TEL-AVIV UNIVERSITY RAYMOND AND BEVERLY SACKLER FACULTY OF EXACT SCIENCES

# Common, Rare, and Surprising Words: Some Unexpected Results on the Distribution of Genomic DNA k-mers

Thesis submitted in partial fulfillment of the requirements for the degree of M.Sc. in Tel -Aviv University The Department of Computer Science

by

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#### Abstract

The probability distribution of DNA *k*-mers in whole genome sequences provides an interesting perspective of the complexity of these systems. Whereas previous research concentrated on *missing* k-mers, we study the overall *k*-mer distribution of more than 100 species from archaea, bacteria, and eukarya (including mammals). We focus on low order Markov models, which capture short range correlations between nucleotides in the DNA sequence. In particular, they enable us to decide if rare, missing, and common *k*-mers are *surprising* or not. We show that various local and global properties of DNA *k*-mers can be modeled fairly well by low order chains.

While exploring these empirical *k*-mer distributions, we discovered that a few species, including all mammals, have multi-modal histograms, while most species exhibit unimodal distributions. From an evolutionary perspective, these multi-modal distributions are exactly the tetrapods. These distributions are characterized by specific values of C+G contents and CpG dinucleotide suppression, but not by any one of these factors alone. Again, we provide an explanation for this phenomenon, using low order Markov models.

Finally, we have investigated the *k*-mer distributions of specific functional elements of the human genome, like exons, introns, and promoters. We found, for example, that the *k*-mer distribution for human exons is unimodal, while for introns and long promoter regions it is multi-modal.



Figure 0.1: 11-mer distribution. Multi-modal for Human (left), and unimodal for Zebrafish (right).

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## **1** Introduction

This thesis deals with the distribution of short DNA words (*k*-mers) in about one hundred species that are representatives of all genomes that were sequenced to date. We checked the histogram which describes the number of words as a function of the number of appearances (namely for any  $m \ge 0$ , how many *k*-mers appear *exactly* m times in the given genome). We found an interesting phenomenon which correlates the shape of the histogram with the phylogenetic placement of the species. We also investigated the connection between the shape of a histogram and both the CpG-suppression phenomenon and the GC-content in the relevant genome.

#### **1.1 Short DNA words (***k***-mers)**

Short DNA words (k-mers) are a fundamental entity in studying DNA, but for values of k exceeding 2 or 3 they were not studied intensively. A number of statistical/theoretical models for the distribution of such k-mers have been proposed. For example, Robin and Schbath compare several approximate k-mer distributions, and also analyze the empirical k-mer distributions of the phage Lambda (49K bp long genome) [19]. Reinert *et al.* discussed various plausible k-mer distributions [18]. They show that the distribution for the number of occurrences of a particular k-mer has two distinct large sample regimes: a normal distribution for abundant k-mers, and a Poisson or compound Poisson distribution for extremely rare k-mers. With the sequencing of more and more complete genomes, it becomes possible to move from theoretical to empirical studies, examine the properties of these DNA words, and how their distributions vary with different species or genome elements.

### 1.2 Related Work

Maybe the simplest question to answer is that of *missing* DNA *k*-mers. Earlier works have studied non-existent short amino acid (AA) *k*-mers [16, 23], and have attributed them mainly to chemical constrains (like hydrophobic and hydrophilic AAs). DNA does not have the complicated three dimensional structure and chemical constraints of proteins. So intuitively, if *k* is not too large, compared to the genome or chromosome length, we expect that all *k*-mers will be present. This expectation turns out to be incorrect. Fofanov *et al.* studied correlations between present and absent short DNA *k*-mers in over 1,500 species, and observed short *k*-mers that are missing [7]. A systematic study of missing *k*-mers, termed nullomers, was recently carried out by Hampikian and Andersen [8]. They reported the complete lists of missing *k*-mers ( $8 \le k \le 13$ ) in 12 species, including human. For example, the human genome has 80 missing 11-mers, 39,852 missing 12-mers, and 2,232,448 missing 13-mers. Furthermore, they described several possible uses of these nullomers, concluding by "These absent sequences define the maximum set of potentially lethal oligomers,..., and identify potential targets for therapeutic intervention and suicide markers".

#### **1.3 Our Approach**

In this work, we initiate a systematic investigation and modeling not only of the *missing* k-mers, but of the entire empirical distributions of the number of k-mer ( $4 \le k \le 13$ ) occurrences in the whole genomes of more than 100 species, including archaea, bacteria, and eukarya. Our analysis reveals that a number of higher eukaryotes, including all mammals, exhibit a rather unusual distribution, with a number of local maxima, and unusually high numbers of rare k-mers (those not appearing at all, or appearing very few times) and abundant k-mers (those appearing very many times). We show that while these observed distributions are poorly matched by an independently, identical distribution on the nucleotides, they are matched reasonably well by low order Markov models. Thus it is quite conceivable that unlike short missing peptides, missing DNA k-mers, as well as rare and abundant ones, are not an outcome of structural or functional constraints, but instead are explained by these simple probabilistic models. This has consequences for our expectations of the significance and even potential use of nullomers and short, infrequent words.

Our starting points were the *k*-mer distributions of the DNA sequences in the whole human genome, as well as all individual chromosomes. For each, we examined both the single strands and the double strands (namely considering all *k*-mers on one strand and their reverse complements on the other strand). Quite unexpectedly, we discovered that the *k*-mers distributions in all these sequences are *multi modal*. We went on to explore the *k*-mer distributions of all mammals with sequenced genomes. These describe a wide evolutionary range within mammalia, including chimp, mouse, dog, cow, opossum (non-placental mammal), and platypus (a monotreme, egg laying mammal). The same phenomena we observed for human still occurred here. This has motivated us to explore about 90 additional species, including archea, bacteria, and many (but not all) other sequenced eukarya. Finally, we examined different functional regions of the human genome – introns, exons, 3'UTRs, 5'UTRs and promoter regions of different lengths (600, 1000, and 5000 bases upstream).

The *k*-mer distributions for different organisms no longer followed the mammalian pattern. All archea and bacteria exhibited *unimodal k*-mer histograms. For eukarya, the findings are more involved. Non-mammalian species exhibiting multi-modal, "mammalian like" distributions include chicken, lizard, and frog. All these are representatives of the tetrapod clade. The next branch up the tree of life is the bony fish. Its 5 sequenced representatives are the zebrafish, fugu, tetraodon, stickleback, and Japanese medaka, exhibiting unimodal *k*-mer distributions.

We continued to investigate the extent to which the low order Markov models capture properties of k-mer DNA distributions, such as the whole empirical distribution, the "heavy tail" phenomenon, and differences between the number of occurrences of k-mers and their reverse complements on a single strand. In all cases, we found that the low order Markov models provide a fairly good fit. This enabled us to quantitatively define the notion of *surprising* k-mers.

Due to the non-homogenoeous nature of genomes, and the existence of long stretches with distinct compositional biases, the fit is far from being perfect. In light of this, it is somewhat surprising that these low order models are capable of predicting whether the empirical *k*-mer

distribution is unimodal or not, and furthermore to predict the actual shape of the empirical histogram and other properties.

#### 1.4 Outline

The outline of this thesis is as follows. In chapter 2 we provide information about the datasets we used in our work, the analysis applied to the data in order to create the histograms, and a method of simulating the results using a low order Markov chain.

Chapter 3 describes in detail the results regarding the different species analyzed, including mammalian and non-mammalian genomes, and various human genomic regions. Following are the Markov model simulation results, and the results defining "surprising" *k*-mers, with respect to these models. Finally, we present some interesting observations that we encountered regarding specific results.

Finally, chapter 4 contains concluding remarks as well as a discussion regarding some aspects of this work, with a wink to the future.

## 2 Methods

The goal of our research was to analyze the different k-mer distributions in a large variety of species, and to try to deduce two major conclusions - a simple statistical model which can correlate to the empirical data, and an attempt to gain biological insight regarding the results of our k-mer analysis.

#### 2.1 Whole Genome Analysis

We computed the empirical *k*-mer distributions of genomic DNA for more than 100 genomes, taken from various online sources (Ensembl, NCBI, TIGR). Most sequences are complete, but some are only assembled on scaffolds, with no chromosomal assignment. See the last three tables in the appendix for the list of species we considered, their genome length (measured as number of *k*-mers on a single strand), and additional properties of interest. For each genome, we separately computed the *k*-mer distribution for the range  $4 \le k \le 13$ , taking *k*-mers from both strands into account. In addition to the "raw" sequence, we have also applied a repeat mask filter [20], in order to avoid low complexity repetitive elements and enable the identification of "interesting", over-represented *k*-mer sequences. The value of *k* in the histograms that we show was taken as the nearest integer to  $c \cdot \log_4 \ell$ , where  $\ell$  is the length of the genome, and c = 0.7 is a constant, which was chosen based on k = 11 as a model-graph for human. For any species, the histograms for values of *k* that are close to the one that is shown, exhibit very similar characteristics.

For increasing values of k, the number of k-mers that do not appear at all increases, and soon it becomes dominant, namely the largest among all k-mer counts. For moderately large values of k,  $4^k$  is much larger than the length of the genome, but the "nullomer dominance" phenomenon occurs well before  $4^k > \ell$ . For species with relatively small genomes, like bacteria and archaea (0.5-10 million nucleotides), this phenomenon already occurs at values of k that are typically 8 or smaller, and therefore their corresponding graphs may look skewed "to the left" for these values of k.

