

1 **The spread of pESI-mediated extended-spectrum cephalosporin**
2 **resistance in *Salmonella* serovars - Infantis, Senftenberg, and**
3 **Alachua isolated from food animal sources in the United States**

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17 **Abstract**

18 The goal of this study is to investigate the origin, prevalence, and evolution of the pESI
19 megaplasmid in *Salmonella* isolated from animals, foods, and humans. We queried 510,097
20 *Salmonella* genomes under the National Center for Biotechnology Information (NCBI) Pathogen
21 Detection (PD) database for the presence of potential sequences containing the pESI plasmid in
22 animal, food, and environmental sources. The presence of the pESI megaplasmid was confirmed
23 by using seven plasmid-specific markers (*rdA*, *piL*, *SogS*, *TrbA*, *ipf*, *ipr2* and
24 *IncFIB*(pN55391)). The plasmid and chromosome phylogeny of these isolates was inferred from
25 single nucleotide polymorphisms (SNPs). Our search resolved six *Salmonella* clusters carrying
26 the pESI plasmid. Four were emergent *Salmonella* Infantis clusters, and one each belonged to
27 serovar Senftenberg and Alachua. The Infantis cluster with a pESI plasmid carrying *bla*_{CTX-M-65}
28 gene was the biggest of the four emergent Infantis clusters, with over 10,000 isolates. This
29 cluster was first detected in South America and has since spread widely in United States. Over
30 time the composition of pESI in United States has changed with the average number of
31 resistance genes showing a decrease from 9 in 2014 to 5 in 2022, resulting from changes in gene
32 content in two integrons present in the plasmid. A recent and emerging cluster of Senftenberg,
33 which carries the *bla*_{CTX-M-65} gene and is primarily associated with turkey sources, was the
34 second largest in the United States. SNP analysis showed that this cluster likely originated in
35 North Carolina with the recent acquisition of the pESI plasmid. A single Alachua isolate from
36 turkey was also found to carry the pESI plasmid containing *bla*_{CTX-M-65} gene. The study of the
37 pESI plasmid, its evolution and mechanism of spread can help us in developing appropriate
38 strategies for the prevention and further spread of this multi-drug resistant plasmid in *Salmonella*
39 in poultry and humans.

40 **Introduction**

41 Non-typhoidal *Salmonella* is a leading cause of foodborne illness in the United States (1).
42 Salmonellosis is usually self-limited without requiring medical treatment. However,
43 cephalosporins and ciprofloxacin are generally recommended to treat people with severe
44 infections or people with increased risk of invasive infection (2). The rise of multidrug resistance
45 (MDR) in *Salmonella* represents a special challenge to choosing antimicrobial treatment options
46 and their efficacy.

47 Antimicrobial resistance (AMR) genes are often located on plasmids and other mobile
48 genetic elements that serve as vehicles for the spread of AMR genes between bacterial strains
49 and genera (3). In 2014, an extended spectrum cephalosporin-susceptible,
50 emergent *Salmonella* Infantis (ESI) was reported in Israel. It carried a chromosomal mutation on
51 `gyrA` gene conferring resistance to quinolones and a MDR megaplasmid (~280 kb), which was
52 designated as plasmid of emerging-specific Infantis (pESI) (4). This plasmid carried genes
53 conferring resistance to tetracycline, sulfonamides, and trimethoprim. In 2015, Franco et al.
54 reported that an extended-spectrum beta-lactamase (ESBL) positive, MDR *Salmonella* Infantis
55 clone with a similar plasmid named as “pESI-like” was found in the Italian broiler chicken
56 industry (5). Compared to the original pESI, the pESI-like plasmid carried an ESBL gene `blaCTX-M-1`,
57 which leads to resistance to cephalosporin. This Infantis clone subsequently led to human
58 infections in 2013 and 2014 (5).

59 After the first two reports, there have been multiple reports of related MDR-ESBL⁺
60 *Salmonella* Infantis worldwide (6-9). Among them, several variants of pESI-like plasmids
61 carried by MDR-ESBL⁺ *Salmonella* Infantis were reported in different regions around world: a
62 European variant (particularly Italy), harboring the `blaCTX-M-1` gene (5, 10); a Russian variant

63 harboring the *bla*_{CTX-M-14} gene (11); and an American variant harboring the *bla*_{CTX-M-65} gene (6,
64 12-14). In addition to the antimicrobial resistance genes, all pESI and pESI-like plasmids carried
65 virulence genes encoding for fimbriae clusters, yersiniabactin siderophore, toxin/antitoxin
66 systems, and resistance genes for mercury and disinfectant(15). *In vitro* and *in vivo* studies
67 showed that the Infantis strains with the pESI-like plasmid were superior in biofilm formation,
68 adhesion, and invasion into avian and mammalian host cells (4, 16). The carriage of this plasmid
69 by Infantis likely leads to the rapid spread of the recipient clones. The spread of these pESI-
70 bearing Infantis strains is of particular concern because this plasmid can confer resistance to
71 multiple antimicrobials, heavy metals, and antiseptics. Additionally, some *Salmonella* Infantis
72 strains with pESI-like plasmid have been found carrying a colistin-resistance gene (*mcr-1*) (17,
73 18), albeit not on the pESI-like plasmid, further limiting treatment options.

74 Our previous work and other studies have shown that once the pESI is acquired by a
75 *Salmonella* Infantis strain it might spread quickly through clonal expansion because the plasmid
76 provides strains with advantages of enhanced colonization and virulence. The American variant
77 of the pESI-like megaplasmid is predominately associated with one large cluster of *Salmonella*
78 Infantis defined as an emergent *Salmonella* Infantis (ESI) clone (13, 20). The ESI clones with
79 pESI-like plasmid have become dominant among *Salmonella* isolated from poultry sources since
80 they were first reported in the United States in 2014 from U.S. retail chicken and in 2019 from
81 turkey. The ESI clones with pESI-like plasmid comprised 29% and 7% of all *Salmonella* isolated
82 from U.S. retail chicken and turkey, respectively (13).

83 Although the pESI-like plasmids spread mainly through clonal expansion, experimental
84 evidence has shown the plasmid has a potential to transfer horizontally (2, 21). Recent findings
85 point to the possible transfer of the pESI-like plasmid from *Salmonella* Infantis to *Salmonella*

86 Senftenberg (<https://www.fda.gov/animal-veterinary/national-antimicrobial-resistance-monitoring-system/narms-interim-data-updates>) and *Salmonella* Muenchen, Agona, and ,
87 Schwarzengrund (22, 23). Furthermore, great variability in AMR gene composition suggests
88 that the plasmid may be changing structurally as it spreads(13, 24).

90 There have been no clear definitions for pESI and pESI-like plasmids. The pESI and
91 pESI-like plasmid are highly homologous to each other, as previous publications reported (4, 5,
92 12, 13, 15, 19, 21) . Therefore, in this study, the term “pESI” is used to refer to all “pESI” or
93 “pESI-like” plasmids,

94 The aim of this work was to utilize the PD browser to investigate over 100,000
95 environmental isolates among the half million *Salmonella* isolates in NCBI’s PD database and
96 look for the isolates which likely carry pESI plasmids and investigate the genetic changes of
97 pESI-like plasmid during the clonal expansion and horizontal transfer events. The Pathogen
98 Detection (PD) browser is a public web portal developed by NCBI. It collects Sequence Reads
99 Archive (SRA) data and metadata from many surveillance programs such as NARMS as well as
100 research projects, including those with WGS on environmental and clinical pathogen isolates.
101 The embedded PD pipeline assembles the raw reads and clusters them with closely related strains
102 based on whole-genome multi-locus sequence typing and Single Nucleotide Polymorphisms
103 (SNPs). The clusters under the PD browser are defined by isolates that are within 50 SNPs of at
104 least one other isolate in the cluster
105 (https://www.ncbi.nlm.nih.gov/pathogens/pathogens_help/#data-processing (25)). The pipeline
106 also screens the assembled genomes using AMRFinderPlus (26) to annotate known
107 antimicrobial, anti-septic/ biocides, and anti-heavy metal resistance genes. We explored the
108 possibility of screening AMR annotation for clusters which likely host pESI-like plasmids and

109 document its presence in different environmental sources and animal hosts with available
110 metadata in the PD database. We also investigated the genetic relatedness of American ESI
111 strains and characterized the evolution and spread of the American pESI plasmid variant in food
112 and animal sources sampled in the United States.

113

114 **Results:**

115 **The clusters with pESI plasmid**

116 The initial query of the PD browser resulted in 10 SNP clusters. Eight of the 10 clusters
117 include at least 3 isolates in the cluster (Table 1). Table 1 shows that among the eight clusters,
118 six clusters carried pESI plasmid, including four *S. Infantis* clusters, one *S. Senftenberg* and one
119 *S. Alachua* cluster. Almost all strains in the four *Infantis* clusters carried the pESI plasmid,
120 ranging from 99.2% in cluster ESI-CTX-M-65, to 100% in the three other clusters. Forty-three of
121 48 (89.6%) of strains in *Salmonella* Senftenberg ESS-CTX-M-65 cluster carried the pESI
122 plasmid. Only one (0.02%) in *S. Alachua* cluster PDS000050501.9 carried the pESI plasmid.

