

## Morphological Convergence in *Hippidion* and *Equus* (*Amerhippus*) South American Equids Elucidated by Ancient DNA Analysis

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**Abstract.** Unusual equids named hippidions inhabited South America for more than 2 MY (million years). Like many other animals they succumbed to the worldwide climatic change that occurred 10 KY (thousand years) ago and completely disappeared during the great late Pleistocene megafaunal extinction. According to fossil records and numerous dental, cranial, and postcranial characters, *Hippidion* and *Equus* lineages are known to have diverged prior to 10 MY. Some equid bones from Rio Verde and Ultima Esperanza (Patagonia, Chile) dating back to the late Pleistocene period (8–13 KY) have been identified as *Hippidion saldiassi*, while a few teeth have been assigned to *Equus*. Six samples of those remains have been obtained from the Zoological Museum of Amsterdam for ancient DNA analysis to try to place *Hippidion* in the evolutive tree of Perissodactyla. Two samples of *Hippidion* and one sample of *Equus* yielded 241–394 bp of the mtDNA control region and 172–296 bp of the cytochrome *b* gene. Unexpectedly, all the sequences clustered deep inside the *Equus* genus, casting doubt on the initial identification of the bones. For paleontologists, one of the striking and classical diagnostic characters of *Hippidion* is their

extremely short and massive metapodials, a probable locomotory adaptation to the Andine steep slopes. However, our DNA analysis reveals that a very *Hippidion*-like metapod might also have been possessed by another South American equid, i.e., *Equus* (*Amerhippus*), an interpretation supported by complementary anatomical observations. This adaptive convergence between members of the two South American equid genera may lead paleontologists to limb bone misidentification.

**Key words:** Ancient DNA — *Equus* (*Amerhippus*) — *Hippidion* — Equids — Ultima Esperanza — mtDNA control region

### Introduction

According to the correspondence of the sixteenth-century explorers, horses were unknown in the New World at the time of European settlement, and until the mid-nineteenth century, no one thought that equids had ever lived in the New World. During the voyage of the Beagle, however, Darwin (1836) collected numerous specimens of extinct mammals from Bahia Blanca (now in Argentina). Among them, Owen recognized an equid that he described as *Equus curvidens* in 1869 (MacFadden 1997), thus providing evidence that equids had existed in the New World in the recent past. Soon afterward, caves in Brazil and

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upper left first molar referred to *Equus* (E.1.20.103) under collection No. ZMA20103 has been sampled. For bone sampling, the superficial part of the bone was discarded to avoid any contamination that could have occurred during the storage in the museum. Thus, a total of five *Hippidion* and one *Equus* samples was analyzed.

### DNA Extraction and Amplification

Extraction and amplification procedures were conducted in separate rooms with specific facilities devoted to ancient DNA work as described by Hänni et al. (1994) and Orlando et al. (2002). Sample 01.20.104 (0.8 g) was coextracted in a first extraction session with two historic human bones. Sample 02.20.104 (0.6 g) was coextracted in a second extraction session with two other historic human bones. The three phalanges (03.20.104-a, 03.20.104-b, and 03.20.104-c) were extracted (about 0.7 g for each) 3 months later in a third session; finally, the tooth sample of *Equus* (E.1.20.103) was extracted alone still 1 month later (1.1 g). An extraction blank was included in each session to ensure that no contamination occurred. After reduction of the samples to powder in a sterile enclosed plastic bag, an overnight decalcification and protein digestion was conducted at 55°C with agitation (0.5 M EDTA, pH 8.5, 1–2 mg/ml proteinase K, 0.5% *N*-lauryl Sarcosyl). The pellets were removed by 10 min of centrifugation (800 rpm) and the supernatants were further purified by three steps of centrifugation in a mixture of phenol/chloroform/isoamyl (25:24:1; 1200 rpm, 15 min). The aqueous phase was then concentrated in 100  $\mu$ l of distilled water by means of Centricon-30 columns (Amicon).

