

1 Normative models of enhancer function

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3 In prokaryotes, thermodynamic models of gene regulation provide a highly quantitative mapping
4 from promoter sequences to gene expression levels that is compatible with *in vivo* and *in vitro* bio-
5 physical measurements. Such concordance has not been achieved for models of enhancer function
6 in eukaryotes. In equilibrium models, it is difficult to reconcile the reported short transcription
7 factor (TF) residence times on the DNA with the high specificity of regulation. In non-equilibrium
8 models, progress is difficult due to an explosion in the number of parameters. Here, we navigate
9 this complexity by looking for minimal non-equilibrium enhancer models that yield desired regula-
10 tory phenotypes: low TF residence time, high specificity and tunable cooperativity. We find that a
11 single extra parameter, interpretable as the “linking rate” by which bound TFs interact with Medi-
12 ator components, enables our models to escape equilibrium bounds and access optimal regulatory
13 phenotypes, while remaining consistent with the reported phenomenology and simple enough to
14 be inferred from upcoming experiments. We further find that high specificity in non-equilibrium
15 models is in a tradeoff with gene expression noise, predicting bursty dynamics — an experimentally-
16 observed hallmark of eukaryotic transcription. By drastically reducing the vast parameter space to
17 a much smaller subspace that optimally realizes biological function prior to inference from data, our
18 normative approach holds promise for mathematical models in systems biology.

19 **Keywords:** transcriptional regulation | non-equilibrium models | noise in gene expression | enhancer function
20 | Monod-Wyman-Changeux (MWC) model

21 An essential step in the control of eukaryotic gene ex- 50
22 pression is the interaction between transcription factors 51
23 (TFs), various necessary co-factors, and TF binding sites 52
24 (BSs) on the regulatory segments of DNA known as en- 53
25 hancers [1]. While we are far from having either a com- 54
26 plete parts list for this extraordinarily complex regula- 55
27 tory machine or an insight into the dynamical interac- 56
28 tions between its components, experimental observations 57
29 have established a number of constraints on its opera- 58
30 tion: (i) TFs individually only recognize short, 6–10bp 59
31 long binding site motifs [2]; (ii) TF residence times on 60
32 the cognate binding sites can be as short as a few sec- 61
33 onds and only 2–3 orders of magnitude longer than res- 62
34 idence times on non-specific DNA [3–5]; (iii) the order 63
35 of arrival of TFs to their binding sites can affect gene 64
36 activation [4]; (iv) TFs do not activate transcription by 65
37 RNA polymerase directly, but interact first with various 66
38 co-activators, essential amongst which is the Mediator 67
39 complex; (v) binding of multiple TFs is typically required 68
40 within the same enhancer for its activation [6], which can 69
41 lead to very precise downstream gene expression only in 70
42 the presence of a specific combination of TF concentra- 71
43 tions [7]; (vi) when activated, gene expression can be 72
44 highly stochastic and bursty [8–10]; (vii) gene induction 73
45 curves show varying degrees of steepness, suggesting tun- 74
46 able amounts of cooperativity among TFs [11]. Here we 75
47 look for biophysical models of enhancer function consis- 76
48 tent with these observations.

49 Mathematical modeling of gene regulation traces its 77

50 origins to the paradigmatic examples of the λ bacterio-
51 phage switch [12] and the *lac* operon [13]. In prokaryotes,
52 biophysical models have proven very successful [14–16],
53 assuming gene expression to be proportional to the frac-
54 tion of time RNA polymerase is bound to the promoter
55 in thermodynamic equilibrium; TFs modulate this frac-
56 tion via steric or energetic interactions with the poly-
57 merase. Crucially, these models are very compact: they
58 are fully specified by enumerating all bound configura-
59 tions and energies of the TFs and the polymerase on the
60 promoter. While some open questions remain [17–19],
61 the thermodynamic framework has provided a quanti-
62 tative explanation for combinatorial regulation, cooper-
63 ativity, and regulation by DNA looping [20, 21], while
64 remaining consistent with experiments that also probe
65 the kinetic rates [22, 23].

66 No such consensus framework exists for eukaryotic
67 transcriptional control. Limited specificity of individ-
68 ual TFs (i) is hard to reconcile with the high speci-
69 ficity of regulation (v) and the suppression of regula-
70 tory crosstalk [24], suggesting non-equilibrium kinetic-
71 proofreading schemes [25]. Likewise, short TF residence
72 times (ii) and the importance of TF arrival ordering (iii)
73 contradict the conceptual picture where stable enhance-
74 osomes are assembled in equilibrium [4]. Kinetic schemes
75 may be required to match the reported characteristics of
76 bursty gene expression (vi) [26], or realize high cooper-
77 ativity (vii) [27]. Thermodynamic models undisputedly
78 have statistical power to predict expression from regula-
79 tory sequence even in eukaryotes [28], yet this does not
80 resolve their biophysical inconsistencies or rule out non-
81 equilibrium models. Unfortunately, mechanistically de-
82 tailed non-equilibrium models entail an explosion in the
83 complexity of the corresponding reaction schemes and
84 the number of associated parameters: on the one hand,
85 such models are intractable to infer from data, while on

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86 the other, it is difficult to understand which details are¹³³
87 essential for the emergence of regulatory function.¹³⁴

