

Head Office: Università degli Studi di Padova

Department of Biology

Ph.D. COURSE IN: Biosciences

CURRICULUM: Evolution, Ecology and Conservation

SERIES XXXIV

# **Comparative genomics and transcriptomics reveal the genetic basis for adaptation to the extreme Antarctic environment in the Emperor penguin (***A. forsteri***)**

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#### **Abstract**

The eco-evolutionary history of penguins is profoundly influenced by their shift from temperate to cold environments. Breeding only in Antarctica during the winter, the Emperor penguin appears as an extreme outcome of this process, with unique features related to insulation, heat production and energy management. However, whether this species actually diverged from a less cold-adapted ancestor, thus more similar in ecology to its sister species, the King penguin, is still an open question. As the Antarctic niche shift likely resulted in vast changes in selective pressure experienced by the Emperor penguin, the identification and relative quantification of the genomic signatures of selection, unique to each of these sister species, could answer this question.

Applying a suite of phylogeny-based methods on 7,651 orthologous gene alignments of seven penguins and 13 other birds, we identified a set of candidate genes showing significantly different selection regimes either in the Emperor or in the King penguin lineage. Among the candidate genes under selection in the Emperor penguin, four genes (TRPM8, LEPR, CRB1, and SFI1) were identified before in other cold adapted vertebrates, while, on the other hand, 161 genes can be assigned to functional pathways relevant to cold adaptation (cardiovascular system, lipid, fatty acid and glucose metabolism, insulation, among the others).

In order to detect signatures of more recent and ongoing selection in the two penguin species of the *Aptenodytes* genus, we also performed genome-wide analyses of selection, through the application of haplotype-based methods, on 48 individuals of Emperor and King penguins.

Both the selection analyses applied, over short and long evolutionary time, revealed a more pervasive selective shift in the Emperor penguin, supporting the hypothesis that its extreme cold adaptation is a derived state from a more King penguin-like ecology.

Moreover, also the haplotype-based methods detected genetic traits, associated with positively selected regions, that are potentially involved in the Emperor penguin adaptation to the extreme cold conditions (e.g., candidate genes involved in adipose tissue and lipid metabolism, coldinduced thermogenesis and cardiovascular functions).

Overall, the results of the selection analyses show that extreme cold adaptation in the Emperor penguin largely involved unique genetic options which, however, affect metabolic and physiological traits common to other cold-adapted homeotherms.

When a population colonizes a new environment, gene expression becomes crucial in guaranteeing population persistence and can mediate phenotypic plasticity and contribute to adaptive divergence.

To investigate the relevance of gene expression changes in adaptation to the extreme cold Antarctic environment, we explored transcriptomic differences at intraspecific and interspecific levels by analyzing QuantSeq 3'mRNA-Seq data from a large number of tissue samples (100 samples from 5 tissues of 10 individuals from natural populations of each species). Specifically, our analyses concerned tissues that could exhibit the major genetic differences for cold adaptation comparing the two species: skin (thermal insulation), liver (lipid and fatty-acid metabolism), brain (cold tolerance), muscle (thermogenesis) and kidney (osmoregulation).

In general, the expression profiles revealed a characterizing tissue-clustered pattern and a number of differentially expressed genes which, in the Emperor penguin, could be the candidates underlying its relevant adaptations to the Antarctic lifestyle. We found wide scale changes in gene transcripts regulating metabolic pathways for lipids, insulin resistance and sensitivity, storage of glucose, cold pain tolerance and fat cell differentiation in the Emperor penguin.

We especially focused on the transcriptional profile of the muscle given its critical role in whole body energy metabolism and temperature homeostasis in birds. Our findings on the most upregulated differentially expressed genes in the muscle, together with the enrichment of GO terms and KEGG pathways, confirm a thermogenic role of this tissue in both the *Aptenodytes* penguins but probably involving different biological pathways. The non-shivering thermogenesis process appears to be the dominant mechanism of heat production in the Emperor penguin.

Moreover, we used total mRNA-Seq data from 5 tissues of 3 individuals per species to *de novo* assemble the first reference transcriptome of the Emperor and the King penguin. Our findings suggest both the transcriptomes cover a wide range of protein-coding sequences, encompassing more than 84% of genes in the Aves orthologs database and the backmapping rate of 82% (Emperor penguin) and 79% (King penguin) is comparable to that of other *de novo* transcriptomes in birds. These values indicate great levels of completion considering that the assemblies were generated from a small number of tissues and a single developmental stage.

## **1. Introduction**

Extreme temperature conditions are known to drive a range of morpho-anatomical, behavioral, physiological and ecological adaptations that, combined with specific endocrine responses, make a wide variety of species able to live in the harshest regions of the planet.

Several eukaryotic organisms display changes in gene expression during exposure to the cold, particularly affecting all those proteins that aid the organism in tolerating extremely cold temperatures by controlling extracellular ice formation and minimizing osmotic stress during freezing (Thieringer et al., 1998); some relevant examples are represented by the cold shock proteins identified in yeast, the antifreeze proteins in Antarctic fish, ice-nucleating proteins, thermal hysteresis proteins and cryoprotectants (Costanzo et al., 1995; Storey and Storey, 1988; Devries and Hew, 1990; Johnston, 1990).

In this regard, glucocorticoid hormones activate the adrenoreceptors and thus the glycogenesis that produces anti-freezing compounds (Storey and Storey, 1988); another strategy to avoid internal ice formation consists in reducing the volume of circulating blood (Vanhoutte et al., 2001; Flavahan, 1991; Thompson, 1977) or lowering the freezing point of body fluids (Johnston, 1990). At the molecular level, specific examples include changes in membrane fluidity, through the alteration of phospholipids saturation, and modifications in the protein translation machinery of the cell (Thieringer et al., 1998). In addition, whereas the microtubules of mammals depolymerize at low temperatures, Antarctic fish and polar foraminifera show cold-stable microtubules that are functional also at a lower temperature range (Bowser and DeLaca, 1985; Williams et al., 1985; Clarke et al., 1991).

From a biochemical point of view, the major challenge is represented by the enzymes which must overcome the exponential decay of chemical reaction rates as the temperature is lowered (Åqvist et al., 2017). Cold-adapted enzymes have evolved a more flexible surface and an enhanced plasticity to allow a lower activation enthalpy for the chemical reaction (Åqvist et al., 2017; D'Amico et al., 2002).

As stated by Allen's rule, animals adapted to cold climates have evolved shorter limbs and bodily appendages than animals adapted to warm climates. Therefore, they are characterized by lower surface area-to-volume ratios in order to minimize heat loss from the surface area (Allen, 1877).

Indeed, keeping a warm body temperature is the major challenge for cold adaptation in homeotherms (Scholander, 1955). This is achieved by three main strategies: *i*) reducing heat dissipation from the body surface by raising hairs or feathers, by decreasing peripheral circulation, by balling up or huddling (Scholander, 1955; Yudin et al., 2017); *ii*) increasing heat production via shivering and non-shivering thermogenesis through brown adipose tissue adipocytes (Yudin et al., 2017); *iii*) temporarily hibernating to survive low body temperature (Tattersall et al., 2012).

Many mammals and birds exhibit a particular vascular pattern, made up of arterio-venous countercurrent heat exchangers localized in the extremities and sometimes in the tail (Scholander, 1955). That is crucial for heat conservation and thus as adaptation to cold.

Common metabolic strategies to handle severe temperature conditions include: accumulating huge fat reserves and adipose deposits under the skin or around organs through a lipid-rich diet, lowering the metabolic activity and generally reducing body functions (Solomonov et al., 2009; Liu et al., 2014).

Although different organisms have developed different adaptive mechanisms to survive at low temperatures, there are common adaptations that have been found in most of the cold-adapted organisms which represent universal responses to cold. In addition, hibernating animals implement further specific biochemical alterations to regulate heart and brain membrane fluidity (Aloia et al., 1974; Goldman, 1975).

All the species well adapted to live in extreme environments are expected to have accumulated essential genetic changes that help them to cope with the cold (Yudin et al., 2017). However, genetic bases which make life of warm-blooded vertebrates possible in the extreme cold temperature conditions remain largely unknown (Li et al., 2014).

Some Arctic and Antarctic adaptation studies have analyzed genomic divergence between closely related species adapted to distinct environmental conditions in order to discover candidate genes that are crucial to cold adaptation (Liu et al., 2014; Kumar et al., 2015; Librado et al., 2015; Lynch et al., 2015). Although they revealed only a few common genes involved in cold tolerance in different species, some general mechanisms and biochemical pathways relevant to cold adaptation emerged.

All the common adaptations to cold were related to the reorganization of the cardiovascular system, increased thickness and strength of the skin, brown-fat deposits for insulation, lipid and fatty-acid metabolism, insulin signaling and temperature sensation.

Overall, this overlap indicates that Arctic and Antarctic environments severely limit fitness landscapes, with only a small number of evolutionary strategies compatible with survival (Librado et al., 2015).

Among tetrapod vertebrates, birds are known for their fast adaptation rate, which sustained the colonization of a huge diversity of environments, including polar ones (Zhang et al., 2014). Neoaves, the most diverse avian clade, underwent a rapid global expansion and radiation within a relatively short period of time (10 to 15 million years), followed by an ecological diversification of several lineages into a wide range of niches during the K-Pg transition (Jarvis et al., 2014). Sphenisciformes (penguins) is the only living clade of flightless birds which successfully colonized a wide range of ocean temperatures and depths, across the Southern Hemisphere. The current most accredited hypothesis on the origin of extant penguins, posit that they arose in tropical–warm temperate waters in the early Miocene (Stonehouse, 1975; Vianna et al., 2020) and secondary colonized Antarctica, after permanent ice sheets were established around 9.8 Mya (Gavryushkina et al., 2017; Vianna et al., 2020). The geographical distribution of fossils further suggests that *Aptenodytes* and *Pygoscelis*, the most polar-adapted penguin taxa, took advantage of a new environment generated from the expansion of Antarctic ice sheets in the Middle Miocene (Ksepka et al., 2006).

The Emperor penguin (*Aptenodytes forsteri*) is the only warm-blooded vertebrate that lives and breeds on stable fast ice, in the harshest Antarctic winter conditions, when temperatures drop regularly to −50 °C and wind speeds can exceed 100 km/h (Owens and Zawar-Reza, 2015) (Fig. 1).

They exhibit many unique features related to insulation, heat production and energy management in comparison with other birds (Scholander, 1955; Rowland et al., 2015). These birds have evolved

to face numerous challenges, such as severe cold and limited food availability during the winter, and profound seasonal changes in the length of daylight during the year (Blix, 2016; Goldsmith and Sladen, 1961).

To live in such extreme environment, Emperor penguins have developed densely packed waterproof and insulating rigid feathers (Watson, 1883; Taylor, 1986), a thick layer of subcutaneous fat (Le Maho et al., 1976), long-term fasting (up to 115 days in males), an efficient energy storage management (Groscolas, 1990; Groscolas and Robin, 2001; Cherel et al., 1994), an enhanced thermoregulation through vasoconstriction and arterio-venous heat exchange countercurrent systems in order to maintain a high core body temperature (Butler and Jones, 1997; Thomas and Fordyce, 2007), a social thermoregulatory behavior consisting in huddling together in compact groups (Le Maho et al., 1976) and a high resting metabolic rate (Le Maho et al., 1976). On the other end, its closest relative, the King penguin (*A. patagonicus*), breeds exclusively in year-round ice-free sub-Antarctic islands lacking the extreme cold environmental pressures, and hence most of the relevant adaptations featured by the Emperor penguin (Fig. 1).

Their clear ecological divergence, in contrast with a very recent history of phylogenetic separation (estimated around 1-2 Mya, Gavryushkina et al., 2017), makes this system an ideal model to investigate the genomic basis of extreme cold adaptations and understand the evolutionary drivers of diversification in these two penguin species.



**Figure 1.** Distribution map of the Emperor (in blue) and the King penguin (in red) colonies. Modified from Collins and Rodhouse (2006).

#### *Aim of the thesis*

Although penguins are a relatively well-studied group, most previous studies focused on ecological (Black et al., 2018; Cherel et al., 2018; Hong et al., 2021), physiological (Fahlman et al., 2005; Groscolas and Robin, 2001; Kooyman, 2009), behavioral (Gilbert et al., 2006), or phylogenetic (Ksepka et al., 2006; Vianna et al., 2020; Pan et al., 2019) aspects of their biology, with a particular emphasis on the association between biological patterns and climate change (Younger J.L. et al., 2015; Younger J. et al., 2015; Trucchi et al., 2014; Trucchi et al., 2019; Cristofari et al., 2016; Cristofari et al., 2018) while only a few have explored genome-wide evolutionary processes among penguins (Li et al., 2014; Zhao et al., 2015; Pan et al., 2019; Vianna et al., 2020; Ramos et al., 2018) or between penguins and other birds (Zhang et al., 2014; Jarvis et al., 2014; Borges et al., 2015).

Therefore, little is currently known about the molecular genomic basis for the unique morphological and physiological adaptations of penguins compared to other aquatic and terrestrial birds (Pan et al., 2019; Li et al., 2014; Vianna et al., 2020).

In this thesis, we explored the evolution of the Emperor penguin using a comparative genomic and transcriptomic framework in order to:

*i*) detect signatures of differential selection in the comparison with its less cold-adapted sibling species, the King penguin, over short and long evolutionary time;

*ii*) reveal genetic traits potentially associated with processes that are relevant for adaptation to cold;

*iii*) investigate how levels of gene expression contribute to adaptation to a more extreme environment as compared to the King penguin.

The Emperor penguin's extreme cold adaptation has been proposed to be a derived state from a less cold-adapted ancestor, possibly more ecologically comparable to the King penguin (Vianna et al., 2020). Such a dramatic ecological shift should have left a distinct signal of selection change across the Emperor penguin's genome, with some genes becoming the new targets of positive selection and others being released from the selective pressures characterizing the former habitat.

Identifying the genetic basis and exploring the phenotypic plasticity that underlie relevant traits for adaptive changes at the physiological, morphological and molecular level in the Emperor penguin, may be critical as it is predicted that future climate change will lead to ecosystem-wide changes.

Emperor penguins are sensitive indicators of local environmental changes as they breed exclusively on sea ice (Cristofari et al., 2016). This species is especially vulnerable to global warming as illustrated by the vanishing of several colonies (Trathan et al., 2011; Ancel et al., 2014) and the dramatic drop in breeding success and population size of others (Kooyman and Ponganis, 2014), in response to sea ice retreat, during the last few decades.

## **2. Selection-driven adaptation to the extreme Antarctic environment in the Emperor penguin**

This section includes the manuscript:

Federica Pirri, Lino Ometto, Silvia Fuselli, Flávia A. N. Fernandes, Lorena Ancona, Céline Le Bohec, Lorenzo Zane, Emiliano Trucchi;

"Selection-driven adaptation to the extreme Antarctic environment in the Emperor penguin";

*BioRxiv*. doi: https://doi.org/10.1101/2021.12.14.471946.

#### **Introduction**

Adaptation to severe Arctic and Antarctic temperatures is rare among terrestrial vertebrates and restricted to warm-blooded lineages (Storey and Storey, 1992; Blix, 2016). The main challenge for adaptation to extreme cold is keeping adequately high core body temperature, which in homeotherms can be obtained by the combination of several physiological, morphological, and behavioral responses (Allen, 1877; Scholander, 1955; Cannon and Nedergaard, 2010; Tattersall et al., 2012; Blix, 2016; Roussel et al., 2020): *i)* Minimizing heat dissipation from the body surface *e.g.,* by reducing the surface area-to-volume ratio, by raising insulating hair or feathers, by decreasing peripheral circulation, and/or by balling up or huddling; *ii)* Increasing heat production via shivering and nonshivering thermogenesis through brown adipocytes; *iii)* Temporarily hibernating.

In contrast, the genetic basis of cold adaptation in homeotherms is not well understood. Only few candidate genes were found in common across cold-adapted mammals and birds (Yudin et al., 2017; Wollenberg Valero et al., 2014), suggesting that cold adaptation is likely the result of selection on different genes, which are nevertheless relevant to the same set of physiological and metabolic functions. For example, only four candidate genes, which are related to cardiovascular function, were found in common in three out of six mammals dwelling in/near the Arctic or Antarctica (Yudin et al., 2017), even if different candidate genes are involved anyway in heart and vascular development and regulation (Liu et al., 2014; Vianna et al., 2020). Different genes acting in fatty-acid metabolism have been identified to be under positive selection in the polar bear and the Arctic fox (Liu et al., 2014; Castruita et al., 2020; Kumar et al., 2015). In mammals, the molecular mechanisms underpinning heat production via non-shivering thermogenesis have been extensively investigated and have been mainly linked to UCP-1, a mitochondrial uncoupling protein involved in the generation of heat in brown adipose tissue (Lowell and Spiegelman, 2000). Non-shivering thermogenesis is instead not well understood in birds, where it is not clear whether the avian homologue of UCP-1 (i.e., avian uncoupling protein, avUCP) has a similar thermogenic role or is mainly required against oxidative stress (Talbot et al., 2004). However, the same nonshivering thermogenic pathways could be used in birds (Tigano et al., 2018), and even in ectothermic vertebrates like reptiles (Akashi et al., 2016).

