IQPNNI version 3.3 - November 2008

Important Quartet Puzzling and Nearest Neighbor Interchange

User Manual

Please read carefully before using IQPNNI the first time!

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1 Introduction

IQPNNI is a computer program to reconstruct the evolutionary relationships among contemporary species based on DNA, protein, or protein-coding sequences. In case of protein-coding sequences, several codon models are implemented for inferring positive selection.

IQPNNI is a command-line and menu-driven program which allows users to specify the parameter values or let the program estimate them from the input data (a nucleotide or amino acid alignment in PHYLIP format). The options are classified into four main groups, general options, IQP options, substitution process options, and rate heterogeneity options.

IQPNNI is available free of charge from

http://www.cibiv.at/software/iqpnni/

IQPNNI is written in C++. It will run on most personal computers and workstations if compiled by a C++ compiler. Please read the *Installation* section 7 for more details. We suggest that this documentation should be read before using IQPNNI the first time. To find out what's new in the current version please read the *Version History* section 8.

Important Notice:

In this new **version 3.3**, IQPNNI supports **easier non-parametric bootstrap** (see Section 4.1) and fixes some important bugs. Therefore, we strongly recommend you to download and install this new version.

Since version 3.2, the option "Number of iterations" is changed to "Minimum number of iterations", meaning that the program will run at least the specified number of iterations, no matter if the stopping rule is applied or not. This is to avoid the behavior that IQPNNI stops so early that does not guarantee to find a good tree. Moreover, another option with maximum number of iterations is also added, to avoid cases where IQPNNI runs "forever" since the stopping rule suggest too many number of iterations. For more details see Section 4 and 5.

Since **version 3.1**, IQPNNI is extended to work on protein-coding sequences. In such cases, it will first consider the data as DNA and reconstruct a tree based on the HKY85 model. Then IQPNNI turns the alignment into codon-frames and estimates codon model parameters based on the reconstructed tree. Finally it infers sites under positive selection using Yang's empirical Bayesian method. For more details see Section 8.

2 Methods

To cite the program please use the following papers:

- General method: Vinh and von Haeseler (2004) IQPNNI: Moving fast through tree space and stopping in time, *Mol. Biol. Evol.* **21(8)**:1565-1571 http://dx.doi.org/10.1093/molbev/msh176dd
- MPI parallelization: Minh, Vinh, von Haeseler and Schmidt (2005) pIQPNNI parallel reconstruction of large maximum likelihood phylogenies. *Bioinformatics* 21(19):3794-3796

http://dx.doi.org/10.1093/bioinformatics/bti594

- OpenMP and hybrid MPI/OpenMP parallelization: Minh, Vinh, Schmidt and von Haeseler (2006) Large maximum likelihood trees. In *Proceedings of the 3rd NIC Symposium 2006*, pp. 357–365, Forschunungszentrum Jülich, Germany. http://www.fz-juelich.de/nic-series/volume32/minh.pdf
- Inference of positive selection: please cite this manual.

3 Main features

- Reconstructing maximum likelihood tree on DNA or protein alignment.
- Supporting various substitution models for nucleotide, amino-acid, and codon w/o rate heterogeneity.
- (NEW in ver. 3.3, see Section 4.1) Resampling the alignment **once** by non-parametric bootstrap and constructing an ML tree from the resampled alignment.
- Providing parallel version with MPI and OpenMP.
- Inferring positively selected sites on protein-coding alignment.
- Inferring site-specific rates under Gamma, Gamma+Invar, or Meyer and von Haeseler model.
- Evaluating a user-defined tree.

4 Command-line options

Since version 3.0, users can specify parameters through a set of command-line options, which are extremely useful to start a batch job. Run 'iqpnni -h' to print out a short description of available options:

WELCOME TO IQPNNI 3.3 (sequential version)

Syntax: iqpnni [OPTIONS] [Filename]

