

- F, Phe; G, Gly; H, His; I, Ile; K, Lys; L, Leu; M, Met; N, Asn; P, Pro; Q, Gln; R, Arg; S, Ser; T, Thr; V, Val; W, Trp; and Y, Tyr.
16. M. Kaviratne, S. M. Khan, W. Jarra, P. R. Preiser, *Eukaryot. Cell* **1**, 926 (2002).
17. M. Haeggstrom et al., *Mol. Biochem. Parasitol.* **133**, 1 (2004).
18. T. Y. Sam-Yellowe et al., *Genome Res.* **14**, 1052 (2004).
19. J. Gorodkin, L. J. Heyer, S. Brunak, G. D. Stormo, *Comput. Appl. Biosci.* **13**, 583 (1997).
20. Z. Bozdech et al., *PLoS Biol.* **1**, E5 (2003).
21. K. G. Le Roch et al., *Science* **301**, 1503 (2003).
22. A search engine to identify proteins containing the PlasmoHT motif is available at www.haldarlab.northwestern.edu.
23. X.-Z. Su et al., *Cell* **82**, 89 (1995).
24. J. F. Kun et al., *Mol. Biochem. Parasitol.* **85**, 41 (1997).
25. We thank W. Kibbe, L. Zhu, V. Haztimanikatis, A. Vania Apkarian, and A. Chenn for helpful discussion. Supported by American Heart Association fellowship (0215246z to N.L.H.) and the NIH (HL69630, AI39071 to K.H.). PlasmoDB and GenBank identification codes, respectively: PFE1615c: NP_703661; PfHSP40: PFE0055c and NP_703357; PfEMP1 fragment chr4.glm_42. The PfEMP1 used for transmembrane

domain and cytoplasmic tail has NCBI identification code AAB09769.1.

Supporting Online Material
www.sciencemag.org/cgi/content/full/306/5703/1934/DC1

Materials and Methods
Figs. S1 to S4
Table S1
Bioinformatic Data

13 July 2004; accepted 19 October 2004
10.1126/science.1102737

A Draft Sequence for the Genome of the Domesticated Silkworm (*Bombyx mori*)

Biology analysis group: Qingyou Xia,^{1*†} Zeyang Zhou,^{1*} Cheng Lu,^{1*} Daojun Cheng,¹ Fangyin Dai,¹ Bin Li,¹ Ping Zhao,¹ Xingfu Zha,¹ Tingcai Cheng,¹ Chunli Chai,¹ Guoqing Pan,¹ Jinshan Xu,¹ Chun Liu,¹ Ying Lin,¹ Jifeng Qian,¹ Yong Hou,¹ Zhengli Wu,¹ Guanrong Li,¹ Minhui Pan,¹ Chunfeng Li,¹ Yihong Shen,¹ Xiqian Lan,¹ Lianwei Yuan,¹ Tian Li,¹ Hanfu Xu,¹ Guangwei Yang,¹ Yongji Wan,¹ Yong Zhu,¹ Maode Yu,¹ Weide Shen,¹ Dayang Wu,¹ Zhonghuai Xiang^{1†}

Genome analysis group: Jun Yu,^{2,3*†} Jun Wang,^{2,3*} Ruiqiang Li,^{2*} Jianping Shi,² Heng Li,² Guangyuan Li,² Jianning Su,² Xiaoling Wang,² Guoqing Li,² Zengjin Zhang,² Qingfa Wu,² Jun Li,² Qingpeng Zhang,² Ning Wei,² Jianzhe Xu,² Haibo Sun,² Le Dong,² Dongyuan Liu,² Shengli Zhao,² Xiaolan Zhao,² Qingshun Meng,² Fengdi Lan,² Xiangang Huang,² Yuanzhe Li,² Lin Fang,² Changfeng Li,² Dawei Li,² Yongqiao Sun,² Zhenpeng Zhang,² Zheng Yang,² Yanqing Huang,² Yan Xi,² Qiuhui Qi,² Dandan He,² Haiyan Huang,² Xiaowei Zhang,² Zhiqiang Wang,² Wenjie Li,² Yuzhu Cao,² Yingpu Yu,³ Hong Yu,³ Jinhong Li,³ Jiehua Ye,³ Huan Chen,³ Yan Zhou,³ Bin Liu,² Jing Wang,² Jia Ye,³ Hai Ji,² Shengting Li,² Peixiang Ni,² Jianguo Zhang,² Yong Zhang,² Hongkun Zheng,² Bingyu Mao,² Wen Wang,² Chen Ye,² Songgang Li,² Jian Wang,^{2,3} Gane Ka-Shu Wong,^{2,3,4†} Huanming Yang^{2,3†}

