

# Functional and ecological impacts of horizontal gene transfer in eukaryotes

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Horizontal gene transfer (HGT) is known to have contributed to the content of eukaryotic genomes, but the direct effects of HGT on eukaryotic evolution are more obscure because many of the best supported cases involve a new gene replacing a functionally similar homologue. Here, several cases of HGT conferring a plausible adaptive advantage are reviewed to examine emerging trends in such transfer events. In particular, HGT seems to play an important role in adaptation to parasitism and pathogenesis, as well as to other specific environmental conditions such as anaerobiosis or nitrogen and iron limitation in marine environments. Most, but not all, of the functionally significant HGT to eukaryotes comes from bacteria, in part due to chance, but probably also because bacteria have greater metabolic diversity to offer.

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## Introduction: the impact of horizontal gene transfer on eukaryotic evolution

Horizontal or lateral gene transfer (HGT) is the non-sexual movement of genetic information between two organisms. This process was originally recognized from the rapid emergence of drug resistance in *Shigella* strains during outbreaks of dysentery in Japan [1]. A greater appreciation for a more general impact of HGT began with comparative genomics, which revealed so many bacterial and archaeobacterial genes derived from HGT that the basic model of tree-like evolution was challenged for these lineages [2–4].

Nuclear genomes are, however, very different from those of prokaryotes, so it is reasonable to ask, is the same true of eukaryotes? Their greater size has made this question

difficult to address, because of the significant lag in nuclear genomics has until recently denied us the breadth of sampling required to recognize some kinds of HGT. At the same time, certain aspects of eukaryotic reproduction and evolution will disfavour HGT in the best-studied lineages: in particular, the separation of germ and soma represents a tremendous hurdle in the fixation of foreign genes in a population. As a result, strongly supported cases of HGT are rare in well-studied lineages such as animals (Box 1). Nevertheless, numerous individual cases of HGT have emerged in a wide variety of eukaryotic lineages, and patterns generated by this process have also begun to emerge [5,6,7\*\*].

In general, the impact of HGT across eukaryotes has been uneven: many microbial eukaryotes and plant mitochondria are rich in examples of HGT [6,8–13], whilst other lineages appear to be relatively immune to acquiring new genes. At the same time, some genes are commonly transferred, whilst others are more static. The variable susceptibility of different genes to HGT was long ago predicted based on how tightly its product was integrated into protein interaction networks [14], but lately even genes for ‘core’ processes through to be most difficult to exchange have been proposed: for example, translation elongation factors [15,16], and ribosomal RNA [17], although the latter has yet to be shown to be functional.

Another emerging pattern is that most HGT to eukaryotes involves genes from bacteria. In all likelihood, this is partly due to sampling, and partly due to ecological factors [7\*\*]. There are several ways to detect HGT, but the gold-standard is a phylogeny that does not match our expectations (Box 2). Because bacterial genomes are so well sampled and their genes so distantly related to eukaryotic homologues, bacteria-to-eukaryote HGT is especially easy to spot (Figure 1). At the same time, however, bacteria are also abundant in nearly all environments, and many eukaryotes survive by eating and digesting them in large numbers, so it is also reasonable to assume that bacterial genomes are the most common potential source of foreign genetic material for eukaryotes. Eukaryote-to-eukaryote transfer, as well as serial transfers (Figure 1) are not unknown, but remain relatively rare [15,18\*\*,19,20\*,21\*,22–28].

## Gene replacement versus introduction of a new function

Many cases of HGT in eukaryotes involve the acquisition of a gene that was already present in the genome, in

**Box 1 HGT and the human genome**

Clear evidence for HGT in animals, with a few glaring exceptions [58], continues to be relatively rare. However, when the draft human genome was first reported, one of the more shocking claims was that hundreds of genes were derived via HGT [59]. This claim was made on the basis of distribution: human genes that had homologues in bacteria but not in other completely sequenced non-vertebrate genomes were interpreted as being derived from HGT from bacteria relatively recently, during the evolution of vertebrates. However, this claim was almost immediately disputed. In many cases incompletely sequenced eukaryotic genomes were found to contain genes more closely related to the vertebrate homologues than were the bacterial counterparts [60,61]. This case may be the most infamous, but it is only one of several where relatively crude approaches to detecting HGT have resulted in misleading claims, and which have collectively tainted many stronger cases in people's minds.

