Insights into Origin and Evolution of α-proteobacterial Gene Transfer Agents

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1 Abstract

Several bacterial and archaeal lineages produce nanostructures that morphologically resemble

small tailed viruses, but, unlike most viruses, contain apparently random pieces of the host

genome. Since these elements can deliver the packaged DNA to other cells, they were dubbed

Gene Transfer Agents (GTAs). Because many genes involved in GTA production have viral

homologs, it has been hypothesized that GTA ancestor was a virus. Whether GTAs represent

an atypical virus, a defective virus, or a virus co-opted by the prokaryotes for some function,

remains to be elucidated. To evaluate these possibilities, we examined the distribution and

evolutionary histories of genes that encode a GTA in the α-proteobacterium *Rhodobacter*

capsulatus (RcGTA). We report that although homologs of many individual RcGTA genes are

abundant across bacteria and their viruses, RcGTA-like genomes are mainly found in one

subclade of α-proteobacteria. When compared to the viral homologs, genes of the RcGTA-like

genomes evolve significantly slower, and do not have higher %A+T nucleotides than their host

chromosomes. Moreover, they appear to reside in stable regions of the bacterial chromosomes

that are generally conserved across taxonomic orders. These findings argue against RcGTA

being an atypical or a defective virus. Our phylogenetic analyses suggest that RcGTA ancestor

likely originated in the lineage that gave rise to contemporary α-proteobacterial orders

Rhizobiales, Rhodobacterales, Caulobacterales, Parvularculales, and Sphingomonadales, and

since that time the RcGTA-like element has co-evolved with its host chromosomes. Such

evolutionary history is compatible with maintenance of these elements by bacteria due to some

selective advantage. As for many other prokaryotic traits, horizontal gene transfer played a

substantial role in the evolution of RcGTA-like elements, not only in shaping its genome

components within the orders, but also in occasional dissemination of RcGTA-like regions

across the orders and even to different bacterial phyla.

1. Introduction

Prokaryotes are hosts not only of their own genetic material, but also of the mobile genetic elements, a broad class of entities that includes integrated viruses (prophages) (Frost et al. 2005). Traditionally, viruses are viewed as selfish genetic elements, but in some instances they can serve as vectors of horizontal gene exchange (HGT) (Touchon et al. 2017), an important driver of evolutionary success of many cellular lifeforms (Koonin 2016; Zhaxybayeva & Doolittle 2011). In other instances, prophage-like elements can provide immunity against other viruses (Canchaya et al. 2003), and therefore are beneficial to their host. While the evolutionary relationship between viruses and cellular lifeforms is still intensely debated, co-option of genes by both empires is likely frequent (Krupovic & Koonin 2017). For example, a few bacteria and archaea encode genes for elements that resemble viral parts and are used for prokaryotic warfare and microbe-animal interactions (Bobay et al. 2014; Borgeaud et al. 2015; Sarris et al. 2014; Shikuma et al. 2014; Touchon et al. 2014). In other instances, viral components appear to have originated from the cellular proteins (Krupovic & Koonin 2017). Such intertwined history of genes from cellular and non-cellular lifeforms resulted in a spectrum of genetic elements that, from the cellular host "point of view", span from parasitic to benign to beneficial.

One class of such genetic elements is yet to be placed in this spectrum. Several unrelated bacterial and archaeal lineages are observed to produce particles that morphologically resemble viruses, yet appear to carry random pieces of host DNA instead of their own viral genome (Berglund et al. 2009; Bertani 1999; Humphrey et al. 1997; Marrs 1974; Rapp & Wall 1987). These particles were shown to transfer DNA between cells through a transduction-like mechanism (Lang et al. 2012; Mcdaniel et al. 2010), and that's why they were dubbed "Gene Transfer Agents" (GTAs) (Marrs 1974). Since the transferred DNA may benefit

the recipient cells - for example, it has been proposed that the incoming DNA could be used to

repair damaged DNA (Marrs et al. 1977) - GTAs were postulated to be viruses that were

"domesticated" by prokaryotes (Bobay et al. 2014) and maintained by them as a mechanism of

HGT (Lang et al. 2012). Yet, the details of such co-option event as well as impact of the GTA-

mediated HGT remain to be deciphered, and alternatives, such as GTA being instead a

defective or atypical virus, need to be evaluated.

The laboratory studies of one of the known GTAs - *Rhodobacter capsulatus*' GTA (or

RcGTA for short) - show that this element neither has a typical genome of a bacterial virus nor

acts like a typical lysogenic virus. Its genome is distributed across five loci dispersed across the

R. capsulatus chromosome (Hynes et al. [2016] and **Figure 1A**). Seventeen of the genes are

found in a single locus that has a genomic architecture typical of a siphovirus (Lang & Beatty

2007). The majority of the genes in the locus encode structural components of the RcGTA

particle (Chen et al. 2009) and are thus referred to as the structural cluster. The remaining four

loci contain seven genes shown to be important for RcGTA production, release, and DNA

transfer (Fogg et al. 2012; Hynes et al. 2012, 2016; Westbye et al. 2015). Even if RcGTA would

preferentially package the regions of DNA that correspond to its own genome, the RcGTA

particle head size is too small to fit more than ~1/5 of the genome (Lang et al. 2017), and

therefore RcGTA can propagate itself only with the division of the host cell, as a "resident" of the

host chromosome. Expression of the RcGTA genes, as well as production and release of

RcGTA particles, is known to be triggered by various factors, such as phosphate concentration

(Leung et al. 2010; Westbye et al. 2013), salinity (McDaniel et al. 2012), and quorum sensing

(Brimacombe et al. 2013; Schaefer et al. 2002). The latter is regulated via CckA-ChpT-CtrA

phosphorelay (Leung et al. 2012; Mercer & Lang 2014), one of the widely used signal

transduction systems in bacteria that also controls other important cellular functions, such as the

cell cycle (Chen & Stephens 2007; Mann et al. 2016) and flagellar motility (Zan et al. 2013).

These observations suggest that RcGTA is under control of the bacterial host and is well-

integrated with the host's cellular systems. When did such integration occur? Could RcGTA still

represent a selfish genetic element? Based on limited genomic data available at the time,

previous studies have inferred that RcGTA-like element was already present in the last common

ancestor of all α-proteobacteria (Lang et al. 2002; Lang & Beatty 2007). Through phylogenomic

analyses of a much more extensive genomic data set, we show that α-proteobacterial GTA is a

virus-related element whose genome evolves differently from what is expected of a typical

bacterial virus. We also infer that the RcGTA progenitor was likely absent in the last common

ancestor of α-proteobacteria. Instead, we find that RcGTA-like elements are ubiquitous within an

α-proteobacterial subclade that gave rise to at least five contemporary taxonomic orders. The

phylogenetic histories of RcGTA-like structural cluster genes suggest that the evolution of this

element within this subclade was shaped by both vertical descent and HGT.

2. Methods

Detection of RcGTA homologs in viruses and bacteria

Twenty-four genes from the RcGTA genome and its homologs from *Rhodobacterales*

were used as queries in BLASTP searches (E-value < 0.001; query and subject overlap by at

least 60% of their length) and PSI-BLAST searches (E-value < 0.001; query and subject overlap

by at least 40% of their length; maximum of 6 iterations) against viral and bacterial databases

using BLAST v2.2.30+ (Altschul et al. 1997). The viral database consisted of 1,783 genomes of

dsDNA bacterial viruses extracted from the RefSeq database (release 76; last accessed on July

1, 2016) using "taxid=35237 AND host=bacteria" as a query. Bacterial RefSeq database

(release 76; last accessed on June 29, 2016) and 255 completely sequenced α-proteobacterial

genomes (**Supplementary Table S1**; genomes downloaded from

ftp://ftp.ncbi.nlm.nih.gov/genomes/Bacteria/ on November 1, 2015) served as two bacterial

databases. The detected RefSeq homologs were mapped to their source genomes using

"release76.AutonomousProtein2Genomic.gz" file (ftp.ncbi.nlm.nih.gov/refseq/release/release-

catalog/, last accessed on June 29, 2016).

Assignment of genes to viral gene families

All annotated protein-coding genes from 255 α-proteobacterial genomes were used as

queries in BLASTP searches (E-value < 0.001; query and subject overlap by at least 40% of

their length) against the POG (Phage Orhologous Group) database (Kristensen et al. 2013),

which was downloaded from ftp://ftp.ncbi.nlm.nih.gov/pub/kristensen/thousandgenomespogs/

blastdb/ in February 2016. The genes were assigned to a POG family based on the POG

affiliation of the top-scoring BLASTP match.

Identification of RcGTA homologs adjacency in the bacterial genomes

Relative position of RcGTA homologs in the genome was calculated from genome

annotations in the GenBank feature tables downloaded from ftp.ncbi.nlm.nih.gov/genomes/all/

on June 29, 2016. Initially, a region of the genome was classified as putative RcGTA-like region

if it had at least one RcGTA homolog. The identified regions were merged if two adjacent

regions were separated by < 15 open reading frames (ORFs). If the resulting merged region

contained at least nine RcGTA homologs, it was designated as a large cluster (LC). The

remaining regions were labeled as small clusters (SC).

