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2 RH: PHASING IMPROVES UTILITY OF UCES

3 **Allele Phasing Greatly Improves the Phylogenetic  
4 Utility of Ultraconserved Elements**

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22 *Abstract.*— Advances in high-throughput sequencing techniques now allow relatively easy  
23 and affordable sequencing of large portions of the genome, even for non-model organisms.  
24 Many phylogenetic studies reduce costs by focusing their sequencing efforts on a selected  
25 set of targeted loci, commonly enriched using sequence capture. The advantage of this  
26 approach is that it recovers a consistent set of loci, each with high sequencing depth, which  
27 leads to more confidence in the assembly of target sequences. High sequencing depth can  
28 also be used to identify phylogenetically informative allelic variation within sequenced  
29 individuals, but allele sequences are infrequently assembled in phylogenetic studies.  
30 Instead, many scientists perform their phylogenetic analyses using contig sequences which  
31 result from the *de novo* assembly of sequencing reads into contigs containing only canonical  
32 nucleobases, and this may reduce both statistical power and phylogenetic accuracy. Here,  
33 we develop an easy-to-use pipeline to recover allele sequences from sequence capture data,  
34 and we use simulated and empirical data to demonstrate the utility of integrating these  
35 allele sequences to analyses performed under the Multispecies Coalescent (MSC) model.  
36 Our empirical analyses of Ultraconserved Element (UCE) locus data collected from the  
37 South American hummingbird genus *Topaza* demonstrate that phased allele sequences  
38 carry sufficient phylogenetic information to infer the genetic structure, lineage divergence,  
39 and biogeographic history of a genus that diversified during the last three million years.  
40 The phylogenetic results support the recognition of two species, and suggest a high rate of  
41 gene flow across large distances of rainforest habitats but rare admixture across the  
42 Amazon River. Our simulations provide evidence that analyzing allele sequences leads to  
43 more accurate estimates of tree topology and divergence times than the more common  
44 approach of using contig sequences.  
45 (Keywords: SNP, heterozygous sites, target enrichment, gene tree, species tree,  
46 mitochondrial genome, Trochilidae, Aves)

47 Massive Parallel Sequencing (MPS) techniques enable time- and cost-efficient  
48 generation of DNA sequence data. Instead of using MPS to sequence complete genomes,  
49 many researchers choose to focus their sequencing efforts on a set of target loci to lower  
50 costs while achieving higher coverage and more reliable sequencing of these target regions  
51 (Faircloth et al. 2012, 2013; Mirarab et al. 2014; Smith et al. 2014; Faircloth 2015; Harvey  
52 et al. 2016; Meiklejohn et al. 2016). These multilocus datasets typically contain hundreds  
53 or thousands of target loci, and most are generated through enrichment techniques such as  
54 sequence capture (synonym: target enrichment, Gnirke et al. (2009)). After collecting  
55 sequence data from these targeted loci, many researchers assemble their high coverage  
56 sequence reads into “contigs” using *de novo* genome assembly software, and the “contig  
57 sequence” output by these assemblers often ignore the variants at heterozygous positions  
58 that are expected in diploid organisms. Typically, variable positions are treated as  
59 sequencing errors and assembly algorithms output “contig sequences” containing the more  
60 probable (i.e., numerous) variant while discarding the alternative (Iqbal et al. 2012). As a  
61 result, the “contig sequences” that are produced contain only canonical nucleobases, losing  
62 the information about read variability at variable positions. Hereafter, we use “contigs”  
63 and “contig sequences” to refer to the sequences that are output by *de novo* assemblers.

64 One alternative approach to generating contig sequences uses the depth of  
65 sequencing coverage to programatically identify variable positions within a targeted locus  
66 (also known as “calling” single nucleotide polymorphisms (SNPs)) and subsequently  
67 sorting (or “phasing”) these SNPs into two allele sequences or “haplotypes” which  
68 represent alleles on the same chromosome present at that locus. These approaches have  
69 been used to estimate demographic parameters such as effective population size, rate of  
70 migration, and the amount of gene flow between and within populations. However, it is  
71 rarely acknowledged (*c.f.* Lischer et al. 2014; Potts et al. 2014; Schrempf et al. 2016;  
72 Eriksson et al. 2017) that allelic sequences are useful for phylogenetic studies to improve

73 the estimation of gene trees, species trees, and divergence times (Garrick et al. 2010; Potts  
74 et al. 2014; Lischer et al. 2014). The common practice of neglecting allelic information in  
75 phylogenetic studies possibly results from historical inertia and a lack of computational  
76 pipelines to prepare allele sequences for phylogenetic analysis using MPS data.