particular those cases involving 'core' processes like translation or central metabolism [8,9,15,17,29]. In such cases, a new gene simply replaces an existing homologue, and it is not always clear whether there has been any benefit derived from the transfer. In contrast, the acquisition of a completely new gene or pathway (Figure 1) can lead to an obvious and immediate benefit, which can sometimes be compellingly linked to the ecology and life history of the recipient organism. This review will examine some recent data on transfers where some argument for an adaptive benefit can be made, and these cases fall into two overlapping themes: the adaptation of organisms to the stresses of a particular environment and, a subset of these, the evolution of parasitism and pathogenesis.

**Box 2 Potential problems in identifying HGT**

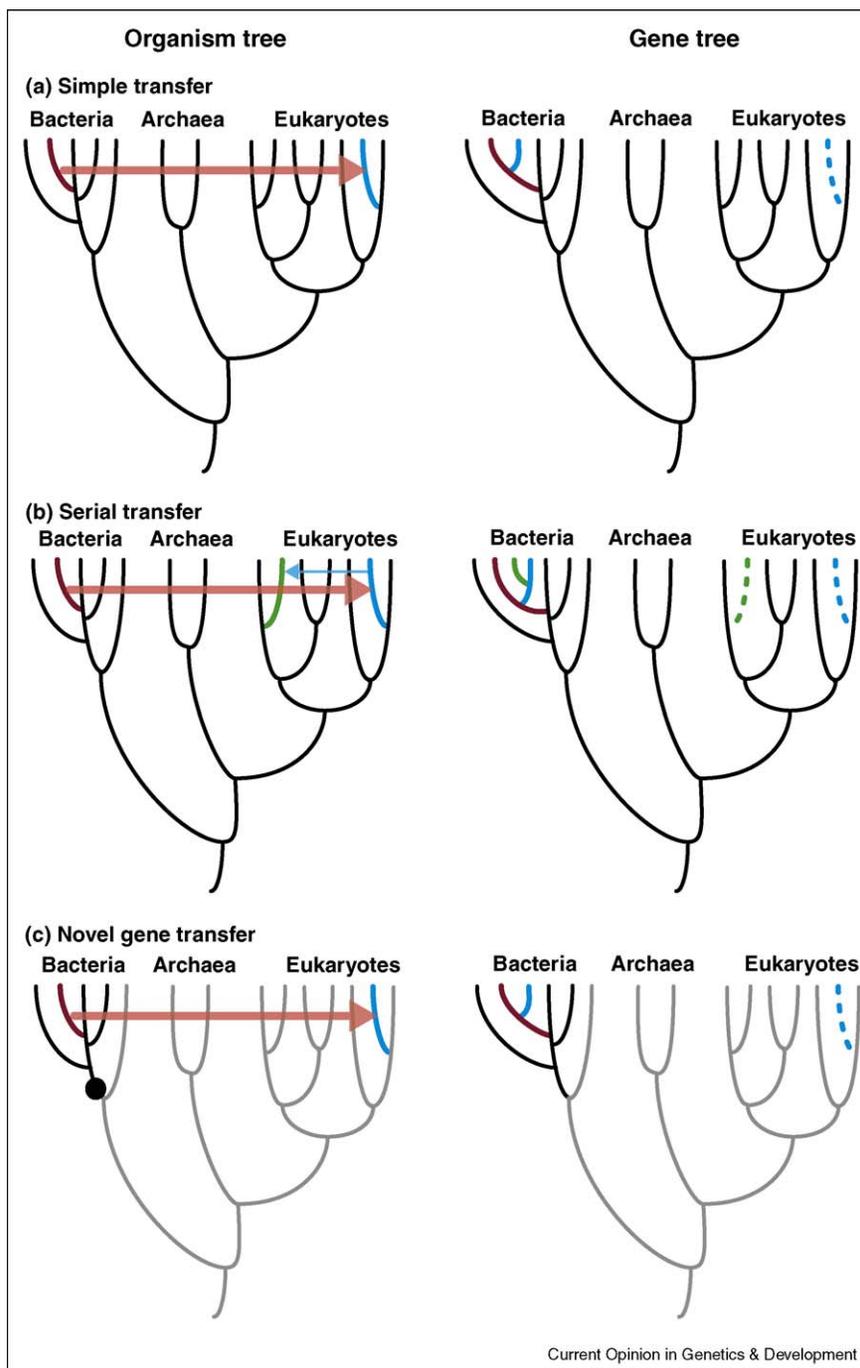
There are several ways to detect HGT, but the best is a phylogenetic tree that strongly contradicts our expectations for the organisms. There are many so-called surrogate methods, but these have been shown to be error-prone [62], and sometimes led to disastrously misleading conclusions (see Box 1). Even with a well-supported phylogeny, however, there are several ways in which one might be misled by incomplete sampling. On one hand, misleading data might lead to erroneous conclusions, such as contaminating sequences masquerading as HGT [63,64], which may even appear in complete genomes [65]. On the other hand, even with accurate data the distribution of a gene in nature can confound our interpretation. For example, gene duplication and differential loss of the resulting paralogues can lead to a phylogeny where two distantly related lineages branch together. Even more commonly, however, the problem rests with how shallow is our current sampling of biological diversity. Additional sampling can either reveal formerly hidden diversity or paralogy, or change the topology of the inferred tree, in either case potentially transforming what appears to be an HGT event into vertical descent [66,67]. Because our interpretation of HGT is always tied to sampling, alternatives to HGT can seldom ever be excluded outright. For individual cases the likelihood of each alternative must be weighed, but there are some obvious criteria with which to judge. For example, more recent events and more distantly related donor and recipient lineages both allow one to make a stronger case for HGT.

