Adaptive evolution in virulence effectors of the rice blast fungus *Pyricularia*

oryzae

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ABSTRACT

Plant pathogens secrete proteins called effectors that target host cellular processes to promote

disease. Recently, structural genomics has identified several families of fungal effectors that

share a similar three-dimensional structure despite remarkably variable amino-acid sequences

and surface properties. To explore the selective forces that underlie the sequence variability of

structurally-analogous effectors, we focused on MAX effectors, a structural family of effectors

that are major determinants of virulence in the rice blast fungus *Pyricularia oryzae*. Using

structure-informed gene annotation, we identified 58 to 78 MAX effector genes per genome in a

set of 120 isolates representing seven host-associated lineages. The expression of MAX effector

genes was primarily restricted to the early biotrophic phase of infection and strongly influenced

by the host plant. Pangenome analyses of MAX effectors demonstrated extensive

presence/absence polymorphism and identified gene loss events possibly involved in host range

adaptation. However, gene knock-in experiments did not reveal a strong effect on virulence

phenotypes suggesting that other evolutionary mechanisms are the main drivers of MAX effector

losses. MAX effectors displayed high levels of standing variation and high rates of non-

synonymous substitutions, pointing to widespread positive selection shaping the molecular

diversity of MAX effectors. The combination of these analyses with structural data revealed that

positive selection acts mostly on residues located in particular structural elements and at

specific positions. Our work provides unique insights into the evolutionary history of an

extended fungal effector family and opens up new research avenues to deepen our

understanding of the molecular coevolutionary interactions of fungi with plant hosts.

AUTHOR SUMMARY

Fungal plant pathogens use small secreted proteins, called effectors, to manipulate to their own

advantage their host's physiology and immunity. The evolution of these effectors, whether

spontaneously or in response to human actions, can lead to epidemics or the emergence of new

diseases. It is therefore crucial to understand the mechanisms underlying this evolution. In this

article, we report on the evolution of effectors in one of the prime experimental model systems

of plant pathology, the fungus causing blast diseases in rice, wheat, and other cereals or grasses.

We identify a particular class of effectors, the MAX effectors, using structural models based on

experimental protein structures of effectors previously shown to have a major role in fungal

virulence. We show that this class of effector is produced by the pathogen during the early stages

of infection, when plant cells are still alive. By comparing the gene content of isolates infecting

different plant species, we show that the MAX effector arsenal is highly variable from one isolate

to another. Finally, using the inferential framework of population genetics, we demonstrate that

MAX effectors exhibit very high genetic variability and that this results from the action of natural

selection.

INTRODUCTION

Plant pathogens secrete effector proteins to manipulate the physiology and metabolism of their

host and to suppress its immunity. Consequently, effectors are expected to engage in

coevolutionary interactions with plant defense molecules. The proximate mechanisms of

effector-driven adaptation are relatively well-characterized: plant pathogens adapt to new hosts

through changes in effector repertoires and effector sequences [1, 2]. However, the ultimate

(eco-evolutionary) mechanisms underlying effector diversification have remained elusive. The

concept of coevolution posits that adaptation in one partner drives counter-adaptations in the

coevolving partner [3-5]. Under the co-evolutionary arms race model, variation for disease

resistance and pathogen virulence is transient, resulting in a turnover of sequence variation

through repeated episodes of strong directional selection [6]. In agricultural systems, because

pathogens tend to be ahead of their hosts in the arms race owing to their larger populations and

shorter generation times, the co-evolutionary arms race tends to result in so-called boom and

bust cycles [7]. Under the alternative, 'trench warfare' hypothesis, advances and retreats of

resistance or virulence genes frequencies maintain variation as dynamic polymorphisms [8, 9].

The maintenance of genetic polymorphisms is called 'balancing selection', a process by which

different alleles or haplotypes are favored in different places (via population subdivision)

and/or different times (via frequency-dependent negative selection). While there is a growing

body of data demonstrating the nature and prevalence of the selective pressures that shape the

diversity of immune systems in plants [6, 10-12], we still lack a clear picture of the co-

evolutionary mechanisms underlying the molecular evolution of virulence factors in their

interacting antagonists [13].

Effectors from plant pathogenic fungi are typically cysteine-rich secreted proteins

smaller than 200 amino acids with an infection-specific expression pattern. Effectors are

numerous in fungal genomes (several hundred to more than a thousand per genome), and rarely

show homologies with known proteins or domains. They are also highly variable in sequence

and do not form large families of sequence homologs. Based on similarity analyses, fungal

effectors can form small groups of paralogs (typically with less than five members), but they are

most often singletons. This apparent lack of larger effector families has hindered attempts to

probe into the evolutionary factors underlying their diversification. In addition, the high

diversity of fungal effectors has hampered functional analyses due to the lack of good criteria for

prioritizing them and our inability to predict their physiological role. Consequently, the

virulence function and evolutionary history of most fungal effectors remain unknown.

Recently, the resolution of the three-dimensional (3D) structure of fungal effectors

combined with Hidden Markov Model (HMM) pattern searches and structure modeling revealed

that fungal effector repertoires are, despite their hyper-variability, dominated by a limited

number of families gathering highly sequence-diverse proteins with shared structures and,

presumably, common ancestry [14-17]. One such structurally-conserved but sequence-diverse

fungal effector family is the MAX (*Magnaporthe* Avrs and ToxB-like) effector family. MAX

effectors are specific to ascomycete fungi and show massive expansion in *Pyricularia oryzae*

(synonym: *Magnaporthe oryzae*) [17], the fungus causing rice blast disease, one of the most

damaging diseases of rice [18, 19]. MAX effectors are characterized by a conserved structure

composed of six β-strands organized into two antiparallel β-sheets that are stabilized in most

cases by one or two disulfide bridges. The amino acid sequence of MAX effectors is very diverse

and they generally have less than 15% identity, which makes them a family of analogous, not

homologous effectors. MAX effectors are massively expressed during the biotrophic phase of

infection, suggesting an important role in disease development and fungal virulence [17].

Remarkably, about 50% of the known avirulence (AVR) effectors of *P. oryzae* belong to the MAX

family, indicating that these effectors are closely monitored by the host plant immune system

[17].

Pyricularia oryzae is a multi-host, poly-specialist pathogen that infects more than 50

monocotyledonous plants, including major cereal crops such as rice, maize, wheat, or barley [20-

23]. *Pyricularia oryzae* has repeatedly emerged on new hosts [21, 24], in new geographical areas

[25, 26], and phylogenomic analyses have revealed that it can be subdivided into several genetic

lineages, each preferentially associated with a specific or restricted set of host plant genera [27].

In *P. oryzae*, effectors can play a major role in host-shifts or host-range expansions [28-30]. For

example, loss of function of the PWT3 effector in *Lolium*-infecting strains contributed to gain of

virulence on wheat [29]. Similarly, loss of the MAX effector AVR1-CO39 is thought to have

contributed to the emergence of rice blast from foxtail-millet infecting isolates [20, 31]. This

indicates that MAX effectors may be important determinants of host specificity in *P. oryzae*.

In this study, we characterized the genetic diversity of MAX effectors in *P. oryzae* and

within its different host-specific lineages. We explored the evolutionary drivers of the

diversification of MAX effectors and tested whether MAX effectors represent important

determinants of *P. oryzae* host specificity. To this aim, we assembled and annotated 120 high-

quality *P. oryzae* genomes from isolates representing seven main host-specific lineages. We

mined these genomes for putative effectors and used hidden Markov models based on fold-

informed protein alignments to annotate putative MAX effectors. We identified 58 to 78 putative

MAX effector genes per individual genome distributed in 80 different groups of MAX homologs.

