1 **Conjugative plasmid transfer is limited by prophages but can be overcome by high**
2 **conjugation rates**
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Claudia Igler[1*], Lukas Schwyter[1], Daniel Gehrig[1], Carolin Charlotte Wendling[1*]

Affiliation:

[1] ETH Zürich, Institute of Integrative Biology, Universitätstrasse 16, 8092 Zürich, Switzerland

*Corresponding authors: carolin.wendling@env.ethz.ch, claudia.igler@env.ethz.ch

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developed the model and run the simulations, LS and DG performed experimental work, CCW

analysed experimental data, CCW and CI interpreted the data and wrote the manuscript, all authors

commented on the final version of the manuscript.

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Abstract

Antibiotic resistance spread via plasmids is a serious threat to successful treatment and makes

understanding plasmid transfer in nature crucial to preventing the global rise of antibiotic resistance.

However, plasmid dynamics have so far neglected one omnipresent factor: active prophages (phages

that are integrated into the bacterial genome), whose activation can kill co-occurring bacteria. To

investigate how prophages influence the spread of a multi-drug resistant plasmid, we combined

experiments and mathematical modelling. Using *E. coli*, prophage lambda and the plasmid Rp4 we

find that prophages clearly limit the spread of conjugative plasmids. This effect was even more

pronounced when we studied this interaction in a 'phage-friendly' environment that favoured phage

adsorption. Our empirically parameterized model reproduces experimental dynamics in some

environments well, but fails to predict them in others, suggesting more complex interactions between

plasmid and prophage infection dynamics. Varying phage and plasmid infection parameters over an

empirically realistic range suggests that plasmids can overcome the negative impact of prophages

through high conjugation rates. Overall, we find that the presence of prophages introduces an

additional death rate for plasmid carriers, the magnitude of which is determined in non-trivial ways

by the environment, the phage and the plasmid.

Keywords (3-6):

Horizontal gene transfer, prophages, plasmids, mobile genetic elements, conjugation, co-infection

Introduction

Conjugative plasmids, which can mediate their own horizontal transmission, are important vectors of horizontal gene transfer in prokaryotes and a key source of microbial genetic diversity. Many conjugative plasmids carry accessory genes, which can confer resistance to heavy metals or antibiotics [1, 2]. Understanding plasmid dynamics is therefore not only important to understanding bacterial ecology and evolution in general, but also to predict the rise of antibiotic resistance.

Even though plasmids are widespread among bacterial pathogens in nature, how they spread among bacterial populations is mostly studied in isolated environments. Yet, wherever plasmids and their host bacteria exist, they are generally surrounded by a diverse repertoire of bacteriophages [3]. Thus, it is crucial to understand how plasmids spread in the presence of phages and how such plasmid-phage interactions are shaped by their infection characteristics, for instance their transfer rates, or by environmental conditions.

Overall, bacteriophages are a major cause of bacterial mortality through host cell lysis [4, 5]. These strong reductions in bacterial densities can for instance limit plasmid persistence and spread, and can even drive plasmids to extinction - especially when plasmids do not confer a fitness benefit to their hosts [6]. So far, the impact of phages on plasmid dynamics has only been studied for lytic phages [6], whose infection always leads to host lysis. In contrast, plasmid-phage interactions using temperate phages, which can also integrate their own genetic material into the bacterial chromosome (thereby becoming a prophage), have, to our knowledge, not been studied yet.

Upon infection of a bacterial host cell, temperate phages can choose between a lytic or a lysogenic life cycle. When the ratio of phages to bacterial cells, is low, they mainly go through lytic infections. In contrast, at high phage-to-bacteria ratios, temperate phages preferably form lysogens, i.e., bacteria containing prophages [7, 8]. However, prophages can switch to the lytic cycle to replicate, assemble progeny and ultimately kill their hosts through lysis [9]. This switch happens either spontaneously (at low rates) or in response to stressful conditions (at high rates). Released phages can then kill

competing cells that are susceptible to these phages because they are not carrying the respective

prophage, which usually confers protection against superinfection [10, 11].

Considering that prophages are found in more than 50% of bacterial genomes, in which they can

constitute up to 10-20% of the genome [12], prophages are likely to influence plasmid dynamics -

which can occur in various ways and is not necessarily as obvious as for lytic phages [6] given the

complexity of their lifestyle. Released phages can for instance kill plasmid donor or recipient cells,

which will negatively influence plasmid spread and persistence. On the other hand, resident

prophages will also protect plasmids carried in the same host cell from lytic infections of related

phages due to superinfection immunity. Given the dynamic nature of phage and plasmid infections,

the outcome might be very specific to a given prophage-plasmid pair, but potentially there are more

general interaction patterns to be discovered.

Here, we experimentally investigated how the presence of a prophage and environmental

conditions influence plasmid dynamics in *E. coli*, using its naturally associated prophage lambda

together with the conjugative multidrug-resistant plasmid Rp4. A mathematical model allowed us to

explain the observed dynamics and to test the generality of our results by varying phage and plasmid

infection parameters over a wide range that captures empirically reported values. Model predictions

of plasmid spread in a new environment agree with experimental observations qualitatively but not

quantitatively, indicating unknown interactions that deserve further exploration. Overall, we find that

prophages can limit plasmid spread substantially by effectively introducing an additional death rate.

Consequently, our model predicts for example the evolution of higher plasmid conjugation rates in

phage-rich environments in order to overcome this additional death rate.

Material and Methods

Experimental work

Strains, media and culture conditions

All experiments were carried out in liquid LB ('LB') or liquid LB supplemented with 10% SM Buffer (9.9 mM NaCl, 0.8 mM MgSO4 × 7 H_2O, and 5 mM Tris-HCl) ('SM'). Antibiotics were used at the following concentrations, unless otherwise noted: Ampicillin (amp): 100 μg ml^{-1}; kanamycin (kan): 50 μg ml^{-1}, tetracycline (tet) and chloramphenicol (cm): 25 μg ml^{-1}. Mitomycin C was used at a concentration of 0.5 μg ml^{-1}.

