Co-occurrence drives horizontal gene transfer among marine prokaryotes

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Abstract

Understanding the drivers of horizontal gene transfer (HGT) is a key question in microbial evolution. While co-occurring taxa have long been appreciated to undergo HGT more often, this association is confounded with other factors, most notably their phylogenetic distance. To disentangle these factors, we analyzed 15,339 isolate and metagenome-assembled marine genomes. We identified HGT events across these genomes, and identified enrichments for functions previously shown to be prone to HGT. By mapping metagenomic reads from 1,862 ocean samples to these genomes, we also identified co-occurrence patterns and environmental associations. Although we observed an expected negative association between phylogenetic distance and HGT rates, we only detected the association between co-occurrence and phylogenetic distance when restricted to closely related taxa. This observation refines the previously reported trend to closely related taxa, rather than a consistent pattern across all taxonomic levels, at least within marine environments. In addition, we identified a significant association between co-occurrence and HGT, which remains even after controlling for phylogenetic distance and measured environmental variables. Overall, our findings demonstrate the significant influence of ecological associations in shaping marine bacterial evolution through HGT.

Introduction

Closely related prokaryotic taxa often display substantial differences in gene content, largely due to horizontal gene transfer (HGT; Innamorati et al., 2020). To better understand these dynamics, gene transfer networks have been investigated across diverse species (Beiko et al., 2005). A recurrent observation from this past work is that taxa from similar environments are associated with higher rates of HGT (Smillie et al., 2011; Fondi et al., 2016; Sheinman et al., 2021; Khedkar et al., 2022)

This observation is expected, for at least two reasons. First, all HGT mechanisms are dependent on physical proximity to some degree (Thomas & Nielsen, 2005). For instance, conjugation requires a physical interaction between cells for DNA transfer to occur. Second, taxa from the same environment can experience similar selective pressures and may potentially benefit from the same set of adaptive genes. This is clear within species, where strains experiencing similar pressures exhibit parallel adaptive point mutations (Turner et al., 2018). It is expected that similar dynamics occur between strains within the same environment based on horizontally-transferred genes (Niehus et al., 2015). Genes can also spread horizontally between more distantly related taxa within a community. This is most clearly seen for antibiotic and heavy metal resistance genes, which have the potential to confer adaptive benefits to many taxa in a contaminated environment (Pal et al., 2015).

Although these explanations for the association between HGT and co-occurrence are intuitive, there is also an important confounder to consider: phylogenetic distance. This point was recently raised in work disentangling the action of these factors in driving HGT inferred across reference genomes from isolates, and based on co-occurrence patterns of 16S rRNA sequences (Dmitrijeva et al., 2024). In this work, the authors found that the positive association between co-occurrence and horizontal gene transfer remained after controlling for phylogenetic distance, although it was decreased. This study is an important contribution, but was limited to 16S rRNA gene data used for identifying co-occurring genomes. As this is a coarse approach, it cannot reliably identify strains or species within a sample. In contrast, shotgun metagenomics provides improved resolution for identifying strains, given sufficient genome coverage (Sharpton, 2014). In addition, due to the scale of their work, the authors were not able to perform in-depth investigations of how particular environmental factors are associated with HGT and instead focused on general environment groupings.

Marine microbial communities are an appealing system for studying prokaryotic evolutionary dynamics. Marine prokaryotes are known to undergo widespread HGT, and to be stratified into communities based on depth and other environmental factors (Sunagawa et al., 2015; Martinez-Gutierrez & Aylward, 2022). In addition, understanding prokaryotic community dynamics and evolution is particularly important as marine microbes play key roles in global biogeochemical cycles (Azam & Malfatti, 2007), and are also experiencing heightened

environmental stress due to climate change (Heneghan et al., 2024). To help better understand these and other dynamics, numerous ocean samples have undergone metagenomics sequencing (Sunagawa et al., 2015; Biller et al., 2018).

Here, we used existing ocean metagenomes to investigate patterns of HGT and co-occurrence across the global ocean. Our key question focused on whether the relationship between HGT and co-occurrence in this dataset is robust to the inclusion of phylogenetic distance as a covariate. This question was also recently investigated by Dmitrijeva and colleagues (2024), but here we specifically focus on marine samples with shotgun metagenomics data. Another novel aspect of our work is the consideration of additional factors that could be driving the association between HGT and co-occurrence. In particular, by using in-depth environmental data associated with these metagenomics samples, we investigated to what degree shared environmental pressures can explain the observed association between HGT and co-occurrence. We also consider a wide range of methods for inferring HGT and co-occurrence to ensure our results are robust.

Methods

Acquiring genomes

We downloaded all 34,815 genomes from a prior metagenomic study of the global ocean microbiome (Paoli et al., 2022), which comprised whole genome sequencing from isolates, single-amplified genomes, and metagenome-assembled genomes (MAGs), along with pre-existing Prokka gene annotations (Seemann, 2014), taxonomic classification, and quality reports. These data correspond to version 1.0 of the Ocean Microbiomics Database, which we refer to as our focal dataset. The prior taxonomic classifications were obtained using the Genome Taxonomy Database Toolkit (Chaumeil et al., 2020). Using quality metrics provided with these data, we retained 15,339 genomes with mean completeness > 75% and mean contamination < 5%. This final set corresponded to 11,833 MAGs, 1,862 single-amplified genomes, and 1,644 genomes from whole genome sequencing of isolates.

Genome phylogenies

GToTree v1.7.00 (Lee & Ponty, 2019) was used on the 15,339 genomes using the Bacteria and Archaea HMM-set composed of 25 single copy genes to generate an alignment protein file with HMMER v3.3.2 (Eddy, 1998, 2011) and Muscle v5.1 (Edgar, 2022). Automated trimming was performed on the alignments using trimAl v1.4 (Capella-Gutiérrez et al., 2009), with the -automated1 and -phylip options. IQTREE2 v2.0.7 (Minh et al., 2020) was then used to construct a phylogenetic tree, using ModelFinder Plus and 1000 bootstraps. The best-fitting model, 'Q.yeast+I+R10', was automatically chosen based on a comparison of Bayesian Information Criterion values. Pairwise (patristic) distance between tips was computed using the castor R package v1.8.2 (Louca & Doebeli, 2018).