We showed that the expression of *MAX* effector genes is largely restricted to the early biotrophic

phase of infection and strongly influenced by the host plant. Our evolutionary analyses showed

that MAX effectors harbor more standing genetic variation than other secreted proteins and

non-effector genes, and high rates of non-synonymous substitutions, pointing to positive

selection as a potent evolutionary force shaping their sequence diversity. Pangenome analyses of

MAX effectors demonstrated extensive presence/absence polymorphism and identified several

candidate gene loss events possibly involved in host range adaptation. Our work demonstrates

that MAX effectors represent a highly dynamic compartment of the genome of *P. oryzae*, likely

reflecting intense co-evolutionary interactions with host molecules.

RESULTS

Genome assembly and prediction of MAX effector genes.

We assembled the genomes of a worldwide collection of 120 haploid isolates of *Pyricularia*

oryzae fungi from 14 host genera: *Oryza* (n=52), *Triticum* (n=21), *Lolium* (n=12), *Setaria*

(n=8), *Eleusine* (n=8), *Echinochloa* (n=4), *Zea* (n=4), *Bromus* (n=2), *Brachiaria* (n=2),

Festuca (n=2), *Stenotaphrum* (n=2), *Eragrostis* (n=1), *Hordeum* (n=1), and *Avena* (n=1) (S1

Table). Assembly size ranged from 37Mb to 43.2Mb, with an average size of 40.2 Mb (standard

deviation [s.d.]: 1.9Mb). L50 ranged from five to 411 contigs (mean: 97.1; s.d.: 83.2) and N50

from 28Kb to 4.0Mb (mean: 238.6Kb; s.d.: 43.8Kb; S1 Table). Gene prediction based on protein

sequences from reference 70-15 and RNAseq data identified 11,520 to 12,055 genes per isolate

(mean: 11,763.2; s.d.: 103.7). The completeness of assemblies, as estimated using BUSCO [32],

ranged between 93.4 and 97.0% (mean: 96.4%; s.d.: 0.6%; S1 Table).

MAX effectors were identified among predicted secreted proteins using a combination of

similarity searches [33, 34] and structure-guided alignments [35] as summarized in Figure 1. To

assess variation in the MAX effector content of *P. oryzae*, we constructed groups of homologous

genes (i.e., "orthogroups" or OG) using the clustering algorithm implemented in ORTHOFINDER

[36]. A given orthogroup was classified as secreted proteins or MAX effectors if 10% of

sequences in the group were identified as such by functional annotation. Sequences were

grouped in 14,767 orthogroups, of which 80 were classified as encoding MAX effectors, and

3,283 as encoding other types of secreted proteins (Figure 1). The number of MAX orthogroups

per isolate ranged from 58 to 73 (average: 65.8; s.d.: 2.8), representing between 58 to 78 *MAX*

genes per isolate (average: 68.4; s.d.: 3.6). The 80 orthogroups of MAX effectors were further

split into 94 groups of orthologs, by identifying paralogs using gene genealogies inferred with

RAxML v8 [37] (S2 Table).

Figure 1. Schematic representation of the key steps of the bioinformatic pipeline used to predict genes in 120

genomes of *Pyricularia oryzae*, and to identify genes encoding MAX effectors. References: Gladieux et al. 2018 [27];

Pordel et al. 2021 [21].

Expression of MAX effector genes during rice infection.

To determine whether these putative MAX effectors are deployed by *P. oryzae* during plant

infection, we analyzed the expression patterns of the 67 *MAX* genes predicted in the genome of

the reference isolate Guy11 by qRT-PCR (Figure 2A). Using RNA samples from Guy11 mycelium

grown on artificial media, we found that 94% of the *MAX* genes (63 genes) were not, or very

weakly expressed during axenic culture, and only four (i.e., *MAX24, MAX29, MAX59,* and

MAX66) showed weak, medium or strong constitutive expression (Figure 2A). *MAX* genes were,

therefore, predominantly repressed in the mycelium of *P. oryzae*.

Following spray inoculation of Guy11 on the rice cultivar Maratelli, which is highly

susceptible to *P. oryzae*, 67% of the *MAX* genes (45 genes) were expressed (Figure 2A). Among

them, three were also expressed in the mycelium (i.e., *MAX31, MAX59*, and *MAX94*). *MAX31* was

over-expressed under infection conditions, whereas the other two showed similar levels of

expression *in vitro* and during infection. 64% of the *MAX* genes (42 genes) showed an infection-

specific expression profile with relative expression levels ranging from very low (0.008-0.04) to

very high (>5). Like the *Bas3* gene, encoding a *P. oryzae* effector specifically induced during the

biotrophic phase of infection, all *MAX* genes showed maximal expression between the second

and fourth day post-inoculation (Figure 2A; S1 Figure).

192   To test whether the genotype of the host plant could influence the expression of *MAX*

genes, we analyzed their expression patterns upon infection of the rice cultivar Kitaake, which

has a higher basal resistance to *P. oryzae* than Maratelli (Figure 2A; Figure 2B). During Kitaake

infection, 78% of the *MAX* genes (52 genes) were upregulated compared to the *in vitro*

condition, while only 64% (43 genes) were induced upon infection of Maratelli (Figure 2A).

Some *MAX* genes not expressed in Maratelli were induced in Kitaake (e.g., *MAX24, MAX30,*

MAX32, MAX43, MAX71, and *MAX73*) (Figure 2B, S2 Figure). Others were significantly

upregulated in Kitaake compared to Maratelli (i.e., *MAX22, MAX44, MAX55, MAX57, MAX69*, and

MAX91). However, a few genes, such as *MAX15, MAX37* and *MAX62*, among the most strongly

expressed effectors in Maratelli, showed weaker levels of expression in Kitaake. These results

show that Guy11 deploys a wider diversity of MAX effectors during the infection of Kitaake

compared to that of Maratelli, and that MAX effectors are subject to host-dependent expression

polymorphism.

205   Taken together, our data revealed that during the biotrophic phase of rice infection, *P.*

oryzae massively deploys MAX effectors in a plastic manner suggesting that they have an

important function in fungal virulence.

Figure 2. The expression of *MAX* genes is biotrophy-specific and is influenced by the host plant. (A) Transcript levels

of *MAX* genes and the biotrophy marker gene *Bas3* were determined by qRT-PCR in the mycelium (Myc) of the *P.*

oryzae isolate Guy11 grown for 5 days in liquid culture, and in infected leaves of the rice cultivars Maratelli and

Kitaake at 2, 3, 4, and 7 days post inoculation (dpi) with Guy11. Relative expression levels were calculated using the

constitutively expressed *MoEF1α* (*Elongation Factor 1α*) gene as a reference. The heatmap shows the median relative

expression value for each gene (in log2 scale), calculated from 6 independent biological samples for the Myc

condition, and 3 independent inoculation experiments (each with 5 independent leaf samples per time point) for each

rice cultivar. Effectors were ranked from top to bottom by increasing relative expression values in Maratelli. Relative

expression values were assigned to six categories: not expressed (<0.008), very weakly (0.008-0.04), weakly (0.04-

0.2), moderately (0.2-1), strongly (1-5) and very strongly expressed (>5). (B) Scatter plot comparing the relative

expression levels of MAX genes in Guy11-infected Maratelli and Kitaake cultivars. Each point shows the maximum

median relative expression value (in log10 scale) calculated in the infection kinetics described in (A). Difference in

effector relative expression levels between the two conditions was assessed by Mann-Whitney U tests and dots were

colored according to significance results: grey (p>0.05), yellow (p<0.05), orange (p<0.001), red (p<0.0001), black

(effectors not expressed in both conditions).

Variability of the MAX effector repertoire.

To investigate the genetic diversity of MAX effectors in *P. oryzae*, we analyzed their nucleotide

diversity per base pair (π), their ratio of non-synonymous to synonymous nucleotide diversity

(π_N/π_S), and their presence-absence polymorphism. Compared to other secreted proteins or

other genes, MAX effector orthogroups had higher π, and π_N/π_S values, and lower presence

frequency (S3 Figure). Orthogroups including known avirulence genes like *AVR1-CO39*, *AvrPiz-t*

and *AVR-Pik* featured among the most diverse orthogroups of MAX effectors (S1 Data).

