

A simple model for competition, mutation, and major transitions

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Web-Page for further information:

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

Peter Schuster. Some mechanistic requirements for major transitions.
Phil. Trans. R. Soc.B 371:e20150439, 2016

Peter Schuster. Increase in complexity and information through
molecular evolution. *Entropy*, in press, 2016

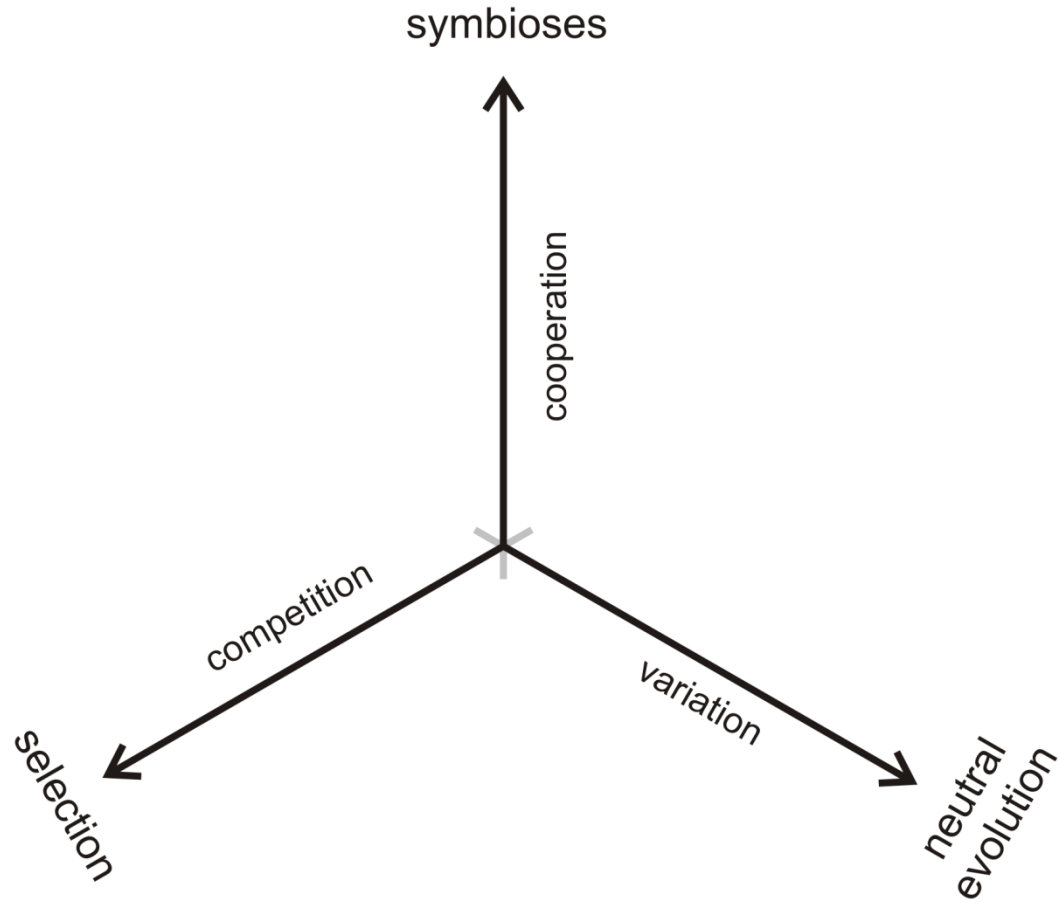
1. A general and simple model for evolution
2. Mutation and quasispecies
3. Cooperation and major transitions
4. Can mutations counteract extinction ?
5. Some conclusions

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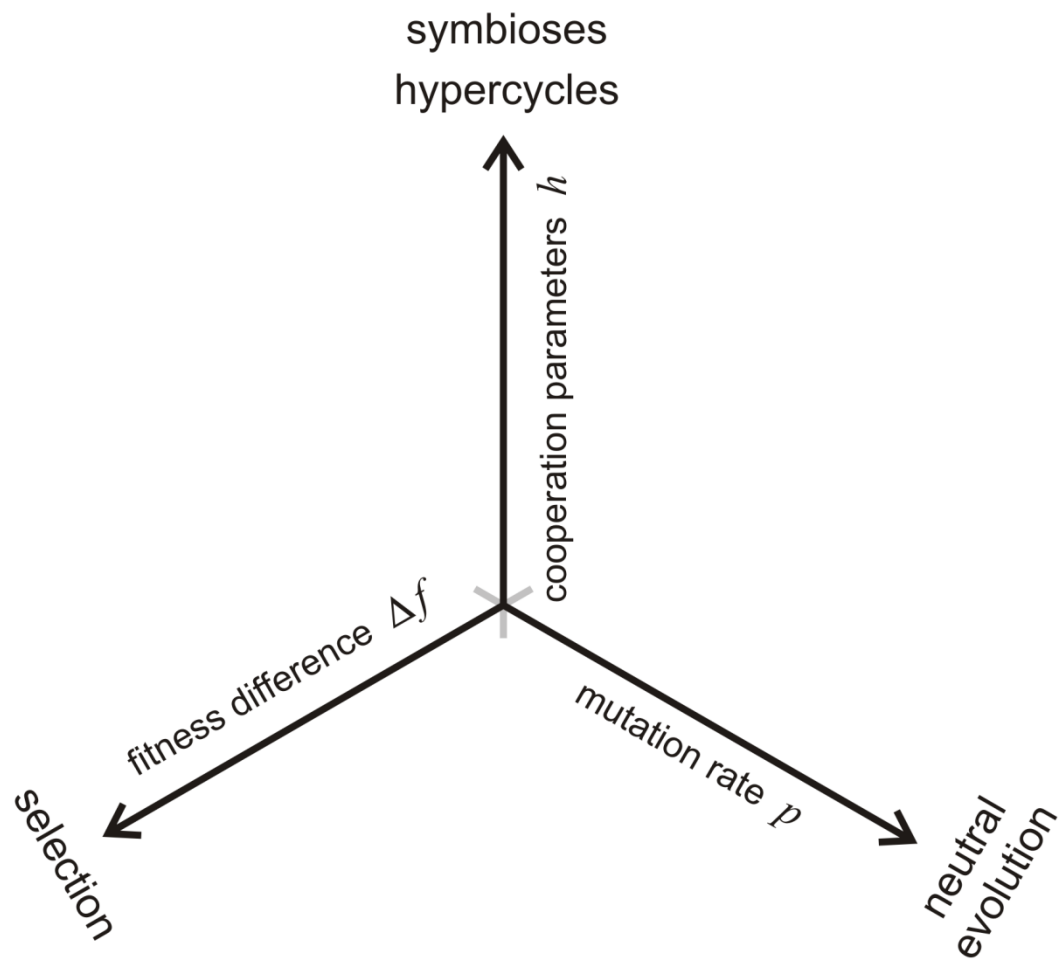
Motto: Occam's razor in the twentieth century

Everything should be made as simple as possible, but not simpler.

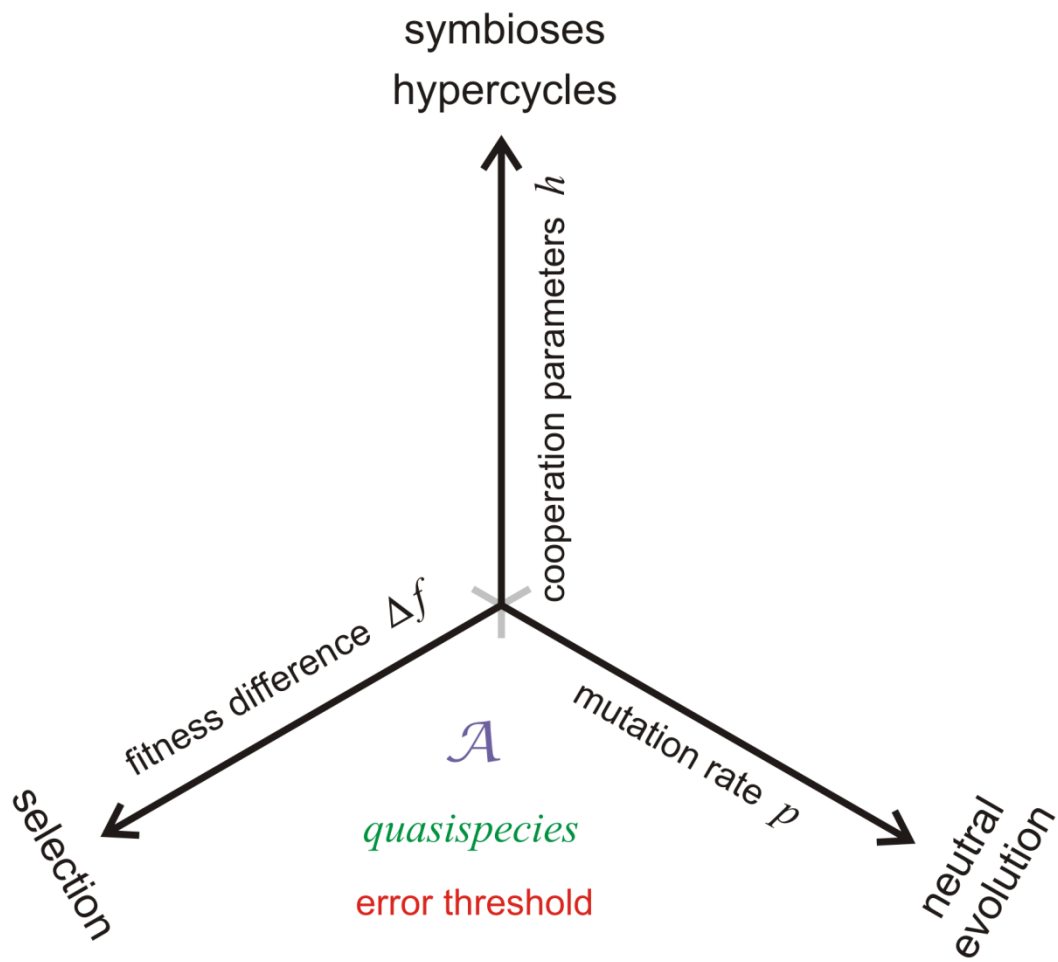
Attributed to Albert Einstein



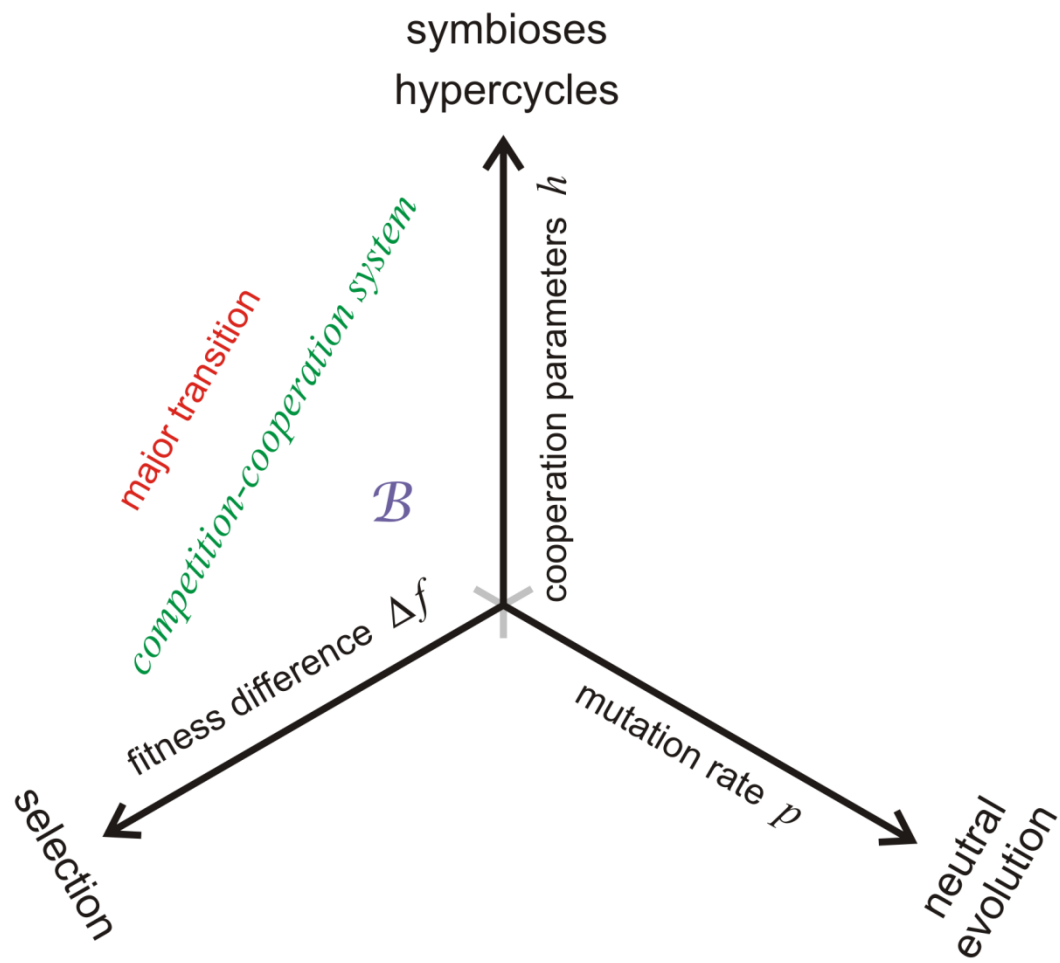
The three major processes driving evolution



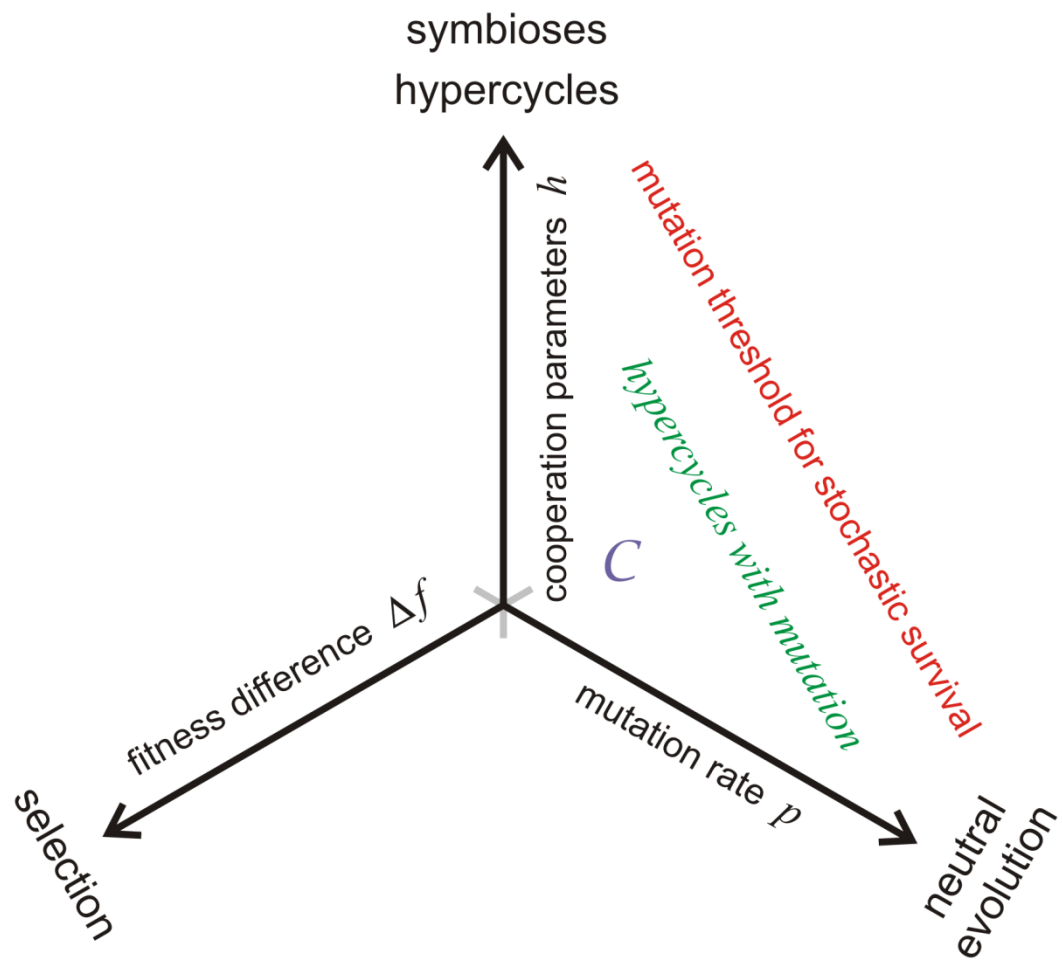
Three internal parameters driving evolution



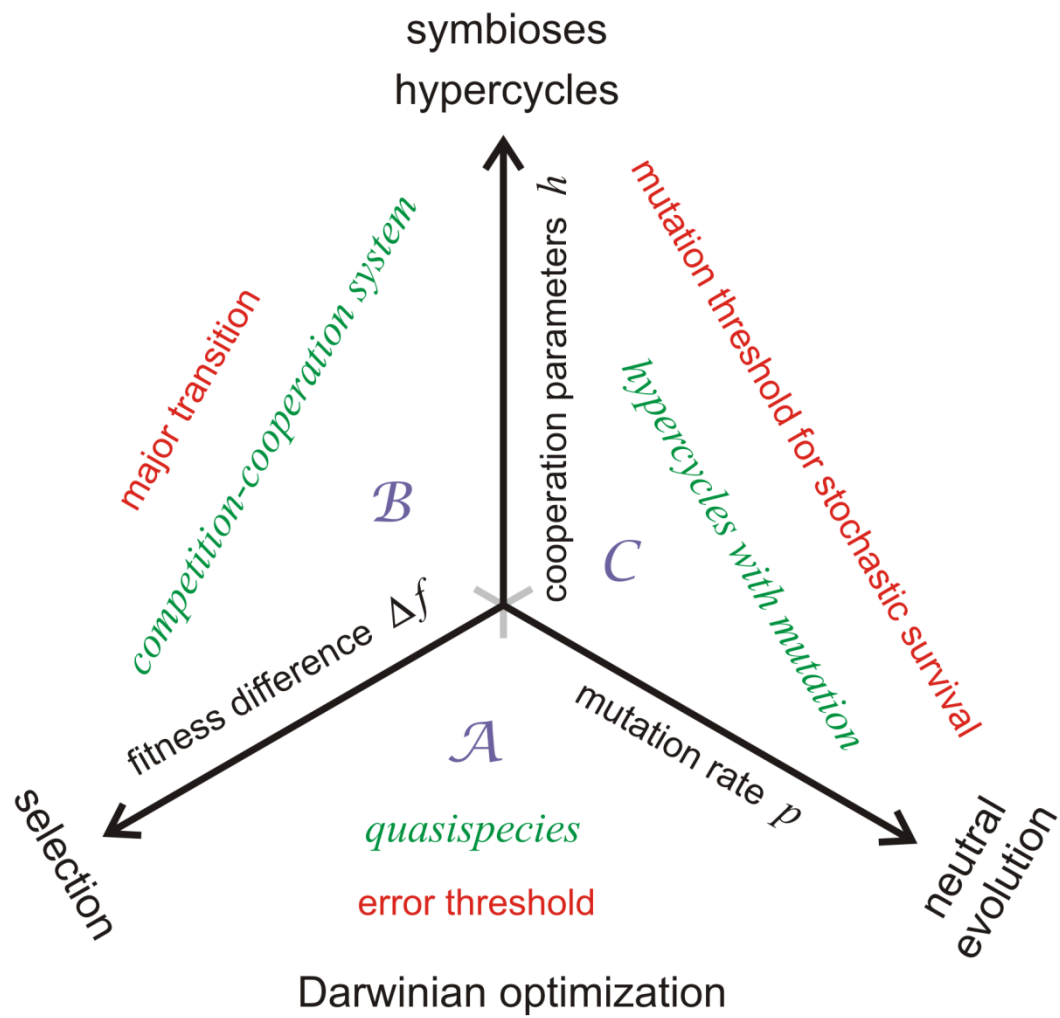
Competition and variation: error threshold



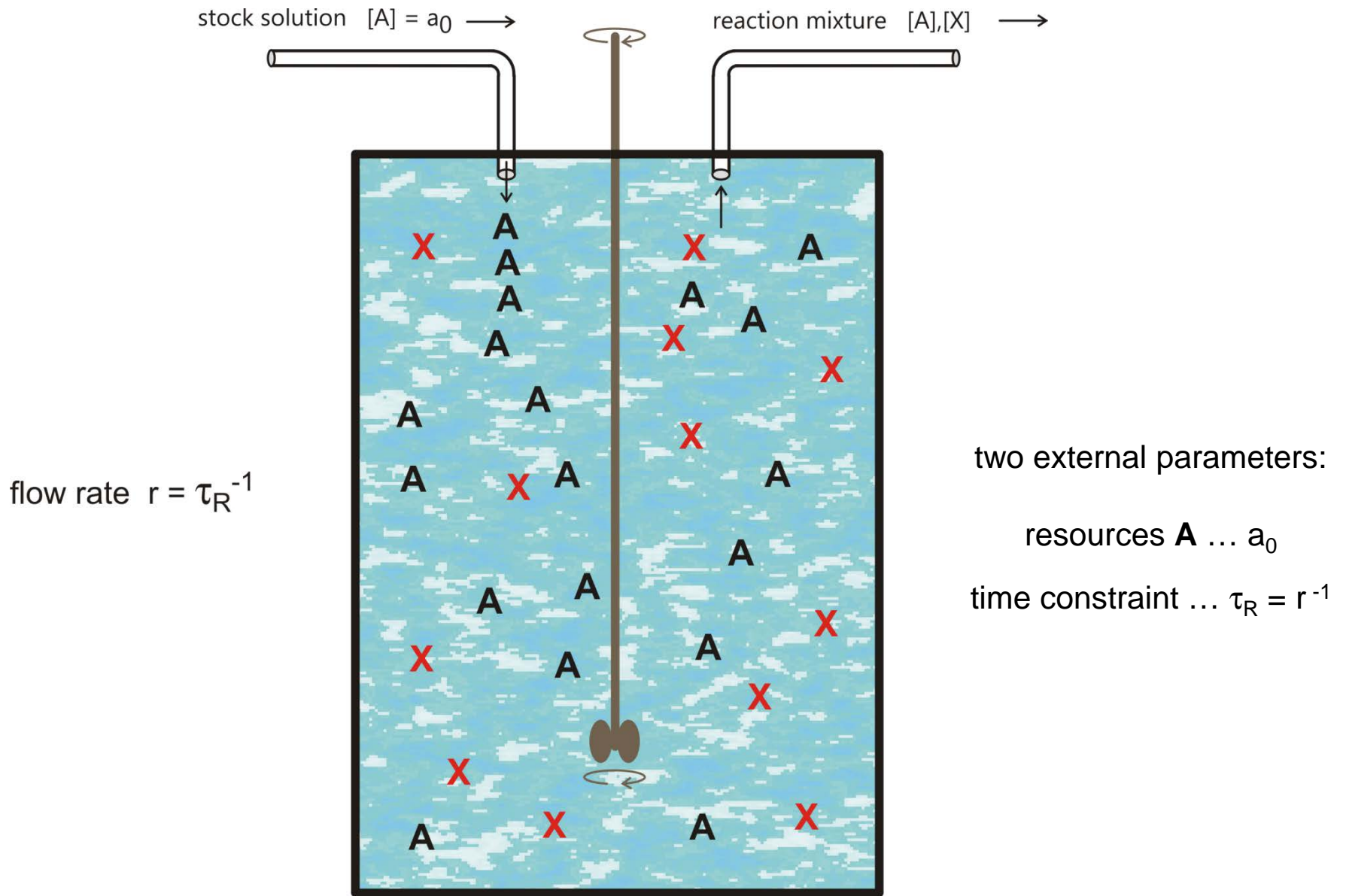
Competition and cooperation: major transition



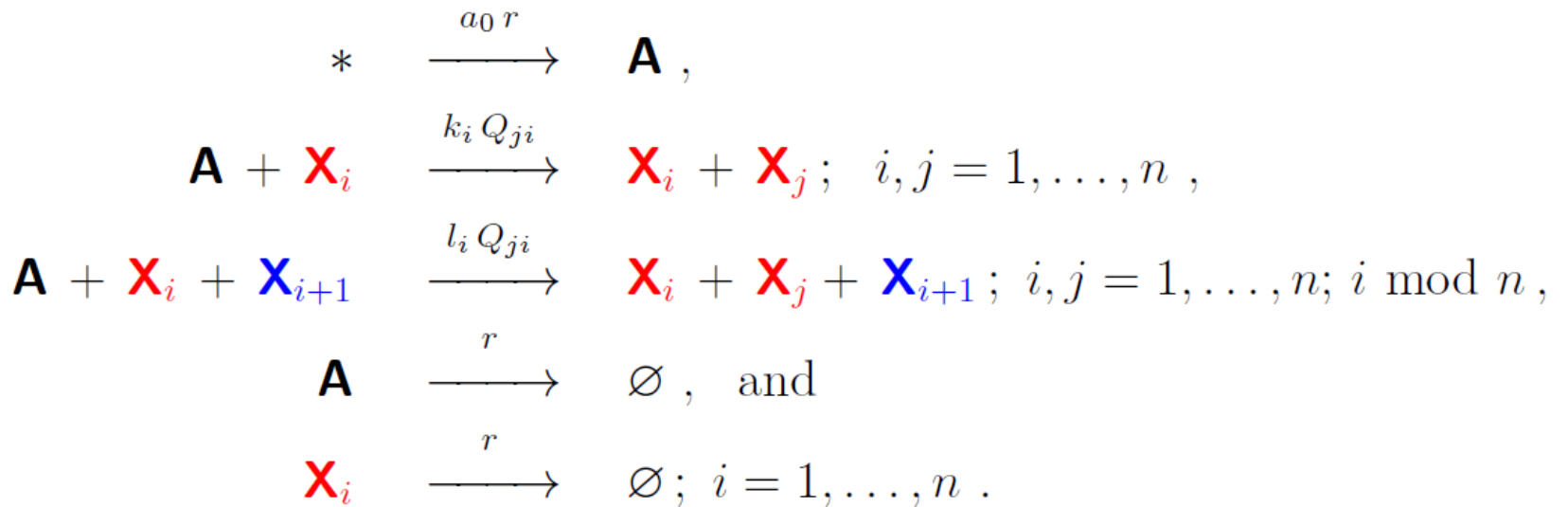
Cooperation and variation: survival threshold



