1	Climate explains recent population divergence, introgression and persistence in tropical
2	mountains: phylogenomic evidence from Atlantic Forest warbling finches
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35 Abstract

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Taxa with disjunct distributions are common in montane biotas and offer excellent 37 opportunities to investigate historical processes underlying genetic and phenotypic divergence. 38 In this context, subgenomic datasets offer novel opportunities to explore historical 39 demography in detail, which is key to better understand the origins and maintenance of 40 diversity in montane regions. Here we used a large ultraconserved elements dataset to get 41 insights into the main biogeographic processes driving the evolution of the Montane Atlantic 42 Forest biota. Specifically, we studied two species of warbling finches disjunctly distributed 43 44 across a region of complex geological and environmental history. We found that a scenario of three genetically differentiated populations is best supported by genomic clustering methods. 45 Also, demographic simulations support simultaneous isolation of these populations at ~ 10 kya, 46 relatively stable population sizes over recent time, and recent gene flow. Our results suggest a 47 dual role of climate: population divergence, mediated by isolation in mountain tops during 48 warm periods, as well as population maintenance - allowing persistence mediated by shifts in 49 elevation distribution during periods of climate change, with episodic bouts contact and gene 50 flow. Additional support for the role of climate comes from evidence of their contact in a recent 51 past. We propose that two major gaps, which we call São Paulo and Caparaó subtropical gaps, 52 53 have been historically important in the divergence of cold adapted organisms in the Atlantic Forest, and could be associated to cryptic diversity. Finally, our results suggest that shallow 54 55 divergence and past gene flow may be common in montane organisms, but complex demographic histories may be detectable only when using subgenomic or genomic datasets. 56

57 Introduction

58

Montane organisms often exhibit intriguing patterns of disjunct distributions, which are 59 frequently associated to phenotypic divergence. Among the many mechanisms that have been 60 proposed to explain such patterns, the ones with the strongest support are the historical 61 fragmentation of formerly continuous habitats and dispersal (Mayr & Diamond 1976; Patton & 62 Smith 1992; Knowles & Massatti 2017) associated with rugged topography and climate 63 fluctuations. That is, changes in climate over time, which are well known to promote shifts in 64 the elevational distributions of suitable habitats and associated organisms (Hooghiemstra & 65 66 Van der Hammen 2004, Moritz et al. 2008, Chen et al. 2009), could lead to cyclical isolation and connection of population through temporal bridges (Brown 1971, McCormack et al. 2009). 67 During the late Pleistocene glacial periods, warmer periods often lead to isolation in 68 high-elevation habitat pockets, whereas colder periods often lead to range expansion into lower 69 elevations and previously unsuitable regions. Under this scenario, warmer periods (such as the 70 current interglacial) would create opportunities for population divergence by genetic drift and 71 72 natural selection, while colder periods might promote secondary contact and genetic homogenization of previously isolated populations. This interplay between selection and drift 73 74 with topography and a dynamic climate could lead not only to genetic divergence, but to the 75 evolution of reproductive isolation, thus rendering mountains as potential hotspots of population divergence and speciation (Fjeldsa 1994, McCormack et al. 2009). Alternatively, 76 77 isolation could be initially mediated by topographic changes. For example, the splitting of formerly continuous highlands into multiple isolated mountain ranges could be the result of 78 79 geological changes, and organisms adapted to higher habitats would then become separated by ecologically unsuitable valleys. Under such scenario, population divergence should be 80 81 temporally associated to geotectonic changes (Badgley 2010).

These biogeographic processes likely have played an important role in the building up 82 of the enormous diversity found in mountain regions (Graham et al. 2014, Antonelli 2015; 83 Knowles & Massatti 2016). However, their exact contribution is not well understood. In 84 particular, the evolutionary processes underlying the high levels of biological diversity in the 85 South American Montane Atlantic Forest are yet to be elucidated. The Montane Atlantic Forest 86 87 (hereafter MAF) is a cradle of biodiversity (Stotz et al. 1996) and has great potential to provide a wealthy natural laboratory for evolutionary research since its high levels of endemism likely 88 89 encompass a plethora of diversification mechanisms. In particular, MAF organisms showing phenotypic breaks that coincide with major highlands are especially interesting models for 90

montane phylogeography, as such pattern presumably reflects genome-wide divergence
resulting from an interplay between climate, topography and the evolutionary outcomes of drift,
selection and gene flow. Of these, vagile organisms such as birds may be particularly useful
models to understand large-scale historical events, as their fidelity to specific habitats and high
dispersal ability may promote genetic differentiation and homogenization, except in face of
strong events of habitat isolation.

97 Much of what is known about the Atlantic Forest comes from studies of either lowland species or species with broad elevational distributions (e.g. Cabanne et al. 2007, Carnaval et al. 98 2009. Maldonado-Coelho 2012, Amaral et al. 2013, Carnaval et al. 2014), and less than a 99 handful of phylogeographic studies have investigated cold-adapted species whose distributions 100 include mostly montane habitats (e.g. Amaro et al. 2013, Batalha-Filho et al. 2012, Peres et al. 101 2015, Frikowski et al. 2016, Françoso et al. 2016, Pie et al. 2018). Conclusions from the few 102 studies on MAF-inhabiting species are often discordant; consequently, there is still little 103 consensus about what are the major drivers of diversification in the MAF. A common finding 104 by many of them is the lack of both population structure and strong demographic fluctuations, 105 which could speak against Pleistocene climatic fluctuations as major drivers of population 106 107 divergence and diversification in MAF organisms. Importantly, all but one (Pie et al. 2018) of 108 the studies performed so far were based on five or less loci, raising the possibility that shallow population structure—which is expected under recent climate fluctuations—may have been 109 110 overlooked (Amaral et al. 2018). Furthermore, none of these studies have performed demographic analyses explicitly testing for historical gene flow among currently isolated and 111 112 genetically structured populations—a prediction of montane climate-driven dynamics.