Birds are known for their fast adaptation rate, which allowed the colonization of a huge diversity of environments, including polar ones (Zhang et al., 2014). In particular, the clade of penguins, which likely originated in temperate environments, successfully diversified in the cold Antarctic and sub-Antarctic ecosystems (Pan et al., 2019; Vianna et al., 2020), featuring unique adaptations for insulation, heat production and energy management (Scholander, 1955; Rowland et al., 2015). Our understanding of the underlying genetic determinants of such adaptations is still rather scarce. Testing about one third of the total genes across all penguin genomes, Vianna et al. (2020) identified blood pressure, cardiovascular regulation, and oxygen metabolism in muscles as functions, potentially involved in thermoregulation, which have been the targets of positive selection. Analyses of *Spheniscus* and *Pygoscelis* mitochondrial genomes also revealed a correlation between the pattern of diversity of the ND4 gene and sea surface temperature, suggesting this gene is involved in climate adaptation (Ramos et al., 2018). Moreover, Emperor and Adelie penguin genomes show the highest rate of duplication of *β*-keratin genes as compared to non-penguin birds, suggesting important changes in feathers and skin structure during their evolution to increase core body insulation (Li et al., 2014). Alternative gene pathways related to lipid metabolism and phototransduction appeared also to have been under selection in these two species (Li et al., 2014).

The Emperor penguin (*Aptenodytes forsteri*) is the only warm-blooded vertebrate thriving and breeding during the harshest Antarctic winter, facing profound seasonal changes in daylight length as well as severe cold and wind conditions (Blix, 2016; Goldsmith and Sladen, 1961). To withstand such hostile environment, the Emperor penguin shows multiple morphological, physiological, behavioral adaptations, like improved thermoregulation systems in the head, wings, and legs (Frost et al., 1975; Thomas and Fordyce, 2008), and efficient energy storage management system for long-term fasting (Groscolas, 1990; Cherel et al., 1994; Groscolas and Robin, 2001). Conversely, its sister species, the King penguin (*A. patagonicus*), breeds exclusively in year-round ice-free sub-Antarctic islands and in Tierra del Fuego. Extreme cold adaptation in the Emperor penguin has been suggested to be a derived feature from a less cold-adapted ancestor, likely more ecologically similar to the King penguin (Vianna et al., 2020). Such marked ecological transition should have left a clear signature of selection change across the genome of the Emperor penguin, with some genes becoming the novel targets of positive selection while others getting released from previous selective pressures associated with the ancestral habitat.

Here, we apply phylogeny-based tests to identify genes that markedly changed in their selection regime during the evolutionary history of the Emperor penguin, using its less cold-adapted sister species, the King penguin, as a control. If the common ancestor ecology was similar to the King penguin one (*i.e.*, not so cold-adapted), we expect a more intense selection shift across the Emperor penguin genome, with genes under positive selection related to adaptations to cold. By using a phylogenetic framework including seven species of penguins and 13 other birds, we compare the pattern of molecular evolution (Yang, 2007; Wertheim et al., 2015) between Emperor and King penguins across 7,651 orthologous genes and explore the gene ontology terms to identify the molecular functions that may have undergone positive selection in the Emperor penguin. To allow for a broader comparison with other cold-adapted vertebrates, we also investigated the overlap between the biological functions of the candidate genes identified in the Emperor penguin and the metabolic and physiological functions related to cold adaptation compiled from previous studies.

#### **Materials and methods**

#### *Orthologous coding sequences identification*

In order to test for selective signatures in coding sequences of Emperor and King penguins, we implemented a comparative phylogenomic analysis. We selected at least one species for each extant penguin genus based on the phylogeny of Pan et al. (2019), and other bird species representing the clade of Core Waterbirds (which includes penguins), the tropicbirds (one species only), and some more distant species from the Core Landbirds according to Jarvis et al. (2014). The resulting dataset included seven penguin species (*Eudyptula minor minor*, *Spheniscus magellanicus*, *Eudyptes chrysolophus*, *Pygoscelis papua*, *Pygoscelis adeliae*, *Aptenodytes patagonicus* and *Aptenodytes forsteri*) and 13 additional bird species (*Phaethon lepturus*, *Eurypyga helias*, *Gavia stellata*, *Fulmarus glacialis*, *Phalacrocorax carbo*, *Nipponia nippon*, *Egretta garzetta*, *Pelecanus crispus*, *Haliaeetus leucocephalus*, *Tyto alba*, *Cariama cristata*, *Corvus brachyrhynchos* and, as a more distant outgroup, *Opisthocomus hoazin*). All coding sequences (CDS) of each of these twenty bird species were downloaded from GigaDB and Genbank (*SI Appendix*, Table S1).

One-to-one orthologs were identified by applying a reciprocal best-hit approach using pairwise BLAST searches with an e-value cutoff of 1e-15, a nucleotide sequence identity of at least 70%, and a fraction of aligned CDS of at least 60% (Savini et al., 2021). Only CDS longer than 150 bp that were a reciprocal best-hit between the Emperor penguin and the other species were retained. The orthologous gene sequences were then aligned with MAFFT (Madeira et al., 2019) and the alignments trimmed to maintain the open reading frame using a custom perl script. The resulting nucleotide alignments were re-aligned using the PRANK algorithm (Löytynoja, 2013) in TranslatorX (Abascal et al., 2010), which aligns protein-coding sequences based on their corresponding amino acid translations. Since the results of *dN/dS* analysis could have been affected by poorly aligned regions or by regions that were too different to be considered truly orthologs, we removed CDS alignments that included internal stop codons and used a custom perl script to remove problematic regions as in Han et al. (2009) (see also Ramasamy et al., 2016). Furthermore, as phylogenetic-based selection tests are not able to properly deal with alignment gaps (Yang,

2007), we filtered all the alignments with a custom perl script and kept only sites that were unambiguously present in at least 16 of the 20 sequences and always present in both our species of interest (*i.e.,* King and Emperor penguins). The minimum length of an alignment for subsequent analyses after gap removal was set to 150 bp (50 codons).

All the scripts employed in our pipeline are made available in the Open Science Framework data repository at:

https://osf.io/zjbdx/?view\_only=1b0935ab0e5a447ab3b68dad1aa5a3bd (Savini et al., 2021).

#### *Identification of selection regime shifts*

We first used CODEML in the PAML package (Yang, 2007) to estimate synonymous (*dS*) and nonsynonymous (*dN)* substitution rates and to identify genes which are characterized by lineagespecific ω values (*i.e.*, *dN/dS*, which is a proxy for the level of past selective pressure in the gene). In particular, we separately investigated the two scenarios of different  $\omega$  in the King or in the Emperor lineage. If one branch in the phylogeny shows a value of  $\omega$  ( $\omega_i$ ) significantly larger than in the other branches  $(i.e., \omega_b;$  background  $\omega)$ , such a foreground lineage may have been targeted by positive (Darwinian) or relaxed selection (allowing the accumulation of non synonymous substitutions), whereas when  $\omega_i$  is lower than  $\omega_b$ , the foreground lineage may have evolved under stronger selective constraints (*e.g.*, purifying selection).

We first ran the two-ratio branch model (one  $\omega$  for the foreground branch, another  $\omega$  for the background branches; set parameters "model=2, NSsites=0, fix\_omega=0") and the one-ratio branch model (one ω estimate for all branches, as null model; set parameters "model=0, NSsites=0, fix\_omega=0") on the unrooted phylogenetic tree of the species of interest. We determined the topology of such a tree (Fig. 1A) by manually combining the total evidence nucleotide tree of the avian family (Jarvis et al., 2014) and the phylogenomic reconstruction of penguins (Pan et al., 2019). The two models (two-ratios vs. one-ratio) were compared by likelihood ratio tests (LRTs). False discovery rates (FDR) were computed using the qvalue package (Storey at al., 2017) and the p.adjust function in R (R Core Team, 2013) using the Benjamini-Hochberg procedure to adjust for multiple testing. An FDR or *p*-adjusted significant threshold of 0.05 was used.

We then used a branch-site model to test for sites under selection in the candidate genes from the previous test. The parameters for the null model were set as "model=2, NSsites=2, fix\_omega=1", while the parameters for the alternative model were set as "model=2, NSsites=2, fix\_omega=0". LRT and FDR were computed as for the branch model tests. To control for misalignments that could have biased the results, we visually checked the sequence alignment of all candidate genes under selection using MEGA7 (Kumar et al., 2016).

We also applied aBSREL from the HyPhy package, a branch-site test that includes an adaptive branch‐site random effects likelihood model (Smith et al., 2015; Pond et al., 2005), to our set of orthologous coding sequences. In contrast to the branch-site test in CODEML, which assumes 4 ω‐rate classes for each branch and assigns each site to one of these classes, the aBSREL test uses AIC<sub>c</sub> to infer the optimal number of  $\omega$ -rate categories per branch, not making the assumption that all branches exhibit the same degree of substitution rate heterogeneity (Smith et al., 2015). Although we expect a broad overlap between CODEML and aBSREL results, a higher sensitivity should characterize the latter approach (Smith et al., 2015). Signatures of positive selection were searched by setting *a priori* the King and the Emperor lineage as *test* branches in the phylogeny. LRT was performed by comparing the full model to a null model where branches were not allowed to have rate classes of  $\omega > 1$ . A Benjamini-Hochberg correction was used to control the probability of making false discoveries and only tests with adjusted p-values  $\leq 0.05$  were considered significant.

Beside presenting novel drivers of selection, the major ecological shift occurring in the Emperor penguin lineage should have also released some of the selective constraints characterizing the ancestral ecological niche. As a consequence, some genes could show a signature of relaxed selection in this lineage, a higher number than in the King penguin. To test for relaxation of selective constraints on a specific lineage we used RELAX from the HyPhy package, a general hypothesis testing framework that determines whether the strength of natural selection has been relaxed or intensified along a set of test branches defined *a priori* in a phylogenetic tree (Wertheim et al., 2015; Pond et al., 2005). It estimates a selection intensity parameter *K*, in which a significant  $K > 1$  indicates intensification in the selection strength, whereas a significant  $K < 1$  indicates relaxation in the strength of selection in the test branches (Wertheim et al., 2015). We tested whether selection pressure has increased or decreased in either the King or in the Emperor lineage

as compared to the rest of the phylogeny. In the null model, the selection intensity parameter *K* was set to 1 for all the branches of the phylogenetic tree, whereas in the alternative model the parameter *K* was inferred for every tested branch. The increase or relaxation of selection was validated by a LRT with 1 degree of freedom. Again, the Benjamini-Hochberg procedure was used to adjust for multiple testing with adjusted p-values < 0.05 considered significant.

#### *Functional characterization of candidate genes under selection*

To test whether the set of candidate genes for positive selection in the Emperor penguin lineage has a relevance for cold adaptation, we tested these genes for functional GO terms enrichment by using the g:GOSt function in g:Profiler (Raudvere et al., 2019). GO terms were assigned to candidate genes based on the Ensembl GO predictions for the flycatcher (*Ficedula albicollis*). Significantly enriched categories included at least two genes, and the Benjamini-Hochberg method was used for multiple testing correction to estimate significance (at *p* < 0.05). We used REVIGO (Supek et al., 2011) to summarize the resulting lists of GO terms in order to obtain a non-redundant and more easily interpretable set of GO terms. GO terms enrichment was performed on two lists of genes: *i)* candidate genes supported by both CODEML and aBSREL and *ii)* candidate genes supported by either CODEML or aBSREL.

To compare our results with the recent literature on genetics of cold adaptation, we compiled a list of biological/molecular functions characterizing the candidate genes for cold adaptation retrieved in previous studies in vertebrates (Table 1). The list included: *cardiovascular activity and regulation, skin thickness, immunity, lipid and fatty acid metabolism, glucose (including insulin) metabolism, thyroid hormones, non-shivering thermogenesis, shivering thermogenesis, response to oxidative stress, stress response, homeostasis, circadian rhythm, phototransduction, mitochondrial activity, feathers development*. We checked whether any of the GO terms enriched in candidate genes supported by either CODEML or aBSREL could be assigned to any of the 15 biological/molecular functions listed above. In addition, we assigned, whenever possible, genes from this list to the same biological/molecular functions, using the gene function description from the human gene database GeneCards (Stelzer et al., 2016).

### **Results**

#### *Signature of selection shift in the Emperor penguin lineage*

We identified 7,651 orthologous coding sequences across seven penguin species and 13 other birds, corresponding to about 50% of the total number of genes in an avian genome (Zhang et al., 2014). Across all of the tests, by applying a significance threshold of FDR  $\leq 0.05$ , we consistently identified more candidate genes which underwent a shift in their selection regime (intensified or relaxed) in the Emperor penguin lineage than in the King penguin one (Fig. 1B). Even though we found a much larger number of genes putatively under selection using the aBSREL model (*SI Appendix*, Table S2, S3), the overlap between the CODEML (with  $\omega_i > \omega_b$ ) branch model (*SI Appendix*, Table S4) or RELAX (with *K* > 1; *SI Appendix*, Table S5, S6) with aBSREL was on average 80% (Fig. 1B, inset).



**Figure 1. A.** Phylogenetic tree based on Jarvis et al. 2014 and Pan et al. 2019. The Emperor and the King penguin are highlighted in blue and yellow, respectively. Note that branch length is not to scale. **B.** Comparison between Emperor and King penguins for genes with FDR > 0.05 in each of the tests performed; bm: branch model; bsm: branch-site model; w<sub>i</sub>:  $\omega$  in the target species; w<sub>b</sub>: background  $\omega$ ; For sake of completeness, we also show the genes putatively under selection according to RELAX (with  $K > 1$ ). **Inset**. Venn diagram showing the overlap among CODEML (bm), aBSREL, and RELAX (*K* > 1). Note that the total number of genes is different between the Emperor and the King penguins and the size of the circles scales to the maximum in each of the two graphs. The overlap between CODEML (bm) or/and aBSREL with RELAX  $(K < 1)$  is 3, 1, and 1 gene, respectively (not shown).

Using the CODEML branch test, we found 59 candidate genes with signals of positive or relaxed selection in the Emperor penguin, showing a ω significantly greater than the background, and one candidate gene under purifying selection showing a lower ω value than the background. In comparison, only five genes, with ω greater than the background, were retained as candidates of positive or relaxed selection in the King penguin lineage. Although greater than those of the background branches, the ω values of most of the candidate genes in the Emperor or the King

penguin, still remain lower than one, making it difficult to distinguish between positive selection and relaxation of purifying selection. The CODEML branch-site test indicated a total of 104 sites in the 60 candidate genes in the Emperor lineage, whereas 17 were suggested in the five genes in the King lineage (Fig. 1B; *SI Appendix*, Table S7). On the other hand, aBSREL identified a much larger number of candidate genes under positive selection than CODEML branch model (423 in the Emperor lineage and 200 in the King lineage). Between 70% and 80% of the CODEML candidate genes (42 and 4 genes considering the Emperor and the King lineage, respectively) were also significant in aBSREL results (Fig. 1B). According to RELAX, 17 genes in the Emperor lineage and in four genes in the King lineage bear a significant signature of relaxed selection  $(K \leq$ 1; Fig. 1B; *SI Appendix*, Table S8, S9). Concerning the Emperor lineage, five of the 17 genes (*i.e.*, FLVCR1, ANKRD17, ASAP1, PAK1, PHLPP1) are also candidates in either CODEML (branch model,  $\omega_i > \omega_b$ ), aBSREL, or both, further supporting the signal of relaxed purifying selection.

#### *Biological functions enrichment in Emperor penguin candidate genes*

After correcting for multiple tests and using REVIGO's redundancy elimination algorithm, we found 16 enriched GO biological process terms in candidate genes for positive selection suggested by both CODEML and aBSREL (*SI Appendix*, Table S10). Some of these GOs are related to heart and muscle development (GO:0003306, GO:1901863), lipid (GO:0033993), glucose (GO:0071333) and sphingolipid (*i.e.*, ceramide) metabolism (GO:1905371). When considering all candidate genes supported by either CODEML or aBSREL, we retrieved 34 enriched GO biological process terms (*SI Appendix*, Table S11), 12 of which could be assigned to one of the biological/molecular functions putatively related to cold adaptation from previous studies (Table 1). In addition, qualitatively screening the biological functions of all candidate genes using the human database GeneCards, we identified 161 genes which could be assigned to the biological/molecular functions identified in previous studies (Table 1). Four genes identified as under selection in the Emperor penguin were already found in previous studies: TRPM8 (*temperature sensing*), indicated as under selection by both CODEML (branch and branch-site models) and aBSREL; LEPR (*lipid and fatty acid metabolism*) and CRB1 (*phototransduction*) were suggested as candidate genes under selection by aBSREL; SFI1 (*glucose metabolism*) which showed a significant signal of intensified selection in the RELAX test  $(K > 1)$ . In addition, the sphingomyelin synthase2 (SGMS2), shows a biological function that appears as markedly related to cold adaptation in the Emperor penguin, potentially regulating biological membrane fluidity at low temperatures (Wang et al., 2014). This function (named as *membrane fluidity*) was added to the list of biological/molecular functions putatively related to cold adaptation (Table 1).

