

1 **SMARTcleaner: identify and clean off-target signals in**

2 **SMART CHIP-seq analysis**

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23 **Abstract**

24 **Background:** Noises and artifacts may arise in several steps of the next-  
25 generation sequencing (NGS) process. Recently, a NGS library preparation  
26 method called SMART, or Switching Mechanism At the 5' end of the RNA  
27 Transcript, is introduced to prepare ChIP-seq (chromatin immunoprecipitation  
28 and deep sequencing) libraries from small amount of DNA material. The protocol  
29 adds Ts to the 3' end of DNA templates, which is subsequently recognized and  
30 used by SMART poly(dA) primers for reverse transcription and then addition of  
31 PCR primers and sequencing adapters. The poly(dA) primers, however, can  
32 anneal to poly(T) sequences in a genome and amplify DNA fragments that are  
33 not enriched in the immunoprecipitated DNA templates. This off-target  
34 amplification results in false signals in the ChIP-seq data.

35 **Results:** Here, we show that the off-target ChIP-seq reads derived from false  
36 amplification of poly(T/A) genomic sequences have unique and strand-specific  
37 features. Accordingly, we develop a tool (called "SMARTcleaner") that can exploit  
38 the features to remove SMART ChIP-seq artifacts. Application of SMARTcleaner  
39 to several SMART ChIP-seq datasets demonstrates that it can remove reads  
40 from off-target amplification effectively, leading to improved ChIP-seq peaks and  
41 results.

42 **Conclusions:** SMARTcleaner could identify and clean the false signals in  
43 SMART-based ChIP-seq libraries, leading to improvement in peak calling, and  
44 downstream data analysis and interpretation.

45

46 **Keywords:**

47 SMART, ChIP-seq, NGS, false priming, false amplification

48

49 **Background**

50 In the past decade, deep sequencing by next generation sequencing (NGS) has  
51 been widely applied in nearly all fields of biological research, in which information  
52 from biological processes (e.g., transcription and protein-DNA interaction) can be  
53 converted to DNAs for sequencing [1-4]. NGS is a complex procedure involving  
54 DNA/RNA isolation, library preparation, deep sequencing, data processing and  
55 interpretation. Each of these steps can introduce biases and artifacts, but the first  
56 step - preparation of NGS libraries is arguably the most critical phase as errors  
57 can be propagated to later steps, if not carefully controlled [5, 6]. Among them,  
58 PCR amplification is a major source of bias due to the fact that not all fragments  
59 are amplified with the same efficiency [5].

60

61 As powerful as NGS technology is, its application with limited amounts of  
62 biological material, for example, DNA or RNA isolated from a very small number  
63 of cells, remains a challenge. This is primarily due to the low efficiency in ligating  
64 targeted DNA/RNA fragments to the NGS sequencing adaptors, leading to a drop  
65 of sequencing reads for low copy DNA/RNA molecules present in a sample [7]. In  
66 addition, ligation requires double-stranded DNA (dsDNA) inputs and may result in  
67 cross- and self-ligation adaptor byproducts [8]. To overcome these limitations,  
68 SMART, a template switching method, was developed and used initially for

69 transcriptome analyses, such as CAGE, RNA-seq (including small RNA-seq),  
70 and single-cell RNA-seq [9-12]. By using single-step adapter addition, the  
71 SMART technology achieves a much-needed sensitivity to accurately amplify  
72 picogram quantities of nucleic acids.

73

74 The SMART method was adapted for preparing NGS libraries from DNA  
75 templates in 2014 by tailing an adaptor to the 3' end of a target DNA sequence  
76 and later amplifying the sequence by template switching. This modification allows  
77 quick preparation of DNA libraries from picogram quantities of DNA molecules [7].  
78 Soon, this strategy was applied to ChIP-seq studies with human, mouse and  
79 yeast samples [13-19], and it is one of the few currently available protocols for  
80 ChIP-seq studies of small cell numbers [20, 21]. Here, a stretch of Ts is added to  
81 DNA templates in the tailing step, which is subsequently hybridized to a poly(dA)  
82 primer used to copy DNA (**Fig. 1a**). It is conceivable that the poly(dA) primer,  
83 however, can lead to signals amplified from non-targeted genomic regions  
84 containing consecutive Ts. Indeed, a recent study of SMART ChIP-seq reads  
85 revealed a strong bias of base constitution at the 3' end of the sequenced reads  
86 that are enriched near long ( $\geq 12$ bp) poly(T/A) containing genomic loci [14]. The  
87 authors proposed a computational strategy to reduce this bias by normalizing the  
88 ChIP-seq data for the genomic abundance of different polyN tracts, but only  
89 achieved partial success [14]. Here, we revisited this problem and demonstrated  
90 that the unique features of the falsely amplified reads can be exploited to  
91 effectively remove artifact ChIP-seq reads from SMART protocols. We

92 implemented this idea in the software SMARTcleaner. Testing multiple published  
93 ChIP-seq data, we showed that SMARTcleaner could properly identify and  
94 remove artifact reads in both paired-end (PE) and single-end (SE) ChIP-seq data,  
95 leading to improved ChIP-seq results.

96

## 97 **Results**

### 98 **Strand-specific false priming and amplification at the poly(T/A) sites**

99 When the SMART protocol (or kit) is applied to prepare NGS libraries from DNA  
100 fragments, such as those from chromatin immunoprecipitation (IP), there are five  
101 steps, 1) 3' T-tailing, 2) annealing of DNA SMART poly(dA) primer to the T-tails,  
102 3) primer extension by the SMARTScribe™ reverse transcriptase (RT), 4)  
103 template switching and extension by RT using SMART oligo, and 5) PCR-  
104 mediated addition of Illumina adapters and subsequent amplification (**Fig. 1a**).  
105 As mentioned previously [14], the SMART poly(dA) primers can anneal to poly(T)  
106 sequences that are either located within the IP-DNA fragments (**Fig. 1b**) or  
107 present in non-target DNA fragments (i.e., the DNA fragments pulled down  
108 during IP non-specifically) (**Fig. 1c**). In both cases, the Ts are from genomic  
109 sequences and are not added during the T-tailing process. After amplification,  
110 sequencing, and read mapping (note that only one strand of the dsDNA is  
111 sequenced), ChIP-seq reads from poly(T/A) genomic DNAs, due to false priming  
112 and amplification, will accumulate next to the poly(T/A) sites in a clear strand-  
113 specific manner because the poly(dA) primers only anneal to the DNA strand  
114 containing poly(T). To illustrate this, we examined the reads in a human ChIP-

115 seq sample (Additional file 1: Table S1, Dataset 1, SRR3229031) that was  
116 prepared using the Clontech DNA SMART ChIP-seq kit and by PE sequencing  
117 [14]. As this particular dataset was obtained from sequencing of control samples  
118 (i.e., input DNA), no genomic regions would be expected to show ChIP-seq read  
119 enrichment. Indeed, at non-poly(T/A) sites, we did not find accumulations of  
120 reads on either “+” or “-” strands (**Fig. 1d**). However, at poly(T/A) sites, we  
121 observed that the Read2 of the PE reads were piled up either at the upstream of  
122 the poly(T) sites (with respect to the reference “+” strand) (**Fig. 1e**) or at the  
123 downstream of the poly(A) sites (**Fig. 1f**), as reported [14]. If SE sequencing had  
124 been performed, the accumulation of reads would still be observed, but the  
125 precise location information provided by Read2 would not be available (**Fig. 1e,f**),  
126 because only Read1 (**Fig. 1a-c**) would be sequenced. Genome-wide analysis of  
127 read distribution aggregated over poly(T/A) sites further illustrate these patterns  
128 (**Fig. 1g-i**). The width of the peaks indicates the range where the false fragments  
129 are located near the poly(T/A) sites (**Fig. 1g-i**).

