

1 Running title: El-Sayed and Suckling: Double-edged sword effect of HIPVC

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3 **First record of double-edged sword effect of caterpillar-induced plant volatiles in nature**

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12

13 **Abstract**

14 Plants release volatiles in response to caterpillar feeding that attract natural enemies of the  
15 herbivores, a tri-trophic interaction which has been considered an indirect plant defence against  
16 herbivores. The caterpillar-induced plant volatiles have been reported to repel or attract  
17 conspecific adult herbivores. Apple seedlings infested with *Pandemis pyrusana* larvae uniquely  
18 release five compounds (benzyl alcohol, benzyl nitrile, phenylacetaldehyde, indole, and (*E*)-  
19 nerolidol). These compounds and other known caterpillar-induced plant volatiles were tested to  
20 investigate the response of both herbivores and natural enemies. In field tests, binary blends of  
21 benzyl nitrile and acetic acid or 2-phenylethanol and acetic acid attracted a large number of  
22 conspecific male and female adult moths. On the other hand, a ternary blend of benzyl nitrile,  
23 2-phenylethanol and acetic acid attracted the largest numbers of the general predator, the  
24 common green lacewing, *Chrysoperla carnea*. This study provides the first record of  
25 caterpillar-induced plant volatile attraction to conspecific adult herbivores as well as predators  
26 under natural conditions.

27

28 **Keywords:** Caterpillar-induced plant volatiles, benzyl nitrile, 2-phenylethanol, acetic acid,  
29 *Pandemis pyrusana*, *Chrysoperla carnea*.

30

31 **Introduction**

32 Insect herbivory typically induces a change in the profile of volatile organic compounds released  
33 by the affected plants (Dicke and Baldwin 2010; Hare JD. 2011). Natural enemies of insect  
34 herbivores such as predators and parasitoids are attracted to these altered plant odours and as a  
35 consequence are better able to locate their herbivore hosts (Turlings et al. 1990; Alborn et al.  
36 1997; Yoshinaga et al. 2010). This tri-trophic relationship is considered an indirect plant defence  
37 strategy that recruits natural enemies that incapacitate the herbivores, resulting in higher plant  
38 fitness. In contrast, feeding by caterpillars on plants can result in contrasting behaviour by  
39 conspecific adult herbivores, in some plant species, volatiles induced by caterpillar feeding repel  
40 conspecific adult herbivores e.g. (De Moraes et al. 2001; Signoretti et al. 2012); while odours of  
41 other plant species infested with caterpillars can attract conspecific adults e.g. (Rojas 1999; Sun et  
42 al. 2014). This suggests two different paradigms for the role of herbivore-induced plant volatile  
43 compounds (HIPVC). In the first paradigm, HIPVC attract natural enemies and repel herbivores  
44 (single-edged sword effect), while in the second paradigm, HIPVC attract both natural enemies  
45 and herbivores (double-edged sword effect). The advantages in the first paradigm are theoretically  
46 sound because the ability of adult herbivores to detect and avoid oviposition on damaged plants  
47 would have several advantages including herbivore offspring avoiding competition for food  
48 resources, reducing the probability of encountering natural enemies, and avoiding increased host  
49 plant resistance with lower nutritional content (De Moraes et al. 2001). The discrepancies reported  
50 in several plant-insect systems in relation to the response of herbivores to HIPVC could simply be  
51 due to experimental problems and biased toward demonstrating the beneficial effects of HIPVC as  
52 an indirect plant defence strategy. In addition, most of these studies were designed to investigate  
53 individual response in multi-trophic systems under laboratory conditions, rather than focusing on  
54 the collective responses of herbivores and natural enemies under natural conditions.

55

56           Among the major tortricid pests in North American orchards are a suite of leafrollers that  
57           cause significant losses in fruit production. This includes the oblique-banded leafroller (OBLR),  
58           *Choristoneura rosaceana* (Harris), the eye-spotted bud moth (ESBM), *Spilonota ocellana* (Denis  
59           & Schiffermüller), and the Pandemis leafroller (PLR), *Pandemis pyrusana* (Kearfott). The PLR  
60           has a wide host range and occur in apple and pear orchards. These species have been considered  
61           important pests of apples in the western US and Canada (Deland et al. 1994). Understanding the  
62           tri-trophic relationship between host plants and both herbivores and natural enemies would enable  
63           a more effective semiochemical-based system to control these pests.