Here we use the largest population-level sub-genomic dataset of any MAF organism 113 114 and coalescent-based methods to ask (1) how does genetic variation relates to distribution breaks in the MAF, and (2) what are the influences of climate and topographic evolution (i.e. 115 mountain building) on the current patterns of genetic variation in endemic Atlantic Forest 116 montane birds. To address these questions we use two common cold-adapted species of 117 Atlantic Forest warbling finches as models: the Gray-Throated Warbling Finch (Microspingus 118 *cabanisi*) and the Buff-Throated Warbling Finch (*Microspingus lateralis*). Their distributions 119 and phenotypic breaks are congruent with major isolated highlands in S and SE Brazil (Assis et 120 al. 2007), and a detailed phylogeographic analysis of these species represents a fundamental 121 step towards a better understanding of population history in MAF and biotic diversification in 122 tropical montane systems as a whole. 123

124 Methods

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Study system: biological models and geological and environmental history of the MAF 126 The two warbling finches studied here are sister-species (Amaral *et al.* 2015), once 127 considered conspecific (Assis et al. 2007), and whose combined distributions cover most of the 128 MAF. The northern species, *M. lateralis* inhabits highland areas above 900 m of two major 129 isolated mountain ranges in SE Brazil, the Mantiqueira and the northern portion of the Serra do 130 Mar. This species also occurs in the Caparaó highlands, an isolated northernmost massif of the 131 Mantiqueira mountain range (Fig.1). The southern species, *M. cabanisi*, occurs in the southern 132 133 portion of Serra do Mar and also in the Serra Geral mountain range mostly above 900 m, but also in lower elevation areas towards its southern limit, which includes areas in Argentina and 134 Paraguay (Assis et al. 2007). These two species are currently separated by more than 100 km of 135 lower elevation forest habitats (Fig. 1). They differ phenotypically in both plumage and 136 vocalizations. Plumage differences are mostly in ventral color (vellow in *M. lateralis* and grav 137 in *M. cabanisi*) and amount of white in tail feathers (more extensive in *M. cabanisi*), whereas 138 the songs and the calls of these species differ in syntax and harmonic structure, respectively 139 140 (Assis et al 2007).

The tectonic processes that originated the eastern Brazilian highlands as well as their 141 142 ages are still a matter of debate. In one hand, the major uplift events were suggested to have started during the lower Cretaceous (ca. 120 mya) as a consequence of the Gondwanaland 143 144 breakup (Melo et al. 1985, Franco-Magalhães et al. 2014). On the other hand, the uplift is proposed to have resulted from the three main pulses of Andean orogeny, with the early ages of 145 146 the mountain ranges (i.e. Serra do Mar) estimated to be ca. 90 mya (Meisling et al. 2001, Karl et al. 2013). Regardless, a range of evidence indicates subsequent multi-episodic uplift events 147 148 during the upper Cretaceous, the Tertiary and the Quaternary (Freitas 1951, Melo et al. 1985, Almeida & Carneiro 1998, Modenesi-Gauttieri et al. 2002, Tello Saens et al. 2003, 149 Hackspacher et al. 2004, Franco-Magalhães et al. 2014), with the uplift of the Serra do Mar 150 mountain range thought to have extended until recent times (i.e. Holocene, Cogné et al. 2012). 151 Available evidence from fossil pollen records in southern and southeastern Brazil 152 highland sampling sites (> 900 m a.s.l.) at Mantiqueira, Serra do Mar and Serra Geral mountain 153 ranges suggest broadly concordant cold and dry conditions during the last glacial maximum, 154 with forests completely absent or likely present only along ravines and/or at lower altitudes 155 (Behling 1997, 2007, Behling & Pillar 2007, Behling et al. 2007, Oliveira et al. 2008, Ledru et 156 al. 2009, Behling & Safford 2010, Oliveira et al. 2012). The onset of a moister climate after this 157

period favored the return of montane forest species (Behling 1997, Behling & Pillar 2007,

159 Behling et al. 2007, Ledru et al. 2009, Behling and Safford 2010, Oliveira et al. 2012).

160 Importantly, the highland vegetation seems to have had a complex dynamics during the last

161 130,000 yr BP (i.e. late Pleistocene and Holocene), with multiple shifts in community

162 composition and elevational distribution of montane forest plant species (Ledru et al. 2009,

- 163 Behling & Safford 2010, Oliveira et al. 2012).
- 164

165 Sampling and laboratory methods

We sampled 90 individuals (50 of *M. cabanisi* and 40 of *M. lateralis*) in nine
localities—10 per locality, spread throughout the species' known distributions (Fig. 1,
Supplementary Information Table S1). Specimens were attracted by playback and collected as
described in Amaral *et al.* 2012 (see Acknowledgments for permit number and Table S1 for
specimen and tissue collection holdings).

We extracted total DNA from pectoral muscle using the Qiagen DNeasy kit (Valencia, 171 CA) according to the manufacturer's protocol, including a RNAse treatment. We obtained 172 genomic data using sequence capture and Illumina sequencing of ultraconserved elements 173 (UCEs) using standard protocols (Fairlocth et al. 2012) with a few modifications: enrichment 174 175 was done using 650 probes, targeting 634 loci covering all Gallus gallus chromosomes; use of 100 bp paired-end Illumina Hiseq 2000 sequencing run, and use of 16 cycles in both pre- and 176 177 post-capture PCR reactions. Sequencing was performed in two lanes. Library preparation was performed by RAPiD Genomics (Gainesville, FL, USA). 178

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180 Sequence quality control, mtDNA, UCE assembly and SNP calling

181 We sorted raw sequences by individual tags using Illumina's Casava software. Initial quality control was performed using FastQC 0.10.1 (Andrews 2014). Adapters, barcodes and 182 low quality regions were trimmed using Illumiprocessor 2.0.7 (Faircloth 2014), which 183 processes Illumina sequences using Trimmomatic 0.32.1 (Bolger et al. 2014). Assembly, 184 removal of non-UCE loci and final loci aligment was performed with Phyluce 1.4 (Faircloth 185 2014). The largest contig of each locus was used as a reference for mapping individual reads 186 using BWA-mem (Li 2013) and SNP calling, which was performed using GATK (McKenna et 187 al. 2010). We kept only >Q30 SNPs for downstream analyses. We sampled one random SNP 188 per locus from the collection of all zero-missing biallelic SNPs recovered for the locus. We 189 removed Z-linked SNPs using a local BLAST search based on the zebra-finch Z chromossome 190 (Emsembl taeGut3.2.4) to avoid any bias due to the idiosincratic evolution of sex 191

192 chromossomes and different ploidy (unfortunately the limited number of Z-linked SNPs

193 recovered precluded us from running independent analyses on this dataset). Since mtDNA is a

194 common subproduct of sequence capture experiments (see Amaral et al. 2015), we also

isolated complete cythochrome b sequences from assemblies that were generated by Phyluce

196 using a local BLAST search based on the complete mitogenome of *Microspingus lateralis*

197 (Genbank NC_028039.1) to obtain a Median Joining Network using POPART v 1.7 (Leigh &

- 198 Bryant 2015).
- 199

200 *Population structure*

We explored population structure first with sparse non-negative matrix factorization 201 (sNMF, Frichot et al. 2014, implemented in the R package LEA, Frichot & Olivier 2015) as 202 well as with the multivariate Discriminant Analysis of Principal Components (Jombart et al. 203 2010). The sNMF runs were performed for a range of K values from 1 to 9 (following the 204 number of localities), with 500 runs per K. We used the minimum cross-entropy method to 205 identify the best fitting K. Runs with the lowest values of minimum entropy were selected. 206 Since sNMF's regularization parameter alpha may affect the inferences (Frichot et al. 2014). 207 208 we evaluated the results under different values of alpha (1, 10, 100 and 1,000). To further 209 assess population structure we ran a DAPC analysis using a k-clustering algorithm to determine the *a priori* grouping of individuals based on the Bayesian Information Criterion 210 211 (BIC). The first set of principal components accounting for 80% of the variance was included in the analyses. 212