Each genome in our dataset was analyzed using a simple program that tabulates the kmers in a large array, indexed by k-mers, and outputs useful summary information like the total number scanned, those missing, and transition frequencies for different orders of Markov model. On standard machines using 1GB RAM, the entire human genome can be analyzed for k-mers with k up to 14 in no more than 15 minutes, so the analysis is not computationally bound and is limited only by the availability of genomic data. The time required to scan and produce statistics about a genome is proportional to its length, although finding which k-mers are missing requires time proportional to the total number of possible k-mers (i.e.  $4^k$ ); storage increases as the number of possible k-mers, although alternative methods such as storing only those k-mers that are present can considerably reduce the storage requirements for large k.

#### 2.2 Low Order Markov Model Simulations

Perhaps the simplest probabilistic models to describe strings like genomes and chromosomes are low order Markov models [15], such as those commonly used for a genomic "background" comparison when detecting regulatory elements (e.g. [12, 14]). A zero order Markov model simply describes the frequencies of each nucleotide (when we consider both strands, the frequencies of A, T are equal, and so are those of C, G). A first order Markov model describes the frequencies of individual nucleotides, given the nucleotide immediately preceding it, a second order Markov model describes the frequencies of individual nucleotides of individual nucleotides given the *pair* of nucleotides immediately preceding it, etc. These transition probabilities can easily be estimated from counts of transitions observed [5], and actually provide maximum likelihood estimates. The number of model parameters for a Markov model of order m is  $4^{m+1} - 1$  (there are  $4^m$  m-tuples, each determining one stationary probability and four transition probabilities: the reduced number of parameters follows from the stationary probabilities, and the transition probabilities dependent on each m-tuple, each summing up to 1).

For Markov models of order m lower than the length of the k-mer of interest, the sequence of k-mers emitted is itself a *first-order* Markov chain – the relevant history of the chain is entirely encoded in the current k-mer. From each k-mer there are 4 possible transitions, depending on which nucleotide is emitted next. The transition probabilities are given by the embedded Markov chain. If this k-mer chain has a stationary distribution, which it does, provided that the embedded Markov chain satisfies some weak properties, the frequency with which a particular k-mer occurs converges to its stationary frequency (by the Ergodic theorem, e.g. [15]). This gives us a direct method of calculating how many times a particular k-mer is expected to occur, based on a lower order Markov model, M. For example, a first order model M is specified by the stationary frequencies  $\pi_M(a)$  and the transition probabilities Pr(a | b) for all  $a, b \in \{A, C, G, T\}$ . By repeatedly applying these formulae, we can find, for any k-mer  $a_1a_2...a_k \in \{A, C, G, T\}^k$ , the value  $\pi_K(a_1a_2...a_k)$ , where  $\pi_K$  describes the stationary frequencies of the k-mer embedded model chains.

Given  $\pi_K(a_1a_2...a_k)$ , the expected number of occurrences of this *k*-mer in a genome of length  $\ell$  is simply  $\ell \cdot \pi_K(a_1a_2...a_k)$ . We can thus compute all these probabilities (dynamic programming will speed up the computation), and consequently all expected frequencies directly (without resorting, *e.g.* to simulations). Comparing the empirical distribution to the one predicted from the model, we can determine how well the model describes the data.

Being able to fit a model leaves the question of how well it describes the data observed or, to reverse the question, what order of model is adequate? Reinert et al. [18] consider a chi-square test of model adequacy, testing whether the model explains transitions that are an order higher, although they advise caution about using this test for high-order chains. Here we calculate the log-likelihood of each model, and compare them using Akaike's Information Criteria (AIC) [1]:

$$AIC = 2K - 2\ln L(\mathcal{S} \mid \hat{\theta})$$

where *K* is the number of model parameters,  $\hat{\theta}$  is the maximum likelihood estimate of the model parameters (stationary and transition probabilities), *S* is the sequence data (genome, chromosome, etc.), and  $L(S | \hat{\theta})$  is the likelihood of the model.

It should be mentioned that even fairly high-order Markov models will not perfectly model the genome, because they do not take into account compositional heterogeneity. This may be especially important when looking at missing k-mers, since a small patch of biased composition could significantly increase the probability that a few instances of the k-mer are observed. This is a fundamental limitation of any Markov model in this context.

## **3** Results

In this section we describe the empirical k-mer DNA distributions, examine whether they are unimodal or multi-modal, and how multi-modality is related to properties like C+G content and CpG suppression. We describe the fit of low order Markov models to these k-mer distributions, and analyse *surprising* k-mers in the human genome. In addition to whole genomes and chromosomes, we have also considered various functional regions in the human genome.



#### 3.1 Mammalian Genomes: Empirical Distributions

Figure 3.1: Multi-modal distributions for human chromosomes. The figures describe the frequency of appearance (y-axis) of the *k*-mers which appear the same number of times (x-axis), for different DNA sequences and values of *k*. Human chromosomes (left to right) 1, 6, 20, both 9-mers (top) and 11-mers (bottom). All exhibiting multi-modal 9-mer and 11-mer distributions.

The empirical distribution of k-mers in all mammalian single chromosomes and whole genomes that we examined are all multi-modal. Figure 3.1 depicts the multi modal histograms for human chromosomes 1 (a long chromosome), 6 (medium) and 20 (short), for both 9-mers and 11-mers. Figure 3.2 depicts it for the complete human and opossum genomes, again for both 9-mers and 11-mers.



Figure 3.2: Multi-modal distributions for human and opossum. Human (top) and opossum (bottom) whole genome, 9-mers (left) and 11-mers (right). All exhibiting multi-modal 9-mer and 11-mer distributions.

We chose to demonstrate the results for human (for obvious reasons), and for opossum, which being a non placental mammal represents an outgroup to the placental mammalian species. The three specific chromosomes per species were chosen as representatives of a long, medium, and short chromosomes. We chose 11-mers since k = 11 is the smallest for which there are missing *k*-mers in the human genome.

Denote by  $\ell$  the length of the mammalian genomes or individual chromosomes. There is typically a high peak (or more) close to 0, corresponding to a large number of k-mers that are either missing or rare (a low number of appearances). Then there is a second, shallower local peak around the average number of occurrences ( $\ell/4^k$ ), from where the numbers decrease monotonically. The high peak close to 0 flattens when  $\ell$  grows larger, compared to  $4^k$ . It gains more mass as  $4^k$  grows with respect to  $\ell$ . The number of over-abundant k-mers is also substantially higher than expected by a zero order model, and the decay is slower than exponential.

#### 3.2 Non Mammalian Genomes: Empirical Distributions

We analyzed the k-mer distributions for 89 non-mammalian genomes: 33 archaea, 36 bacteria, and 20 non-mammalian eukarya, including 8 vertebrates. These distributions can be divided into two main categories:

![](_page_16_Figure_2.jpeg)

Figure 3.3: Unimodal *k*-mer distributions in various species. From top-left: E.Coli, Aeropyrum Pernix, Zebrafish, Tetraodon, Arabidopsis, Bee, C. Elegans, Yeast (Saccharomyces cerevisiae), Sea Squirt.

1. **Unimodal distributions**, where the corresponding *k*-mer histograms have a single maximum, usually at a realtively low number of k-mers. Figure 3.3 depicts typical unimodal *k*-mer histograms for 9 species. (In all cases *k* is the nearest integer to  $c \cdot \log_4 \ell$ .)

![](_page_17_Figure_0.jpeg)

Figure 3.4: Multi-modal k-mers distributions in four non-mammals. These species are part of the tetrapod clade.

From top-left: chicken (k = 10), lizard (k = 11), frog (k = 11), platypus (k = 10).

2. **Multi-modal distributions**, where the corresponding *k*-mer histograms have two or more maxima. Usually one (or more) high maximum is at a very low number of k-mers, and another, shallower one at a larger number. We found that only a small and well characterized group of species exhibits this distribution (figure 3.4). This group includes *Gallus gallus* (Chicken), *Anolis carolinesis* (Green Anole Lizard), and *Xenopus tropicalis* (Frog), all in the tetradon clade. Notice that the five bonny fish (vertebrates) are *not* a part of this group.

![](_page_18_Figure_0.jpeg)

#### 3.3 Human Genomic Regions

Figure 3.5: *k*-mer distributions among the different human genomic regions. From top-left: The whole human genome, both strands, k=10; Introns, single strand, k=10; 3'UTRs, single strand, k=8; Coding regions (exons), single strand, k=9; 5'UTRs, single strand, k=8; Gene promoter region 600 bases, single strand, k=6; Gene promoter region 1000 bases, single strand, k=6; Gene promoter region 5000 bases, single strand, k=7.

Figure 3.5 depicts the differences of k-mer distributions within human genomic regions. The regions analyzed were coding regions (exons), introns, 3'UTRs, 5'UTRs and gene promoter regions. The gene promoter regions were separately analyzed three times, corresponding to varying lengths of the promoter region (600, 1000, and 5000 nucleotide bases upstream of the 5'UTR of the gene). The most striking empirical observation is that the coding regions, the 5'UTRs, and the shorter lengths of gene promoter regions exhibit unimodal k-mer distribution, while the introns, the 3'UTRs and the gene promoter regions of length 5000 bases exhibit multi-mode k-mer distributions.

