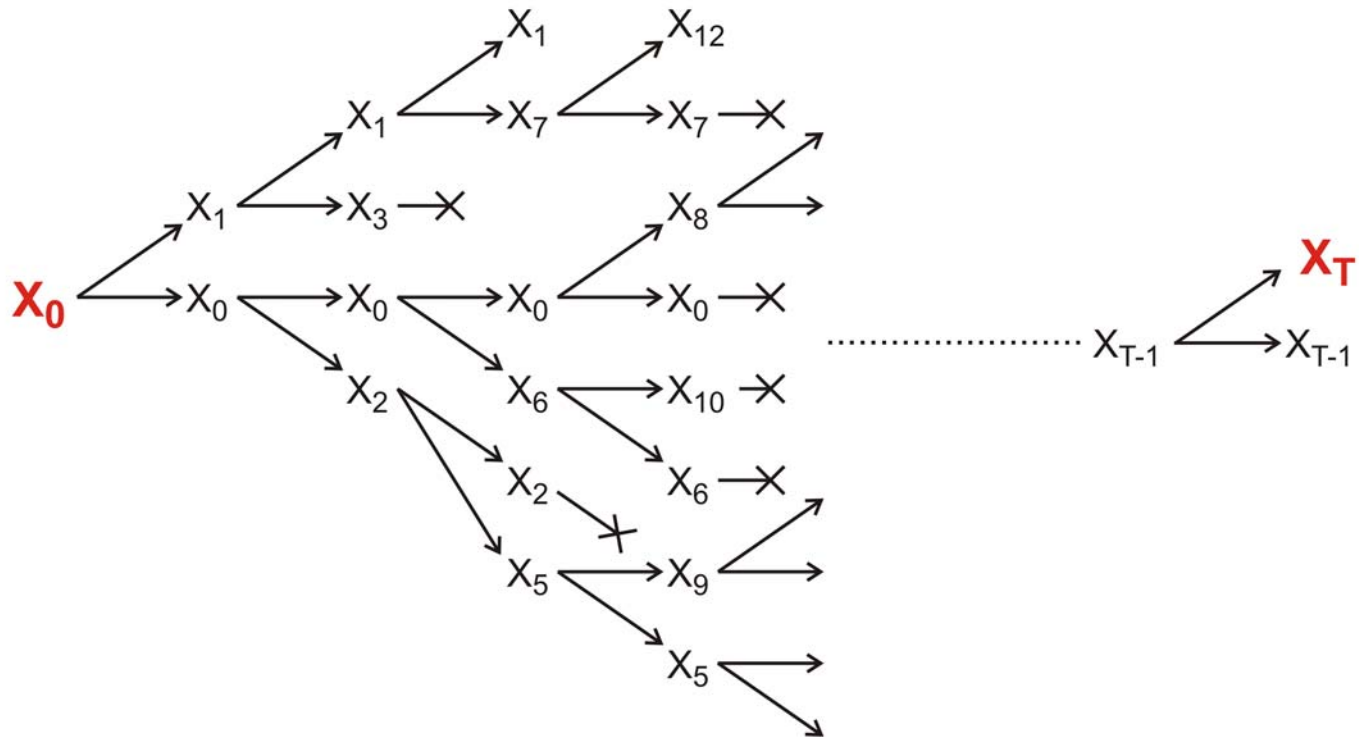
Mutation rate:

$$p = 0.001 / \text{site} \times \text{replication}$$

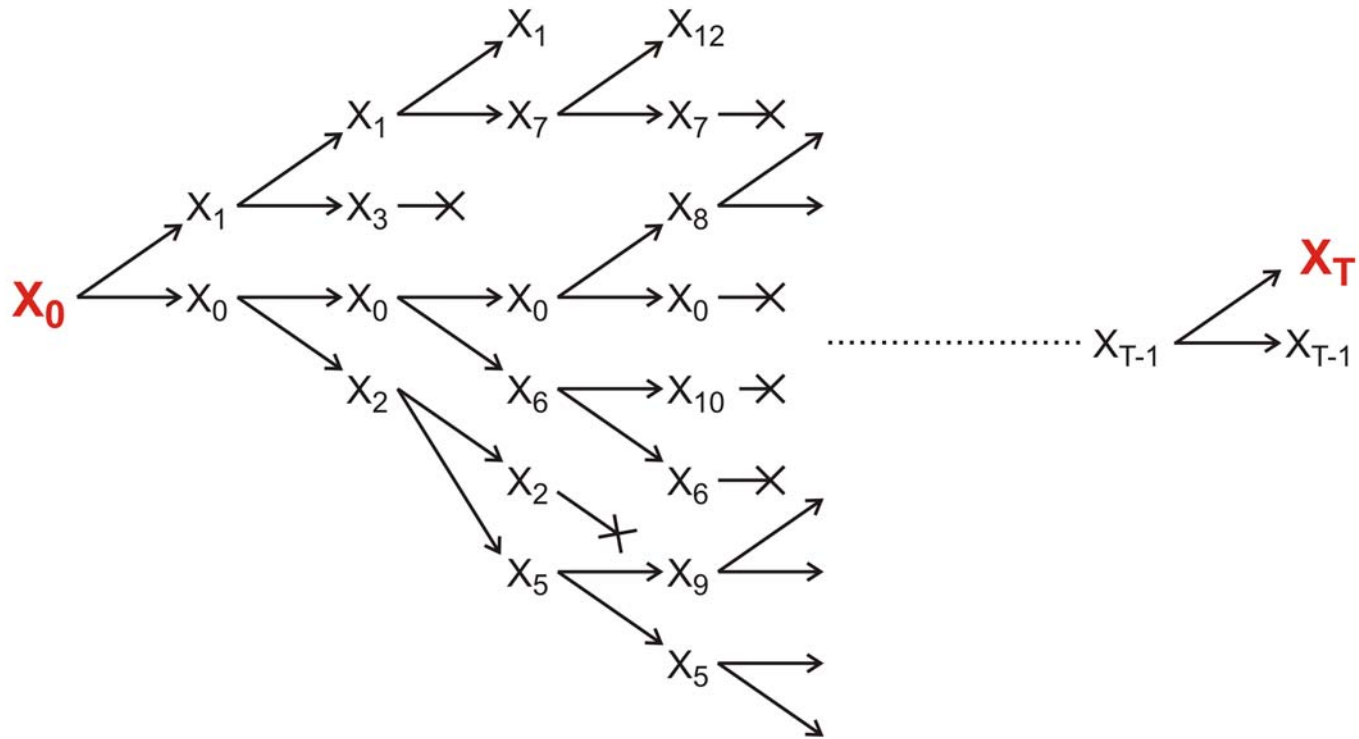
The flowreactor as a device for studies of evolution *in vitro* and *in silico*



In silico optimization in the flow reactor: Evolutionary Trajectory

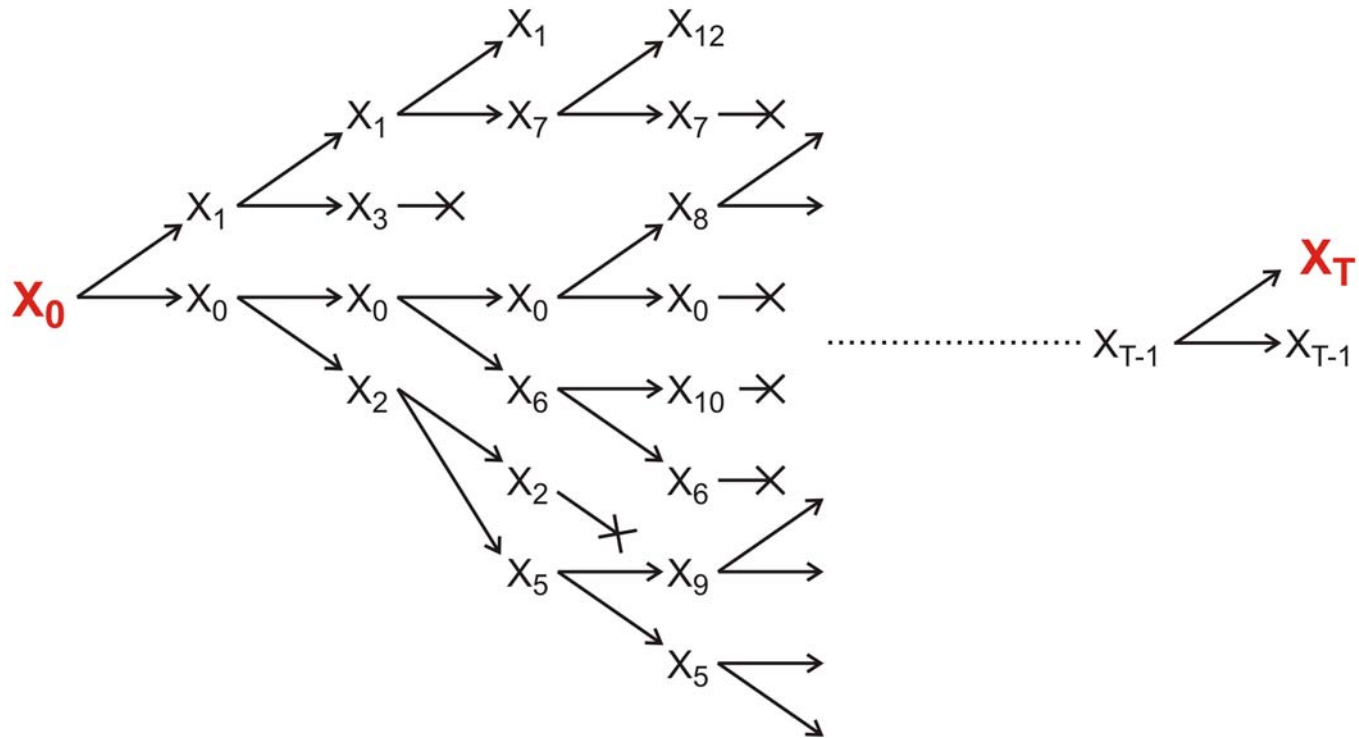


Evolution of RNA molecules as a Markow process and its analysis by means of the relay series



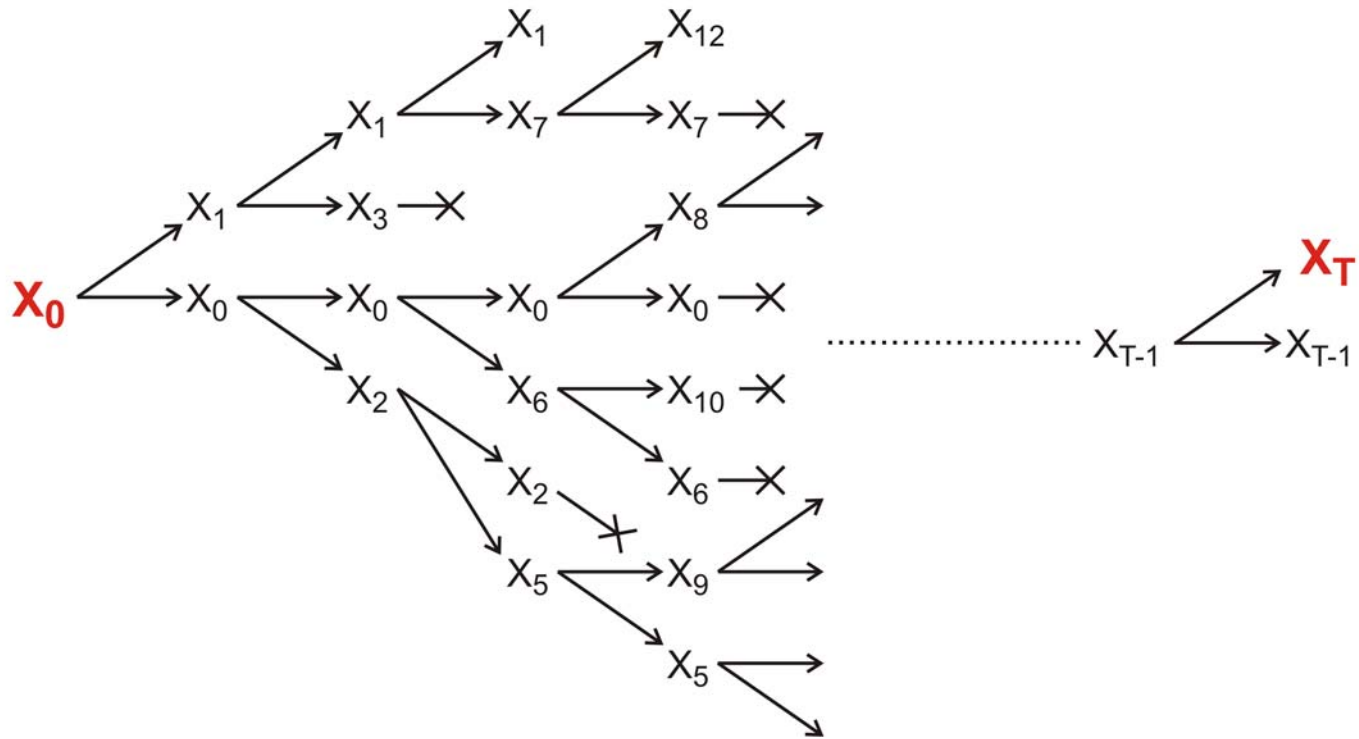
S_T

Evolution of RNA molecules as a Markow process and its analysis by means of the relay series



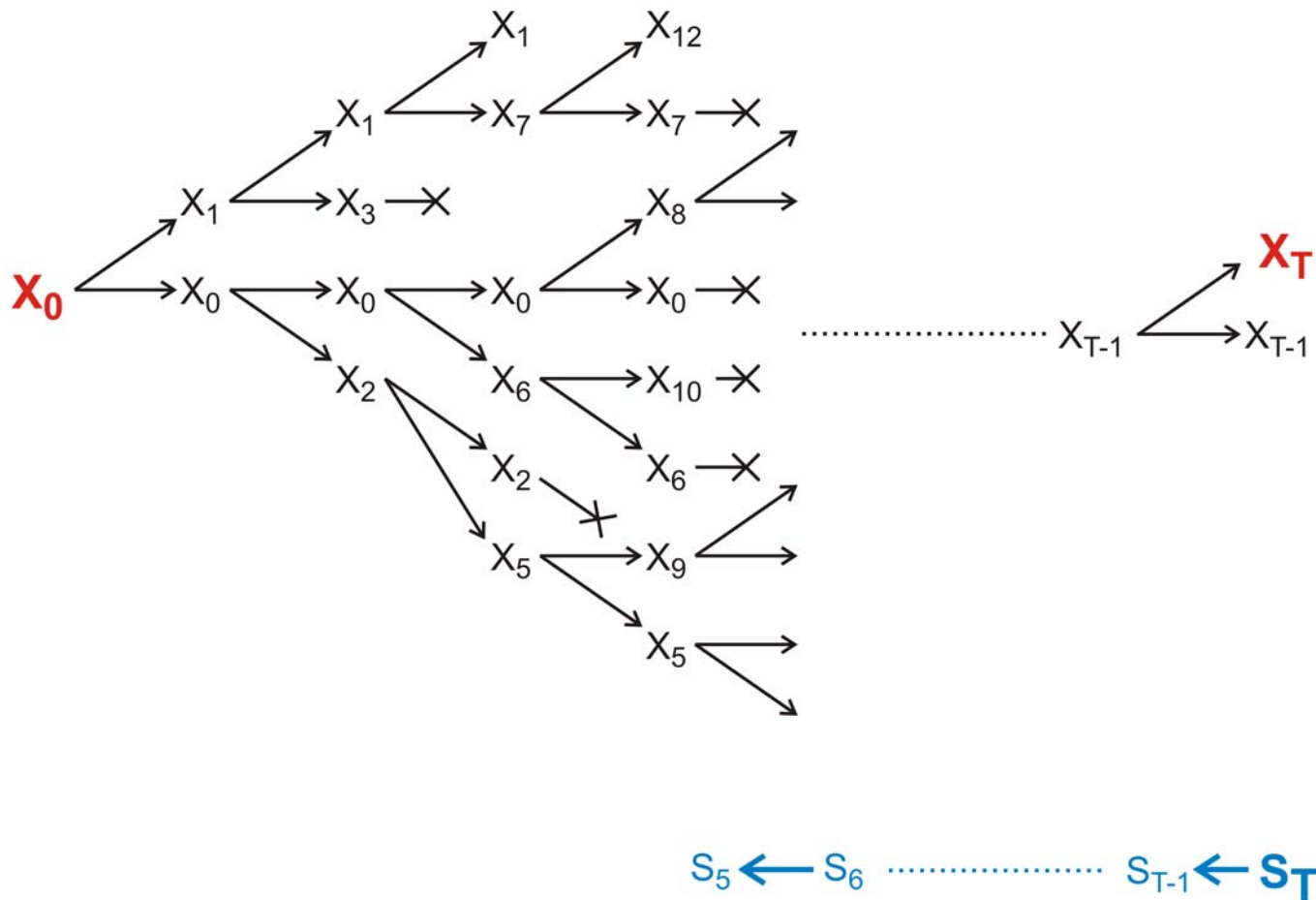
$S_{T-1} \leftarrow S_T$

Evolution of RNA molecules as a Markow process and its analysis by means of the relay series

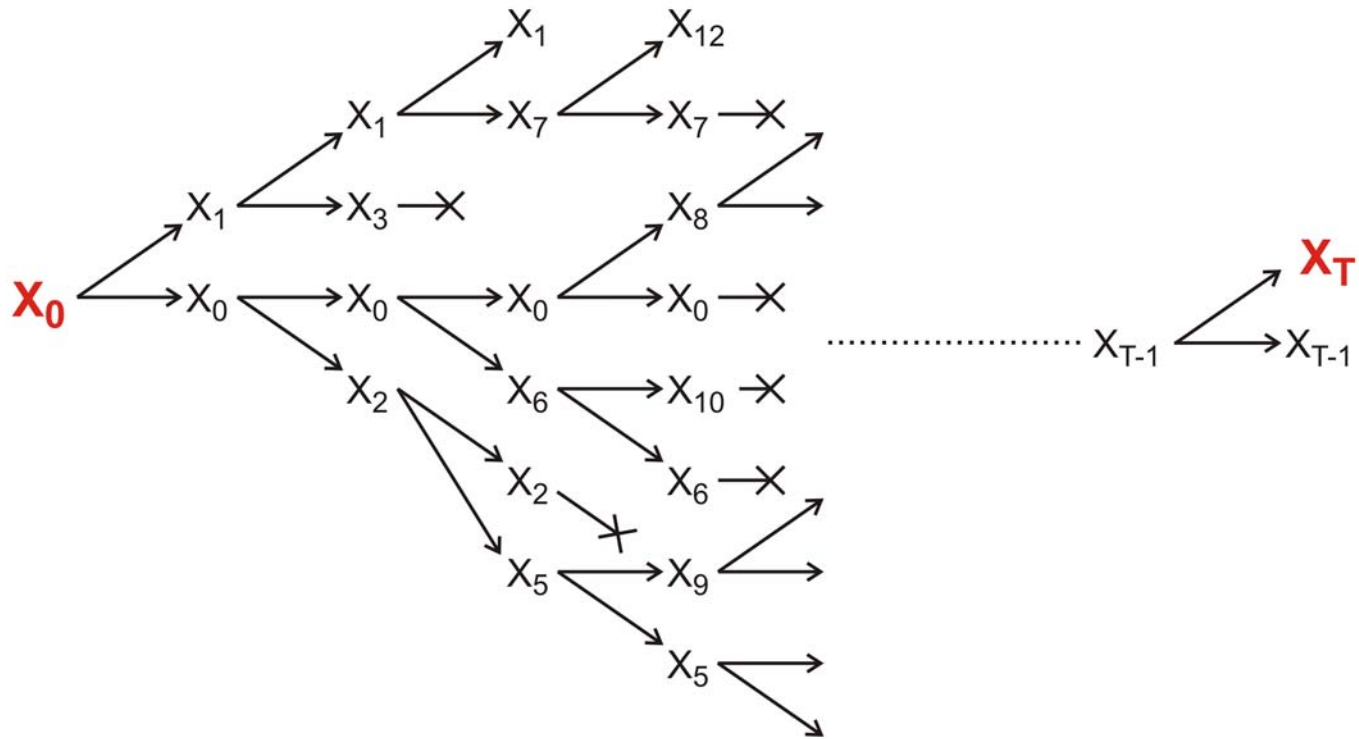


$S_6 \dots S_{T-1} \leftarrow S_T$

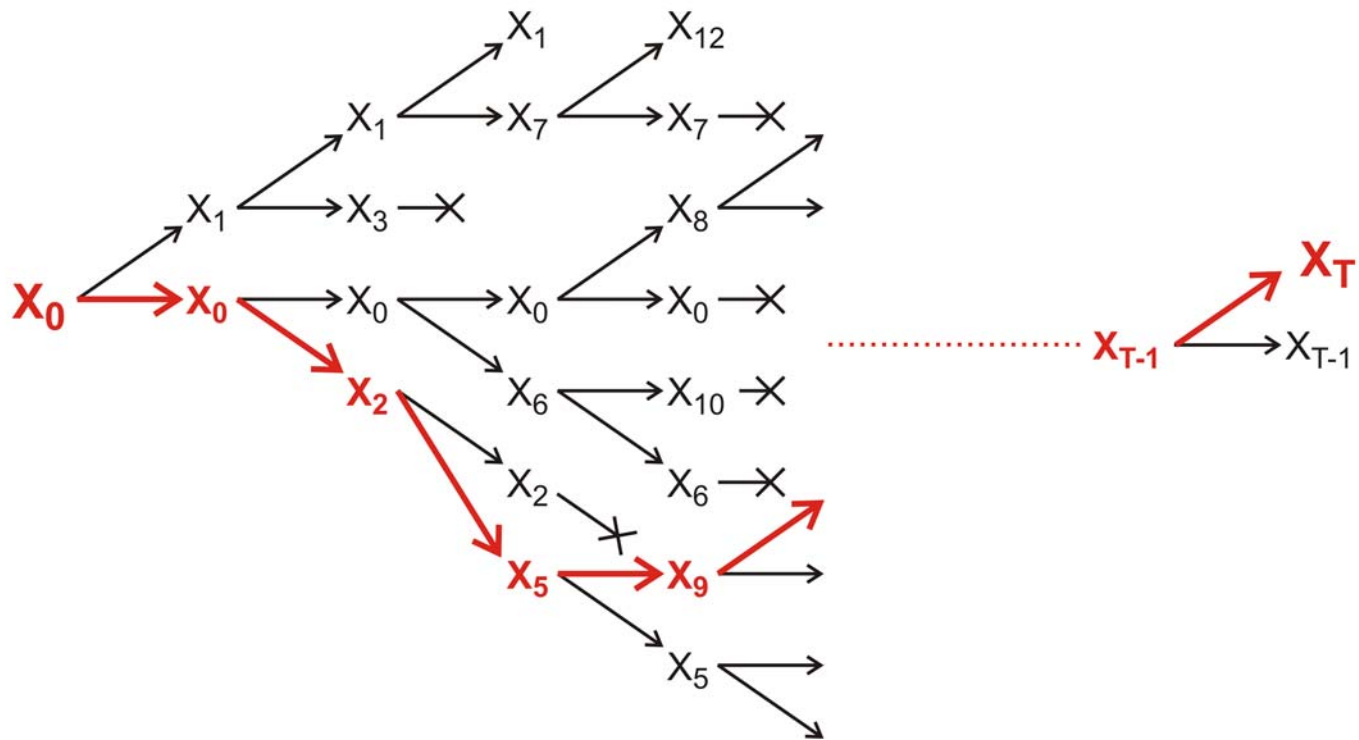
Evolution of RNA molecules as a Markow process and its analysis by means of the relay series