mtDNA CR was targeted using the three primer couples described by Vila et al. (2001), as they were specially defined to amplify short fragments from ancient samples of equids (164, 194, and 197 bp obtained with L1H1, L2H2, and L3H3 primers, respectively; Fig. 2a). Using the *Perissodactyla* cytb sequences from GenBank, we designed two couples of equid-specific primers to retrieve short overlapping fragments in the cytb gene (187 bp for cytb1L 5'CTAATTAATCAATC and cytb1H 5'ATAATTCATCCGTAGTTA, 209 bp for cytb2L 5'AACTGCCTCTCATCCGTCA and cytb2H 5'AAAAGTAGGATGATTCCA AT). PCR reactions were carried out in a total volume of 50 or 100  $\mu$ l. PCR conditions were as follows: 10 U of *Taq* Gold polymerase (Perkin–Elmer), 2–3 mM MgCl<sub>2</sub>, 1 mg/ml BSA, 250  $\mu$ M of each dNTP, and 300 ng of each primer. DNA was amplified in an Eppendorf PCR Mastergradient apparatus following heat activation of the *Taq* (92°C, 10 min) and 50 cycles of denaturation (92°C, 60 s), annealing (48–50°C, 60 s), and elongation (72°C, 45 s). Depending on the sample, 0.5–2  $\mu$ l of ancient extract was added to avoid an inhibition of the *Taq* polymerase activity. Three independent blanks were carried out for each set of PCR experiment as reported by Loreille et al. (2001). On the four human bones coextracted with 01.20.104 and 02.20.104, none of the attempts to amplify DNA with the equid-specific primers yielded any PCR product, suggesting that no cross-contamination occurred during our extraction sessions.

### Cloning and Sequencing

PCR products were cloned into bacterial vectors using the Topo TA cloning kit (Invitrogen) following the manufacturer's instructions. Plasmids were purified using the QIAprep spin miniprep kit (QIAGEN) and the sequences of both strands were obtained on a Megabace<sup>1000</sup> automatic capillary sequencer (Amersham). Up to 13 clones per amplification product were sequenced. In total, 143 clones of 27 PCR products were sequenced. The final sequence of each sample was deduced from the consensus sequence of its different clones.

### Sequence Analyses

mtDNA CR and cytb sequences of *Perissodactyla* species were retrieved from GenBank. Given computation time necessities, not all the mtDNA CR reported to date for horses could be used. Thus, to summarize all their genetic diversity, we chose the most divergent sequences for each defined horse mtDNA CR haplogroup (Ishida et al. 1994; Xu et al. 1996; Lister et al. 1998; Kim et al. 1999; Oakenfull and Ryder 1998; Kavar et al. 1999; Oakenfull et al. 2000; Vila et al. 2001). All mtDNA CR sequences retrieved from ancient horses were taken into account to be able to compare the *Hippidion* diversity to horse diversity in the past. Our mtDNA CR data set accounts for 16 extant (HgA—AF326661, AF326647; HgB—AF072989, AF014411; HgC—AF168694, AF072988, AF168696, AF326662; HgD—D23665, AF326659, AF326660, AF326664; HgE—D14991, AF072986; HgF—AF326637, AF056071) and 17 ancient (AF326668–AF326686, AY049720) horses, 2 *E. przewalskii* (AF05878, AF072995), 2 *E. asinus* (X97337, AF220938), 4 *E. hemionus* (AF220934–AF220937), 2 *E. kiang* (AF220932, AF220933), 3 *E. grevyi* (AF220928–AF220930), 9 *E. burchelli* (AD220916–AF220924), 4 *E. zebra* (AF220925–AF220931), and 2 rhinos used as outgroups (*Ceratherium simum* [X97336] and *Rhinoceros unicornis* [X97336]). The *E. zebra* sequence reported by Ishida et al. (1995) under accession number S79878 was excluded from our data set, as it obviously corresponds to an *E. caballus* contamination. Our cytb data set includes three extant horses (NC\_001640, D32190, D82932 [Xu and Arnason 1994; Ishida et al. 1996]), seven *E. asinus* (X97337, AF380130–AF380135 [Xu et al. 1996]), and one *E. grevyi* (X56282 [Irwin and Kocher 1991]). Sequences were aligned manually using the Seaview software (Galtier et al. 1996). All the phylogenies were computed with the Phylo\_win program (Galtier et al. 1996). In cytb phylogenetic analyses, the trees were rooted with the five members of the Rhinocerotidae family (accession Nos.: *Ceratherium simum*, NC\_001808; *Diceros bicornis*, X56283; *Rhinoceros unicornis*, NC\_001779; *Rhinoceros sondaicus*, AJ245725; and *Dicerorhinus sumatrensis*, AJ245723 [Irwin and Kocher 1991; Xu et al. 1996; Xu and Arnason 1997; Tougaard et al. 2001]) and two members of the Tapiroidea family (*Tapirus indicus*, AF145734; and *Tapirus terrestris*, AF056030). Single-gene or concatenated-gene phylogenetic analyses were done. To avoid an exponential increase in sequences in the concatenated data set, we retained only the five most divergent mtDNA CR sequences for *E. caballus* (AF326659, AF326664, D23665, AF326678, AF326674); they were combined with the two cytb sequences of three that are different (NC\_001640, D82932). The two *E. przewalskii* mtDNA CR sequences (AF05878 and AF072995) were also concatenated with the same cytb sequences since it has been shown by independent loci that *E. przewalskii* is a subset of the *E. caballus* species (Ishida et al. 1995; Vila et al. 2001). Finally, all the sequences of *E. grevyi* and *E. asinus* of the mtDNA CR data set have been concatenated with their only corresponding sequence in the cytb data set. Distances were corrected according to the Kimura two-parameter (K2) model. Neighbor-joining, maximum parsimony, and maximum likelihood (TI/TV = 2.0, one rate category, no heterogeneity of substitutions between sites) methods were used. The robustness of the branching was estimated by 1000 bootstrap replicates, except for likelihood analyses where 100 replicates were performed. The Kishino–Shimodaira–Hasegawa test was performed with the DNAML program of the PHYLIP 3.6b package (Felsenstein 1993).