**HGT in the adaptation to environmental conditions**

The role of HGT in allowing bacteria to adapt to particular environments is well known. This is exemplified by the high level of HGT observed in the genome of the thermoacidophile *Thermotoga*, which has acquired genes relating to its environment and metabolism from archaeobacteria inhabiting similar environments [30,31]. The possible role of HGT in adapting to such an unusual environment is not hard to imagine, and indeed, the narrower the niche the easier it is to see the effects of transfer. Perhaps the most comparable case in eukaryotes is the adaptation to anaerobiosis. A number of eukaryotic lineages have fully or partially shed oxidative respiration and instead rely on variations of substrate-level phosphorylation and fermentation. These transitions have taken place several times in evolution, and the enzymes underpinning this metabolism are now known to have been acquired from various sources, many by HGT [10,32,33]. In one rumen environment, a very high level of HGT has been recorded [34]. The multiple independent assembly of these systems by 'tinkering' makes for an interesting examination of HGT in converging systems. For example, many anaerobes have replaced two ATP-dependent enzymes in glycolysis with pyrophosphate-dependent analogues, presumably to increase the efficiency of a pathway under energy-limited conditions. In both cases, the eukaryotic enzymes can be traced back to multiple different bacterial groups, indicating several convergent origins through HGT [35–37]. Other oddities of anaerobic metabolism are also derived from HGT, and many of them appear to have originated through several independent transfers [38]. One of the more interesting enzymes is hydrogenase, which reduces protons to form hydrogen gas. Eukaryotes have seemingly acquired hydrogenase from more than one HGT event, but in the anaerobic ciliate *Nyctotherus*, the enzyme is itself composed of several modules that were each acquired through HGT from different sources and assembled into one mosaic enzyme [39\*].

Anaerobiosis presents so many obvious cases because even those functions we take to be fundamental in other systems have been replaced with new ones, but HGT has also played an important role in adaptation in mesophilic environments. Little is known about the genomes of most soil-dwelling eukaryotes, but there are indications that HGT is important in soil microbial ecology. A handful of bacterial genes relating to digestion and self-defence were identified in the genome of the slime mould *Dicthyostelium* [13], and exchanges between fungi and other saprophytes are also known (see below). In some cases, an entire pathway rather than a single gene has been acquired, which may facilitate a shift in the nutritional mode of the recipient. For example, the ascomycete fungus *Trichoderma* appears to have acquired a fully assembled nitrate assimilation gene cluster from a distantly related basidiomycete [21\*].