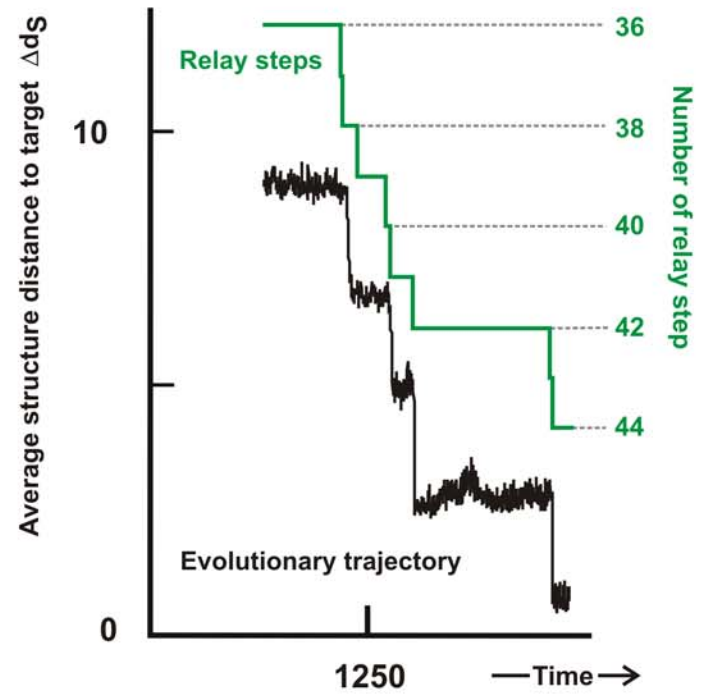
Evolution of RNA molecules as a Markow process and its analysis by means of the relay series



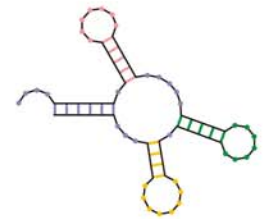
Evolution of RNA molecules as a Markow process and its analysis by means of the relay series



Evolution of RNA molecules as a Markow process and its analysis by means of the relay series

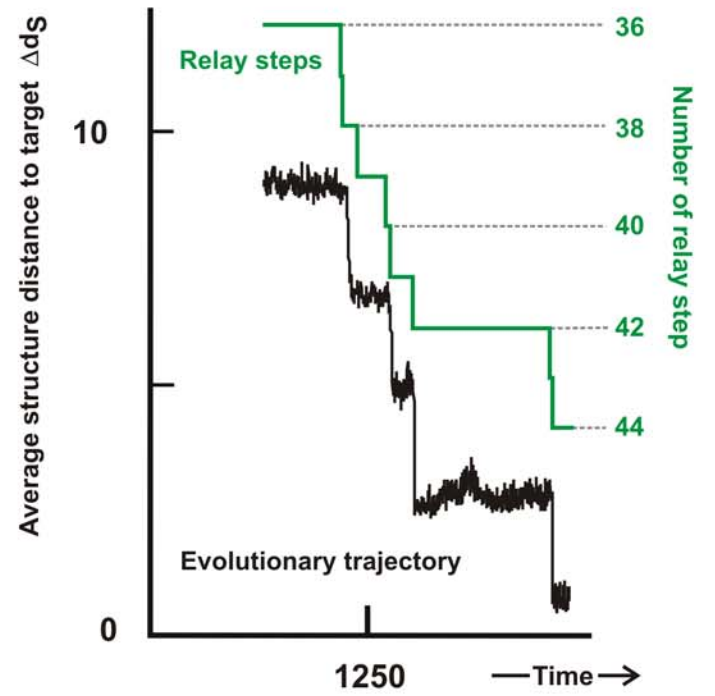


Evolutionary process

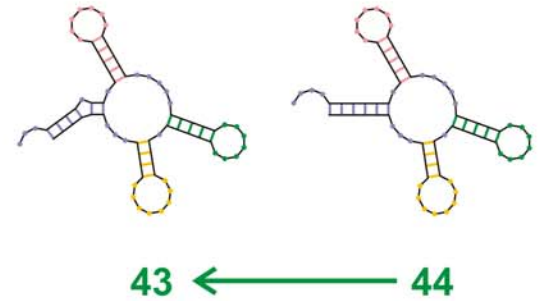


44

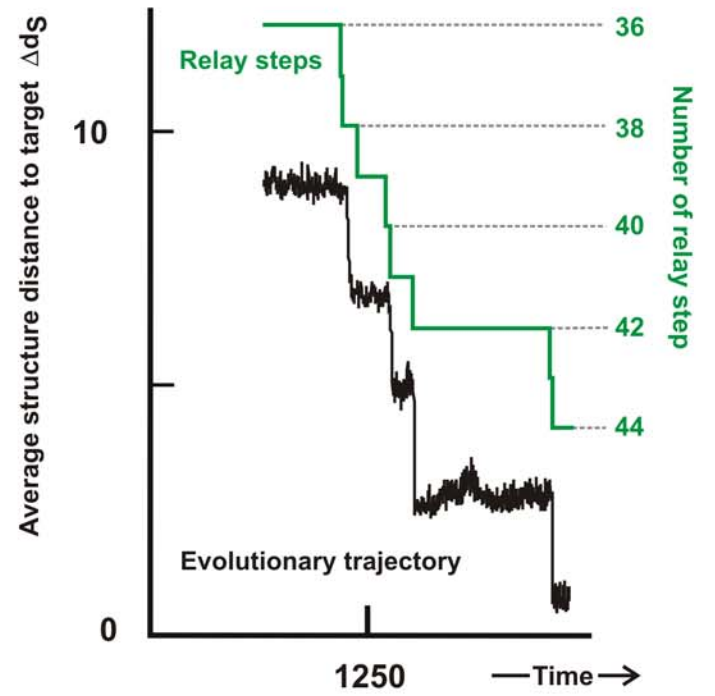
Reconstruction



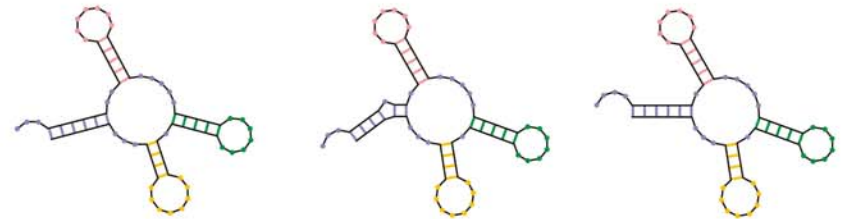
Evolutionary process



Reconstruction

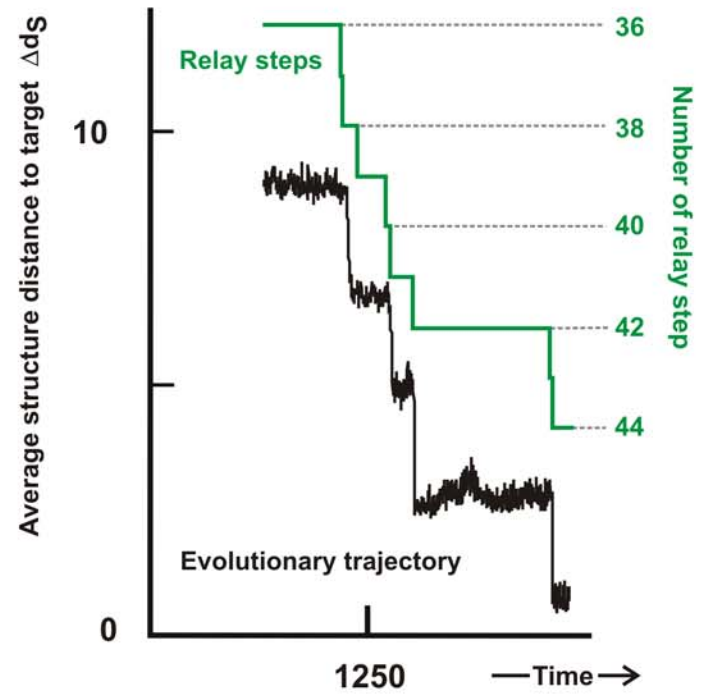


Evolutionary process

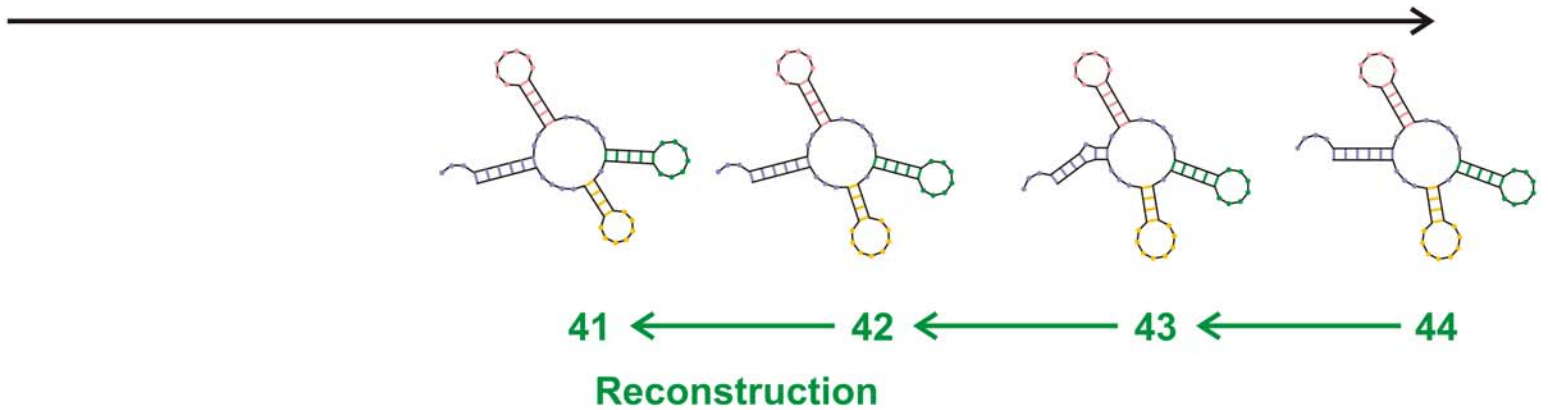


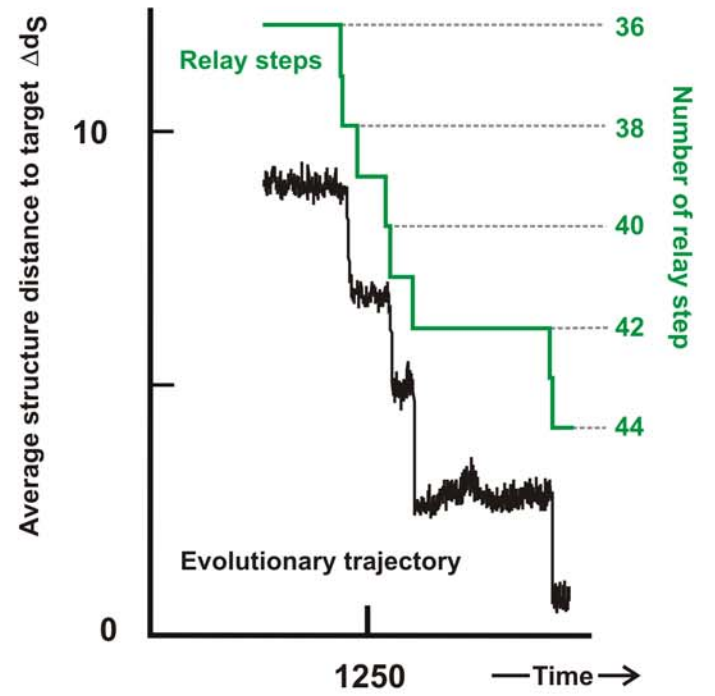
42 ← 43 ← 44

Reconstruction

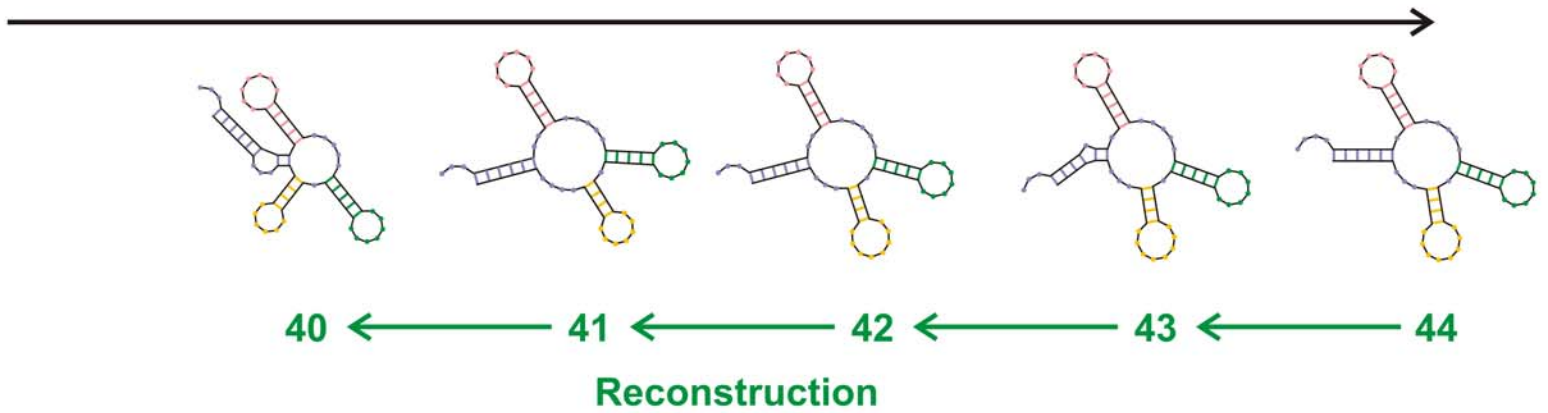


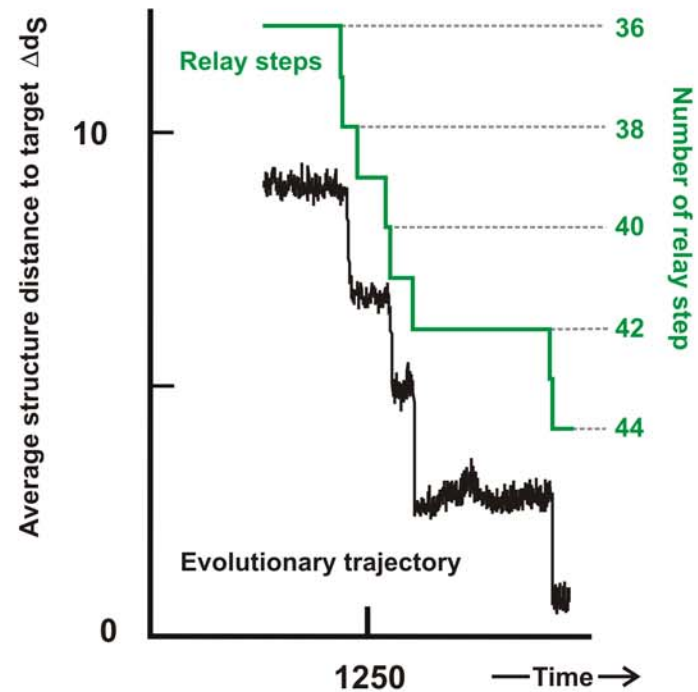
Evolutionary process



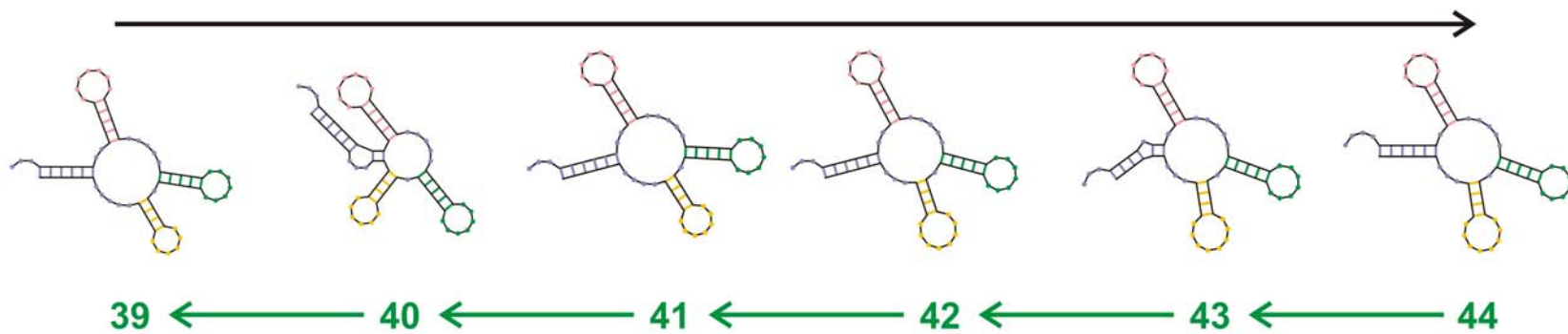


Evolutionary process



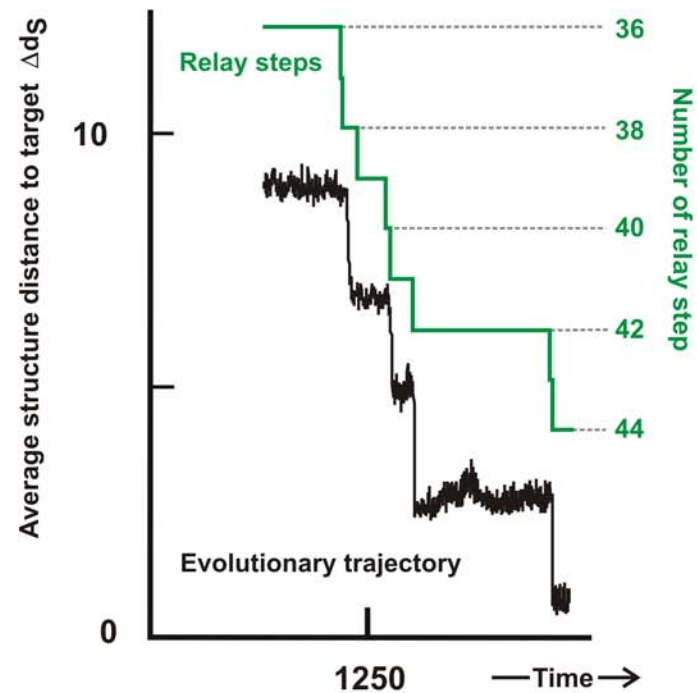
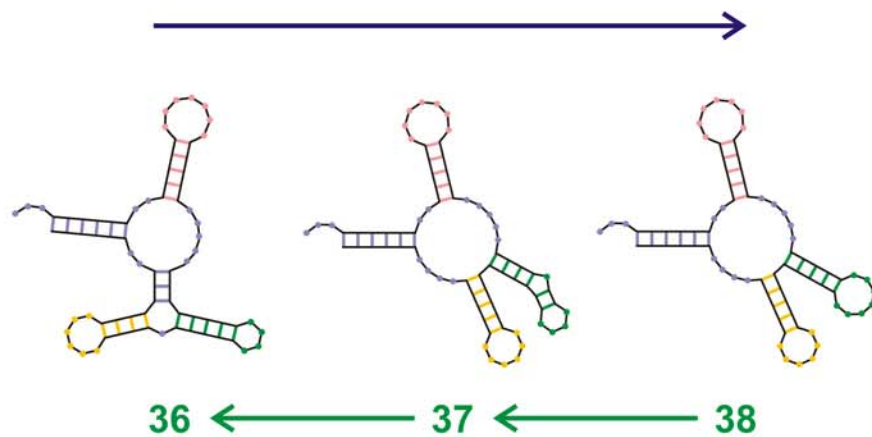


Evolutionary process

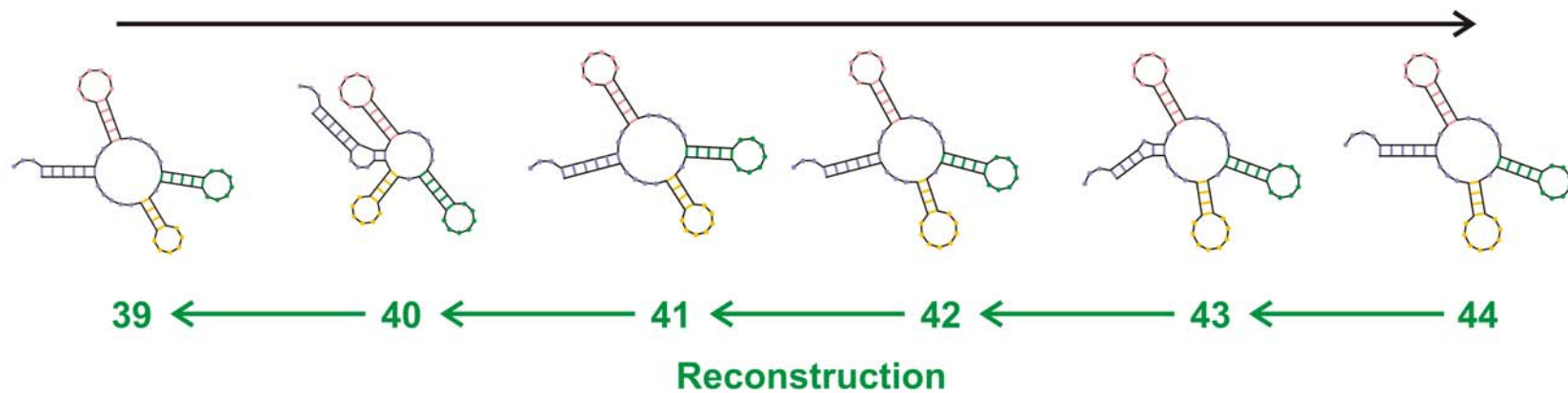


Reconstruction

Major transition leading to clover leaf

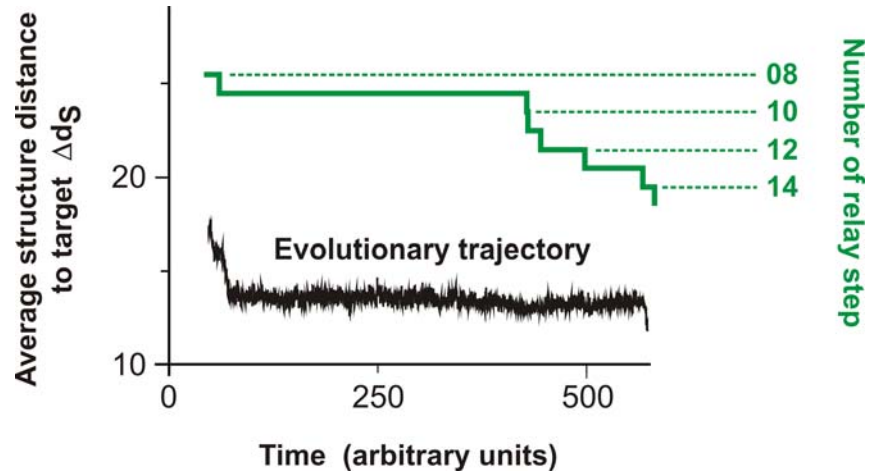


Evolutionary process



1. Reconstruction of evolutionary processes
2. **Diffusion in sequence space and shape space**
3. Continuous and discontinuous transitions
4. Mechanism of RNA optimization
5. Major transitions in evolution

