Darwinsche Evolution aus molekularer Sicht

Peter Schuster

Institut für Theoretische Chemie, Universität Wien, Austria
and
The Santa Fe Institute, Santa Fe, New Mexico, USA

Darwin Lecture Series 07/08

Wien Biozentrum Althanstraße, 10.01.2008

Web-Page for further information:

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

1. Darwinsche Evolution
2. Evolutionsexperimente mit Molekülen
3. Replikation, Mutation und Fitnesslandschaften
4. Evolution *in silico*
5. Neutrale Evolution
6. Multistabilität und RNA-Schalter

1. **Darwinsche Evolution**
2. Evolutionsexperimente mit Molekülen
3. Replikation, Mutation und Fitnesslandschaften
4. Evolution *in silico*
5. Neutrale Evolution
6. Multistabilität und RNA-Schalter

	Generation time	Selection and adaptation 10 000 generations	Genetic drift in small populations 10^6 generations	Genetic drift in large populations 10^7 generations
RNA molecules	10 sec 1 min	27.8 h = 1.16 d 6.94 d	115.7 d 1.90 a	3.17 a 19.01 a
Bacteria	20 min 10 h	138.9 d 11.40 a	38.03 a 1 140 a	380 a 11 408 a
Multicelluar organisms	10 d 20 a	274 a 20 000 a	27 380 a 2×10^7 a	273 800 a 2×10^8 a

Time scales of evolutionary change

Three necessary conditions for Darwinian evolution are:

1. **Multiplication,**
2. **Variation**, and
3. **Selection**.

Variation through mutation and recombination operates on the **genotype** whereas the **phenotype** is the target of **selection**.

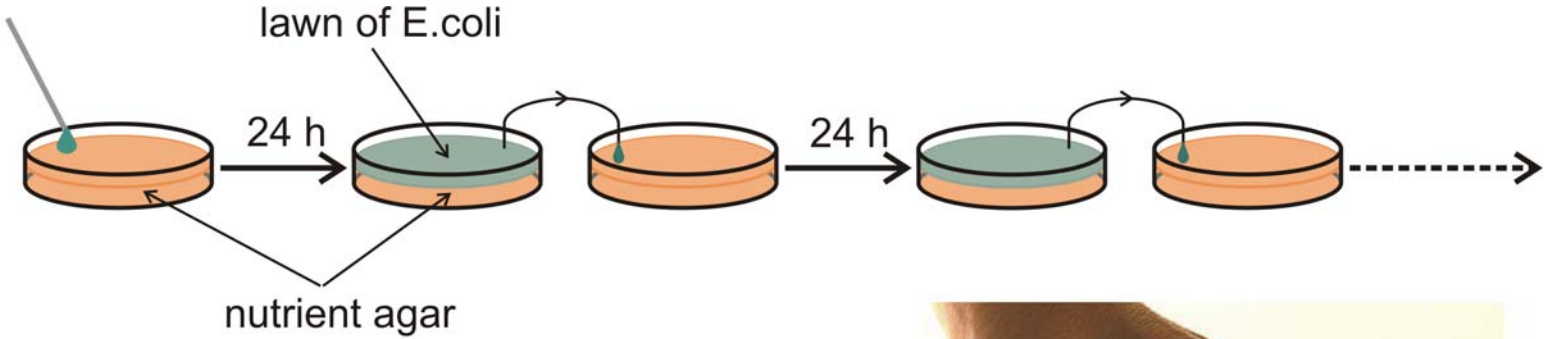
One important property of the Darwinian scenario is that **variations** in the form of mutations or recombination events occur **uncorrelated** with their **effects on the selection process**.

All conditions can be fulfilled not only by cellular organisms but also by **nucleic acid molecules** in suitable **cell-free experimental assays**.

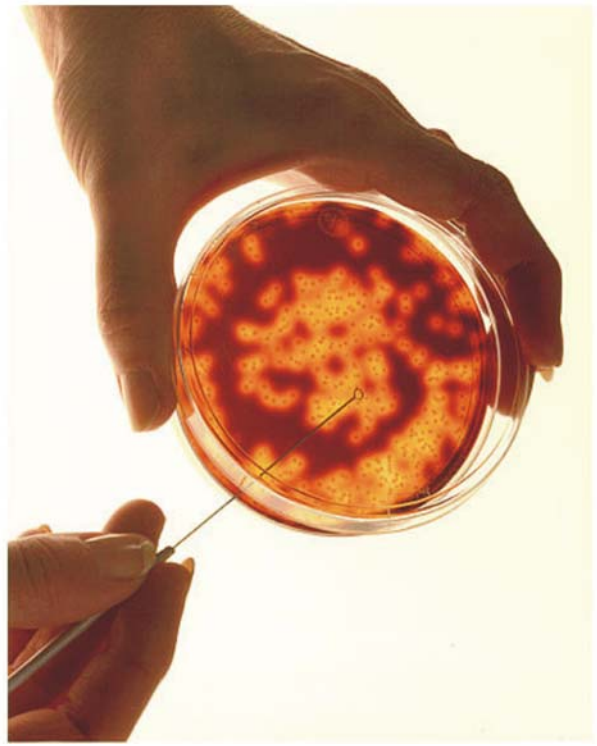
Bacterial Evolution

S. F. Elena, V. S. Cooper, R. E. Lenski. ***Punctuated evolution caused by selection of rare beneficial mutants***. Science **272** (1996), 1802-1804

D. Papadopoulos, D. Schneider, J. Meier-Eiss, W. Arber, R. E. Lenski, M. Blot. ***Genomic evolution during a 10,000-generation experiment with bacteria***. Proc.Natl.Acad.Sci.USA **96** (1999), 3807-3812



1 day » 6.67 generations
1 month » 200 generations
1 year » 2400 generations



Serial transfer of Escherichia coli cultures in Petri dishes

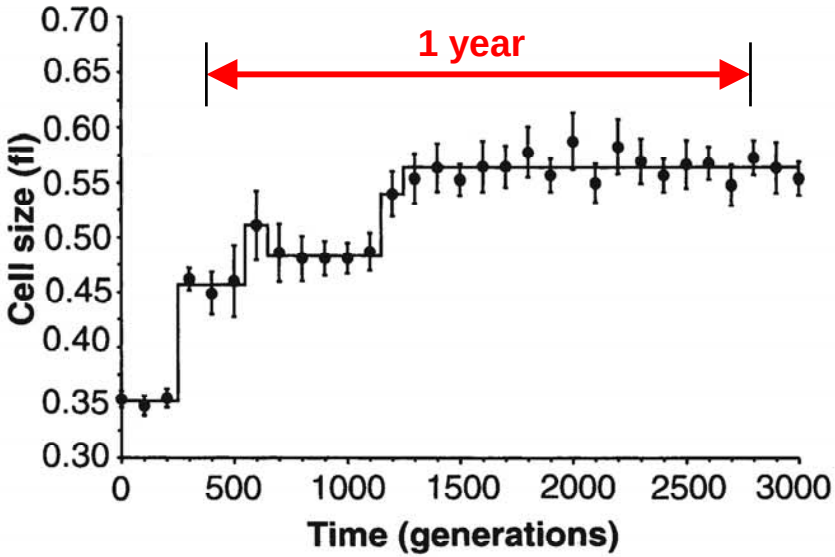


Fig. 1. Change in average cell size (1 fl = 10^{-15} L) in a population of *E. coli* during 3000 generations of experimental evolution. Each point is the mean of 10 replicate assays (*22*). Error bars indicate 95% confidence intervals. The solid line shows the best fit of a step-function model to these data (Table 1).

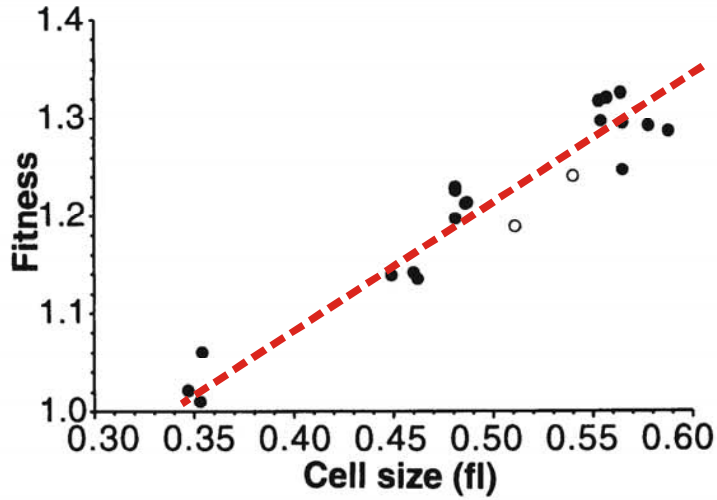
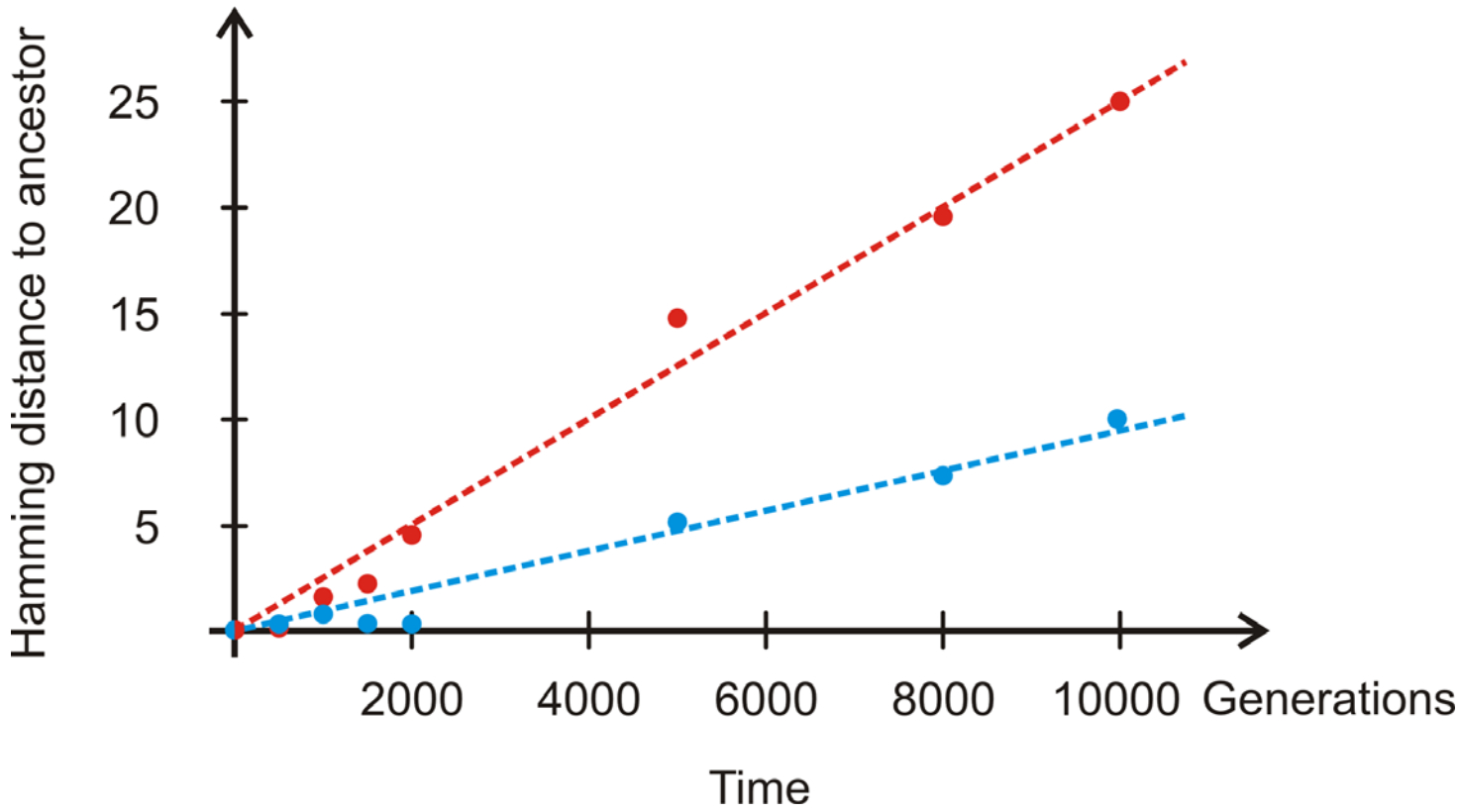


Fig. 2. Correlation between average cell size and mean fitness, each measured at 100-generation intervals for 2000 generations. Fitness is expressed relative to the ancestral genotype and was obtained from competition experiments between derived and ancestral cells (*6, 7*). The open symbols indicate the only two samples assigned to different steps by the cell size and fitness data.

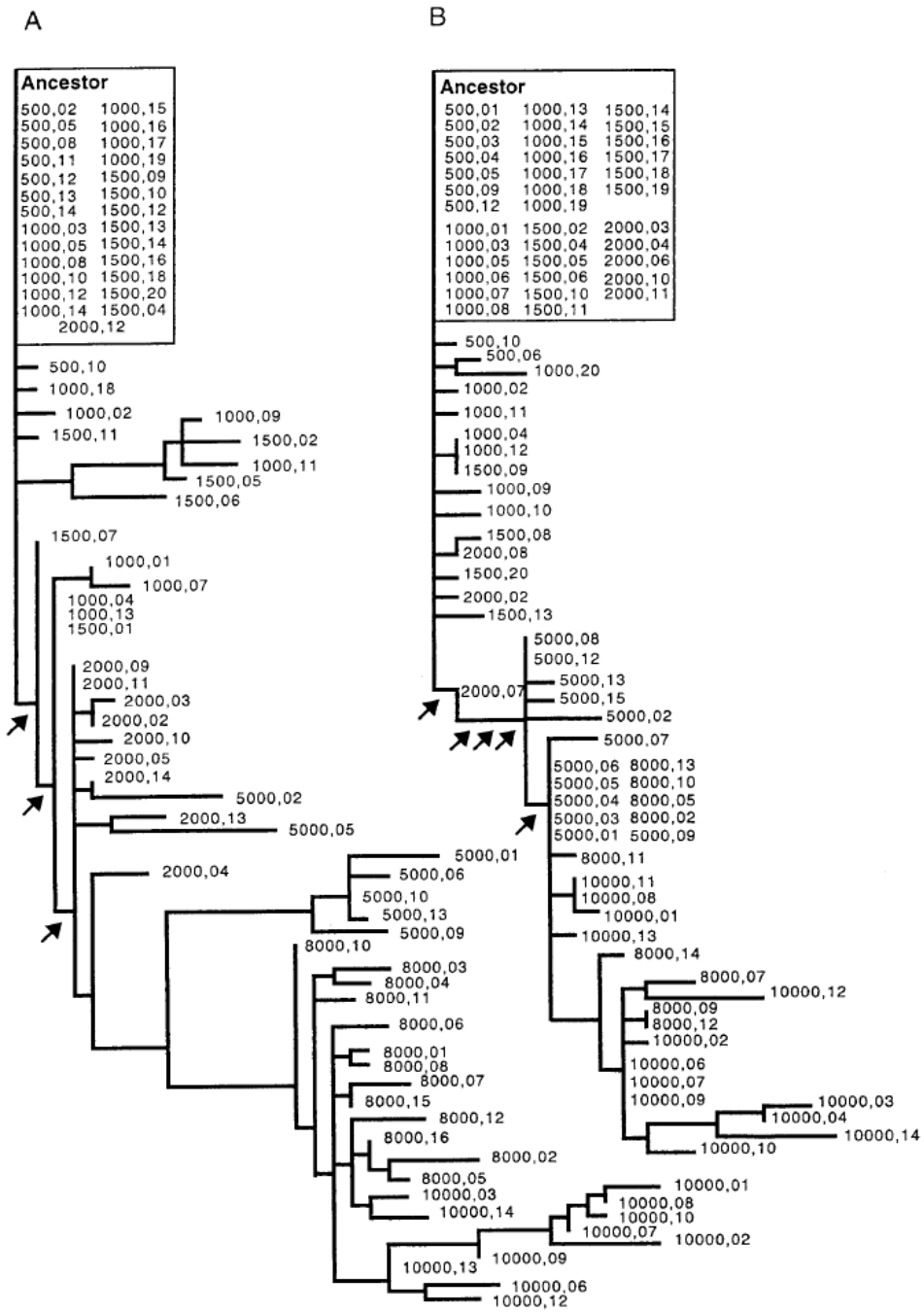
Epochal evolution of bacteria in serial transfer experiments under constant conditions

S. F. Elena, V. S. Cooper, R. E. Lenski. *Punctuated evolution caused by selection of rare beneficial mutants*. Science **272** (1996), 1802-1804



Variation of genotypes in a bacterial serial transfer experiment

D. Papadopoulos, D. Schneider, J. Meier-Eiss, W. Arber, R. E. Lenski, M. Blot. *Genomic evolution during a 10,000-generation experiment with bacteria*. Proc.Natl.Acad.Sci.USA **96** (1999), 3807-3812



D. Papadopoulos et al. Genomic evolution during a 10000-generation experiment with bacteria. *Proc.Natl.Acad.Sci.USA* **96**:3807-3812, 1999

1. Darwinsche Evolution
2. **Evolutionsexperimente mit Molekülen**
3. Replikation, Mutation und Fitnesslandschaften
4. Evolution *in silico*
5. Neutrale Evolution
6. Multistabilität und RNA-Schalter

Evolution of RNA molecules based on Qβ phage

D.R.Mills, R.L.Peterson, S.Spiegelman, ***An extracellular Darwinian experiment with a self-duplicating nucleic acid molecule***. Proc.Natl.Acad.Sci.USA **58** (1967), 217-224

S.Spiegelman, ***An approach to the experimental analysis of precellular evolution***. Quart.Rev.Biophys. **4** (1971), 213-253

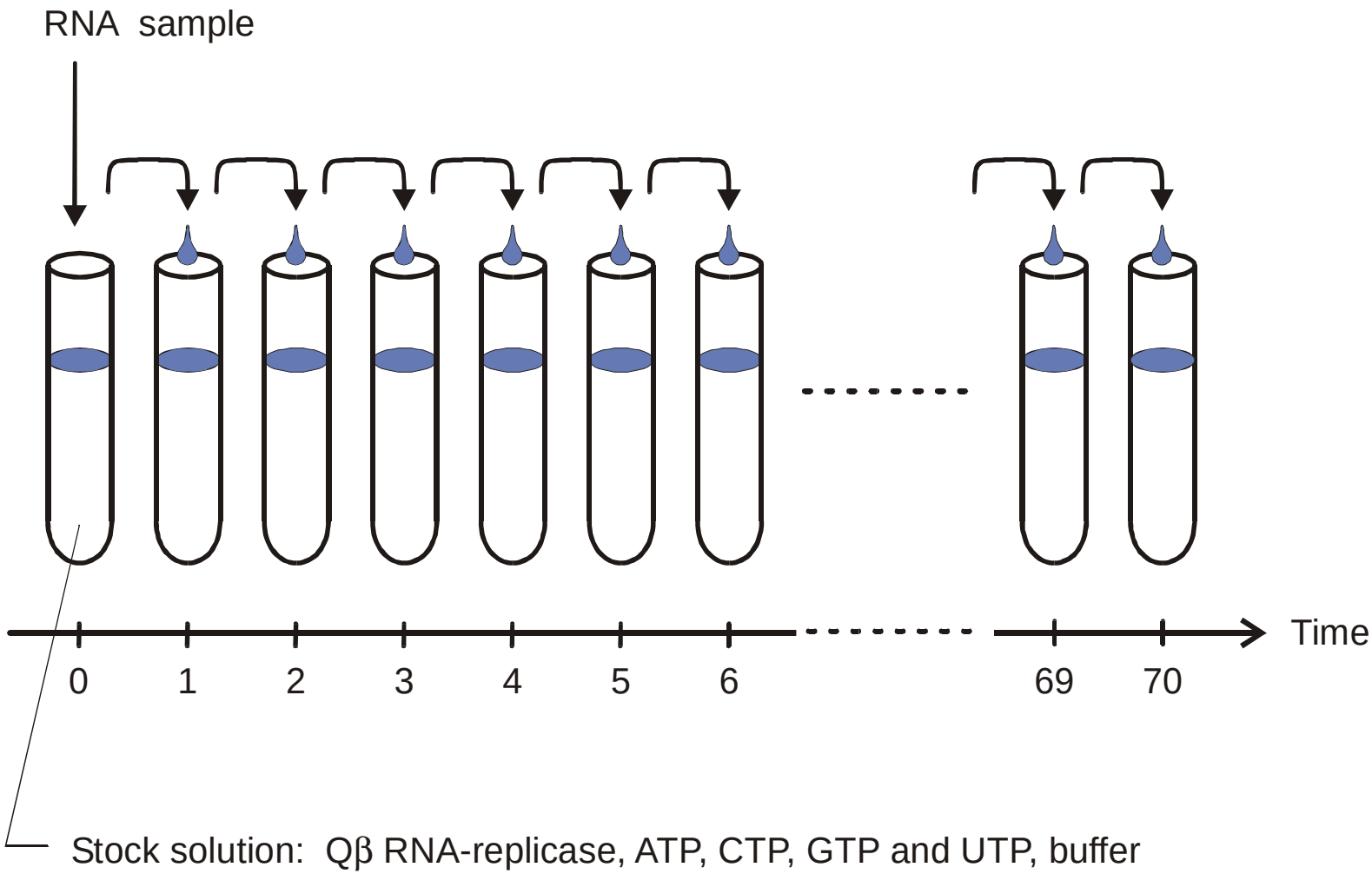
C.K.Biebricher, ***Darwinian selection of self-replicating RNA molecules***. Evolutionary Biology **16** (1983), 1-52

G.Bauer, H.Otten, J.S.McCaskill, ***Travelling waves of* in vitro *evolving RNA.*** *Proc.Natl.Acad.Sci.USA* **86** (1989), 7937-7941

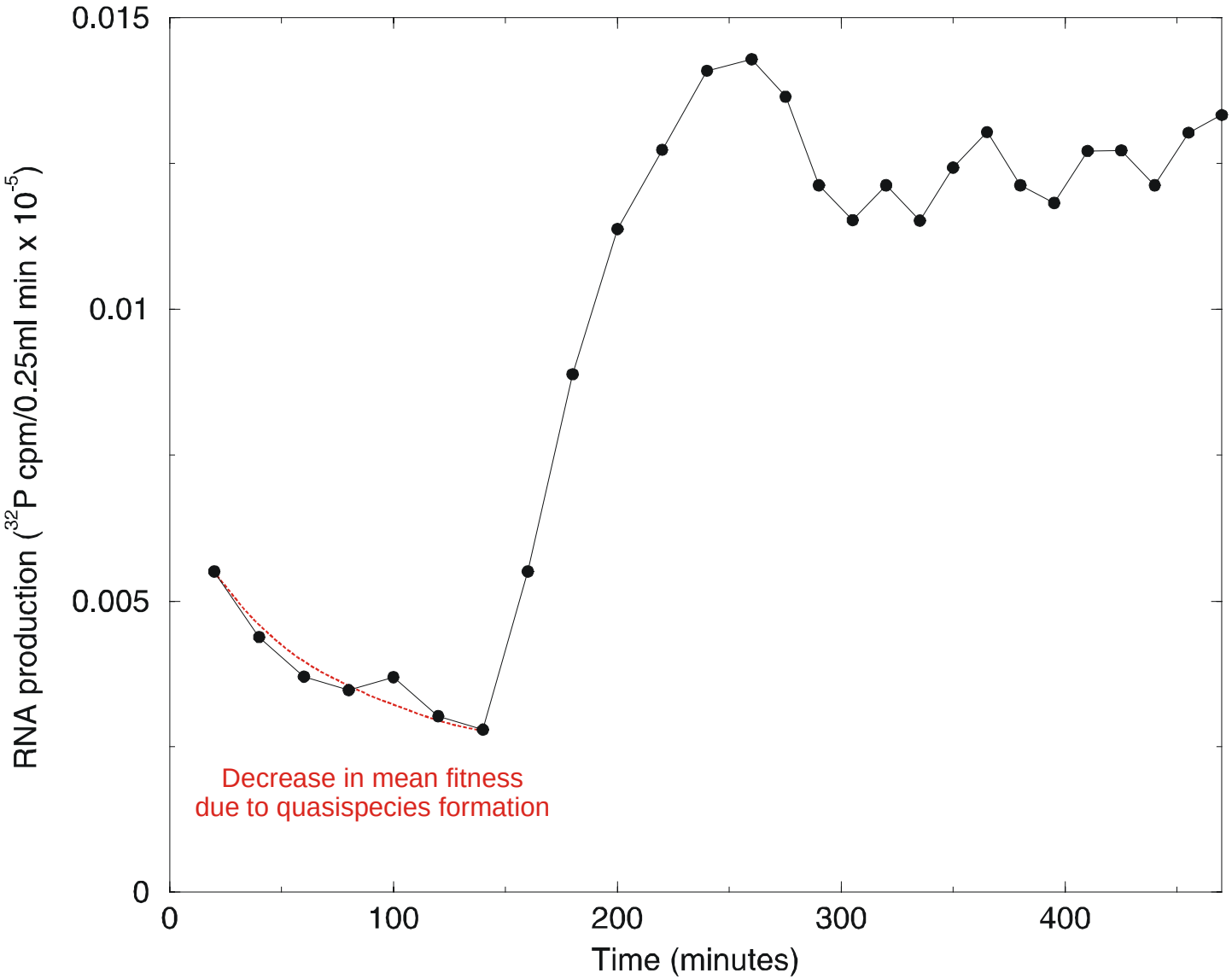
C.K.Biebricher, W.C.Gardiner, ***Molecular evolution of RNA* in vitro**. Biophysical Chemistry **66** (1997), 179-192

G.Strunk, T.Ederhof, ***Machines for automated evolution experiments* in vitro *based on the serial transfer concept***. Biophysical Chemistry **66** (1997), 193-202

F.Öhlenschlager, M.Eigen, ***30 years later – A new approach to Sol Spiegelman‘s and Leslie Orgel‘s* in vitro *evolutionary studies***. Orig.Life Evol.Biosph. **27** (1997), 437-457



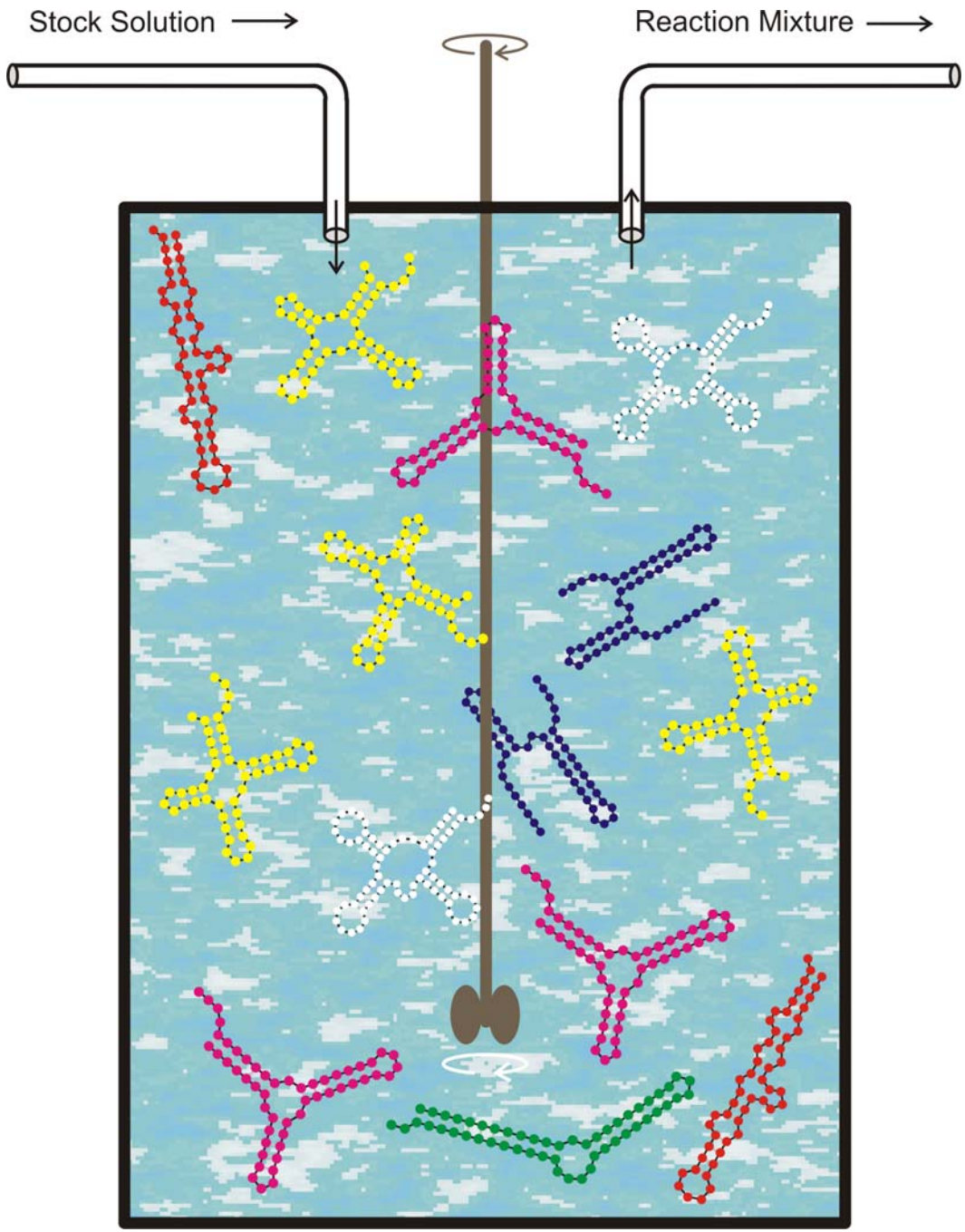
Anwendung der seriellen Überimpfungstechnik auf RNA-Evolution in Reagenzglas



The increase in RNA production rate during a serial transfer experiment

Stock solution:

activated monomers, **ATP, CTP, GTP, UTP (TTP);**
a replicase, an enzyme that performs complemantary replication;
buffer solution



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

Evolutionary design of RNA molecules

D.B.Bartel, J.W.Szostak, **In vitro *selection of RNA molecules that bind specific ligands***. Nature **346** (1990), 818-822

C.Tuerk, L.Gold, **SELEX - *Systematic evolution of ligands by exponential enrichment: RNA ligands to bacteriophage* T4 *DNA polymerase***. Science **249** (1990), 505-510

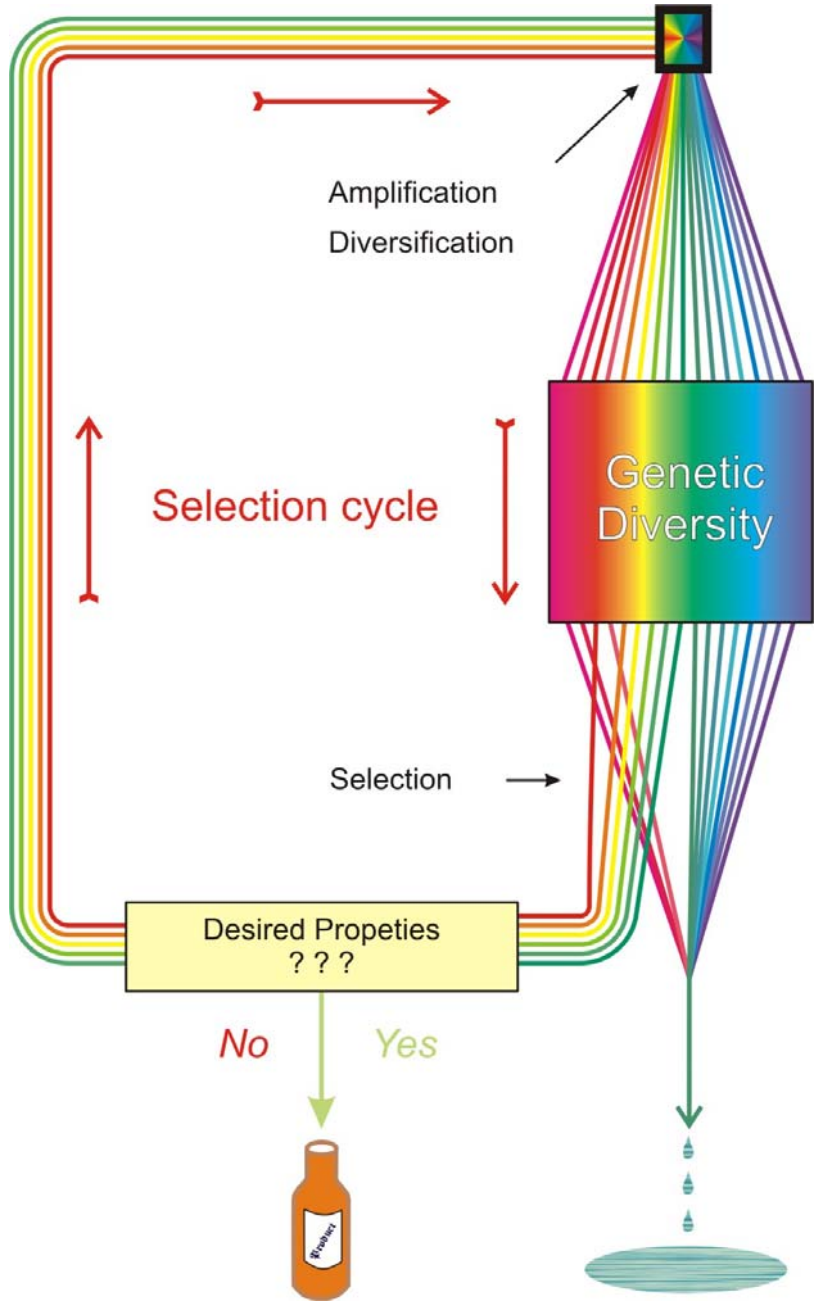
D.P.Bartel, J.W.Szostak, ***Isolation of new ribozymes from a large pool of random sequences***. Science **261** (1993), 1411-1418