88 To deal with this complexity, we systematically sim-¹³⁵
89 plify the space of enhancer models. We adopt the norma-¹³⁶
90 tive approach, commonly encountered in the applications¹³⁷
91 of optimality ideas in neuroscience and elsewhere [29–¹³⁸
92 31]: we theoretically identify those models for which var-¹³⁹
93 ious performance measures of gene regulation, which we¹⁴⁰
94 call “regulatory phenotypes”, are maximized. Such op-¹⁴¹
95 timal model classes are our candidates that could subse-¹⁴²
96 quently be refined for particular biological systems and¹⁴³
97 confronted with data. Thus, rather than inferring a sin-¹⁴⁴
98 gle model from experimental data or constructing a com-¹⁴⁵
99 plex, molecularly-detailed model for some specific en-¹⁴⁶
100 hancer, we find the simplest generalizations of the clas-¹⁴⁷
101 sic equilibrium regulatory schemes, such as Hill-type [32]¹⁴⁸
102 or Monod-Wyman-Changeux regulation [33–35], to non-¹⁴⁹
103 equilibrium processes, which drastically improves their¹⁵⁰
104 regulatory performance while leaving the models simple¹⁵¹
105 to analyze, simulate, and fit to data.¹⁵²

153 proximity or interaction. Crucially, the links can be es-
154 tablished and removed in processes that can break de-
155 tailed balance and are thus out of equilibrium. Here, we
156 consider that a link is established at a rate k_{link} between
157 a bound TF and the Mediator complex; for simplicity,
158 we assume that the links break when the TFs dissociate
159 or upon the switch into OFF state (this assumption can
160 be relaxed, see Fig S2).

161 An important thrust of our investigations will con-
162 cern the role of limited specificity of individual TFs to
163 recognize their cognate sequences on the DNA. If se-
164 quence specificity arises primarily through TF binding
165 – a strong, but relatively unchallenged assumption (that
166 can also be relaxed within our framework, see Fig S3)
167 – then we should ask how likely it is for the Mediator
168 complex to form and activate at specific sites contained
169 within functional enhancers (with low off-rates character-
170 istic of strong eukaryotic TF binding sites, k_{-}^{S}) versus at
171 random, non-specific sites on the DNA (with ~ 2 orders-
172 of-magnitude higher individual TF off-rates, k_{-}^{NS}) from
173 which expression should not occur.

174 Given the number of TF binding sites (n) and the
175 various rate parameters ($k_{+}, k_{-}^{\text{S/NS}}, \kappa_{+}, \kappa_{-}, \alpha, k_{\text{link}}$) the
176 full state of the system—i.e., the probability to observe
177 any number of bound and/or linked TFs jointly with
178 the ON/OFF state of the enhancer—evolves according to a
179 Chemical Master Equation (SI Section 1.1) that can be
180 solved exactly [39–41] or simulated using the Stochastic
181 Simulation Algorithm [42]. Importantly, we show ana-
182 lytically that our scheme reduces to the true equilibrium
183 MWC model in the limit $k_{\text{link}} \rightarrow \infty$: in this limit, there
184 can be no distinction between a bound TF and a TF
185 that is both bound and linked, and one can define a free
186 energy F that governs the probability of enhancer being
187 ON, which in our model is equal to (a normalized) mean
188 expression level, $E = P_{\text{ON}} = (1 + \exp(F))^{-1}$, with

$$F = n \log \frac{1 + c/K}{1 + \alpha \cdot c/K} - L, \quad (1)$$

189 where $K = k_{-}/k_{+}^0$, $k_{+} = k_{+}^0 c$ (see also Fig 1 caption),
190 and $L = \log(\kappa_{+}/\kappa_{-})$. The k_{link} parameter thus inter-
191 polates between the equilibrium limit in Eq (1), corre-
192 sponding to a textbook MWC model, and various non-
193 equilibrium (kinetic) schemes which we will explore next.
194 A similar generalization with an equilibrium limit ex-
195 ists for thermodynamic Hill-type models, where, fur-
196 thermore, α can be directly identified with cooperativity be-
197 tween DNA-bound TFs (see SI Section 1.3); we will see
198 that this qualitative role of α will hold also for the MWC
199 case.

181 B. Regulatory phenotypes.

182 How does the regulatory performance depend on the
183 enhancer parameters and, in particular, on moving away
184 from the equilibrium limit? To assess this question sys-

¹ Our nomenclature is simply a shorthand for all co-factors nec-
185 essary for eukaryotic transcriptional activation at an enhancer,
186 which can include proteins not strictly a part of the Mediator
187 family.

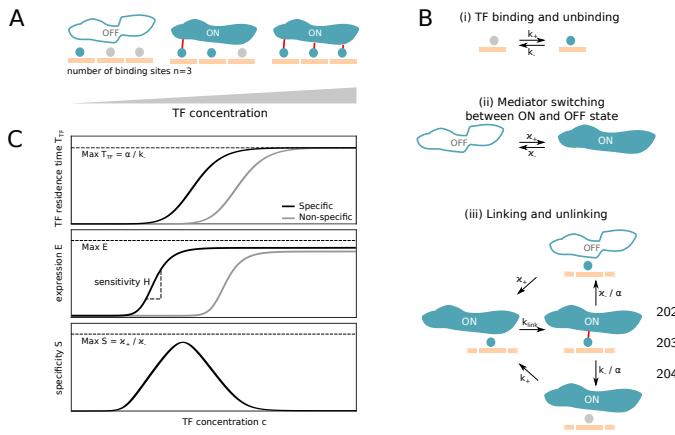


FIG. 1. **A non-equilibrium MWC-like model of enhancer function.** (A) Schematic representation of transcription factors (TFs; teal circles) interacting with binding sites (BSs, here $n = 3$ orange slots) and the putative Mediator complex via links (red lines). The Mediator complex can be in two conformational states (OFF or ON), with the ON state enabling productive transcription of the regulated gene. Increasing TF concentration, c , facilitates TF binding and the switch into ON state (left-to-right). (B) Key reactions and rates of the non-equilibrium model. TFs can bind with concentration-dependent on rate ($k_+ = k_+^0 c$) and unbind with basal rate k_- that is in principle sequence dependent (i). The Mediator state switches between the conformational states with basal rates κ_+ and κ_- (ii). Linking and unlinking of TFs to Mediator (iii) can move the system out of equilibrium: links are established with rate k_{link} , and the link stabilizes both TF residence and the ON state of the Mediator by a factor α per established link. (C) Regulatory phenotypes. Mean TF residence time, T_{TF} , on specific sites in functional enhancers (black) vs random site on the DNA (gray) increases with concentration (top), as does mean expression, E (the fraction of time the Mediator is ON; induction curve, middle, with sensitivity, H , defined at mid-point expression). Specificity, S , is defined as the ratio of expression from the specific sites in the enhancer relative to the expression from random piece of DNA.