130

### 131 **Random false priming and amplification at consecutive and intermittent** 132 **poly(T/A) sites**

133 We reasoned that the SMART poly(dA) primers can anneal to and amplify poly(T)  
134 sequences, allowing some degree of mismatch. The PE sequencing data in the  
135 SRR3229031 dataset allowed us to identify exactly the ChIP-seq fragments that  
136 were artifacts from the poly(T/A) genomic sites, because the Read2 of the  
137 fragments would be piled up at the end of poly(T/A) (**Fig. 1e,f**; Additional file 2:

138 Figure S1). We should point out that the second reads of the PE sequences  
139 submitted to the SRA database have been cut by 10 bp from the 3' end by the  
140 authors [14], resulting in a 10 bp gap between the poly(T/A) sites and the end of  
141 the Read2 (Additional file 2: Figure S1).

142

143 We counted the numbers of ChIP-seq Read2 that mapped to the 9,698,838  
144 poly(A) and 9,796,521 poly(T) sequences containing a minimal of five  
145 consecutive As or Ts, respectively, in the human genome (hg38). Like a previous  
146 study [14], we found that the median counts for the regions with 5 to 11  
147 consecutive A or T were 1, while the median for regions with 12 As or Ts was  
148 doubled, indicating that the false priming event occurs primarily at sites with 12 or  
149 more consecutive poly(T/A) bases (Additional file 2: Figure S2a; Wilcoxon test,  $p$ -  
150 value  $< 2.2e-16$ ). Nevertheless, there were large variations at the poly(T/A) sites  
151 of the same length, a common phenomenon due to the randomness in primer  
152 annealing and sequencing (Additional file 2: Figure S2a). To consider  
153 mismatching during priming, we focused on short poly(T/A) sites ( $\leq 8$ bp) that by  
154 themselves cannot be efficiently used for false priming but jointly may be. We  
155 found that read numbers mapped to two such sequences disrupted by one  
156 mismatch nucleotide were significantly reduced, compared to those without  
157 disruption, indicating reduced efficiency of false priming (Additional file 2: Figure  
158 S1c,d, Figure S2b). Moreover, an insertion of two or three mismatch nucleotides  
159 basically abolished false priming (Additional file 2: Figure S2b). In short, our  
160 analysis confirmed that false priming occurs significantly at regions containing a

161 consecutive sequence of  $\geq 12$  As or Ts and the resultant artifact reads should be  
162 excluded from ChIP-seq data analysis.

163

#### 164 **SMARTcleaner: identification and cleaning of falsely primed fragments**

165 Based on the above information of the false priming event in SMART ChIP-seq  
166 studies (**Fig. 1**, Additional file 2: Figure S2), we developed a computational tool,  
167 SMARTcleaner, to remove the ChIP-seq artifact signals. It has two modes (PE  
168 mode and SE mode) to accommodate the two sequencing options during ChIP-  
169 seq. In PE mode, a genome (FASTA) sequence file and ChIP-seq read  
170 alignment files (in bam format) are taken as input, and “cleaned” bam files are  
171 generated with the reads predicted from false priming removed and saved in the  
172 “noise” bam files. In SE mode, it takes a list of consecutive and interrupted  
173 poly(T/A) genomic sites (Additional file 2: Figure S2), and bam files, and outputs  
174 cleaned bam files and noise bam files. The software is publicly available through  
175 github (<https://github.com/dzhaobio/SMARTcleaner>).

176

177 In PE mode, our tool removes ChIP-seq read pairs whose second reads mapped  
178 to poly(T/A) (see Methods). Analysis of pileup reads at individual poly(A/T) sites  
179 (**Fig. 2a,b**) and total read counts across all poly(A/T) sites (**Fig. 2c,d**)  
180 demonstrated clearly that reads from false priming in the SRR3229031 dataset  
181 were effectively identified and successfully removed by SMARTcleaner.  
182 Furthermore, applying the SMARTcleaner to ChIP-seq data from libraries  
183 constructed using a ligation method [14], we found that  $< 0.002\%$  of PE reads



184 were mistakenly removed, indicating that the PE mode is highly accurate. By  
185 comparison, artifact reads in the SMART-based data could be successfully  
186 removed, while their percentages (11-20%) varied among the different DNA  
187 shearing methods used for fragmentation (**Fig. 2e**). In addition, for the SMART-  
188 based data, the ChIP-seq fragment sizes calculated from the noise bam files  
189 were 21-43 bp shorter on average than those in the clean bam files, as expected,  
190 since the genomic poly(T/A) sequences were within ChIP fragments while tailed  
191 Ts were added to the ends of ChIP fragments. This observation is consistent with  
192 previous finding [14].

193

194 In SE mode, the SMARTcleaner identifies and removes artifact reads by  
195 comparing read distributions in the “+” and “-” strands near individual poly(T/A)  
196 sites, because false priming leads to reads accumulated in only one of the two  
197 strands (**Fig. 1**). To demonstrate its performance, we treated the above PE  
198 ChIP-seq reads as SE reads, by analyzing the Read1 data only. Again, analysis  
199 of pileup reads at individual poly(T/A) sites (**Fig. 3a,b**) and read counts  
200 aggregated over genome wide poly(T/A) sites (**Fig. 3c,d**) demonstrated that most  
201 artifact reads were removed effectively. However, the SE mode appeared less  
202 robust than the PE mode, because it mistakenly removed ~0.8% of reads in the  
203 ligation-based ChIP-seq data (**Fig. 3e**). The percentages of reads that were  
204 removed by the SE mode for the SMART-based datasets were similar to those  
205 using the PE mode (**Fig. 3e**).

206

207 In terms of computational efficiency, we tested both PE and SE modes on a PC  
208 (Intel(R) Xeon(R) CPU E5-2609 0 @ 2.40GHz, 32Gb memory, CentOS Linux  
209 release 7.3.1611). It took 30 min to clean 94 million reads in PE mode and 16  
210 min to clean 47 million reads in SE mode, benchmarking with the SRR3229031  
211 dataset. The PE mode requires more memory than the SE mode because the  
212 former reads the entire genome sequence into memory (for fast query) and  
213 keeps track of the end coordinates of Read2 at the genomic poly(T/A) sites.

214

## 215 **Evaluation of SMARTcleaner with published histone modification ChIP-seq** 216 **datasets**

217 To demonstrate the value of our tool and importance of removing artifact reads  
218 from false priming in the analysis of SMART ChIP-seq data, we first applied the  
219 SMARTcleaner to a public ChIP-seq dataset (Additional file 1: Table S1, Dataset  
220 2) that studied H3K4me3 histone modification in HeLa cells using seven methods  
221 for preparing sequencing libraries from low-input IP DNAs, including SMART  
222 method [13]. The study also generated a PCR-free dataset as a gold standard  
223 reference, including three replicates using 100 ng DNA as starting material. For  
224 the other seven protocols, the starting material was either 1 ng or 0.1 ng, each  
225 with five replicates [13]. The original study was designed for comparing the  
226 performance of different ChIP-seq library preparation methods, but this dataset is  
227 ideal for evaluating our tool for three reasons. First, its gold standard data can be  
228 used for clearly evaluating artifacts introduced in PCR amplification. Second, the  
229 dataset is valuable for evaluating the effect of initial DNA inputs on false priming

230 and amplification. Third, the known enrichment of H3K4me3 peaks at promoter  
231 regions [22] can be used as a metric to measure the impact of falsely called  
232 peaks.

