# Dynamic programming procedure for searching optimal models to estimate substitution rates based on the maximum-likelihood method 

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#### Abstract

The substitution rate in a gene can provide valuable information for understanding its functionality and evolution. A widely used method to estimate substitution rates is the maximum-likelihood method implemented in the CODEML program in the PAML package. A limited number of branch models, chosen based on a priori information or an interest in a particular lineage(s), are tested, whereas a large number of potential models are neglected. A complementary approach is also needed to test all or a large number of possible models to search for the globally optional model(s) of maximum likelihood. However, the computational time for this search even in a small number of sequences becomes impractically long. Thus, it is desirable to explore the most probable spaces to search for the optimal models. Using dynamic programming techniques, we developed a simple computational method for searching the most probable optimal branch-specific models in a practically feasible computational time. We propose three search methods to find the optimal models, which explored $O(n)(m e t h o d 1)$ to $O\left(n^{2}\right)(m e t h o d 2$ and method 3$)$ models when the given phylogeny has $\boldsymbol{n}$ branches. In addition, we derived a formula to calculate the number of all possible models, revealing the complexity of finding the optimal branch-specific model. We show that in a reanalysis of over 50 previously published studies, the vast majority obtained better models with significantly higher likelihoods than the conventional hypothesis model methods.


likelihood-ratio test | natural selection | positive selection | synonymous substitution | nonsynonymous substitution

E- stimating substitution rates is important in the investigation of functionality and evolution of genes. Natural selection can be also tested by comparing the substitution rates at synonymous and nonsynonymous sites, denoted usually as $K_{s}$ and $K_{a}$, respectively ( $K_{a}=$ number of nonsynonymous substitutions per nonsynonymous site, $K s=$ number of synonymous substitutions per synonymous site). Such estimation is usually performed by analyzing the divergence of a protein-coding gene in a number of homologous sequences in different species.

The maximum-likelihood method is widely used for estimating the substitution rates of nucleotide sequences in protein-coding genes in molecular evolutionary analysis, although some of its techniques were recently debated $(1,2)$. The CODEML program in the PAML package (3) is among the most frequently used and utilizes a codon substitution model to infer evolutionary rates. Several approaches were incorporated into the program, including a site model, a clade model, a branch model, and a branch-site model. The widely used branch model allows estimation of the substitution rates with variable ratios of $\omega=K_{a} / K_{s}$ in different branches (lineages) in a phylogeny. Generally, $\omega>1$ indicates positive selection, $\omega<1$ indicates purifying selection with functional constraint, and $\omega \sim 1$ indicates neutral evolution (4).
The branch model was initially applied to the evolutionary analysis of the primate gene-encoding lysozyme (5). The analysis showed that the $\omega$-parameter along the hominoid branch was significantly greater than 1 , indicating that positive selection might have operated on it. This model has been widely used in molecular evolutionary studies and the functional analyses of
genes, and it is particularly valuable to detect positive selection after gene duplications (3). For example, a branch model analysis of the Drosophila retroposed gene Dntf-2r detected positive selection (6). The use of this model revealed that three young chimeric genes, jingwei, Adh-Twain, and Adh-Finnegan, underwent both early rapid evolution and subsequent slow evolution of protein sequences resulting from increased functional constraints $(7,8)$. Branch model analysis on the NOD26-like intrinsic proteins also detected strong selective pressure on highly constrained functional proteins and many positive selective events that might change the gene's functions after the duplication and speciation events in the plants (9).
In the branch model analysis, a range of $\omega$-values can be chosen. The one-ratio model (ORM) assumes that all branches have the same one $\omega$-parameter, whereas the free-ratio model (FRM) assigns a different $\omega$-parameter to each branch in the tree for estimation. Between ORM and FRM are a limited number of hypothesis models, assuming that some specific branches have specific ratios based on a priori available information or interest in a possible positive selection on a branch(s) implied by FRM analysis. These models were explored and compared by likeli-hood-ratio tests (LRTs) $(5,10)$. Obviously, in this approach, it is imperative to have some good a priori reasons to restrict the estimate of spaces to explore. As Pond and Frost pointed out (11), however, this approach has a disadvantage, because it is not always possible to derive suitable hypotheses when no useful information is available or when no branch can be focused on in the model search. As a model-searching approach to complement the current approach, there is thus a need to search all possible models for the best model that has a globally maximum likelihood. Because all models, except the ORM and FRM, need to be specified with $\omega$-parameters for certain branches, however, the analysis often becomes impractical, especially because all possible models often require an intractably large number of repeated computations of likelihoods.
To solve these technical difficulties, we proposed to search the most probable spaces to determine the optimal branch-specific models that have likelihoods equal or close to the globally maximum likelihood over all possible models with the least degrees of freedom (12). We developed a two-step method to count all possible branch models to reveal the complexity of the computation using CODEML. Then, motivated by the dynamic programming that is widely used in computation (13), we developed three simple and rapid methods in search of the optimal branch models in the most probable spaces for the maximum likelihood. Finally, the proposed methods were assessed by the lysozyme sequences of primate species (5) and reanalysis of 50 previously published