The minimal model of evolution

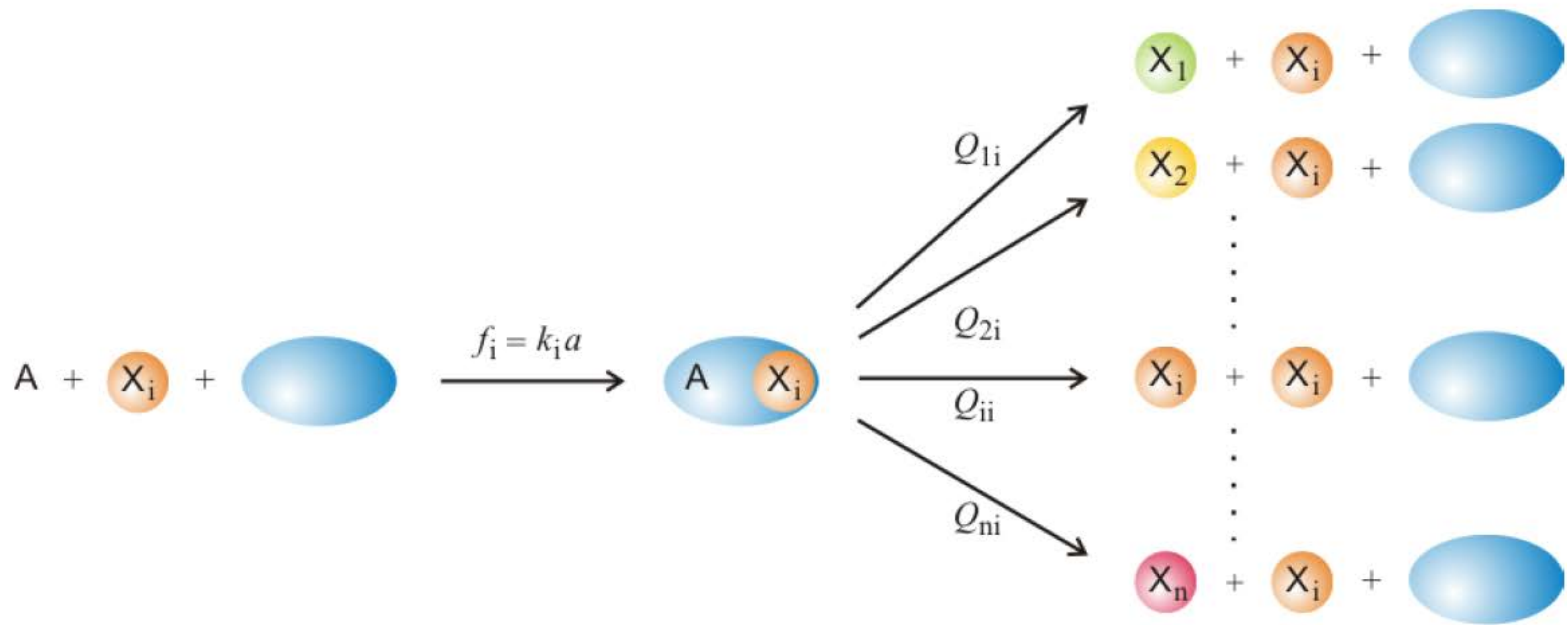


The continuously fed stirred tank reactor (CFSTR)



chemical reaction equations: $k_i, l_i \dots$ reaction rate parameters

$Q_{ji} \dots$ elements of the mutation matrix



A molecular mechanism for mutation

$$\frac{da}{dt} = -a \sum_{j=1}^n x_j (k_j + l_j x_{j+1}) + r (a_0 - a) \text{ and}$$

$$\frac{dx_i}{dt} = a \left(\sum_{j=1}^n Q_{ij} (k_j + l_j x_{j+1}) x_j \right) - r x_i; \quad i, j = 1, \dots, n; \quad j \text{ mod } n$$

$$Q_{ij}(p) = Q \varepsilon^{d_H(X_i, X_j)} \text{ with } Q = (1 - p)^v = Q_{ii} \forall i = 1, \dots, n \text{ and } \varepsilon = \frac{p}{1 - p}.$$

uniform error rate model

kinetic differential equations

$$\begin{aligned}
\frac{dP_{\mathbf{m}}}{dt} = & a_0 r P_{(\mathbf{m}; m-1)} + r \left((m+1) P_{(\mathbf{m}; m+1)} + \sum_{j=1}^n (s_j + 1) P_{(\mathbf{m}; s_j+1)} \right) + \\
& + (m+1) \sum_{j=1}^n \left((k_j + l_j s_{j+1}) (s_j - 1) P_{(\mathbf{m}; m+1, s_j-1)} \right) - \\
& - \left(r \left(a_0 + m + \sum_{j=1}^n s_j \right) + m \left(\sum_{j=1}^n (k_j + l_j s_{j+1}) s_j \right) \right) P_{\mathbf{m}} .
\end{aligned}$$

$\mathbf{m} = (m, s_1, \dots, s_n)$ and $(\mathbf{m}; m-1) = (m-1, s_1, \dots, s_n)$, etc.

$$\mathbf{m}' = (\mathbf{m}' = m \pm 1, s_1, \dots, s_n) \equiv (\mathbf{m}; m \pm 1)$$

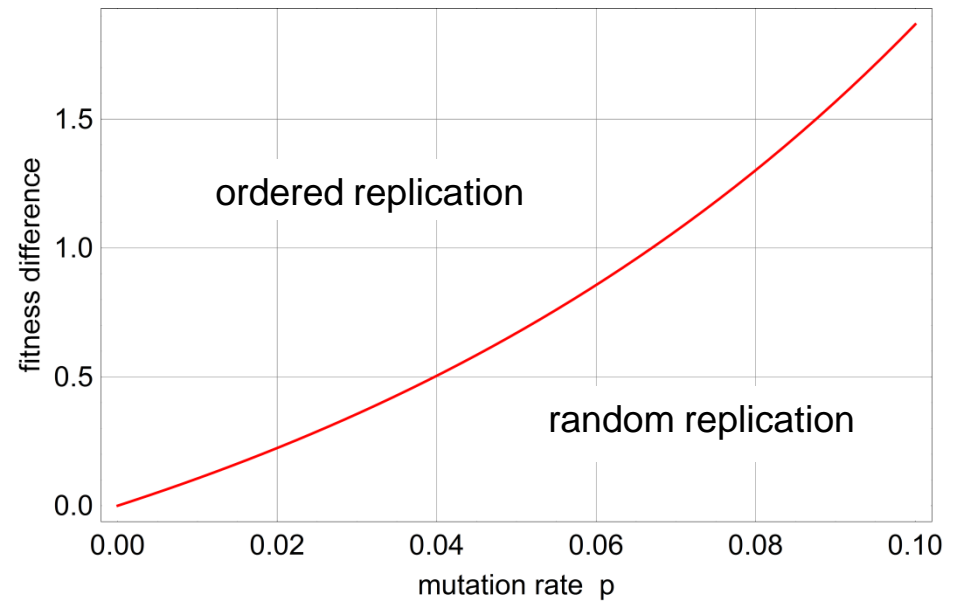
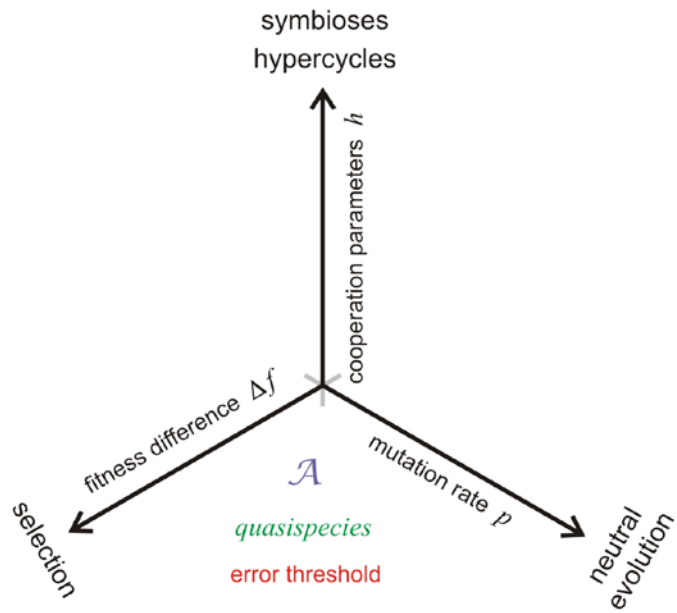
reactions $\mathbf{m} \rightarrow \mathbf{m}'$:

$$\mathbf{m}' = (\mathbf{m}' = m, s_1, \dots, s_k - 1, \dots, s_n) \equiv (\mathbf{m}; s_k - 1)$$

$$\mathbf{m}' = (\mathbf{m}' = m - 1, s_1, \dots, s'_k = s_k + 1, \dots, s_n) \equiv (\mathbf{m}; m - 1, s_k + 1)$$

master equation of the evolution model

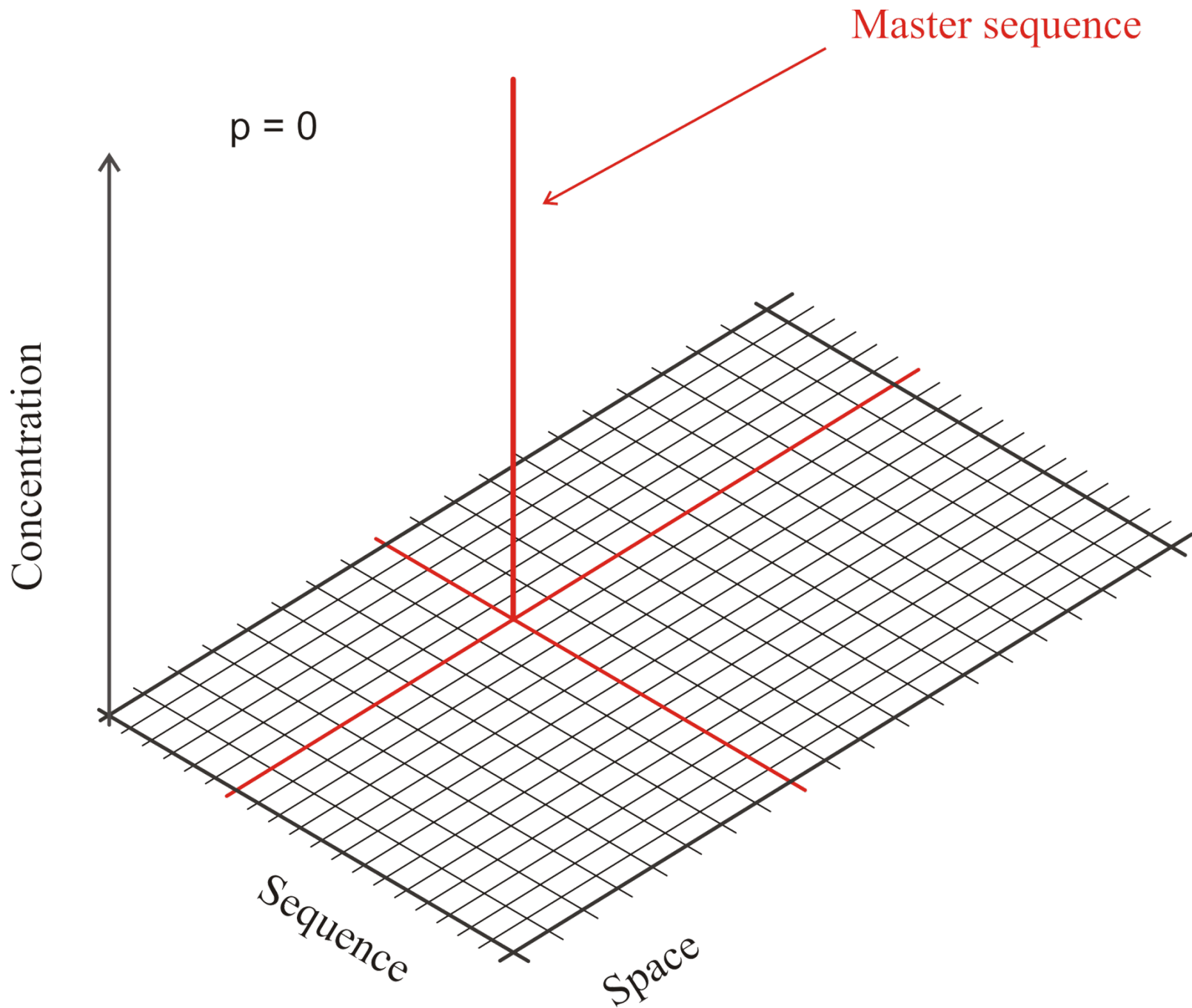
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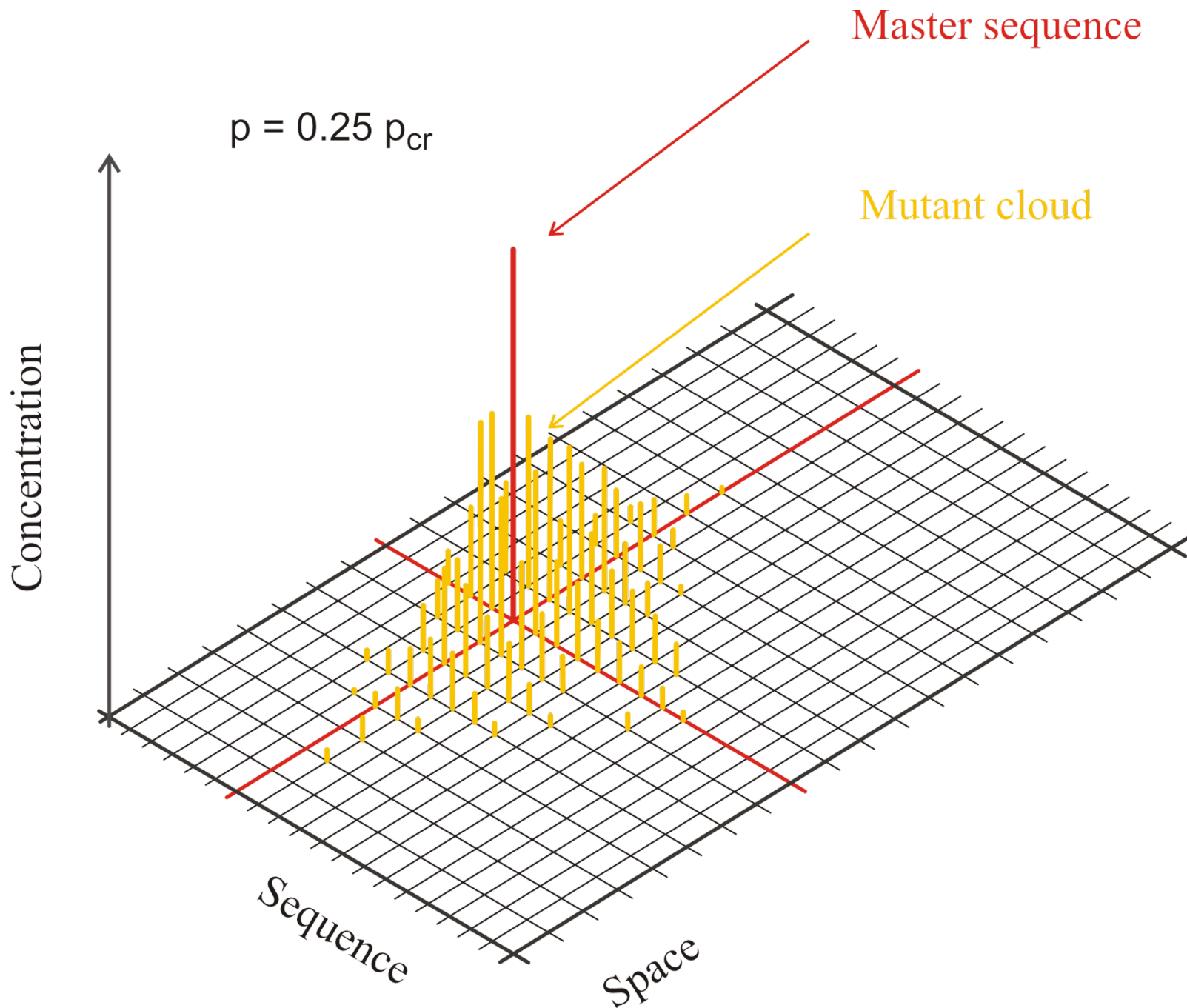


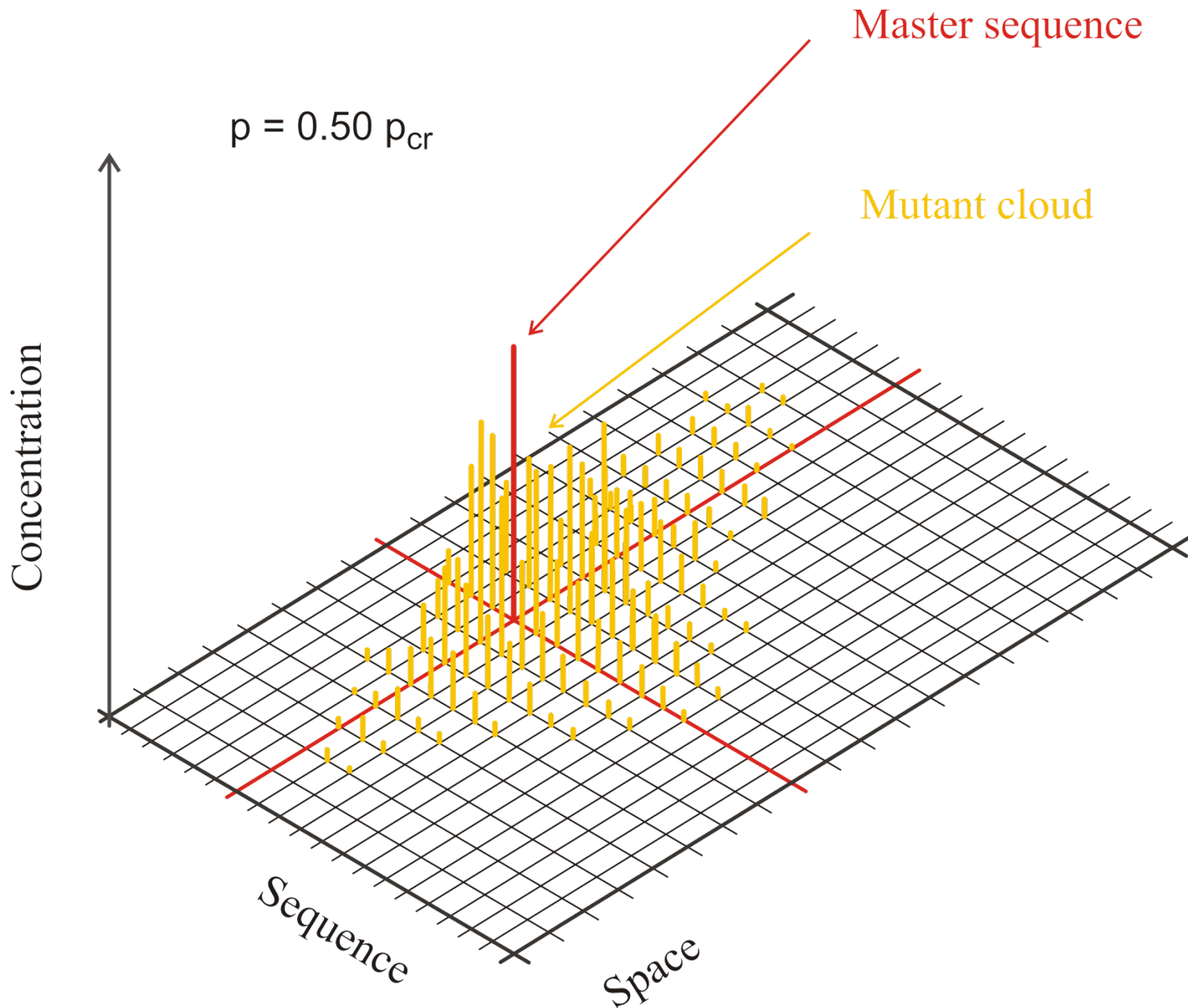
$$p_{cr} = 1 - \sigma^{-1/l}$$

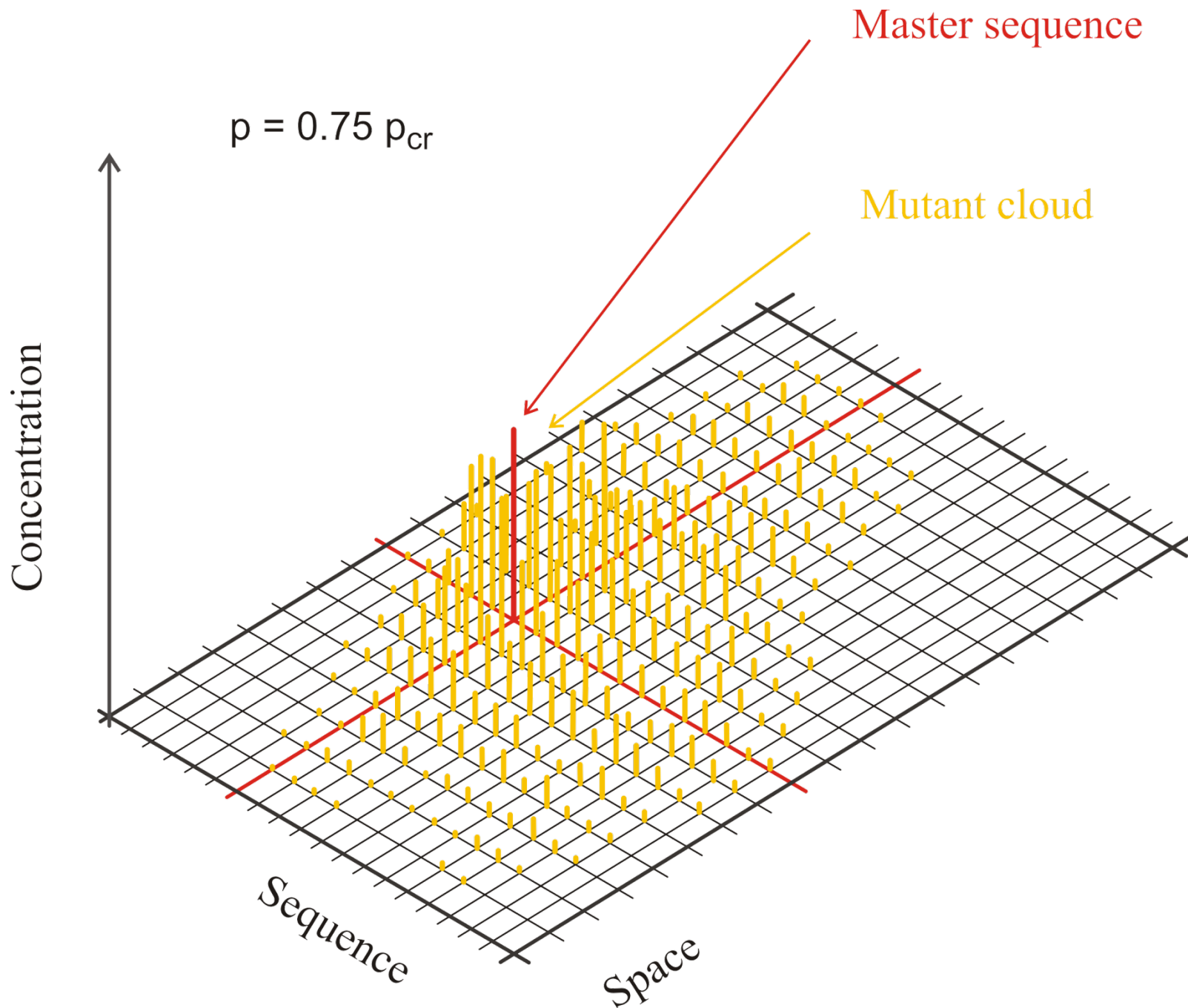
$$\sigma - 1 = \frac{\Delta f}{f} = (1 - p)^{-l} - 1$$

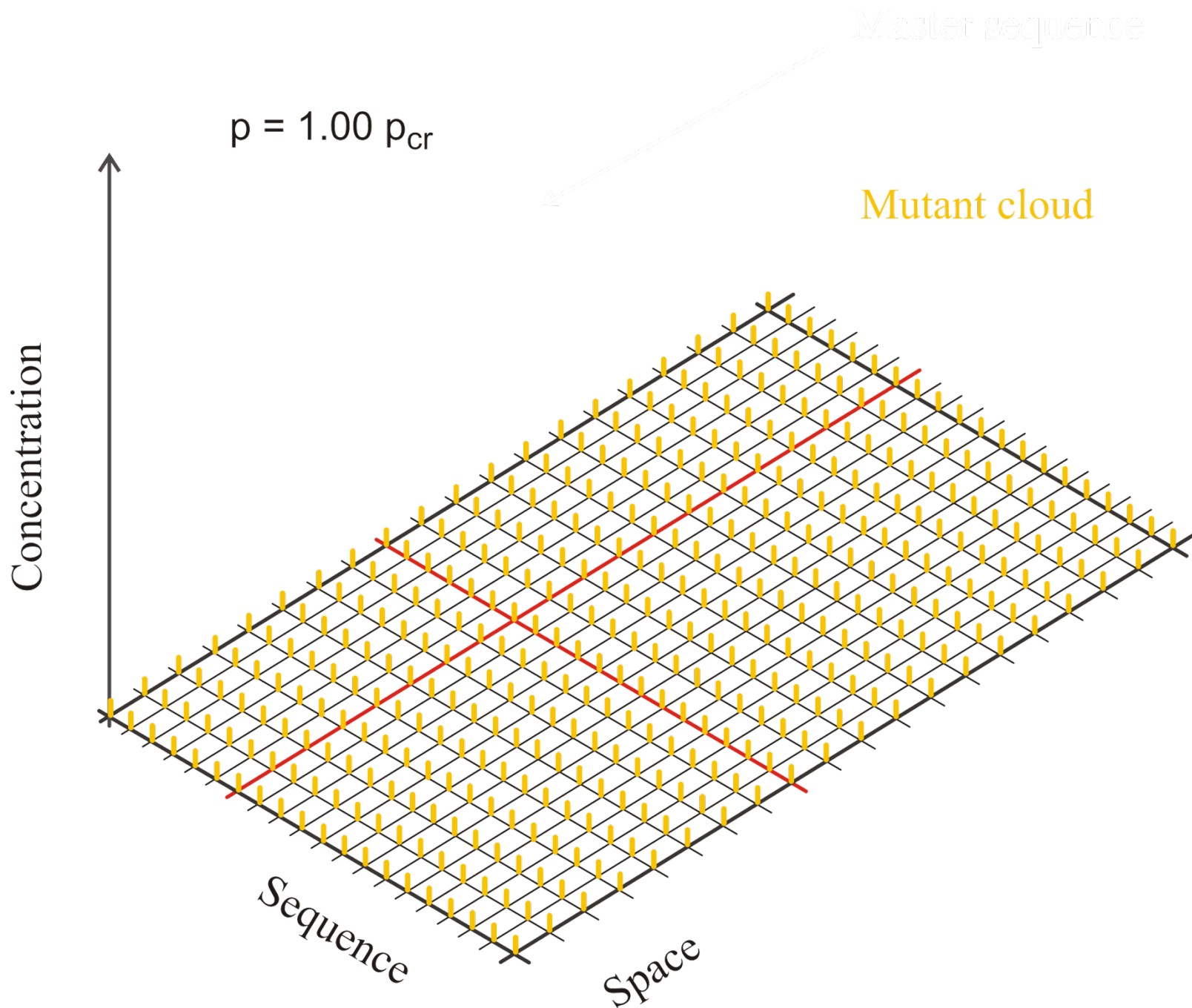
Competition and variation: error threshold