## Results

### Authentication Criteria

Although a large number of PCR amplifications was attempted (34 to 56 per sample), only three among









**Table 1.** Bootstrap support for major phylogenetic nodes<sup>a</sup>

			Bootstrap support of node			
			A	B	C	D
NJ (K2-corrected distances)						
108 (CR)			72	—	—	nd
240 (CR)			100	64	6	nd
137 (cytb)			88	nd	nd	71
172 (cytb)			96	100	nd	71
296 (cytb)			100	nd	nd	96
416 (combined)			100	100	nd	53
540 (combined)			100	nd	nd	87
MP	Steps	Informative sites				
108	107	27	—	—	—	nd
240	241	62	100	—	56	nd
137	80	29	—	nd	nd	61
172	112	44	84	100	nd	76
296	182	67	96	nd	nd	93
416	185	80	100	100	nd	57
540	226	94	100	nd	nd	84
ML	In(likelihood)					
108	-725.5		70	—	—	nd
240	-1701.5		100	—	54	nd
137	-585.2		87	nd	nd	68
172	-766.1		88	100	nd	69
296	-1279.9		99	nd	nd	97
416	-1535.4		100	100	nd	—
540	-1901.6		100	nd	nd	75

<sup>a</sup>The definition of nodes A, B, C, and D is indicated in Fig. 3. NJ, MP, and ML: neighbor-joining, maximum parsimony, and maximum likelihood, respectively. Bootstrap values less than 50% are not reported (noted with a dash). nd, stands for not determined.

substitution affects the second codon position. Thus, our ancient sequences cannot correspond to nuclear insertions of mtDNA origin.

### Phylogenetic Analyses

The sequences from samples 01.20104 and E.1.20.103 share 172 bp in the cytb (Fig. 2b). Whether we choose these 172 sites (first fragment, cytb1F-R primers) or the 137 (second fragment, cytb2F-R primers) or 296 (two cytb fragments) sites retrieved from sample 01.20.104, the ancient samples cluster inside a group including *E. caballus*, *E. przewalskii*, *E. asinus*, and *E. grevyi*. The bootstrap supports are better than 84%, regardless of the phylogenetic method (NJ, MP, ML; Table 1). For CR sequences, the rhino sequences used as outgroups share 108 sites with our three ancient sample sequences and 240 with the 01.20.104 and E.1.20.103 samples (Fig. 2a). Our CR data set includes all the extant species of the genus *Equus*. Once again, all ancient samples cluster among the different species of the genus *Equus* and the monophyly of the clade is strongly supported (Fig. 3a and b, Table 1). This topology is significantly better than the alternative topology where node B is placed before node

A (Kishino–Shimodoira–Hasegawa test: difference likelihood,  $-45.3$ ;  $SD = 18.8215$ ). Thus, we can confidently conclude that our ancient samples were members of the genus *Equus*. In CR phylogenies, all extant species appear as monophyletic, except *E. hemionus*. Our ancient sequences are most closely related to two sequences of *E. hemionus kulan*; the 28 bp deleted in the sequences of both *E. hemionus* and *E. kiang* individuals are, however, present on our ancient sequences (Fig. 2a).

