Cross-species analysis between the maize smut fungi *Ustilago maydis* and *Sporisorium reilianum* highlights the role of transcriptional plasticity of effector orthologs for virulence and disease

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Summary

- The constitution and regulation of effector repertoires determines and shapes the outcome of the interaction with the host. *Ustilago maydis* and *Sporisorium reilianum* are two closely related smut fungi, which both infect maize, but cause distinct disease symptoms. Understanding how effector orthologs are regulated in these two pathogens can therefore provide insights to pathogen evolution and host adaption.

- We tracked the infection progress of *U. maydis* and *S. reilianum* in maize leaves, characterized two distinct infection stages for cross species RNA-sequencing analysis and identified 207 out of 335 one-to-one effector orthologs being differentially regulated during host colonization, while transcriptional plasticity of the effector orthologs correlated with the distinct disease development strategies.

- By using CRISPR-Cas9 mediated gene conversion, we identified two differentially expressed effector orthologs with conserved function between two pathogens. Thus, differential expression of functionally conserved genes contributes to species specific adaptation and symptom development. Interestingly, another differentially expressed orthogroup (*UMAG_05318/sr1007)* showed diverged protein function during speciation, providing a possible case for neofunctionalization.

- Together, we showed the diversification of effector genes in related pathogens can be caused both by plasticity on the transcriptional level, as well as through neofunctionalization of the encoded effector proteins.

Key words: Fungal effectors, cross-species RNA-seq, differentially regulated orthologs, orthogroup, CRISPR-Cas9 gene conversion, *Sporisorium reilianum, Ustilago maydis*

Introduction

During symbiosis, phytopathogenic microbes secret effector proteins to facilitate a compatible interaction with their hosts. Effectors hold various functions, such as the suppression of host immunity and host metabolism manipulation to promote host infection. Co-evolution of pathogens with their hosts is driven by an arms race causing selection pressure on perceived effector genes against their recognition by the host immune system (Jones & Dangl, 2006).

Polymorphisms of effectors are diverse, including presence/absence variation, amino acid substitution, epigenetic modification and transcriptional plasticity, which together determine the outcome of the plant-pathogen interaction (Gijzen *et al.*, 2014; Toruño *et al.*, 2016; Franceschetti *et al.*, 2017; Torres *et al.*, 2020). Until now, many effector studies have focused on genome sequencing and effector prediction and variation amongst phylogenetic related pathogens (Raffaele & Kamoun, 2012; Sánchez-Vallet *et al.*, 2018); functional elucidation of a single effector proteins (Selin *et al.*, 2016); as well as transcriptional changes during host infection in one-to-one host-pathogen interactions (Lanver *et al.*, 2018). However, information is available on the transcriptional regulation of effector orthologs across related pathogen species is scarce.

Smut fungi are a group of fungal plant pathogens, consisting of more than 1,500 species, which infect mainly grasses including major cereals such as maize, sorghum, wheat, barley and sugar cane (Begerow *et al.*, 2004). A characteristic feature of many smut fungi is their dimorphic growth, where distinct growth states are observed: saprophytic growth as yeast, and filamentous hyphae which initiate the biotrophic interaction with the host (Kämper *et al.*, 2006a). Smuts often infect their host through the root or coleoptile (Martinez *et al.*, 2002; Laurie *et al.*, 2012), from where the fungi proliferate without evident symptoms during the early vegetative growth stage of the host. When plants switch into the reproductive phase, fungal hyphae residing in floral may produce massive black/ brown teliospores (the notorious "smut" phenotype). This type of infection style is also found for the smut fungus *Sporisorium reilianum,* which infects either sorghum (*S. reilianum f. sp. reilianum*) or maize (*S. reilianum f. sp. zeae*) and cause head smut disease. Closely related to this is *Ustilago maydis*, which causes common maize smut disease (Kämper *et al.*, 2006a; Schirawski *et al.*, 2010). While *U. maydis* has the ability to cause disease symptoms all the aerial maize tissues, *S. reilianum* spreads systemically in the plant while it stays close to the vascular bundles and grows up the main stem axis to reach the cob initials. *Ustilago maydis* causes locally restricted plant tumors within a short time of less than 2 weeks under laboratory conditions. Comparative genome analysis of *U. maydis* with *S. reilianum* revealed that the two maize smuts share high genome similarity with regard to gene number and synteny (Schirawski *et al.*, 2010). Furthermore, previous studies suggested that, similar to *U. maydis*, *S. reilianum* can efficiently infect maize leaves and also leads to the systemic disease in floral organs (Ghareeb *et al.*, 2015), rendering the two species a well-suited model to study regulation and function of orthologous genes.

In *U. maydis*, the expression of effector genes is precisely regulated via a network of

hierarchical transcriptional factors (TF), which modulates activity of the transcription of effectors

genes at distinct stages of infection (Skibbe *et al.*, 2010; Lanver *et al.*, 2018). The mating type locus

bE/bW encodes a heterodimer TF, which not only regulates the expression of 38 effectors, but also

trigger the expression of several TFs including a C2H2 zinc finger TF Rbf1 (regulator of b-filament)

(Heimel *et al.*, 2010b,a), which then turn on the TF Hdp2 (homeodomain transcription factor 2) and

Biz1 (*b*-dependent zinc finger protein), together activating the expression of effectors important for

initialing the biotrophic interaction (Flor-Parra *et al.*, 2006; Heimel *et al.*, 2010b). At later infection

stages, the forkhead TF Fox1 controls effectors necessary for full virulence and inhibition of the host

defense after establishment of biotrophic interaction (Zahiri *et al.*, 2010) and the WOPR TF Ros1

(Tollot *et al.*, 2016) regulate effector gene expression related to fungal sporogenesis in maturated

tumors. A comprehensive set of RNA-seq data covering the whole biotrophic growth phase of *U.*

maydis identified distinct expression patterns of effectors and a novel virulence related TF Nlt1 (no

leaf tumors1) (Lanver *et al.*, 2018). The expression of effectors in *U. maydis* was also found to be

regulated in an organ-specific manner (Skibbe *et al.*, 2010), and a more recent study using RNA-

sequencing from laser capture micro-dissected cells revealed a host cell-type specific expression

pattern for several effector genes (Matei *et al.*, 2018).