To compare our focal results (heavily based on MAGs) to those based on a set of higher-
quality genomes, we also downloaded all representative aquatic genomes from the
proGenomes database v3 (Fullam et al., 2023). Taxonomy for each genome was parsed based
on TaxIDs using the taxize R package v0.9.102 (Chamberlain & Szöcs, 2013). Each genome in
proGenomes is associated with a BioSample in the National Center for Biotechnology
Information database, which we used to parse sample metadata using efetch v21.6
(https://www.ncbi.nlm.nih.gov/books/NBK179288/). All genomes linked to samples listed as
metagenomics, or without any contigs greater than 100,000 bp were excluded, to help avoid
mis-assembled genomes. This filtering resulted in a final set of 5,551 genomes for this
database. The same workflow as above was used to produce a phylogenetic tree, based on
the same best-fitting model, and pairwise distances.

Metagenomics samples preprocessing
To characterize the distribution of our filtered genomes across environments, we also
prepared a metagenomics dataset representing diverse ocean samples that were then
mapped to these genomes. To that end, we acquired all 1,865 ocean water metagenomics
samples available in the OceanDNA resource (Nishimura & Yoshizawa, 2022). This raw
metagenomics sequencing data was downloaded from the National Center for Biotechnology
Information with Globus Connect (Foster, 2011). We filtered out low-quality reads with
fastp v0.23.4 (Chen et al., 2018), with the options -l 70, --cut_mean_quality 20, --cut_front,
--cut_tail, --cut_window_size=4, and --detect_adapter_for_pe (this last option only for
paired-end FASTQ files). Files corresponding to technical replicates were concatenated. We
then mapped all filtered metagenomics reads to the genomes with CoverM v0.6.1 (Aroney et
al., 2024), using the options --exclude-supplementary, --min-covered-fraction 0, and --proper-
pairs-only (for paired-end reads). We called genomes as present based on a >= 30% breadth
of coverage cut-off (i.e., where at least 30% of the genomes was mapped by at least one read).
For each sample, we set the reads per kilobase per million mapped reads values for genomes
with breadth below the presence cut-off to 0. We excluded genomes not called as present in
at least 10 samples, which resulted in 10,389 remaining genomes. We excluded three
metagenomics samples where no genomes were called as present.

To distinguish metagenomics samples more likely to represent free-living microbes,
compared to particle-attached microbes, we subset samples based on the size-filtration steps
used during sample collection. A cut-off of 3 μm is commonly applied to distinguish free-living
and particle-attached microbes by size (Crump et al., 1999; Urvoy et al., 2022). Accordingly,
we categorized "free-living" samples as those size-selected at <= 3 μm, which corresponded
to 906 samples. However, as this was not the initial focus of our analysis, we did not acquire
metagenomics data equally split by size-selection criteria, and almost all samples had a lower
size-selection filtration that would include some free-living bacteria. Thus, it is not possible to
confidently categorize our analyzed metagenomics samples as "particle-attached". Instead,

we opted to subset 846 "less-filtered" samples, which are those with an upper size-selection filter >= 20 μm. Our rationale for this category is that they are more likely to contain DNA from particle-attached prokaryotes compared to the "free-living" sample set. We then identified cases where genomes were predominately found in either putative "free-living" (small particle size) or "less-filtered" (large and small particle size) groups. We classified genomes as being associated with a given group if > 75% of the samples containing the genome were in that group. We also required that the median relative abundance of this genome, based on reads per kilobase per million mapped reads, was highest in this sample subgroup. Based on this criterion, 346 focal genomes could be classified as enriched in "less-filtered" and 2,470 as enriched in "free-living" metagenomics samples, respectively. We applied this same approach for the proGenomes database as well, where we could classify only 24 genomes as "less-filtered" and 137 as "free-living".

The OceanDNA resource assembled several independent datasets. To ensure our results were not driven by technical differences between these datasets, we also subset metagenomics samples to be only those part of the *Tara* Oceans campaign (n=370) or the GEOTRACES campaign samples (n=610).

Clustering genes and identifying reciprocal best hits

Genes in the Ocean Microbiomics Database v1.0 that we analyzed were previously clustered based on sequence identity, with a representative gene indicated per clusters. However, these clusters included genes with high variation in length (e.g., genes ranging from 3 kb to 21 kb in the same cluster). Accordingly, we re-ran gene clustering to produce clusters of genes with high pairwise identity over their entire lengths.

To do so, we first parsed out all protein coding genes sequences from pre-existing GFF files per genome. We then clustered these genes with CD-HIT-EST v4.81 (Fu et al., 2012), with a sequence identity threshold (-c) of 0.95, a length difference cut-off (-s) of 0.95, alignment coverage settings (-aL and -aS) of 0.95, and in accurate mode (-g 1). Alignments were then built with MAFFT v7.525 (Katoh & Standley, 2013), with the options --retree 2 --maxiterate 2 to speed up processing, as these were generally trivial alignments. We then computed the pairwise hamming distance for all sequences per cluster in Python using the hammingdist package (v1.3.0). We identified gene pairs that were reciprocally the closest matches using this approach and between taxa that were at least in different genera (i.e., that were not in the same genus or species). We used a lower sequence identity cut-off of 95% as this allowed us to detect potential ancient HGT events, in addition to more recent events, which we assumed would be enriched among matches with sequence identity >= 99%. For all HGT-detection approaches, all genes (or hit regions, in the case of the BLASTn approach, described below) on contigs < 5000 bp were excluded after detecting HGT events.

Sensitive approach for identifying indirect gene flow with pairwise BLAST

In addition to the clustering approach, we also performed pairwise identity comparisons between all genomes using BLASTn, with BLAST+ v2.12.0 (Altschul et al., 1990). Only hits >= 500 bp long and at least 95% identical were retained. To clarify, BLASTn matches were generally based on short subsequences in contigs, rather than the entire contigs. Our analysis for these data focused only on genomes within different genera or higher, to reduce the number of false positives due to vertical inheritance rather than HGT. We ran bedtools v2.30.0 (Quinlan & Hall, 2010) to intersect gene annotations with BLASTn-identified matching regions. For cases where multiple hits overlapped (for the same pairwise genome comparison) the highest scoring hit was retained.

