Large differences in carbohydrate degradation and transport potential in the genomes of lichen fungal symbionts

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Abstract

27   Lichen symbioses are generally thought to be stabilized by the transfer of fixed carbon

28   compounds from a photosynthesizing unicellular symbiont to a fungus. In other fungal

29   symbioses, carbohydrate subsidies correlate with genomic reductions in the number of genes

30   for plant cell wall-degrading enzymes (PCWDEs), but whether this is the case with lichen

31   fungal symbionts (LFSs) is unknown. We predicted genes encoding carbohydrate-active

32   enzymes (CAZymes) and sugar transporters in 17 existing and 29 newly sequenced genomes

33   from across the class *Lecanoromycetes*, the largest extant clade of LFSs. Despite possessing

34   lower mean numbers of PCWDE genes compared to non-symbiont *Ascomycota*, all LFS

35   genomes possessed a robust suite of predicted PCWDEs. The largest CAZyme gene numbers,

36   on par with model species such as *Penicillium*, were retained in genomes from the subclass

37   *Ostropomycetidae*, which are found in crust lichens with highly specific ecologies. The lowest

38   numbers were in the subclass *Lecanoromycetidae*, which are symbionts of many generalist

39   macrolichens. Our results suggest that association with phototroph symbionts does not in itself

40   result in functional loss of PCWDEs and that PCWDE losses may have been driven by adaptive

41   processes within the evolution of specific LFS lineages. The inferred capability of some LFSs

42   to access a wide range of carbohydrates suggests that some lichen symbioses may augment

43   fixed CO_2 with carbon from external sources.

Significance

Lichen symbioses are considered self-contained autotrophic systems in which the total carbon economy is the sum of phototroph-fixed CO_2, supplied to a fungus as sugars. In other fungal-plant symbioses, such as mycorrhizae, plant-derived sugar subsidies are associated with loss of plant cell wall-degrading enzymes (PCWDEs). We compared PCWDE inventories in 46 genomes from the largest group of lichen fungal symbionts (LFSs) with non-symbionts from across *Ascomycota*. We found that despite lower overall gene numbers, all LFSs retain PCWDEs, and some possess gene numbers and functional diversity on par with non-symbionts. Our results suggest that association with a phototroph does not necessarily result in PCWDE loss, and some lichens may obtain carbon from sources other than CO_2 fixation.

Key words

CAZymes, glycomics, *Lecanoromycetes*, metagenomes, PCWDEs, saprotroph, symbiosis

Introduction

Stable fungal associations with single-celled photosynthetic organisms, usually referred to as lichens, feature prominently in the history of the discovery and study of symbiosis. In describing the pairing of fungi with algae and/or cyanobacteria within lichens for the first time, the Swiss botanist Simon Schwendener proposed that lichen fungal symbionts derive nutrition from "assimilates" of their photosynthesizing symbionts (1). Almost a hundred years later, Smith and colleagues revealed these transferred photosynthates to be polyols and glucose in the case of algae and cyanobacteria, respectively (2). They and others traced the transfer of

67   algal fixed carbon into fungal cells, where they found it to be converted into mannitol and

68   arabitol (3, 4). The fungal-photosymbiont relationship is widely interpreted as conferring net

69   independence from external carbohydrates on the resulting lichen thallus. Accordingly, lichen

70   fungal symbionts have been classified as biotrophs (5), and the symbiotic outcome, the lichen

71   thallus, as a "photosynthetic carbon autotroph" (6) or "composite autotroph" (7).

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73   Fungi are assimilative heterotrophs and thus require a robust machinery of enzymes for

74   scavenging and transporting extracellular nutrients, including carbohydrates. In arbuscular

75   mycorrhizal and ectomycorrhizal fungi, the stable supply of glucose from plants is thought to

76   have led to erosion or loss in many families of plant cell wall-degrading enzymes (PCWDEs)

77   (8, 9), reflecting a common pattern of compensated trait loss in symbioses (10). So what

78   happened to PCWDEs in lichen fungal symbionts? Multiple lines of indirect evidence have

79   emerged over the last 40 years to suggest the retention of PCWDEs in lichen fungal symbionts

80   (LFSs) or their secondary evolutionary derivates. First, molecular phylogenetic studies have

81   shown multiple independent origins of putative saprotroph lineages from lichen fungal

82   symbiont ancestors, both ancient (11) and recent (12,13,14). How these newly evolved lineages

83   acquired the carbohydrate breakdown arsenal they would presumably need for life without an

84   alga has not been explained. Second, some fungi near the symbiont-to-saprotroph transition

85   have been shown to switch between the two lifestyles facultatively, so-called "optional lichens"

86   (15, 16); in these cases, the fungus appears not to be obligately dependent on the alga for

87   nutrition. Third, many lichen symbioses exhibit anomalous "substrate specificity", i.e., they are

88   restricted to specific organic substrates and unable to colonize others, suggesting lack of

89   nutritional autonomy (17, 18, 19). Fourth, lichen fungi are capable of growing axenically *in*

90   *vitro* on a variety of sugars other than sugar alcohols, including crystalline cellulose and sucrose

91   (reviewed by 20). Finally, enzymes involved in breakdown of lichen-exogenous carbohydrates

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92   have been isolated from lichens in nature, including cellulases and lignolytic peroxidases

93   (reviewed by 21). These phenomena are easy to treat as exceptions, but their distribution across

94   the fungal symbiont tree hints at deeper underlying fungal capabilities, which if combined with

95   phototroph symbiosis could lead to a kind of "hybrid" lifestyle, in which carbohydrates are

96   obtained from multiple sources. The possibility of multiple carbon sources for lichens was even

97   suggested by Schwendener himself in his original 1869 paper, in which he predicted that two

98   tracks of nutrient acquisition would ultimately be proven: one for lichens that have minimal

99   substrate contact, which he predicted to depend mostly on algal assimilates; and one for lichens

100   that closely hug organic substrates such as tree bark or wood (1).

101

102   Even with these results and hypotheses, however, the possibility of carbon assimilation from

103   sources other than the phototroph symbiont is still generally discounted in lichen symbiosis

104   research. Lichen ecophysiologists currently calculate total lichen carbon budgets based on the

105   rate and total amount of algal carbon fixation (6, 22). Implicit to this, though to our knowledge

106   never explicitly stated, is that lichen fungal symbionts must lack the ability to break down

107   lichen-exogenous carbohydrates, i.e., carbohydrates found neither in the lichen fungus nor the

108   phototroph symbiont.

109

110   Unlike for many fungi, phenotypic carbohydrate use profiles have seldom been developed for

111   LFSs. This is in part due to the recalcitrance of most LFSs to culturing and their extreme slow

112   growth, if culturing is successful. Knowledge gaps around unculturable or slow-growing fungi

113   are common, but have been offset in recent years by genome sequencing. Coupled with the

114   development of widely available databases such as CAZy (23), it has become possible to infer

115   carbohydrate active enzymes (CAZymes) for species for which a genome, but no experimental

116   evidence, is currently available. Comparative genomic overviews of CAZyme repertoires are

117   now available for many symbiotic fungi (9), but no survey exists of comparative CAZyme

118   arsenals in LFSs.