213

214 Inference of historical processes

215 Based on the results from the previous analyses (Fig. 2), we tested 12 alternative models to assess the most likely diversification scenario for *Microspingus*. The models tested 216 explored the relationship of the three genetic clusters inferred by sNMF, the presence of gene 217 flow and instantaneous population size change after divergence (Fig. 3). To compare simulated 218 data under each specific demographic model with the empirical data we implemented a 219 coalescent model-based approach using Fastsimcoal2 (FSC; Excoffier et al. 2013). Since FSC 220 summarizes the complexity of the data by using the site frequency spectrum (SFS) as summary 221 statistics, we first estimated the empirical multi-SFS (single SFS with all populations included) 222 in ∂a∂i 1.7 (Gutenkunst et al. 2009). For each demographic model we ran 50 independent 223 replicates, retaining the parameters that maximized the composite likelihood across all 224 iterations. Parameter optimization was performed through 50 cycles of the Brent algorithm and 225

the composite likelihood calculated using 100,000 simulations per replicate. The runs with the 226 highest likelihood of each model were used in model selection using Akaike Information 227 Criterion (AIC; Akaike 1973), AIC=2k-2ln(L), where k is the number of parameters estimated 228 in the model and L the composite likelihood value. The model with best fit had its confidence 229 intervals estimated with 50 parametric bootstrap runs, by simulating multi-SFSs under the 230 maximum likelihood estimates and re-estimating parameters for each of these simulated data 231 sets. For all simulations, we used a rate of 2.5 X 10⁻⁹ substitution per site per generation 232 (average of all avian species analysed in Nadachowska-Brzyska et al. 2015) and assumed a 233 234 generation time of 2.33 years (Maldonado-Coelho 2012).

235

236 **Results**

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238 Sequencing results

We obtained 634 UCE loci with median length of 633 bp (range: 216-811 bp) and 8,465 SNPs passed our quality filtering. Each UCE locus had a median of 13 SNPs (range: 1-35). The final dataset containing 1 randomly sampled SNP per variable locus had 588 SNPs.

242 Population structure

sNMF runs indicated three groups based on the best cross-entropy values across alpha 243 244 values, with the only exception of alpha of 1,000 showing a smaller cross-entropy value for a single group (Supporting Information Figure S1). Plots based on alpha of 1, 10 and 100 for 245 K=3 support the Caparaó population of *M. lateralis*, the remaining *M. lateralis* populations, 246 and *M. cabanisi* as three distinct clusters with somewhat varying levels of ancestry coefficients 247 (Fig. 2). DAPC based on k-clustering algoritm suggests two as the best number of groups, 248 altough BIC values are very similar among K=1, K=2 and K=3 (246.7343, 246.5362 and 249 250 247.0419, respectively, Supporting Information Figure S2). These two clusters correspond to: 1) the Caparaó population of *M. lateralis* + some *M. cabanisi* individuals and 2) remaining *M.* 251 *lateralis* individuals + remaining *M. cabanisi* individuals (Supporting Information Figure S2). 252 If the three sNMF populations are considered in the DAPC analysis, the groupings are similar: 253 one of them included only *M. lateralis* Caparaó individuals and the other two mostly matched 254 M. cabanisi and M. lateralis excluding Caparaó (Fig. 2 and Supporting Information Fig. S1). 255 Accordingly, the mtDNA haplotype network showed no haplotypes shared among populations, 256 although some haplotypes of *M. lateralis* were more closely related to those of *M. cabanisi* 257 than to conspecific haplotypes, while Caparaó haplotypes formed a cluster (Fig. 2). 258

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260 Demographic relationships and population history

The best demographic model according to AIC assumed a polytomy of the three 261 populations, presence of assymetric gene flow and stable population sizes after the divergence 262 (Fig. 3; Tables 1 and 2). The second and third best-fit models included alternative branching 263 (instead of simultaneous divergence) with gene flow, but neither supported population size 264 changes (Table 1). Parameter estimations based on the best-fit model supported current 265 effective population sizes (Ne) that were positively related with the modern range size of the 266 three lineages. The geographically most restricted population (i.e. Caparaó) had the smallest 267 268 Ne, with \sim 4,000 individuals, followed by the populations with intermediate (rest of *M. lateralis*) and largest (*M. cabanisi*) geographic ranges, with respectively ~11,000 and ~19,500 269 individuals (Table 2). The divergence time estimate supports a very recent (Late Pleistocene) 270 event for the simultaneous separation of the three populations at approximately 12,400 years 271 ago (5,325 generations, Table 2). 272

The estimated gene flow between *M. cabanisi* and *M. lateralis* (excluding Caparaó) was greater (3.15 and 2.65 individuals per generation from *M. lateralis* to *M. cabanisi* and from *M. cabanisi* to *M. lateralis*, respectively) than between *M. lateralis* and the Caparaó population of this species (0.324 and 1.147 individuals per generation from *M. lateralis* to Caparaó and from Caparaó to *M. lateralis*, respectively), potentially reflecting the more isolated and restricted distribution of the Caparaó population (Table 2).

279

280 Discussion

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282 *The dual role of AF mountains: population divergence and persistence*

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284 Mountains may function both as generators and maintainers of diversity (Fjeldsa et al. 2012), and here we show a Atlantic Forest organisms that support this idea. First, the ancient 285 AF highlands may generate diversity by fostering population isolation and divergence, as 286 indicated by our population structure estimates with three distinct groups associated with three 287 isolated mountain ranges. While geotectonic changes could explain phylogeographic breaks in 288 the AF (e.g. Thomé et al. 2010, Amaro et al. 2012, Amaral et al. 2013), the shallow divergences 289 290 found here cannot be reconciled with the major uplift events of eastern Brazil highlands, which very likely took place long before the estimated recent divergence times (< 20 k years). In 291 292 addition, support for a model of synchronous isolation among the three populations is especially compelling in terms of large scale effects of climate across the entire range of 293

subtropical AF. Interestingly, the strong population structure found here contradicts previous 294 studies on other co-distributed montane organisms, which did not recover recent (< 100 k years) 295 phylogeographic breaks (Amaro et al. 2012, Batalha-Filho et al. 2012, Peres et al. 2015). These 296 findings suggest that although warbling-finches are forest-associated species that often use 297 forest edges, such ecological flexibility was presumably not sufficient to preclude isolation and 298 divergence. In contrast, the White-browed Warbler (Myiothlypis leucoblephara), for example, 299 which is sympatric - and often syntopic - to *M. cabanisi* and *M. lateralis*, did not show 300 detectable population structure (Batalha-Filho et al. 2012). These phylogeographic differences 301 302 may be due to the interaction of traits and historical processes (see Zamudio et al. 2016 for a review), differences in altitudinal distribution, lack of power of Sanger datasets to detect 303 shallow divergences (Amaral et al. 2018) or a combination of those factors, and warrants 304 additional studies on both novel and previously studied organisms using subgenomic or 305 genomic datasets. 306