233

234 In our test below, as a benchmark we chose the data from PCR-free method and  
235 Ascel2S method, which were consistently ranked at the top by multiple criteria in  
236 the original study [13]. Since the ChIP-seq libraries were sequenced by the  
237 single-end method, we applied SE mode to the alignment files, including control  
238 samples. Similar to the above finding in **Fig. 3e**, only a small percentage of ChIP-  
239 seq reads were removed by SMARTcleaner from the ligation-based datasets, 0.3%  
240 on average. For SMART-derived dataset, the average percentage was 3.0% for  
241 1 ng and 5.3% for 0.1 ng starting DNA material (Additional file 2: Figure S3a).

242 Next, we randomly sampled 6 millions of reads for each sample for calling  
243 H3K4me3 peaks using the software MACS2 [23], by the same criteria. We found  
244 that before read cleaning 12.1% and 17.1% of the H3K4me3 peaks, called from  
245 the 1 ng and 0.1 ng SMART protocols respectively, overlapped with poly(T/A)  
246 sites, but after cleaning the overlaps dropped to 6.2% and 8.1%, comparable to  
247 the numbers for PCR-free and Ascel2S samples (Additional file 2: Figure S3b).

248 This result indicates that not all peaks in poly(T/A) sites are artifacts. The greater  
249 percentages of removed reads and peak overlaps with poly(T/A) sites for the 0.1  
250 ng than the 1 ng dataset are consistent with the assumption of increased false  
251 priming when the input DNA material is lower, due to a reduced number of  
252 genuine target DNA templates. In addition, the percentages of H3K4me3 peaks

253 mapping to promoters increased by 3.7% (1 ng) and 4.1% (0.1 ng) after cleaning  
254 reads in the SMART derived datasets, while the change (0.14%) is negligible for  
255 the PCR free and Ascel2S samples (Additional file 2: Figure S3c).

256

257 We also compared the SMART ChIP-seq peaks to the H3K4me3 peaks from  
258 PCR-free samples, using the peaks (n= 20,262) present in all three PCR-free  
259 datasets as the reference. The mean sensitivity (i.e., % PCR-free peaks detected  
260 in SMART) was 89.68% and 89.61% in pre- and post-cleaning samples (1ng  
261 DNA), indicating no difference in sensitivity. Same was observed for the samples  
262 using 0.1ng starting DNA material (Additional file 2: Figure S3d). However, the  
263 specificity (% SMART peaks found in PCR-free peaks) was increased from 89.25%  
264 to 90.42% for samples with 1ng DNA and from 87.11% to 89.85% for samples  
265 with 0.1ng DNA after cleaning the noise (Additional file 2: Figure S3e), indicating  
266 that the cleaning process improved the peak quality.

267

268 Next, we directly compared the pre- and post-cleaning H3K4me3 peak lists. The  
269 total number of peaks dropped for both SMART samples after cleaning (**Fig. 4a**),  
270 but the change for 0.1 ng SMART sample was significant larger than that for 1 ng  
271 one (**Fig. 4b**), clearly suggesting that with lower amounts of input DNA, more  
272 false peaks would be called from the artifact reads (**Fig. 4c**). In support of this,  
273 we observed that the 0.1 ng pre-cleaning SMART samples had the largest  
274 percentages (on average 64.3%) of peaks located near the poly(T/A) sites (**Fig.**  
275 **4d**). When compared to the peaks called for the PCR-free data, 51.9% (0.1 ng)

276 and 35.1% (1 ng) of the peaks unique to the pre-cleaning SMART samples  
277 overlapped, significantly smaller than the percentages for peaks either shared  
278 with or unique to post-cleaned data (**Fig. 4e**). Similarly, the percentages of  
279 H3K4me3 peaks (44.4% and 39.8%) located to promoters for the peaks unique  
280 to pre-cleaning samples were significantly lower than the numbers for the other  
281 two groups of peaks (**Fig. 4f**). As an orthogonal measurement, we analyzed  
282 transcription factor (TF) motifs in the H3K4me3 peak regions. The TATA box and  
283 CAAT box, two well-known general promoter TF motifs [24], and the ETS motif  
284 [25], were the most enriched motifs in the H3K4me3 peaks. In all cases, their  
285 occurrences in the peaks detected only in the pre-cleaning samples were  
286 significantly lower (**Fig. 4g-i**). In contrast, the RLR1 motif, which basically  
287 consists of poly(T), was only enriched in the peaks unique to the pre-cleaning  
288 samples (**Fig. 4j**). Finally, we examined the ChIP-seq read densities and  
289 aggregated read profiles for the three groups of H3K4me3 peaks, unique to pre-  
290 or post-cleaning samples, or shared (**Fig. 4k**). The peaks unique to the post-  
291 cleaning samples had about 2x stronger (both 1 ng and 0.1 ng samples) ChIP-  
292 seq signals in the PCR-free and Ascel2S data than the peaks unique to the pre-  
293 cleaning samples, indicating that the latter peaks were very likely derived from  
294 PCR amplification and thus enriched for artifacts (**Fig. 4k**). Taken together, these  
295 results indicate that the reads removed by SMARTcleaner are true artifacts and  
296 its application can improve the quality of peaks identified from ChIP-seq analysis,  
297 resulting in better biological findings.  
298

## 299 **Evaluation of SMARTcleaner with published transcription factor ChIP-seq** 300 **datasets**

301 We were especially interested in how the inclusion of artifact reads may affect  
302 peaks identified from TF ChIP-seq studies. Therefore, we reanalyzed a  
303 previously published Olig2 ChIP-seq dataset (Additional file 1: Table S1, Dataset  
304 3) and compared our results to the original publication [18]. We found that 16% of  
305 the original peaks (3,251 of 20,283) overlapped with the poly(T/A) sites, with  
306 some peaks exhibiting typical features of false amplification (**Fig. 5a**). We also  
307 noticed that the authors applied a combination of very stringent criteria to filter  
308 peaks, perhaps in an effort to limit peaks from false priming. Thus, we tried less  
309 stringent criteria to obtain a new set of peaks (n=25,179) from the pre-cleaning  
310 alignment files and included it in our comparison (see Methods). Next, we used  
311 the SMARTcleaner SE mode to clean the alignment files and obtained a list of  
312 post-cleaning peaks (n=23,289). A comparison of the three lists of peaks is  
313 shown in **Fig. 5b**, from which we defined four groups of peaks (Additional file 2:  
314 Figure S4): “TP”, or true positive, called by all methods; “FP”, or false positive,  
315 called by the original study and present in the pre-cleaning sample only; “FN”, or  
316 false negative, removed by the original study only; and “TN”, or true negative,  
317 removed in the original study and by SMARTcleaner. Intersections of the four  
318 groups of peaks with poly(T/A) sites showed that 92.9% of TN peaks and 94.3%  
319 of FP peaks overlapped with poly(T/A) sites, compared to 12.7% of TP peaks  
320 and 5.3% of FN peaks (**Fig. 5c**), indicating that the original study not only  
321 included some artifact peaks but also filtered out some true peaks. This was

322 supported by a comparative analysis of the ChIP-seq read intensities, with reads  
323 from false priming present in both the ChIP sample and input control (FP and TN  
324 in **Fig. 5d,e**). This analysis also showed that the FN group represented true  
325 peaks filtered out by the authors by using overly strict criteria (**Fig. 5d,e**).

326

327 To further test the cleaning effect, we included a Olig2 ChIP-seq dataset that was  
328 independently generated from neural stem cells using a non-SMART protocol  
329 [26]. We found that 86.2% and 91.8% of the pre-cleaning and post-cleaning  
330 peaks were detected by the non-SMART method, respectively. Moreover, among  
331 the four groups of peaks, 93.8% and 83% of TP and FN peaks were present in  
332 the non-SMART peaks, respectively, in contrast to 8.7% and 6.2% for the TN and  
333 FP groups, respectively, indicating that false peaks were removed by our clearing  
334 process. This result was supported by the patterns in the read density heatmaps  
335 and profiles (**Fig. 5d,e**).