GENERAL OPTIONS: -h, -? print this help dialog -n <min_iterations> make the main loop to at least min_iterations either on, off or max <max_iterations>; defaut is off -s <stopping_rule> -u <user_tree> read the starting tree from user_tree file -bs construct a bootstrap tree by resampling the alignment -prefix <prefix_out> set prefix of output files, default is aln name -sfc start from scratch, don't load the check point file -ni don't prompt for user option IOP OPTIONS: -p <probability> set the probability of deleting a sequence -k <representatives> set the number of representatives MODEL OPTIONS: -m <model> set the model type for: Nucleotides: JC69, K2P, F81, HKY85, TN93, GTR Amino acids: WAG, Dayhoff, JTT, VT, mtREV, rtREV, Blosum Protein-coding DNA: GY94, YN98, NY98, CP98, CGTR, CPR Otherwise: Name of file containing user protein model either uniform, gamma, igamma or sitespec -w <rate_type> number of rate categories, for gamma and igamma only -c <num_rate> OTHER OPTIONS: use <pam_file> for parameter input (instead of stdin) -param <pam_file> -seed <number> set random number generator seed to <number> -wsl write site log-likelihood to .sitelh (PHYLIP-like) write pattern log-likelihood to .patlh -wpl

-con turn on writing .treels, off by default

You can specify some options first with the command line, and then change again using the text-menu interface. IQPNNI will start as follows: First, the 'input_file.iqpnni.checkpoint' file is read if this file is available and the '-sfc' option is NOT specified. If the last run on this alignment was NOT finished, the parameters recorded in the checkpoint file will be loaded and all the command line options will be omitted. In this case, you will see some printout like:

The program was not done from the last run! Load parameters from the checkpoint file...

IQPNNI now displays the menu and waits for user input if option '-ni' is not specified, otherwise it starts the computation directly.

4.1 General options

-n min_iterations and -s stopping_rule

These two options are not independent except you specify '-s off'. In any case, IQPNNI will loop at least a number of min_iterations. If you set '-s on', the program will automatically estimate the number of iterations required to ensure that with a 95% confidence, further search will not detect a better tree. If you set '-s max max_iterations', IQPNNI will always stop after max_iterations, even if the stopping rule suggests more iterations. By '-s max 0', it will set max_iterations to 10 times of min_iterations.

If '-n 0' is specified, IQPNNI will only evaluate ML branch lengths of the starting tree (either BioNJ tree or user-tree), no topology rearrangement is perform.

-u user_tree

Instead of starting the search from BioNJ tree, IQPNNI will make use of the tree from **user_tree** file in Newick format. The branch lengths of this tree will be ignored, but the topology will be used to estimate the model parameters and also reestimate the branch lengths.

-bs

The orginal alignment will be randomly resampled **once** by **non-parametric bootstrap**. The tree will be reconstructed from this resampled alignment. Note that this is NOT a full bootstrap analysis. You will have to run IQPNNI n times with **-bs** and **-prefix prefix_out** (see bellow) to obtain n bootstrap trees. Then, use another program like TREE-PUZZLE to construct a consensus tree from these n bootstrap trees.

-prefix prefix_out

All the output file names will apply this **prefix_out**, instead of using the default alignment name for the prefix. This option is very handy when combined with **-bs** to construct several resampling trees from a bootstrap analysis, so that the output files will not be overwritten. Following is a small bash script under Linux to do a full bootstrap analysis using IQPNNI and TREE-PUZZLE (the script should be adapted before real usage):

```
#! /bin/bash
n=100
filename=alignment.phy
#first, run iqpnni n times
for ((i=1; i<=n; i++)); do
        iqpnni $filename -ni -bs -prefix bs-$i
done
#concatenate all resulting trees into a big file
```

```
cat bs-*.treefile > $filename.bstrees
```

```
#now call TREE-PUZZLE to to construct a consensus tree
puzzle -consmrel $filename $filename.bstrees
#NOTE: Choose the option to build a consensus tree from puzzle menu
```

-sfc

This tells the program not to load the checkpoint file to prevent IQPNNI from recovering from an interruption.

-ni

This is helpful to start a batch job. The parameters will be displayed again but the program will not prompt for user input and just start the computation directly.

4.2 IQP options

-p probability and -k representatives

These two options are concerned with the original IQP algorithm, see Vinh and von Haeseler (2004); Minh *et al.* (2005) for more details. In short, IQPNNI iterates through a number of steps to search the tree space. In each step, several taxa are randomly pruned away from the current best tree. The proportion of deleted leaves is determined by the option '-p probability'. Then these leaves will be reinserted into the tree in a random order following the IQP algorithm, which takes '-k representatives' parameter into account. This full tree will be rearranged according to the NNI algorithm, resulting in an intermediate tree. If this intermediate tree shows a better likelihood, the current best tree will be updated. This finishes one iteration of the IQPNNI algorithm.