We categorized genes in the pangenome according to their presence frequencies [38],

with core genes present in all isolates, softcore genes present in >99% isolates, cloud genes

present in 1-99% isolates and shell genes present in <1% isolates. The majority of MAX effector

genes were classified as cloud (64/80 [80%] orthogroups), while the majority of other secreted

proteins or other genes were classified as core or softcore (1650/3283 [50.2%] and

6714/11404 [58.9%] orthogroups, respectively) (Figure 3A). Only a minority of genes were

present in multiple copies (MAX: 15/80 [18.8%]; other effectors: 746/3283 [22.7%]; other

genes: 1439/11404 [12.6%]; Figure 3A). Assessment of the openness of the pan-genome by

iteratively subsampling isolates revealed a closed pangenome with a limited number of pan and

core genes for MAX effectors, other secreted proteins and the remainder of the gene space

(Figure 3B). Nucleotide diversity differed significantly between categories of the pangenome for

non-MAX effectors (Kruskal-Wallis test: H=181.17, d.f.=2, p<0.001) and other genes (Kruskal-

Wallis test: H=225.25, d.f.=2, p<0.001), but not for MAX effectors (Kruskal-Wallis test: H=2.50,

d.f.=2, p>0.05). For non-MAX effectors and other genes, nucleotide diversity π was significantly

higher in the cloud genes than in softcore genes and core genes (Post-hoc Mann-Whitney U-

tests, p<0.001; Figure 3C).

 Together, these analyses show that the MAX effector repertoire is highly plastic
compared to other gene categories, both in terms of the presence/absence of orthogroups and
the sequence variability within orthogroups.

Figure 3. The pan-genome of *P. oryzae*. (A) Composition of the pangenome of MAX effectors, other secreted proteins,
and other genes. (B) Rarefaction analysis of the size of pan- and core-genomes. For k ranging from two to the sample
size minus one, pan- and core-genome sizes were computed for 1000 random combinations of k isolates. Subsample
size is represented as a fraction of the sample size (n=121), and pan- and core-genome sizes as a fraction of maximum
gene counts (reported at the center of donut plots in panel A). "core" genes are present in all isolates of a pseudo-
sample of size k; "pan" qualifies genes that are not "core". (C) Nucleotide diversity per base pair (π) in core, softcore,
and cloud genes. A number of data points were cropped from the nucleotide diversity plot for visually optimal
presentation but included in statistical tests. In box plots, the dashed black line is the mean, the solid black line is the

median. Shell genes were not included in the nucleotide diversity plot because it was not computable due to the small

sample size or lack of sequence after filtering for missing data. Shared superscripts indicate non-significant

differences (Post-hoc Mann-Whitney U-tests).

Population subdivision.

To investigate signatures of positive selection in the genome of *P. oryzae*, and identify candidate

loci involved in host specificity, we first identified the divergent lineages represented in our

dataset. We inferred population structure from 5.04e5 SNPs in single-copy core orthologs, using

complementary approaches that make no assumption about random mating or linkage

equilibrium. Both clustering analyses with the sNMF software [38] (Figure 4A) and neighbor-net

phylogenetic networks [39] (Figure 4B) revealed consistent patterns that split genetic variation

primarily by host of origin, with seven major lineages mainly associated with rice (*Oryza*),

foxtail millet (*Setaria*), wheat (*Triticum*), ray-grass (*Lolium*), goosegrass (*Eleusine*), barnyard

grass and maize (*Echinochloa* and *Zea*), and St. Augustine grass (*Stenotaphrum*).

Population subdivision inferred from MAX effectors using either 130 SNPs without

missing data in single-copy core MAX effectors (Figure 4C) or presence/absence variation of all

80 MAX effector orthogroups (Figure 4D) revealed essentially the same groups as the analysis of

the single-copy core orthologs. This indicates that genome-wide nucleotide variation, variation

in MAX effector content, and nucleotide variation at MAX effectors reflected similar genealogical

processes. The *Oryza* and *Setaria* lineages displayed exceptionally high presence/absence

variation of MAX effectors (average Hamming distance between pairs of isolate: 0.123 and

0.095; Figure 4D), but only limited sequence variation at single copy core MAX effectors

(average Hamming distance between pairs of isolate: 0.017 and 0.012; Mann-Whitney U-tests,

$p < 0.05$; Figure 4C).

Population subdivision was also apparent at the level of the global characteristics of

genomes. Assembly size differed significantly among lineages (Kruskal-Wallis test: H=72.9,

d.f.=4, p<0.0001), and genome assemblies for the *Oryza*-infecting lineage, in particular, were

significantly shorter than assemblies from other groups (Post-hoc Mann-Whitney U-tests,

p<0.001; S4 Figure). The number of predicted genes, which was positively and significantly

correlated with assembly size (Spearman's $\rho=0.31$, $p<0.001$), also differed significantly among

lineages and was the highest in the *Lolium*-infecting lineage and the lowest in the *Eleusine*-

infecting lineage (Kruskal-Wallis test: H=19.4, d.f.=4, p<0.0001; S4 Figure). The distribution of the number of orthogroups in lineages was largely similar to the distribution of the number of genes, with more orthogroups in the *Lolium*-infecting lineage and fewer in the *Eleusine*-infecting lineage (S4 Figure).

Figure 4. Population subdivision in 120 isolates of *Magnaporthe oryzae*. Population subdivision was inferred from (A-B) 5.04e5 single nucleotide polymorphisms (SNPs) without missing data identified in coding sequences of single-copy core orthologs, (C) 130 SNPs without missing data identified in coding sequences of single-copy core MAX effectors, (D) a table of presence/absence data (coded as 0 and 1) for all 80 MAX effector orthogroups. (A) Genetic ancestry

proportions for individual isolates in K=7 ancestral populations, as estimated using the sNMF clustering algorithm

[38]; each isolate is depicted as a horizontal bar divided into K segments representing the proportion of ancestry in

K=7 inferred ancestral populations; host genus of origin is indicated on the right side. (B-D) Neighbor-net

phylogenetic networks estimated with SPLITSTREE [39], with isolate names colored according to their host of origin. In

(C), haplotypes repeated multiple times were represented by the first items in the following lists: (BN0252, CD0065,

CH0043, CH0072, CH0452, CH0461, IN0114, IN0115, IN0116), (IB33, ML0060, ML0062, ML33, NG0054, NP0058,

TG0004, TG0032, US0041, VT0027, VT0030), (TR0025, Y34), (CHRF, HO, LPKY97, P28).

Loss of MAX effectors in specific lineages does not necessarily associate with host specificity.

The comparison of the MAX effector content in the genomes of 120 *P. oryzae* isolates revealed

extensive presence/absence polymorphism between host-specific groups (S3 Table). To address

the underlying evolutionary mechanisms, we tested experimentally the hypothesis that MAX

effector losses are massively related to escape from receptor-mediated non-host resistance.

Indeed, the loss of MAX effectors in specific lineages of *P. oryzae* could primarily serve to escape

from non-host resistance during infections of novel plant species carrying immune receptors

specifically recognizing these effectors. To test this hypothesis, we focused on the *Oryza-* and

Setaria-infecting lineages, as previous investigations suggested that the *Oryza*-infecting lineage

emerged by a host shift from *Setaria* and we found both groups to be closely related (Figure 4)

[21, 40]. Our strategy was to introduce into the *Oryza*-isolate Guy11 MAX effectors absent from

the *Oryza* lineage but present in the *Setaria* lineage, and to assess the ability of these transgenic

isolates to infect rice.

We identified three MAX orthogroups that were largely or completely absent from the

Oryza lineage, but present in the majority of isolates of the other lineages (S3 Table).