Importantly, BLASTn matches were called as putative HGT events regardless of whether they were the reciprocal best hits in the dataset. Thus, this approach is not meant to identify direct HGT events between genomes, and instead identifies regions between genomes that were putatively horizontally acquired through a shared HGT network. We used this information for complementary purposes, and expect these calls to be more sensitive, but also enriched for more false positives, and less straightforward to interpret than the clustering method described above.

Phylogenetic reconciliation within species

We also identified putative gene transfer events within species with RANGER-DTL (Bansal et al., 2018; Bansal, 2022). We included this approach as using sequence identity alone is unreliable for detecting HGT between closely related genomes (due to high identity stemming from a recent common ancestor). We also ran HoMeR v1.0 (Kloub et al., 2021) in conjunction with RANGER-DTL to call multi-gene transfer events. Our custom code for running this pipeline is located here: https://github.com/gavinmdouglas/HoMer_workflow.

We ran this approach over 190 species that had at least 10 genomes. We found that topological differences between the core genome tree and accessory gene trees were widespread: a mean of 91.6% (standard deviation: 0.06%) of tested genes were inferred to have at least one transfer event across all species. We had little confidence in the accuracy of individual events (see Discussion) and instead used these results only for supplementary purposes. Our assumption here is that the relative ranks of inferred and real HGT event counts between genome pairs are highly correlated, even if there is a baseline of noise.

Functional annotation and enrichment

Clusters of Orthologous Genes (COG) annotations were taken from a previous run of eggNOG (Cantalapiedra et al., 2021), which was distributed with the genomes. For each eggNOG Orthologous Group, we parsed out all COG annotations in the definition and then re-mapped them to higher-level COG categories. To determine the COG annotation associated with each

gene cluster, we considered the classifications of each gene in the cluster and used the
majority rule to determine which COG (and COG categories) to assign. We also annotated all
genes that matched to mobile genetic elements in the proMGE v1 database (Khedkar et al.,
2022). We first translated all protein coding gene sequences to amino acids with the transeq
EMBOSS program v6.6.0.0 (Rice et al., 2000), using the parameters -table 11, -trim, and -clean.
We then ran HMMER v3.1b2 to identify matching genes.
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250 We also ran genomAD v1.5.0 (Camargo et al., 2024) with database v1.1, and default
251 parameters except --cleanup and --splits8 on the contigs of all studied genomes. This allowed
252 us to identify contigs categorized as 'virus' or 'plasmid', as well as those that contain
253 prophages.
254
The expected enrichments of COG categories in the HGT results (prior to cross-referencing
with co-occurrence data) were taken from Dmitrijeva et al. (2024), based on prior studies
(Nakamura et al., 2004; Cordero & Hogeweg, 2009; Cohen & Pupko, 2010; Cohen et al., 2011;
Popa et al., 2017; Oliveira et al., 2017; Paquola et al., 2018; Song et al., 2019; Jeong et al.,
2019; Sheinman et al., 2021). We defined categories expected to be depleted or enriched as
those showing the consistent signal in all but one study (excluding studies with no result for
a given category).
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When testing for functional enrichments among clusters involved with HGT events vs. all
other gene clusters, we only considered clusters assigned to a COG annotation. We also
excluded rare clusters annotated as eukaryotic-specific COG categories (A, B, Y, and Z). We
then ran Fisher's exact tests on the number of clusters in each COG category in at least one
HGT relationship compared to all other clusters in that category (significance called at
Benjamini–Hochberg-corrected (Benjamini & Hochberg, 1995) P-values < 0.05). We focused
this analysis on clusters, rather than individual genes, so that clusters with many genes
involved in HGT events would not be counted multiple times as independent observations.
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Co-occurrence analyses
We used the backbone R package (Neal, 2022) to run hypergeometric distribution-based co-
occurrence tests for all pairwise genomes. Note that the exact version 1.3.1 of this package
needed to be used, as more recent versions no longer provide the method we required at
scale. This allowed us to identify cases where genomes co-occurred more often than expected
by chance (i.e., if they were randomly distributed across samples). We computed the effect
size as the co-occurrence ratio, the ratio of observed vs. expected number of metagenomics
samples containing both genomes. These values were used for comparison with phylogenetic
distance, but we primarily focused on the binary classification of significantly co-occurring
genome pairs. Significantly co-occurring genomes were identified based on Benjamini-
Hochberg corrected P-values < 0.05 and co-occurrence ratios > 1.

To ensure our inferences were robust to this bioinformatic step, we also computed co-occurrence using two other approaches. First, we computed a simple overlap metric, as used previously (Dmitrijeva et al., 2024): $\frac{|samples_{Genome1} \cap samples_{Genome2}|}{min(|samples_{Genome1}|, |samples_{Genome2}|)}$. Note that this approach does not adequately correct for the total prevalence of both genomes being compared (unlike the hypergeometric approach above). For instance, if a genome is found across all samples, then it will trivially have a co-occurrence of 1.0 with all other genomes. The second additional approach we used was to compute co-abundance with the propr R package (Quinn et al., 2017) v5.1.4, which incorporates the relative abundance of genomes. This metric was computed using the NetCoMi R package (Peschel et al., 2021) v1.1.0, for convenience.

Statistical modelling

We ran logistic regression in R using the glm function. These models were based on pairwise comparisons of genomes, with predictors of co-occurrence, tip distance, and the difference in median environmental values of the samples each genome is found in. We also included categorical variables of which filter cut-off grouping the genome pair is within (see Results). For the focal model, the response was the binary value of whether each genome pair was inferred to have at least one HGT event. For models basing co-occurrence upon simple co-occurrence and propr-based co-abundance, these co-occurrence values were continuous rather than binary. All continuous variables were transformed using ordered quantile normalization (Peterson & Cavanaugh, 2020) using the bestNormalize R package v1.9.1. We computed the variance inflation factor for each fixed effect using the performance R package v0.12.4 (Lüdecke et al., 2021).