Phenotype	Symbol	Value	Ref
TF residence time (specific BS)	T_{TF}	$\sim 1 - 10$ s	[3, 43]
Expression (fraction of time ON)	E	0.01 – 0.9	[38, 44, 45]
Sensitivity (apparent Hill coef.)	H	1 – 10	[11]
Specificity	S	—	—
Noise (std / mean protein exp.)	N	$\sim 0.1 - 1$	[46]

TABLE I. **Regulatory phenotypes.**

deleterious crosstalk or uncontrolled expression [24]; (v) expression noise, N , defined more precisely later, originating in stochastic enhancer ON/OFF switching.²

C. Specificity, residence time, and expression.

Figure 2A explores the relationship between three regulatory phenotypes for a MWC-like enhancer scheme of Fig 1A: the average TF residence time (T_{TF}), specificity (S), and the average expression (E), at fixed concentration c_0 of the TFs. Each point in this “phase diagram” corresponds to a particular enhancer model; points are accessible by varying α and k_{link} (Fig 2B) and fall into a compact region that is bounded by intuitive, analytically-derivable limits to specificity and the residence time. As α tends to large values, S approaches 1, as it must: once a TF-Mediator complex forms, large α will ensure it never dissociates and expression E will tend to 1 (see also Fig 2D) irrespective of whether this occurred on a functional enhancer or a random piece of DNA – in this limit, all sequence discrimination ability is lost, yielding undesirable regulatory phenotypes. In contrast, the equilibrium (“EQ”) MWC limit as $k_{\text{link}} \rightarrow \infty$ (Eq 1) is functional and, interestingly, corresponds to a non-monotonic curve in the phase diagram that lower-bounds the specificity of non-equilibrium (“NEQ”) models accessible at finite values of k_{link} .

In a wide intermediate range of TF residence times, the full space of nonequilibrium MWC-like models—which we can exhaustively explore—offers large, orders-of-magnitude improvements in specificity, essentially utilizing a stochastic variant of Hopfield’s proofreading mechanism [25, 47]. This observation is generic, even though the precise values of S depend on parameters that we explore below, and S always remains bounded from above by κ_-/κ_+ (in equilibrium, this is related to stochastic, thermal-fluctuation-driven Mediator transitions to ON state even in absence of bound TFs). At the same average TF residence time and TF concentration, the best non-equilibrium model (II in Fig 2) will suppress expression from non-cognate DNA by almost two orders-of-magnitude relative to the best equilibrium model (I). These findings remain qualitatively unchanged

² Protein noise levels in Table I are estimated from reported mRNA noise levels.

tematically, we define a number of “regulatory phenotypes”, enumerated in Table I and illustrated in Fig 1C. As a function of TF concentration, we compute: (i) individual TF residence time, T_{TF} , on specific sites in functional enhancers, as well as on random, non-specific DNA, because these quantities have been experimentally reported in single-molecule experiments and provide strong constraints on enhancer function; (ii) average expression, E , for functional enhancers as well as random, non-specific DNA; we require E to be in the middle (~ 0.5) of the wide range reported for functional enhancers; (iii) sensitivity of the induction curve at half-maximal induction, H , an observable quantity often interpreted as a signature of cooperativity in equilibrium models; (iv) specificity, S , as the ratio between expression E from functional enhancers vs from non-specific DNA, which should be as high as possible to prevent