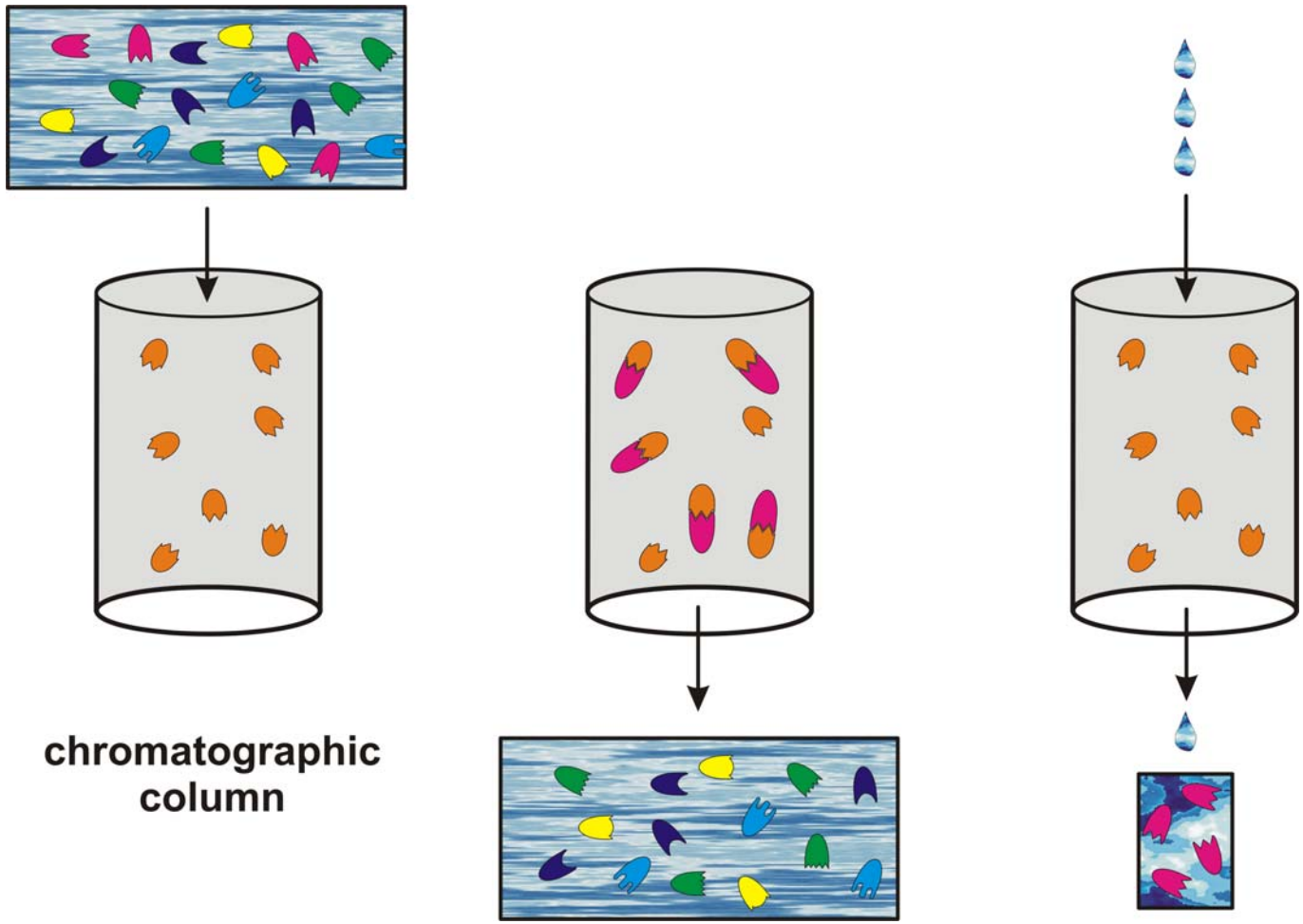
R.D.Jenison, S.C.Gill, A.Pardi, B.Poliski, ***High-resolution molecular discrimination by RNA***. Science **263** (1994), 1425-1429

Y. Wang, R.R.Rando, ***Specific binding of aminoglycoside antibiotics to RNA***. Chemistry & Biology **2** (1995), 281-290

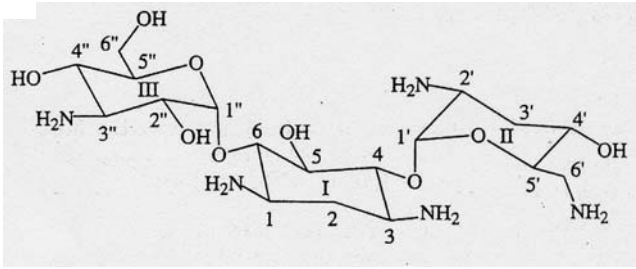
Jiang, A. K. Suri, R. Fiala, D. J. Patel, ***Saccharide-RNA recognition in an aminoglycoside antibiotic-RNA aptamer complex***. Chemistry & Biology **4** (1997), 35-50

An example of ‘artificial selection’ with RNA molecules or ‘breeding’ of biomolecules



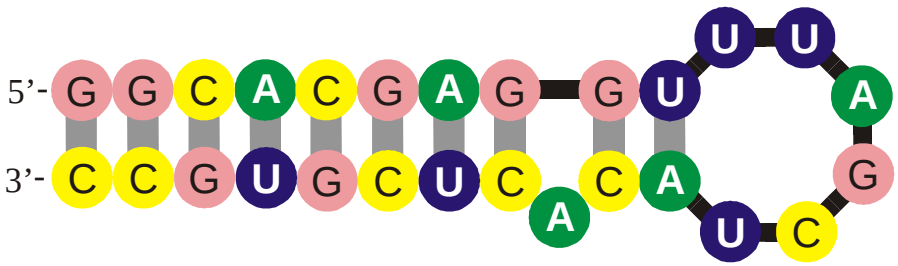


The SELEX technique for the evolutionary preparation of aptamers



tobramycin

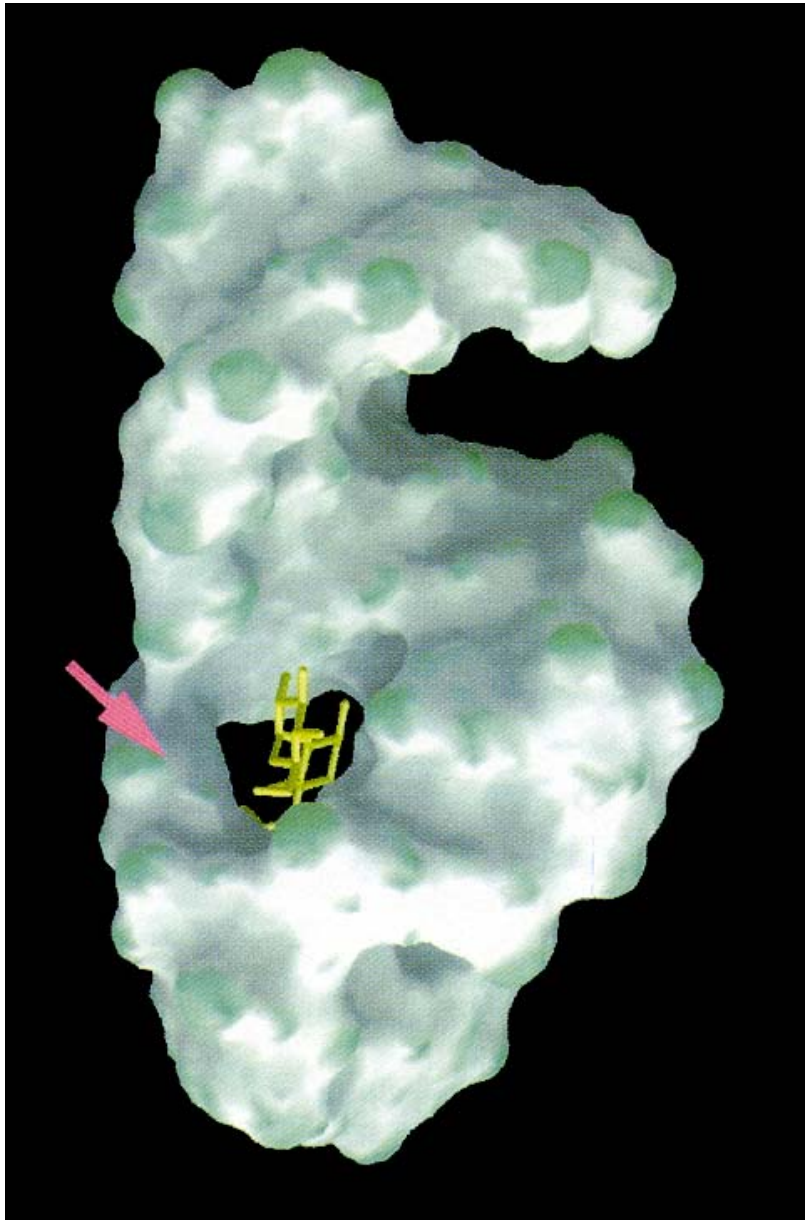
5’- G G C A C G A G G U U U A G C U A C A C U C G U G C C -3’



RNA aptamer

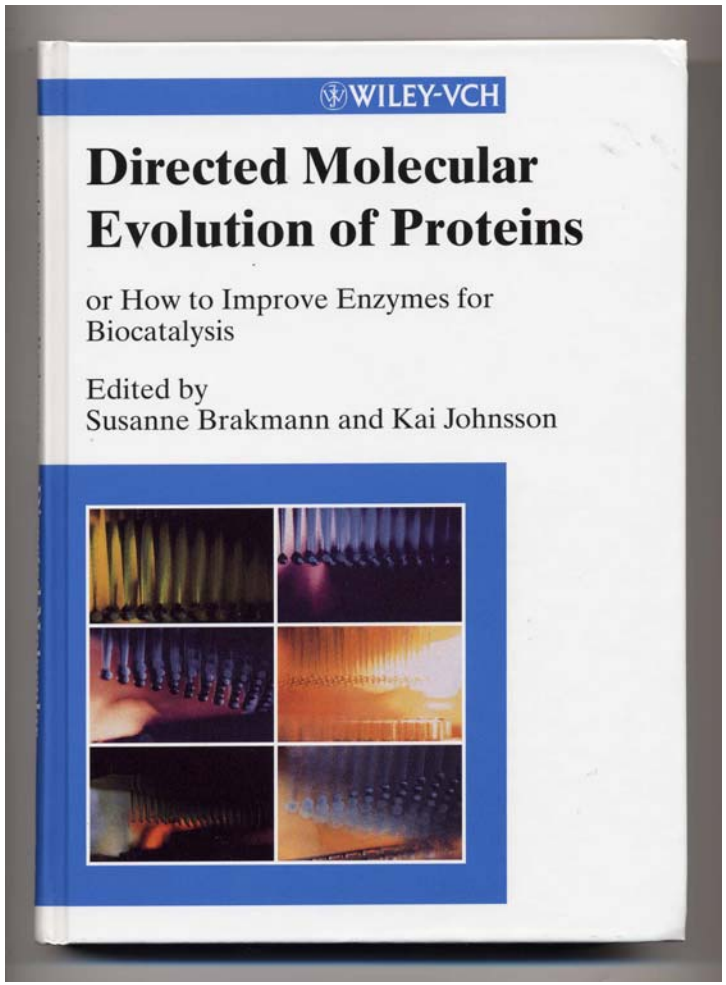
Formation of secondary structure of the tobramycin binding RNA aptamer with $K_D = 9$ nM

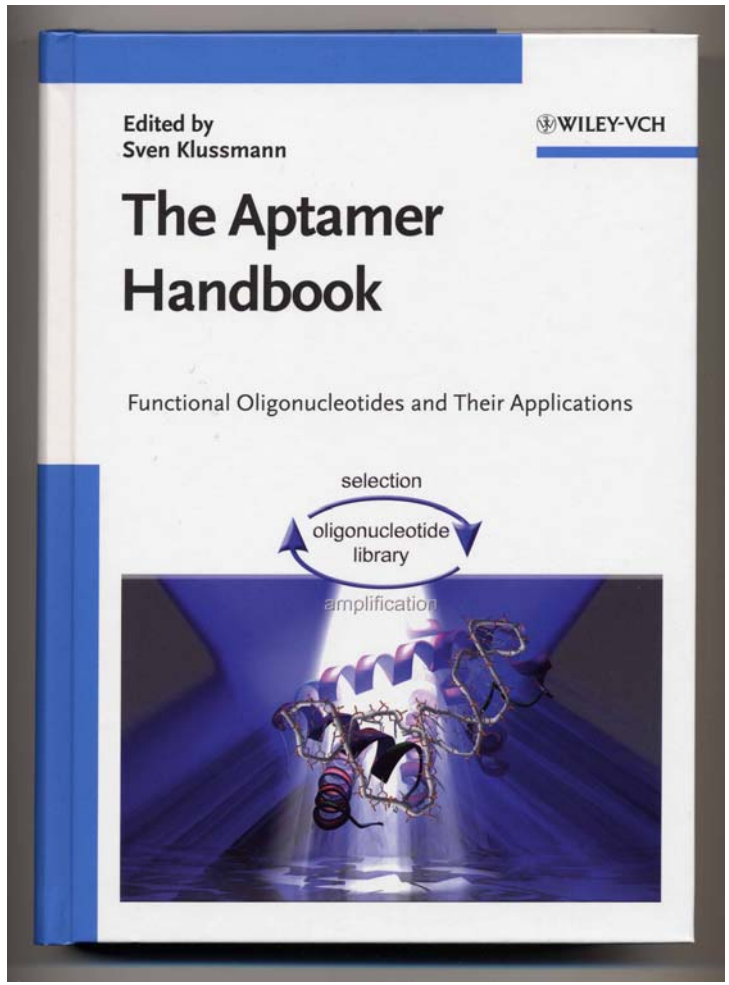
L. Jiang, A. K. Suri, R. Fiala, D. J. Patel, ***Saccharide-RNA recognition in an aminoglycoside antibiotic-RNA aptamer complex.*** Chemistry & Biology **4**:35-50 (1997)



The three-dimensional structure of the tobramycin aptamer complex

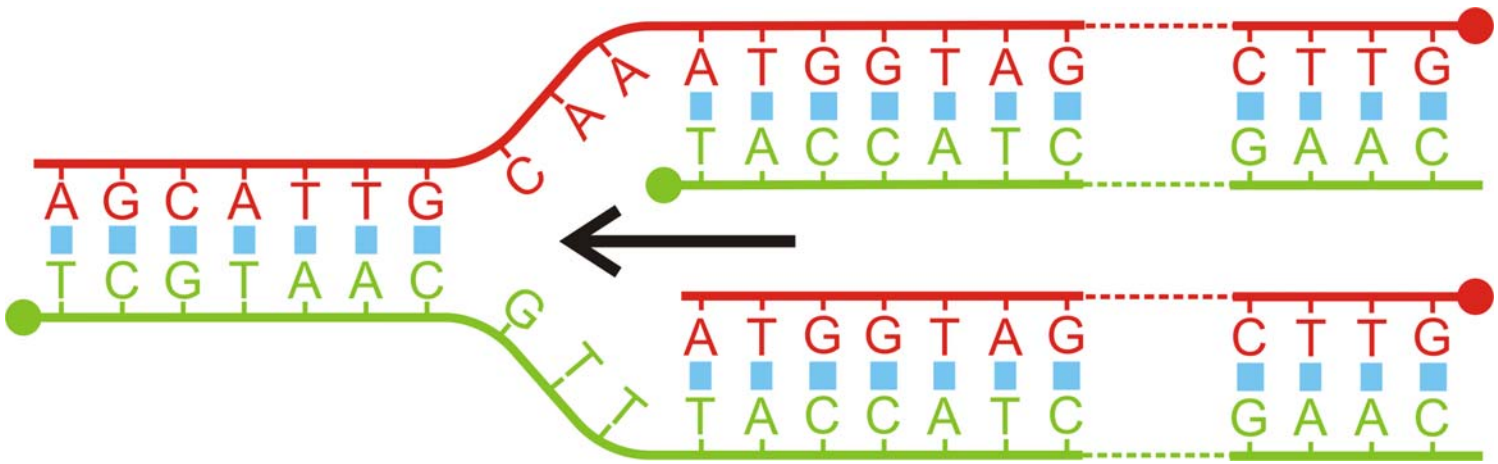
L. Jiang, A. K. Suri, R. Fiala, D. J. Patel, Chemistry & Biology **4**:35-50 (1997)





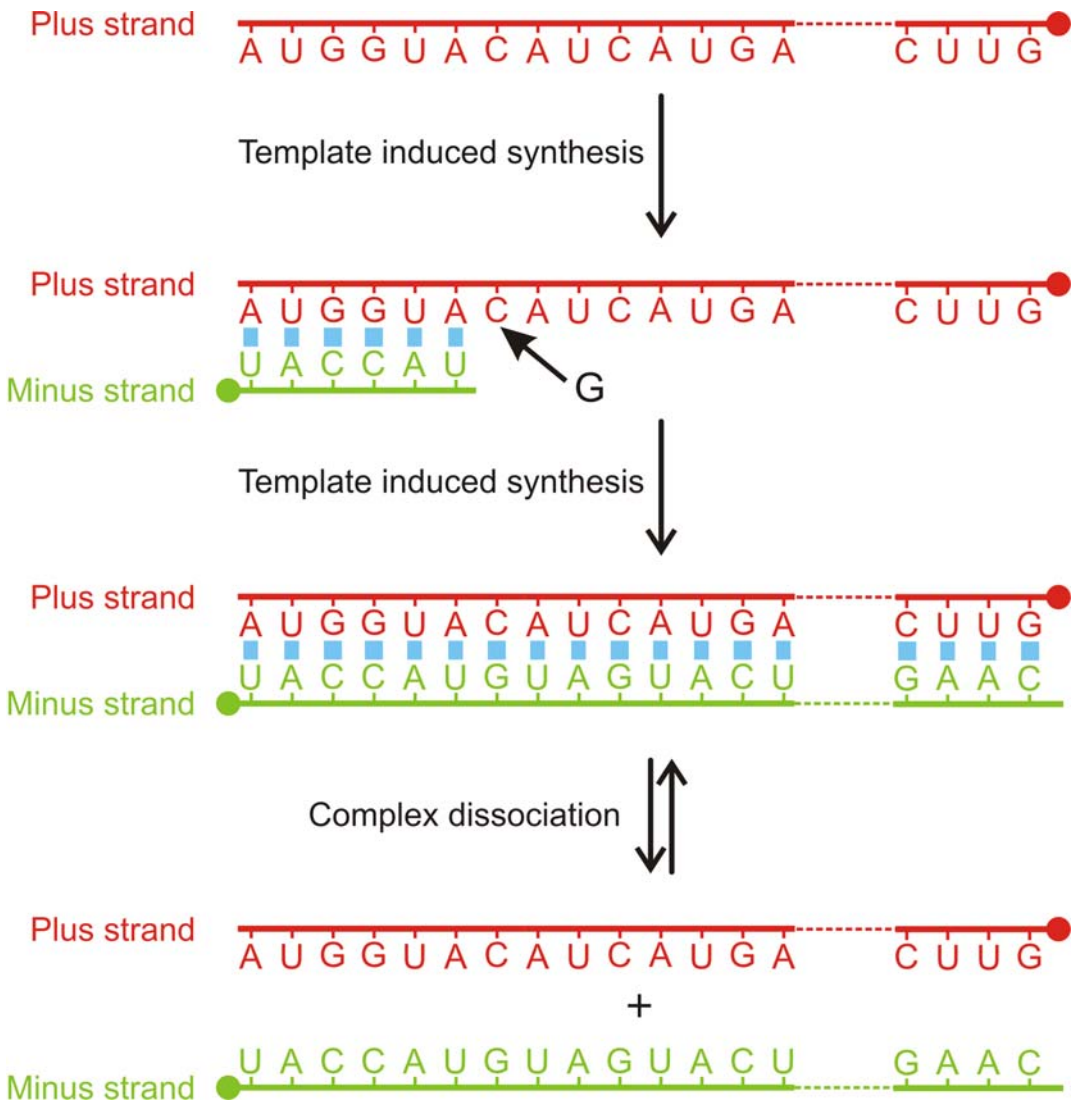
Application of molecular evolution to problems in biotechnology

1. Darwinsche Evolution
2. Evolutionsexperimente mit Molekülen
3. **Replikation, Mutation und Fitnesslandschaften**
4. Evolution *in silico*
5. Neutrale Evolution
6. Multistabilität und RNA-Schalter



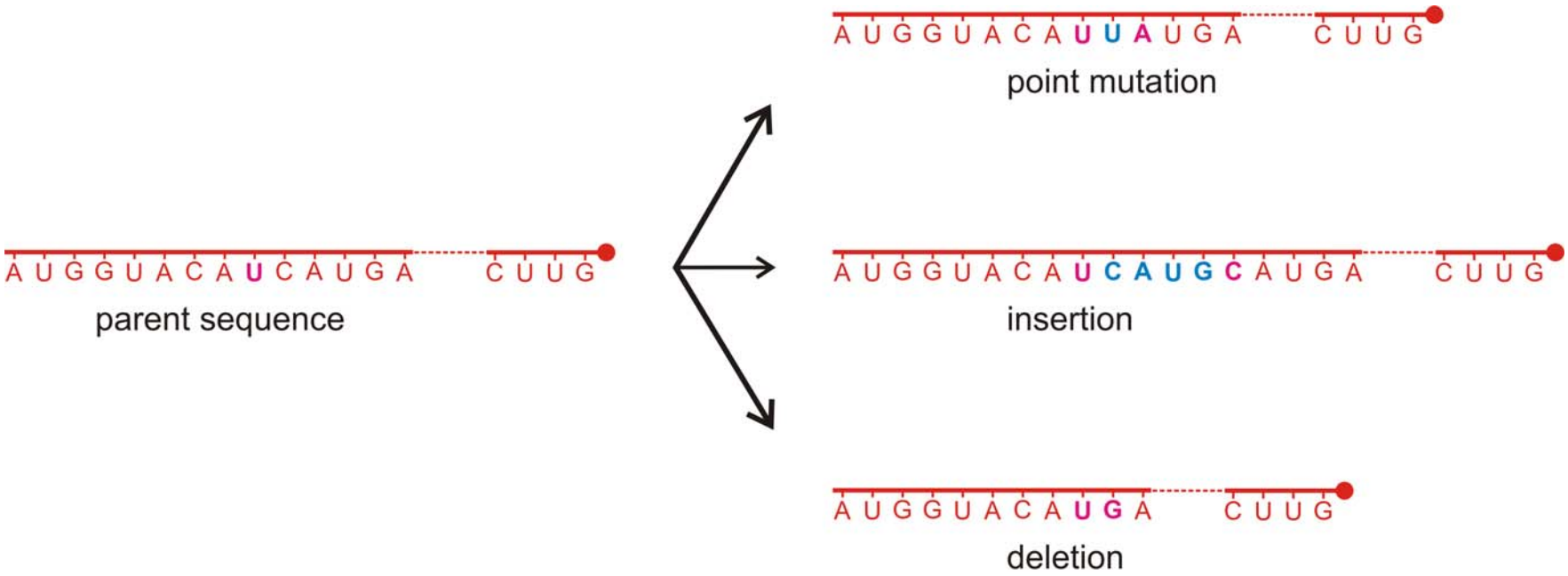
‚Replication fork' in DNA replication

The mechanism of DNA replication is ‚semi-conservative'



Complementary replication is the simplest copying mechanism of RNA.
Complementarity is determined by Watson-Crick base pairs:

G≡C and **A=U**



Variation of genotypes through mutation

DIE NATURWISSENSCHAFTEN

58. Jahrgang, 1971 — Heft 10 Oktober

Selforganization of Matter and the Evolution of Biological Macromolecules

MANFRED EIGEN*

Max-Planck-Institut für Biophysikalische Chemie, Karl-Friedrich-Bonhoeffer-Institut, Göttingen-Nikolausberg

I. Introduction 465
I.1. Cause and Effect 465
I.2. Prerequisites of Selforganization 467
I.2.1. Evolution Must Start from Random Events 467
I.2.2. Instruction Requires Information 467
I.2.3. Information Originates or Gains Value by Selection 469
I.2.4. Selection Occurs with Special Substances under Special Conditions 470
II. Phenomenological Theory of Selection 473
II.1. The Concept "Information" 473
II.2. Phenomenological Equations 474
II.3. Selection Strains 476
II.4. Selection Equilibrium 479
II.5. Quality Factor and Error Distribution 480
II.6. Kinetics of Selection 481
III. Stochastic Approach to Selection 484
III.1. Limitations of a Deterministic Theory of Selection 484
III.2. Fluctuations around Equilibrium States 484
III.3. Fluctuations in the Steady State 485
III.4. Stochastic Models as Markov Chains 487
III.5. Quantitative Discussion of Three Prototypes of Selection 487
IV. Selforganization Based on Complementary Recognition: Nucleic Acids 490
IV.1. True "Selfinstruction" 490
IV.2. Complementary Instruction and Selection (Theory) 492
IV.3. Complementary Base Recognition (Experimental Data) 494
IV.3.1. Single Pair Formation 494
IV.3.2. Cooperative Interactions in Oligo- and Polynucleotides 495
IV.3.3. Conclusions about Recognition 496
V. Selforganization via Cyclic Catalysis: Proteins 498
V.1. Recognition and Catalysis by Enzymes 498
V.2. Selforganizing Enzyme Cycles (Theory) 499
V.2.1. Catalytic Networks 499
V.2.2. The Selfreproducing Loop and Its Variants 499
V.2.3. Competition between Different Cycles: Selection. 501
V.3. Can Proteins Reproduce Themselves? 501
VI. Selfordering by Encoded Catalytic Function 503
VI.1 The Requirement of Cooperation between Nucleic Acids and Proteins 503
VI.2. A Selfreproducing Hyper-Cycle 503
VI.2.1. The Model 503
VI.2.2. Theoretical Treatment 505
VI.3. On the Origin of the Code 508
VII. Evolution Experiments 511
VII.1. The Qβ-Replicase System 511
VII.2. Darwinian Evolution in the Test Tube 512
VII.3. Quantitative Selection Studies 513
VII.4. "Mirror One" Experiments 514
VIII. Conclusions 515
VIII.1. Limits of Theory 515
VIII.2. The Concept "Value" 515
VIII.3. "Dissipation" and the "Origin of Information" 516
VIII.4. The Principles of Selection and Evolution . . . 517
VIII.5. "Indeterminate", but "Inevitable" 518
VIII.6. Can the Phenomenon of Life be Explained by Our Present Concepts of Physics? 520
IX. Deutsche Zusammenfassung 520
Acknowledgements 522
Literature 522

I. Introduction

I.1. „Cause and Effect"

The question about the origin of life often appears as a question about "cause and effect". Physical theories of macroscopic processes usually involve answers to such questions, even if a statistical interpretation is given to the relation between "cause" and "effect". It is mainly due to the nature of this question that many scientists believe that our present physics does not offer any obvious explanation for the existence of life, 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-the-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 ad absurdum, because "function"

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

Die Naturwissenschaften 64. Jahrgang Heft 11 November 1977

The Hypercycle

A Principle of Natural Self-Organization

Part A: Emergence of the Hypercycle

Manfred Eigen
Max-Planck-Institut für biophysikalische Chemie, D-3400 Göttingen

Peter Schuster
Institut für theoretische Chemie und Strahlenchemie der Universität, A-1090 Wien

This paper is the first part of a trilogy, which comprises a detailed study of a special type of functional organization and demonstrates its relevance with respect to the origin and evolution of life. Self-replicative macromolecules, such as RNA or DNA in a suitable environment exhibit a behavior, which we may call Darwinian and which can be formally represented by the concept of the quasi-species. A quasi-species is defined as a given distribution of macromolecular species with closely interrelated sequences, dominated by one or several (degenerate) master copies. External constraints enforce the selection of the best adapted distribution, commonly referred to as the wild-type. Most important for Darwinian behavior are the criteria for internal stability of the quasi-species. If these criteria are violated, the information stored in the nucleotide sequence of the master copy will deteriorate irreversibly leading to an error catastrophy. As a consequence, selection and evolution of RNA or DNA molecules is limited with respect to the amount of information that can be stored in a single replicative unit. An analysis of experimental data regarding RNA and DNA replication at various levels of organization reveals, that a sufficient amount of information for the build up of a translation machinery can be gained only via integration of several different replicative units (or reproductive cycles) through functional linkages. A stable functional integration then will raise the system to a new level of organization and thereby enlarge its information capacity considerably. The hypercycle appears to be such a form of organization.

Preview on Part B: The Abstract Hypercycle

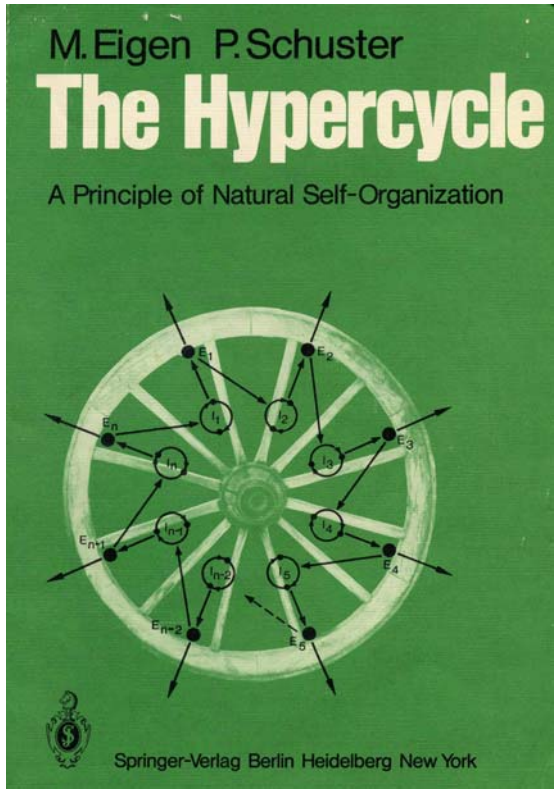
The mathematical analysis of dynamical systems using methods of differential topology, yields the result that there is only one type of mechanisms which fulfills the following requirements: The information stored in each single replicative unit (or reproductive cycle) must be maintained, i.e., the respective master copies must compete favorably with their error distributions. Despite their competitive behavior these units must establish a cooperation which includes all functionally integrated species. On the other hand, the cycle as a whole must continue to compete strongly with any other single entity or linked ensemble which does not contribute to its integrated functions.
These requirements are crucial for a selection of the best adapted functionally linked ensemble and its evolutive optimization. Only hypercyclic organizations are able to fulfil these requirements. Non-cyclic linkages among the autonomous reproduction cycles, such as chains or branched, tree-like networks are devoid of such properties.
The mathematical methods used for proving these assertions are fixed-point, Lyapunov- and trajectorial analysis in higher-dimensional phase spaces, spanned by the concentration coordinates of the cooperating partners. The self-organizing properties of hypercycles are elucidated, using analytical as well as numerical techniques.

Preview on Part C: The Realistic 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 origination with finite probability under prebiotic conditions.
2) It permits a continuous emergence from closely interrelated (t-RNA-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.