123 **Table 1. The SNP clusters resulted from the search on Jan. 23rd.** Details of clusters with pESI (In blue) are listed in S1 and S2

124 Table

NO	Serovar	SNP cluster in Pathogen Detection Browser	Cluster Name in this study	Matched isolates	Matched clinical isolates	Matched environmental isolates	Total isolates	percentage of strains with pESI	blaCTX-M family gene	Location
1	Infantis	PDS000089910.29	ESI-CTX-M-65	2996	1199	1634	11463	99.20%	blaCTX-M-65, blaCTX-M-15	Mainly Americas
2	Senftenberg	PDS000045773.44	ESS-CTX-M-65	21	4	17	48	89.50%	blaCTX-M-65	US only
3	Kentucky	PDS000027970.401	N/A	137	42	13	1858	0%	blaCTX-M-55, blaCTX-M-14, blaCTX-M-15, blaCTX-M-104	Global
4	Infantis	PDS000032463.103	ESI-CTX-M-1	122	88	3	487	100%	blaCTX-M-1	Mainly Italy, UK
5	Infantis	PDS000028342.9	ESI-CTX-M-14-1	6	1	1	16	100%	blaCTX-M-14	UK, Cyprus
6	Infantis	PDS000113177.3	ESI-CTX-M-14-2	8	6	2	8	100%	blaCTX-M-14	Russia
7	Typhimurium	PDS000115660.19	N/A	3	2	1	622	0%	blaCTX-M-55, blaCTX-M-65, blaCTX-M-15, blaCTX-M-130	Global
8	Alachua	PDS000050501.9	N/A	1	0	1	42	2.4%	blaCTX-M-65	US only

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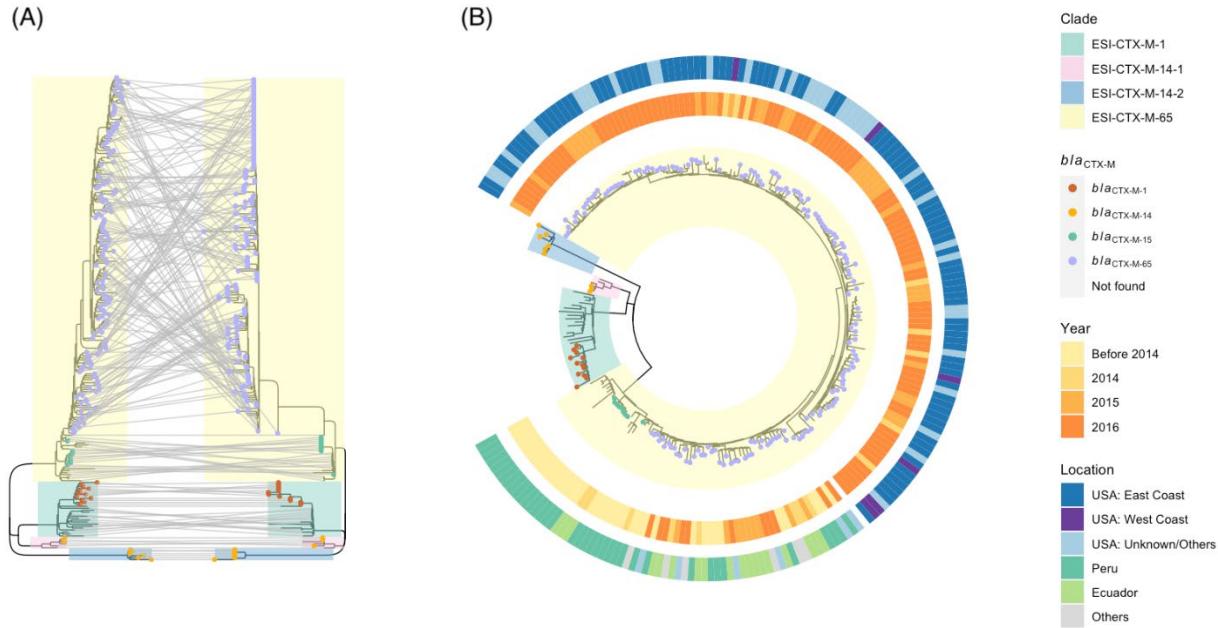
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127

128 Table 1 shows that five of the six clusters with pESI carried a unique *bla*_{CTX-M} allele. For
129 example, PDS000028342.9 and PDS00113177.3 carried *bla*_{CTX-M-14} only (named as ESI-CTX-
130 M-14-1 and ESI-CTX-M-14-2), PDS000032463.103 (named as ESI-CTX-M-1) carried *bla*<sub>CTX-M-
131 1</sub> only. PDS000089910.296 (named as ESI-CTX-M-65) is an exception. This cluster carried two
132 different alleles, *bla*_{CTX-M-15} and *bla*_{CTX-M-65}. Only 13 out of 5765 (0.2%) *bla*_{CTX-M} alleles are
133 *bla*_{CTX-M-15}, 5687 (98.6%) are *bla*_{CTX-M-65}, the remaining 65 are unnamed *bla*_{CTX-M} alleles (S1
134 Table).

135 These six pESI clusters are associated with different geographic regions. For example,
136 ESI-CTX-M-65 strains were mostly found in the Americas (Table 1 and S1 Table) and only 163
137 out of 11463 (1.4%) found in other regions. Isolates from other Infantis clusters (ESI-CTX-M-1,
138 ESI-CTX-M-14-1, ESI-CTX-M-14-2) were mainly found in west European countries, Cyprus,
139 and Russia (Table 1).

140



141

142 Fig 1 shows that the phylogenies of the four *Salmonella* Infantis clusters with pESI
143 plasmids were polymorphic, indicating they do not have a recent common ancestor and thus the
144 pESI plasmid was transmitted horizontally. Although both ESI-CTX-M-14-1 and ESI-CTX-M-
145 14-2 clusters carried the same ESBL gene, they did not share the same recent ancestors. The
146 phylogenetic analysis revealed isolates from the same region were more likely to be related, as
147 ESI-CTX-M-1 and ESI-CTX-M-14-1, are closer to each other than to other clusters from the
148 Americas or Russia.

149

150 Fig 1. The phylogeny of *Salmonella* Infantis strains (collected before 2016) with pESI plasmid
151 from four clusters.
152 (A) Comparison of chromosome (left) and plasmid (right) reference-based trees with Infantis
153 strains collected before 2016 from four clusters in Table 1. The lines between two trees connect
154 the same isolates. (B) Chromosomal reference-based tree with detailed meta data. The inner ring
155 details the collection year; the outer ring details the location; USA:West Coast includes
156 California, Oregon, Washington; USA:East Coast includes Delaware, Florida, Georgia, Maine,
157 Massachusetts, New Jersey, New York, North Carolina, Pennsylvania, Virginia.
158

159

160 Fig 1 also shows that the pESI plasmid spreads mainly through clonal expansion, as there
161 is a broad congruence of genetic relatedness between chromosomes and plasmids. The plasmid
162 evolution mirrors the chromosome evolution pattern of the host bacteria. If the evolution of the
163 plasmids was not affected by the host, it would not form clades that are similar in structure to the
164 chromosomal tree of the plasmid carriages. Fig 1A shows that the groupings inside of clusters
165 ESI-CTX-M-1, ESI-CTX-M-14-1 and ESI-CTX-M-14-2 are identical between trees referred
166 from SNPs of chromosomes or plasmids. Fig 1 also shows that the horizontal transfer is not a
167 frequent event since only one clade instead of multiple clades on the chromosomal or plasmid
168 tree carried pESI with *bla*_{CTX-M-65} circulated in the Americas. Fig 1A shows that the pESI
169 plasmid evolves in a stepwise fashion, compared to the linear evolution of chromosomes in these
170 clusters.

171 ESI-CTX-M-65 carried two different alleles of the *bla*_{CTX-M} gene family, *bla*_{CTX-M-15} in
172 thirteen isolates from Peru and *bla*_{CTX-M-65} in isolates from different parts of the Americas,
173 primarily the United States (Fig 1A). The strains with *bla*_{CTX-M-15} appeared only in the earlier
174 clades. To be noted, all thirteen isolates carried *bla*CTX-M-15 gene (Fig 1B and S1 Table) are
175 from South America, including nine clinical isolates from Peru (S1 Table). All isolates with
176 *bla*_{CTX-M-65} from United States appeared in newer clades, following the clades with Peruvian
177 isolates carrying *bla*_{CTX-M-65}.

178 The chromosomal referenced-based phylogeny (Fig 1B) indicates that the ESI-CTX-M-
179 65 may have originated in South America, as the isolates from early clades were all from Peru
180 and Ecuador. Although the early food animal strains from 2014 and 2015 were primarily
181 detected in eastern coastal states (46 from Maine, North Carolina, New Jersey, Virginia, and

182 Maryland, 13 from Arkansas, Texas, and California), Fig 1B shows that isolates collected from
183 west coast appeared in both earlier and later sub-lineages of ESI-CTX-M-65, even though they
184 were collected in more recent years. This finding suggests that ESI-CTX-M-65 was introduced
185 into the United States at various time at different locations, instead of it being spread to other
186 states from the eastern coast.

