

1 AluMine: alignment-free method for the discovery of  
2 polymorphic Alu element insertions

3 Tarmo Puurand, Viktoria Kukuškina, Fanny-Dhelia Pajuste and Maido Remm\*

4 *Institute of Molecular and Cell Biology, University of Tartu, Tartu, Estonia*

5 \* corresponding author

6

7 Tarmo Puurand (tarmo.puurand@ut.ee)

8 Viktoria Kukuškina (viktoria.tsernokozova@gmail.com)

9 Fanny-Dhelia Pajuste (fanny-dhelia.pajuste@ut.ee)

10 Maido Remm (maido.remm@ut.ee)

11 **ABSTRACT**

12 **Background**

13 Recently, alignment-free sequence analysis methods have gained popularity in the field of personal  
14 genomics. These methods are based on counting frequencies of short  $k$ -mer sequences, thus  
15 allowing faster and more robust analysis compared to traditional alignment-based methods.

16

17 **Results**

18 We have created a fast alignment-free method, AluMine, to analyze polymorphic insertions of Alu  
19 elements in the human genome. We tested the method on 2,241 individuals from the Estonian  
20 Genome Project and identified 28,962 potential polymorphic Alu element insertions. Each tested  
21 individual had on average 1,574 Alu element insertions that were different from those in the  
22 reference genome. In addition, we propose an alignment-free genotyping method that uses the  
23 frequency of insertion/deletion-specific 32-mer pairs to call the genotype directly from raw  
24 sequencing reads. Using this method, the concordance between the predicted and experimentally  
25 observed genotypes was 98.7%. The running time of the discovery pipeline is approximately 2 hours  
26 per individual. The genotyping of potential polymorphic insertions takes between 0.4 and 4 hours per  
27 individual, depending on the hardware configuration.

28

29 **Conclusions**

30 AluMine provides tools that allow discovery of novel Alu element insertions and/or genotyping of  
31 known Alu element insertions from personal genomes within few hours.

32

33 **KEYWORDS**

34 Alu repeat element, mobile element insertions, alignment-free sequence analysis

## 35 INTRODUCTION

36 Approximately 45% of the human genome contains repeated sequences. These repeated sequences  
37 can be divided into tandem repeats and interspersed repeat elements (segmental duplications and  
38 transposable elements). The most abundant transposable element in the human genome is the Alu  
39 element. A typical Alu element is an approximately 300 bp long transposable nucleotide sequence.  
40 [1–3]. The estimated number of full-length or partial Alu elements in the human genome is 1.1  
41 million [4–7].

42

43 The presence or absence of some Alu elements is variable between individual genomes. Members of  
44 the Alu AluY and AluS subfamilies actively retrotranspose themselves into new locations, thus  
45 generating polymorphic Alu insertions [8–10]. A polymorphic Alu in this context refers to the  
46 presence or absence of the entire element and not single nucleotide polymorphisms within the Alu  
47 sequence. The insertion rate of Alu elements into new locations is approximately one insertion per  
48 20 births [11,12]. Most of the variation in Alu elements is caused by the insertion of new elements.  
49 Deletion of the entire Alu element is possible but occurs much less frequently than the insertion of  
50 new elements. Polymorphic Alu insertions disturb the regulation of flanking genes and affect  
51 phenotype. They cause changes in the genome that lead to disease [13–15]. Therefore,  
52 computational methods that reliably detect polymorphic Alu element insertions from sequencing  
53 data are needed.

54

55 Several methods for the identification of polymorphic Alu insertions have been developed that  
56 include the following: VariationHunter [16,17], Hydra [18], TEA [19], RetroSeq [20], alu-detect [21]  
57 and Tangram [22], MELT [23], T-lex2 [24], and STEAK [25]. All these methods are based on the  
58 mapping of sequencing reads and the subsequent interpretation of mapping results. The discovery of  
59 new insertions is typically based on split locations of a single read and/or the distance between  
60 paired reads.

61

62 Several databases or datasets that describe polymorphic Alu insertions are available. The oldest  
63 resource containing known polymorphic transposable elements is the dbRIP database [26]. It  
64 contains insertions detected by comparison of Human Genome Project data with Celera genome  
65 data. dbRIP also contains information about somatic Alu insertions that might be related to different  
66 diseases. The most comprehensive Alu element dataset is available from the 1000 Genome Project  
67 (1000G) [12,27]. A subset of these sequences has been validated by Sanger sequencing [9]. The  
68 1000G dataset is currently the reference set for evaluating the accuracy of structural variant calls  
69 generated by other methods. The dbRIP, 1000G, me-scan [28], TEA [19] and HGDP [29] datasets  
70 together contain more than 10,000 polymorphic Alu insertions that were collected from hundreds of  
71 individuals from different populations.

72

73 We have developed a set of novel, alignment-free methods for the rapid discovery of polymorphic  
74 Alu insertions from fully sequenced individual genomes. In addition, we provide a method that calls  
75 genotypes with previously known insertions directly from raw reads. Evaluation of these methods  
76 was performed by computational simulations and PCR product size analysis.

77 **RESULTS**

78

79 **Rationale for the alignment-free discovery of Alu insertion sites**

80 We describe a novel method allowing both the discovery of new polymorphic Alu insertions and the  
81 detection of known insertions directly from raw reads in next generation sequencing (NGS) data. Two  
82 key steps within the discovery method are the a) identification of potential polymorphic Alu  
83 insertions present in tested personal genomes but not in the reference genome (REF– discovery) and  
84 the b) identification of potential polymorphic Alu elements present in the current reference genome  
85 (REF+ discovery) that might be missing in the tested genomes.

86 All discovery pipelines use a 10 bp consensus sequence from the 5' end of the Alu (GGCCGGGCGC)  
87 with one mismatch that we call Alu signatures. The REF– discovery pipeline identifies all occurrences  
88 of Alu signatures in raw sequencing reads from an individual. A 25 bp flanking sequence from the 5'  
89 region is recorded together with the discovered Alu signature sequence (**Figure S1 in Additional file**  
90 **1**). Subsequently, the location of these 25 bp sequences in the reference genome is determined using  
91 the custom-made software `gtester` (Kaplinski, unpublished). A new REF– element is reported if the  
92 10 bp sequence in the raw reads is different from the 10 bp sequence in the reference genome.

93 The REF+ discovery pipeline uses the same Alu element signature to identify all locations in the  
94 reference genome where the preceding 5 bp target site duplication motif (TSD) is present 270-350 bp  
95 downstream from the signature sequence (see **Figure S2 in Additional file 1** for details). Both  
96 discovery pipelines generate a pair of 32-mers for each identified Alu element. These 32-mer pairs  
97 are used for the subsequent genotyping of the Alu elements in other individuals. Two 32-mers in a  
98 pair correspond to two possible alleles with or without the Alu element insertion. All candidate 32-  
99 mer pairs are further filtered based on their genotypes in test individuals. The entire discovery  
100 process is outlined in **Figure 1**.