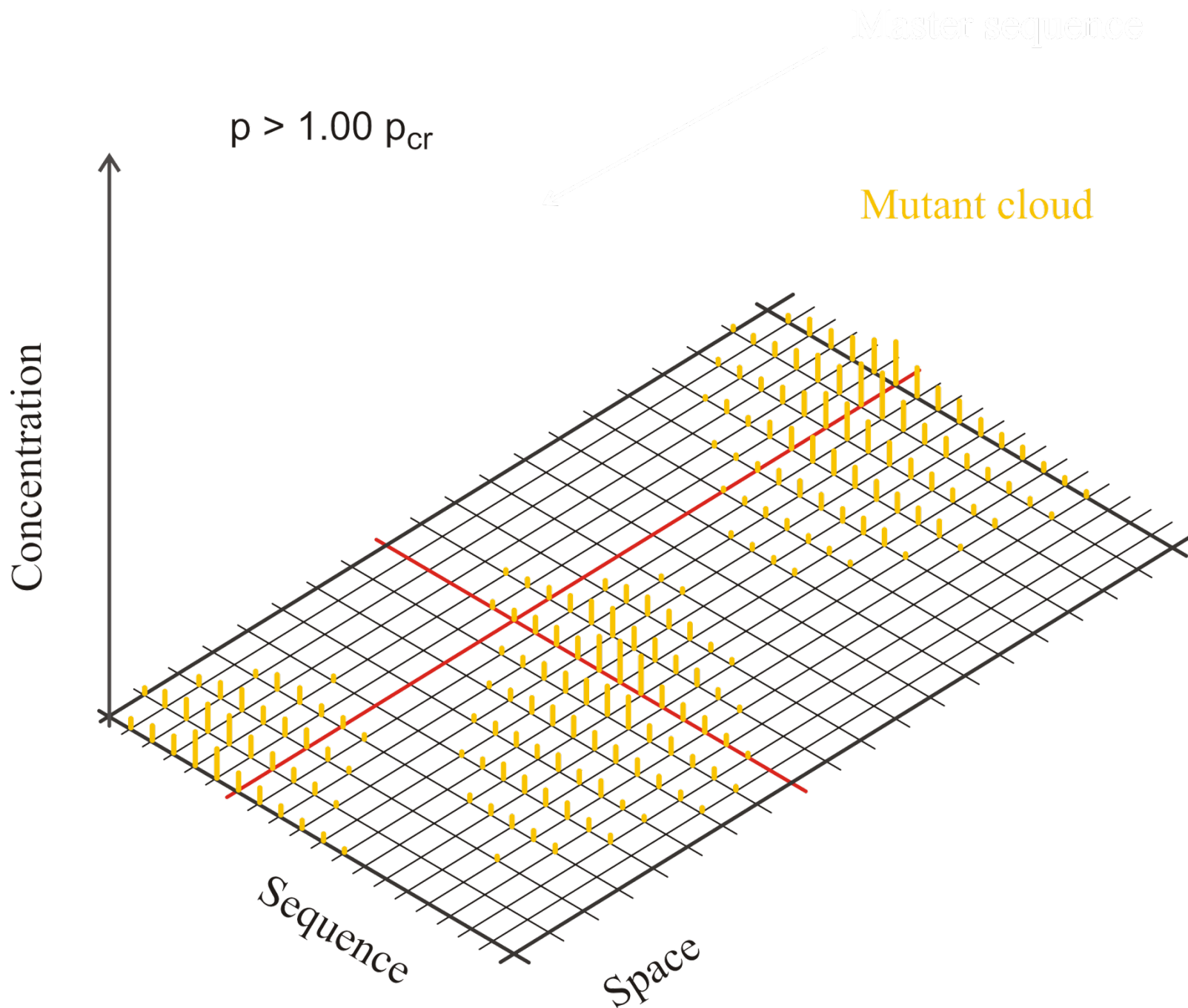


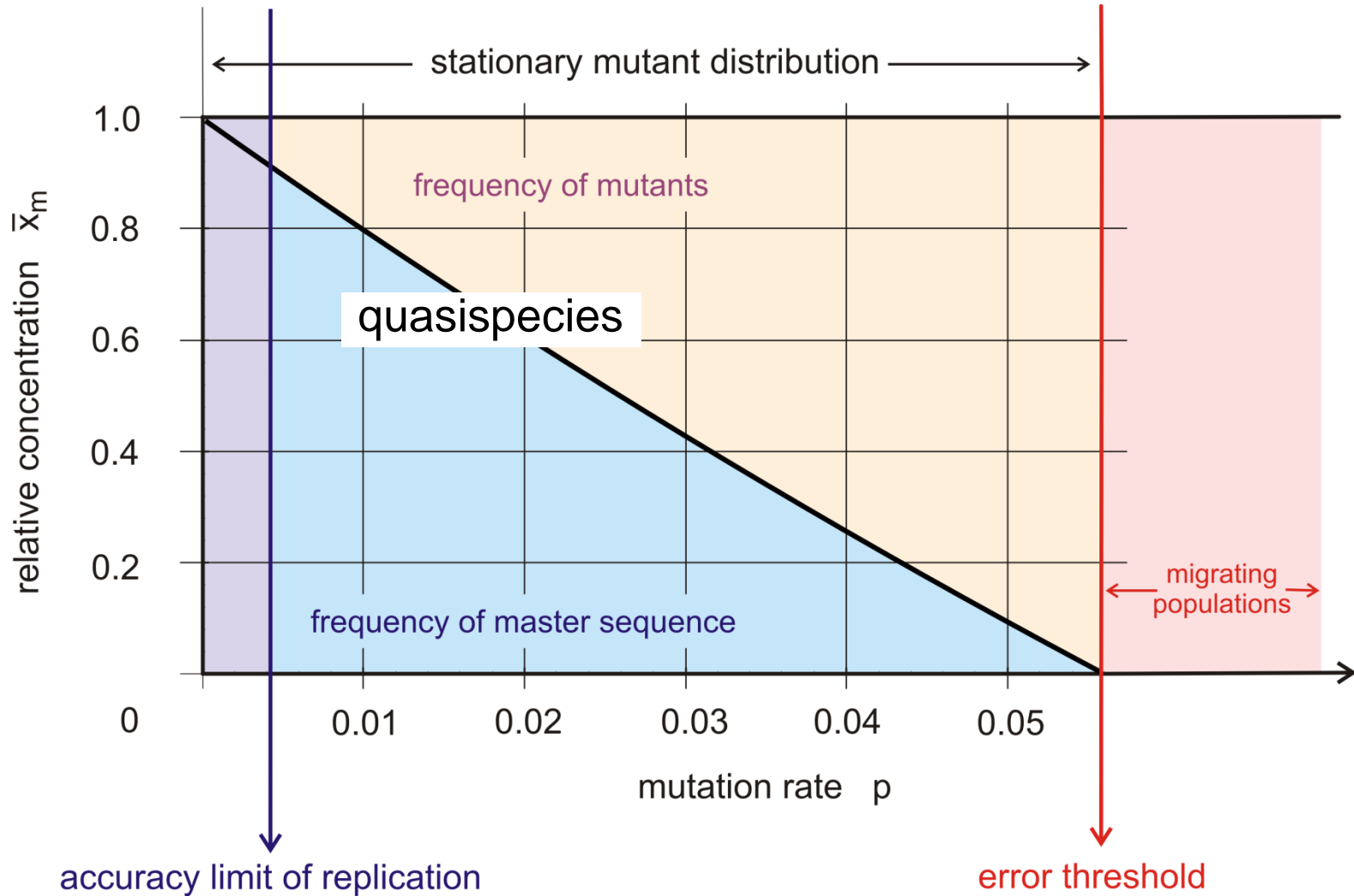






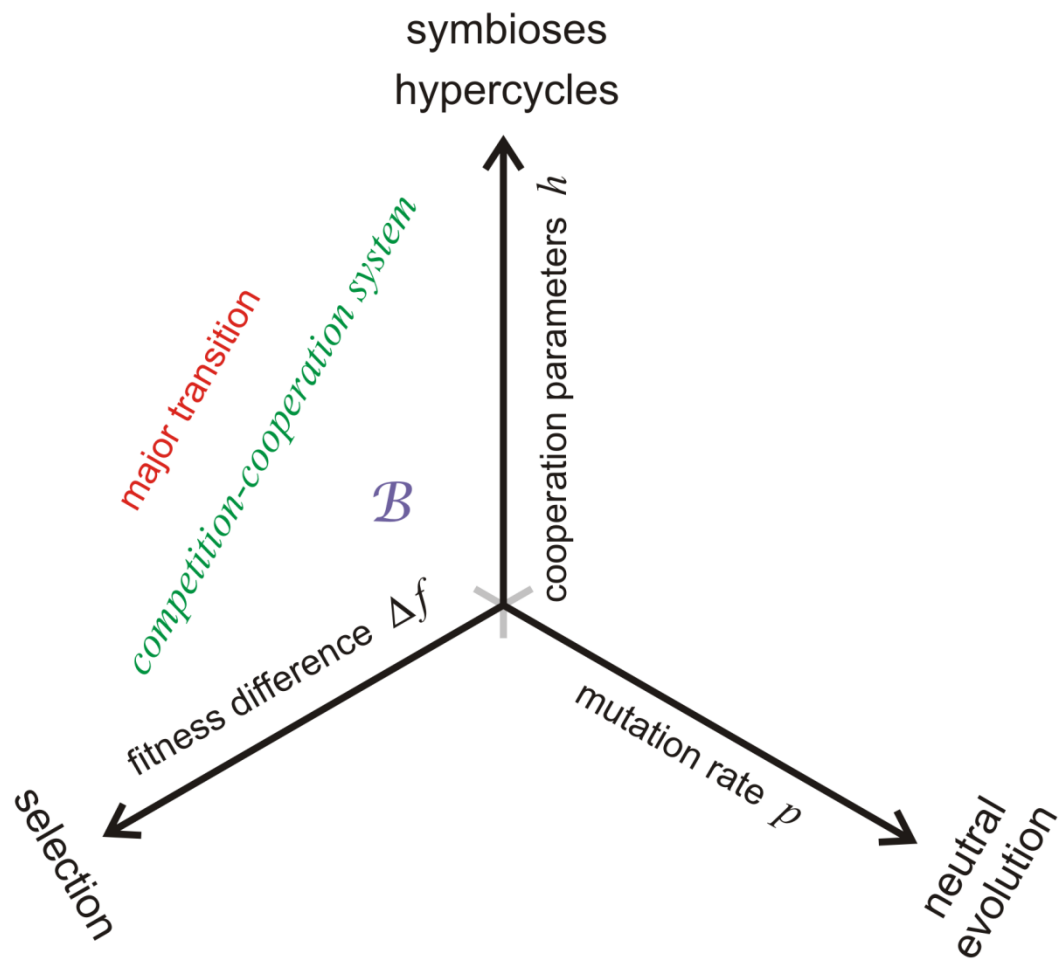




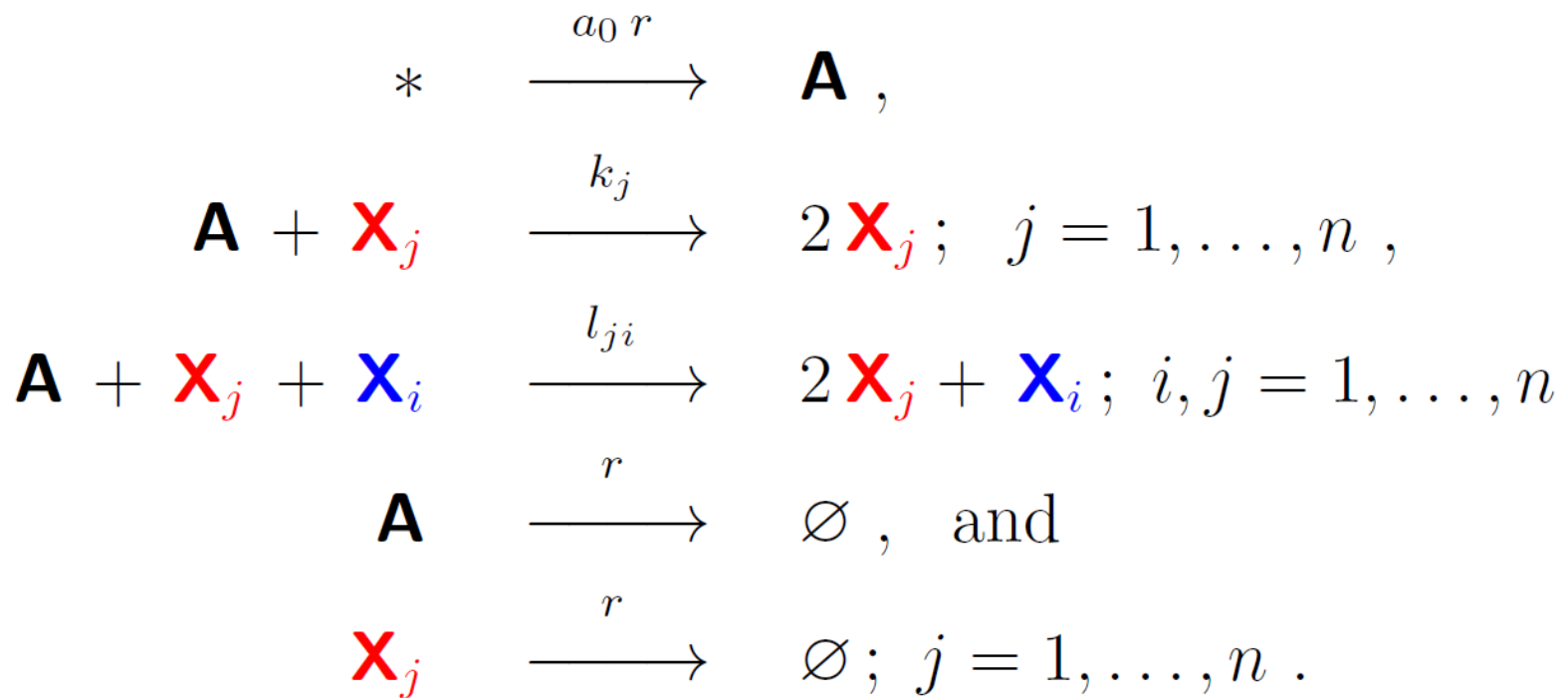


The error threshold in replication and mutation

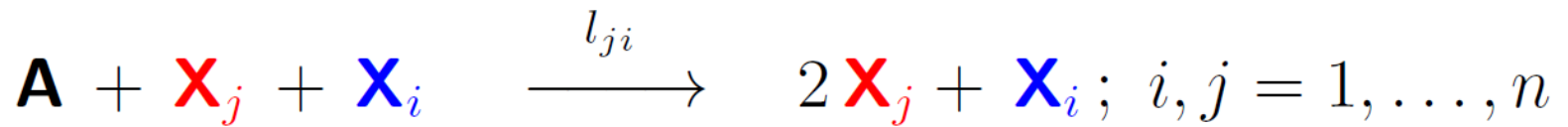
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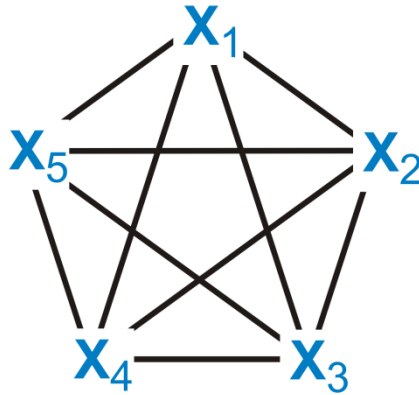
Competition and cooperation: major transition



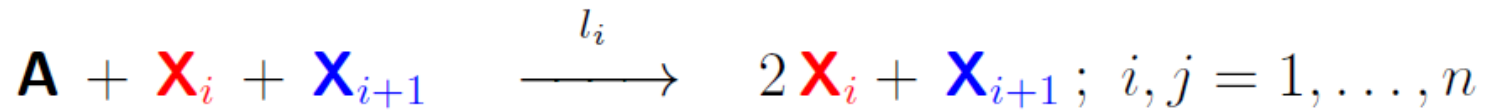
A simple model for the analysis of competition and cooperation



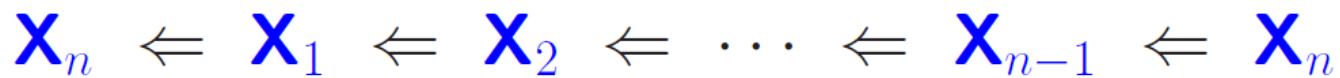
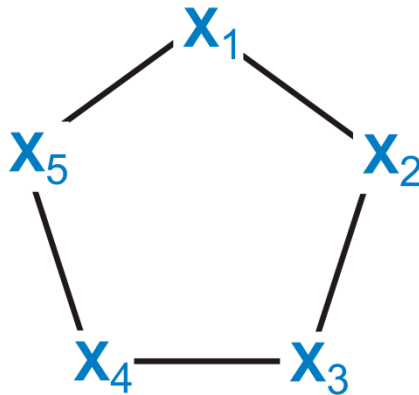
n^2 catalytic terms



A simple model for the analysis of competition and cooperation



n catalytic terms



A still simpler model for the analysis of competition and cooperation

$$\begin{array}{lcl}
 * & \xrightarrow{a_0 r} & \mathbf{A} , \\
 \mathbf{A} + \mathbf{X}_i & \xrightarrow{k_i} & 2\mathbf{X}_i; \quad i = 1, \dots, n , \\
 \mathbf{A} + \mathbf{X}_i + \mathbf{X}_{i+1} & \xrightarrow{l_i} & 2\mathbf{X}_i + \mathbf{X}_{i+1}; \quad i, j = 1, \dots, n \\
 \mathbf{A} & \xrightarrow{r} & \emptyset , \quad \text{and} \\
 \mathbf{X}_i & \xrightarrow{r} & \emptyset; \quad i = 1, \dots, n .
 \end{array}$$

A still simpler model for the analysis of competition and cooperation

$$[\mathbf{A}] = a \quad \text{and} \quad [\mathbf{X}_j] = x_j ; \quad j = 1, \dots, n$$

$$\frac{da}{dt} = -a \left(\sum_{j=1}^n (k_j + l_j x_{j+1}) x_j + r \right) + a_0 r$$

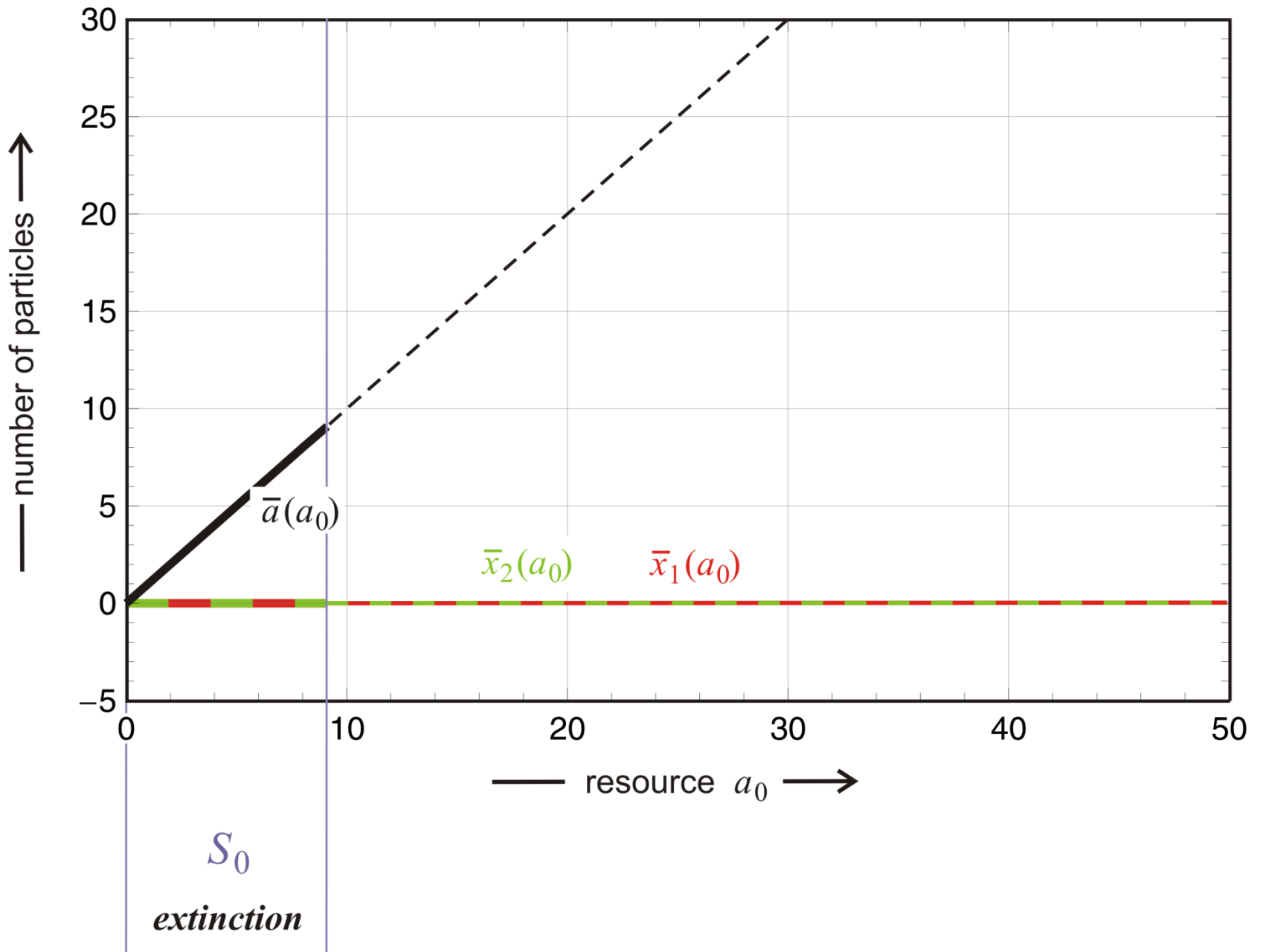
$$\frac{dx_j}{dt} = x_j \left((k_j + l_j x_{j+1}) a - r \right) ; \quad j = 1, \dots, n ; \quad j \bmod n$$

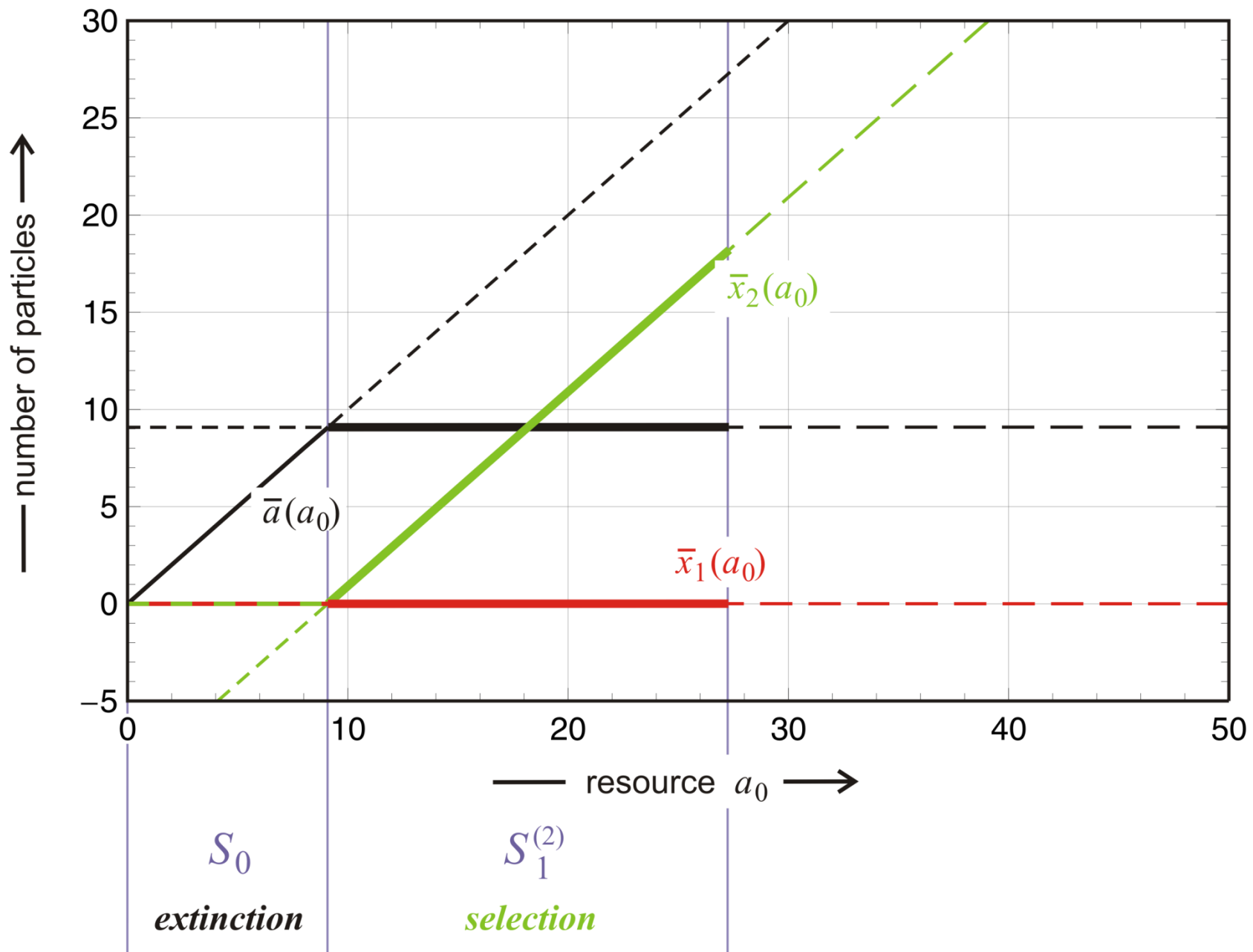
quasi-stationary solutions: (i) $\bar{x}_j = 0 ; j = 1, \dots, n$

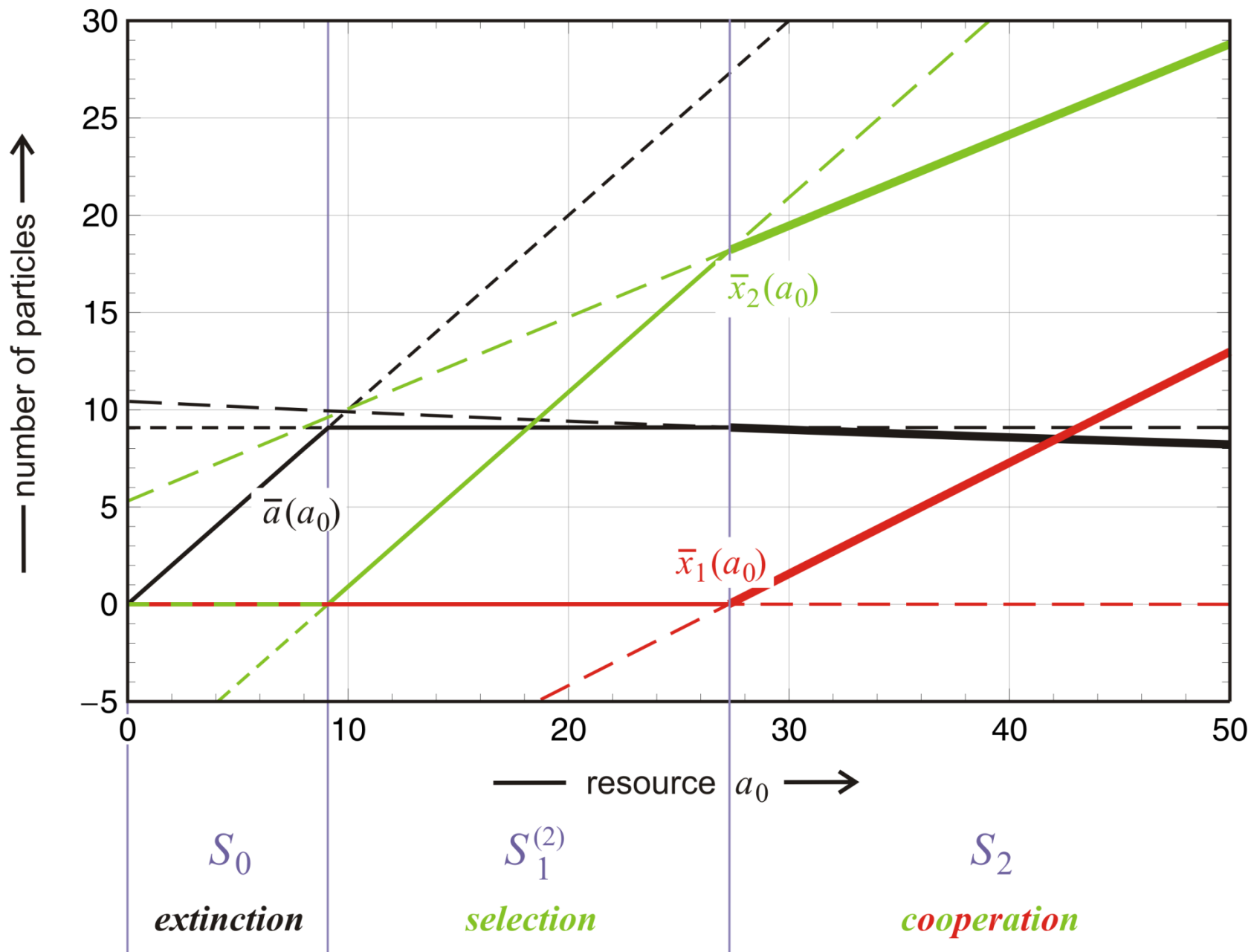
$$(ii) (k_j + l_j \bar{x}_{j+1}) \bar{a} - r = 0 ; \quad j \bmod n$$

In case of **compatibility** and **linearity** the number of stationary solutions is 2^n .