336

337 In addition, motif analysis demonstrated that the top four motifs enriched in the  
338 TP and FN peaks were the same TF motifs (Atoch1, NF1, Tcf12 and Olig2)  
339 reported in the original study [18]. However, the top motifs for the TN and FP  
340 groups were RLR1, TA repeat, GAGA repeat, CTCF and Myf5, which seem  
341 irrelevant to Olig2 function (**Fig. 5f**).

342

343 In short, our analysis of the Olig2 ChIP-seq data further supports the value of our  
344 newly developed SMARTcleaner tool, and illustrates the need for appropriately

345 removing noise and artifacts from false priming in TF ChIP-seq studies that use  
346 the SMART protocol.

347

### 348 **Prevalence of artifact reads from false priming and amplification in SMART-** 349 **based ChIP-seq datasets**

350 To determine if false priming and amplification is a common problem in SMART-  
351 based ChIP-seq libraries, we collected and analyzed all such datasets except a  
352 clinical one that is not publicly accessible [15] (Additional file 1: Table S1; see  
353 Methods). These ChIP-seq data were carried out in human [13-16], mouse [17,  
354 18], and yeast samples [19]. All but two of the datasets were analyzed by single-  
355 end sequencing [14, 15]. Our analysis showed that all available datasets  
356 contained an average of 8.5% (2.7% ~19.6%) reads that were likely derived from  
357 false priming, regardless of the amount of input DNA (from 0.1 ng to 10 ng DNA)  
358 or cell numbers (from 10 to 100 millions) (Additional file 1: Table S1).

359

### 360 **Discussion**

361 The SMART ChIP-seq kit uses the template switching method to improve the  
362 efficiency of library construction, which is especially suitable for analyzing  
363 samples with very low amounts of input DNA [7]. Consistent with a recent report  
364 [14], we show that the protocol, however, can introduce significant noise to ChIP-  
365 seq data, due to the annealing of DNA SMART poly(dA) primers to non-targeted  
366 genomic regions containing  $\geq 12$  Ts or As. The artifact reads have distinct  
367 features (**Fig. 1**, Additional file 2: Figure S2) that are exploited by the



368 SMARTcleaner tool developed in this study. Using multiple published ChIP-seq  
369 datasets, we demonstrated convincingly that our tool can successfully remove  
370 the artifact reads arising from false priming and amplification of the SMART  
371 poly(dA) primers. It works for both PE and SE ChIP-seq reads (**Fig. 2, Fig. 3**),  
372 and outputs both cleaned alignment files and noise, which can be loaded into a  
373 genome browser for inspecting the cleaning effects visually. SMARTcleaner also  
374 provides some running options and helper tools to prepare the files required for  
375 the cleaning process. Currently SMARTcleaner does not deal with biases  
376 introduced by other factors, such as DNA shearing method etc. [5], but users can  
377 easily adapt this tool to their ChIP-seq analytic pipelines and develop it further.

378

379 We have examined all currently available public datasets that were obtained  
380 using the DNA SMART ChIP-seq kit, and found that the false priming issue is  
381 prevalent, regardless of the amount of input DNA material or cell numbers  
382 (Additional file 1: Table S1). While the artifact cannot be easily removed by data  
383 normalization, strict filtering in peak calling, or a simple exclusion of peaks  
384 located at poly(A/T) sites, our study suggests that the false priming issue  
385 becomes less severe when a large amount of DNA is used as the starting  
386 material for ChIP library preparation. Conceivably, the concern can also be  
387 alleviated if high affinity antibodies are used to significantly enrich target DNA  
388 templates in the input material. Based on our survey of all available datasets, we  
389 have the following recommendations to users of the SMART ChIP-seq kit to  
390 exploit its full potential. First, one should use a sufficient amount of DNA as the

391 starting templates, whenever possible. Second, the T-tailing step in the SMART  
392 ChIP-seq protocol should be optimized. Third, sequence the NGS libraries using  
393 the PE method and clean the ChIP-seq reads using the PE mode of  
394 SMARTcleaner. Forth, if the libraries have already been sequenced using the SE  
395 method, clean the ChIP-seq reads using the SE mode of SMARTcleaner.  
396 Alternatively, one can consider to use other ChIP-seq library preparation  
397 methods that can also handle low-input DNA [13, 20, 21].

398

## 399 **Conclusions**

400 False priming and amplification occur at poly(T/A) genomic sites due to the use  
401 of poly(dA) primers in SMART-based ChIP-seq library construction. Reads from  
402 subsequent false amplification and sequencing are strand-specific and can be  
403 effectively removed by our SMARTcleaner tool, leading to improvement in peak  
404 calling, and downstream data analysis and interpretation.

405

## 406 **Methods**

### 407 **ChIP-seq datasets and read processing**

408 The SMART ChIP-seq kit is a promising but relatively new protocol for analyzing  
409 small amount of chromatin materials. We searched for ChIP-seq datasets that  
410 used this kit in the GEO and by Google and found one publication in 2015 [18],  
411 two in 2016 [13, 19], and four in 2017 [14-17]. Among the seven publications, six  
412 have made their data publicly accessible (Additional file 1: Table S1). The

413 seventh is a clinical study and the corresponding data have not been released,  
414 possibly due to protection of privacy [15]. In the alignment of ChIP-seq reads  
415 derived from the SMART protocols, the first three bases were trimmed from the  
416 first read (Read1). In all datasets, replicates were analyzed independently. To  
417 facilitate comparison with the original studies, we used the same versions of  
418 software as in the original publication when applicable.

#### 419 ***Dataset 1***

420 The first dataset is actually a ChIP-seq of input DNAs from HCT116 cells and  
421 HeLa-S3 because the DNA templates were not enriched with any antibodies. It  
422 contained seven sets of paired-end sequencing data, which we downloaded from  
423 the NCBI SRA database (SRP071830) [14]. Three libraries were constructed  
424 using the DNA SMART ChIP-Seq kit (Clontech, #634865), with the others by  
425 “standard” ligation-based method. Reads were mapped to the human genome  
426 (hg38) using Bowtie2 (v2.2.3) [27], using default parameters with the maximum  
427 fragment length for valid paired-end reads set to 2000. Only uniquely mapped  
428 reads were kept for further analyses, after duplicate reads were removed using  
429 the Picard tool -- MarkDuplicates (v2.3.0,  
430 <http://broadinstitute.github.io/picard/index.html>). To mimic single-end sequencing,  
431 we generated SE bam files by extracting the first reads from the PE bam files  
432 (samtools view -h -f 64).

#### 433 ***Dataset 2***

434 The H3K4me3 ChIP experiments were done with 56 million HeLa cells in 56  
435 ChIP reactions [13]. The ChIP DNA was combined into a single pool and then

436 divided into seven aliquots for different library preparation methods and the PCR-  
437 free method. Libraries starting from either 1 ng or 0.1 ng CHIP DNA were  
438 generated. Reads were aligned to the hg38 human reference genome using  
439 Bowtie (v1.2.1) [28]. Only uniquely mapped reads were used for analysis, with  
440 duplicate reads removed by samtools (v0.1.19) [29]. To call peaks, we randomly  
441 subsampled 6 million mapped reads for each sample, as done in the original  
442 study [13] and used the MACS2 (v2.1.0) [23] with  $q$  value  $< 0.05$ . Motif analysis  
443 was done using the HOMER (v4.7) [30].