![](_page_19_Figure_0.jpeg)

Figure 3.6: *k*-mer distributions in miRNA gene promoter regions. Length of promoter regions: 1000 bases (left, k = 6), 5000 bases (middle, k = 7), and 10000 bases (right, k = 7).

Figure 3.6 shows the *k*-mer histograms of the promoter regions upstream of 529 known human micro RNA (miRNA) genes. Although all three graphs exhibit some sort of multi-modality, it is clear that this multi-modality increases its effect as the length of the sequences increases. This leads to the claim that there may be some change in the distribution in the regions closer to the miRNA genes. This claim has been supported by Lee et al. [11] who found that, for example, the 6-mer CGCGCG is over-represented in these regions and acts as a transcription factor binding site (TFBS) for several miRNA genes. We note that the promoter regions of miRNA genes are quite different than those of regular genes, and are closer to introns, with respect to the properties we analyzed (see 5.3).

#### 3.4 Low Order Markov Models

Low order Markov models were fitted to the genome of *Homo sapiens* by counting the transitions required to emit the sequence. Since these are simple (non-hidden) Markov models, this is equivalent to maximum likelihood estimation [5]. Because of the lengths of sequences being analyzed, extremely complex, namely high order, models still show a significant improvement in their fit (as measured by the AIC).

![](_page_20_Figure_2.jpeg)

Figure 3.7: Improvement in log-likelihood score of human genome per additional parameter. Improvement in log-likelihood score of human genome sequence per additional parameter, as the order of the model increases (log scale). The improvement decreases exponentially per parameter as the order of the model increases.

Figure 3.7 shows the log of the improvement per additional parameter as the order of the model increases, showing that there is an exponential decrease in the improvement per parameter as the order of the model increases. For the difference between the models to be insignificant, the improvement per parameter would have to drop below 1, and we can see this is not the case.

![](_page_21_Figure_0.jpeg)

Figure 3.8: Graphical representation of the first order (a) and second order (b) Markov models of the human genome.

Bars are proportional to stationary probabilities. Areas of disks are proportional to transition probabilities. Note the CpG suppression.

Despite more complex models being significantly better, even the first order model captures effects like CpG suppression. Figure 3.8(a) depicts the first order model graphically. The relative small probability for the transition from C to G is readily seen. Comparing this to a similar graph of the transition probabilities for a second-order model (figure 3.8(b)), it is almost like the first order transition probabilities have been repeated four-fold. This suggests that improvements by increasing the order further come from fitting observed poly-nucleotide frequencies better, rather than transitions.

![](_page_22_Figure_0.jpeg)

Figure 3.9: Multi-modal histogram Markov model simulations results (human, k = 11). The empirical histogram (upper-left),  $0^{th}$  order Markov model (upper-right),  $1^{st}$  order Markov model (lower-left), and  $2^{nd}$  order Markov model (lower-right). Simulation lengths were chosen as the length of the original genome.

![](_page_23_Figure_0.jpeg)

Figure 3.10: Unimodal histogram Markov model simulations results (fugu, k = 10). The empirical histogram (upper-left),  $0^{th}$  order Markov model (upper-right),  $1^{st}$  order Markov model (lower-left), and  $2^{nd}$  order Markov model (lower-right). Simulation lengths were chosen as the length of the original genome.

In figures 3.9 and 3.10 we show the empirical k-mer histograms, and those induced from the zero order Markov model, first order Markov model, and second order Markov model, for 2 eukaryotes: human (k = 11) and fugu (k = 10). It can be seen that while the zero order model poorly captures the empirical histograms, first and second orders provide a much better fit. In particular, the second order Markov model captures the modality of the distribution quite well.

### 3.5 Tail Weight Distribution

![](_page_24_Figure_1.jpeg)

Figure 3.11: Human chromosome 12: Log-scaled distribution of 10-mers in Markov models and real data.

Markov model simulations versus the real data. Real data is marked by blue circlets; Markov models: 0-order (black dots), 1-order (green +) and 2-order (red x).

During the completion of this thesis, we were informed of a related analysis by Csuros et al. [4]. In their article, they claim that low order Markov chains do not give a fit to the empirical genomic data, especially in the "heavy tail" part of the histograms. Instead, they propose a model where CpG's are first removed, and the remaining is modeled by a double Pareto distribution [17]. We argue that this is true for the  $0^{th}$ -order Markov chain (i.e. transition matrix, preserving only single nucleotide statistics). However, if we increase the order of the model even just to 2, we achieve a fairly good fit in the "heavy tail" as well. We exhibit this using log axes histograms for human chromosome 12 and repeat masked human chromosome 5 (figures 3.11, 3.12).

We note that the differences between the real data and our modeled data regarding the "heavy tail" include mainly the long repeat sequences, such as poly-A and poly-T. It can be seen that the fit for the repeat-masked chromosome is better, where the repeat-masker masks

#### these types of *k*-mers.

![](_page_25_Figure_1.jpeg)

Figure 3.12: Repeat-masked human chromosome 5: Log-scaled distribution of 10-mers in Markov models and real data.

Markov model simulations versus the real data. Real data is marked by blue circlets; Markov models: 0-order (black dots), 1-order (green +) and 2-order (red x).

Figures 3.11 and 3.12 depict the Markov models of orders 0 (black dots), 1 (green +), and 2 (red x) versus the real data (blue circlets) for human chromosome 12, and for repeat-masked human chromosome 5, for 10-mers. We display the results using a log scale for both axes (as used in [4]), though we note that the data is the same as shown in our previous histogrambars style display. The Markov models of order 1 and 2 provide a fairly good fit to the real data. Moreover, these low order Markov models manage to capture the majority of the so-called "heavy tail" of the distributions, without the need to disregard parts of the data (such as CpG enriched k-mers), as suggested in [4].

![](_page_26_Figure_0.jpeg)

![](_page_26_Figure_1.jpeg)

Markov model simulations versus the real data. Real data is marked by a full blue line; Markov models: 0-order (green dashed line), 1-order (black dotted line) and 2-order (red dash-dotted line). Shown for (a) human chromosome 12, and (b) repeat-masked human chromosome 5, for k = 10.

| Chromosome 12 |          |                |             |         |                |         |                |         |  |  |  |  |  |
|---------------|----------|----------------|-------------|---------|----------------|---------|----------------|---------|--|--|--|--|--|
| # of          | % of all | Real           | 0-orde      | er      | 1-orde         | r       | 2-order        |         |  |  |  |  |  |
| occur.        | k-mers   | # of $k$ -mers | # of k-mers | (d)/(c) | # of $k$ -mers | (f)/(c) | # of $k$ -mers | (h)/(c) |  |  |  |  |  |
| (a)           | (b)      | (c)            | (d)         | (e)     | (f)            | (g)     | (h)            | (i)     |  |  |  |  |  |
| $\geq 7$      | 90       | 946136         | 1046733     | 1.10    | 955065         | 1.01    | 954300         | 1.01    |  |  |  |  |  |
| $\geq 14$     | 75       | 796815         | 1030725     | 1.29    | 899363         | 1.13    | 878222         | 1.10    |  |  |  |  |  |
| $\geq 64$     | 50       | 524330         | 622401      | 1.18    | 562153         | 1.07    | 551253         | 1.05    |  |  |  |  |  |
| $\geq 123$    | 30       | 314938         | 283911      | 0.90    | 422315         | 1.34    | 386321         | 1.23    |  |  |  |  |  |
| $\geq 232$    | 10       | 105172         | 84343       | 0.80    | 112916         | 1.07    | 110924         | 1.05    |  |  |  |  |  |
| $\geq 322$    | 5        | 52556          | 39863       | 0.75    | 34258          | 0.65    | 43496          | 0.83    |  |  |  |  |  |
| $\geq 661$    | 1        | 10514          | 3766        | 0.35    | 777            | 0.07    | 4716           | 0.45    |  |  |  |  |  |
| $\geq 2711$   | 0.1      | 1049           | 1           | 0.001   | 0              | 0.00    | 30             | 0.03    |  |  |  |  |  |
| $\ge 17870$   | 0.001    | 11             | 0           | 0.00    | 0              | 0.00    | 0              | 0.00    |  |  |  |  |  |

Table 1: Real data fit using low order Markov models, human chromosome 12, k = 10

|             | Chromosome 5, Repeat-masked |             |             |         |             |         |             |         |  |  |  |  |  |  |
|-------------|-----------------------------|-------------|-------------|---------|-------------|---------|-------------|---------|--|--|--|--|--|--|
| # of        | % of all                    | Real        | 0-orde      | er -    | 1-orde      | r       | 2-orde      | er      |  |  |  |  |  |  |
| occur.      | k-mers                      | # of k-mers | # of k-mers | (d)/(c) | # of k-mers | (f)/(c) | # of k-mers | (h)/(c) |  |  |  |  |  |  |
| (a)         | (b)                         | (c)         | (d)         | (e)     | (f)         | (g)     | (h)         | (i)     |  |  |  |  |  |  |
| $\geq 5$    | 90                          | 955528      | 1042716     | 1.09    | 933181      | 0.98    | 928382      | 0.97    |  |  |  |  |  |  |
| $\geq 10$   | 75                          | 811978      | 1010372     | 1.24    | 818559      | 1.01    | 811780      | 1.00    |  |  |  |  |  |  |
| $\geq 46$   | 50                          | 526332      | 548490      | 1.04    | 548674      | 1.04    | 537336      | 1.02    |  |  |  |  |  |  |
| $\geq 93$   | 30                          | 316552      | 247553      | 0.78    | 352583      | 1.11    | 332627      | 1.05    |  |  |  |  |  |  |
| $\geq 171$  | 10                          | 105378      | 83695       | 0.79    | 106338      | 1.01    | 104400      | 0.99    |  |  |  |  |  |  |
| $\geq 230$  | 5                           | 52860       | 47285       | 0.89    | 43730       | 0.83    | 48556       | 0.92    |  |  |  |  |  |  |
| $\geq 430$  | 1                           | 10540       | 7204        | 0.68    | 3219        | 0.31    | 6965        | 0.66    |  |  |  |  |  |  |
| $\geq 914$  | 0.1                         | 1049        | 436         | 0.42    | 23          | 0.02    | 378         | 0.36    |  |  |  |  |  |  |
| $\geq 2881$ | 0.001                       | 11          | 1           | 0.09    | 0           | 0.00    | 2           | 0.18    |  |  |  |  |  |  |