Orthogroup MAX79 (OG0011591-1) was absent in all 52 *Oryza*-infecting isolates, while MAX83

(OG0011907), and MAX89 (OG0012141) were absent in 50 and 46 of them, respectively (S3

Table). Constructs carrying the genomic sequence of *MAX79*, *MAX83* or *MAX89* derived from the

Setaria isolate US0071 and under the control of the strong infection specific promoter of the

effector *AVR-Pia* were generated and stably introduced into Guy11. For each construct, three

independent transgenic lines were selected. Transgene insertion was verified by PCR and the

expression of transgenes was measured by qRT-PCR (S5 Figure). To test whether the selected

MAX effectors trigger immunity in rice, the transgenic isolates were spray-inoculated onto a

panel of 22 cultivars representative of the worldwide diversity of rice (S4 Table).

As controls, we used the MAX effectors *AVR-Pia*, which is rare outside the *Oryza* and

Setaria lineages, and *AVR1-CO39*, which is absent or pseudogenized in the *Oryza* lineage, but

present in all other host-specific lineages including *Setaria*. Both effectors are detected in rice by

the paired NLR immune receptors RGA4 and RGA5 from the *Pi-a/Pi-CO39* locus and thereby

contribute, respectively, to host or non-host resistance in this plant species [41, 42].

As expected, isolates expressing *AVR1-CO39* or *AVR-Pia* triggered resistance in the rice

variety Aichi Asahi that carries *Pi-a*, but caused disease on Nipponbare (*pi-a*⁻) and other varieties

lacking this *R* locus (Figure 5; S4 Table). Unlike the positive controls, the effectors MAX79,

MAX83 and MAX89 were not recognized and did not induce resistance in any of the tested rice

cultivars (Figure 5; S4 Table). The disease symptoms caused by the transgenic isolates carrying

these effectors were similar to those observed for wild-type Guy11 or Guy11 isolates carrying an

RFP (red fluorescent protein) construct. This suggests that these effectors do not significantly

increase the virulence of Guy11.

These experiments show that despite their loss in the *Oryza*-infecting lineage of *P.*

oryzae, and unlike AVR1-CO39, the effectors MAX79, MAX83, and MAX89 do not seem to induce

non-host resistance in rice. Consequently, other mechanisms than escape from host immunity

contributed to the loss of these MAX effectors during the putative host shift of *P. oryzae* from

Setaria to *Oryza*.

Figure 5. AVR1-CO39 contributes to non-host specificity in rice but not MAX79, MAX83 or MAX89. Wild type and transgenic isolates of *P. oryzae* Guy11 expressing the *RFP* (*red fluorescent protein*), *AVR-Pia, AVR1-CO39, MAX79, MAX83* or *MAX89* gene were spray-inoculated at 40 000 spores/ml on three-week-old rice plants of the cultivars Aichi Asahi (A) and Nipponbare (B). For each condition, representative disease phenotypes on rice leaves at seven days post-inoculation are shown (top panels, R: resistance, S: susceptibility). Disease phenotypes were also scored (from 1 [complete resistance] to 6 [high susceptibility]) on leaves from 3 to 5 individual rice plants and data are shown as dot plots (bottom panels). The size of each circle is proportional to the number of replicates (n) matching the corresponding score for each condition. Small red dots correspond to individual measurements. The experiment was

performed twice for Aichi Asahi and four times for Nipponbare for all isolates except for WT, AVR-Pia, and AVR1-

CO39 control isolates. For these isolates, experiments were performed once on Aichi Asahi and twice on Nipponbare

because disease phenotypes are well characterized in the literature.

Signatures of balancing selection at MAX effectors.

To investigate the impact of balancing selection on MAX effector evolution, we focused on single-

copy core, softcore, and cloud orthogroups to avoid the possible effect of gene paralogy. We then

computed π (nucleotide diversity per bp), F_{ST} (the amount of differentiation among lineages

[43]), π_N (non-synonymous nucleotide diversity), π_S (synonymous nucleotide diversity), and

π_N/π_S (the ratio of non-synonymous to synonymous nucleotide diversity). Large values of π and

π_N/π_S, in particular, are possible indicators of a gene being under balancing selection.

Nucleotide diversity (π) differed significantly between groups of genes (Kruskal-Wallis

test, H=509.9, d.f.=2, p <0.001; Figure 6A; S5 Table). π was significantly higher for the set of

MAX effectors (average π: 0.0104, standard deviation: 0.0137), than for other secreted proteins

(average π: 0.0079, standard deviation: 0.020), and other genes (average π: 0.0049, standard

deviation: 0.014; Mann-Whitney U-tests, $p<0.05$), showing that MAX effectors, and to a smaller

extent other secreted proteins, are more variable than a typical gene. At the lineage level,

however, nucleotide diversity at MAX effectors tended to not significantly differ from other

putative effectors, or other genes (S5 Table).

In addition to having greater nucleotide variation than other genes at the species level,

MAX effectors also displayed a higher ratio of non-synonymous to synonymous nucleotide

diversity (Figure 6B; S5 Table). The π_N/π_S ratio differed significantly between groups of genes

(Kruskal-Wallis tests H=101.4, $d.f.$=2, $p<0.001$), and the excess of non-synonymous diversity

was significantly, and markedly, higher for MAX effectors (average π_N/π_S: 1.826, standard

deviation: 3.847) than for other effectors (average π_N/π_S: 0.461, standard deviation: 1.600), and

other genes (average π_N/π_S: 0.448, standard deviation: 1.463; Mann-Whitney U-tests, $p<0.05$).

The higher π_N/π_S of MAX effectors was mostly driven by differences in π_N (Figure 6A; S5 Table).

Twenty MAX effectors displayed values in the top 5% percentile of non-effector genes, far

exceeding the four genes expected by chance ($p<0.05$). More specifically, 26 MAX effectors

displayed π_N/π_S values greater than 1, which is the value expected under neutrality. This

included three well-known avirulence genes: *AVR1-CO39* (π_N/π_S=2.564), *AVR-Pik*

(π_N/π_S=15.574), and *AvrPiz-t* (π_N/π_S=1.431). The average π_N/π_S ratio was also higher at MAX

effectors than other secreted proteins and other genes in all lineages, with significant differences

in four lineages (Mann-Whitney U-tests, $p<0.05$), and the average π_N/π_S was greater than one in

the *Oryza* lineage (Figure 6B; S5 Table). Seven to eleven MAX effectors had $\pi_N/\pi_S>1$ at the

lineage level, representing 8% (*Setaria*-infecting lineage) to 41% (*Lolium*-infecting lineage) of

MAX effectors with a defined π_N/π_S ratio (*Zea/Echinochloa* lineage excluded, as only three MAX

effectors had a defined π_N/π_S; S2 Data).

$\pi_N/\pi_S>1$ is a strong indication of multiallelic balancing selection (*i.e.*, multiple alleles at

multiple sites are balanced), as single sites under very strong balancing selection cannot

contribute enough non-synonymous variability to push the π_N/π_S ratio above one [44]. To assess

whether the adaptation of lineages to their respective hosts may contribute to the species-wide

excess of non-synonymous diversity detected at MAX effectors, we estimated population

differentiation. The differentiation statistic F_{ST} differed significantly between groups of genes

(Kruskal-Wallis tests H=8.731, $d.f.$=2, p=0.013), and differentiation was significantly higher for

MAX effectors than for other secreted proteins and other genes (Figure 6A; S5 Table). F_{ST} was

also significantly, albeit relatively weakly, correlated with π_N/π_S at MAX effectors (Spearman's ρ:

0.304, p=0.007; S6 Figure). These observations indicate that between-lineages differences in

allele frequencies are greater for MAX effectors than for other secreted proteins or other genes,

which may result from divergent selection exerted by hosts.