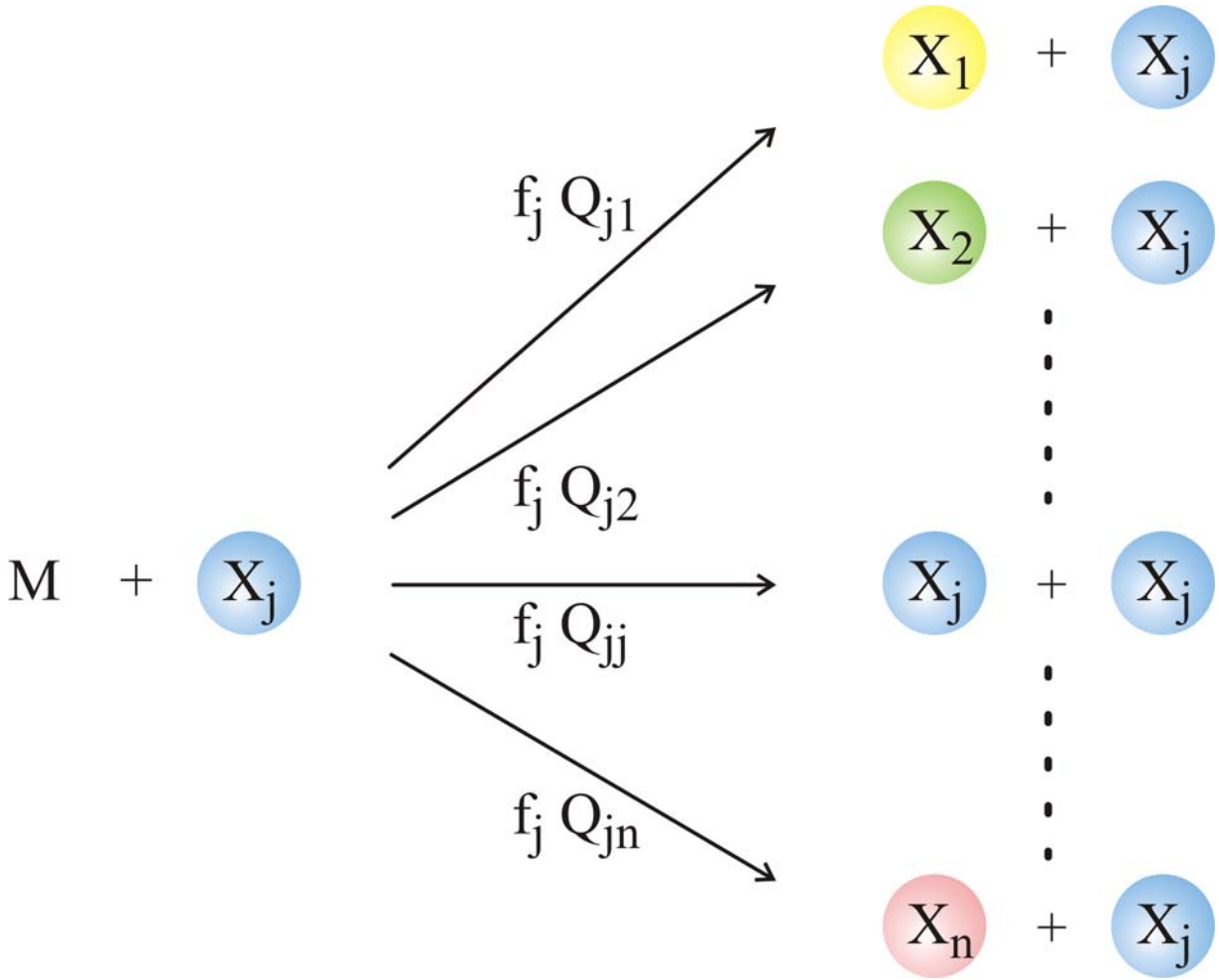
I. The Paradigm of Unity and Diversity in Evolution

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 chiralities of the macromolecules?
The geneticists of our day would not hesitate to give an immediate answere 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-



Chemical kinetics of molecular evolution

M. Eigen, P. Schuster, `The Hypercycle´, Springer-Verlag, Berlin 1979


M + Xj
fj Qj1
fj Qj2
fj Qjj
fj Qjn
X1 + Xj
X2 + Xj
Xj + Xj
Xn + Xj

$$\frac{dx_j}{dt} = \sum_{i=1}^{n} f_i Q_{ij} x_i - x_j \Phi \quad \text{with} \quad \Phi = \sum_{i=1}^{n} f_i x_i$$

$$\text{and} \quad \sum_{i=1}^{n} x_i = 1$$

$$Q_{ij} = (1-p)^{n-d_H(\mathrm{X}_i,\mathrm{X}_j)} \; p^{d_H(\mathrm{X}_i,\mathrm{X}_j)}; \quad p \ldots \text{error rate per digit}$$

$$d_H(X_i, X_j) \ldots \text{Hamming distance between } X_i \text{ and } X_j$$

$$\sum_{j=1}^{n} Q_{ij} = 1$$

The replication-mutation equation

Mutation-selection equation: $[\mathrm{I}_i] = x_i \geq 0,\ f_i > 0,\ Q_{ij} \geq 0$

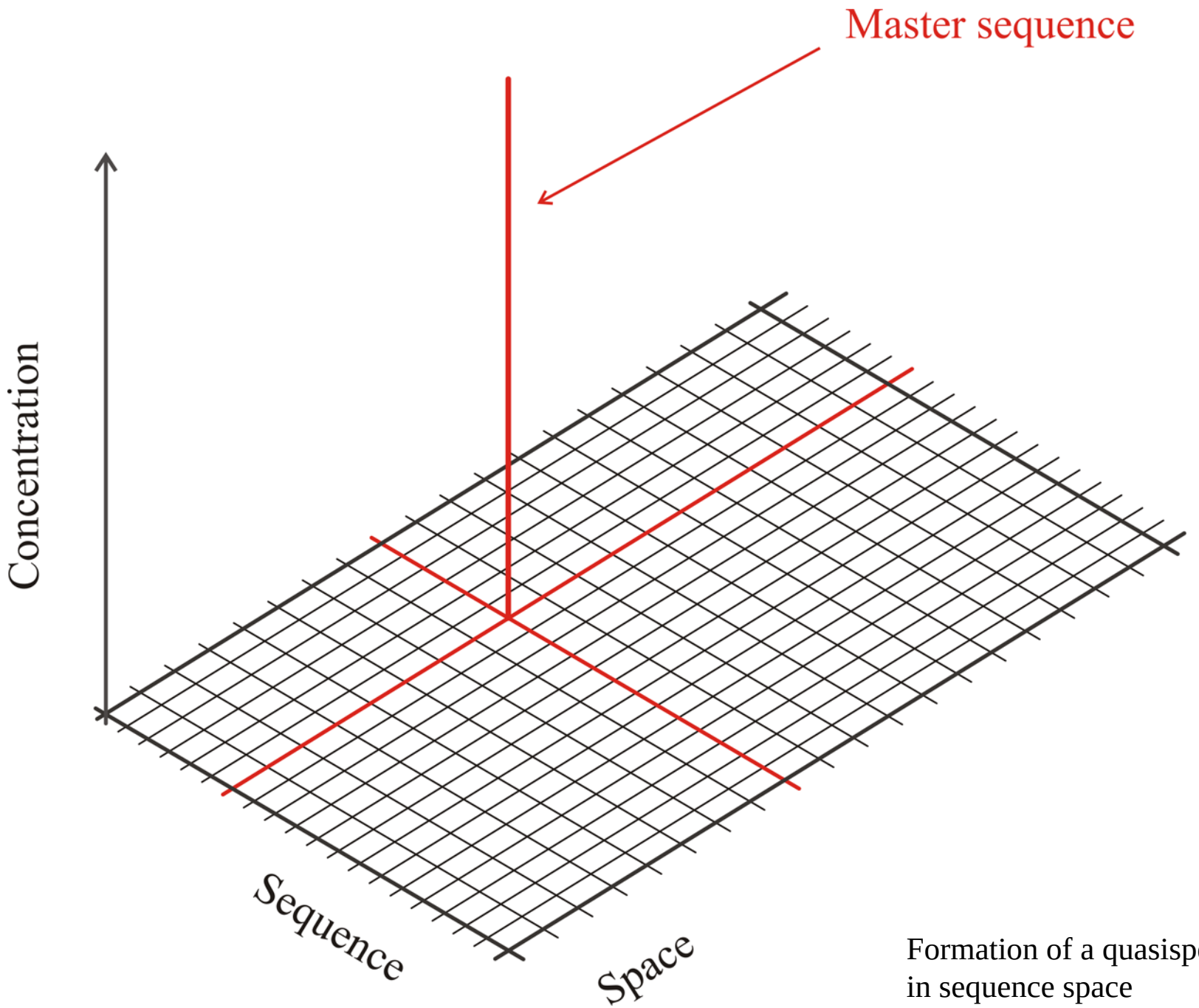
$$\frac{dx_i}{dt} = \sum_{j=1}^{n} f_j Q_{ji}\, x_j - x_i\, \phi, \quad i = 1,2,\cdots,n; \quad \sum_{i=1}^{n} x_i = 1; \quad \phi = \sum_{j=1}^{n} f_j x_j = \overline{f}$$

Solutions are obtained after integrating factor transformation by means of an eigenvalue problem

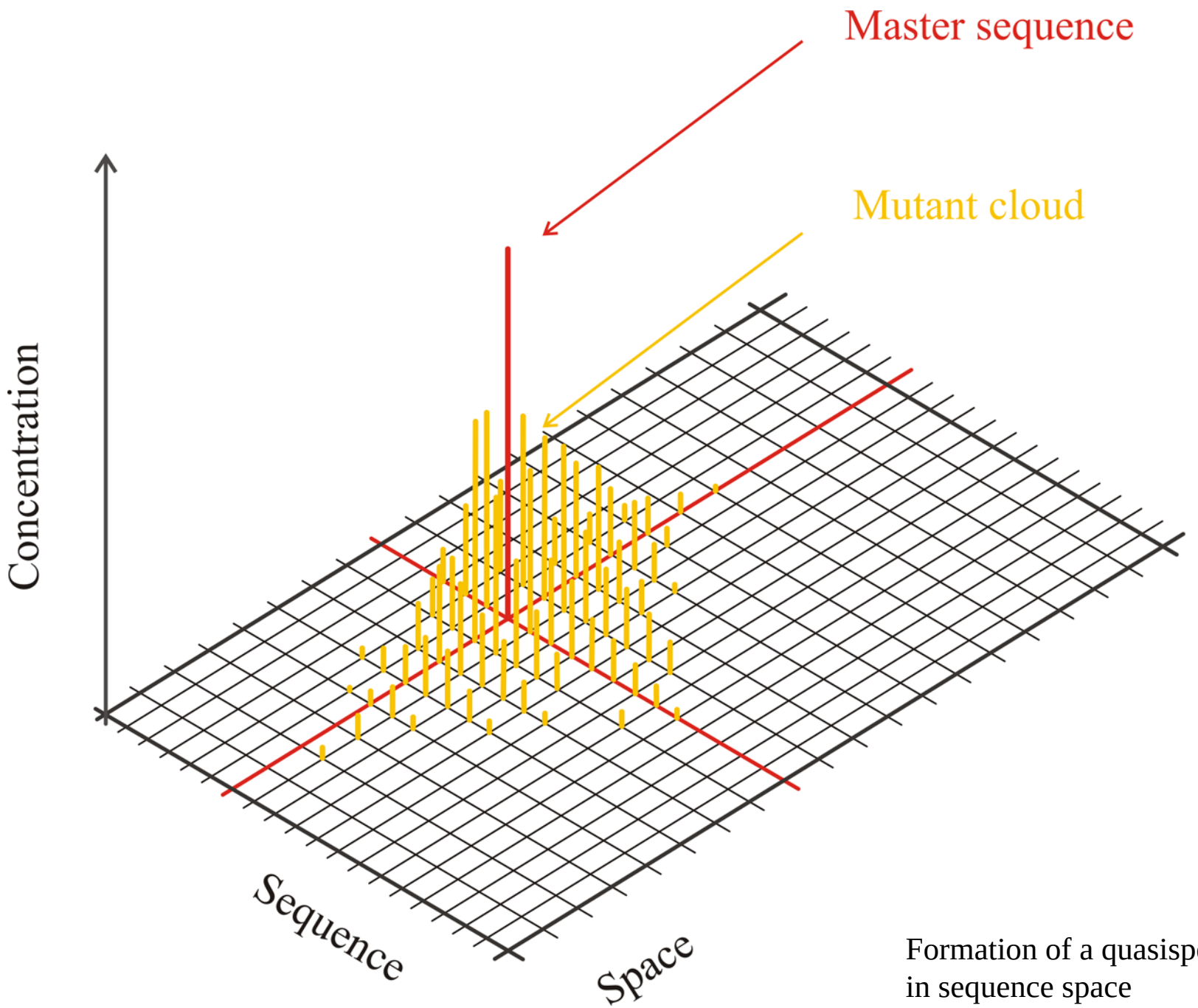
$$x_i(t) = \frac{\sum_{k=0}^{n-1} \ell_{ik} \cdot c_k(0) \cdot \exp(\lambda_k t)}{\sum_{j=1}^{n} \sum_{k=0}^{n-1} \ell_{jk} \cdot c_k(0) \cdot \exp(\lambda_k t)}; \quad i = 1,2,\cdots,n; \quad c_k(0) = \sum_{i=1}^{n} h_{ki}\, x_i(0)$$

$$W \div \left\{ f_i Q_{ij};\ i, j = 1,2,\cdots,n \right\};\ L = \left\{ \ell_{ij};\ i, j = 1,2,\cdots,n \right\};\ L^{-1} = H = \left\{ h_{ij};\ i, j = 1,2,\cdots,n \right\}$$

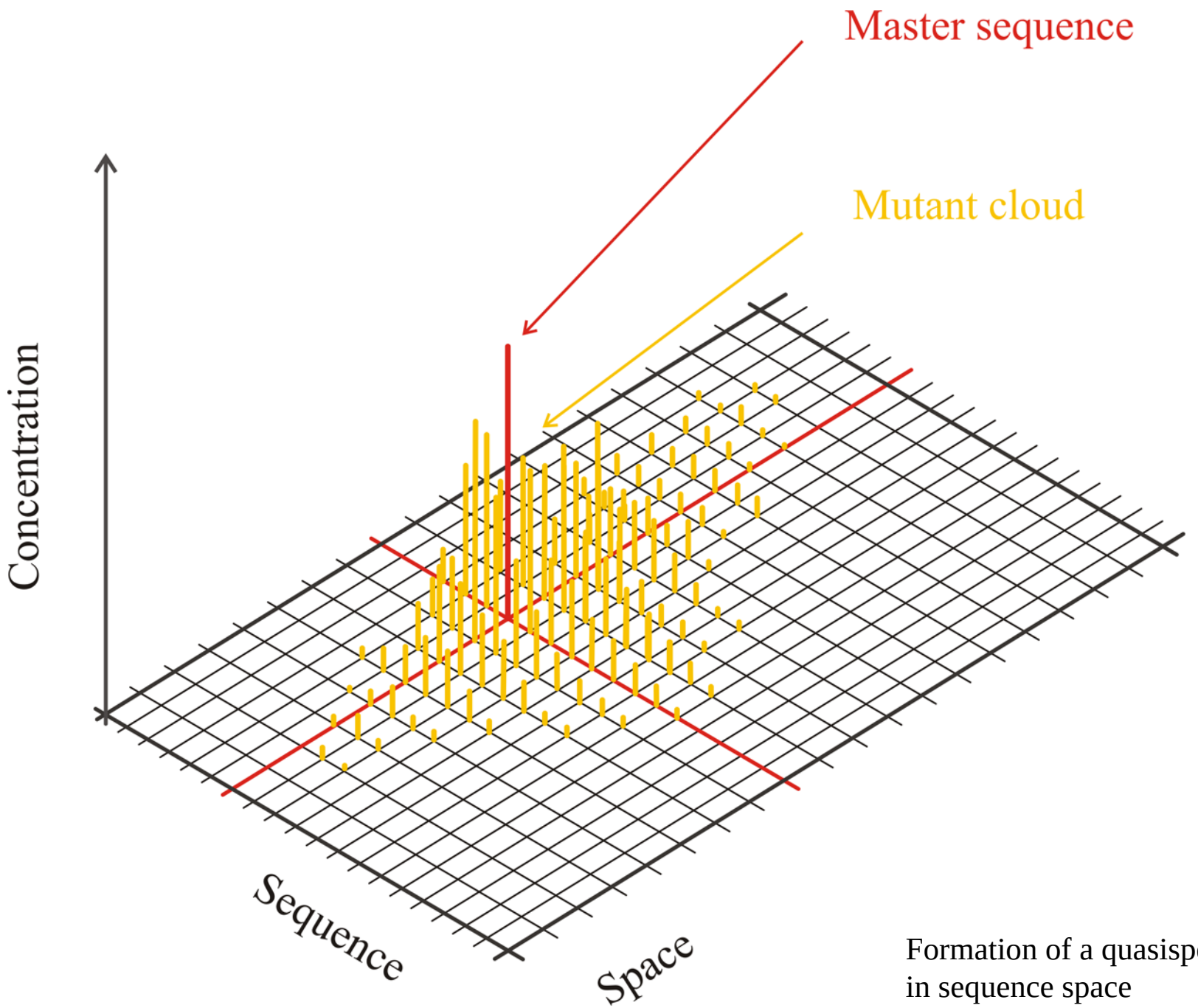
$$L^{-1} \cdot W \cdot L \quad = \quad \Lambda \quad = \quad \left\{ \lambda_k; k = 0,1,\cdots,n-1 \right\}$$



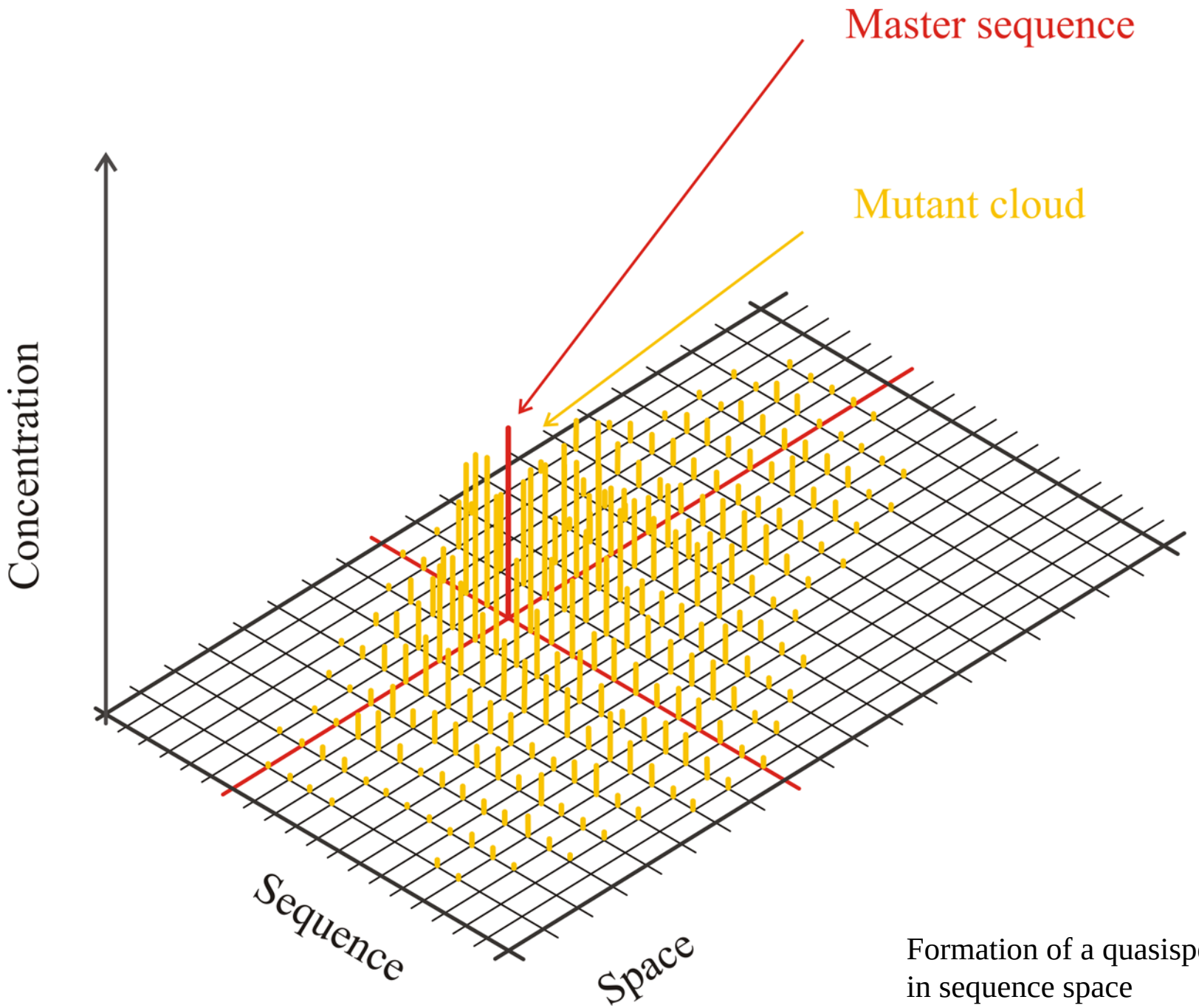
Formation of a quasispecies in sequence space



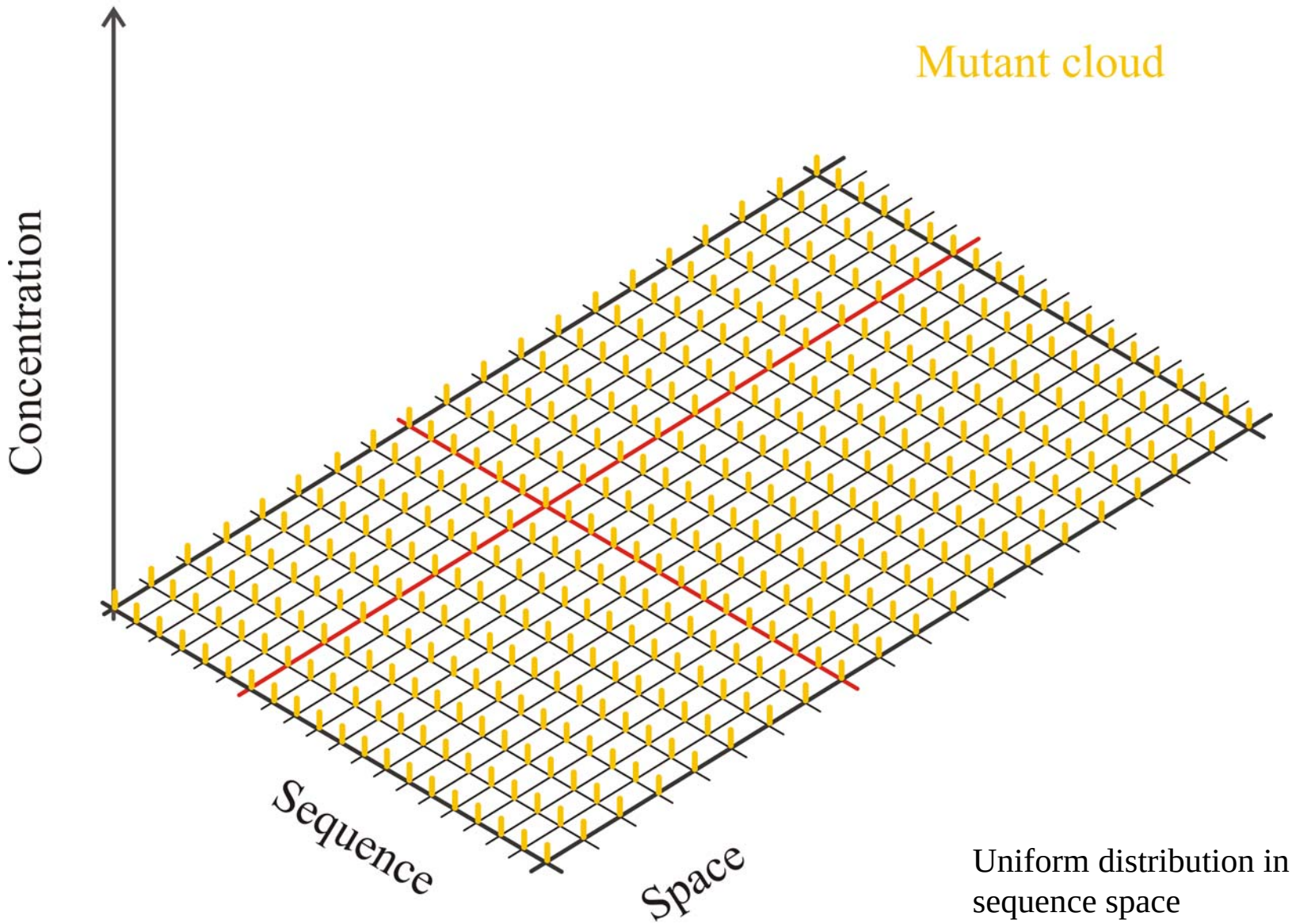
Formation of a quasispecies in sequence space



Formation of a quasispecies in sequence space



Formation of a quasispecies in sequence space



Uniform distribution in sequence space

Biophysical Chemistry 16 (1982) 329–345
Elsevier Biomedical Press

SELF-REPLICATION WITH ERRORS

A MODEL FOR POLYNUCLEOTIDE REPLICATION **

Jörg SWETINA and Peter SCHUSTER *
Institut für Theoretische Chemie und Strahlenchemie der Universität, Währingerstraße 17, A-1090 Wien, Austria

Received 4th June 1982
Revised manuscript received 23rd August 1982
Accepted 30th August 1982

Key words: Polynucleotide replication; Quasi-species; Point mutation; Mutant class; Stochastic replication

A model for polynucleotide replication is presented and analyzed by means of perturbation theory. Two basic assumptions allow handling of sequences up to a chain length of $\nu \approx 80$ explicitly: point mutations are restricted to a two-digit model and individual sequences are subsumed into mutant classes. Perturbation theory is in excellent agreement with the exact results for long enough sequences ($\nu > 20$).

1. Introduction

Eigen [8] proposed a formal kinetic equation (eq. 1) which describes self-replication under the constraint of constant total population size:

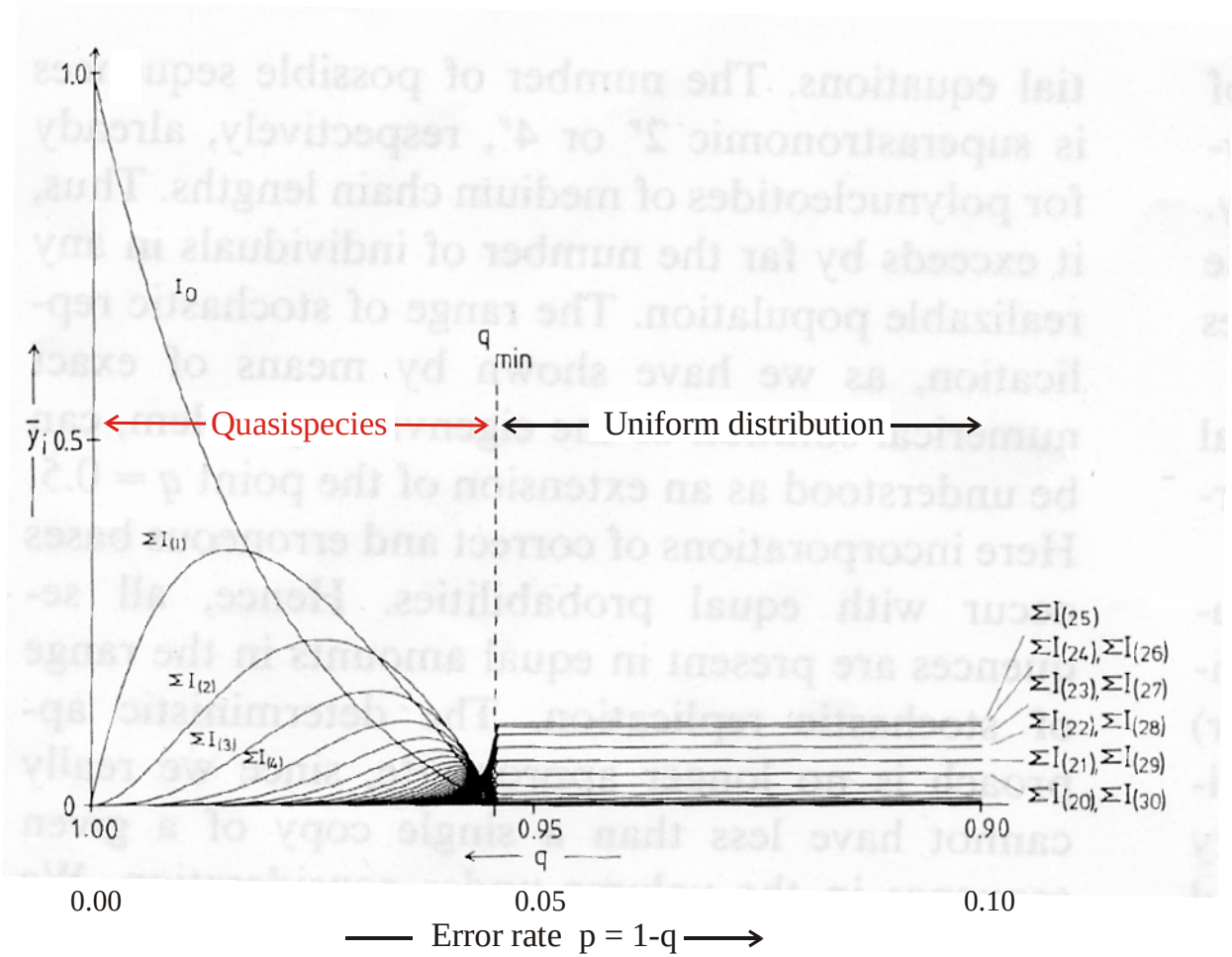
$$\frac{dx_i}{dt} = \dot{x}_i = \sum_j w_{ij} x_j - \frac{x_i}{c}\phi; \; i = 1, \ldots, n \; ^{\dagger} \qquad (1)$$

By x_i we denote the population number or concentration of the self-replicating element I_i, i.e., $x_i = [I_i]$. The total population size or total concentration $c = \sum_i x_i$ is kept constant by proper adjustment of the constraint ϕ: $\phi = \sum_i \sum_j w_{ij} x_j$. Characteristically, this constraint has been called 'constant organization'. The relative values of diagonal (w_{ii}) and off-diagonal (w_{ij}, $i \neq j$) rates, as we shall see in detail in section 2, are related to the accuracy of the replication process. The specific properties of eq. 1 are essentially based on the fact that it leads to exponential growth in the absence of constraints ($\phi = 0$) and competitors ($n = 1$).

The non-linear differential equation, eq. 1 – the non-linearity is introduced by the definition of ϕ at constant organization – shows a remarkable feature: it leads to selection of a defined ensemble of self-replicating elements above a certain accuracy threshold. This ensemble of a master and its most frequent mutants is a so-called 'quasi-species' [9]. Below this threshold, however, no selection takes place and the frequencies of the individual elements are determined exclusively by their statistical weights.

Rigorous mathematical analysis has been performed on eq. 1 [7,15,24,26]. In particular, it was shown that the non-linearity of eq. 1 can be removed by an appropriate transformation. The eigenvalue problem of the linear differential equation obtained thereby may be solved approximately by the conventional perturbation technique

* Dedicated to the late Professor B.L. Jones who was among the first to do rigorous mathematical analysis on the problems described here.
** This paper is considered as part II of Model Studies on RNA replication. Part I is by Gassner and Schuster [14].
† All summations throughout this paper run from 1 to n unless specified differently: $\Sigma_i = \Sigma_{i=1}^{n}$ and $\Sigma_{i,i\neq j} = \Sigma_{i=1}^{j-1} + \Sigma_{i=j+1}^{n}$, respectively.