64           Apple seedlings uniquely released several compounds including acetic acid, acetic  
65           anhydride, benzyl alcohol, benzyl nitrile, indole, 2-phenylethanol, and (E)-nerolidol only when  
66           infested by larvae of light brown apple moth (LBAM), *Epiphyas postvittana* (Walker) (Suckling  
67           et al. 2012; El-Sayed et al. 2016). Recently, El-Sayed et al. 2016 found that a blend of the two  
68           HIPVC, benzyl nitrile and acetic acid attracted a significant number of conspecific male and  
69           female adult LBAM in New Zealand. Further investigation with other leafrollers (Tortricidae) in  
70           North America including the ESBM and OBLR revealed similar systems. Male and female adults  
71           of OBLR were most attracted to a blend of 2-phenylethanol and acetic acid. Our counter-intuitive  
72           results described in (El-Sayed et al. 2016) are the first identification of caterpillar-induced plant  
73           volatiles that attract (or repel) insect herbivores. The demonstration of biological activity of  
74           HIPVC in the attraction of conspecific adults in three tortricid species in two biogeographic  
75           regions different from the origin of the apple (*Malus*) suggests a widespread phenomenon.  
76           However, in the previous study, we did not report the response of natural enemies to HIPVC.

77           The present work was undertaken to investigate the response of apple trees to infestation  
78           with Pandemis leafroller, *P. pyrusana* larvae and to investigate the collective response of both  
79           adult herbivores and natural enemies to HIPVC under natural conditions, which is generally  
80           lacking from the literature. This study was expected to be a test case for either the double-edged

81 sword effect hypothesis (attraction of HIPVC to both natural enemies and herbivore), or single-  
82 edged sword effect hypothesis (attraction of HIPVC to natural enemies and repellence to  
83 herbivore).

## 84 **Materials and methods**

85 **Plants and Insects** Pandemis leafrollers. *P. pyrusana* (PLR) were obtained from a laboratory  
86 colony at Washington State University, Wenatchee, WA that was established in 1985 from  
87 larvae collected from Yakima, WA. This colony has been reared continuously since their  
88 collection on a pinto bean diet following the method of (Shorey and Hale 1965) under constant  
89 conditions of temperature ( $23 \pm 2$  °C), relative humidity (RH, 70%), photoperiod (16:8, L:D),  
90 and without exposure to insecticides. Neonate 4<sup>th</sup> instar PLR were transferred with a brush to  
91 new shoots on 2-year-old, potted ‘Fuji’ apple trees at the USDA Laboratory in Wapato, WA.  
92 Three to five larvae were transferred to each actively-growing shoot on several trees.

93 **Chemicals** Chemical purity of the standards used to identify the compounds in infested apple  
94 seedling headspace and used in the field experiments were as follows: Glacial acetic acid  
95 (99%), benzyl alcohol (99%), (E)-nerolidol (85%), benzyl nitrile (99%), phenylacetaldehyde  
96 (99%), 2-phenylethanol (99%), and indole (99%). Glacial acetic acid was stored under ambient  
97 temperature while all other compounds were stored at -20°C until used. All compounds were  
98 purchased from Sigma Aldrich (MO, USA).

## 99 **Air Entrainment of Volatiles Emitted by Apple seedlings infested with PLR Larvae**

100 Volatile collections from infested apple trees (cv. Red Jonaprince) with PLR larvae and  
101 uninfested apple trees were conducted in Yakima, USA using a dynamic headspace collection  
102 method, where air containing the odor was absorbed by a sorbent filter that was then extracted  
103 by solvent. Intact tree branches with either apple leaves infested with leafroller larvae or  
104 uninfested leaves were enclosed in a polyester oven bag (Glad NZ®, 35 cm × 50 cm). A

105 charcoal-filtered air stream was pulled over the enclosed leaves at 0.5 L/min, and the  
106 headspace volatiles were collected for 24 h on an adsorbent filter containing 50 mg of Tenax-  
107 GR 35/60 (Alltech Associates Inc.) in a 60 mm long  $\times$  6 mm diameter glass tube. For  
108 collection of control samples, a charcoal-filtered air stream was pulled through an empty oven  
109 bag in the same greenhouse. Samples were sealed and shipped in dry ice to Plant and Food  
110 Research (PFR) facility for GC/MS analysis. At the PFR lab, the Tenax filters were extracted  
111 with 0.5 ml of n-hexane (AnalaR BDH, Laboratory Supplies, Poole, UK). A sub-sample of 100  
112  $\mu$ l was reduced to 10  $\mu$ l at ambient temperature under a stream of argon and 1  $\mu$ l of the  
113 concentrated extract was injected in the GC/MS. Six volatile collection samples from infested  
114 and uninfested leaves and six control samples were sampled.