Kinetic differential equations and stationary solutions







increasing a_0 -values

$$k_1 < k_2 \text{ and } l_1 > l_2$$



$$S_0 \leftrightarrow S_1^{(3)}$$



$$S_1^{(3)} \leftrightarrow S_2$$



Name	Symbol	Stationary Values			Stability Range
		\bar{a}	\bar{x}_1	\bar{x}_2	
extinction	S_0	a_0	0	0	$0 \leq a_0 \leq \frac{r}{k_2}$
selection	$S_1^{(2)}$	$\frac{r}{k_2}$	0	$a_0 - \frac{r}{k_2}$	$\frac{r}{k_2} \leq a_0 \leq \frac{r}{k_2} + \frac{k_2 - k_1}{l_1}$
cooperation	S_2	α	$\frac{r - k_2 \alpha}{l_2 \alpha}$	$\frac{r - k_1 \alpha}{l_1 \alpha}$	$\frac{r}{k_2} + \frac{k_2 - k_1}{l_1} \leq a_0$

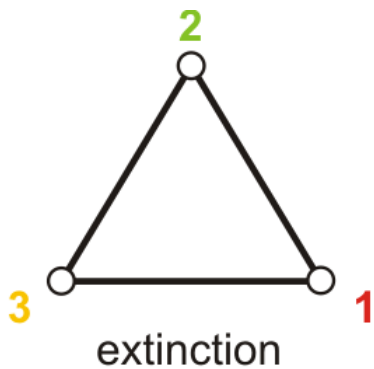
$$\bar{a}_{S_2} = \alpha = \frac{1}{2} \left(a_0 + \psi - \sqrt{(a_0 + \psi)^2 - 4r\phi} \right) \text{ with } \psi = \sum_{i=1}^n \frac{k_i}{l_i}, \phi = \sum_{i=1}^n \frac{1}{l_i}$$

$$r \leq \frac{1}{4\phi} (a_0 + \psi)^2$$

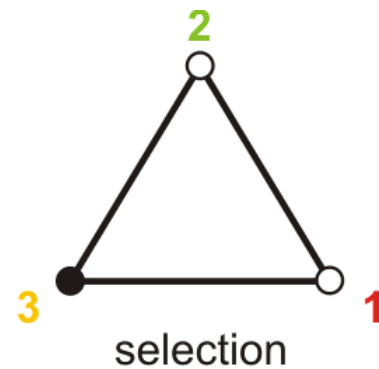
$$k_1 < k_2 < k_3$$

$$l_1 > l_2 > l_3$$

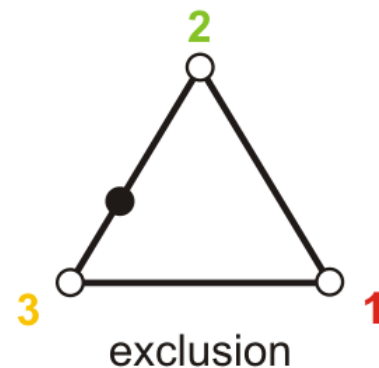
increasing a_0 -values



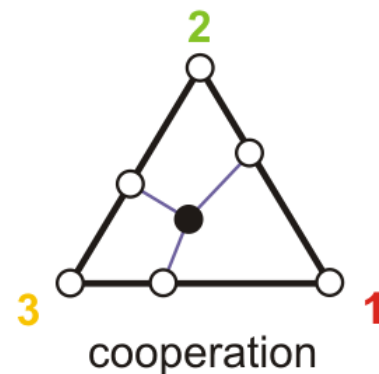
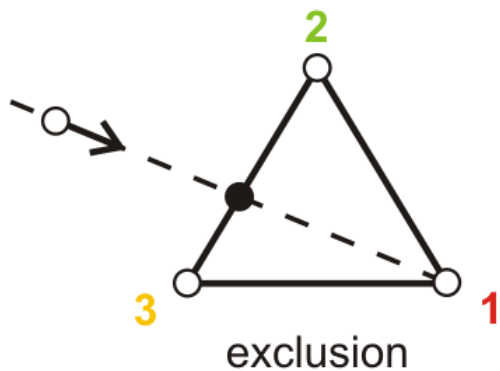
$$S_0 \leftrightarrow S_1^{(3)}$$



$$S_1^{(3)} \leftrightarrow S_2^{(1)}$$



$$S_2^{(1)} \leftrightarrow S_3$$



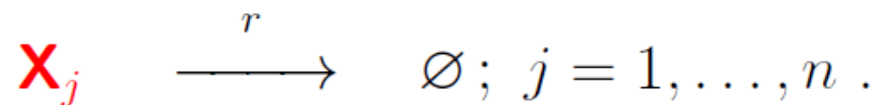
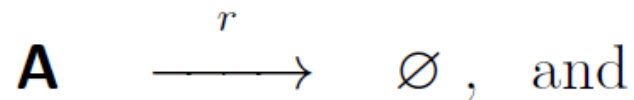
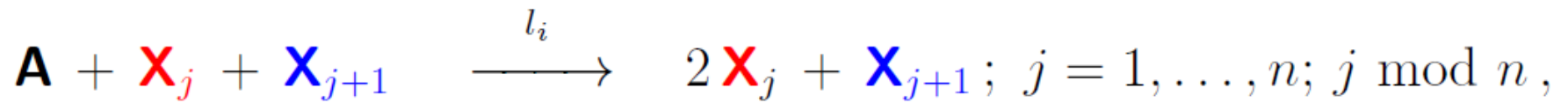
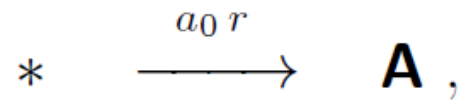
$$k_1 < k_2 < k_3 \text{ and } l_1 > l_2 > l_3$$

increasing a_0 -values

Name	Symbol	Stationary Values				Stability Range
		\bar{a}	\bar{x}_1	\bar{x}_2	\bar{x}_3	
extinction	S_0	a_0	0	0	0	$0 \leq a_0 \leq \frac{r}{k_3}$
selection	$S_1^{(3)}$	$\frac{r}{k_3}$	0	0	$a_0 - \frac{r}{k_3}$	$\frac{r}{k_3} \leq a_0 \leq \frac{r}{k_3} + \frac{k_3 - k_2}{l_2}$
exclusion	$S_2^{(1)}$	$\frac{r}{k_3}$	0	$a_0 - \frac{r}{k_3} - \frac{k_3 - k_2}{l_2}$	$\frac{k_3 - k_2}{l_2}$	$\frac{r}{k_3} + \frac{k_3 - k_2}{l_2} \leq a_0 \leq \frac{r}{k_3} + \frac{k_3 - k_2}{l_2} + \frac{k_3 - k_1}{l_1}$
cooperation	S_3	α	$\frac{r - k_3 \alpha}{l_3 \alpha}$	$\frac{r - k_1 \alpha}{l_1 \alpha}$	$\frac{r - k_2 \alpha}{l_2 \alpha}$	$\frac{r}{k_3} + \frac{k_3 - k_2}{l_2} + \frac{k_3 - k_1}{l_1} \leq a_0$

$$\bar{a}_{S_2} = \alpha = \frac{1}{2} \left(a_0 + \psi - \sqrt{(a_0 + \psi)^2 - 4r\phi} \right) \text{ with } \psi = \sum_{i=1}^n \frac{k_i}{l_i}, \phi = \sum_{i=1}^n \frac{1}{l_i}$$

$$r \leq \frac{1}{4\phi} (a_0 + \psi)^2$$



Hypercycle dynamics in the flow reactor

$$\frac{da}{dt} = -a \left(\sum_{j=1}^n l_j x_j x_{j+1} + r \right) + a_0 r$$

$$\frac{dx_j}{dt} = x_j (l_j a x_{j+1} - r); \quad j = 1, \dots, n; \quad j \bmod n$$

change of coordinates: $\xi_{j+1} = l_j x_{j+1}$ leads to

$$\frac{d\xi_j}{dt} = \xi_j (a \xi_{k+1} - r); \quad j = 1, \dots, n; \quad j, j+1 \bmod n$$

$$\bar{\xi} = (\bar{\xi}_1, \dots, \bar{\xi}_n) = \left(\frac{r}{\bar{a}}, \dots, \frac{r}{\bar{a}} \right), \quad \bar{\xi}_j = \bar{\xi} = r / \bar{a}$$

$$\bar{\xi} = \frac{1}{2\phi} \left(a_0 + \sqrt{a_0^2 - 4r\phi} \right)$$

eigenvalues of the Jacobian: $\omega_k; \quad k = 0, 1, \dots, n-1$

$$\omega_0 = \bar{\xi}(a_0 - 2\bar{\xi}\phi) < 0 \quad \text{and} \quad \omega_k = r \exp\left(\frac{2\pi i}{n} k\right)$$

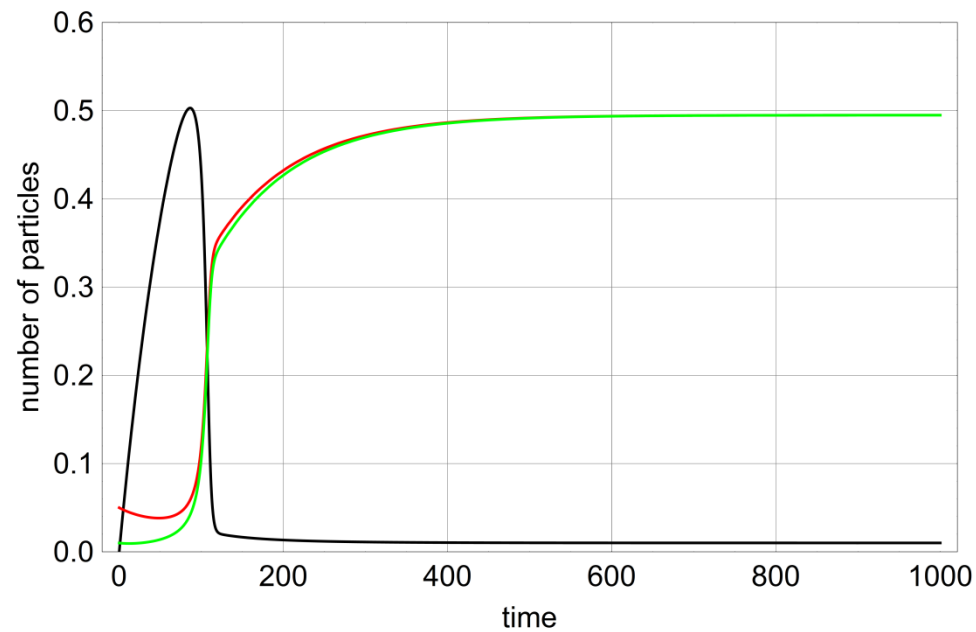
barycentric transformation

Long-time behavior of hypercycles in the flow reactor

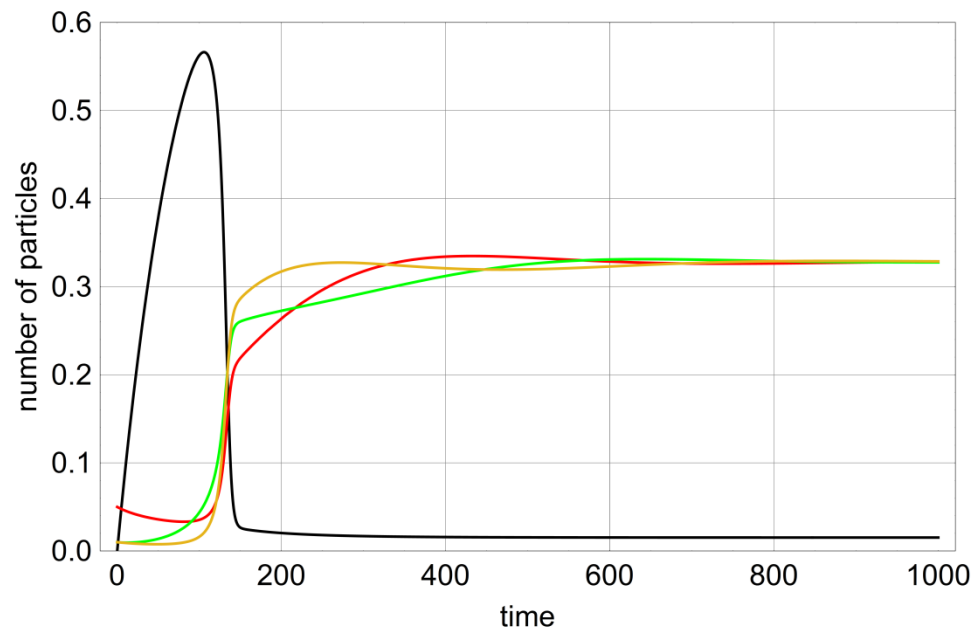
P. Schuster, K. Sigmund. Dynamics of evolutionary optimization.

Ber.Bunsenges.Phys.Chem. **89**:668-682, 1985.

$n = 2$
 $l_1 = l_2 = 2, r = 0.01, a_0 = 1$
 $a(0) = 0, x_1(0) = 0.05, x_2(0) = 0.01$



$n = 3$
 $l_1 = l_2 = l_3 = 2, r = 0.01, a_0 = 1$
 $a(0) = 0, x_1(0) = 0.05,$
 $x_2(0) = x_3(0) = 0.01$

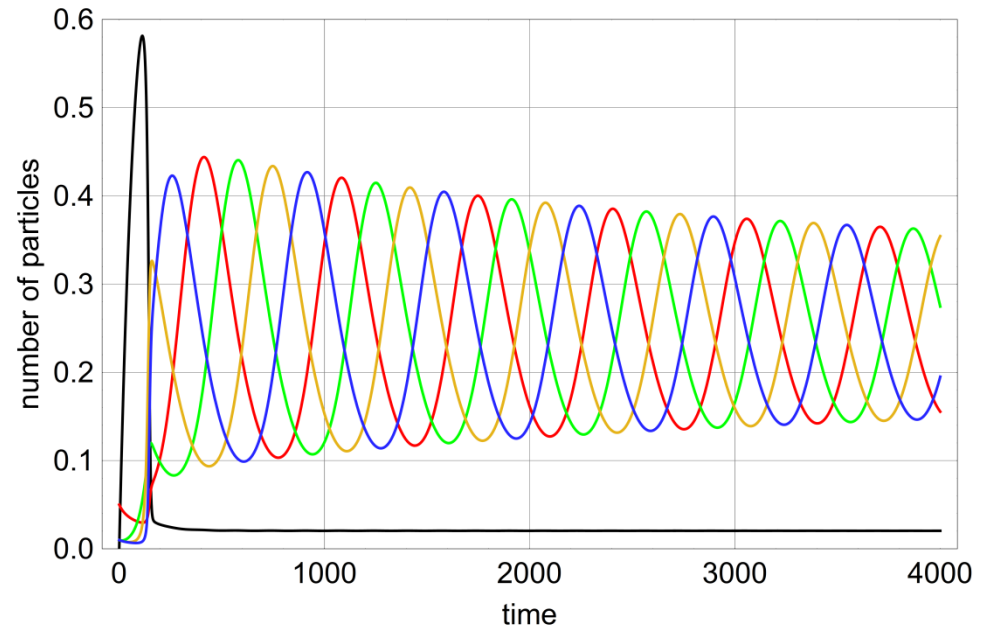


$$n = 4$$

$$l_1 = l_2 = l_3 = l_4 = 2, r = 0.01, a_0 = 1$$

$$a(0) = 0, x_1(0) = 0.05,$$

$$x_2(0) = x_3(0) = x_4(0) = 0.01$$



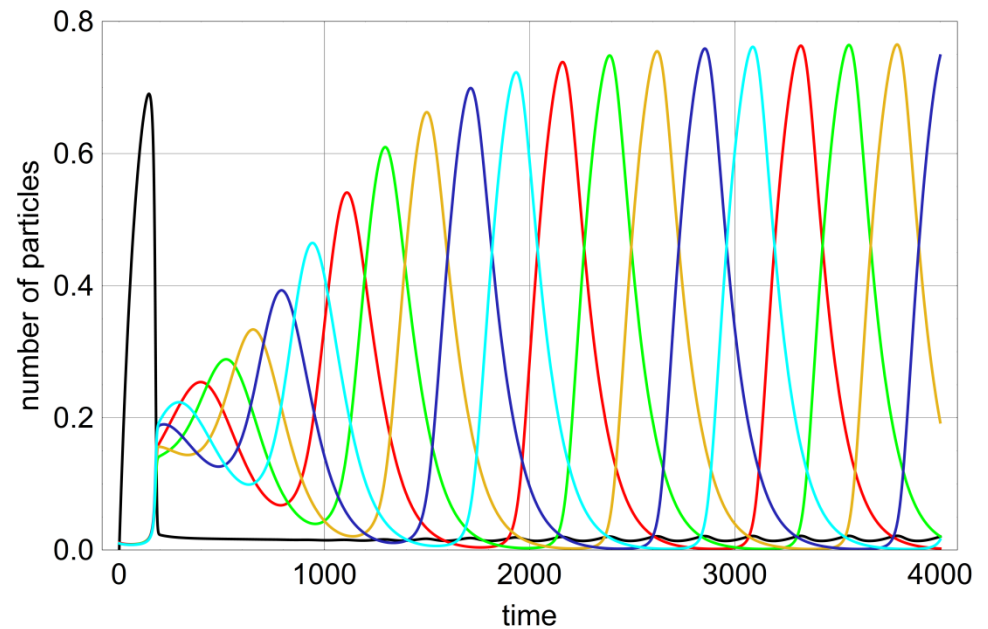
$$n = 5$$

$$l_1 = l_2 = l_3 = l_4 = l_5 = 3,$$

$$r = 0.01, a_0 = 1$$

$$a(0) = 0, x_1(0) = 0.011,$$

$$x_2(0) = x_3(0) = x_4(0) = x_5(0) = 0.01$$



$$[\mathbf{A}] = m, [\mathbf{X}_j] = s_j; j = 1, \dots, n$$

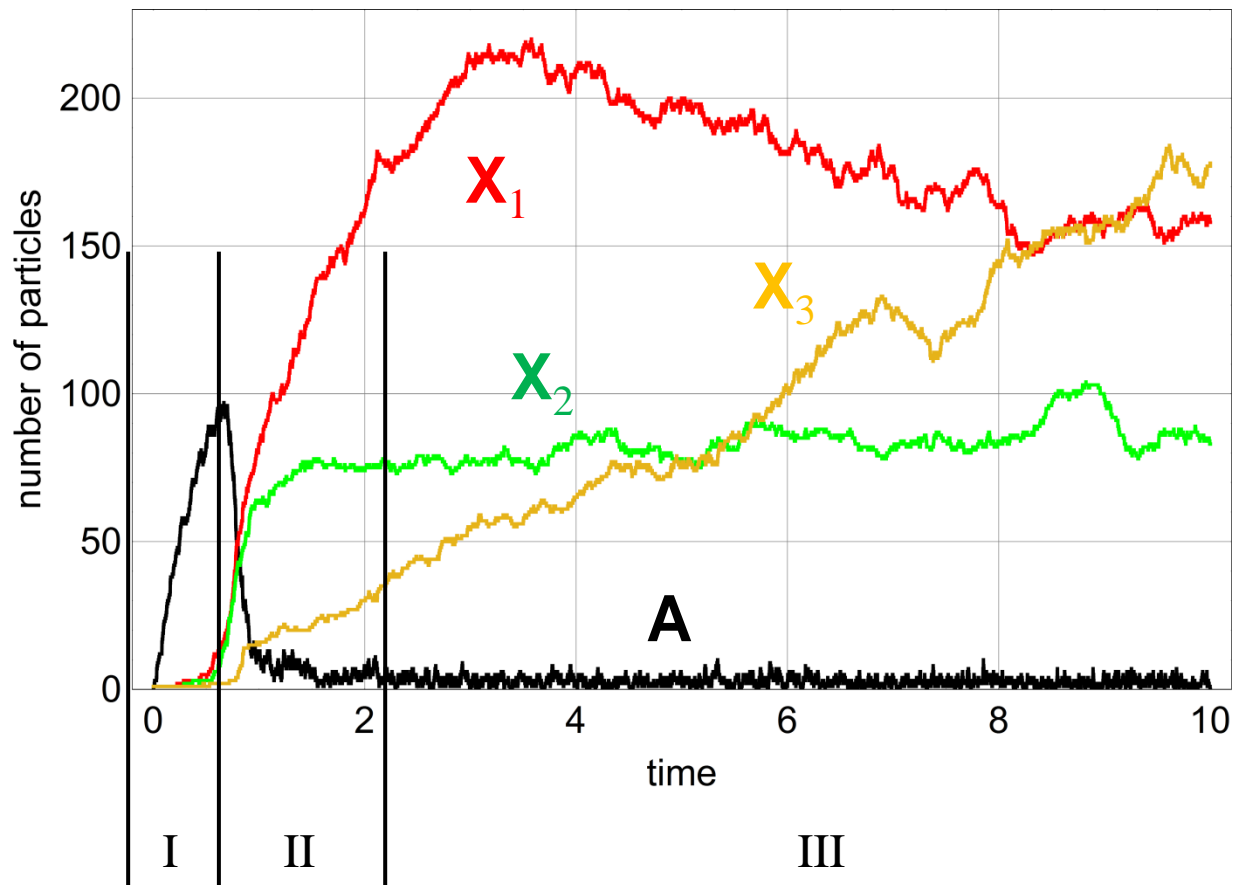
$$\mathbf{X} = (m, s_j; j = 1, \dots, n)$$

$$(\mathbf{X}; s'_k) = (m, s_1, \dots, s_k = k', \dots, n) = (s'_k)$$

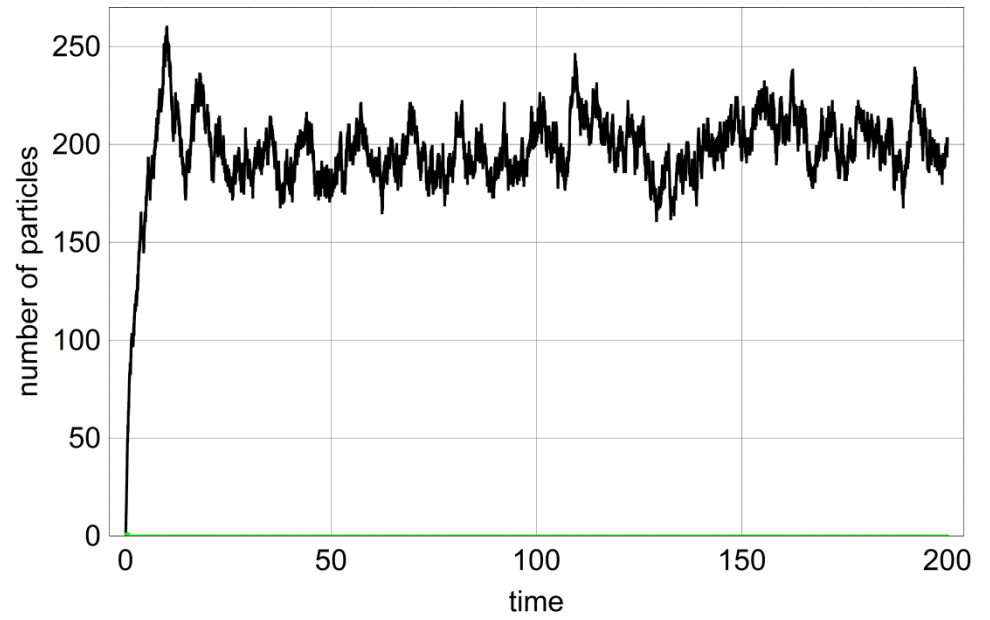
$$P_{\mathbf{X}}(t) = \text{Prob}\left([\mathbf{A}(t)] = m, [\mathbf{X}_j(t)] = s_j; j = 1, \dots, n\right)$$

$$\begin{aligned} \frac{dP_{\mathbf{X}}}{dt} = & a_0 r P_{(m-1)} + r \left((m+1) P_{(m+1)} + \sum_{j=1}^n (s_j + 1) P_{(s+1)} \right) + \\ & + (m+1) \sum_{j=1}^n \left((k_j + l_j s_{j+1}) (s_j - 1) P_{(m+1, s_j-1)} \right) - \\ & - \left(r \left(a_0 + m + \sum_{j=1}^n s_j \right) + m \left(\sum_{j=1}^n (f_j + k_j s_{j+1}) s_j \right) \right) P_{\mathbf{X}} \end{aligned}$$