As the key data we analyzed was based on genome pairs, we also wanted to control for genome ID, to ensure that a small number of genomes (e.g., in numerous co-occurrence or HGT relationships) were not driving our results. To that end, we also built generalized linear mixed models with the R package glmmTMB v1.1.10 (Brooks et al., 2017), with genome ID as a random effect. For this supplementary analysis, we duplicated the input table for each model, so that each genome comparison was present twice, and assigned once to each genome being compared. Due to the table being duplicated, we do not have confidence in estimates of variability from these models, and used them simply to assess whether our overall interpretations shifted when controlling for genome ID.

Working environments

Custom code for processing HGT and co-occurrence result tables was written in Python (run with v.3.10). Visualizations and most statistical analyses were conducted in R v4.4.0 (R Core Team, 2024). Where possible, Linux commands (on Ubuntu 22.04.5 LTS) were parallelized

with GNU Parallel v20240322 (Tange, 2011) and tools were installed from Bioconda (Grüning et al., 2018).

Code and data availability

The accessions of all shotgun metagenomics data used in this study are present in the OceanDNA FigShare repository (Nishimura & Yoshizawa, 2022): https://doi.org/10.6084/m9.figshare.c.5564844.v1. All metagenome-assembled genomes and pre-existing annotations were taken from https://sunagawalab.ethz.ch/share/microbiomics/ocean/suppl_data/. Code and scripts are available on GitHub (https://github.com/gavinmdouglas/ocean_cooccur_hgt). Key data files are distributed through a Zenodo repository (https://doi.org/10.5281/zenodo.14867578).

Results

Identifying putative horizontal gene transfer events

To study prokaryotic genome diversity in the global ocean, we analyzed 15,339 genomes representing 3,270 species, which were previously constructed from marine metagenomics samples (Sunagawa et al., 2015; Nayfach et al., 2021; Paoli et al., 2022). These genomes are from diverse lineages (**Supplementary Figure 1**), primarily bacteria (90.9%). The most common phyla are Proteobacteria (47.9%) and Bacteroidota (12.0%) and the best represented archaeal phylum is Thermoplasmatota (5.92%).

There are several approaches for inferring HGT, which can produce different but complementary results (Douglas & Langille, 2019). Accordingly, we identified putative HGT events between these genomes using several methods to ensure our general results were robust (see Methods). The first two approaches were based on identifying regions with sequence similarity >= 95% between genomes from different genera (or that differ at higher taxonomic levels). In other words, we did not consider genome comparisons within the same genus or species. Our key assumption is that regions of high similarity are unlikely to occur (when of sufficient length) in the genomes of distantly related taxa due to these regions being present in a common ancestor (Sheinman et al., 2021). Instead, we take these observations to represent putative HGT events.

Based on this framework, our focal HGT-detection approach focused on clustering all genes across all genomes. We identified 9,046 putative HGT events based on this approach, 71.2% of which were >= 99% identical, and for which the majority were between genomes within the same family (**Figure 1a**). Although this is a relatively high number of putative HGT events, the number of events called between each pair of genomes was low (median of 1.0 and mean of 3.95 in genome pairs with at least one putative event).

We reasoned that the sequence identity of putative HGT hits, on average, would provide information on the age of the transfer event. One expectation of older HGT events is that mutations and recombination will result in a shorter region identifiable as a transfer event. We used a complementary approach based on BLASTn (see Methods) to evaluate how the lengths of matching regions vary by sequence identity. As expected, regions with high sequence identity (>= 99%) were longer and included more genes on average (mean: 6.6; standard deviation [SD]: 6.6) compared to those with lower sequence identity (>= 95% and < 99%; mean: 2.7; SD: 4.2).

We then investigated whether the expected negative relationship between evolutionary
divergence and HGT held for these results. There is a clear signal of decreasing HGT rates at
more distant taxonomic levels (**Figure 1b**), after normalizing for the number of pairwise
genomes compared at each level. This signal is similar for both the older (< 99%) and more
recent (>= 99%) putative HGT events.

Functional enrichments of horizontally transferred genes
We next characterized whether the horizontally transferred genes we identified were
enriched in expected functional groups identified in previous studies (Dmitrijeva et al., 2024).
Many of the significantly enriched COG categories were in the expected directions (**Figure 2**).
For instance, mobile elements (X) and defense mechanisms (V) were strongly enriched among
HGT events. In addition, all significant categories that were expected to be depleted for HGT
were identified for putative transfers between identities of >= 95% and < 99%. However,
transfers at >= 99% identity showed a more mixed signal for categories expected to be
depleted for HGT. For instance, we observed a mixed signal of enrichment for lipid transport
and metabolism genes (I), and the unexpected enrichment of several other categories,
especially at higher taxonomic levels.

This observation highlights a unique aspect of our enrichment analyses, which is that we
conducted them for inferred HGT events at each taxonomic level separately (**Figure 2**). This
allowed us to identify cases where the same category is enriched in different directions at
different taxonomic levels, such as those involved in chromosome partitioning and cell
division (D) and amino acid transport and metabolism (E).

We also explored mobile genetic element-associated gene annotations and overall found
them enriched among horizontally transferred genes (Fisher's exact tests, $P < 0.001$).
Specifically, genes matching the proMGE database were 7.20-fold enriched, whereas genes
on contigs classified as a plasmid or virus were 8.69 and 3.32-fold enriched among HGT genes,
respectively. In contrast, genes on contigs classified as containing proviruses were 7.14-fold
more likely not to be found among the HGT set. With perhaps the exception of proviruses,
these functional enrichments agree with basic expectations of gene classes expected to be
enriched among HGT events in nature.

Figure 2: Cluster of Orthologous Genes (COG) categories enriched among horizontal gene transfer (HGT) hits based on sequence identity. HGT results used for this analysis were based on the cluster-based approach. Expected patterns of enrichment are indicated for COG categories at the top, based on (Dmitrijeva et al., 2024), and individual COG categories (in abbreviated form in some cases) are indicated at the bottom. The row groupings indicate the identity cut-off, in addition to the taxonomic level at which the genomes that encode the genes differ. Only significant enrichment Fisher's exact tests are displayed (Benjamini-Hochberg-corrected P < 0.05); light grey cells indicate non-significant tests.

