

1           **Whole genome duplication in coast redwood (*Sequoia sempervirens*) and its**  
2           **implications for explaining the rarity of polyploidy in conifers**

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5           **SUMMARY**

- 6           • Whereas polyploidy is common and an important evolutionary factor in most land  
7           plant lineages it is a real rarity in gymnosperms. Coast redwood (*Sequoia*  
8           *sempervirens*) is the only hexaploid conifer and one of just two naturally  
9           polyploid conifer species. Numerous hypotheses about the mechanism of  
10          polyploidy in *Sequoia* and parental genome donors have been proffered over the  
11          years, primarily based on morphological and cytological data, but it remains  
12          unclear how *Sequoia* became polyploid and why this lineage overcame an  
13          apparent gymnosperm barrier to whole-genome duplication (WGD).
- 14          • We sequenced transcriptomes and used phylogenetic inference, Bayesian  
15          concordance analysis, and paralog age distributions to resolve relationships  
16          among gene copies in hexaploid coast redwood and its close relatives.
- 17          • Our data show that hexaploidy in the coast redwood lineage is best explained by  
18          autopolyploidy or, if there was allopolyploidy, this was restricted to within the  
19          Californian redwood clade. We found that duplicate genes have more similar  
20          sequences than would be expected given evidence from fossil guard cell size  
21          which suggest that polyploidy dates to the Eocene.
- 22          • Conflict between molecular and fossil estimates of WGD can be explained if  
23          diploidization occurred very slowly following whole genome duplication. We  
24          extrapolate from this to suggest that the rarity of polyploidy in conifers may be  
25          due to slow rates of diploidization in this clade.

26  
27          **KEYWORDS:** whole genome duplication, polyploidy, *Sequoia sempervirens*, conifer,  
28          gymnosperm

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## 32 INTRODUCTION

33 Polyploidy has profound long- and short-term genetic consequences (Adams & Wendel,  
34 2005; Otto & Whitton, 2000; etc.), and facilitates adaptive evolution (Soltis et al., 2008;  
35 etc). Studies of genome sequences, expressed genes, and cytogenetics suggest that all  
36 land plant lineages have experienced polyploidization in their evolutionary history,  
37 though clades differ in the extent of recent whole genome duplication  
38 (neopolyploidization). While there are thousands of neopolyploid mosses, ferns and  
39 angiosperms, the phenomenon is relatively rare in gymnosperms, and especially conifers.  
40 There are only two polyploid conifer species: alerce, *Fitzroya cupressoides* (4x), and  
41 coast redwood, *Sequoia sempervirens* (6x). Why is polyploidy so rare in conifers? Does it  
42 reflect rare formation of polyploid individuals, for example due to a lack of unreduced  
43 gametes, or another barrier to allopolyploid formation? Or, do polyploid taxa form in  
44 gymnosperms, but fail to give rise to successful clades? To shed light on these questions,  
45 we studied the evolutionary history of coast redwood with the goal of determining when  
46 polyploidy occurred and whether it entailed allopolyploidy.

47

48 Coast redwoods are long-lived trees (some over 2,000 years; Burns & Honkala, 1990)  
49 that thrive in the foggy coastal forests of central and northern California. Coast redwoods  
50 are among the world's tallest living trees (up to 115 meters; Ishii et al., 2014). *Sequoia* is  
51 a monotypic genus whose closest relatives are the giant sequoia of the Californian Sierra  
52 Nevada (*Sequoiadendron giganteum*) and the Chinese dawn redwood (*Metasequoia*  
53 *glyptostroboides*). Though the three modern redwood species have distinct ranges, fossil  
54 data suggest that diverse redwood lineages were widely distributed across the Northern  
55 Hemisphere from the Cretaceous onwards (Miller, 1977). The oldest redwood fossils are  
56 from South Manchuria (present-day China) and Boulogne-sur-Mer (northern France) and  
57 date back to the mid-to-late Jurassic, suggesting the redwood clade is at least 146 million  
58 years old (Zeiller and Fliche, 1903; Endo, 1951).

59 *Sequoidendron* and *Metasequoia* are diploids with  $2n=22$  (Schlarbaum and Tshuchiya,  
60 1984). Hirayoshi and Nakamura (1943) first determined the correct chromosome number  
61 of *Sequoia* and proved that it is a hexaploid with  $2n=66$ . Hexaploidy in *Sequoia* was later  
62 corroborated by Stebbins (1948), Saylor and Simons (1970) and Ahuja and Neale (2002).

