

1 TITLE

2 **Audio-visual synchrony and spatial attention enhance processing of dynamic visual**
 3 **stimulation independently and in parallel: a frequency-tagging study**

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24

ABSTRACT

The neural processing of a visual stimulus can be facilitated by both, attending to its position or a co-occurring auditory tone. Using frequency-tagging we investigated whether facilitation by spatial attention and audio-visual synchrony rely on similar neural processes. Participants attended to one of two flickering Gabor patches (14.17 and 17 Hz) located in opposite lower visual fields. Gabor patches further “pulsed” (i.e. showed smooth spatial frequency variations) at distinct rates (3.14 and 3.63 Hz). Frequency-modulating the auditory stimulus at the pulse-rate of one visual stimulus established audio-visual synchrony. Flicker and pulsed stimulation elicited stimulus-locked rhythmic electrophysiological brain responses that allowed tracking the neural processing of simultaneously presented stimuli. These steady-state responses (SSRs) were quantified in the spectral domain to examine visual stimulus processing under conditions of synchronous vs. asynchronous tone presentation and when respective stimulus positions were attended vs. unattended. Strikingly, unique patterns of effects on pulse- and flicker driven SSRs indicated that spatial attention and audiovisual synchrony facilitated early visual processing in parallel and via different cortical processes. We found attention effects to resemble the classical top-down gain effect facilitating both, flicker and pulse-driven SSRs. Audio-visual synchrony, in turn, only amplified synchrony-producing stimulus aspects (i.e. pulse-driven SSRs) possibly highlighting the role of temporally co-occurring sights and sounds in bottom-up multisensory integration.

INTRODUCTION

Behavioral goals, as well as the physical properties of sensory experiences, shape how neural processes organize the continuous and often rich influx of sensory information into meaningful units. One such process, selective attention, serves to prioritize currently behaviorally relevant sensory input while attenuating irrelevant aspects (Posner et al., 1980; Treisman and Gelade, 1980). In a visual search display, for example, items matching the color or orientation of a pre-defined target stimulus undergo prioritized processing relative to other items (Treisman and Gelade, 1980; Wolfe, 1994; Wolfe et al., 1989). Another process exploits the spatial and temporal structure of dynamic sensory input, extracting regularities either in the visual modality alone (Alvarez and Oliva, 2009; Lee, 1999) or, by cross-referencing co-occurrences across sensory modalities (Fujisaki and Nishida, 2005). In fact, aforementioned visual search can be drastically improved by presenting a spatially uninformative tone pip that coincides (repeatedly) with a sudden change in target appearance in a dynamic search array (Van der Burg et al., 2008). This pop-out effect has been ascribed to a gain in relative salience of the target stimulus caused by the unique integration of auditory and visual information. The impression of a multisensory object hereby hinges on the temporal precision of coinciding unisensory inputs, also termed audio-visual synchrony, a critical cue for multisensory integration (Werner and Noppeney, 2011). Consecutive synchronous co-occurrences of the same auditory and visual stimulus components further increase the likelihood of multisensory integration (Parise, 2012). Generalizing this multisensory effect to our everyday experience of dynamic cluttered visual scenes, Talsma et al (2010) put forward that multisensory objects tend to involuntarily attract attention towards their position. As a consequence, they would gain an automatic processing advantage over unisensory stimuli. In a task that requires a sustained focus of attention on a specific position in the visual field multisensory stimuli may then act as strong

distractors (Krause et al., 2012) because they withdraw common processing resources from the task-relevant focus of attention.

Interestingly, this influence seems to work both ways: As Alsius et al. (2005) have shown focusing on a visual task impedes the integration of concurrent but irrelevant visual and auditory input. This effect has been related to the concept of the temporal binding window, a period during which co-occurring attended visual and auditory stimuli are most likely to be integrated (Colonius and Diederich, 2012). The window can expand for stimuli appearing at attended locations but remains unaffected (or contracts) when spatial attention is averted (Donohue et al., 2015).

Both phenomena - the involuntary orientation of spatial attention towards multisensory events as well as impeded multisensory integration when maintaining focused attention - have largely been studied in isolation (Talsma et al., 2010). We frequently encounter situations, however, in which the two biases can act concurrently. Additionally, they may fluctuate between having conjoined and conflicting effects over time depending on whether attended positions and multisensory events overlap or diverge in the visual field.

This complex interplay therefore warranted a dedicated investigation in a paradigm that allowed contrasting both cases directly. In the present study, we manipulated trial by trial whether participants attended to a dynamic audio-visual synchronous stimulus while leaving a concurrently presented asynchronous stimulus unattended or vice versa.

We probed early cortical visual processing by tagging stimuli with distinct temporal frequencies (Norcia et al., 2015; Regan, 1989). This frequency-tagged stimulation elicited periodic brain responses, termed steady-state responses (SSRs). SSRs index continuous processing of individual stimuli in multi-element displays and have been demonstrated to indicate the allocation of spatial attention (Kim et al., 2007; Müller et al., 1998a; Walter et al., 2012) as well as audio-visual synchrony, (Jenkins et al., 2011; Keitel and Müller, 2015; Nozaradan et al., 2012).

Crucially, employing frequency-tagging allowed us to tease apart the relative facilitating effects of both factors as follows: Our paradigm featured two Gabor patches, one per lower visual hemifield, that each displayed two rhythmic physical modulations: As in classical frequency-tagging experiments they were flickering on and off at different rates (14.17 and 17 Hz, respectively). Additionally, spatial frequencies of the Gabor patches modulated smoothly at slower rates (3.14 and 3.62 Hz, respectively), which gave the impression of a pulsation-like movement (see *Figure 1*). The latter modulation was exploited to introduce audio-visual synchrony with a concurrently presented tone that carried a frequency modulation with the same temporal profile as one of the visual stimuli (Giani et al., 2012; Hertz and Amedi, 2010 for similar approaches; see Keitel and Müller, 2015). Participants were then cued randomly on each trial to attend to one of the two stimulus positions, while one of the two Gabor patches pulsed in synchrony with the tone. This paradigm enabled comparisons of SSR-indexed visual processing between four cases of Gabor patch presentation: attended synchronous (A+S+), attended asynchronous (A+S-), unattended synchronous (A-S+) and unattended asynchronous (A-S-). We expected our data to replicate well-described gain effects of top-down cued spatial attention on flicker-driven SSRs (Keitel et al., 2013; Kim et al., 2007; Müller et al., 1998a). Further, we assumed that these gain effects extend to pulsation-driven SSRs, because spatial attention should prioritize any information presented at an attended location. Secondly, we hypothesized that in line with previous findings (Nozaradan et al., 2012) audio-visual synchrony produced gain effects on SSRs. In contrast to attentional gain, results of an earlier investigation suggested that synchrony-related gain effects may be specific to pulsation-driven SSRs. Using a paradigm similar to the present study, Keitel and Müller (2015) found that an SSR component with a frequency of twice the pulsation rate was exclusively susceptible to synchrony-related gain effects. At this rate, the stimulation presumably contained strong transients critical for establishing audio-visual synchrony

(Werner and Noppeney, 2011). If that were the case the current paradigm was expected to produce similarly selective effects. Alternatively, however, if audio-visual synchrony simply attracted spatial attention then synchrony-related facilitation should mirror the pattern of attention-related gain effects on pulse- and flicker-driven SSRs. More specifically, synchrony alone should produce gain effects for flicker-driven SSRs.