Examination of viral characteristics of RcGTA-like genes and regions

Prophage-like regions in 255 α-proteobacterial genomes were detected using PhiSpy v2.3 (Akhter et al. 2012) with "-n=5" (at least 5 consecutive prophage genes), "-w=30" (a window size of 30 ORFs), and "-t=0" ("Generic Test Set") settings. An RcGTA-like region was classified as a putative prophage if it overlapped with a PhiSpy-detected prophage region.

For both large and small clusters, %G+C of the corresponding nucleotide sequence (defined as DNA sequence between the first and last nucleotide of the first and last RcGTA homolog of the region, respectively) was calculated using in-house Python scripts. The relative difference in GC content of the RcGTA-like region and the whole host genome was calculated by taking the difference in their %G+C and dividing it by the %G+C of the host genome. This correction allowed us to compare changes in the GC content of the RcGTA-like regions among genomes with variable GC contents. To account for possible heterogeneity of GC content within each genome, 100 genomic regions of the same size were randomly selected from the genome, their relative GC content calculated as described above and compared to that of the RcGTA-like region(s) using pairwise t-test.

To assess the rate of evolution of RcGTA-like structural genes, pairwise phylogenetic distances (PPD) were examined among RcGTA homologs in viruses, and large and small clusters. The PPDs were calculated using RAxML v8.1.3 (Stamatakis 2014) with PROTGAMMAAUTO option, which selects the best amino acid substitution model and uses Γ distribution with four discrete rate categories to correct for among site rate variation (Yang 1994).

Identification of gene families

Gene families in 255 α-proteobacterial genomes were detected using OrthoMCL v2.0.9 (Li 2003). Specifically, all protein-coding sequences were subjected to all-against-all BLASTP searches (v2.2.30+, E-value < 0.0001), in which reciprocal top-scoring BLASTP matches were retained. The bit scores of the matches were converted to pairwise distances, which were used to form gene families via Markov clustering with the inflation parameter set to 1.2 (van Dongen 2000). The presence/absence of genes in the resulting 33,048 gene families were used to estimate gene family conservation across α-proteobacteria and to characterize the conservation of regions that flank GTA-like regions.

Characterization of immediate gene neighborhoods of small and large clusters

ORFs without detectable similarity to RcGTA genes, but found immediately upstream, downstream, or within structural cluster, were classified based on (a) conservation within α-proteobacterial genomes and (b) potential viral origin. As a proxy for conservation, we used gene family abundance in 255 α-proteobacterial genomes, calculated as the proportion of unique genomes to which an ORF belongs. The ORF was designated as viral if it was assigned to a POG.

Reference phylogeny of α-proteobacteria

From the list of 104 genes families used to reconstruct α-proteobacterial phylogeny (Williams et al. 2007), 99 gene families that are present in 80% of the 255 α-proteobacterial genomes were selected (**Supplementary Table S2**). For each gene family, eight taxa from other groups within *Proteobacteria* were added as outgroup (*Geobacter sulfurreducens* PCA,

Ralstonia solanacearum GMI1000, *Chromobacterium violaceum* ATCC 12472, *Xanthomonas*

axonopodis pv citri str 306*, Pseudomonas aeruginosa* PAO1*, Virbrio vulnifucus* YJ016*,*

Pasteurella multocida subsp *multocida* str Pm70, *Escherichia coli* str. K12 substr. DH10B). The

amino acid sequences of the resulting gene families were aligned using MUSCLE v3.8.31

(Edgar 2004). For each gene family, the best substitution model (listed in **Supplementary**

Table S2) was selected using *ProteinModelSelection.pl* script downloaded from http://sco.h-

its.org/exelixis/resource/download/software/ProteinModelSelection.pl in August 2016.

Additionally, among site rate variation was modeled using Γ distribution with four rate categories

(Yang 1994). All gene families were combined into a single dataset with 99 data partitions, one

partition per gene family. The maximum likelihood phylogenetic tree was reconstructed in

RAxML v8.1.3 (Stamatakis 2014), using the best substitution model for each partition and 20

independent tree space searches. One hundred bootstrap samples were analyzed as described

above, and the bootstrap support values > 60% were mapped to the maximum likelihood tree.

To obtain reference phylogeny of only LC-containing taxa, the branches corresponding to taxa

that have only SCs were pruned from the full reference phylogeny.

Phylogenetic analysis of the large-cluster gene families

Knowing that phylogenetic histories of many RcGTA homologs were poorly resolved in

Rhodobacterales (Hynes et al. 2016), we combined amino acid sequences of LC gene families

into one "LC-locus" dataset in order to increase the number of phylogenetically informative sites.

To ensure that such concatenation does not result in a mixture of genes with different

evolutionary histories, we compared phylogenetic trees reconstructed from the alignments of

individual LC genes and of the concatenated LC-locus. Amino acid sequences of gene families

consisting of LC homologs from α-proteobacterial genomes were aligned using MUSCLE

v3.8.31 (Edgar 2004). The individual gene family alignments were concatenated into the "LC-

locus" alignment. Since many LCs do not have homologs of all RcGTA structural genes, in the

concatenated alignment the absences were designated as missing data (Stamatakis 2014)

Additionally, "taxa-matched" LC-locus alignments (*i.e.* concatenated alignments pruned to

contain only taxa found in a specific LC gene family) were created. Maximum likelihood trees

were reconstructed from the concatenated and individual LC gene alignments, as well as from

the taxa-matched LC-locus alignments, using RAxML v.8.2.9 (Stamatakis 2014) under the LG+Γ

substitution model (Le & Gascuel 2008; Yang 1994). The LG model was determined as the best

substitution model for each individual gene set using the PROTGAMMAAUTO option of RAxML

v.8.2.9 (Stamatakis 2014). For each LC gene, consensus trees were reconstructed from 10

bootstrap samples of taxa-matched LC-locus alignments. These consensus trees were

compared to 100 bootstrap sample trees for the corresponding LC gene. The congruence

between the phylogenies was measured using relative "Tree Certainty All" (TCA) values

(Salichos et al. 2014), as implemented in RAxML v.8.2.9 (Stamatakis 2014). The TCA values

were classified into three categories: "strongly conflicting" (-1.0 ≤ TCA ≤ -0.7), "moderately

conflicting" (-0.7 < TCA < 0.7) and "not conflicting" (0.7 ≤ TCA ≤ 1.0). None of the individual LC

gene phylogenies had strongly conflicting TCA values, although 6 out of 17 LC gene

phylogenies had moderately conflicting values (**Supplementary Table S3**). Since an uncertain

position of just one taxon can affect support values of multiple bipartitions (Aberer et al. 2013)

and TCA values calculated from them, we also carried out a Site Specific Placement Bias

(SSPB) analysis (Berger et al. 2011), as implemented in RAxML v8.2.9 (Stamatakis 2014). The

LC-locus phylogeny and the LC-locus alignment were used as the reference tree and the input

sequence alignment, respectively. The sliding window size was set to 100 amino acids. The

SSPB analysis revealed that for 15 of the 17 genes only three nodes, on average, separate the

optimal positions of each taxon in the gene and LC-locus phylogenies, indicating largely

compatible evolutionary histories of individual LC genes and of their combination

(**Supplementary Figure S1**). Consequently, we decided to use the combined, taxa-matched

LC-locus alignment for further phylogenetic analyses.

To assess the similarity of the evolutionary histories of LC loci and of their hosts, we

compared the topologies of the reference α-proteobacterial tree to 100 bootstrap sample trees

reconstructed from the taxa-matched LC-locus alignment assembled as described above. The

congruence was quantified using Internode Certainty (IC) values (Salichos et al. 2014), as

implemented in RAxML v.8.2.9 (Stamatakis 2014). Similar to the TCA value classification, the IC

values were classified into three categories: "strongly conflicting" ($-1.0 \leq IC \leq -0.7$), "moderately

conflicting" ($-0.7 < IC < 0.7$) and "not conflicting" ($0.7 \leq IC \leq 1.0$).

Conservation of gene neighborhoods across phylogenetic

distance

Forty ORFs upstream and downstream of ATP synthase operon, ribosomal protein

operon, and LCs were extracted from 87 α-proteobacterial genomes that contain at least one

LC. The same procedure was performed for a transposase from IS3/IS911 family, which was

detected in 18 of the 87 genomes. Each ORF was assigned to a gene family, and the pairwise

conservation of the corresponding flanking regions was calculated as a proportion of gene

families shared between two genomes. PPDs of 16S rRNA genes were used as a proxy for time

t. 16S rRNA genes were aligned against the GreenGenes database (Desantis et al. 2006) (last

accessed in August 2016) using mothur v.1.35.1 (Schloss et al. 2009). The PPDs were

calculated from the alignment using RAxML v8.1.3 (Stamatakis 2014) under GTR+Γ substitution

model. Based on *model 3* from (Rocha 2006), the gene neighborhood decay was modeled as p^t,

where *p* is the probability of the 40 ORFs to remain in the same genomic region and *t* is time.