Reverse genetics studies identified various *U. maydis* effectors holding distinct virulence

functions, and some of these effectors have been functionally characterized on the molecular level

(Lanver *et al.*, 2017). Examples are the apoplastic effectors Pit2 and Pep1, which inhibit the maize

apoplastic Papain-like cysteine proteases (Mueller *et al.*, 2013; Misas Villamil *et al.*, 2019) and

peroxidase activities (Hemetsberger *et al.*, 2012), respectively. The effectors Cmu1 (Djamei *et al.*,

2011) and Tin2 (Tanaka *et al.*, 2014) are translocated into the host cytoplasm to manipulate host SA

and lignin metabolism, respectively. The leaf-specific effector See1 re-activates host DNA synthesis to

directly promote tumor formation in bundle sheath cells (Redkar *et al.*, 2015a; Matei *et al.*, 2018). In

addition, the secreted repetitive effector protein Rsp3 coats the fungal cell wall and protects it against

a host anti-fungal protein (Ma *et al.*, 2018). In contrast, only one *S. relianum* specific effector SAD1,

which suppress the apical dominance of infected maize to increase branch number is functional

characterized in *S. relianum* (Ghareeb *et al.*, 2015).

Comparative genomic analysis from phylogenetic related plant pathogens suggesting the

effector repertories of smut fungi can be classified as core and accessory effector based on the

conservation level (Schuster *et al.*, 2018; Beckerson *et al.*, 2019). Core effectors are conserved in all

phylogenetic related pathogen and may be involved in conserved biological process vital for infection,

leading to the stabilized of such effectors during speciation (Hemetsberger et al., 2015; Irieda et al.,

2019; Thines 2019). Complementary, accessory effectors are less conserved and only found in few or

individual pathogen specifies were supposed to have more subtle/specific functions in virulence.

Previous studies suggested that effector orthologs between *U. maydis* and *S. relianum* are more

functionally conserved compared to *Ustilago hordei* and/or *Melanopsichium pennsylvanicum* (Redkar
et al., 2015b; Stirnberg & Djamei, 2016).
Clustered regularly interspaced short palindromic repeats (CRISPR)-Cas9 was first identified
in *Streptococcus pyogenes* as part of the bacterial immune system against bacteriophage infection
(Barrangou *et al.*, 2007), and has been widely adapted as genome editing tool in various organisms
including filamentous fungi and oomycetes (Schuster & Kahmann, 2019) . Cas9 endonuclease
generates DNA double-strand break in a specific target that is recognized by the sgRNA (single guide
RNA). This double strand break can be repaired by non-homologous end-joining (NHEJ) which
eventually results in a gene knock-out mutant. Alternatively, homology direct repair (HDR) with a
donor template can be used for the generation of knock-in or gene conversion mutants. In *U. maydis*,
the CRISPR-Cas9 is achieved by expressing the codon-optimized Cas9 protein and sgRNA in an
autonomous replication plasmid (Schuster *et al.*, 2016, 2018), which shows high efficiency to generate
a selection marker free genome modification mutant. The off-target is further reduced by application
of high fidelity variant Cas9HF1 (Zuo *et al.*, 2020).
In this study, we examined the growth of *U. maydis* and *S. reilianum* during leaf infection for
recording similar and divergent biotrophic interaction with maize. We investigated the regulation of
orthologous genes with an emphasis on effector genes.
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Materials and Methods
Strains, growth conditions and plant infection
The mating compatible isolates of *U. maydis* FB1, FB2 and *S. reilianum* SRZ1, SRZ2 were used for
RNA-seq, and *U. maydis* solo-pathogenic strain SG200 and its respective knock-out and ortholog
conversion mutants were used for virulence tests. All strains were grown in YEPS light liquid medium
with 200 rpm shaking or potato dextrose agar (PD, Difco) plate at 28°C. *Escherichia coli* strain Top10
was used for cloning purpose and grown in dYT liquid medium or YT agar plate with supplement of
corresponding antibiotics. Maize variety Early Golden Bantam was used for infection. The plants were
grown in a controlled condition of 16 hr light at 28 °C and 8 hr dark at 22°C. 7 days-old seedlings
were infected with a mixture of compatible *U. maydis*/*S. reilianum* isolates or SG200, and disease
symptoms were scored at 12 days after infection.
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Staining and microscopy
0.1% tween-20 was added in the inoculum for microscopy purposes. To visualize the appressorium,
leaves were stained 20 hours post infection with calcofluor solution (100 µg/ml) for 1 min and briefly
rinsed with water (Lanver *et al.*, 2014). To visualize the fungal growth inside the infected leaves,
WGA-AF488 (Wheat Germ Agglutinin, Alexa Fluor 488) and propidium Iodide were used for
staining the fungal and plant cell wall, respectively as previously described (Doehlemann *et al.*,
2009a). The microscopy was done on a Nikon Eclipse Ti Inverted Microscope with the Nikon NIS-

ELEMENTS software (Düsseldorf, Germany) and the photos were taken by HAMAMATSU camera.

Confocal microscopy was done by Leica TCS SP8 confocal laser scanning microscope (Leica, Wetzlar,

Germany) and the following filters were used excitation 458 nm and emission 470-490 nM for WGA-

AF488 and excitation 561 nm and emission 590-603 nm for propidium Iodide.

RNA preparation and RNA-seq

2-cm length of 3rd leaf sections from more than 15 individual plants were collected for each sample.

The compatible haploid *U. maydis* and *S. reilianum* cells from cultures with OD_{600} around 0.8 were

spin down and mixed in a 1:1 ratio as axenic culture control. The plant tissues and cell pellets were

grinded into fine powder with liquid nitrogen and the RNAs were prepared by TRizol (Thermo Fisher,

Waltham, USA) according to the manufacture's protocol and followed by DnaseI digestion (Thermo

Fisher, Waltham, USA). The RNA libraries were prepared by Illumina TruSeq Stranded mRNA kit

(Illumina, San Diego, USA), and paired-end sequencing was performed on the HiSeq4000 platform to

produce 2×75 bp long reads at the Cologne Center for Genomics (Cologne, Germany).