#### 115 **Analysis of Air-Entrainment Samples by Gas Chromatography/Mass Spectrometry**

116 **(GC/MS)** The concentrated extracts of the air-entrainment samples were analyzed using  
117 GC/MS (Varian 3800 GC coupled to a Varian 2200 MS). Helium was used as the carrier gas (1  
118 mL min<sup>-1</sup>), and injections were splitless for 0.6 min. Transfer line and ion trap temperatures  
119 were 250 and 180 °C, respectively. The GC injector temperature was set at 220 °C, and the  
120 oven ramp was 40 °C for 2 min, 4 °C min<sup>-1</sup> to 240 °C, hold for 10 min, and then 15 °C min<sup>-1</sup>  
121 to 260 °C, using a VF-5 MS capillary column (30 m  $\times$  0.25 mm inner diameter  $\times$  0.25  $\mu$ m film;  
122 and a polar 30 m  $\times$  0.25 mm i.d.  $\times$  0.5  $\mu$ m, VF23-MS capillary column; Varian, Inc., Walnut  
123 Creek, CA). A 1  $\mu$ L aliquot was injected after first concentrating 100  $\mu$ L of each sample to ca.  
124 10  $\mu$ L with a gentle stream of argon. The spectra were recorded at an ionization voltage of 70  
125 eV over a mass range mass-to-charge ( $m/z$ ) of 20 to 499. Kovats retention indexes (KI) were  
126 calculated for the compounds (El-Sayed 2016) (Table 1). Structural assignments of the  
127 compounds were made by comparing their mass spectra with the MS library (NIST 2002), as  
128 well as by comparison to Kovats retention indices published in the literature (El-Sayed 2016).  
129 Identification of volatiles was confirmed by comparison to authentic samples.

130 **Field Experiments** The two field experiments were conducted in a mixed varieties apple  
131 orchard in Washington, USA. Large white delta traps (Pherocon VI, Trécé Inc, Adair, OK)  
132 were used in the two trials. For each treatment, 100  $\mu$ l of neat chemical were pipetted into a  
133 5  $\times$  5 cm polyethylene sachet with a thickness of 100  $\mu$ m containing a rectangular piece of  
134 wool felt (4  $\times$  2 cm<sup>2</sup>). Acetic acid dispenser were made by pipetting 3 ml of glacial acetic  
135 acid in a 5 ml polyethylene vial with 3 mm bore size in the vial lid (Thermo Fisher Scientific,  
136 New Zealand). Traps baited with different treatment blends of HIPV compounds in five  
137 replicates were assigned in five rows, each containing treatments tested in a randomized block  
138 design. Traps were positioned 1.7 m above the ground in each trap tree, and were spaced 20 m  
139 apart in each row. The polyethylene sachets and the vial contain acetic acid were placed in the  
140 center of the sticky base in the. The first field experiment was conducted between from 1-  
141 15 August 2104 in organic apple orchard (46°17'21.08"N; 119°37'0.15"W) to investigate binary  
142 and ternary blends of HIPVC and active compound obtained in previous study (El-Sayed et al.  
143 2016). The loadings of the five HIPV blends were prepared as follows: 1) 100 mg benzyl  
144 nitrile + 3mL acetic acid; 2) 100 mg 2-phenyethanol + 3 mL acetic acid; 3) 100 mg  
145 phenylacetaldehyde + 3 mL acetic acid; 4) 100 mg benzyl nitrile, 100 mg 2-phenyethanol +  
146 3mL acetic acid; 5) 100 mg benzyl nitrile, 100 mg phenylacetaldehyde + 3mL acetic acid; 6)  
147 100 mg 2-phenyethanol, 100 mg phenylacetaldehyde + 3mL acetic acid; 7) 100 mg benzyl  
148 nitrile, 100 mg 2-phenyethanol, 100 mg phenylacetaldehyde + 3mL acetic acid. A trap baited  
149 with 3mL of acetic acid alone and a blank lure were used as controls. The second field  
150 experiment was conducted from 30 August to 2 September 2104 in a conventional apple  
151 orchard (46°42'28.52"N; 120°39'35.33"W) testing the same treatments and using the same  
152 protocol.