101 The alignment-free genotyping of known Alu elements is based on counting the frequencies of 32-  
102 mer pairs specific to Alu element breakpoints using the previously published FastGT software  
103 package [30]. The principles of the generation of *k*-mer pairs specific to Alu insertion breakpoints are  
104 shown in **Figure 2**. To detect polymorphic insertions, we use 25 bp from the reference genome  
105 immediate to the 5' end of the potential Alu insertion point and then add either 7 bp from the Alu  
106 element or 7 bp from the genomic sequence downstream of the second TSD motif (**Figure 2A**). The  
107 names of two alleles are assigned based on their status in the reference genome; the allele that is  
108 present in the reference genome is always called allele A, and the alternative allele is always called  
109 allele B (**Figure 2B**). This allows us to use the same naming convention for alleles and genotypes used  
110 by the FastGT package for single nucleotide variants.

111

## 112 **Compilation of the list of potential polymorphic Alu elements**

113 To test the applicability of the AluMine method to real data, we performed REF- element discovery  
114 using 2,241 high-coverage genomes from the Estonian Genome Project and compiled a set of 32-mer  
115 pairs for subsequent genotyping. REF- candidates consist of Alu elements that are present in the raw  
116 reads from sequenced individuals but not in the reference genome. We searched the raw reads from  
117 test individuals following the principles described above and detected 13,128 REF- Alu elements  
118 overall.

119

120 REF+ discovery was performed using the human reference genome version 37. We searched for  
121 potential REF+ candidates by using the following criteria: the element must have an intact Alu  
122 signature sequence, have a TSD at least 5 bp long on both ends of the Alu element, have more than  
123 100 bits similar to known Alu elements, and must not be present in the chimpanzee genome. Our  
124 REF+ script detected 267,377 elements with an Alu signature sequence from the human reference  
125 genome. However, only 15,834 (5.9%) of these passed all the abovementioned filtering criteria and

126 remained in the set of potential polymorphic elements. The proportion of different signature  
127 sequences among the set of REF+ elements is shown in **Table S1 in in Additional file 2**. All the steps  
128 involved in Alu element discovery are summarized in **Table 1** together with the number of elements  
129 that passed each step.

130

### 131 **Simulation tests of the discovery method**

132 We realize that although our discovery methods detected more than 13,000 REF– Alu element  
133 insertions, some polymorphic Alu elements remain undiscovered in given individuals. There are two  
134 obvious reasons why Alu variants are missed in the REF– discovery step: a) a low depth of coverage in  
135 some individuals and b) difficulties with the unique localization of 25-mers in some genomic regions.

136

137 The effect of coverage on the discovery rate can be estimated from simulated data. We generated  
138 data with 5× to 55× nucleotide-level coverage and analyzed how many REF– elements we would  
139 discover from these with our method. The results are shown in **Figure 3A**. There is an association  
140 between the depth of coverage and the discovery rate, which levels out at an approximately 40×  
141 depth of coverage.

142

143 Another factor affecting the sensitivity of Alu element discovery is that the repeated structure of the  
144 genome sequence prevents the unique localization of discovered Alu elements. The REF– discovery  
145 method relies on the unique localization of the 25-mer in front of the Alu signature sequence. We  
146 decided to perform a series of simulations with artificial Alu element insertions to determine what  
147 fraction of them was discoverable by our REF– discovery method. For this, we inserted 1,000 typical  
148 Alu elements into random locations of a diploid genome sequence and generated random  
149 sequencing reads from this simulated genome using wgsim software [31]. The simulation was  
150 repeated with 10 male and 10 female genomes using different mutation rates. Varying the mutation  
151 rate helps to somewhat simulate older and younger Alu element insertions (older Alu elements have

152 accumulated more mutations) and estimate how their detection rate varies accordingly. We  
153 observed that 20% to 23% of the elements remain undetected, depending on the mutation rate  
154 (Figure 3B). The mutation rate has only a moderate effect on the sensitivity of detection; thus, we  
155 assume that the age of the Alu element insertion does not significantly influence the number of  
156 detected elements. Additionally, 7% of the inserted elements remained undiscovered because they  
157 were inserted into inaccessible (N-rich) regions of the reference genome, and this number is  
158 independent of mutation rate.

159

### 160 **Comparison with other Alu discovery methods**

161 When comparing the results of Alu discovery methods, we can compare two aspects. If the same  
162 individuals are studied by many methods, we can estimate the overlap between identified elements.  
163 Otherwise, we can compare the overall number of detected elements.

164

165 We were able to identify the overlap between Alu elements discovered from sample NA12878 within  
166 the 1000G pilot project and the 1000G Phase3 project. AluMine discovered 60% (1204) of all  
167 elements reported in the 1000G Pilot phase project plus an additional 443 elements (Figure 4). The  
168 overlaps between methods are similar for REF+ and REF- elements.

169

170 To examine other methods, we were only able to compare the overall number of discovered REF-  
171 elements. AluMine detected 1,116 and 1,127 REF- insertions in the CEPH individuals NA12877 and  
172 NA12878 and 1,290 insertions in NA18506. alu-detect discovered on average 1,339 Alu insertions per  
173 CEU individual [21]. Hormozdiari et al. detected 1,282 events in the CEU individual NA10851 with 22×  
174 coverage and 1,720 events in the YRI individual NA18506 with 40× coverage [16]. TEA detected an  
175 average of 791 Alu insertions in each individual genome derived from cancer samples [19]. In  
176 genomes from Chinese individuals, Yu et al. discovered 1,111 Alu element insertions on average [32].



177 Thus, the overall number of detected REF– elements was similar for all methods.

178

179 The number of polymorphic REF+ elements (present in the reference genome) has been studied less  
180 thoroughly. The number of human-specific REF+ insertions is at least 8,817 [33]. We identified 15,834  
181 potential polymorphic REF+ elements, of which 1,762 were polymorphic in at least one individual in  
182 the studied population.

183

#### 184 **Frequency of non-reference Alu elements in tested individuals**

185 We scanned 2,241 Estonian individuals with the final filtered set of Alu elements to identify the  
186 genotypes of all potential polymorphic Alu insertions in their genomes. All tested individuals had  
187 some Alu elements that were different from those in the reference genome. The tested individuals  
188 had 741 - 1,323 REF– elements (median 1,045) that were not present in the reference genome and  
189 465 - 651 REF+ Alu elements (median 588) that were present in the reference genome but missing in  
190 given individual (Figure 5).

