

# 1 Evolutionary rate shifts suggest species-specific adaptation events 2 in HIV-1 and SIV

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4 Maoz Gelbart and Adi Stern

5 School of Molecular Cell Biology and Biotechnology, George S. Wise faculty of Life Sciences, Tel Aviv  
6 University, Israel

7 \* Correspondence to AS: [sternadi@post.tau.ac.il](mailto:sternadi@post.tau.ac.il)

## 8 Abstract

9 The process of molecular adaptation following a cross-species virus transmission event is  
10 currently poorly understood. Here, we identified 137 protein sites that experienced deceleration  
11 in their rate of evolution along the HIV-1/SIV phylogeny, likely indicating gain-of-function and  
12 consequent adaptation. The majority of such events occurred in parallel to cross-species  
13 transmission events and varied between HIV-1 groups, indicating independent adaptation  
14 strategies. The evolutionary rate decelerations we found were particularly prominent in  
15 accessory proteins that counteract host antiviral restriction factors, suggesting that these factors  
16 are a major barrier to viral adaptation to a new host. Surprisingly, we observed that the non-  
17 pandemic HIV-1 group O, derived from gorillas, exhibited more rate deceleration events than  
18 the pandemic group M, derived from chimpanzees. We suggest that the species barrier is higher  
19 when the genetic distance of the hosts increases. Our approach paves the way for subsequent  
20 studies on cross-species transfers in other major pathogens.

## 21 Introduction

22 The Human Immunodeficiency Viruses HIV-1 and HIV-2 are the causative agents of AIDS in  
23 humans, infecting millions of people worldwide. Both viruses emerged from a clade of  
24 lentiviruses known as the Simian Immunodeficiency Virus (SIV), which naturally infect a variety  
25 of non-human primate species. HIV in humans arose from several independent transmission  
26 events of primate SIVs that resulted in HIV-1 groups M and N (from SIV infecting chimpanzees,  
27 SIVcpz), HIV-1 groups O and P (from SIV infecting gorillas, SIVgor), and HIV-2 groups A through H  
28 (from SIV naturally infecting sooty mangabeys, SIVsmm) [1-3]. The gorilla infecting lentivirus,  
29 SIVgor, is itself a result of a transmission of SIVcpz to gorillas [4, 5]. Phylogenetic analyses date  
30 the most common recent ancestors of HIV groups M and O to the beginning of the 20<sup>th</sup> century,  
31 making it a relatively new human pathogen [6, 7]. Similar analyses of SIVgor date the inception  
32 of this virus in the western lowland gorilla population somewhere in the 19<sup>th</sup> century [4]. SIVcpz  
33 itself was found to be a transmission from other primates, dated at roughly 1500 and leading to  
34 the two lineages of SIVcpz: SIVcpz<sub>ptt</sub> infecting the chimpanzee subspecies *Pan troglodytes*  
35 *troglodytes* of central Africa, and SIVcpz<sub>pts</sub> infecting the *Pan troglodytes schweinfurthii*  
36 chimpanzee subspecies of eastern Africa [5, 8-12].

37 How viruses are able to cross species barrier is a subject of much interest, since many pandemic  
38 human viruses arose from zoonosis events such as the influenza strain of "Spanish flu" H1N1,  
39 measles virus (MeV), and SARS coronavirus [13]. Due to genetic differences between the hosts,  
40 virus adaptation occurs at multiple levels: at the level of entry to target cells; interaction with  
41 the host adaptive immune system; interaction with host antiviral restriction factors; and  
42 recruitment of host cellular machinery by the virus [14-16]. Protein adaptations are reflected in  
43 the history of genomes and may be manifested in changes in the amino acid substitution rates  
44 of the adaptive sites, which are expected to be more conserved in the clade where adaptation

45 happened [17]. This is due to new roles gained by these protein sites that constrain their  
46 evolution. A reciprocal phenomenon where amino acids are less conserved in one clade than in  
47 other clades is also possible, and may either reflect a loss of function or a gain of function  
48 manifested as positive diversifying selection. Identification of such “rate shifting sites” can thus  
49 reveal virus adaptation events, and is expected to promote a better understanding of cross-  
50 species transmissions in general and in the HIV pandemic in particular in this study.