This model assumes that every gene has equal probability of separating from the region. The

parameter *p* was estimated, and the fit between the model and data was assessed using non-

linear least squares method (Bates & Watts 1988), as implemented in the *nls* R function.

Examination of genes that flank RcGTA-like clusters in non-α-proteobacterial genomes

Amino acid sequences of five ORFs upstream and downstream of the RcGTA-like

clusters in the genomes of actinobacteria *Streptomyces purpurogeneiscleroticus* NRRL B-2952

(GenBank accession number LGEI00000000.1;(Ju et al. 2015)) and *Asanoa ferruginea* NRRL

B-16430 (LGEJ00000000.1; (Ju et al. 2015)), a γ-proteobacterium *Pseudomonas bauzanensis*

W13Z2 (JFHS00000000.1; (Wang et al. 2014)), and a cyanobacterium *Scytonema millei*

VB511283 (JTJC00000000.1; (Sen et al. 2015)) were searched against the database of protein-

coding genes of 255 α-proteobacterial genomes using BLASTP (E-value < 0.001; query and

subject overlap by at least 60% of their length). In *P. bauzanensis* and *S. millei* three genes

(*kpdE*, *pbpC*, *dnaJ*) were found to share similarity with genes observed near RcGTA-like

regions in α-proteobacteria. To examine evolutionary histories of these three genes, their

homologs from other cyanobacteria and γ-proteobacteria were identified by BLASTP searches

of γ-proteobacteria and cyanobacteria present in the *nr* database

(https://blast.ncbi.nlm.nih.gov/Blast.cgi, last accessed on October 31, 2016; E-value < 0.001;

query and subject overlap by at least 60% of their length) using KpdE, PbpC, DnaJ homologs

from *P. bauzanensis*, *S. millei* and α-proteobacteria as queries. For each of the three gene sets,

four homologs from each identified taxonomic group were selected and combined with all

available homologs from LC-containing α-proteobacteria. The amino acid sequences of the

combined data sets were aligned using MUSCLE v3.8.31 (Edgar 2004). Maximum likelihood

trees were reconstructed using FastTree v2.1.8 (Price et al. 2010) under JTT+Γ substitution

model. The trees were visualized and annotated using EvolView (He et al. 2016)

(, last accessed on November 13, 2016).

2 Identification of CRISPR/*Cas* defense systems

Spacers of the Clustered Regularly Interspaced Short Palindromic Repeats (CRISPRs)

were identified by scanning 255 α-proteobacterial genomes for both CRISPR leader sequences

and repeat structures using CRISPRleader v1.0.2 (Alkhnbashi et al. 2016) and PILER-CR v1.06

(repeat length between 16 and 64; spacer length between 8 and 64; minimum array length of 3

repeats; minimum conservation of repeats 0.9; minimum repeat length ratio 0.9; minimum

spacer length ratio 0.75) (Edgar 2007), respectively. Additionally, CRISPR-associated proteins

were identified by searching protein-coding gene annotations for the presence of the words

"CRISPR" or "Cas" in combination with *Cas* family annotations from (Makarova et al. 2015).

Genomes were designated to have putative functional CRISPR/*Cas* systems if both CRISPR

spacer arrays and CRISPR-associated proteins were present. Spacer sequences from these

putatively functional CRISPR systems were used as BLASTN (v.2.4.0+; E-value<10; task =

tblastn-short) queries against all gene sequences in LCs.

15 Identification of decaying RcGTA structural cluster homologs

16   The nucleotide sequences of LC and SC regions were extracted from each genome and

17 translated in their entirety into all six reading frames. RcGTA structural cluster genes were used

18 as BLASTP (v2.4.0+, e-value ≤ 0.001) queries in searches against the database of translated

19 LC and SC regions. Homologous sequences within LC and SC regions that did not match the

20 annotated ORFs were designated as putatively decaying RcGTA genes.

3. Results

Many RcGTA genes share evolutionary history with viruses

Consistent with the earlier proposed hypothesis that RcGTA is an element originated from a virus (Lang & Beatty 2000), 14 out of 24 RcGTA genes can be assigned to a viral gene family (Phage Orthologous Group, or POG; Kristensen et al. 2013) (**Figure 1A** and **Supplementary Table S4**), and 18 out of the 24 genes have at least one detectable homolog in available genomes of *bona fide* bacterial viruses (**Figure 1B**). However, at the time of our analyses none of the contemporary bacterial viruses available in RefSeq database contained a substantial number of the RcGTA homologs (at most eight of them in *Rhizobium* phage 16-3 [GenBank Acc. No. DQ500118.1]), and no α−proteobacterial genomes with CRISPR systems contained significant matches between CRISPR spacers and RcGTA genome, suggesting that the presumed progenitor virus is either extinct or remains unsampled. Collectively, RcGTA-like genes are unevenly represented across viral genomes (**Figure 1B**). Among the five most abundant are homologs of *rcc001683* (*g2*), *rcc001684* (*g3*), *rcc001686* (*g4*) and *rcc001687* (*g5*) genes, which encode terminase, portal protein, prohead protease, and major capsid protein, respectively, all of which are of HK97-like types. Such widespread occurrence of these structural cluster genes is not surprising. First, these genes correspond to the so-called "viral hallmark genes", defined as genome replication and virion formation genes with a wide distribution among diverse viral genomes (Iranzo et al. 2016; Koonin et al. 2006). Second, HK97-like homologs of these genes are commonly used among known Caudovirales (Iranzo et al. 2017), one of the most abundant group of viruses on Earth (Cobián Güemes et al. 2016). However, 13 of the RcGTA genes are either sparsely represented (found in 10 or fewer viral genomes; 7 genes) or not detected at all (6 genes) in viruses. These genes may be fast-

evolving viral genes, auxiliary (non-hallmark) viral genes, which could be specific to the viral

lineage that gave rise to RcGTA, non-viral (cellular) genes, or simply be a result of undetected

homology due to the paucity of viral genomes in GenBank. The latter possibility cannot be

ignored, especially given that (i) three of the 13 genes are assigned to a POG category (**Figure**

1A), and therefore are likely of viral origin, and (ii) only 94 of the 1,783 screened bacterial

viruses (5%) have α-proteobacteria as their known host. Since about half of bacterial genomes

are estimated to contain at least one prophage in their genome (Touchon et al. 2016), inclusion

of RcGTA homologs from bacterial genomes could reduce the possibility of undetected

homology due to lack of available viral genomes. Therefore, we looked for RcGTA homologs in

all bacterial RefSeq records, and in 255 completely sequenced α-proteobacterial genomes in

particular (**Supplementary Table S1**).

12 Homologs of RcGTA genes are abundant in bacteria, but RcGTA-

13 like genomes are mainly found in class α-proteobacteria

Every RcGTA gene has at least 198 homologs in RefSeq database (**Figure 1C**), and

therefore even the 13 "rare" genes are relatively abundant in bacterial genomes. Moreover, six

of the 13 genes (*rcc00171*, *rcc00556*, *rcc01688* (*g6*), *rcc01692* (*g10*), *rcc001695 (g12),* and

rcc01866), including three assigned to POGs, are found in more than 1000 bacterial genomes

(**Figure 1C**). Therefore, it is unlikely that the 13 rare genes are auxiliary viral genes specific to

the viral lineage that gave rise to RcGTA. However, only future availability of a larger number of

genomes of α-proteobacterial viruses will help identify if these genes are of viral or cellular

origin.

Collectively, detected bacterial homologs of RcGTA genes are found in organisms within

13 phyla (**Figure 1C** and **Supplementary Figure S2a**). Interestingly, 84% and 35% of the

identified homologs belong to the phylum Proteobacteria and to its class α-proteobacteria,

respectively (**Supplementary Figure S2**). Furthermore, in many α-proteobacteria there are more RcGTA homologs per genome than in any available viral genome, and these homologs are often clustered (**Supplementary Figure S2b**). In contrast, most other taxa have only few RcGTA homologs that are scattered across the genome (**Supplementary Figures S2b** and **S2c**). Given that in the RcGTA genome, the structural genes are in one locus (**Figure 1A**) and are presumed to be co-transcribed (Kuchinski et al. 2016), our observations suggest that functional GTAs might be restricted mainly to α-proteobacteria.

Within α-proteobacteria, homologs of RcGTA genes are detectable in 197 out of 255 examined genomes (77%). These homologs are distributed across eight α-proteobacterial orders with at least one available genome and two unclassified α-proteobacterial genera (**Figure 2**). While the majority (13 out of 17) of the genes from the RcGTA structural cluster locus are abundant across α-proteobacteria (and across Bacteria in general), only two of the genes from the remaining four loci (*rcc00555* and *rcc01866*) are frequently detected in bacterial genomes (**Figure 1C** and **Figure 2**), which is also consistent with an earlier observation that most of the RcGTA genes outside of structural cluster evolve faster than their structural counterparts in *Rhodobacterales* (Hynes et al. 2016). Therefore, for the subsequent investigations we focused mostly on the analyses of the gene from the structural cluster locus.