Data analysis

For the gene expression analysis of *U. maydis* and *S. reilianum* individually, reads with filtered using

the Trinity software (v2.9.1) option trimmomatic under the standard settings (Grabherr *et al.*, 2013).

They were mapped to reference a reference assembly using Bowtie 2 (v2.3.5.1) with the first 15

nucleotides on the 5'-end of the reads being trimmed (Langmead & Salzberg, 2012). The reference

genome was either the genome assembly of *U. maydis* (Kämper *et al.*, 2006b) or *S. reilianum*

(Schirawski *et al.*, 2010) combined with that of *Z. mays* B73 version 3 (Schnable *et al.*, 2009). Reads

were counted to the *U. maydis* and *Z. mays* loci using the R package Rsubread (v1.34.7) (Liao *et al.*,

2019). edgeR package v3.26.8 was used for statistical analysis of differential gene expression and

pairwise comparison was conducted using Generalized linear models (glm) (Robinson *et al.*, 2009).

Genes with log2 fold change >1 and $p<0.05$ were considered as differentially regulated between

treatments. The induced patterns of effectors were defined based on the differentially regulation

relationships between AC, 2 dpi and 4 dpi samples with following criterias: pattern1 as

4dpi >2dpi >AC; pattern 2 as 4 dpi > AC, 2dpi >AC and 4 dpi≅ 2 dpi; pattern 3 as 2 dpi > AC, 2

dpi >4 dpi and 4 dpi≅ AC; pattern 4 as 4 dpi >AC, 2 dpi >AC and 2 dpi≅4 dpi; pattern 5 as 2 dpi ≅AC,

4dpi >AC and 4 dpi >2 dpi; where ">" indicated log2 fold change >1 and $p<0.05$ and "≅" indicated

log2 fold change <1, $p<0.05$ or log2 fold change >1 but $p>0.05$.

A phylogenetic tree was constructed including the smut species *U. hordei* (Laurie *et al.*, 2012), *M.*

pennsylvanicum (Sharma *et al.*, 2014), *S. scitamineum* (Taniguti *et al.*, 2015), *S. reilianum* (Schirawski

et al., 2010) and *U. maydis* (Kämper *et al.*, 2006a). *Moesziomyces antarcticus* was used as an

outgroup (Morita *et al.*, 2013). The phylogenetic tree was constructed based on 1643 Benchmarking

Universal Single-Copy Orthologs (BUSCOs) from the database "basidiomycota_odb10" that are

present in single copy in all members of the tree (Seppey *et al.*, 2019). For every gene, orthologs were

aligned using MAFFT (v7.464) option "--auto" (Katoh & Standley, 2013). These aligned gene

sequences were then concatenated for every species and used for tree construction using RAxML

(v8.2.11) with substitution model "GTRGAMMA" and 100 bootstraps (Stamatakis, 2014).

For comparison of ortholog expression, high quality paired end transcriptomic reads were mapped

using Bowtie2 with default parameters over all orthologous genes of *Ustilago maydis* and *Sporisorium*

reilianum as calculated using OrthoMCL. Average coverage of mapping of each gene was calculated

from the sorted BAM file by summing the coverage of each base of a gene and then dividing this by

the length of that gene. The relative expression value of a gene was calculated by using the following

formula : $Relative\ Expression\ of\ Gene\ (X) = \dfrac{\frac{\sum_1^n Coverage(X) \times (N-n)}{n}}{(M-m)/(N-n)}$, Where n= Length of the gene

(X) , N = Total number of bases in all genes ; m= Number of bases mapped to gene (X) ; M=

Number of bases mapped to all genes. *Student t-test* and/or one sample *t-test* were used for

significance test with Benjamini-Hochberg *p* value correction for multiple comparison. Orthologs with

fold change >3 and adjust *p*<0.05 were considered as differentially regulated ortholog between *U.*

maydis and *S. relianum*.

Gene ontology and GO enrichment analysis

The gene ontology classification and overrepresentation analysis were done by using the *U. maydis*

annotation data from PANTHER (pantherdb.org). The overrepresentation was conducted by using

Fisher's exact test with Bonferroni correction.

Gene conversion in *U. maydis* by CRISPR and disease scoring

CRISPR-Cas9 mediated genome editing was used to generate the effector ortholog conversion

mutants in *U. maydis* solo-pathogenic strain SG200. An sgRNA was designed to target the coding

region of the effector to generate the double strand break, which was then repaired by homology-

directed repair using a donor plasmid as template. The design of sgRNA and cloning was done as

previously described (Zuo *et al.*, 2020). To construct donor plasmid, 1 kb fragments flanking the

effector coding region and the respective *S. reilianum* ortholog open reading frame were amplified by

Phusion DNA polymerase with primers (Sigma Aldrich, St. Louis, US) listed in **Table. S1** and cloned

into pAGM1311 vector by Gibson assembly (New England Biolabs, Ipswich, USA). The CRISPR

plasmid and donor plasmid were co-transformed into SG200 protoplast and mutants were isolated and

confirmed by southern blot (not showed).

The conversion mutants and corresponding effector knockout mutants (Schilling *et al.*, 2014) were

used for infection. Disease scoring was done as previous described at 12 dpi. Disease indexes 9, 7, 5, 3,

1 and 0 were assigned to dead, heavy tumor, tumor, small tumor, chlorosis and normal symptom,

respectively. The number of diseased plants were multiplied by the corresponding disease index, and

the sum was divided by the total number of plants used for infection to give an average disease index.

Student *t-test* was used for significance test of disease index from three biological replications.

Results

Maize leaf infection of *S. reilianum* and *U. maydis*

For a comparative transcriptomics approach between *S. reilianum* and *U. maydis*, we first tracked

infection and fungal growth inside the maize leaves to record the milestone events during infection

and define appropriate timepoints for analysis (Fig. **1**). 18-24 hours post infection, the sporidia of both

pathogens germinated on the leaf surface, compatible cells mated, and dikaryotic hyphae formed

appressoria to penetrate the leaf surface (Fig. **1a**). At 2 days post infection (dpi), all infected leaves

showed chlorosis as a first visible indication of successful infection (Fig. **S1a**). Microscopic analysis

of WGA-AF488 stained hyphae showed similar colonization in the leaf vascular tissue for both smut

fungi (Fig. **1b**). At 3 dpi, the earliest microscopic difference was observed between *S. reilianum* and *U.*

maydis: in alignment to our previous report (Matei *et al.*, 2018), host bundle sheath cells underwent *de*

novo cell division in *U. maydis* infected leaves, indicating the initiation of tumorigenesis. In contrast, *S.*

reilianum further accumulated in the leaf vein and showed aggregation as a string of round cells (Fig.