63 Relying on the well-known correlation between guard cell size and genome size (e.g.,  
64 Beaulieu et al., 2008), Miki and Hikita (1951) studied stomatal guard-cell size in Pliocene  
65 fossils of *Metasequoia* and *Sequoia*. As fossil guard cells were the same size as extant  
66 guard cells, Miki and Hikita concluded *Sequoia* has been hexaploid since at least the  
67 Pliocene (2.5-5 million years ago). This estimate was pushed back significantly by Ma et  
68 al. (2005), who describe fossils from the Eocene (33-53mya) with guard cells of a size  
69 taken to indicate polyploidy.

70 Morphological similarities among modern redwoods led to hypotheses of allopolyploidy  
71 in *Sequoia* involving hybridization between extinct diploid *Sequoia* and ancestors of  
72 either *Metasequoia* (Stebbins, 1948) or *Sequoiadendron* (Doyle, 1945). Despite the  
73 distance among their modern ranges, the overlap in fossil distributions of *Sequoia*,  
74 *Sequoiadendron*, and *Metasequoia* make this hypothesis plausible. Another hypothesis is  
75 that an extinct member of the Taxodiaceae, perhaps a member of *Taxodium*, contributed  
76 to the hexaploid genome of *Sequoia* (Stebbins, 1948; Saylor and Simons, 1970). Ahuja  
77 and Neale (2002), in contrast, suggested that the “missing” parent of *Sequoia* may have  
78 been a member of the *Cryptomeria*, *Taiwania*, or *Athrotaxis* lineages.

79 Before the advent of molecular phylogenetics, auto- and allopolyploids were  
80 distinguished by observing chromosome behavior during meiosis. Autopolyploidy  
81 (generally interpreted as occurring within a single species) and allopolyploidy (involving  
82 hybridization among species) represent extremes of a spectrum. Autopolyploids have  
83 multiple sets of very similar homologous chromosomes, which tends to manifested  
84 cytogenetically as the formation of multivalents (e.g. groups of four or six  
85 chromosomes). Allopolyploids, in contrast, arise from the fusion of divergent genomes  
86 which, in the extreme case results in bivalent formation by each homologous  
87 chromosome, as observed in diploid organisms. However, chromosome pairing at  
88 meiosis is rarely definitive as allopolyploidy can result in multivalent formation among  
89 homeologs if hybridizing species are closely related, and bivalent formation is eventually  
90 reestablished following autopolyploidy by the process of diploidization (Ramsey and  
91 Schemske, 2002; Parisod et al., 2010).

92

93 In addition to cytogenetic lines of evidence, segregation patterns can be useful to  
94 distinguish auto- and allopolyploids. An autopolyploid forming multivalents at meiosis  
95 will produce equal frequencies of all possible allele combinations. In the case of *Sequoia*,  
96 this pattern is called hexasomic inheritance. Allopolyploids do not typically form  
97 multivalents at meiosis, resulting in simple disomic inheritance (as seen in diploids).  
98 Again, these are only the most extreme possibilities, as both the diploidization process  
99 and polyploidy involving a mixture of similar and divergent chromosomes (i.e. segmental  
100 allopolyploidy sensu Stebbins) can lead to intermediate inheritance patterns.

101

102 Studies of meiotic chromosome pairing in *S. sempervirens* reported a mixture of bivalents  
103 and multivalents (Stebbins, 1948; Schlarbaum and Tsuchiya, 1984; Ahuja and Neale,  
104 2002). This led Stebbins (1948) and Schlarbaum and Tsuchiya (1984a, b) to suggest that  
105 hexaploidy involved both auto- and allopolyploidy. A similar result was obtained by  
106 Rogers (1997), who used allozymes to study inheritance patterns in *Sequoia*. However,  
107 neither the pairing nor genetic data are sufficient to distinguish segmental allopolyploidy  
108 from autopolyploidy followed by partial diploidization. We set out to use modern  
109 genomic approaches to revisit the evolutionary history of polyploidy in *S. sempervirens*  
110 and see if, by doing so, we could also gain insights into why polyploidy is so rare in  
111 gymnosperms.

112

## 113 **MATERIALS AND METHODS**

### 114 *Transcriptome sequencing and assembly*

115 Total RNA was extracted from foliage samples of *S. sempervirens*, *S. giganteum*, *M.*  
116 *glyptostroboides*, and the outgroup *Thuja occidentalis* (eastern white cedar) with a  
117 CTAB/Chisam extraction protocol followed by Qiagen RNeasy cleanup. Illumina TruSeq  
118 cDNA libraries were prepared and sequenced on an Illumina HiSeq 2000 with 100bp  
119 paired-end reads at either the UW Biotech Center (Madison, WI) or at the SciLife  
120 Laboratory (Stockholm, Sweden).