Second, it has been long suggested that the MAF (Brown & Ab'Saber, 1979; Brown, 307 1987) and other Neotropical mountains (Fjeldså et al. 1999; García-Moreno & Fjeldså, 2000, 308 309 Mastretta-Yanes et al. 2018) are safe harbors (i.e refuges) for montane and non-montane 310 organisms during historical periods of harsh climates. Mountains may buffer population size 311 changes of montane forest organisms during historical periods of unsuitable climate by holding moisture in the leeward slopes (Brown & Ab'Saber 1979) and by allowing shifts in elevational 312 313 distributions, a process that may be even seen in ecological time (Moritz et al. 2008). In line with this observation, our estimates of historical demography echo the lack of strong 314 315 population size fluctuations found in other co-distributed organisms (Amaro et al. 2012, Batalha-Filho et al. 2012, Peres et al. 2015, Pie et al. 2018), what underscores the notion that 316 317 montane habitats are important refuges, hampering extinction of isolated population during periods of climate change. 318

319 While our results illustrate how montane habitats may act both as drivers and keepers of diversity, partial concordance with previous studies, specially in terms of population structure, 320 is intriguing. New comparative phylogenomic studies will help understand the generality of the 321 patterns found here, and contribute to tease apart the effects of history, ecology and issues 322 323 related to number of loci. We hypothesize that population structure among highland species in the AF will be more common than previously thought, and in many cases may be detectable 324 only using sufficiently sized nuclear datasets (e.g. Pie et al. 2018; present study). Fine-scale 325 inferences of population structure will be essential not only to better describe patterns and infer 326 processes involved in Neotropical montane diversification, but may also reveal important 327

hotspots of divergence and cryptic diversity of conservation importance, which may have been
overlooked due to recent divergences (as in the Araripe Highlands, Amaral et al. 2018).

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331 Historical climate changes explain diversification in MAF warbling-finches

A main question in the MAF system is whether one can disentangle the relative 332 influence of topography and climate when explaining diversification patterns. For example, 333 under a strict geomorphological model of diversification, genetic divergences among warbling 334 finch populations should be coincident with the known major pulses of uplift of eastern 335 336 Brazilian highlands during the last ca.100 mya (e.g. Melo et al. 1985, Meisling et al. 2001, Franco-Magalhães et al. 2014). However, we argue that one cannot rule out biogeographic 337 scenarios in which historical climate changes taking place during or subsequent to the major 338 uplift events had a main role on biotic diversification. In fact, the interplay between topography 339 and climate implies that the expected model of diversification for warbling finches and other 340 MAF organisms would be one of isolation and divergence on distinct highlands during the 341 warm-interglacial periods, when populations retracted upwards over the mountains. In addition, 342 any event of genetic admixture (i.e. introgression) between resulting lineages ensued when 343 populations expanded downwards, during cold-glacial periods. The results of our coalescent 344 345 analyses and the current altitudinal distribution of warbling finches confirm key components of this model. Specifically, the recent estimates of genetic divergence and past admixture (i.e. for 346 347 the late Pleistocene) as well as their ocurrence on highlands during the present-day warm-interglacial period undoubtedly implicate a strong influence of historical climate 348 349 changes on range shifts and associated population evolutionary dynamics across a longstanding rugged landscape. One especially intriguing result is the lack of recent variation 350 351 in effective size despite signs of introgression. We hypothetize that secondary contact may not necessarily involve large population size fluctuation, as shifts in elevational distribution could 352 occur without significant changes in effective size. In addition, small elevational shifts (e.g. 353 only 100 m) could readly connect the two species (Fig. 1). Alternatively, we can also speculate 354 that past gene flow may have erased signs of population expansion and contraction, or limited 355 expansion associated with long-distance dispersal could explain introgression without large Ne 356 variation. 357

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359 Elevational distribution and its role in population isolation

Population structure was detected in the northern species (*M. lateralis*) but was absent
 in the southern species (*M. cabanisi*), and it is possible that the phylogeographic structure of

Microspingus warblers may reflect historical differences in forest dynamics between 362 southeastern and southern AF. One interesting biological difference between M. cabanisi and 363 *M. lateralis* is their distinct elevational range: populations of *M. lateralis* are found only above 364 900 m, while in the southernmost part of its range, M. cabanisi reaches sea-level. This pattern 365 may be a consequence of either thermal niche divergence (Janzen 1967), biological 366 367 interactions (i.e. competition) or simply a latitudinal compensation of elevational distribution (Barry 1992). In any case, differences in altitudinal ranges across a latitudinal gradient may 368 lead to greater opportunities for isolation in the populations in the northern extreme edges of 369 370 SE/S subtropical habitats than those in the southern edges. Additional multi-taxon studies are warranted to test this hypothesis, as it could explain distinct levels of endemism in different 371 portions of the MAF. 372

373

374 *Caparaó highlands as a hotspot of divergence*

The Caparaó is the highest mountain massif in the AF, reaching ca. 2900 m asl. Despite 375 its small area compared to the neighbouring highlands (Fig. 1), this mountain system not only 376 harbors a strongly differentiated population of *Microspingus* warbling-finches, but also 377 378 endemic taxa (i.e. Caparaonia lizards, Rodrigues et al. 2009) whose divergences from taxa in 379 other larger AF highlands are possibly much older than our divergence estimates. This suggests that the Caparó highlands possibly represent a microrefugium (sensu Rull 2009) with a 380 long-term history of connection and isolation with the neighboring highlands. This makes the 381 Caparaó highlands an overlooked hotspot of population divergence and cryptic diversity, 382 383 similarly to the Chapada Diamantina highlands (Amaral et al. 2013) and the Araripe plateau (Amaral et al. 2018). The presence of both recent and old endemic lineages in the Caparaó 384 385 mountains may be related to higher population persistence in contrast to lower neighboring mountains. Interestingly, although the Caparáo population of *M. lateralis* diverged from the 386 remaining *M. lateralis* populations, genetic differentiation was not detected between the other 387 two currently isolated (by the warm lowlands of the Paraíba do Sul river valley) Serra do Mar 388 and Serra da Mantiqueira populations. This could be related to a greater geographic proximity 389 between the latter, thus allowing genetic homogeinization. Given that population size changes 390 391 may be buffered by shifts in elevational ranges and that extreme interglacial-warm periods could crash mountain-top populations (Moritz et al. 2008), it is possible that higher mountain 392 ranges are related to higher persistence, higher levels of endemicity, wider temporal ranges of 393 population divergence compared to lower neighboring mountain ranges. Populations of many 394 395 species that occur in Mantiqueira and Serra do Mar mountain systems can also be found in