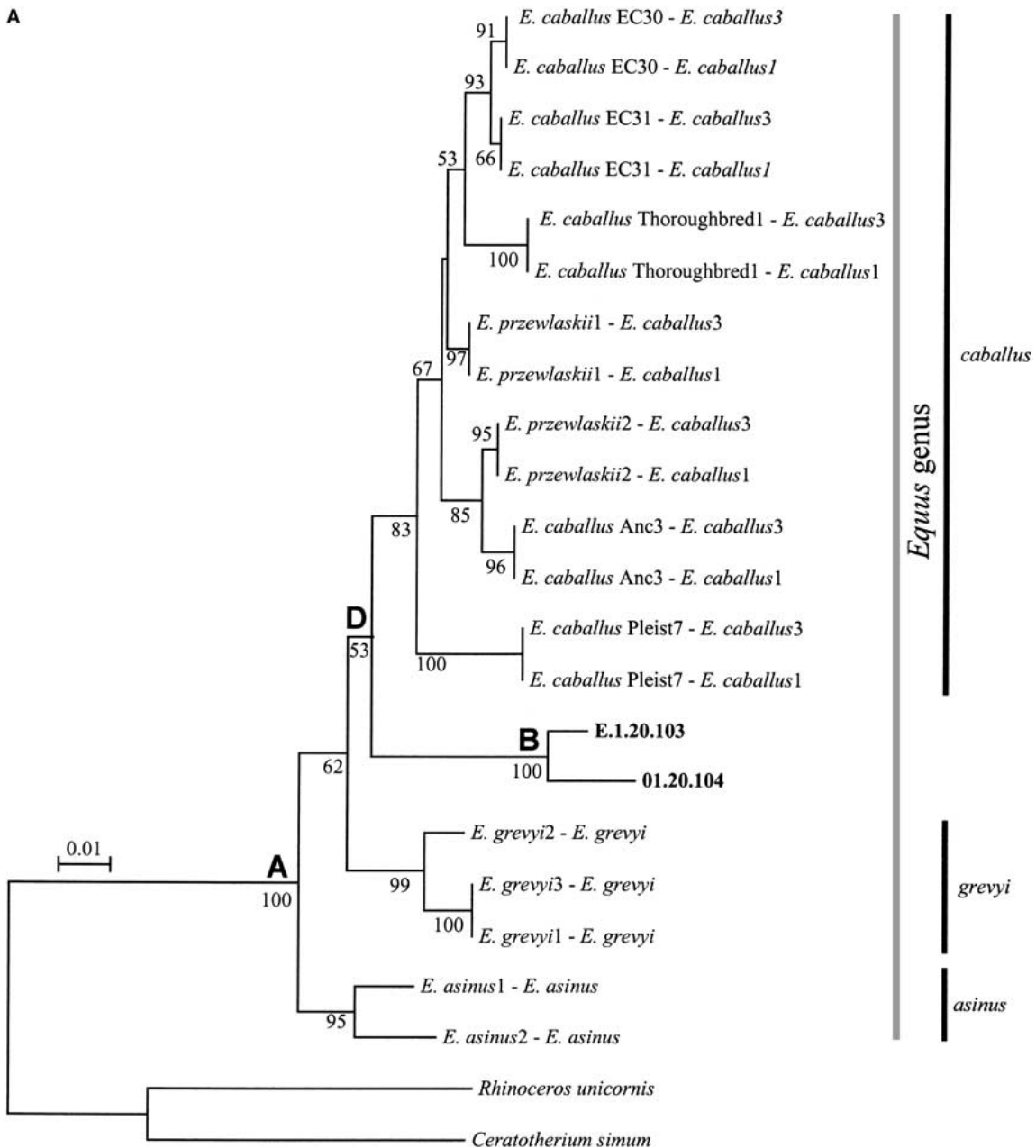
The situation is similar for phylogenetic analyses constructed with the two genes concatenated; the clustering of the ancient samples inside the group composed of the extant species of the genus *Equus* receives maximal bootstrap support (Fig. 3b, Table 1).