We report a draft sequence for the genome of the domesticated silkworm (*Bombyx mori*), covering 90.9% of all known silkworm genes. Our estimated gene count is 18,510, which exceeds the 13,379 genes reported for *Drosophila melanogaster*. Comparative analyses to fruitfly, mosquito, spider, and butterfly reveal both similarities and differences in gene content.

Silk fibers are derived from the cocoon of the silkworm *Bombyx mori*, which was domesticated over the past 5000 years from the wild progenitor *Bombyx mandarina* (1). Silkworms are second only to fruitfly as a model for insect genetics, owing to their ease of rearing, the availability of mutants from genetically homogeneous inbred lines, and the existence of a large body of information on their biology (2). There are about 400 visible phenotypes, and ~200 of these are assigned to linkage groups (3). Silkworms

can also be used as a bioreactor for proteinaceous drugs and as a source of biomaterials. Here, we present a draft sequence of the silkworm genome with 5.9× coverage.

B. mori has 28 chromosomes. More than 1000 genetic markers have been mapped at an average spacing of 2 cM (~500 kb) (4). A physical map is being constructed through the fingerprinting and end sequencing of bacterial artificial chromosome (BAC) clones (5). Many expressed sequence tags (ESTs) have been produced (6), and a 3×

draft sequence has just been announced by the International Lepidopteran Genome Project (7). Our project is independent of, but complementary to, that of the consortium. Our sequence has been submitted to the DNA Data Bank of Japan/European Molecular Biology Laboratory/GenBank (project accession number AADK00000000, version AADK01000000) and is also accessible from our Web site (<http://silkworm.genomics.org.cn>) (8). ESTs discussed in this Report can be found at GenBank (accession numbers CK484630 to CK565104).

DNA for genome sequencing is derived from an inbred domesticated variety, *Dazao* (posterior silk gland, fifth-instar day 3, on a mix of 1225 males). A whole-genome shotgun (9) technique was used, and our coverage is 5.9×. Including the unassembled reads, the total estimated genome size is 428.7 Mb, or 3.6 and 1.54 times larger than that of fruitfly (10) and mosquito (11). The N50 contig and scaffold sizes are 12.5 kb and 26.9 kb. Our assembly contains 90.9% of the 212 known silkworm genes (with full-length cDNA sequence), 90.9% of ~16,425 EST clusters, and 82.7% of the 554 known genes from other Lepidoptera. Additional details of our quality analyses are given in the supporting online material (fig. S1 and tables S1 to S6).

We developed a gene-finder algorithm *BGF* (BGI GeneFinder) (fig. S2), based on *GenScan* and *FgeneSH*. To determine a gene count for silkworm, one must correct for erroneous and partial predictions (Table 1). The final corrected gene count for silkworm is 18,510 genes, which far exceeds the official gene count of 13,379 for fruitfly

¹Southwest Agricultural University, Chongqing Beibei, 400716, China. ²Beijing Institute of Genomics of Chinese Academy of Sciences, Beijing Genomics Institute, Beijing Proteomics Institute, Beijing 101300, China. ³James D. Watson Institute of Genome Sciences of Zhejiang University, Hangzhou Genomics Institute, Key Laboratory of Genomic Bioinformatics of Zhejiang Province, Hangzhou 310008, China. ⁴University of Washington Genome Center, Department of Medicine, University of Washington, Seattle, WA 98195, USA.