Figure 1



Examples of different HGT events (right), and how they appear in molecular phylogenetic reconstruction (left). Case **(a)** shows a relatively simple case of a gene moving to a distantly related lineage (in this case a bacterial gene moving to a eukaryote) and replacing an existing homologue. In the phylogenetic tree based on that gene, the one eukaryotic lineage (blue) falls far from its expected location with other eukaryotes and is instead closely related to a particular lineage of bacteria (red), from which the gene was acquired. This is the easiest type of HGT to detect, and the type for which the strongest evidence exists. Case **(b)** shows a more complex serial transfer. Here a bacterial gene (red) has moved to a eukaryote (blue), replacing its homologue, and then second eukaryote (green) has acquired this gene from the first eukaryotic recipient. The result is two distantly related eukaryotes sharing a gene that is closely related to bacterial homologues. This type of transfer is much harder to interpret, and in some instances inadequate sampling has led to such transfers being initially interpreted as simple events (like Case **(a)**). Both the above cases involve genes that are universally distributed, but this is not always true, and generally less important in the acquisition of new functions. In case **(c)**, the gene in question originated within a subset of bacteria, by some means (at the black dot) and is not found in other lineages (grey lines). If a copy of this gene (red) is then acquired by another lineage (blue), the result is a 'patchy' distribution [57] where the gene is found in only a few organisms, and they are not closely related. This type of transfer is very important in the acquisition of new functions, and patchy distribution can be combined with serial transfer to create even more complex routes of information flow throughout the tree [20\*].

Inhabitants of the marine environment are better studied at the genomic level, and here HGT has emerged as a clear factor in the adaptation to various stresses. Nutritionally, two of the major limitations for marine microbes are iron and nitrogen [40]. Iron-stress especially has been the focus of recent attention, as it is known to be the limiting nutrient in large areas of surface waters, where seeding leads to massive algal blooms, particularly diatoms [41]. The blooms that result from this seeding are dominated by a subset of pennate diatoms, and it has now been shown that the genomes of several of these species encode a gene for the iron-concentrating protein ferritin, which is absent in close relatives [42<sup>••</sup>]. Ferritin appears to not only help protect these species from spikes in iron concentration by sequestering it, but also allow the organisms to store iron safely for use when it is a limiting nutrient. The conclusion that diatom ferritin is derived from HGT is based mostly on its limited and patchy distribution (Figure 1c), and although further sampling might reveal a broader distribution, the diatom genes is still not closely related to homologues in other eukaryotes [42<sup>••</sup>]. A similar situation is found in a putative ferri-chrome-binding protein in diatoms, which is highly similar to a bacterial iron-import protein and appears to mediate the uptake of siderophore-bound iron, and further supports an important role for HGT in adaptation to iron-limited environments [43<sup>•</sup>].

Nitrogen is a limiting nutrient in other regions of the oceans, and evidence is now also emerging for HGT allowing eukaryotic algae to cope with this stress. One clear case of HGT comes once again from diatoms, where a bacterial carbamate kinase has been recruited as an entry point to the urea cycle [44], and the complete genome of the diatom *Phaeodactylum* revealed HGT played a role in shaping many aspects of nitrogen metabolism [45<sup>•</sup>]. Interestingly, in marine green algae, which are distantly related to diatoms, evidence for HGT shaping nitrogen metabolism has also emerged. In comparisons between two strains of the ubiquitous marine green picoplankton *Micromonas* HGT was found to have played a role in many aspects of their evolution [46<sup>•</sup>], but one class of genes of particular interest are ammonium transporters (A Worden, unpublished data).

The cases above all stress the frequency of HGT in microbial eukaryotes, but this is not to say it is completely absent from large, multicellular eukaryotes. Indeed, one intriguing case where HGT provides a clear function advantage is in the acquisition of antifreeze proteins (AFPs) in arctic fish. A variety of AFPs have evolved convergently in response to life in cold waters, but a subset of AFPs appear to have evolved once from a lectin-like protein, and then spread by HGT between distantly related fish species [18<sup>••</sup>]. In this case, not only is the distribution of the AFP amongst fish extremely patchy, but the phylogeny of the AFP is also not consistent with

that of the fish, so a process of fish-to-fish HGT best explains the data. Whilst it is clear why the transfer of a AFP might be favourable to cold-water fish, it is unclear how a gene could move from one vertebrate lineage into another and become integrated into the germ line, although a case has been made for such transfers occasionally [47].