Overall relationship between horizontal gene transfer and ecological variables

We next compared how rates of HGT between genomes are associated with co-occurrence and phylogenetic distance. To do so, we mapped metagenomics reads of previously published ocean metagenomics samples against the 15,339 genomes to determine each genome's relative abundance across samples. We identified 1,862 samples where at least one genome was called as present. For these samples, a mean of 26,592,809 (SD: 36,857,948) reads were mapped, which represented a mean of 23.9% (SD: 10.2%) of the reads per sample. A median of 286 genomes were identified as present across these samples. We restricted our subsequent analyses to 10,388 genomes that were called as present in at least 10 metagenomics samples, and then computed the pairwise co-occurrence of these genomes.

Importantly, this prevalence filtering step meant that 32.3% of genomes were excluded, which resulted in the loss of 54.8% of genomes involved in HGT based on the clustering approach (a drop from 2,295 to 1,037 unique genomes). This indicates that many HGT events occurred in taxa for which we have insufficient data to study their co-occurrence relationships within this dataset. Taxa in several poorly represented phyla tended to be especially less likely to be found across at least 10 samples; >= 75% of genomes in SAR324, Gemmatimonadota, Acidobacteriota, Dadabacteria, Latescibacterota, Poribacteria, and Chloroflexota_B were filtered out at this step (**Supplementary Figure 1**).

As expected, we observed a clear association between taxa co-occurrence and HGT (**Figure 3a**; odds ratio: 19.3; P < 0.001). In contrast, we did not observe the expected negative association between phylogenetic distance and extent of co-occurrence based on the focal genome pairs (**Figure 3b**), and instead there was a near-zero association (Spearman ρ=0.056; P < 0.001; **Supplementary Figure 2a**). As a reminder, our analysis focused on genome pairs in different genera or above, to more reliably infer HGT events, and these distributions (**Figure 3**) are based on this subset of genome pairs. However, when considering genome pairs within the same genus or lower, which were excluded from our focal analysis, we do find the expected negative association (Spearman ρ=-0.325; P < 0.001; **Supplementary Figure 2b**). For the subset of genome pairs connected by HGT (**Figure 3b**, right panel) there is lower phylogenetic distance compared to those with no evidence for HGT (mean difference: 0.900; Wilcoxon test P < 0.001). In addition, genome pairs connected by HGT that do not co-occur have especially low phylogenetic distance compared to those that do (mean difference: 0.485; Wilcoxon test P < 0.001). This last observation could be due to collider bias (i.e., a misleading signal driven by data subsetting; see Discussion). Overall, we find the expected associations between HGT and both phylogenetic distance and co-occurrence, but the negative association between co-occurrence and phylogenetic distance is only present for closely related taxa.

Figure 3: Breakdown of putative horizontally transferred genes identified, by co-occurrence and phylogenetic distance. (a) Tallies and percentages of pairwise genome comparisons, by whether they have at least one horizontal gene transfer (HGT) event inferred and whether they co-occur. (b) Boxplots over violin plots of all genomes tallied in panel a, displaying phylogenetic distance by HGT and co-occurrence. Note that the width of the violin plots does not reflect the total sample size for each category (see panel a for counts in each category).

Phylogenetic distance has previously been proposed as partially explaining the association between co-occurrence and HGT, but other factors may also constrain this link. An HGT event might be adaptive under specific environmental conditions, making it more likely to be retained and observed. Indeed, genome pairs connected by HGT tend to be sampled under more similar environmental conditions compared to genomes without evidence for HGT (**Figure 4**). This result highlights that including information on environmental factors is also needed, in addition to phylogenetic distance, to better interpret the relationship between co-occurrence and HGT.

Figure 4: Distributions of the difference in median value of each environmental variable between genome pairs, split by genome pairs connected by HGT and not. The median value for each variable was computed for each genome based on all the metagenomics samples it was found within.

Testing for a relationship between horizontal gene transfer and co-occurrence, after correcting for phylogeny and environmental factors

We next investigated whether the relationship between HGT and co-occurrence remains, and to what degree, after controlling for phylogenetic distance and median environmental differences. To do so, we built a logistic regression model to predict the binary state of whether the genome pairs are connected by HGT or not. The predictor variables included whether the genome pairs are co-occurring or not, as well as the continuous phylogenetic distances and median environmental differences. Most of the measured environmental factors were abiotic (e.g., pH, temperature, depth), but we also included a biotic "lifestyle" factor as a proxy for genomes associated with free-living or potentially particle-associated niches, quantified by different filter sizes (see Methods). A smaller filter-cutoff enriches for free-living cells, whereas a larger filter can include particle-attached prokaryotes, which we refer to as "less-filtered" samples (although note these samples also include free-living microbes, and are not solely particle-attached). We hypothesized that genomes of particle-associated microbes are more likely to undergo HGT due to higher cell density and potentially higher encounter rates with other taxa.

Based on the model coefficients (**Figure 5**), the clearest predictor of HGT is co-occurrence (2.26, P < 0.001). Since this is a binary predictor, this refers to the increased log-odds of being connected by HGT when genomes co-occur, or 9.58-fold ($e^{2.26}$) increased odds. Phylogenetic distance was also highly significant in the model (-1.66, P < 0.001). As this is a continuous variable this means that for every one unit decrease in transformed phylogenetic distance (which corresponds to one standard deviation due to the orderNorm transformation), there is a 5.26-fold decrease in HGT. Although the mean differences in all environmental variables were also significant, the absolute coefficients are much lower compared to phylogenetic distance. Finally, pairs where both genomes are associated with "less-filtered" metagenomics samples, which are more likely to include particle-attached prokaryotes, were positively associated with HGT (1.26, P=0.013; although note the wide 95% confidence intervals). Overall, this result is consistent with the relationship between co-occurrence and HGT remaining robust after also including potential ecological drivers.

We fit this full logistic regression model, and other models based on subsets of predictors. We found the full model fit best based on the Akaike Information Criterion (AIC; difference in AIC of -3.46 compared to the next best model). In addition, although there is potential for multicollinearity between these variables, the variance inflation factor was < 2 in all cases, meaning that this is not a concern for this model.