All bacterial strains used in the present study were designed from wildtype *E. coli* K-12 MG1655 (WT; Table 1). We used three different donor strains: (1) a plasmid donor, which carried the Rp4 plasmid conferring resistance to three different antibiotics: ampicillin (amp^R), kanamycin (kan^R), and tetracyclin (tet^R), (2) a phage donor, i.e., a lysogen carrying the prophage lambda which encoded an ampicillin resistance gene, and (3) a plasmid-phage-donor, which carried both, the Rp4 plasmid and the lambda prophage. Lysogen construction was done as described in [10]. In addition, the phage donor and the plasmid-phage-donor, were both labelled with a yellow-super-fluorescent protein (SYFP) marker [13]. The recipient was labelled with a dTomato fluorescent protein and carried a chloramphenicol (cm^R) resistance gene. Strains were grown in LB-medium (Lysogeny Broth, Sigma-Aldrich) at 37° C with constant shaking at 180 rpm.

Table 1 Strains and phage used in the present study

Strain/ Phage	Characteristics
Wild type	*E. coli* K-12 MG1655
Plasmid donor	Rp4 plasmid (amp^R, kan^R, tet^R)
Phage donor	YFP, lambda+ bor::amp^R
Plasmid-phage-donor	YFP, lambda+ bor::amp^R, Rp4 plasmid (amp^R, kan^R, tet^R)
Recipient	dTomato cm^R
Lambda+	Δ(bor)::amp

<u>Bacterial and phage densities</u>

Total bacterial counts were determined by plating out 25 μl of a dilution series ranging from 10^{-1} to 10^{-6} on LB-agar plates (Sigma-Aldrich). To identify recipient strains (carrying the RFP marker) we took pictures of each plate using a ChemiDoc XRS+ and subsequently counted the colonies using ImageJ with the PlugIn CellCounter for manual cell count. To determine phage donors (carrying the YFP marker) we used a blue light. Further discriminations between all possible strains and prophage-plasmid combinations were achieved by replica plating (details are described below for each experiment separately). All plates were incubated overnight at 37°C and the total amount of colonies was counted the following day. The amount of free viral particles (PFU/ml) per culture was determined using a standard spot assay, where 2 μl of a dilution series of phages ranging from 10^{-1} to 10^{-8} diluted in SM-Buffer was spotted onto 100 μl indicator cells of the WT grown in 3 ml of 0.7% soft-agar. To obtain indicator cells we centrifuged 15 ml of an exponentially growing WT culture for 10 min at 5000 rpm, resuspended the pellet in 2 ml 10mM MgSO4 and incubated the mixture for another hour at 37° C with constant shaking.

<u>Experimental design</u>

We used two different mono-culture experiments to determine conjugation- and overall lysogenization- (meaning lysogen appearance, which subsumes various processed like induction, adsorption and life-cycle decision making) rates in LB and SM respectively. This was followed by an experiment in which we co-cultured the recipient with both donor strains (referred to as two-donor experiment), one harbouring the plasmid and one the prophage, to investigate how the presence of prophages influences plasmid dynamics and how this depends on the environment (LB or SM). To test model predictions, we performed a third experiment in which we cocultured the recipient with the phage-plasmid-donor that harboured the plasmid and the prophage simultaneously (referred to as one-donor experiment). In this experiment, we additionally looked at how different starting cell-densities influence plasmid dynamics in the presence of LB and SM. Each experiment was done with

three to four (mono-culture experiment) or six (one- and two-donor experiments) independent

biological replicates. For each replicate, single colonies of each strain were inoculated in 6 ml of LB

and grown overnight. The following day we determined the optical density of each overnight culture

at 600 nm using an automated plate-reader (Tecan infinite 200) and adjusted the OD of each culture

to the lowest measured OD, to obtain similar starting concentrations of each subpopulation per

culture.

Mono-culture experiments: To determine the conjugation rate of Rp4 or the 'lysogenization' rate

of phage lambda, we diluted the OD-adjusted overnight cultures of donors (either the phage or the

plasmid donor) and recipients 1:30 in each of the two environments and subsequently added 300 μl

of each dilution to 5400 μl LB or LB+SM, respectively. This resulted in a starting concentration of

approximately 2×10^6 CFU/ml of each strain. We then determined PFU/ml and CFU/ml from seven

time-points, i.e., T0 immediately after mixing, T1-T7 corresponding to 1, 2, 3, 5, and 7 hpm (hours

post mixing) and T24 at 24 hpm. CFU/ml was determined by selective plating on LB to estimate the

total population density and LB supplemented with cm and amp to select for transconjugants

(recipient plasmid carriers) or on LB supplemented with amp to select for new lysogens (recipient

carrying the prophage). As we had to adjust the dilutions that we chose to plate out to obtain the total

population density, this introduced a detection limit of approximately 10^3 CFU/ml for individual

subpopulations.

Two-donor experiments: To determine how prophages influence plasmid dynamics we co-cultured

both donor strains and the recipient strain at equal starting concentrations of approximately 3×10^7

of each strain type. OD-adjustment and dilutions were done as described above for the two-species

experiments. Plating at selected time points (T0 – T24, as described for the mono-culture experiment)

was done on (1) LB-agar to obtain total community densities, (2) LB-agar + kan to select for all

plasmid-carrying strains, (3) LB-agar + cm to select for all recipients. Subsequently LB-agar + cm

plates were stamped on three different selective agar plates: (3.1) LB as a reference for total cell

count, (3.2) LB-agar + amp to select for recipient strains that have acquired the phage, the plasmid or

both, (3.3) LB-agar + kan to select for recipient strains that have acquired the plasmid. Colonies from

plates (1) and (2) were further discriminated based on the fluorescent marker (YFP marker: phage or

plasmid donor, dTomato: recipient). In addition, we screened a subset of amp resistant recipients

(n=24) for phage presence using a mitomycin C induction followed by a spot-assay on the WT to

estimate the proportion of lysogens and transconjugants, which are both resistant to ampicillin.

To determine whether resistance against the ancestral phage had emerged we picked 40 colonies

each, from recipients and plasmid donors from each replicate after 24 hours. From each colony we

generated indicator cells to be used in a standard spot assay in which we spotted 2 μl of the ancestral

phage on a 3 ml lawn containing 100 μl indicator cells. No plaque formation indicated resistance

evolution.