191

192 One interesting question that can be addressed from the given data is the cumulative number of  
193 REF– elements in a population. We discovered 14,455 REF– Alu elements from 2,241 tested  
194 individuals. However, many of these were common within the population. Thus, saturation of the  
195 total number of polymorphic elements is expected if sufficient number of individuals are sequenced.  
196 The saturation rate of the REF– elements is shown in Figure 6. Obviously, the number of REF–  
197 elements was still far from saturation. Each new individual genome sequence still contained 2-3  
198 previously unseen REF– elements.

199

#### 200 **Selection of 32-mers for genotyping**

201 In principle, we would like to call the genotypes with discovered Alu elements in other individuals

202 using pairs of specific 32-mers and FastGT genotyping software. Unfortunately, not all discovered Alu  
203 elements are suitable for fast genotyping with a pair of short k-mers. Some of them tend to give  
204 excessive counts from other regions of the genome, and some might be affected by common Single  
205 Nucleotide Variants (SNVs). To select a set of Alu elements that gives reliable genotypes, we filtered  
206 the Alu elements based on their genotyping results using data from the same 2,241 individuals that  
207 were used for REF- element discovery. To this end, we merged 32-mers of REF- and REF+ Alu  
208 elements with a set of SNV-specific 32-mers and determined the genotypes of these markers in test  
209 individuals using the FastGT package. SNV-specific *k*-mers are required at this step because Alu  
210 elements alone cannot provide reliable estimates of parameter values for the empirical Bayes  
211 classifier used in FastGT. Additional filtering and removal of candidate elements was based on several  
212 criteria. We removed elements that generated an excessive number of unexpected genotypes (a  
213 diploid genotype is expected for autosomes, and a haploid genotype is expected for chrY), elements  
214 that deviated from Hardy-Weinberg equilibrium and monomorphic REF- elements. The validation of  
215 all tested markers together with their genotype counts is shown in [Table S2 in Additional file 2](#). In the  
216 final validated *k*-mer database, we included 9,712 polymorphic REF- elements that passed the  
217 validation filters, including 1,762 polymorphic REF+ elements and 11,634 monomorphic REF+  
218 elements. Although 87% of the candidate REF+ elements were monomorphic in the tested  
219 individuals, the possibility exists that they are polymorphic in other populations; therefore, we did  
220 not remove them from the *k*-mer database.

221

## 222 **Experimental validation of the genotyping method**

223 We decided to validate the alignment-free genotyping of polymorphic Alu elements with a subset of  
224 newly discovered Alu elements. The validation was performed experimentally using PCR fragment  
225 length polymorphism. We used four different Alu elements (1 REF- and 3 REF+ elements) and  
226 determined their genotypes in 61 individuals. The individuals used in this validation did not belong to  
227 the training set of 2,241 individuals and were sequenced independently. The electrophoretic gel

228 showing the PCR products of one REF– polymorphism is shown in [Figure 7](#). The results for the three  
229 REF+ individuals are shown in [Figure 8](#). The computationally predicted genotypes and experimentally  
230 determined genotypes conflicted in only 3 cases; thus, the concordance rate was 98.7%. The 32-mer  
231 counts, predicted genotypes and experimental genotypes for each individual are shown in [Table S3 in](#)  
232 [Additional file 2](#).

233

## 234 **Performance**

235 The performance of the AluMine methods can be divided into three parts: the performance of the  
236 REF– discovery pipeline, the performance of the REF+ discovery pipeline and the genotyping  
237 performance. The REF+ pipeline was run on a server with a 2.27 GHz Intel Xeon CPU X7560 and 512  
238 GB RAM. The REF– scripts and genotyping were run on cluster nodes with a 2.20 GHz Intel Xeon CPU  
239 E5-2660 and 64 GB RAM.

240

241 The most time-consuming steps in the REF– discovery pipeline are a) searching for Alu signatures  
242 from FASTQ files, which takes 2 hours per individual on a single CPU core, and b) finding their  
243 locations in the reference genome using `gtester` software (2 hours for the first individual, 4  
244 minutes for each subsequent individual). The increase in speed for subsequent individuals is due to  
245 the large size of the `gtester` indices (approximately 60 GB). For the first individual, they are read  
246 from a hard drive, and for subsequent individuals, the disk cache is used. None of the steps require  
247 more than 8 GB of RAM.

248

249 The REF+ discovery pipeline contains the following three time-consuming steps: a) a search for 31  
250 different Alu signatures from chromosomes of the reference genome (takes 14 minutes), b) a  
251 homology search with all the candidates to confirm that they are Alu elements (2 minutes) and c) a  
252 comparison with the chimpanzee genome to exclude fixed Alu elements (4 minutes, 28 GB RAM). All  
253 these steps use a single processor. The REF+ discovery pipeline has to be run only once and should

254 not be repeated for each separate individual. Thus, in terms of performance, it occupies only a minor  
255 part of the overall analysis.

256

257 The genotyping of individuals is performed with the previously published FastGT package [30]. The  
258 performance of FastGT was analyzed in the original paper. In optimized conditions (>200 GB RAM  
259 available, using FASTQ instead of BAM format, and using solid state drive), it can process one high  
260 coverage individual within 30 minutes. However, we used FastGT on cluster nodes with a limited  
261 amount of hard drive space and limited RAM. Therefore, in our settings, FastGT acquired sequence  
262 data from BAM files through standard input, which limited its performance. In this way, we were able  
263 to process one individual in 3-4 CPU hours.

264

265

## 266 **DISCUSSION**

267

### 268 **Parameter choice**

269 A common matter of discussion for alignment-free sequence analysis methods is the optimal length  
270 of  $k$ -mers. In our case, the  $k$ -mers used for genotyping Alu elements had to be bipartite and contain  
271 sufficient sequence from the genome and a couple of nucleotides from the Alu element (Figure 2).

272 The first part of the bipartite  $k$ -mer must guarantee the unique localization of the  $k$ -mer in the  
273 human genome; the second part must allow distinguishing variants with and without the Alu element  
274 at a given location. Both parts must fit into 32 nucleotides because we use the  $k$ -mer managing  
275 software package GenomeTester4, which is able to handle  $k$ -mers with a maximum length of 32  
276 nucleotides. In the current work, we chose to divide 32-mers into 25 + 7 nucleotides. Our previous  
277 work demonstrated that all  $k$ -mers 22 to 32 nucleotides long should perform equally well to analyze  
278 variations in the human genome (Figure 5 in [30]). Thus, we assume that we would obtain a rather  
279 similar genotyping result with slightly different splits, such as 22 + 10 or 28 + 4 nucleotides. Using  
280 fewer than 4 nucleotides from the Alu element would give too high of a chance to have an identical  
281 sequence in the reference genome, and the program would not be able to distinguish variants with  
282 and without Alu.