Quasispecies as a function of the error rate p

Chain length and error threshold

$$Q \cdot \sigma \quad = \quad (1-p)^n \cdot \sigma \quad \geq \quad 1 \quad \Rightarrow \quad n \cdot \ln(1-p) \geq -\ln\sigma$$

$$n \ \ldots \ \text{constant} : \quad p_{\max} \approx \frac{\ln\sigma}{n}$$

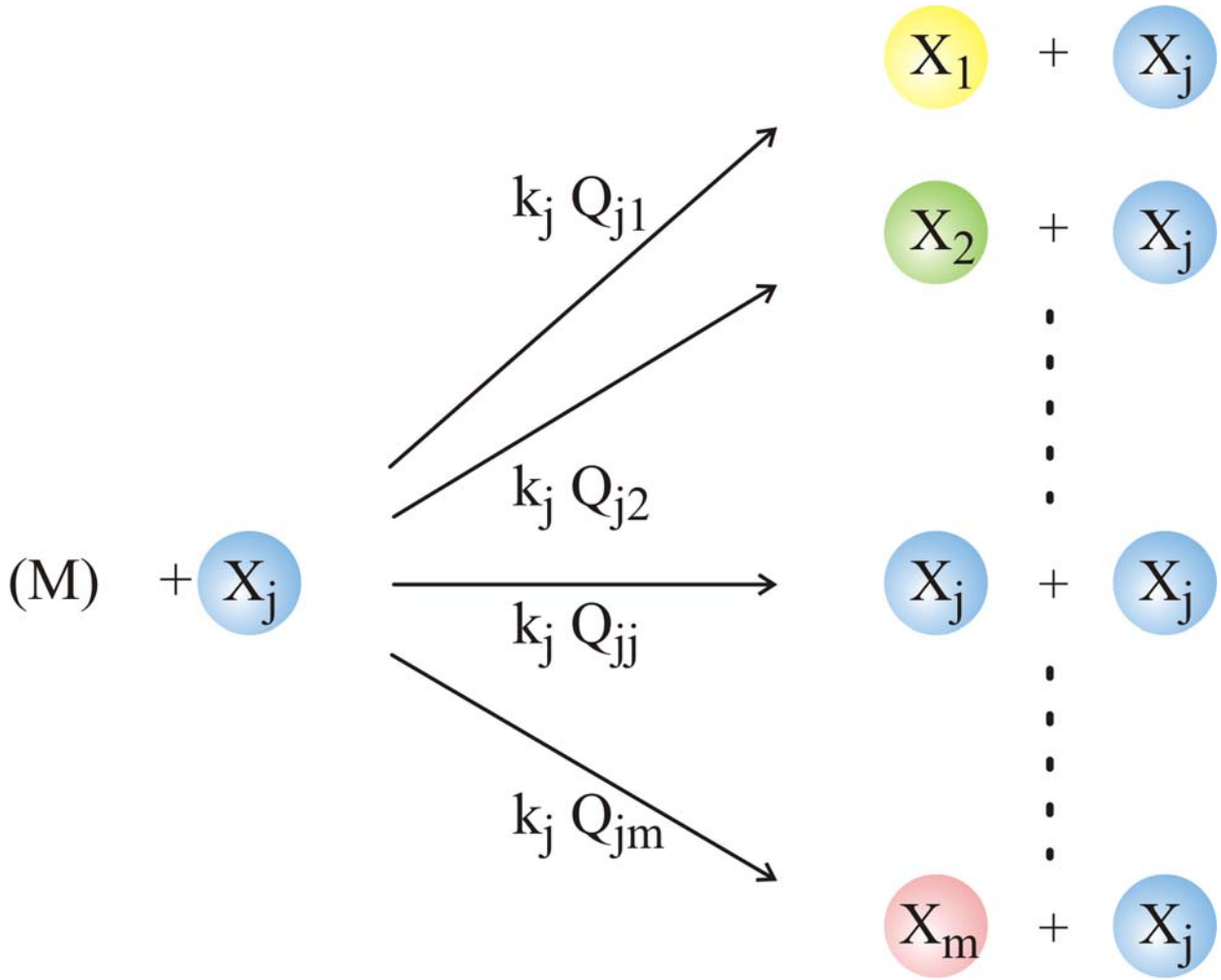
$$p \ \ldots \ \text{constant} : \quad n_{\max} \approx \frac{\ln\sigma}{p}$$

$Q = (1-p)^n$ … replication accuracy

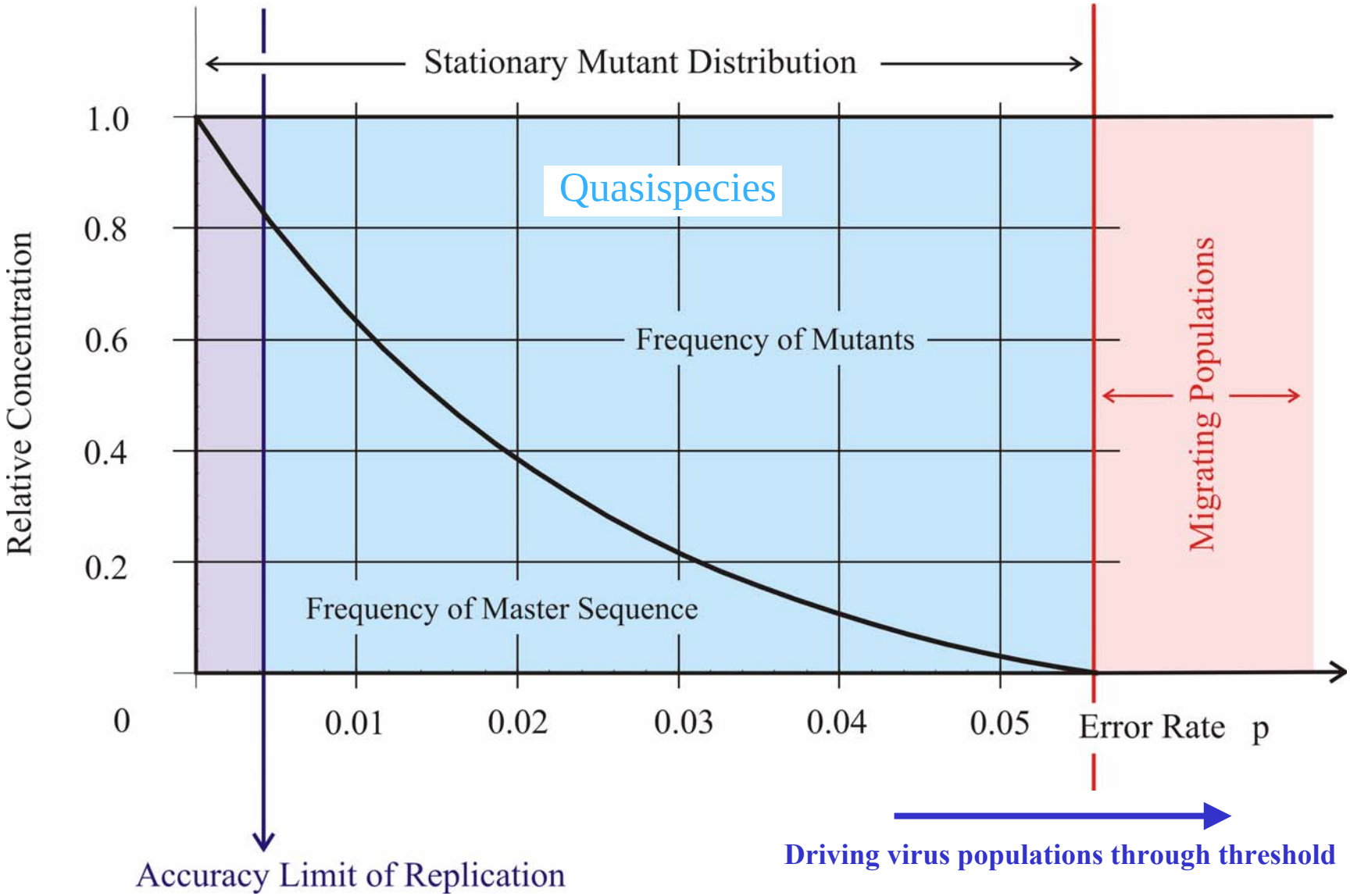
p … error rate

n … chain length

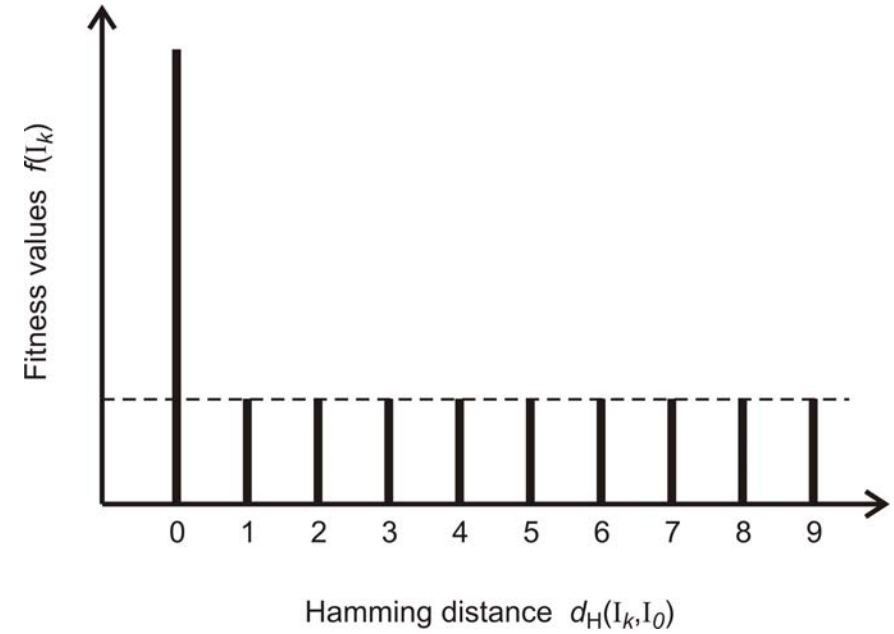
$\sigma = \dfrac{f_m}{\sum_{j \neq m} f_j}$ … superiority of master sequence

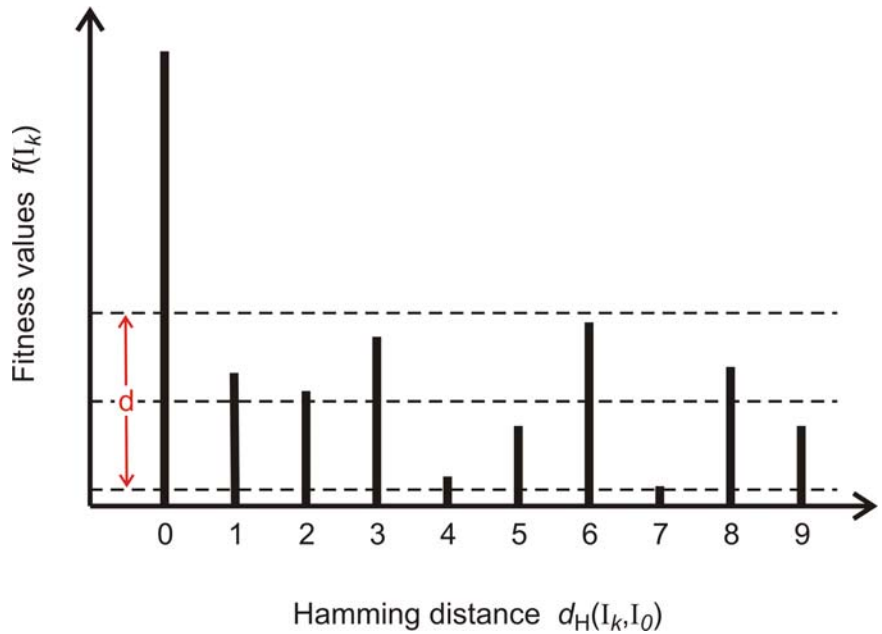


Chain length: **n = 100** $\Rightarrow$ **m = 1.6×10^{60}**

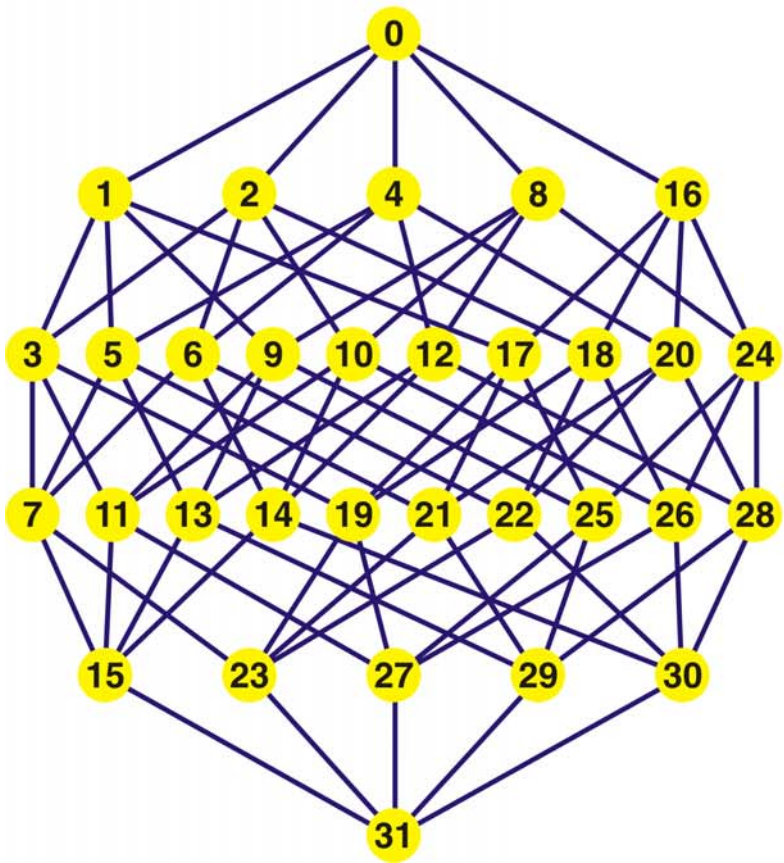


The error threshold in replication





Fitness landscapes showing error thresholds



Binary sequences can be encoded by their decimal equivalents:

C = 0 and **G = 1**, for example,

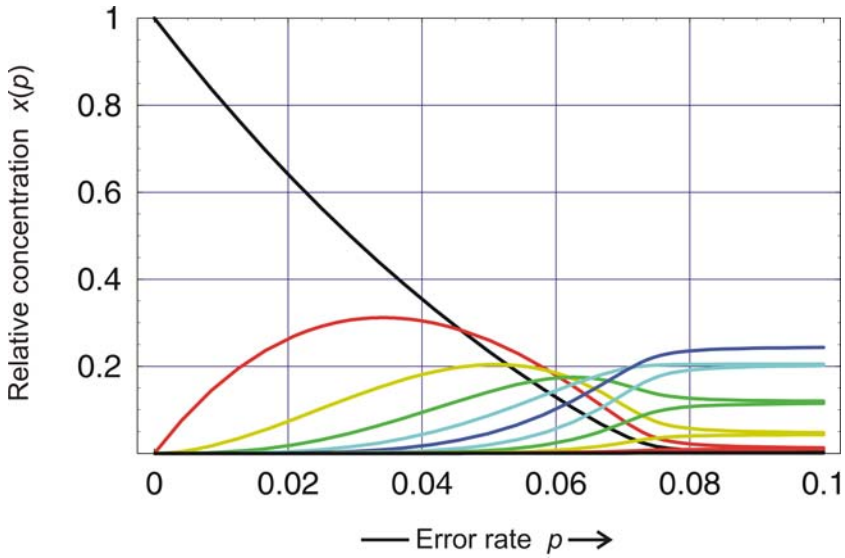
"0" ≡ 00000 = CCCCC,

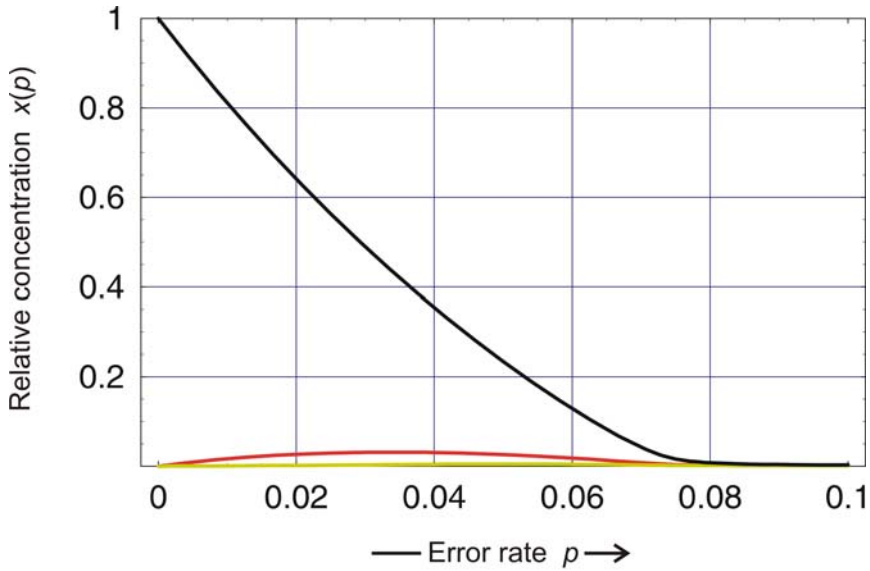
"14" ≡ 01110 = CGGGC,

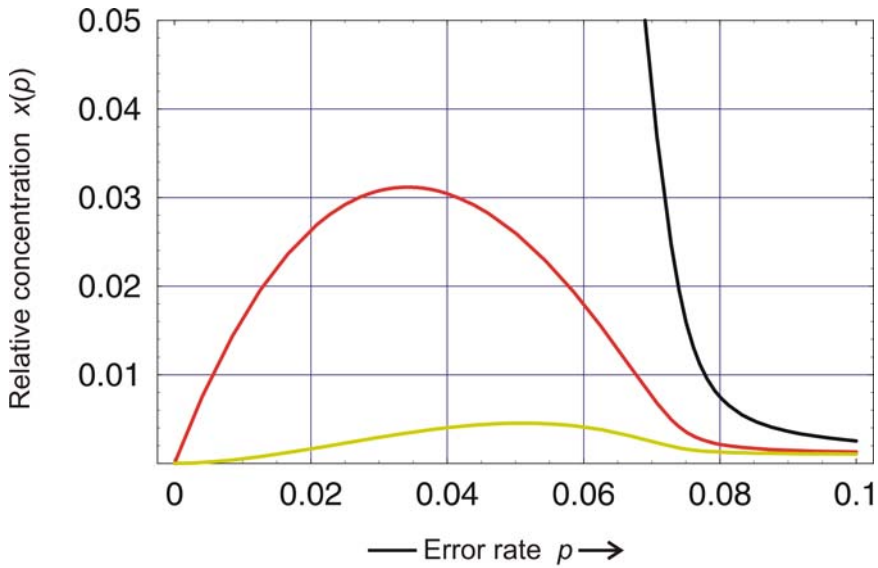
"29" ≡ 11101 = GGGCG, etc.

Every point in sequence space is equivalent

Sequence space of binary sequences with chain length $n = 5$

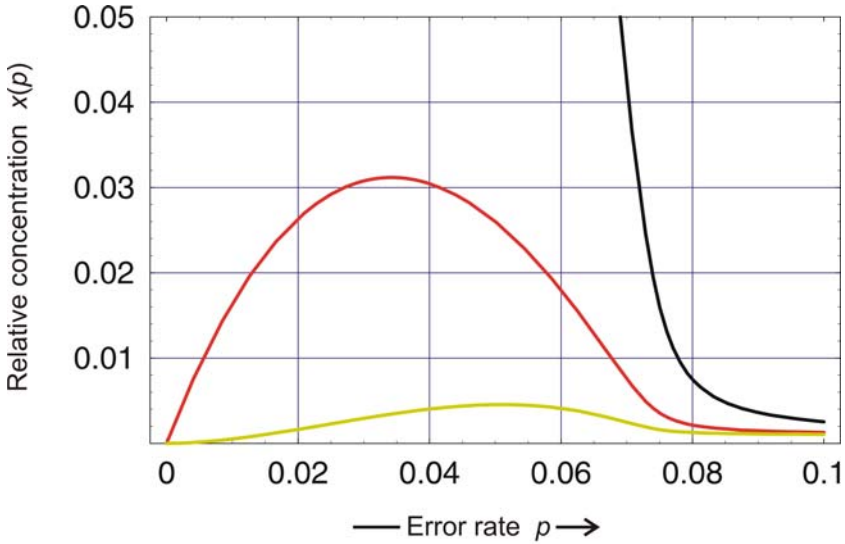


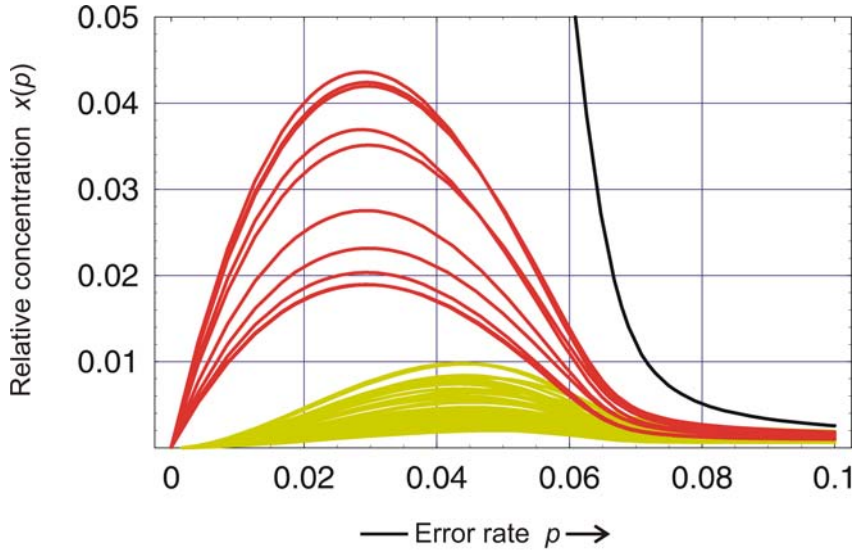


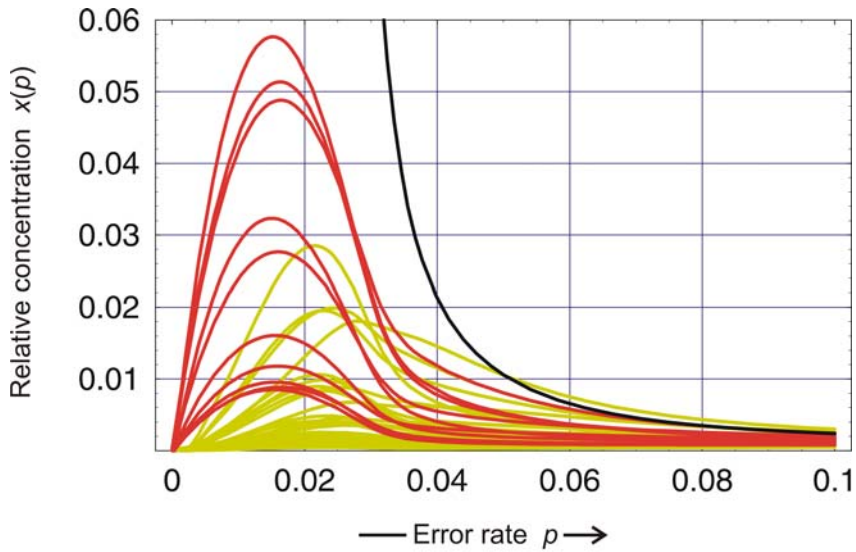


Error threshold: Error classes and individual sequences

n = 10 and $\sigma = 2$

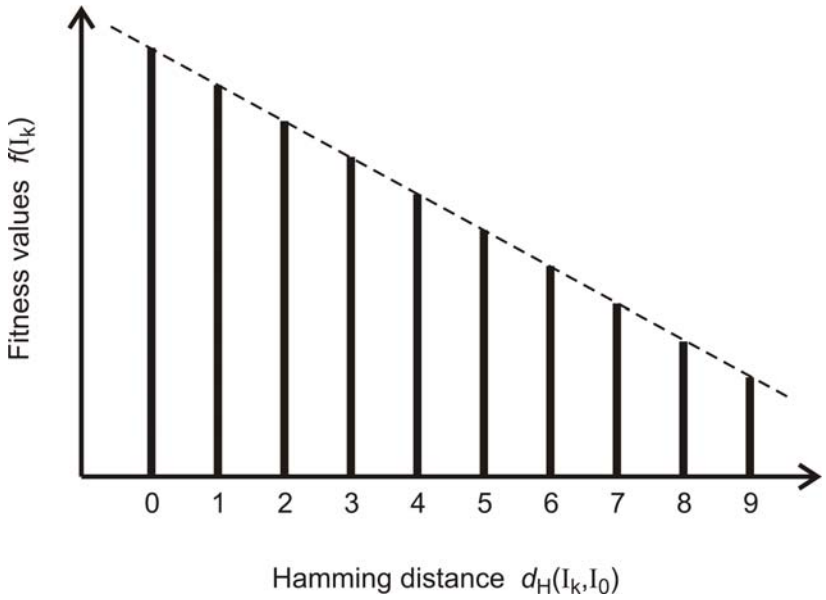


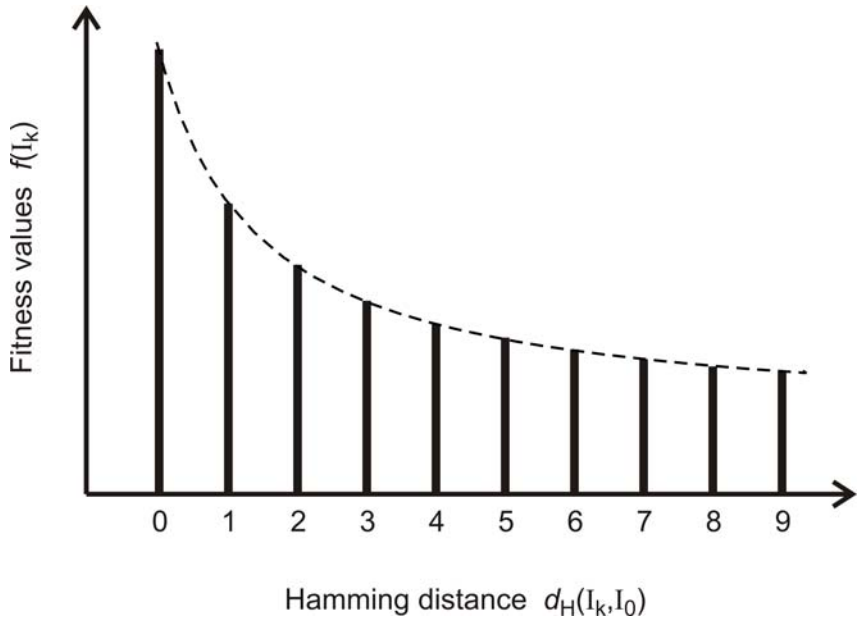


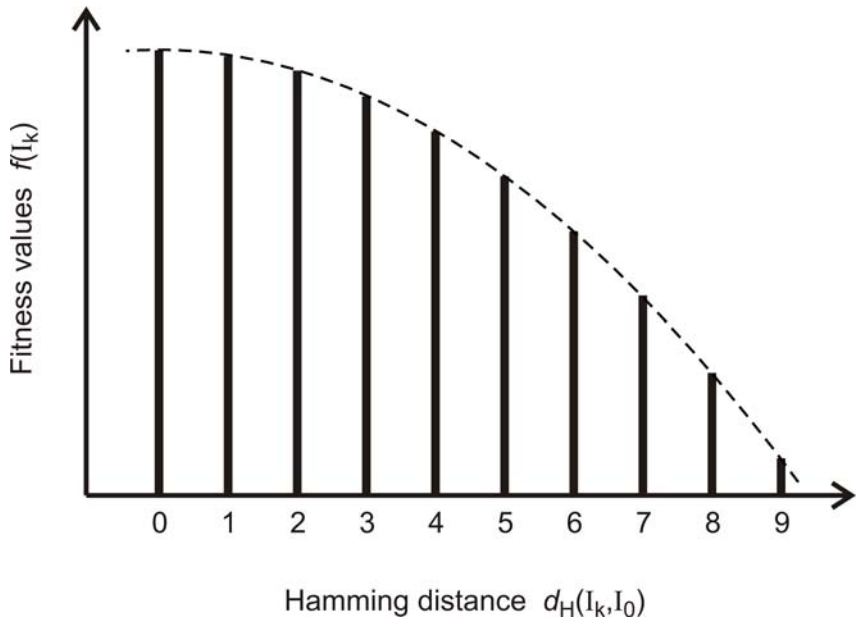


Error threshold: Individual sequences

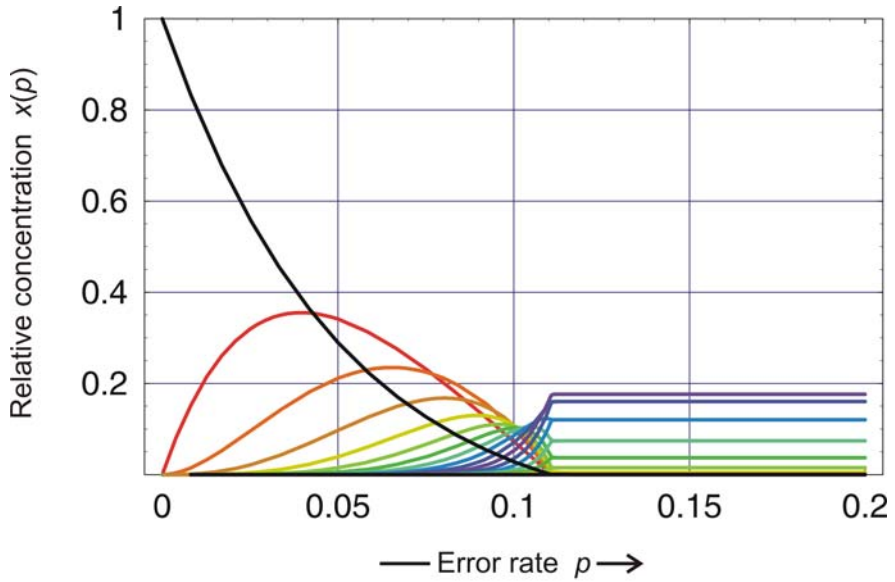
n = 10, σ = 2 and d = 0, 1.0, 1.85

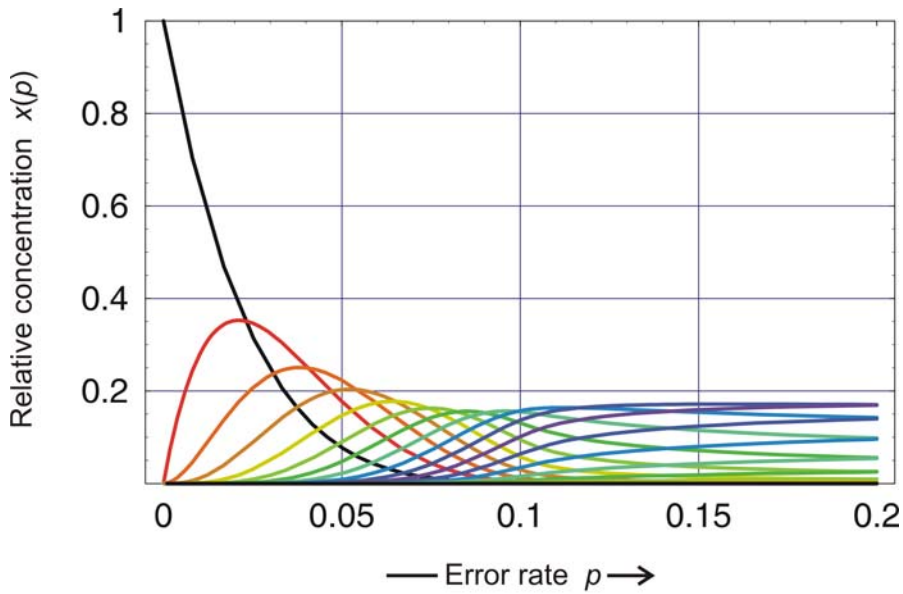






Fitness landscapes **not** showing error thresholds

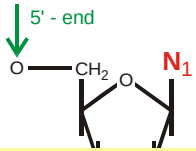




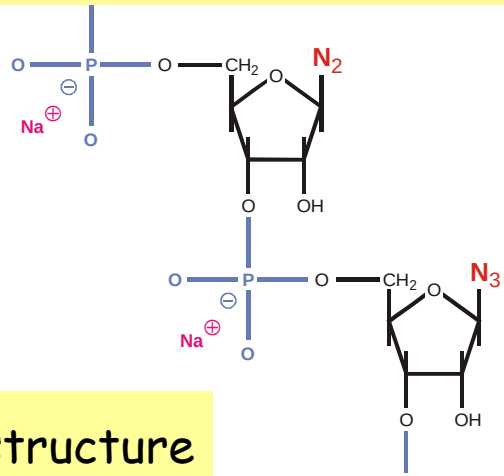
Error thresholds and gradual transitions

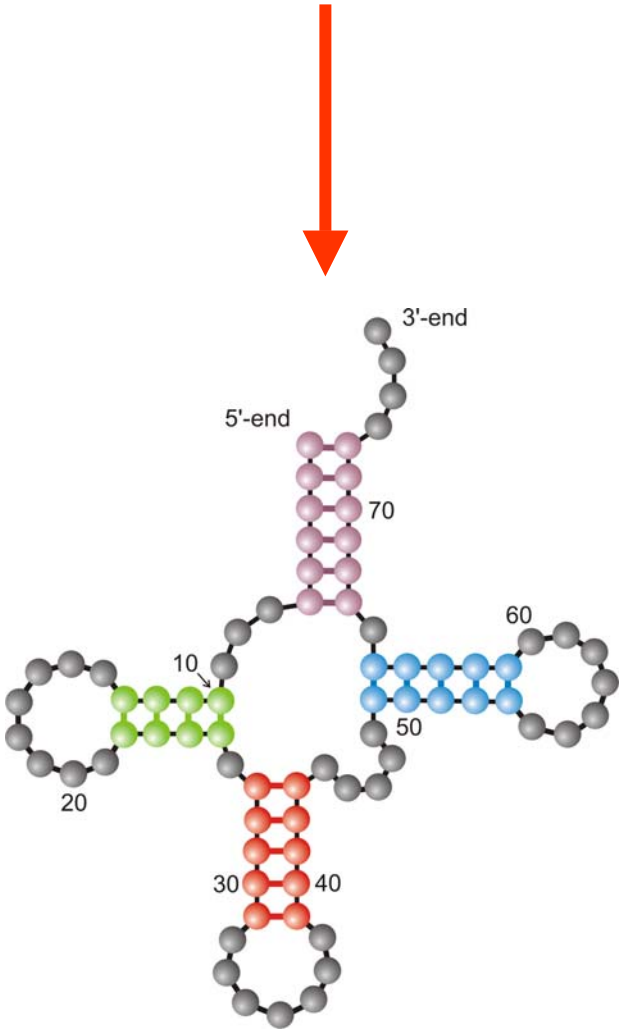
n = 20 and $\sigma = 10$

1. Darwinsche Evolution
2. Evolutionsexperimente mit Molekülen
3. Replikation, Mutation und Fitnesslandschaften
4. **Evolution *in silico***
5. Neutrale Evolution
6. Multistabilität und RNA-Schalter

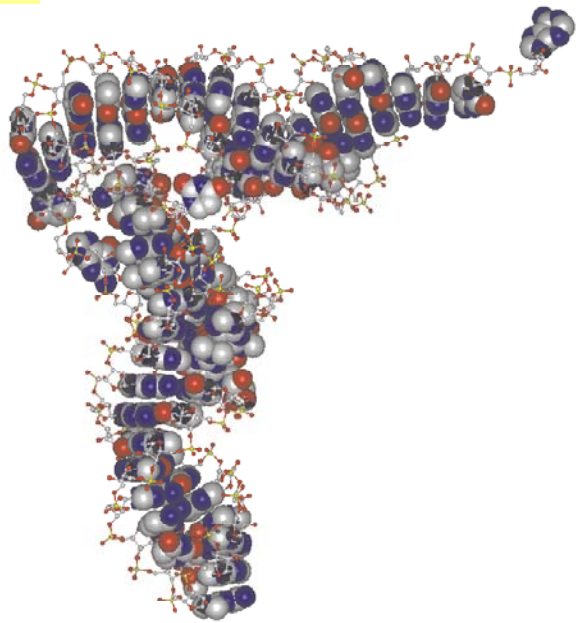


5'-end GCGGAUUUAGCUCAGUUGGGAGAGCGCCAGACUGAAGAUCUGGAGGUCCUGUGUUCGAUCCACAGAAUUCGCACCA 3'-end





Definition of RNA structure



Evolution *in silico*

W. Fontana, P. Schuster,
Science **280** (1998), 1451-1455

random individuals. The primer pair used for genomic DNA amplification is 5′-TCTCCCTGGATTCTCATTTA-3′ (forward) and 5′-TCTTTGTCTTCTGTTCCACC-3′ (reverse). Reactions were performed in 25 μl using 1 unit of Taq DNA polymerase with each primer at 0.4 μM; 200 μM each dATP, dTTP, dGTP, and dCTP; and PCR buffer [10 mM tris-HCl (pH 8.3), 50 mM KCl_2,1.5 mM $MgCl_2$] in a cycle condition of 94°C for 1 min and then 35 cycles of 94°C for 30 s, 55°C for 30 s, and 72°C for 30 s followed by 72°C for 6 min. PCR products were purified (Qiagen), digested with Xmn I, and separated in a 2% agarose gel.