Comparable patterns of attention- and synchrony-related facilitation would further point towards an account in which they may draw upon similar resources and therefore interact in facilitating visual processing: An attended stimulus would benefit less from audio-visual synchrony compared with an unattended synchronous stimulus, because attention has already been allocated to its position. However, if attention- and synchrony-related facilitation relied on distinct neural resources, they were assumed to have independent additive effects on SSRs.

The latter finding could then be cast in a framework in which spatial attention biases are conveyed top-down via a fronto-parietal cortical network (Corbetta and Shulman, 2002), whereas audio-visual synchrony may have been established bottom-up via direct cortico-cortical connections or subcortical relays (Lakatos et al., 2009; van Atteveldt et al., 2014).

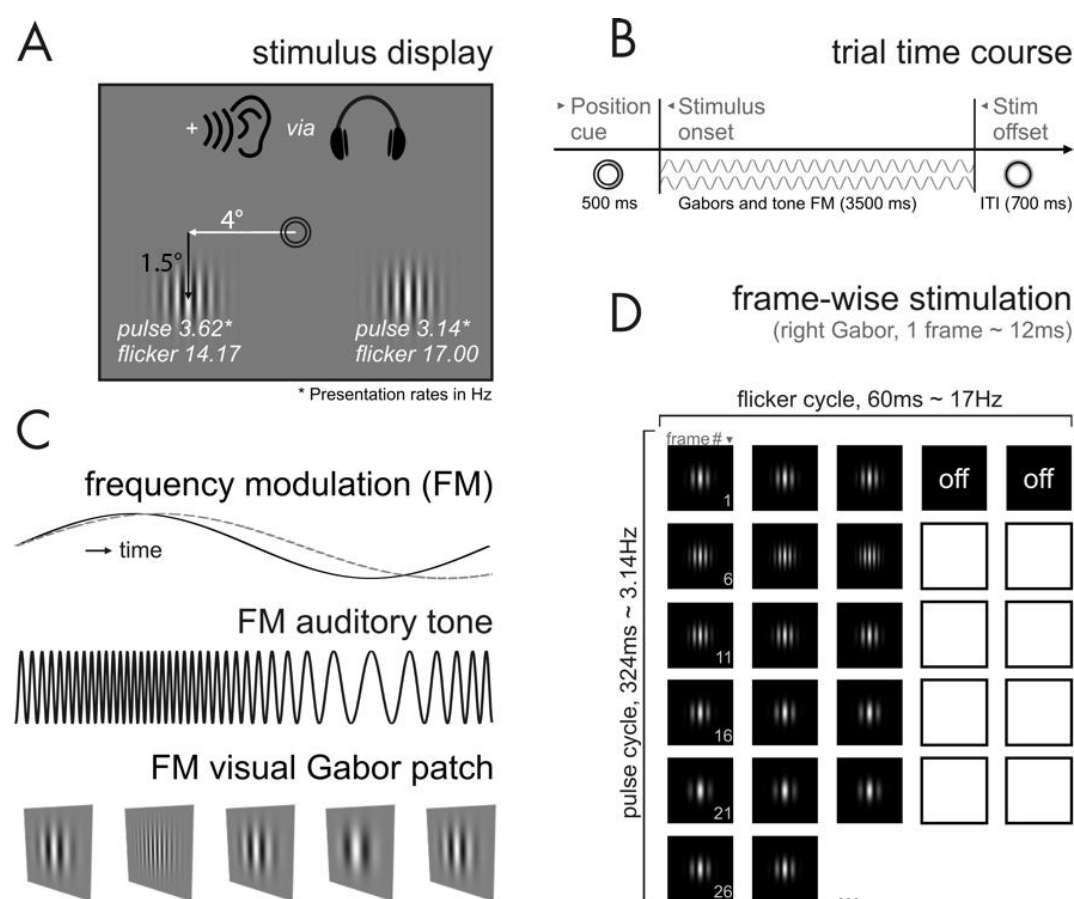


Figure 1 Stimulation details. (A) On-screen stimulus display comprising central fixation rings and one Gabor patch per lower left and right visual hemifield. All items not to scale. Participants received auditory stimulation via headphones. (B) Schematic trial time course. An instructive position cue allocates attention to the left or right stimulus. Subsequent ongoing Gabor-patch and tone stimulation are represented by grey sinusoids. (C) A common frequency modulation (FM; solid black line) of auditory tone pitch and the spatial frequency of one of the two Gabor patches produces a synchronous pulsing audio-visual percept. Concurrently, the spatial frequency of the other Gabor patch modulates at a slightly different frequency (dashed grey line), thus rendering it asynchronous to the tone. (D) Frame-by-frame visual stimulation for the right Gabor patch. The illustration shows the first 27 frames of each trial. Note the emphasis on the on-off cycles leading to a 17-Hz flicker along the horizontal axis (white boxes depict further off-frames) and one full cycle of the spatial frequency modulation leading to a 3.14-Hz ‘pulsation’ along the vertical axis.

METHODS

Participants

We collected data from 14 participants with normal or corrected-to-normal vision and normal hearing. Participants gave informed written consent prior to experiments. None reported a history of neurological diseases or injury. They received course credit or a small monetary compensation for participation. The experiment was conducted in accordance with the Declaration of Helsinki and the guidelines of the ethics committee of the University of Leipzig.

Two participants showed excessive eye movements during EEG recordings and were thus excluded. Data of 12 participants aged 18 – 31 years (all right-handed, 9 female) entered analyses.

Stimulation

Stimuli were presented on a 19-inch cathode ray tube screen positioned 0.8 m in front of participants. The screen was set to a refresh rate of 85 frames per second and a resolution of 1024 x 768 pixel (*width x height*). Visual experimental stimulation consisted of two monochrome Gabor patches with a diameter of $\sim 3^\circ$ of visual angle, one located in the lower left and the other one located in the lower right visual field at eccentricities of 4° from vertical and 1.5° from horizontal meridians (see *Figure 1a*). Stimuli were presented against a grey background (RGB: 128,128,128; luminance = 30 cd/m²). Two black concentric circles ($.4^\circ$ of visual angle outer eccentricity, RGB: 0, 0, 0) in the center of the display served as fixation point.

Both Gabor stimuli underwent two independent periodic changes in the course of a trial: (1) The left patch presentation followed a cycle of 4 on-frames and 2 off-frames (2/1 on/off-ratio) resulting in a 17 Hz flicker. The right patch flickered at a rate of 14.2 Hz achieved by repetitive cycles of 3 on-frames and 2 off-frames (3/2 on/off-ratio). (2) While flickering, the

spatial frequency of the Gabor patches oscillated between a maximum of 2 Hz/° and a minimum of 1 Hz/° at a rate of 3.14 Hz for the right patch and 3.62 Hz for the left patch. Periodic spatial frequency changes gave the impression of alternating contractions and relaxations that led to the percept of pulsing Gabor patches over time (*Figure 1b-d*). Pulse frequencies were chosen based on pilot experiments that served to determine a trade-off frequency range in which pulsing was readily perceptible, yet, still allowed driving periodic frequency-following brain responses (SSRs).

In addition to the visual stimuli we presented a tone with a center frequency of 440 Hz binaurally via headphones. The frequency of the tone was rhythmically modulated following sinusoidal excursions from the center frequency (10% maximum excursion = ± 44 Hz). On each trial the modulation rate exactly matched the pulse rate of one of the two Gabor patches. Common rhythmic changes over time resulted in sustained audio-visual synchrony (see e.g. Schall et al., 2009).