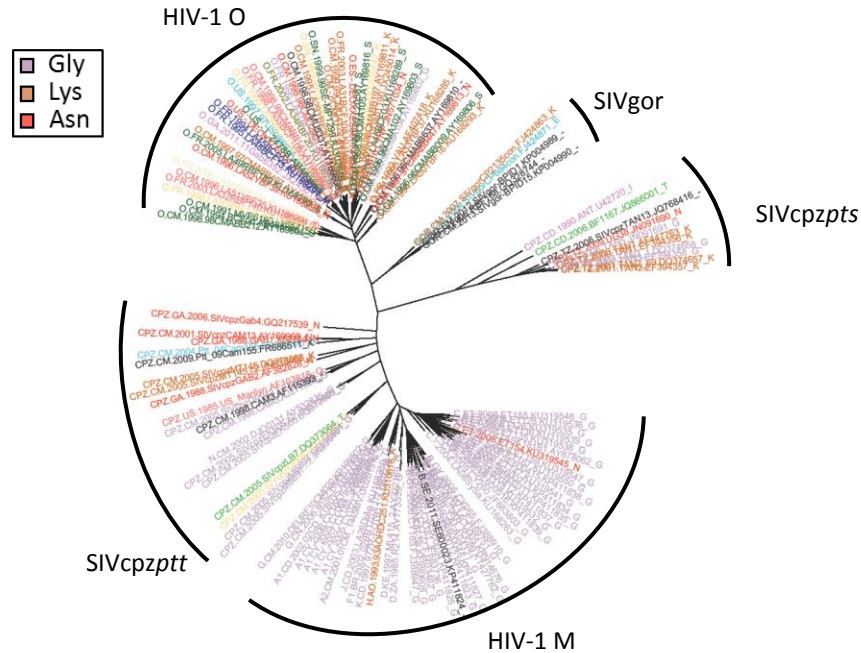
51 A method for identification of evolutionary rate changes has been previously established and  
52 was used to study intra-subtype HIV adaptation events [18]. To date, the lack of SIVcpz and  
53 group O full genomic sequences limited the ability to study adaptation across cross-species  
54 transmission events. Here, we utilized the growing availability of diverse and full HIV-1 and SIV  
55 genomes to identify many sites in various SIVcpz/SIVgor/HIV-1 clades whose evolutionary rate  
56 changed across clades [19]. We demonstrate how cross-species transmissions are correlated  
57 with abundant evolutionary rate shifts and how known adaptation events are manifested in  
58 different amino acid substitution rates between lineages. Based on the rate shift patterns, we  
59 suggest previously unknown adaptation events, and highlight the exceptional amount of  
60 evolutionary rate shifts observed in HIV-1 group O, possibly due to a more extreme host species  
61 barrier.

## 62 Results

63 We have previously developed the RASER tool to identify sites that display change in the rate of  
64 evolution along a given branch of a phylogenetic tree (see example in Figure 1) [18]. In essence,  
65 this tool takes a phylogeny and a multiple sequence alignment and contrasts the rates of  
66 evolution of amino acids along all branches in the phylogeny, to determine if the evolutionary  
67 rates of some amino acids in some branches are better explained by a model that allows for

68 evolutionary rate changes. We queried the Los Alamos HIV database [19] for all available HIV-1,  
69 SIVcpz and SIVgor full sequences, from which we took the sequences of all nine HIV-1 proteins.  
70 Due to high representation of group M sequences, we downsampled this group to the size of  
71 available group O sequences, retaining the strains with the most internal variation (total number  
72 of sequences N=126, see Methods). A different downsample of group M sequences to a bigger  
73 size was also conducted, to validate results robustness to cohort size variation (N=223, see  
74 Methods). All site coordinates are reported based on the HIV-1 subtype B reference strain HXB2  
75 (Methods).

76 **Most rate shift events were identified in speciation branches.** We first sought to characterize  
77 the branches where rate shift events were suggested. A total of 271 rate shifting positions were  
78 identified along the phylogeny. 137 of them were identified as rate-deceleration events and an  
79 additional 134 were identified as rate-accelerations. As listed in Table 1, 230 out of the 271 rate  
80 shifting positions were attributed to four branches: the branch separating group M from SIVcpz,  
81 the branch separating group O from SIVgor, the branch separating SIVgor and group O from  
82 SIVcpz and the branch separating SIVcpz<sub>pts</sub> from other viruses. Likelihood ratio tests were found  
83 to be highly significant in favor of a rate shift model across all HIV proteins (Supplementary  
84 Table 2).



85

**Figure 1. Projection of Env<sub>458</sub> on the HIV-1/SIV phylogeny.** Each leaf (corresponding to an HIV/SIV strain) is color coded based on the amino acid present at Env<sub>458</sub>. The evolutionary rate of Env<sub>458</sub> was found to be slower in HIV-1 group M than in the rest of the phylogeny.