### Discussion

Fossils of Ultima Esperanza were originally described by Sefve (1912) as *Onohippidium (Parahipparion) saldiasi*, more recently revised as *Hippidion saldiasi* (Alberdi and Prado 1993), and are currently believed to be the only equid present in that area (Alberdi and Prieto 2000). The teeth have been referred to *Equus* by Smith-Woodward, but the determination has



A



**Fig. 3.** Phylogenetic position of the ancient samples within the Perissodactyla order. **A** Neighbor-joining tree of the mtDNA CR sequences; 240 sites were used. **B** Neighbor-joining tree of the concatenated sequences of mtDNA CR and cytb; 416 sites were used. On each branch, the first name refers to the mtDNA CR

sequence retained for the concatenated analysis, whereas the second refers to the cytb one. Our ancient sequences are reported in *boldface* characters. Distances were corrected with the Kimura two-parameter model. One thousand bootstrap replicates were performed. Bootstrap support values less than 50% are omitted.

never been published and the assigning of the bones, at least, to hippidiform equids was beyond doubt at the time we started the study. Major dental, cranial, and postcranial characters defining hippidiforms and distinguishing them from equiform horses include (i) a short protocone for the first and second upper molar crown, (ii) an extremely deep nasoincisival notch associated with characteristic very long nasal bones, and (iii) short and massive third metapodials (Boule and Thevenin 1920; Alberdi and Prado 1993; MacFadden 1997).

The phylogenetic origin of the South American hippidiform horses is not problematic since an abundance of morphological characters points to an origin in the *Pliohippus* of North America. For instance, both the dorsal and the ventral preorbital fossae are clear synapomorphies of *Pliohippus* and *Onohippidium*, the most primitive hippidiforms (MacFadden 1997). Likewise, several dental, cranial, and postcranial synapomorphies relate the equiform horses to another descendant of *Pliohippus*, *Dinohippus*, which arose during the late Miocene (10 MY). Thus, the divergence