[^0]studies. Through these analyses, we show that our simple methods can obtain globally better models with significantly higher likelihoods than the current approach that compares the models on the branches of particular interest. Because the current approach relies on the hypothesized branches of interest to test positive selection, we call it the "conventional hypothesis model."

## Results

Large Number of Possible Branch Models. We calculated the number of all possible branch models using a two-step strategy, which is used in a program written using the Perl script (SI Appendix). In the first step, we defined a model that included the number of $\omega$ 's and the branch number for each $\omega$, recording this model in a configuration. For example, for a tree of four branches with three sequences, assuming two $\omega$-values, $\omega_{1}$ for one branch and $\omega_{2}$ for the other three branches, we record this configuration as a vector $\left(1 \omega_{1}, 3 \omega_{2}\right)$, or simply ( 1,3 ). We developed a traversing algorithm to find all the configurations of a variety of ratios. In the second step, we calculated all possible branch models with each configuration following the two formulas that we derived, as shown below.
Imagine a phylogeny of six branches with four sequences (SI Appendix, Fig. 1). The models for this tree can be divided into six groups [ranging from ORMs, to two-ratio models, up to the sixratio model (FRM)], and in each group, the models can be divided into several configurations. For example, it has three configurations in three-ratio models: the first configuration has one branch with $\omega_{1}$, one branch with $\omega_{2}$, and the other four branches with $\omega_{3}$, expressed as $(1,1,4)$; the second configuration has one branch with $\omega_{1}$, two branches with $\omega_{2}$, and the other three branches with $\omega_{3}$, expressed as $(1,2,3)$; and the third configuration has three two branches with $\omega_{1}, \omega_{2}$, and $\omega_{3}$, respectively, expressed as $(2,2,2)$.
The number of the models for the first configuration (1, 1, 4) can be calculated and expressed as $K_{31}$, the numbers of the models for the second and the third configurations $[(1,2,3)$ and $(2,2,2)$ ] as $K_{32}$ and $K_{33}$, respectively. In $K_{32}$, because the components in the configuration are not equal to each other, all possible combinations are

$$
K_{32}=C_{6}^{1} \times \mathrm{C}_{5}^{2}=60
$$

Because the first configuration has two different types (the numbers of branches) of components in $K_{31}$ and the third configuration has three components each with the same number of branches in $K_{33}$,

$$
K_{31}=C_{6}^{1} \times \mathrm{C}_{5}^{1} \div 2!=15
$$

Where the 2 ! is the denominator because we need only the combination, the order of arrangement does not matter. Similarly, we have

$$
K_{33}=\mathrm{C}_{6}^{2} \times \mathrm{C}_{4}^{2} \div 3!=15
$$

In general, for a phylogeny with $n$ branches, we use $K_{m j}$ to denote the possible model numbers for the $j$ th configuration with $m$ $\omega$-parameters; $q_{\mathrm{ij}}$ denotes the branch numbers of the ith $\omega$-parameter of the $j$ th configuration. By definition, we have

$$
\sum_{i=1}^{m} q_{i j}=n, m \in(1 \text { to } n)
$$

When $q_{x j} \neq q_{y j}\left(x \neq y, x, y \in(1\right.$ to $\left.m), q_{0 j}=0\right)$, the formula to calculate $K_{m j}$ can be expressed as

$$
\begin{equation*}
K_{m j}=\prod_{i=1}^{m-1} C_{n-\sum q_{i-1) j}}^{q_{i j}} \tag{1}
\end{equation*}
$$