77 In addition to the problems of determining allelic sequences, the proper analysis of  
78 allelic information in phylogenetic studies remains a challenging and intensively discussed  
79 topic (Garrick et al. 2010; Lischer et al. 2014; Potts et al. 2014; Schrempf et al. 2016;  
80 Leaché and Oaks 2017). Various approaches have been proposed to include this  
81 information into phylogenetic methods (Lischer et al. 2014; Potts et al. 2014; Schrempf  
82 et al. 2016). One is to code heterozygous sites using the International Union of Pure and  
83 Applied Chemistry (IUPAC) ambiguity codes and to include these as additional characters  
84 in existing substitution models for gene tree and species tree inference (Potts et al. 2014;  
85 Schrempf et al. 2016). While these studies demonstrate that integrating additional allelic  
86 information in this manner increases accuracy in phylogenetic inference, Lischer et al.  
87 (2014) found that coding heterozygous sites as IUPAC ambiguity codes in phylogenetic  
88 models biases the results toward older divergence time estimates. Instead, Lischer et al.  
89 (2014) introduced a method of repeated random haplotype sampling (RRHS) in which  
90 allele sequences are repeatedly concatenated across many loci, using a random haplotype  
91 for any given locus in each replicate. In their approach, they then analyzed thousands of  
92 concatenation replicates separately for phylogenetic tree estimation and summarized the  
93 results between replicates, thereby integrating the allelic information in the form of  
94 uncertainty intervals. However, there are two important shortcomings of this approach: 1.  
95 concatenating unlinked loci (and in particular allele sequences from unlinked loci) in a  
96 random manner is known to produce incorrect topologies (Degnan and Rosenberg 2009)  
97 often with false confidence (Edwards et al. 2007; Kolaczkowski and Thornton 2004;  
98 Kubatko and Degnan 2007; Mossel and Vigoda 2005), which is not accounted for when

99 doing so repeatedly and summarizing the resulting trees, and 2. running thousands of tree  
100 estimation replicates based on extensive amounts of sequence data results in unfeasibly long  
101 computation times, particularly for Markov-Chain Monte Carlo (MCMC) based softwares  
102 such as MrBayes or BEAST. Hence, there is need to find proper solutions to include  
103 heterozygous information in phylogenetic analyses, as concluded by Lischer et al. (2014).

104 Here, we introduce the bioinformatic assembly of allele sequences from UCE data  
105 (Fig. 1) and demonstrate a full integration of allele sequences to species tree estimation  
106 under the multispecies coalescent (MSC) model. In our approach, we treat each allelic  
107 sequence of an individual at a given locus as an independent sample from the population,  
108 and we analyze these sequences using the species tree and delimitation software STACEY  
109 (Jones et al. 2014; Jones 2017), which allows for this approach by not requiring *a priori*  
110 clade- or species-assignments. We first demonstrate the empirical utility of this approach  
111 by resolving the shallow genetic structure (<1 Ma) within two recognized morphospecies of  
112 the South American hummingbird genus *Topaza*, with a dataset of 2,386 ultraconserved  
113 elements (UCEs, see Faircloth et al. (2012)). We then validate this approach, using  
114 simulated data, and we find evidence that allele sequences yield more accurate results in  
115 terms of species tree estimation and species delimitation than the contig sequence approach  
116 that ignores heterozygous information. Further, our simulation results provide evidence  
117 that compiling phased allele sequences and treating these as individual samples  
118 outperforms alternative approaches of coding heterozygous information, such as analyzing  
119 sequences containing IUPAC ambiguity codes or analyzing isolated SNPs. We conclude  
120 that allele phasing for sequence capture data can be critical for correct species delimitation  
121 and phylogeny estimation, particularly in recently diverged groups, and that analyses using  
122 phased allele sequences should be considered as one, potential “best practice” for analyzing  
123 sequence capture datasets in a phylogenetic context.