119

120   Given the common assumption that lichen symbiont complementarity confers collective

121   autotrophy on the symbiosis, and historical assumptions that they evolved from saprotrophic

122   ancestors, we hypothesized that LFSs would exhibit functional losses in PCWDEs coinciding

123   with the beginning of stable association with phototroph symbionts, similar to what has been

124   found in mycorrhizal fungi (9,24). To test this, however, we would need to map CAZymes

125   across a well-sampled phylogeny and reconstruct the ancestral state of the last common

126   ancestor, which is considerably older than many of the origins of e.g. ectomycorrhizal fungi

127   (25). Here we map the occurrence of genes encoding PCWDEs at two levels: across

128   *Ascomycota* including the origin of the *Lecanoromycetes*, the largest extant lineage of LFSs;

129   and across representatives of major groups within *Lecanoromycetes*, representing different

130   ecological substrate specificities (specialists and generalists) as well as major morphological

131   outcomes of the lichens they occur in (crusts, macrolichens). Our survey of 46 lecanoromycete

132   genomes, 29 of which we sequenced for this project, reveals a complex pattern of retention and

133   loss that lends support to Schwendener's hypothesis of hidden saprotrophy in some lichens and

134   is not unequivocally consistent with PCWDE erosion upon acquisition of phototroph

135   symbionts.

136

137   # Results

138   ## Data set and phylogenomic reconstruction

139   We assembled a data set of 83 fungal genomes from the phylum *Ascomycota*, including 46

140   from the class *Lecanoromycetes* (Supplementary Table 1). Because the few published

141   lecanoromycete genomes are not representative of deep evolutionary splits in the group, we

142   generated 29 new genomes for this study, including 18 as metagenome-assembled genomes

143   (MAGs; Supplementary Table 2). Completeness and quality metrics were comparable for

144   genomes derived from culture and MAGs (Supplementary Figures 1 and 2). Phylogenomic

145   analysis based on 1310 inferred universally present single-copy orthologs (Fig. 1;

146   Supplementary Figure 3 and Supplementary Table 7) recovered major clades and sister group

147   relationships found in recent studies, both among class-level clades of *Ascomycota* (26) as well

148   as within the *Lecanoromycetes* (27, 28). For each genome, we performed *ab initio* gene

149   predictions and obtained functional annotations (CAZymes, InterPro IDs, Pfams). To these we

150   assigned activity on the common plant cell wall substrates cellulose, hemicellulose, lignin and

151   pectin following (9).

152

CAZymes

154   Many CAZyme families are shared across *Ascomycota*. Glycosyl transferases (GTs), which are

155   involved in glycosylation and the synthesis of polysaccharides, differ little across all analyzed

156   genomes and do not exhibit any significant reduction in *Lecanoromycetes*, suggesting that a

157   core *Ascomycota* synthetic machinery remains largely unchanged across the evolution of these

158   groups (Fig. 1). While significant within-group variation exists, the mean number of glycoside

159   hydrolase (GH) genes in lecanoromycete genomes is 40.7% lower compared to other

160   *Ascomycota* genomes (p=0; Supplementary Table 9, 10). CAZymes with Auxiliary Activities

161   (AA), Carbohydrate Binding Modules (CBM) and Carbohydrate Esterases (CE) are also

162   reduced significantly in *Lecanoromycetes* (Supplementary Table 10). The bulk of these

163   differences can be attributed to a small number of CAZyme families (Supplementary Figure

164   11), most of which are plant cell wall degrading enzymes (PCWDEs). Additionally three

165   CAZyme families widespread in *Ascomycota* were not detected in *Lecanoromycetes*. These

166   include PL4, which contains pectin degrading rhamnogalacturonan endolyases; CBM67, which

167   binds to L-rhamnose and frequently occurs in multi-domain protein with enzymes in GH78 and

168   PL1; and AA13, which contains lytic polysaccharide monooxygenases (LPMOs) involved in

169   starch breakdown. In contrast to these reductions, numerous CAZyme families are not reduced

170   at all in *Lecanoromycetes* compared to other *Ascomycota*. Indeed some, including those

171   involved in degradation of endogenous fungal cell wall polysaccharides, such as GH128 and

172   AA5, are even expanded in *Lecanoromycetes* (Supplementary Figure 11).

173

174   All lecanoromycete genomes retained genes encoding enzymes predicted to act on plant cell

175   wall carbohydrates, including cellulose and hemicellulose (e.g., GH5 and 43), lignin (AA1, 2

176   and 5). Depending on the symbiont configuration, these carbohydrates may be produced by the

177   phototroph partner and/or be exogenous to the lichen symbiosis (see Discussion).

178   Phylogenetically corrected principal components analyses (PCA) of CAZyme family numbers

179   in the sampled genomes reveals differences in the amount of variation in CAZyme composition

180   among lecanoromycete and other ascomycete genomes (Fig. 2). For CAZymes predicted to act

181   on cellulose, hemicellulose and pectin, the number of predicted gene families varies less among

182   lecanoromycete genomes than among comparable classes of Ascomycota (Fig. 2A, 2C),

183   reflected in tight clustering in *Lecanoromycetes* versus wide scattering in other ascomycete

184   classes. For lignin-degrading enzymes the variation is similar (Fig. 2B). Within

185   Lecanoromycetes, however, the greatest amount of variation in predicted gene sets is exhibited

186   in the subclass *Ostropomycetidae* in cellulose/hemicellulose (Fig. 2A) and pectin degradation

187   (Fig. 2C), resulting in scattering in the PCA ordination. Genomes from the subclass

188 *Lecanoromycetidae*, by contrast, possess similar predicted CAZyme sets, resulting in tight

189 clusters in the PCA ordination.

190 Genomes from the *Ostropomycetidae* possess higher numbers of predicted CAZyme genes that

191 act on cellulose and hemicellulose than those of *Lecanoromycetidae*, which are reflected in

192 significantly higher numbers of GHs and CEs ($p=0$ and $p=0.0024$ respectively; Supplementary

193 Table 10). The differences are driven by one lineage in particular, represented by five genomes

194 from the orders *Ostropales* and *Gyalectales* and referred to here as the OG clade (Fig. 1), and

195 are much less if the two suborders are compared without the OG clade genomes. The OG clade

196 contains numbers of predicted CAZyme genes for cellulose and hemicellulose breakdown that

197 are over fourfold more numerous than the lowest lecanoromycete numbers, which are in

198 *Cetradonia* and *Peltigera,* and equal or exceed the numbers in well-studied eurotiomycete

199 saprotrophs such as *Penicillium*. These disparities are accounted for in large part by gene

200 assignments to two CAZyme families, GH5 and GH43. Because both of these are large,

201 heterogeneous families that include multifunctional CAZymes, we mapped putative GH5 and

202 GH43 orthologs from the analyzed genomes against sequences of experimentally validated

203 enzymes and predicted which are secreted (Fig. 3). Extensive gene duplication in

204 *Ostropomycetidae* is found in gene sequences close to characterized cellulases (GH5 subfamily

205 5; EC 3.2.1.4) and from both lecanoromycete subclasses in sequences close to characterized

206 1,3-beta-glucosidases (GH5 subfamily 9; EC 3.2.1.58) and endo-1,4-beta-mannosidases (GH5

207 subfamily 7; EC 3.2.1.78). Notably, many putative lecanoromycete CAZyme genes from GH5

208 do not closely cluster with any characterized sequences and form their own clades with

209 sequences from other classes of *Ascomycota* (Fig. 3A).