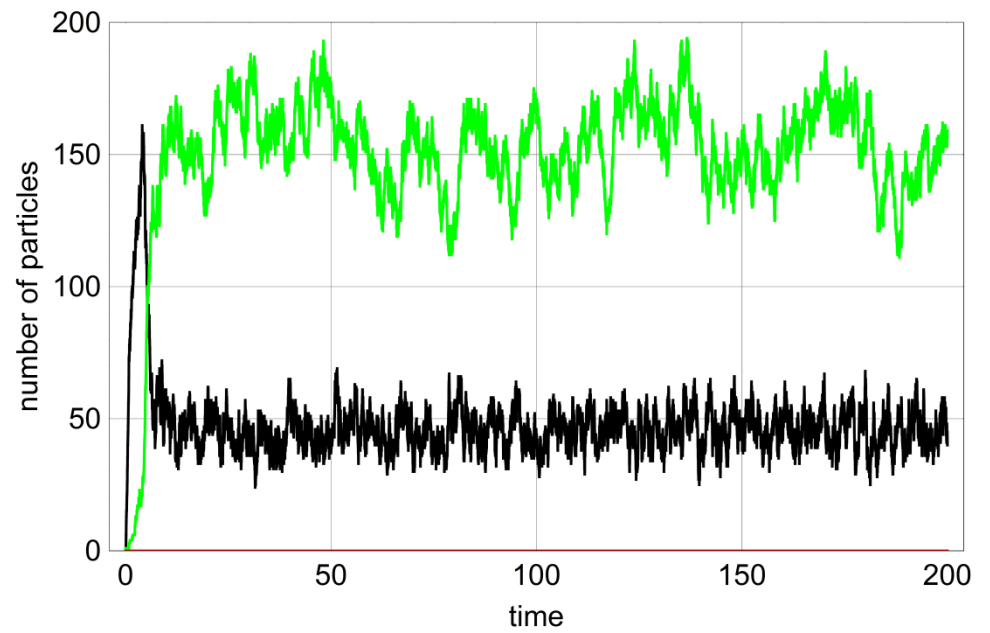
The master equation for competition and cooperation



phase I: raise of $[A]$; phase II: random choice of quasistationary state ;
 phase III: convergence to quasistationary state



extinction and selection

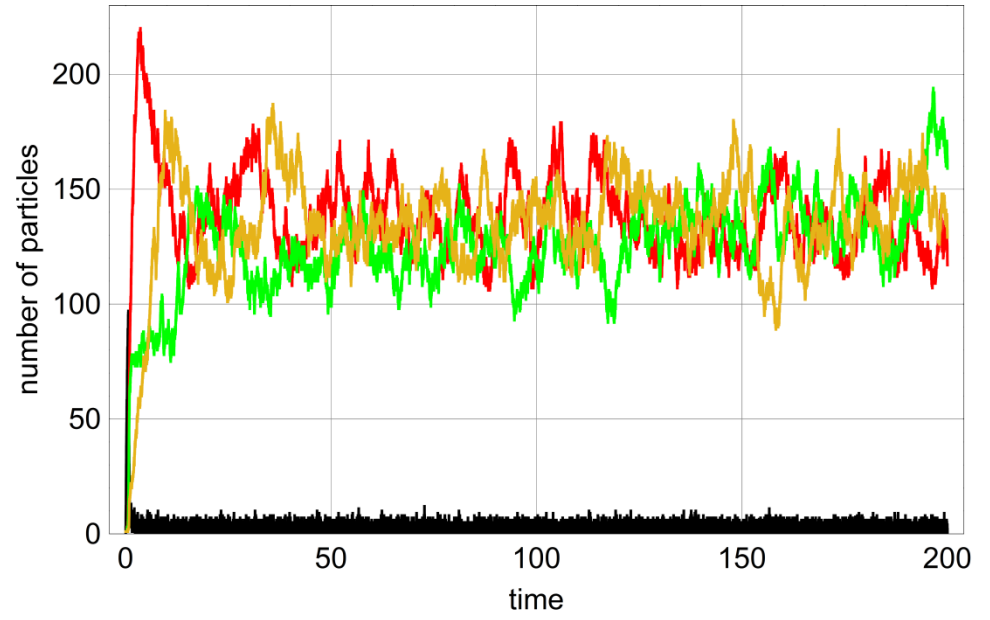


Initial values		Final states		
$X_1(0)$	$X_2(0)$	N_{S_0}	$N_{S_1^{(1)}}$	$N_{S_1^{(2)}}$
1	1	263.1 ± 10.32	503.2 ± 15.99	233.6 ± 13.07
2	2	71.5 ± 8.16	741.5 ± 8.89	187.0 ± 7.33
3	3	20.0 ± 3.94	873.8 ± 9.54	106.1 ± 11.15
4	4	5.9 ± 2.81	933.1 ± 11.01	60.5 ± 9.37

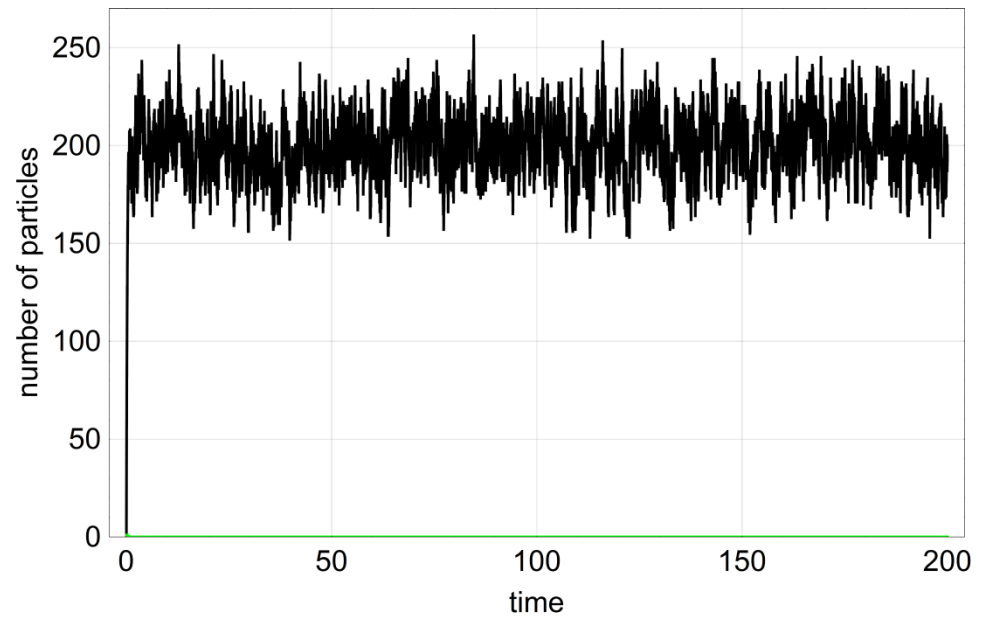
Choice of parameters: $k_1 = 0.11$ [$M^{-1}t^{-1}$]; $k_2 = 0.09$ [$M^{-1}t^{-1}$]; $a_0 = 200$; $r = 0.5$ [Vt^{-1}]

Counting of final states

quasistationary state of
cooperation

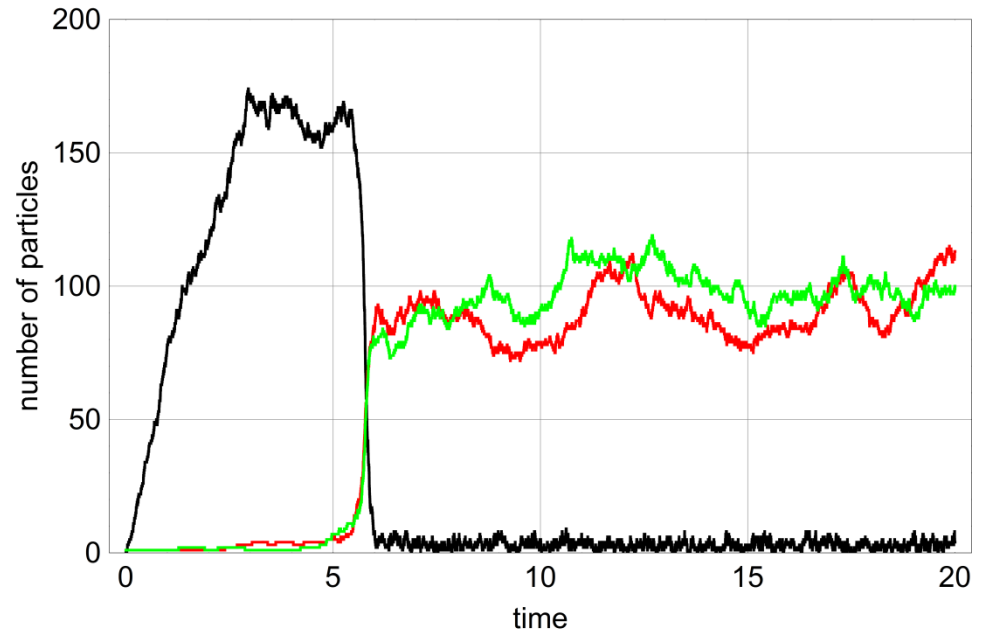


absorbing state of
extinction



Initial values		Probability of extinction $P(S_0)$
$X_1(0)$	$X_2(0)$	
1	1	0.71741 ± 0.00402
2	2	0.29879 ± 0.00461
3	3	0.08599 ± 0.00272
4	4	0.01951 ± 0.00129
5	5	0.00360 ± 0.00038

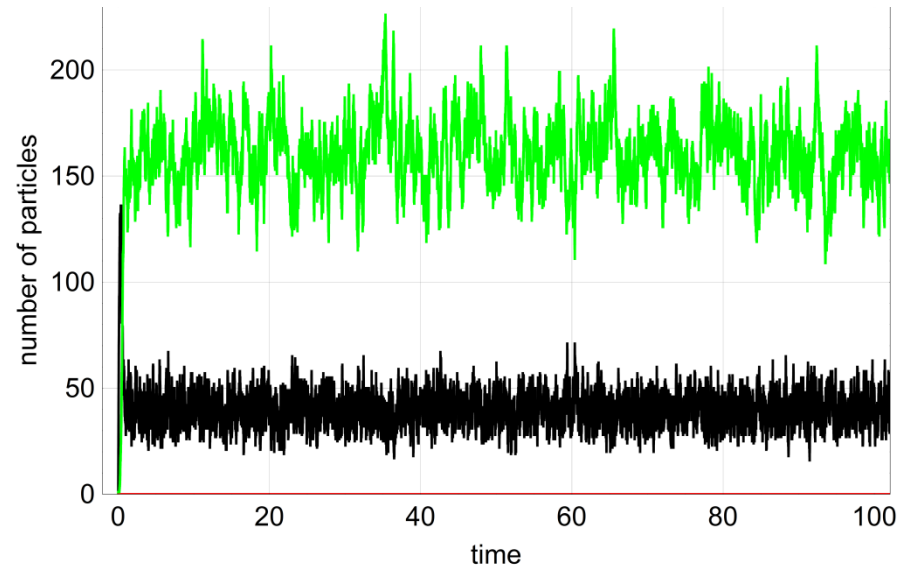
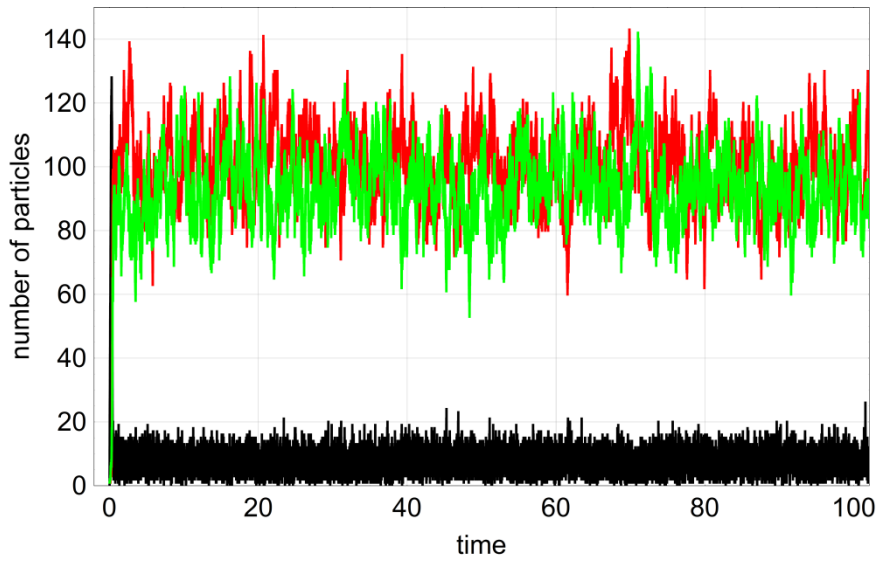
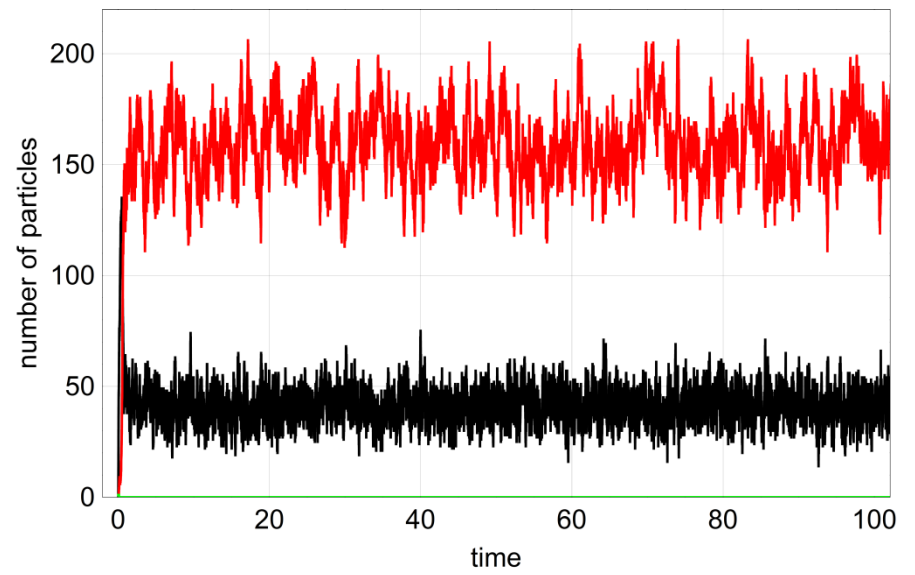
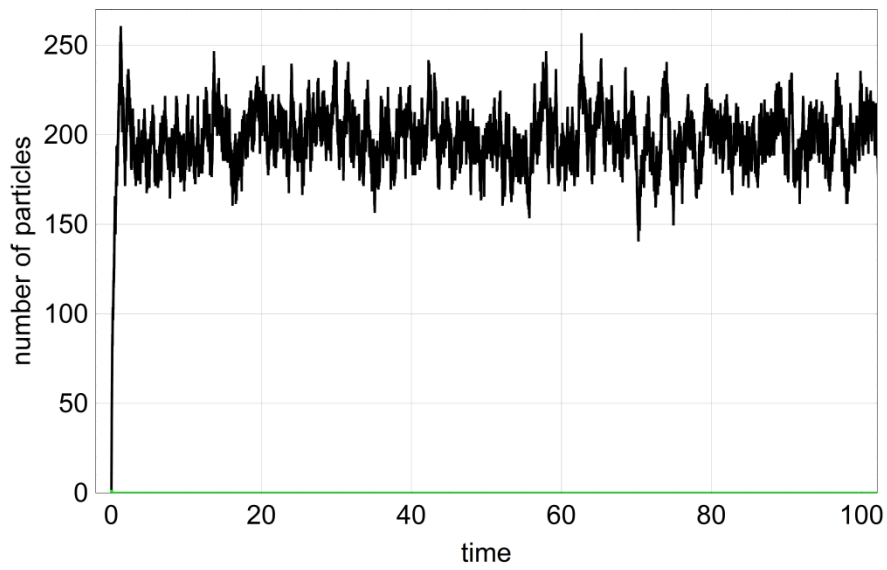
$$l_1 = l_2 = 0.01 \text{ [M}^{-1}\text{t}^{-1}\text{]}$$



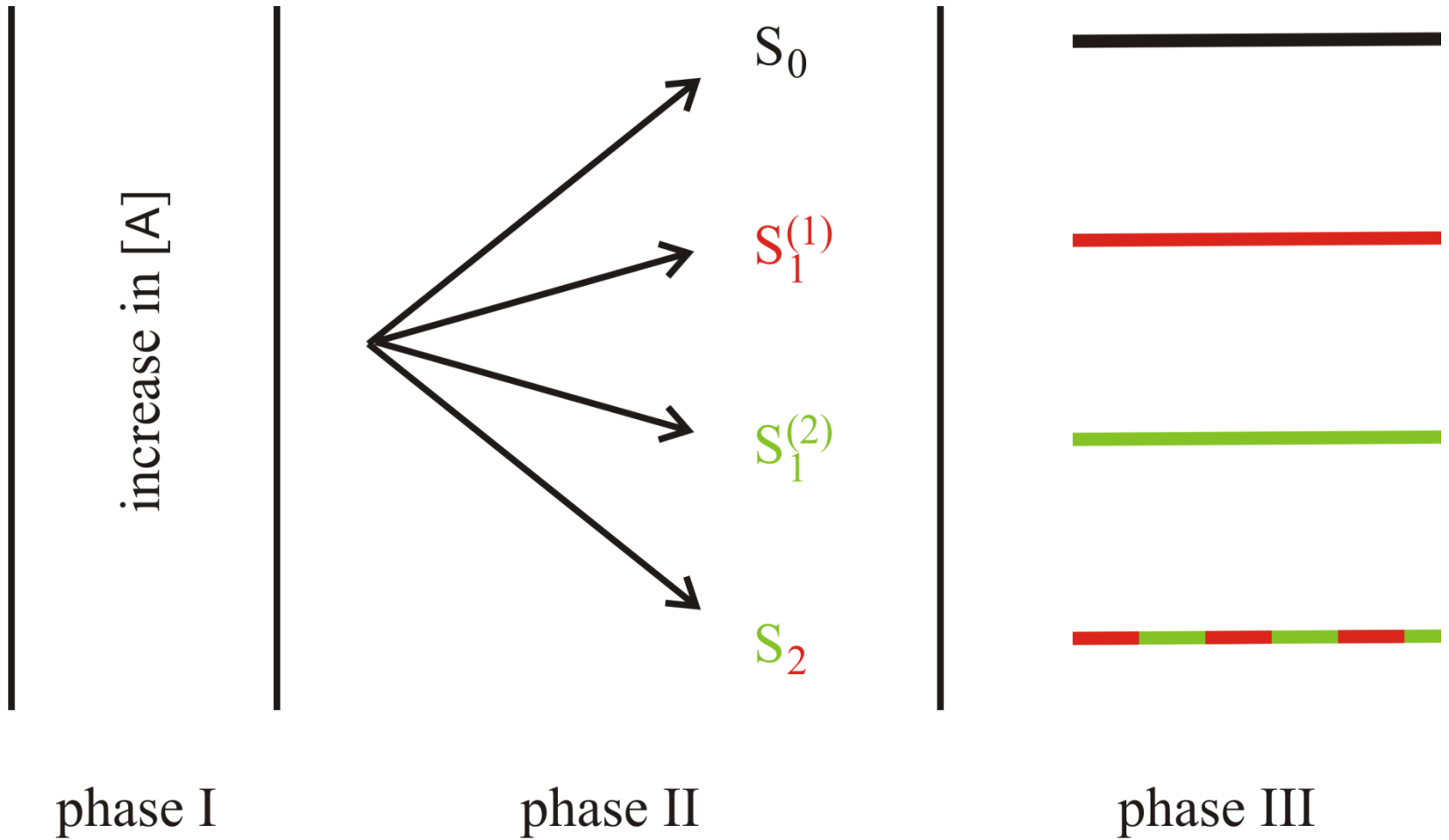
$$l_1 = l_2 = 0.002 \text{ [M}^{-1}\text{t}^{-1}\text{]}$$

Choice of other parameters: $a_0 = 200$; $r = 0.5 \text{ [Vt}^{-1}\text{]}$

Stochastic cooperation with $n = 2$



Competition and cooperation with $n = 2$



Random decision in the stochastic process

Initial values		Final states			
$X_1(0)$	$X_2(0)$	N_{S_0}	$N_{S_1^{(1)}}$	$N_{S_1^{(2)}}$	N_{S_2}
1	1	385.1 ± 23.6	1481.0 ± 36.8	1719.6 ± 37.8	6414.3 ± 53.8
2	2	14.9 ± 2.6	303.7 ± 16.0	354.5 ± 23.8	9326.8 ± 22.7
3	3	0	70.2 ± 10.0	106.2 ± 10.9	9823.4 ± 15.7
4	4	0	12.1 ± 2.6	28.0 ± 5.0	9959.9 ± 6.4

Choice of parameters: $k_1 = 0.011$ [$M^{-1}t^{-1}$]; $k_2 = 0.009$ [$M^{-1}t^{-1}$];

$l_1 = 0.0050$ [$M^{-2}t^{-1}$]; $l_2 = 0.0045$ [$M^{-2}t^{-1}$];

$a_0 = 200$; $r = 0.5$ [Vt^{-1}]; $a(0) = 0$

Competition and cooperation with $n = 2$

$$a(0) = 0, x_1(0) = x_2(0) = 1$$

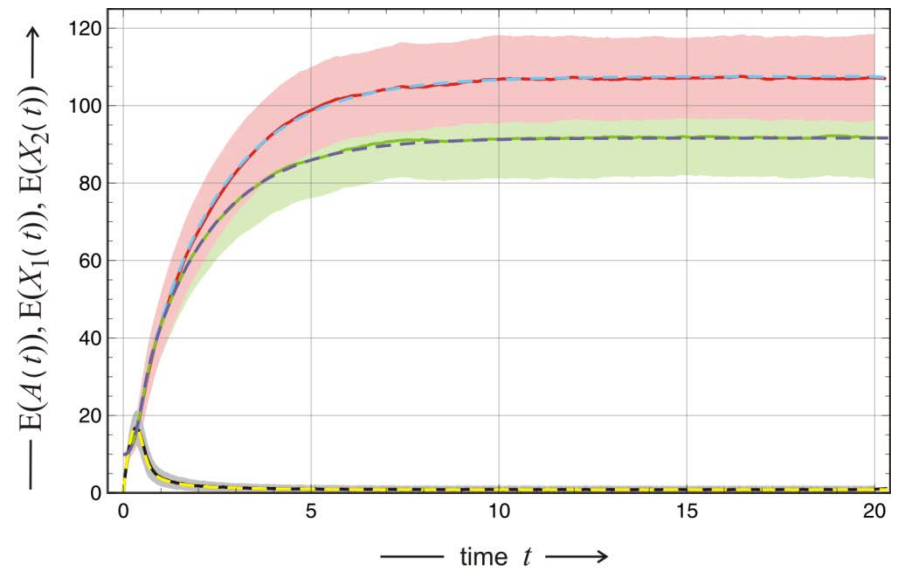
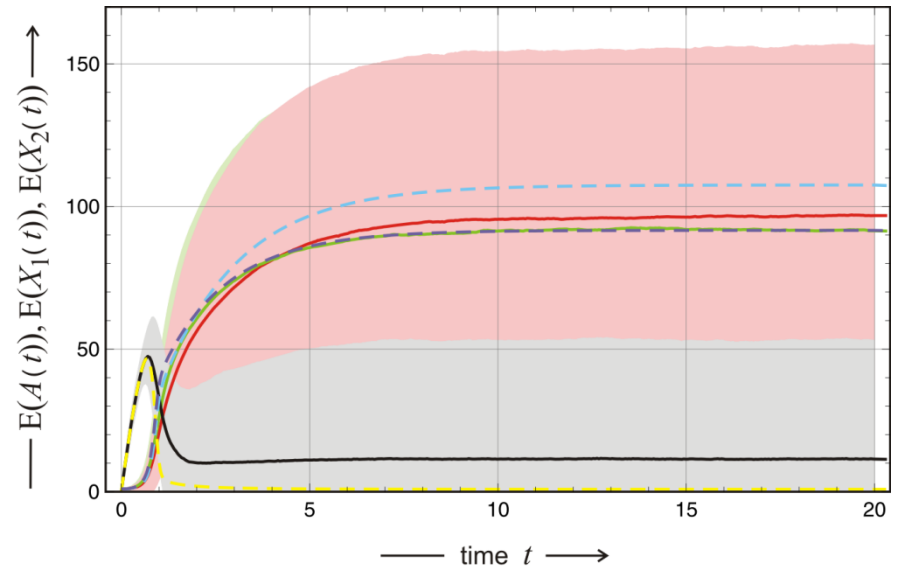
expectation values and 1σ -bands

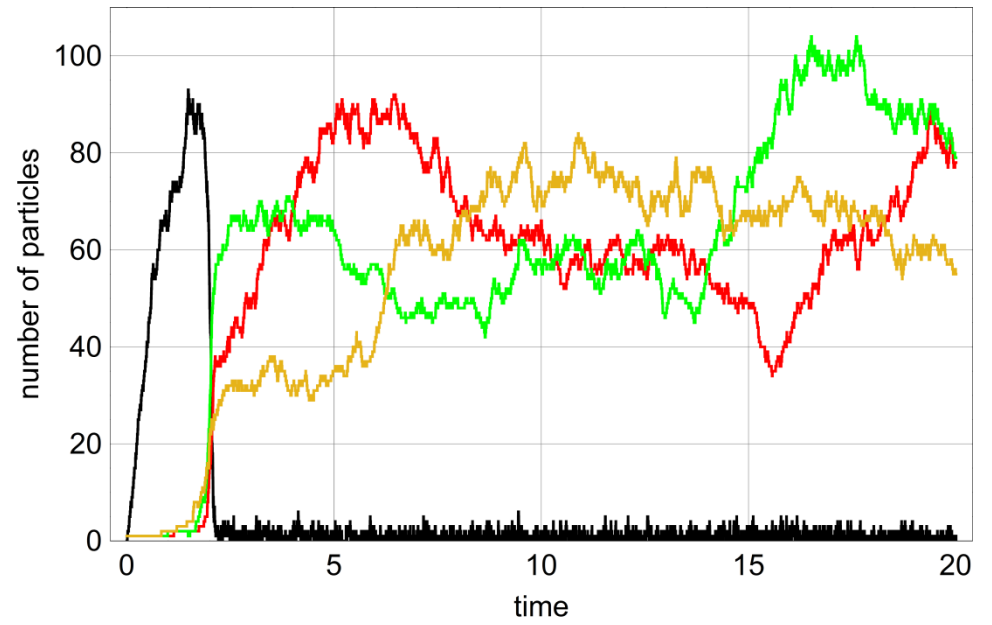
choice of parameters: $a_0 = 200, r = 0.5$ [Vt^{-1}]

$$k_1 = 0.09$$
 [$\text{M}^{-1}\text{t}^{-1}$], $k_2 = 0.11$ [$\text{M}^{-1}\text{t}^{-1}$],