One-donor experiment: To validate our model predictions, that a single donor, carrying the phage

and the plasmid in combination with high starting population densities will favour conjugation, we

performed a separate experiment using four different environments, i.e., LB/high, LB/low, SM/high,

SM/low, where high and low correspond to the total population density at the onset of the experiment

(high: ~8.75 ± 0.02 CFU/ml (s.e.); low: ~6.53 ± 0.03 CFU/ml (s.e.)). As plasmid donors were heavily

lysed during the two-donor experiment we now used a plasmid-phage-donor, that carried both, the

prophage and the plasmid, giving the plasmids an additional advantage through prophage-conferred

immunity to further phage infections. OD-adjustments and dilutions were done as described above

and the total populations were plated on selective plates at four selected timepoints, i.e., T0, T2, T5,

and T24 hpm. We discriminated the different colony types by selective and replica plating on LB-

agar plates carrying different antibiotics and based on their fluorescent marker as described for the

two-donor experiment. As above, we screened a subset of colonies (n=24) for phage presence using

mitomycin C induction followed by a spot-assays on the WT.

<u>Estimating fitness cost of plasmid carriage</u>: To better parameterize our model, we determined

fitness costs associated with plasmid carriage using pairwise competition assays as described in [10].

Briefly, overnight cultures of competing strains were cocultured in LB at a ratio of 1:1 and grown for

24 hours. Total cell densities were determined at 0 and 24 hours post mixing by selective plating.

Relative fitness (W) of strain A to strain B was calculated using the ratio of Malthusian parameters

of both competing strains [14], according to the following formula:

$$W = \frac{ln(abundance_{t=24})/abundance_{t=0})_{strainA}}{ln(abundance_{t=24})/abundance_{t=0})_{strainB}}$$

There were no significant fitness costs for recipients for carrying the fluorescent and the

chloramphenicol marker (Figure S5), nor when recipients acquired the plasmid (Figure S5) or the

prophage [10].

<u>Statistical analysis</u>

Transfer rates: To determine plasmid and phage transfer rates (overall lysogenization and conjugation

rate), we estimated the proportion of the curve that is linear during exponential increase of

transconjugants and new lysogens and fitted a linear regression to the data with log10 transformed

colony forming units as dependent variable and time as fixed effect. We then used the slope of the

regression line as a proxy for plasmid or phage transfer over time during exponential growth. To

determine differences in transfer rates between plasmids and phages or environments (LB or SM) we

performed a Welch's two sample *t*-test. Note, this method did not directly quantify conjugation and

lysogenization rate *per se*, but rather gives a proxy for the spread of the plasmid or the phage based

on these different recipient populations due to vertical and horizontal transmission.

Absolute numbers: To determine differences between the total amount of transconjugants and

lysogens after 24 hours in LB and SM, we performed Welch's two sample *t*-tests for each

environment. Differences in the amount of lysogens as well as transconjugants over time between

both environments were analysed using a generalized least squares model to control for

autocorrelation of residuals over time using the gls function (package nlme) with medium (LB/SM),

and time as well as their interaction as fixed effect.

Mathematical model of phage and plasmid transfer dynamics

We used a mathematical model to describe the dynamics of various bacterial populations (empty

recipients, plasmid carriers and lysogens) as well as the phage population, making the following

assumptions: As all species are generally found at high numbers, we used a deterministic model.

Further, because phage and plasmid infection dynamics show a significant, but 'fixed' time delay

(due to, either the time spent within the cell for reproduction, or the time necessary for DNA transfer),

we used delay-differential equations (dde23 solver; Matlab R2019a (The MathWorks, Natick, MA,

USA)). Lastly, as experimental cultures were grown in liquid medium with shaking, we assumed a

well-mixed environment, where plasmid transfer and phage infections can be described via mass

action kinetics. Population dynamic simulations were run for 24h, using starting densities and most

parameters fitted to empirical data (Table S1).

<u>Two-donor model (Figure 1E, equations 1-18)</u>

Bacterial cells grow at a net growth rate *r* (summarizing growth and death) until they reach

carrying capacity *K*. Cells carrying the plasmid or the prophage grow at r_p and r_l respectively,

assuming a (minor) growth cost. The plasmid can be transferred from the plasmid donor (DP) to

recipient cells (*R*), phage donors (*DL*) or recipient lysogens (*RL*) with a certain conjugation rate (*p*),

leading to recipient plasmid (*RP*), recipient lysogen plasmid (*RLP*) and phage donor plasmid (*DLP*)

cells after τ_p time units needed for transfer. Plasmids can be transferred from any plasmid-carrying

population, but conjugation slows down when cells approach stationary phase [15, 16] - which is

scaled via k_p (Equ. 16), as our empirical data suggested that conjugation is not completely inhibited

during stationary phase (see increase of transconjugants and double-carriers from T7 to T24 in Figure

1B). Including segregation loss of plasmids did not improve our model fit with experimental data.

Similarly, phages can infect recipient cells, plasmid donors (DP) and recipient plasmid carriers

(RP), which results in a decision (after τ_d time units) for lysogeny with a probability l (RL, DPL and

RPL respectively), or for lysis at a rate (1-l) producing β new virions after τ_l time units. As has been

shown before [17, 18], the lysogenization probability is dependent on the number of phages infecting

a bacterial host cell and is hence a function of the number of free phages, which has been modelled

via a power-law exponent (Equ. 14). Assuming that phage induction only occurs through spontaneous

induction, prophages are induced at a low constant rate i to produce new virions (in addition to lysis

at infection) after τ_i time units.

Phages are lost by attaching to lysogen cells, which cannot be productively infected due to

superinfection immunity of the prophage residing within the lysogen. The adsorption rate α is

dependent on the physiological state of the host bacteria and saturates with K [19, 20] – we found that

the best fit to our data came from a steep response to the approach of stationary phase, which we

included via a power-law exponent, but a weaker final reduction, as scaled by k_a (Equ.15). The

efficiency of adsorption effectively decreases if several phages are infecting one cell, because one

phage would be already sufficient for infection. Hence, we modify the absorption rate also by the

number of virions via a saturating Hill function [21] (Equ.15). Further, we included additional (sub-

)populations with lower adsorption rates, as we saw that recipient and donor plasmid cells regrew

after an initial drop in cell numbers but did not find genetically resistant cells at the end of the

experiment. This phenomenon is called phenotypic resistance [22], meaning that the population

shows heterogeneity in adsorption rates (e.g., by expressing different amounts of the lambda

receptor). Specifically, this was modeled using recipient, plasmid donor and recipient plasmid

subpopulations (RR, RPR and DPR) with lower phage adsorption rates (α_2). For simplicity we only

modeled switching into the state of 'phenotypic resistance' at rate μ, but including a back-switching

rate did not significantly change our results.