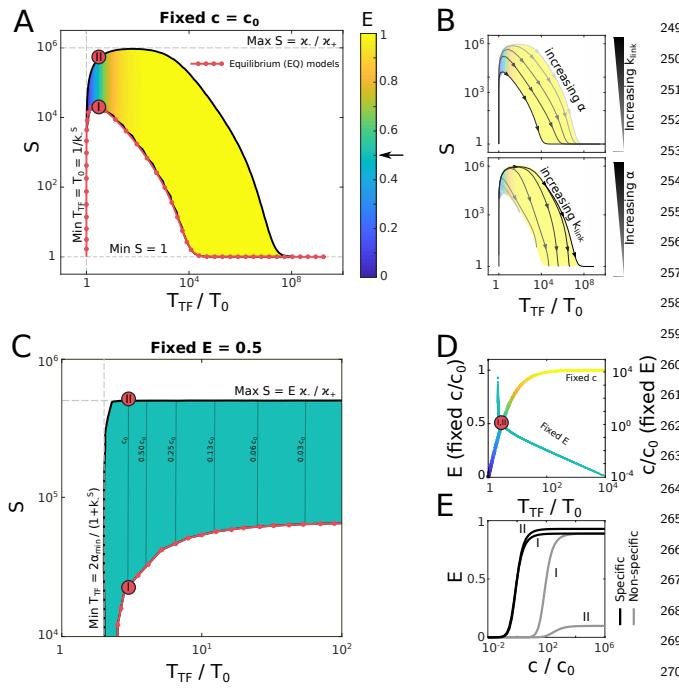


FIG. 2. Accessible space of regulatory phenotypes. (A) Specificity, S , mean TF residence time, T_{TF} (expressed in units in inverse off-rate for isolated TFs at their specific sites, $T_0 = 1/k_S^S$), and average expression, E (color), for MWC-like models with $n = 3$ TF binding sites, obtained by varying α and k_{link} at fixed TF concentration, c_0 . Equilibrium models fall onto the red line; two models with equal TF residence times, I (EQ) and II (NEQ), are marked for comparison. Dashed gray lines show analytically-derived bounds. (B) Phase space of regulatory phenotypes is accessed by varying α at fixed values of k_{link} (grayscale; top) or varying k_{link} at fixed values of α (grayscale; bottom). (C) As in (A), but the TF concentration at each point in the phase space is adjusted to hold average expression fixed at $E = 0.5$ (green color). Plotted is a smaller region of phase space of interest; nearly vertical thin lines are equi-concentration contours (Fig S6). (D) All models in the phase diagrams in (A) and (C) approximately collapse onto nearly one-dimensional manifolds (“fixed c ”, left axis, for (A); “fixed E ”, right axis, for (C)) when plotted as a function of mean TF residence time, T_{TF} , supporting the choice of this variable as a biologically-relevant observable. Color on the manifold corresponds to mean expression E using the colormap of (A). Vertical scales are chosen so that models I and II coincide. (E) Induction curves of equilibrium model I and non-equilibrium model II for expression from functional enhancer that contains specific sites (basal TF off-rate k_S^S ; black curves) versus expression from random DNA containing non-specific sites (basal TF off-rate $k_{NS}^S = 10^2 k_S^S$ here; gray curves).

$E = 0.5$. As TF residence time lengthens with increasing α , TFs and the Mediator establish more stable complexes on the DNA and lower concentrations are needed for all models to reach the desired expression E (see also Fig 2D). Nevertheless, the ability of α to increase the specificity in equilibrium models is limited and saturates at a value substantially below the specificity reachable in nonequilibrium models at much smaller TF residence times. The observations of Figs 2A, C underscore an important, yet often overlooked, point: the ability to induce at low TF concentration (that is, high affinity) achieved through “cooperative interactions” at high α either has a detrimental, or, at best, a marginally beneficial effect for the ability to discriminate between cognate and random DNA sites (that is, high specificity) in equilibrium [24].

Figure 2E shows induction curves for expression from functional enhancers containing specific sites and from random DNA sites, for equilibrium (I) and non-equilibrium (II) models. Both yield essentially indistinguishable induction curves for expression from a functional enhancer (which is true generically across our phase diagram, see Fig S5), suggesting that it would be difficult to discriminate between the models based on induction curve measurements. In sharp contrast, the behavior of the two models is qualitatively different at non-specific DNA: with sufficiently high TF concentration (e.g., in an over-expression experiment), the EQ model I will fully induce even from random DNA as its binding sites get saturated by TFs; on the contrary, the nonequilibrium (NEQ) model II will start inducing at much higher c , and will never do so fully due to its proofreading capability. Thus, given the relatively weak individual TF preference for cognate vs non-cognate DNA, one should look at the collective response of the gene expression machinery to mutated or random enhancer sequences for signatures of equilibrium vs non-equilibrium proofreading behavior.

D. Sensitivity.

Intuitively, sensitivity H measures the “steepness” of the induction curve. More precisely, H is proportional to the logarithmic derivative of the expression with log concentration at the point of half-maximal expression, so that for Hill-like functions, $E(c) = c^h/(c^h + K^h)$, it corresponds exactly to the Hill coefficient, $H = h$. Figure 3A shows that H increases monotonically with T_{TF} (and thus with α , cf. Fig 2B), indicating that more stable TF-Mediator complexes indeed lead to higher apparent cooperativity, which is always upper-bounded by the number of TF binding sites in the enhancer, n . The highly-cooperative “enhanceosome” concept [48] would, in our framework, correspond to an equilibrium limit with very high α , and thus $H \sim n$; yet the analysis above predicts vanishingly small specificity increases as this limit is approached. In contrast, we observe that the point at which the specificity advantage of nonequi-

for enhancers with larger number of binding sites (see Fig S4).

A comparison of various enhancer operating regimes is perhaps biologically more relevant at fixed mean expression, allowing the TF concentration to adjust accordingly under cells’ own control, as shown in Fig 2C for

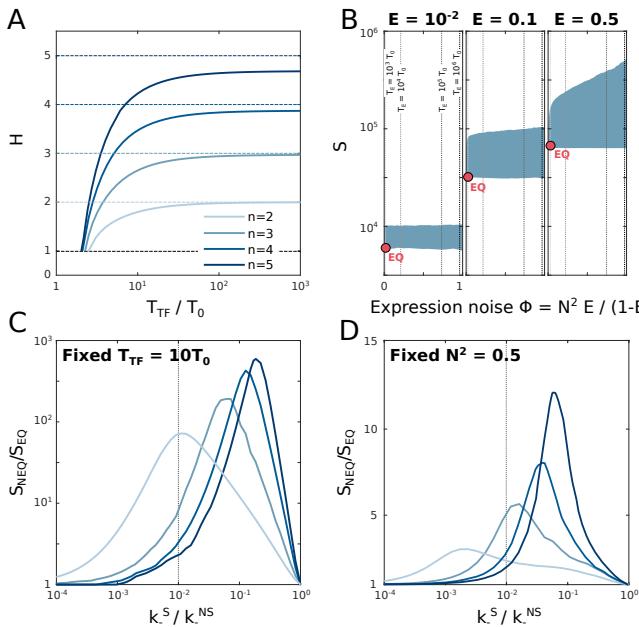


FIG. 3. Limits to sensitivity and specificity. **(A)** Sensitivity (apparent Hill coefficient) H of enhancer models in the phase diagram of Fig 2C, at fixed mean expression, $E = 0.5$. All models collapse onto the manifolds shown for different number of TF binding sites, n . **(B)** Phase diagram of enhancer models for three different values of mean expression E (columns), shows specificity S and fraction of variance in enhancer switching propagated to expression noise (see text). Compact blue region for each E shows all MWC-like models with $n = 3$ binding sites accessible by varying α and k_{link} ; equilibrium model (“EQ”) with lowest noise is shown as a red dot. Increase in noise is monotonically related to increase in enhancer correlation time, T_E , marked with dashed vertical lines. Largest specificity increases over EQ models occur at high T_E and thus high noise (upper right corner of the blue region). **(C)** Maximal gain in enhancer specificity for non-equilibrium vs equilibrium models for different n (legend as in A), as a function of the intrinsic specificity of individual TF binding sites, k_-^S / k_-^{NS} . Expression is fixed to $E = 0.5$ and mean TF residence time to $T_{\text{TF}}/T_0 = 10$. Typical value $k_-^S / k_-^{\text{NS}} = 10^{-2}$ used in Fig 2 and panels A,B is shown in vertical dashed line. **(D)** Same as in (C), but with the comparison at fixed gene expression noise, $N^2 = 0.5$.