Table 1. Candidate genes for positive / relaxed selection inferred by CODEML (bm, bsm), aBSREL, and RELAX (*K* > 1) which we could assign to biological functions suggested as related to cold adaptation in previous studies (see references in the table) on the basis of their GeneCards description. Candidate genes under selection in the Emperor penguins which were also found in previous studies are in bold (four genes). Note that in the *GO ID* column we associated the Gene Ontology Biological Process supported by gProfiler in candidate genes inferred by aBSREL or CODEML (bm), or in the subset of genes inferred by both (marked with an asterisk), with relevant biological functions; the GOs in this column do not only refer to the genes indicated in the previous columns.

\*\* Weak evidence of gene expression changes in a study on feathers development (Ng et al., 2015).



#### **Discussion**

#### *Emperor penguin shift towards a novel ecological niche*

Among the orthologous genes tested in our analyses, a larger fraction shows signatures of novel selection regimes in the Emperor penguin lineage than in the King penguin, either as intensification or relaxation of the selection pressure (Fig. 1B). One possible explanation of this pattern is that the ancestor of both species had ecological preferences which were more similar to the King penguin, while the Antarctic ecology of the Emperor penguin is a derived, though rather recent (ca. 1-2) Mya; Gavryushkina et al., 2017), adaptation. A general shift from warmer to colder habitats has been suggested for penguins in general (Vianna et al., 2020). King and Emperor penguins critically differ in their breeding range, as they reproduce in temperate-cold sub-Antarctic islands with average winter temperature of ca. 3 °C, or on the Antarctic sea-ice featuring average winter temperature around -25 °C, sometimes at -60 °C, respectively. Upon colonization of Antarctica, novel selective pressures are expected to have appeared while others, characterizing the former ecology, should have relaxed. Relaxed purifying selection can in fact be an additional source of evolutionary novelties (Hunt et al., 2011), as it can have non-linear consequences on a trait, including stabilizing or balancing selection, pseudogenization or, on the contrary, recruitment for a different function (Lahti et al., 2009).

Rather fast adaptation to polar lifestyle is not new in homeothermic vertebrates, as suggested for the recent divergence (less than 0.5 Mya) of the polar bear from the brown bear (Liu et al., 2014; Castruita et al., 2020), or of the Arctic fox from its common ancestor with red fox (ca. 2.9 Mya, Kumar et al., 2015). One question, which could be highly relevant in the ongoing climate change scenario, is whether extreme cold adaptation is an evolutionary *cul de sac*, *i.e.*, a derived suite of traits from which reverting to a less extreme cold ecology is hampered. Interestingly, none of the extant rhino species, which are all adapted to warm climate, descend from any of the three coldadapted species we know about, and which are all extinct (Liu et al., 2021). A similar evolutionary endpoint could have characterized the diversification of elephants, with the extinction of the coldadapted mammoths (Lynch et al., 2015).

An alternative explanation for the higher number of genes showing evidence of selection shifts in the Emperor penguin is that selection was more efficient along the Emperor lineage due to its larger and more constant population size through time, as revealed in previous studies (Trucchi et al., 2014; Cristofari et al., 2016), when compared to the King penguin markedly oscillating demographic trajectory (Cristofari et al., 2018; Trucchi et al., 2019). In fact, at low population size genetic drift overwhelms selection, leading to the fixation of both synonymous and nonsynonymous variants, and potentially blurring the *dN/dS* ratios. However, the higher signature of relaxed purifying selection in the Emperor penguin contrasts with this alternative explanation.

#### *Looking for a common genetic underlying of adaptation to cold in homeotherms*

A large fraction of the candidate genes under selection in the Emperor penguin is involved in most of the functional pathways relevant to cold adaptation identified in previous studies (Table 1). Nonetheless, we discovered only four genes in common with those previously identified in other cold-adapted vertebrates (notably, two of which were found in the mammoth). This result is not surprising given the suggested polygenic basis of most phenotypic traits (Barghi et al., 2020) which could be shaped by the contribution of a quite large set of genes (Boyle et al., 2017). As also emerged in other vertebrates (see refs in Table 1), traits related to cardiovascular function, lipid and fatty acid metabolism, glucose metabolism, oxidative stress and stress response, insulation (including skin thickness and feathers development), phototransduction and mitochondrial activity show the largest number of candidate genes under selection in the Emperor penguin (Table 1).

Genes involved in fatty-acid metabolism have been identified to be under positive selection both in polar bear and Arctic fox, indicating similar evolutionary constraints on fat metabolism in these two cold-adapted mammal species (Liu et al 2014; Kumar et al., 2015). The storage of subcutaneous fat is also crucial in the Emperor penguin, both because it represents the main source of energy during the long fasting periods (Blem, 1990; Cherel et al., 1994; Groscolas et al., 1990) and because it provides thermal insulation (Kooyman et al., 1976). Moreover, fatty acids can stimulate muscle thermogenic processes in birds and therefore may be a very important component of the adaptive response to cold temperatures in penguins (Duchamp et al., 1999; Toyomizu et al., 2002; Talbot et al., 2004; Rey et al., 2010). Accordingly, our results revealed candidate genes under selection in the Emperor penguin such as PPARa, regulating eating behavior (Fu et al., 2003), controlling lipid absorption in the intestine (Poirier et al., 2001) and fatty-acid oxidation (Lemberger et al., 1996), ADCY5, associated with body weight (Li and Li, 2019), and LEPR, the leptin receptor. LEPR is involved in fat and glucose metabolism, in appetite-regulating through its effects on food intake and energy consumption (Zhang et al., 1994; Halaas et al., 1995; Pelleymounter et al., 1995), and in adaptive thermogenesis (Yang et al., 2011). Yet, the adipostat activity of leptin has not been demonstrated in Aves, where the expression pattern differs greatly from that of mammals, as it seems to be missing from the adipose tissue (Friedman-Einat and Eyal Seroussi, 2019).

While shivering thermogenesis might be the main thermogenic mechanism in birds following short-term cold exposure (Teulier et al., 2010), cold acclimated birds show non-shivering thermogenesis mediated by avUCP expression within the skeletal muscle (Talbot et al., 2004). According to our analyses, some of the candidate genes could be assigned to the non-shivering thermogenesis category (Table 1), but none of them can be unambiguously associated with shivering thermogenesis. Among the former, Na,K-ATPase (ATP1A1) is a membrane enzyme that utilizes energy derived from the hydrolysis of ATP to pump Na+, wasting energy as heat, thus playing a significant role in thermal tolerance and energy balance (Geering et al., 1987; Iannello et al., 2007). It was demonstrated that its expression is affected by heat stress (Sonna et al., 2002) and consistently increases during mammal hibernation (Vermillion et al., 2015). L2HGDH was found to be associated with the TCA cycle, electron transport and glycolysis (Oldham et al., 2006) and it was identified as one of the candidate genes under positive selection in three high-altitude passerine birds (Hao et al., 2019). PRDM16 is a zinc-finger protein that activates brown fatselective genes responsible for mitochondrial biogenesis and oxidative metabolism, while repressing the expression of a wide range of genes selective for white fat cells (Seale et al., 2007; Kajimura et al., 2015). This protein appears to play a role also in the development and function of beige cells (Ohno et al., 2012; Seale et al., 2011). Retinoic acid and thyroid hormones, whose candidate binding sites have been found in a mammal UCP-1 enhancer (Lowell and Spiegelman, 2000), together with another nuclear receptor (NR1D2), have been suggested to be involved in

thermal adaptation in birds (Tigano et al., 2018). NR1D2, as well as MARCH6 and NCOA3, also involved in thyroid hormone regulation and action (Zelcer et al., 2014; Ishii et al., 2021), influencing baseline temperature (Elliott et al., 2013) and thermoregulation in response to cold stimuli in birds (Vézina et al., 2015), were present among our candidate genes.

One of the most promising candidate genes under selection is TRPM8, which encodes the sensor for noxious cold temperature (Yin et al., 2018). Setting the physiological range of temperature tolerance and, ultimately, the width of the geographical habitat (Matos-Cruz et al., 2017), any biological thermosensory apparatus should be under strong evolutionary pressures to trigger specific responses to noxious high or low temperatures (Myers et al., 2009). Indeed, evolutionary tuning of five temperature-sensitive transient receptor potential channels, including TRPM8, has been likely key in the adaptation of the Woolly mammoth to the Arctic (Lynch et al., 2015). A previous study demonstrated the crucial role of a single-point mutation located at site 906 (as per *Gallus gallus* coordinates in Yin et al., 2018; 919 as per coordinates in Yang et al., 2020) for the activation of TRPM8 pore domain channel in the Emperor penguin (Yang et al., 2020). Interestingly our comparative selection scan found instead evidence of positive selection at two other sites (*i.e.*, I1058T, Y1069M). After aligning 541 vertebrates TRPM8 ortholog sequences available in GenBank (accessed on 22/11/2021), we found that the substitution at site 906 is not unique to Emperor penguins but it is instead widespread in birds with different ecology and habitat preference, including warm tropical regions. Also, our candidate substitution Y1069M is common in penguins and other birds. Conversely, the substitution I1058T (as per *Gallus gallus* coordinates in Yin et al., 2018) is extremely rare in birds, being present in one other species only (*Sitta europea*). This substitution is also rare in mammals and reptiles where it appears in seven and one species only, respectively. We located the single-point mutation I1058T just after the last ultraconserved residue in one of the three helices (CTDH2) of the C-terminal cytoplasmic domain (Yin et al., 2018). Further analyses should be conducted to determine if and how this substitution affects noxious cold sensing in Emperor penguins.

#### *Limitations of this study*

There is no overlap between our set of candidate genes under selection and those discovered in previous studies on penguins (Li et al., 2014; Vianna et al., 2020). On one hand, selection tests based on phylogenies are, of course, influenced by size and composition of the set of species included in the tree. In contrast with Li et al. (2014), where 48 bird species of which only two penguins were analyzed, we selected non-target species both in close (seven penguins) and in more distant (13 other birds) clades. On the other hand, the bioinformatic pipeline applied for identifying ortholog coding sequences across the species in the phylogeny may determine which genes are included or excluded. Our pipeline, successfully tested in *Glossina* (Savini et al., 2021), aligned ca. 30% more genes than in Vianna et al. (2020) and slightly less than in Li et al. (2014). We also note that in Vianna et al. (2020), the selection scan was performed for 18 penguin species, not only on the King and Emperor ones, and searched for candidate genes in all of the penguin lineages.

Although we found an appreciable overlap between the results of CODEML and aBSREL, the latter suggested a lot more candidate genes (Fig. 1B). This could be due either to higher sensitivity of aBSREL, as due to the branch-site model applied, or to a higher false negative rate in CODEML. One big difference between these two methods is that aBSREL makes no assumptions about the selective regime on background branches while CODEML assumes negative or no selection on background branches. This could lead to a higher false negative rate when the evolutionary process along background branches deviates significantly from modeling assumptions (Kosakovsky Pond et al., 2009). In general, phylogenetic tests of adaptive evolution are not capable of avoiding false positives because they do not consider multi nucleotide mutations (simultaneous mutations at two or three codon positions) which can instead be more common than expected (Venkat et al., 2018).

Concerning our characterization of the candidate genes to associate them to the functional categories we identified from previous studies on cold adaptation, we reckon that this is by far a simple (*i.e.,* gene characterization was based on GeneCards description only) and qualitative (*i.e.*, not based on a statistical test) comparison, aiming at contextualizing our results within the published literature. As sequence orthology does not necessarily equal functional orthology, we

acknowledge that a functional characterization largely based on a human model (and sometimes on a chicken model) is a strong assumption for a distant non-model organism.

### **Acknowledgements**

ET was supported by the PNRA16\_00164 ("Programma Nazionale di Ricerca in Antartide. Bando PNRA 5 aprile 2016, n. 651. – Linea B "Genomica degli adattamenti estremi alla vita in Antartide").

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# **3. Genome-wide signatures of recent selective sweeps in the Emperor penguin (***A. forsteri***) shed light on adaptation to Antarctica**

This section includes the manuscript:

Federica Pirri, Céline Le Bohec, Lorenzo Zane, Emiliano Trucchi;

"Genome-wide signatures of recent selective sweeps in the Emperor penguin (*A. forsteri*) shed light on adaptation to Antarctica";

in preparation.

# **Introduction**

Penguins (order Sphenisciformes) occupy a wide range of different habitats from polar to tropical latitudes in the Southern Hemisphere. Recent analyses in Vianna et al. (2020) supported the hypothesis of a temperate or sub-Antarctic origin of penguins followed by the colonization of Southern Ocean islands and Antarctica (Bertelli and Giannini, 2005; Ksepka and Giannini, 2006). According to this model, the common ancestor of the two largest penguin species, the Emperor and King penguins (*Aptenodytes forsteri* and *A. patagonicus*), might have lived in temperate environments and then radiated to colder thermal niches. In particular, the Emperor penguin has evolved several physiological, behavioral and morphological adaptations, such as insulating feathers (Taylor, 1986), long-term fasting (Groscolas, 1990; Cherel et al., 1994; Groscolas and Robin, 2001) and an enhanced thermoregulation system (Frost et al., 1975; Thomas and Fordyce, 2008) to deal with the extremely harsh Antarctic conditions. Such an extreme adaptation evolved in a rather short time, given the recent divergence (1-2 Mya; Gavryushkina et al., 2017) with its sister species.

The temporal dynamics of the Emperor penguin adaptation for an Antarctic lifestyle are only partially understood. Investigation of signals of long-term selection in the Emperor penguin genome through phylogeny-based methods on coding sequences (Pirri et al 2021; Vianna et al., 2020; Li et al., 2014) revealed a more pervasive selection shift in the Emperor penguin, supporting the hypothesis that its extreme cold adaptation represents a derived state from a more King penguin-like ecology. Moreover, the majority of candidate genes detected as being under selection in the Emperor penguin was related to metabolic and physiological pathways relevant to cold adaptation also in other homotherms (e.g., cardiovascular system, lipid, fatty acid and glucose metabolism, thermogenesis, etc.). On the other hand, the signature of recent, even ongoing, selection has not been uncovered yet.

Selective sweeps, combined with the hitch-hiking effect, cause an increase in the frequency of beneficial mutations and the nearby genomic variants, reducing diversity and generating extensive linkage disequilibrium (Alvarez et al., 2020).

Therefore, the haplotype that carries the advantageous allele tends to be significantly longer compared to other haplotypes at similar frequency in the population, making selection signatures detectable (Liu et al., 2013).

Several haplotype-based methods, such as integrated haplotype score (iHS) (Voight et al., 2006), extended haplotype homozygosity (EHH) (Sabeti et al., 2002) and cross population EHH (XP-EHH) (Sabeti et al., 2007) have been implemented over the years in order to identify recent selective sweeps.

In terms of scope, these methods are complementary: whereas the first two tests look for incomplete positive selection footprints, XP-EHH detects positively selected alleles that are nearly fixed in one but not all populations.

A combination of iHS and XP-EHH analyses should yield a thorough list of candidate loci underlying recent local adaptation.

Here, we performed genome-wide analyses of selection, at species level using iHS and at the between-species level using XP-EHH on 48 individuals of Emperor and King penguins.

Specifically, we are interested in mapping the footprints of recent and ongoing selection in order to verify whether a more intense selection shift affected the Emperor penguin genome after colonization of Antarctica and whether the candidate genes, associated to positively selected regions, were potentially involved in adaptation to these extreme cold conditions. Signals of selective sweeps in progress might in fact be indicative of the presence of genetic variants that have some effect on the Emperor penguin's phenotypic variation.

These results could be beneficial for understanding the mechanisms of selection between two phylogenetically close, but ecologically divergent, species and can also provide insights into the genetic features of cold adaptation in general.

# **Material and Methods**

# *DNA sample collection, sequencing alignment and variant calling*

Samples from a total of 48 individuals of Emperor and King penguins (24 individuals of each species) were collected from colonies at the Mertz glacier (close to the French Dumont d'Urville Station), and at the German Neumayer Station in Antarctica, and from Crozet, Heard and South Georgia Islands, respectively. Additionally, a total of 6 individuals of Adélie and Gentoo penguins (3 individuals of each species) were sampled from colonies at Dumont d'Urville in Antarctica and in Crozet Islands, to be used as outgroups.