121

### 122 *Sequence analysis and alignment*

123 We assembled raw reads *de novo* with Trinity vers. 2014-07-17 (Grabherr et al., 2011),  
124 with default settings and Trimmomatic processing. After assembly, contigs were  
125 translated using TransDecoder vers. 2014-07-04 (Haas et al., 2013;  
126 <http://transdecoder.sf.net>) with a minimum protein length of 100aa. Translated contigs  
127 were filtered using the Evigene pipeline vers. 2013.07.27  
128 ([http://arthropods.eugenes.org/EvidentialGene/about/EvidentialGene\\_trassembly\\_pip  
129 e.html](http://arthropods.eugenes.org/EvidentialGene/about/EvidentialGene_trassembly_pipeline.html)). Ortholog clusters shared among *S. sempervirens*, *S. giganteum*, *M.*  
130 *glyptostroboides*, and *T. occidentalis* were identified using the translated transcriptome  
131 assemblies by ProteinOrtho ver. 5.11 (Lechner et al., 2011), using an algebraic  
132 connectivity cutoff of 0.25. Custom Perl scripts (available at [github.com/nstenz](https://github.com/nstenz)) were  
133 used to identify ortholog sets that contained a single copy in diploids (*S. giganteum*, *M.*  
134 *glyptostroboides*, and *T. occidentalis*) and between one and three copies in the hexaploid  
135 *S. sempervirens*. As these putatively single-copy protein-coding sequences show marked  
136 conservation among species, we assumed that allelic variants would generally be  
137 combined into a single contig. We used MUSCLE v. 3.8.13, 64bit (Edgar, 2004a,b), with  
138 default alignment settings to align the ortholog sets at the protein level before using a  
139 custom PERL script to generate the corresponding nucleotide alignment.

140

#### 141 *Single-variant gene trees and concordance analyses*

142 For each orthogroup that included only one sequence variant in *S. sempervirens* we  
143 estimated phylogenetic trees using MrBayes vers. 3.2.2 64bit (Huelsenbeck & Ronquist,  
144 2001; Ronquist & Huelsenbeck, 2003) with the settings: nst = 6; rates = invgamma; ngen  
145 = 1.1 million; burnin = 100,000; samplefreq = 40; nruns = 4; nchains = 3; temp = 0.45;  
146 swapfreq = 10. BUCKy vers. 1.4.4 (Ané et al., 2007; Larget et al., 2010) was then used to  
147 estimate the proportion of genes that have each possible resolution in the redwood clade  
148 while taking account of uncertainty in individual gene trees. Post-burnin posterior  
149 distributions from MrBayes were combined in BUCKy for 1 million generations with  $\alpha =$   
150 1. All trees were rooted on the outgroup, *Thuja occidentalis*.

151

#### 152 *Density distribution of $K_s$ estimates*

153 To build an age distribution of  $K_s$  (the average number of synonymous substitutions per  
154 synonymous site) within each transcriptome we identified duplicate genes using custom  
155 Perl scripts (available at [github.com/nstenz](https://github.com/nstenz)). Assembled contigs were translated using  
156 TransDecoder with a minimum protein length of 100aa, as above. Duplicate genes were  
157 identified using BLAT (Kent 2002) on translated contigs and then duplicate gene pairs  
158 were aligned and back translated into their corresponding nucleotide sequence. We  
159 estimated  $K_s$  on each pair of nucleotide alignments using  $K_aK_s$  calculator (model GY;  
160 Zhang et al., 2006). We excluded  $K_s$  values greater than 2 to avoid the effects of  $K_s$   
161 saturation, and plotted the resulting  $K_s$  values in a density plot in R (R core team, 2013).  
162 To identify significant features of the  $K_s$  frequency distributions we used SiZer  
163 (Chaudhuri and Marron, 1999).

164

165

#### 166 *Multi-variant gene trees and tree-based $K_s$ estimates*

167 For alignments containing a single variant in diploid taxa and two or three variants in  
168 hexaploid *Sequoia*, we estimated phylogenetic trees with raxml vers. 8.1.20 (100  
169 bootstrap replicates; GTRGAMMA; Stamatakis, 2006). We then used PAML (Yang,  
170 1997) to obtain a tree-based estimate of  $K_s$ . PAML calculates branch lengths along the  
171 ML tree using a model that estimates the rate of synonymous and non-synonymous  
172 substitutions ( $D_s$  and  $D_n$ , respectively) separately for each branch. We imposed a  
173 molecular clock assumption (clock=1) to obtain an ultrametric tree. By multiplying a  
174 branch's length by its  $D_s$  and summing over intervening branches between two tips we  
175 could obtain an estimate of the patristic  $K_s$  distance between *Sequoia* homeologs and how  
176 this compares to the  $K_s$  of copies from different species.