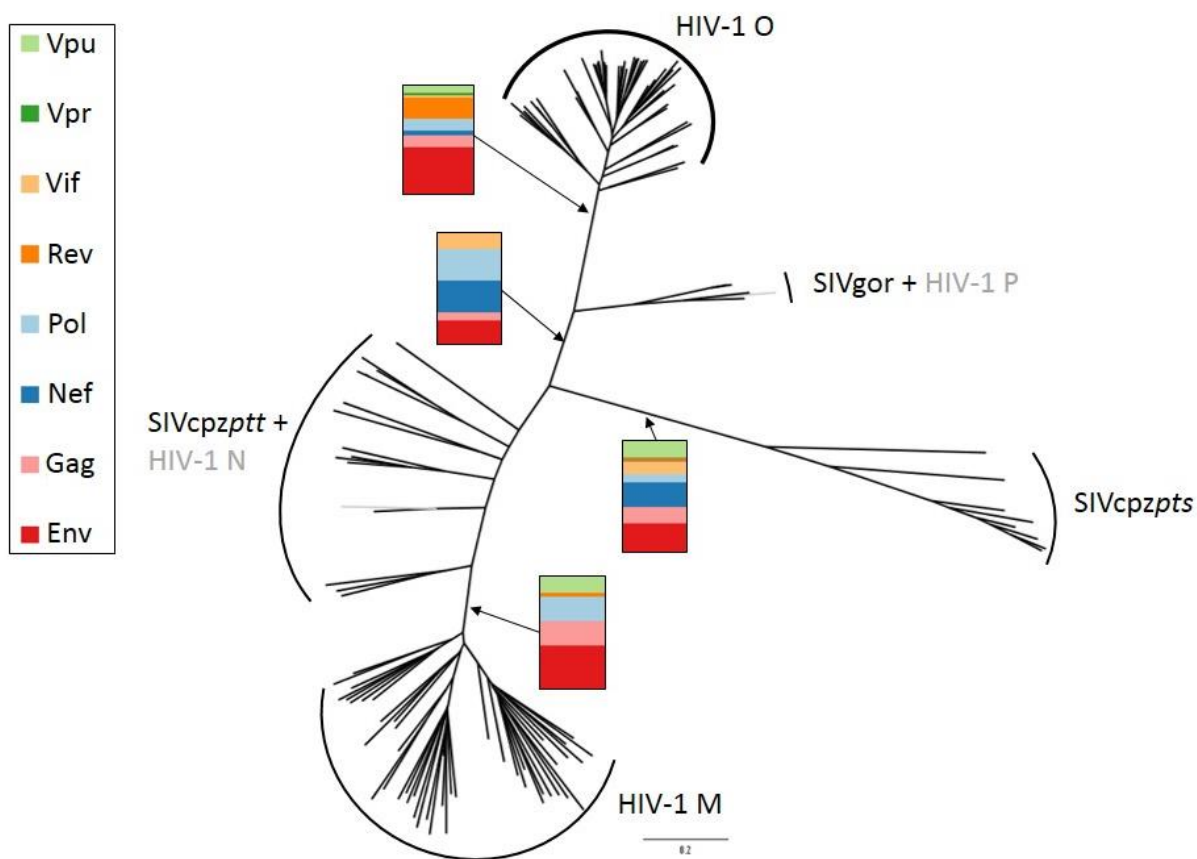
86 **Different rate deceleration patterns identified in different branches.** A special focus was given  
87 to rate deceleration events, as they likely indicate a gain of function in a protein. In Figure 2 we  
88 mapped the percent of rate shifts in each protein observed in each lineage, corresponding to  
89 different virus speciation events. While rate deceleration distribution patterns differed between  
90 the different lineages (see Figure 2 and Supplementary Table 1), one common theme was that  
91 all prominent branches underwent a significant portion of their rate deceleration events in the  
92 Env protein. The next two common rate decelerating proteins were Gag and Pol identified in all  
93 four highlighted branches, which is expected given that together with Env these are the longest  
94 proteins in HIV/SIV. When controlling for protein size (as in Table 1), a different pattern  
95 emerged: Vpu seems to have undergone a disproportionate portion of rate deceleration events,  
96 in particular in the branch leading to group M. In general, the rate deceleration patterns for the  
97 non-structural proteins seemed to be branch-specific: In the branch leading to SIVgor and group

98 O, Nef and Vif experienced the most relative rate deceleration events. In the branch leading to  
 99 group M, Vpu was responsible for the most rate deceleration events; and in the branch leading  
 100 to group O, Rev contributed a significant portion of all rate decelerations for that branch  
 101 (Supplementary Table 1). The branch separating SIVcpzpts from other viruses displayed a more  
 102 diverse pattern with relatively less rate decelerations in the Env protein and more rate  
 103 decelerations in the Nef, Vif and Vpu proteins.

104 **Table 1. Rate shifts as *percentage from total protein size for prominent branches, for rate***  
 105 ***decelerating sites (upper) and rate accelerating sites (lower), colored by intensity.*** The raw  
 106 data underlying this table are provided in Supplementary File 2.

DEC	Structural proteins			Regulatory proteins		Accessory proteins				Total number of mutations
	Env	Gag	Pol	Rev	Tat	Nef	Vif	Vpr	Vpu	
Branch/protein	Env	Gag	Pol	Rev	Tat	Nef	Vif	Vpr	Vpu	
<b>Group M</b>	1%	1%	1%	1%	0%	0%	0%	0%	5%	28
<b>Group O</b>	2%	1%	0%	8%	0%	1%	1%	1%	4%	46
<b>SIVgor+P+O</b>	0%	0%	0%	0%	0%	2%	1%	0%	0%	14
<b>SIVcpzpts</b>	1%	1%	0%	0%	0%	3%	2%	1%	5%	27
ACC										Total number of mutations
Branch/protein	Env	Gag	Pol	Rev	Tat	Nef	Vif	Vpr	Vpu	
<b>Group M</b>	1%	1%	0%	0%	1%	1%	1%	1%	1%	23
<b>Group O</b>	3%	2%	1%	3%	0%	1%	2%	0%	1%	51
<b>SIVgor+P+O</b>	0%	0%	0%	0%	0%	2%	0%	1%	1%	10
<b>SIVcpzpts</b>	1%	1%	0%	0%	0%	3%	1%	2%	5%	31

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108

109 **Figure 2. Proposed rate deceleration patterns in prominent branches, shown on the**  
110 **phylogeny.** Rate decelerations are shown as percentage from total rate decelerations for each  
111 branch.

112 **Parallel rate shift events in HIV-1 groups M and O.** Rate shift events common to several HIV-1  
113 groups are of special interest, since they may better reflect the species barrier in general and  
114 not lineage-specific adaptation event. As is evident from Table 2, most parallel rate shift events  
115 of HIV-1 groups O and M (or their closest precursor branch) were rate deceleration events, half  
116 of which occurred in the highly conserved Pol protein. Notably, the consensus amino acid  
117 identity in those parallel-occurring rate deceleration events varied between the M and O clade  
118 for all identified positions, suggesting once again that different adaptation strategies occurred in  
119 each lineage. Only a single parallel rate acceleration event was identified, in Nef<sub>8</sub> of HIV-1

120 groups M and O. This may indicate a relaxation of prior constraint as the SIV allele was

121 maintained in many HIV-1 sequences.