*These authors contributed equally to this work.

†To whom correspondence should be addressed. E-mail: xiaqy@swau.cq.cn (Q.X.), xzh@swau.cq.cn (Z.X.), junyu@genomics.org.cn (J.Y.), gks@genomics.org.cn (G.K.-S.W.), yanghm@genomics.org.cn (H.Y.)

(our *BGF*-based procedures predict 13,366 genes for fruitfly). We find that 14.9% of predicted genes are confirmed by ESTs (based on aligning the ESTs to the genome and looking for a 100–base pair overlap with the predicted exons); 60.4% and 63.1% are confirmed by similarity to fruitfly genes and GenBank nonredundant proteins (*BlastP* at 10^{-6} E-value). Overall, 69.7% are confirmed by at least one method.

Not only did we find more genes in silkworm than in fruitfly, but we also found larger genes as a result of the insertion of transposable elements (TEs) in introns. For example, in *calcineurin B* (*cnb*), the silkworm gene was 12 times as large as that of fruitfly. To generalize, we compared annotations, found reciprocal best matches, and computed gene size ratios. Because prediction errors are unlikely to be alignable across species, we restricted our analysis to aligned regions, giving us a mean (median) ratio of 2.29 (2.75) (Fig. 1). This combination of more and bigger genes can explain 86% of the factor of 3.67 increase in genome size from fruitfly (116.8 Mb) to silkworm (428.7 Mb). Silkworm genes also had slightly more exons than fruitfly, with a mean (median) ratio of 1.15 (1.12) for number of exons per gene.

As shown by our TE annotations, most of this increase in the genome size of silkworm is relatively recent. Of the 21.1% of the genome that is recognizable as being of TE origins, 50.7% is from a single *gypsy-Ty3*-like retrotransposon (12) (table S7). Mean sequence divergence is 7.7%, which dates the initial appearance of this TE to 4.9 million years ago, if we use the fruitfly neutral rate of 15.6×10^{-9} substitutions per year (13). Most other TEs are comparably recent in origins (fig. S3). GC-rich regions contain a higher density of TEs, particularly LINEs (long interspersed nuclear elements), which is the exact opposite of what is reported for the human and mouse genomes.

Unlike silkworm, which is a lepidopteran, fruitfly and mosquito are dipterans. The two insect orders diverged about 280 to 350 million years ago (14). Comparisons of their genome content were done at the level of InterPro domains. Functional assignments were mapped according to Gene Ontology (GO). Domain clustering (15) (table S8) produced 8947 groups, with 2565 shared among insects and 1793 unique to silkworm (Fig. 2). Consistent with the observed TE expansion, domains like reverse transcriptase, integrase, and transposase stand out for their prevalence in silkworm. A complete list of predicted silkworm genes is shown in table S9, with a special indexing table for the genes discussed in this paper.

The silk gland, essentially a modified salivary gland, is a highly specialized organ whose function is to synthesize silk proteins.

We identified a set of 1874 annotated genes that are confirmed by silk gland ESTs. Only 45 of these genes had been previously described in *B. mori*. GO function categories for silk gland and 11 other tissue libraries were compared (fig. S4). Several hormone-processing enzymes are active in silk gland, which is of interest because hormones participate in regulation of silk protein genes (16). Not counting low expressed genes undetectable at current EST depths, genes found only in silk gland include juvenile hormone (JH) esterase, ecdysone oxidase, and JH-inducible protein 1. Ecdysteroid UDP (uridine 5'-diphosphate)-glucosyl transferase is found in silk gland, testis, and ovary. Fibroin forms the bulk of the cocoon mass. It has two major components, a heavy (350 kD) and a light chain (25 kD). We found 1126 ESTs for the light chain, but only 4 ESTs for the heavy chain, suggesting that the one-to-one ratio for light and heavy chains is maintained at the post-transcription level. The heavy chain has five predominant amino acids: Gly (45.9%), Ala (30.3%), Ser (12.1%), Tyr (5.3%), and Val (1.8%). A complete tRNA gene set (table S10) was detected, including 41 Gly-tRNA and 41 Ala-tRNA, twice as many as in the other two insects and consistent with the requirements for fibroin production.