153 **Data Analysis** The variance of mean captures obtained with each compound or each blend of  
154 compounds was stabilized using  $\sqrt{x + 1}$  of counts for tests of significance of treatments using

155 ANOVA. Significantly different treatment means were identified using Tukey test was used to  
156 identify significantly different means (SAS Institute Inc. 1998).

## 157 **Results**

158 **Volatiles emitted by uninfested and PLR larval infested apple trees** Analysis of the  
159 headspace of uninfested and infested apple trees indicated qualitative differences in odour  
160 profiles. We identified a total of 10 compounds in the headspace of uninfested apple trees, and  
161 15 compounds in the headspace of the infested apple trees (Table 1). Five compounds (benzyl  
162 alcohol, benzyl nitrile, phenylacetaldehyde, indole, and (*E*)-nerolidol) were present only in the  
163 headspace of infested apple trees. In addition to the qualitative differences, infestation of apple  
164 trees with PLR larvae resulted in a change in the ratio of the compounds emitted from infested  
165 apple seedlings (Table 1). In contrast to our previous study (El-Sayed et al. 2016), 2-  
166 phenylethanol was not detected in the headspace of infested apple trees. Benzyl alcohol,  
167 indole, and (*E*)-nerolidol were not tested in this study because of the lack of activity in  
168 previous studies (El-Sayed et al. 2016, El-Sayed unpublished).

169 **Attraction of herbivore and predator to HIPVC** The composition of the HIPVC blends  
170 significantly affected the number of PLR males and females (Treatment,  $F_{7,32} = 2.9$ ,  $P < 0.02$   
171 for male, and  $F_{7,32} = 6.7$ ,  $P < 0.001$  for female) and adult lacewings, *Chrysoperla carnea*  
172 (Stephens) captured (Treatment,  $F_{2,28} = 4.4$ ,  $P < 0.03$ ). The numbers of male moths captured in  
173 traps baited with blends containing either or both of benzyl nitrile, 2-phenylethanol plus acetic  
174 acid were significantly higher than traps baited with acetic acid alone (Fig. 1). Similarly, the  
175 largest numbers of females were caught in traps baited with binary, ternary, and quaternary  
176 blends containing either or both of benzyl nitrile, 2-phenylethanol + acetic acid (Fig. 1). In  
177 contrast to herbivores, the largest number of adult lacewings were caught in traps baited with  
178 the ternary blend containing benzyl nitrile, 2-phenylethanol plus acetic acid (Fig. 2). The



179 lowest catch of lacewings was in traps baited with benzyl nitrile plus acetic acid, while no  
180 insects were caught in traps baited with acetic acid alone (Fig. 2).

## 181 **Discussion**

182 Qualitative and quantitative differences in the emission of volatile organic compounds (VOCs)  
183 were observed between apple trees infested with PLR larvae and uninfested apple trees.  
184 Infested plants uniquely produce the five VOCs benzyl alcohol, benzyl nitrile,  
185 phenylacetaldehyde, indole, and (*E*)-nerolidol. All five compounds were minor, where terpenes  
186 were the most dominant compounds in the headspace of infested apple trees. In contrast to  
187 apple trees infested with OBLR and ESBM larvae, 2-phenylethanol was not observed in the  
188 headspace of apple trees infested with PLR. Acetic acid and acetic anhydride were reported in  
189 the headspace of apple tree infested with LBAM larvae (El-Sayed et al. 2016). In this study we  
190 could not verify the presence of these two compounds because of the limitations of the  
191 technique used to collect headspace volatiles. The selection of the four compounds benzyl  
192 nitrile, 2-phenylethanol, phenylacetaldehyde, and acetic acid was based on chemical analysis  
193 conducted in this work and in our previous study (El-Sayed et al. 2016).