#### 444 **Dataset 3**

445 The Olig2 ChIP-seq was carried out with 10 million neural stem cells (NSCs)  
446 derived from embryonic (E14.5) CD-1 mice. The libraries were constructed using  
447 the DNA SMART ChIP-seq kit and sequenced by the single-end method on an  
448 Illumina HiSeq2000 sequencer [18]. The dataset was downloaded from the GEO  
449 database (GEO: GSE74646). Reads were aligned to the mouse reference  
450 genome (mm10) using bowtie (v1.2.1). Only uniquely mapped reads were used  
451 for analysis, with duplicate reads removed using samtools (v0.1.19). Peaks were  
452 called using the MACS (v1.4.2) and filtered by  $p$  value  $< 10^{-5}$ , fold enrichment  $> 5$ ,  
453 and tag number  $> 15$ . When the filter was set to the same as used in the original  
454 paper ( $p$  value  $< 10^{-9}$ , fold enrichment  $> 5$ , and tag number  $> 20$ ), we obtained  
455 essentially the same peaks that were called in the original study. Peak motif  
456 analysis was done using HOMER (v4.7) [30].

457 **Dataset 4**

458 The H3K4me1 ChIP-seq was obtained with 10 million SUM159 cells. H3K4me1  
459 ChIP-seq libraries were constructed using the DNA SMART ChIP Seq Kit  
460 (Clontech) with 10ng ChIP DNA (NCBI GEO: GSE87424) [16]. Raw fastq  
461 sequences were downloaded from the GEO and processed with the same  
462 methods as the original study.

463 **Dataset 5**

464 The ChIP-seq experiments of H3K27ac histone modification and c-MYC were  
465 performed with FACS-sorted Eph4 cells. Libraries were constructed using the  
466 Clontech DNA Smart Chipseq kit (Clontech, #634866), and pooled for  
467 sequencing (NCBI GEO: GSE98004) [17]. Raw fastq sequences were  
468 downloaded from the GEO and processed as the original study.

469 **Dataset 6**

470 The last dataset was from a yeast study [19]. DNA–RNA immunoprecipitation  
471 and deep sequencing (DRIP-seq) was done with S9.6 monoclonal antibody in  
472 100 million yeast cells. We downloaded the alignment files from European  
473 Nucleotide Archive (ENA) website (PRJEB8021) and yeast reference genome  
474 from the UCSC genome browser [31].

475

476 **SMARTcleaner**

477 The SMARTcleaner tool was developed in Perl under the MIT license after  
478 analysis of the characteristics of ChIP-seq reads derived from false priming and

479 amplification. Two modes, PE mode and SE mode, were implemented based on  
480 the sequencing methods used in ChIP-seq data.

#### 481 ***PE mode***

482 When sequenced in PE method, the second reads of the falsely primed  
483 fragments will pile up upstream of the poly(T) sites or the downstream of the  
484 poly(A) sites (**Figure 1e,f**), allowing two mismatch insertions (Additional file 2:  
485 Figure S2). SMARTcleaner will go through a sorted (by coordinates) alignment  
486 file and find read pairs with the second read at the left end of poly(T) sites or at  
487 the right end of poly(A) sites (Additional file 2: Figure S5). It will keep tracking the  
488 number of such fragments at each position of a poly(T/A) site. When this number  
489 is over a threshold (default: 1) predefined for false amplification, all read pairs  
490 ending in the same position will be considered as artifacts and placed to the new  
491 alignment file (“noise bam file”). In the meantime, the original bam file subtracting  
492 the artifact reads will be saved as a cleaned bam file.

#### 493 ***SE mode***

494 When ChIP-seq is sequenced in SE method, the false reads will be clustered  
495 upstream of poly(T) sites or downstream of poly(A) sites of the reference genome  
496 (**Fig. 1**), up to two mismatches (Additional file 2: Figure S2). SMARTcleaner first  
497 examines the reads in the flanking regions (by default 2kb) of all poly(T/A) sites  
498 to decide the size of the region containing falsely amplified fragments. For reads  
499 on “+” strand, the distance is calculated from the left ends of reads to the left  
500 ends of poly(T) sites (Additional file 2: Figure S6a) or the right ends of poly(A)  
501 sites (Additional file 2: Figure S6b). For reads on “-” strand, the distance is

502 calculated from the right ends of reads to the left ends of poly(T) sites (Additional  
503 file 2: Figure S6a) or the right ends of poly(A) sites (Additional file 2: Figure S6b).  
504 Based on the distribution of the distances, SMARTcleaner automatically  
505 determines the window size at poly(T/A) sites for sampling, or a user can  
506 manually set it according to the read distribution at the poly(T/A) sites (**Fig. 1h,i**).  
507 A bed file containing the resampling regions will be generated. Next, it will go  
508 through the reads at each of those regions, check if the potentially artifact reads  
509 outnumber (default 2x) those in the unaffected opposite strand, and finally  
510 resample the artifact reads, if necessary, according to the read numbers in the  
511 opposite strand (Additional file 2: Figure S7a,b). For the genomic regions with  
512 overlapping poly(T) and poly(A) sites, the tool will process the poly(T/A) sites  
513 based on the order of their appearance in the reference genome (Additional file 2:  
514 Figure S7c).

515

516 For SE mode, a list of poly(T/A) sites is needed. We included a helper command  
517 to identify such regions in a genome. To estimate the range for resampling reads,  
518 we implemented another helper command in our tool for this purpose. Users can  
519 also directly set a range for resampling based on their knowledge of their  
520 datasets or the fragment distribution around the poly(T/A) sites.

521

## 522 **List of abbreviations**

523 ChIP-seq: chromatin immunoprecipitation and deep sequencing

524 NGS : next-generation sequencing

525 PE: paired-end

526 SE: single-end

527 SMART: switching mechanism at the 5' end of the RNA transcript

528

## 529 **Declarations**

### 530 **Ethics approval and consent to participate**

531 Not applicable

### 532 **Consent for publication**

533 Not applicable

### 534 **Availability of data and material**

535 The datasets supporting the conclusions of this article are available in the NCBI  
536 SRA: SRP071830 (Dataset 1), NCBI SRA: SRP067250 (Dataset 2), NCBI GEO:  
537 GSE74646 (Dataset 3), NCBI GEO: GSE87424 (Dataset 4), NCBI GEO:  
538 GSE98004 (Dataset 5), and European Nucleotide Archive (ENA): PRJEB8021  
539 (Dataset 6). SMARTcleaner is publicly available under MIT license at github  
540 (<https://github.com/dzhaobio/SMARTcleaner>).

### 541 **Competing interests**

542 The authors declare that they have no competing interests.

### 543 **Funding**

544 This work was supported by National Institutes of Health [MH099427,  
545 HL133120].



546 **Authors' contributions**

547 D. Zhao developed the tool, performed the analyses, and drafted the manuscript.

548 D. Zheng contributed ideas, wrote the manuscript, and supervised the study. All

549 authors read and approved the final manuscript.

550 **Acknowledgements**

551 We thank the High Performance Computing Core of Albert Einstein College of

552 Medicine for their computational support. We thank Dr. Itamar Simon for sharing

553 additional information about the dataset 1. We also would like to thank Yilin

554 Zhao, Ping Wang, and Yang Liu for helpful discussions, Feng Jiang, Pengcheng

555 Yang and Mingyan Lin for testing the SMARTcleaner tool, and Herbert Lachman

556 for manuscript editing.