396 Caparaó and offer exciting future opportunities to identify cryptic diversity.

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398 The São Paulo and Caparaó subtropical gaps

399 Low passes and inter-mountain valleys often constitute formidable barriers to dispersal in montane tropical organisms (e.g. Africa - Bowie et al. 2006; Andes - Cadena et al. 2007, 400 Winger and Bates 2015). However, such ecological barriers to genetic exchange remain largely 401 overlooked in the MAF biota. In our study, more than 100 kilometers of lowlands that reach 402 elevations down to 250 m a.s.l. in the Ribeira de Iguape River Valley (Karl et al. 2013) separate 403 404 *M. lateralis* from *M. cabanisi*. This coincides with range and phenotypic discontinuities in other cold-adapted avian species complexes, including passerines (e.g. Hemitriccus flycatchers, 405 C. thoracica warbling-finch) and non-passerines (Stephanoxis hummingbirds, Cavarzere et al. 406 2014), as well as with a narrow zone of secondary contact between cold-adapted lineages of 407 Bombus bees (Françoso et al. 2016). Lower elevation forests also seem to isolate the highland 408 biota of Caparaó from the ones of southern mountain ranges. We suggest that these lower 409 elevation forests represent the ecological barrier underlying the differentiation in these and 410 possibly other MAF organisms and could be named "São Paulo subtropical gap" and "Caparaó 411 412 subtropical gap". These ecological gaps highlights the influence of historical climate changes 413 and associated shifts in the geographic distribution of MAF organisms, and coincides with the genetic differentiation observed in our study system. Additional studies will show if the 414 415 historical processes affecting montane organisms in this region are shared, thus generating population divergence in other co-distributed organisms. 416

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666 Figures and tables

Table 1. Composite likelihood (Max ln(L)), number of parameter (param), Akaike

669 information criterion (AIC) and relative contribution (Weights) for each of the demographic

670 models tested. The name of the models represent the topology, in newick format and the

671 demographic syndromes tested (see Figure 3). mc - *Microspingus cabanisi*; ml - *Microspingus*

lateralis; cp - Caparaó population of *Microspingus lateralis*. In bold: best model.

Model	Max ln(L)	param	AIC	Weights
(cp(mc,ml)_no_gene_flow	-984,043	7	4545,69	7,59E-14
(mc(ml,cp)_no_gene_flow	-992,599	7	4585,09	2,11E-22
(ml(mc,cp)_no_gene_flow	-995,667	7	4599,22	1,80E-25
polytomy_no_gene_flow	-995,458	5	4594,25	2,16E-24
(cp(mc,ml)_gene_flow	-969,639	13	4491,35	4,77E-02
(ml(mc,cp)_gene_flow	-969,7	13	4491,63	4,15E-02
(mc(ml,cp)_gene_flow	-969,165	13	4489,17	1,42E-01
polytomy_gene_flow	-969,301	11	4485,80	7,68E-01
(cp(mc,ml)_bottleneck_gene_flow	-969,658	19	4503,44	1,13E-04
(mc(ml,cp)_bottleneck_gene_flow	-971,675	19	4512,73	1,09E-06
(ml(mc,cp)_bottleneck_gene_flow	-968,982	19	4500,33	5,37E-04
polytomy_bottleneck_gene_flow	-970,391	17	4502,82	1,55E-04

680 **Table 2**. Parameter values of simulated models with the best likelihood in Fastsimcoal2. The

name of the models represent the topology, in newick format and the demographic syndromes

tested (see Figure 3). In bold: best model.

							NM			NM
			Ne		Ne	NMc	ml/c	NMc	NMm	ml/m
Model	Ne cp	Ne ml	mc	Ne a1	a2	p/ml	р	p/mc	c/cp	c
				5425						
(cp(mc,ml)_no_gene_flow	7862	17744	36326	5	1610	n/a	n/a	n/a	n/a	n/a
				1858						
(mc(ml,cp)_no_gene_flow	5249	32714	75535	93	5687	n/a	n/a	n/a	n/a	n/a
(ml(mc,cp)_no_gene_flow	4485	23123	44924	9689	7660	n/a	n/a	n/a	n/a	n/a
polytomy_no_gene_flow	4125	17300	33859	n/a	9138	n/a	n/a	n/a	n/a	n/a
(cp(mc,ml)_gene_flow	7562	20728	38539	8463	6663	0,36	1,70	0,67	0,01	2,35
(ml(mc,cp)_gene_flow	7254	23247	47682	6049	7555	0,52	1,44	0,08	0,62	3,70
				1107						
(mc(ml,cp)_gene_flow	9519	40571	61488	1127 3	5941	0,21	1,68	0,15	0,47	3,98
(inc(ini,ep)_gene_now	,,,,,	10071	01100	5	5911	0,21	1,00	0,15	0,17	5,70
polytomy_gene_flow	3866	10944	18842	n/a	4552	0,32	1,15	0,49	0,98	3,15
(cp(mc,ml)_bottleneck_gene										
_flow	8065	22007	51902	8229	2018	0,48	1,06	0,38	0,48	3,01
(mc(ml,cp)_bottleneck_gene										
_flow	7305	22418	41563	4746	2553	0,48	0,18	0,45	0,52	3,43
(ml(maan) hattlanaal, aana										
(ml(mc,cp)_bottleneck_gene _flow	6053	18163	41631	6229	5336	0,38	0,63	0,43	0,01	2,74
	0000	10100		0	0000	0,00	0,00	0,10	0,01	_,, .
polytomy_bottleneck_gene_f	1161	14560	20245	n /o	2160	0.41	0.02	0.25	0.01	2 70
low	4161	14562	30245	n/a	3160	0,41	0,02	0,35	0,01	3,78
polytomy_gene_flow lo	46.1-					0.1-	0.0-	0.5-	0.00	
95% CI	1243	7319	20345	n/a	7839	0,19	0,02	0,22	0,00	1,77
polytomy_gene_flow up					4163					
95% CI	4337	19877	40176	n/a	5	0,78	0,84	1,55	0,56	2,95