1c). At 4 dpi, the first visible small tumor structures can be observed on *U. maydis* infected leaves,

while *S. reilianum* infected leaves showed individual events of necrosis (Fig. **S1a**) and more

frequently cell aggregation (Fig. **1d**, Fig. **S1b**). In parallel to the microscopic observation, fungal

biomass in the infected leaves was quantified for both pathogens. The relative amount of both fungal

pathogens increased similarly during infection until 3 dpi. Interestingly, at 4 dpi *S. relianum* showed a

significantly higher abundance compared to *U. maydis,* as the relative amount of *S. relianum* doubled

while the relative amount of *U. maydis* was maintained in comparison to 3 dpi (Fig. **1e**).

Expression profiling of *U. maydis* and *S. reilianum* during maize leaf colonization

Based on our microscopic and biomass analysis, we decided to collect samples at 2 dpi to represent an

infection stage where both *U. maydis* and *S. reilianum* successfully establish the biotrophic interaction

with the host but do not show detectable differences in microscopical growth and biomass

accumulation. Samples were also taken at 4 dpi when *U. maydis* tumorigenesis is initiated, while *S.*

reilianum exhibits extensive tissue colonization without inducing morphological changes in the leaf.

As control samples, cell pellets from axenic culture (AC) of both pathogens were used for RNA

extraction.

In total, more than 670M paired-end reads were generated, of which over 93.7% of reads were

uniquely mapped to either *U. maydis*, *S. reilianum* or the maize genome, respectively. The changes of

fungal transcripts in the RNA-seq samples confirmed the biomass quantification results by qPCR. At 2

dpi, around 2% of fungal transcripts were mapped from both pathogen, and at 4 dpi, *S. relianum* reads

increased to 12.5% in the infected samples, which is significantly higher compared to *U. maydis*

infected tissues (7.5%) (Fig. **1f**). Principal component analysis (PCA) analysis of *U. maydis* and *S.*
reilianum samples showed that three biological replications from different conditions form distinct
clusters, and variations between different conditions were larger than the variation of biological
replications within the same condition (Fig. **2a**). To further analyze the RNA-seq data, we normalized
reads counts and investigated the differentially expressed genes (DEGs) by edgeR (Robinson *et al.*,
2009). After filtering the low- or not-expressed genes between samples, 6537 out of 6765 *U. maydis*
genes and 6456 out of 6673 *S. reilianum* genes were used to identify DEGs. Compared to axenic
culture, dramatic changes in gene expression were observed during seedling infection. Around 19.3-
24.2% genes were up-regulated (log2 fold change >1, *p*<0.05) at 2 dpi and 4 dpi in both pathogens,
while 12.1-19.1% genes were down-regulated (Fig. **2b**). We detected 435 out of 467 effector genes
from *U. maydis* and 454 out of 489 from *S. reilianum* were expressed. As expected, most effector
genes were specifically expressed in the biotrophic growth stage (311 in *U. maydis* and 307 in *S.*
reilianum, respectively) and showed higher degrees of transcriptional induction compared to non-
effector genes (Fig. **2c, d**), which reflects the explicit role of effectors in host infection.
We clustered effector genes into all five possible expression patterns between three conditions (axenic
culture, 2 dpi, 4 dpi) (Fig. **3a**). This classified groups of effector genes (i) showing constitutively
increasing induction (pattern 1), (ii) induced *in-planta* on a stable level (pattern 2), (iii) being only
transiently expressed (pattern3), (iv) dropping at 4 dpi (pattern 4), (v) or only being induced at 4 dpi
(pattern 5). In *U. maydis* and *S. reilianum*, 227 effectors from each species were highly expressed
across the whole biotrophic growth phases (pattern 1, 2 and 4), while only 14 *U. maydis* effectors and
8 *S. relianum* effectors were transient induced at 2 dpi (pattern 3) and similar number of effectors were
only required in the 4 dpi (23 from *U. maydis* vs. 25 from *S. relianum* as pattern 5) (Fig. **3b**). The
expression patterns are found to reflect previously observed virulence function of known effector
genes. For example, the core effector *UmPep1*(*UMAG_01987*) (Doehlemann *et al.*, 2009b;
Hemetsberger *et al.*, 2015) was stably expressed and clustered as pattern 2, while genes coding for the
known   virulence   factors   *UmPit2*   (*UMAG_01375*)   (Misas   Villamil   *et   al.*,   2019),
UmCmu1(*UMAG_05731*) (Djamei *et al.*, 2011), *UmTin2* (*UMAG_05302*) (Tanaka *et al.*, 2014) and
UmRsp3 (*UMAG_03274*)(Ma *et al.*, 2018) group to pattern 1 cluster. Interestingly, *S. reilianum*
orthologs of these characterized effectors displayed different induction patterns, keeping a steady level
between 2 and 4 dpi. In particular, we identified 100 out 467 of *U. maydis* effectors being induced in
pattern 1, which is significantly higher compared to *S. reilianum* (43/488), whereas 184 out of 488 *S.*
reilianum effector genes were showing stable expressing levels, which is higher as compared to *U.*
maydis (136/467) (Fig. **3b**). This enrichment of different induction patterns of effector genes
suggested different requirements in disease for the two species.
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Differential regulation of effector orthologues in *U. maydis* and *S. reilianum*

To better understand how *U. maydis* and *S. reilianum* orchestrate their respective effector repertoires

with respect to their differential disease development, we directly compared the relative expression

levels of effector orthologs. We used orthoMCL to identify one-to-one ortholog pairs between *U.*

maydis and *S. reilianum* and obtained 6005 one-to-one ortholog pairs including 335 effectors. This

means that for avoiding ambiguous results due to functional redundancy or paralog compensation,

one-to-many or many-to-many ortholog pairs were not included in this analysis. Relative expression

was corrected for putative differences in length between the orthologs. PCA analysis based on the

relative expression of 6005 ortholog pairs confirmed that plant associated samples form distinct

clusters on time and species levels. In contrast, the axenic cultured samples of the different species

have minor differences and clustered together (Fig. **4a**). Pearson correlation analysis displayed similar

results and suggested the difference between samples increased at 4 dpi compared to 2 dpi, as the

correlation decreased (Fig. S**2a**).