Another well-studied silk-secreting arthropod is the spider. We compared those 1874 genes expressed in *B. mori* silk gland with all available spider data (1482 from GenBank) and identified 107 homologs, including four *B. mori* counterparts for the major ampullate gland peroxidase in spider, which is involved in silk fiber formation (17).

We found 87 neuropeptide hormones, hormone receptors, and hormone-regulation genes. *Drosophila melanogaster* and *Anopheles gambiae* have 101 and 73 such genes, respectively. For *B. mori*, 52 genes were unknown, and 35 others were previously

reported. Ecdysone oxidase and ecdysteroid UDP-glucosyl transferase (UGT) are implicated in ecdysone metabolism. We classified 20 UGT genes into five major clades (fig. S5), similar to the 34 UGT genes analyzed for *D. melanogaster* (18). Juvenile hormone (JH), ecdysone hormone (EH), and prothoracicotropic hormone (PTTH) work in coordination of ecdysis and metamorphosis. We identified 18 EH-sensitive receptors and receptor-like transcription factors. Four BRC Z4 genes contain intact DNA binding BTB domains. One has two additional zinc finger C2H2 type domains, with a zinc-coordinating cysteine pair and a histidine pair. These are involved in completing the larval-pupal transition, and later morphogenetic defects, or in programmed cell death of larval silk glands (19). We found many neuropeptide hormone genes too, like diapause hormone (DH), pheromone biosynthesis activating neuropeptide (PBAN), adipokinetic hormone (AKH), eclosion hormone, and bombyxin (4K-PTTH). In addition, diuretic hormone precursor and its receptor, allatotropin, and allatostatin were found. There was also a homolog to *Lymnaea stagnalis* neuropeptide Y precursor, a gene with pancreatic hormone activity that had not been detected in *D. melanogaster* and other insects and may therefore be new to silkworm.

Developmental genes for *D. melanogaster* have been extensively studied. We focused on 83 genes (20) that include 41 maternal genes, 12 gap genes, 9 pair-rule genes, 12 segment polarity genes, and 9 homeotic genes. The maternal genes are subdivided into four groups according to their function in patterning the early embryos (anterior, posterior, terminal, and dorsal-ventral). Only six genes [*oskar*, *swallow*, *trunk*, *fs(1)k10*, *gurken*, and *tube*], all from the maternal group, were not detected in *B. mori*. This confirms that the basic mechanism of development is largely conserved

Table 1. Number of predicted genes from *BGF*. We show the initial count, the number of erroneous predictions, and the gene count after likely errors are removed. There are four successive filters, which include rules to remove TEs and pseudogenes, as described in the SOM Text. The final gene count is computed as row 1 minus the sum of rows 2 to 5. Predictions are classified into single-exon genes, partial genes (no head = no start, no tail = no stop, neither) or complete genes. We correct for partial genes by stipulating that each is worth only half a gene. The final corrected gene count is then 18,510.

	Single exon	No head	No tail	Neither	Complete	All genes	Corrected
Total predicted	10,512	6,366	4,903	550	21,199	43,530	37,621
CDS < 100 bp or max exon score < 0.2	107	974	299	15	84	1,479	835
RepeatMasker TEs or copy number >10	7,334	2,233	2,111	124	7,575	19,377	17,143
Similarity to TE-associated proteins	132	71	68	7	294	572	499
Processed "single-exon" pseudogenes	314	146	179	8	153	800	634
Final annotated	2,625	2,942	2,246	396	13,093	21,302	18,510

across insects. It had been reported that *swallow* and *trunk* have no homologs in *A. gambiae*. We find that *tube* has no homolog in *A. gambiae*. Loss of the other three genes is interesting. Localization of the maternal determinant *oskar* at the posterior pole of the *D. melanogaster* oocyte provides positional information for pole plasm formation (21). *Gurken* encodes a ligand for *torpedo* (Egf-r), which triggers dorsal differentiation (22), whereas *fs(1)k10* is a probable negative regulator of *gurken* translation.