210

211 The subclass *Ostropomycetidae* also possesses a larger proportional representation of genes

212 coding for enzymes predicted to be involved in hemicellulose, specifically xylan, breakdown.

213 Families GH6, GH7, GH11 and GH62, GH67 and GH131 were absent in *Lecanoromycetidae*

214 and are only present in *Ostropomycetidae* in the OG clade and the saprotroph *Agyrium*

215 (Supplementary Figure 11). Hemicellulose breakdown also involves several CEs of which CE2

216 is present in the majority of *Ostropomycetidae* genomes and absent in *Lecanoromycetidae*

217 (Supplementary Figure 11). CE2 contains acetylxylan esterases (AXEs; (29)); acetylxylan is

218 a major component of hemicellulose. An analysis of predicted GH43 gene sequences and their

219 subcellular location compared to those of characterized enzymes shows that most characterized

220 GH43s are in *Ostropomycetidae* (subfamilies 1, 6, 24, 26 and 36), but as with GH5s, the

221 majority of sequences are not close to any characterized CAZymes (Fig. 3B).

222

223 CAZymes involved in lignin degradation are frequently characterized in fungi as encompassing

224 Class II peroxidases (PODs) and selected oxidative CAZymes (17). In *Lecanoromycetes*,

225 CAZymes associated with lignin degradation are predicted in all lecanoromycete genomes, but

226 again the highest numbers are found in *Ostropomycetidae* (Fig. 1). The numbers of predicted

227 genes in *Graphis* and *Varicellaria* are among the highest in the analyzed *Ascomycota* genomes.

228 Most of these genes are members of AA1 and AA3 which contain laccases (EC 1.10.3.2; AA1;

229 Supplementary Figure 9) and glucose-methanol-choline oxidoreductases in three subfamilies

230 involved in lignocellulose degradation (Supplementary Figure 9). Class II PODs, by contrast,

231 are virtually absent across *Lecanoromycetes* (Fig. 1).

232

233 The largest differences in predicted PCWDEs among lecanoromycete genomes come from

234 CAZymes acting on pectins. All but three of the *Ostropomycetidae* genomes possess a few

235   predicted CAZymes involved in pectin degradation (Fig. 1). These include GHs (GH28, 49,

236   53, GH79, GH108), CEs (CE8, CE12, CE15) and the only polysaccharide lyases (PL; from

237   PL1 and PL3, containing pectate lyases, EC 4.2.2.2) predicted in *Lecanoromycetes*

238   (Supplementary Figure 8). *Lecanoromycetidae*, by contrast, almost completely lack gene

239   predictions for pectin degradative enzymes and completely lack PLs. Similar to CAZyme

240   predictions for cellulose, hemicellulose and lignin degradation, the largest numbers of

241   predicted genes involved in pectin degradation come from the OG clade of *Ostropomycetidae*.

242   In these genomes, predicted gene numbers for CAZymes involved in pectin degradation even

243   exceed those of known model saprotrophs in *Eurotiomycetes*, though the difference is not

244   significant.

245

246   In addition to the PCWDEs outlined above, all sampled *Lecanoromycetes* possess a gene

247   assigned to GH32, a family which includes invertases involved in the conversion of sucrose to

248   glucose or fructose. Invertases are generally interpreted as an indicator of utilization of

249   apoplastic plant sucrose. However, lecanoromycete GH32s do not cluster closely with any

250   characterized invertases (Supplementary Figure 13).

251

252   **Predictions of gene family contraction and expansion**

253   In order to establish whether CAZyme patterns in *Lecanoromycetes* are due to gene gain or

254   loss, we reconstructed ancestral gene numbers for each of the three main groups of PCWDEs

255   (cellulose/hemicellulose, pectin, lignin). In general, the pattern reflects sequential gene loss.

256   All three PCWDE groups are reduced already at the split between *Eurotiomycetes* and

257   *Lecanoromycetes* (ELS node; Fig. 1), especially enzymes involved in (hemi-)cellulose and

258   pectin breakdown. Much of the signal for this pattern comes from GH5 and GH43 which

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259   contain many well-characterized cellulases and hemicellulases, respectively (Fig. 2; Supplementary Figure 7). Another apparent shedding of CAZymes, especially of those involved in pectin degradation, occurs concomitantly with the appearance of LFSs at the base of *Lecanoromycetes* (ALSS and ALSL nodes; Fig. 1). Here, too, the signal comes mainly from GHs. In several cases our ancestral state reconstruction indicates complete losses, despite the prediction of several of the relevant families in *Ostropomycetidae* genomes (Supplementary Figure 8).

266   Gene family expansion analyses of all CAZymes revealed six significantly expanded families along different branches in the phylogeny. The only GHs expanded within Lecanoromycetes are GH43, which are expanded at the last common ancestor of *Ostropomycetidae* (Fig. 1); another, GH18, was expanded in four model runs at the base of *Sordariomycetes*. Other significantly expanded CAZyme families in *Lecanoromycetes* include Auxiliary Activity (AA) families AA3, AA7 and AA9, which are variously expanded in *Xylographa*, the OG clade and *Cladonia*. Auxiliary Activity families typically act in concert with other CAZymes and the three expanded AA families all contain genes involved in cellulose breakdown. The only other expanded CAZyme family was CE10, now considered to be a family of esterases acting on non-carbohydrate substrates, which was expanded at the last common ancestor of *Cladonia* species and *Umbilicariomycetidae*.

Transporters

279   As an additional line of evidence for potential use of exogenous carbohydrates, we mapped the numbers of predicted sugar transporters across all genomes (Fig. 1). Most predicted transporters were more or less evenly represented across most genomes, but two groups of transporters exhibited a concerted pattern of absence within *Lecanoromycetes*. Cellodextrin

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283   transporters, close orthologs of experimentally demonstrated cellodextrin transporters from

284   *Aspergillus* and *Penicillium* (Supplementary Figure 5), were predicted in all *Ostropomycetidae*

285   genomes except *Schaereria*, and were most numerous in *Lignoscripta*, *Stictis*, *Ptychographa*

286   and *Xylographa*, all of which are LFSs of lichens with high wood or bark specificity (Fig. 1).