When there exist $x$ and $y$ variables, let $q_{x j}=q_{y j}[x \neq y, x, y \in$ $(1$ to $m)], q_{0 j}=0$ ( $\mathrm{A}_{\mathrm{g}}$ means having g groups and $\mathrm{A}_{\mathrm{g}}$ components
in the configuration, which have the same branch numbers), and thus we have

$$
\begin{equation*}
K_{m j}=\frac{\prod_{i=1}^{m-1} C_{n-\sum}^{q_{i j}} q_{(i-1) j}}{\prod_{l-1}^{g} A_{l}!} \tag{2}
\end{equation*}
$$

By means of this approach, to illustrate the intractably large number of possible branch models visually, all configuration numbers and possible model numbers of phylogeny for $3,4,6,8$, 10 , and 12 sequences are shown in Table 1 for all possible $\omega$-values; an example of the details of the configuration and model is provided in SI Appendix.

Dynamic Programming Algorithms for Searching Optimal Branch Models. Despite present-day rapidly increasing computing powers, it is impractical to use the traversing algorithm to explore all models, as shown in Table 1. We developed three simplified methods for searching optimal models by using dynamic programming algorithms. We attempted to reduce computation to a practical workable level by exploring the most likely space that contains the maximum likelihood.
Method 1. Fig. $1 A$ summarizes the procedure we propose. First, calculate all possible configurations for single-branch two-ratio models (SBTRMs), in which only one branch is labeled with $\omega_{1}$ and all other branches are assumed to be background ratio $\omega_{0}$. Obviously, the $\log$ likelihood $(\operatorname{lnL})$ values for $n$ SBTRMs need to be calculated when the analyzed phylogeny has $n$ branches. Second, the $\ln \mathrm{L}$ values of all $n$ SBTRMs are compared and sorted from maximum to minimum; the model with the maximum $\operatorname{lnL}$ value is considered the optimal model within two-ratio models. The branch labeled with $\omega_{1}$ in the maximum $\operatorname{lnL}$ value model is recorded as $B_{1}$, the branch labeled with $\omega_{1}$ in the model that has the second greatest $\operatorname{lnL}$ value is recorded as $\mathrm{B}_{2}$, and so on until $\mathrm{B}_{n}$. Then, all the optimal models of the remaining variety of ratios are generated directly. For the optimal three-ratio model, branch $\mathrm{B}_{1}$ is labeled as $\omega_{1}$, branch $B_{2}$ is labeled as $\omega_{2}$, and all other branches are assumed to have a background ratio $\omega_{0}$ and optimal models for four ratios to an " $n-1$ " ratio as well. Finally, the $n-2$ optimal models can be "predicted" in this way, and the likelihoods of these predicted models can be calculated and compared with each other to determine the final optimal model that has the maximum likelihood in the sense that the likelihood is significantly better than the likelihood of other optimal models and has the least degrees of freedom if there are more than one solutions that are not significantly different.
Method 2. This method can be described in $n-2$ rounds with two steps in each round of iterations, as shown in Fig. 1B. The first step generates models and calculates InLs for all these models; the second step is to record the specific branch of the optimal model of this round, which is used for generating models in the next round. The models in the first round are all SBTRMs. The branch labeled with $\omega_{1}$ in the maximum $\operatorname{lnL}$ value model is recorded as $\mathrm{B}_{1}$. In the second round, $n-1$ three-ratio models are generated by adding one more branch with one more ratio $\left(\omega_{2}\right)$ in addition to $\mathrm{B}_{1}$, whereas all other $n-2$ branches have the background ratio $\omega_{0}$. The InLs for all $n-1$ three-ratio models are calculated and compared with each other. The branch labeled $\omega_{2}$ of the optimal

Table 1. Configurations and possible models
Sequence no. Branch no. Configuration no. No. of possible models

| 3 | 4 | 3 | 15 |
| ---: | ---: | ---: | :---: |
| 4 | 6 | 9 | 203 |
| 6 | 10 | 40 | 115,975 |
| 8 | 14 | 133 | $190,899,322$ |
| 10 | 18 | 383 | $6.821 \mathrm{E}+11$ |
| 12 | 22 | 1,000 | $4.507 \mathrm{E}+15$ |