Lepidopteran wing patterning has stimulated a number of experimental studies. Although domesticated silkworm moths have long lost their ability to fly, as well as their colorful wing patterns, we expected that many of these genes would still be found in the sequence. We detected 18 silkworm homologs of wing-patterning genes from other Lepidoptera, primarily *Junonia coenia*. They include the *Distal-less* homeodomain gene, which affects eyespot number, positions, and sizes (23); *Ubx*, which represses *Distal-less* expression and leads to haltere formation in *D. melanogaster*, but may not act in the same manner in butterfly (24); Hh signaling pathway genes like *Hh*, *Ci*, *En*, and *Ptc*, which are important in eyespot focus formation; *Wg*, which plays a key role in band formation; and *EcR*, which is expressed in prospective eyespots and is coexpressed with *Distal-less* (25). Many of these genes are shared with the Diptera. Of

the 323 wing-development genes known in *D. melanogaster*, 300 are found in silkworm. Most are well conserved, in that 87% and 56% align at E-values of better than 10^{-20} and 10^{-50} .

Silkworm is a female-heterogametic organism (ZZ in male, ZW in female). Sex in *B. mori* is determined by a dominant feminizing factor on W, as compared to the intricate X:A counting system known in *D. melanogaster*. A homolog of the *D. melanogaster* sex-determining gene *dsx* has been isolated in *B. mori*. It is called *Bmdsx*. Although structural features and splice sites are conserved in these two genes, regulatory mechanisms are not (26). The splicing regulator *tra* was not identified in *B. mori*. Neither was the TRA/TRA2 binding site for *Bmdsx*, suggesting that the upstream sex-determining cascade for *B. mori* and *D. melanogaster* differ. However, homologs for most known sex-determining factors can be found. Among *daughterless* (*da*), *hermaphrodite* (*her*), *extra macrochaetae* (*emc*), *groucho* (*gro*), *sisterless A* (*sisA*), *scute* (*sc*), *outstretched* (*os*), *deadpan* (*dpn*), and *runt* (*run*) (27), homologs for *da*, *emc*, *gro*, *sc*, *dpn*, and *run* were identified in *B. mori*. For *D. melanogaster*, dosage compensation is known to equalize transcription of X-chromosome genes between sexes. At least six genes (*msl-1*, *msh-1*, *msh-2*, *msh-3*, *msh-4*, *msh-5*) are required, and of these, homologs of *msh-1*, *msh-2*, and *msh-3* were found in *B. mori*, despite the growing evidence for absence of Z-linked dosage compensation in *B. mori* (28). In these and other cases in which insect genes were not found in *B. mori*, we manually checked our automated procedures (see SOM Text). However, further experiments will be needed, given the incompleteness of the genome and the level of homology needed for detection.

Humoral immune factors together with wound healing, homeostasis, and adaptive

humoral immune responses are important components of immunity and defense in insects (29). We identified a total of 69 such genes, including 34 antibacterial genes, of which 23 appear to be newly identified. They encode the innate immune factors synthesized in fat bodies and hemocytes, which kill bacteria by permeabilizing their membranes. One of them is the Lepidopteran *moracin*, a highly alkaline antibacterial peptide initially isolated from *B. mori*. A new cluster of 8 *moracin* genes was found, with amino acid sequence identities of greater than 90% among members, but only 20% similarity to known *moracins*. *Defensins* specific to Gram-positive bacteria were found, as were *cecropins* (30). We detected a previously unknown class of *cecropins*. Other found genes related to insect defense include *lysozymes*, *hemolin*, *lectins*, and *prophenoloxidases*. As a member of the immunoglobulin (Ig) family, *hemolin* is unique to the Lepidoptera. *Lectins* are abundant, with 29 found in *B. mori*, compared to 35 and 22 in *D. melanogaster* and *A. gambiae* (31), respectively. We also identified three *prophenoloxidases*, of which two were previously known.