557

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664  
665

## 666 **Figure legends**

667 **Fig. 1. Strand-specific amplification of non-targeted sequences at poly(T/A)**  
668 **sites in the SMART ChIP-seq analysis. a.** Flowchart of the SMART ChIP-seq  
669 procedure at non-poly(T/A) sites, adapted from the user manual of the kit  
670 ([http://www.clontech.com/xxclt\\_ibcGetAttachment.jsp?cltemId=99449](http://www.clontech.com/xxclt_ibcGetAttachment.jsp?cltemId=99449)). **b,c.**  
671 Modified flowcharts to show annealing of the SMART poly(dA) primers to non-  
672 tailed Ts within targeted (**b**) or non-targeted (**c**) DNA templates, leading to  
673 strand-specific amplification at poly(T) sites. For poly(A) sites, false amplification  
674 occurs to the opposite strand. **d-f.** ChIP-seq read densities at three randomly  
675 picked non-poly(T/A) and poly(T/A) sites. The data is from SRR3229031  
676 (Additional file 1: Table S1, Dataset 1), and Integrative Genomics Viewer (IGV)  
677 [32] is used to show the ChIP-seq reads from paired-end (PE) or single-end (SE)

678 sequencing. For PE, read1 and read2 are shown as pairs, with reads mapped to  
679 “+” and “-” strands in red and blue, respectively. For SE, only Read1 (extracted  
680 from PE data) is shown. **g-i.** Aggregated read distribution at non-poly(T/A) and  
681 poly(T/A) sites. In h and i, poly(T/A) sites were defined as those with  $\geq 12$   
682 consecutive T or A in the human reference genome. To define non-poly(T/A)  
683 sites, we first selected genomic regions that are  $> 4$  kb in length and  $> 1$ kb away  
684 from poly(T/A) sites, and then take the 2kb regions around the middle points. In  
685 total, we got 301,474 non-poly(T/A) sites, 338,568 poly(T) sites, and 336,703  
686 poly(A) sites. Refer to the Method section (SE mode, Additional file 2: Figure S6)  
687 for the calculation of read distribution.

688

689 **Fig. 2. SMARTcleaner in PE mode.** **a.** PE reads mapped to a poly(T) and a  
690 poly(A) locus before (raw) and after cleaning. **b.** A genomic region showing the  
691 read densities before and after cleaning. The “called peaks” refer to pre-cleaning  
692 peaks called using MACS2. **c,d.** Genome-wide read distribution at poly(T/A) sites  
693 before (red and blue lines) and after (green lines) cleaning. **e.** Percentages of  
694 removed reads at poly(T/A) sites in each sample. The samples from left to right  
695 are SRR3229030, SRR3286889, SRR3286890, SRR3286891, SRR3229031,  
696 SRR3286910, and SRR3286911 (Additional file 1: Table S1, Dataset 1).

697

698 **Fig. 3. SMARTcleaner in SE mode.** **a.** Two examples showing the cleaning  
699 results of SE mode at one poly(T) and one poly(A) locus. **b.** Cleaning result in a  
700 genomic region. **c,d.** Genome-wide reads distribution near the poly(T/A) sites

701 before (red and blue lines) and after (green lines) cleaning. **e.** Percentages of  
702 removed reads at poly(T/A) sites in samples prepared by ligation or SMART  
703 protocols. The sample order is the same as in Fig. 2e.

704

705 **Fig. 4. Evaluate SMARTcleaner with H3K4me3 ChIP-seq data.** **a.** Numbers of  
706 pre- and post-cleaning H3K4me3 peaks. **b.** Change of peak numbers after  
707 cleaning. **c.** Numbers of peaks shared or unique to pre-cleaning (“uniqPre”) or  
708 post-cleaning (“uniqPost”) data **d.** Overlap of peaks with poly(T/A) sites. **e.**  
709 Overlap of peaks with gold standard peaks. **f.** Peaks at the promoter regions (2kb  
710 around TSS). **g-j.** Percentages of peaks with each of the four enriched TF motifs.  
711 **k.** Read densities and average profiles for peaks shared by or unique to pre- and  
712 post-cleaning data. Reads counts were extracted using seqMINER [33] from 6  
713 million reads randomly sampled from individual samples. Heatmaps were drawn  
714 using R package pheatmap, with peaks as row and sorted by read densities. In  
715 **a-j**, each point represents a replicate sample.

716

717 **Fig. 5. Evaluate SMARTcleaner with a TF ChIP-seq data.** **a.** An example of  
718 false peaks in the original list of Olig2 ChIP-seq peaks. The track of “called peak”  
719 shows peaks provided by the authors. **b.** Venn diagram showing the peak  
720 overlaps from three methods: the original peaks from the authors, the peaks  
721 called before cleaning, and the peaks called after cleaning. When counting the  
722 overlapping peaks, we could get two different numbers depending on which set  
723 of peaks is used to report the number (one peak in one set may overlap more

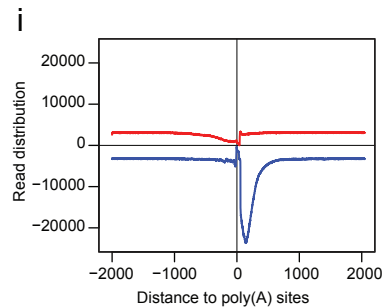
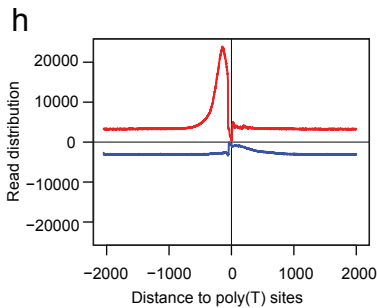
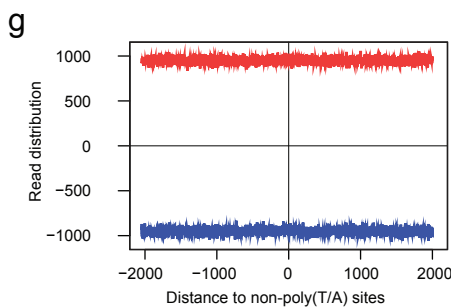
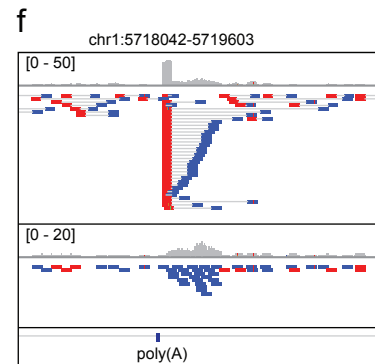
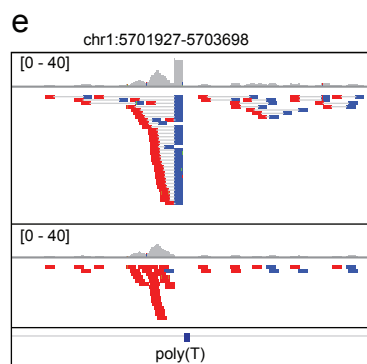
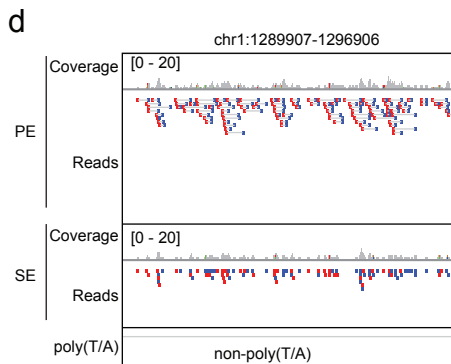
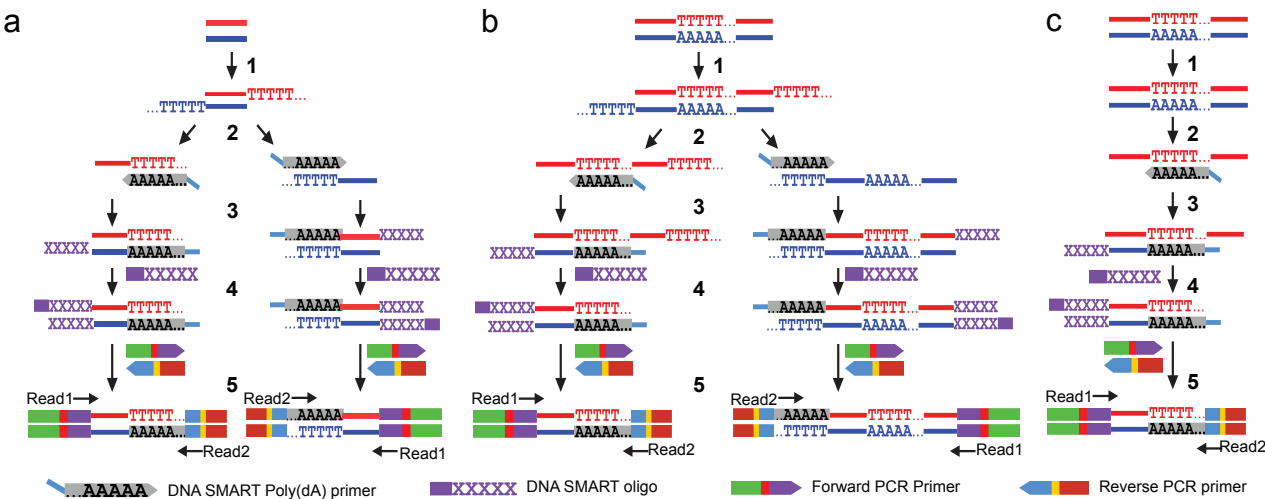