Two distinct classes of RcGTA structural cluster homologs are present in α-*proteobacteria*

Within 187 α-proteobacterial genomes with at least one structural cluster homolog, the RcGTA-like genes are dispersed across 474 genomic regions, more than half of which (245) have only one or two RcGTA homologs (**Figure 3**). Due to significant similarity of a few of RcGTA structural genes to the widely used HK97-like counterparts (Iranzo et al. 2016), some of

these regions may belong to prophages unrelated to RcGTA. Indeed, 261 out of 474 regions

(55%) overlap with putative prophages identified using PhiSpy (Akhter et al. 2012)

(**Supplementary Figure S3**). However, PhiSpy predictions are likely to include false positives,

since the RcGTA itself is classified by PhiSpy as a prophage. Also, the remaining 213 RcGTA-

like regions could contain false negatives, given the small size of many RcGTA-like genomic

regions (and presumably of related viruses) and a PhiSpy prophage assignment requirement for

presence of at least five consecutive genes with "viral" functional annotations in a window of 30

genes. Therefore, we examined the RcGTA-like regions and genes within them for additional

characteristics associated with viral genes – skewed nucleotide composition (Rocha & Danchin

2002) and faster substitution rates (Drake 1999; Paterson et al. 2010) – as well as the presence

of neighboring viral genes.

Genes of viral origin generally have lower fraction of Gs and Cs (GC content) than their

host genomes (Rocha & Danchin 2002). Interestingly, we do not observe this trend for the

RcGTA-like regions. GC content of the regions with less than nine RcGTA homologs (hereafter

referred as small clusters, or SC) is, on average, equivalent to the GC content in the host

(median of percent of relative change = -0.1%; pairwise Wilcoxon test; p-value=0.60), albeit with

substantial variability across examined genomes (**Figure 4**). On the other hand, GC content of

the regions with at least nine RcGTA homologs (hereafter referred as large clusters, or LC) is

consistently, and in most cases significantly higher than the GC content of their host (median of

percent of relative change = 6.57%; pairwise t test; p-value < 0.001) (**Figure 4**). The elevated

GC content of LCs also persists when compared to randomly sampled regions of the host

genome of equivalent size (pairwise t-test; p-value <0.001). The observed differences in the

relative GC content between RcGTA genes in large and small clusters prompted us to examine

the features of these two categories of RcGTA-like genomic regions separately.

Using the pairwise phylogenetic distances (PPD) of these genes as a proxy for

substitution rates, we found that LC genes have significantly lower PPDs than both their SC (all

of the 13 possible pairwise comparisons; Wilcoxon tests; *p*-values <0.0001) and viral homologs

(14 out of 15 possible comparisons; Wilcoxon tests; *p*-values <0.005) (**Supplementary Figure**

S4 and **Supplementary Table S5**). And while many SC genes also have significantly lower

PPDs than their counterparts in viral genomes (six out of 10 possible comparisons; Wilcoxon

tests; *P*-values <0.005), the 25-75 percentile range for PPDs of SC genes often overlapped with

that of the viral homologs (**Supplementary Figure S4**). These data suggest that large and small

clusters evolve at different rates, with SCs appearing more virus-like. In support of this

conjecture, SCs are more frequently associated with unrelated viral genes than LCs (76 vs.

56%; **Supplementary Figure S3**). For example, in order *Rhodospirillales* all but two SCs are

near such viral genes (**Supplementary Figure S3**). In other cases, SCs likely belong to viral

elements that are clearly not GTAs: for example, in all analyzed genomes of the *Rickettsiales'*

genera *Anaplasma* and *Ehrlichia* a singleton homolog of *rcc001695* (g12) is found within 1Kb of

*vir*B homologs, which in *Anaplasma phagocytophilum* are part of a virus-derived type IV

secretion system (Al-Khedery et al. 2012). Furthermore, SCs have very little conservation of

flanking genes (**Supplementary Figure S5)**, while in LCs flanking genes are conserved within

orders and sometimes even across larger phylogenetic distances (**Supplementary Figure S6)**.

Nevertheless, small size and faster evolutionary rates of some SCs may instead be

indicative of a decay of the previously functional GTAs. While bacterial genomes do not

generally contain many pseudogenes due to genome streamlining (Lawrence et al. 2001), if

remnants of RcGTA homologs that no longer form an ORF remain within the regions, they may

still be detectable by similarity searches of genomes. Such searches revealed that putative

pseudogenes of RcGTA-like genes are indeed detectable in both large and small clusters,

although 65% of them are found in LCs (**Supplementary Figures S2, S5** and **S6**).

Taken together, we suggest that large and small clusters of RcGTA-like genes represent

genomic regions that are under different selective pressures in the host chromosome and may

have separate evolutionary histories. This distinction is not captured in the PhiSpy-based

classification of viral elements. We further hypothesize that most SCs are viral elements

unrelated to RcGTA and may not be GTAs at all. On the other hand, LCs appear to evolve in a

manner expected from a genetic element that has resided with its host chromosome for a

prolonged time, and therefore we conclude that only LCs represent RcGTA-like elements. In

what lineage did the RcGTA-like element originate? How did it propagate across α-

proteobacteria? To address these questions, we examined the phylogenetic history of LCs in

the α-proteobacteria.

8 RcGTA-like element was likely absent in the last common

9 ancestor of α-*proteobacteria*

Within α-proteobacteria, LCs are found only within a monophyletic clade defined by node

1 in **Figure 5** (hereafter referred as Clade 1), which consists of all included representatives from

the orders *Rhizobiales, Caulobacterales*, *Rhodobacterales, Parvularculales* and

Sphingomonadales. Two deeper branching α-proteobacterial clades that include *Rickettsiales*,

Rhodospirillales, and yet unclassified *Micavibrio* spp. and SAR 116 cluster bacteria contain only

SCs (**Figure 5**), the largest of which is made up of five genes, but most are singletons (**Figures**

2 and **3**). RcGTA homologs (including genes outside of the structural cluster) are completely

absent from *Pelagibacterales* (formerly SAR11) and the basal α-proteobacterial order

Magnetococcales (**Figure 5**), although only five genomes from these two groups were available

for the analyses. Moreover, only 3 of 199 SCs found in taxa outside of Clade 1 contain

detectable putative pseudogenes of the RcGTA structural genes (**Supplementary Figure 3**).

Taking into account the observation that the fraction of genomes with no detectable RcGTA

homologs is higher in taxa outside than inside of Clade 1 - 30% versus 15% of the genomes,

respectively, - we hypothesize that the RcGTA-like element did not originate in the last common

ancestor of α-proteobacteria (Clade 2 in **Figure 5**), as was previously suggested (Lang & Beatty

2007). Instead, we propose that the RcGTA-like element appeared later in the evolution of α-

proteobacteria, either on the branch leading to the last common ancestor of Clade 1, or later

within Clade 1. In the former case, the element would have passed vertically as the lineages

diverged, while in the latter scenario it would have spread across Clade 1 via HGT. To evaluate

these two scenarios, we performed additional phylogenetic analyses.

6   Evolution of the RcGTA-like genome: Vertically Inherited or

7   Horizontally Exchanged?

Earlier examination of the RcGTA structural cluster genes' evolutionary histories

concluded that RcGTA-like element had evolved vertically within α-proteobacteria *(Lang &*

Beatty 2007), although only few genomes were available at the time. A more recent

phylogenetic analysis of RcGTA-like clusters within order *Rhodobacterales* was also compatible

with the vertical inheritance of the RcGTA structural cluster genes within the order, although

phylogenetic histories of many individual RcGTA genes were poorly resolved (Hynes et al.

2016). Nevertheless, there is accumulating evidence that individual RcGTA-like genes, and

even whole structural clusters, may have been at least occasionally horizontally exchanged. For

example, RcGTA-like genes involved in recipient cell recognition (especially homologs of

rcc00171) are presumed to be horizontally exchanged within *Rhodobacterales* (Hynes et al.

2016). Additionally, while LCs are predominantly found in α-proteobacteria, the genomes of the

actinobacteria *Streptomyces purpurogeneiscleroticus* NRRL B-2952 and *Asanoa ferruginea*

NRRL B-16430, the cyanobacterium *Scytonema meliloti* VB511283, and the γ-proteobacterium

Pseudomonas bauzanensis W13Z2 also contain one LC each (**Supplementary Figures S2** and

S6). To investigate the extent of HGT in the evolution of the RcGTA-like genes in Clade 1, we

reconstructed the phylogeny of the LC-locus (see **Methods** for details about its construction)

and compared it to the reference tree of α-proteobacteria, with the latter represented by a set of

conserved α-proteobacterial genes.