287   Cellodextrin transporters are involved in transmembrane import of cellobiose and other

288   cellodextrins, which are short beta-linked glucose fragments of cellulose. Only nine of the

289   remaining 21 lecanoromycete genomes had any predicted cellodextrin transporters, and in

290   these, gene numbers were well below the average observed in *Ostropomycetidae*. We detected

291   a similar pattern for the predicted occurrence of maltose transporters (Fig. 1), involved in

292   transmembrane import of alpha-linked starch breakdown products: 22 of 24 Ostropomycetidae

293   genomes had predicted maltose transporters, but only five lecanoromycete genomes outside of

294   *Ostropomycetidae* had any, mostly in early diverging lineages.

295

Evidence of cellulase functionality

297   To validate the functionality of putative cellulases found in lichens, we selected *X. bjoerkii*

298   genes *Xylbjo000518* and *Xylbjo004565,* hereafter called *cellulase A* and *B,* for further analysis

299   based on their similarity with Cel5A cellulases, for which there has been substantial structural

300   and functional characterization. The cellulase domain of each gene was expressed in

301   *Escherichia coli* as a C-terminal fusion with the maltose binding protein, which enhances

302   protein expression and stability and provides a convenient handle for purification. The partially

303   purified proteins were active on both cellulose (β-1,4-linked glucose) and barley β-glucan

304   (alternating β-1,4/β-1,3-linked glucose) but not xylan (β-1,4-linked xylose containing side

305   branches of α-arabinofuranose and α-glucuronic acids) (Fig. 4A-C). Both exhibited a pH

306   optimum of 5, similar to other Cel5A enzymes but differ slightly in their temperature optima.

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307   While both are active at 20 °C, only *cellulase A* is also active at higher temperatures. Closely

308   related orthologs of *cellulase A* and *cellulase B* were recovered in all lecanoromycete genomes.

309   *Lecanoromycetidae* mostly only had a single ortholog with the exception of *Lobaria*,

310   *Pseudocyphellaria*, *Pseudevernia* and *Sticta* which each have two orthologs (Fig. 4D). In

311   contrast, the majority of *Ostropomycetidae* genomes have two or more orthologs, and the

312   highest numbers can be found in *Xylographa* species and *Stictis* which each have five (Fig.

313   4D).

314

Discussion

316   Our analysis of CAZyme and sugar transporter genes paints a picture of a lecanoromycete

317   PCWDE arsenal that is larger, more diverse and more consistently present than expected.

318   Understanding when and where in the fungal mycelium the PCWDEs are deployed will be

319   critical to determining their biological significance. Our data show a reduction in mean

320   numbers of lecanoromycete degradative CAZyme genes relative to other *Ascomycota*, but also

321   reveal significant differences within *Lecanoromycetes*. Genes for the breakdown of cellulose,

322   hemicellulose and pectin are disproportionately enriched in the subclass *Ostropomycetidae*,

323   and some genomes, notably in the OG clade, retain overall CAZyme numbers and functionality

324   similar to those of well-known model saprotrophs such as *Aspergillus* and *Penicillium*.

325   Furthermore, LFSs associated with the same genus of algal phototroph, *Trebouxia*, can retain

326   multiple genes coding for pectin degradation as well as cellodextrin transporters (in *Lambiella*,

327   *Loxospora*, *Ptychographa* and *Xylographa*), or they can largely lack these genes (in *Ramalina*).

328   This implies that association with *Trebouxia* does not in itself result in gene loss, and the exact

329   nature of the fungal-phototroph interaction, and other aspects of symbiosis biology, may need

330   to be considered.

331

332   A central question remains: what are the targets of LFS PCWDEs? The two most obvious

333   candidates are the phototroph itself, on the one hand, and lichen-exogenous plant tissues, such

334   as wood and tree bark, on the other. The first possibility — targeting of the alga — echoes

335   suggestions in studies of ectomycorrhizal fungi, where PCWDEs have been postulated to play

336   a role in "cell softening" of root tissues in their vascular plant symbionts upon contact initiation

337   (30). Cellulases and other CAZymes have been postulated to be involved in haustorial

338   penetration of the algal cell wall (31, 32) and degradation of algal cell walls in fresh lichen

339   growth tips (33). They could also play a role in digestion of dead algal cell walls, especially if

340   algal populations turn over during the "lifespan" of the thallus, as has long been suspected (34).

341   Transcriptomic studies of isolates, co-cultures and natural lichens could provide evidence of

342   this. However, the one study to date to report CAZyme differential expression (35) only

343   detected upregulation of multifunctional GHs that could also be involved in fungal cell wall

344   modification (GH2 and GH12), but none of the core lecanoromycete cellulases or

345   hemicellulases we report here. Most common algal symbionts are thought to contain cellulose

346   in their cell walls but no pectin (36); it is unclear if any lichen algal symbiont possesses pectin

347   in its cell walls.

348

349   The second possibility, that LFS PCWDEs target lichen-exogenous plant polysaccharides, is

350   supported by both experimental evidence and inference. Cellulases as well as

351   polygalacturonases, active on pectins, have been detected in incubated whole lichens both in

352   the presence (37, 38) and absence (39) of cellulose-containing algal photosymbionts. Cellulase

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353   production furthermore has been reported to vary depending on the species of tree it is growing

354   on (40). Activity has also been demonstrated for laccases and different types of peroxidases

355   (21, 41, 42). Several secondary origins of putative fungal saprotrophs occur within the

356   *Lecanoromycetes*, some of which are closely related to fungi involved in "optional lichens", in

357   which the fungus can occur either as an LFS or saprotroph (43). Our sampling shows cellulase

358   gene family expansions within the latter group, especially in LFSs of wood-obligate lichens

359   such as *Ptychographa* and *Xylographa*, and our experimental evidence for cellulase activity

360   derives from one of these genomes (*Xylographa bjoerkii*). A further indication of

361   lecanoromycete use of exogenous carbohydrates could be the presence of invertases. The loss

362   of invertases in ectomycorrhizal fungi is thought to limit their ability to access plant sucrose

363   and reinforce their dependence on a plant partner (9). Though the orthologs we found did not

364   exhibit high similarity to characterized sequences, the prediction of a GH32 is consistent with

365   the ability to culture LFSs on sucrose (44) and experimental evidence of invertases in lichen

366   fungi (20, 45).

367

368   PCWDE targeting of algal cell walls or lichen-exogenous plant tissues are not mutually

369   exclusive possibilities. However, determining where and when these genes are expressed in

370   nature will require consideration of the life cycle and spatial extent of LFS mycelia, both of

371   which are still poorly understood. The mycelia of sexually reproducing LFSs go through an

372   aposymbiotic stage of unknown length, during which it has been suggested they may be

373   saprotrophic (46). Lichens at high latitudes or under snowpack may go through seasonal

374   fluctuations in fixed carbon input, which could be augmented by other sources (21). Even after

375   symbiosis is established, parts of the mycelium can be free of phototroph cells, and exhibit

376   deviations in carbohydrates that suggest other metabolic processes are in effect than in the

377   phototroph-associated mycelium (47). Many lichens include a phototroph-free "prothallus", in

16

378   which fungal hyphae radiate beyond the zone of phototroph cells (48). Others possess a

379   "hypothallus", a phototroph-free cushion of mycelium in direct contact with the substrate (47).