Prior to the experiment, we employed the method of limits (Leek, 2001) to approximate individual hearing thresholds using one of the experimental stimuli, a 3.14-Hz frequency modulated tone (see e.g. Herrmann et al., 2014; Keitel and Müller, 2015). In our implementation, participants listened to a series of 10 tone sequences with a maximum duration of 15 s per sequence. Tone intensity changed during each sequence while alternating between log-linear decreases and increases across sequences. Participants were instructed to indicate by button press when they stopped or started hearing respective tones. Cross-referencing button response times with tone intensity functions yielded individual estimates of psychophysical hearing thresholds, i.e. sensation levels (SL). In the experiment, acoustical stimulation was presented at an intensity of +35 dB SL.

Procedure and Task

Participants were seated comfortably in an acoustically dampened and electromagnetically shielded room and directed gaze towards the fixation ring on the computer screen. At the beginning of each trial, participants were cued to attend exclusively to the left or the right visual stimulus. To this end, a green semi-circle appeared inside the fixation ring for 500 ms either on the right or the left internal side of the ring to indicate the relevant Gabor patch. Subsequently, the two pulsing Gabor patches and the tone were presented for 3500 ms. At the end of each trial, the fixation ring remained on screen for an extra 700 ms allowing participants to blink before the next trial started (*Figure 1b*).

Participants were instructed to respond to occasionally occurring luminance changes of the cued Gabor patch (= targets) while ignoring similar events in the other patch (= distractors). During such events, Gabor patch luminance faded out to a minimum of 50% and back in within a 300 ms interval. Targets and distractors occurred in 50% of trials and up to 3 times in one trial with a minimum interval of 800 ms between subsequent onsets. Behavioral responses were recorded as space-bar presses on a standard keyboard. The responding hand was changed halfway through the experiment with the starting hand counterbalanced across participants.

We manipulated the two factors *attended position* (left vs. right Gabor patch) and audio-visual *synchrony* between attended Gabor patch and tone (synchronous vs. asynchronous) in a fully balanced design. Trials of the resulting four conditions – attended synchronous (A+S+), attended asynchronous (A+S-), unattended synchronous (A-S+) and unattended asynchronous (A-S-) – were presented in a pseudo-randomized order. Note that the tone was always in sync with one of the two Gabor patches. Therefore, in the two conditions in which the tone was out of sync with the attended Gabor patch, it was in sync with the unattended patch.

In total, we presented 600 trials (= 150 trials per condition) divided into 10 blocks (~5 min each). Before the experiment, participants performed training for at least one block. After each training and experimental block, they received feedback on the average hit rate and reaction time.

Behavioral data recording and analyses

Responses were considered a ‘hit’ when the space bar was pressed between 200 to 1000 ms after target onset. We further defined correct rejections as omitted responses to distractor stimuli. Based on these data, we calculated the response accuracy as the ratio of correct responses (number of hits and correct rejections) to the total number of targets and distractors for each condition and participant. Accuracies were subjected to a two-way repeated measures analysis of variances (ANOVA) with factors of *attended position* (left vs. right Gabor patch) and *synchrony* (synchronous vs. asynchronous). Response speed, quantified as median reaction times, was analyzed accordingly.

For all repeated measures ANOVAs conducted in this study effect sizes are given as η^2 (eta-squared). Where applicable, the Greenhouse–Geisser (GG) adjustment of degrees of freedom was applied to control for violations of sphericity (Greenhouse and Geisser, 1959). Original degrees of freedom, corrected p-values (P_{GG}) and the correction coefficient epsilon (ϵ_{GG}) are reported.

Further Post-hoc tests – two-tailed t-tests for paired comparisons or against zero – were applied where necessary. We applied the Holm-Bonferroni procedure to correct p-values (P_{HB}) for multiple comparisons (Holm, 1979).

Electrophysiological data recording

EEG was recorded from 64 scalp electrodes that were mounted in an elastic cap using a BioSemi ActiveTwo system (BioSemi, Amsterdam, Netherlands) set to a sampling rate of 256 Hz. Lateral eye movements were monitored with a bipolar outer canthus montage (horizontal electrooculogram). Vertical eye movements and blinks were monitored with a bipolar montage positioned below and above the right eye (vertical electrooculogram). From continuous data, we extracted epochs of 3500 ms starting at audio-visual stimulus onset. In further preprocessing, we excluded (1) 50% of epochs per condition (= 75) that corresponded to trials containing transient targets and distractors (= brief luminance fadings) as well as (2) epochs with horizontal and vertical eye movements exceeding 25 μ V (= 2.5° of visual angle), or containing blinks. To correct for additional artefacts, such as single noisy electrodes, we applied the ‘fully automated statistical thresholding for EEG artefact rejection’ (Nolan et al., 2010). This procedure corrected or discarded epochs with residual artefacts based on statistical parameters of the data. Artefact correction employed a spherical-spline-based channel interpolation. For each participant FASTER interpolated up to 4 electrodes (median = 2) across recordings and an average of up to 5.6 electrodes (minimum = 1.9, median = 3.6) per epoch. Note that epochs with more than 12 artefact-contaminated electrodes were excluded from further analysis. In total, we discarded an average of 15% of epochs per participant and condition. Subsequently, data were re-referenced to average reference and averaged across epochs for each condition and participant, separately. Basic data processing steps such as extraction of epochs from continuous recordings and re-referencing made use of EEGLAB (Delorme and Makeig, 2004) in combination with custom routines written in MATLAB (The Mathworks, Natick, MA).

Electrophysiological data analyses

In our analyses we focused on two neural markers that have been repeatedly demonstrated to index attentional modulation: SSR amplitudes (Morgan et al., 1996; Müller and Hubner, 2002; Quigley and Müller, 2014) and SSR inter-trial phase coherence (ITC, Kashiwase et al., 2012; Kim et al., 2007; Porcu et al., 2013). Both measures also reflect effects of audio-visual synchrony on early visual processing (Nozaradan et al., 2012). Approaches to derive amplitudes and inter-trial phase coherence differ and thus are described separately below. Both approaches required spectral decompositions of EEG time series for which we used the Fieldtrip toolbox (Oostenveld et al., 2011).

SSR power

Artefact-free epochs were truncated to segments of 3000 ms that started 500 ms after audio-visual stimulation onset and averaged separately for each EEG sensor, experimental condition and participant. The first 500 ms were omitted in order to exclude event-related potentials to stimulus onset from spectral analyses. From de-trended (i.e. linear trend removed) 3000 ms segments we quantified power (= squared amplitude) spectra by means of Fourier transforms. *Figure 2a* illustrates that our stimulation was effective in driving distinct SSRs: Power spectra pooled across all 64 scalp electrodes and experimental conditions showed clear peaks at the stimulation rates. Notably, spectra revealed strong harmonic responses at twice the pulse frequencies (6.28 and 7.24 Hz). We included these pulse-driven harmonics in further analyses because fundamental and harmonic responses have been hypothesized to reflect different aspects of stimulus processing (Kim et al., 2011; Pastor et al., 2007; Porcu et al., 2013) and showed modulation by synchrony in a previous study (Keitel and Müller, 2015). Grand-average topographical distribution of pulse-driven as well as flicker-driven SSR power averaged over conditions showed widespread maxima at parieto-occipital electrode sites

(scalp maps in *Figure 2a*) that are typically observed in experiments with lateralized flicker stimulation (see e.g. Keitel et al., 2013).