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Figure 6. Summary statistics of polymorphism and divergence at MAX effectors, other secreted proteins

(i.e., secretome), and other genes of *P. oryzae*. (A) Species-wide estimates of π (nucleotide diversity per

bp), F_{ST} (the amount of differentiation among lineages), π_N (non-synonymous nucleotide diversity per bp),

π_S (synonymous nucleotide diversity per bp), π_N/π_S (the ratio of non-synonymous to synonymous

nucleotide diversity), d_N/d_S (the ratio of non-synonymous to synonymous rates of substitutions). (B)

Lineage-specific estimates of π_N/π_S. (C) and (D) Species-wide estimates of π_N and d_N/d_S computed at MAX

effectors with signatures of balancing selection ($\pi_N/\pi_S > 1$; panel C) and signatures of directional selection

($d_N/d_S > 1$; panel D) for different classes of secondary structure annotations highlighted on the three-

dimensional structure of *AVR-Piz-t* above panel C: (i) structural features, with three subclasses: "extended

conformation", "coils", and "turns"; (ii) solvent accessibility percentage of the Van der Waals surface of the

amino acid sidechain, with three sub-classes: 0-30% (buried), 30-60% (intermediate), and 60-100%

(exposed); (iii) structural domains, with six subclasses that grouped the coil, extended conformation and

turn residues that define the six beta strands characteristic of MAX effectors. In the heatmaps, each line

represents a MAX effector. For a given MAX effector and a given structural feature, the darkest color

indicates the class of the secondary structure annotation for which the summary statistic is the highest.

Only single-copy core, softcore, and cloud groups of orthologous genes were included in calculations.

Shared superscripts indicate non-significant differences (post-hoc Mann-Whitney U-tests, $p > 0.05$). A

number of data points were cropped from plots in (A) and (B) for visually optimal presentation but

included in statistical tests. In box plots, the black circle is the mean, the black line is the median.

Signatures of recurrent directional selection at MAX effectors

To detect adaptive molecular evolution, we collected orthologous sequences from outgroup

Pyricularia sp. LS [45, 46] and estimated the d_N/d_S ratio (the ratio of non-synonymous to

synonymous substitution rates) using a maximum likelihood method [47]. Outgroup sequences

could be retrieved for 10,174 out of 14,664 single-copy orthogroups, including 66 out of 94

single-copy orthologs of MAX effectors. The d_N/d_S ratio differed significantly between groups of

genes (Kruskal-Wallis tests H=45.812, $d.f.$=2, p<0.001; Figure 6A; S5 Table), and was higher for

MAX effectors (average d_N/d_S: 0.977, s.d.: 1.316) than for other secreted proteins (average

d_N/d_S: 0.711, s.d.: 1.722), and other genes (average d_N/d_S: 0.584, s.d.: 1.584; Mann-Whitney U-

tests, p<0.05). The same pattern of higher d_N/d_S for MAX effectors was observed at the lineage

level (S5 Table). Twenty-four of the 66 MAX effectors with outgroup sequence (i.e., 36.4%)

showed d_N/d_S>1 (S2 Data), which is a strong indication of directional selection. d_N/d_S>1 is only

expected for genes that have experienced repeated bouts of directional selection which led to

repeated fixations of amino-acid substitutions [44]. Eleven MAX effectors displayed signatures of

both multiallelic balancing selection (π_N/π_S>1) and multiallelic directional selection (d_N/d_S>1).

The divergence data, therefore, indicate that a scenario of molecular co-evolution

involving repeated selective sweeps may apply to a substantial fraction (at least one-third) of

MAX effectors.

Structural determinants of polymorphism and divergence at MAX effectors.

Different parts of proteins can be under different selective forces. To investigate the

relationships between the structural properties of MAX effectors and signatures of balancing or

directional selection, we focused on MAX effectors with d_N/d_S and π_N/π_S ratios >1 and we

computed π_N and d_N/d_S for different classes of secondary structure annotations, as computed by

STRIDE from MAX effector structures predicted by homology modeling for each orthologous

group [48] (S7 Figure). We used π_N and not π_N/π_S because the latter tended to be undefined due

to relatively short sequence lengths. We defined three classes of secondary structure

annotations: (1) structural features, with three subclasses: "extended conformation", "coils", and

"turns"; (2) solvent accessibility percentage of the Van der Waals surface of the amino acid

sidechain, with three sub-classes: 0-30% (buried), 30-60% (intermediate), and 60-100%

(exposed); (3) structural domains, with six subclasses that grouped the coil, extended

conformation and turn residues that define the six beta strands characteristic of MAX effectors.

We used the structure-guided alignment generated by TM-ALIGN to extract the secondary

structure annotations of each amino acid of the MAX effector sequences (S7 Figure).

We found that π_N significantly differed (Kruskal-Wallis tests H=8.504, $d.f.$=2, p=0.014)

between subclasses of structural features (Figure 6C; S6 Table). In the 25 MAX effectors under

multiallelic balancing selection that passed our filter on sequence length (at least ten sequences

longer than 10bp, see Methods), π_N was significantly higher at coils and turns, than at extended

conformations (coils: π_N=0.0191; turns: π_N=0.0167; extended conformations: π_N=0.0086;

posthoc Mann-Whitney U-tests, p<0.05), and 10 and 9 MAX effectors displayed their highest

values of π_N in coils and turns, respectively. π_N did not significantly differ between relative

solvent accessibility subclasses (Kruskal-Wallis tests H=2.308, $d.f.$=2, p=0.315), but differences

were marginally significant between structural domains (Kruskal-Wallis tests H=11.035, $d.f.$=5,

p=0.051). The third, fourth and fifth beta strands displayed the highest levels of non-

synonymous diversity (π_N=0.0341, π_N=0.0341, and π_N=0.0341, respectively), and 18 out of 25

MAX effectors displayed their highest values of π_N at one of these three beta strands (S6 Table).

In the 23 MAX effectors under multiallelic directional selection that passed our filter on

sequence length (at least ten sequences longer than 10bp, see Methods), differences in d_N/d_S

were most pronounced between subclasses of structural features (Kruskal-Wallis tests

H=5.499, $d.f.$=2, p=0.064), with higher average d_N/d_S values for coils and turns (d_N/d_S=2.490

and d_N/d_S=1.184, respectively) than extended conformations (d_N/d_S=0.573) (Figure 6D; S6

Table). The average d_N/d_S was also close to one for the 30-60% subclass of relative solvent

accessibility (d_N/d_S=0.994), and 12 MAX effectors with signatures of directional selection had

their highest d_N/d_S values for this subclass, although differences were not significant.

Overall, these analyses show that multiallelic balancing and directional selection acted

preferentially on coils and turns, but that the impact of two forms of selection on structural

domains and solvent accessibility subclasses differs.

DISCUSSION

MAX effectors as model systems to investigate effector evolution.

Effectors involved in coevolutionary interactions with host-derived molecules are expected to

undergo non-neutral evolution. Yet, the role of natural selection in shaping polymorphism and

divergence at effectors has remained largely elusive [2]. Despite the prediction of large and

molecularly diversified repertoires of effector genes in many fungal genomes, attempts to probe

into the evolutionary drivers of effector diversification in plant pathogenic fungi have been

hindered by the fact that, until recently, no large effector families had been identified. In this

study, we overcome the methodological and conceptual barrier imposed by effector hyper-

diversity by building on our previous discovery [17] of an important, structurally-similar, but

sequence-diverse family of fungal effectors called MAX. We used a combination of structural

modeling, evolutionary analyses, and molecular plant pathology experiments to provide a

comprehensive overview of polymorphism, divergence, gene expression, and presence/absence

at MAX effectors. When analyzed species-wide or at the level of sub-specific lineages, ratios of

non-synonymous to synonymous nucleotide diversity, as well as ratios of non-synonymous to

synonymous substitutions, were consistently higher at MAX effectors than at other loci. At the

species level, the two ratios were also significantly higher than expected under the standard

neutral model for a large fraction of MAX effectors. The signatures of adaptive evolution

detected at MAX effectors, combined with their extensive presence/absence variation, are

consistent with their central role in coevolutionary interactions with host-derived ligands that

impose strong selection on virulence effectors.