283

### 284 **Comparison with other software**

285 We compared the number of REF- elements discovered by different methods. However, the direct  
286 comparison of these numbers to our data is complicated because different populations and  
287 individuals were used in different reports. The number of discovered insertions was correlated with  
288 the individual ancestry of the subjects: generally, fewer Alu insertions were discovered in CEU  
289 individuals than in YRI individuals [12]. Additionally, the depth of coverage had a strong effect on the  
290 results, as shown in Figure 3A. All methods, including AluMine, detected approximately 1000 REF-  
291 elements per genome. The slight differences were likely due to differences in the depth of coverage

292 and the different origins of the samples used.

293

294 Different detection methods have different biases. The premature termination of target primed  
295 reverse transcription during the replication of Alu elements can generate truncated Alu element  
296 insertions that are missing the 5' end of the element. It has been estimated that 16.4% of Alu  
297 elements are truncated insertions [29]. Furthermore, some Alu element polymorphisms appear  
298 through the deletion of existing elements (2%) [9] or mechanisms that do not involve  
299 retrotransposition (less than 1%) [29]. Our REF+ method relies on the presence of TSDs, and the REF-  
300 method relies on the presence of intact 5' ends in the Alu. Thus, we would not be able to detect  
301 those events, which would explain the majority of the differences between our results and the  
302 elements detected in the 1000G pilot phase (Figure 4).

303

#### 304 **Future directions**

305 In principle, our discovery method can be used to search for novel Alu elements in any whole-  
306 genome sequencing data. Transposable elements are known to occur in genes that are commonly  
307 mutated in cancer and to disrupt the expression of target genes [13,19]. Our method allows the  
308 discovery of novel Alu elements from sequences from tumors and matched normal blood samples,  
309 allowing the study of the somatic insertion of Alu elements in cancer cells and their role in  
310 tumorigenesis. The precompiled set of 32-mer pairs allows the genotyping of known Alu element  
311 insertions in high-coverage sequencing data. This facilitates the use of Alu elements in genome-wide  
312 association studies along with SNVs.

313

314 The alignment-free discovery method could also be adapted for the detection of other transposable  
315 elements, such as L1 or SVA elements. However, the discovery of these elements is more  
316 complicated because SVA elements contain a variable number of (CCCTCT)<sub>n</sub> repeats in their 5' end,  
317 and L1 elements contain variable number of Gs in front of the GAGGAGCCAA signature sequence.

318

## 319 **CONCLUSIONS**

320 We have created a fast, alignment-free method, AluMine, to analyze polymorphic insertions of Alu  
321 elements in the human genome. It consists of two pipelines for the discovery of novel polymorphic  
322 insertions directly from raw sequencing reads. One discovery pipeline searches for Alu elements that  
323 are present in a given individual but missing from the reference genome (REF– elements), and the  
324 other searches for potential polymorphic Alu elements present in the reference genome but missing  
325 in some individuals (REF+ elements). We applied the REF– discovery method to 2,241 individuals  
326 from the Estonian population and identified 13,128 polymorphic REF– elements overall. We also  
327 analyzed the reference genome and identified 15,834 potential polymorphic REF+ elements. Each  
328 tested individual had on average 1,574 Alu element insertions (1,045 REF– and 588 REF+ elements)  
329 that were different from those in the reference genome.

330

331 In addition, we propose an alignment-free genotyping method that uses the frequency of  
332 insertion/deletion-specific 32-mer pairs to call the genotype directly from raw sequencing reads. We  
333 tested the accuracy of the genotyping method experimentally using a PCR fragment length  
334 polymorphism assay. The concordance between the predicted and experimentally observed  
335 genotypes was 98.7%.

336

337 The running time of the REF– discovery pipeline is approximately 2 hours per individual, and the  
338 running time of the REF+ discovery pipeline is 20 minutes. The genotyping of potential polymorphic  
339 insertions takes between 0.4 and 4 hours per individual, depending on the hardware configuration.

340

341

## 342 **METHODS AND DATA**

### 343 **Data**

344 The reference genome GRCh37.p13 was used for all analyses.

345

### 346 **Discovery of REF– and REF+ elements**

347 The exact details of all discovery pipelines are described in the corresponding scripts

348 (pipeline\_ref\_plus.sh, pipeline\_ref\_minus.sh and pipeline\_merging\_and\_filtering.sh) available from

349 GitHub (<https://github.com/bioinfo-ut/AluMine>).

350

### 351 **PCR protocol**

352 To prepare a 20 µl PCR master mix, we mixed 0.2 µl FIREPol DNA polymerase (Solis BioDyne, Estonia),

353 0.6 µl of 10 mM DNTP, 0.8 µl of a 20 mM primer mix, 2 µl of 25 mM MgCl<sub>2</sub>, 2 µl polymerase buffer,

354 and 14.4 µl Milli-Q water. For PCR, Applied Biosystems thermocyclers were used. The PCR was run

355 for 30 cycles using a 1 minute denaturation step at 95°C, a 1 minute annealing step at 55°C and a 1.5

356 minutes elongation step at 72°C. For gel electrophoresis, a 1.5% agarose gel (0.5 mM TBE + agarose

357 tablets + EtBr) was used. The PCR primer pairs used for the amplification of potential polymorphic

358 regions are shown in **Table S4 in Additional file 2**.

359

### 360 **Simulated Alu insertions**

361 To simulate polymorphic Alu insertions, we inserted 1000 heterozygous Alu elements into random

362 locations of the diploid reference genome together with a 15 bp target site duplication sequence and

363 a random length polyA sequence (5-80 bp). A male genome (5.98 Gbp) and a female genome (6.07

364 Gbp) were generated by merging two copies of autosomal chromosomes and the appropriate

365 number of sex chromosomes into a single FASTA file. Simulated sequencing reads were generated

366 using wgSim (version 0.3.1-r13) software from the SAMtools package [31]. The following parameters

367 were used: haplotype\_mode = 1, base\_error\_rate = 0.005, outer\_distance\_between\_the\_two\_ends



368 = 500, length\_of\_reads = 151, cutoff\_for\_ambiguous\_nucleotides=1.0, and number\_of\_reads =

369 306,000,000.

370 **ABBREVIATIONS**

371 1000G: 1000 Genome Project

372 NGS: Next Generation Sequencing

373 REF– Alu element: polymorphic Alu element present in at least one personal genome but not in the  
374 reference genome

375 REF+ Alu element: polymorphic Alu element present in the reference genome, but missing in at least  
376 one personal genome

377 TSD: Target Site Duplication motif

378 SNV: Single Nucleotide Variant

379

380 **DECLARATIONS**

381

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384 algorithms and for adapting the *k*-mer counting software FastGT and gtester for this project.

