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# **Honesty needs no cost: beneficial signals can be honest and evolutionarily stable**

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21 **Abstract**

22           How and why animals communicate honestly is a key issue in biology. The role of  
23 signal cost is strongly entrenched in the maintenance in honest signalling. The handicap  
24 principle claims that honest signals have to be costly at the equilibrium and this cost is a  
25 theoretical necessity. The handicap principle further claims that signalling is fundamentally  
26 different from any other adaptation because honest signalling would collapse in the absence of  
27 cost. Here I investigate this claim in simple action-response game where signals do not have  
28 any cost, instead they have benefits. I show that such beneficial signals can be honest and  
29 evolutionarily stable. These signals can be beneficial to both high and low-quality signallers  
30 independently of the receiver's response, yet they can maintain honest signalling just as much  
31 as costly signals. Signal cost –at or out of equilibrium- is not a necessary condition of  
32 honesty. Benefit functions can maintain honest signalling as long as the marginal cost -loss of  
33 benefit- is high enough for potential cheaters.

34

35 **Keywords:** communication, honest signalling, costly signals, beneficial signals, benefit  
36 function

37

## 38      **1. Introduction**

39            The role of signal cost in the maintenance of honest signalling seems to be  
40 unassailable. While there is still an ongoing debate about exact nature of this role, all  
41 participants agree that some kind of cost is necessary to maintain the honesty of  
42 communication under conflict of interest [1-3]. Opinions and predictions diverge about who  
43 and when shall pay this cost. The handicap principle [1, 4] predicts the most visible and  
44 influential role for signal cost: signals have to be “wastefully” costly in order to be honest.  
45 This cost is a “test” and this test is absolutely necessary condition for honest signalling.  
46 Zahavi further argues that the selection for honest signalling is thus fundamentally different  
47 from other selection processes; the former he calls as “signal selection” vs. the “utilitarian”  
48 selection of the later [4, 5]. He argues while cost is an unavoidable “evil” for other  
49 adaptations, it is a necessity for signals [4, 5].

50            On the other hand, recent models of “costly signalling” paint a slightly different  
51 picture: The equilibrium cost for honest signallers can be zero or even negative, only potential  
52 cheaters have to pay a cost [6-9]. It also turned out that partially honest, so called “pooling”  
53 equilibria can be cost free [10, 11]. However, signal cost still seems to be an essential  
54 ingredient of honest signalling even in these models: (i) signals have a cost function and (ii)  
55 potential cheaters pay a cost for deviating from the equilibrium.

56            All in all, while these models challenge Zahavi’s main prediction about the role of  
57 equilibrium cost, they do not challenge the role of signal cost. Here I show that signal cost is  
58 not an essential ingredient of honest signalling: signals with benefit functions can be honest  
59 and evolutionarily stable even under conflict of interest. I call these signals as “beneficial  
60 signals” as opposed to “costly signals”. I show the existence of a fully honest (separating)  
61 equilibrium without any signal cost function at all. At this equilibrium both low and high-

62 quality signallers benefit from the signals, that is, no one pays any cost at our out of  
63 equilibrium, yet the signalling system is honest and it is evolutionarily stable.

64

## 65 **2. The Model**

66 The model is a simple action-response game widely investigated in the biological  
67 literature [6, 7, 10-15]. It is a two-player game with a signaller and a receiver, where the  
68 receiver controls an indivisible resource. There are two types of signallers: low and high  
69 quality. Both type benefits from obtaining the resource. The receiver only benefits from  
70 transferring the resource to a high-quality individual. Signallers have an option to give a  
71 signal; in the standard literature this signal is costly. This signal may or may not be not be  
72 honest.