Next, we compared the relative ortholog expression levels to identify d̲ifferentially e̲xpressed

o̲rthologs (DEOs) in the two smut fungi. In total, we found 769 DEOs with comparatively higher

expression in *U. maydis* and 737 DEOs being more highly expressed in *S. reilianum*, respectively (Fig.

4b). The largest number of DEOs (835) was detected from axenic cultured samples (Fig. **4b**), and

around 30 and 50% of these DEOs from *U. maydis* and *S. reilianum* were only confined in this stage

(Fig. S**2b)**. The DEO number dropped to 323 at 2 dpi when the pathogens had switched from *in-vitro*

yeast growth to the initial filamentous, biotrophic growth in the host tissue. At 4 dpi the number

increased to 747, which likely reflects the significant differences in disease development between the

two pathogens, i.e. initiation of tumorigenesis by *U. maydis* versus extended proliferation of *S.*

reilianum for systemic spreading. We also detected more *U. maydis*-induced DEOs during infection,

particularly at 2 dpi, when 227 DEOs were *U. maydis*-induced but only 97 DEOs for *S. reilianum* (Fig.

4b). However, we could not detect overrepresented gene ontology terms, except for 4 dpi, where an

enrichment of cellular lipid catabolic process (GO:0044242) was detected in the higher expressed *U.*

maydis DEOs. The DEOs were involved in different biological processes related to pathogen growth

(Fig. **4c)**, suggesting that during the yeast and biotrophic growth no particular cellular or metabolic

pathway was selected to promote cell growth in either *U. maydis* or *S. reilianum*.

From the 335 one-to-one effector orthologs, more than 60% were differentially regulated, including

100 *U. maydis*- and 102 *S. reilianum*-highly expressed effectors, from which 32 and 35 showed

consistently enhanced expression during the two biotrophic time points (Fig. **4d**). The number of

effector DEOs also increased from 99 at 2 dpi to 170 at 4 dpi as disease developed. Previously

identified pathogenesis associated TFs might be responsible in the regulation of effector DEOs,

particularly at 4 dpi, differential expression was found for virulence related TFs Rbf1, Biz1, Hdp2,

Fox1 and Nlt1 (Fig. **S3**). TF Rbf1 was highly induced in *S. relianum*, especially at 4 dpi, the transcript

levels were 17 fold higher than that in *U. maydis*, which may lead to the high abundance of Biz1 in *S.*

relianum (Fig. **S3**). On the other hand, the expression level of TFs Hdp2, Fox1 and Nlt1 were

significantly higher in *U. maydis* at 4 dpi, which could indicate that these TFs play a role in the
regulation of effectors highly expressed in *U. maydis* during tumorigenesis (Fig. **S3**). Besides, the TF
ROS1 showed similar expression level in both species, which may reflect its dedicated function in
sporogenesis, a process which needs to be initiated in both pathogens for completing the pathogenic
like cycle (Fig. **S3**). Cluster 19A (Fig. **S4a**) is the largest effector cluster, which is a crucial
determinant of virulence in both two pathogens (Brefort et al., 2014; Ghareeb et al., 2019). We
observed that 10 out of 14 effectors residing in cluster 19A were *U. maydis*-enhanced, whereas only
two were highly expressed in *S. reilianum,* including the neofunctionalized Tin2 (Tanaka *et al.*, 2019)
(Fig. **S4b**).
In a previous study, Schuster et al. analyzed 12 smut related basidiomycete and suggested that effector
repertoires of smut fungi comprise sets of core and accessory effector (Schuster *et al.*, 2018). Based on
this information, we classified the 335 one-to one effector pairs into plant smut core effectors, which
are present in all 4 monocot smut fungi including *Ustilago hordei* and *Sporisorium scitamineum*, and
accessory effectors, which present in *U. maydis* and *S. relianum* but not in all other plant smut fungi
(Fig. **4e**). *Melanopsychium pennsylvanicum* was included in this analysis due to its close phylogenetic
relationship to monocot smut pathogens, which suggests a recent host jump event (Sharma et al. 2014).
In total, we identified 191 core effectors and 144 accessory effectors. At 2 dpi, 40 core effectors and
31 accessory effectors were differentially expressed between *U. maydis* and *S. relianum*, and these
numbers were significantly increased to 67 and 61 at 4 dpi, respectively (Fig. **4f**). We did not find
accessory effectors subjected to more intensive transcription regulation compared to core effectors
(Fig. **4f**), suggesting that differential regulation of both core and accessory effectors is needed for the
distinct pathogenic development in the two pathogens.
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Functional conservation and neofunctionalization of differentially expressed effector orthologs
Several *U. maydis* effectors have been functionally characterized, which provides a reference to link
the ortholog expression with their biological functions. The conserved core effector Pep1
(Hemetsberger et al., 2012, 2015; Sharma et al. 2019), as well as the virulence factors Pit2 (Misas
Villamil *et al.*, 2019) and Cmu1 (Djamei *et al.*, 2011) were highly induced during biotrophic growth
(Table. **S2**) and showed similar expression level between *U. maydis and S. reilianum*, which is
consistent with their crucial roles in maize immunity inhibition (Fig. **5a**). The effectors Rsp3 (Ma *et*
al., 2018) and ApB73 (Stirnberg & Djamei, 2016) had been validated in previous studies for their
conserved function between two smut fungi by ortholog complement assay, and also these genes show
comparable expression levels (Fig. **5a**). Also the See1 effector, which in *U. maydis* has a virulence
function specifically for leaf tumor-formation (Redkar *et al.*, 2015a), is expressed in *S. reilianum* both
at 2 and 4 dpi (Fig. **5a**). Another effector DEO which caught our attention is Tin2. SrTin2
neofunctionlized during speciation between *U. maydis* and *S. reilianum* (Tanaka *et al.*, 2019)**.** We
found a significantly enhanced expression of SrTin2 compared to UmTin2 (Fig. **5a**), in line with the

neofunctionalisation, as the transcriptional level divergence could be involved to promote the functional divergence.