28 neutral point mutations during a long quasi-stationary epoch



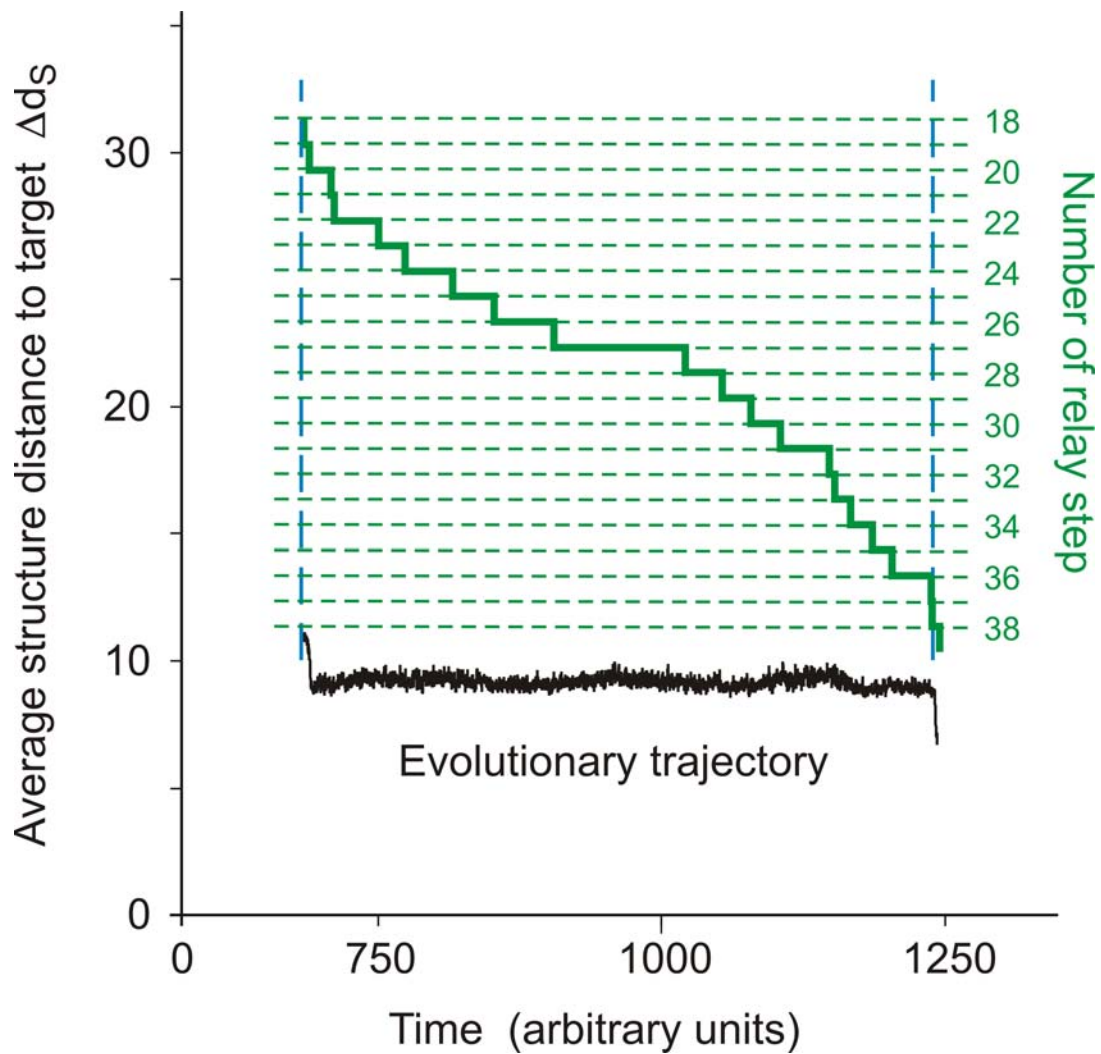
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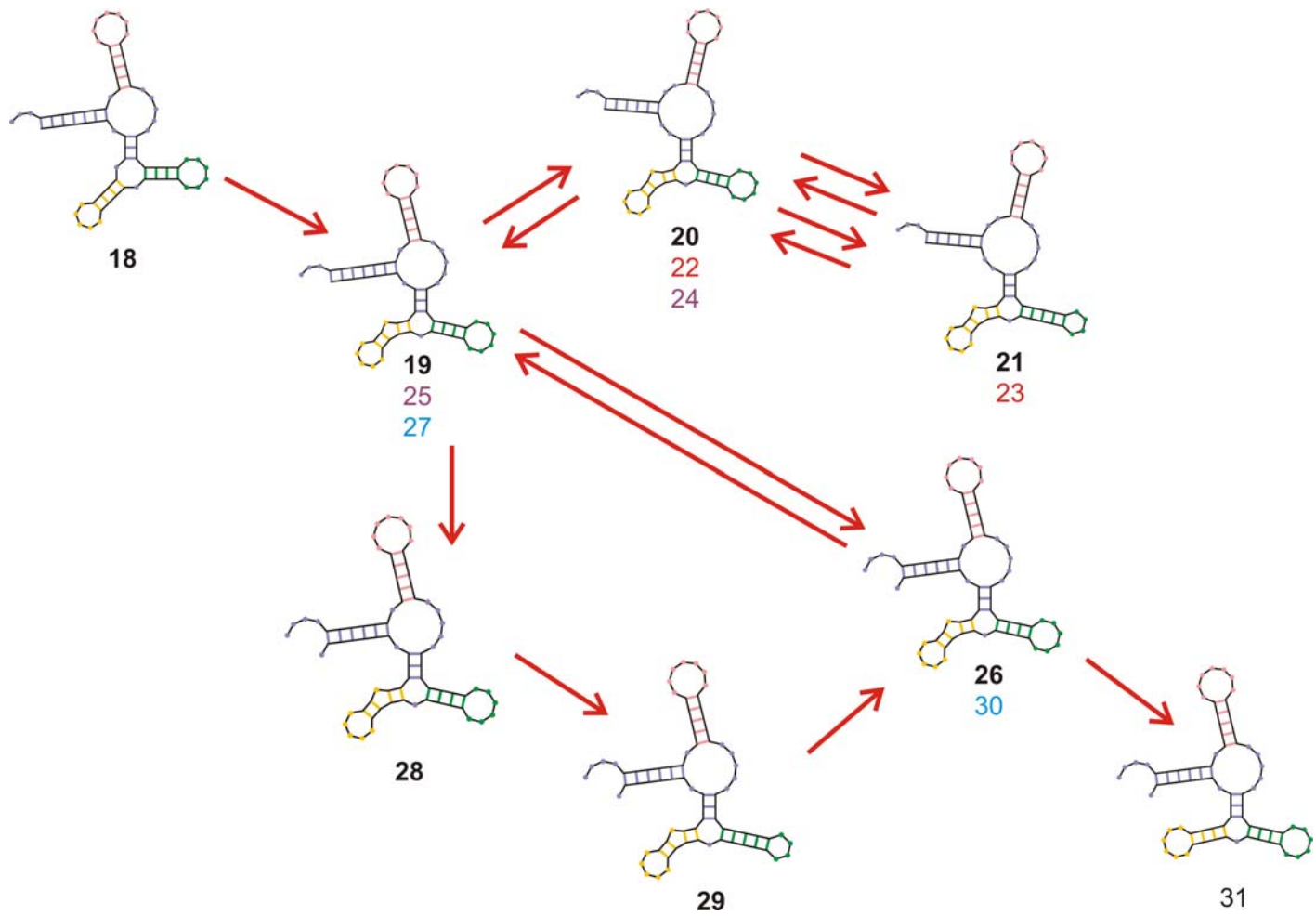
entry  GGUAUGGGCGUUGAAUAGUAGGGUUUAAACCAAUCGGCAACGAUCUCGUGUGCGCAUUUCAUAUCCCGUACAGAA
 8      .(((((((((((((. . . . . (((. . . . .)))) . . . . .)))))) . . . . .(((((. . . . .))))))))) . . . .
exit   GGUAUGGGCGUUGAAUAAUAGGGUUUAAACCAAUCGGCCAACGAUCUCGUGUGCGCAUUUCAUAUCCAUACAGAA
entry  GGUAUGGGCGUUGAAUAAUAGGGUUUAAACCAAUCGGCCAACGAUCUCGUGUGCGCAUUUCAUAUACCAUAACAGAA
 9      .((((((. ((((. . . . . (((. . . . .)))) . . . . .)))) . . . . .(((((. . . . .)))) . )))) . . . .
exit   UGGAUGGACGUUGAAUAACAAGGUAUCGACCAAACAACCAACGAGUAAGUGUGUACGCCCCACACCCGUCCCAAG
entry  UGGAUGGACGUUGAAUAACAAGGUAUCGACCAAACAACCAACGAGUAAGUGUGUACGCCCCACACGCGUCCCAAG
10     .(((((. . ((((. . . . . (((. . . . .)))) . . . . .)))) . . . . .(((((. . . . .)))) . )))) . . . .
exit   UGGAUGGACGUUGAAUAACAAGGUAUCGACCAAACAACCAACGAGUAAGUGUGUACGCCCCACACAGCGUCCCAAG
  
```

Transition inducing point mutations
change the molecular structure

Neutral point mutations leave the
molecular structure unchanged

Neutral genotype evolution during phenotypic stasis

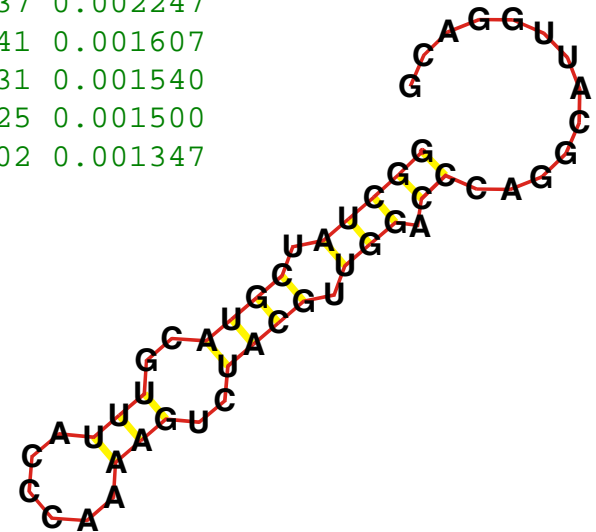




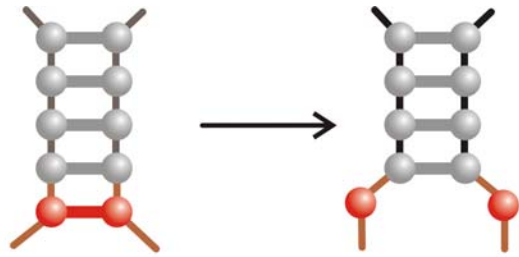
1. Reconstruction of evolutionary processes
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	Number	Mean Value	Variance	Std.Dev.
Total Hamming Distance:	150000	11.647973	23.140715	4.810480
Nonzero Hamming Distance:	99875	16.949991	30.757651	5.545958
Degree of Neutrality:	50125	0.334167	0.006961	0.083434
Number of Structures:	1000	52.31	85.30	9.24

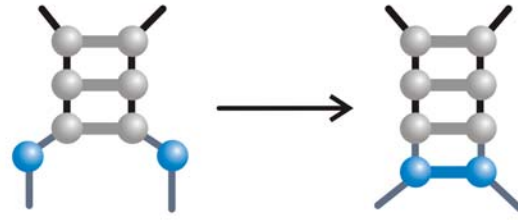
1	(((((.((((..(((.....))))..))))..)))..)).....	50125	0.334167
2	..(((.((((..(((.....))))..))))..))).....	2856	0.019040
3	(((((.((((..(((.....))))..))))..))).....	2799	0.018660
4	(((((.((((..(((.....))))..))))..))).....	2417	0.016113
5	(((((.((((..(((.....))))..))))..))).....	2265	0.015100
6	(((((.((((..(((.....))))..))))..))).....	2233	0.014887
7	(((((..(((..(((.....))))..))))..))).....	1442	0.009613
8	(((((.((((..(((.....))))..))))..))).....	1081	0.007207
9	(((((..(((..(((.....))))..))))..))).....	1025	0.006833
10	(((((.((((..(((.....))))..))))..))).....	1003	0.006687
11	..(((.((((..(((.....))))..))))..))).....	963	0.006420
12	(((((.((((..(((.....))))..))))..))).....	860	0.005733
13	(((((.((((..(((.....))))..))))..))).....	800	0.005333
14	(((((.((((..(((.....))))..))))..))).....	548	0.003653
15	(((((.((((.....))))..))))..))).....	362	0.002413
16	(((((.((((..(((.....))))..))))..))).....	337	0.002247
17	..(((.((((..(((.....))))..))))..))).....	241	0.001607
18	(((((.((((..(((.....))))..))))..))).....	231	0.001540
19	(((((..(((..(((.....))))..))))..))).....	225	0.001500
20	(((((..(((..(((.....))))..))))..))).....	202	0.001347



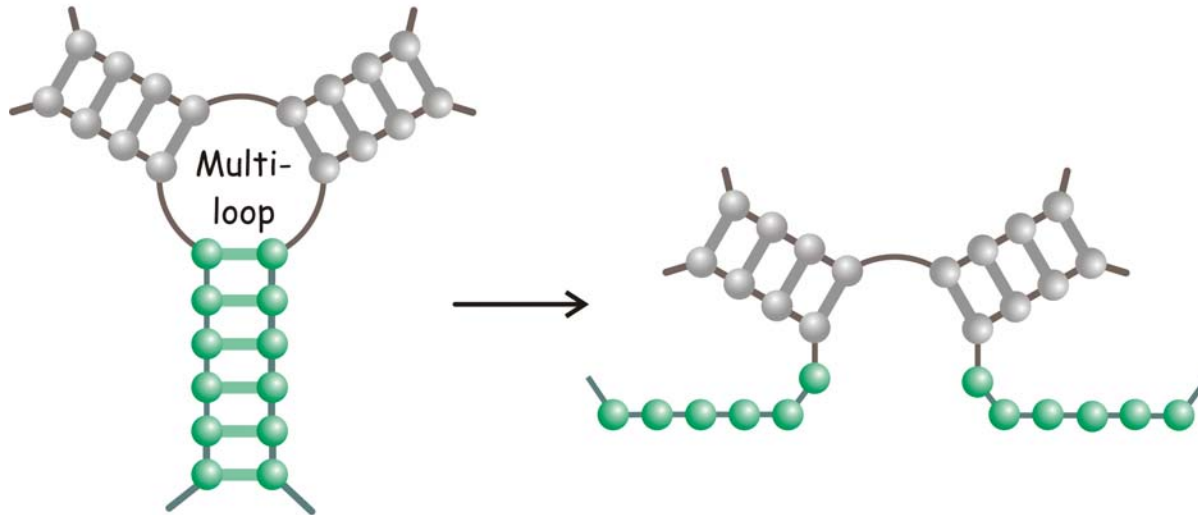
Shadow – Surrounding of an RNA structure in shape space:
AUGC alphabet, chain length n=50



Shortening of Stacks



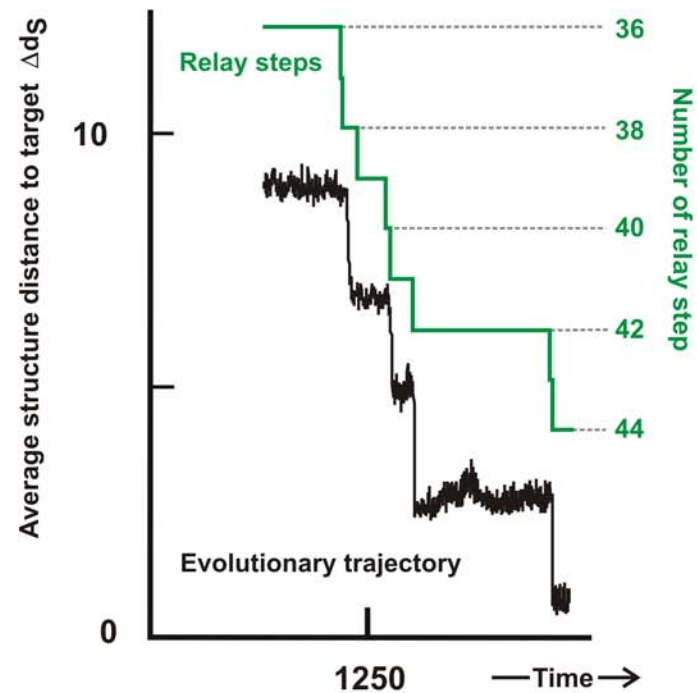
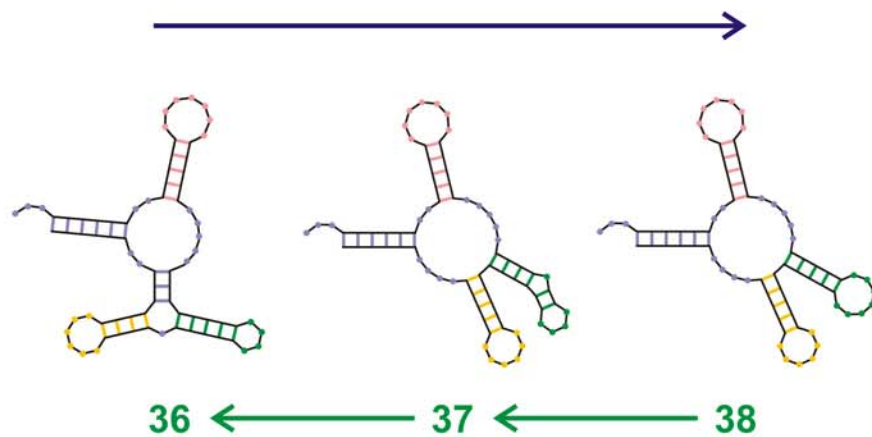
Elongation of Stacks



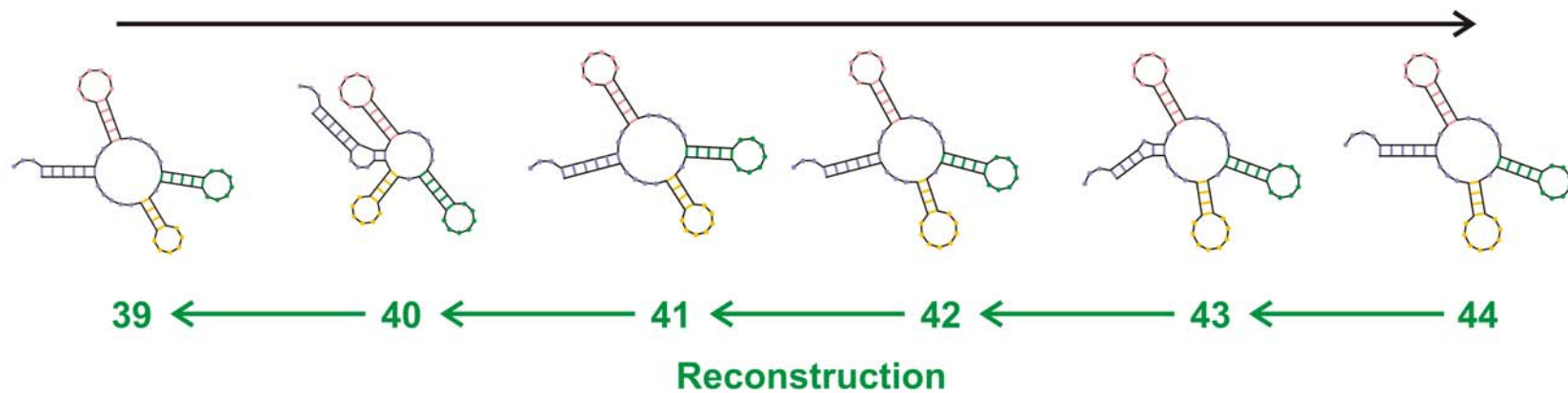
Opening of Constrained Stacks

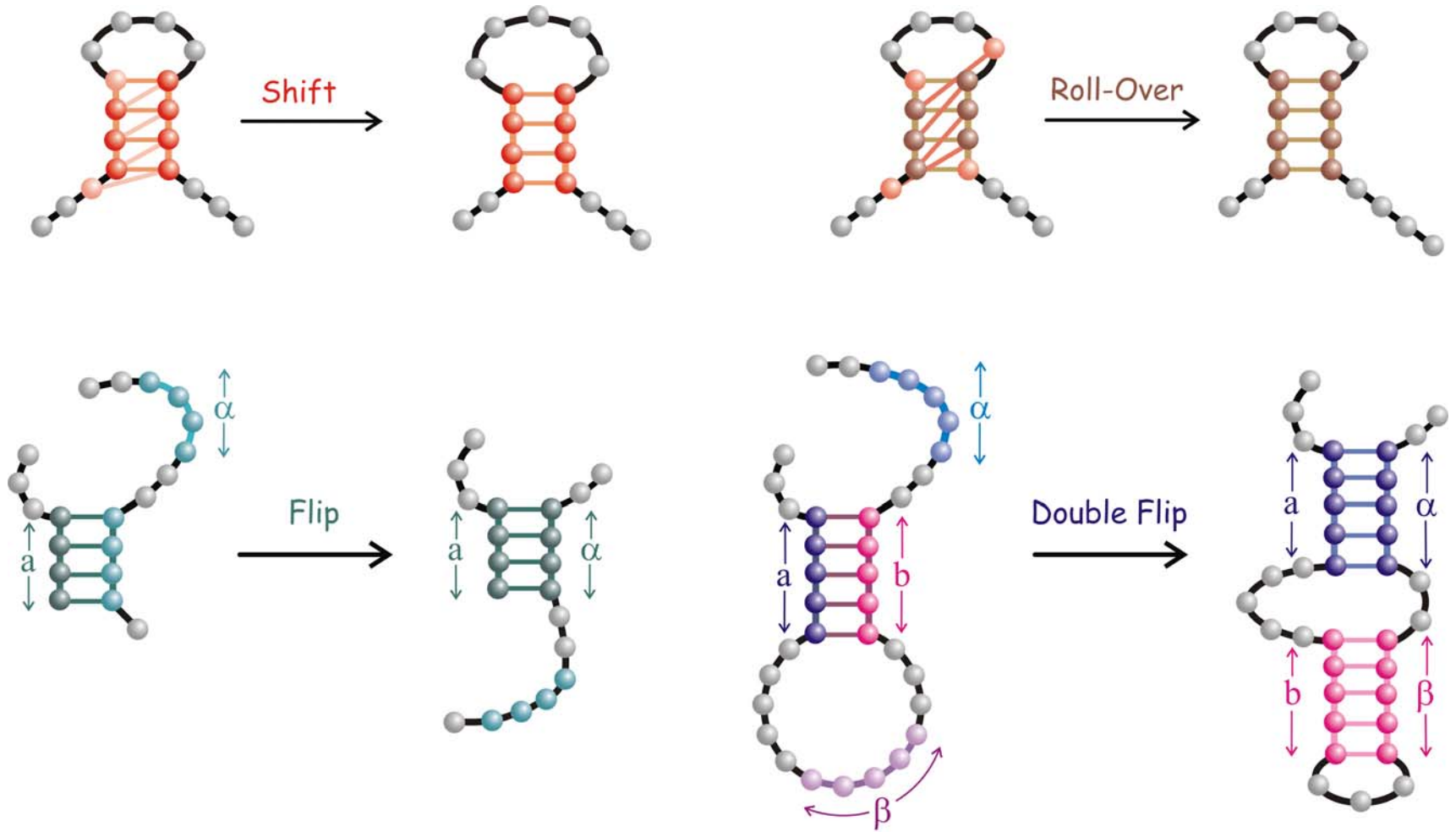
Continuous Transitions in RNA Secondary Structures

Major transition leading to clover leaf

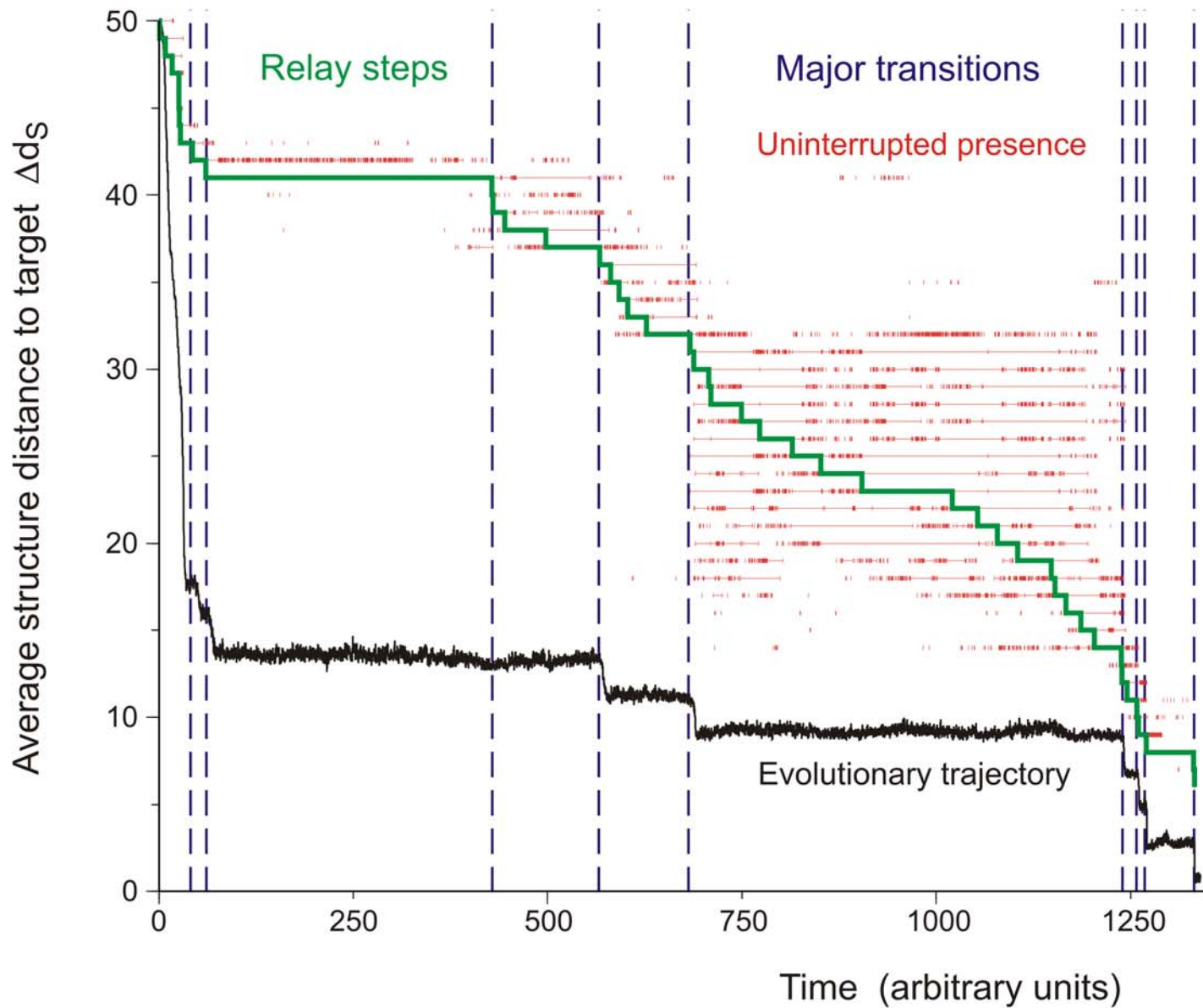


Evolutionary process

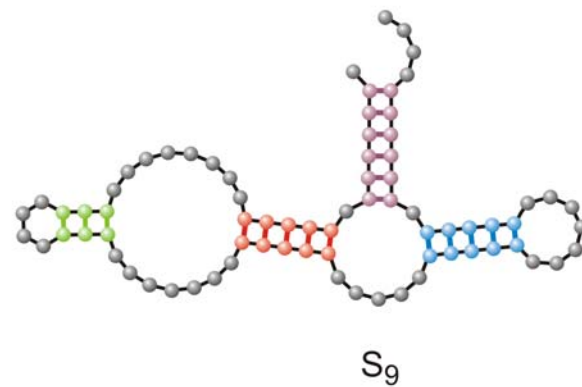
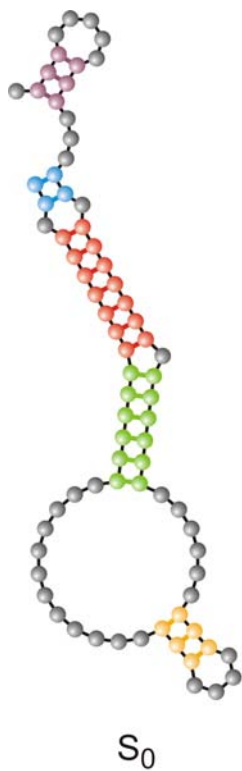




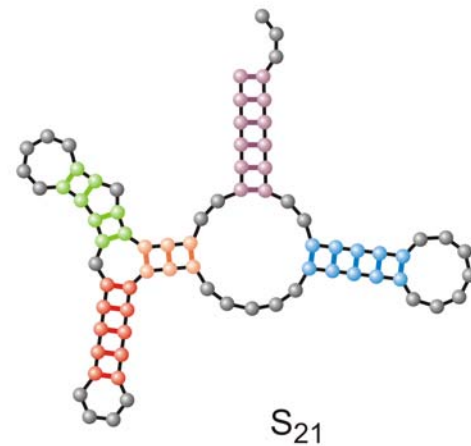
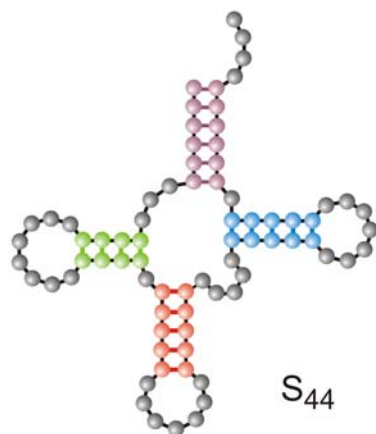
Discontinuous Transitions in RNA Secondary Structures



Randomly chosen
initial structure



Phenylalanyl-tRNA
as target structure

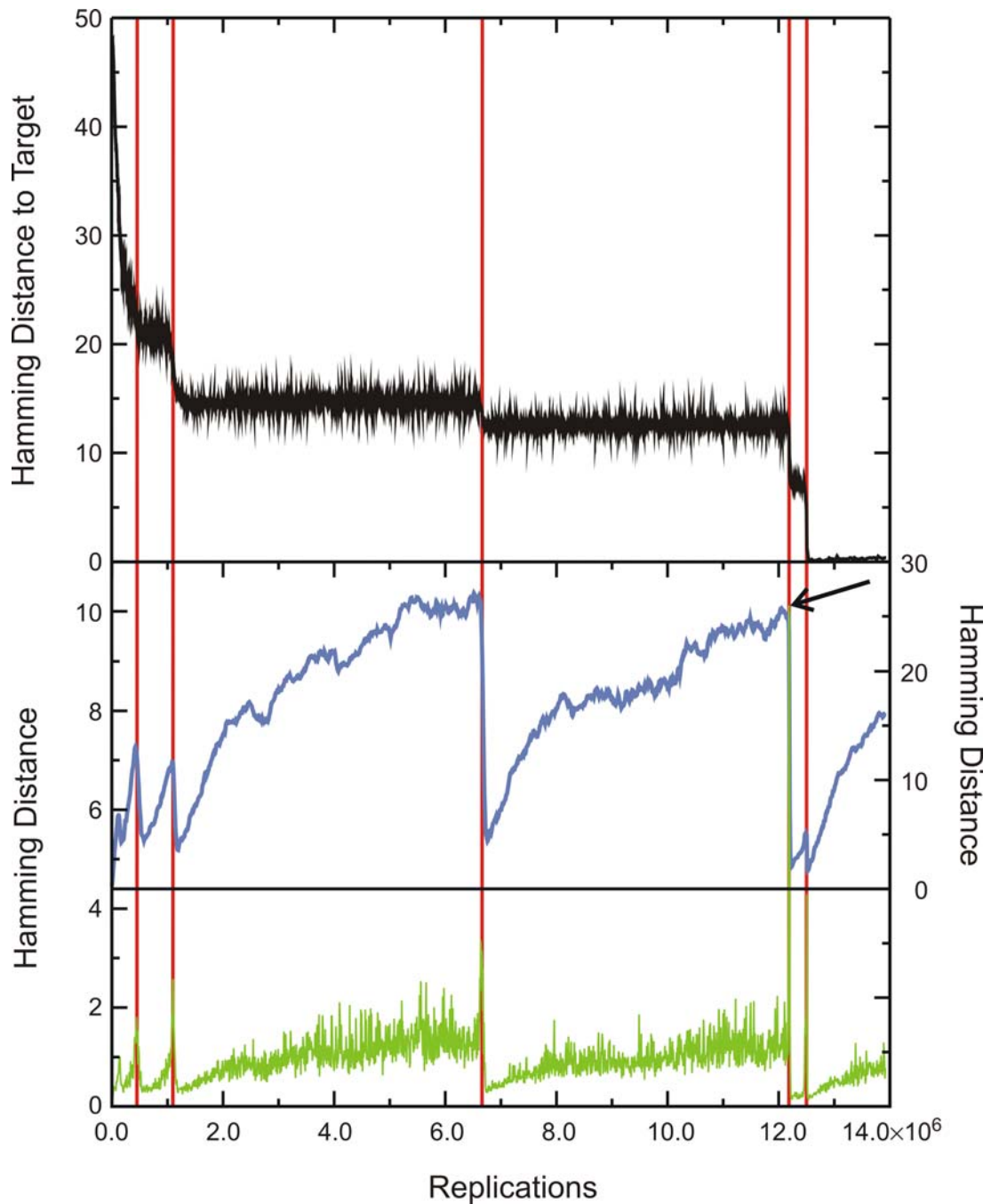


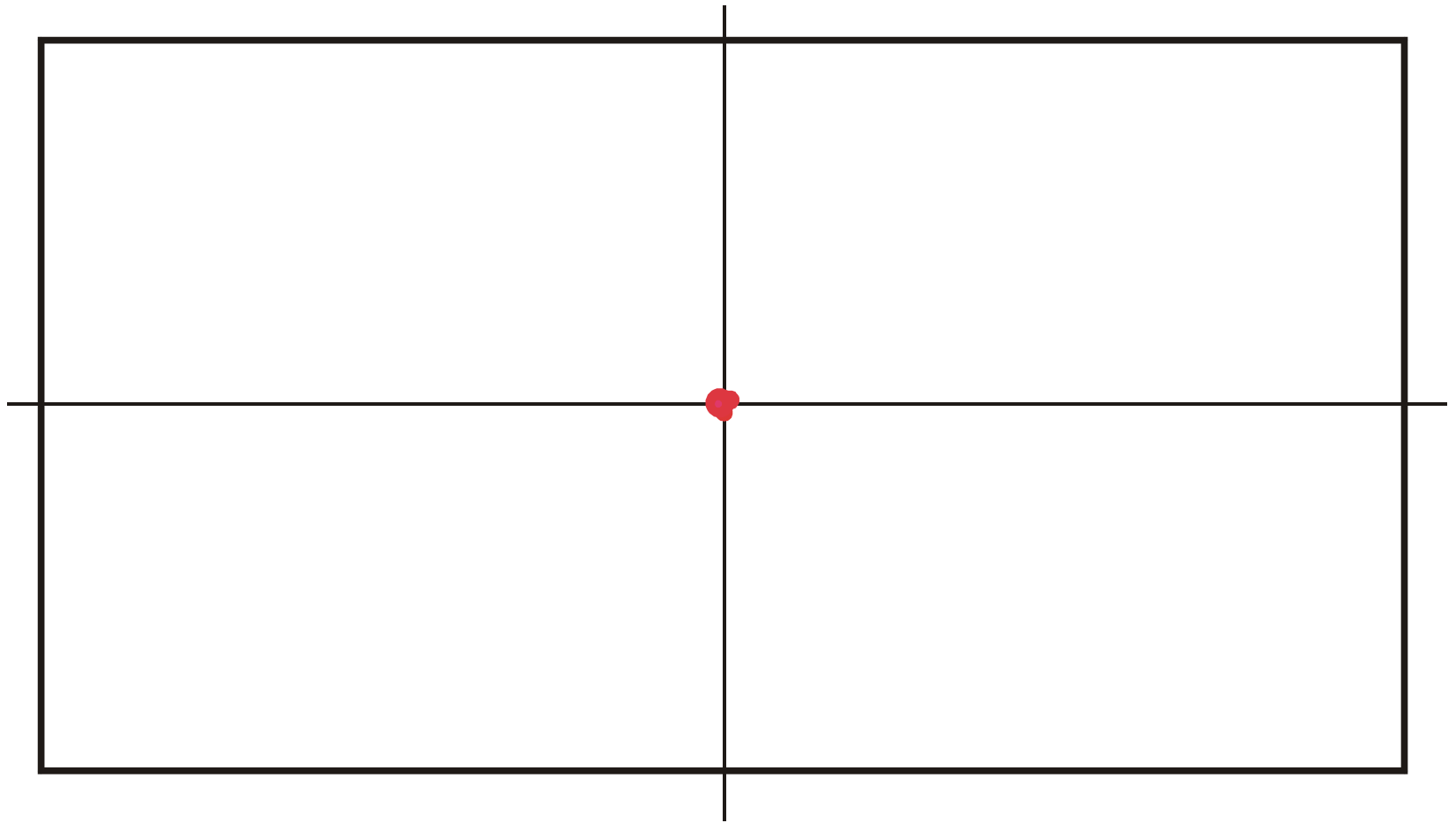
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Evolutionary trajectory

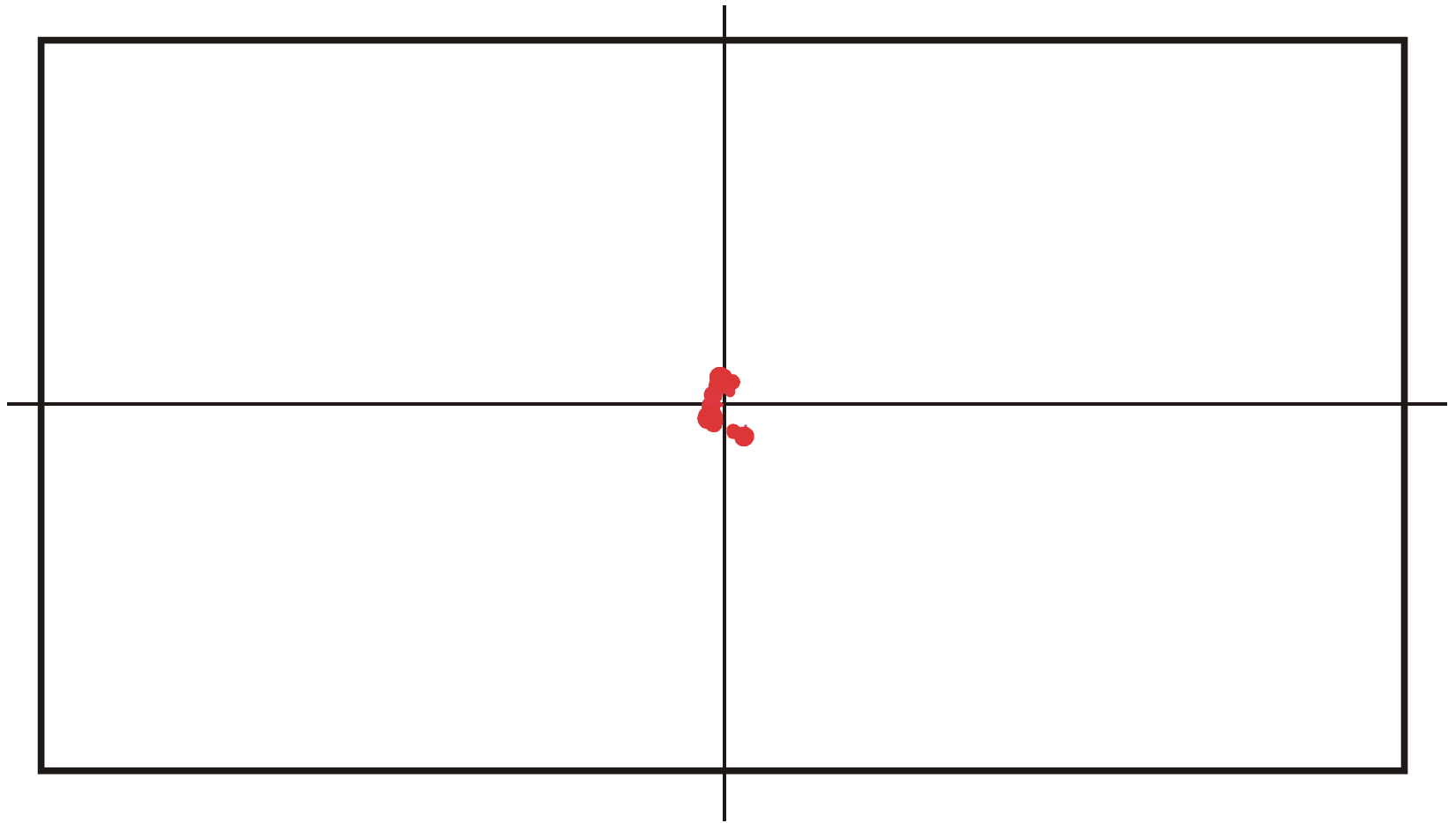
Spreading of the population on neutral networks