Note that for simplicity, we model plasmid and phage transfer to the same host as a sequential

process but including the possibility of transfer of both plasmid and phage to recipients at the same

time did not change our results notably due to the low probability of these events.

The processes described above are summarized in the following equations (with purple denoting

bacterial growth, red switching into phenotypic resistance, blue phage infection and lysogenization,

brown phage induction and replication via cell burst, green plasmid conjugation and orange phage

death):

$$\frac{dDL}{dt} = r_L \cdot DL \cdot \left(1 - \frac{T}{K}\right) - i \cdot DL(t - \tau_i) - p \cdot DL \cdot P \tag{1}$$

$$\frac{dDP}{dt} = r_P \cdot DP \cdot \left(1 - \frac{T}{K}\right) - \alpha \cdot DP \cdot V - \mu \cdot DP \cdot r_P \cdot \left(1 - \frac{T}{K}\right) \tag{2}$$

$$\frac{dR}{dt} = r \cdot R \cdot \left(1 - \frac{T}{K}\right) - \alpha \cdot R \cdot V - p \cdot R \cdot P - \mu \cdot R \cdot r \cdot \left(1 - \frac{T}{K}\right) \tag{3}$$

$$\frac{dRL}{dt} = r_L \cdot RL \cdot \left(1 - \frac{T}{K}\right) - i \cdot RL(t - \tau_i) + \alpha \cdot l \cdot R(t - \tau_d) \cdot V(t - \tau_d) + \alpha_2 \cdot l \cdot RR(t - \tau_d)$$
$$\cdot V(t - \tau_d) - p \cdot RL \cdot P \tag{4}$$

$$\frac{dRP}{dt} = r_P \cdot RP \cdot \left(1 - \frac{T}{K}\right) + p \cdot R(t - \tau_p) \cdot P(t - \tau_p) - \alpha \cdot RP \cdot V - \mu \cdot RP \cdot r \cdot \left(1 - \frac{T}{K}\right) \tag{5}$$

$$\frac{dDLP}{dt} = r_P \cdot DLP \cdot \left(1 - \frac{T}{K}\right) + p \cdot DL(t - \tau_p) \cdot P(t - \tau_p) - i \cdot DLP(t - \tau_i) \tag{6}$$

$$\frac{dDPL}{dt} = r_L \cdot DPL \cdot \left(1 - \frac{T}{K}\right) + \alpha \cdot l \cdot DP(t - \tau_d) \cdot V(t - \tau_d) + \alpha_2 \cdot l \cdot DPR(t - \tau_d) \cdot V(t - \tau_d) - i \cdot DPL(t - \tau_i$$

$$\frac{dRLP}{dt} = r_L \cdot RLP \cdot \left(1 - \frac{T}{K}\right) + p \cdot RL(t - \tau_p) \cdot P(t - \tau_p) - i \cdot RLP(t - \tau_i) \tag{8}$$

$$\frac{dRPL}{dt} = r_L \cdot RPL \cdot \left(1 - \frac{T}{K}\right) + \alpha \cdot l \cdot RP(t - \tau_d) \cdot V(t - \tau_d) + \alpha_2 \cdot l \cdot RPR(t - \tau_d) \cdot V(t - \tau_d) - i \cdot RPL(t - \tau_i$$

$$\frac{dRR}{dt} = r \cdot RR \cdot \left(1 - \frac{T}{K}\right) + \mu \cdot R \cdot r \cdot \left(1 - \frac{T}{K}\right) - \alpha_2 \cdot RR \cdot V - p \cdot RR \cdot P \tag{10}$$

$$\frac{dRPR}{dt} = r_P \cdot RPR \cdot \left(1 - \frac{T}{K}\right) + \mu \cdot RP \cdot r \cdot \left(1 - \frac{T}{K}\right) - \alpha_2 \cdot RPR \cdot V + p \cdot RR(t - \tau_p) \cdot P(t - \tau_p) \tag{11}$$

$$\frac{dDPR}{dt} = r_P \cdot DPR \cdot \left(1 - \frac{T}{K}\right) + \mu \cdot DP \cdot r \cdot \left(1 - \frac{T}{K}\right) - \alpha_2 \cdot DPR \cdot V \tag{12}$$

$$303 \quad \frac{dV}{dt} = i \cdot \beta \cdot (DL(t - \tau_i) + RL(t - \tau_i) + RLP(t - \tau_i) + RPL(t - \tau_i) + DLP(t - \tau_i) + DPL(t - \tau_i))$$

$$304 \quad - \gamma_V \cdot V + \alpha \cdot (1 - l) \cdot \beta \cdot V(t - \tau_l) \cdot (R(t - \tau_l) + RP(t - \tau_l) + DP(t - \tau_l)) - \alpha \cdot V$$

$$305 \quad \cdot (R + RL + DL + RP + DP + RLP + RPL + DLP + DPL) + \alpha_2 \cdot (1 - l) \cdot \beta \cdot V(t - \tau_l)$$

$$306 \quad \cdot (RR(t - \tau_l) + RPR(t - \tau_l) + DPR(t - \tau_l)) - \alpha_2 \cdot V \cdot (RR + RPR + DPR) \quad (13)$$

$$308 \qquad\qquad\qquad\qquad\qquad\qquad with \ l = l_1 \cdot V^{l_2} \qquad\qquad\qquad\qquad\qquad\qquad (14)$$

$$309 \qquad\qquad\qquad\qquad \alpha = \alpha' \cdot \frac{1}{1 + \frac{V}{V_c}} \cdot \left(1 - k_a \cdot \frac{T}{K}\right)^{k_2} \qquad\qquad\qquad\qquad (15)$$

$$310 \qquad\qquad\qquad\qquad\qquad p = p' \cdot \left(1 - k_p \cdot \frac{T}{K}\right) \qquad\qquad\qquad\qquad\qquad (16)$$

$$312 \qquad T = DL + DP + R + RL + RP + DLP + DPL + RPL + RLP + RR + RPR + DPR \qquad (17)$$

$$313 \qquad\qquad P = DP + RP + RPL + RLP + DPL + DLP + RPR + DPR \qquad\qquad (18)$$

Parameter estimation from the experiments

317   Plasmid and overall phage transfer rate parameters were inferred from mono-culture experiments

by fitting to the ratio of transconjugants or lysogens over the whole population (transconjugants or

lysogens plus recipient cells): $T/(T+R)$ [23]. This generally only holds true for initial dynamics where

horizontal gene transfer outweighs vertical transmission, but conjugation rates were not vastly

different for early (between T4 and T6) and late dynamics (T12 and T24) in our experiments. The

duration of plasmid transfer was estimated from the initial lag time and the steepness of the increase.