From a set of 20 organ-specific effectors, we found 9 effector DEOs and 8 of them were leaf-specific effectors, from which 4 were validated as virulence factors from a deletion mutant screen (Schilling *et al.*, 2014) (Fig. **5a**). Orthogroups UMAG_11060/sr14941, UMAG_05306/sr10059 and UMAG_05318/sr10075 were particularly interesting as they were induced in both pathogens (Table. **S2**), however, the transcripts levels of the orthologs in *U. maydis* were at least 4.8 folds (for orthogroup UMAG_11060/sr14941 at 2 dpi) to more than 50 times (orthogroup UMAG_05318/sr10075 at 4 dpi) higher compared to their *S. relianum* orthologs (Fig. **S3**). These effectors are specifically required for the induction *U. maydis* induced leaf tumors (Schilling *et al.*, 2014). Thus, their low expression in *S. relianum* might suggest that these genes are of lesser importance for the basal establishment of biotrophic. We assessed the protein function of these DEOs to test if neofunctionalization occurred and associated with differentially expression as we observed in the case of Tin2. We converted the open reading frame of the candidate effectors in *U. maydis* to their respective *S. reilianum* orthologs. For the generation of *in situ* seamless mutants we used a CRISPR-Cas9 approach that allowed marker-free selection of gene-replacement mutants in *U. maydis* (Fig. **5b**). In each case, an sgRNA was designed to target the effector gene to induce a double strand break, which was then repaired by HDR with a donor plasmid containing the *S. reilianum* effector ortholog, flanked by 1kb homologs arms (Fig. **5b**). This CRISPR-Cas9 mediated gene conversion eliminated potential ectopic effects and keeps ortholog expressing under the original *in-situ* cis- or trans-regulatory elements.

In maize infection assays, conversion of UMAG_05306 and UMAG_11060 to their *S. reilianum* orthologs did not affect the virulence compared to the *U. maydis* progenitor strain SG200, while the deletion of these two effectors resulted in significantly reduced virulence (Fig. **5d**). However, converted UMAG_05318 into its *S. reilianum* ortholog sr10075 significantly reduced virulence to the similar level of the knockout mutant, which indicates that sr10075 might have a different function, or lost its activity during speciation (Fig. **5d**). In *S. reilianum*, sr10075 has a paralog sr10079, which has only low sequence identity to UMAG_05318 and therefore was not detected in our one-to-one ortholog analysis (Fig. **S5a, b**). However, also sr10079 converted mutants resembled the virulence defect of the UMAG_05318 knockout mutant, suggesting the functional divergence of UMAG_05318/sr10075.

Together, the results of the gene conversion approach showed that functional diversification of effector orthologs can be caused on two levels: (i) the differential expression of orthologous genes which encode functionally conserved proteins (as found for orthogroups UMAG_05306/sr10059 and UMAG_11060/sr14941), and (ii) the neofunctionlization of effectors on the protein level, which further fine-tuned on transcription levels.

Discussion

In this study we applied a cross-species transcriptome comparison between *U. maydis* and *S. reilianum* to investigate transcriptomic changes of effector orthologs during maize leaf infection.

A crucial challenge in cross-species RNA-seq is to determine the right timing for sampling to exclude that the observed differences result rather from the different disease progression states than from a differential regulation as such. Sucher *et al* (2020) collected samples from the edge of disease lesions, which were smaller than 25 mm in diameter, as indication of comparable infection stage to study the different host responses to *Sclerotinia sclerotiorum* for quantitative disease resistance (Sucher *et al.*, 2020). Time resolved microscopes were applied in *Fusarium virguliforme* to facilitate RNA-seq to study its transcription plasticity on different hosts (Baetsen-Young *et al.*, 2020). In our experiment, we conducted a series of microscopy combined with qPCR-based biomass quantification, and selected two biotrophic interaction phases representing a comparable (2 dpi) and a distinct colonization stage (4 dpi) for RNA-seq.

When comparing the induction profiles of effectors in *U. maydis* and *S. reilianum* respectively, we found a significant higher number of *S. reilianum* effectors showing stable expression between 2 and 4 dpi, while in *U. maydis* more effectors displayed an increasing expression over time. Overall, 207 out of 335 one-to-one effector orthologs were differentially expressed between *U. maydis* and *S. reilianum* during biotrophic interaction, and the number of effector DEOs increased at 4 dpi. The difference in effector induction patterns and differential regulation of effector DEOs are consistent with the revelation of different symptoms. At 4 dpi, *U. maydis* triggers local host cell proliferation to produce tumors, which will require the high transcript abundance of effector genes related to tumorigenesis; in contrast, *S. reilianum* sustaining stable expression levels of effectors likely reflects maintenance of the biotrophic interaction in already colonized tissue and continuation of systemic proliferation through the leaf veins with inducing structural changes in the host tissue

Not only effector genes, but also pathogenesis related transcription factors were found to be differentially regulated, which in turn is probably playing a crucial role in the control of effector DEO expression. TFs Rbf1 and biz1 were highly expressed in *S. reilianum*, which may be responsible for the expression of *S. reilianum* enriched effector DEOs. However, the abundance of TF Hdp2 transcripts, which is activated by Rbf1 (Heimel *et al.*, 2010b), was significantly higher expressed in *U. maydis*, indicating the complicated regulation of TF cascade. Until now, only few direct target genes of TFs were identified by CHIP-seq in smut fungi (Tollot *et al.*, 2016). To elucidate the binding motif of these pathogenesis related TFs and combined with the promoter analysis of effector DEOs, which were obtained in this study could be a starting point for a more detailed study on the specific roles of TFs in the orchestration of effector expression with respect to the adaptation to different infection styles in pathogen speciation.