32. A nonsense mutation may affect mRNA stability and result in degradation of the transcript [L. Maquat, *Am. J. Hum. Genet.* **59**, 279 (1996)].
33. Data not shown; a dot blot with poly (A)$^+$ RNA from 50 human tissues (The Human RNA Master Blot, 7770-1, Clontech Laboratories) was hybridized with a probe from exons 29 to 47 of *MYO15* using the same condition as Northern blot analysis (*13*).
34. Smith–Magenis syndrome (SMS) is due to deletions of 17p11.2 of various sizes, the smallest of which includes *MYO15* and perhaps 20 other genes [(*6*); K-S Chen, L. Potocki, J. R. Lupski, *MRDD Res. Rev.* **2**, 122 (1996)]. *MYO15* expression is easily detected in the pituitary gland (data not shown). Haploinsufficiency for *MYO15* may explain a portion of the SMS phenotype such as short stature. Moreover, a few SMS patients have sensorineural hearing loss, possibly because of a point mutation in *MYO15* in trans to the SMS 17p11.2 deletion.
35. R. A. Fridell, data not shown.
36. K. B. Avraham *et al.*, *Nature Genet.* **11**, 369 (1995); X-Z. Liu *et al.*, *ibid.* **17**, 268 (1997); F. Gibson *et al.*, *Nature* **374**, 62 (1995); D. Weil *et al.*, *ibid.*, p. 60.
37. RNA was extracted from cochlea (membranous labyrinths) obtained from human fetuses at 18 to 22 weeks of development in accordance with guidelines established by the Human Research Committee at the Brigham and Women's Hospital. Only samples without evidence of degradation were pooled for poly (A)$^+$ selection over oligo(dT) columns. First-strand cDNA was prepared using an Advantage RT-for-PCR kit (Clontech Laboratories). A portion of the first-strand cDNA (4%) was amplified by PCR with Advantage cDNA polymerase mix (Clontech Laboratories) using human *MYO15*-specific oligonucleotide primers (forward, 5′-GCATGACCTGCCGGCTAATGGG-3′; reverse, 5′-CTCACGGCTTCTGCATGGTGCTCGGCTGGC-3′). Cycling conditions were 40 s at 94°C; 40 s at 66°C (3 cycles), 60°C (5 cycles), and 55°C (29 cycles); and 45 s at 68°C. PCR products were visualized by ethidium bromide staining after fractionation in a 1% agarose gel. A 688-bp PCR product is expected from amplification of the human *MYO15* cDNA. Amplification of human genomic DNA with this primer pair would result in a 2903-bp fragment.

38. We are grateful to the people of Bengkala, Bali, and the two families from India. We thank J. R. Lupski and K.-S. Chen for providing the human chromosome 17 cosmid library. For technical and computational assistance, we thank N. Dietrich, M. Fergusson, A. Gupta, E. Sorbello, R. Torkzadeh, C. Varner, M. Walker, G. Bouffard, and S. Beckstrom-Sternberg (National Institutes of Health Intramural Sequencing Center). We thank J. T. Hinnant, I. N. Arhya, and S. Winata for assistance in Bali, and T. Barber, S. Sullivan, E. Green, D. Drayna, and J. Battey for helpful comments on this manuscript. Supported by the National Institute on Deafness and Other Communication Disorders (NIDCD) (Z01 DC 00035-01 and Z01 DC 00038-01 to T.B.F. and E.R.W. and R01 DC 03402 to C.C.M.), the National Institute of Child Health and Human Development (R01 HD30428 to S.A.C.) and a National Science Foundation Graduate Research Fellowship to F.J.P. This paper is dedicated to J. B. Snow Jr. on his retirement as the Director of the NIDCD.

9 March 1998; accepted 17 April 1998

Continuity in Evolution: On the Nature of Transitions

Walter Fontana and Peter Schuster

To distinguish continuous from discontinuous evolutionary change, a relation of nearness between phenotypes is needed. Such a relation is based on the probability of one phenotype being accessible from another through changes in the genotype. This nearness relation is exemplified by calculating the shape neighborhood of a transfer RNA secondary structure and provides a characterization of discontinuous shape transformations in RNA. The simulation of replicating and mutating RNA populations under selection shows that sudden adaptive progress coincides mostly, but not always, with discontinuous shape transformations. The nature of these transformations illuminates the key role of neutral genetic drift in their realization.

A much-debated issue in evolutionary biology concerns the extent to which the history of life has proceeded gradually or has been punctuated by discontinuous transitions at the level of phenotypes (*1*). Our goal is to make the notion of a discontinuous transition more precise and to understand how it arises in a model of evolutionary adaptation.

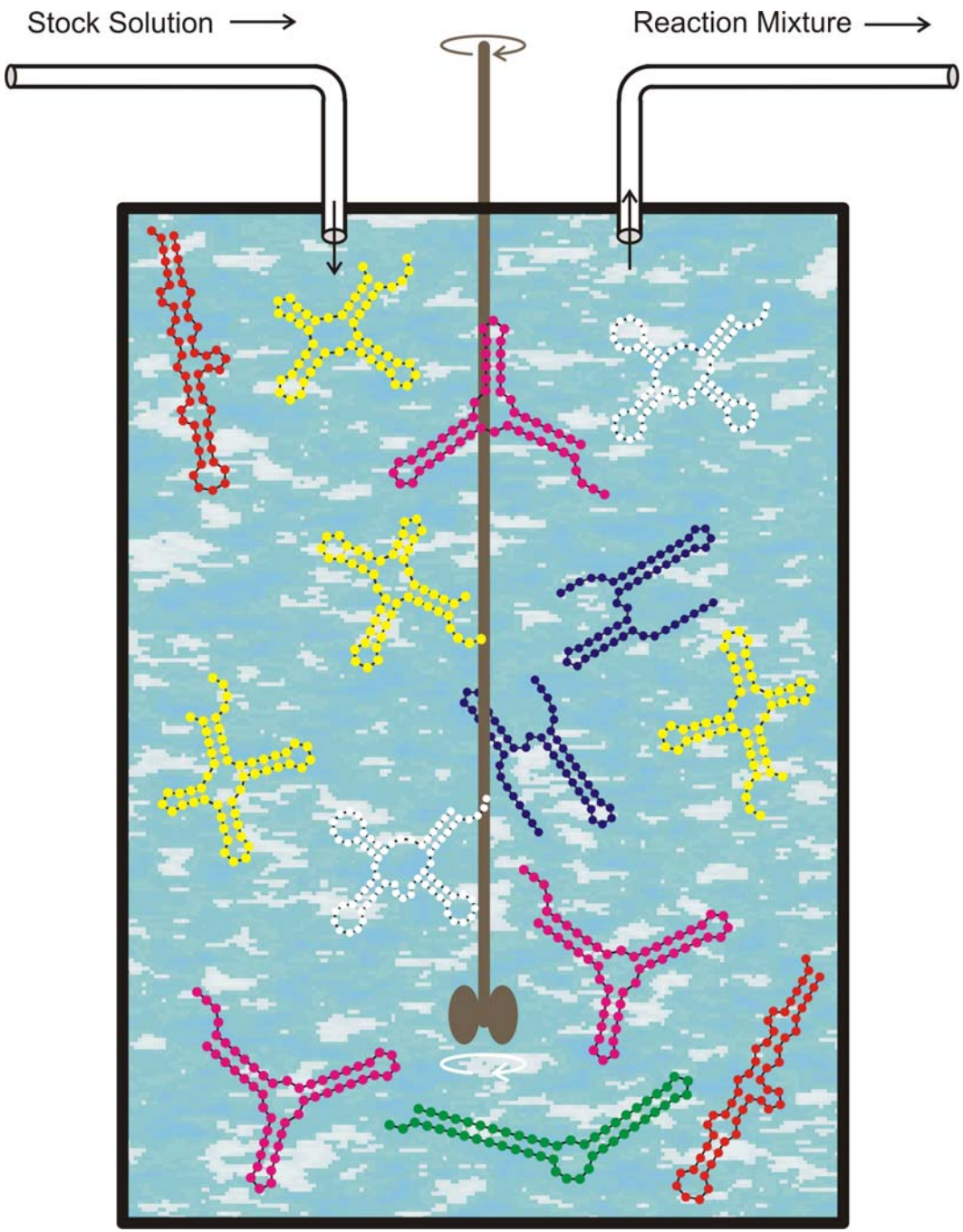
We focus on the narrow domain of RNA secondary structure, which is currently the simplest computationally tractable, yet realistic phenotype (*2*). This choice enables the definition and exploration of concepts that may prove useful in a wider context. RNA secondary structures represent a coarse level of analysis compared with the three-dimensional structure at atomic resolution. Yet, secondary structures are empirically well defined and obtain their biophysical and biochemical importance from being a scaffold for the tertiary structure. For the sake of brevity, we shall refer to secondary structures as "shapes." RNA combines in a single molecule both genotype (replicatable sequence) and phenotype (selectable shape), making it ideally suited for in vitro evolution experiments (*3*, *4*).

To generate evolutionary histories, we used a stochastic continuous time model of an RNA population replicating and mutating in a capacity-constrained flow reactor under selection (*5*, *6*). In the laboratory, a goal might be to find an RNA aptamer binding specifically to a molecule (*4*). Although in the experiment the evolutionary end product was unknown, we thought of its shape as being specified implicitly by the imposed selection criterion. Because our intent is to study evolutionary histories rather than end products, we defined a target shape in advance and assumed the replication rate of a sequence to be a function of the similarity between its shape and the target. An actual situation may involve more than one best shape, but this does not affect our conclusions.

An instance representing in its qualitative features all the simulations we performed is shown in Fig. 1A. Starting with identical sequences folding into a random shape, the simulation was stopped when the population became dominated by the target, here a canonical tRNA shape. The black curve traces the average distance to the target (inversely related to fitness) in the population against time. Aside from a short initial phase, the entire history is dominated by steps, that is, flat periods of no apparent adaptive progress, interrupted by sudden approaches toward the target structure (*7*). However, the dominant shapes in the population not only change at these marked events but undergo several fitness-neutral transformations during the periods of no apparent progress. Although discontinuities in the fitness trace are evident, it is entirely unclear when and on the basis of what the series of successive phenotypes itself can be called continuous or discontinuous.

A set of entities is organized into a (topological) space by assigning to each entity a system of neighborhoods. In the present case, there are two kinds of entities: sequences and shapes, which are related by a thermodynamic folding procedure. The set of possible sequences (of fixed length) is naturally organized into a space because point mutations induce a canonical neighborhood. The neighborhood of a sequence consists of all its one-error mutants. The problem is how to organize the set of possible shapes into a space. The issue arises because, in contrast to sequences, there are

Institut für Theoretische Chemie, Universität Wien, Währingerstrasse 17, A-1090 Wien, Austria, Santa Fe Institute, 1399 Hyde Park Road, Santa Fe, NM 87501, USA, and International Institute for Applied Systems Analysis (IIASA), A-2361 Laxenburg, Austria.



Replication rate constant:

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

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

Selection constraint:

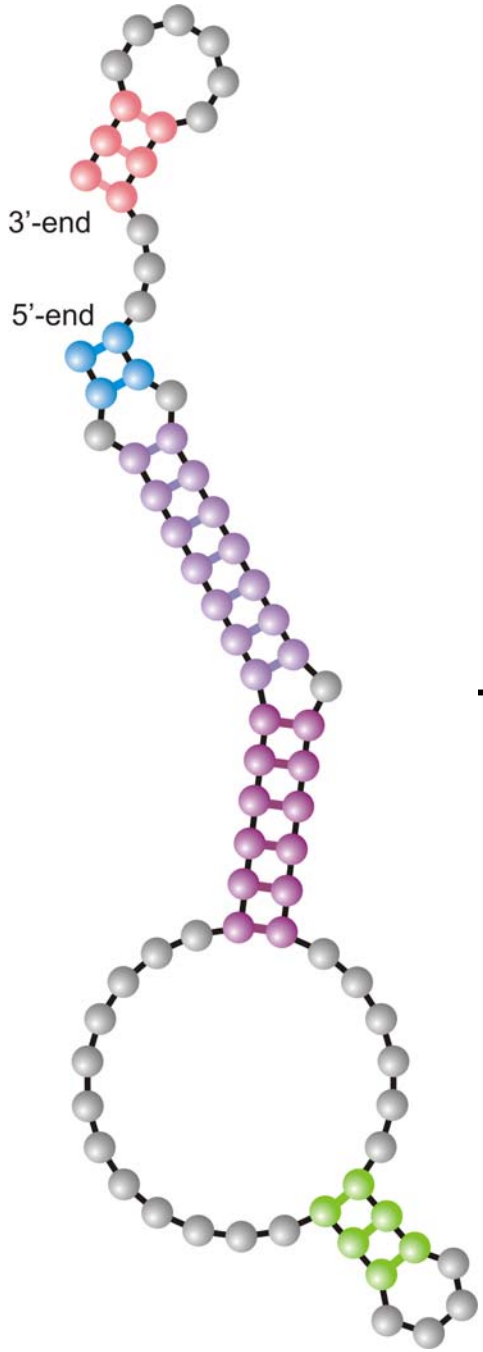
Population size, N = # RNA molecules, is controlled by the flow

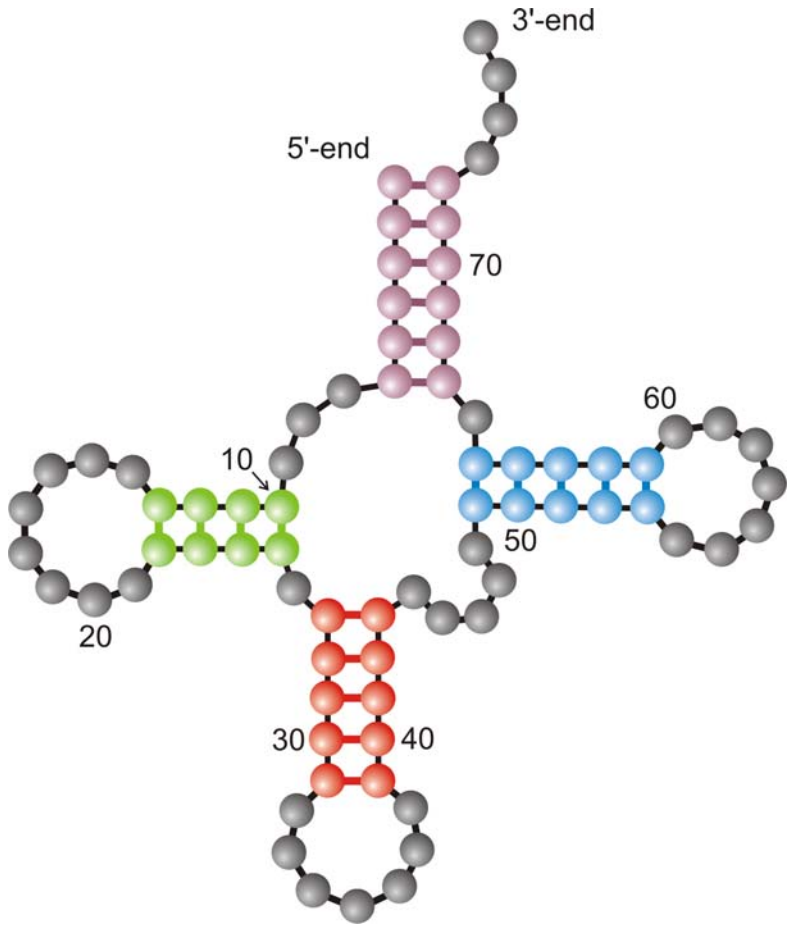
$$N(t) \approx \overline{N} \pm \sqrt{\overline{N}}$$

Mutation rate:

p = 0.001 / site × replication

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

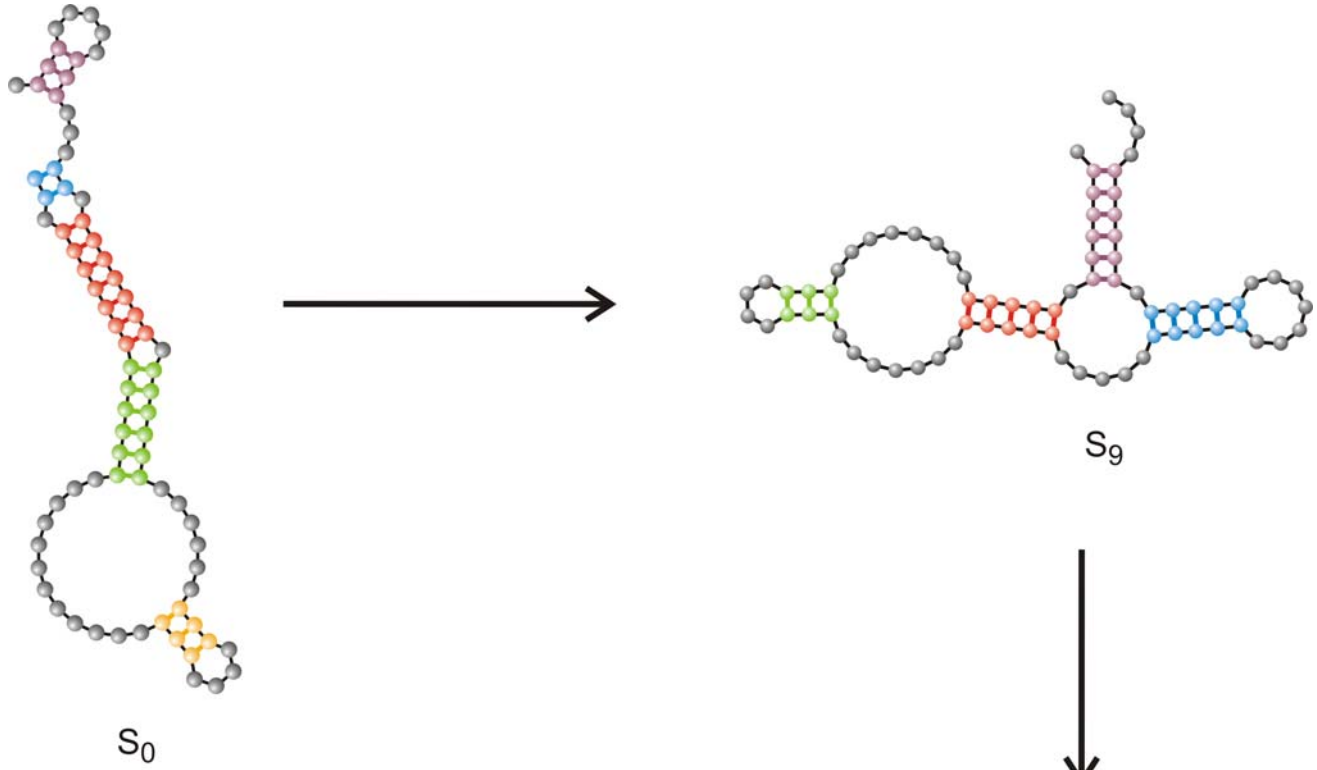




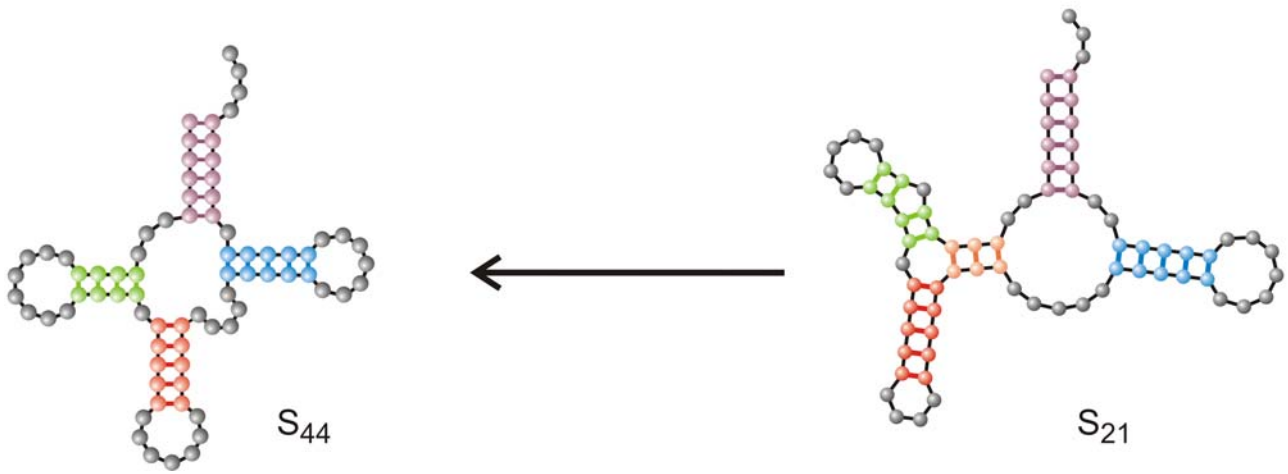
Randomly chosen initial structure

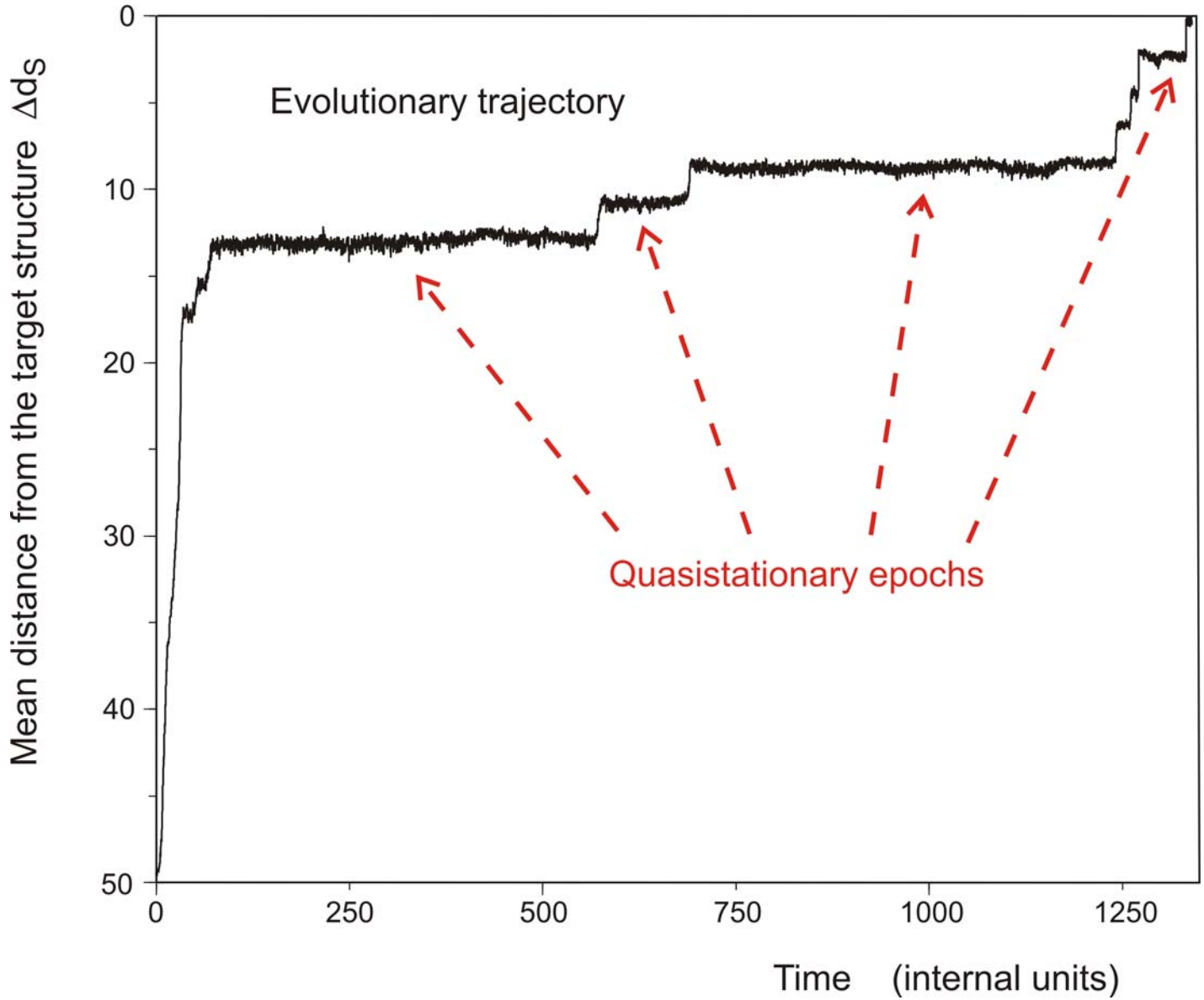
Phenylalanyl-tRNA as target structure

Randomly chosen
initial structure



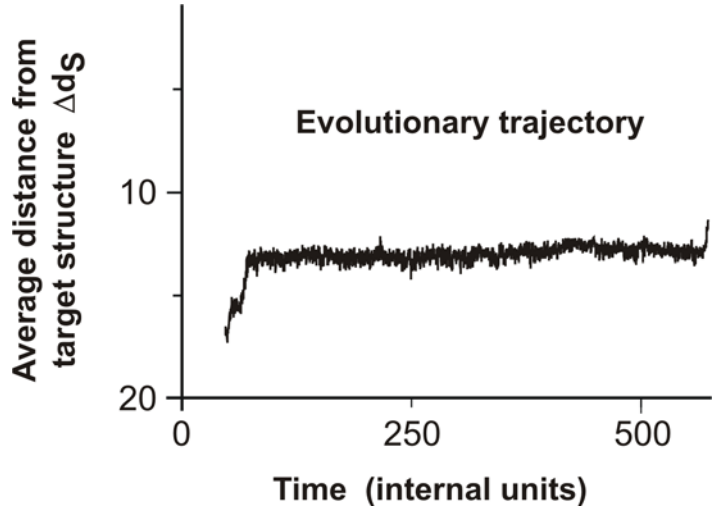
Phenylalanyl-tRNA
as target structure





In silico optimization in the flow reactor: Evolutionary Trajectory

28 neutral point mutations during a long quasi-stationary epoch




```
entry   GGUAUGGGCGUUGAAUAGUAGGGUUUAAACCAAUCGGCCAACGAUCUCGUGUGCGCAUUUCAUAUCCCGUACAGAA
8       .((((((((((((.........(((....)))........)))))).....((((.........))))))))))....
exit    GGUAUGGGCGUUGAAUAAUAGGGUUUAAACCAAUCGGCCAACGAUCUCGUGUGCGCAUUUCAUAUCCCAUACAGAA
entry   GGUAUGGGCGUUGAAUAAUAGGGUUUAAACCAAUCGGCCAACGAUCUCGUGUGCGCAUUUCAUAUACCAUACAGAA
9       .((((((.((((.........(((....)))........)))))).....((((.........))))).))))))....
exit    UGGAUGGACGUUGAAUAACAAGGUAUCGACCAAACAACCAACGAGUAAGUGUGUACGCCCCACACACCGUCCCAAG
entry   UGGAUGGACGUUGAAUAACAAGGUAUCGACCAAACAACCAACGAGUAAGUGUGUACGCCCCACACAGCGUCCCAAG
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

From sequences to shapes and back: a case study in RNA secondary structures

PETER SCHUSTER[1,2,3], WALTER FONTANA[3], PETER F. STADLER[2,3] AND IVO L. HOFACKER[2]

[1] *Institut für Molekulare Biotechnologie, Beutenbergstrasse 11, PF 100813, D-07708 Jena, Germany*
[2] *Institut für Theoretische Chemie, Universität Wien, Austria*
[3] *Santa Fe Institute, Santa Fe, U.S.A.*

SUMMARY

RNA folding is viewed here as a map assigning secondary structures to sequences. At fixed chain length the number of sequences far exceeds the number of structures. Frequencies of structures are highly non-uniform and follow a generalized form of Zipf's law: we find relatively few common and many rare ones. By using an algorithm for inverse folding, we show that sequences sharing the same structure are distributed randomly over sequence space. All common structures can be accessed from an arbitrary sequence by a number of mutations much smaller than the chain length. The sequence space is percolated by extensive neutral networks connecting nearest neighbours folding into identical structures. Implications for evolutionary adaptation and for applied molecular evolution are evident: finding a particular structure by mutation and selection is much simpler than expected and, even if catalytic activity should turn out to be sparse in the space of RNA structures, it can hardly be missed by evolutionary processes.

1. INTRODUCTION

Folding sequences into structures is a central problem in biopolymer research. Both robustness and accessibility of structures, as functions of mutational change in the underlying sequence, are crucial to both natural and applied molecular evolution. Test-tube evolution experiments are based on properties of RNA molecules: as sequences they are genotypes, and as spatial structures they are phenotypes (Spiegelman 1971; Biebricher 1983). Our concern is the mapping from RNA sequences into structures being the simplest, and the only tractable, example of a genotype–phenotype mapping.

An RNA sequence is a point in the space of all 4^n sequences with fixed length n. This space has a natural metric induced by point mutations interconverting sequences known as the Hamming distance (Hamming 1950, 1986). The folding process considered here maps an RNA sequence into a secondary structure (figure 1*a*) minimizing free energy. A secondary structure is tantamount to a list of Watson–Crick type and GU base pairs, and can be represented as a tree graph (figure 1*b*). This emphasizes the combinatorial nature of secondary structures and allows for a canonical distance measure between structures (Tai 1979). Assuming elementary edit operations with pre-defined costs, such as deletion, insertion and relabelling of nodes, the distance between two trees is given by the smallest sum of the edit costs along any path that converts one tree into the other (Sankoff & Kruskal 1983).

An approximate upper bound on the number of minimum free-energy structures (of fixed chain length n) can be obtained along the lines devised by Stein & Waterman (1978). Counting only those planar secondary structures that contain hairpin loops of size three or more (steric constraint), and that contain no isolated base pairs (stacks of two or more pairs are essentially the only stabilizing elements), one finds:

$$S_n = 1.4848 \times n^{-\frac{3}{2}}(1.8488)^n,$$

which is consistently smaller than the number of sequences.

Folding can thus be viewed as a map between two metric spaces of combinatorial complexity, a sequence space and a shape space. (The notion of shape space was originally used in theoretical immunology in a similar context by Perelson & Oster (1979).) 'Shape' refers to a discretized (and hence coarse-grained) structure representation, such as the secondary structures or the tree graphs used here. The notion of secondary structure is but one among a spectrum of possible levels of resolution that can be used to define shape. It discards atomic coordinates, as well as the relative spatial orientation of the structural elements, taking into account only their number, size and relative connectedness. Nevertheless, secondary structure is a major component of whatever turns out to be an adequate shape definition for RNA: it covers the dominant part of the three-dimensional folding energies, very often it can be used successfully in the interpretation of function and reactivity, and it is frequently conserved in evolution (Sankoff *et al.* 1978;

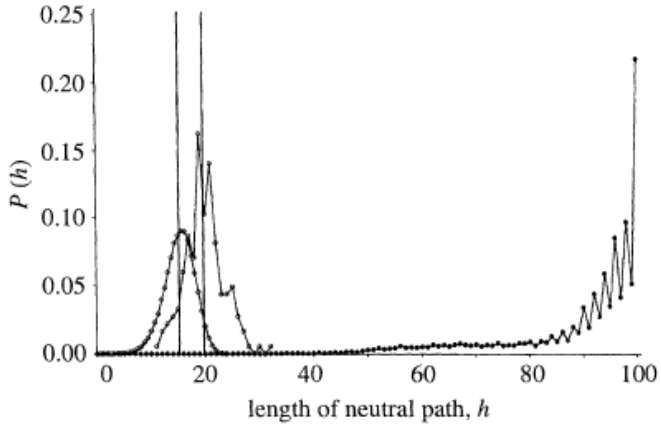


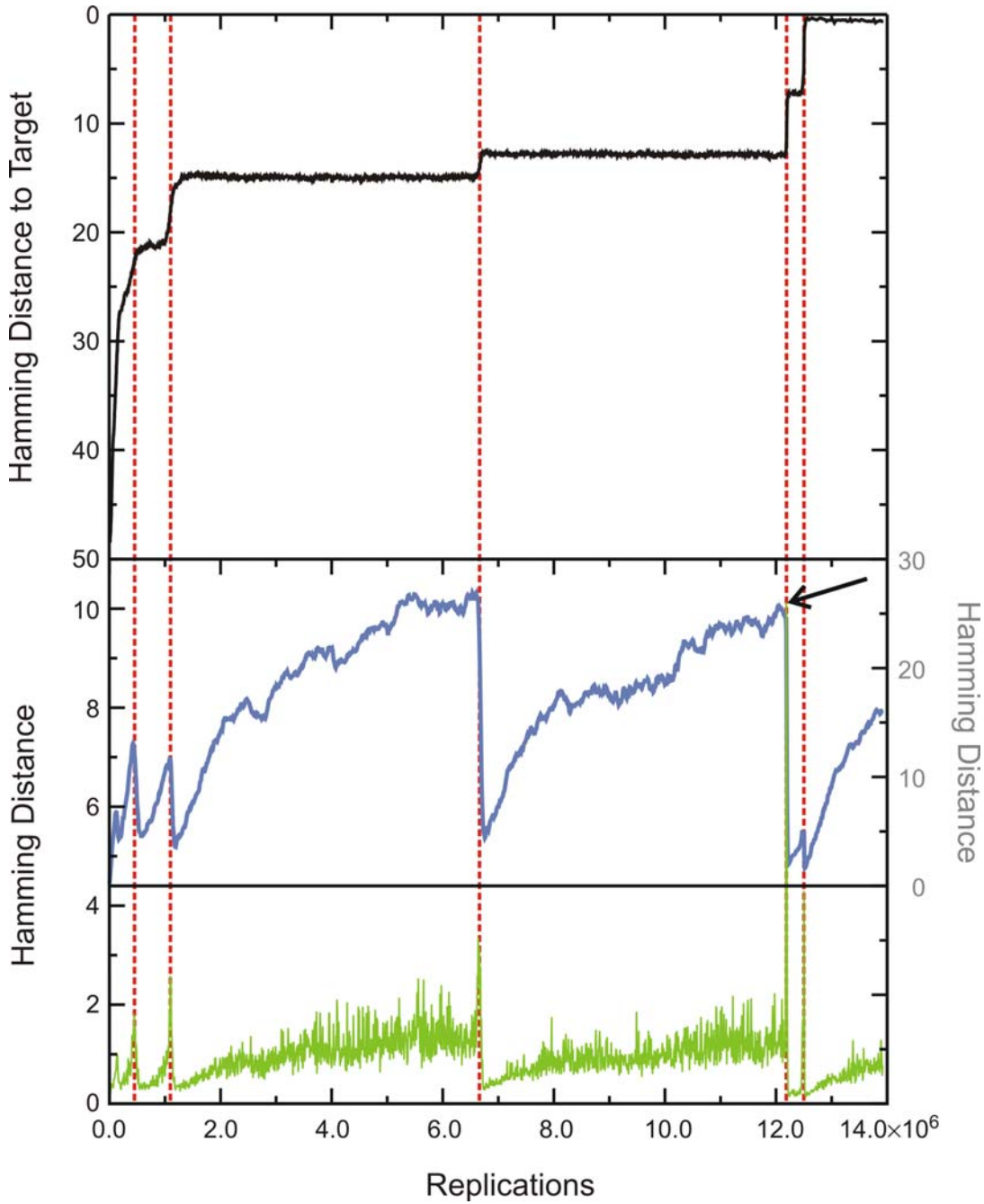
Figure 4. Neutral paths. A neutral path is defined by a series of nearest neighbour sequences that fold into identical structures. Two classes of nearest neighbours are admitted: neighbours of Hamming distance 1, which are obtained by single base exchanges in unpaired stretches of the structure, and neighbours of Hamming distance 2, resulting from base pair exchanges in stacks. Two probability densities of Hamming distances are shown that were obtained by searching for neutral paths in sequence space: (i) an upper bound for the closest approach of trial and target sequences (open circles) obtained as endpoints of neutral paths approaching the target from a random trial sequence (185 targets and 100 trials for each were used); (ii) a lower bound for the closest approach of trial and target sequences (open diamonds) derived from secondary structure statistics (Fontana *et al.* 1993*a*; see this paper, §4); and (iii) longest distances between the reference and the endpoints of monotonously diverging neutral paths (filled circles) (500 reference sequences were used).

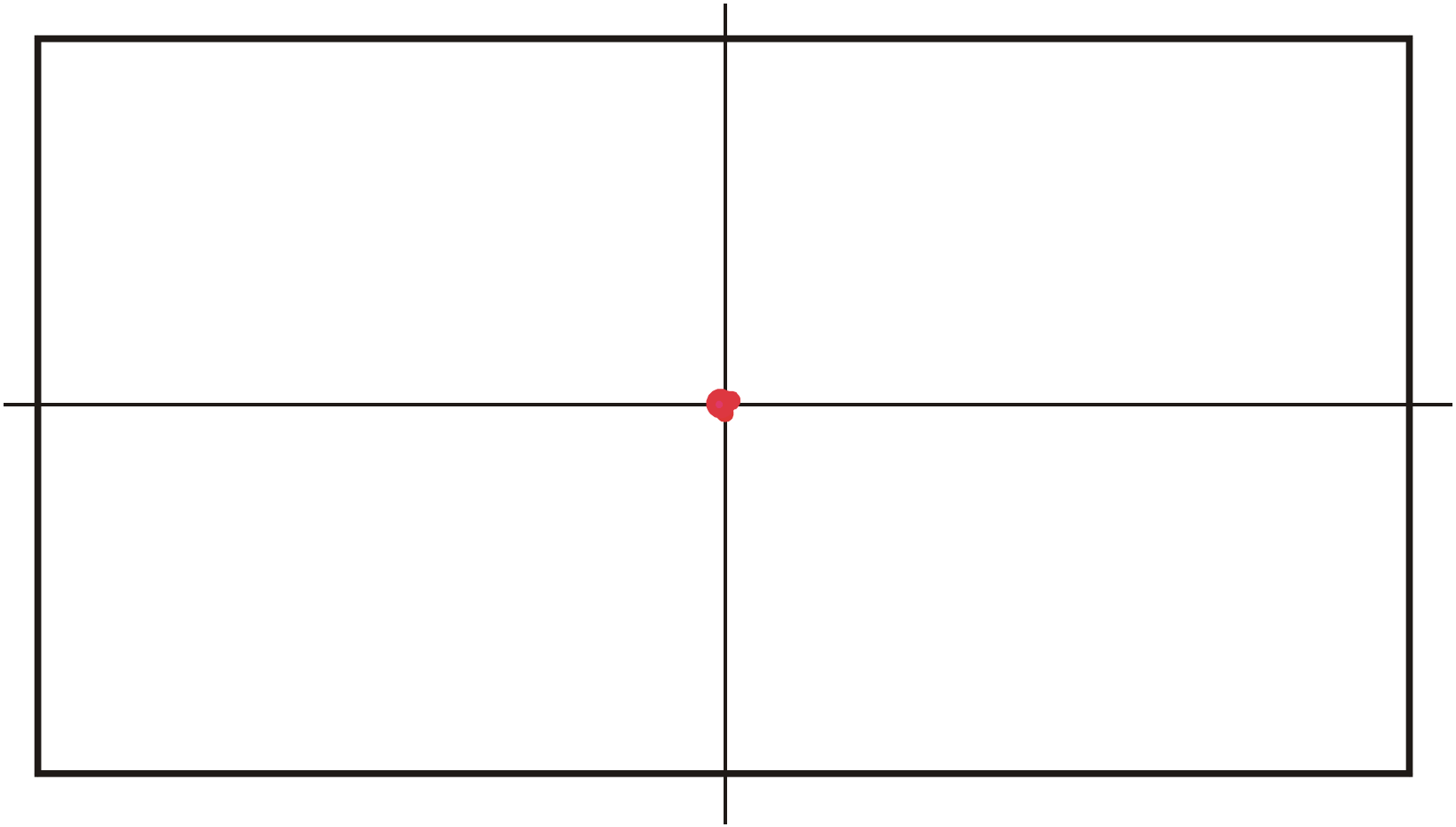
1. Darwinsche Evolution
2. Evolutionsexperimente mit Molekülen
3. Replikation, Mutation und Fitnesslandschaften
4. Evolution *in silico*
5. **Neutrale Evolution**
6. Multistabilität und RNA-Schalter

Evolutionary trajectory

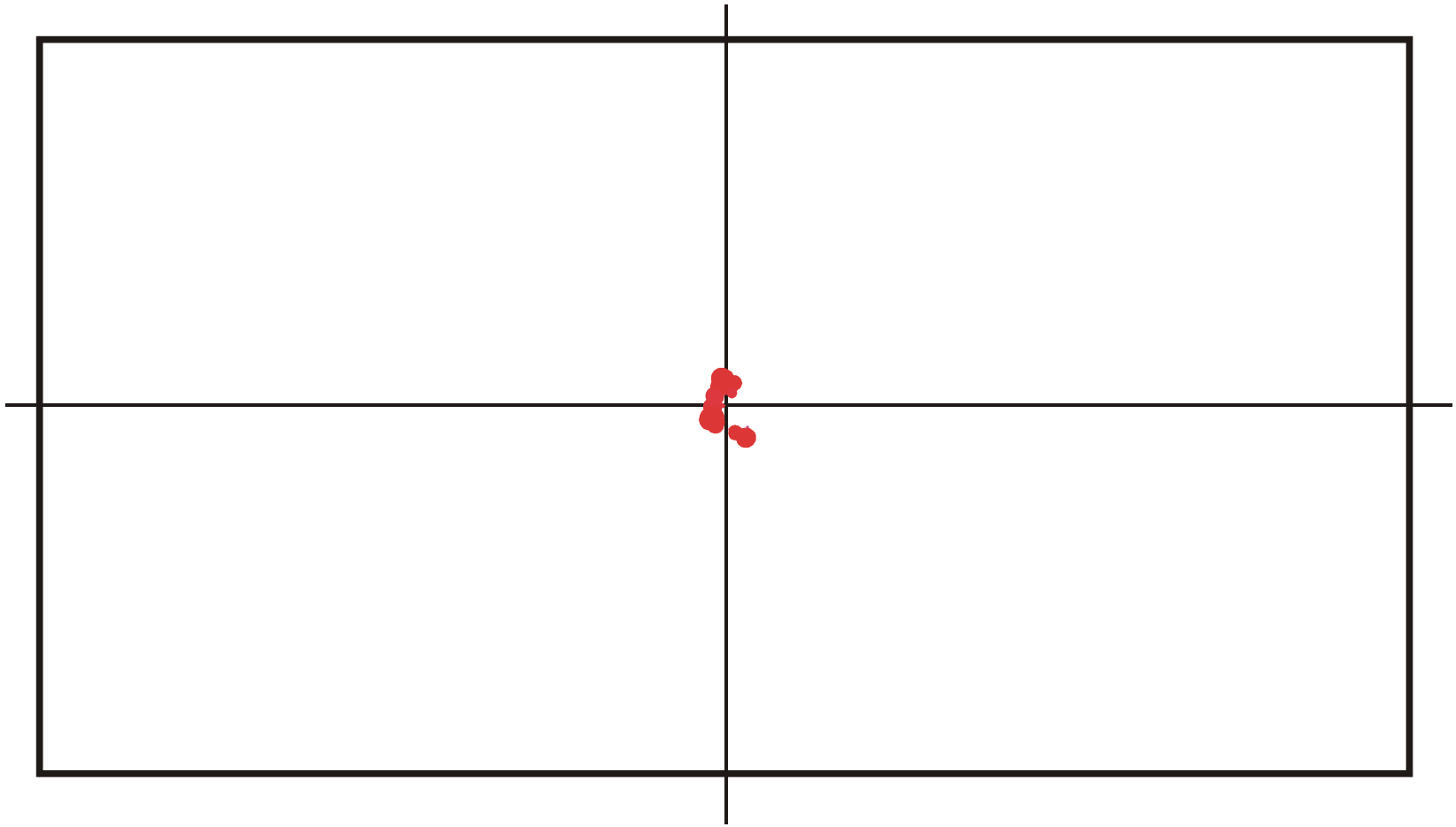
Spreading of the population on neutral networks

Drift of the population center in sequence space

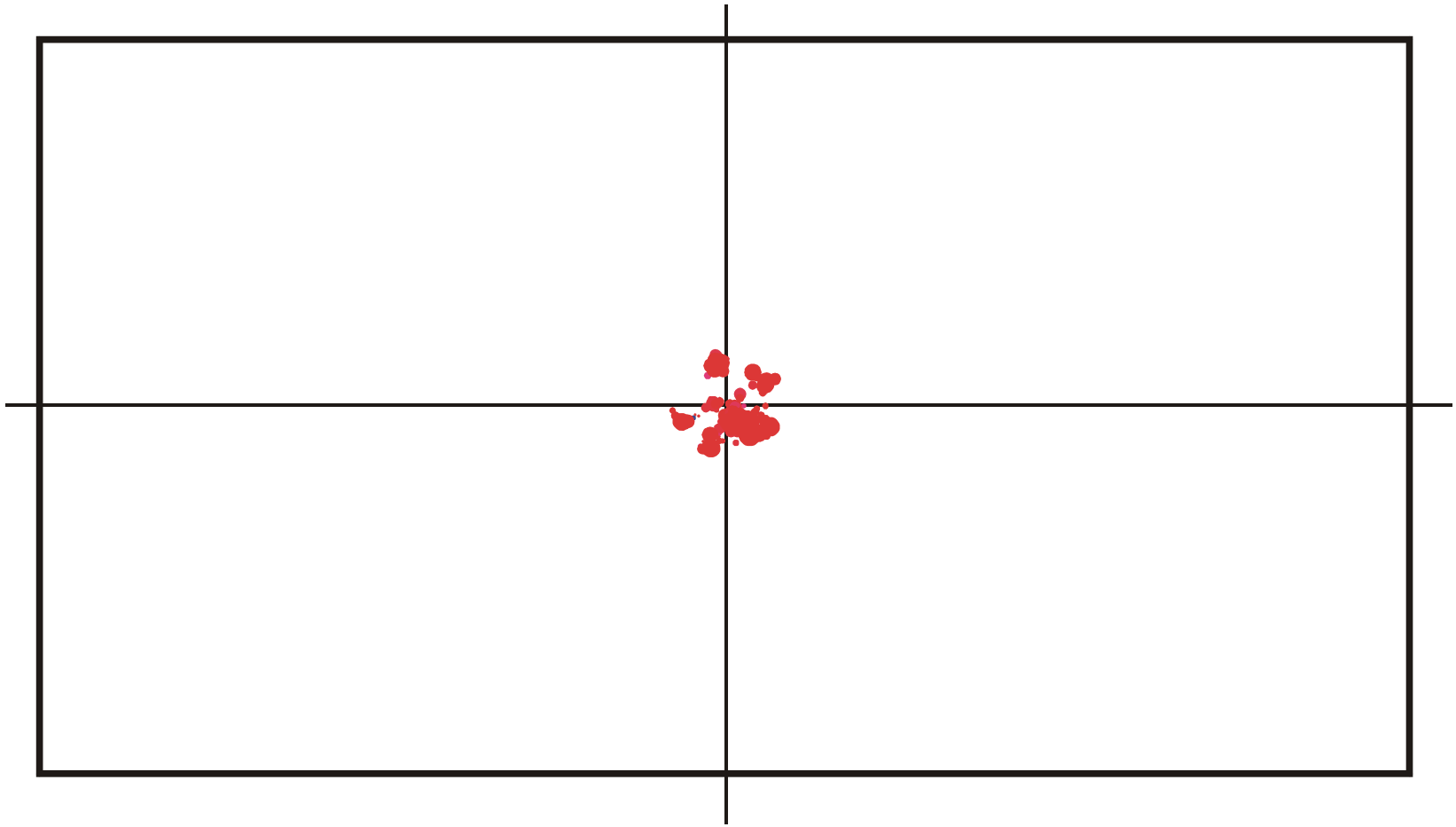




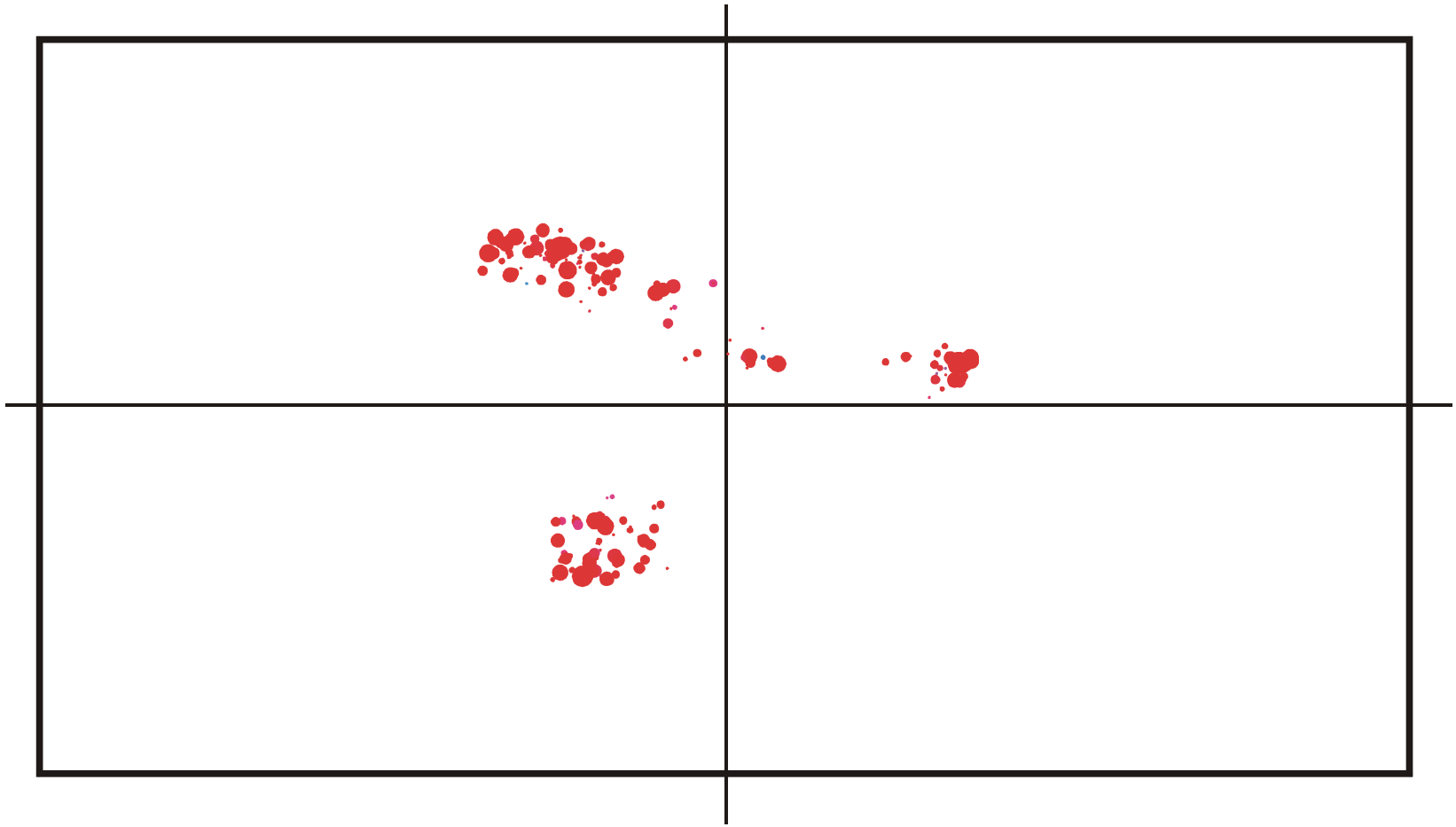
Spreading and evolution of a population on a neutral network: t = 150



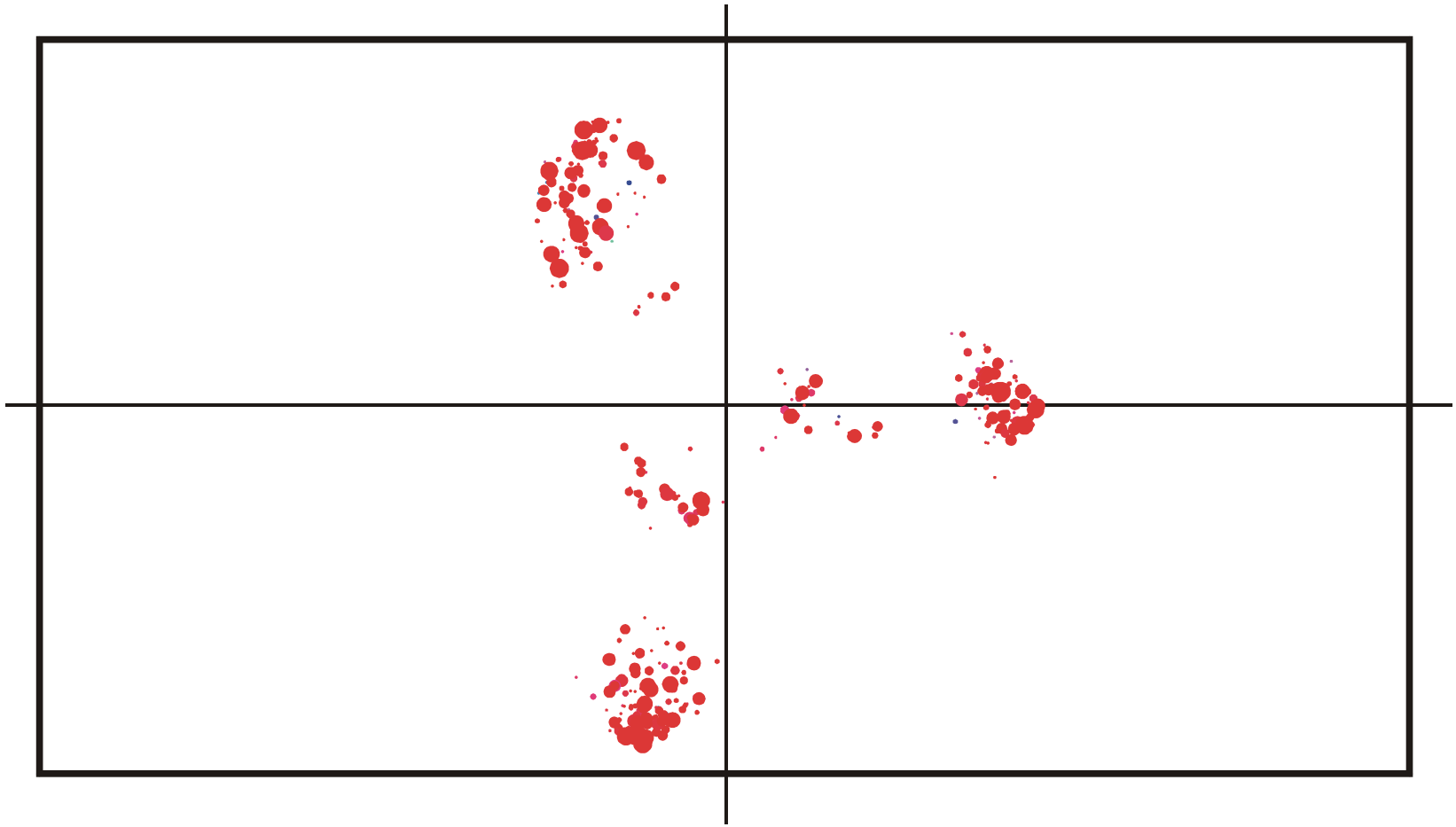
Spreading and evolution of a population on a neutral network : t = 170



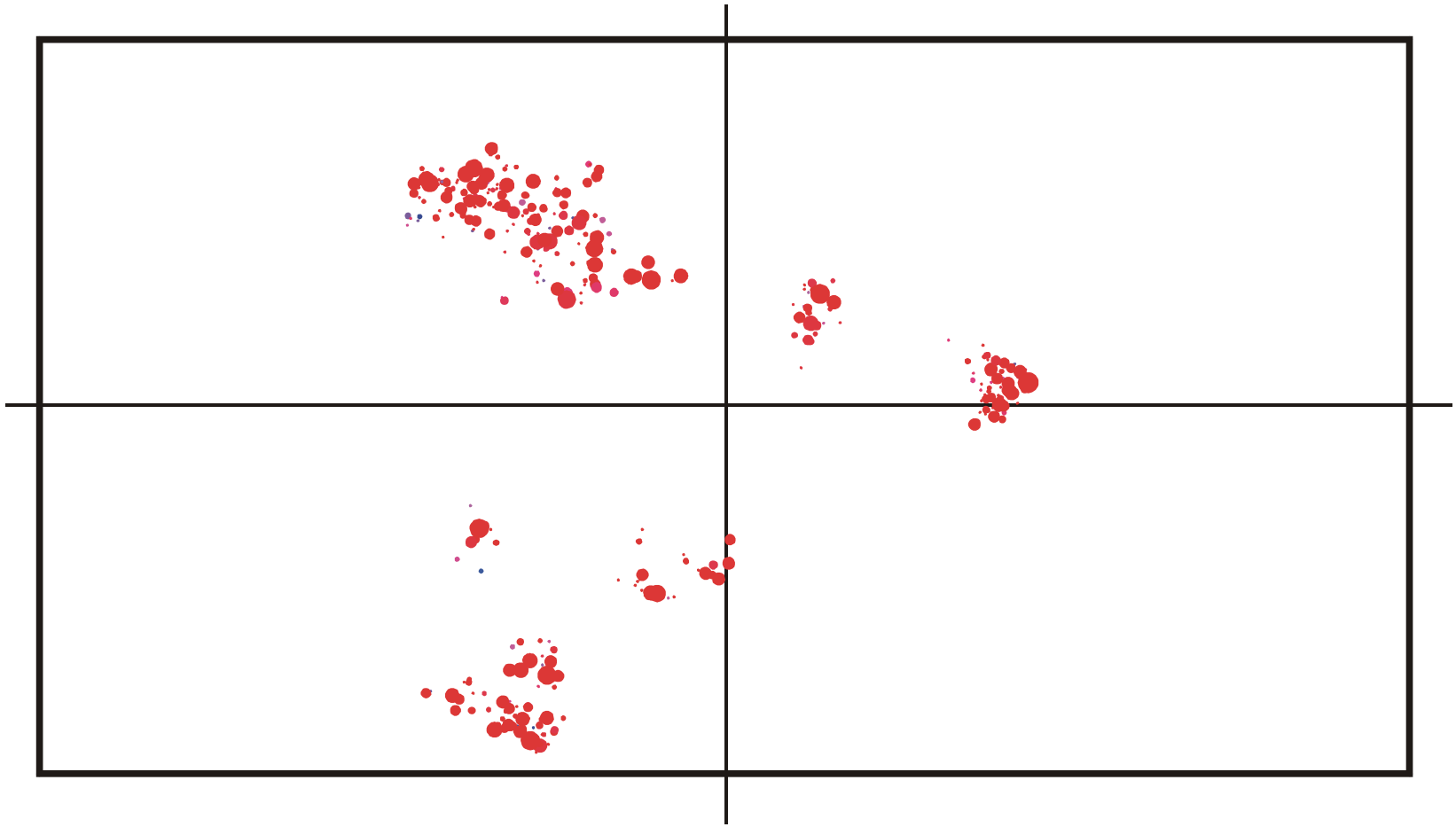
Spreading and evolution of a population on a neutral network : t = 200



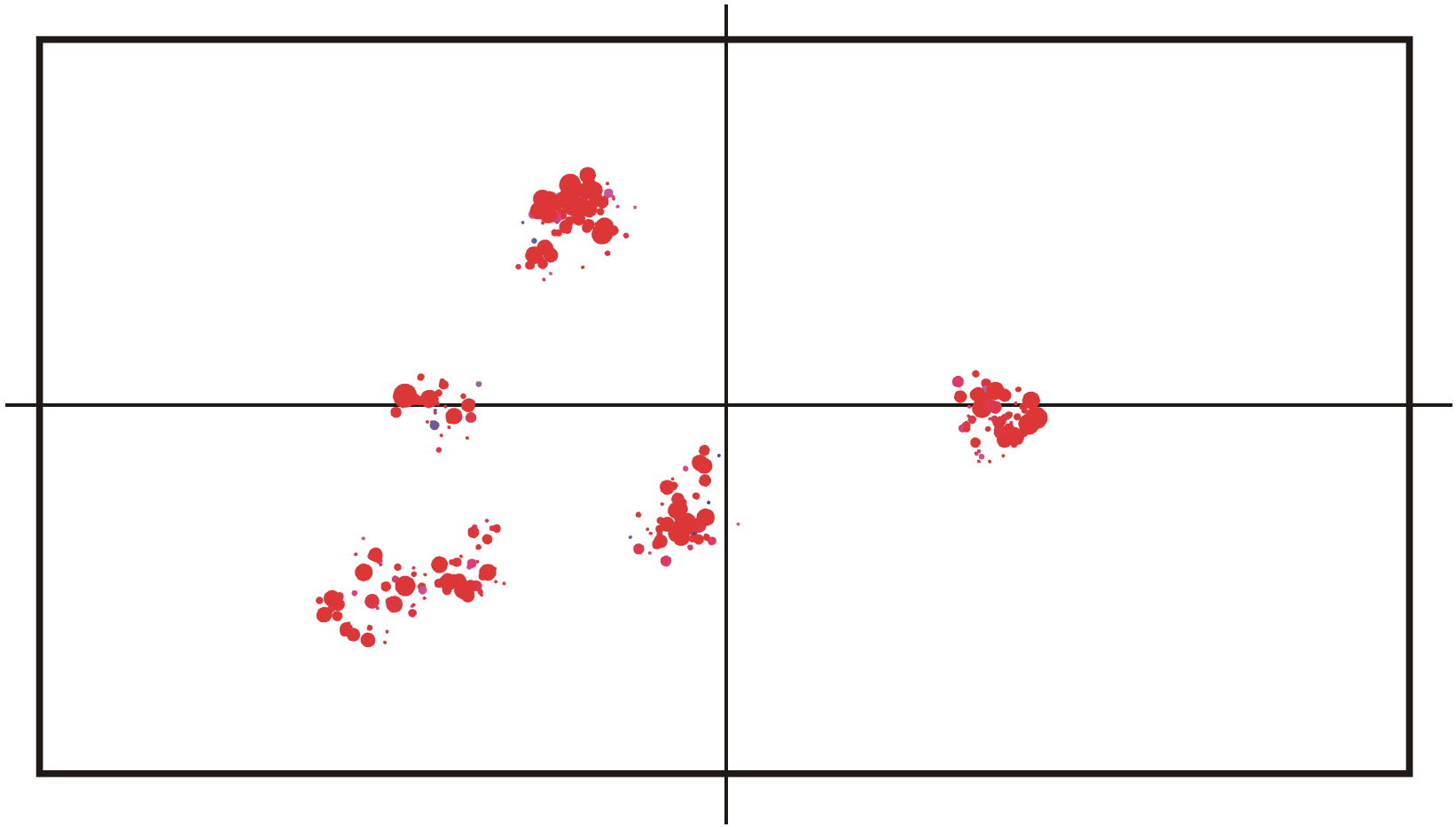
Spreading and evolution of a population on a neutral network : t = 350



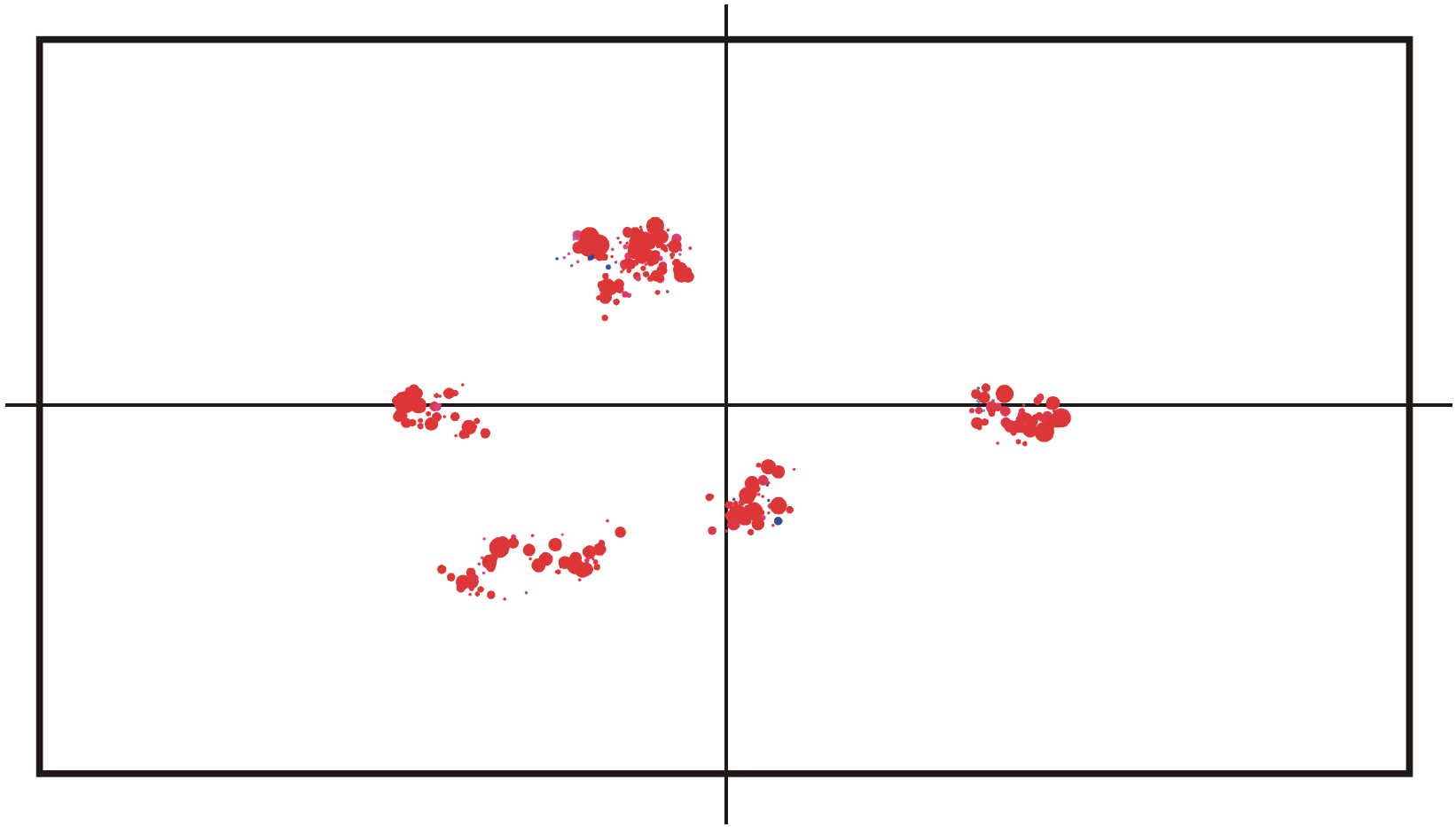