194 A binary blend of benzyl nitrile + acetic acid, or 2-phenylethanol + acetic acid was the  
195 most attractive blend to PLR males and females. A combination of these two compounds +  
196 acetic acid did not result in a significant increase in the number of males and females captured.  
197 Similarly, these two blends were the most attractive for other leafrollers including ESBM and  
198 OBLR (El-Sayed et al. 2016). PLR responds to 2-phenylethanol in spite of the fact it was not  
199 present in the headspace of infested apple trees. This could be due to two reasons: 1) PLR is a  
200 polyphagous species that feeds on many hosts, and 2-phenylethanol could be produced when  
201 PLR larvae feed on other host plants than apple; and 2) Ability of PLR adults to eavesdrop on  
202 other leafroller species that share the same host plants as OBLR and ESBM. The catch of

203 females in traps baited with HIPV compounds was four to five-fold higher than the catches of  
204 males. This could reflect the sex ratio of the PLR population during the trial, in our previous  
205 work the sex ratio was almost even (El-Sayed et al. 2016). Previous work with LBAM  
206 indicated that the majority of captured females were mated, suggesting that these females were  
207 seeking ovipositor sites (El-Sayed et al. 2016)

208         The general predator, the common green lacewing, *C. carnea* was attracted to the same  
209 HIPVC that attracted con-specific adult herbivores including benzyl nitrile, 2-phenylethanol,  
210 and acetic acid. In contrast to conspecific herbivores, a ternary blend of benzyl nitrile + 2-  
211 phenylethanol + acetic acid attracted the largest number of *C. carnea*. However *C. carnea*  
212 responded also to a binary blend of benzyl nitrile + acetic acid, or 2-phenylethanol + acetic  
213 acid, which demonstrates the unspecific response of *C. carnea* to HIPVC. Our results show  
214 that HIPVC identified from infested apple trees attracted both a general predator and  
215 conspecific adult herbivores thus confirming the double-edged sword effect hypothesis in the  
216 system studied here. Similarly, *Nicotiana attenuate* (Torr. ex S. Watson) plants use the same  
217 defensive chemical signal to attract both herbivores and a general predator (Halitschke et al.  
218 2008). In this study, the generalist predator, *Geocoris pallens* (Stål) showed unspecific  
219 response to HIPVC emitted from infested *N. attenuate* plants (Halitschke et al. 2008).

220         The attractive nature of the HIPVC to the generalist predators or specialized parasitoids  
221 has been well documented in many plant-insect systems (Dicke and Baldwin 2010). However,  
222 there is a discrepancy in the literature regarding the response of adult herbivories to plants  
223 infested with conspecific larvae. In some cases, adult herbivores were attracted to plants  
224 infested with larvae (Rojas 1999; Sun et al. 2014; Anderson and Alborn 1999; Shiojiri and  
225 Takabayashi 2003) while other herbivores were deterred by infested plants (De Moraes et al.  
226 2001; Signoretti et al. 2012; Reisenman et al. 2013). The discrepancy reported in several plan-

227 insect systems in relation to the response of herbivores to HIPVC could simply be due to due  
228 to experimental problems in demonstrating the beneficial effects of HIPVC as an indirect plant  
229 defence strategy. In addition, most of these studies were designed to investigate individual  
230 response in multi-tropic systems under laboratory conditions rather than focusing on the  
231 collective responses under natural conditions. The potency of the binary blends in attracting  
232 conspecific adults in our study raises an important question, what are the advantages for  
233 conspecific adult herbivores to be attracted to infested plants? Infested plants might be more  
234 favourable oviposition sites because plant resistance may be much lower and survival higher  
235 than with healthy uninfested plants (Halitschke et al. 2008; Anderson and Alborn 1999). The  
236 attraction of males to HIPVC could be due either to the presence of females in the traps or that  
237 the probability of encountering a mate would be higher at infested plants compared to  
238 uninfested plants.

239         The three compounds (benzyl alcohol, benzyl nitrile, and phenylacetaldehyde)  
240 identified in infested leaves are well known floral volatiles and this will result in the attraction  
241 of wide range of heterospecific herbivores as well as flower visitors (El-Sayed 2016). In  
242 addition, the attraction of conspecific adult herbivores to HIPVC would raise an important  
243 question regarding the indirect defence function of these compounds. Therefore, an integrative  
244 approach to characterize all advantages and disadvantages of these compounds for the plants is  
245 still required.