122 **Table 2. Rate shifting sites identified independently in parallel in HIV-1 groups M and O or**  
123 **their immediate ancestor.**

Protein	Rate Shifting site	Rate shift type	Branches	Consensus Amino Acids
Pol	349	Deceleration	M, Pre O	M: E, Pre O: P
Pol	406	Deceleration	Pre M, O	Pre M: S, O: V
Pol	926	Deceleration	M, Pre O	M: K, Pre O: T
Env	61	Deceleration	M, O	M: Y, O: T
Env	772	Deceleration	M, O	M: R, O: S
Rev	71	Deceleration	Pre M, O	Pre M: V, O: N
Nef	8	Acceleration	M, O	NA

124 NA- Not applicable

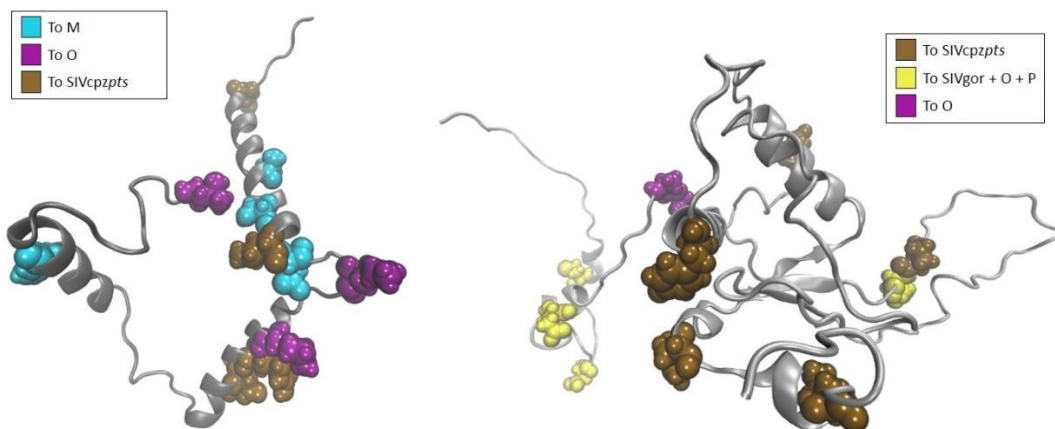
125 **Rate shift events are often parallel to known macromolecular adaptation events.** Intense  
126 research into the origins of the HIV-1 pandemic and its sources identified several major  
127 adaptation events of HIV-1 to its human host. These events include adapting to cellular  
128 variations such as differences in host receptor CD4; overcoming host innate immune restriction  
129 factors such as Tetherin (BST-2) and APOBEC3G; and of course, evasion from the adaptive  
130 immune system [16, 20-25]. We therefore sought to evaluate whether the proposed rate shifts  
131 agree with the known adaptation events.

132 **Anti Tetherin/BST-2 adaptations.** Tetherin/BST-2 is a trans-membrane antiviral  
133 restriction factor that disrupts the budding phase of the retroviral lifecycle, thus preventing the  
134 infection from spreading [26, 27]. SIVcpz and many more SIV's antagonize Tetherin through  
135 interactions of their nef protein with the cytoplasmic tail of Tetherin [28, 29]. Tetherin is a fast  
136 evolving protein, and differs between chimpanzee, gorilla and human [30, 31]. In humans, a  
137 significant deletion in the cytoplasmic tail of Tetherin rendered it invulnerable to the SIV's Nef-  
138 based counteraction [29]. Therefore, in order to regain infectivity HIV-1 developed an



139 alternative way to antagonize Tetherin. In groups M and N, Vpu protein adapted to antagonize  
140 Tetherin through its transmembrane domain [32]. In group O the virus adapted its Nef protein  
141 to counteract the human Tetherin, albeit with less efficiency than in group M [33, 34]. Notably, a  
142 single O strain that uses its Vpu protein to encounter human Tetherin has been described [35].  
143 No anti-Tetherin adaptation event is known to have occurred in the rare group P [36]. In gorilla,  
144 the Nef protein adapted to encounter its host's Tetherin but also maintained its ability to  
145 encounter the chimpanzee tetherin [37, 38].

146 Our results support the described anti-Tetherin adaptation events: a dramatically high  
147 proportion (14% of all identified group M rate decelerations) were found in the Vpu protein,  
148 most of them in the Tetherin-binding domain (Supplementary Table 1 and Figure 3). In addition,  
149 in HIV-1 group M the Nef protein was identified with three rate accelerations, supporting the  
150 loss of function of its anti-Tetherin activity. This is also supported by a reintroduction  
151 experiment of HIV-1 group M strain into chimpanzee in which M-Nef readapted to chimpanzee  
152 host, as the mutations required for M-Nef to regain anti-Tetherin activity in chimpanzees (Nef<sub>163</sub>  
153 and Nef<sub>169</sub>) [39] were located proximally to Nef<sub>157</sub>, one of the rate accelerating sites of M-Nef  
154 identified in our study. Numerous O-Nef rate acceleration events were found as well, supporting  
155 the loss of chimpanzee/gorilla anti-Tetherin function. A preponderance of acceleration and  
156 deceleration events were also found in the lineages leading to the ancestor of SIVgor and O and  
157 to SIVcpzpts; one of those rate deceleration events is at Nef<sub>177</sub>, which is proximal to the C-loop  
158 region which has been shown to be related to O-Nef anti-Tetherin activity [40]. Thus, our  
159 analysis pinpoints the sites that are likely responsible for the dramatic changes in function of  
160 Vpu and Nef throughout SIVcpz and HIV evolution.