For each participant and condition, SSR amplitudes were averaged across a cluster of 15 electrodes covering parieto-occipital maxima (Oz, O1, O2, Iz, I1, I2, POz, PO3, PO4, PO7, PO8, P7, P8, P9, P10; as indicated in left-most scalp map in *Figure 2a*) and normalized by taking the decadic logarithm, then multiplying it by 20, to yield dB-scaled values (termed log-power in the following).

SSR log power was subjected to four-way repeated measures analysis of variances (ANOVAs) with factors of driving *stimulus position* (left vs. right hemifield), *attention* (attended vs. unattended), *synchrony* (synchronous vs. asynchronous) and *SSR component* (pulse 1f, pulse 2f and flicker 1f).

The factor *stimulus position* had no effect on SSR log power and did not show any interaction with the other factors (see *Results*). This afforded collapsing normalized power across left and right stimuli, i.e. across pulse frequency following ('pulse 1f') 3.14 Hz and 3.62 Hz, pulse frequency doubling ('pulse 2f') 6.28 and 7.24 Hz, as well as flicker frequency following ('flicker 1f') 14.17 and 17.00 Hz SSRs, respectively, in subsequent analyses.

SSR inter-trial phase coherence

We computed inter-trial phase coherence (Cohen, 2014) based on Fourier transforms of artefact-free single trial epochs, truncated to 3000 ms segments (as described above for SSR amplitude analyses) according to:

$$ITC(f) = \left| \frac{1}{N} \sum_{n=1}^N \frac{c_n(f)}{|c_n(f)|} \right| \quad [1]$$

where $c_n(f)$ is the complex Fourier coefficient of trial n at frequency f and $|\cdot|$ indicates the absolute value. Inter-trial phase coherence as a measure of SSR modulation has been introduced to SSR analyses more recently (Kim et al., 2007; Nozaradan et al., 2012) and SSR amplitude and phase coherence have demonstrated different sensitivities to top-down

influences on sensory processing (Kashiwase et al., 2012; Porcu et al., 2013). SSR Inter-trial phase coherence can be visualized as spectra that typically display narrow peaks at stimulation frequencies and higher order harmonics (Nozaradan et al., 2012; Ruhnu et al., 2016).

Similar to SSR amplitudes, ITCs showed broad topographic maxima at parieto-occipital electrode sites. Condition-averaged ITC spectra pooled across the 15-electrode cluster as described above (see *SSR amplitudes*) revealed distinct peaks at the six frequencies of interest (*Figure 2b*).

Pooled ITCs were subjected to a four-way ANOVA with a design identical to SSR amplitude analyses. Note that ITCs were normalized by taking the natural logarithm prior to statistical evaluation.

Power of the ongoing EEG and SSRs

As depicted in *Figure 2c*, SSRs have very low signal-to-noise ratios when being evaluated on the basis of averaged single-trial power spectra. Instead, these spectra accentuate the typical $1/f^\alpha$ profile of power decreasing towards higher frequencies as well as peaks in the vicinity of 10 Hz that are consistent with alpha rhythmic brain activity. In turn, these features are much attenuated in SSR ‘evoked’ power and ITC spectra (*Figures 2a and b*).

Joint analyses of SSR amplitude and inter-trial phase coherence modulation

As laid out in the Results section, both of our manipulations, spatial attention and audio-visual synchrony, revealed distinct patterns of effects on SSR amplitudes and ITCs. To further characterize and compare these effects we computed an index that expressed attention- and synchrony-related amplitude and ITC modulations for each subject and SSR frequency component f (pulse 1f, pulse 2f and flicker 1f) according to:

$$356 \quad AMI_f = \frac{Amp_f^{att} - Amp_f^{ign}}{Amp_f^{att} + Amp_f^{ign}} \quad [2]$$

357 where *Amp* represents SSR amplitudes pooled across left and right stimuli. This attention
358 modulation index (AMI) expressed the net gain effect of attention (*att* = attended, *ign* =
359 ignored). A similarly scaled synchrony modulation index (SMI) was computed by contrasting
360 SSR amplitudes between in-sync and out-of-sync conditions. We were thus able to compare
361 both indices directly. Entering ITCs instead of SSR amplitudes into formula (1) yielded ITC-
362 based AMIs and SMIs.

363 ANOVAs carried out for SSR amplitudes and ITC revealed that *attention* and *synchrony*
364 influenced SSRs additively, i.e. no interaction between these factors was found (see *Results*).
365 This finding justified collapsing AMIs across synchrony conditions and SMIs across attention
366 conditions for each SSR component, separately, in the following analyses. As an example, we
367 pooled the AMIs expressing the gain between synchronous conditions (A+S+ vs A-S+) and
368 asynchronous conditions (A+S- vs A-S-).

369 Additionally, we applied a Bayesian inference approach because in contrast to the classical
370 frequentist inference it allows determining the amount of evidence in favor of the null
371 hypothesis (H_0 : no interaction) explicitly. To this end, we estimated Bayes factors (Rouder et
372 al., 2012), i.e. the plausibility of a specific model given the data, for SSR power and ITC for
373 the following two models: an additive model A + S (*attention* plus *synchrony*) and a model
374 additionally containing an interactive term A + S + (A * S). The analysis was performed by
375 means of the function *anovaBF* provided by the R (version 3.3.0; R Core Team, 2013)
376 package *Bayes factor* v0.9.12-2 (Morey et al., 2015). We adopted the Jeffrey-Zellner-Siow
377 (JZS) prior with a standard scaling factor *r* of .707 (Rouder et al., 2012; 2009; Schönbrodt and
378 Wagenmakers, 2015). A default of 10,000 iterations were used for the Monte-Carlo
379 sampling. Participants were considered as random factor. Importantly, Bayesian modelling

380 favored the additive model (see *Results*) and further justified calculating AMIs and SMIs.
 381 Results were robust against changing scaling factors.
 382 Finally, AMIs and SMIs were entered into a three-way ANOVA with factors of *SSR component*
 383 (pulse 1f, pulse 2f, and flicker 1f), *gain type* (attention vs synchrony) and *gain measure* (SSR
 384 amplitude vs ITC).

386 RESULTS

387 Behavioral data

388 Participants detected luminance fadings more accurately when attending to left Gabor
 389 patches (main effect *attended stimulus*: $F(1,11) = 32.30$, $P < 0.001$, $\eta^2 = 0.579$; see *Table 1*).
 390 Accuracy remained unaffected by in-sync vs. out-of-sync tone presentation (main effect
 391 *synchrony*: $F(1,11) < 1$). The interaction of both factors was not significant ($F(1,11) < 1$).
 392 Reaction times decreased slightly when participants performed the task on in-sync Gabor
 393 patches (main effect *synchrony*: $F(1,11) = 9.27$, $P < 0.05$, $\eta^2 = 0.061$; see *Table 1*) but was
 394 comparable between left and right stimuli (main effect *attended location*: $F(1,11) < 1$). As for
 395 accuracy, the interaction of both factors remained negligible ($F(1,11) < 1$).

398 **Table 1** Average behavioral performance in the visual fading detection task (N = 12).