380   Macrolichens are often anchored onto their substrates by phototroph-free "holdfasts",

381   "rhizines" or mycelial pegs which have traditionally been interpreted as having an exclusively

382   structural, stabilizing function, but can extend as mycelial networks into xylem (49) or living

383   moss mats (39). Parts of the mycelium with phototroph cells may also differ based on position

384   relative to growth tips, which are thought to include larger proportions of living cells (50), and

385   entire strata can be phototroph-free.

386

387   Did stable phototroph association coincide with the loss of PCWDEs in LFSs? Looking only

388   at the reductions in mean CAZyme gene number, the answer would appear to be positive, but

389   the occurrence of LFSs with CAZyme arsenals as large or larger than those of many

390   saprotrophs in the OG clade shows that LFSs do not necessarily lack CAZyme arsenals. Despite

391   their minority representation in our data set, CAZyme-rich LFSs may in fact be numerous: the

392   *Ostropales* and *Gyalectales* which make up the OG clade include over 3200 named species,

393   almost 17% of named LFSs (51). For phototroph acquisition to have no evolutionary

394   consequences for the CAZyme arsenal, symbiont-derived photosynthates would likely have to

395   provide a function other than as a substrate for growth and respiration. In fact this has already

396   long been postulated, in the form of an osmoregulatory role for polyols in managing cell

397   desiccation (52). Some have even suggested this may be the main role for transferred

398   photosynthates (53, 54). A strong inference about whether LFS CAZyme gene reduction

399   coincided with the onset of stable phototroph association requires greater certainty about the

400   ancestral states along the lecanoromycete phylogenetic backbone. Our ancestral state

401   reconstruction suggests a gradual loss of GHs and PLs since the last common ancestor of

402   Lecanoromycetes and Eurotiomycetes, and only pectin degradation genes are inferred to have

17

403 been abruptly reduced. This reconstruction is sensitive to taxon undersampling and may be a

404 conservative estimate. The large CAZyme arsenal of the OG clade, with dozens of unlinked

405 genes and numerous PLs, is unlikely to have been acquired by lateral gene transfer. If the PL-

406 rich OG clade CAZyme arsenal is in fact ancestral, this would imply that CAZyme loss is not

407 an automatic consequence of stable association with phototroph symbionts, but rather of

408 subsequent events or adaptations. If so, this implies that the OG clade CAZyme arsenal was

409 lost no fewer than seven times in our tree. Support for a scenario of frequent mass gene

410 reduction comes from the fact that one such loss appears to have happened within the OG clade

411 itself: *Gomphillus* exhibits marked gene number reductions compared to its closest sampled

412 relatives. Our data do not currently allow the hypothesis that the OG clade CAZyme arsenal is

413 ancestral to be rejected, and if it is not, it becomes more likely that CAZyme loss in LFSs is

414 driven by additional processes.

415

416 What additional adaptational processes could drive CAZyme loss? The most striking apparent

417 functional losses, both in terms of CAZyme genes as well as in cellodextrin and cellobiose

418 transporters, occurred in the *Lecanoromycetes* outside of the *Ostropomycetidae*, especially in

419 the subclass *Lecanoromycetidae*, which largely lacks these two types of transporters. LFSs in

420 *Lecanoromycetidae*, like those in *Ostropomycetidae*, are considered obligate symbionts of

421 algae or cyanobacteria. They share many of the same algal symbionts, especially *Trebouxia*,

422 and have no known lifecycle differences. However, they differ in general thallus architecture.

423 *Ostropomycetidae* almost exclusively form crustose thalli in which thallus-to-substrate surface

424 area contact is maximized. *Lecanoromycetidae*, and to some extent *Acarosporomycetidae* and

425 *Umbilicariomycetidae*, include LFSs involved both in crustose thalli as well as so-called

426 macrolichens, in which the thallus often becomes greatly expanded into leaf-, hair- or shrub-

427 like thalli, in which surface contact is minimized. *Lecanoromycetidae* macrolichens include

18

428   some of the largest lichens by biomass, and in theory these would require more carbon, not

429   less. Lichens involving *Lecanoromycetidae* differ from those involving *Ostropomycetidae* in

430   at least two traits that could be implicated in sugar uptake. In the first, the type of fungal-algal

431   contact differs, from intracellular haustoria in *Ostropomycetidae* to so-called intraparietal

432   haustoria, which do not breach the cell wall, in *Lecanoromycetidae* (55). The exact

433   consequence of this is unknown, but intracellular haustoria are characteristic of pathogenic

434   fungi and may require a greater variety of CAZymes to penetrate the algal cell wall. In the

435   second, macrolichens involving *Lecanoromycetidae* owe their architecture to a well-developed

436   exopolysaccharide gel, termed cortex, which forms a rigid structural exoskeleton considered a

437   prerequisite to macrolichen formation (56). The polysaccharide composition of this layer varies

438   widely across lichen symbioses (57) and is poorly characterized and mapped across the

439   phylogenetic tree. Additional evolution in cortex layering happened in many lichens involving

440   *Lecanoromycetidae* (58), though in how many remains unclear. The cortex, which is

441   hydrophilic, also mediates water retention (57) and has been shown to operate like a sponge

442   for passive uptake of dissolved nutrients (59) and glucose (60). One of the largest epiphytic

443   macrolichens has been experimentally demonstrated to take up tree-derived glucose (61).

444   Whether this is specifically facilitated by the cortex remains to be tested, but as all

445   environmental molecules enter macrolichens through the cortex, it seems likely. If capture of

446   simple sugars is found to be a general function of the cortex in different environments, it could

447   be expected to have significant evolutionary consequences for maintenance of CAZyme genes

448   used for more costly carbohydrates.

449

450   The existence of a robust carbohydrate breakdown machinery across a large swathe of LFS

451   evolution calls into question the assumption, underlying decades of ecophysiological work on

452   lichens, that the lichen carbon economy is exclusively the sum of algal CO_2 fixation. The

453   finding that some LFSs have CAZyme arsenals on par with saprotrophs lends support to

454   Schwendener's hypothesis that different types of lichens exist: those that depend mostly on

455   their phototroph, and those that augment their carbon assimilation from multiple sources (1).

456   The longstanding assumption that LFSs solely utilize fixed carbon must now be weighed

457   against competing hypotheses, including A) that some or many LFSs build their mycelia from

458   non-algal carbon sources, including absorbed monosaccharides and complex polysaccharides,

459   before or during symbiosis; and B) that many different models of carbon acquisition — fixed,

460   seasonal, facultative, scavenged and/or absorbed — may exist under the umbrella of what we

461   currently call lichen symbiosis.

462

Materials and Methods

464   Comprehensive Materials and Methods as well as supplementary results are available as

465   supplementary material.