4.3 Model options

-m model

For DNA alignment the following models are implemented:

- JC69 (Jukes and Cantor, 1969).
- K2P (Kimura, 1980).
- F81 (Felsenstein, 1981).
- HKY85 (Hasegawa *et al.*, 1985).
- TN93 (Tamura and Nei, 1993).

• GTR - General Time Reversible (e.g., Tavaré, 1986).

For protein alignment:

- Dayhoff (Dayhoff *et al.*, 1978).
- JTT (Jones *et al.*, 1992).
- VT (Müller and Vingron, 2000).
- mtREV (Adachi and Hasegawa, 1996).
- WAG (Whelan and Goldman, 2001).
- rtREV (Dimmic *et al.*, 2002).
- BLOSUM62 (Henikoff and Henikoff, 1992).
- User-defined protein model (see Section 4.3.2).

Note that the BLOSUM62 matrix should better not be used for phylogenetic reconstruction, because it was constructed for database searches and does not reflect an evolutionary process.

For codon models:

- NY98 (Nielsen and Yang, 1998; Yang *et al.*, 2000): to infer positive selection. Submodels include:
 - M0 (One ratio): same as YN98.
 - M1 (Neutral).
 - M1a (Nearly neutral).
 - M2 (Selection).
 - M2a (Positive selection).
 - M3 (Discrete): default model.
- YN98 (Yang and Nielsen, 1998): special case of NY98 with 1 Ns/Sy category.
- GY94 (Goldman and Yang, 1994).
- CP98 (Pedersen et al., 1998): model incorporating CpG depression.
- CGTR: GTR version of nucleotide for codon (unpublished).

4.3.1 Rate heterogeneity

The program can also assume rate heterogeneity. Users can either choose uniform rate over all sites (rate homogeneity, default), site-specific substitution rates based on the model from (Meyer and von Haeseler, 2003), Gamma distributed rates, or Gamma+Invariable rates. Note that rate heterogeneity is only allowed for DNA and protein data.

-w rate_type

- uniform: the default homogeneous site rate model.
- gamma: site rates follow a discrete gamma distribution (Yang, 1994).
- igamma: site rates follow a discrete gamma distribution plus one category of zero rate.
- sitespec: site-specific rates follow the model in Meyer and von Haeseler (2003).

Note that for '-w sitespec' option, the tree is first reconstruced based on uniform rate model. In the second phase, this tree topology is used to infer site-specific rates until convergence. The procedure is described in Meyer and von Haeseler (2003).

-c num_rate

The number of gamma rate categories if '-w gamma' or '-w igamma' is specifed. Default value is 4.

4.3.2 User-defined protein model

User-defined protein model can be given with '-m filename'. An example file which defines the cpREV model (Adachi *et al.*, 2000) is:

105																
227	357															
175	43	4435														
669	823	538	10													
157	1745	768	400	10												
499	152	1055	3691	10	3122											
665	243	653	431	303	133	379										
66	715	1405	331	441	1269	162	19									
145	136	168	10	280	92	148	40	29								
197	203	113	10	396	286	82	20	66	1745							
236	4482	2430	412	48	3313	2629	263	305	345	218						
185	125	61	47	159	202	113	21	10	1772	1351	193					
68	53	97	22	726	10	145	25	127	454	1268	72	327				
490	87	173	170	285	323	185	28	152	117	219	302	100	43			
2440	385	2085	590	2331	396	568	691	303	216	516	868	93	487	1202		
1340	314	1393	266	576	241	369	92	32	1040	156	918	645	148	260	2151	

230 435 69 468 73 29 14 40 18 53 63 82 42 159 10 86 49 754 56 323 281 1466 142 10 1971 189 215 2370 97 522 71 346 391 89 247 119 968 92 83 75 592 54 200 91 25 4797 865 249 475 317 122 167 760 10 0.0755 0.0621 0.0410 0.0371 0.0091 0.0382 0.0495 0.0838 0.0246 0.0806 0.1011 0.0504 0.0220 0.0506 0.0431 0.0622 0.0543 0.0181 0.0307 0.0660

The format is following. The first 19 lines describe the bellow triangle of the amino acid replacement matrix. Then comes a list of 20 amino acid frequencies. The rest of file will be ignored. The order of amino-acids is:

Α R Ν D С Ŋ Е G Η Ι L Κ М F Ρ S Т W Y V Ala Arg Asn Asp Cys Gln Glu Gly His Ile Leu Lys Met Phe Pro Ser Thr Trp Tyr Val

4.4 Other options

Other options are easily to understand from the help dialog.