177

178 In order to obtain an approximate date for gene duplication, we divided the depth of the  
179 gene duplication in  $K_s$  units by an average mutation rate for conifers of  $0.68 \times 10^{-9}$   
180 synonymous substitutions per synonymous site per year (Buschiazzo et al., 2012).  
181 *Sequoia* is hexaploid, so at least two whole genome duplications must have occurred in  
182 the past. As each whole genome duplication event is expected to yield a normal  
183 distribution of  $K_s$  values, we used EMMIX v.1.3 (Mclachlan et al., 1999) to fit a mixture

184 model of normal distributions as a way to assign putative homeologs to each duplication  
185 event and estimate their ages. We allowed EMMIX to fit 1-2 normal distributions, with  
186 the optimal model selected based on AIC and BIC scores.

187

## 188 RESULTS

189 Our *de novo* transcriptome assemblies ranged from 70 to 101mbp in length (Table 1).

190 Assembled contigs per species ranged from 80,126 to 128,005.

191

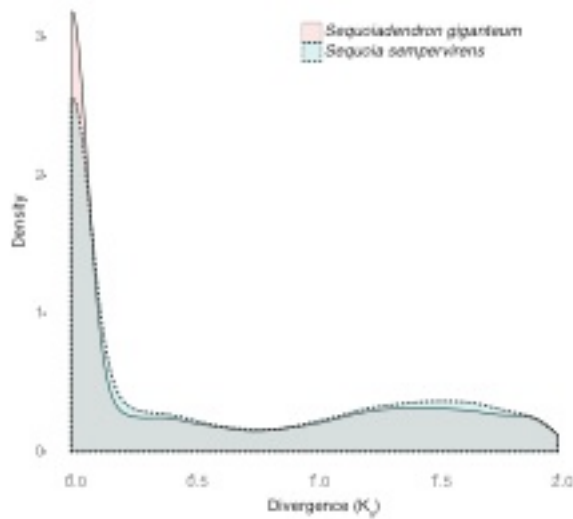
192 Table 1: Assembly statistics

Taxon	Raw reads (paired end)	Assembly length (mbp)	Contigs	N50
<i>Sequoia sempervirens</i>	55,052,935	85.6	128,005	1,118
<i>Sequoiadendron giganteum</i>	56,665,524	101.3	115,519	1,619
<i>Metasequoia glyptostroboides</i>	29,502,075	78.6	83,120	1,668
<i>Thuja occidentalis</i>	31,116,702	70.0	80,126	1,607

193

194 Assuming synonymous substitutions happen at a constant rate over time,  $K_s$  can be used  
195 as a proxy for the age of duplicate genes. To estimate the distribution of pairwise  $K_s$   
196 distance within each genome, we identified all duplicate genes, which numbered 33,544,  
197 39,236, and 26,485, in *S. sempervirens*, *S. giganteum*, and *M. glyptostroboides*,  
198 respectively. Paralog age distribution plots for all three taxa revealed a peak at a  $K_s \approx 1.5$ ,  
199 of which those for *S. sempervirens*, *S. giganteum* are shown in Fig. 1. Allowing for the  
200 approximate nature of these calculations, this peak likely corresponds to the seed plant  
201 whole genome duplication previously dated at 319 Ma (Jiao et al., 2011). Despite the  
202 expectation that hexaploid *Sequoia* would have at least one other, much younger peak  
203 corresponding to a polyploidization event in perhaps the Eocene (Ma et al., 2005), this  
204 was not visible in the age distribution plots (Fig. 1). Results from SiZer also did not  
205 indicate any significant peak unique to the *Sequoia*  $K_s$  plot.

206



208

209 Figure 1: Density distribution of pairwise Ks between duplicate genes in *Sequoia* (pink) and  
210 *Sequoiadendron* (cyan).