Table 2: Real data fit using low order Markov models, repeat masked human chromosome 5,  $k=10\,$ 

The columns represent: (a) the number of occurrences of *k*-mers; (b) the percentage of *k*-mers which appear at least the number of times as in column (a); (c) the total number of *k*-mers which appear at least the number of times as in column (a), in the real data; (d) the total number of *k*-mers which appear at least the number of times as in column (a), in the Markov model simulation of order 0; (e) the percentage of fitness between the number of *k*-mers in the Markov model simulation and the real data  $\frac{(d)}{(c)}$ ; (f),(g) same as (d) and (e), for Markov model order 1; (h),(i) same as (d) and (e), for Markov model order 2.

Figure 3.13 along with some actual values (tables 1, 2) exhibit how close our low order Markov models are to capturing the essence of the real data. The figure and tables show how many *k*-mers appear *at least x* number of times. As we can see, the tail is indeed quite heavy (notice that the axes in the figure are log scaled), and yet the fit is quite good. It is clear that the fit for the repeat masked chromosome is better, and that the  $2^{nd}$  order Markov model provides a better fit than the lower order models. For the non-repeat masked chromosome 12, there appears to be a skew in the fit for all models for the last about 1,000 *k*-mers (0.1% of all 10-mers), which is magnified in the log-scaled display. These are the most abundant 10-mers, most of which are removed by the repeat masker, thus allowing for a better fit for the repeat masked chromosome.

#### **3.6** Surprising *k*-mers

Rather than looking at the absolute abundance of a k-mer, it is better to ask how surprising the observed abundance is. The level of surprise can be measured using the odds-ratio (OR) [21]: how over- or under- represented a k-mer is in a genome given our expectations.

$$\mathrm{OR} = \frac{(1-e)/e}{(1-p)/p}$$

where e is the empirical frequency at which a given k-mer is observed in a genome and p is the proportion of time that it is expected to occur. In practice, an empirical log of the odds-ratio is used because of problems with unobserved k-mers (see 'empirical logits', [21]).

| Over-abundant $k$ -mers |              |          |             |             |              |          |      |  |  |  |  |
|-------------------------|--------------|----------|-------------|-------------|--------------|----------|------|--|--|--|--|
| Hon                     | 10 sapiens g | enome    | Repeat mask | ed Homo s   | sapiens gene | ome      |      |  |  |  |  |
| <i>k</i> -mer           | Count        | Expected | OR          | k-mer       | Count        | Expected | OR   |  |  |  |  |
| aaaaaaaaaa              | 2488487      | 1366     | 182         | tttttaaaaaa | 32998        | 4578     | 7.21 |  |  |  |  |
| ttttttttt               | 2472795      | 1338     | 185         | tttttaaaaa  | 32862        | 4569     | 7.19 |  |  |  |  |
| tgtgtgtgtgt             | 536538       | 687      | 781         | atttttaaaaa | 31604        | 3685     | 8.58 |  |  |  |  |
| acacacacaca             | 534130       | 697      | 767         | tttttaaaaat | 31519        | 3680     | 8.57 |  |  |  |  |
| gtgtgtgtgtg             | 500834       | 476      | 1053        | ttttaaaaaat | 28465        | 3687     | 7.72 |  |  |  |  |
| cacacacacac             | 498270       | 482      | 1034        | atttttaaaa  | 28341        | 3678     | 7.71 |  |  |  |  |
| ctgtaatccca             | 404242       | 1087     | 372         | tattttaaaa  | 23708        | 2553     | 9.29 |  |  |  |  |
| tgggattacag             | 402211       | 1085     | 371         | ttttaaaaata | 23681        | 2558     | 9.26 |  |  |  |  |
| tatatatat               | 394726       | 560      | 705         | ttttaaaaatt | 22181        | 3680     | 6.03 |  |  |  |  |
| atatatata               | 394600       | 561      | 703         | aatttttaaaa | 22134        | 3685     | 6.01 |  |  |  |  |

Table 3: Top ten most abundant *k*-mers in the human genome.

Top ten most abundant *k*-mers found in the *Homo Sapiens* genome (Ensembl release 46) for both unprocessed and repeat-masked sequences, as measured by the total number of occurrences (Count). 'Expected' is the number of times it would be expected to occur under a first order model and 'OR' is the Odds Ratio describing how surprising the observed occurrence is compared to expectation.

Table 3 lists the 10 most abundant 11-mers in the human genome, and also the most abundant ones in the genome under the repeat mask filter [20]. The unprocessed genome tends to contain many mono-nucleotide and di-nucleotide repeats, whereas the repeat masked genome is rich in interspersed poly-t and poly-a repeats. As may be predicted from the removal of simple repeats, the repeat masked *Homo sapiens* genome has an under-abundance of *k*-mers containing long mono-nucleotide repeats and some of these are also under-abundant in the unmasked genome.

| Surprisingl | y Over-ab | undant <i>l</i> | k-mers |
|-------------|-----------|-----------------|--------|
|-------------|-----------|-----------------|--------|