Used genomes

467   We built a data set consisting of 83 fungal genomes from the phylum Ascomycota, including

468   46 genomes from the Lecanoromycetes, twenty-nine of which were newly generated for this

469   study, and 37 genomes from the related classes *Eurotiomycetes*, *Dothideomycetes*,

470   *Arthoniomycetes* and *Sordariomycetes*. Within *Lecanoromycetes*, the acquisition of new

471   genomes was targeted to include a representation of lineages including 1) LFSs of macrolichens

472   (*Cladonia*, *Evernia*, *Lobaria*, *Peltigera*, *Pseudevernia*, *Pseudocyphellaria*, *Ramalina*, *Sticta*,

473   *Umbilicaria*); 2) LFS lineages involved in crust-forming lichens for which carbon acquisition

474   from the substrate has been postulated, including wood specialists (*Lecidea scabridula*,

475   *Lignoscripta*, *Ptychographa*, *Puttea*, *Xylographa* (18)), bark specialists (*Graphis*, *Loxospora*,

476   *Schaereria*, *Stictis*, *Thelotrema*, *Varicellaria*), specialists of decaying plant matter

477   (*Gomphillus*, *Icmadophila*), mineral soil (*Dibaeis*), rock (*Acarospora*, *Trapelia*) and a lichen-

478   on-lichen "parasite" (*Lambiella*); 3) LFS lineages from crust-forming lichens that behave as

479   ecological generalists (*Gyalolechia*, *Mycoblastus*, *Toensbergia*); and 4) a lecanoromycete

480   saprotroph (*Agyrium*) and endophyte (*Cyanodermella* (62)). Our sampling simultaneously

481   represents a cross-section of lecanoromycete evolution, with 24 genomes from the subclass

482   *Ostropomycetidae*, 17 from the subclass *Lecanoromycetidae*, and four and one each from the

483   species-poor subclasses *Acarosporomycetidae* and *Umbilicariomycetidae*, respectively. Ten

484   genomes were derived from cultured samples and 18 are metagenome-assembled genomes

485   (MAGs) assembled and binned according to (63). Culture-derived genomes differed little from

486   MAGs in estimated completeness and gene numbers (Supplementary Figures 1 and 2).

487

Genome assembly and filtering

489   Raw sequence data was inspected with FastQC 0.11.7 and trimmed with trimmomatic 0.29 to

490   remove adapter remnants and low-quality reads. Genomes were assembled using SPAdes

491   3.12.0 or Abyss 2.0.2. To extract LFS contigs, draft assemblies were filtered using blobtools

492   1.1.1 or CONCOCT 1.2 and assembly completeness assessed with Quast 4.6.3 and BUSCO

493   3.0.2. We additionally extracted mitochondrial contigs by blasting mitochondrial genes

494   downloaded from NCBI against each *de novo* assembly. We then discarded contigs with blast

495   hits of e < 1e-03 and alignment length > 500 bp.

496

Gene calling and functional annotation

21

498   We used funannotate 1.8.7 to perform gene-calling and functional annotation for all used

499   genomes in the same way. This reduces potential biases introduced by different gene-calling

500   and annotation methods. *De novo* sequenced genomes were repeat-masked using

501   RepeatModeller and RepeatMasker. We then used Augustus 3.3, snap 2013_11_29,

502   GeneMark-ES 4.62 and GlimmerHMM 3.0.4 and tRNA-Scan 2.0.5. Functional annotations for

503   all predicted protein sequences were inferred using Interproscan-5.48-83.0, HMMer3 searches

504   against dbCAN (v9; CAZymes) and Pfam (33.1) as well as eggnog-scanner searches against

505   EggNOG (4.5.1; various annotations) databases.

506

507   **Phylogenomics**

508   Phylogenomic trees were calculated using the phylociraptor pipeline

509   (https://github.com/reslp/phylociraptor). We ran BUSCO 3.0.2 for each genome to identify

510   single copy-orthologous, combined amino-acid sequences of each BUSCO gene from all

511   genomes. Only genes which were present in >50% of genomes were aligned using mafft 7.464

512   and trimmed using trimal 1.4.1. We calculated single-gene trees using iqtree 2.0.7 and a species

513   tree using ASTRAL 5.7.1. We created a concatenated alignment from all alignments, estimated

514   the best substitution model for each and calculated a tree based on a partitioned analysis of the

515   concatenated alignment using iqtree 2.0.7. We used the concatenated phylogeny to generate an

516   ultrametric tree using r8s 1.81. This tree was used for subsequent analyses. We used custom

517   python and R scripts to plot phylogenomic trees.

518

519   **Selection of CAZyme groups**

520   We selected sets of CAZyme families involved in (hemi-)cellulose, pectin and lignin

521   degradation based on previous studies (9, 24). For the lignin set we additionally identified class

522   II peroxidases based on similarity of all Ascomycota class II peroxidases downloaded from

22

523   RedOxiBase (accessed Jul. 14, 2021; http://peroxibase.toulouse.inra.fr/) using Orthofinder

524   2.5.2.

525

526   **Ancestral state reconstruction of CAZyme families and similarity of CAZyme sets**

527   We reconstructed the ancestral size of each CAZyme family using CAZyme counts from our

528   genome annotations and our ultrametric phylogenomic tree in R. We used anc.ML from

529   phytools under an Ornstein-Uhlenbeck model of trait evolution. We then used custom R scripts

530   to visualize ancestral states.

531   We calculated phylogenetically corrected PCAs in R as implemented in the phyltools function

532   *phyl.pca* using maximum-likelihood optimization. We used log-transformed gene-counts of

533   CAZyme families and our ultrametric phylogeny as input for phyl.pca. The PCAs were

534   visualized using custom R scripts.

535

536   **Gene family expansion analysis**

537   We analyzed gene family expansions of CAZyme families, based on CAZyme family count

538   data from funannotate and our ultrametric phylogenomic tree using CAFE 5 (git commit

539   08d27a1). We ran CAFE twenty times while accounting for different gene-birth rates and error-

540   models and summarized the results using custom R and python scripts.

541

542   **Additional characterization of CAZymes**

543   CAZyme families known to contain important degradative enzymes (e.g., cellulases,

544   hemicellulases) were further characterized using Saccharis v1 (git commit 9a748be). For each

545   CAZyme family, we downloaded all characterized genes from cazy.org including additional

546   information such as taxonomy, accession numbers and CAZyme (sub-)family assignments.

547   Using Saccharis, we created MUSCLE 3.8.31 alignments for each gene family of all (from

23

548 genomes used in this study plus characterized genes from cazy.org) genes and created

549 maximum-likelihood trees using Fasttree 2.1.10. For all genes included in our phylogenetic

550 reconstructions, we also predicted subcellular locations using DeepLoc 1.0. We only

551 considered predictions for subcellular locations if the predicted probability was >70%. We used

552 custom R and python scripts to visualize the trees.

553

554 **Heterologous expression of putative cellulases**

555 Sequences assigned to GH5 subfamily 5, with confirmed cellulolytic activity, from obligately

556 wood inhabiting LFS *Xylographa* species were aligned to the characterized and crystalized

557 cellulase domain of *Trichoderma reesei* (PDB: 3QR3; https://www.rcsb.org/structure/3QR3).