Attended Stimulus		Left		Right	
Synchrony		S+	S-	S+	S-
Proportion	<i>M</i>	85.6 %	84.2 %	76.4 %	76.8 %
correct (%)	$\pm SEM$	2.2 %	2.0 %	2.4 %	2.7 %
Reaction	<i>M</i>	674	662	667	662
time (ms)	$\pm SEM$	14	16	16	13

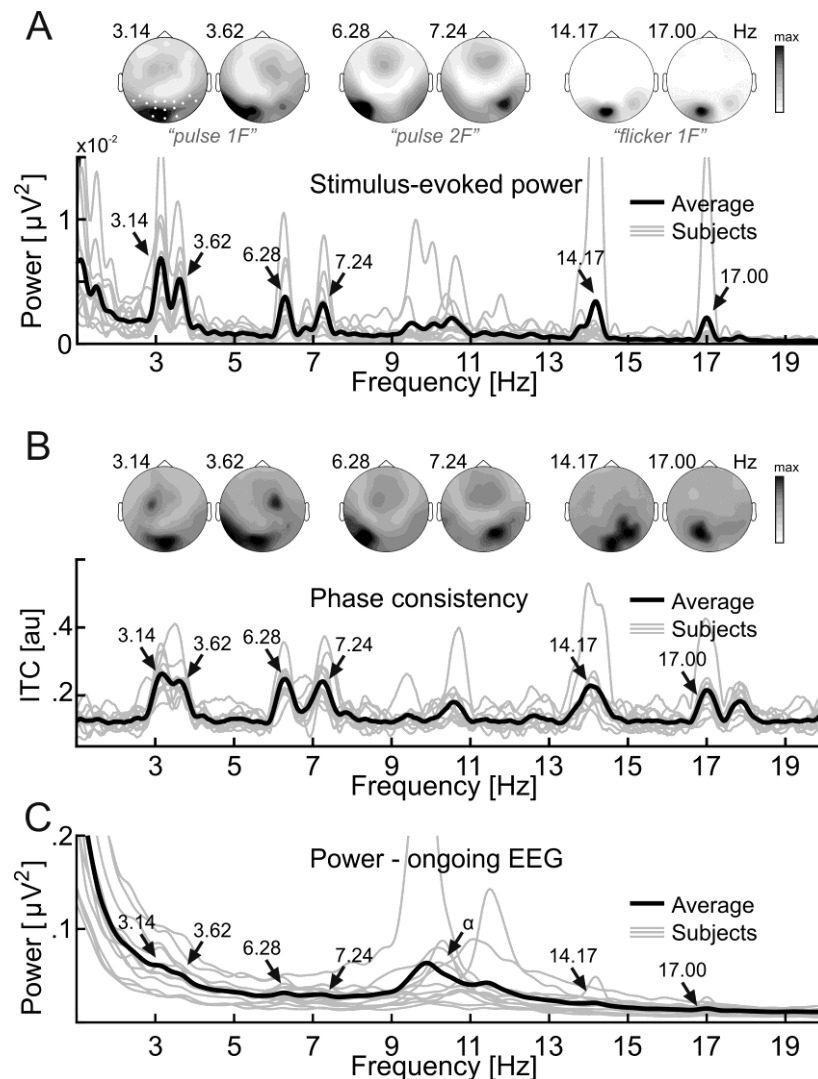


Figure 2 Stimulus-driven steady-state responses (SSRs) – spectra and scalp maps. (A) SSR power extracted from spectral decomposition of trial-averaged EEG waveforms, thus “stimulus-evoked”. Scalp maps show topographical distributions of power for the pulse-frequency following (*pulse 1f*), pulse-frequency doubling (*pulse 2f*) and flicker-frequency following (*flicker 1f*) SSR components driven by left and right stimuli respectively. White dots in left-most scalp map highlight the uniform sensor cluster used in all data analyses. Spectra below depict condition-averaged individual power spectra (grey lines) and, superimposed in black, the grand-average spectrum. Arrows indicate peaks that correspond to the respective driving frequencies (in Hz). (B) Same as (A) but for SSR inter-trial phase consistency (ITC). (C) Power spectra based on averaged spectral decompositions of single trials for comparison. Note that this approach emphasizes spectral characteristics of the ongoing EEG, such as the alpha rhythm (see peaks around 10 Hz, denoted α), over SSRs given our stimulation.

414 EEG data

415 We focused our analyses on SSR amplitudes and inter-trial phase coherence values (ITCs) to
 416 evaluate effects of spatial attention and audio-visual synchrony on early visual stimulus
 417 processing. Each stimulus drove three spectrally distinct SSR components: one at the
 418 frequency of stimulus pulsation, another one at twice the pulsation rate and a third
 419 following stimulus flicker (i.e., pulse 1f, pulse 2f and flicker frequencies, respectively). Note
 420 that for statistical evaluation, all data were collapsed across left and right stimuli and thus
 421 across specific frequencies within each category of SSR components: For example, data of
 422 3.14 Hz (right stimulus) and 3.62 Hz (left stimulus) pulsation-driven SSRs were pooled to
 423 yield aggregate pulse 1f SSR amplitudes and ITCs.

424

425 SSR power

426 SSR power decreased with increasing stimulus presentation rate (main effect *SSR*
 427 *component*: $F(2,22) = 55.76$, $P_{GG} < 0.001$, $\epsilon_{GG} = 0.90$, $\eta^2 = 0.301$; also see *Figure 3*) as has been
 428 documented extensively before (Keitel and Müller, 2015; Porcu et al., 2014). *Figure 3c*
 429 underlines that amplitudes further varied with the allocation of attention towards stimuli
 430 (main effect *attention*: $F(1,11) = 24.15$, $P < 0.001$, $\eta^2 = 0.094$) and were affected by audio-
 431 visual *synchrony* ($F(1,11) = 71.01$, $P < 0.001$, $\eta^2 = 0.067$). Amplitudes were comparable for
 432 left and right stimuli (main effect *stimulus position*: $F(1,11) < 1$). A significant *SSR component*
 433 *x synchrony* interaction ($F(2,22) = 37.03$, $P_{GG} < 0.001$, $\epsilon_{GG} = 0.56$, $\eta^2 = 0.057$) warranted a
 434 closer investigation of synchrony effects on specific SSR components. The crucial *attention x*
 435 *synchrony* interaction ($F(1,11) = 1.12$, $P = 0.313$, $\eta^2 < 0.001$) as well as other interaction terms
 436 remained non-significant (maximum $F(2,22) = 2.94$, $P = 0.074$, $\eta^2 = 0.009$ for the *stimulus*
 437 *position x SSR component interaction*).

438 Regarding the absence of an *attention x synchrony* interaction, Bayesian inference confirmed
 439 that the additive model ($A + S$, Bayes factor $Bf \pm \text{error} = 170254 \pm 1.26\%$, tested against

random effects model) was more plausible than the interaction model ($A + S + A*S$, $Bf = 32747 \pm 2.65\%$) given our data ($Bf_{\text{additive}} / Bf_{\text{interactive}} = 5.20 \pm 2.94\%$). The *SSR component x synchrony* interaction originated from overall differences in the effect of synchrony (in-sync minus out-of-sync) on each SSR component that was most pronounced for pulse 2f components and virtually absent for flicker 1f responses (see *Figure 4a*). Specific contrasts confirmed that pulse 2f SSRs were more susceptible to synchrony effects than pulse 1f components ($t(11) = 4.19$, $P_{\text{HB}} < 0.05$). Pulse 1f components in turn showed stronger modulation than flicker 1f components ($t(11) = 5.02$, $P_{\text{HB}} < 0.05$). Lastly, pulse 2f components carried greater synchrony effects than flicker 1f components ($t(11) = 7.83$, $P_{\text{HB}} < 0.05$).