Surprisingly Under-abundant *k*-mers

| h mor   | Count  | Eveneted   |   |   | Count  | Evenented   | OD  |
|---|--|--|---|---|--|---|---|
| <i>k</i> -mer   | Count  | Expected   |   | <i>k</i> -mer   | Count  | Expected  | OR  |
| cgcgcgcgcgc   | 2448   | 0.061  | 40098   | tcgaaattcgc   | 0  | 46.0  | 0.011   |
| gcgcgcgcgcg   | 2437   | 0.060  | 39949   | ccccccctat  | 9  | 817.2   | 0.012   |
| cgccgccgccg   | 4642   | 0.481  | 9650  | attgcgaacga   | 0  | 41.9  | 0.012   |
| cggcggcggcg   | 4601   | 0.480  | 9566  | tcgcgagttaa   | 0  | 34.2  | 0.015   |
| ccgcgcccggc   | 19701  | 2.541  | 7753  | atcttcgcgag   | 0  | 33.9  | 0.015   |
| gccgggcgcgg   | 19556  | 2.539  | 7703  | tcagggggggg   | 15   | 1003.5  | 0.015   |
| caccgcgcccg   | 19907  | 2.895  | 6876  | atcgcaacgga   | 0  | 32.3  | 0.015   |
| cgggcgcggtg   | 19848  | 2.888  | 6873  | tatgtttcgcg   | 0  | 31.9  | 0.016   |
| accgcgcccgg   | 19655  | 3.002  | 6547  | tgcaacgatcg   | 0  | 31.1  | 0.016   |
| ccgggcgcggt   | 19539  | 2.996  | 6522  | agtccgcgcaa   | 0  | 30.3  | 0.016   |
|   |  |  |   |   |  |   |   |
|   |  |  |   |   |  |   |   |
|   |  | Repeat   | masked I  | Homo sapiens gene   | ome  |   |   |
| k-mer   | Count  | Repeat<br>Expected   | masked <i>I</i><br>OR   | Homo sapiens gene<br>k-mer  | ome<br>Count   | Expected  | <b>OR,</b> $\times 10^{-3}$   |
| <i>k-</i> mer   | Count<br>601   | Repeat<br>Expected<br>0.022  | masked <i>I</i><br>OR<br>26760  | Homo sapiens gene<br>k-mer<br>taaggggggggg  | ome<br>Count<br>0  | Expected<br>481.8   | OR, $\times 10^{-3}$<br>1.038   |
| k-mer<br>cgcgcgcgcgcgc<br>gcgcgcgcgcg   | Count<br>601<br>576  | Repeat<br>Expected<br>0.022<br>0.022   | masked <i>I</i><br>OR<br>26760<br>25673   | Homo sapiens gene<br>k-mer<br>taagggggggg<br>ccccccctaa   | ome<br>Count<br>0<br>0   | Expected<br>481.8<br>481.7  | OR, ×10 <sup>-3</sup><br>1.038<br>1.038   |
| k-mer<br>cgcgcgcgcgcg<br>gcgcgcgcgcg<br>cggcggcggcg   | Count<br>601<br>576<br>1208  | Repeat<br>Expected<br>0.022<br>0.022<br>0.183  | masked <i>I</i><br>OR<br>26760<br>25673<br>6609   | Homo sapiens gene<br>k-mer<br>taagggggggg<br>ccccccctaa<br>ttaggggggggg   | ome<br>Count<br>0<br>0<br>0  | Expected<br>481.8<br>481.7<br>480.9   | OR, ×10 <sup>-3</sup><br>1.038<br>1.038<br>1.040  |
| k-mer<br>cgcgcgcgcgcgc<br>gcgcgcgcgcg<br>cggcggcggcg<br>cgccgc  | Count<br>601<br>576<br>1208<br>1073                                    | Repeat<br>Expected<br>0.022<br>0.022<br>0.183<br>0.183   | masked <i>I</i><br>OR<br>26760<br>25673<br>6609<br>5874   | Homo sapiens gene<br>k-mer<br>taagggggggg<br>ccccccctaa<br>ttagggggggg<br>tcagggggggg   | ome<br>Count<br>0<br>0<br>0<br>0   | Expected<br>481.8<br>481.7<br>480.9<br>450.2  | OR, ×10 <sup>-3</sup><br>1.038<br>1.038<br>1.040<br>1.111   |
| k-mer<br>cgcgcgcgcgcgc<br>gcgcgcgcgcg<br>cggcggcggcg<br>cgccgc  | Count<br>601<br>576<br>1208<br>1073<br>152                             | Repeat<br>Expected<br>0.022<br>0.022<br>0.183<br>0.183<br>0.027  | masked <i>I</i><br>OR<br>26760<br>25673<br>6609<br>5874<br>5660                                 | Homo sapiens gene<br>k-mer<br>taagggggggg<br>ccccccctaa<br>ttagggggggg<br>tcagggggggg<br>ccccccctaa   | ome<br>Count<br>0<br>0<br>0<br>0<br>0<br>0                                     | Expected<br>481.8<br>481.7<br>480.9<br>450.2<br>450.1                                     | OR, ×10 <sup>-3</sup><br>1.038<br>1.038<br>1.040<br>1.111<br>1.111  |
| k-mer<br>cgcgcgcgcgcgc<br>gcgcgcgcgcg<br>cggcggcggcg<br>cgccgc  | Count<br>601<br>576<br>1208<br>1073<br>152<br>150                      | Repeat<br>Expected<br>0.022<br>0.022<br>0.183<br>0.183<br>0.027<br>0.028                                     | masked <i>I</i><br>OR<br>26760<br>25673<br>6609<br>5874<br>5660<br>5466                         | Homo sapiens gene<br>k-mer<br>taagggggggg<br>ccccccctaa<br>ttagggggggg<br>tcagggggggg<br>ccccccctaa<br>ccccccctaa   | Dome<br>Count<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0                     | Expected<br>481.8<br>481.7<br>480.9<br>450.2<br>450.1<br>449.4                            | $\begin{array}{c} \text{OR, } \times 10^{-3} \\ 1.038 \\ 1.038 \\ 1.040 \\ 1.111 \\ 1.111 \\ 1.113 \end{array}$                           |
| k-mer<br>cgcgcgcgcgcgc<br>gcgcgcgcgcg<br>cggcggcggcg<br>cgcgcgcgcgcg<br>cgcgcgcgcgcg<br>acgcgcgcg         | Count<br>601<br>576<br>1208<br>1073<br>152<br>150<br>144               | Repeat<br>Expected<br>0.022<br>0.183<br>0.183<br>0.027<br>0.028<br>0.027                                     | masked <i>I</i><br>OR<br>26760<br>25673<br>6609<br>5874<br>5660<br>5466<br>5352                 | Homo sapiens gene<br>k-mer<br>taagggggggg<br>ccccccctaa<br>ttagggggggg<br>tcagggggggg<br>ccccccctaa<br>ccccccctaa<br>tagggggggga                            | Deme<br>Count<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0                | Expected<br>481.8<br>481.7<br>480.9<br>450.2<br>450.1<br>449.4<br>432.1                   | $\begin{array}{c} \text{OR,} \times 10^{-3} \\ 1.038 \\ 1.038 \\ 1.040 \\ 1.111 \\ 1.111 \\ 1.113 \\ 1.157 \end{array}$                   |
| <i>k</i> -mer<br>cgcgcgcgcgcgc<br>gcgcgcgcgcg<br>cgccgcgcgcg<br>cgcgcgcgcgcg<br>cgcgcgcgcgcg<br>acgcgcgcg | Count<br>601<br>576<br>1208<br>1073<br>152<br>150<br>144<br>138        | Repeat<br>Expected<br>0.022<br>0.022<br>0.183<br>0.183<br>0.027<br>0.028<br>0.027<br>0.028                   | masked <i>I</i><br>OR<br>26760<br>25673<br>6609<br>5874<br>5660<br>5466<br>5352<br>5029         | Homo sapiens gene<br>k-mer<br>taagggggggg<br>ccccccctaa<br>ttagggggggg<br>tcagggggggg<br>ccccccctaa<br>ccccccctga<br>tagggggggga<br>tcccccccta              | Deme<br>Count<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0 | Expected<br>481.8<br>481.7<br>480.9<br>450.2<br>450.1<br>449.4<br>432.1<br>431.5          | $\begin{array}{c} \text{OR,} \times 10^{-3} \\ 1.038 \\ 1.038 \\ 1.040 \\ 1.111 \\ 1.111 \\ 1.113 \\ 1.157 \\ 1.159 \end{array}$          |
| <i>k</i> -mer<br>cgcgcgcgcgcg<br>gcgcgcgcgcg<br>cgcgcgcgcgcg<br>cgcgcgcgcgcg<br>cgcgcgcgcgcg<br>acgcgcgcg | Count<br>601<br>576<br>1208<br>1073<br>152<br>150<br>144<br>138<br>138 | Repeat<br>Expected<br>0.022<br>0.022<br>0.183<br>0.183<br>0.027<br>0.028<br>0.027<br>0.028<br>0.028<br>0.028 | masked <i>I</i><br>OR<br>26760<br>25673<br>6609<br>5874<br>5660<br>5466<br>5352<br>5029<br>5029 | Homo sapiens gene<br>k-mer<br>taagggggggg<br>ccccccctaa<br>ttagggggggg<br>tcagggggggg<br>ccccccctaa<br>ccccccctga<br>tagggggggga<br>tcccccccta<br>cccccccta | Deme<br>Count<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0 | Expected<br>481.8<br>481.7<br>480.9<br>450.2<br>450.1<br>449.4<br>432.1<br>431.5<br>430.3 | $\begin{array}{c} \text{OR,} \times 10^{-3} \\ 1.038 \\ 1.038 \\ 1.040 \\ 1.111 \\ 1.111 \\ 1.113 \\ 1.157 \\ 1.159 \\ 1.162 \end{array}$ |

Table 4: Top ten most surprising over- and under- abundant *k*-mers in the human genome. Top ten most surprising over- and under- abundant *k*-mers found in the *Homo Sapiens* genome (Ensembl release 46) for both unprocessed and repeated masked sequences, as measured by the Odds Ratio (OR). 'Count' is the number of times the *k*-mer occurs, whereas 'Expected' is the number of times it would be expected to occur under a first order model.

Table 4 describes the 10 *most surprising* 11-mers in the human genome – both rare and abundant ones (those with smallest and largest odds ratios, correspondingly). Those surprisingly over-abundant *k*-mers tend to be CpG rich, in contrast to those with high absolute abundance, which do not contain CpG di-nucleotides; the over-abundance may be due to the hypothesized effect on the major groove in DsDNA. While there is a tendency for underabundant *k*-mers to be missing, 8 of the top 10 shown, the relationship is not strong. Out of the first 1000 least absolutely abundant *k*-mers; for the repeat masked genome, all of the first 1000 least absolutely abundant are missing whereas only 331 of first 1000 most under-abundant *k*-mers are *not* surprising. We remark that other low-order models give fairly similar results. Our results show that the distribution of *k*-mer frequencies is consistent with CpG suppression and many *k*-mers are just too rare to be observed in the data.

## 3.7 CpG Suppression

![](_page_30_Figure_1.jpeg)

Figure 3.14: The CpG-dimer within the distributions.

k-mers which contain the CpG-dimer comprise the left-most part in the multi-modal histograms: (a) Human, (b) Chicken. In other species it has no such effect: (c) C. Elegans (Worm), (d) Tetraodon (Fish).

Figure 3.14 shows histograms of the *k*-mer distribution for (a) Human (*Homo sapiens*) and (b) Chicken (*Gallus gallus*). *k*-mers which include the dimer CpG are colored green, while all others are blue. For clarity, the right hand side of the histograms are truncated, but those truncated regions are essentially "CG-free". It is evident that these highlighted *k*-mers wholly comprise the left-most areas of the multi-mode histograms. The same histograms and highlights are shown for species with unimodal *k*-mer distributions – (c) the Worm (*Caenorhabditis elegans*) and (d) Fish (*Tetraodon nigroviridis*). In these examples it is clear that the CpG dimer does not have the same dramatic effect.

![](_page_31_Figure_0.jpeg)

Figure 3.15: Enrichment of the CpG-dimer within rare 11-mers: (a) Human, (b) Chicken.

Those *k*-mers containing even more CpG dimers appear more and more to the left of the histogram, as seen in figure 3.15. In these histograms those *k*-mers which include 3 or more instances of CpG are colored red, those which include 2 instances are colored green, 1 instance are yellow, and the rest (0 instances) are blue.