Adaptive evolution at MAX effectors

Rates of evolution determined from orthologous comparisons with outgroup sequences revealed

that, for a large fraction of MAX effectors, non-synonymous changes have accumulated faster

than synonymous changes. The fast rate of amino-acid change at MAX effectors is consistent

with a classic arms race scenario, which entails a series of selective sweeps as new virulent

haplotypes - capable of avoiding recognition by plant immune receptors that previously

prevented pathogen multiplication - spread to high frequency [49, 50]. Furthermore, it is

important to note that although large values of the d_N/d_S ratio provide strong evidence for

directional selection, small values do not necessarily indicate the lack thereof, as d_N/d_S ratios

represent the integration of genetic drift, constraint, and adaptive evolution [50][51]. Much of

the adaptive changes at MAX effectors probably took place before the radiation of *P. oryzae* on

its various hosts. However, the observation that d_N/d_S values determined from orthologous

comparisons with outgroup are higher at the species level than at the sub-specific lineage level

indicates that part of the signal of directional selection derives from inter-lineage amino acid

differences associated with host-specialization. Our structural modeling indicates that it is

preferentially "turns" and "coils", but also residues with intermediate solvent accessibility,

which often evolve at an unusually fast rate, and therefore that these are probably the residues

of MAX proteins preferentially involved in coevolutionary interactions with host-derived

molecules.

MAX effectors are characterized by a remarkable excess of non-synonymous

polymorphism, compared to synonymous polymorphism, at the species level, but also - albeit to

a lesser extent - at the sub-specific lineage level. This raises the question of how polymorphisms

are maintained in the face of adaptive evolution, given that selective sweeps under a classic arms

race scenario are expected to erase variation [6, 9]. Directional selection restricted to host-

specific lineages - i.e., local adaptation - may contribute to the signature of multiallelic balancing

selection observed at the species level. The observation of a positive correlation between π_N/π_S

and the differentiation statistic F_{ST}, together with the fact that most MAX effectors are

monomorphic at the lineage level, are consistent with a role of divergent selection exerted by

hosts in the maintenance of species-wide diversity at MAX effectors. However, the finding that

MAX effectors with a defined π_N/π_S at the sub-specific lineage level (i.e., MAX effectors with

$\pi_S \neq 0$) present a higher ratio than the other genes also indicates that the adaptive evolution

process is not simply one of successive selective sweeps. This is consistent with balancing

selection acting at the lineage level, through which polymorphisms in MAX virulence effectors

are maintained due to spatiotemporal variation in selection pressures posed by the hosts – a

process known as the trench-warfare model [49]. Our structural modeling suggests in particular

that the "coils" and "turns" are the preferred substrate of these coevolutionary interactions

leading to the maintenance of elevated polymorphism at MAX virulence effectors.

Expression kinetics of MAX effectors

Expression profiling showed that the MAX effector repertoire was induced specifically and

massively during infection. Depending on the host genotype, between 64 and 78% of the MAX

effectors were expressed and expression was particularly strong during the early stages of

infection. These findings are consistent with previous studies that analyzed genome-wide gene

expression during rice infection or specifically addressed MAX effector expression, and they

reinforce the hypothesis that MAX effectors are crucial for fungal virulence and specifically

involved in the biotrophic phase of infection [17, 52].

How this coordinated deployment of the MAX effectors is regulated remains largely

unknown. Genome organization does not seem to be a major factor, since MAX effectors do not

colocalize and more generally, there is no clustering of effectors in the *P. oryzae* genome, only a

slight enrichment in subtelomeric regions [52, 53]. This differs from other pathogenic fungi,

such as *Leptosphaeria maculans*, for which early-expressed effectors are clustered in AT-rich

isochores, and co-regulated by epigenetic mechanisms [54]. Analysis of promoter regions of

MAX effectors did not identify common DNA motifs that may be targeted by transcription

factors, and no such transcriptional regulators that would directly regulate large fractions of the

effector complement of *P. oryzae* have been identified yet. The few known transcriptional

networks controlled by regulators of *P. oryzae* pathogenicity generally comprise different

classes of fungal virulence genes such as secondary metabolism genes or carbohydrate-active

enzymes; they are not restricted to effectors or enriched in MAX effectors. For instance, Rgs1, a

regulator of G-protein signaling necessary for appressorium development, represses the

expression of 60 temporally co-regulated effectors in axenic culture and during the pre-

penetration stage of plant infection [55]. However, among them are only two MAX effectors,

MAX15 (*MGG05424*) and *MAX67* (*MGG16175*). This suggests that multiple complementary

mechanisms contribute to the precise coordination of MAX effector expression during rice

invasion.

Expression profiling also revealed that the plant host genotype strongly influenced the

expression of the MAX effector repertoire, suggesting that plasticity in effector expression may

contribute to the adaptation of *P. oryzae* to its hosts. MAX effectors were stronger expressed in

the more resistant Kitaake rice variety than in highly susceptible Maratelli rice. This is

reminiscent of other pathogenic fungi, such as *Fusarium graminearum* and *L. maculans*, for

which a relationship between host resistance levels and effector expression was established [56,

57]. Specific experiments will have to be performed to analyze in more detail this potential link

between plant resistance and MAX effector expression.

Presence/absence polymorphism of MAX effectors

Pangenome analyses demonstrated extensive variability in the MAX effector repertoire. In cases

where MAX effectors are specifically absent from some lineages, but present in most or all

others, it is tempting to hypothesize that they experienced immune-escape loss-of-function

mutations that directly contributed to host range expansion or host shifts. A possible example of

such a mechanism is the non-MAX effector *PWT3* of *P. oryzae* that is specifically absent from the

Triticum-infecting lineage [29]. PWT3 triggers resistance in wheat cultivars possessing the

RWT3 resistance gene [58], and its loss was shown to coincide with the widespread deployment

of *RWT3* wheat. Similarly, the loss of the effector *AVR1-CO39* (*MAX86*), which is specifically

absent from the *Oryza*-infecting lineage and that is detected by the rice NLR immune receptor

complex RGA4/RGA5, has been suggested to have contributed to the initial colonization of rice

by the *Setaria*-infecting lineage [20, 31, 59]. Two other orthologous *P. oryzae* effectors, *PWL1*

and *PWL2*, exclude Eleusine and rice-associated isolates from infecting *Eragrostis curvula*, and

can, therefore, also be considered as host-specificity determinants [28, 60]. Interestingly,

ALPHAFOLD predicts PWL2 to adopt a MAX effector fold [61]. In our study, however, gene knock-

in experiments with *MAX79*, *MAX83*, and *MAX89* - specifically absent from the *Oryza*-infecting

lineage - did not reveal a strong effect on virulence towards a large panel of rice varieties. Hence,

unlike AVR1-CO39, these effectors are not key determinants of host-specificity. This suggests

that overcoming non-host resistance is not the only and maybe not the main evolutionary

scenario behind the specific loss of MAX effectors in the *Oryza*-infecting lineage. A possible

alternative mechanism that can explain massive MAX effector loss during host shifts is a lack of

functionality in the novel host. Some MAX effectors from a given lineage may have no function in

the novel host, simply because their molecular targets are absent or too divergent in the novel

host. Cellular targets of fungal effectors remain unknown for the most part, but knowledge of the

molecular interactors of MAX effectors may help shed light on the drivers of their

presence/absence polymorphism.

Concluding remarks

The discovery of large, structurally-similar, effector families in pathogenic fungi and the

increasing availability of high-quality whole genome assemblies and high-confidence annotation

tools, pave the way for in-depth investigations of the evolution of fungal effectors by

interdisciplinary approaches combining state-of-the-art population genomics, protein structure

analysis, and functional approaches. Our study on MAX effectors in the model fungus and

infamous cereal killer *P. oryzae* demonstrates the power of such an approach. Our investigations

reveal the fundamental role of directional and balancing selection in shaping the diversity of

MAX effector genes and pinpoint specific positions in the proteins that are targeted by these

evolutionary forces. This type of knowledge is still very limited on plant pathogens, and there

are very few studies compared to the plethoric literature on the evolution of virulence factors in

human pathogens. Moreover, by revealing the concerted and plastic deployment of the MAX

effector repertoire, our study highlights the current lack of knowledge on the regulation of these

processes. A major challenge will now be to identify the regulators, target proteins and mode of

action of MAX effectors, in order to achieve a detailed understanding of the relationships

between the structure, function and evolution of these proteins.