E is the probability of the enhancer to be ON. When ON, transcripts are made and subsequently translated into protein, which typically has a slow lifetime, T_P , on the order of at least a few hours. Random fluctuations in enhancer state will cause random steady-state fluctuations in protein copy number around the average, P ; these fluctuations can be quantified by noise, $N = \sigma_P/P$. While there can be other contributions to noise (e.g., birth-death fluctuations due to protein production and degradation), we focus here solely on the effects of ON/OFF switching, since only these effects depend on the enhancer architecture [30].

How is noise in gene expression, N , related to the binomial variance, σ_E ? Based on simple noise propagation arguments [49, 50], fractional variance in protein should be equal to fractional variance in enhancer state times the noise filtering that depends on the timescales of enhancer switching, T_E , and protein lifetime, T_P (here we assume $T_P = 10$ hours), so that $N^2 = (\sigma_P/P)^2 \sim (\sigma_E/E)^2 \cdot T_E/(T_E + T_P)$ (see SI Section 1.5 for exact derivation). Thus, if enhancer switches much faster than the protein lifetime, $T_E \ll T_P$, protein dynamics almost entirely averages out the enhancer state fluctuations. Since all enhancer models have the same binomial variance, the gene expression noise in various models will be entirely determined by the mean expression, E , and the correlation time, T_E , both of which we can compute analytically for any combination of enhancer model parameters in the phase diagram of Fig 2.

Figure 3B shows the phase diagram of accessible MWC-like regulatory phenotypes for the specificity (S), mean expression (E) and fraction of enhancer switching noise that propagates to gene expression, $T_E/(T_E + T_P)$, found by varying α and k_{link} . As in Fig 2, equilibrium models (“EQ”) have the lowest specificity S , but also lowest correlation time T_E and thus lowest noise, regardless of the average expression, E . There exist NEQ models that achieve higher specificity at a small increase in noise, but the highest specificity increases always come hand-in-hand with a substantial lengthening of the correlation times in enhancer state fluctuations, and thus with the inevitable increase in noise.

To better elucidate the tradeoffs and limits to specificity in non-equilibrium vs equilibrium models, we next explore how enhancer specificity gains depend on the ability of individual TFs to discriminate cognate binding sites from random DNA in Fig 3C. If individual TFs permit very strong discrimination ($k_-^S / k_-^{\text{NS}} < 10^{-4}$; prokaryotic TF regime), NEQ models at fixed individual TF residence times, T_{TF} , do not offer appreciable specificity increases in the collective enhancer response; in contrast, for the range around $k_-^S / k_-^{\text{NS}} \sim 10^{-2}$ typically reported for eukaryotic TFs, the specificity increase ranges from ten to thousand-fold, with the peak depending on the number of TF binding sites, n , as well as baseline Mediator specificity limit, κ_- / κ_+ (as this increases, the peak specificity gain is higher and moves towards lower k_-^S / k_-^{NS} , see Fig S9). If, instead of fixing $k_-^S / k_-^{\text{NS}} = 10^{-2}$

librium models is maximized, i.e., where $S_{\text{NEQ}}/S_{\text{EQ}}$ is largest, occurs far away from $H = n$, at much lower H values (Fig S8). If high specificity is biologically favored, we should therefore not expect the “number of known binding sites” to equal the “measured Hill coefficient of the induction curve” for well-functioning eukaryotic transcriptional schemes, even on theoretical grounds.

E. Noise.

Lastly, we turn our attention to gene expression noise. All stochastic two-state models have a steady state binomial variance of $\sigma_E^2 = E(1 - E)$ in enhancer state, where

373 as we have done until now, we pick this ratio to maxi-⁴²⁸
374 mize the specificity gain ($S_{\text{NEQ}}/S_{\text{EQ}}$) and again explore⁴²⁹
375 the noise-specificity tradeoff as in Fig 3B, we find that⁴³⁰
376 the extreme specificity gains are only possible when cor-⁴³¹
377 relation times, T_E diverge (see Fig S10), implying high⁴³²
378 noise.⁴³³

379 These observations are summarized in Fig 3D, showing⁴³⁴
380 the specificity gain of NEQ models relative to EQ models,⁴³⁵
381 if the comparison is made at fixed noise level rather than⁴³⁶
382 at fixed individual TF residence time as in Fig 3C. Speci-⁴³⁷
383 ficity gains are limited to roughly ten-fold even when, as⁴³⁸
384 we do here, we systematically search for best NEQ mod-⁴³⁹
385 els through the complete phase diagram in Fig 2C. The⁴⁴⁰
386 specificity-noise tradeoff thus appears unavoidable.⁴⁴¹

433 long tail of extended **ON** events interspersed with an ex-
434 cess of extremely short **OFF** events (due to high κ_- rate
435 necessary for high specificity) relative to the EQ scheme
436 (which, itself, does not deviate strongly from an exponential
437 density function with a matched mean). The behav-
438 ior of such an enhancer is highly cooperative even though
439 the sensitivity (H) is not maximal: when the enhancer
440 is **ON**, with very high probability all TFs are bound, and
441 when **OFF**, often 4 out of 5 TFs are bound – yet the en-
442 hancer is not activated. In sum, a well-functioning non-
443 equilibrium regulatory apparatus with its Mediator com-
444 plex makes many short-lived attempts to switch **ON**, but
445 only commits to a long, productive **ON** interval rarely and
446 collectively, after insuring that activation is happening
447 due to a sequence of valid molecular recognition events
448 between several TFs and their cognate binding sites in a
449 functional enhancer.