Drift of the population center in sequence space

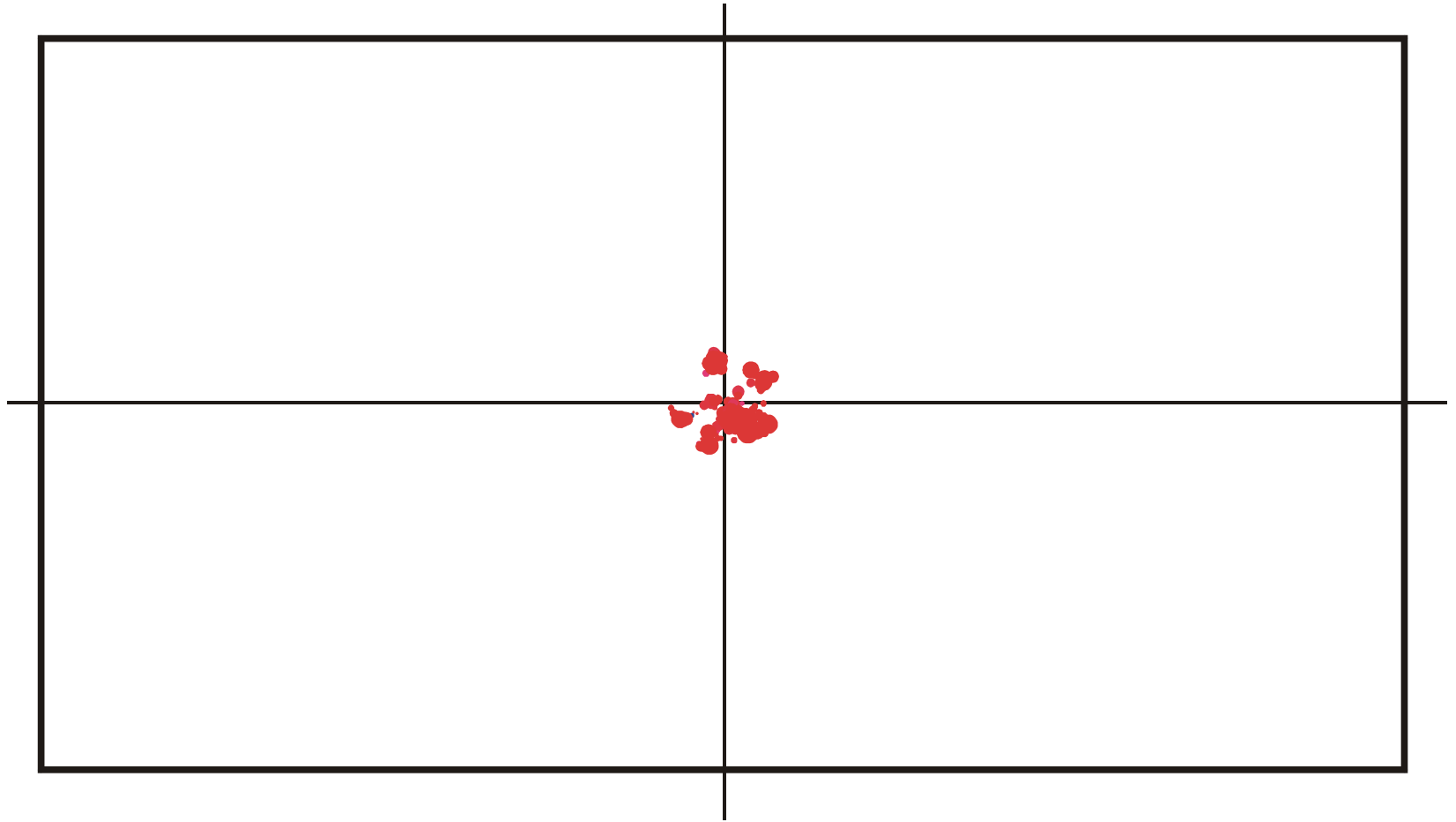




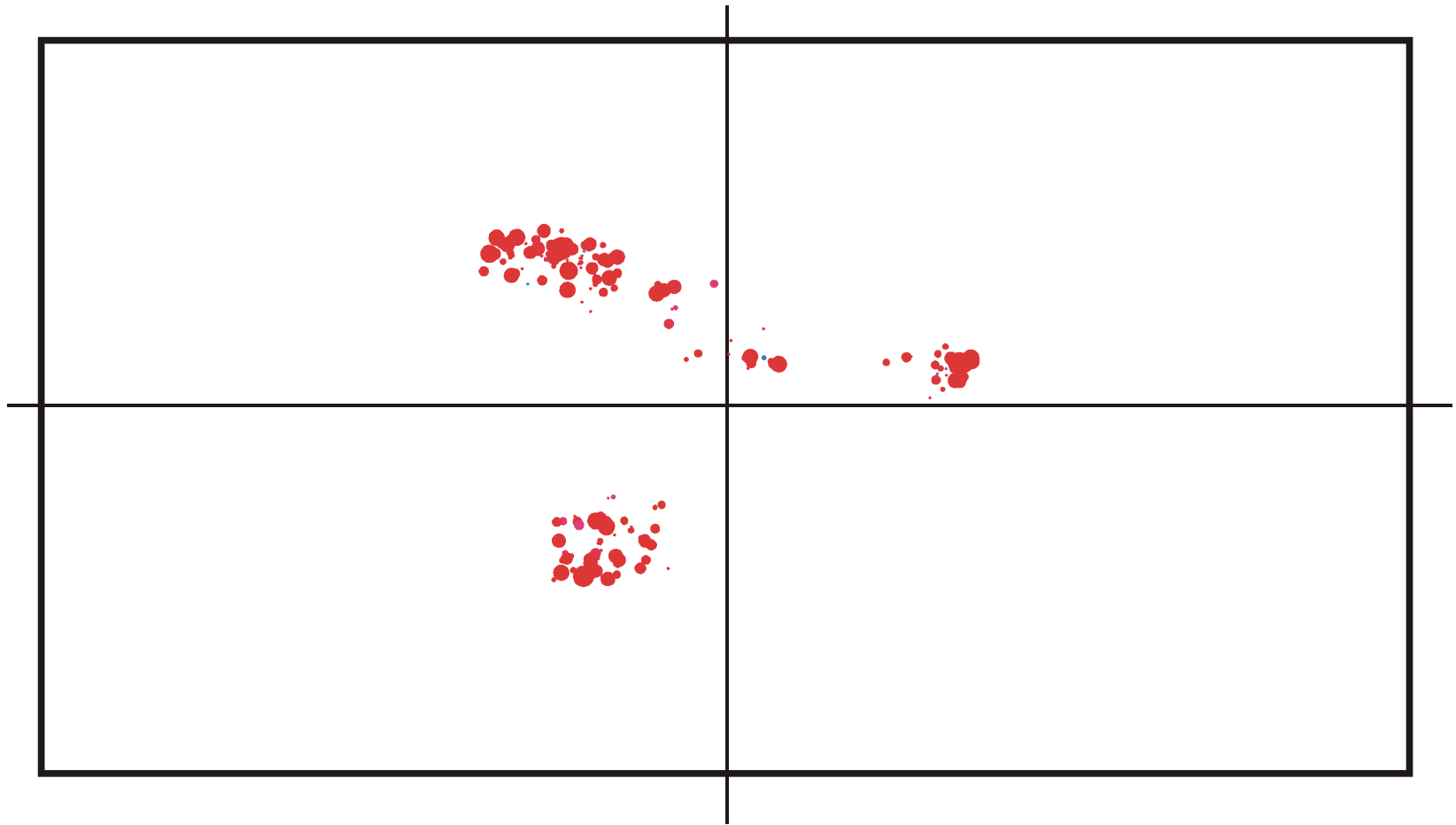
Spreading and evolution of a population on a neutral network: $t = 150$



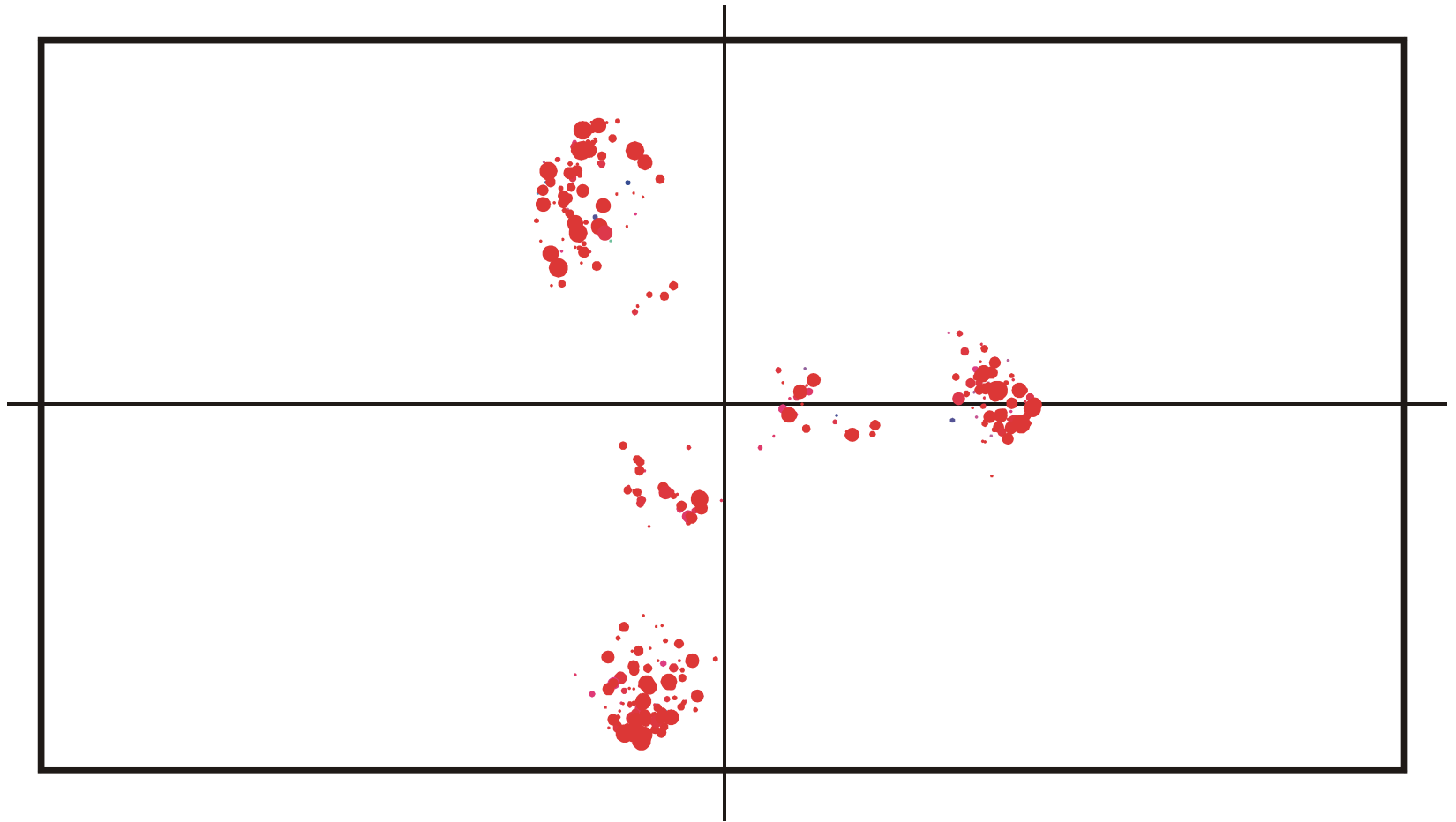
Spreading and evolution of a population on a neutral network : $t = 170$



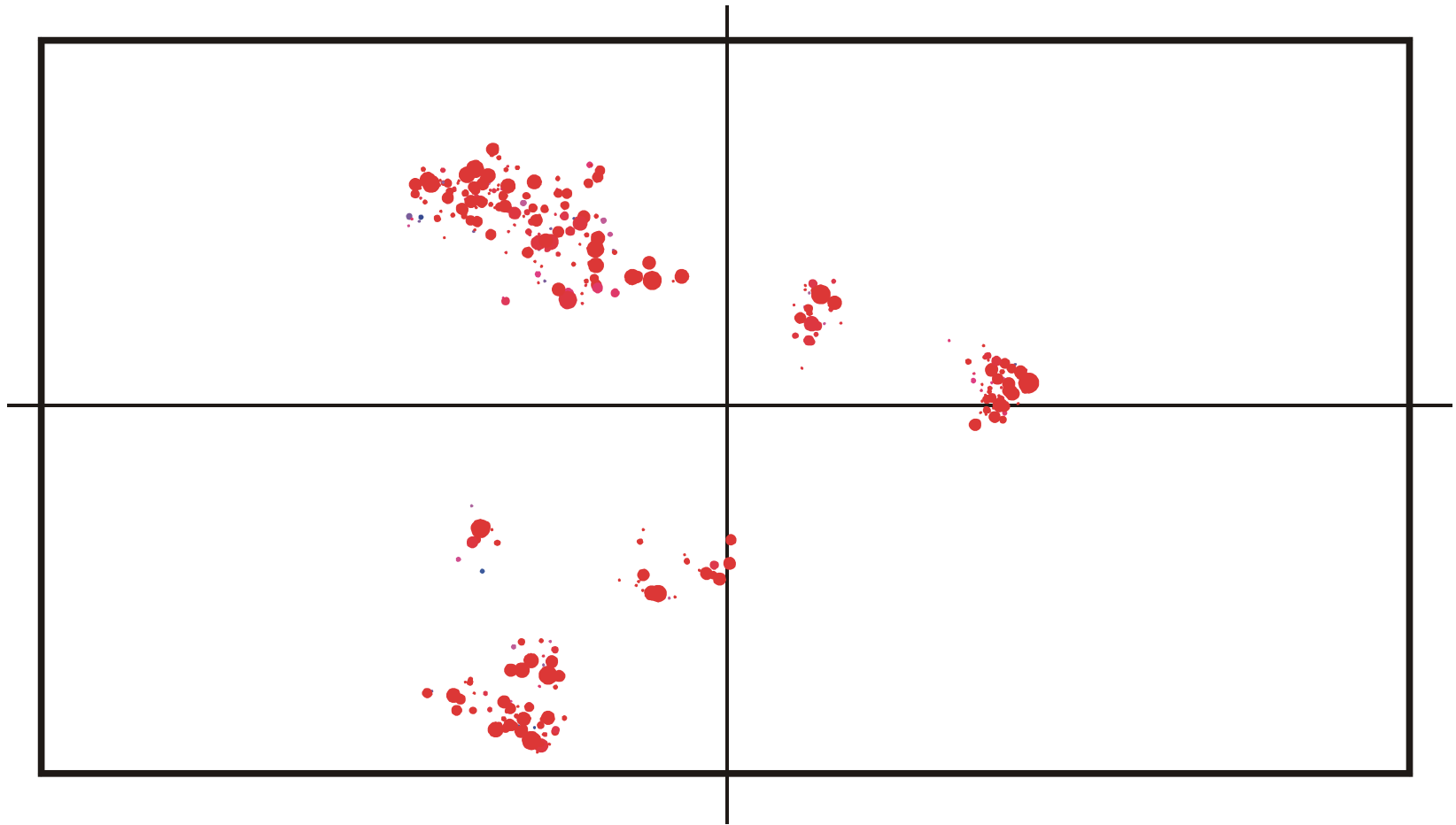
Spreading and evolution of a population on a neutral network : $t = 200$



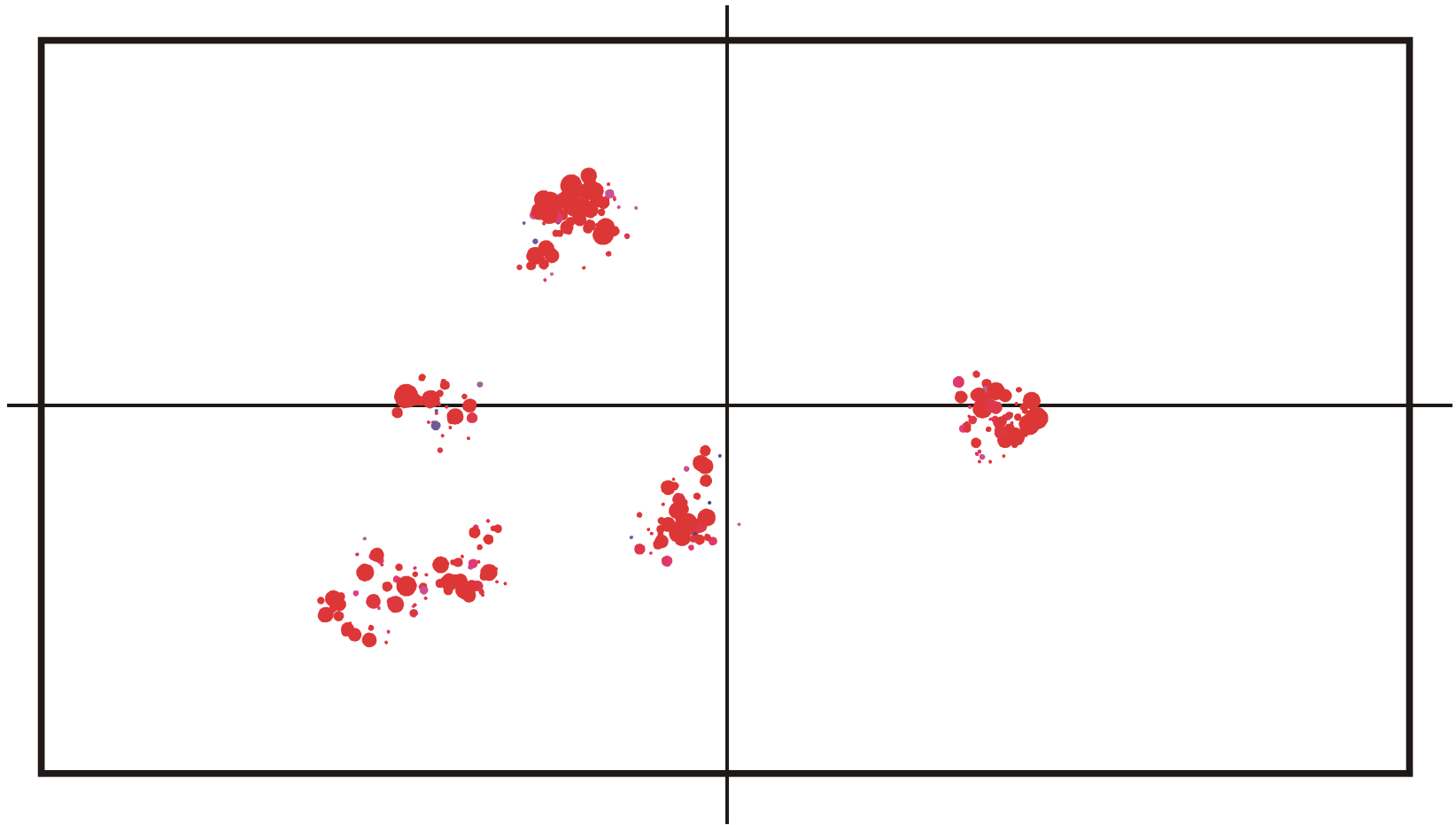
Spreading and evolution of a population on a neutral network : $t = 350$



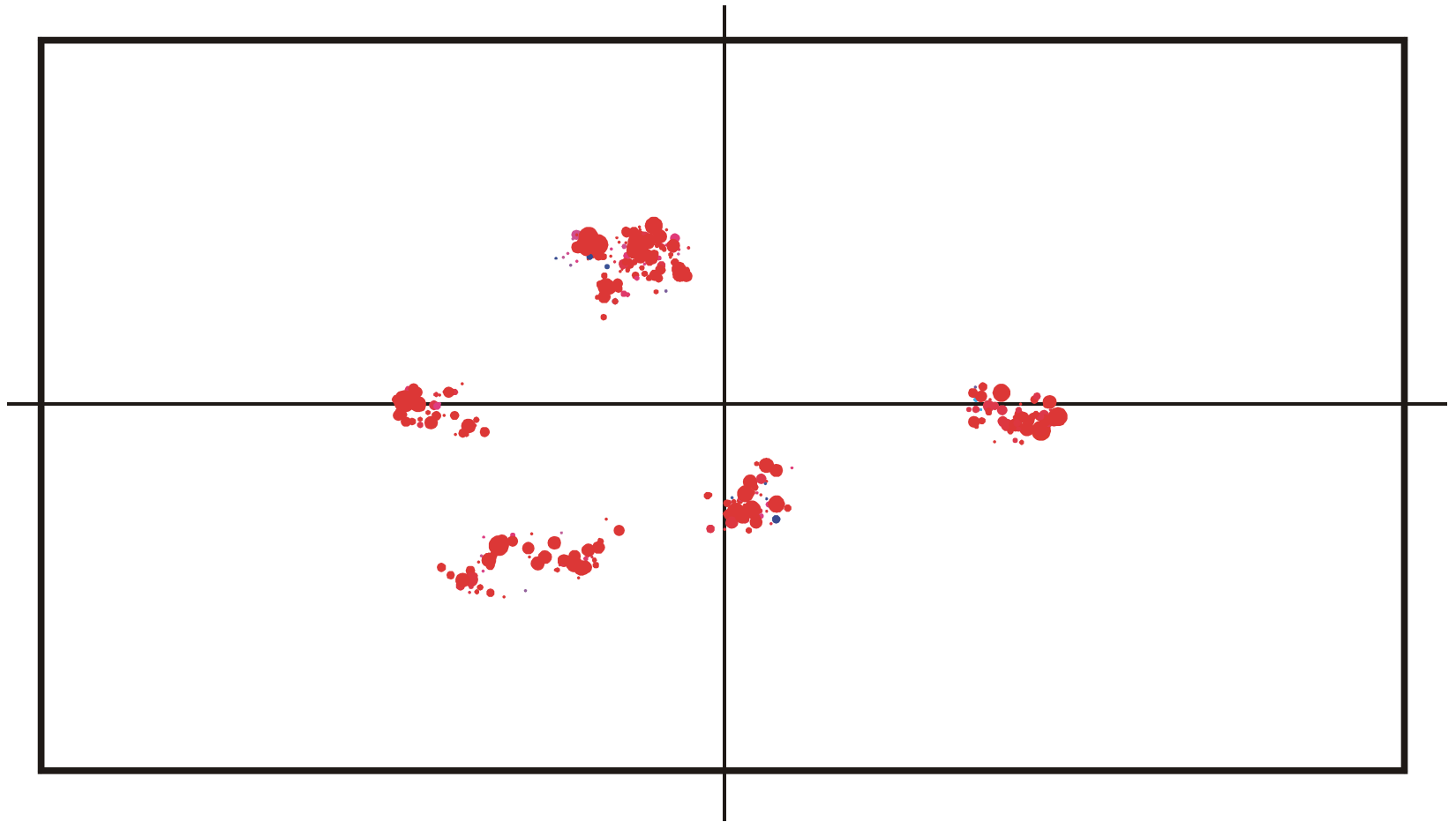
Spreading and evolution of a population on a neutral network : $t = 500$



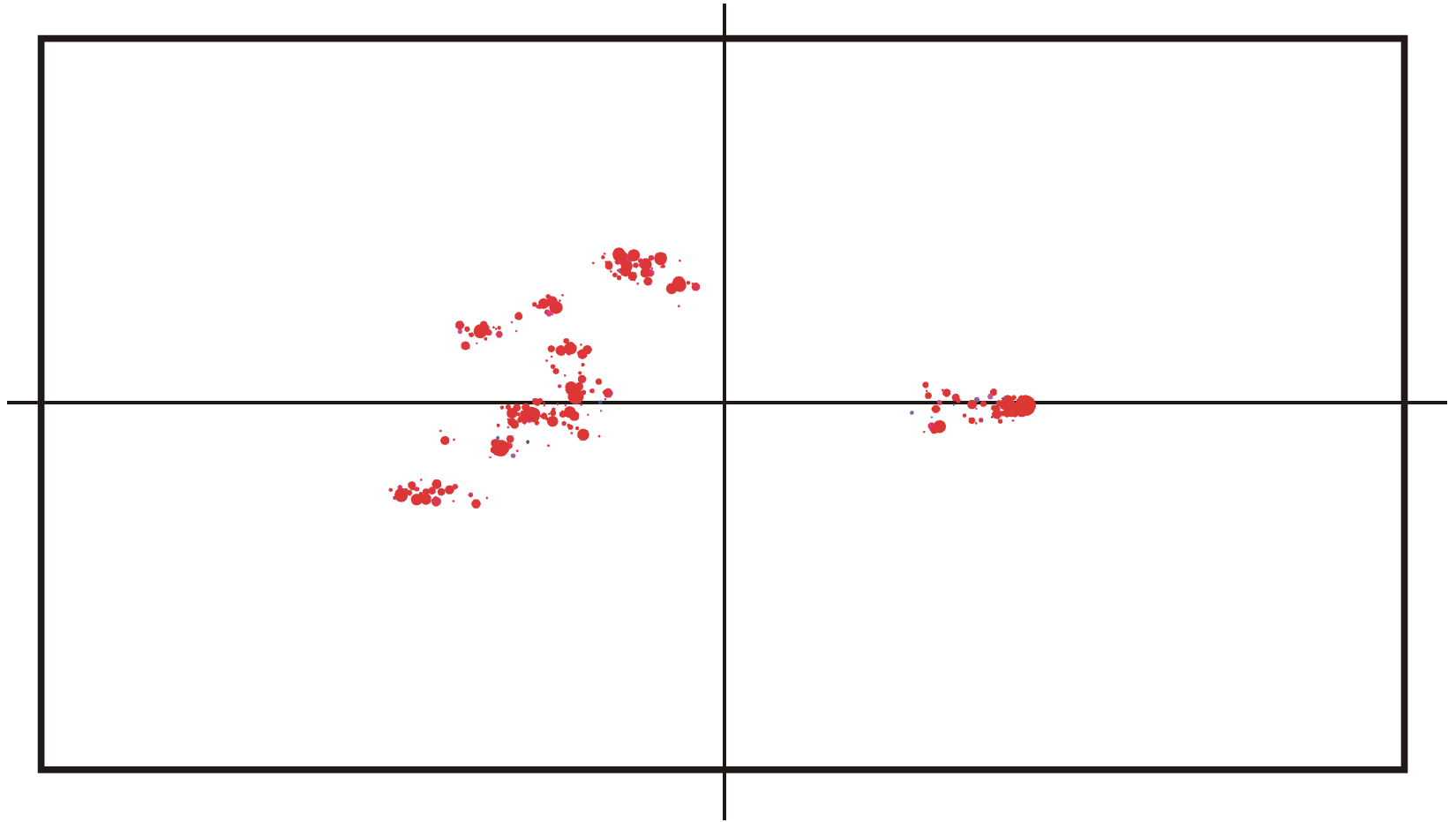
Spreading and evolution of a population on a neutral network : $t = 650$



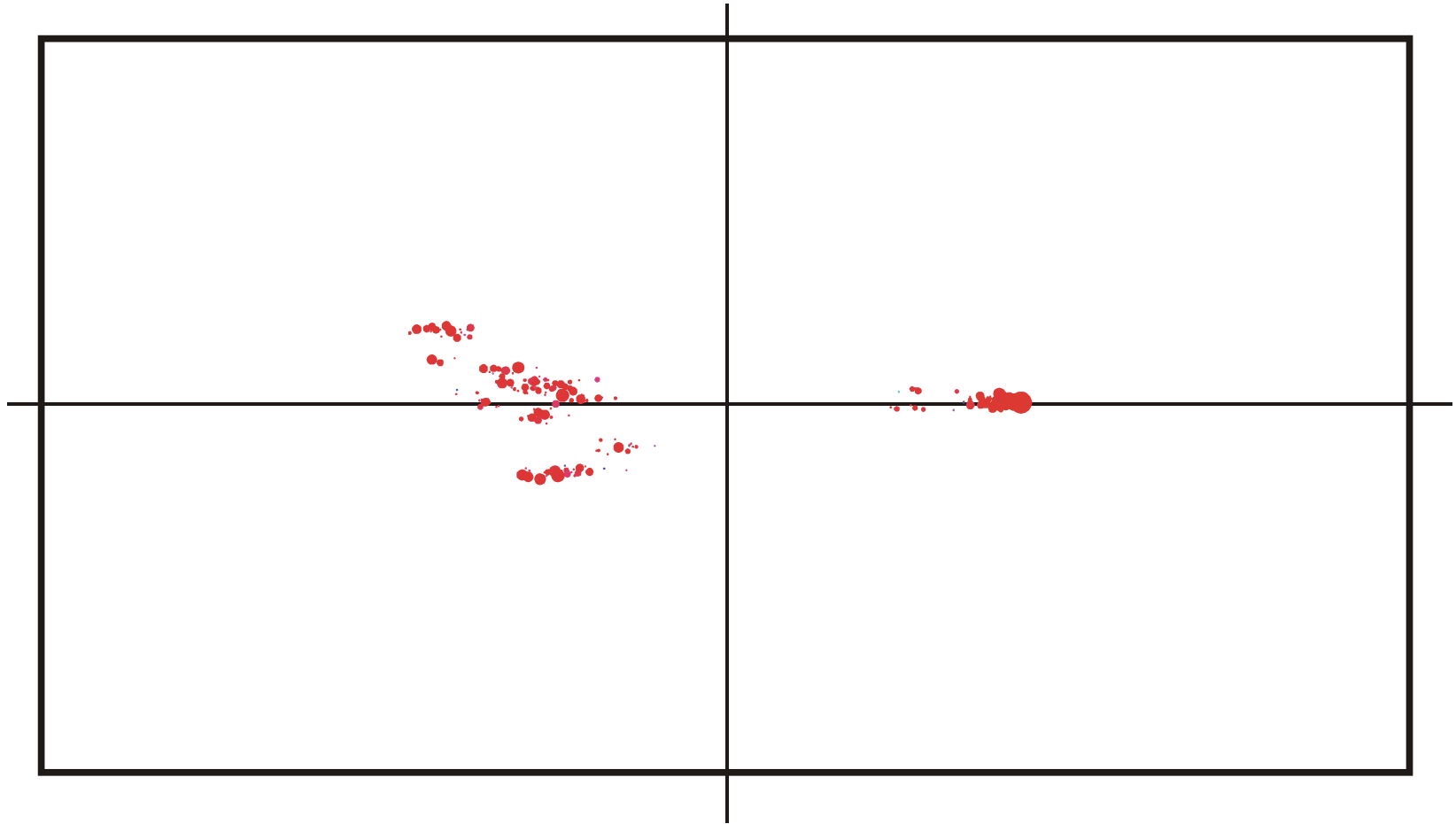
Spreading and evolution of a population on a neutral network : $t = 820$



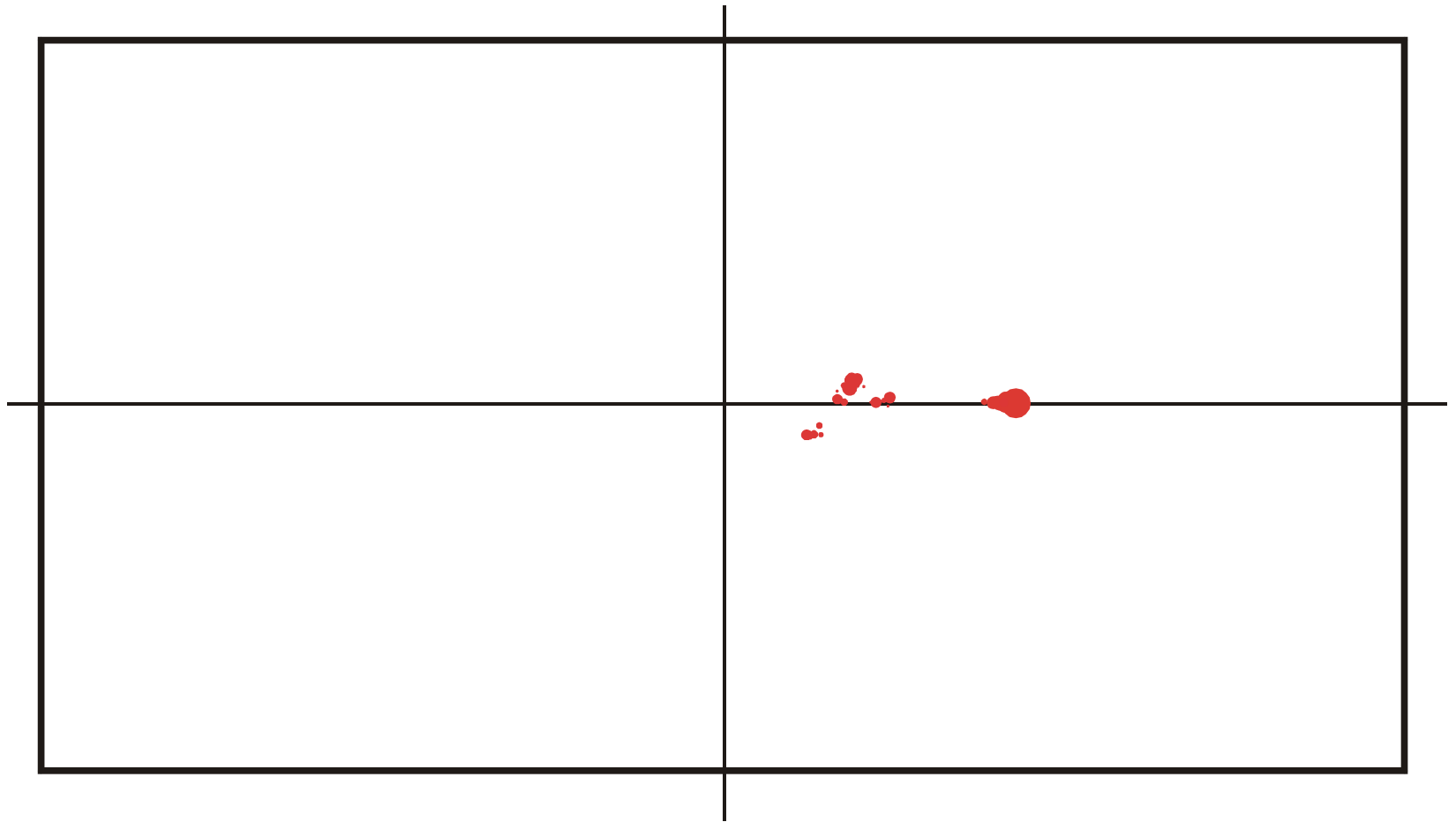
Spreading and evolution of a population on a neutral network : $t = 825$



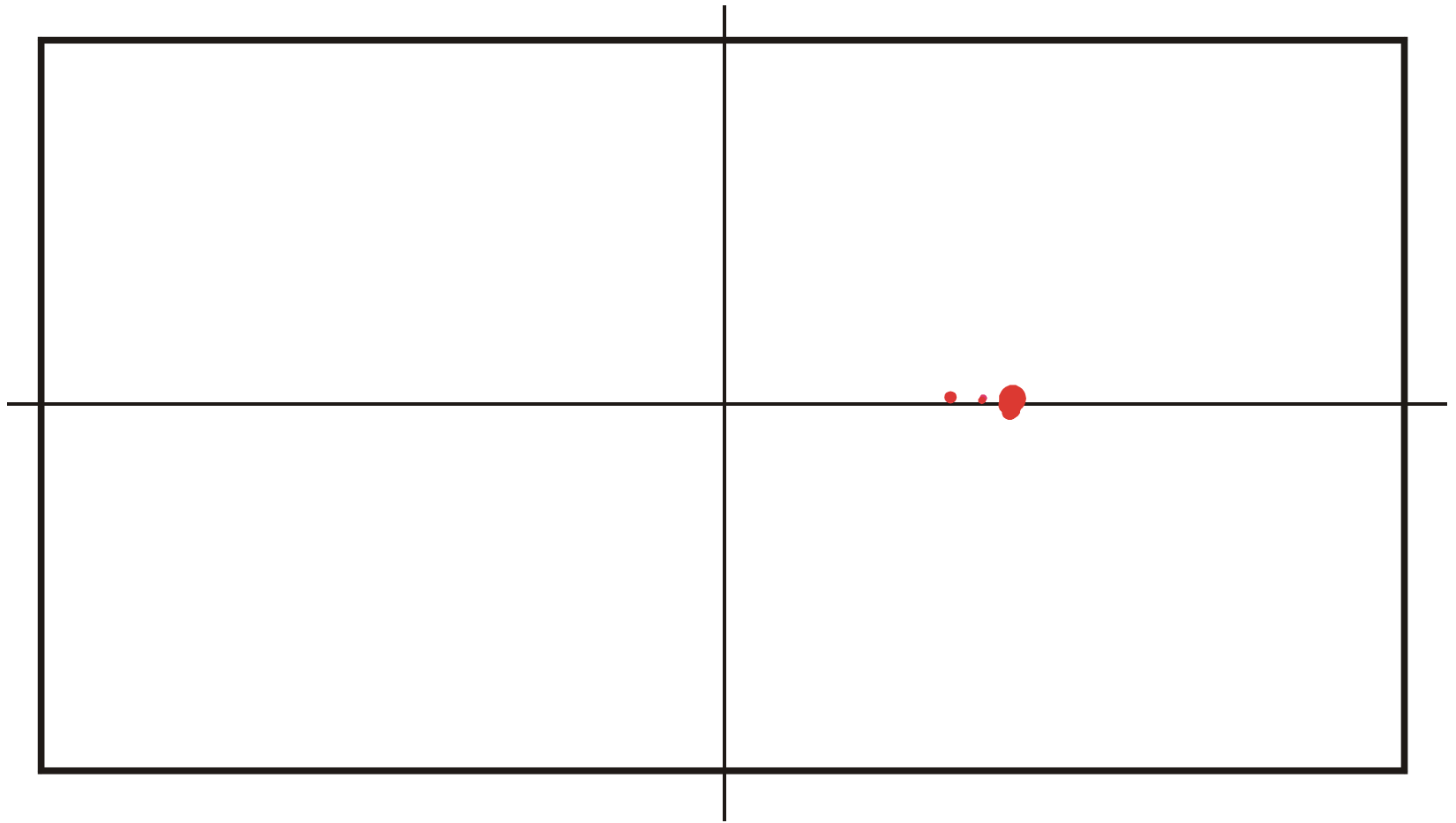
Spreading and evolution of a population on a neutral network : $t = 830$



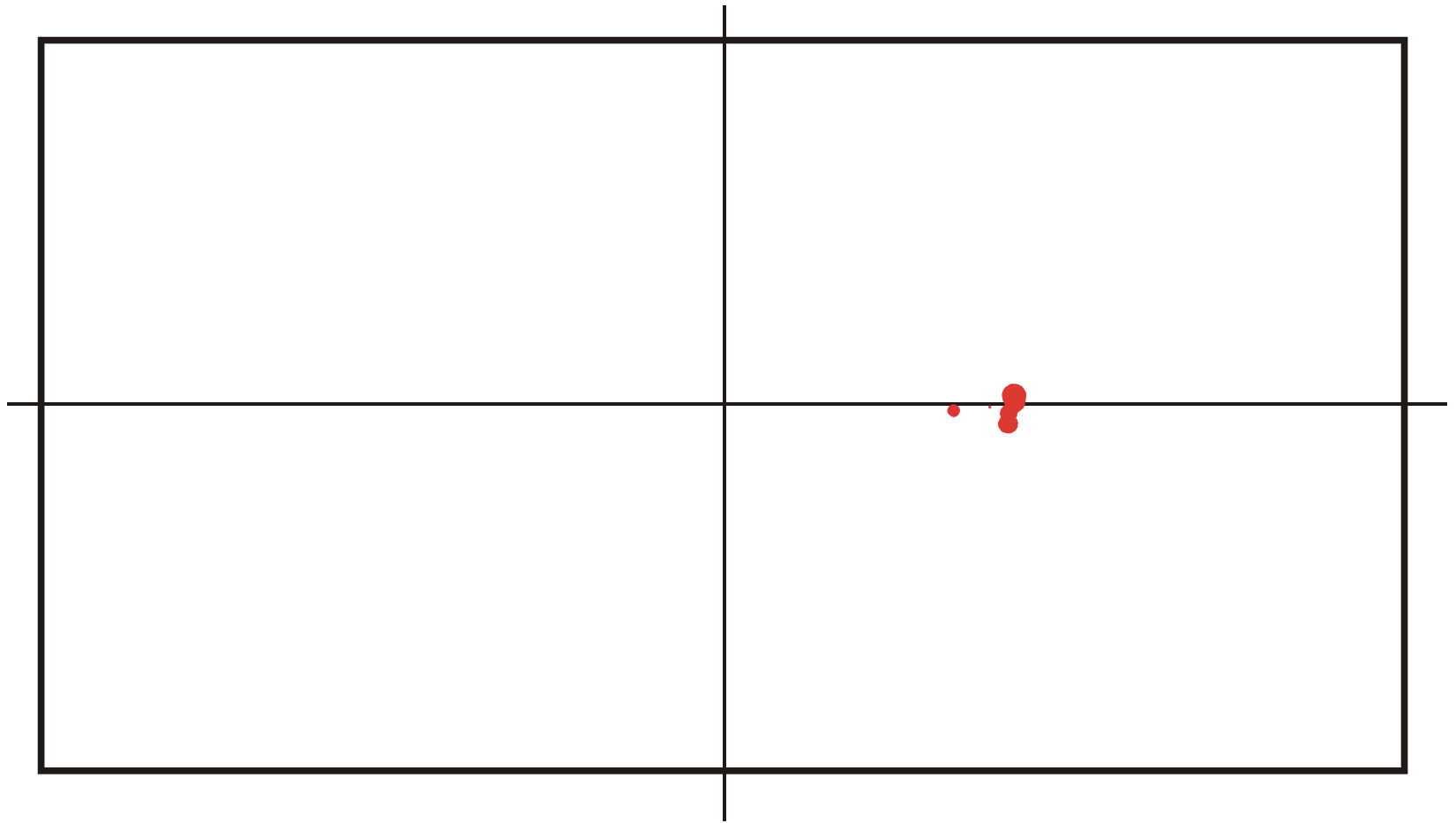
Spreading and evolution of a population on a neutral network : $t = 835$



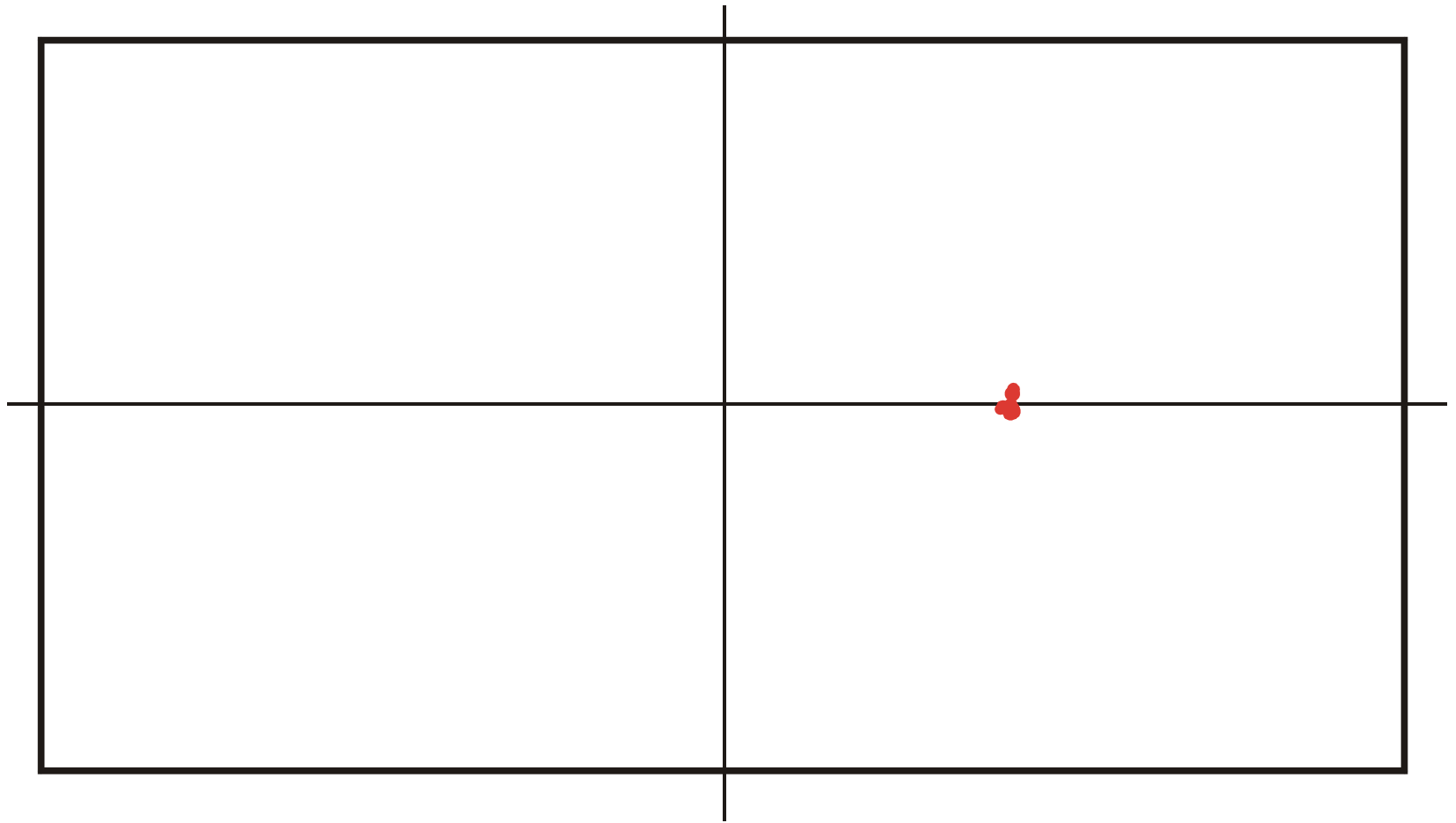
Spreading and evolution of a population on a neutral network : $t = 840$



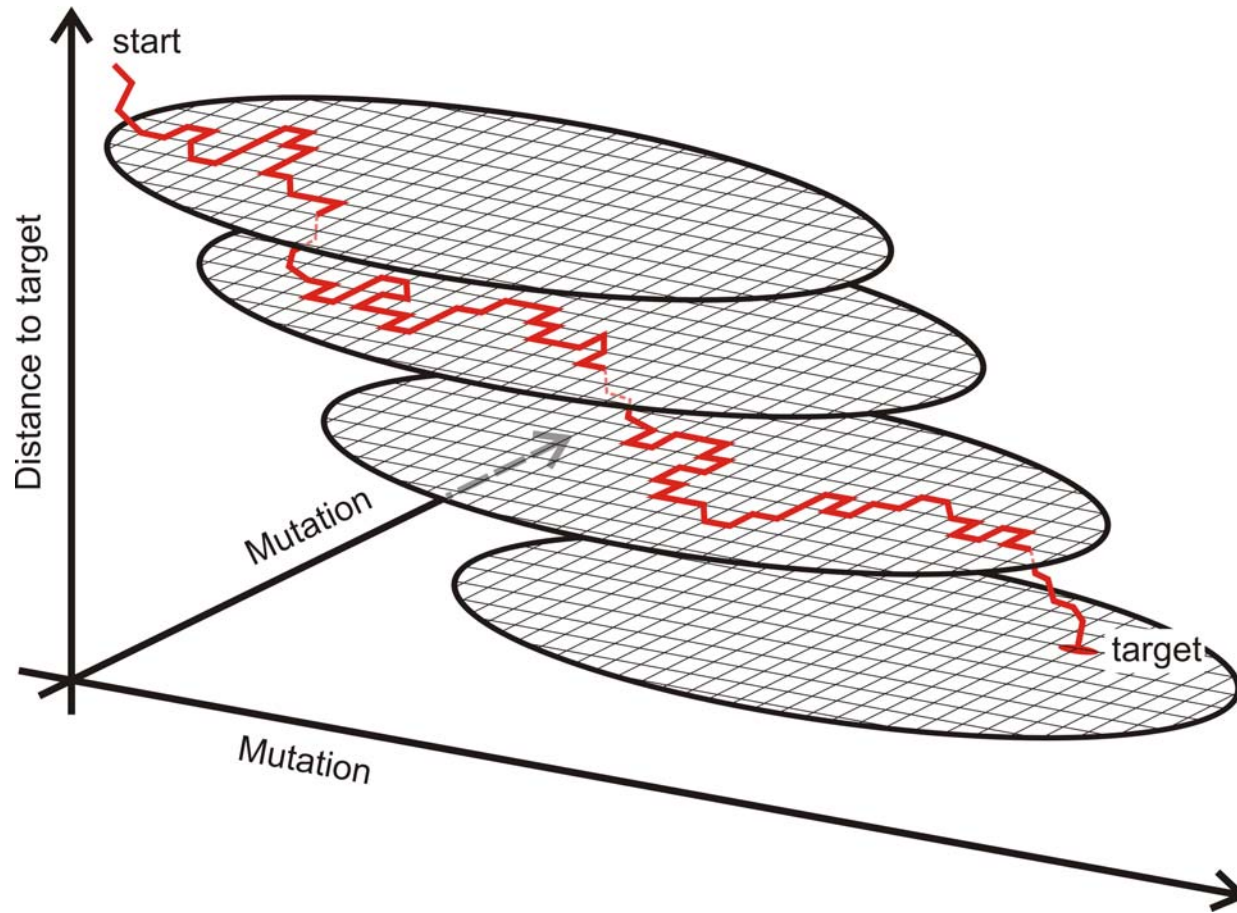
Spreading and evolution of a population on a neutral network : $t = 845$



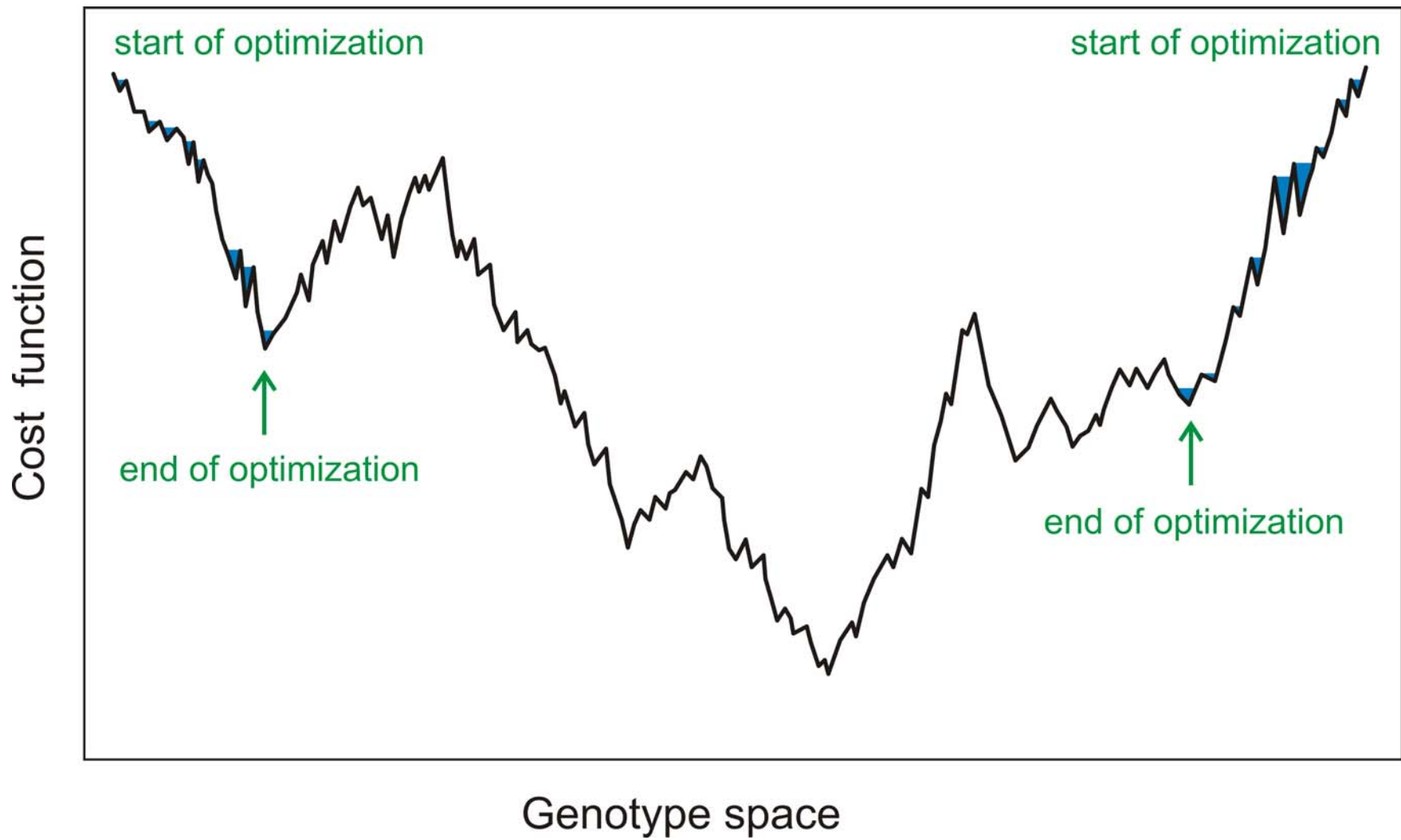
Spreading and evolution of a population on a neutral network : $t = 850$



Spreading and evolution of a population on a neutral network : $t = 855$



A sketch of optimization on neutral networks



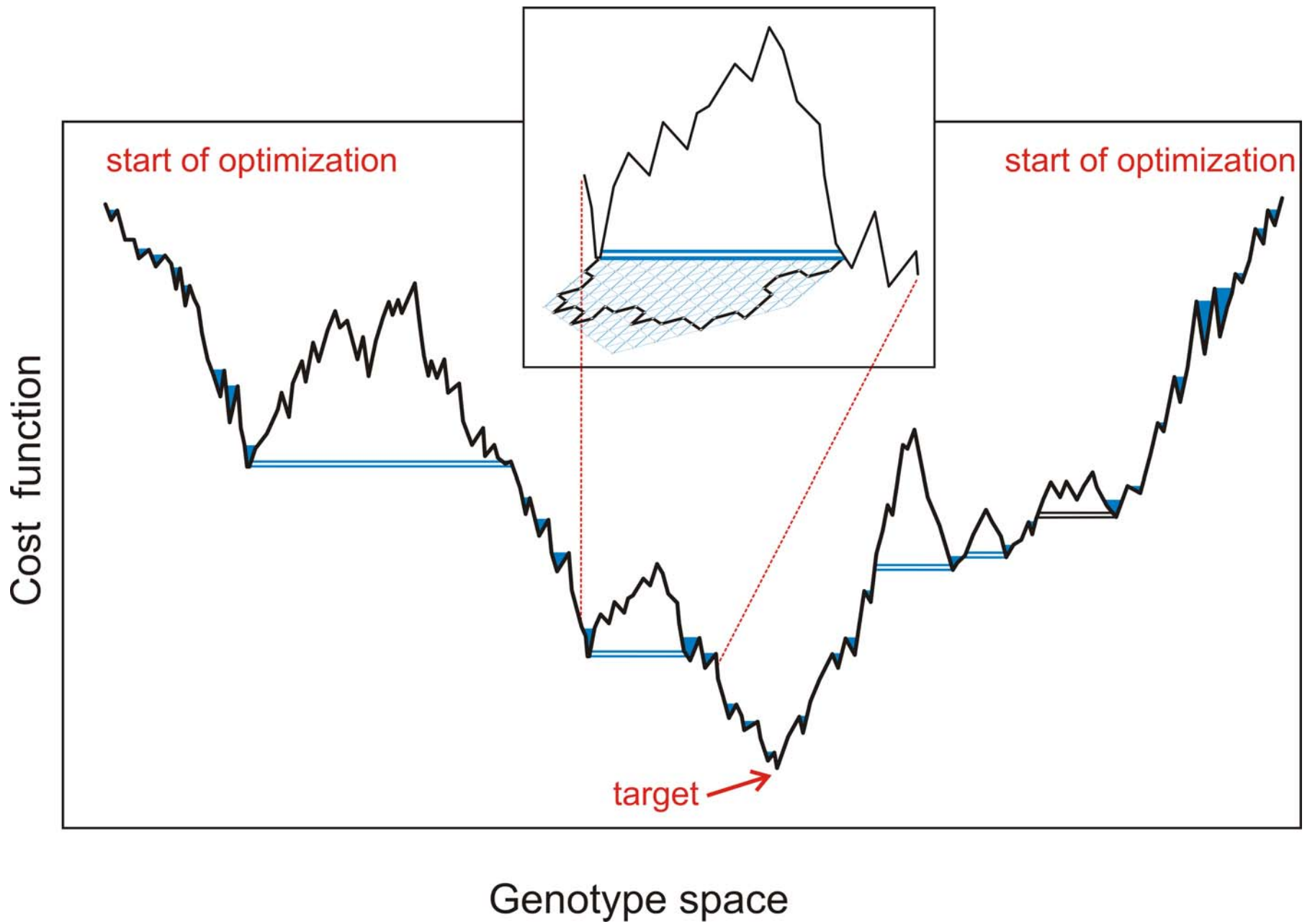


Table 8. Statistics of the optimization trajectories. The table shows the results of sampled evolutionary trajectories leading from a random initial structure, S_I , to the structure of tRNA^{phe}, S_T , as the target^a. Simulations were performed with an algorithm introduced by Gillespie [55–57]. The time unit is here undefined. A mutation rate of $p = 0.001$ per site and replication were used. The mean and standard deviation were calculated under the assumption of a log-normal distribution that fits well the data of the simulations.

Alphabet	Population size, N	Number of runs, n_R	Real time from start to target		Number of replications [10^7]	
			Mean value	σ	Mean value	σ
AUGC	1 000	120	900	+1380 –542	1.2	+3.1 –0.9
	2 000	120	530	+880 –330	1.4	+3.6 –1.0
	3 000	1199	400	+670 –250	1.6	+4.4 –1.2
	10 000	120	190	+230 –100	2.3	+5.3 –1.6
	30 000	63	110	+97 –52	3.6	+6.7 –2.3
	100 000	18	62	+50 –28	–	–
GC	1 000	46	5160	+15700 –3890	–	–
	3 000	278	1910	+5180 –1460	7.4	+35.8 –6.1
	10 000	40	560	+1620 –420	–	–

^a The structures S_I and S_T were used in the optimization:

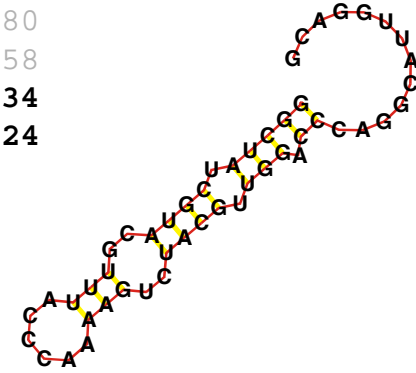
S_I : ((.((((((((((((((((.....(((.....))).....)))))).)))))).))...(((.....)))

S_T : ((((((...(((.....))))).((((.....))))).))....((((.....))))).))))....

Is the degree of neutrality in **GC** space much lower than in **AUGC** space ?

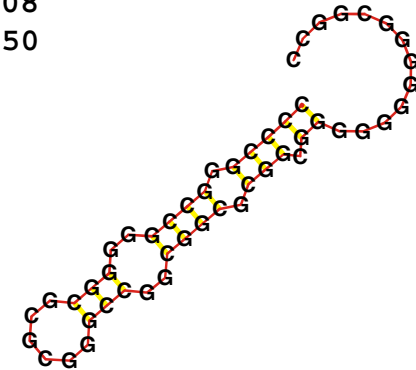
	Number	Mean Value	Variance	Std.Dev.
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Nonzero Hamming Distance:	99875	16.949991	30.757651	5.545958
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2	..(((((((((.....)))))))).)).....	2856	0.019040	
3	(((((((((((.....)))))))).)).....	2799	0.018660	
4	(((((((((.....)))))))).)).....	2417	0.016113	
5	(((((((((.....)))))))).)).....	2265	0.015100	
6	(((((((((.....)))))))).)).....	2233	0.014887	



	Number	Mean Value	Variance	Std.Dev.
Total Hamming Distance:	50000	13.673580	10.795762	3.285691
Nonzero Hamming Distance:	45738	14.872054	10.821236	3.289565
Degree of Neutrality:	4262	0.085240	0.001824	0.042708
Number of Structures:	1000	36.24	6.27	2.50

1	(((((((((.....)))))))).)).....	4262	0.085240	