5 Text-menu options

GENERAL OPTIONS Construct a sample tree by bootstrap? No z Display as outgroup? FL-1-103 0 Minimum number of iterations? 200 n Stopping rule? No, stop after 200 iterations S IQP OPTIONS Probability of deleting a sequence? 0.5 р Number representatives? 4 k SUBSTITUTION PROCESS d Type of sequence input data? Nucleotides m Model of substitution? HKY85 (Hasegawa et al. 1985) Ts/Tv ratio (0.5 for JC69)? Estimate from data t f Base frequencies? Estimate from data RATE HETEROGENEITY Model of rate heterogeneity? Uniform rate r quit [q], confirm [y], or change [menu] settings:

In the following the available options will be briefly introduced.

5.1 General options

- Option 'z': Switch between reconstructing tree from the orignal alignment (default) or from a randomly resampled alignment using non-parametric bootstrap.
- Option 'o': Users can specify a sequence as the outgroup sequence. The final tree with the highest likelihood will be rooted with respect to the outgroup sequence.
- Option 'n': Users can specify the minimum number of iterations or use the default value.
- Option 's': Users can choose one of three possibilities to stop the program.
 - The first possibility is "s Stopping rule? No, stop after 'n' iterations" It means that the program will stop after 'n' iterations.
 - 2. The second possibility is

```
"s Stopping rule (if applicable)? Yes"
```

It means that the program will stop and output the optimal tree with 95% confidence if at least three better trees found during the search, otherwise it will stop after 'n' iterations.

3. The third possibility is

"s Stopping rule (if applicable)? Yes, and at most 'max' iterations" It is similar to the second possibility, but the program will run at most 'max' iterations.

5.2 IQP options

- Option 'p': Users can specify the probability of deleting a sequence or let the program estimate it from the input data.
- Option 'k': One can specify number of representatives leaves for a rooted tree. However, we strongly recommend to use the default value.

See Section 4.2 for more details of these parameters.

5.3 Substitution process

- Option 'd': Users must specify the type of sequence input data: Nucleotides, Amino acids, or Protein-coding DNA.
- Option 'm': To switch among substitution models.

The subsequent options depend on the type of data and model selected. For DNA models the following options are available:

- Option 'f': Users can specify the base frequencies or let the program estimate them from the input data.
- Option 't': If HKY85 or TN93 model are chosen, users can specify the transition/transversion ratio (between 0.2 and 32.0) or let the program estimate it from the input data (default).
- Option 'u': For the TN93 model users can also enter the py/pu ratio (the ratio of pyrimidine transition rate to purine transition rate) between 0.2 and 32.0, or let the program estimate it from the input data (default).
- Option 'g': If users choose GTR model, they can specify six different rate parameters:
 - 1. Transversion rate from A to C,
 - 2. Transition rate from A to G,
 - 3. Transversion rate from A to T,
 - 4. Transversion rate from C to G,
 - 5. Transition rate from C to T,
 - 6. Transversion rate from G to T,
 - or let the program estimate them from the input data.

For protein models:

• Option 'f': Users can specify the amino-acid frequencies from the default frequencies of the corresponding protein model or let the program estimate them from the input data.

For codon models:

- Option 'f': Users can let the program estimate codon frequencies from the input data with one of following types: Codon table (default), Equal, F1x4 or F3x4.
- Option 't': Users can specify the transition/transversion ratio (between 0.2 and 32.0) or let the program estimate it from the input data (default).
- Option 'w': If NY98 model is chosen, users can specify the type of submodels (see Section 4.3).
- Option 'g': If NY98 model and 'Discrete' submodel are chosen, users can specify the number of Nonsynonymous/Synonymous classes. Default value is 3.