Fig. 1. Sketch of the proposed methods. (A) Method 1: Searching optimal models with more than two $\omega$-parameters directly based on the sorted results of the SBTRM (2-5 $\omega$-parameters exemplified). The different models with the same number of $\omega$-parameters are arranged from high-likelihood to low-likelihood values. ( $B$ ) Method 2: Searching optimal models with $\omega$-parameters until there are no free branches, based on the maximum-likelihood value model from the last round. The different models with the same number of $\omega$-parameters are also arranged from high-likelihood to low-likelihood values. (C) Method 3: Searching optimal models by iteration. In (A-C), one color stands for one $\omega$-parameter.
model having the maximum $\operatorname{lnL}$ value in all $n-1$ three-ratio models is recorded as $B_{2}$. This process is reiterated until all $n-1$ $\omega$ 's are calculated. In total, $(\mathrm{n}+1)^{*} \mathrm{n} / 2$ models are generated and calculated; $n-2$ optimal models of a variety of ratios are obtained and can be compared with each other, including the ORM and FRM, by LRT to determine the final optimal models.
Method 3. This is a modification of method 2 (Fig. 1C), to consider general cases of one ratio with more than one branch. First, similar to method 2, all the SBTRMs belonging to the configuration $(1, n-1)$ are calculated in this step and the optimal model of SBTRMs (assumed to be A) is determined. This optimal model has only one branch $\mathrm{B}_{1}$, which is labeled as $\omega_{1}$. Then, in the second step, other $n-1$ two-ratio models are generated, which have another branch labeled as $\omega_{1}$ in addition to $B_{1}$; these models
belong to the configuration $(2, n-2)$. After calculation, the optimal model is found (assumed to be B). If the difference in the $\ln L$ values between $A$ and $B$ is greater than $k(k$ is a threshold that can be defined by the user to decide if one model is better than another model with the same degree of freedom when they have different branches with same ratio, the default $\mathrm{k}=0.5$ ), the models belonging to configuration $(3, n-3)$ are generated and calculated and the optimal model C is compared with B. Such iterations continue until the difference between the two optimal models is less than k. Clearly, the optimal model obtained from the penultimate iteration will become the final optimal two-ratio model. Note that the threshold value of k will determine the number of iterations; the more iterations calculated, the more the branch would be labeled with the same $\omega$ and the fewer would be
the number of large cycles that are needed. In the end, there will be no more than $n-2$ optimal models of a variety of ratios obtained, and these can be compared with each other, including ORM and FRM, by LRT to find the final optimal models.

Evaluation of the Three Methods. To evaluate the three methods, we tested them using a dataset that has been tested in all possible ratio models of maximum-likelihood analysis. We first analyzed the datasets of the seven lysozyme sequences of primate species, which were used as an example for the maximum-likelihood analysis (5). We then randomly sampled the 50 previous studies (14-53) that used the branch model and reanalyzed their data using our methods. These studies covered a wide spectrum of phylogenetic breadth, ranging from 6 to 62 sequences, including both orthologous and paralogous groups (data in SI Appendix).

To describe the analysis of the lysozyme sequences in detail (Methods), we showed the results from the analysis of only one dataset of six sequences (the other six datasets of six sequences from each of the original seven sequences are summarized in the data in SI Appendix). The phylogeny of this dataset is shown in Fig. 2 (the remaining six are shown in SI Appendix, Fig. 2). The best models presented here means that the models have a maximum $\operatorname{lnL}$ value among a variety of $\omega$-parameters, whereas the final best model is the model considered to be the best compared by the LRT among several best ones. The $\operatorname{lnL}$ values of the eight best models of this dataset are listed in Table 2 with several optimal models of the three methods and two hypothesis models as well (results from the other six datasets are shown in SI Appendix, Table 1). The eight best models with ORM and FRM were compared with each other by the LRT, and the best two-ratio model was considered to be the final best model, with an $\ln \mathrm{L}$ value of -843.25 . In the same way, all the optimal models of the three methods were compared with each other, and the $\ln \mathrm{L}$ value of the final optimal models are -844.99 for methods 1 and 2 and -842.09 for method 3; the $P$ values are shown in SI Appendix, Table 2. The final best model and final optimal models according to SI Appendix, Table 2 are evident and are marked in bold in Table 2. These results show that our simple methods obtained results very close to the results from a complete comparison.