73 The receivers' fitness ( $F_r$ ) depends both on the signaller's quality ( $a$ ), which can be high  
74 ( $H$ ) or low ( $L$ ) and on the receiver's response ( $z$ ), which can be up ( $U$ ): to give the resource, or  
75 down ( $D$ ): not to give the resource. The signaller's fitness ( $F_s$ ) is the sum of the value of the  
76 resource ( $V$ ), minus the cost of signalling ( $C$ ). The resource may be more valuable to low or to  
77 high quality signallers, accordingly the value of the resource ( $V$ ) both depends on the quality  
78 of the signaller ( $a$ ) and on the receiver's response ( $z$ ). Last but not least, the cost of signalling  
79 ( $C$ ) depends on the quality of the signaller ( $a$ ) and on the signaller's behaviour ( $b$ ), which can  
80 be to signal ( $S$ ) or not to signal ( $N$ ). Accordingly,  $F_r$  and  $F_s$  can be written up respectively as  
81 follows:

$$82 \quad F_r = W(a, z) \quad (1)$$

$$83 \quad F_s = V(a, z) - C(a, b_s) \quad (2)$$

84 The fitness of each player can be influenced ( $r$ ) by the survival of the other player. For  
85 example, they can be related, or they might belong to the same group (see Maynard Smith,

86 1991). With the help of  $r$  it is possible to describe different situations, for instance, where this  
87 interdependence is high ( $r \gg 0$ , e.g. parent-offspring communication) or situations without  
88 relatedness and additional interactions (i.e.  $r=0$ ). Based on these assumptions the inclusive  
89 fitness of the signaller ( $E_s$ ) and the receiver ( $E_r$ ) can be written as follows:

$$90 \quad E_r = W(a, z) + r(V(a, z) - C(a, b_s)) \quad (3)$$

$$91 \quad E_s = V(a, z) - C(a, b_s) + rW(a, z) \quad (4)$$

92 Let  $V_h$  and  $V_l$  denote the difference in fitness for high-, and low-quality signaller  
93 respectively between obtaining the resource or not (Hurd, 1995; Számadó, 1999):

$$94 \quad V_h = V(H, U) - V(H, D), \quad (5)$$

$$95 \quad V_l = V(L, U) - V(L, D). \quad (6)$$

96 We can define  $W_h$ ,  $W_l$  and  $C_h$ ,  $C_l$  in a similar way:

$$97 \quad W_h = W(H, U) - W(H, D), \quad (7)$$

$$98 \quad W_l = W(L, U) - W(L, D). \quad (8)$$

$$99 \quad C_h = C(H, S) - C(H, N), \quad (9)$$

$$100 \quad C_l = C(L, S) - C(L, N). \quad (10)$$

101 This notation will be used in the rest of the article (see Table 1. for a summary). Figure  
102 1 depicts the signalling game, Table 2 gives the fitness values corresponding to each node.

103 Before proceeding to the new set of solutions it is useful to recapture the conditions of  
104 honest signalling. Honest signalling under conflict of interest can be characterized by three  
105 sets of conditions [7]: (i) the receiver's, (ii) the signaller's (iii) and the conflict of interest  
106 condition. The receiver's condition states that the receiver should react to different signaller  
107 differently. At the traditional signalling equilibrium it should give an Up (U) response to High  
108 quality signaller but it should turn Down (D) Low quality ones. Accordingly, the following  
109 inequalities must be fulfilled:

110

111  $W_l + rV_l < 0$  (11)

112  $W_h + rV_h > 0$  (12)

113 The signaller's condition specifies that signallers should act differently at the honest  
114 equilibrium: High quality signallers should signal (S); low quality signallers should not  
115 signal (N) at the traditional signalling equilibrium. Accordingly, the potential benefits from  
116 signalling should be larger than the cost for high quality signallers and vice versa:

117  $V_l + rW_l < C_l$  (13)

118  $V_h + rW_h > C_h$  (14)

119 Last but not least, the conflict of interest should be specified. It implies that receiving the  
120 resource is beneficial for both signaller types:

121  $V_l + rW_l > 0$  (15)

122  $V_h + rW_h > 0$  (16)

123 Note that in all of these conditions both the benefit and the cost denote differences  
124 between two actions (see Eqs. 5-10): giving or not giving the resource ( $W^*$ ), receiving or not  
125 receiving the resource ( $V^*$ ), and finally giving or not giving a signal ( $C^*$ ). Accordingly,  
126 *negative* values of  $C_h$  or  $C_l$  implies only that not giving a signal is more costly than giving (i.e.  
127  $C(*,N) > C(*,S)$ ); however, this condition tells nothing about the absolute values of  $C(*,S)$   
128 and  $C(*,N)$ . Here I investigate the possibility of negative cost (benefit) in the *absolute* sense,  
129 i.e. that both  $0 > C(*,S)$  and  $0 > C(*,N)$ . Is honest signalling possible when signals for both  
130 types have benefits instead of costs?