METHODS
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Genome assemblies, gene prediction, and pan-genome analyses

Among the 120 genome assemblies included in our study, 66 were already publicly available,

and 54 were newly assembled (S1 Table). For the 54 newly assembled genomes, reads were

publicly available for 50 isolates, and four additional isolates were sequenced (available under

BioProject PRJEB47684). For the four sequenced isolates, DNA was extracted using the same

protocol as in ref. [62]. For the 54 newly generated assemblies, CUTADAPT [63] was used for

trimming and removing low-quality reads, reads were assembled with ABYSS 2.2.3 [64] using

eight different K-mer sizes, and we chose the assembly produced with the K-mer size that

yielded the largest N50. For all 120 genome assemblies, genes were predicted by BRAKER 1 [65]

using RNAseq data from ref. [21] and protein sequences of isolate 70-15 (Ensembl Fungi release

43). To complement predictions from BRAKER, we also predicted genes using AUGUSTUS 3.4.0

[56][3] with RNAseq data from ref. [21] , protein sequences of isolate 70-15 (Ensembl Fungi

release 43), and *Magnaporthe grisea* as the training set. Gene predictions from BRAKER and

AUGUSTUS were merged by removing the genes predicted by AUGUSTUS that overlapped with

genes predicted by BRAKER. Repeated elements were masked with REPEATMASKER 4.1.0

(http://www.repeatmasker.org/). The quality of genome assembly and gene prediction was

checked using BUSCO [32]. The homology relationships among predicted genes were identified

using ORTHOFINDER v2.4.0 [36]. The size of pan- and core-genomes was estimated using

rarefaction, by resampling combinations of one to 119 genomes, taking a maximum of 100

resamples by pseudo-sample size. Sequences for each orthogroup were aligned at the codon

level (i.e., keeping sequences in coding reading frame) with TRANSLATORX [66], using MAFFT v7

[67] as the aligner and default parameters for GBLOCKS [68].

Identification of effectors sensu lato, and MAX effectors

We predicted the secretome by running SIGNALP 4.1 [69], TARGET [70], and PHOBIUS [62] to

identify signal peptides in the translated coding sequences of 12000 orthogroups. Only proteins

predicted to be secreted by at least two methods were retained. Transmembrane domains were

identified using TMHMM [71] and proteins with a transmembrane domain outside the 30 first

amino acids were excluded from the predicted secretome. Endoplasmic reticulum proteins were

identified with PS-SCAN (https://ftp.expasy.org/databases/prosite/ps_scan/), and excluded.

To identify MAX effectors, we used the same approach as in the original study that

described MAX effectors [17]. We first used PSI-BLAST [33] to search for homologs of known

MAX effectors (AVR1-CO39, AVR-Pia, AvrPiz-t, AVR-PikD, and ToxB) in the predicted secretome.

Significant PSI-BLAST hits (e-value < e-4) were aligned using a structural alignment procedure

implemented in TM-ALIGN [35]. Three rounds of HMMER [34] searches were then carried out,

each round consisting of alignment using TM-ALIGN, model building using HMMBUILD, and HMM

search using HMMSEARCH (e-value < e-3). Only proteins with two expected, conserved Cysteines

less than 33-48 amino acids apart were retained in the first two rounds of HMMER searches, as

described in ref. [17].

Subsequent evolutionary analyses were conducted on three sets of orthogroups: MAX

effectors, putative effectors, and other genes. The "MAX" group corresponded to 80 orthogroups

for which at least 10% of sequences were identified as MAX effectors. The "secreted proteins"

groups corresponded to 3283 orthogroups that were not included in the MAX group, and for

which at least 10% of sequences were predicted to be secreted proteins. The last group included

the remaining 11404 orthogroups.

For missing MAX effector sequences, we conducted an additional similarity search to

correct for gene prediction errors. For a given MAX orthogroup and a given isolate, if a MAX

effector was missing, we used BLAST-N to search for significant hits using the longest sequence of

the orthogroup as the query sequence, and the isolate's genome assembly as the subject

sequence (S3 Table). We also corrected annotation errors, such as the presence of very short

(typically <50bp) or very long (typically >500bp) introns, missing terminal exons associated

with premature stops, or frameshifts caused by indels. All these annotation errors were checked,

and corrected manually if needed, using the RNAseq data used in gene prediction in the

INTEGRATIVE GENOME VIEWER [72, 73]. We also found that some orthogroups included chimeric

gene resulting from erroneous merging of two genes that were adjacent in assemblies. This was

the case for orthogroups OG0000093 and OG0010985, and we used RNA-seq data in the

INTEGRATIVE GENOME VIEWER to split the merged genic sequences and keep only the sequence that

corresponded to a MAX effector.

For evolutionary analyses conducted on single-copy orthologs, the 11 orthogroups that

included paralogous copies of MAX effectors were split into sets of orthologous sequences using

genealogies inferred using RAxML v8 [37], yielding a total of 94 single-copy MAX orthologs, of

which 90 orthologs passed our filters on length and sample size to be included in evolutionary

analyses (see below). For each split orthogroup, sets of orthologous sequences were assigned a

number that was added to the orthogroup's identifier as a suffix (for instance paralogous

sequences of orthogroup OG0000244 were split into orthogroups OG0000244_1 and

OG0000244_2). Sequences were re-aligned using TRANSLATORX (see above) after splitting

orthogroups.

All genome assemblies, aligned coding sequences for all orthogroups and single-copy

orthologs are available in Zenodo, doi: 10.5281/zenodo.7689273.

Homology modeling of MAX effectors

To check that orthogroups predicted to be MAX effectors had the typical 3D structure of MAX

effectors with two beta sheets of three beta strands each, eight experimental structures with

MAX-like folds were selected as 3D templates for homology modeling (PDB identifiers of the

templates: 6R5J, 2MM0, 2MM2, 2MYW, 2LW6, 5A6W, 5Z1V, 5ZNG). For each of the 94 MAX

orthologous groups, one representative protein was selected and homology models of this 1D

query relative to each 3D template were built using MODELLER [74] with many alternative query-

template threading alignments. The structural models generated using the alternative

alignments were evaluated using a combination of different structural scores (DFIRE [75], GOAP

[76], QMEAN [77]). Our homology modeling procedure will be described with more details in a

manuscript currently in preparation. The best structural models for the 94 representative

sequences of each group of MAX orthologs are available at

https://pat.cbs.cnrs.fr/magmax/model/. The correspondence between MAX orthogroups

identifiers used in homology modeling and MAX orthogroups identifiers resulting from gene

prediction is given in S2 Table.

Evolutionary analyses

Lineage-level analyses were conducted on a dataset from which divergent or introgressed

isolates were removed (G17 from *Eragrostis*; Bm88324 & Bd8401 from *Setaria*, 87-120; BF0072

and BN0019 from *Oryza*; IR0088 from *Echinochloa*), to limit the impact of population

subdivision within lineages. The *Stenotaphrum*-infecting lineage was not included in lineage-

level analyses due to the small sample size.

Nucleotide diversity [78] and population differentiation [43] were estimated using

EGGLIB v3 [79]. Sites with more than 30% missing data were excluded. Orthogroups with less

than 10 sequences (*nseff*<10, *nseff* being the average number of used samples among sites that

passed the missing data filter) or shorter than 30bp (*lseff*<30, *lseff* being the number of sites used

for analysis after filtering out sites with too many missing data) were excluded from computations.

For analyses of polymorphism at secondary structure annotations, the cutoff on *lseff* was set at

10bp.