Although LC locus appears to evolve ~ 1.6 times faster than the conserved 99

α−proteobacterial genes, with a few exceptions, the phylogeny of the LC locus reflects the

reference phylogeny arrangement of taxonomic groups at the order and family levels (**Figure 6**).

However, 42 out of 83 internal branches of the reference phylogeny are in conflict with the

branching order of the LC-locus phylogeny, suggesting that some HGT has taken place. Thirty-

one of the 42 conflicts (74%) are within taxonomic orders, with the 14 out of 21 *strongly*

supported conflicts limited to genera (**Figure 6** and **Supplementary Figure S7**). Among the

nine conflicts at deep branches, eight are due to an alternative position of *Methylobacterium*

nodulans ORS 2060 (**Figure 6** and **Supplementary Figure S7**), which, in addition to grouping

outside of its order *Rhizobiales,* has five non-identical LCs (**Supplementary Figure S6**).

Therefore, most HGT events have likely occurred between closely related taxa.

Intriguingly, at least occasionally LCs have also been transferred across *very large*

evolutionary distances: the four non-α-proteobacterial, LC-containing taxa mentioned above

branch within the Clade 1, in three separate locations (**Figure 6**), indicating that these taxa most

likely acquired the LCs from the α-proteobacteria at least three times independently. Moreover,

the LCs of two of the four taxa (the cyanobacterium *Scytonema millei* and the γ-proteobacterium

Pseudomonas bauzanensis) are flanked by the genes homologous to the genes that flank LCs

in their respective α-proteobacterial sister taxa (**Supplementary Figure S6**). Phylogenetic

analyses revealed that *S. millei*'s and *P. bauzanensis*' flanking genes are also of α-

proteobacterial origin (**Supplementary Figure S8**), and hence were likely acquired in the same

HGT events.

Additional clues about the duration of the association of RcGTA-like elements with

bacterial genomes could be obtained by investigating the stability of the host chromosome

regions that surround LCs, which can be evaluated by examination of conservation of genes

upstream and downstream of large clusters across phylogenetic distance (gene synteny). For

example, very dynamic genomic regions known as genomic islands exhibit poor gene synteny

even across short phylogenetic distances (Rodriguez-Valera et al. 2016). Highly mobile genes,

such as transposable elements and some prophages, are often found in such genomic islands

(Juhas et al. 2009). On the other hand, gene synteny of stable regions is preserved across

larger evolutionary distances, although it is still subject to decay due to rearrangements that are

not due to HGT (Brilli et al. 2013; Rocha 2006). Interestingly, LCs found in the same taxonomic

order are generally flanked by the same, conserved α-proteobacterial genes (**Supplementary**

Figure S6), hinting that they might be part of stable regions of bacterial chromosomes and not

within genomic islands. To more comprehensively evaluate the stability of the genomic region

surrounding the LC loci, we modeled gene order decay as a function of phylogenetic distance

(Rocha 2006) and compared the conservation of genes flanking LCs to that of a transposable

element from IS911/IS3 family and two operons of conserved housekeeping genes, the

ribosomal protein operon and the ATP synthase operon. The transposable element from

IS911/IS3 family can undergo non-targeted integration (Chandler et al. 2015), and thus, genes

adjoining these transposons are not expected to be homologous even across closely related

taxa, while gene order near presumably non-mobile housekeeping operons are expected to be

much more conserved across time. Indeed, we found that the regions surrounding the

transposable element are too variable to even fit the model (**Supplementary Figure S9**). On

the other hand, the decay of gene synteny near LCs is similar to that of the two operons

(**Supplementary Figure S9**). Therefore, it is unlikely that RcGTA-like elements reside in

dynamic regions of their host genomes.

In contrast to the evolutionary history of the structural cluster locus, the remaining four

loci of the RcGTA genome are poorly conserved across the genomes of Clade 1 (**Figure 2**),

and, within *Rhodobacterales*, one of these loci (consisting of just one *rcc00171*-like gene that

encodes tail fiber protein) was likely recently acquired from a viral donor (Hynes et al. 2016).

These observations raise a possibility the RcGTA progenitor genome may not have contained

the loci outside of the structural cluster and instead they were recruited later via HGT. Poor

conservation of the genes from the four loci across large evolutionary distances (**Figure 1** and

Figure 2) makes it difficult to test this hypothesis. Intriguingly, in 66 α-proteobacterial genomes

that contained two of the readily detectable genes (homologs of *rcc00171* and *rcc00555*), 22

LCs from Rhizobiales and Rhodobacterales have *rcc00171* homologs at their 3' end

(**Supplementary Figure S6**). Moreover, 6 of the 22 LCs additionally have *rcc00555* at the 3'

end. This anecdotal evidence suggests that in the past RcGTA-like elements may have carried

at least some of the genes in one locus with the structural cluster genes, and that the division of

the GTA genome into multiple loci may have happened after the bacterium-GTA association

was already established.

Taken together, our analyses suggest a complex evolutionary history of the locus. The

congruence of both the reference and the LC-locus phylogenies at taxonomic order and family

levels and conservation of LC-flanking genes within orders suggest that RcGTA-like element

was likely acquired before the contemporary orders within Clade 1 have diversified, and since

that time the element co-existed with the clade members. The congruence with the reference

phylogeny, however, does not necessarily means that this long-term association is due to

vertical inheritance, given that even genes highly conserved across α-proteobacteria are not

immune to HGT and thus the reference phylogeny may not represent the strictly vertical history

of α-proteobacteria (Gogarten et al. 2002; Andam et al. 2010). Indeed, strong phylogenetic

conflicts between the reference and LC locus phylogenies of Clade 1 at both deep and shallow

branches, and presence of LCs in multiple taxa outside of the α-proteobacteria indicate that

HGT has been shaping the evolution of RcGTA-like element to a non-negligible degree. Since

the majority of the strongly supported conflicts are found within genera, HGT probably played a

larger role in the recent evolution of RcGTA-like elements than in their dissemination across

Clade 1.

4. Discussion

Many prokaryotic cellular functions that are associated with adaptations, such as cell-cell warfare, microbe-animal interactions, HGT and response to environmental stress, are carried out using structures that resemble viral "heads" (e.g. McHugh et al. 2014; Sutter et al. 2008) or "tails" (e.g. Borgeaud et al. 2015; Shikuma et al. 2014), and appear to be widespread across archaea and bacteria (e.g. Böck et al. 2017; Sarris et al. 2014). The prevailing hypothesis is that these elements are examples of exaptations of viral parts via "domestication" of previously purely selfish (viral) elements by prokaryotes (Bobay et al. 2014; Touchon et al. 2014). Do GTAs represent such a case of virus domestication? For how long do such elements persist in microbial genomes? Our survey of RcGTA homologs in the genomes of bacteria and bacterial viruses provide new insights into fascinatingly intertwined evolutionary histories of some viruses and their bacterial hosts.

Although we infer that the RcGTA-like element is not as ancient as the class α-proteobacteria itself (as was proposed in Lang & Beatty 2007), we found that RcGTA homologs are ubiquitous across an α-proteobacterial clade that spans multiple α-proteobacterial orders (Clade 1 in **Figure 5**) and, according to molecular clock estimates, has originated between 777 Mya (Luo et al. 2013) and 1710 Mya (with a 95% CI of 1977-1402 Ma; Gregory Fournier, pers. comm.) Therefore, either RcGTA-like element has been associated with a group of α-proteobacteria for hundreds of millions of years, or it is a vestige of a very successful virus capable of inter-species and inter-order infections. The latter scenario is supported by experimentally observed long-range HGT via GTAs produced by *Roseovirus nubinhibens* ISM (McDaniel et al. 2010). However, our findings of lack of CRISPR repeats that match RcGTA genome, absence of closely-related contemporary viruses in GenBank, and order-level congruence of the evolutionary histories of RcGTA and conserved α-proteobacterial genes point against the GTA being derived from a broad host-range virus that recently invaded this clade.

Instead, our data are more compatible with a long-term association between a GTA and its

bacterial host.

Over this time, the GTA genome has gone through extensive changes, as hinted by the

putative HGT events within taxonomic orders, presence of likely pseudogenized RcGTA

homologs within a few putative GTAs, and division of the RcGTA genome into multiple loci.

Could these modifications simply mean that this RcGTA-like element is just a defective

prophage (Redfield 2001; Solioz & Marrs 1977) not yet purged from the genomes? Since

bacterial genomes are generally under deletion bias of unnecessary DNA (Mira et al. 2001),

conservation of "junk" regions across over millions of years is unexpected. Moreover, given the

universal mutation bias towards AT-rich DNA (Hershberg & Petrov 2010), over such prolonged

time we would expect the defective prophage region to become more AT-rich than the host

DNA, and to accumulate mutations evenly across non-synonymous and synonymous sites of

the decaying ORFs (Andersson & Andersson 2001). Yet, at least across *Rhodobacterales*,

RcGTA homologs do not exhibit increased rates of non-synonymous substitutions expected of

pseudogenes (Lang et al. 2012), and compositionally genomic regions that encode LCs are not

AT-richer than the rest of the host chromosomes, suggesting that LCs are unlikely to be

decaying prophages.