558 Based on sequence similarity, we selected two candidate cellulase sequences from *Xylographa*

559 *bjoerkii* for testing cellulolytic activity.

560 Enzyme activity of the two candidate cellulases A and B was tested by combining in a 1.5 mL

561 microcentrifuge tube 50 µL enzyme; 100 µL buffer A at either pH 4, 5, or 6; and 50 µL either

562 AZCL-HE-cellulose, AZCL-β-glucan, or AZCL-xylan. Tubes were incubated at 4, 20, 37, 50,

563 or 60ºC for 48 h. To measure activity, samples were centrifuged at 13,000 rpm for 5 min to

564 settle any debris, then 100 µL supernatant was removed to a 96-well flat-bottom plate.

565 Absorbance at 595 nm was measured by plate reader and blanked with a sample containing

566 water instead of enzyme.

567 **Identification of sugar- and sugar-alcohol transporters**

568

569 To identify putative sugar- and sugar-alcohol transporters we used Orthofinder 2.5.2 on all

570 sequences from all genomes with Pfam annotation PF00083 (Sugar_tr;

571 http://pfam.xfam.org/family/sugar_tr) combined with characterized sugar transporter

572   sequences from the PF00083 seed set. Additionally we added characterized cellodextrin

573   (MH648002.1 (NCBI; from *Aspergillus niger*), S8AIR7 (UniProtKB; from *Penicillium*

574   *oxalicum*)) and sugar alcohol transporters (AAX98668.1; from *Ambrosiozyma monospora*,

575   CAR65543.1, CAG86001.1; from *Debaryomyces hansenii*, NP_010036.1; from

576   *Saccharomyces cerevisiae*). We used the presence of characterized sequences in the inferred

577   orthogroups to identify orthologs in each genome included in this study. The number of

578   orthologs of different transporters per genome were visualized using custom R scripts.

579

580   **Identification of class II peroxidases**

581   First we used diamond 0.9.22 to search all Ascomycota class II peroxidases downloaded from

582   RedOxiBase (accessed Jul. 14, 2021) against the predicted proteins in all 83 genomes studied

583   here. We then extracted all genomes which had a diamond hit to any of the downloaded

584   sequences. Similar to the identification of sugar transporters we now used Orthofinder 2.5.2 to

585   classify putative class II peroxidases persent in our genomes based on the presence of

586   downloaded genes in individual orthogroups. The number of orthologs per genome for different

587   peroxidases were visualized using custom R scripts.

588

589   **Data Availability**

590   The complete analysis workflow used to acquire the results in this paper, including all custom

591   python and R scripts, are available on Github (https://github.com/reslp/LFS-cazy-

592   comparative). The workflow used to calculate phylogenomic trees is available on Github

593   (https://github.com/reslp/phylociraptor). Genome assemblies and corresponding functional

594   annotations will be deposited at the European Nucleotide Archive (ENA). Accession numbers

595   are provided in supplementary material.

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787   **Figure captions**

788

789   **Figure 1.** Distribution and ancestral states of CAZymes and selected sugar transporters across

790   the evolution of *Lecanoromycetes* and related classes of *Ascomycota* projected onto a

791   maximum likelihood phylogenomic tree based on 1310 loci. Symbols beside tree tips refer to

792   life history traits and phototrophic partners of LFS under study. Heatmaps with shades of red

793   indicate the number of genes in different CAZyme classes or involved in degrading complex

794   PCW components. Columns from left to right: AA - Auxiliary Activities, CBM - Carbohydrate

795   binding module, CE - Carbohydrate Esterases, GH - Glycoside Hydrolases, GT - Glycosyl

796   Transferases, PL - Polysaccharide Lyases. cell - Number of genes in 35 CAZyme families

797   involved in cellulose and hemicellulose breakdown. pec - Number of genes in 11 CAZyme

798   families involved in pectin breakdown. lign - Number of genes in 3 CAZyme families and class

799   II peroxidases involved in lignin breakdown. Selection of CAZyme sets follows (9, 24). celldex

800   - Number of cellodextrin transporters. malt - number of maltose transporters. total - Total

801   number of sugar transporters. Below the heatmap are ancestral sizes of CAZyme families

802   involved in (hemi-)cellulose, pectin and lignin degradation. Colored circles on tree branches

803   indicate significantly expanded CAZyme families. The size of the circles indicates the number

804   of individual CAFE runs in which a family was found to be significantly expanded.

805

806

807   **Figure 2.** Similarity of CAZyme sets involved in the breakdown of different complex plant-

808   based polysaccharides based on phylogenetically corrected Principal Components Analysis.

809   Different colors indicate taxonomic groups. A - Similarity of CAZyme families involved in

810   cellulose and hemicellulose breakdown. B - Similarity of CAZyme families involved in lignin

811   breakdown, C - Similarity of CAZyme families involved in pectin breakdown. Displayed

812   below are representative members of the two subclasses *Ostropomycetidae* (with light green

813   border) and *Lecanoromycetidae* (dark green border). D - *Graphis scripta*, E - *Icmadophila*

814   *ericetorum*, F - *Mycoblastus sanguinarius*, G - *Peltigera leucophlebia*, H - *Xylographa*

815   *carneopallida*, I - *Agyrium rufum*, J - *Evernia prunastri*, K - *Cladonia macilenta*. Image credits:

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816   *Agyrium rufum*: Paul Cannon (fungi.myspecies.info); Creative Commons: BY-NC 4.0.

817   *Peltigera leucophlebia*: Jason Hollinger, uploaded by Amada44, CC-BY 2.0,

818   https://commons.wikimedia.org/w/index.php?curid=24213606. *Evernia prunastri*: by Jason

819   Hollinger, CC-BY 2.0, https://commons.wikimedia.org/w/index.php?curid=50595319.

820   *Cladonia macilenta*: Bruce McCune & Sunia Yang - Lichen, CC-BY 4.0-NC,

821   https://lichens.twinferntech.net/pnw/species/Cladonia_macilenta.shtml; other images by the

822   authors.

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824

825   **Figure 3.** Gene trees of two CAZyme families involved in cellulose (GH5) and hemicellulose

826   (GH43) breakdown. Each tree includes all experimentally characterized sequences combined

827   with all sequences from the 83 genomes studied here. CAZyme Subfamilies are labeled with

828   numbers and grey rectangles. Three columns along tree tips display additional information of

829   corresponding sequences when available. EC - Enzyme Code of experimentally characterized

830   sequences downloaded from cazy.org. Sub Loc - Predicted subcellular location of Enzyme with

831   DeepLoc. Tax - Taxonomic assignment of organisms from which the sequence comes from.

832   For larger subfamilies, functions of characterized sequences based in Enzyme Code numbers

833   are given as colored squares. Sequences used for heterologous expression experiments are

834   marked with red arrows in GH5 subfamily 5.