For phage infection parameters (i.e., adsorption, induction and lysogenization rate) we started out

with literature values and refined the fit to the observed overall phage transfer rate. Further, phage

burst size and latent period (time delay from adsorption to burst) were determined from one-step

growth curves as the time until phage numbers start to rise (minimal latent period) and the final

number of phages when phage increase levels off, relative to the starting phage number. Bacterial

growth rates of donor, recipient (r), transconjugant (r_p), and lysogen (r_l) cells were fitted via linear

regression to the slope of growth measurements for the individual populations (giving an effective

growth rate, which includes cell growth and death).

<u>Analysis of the sensitivity of model predictions to parameter variation</u>

We performed parameter sensitivity analyses for the two-donor experiments (Figure 2, S1-S3)

by varying adsorption rate [24, 25], conjugation rate [26], lysogenization probability [27], induction

rate [27-30], growth rate, and starting bacterial density over a wide range of parameters including

empirically observed values. In simulations where adsorption rate was kept constant, we used the

lower adsorption rate of LB environments. Contour plots show the absolute cell numbers of various

subpopulations at the end of a 24h-simulation run.

<u>One-donor model (Figure S4, equations 19-31)</u>

The one-donor model is a simplified version of the two-donor model, starting from a recipient

(R) and a single donor, which contains the plasmid and the prophage (D). This donor can transfer

phages and plasmids (while also being lysed according to the phage induction rate), yielding recipient

lysogens (RL), recipient plasmid (RP) and subsequently recipient lysogen plasmid carriers (RPL). We

again include phenotypically resistant subpopulations of lower adsorption rate (RR, RPR) and use the

same parameter dependencies on bacteria and/or phage numbers as described above.

These processes are summarized in the following equations (with purple denoting bacterial

growth, red switching into phenotypic resistance, blue phage infection and lysogenization, brown

phage induction and replication via cell burst, green plasmid conjugation and orange phage death):

$$\frac{dD}{dt} = r \cdot D \cdot \left(1 - \frac{T}{K}\right) - i \cdot D(t - \tau_i) \tag{19}$$

$$\frac{dR}{dt} = r \cdot R \cdot \left(1 - \frac{T}{K}\right) - \alpha \cdot R \cdot V - p \cdot R \cdot P - \mu \cdot R \cdot r \cdot \left(1 - \frac{T}{K}\right) \tag{20}$$

$$\frac{dRL}{dt} = r_L \cdot RL \cdot \left(1 - \frac{T}{K}\right) - i \cdot RL(t - \tau_i) + \alpha \cdot l \cdot R(t - \tau_d) \cdot V(t - \tau_d) + \alpha_2 \cdot l \cdot RR(t - \tau_d) \cdot V(t$$
$$- \tau_d) - p \cdot RL \cdot P \tag{21}$$

$$\frac{dRP}{dt} = r_P \cdot RP \cdot \left(1 - \frac{T}{K}\right) + p \cdot R(t - \tau_p) \cdot P(t - \tau_p) - \alpha \cdot RP \cdot V - \mu \cdot RP \cdot r \cdot \left(1 - \frac{T}{K}\right) \tag{22}$$

$$\frac{dRPL}{dt} = r_L \cdot RPL \cdot \left(1 - \frac{T}{K}\right) + p \cdot RL(t - \tau_p) \cdot P(t - \tau_p) + \alpha \cdot l \cdot RP(t - \tau_d) \cdot V(t - \tau_d) + \alpha_2 \cdot l \cdot RPR(t$$
$$- \tau_d) \cdot V(t - \tau_d) - i \cdot RPL(t - \tau_i) \tag{23}$$

$$\frac{dRR}{dt} = r \cdot RR \cdot \left(1 - \frac{T}{K}\right) + \mu \cdot R \cdot r \cdot \left(1 - \frac{T}{K}\right) - \alpha_2 \cdot RR \cdot V - p \cdot RR \cdot P \tag{24}$$

$$\frac{dRPR}{dt} = r_P \cdot RPR \cdot \left(1 - \frac{T}{K}\right) + \mu \cdot RP \cdot r \cdot \left(1 - \frac{T}{K}\right) - \alpha_2 \cdot RPR \cdot V + p \cdot RR(t - \tau_p) \cdot P(t - \tau_p) \tag{25}$$

$$\frac{dV}{dt} = i \cdot \beta \cdot (D(t - \tau_i) + RL(t - \tau_i) + RPL(t - \tau_i)) - \gamma_V \cdot V + \alpha \cdot (1 - l) \cdot \beta \cdot V(t - \tau_l)$$
$$\cdot (R(t - \tau_l) + RP(t - \tau_l)) - \alpha \cdot V \cdot (D + R + RL + RP + RPL) + \alpha_2 \cdot (1 - l) \cdot \beta \cdot V(t$$
$$- \tau_l) \cdot (RR(t - \tau_l) + RPR(t - \tau_l)) - \alpha_2 \cdot V \cdot (RR + RPR) \tag{26}$$

$$with \ l = l_1 \cdot V^{l_2} \tag{27}$$

$$\alpha = \alpha' \cdot \frac{1}{1 + \frac{V}{V_c}} \cdot \left(1 - k_a \cdot \frac{T}{K}\right)^{k_2} \tag{28}$$

$$p = p' \cdot \left(1 - k_p \cdot \frac{T}{K}\right) \tag{29}$$

$$T = D + R + RL + RP + RPL + RR + RPR \qquad (30)$$

$$P = D + RP + RPL + RPR \qquad (31)$$

Results

To determine plasmid dynamics in the presence of a prophage-carrying population, we combined experiments of plasmid spread in the absence (mono-culture experiment) or in the presence of a prophage (two-donor and one-donor experiment) with mathematical modelling. Experiments were performed in a 'standard' liquid environment (rich medium, 'LB') or in a 'phage-friendly' environment (LB supplemented with SM-buffer, 'SM'), which is characterized by increased phage adsorption rates [31].