131

132

### 133 3. Results

134

#### 135 *Differential cost model*

136 Since the conditions of honest signalling did not change, one have to check whether

137 Eqs. 13 and 14 can be fulfilled alongside of the benefit assumption (i.e.  $0 > C(*,S), C(*,N)$ ).

138 Substituting the cost functions ( $C(*,S), C(*,N)$ ) into the equations we get:

$$139 \quad V_l + rW_l < C(L,S) - C(L,N) \quad (17)$$

$$140 \quad V_h + rW_h > C(H,S) - C(H,N) \quad (18)$$

141 We can see, that in order for the first inequality to be satisfied the benefit from non-signalling

142 has to be higher than the benefit from signalling for Low quality individuals; and it has to be

143 higher so that non-signalling compensates Low quality signallers for the loss of not receiving

144 the resource:

$$145 \quad V_l + rW_l - C(L,S) < -C(L,N) \quad (19).$$

146 The opposite relation holds for High quality signallers:

$$147 \quad V_h + rW_h - C(H,S) > -C(H,N) \quad (20).$$

148 The benefit of non-signalling has to be smaller than the sum of the benefit they get receiving

149 the resource and giving the signal.

150 Figures 2 and 3 depicts these and all other possible relations for Low and for High quality

151 signallers respectively, in a differential cost model. There are five different regions for Low

152 quality signallers (Fig. 2):

153 (i) in the first region both non-signalling ( $C(L,N)$ ) and signalling ( $C(L,S)$ ) is costly;

154 (ii) in the second region (which denotes the line where  $C(L,N)=0$ ) non-signalling has

155 zero cost and signalling is costly, this is the standard set of assumptions of

156 signalling models;

- 157 (iii) in the third region non-signalling is beneficial (it has a negative cost) yet signalling  
158 is still costly;
- 159 (iv) in the fourth region (which denotes the line where  $C(L,S)=0$ ) non-signalling is  
160 beneficial and signalling has zero cost;
- 161 (v) finally in the last, fifth region both non-signalling and signalling is beneficial. In  
162 other words, in this last region Low quality signallers get a benefit regardless of  
163 which action they chose, and this benefit is independent from the receiver's  
164 response yet signalling still can be honest and evolutionarily stable.

165 Table 3 gives numerical examples for all regions (benefits in the model are as follows:  $V_h= 1$ ,  
166  $V_l= 1$ ,  $W_h= 1$ ,  $W_l= -1$ ).

167 There are seven different regions for High quality signallers (Fig. 3):

- 168 (i) in the first region both non-signalling ( $C(H,N)$ ) and signalling ( $C(H,S)$ ) is costly;
- 169 (ii) in the second region (which denotes the line where  $C(H,N)=0$ ) non-signalling has  
170 zero cost and signalling is costly;
- 171 (iii) in the third region non-signalling is beneficial (it has a negative cost) yet signalling  
172 is still costly;
- 173 (iv) in the fourth region (which denotes the line where  $C(H,S)=0$ ) non-signalling is  
174 beneficial and signalling has zero cost;
- 175 (v) in the fifth region both non-signalling and signalling is beneficial; (vi) in the sixth  
176 region signalling is beneficial yet non-signalling has zero cost;
- 177 (vi) in the sixth region (which denotes the line where  $C(H,N)=0$ ) non-signalling has  
178 zero cost and signalling is beneficial;
- 179 (vii) in the seventh region non-signalling is costly, yet signalling is beneficial;
- 180 (viii) and finally in the eighth region (which denotes the line where  $C(H,S)=0$ ) non-  
181 signalling is costly and signalling has zero cost.