Lepidoptera are unusual because they have holocentric chromosomes with diffuse kinetochores. This characteristic is a potential driver of evolution because of the ability to retain chromosome fragments through many cell divisions. The nematode also has diffuse kinetochores, and five key chromosomal proteins are known (32, 33): *hcp-1*, *hcp-2*, *hcp-3*, *hcp-4*, and *hcp-6*. (The prefix *hcp* stands for "holocentric protein.") *Hcp-3* is detected in all eukaryotic centromeres, similar to histone H3 in its histone-fold domain, but dissimilar in its N-terminal region. It is also known as *Cse4p* in yeast, *Cid* in fruitfly, and *CENP-A* in human. Their proteins are highly diverged. The putative homolog in silkworm has only 23% identity to the histone-fold domain of *hcp-3*, but their lengths are similar: 268 amino acids for silkworm and 288 amino acids for nematode. There are many homologs of *hcp-1* and *hcp-2*—18 and 72, to be specific—making it difficult to determine which ones might be the true orthologs. We could not find a homolog for *hcp-4*, but we did identify a homolog for a related gene that is known as *CENP-C* and was previously found in human, mouse, and chicken. Finally, we were not able to identify the silkworm homolog for *hcp-6*.

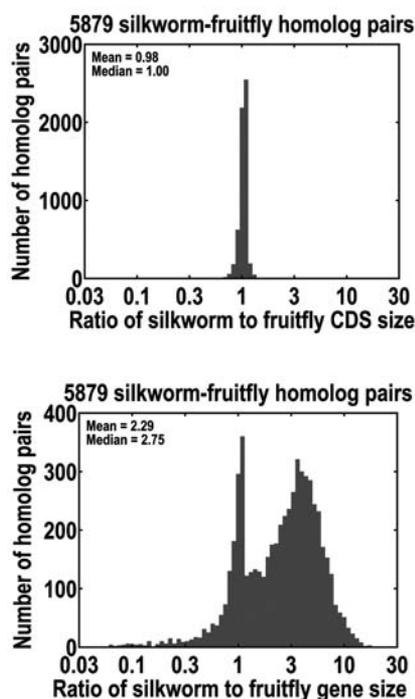


Fig. 1. Comparison of gene size in silkworm-fruitfly orthologs. We use reciprocal best matches, and calculate a ratio over the aligned portion. Size is shown with (gene size) or without (CDS size) introns. The minor peak is due to single-exon alignments.

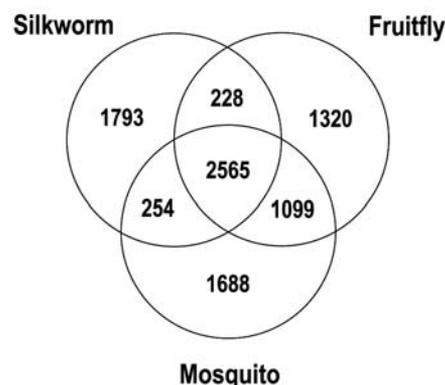


Fig. 2. InterPro domain clusters shared among or unique to all possible combinations of silkworm, fruitfly, and mosquito. Clusters are constructed with the algorithm detailed in table S8, which is based on a similar earlier analysis (14).

References and Notes

1. Y. Zhou, *General Entomology* (High Education Publication House, Beijing, ed. 2, 1958).
2. M. R. Goldsmith, in *Molecular Model Systems in the Lepidoptera*, M. R. Goldsmith, A. S. Wilkins, Eds. (Cambridge Univ. Press, Cambridge, 1995), pp. 21–76.