835

836   **Figure 4.** Enzymatic activity of two putative cellulases A and B from *Xylographa bjoerkii* and

837   orthologues of these genes in 83 ascomycete genomes. A - Activity of cellulase A and B at

838   different pH conditions. B - Activity of cellulase A and B at different temperatures. C - Activity

839   of cellulase A and B on different substrates. D - Number of orthologs of cellulase A and B in
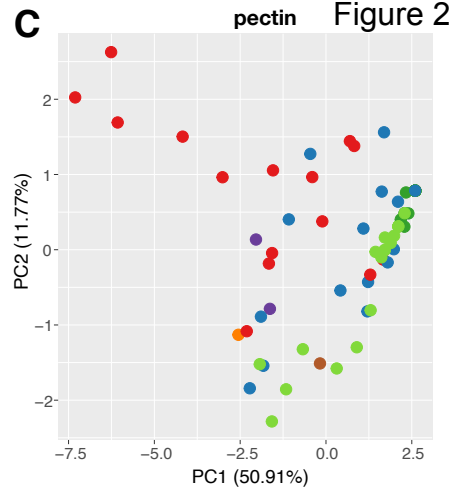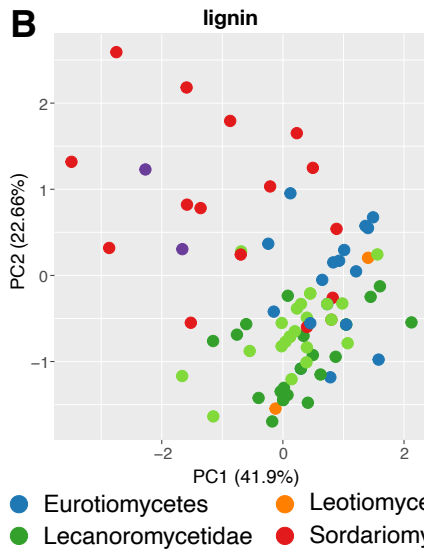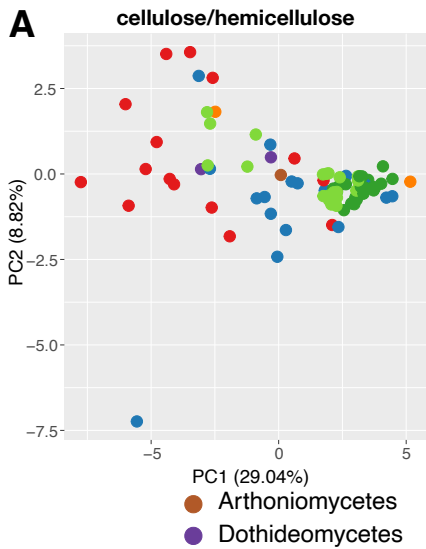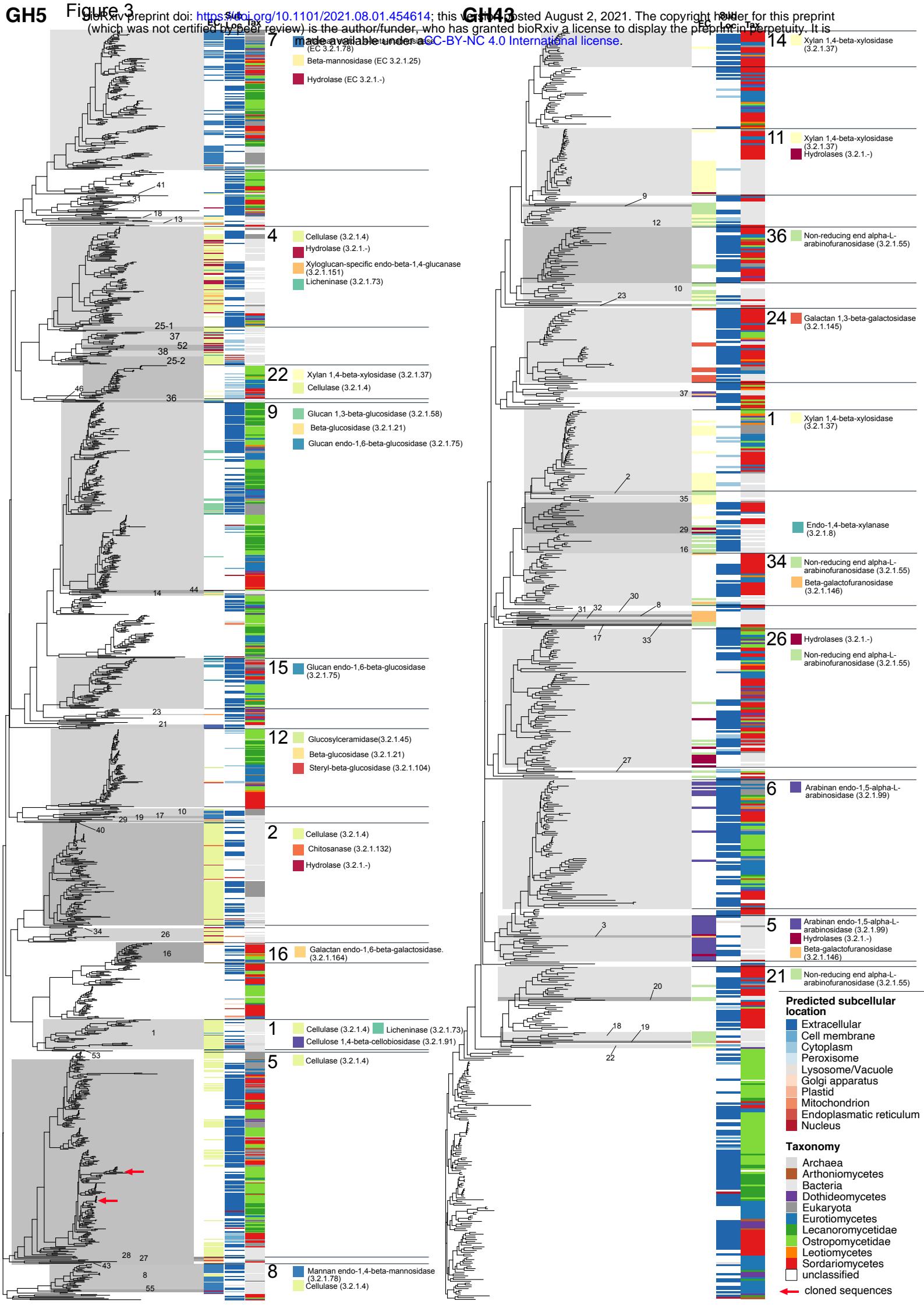
840   different genomes.

Figure 1

Figure 2

A cellulose/hemicellulose

B lignin

C pectin

Legend:
- Arthoniomycetes (brown)
- Dothideomycetes (purple)
- Eurotiomycetes (blue)
- Lecanoromycetidae (dark green)
- Leotiomycetes (orange)
- Sordariomycetes (red)
- Ostropomycetidae (light green)

Figure 3

Figure 4