182 Table 4 gives numerical examples for all regions (benefits are the same as before).

183 The traditional assumption is region 2 for both Low and High quality signallers (i.e. non-  
184 signalling has zero cost but signalling is costly). However, all these regions fit the conditions  
185 outlined in Eqs. 19 and 20 thus any combination of these regions is a solution. The important  
186 idea is that it is not a simple linear rescaling of the pay-offs for low and High quality  
187 signallers because these regions can be combined independently, which may result in  
188 unexpected or seemingly paradoxical parameter combinations that still can maintain honest  
189 signalling even under conflict of interest. All in all, there are  $5 \times 8 = 40$  potential combinations;  
190 here I only discuss a few counter-intuitive examples.

191 (1) For example, it is possible that both non-signalling and signalling is costly for High  
192 quality signallers (Fig.3 region 1); yet both non-signalling and signalling is beneficial for Low  
193 quality signallers (Fig.2 region 5). In this example High quality signallers invest in signals  
194 and they are compensated by the receiver's response, whereas Low quality signallers are  
195 compensated for the loss of receiver's response by the benefit they receive for non-signalling.

196 (2) Interestingly enough the opposite is equally possible: that High quality signallers  
197 receive benefits for both non-signalling and signalling (Fig.3 region 5) yet Low quality  
198 signallers have to pay a cost for both non-signalling and for signalling (Fig.2 region 1). In this  
199 example signalling is costly for Low quality signallers which prevents them to mimic High  
200 quality ones, and High quality signallers receive an extra benefit on top of the receiver's  
201 response.

202 (3) Perhaps the most interesting case where both Low and High quality signallers receive  
203 a benefit both from non-signalling and from signalling (region 5 in both Figs. 2 and 3). In this  
204 case there is no cost to signals in the system, everyone benefits from every single action, yet  
205 honesty still remains evolutionarily stable. In this example Low quality signallers are  
206 compensated for the loss of receiver's response by the benefit they receive for non-signalling,

207 whereas High quality signallers receive an extra benefit on top of the receiver's response.

208

209 *Differential benefit model*

210 What if the signal cost is the same for both types of signallers (i.e. we have a  
211 differential benefit model)? Is it still possible to get honest evolutionarily stable signalling  
212 with beneficial signals? The signaller's conditions are modified as follows:

213 
$$V_l + rW_l < C \quad (21)$$

214 
$$V_h + rW_h > C \quad (22)$$

215 We can see that the same cost function has to satisfy both conditions. Accordingly, we have  
216 the following inequalities:

217 
$$V_l + rW_l < C(S) - C(N) < V_h + rW_h \quad (23).$$

218 This implies that the difference between the costs of signalling and non-signalling has to be  
219 larger than the benefits from the Up response for Low quality signallers but this difference has  
220 to be smaller than the benefits from Up response for High quality signallers.

221 Figure 4 depicts the regions that satisfy the above condition in differential benefit models.

222 There are five different regions in Fig. 4:

- 223 (i) in the first region both non-signalling ( $C(N)$ ) and signalling ( $C(S)$ ) is costly;  
224 (ii) in the second region non-signalling has zero cost and signalling is costly;  
225 (iii) in the third region non-signalling is beneficial (it has a negative cost) yet signalling  
226 is still costly;  
227 (iv) in the fourth region non-signalling is beneficial and signalling has zero cost;  
228 (v) finally, in the last region both non-signalling and signalling is beneficial.

229 The second region describes the traditional assumption of the signalling models and thus it  
230 corresponds to the classic Sir Philip Sydney game [15]. However, the most interesting is the  
231 fifth region, where just as before, signallers receive a benefit both from non-signalling and

232 from signalling. Table 5 gives numerical examples for all regions (benefits in the model are as  
233 follows:  $V_{i=}$  1,  $V_{i=}$  0.5,  $W_{i=}$  1,  $W_{i=}$  -1). Since signal cost is the same for Low and High  
234 quality individuals in differential benefit model thus changing the absolute value of cost  
235 corresponds to a linear rescaling in this case. However, the results show that this linear  
236 rescaling is possible (in any direction); it follows that the costly signalling equilibria of the  
237 ‘costly signalling’ models is a consequence of the *costly signalling assumption* (i.e. the choice  
238 of the second region, Fig. 2) and it is not a theoretical necessity.