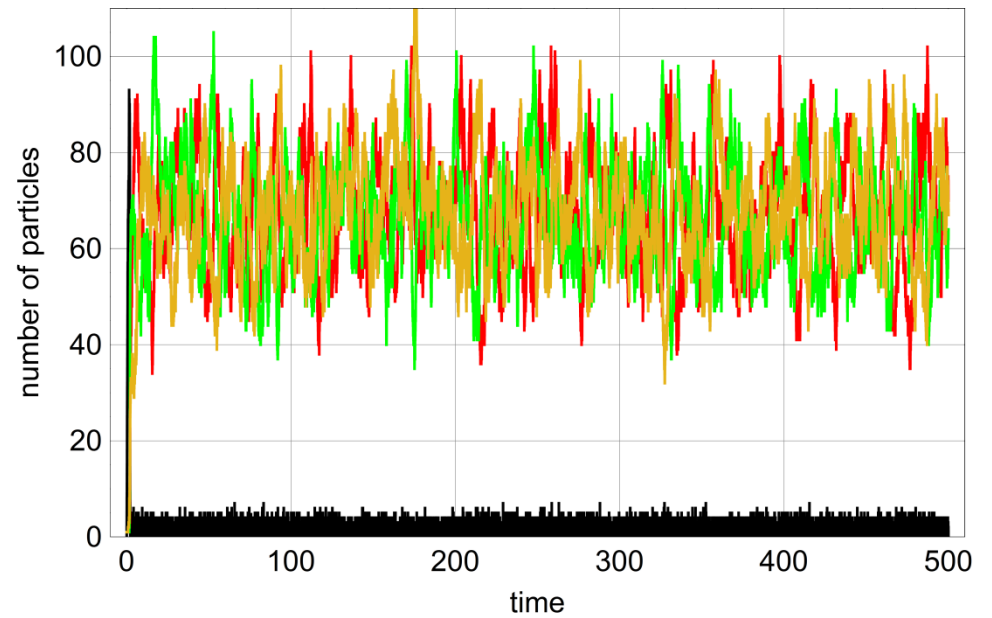
$$l_1 = 0.0050$$
 [$\text{M}^{-2}\text{t}^{-1}$], $l_2 = 0.0045$ [$\text{M}^{-2}\text{t}^{-1}$]

$$a(0) = 0, x_1(0) = x_2(0) = 10$$

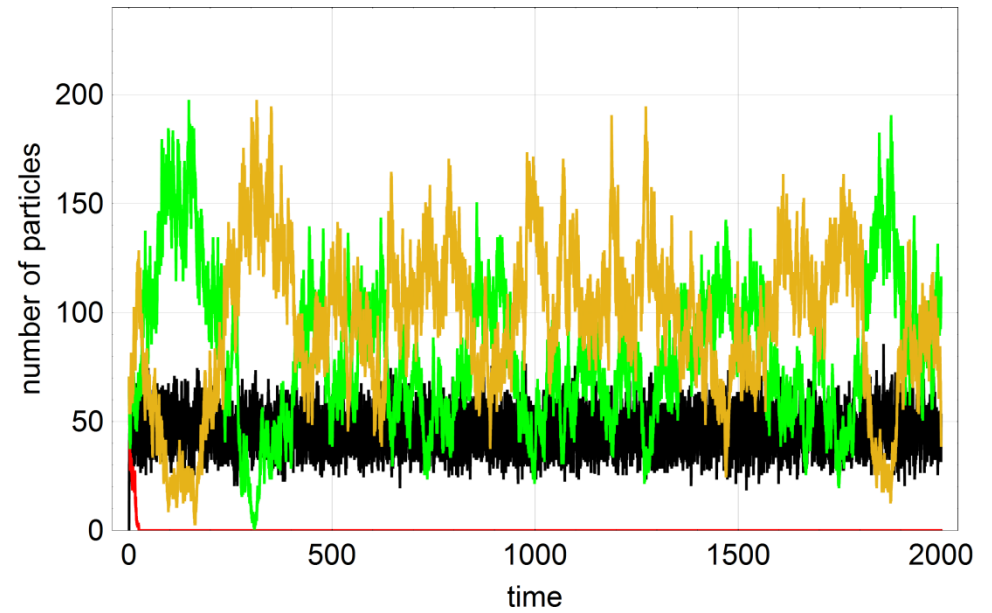




stochastic hypercycles with $n = 3$

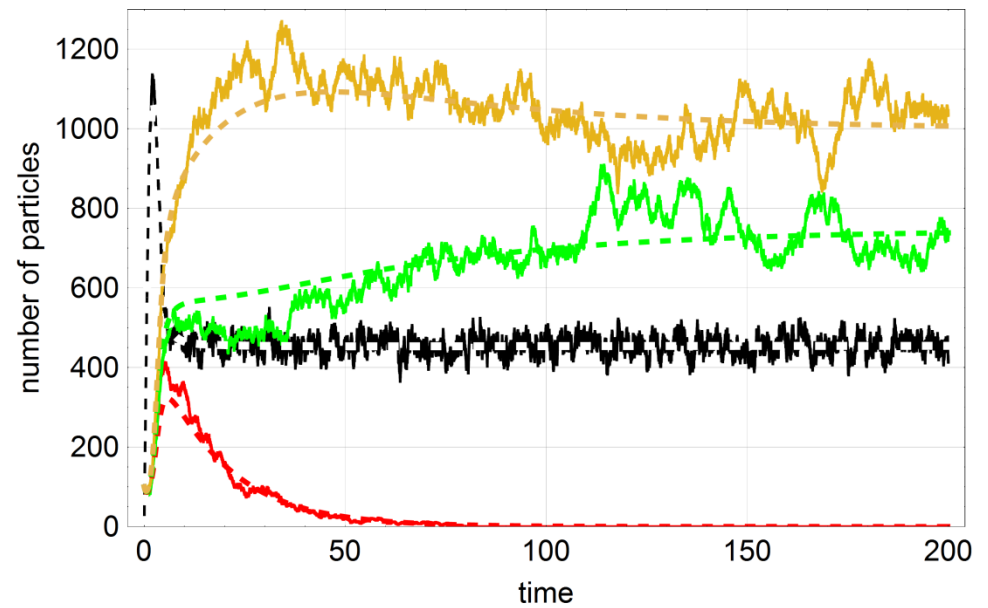


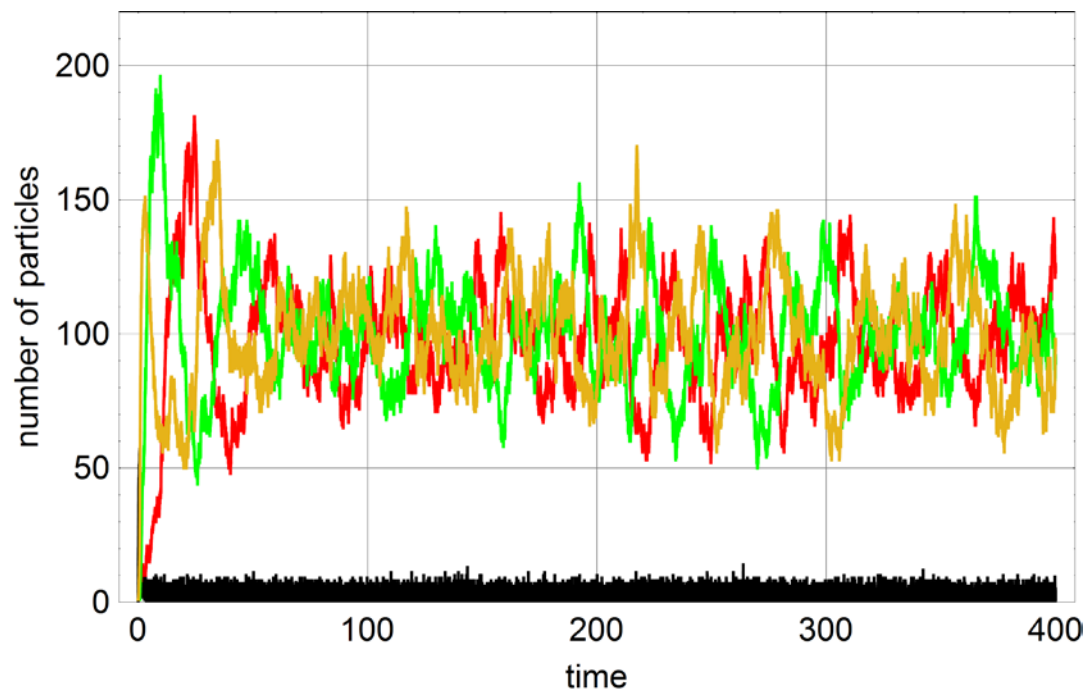
$$a_0 = 220$$



$n = 3$, state of exclusion $S_2^{(1)}$

$$a_0 = 2200$$



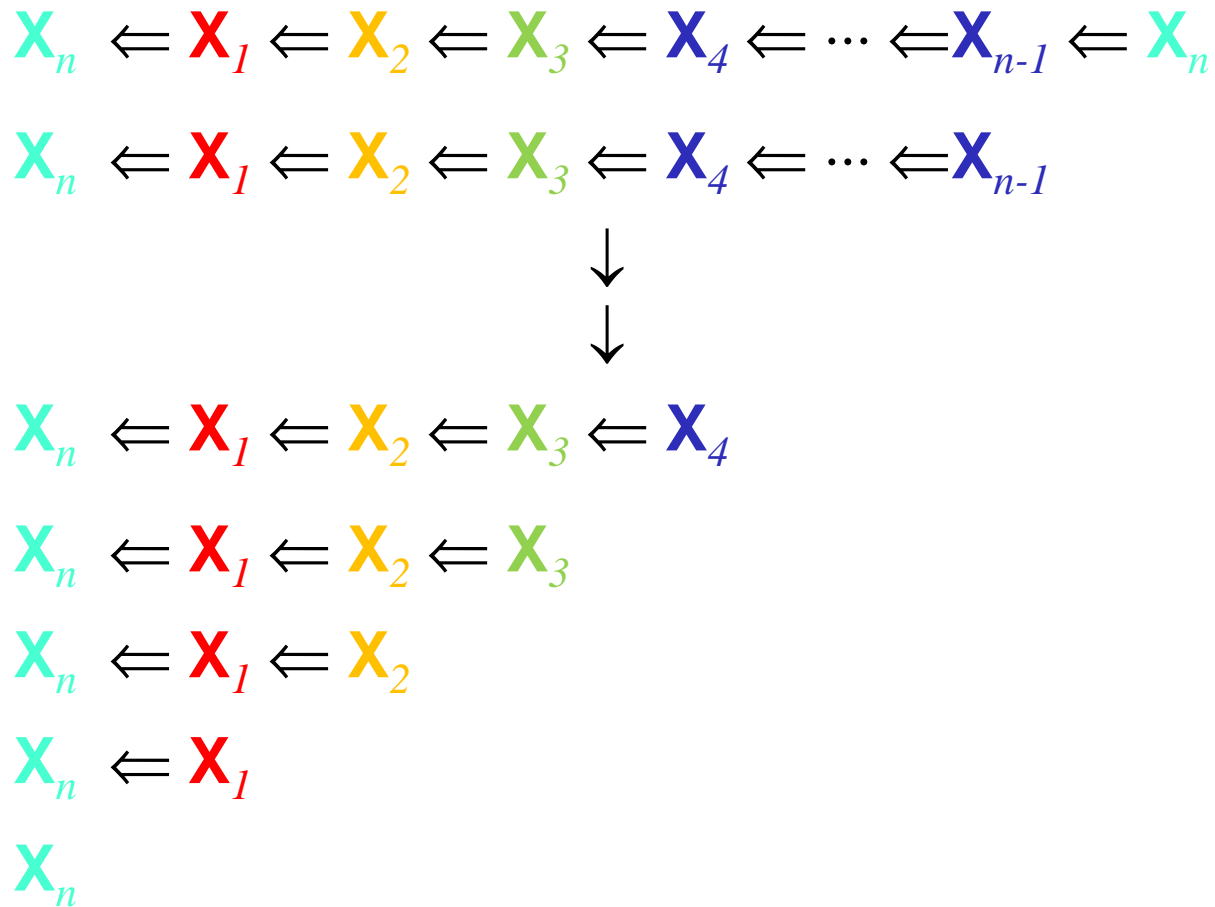


$n = 3$, state of cooperation S_3

$$\frac{dx_i}{dt} = l_i x_i x_{i+1} - r x_i$$

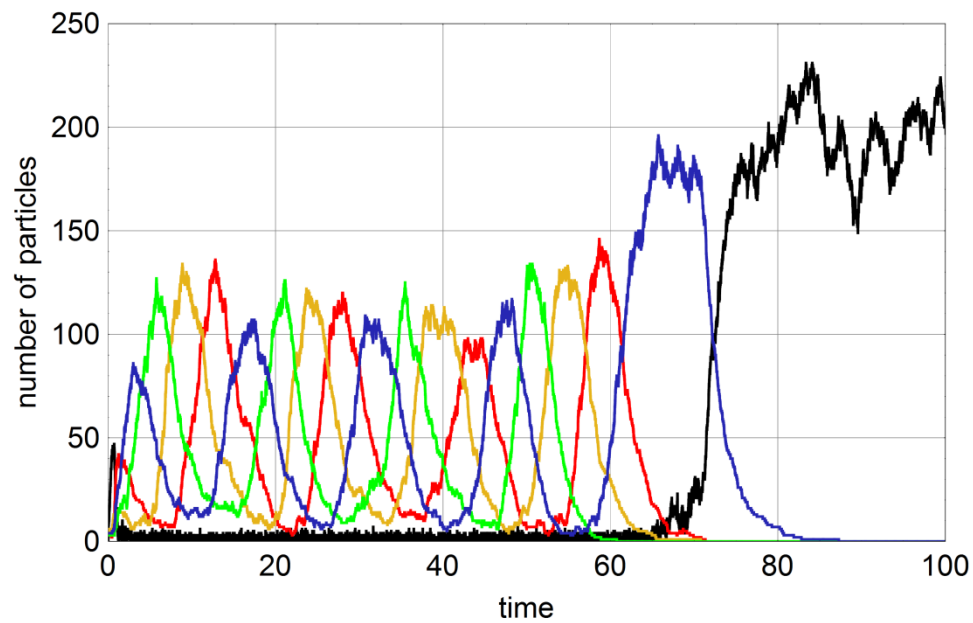
$$x_{i+1} = 0 \quad \Rightarrow \quad \frac{dx_i}{dt} = -r x_i \leq 0 \quad \Rightarrow \quad x_i \rightarrow 0$$

Stochastic extinction of hypercycles

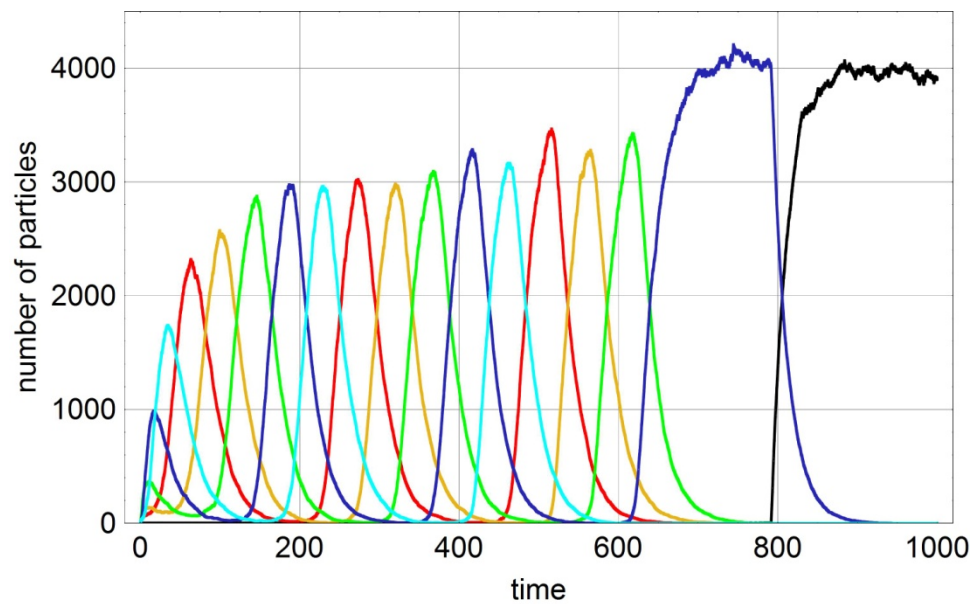


Stepwise consecutive extinction of a hypercycle

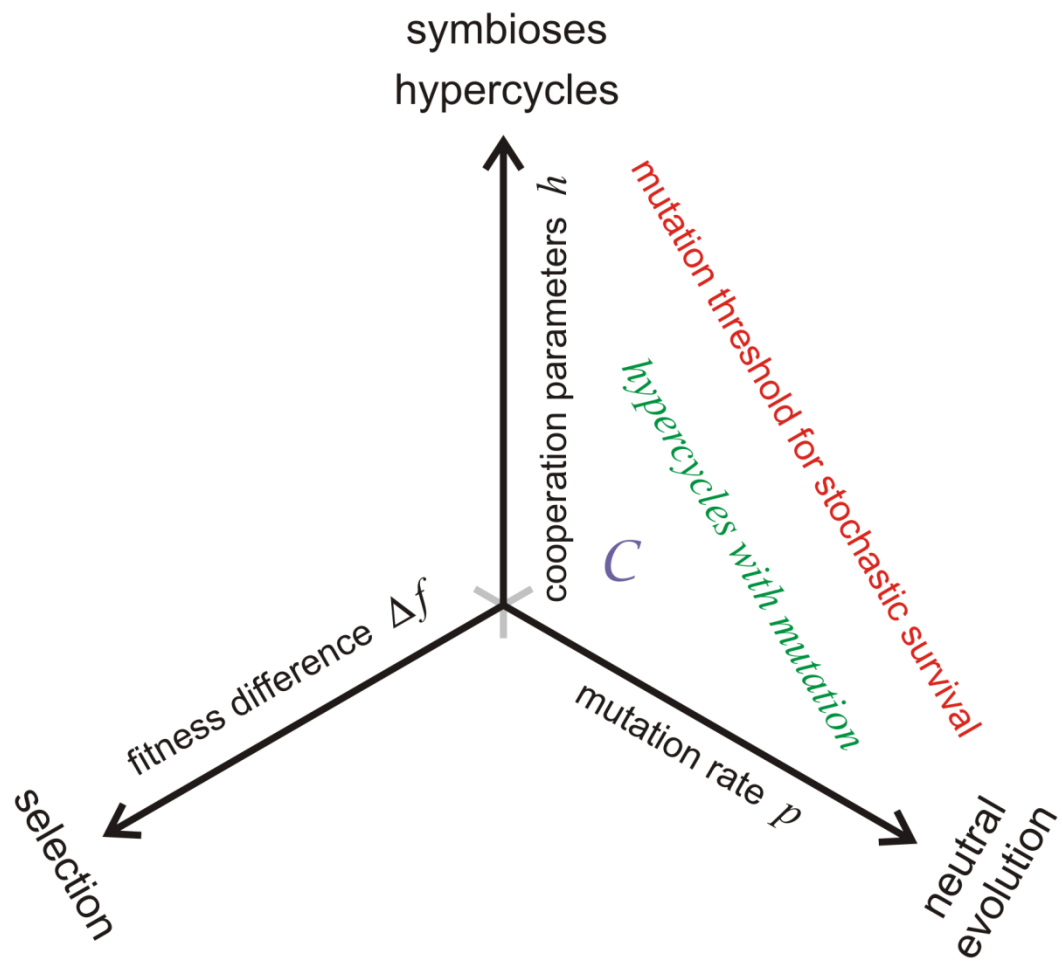
stochastic hypercycles with $n = 4$



stochastic hypercycles with $n = 5$

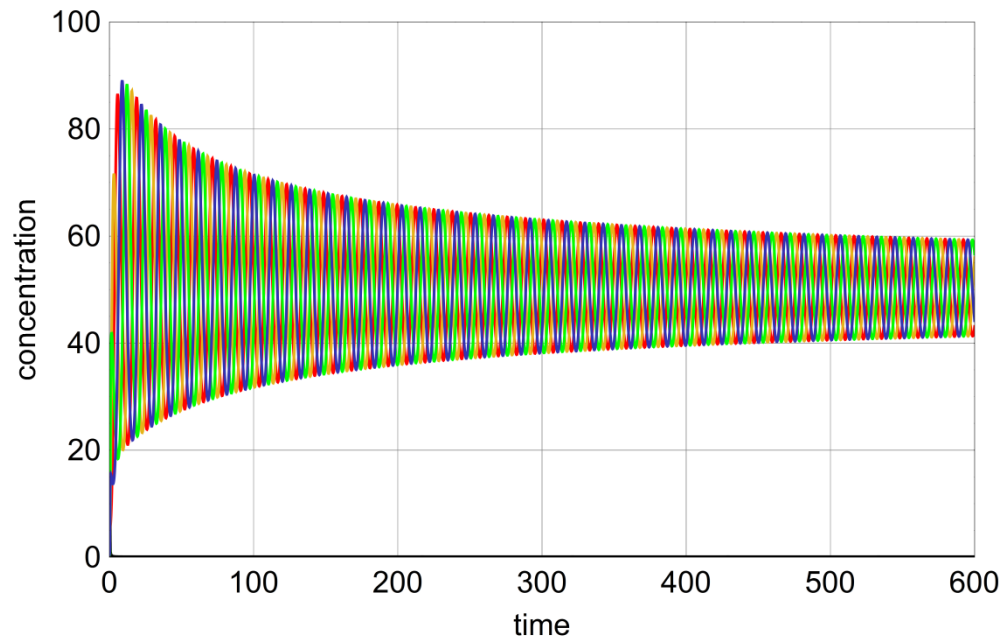


1. A general and simple model for evolution
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- 4. Can mutations counteract extinction ?**
5. Some conclusions

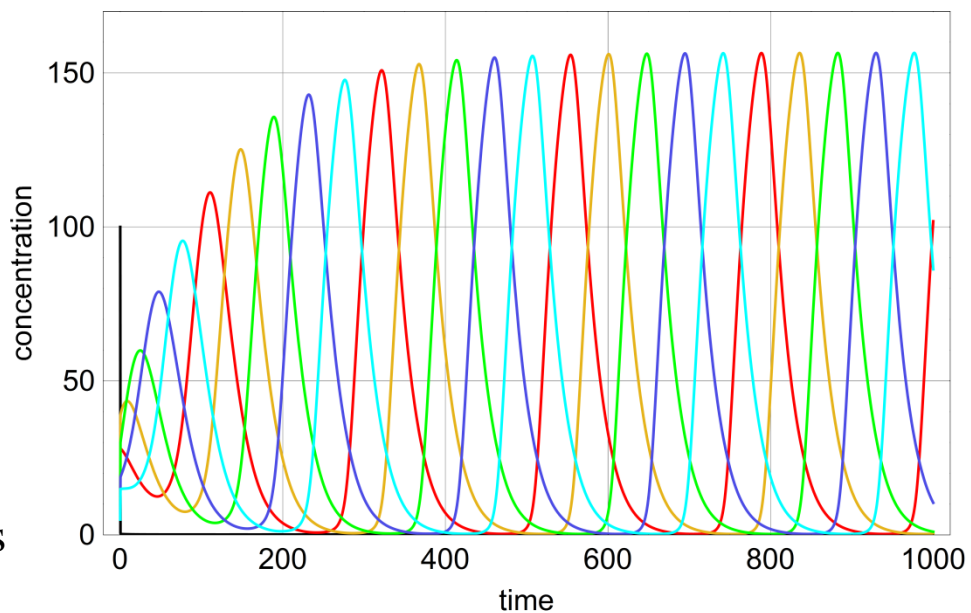


Cooperation and mutation: stochastic escape from extinction

$n = 4$

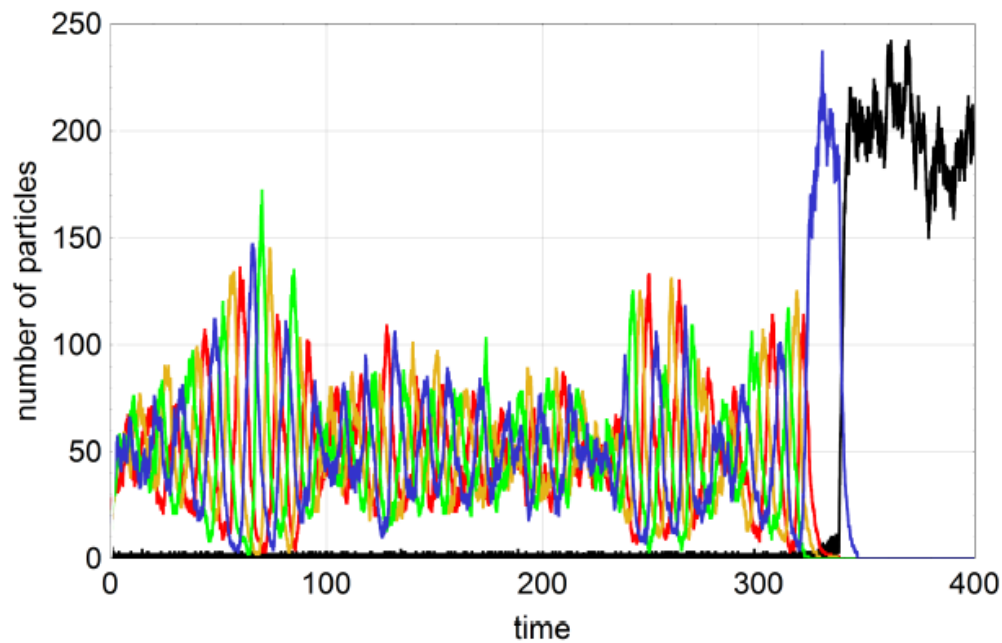


$n = 5$

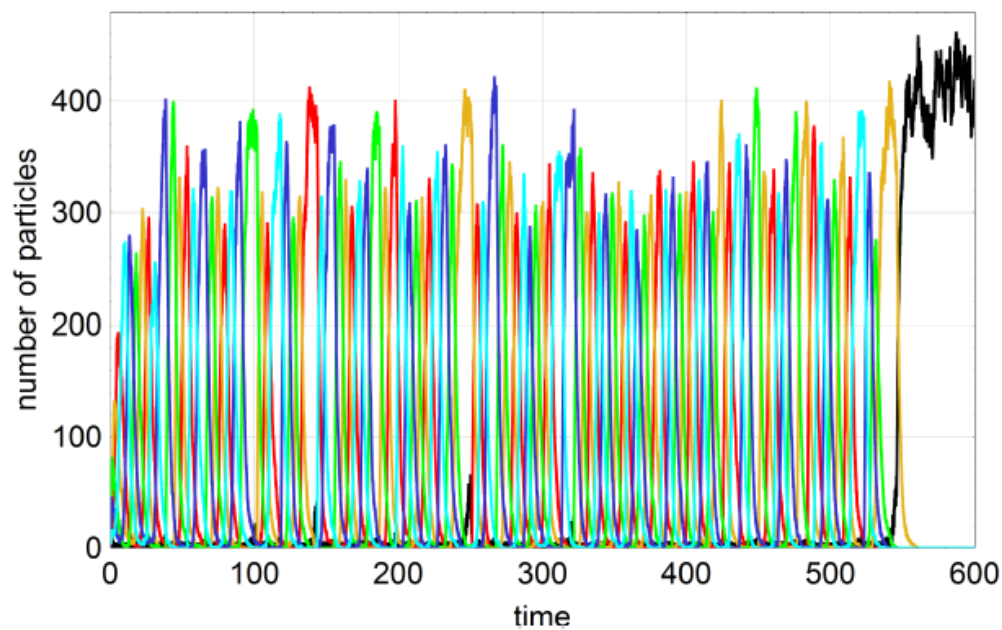


oscillatory hypercycles: ODE solutions

$n = 4$

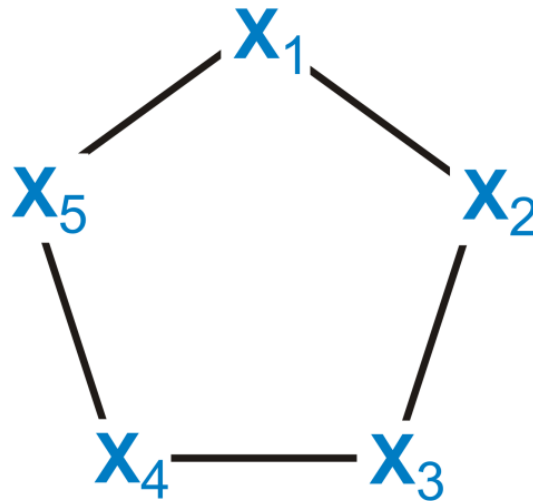


$n = 5$



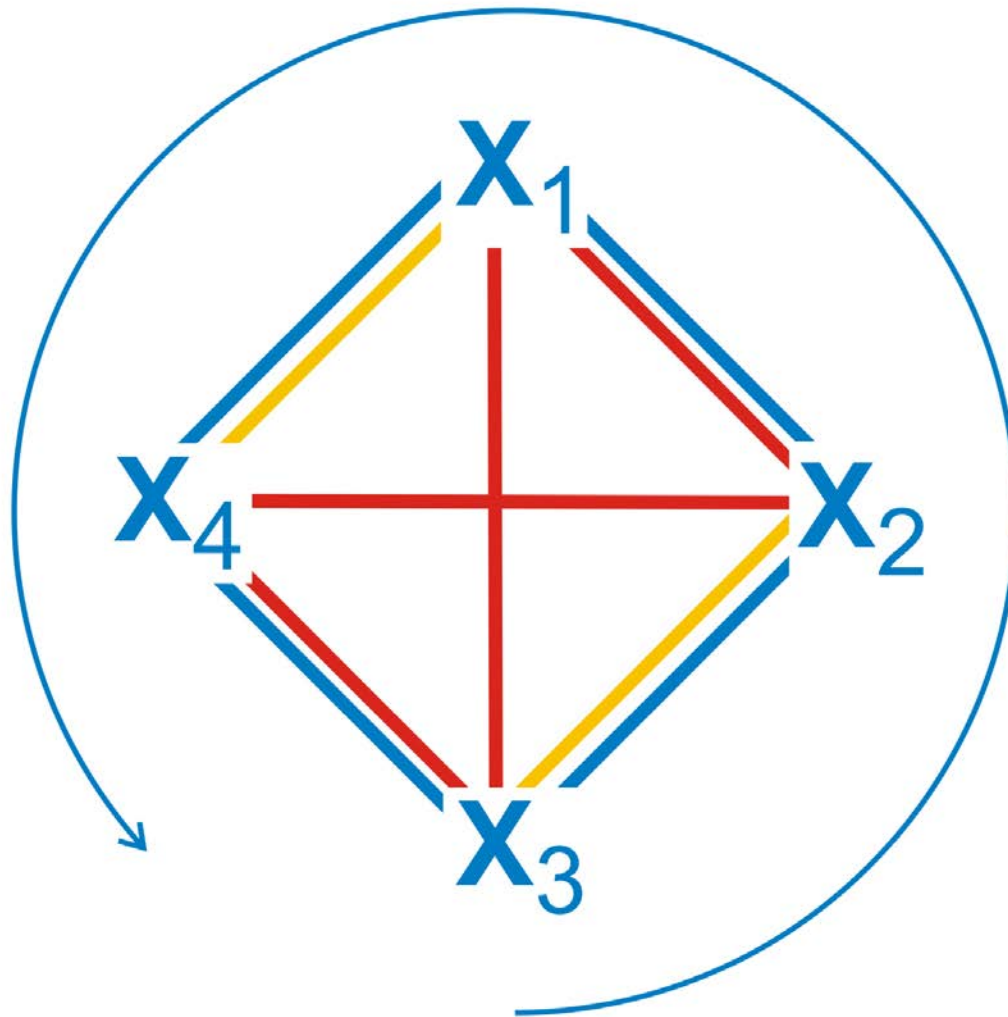
oscillatory hypercycles: simulations

$$\mathbf{A} + \mathbf{X}_j + \mathbf{X}_{j+1} \xrightarrow{l_j} 2\mathbf{X}_j + \mathbf{X}_{j+1}; \quad j = 1, \dots, n; \quad j \bmod n$$