Spreading and evolution of a population on a neutral network : t = 500



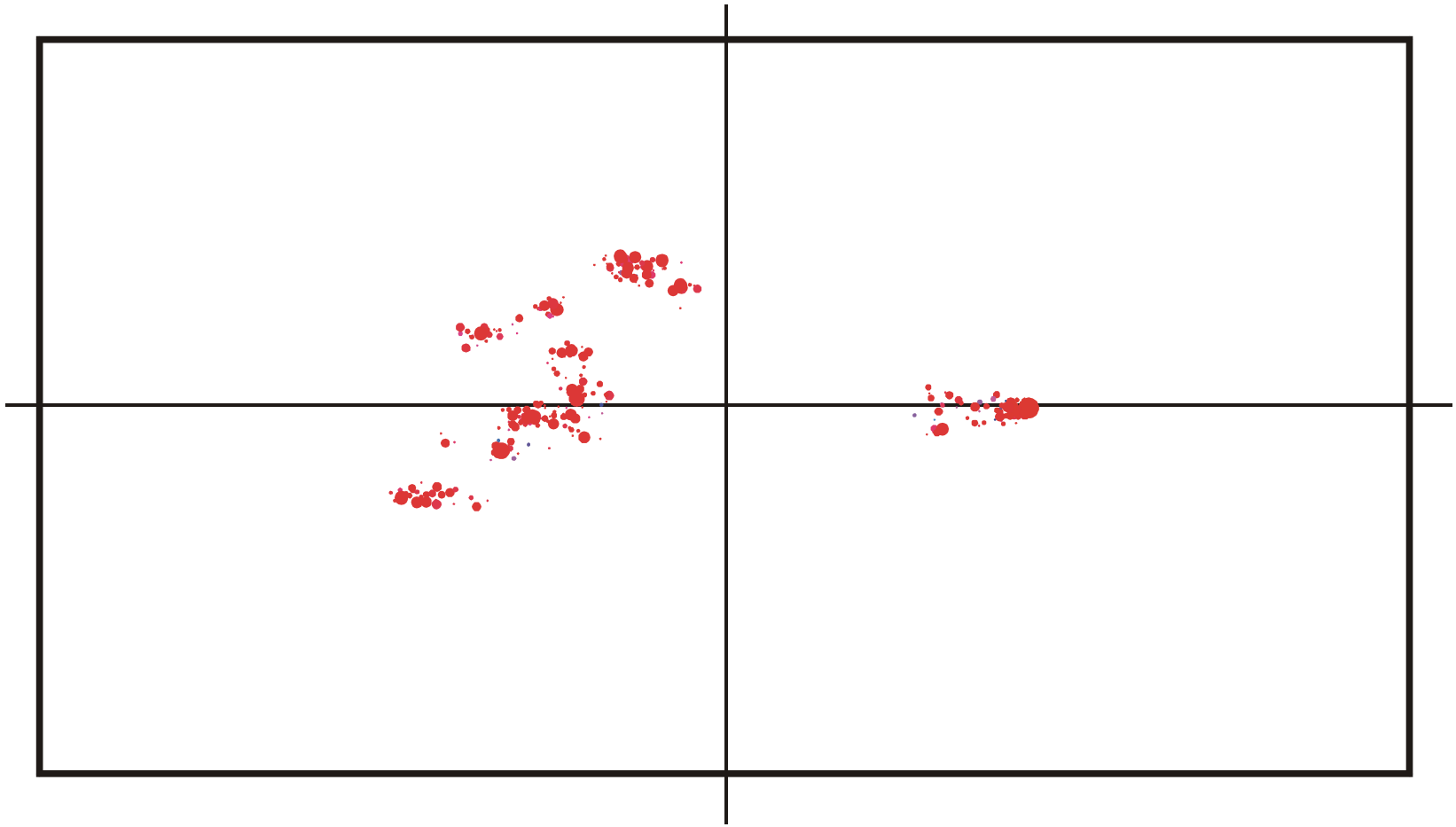
Spreading and evolution of a population on a neutral network : t = 650



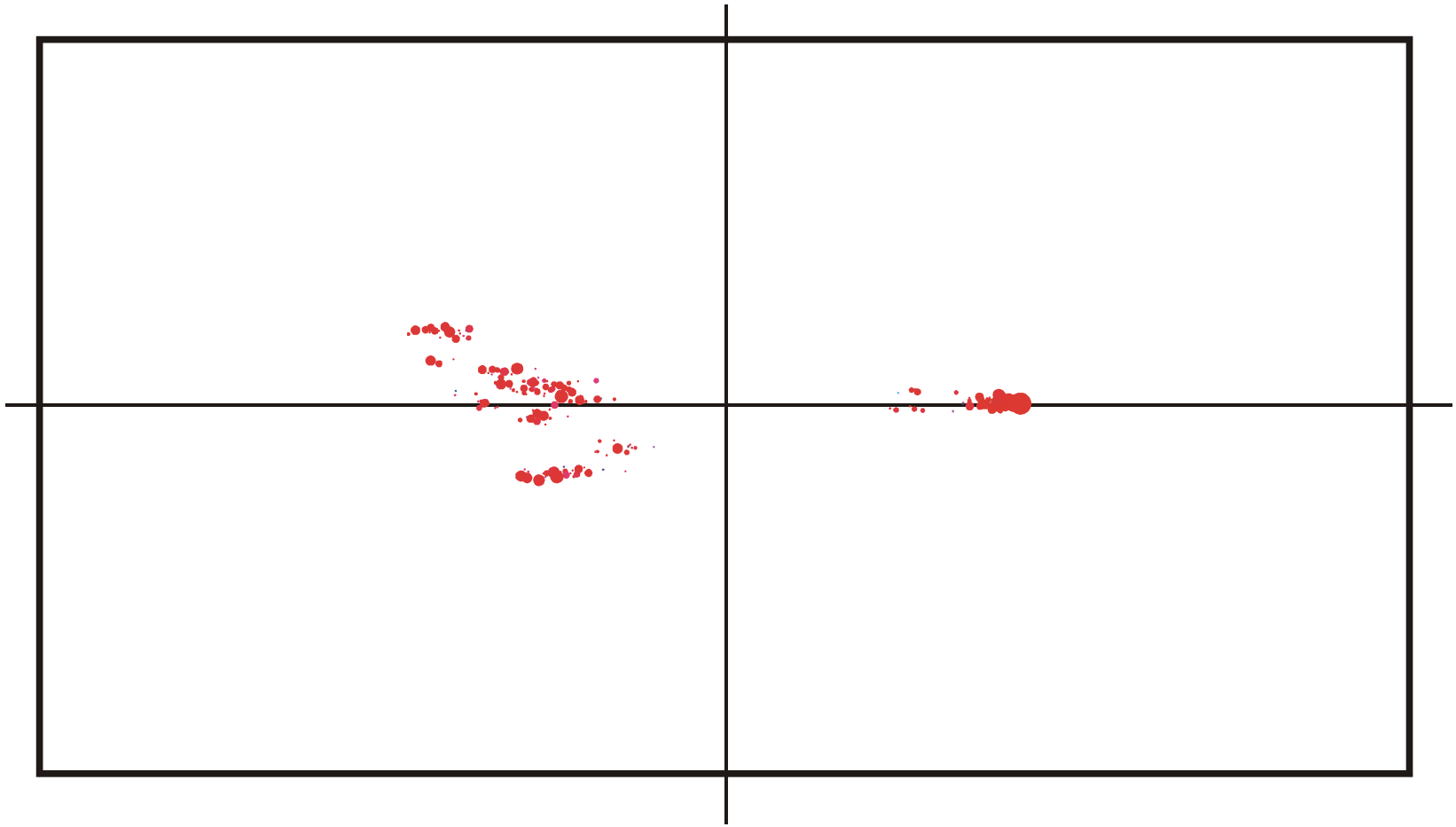
Spreading and evolution of a population on a neutral network : t = 820



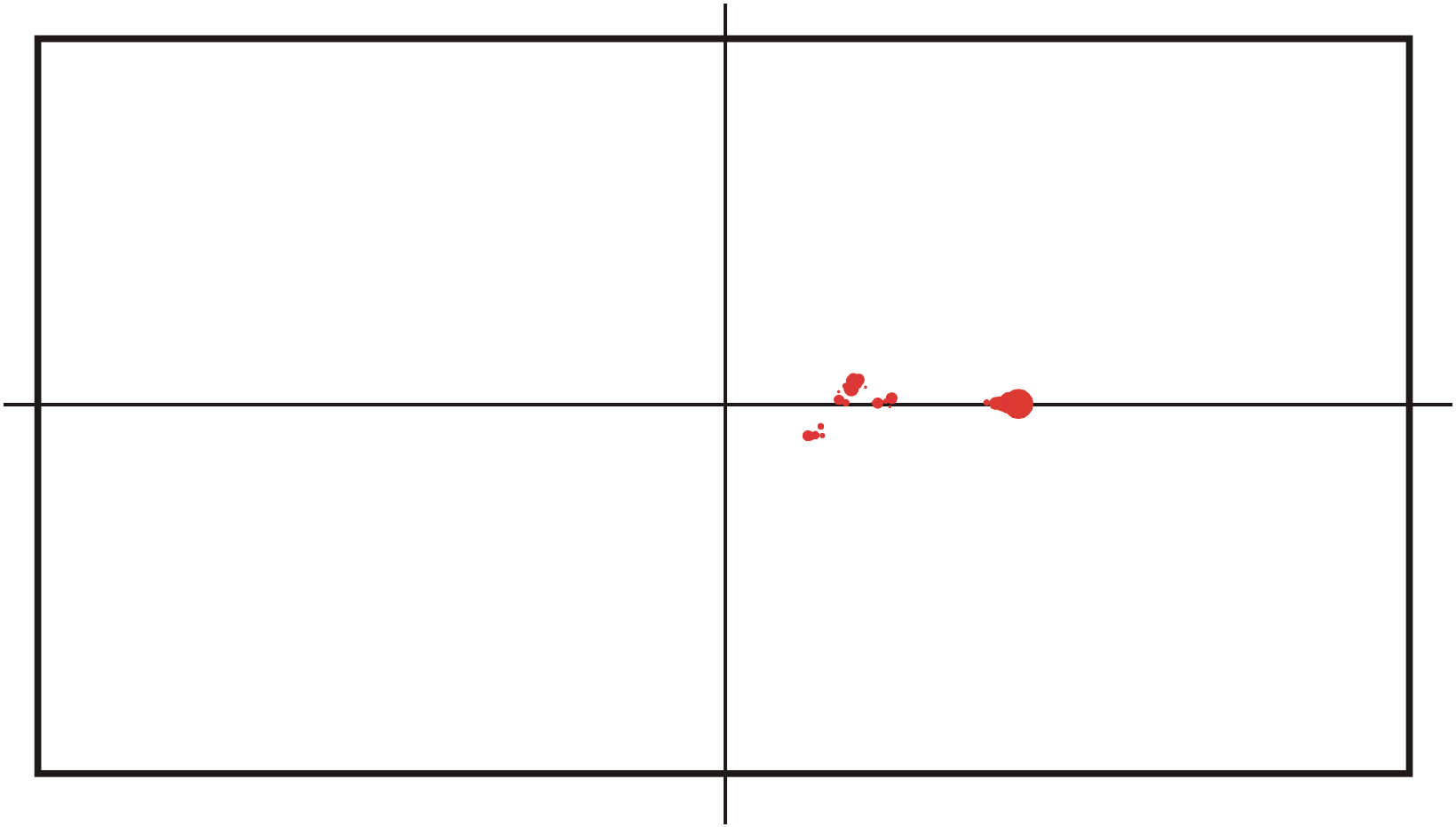
Spreading and evolution of a population on a neutral network : t = 825



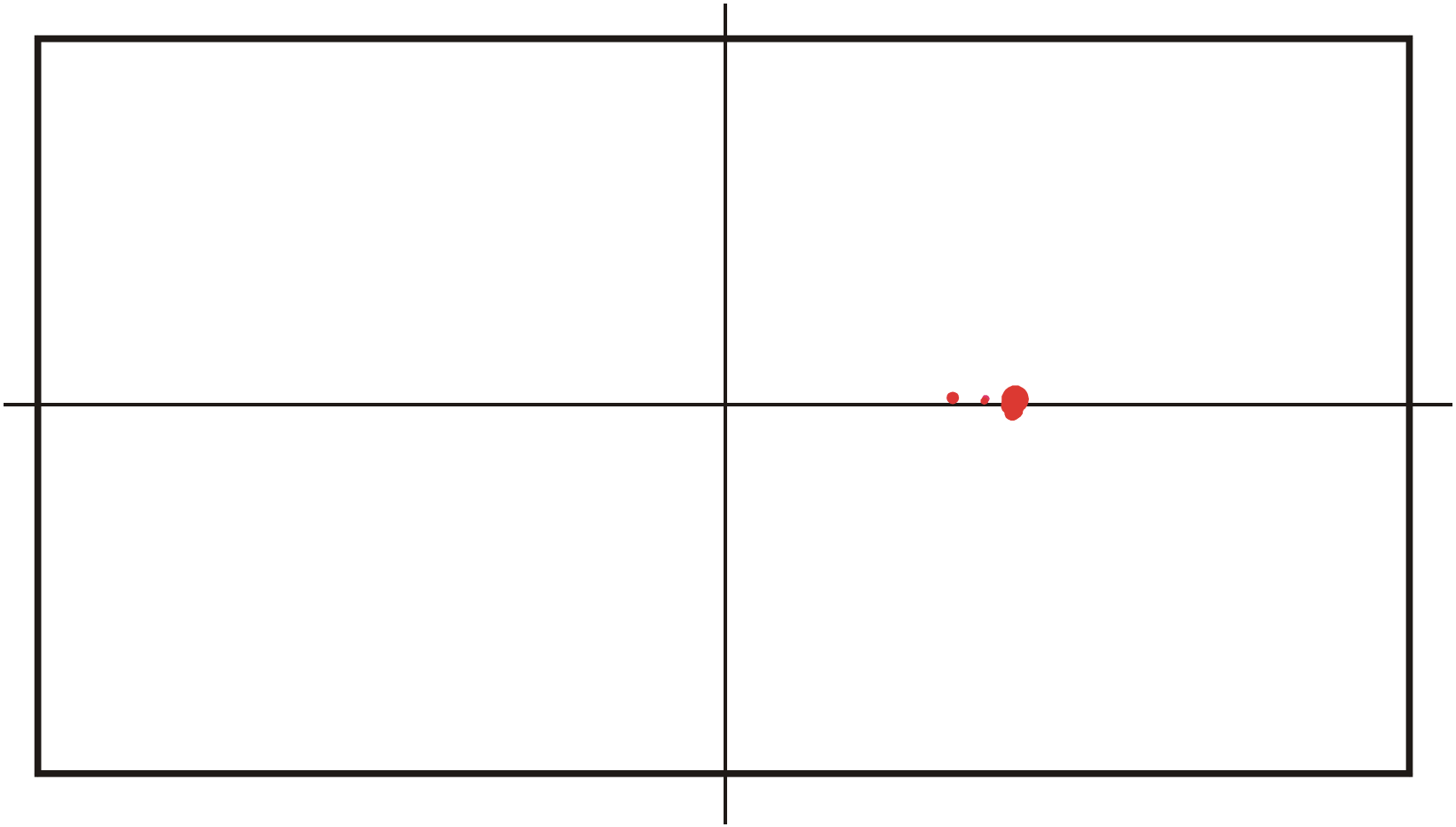
Spreading and evolution of a population on a neutral network : t = 830



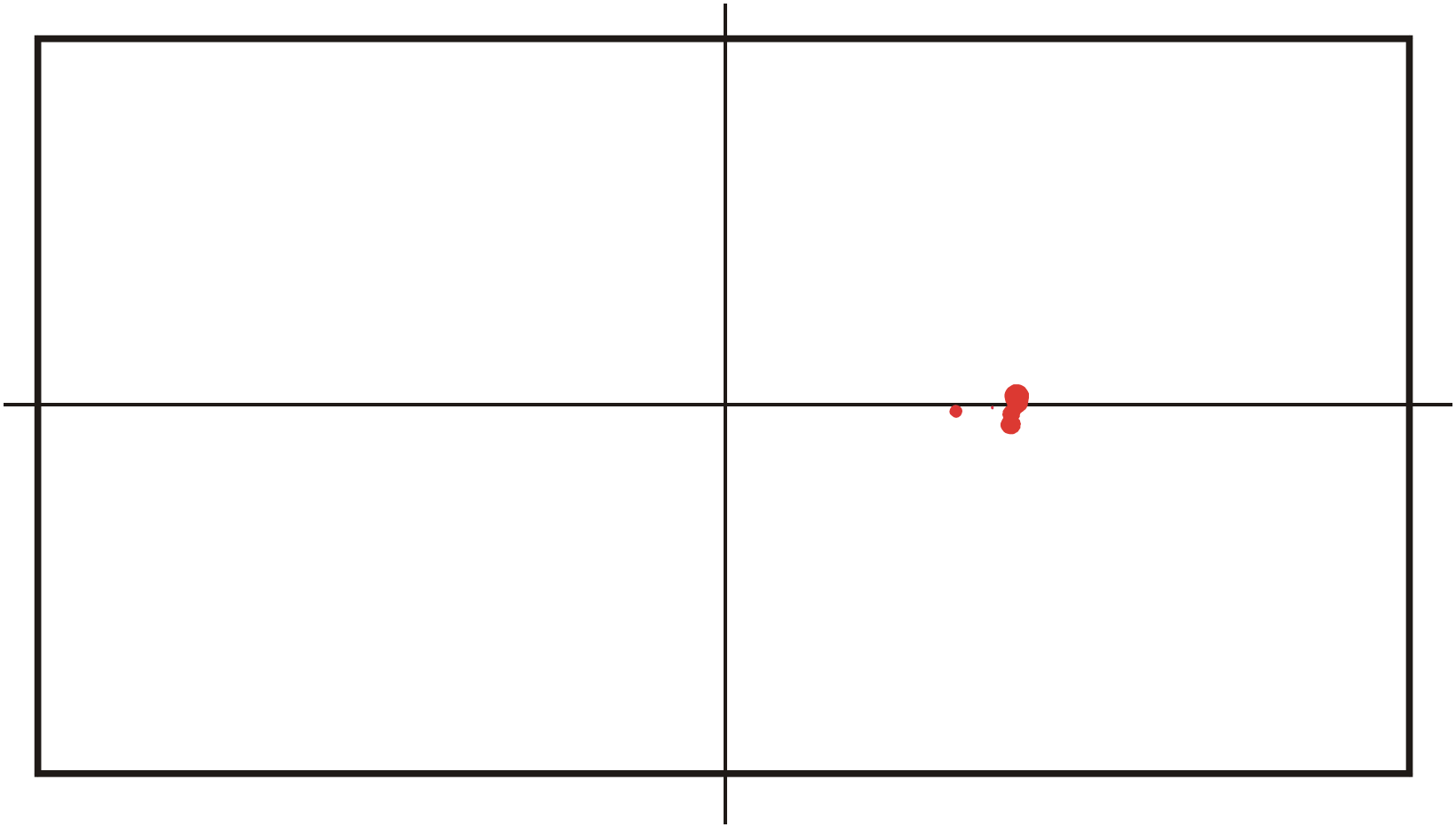
Spreading and evolution of a population on a neutral network : t = 835



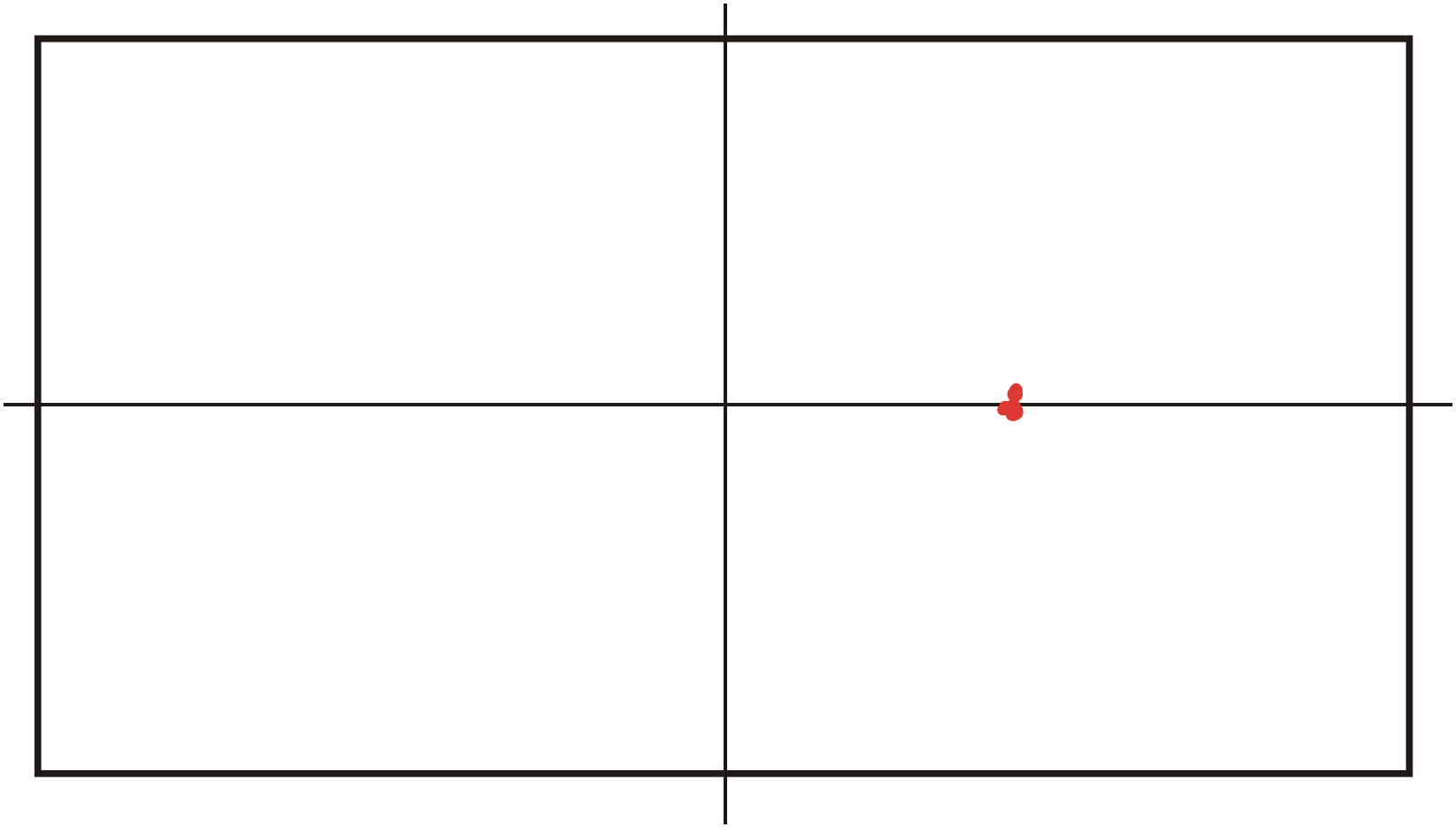
Spreading and evolution of a population on a neutral network : t = 840



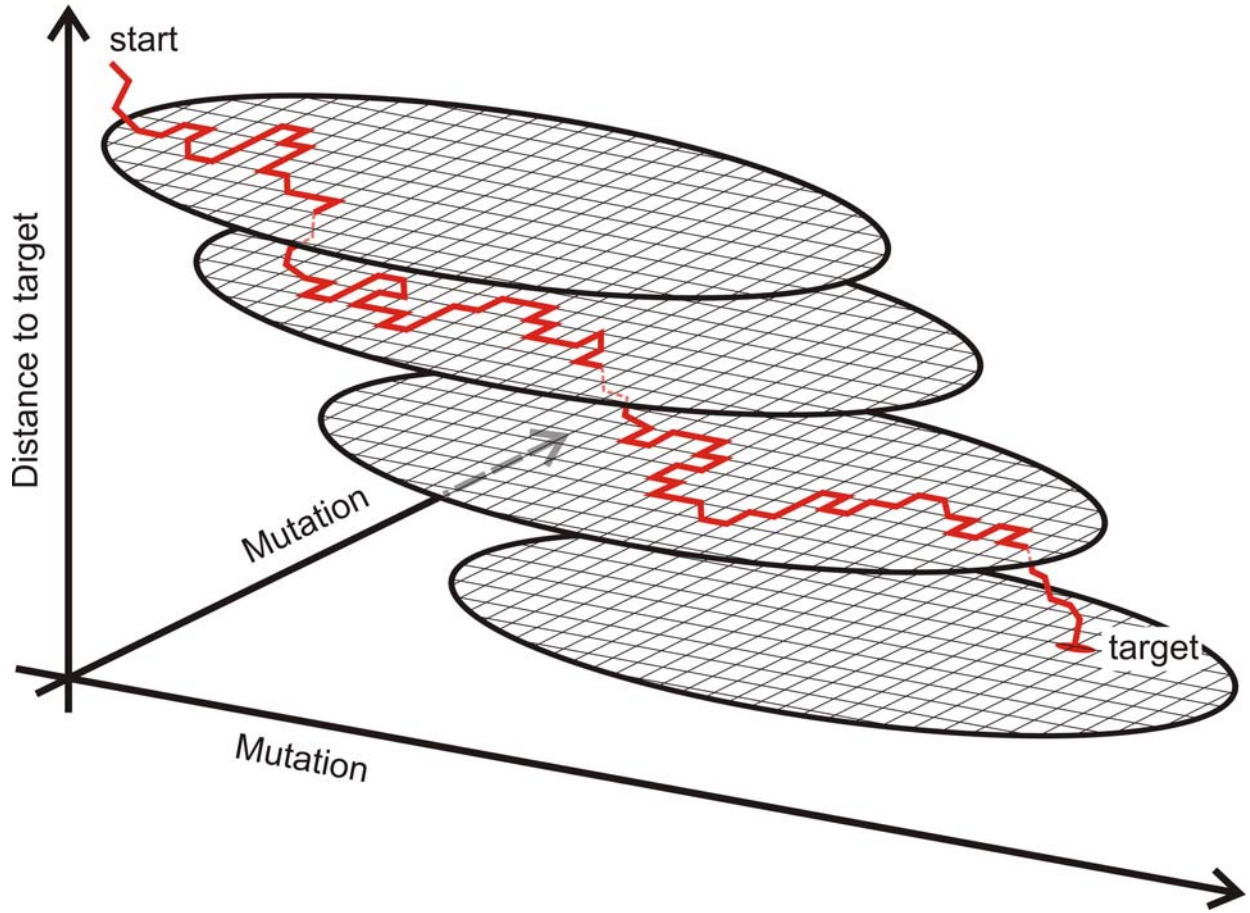
Spreading and evolution of a population on a neutral network : t = 845



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

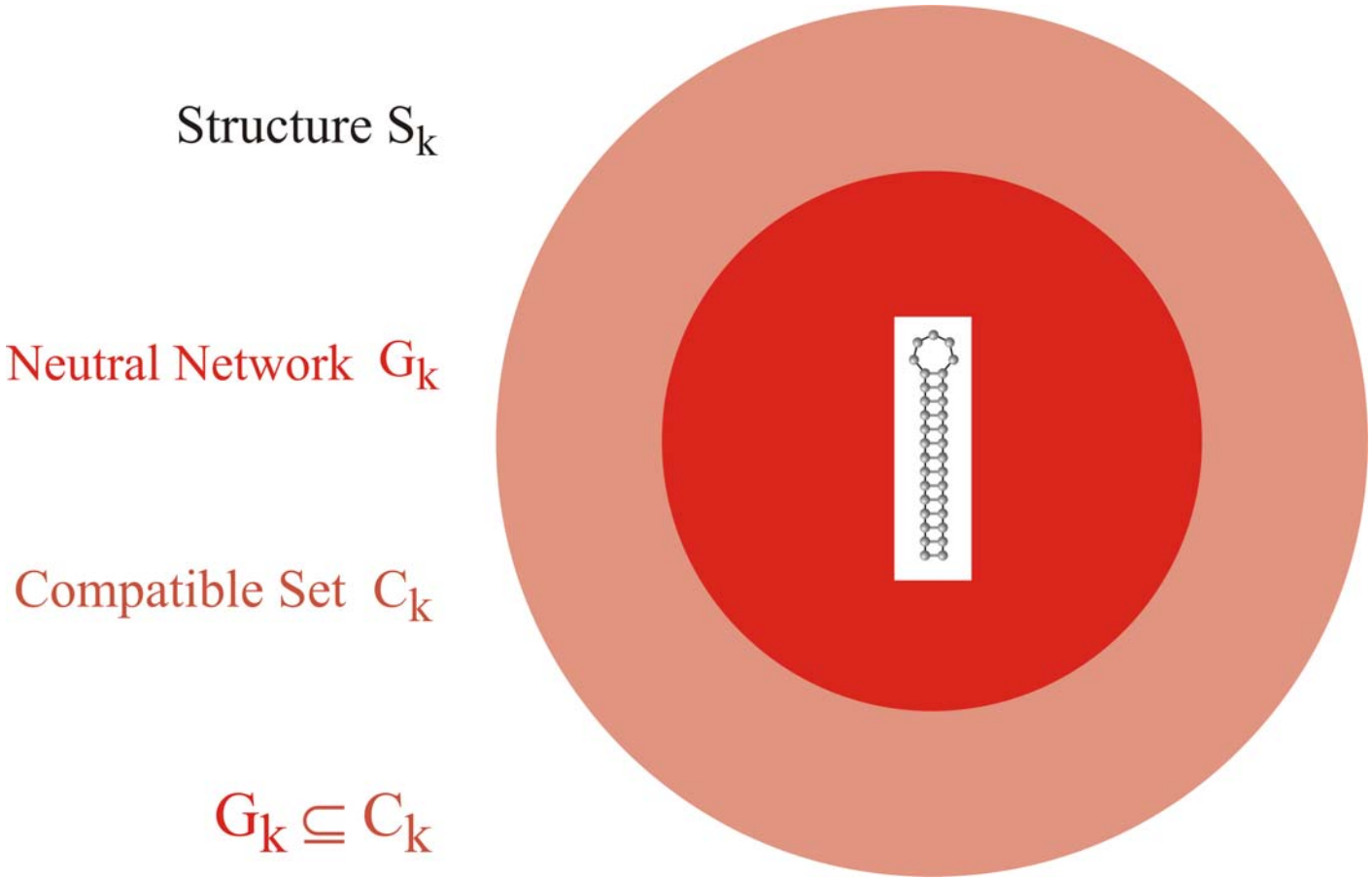


Spreading and evolution of a population on a neutral network : t = 855

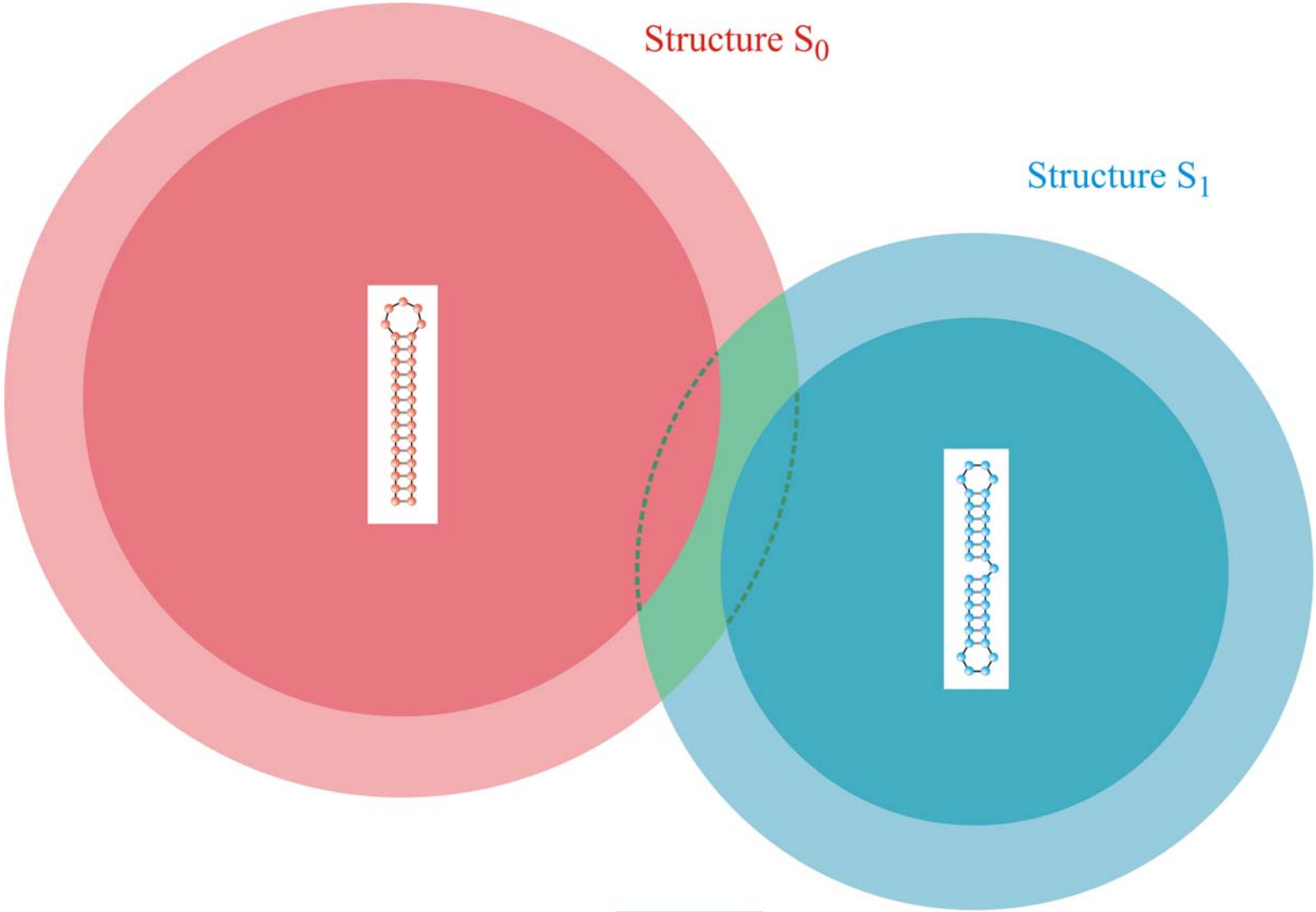


A sketch of optimization on neutral networks

1. Darwinsche Evolution
2. Evolutionsexperimente mit Molekülen
3. Replikation, Mutation und Fitnesslandschaften
4. Evolution *in silico*
5. Neutrale Evolution
6. **Multistabilität und RNA-Schalter**



The compatible set $\mathbf{C_k}$ of a structure $\mathbf{S_k}$ consists of all sequences which form $\mathbf{S_k}$ as its minimum free energy structure (the neutral network $\mathbf{G_k}$) or one of its suboptimal structures.



Intersection of two compatible sets: $C_0 \cap C_1$

The intersection of two compatible sets is always non empty: $C_0 \cap C_1 \notin \varnothing$

Bulletin of Mathematical Biology, Vol. 59, No. 2, pp. 339–397, 1997
Elsevier Science Inc.

0092-8240/97 $17.00 + 0.00

S0092-8240(96)00089-4

GENERIC PROPERTIES OF COMBINATORY MAPS: NEUTRAL NETWORKS OF RNA SECONDARY STRUCTURES[1]

■ CHRISTIAN REIDYS*,†, PETER F. STADLER*,‡ and PETER SCHUSTER*,‡,§,[2]
*Santa Fe Institute,
Santa Fe, NM 87501, U.S.A.

†Los Alamos National Laboratory,
Los Alamos, NM 87545, U.S.A.

‡Institut für Theoretische Chemie der Universität Wien,
A-1090 Wien, Austria

§Institut für Molekulare Biotechnologie,
D-07708 Jena, Germany

(*E.mail: pks@tbi.univie.ac.at*)

Random graph theory is used to model and analyse the relationships between sequences and secondary structures of RNA molecules, which are understood as mappings from sequence space into shape space. These maps are non-invertible since there are always many orders of magnitude more sequences than structures. Sequences folding into identical structures form *neutral networks*. A neutral network is embedded in the set of sequences that are *compatible* with the given structure. Networks are modeled as graphs and constructed by random choice of vertices from the space of compatible sequences. The theory characterizes neutral networks by the mean fraction of neutral neighbors (λ). The networks are connected and percolate sequence space if the fraction of neutral nearest neighbors exceeds a threshold value ($\lambda > \lambda^*$). Below threshold ($\lambda < \lambda^*$), the networks are partitioned into a largest "giant" component and several smaller components. Structures are classified as "common" or "rare" according to the sizes of their pre-images, i.e. according to the fractions of sequences folding into them. The neutral networks of any pair of two different common structures almost touch each other, and, as expressed by the conjecture of *shape space covering* sequences folding into almost all common structures, can be found in a small ball of an arbitrary location in sequence space. The results from random graph theory are compared to data obtained by folding large samples of RNA sequences. Differences are explained in terms of specific features of RNA molecular structures. © *1997 Society for Mathematical Biology*

THEOREM 5. INTERSECTION-THEOREM. *Let* s *and* s′ *be arbitrary secondary structures and* **C**[s], **C**[s′] *their corresponding compatible sequences. Then,*

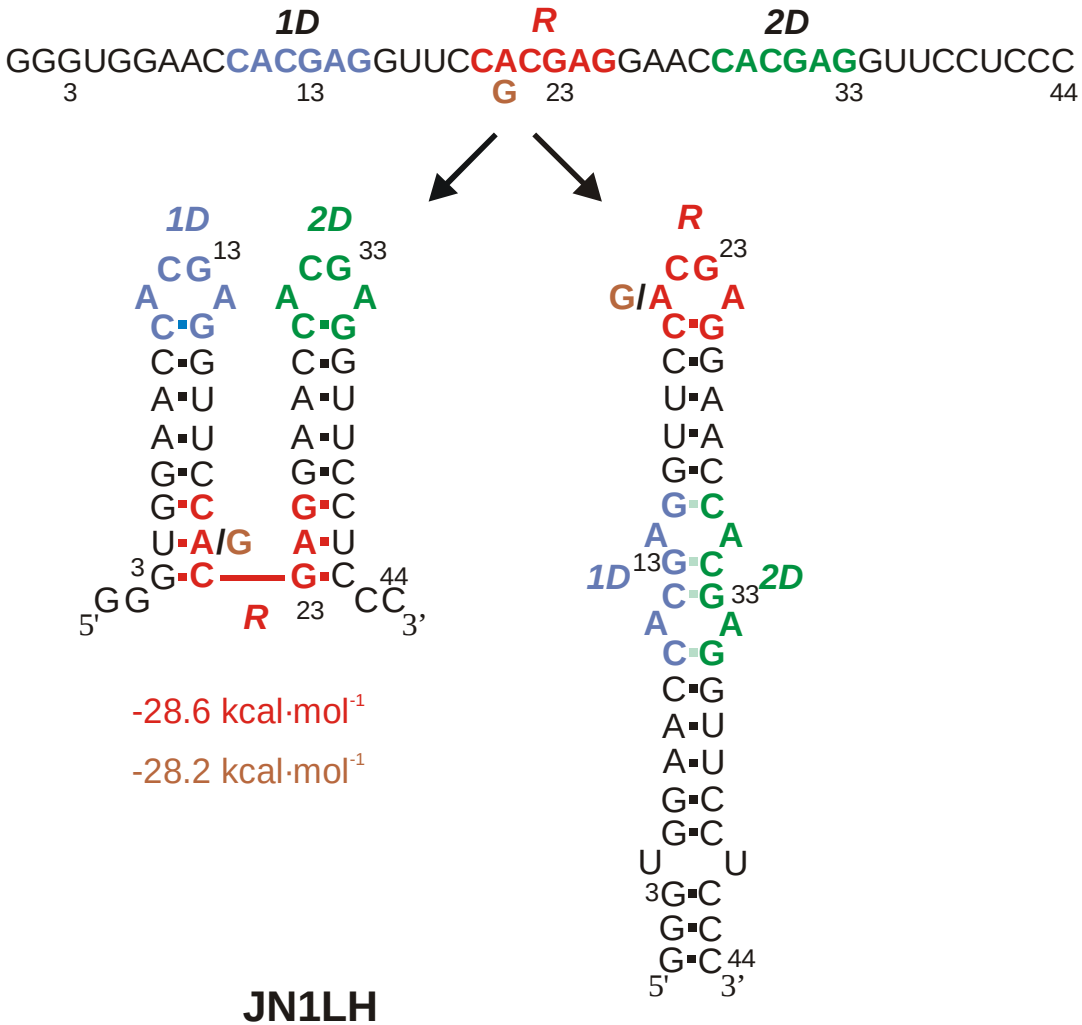
$$\mathbf{C}[s] \cap \mathbf{C}[s'] \neq \varnothing.$$

Proof. Suppose that the alphabet admits only the complementary base pair $[XY]$ and we ask for a sequence x compatible to both s and s'. Then $\gamma(s, s') \cong D_m$ operates on the set of all positions $\{x_1, \ldots, x_n\}$. Since we have the operation of a dihedral group, the orbits are either cycles or chains and the cycles have even order. A constraint for the sequence compatible to both structures appears only in the cycles where the choice of bases is not independent. It remains to be shown that there is a valid choice of bases for each cycle, which is obvious since these have even order. Therefore, it suffices to choose an alternating sequence of the pairing partners X and Y. Thus, there are at least two different choices for the first base in the orbit. ■

Remark. A generalization of the statement of theorem 5 to three different structures is false.

Reference for the definition of the intersection and the proof of the **intersection theorem**

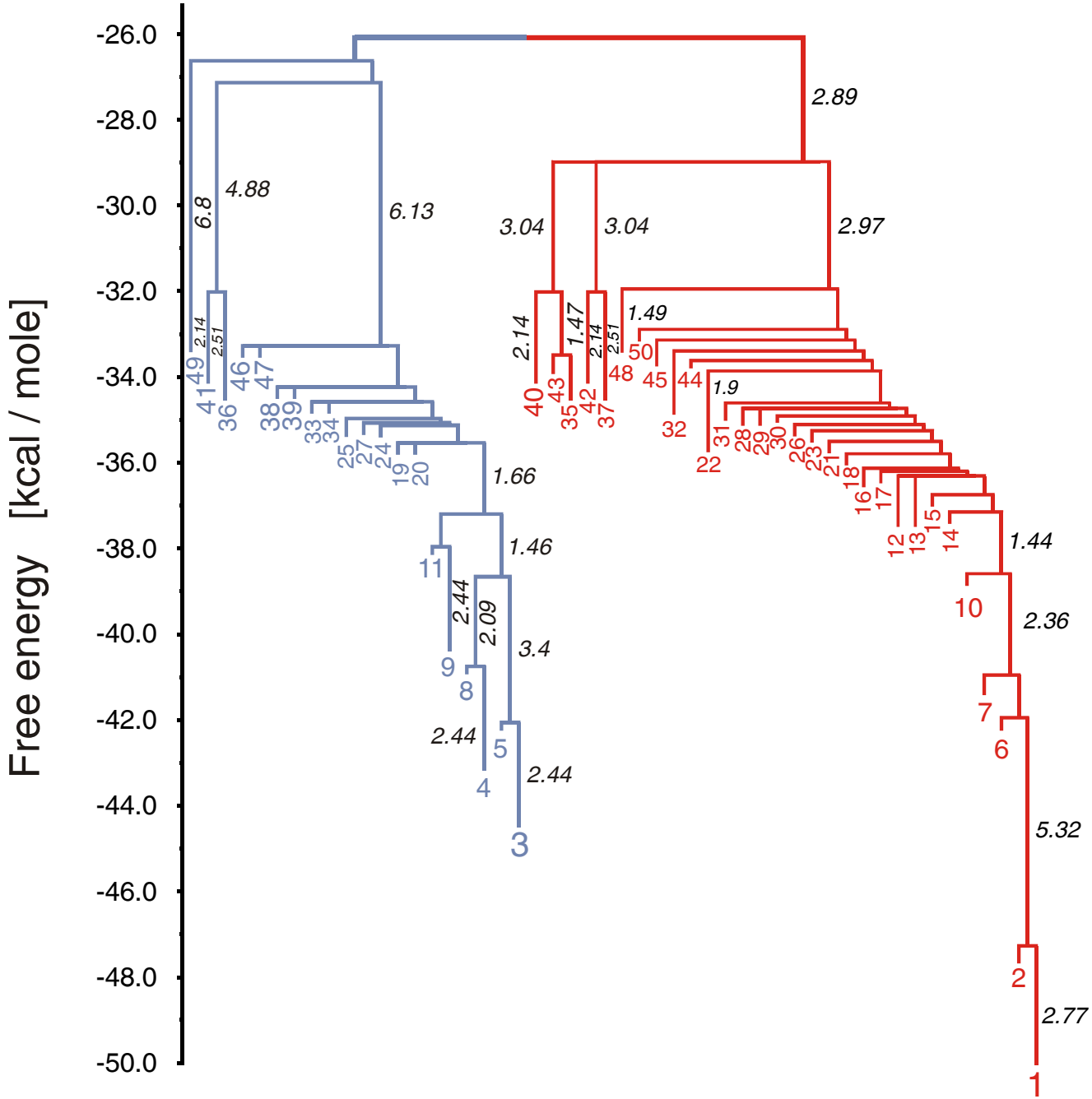
An RNA switch



JN1LH

J.H.A. Nagel, C. Flamm, I.L. Hofacker, K. Franke, M.H. de Smit, P. Schuster, and C.W.A. Pleij.

Structural parameters affecting the kinetic competition of RNA hairpin formation. *Nucleic Acids Res.* **34**:3568-3576, 2006.



J1LH barrier tree

A ribozyme switch

E.A.Schultes, D.B.Bartel, Science **289** (2000), 448-452

minus the background levels observed in the HSP in the control (Sar1-GDP–containing) incubation that prevents COPII vesicle formation. In the microsome control, the level of p115-SNARE associations was less than 0.1%.
46. C. M. Carr, E. Grote, M. Munson, F. M. Hughson, P. J. Novick, *J. Cell Biol.* **146**, 333 (1999).
47. C. Ungermann, B. J. Nichols, H. R. Pelham, W. Wickner, *J. Cell Biol.* **140**, 61 (1998).
48. E. Grote and P. J. Novick, *Mol. Biol. Cell* **10**, 4149 (1999).
49. P. Uetz *et al.*, *Nature* **403**, 623 (2000).
50. GST-SNARE proteins were expressed in bacteria and purified on glutathione-Sepharose beads using standard methods. Immobilized GST-SNARE protein (0.5 μM) was incubated with rat liver cytosol (20 mg) or purified recombinant p115 (0.5 μM) in 1 ml of NS buffer containing 1% BSA for 2 hours at 4°C with rotation. Beads were briefly spun (3000 rpm for 10 s) and sequentially washed three times with NS buffer and three times with NS buffer supplemented with 150 mM NaCl. Bound proteins were eluted three times in 50 μl of 50 mM tris-HCl (pH 8.5), 50 mM reduced glutathione, 150 mM NaCl, and 0.1% Triton X-100 for 15 min at 4°C with intermittent mixing, and elutes were pooled. Proteins were precipitated by MeOH/CH_3Cl and separated by SDS–polyacrylamide gel electrophoresis (PAGE) followed by immunoblotting using p115 mAb 13F12.
51. V. Rybin *et al.*, *Nature* **383**, 266 (1996).
52. K. G. Hardwick and H. R. Pelham, *J. Cell Biol.* **119**, 513 (1992).
53. A. P. Newman, M. E. Groesch, S. Ferro-Novick, *EMBO J.* **11**, 3609 (1992).
54. A. Spang and R. Schekman, *J. Cell Biol.* **143**, 589 (1998).
55. M. F. Rexach, M. Latterich, R. W. Schekman, *J. Cell Biol.* **126**, 1133 (1994).
56. A. Mayer and W. Wickner, *J. Cell Biol.* **136**, 307 (1997).
57. M. D. Turner, H. Plutner, W. E. Balch, *J. Biol. Chem.* **272**, 13479 (1997).
58. A. Price, D. Seals, W. Wickner, C. Ungermann, *J. Cell Biol.* **148**, 1231 (2000).
59. X. Cao and C. Barlowe, *J. Cell Biol.* **149**, 55 (2000).
60. G. G. Tall, H. Hama, D. B. DeWald, B. F. Horazdovsky, *Mol. Biol. Cell* **10**, 1873 (1999).
61. C. G. Burd, M. Peterson, C. R. Cowles, S. D. Emr, *Mol. Biol. Cell* **8**, 1089 (1997).
62. M. R. Peterson, C. G. Burd, S. D. Emr, *Curr. Biol.* **9**, 159 (1999).