211

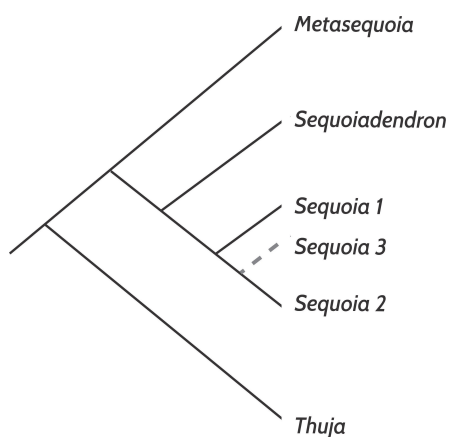
212 To distinguish the evolutionary relationships among redwoods and look for evidence of  
213 ancestral hybridization, we used Bayesian concordance analysis and estimated genomic  
214 support for each of three possible topologies for an unrooted four-taxon tree. First we  
215 built individual gene trees from 7,819 ortholog groups that each had one sequence variant  
216 in each diploid species (*Sequoiadendron*, *Metasequoia*, *Thuja*) and one, two, or three  
217 sequence variants in the hexaploid, *Sequoia*. Alignment lengths in this set varied from  
218 301-5,736 bp, with a median of 1,104. Of these alignments 7,602 included a single  
219 *Sequoia* copy, whereas 217 included one or two *Sequoia* sequence variants. Among the  
220 7,602 alignments that included a single copy in *S. sempervirens* the most frequently  
221 supported topology placed *S. sempervirens* sister to *Sequoiadendron* (Fig. 2) with a  
222 concordance factor (CF; Baum 2007) mean estimate of 0.79 and a 95% credibility  
223 interval of 0.78-0.80. The two minor topologies (*Sequoia* + *Metasequoia*; *Metasequoia* +  
224 *Sequoiadendron*) had concordance factors of 0.10(0.09-0.11) and 0.11(0.10, 0.12),  
225 respectively (Fig. 2). These results show that, if *Sequoia* arose from allopolyploidy, it  
226 only involved genome donors in the Californian redwood clade (i.e., the clade that  
227 includes *S. sempervirens* and *Sequoiadendron*). However, autoploidy is also a possibility.

228





Figure 2: Bayesian concordance analysis of 7,602 gene trees. For each of three possible topologies, the concordance factor (proportion of loci in the sample having the clade) and its 95% credibility interval are shown.



239 Figure 3: Cladogram summarizing 184 gene trees as estimated by MrBayes.

240 In order to obtain estimates for the divergence of *Sequoia* duplicates relative to  
241 interspecies divergences and to re-evaluate evidence for allopolyploidy within the

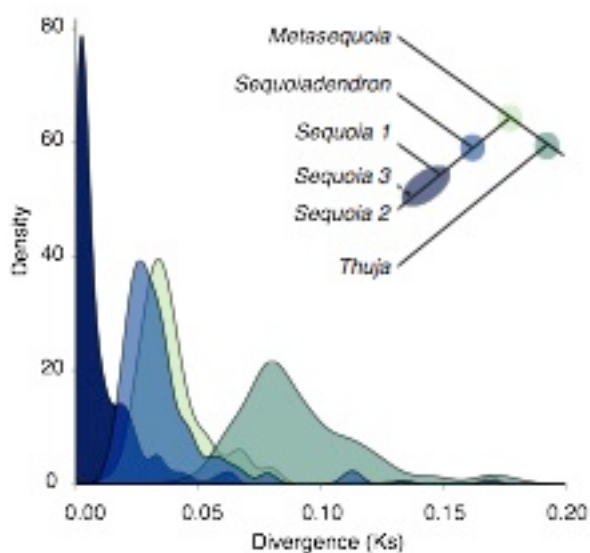
242 Californian redwood clade, we estimated phylogenetic trees for all genes with more than  
243 one sequence variant in *Sequoia*. A total of 217 genes were present in two or three copies  
244 in *S. sempervirens*. The optimal tree for 186 of these alignments (85.7%) showed  
245 monophyly of the *S. sempervirens* copies with *Sequoia* sister to *Sequoiadendron* (Fig. 3),  
246 with 97% of these trees well-supported (i.e., having a bootstrap > 0.70). The remaining  
247 31 genes (14%) either contradicted monophyly of *S. sempervirens* copies, supporting  
248 several other possible relationships, or lacked clear resolution of species relationships.

249

250 Based on ML estimates using a codon model in PAML, we could calculate the patristic  
251 Ka and Ks distances between each pair of tips for on each genes tree. Doing this on the  
252 176 well-supported gene trees that yielded a monophyletic *Sequoia*, average phylogenetic  
253 K<sub>s</sub> among *Sequoia* gene copies was 0.013. This was approximately one-third of the Ks  
254 separating *Sequoia* sequences from other redwoods (Figure 4).