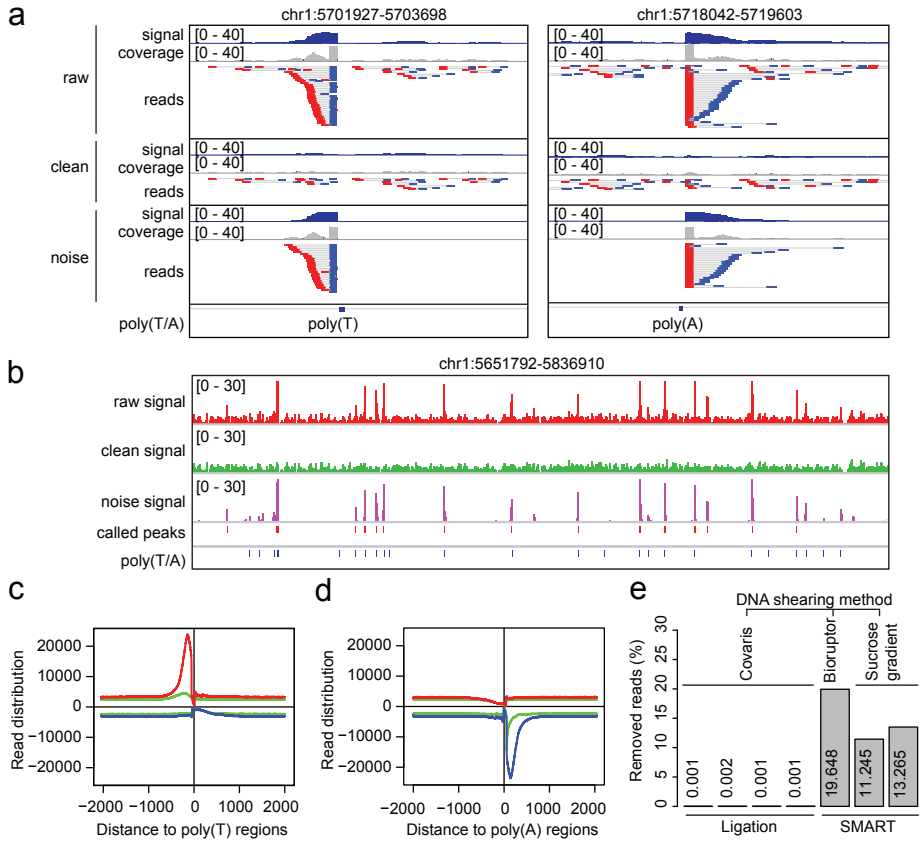
724 than one peak in another set). We reported the smaller number here. **c.** Peaks  
725 overlapping with poly(T/A) sites. **d,e.** Read densities and average counts at the  
726 four selected groups of peaks, computed by sampling 5 million reads. An Olig2  
727 ChIP-seq data (right) from non-SMART method was also analyzed. **f.** Top  
728 enriched motifs by HOMER [30].  
729

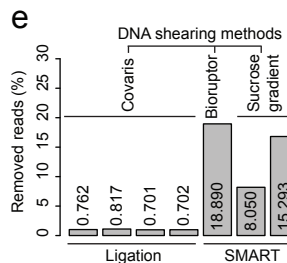
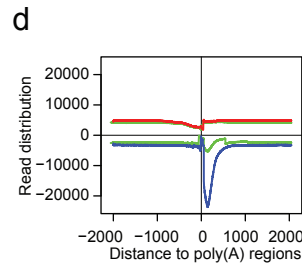
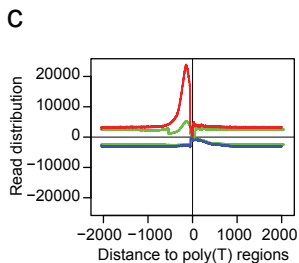
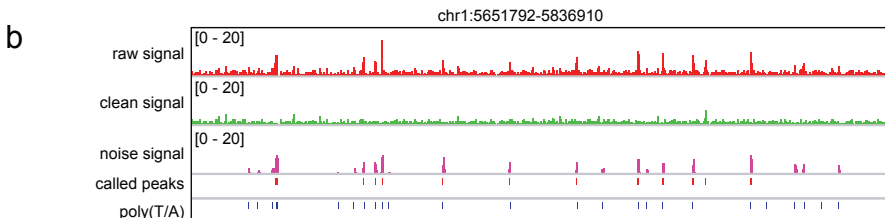
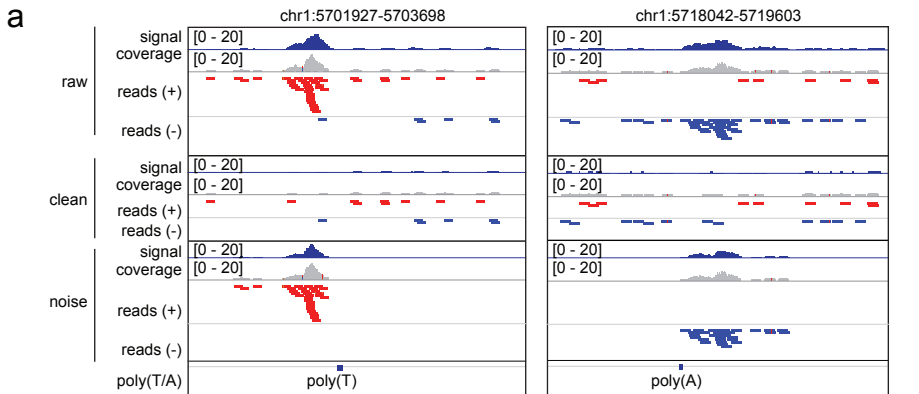
### 730 **Description of additional data files**