124

## MATERIALS AND METHODS

125

### Study System

126 The genus *Topaza* and its sister genus *Florisuga* form the Topazes group, which together  
127 with the Hermits represent the most ancient branch within the hummingbird family  
128 (Trochilidae) (McGuire et al. 2014). Topazes are estimated to have diverged as a separate  
129 lineage from all other hummingbirds around 21.5 Ma, whereas the most recent common  
130 ancestor (MRCA) of *Topaza* and *Florisuga* lived approximately 19 Ma (McGuire et al.  
131 2014). At present, there are two morphospecies recognized within *Topaza*, namely the  
132 Fiery Topaz, *T. pyra* (Gould, 1846), and the Crimson Topaz, *T. pella* (Linnaeus, 1758).  
133 However, the species status of *T. pyra* has been challenged by some authors (Schuchmann  
134 1999; Ornés-Schmitz and Schuchmann 2011), who consider this genus to be monotypic.  
135 Topaz hummingbirds are endemic to the Amazonian rainforest and are some of the most  
136 spectacular and largest hummingbirds worldwide, measuring up to 23 cm (adult males,  
137 including tail feathers) and weighing up to 12 g (Schuchmann et al. 2016; del Hoyo et al.  
138 2016a). These birds are usually found in the forest canopy along forest edges and clearings,  
139 and are often seen close to river banks (Ornés-Schmitz and Schuchmann 2011). There is  
140 morphological evidence for several subspecies within both currently recognized *Topaza*  
141 species (Peters 1945; Schuchmann 1999; Hu et al. 2000; Ornés-Schmitz and Schuchmann  
142 2011) that we investigate using genetic data.

143

### Sequence Data Generation

144 We extracted DNA from the muscle tissue of 10 vouchered hummingbirds (9 *Topaza*, one  
145 *Florisuga*, see Table 1) using the Qiagen DNeasy Blood and Tissue Kit according to the

<sup>146</sup> manufacturer's instructions (Qiagen GmbH, Hilden, Germany). These samples cover most  
<sup>147</sup> of the genus' total geographic range (Fig. 2) and all morphologically recognized  
<sup>148</sup> intraspecific taxa (Schuchmann et al. 2016; del Hoyo et al. 2016a). All samples were  
<sup>149</sup> sonicated with a Covaris S220 to a fragment length of 800 base pairs (bp). Paired-end,  
<sup>150</sup> size-selected (range 600-800bp) DNA libraries were prepared for sequencing, using the  
<sup>151</sup> magnetic-bead based NEXTflexTM Rapid DNA-Seq Kit (Bioo Scientific Corporation,  
<sup>152</sup> Austin, TX, USA), following the user's manual (v14.02).

<sup>153</sup> We used the "Tetrapods-UCE-2.5Kv1" bait set (`uce-2.5k-probes.fasta`),  
<sup>154</sup> consisting of 2,560 baits (each 120 bp), targeting 2,386 UCEs, as described by Faircloth  
<sup>155</sup> et al. (2012). The bait sequences were downloaded from <http://ultraconserved.org> and  
<sup>156</sup> synthesized by MYcroarray (Biodiscovery LLC, Ann Arbor, MI, USA). Sequence  
<sup>157</sup> enrichment was performed using a MYbaits kit according to the enclosed user manual  
<sup>158</sup> (v1.3.8). The enriched libraries were then sequenced using 250 bp, paired-end sequencing  
<sup>159</sup> on an Illumina MiSeq machine (Illumina Inc., San Diego, CA, USA). Library preparation,  
<sup>160</sup> sequence enrichment and sequencing were performed by the Sahlgrenska Genomics Core  
<sup>161</sup> Facility in Gothenburg, Sweden.