255

256 **Figure 4: Tree-based divergence estimates in Ks**



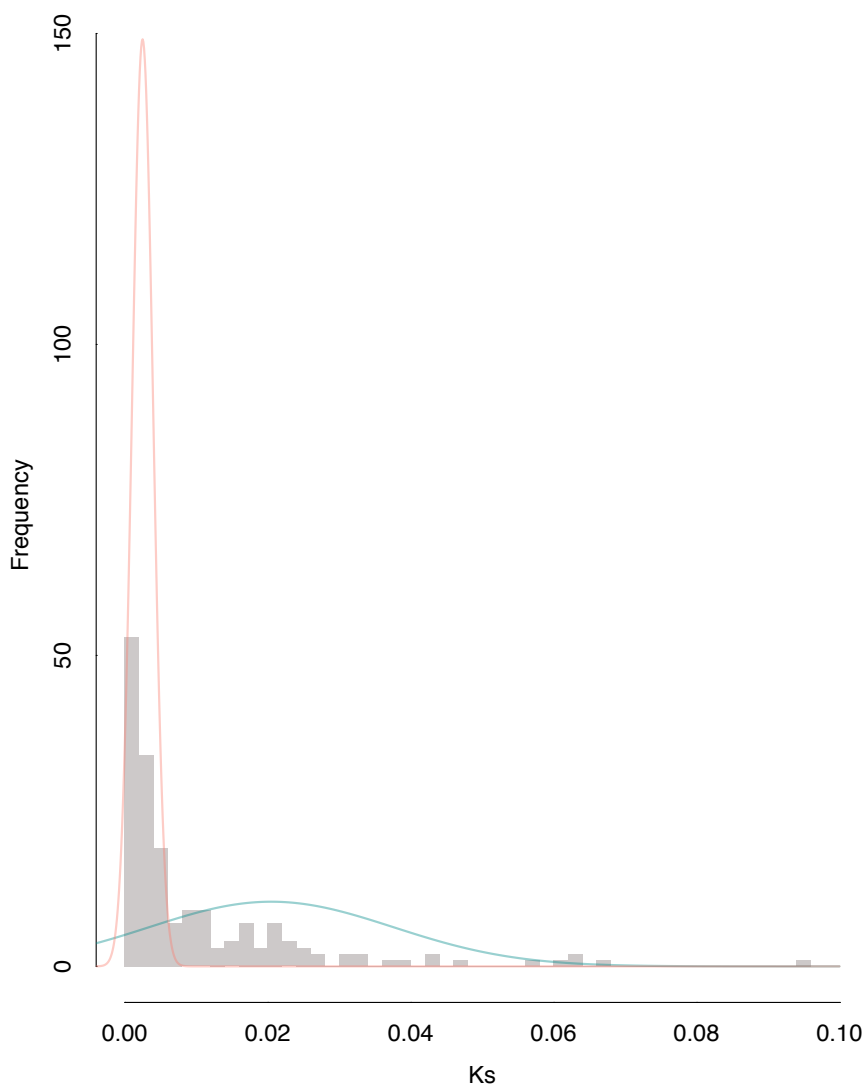
257

258 Density distribution of divergence estimates (in Ks). For Distributions are colored to indicate  
259 corresponding nodes on the tree.

260

261

262



263

264 Figure 5: Age distribution of *Sequoia* variants. Colored lines denote normal distributions fit with EMMIX.

265

266 We tested whether the patristic Ks estimates between *S. sempervirens* copies are sampled  
267 from one or two normal distributions. If hexaploidy arose from two sequential WGD  
268 events, there should be two, distinct normal distributions. We used EMMIX to fit a  
269 mixture model of normal distributions to the PAML Ks estimates. Based on AIC and BIC  
270 scores, the presence of two Gaussian distributions provides a better fit to the K<sub>s</sub> distance  
271 data. Figure 5 shows the best fitting pair of distributions. Although it is difficult to  
272 reliably translate K<sub>s</sub> into absolute age, using a generic average mutation rate for conifers  
273 of  $0.68 \times 10^{-9}$  synonymous substitutions per site per year (Buschiazzi et al., 2012), these  
274 peaks correspond to ~3 Ma and 10 Ma.

275

276 **DISCUSSION**

277

278 **Transcriptome sequencing in the redwoods supports a sister group relationship**  
279 **between *Sequoia* and *Sequoiadendron*.**

280 Bayesian concordance analysis of single copy genes overwhelmingly supports  
281 *Sequoiadendron* as the closest relative of *Sequoia*. This conclusion is in agreement with  
282 decades of previous work based on morphology, karyotype, and chloroplast sequence  
283 data (e.g. Brunsfield et al., 1994; Gadek et al., 2000; Kusumi et al., 2001).

284

285 We found genes supporting two minor topologies, one with a *Sequoia*-*Metasequoia* clade  
286 and the other with a *Sequoiadendron*-*Metasequoia* clade. These discordant topologies  
287 could be due to incomplete lineage sorting (ILS), which arises when multiple gene copies  
288 (or alleles) persist between sequential splits in a population tree. In this case, the two  
289 minor trees have similar concordance factors, 0.010 and 0.11, and their associated  
290 credibility intervals overlap. This pattern is consistent with ILS, which predicts that the  
291 alternative minor topologies should have equal CFs (Baum 2007). Furthermore, given a  
292 concordance factor of 0.80, coalescent theory would predict that *Sequoia*-  
293 *Sequoiadendron* clade is subtended by a population lineage whose duration was  $\sim 1.22 N_e$   
294 generations, where  $N_e$  is the effective population size (Allman et al., 2011; Larget et al.  
295 2011). However, it is also possible that the internal branch is considerably longer and  
296 discordance is due to other factors such as mistaken orthology. The fact that the two  
297 minor histories have similar concordance factors tends to argue against introgression or  
298 hybridization as an important phenomenon in the group.