5.4 Rate heterogeneity

- Option 'r': To switch among 3 types: Uniform rate, Gamma distributed rate, and site specific rate.
- Option 'a': If users choose Gamma distributed rate, they can specify the Gamma distribution shape parameter alpha (between 0.1 and 100.0) or let IQPNNI program estimate it from the input data (default).
- Option 'c': If users choose Gamma distributed rates, they can specify a number of Gamma rate categories between 2 and 32. The default is 4.
- Option 'i': To specify the proportion of invariable sites among No (default), Estimate from data, or a user-defined value.

6 Output files

Running results as well as input parameters are summarized in PREFIX.iqpnni. PREFIX is by default the input alignment file name. However, if -prefix <prefix_out> option is specified, PREFIX will be assigned with <prefix_out>.

Resulting tree will be written to PREFIX.iqpnni.treefile in Newick format.

If Gamma, Gamma+I, or Meyer and von Haeseler's site-specific model is used, the rates for each alignment position will be written to PREFIX.iqpnni.rate.

IQPNNI will also create several files:

PREFIX.iqpnni.bionj - BioNJ tree, in Newick format.

PREFIX.iqpnni.treels - List of all intermediate trees, if option -con is specified.

PREFIX.iqpnni.dist - Maximum likelihood distance matrix based on the specified model, in Phylip format.

PREFIX.iqpnni.sitelh - Site likelihood, if option -wsl is specified.

PREFIX.iqpnni.patlh - Pattern frequency and likelihood, if option -wpl is specified.

PREFIX.iqpnni.checkpoint - program current parameters, will be loaded in case of a crash or interruption.

PREFIX.iqpnni.prediction - is used internally by the stopping rule. This file is necessary for recovering from crash or interruption.

PREFIX.iqpnni.bootsample - the bootstrap alignment resampled from the original alignment, if option -bs is specified. This file is also necessary for recovering from crash or interruption.

7 Installation

See below for information how to install/build the different versions of the IQPNNI software. Executable versions of the sequential, that is, non-parallel program are intended for a number of operating systems. The parallel program (pIQPNNI) has to be built from the sources, as it depends on the MPI library locally installed in your system.

7.1 Sequential Version - Binary release

- You might want to download the executable version of IQPNNI for your operating system if it is available (iqpnni-XXX-OS.tar.gz or iqpnni-XXX-OS.zip, where XXX is the current version number and OS the operating system) from http://www.cibiv.at/software/iqpnni
- 2. Extract the files (e.g., with tar xvzf iqpnni-XXX-OS.tar.gz under Unix) This should create a directory iqpnni-XXX.
- 3. You will find the executable in iqpnni-XXX/src This executable you should rename to iqpnni (or iqpnni.exe on Windows systems) and copy it to your system's search path such that it is found by your system.

If you encounter problems, please ask your local administrator for help.

7.2 Sequential Version - Source package

To build IQPNNI from the sources you need a C++ compiler installed (This is usually the case on UNIX/Linux systems. For Windows you might want to obtain CygWin/MinWG/MS Visual C++ or XCode for MacOSX). Then you can follow the procedure below:

- Download the current version of the software (iqpnni-XXX.tar.gz or iqpnni-XXX.zip, where XXX is the current version number) from http://www.cibiv.at/software/iqpnni
- 2. Extract the files (e.g., with tar xvzf iqpnni-XXX.tar.gz under Unix) This should create a directory iqpnni-XXX.
- 3. Change into this directory.
- 4. To compile the program, type the following:

./configure

This should configure the package for the build. You might also refer to the INSTALL file for more (general) details.

make

This compiles and builds the executable iqpnni (or iqpnni.exe on Windows systems) to be found in the src directory. This executable can copied to your system's search path such that it is found by your system or it can be installed to the default destination (e.g., /usr/local/bin on UNIX/Linux) using

make install

If you encounter problems, please ask your local administrator for help.

7.3 Parallel Version - Binary release

There will be no binary version of the parallel program because it depends on the MPI library you have installed locally.

7.4 Parallel Version - Source package

To build the MPI-parallel version of IQPNNI (pIQPNNI) you need a functional C++ compiler installed (This is usually the case on UNIX/Linux systems. For Windows you might want to obtain CygWin or XCode for MacOSX). In addition you have to install an implementation of the MPI (Message Passing Interface) library. There is a list of (free) implementations at http://www.lammpi.org/mpi/implementations/ available.