The estimates of the substitution rate from the final best model, final optimal models, and hypothesis models are listed in Table 3. It is obvious that all these models, except the final optimal model of methods 1 and 2, suggest that positive selection operates on some lineages $\left(K_{a} / K_{s}=4.235-4.466\right)$, whereas the final optimal model of methods 1 and 2 indicates neutral evolution in most lineages $\left(K_{a} / K_{s}=1.075\right)$ and very strong purifying selection on Cja_marmoset branch $\left(K_{a} / K_{s}=0.0001\right)$. The results of final optimal models of methods 1 and 2 may well be wrong, but the final best model is not significantly better than the final optimal models


Fig. 2. Phylogeny of six lysozyme sequences, with the lineage $h$ under positive selection and lineage $c$ having a greater $\omega$-value than the background in research (5). The branch length is estimated by the final optimal model of method 3 ; the number of nonsynonymous and synonymous sites and $\omega$-parameters are labeled along the lineage.
of three methods (using $\mathrm{df}=1$ ) by the LRT. Conversely, the final optimal model of method 3 is significantly better than the two hypothesis models in the original computation (5) $(P=0.045$ and $P=0.045, \mathrm{df}=1$ ) and also significantly better than the final optimal model of methods 1 and $2(P=0.016, \mathrm{df}=1)$.

In addition, the other six datasets all support the results presented above, indicating that the final optimal models are very close to the final best model in all seven datasets. Only once, in dataset 2 , was the final best model significantly better than the final optimal models of all three methods (SI Appendix, Table 3). In these similar datasets, some of the final optimal models are significantly better than the hypothesis models, whereas none of the hypothesis models are significantly better than final optimal models; most of the final optimal models of the three methods in datasets 3 and 4 were significantly better than the hypothesis models (SI Appendix, Table 4). We calculated the seven sequences by the three methods and compared the final optimal models with the conventional hypothesis models. We reached the same conclusion that the six-sequence dataset showed.

Table 2. Maximum InL values for various ratio models

|  | TRM | ThreeRM | FourRM | FiveRM | SixRM | SevenRM | EightRM | NineRM |  |
| :--- | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| Total model nos. | 511 | 9,330 | 34,105 | 42,525 | 22,827 | 5,880 | 750 | 45 |  |
| InL of best models | -843.25 | -841.74 | -841.51 | -841.36 | -841.29 | -841.29 | -841.28 | -841.28 |  |
| InL of hypothesis models |  | -844.10 | -844.10 |  |  |  |  |  |  |
| Method 1 | InL values* | -844.99 | -844.15 | -842.66 | -842.39 | -841.78 | -841.77 | -841.69 | -841.64 |
|  | Rank $^{\dagger}$ | 35 | 779 | 480 | 1,166 | 350 | 353 | 127 | 18 |
| Method 2 | InL values | -844.99 | -844.06 | -842.66 | -841.98 | -841.78 | -841.61 | -841.35 | -841.29 |
|  | Rank | 35 | 643 | 480 | 412 | 350 | 150 | 18 | 4 |
| Method 3 | InL values | -844.99 | -842.09 | -841.79 | -841.74 | -841.47 | -841.42 | -841.41 | - |
|  | Rank | 35 | 4 | 20 | 94 | 40 | 37 | 30 |  |

[^1]Our finding that most final optimal models detected by our methods are significantly better than the conventional hypothesis models was further confirmed by our subsequent studies of 50 gene families. We collected the sequences from these gene families from 40 original studies (14-53), and we then applied our methods to analyze these data and to compare them with the previous results of conventional hypothesis models using the maximum-likelihood method. These analyses are summarized in SI Appendix, Table 5. We found that in gene families (or cases) 40 and 45 , the $\operatorname{lnL}$ value of the final optimal model our method detected and that of the conventional hypothesis model were congruent with each other; in case 38, there was no difference between the final optimal model and the current hypothesis model $(P>0.05)$. However, we were surprised to see that for the vast majority of the rest 47 cases, the $\operatorname{lnL}$ values for the final optimal models are significantly higher than the InL values for the conventional hypothesis models ( $P<0.001$ ). In these cases, 22 are significant at the level $P \leq 10^{-5}$ and 8 of them even at level $P \leq 10^{-10}$. More details of the conventional hypothesis models, our optimal models, and the 50 phylogenies are provided in the data in SI Appendix.