Although the focal dataset we have highlighted throughout is based on robust methods for determining co-occurrence and HGT, it is possible that our interpretations above could change depending on the bioinformatic workflow and data subset. Accordingly, we re-ran this logistic regression analysis based on two other methods for determining co-occurrence and two other methods for determining HGT, as well as with genomes from the proGenomes database (**Supplementary Figure 3**; see Methods). Although the differing methods have similar motivations, they can result in highly different profiles. For instance, identifying HGT with RANGER-DTL between strains of a species resulted in a huge number of putative events identified (the positive intercept for these models indicating that more than half of genome comparisons were called to have at least one HGT, or recombination, event). Nonetheless, in almost all cases, the full models which included all tested variables produced the lowest AIC values. Exceptions included the model based on cluster-based HGT and 'simple' co-occurrence, as well as all models based on the proGenomes database, where the models excluding the filter-cutoff groupings fit best. In the case of the proGenomes database models, this is likely due to few genomes found to be associated with each grouping for this genome database (see Methods).

Overall, this broader investigation resulted in the same major interpretations: phylogenetic distance and co-occurrence are strongly associated with HGT as expected, even after including additional factors. One exception to our general interpretation is a slight negative

association (-0.13, P < 0.001) between co-occurrence and HGT in the model based on BLASTn-identified HGT events and propr-based co-abundance (**Supplementary Figure 3**; see Discussion). Nonetheless, we also found overall concordance of our results based on an independent genome database (proGenomes), from which we excluded metagenomics-derived assemblies, and corresponded to higher quality genomes than our focal set (although with fewer inferred HGT events).

Figure 5: Coefficients in logistic regression model based on all pairwise genome comparisons. The response is whether those genomes have at least one called horizontal gene transfer event (based on the cluster-based approach) between them or not. Co-occurrence (based on the hypergeometric approach) is a binary variable indicating whether those genomes significantly co-occur, and "free-living" and "less-filtered" enriched indicate whether the genomes being compared are both enriched in that sample-type. The other variables are ordered quantile normalized continuous values. Variables with 'diff.' represent the median inter-sample difference in each environmental variable for all samples encoding the two genomes being compared. Coefficient values less than 0 indicate that decreases in those variables are associated with increases in horizontal gene transfer, while a positive value represents the opposite. The intercept for this model was -14.35. Error bars represent 95% confidence intervals (1.96 x standard error). Note that all variables are significant (P < 0.05) except for "free-living" (enriched).

Finally, we also ran additional checks to ensure our interpretations were robust. We re-ran several models on subsets of the overall OceanDNA metagenomics dataset corresponding to the largest subsets: samples from *Tara* Oceans and GEOTRACES separately (**Supplementary**

Figure 4). Our goal here was to ensure that dataset substructure was not driving our results.
The model coefficients were qualitatively similar compared to the models on the entire
dataset (with one exception, but which included few HGT events and had high
multicollinearity). We also ran generalized linear mixed models to control for the genome IDs
in each comparison (i.e., to control for individual genomes which could be disproportionately
driving the observed signals). To do so, we duplicated the input table used for focal models,
to allow each genome ID to be associated with each comparison separately. Due to this
approach, the error estimates for these models are less reliable overall compared to the
original logistic regressions. Nonetheless, these models provide insight into how controlling
for genome ID can affect the models, and we found that our overall interpretations were
robust (**Supplementary Figure 4**). The exception was that the association trends for the filter-
cutoff groupings associated with genome pairs were less consistent (see Discussion). This is
not unexpected, as there were only four genome pairs associated with "less-filtered" samples
and called for HGT in the original analysis. These pairs consisted of only seven unique
genomes (**Supplementary Table 1**).
595
Discussion
We have shown that co-occurring environmental genomes in ocean metagenomics data are
more likely to show evidence for HGT, compared to genomes not co-occurring. In addition,
we have demonstrated that phylogenetic distance and measured environmental
characteristics are insufficient to fully explain this observation. Our work complements recent
analyses based on 16S rRNA gene sequencing profiles to assess co-occurring bacteria, and
reference genomes to assess putative HGT (Dmitrijeva et al., 2024). Based on metagenomics
data, we also found a clear negative association between phylogenetic distance and both co-
occurrence (at low phylogenetic distances) and HGT. In addition, in agreement with this
earlier study, we found that the association between co-occurrence and HGT holds after
controlling for phylogenetic distance. This result, and our finding that this association is also
robust to controlling for measured environmental factors, underlines the significant influence
of ecological preferences (biotic and abiotic) in shaping marine bacteria evolution.
609
Through our main workflow for identifying HGT events, we were able to stratify genes
putatively shared through HGT by taxonomic level and sequence identity (as a proxy for time
since transfer). The functional enrichment of these genes largely agreed with expectations
from the literature (**Figure 2**), which gave us confidence in our approach. However, we also
noted a few enrichment differences between taxonomic levels and sequence identity.
Particularly for enrichments based on genes at >= 99% identity, we found several functional
enrichments in opposite directions at different taxonomic levels. For instance, amino acid
transport and metabolism was depleted for transfer events at the genus level, but enriched
at the phylum and domain levels. Such signals, particularly for differences at higher taxonomic

levels for which there are fewer total HGT events, would be missed if functional enrichment
were performed on all genes combined.

The association between HGT and both co-occurrence and phylogenetic distance is extremely
clear in our data (**Figure 1** and **Figure 3**). However, the expected association between co-
occurrence and phylogenetic distance was only present in genome pairs within the same
genus or lower. This observation highlights that closely related taxa are especially driving this
signal, rather than a consistent trend at all phylogenetic distances, at least in this marine
dataset. In addition, we identified an intriguing trend where genome pairs that co-occur and
show evidence for HGT were significantly more phylogenetically distant compared to those
that do not co-occur yet undergo HGT (**Figure 3b**). This could indicate there are more complex
associations between co-occurrence, HGT, and phylogenetic distance than previously
appreciated. For instance, this observation could be driven by metabolic complementation
across genomes, which is known to be associated with co-occurrence (Giordano et al., 2024),
and could be enriched for distantly related genomes in our dataset. However, one technical
explanation for this observation, which we think is more likely, is collider bias (Holmberg &
Andersen, 2022). If both phylogenetic distance and co-occurrence independently affect the
probability of genomes being connected by HGT, then when conditioning on one (e.g., co-
occurrence) it is expected to see a different distribution of phylogenetic distances for those
genome pairs. In other words, if genome pairs can be connected by HGT due to either being
phylogenetically similar or due to co-occurring, then it is expected that genome pairs
connected by HGT, but which are not co-occurring, will have lower phylogenetic distance on
average.