187 **ESI-CTX-M-65 Cluster**

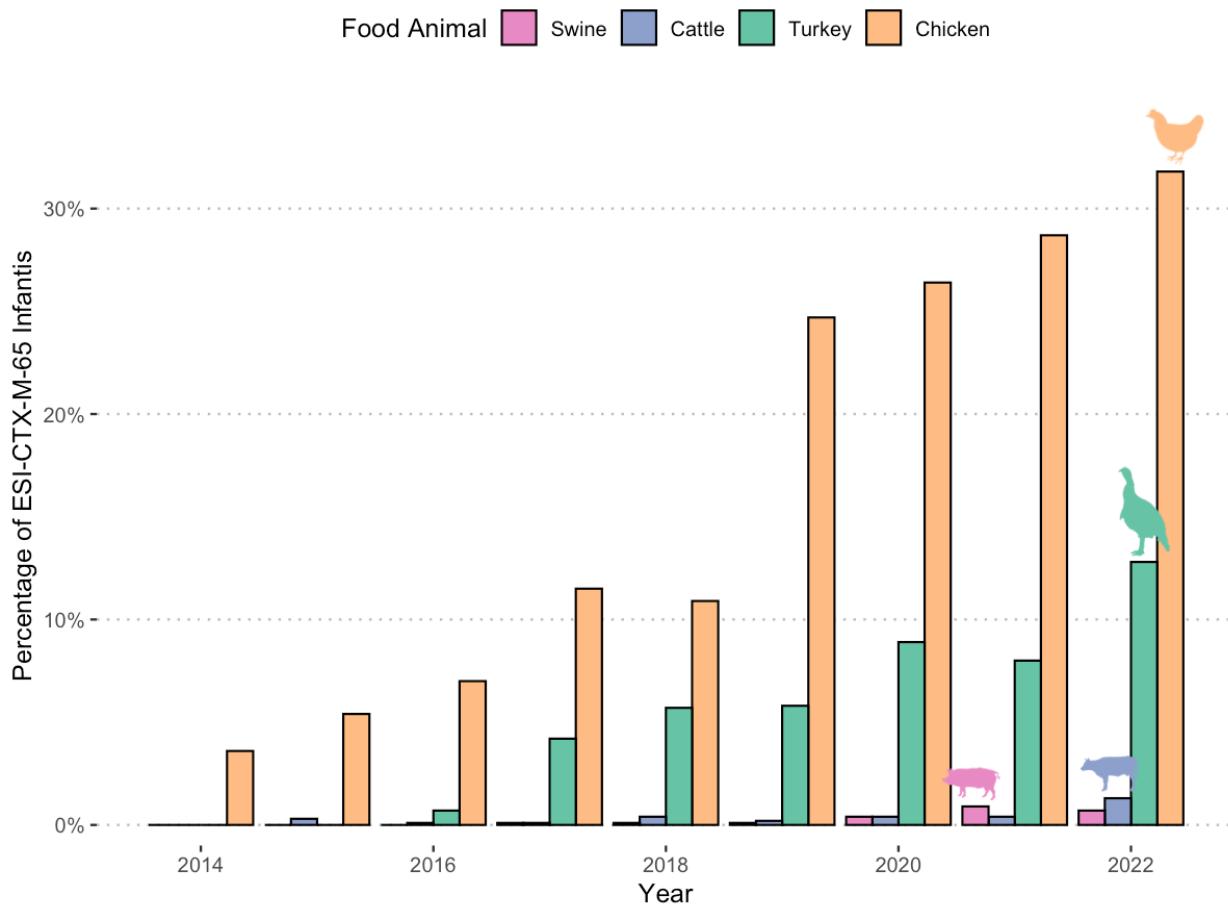
188 Among the six of *Salmonella* clusters carrying the pESI plasmid, the *S. Infantis* ESI-
189 CTX-M-65 cluster is the largest cluster, with 11,463 isolates as of 1/23/2023. Among 11,203
190 isolates with source information, 29.6% (3,310) were clinical isolates and 70.5% (7,893) were
191 environmental isolates. Approximately 94.2% (10,805) of the isolates were collected from the
192 Americas, with the majority (89.2%, 9,636 out of 10,805) collected in the United States. Except
193 for two clinical isolates, 143 of the 8,935 isolates in this cluster with an available collection date
194 were collected from 2009 to 2012 in Peru. The first poultry ESI-CTX-M-65 strain
195 (SAMN09745937) from the United States was collected in December of 2013. This is earlier
196 than previously described (20). The cluster currently (as of January 23rd of 2023) contains
197 strains isolated from all 50 states.

198 Isolates in the ESI-CTX-M-65 cluster were checked for the presence of the pESI
199 plasmids using the markers described in the Methods section. Of 8,290 genomes in ESI cluster,
200 7,640 (92%) had all seven markers; 425 (5%) had six markers; 136 (1.6%) had five markers; 49
201 (0.6%) had 4 markers; 39 had 3 markers; one had 2 markers. With one exception, all genomes in
202 the ESI-M-65 cluster had the *IncFIB*(pN55391) replicon. The one isolate without the *IncFIB*
203 replicon carried the six other markers (S1Table). Using the presence of greater or equal to three
204 markers as the criteria of pESI positive, 99.2% of these isolates carried pESI plasmid.
205 Interestingly, the 40 isolates with 3 or fewer markers usually lose markers on the sequence

206 originated from the *IncI* plasmid. Notably, all 40 isolates were collected from 2017 or later, at
207 least three years later than the first isolate with pESI appeared in the United States.

208 Using strains from NARMS retail meat collection (BioProject 292661) and FSIS
209 slaughter sampling (BioProjects 242847 and 292666), we calculated the proportion of strains
210 from ESI-CTX-M-65 among all *Salmonella* strains from livestock sources and retail meat. We
211 observed a temporal increase ranging between 0% and 31.8 % in ESI-CTX-M-65 isolates among
212 chicken, turkey, swine, and cattle between 2014 and 2022 (Fig 2), with significant increase
213 among chicken isolates (from 3.6% to 31.8%) followed by turkey (0 to 12.8%) and cattle (0 to
214 1.3%). Notably turkey isolates did not appear until 2016 (Fig 2).

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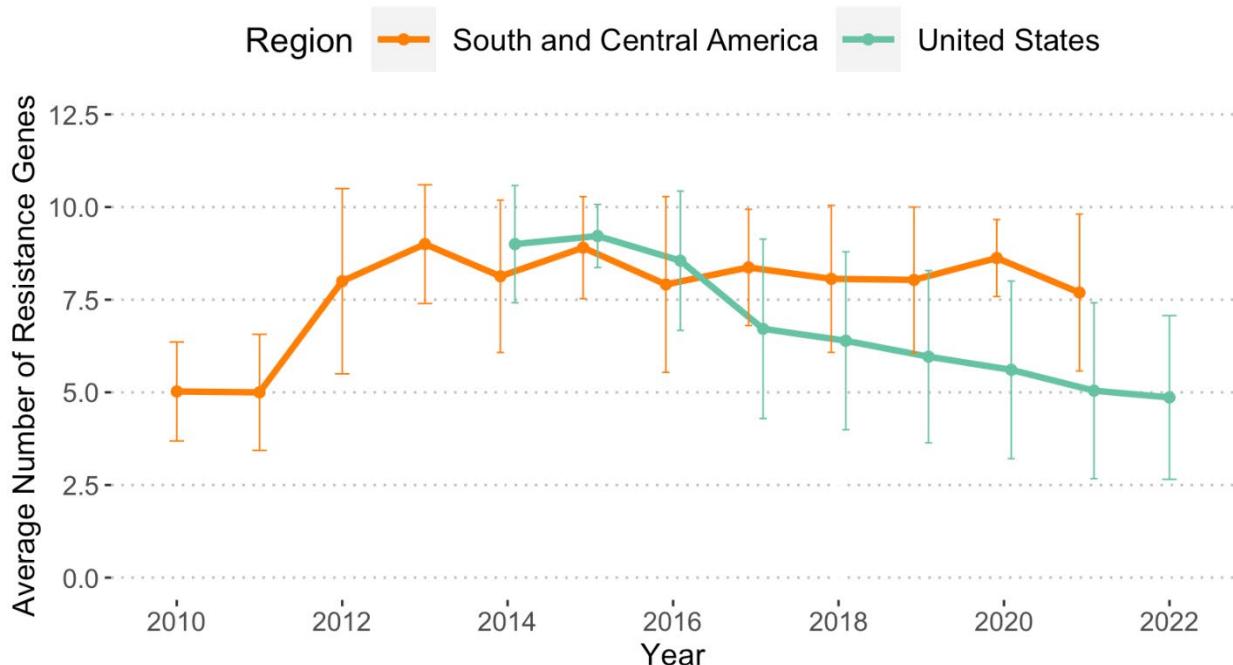
217 Fig 2. The percentage of ESI-CTX-M-65 among *Salmonella* isolates from food animal sources
218 collected in US.