239

#### 240 **4. Discussion**

241 Here I showed that honest signalling needs no cost function. “Beneficial signals”,  
242 signals that have a benefit function instead of a cost function can maintain the honesty of  
243 communication. The conceptual importance of the model that it allows to separate signal cost  
244 (of any source) from the “potential cost of cheating”. It shows that signal cost - at or out of  
245 equilibrium - is not a condition of honest signalling. What maintains the honesty of  
246 communication is the potential cost of cheating, which is conceptually different from signal  
247 cost, as it can be a result of a benefit function. This “potential cost of cheating” is a fitness  
248 difference between two actions (to signal vs. not to signal) and this fitness difference can be  
249 negative even if both of the actions are beneficial on the first place.

250 Previous models were able to show that honest signals do not have to be costly for  
251 honest signallers to be evolutionarily stable, not even under conflict of interest [6-8]. The  
252 current result goes one step further, as it shows that signals need no cost at all to be honest.  
253 There is no need for production cost, maintenance cost, social cost, inclusive fitness cost, etc.  
254 This result invalidates Zahavi’s claim [4] about the special role of “signal selection”. Honest

255 signalling is possible without signal cost: costly signalling is just one possible  
256 implementation, it is not a necessity.

257         The result also shows the limits of the ‘costly signalling’ paradigm [16, 17]. Costly  
258 signalling models in biology arrived at the conclusion of costly equilibrium because of the  
259 *costly signalling assumptions* of these models. In other words, the conclusion of the costly  
260 signalling models is built into the assumptions. Had the authors of these models investigated a  
261 benefit function instead of cost function, they would have arrived at the conclusion of  
262 beneficial equilibria. The ‘costly signalling’ assumption might be realistic and important, yet  
263 it is not a necessity or a ‘principle’.

264         Honest signalling and costly signalling have the same relation as natural selection vs.  
265 mendelian inheritance. Natural selection is the general principle: it assumes competition,  
266 reproduction, inheritance and variation. Mendelian inheritance is one possible implementation  
267 of an inheritance system that allows natural selection to work. Honest signalling is the general  
268 principle, costly signalling is a specific implementation that allows honest signalling to  
269 operate. Mendelian inheritance is not an overreaching “principle”, though it happens to be the  
270 most important inheritance system for “higher life”. The same way, “costly signalling” is not  
271 overreaching “principle” or necessity, though arguably it happens to be a very important  
272 mechanism of honest signalling.

273         Moreover, the Handicap Principle and the costly signalling paradigm is misleading  
274 because it suggested that measuring the “cost of signals” at the equilibrium provides valuable  
275 information about the source of honesty [1, 4]. As consequence hundreds of studies tried to  
276 measure out the equilibrium cost of signals without offering solid evidence in favour of the  
277 Handicap Principle [18, 19]. This is not surprising however, because measuring equilibrium  
278 cost is not informative, one has to measure out of equilibrium costs [8, 20]. However,

279 measuring out of equilibrium cost in itself is not informative either. The cost is only  
280 informative in relation to the benefits of the action. What has to be measured is the pay-off  
281 resulting from the alternative actions (i.e. trade-offs). Unfortunately, the number of studies  
282 comparing out-of-equilibrium cost and benefits (i.e. signal trade-offs) is negligible (but see  
283 [21]).

284 All in all, signal cost is not a necessary ingredient of honesty: honesty needs no cost.  
285 Of course, it does not imply that signal cost cannot play a role in the maintenance of honesty;  
286 however, this is an empirical question and not a theoretical necessity.

287

#### 288 **Author's contributions**

289 S.S. conceived the idea, analysed the model and wrote the article.

290

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346 **Figure Legends.**

347 **Figure 1.** The action-response game.

348 **Figure 2.** Regions where the difference between signalling and non-signalling for Low  
349 quality signallers allows honest signalling (i.e. it fits Eq 19) in differential cost models.

350 **Figure 3.** Regions where the difference between signalling and non-signalling for High  
351 quality signallers allows honest signalling (i.e. it fits Eq 20) in differential cost models.

352 **Figure 4.** Regions where the difference between signalling and non-signalling allows honest  
353 signalling (i.e. it fits Eq 23) in differential benefit models.

354

355 **Table 1.** Parameters and the notation of the model.