There are at least two biological mechanisms that could underlie the general observation of
an association between HGT and co-occurrence. First, taxa that are physically closer could
simply have more opportunities for HGT, which must be true to some extent. For instance,
taxa in completely isolated environments, with no gene flow or possibility of DNA transfer,
cannot undergo HGT. In regions of the ocean stratified by geography, depth, and
environmental factors, it is reasonable to expect that taxa would undergo HGT more
frequently with other taxa sharing the same local environment.

This expectation was the motivation for classifying genomes by sampling filter cut-off, either
in the range of free-living or potentially particle-attached taxa. Our expectation was that
particle-attached taxa, being consistently physically proximal to other cells, would undergo
higher rates of HGT. Our analysis focused on "less-filtered" metagenomics samples rather
than strictly metagenomics samples in the range of particle-attached taxa (see Methods). We
did find support for this expectation (**Figure 5**), but this was based on only seven unique
genomes driving this signal. It is thus unsurprising that the signal was lost in models where
genome ID was included as a random effect. In addition, the split of metagenomics samples

by what sampling filter cut-off was used is confounded by the underlying dataset: samples
within the free-living range are primarily *Tara* Oceans samples, while those which could
include particle-attached bacteria are primarily from the Geotraces project. Accordingly, it
could be driven by a few unrepresentative taxa and differences among datasets.

Another biological mechanism that could explain our overall finding of an association
between co-occurrence and HGT, is that adaptive genes spread through HGT could be
beneficial to taxa in similar environmental conditions. We investigated this hypothesis by
testing whether the difference in median environmental conditions of samples where each
compared taxon is present can account for the observed HGT levels. Importantly, where this
is the case, HGT would be more common among both taxa that co-occur and among those
that do not co-occur, but that nonetheless are found in samples where similar environmental
pressures are present. Although the differences in environmental factors were significant
predictors in our models (**Figure 5**), with higher differences usually associated with decreased
HGT, co-occurrence remained a strong predictor in our models. In addition, environmental
differences were much less predictive compared to phylogenetic distance (which is easiest to
compare to, as all continuous variables were normalized to have the same interpretation of
1 unit). This analysis is dependent upon the accuracy of the environmental data
measurements present in the OceanDNA resource. In addition, the environmental factors
considered are limited (e.g., salinity and temperature). More detailed environmental factors
might explain higher variation in HGT across genome pairs, and co-occurrence likely captures
many unmeasured environmental factors.

A novel aspect of our study is that we focused on metagenomic sequencing data, in a
complementary fashion to the approach of analyzing 16S ribosomal RNA gene sequencing
profiles and matching these to reference genomes (Dmitrijeva et al., 2024). However, most
genomes in our focal dataset were MAGs, which are known to have contamination and
misassembly issues (Shaiber & Eren, 2019; Majernik et al., 2024). In addition, depending on
species clonality within a given metagenomic sample, MAGs may represent a population
genome for a species, which may bias and preclude the detection of HGT across MAGs. To
address these problems, we conducted an additional analysis based on high quality genomes
from the proGenomes database, with MAGs excluded. Our overall interpretations were
similar (**Supplementary Figure 3**), suggesting that our inferences of HGT were not driven by
misassembled MAGs.

We also considered a variety of bioinformatic workflows for detecting HGT and determining
co-occurrence. One clear observation was that within-species inferences of HGT and
recombination with RANGER-DTL led to an extremely high number of putative hits. Since
phylogenetic reconciliation approaches are sensitive to errors in tree-building (Menet et al.,
2022), we cannot reject that this observation is simply driven by inaccuracies in the gene

trees. Indeed, we are skeptical that these hits are reliable inferences for exact HGT events, but nonetheless these results produced similar model outputs as our other approaches. In one model we found results that disagreed with the overall interpretation that co-occurrence and HGT are positively associated: a model based on BLASTn-inferred HGT events and propr co-abundance (**Supplementary Figure 3**). We focused on the cluster-based HGT events, as BLASTn-inferred events reflect a network of potential HGT partners. Specifically, all genomes that share genes above a certain identity cut-off were considered HGT connected based on the BLASTn results, even if a better match exists. In addition, unlike co-occurrence based on presence/absence of genomes, the propr results are based on genome relative abundances. There could be a bias where similar genes are difficult to independently assemble into separate MAGs when these genes are present in genomes at similar abundances in metagenomics data. In any case, all other models, including those based on more straightforward data, agreed with our general interpretation.

In conclusion, we have shown that the relationship between co-occurrence and HGT is robust to phylogeny and measured environmental factors. While we did observe increased HGT between genomes sampled under more similar abiotic conditions, and potentially among particle-associated genomes, these are relatively minor contributors to global patterns of HGT, which can largely be explained by co-occurrence. Future work disentangling the importance of physical proximity (at microscopic or larger scales) compared to more specific shared environmental pressures in driving HGT in the global ocean is needed.

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Conflict of interest disclosure
The authors state that they have no conflicts of interest with the content of this article.

Supplementary Materials

Supplementary Figure 1: Counts of analyzed genomes by phylum, split into the bacterial and archaeal domains, and coloured by percentage. Only genomes from the focal genome database are shown. "Excluded": genomes excluded due to being low quality. "Analyzed": the set of all genomes analyzed in this study. "HGT all": all genomes with at least one putative horizontal gene transfer (HGT) event identified based on the clustering approach (which are a subset of "Analyzed"). The "HGT filt. out" and "HGT retained" groupings represent genomes that were subsets of "HGT all", and were either below or above the metagenomics sample prevalence cut-off, respectively. In other words, they represent genomes that were lost or retained after requiring genomes to be present in 10 samples based on mapping metagenomics reads to genomes with CoverM.