444 Transient behavior after a TF concentration change
445 is analyzed in Fig 4C. The mean response time of the
446 two models to the concentration change is governed by
447 the correlation time of the enhancer state, T_E , and is
448 thus much slower for NEQ vs EQ models; but since the
449 protein lifetime is even longer, the mean protein levels
450 adjust equally quickly in the equilibrium and nonequi-
451 librium cases. This suggests that the dynamics of the mean
452 protein level is unlikely to discriminate between EQ and
453 NEQ models. In contrast, live imaging of the nascent
454 mRNA could put constraints on T_E [1]. In that case, the
455 filtering time scale is the elongation time, typically on
456 the order of a few minutes, while the reported transcrip-
457 tional response times—and thus estimates of T_E —would
458 range from minutes to 1–2 hours [9, 26].

459 Steady-state noise levels at high induction, as reported
460 already, are considerably higher for the NEQ model due
461 to transcriptional bursting; an intriguing further sugges-
462 tion of our analyses is a long transient in the noise levels
463 upon a high-to-low TF concentration switch, which fi-
464 nally settles to a high fractional noise level (here, $N \sim$
465 1.6) even at very low induction, due to sporadic trans-
466 scriptional bursts.

DISCUSSION

467 In this paper, we took a normative approach to
468 address the complexity of eukaryotic gene regulatory
469 schemes. We proposed a minimal extension to a well-
470 known Monod-Wyman-Changeux model that can be ap-
471 plied to the switching between the active and inactive
472 states of an enhancer. The one-parameter extension is
473 kinetic and accesses nonequilibrium system behaviors.
474 We analyzed the parameter space of the resulting model
475 and visualized the phase diagram of “regulatory phe-
476 notypes”, quantities that are either experimentally con-
477 strained (such as mean expression, mean TF residence
478 time, sensitivity), are likely to be optimized by evolu-
479 tionary pressures (such as noise and specificity), or both.
480 This allowed us to recognize and understand biophysical

387 F. Experimentally observable signatures of 388 enhancer function. 445

389 To illustrate how the proposed nonequilibrium (NEQ)⁴⁴⁷
390 MWC-like scheme could function in practice, we simu-⁴⁴⁸
391 lated it explicitly and compared it to an equilibrium (EQ)⁴⁴⁹
392 scheme with the same mean TF residence time in Fig 4.⁴⁵⁰
393 The two enhancers, composed of $n = 5$ TF binding sites,⁴⁵¹
394 respond to a simulated protocol where the TF concen-⁴⁵²
395 tration is first switched from a minimal value that drives⁴⁵³
396 essentially no expression to a high value giving rise to⁴⁵⁴
397 $E = 0.5$, and after a long stationary period, the con-⁴⁵⁵
398 centration is switched back to the low value. Figure 4A⁴⁵⁶
399 shows the occupancy of the binding sites and the func-⁴⁵⁷
400 tional **ON**/**OFF** state of the enhancer. Even though the⁴⁵⁸
401 two models share the same TF mean residence time and⁴⁵⁹
402 nearly indistinguishable induction curves (with $H \sim 2.7$),⁴⁶⁰
403 their collective behaviors are markedly different: the EQ⁴⁶¹
404 scheme appears to have significantly faster TF binding⁴⁶²
405 / unbinding as well as Mediator switching dynamics,⁴⁶³
406 whereas NEQ scheme undergoes long, “bursty” periods⁴⁶⁴
407 of sustained enhancer activation and TF binding that⁴⁶⁵
408 are punctuated by **OFF** periods. If the typical residence⁴⁶⁶
409 time of an isolated TF on its specific site were $T_0 = 1$ s,⁴⁶⁷
410 NEQ enhancer could stay active even for hour-long pe-⁴⁶⁸
411 riods ($\sim 10^4$ s), just somewhat shorter than the protein⁴⁶⁹
412 lifetime ($\sim 4 \cdot 10^4$ s). Such enhancer-associated stable⁴⁷⁰
413 mediator clusters are consistent with recent experimen-⁴⁷¹
414 tal reports [51, 52].⁴⁷²

415 The detailed steady-state behavior at high TF concen-⁴⁷³
416 tration is analyzed in Fig 4B. Consistent with our the-⁴⁷⁴
417 oretical expectations, the NEQ scheme enables ten-fold⁴⁷⁵
418 higher specificity but at the cost of substantial noise in⁴⁷⁶
419 gene expression ($N \sim 0.42$) due to strong transcriptional⁴⁷⁷
420 bursting. High noise is a direct consequence of the much⁴⁷⁸
421 longer correlation time of enhancer fluctuations, T_E , for⁴⁷⁹
422 the NEQ scheme, seen in Fig 4A. Interestingly, the mean⁴⁸⁰
423 residence time of the enhancer **ON** state, T_M , is nearly⁴⁸¹
424 unchanged between the EQ and NEQ scheme at ~ 100 ⁴⁸²
425 s: but here, the mean turns to be a highly misleading⁴⁸³
426 statistic, as revealed by an in-depth exploration of the⁴⁸⁴
427 full probability density function. The NEQ scheme has a⁴⁸⁵