161

162 **Figure 3.** Projection of the identified rate decelerations onto the tertiary structure of Vpu  
163 protein (left, PDB ID: 2N28) and Nef protein (right, obtained from [41]) in the major lineages  
164 where it was identified.

165 **Anti APOBEC3G adaptations.** APOBEC3G (A3G) is a broad-range antiviral protein that is  
166 packaged into HIV-1 virions, and upon reverse transcription adds C→U mutations to the  
167 synthesized DNA strand, thus potentially creating nonviable genomes [42]. Lentiviruses use their  
168 Vif protein to overcome this factor by degrading it as well as other antiviral proteins from the  
169 APOBEC3 family (such as A3F, A3D) [43]. A3G variants of human, chimpanzee and gorilla have  
170 been studied and the Vif recognition domain has been identified at A3G residues 126-132 [44].  
171 Of those species, gorilla has a different residue at A3G position 129 as compared to that of  
172 human and chimpanzee A3Gs and indeed the SIVgor adaptation event to the different host A3G  
173 has been demonstrated by [45, 46]. It has been shown that SIVgor can replicate in the presence  
174 of human-, gorilla- and chimpanzee-A3G, but HIV-1 group M or SIVcpz cannot replicate in the  
175 presence of gorilla-A3G, indicative of a gain-of-function in the adaptation process of SIVgor to  
176 gorilla [46].

177 In line with these findings, our analysis shows that the branch leading to SIVgor and HIV-  
178 1 groups O and P experienced 14% of its rate decelerations in the Vif protein, particularly in

179 positions Vif<sub>73</sub> and Vif<sub>167</sub>. In HIV-1, Vif<sub>73</sub> is in close proximity to the A3G-binding motif Vif<sub>69-72</sub> that  
180 is also responsible in-part for interaction with APOBEC3F (which in itself contains differences in  
181 the Vif interacting loop between chimpanzee and human/gorilla) [47-49]. O-Vif experienced a  
182 single rate deceleration in position Vif<sub>127</sub>, which is located in the Cullin-5 interacting domain [48].  
183 Lack of rate deceleration events in M-Vif suggest no adaptation of this protein in this strain to  
184 the human host; this is supported by the observation that SIVcpz-Vif can encounter human A3G  
185 [46].

186 **Env adaptations.** Another major barrier for host jumps lies at the cell entry level. CD4 is  
187 the target receptor of SIV and HIV, while CCR5 or CXCR4 act as co-receptors, recognized by the  
188 viral Env protein which is exposed to the virus external surface. Previous studies mapped the  
189 genetic diversity between different chimpanzees' CD4 and revealed that there are several  
190 differences between chimpanzee subspecies as well as differences between chimpanzee versus  
191 gorilla and human, especially in the regions that are in close contact with Env subunit gp120 [50,  
192 51]. Some of those changes affect the glycosylation patterns of CD4, making these differences  
193 even more distinguishable [50, 51]. It is therefore likely that HIV-1 had to adapt to recognize  
194 these differences in CD4.

195 Our analysis overall supports a high level of deceleration and acceleration events found  
196 in Env, possibly reflecting the changes that occurred in the host CD4. For instance, many of the  
197 changes in M-Env occurred in CD4 interacting residues of Env<sub>374</sub>, Env<sub>455</sub>, Env<sub>456</sub> and Env<sub>458</sub> [52].  
198 However, we cannot rule out that the very high rate of evolution in Env, driven by the adaptive  
199 immune system [53], have led to changes that “mimic” a rate shift. Indeed when accounting for  
200 the size of the Env protein, it seems that this protein is less pronounced in its rate shift  
201 distribution (Table 1).

202 **Gag<sub>30</sub> human adaptation marker.** Position 30 of Gag polyprotein has been previously  
203 suggested to be an adaptation event of HIV-1 to its human host, as it diversified from  
204 Methionine in SIVcpzptt and SIVgor strains into Lysine or Arginine in many HIV-1 strains [54].  
205 Reintroduction of HIV-1 to chimpanzees resulted in reversion of this position back to the  
206 conserved Met of SIVcpzptt and therefore it was suggested as an adaptation event to the human  
207 host [54]. Notably, subtype C of group M is conserved for Methionine at Gag<sub>30</sub>, suggesting that  
208 adaptation occurred only in some subtypes.

209 Our results indeed suggest an evolutionary rate shift event in Gag<sub>30</sub> yet are not  
210 conclusive about the branches in which the rate shift happened. This is likely since this site  
211 displays a “content shift” rather than a strong “rate shift” (elaborated in the discussion).