Supplementary Figure 2: Hex plots (coarse scatterplots with coloured hexes indicating counts of overlapping points) of the co-occurrence and phylogenetic distance for all pairwise genome comparisons in the focal dataset. (a) Restricted to genome comparisons between different genera and higher (which we focused on). (b) Restricted to genome comparisons between genomes in the same species or genus (which we excluded from all other analyses for our focal workflow). The plotted co-occurrence metric is: $\log_2((\text{Observed} + 1)/(\text{Expected} + 1))$, where "Observed" is the number of samples observed to share both genomes based on CoverM mapping, and "Expected" is the number expected by chance, based on the prevalence of each genome. Spearman correlation results are indicated above each panel. Note that for the Spearman correlation tests, simply the ratio of Observed/Expected was used as the co-occurrence metric.

Supplementary Figure 3: Coefficients in logistic regression models based on all pairwise genome comparisons, as in Figure 5 but for a wide range of input data. The first column corresponds to the focal model, displayed in Figure 5. Each column is a different model, with input data described by the top three coloured strips: the genome database (DB), horizontal gene transfer (HGT)-detection method, and co-occurrence method. All coloured cells in the heatmap represent significant coefficients per model, and their direction. Non-significant coefficients (P >= 0.05) are indicated by "n.s.". The final row is the maximum variance inflation factor (Max. VIF) per model, indicating that the input variables are moderately, but not highly, correlated. Note that the variable types (binary vs. continuous) are the same as Figure 5, which affects the interpretation of these coefficients, except for co-occurrence in the simple and propr-based models, which was continuous. In addition, all environmental variables tested refer to the mean difference in environmental variables.

GLMM (on duplicated table) with taxon random effect									GEOTRACES samples only		Tara samples only		
													Genome DB
													HGT method
													Co-occur method
−18.31	−17.43	−16.65	−12.21	−12.08	−10.97	1.20	2.40	2.46	−14.38	−39.20	−14.23	−13.78	Intercept
2.34	1.65	1.39	0.88	0.18	0.53	1.20	0.29	0.63	3.00	−2.74	2.11	1.26	Co-occur.
−1.65	−1.51	−1.62	−2.21	−2.22	−2.03	−0.80	−0.76	−0.62	−1.66	−12.63	−1.43	−3.51	Tip dist.
n.s.	−0.67	n.s.	0.37	0.34	0.17	−0.18	−0.28	n.s.	–	–	–	–	Filter group ('Free–living')
n.s.	n.s.	n.s.	0.32	n.s.	0.76	n.s.	n.s.	n.s.	–	–	–	–	Filter group ('Less–filtered')
−0.20	n.s.	n.s.	0.16	0.11	−0.03	−0.33	−0.28	−0.30	−0.39	n.s.	n.s.	0.34	Depth
−0.17	n.s.	−0.10	−0.16	−0.18	−0.14	−0.19	−0.15	−0.10	n.s.	n.s.	−0.29	n.s.	Latitude
−0.11	n.s.	n.s.	n.s.	−0.02	0.07	n.s.	n.s.	n.s.	n.s.	1.80	−0.23	0.28	Longitude
−0.30	−0.11	−0.09	−0.03	−0.09	0.12	n.s.	n.s.	0.06	−0.28	n.s.	−0.41	−0.36	Temperature
−0.24	−0.19	−0.17	−0.09	−0.15	−0.19	n.s.	n.s.	n.s.	n.s.	n.s.	n.s.	n.s.	Oxygen
−0.29	−0.12	−0.14	−0.22	−0.24	−0.10	0.05	0.13	0.13	n.s.	−1.49	−0.38	n.s.	Salinity
1.48	2.16	1.41	1.88	1.92	1.72	1.73	2.62	1.80	1.61	5.64	1.67	2.14	Max. VIF

Supplementary Figure 4: Similar to Supplementary Figure 3, but for additional model outputs. The first nine columns are results for generalized linear mixed models (GLMMs) with genome ID as the random effect. The last four columns are model coefficients for logistic regression models based on the subset of datasets with only GEOTRACES or *Tara* oceans samples. Non-significant coefficients (P >= 0.05) are indicated by "n.s.". The final row is the maximum variance inflation factor per model, which indicates that most models do not have concerning levels of multicollinearity, except for the proGenomes GEOTRACES-only model with a value > 5, indicating high multicollinearity. Note also the extremely low intercept for this model (-39.20), which reflects there being few HGT events identified for this subset.

Supplementary Table 1: Taxonomy of seven metagenome-assembled genomes driving signal of positive association between genomes that are 'less-filtered' and horizontal gene transfer

Study-assigned taxon ID	Taxonomy
Taxa_11628	d__Bacteria; p__Chloroflexota; c__Dehalococcoidia; o__UBA3495; f__UBA3495; g__UBA9611; s__; TARA_SAMEA2623756_METAG_DIFAIHGK
Taxa_3418	d__Bacteria; p__Actinobacteriota; c__Acidimicrobiia; o__Microtrichales; f__MedAcidi-G1; g__UBA9410; s__; MALA_SAMN05422166_METAG_OAKDMEED
Taxa_8602	d__Bacteria; p__Bacteroidota; c__Bacteroidia; o__Flavobacteriales; f__Flavobacteriaceae; g__MED-G13; s__; TARA_SAMEA2621990_METAG_OMFNCAAD
Taxa_442	d__Bacteria; p__Chloroflexota; c__Dehalococcoidia; o__UBA3495; f__UBA3495; g__UBA3495; s__UBA3495 sp002716645; BGEO_SAMN07136539_METAG_DOCKDDBM
Taxa_86	d__Bacteria; p__Chloroflexota; c__Dehalococcoidia; o__UBA3495; f__UBA3495; g__UBA3495; s__UBA3495 sp002716645; BATS_SAMN07137087_METAG_CDOPEKMJ
Taxa_892	d__Bacteria; p__Gemmatimonadota; c__Gemmatimonadetes; o__SG8-23; f__UBA6960; g__UBA1138; s__UBA1138 sp003447875; BGEO_SAMN07136727_METAG_BJDLPBMF
Taxa_8654	d__Bacteria; p__Bacteroidota; c__Bacteroidia; o__Flavobacteriales; f__Flavobacteriaceae; g__MED-G14; s__; TARA_SAMEA2622074_METAG_COJFLNPO

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