SSR inter-trial phase coherence

ITC showed substantial variation with audio-visual *synchrony* ($F(1,11) = 39.48$, $P < 0.001$, $\eta^2 = 0.113$) and the allocation of *attention* ($F(1,11) = 23.43$, $P < 0.001$, $\eta^2 = 0.139$) but no effect of *SSR component* ($F(2,22) = 2.24$, $P = 0.130$, $\eta^2 = 0.026$) or *stimulus position* ($F(1,11) < 1$). A significant *SSR component x synchrony* interaction ($F(2,22) = 16.16$, $P_{\text{GG}} < 0.001$, $\epsilon_{\text{GG}} = 0.54$, $\eta^2 = 0.064$) indicated that some SSR components were more susceptible to effects of audio-visual synchrony than others (*Figure 3b and d*). Remaining interaction terms, especially the *attention x synchrony* term ($F(1,11) < 1$), failed to indicate systematic effects (maximum $F(1,11) = 2.80$, $P = 0.082$, $\eta^2 = 0.014$ for the *attention x SSR component interaction*). Only the *synchrony x stimulus position* interaction was significant ($F(1,11) = 5.05$, $P = 0.046$) but explained a negligible amount of variance in the data ($\eta^2 = 0.003$) and was thus not further investigated.

Similar to SSR power, Bayesian inference supported the lack of an *attention x synchrony* interaction. Comparing additive ($Bf = 176889 \pm 1.82\%$) and interactive models ($Bf = 32010 \pm 2.98\%$) by means of the Bayesian approach showed evidence in favor of the additive model ($Bf_{\text{additive}} / Bf_{\text{interactive}} = 5.53 \pm 3.49\%$).

Figure 4b illustrates that the SSR component \times synchrony interaction stemmed from greater synchrony effects (in-sync minus out-of-sync) on pulse 1f than flicker 1f components ($t(11) = 4.50$, $p_{HB} < 0.05$). Also, synchrony affected pulse 2f ITC more strongly than flicker 1f components ($t(11) = 5.06$, $p_{HB} < 0.05$). Effects between pulse 1f and 2f SSRs were comparable ($t(11) = 2.09$, $p_{HB} = 0.19$).

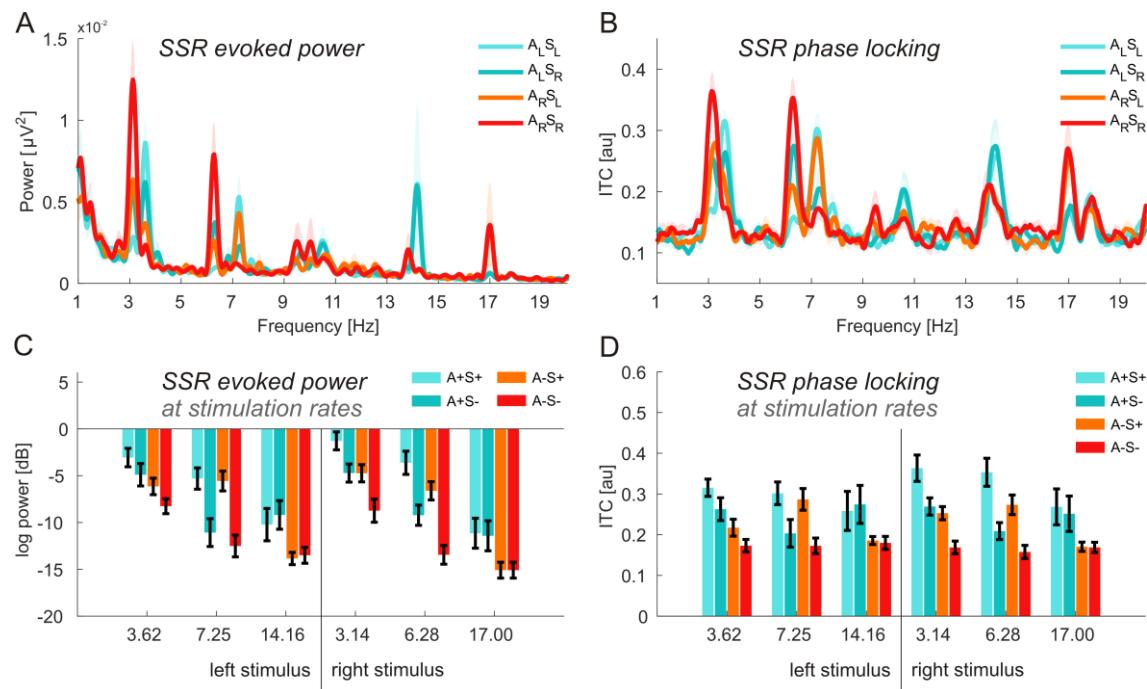


Figure 3 SSRs by condition. (A) Condition-resolved grand-average power spectra. Colors code the four experimental conditions: Attend Left – Synchronous Left ($A_L S_L$), Attend Left – Synchronous Right ($A_L S_R$), Attend Right – Synchronous Left ($A_R S_L$) and Attend Right – Synchronous Right ($A_R S_R$). Shaded areas represent standard error of the mean (SEM). (B) Same as in (A) but for SSR inter-trial phase consistency (ITC; or “phase locking”). (C) Bars depict power (on a dB scale) at SSR component frequencies (in Hz, x-axis). Note that for the purpose of intuitive comparisons the colors now code according to the following condition labels: Attended – Synchronous (A+S+), Attended – Asynchronous (A+S-), Unattended – Synchronous (A-S+) and Unattended – Asynchronous. Error bars denote SEM. (D) Same as in C but for SSR phase locking.

Attention- vs Synchrony-related gain effects

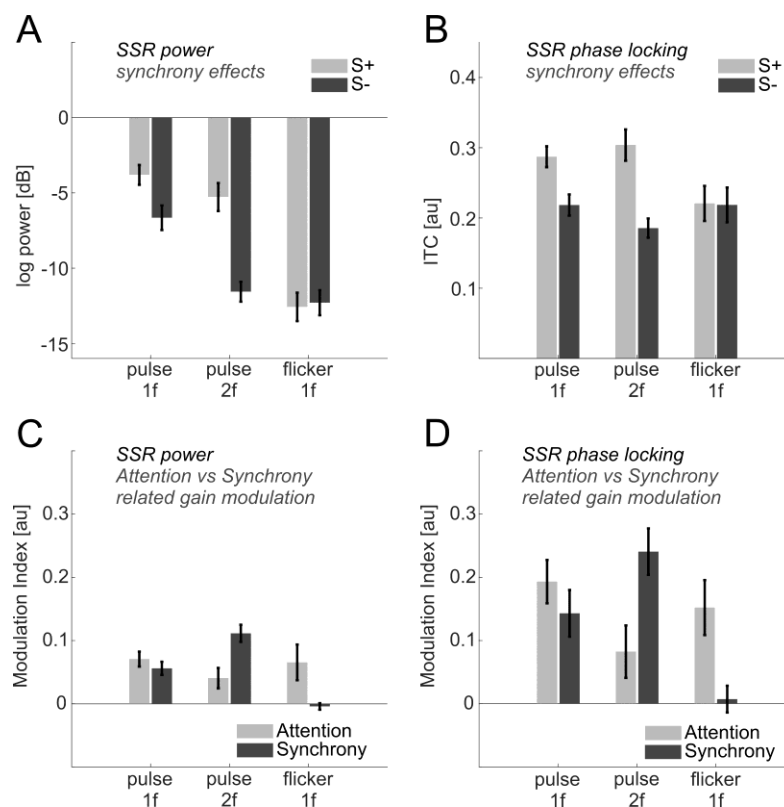
As described in detail in the methods section, we computed indices that expressed SSR attention- and synchrony-related modulation of each SSR component. These modulation indices (AMIs and SMIs) allowed for a direct statistical comparison of the magnitude of attention and synchrony-related gain effects on SSR amplitudes and ITCs. As MI analyses assumed effects of attention and synchrony to be additive, further to the non-significant *attention x synchrony* interactions reported above, we estimated the plausibility of additive vs interactive models given our data by using a Bayesian approach. The estimated Bayes factors for SSR power and ITC (see above) indicated that both results were more than 5 times more likely under the additive than the interactive model.