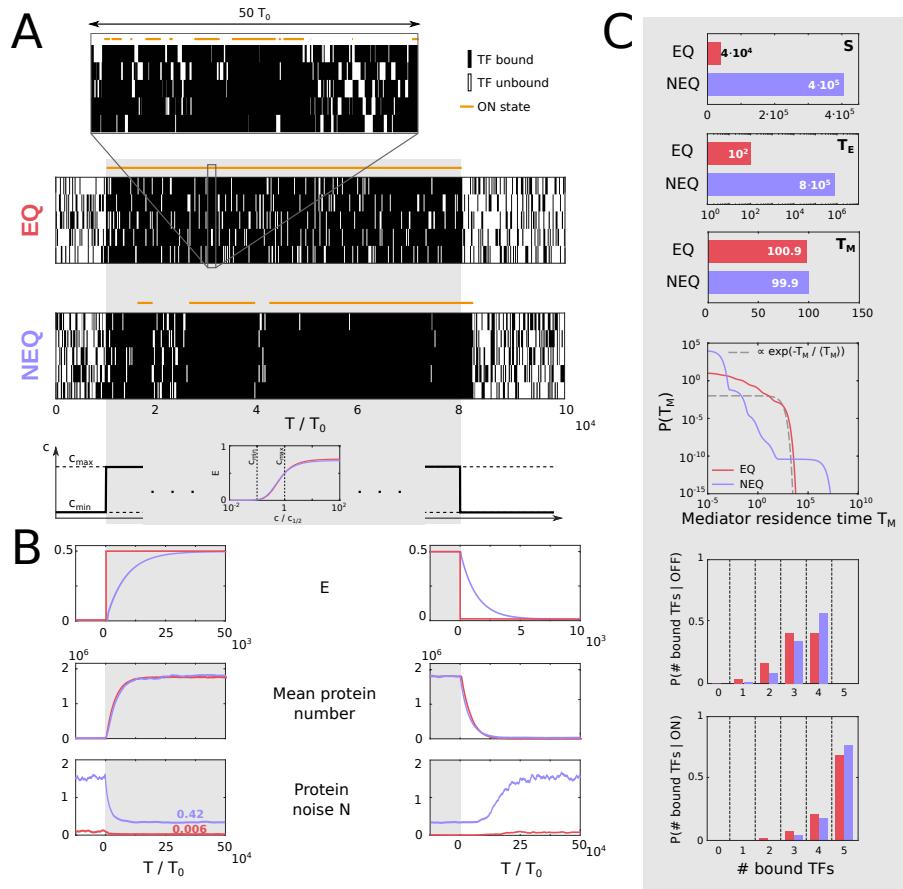


FIG. 4. High-specificity non-equilibrium schemes predict bursty gene expression. (A) Stochastic simulation of an equilibrium (EQ) and a nonequilibrium (NEQ) enhancer model with $n = 5$ TF binding sites, responding to a TF concentration step (bottom-most panel). Average TF residence times are the matched between EQ and NEQ models at $2.1T_0$, $T_0 = 1/k_-^S = 1$ s, and both induction curves (scaled for half-maximal concentration) are identical, with sensitivity $H \approx 2.7$. When TF concentration is high, expression is fixed at $E = 0.5$. Parameters for NEQ model: $\alpha = 127$, $k_{\text{link}} = 2$, $c_{\text{max}} = 0.065$; for EQ model: $k_{\text{link}} \rightarrow \infty$, $\alpha = 19.8$, $c_{\text{max}} = 0.037$. Rasters show the occupancy of TF binding sites; orange line above shows the enhancer ON/OFF state; zoom-in for EQ model is necessary due to its fast dynamics. (B) Regulatory phenotypes for EQ and NEQ models during steady-state epoch (gray in A). Specificity (S) and enhancer state correlation time (T_E) are higher for the NEQ model; the Mediator mean ON residence time, T_M , is the same between the models, but the probability density function reveals a long tail in the NEQ scheme, and a nearly exponential distribution for the EQ scheme. Last two panels show the TF occupancy histogram during high TF concentration interval, conditional on the enhancer being OFF or ON. (C) Transient behavior of the mean enhancer state (E), mean protein number (P ; assuming deterministic production/degradation protein dynamics given enhancer state), and gene expression noise, $N = \sigma_P / P$, for the NEQ and EQ models, upon a TF concentration low-to-high switch (left column) and high-to-low switch (right column). Traces shown are computed as averages over 1000 stochastic simulation replicates.

limits and trade-offs, and to identify the optimal operating regime of the proposed enhancer model that is consistent with current observations, as we summarize next.

Our analyses suggest the following: (i) individual TFs are limited in their ability to discriminate specific from random sites, $k_-^S / k_-^{\text{NS}} \sim 10^{-2}$, so high specificity must be a collective enhancer effect in the proofreading regime where $k_{\text{link}} \sim k_-^S$; (ii) mean TF residence times in an enhancer are not much higher than the typical TF residence time at an isolated specific site, $T_{\text{TF}} / T_0 \lesssim 10$, enabling rapid turnover of bound TFs on the 1 – 10 s timescale; (iii) typical sensitivities are much lower than the total

number of TF binding sites, yielding a reasonable specificity/noise balance at $H \sim n/2$ (Fig S7,S8); (iv) Mediator basal rates should maximize κ_- / κ_+ , i.e., mediator switches OFF essentially instantaneously if not stabilized by linked TFs; (v) TF concentrations required to activate the enhancer in this regime are substantially higher than expected for the equivalent but highly cooperative enhancerosome (at higher α); (vi) optimal nonequilibrium models achieve order-of-magnitude improvements in S relative to matched equilibrium models—thereby avoiding crosstalk and spurious gene expression—by suppressing induction from non-cognate (random) DNA, while