Surprisingly, RcGTA-like gene clusters have a significantly elevated % G+C than

chromosomes of their hosts. Evolution of GC content and its variation across the prokaryotic

genomes is an unsolved puzzle, with many possibilities invoked to explain it (Hildebrand et al.

2010; Lassalle et al. 2015; Rocha & Feil 2010). Intriguingly, there is a negative correlation

between a GC content of a gene and its expression level, with a possible explanation that highly

expressed genes tend to be AT-rich due to their accumulation of mutations during the single-

stranded DNA state required for transcription (Hildebrand et al. 2010). Since, evolutionarily

speaking, the structural cluster locus is never expressed (RcGTA-producing cells lyse and thus

leave no progeny), it is tempting to speculate that selection for reduced gene expression may

have played a role in driving the GC content of the structural locus higher than that of the

expressed host genes. Future testing of this hypothesis and exploring other possible

explanations are necessary to account for the aberrant GC content of the RcGTA-like regions

within Clade 1 genomes.

But if RcGTA-like elements are indeed functional, why do we observe putatively

pseudogenized and apparently incomplete gene repertoires of many LCs when compared to the

RcGTA genome? Perhaps, genomes of these elements are also split into different pieces, have

some components replaced from sources unrelated to the RcGTA, or have evolved to a

different functionality than RcGTA. For example, GTA gene expression and GTA particle

release was demonstrated for *Ruegeria pomeroyi* DSS-3 (Biers et al. 2008) and *Rhodovulum*

sulfidophilum (Nagao et al. 2015), suggesting that GTA is functional in these lineages. However,

the *R. pomeroyi* and *R. sulfidophilum* genome contain no detectable homologs of *g1*, although

this gene is essential for RcGTA production in *R. capsulatus* (Hynes et al. 2016). Therefore,

even presumably "incomplete" LCs may encode functional GTAs. The functionality of the

identified putative GTAs in the contemporary Clade 1 taxa awaits experimental demonstration.

With the evidence pointing against the *decaying* or a *selfish* nature of the RcGTA-like

elements, and given that cells that produce RcGTA lyse (Westbye et al. 2013) and, therefore,

the selection for the maintenance of RcGTA cannot occur at a level of an organism, earlier

suggestions that GTA maintenance is due to some *population*-level benefits (Lang et al. 2012)

remain most plausible explanation of persistence of RcGTA-like elements in the Clade 1

genomes. However, specific advantage(s) associated with acquisition of ~4kb pieces of random

DNA via GTA remain to be elucidated. Among the proposed drivers of GTA maintenance are

effective exchange of useful genes among the population of heterogeneous cells (Smillie et al.

2011) and improved response to environmental stressors, such as DNA damage (Brimacombe

et al. 2015) and nutritional deficits (Lang et al. 2012). Possibilities unrelated to GTA-mediated

DNA delivery, such as protection of the host population against infection by other viruses via the

superinfection immunity mechanism (Díaz-Muñoz 2017), and increase of the host population

resilience against various environmental stressors such as antibiotics (Wang et al. 2010),

should also be considered. Perhaps, there is no single benefit associated with RcGTA-like

elements across all Clade 1 taxa. Instead, different lineages may experience selection

pressures unique to their ecological niches.

Interestingly, GTA-associated benefits have been proposed to drive evolutionary

innovations of cellular lifeforms that go beyond population level. For example, it has been

hypothesized that abundance and mixed ancestry of $\alpha-$proteobacterial genes in eukaryotic

genomes is due to the delivery of such genes by RcGTA-like elements into proto-eukaryote

genome, and that such "seeding" facilitated the later integration of mitochondrial progenitor and

the proto-eukaryotic host (Richards & Archibald 2011). Our study, however, does not support

this hypothesis. First, based on the estimated age of the Clade 1 (777-1710 Mya) and the

appearance of eukaryotic, and hence mitochondria-containing, organisms in the fossil record

(1600 and possibly 1800 Mya; Knoll 2014), the RcGTA-like system likely originated after the

eukaryogenesis took place. Second, α-proteobacterial lineage(s) suggested to have given rise

to mitochondrial progenitor (Brindefalk et al. 2011; Thrash et al. 2011; Wang & Wu 2015)

appear to lack LCs and therefore unlikely to have had RcGTA-like elements. In another

intriguing hypothesis, an unrelated GTA in *Bartonella* has been proposed to have facilitated

adaptive radiation within the genus (Guy et al. 2013). Perhaps, acquisition of the RcGTA-like

element by the last common ancestor of Clade 1 taxa represent a similar innovation that led to

diversification of this clade and success of its members in a variety of ecological settings that

span soil, freshwater, marine, waste water, wetland and eukaryotic intracellular environments.

Despite the appearance that bacteria maintain GTA genes for the potential contribution

to their own evolutionary success, there is an undeniable shared evolutionary history between

RcGTA-like elements and *bona fide* viruses. Presence of homologs for most RcGTA-like genes

in *bona fide* viral genomes, as well as similarity in the organization of the structural cluster and

corresponding region of a typical siphovirus genome (Huang et al. 2011), led to a prevailing

hypothesis that RcGTA originated in an initial co-option of a virus and evolved in subsequent

modification of the progenitor prophage genome via vertical descent and HGT (Lang et al.

2017). Our data are compatible with this scenario, and further suggest an even larger role of

HGT in the evolution of RcGTA-like elements than currently acknowledged, shaping GTAs both

within α−proteobacterial orders, but also at least occasionally transferring RcGTA-like regions

across the higher-order α−proteobacterial taxa and even to different phyla. Yet, there are hints

of even more entangled connection between RcGTA-like genes found in cellular and viral

genomes: a few viruses that infect *Paracoccus*, *Roseobacter*, *Caulobacter*, and *Rhodobacter*

spp., and a yet unclassified marine Rhizobiales str. JL001 bacterium, carry RcGTA-like genes

that are phylogenetically placed within their cellular homologs (Zhan et al. 2016), suggesting

that some viruses acquired genes from the cellular RcGTA-like regions. Given recent

propositions of (*i*) cellular origin of even such "hallmark" viral genes like those encoding capsid

proteins (Krupovic & Koonin 2017), (*ii*) the possibly virus-independent origin of cellular

microcompartments that resemble viral structures (Bobik et al. 2015), and (*iii*) the potentially

primordial origin of type VI secretion system that resembles a bacteriophage tail (Böck et al.

2017), we should not exclude a possibility that genomic regions encoding RcGTA-like

nanostructures did not originate by a co-option of a prophage and its subsequent modification,

but instead are a mosaic originally assembled within bacterial genomes from the available

cellular and viral parts.

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Author Contributions

7 MS and OZ designed the study. MS and SMS performed the analyses. MS, SMS, and OZ wrote

8 the manuscript. All authors have seen and approved the final manuscript.

Data Availability

11 Amino acid sequences of RcGTA homologs in bacterial and viral genomes; amino acid

12 sequence alignments of RcGTA homologs from the LCs, SCs, and viruses; concatenated

13 alignment of 99 conserved α-proteobacterial genes and RcGTA homologs from LCs; and

14 discussed phylogenetic trees in Newick format are available via FigShare at DOI

15 10.6084/m9.figshare.5406733.

Figure Legends

Figure 1

RcGTA genome and distribution of its homologs in viral and bacterial genomes. Panel A.
The RcGTA genome architecture. The RcGTA genome consists of 24 genes scattered across
five loci in the *R. capsulatus* SB1003 genome. The genes are represented by arrows, which are
drawn to scale, and are labeled using *R. capsulatus* SB1003 locus tags. The majority of the
structural cluster genes (*rcc01682-rcc01698*; also known as *g1-g15*) encode structural
components of the RcGTA particle (Chen et al. 2009)*, rcc00171* (*tsp*) encodes a tail spike
protein (Hynes et al. 2016), *rcc00555* and *rcc00556* - endolysin and holin (Fogg et al. 2012;
Hynes et al. 2012; Westbye et al. 2013), *rcc01079* (*ghsA*) and *rcc01080* (*ghsB*) - encodes a
head spike (Westbye et al. 2015), and *rcc01865* and *rcc01866* - putative regulatory elements
(Hynes et al. 2016). The full GenBank functional annotations of the genes are listed in
Supplementary Table S4. Genes with similarity to gene families in the POG database
(Kristensen et al. 2013) are shaded and their assigned POG categories are listed in
**Supplementary Table S4. Panel B. Presence of RcGTA gene homologs in 1,783 viral
genomes.** The numbers above arrows represent the total number of detected homologs for
each RcGTA gene, while the percent of viral genomes in which these homologs are found is
depicted in shades of gray (see figure inset for scale). **Panel C. Presence of RcGTA gene
homologs in 30,503 bacterial genomes.** The numbers above arrows represent the total
number of detected homologs for each RcGTA gene, while the percent of bacterial genomes in
which these homologs are found is depicted in white and various shades of gray (see figure
inset for scale). Genomic regions were visualized using R package genoplotR (Guy et al. 2010).