385

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390 was partly covered by the Broad Institute (MA, USA) and the PerMed I project from the TERVE  
391 program. Computation was partly carried out in the High Performance Computing Center of the  
392 University of Tartu.

393

394 **Authors' contributions**

395 TP conceived the idea and performed most of the large-scale genomic analyses. MR wrote the scripts

396 for post-processing of the data, performed simulations and wrote the manuscript. VK performed all  
397 the PCR experiments and helped to develop genome analysis methods. FDP provided help with data  
398 management and visualization. All authors read and approved the final manuscript.

399

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

401 The genome data were collected and used with ethical approval (Nr. 206T4, obtained for the project  
402 SP1GVARENG).

403

#### 404 **Consent for publication**

405 Not applicable.

406

#### 407 **Availability of data and materials**

408 All scripts (pipeline\_ref\_plus.sh, pipeline\_ref\_minus.sh and pipeline\_merging\_and\_filtering.sh) and  
409 software (gtester) created for this study are available from GitHub ([https://github.com/bioinfo-](https://github.com/bioinfo-ut/AluMine)  
410 [ut/AluMine](https://github.com/bioinfo-ut/AluMine)). The FastGT package used for genotyping the Alu insertions is also available from GitHub  
411 (<https://github.com/bioinfo-ut/GenomeTester4/blob/master/README.FastGT.md>). K-mer lists for  
412 genotyping Alu elements using FastGT are available from University of Tartu webpage  
413 (<http://bioinfo.ut.ee/FastGT/>). The whole genome sequencing data that support the findings of this  
414 study are available on request from Estonian Genome Centre (<https://www.geenivaramu.ee/en>) but  
415 restrictions apply to the availability of these data, and so are not publicly available.

416

#### 417 **Competing interests**

418 The authors declare that they have no competing interests.

419

#### 420 **Additional Files**

421 *Puurand\_2019\_AdditionalFile1.pdf*

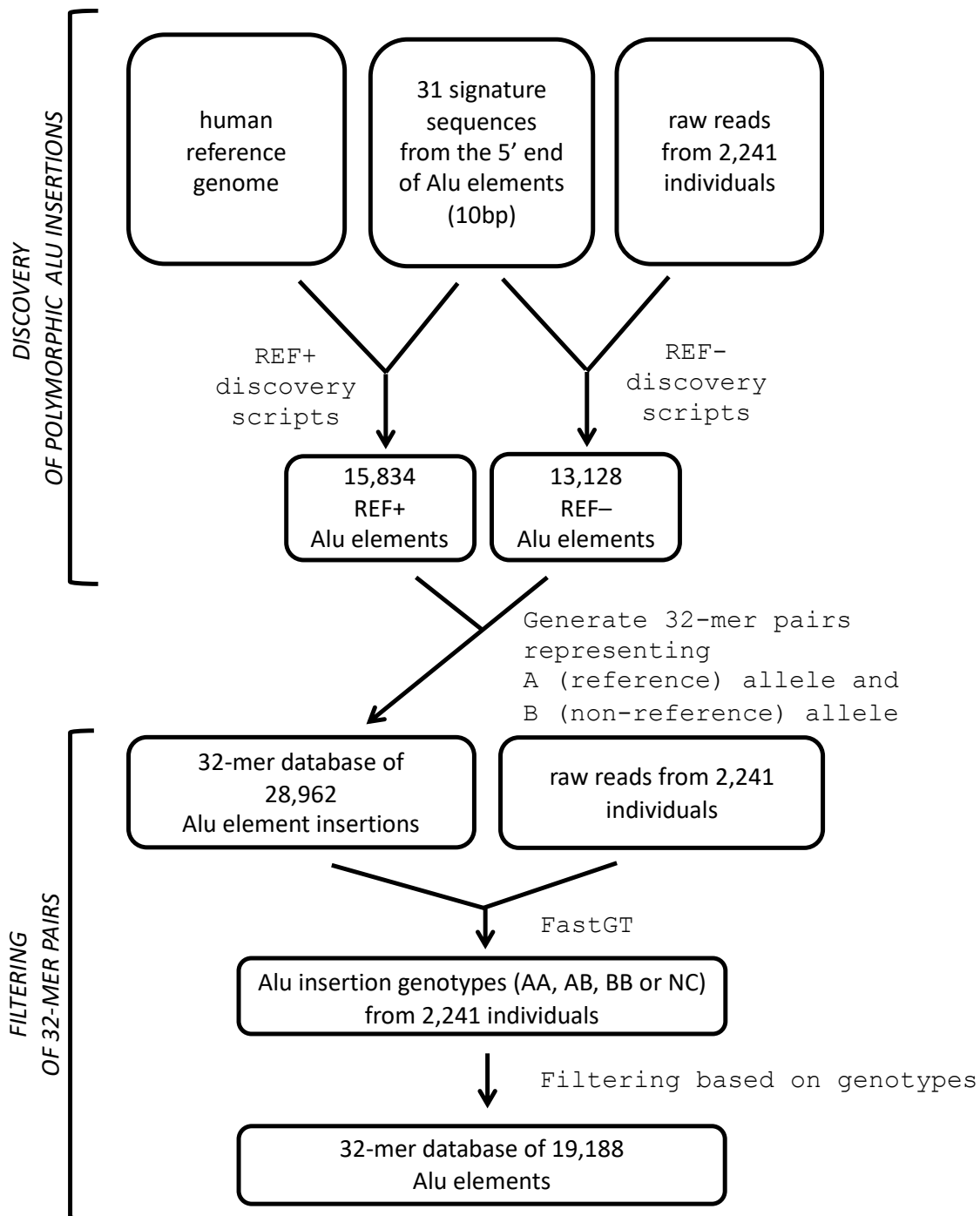
- 422 Additional file 1. Figure S1 and Figure S2 explaining the REF- and REF+ discovery algorithms. (PDF,  
423 139 kb)
- 424 *Puurand\_2019\_AdditionalFile2.xlsx*
- 425 Additional file 2. Supplementary tables Table S1, Table S2, Table S3 and Table S4. (XLSX, 2.1 Mb)