219

220

221 The changes in the AMR gene content of pESI over time in ESI-CTX-M-65 cluster

222 Among the environmental and clinical isolates from South and Central America, there
223 was an initial increase from an average of 5 plasmid-associated AMR genes in 2010 and 2011 to
224 9 in 2013 followed by a plateau (7.7 to 8.9 AMR genes) between 2013 and 2021 (Fig 3). This
225 contrasted with the trend in NARMS human, food animal and retail meat isolates from the
226 United States, where the average number of plasmid-associated AMR genes declined from 8.9-
227 9.2 in 2014/2015 to 5.0 in 2022.



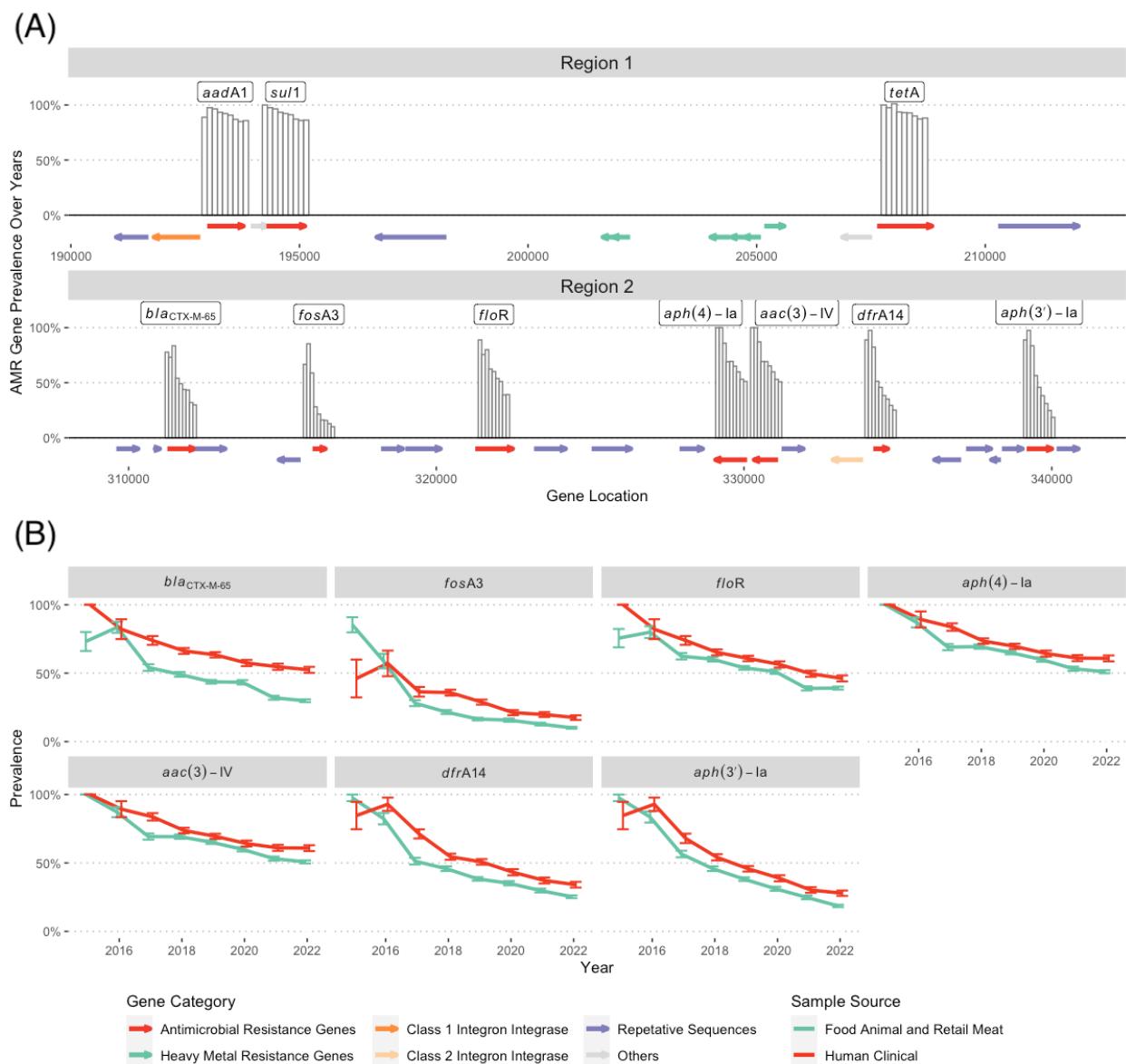
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229 Fig 3. The average number of AMR genes in ESI-CTX-M-65 strains in Americas.
230 The bars on each data point represent standard deviation.

231

232

233 We identified that AMR genes on the pESI plasmid located in two distinct regions
234 organized by integrons. The Class I integron insertion site (Region 1): *aadA1-qacEdelta1-sull1-*
235 *merE-merD-merC-merP-merT-merR-tet(A)*; The Class 2 integron insertion site (Region 2):
236 *aph(3')-Ia-dfrA14-aac(3)-IVa-aph(4)-Ia-floR-fosA3-bla_{CTX-M-65}* (Fig 4A).



237
238 Fig 4. The change of AMR gene in food animal sources and human strains between 2014-2022.
239 (A) the structure of the Region 1 and 2, and Prevalence of AMR genes in Region 1 and 2
240 between 2014 and 2022 from left to right; the bars represent the percentage of the isolates in a
241 given year carried the gene indicated on the map. (B) Prevalence of AMR genes in Region 2.

242 The isolates from 2012 to 2014 were excluded since there were less than ten isolates for each
243 group to compare with. The data points represent the percentage of the clinal isolates (in red) and
244 food animal and retail meat isolates (in green) in a given year carried indicated genes in each
245 plot. The error bar was calculated by $\text{sqrt}(\text{prop} * (1 - \text{prop}) / n)$ where prop is frequency of the gene's
246 presence. All the resistance gene presence information were obtained from the result of AMR
247 Finder under Pathogen detection database (<https://www.ncbi.nlm.nih.gov/pathogens/>).

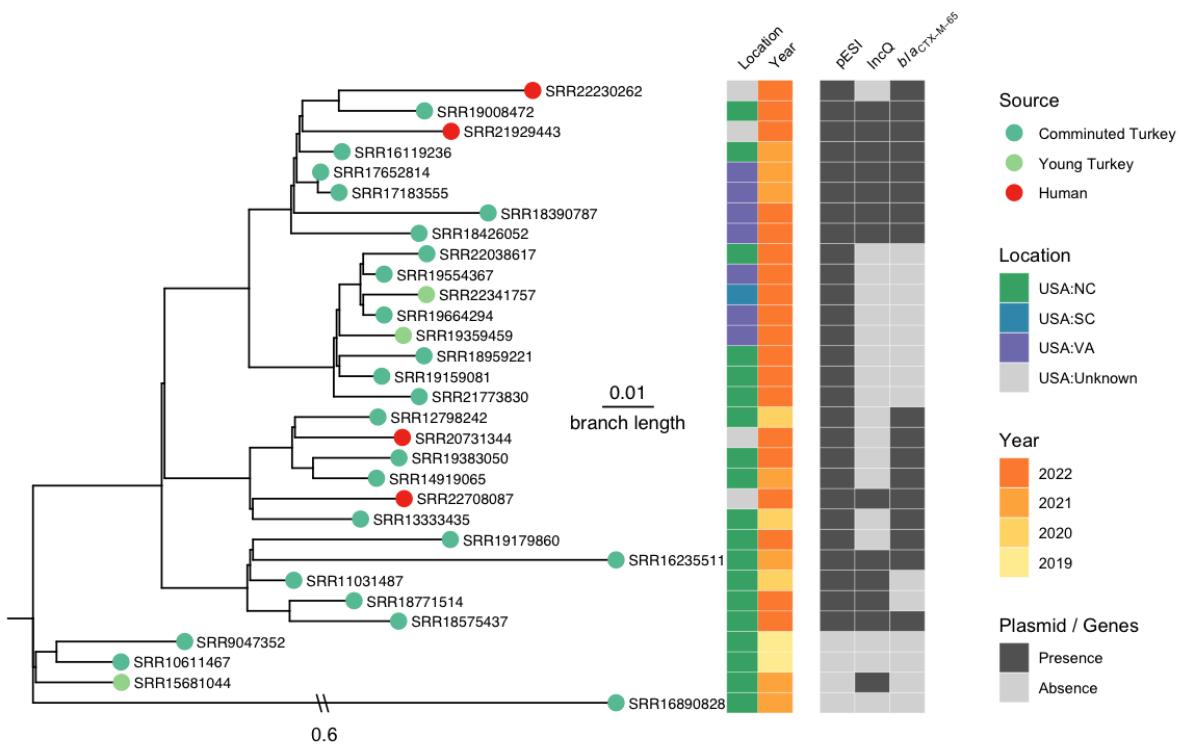
248
249

250 To better understand the decline in the number of AMR genes in isolates from the United
251 States, we looked at the AMR gene loci within each conserved integron insertion site. We found
252 the rate of reduction across loci in the Region 1 (Fig 4A) were mostly unchanged, with the
253 frequency of each gene consistently above 0.8 (Fig 4A). However, AMR genes loci were
254 gradually lost in Region 2 as the plasmid expanded over the years (Fig 4A). Though there was a
255 downward trend for all AMR genes within Region 2, the rate of reduction for individual AMR
256 genes/loci was variable, with the most decline in *fosa3* (from 0.76 in 2015 to 0.12 in 2022),
257 followed by *aph(3')-Ia*, *dfrA14*, *bla_{CTX-M-65}*, *floR*, *aac(3)-IV* and *aph(4)-Ia* (Fig 4A).