Figure 2

Presence of RcGTA-like genes in α-proteobacterial genomes. The homologs of the

structural cluster genes are found in 184 genomes spanning eight out of ten α-proteobacterial

orders with at least one available genome, and in three genomes within two α-proteobacterial

genera, *Micavibrio* and *Polymorphum*, which are unclassified at the order level. The homologs

of the RcGTA genes from the other four loci are detected in 109 of the 187 genomes spanning

six α-proteobacterial orders and one unclassified taxon. Each line represents the distribution of

genes in the RcGTA genome within each taxonomic group. The number of surveyed genomes

in a taxonomic group is listed in parentheses. The shades of gray represent the proportion of

these genomes in which the RcGTA homologs are found (see figure inset). Genomic regions

were visualized using R package genoplotR (Guy et al. 2010).

Figure 3

Adjacency of the structural RcGTA homologs detected in α-proteobacterial genomes.

The homologs were grouped into 474 genomic regions that contain between one and seventeen

RcGTA homologs (shown on the X axis; see **Methods** for details on how the regions were

identified). The variation of the observed cluster sizes is shown for each taxonomic group

(arranged on Y axis) with at least one detected RcGTA homolog. The diameter of each circle is

scaled with respect to the number of genomes (see inset for scale). The total number of

genomes in each size category is shown in parentheses on the X-axis labels. The majority of

clusters (245 out of 474, or 52%) contain at most two genes, and only 91 (19%) have nine or

more RcGTA homologs. Adjacency of the structural RcGTA homologs detected in genomes

across few other bacterial taxonomic groups is shown in **Supplementary Figure S2**.

Figure 4

Difference in GC content between clusters of RcGTA structural gene homologs and their host chromosome. The relative difference in GC content is calculated as $(GC_{GTA}-GC_{host})/GC_{host}$ (Y axis), and the data is presented by the number of RcGTA structural homologs found in a cluster (X axis). In the box-and-whisker plots the horizontal line marks the median; the boxes extend from the 25th to 75th percentile; the whiskers encompass values at most 1.5 times away from the 25th and 75th percentile range, and any value outside of the range is shown as a dot. The vertical dashed line separates two groups of clusters: ≤ 8 genes, or small clusters (SC, in blue) and ≥ 9 genes, or large clusters (LC, in orange). The inset depicts the combined data from all small and large clusters.

Figure 5

Distribution of RcGTA homologs in α-proteobacteria. The phylogenetic tree is a schematic version of the α-proteobacterial reference phylogeny (see **Methods** for reconstruction details), in which branches are collapsed at the taxonomic order level according to the NCBI Taxonomy database (NCBI Resource Coordinators 2017). The number of taxa in each collapsed clade is shown in parentheses. The tree is rooted using eight taxa from β-, γ- and δ-proteobacteria, which are collapsed into a clade labeled as "outgroup". The non-collapsed version of this tree is provided in **Supplementary Figure S3**. The nodes with at least 60% bootstrap support are labeled with a black circle. Bars associated with each clade show the relative proportion of genomes that contain at least one large cluster (orange), only small cluster(s) (blue), or no detectable RcGTA homologs at all (gray). Nodes 1 and 2 mark the last common ancestor of six taxonomic groups that contain large clusters and the last common ancestor of α-proteobacteria, respectively. These nodes define Clades 1 and 2 discussed in the text. Twenty-three of 150

1   genomes within Clade 1 and 32 out of 105 genomes outside of Clade 1 have no detectable

2   RcGTA homologs. While relationships among the α-proteobacterial orders remain debated

3   (Ferla et al. 2013; Gupta & Mok 2007; Lee et al. 2005; Luo 2014; Thrash et al. 2011; Williams et

4   al. 2007), the discussed alternatives do not affect the inferences of this study. Scale bar,

5   substitutions per site.

6   Figure 6

Comparison of the phylogenetic history of large clusters (right) to the reference α-

proteobacterial phylogeny (left). Phylogenetic history of large clusters was reconstructed from

the concatenated alignment of individual LC genes (LC-locus alignment), while the reference

tree was reconstructed from the concatenated alignment of 99 conserved α-proteobacterial

genes (see **Methods** for details). For each branch of the reference tree, the strength of its

support on LC-locus tree was measured using an Internode Certainty (IC) value (Salichos et al.

2014), which reflects how many highly-supported bipartitions in 100 bootstrap trees of the LC-

locus alignment support or conflict the reference tree branch. The branches of the reference

tree are color-coded according to the strength of conflict categories: "strongly conflicting" (-1.0 ≤

IC ≤ -0.7), "moderately conflicting" (-0.7 < IC < 0.7) and "not conflicting" (0.7 ≤ IC ≤ 1.0). The

overall number of branches with strongly conflicting IC values are shown as numbers (in pink)

for "deep" and "shallow" branches, as demarcated by a vertical dashed line. Fourteen of the 15

strong conflicts at shallow branches occur within genera, and five of the six strong conflicts at

deep branches are due to the different position of *Methylobacterium nodulans* ORS 2060. IC

values for all branches are shown in **Supplementary Figure S7.** The phylogenetic tree on the

left is rooted with the same outgroup as in **Supplementary Figure S3**, while the phylogenetic

tree on the right should be considered unrooted. Nodes with bootstrap support values ≥80%

and between 60 and 80% are marked with closed and open circles, respectively. Nodes with

bootstrap support values of <60% are unlabeled. Underlined taxa names represent four non-α-

proteobacterial genomes that contain RcGTA-like large cluster (see also **Figures S6** and **S9**).

Taxa names in brackets represent lineages that branch within a taxonomic order different from

the one designated by the NCBI Taxonomy database (NCBI Resource Coordinators 2017).

Scale bar, substitutions per site. The tree heights (*i.e.* the sum of all branch lengths of a

phylogenetic tree) of the LC-locus and reference phylogenies are 31.19 and 19.39 substitutions

per site, respectively, implying that the LC locus evolves approximately 1.6 times faster than the

genomic regions that comprise conserved 99 genes.

Supplementary Data

12   **SupplementaryFigures.pdf**: Supplementary Figures 1-9

13   **SupplementaryTables.xlsx:** Supplementary Tables 1-5

Supplementary Figure Legends

Supplementary Figure S1

17   **Compatibility of the evolutionary histories of the LC-locus and of individual LC genes.**

18   The sites of the LC-locus alignment are arranged along the X-axis, with the dashed red lines

19   demarcating the alignment boundaries of the individual RcGTA-like genes (labeled with RcGTA

20   gene names, g1 through g15; see **Supplementary Table S4**). For each alignment site, the Y-

21   axis shows the phylogenetic distance between the optimal placement of a taxon in a phylogeny

reconstructed from a 100 amino-acid window that surrounds the site and in the LC-locus

phylogeny, averaged across all sliding windows that contain the site. The Y-axis values

averaged across all taxa and all sites within a gene is shown in parentheses on the X-axis. For

15 out of 17 genes, only 2-4 nodes separate the optimal taxon position in the LC-locus and

gene phylogeny. The inflated distances for *g1* and *g3.5* are likely because only 15 and 21 of 95

LCs, respectively, have a homolog of these genes and the SSPB analysis is highly sensitive to

missing data (Berger et al. 2011).

Supplementary Figure S2

Adjacency of the RcGTA structural homologs detected in genomes of (a) domain

Bacteria, (b) phylum Proteobacteria, and (c) class γ-proteobacteria. For each panel, the

variation of the observed cluster sizes (from 1 to 17 genes, arranged on the X-axis) is shown

per taxonomic group (arranged on Y axis) with at least one detected RcGTA homolog. The

diameter of each circle is scaled with respect to the number of genomes (same scale for all

panels; see legend at the bottom of the **panel c**). The total number of genomes in each size

category is shown in parentheses on the X-axis labels. Across bacteria, the clusters with at least

nine RcGTA homologs are found predominantly in α-proteobacteria; the exceptions from other

taxonomic groups are shown in orange.

Supplementary Figure S3

Distribution of RcGTA structural cluster homologs across α-proteobacterial genomes.