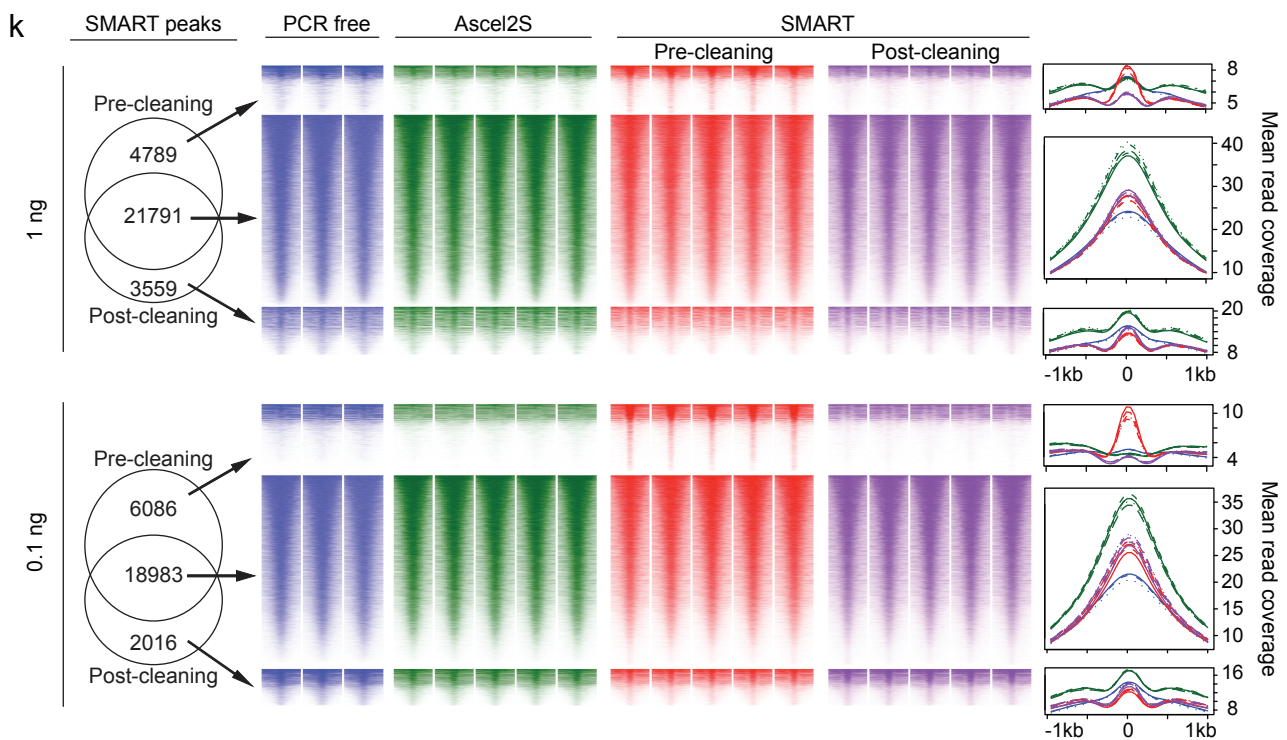
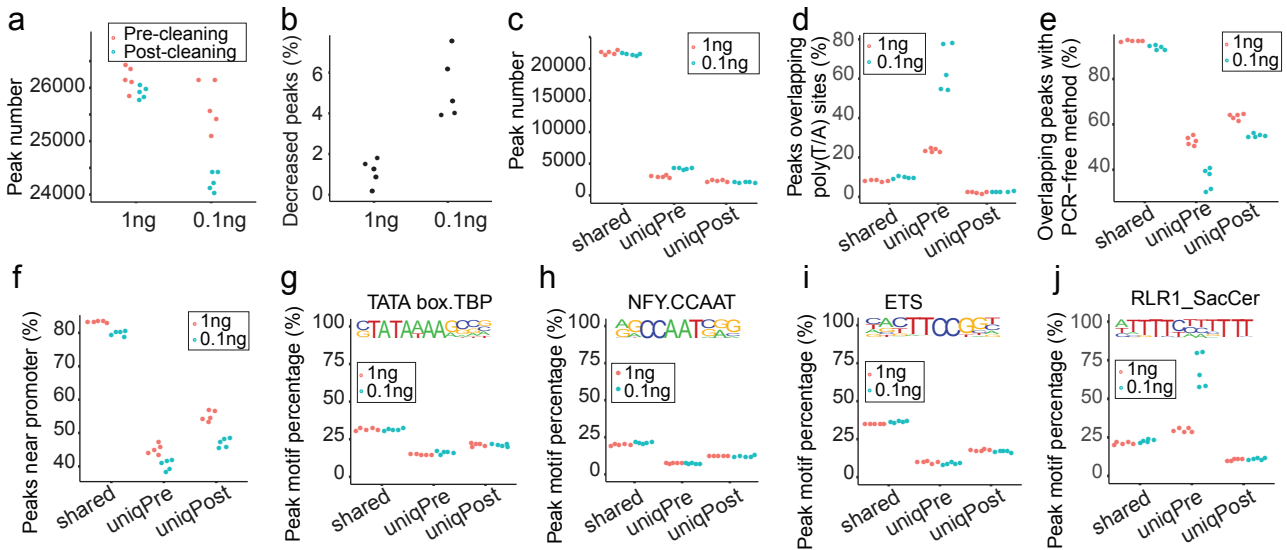
731 Additional file 1: Supplementary Table S1.

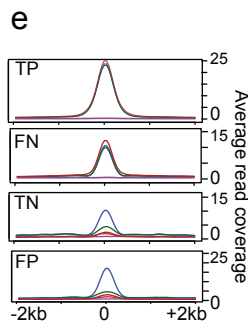
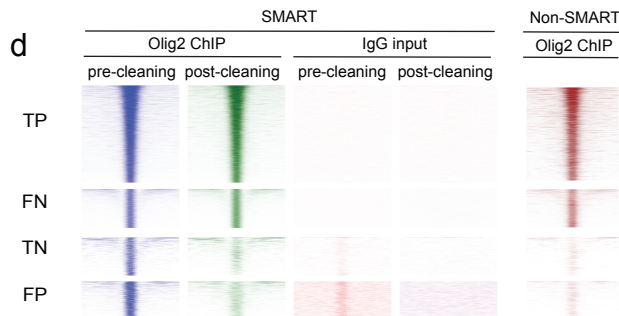
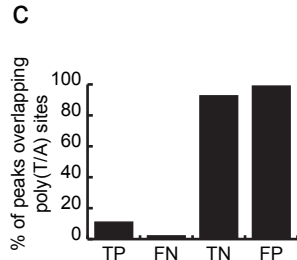
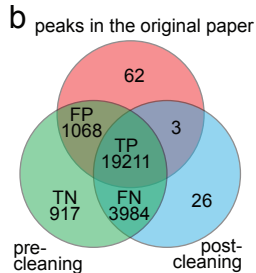
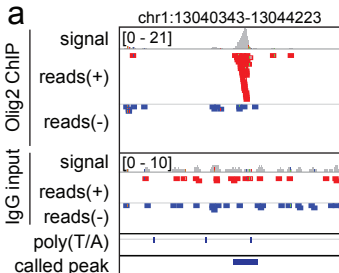
732 Additional file 2: Supplementary Figure S1–S7.











**f**

Group	Motif	TF	P-value	Group	Motif	TF	P-value
TP		Atoh1	1e-904	TN		RLR1	1e-231
		NF1	1e-850			TA repeat	1e-79
		Tcf12	1e-802			GAGA repeat	1e-34
		Olig2	1e-518			CTCF	1e-25
FN		Atoh1	1e-180	FP		RLR1	1e-494
		Tcf12	1e-152			TA repeat	1e-186
		NF1	1e-143			GAGA repeat	1e-57
		Olig2	1e-136			Myf5	1e-28