Plasmid spread occurs later than prophage spread, but continues longer than phage infection

First, we determined phage (lysogenization) and plasmid (conjugation) transfer dynamics independently of each other (Figure 1A). Note that free phages were not added externally but resulted from prophage induction and ensuing lytic phage infection. In LB, lysogens appeared considerably earlier than transconjugants (Figure 1B). Even though lysogen formation, i.e., mean number of newly formed lysogens per minute during the exponential increase in lysogens (mean $= 0.15 \pm 0.009$ s.e.), was faster than the formation of transconjugants (mean $= 0.13 \pm 0.007$ s.e.; Figure 1), it also saturated earlier. This resulted in a significantly higher number of transconjugants than lysogens after 24 hours (Welch's two sample *t*-test at T24 in LB: $t_{4.8}=6.41$, p=0.002; Figure 1B).

In SM, the initial dynamics were similar to LB (i.e., earlier appearance of lysogens than transconjugants), however, the rate of lysogen formation (mean in SM $= 0.203 \pm 0.003$ s.e.; Welch's two sample *t*-test: $t_{2.65}=-5.22$, p=0.019; Figure 1B) as well as the absolute numbers of lysogens over time (significant time $\times$ environment interaction in generalized least squares model $F_{6,27}=23.82$, p<0.001), were significantly higher compared to LB - which explains the approximately equal numbers of transconjugants and lysogens in SM after 24 hours (Welch's two sample *t*-test at T24 in SM: $t_{3.0}=2.72$, p=0.07). This confirms that the high concentration of Mg^{2+} and Cl^- ions in the SM environment favoured phage adsorption to recipient cells [31], which resulted in a higher amount of

lysogens in SM compared to LB (Figure 1B). Notably, conjugation was not influenced by SM (non-

significant time × environment interaction in generalized least squares model $F_{7,47}$=0.98, p=0.45).

Figure 1 Phage and plasmid transfer with separate donors. (A) Mono-culture experiments with independent phage and plasmid
transfer. (B) Total amount of bacteria (black) newly formed lysogens (blue) and transconjugants (green) measured as colony forming
units log10(CFU/ml) over time in LB (left panel) or SM (right panel) in mono-culture experiments. The grey line indicates the detection
limit. (C) Two-donor experiments with one donor carrying the plasmid and one carrying the phage. Transconjugants are counted as
recipient and lysogen donors, which acquired the plasmid (green), and lysogens as recipients and plasmid donors, which acquired the
phage (blue). Double carriers are recipients, that acquired the plasmid and the phage (yellow). (D) Total population size (black) as well
as newly formed lysogens (blue), transconjugants (green), and double-carriers (yellow) measured as colony forming units
log10(CFU/ml) over time in LB or SM in two-donor experiments. (E) Model reactions and (F) 24h-simulations of phage and plasmid
transfer for the two-donor experiment (colours as described in D).

Phage infections limit plasmid spread in environments with two donors

Next, we determined the formation of plasmid- and prophage-carrying cells in co-culture with

two different donors, one plasmid-donor and one phage-donor, and one recipient (Figure 1C). We

observed a faster formation of lysogens (i.e., recipients and plasmid donors that acquired the

prophage) than of transconjugants (i.e., recipients and phage donors that acquired the plasmid) at the

beginning of the experiment, which agrees with the mono-culture experiments. However, within the

given time-frame of 24 hours, the total amount of transconjugants did not exceed the amount of

lysogens. In comparison to the mono-culture experiment, we observed a lower initial formation of

transconjugants over time, which was significant in SM but not in LB (Welch's two sample *t*-test LB:

$t_{3.69}$=-0.99, p=0.38, Welch's two sample *t*-test SM: $t_{3.05}$=5.15, p=0.013). In addition, also the final

amount of transconjugants was 1.8 and 1.5 orders of magnitude lower in LB and SM after 24 hours.

This indicates a strong negative impact of the released temperate phages on plasmid transfer. In

contrast, phage transfer was not negatively affected by plasmids and we even observed a significantly

higher formation rate of lysogens in LB and SM (Welch's two sample t-test LB: $t_{2.51}$=-13.09, p=0.002,

Welch's two sample t-test SM: $t_{5.7}$=-8.64, p<0.001) as well as a higher absolute number of lysogens

in LB compared to the mono-culture experiment. However, in the initial mono-culture experiment,

the starting ratio between donors and recipients was 1:1, whereas in the coculture experiment phage-

susceptible bacteria (recipients and plasmid-donors) outnumbered phage-donors 2:1, providing

phages with the possibility of higher amplification and likely driving the higher amount of lysogens

in the co-culture experiment in LB.

A mathematical model qualitatively reproduces empirical data

While it seems intuitive that the presence of phages would limit or slow down plasmid spread

through bacterial killing, the low abundance of double-carriers throughout the experiments was

surprising, given the abundance of transconjugants and newly formed lysogens after 5hpm. Hence,

we used a mathematical model to explore this puzzle in more depth, taking advantage of the parameter

values available from our empirical data as well as from the literature (Methods, Table S1). After

fitting constant phage and plasmid transfer parameters (adsorption and conjugation, respectively), we

found however, that it was necessary to make both rates dependent on bacterial growth (i.e., the

carrying capacity) in order to obtain a good qualitative fit to empirically observed dynamics. This is

supported by studies showing a decrease of plasmid and phage transfer in stationary phase bacteria

[21, 32]. Further, the efficiency of phage adsorption decreases with increasing phage numbers, as

more phages adsorb to one bacterial cell, but still produce only one lysogen or one phage burst.

Lysogenization rate on the other hand was found to increase with phage density ([17, 18]).