258 Fig 4B shows that while prevalence of resistance genes in Region 2 declined in all
259 isolates between 2015 and 2022, their respective prevalence remained low in food animal and
260 retail meat isolates compared to those in humans. For instance, the prevalence of *bla_{CTX-M-65}*
261 which was similar in both the groups in 2016, showed the biggest difference in 2022, with over
262 20% higher prevalence in human isolates (52.4%) compared to food animal sources (30.0%).

263 Establishment of the pESI plasmid in *S. Senftenberg*

264 Our search of *Salmonella* clusters with pESI plasmid revealed a recently emerged
265 *Salmonella* Senftenberg cluster (PDS000045773 named as ESS-CTX-M-65 in Table 1), with all
266 isolates from 2019 or later (Fig 5).



267

268 Fig 5. The establishment of pESI in an emerging *Salmonella* Senftenberg cluster ESS-CTX-M-
269 65.

270 The phylogenetic analysis includes all food animal isolates (26) and human (4) isolates in ESS-
271 CTX-M-65. The tree was rooted with a turkey *Salmonella* Senftenberg isolate (FSIS22106145).

272

273

274 Fig 5 shows that the three *Salmonella* Senftenberg isolates from the ESS-CTX-65 cluster that did
275 not carry pESI plasmids belonged to an earlier lineage compared to other isolates with the pESI
276 plasmid. Among the 27 isolates in this cluster that carried pESI, 15 carried an *IncQ* plasmid
277 containing four additional AMR genes (*sul2*, *aph(3'')*-Ib, *aph(6)*-Id, *tet(A)*) (S1 Fig). Isolates in
278 the Senftenberg cluster carried between 3 to 12 AMR genes (S2 Table). There were 23 isolates
279 from food animals carrying pESI plasmid, all from turkey. Among them, 21 were from
280 comminuted turkey and 2 from young turkey. Thirteen of 23 (56.5%) turkey isolates carried a

281 *bla*_{CTX-M-65} gene, while all 4 (100%) human isolates carried pESI plasmid that had the *bla*_{CTX-M-65}
282 gene.

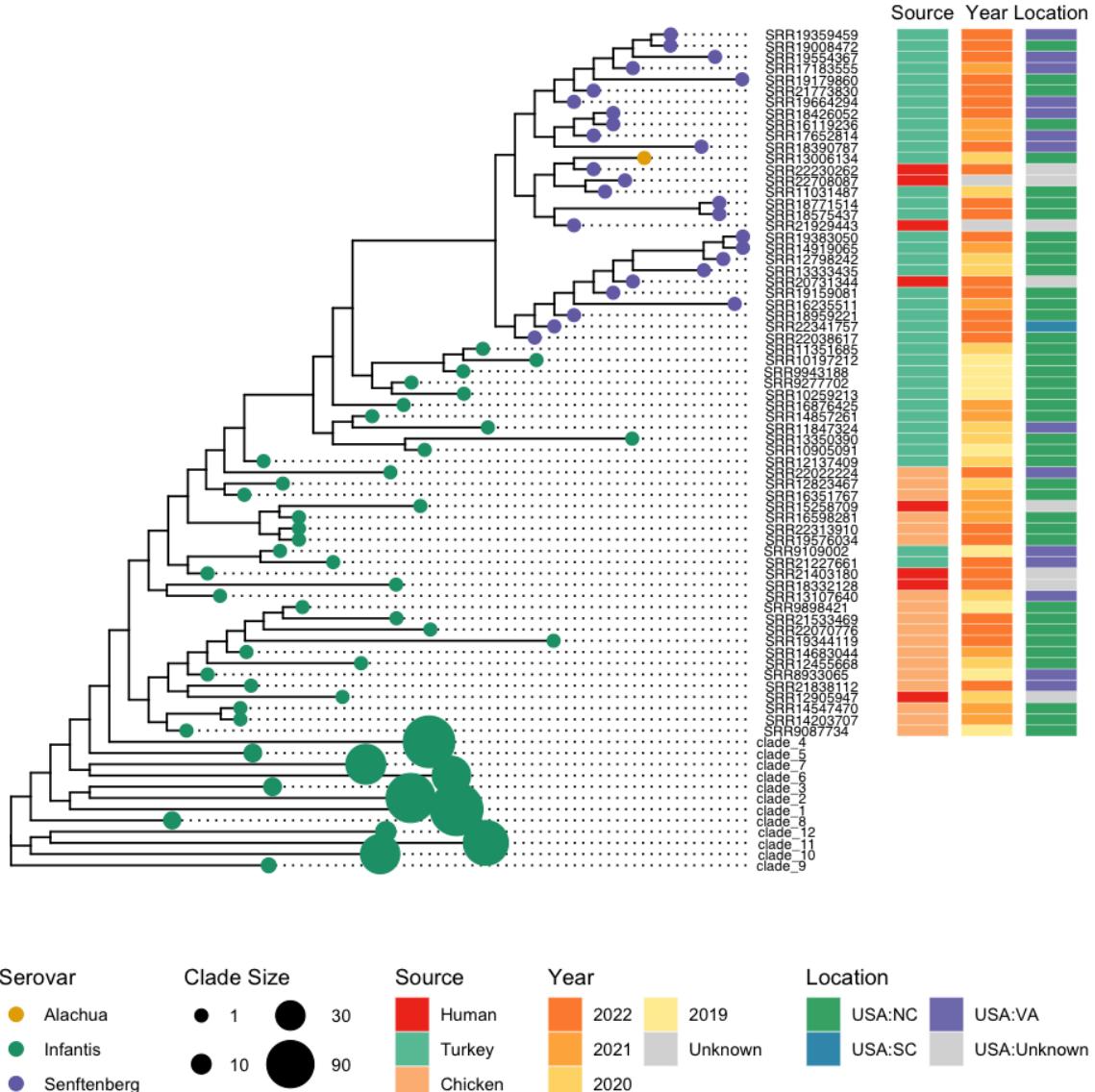
283 Horizontal transferring events of pESI from *Salmonella* serovar *Infantis* to serovars
284 Senftenberg and Alachua

285 The initial search for the *Salmonella* strains with pESI also resulted in a single
286 *Salmonella* Alachua isolate FSIS22029592 with pESI plasmid from the cluster PDS000050501.9
287 (Table 1). Notably, the Alachua isolate carried a similar *IncQ* plasmid (CP100656) that was
288 10,912bp, 1,428bp larger than the *IncQ* plasmid (CP100659) identified from *S. Senftenberg*, with
289 only a 3bp difference between the aligned regions of *IncQ* plasmids. Unlike the *Salmonella*
290 *Infantis* ESI-CTX-M-65 cluster, The *S. Senftenberg* and *S. Alachua* strains do not carry a *gyrA*
291 mutation (S2 Table).

292 Three ESS-CTX-M-65 of the early lineage without pESI plasmid were collected from
293 North Carolina (Fig 5). Environmental isolates with the pESI plasmid were collected from either
294 North Carolina (15/23), or Virginia (7/23), except 1 from South Carolina, which is located on a
295 more recent lineage. Four isolates from human clinical samples were discovered at the later
296 lineages and all carried pESI plasmid with *bla*CTX-M-65.

297 To investigate the possible location and time of horizontal transfer events of the pESI
298 plasmids, a SNP analysis was conducted by mapping the raw reads from North Carolina and
299 Virginia food animal isolates with pESI collected between 2019 and 2022 from ESI-CTX-M-65,
300 ESS-CTX-M-65 and the single *Salmonella* Alachua isolate with pESI plasmid to a complete
301 pESI plasmid pN16S024 sequence (CP052840.1). The phylogeny inferred from the SNP analysis
302 shows that it is possible that the plasmid horizontally transferred to a *S. Senftenberg* strain
303 around 2019 (Fig 6) from a turkey-derived *Salmonella* *Infantis* in a single event (Fig 6) in North

304 Carolina. The Senftenberg isolate on the early branch likely harbored the *IncQ* plasmid prior to
305 the transfer event as shown in Fig 5.