B

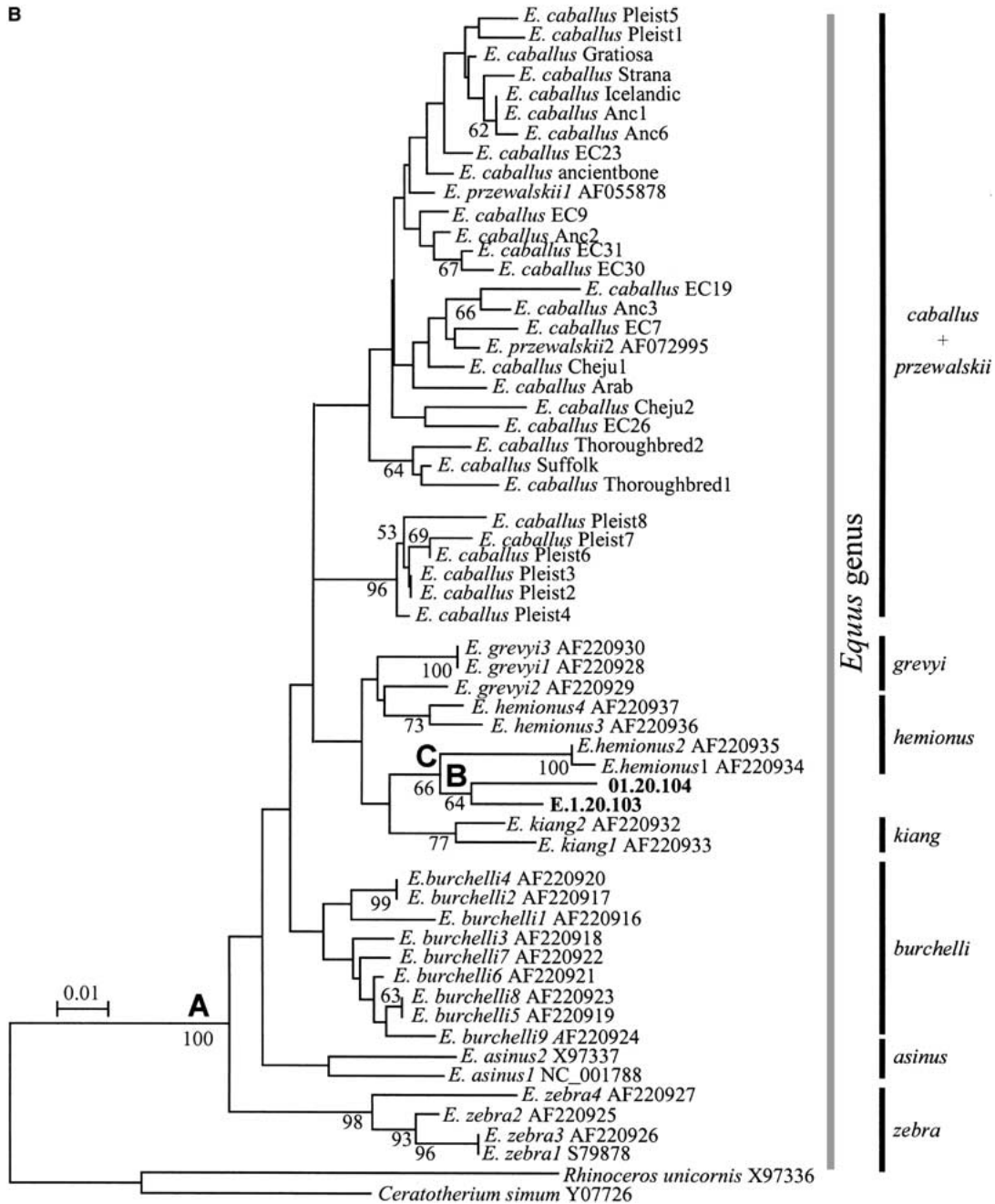


Fig. 3. Continued.

between equiform and hippidiform lineages dates back prior to 10 MY, long before the emergence of the first *Plesippus* (3.7 MY; Fig. 1 [MacFadden 1997]), let alone before the emergence of the first *Equus* (about 2 MY [Oakenfull et al. 2000; Eisenmann and Baylac 2000]). Yet, according to ancient DNA data, our “*Hippidion saldiasi*” was a member of the *Equus* genus, as (i) all phylogenetic analyses significantly cluster the ancient samples well among the modern *Equus* species, and (ii) molecular clock assumptions estimate the emergence of the species between 0.6 and 1.8 MY (calibration point 0.7 MY for the emergence of *E. burchelli* after Oakenfull et al. [2000]).

Given this discrepancy, we decided to look in more detail at the morphological characters of the studied samples. Compared to measurements on *Equus* (*Amerhippus*) second phalanges from Peru collected by one of us (V.E.), the measurements of *Hippidion* second phalanges kindly provided by M.T. Alberdi seem to indicate a greater proximal flatness. Our phalanx (03.20104-b) from Ultima Esperanza is rather deep, as in *Equus* (*Amerhippus*). The upper cheek teeth of *Hippidion* are said to have rather low and incurvated crowns and short oval protocones (Boule and Thevenin 1920; MacFadden 1997). Our upper first molar (E.1.20.103) presents an ovoid but

not very short (10-mm) protocone, and a crown of moderate curvature and height (63 mm): it could thus belong to an *Equus*, as indeed already noted by Smith-Woodward. The third metatarsal (01.20.104) is very short (179 mm), robust, and extremely wide in its distal part (55 mm at the tuberosities). It is almost identical in all its dimensions to the metatarsals preserved at La Plata (Chile) and referred by Sefve (1912) to *Hippidion saldiasii*; but at the same time, it lacks the second, posterior, facet for the cuboid, another characteristic of hippidiforms according to Hoffstetter (1952). We do not know whether this facet is present on the La Plata specimens.

In summary, we believe that the analyzed samples may well have belonged to *Equus* and not to *Hippidion* because; (i) the second phalanx (03.20.104-b) looks like a normal *Equus* phalanx, (ii) the second facet for the cuboid is lacking, while said to be present on third metatarsals of hippidiform horses, (iii) the morphology of the molar is typical not of *Hippidion* but of *Equus*, (iv) all ancient sequences cluster in a monophyletic group, and (v) it would explain the phylogenetic DNA clustering within the *Equus* genus. In the absence of lower incisors, there is no telling whether the lack of infundibula on which Hoffstetter based the subgenus *Amerhippus* in 1950 is shared by our taxon. Accordingly, the South American range of *Equus* should now be greatly extended: believed to stop south of Buenos Aires and Santiago do Chili (Alberdi and Frassinetti 2000), it now reaches southern Patagonia. At the same time, our data bring into question the placement of the southernmost equid fossils into the genus *Hippidion* by previous workers. A thorough revision is obviously necessary, but several observations seem to point to the coexistence of both genera. The first phalanx 03.20.104-a (no DNA retrieved) looks like a typical *Hippidion*; there are two second phalanges from Ultima Esperanza that seem very different from ours, according to measurements published by Sefve (1912).

Our ancient DNA analysis has revealed that some South American equid fossils are not correctly classified at the generic level. The fact that both hippidiform horses and *Equus* (*Amerhippus*) exhibit a pronounced distal limb shortening, probably due to a convergent adaptation to life in a sloped habitat, most probably explains the misidentification in fossils. Whatever the case, since the equid family has been, for more than a century, a famous model to describe processes of evolution (Gould 1994), our findings show that, at least in South America, some of the fossil determinations need revision.

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