Model	NMm c/ml	TDIV 1	TDIV 2	SCcp	SCm l	SCm c	TSC cp	TSC ml	TSC mc
(cp(mc,ml)_no_gene_flow	n/a	3159	8984	n/a	n/a	n/a	n/a	n/a	n/a
(mc(ml,cp)_no_gene_flow	n/a	4926	10049	n/a	n/a	n/a	n/a	n/a	n/a
(ml(mc,cp)_no_gene_flow	n/a	5082	5415	n/a	n/a	n/a	n/a	n/a	n/a
polytomy_no_gene_flow	n/a	n/a	4380	n/a	n/a	n/a	n/a	n/a	n/a
(cp(mc,ml)_gene_flow	3,20	9637	15832	n/a	n/a	n/a	n/a	n/a	n/a
(ml(mc,cp)_gene_flow	2,03	10448	16403	n/a	n/a	n/a	n/a	n/a	n/a
(mc(ml,cp)_gene_flow	1,97	17042	23414	n/a	n/a	n/a	n/a	n/a	n/a
polytomy_gene_flow	2,65	n/a	8742	n/a	n/a	n/a	n/a	n/a	n/a
(cp(mc,ml)_bottleneck_gene _flow	0,15	21967	35353	8,31	7,03	7,26	6068	7529	7524
(mc(ml,cp)_bottleneck_gene _flow	1,42	15331	16823	2,05	6,87	3,41	3499	3883	4519
(ml(mc,cp)_bottleneck_gene _flow	3,47	14064	15042	6,22	3,86	5,28	2583	2972	4031
polytomy_bottleneck_gene_f	1,55	n/a	12407	38,15	5,53	19,0 6	1777	1602	1881
polytomy_gene_flow lo 95% CI	0,68	n/a	10140	n/a	n/a	n/a	n/a	n/a	n/a
polytomy_gene_flow up 95% CI	4,25	n/a	47404	n/a	n/a	n/a	n/a	n/a	n/a

683

684 mc - Microspingus cabanisi; ml - Microspingus lateralis; cp - Caparaó population of

685 *Microspingus lateralis.* Ne - effective population size; a1 - ancestral population after the first

686 divergence event backwards in time; a2 - ancestral population; NMx/y - number of migrants

687 per generation going from population x to y backwards in time; TDIV1 - first divergence event

backwards in time; TDIV2 second divergence event backwards in time; SC - proportion of the

- ancestral effective population size in relation to the present, before instantaneous population
- 690 size change; TSC Time of the instantaneous population size changes.

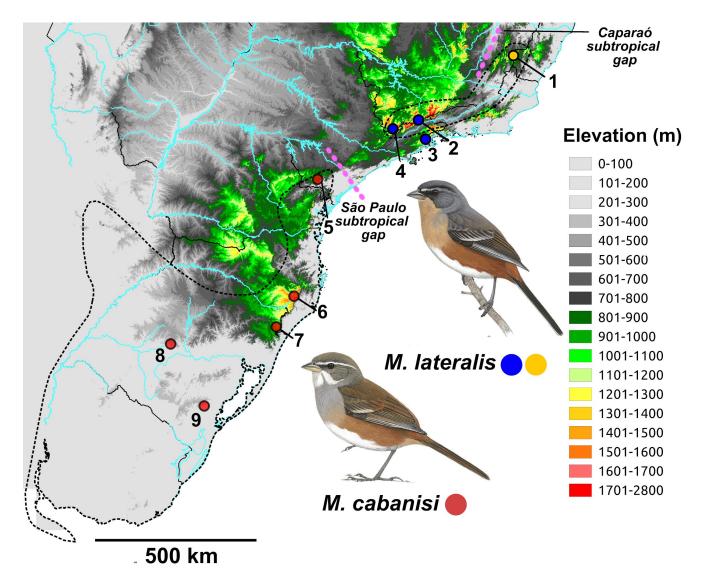


Figure 1. Localities sampled. Blue and yellow circles represent *Microspingus lateralis* while
red circles represent *Microspingus cabanisi*. Major highlands include Caparaó (1), Northern
Serra do Mar (2), Mantiqueira (3 and 4), Southern Serra do Mar (5) and Serra Geral (6 and 7).
Two lower elevation regions that mark phenotypic and genotypic shifts, named here Caparaó
and São Paulo subtropical gaps, are indicated by pink dashed lines. See Supplementary
Information Table S1 for details on samples and coordinates.

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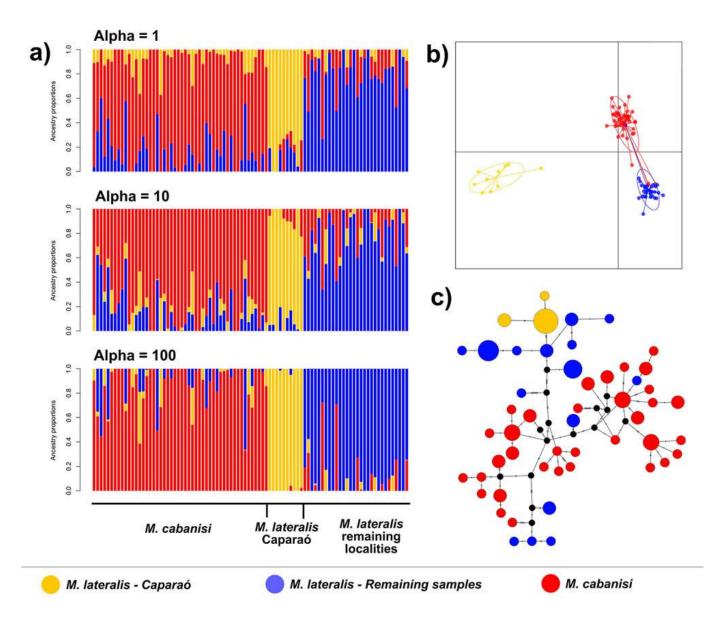
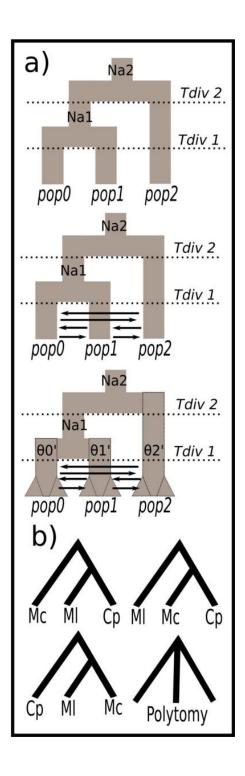




Figure 2. Plots depicting population structure according to (a) the best fitting sNMF model
 K=3 based on different values of the regularization parameter alpha (1, 10, 100) and (b) the
 three clusters inferred with DAPC and (c) cytochrome-b median-joining network. Black dots in

- the haplotype network indicate inferred haplotypes.
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- Figure 3. Demographic models simulated in Fastsimcoal2 for (a) three populations and (b)
- alternative topologies tested under these demographic scenarios, in a total of 12 simulated
- models. Na ancestral effective population size; θ' effective population size before
- 733 population size change; Tdiv divergence time; Mc Microspingus cabanisi; Ml –
- 734 Microspingus lateralis; Cp Caparaó population of Microspingus lateralis
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736 Supplementary Information

737 **Table S1**. Samples used in the present study.