For the computation of d_N/d_S and quantification of adaptive evolution, we used isolate

NI919 of *Pyricularia* sp. LS [45, 46] as the outgroup (assembly GCA_004337975.1, European

Nucleotide Archive). Genes were predicted in the outgroup assembly using EXONERATE V2.2

CODING2GENOME [80]. For each gene, the query sequence was a *P. oryzae* sequence randomly

selected among sequences with the fewest missing data. In parsing EXONERATE output, we

selected the sequence with the highest score, with a length greater than half the length of the

query sequence.

The d_N/d_S ratio was estimated using a maximum likelihood approach (runmode=-2,

CodonFreq=2 in CODEML [81]), in pairwise comparisons of protein coding sequences (*i.e.*,

without using a phylogeny). For each d_N/d_S we randomly selected 12 ingroup sequences and

computed the average d_N/d_S across the 12 ingroup/outgroup pairs.

Kruskal-Wallis tests were performed using the SCIPY.STATS.KRUSKAL library in PYTHON 3.7.

Posthoc Mann-Whitney U-tests were performed using the SCIKIT_POSTHOCS library in PYTHON 3.7,

with p-values adjusted using the Bonferroni-Holm method.

Constructs for the transformation of fungal isolates

PCR products used for cloning were generated using the Phusion High-Fidelity DNA Polymerase

(Thermo Fisher) and the primers listed in S7 Table. Details of the constructs are given in S8

Table. Briefly, the pSC642 plasmid (derived from the pCB1004 vector), containing a cassette for

the expression of a gene of interest under the control of the *AVR-Pia* promoter (*pAVR-Pia*) and

the *Neurospora crassa β-tubulin* terminator (*t-tub*), was amplified by PCR with primers oML001

and oTK609 for the insertion of MAX genes listed in S9 Table. The MAX genes

Mo_US0071_000070 (*MAX79*), *Mo_US0071_046730* (*MAX89*) and *Mo_US0071_115900*

(*MAX83*), amplified by PCR from genomic DNA of the *P. oryzae* isolate US0071, were inserted

into this vector using the Gibson Assembly Cloning Kit (New England BioLabs). The final

constructs were linearized using the KpnI restriction enzyme (Promega) before *P. oryzae*

transformation.

Plant and fungal growth conditions

Rice plants (*Oryza sativa*) were grown in a glasshouse in a substrate of 31% coconut peat, 30%

Baltic blond peat, 15% Baltic black peat, 10% perlite, 9% volcanic sand, and 5% clay,

supplemented with 3.5 g.L^{-1} of fertilizer (Basacote® High K 6M, NPK 13-5-18). Plants were

grown under a 12h-light photoperiod with a day-time temperature of 27□°C, night-time

temperature of 21□°C, and 70% humidity. For spore production, the wild-type and transgenic

isolates of *P. oryzae* Guy11 were grown for 14 days at 25°C under a 12h-light photoperiod on

rice flour agar medium (20 g.L^{-1} rice seed flour, 2.5 g.L^{-1} yeast extract, 1.5% agar, 500.000U

penicillin g), supplemented with 240 µg.ml^{-1} hygromycin for transgenic isolates. For mycelium

production, plugs of mycelium of *P. oryzae* Guy11 were grown in liquid medium (10 g.L^{-1}

glucose, 3 g.L^{-1} KNO$_3$, 2 g.L^{-1} KH$_2$PO$_4$, 2,5 g.L^{-1} yeast extract, 500 000U penicillin g) for 5 days at

25°C in the dark under agitation.

Fungal transformation

Protoplasts from the isolate Guy11 of *P. oryzae* were transformed by heat shock with 10µg of

KpnI-linearized plasmids for the expression of MAX effectors or RFP as described previously

[74]. After two rounds of antibiotic selection and isolation of monospores, transformed isolates

were genotyped by Phire Plant Direct PCR (Thermo Scientific) using primers described in S7

Table. The Guy11 transgenic isolates expressing *AVR-Pia* and *AVR1-CO39* were previously

generated [82, 83].

Fungal growth and infection assays

For the analysis of interaction phenotypes, leaves of three-week-old rice plants were spray-

inoculated with conidial suspensions (40 000 conidia.ml^{-1} in water with 0.5% gelatin). Plants

were incubated for 16 hours in the dark at 25°C and 95% relative humidity, and then grown for

six days in regular growth conditions. Seven days after inoculation, the youngest leaf that was

fully expanded at the time of inoculation was collected and scanned (Scanner Epson Perfection

V370) for further symptoms analyses. Phenotypes were qualitatively classified according to

lesion types: no lesion or small brown spots (resistance), small lesions with a pronounced

brown border and a small gray center (partial resistance), and larger lesions with a large gray

center or dried leaves (susceptibility). For the analysis of gene expression, plants were spray-

inoculated with conidial suspensions at 50 000 conidia.ml^{-1} (in water with 0.5% gelatin), and

leaves were collected three days after inoculation.

RNA extraction and qRT-PCR analysis

Total RNA extraction from rice leaves or Guy11 mycelium and reverse transcription were

performed as described by ref. [84]. Briefly, frozen leaves and mycelium were mechanically

ground. RNA was extracted using TRI-reagent® (Sigma-Aldrich) and chloroform separation.

Denaturated RNA (5μg) was retrotranscribed and used for quantitative PCR using GoTaq qPCR

Master Mix according to the manufacturer's instructions (Promega) at a dilution of 1/10 for

mycelium and 1/7 for rice leaves. The primers used are described in S7 Table. Amplification was

performed as described by ref. [84] using a LightCycler480 instrument (Roche), and data were

extracted using the instrument software. To calculate *MAX* gene expressions, the $2^{-\Delta\Delta CT}$ method

and primers measured efficiency were used. Gene expression levels are expressed relative to the

expression of constitutive reference gene *MoEF1α*.

Statistical analyses of phenotypic data

For expression comparison between Kitaake and Maratelli infection, all analyses were

performed using R (http://www.r-project.org). The entire kinetic experiment was repeated

three times with five biological replicates for each time point. For each variety, gene, and

experimental replicate, values corresponding to the day post-inoculation with the highest

median expression were extracted for statistical analyses. Expression data were not normally

distributed so for each gene, differences between varieties were evaluated using non-parametric

Mann-Whitney U-tests.

SUPPLEMENTARY MATERIALS

S1 Table. Genomic assemblies with metadata.

S2 Table. Nomenclature of MAX effectors.

S3 Table. Presence/absence of MAX effector orthologs.

S4 Table. The expression of MAX79, MAX83 and MAX89 in Guy11 does not trigger recognition in a panel of

rice varieties.

S5 Table. Gene average of summary statistics of polymorphism, differentiation and divergence.

S6 Table. π_N and d_N/d_S in different classes of secondary structure annotations for MAX effectors with

$\pi_N/\pi_S>1$ and $d_N/d_S>1$, respectively.

S7 Table. Primers for cloning and expression analyses.

S8 Table. Vector constructs.

S9 Table. Sequences of the MAX effectors in the isolate US0071 that were used for the complementation of Guy11.

S1 Figure. Expression patterns of MAX effectors during rice infection.

S2 Figure. Differential expression levels of MAX effectors upon infection of two different rice cultivars.

S3 Figure. Nucleotide diversity (π), ratio of non-synonymous to synonymous nucleotide diversity (π_N/π_S),

orthogroup frequency for MAX effectors, other secreted proteins, and other genes.

S4 Figure. Assembly size, number of predicted genes, and number of orthogroups in lineages of *M. oryzae*.

S5 Figure. MAX79, MAX83 and MAX89 are expressed in the transgenic Guy11 isolates upon rice

inoculation.

S6 Figure. F_{ST} versus π_N/π_S at MAX effectors

S7 Figure. Secondary structure annotations of MAX effectors aligned with TM-ALIGN.

S1 Data. Summary statistics per orthogroup.

S2 Data. Summary statistics per MAX effector ortholog, species wide, and per lineage.

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