2	(((((((((((.....)))))))).)).....	1940	0.038800	
3	(((((((((.....)))))))).)).....	1791	0.035820	
4	(((((((((.....)))))))).)).....	1752	0.035040	
5	(((((((((.....)))))))).)).....	1423	0.028460	



Shadow – Surrounding of an RNA structure in shape space – **AUGC** and **GC** alphabet

1. Reconstruction of evolutionary processes
2. Diffusion in sequence space and shape space
3. Continuous and discontinuous transitions
4. Mechanism of RNA optimization
5. **Major transitions in evolution**

Selforganization of Matter and the Evolution of Biological Macromolecules

MANFRED EIGEN*

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I. Introduction
1.1. Cause and Effect
1.2. Penetration of Selforganization
1.2.1. Evolution Must Start from Random Events
1.2.2. Instructive Requires Information
1.2.3. Information Obligates or Gains Value by Selection
1.2.4. Selection Occurs with Special Instances under Special Conditions
II. Phenomenological Theory of Selection
II.1. The Concept "Information"
II.2. Phenomenological Equations
II.3. Selection Criteria
II.4. Selection Equilibrium
II.5. Quality Factor and Error Distribution
II.6. Kinetics of Selection
III. Stochastic Approach to Selection
III.1. Limitations of a Deterministic Theory of Selection
III.2. Fluctuations around Equilibrium States
III.3. Fluctuations in the Steady State
III.4. Stochastic Models in Markov Chains
III.5. Quantitative Discussion of Three Prototypes of Selection
IV. Selforganization Based on Complementary Interactions; Nucleic Acids
IV.1. True Self-Organization
IV.2. Complementary Interaction and Selection
IV.3. Complementary Base Recognition (Experimental Data)
IV.3.1. Single Pair Formation
IV.3.2. Cooperative Interactions in Oligo- and Polynucleotides
IV.3.3. Conclusions about Recognition

I. Introduction
1.1. "Cause and Effect"

which even in its simplest forms always appears to be associated with complex macroscopic (i.e. multimolecular) systems, such as the living cell. As a consequence of the exciting discoveries of "molecular biology", a common version of the above question is: Which came first, the protein or the nucleic acid?—a modern variant of the old "chicken-and-egg" problem. The term "first" is usually meant to define a causal rather than a temporal relationship, and the words "protein" and "nucleic acid" may be substituted by "function" and "information". The question in this form, when applied to the interplay of nucleic acids and proteins as presently encountered in the living cell, leads to absurdum, because "function"

* Fully presented at the "Robbins Lectures" at Pomona College, California, in spring 1970.

The Hypercycle

A Principle of Natural Self-Organization

Part A: Emergence of the Hypercycle

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I. Introduction
II. Selforganization via Coarse Catalysis: Proteins
V.1. Recognition and Catalysis by Enzymes
V.2. Selforganizing Enzyme Cycles (Theory)
V.2.1. Catalytic Networks
V.2.2. The Self-organizing Loop and Its Variants
V.2.3. Cooperation between Different Cycles
V.3. Can Protein Replication Theories...
VI. Self-organizing via Enzymal Catalysis: Functions
VI.1. The Requirement of Cooperation between Nucleic Acids and Proteins
VI.2. A Selforganizing Hyper-Cycle
VI.2.1. The Model
VI.2.2. Theoretical Treatment
VI.3. On the Origin of the Code
VII. Evolution Experiments
VII.1. The Q₁₀ Replicase System
VII.2. Darwinian Evolution in the Test Tube
VII.3. Quantitative Selection Studies
VII.4. "Mines Own" Experiments
VIII. Conclusion
VIII.1. Limits of Theory
VIII.2. "Diagnosis" and the "Origin of Information"
VIII.3. The Philosophy of Selection and Evolution
VIII.5. "Indeterminate", but "Inevitable"
VIII.6. Can the Phenomena of Life be Explained by Our Present Concepts of Physics?
IX. Deutsche Zusammenfassung
Aknowledgements
Literature

Preview on Part B: The Absolute Hypercycle