212 **Table 3. Summary of HIV rate deceleration events related to known antiviral activity.**

Viral Lineage	Viral Protein	Rate decelerating positions identified	Rate deceleration(s) related to the following restriction factor	Function of the restriction factor
Group M	Vpu	18, 23, 28, 66	Tetherin	Prevents virus release from infected cells
SIVgor and Group O	Nef	20, 28, 38, 49, 50, 177	Tetherin	Prevents virus release from infected cells
SIVgor and group O	Vif	73, 127, 167	APOBEC3G	Induces hypermutation of viral genomes

## 213 Discussion

214 Understanding the molecular changes in a pathogen when adapting to infect a new host species  
215 is of high importance. To the best of our knowledge, our study represents the first large-scale  
216 approach to detect adaptation events in the transition from non-human primates to humans,  
217 and relies on a robust phylogenetic modeling approach. We discovered many lineage-specific  
218 adaptation-like events in many proteins of HIV-1, SIVgor and SIVcpzpts, and have reported sites  
219 in where groups M and O suggested to undergone parallel rate shifts. The majority of sites

220 undergoing rate deceleration were found in the Env protein; when correcting for protein size,  
221 the relatively highest number of rate decelerating were found in proteins that adapted to host  
222 restriction factors. Accordingly, we suggest that the major common barrier for a host species  
223 jump is composed of both the entry stage and the stage where the virus must overcome the first  
224 barrier of cellular defenses. Our results further support a differential model of adaptation:  
225 groups M and O underwent adaptation in different proteins, and when adaptation occurred at  
226 similar sites, the amino-acid was different in both groups. This model is supported by the fact  
227 that activity of group M and O proteins are indeed different (e.g., Vpu), and by the fact that each  
228 group originated from an SIV from a different primate.

229 Since group M is the pandemic strain of HIV-1, we initially expected that it would experience the  
230 highest number of rate shift events among all HIV-1 groups, indicating more efficient adaptation  
231 to its human host. Surprisingly, our analysis revealed that group O had almost twice the amount  
232 of rate shift events, despite being a non-pandemic strain that remained localized mainly to  
233 infections in west-central Africa [55, 56]. We suggest that the number of rate shift events is not  
234 the determinant of a pandemic strain; it may rather reflect the relative height of the species  
235 barrier a strain had to overcome, as chimpanzee from which group M originated is genetically  
236 closer to human than gorilla from which group O originated [57, 58].

237 We further noted a large number of rate shifts that occurred in the lineage separating the two  
238 subspecies of SIVcpz (SIVcpz<sub>ptt</sub> and SIVcpz<sub>pts</sub>). Presumably these events correspond to  
239 adaptations of the virus to the two chimpanzee subspecies, which are genetically divergent.

240 Further research will be required to understand if and how this has affected the adaptation of  
241 the virus to the human host.

242 **Limitations.** This study has several limitations. First, the availability of full coverage of SIVcpz  
243 and the SIVgor genomes is still low, reducing the statistical power of the analysis. Indeed, we  
244 noted that increasing the sample size of group M sequences that are much more available, led  
245 to detection of more rate shifting sites (Supplementary File 1). We expect that the availability of  
246 additional SIVgor sequences will increase the number of rate shift events that are unique in that  
247 clade, possibly revealing more important sites for this lineage. Second, the method that we  
248 utilized to identify rate shifts is calibrated to identify dramatic changes in the evolutionary rate  
249 along a lineage. Accordingly, it cannot detect sites where a “content shift” occurred, i.e. the  
250 amino acid changed and remained conserved in two complementary lineages, since this entails  
251 only a minor change in evolutionary rate. This is partially demonstrated in Gag<sub>30</sub>, where the rate  
252 of evolution changed mildly, while the content of this site changed between chimpanzee and  
253 human viruses.

254 **Implications.** The compiled list of the positions suggested as rate decelerating can now serve as  
255 a guide for future functional studies that aim to understand the differences among HIV-1 and  
256 SIV proteins. Furthermore, the ability to track adaptation events by utilizing sequence data  
257 highlights the power of the method when studying emerging pandemics, strengthening the  
258 need to sequence full genomes of pathogens broadly.

259 **Conclusions.** Genetic sequences of viruses and specifically HIV-1 and SIV viruses can be  
260 harnessed to identify adaptation events of emerging pathogens to their new host species. Our  
261 results suggest that innate immunity serves as a strong barrier for cross-species transmission  
262 events, and that this barrier imposed a strong selective pressure for viruses to adapt as they  
263 crossed these barriers with increasing efficiency.

## 264 Methods

265 In order to collect sequences for this study, the Los Alamos HIV sequence database (available  
266 online at <http://www.hiv.lanl.gov> [19]) was queried for HIV-1 sequences from the same strain  
267 that spanned all nine HIV-1 open reading frames (ORFs: *gag*, *pol*, *vif*, *vpr*, *tat*, *rev*, *vpu*, *env* and  
268 *nef*) and for SIVcpz and SIVgor strains that spanned the corresponding ORFs (with the exception  
269 of *vpx*). This led to 2004 sequences of HIV-1 group M, 45 sequences of HIV-1 group O, 9  
270 sequences of HIV-1 group N, 2 sequences of HIV-1 group P, 4 sequences of SIVgor and 29  
271 sequences of SIVcpz. Two different datasets were constructed: (i) with a very large number of  
272 group M sequences compared to the amount of group O sequences, and (ii) with an equal  
273 number of group M and group O sequences. Due to computational reasons, dataset (i) included  
274 200 HIV-1 sequences, most of them group M. In both datasets, the sequences were sampled so  
275 that the *n* most distant strains (in terms of genetic distance) were sampled. Due to extremely  
276 high similarity, HIV-1 groups N and P sequences were reduced to a single representative strain  
277 from each. The IIB\_LAI strain was added manually as a reference sequence. The results in this  
278 study are reported mainly with datasets (ii), chosen since it allows comparing the result from  
279 group M and group O. Additional sites found with datasets (i) are reported in Supplementary  
280 File 1.