Karlin et al. [10] defined  $\rho$  as the ratio between the empirically found probability of a dimer, and the expected combination of its monomers, according to their respective probabilities. Thus, for the CpG dimer, the relevant ratio is

$$\rho_{\rm CG} = \frac{Pr({\rm CpG})}{Pr({\rm C})Pr({\rm G})}$$

If the occurrences of C and G were independent,  $\rho_{CG}$  would be 1. For human,  $\rho_{CG} = 0.24$ , for opossum it is 0.13, for lizard it is 0.3 and for frog it is 0.34. Low values are also attained for some bacteria (*e.g.* Entamoeba Histolytica, 0.3) and archea (*e.g.* Methanococcus Jannaschii, 0.32, and for Methanosphaera stadtmanae, 0.27). Values of  $\rho_{CG}$  exceeding 1 are less frequent but nonetheless exist, *e.g.* for beetle it is 1.15 and for bee it is 1.64.

![](_page_32_Figure_0.jpeg)

Figure 3.16: GC content vs.  $\rho_{CG}$ . Notice the tetrapods cluster.

Figure 3.16 shows a 2-D graph, where the *x*-axis represents the GC-content (in %), and the *y*-axis represents  $\rho_{\text{CG}}$ . The tetrapods, which exhibit a multi-modal *k*-mer histograms, cluster quite closely. We can also see that some species, such as the archaea *Methanosphaera* stadtmanae and *Methanococcus Jannaschi*, the protozoan bacteria *Entamoeba hystolytica* and *Tetrahymena thermophila* all have  $\rho_{\text{CG}} < 0.33$ , a value similar to the lizard and smaller than the frog.

#### 3.8 Simulated Multi-modal Borders

We tried to establish an empirical border to the multiple modality phenomenon, with respect to the GC-content and  $\rho_{CG}$ . In order to do this we use a convex combination between the dimer distributions of human and all other species.

![](_page_33_Figure_2.jpeg)

Figure 3.17: The simulated border of the multi-modal distribution.

Figure 3.17 shows the simulated borders of the multi-modal *k*-mer distribution phenomenon, with respect to the GC-content,  $\rho_{CG}$  and  $\alpha_s$ , using the human distribution as the basic multi-modal distribution.

![](_page_34_Figure_0.jpeg)

Figure 3.18: Simulated estimate of the border of the multi-modal distribution. Using a convex combination of the Markov model transition probabilities from one species to another. In this example we start at the human distribution ( $\alpha = 0$ ) and finish at the mosquito distribution ( $\alpha = 1$ ). We show the distributions for the varying values of  $\alpha$  from  $\alpha = 0.1$  to  $\alpha = 0.9$  (k=9). In this case  $\alpha_s = 0.3$ , as the multi-modal distribution is clearly evident for  $\alpha \leq 0.3$ .

The convex combination was obtained using the following:

Let D capture the probabilities of all 16 possible dimers, with respect to species s.

$$\mathrm{D_s} = \mathrm{Pr}(\mathtt{a}\mathtt{b}) \ \mathtt{a}, \mathtt{b} \in \mathtt{A}, \mathtt{C}, \mathtt{G}, \mathtt{T}$$

So now for each species *s*, and every value of  $0 \le \alpha \le 1$ , define the convex combination

$$D'_{\alpha,s} = (1 - \alpha)D_{human} + \alpha D_s$$

We then plug these new dimer distribution values in to our Markov model simulator as the new transition probabilities, and run the simulation. We then visually decide whether the graph is "uni-modal" or "multi-modal", and thus define  $\alpha_s$  as the border where for  $\alpha \leq \alpha_s$  we will get a "multi-modal" distribution.

Figure 3.18 shows an example of the *k*-mer distribution graphs of the Markov model simulation from human ( $\alpha = 0$ ) to mosquito ( $\alpha = 1$ ). We used k = 9, and the length of each simulation run was 50,000,000 bases.

#### 3.9 Extended Chargaff Phenomenon

When analyzing single strand sequences, we saw a close similarity between the number of appearances of k-mers and their reverse-complements (this is obvious for two strands, but not for one). We note Chargaff's rules [2], and specifically the second rule.

Chargaff's  $2^{nd}$  rule:  $\%A \approx \%T$  and  $\%C \approx \%G$  on single stranded DNA.

We observed that this rule can be extended to larger k-mers:

For almost all *k*-mers: # of occurrences of a *k*-mer  $\approx$  # of occurrences of its reverse-complement-*k*-mer.

![](_page_36_Figure_5.jpeg)

Figure 3.19: Extending Chargaff's  $2^{nd}$  rule for *k*-mers,  $4 \le k \le 10$ . *k*-mers and their reverse complements on a single strand, human chromosome 12, k = 10.

We define a simple score  $d_i$  for the relative difference between the number of occurrences of a *k*-mer *i* ( $N_i$ ) and the number of occurrences of its reverse complement ( $N_i^{rc}$ ):

$$d_i = \left| \begin{array}{c} \frac{N_i - N_i^{\rm rc}}{N_i + N_i^{\rm rc}} \right.$$

It is easy to see that d = 0 for k-mers which appear the exact same number of times as their reverse complements, and d increases with the relative difference between these occurrences.

Figure 3.19 shows this observation on the human chromosome 12, for  $4 \le k \le 10$ . The y-axis represents the *k*-mers sorted by their *S* score and normalized on a [0..1] scale. The x-axis represents the score *d* between the *k*-mer and its reverse complement. It can be clearly seen that the vast majority of *k*-mers exhibit a very low relative difference score.

| % of $k$ -mers | k=4   | k=5   | k=6   | k=7   | k=8   | k=9   | k=10  |
|----------------|-------|-------|-------|-------|-------|-------|-------|
| 10             | 0.000 | 0.000 | 0.001 | 0.001 | 0.002 | 0.005 | 0.007 |
| 30             | 0.000 | 0.001 | 0.002 | 0.004 | 0.008 | 0.017 | 0.034 |
| 50             | 0.000 | 0.002 | 0.003 | 0.007 | 0.015 | 0.031 | 0.065 |
| 70             | 0.001 | 0.003 | 0.006 | 0.012 | 0.026 | 0.056 | 0.120 |
| 85             | 0.002 | 0.004 | 0.009 | 0.020 | 0.045 | 0.100 | 0.217 |
| 90             | 0.002 | 0.006 | 0.011 | 0.027 | 0.059 | 0.130 | 0.294 |
| 95             | 0.003 | 0.007 | 0.017 | 0.037 | 0.084 | 0.185 | 0.417 |
| 99             | 0.006 | 0.016 | 0.027 | 0.068 | 0.148 | 0.333 | 0.999 |

Table 5: The relative difference score d at different percentiles of k-mers.

Table 5 provides some actual values as depicted in the figure. For example, if we look at k = 8, we can see that 90% of *k*-mers have a relative difference score of less than 0.006, and 99% have a relative difference score of 0.148 or less.

![](_page_38_Figure_0.jpeg)

Figure 3.20: Low order Markov models preserve properties of extended Chargaff rule phenomena.

*k*-mers and their reverse complements on a single strand, human chromosome 12, k = 10. Real data (blue) versus the simulated models of order 0 (black dots), order 1 (green dashes) and order 2 (red dot-dashes).

Figure 3.20 shows that the low order (non-zero) Markov models preserve the properties of the extended Chargaff rule phenomena as well. The models of orders 0, 1 and 2 were based on the human chromosome 12.

## **4** Discussion

![](_page_39_Figure_1.jpeg)

Figure 4.1: The tetrapod clade on a symbolic "tree of life". Figure taken from http://biology.unm.edu/ccouncil/Biology\_203/Summaries/Phylogeny.htm

When placing the species with multi-modal k-mer histograms on the "tree of life" [22], we observe that they define *exactly* the tetrapod clade (Figure 4.1). We note that mammals, birds, amphibians and reptiles (all analyzed here) compose the majority of the tetrapod groups. (Tetrapods are terrestrial vertebrates, and other vertebrates that bear limbs with digits rather than fins.) Another family of species within the tetrapods are the turtles, whose genomes are not yet sequenced, but we expect they will also exhibit the same multi-modal distribution. We note that bony fish are the outgroup to tetrapods within the vertebrates. As pointed out in Section 3, the five bony fish analyzed here exhibit unimodal k-mer distributions.

As mentioned earlier, Reinert *et al.* have shown that the distribution for the number of occurrences of a particular k-mer has two distinct large sample regimes: a normal distribution for abundant k-mers, and a Poisson (or compound Poisson) distribution for extremely rare k-mers [18]. Comparing their results to our empirical findings, we observe that the tetrapods' genomes exhibit k-mer distributions where a superposition of *both* such regimes are evident. The non-tetrapods exhibit just one of the two distributions.

A major cause of the low frequency of appearance of the CpG dimer (termed "CpG suppression" [13]) in tetrapods is methylation [3]. Methylation has far ranging effects, from embryonic development to neuron apoptosis and cancer. In humans, for example, more than 70% of the Cs in CpGs are methylated, and these CpGs tends to mutate at greater rates, specifically to TG and to CA. The dimers TG and CA together account for most of the CpG loss: With no suppression, CpG in tetrapods is expected to appear at approximately 4% of the dimers, but in

actuality it appears at approximately 1%, so approximately 3% are missing; TG and CA each appear about 1.3% more than their "fair share". Together this accounts for about 2.6% of the dimers, covering about 90% of the CpG loss.