Multiple independent short-read sequencing (on two or three lanes) was performed on PCR-free libraries of double-barcoded genomic DNA extractions on HiSeq2500/4000 (Illumina, Inc.) at the Norwegian Sequencing Centre, University of Oslo, Norway. Paired-end reads were quality filtered using Trimmomatic (Bolger et al., 2014) and URQT (Modolo and Lerat, 2015), and mapped to the reference Emperor penguin genome (RefSeq assembly accession: GCF\_000699145.1) using BWA mem (Li and Durbin, 2009). Aligned reads were flagged for duplicates using the MarkDuplicates module in Picard tools (http://broadinstitute.github.io/picard/), sorted and indexed with SAMtools (Li et al., 2009). We employed Freebayes (Garrison and Marth, 2012) for haplotype-based population-aware joint variant calling using aligned reads with mapping quality higher than 20. Multiple nucleotide polymorphisms (MNPs) were then converted to SNPs using the script *vcfallelicprimitives* in the vcflib package (Garrison, 2016). SNPs were selected with the script *vcffilter* in the vcflib package according to the following criteria: snp calling quality higher than 30 (OUAL > 30), at least one read per strand (SAF > 0  $\&$  SAR > 0), and at least one read per read side (RPL  $> 0 \&$  RPR  $> 0$ ); indels and complex variants were discarded. SNPs were further filtered using vcftools (Danecek et al., 2011) discarding *i)* individual genotypes with coverage lower than 3 (--minDP 3), *ii)* loci with average individual coverage higher than 50 (--max-meanDP 50), and *iii*) not biallelic (--min-alleles 2; --max-alleles 2). SNPs were phased with Beagle (version 03Jul18.40b.jar; Browning and Browning, 2007) and polarized for ancestral/derived alleles leveraging the information from the two sister species and the two outgroup species by running a custom *python* script.

## *Identification of selective sweeps*

Two complementary EHH-based statistics, the integrated Haplotype Score (iHS) and the Cross Population Extended Haplotype Homozygosity (XP-EHH), were used to assess genome-wide signatures of recent and ongoing selection in the Emperor and the King penguin.

These approaches were developed to address the main issue affecting the original EHH test, i.e., the high number of false positives caused by the considerable influence of the demographic history of the tested population (Alvarez et al., 2020).

The iHS test compares the differential levels of linkage disequilibrium (LD) surrounding a positively selected allele and the background allele at the same position within a population (Voight et al., 2006). As a result, this haplotype-based test is less sensitive to demographic history (e.g., population bottlenecks) and it is best suited to identify incomplete sweeps where the allele under selection is not yet fixed in the population.

While iHS is a robust test for the identification of incomplete sweeps, the XP-EHH has an increased power than the EHH statistics to detect (almost) complete selective sweeps (Alvarez et al., 2020).

The XP-EHH test compares the frequencies of the selected haplotypes between two populations to detect sweeps that are close to fixation (Sabeti et al., 2007).

Both large positive and negative iHS and XP-EHH scores were treated as potentially informative. In the case of iHS, negative scores could suggest that a derived allele would have swept up in frequency whereas positive values could be indicative of a selective sweep in favor of an ancestral allele.

Regarding the XP-EHH, large positive and negative values would identify selection events in the studied population (the Emperor penguin) and in the reference population (the King penguin), respectively.

All estimates were performed using the program selscan v.1.0.4 (Szpiech and Hernandez, 2014) on 437 biallelic polarized scaffolds longer than 100 kb, fitting the parameters recommended by the authors: maximum EHH extension in bp ("–max-extend" option) 1000000, maximum gap allowed between two SNPs in bp ("–max-gap" option) 200,000, EHH decay cutoff ("–cutoff" option) 0.05 and, for the iHS test, minor allele frequency (MAF) threshold ("–maf" option) 0.05.

As the recombination rate was not available for these two species, we converted physical distance into genetic distance, assuming that 1 bp corresponded to 0.000001 cM. In this way, we generated a flat recombination map for each species.

Whatever the statistics computed, the output results for each SNP were frequency-normalized over all scaffolds using the program norm, included in the selscan package. This normalization was carried out using default parameters as well: number of frequency bins ("–bins" option) 100.

Assuming a normal distribution, the most extreme scores in the tails that diverged from the null expectation (values above 5.5 and below -5.5 in the iHS test and above 4.5 and below -4.5 in the XP-EHH test), were used to identify SNPs under selection in each species.

For both iHS and XP-EHH analyses, false discovery rates (FDR) were computed using the qvalue R package (Storey and Tibshirani, 2003) and SNPs corresponding to an FDR lower than 0.05 were considered significant.

Candidate SNPs, identified as being under selection by any of the test statistics, were annotated on the Emperor penguin genome (RefSeq assembly accession: GCF\_000699145.1) to identify the genes where they are located in. All the candidate SNPs that fell within the coordinates of the entire gene sequences were kept.

## *Functional characterization of the candidate regions*

To further analyze the functions of identified genes in each species, Kyoto Encyclopedia of Genes and Genomes (KEGG) pathway (Kanehisa and Goto, 2000) and Gene Ontology (GO) (Ashburner et al., 2000) enrichment analyses were performed using the functional annotation tool implemented in g:Profiler (Raudvere et al., 2019). GO and KEGG terms were assigned to candidate genes based on the Ensembl predictions for the annotated genes in flycatcher (*Ficedula albicollis*). GO terms and the KEGG pathway with FDR  $\leq$  0.05 and including at least three genes were

retained.

# **Results**

## *Candidate regions under selection*

The iHS test detected 592 and 2,582 candidate SNPs where either the ancestral or the derived allele have been under selection in the Emperor penguin genome; in the King penguin, 417 and 2,256 candidate SNPs associated to either the ancestral or the derived allele, exhibited signals of positive selection.

The available annotation of the Emperor penguin genome allowed to identify a total of 261 potential candidate genes for recent positive selection in the Emperor penguin and 198 in the King penguin. Overall, 65 of the total candidate genes exhibited signals of positive selection in both the species.

In the Emperor penguin,  $41\%$  (244) and  $45\%$  (1,174) of the total positively selected candidate SNPs, associated to either the ancestral or the derived allele, fell into genes; whereas, in the King penguin, the findings reported 59% (246) and 68% (1,541) of the total positively selected candidate SNPs, related to either the ancestral or the derived allele, falling into genes.

A total of 26,151 and 5,571 comparison-specific outliers, representing the top 0.001% of the empirical distribution of all the XP-EHH normalized values, showed signals of positive selection in the Emperor and in the King penguin, respectively. The significant positive outliers (FDR < 0.05) overlapped with 194 genes (corresponding to 6% of the total positively selected SNPs) in the Emperor penguin and 221 genes (corresponding to 28% of the total positively selected SNPs) in the King penguin. Moreover, four of the candidate genes under selection were in common between the two species.

After crossing the output of the two tests applied in each species, a total of 23 candidate genes were identified as being under recent positive selection in the Emperor penguin and 5 in the King penguin.

## *Identification of functional candidate genes linked to selection sweeps*

We analyzed whether candidate genes under selection were enriched for specific functions by performing GO and KEGG enrichment analyses.

In the Emperor penguin iHS output, we found 15 GO terms that were significantly enriched (FDR  $\leq$  0.05), all related to nervous system development and phosphorus metabolic process. While we found no significantly enriched GO terms in the empirical tails of iHS for the King penguin.

In contrast, in the XP-EHH output, we found enrichment of several terms including numerous biological processes (Fig. 1). For example, the Emperor penguin showed an enrichment of genes involved in heart contraction (GO:0060047), blood circulation (GO:0008015) and circulatory system process (GO:0003013). Whereas, in the King penguin, GO terms related to regulation of phospholipid metabolic process (GO:1903725), homeostatic process (GO:0042592) and response to lipid (GO:0033993) were enriched.

Enriched KEGG pathways overlapped between candidate gene sets identified by iHS and XP-EHH analyses for the Emperor penguin (Fig. 2). In the iHS test, we found enrichment for pathways related to vascular smooth muscle contraction, circadian entrainment, sodium conservation, blood pressure regulation, cold-induced thermogenesis, lipolysis, stress response and circulatory system activity. Interestingly, we also found strong enrichment of the thyroid hormone signaling pathway, cortisol synthesis, insulin secretion and ATP production in candidate genes under selection identified by XP-EHH.

Although no evidence for KEGG enrichment emerged for genes that showed signals of ongoing selection in the iHS test for the King penguin, we found some relevant KEGG pathways enriched in the candidate genes detected by XP-EHH (Fig. 2). Several pathways were found to be in common with the Emperor penguin, such as: thyroid hormone signaling pathway, vascular smooth muscle contraction, stress response, circadian entrainment and sodium conservation.

Among the candidate genes which showed clear evidence of selection by both iHS and XP-EHH in the Emperor penguin, some could contribute to the adaptation to harsh cold conditions. For instance, CACNA1C and PRKG1 are involved in shivering and heat loss minimization by regulating blood vessel constriction and NPR1 plays a key role in cardiovascular homeostasis.



**Figure 1.** GO enrichment for the candidate genes found by the XP-EHH test in the Emperor (blue) and in the King penguin (orange).



**Figure 2.** KEGG pathways for the candidate genes found by the iHS test in the Emperor penguin (pink) and by the XP-EHH test in the Emperor (red) and in the King penguin (black).

# **Discussion**

# *Emperor penguin colonization of a more extreme habitat*

We used whole-genome data to identify signals of recent positive selection in the Emperor penguin and in its closest relative, the King penguin. Both the haplotype-based selection scans applied found the strongest signatures of selection in the Emperor penguin, showing a higher number of candidate SNPs under selection. As Antarctica colonization is a relatively novel event, it is reasonable to observe a higher signature of incomplete selective sweeps in the Emperor penguin; indeed, the adaptation process to this new, more extreme, environment may have been, and continues to be, more intense and affect a wide range of phenotypic traits (and therefore genetic loci).

Moreover, this pattern further supports the hypothesis of a derived, recent, adaptation of the Emperor penguin to the Antarctic environment from a less cold-adapted ancestor, more ecologically similar to the King penguin.

The strongest selection signal was observed for the derived alleles, and we found that a large number of the putative positively selected genes (25% in the Emperor and 31% in the King penguin) were the same in the two species, suggesting some common adaptive biological pathways although we did not find the same genes in any common enriched pathways. An alternative explanation is that these genes might be located in regions of low recombination in which large portions of DNA are swept to fixation by selection events (Hudson, 1995).

Interestingly, both the iHS and XP-EHH analyses revealed a much larger number of SNPs, among those detected as being under selection, falling into annotated genes in the King than in the Emperor penguin. This could indicate that, in the latter, selective pressure has acted most on noncoding DNA regions and therefore on elements that regulate gene expression. A growing body of evidence supports the role of recurrent positive selection on noncoding DNA in the divergence observed between species (Zhen et al., 2012).

# *Genes under recent positive selection in the Emperor penguin are related to adaptations to the extreme Antarctic cold*

Haplotype-based methods detect candidate alleles for recent and ongoing selection that are likely to underpin local environmental adaptation.

GO and KEGG enrichment analyses allowed to identify various functional terms associated directly or indirectly with environmental adaptation, such as circadian entrainment, blood pressure regulation, cold-induced thermogenesis and stress response. Specifically, some of the KEGG pathways depicted particular genetic aspects of adaptation to harsh cold in the Emperor penguin.

The same set of genes was found to be responsible for the enrichment of both the cardiovascular and lipid metabolism pathways, probably because of their pleiotropic action. In addition, other genes contributed to the enrichment of all the previously mentioned pathways.

## *Genes associated with cardiovascular function*

In Antarctica, Emperor penguins have to cope with temperatures as low as −40 °C and forage in waters of −1.8 °C (Williams et al., 2015).

The increased internal insulation of the Emperor penguins is allowed by a powerful peripheral vasoconstriction and an enhanced countercurrent arteriovenous heat exchange system (Johansen and Bech, 1983).

Our analyses revealed 19 positively selected candidate genes associated with cardiovascular function. Some of these genes (ADCY2, ADCY5, GUCY1A2, PLA2G4A, PRKG1, PIK3CB) are involved in erythrocytes and platelets generation.

Others (ADCY5, CACNA1D, GUCY1A2, NPR1, PDE1C, CACNA1C) are linked to the control of blood pressure through renin secretion, while six candidate genes (ADCY2, ADCY5, CACNA1D, DMD, ITGB5, SGCG, ATP2A3, CACNA1C, CTNNA3, TPM4) are associated with cardiomyopathy in humans and other mammalian model organisms.

However, the most enriched pathway resulted to be the one involved in vascular smooth muscle contraction (ADCY2, ADCY5, CACNA1D, GUCY1A2, NPR1, PLA2G4A, PRKG1, RAMP3, ARHGEF11, CACNA1C, ATP2A3).

Homeotherms preserve a high core body temperature in response to cold by regulating blood pressure through the constriction of blood vessels. In penguins, peripheral vasoconstriction takes place in the appendages, preventing heat loss by reducing the temperature gradient between the body and the environment (Lewden et al., 2020). This is reasonable since flippers and feet are poorly insulated and relatively fat free structures.

Among the candidate genes related to this pathway, five (CACNA1C, PRKG1, GUCY1A2, NPR1) showed evidence of selection by both the iHS and XP-EHH tests. Moreover, PRKG1 was found to be positively selected also in previous studies on human populations living in Siberia (Cardona et al., 2014) and on Yakutian horses (Librado et al., 2015).

## *Genes associated with adipose tissue and lipid metabolism*

Throughout the breeding season, Emperor penguins experience prolonged periods of fasting, during which they survive mainly thanks to lipid reserves previously accumulated in the subcutaneous adipose tissue (Robin et al., 1988).

Our analyses revealed signatures of recent selection in four candidate genes (ADCY2, ADCY5, NPR1, PRKG1, PIK3CB) involved in the regulation of lipolysis in adipocytes.

During times of energy deprivation, adipose tissue's lipid deposits undergo an extensive hydrolysis process to generate fatty acids and glycerol that are released into the vasculature and used as energy substrates by other organs (Duncan et al., 2007).

The ability to quickly mobilize fat stores to meet energy demands is an example of a highly adapted metabolic response.

## *Genes associated with cold-induced thermogenesis*

In a cold environment, an efficient endothermy necessitates both an integrated system of monitoring and regulating body temperature and a powerful thermogenesis (Raccurt et al., 2008). Brown adipose tissue not only represents an isolative layer and an energy reserve, but it is where the non-shivering thermogenesis process occurs.

The oxytocin signaling pathway included seven candidate genes (ADCY2, ADCY5, CACNA1D, GUCY1A2, NPR1, PLA2G4A, RYR3). Several studies supported the role of endogenous oxytocin in stimulating brown adipose tissue thermogenesis by allowing for adaptation for cold. The expression of this neuropeptide hormone, produced by hypothalamus, was reported to be upregulated following cold exposure and to participate in brown adipose tissue activation (Talash et al., 2021).

Environmental cold stimulates brown adipose tissue thermogenesis through complex neural networks in the central nervous system which transmit afferent signals from cutaneous thermal receptors to brain thermosensitive neurons (Morrison et al., 2012). The preoptic area is the main control centre for body temperature and contains GABAergic neurons (Tappaz et al., 1977) that exert control over the thermoefferent mechanisms (Osaka, 2004).

The iHS test found five candidate genes (ADCY2, ADCY5, CACNA1D, GABBR2, GABRG3) enriched in the GABAergic synapse pathway, indicating an adaptive response to maintain body temperature in response to extremely low temperatures.

# *Potential limitation of the linkage disequilibrium approach*

Compared to the gene-based methods that detect selective events occurring within the deep past at a macroevolutionary level (Yang, 2007), the linkage disequilibrium-based approaches identify putative regions of partial or incomplete selective sweeps at a microevolutionary level (Sabeti et al., 2007). Variants discovered by these latter methods are likely to be newly arisen as longhaplotype tests have limited sensitivity for detecting selection on standing (pre-existing) variation (Teshima et al., 2006).

Therefore, iHS and XP-EHH are suitable tests to identify putative new selected alleles that arose after the Emperor penguin's colonization of Antarctica, as unusually long haplotypes are unlikely to survive recombination effects for more than 1,000 generations.

However, iHS performance decreases in power if the populations experienced strong bottlenecks (Huff et al., 2010). This means that the test may have been more efficient in detecting signatures of selective sweeps in the Emperor penguin, as this species has been characterized by a much more stable population size over time (Cristofari et al., 2016) compared to the King penguin, which experienced two severe bottlenecks during its demographic history (Trucchi et al., 2014; Cristofari et al., 2018)

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# **4. Comparative transcriptomics reveal candidate genes for adaptation to Antarctic environment in the Emperor penguin**

This section includes the draft manuscript:

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"Comparative transcriptomics reveal candidate genes for adaptation to Antarctic environment in the Emperor penguin";

in preparation.

# **Introduction**

The adaptation of populations to deeply different environments is one of the major speciation mechanisms (Darwin, 1859; Schluter, 2000; Coyne and Orr, 2004; Nosil, 2012). In this process, populations adapting to alternative ecological niches will accumulate genetic differences due to divergent selection (McGirr and Martin, 2020).

The contribution of gene expression in generating morphological novelty and its role in adaptive divergence remain poorly understood; however, several studies have identified relevant candidate genes in specific tissues or life stages of ecologically divergent species, demonstrating that variation in gene expression was important in the process of ecological speciation (Tautz, 2000; Wittkopp et al., 2008; Chan et al., 2010; Jones et al., 2012; Hanikenne et al., 2013).

When a population colonizes a new environment, gene expression becomes crucial in guaranteeing population persistence and can mediate phenotypic plasticity and contribute to adaptive divergence (Pavey et al., 2010). The genetic divergence in adaptive traits over time, eventually leads to reproductive isolation between populations (Pavey et al., 2010) with a significant impact on species diversification.