3. H. Doira, H. Fujii, Y. Kawaguchi, H. Kihara, Y. Banno, *Genetic Stocks and Mutations of Bombyx mori* (Institute of Genetic Resources, Kyushu University, Japan, 1992).
4. M. R. Goldsmith, T. Shimada, H. Abe, *Annu. Rev. Entomol.* 10.1146/annurev.ento.50.071803.130456 (2004).
5. C. Wu, S. Asakawa, N. Shimizu, S. Kawasaki, Y. Yasukochi, *Mol. Gen. Genet.* 261, 698 (1999).
6. K. Mita *et al.*, *Proc. Natl. Acad. Sci. U.S.A.* 100, 14121 (2003).
7. K. Mita *et al.*, *DNA Res.* 11, 27 (2004).
8. J. Wang *et al.*, *Nucleic Acids Res.*, in press.
9. J. Yu *et al.*, *Science* 296, 79 (2002).
10. M. D. Adams *et al.*, *Science* 287, 2185 (2000).
11. R. A. Holt *et al.*, *Science* 298, 129 (2002).
12. H. Abe *et al.*, *Mol. Gen. Genet.* 263, 916 (2000).
13. W. H. Li, *Molecular Evolution* (Sinauer, Sunderland, MA, 1997).
14. M. W. Gaunt, M. A. Miles, *Mol. Biol. Evol.* 19, 748 (2002).
15. G. M. Rubin *et al.*, *Science* 287, 2204 (2000).
16. K. Grzelak, *Comp. Biochem. Physiol. B Biochem. Mol. Biol.* 110, 671 (1995).
17. N. N. Pouchkina, B. S. Stanchev, S. J. McQueen-Mason, *Insect Biochem. Mol. Biol.* 33, 229 (2003).
18. T. Luque, D. R. O'Reilly, *Insect Biochem. Mol. Biol.* 32, 1597 (2002).
19. M. Uhlir *et al.*, *Proc. Natl. Acad. Sci. U.S.A.* 100, 15607 (2003).
20. T. Brody, *Trends Genet.* 15, 333 (1999); <http://flybase.bio.indiana.edu/allied-data/lk/interactive-fly>.
21. N. F. Vanzo, A. Ephrussi, *Development* 129, 3705 (2002).
22. S. Roth, F. S. Neuman-Silberberg, G. Barcelo, T. Schupbach, *Cell* 81, 967 (1995).
23. P. Beldade, P. M. Brakefield, A. D. Long, *Nature* 415, 315 (2002).
24. W. O. McMillan, A. Monteiro, D. D. Kapan, *Trends Ecol. Evol.* 17, 125 (2002).
25. P. B. Koch, R. Merk, R. Reinhardt, P. Weber, *Dev. Genes Evol.* 212, 571 (2003).
26. M. G. Suzuki, F. Ohbayashi, K. Mita, T. Shimada, *Insect Biochem. Mol. Biol.* 31, 1201 (2001).
27. C. Schutt, R. Nothiger, *Development* 127, 667 (2000).
28. M. G. Suzuki, T. Shimada, M. Kobayashi, *Heredity* 81, 275 (1998).
29. A. B. Mulnix, P. E. Dunn, in *Molecular Model Systems in the Lepidoptera*, M. R. Goldsmith, A. S. Wilkins, Eds. (Cambridge Univ. Press, Cambridge, 1995), pp. 369–395.
30. H. Steiner, D. Hultmark, A. Engstrom, H. Bennich, H. G. Boman, *Nature* 292, 246 (1981).
31. G. K. Christophides *et al.*, *Science* 298, 159 (2002).
32. L. L. Moore, M. B. Roth, *J. Cell Biol.* 153, 1199 (2001).
33. J. H. Stear, M. B. Roth, *Genes Dev.* 16, 1498 (2002).
34. This project was supported by Chinese Academy of Sciences, National Development and Reform Commission, Ministry of Science and Technology, National Natural Science Foundation of China, Ministry of Agriculture, Chongqing Municipal Government, Beijing Municipal Government, Zhejiang Provincial Government, Hangzhou Municipal Government, and Zhejiang University. Additional funding came from National Human Genome Research Institute (grant 1 P50 HG02351).