63. M. G. Waters, D. O. Clary, J. E. Rothman, *J. Cell Biol.* **118**, 1015 (1992).
64. D. M. Walter, K. S. Paul, M. G. Waters, *J. Biol. Chem.* **273**, 29565 (1998).
65. N. Hui *et al.*, *Mol. Biol. Cell* **8**, 1777 (1997).
66. T. E. Kreis, *EMBO J.* **5**, 931 (1986).
67. H. Plutner, H. W. Davidson, J. Saraste, W. E. Balch, *J. Cell Biol.* **119**, 1097 (1992).
68. D. S. Nelson *et al.*, *J. Cell Biol.* **143**, 319 (1998).
69. We thank G. Waters for p115 cDNA and p115 mAbs; G. Warren for p97 and p47 antibodies; R. Scheller for rbet1, membrin, and sec22 cDNAs; H. Plutner for excellent technical assistance; and P. Tan for help during the initial phase of this work. Supported by NIH grants GM 33301 and GM42336 and National Cancer Institute grant CA58689 (W.E.B.), a NIH National Research Service Award (B.D.M.), and a Wellcome Trust International Traveling Fellowship (B.B.A.).

20 March 2000; accepted 22 May 2000

One Sequence, Two Ribozymes: Implications for the Emergence of New Ribozyme Folds

Erik A. Schultes and David P. Bartel*

We describe a single RNA sequence that can assume either of two ribozyme folds and catalyze the two respective reactions. The two ribozyme folds share no evolutionary history and are completely different, with no base pairs (and probably no hydrogen bonds) in common. Minor variants of this sequence are highly active for one or the other reaction, and can be accessed from prototype ribozymes through a series of neutral mutations. Thus, in the course of evolution, new RNA folds could arise from preexisting folds, without the need to carry inactive intermediate sequences. This raises the possibility that biological RNAs having no structural or functional similarity might share a common ancestry. Furthermore, functional and structural divergence might, in some cases, precede rather than follow gene duplication.

Related protein or RNA sequences with the same folded conformation can often perform very different biochemical functions, indicating that new biochemical functions can arise from preexisting folds. But what evolutionary mechanisms give rise to sequences with new macromolecular folds? When considering the origin of new folds, it is useful to picture, among all sequence possibilities, the distribution of sequences with a particular fold and function. This distribution can range very far in sequence space (*1*). For example, only seven nucleotides are strictly conserved among the group I self-splicing introns, yet secondary (and presumably tertiary) structure within the core of the ribozyme is preserved (*2*). Because these disparate isolates have the same fold and function, it is thought that they descended from a common ancestor through a series of mutational variants that were each functional. Hence, sequence heterogeneity among divergent isolates implies the existence of paths through sequence space that have allowed neutral drift from the ancestral sequence to each isolate. The set of all possible neutral paths composes a "neutral network," connecting in sequence space those widely dispersed sequences sharing a particular fold and activity, such that any sequence on the network can potentially access very distant sequences by neutral mutations (*3–5*).

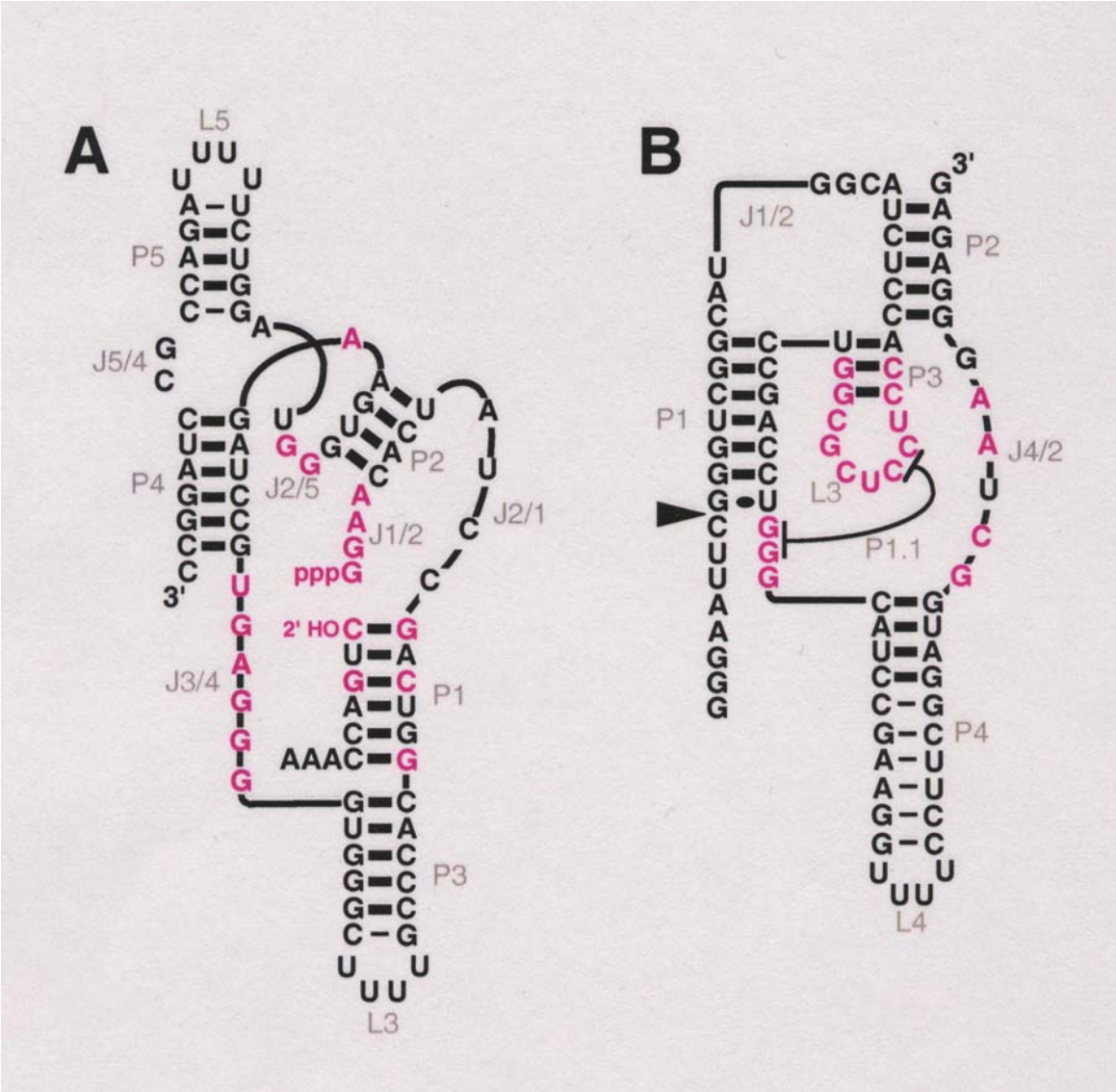
Theoretical analyses using algorithms for predicting RNA secondary structure have suggested that different neutral networks are interwoven and can approach each other very closely (*3*, *5–8*). Of particular interest is whether ribozyme neutral networks approach each other so closely that they intersect. If so, a single sequence would be capable of folding into two different conformations, would have two different catalytic activities, and could access by neutral drift every sequence on both networks. With intersecting networks, RNAs with novel structures and activities could arise from previously existing ribozymes, without the need to carry nonfunctional sequences as evolutionary intermediates. Here, we explore the proximity of neutral networks experimentally, at the level of RNA function. We describe a close apposition of the neutral networks for the hepatitis delta virus (HDV) self-cleaving ribozyme and the class III self-ligating ribozyme.

In choosing the two ribozymes for this investigation, an important criterion was that they share no evolutionary history that might confound the evolutionary interpretations of our results. Choosing at least one artificial ribozyme ensured independent evolutionary histories. The class III ligase is a synthetic ribozyme isolated previously from a pool of random RNA sequences (*9*). It joins an oligonucleotide substrate to its 5′ terminus. The prototype ligase sequence (Fig. 1A) is a shortened version of the most active class III variant isolated after 10 cycles of in vitro selection and evolution. This minimal construct retains the activity of the full-length isolate (*10*). The HDV ribozyme carries out the site-specific self-cleavage reactions needed during the life cycle of HDV, a satellite virus of hepatitis B with a circular, single-stranded RNA genome (*11*). The prototype HDV construct for our study (Fig. 1B) is a shortened version of the antigenomic HDV ribozyme (*12*), which undergoes self-cleavage at a rate similar to that reported for other antigenomic constructs (*13*, *14*).

The prototype class III and HDV ribozymes have no more than the 25% sequence identity expected by chance and no fortuitous structural similarities that might favor an intersection of their two neutral networks. Nevertheless, sequences can be designed that simultaneously satisfy the base-pairing requirements

Whitehead Institute for Biomedical Research and Department of Biology, Massachusetts Institute of Technology, 9 Cambridge Center, Cambridge, MA 02142, USA.

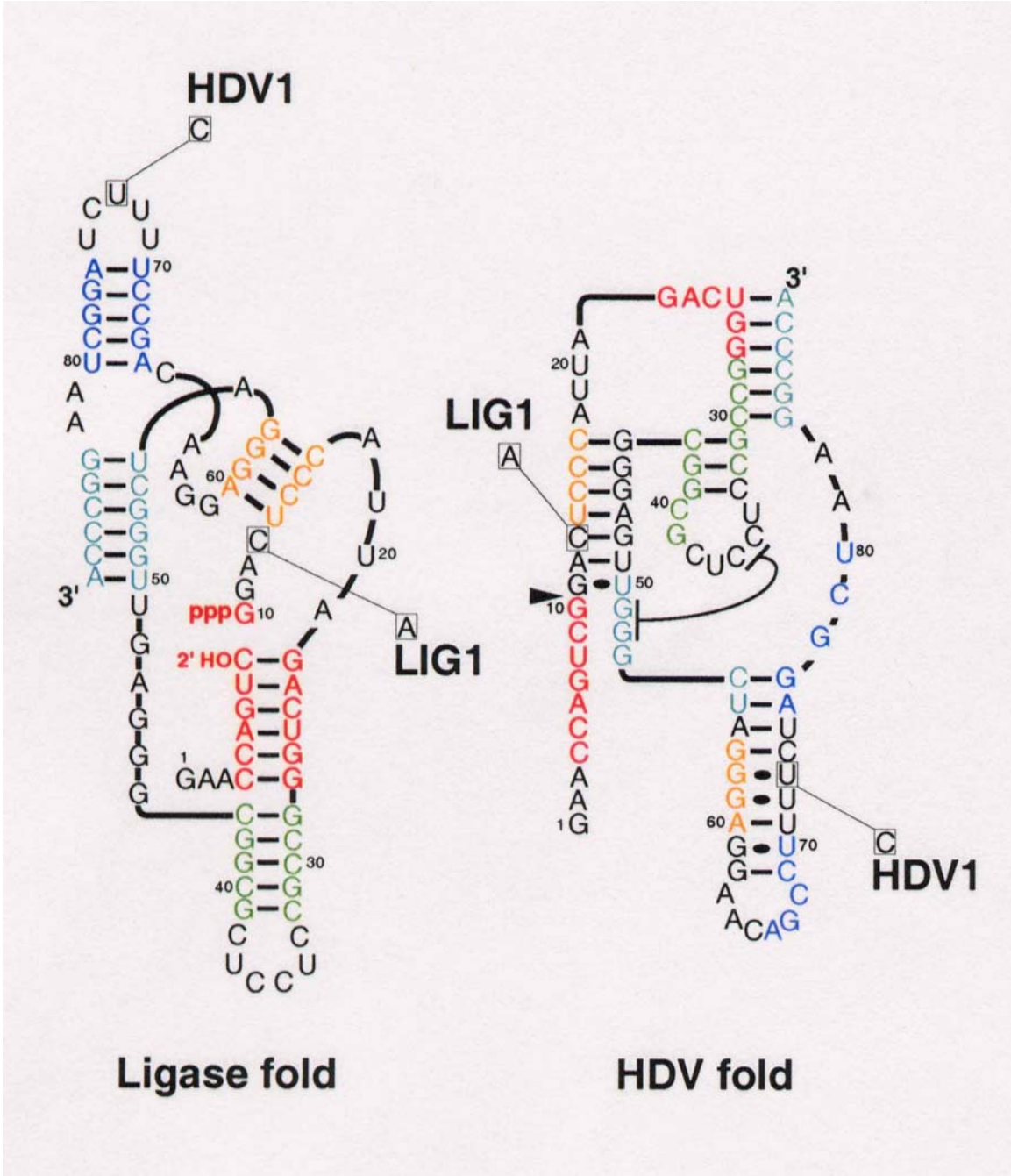
*To whom correspondence should be addressed. E-mail: dbartel@wi.mit.edu

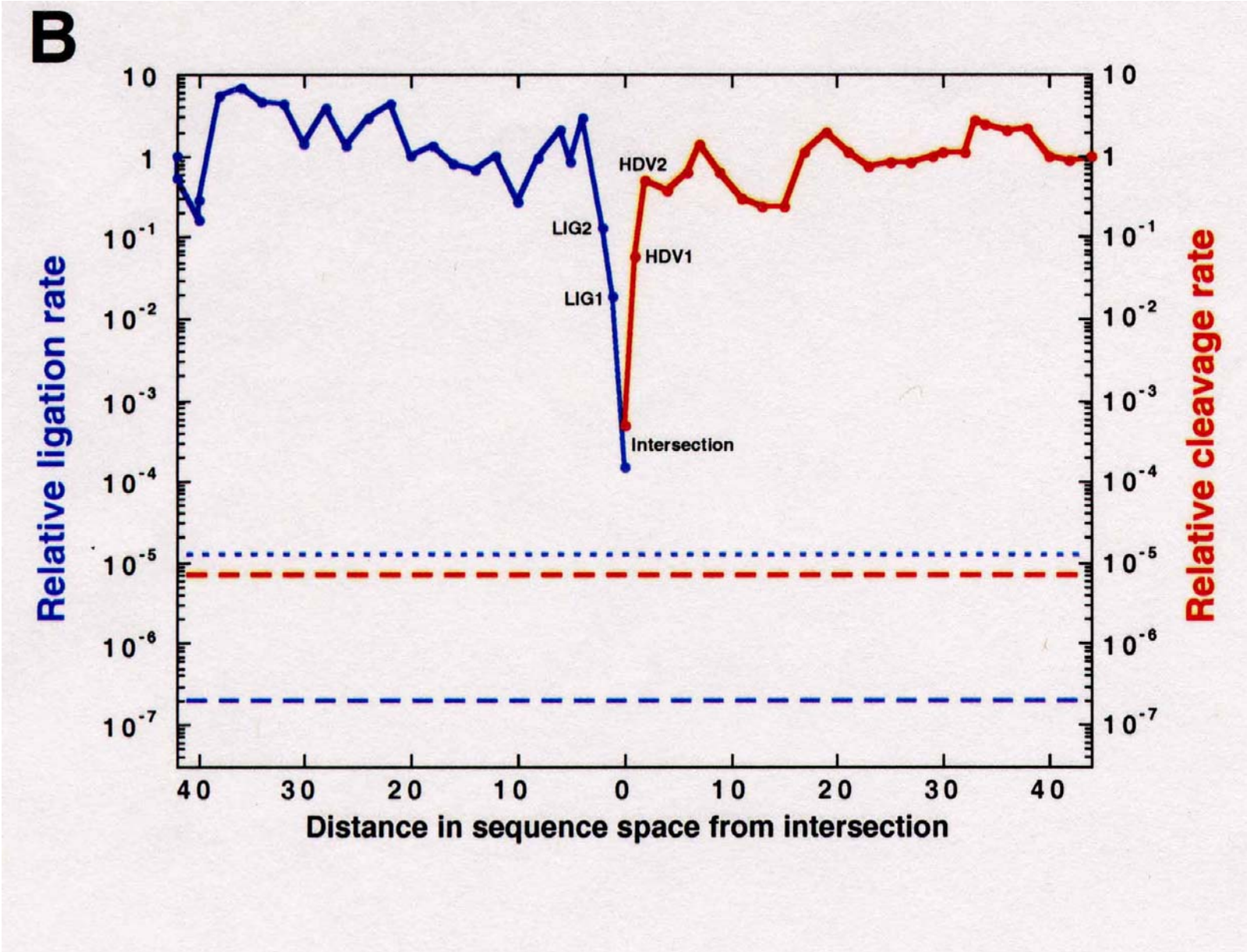


Two ribozymes of chain lengths n = 88 nucleotides: An artificial ligase (**A**) and a natural cleavage ribozyme of hepatitis-δ-virus (**B**)

The sequence at the ***intersection***:

An RNA molecules which is 88 nucleotides long and can form both structures





Two neutral walks through sequence space with conservation of structure and catalytic activity

Acknowledgement of support

Fonds zur Förderung der wissenschaftlichen Forschung (FWF)
Projects No. 09942, 10578, 11065, 13093
13887, and 14898

Wiener Wissenschafts-, Forschungs- und Technologiefonds (WWTF)
Project No. Mat05

Jubiläumsfonds der Österreichischen Nationalbank
Project No. Nat-7813

European Commission: Contracts No. 98-0189, 12835 (NEST)

Austrian Genome Research Program – GEN-AU: Bioinformatics Network (BIN)

Österreichische Akademie der Wissenschaften

Siemens AG, Austria

Universität Wien and the Santa Fe Institute

Universität Wien

Coworkers

Universität Wien

Peter Stadler, **Bärbel M. Stadler**, Universität Leipzig, GE

Paul E. Phillipson, University of Colorado at Boulder, CO

Heinz Engl, Philipp Kügler, **James Lu**, **Stefan Müller**, RICAM Linz, AT

Jord Nagel, **Kees Pleij**, Universiteit Leiden, NL

Walter Fontana, Harvard Medical School, MA

Christian Reidys, **Christian Forst**, Los Alamos National Laboratory, NM

Ulrike Göbel, Walter Grüner, **Stefan Kopp**, **Jaqueline Weber,** Institut für Molekulare Biotechnologie, Jena, GE

Ivo L.Hofacker, **Christoph Flamm**, **Andreas Svrček-Seiler**, Universität Wien, AT

Kurt Grünberger, Michael Kospach , **Andreas Wernitznig**, **Stefanie Widder, Stefan Wuchty**, Universität Wien, AT

Jan Cupal, **Stefan Bernhart**, **Lukas Endler, Ulrike Langhammer**, **Rainer Machne, Ulrike Mückstein**, **Hakim Tafer, Thomas Taylor,** Universität Wien, AT

Web-Page for further information:

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