## <sup>162</sup> *Mitochondrial Genome*

<sup>163</sup> To infer a dated mitochondrial phylogeny for the genus *Topaza* to compare with the  
<sup>164</sup> nuclear phylogeny, we used off-target mitochondrial reads to assemble the complete  
<sup>165</sup> mitochondrial genome for all samples. We found that as many as 4.5% of all sequence  
<sup>166</sup> reads were of mitochondrial origin, even though no baits targeting mitochondrial loci were  
<sup>167</sup> used during sequence capture. An alignment of the assembled mitochondrial genomes for  
<sup>168</sup> all samples was analyzed in BEAST (Drummond et al. 2012). Dating priors included  
<sup>169</sup> clock-rate priors for three mitochondrial genes, estimated for honeycreepers by Lerner et al.  
<sup>170</sup> (2011) and node-age priors within the genus *Topaza* that were estimated by McGuire et al.

<sup>171</sup> (2014). The resulting phylogeny and estimated divergence times are shown in 2. A detailed  
<sup>172</sup> description of the assembly and phylogenetic analysis of the mitochondrial genome data  
<sup>173</sup> can be found in online Appendix 1 (Supplemental Material available on Dryad,  
<sup>174</sup> doi:10.5061/dryad.hq3vq).

<sup>175</sup> *UCE Data Processing*

<sup>176</sup> For this study we generated five different types of datasets, which we analyzed under the  
<sup>177</sup> MSC. These five datasets represent different coding schemes for heterozygous information  
<sup>178</sup> and are listed and described in the following sections.

<sup>179</sup> 1. *UCE contig alignments*.— Because contig sequences are commonly used in phylogenetic  
<sup>180</sup> analyses of MPS datasets (e.g. Faircloth et al. (2012); Smith et al. (2014); Faircloth  
<sup>181</sup> (2015)), we generated multiple sequence alignments (MSAs) of contigs for all UCE loci in  
<sup>182</sup> order to test the accuracy of the phylogenetic estimation of this approach.

<sup>183</sup> To create MSAs from UCE contig data, we followed the suggested workflow from  
<sup>184</sup> the PHYLUCE documentation  
<sup>185</sup> (<http://phyluce.readthedocs.io/en/latest/tutorial-one.html>). We applied the  
<sup>186</sup> PHYLUCE default settings unless otherwise stated. First we quality-filtered and cleaned  
<sup>187</sup> raw Illumina reads of adapter contamination with Trimmomatic (Bolger et al. 2014), which  
<sup>188</sup> is implemented in the PHYLUCE function `illumiprocessor`. The reads were then  
<sup>189</sup> assembled into contigs using the software ABYSS (Simpson et al. 2009) as implemented in  
<sup>190</sup> the PHYLUCE pipeline. In order to identify contigs representing UCE loci, all assembled  
<sup>191</sup> contigs were mapped against the UCE reference sequences from the bait sequence file  
<sup>192</sup> (`uce-2.5k-probes.fasta`), using the PHYLUCE function `match_contigs_to_probes.py`.  
<sup>193</sup> We extracted only those sequences that matched UCE loci and that were present in all  
<sup>194</sup> samples (n=820). These UCE sequences were then aligned for each locus (Fig. 1) using  
<sup>195</sup> MAFFT (Katoh et al. 2009).

196 *2. UCE allele alignments.*— We altered the typical UCE workflow in order to retrieve the  
197 allelic information that is lost when collapsing multiple reads into a single contig sequence  
198 (Fig. 1). To create this new workflow, we extracted all UCE contigs for each sample  
199 separately and treated each resulting contig set as a sample-specific reference library for  
200 read mapping (reference-based assembly). We then mapped the cleaned reads against each  
201 reference library on a per sample basis, using CLC-mapper from the CLC Workbench  
202 software. The mapped reads were sorted and then phased with SAMtools v0.1.19 (Li et al.  
203 2009), using the commands `samtools sort` and `samtools phase`, respectively. This  
204 phasing function is based on a dynamic programming algorithm that uses read connectivity  
205 across multiple variable sites to determine the two phases of any given diploid locus (He  
206 et al. 2010). Further, this algorithm uses paired-end read information to reach connectivity  
207 over longer distances and it minimizes the problem of accidentally phasing a sequencing  
208 error, by applying the minimum error correction function (He et al. 2010).