A major conclusion which can be drawn from the comparative transcriptome analysis is that the expression levels of effector orthologs between *U. maydis* and *S. reilianum* are related to their function:

effectors with general virulence functions showed similar expression levels between both smut fungi,
whereas effectors adapted to execute specific processes such as the leaf-tumor specific effectors of *U.*
maydis showed significant differences in their transcriptional regulation. UMAG_05306 and
UMAG_11060, which knockout resulted in reduced virulence in *U. maydis* but are functional
conserved of the respective *S. reilianum* orthologs. This implies that the functional diversification of
effectors can be driven on the transcriptional level and is not necessarily linked to a changed protein
function. However, UMAG_05318 provides another example for combination of transcriptional
plasticity and functional diversification of the protein level. While the orthogroups
UMAG_05318/sr10075 and Umtin2/Srtin2 were expressed during leaf infection both in *U. maydis* and
S. reilianum, they also show similar induction pattern during biotrophic interaction. However, when
comparing the expression levels of the orthologs, UMAG_05318 is more than 50 times higher than its
S. reilianum ortholog, while Srtin2 has a 10 times higher expression compared to its respective
ortholog in *U. maydis*. Until now, the molecular mechanism of these differentially regulated organ
specific effectors are not elucidated in *U. maydis*, and whether they also contribute to virulence in *S.*
reilianum is largely unknown. Deletion of sr10075 alone did not seem affect virulence, while a knock-
out sr10079 reduced *S. reilianum* virulence (Ghareeb *et al.*, 2019). The orthologs of UMAG_05318
were found in *S. scitamineum and S. reilianum f. sp. reilianum*, but not in *U. hordei* and *M.*
pennsylvanicum. Elucidate the function of this ortholog group and its role in smut fungi evolution and
speciation will be our next aim. Interestingly, both effectors showing neofunctionalization are located
in effector cluster 19A, which is the largest virulence cluster in both pathogens and several *U. maydis*
highly expressed effector DEOs were also identified in this cluster from our study. However, the
impact of 19A deletion on *S. reilianum* virulence was monitored by the head smut phenotype in the
maize inflorescence. Thus, it could be possible that these effectors were highly expressed in a different
time/spatial pattern to contribute to the systemic spreading of *S. relianum*. On the other hand, it would
be tempting to study if highly expression of cluster 19A effectors could promote the adaptation of *S.*
reilianum to leaf infection and eventually even trigger the formation of leaf tumor by this pathogen.
Therefore, to elucidate the molecular functions of these DEOs and the identification of their host
targets will be instrumental to gain new insights of how evolution of effector orthologs promote the
emergence of new pathogens.
With only a limited set of virulence DEOs can be tested in gene conversion experiments, this study
identified three effector DEOs as promising candidates for effectors with virulence function in
speciation. Despite these findings, one should not neglect the importance of effectors that evolved new
functions without fundamental changes in expression patterns. For this, the Pit2 effector is a potential
example: SrPit2 showed a similar expression level compared to UmPit2. However, in a previous study
we found that SrPit2 only partially complemented a *U. maydis* pit2 knock out mutant, which was
linked with a reduced ability of SrPit2 to inhibit SA-associated PLCPs (Misas Villamil *et al.*, 2019).
Furthermore, a recent apoplastic proteome analysis suggested that composition of PLCPs is different

between maize leaf and root (Schulze Hüynck *et al.*, 2019). Given that in natural conditions, *S.*
reilianum infects maize through the root while *U. maydis* infects aerial tissues, one could speculate
that Srpit2 adapted to be a more efficient inhibit of root PLCPs, while UmPit2 adapted to inhibit
PLCPs in the maize leaf. This reflects that effector function can specialize to different hosts of tissues.
In addition to this mechanism of gradual effector specialization, our approach to compare the
transcriptional levels of orthologs across two different pathogen species documented that both the
transcriptional plasticity and neofunctionalization of effector proteins contribute to pathogen
speciation. Including more phylogenetically related smut fungi infecting different hosts, such as
S. reilianum f. sp. reilianum for sorghum *and U. hordei* for barley in future research will provide a
more comprehensive map of the emergence and adaptation of pathogenicity effectors during host
adaptation and specialization.
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phylogenetic analysis; D.K.G. and M.T. provided ortholog expression normalization; W.Z. and G.D.
wrote the paper, with contributions from the other authors.
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510 **Data availability**
511 RNA sequencing data has been submitted to NCBI Genbank and are available under the following
512 links: httpsXXXXXXXXX
513

514 **References**
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668 **Figure Legends**
669
Fig.1. Comparison of *U. maydis* and *S. reilianum* growth during leaf infection. a,
calcofluor white staining of fungal hyphae and appressorium at 20hpi. **b-d**, WGA-AF488-
propidium Iodide co-staining to show the fungal biotrophic growth inside the plant cell.
Fungal cells were stained with WGA-AF488 (green), the vascular cell wall was stained with
Propidium Iodide (red). White arrows indicate the *de-novo* divided bundle sheath cells
triggered by *U. maydis* infection. White cycle showed the aggregation of *S. reilianum* cells
inside the leaf vein. **e**, the relative biomass quantification by qPCR shows the fungal growth
during infection, and a significant higher abundance of *S. reilianum* was detected at 4 dpi. **f**,
the relative fungal reads from RNA-seq, which was the ratio between reads uniquely mapped
to fungi and total reads uniquely mapped (fungi and maize). A significantly higher amount of
mapped reads was detected from *S. reilianum* at 4 dpi. "**", $p<0.05$. *Student t-test* was used
for significance test.
682
Fig.2. Overview of *U. maydis* and *S. reilianum* transcriptome, respectively. a, PCA
analysis of *U. maydis* and *S. reilianum* RNA-seq samples. **b,** expression data from three
different growth conditions. The number of differentially expressed genes (log2 fold
change>1, p>0.05) from pairwise comparison were indicated in the triangles. Red and green
triangles represent up-regulated and down-regulated genes between 2 dpi vs. axenic culture
(AC), 4 dpi vs. AC and 4 dpi vs. 2 dpi, respectively. **c,** boxplot shows transcriptional changes
of effector and non-effector genes during biotrophic growth. Effector genes were dramatically
up-regulated compared to the non-effectors genes. **d,** heatmap shows the overview of the
expression changes of effector genes. "n" shows the number of effectors detected expressing
in RNA-seq sample and the total number of effectors in the genome.
693
Fig.3. The induced pattern shows the expression changes of effectors. a, the induced
effectors are clustered into 5 patterns based on the expression changes between axenic culture
(AC), 2 dpi and 4 dpi conditions. The gray lines represent individual gene, and blue and
orange lines are the mean of all genes in each cluster. "a", "b" and "c" were used to indicate
the significance levels between each condition. Genes with log2 fold change>1 and p<0.05
were considered significantly induced in pairwise comparison. **b,** the number of induced