Aside from changes in coding genes, changes in gene expression may speed up adaptive evolution especially under strong selection pressures over short timescales (Brauer et al., 2017; Uusi-Heikkilä et al., 2017; Jones et al., 2012).

Here we used the two penguin species of the *Aptenodytes* genus, *A. forsteri* (the Emperor penguin) and *A. patagonicus* (the King penguin), as a model system to study adaptive divergence between two phylogenetically close species and investigate how changes in gene expression contributed to Emperor penguins' adaptation to an extreme cold environment.

The Emperor penguin is the only warm-blooded vertebrate that can survive and reproduce in the harshest Antarctic winter, dealing with extreme low temperatures and high winds as well as drastic seasonal fluctuations in daylight length (Blix, 2016; Goldsmith and Sladen, 1961). Whereas, its closest relative, the King penguin, breeds only on year-round ice-free sub-Antarctic islands and in Tierra del Fuego.

The common ancestor of the two Aptenodytes species was most likely adapted to a less cold climate, as the King penguin, thus the extreme cold adaptation of the Emperor penguin would be a derived feature which evolved secondarily (Pirri et al., 2021; Vianna et al., 2020).

Emperor penguins possess a wide range of unique morphological, physiological and behavioral adaptations to withstand the extreme Antarctic environment, such as a powerful peripheral vasoconstriction to reduce heat losses (Thomas and Fordyce, 2008), densely packed feathers useful for thermal insulation (Watson, 1883; Taylor, 1986) and an efficient energy storage management system for long-term fasting (Groscolas, 1990; Cherel et al., 1994; Groscolas and Robin, 2001). The Emperor penguin's unique tolerance to these extreme environmental conditions may have been acquired within a relatively short period of time (ca. 1-2 Mya; Gavryushkina et al., 2017).

To explore the relevance of gene expression changes in adaptation to the extreme cold Antarctic environment, we compared transcriptomic data of the Emperor penguin with those of its less coldadapted relative, the King penguin, by performing differential gene expression analysis across multiple tissues.

Most comparative studies on cold adaptation have been undertaken using genomic approaches, whereas the gene expression patterns based on transcriptomic data have been less investigated and strictly focused on plants (Yang et al., 2015; Miao et al., 2021; Grønvold et al., 2017; Li et al., 2019), bacteria (Raymond-Bouchard et al., 2018; Teoh et al., 2021), fishes (Ansaloni et al., 2021; Song and McDowell, 2021; Kavembe et al., 2015; Chen et al., 2008; Shin et al., 2012), insects (Schoville et al., 2021) and molluscs (Liu et al., 2020).

The recent advancement of high-throughput sequencing technologies has enabled the simultaneous quantification of thousands of genes' expression across diverse organs and tissues, enhancing our ability to understand the molecular mechanisms that drive evolution (Guo et al., 2015).

RNA-Seq generates a vast amount of data about transcription levels allowing for a thorough examination of global gene expression patterns as well as boosting the efficiency of identifying the genes of interest (Costa et al., 2010).

Gene expression patterns may reveal genes involved in adaptations that are difficult or impossible to detect in other ways and that underlie possibly relevant phenotypes for ecological divergence, also in non-model organisms (Feder and Mitchell-Olds, 2003; Costa et al., 2010). The last aspect is particularly significant because our understanding is currently confined to a small number of taxa (Ghiselli et al., 2018).

Here, we first used total mRNA-Seq data from 5 tissues of 3 individuals per species to *de novo*  assemble the first reference transcriptome of the Emperor and the King penguin. Then, we explored transcriptomic differences at intraspecific and interspecific levels by analyzing QuantSeq 3'mRNA-Seq data from a large number of tissue samples (100 samples from 5 tissues of 10 individuals from natural populations of each species), in order to elucidate the molecular mechanisms behind the adaptation of these two penguin species to contrasting habitats.

Our analyses concerned tissues that could exhibit the major genetic differences for cold adaptation comparing the two species: skin (thermal insulation), liver (lipid and fatty-acid metabolism), brain (cold tolerance), muscle (thermogenesis) and kidney (osmoregulation).

In general, the expression profiles revealed a characterizing tissue-clustered pattern and a number of differentially expressed genes which, in the Emperor penguin, could be the candidates underlying its relevant adaptations to the Antarctic lifestyle.

Moreover, our *de novo* transcriptomes for the two Aptenodytes penguin species, that we describe and characterize here for the first time, will significantly contribute to the genomic resources already available for penguins, allowing future analysis and downstream applications of genome annotation, gene expression, and sequence evolution.

# **Material and Methods**

## *Samples collection and preparation*

From June to September 2016, samples of five different tissues (brain, liver, kidney, skin and muscle) were collected from 10 freshly-predated 3-7 months old chicks from natural populations of Emperor and the King penguin, respectively, for a total of 100 samples. Samples were collected at colonies near the Dumont d'Urville Station in Antarctica and the Alfred Faure station in Crozet Islands, respectively. All tissue samples used in this study were collected immediately after death, directly fixed in RNAlater (Applied Biosystems, Warrington, UK) and transferred to a −80°C laboratory freezer.

## *RNA extraction, RNA-seq library construction and sequencing*

Total RNA was isolated from 40 mg of each tissue sample by a standard laboratory-based chloroform extraction after homogenization in 500 ul of TRIzol® reagent (Invitrogen, ThermoFisher Scientific).

100 μl of chloroform was added and samples were vortexed vigorously. Samples were subsequently centrifuged 12,000×g for 15 min at 8°C. The upper aqueous phase was collected and transferred to a new tube for alcohol precipitation with isopropanol. The subsequent RNA/isopropanol solution was centrifuged at 12,000×g for 10 min at 8 °C. The RNA pellet was washed with 75% ethanol and centrifuged at 7,500×g for 5 min at 8 °C. Ethanol was removed and the RNA pellet was resuspended in RNase free water and stored at -80C°.

RNA extraction from skin and muscle is challenging, as the large amount of contractile proteins, connective tissue, and collagen of these tissues are extremely difficult to homogenize.

Attempts to isolate total RNA from skin and muscle using TRIzol resulted in poor yields and low purity; therefore, RNA from these two tissues was extracted using the RNeasy Fibrous Tissue Mini Kit (Qiagen) according to the manufacturer's instructions. Also in this case, isolated RNA was dissolved in RNase free water and stored in -80C°.

An aliquot of the extracts was used to assess the concentration and purity (i.e., the A260/A280 ratio) of each RNA sample by Nanodrop 2000 (Thermo Fisher Scientific) and Qubit 4.0 fluorometer (ThermoFisher Scientific). RNA integrity was evaluated by UV transilluminator and Agilent 2100 Bioanalyzer (Agilent technologies, Santa Clara, CA).

Along with the 100 tissue samples (10 biological replicates of 5 tissues for each species), we pooled 5 different tissues, from 3 specimens of each species, based on their RNA concentrations, for a total of 6 RNA pools (3 RNA pools for each species) required for assembling the reference transcriptome for each species.

RNA-seq library preparation and sequencing was carried out by BMR Genomics Service (Padova, Italy).

Libraries were synthesized for each of the 3 pooled samples of each species using the TruSeq Stranded mRNA Sample Prep kit (Illumina, San Diego, CA), according to the manufacturer's instructions.

Poly-A mRNA was fragmented for 3 minutes at 94°C, and each purification step was carried out with  $1 \times$  Agencourt AMPure XP beads. Following the manufacturer's instructions, libraries were processed with the Illumina cBot for cluster generation on the flow cell.

Paired-end sequencing (100 bp from each end) was then performed on the Novaseq 6000 (Illumina, San Diego, CA) at a sequencing depth of 20 million reads per library.

Secondly, libraries were also prepared from the extracted RNA from 5 different tissues of 10 individuals of each species using the QuantSeq 3'mRNA-Seq Library Prep Kit (Lexogen, Vienna, Austria), per the manufacturers' instructions using 1 μg of RNA per library.

The generation of these libraries was initiated by oligo-dT priming, without the need for prior poly(A) enrichment or ribosomal RNA depletion (Moll et al., 2014).

The pooled libraries were sequenced using a NextSeq500 instrument (Illumina, San Diego, CA) for single-end 75 bp read lengths at a sequencing depth of 5 million reads per library.

QuantSeq provides an accurate method for gene expression measurement, also at low read depths. It generates only one fragment per transcript, making the number of reads mapping to a gene proportional to its expression (Moll et al., 2014).

## *De novo assembly of the Emperor and the King penguin transcriptome*

Separate assemblies were made for *A. forsteri* and *A. patagonicus* paired-end (PE) Illumina sequencing reads using the same bioinformatic pipeline and the total mRNA Seq data from the three pools for each species.

First, raw reads quality was examined using FastQC v0.11.9 (Andrews, 2010) and MultiQC (Ewels et al., 2016). Trimming was performed on fastp v0.20.1 (Chen et al., 2018) by removing Illumina sequencing adapters and low-quality bases on a sliding window approach (size  $= 4$ , minimum average quality  $= 15$ ) and enabling polyX and polyG tails elimination.

The resulting trimmed sequences shorter than 71 bp were discarded and quality of the remaining reads was evaluated again with FastQC and MultiQC.

We deemed a *de novo* assembly to be more appropriate in order to prevent any bias that a genomeguided approach might have introduced. We performed *de novo* transcriptome assembly, separately for each species, using the Oyster River Protocol (ORP) version 2.2.5 (MacManes, 2018).

By taking advantage of the strengths of different assembly tools, the ORP pipeline improves assembly quality and mapping rate, recovering expressed transcripts that may be missed by individual assemblers (MacManes, 2018).

The ORP started by error-correcting trimmed reads using Rcorrector version 1.0.4 (Song and Florea, 2015). The remaining reads were then assembled using three different *de novo* assemblers and dissimilar kmer lengths: Trinity release 2.11.0, with kmer length  $= 25$  and without read normalization (Haas et al., 2013), rnaSPAdes version 3.14.1 with kmer length = 55 and 75 (Bushmanova et al., 2019), and Shannon version 0.0.2 with kmer length = 75 (Kannan et al., 2016). Contigs that were expressed at less than 1 transcript per million were removed with the "TPM  $FILT = 1" flag.$ 

The process above resulted in four distinct assemblies that were then merged and clustered into isoform groups using OrthoFuse (MacManes, 2018).

After Orthofuse has finished, the merged assembly was run through a modified version of TransRate v.1.0.3 (Smith-Unna et al., 2016), which is packaged with the ORP, and the best (= highest contig score) transcript from each group was placed in a new assembly file to represent the entire group. The resultant file, containing the top scoring contig for each orthogroup, was used for all downstream analyses.

Contigs derived from ribosomal and mitochondrial DNA were detected with BLASTn (Altschul et al., 1990) on the commercially available CLC Genomic Workbench 4.5.1 (CLC Bio, Katrinebjerg, Denmark), based on significant similarity (e-value threshold  $\leq$  1e-37), against a dataset containing all the Sphenisciformes mitochondrial and ribosomal sequences deposited in Genbank, and consequently removed from both the assemblies. This step was then repeated using an e-value threshold < 1.66e-30 against a dataset represented by all the Neognathae complete mitochondrial and ribosomal sequences deposited in Genbank. Again, all contigs that found a match were removed from both the assemblies.

Lastly, to ensure the creation of mitochondrial and ribosomal sequences-free assemblies, the complete set of trimmed reads of each species were mapped to the filtered reference transcriptome using Salmon v1.5.2 (Patro et al., 2017) and the identity of the most overrepresented transcripts was determined with BLASTn (Altschul et al., 1990).

As a final step, only transcripts longer than 250 bp were kept.

# *Assembly quality assessment*

The overall quality of the reference transcriptome assembly for each species was evaluated with BUSCO v.5.2.2 (Simão et al., 2015). The analysis of the Benchmarking Universal Single-Copy Orthologs allowed the estimation of completeness of our two assembled transcript sets by comparing them to the predefined set of 8338 Aves highly conserved single-copy orthologs from the OrthoDB v9.1 database (Zdobnov et al., 2017). We calculated the number of complete (length is within two standard deviations of the mean length of the given BUSCO), duplicated (complete BUSCOs represented by more than one transcript), fragmented (partially recovered BUSCOs) and missing (not recovered) in each of the two *de novo* assemblies.

We also used TransRate version 1.0.3 (Smith-Unna et al., 2016) in order to further assess the confidence and completeness of each assembly.

Additionally, we calculated the ExN50 statistics as a better measure of the assembly contiguity. According to standard Nx length statistics, at least x% of assembled transcript nucleotides are found in contigs of at least Nx length. ExN50 statistics seems more appropriate for transcriptome data (Haas et al., 2013) as in this case the N50 value is computed based on the top highly expressed transcripts, such that the subset accounts for x% of gene expression.

When the ExN50 has a maximum value of "x" greater than 90%, the assembly is deemed to have good coverage and deeper sequencing is unlikely to result in a higher-quality assembly (Galachyants et al., 2019).

The expression levels were estimated by mapping back the reads to the assembled transcripts of each species using Salmon and the statistics were generated by Trinity accessory scripts (Haas et al., 2013).

## *Transcript functional annotation*

Functional annotation was conducted using the annot.aM pipeline [https://gitlab.com/54mu/annotaM].

First, Transdecoder v.5.5.0 (Haas et al., 2013) was used to identify open reading frames (ORFs) and translate all contigs to putative protein sequences. Then they were annotated by searching against the UniProtKB/Swiss-Prot database using BLASTp and BLASTx (Altschul et al., 1990), allowing the assignation of the homology IDs via the best hit (e-value threshold  $\leq$  1e-5).

These homologies were used to associate each transcript to cell component, molecular function and biological process Gene Ontology (GO) terms (Ashburner et al., 2000) and Reactome pathways annotations (Fabregat et al., 2017).

Protein sequences were also analyzed with Hmmer v.3.3.1 (Finn et al., 2011), searching for conserved domains included in the Pfam 31.0 database (Punta et al., 2012).

# *lncRNA detection and annotation*

Long non-coding RNAs (lncRNAs), which have lengths of 200 base pairs or longer, are unlikely to produce proteins but they still may play a key role in eukaryotic gene regulation (Han et al., 2019).

To identify putative lncRNAs in the transcriptome assembly of each species, we performed a series of filtering steps to exclude potential protein-coding RNAs.

First, we selected transcripts with a size greater than 500 bp from the set of sequences for which an ORF has not been predicted by TransDecoder.

The size cutoff was totally arbitrary, but it allowed to exclude the majority of known but still poorly understood classes of small infrastructural and regulatory RNAs, such as tRNAs, small nuclear RNAs, small nucleolar RNAs and their derivatives, microRNAs, short interfering RNAs, Piwiinteracting RNAs, transcription-initiation RNAs and small RNAs that regulate splicing (Morris and Mattick, 2014).

We then excluded from the list of putative lncRNAs, all transcripts that have been annotated by searching against the UniProtKB/Swiss-Prot database using BLASTx.

The remaining transcripts were intersected through a BLASTx search with a custom database containing all the 99.009 complete and partial protein sequences of 7 species (*Calonectris borealis*, *Fregetta grallaria*, *Fulmarus glacialis*, *Hydrobates tethys*, *Oceanites oceanicus*, *Pelecanoides urinatrix*, *Thalassarche chlororhynchos*) belonging to the Procellariiformes order, the Sphenisciformes sister taxon, deposited in NCBI. All the hits with an e-value greater than 1e-5 were kept.

A BLASTn search was then carried out on CLC Genomic Workbench against a custom database encompassing all the 104,235 mRNA sequences of the seven Procellariiformes species previously selected. Again, all the hits with an e-value greater than 1e-5 were kept.

As the final step, the putative lncRNAs were identified by searching against the reference genome of each Aptenodytes species using BLASTn on CLC Genomic Workbench based on an e-value threshold of 1e-5 and a greatest identity score of 98%.

In order to assess how many putative lncRNAs were shared by the two Aptenodytes species, we used cd-hit-est version 4.8.1 (Li and Godzik, 2006) and a 90% sequence similarity threshold.

The expression levels of the final putative lncRNAs were calculated using the transcripts per million (TPM) derived from the mapping of the trimmed reads to each species reference transcriptome using Salmon with default parameters.

# *Differential expression analyses*

# *Comparing the transcriptional profiles across tissues in each species*

The 3'end reads from each of the 10 biological samples of all five tissues (brain, liver, kidney, muscle, skin) of each species were trimmed using fastp by removing Illumina sequencing adapters, low quality bases and polyX and polyG tails. Trimmed reads quality was then evaluated with FastQC and MultiQC.

Filtered reads of each species were mapped to the reference transcriptome using Salmon, in order to have a transcript-level abundance estimation across tissues in each species separately. We set the --validateMappings option to limit multi-mapping by avoiding re-computing alignment scores against redundant transcript sequences, --seqBias to correct for sequence-specific biases such as random hexamer priming bias and --gcBias to correct for fragment GC content as FASTQC and MultiQC revealed a high GC percentage in all samples.

The expected read count of each transcript across all samples of each tissue was combined into a matrix for each species and normalized using the trimmed mean of the M- values (TMM) protocol, a robust normalization method that equalizes the overall expression levels of genes across samples assuming that most of them are not differentially expressed (Robinson and Oshlack, 2010).