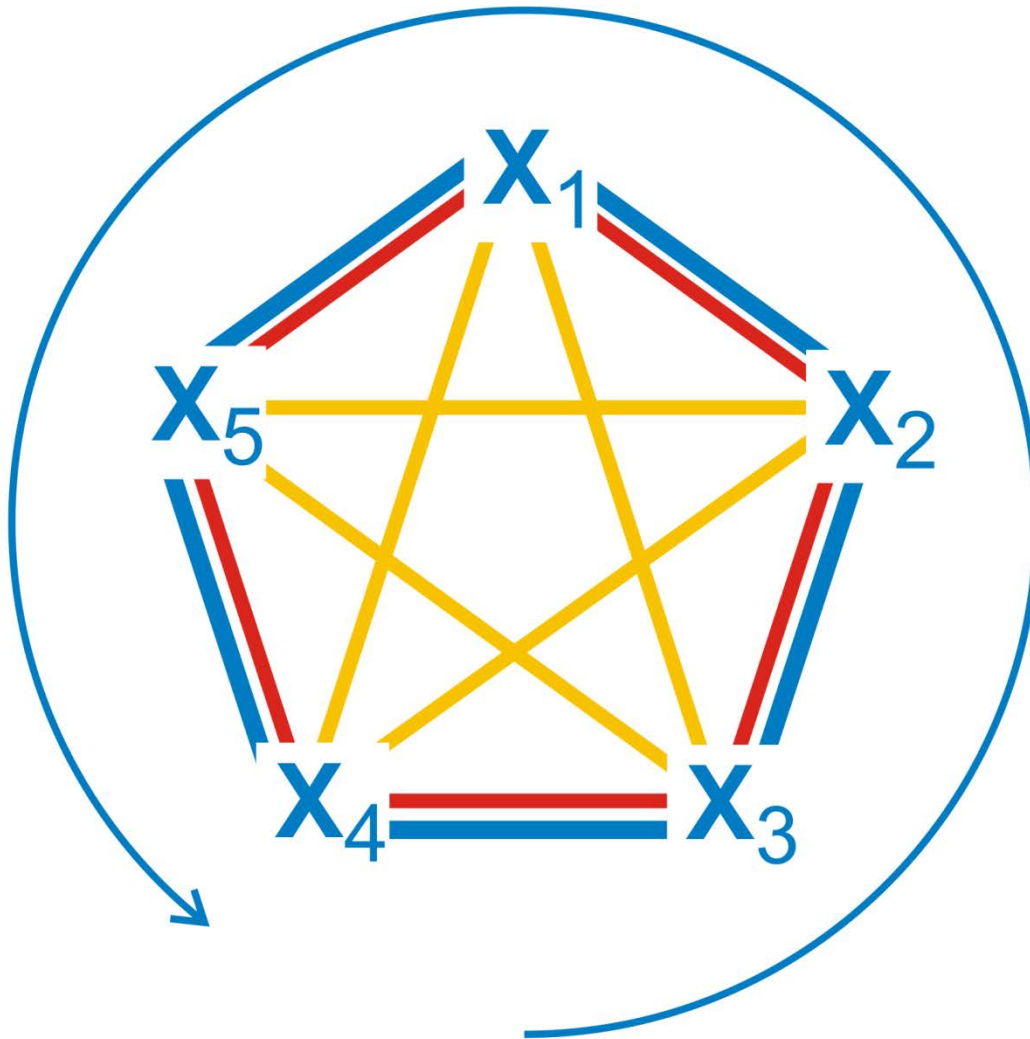


$$\mathbf{X}_n \Leftarrow \mathbf{X}_1 \Leftarrow \mathbf{X}_2 \Leftarrow \dots \Leftarrow \mathbf{X}_{n-1} \Leftarrow \mathbf{X}_n$$

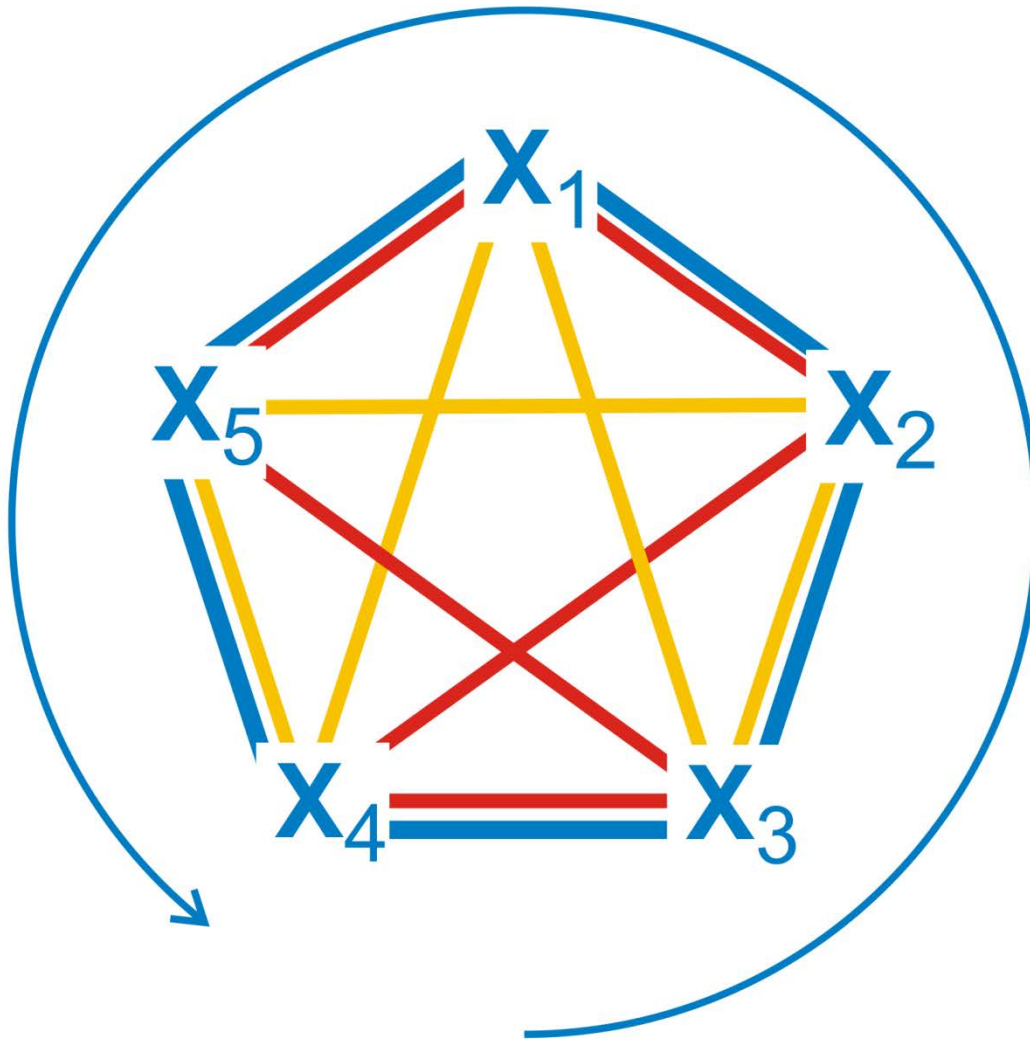
Catalytic hypercycles



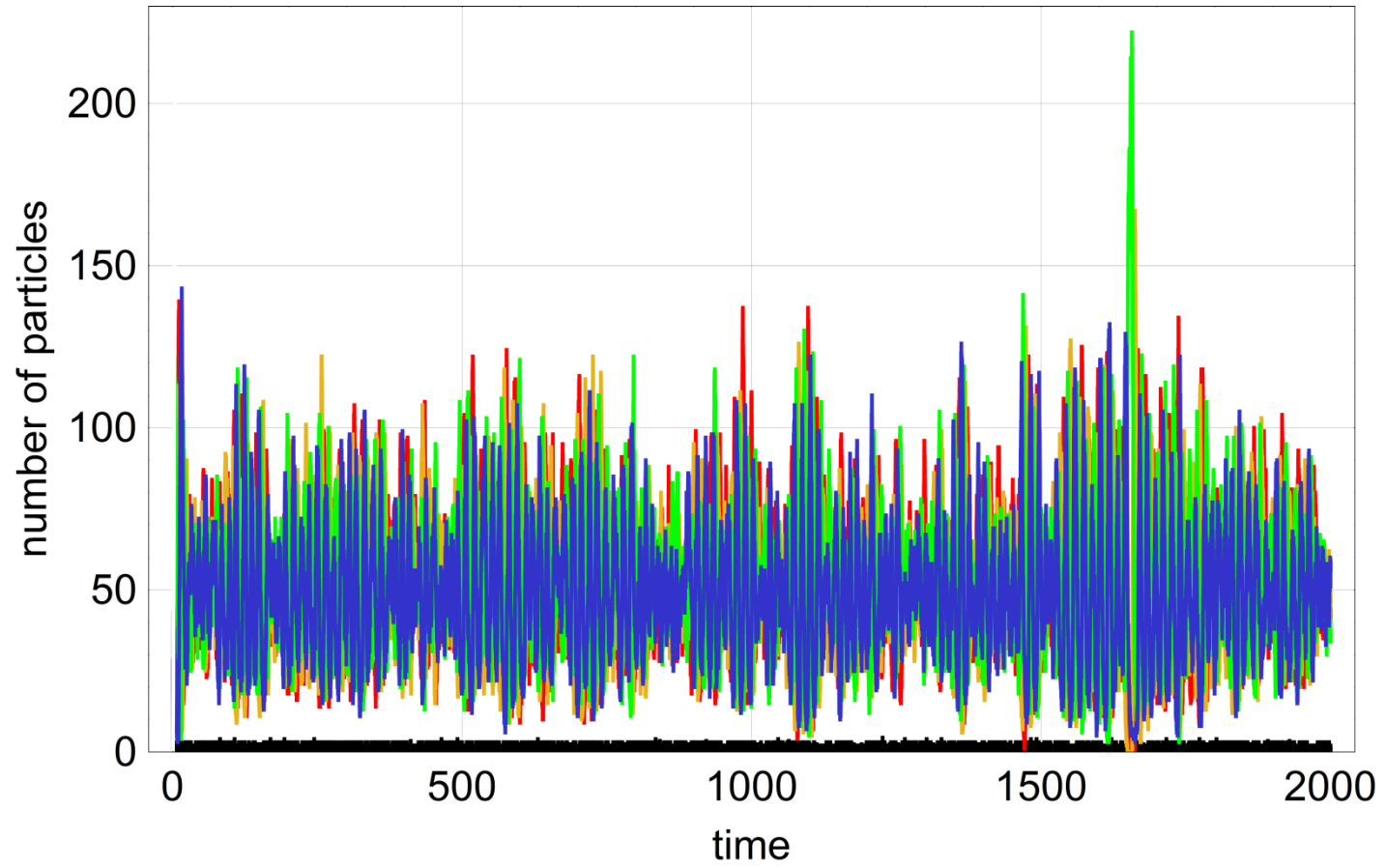
mutation mechanism, $N = 4$: 'sequence space'



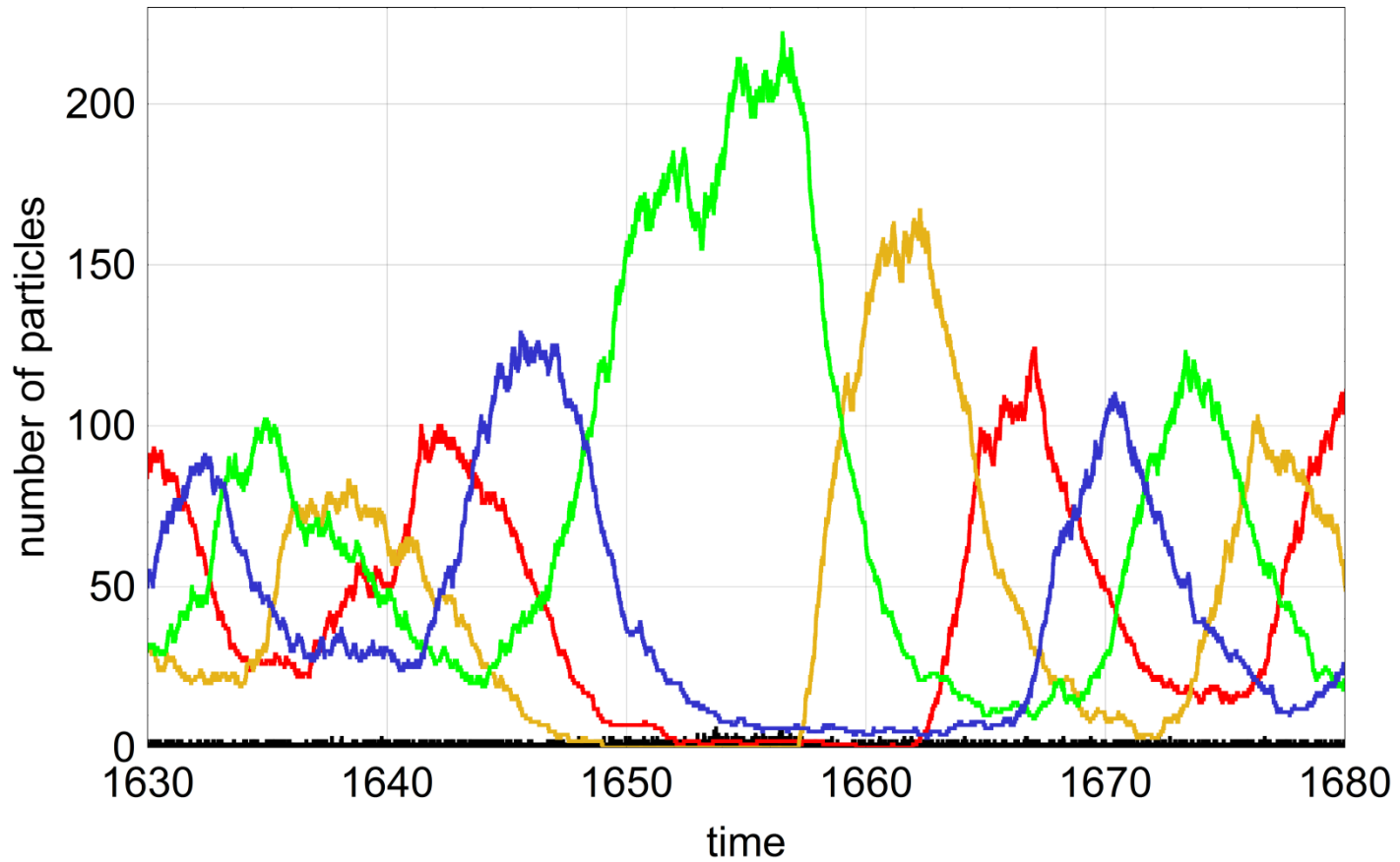
mutation mechanism, $N = 5$: „pentagram“



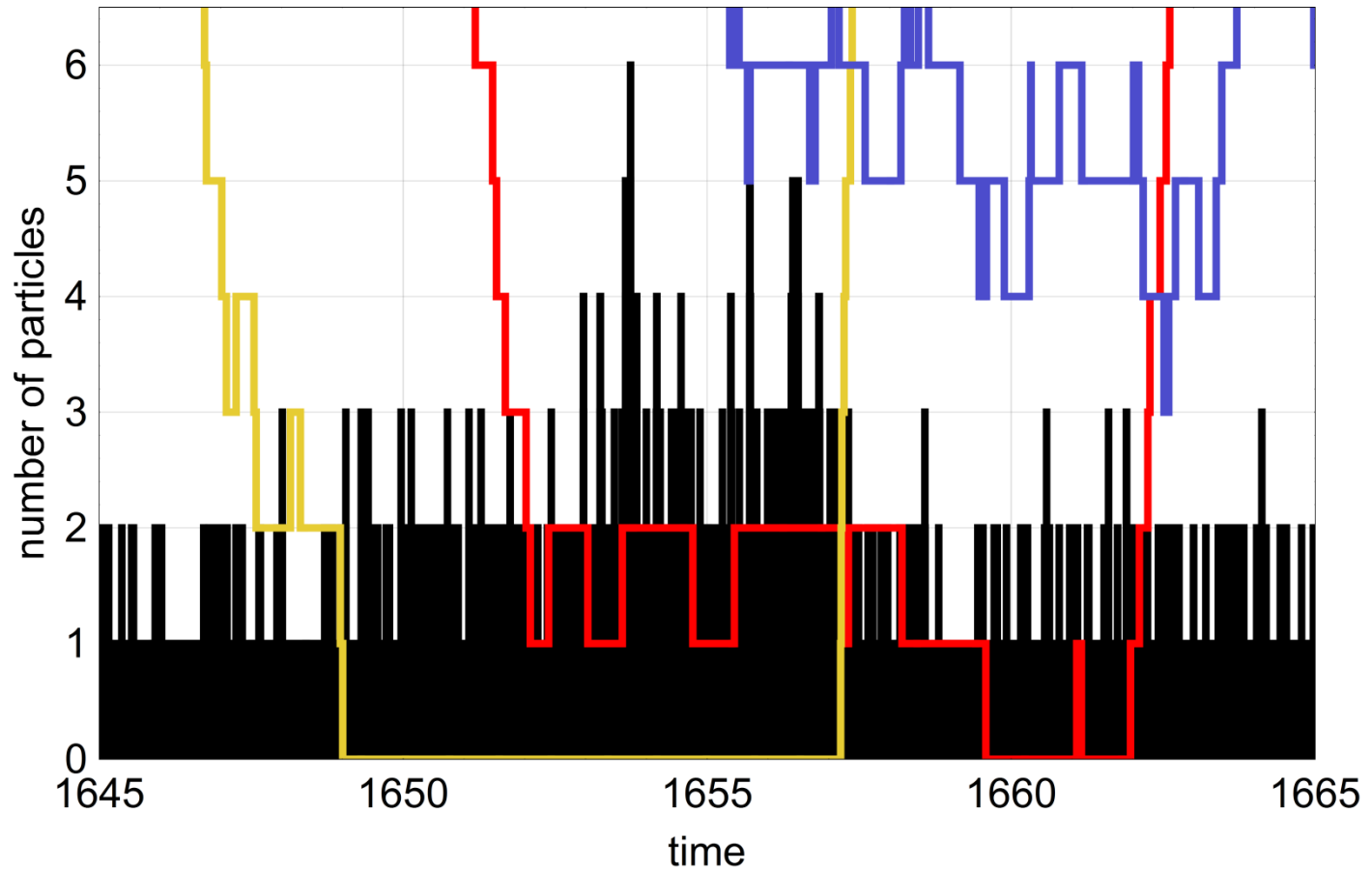
mutation mechanism, $N = 5$: 'pentagramvariant'



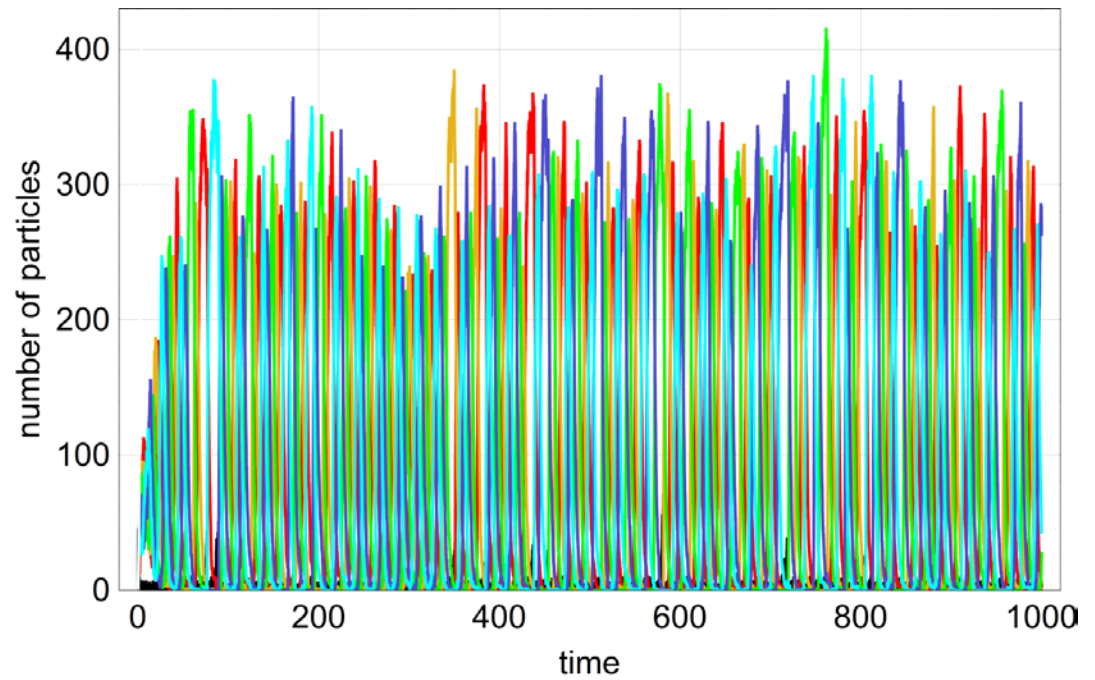
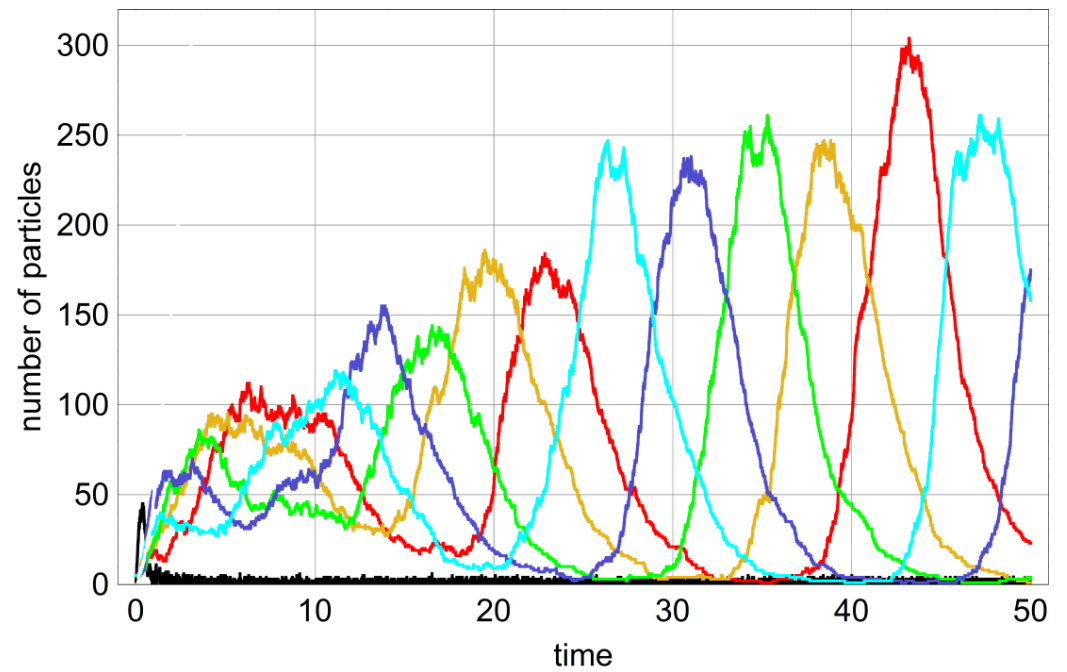
Oscillatory hypercycles:simulation for $n=4$