genes of each pattern. The *chi-square test* was used for statistic test for the significance. "**",
p<0.01.
702
Fig.4. Orthologs were differentially regulated between *U. maydis* and *S. reilianum*. a,
PCA analysis based on the relative ortholog expression of 6005 one-to-one ortholog pairs
from *U. maydis* and *S. reilianum*. **b,** the number of DEOs detected in different conditions. The
fold change>3 and p<0.05 were used to identify DEO. **c,** the GO classification of DEOs in
three different conditions. **d,** the Venn diagram shows the number of differentially expressed
effector orthologs during biotrophic growth. **e-f,** the differentially regulation of effectors
clustered by the conservation between 5 smut fungi. **e,** the phylogenetic tree of 5 smut fungi,
including *U. maydis*, *S. relianum*, *Ustilago hordei*, *S. scitamineum* and *M. pennsylvanicum*. **f,**
the number of effector DEOs in each category. *Chi-square test* was used for significance test.
"**", *p*<0.01, "***", *p*<0.001.
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Fig.5. Effector orthologs between *U. maydis* and *S. reilianum* are functional conserved. a,
a heatmap shows the expression difference and protein sequence identity of effectors ortholog
pairs which have been knocked out and subjected to virulence tests in *U. maydis*. "¶", Pit2
only conserved in functional PID motif which failed to be detected during ortholog
identification and "%ID" was not showed. **b,** the scheme demonstrated the process of
CRISPR-Cas9 mediated gene conversion. The sgRNA was designed to target the coding
sequence of *U. maydis* effector, and the donor plasmid contains *S. reilianum* ortholog coding
sequence flanked by 1kb homolog region. **c-d,** Disease scoring results of gene conversion
mutants and corresponding *U. maydis* knock out mutant. **c,** Converted UMAG_05306 and
UMAG_11060 to the *S. reilianum* orthologs did not affect the virulence in SG200. **d,**
Converted UMAG_05318 to its *S. reilianum* ortholog sr10075 or sr10079, the paralog of
sr10075, comprise SG200 virulence, and show reduced virulence as knockout mutant. The
significance was conducted by *student t-test* with disease index "*", *p*<0.05, "**", *p*<0.01.
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729 **Supplementary Captions**
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Supplementary Fig.1 The symptom of *U. maydis* and *S. relianum* infected leaves. a, The
photos shows the symptom development from 2 dpi to 4 dpi. The dashed circle shows the first
visible tumor from *U. maydis* infected leaf while the dashed rectangle shows the necrosis spot
caused by *S. relianum* infection. The back *of U. maydis* infected leaf from 4 dpi is shown to
better visualize the tumor. **b,** Confocal microscopy shows the details of the *S. reilianum*
aggregation inside the leaf vascular at 4 dpi after WGA-AF488- Propidium Iodide staining.
The fungal cells aggregate inside the vascular tissue. Scale bar=100 µm.
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Supplementary Fig.2 Differentially regulation of orthologs between *U. maydis* and *S.*
relianum from different samples. a, Pearson correlation analysis between *U. maydis* and *S.*
reilianum samples based on relative ortholog expression from 6005 one-to-one orthologs. The
r values indicate a high to low correlation between *U. maydis* and *S. reilianum* samples:
AC>2 dpi>4 dpi. **b,** Venn diagram shows the number of differentially expressed ortholog in *U.*
maydis and *S. relianum* from different conditions. About 30% and 50% of detected DEOs
were only detected from axenic culture.
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Supplementary Fig.3 Expression of pathogenic development related transcription
factors between *U. maydis* and *S. relianum* during biotrophic growth from RNA-seq
data. The transcription factors rbf1 and biz1 were highly expressed in *S. reilianum* while
transcription factors hdp2, fox1 and nlt1 were enhanced expressed in *U. maydis*. The

transcription factor ros1 shows similar expression between these two smut fungi. *Student t-*
test was used for significance test. "**", *p* <0.01.
753
Supplementary Fig.4 The distribution of effector DEOs on chromosomes. **a,** the
distribution of DEOs in 22 chromosomes based on the *U. maydis* genome organization. The
blue bar shows *U. maydis* highly expressed DEOs, and the yellow bar shows the *S. reilianum*
highly expressed DEOs. 2 dpi DEOs and 4 dpi DEOs were plotted above and below the
chromosome, respectively. The red rectangle shows effector cluster 19A. **b,** the diagram
shows the overview of synteny of effectors in cluster 19A. The effector genes are showed in
green arrows; non-effector genes are shown in dark gray. The synteny of effector genes are in
grey shade, the outline color of the shade indicates the DEO. The *U. maydis* highly expressed
effector ortholog pairs are outlined in blue, the *S. relianum* highly expressed genes are
outlined in yellow.
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765 **Supplementary Fig.5 Sequence comparison of UMAG_05318, sr10075 and sr10079. a,**
766 the maximum likelihood phylogenetic tree of UMAG_05318, sr10075 and sr10079 based on
767 the amino acid sequences. sr10079 is distant from UMAG_05318 and sr10075. **b,** the amino
768 acid sequence alignment of UMAG_05318, sr10075 and sr10079. the identical amino acids
769 were shaded in grey.
770
771 **Supplement Table.1 Oligo sequences used.**
772 **Supplement Table.2 Log2 CPM (count per million) of fungal reads.**
773 **Supplement Table.3 Relative ortholog expression data of 6005 one-to-one orthologs**
774 **between *U. maydis* and S. *reilianum*.**

Figure 1

Figure 2

Figure 3

(a)

(b)

Figure 4

Figure 5