![](_page_40_Figure_1.jpeg)

Figure 4.2: Species with unimodal distributions and low  $\rho_{CG}$  values. *k*-mer distribution for Methanococcus Jannaschii (*k*=7, top left), Methanosphaera Stadtmanae (*k* = 7, top right), and Entamoeba Histolytica (*k* = 8, bottom).

Since all tetrapods exhibit a significant level of CpG suppression, one may wonder if their multi-modal *k*-mer distributions are not simply a direct consequence of low  $\rho_{CG}$  values. Clearly, our findings indicate that low  $\rho_{CG}$  values are a necessary ingredient in having multi-modal *k*-mer distributions. However, low  $\rho_{CG}$  values by themselves are not enough. Figure 4.2, reveals three non-tetrapods (two archea and one bacteria, with  $\rho_{CG}$  values smaller than 0.33,

yet unimodal k-mer distributions. These three species have a substantially lower C+G contents than the tetrapods, and this also is likely to be an important factor.

More generally, even the first order Markov model has 20 parameters, and it is not clear how to determine which regimes give rise to each type of distributions, but clearly  $\rho_{CG}$  and the C+G contents are important. Despite their limitations, low order models do reveal interesting features. For example, by allowing to measure how surprising a *k*-mer is, we get a quantitative measure that is more significant than just "missing" or "highly abundant".

We believe that our study of empirical DNA distributions is only an initial step in this direction, and that additional insights are yet to be found.

## 5 Appendix A

#### 5.1 Algorithms

The algorithms used in this research were fairly simple and straightforward.

#### 5.1.1 Extracting k-mer data from a genome

This algorithm was used to extract all data for all *k*'s in range  $4 \le k \le 13$  from a genome data file, *in one pass*. The general scheme was to create for each *k* an array of length  $4^k$ . Each entry in the array holds a counter for the number of appearances for a specific *k*-mer. The genome would then be read letter by letter, and the entry for the relevant *k*-mer encountered would be counted. Even though the procedure to do this is quite straightforward, there were some issues that needed some closer attention:

1. Files can reach significant sizes (the complete human genome, for example, is larger that 2GB). Loading a file like this to the RAM can fail, or at least slow down the machine. The solution used to this problem was to load the file to memory in a "chunks" of 100MB each, which essentially act as a buffer. This allowed to keep the RAM manageable, thus allowing the calculative parts of the algorithm to work faster.

2. How to efficiently map a *k*-mer to its designated place in the array. The solution to this was done by mapping each nucleotide to a 2-bit number ( $A \rightarrow 00, C \rightarrow 01, G \rightarrow 10, T \rightarrow 11$ ), and thus mapping a *k*-letter string to an integer in the range 0 to  $4^k - 1$ . When a new letter is encountered, all that needs to be done is a 2-bit left shift of the previous number, and OR-ing the new letter's 2-bit value as the least significant bits (LSB). This also enabled easy calculation of double-strand (reverse-complement) data by switching the direction of the 2-bit shift to a right-shift, and OR-ing the complement 2-bit value as the most significant bits (MSB). This allows all operations on a single letter be done in O(1), enabling the total time be O(*l*), where *l* is the genome length. Total memory usage is O(max(4<sup>k</sup>, b)), where *b* is the buffer size used to read the genome file.

3. Output files can reach large sizes. Assuming we want all extracted data written to a file, that file can reach large sizes. For example, for k = 13, the raw output file is almost 200MB. This is not too large, but loading and manipulating that kind of data for many species is not recommended. The solution was to partition the data into histogram-like bins, thus controlling the file sizes with the number of bins. Since we show histograms anyway, this was an easy solution to choose.

### 5.2 Genomic data acquiring

Genomic data of species was downloaded from the following sites:

- Ensembl ftp://ftp.ensembl.org
- NCBI ftp://ftp.ncbi.nih.gov
- **TIGR** ftp://ftp.tigr.org
- UCSC ftp://hgdownload.cse.ucsc.edu
- HGSC ftp://ftp.hgsc.bcm.tmc.edu
- Genoscope http://www.genoscope.cns.fr

Data regarding human genomic regions was downloaded from:

- Exons, Introns http://hsc.utoledo.edu/bioinfo/eid/index.html
- 3'UTRs, 5'UTRs ftp://bighost.ba.itb.cnr.it/pub/Embnet/Database/UTR/data
- Gene Promoters http://www.epd.isb-sib.ch/seq\_download.html
- miRNA Data ftp://ftp.sanger.ac.uk/

For some of the species the whole genomic data was not fully assembled, so we took what was available in the form of scaffolds and chromosomes. We assume that the final assemblies will probably not differ significantly from these preliminary files in terms of the k-mer statistics.

## 5.3 Species list

| Species (Archea)                    | Classification | Length    | %G+C | $\rho_{CG}$ | dist. type |
|-------------------------------------|----------------|-----------|------|-------------|------------|
| AeropyrumPernix                     | Archea         | 1,509,911 | 56.5 | 0.70        | unimodal   |
| ArchaeoglobusFulgidus               | Archea         | 2,076,061 | 48.6 | 0.78        | unimodal   |
| HaloarculaMarismortui               | Archea         | 3,208,489 | 62.0 | 1.32        | unimodal   |
| HalobacteriumSp                     | Archea         | 1,887,389 | 68.0 | 1.36        | unimodal   |
| HaloquadratumWalsbyi                | Archea         | 2,925,353 | 47.9 | 1.11        | unimodal   |
| HyperthermusButylicus               | Archea         | 1,509,911 | 53.8 | 0.77        | unimodal   |
| MethanobacteriumThermoautotrophicum | Archea         | 1,604,247 | 49.6 | 0.51        | unimodal   |
| MethanococcoidesBurtonii            | Archea         | 2,453,539 | 40.8 | 0.72        | unimodal   |
| MethanococcusJannaschii             | Archea         | 1,604,238 | 31.4 | 0.32        | unimodal   |
| MethanococcusMaripaludis            | Archea         | 1,509,911 | 33.1 | 0.89        | unimodal   |
| MethanocorpusculumLabreanum         | Archea         | 1,698,650 | 50.1 | 1.19        | unimodal   |
| MethanopyrusKandleri                | Archea         | 1,604,247 | 61.2 | 1.18        | unimodal   |
| MethanosaetaThermophila             | Archea         | 1,792,986 | 53.5 | 0.86        | unimodal   |
| MethanosarcinaAcetivorans           | Archea         | 5,473,296 | 42.7 | 0.79        | unimodal   |
| MethanosarcinaBarkeri               | Archea         | 4,624,004 | 39.3 | 0.72        | unimodal   |
| MethanosarcinaMazei                 | Archea         | 3,869,048 | 41.5 | 0.72        | unimodal   |
| MethanosphaeraStadtmanae            | Archea         | 1,604,247 | 27.6 | 0.27        | unimodal   |
| MethanospirillumHungatei            | Archea         | 3,302,831 | 45.1 | 0.77        | unimodal   |
| NanoarchaeumEquitans                | Archea         | 377,477   | 31.1 | 0.61        | unimodal   |
| NatronomonasPharaonis               | Archea         | 2,453,539 | 63.4 | 1.39        | unimodal   |
| PicrophilusTorridus                 | Archea         | 1,415,508 | 36.0 | 0.76        | unimodal   |
| PyrobaculumAerophilum               | Archea         | 2,076,061 | 51.3 | 0.97        | unimodal   |
| PyrobaculumIslandicum               | Archea         | 1,698,650 | 49.5 | 0.93        | unimodal   |
| PyrococcusAbyssi                    | Archea         | 1,604,247 | 44.7 | 0.71        | unimodal   |
| PyrococcusFuriosus                  | Archea         | 1,792,986 | 40.8 | 0.50        | unimodal   |
| PyrococcusHorikoshii                | Archea         | 1,604,247 | 41.9 | 0.61        | unimodal   |
| SulfolobusAcidocaldarius            | Archea         | 2,076,061 | 36.7 | 0.55        | unimodal   |
| SulfolobusSolfataricus              | Archea         | 2,831,017 | 35.8 | 0.67        | unimodal   |
| SulfolobusTokodaii                  | Archea         | 2,547,942 | 32.8 | 0.55        | unimodal   |
| ThermococcusKodakaraensis           | Archea         | 1,981,725 | 52.0 | 0.88        | unimodal   |
| ThermofilumPendens                  | Archea         | 1,698,650 | 57.7 | 1.00        | unimodal   |
| ThermoplasmaAcidophilum             | Archea         | 1,415,508 | 45.9 | 0.91        | unimodal   |
| ThermoplasmaVolcanium               | Archea         | 1,509,911 | 39.9 | 0.83        | unimodal   |