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Field Locality Longitud MZUSP **LGEMA** Latitude Species Municipality number number number e number Poospiza 1 FRA46 lateralis Dores do Rio Preto -20,5125 -41,8075 pending pending Poospiza FRA49 lateralis 1 Caparaó -20,4097 -41,8376 pending pending Poospiza FRA50 lateralis 1 Caparaó -20,4097 -41,8376 pending pending Poospiza FRA52 1 Alto Jequitibá lateralis -20,4074 -41,8382 pending pending Poospiza FRA54 lateralis 1 Caparaó -20,4097 -41,8376 pending pending Poospiza 1 FRA55 lateralis Caparaó -20,4748 -41,8291 pending pending Poospiza FRA56 1 Espera Feliz lateralis -20,4861 -41,8211 pending pending Poospiza FRA57 1 lateralis Caparaó -20,4792 -41,8297 pending pending Poospiza FRA58 1 Caparaó -20,4806 -41,8298 lateralis pending pending Poospiza FRA59 lateralis 1 Caparaó -20,4722 -41,8267 pending pending Poospiza 2 **MA02** Delfim Moreira -22,5442 lateralis -45,2108 pending pending Poospiza 2 Delfim Moreira MA03 lateralis -22,5444 -45,2073 pending pending

	Poospiza						
MA04	lateralis	2	Delfim Moreira	-22,5426	-45,1897	pending	pending
	Poospiza						
MA05	lateralis	2	Delfim Moreira	-22,5429	-45,1837	pending	pending
	Poospiza						
FRA05	lateralis	2	Delfim Moreira	-22,5446	-45,2158	pending	pending
	Poospiza						
FRA06	lateralis	2	Piquete	-22,5160	-45,1521	pending	pending
	Poospiza						
FRA07	lateralis	2	Piquete	-22,5696	-45,2276	pending	pending
	Poospiza						
FRA08	lateralis	2	Piquete	-22,5159	-45,1510	pending	pending
	Poospiza						
FRA09	lateralis	2	Piquete	-22,5693	-45,2291	pending	pending
	Poospiza						
FRA11	lateralis	2	Piquete	-22,5160	-45,1507	pending	pending
	Poospiza						
FRA13	lateralis	3	Cunha	-23,1438	-44,8761	pending	pending
	Poospiza		Paraty (PN Serra da				
FRA14	lateralis	3	Bocaina)	-23,1722	-44,8339	pending	pending
	Poospiza		Paraty (PN Serra da				
FRA16	lateralis	3	Bocaina)	-23,1673	-44,8396	pending	pending
	Poospiza		Paraty (PN Serra da				
FRA17	lateralis	3	Bocaina)	-23,1734	-44,8366	pending	pending
	Poospiza						
FRA19	lateralis	3	Cunha	-23,1516	-44,8353	pending	pending
	Poospiza		Paraty (PN Serra da				
FRA20	lateralis	3	Bocaina)	-23,1516	-44,8215	pending	pending
	Poospiza						
FRA21	lateralis	3	Cunha	-23,1526	-44,8417	pending	pending

FRA22	Poospiza lateralis	3	Cunha	-23,1491	-44,9328	pending	pending
FRA26	Poospiza lateralis	3	Cunha	-23,2053	-44,9966	pending	pending
FRA27	Poospiza lateralis	3	Cunha	-23,1386	-44,9064	pending	pending
MV01	Poospiza lateralis	4	Camanducaia	-22,8378	-46,0551	pending	pending
MV02	Poospiza lateralis	4	Camanducaia	-22,8584	-46,0664	pending	pending
MV03	Poospiza lateralis	4	Camanducaia	-22,8419	-46,0606	pending	pending
MV04	Poospiza lateralis	4	Camanducaia	-22,8419	-46,0606	pending	pending
MV05	Poospiza lateralis	4	Camanducaia	-22,8036	-46,0473	pending	pending
MV07	Poospiza lateralis	4	Camanducaia	-22,8214	-46,0438	pending	pending
FRA01	Poospiza lateralis	4	Camanducaia	-22,8499	-46,0642	pending	pending
FRA02	Poospiza lateralis	4	Camanducaia	-22,8037	-46,0472	pending	pending
FRA03	Poospiza lateralis	4	Camanducaia	-22,8112	-46,0425	pending	pending
FRA04	Poospiza lateralis	4	Camanducaia	-22,8500	-46,0642	pending	pending
FRA28	Poospiza cabanisi	5	Apiaí	-24,4284	-48,6742	pending	pending
FRA29	Poospiza cabanisi	5	Apiaí	-24,4284	-48,6742	pending	pending

FRA32	Poospiza cabanisi	5	Apiaí	-24,4762	-48,8972	pending	pending
FRA33	Poospiza cabanisi	5	Apiaí	-24,4762	-48,8972	pending	pending
FRA34	Poospiza cabanisi	5	Apiaí	-24,4762	-48,8972	pending	pending
FRA39	Poospiza cabanisi	5	Apiaí	-24,4284	-48,6742	pending	pending
FRA40	Poospiza cabanisi	5	Apiaí	-24,4284	-48,6742	pending	pending
FRA41	Poospiza cabanisi	5	Apiaí	-24,4284	-48,6742	pending	pending
FRA42	Poospiza cabanisi Poospiza	5	Apiaí	-24,4284	-48,6742	pending	pending
FRA43	Poospiza cabanisi	5	Apiaí	-24,4284	-48,6742	pending	pending
SC01	Poospiza cabanisi	6	Urubici (PN São Joaquim)	-28,1419	-49,6353	pending	pending
SC02	Poospiza cabanisi Poospiza	6	Urubici (PN São Joaquim) Urubici (PN São	-28,1419	-49,6353	pending	pending
SC03	roospiza cabanisi Poospiza	6	Joaquim) Urubici (PN São	-28,1419	-49,6353	pending	pending
SC05	cabanisi Poospiza	6	Joaquim) Urubici (PN São	-28,1449	-49,6324	pending	pending
SC08	cabanisi Poospiza	6	Joaquim) Urubici (PN São	-28,1116	-49,4968	pending	pending
SC09	cabanisi Poospiza	6	Joaquim) Urubici (PN São	-28,1116	-49,4968	pending	pending
SC10	cabanisi	6	Joaquim)	-28,1116	-49,4968	pending	pending