281 Initial multiple sequence alignments of the nine proteins were performed using PRANK and  
282 iteratively improved until convergence [59]. In order to reconstruct of the phylogenetic  
283 relationship between the sequences, we concatenated the alignments of Gag, Pol, Vif, Vpr, Tat  
284 and Env and provided this as input for PhyML [60]. We next used the reconstructed phylogeny  
285 as a guide tree to realign each protein with PRANK. JpHMM was used to validate that the strains  
286 used in the analysis are not inter-group recombinants [61].

287 In order to identify evolutionary rate shifts, we used RASER [18] to analyze each of the nine  
288 proteins separately, with the proteome-based phylogeny as input. RASER is a likelihood-based  
289 phylogenetic method for detecting a change in site-specific evolutionary rates. First, a likelihood  
290 ratio test against a null model of no rate shifts is performed in order to assess if a model  
291 enabling rate shifts better fits the data. Next, the posterior probability of rate-shift is calculated  
292 at each site and sites with a probability higher than 0.6 are considered here as significant.  
293 Finally, for each such site, the method lists the lineages where the rate shift occurred with the  
294 highest probability, and further categorizes each sites as undergoing either a rate-deceleration  
295 or a rate-acceleration.

296 In order to test for sequence sampling effects on the identified rate shift patterns, we repeated  
297 the analysis with increased amount of group M sequences (n=183), reduced amount of group O  
298 sequences (n=13) and no SIVgor sequences, denoted as dataset (i). Analysis revealed more rate  
299 decelerations in the branch leading to group M than in dataset (ii) analysis (48 compared to 28,  
300 Supplementary File 1). 54% of the positions identified as rate-decelerating in group M in dataset  
301 (ii) (n=15) were also identified in dataset (i). Chi-squared tests for differences in group M rate  
302 shift distributions showed no significant difference ( $p=0.11$  and  $0.87$  for rate decelerations and  
303 accelerations, respectively), indicating that the patterns of rate shifts between the large group  
304 M sample and the smaller group M sample are similar.

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## 310 Competing Interests

311 The authors declare that they have no competing interests involved with this study.

312

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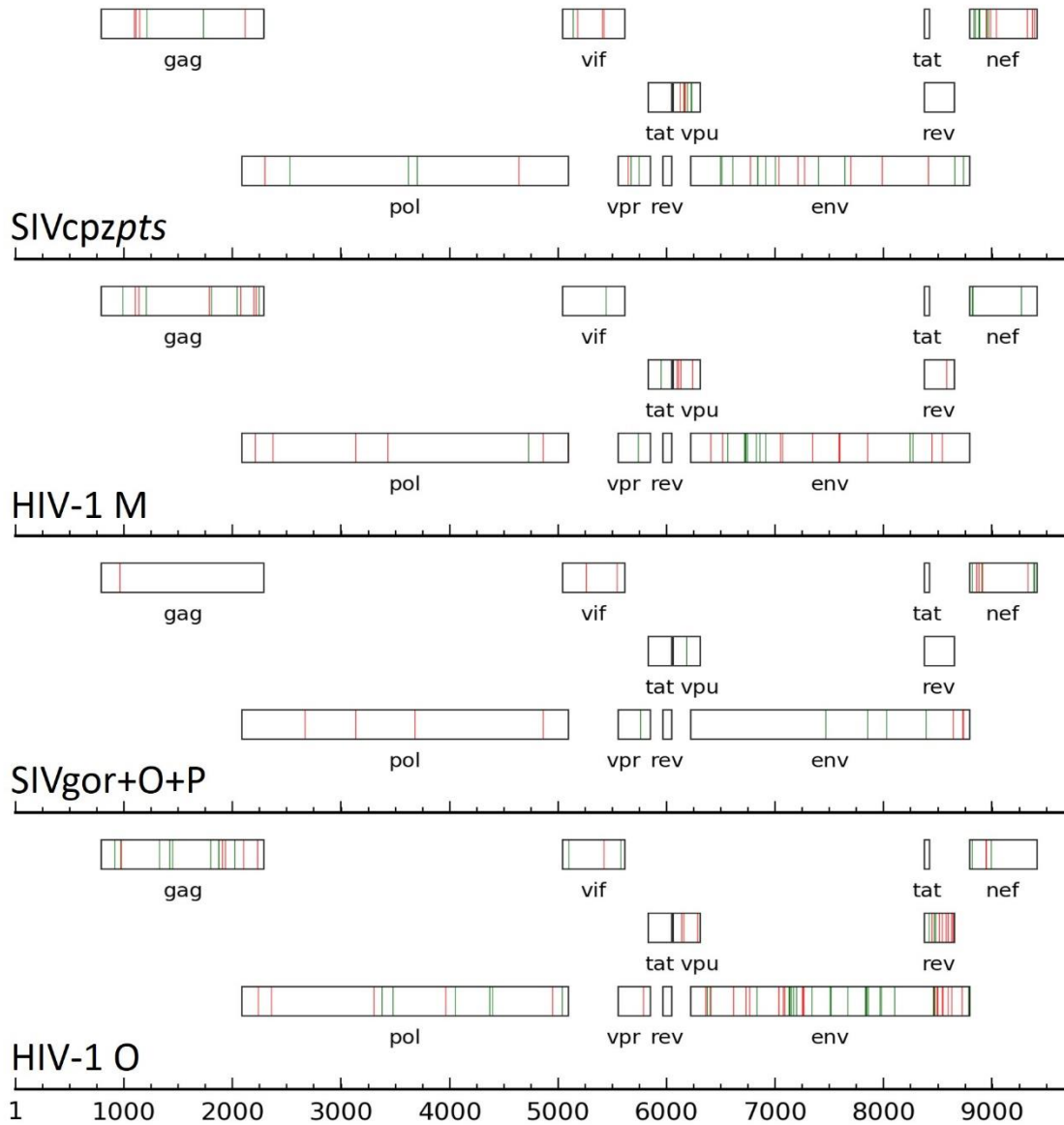
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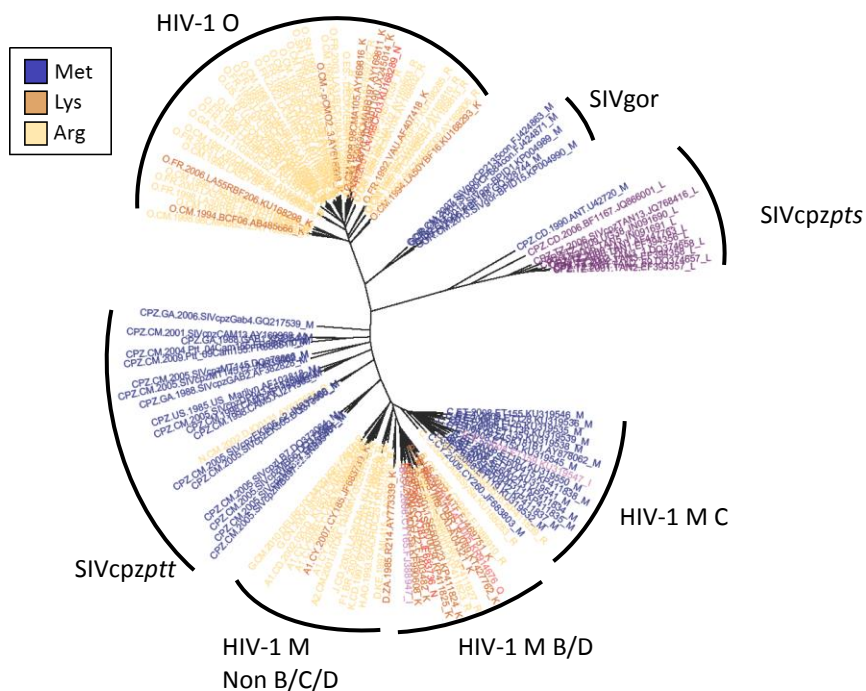
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488 Supplementary Figures and Tables  
489