The mathematical analysis of dynamical systems using methods of differential topology yields the result that there is only one type of mechanism which fulfills the following requirements. The information stored in each single replicative unit (or reproductive cycle) must be maintained, i.e. the respective master copies must cooperate faithfully with their error distributions despite their competitive behavior; these units must establish a cooperation head, the cycle as a whole must consist to emerge already with any other single entity or isolated ensemble which does not contribute to its sustained function. These requirements are crucial for a selection of the best adapted functionally linked ensemble and its evolutive optimization. Only

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Molecular Quasi-Species*

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The molecular quasi-species model describes the physicochemical organization of monomers into an ensemble of heteropolymers with combinatorial complexity by ongoing template polymerization. Polynucleotides belong to the simplest class of such molecules. The quasi-species line represents the stationary distribution of macromolecular sequences maintained by chemical reaction effecting error-prone replication and by transport processes. It is obtained deterministically, by mass-action kinetics, as the dominant eigenvector of a square matrix, W, which is derived directly from chemical rate coefficients, but it also exhibits stochastic features, being composed of a significant fraction of unique individual macromolecular sequences. The quasi-species model demonstrates how macromolecular information originates through specific non-equilibrium autocatalytic reactions and thus forms a bridge between reaction kinetics and molecular evolution. Selection and evolutionary optimization appear as new features in physical chemistry. Concentration bias in the production of mutants is a new concept in population genetics, relevant to frequently mating populations, which is shown to greatly enhance the optimization process. The present theory relates to naturally replicating ensembles, but this restriction is not essential. A sharp transition is exhibited between a drifting population of essentially random macromolecular sequences and a localized population of close relatives. This transition at a threshold error rate was found to depend on sequence lengths, distributions of selective values, and population sizes. It has been determined generally for complex landscapes and for special cases, and, it was shown to persist generally in the presence of nearly neutral mutants. Replication dynamics has much in common with the equilibrium statistics of complex spin systems: the error threshold is equivalent to a magnetic order-disorder transition. A rational function of the replication accuracy plays the role of temperature. Experimental data obtained from test-tube evolution of polynucleotides and from studies of natural virus populations support the quasi-species model. The error threshold seems to set a limit to the genome lengths of several classes of RNA viruses. In addition, the results are relevant even in eucaryotes where they contribute to the exon-intron debate.

Preview on Part C: The Absolute Hypercycle

A realistic model of a hypercycle relevant with respect to the origin of the genetic code and the translation machinery is presented. It includes the following features referring to natural systems: 1) The hypercycle has a sufficiently simple structure to admit an organization with finite probability under prebiotic conditions. 2) It permits a continuous emergence from closely interrelated (tRNA-like) precursors, originally being members of a stable RNA quasi-species and having been amplified to a level of higher abundance. 3) The organizational structure and the properties of single functional units of this hypercycle are still reflected in the present genetic code in the translation apparatus of the prokaryotic cell, as well as in certain bacterial viruses.