Then you can follow the procedure below:

- Download the current version of the software (iqpnni-XXX.tar.gz or iqpnni-XXX.zip, where XXX is the current version number) from http://www.cibiv.at/software/iqpnni
- 2. Extract the files (e.g., with tar xvzf iqpnni-XXX.tar.gz under Unix) This should create a directory iqpnni-XXX.
- 3. Change into this directory.
- 4. To compile the program, you have to run the configure script with the environment variable CXX set to the MPI-C++ compiler of your local MPI implementation and turn on the preprocessor directive PARALLEL, e.g.

This should configure the package for the build using mpiCC as the C++ compiler. You might also want to refer to the INSTALL file for more (general) details.

make

This compiles and builds the executable iqpnni (or iqpnni.exe on Windows systems) to be found in the src directory. This executable should be renamed to piqpnni and copied to your system's search path such that it is found by your system.

5. To run the parallel version please refer to the documentation of your locally installed MPI implementation and/or ask your local system administrator.

If you encounter problems, please ask your local administrator for help.

8 Version History

Version 3.3

- 1. Resample the original alignment by bootstrap and construct the tree from the resampled alignment.
- 2. By default do not write .treels file. Use "-con" to turn it on again.
- 3. Print site and pattern log-likelihood with "-wsl" and "-wpl" option.
- 4. New "-prefix" and "-param" options.
- 5. Code cleanup.
- 6. Fix some important bugs: incorrect master-worker communication in parallel version (reported by Oliver Mirus), nummerical overflow in stopping rule prediction, vector overflow in ClusterArr class, and others.

Version 3.2

- 1. Rewritten user manual.
- 2. Change "number of iterations" to "minimum number of iterations".
- 3. Addition of maximum number of iterations.
- 4. GTR model rates are scaled such that the rate from G to T is equal to 1.
- 5. For G+I model, initialize proportion of invariable sites to the number of constant sites.
- 6. Check identical sequences.

Version 3.1

- 1. Codon model: The program goes through two stages. At first the tree is reconstructed based on HKY model for DNA. Then it applies codon model for inference of positively selected sites.
- 2. Gamma + Invariable sites rate heterogeneity.

- 3. Site-specific rates (Meyer and von Haeseler, 2003) improved. Also write out siterates based on empirical bayesian if gamma rate is specified.
- 4. New protein models: rtREV (Dimmic *et al.*, 2002), user-defined model by a file containing amino-acid replacement rates and frequencies.
- 5. Warning if number of iterations is too small as recommended by the stopping rule.
- 6. New command line options.
- 7. Bugs fixed:
 - Zero state frequencies: they are now replaced by a very small number.
 - Checkpoint: now correctly recovered from stopped point.
 - Restriction on number of sites: from limit 100,000 to unlimited now.
- 8. Bugs identified:
 - Parallel version on Infiniband system under MPICH.

Version 3.0.1

- 1. Zero iteration: if user specifies number of iterations to be zero, the program will only evaluate the starting tree (either BIONJ or user-defined tree) by optimizing model parameters and branch lengths.
- 2. Triplet tree: the program can now run on alignment of just 3 sequences.
- 3. Scaling technique to avoid numerical underflow on large datasets. It now can stably analyze alignments with more than 1,000 sequences.
- 4. At least twice faster than v3.0. The "long double" datatype is replaced by "double", making it more compatible to most computers.
- 5. Memory consumption is reduced at least by half by a new mechanism of storing conditional likelihood vector.
- 6. New eigensystem adapted to reversible instantaneous rate matrix.

Version 3.0.beta1

- 1. The program now runs at least twice faster (applying Newton's method instead of Brent's algorithm and some other algorithmic means).
- 2. Running in Parallel with Message Passing Interface (MPI).
- NOTE The option to change rate heterogeneity is now 'r' instead of 'w'. The stopping rule is now switched off by default, which can be changed using the 's' option.

Version 2.6

- 1. General Time Reversible model of evolution.
- 2. Site-specific substitution rates.
- 3. Check point: If the program was crashed or stopped by users, it can continue from the last stopped point.

Credits

Some parts of the code were taken from TREE-PUZZLE package (Schmidt *et al.*, 2002). The source code to construct the BIONJ tree were taken from BIONJ software (Gascuel, 1997).

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