299

300 **Hexaploidy in *Sequoia* did not involve hybridization among extant redwood**  
301 **lineages.**

302 Our phylogenetic results support an autopolyploid origin for hexaploid *Sequoia*, with no  
303 evidence to support hybridization among modern redwood lineages. Single-copy trees  
304 convey strong support for *Sequoiadendron* as the closest relative of *Sequoia*, suggesting  
305 there was no genome contribution from *Metasequoia*. The lack of evidence that

306 *Metasequoia* was involved with the polyploid origins of *Sequoia* puts some long-held  
307 hypotheses to rest (e.g. Stebbins, 1948; Saylor & Simons, 1970). However, as these  
308 phylogenies include only one copy for hexaploid *Sequoia*, they could not distinguish  
309 between autopolyploidy within the *Sequoia* lineage or autoallopolyploidy within the  
310 *Sequoiadendron-Sequoia* clade. Single-copy trees may also be inconclusive due to  
311 extreme copy-specific expression or genome dominance, where genes from one parental  
312 genome are preferentially expressed (e.g. Woodhouse et al., 2014). Therefore, we sought  
313 additional evidence by studying orthogroups that included 2 or 3 distinct sequence  
314 variants, putatively homeologs, from *Sequoia*. Phylogenetic analyses of these  
315 orthogroups strongly support monophyly of *Sequoia* homeologs, suggesting that all gene  
316 copies in *Sequoia* originate from the same redwood lineage.

317

### 318 **Polyploidy in *Sequoia* arose relatively recently.**

319 The similarity of the  $K_s$  plots obtained from polyploid *Sequoia* and diploids  
320 *Sequoiadendron* and *Metasequoia* (Fig. 2), and specifically the lack of a recent peak  
321 restricted to *Sequoia*, is initially surprising, as these methods have been widely used to  
322 diagnose polyploidization events in numerous plant lineages (e.g. Barker et al., 2008; Jiao  
323 et al., 2011). This pattern might be expected if autopolyploidy had occurred very  
324 recently, such that the level of divergence among homeologs is not much different than  
325 that among alleles at a particular locus (Vanneste et al. 2013), but the fossil data suggests  
326 polyploidization as early as the Eocene. One possible explanation for the lack of a  
327 polyploidization peak is that only one homeolog is expressed in leaves. Such genome  
328 dominance has been observed in other polyploid species (e.g., Adams et al. 2004).  
329 However, the fact that we found many genes with two or three distinct copies in *Sequoia*  
330 but only one in each diploid argues against uniform silencing of all but one homeolog.

331

332 To further explore the history of gene duplication, we inferred trees for alignments that  
333 included one transcript in diploids and two or three from *Sequoia* and then inferred the  
334 branch lengths of this tree in  $K_s$  units. We found that  $K_s$  estimates between even the most  
335 divergent *Sequoia* homeologs were very low ( $>0.10$ ). One possible explanation is that  
336 *Sequoia* experienced a long period of multisomic inheritance following autopolyploidy

337 during which time homeologs tended to be repeatedly recombined, resulting in much  
338 lower  $K_s$  values (described in Wolfe, 2001). These observations highlight some caveats  
339 of using paralog age distribution graphs alone to infer recent polyploidization events, or  
340 to study ancient whole genome duplication events that were accompanied by extended  
341 periods of multisomic inheritance.

342

343 Fitting a mixture model of normal distributions to  $K_s$  estimates between homeologs  
344 yielded two distinct, but overlapping Gaussian distributions. This suggests two whole  
345 genome duplication events are included in our age distribution data. Using a mutation  
346 rate calibration for conifer  $K_s$  divergence, we estimated the timing of the first whole  
347 genome duplication in *Sequoia* to have occurred around 10 Ma, with the second  
348 occurring more recently, about 3 Ma. These dates are in apparent contradiction to the  
349 discovery of *Sequoia* fossils in the Eocene (33-53 Ma) with guard cells of a size taken to  
350 be indicative of polyploidy (Ma et al., 2005). One possible explanation for this  
351 discrepancy is that the mutation rate is three-fold lower in *Sequoia* (or redwoods in  
352 general) than in other conifers. However, although some redwoods may have extremely  
353 long life spans, such a great different in the rate of synonymous substitutions seems  
354 improbable.