246         The finding of this study demonstrates two opposite functions of HIPVC under natural  
247 conditions. We anticipate this might have a negative impact on the application of these  
248 compounds in pest management of these important herbivores. To alleviate this negative  
249 effect, it might be possible to include other factors (e.g. other compounds and application  
250 during specific periods) that would allow these compounds to specifically target herbivores

251 while preventing the attraction of natural enemies. On the other hand, it might be possible to  
252 target the predator by inclusion of other compounds that are inhibitory to herbivores.

253         This study is the first to identify HIPVC that directly attract both herbivore and a  
254 natural enemy under natural conditions. This result indicates that the paradigm regarding tri-  
255 trophic interactions may not be as well understood as presumed previously. Significantly large  
256 number of PLR females and adult *C. carnea* were caught in traps baited with HIPVC. Such  
257 numbers have never been reported before for any tortricid female. This finding, together with  
258 our recently published results with other species (El-Sayed et al. 2016) indicates that this  
259 phenomena is widespread among leaf-feeding moths.

260

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**Table 1.** Relative amounts (%  $\pm$ SEM) of the compounds identified in the headspace of uninfested apple seedlings and apple seedlings infested with *P. pyrusana* larvae.

Compound	RI <sup>1</sup>	Dynamic headspace Relative amounts (%) <sup>2</sup>	
		Uninfested	Infested
Z3-hexenyl acetate	1006	6.8 $\pm$ 1.06	8.41 $\pm$ 0.79
Benzyl alcohol	1037	nd	1.98 $\pm$ 0.35
Phenylacetaldehyde	1048	nd	1.21 $\pm$ 0.41
( <i>E</i> )- $\beta$ -ocimene	1101	4.3 $\pm$ 0.21	5.92 $\pm$ 0.67
Linalool	1107	3.67 $\pm$ 1.18	6.54 $\pm$ 1.7
( <i>E</i> )-4,8-dimethyl-1,3,7-nonatriene	1116	8.43 $\pm$ 3.47	2.34 $\pm$ 0.43
Benzyl nitrile	1146	nd	0.47 $\pm$ 0.28
Methyl salicylate	1195	7.67 $\pm$ 1.16	2.33 $\pm$ 0.83
Indole	1288	nd	0.70 $\pm$ 0.46
$\beta$ -caryophyllene	1423	2.61 $\pm$ 0.82	2.46 $\pm$ 0.44
Germacrene D	1486	6.76 $\pm$ 1.18	4.27 $\pm$ 0.66
( <i>Z,E</i> )- $\alpha$ -farnesene	1493	9.64 $\pm$ 0.78	4.18 $\pm$ 1.63
( <i>E,E</i> )- $\alpha$ -farnesene	1507	49.34 $\pm$ 5.04	56.58 $\pm$ 2.83
( <i>E</i> )-nerolidol	1564	0	1.33 $\pm$ 0.75
Z3-hexenyl benzoate	1575	0.78 $\pm$ 0.51	1.28 $\pm$ 0.36

<sup>1</sup> Kovats Retention Index (VF5-MS capillary column)

<sup>2</sup> Percentage of total volatiles produced is given as mean area of the GC peaks followed by the standard error (n = 6).