490  
491 **Supplementary Figure 1. Proposed rate deceleration patterns in prominent branches shown**  
492 **along the genome. Data shown in HXB2 coordinates.**  
493



499 **Supplementary Table 1. Rate shifts as *percentage from total rate shifts for prominent***  
 500 ***branches, for rate decelerating sites (upper) and rate accelerating sites (lower), colored by***  
 501 ***intensity.***

DEC									
Branch/protein	Env	Gag	Pol	Rev	Tat	Nef	Vif	Vpr	Vpu
<b>Group M</b>	39%	21%	21%	4%	0%	0%	0%	0%	14%
<b>Group O</b>	43%	11%	11%	20%	0%	4%	2%	2%	7%
<b>SIVgor+P+O</b>	21%	7%	29%	0%	0%	29%	14%	0%	0%
<b>SIVcpzpts</b>	26%	15%	7%	0%	0%	22%	11%	4%	15%
ACC									
Branch/protein	Env	Gag	Pol	Rev	Tat	Nef	Vif	Vpr	Vpu
<b>Group M</b>	43%	22%	4%	0%	4%	13%	4%	4%	4%
<b>Group O</b>	55%	18%	12%	6%	0%	4%	4%	0%	2%
<b>SIVgor+P+O</b>	40%	0%	0%	0%	0%	40%	0%	10%	10%
<b>SIVcpzpts</b>	35%	10%	10%	0%	0%	23%	3%	6%	13%

502

503 **Supplementary Table 2. Maximum log-likelihood (LL) values for the analysis of the nine HIV-**  
 504 ***1/SIVcpz/SIVgor proteins under the rate shift and null models.***

Protein	Rate Shift Model LL	Null Model LL	2ΔLL	P-value ( $\chi^2_3$ )
Gag	-29,478.3	-29,671.4	386	<10 <sup>-50</sup>
Pol	-40,813.1	-41,097.2	568	<10 <sup>-100</sup>
Vif	-12,677.6	-12,756.3	157	<10 <sup>-30</sup>
Vpr	-5,328.1	-5,355.76	55	<10 <sup>-10</sup>
Tat	-8,918.23	-8,947.61	59	<10 <sup>-10</sup>
Rev	-12,662	-12,733.6	143	<10 <sup>-30</sup>
Vpu	-10,548.7	-10,664.1	231	<10 <sup>-50</sup>
Env	-92,347.6	-93,028.8	1362	<10 <sup>-100</sup>
Nef	-15,611.4	-15,804.1	385	<10 <sup>-50</sup>

505

506

507 [Supplementary and Source Files](#)

508

509 **Supplementary File 1.**

510 **HIV/SIV sites identified as rate shifting for dataset (i).** Positions are provided in HXB2 reference

511 sequence coordinates. Branch number field refer to the branch number outputted by RASER

512 [18]; for ease of reading we provide branch labels for most branches.

513 **Supplementary File 2.**

514 **HIV/SIV sites identified as rate shifting for dataset (ii).** Positions are provided in HXB2 reference

515 sequence coordinates. Branch number field refer to the branch number outputted by RASER

516 [18]; for ease of reading we provide branch labels for most branches.