| Species (Bacteria)                       | Classification | Length     | %G+C | $ ho_{CG}$ | dist. type |
|--|----------------|------------|------|------------|------------|
| AcidobacteriaBacteriumEllin345           | Bacteria       | 5,378,893  | 58.4 | 1.27       | unimodal   |
| BacillusSubtilis                         | Bacteria       | 3,963,384  | 43.5 | 1.04       | unimodal   |
| BrucellaMelitensis                       | Bacteria       | 3,114,055  | 57.2 | 1.20       | unimodal   |
| BurkholderiaXenovoransLB400              | Bacteria       | 9,247,928  | 62.6 | 1.38       | unimodal   |
| ChlamydophilaPneumoniaeAR39              | Bacteria       | 1,132,366  | 40.6 | 0.73       | unimodal   |
| ChlorobiumTepidumTLS                     | Bacteria       | 1,981,718  | 56.5 | 1.21       | unimodal   |
| ChromobacteriumViolaceum                 | Bacteria       | 4,529,601  | 64.8 | 1.12       | unimodal   |
| CyanobacteriaBacteriumYellowstoneA-Prime | Bacteria       | 2,736,681  | 60.2 | 0.74       | unimodal   |
| EscherichiaColi536                       | Bacteria       | 4,718,340  | 50.5 | 1.14       | unimodal   |
| FrancisellaTularensisHolarctica          | Bacteria       | 1,792,986  | 32.2 | 0.54       | unimodal   |
| GeobacterSulfurreducens                  | Bacteria       | 3,585,973  | 60.9 | 1.00       | unimodal   |
| HelicobacterHepaticus                    | Bacteria       | 1,698,650  | 35.9 | 0.70       | unimodal   |
| IdiomarinaLoihiensisL2TR                 | Bacteria       | 2,642,278  | 47.1 | 1.06       | unimodal   |
| LactobacillusPlantarum                   | Bacteria       | 3,114,092  | 44.5 | 1.12       | unimodal   |
| LegionellaPneumophilaLens                | Bacteria       | 3,208,092  | 38.4 | 0.73       | unimodal   |
| MagnetococcusMC-1                        | Bacteria       | 4,435,265  | 54.2 | 0.80       | unimodal   |
| MarinobacterAquaeoleiVT8                 | Bacteria       | 4,529,611  | 56.9 | 0.94       | unimodal   |
| MycobacteriumTuberculosis                | Bacteria       | 4,151,874  | 65.6 | 1.18       | unimodal   |
| NeisseriaMeningitidisFAM18               | Bacteria       | 2,076,061  | 51.6 | 1.31       | unimodal   |
| NitrobacterWinogradskyiNb-255            | Bacteria       | 3,208,495  | 62.1 | 1.33       | unimodal   |
| NostocSp                                 | Bacteria       | 6,888,767  | 41.3 | 0.78       | unimodal   |
| PhotobacteriumProfundumSS9               | Bacteria       | 6,039,402  | 41.8 | 0.99       | unimodal   |
| ProchlorococcusMarinusNATL2A             | Bacteria       | 1,698,650  | 35.1 | 0.57       | unimodal   |
| RalstoniaEutrophaH16                     | Bacteria       | 6,605,672  | 66.6 | 1.13       | unimodal   |
| SaccharophagusDegradans2-40              | Bacteria       | 4,812,743  | 45.8 | 1.08       | unimodal   |
| SalmonellaTyphi                          | Bacteria       | 4,907,083  | 51.9 | 1.23       | unimodal   |
| ShewanellaOneidensis                     | Bacteria       | 4,907,081  | 45.9 | 1.00       | unimodal   |
| ShigellaDysenteriae                      | Bacteria       | 4,340,901  | 51.0 | 1.13       | unimodal   |
| StreptococcusMutans                      | Bacteria       | 1,887,389  | 36.9 | 0.71       | unimodal   |
| ThermoanaerobacterTengcongensis          | Bacteria       | 2,547,942  | 37.6 | 0.52       | unimodal   |
| VibrioCholerae                           | Bacteria       | 3,774,608  | 47.5 | 1.04       | unimodal   |
| ZymomonasMobilisZM4                      | Bacteria       | 1,887,389  | 46.2 | 1.10       | unimodal   |
| PlasmodiumFalciparum (malaria)           | Protozoa       | 21,798,142 | 19.4 | 0.76       | unimodal   |
| TetrahymenaThermophila                   | Protozoa       | 98,669,430 | 22.3 | 0.44       | unimodal   |
| LeishmaniaMajor                          | Protozoa       | 31,116,157 | 59.7 | 1.02       | unimodal   |
| EntamoebaHistolytica                     | Protozoa       | 12,298,665 | 33.6 | 0.30       | unimodal   |

| Species (Eukaryotes)                  | Classification | Length        | %G+C | $\rho_{CG}$ | dist. type  |
|---------------------------------------|----------------|---------------|------|-------------|-------------|
| CaenorhabditisElegans (worm)          | Nematode       | 95,970,454    | 35.4 | 0.99        | unimodal    |
| SaccharomycesCerevisiae (yeast)       | Fungi          | 11,512,682    | 38.3 | 0.80        | unimodal    |
| CandidaGlabrata (haploid yeast)       | Fungi          | 11,700,869    | 38.6 | 0.66        | unimodal    |
| BiomphalariaGlabrata (mollusca)       | Mollusk        | 48,845,378    | 39.1 | 0.75        | unimodal    |
| CionaIntestinalis (sea squirt)        | Tunicate       | 83,180,064    | 35.6 | 0.86        | unimodal    |
|                                       |                |               |      |             |             |
| ArabidopsisThaliana (arabidopsis)     | Plant          | 113,813,113   | 36.0 | 0.72        | unimodal    |
| OryzaSativa (rice)                    | Plant          | 385,822,552   | 43.5 | 0.87        | unimodal    |
| VitisVinifera (grape)                 | Plant          | 468,739,222   | 34.6 | 0.43        | unimodal    |
|                                       |                |               |      |             |             |
| DrosophilaMelanogaster (fly)          | Insect         | 115,134,437   | 42.4 | 0.93        | unimodal    |
| AnophelesGambiae (mosquito)           | Insect         | 213,534,127   | 44.6 | 1.07        | unimodal    |
| ApisMellifera (bee)                   | Insect         | 175,355,887   | 34.9 | 1.64        | unimodal    |
| TriboliumCastaneum (beetle)           | Insect         | 145,486,340   | 33.9 | 1.15        | unimodal    |
|                                       |                |               |      |             |             |
| DanioRerio (zebrafish)                | Bony Fish      | 996,230,784   | 36.3 | 0.52        | unimodal    |
| TakifuguRubripes (fugu)               | Bony Fish      | 329,961,080   | 45.5 | 0.57        | unimodal    |
| TetraodonNigroviridis (pufferfish)    | Bony Fish      | 177,300,831   | 45.9 | 0.60        | unimodal    |
| GasterosteusAculeatus (stickleback)   | Bony Fish      | 424,233,346   | 44.6 | 0.66        | unimodal    |
| OryziasLatipes (Japanese Medaka)      | Bony Fish      | 552,716,066   | 40.1 | 0.48        | unimodal    |
|                                       |                |               |      |             |             |
| AnolisCarolinensis (lizard)           | Reptile        | 1,676,035,836 | 40.4 | 0.30        | multi-modal |
| XenopusTropicalis (frog)              | Amphibian      | 1,288,438,558 | 40.0 | 0.34        | multi-modal |
| GallusGallus (chicken)                | Bird           | 942,474,046   | 41.3 | 0.24        | multi-modal |
| OrnithorhynchusAnatinus (platypus)    | Mammal         | 388,840,627   | 43.3 | 0.30        | multi-modal |
| BosTaurus (cow)                       | Mammal         | 1,408,036,795 | 42.8 | 0.25        | multi-modal |
| CanisFamiliaris (dog)                 | Mammal         | 2,187,364,344 | 41.1 | 0.26        | multi-modal |
| RattusNorvegicus (rat)                | Mammal         | 2,327,934,313 | 42.1 | 0.22        | multi-modal |
| MacacaMulatta (rhesus monkey)         | Mammal         | 2,503,126,668 | 40.9 | 0.25        | multi-modal |
| MonodelphisDomestica (opossum)        | Mammal         | 3,287,333,976 | 37.6 | 0.13        | multi-modal |
| MusMusculus (mouse)                   | Mammal         | 2,387,461,979 | 41.9 | 0.19        | multi-modal |
| PanTroglodytes (chimpanzee)           | Mammal         | 2,596,334,645 | 40.8 | 0.23        | multi-modal |
| HomoSapiens (human)                   | Mammal         | 2,735,501,651 | 40.9 | 0.24        | multi-modal |
| HumanIntrons (human regions)          |                | 1,368,981,774 | 41.5 | 0.24        | multi-modal |
| Human3'UTR (human regions)            |                | 30,577,457    | 44.4 | 0.29        | multi-modal |
| HumanExons (human regions)            |                | 108,962,293   | 49.9 | 0.44        | unimodal    |
| Human5'UTR (human regions)            |                | 10,160,999    | 55.4 | 0.60        | unimodal    |
| HumanPromoters600 (human regions)     |                | 1,025,512     | 58.8 | 0.74        | unimodal    |
| HumanPromoters1000 (human regions)    |                | 1,762,896     | 53.7 | 0.64        | unimodal    |
| HumanPromoters5000 (human regions)    |                | 8,753,016     | 47.3 | 0.39        | multi-modal |
| HumanMiRNA1000 (human regions)        |                | 494,332       | 48.3 | 0.38        | multi-modal |
| HumanMiRNA5000 (human regions)        |                | 2,594,039     | 47.2 | 0.35        | multi-modal |
| HumanMiRNA10000 (human regions)       |                | 5,193,844     | 46.5 | 0.33        | multi-modal |
| HumanChr12 (human regions)            |                | 108,585,772   | 40.8 | 0.24        | multi-modal |
| HumanChr5RepeatMasked (human regions) |                | 74,495,291    | 38.6 | 0.21        | multi-modal |

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