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502 FIGURES

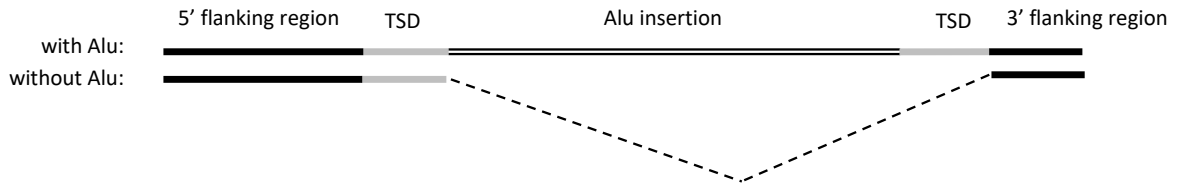


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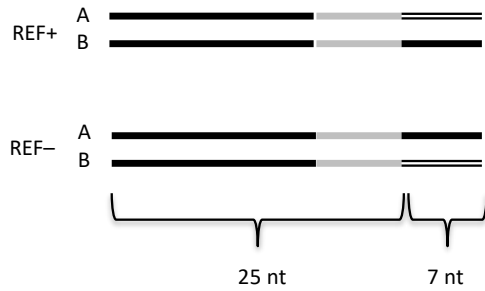
504 **Figure 1.** Overview of the discovery methods. Potential polymorphic Alu elements were  
505 identified from the raw reads of high-coverage WGS data (REF- Alu elements) and the  
506 reference genome (REF+ Alu elements). The candidate Alu elements were filtered using a  
507 subset of high-coverage individuals. A final set of 32-mers was used for the fast calling of  
508 polymorphic insertions from raw sequencing reads.

509

A)



B)



510

511 **Figure 2.** Principle of creating *k*-mer pairs for the calling (genotyping) of polymorphic Alu element  
512 insertions. A) Genomic regions with or without an Alu element. B) A pair of 32-mers is created from  
513 the insertion breakpoint region covering 25 nucleotides from the 5'-flanking region and 7 nucleotides  
514 from either the Alu element or the 3'-flanking region. Allele A always represents the sequence from  
515 the reference genome and allele B represents the alternative, non-reference allele.

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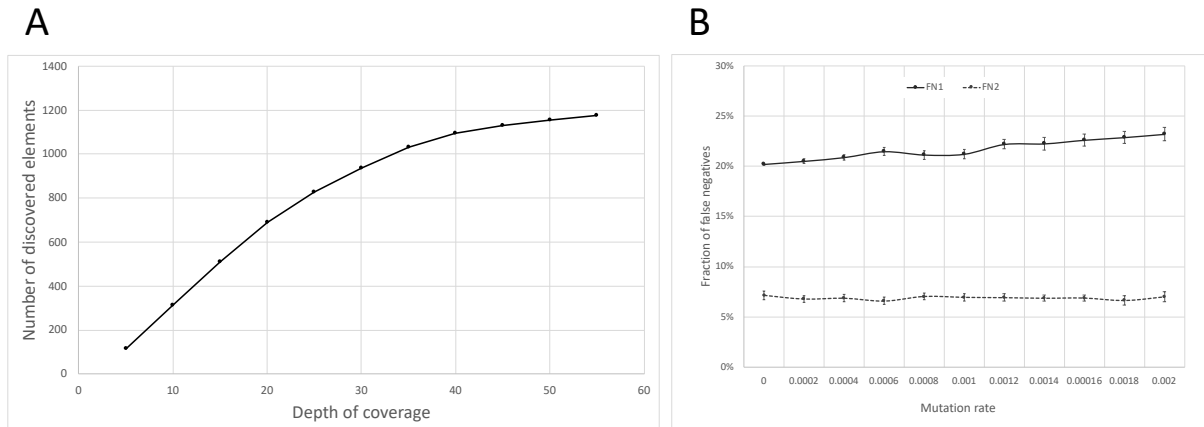
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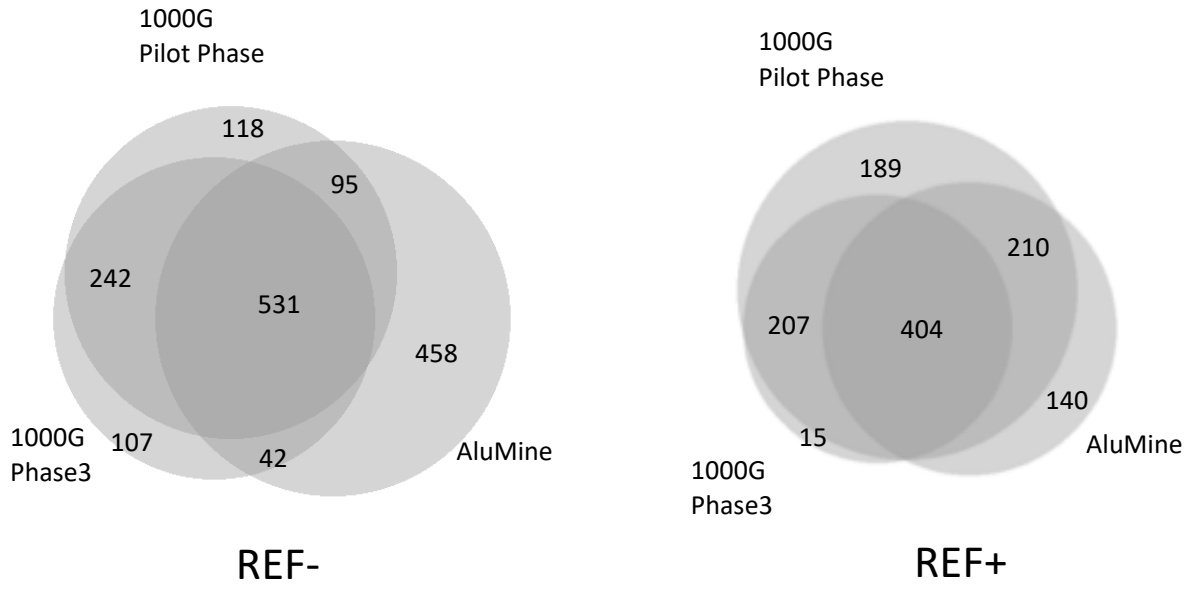
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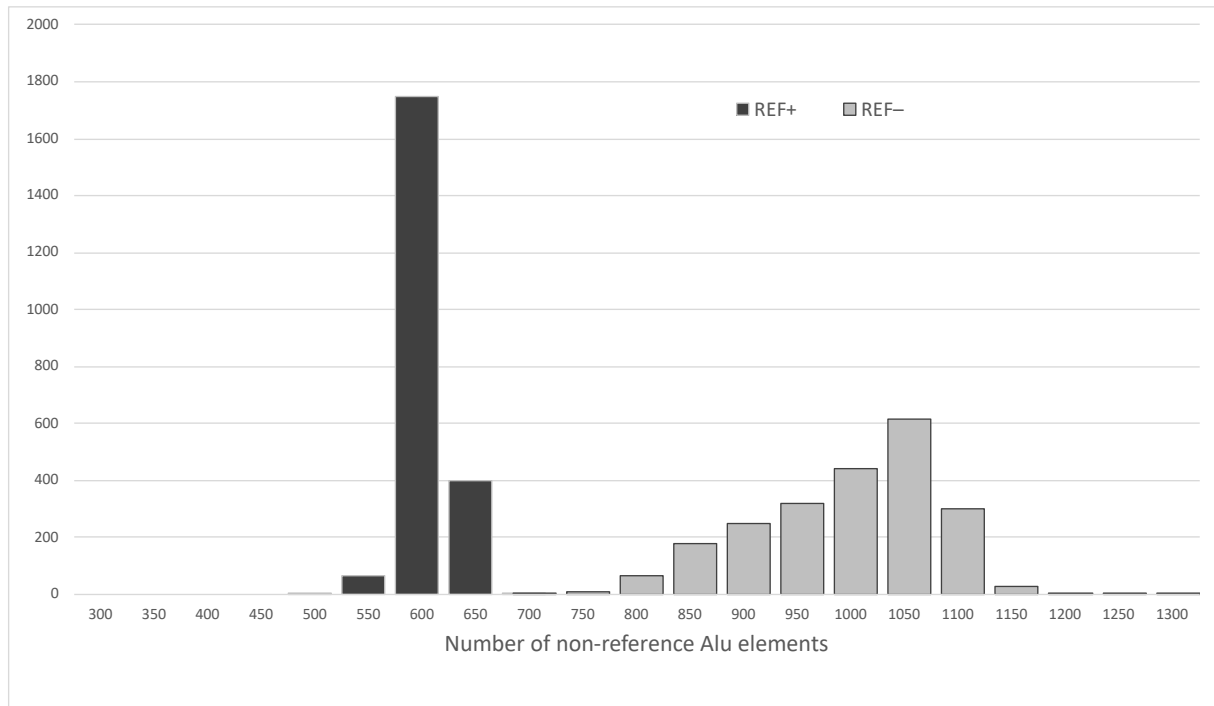
524  
 525 **Figure 3.** (A) The number of discovered REF– Alu elements in individual NA12877 depending on the  
 526 depth of coverage. Various depth coverage levels were generated by randomly selecting a subset of  
 527 reads from the FASTQ file. (B) The frequency of false-negative and false-positive Alu elements found  
 528 in simulations. FN1 denotes false-negative findings that were undetectable because they are inserted  
 529 within unsequenced regions of the genome (N-rich regions). FN2 denotes false negatives that could  
 530 not be detected because they are inserted in nonunique regions of the genome. Error bars indicate  
 531 95% confidence intervals from 20 replicates.  
 532