306

307 Fig 6. The Phylogenetic tree of pESI plasmid from food animal and human isolates.
308 The SNPs used to build the tree were from the CFSAN SNP pipeline by mapping the short reads
309 to a complete pESI sequence (pN16S024, CP052840). Terminal branches that are not collapsed
310 and which represent a single strain are identified by the SRR number. Branches that were
311 collapsed are represented as larger circles, and labeled sequentially based on the size of the
312 collapsed nodes.
313

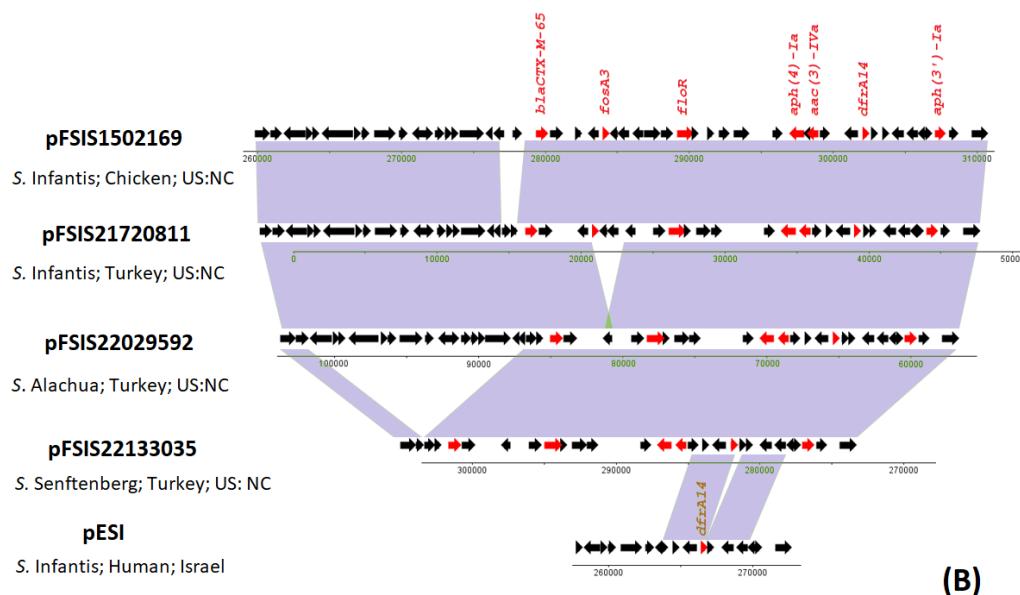
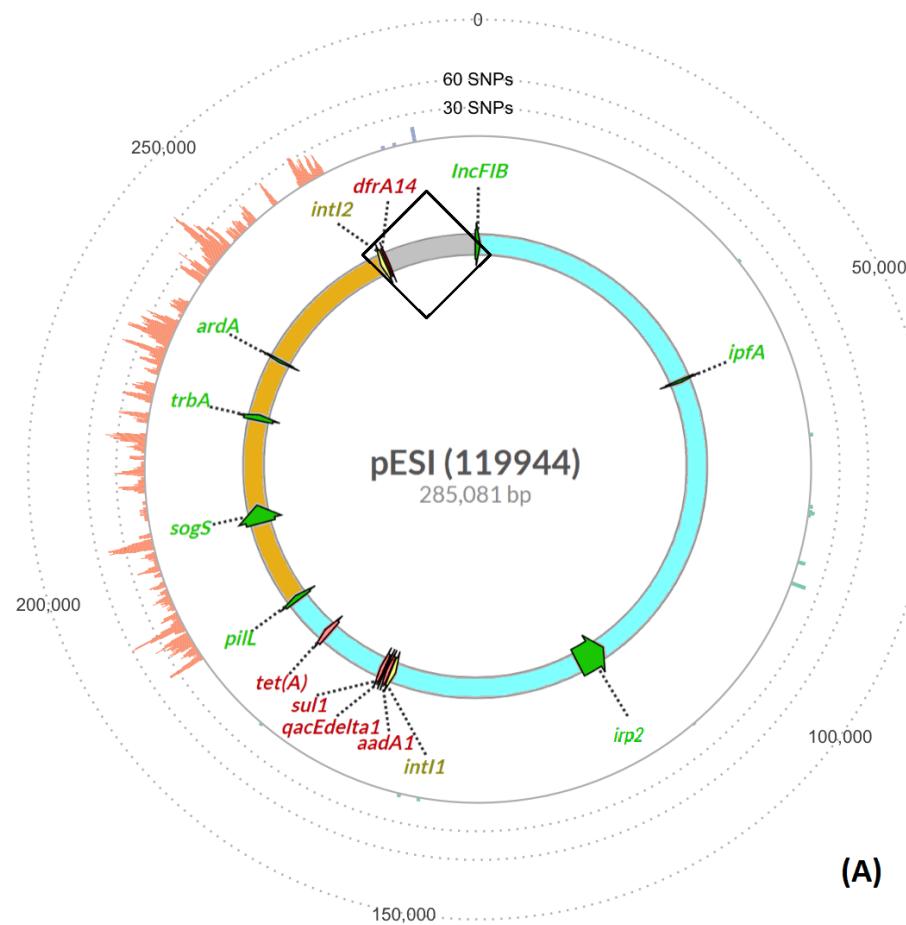
314 The horizontal transfer event from a *S. Senftenberg* isolate to a *S. Alachua* isolate likely
315 happened around 2020 because the isolate was collected in 2020 and all *Salmonella* *Senftenberg*
316 were collected in 2020 or later (Fig 6). This *S. Alachua* isolate was also from comminuted turkey
317 collected in North Carolina, suggesting the event happened in North Carolina as well.

318 The first human case infected with the *Salmonella* *Senftenberg* ESS-CTX-M-65 strain
319 was reported in the PD Browser (PNUSAS276269) in June 2022. As of 1/23/2023, there were
320 four clinical isolates carrying pESI plasmid with *bla*_{CTX-M-65} gene (Fig 5).

321 The comparison and evolution of the pESI plasmids from difference sources, serovars and
322 years

323 The first reported pESI plasmid from Israel did not carry a *bla*_{CTX-M} family gene and was
324 identified in *Salmonella* *Infantis* isolates from humans (4). Its length is smaller (285kb) when
325 compared to later reported pESI plasmids (318 to 323kb) carried by *S. Infantis* from poultry (13).
326 The structure of the common regions (blue and orange) of pESI plasmids using pESI
327 (CP047882) as the reference was shown in Fig 7. The backbone of the plasmids has three
328 regions. The region with virulence gene clusters (highlighted with blue on the plasmid) is the
329 most stable region, as there were only 20 positions with SNPs discovered between pESI
330 (CP047882) as reference and five pESI plasmids isolated from difference source, year and
331 serovars (S1 Table). In the clockwise direction, the sequence becomes more variable when it is
332 further away from the *IncFIB* replicon. Based on the pMLST scheme(27), the second region
333 labeled with orange originated from an *IncI1* plasmid. This region carries plasmid functional
334 genes and there are more than 500 SNP locations. The third region, labeled with grey, composed
335 of Integron *IntI2* and its adjacent AMR genes and other genes with mostly unknown functions, is
336 the most variable, with frequent insertions and deletions (Fig 7B). In fact, the variation of this

337 region leads to most of the size difference among pESI plasmids. It is consistent with our
338 observation that genes at region 2 (with *IntI2*) were most likely to be lost (Fig 4).



340 Fig 7. The comparison of five pESI plasmid from different *Salmonella* serovars, host and years.
341 (A) The backbone of the pESI plasmid. The genes highlighted with green are seven markers used
342 to screen for presence of pESI plasmids; The genes highlighted with red are antimicrobial AMR
343 genes. The genes highlighted with yellow are two integrons. The outer track shows the number
344 of SNPs when the four plasmids (pFSIS1502169, pFSIS21720811, pFSIS22029592, and
345 pFSIS22133035) aligned to pESI plasmid, binned by 50 bp. On the pESI plasmid: the
346 highlighted blue region carried virulence genes clusters encoding for fimbriae, yersiniabactin
347 siderophore, toxin/anti-toxin and Integron IntI1 region; The highlighted orange region carried
348 functional genes for plasmid conjugation, self-maintenance. (B) comparison of five pESI
349 plasmids in the framed region of the pESI plasmid structure on (A). Source of the plasmids and
350 accession numbers are listed in Table 2.
351

352

353 **Discussion**

354 Plasmids contain many transposons and other repetitive elements that enable them to go
355 through frequent recombination, which leads to gain or loss of AMR genes. However, all
356 publications of pESI hosted by *Salmonella* Infantis from poultry reported a similar pattern of
357 AMR genes(2, 5, 9, 12, 13, 15, 20). In this study, we used the unique combination of AMR
358 genes, including *bla*CTX, to search over a half million *Salmonella* in NCBI PD for the clusters
359 of environmental strains potentially carrying pESI plasmids. In addition to the two well
360 described *Salmonella* Infantis clusters ESI-CTX-M-65 (9, 12, 13, 19, 20) and ESI-CTX-M-1(5,
361 9), we found two previously unreported *Salmonella* Infantis clusters carrying pESI ESI-CTX-M-
362 14-1 and ESI-CTX-M-14-2 and two clusters of other serovars, although the isolates in some
363 clusters had been described previously (11, 28). Among them, *Salmonella* Alachua strain with
364 pESI plasmid has never been reported before. Dos Santos et al. used a different strategy to
365 search for any strains with pESI plasmid (23). They first used virulence gene *ybt* to filter strains,
366 and then used the core genome to identify the potential pESI. Besides the *Salmonella* Infantis
367 strains, forty-three isolates of *Salmonella* Agona, Muenchen, Senftenberg, Schwarzengrund were
368 found to carry the pESI plasmid. Of note, the only environmental isolates in that study, three

369 *Salmonella* Senftenberg isolates from turkey, were also identified in our study, using our
370 strategy. It is possible that our selection strategy may have missed other clusters of isolates
371 carrying a pESI plasmid without *bla*CTX-M gene. A strategy with higher sensitivity might need
372 to be developed in future.