Comparing modulation indices based on SSR amplitudes (*Figures 4c*) and SSR phase coherence (*Figure 4d*) revealed that across measures attention and synchrony modulated SSRs similarly (main effect *gain type*: $F(1,11) < 1$) while SSR inter-trial phase coherence indicated overall modulation more strongly (main effect *gain measure*: $F(1,11) = 74.30$, $P < 0.001$, $\eta^2 = 0.12$). Gain modulation varied systematically between SSR components (main effect *SSR component*: $F(2,22) = 4.32$, $P_{GG} < 0.05$, $\epsilon_{GG} = 0.84$, $\eta^2 = 0.07$) and this effect further depended on whether attention or synchrony produced corresponding gains (*gain type x SSR component* interaction: $F(2,22) = 17.54$, $P_{GG} < 0.001$, $\epsilon_{GG} = 0.49$, $\eta^2 = 0.16$). Remaining interaction terms were not significant ($F_{max} = 2.72$, $P_{min} = 0.09$).

For a closer investigation of the interaction, SSR amplitude and ITC-based modulation indices were pooled and tested against zero. Attention systematically modulated pulse 1f ($t(11) = 6.18$, $P_{HB} < 0.001$), and flicker 1f SSR components ($t(11) = 3.21$, $P_{HB} < 0.01$) but not pulse 2f responses ($t(11) = 2.26$, $P_{HB} > 0.05$). Synchrony, in turn, modulated pulse 1f ($t(11) = 4.44$, $P_{HB} < 0.005$) and pulse 2 SSR components ($t(11) = 7.52$, $P_{HB} < 0.001$) but not flicker 1f responses ($t(11) = 0.13$, $P_{HB} > 0.05$).

509 In direct comparisons, focusing on pulse 1f and pulse 2f components, systematic attention-
 510 and synchrony related gains were comparable for pulse 1f responses ($t(11) = 0.98$, $P = 0.34$),
 511 but differed for pulse 2f responses ($t(11) = -3.73$, $P_{HB} < 0.05$), with synchrony producing
 512 greater overall gain modulation ($M = 0.176$, $SEM = 0.025$) than attention ($M = 0.062$,
 513 $SEM = 0.028$). Finally, comparing the difference of attentional and synchrony-related
 514 modulation between pulse 1f ($M = 0.032$, $SEM = 0.035$) and 2f SSR components ($M = 0.115$,
 515 $SEM = 0.032$) showed that it was greater for pulse 2f responses ($t(11) = 3.71$, $P_{HB} < 0.005$)
 516 likely giving rise to the *gain type x SSR component* interaction.

517



518

519 **Figure 4** Spotlight on synchrony effects and comparisons of attention- and synchrony-related
 520 gain. (A) SSR power for all three SSR components of interest (*pulse 1f*, *pulse 2f* and *flicker 1f*)
 521 separated by whether the driving visual stimulus was in sync (S+, light grey) or out-of-sync
 522 (S-, dark grey) with the tone. Note the synchrony-related gain in *pulse 1f* and *pulse 2f*
 523 components that is absent in *flicker 1f* responses. (B) Same as in (A) but for SSR inter-trial
 524 phase consistency (ITC or “phase locking”). (C) Bars indicate SSR power modulation by
 525 attention (light grey) and synchrony (dark grey) for all three SSR components of interest.

Note that the flicker 1f component is exclusively modulated by attention. (D) Same as in (C) but for SSR phase locking (ITC). Error bars in all plots display standard error of the mean.

DISCUSSION

The role of top-down attention in multisensory binding and, conversely, bottom-up multisensory influences on attentional orienting have been studied largely independent of each other (Talsma et al., 2010). The present study was designed to bridge this gap.

Specifically, we studied situations in which participants attended to the position of one of two pulsing and flickering stimuli providing it with a top-down processing advantage over the other stimulus. Additionally, a tone pulsing in synchrony with either the attended or unattended stimulus was introduced to produce a strong multisensory bottom-up bias in visual processing. EEG-recorded SSRs driven by stimulus flicker and pulsation allowed us to test whether and how spatial attention and audio-visual synchrony acted and possibly interacted to facilitate cortical visual stimulus processing.

We evaluated two commonly used SSR measures, evoked power and inter-trial phase coherence (ITC) to quantify modulations in stimulus processing. Both measures widely agree on patterns of effects and will thus be considered jointly as SSRs in the following. It is worth mentioning however that effects on ITC were more pronounced in general possibly qualifying it as the more sensitive measure for future research.

Briefly summarizing the results, spatial attention facilitated pulse- *and* flicker-driven SSRs. In contrast, synchrony specifically facilitated pulse-driven SSRs only with greater effects on pulse 2f components while leaving flicker 1f components unaffected. Most importantly, attention and synchrony produced independent additive gain effects. We confirmed that, given our data, an additive model of both influences was more plausible than assuming

interactive effects. These findings replicate results from an earlier study using a related paradigm. In that study we tested concurrent influences of feature-based attention and audio-visual synchrony on two spatially super-imposed Gabor patches (Keitel and Müller, 2015).

Spatial attention facilitates processing of all stimulus aspects

The described effects of spatial attention are in line with numerous studies demonstrating sensory gain effects on SSR-indexed cortical visual processing (Müller et al., 1998a; Störmer et al., 2014; Walter et al., 2015). Interestingly, our results show that spatial attention has comparable effects on SSRs driven by two different but simultaneous rhythmic changes in stimulus appearance: a relatively fast on-off flicker and a slow-paced sinusoidal spatial frequency modulation. These results support the notion that spatial attention prioritizes all aspects of sensory information within its focus (Andersen et al., 2008; Keitel and Müller, 2015) as is central to psychological (Treisman and Gelade, 1980; Wolfe, 1994) and neurophysiological models of attention (Bundesen et al., 2015; Reynolds and Heeger, 2009). Note that participants performed better in the visual detection task when they attended to the left stimulus. This effect could be due to a left-hemifield advantage as has been described previously for rapid serial visual presentation paradigms (Śmigasiewicz et al., 2014; Verleger et al., 2011). Nevertheless, SSR analyses did not show differences in stimulus processing between left and right stimulus positions. It is therefore unlikely that an imbalance in task difficulty influenced our neural measures of stimulus processing.