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**Figure 4.** Overlap between REF+ and REF- elements detected by AluMine, the 1000G pilot phase and 1000G Phase 3. The Venn diagram was created with BioVenn software [34].

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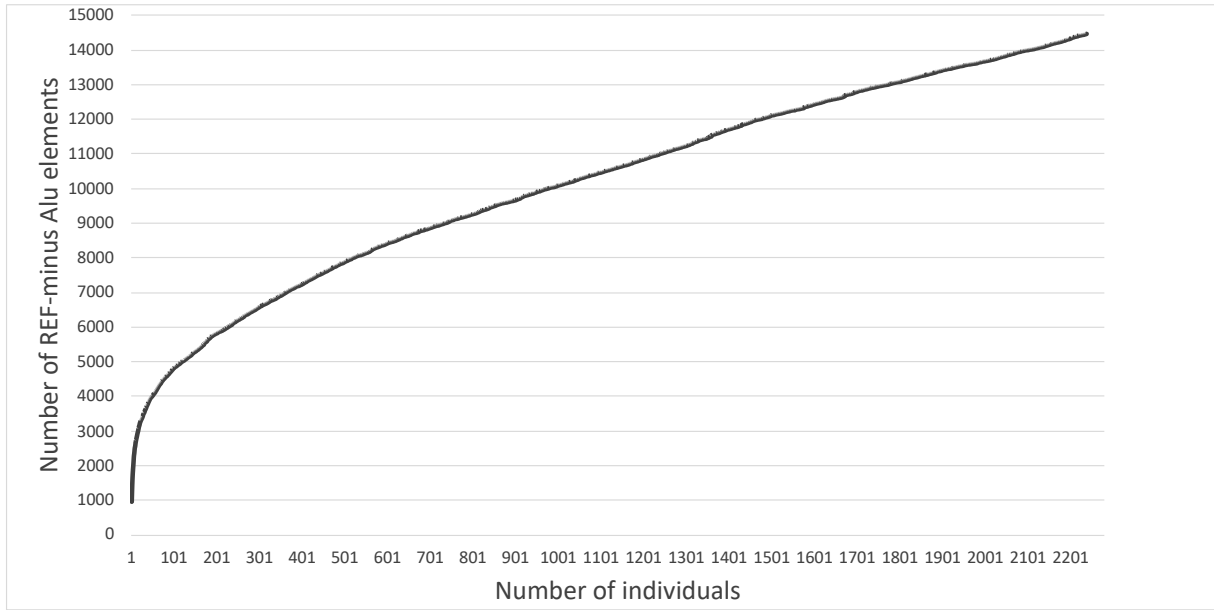
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**Figure 5.** Histogram showing the distribution of the number of non-reference REF- (light) and REF+ (dark) elements discovered per individual genome in 2,241 test individuals from the Estonian Genome Project.