Only genes with at least 10 reads in at least seven samples of the same tissue were kept. This aimed at removing genes too lowly expressed for establishing any worthwhile significant differences and thus limit false positives.

In addition to a difference in sequencing depth between samples, RNA-Seq data may suffer from another problem, a mean-variance relationship, i.e. heteroskedasticity (variance of fold change depending on mean count). This phenomenon implies that weakly expressed genes seem to show much stronger differences than highly expressed genes (Love et al., 2014).

Data heteroskedasticity was evaluated by plotting the mean CPM (Counts per Million) for each transcript across all biological replicates of each tissue against the standard deviation.

The edgeR estimateDisp function (Robinson et al., 2010) was used on the design matrix to estimate the common dispersion and thus the variability across the dataset. The dispersion estimate over all genes was represented in a BCV (biological coefficient of variation) plot showing the square root of the common dispersion (i.e., BCV) for each gene. BCV is the coefficient of variation with which the (unknown) true abundance of the gene varies between biological replicates of RNA samples (Robinson et al., 2010).

Prior to differential expression (DE) analysis, we performed a multidimensional scaling (MDS) in the RStudio package (RStudio Team, 2020), based on the adjusted gene expression matrix, in order to visualize the similarity of expression patterns across samples of the same tissue in each species. DE analyses were conducted at a transcript level in pairwise comparisons between the five different tissues (each tissue against the other four), in each species separately, using edgeR.

The glmQLFit function and the glmQLFTest function were employed to discover which genes were differentially expressed in each pairwise comparison based on a negative binomial Generalized Linear Model (GLM) (McCarthy et al., 2012).

Genes with significant results (FDR  $\leq$  0.05) and fold change (FC)  $>$  5 were identified as differentially expressed (DEGs) in each comparison.

DEGs from all the pairwise comparisons based on the same reference tissue, were merged into a single list and each DEG was kept just once so that only the most peculiar genes expressed in that specific tissue in each species were retained.

Moreover, to filter out noise from the sets of DEGs of each tissue, we set an expression threshold based on TPM, specific for each tissue of each species. Only DEGs which contributed to 90% of the total expression of that particular tissue were retained.

TPM gene expression values were added 1 unit and log 10 -transformed before being plotted in a heatmap which groups transcripts with similar expression trends based on Euclidean distance and average linkage criteria.

To determine the biological function of the DEGs for each tissue for each species, we performed functional enrichment analysis with a hypergeometric test using all annotated reference genes as the background list (Falcon and Gentleman, 2008).

Significant GO and Pfam enrichment was determined for FDR lower than 0.05, paired with a difference between observed and expected values higher than 1.

## *Comparing the transcriptional profiles between the two Aptenodytes species*

We then performed a DE analysis to compare gene expression of the same tissue between the Emperor and the King penguin. For this purpose, we chose to align both species to the same reference genome (the Emperor penguin one) rather than to the *de novo* assembled transcriptome of each species followed by reciprocal alignment. Indeed, when we mapped the orthologous genes of the two species to the reference transcriptome assembly of each species, a strong unlikely species-specific expression signal emerged: samples of different tissues from the same species clustered together rather than with samples of the same tissue from the other species. A possible explanation is that the reads of the ortholog genes mapped unevenly in the two transcriptomes, due to the absence of the 3'UTRs of several orthologous genes in the transcriptome of one species compared to the other.

On the other hand, mapping to the genome reduces the proportion of poorly aligned reads while increasing alignment rates (Delhomme et al., 2014).

We did not expect any particular bias from using a single reference for both species as the genetic divergence between them was estimated to be less than 1% by computing the average number of differences between pairs of sequences of the two species (Dxy) on a 2kb region located at the 3'UTR.

Trimmed 3'end reads of each sample of both species were mapped to the *A. forsteri* reference genome (RefSeq assembly accession: GCF\_000699145.1) using STAR v.2.7.9a (Dobin et al., 2013).

After indexing the resulting bam files with SAMtools v.1.12 (Li et al., 2009), the count of overlapping reads for individual genes (that is, all transcript isoforms for that gene) was carried out with HTseq (Anders et al., 2015). Multi-mapped and overlapping multiple expression features reads were discarded. This did not affect the ratio of expression strength (i.e., the FC) between samples as the same fraction of reads were removed in all samples. Applying this filter, the likelihood of generating false positives has been reduced.

All counts for each sample were then merged in one matrix for each species and then normalized through the TMM method incorporated into edgeR.

Based on this normalized gene expression matrix, we performed a MDS analysis to assess the similarity of expression patterns across the same tissues in the two different species.

Only genes with an expression value greater than 0.5 CPM in at least 3 biological replicates of each tissue in each species were retained for downstream analyses; as a result, genes that had consistently very low counts across all the samples have been removed. From a statistical point of view, low counts do not provide enough statistical support to classify those genes as significantly differentially expressed (Chen et al., 2016).

edgeR was used to perform comparisons between expression levels of genes of the same tissue between the two sibling species based on a negative binomial GLM (brain Emperor vs brain King, liver Emperor vs liver King, kidney Emperor vs kidney King, skin Emperor vs skin King, muscle Emperor vs muscle King).

From each comparison, significant genes (FDR  $\leq$  0.05) showing a positive -log<sub>2</sub>FC value > 2 were considered as up-regulated in the Emperor penguin while those with a negative -log<sub>2</sub>FC value  $\leq$  -2 were considered as up-regulated in the King penguin.

We produced a volcano plot for each pairwise tissue comparison, using the RStudio package, in order to visualize those candidate DEGs which displayed the greatest significant expression changes.

DEGs obtained from the comparative analyses in edgeR were used to perform functional annotation and pathway enrichment analyses.

We tested candidate genes for functional GO terms enrichment and KEGG biological pathways by using the g:GOSt function in g:Profiler (Raudvere et al., 2019) and flycatcher (*Ficedula albicollis*) as reference species. Significantly enriched categories included at least two genes and the Benjamini-Hochberg method was used for multiple testing correction to estimate significance  $(p \le 0.05)$ .

Interproscan v.5.34-73.0 (Jones et al., 2014) was then used to perform conserved domain search in the Pfam database.

In order to visually explore physical, biochemical and regulatory interactions between upregulated gene products and gain insights into underlying biological processes, we used NetworkAnalyst 3.0 (Xia et al., 2015) to build tissue specific protein-protein interaction (PPI) networks for each species. Specifically, we created minimum interaction networks to keep only those nodes (proteins) that were necessary to connect the seed nodes (up-regulated gene products); the underlying protein interaction data were obtained from DifferentialNet database (Basha et al., 2018) using *H. sapiens* as a model organism.

The 20 most prominent up-regulated genes in each tissue of each penguin species were then characterized based on the gene function description from the human gene database GeneCards (Stelzer et al., 2016).

# **Results**

#### *The Emperor and King penguin reference transcriptome assembly and annotation*

All RNA was high quality; A260/280 ratios were  $\sim$  2 in all three RNA pools of each species and all samples resulted to have a RNA integrity number (RIN) greater than 6.

RNA-seq libraries yielded between 32 and 42 million paired-end reads per pool. Quality filtering removed approximately 6% of the raw reads. This resulted in high quality RNA-seq datasets, which contained a total of 208.5 million and 183.7 million paired-end reads for the Emperor and the King penguin respectively.

All filtered reads were combined into a single dataset for each species and used to *de novo* assemble a reference transcriptome.

In total, 106,060 contigs with an average length of 1,047 bp and an N50 length of 2,429 bp were obtained in the Emperor penguin transcriptome, accounting for a total assembly size slightly higher than 111 Mb; whereas in the King penguin transcriptome, 806,05 contigs with an average length of 1,291 bp and an N50 length of 2,511 bp were obtained, accounting for a total assembly size slightly higher than 104 Mb (Table 1).

The reference transcriptome assembly of each species was then used in the following differential expression analysis at intraspecific level.

By mapping the paired-end reads for each species back to their transcriptome, we detected good sequencing read coverage especially for the Emperor transcriptome. The transcript expression analysis showed that the assembled transcripts were covered by 82.3% of the Emperor penguin reads and 78.6% of the King penguin reads.

Assembly E90N50 (the contig N50 value computed on the set of transcripts representing the top most 90% of expression data) was 3,377 bp in the Emperor and 3,367 bp in the King hence higher values than those based on the entire data set, suggesting good quality transcriptome assembly (Table 1).

While size-based metrics can be employed to evaluate assembly continuity, they cannot be utilized to determine assembly completeness.

The quality of both the reference transcriptomes was evaluated by searching against single-copy orthologs (8338 genes shared within the Aves lineage) using BUSCO. The results showed that 7,196 (86.3%) and 7,022 (84.2%) complete BUSCOs were included in the current reference transcriptome for the Emperor and the King penguin, respectively (Table 1).

Only 9.9% (Emperor penguin) and 11.6% (King penguin) of the 8338 single-copy orthologs were classified as missing from our assemblies, suggesting good coverage and high level of completeness of the protein-coding transcriptomes for these species (Table 1). At the same time, they both encompassed a very high proportion of contigs containing complete open reading frames, as evidenced by the detection of just 3.8% (Emperor penguin) and 4.2% (King penguin) fragmented BUSCOs (Table 1).

These BUSCO values indicated great levels of completion considering that the assemblies were generated from a small number of tissues and a single developmental stage.

**Table 1.** General metrics and BUSCO values for *de novo* transcriptome assemblies of *A. forsteri* (Emperor penguin) and *A. patagonicus* (King penguin) based on paired-end total mRNA sequencing.

*General assembly metrics A. forsteri A. patagonicus*



## *BUSCO results*



annot.aM provided functional annotation for 56,299 (53%) transcripts for the Emperor penguin and for 55,297 (69%) transcripts for the King penguin (Table 1), which is within the typical rates of annotation for non-model organisms (Baeza and MacManes, 2020). Overall, in the Emperor assembly, 55,673 contigs obtained a positive BLASTx hit and 37,849 contigs obtained a positive BLASTp hit, 37,756 were annotated with Hmmer and 46,209 were annotated with TransDecoder. In the King assembly, 54,929 contigs obtained a positive BLASTx hit and 39,036 contigs obtained a positive BLASTp hit, 38,916 were annotated with Hmmer and 47,930 with TransDecoder. Note that many transcripts were annotated by multiple tools.

Lastly, we conducted gene enrichment analysis using two databases: GO and Reactome. In the Emperor assembly, 50,315 transcripts (47%) were assigned to 15,001 GO terms from the three main gene ontologies (molecular functions, biological processes and cellular components) while in the King assembly, 49,175 transcripts (61%) were assigned to 14,854 GO terms.

A wide range of GO terms emerged in each assembly, indicating that molecular functions, biological processes and cellular components were well represented. We observed a high uniformity in GO profiles across the two transcriptomes suggesting the global similarity of the phylogenetically close-related species (Fig. 1); GO terms consistency across multiple species assemblies was already reported by previous studies (Riesgo et al., 2012; Birol et al., 2015; Kobayashi et al., 2009).

Regarding the molecular function, the most represented GO terms included metal ion binding (GO:0046872), ATP binding (GO:0005524) and oxidoreductase activity (GO:0016491).

While for the biological pro-cesses category, the most frequent GO terms were related to signal transduction (GO:0007165), lipid metabolic process (GO:0006629) and cellular response to DNA damage stimulus (GO:0006974) (Fig. 1).

The Reactome pathways enrichment resulted in 24,341 transcripts for the Emperor penguin and 23,994 transcripts for the King penguin associated with pathways of cellular processes, immune system, environmental information sensing, platelet degranulation and mitochondrial activity (Fig. 2).

We identified 3,000 putative lncRNAs with an average length of 1,000 bp from the Emperor transcriptome assembly and 2,491 putative lncRNAs with an average length of 1,058 bp in the King transcriptome assembly, covering the 2.83% and the 3.09% of the assemblies respectively.

Comparing the putative lncRNAs sequences between the two species, 295 of these elements showed a sequence similarity greater than 90% between them.



**Figure 1.** Functional annotations of the Emperor (left) and the King penguin (right) transcriptome using gene ontology (GO) terms.



**Figure 2.** Functional annotations of the Emperor (left) and the King penguin (right) transcriptome using Reactome pathways.

# *Differential expression analysis at intraspecific level*

All the 100 RNA samples from the five tissues resulted to have A260/280 ratios between 1.9 and 2.1 and a RIN greater than 6.

RNA-seq 3'end libraries yielded between 5 and 10 million single-end reads per library. Almost 95% of the raw reads passed the quality filtering. This resulted in high quality RNA-seq datasets, which contained a total of 70 million single-end reads for each of the five tissues of both the Emperor and the King penguin.

After transcript-level abundance estimation across tissues was generated by mapping the reads to the reference transcriptome, samples from each penguin species were clustered separately in MDS plots based on the adjusted gene expression matrix. The MDS plots showed that the biological replicates of the same tissue were well aggregated in each species, revealing a good quality dataset for each species (Fig. 3).



**Figure 3.** Multidimensional scaling (MDS) plot of the biological replicates of all tissues for the Emperor (left) and the King penguin (right).
The scatterplot of mean CPM versus standard deviation for each transcript across all biological replicates of each tissue revealed no significant variance in expression estimates for genes with low read counts, suggesting data homoscedasticity and allowing comparison of different libraries (Fig. 4).

Before testing for differential expression at intraspecific level, the BCV was employed to estimate the variability across the dataset for each species. The overall (common) BCV between the biological replicates of all tissues was estimated as 0.7, showing a high degree of heterogeneity between them, either in the Emperor and in the King penguin (Fig. 5-6).



**Figure 4.** Scatterplot of mean CPM versus standard deviation for each contig across all biological replicates of each tissue for the Emperor (left) and the King penguin (right).



**Figure 5.** Biological coefficient of variation (BCV) plot for the Emperor penguin.



**Figure 6.** Biological coefficient of variation (BCV) plot for the King penguin.

A total of 378 contigs (0.36% of 106,060 contigs) showed evidence of a statistically significant difference in tissue-specific expression (FDR  $\leq$  0.05) in the Emperor penguin. Specifically, 89 transcripts resulted differentially expressed in liver, 46 in kidney, 62 in brain, 122 in muscle and 59 in skin.

While in the King penguin, the pairwise tissue comparison at intraspecific level reported a total of 359 differentially expressed contigs (0.45% of 806,05 contigs). Precisely, 51 transcripts showed significant changes in expression in liver, 86 in kidney, 52 in brain, 29 in muscle and 141 in skin. From the heatmaps of the total DEGs in each species (Fig. 7-8) emerged clear differences among different tissues and a homogeneous expression pattern among the biological replicates of the same tissue.



**Figure 7.** Heat map showing expression patterns of 378 DEGs in all 5 tissues of 10 individuals of the Emperor penguin. Expression was defined using TMM-normalized values with blue and red representing comparatively lower and higher expression levels, respectively.



**Figure 8.** Heat map showing expression patterns of 359 DEGs in all 5 tissues of 10 individuals of the King penguin. Expression was defined using TMM-normalized values with blue and red representing comparatively lower and higher expression levels, respectively.

We functionally examined each tissue by testing each set of DEGs for enrichment of gene ontology terms relative to their frequency in the reference transcriptome.

Among the GO terms that were significantly enriched in the liver of the Emperor penguin, contigs involved in fatty acid beta-oxidation (GO:0006635), fatty acid (GO:0006631) and lipid metabolism (GO:0006629) and antioxidant activity (GO:0016209) were the most overrepresented (Fig. 9). Either in the skin and in the brain of the Emperor penguin, the most overrepresented GO categories were related to basic cellular functions as translation (GO:0006412), rRNA processing (GO:0006364) and GTPase activity (GO:0003924) (Fig. 9).

In contrast, the kidney DEGs showed a quite different profile, with a high representation of categories related to hemoglobin complex (GO:0005833), oxygen transport (GO:0015671),

oxygen carrier activity (GO:0005344), heme binding (GO:0020037) and oxidative phosphorylation (GO:0006119) (Fig. 9). These findings are congruent with the kidney being a hematopoietic tissue in birds.

The enriched functions of the Emperor penguin muscle showed: intracellular sequestration of iron (GO:0006880), ferric iron binding (GO:0008199), ferroxidase activity (GO:0004322), cellular iron ion homeostasis (GO:0006879) and regulation of fibroblast proliferation (GO:0048145) as the most significantly enriched GO terms (Fig. 9).

We detected just a slight overlap between the GO terms in the Emperor and the King penguin, mostly related to basic cellular functions such as translation and RNA processing (Fig. 10).



**Figure 9.** Classification of the DEGs by tissue after a GO enrichment analysis. Only the most overrepresented GO terms of the Emperor penguin are shown.



**Figure 10.** Classification of the DEGs by tissue after a GO enrichment analysis. Only the most overrepresented GO terms of the King penguin are shown.