209 UCE data provide an excellent dataset for allele phasing based on read connectivity,  
210 because the read coverage across any given UCE locus typically is highest in the center and  
211 decreases toward the ends. This makes it possible to phase throughout the complete locus  
212 without any breaks in the sequence. Even in cases where the only variable sites are found  
213 on opposite ends of the locus, the insert size we targeted in this study (800 bp), in  
214 combination with paired-end sequencing, enabled the phasing process to bridge the  
215 complete locus (average length of compiled UCE-sequences in our study was 870 bp).

216 The two phased output files (BAM format) were inspected for proper variant  
217 separation for all loci using Tablet (Milne et al. 2013). We then collapsed each allele BAM  
218 file into a single consensus sequence per haplotype and exported the two resulting allele  
219 sequences for each sample in FASTA format. In order to separate true heterozygous sites  
220 from occasional variants introduced by sequencing errors, we only made a nucleotide call if  
221 the respective nucleotide was supported by at least three reads. Ambiguous positions were

222 coded with the IUPAC code ‘N’ in the allele consensus sequences. We explored the  
223 difference in the treatment of heterozygous positions between the contigs produced by the  
224 *de novo* assembler ABYSS and our phased allele sequences in detail (exemplary for one  
225 sample) in online Appendix 2 (Supplemental Material).

226 In the next, step we aligned the allele sequences between all samples, separately for  
227 each UCE locus, using MAFFT (Fig. 1). We integrated this complete workflow into the  
228 UCE processing software PHYLUCE (Faircloth 2015) with slight alterations, one of which  
229 is the use of the open-source mapping program bwa (Li and Durbin 2010) in place of  
230 CLC-mapper.

231 *3. UCE IUPAC consensus sequence alignments.*— We generated an additional set of  
232 alignments by merging the two allele sequences for each individual into one consensus  
233 sequence with heterozygous sites coded as IUPAC ambiguity codes  
234 (`merge_allele_sequences_ambiguity_codes.py`, available from:  
235 [github.com/tobiashofmann88/UCE-data-management/](https://github.com/tobiashofmann88/UCE-data-management/)). We used this dataset to test  
236 whether our allele phasing approach improved phylogenetic inference when compared to  
237 the IUPAC consensus approach applied in other studies, where heterozygous positions are  
238 coded as IUPAC ambiguity codes in a consensus sequence for each locus and individual  
239 (Potts et al. 2014; Schrempf et al. 2016).

240 *4. UCE chimeric allele alignments.*— To investigate whether correct phasing of  
241 heterozygous sites is essential or if similar results are achieved by randomly placing  
242 variants in either allele sequence, we generated a dataset with chimeric allele sequence  
243 alignments. We created these alignments by applying a custom python script  
244 (`shuffle_snps_in_allele_alignments.py`, available from:  
245 [github.com/tobiashofmann88/UCE-data-management/](https://github.com/tobiashofmann88/UCE-data-management/)) to the phased allele sequence  
246 alignments and randomly shuffling the two variants at each polymorphic position between

247 the two allele sequences for each individual. This process leads, in many cases, to an  
248 incorrect combination of variants on each allele sequence, thereby creating chimeric allele  
249 sequences. The resulting alignments contain the same number of sequences as the phased  
250 allele alignments (two sequences per individual), whereas the contig alignments and the  
251 IUPAC consensus alignments contain only half as many sequences (one sequence per  
252 individual).

253 *5. UCE SNP alignment.*— A common approach to analyzing heterozygous information is  
254 to reduce the sequence information to only a single variant SNP per locus. This  
255 data-reduction approach is often chosen because multilocus datasets of the size generated  
256 in this study can be incompatible with Bayesian MSC methods applied to the full sequence  
257 data, due to extremely long computational times and convergence issues. Instead,  
258 alignments of unlinked SNPs can be used to infer species trees and species demographics  
259 under the MSC model with the BEAST2 package SNAPP (Bryant et al. 2012), a program  
260 specifically designed for such data. However, extracting and filtering SNPs from BAM files  
261 with existing software (such as the Genome Analysis Toolkit (GATK), McKenna et al.  
262 (2010)) and converting these into a SNAPP compatible format can be cumbersome,  
263 because SNAPP requires positions with exactly two different states, coded in the following  
264 manner: individual homozygous for the original state = “0”, heterozygous = “1”, and  
265 homozygous for the derived state = “2”.