0.011	Poospiza	<i>.</i>	Urubici (PN São	00.1117	10, 10, 0	1.	1.
SC11	cabanisi	6	Joaquim)	-28,1116	-49,4968	pending	pending
	Poospiza		Urubici (PN São				
SC14	cabanisi	6	Joaquim)	-28,1116	-49,4968	pending	pending
	Poospiza		Urubici (PN São				
SC15	cabanisi	6	Joaquim)	-28,1116	-49,4968	pending	pending
	Poospiza		Cambará do Sul (PN				
SC17	cabanisi	7	Aparados da Serra)	-29,1746	-50,1148	pending	pending
	Poospiza		Cambará do Sul (PN				
SC18	cabanisi	7	Aparados da Serra)	-29,1746	-50,1148	pending	pending
	Poospiza		Cambará do Sul (PN				
SC19	cabanisi	7	Aparados da Serra)	-29,1746	-50,1148	pending	pending
	Poospiza		Cambará do Sul (PN				
SC20	cabanisi	7	Aparados da Serra)	-29,1746	-50,1148	pending	pending
	Poospiza		Cambará do Sul (PN				
SC21	cabanisi	7	Aparados da Serra)	-29,1746	-50,1148	pending	pending
	Poospiza		Cambará do Sul (PN				
SC22	cabanisi	7	Aparados da Serra)	-29,1746	-50,1148	pending	pending
	Poospiza		Cambará do Sul (PN				
SC23	cabanisi	7	Aparados da Serra)	-29,1746	-50,1148	pending	pending
	Poospiza						
SC24	cabanisi	7	Cambará do Sul	-29,1149	-50,1064	pending	pending
	Poospiza		Cambará do Sul (PN				
SC25	cabanisi	7	Serra Geral)	-29,1447	-50,0804	pending	pending
	Poospiza						
SC26	cabanisi	7	Cambará do Sul	-29,0568	-50,1187	pending	pending
	Poospiza						
FRA74	cabanisi	8	Itaara	-29,6130	-53,7529	pending	pending
	Poospiza						
FRA75	cabanisi	8	Santa Maria	-29,5974	-53,7006	pending	pending

FRA76	Poospiza cabanisi	8	Santa Maria	-29,5974	-53,7006	pending	pending
FRA77	Poospiza cabanisi	8	Itaara	-29,5896	-53,7934	pending	pending
FRA78	Poospiza cabanisi	8	Itaara	-29,5920	-53,7521	pending	pending
FRA80	Poospiza cabanisi	8	Itaara	-29,5892	-53,7933	pending	pending
FRA81	Poospiza cabanisi	8	Itaara	-29,5929	-53,7598	pending	pending
FRA82	Poospiza cabanisi	8	Itaara	-29,5929	-53,7598	pending	pending
FRA84	Poospiza cabanisi	8	Itaara	-29,5937	-53,7343	pending	pending
FRA85	Poospiza cabanisi	8	Itaara	-29,5819	-53,8062	pending	pending
FRA61	Poospiza cabanisi	9	Pelotas	-31,6277	-52,5227	pending	pending
FRA62	Poospiza cabanisi Baasniza	9	Pelotas	-31,6088	-52,5188	pending	pending
FRA64	Poospiza cabanisi Poospiza	9	Pelotas	-31,6317	-52,5416	pending	pending
FRA65	cabanisi Poospiza	9	Pelotas	-31,6071	-52,5486	pending	pending
FRA66	cabanisi Poospiza	9	Pelotas	-31,6071	-52,5486	pending	pending
FRA67	cabanisi Poospiza	9	Pelotas	-31,5265	-52,5505	pending	pending
FRA68	cabanisi	9	Pelotas	-31,5265	-52,5505	pending	pending

		Poospiza	9	Delotor	21 5179	52 5042	nonding	nondina
	FRA69	cabanisi	9	Pelotas	-31,5178	-52,5042	pending	pending
		Poospiza						
	FRA71	cabanisi	9	Canguçu	-31,4565	-52,6348	pending	pending
		Poospiza						
	FRA72	cabanisi	9	Canguçu	-31,4579	-52,6150	pending	pending
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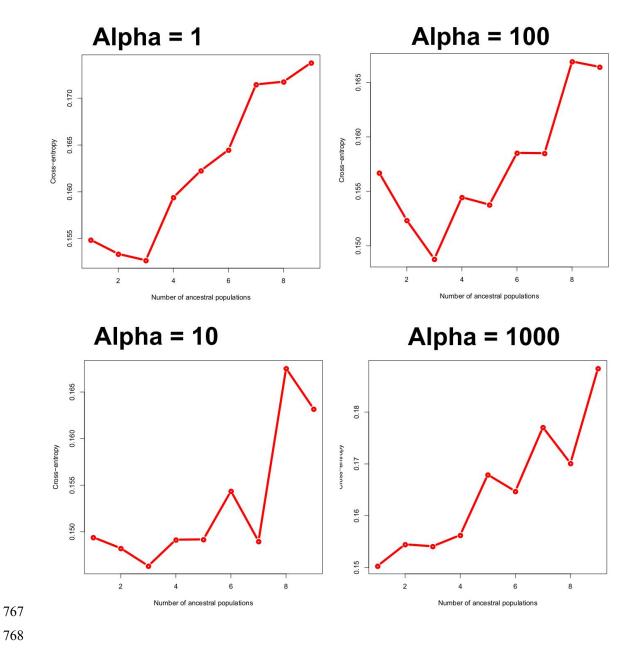


Figure S1. Cross-entropy sNMF runs for alpha values of 1, 10, 100 and 1,000.

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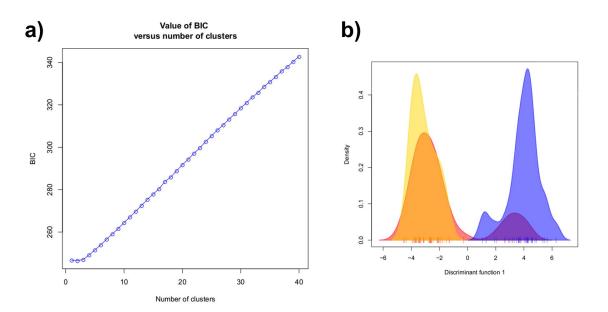




Figure S2. BIC values of (a) K-clustering method and (b) DAPC plot for two populations.

- Colors in the DAPC plot follow the ones assumed for Figures 1 and 2.
- 776 Data Accessibility
- 777 Dryad XXXX and SRA XXXX
- 778
- 779 Raw Illumina files, Set of SNPs, Joint SFS
- 780

781 Author contributions

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- FRA, DFA and GT designed the study. FRA, JACM and GT performed field work. FRA,
- DFAS and GT performed data analysis. FRA, KCMP, CYM and MJH contributed funds for lab
- or field work. All authors participated in the discussion of the results. FRA, MMC and GT
- 786 wrote the manuscript with input from the other authors. All authors approved the final version
- 787 of the manuscript.