$F_r$	receivers' fitness
$F_s$	signaller's fitness
$W$	value of the receiver's response for the receiver
$V$	value of the receiver's response for the signaller
$C$	cost of signalling
$a$	signaller's quality
$b$	signaller's behaviour
$z$	receiver's response
$r$	degree of relatedness
$H$	high quality signaller
$L$	low quality signaller
$U$	up, to give the resource
$D$	down, not to give the resource
$S$	signal
$N$	not to signal
$V_h=V(H,U)-V(H,D)$	difference in the value of the receiver's responses for high quality signallers
$V_l=V(L,U)-V(L,D)$	difference in the value of the receiver's responses for low quality signallers
$W_h=W(H,U)-W(H,D)$	difference in the value of the receiver's responses for receivers in case of high quality signallers
$W_l=W(L,U)-W(L,D)$	difference in the value of the receiver's responses for receivers in case of low quality signallers
$C_h=C(H,S)-C(H,N)$	difference in the cost of signals for high quality signallers
$C_l=C(L,S)-C(L,N)$	difference in the cost of signals for low quality signallers

356

357



358 **Table 2.** The fitness values corresponding to the end nodes in Figure 1, where  $E_s$  and  $E_r$   
 359 denote the inclusive fitness of the signaller and the receiver respectively. The fitness of both  
 360 players is a combination of the benefit they receive as a result of the receiver's decision and  
 361 the costs/benefits resulting from the signaller's decision.  
 362

End node (Fig.1.)	Receiver's and Signaller's fitness respectively
1,	$E_r = W(L, D) + r(V(L, D) - C(L, N))$
	$E_s = V(L, D) - C(L, N) + rW(L, D)$
2,	$E_r = W(L, U) + r(V(L, U) - C(L, N))$
	$E_s = V(L, U) - C(L, N) + rW(L, U)$
3,	$E_r = W(H, D) + r(V(H, D) - C(H, N))$
	$E_s = V(H, D) - C(H, N) + rW(H, D)$
4,	$E_r = W(H, U) + r(V(H, U) - C(H, N))$
	$E_s = V(H, U) - C(H, N) + rW(H, U)$
5,	$E_r = W(L, D) + r(V(L, D) - C(L, S))$
	$E_s = V(L, D) - C(L, S) + rW(L, D)$
6,	$E_r = W(L, U) + r(V(L, U) - C(L, S))$
	$E_s = V(L, U) - C(L, S) + rW(L, U)$
7,	$E_r = W(H, D) + r(V(H, D) - C(H, S))$
	$E_s = V(H, D) - C(H, S) + rW(H, D)$
8,	$E_r = W(H, U) + r(V(H, U) - C(H, S))$
	$E_s = V(H, U) - C(H, S) + rW(H, U)$

363

364 **Table 3.** Numerical examples: differential cost model. Examples of  $C(L, S)$ ,  $C(L, N)$  are given

365 for each region in Fig. 2.  $C_l = C(L,S) - C(L,N) = 1,2$  in all regions (each example fits Eq. 19).

366

Region	$C(L,S)$	$C(L,N)$
1,	1.4	0.2
2,	1.2	0
3,	1	-0.2
4,	0	-1.2
5,	-0.2	-1.4

367

368 **Table 4.** Numerical examples: differential cost model. Examples of  $C(H,S)$ ,  $C(H,N)$  are given

369 for each region in Fig. 3.  $C_h = C(H,S) - C(H,N) = 0,2$  except in region 6 and 7, where  $C_h = -0,2$

370 (each example fits Eq. 20).

371

Region	$C(H,S)$	$C(H,N)$
1,	0.4	0.2
2,	0.2	0
3,	0.1	-0.1
4,	0	-0.2
5,	-0.1	-0.3
6,	-0.2	0
7,	-0.1	0.1

372

373

374 **Table 5.** Numerical examples: differential benefit model. Examples of  $C(S)$ ,  $C(N)$  are given  
375 for each region in Fig. 4.  $C = C(S) - C(N) = 0,7$  in all regions (each example fits Eq. 23).  
376

Region	$C(S)$	$C(N)$
1,	1.0	0.3
2,	0.7	0
3,	0.5	-0.2
4,	0	-0.7
5,	-0.2	-0.9

377