## Discussion

In principle, the maximum-likelihood method was proposed to find the most probable estimates, given a phylogeny of homologous sequences. It is also clear that FRM cannot guarantee a parsimonious model. It is thus expected to find the globally most probable estimate by performing an exhaustive search of the most probable model from all possible models. Such a search is often impractically time-consuming, however, because of a huge number of possible models for a tree with even a small number of sequences. The problems in calculating all possible models were raised previously (54). Our method calculated the number of all possible models for a rooted tree in full agreement with the Bell number that was used to calculate the number in an unrooted tree (54). We proposed these simplified methods to find the most probable estimates of substitution rates with the least degrees of freedom in hypothesis testing compared with the FRM. The present study highlights the finding that the optimal models obtained from the three methods described in the following text via a dynamic programming approach are extremely close to the best model obtained from the traversing algorithm. The former simple methods use a reasonably short time, whereas the latter exhaustive search is often impractical in computing time for a large dataset, such as that used in this paper.

Compared with the previous analysis of the lysozyme dataset using the conventional hypothesis models (5), our simple method 3 obtained even significantly higher likelihoods than the previous two-ratio and three-ratio hypothesis models ( -842.09 vs. -844.10 , $P=0.045 ;-842.09$ vs. $-844.10, P=0.045$; Table 3). The advantage of our methods is further confirmed by our large-scale case analyses of 50 previously reported gene families using the conventional hypothesis method. In these 50 cases, we found that for 47 cases ( $94 \%$ ), our final optional models had significantly
higher likelihoods than the conventional hypothesis models and that there were only 3 cases not having significantly different likelihoods (SI Appendix, Table 5). The most significant differences were observed in the Chalcone Synthase Genes of Dendranthema (case 6: $2 \Delta \mathrm{l}=198.91$, df $=11, P<1 \mathrm{e}-14$ ), the Phytochrome Gene Family in Angiosperms (case 3:2 $2 \mathrm{l}=206.25$, $\mathrm{df}=8, P<1 \mathrm{e}-14$ ), and the recently duplicated $\mathrm{M}_{\gamma}$-type MADSbox genes in Petunia (case 13: $2 \Delta \mathrm{l}=175.71$, $\mathrm{df}=16, P<1 \mathrm{e}-14$ ).

The compared models in the branch model should be nested, as suggested for the LRT (55). To make a more general comparison involving the models that do not meet such a condition, we also used the Akaike's information criterion (AIC) (56) method in analyses of these 50 cases, with the AIC values of the analyzed models in the data in SI Appendix. Again, except for 2 cases in which the final optimal model is congruent with the conventional hypothesis model, all other final optimal models have the lowest AIC value in 48 cases, even in the case (case 38) that failed in the LRT also getting a lower AIC than the conventional hypothesis model.

In additional, in the color vision gene (SWS2, case 17), in which $2 \Delta \mathrm{l}=34.30, \mathrm{df}=6, P=5.90 \mathrm{e}-006$, our optimal models suggest positive selection on the lineage Sinocyclocheilus purpureus (fix $\omega_{\text {purpureus }}=1$ model vs. free $\omega_{\text {purpureus }}$ model: $2 \Delta \mathrm{l}=5.74, \mathrm{df}=1$, $P=0.017$ ), which was not detected by the previous analysis using the conventional hypothesis method. These case analyses indicate that most previous reports missed the optional models and that the conventional hypothesis method can easily miss the globally most probable model. Our methods appear to be able to detect more significant models than the conventional hypothesis method.

Although the present methods provide simplified computational procedures for the maximum-likelihood analysis, caution should be urged in using these methods. The first caveat is that, like any other phylogeny-related study, if the phylogeny tree is inaccurate or incorrect (e.g., an incorrect inference of the orthologousparalogous relationship), the estimates of the maximum-likelihood method, which is dependent on the tree, are meaningless. The second caution is that when many models explored by our methods detected a large $\omega$-value in some lineages, this finding may not immediately suggest positive selection, because a statistical test for its significance is needed. The model comparison as implemented by the original branch model (5) is necessary using, for example, the nested model-based LRT or AIC discussed above. Third, we note here that method 3 seems to perform better than methods 1 and 2 in detecting final optimal models using the one gene-data analysis of lysozyme. We recommended using all three methods for more genes and comparing their performance. It would be a wise practice to start from method 1 when analyzing a large dataset to gain some useful insight because of its brief computation time.