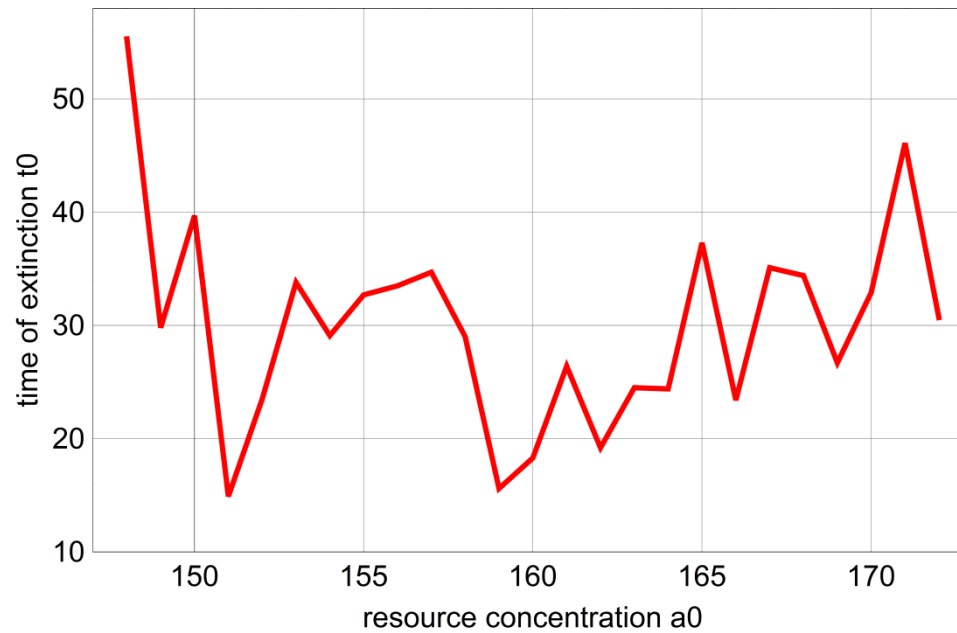
Oscillatory hypercycles:simulation for $n=4$, enlargement



Oscillatory hypercycles:simulation for $n=4$, enlargement



Oscillatory hypercycles:
simulation for $n = 5$



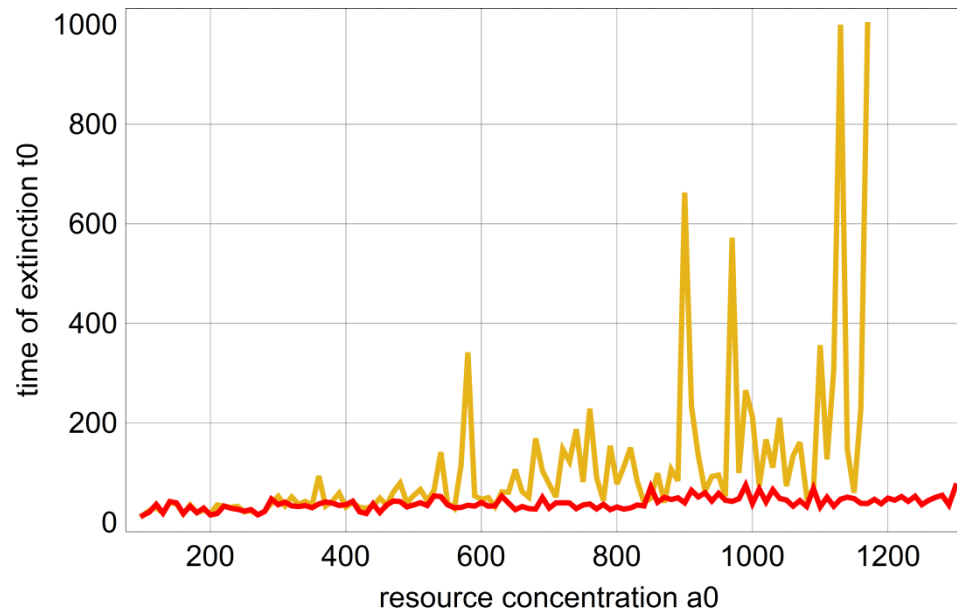
mutation rate: $\rho = 0.0000$

Oscillatory hypercycles: simulation for $n = 5$



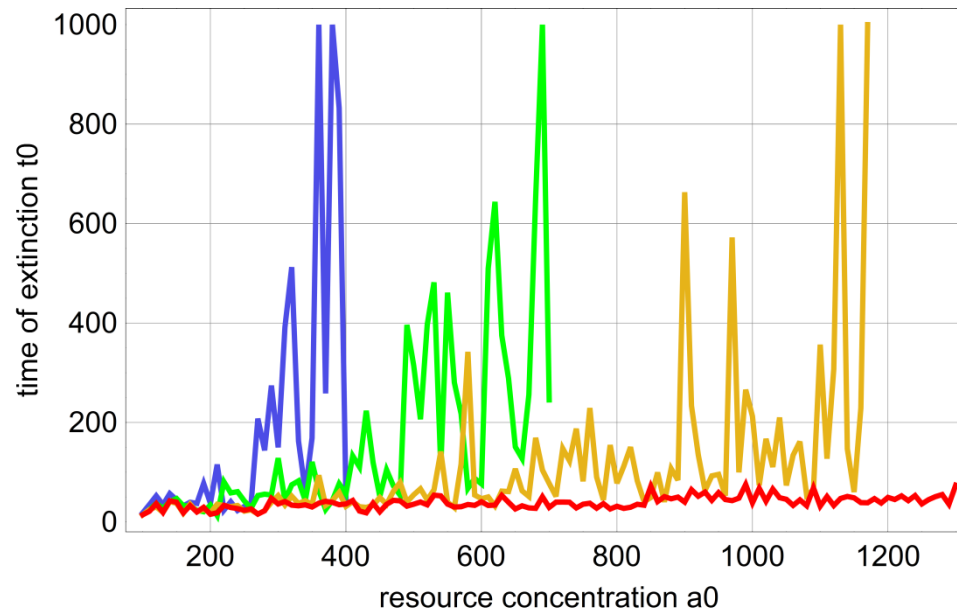
mutation rate: $p = 0.0000$

Oscillatory hypercycles: simulation for $n = 5$



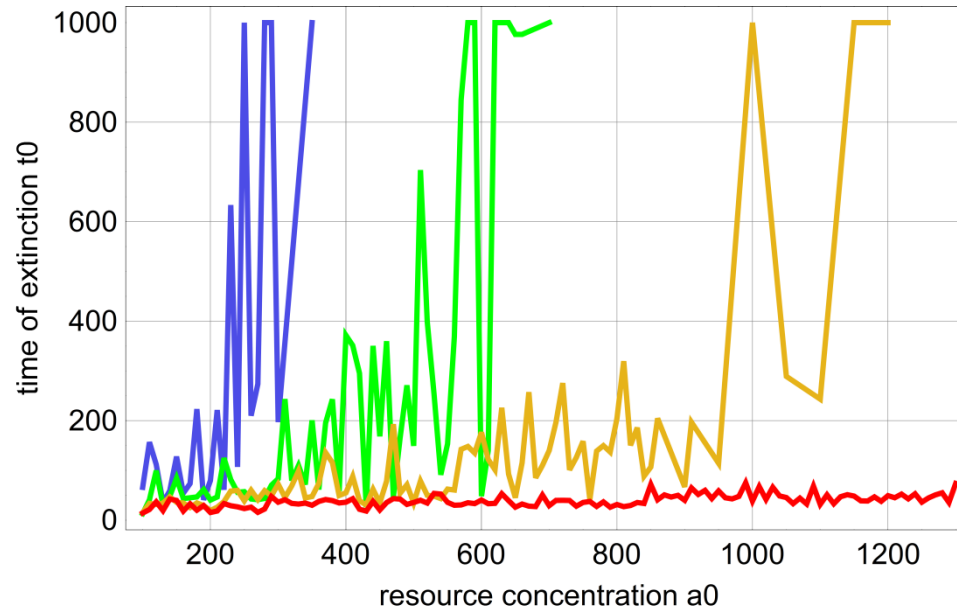
mutation rate: $p = 0.0005$

Oscillatory hypercycles: simulation for $n = 5$, ‘pentagram’



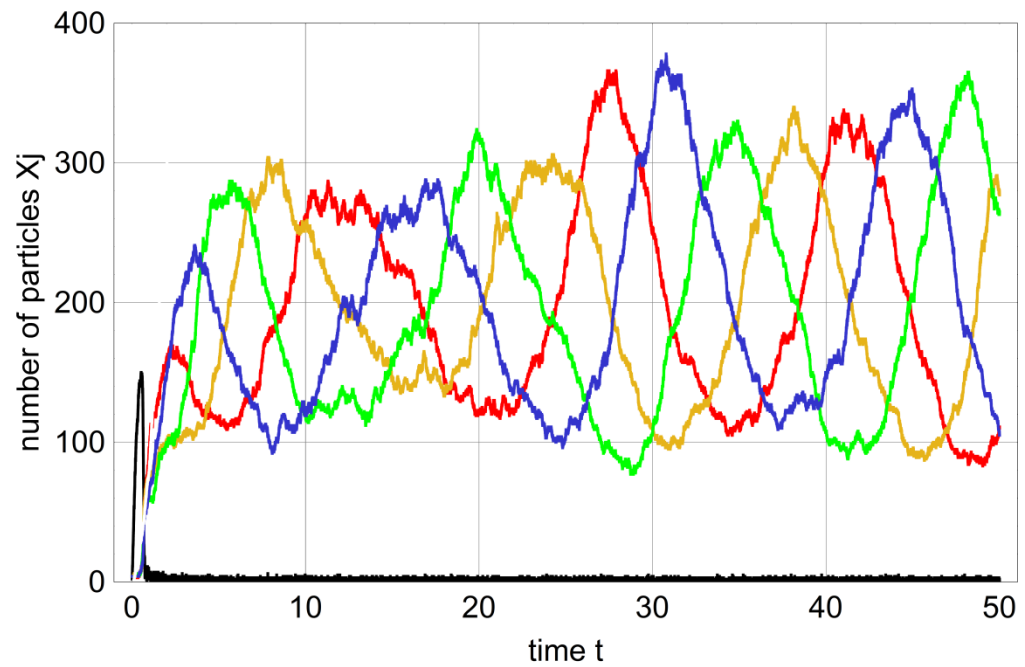
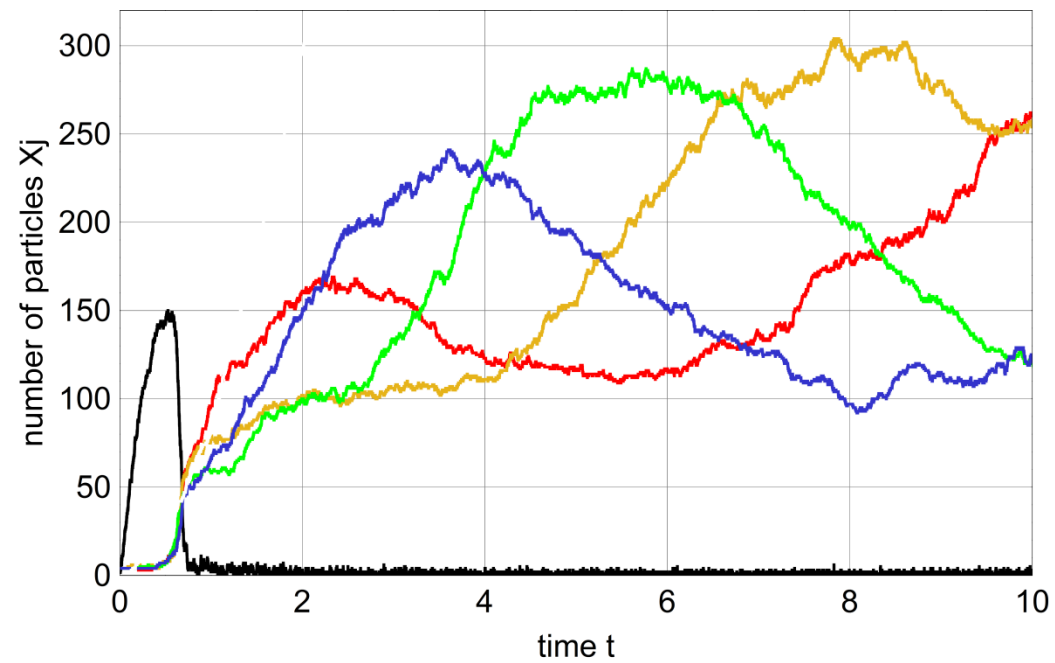
mutation rate: $p = 0.0000$, $p=0.0005$, $p = 0.0010$ and $p = 0.0020$

Oscillatory hypercycles: simulation for $n = 5$, 'pentagram'

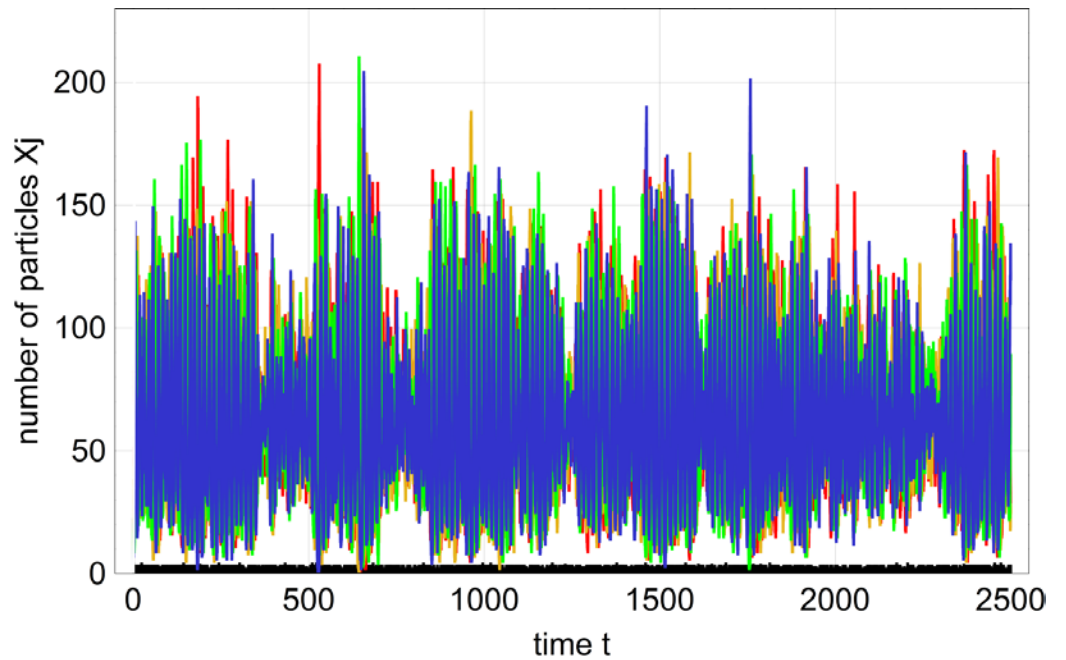
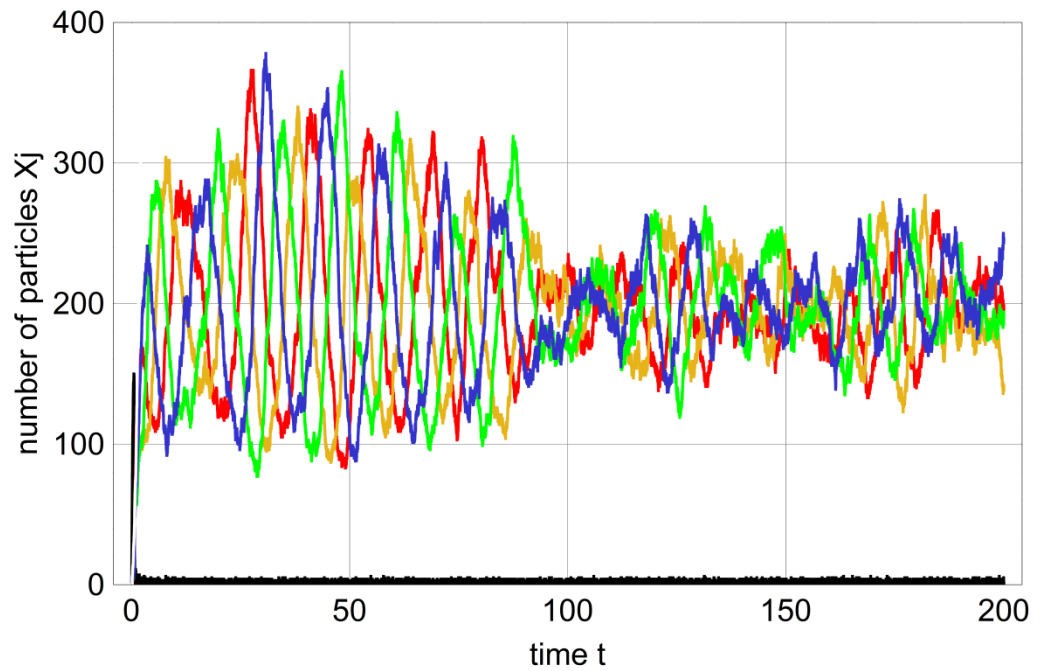


mutation rate: $p = 0.0000$, $p=0.0005$, $p = 0.0010$ and $p = 0.0020$

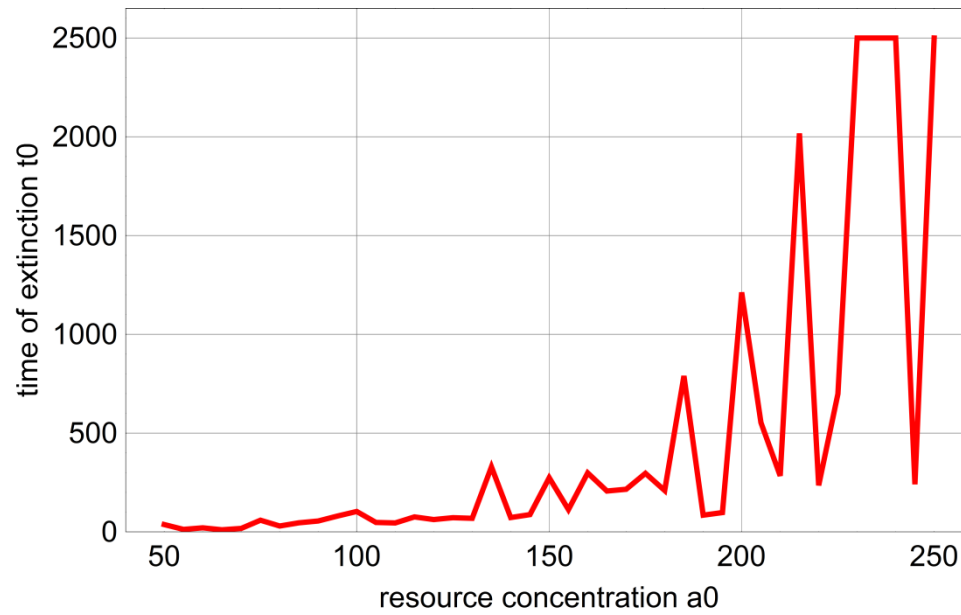
Oscillatory hypercycles: simulation for $n = 5$, ‘pentagramvariant’



Oscillatory hypercycles:
simulation for $n = 4$

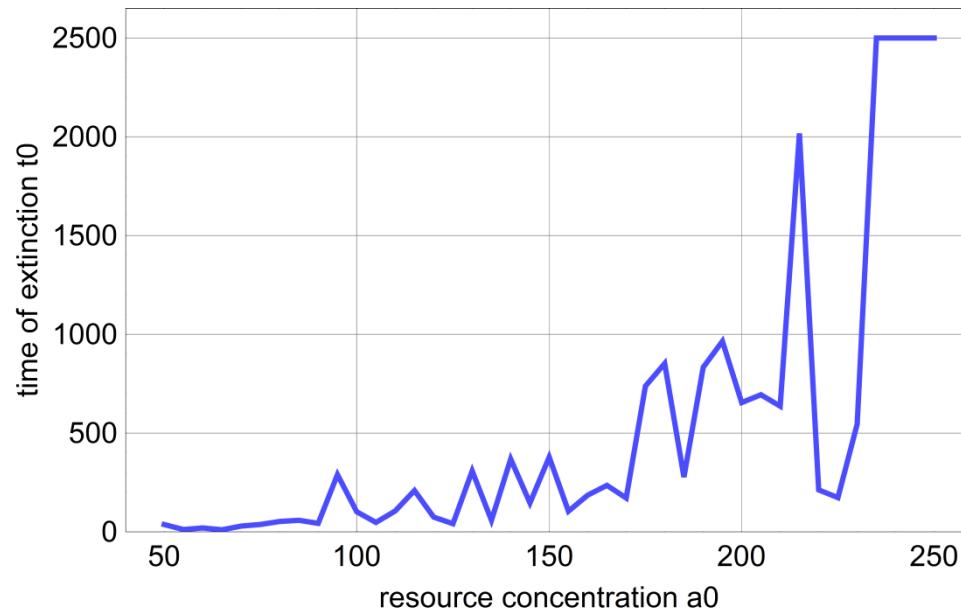


Oscillatory hypercycles:
simulation for $n = 4$



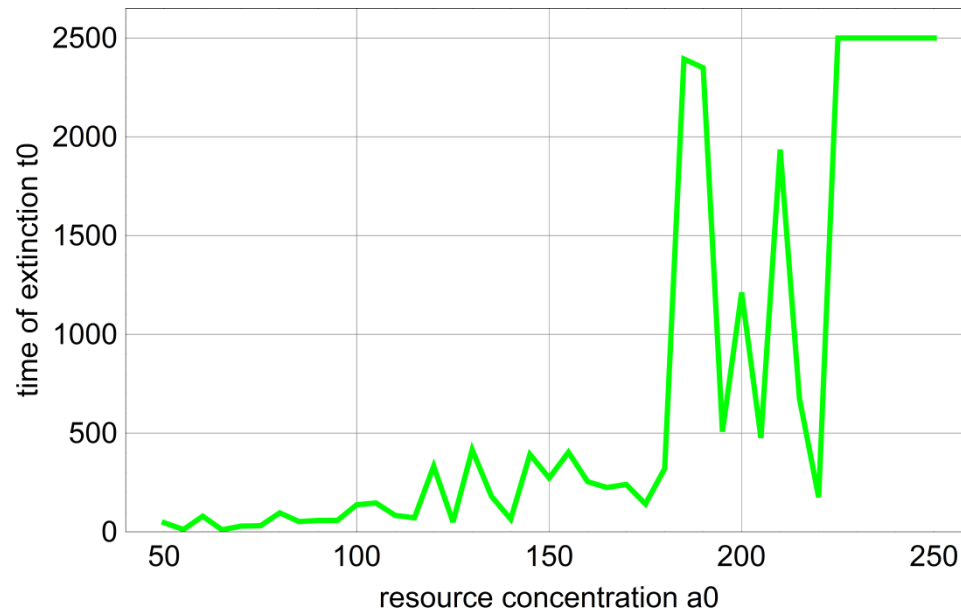
mutation rate: $p = 0.0000$

Oscillatory hypercycles: simulation for $n = 4$



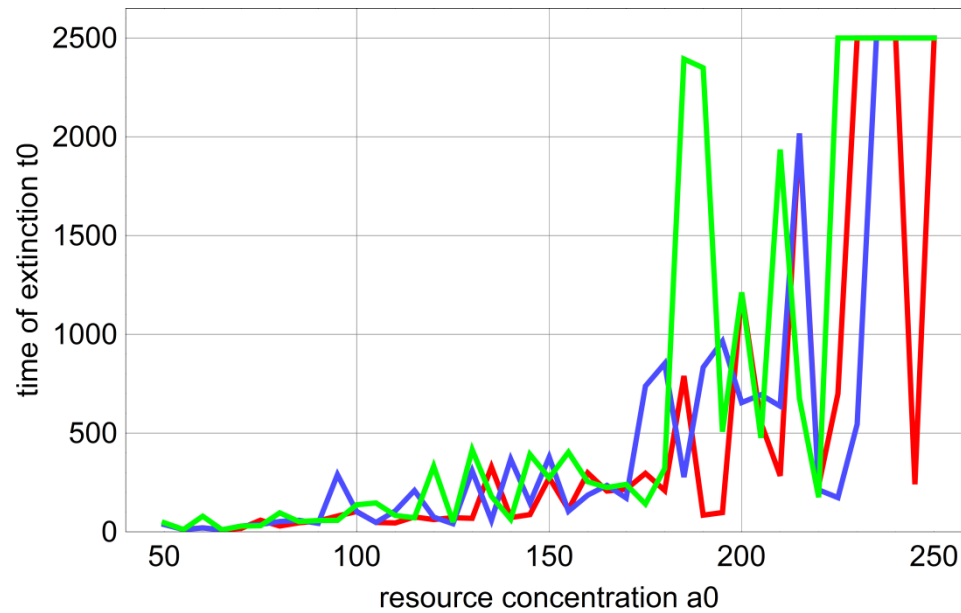
mutation rate: $p = 0.0010$

Oscillatory hypercycles: simulation for $n = 4$



mutation rate: $p = 0.0020$

Oscillatory hypercycles: simulation for $n = 4$



mutation rate: $p = 0.0000$, 0.0010 and 0.0020

Oscillatory hypercycles: simulation for $n = 4$

1. *A general and simple model for evolution*
2. *Mutation and quasispecies*
3. *Cooperation and major transitions*
4. *Can mutations counteract extinction ?*
5. **Some conclusions**

The model despite its simplicity illustrates and provides explanations for features observed in real biology.

A Cartesian space with competition, cooperation, and variation plotted on the axes is used to classify processes that lead to transition phenomena. Commonly - but not always - these transitions are sharp in the sense of 'phase transitions' in finite systems or they are represented by bifurcations.

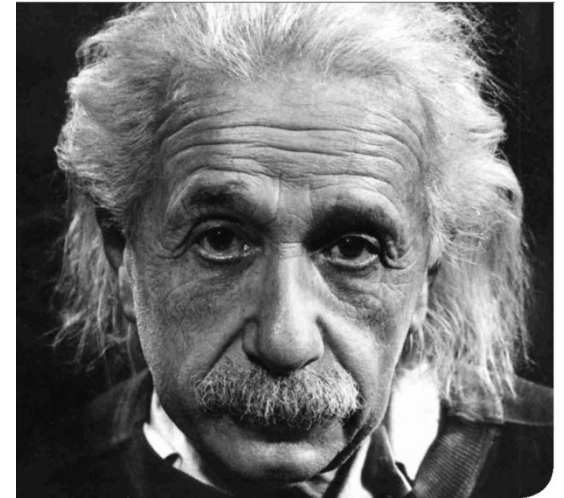
These transitions are:

- i. A transition from ordered reproduction to random replication on the face constituted by differential fitness and mutation.
- ii. A transition from selection to cooperation in the sense of the initiation of a 'major transition' driven by the availability of resources on the face of differential fitness and cooperation.
- iii. A transition from stochastic extinction to survival on the face of cooperation and mutation.

A conjecture states that all transitions smoothen out in the interior of the Cartesian space.

Insofern sich Sätze der Mathematik auf die Wirklichkeit beziehen, sind sie nicht sicher, und insofern sie sicher sind, beziehen sie sich nicht auf die Wirklichkeit.

As far as the laws of mathematics refer to reality, they are not certain, and as far as they are certain, they don't refer to reality.



Albert Einstein. Geometrie und Erfahrung. Sitzungsberichte der Preussischen Akademie der Wissenschaften, 1921 (1), 123-130

Thank you for your attention!

Web-Page for further information:

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

Peter Schuster. Some mechanistic requirements for major transitions.
Phil. Trans. R. Soc.B 371:e20150439, 2016

Peter Schuster. Increase in complexity and information through
molecular evolution. *Entropy*, in press, 2016