373 Our analysis aligns with previous findings that the ESI-CTX-M-65 clones with *bla*CTX-M-
374 65 circulated in the United States are likely to have originated from South America (Fig 1). This
375 observation is consistent with a previous paper by Brown et al. (2), which reported that most
376 early patients in the United States infected with *bla*CTX-M-65-positive *Salmonella* Infantis had a
377 history of traveling to South America.

378 Although only small proportion of the isolates in ESI-CTX-65 cluster were sequenced by
379 long-reads, the resistance genes in Fig 4 are presumably located on the pESI plasmid since they
380 are located on two conservative regions on the plasmid in almost all isolates with closed
381 genomes with only one exception N18S2039, half of the plasmid with *bla*CTX-M-65 was
382 integrated into the chromosome (13, 20).

383 We compared the average number of AMR genes carried by pESI from different regions.
384 The increase in number of AMR genes in South and Central America around 2012 were caused
385 by the insertion of additional AMR genes, including *bla*CTX-M-65, in Region 2. These later isolates
386 with more AMR genes, including *bla*CTX-M-15, are presumably the ancestors of poultry isolates
387 (Fig 2) from the United States. In the United States the average number of AMR genes in ESI-
388 CTX-M-65 isolates/clones has decreased over time compared to their initial detection. The
389 decline in average number of AMR genes among isolates from the United States is more
390 prominent in strains from food animals than from humans (Fig 4B). The decline may be linked
391 to decreases in the usage of antimicrobial drugs (29). For example, the difference of reduction in

392 *fosA3* gene in isolates from food animal sources (0.17) and humans (0.10) (Fig 4B) may be due
393 to the fact that fosfomycin is not approved for use in food animals in the United States
394 (<https://animaldrugsatfda.fda.gov/adafda/views/#/search>). However, this type of reduction may
395 be negatively impacted by frequent reintroduction of strains with higher number of AMR genes
396 back into poultry.

397 Unlike Region 1 which is more stable, the structure of Region 2 makes it possible for the
398 AMR cassette to lose some genes independently through recombination. Genes such as *fosA3*,
399 *floR* or *blaCTX-M-65* are surrounded by closely related repetitive genes (Fig 4. The prevalence of
400 AMR genes at Region 1 remained above 80% through the years (Fig 7) and this may be due to
401 the physical location of this region being closer to the *IncFIB*(pN55391) replicon, unlike in
402 Region 2, where AMR genes are physically located at the furthest end from the replicon, and
403 may be prone to change. Alba et al. (24) compared five pESI plasmids which carried different
404 *blaCTX-M* genes and isolated from 2013 to 2022, and concluded that although the sequences
405 remained almost identical, their structures and resistance genes they carried can be different. Our
406 study further illustrated the change of the pESI through the years.

407 The similarity of chromosomal and plasmid trees of *Infantis* ESI-CTX-M-65 strains in
408 Fig 1A showed that the pESI plasmid spreads with clonal expansion. This observation is
409 consistent to the previous reports (9, 19). Furthermore, pESI in isolates from food animals in
410 this study were found only in six clusters (number of clusters representing horizontal transfer
411 events) out of which 95% of pESI were found in one ESI-CTX-M-65 cluster. It showed that the
412 pESI likely spreads mainly from clonal expansion, with sporadic horizontal transfer.

413 The introduction of ESI-CTX-M-65 into food may have first occurred in chickens in the
414 United States as the early isolates were mostly found in chicken. Isolates from turkey did not

415 appear until 2016 (Fig 2). There were a few horizontal transfer events happening in the turkey
416 processing environment in North Carolina, supported by plasmid phylogeny (Fig 5 and Fig 6).
417 Further epidemiological evidence is needed to support this theory. The ESS-CTX-M-65 strains
418 appear to have become established in turkey since routine sampling detected this strain over
419 multiple years. By comparison, another horizontal transfer event of pESI, occurred likely from
420 Senftenberg to Alachua (Fig 5), however this did not lead to an immediate spread of pESI-
421 containing Alachua, as from 2020 to date only one such strain has been reported. The exact
422 reason for this lack of spread of Alachua in turkeys despite the carriage of pESI will need further
423 work.

424 In addition to pESI plasmid, *Salmonella* Alachua and a portion of the *Salmonella*
425 Senftenberg carry an *IncQ* plasmid, which carries up to four additional AMR genes (*sul2*,
426 *aph(3'')*-Ib, *aph(6)*-Id and *tet(A)*) (S1 Fig). It may be useful to investigate if the *IncQ* plasmid
427 facilitates with the transfer of the pESI plasmid.

428 During this study time period, some lineages shed all 10 AMR genes but still carried the
429 pESI plasmid (13). This indicates that the plasmid not only serves as an antimicrobial resistance
430 gene reservoir, but it may also provide other competitive and fitness advantages to the host
431 bacterium via its virulence genes encoding for fimbrial clusters and yesiniabactin siderophore. It
432 is also interesting that 2% of the pESI plasmid showed high homology to the host chromosome
433 (S2). These regions include genes coding for amino acid permease, arginine antiporter (*adiC*)
434 and transposases (S2). Interestingly, these highly homologous regions are located in the region
435 (highlight with blue in Fig 7A) originating from *IncFIB*(pN55391plasmid. It may serve as the
436 mechanism to ensure vertical transmission (i.e., each daughter cell receives a copy of the plasmid
437 during cell replication). The arginine *adiC* gene is known to impart acid resistance and the ability

438 to survive under extremely acidic conditions (30) and could have similar fitness function in
439 *Salmonella* as in *E. coli* to survive under extremely acidic conditions (30), such as human
440 digestion track. It might have been important that the strain can survive such environment before
441 it acquires the plasmid through horizontal transferring.

442 The evolution of the plasmid does not seem to be a linear process as shown in Fig 1A.
443 Along with point mutations, plasmids gained, exchanged and lost genes through recombination
444 with other plasmids and the bacterial chromosome. For example, the highlighted orange region
445 of pESI (Fig 7) is highly homologous to an epidemic plasmid ST71 IncI1. This region in
446 pFSIS150269 is identical to 94% of a ST71 IncI1 plasmid pC271 (S3). The ST71 plasmid was
447 reported to be polyclonally spreading in commensal *Escherichia coli* in Bolivia around 2011
448 (31). Interestingly, the CTX-M-15 was predominant in CTX-M-producing *E. coli* before CTX-
449 M-65 spread in Bolivia and Peru (31, 32), coinciding with the evolution of ESI-CTX-M-65. It is
450 likely that pESI plasmid exchanged its contents with ST71 IncI1 in commensal environment
451 through its spreading.

452 In summary, this study shows that ESI clone that has flourished in North America likely
453 originated from South America and was introduced into the United States through multiple
454 events and in different locations, and at different times. So far, the spread of pESI is mainly
455 through clonal expansion. However, pESI can occasionally transfer horizontally to other clusters
456 or different serovars. The success of the transfer event likely depends on what fitness advantage
457 is conferred to the host strains from the newly acquired plasmid. Finally, individual AMR genes
458 carried on the plasmid can be lost during clonal expansion and are mediated by recombination
459 events in unstable areas of the plasmid in response to direct and/or indirect triggers.

460 The spread of the MDR pESI plasmid with ESBL gene *bla*_{CTX-M} in the food production
461 system poses a unique challenge to public health. Our study of pESI expansion and evolution will
462 help public health scientists to understand, monitor and contain its spread through targeted
463 mitigation strategies.

464 **Materials and Methods**

465 **The search for the carriages of pESI plasmid in *Salmonella*.**

466 The combined term of “AMR_genotypes:*dfrA14* AND AMR_genotypes:*bla*_{CTX*} AND
467 AMR_genotypes:*sul1* AND taxgroup_name:”*Salmonella enterica*” AND
468 epi_type:environmental*” was searched in 25222 clusters including 510,097 *Salmonella* isolates
469 submitted to projects under NCBI pathogen detection browser
470 (<https://www.ncbi.nlm.nih.gov/pathogens/>) before Jan 23th, 2023 for potential *Salmonella*
471 clusters which carried pESI plasmid. Please note: Not all isolates within the cluster harbored the
472 above genes.