### HGT in adaptation to a parasitic/pathogenic way of life

The adaptation of parasites and pathogens to their host organism in many ways represents a subclass of organisms adapting to the stresses of their environment discussed above, but one where the stresses are well defined, studied in detail, and as a result offer interesting insights in the role of HGT in such adaptation. Indeed, the first cases of HGT in bacteria were drug-resistance genes [1], and the movement of other kinds of genes related to virulence led to the concept of mobile 'pathogenicity islands' [48]. In both case, the practical advantage to mobility, both to the pathogen and the genes themselves, are obvious and their rapid dissemination can be explained by selection. In eukaryotes as well, some of the first cases of HGT were associated with parasitism [5,6], and virulence factors and genes conferring drug resistance have been documented to move between pathogens. In one of the more dramatic cases, an avirulent fungus acquired an 11 kb fragment from a pathogenic relative only 70 years ago, creating a new pathogenic variety through a single, recent transfer event [25].

In addition to conferring virulence, HGT has also enabled parasites to invade new host 'environments' in many other ways. There is a wide variety of cases where parasites acquired genes allowing them to capitalize on new energy sources or survive environmental stresses [49–53]. Some of these may trace back to the origin of the parasitic group, and might help explain how they made the transition from free-living to parasitic. The metabolic shift in the various anaerobes discussed above is one example, since the majority of these organisms are parasites adapted to the anaerobic conditions prevailing within animals, so it is likely that the transition to anaerobiosis was co-incident with their transition to parasitism. A similar case can be made for oomycetes, where a number of genes involved in the osmotrophic absorption of nutrients have been shown to have been acquired from saprophytic fungi by HGT, events linked to the origin of plant parasitism in this group [23].

Whilst on one hand HGT to parasites represents their ability to adapt to new stresses and better exploit their host, transferred genes also might be a weakness that we may exploit in fighting infections. This duality is exemplified in the ability to scavenge nucleotides. The human parasite *Cryptosporidium* has acquired nucleotide salvage pathway genes from bacteria that allows it to survive

without *de novo* synthesis [54,55]. At the same time, however, this acquisition provides us with biochemical activities that are absent or distantly related to any activities of the animal host, making it an ideal target for drugs. This concept was applied to the *Cryptosporidium* inosine-5'-monophosphate dehydrogenase (IMPDH), the rate-limiting step in guanine synthesis, leading to the identification of four new drugs that are more potent than current anti-cryptosporidial agents [56••].

### Concluding remarks: HGT as a means to adaptation

Acquiring a new gene or set of functionally related genes can benefit an organism in several ways, but there are common themes relating to how this might take place. Whether an organism is invading a new environment or simply getting a leg-up on its competitors in an environment where its ancestors have long thrived, the most straightforward source of useful genetic information is from other organisms already adapted to that environment. This is in part due to simple opportunity, because the probability of acquiring genes from a neighbour is higher, especially if you are eating them, but is also due to the fact that genes that confer some benefit to living in the specific set of circumstances that make up that environment are more likely to be found in other organisms already adapted to those circumstances. Thus the ecological link between donor and recipient lineages may be twofold.

In all likelihood, this ecological link partly explains the observation that HGT to eukaryotes predominantly involves genes derived from bacteria. Whilst it is still true that sampling and detection issues probably play a role in this, it is not unreasonable that bacterial genes still dominate HGT to nuclear genomes. Indeed, this dominance of bacterial genes is amplified in the case of transfers that involve the addition of novel functions. This probably stems from the fact that bacteria are metabolically more diverse than eukaryotes, and as such have much more to offer in the way of new and useful functions. To acquire new metabolic capabilities from another eukaryote is less likely since there are fewer such novelties to be had, although exceptions do exist [23,25]. It is also still possible for serial transfers to move novel functions between eukaryotes even though they are ultimately derived from bacteria (Figure 1), and this seems to have happened in some cases [20•]. However, the current evidence for convergent adaptations where multiple eukaryotic lineages independently acquire the same new gene from different bacteria by HGT is stronger, altogether suggesting the major route of transfer of new functions to eukaryotes is directly from bacteria.

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