Thus, even in this deceptively simple system, consisting of only three players - phages, plasmids

and bacterial hosts - the dynamics of the interactions are complex. Still, the model qualitatively

reproduced the observed trajectories of lysogens, transconjugants and double-carriers (Figure 1F) as

well as the individual subpopulations (Figure S6). The rise of plasmid-carriers occurred earlier in the

model, likely because during the initial lag phase conjugation is not well described by mass action

kinetics [15] and we overestimated the appearance of transconjugants in this early stage. Notably,

while the model also predicted low numbers of double-carriers in LB, they were still higher than

observed empirically. To some extent, the fit between model and data is obscured by the detection

limit of subpopulations at low numbers, but this discrepancy could also indicate that the model is not

capturing all mechanisms relevant to phage or plasmid transfer in our system.

The number of transconjugants is dependent on the conjugation rate, but largely independent of

phage infection parameters

After confirming the fit with our experiments, we used the model to extend our analysis to

different plasmid and phage combinations. Therefore, we varied phage and plasmid infection

parameters over a wide range that captures previously observed empirical values (Methods). Our

main focus was on phage adsorption and plasmid conjugation rate, which can be seen as the most

comparable fitness parameter for phage and plasmid transfer [33]. In addition, we also explored

changes in other relevant infection parameters, notably lysogenization probability and induction rate,

as well as bacterial growth rate and starting population density. (Variations in burst size showed very

similar results to variations in induction rate and are not shown.)

Figure 2 Variation in modelling parameters. Contour plots give the (log-transformed) cell numbers of transconjugants (A, D), new lysogens (B, E) and double-carriers (C, F) in response to variation in adsorption and conjugation rate (top row) or growth rate and starting inoculum size (bottom row) at the end of 24h-simulations. D-F were simulated using parameters from LB environments. Asterisks show the parameter values used in the simulations for Figure 1F in LB (black) or SM (red).

Contrary to our expectations, we find that the number of transconjugants after 24h is largely

independent of the adsorption rate, and mainly depends on the conjugation rate (Figure 2A, S1A). A

high number of transconjugants can be obtained when conjugation rate is increased to values that

have been reported in empirical studies [34]. Similarly, the number of newly formed lysogens is

primarily determined by the adsorption rate, with optimal conditions for lysogen formation at

intermediate rates around 10^{-6} to 10^{-7} (Figure 2B, S1B), which is at the lower end of empirically

measured values [24]. However, for the emergence of double-carriers, both conjugation as well as

adsorption rates are limiting, producing a narrower window for high cell numbers (Figure 2C, S1A,

S1B). Again, optimal conditions can be found at intermediate adsorption rates (Figure 2C), as high

adsorption rates will lead to increased killing of plasmid-carriers and recipients by induced phages

early on in the infection - which decreases both, plasmid and phage spread. The best fit for the

adsorption parameter in the SM environment already coincides with the optimal lysogen formation

rate, but plasmid and double-carrier numbers could be increased through a higher conjugation rate

(Figure 2A,2C).

When we varied the probability to make a decision for lysogeny, we also observed the highest

numbers of newly formed lysogens and double-carriers at intermediate values (Figure S2). That is,

because variations in lysogenization probability determine the number of productively infecting

phages and hence of free phages, which affect the magnitude of phage infections in a similar manner

as the adsorption rate. The number of transconjugants is again independent of changes in

lysogenization probability (Figure S2).

The formation of transconjugants, lysogens and double-carriers, proved to be only weakly

dependent on the induction rate (Figure S3). This parameter mainly determines the timing of the

phage infection onset but has little influence on final cell numbers after 24h (as long as the epidemic

can still take off before bacteria reach stationary phase).

Despite the dependence of phage and plasmid infection parameters on bacterial growth phase

(i.e., exponential versus stationary growth), variations in bacterial growth rate have little influence on

final numbers of the individual subpopulations (Figure 2D-F). A higher starting bacterial density (3-

4 orders of magnitude) however, can increase the number of transconjugants and double-carriers at

24h by an order of magnitude (Figure 2D, 2F). This indicates that even for the same plasmid-phage

combination the number of transconjugants can be different depending on the population densities at

the onset of infection – as would also be the case without the presence of phages.

One-donor-species experiments show reversed population dynamics

In order to test our model predictions, we performed an experiment with a higher starting bacterial

density, which should increase the number of transconjugants and double-carriers. This trend was

predicted to be even stronger when we considered only one donor that carried both, the phage and the

plasmid (Figure 3A, S4, S7). By doing so, we gave plasmids an additional advantage as plasmid

donors could not be killed by released phages.

Surprisingly, while transconjugants and double-carriers were indeed appearing at substantially

higher numbers in all of the experiments with a single donor, the model neither predicted the

drastically lower numbers of lysogens observed in the experiments (meaning that newly formed

lysogens were quickly transformed into double-carriers), nor the significant increase in

transconjugants above values observed in the mono-culture experiment (Welch's two sample t-test:

$t_{7.92}$=-4.88, p=0.001; Figure 1, 3, S7). Even the increased adsorption rate in the SM environment did

not alleviate the decrease in lysogen numbers. The model fit could only be improved by decreasing

phage adsorption, increasing plasmid conjugation and assuming preferential infection of recipients

already carrying either the prophage or the plasmid (Figure S7, S8). Using this set of parameters

would also increase the absolute number of transconjugants and double-carriers substantially in the

2-donor simulations (Figure S9), indicating that the simulations are not able to capture all biologically

relevant interactions in this system.

Figure 3 One-donor experiment. (A) A single donor carrying the plasmid and the phage was mixed with recipient cells.
Transconjugants are recipients, which acquired the plasmid (green), lysogens are recipients, which acquired the prophage (blue), and
double-carriers are recipients, which acquired the plasmid and the phage (yellow). (B, C) Total population size (black) as well as newly
formed lysogens (blue), transconjugants (green), and double-carriers (yellow) measured as colony forming units log10(CFU/ml) over
time in LB (left panel) or SM (right panel) starting with high (B) or low (C) bacterial densities. (D, E) Predictions of model simulations
for phage and plasmid transfer with a single donor in LB (left panel) or SM (right panel) starting with high (B) or low (C) bacterial
densities (colours as indicated for experiments).

Another unexpected observation in this one-donor experiment was the rapid emergence of

transconjugants at the first measurement point (Figure 3B, 3C), which did not allow us to estimate

the initial rate of increase in those experiments. This might be caused by induction of lysogens

continuously killing a small part of the plasmid donor population, meaning that overnight cultures

might undergo more turnover [35] and that a larger fraction of the population might still be capable

of conjugation [16].