507 induction curves from functional enhancers bear no clear⁵⁵⁶
508 signatures of non-equilibrium operation; (vii) to permit⁵⁵⁷
509 large increases in specificity S , enhancer state fluctua⁵⁵⁸
510 tions will develop long timescale correlations, $T_E \gg T_{TF}$ ⁵⁵⁹
511 (but still be bounded by the protein lifetime, $T_E \lesssim T_P$ to⁵⁶⁰
512 enable noise averaging), leading to substantial observed⁵⁶¹
513 noise levels; (viii) the enhancer ON residence time dis-⁵⁶²
514 tribution will be non-exponential, with excess probabil-⁵⁶³
515 ity for very long-lived events, during which an enhancer⁵⁶⁴
516 could trigger a transcriptional burst following an interac-⁵⁶⁵
517 tion with the promoter; (ix) in our model, long correla-⁵⁶⁶
518 tion time, T_E , in steady state also implies long (minutes⁵⁶⁷
519 to hours) response times when TF concentration change,⁵⁶⁸
520 which would be observable with live imaging on the tran-⁵⁶⁹
521 scriptional, but likely not protein-concentration, level.⁵⁷⁰

522 We find it intriguing that a single-parameter exten-⁵⁷¹
523 sion of a classic equilibrium model led to such richness⁵⁷²
524 of observed behaviors, and to a suggestion that the opti-⁵⁷³
525 mal operating regime is very different from regulation at⁵⁷⁴
526 equilibrium. Central to this qualitative change is the fact⁵⁷⁵
527 that long fluctuation and response timescales of enhancer⁵⁷⁶
528 activation appear necessary to achieve high specificity of⁵⁷⁷
529 regulation through proofreading. Such long timescales⁵⁷⁸
530 are not inconsistent with our current knowledge. In⁵⁷⁹
531 indeed, some developmental enhancers form active clus-⁵⁸⁰
532 ters (super-enhancers) that are rather long-lived (order⁵⁸¹
533 of minute to hours), perhaps precisely because develop-⁵⁸²
534 mental events need to be guided with extraordinary pre-⁵⁸³
535 cision [52, 53].⁵⁸⁴

536 A strong objection to our model could be that it is⁵⁸⁵
537 too simple: after all, we neglected many structural and⁵⁸⁶
538 molecular details, many of which we may not even know⁵⁸⁷
539 yet. This is certainly true and was done, in part, on pur-⁵⁸⁸
540 pose, to permit exhaustive analysis across the complete⁵⁸⁹
541 parameter space. Such understanding would have been⁵⁹⁰
542 impossible if we explored much richer models or were con-⁵⁹¹
543 cerned with quantitative fitting to a particular dataset.⁵⁹²
544 These are clearly the next steps, to which we contribute⁵⁹³
545 by highlighting the functional importance of breaking the⁵⁹⁴
546 equilibrium link between TF binding and enhancer acti-⁵⁹⁵
547 vation state. Since our model is fully probabilistic, spe-⁵⁹⁶
548 cializing it for a particular experimental setup, e.g., live⁵⁹⁷
549 transcriptional imaging, and doing rigorous inference is⁵⁹⁸
550 technically tractable, but beyond the scope of this paper.⁵⁹⁹

551 Perhaps a key simplification of our model is the link⁵⁹⁹
552 between enhancer / Mediator ON state and transcrip-⁶⁰⁰
553 tional activity. We assumed that expression is propor-⁶⁰¹
554 tional to the probability of enhancer state to be ON, yet⁶⁰²
555 the enhancer-promoter interaction itself is a matter of vi-⁶⁰³

brant current experimentation and modeling [10, 51, 54–
556 56]. For example, long-lived activated enhancers that we
557 predict could interact with promoters only intermittently
558 to trigger transcriptional bursts, as suggested by the
559 “dynamic kissing model” [52], which could substantially
560 impact the experimentally-observable quantitative noise
561 signatures of enhancer function at the transcriptional
562 level. Whatever the true nature of enhancer-promoter
563 interactions might be, however, they are unlikely to be
564 able to remove excess enhancer switching noise, due to
565 its slow timescale, suggesting that the tradeoffs that we
566 identify should hold generically.

567 One could also question whether the importance we as-
568 ccribed to high specificity is really warranted. Evolution-
569 arily, regulatory crosstalk due to lower specificity helps
570 networks evolve during transient bouts of adaptation,
571 even though it could be ultimately selected against [57].
572 Mechanistically, molecular mechanisms such as chro-
573 matin modification or the regulated 3D structure of DNA
574 decrease the number of possible non-cognate targets that
575 could trigger erroneous gene expression [58, 59], and thus
576 alleviate the need for the high specificity of the transcrip-
577 tional control. Empirically, there is ample evidence for
578 abortive or non-sensical transcriptional activity [60, 61],
579 whose products could be dealt with downstream or sim-
580 plly ignored by the cell. Yet it is also clear that regulatory
581 specificity must be a collective effect, as individual TFs
582 bind pervasively across DNA even in non-regulatory re-
583 gions [62], and self-consistent arguments suggest that in
584 absence of non-equilibrium mechanisms, crosstalk could
585 be overwhelming in eukaryotes [24]. It is also possible
586 that real enhancers are very diverse with large variation
587 along the specificity axis, thereby navigating the noise-
588 specificity tradeoff as appropriate given the biological
589 context. Where some erroneous induction can be toler-
590 ated, expression could be quicker, less noisy, and closer to
591 equilibrium. In contrast, where tight control is needed,
592 enhancers could take a substantial amount of time to
593 commit to expression correctly, perhaps benefitting ad-
594 ditionally from extra time-averaging that could further
595 reduce the Berg-Purcell-type noise intrinsic to TF con-
596 centration sensing [50, 63–65].⁵⁹⁷

ACKNOWLEDGMENTS

GT acknowledges the support of the Human Frontiers
598 Science Program RGP0034/2018. RG was supported by
599 the Austrian Academy of Sciences DOC fellowship. RG
600 thanks S. Avvakumov for helpful discussions.

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