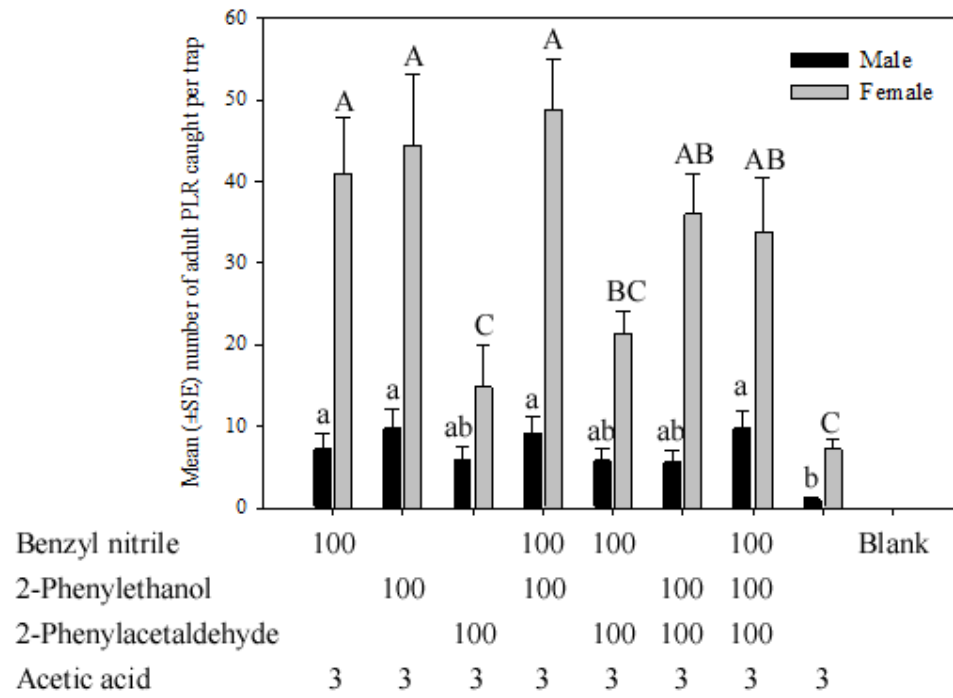
nd: not detected



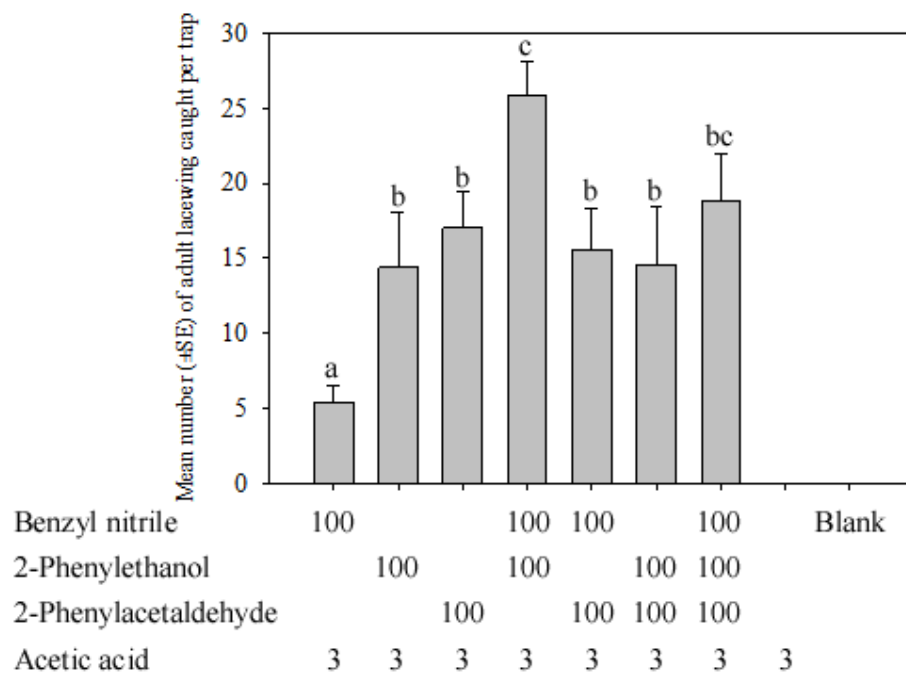
## Figure Legend

**Figure 1.** Mean ( $\pm$ SE) of the total number of adult male and female *Pandemis pyrusana* (Tortricidae) caught in traps baited with binary, ternary and quaternary blends of HIPVC. Loadings of the first three compounds are in mg, whereas the loading of acetic acid is in mL. Treatments labelled with the same case letters are not significantly different ( $P > 0.05$ , Tukey test).

**Figure 2.** Mean ( $\pm$ SE) of the total number of adult *Chrysoperla carnea* (Neuroptera) caught in traps baited with binary, ternary and quaternary blends of HIPVC. Loadings of the first three compounds are in mg, whereas the loading of acetic acid is in mL. Treatments labelled with the same case letters are not significantly different ( $P > 0.05$ , Tukey test).



**Figure 1**



**Figure 2**