355

356 A second possibility is that the Eocene fossils represent an independent instance of  
357 polyploidy in a closely related lineage that was misclassified as being in *Sequoia*. It is  
358 noteworthy that some plant groups that acquire the propensity to undergo polyploidy, do  
359 so repeatedly, a possible case in point being the *Ephedra* lineage, which appears to have  
360 experienced multiple whole genome duplication events (Ickert-Bond, 2003). Further  
361 evaluating this hypothesis would require measurements of guard cells in a much larger  
362 number of different aged *Sequoia* fossils from different geographic locations.

363

364 The final possible explanation for the low divergence of putative homeologs in *Sequoia* is  
365 that while autopolyploidy occurred in the Eocene (or even earlier), multisomic  
366 inheritance persisted for a long period of time, possibly even to the present for some loci.  
367 In such a case the gene duplication events we dated would not correspond to the

368 polyploidy event per se but would reflect subsequent, recombinational homogenization.  
369 This hypothesis is consistent with multivalent formation in modern *Sequoia*, and suggests  
370 a very slow diploidization process following whole genome duplication in *Sequoia*.

371

### 372 **Implications for polyploidization patterns in gymnosperms.**

373 Given what we know about polyploidy in *Sequoia*, what conclusions can we draw about  
374 patterns of polyploidization in gymnosperms overall? With the exception of *Ephedra*,  
375 instances of polyploid gymnosperms are limited to monospecific genera (e.g. *Sequoia*,  
376 *Fitzroya*), or even just to polyploid individuals within diploid species (e.g. *Juniperus x*  
377 *pfitzeriana*; Ahuja, 2005). If polyploidy in gymnosperms is associated with small clades,  
378 as seems to be the case, we can infer that polyploidy either hinders speciation or  
379 promotes extinction of gymnosperm lineages, or both.

380

381 The apparent mismatch between the inferred age of gene duplication and the timing of  
382 polyploidization as seen in the fossil record suggests an intriguing hypothesis to explain  
383 the paucity of polyploidy in gymnosperms. Perhaps diploidization happens more slowly  
384 in gymnosperms (except perhaps *Ephedra*) than in angiosperms. The main long-term  
385 benefits of polyploidy (potential sub- and neo-functionalization of genes) require  
386 divergence among homeologous chromosomes, which can only happen once loci are  
387 diploidized. Thus, continued multisomic inheritance precludes the emergence of any  
388 evolutionary advantage in polyploid lineages.

389

390 If polyploidy in gymnosperms is more burden than boon, the persistence of hexaploid  
391 *Sequoia* may reflect an ability to avoid extinction rather than superior fitness. In this  
392 regard it is perhaps noteworthy that *S. sempervirens* manifests some traits that might help  
393 stave off extinction, namely clonal reproduction, self-compatibility, and extreme  
394 longevity. In coast redwood populations, suckers often emerge from the base of adult  
395 trees, extending generation time (meiosis-to-meiosis) almost indefinitely. Furthermore,  
396 production of asexual stands may lead to abundant genetic selfing among clonal ramets,  
397 as coast redwoods are self-compatible (Burns & Honkala, 1990). This means that a  
398 spontaneous polyploid, perhaps gaining the transient advantage of fixed heterozygosity,

399 could spread by a combination of asexual reproduction and selfing. It is conceivable,  
400 therefore, that even after the erosion of fixed heterozygosity the lineage could persist  
401 despite never gaining the long-term advantages typically associated with polyploidy,  
402 instead suffering the concomitant problem of enlarged genome size. The only other  
403 natural polyploid in Cupressaceae, *Fitzroya cupressoides*, is a putative autotetraploid.  
404 Like *Sequoia*, *Fitzroya* is both long-lived and capable of clonal reproduction (Silla et al.,  
405 2002). Thus, while more work is needed to evaluate the occurrence of multisomic  
406 inheritance in both polyploid species (e.g. *Sequoia*, *Fitzroya*) and polyploid clones  
407 *Juniperus x pfitzeriana*, our hypothesis can both explain the rarity of neopolyploidy in  
408 gymnosperms and why *Sequoia* is an exception to this general rule.

409

#### 410 **ACKNOWLEDGEMENTS**

411 We thank Cécile Ané, Matt Johnson, and Nisa Karimi for improving this manuscript  
412 through countless discussions. Support for this project was provided by a grant to ADS  
413 and DB from Save The Redwoods League. This material is based upon work supported  
414 by the National Science Foundation Graduate Research Fellowship under Grant No.  
415 DGE-0718123 to ADS. The data analyses were partly performed using resources  
416 provided by the Swedish National Infrastructure for Computing (SNIC) at UPPMAX.

417

#### 418 **AUTHOR CONTRIBUTIONS**

419 ADS and DB designed the research and wrote the manuscript, ADS collected the data,  
420 ADS and NS analyzed the data.

421

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