The five sets of DEGs in each species were also analyzed to identify significantly enriched Pfam domain annotations. The most significantly abundant Pfam domains in the DEGs of both the Emperor penguin liver and muscle included: enzymes involved in fatty acid synthesis and steroid biogenesis (thiolase and beta-ketoacyl synthase), metalloprotein involved in oxidative stress tolerance (rubrerythrin) and iron storage proteins (ferritin like domains) (Fig. 11). In the Emperor penguin brain, the only relevant Pfam domain was the carboxymuconolactone decarboxylase, reported to increase proliferation and inhibit apoptosis of neural cells; while the most enriched Pfam domains among the DEGs in the Emperor penguin kidney resulted to be globulin and immunoglobulin (Fig. 11).

YflT was reported as one of the most abundant Pfam domains in the DEGs of the Emperor penguin skin (Fig. 11). This domain is found in general stress proteins, induced by heat shock, salt stress, oxidative stress, glucose limitation and oxygen limitation.

From the analysis of the Pfam domain enrichment in the tissue-specific DEGs of the King penguin, we found similar terms but in different tissues (Fig. 12). For example, the most abundant Pfam domains in the kidney were proteins involved in antioxidant defence (redoxin, AhpC/TSA) and enzymes related to fatty acid and steroid metabolism (thiolase, beta-ketoacyl synthase). The two latter categories resulted to be the most enriched also in the skin (Fig. 12).

The brain presented only actin, the major component of dendritic spines, as significant Pfam domain (Fig. 12). While no significant Pfam domains were reported for both the liver and the muscle.



**Figure 11.** Classification of the DEGs by tissue after a Pfam enrichment analysis. Only the most overrepresented Pfam domains of the Emperor penguin are shown.



**Figure 12.** Classification of the DEGs by tissue after a Pfam enrichment analysis. Only the most overrepresented Pfam domains of the King penguin are shown.

### *Differential expression analysis at interspecific level*

As comparing gene expression levels between the two penguin species, using the reference transcriptome of each of them, proved to be particularly challenging and inaccurate, we decided to use as a common reference, the Emperor penguin genome.

A total of 15,333 genes had enough reads mapped to at least one sample to pass the initial threshold for analysis of DEGs.

When applying the MDS analysis, we observed that samples of the same tissue from different species clustered together, implying a global tissue-specific expression pattern (Fig. 13).



**Figure 13.** Multidimensional scaling (MDS) plot for the 3'end Seq libraries of the Emperor and the King penguin after mapping to the Emperor penguin reference genome.

Overall up-regulation and down-regulation was measured for the genes that were shared among the two Aptenodytes penguin species. Considering a 2-fold expression difference, a total of 2,106 genes (15% of all 15,333 expressed genes) exhibited significant differential expression between the two species considering all tissues. In particular, 1,266 and 840 genes were up-regulated in the Emperor and in the King penguin, respectively. Breaking down these figures by tissue, we identified 506 differentially expressed genes in the skin (297 up-regulated in the Emperor and 209 up-regulated in the King), 1,059 in the muscle (766 up-regulated in the Emperor and 293 upregulated in the King), 151 in the brain (46 up-regulated in the Emperor and 105 up-regulated in the King), 466 in the liver (213 up-regulated in the Emperor and 253 up-regulated in the King) and 342 in the kidney (228 up-regulated in the Emperor and 114 up-regulated in the King).

Cluster analysis of differentially expressed genes (Fig. 14) showed that the biological replicates of the same tissue clustered per species, indicating that the samples used in this study had excellent biological repeatability. The majority of the differentially expressed genes (80% in the Emperor and 87% in the King) were tissue-specific, with skin and muscle showing greater numbers in the Emperor penguin while liver and muscle in the King penguin. Notably, the muscle exhibited the highest number of private DEGs (605), representing 24% of all up-regulated genes in the Emperor penguin.

Approximately 15% of the differentially up-regulated genes were detected in two or more tissues in each species, suggesting the presence of a shared set of enhanced cellular responses.



**Figure 14.** Heat map showing expression patterns of 2,106 DEGs in the interspecific comparison between the Emperor and the King penguin. Expression was defined using TMM-normalized values with dark orange and yellow representing comparatively lower and higher expression levels, respectively.

GO enrichment tests were used to assist in functional interpretation of the DEGs and to evaluate potential cold-adaptive response in the comparison of the same tissue between the two species. In the Emperor penguin, most of the up-regulated DEGs were associated with GO terms potentially linked to the substantial changes driven by the adaptation to the extreme Antarctic environment, such as lipid biosynthetic process (GO:0008610) and response to radiation (GO:0071478) in the liver, positive regulation of vascular permeability (GO:0043117) and triglyceride-rich lipoprotein particle remodeling (GO:0034370) in the kidney and circulatory system development (GO:0072359), blood circulation (GO:0008015), bone mineralization (GO:0030282), visual system development (GO:0150063) and fat cell differentiation (GO:0045444) in the muscle (Fig. 15). Functional enrichment analyses revealed no significant GO terms for the brain, in both the species, probably due to the small number of DEGs in this tissue. Whereas in the King penguin, we found more general GO terms enriched, such as immune response (GO:0002250) and circulatory system process (GO:0003013) in the kidney, regulation of secretion (GO:0051046) and response to stress (GO:0006950) in the liver, cell junction organization (GO:0034330) in the skin, and fatty-acid metabolism (GO:0006631) and heart contraction (GO:0002026) in the muscle (Fig. 16).



**Figure 15.** Classification of the up-regulated DEGs in the interspecific tissue comparison after a GO enrichment analysis. Only the most overrepresented GO terms of the Emperor penguin are shown.



**Figure 16.** Classification of the up-regulated DEGs in the interspecific tissue comparison after a GO enrichment analysis. Only the most overrepresented GO terms of the King penguin are shown.

We further analysed the sequences of the up-regulated DEGs in the Emperor penguin in order to identify relevant protein domains and classify them into families. The essential terms included proteins involved in: lipid and fatty acid metabolism (perilipin, glycerol-3-phosphate dehydrogenase, lipocalin, apolipoprotein, lipase, thyroid hormone-inducible hepatic protein), angiogenesis (Von Willebrand factor, vasohibin, thrombospondin), light absorption (7 transmembrane receptor), stress response (chaperone DnaJ, AMPK, Chaperonin Cpn60, betathymosin), glucose/insulin metabolism (phosphoenolpyruvate carboxykinase, glucose dehydrogenase, enolase, Maf transcription factor, IGFBP, glucagon), cholesterol transport (TspO/MBR, caveolin), immune response (beta defensin, immunoglobulin), thyroid hormone biosynthesis (haem peroxidase, GPCR, thyroglobulin, iodothyronine deiodinase), mineral metabolism (stanniocalcin, calcitonin), protection (keratin), muscle contraction (calponin), hypothalamic regulation of body weight (tubby) (Fig. 17).

Many of these protein domain families were also recognized among the up-regulated DEGs in the King penguin; in particular those involved in thyroid hormone biosynthesis (iodothyronine deiodinase, haem peroxidase), regulation of body weight (tubby), lipid metabolism (thyroid hormone-inducible hepatic protein, lipocalin, lipase), glucose metabolism (glucose dehydrogenase, phosphoenolpyruvate carboxykinase), defense response (immunoglobulin), protection (keratin), stress response (Chaperone DnaJ) and angiogenesis (Von Willebrand factor). Whereas some were different but related to the same of the main biological categories found in the Emperor penguin DEGs: avidin, 3-hydroxyacyl-CoA dehydrogenase, phospholipase A2, fatty acid hydroxylase, LBP (fatty acid and lipid metabolism), somatostatin, CBM21 (glucose/insulin metabolism) and Hsp70 protein (stress response) (Fig. 18).



**Figure 17.** Most relevant protein domains in the up-regulated DEGs by tissue in the Emperor penguin.



**Figure 18.** Most relevant protein domains in the up-regulated DEGs by tissue in the King penguin.

We also looked for significantly enriched KEGG pathways among the up-regulated DEGs of the Emperor penguin (Fig. 19). Only three tissues (liver, muscle, and skin) produced statistically significant results. Interestingly, all the relevant pathways could be grouped into two major categories: energy homeostasis and thyroid hormone metabolism. Four of the five KEGG pathways in common between the three tissues showed the highest number of candidate genes.

A total of 37 up-regulated genes were involved in the FoxO signaling pathway that promotes the transition from carbohydrate oxidation to lipid oxidation under stress conditions such as fasting and exercise. Nineteen up-regulated DEGs took part in the insulin signaling pathway playing a role in the uptake and storage of glucose, fatty acids and amino acids into liver, adipose tissue and muscle. Related to insulin resistance and sensitivity, the adipocytokine signaling pathway, encompassing 12 up-regulated DEGs, regulates energy balance in the body, but also participates in the process of inflammation, coagulation, and fibrinolysis.

Moreover, 26 up-regulated genes were included in the thyroid hormone signaling pathway which exerts a wide range of functions in terms of maintenance of homeostasis, cell proliferation and differentiation, glucose metabolism, heart rate and blood volume regulation.

In the King penguin, significantly enriched KEGG pathways emerged only from the up-regulated DEGs of the muscle (Fig. 20). Three of the enriched KEGG terms (fatty acid metabolism, PPAR signaling pathway and primary bile acid metabolism) were related to energy metabolism, suggesting again a key role of this tissue in lipid metabolism and maintenance of energy homeostasis.

A total of 11 up-regulated genes were included in pathways involved in vasoconstriction and dilation, blood pressure regulation, strengthening of cardiac contractility and angiogenesis.



**Figure 19.** Classification of the up-regulated DEGs in the interspecific tissue comparison after a KEGG pathways enrichment analysis in the Emperor penguin. Only liver, muscle, and skin produced statistically significant results.



**Figure 20.** Classification of the up-regulated DEGs in the interspecific tissue comparison after a KEGG pathways enrichment analysis in the King penguin. Only muscle produced statistically significant results.

Figure 21 shows the volcano plot of the candidate DEGs which displayed the greatest significant expression changes in each interspecific pairwise tissue comparison. In the Emperor penguin, 3 of the 20 most up-regulated genes in the brain were associated with stress response to adverse environmental conditions (SLC9A2, DNAJB5, CGGBP1). Among the top up-regulated genes in the brain, they are worth mentioning: LARP1, involved in the mTORC pathway that regulates mass accumulation in function of growth signals and nutrient availability, and MTNR1A that mediates melatonin effects on circadian rhythm and reproductive alterations affected by day length (Fig. 21C).

LARP1 was among the ten most up-regulated DEGs also in the liver and the kidney, together with MLST8, another element of the mTOR complex, strongly indicating a constitutive system-wide need in the Emperor penguin for coping with chronic cold (Fig. 21A-B).

In the Emperor penguin kidney, RBP4 is up-regulated two times more than in the King penguin (Fig. 21B). This gene encodes for a specific retinol carrier in the blood, transporting retinoids (vitamin A and its derivatives) to target tissues, such as adipose tissue. Previous reports in humans and mice revealed that retinol transport protein Rbp are potent regulators for cold-induced thermogenic responses and cold adaptation by promoting expression of BATmarker genes, such as UCP1 in the adipocytes (Fenzi et al., 2020; Puigserver et al., 1996; Mercader et al., 2010; Ribot et al., 2004).

Also in the skin, another retinol transport protein, RBP7, is up-regulated three times more than in the King penguin (Fig. 21E).

Looking at the 20 most significantly up-regulated DEGs in the Emperor's skin, we observed that 4 of them were related to energy metabolism: LPL, key enzyme in lipid clearance from the bloodstream, lipid utilization and storage; PLIN4 and PLIN1, both involved in triacylglycerol packaging into adipocytes and lipolysis modulators; PNPLA2, enzyme that may play a role in the response of the organism to starvation, catalyzing hydrolysis of triglycerides into free fatty acids to be oxidized in situations of energy depletion (Fig. 21E).

As a sensitive neural system response to temperature fluctuations is essential for the maintenance of a constant body temperature in the homeotherms, it was not unexpected to observe TMEM100 among the 20 top up-regulated genes in the Emperor's skin (Fig. 21E). This gene is a modulator of TRPA1 and TRPV1, two nociceptors channels that respond to extreme temperatures and cold cutaneous stimulation (Nozadze et al., 2016).

The Emperor penguin's muscle exhibited the highest number of up-regulated genes and most of the top 20 DEGs were involved in: anticoagulation and angiogenesis (GNS, FN1, EPHB2, ANGPTL2), the development of the barrier function of the epidermis (TCF7L1, LEF1), cold pain tolerance (ABLIM3) and cold-induced thermogenic responses (METRNL) (Fig. 21D).

In particular, METRNL is up-regulated three times more than in the King penguin and plays a key role in cold adaptation by stimulating energy expenditure associated with the browning of the white fat depots and improving glucose tolerance.

In the King penguin, five (OTX2, ATP8B1, SNCG, PCP4, SLITRK5) among the 20 most upregulated DEGs in the brain play a role in brain and sensory organ development, neuronal differentiation and axon generation. Three (ARL1, TCF7L2, SHPK) are involved in insulin/glucose metabolism and two (TSHR, CRYM) are receptors for the thyroid hormone (Fig. 21B). Also among the top 20 DEGs in the kidney and the skin emerged a gene (DIO1) that catalyzes the activation/inactivation of the thyroid hormone. Among the most up-regulated DEGs of the skin, they are also worth mentioning: HSD11B1L, an enzyme that catalyzes the interconversion of inactive to active glucocorticoids required for stress responses (Liu et al., 2021) and RBP4, a specific retinol carrier, found overexpressed in the Emperor penguin's kidney as well. Looking at the 20 most significantly up-regulated DEGs in the King's liver, we observed that 3 of them (LIPA, SLC13A5, PLCE1) were related to lipid metabolism and fatty acids and cholesterol synthesis. Interestingly, we also found HSPA2, a molecular chaperone that is expressed in response to stress (Rosenzweig et al., 2019).

Noteworthy, the two most up-regulated DEGs in the King penguin's muscle (HOXC9, HOXC10) are homeoproteins involved in white adipose tissue development (Ng et al., 2017; Daneshyar et al., 2021). Several of the top 20 DEGs in this tissue were involved in energy metabolism: DGAT2 and GPAM are required for lipid accumulation (Levin et al., 2007; Yu et al., 2017), OSBPL6 regulates cellular transport and efflux of cholesterol (Hennessy et al., 2013) and CEP19 may be related to obesity, energy expenditure, whole-body fat oxidation and, glucose and insulin tolerance (Shalata et al., 2013) (Fig. 21D).

The concurrent differential up-regulation of several genes within these functional categories in the Emperor penguin compared to its less cold-adapted sibling species, the King penguin, indicates that these functions are likely to be in higher demand in the cold Antarctic environment.



Figure 21. Volcano plot showing the up-regulated DEGs which display the greatest significant expression changes in each interspecific pairwise tissue comparison. Red points represent the up-regulated DEGs in the Emperor penguin while the blue points represent the up-regulated DEGs of the King penguin.

## **Discussion**

Our study is the first to produce transcriptome assemblies for Emperor and King penguins from such a diverse range of tissues from multiple individuals and will therefore complement the already published resources generated from the pectoralis muscle of juvenile specimens of King penguin (Degletagne et al., 2010; Rey et al., 2016a; Rey et al., 2016b).

During the development of this work, we faced several technical challenges typical of comparative analyses of gene expression profiles on non-model species. The computation of gene expression in different species is hampered by inherent difficulties associated with varying levels of genome/transcriptome assembly and annotation, the extent of lineage-specific gene gains, losses and duplications, and transposable elements activity (Musser and Wagner, 2015).

In order to overcome the most common pitfalls of NGS assemblies and increase the robustness of our analyses, we chose to use the ORP pipeline (MacManes, 2018), able to efficiently combine multiple transcriptomes generated by different assembly algorithms to build a high-quality *de novo* transcriptome for each species.

Our findings revealed a tissue-specific expression pattern, indicating that differences among tissues were more significant than those among species.

Overall, our study recovered a high number of differentially expressed genes associated with various physiological adaptations in the Emperor penguin compared to the King penguin. The upand down-regulation of genes might be a result of short-term adaptations through plasticity and/or long-term genetic adaptations. Both environment and species-specific differences may have influenced changes in gene expression levels between the two species (Verne et al., 2011; Romero et al., 2012).

Collectively, the results of differential gene expression and comparative transcriptome analyses provided an overview of the transcriptomic changes potentially relevant in the Emperor penguin's adaptation to an extreme cold environment.

Although further research is needed to validate the key genes identified in this study, the enormous range of up-regulated gene groups will allow more in-depth research into mechanisms of evolutionary adaptation to cold also in a broader context.

# *The first de novo transcriptome assembly of the two penguin species of the Aptenodytes genus*

We produced the first transcriptome assembly for each of the penguin species of the *Aptenodytes*  genus, by using the principal tissues involved in fattening (liver), thermogenesis (muscle), behavior (brain), thermal insulation (skin) and osmoregulation (kidney), as the initial step for the understanding of how those processes are regulated at the level of gene expression and their role in cold adaptation.

Although previous studies on *A. patagonicus* (Degletagne et al., 2010; Rey et al., 2016a; Rey et al., 2016b) investigated gene expression changes in the pectoralis muscle of juvenile King penguins during the transition from terrestrial to marine life, they did not generate a transcriptome assembly for this species.