## Methods

Sequence. The sequences used in calculation of all possible models to evaluate our three methods are taken from previous work (5) and can be obtained in the PAML package in the example of lysozyme. For the reanalysis of the 50 previous studies, we utilized either available sequence alignments provided

Table 3. Substitution rate values of final best model, final optimal model, and hypothesis model

|  | Final best model* | Final optimal model (methods 1 and 2) ${ }^{\dagger}$ | Final optimal model $(\operatorname{method} 3)^{\ddagger}$ | Hypothesis TRM ${ }^{\S}$ | Hypothesis ThreeRM ${ }^{\text {T }}$ |
| :---: | :---: | :---: | :---: | :---: | :---: |
| lnL values | -843.25 | -844.99 | -842.09 | -844.10 | -844.10 |
| $\omega_{0}$ | 0.497 | 1.075 | 0.611 | 0.579 | 0.579 |
| $\omega_{1}$ | 4.466 | 0.0001 | 0.0001 | 4.224 | 4.333 |
| $\omega_{2}$ | - | - | 4.288 | - | 4.112 |
| k | 5.021 | 4.921 | 5.000 | 5.008 | 5.007 |

[^2]in the literature or regenerated sequence realignments using MEGA 4.0 (57) when the original alignments were not available.

Calculating the Entire Range of Possible Models. We generated seven datasets of sixsequences from theselysozymesequences by deleting one sequence fromseven. All possible models (115,975 possible models in one dataset) of these seven datasets were generated by the traversing algorithm (SI Appendix) and calculated. It took almost 4 d to finish all the calculations for one dataset, and according to this, it may take 160 d to calculate all possible 4,213,597 models of the seven sequences on the server (Dawning Information Industry), which has eight AMD Opteron 2376 processors with the operation system Linux AS 5 . The phylogeny used in the calculations was built by MEGA 4.0 with the neighbor-joining method (57).

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Exploring Optimal Models with Three Methods. Using the phylogeny and sequence, we performed analyses using the seven datasets with six sequences and seven sequence datasets of lysozymes (these databases are available upon request). The $k$ value of method 3 is 0.5 .

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[^0]:    Author contributions: C.Z., M.L., and Q.Z. designed research; C.Z., J.W., W.X., and G.Z. performed research; C.Z. and M.L. analyzed data; and C.Z., M.L., and Q.Z. wrote the paper.

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[^1]:    InL value of the ORM is -847.33 and that of the FRM is -841.28 . TRM, two-ratio model; ThreeRM, three-ratio model; FourRM, fourratio model; FiveRM, five-ratio model; Six RM, six-ratio model; SevenRM, seven-ratio model; EightRM, eight-ratio model; NineRM, nineratio model.
    *Number in bold is the InL value for the final optimal (best) model of each method compared by the LRT (the $P$ value is shown in $S I$ Appendix, Table 2).
    ${ }^{\dagger}$ Number in the Rank row indicates the relative position of the InL value in all models. For example, the ThreeRM for method 3 has the InL value -842.09, which is ranked in the fourth position from the highest one, -841.74.
    ${ }^{\ddagger}$ The InL values of the two hypothesis models are -844.097468 for TRM and -844.096995 for ThreeRM, both rounded to -844.10 .

[^2]:    TRM, two-ratio model; ThreeRM, three-ratio model.
    For the following phylogeny with markers for models (\#1, $\omega_{1} ; \# 2, \omega_{2}$ ):
    *(((Ssc_squirrelM,Cja_marmoset),Hla_gibbon\#1)\#1,(Mmu_rhesus\#1,(Cgu_Can_colobus,Pne_langur)\#1))
    ${ }^{\dagger}((($ Ssc_squirrelM,Cja_marmoset\#1),Hla_gibbon),(Mmu_rhesus,(Cgu_Can_colobus,Pne_langur)))
    ${ }^{\ddagger}((($ Ssc_squirrelM,Cja_marmoset\#1),Hla_gibbon\#2),(Mmu_rhesus\#2,(Cgu_Can_colobus,Pne_langur)\#2))
    ${ }^{\text {§ }}((($ Ssc_squirrelM,Cja_marmoset),Hla_gibbon\#1),(Mmu_rhesus,(Cgu_Can_colobus,Pne_langur)\#1))
    T(((Ssc_squirreIM,Cja_marmoset),Hla_gibbon\#1),(Mmu_rhesus,(Cgu_Can_colobus,Pne_langur)\#2))