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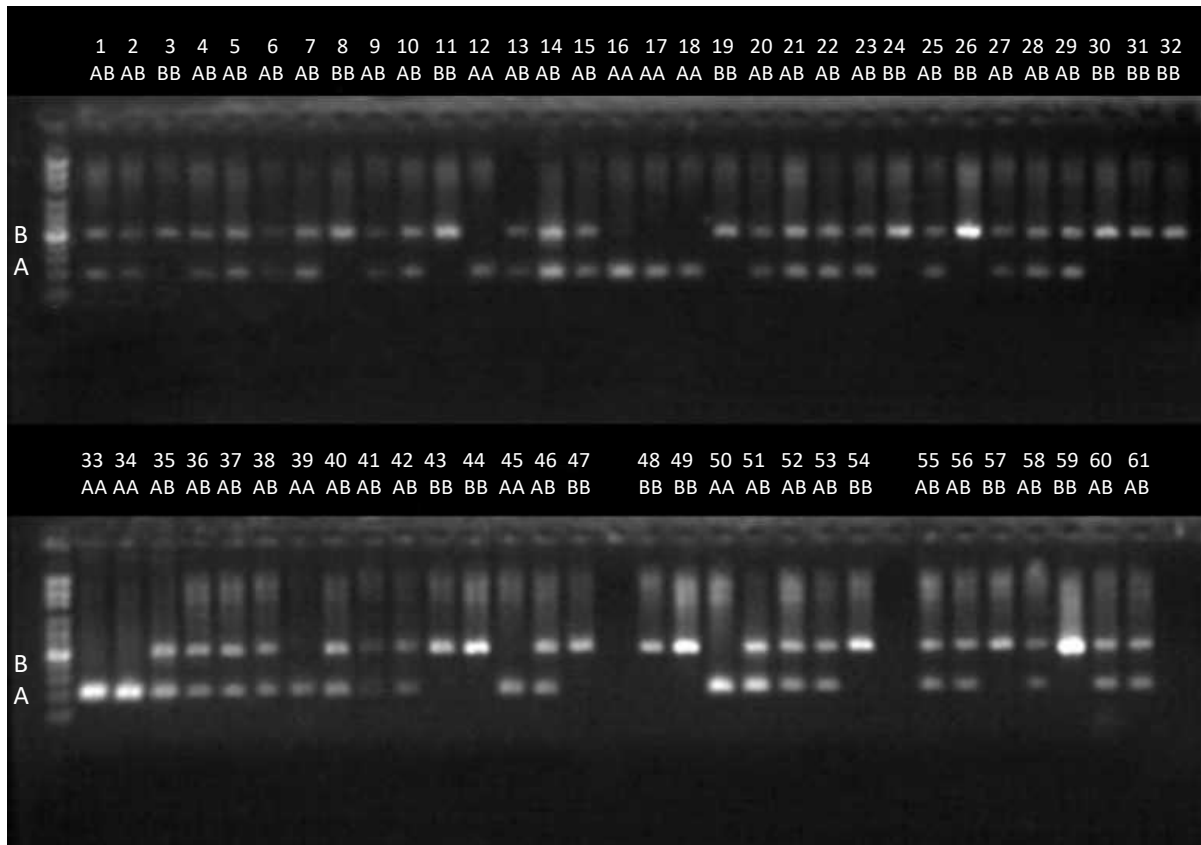


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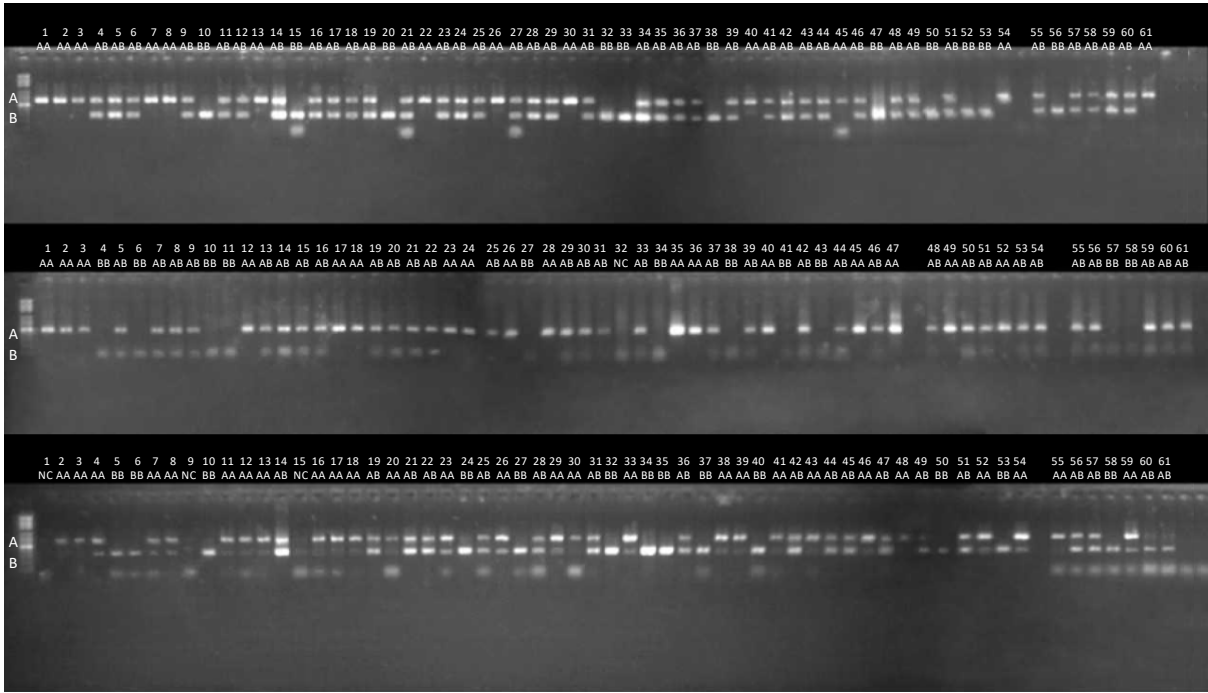
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**Figure 6.** Cumulative frequency of REF– Alu elements discovered from studied individuals.



548

549 **Figure 7.** A gel electrophoretic image showing the experimental validation of polymorphic Alu  
 550 element insertion (REF- elements). One polymorphic Alu element from chr8:42039896 was tested by  
 551 PCR in DNA from 61 individuals. Lower bands show the absence of an Alu insertion (reference allele  
 552 A), and upper bands show its presence (alternative allele B).  
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**Figure 8.** A gel electrophoretic image showing the experimental validation of REF+ polymorphic Alu element insertions. Three locations from chr1:169160349, chr15:69049897 and chr3:95116523 were tested by PCR in DNA from 61 individuals. Upper bands show the presence of an Alu insertion (reference allele A), and lower bands show its absence (alternative allele B).

561 **TABLES**

562

563 **Table 1.** Number of REF– and REF+ candidates after different filtering steps

564

**REF– filtering steps**

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|                                                                                |         |
|--------------------------------------------------------------------------------|---------|
| REF– variations detected in 2,241 individuals                                  | 572,081 |
| REF– candidates that can be located in the reference genome                    | 379,523 |
| REF– candidates that have unique location in the reference genome              | 298,907 |
| REF– candidates after removal of duplicate, closely located and GC-rich k-mers | 13,128  |
| REF– elements that generate reliable genotypes                                 | 9,712   |

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**REF+ filtering steps**

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|                                                           |         |
|-----------------------------------------------------------|---------|
| Alu signature sequences detected in the reference genome  | 267,377 |
| REF+ candidates with 5 bp TSD sequence within 270-350 bp  | 110,938 |
| REF+ candidates with BLAST homology                       | 98,711  |
| REF+ candidates that are not present in chimpanzee genome | 16,434  |
| REF+ candidates after removal of duplicate k-mers         | 15,834  |
| REF+ candidates that generate reliable genotypes          | 13,396  |

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