Supporting Online Material
www.sciencemag.org/cgi/content/full/306/5703/1937/DC1
 SOM Text
 Figs. S1 to S5
 Tables S1 to S10
 1 July 2004; accepted 20 October 2004
 10.1126/science.1102210

By Carrot or by Stick: Cognitive Reinforcement Learning in Parkinsonism

Michael J. Frank,^{1*} Lauren C. Seeberger,² Randall C. O'Reilly^{1*}

To what extent do we learn from the positive versus negative outcomes of our decisions? The neuromodulator dopamine plays a key role in these reinforcement learning processes. Patients with Parkinson's disease, who have depleted dopamine in the basal ganglia, are impaired in tasks that require learning from trial and error. Here, we show, using two cognitive procedural learning tasks, that Parkinson's patients off medication are better at learning to avoid choices that lead to negative outcomes than they are at learning from positive outcomes. Dopamine medication reverses this bias, making patients more sensitive to positive than negative outcomes. This pattern was predicted by our biologically based computational model of basal ganglia–dopamine interactions in cognition, which has separate pathways for “Go” and “NoGo” responses that are differentially modulated by positive and negative reinforcement.

Should you shout at your dog for soiling the carpet or praise him when he does his business in the yard? Most dog trainers will tell you that the answer is both. The proverbial “carrot-and-stick” motivational approach refers to the use of a combination of positive and negative reinforcement: One can persuade a donkey to move either by dangling a carrot in front of it or by striking it with a stick. Both carrots and sticks are important for instilling appropriate behaviors in humans. For instance, when mulling over a decision, one considers both pros and cons of

various options, which are implicitly influenced by positive and negative outcomes of similar decisions made in the past. Here, we report that whether one learns more from positive or negative outcomes varies with alterations in dopamine levels caused by Parkinson's disease and the medications used to treat it.

To better understand how healthy people learn from their decisions (both good and bad), it is instructive to examine under what conditions this learning is degraded. Notably, patients with Parkinson's disease are impaired in cognitive tasks that require learning from positive and negative feedback (1–3). A likely source of these deficits is depleted levels of the neuromodulator dopamine in the basal ganglia of Parkinson's patients (4), because dopamine plays a key role in reinforcement learning processes in animals (5). A simple prediction of this

account is that cognitive performance should improve when patients take medication that elevates their dopamine levels. However, a somewhat puzzling result is that dopamine medication actually worsens performance in some cognitive tasks, despite improving it in others (6, 7).

Computational models of the basal ganglia–dopamine system provide a unified account that reconciles the above pattern of results and makes explicit predictions about the effects of medication on carrot-and-stick learning (8, 9). These models simulate transient changes in dopamine that occur during positive and negative reinforcement and their differential effects on two separate pathways within the basal ganglia system. Specifically, dopamine is excitatory on the direct or “Go” pathway, which helps facilitate responding, whereas it is inhibitory on the indirect or “NoGo” pathway, which suppresses responding (10–13). In animals, phasic bursts of dopamine cell firing are observed during positive reinforcement (14, 15), which are thought to act as “teaching signals” that lead to the learning of rewarding behaviors (14, 16). Conversely, choices that do not lead to reward [and aversive events, according to some studies (17)] are associated with dopamine dips that drop below baseline (14, 18). Similar dopamine-dependent processes have been inferred to occur in humans during positive and negative reinforcement (19, 20). In our models, dopamine bursts increase synaptic plasticity in the direct pathway while decreasing it in the indirect pathway (21, 22), supporting Go learning to reinforce the good choice. Dips in dopamine have the opposite effect, supporting NoGo learning to avoid the bad choice (8, 9).

A central prediction of our models is that nonmedicated Parkinson's patients are impaired at learning from positive feedback (bursts of dopamine; “carrots”), because of reduced levels of dopamine. However, the

¹Department of Psychology and Center for Neuroscience, University of Colorado Boulder, Boulder, CO 80309–0345, USA. ²Colorado Neurological Institute Movement Disorders Center, Englewood, CO 80113, USA.

*To whom correspondence should be addressed. E-mail: frankmj@psych.colorado.edu (M.J.F.); oreilly@psych.colorado.edu (R.C.O.).