Discussion

Here, we present the first investigation into the dynamics of plasmid spread in the presence of temperate phages. While we observe the intuitive effect of all phages – killing of bacterial cells - we also show the complexity in understanding the magnitude and impact of this death factor in different environments when considering temperate phages. Our results open up new avenues of exploration and set up expectations for plasmid evolution in nature.

Already the comparison between plasmid and phage transfer in mono-culture (Figure 1B) revealed interesting differences in their transfer dynamics: while lysogenization occurred rapidly after mixing with recipient cells, plasmid conjugation showed a lag of several hours. This is surprising, given that for phage infection and subsequent lysogenization to occur, prophages first have to be induced (which happens at a low spontaneous rate) and need to reach a high enough phage-to-bacteria ratio for lysogenization to take place at a significant frequency [7, 8]. In agreement with our data however, it has been shown before that conjugation frequency for some plasmids increases only slowly over the exponential growth phase and peaks at the transition to stationary phase [16]. Another, mutually non-exclusive, explanation could be that recipients pay a plasmid acquisition cost (in addition to the plasmid metabolic burden), which slows down initial growth and spread of transconjugants [36]. Even though transconjugants increased at a significantly slower rate than lysogens (Figure 1B), they increased for longer than the lysogen subpopulation, even after the total bacterial population reached stationary phase. These non-trivial and unequal transfer dependencies on host cell physiology were crucial in model reproduction of empirical observations. While these dependencies have been studied for each system in isolation [16, 20], the outcome of their respective transfer dynamics in environments with plasmids and prophages are hard to predict and will require further experiments to understand the influence of host physiology on concomitant infection dynamics of phages and plasmids.

Our experimental work showed that spontaneous induction of prophages in co-cultures with phage-susceptible plasmid donor and recipient cells can limit plasmid transfer: while the initial rate

of increase was only significantly lower in one environment (SM), the total number of transconjugants

was significantly reduced in both environments (Figure 1D). Such phage-mediated negative impacts

on plasmid spread and existence have also been reported for lytic phages [6]. The situation is less

obvious when considering temperate phages, whose potential for killing cells depends not only on

bacterial numbers, but also on phage density, often producing only a relatively short burst of (notable)

lytic activity [3, 18]. Additionally, plasmids in double-carrier cells are protected from further

infection of (related) phages by the resident prophage. Hence, the presence of prophages during

conjugation assays could distort the measurement of conjugation rates, potentially showing

environmental or growth rate dependencies caused by other factors than plasmid transfer.

Overall, transconjugant dynamics in the presence of lysogens can be approximated by interpreting

phages as an additional (though strongly environment-dependent) death rate for non-lysogen cells

(Figure S10). As prophages are pervasive in natural isolates [3], these findings are highly relevant for

understanding the spread of mobile genetic elements, like plasmids, in natural environments. Our

model predicted for example that plasmids should evolve high conjugation rates in prophage-rich

environments in order to overcome the inhibition through phage killing (Figure 2, S1). As high

conjugation rates lead to a high number of plasmid-carriers and double-carriers even at low phage

donor and recipient numbers, the ability to overcome the 'phage death rate' is largely independent of

phage infection parameters, and hence valid for any particular prophage type. Furthermore, the ability

of some plasmid types to conjugate at normal or even higher rates during stationary phase [37] could

be an attempt at 'catching up' while most temperate (and many lytic) phages are unable to propagate.

Phage killing of cells, on which the phages, but also the plasmids, rely for survival, introduces a

feedback into the system, which results in a complex dependence of infection dynamics on

environmental conditions. We found that under conditions advantageous for plasmid-carriers (a

single plasmid-phage donor and lower initial host availability for phage replication) lysogen transfer

was strongly reduced, far beyond what our empirically parametrized model predicted - even when

adjusting phage and plasmid transfer rates in a reasonable range around the rates fitted from the mono-

culture and two-donor experiments. The model was also not able to reproduce the abundance of double-carriers, which was either overestimated in the two-donor experiment or underestimated in the one-donor experiment. This indicates that the biological processes involved in the formation of double-carriers are more complex then assumed. Those processes could for instance include interactions between phage and plasmid defence and anti-defence mechanisms, such as restriction-modification (RM) and anti-restriction systems, which can be encoded on plasmids [38], and phages [39]. The Rp4 plasmid, as well as the lambda prophage, used in this study both encode anti-restriction systems, which have been shown to be active against the RM-system EcoK in *E. coli* [39, 40]. However, our lab strain MG1665 (K12) does, to our knowledge (https://international.neb.com/tools-and-resources/usage-guidelines/restriction-of-foreign-dna-by-e-coli-k-12), not carry EcoKI or other type II restriction systems, which would render the above mentioned anti-restriction systems inactive. Hence, our model analysis suggests more general, yet unknown, interactions between phages and plasmids during concomitant or sequential infection.

Besides their role in killing susceptible bacteria, temperate phages can also transfer genes horizontally via a plethora of mechanisms, including specialized and generalized transduction (packaging of non-phage genes) or expression of genes that are potentially beneficial for the host in the prophage state (lysogenic conversion) [41]. In our two-donor experiment, conjugation rate seemed to be the limiting factor for the number of transconjugants and double-carriers. Hence, we expect that in environments or plasmid types where conjugation rates are low, prophages would be more efficient resistance or virulence gene spreaders (Figure 2). Similarly, in environments with prophage types characterized by low adsorption rates we expect plasmids to be the dominant spreader of resistance or virulence genes. If conjugation and adsorption rate both are relatively high, double carriers will be abundant and horizontal gene transfer should be efficient via both, plasmids and temperate phages. As accessory genes, capable of increasing bacterial fitness in a specific environment, need to be transferred by the preferred mode in that environment, interactions between prophages and plasmids could be instrumental in determining the location of horizontally transferred genes.

621 In summary, we find that the presence of active prophages in the environment limits plasmid

622 transfer by introducing an additional death rate, the magnitude of which however is determined by

623 the specific population dynamics and non-trivial to predict for different environmental conditions.

624 Notably, either prophages or plasmids can increase their own transfer largely independently of the

625 specific plasmid-prophage pair.

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