I. The Paradigm of Unity and Diversity in Evolution

Why do millions of species, plants and animals, exist, while there is only one basic molecular machinery of the cell: one universal genetic code and unique chemicalities of the macromolecules? The generalists of our day would not hesitate to give an immediate answer to the first part of this question. Diversity of species is the outcome of the tremendous branching process of evolution with its myriads of single steps of reproduction and mutation. It in-

1. Molecular Selection

Our knowledge of physical and chemical systems is, in a final analysis, based on models derived from repeatable experiments. While none of the classic and rather besieged list of properties rounded up to support the intuition of a distinction between the living and nonliving—metabolism, self-reproduction, irritability, and adaptability, for example—intrinsically limit the application of the scientific method, a determining role by unique or individual entities comes into conflict with the requirement of repeatability. Combinatorial variety, such as that in heteropolymers based on even very small numbers of different bases, even just two, readily provides numbers of different entities so enormous that neither consecutive nor parallel physical realization is possible. The physical chemistry of finite systems of such macromolecules must deal with both known regularities and the advent of unique copolymeric sequences. Normally this would present no difficulty in a statistical mechanical analysis of typical behavior, where rare events play no significant role, but with autocatalytic polymerization processes even unique single molecules may be singled out to determine the fate of the entire system. Potentially creative, self-organizing around unique events, the dynamics of the simplest living chemical system is invested with regularities that both allow and limit efficient adaptation. The quasi-species model is a study of these regularities.

The fundamental regularity in living organisms that has invited explanation is adaptation. Why are organisms so well fitted to their environments? At a more chemical level, why are enzymes

optimal catalysts? Darwin's theory of natural selection has provided biologists with a framework for the answer to this question. The present model is constructed along Darwinian lines but in terms of specific macromolecules, chemical reactions, and physical processes that make the notion of survival of the fittest precise. Not only does the model give an understanding of the physical limitations of adaptation, but also it provides new insight into the role of chance in the process. For an understanding of the structure of this minimal chemical model it is first necessary to recall the conceptual basis of Darwin's theory.

Darwin recognized that new inheritable adaptive properties were not induced by the environment but arose independently in the production of offspring. Lasting adaptive changes in a population could only come about by natural selection of the heritable trait or genotype based on the full characteristics or phenotype relevant for producing offspring. A process of chance, i.e., uncorrelated with the developed phenotype, controls changes in the genotype from one generation to the next and generates the diversity necessary for selection. Three factors have probably prevented chemists from gaining a clear insight into these phenomena in the past, despite the discovery of the polymeric nature of the genotype (DNA): the complexity of a minimum replication phenotype, the problem of dealing with a huge number of variants, and the nonequilibrium nature of these ongoing processes.

The formulation of a tractable chemical model based on Darwin's principle may be understood in several steps:

* This is an abridged account of the quasi-species theory that has been submitted in comprehensive form to Advances in Chemical Physics.

(*) Eigen, M.; McCaskill, J.S.; Schuster, P. Adv. Chem. Phys., in press.

1971

1977

1988

Chemical kinetics of molecular evolution

Stages of Emerging Life – Five Principles of Early Organization*

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Summary. Five principles underly the evolution of the genetic language: formation of stereoregular heteropolymers, selection through self-replication, evolution of quasispecies towards optimal structures, regulated cooperation between competitors through catalytic hypercycles and evaluation of translation products through compartmentalization. These principles are formulated and illustrated by means of experimental results

abundant molecules on the very early Earth became clear. Most of the natural amino acids were among them. The building blocks of polynucleotides – the four bases, ribose and phosphate – were available too under prebiotic conditions. An enormous amount of low molecular weight organic material and energy-rich compounds was synthesized in those early days. Material was provided from steadily refilling pools for the formation of polymers, among them polypeptides and polynucleotides.

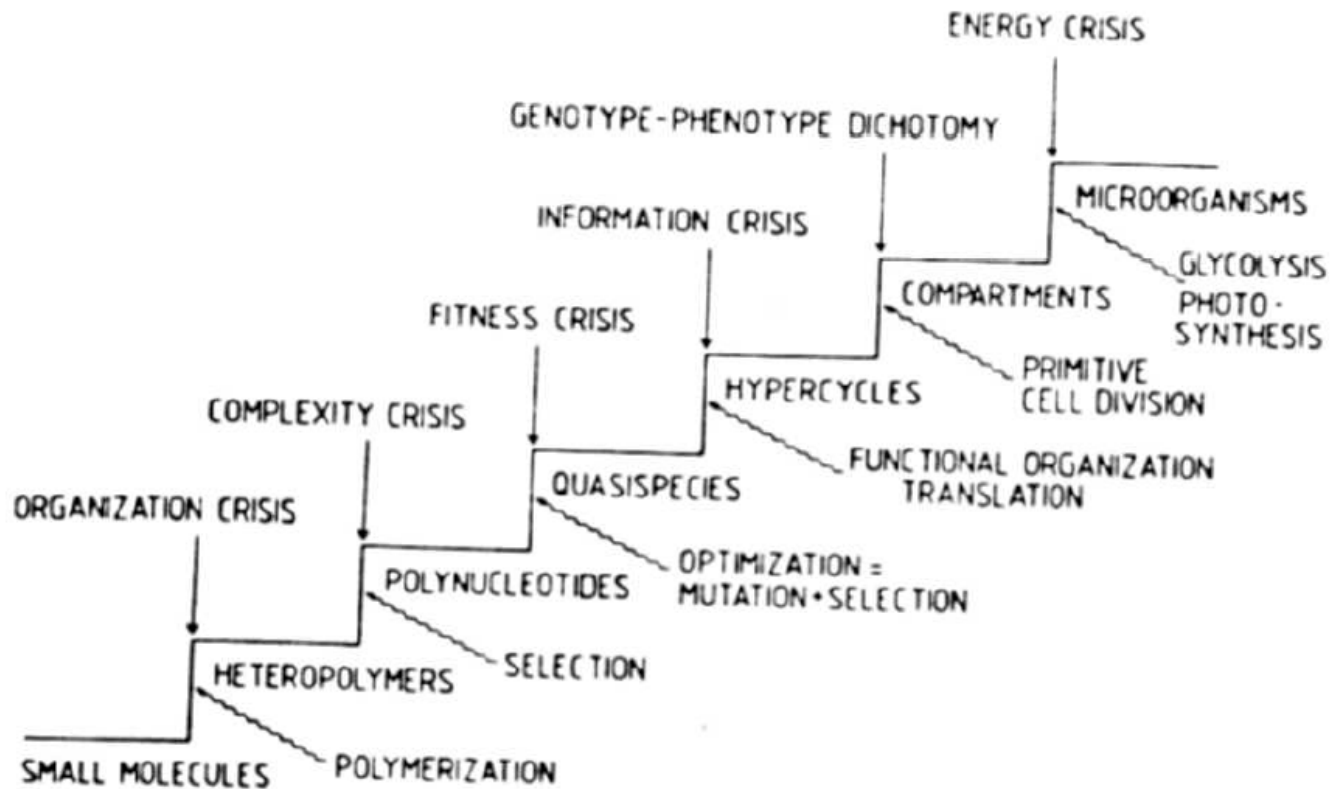
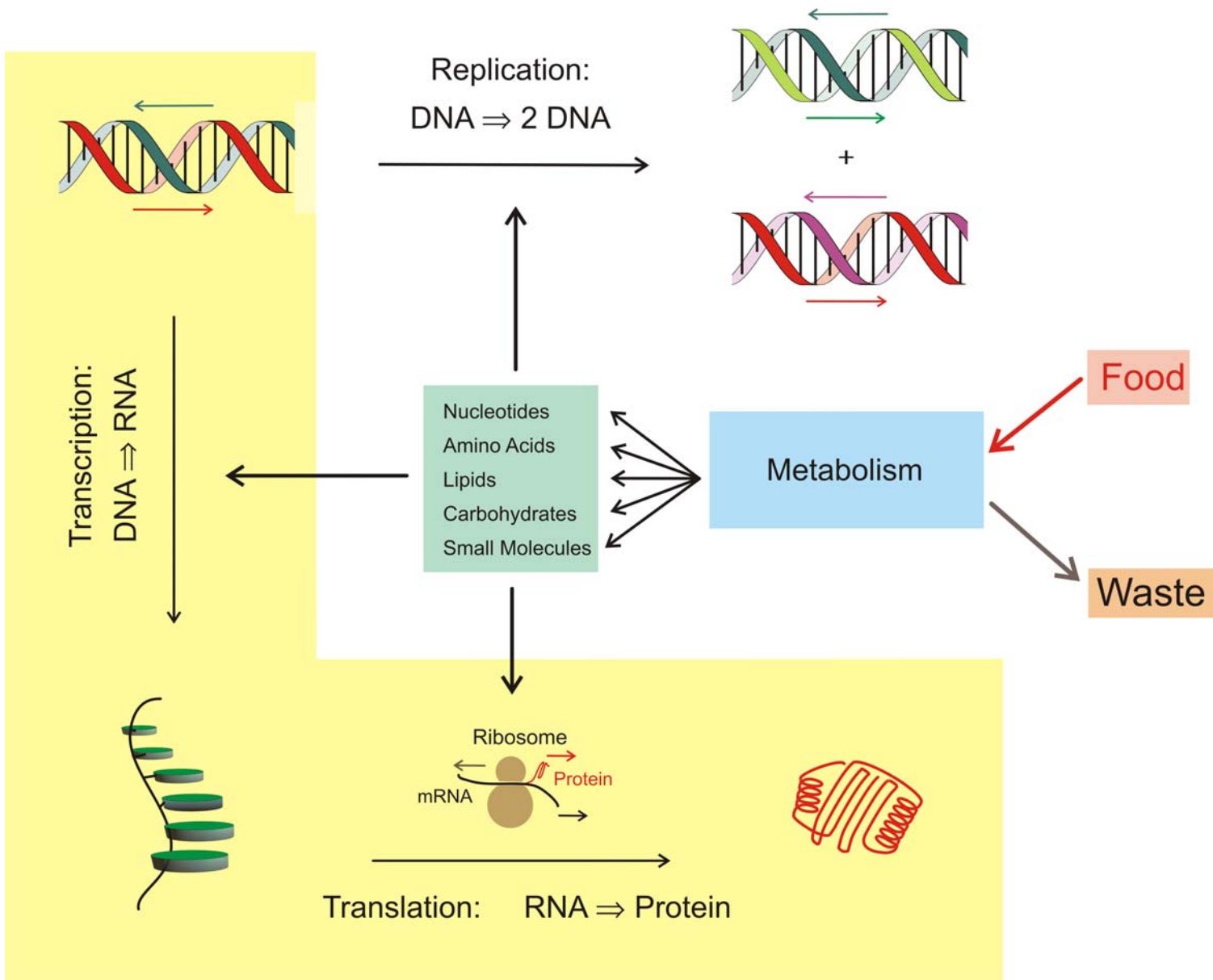


Fig. 11. Six critical steps during early evolution. On its way from small molecules to microorganisms the evolving system had to pass at least the six "crises" indicated by arrows. A "technical" innovation or new principle helped to overcome the obstacle the system had run into. The new concept is indicated by wavy arrows

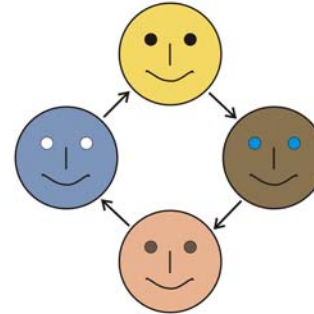


A sketch of cellular information processing

State I:
Independent Competing
Replicators

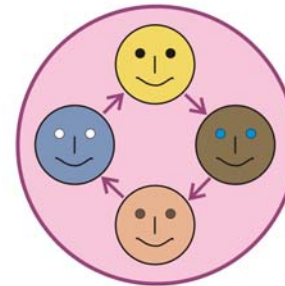


State II:
Functionally Coupled
Replicators



Parasite

State III:
New Unit of Selection



Parasite

State IV = State I:
Independent Competing
Units



A mechanism for major transitions
towards a hierarchically higher level
(nach Manfred Eigen und Peter Schuster)

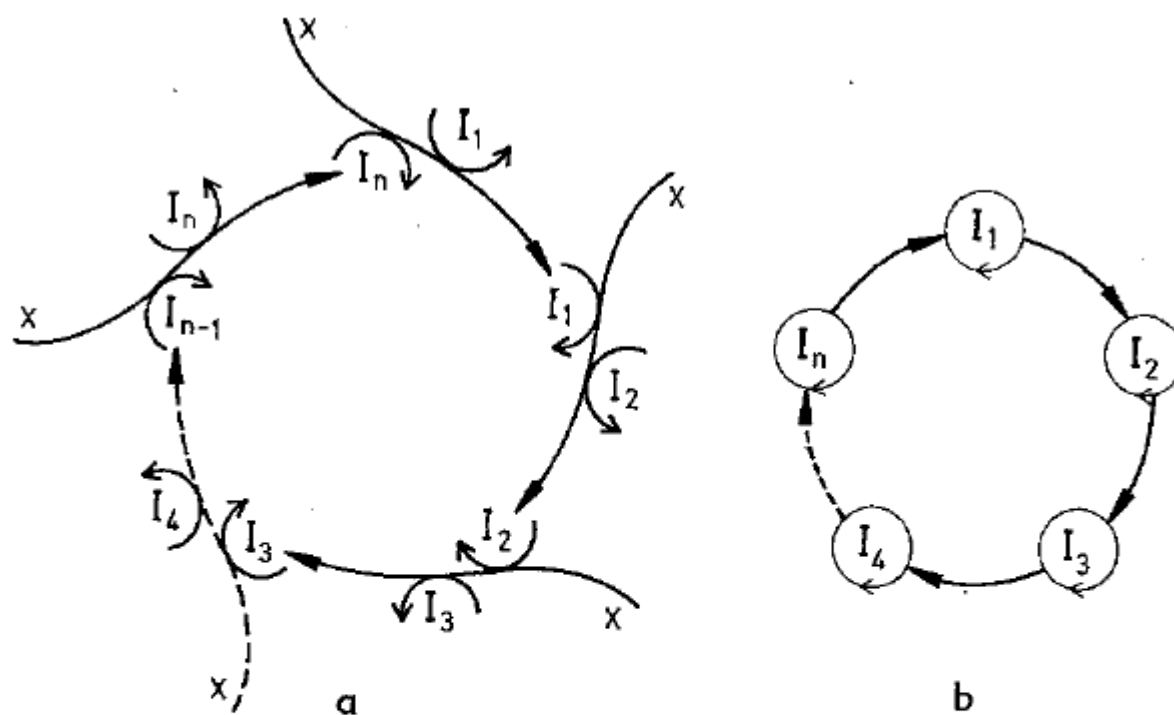
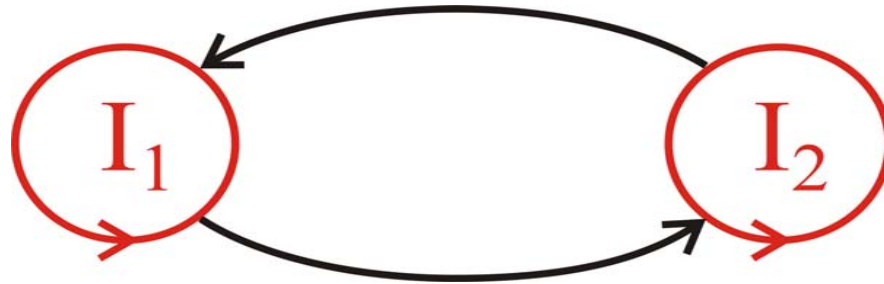
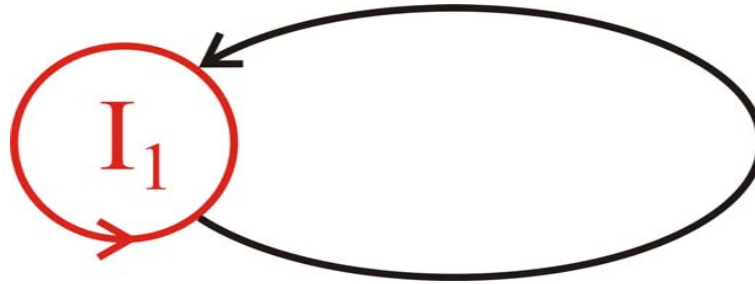
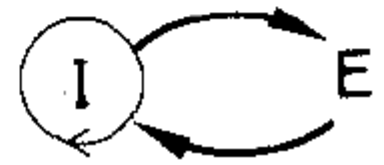
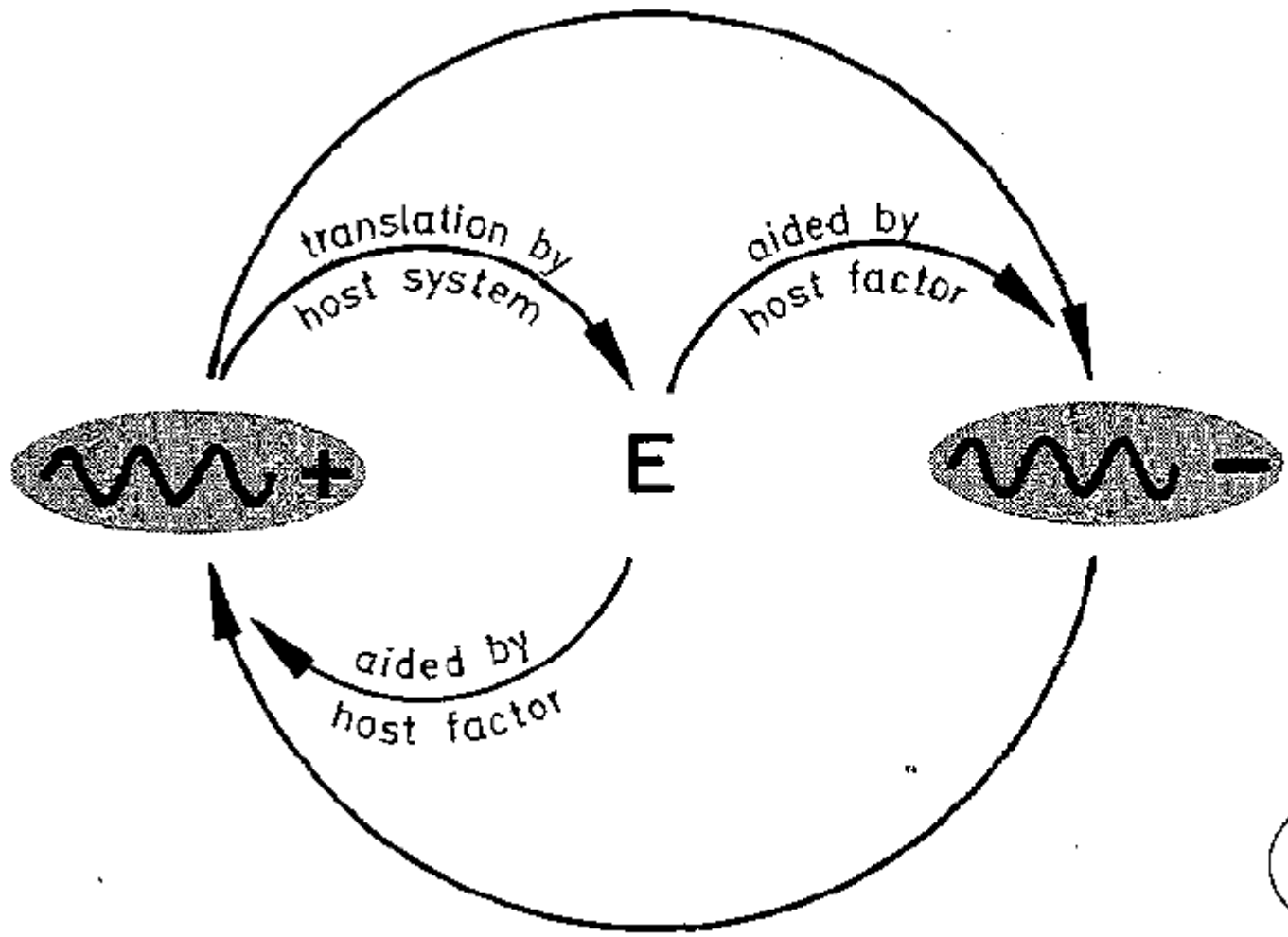
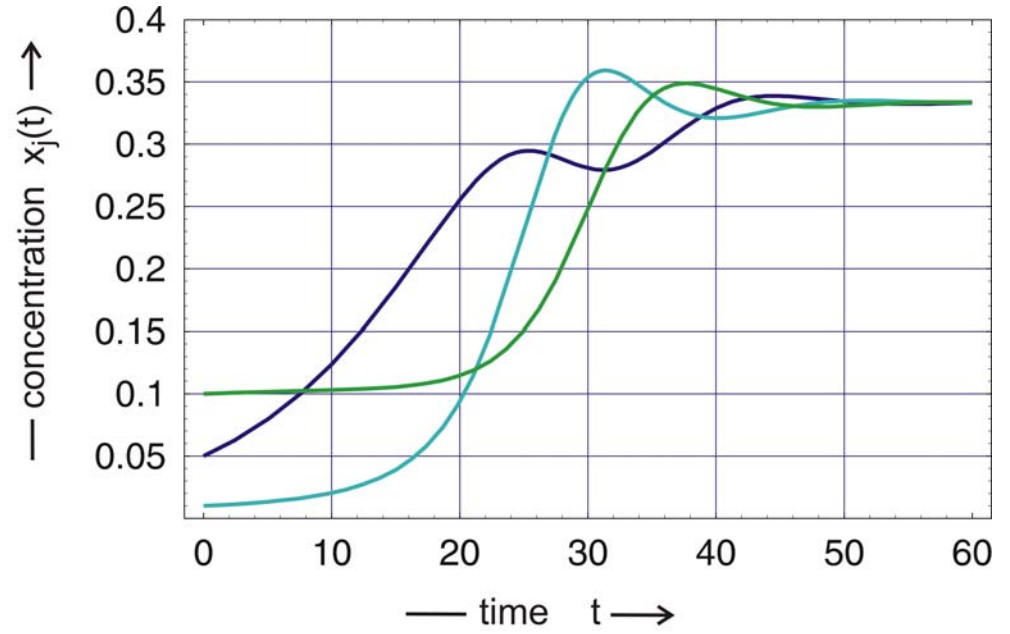
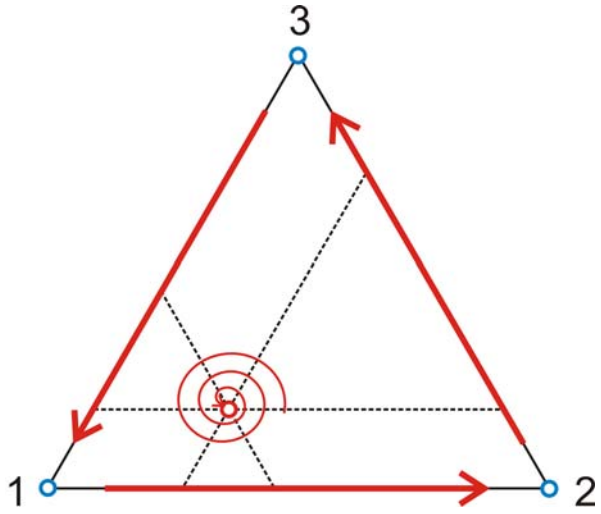


Fig. 7. A catalytic hypercycle consists of self-instructive units I_i with two-fold catalytic functions. As autocatalysts or—more generally—as catalytic cycles the intermediates I_i are able to instruct their own reproduction and, in addition, provide catalytic support for the reproduction of the subsequent intermediate (using the energy-rich building material X). The simplified graph (b) indicates the cyclic hierarchy

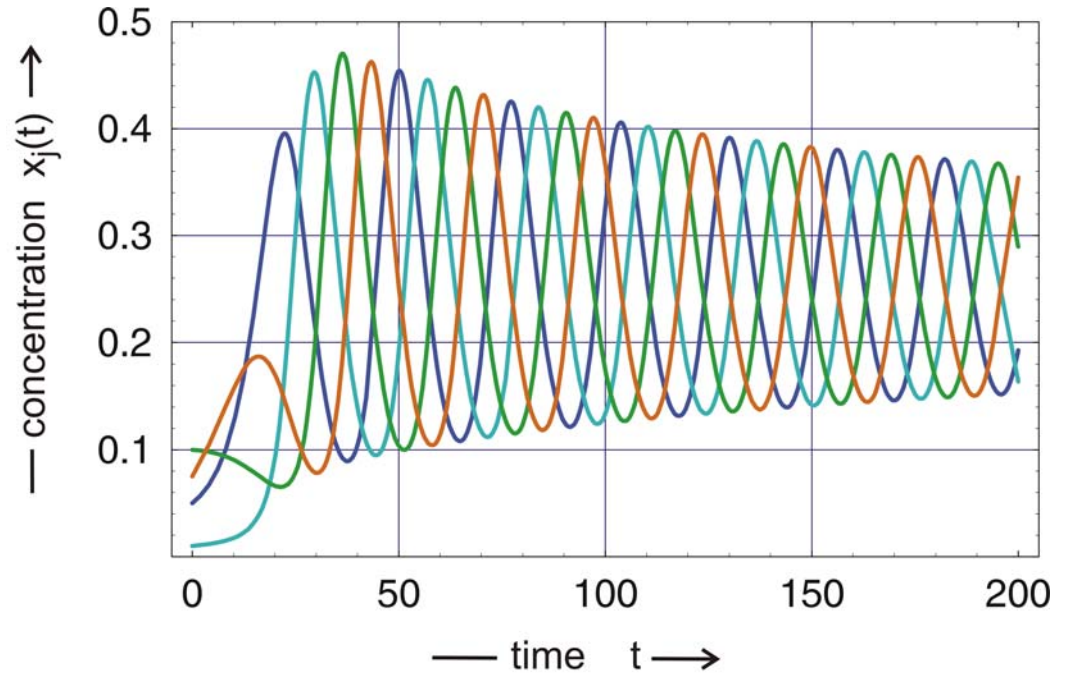
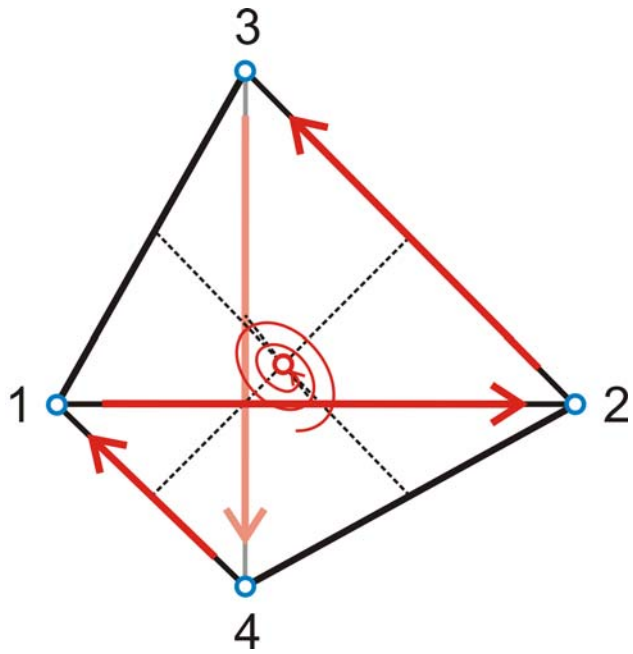


Hypercycles with one and two members are common in nature.

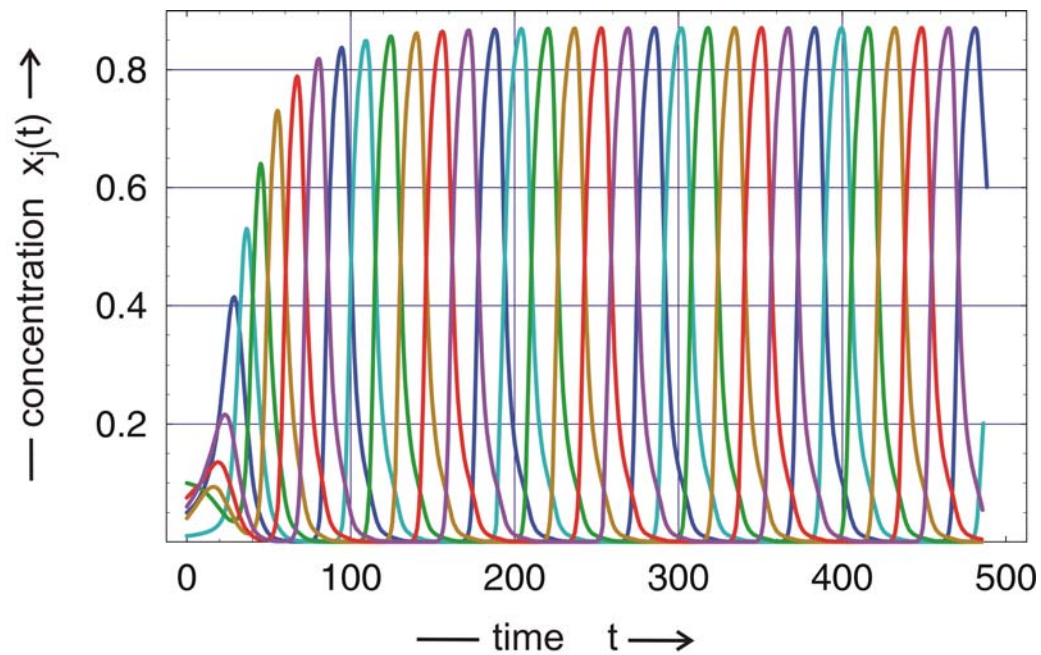
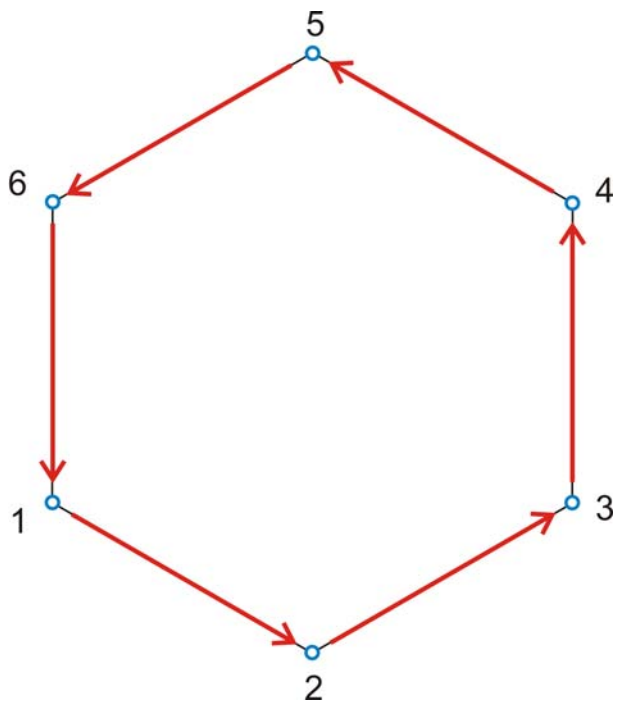




Hypercycle dynamics for $n=3$



Hypercycle dynamics for $n=4$



Hypercycle dynamics for $n=6$

Major transitions in evolution (John Maynard Smith and Eörs Szathmáry)

Replicating molecules	⇒	membranes, controlled division molecules in compartments
Independent replicators	⇒	ligation of molecules, joint replication chromosomes
RNA as gen und enzyme	⇒	genetic code, ribosome DNA and protein
Prokaryotes	⇒	endosymbiosis eukaryotes
Asexually replicating clones	⇒	origin of sexual replication sexually replicating populations
Protists	⇒	cell differentiation and development plants, fungi and animals
Solitary individuals	⇒	formation of non-reproductive casts animal colonies
Primate societies	⇒	language, writing, culture, ... human societies

Web-Page for further information:

<http://www.tbi.univie.ac.at/~pks>