Therefore, a high quality *de novo* assembly of blood transcriptome was produced for the chinstrap (*Pygoscelis antarcticus*) and gentoo (*P. papua*) penguins (Kim et al., 2019). In this case, blood samples were collected from only one specimen of each species and the Illumina paired-end libraries were assembled *de novo* using a single assembler. We obtained a total number of contigs four times larger than that of each *Pygoscelis* species, as expected from employing such a diverse range of tissues from multiple individuals.

While most of the significant pathways in the blood transcriptome were involved in the major innate immune systems, we observed a slight overlap in the overall composition of the biological and molecular GO terms with our transcriptome assemblies. Indeed, a considerable number of transcripts were assigned to signal transduction, developmental process and immune system activity. The enrichment of these GO terms was revealed also from the comparison with the blood transcriptome of the southern giant petrel (*Macronectes giganteus*) of the *Procellariiformes* order, the *Sphenisciformes* sister taxon (Kim et al., 2018). Moreover, the percentage of transcripts assigned to GO terms in the Emperor assembly (47%) was similar to that reported for mallards (48%) (Yin et al., 2019a). Six of the most represented GO categories in both the *Aptenodytes*  penguin assemblies (i.e., signal transduction, apoptosis process, phosphorylation, cell differentiation, cell cycle and transcription regulation) were also found among the ten most common GO terms in the blue-winged teal (*Spatula discors*) transcriptome (Dolinski et al., 2020). Our findings suggest both the transcriptomes cover a wide range of protein-coding sequences, including 86.3% (Emperor penguin) and 84.2% (King penguin) of BUSCOs thought to be found

in the Aves lineage. This compares quite favorably to previous *de novo* transcriptomes in passerine species evaluated against the vertebrate gene set using BUSCO (30–62% complete) (Richardson et al., 2017).

Additionally, our backmapping rate of 82% (Emperor penguin) and 79% (King penguin) is also comparable to other *de novo* transcriptomes in birds, including European starlings (*Sturnus vulgaris*, 82%) (Richardson et al., 2017), rock doves (*Columba livia*, 70–80%) (MacManes et al., 2017), tree swallows (*Tachycineta bicolor*, 82%) (Bentz et al., 2019) and mallards (*Anas platyrhynchos*) (Yin et al., 2019a).

Subsequent studies would ideally include samples from adults and the missing tissues; however, data thus far suggest that the transcriptome from 10 chicks (5 tissues each) has good coverage in each *Aptenodytes* species.

Moreover, the percentage of functionally annotated transcripts (53% and 69% in the Emperor and in the King penguin, respectively) reflects the typical rates of annotation for non-model organisms (Baeza and MacManes, 2020).

It is worth noting that comparing *de novo* transcriptome assemblies from studies on different tissues and different species is especially challenging. The metrics that best assess the transcriptome quality (e.g., the proportion of reads mapping to an assembly, the N50 length) are affected by several factors, such as the sequencing technology and the assembly strategy used (Frias-Soler et al., 2018). However, the N50 length estimates for both the Emperor (2,429 bp) and the King penguin (2,511 bp) were much higher than that estimated for 5 different bird species (chicken, *Gallus gallus*; duck, *Anas platyrhynchos*; pigeon, *Columba livia*; goose,*Anser cygnoides*; zebra finch, *Taeniopygia guttata*), where N50 ranged from 595 bp (Chicken) to 1,533 bp (Pigeon) (Yin et al., 2019b).

#### *An insight into the transcriptional profile of the King and Emperor penguin's muscle*

The skeletal muscle of birds is commonly larger than that of reptiles and mammals of comparable size (Butler, 2000; Newman, 2011). As a result, it has been hypothesized that the enlargement of avian skeletal muscle, especially the breast and thigh muscles, provided a distinct survival advantage, allowing for more effective heat generation (Rowland et al., 2015).

The expression profile of the Emperor penguin's muscle resulted to be unexpectedly rich, encompassing the largest fraction of up-regulated genes among all the analyzed tissues at both intraspecific and interspecific level.

Although muscle is a highly specialized tissue, gene expression was not found to be limited to a narrow set of genes involved in the structural organisation of muscle fibres. This is consistent with the crucial role played by this tissue in whole body energy metabolism and temperature homeostasis in birds and mammals, producing heat through shivering and nonshivering thermogenesis (Periasamy et al., 2017). Muscular shivering is considered to be the dominant mechanism of heat production in birds (Dawson, 1975). Although this process occurs in all birds, the metabolic pathways of energy mobilization may differ quantitatively as a consequence of growth mode (Choi et al., 1993).

Emperor penguins have developed thermal and metabolic adaptations to survive the Antarctic winter conditions. These metabolic adaptations include: *i*) an enhanced ability to oxidize lipids as a fuel for energy metabolism (Teulier et al., 2012), *ii*) a large muscle mitochondrial abundance and oxidative capacities (Rey et al., 2016a) and *iii*) a high thermogenic capacity.

A total of 37 up-regulated genes were involved in the FoxO signaling pathway that promotes the transition from carbohydrate oxidation to lipid oxidation under stress conditions such as fasting and exercise (Bastie et al., 2005). This pathway has been shown to be particularly relevant also for the cold stress faced by spotted seatrout (*Cynoscion nebulosus*) populations adapted to water temperatures below 5°C (Song and McDowell, 2021).

Among the most enriched pfam domains in this tissue, we found metalloproteins involved in oxidative stress tolerance such as rubrerythrin.

Penguins have evolved powerful antioxidant capacities which include a marked reduction of ROS generation at mitochondrial level (Rey et al., 2016a) and the improvement of ROS detoxification through a higher activity of muscle antioxidant enzymes compared to other birds (Zenteno-Savin et al., 2010).

These adaptations, combined with locomotor muscles hypoperfusion and extreme hypoxemia, are crucial for their survival, as prolonged diving in cold waters is an important component of penguins' feeding behaviour (Rey et al., 2016a). Indeed, Emperor penguins can achieve depths greater than 300 m and dive durations of 22 min (Wienecke et al., 2007).

A significant gene enrichment was also observed in the thyroid hormone signaling pathway. There is evidence that an increased expression of muscle nuclear T3 receptors may help to stimulate the avian uncoupling protein (avUCP) expression in the skeletal muscle (Rey et al., 2010; Collin et al., 2005). This protein mediates the non-shivering thermogenesis process through the generation of heat in brown adipose tissue (Lowell and Spiegelman, 2000).

Fifteen up-regulated genes were assigned to the fat cell differentiation GO term. This category included: METRNL, one of the 10 most highly differentially expressed genes in muscle, which plays a key role in cold-induced thermogenic responses by stimulating several immune cell subtypes to enter the adipose tissue and activate their pro-thermogenic actions (Zheng et al., 2016); FNDC5, BMP7 and EBF2 considered to be essential for brown adipogenesis (Cao et al., 2019; Saini et al., 2015; Rajakumari et al., 2013); BMP2, PDGFRA and BBS12 that drive the differentiation of adipocyte precursors in white adipocytes (Schulz and Tseng, 2009; Shin et al., 2020); WIF1 which stimulates adipogenic gene expression (Alsaedi, 2016); SFRP2 and SOX8 associated with increased adiposity (Crowley et al., 2016); LAMA4 involved in the regulation of UCP1 expression in both white and brown adipocytes (Porras et al., 2021); TRIB2, an obesityrelated gene, reported to induce thermogenesis in cold environments (Nakayama and Iwamoto, 2017); TCF7L2 and CCND1 involved in adipose tissues development and proliferation (Chen et al., 2018; Marquez et al., 2017), and ZNF516, brown adipose tissue-specific gene, which binds the promoter of the UCP1 gene to activate its transcription and thereby regulate non-shivering thermogenesis (Afonso et al., 2021).

Interestingly, looking at fig. 21D, we observe that also in the King penguin, two of the most upregulated genes among those differentially expressed in the muscle (HOXC9, HOXC10) are involved in adipogenesis (Ng et al., 2017; Daneshyar et al., 2021). In particular, HOXC10 is selectively expressed in white adipose tissue (WAT) and plays a key role in suppressing browning of subcutaneous WAT (Ng et al., 2017). Previous studies on mice demonstrated that genetic deletion of HOXC10 caused the upregulation of the expression of UCP1 and other genes crucial for beige adipocytes biogenesis in subcutaneous WAT, impairing the ability of these mice to maintain body temperature during cold exposure (Ng et al., 2017; Angeline Tan et al., 2021). Our findings on the most up-regulated DEGs, together with the enrichment of GO terms and KEGG pathways associated with fatty-acid metabolism and energy homeostasis, suggest a thermogenic

role of the muscle also in the King penguin but conceivably favoring different biological pathways compared to the Emperor penguin.

As King penguins live and breed in temperate-cold sub-Antarctic islands with average winter temperature of ca. 3 °C, it might be reasonable that this species has evolved different mechanisms for cold adaptation other than promoting the expression of brown-fat thermogenic genes, as in the Emperor penguin. They might increase body fat by promoting lipid accumulation and storage in WAT, for example through the action of the genes DGAT2 and GPAM (Levin et al., 2007; Yu et al., 2017).

The need to accumulate huge lipid depots may arise from the highly intense exercise occurring during King penguins foraging up to 300–1600 km away from their colony, based on the seasonal changes in local prey availability (Charrassin and Bost, 2001; Bost et al., 1997).

In birds, lipid oxidation in the skeletal muscle is crucial to maintain the prolonged and energetically demanding exercise that occurs during flight migration (Vaillancourt et al., 2005; McFarlan et al., 2009; Guglielmo, 2010; Liknes and Swanson, 2011). This is made possible by the increased lipid transport and improved metabolic machinery for lipolysis and lipid oxidation in their skeletal muscles (Weber, 2009).

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## **5. Final remarks**

One of the primary goals in evolutionary biology is to identify and analyze those genetic traits that contribute to key phenotypes involved in adaptation and survival (Ellegren and Sheldon, 2008; Stinchcombe and Hoekstra, 2008). Not long ago, large-scale genomic analyses were limited to model organisms such as *Drosophila*, *Arabidopsis*, *Saccharomyces*, and domestic animals and plants. However, in the last few years, the 'next-generation' or massive parallel sequencing technologies (Rothberg and Leamon, 2008) have become integral parts in molecular ecology studies (Vera et al., 2008).

Importantly, the generation of large amounts of DNA and RNA sequence data from related species has enabled comparative genomic and transcriptomic analyses for the identification of specific loci of interest (Wang et al., 2009).

Transcriptome sequencing identifies the fraction of genes in the genome that are functionally active in a particular tissue or species. Comparative genomics, along with expression profiling, genetic mapping, and candidate gene approaches, is one of the primary methods for determining the genetic basis of phenotypic variation (Ellegren and Sheldon, 2008).

One typical application in comparative genomics is to examine orthologous gene sequences from two or more species for divergence rates and test whether this divergence deviates from rates expected under a neutral scenario (Ellegren, 2008).

Accelerated divergence beyond neutral expectations would suggest evidence of adaptive evolution where positive selection has increased the rate of fixation of advantageous alleles (Nielsen, 2005; Wright and Andolfatto, 2008). Sequence conservation beyond neutral expectations, on the other hand, would be indicative of purifying selection due to functional constraints (Ponting, 2008).

We assessed the divergence rates by analysing the rates of accumulation of non-synonymous substitution (*dN*) and synonymous substitution (*dS*) in protein-coding sequences, in the Emperor and in the King lineage separately.

As a complementary selection analysis, we also looked for extended regions of linkagedisequilibrium (or, equivalently, long haplotypes) that have swept to high prevalence quickly within each species. Indeed, a population-wide reduction of genetic diversity generated by the
fixation of a beneficial allele and the surrounding variants on the same haplotype is a hallmark of a selective sweep (Smith and Haigh, 1974).

Differences in gene expression can directly underpin ecologically significant phenotypic variation in populations (Oleksiak et al., 2002; Whitehead and Crawford, 2006; Hoekstra and Coyne, 2007), providing selection with the raw material on which to act (Ellegren and Sheldon, 2008).

Gene expression and function play a key role in understanding adaptation, phenotypic diversification, and ecological speciation because they relate the genotype to the phenotype (Sanetra et al., 2005; Manceau et al., 2010; Pavey et al., 2010).

Several studies have successfully isolated and described specific candidate genes in different tissues or life stages of ecologically divergent species, demonstrating that variation in gene expression do play a role in ecological speciation (Chan et al., 2010; Nosil, 2012; Wittkopp et al., 2008; Jones et al., 2012; Hanikenne et al., 2013). In Darwin's finches and African cichlids, for example, changes in bmp4 expression are linked to the phenotypic variation of beak and jaw morphology, ecologically relevant traits required for each group's adaptive radiation (Abzhanov et al., 2004; Albertson et al., 2005); pelvic reduction evolved in three-spined sticklebacks by a decrease in Pitx1 expression, with fixation in populations reliant on factors such as the presence of predators and calcium limitation (Chan et al., 2010).

Moreover, previous comparative gene expression analyses between recently diverged ecotypes revealed ecologically relevant traits that are not immediately evident from morphological inspections, such as the activation of different immune pathways in response to parasite exposure or the overexpression of specific pathways related to energy metabolism (Ghalambor et al., 2015; Jeukens et al., 2010; Lenz et al., 2013).

Comparative transcriptomic approaches lead to a more inclusive understanding of the role of gene expression in adaptive evolution by detecting differential expression in novel genes as well as the interaction of many genes of small effects (Mackay et al., 2009; Stapley et al., 2010), both of which are likely to contribute to the emergence of novel phenotypes.

Although our comparative genomics and transcriptomics study is mostly descriptive, it has provided insights regarding candidate genes that are potentially linked to adaptation to an extreme cold environment, namely Antarctica.

We cross-referenced the results of multiple selection analyses over long and short periods of time performed through, respectively, phylogeny-based methods and linkage-disequilibrium tests, with the expression pattern of five different tissues.

No statistically significant overlap emerged between the sets of upregulated DEGs and the candidate genes under positive selection. This could suggest that the evolution of gene expression and sequence divergence between species may involve different genes with related functions (Kavembe et al., 2015). Therefore, the Emperor penguin adaptation responses to cold may involve different sets of genes, some showing divergence in gene expression and others in coding sequences.

Kozak et al. (2014) have proposed that gene expression and coding sequences may evolve independently but converge in function to guarantee the best phenotype for each specific environment.

However, the link between gene expression and protein sequence evolution is still a topic of discussion. Some research suggests that gene expression and sequence evolution are unrelated, as proposed by our study, while others have found a positive correlation between the two evolutionary processes in a variety of species, including yeast (Kim and Yi, 2007), Drosophila (Lemos et al., 2005), ants (Hunt et al., 2013), and mammals (Khaitovich et al., 2005; Warnefors and Kaessmann, 2013).

Several factors have been proposed to influence the evolution of protein sequences and gene expression, including protein–protein interactions, mutation rates, and selection strength, which determine whether the two processes are linked or decoupled (Kavembe et al., 2015).

Nevertheless, the high number of differentially expressed genes suggests that the phenotypic changes observed in the Emperor penguin may be the result not only of adaptation to cold, but also of gene expression plasticity to environmental conditions.

In addition, expressional changes can also be driven by non-coding regulatory mutations, which we could not investigate using the transcriptomic data collected in this work. Noncoding regulatory regions, such as cis-regulatory elements, may be a major contributor causing expressional divergence, according to several studies (Osada et al., 2017; Signor et al., 2016).

Noncoding regions, which have weaker pleiotropic effects than coding genes, can have significantly greater evolutionary flexibility and have been implicated in several episodes of adaptive evolution (King and Wilson, 1975; Sackton et al., 2019).

Future research utilizing well-annotated genomes and resequencing data from several individuals could more efficiently investigate adaptive evolution in noncoding regions.

# **6. References for the introduction and the final remarks**

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# **7. SI Appendix**

## **Supplementary tables for the section 2**



*Table S1. GigaDB and Genbank accession ID of the coding sequences (CDS) of the twenty bird species selected for the phylogeny*

#### Table S2. Candidate genes predicted to be under positive selection by aBSREL models in A. forsteri (FDR < 0.05)











#### Table S3. Candidate genes predicted to be under positive selection by aBSREL models in A. patagonicus (FDR  $< 0.05$ )





#### Table S4. Candidate genes predicted to be under positive selection by CODEML branch models in A. forsteri and A. patagonicus (FDR  $< 0.05$ )



#### Table S5. Candidate genes for which RELAX found signals of intensified selection  $(K > 1)$  in A. forsteri (FDR < 0.05)







#### Table S7. Candidate genes with positively selected sites in A.forsteri and A.patagonicus, predicted by CODEML branch-site models (FDR < 0.05)







## Table S8. Candidate genes for which RELAX found signals of relaxed selection (K < 1) in A. forsteri (FDR < 0.0

### Table S9. Candidate genes for which RELAX found signals of relaxed selection  $(K < 1)$  in A. patagonicus (FDR < 0.05)



#### Table S10. GO biological process terms in candidate genes for positive selection suggested by both CODEML and aBSREL



#### Table S11. GO biological process terms in candidate genes for positive selection suggested by either CODEML or aBSREL