473 **The confirmation of pESI plasmid**

474 For clusters of interest, assemblies were downloaded. To confirm the presence of the
475 pESI plasmid, the replicon sequence *IncFIB* (pN55391(CP016411), four evenly distributed
476 markers on the *IncI* region *ardA*, *pilL*, *SogS*, *TrbA*, and the virulence genes *ipf* and *ipr2* from
477 pESI plasmid (5, 15) were queried against assemblies using BLAST 2.12 (33) The other markers
478 used by others (5, 19) were either included in the search term, or close to the seven markers used
479 in this study. The sequences of markers were extracted from a pESI plasmid pN16S024
480 (CP052840.1) (13) based on the primer sequences published by Franco et al (5), except for the
481 replicon sequence, which was extracted directly from pN16S024 since the primer sequences
482 were not included in the paper (S1 Table). The criteria for presence of a marker are greater than

483 85% identity and longer than 50% of coverage. The criterion for presence of the pESI plasmid is
484 the presence of four markers or more.

485 **Data mining**

486 We used *Salmonella* genomes deposited to BioProject 292661 (Contributed by Food and
487 Drug Administration (FDA) National Antimicrobial Resistance Monitoring System (NARMS)),
488 BioProjects 242847, 292666 (Contributed by the U.S. Department of Agriculture (USDA)
489 NARMS program), and BioProject 230403 (Contributed by Centers for Disease Control and
490 Prevention (CDC) NARMS program) to calculate the number of *Salmonella* isolates collected
491 from retail meat, food animals at slaughter and human clinical sampling in the United States,
492 respectively. All isolates from South and Central American countries were used to calculate the
493 average number of AMR genes in South and Central America (Fig 3), regardless of the source.

494 All metadata, including geographic location of the sample, sample collection date, and
495 AMR gene content were retrieved from the PD Browser. The resistance genes labeled as
496 “MISTRANSLATION” were not counted. Duplicated resistance genes were individually
497 checked and only one copy was counted as being present once because of the limitation of de-
498 novo short read assemblies. The “human isolates” in this study refer to isolates collected from
499 human clinical samples, and “environmental isolates” refer to isolates collected from animals,
500 retail meat, water, and other environments.

501 **Phylogenetic analysis**

502 In this study, only isolates from BioProjects 242847, 292666 and 230403 collected under
503 the NARMS program were used to represent strains from the United States for phylogenetic
504 analysis (Figs 1, 5, 6). BioProject 230403 represents human clinical isolates, and BioProjects

505 242847 and 292666 represent isolates from food animals in the United States. Isolates from other
506 countries were selected randomly based on location, source, and year (Fig 1).

507 Sequencing reads were downloaded from the NCBI database using sratoolkit 3.0
508 (<https://github.com/ncbi/sra-tools/wiki>). CFSAN SNP pipeline (<https://peerj.com/articles/cs-20/>)
509 with default parameter settings was used to construct the SNP matrix. The chromosome sequence
510 of N16S024 (CP052839.1) was used as reference for mapping to find SNPs to construct
511 chromosomal phylogeny of isolates from four different clusters with pESI plasmids (Fig 1). The
512 plasmid sequence of N16S024 (CP052840.1) was used to find SNPs to construct plasmid
513 phylogeny of pESI (Figs 1 and 6). The chromosomal sequence of N18S0991(CP082574.1) was
514 used as reference for phylogeny of ESS-CTX-M-65 (Fig 5). SNPs were called by mapping raw
515 reads to the reference sequences using CFSAN SNP pipeline with default parameters. The
516 phylogenetic tree was constructed using FastTree v.2.1 (34) with default parameters.

517 Data visualization

518 The plot and bar figures (Figs 2, 3, 4) were constructed with ggplot2 (35) and ggpubr
519 (<https://cran.r-project.org/web/packages/ggpubr/index.html>) R packages; the tree was viewed and
520 labeled by R package ggtree (36).

521 DNA isolation short read and long read sequencing

522 Short-read WGS was performed at NARMS laboratories following GenomeTrakr
523 (<https://www.protocols.io/workspaces/genometrakr1>) and PulseNet protocols
524 (<https://www.cdc.gov/pulsenet/pdf/PNL34-PN-Nextera-XT-Library-Prep-508.pdf>). Sequencing
525 was performed on 2886 clinical isolates under Bioproject 230403; 5827 food animal isolates
526 under Bioprojects 242847 and 29266; and 925 isolates under Bioproject 292661. The procedure
527 used at CVM was described previously (37) . Three *Salmonella* isolates representing three

528 separate serovars with pESI recovered from turkey from state of North Carolina were selected
529 for long-read sequencing, including FSIS21720811 (*Salmonella* Infantis), FSIS22029592
530 (*Salmonella* Alachua) and FSIS22133035 (*Salmonella* Senftenberg). DNA extraction was done
531 using DNeasy blood and tissue kits (Qiagen, Germantown, MD). The DNA was then quantified
532 by Qubit fluorometer with dsDNA HS Assay kit (ThermoFisher Scientific, CA) per the
533 manufacturer's instructions. The long-read sequencing was conducted as previously described
534 (13, 38) using the 10-kb SMRTLink template preparation protocol. The library was sequenced
535 on PacBio Sequel (Pacific BioSciences, CA). The long-read sequences were then assembled to
536 complete genomes with Microbial Assembly pipeline embedded in SMRTLink 10.0. The
537 complete genomes were annotated by NCBI Prokaryotic Genome Annotation Pipeline (39). The
538 details of these isolates and accession numbers are listed in Table 2.

539

Table 2. The isolates information in Fig 7.

Isolate ID	Serovar	Country	State	Year	Sample Type	Source of Isolation	Collected by	pESI plasmid	Length (bp)	Accession
119944	<i>Salmonella</i> Infantis	Israel	Israel	2008	Clinical	Human	Infectious Diseases Research Laboratory	pESI	285,081	NZ_CP047882
FSIS1502169	<i>Salmonella</i> Infantis	United States	North Carolina	2015	Environmental	Chicken	USDA-FSIS	pFSIS1502169	323,162	CP016407
FSIS21720811*	<i>Salmonella</i> Infantis	United States	North Carolina	2017	Environmental	Comminuted Turkey	USDA-FSIS	pFSIS21720811	322,470	AANAOP020000003
FSIS22029592*	<i>Salmonella</i> Alachua	United States	North Carolina	2020	Environmental	Comminuted Turkey	USDA-FSIS	pFSIS22029592	318,597	CP100655
FSIS22133035*	<i>Salmonella</i> Senftenberg	United States	North Carolina	2021	Environmental	Comminuted Turkey	USDA-FSIS	pFSIS22133035	303553	CP100658

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542

* The complete genomes of the isolates were generated in this study.

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544

545

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551 to the NCBI public databases. We wish to thank the National Antimicrobial Resistance
552 Monitoring System at the Centers for Disease Control and Prevention for their role in public
553 health surveillance for human infections harboring pESI plasmids.

554 **Author Disclaimer:**

555 The views expressed in this article are those of the authors and do not necessarily reflect the
556 official policy of the Department of Health and Human Services (DHHS), the U.S. Department
557 of Agriculture (USDA), the U.S. Food and Drug Administration (FDA), or the U.S. Government.
558 Reference to any commercial materials, equipment, or process does not in any way constitute
559 approval, endorsement, or recommendation by the FDA, USDA, or the U.S. Government.

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668

669 **Supporting information**

670

671 **S1 Table. Detailed information for all isolates in cluster ESI-CTX-M-65 (PDS000089910.296).**

672 Tab “ESI-CTX-M-65 _ PDS000089910.296” includes all isolates of the cluster and the metadata

673 downloaded from NCBI Pathogen Broswer Database; Tab “pESI markers” includes the reference

674 sequences of seven markers used to detect pESI; Tab “snplist Fig7” shows the snp list generated

675 by CFSAN snp pipeline, with pESI (CP047882.1) as reference and the column C is used to

676 generate the snp map on Fig 7A.

677

678 **S2 Table. Detailed information for all isolates in cluster ESI-CTX-M-1 (PDS000032463.103),**

679 **ESI-CTX-M-14-1 (PDS000028342.9), ESI-CTX-M-14-2 (PDS000113177.3), and PDS000050501.**

680 **The metadata were downloaded from NCBI Pathogen Brower Database.**

681

682 **S1 Fig. Comparison between two IncQ plasmids pFSIS22029592-2 (CP100656.1) and**

683 **pFSIS22133035-2 (CP100659.1).**

684

685 **S2 Fig. Alignment between plasmid pN16S024 (CP052840.1) and chromosome N16S024**

686 **(CP052839.1).** The Alignment is generated by Mauve

687 (<https://darlinglab.org/mauve/mauve.html>). The color blocks show the regions with homology

688 over 80%.

689

690 **S3 Fig. Alignment between plasmid pC271 (NZ_LN735561.1) and pN16S024 (CP052839.1).** The
691 Alignment is generated by Mauve (<https://darlinglab.org/mauve/mauve.html>). The color blocks
692 show the regions with homology over 80%.

693