Presence/absence and gene composition of RcGTA-like regions within each genome is mapped

onto a maximum likelihood phylogeny that relates the 255 α-proteobacteria. The RcGTA

homologs found on main replicons are shown in squares, and those found on plasmids or

secondary replicons are denoted by circles. The symbols are color-coded according to the

cluster size (blue/orange), and presence of putatively pseudogenized RcGTA homologs

(gray/black) and viral genes (red) within flanking regions (see **Supplementary Figures S5** and

S6). Symbols outlined in red refer to RcGTA-like regions that overlap with PhiSpy-predicted

prophages (Akhter et al. 2012). Taxa names are color-coded based on cluster size

(blue/orange) or the absence of detectable structural homologs (black). Taxa labeled with an

asterisk (*) designate genomes that have only non-structural RcGTA homologs. The taxa

labeled with "++" represent two genomes of same strain in the 255 α-proteobacterial genome

set; the corresponding cluster composition in the 2nd genome is shown in brackets. Labels to the

right of the phylogenetic tree designate taxonomic groups according to the NCBI Taxonomy

database (NCBI Resource Coordinators 2017). Taxon name in brackets represents lineage that

branch within a taxonomic order different from the one designated by the NCBI Taxonomy

database. Maximum likelihood phylogeny for α-proteobacteria was reconstructed using the

concatenation of 99 protein-coding gene families that are present in at least 80% of 255 α-

proteobacterial genomes. The tree is rooted using outgroup of eight taxa from β-, γ- and δ-

proteobacteria (*Escherichia coli* str K12 substr DH10B, *Vibrio vulnificus* YJ016, *Pseudomonas*

aeruginosa PAO1, *Pasteurella multocida* subsp multocida str Pm70, *Xanthomonas axonopodis*

pv citri str 306, *Ralstonia solanacearum* GMI1000, *Chromobacterium violaceum* ATCC 12472,

Geobacter sulfurreducens PCA). The nodes with at least 60% bootstrap support are labeled

with a black dot.

Supplementary Figure S4

Comparison of pairwise phylogenetic distances (PPD) between homologs of structural

RcGTA-like genes found in large clusters (LC, orange), small clusters (SC, blue) and

viruses (red). In these box-and-whisker plots, the horizontal line marks the median, the boxes

extend from the 25th to 75th percentile, the whiskers encompass values at most 1.5 times away

from the 25th and 75th percentile range, and any value outside of whiskers' range is shown as a

dot. Number of data points (homologs) is shown in parentheses above the corresponding plots.

Statistical significance of the difference in PPDs was assessed using Wilcoxon test in pairwise

comparisons of the three groups (LCs, SCs, viruses). The tests were carried out only when at

least four homologs were available in both compared groups. In the majority of the performed

pairwise comparisons, LC genes had significantly lower PPDs than their counterparts in SCs

and viruses (p-values < 0.05; see **Supplementary Table S5** for the detailed test results).

8 Supplementary Figure S5

Gene neighborhoods of 382 small clusters detected in α-proteobacterial genomes.

Each genomic region shows annotated ORFs as arrows, and includes not only the SC

homologs, but also several genes that flank the cluster on both 5' and 3' ends. The number of

the flanking gene varies, with a requirement of at least five consecutive genes that are not

assigned to a POG category. The regions are drawn to scale. The ORFs that correspond to the

RcGTA-like homologs are colored in orange, while genes without similarity to RcGTA genes are

either colored in red, if they were assigned to a POG category (and hence presumed to be of

viral origin), or color-coded based on the abundance of the homologs in 255 α-proteobacterial

genomes (see inset for color assignments). Incomplete or unannotated ORFs with significant

nucleotide similarity to the RcGTA homologs are presumed to be putative pseudogenes and are

shown in black. Thirty one of the 382 detected SCs contained 36 such putative pseudogenes,

only three of which were found in SCs outside of Clade 1. The genomic regions are mapped

onto the phylogenetic tree of SC-containing α-proteobacterial genomes reconstructed from the

alignment of 99 core α-proteobacterial genes (see **Methods** for details), on which the nodes

with ≥ 60% bootstrap support are marked with black circles. Names of taxa whose genomes

also contain large clusters (see **Supplementary Figure S6**) are colored in orange, while names

of taxa whose genomes contain only small clusters are colored in blue. One hundred ninety nine

out of the 382 SCs are found in taxa outside of Clade 1. Phylogenetic tree scale bar,

substitutions per site. Genomic regions were visualized using R package genoplotR (Guy et al.

2010).

Supplementary Figure S6

Gene neighborhoods of 91 large clusters (LCs) found in α-proteobacterial genomes and 4

large clusters detected in four genomes outside of α-proteobacteria. Each genomic region

shows annotated ORFs as arrows, and includes not only the LC homologs, but also several

genes that flank the cluster on both 5' and 3' ends. The number of the flanking gene varies, with

a requirement of at least five consecutive genes that are not assigned to a POG category. The

regions are drawn to scale. Incomplete or unannotated ORFs with significant nucleotide

similarity to the RcGTA homologs are presumed to be putative pseudogenes and are shown in

black. The ORFs that correspond to the RcGTA-like homologs are colored in orange. Genes

without similarity to the RcGTA genes are either colored in red, if they were assigned to a POG

category (and hence presumed to be of viral origin), or color-coded based on the abundance of

the homologs in 255 α-proteobacterial genomes (see inset for color assignments). Most LCs are

flanked by conserved α-proteobacterial genes, and only 7 of 91 α-proteobacterial LCs have

gene arrangements different from the RcGTA structural cluster. Thirty-six out of 91 α-

proteobacterial LCs contain 67 putative pseudogenes. The genomic regions are mapped onto

the phylogenetic tree that relates the 95 detected LCs, on which five copies of non-identical LCs

found in *Methylobacterium nodulans* ORS 2060 are shown as individual taxa. The names of four

taxa outside of α-proteobacteria are underlined. The phylogenetic tree was reconstructed from

the alignment of concatenated RcGTA structural homologs, on which the nodes with ≥ 60%

bootstrap support are marked with black squares. Phylogenetic tree scale bar, substitutions per

site. Genomic regions were visualized using R package genoplotR (Guy et al. 2010).

Supplementary Figure S7

Incongruence between the reference and LC-locus phylogenies. The depicted cladogram

represents branching order of the reference phylogenetic tree shown on the left panel of the

Figure 6. Background color of taxa labels correspond to the taxonomic orders; the same color

scheme is used in **Figure 6**. The values above branches denote the rounded Internode

Certainty (IC) values. Branches are colored based on the strength of conflict, which is classified

into three categories: "strongly conflicting" ($-1.0 \leq IC \leq -0.7$), "moderately conflicting" ($-0.7 < IC <$

0.7) and "not conflicting" ($0.7 \leq IC \leq 1.0$); the same color scheme is used in **Figure 6**. A vertical

dashed line divides branches of the tree into "deep" and "shallow" set, as in **Figure 6**.

Supplementary Figure S8

Phylogenetic trees of three genes that flank RcGTA-like clusters of *Scytonema millei* and

***Pseudomonas bauzanensis*.** All α-proteobacterial homologs of these genes that flank LCs in

α-proteobacteria are also included. Taxa labels are colored by taxonomic affiliation: α-

proteobacteria (black), cyanobacteria (green), and γ-proteobacteria (blue). The trees are rooted

with cyanobacterial and γ-proteobacterial taxa that do not contain LCs, but are closely related to

Scytonema millei and *Pseudomonas bauzanensis*. Bipartitions with bootstrap support $\geq$ 60%

are labeled with black circles.

Supplementary Figure S9

Conservation of genomic regions that flank RcGTA-like large clusters, two operons of housekeeping genes and a transposable element from IS3/IS911 family as a function of evolutionary distance. Flanking regions are defined as 40 ORFs upstream (left panel) and downstream (right panel) of the examined loci in LC-containing α-proteobacterial genomes. Each dot represents a two-genome comparison, in which the proportion of common homologs among the 40 ORFs (Y axis) is plotted against the phylogenetic distance between the 16S rRNA genes of the two genomes (X axis). The model of gene order conservation (similar to model 3 in Rocha [2006]) was fitted into the data using non-linear regression (blue line). The estimates of the probabilities (p) of 40 genes to be found in the same region in consecutive generations are shown on the graphs. The model could not be fit for the transposable element data.

Supplementary Table Captions

Supplementary Table S1

List of 255 α-proteobacterial genomes used in the study.

Supplementary Table S2

List of 99 genes used to reconstruct α-proteobacterial reference phylogeny.

Supplementary Table S3

Relative Tree Certainty All (TCA) values for comparisons between the phylogenies reconstructed from the alignments of individual and concatenated large-cluster genes.

Supplementary Table S4

Functional annotations of genes in the RcGTA genome and their assignment to POG gene

families.

Supplementary Table S5

Results of the pairwise Wilcoxon tests for comparisons of Pairwise Phylogenetic Distances'

distributions of RcGTA-like genes found in large clusters, small clusters, and viruses.

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A. RcGTA Genome

:::: POGs ☐ No detected POGs

B. Viruses (1,783)

0% 5.6% 11.2% 16.8% 22.4%

C. Bacteria (30,503)

0% 3.0% 12.0% 18.0% 24.0%

2 kb

Proportion of genomes with an RcGTA homolog: 0.00 >0.00 0.25 0.5 0.75 1.00

Rhizobiales (102)

Caulobacterales (7)

Rhodobacterales II (3)

Parvularculales (1)

Rhodobacterales I (22)

Sphingomonodales (15)

Rhodospirillales & SAR116 (31)

Rickettsiales (69)

Pelagibacterales (4)

Magnetococcales (1)

① ②

Outgroup

■ Large Cluster
■ Small Cluster
□ No RcGTA homologs

All α-proteobacteria (255)