Synchrony selectively facilitates stimulus aspects relevant for multisensory integration

Facilitation of visual processing by audio-visual synchrony has largely been studied using transient stimuli (Busse et al., 2005; Talsma et al., 2009). So far, only a few studies have demonstrated similar effects while employing dynamic ongoing stimulation (Keitel and

Müller, 2015; Nozaradan et al., 2012; Schall et al., 2009). Prolonged exposure to synchronous sensory input, however, can be a vital factor in multisensory integration because it improves the estimate of temporal correlations between visual and auditory stimuli over time (Parise and Ernst, 2016). This is important in situations with multiple concurrent stimuli as studied here because even unrelated visual and auditory events can occur simultaneously on occasion.

Our study corroborates this role of ongoing audio-visual synchrony. Interestingly, synchrony-related gain effects were thereby restricted to SSR components that reflected stimulus pulsing (pulse 1f and 2f), i.e. those rhythmic modulations that produced the impression of synchrony.

With regard to the pulse 1f component, which was inherently linked to the auditory signal, we expected and observed an effect of synchrony. The visual stimulus dynamics were, in fact, either matched or not matched with the spectral profile of the auditory stimulus, thus providing either maximal or minimal temporal correlation.

Less intuitively, the pulse 2f component showed greater synchrony modulations than the pulse 1f SSR. In line with Keitel et al. (2015), who employed a stimulus with the same properties, the pulse 2f modulation was accounted for by the transients elicited by the stimulus at twice the stimulation frequencies during maximum up- and down-slopes of the sinusoidal modulation, or alternatively its extrema, i.e. peaks and troughs.

A possible neural process underlying synchrony-related modulation of both pulse-driven components is cross-modal phase resetting. It has been considered as the primary channel for multisensory interactions between early sensory cortices (Lakatos et al., 2009; van Atteveldt et al., 2014). Unlike neurons in higher order cortices, which are intrinsically multisensory (and hence sensitive to combined multisensory information) neurons in early

sensory cortices are primarily sensory specific, but crucially sensitive to temporal information conveyed also by non-specific modalities. As underlined by Lakatos et al. (2008), appropriately timed inputs in one modality can aid in processing a stimulus presented in a different modality. In our case these connections may support phase stability of visual SSRs by providing a cross-modal temporal scaffold (Kayser et al., 2010; Lakatos et al., 2009). As a consequence, the temporal precision of cortical stimulus representations increases, which awards them a processing advantage (Chennu et al., 2009).

Although our results are broadly in line with Nozaradan et al. (2012), who firstly measured synchrony effects on SSRs, it is worth noting a discrepancy: In contrast to our findings the authors reported an effect on a flicker-driven SSR with a frequency of 10 Hz, while establishing synchrony with auditory beats at either 2.1 or 2.4 Hz. These differences may be accounted for by the fact that the authors presented only one visual stimulus centrally. In this setup, gain effects cannot not unambiguously be ascribed to synchrony, or alternatively, altered attentional demands between synchronous and asynchronous conditions.

Facilitatory effects of spatial attention and synchrony add up

We found that attended and unattended stimulus experienced comparable gain through synchrony. Vice versa, synchronous and asynchronous stimuli were similarly facilitated when their position was attended. Remarkably, these findings point towards a dual reign of attention and audio-visual synchrony in early sensory cortices, suggesting that both influences can work independently and in parallel. This result seemingly contradicts previous studies (Alsius et al., 2005; Fairhall and Macaluso, 2009) that showed an interdependence between attention and multisensory interactions; however, this discrepancy can be reconciled by examining the experimental paradigm employed in the current study.

Unlike previous experiments, in which mutual input from different senses was essential for successful behavioral performance, our task (the detection of luminance changes) was functionally independent from audio-visual synchrony. Here, visual task performance did not require additional auditory information. Our paradigm might thus have promoted the independence between attention and audio-visual interactions triggering two concurrent, but distinct processes: On the one hand, performing the detection task required a sustained goal-driven deployment of spatial attention, while on the other hand merging the audio-visual signals was most likely a stimulus-driven process, triggered by the high temporal correlation between audio-visual signals.

For these two processes to co-occur independently, the involvement of distinct neural pathways can be assumed. Various aspects of attention and its influence on perception have been related to a number of anatomical networks (Shipp, 2004). Those include a dorsal fronto-parietal network, which entails the intra-parietal sulcus (IPS) in posterior parietal cortex, a portion of the precentral supplemental motor area, the so-called frontal eye fields (FEF) and early sensory areas, such as visual cortex (Corbetta and Shulman, 2002). It is one of the most comprehensively investigated cortical network implicated in the control of attention (Corbetta et al., 1998) and was likely involved in deploying the attentional resources necessary to perform in our behavioral task.

On the other side, auditory influences on visual processing could have been conveyed by two candidate routes that have been suggested as a results of earlier invasive electrophysiological and anatomical studies in the animal brain: (1) feed-forward projections between thalamus and early sensory cortices (Cappe et al., 2009), (2) lateral projections between early sensory cortices (Falchier et al., 2002). From our data alone, we

cannot say which pathway was critical in the investigated situation but both of them are anatomically distinct from the attention network and could explain our results.

It should be mentioned that our data analyses and interpretation of results depend on the implicit assumption that attention and synchrony effects follow similar time courses and, once established, remain constant through the course of trials. At least for, spatial attention we know that gain effects reach asymptote after ~500 msec and keep level for several seconds (Müller et al., 1998b). A time course for synchrony-related gain instead has not been established yet. This uncertainty notwithstanding, we restricted our analyses to a period starting 0.5 sec after stimulus onset. We were confident that this time frame would allow for enough audio-visual coincidence to be detected to establish synchrony. Nevertheless, the comparison of temporal profiles of attention- and synchrony related gain remains an interesting subject for future studies.

As a final remark, Talsma et al. (2010) suggested that bottom-up multisensory integration benefits a given stimulus the most when competition within one sensory modality is high, e.g. when the visual field is cluttered. Our situation promotes only minimal competition with one stimulus presented to each hemifield. Inter-hemispheric competition is introduced relatively late in the visual processing hierarchy (Schwartz et al., 2007). Moreover, attentional resources seem to split more readily between than within visual hemifields (Franconeri et al., 2012; Störmer et al., 2013; Walter et al., 2015). It would thus be interesting to test how synchrony-related gain effects vary with the amount of competition by placing more than one stimulus within each visual hemifield.

Conclusion

We investigated the concurrent effects of spatial attention and audio-visual synchrony on early cortical visual stimulus processing. Our paradigm allowed us to test both influences in isolation as well as their combined effects. We found that attention-related and synchrony-related facilitation add up when an audio-visual synchronous stimulus is attended. Further, attention facilitated pulse- and flicker-driven neural responses while synchrony only targeted pulse-driven responses, i.e. those coding stimulus dynamics that were relevant for multisensory integration. Consequentially, the present results favor an account in which spatial attention and audio-visual synchrony convey their influences independently via different neural processes and possibly along different neural pathways. At least for situations similar to the one studied here, this finding implies that facilitation through synchrony cannot simply be modelled as a sustained attraction of spatial attention.

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Conflict of interest: The authors declare that they have no conflict of interest.

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