266 To alleviate this problem, we developed a python function that extracts biallelic  
267 SNPs directly from allele sequence MSAs (`snps_from_uce_alignments.py`, available from:  
268 [github.com/tobiashofmann88/snp\\_extraction\\_from\\_alignments/](https://github.com/tobiashofmann88/snp_extraction_from_alignments/)). Extracting SNPs from  
269 MSAs in this manner is a straightforward and simple way to generate a SNP dataset  
270 compatible with SNAPP, and does not require re-visiting the BAM files. A similar  
271 program is also available in the R-package `phrynomics` (Leaché et al. 2015). We used this

272 approach to extract one variable position per alignment (to ensure unlinked SNPs) that  
273 had exactly two different states among all *Topaza* samples, not allowing for positions with  
274 missing data or ambiguities. This produced a SNP dataset of 598 unlinked SNPs.

275 *Generation of Simulated UCE Data*

276 To assess the accuracy of the phylogenetic inferences resulting from different data  
277 processing approaches, we simulated UCE data similar to those discussed in the five  
278 processing schemes we applied to the empirical *Topaza* data. However, because this  
279 approach required us to simulate allele alignments before generating contig alignments,  
280 steps one and two, below, are reversed from their order, above. We repeated all steps  
281 involving the generation and analyses of simulated data to produce 10 independent  
282 simulation replicates.

283 1. *Simulated allele alignments*.— In order to simulate allele alignments similar to our  
284 empirical data we first estimated species divergence times and population sizes from the  
285 empirical UCE allele MSAs under the MSC model (Rannala and Yang 2003) using the  
286 Bayesian MCMC program BPP v3.1 (Yang 2015). We applied the A00 model, which  
287 estimates divergence times and population sizes from MSAs for a given species tree  
288 topology. As input topology we used the species tree topology resulting from the analysis of  
289 the empirical allele MSAs in STACEY, assigning the *Topaza* samples to five separate taxa  
290 (corresponding to colored clades in Figure 3b). An initial BPP analysis did not converge in  
291 reasonable computational time, a problem that has previously been reported for UCE  
292 datasets containing several hundred loci (Giarla and Esselstyn 2015). To avoid this issue,  
293 we split the 820 UCE alignments randomly into 10 subsets of equal size (n=82) and  
294 analyzed these separately with identical settings in BPP. The MCMC was set for 150,000  
295 generations (burn-in 50,000), sampling every 10 generations. We summarized the estimates

296 for population sizes and divergence times across all 10 individual runs. We then applied the  
297 mean values of these estimates to the species tree topology, by using the estimated  
298 divergence times as branch lengths and estimated population sizes as node values, resulting  
299 in the species tree in Figure 4g. This tree was used to simulate sequence alignments with  
300 the MCcoal simulator, which is integrated into BPP. Equivalent to the empirical data, we  
301 simulated sequence data for five taxa (D, E, X, Y, and Z) and one outgroup taxon (F, not  
302 shown in Figure 4g). In the simulations, these taxa were simulated as true species under  
303 the MSC model. In order to mimic the empirical allele data, we simulated four individuals  
304 for species ‘D’ (equivalent to two allele sequences for 2 samples), four for species ‘E’, four  
305 for species ‘X’, two for species ‘Y’ (two allele sequences for one sample), four for species ‘Z’,  
306 and two for the outgroup species ‘F’. In this manner we simulated 820 UCE allele MSAs of  
307 848 bp length (a value equal to the average alignment length of the empirical allele  
308 alignments). The resulting simulated allele MSAs are equivalent to our empirical allele  
309 MSAs, containing two phased allele sequences for every individual that differ only in true  
310 heterozygous sites and which are not expected to contain read-errors.

311 *2. Simulated contig alignments.*— To simulate UCE contig MSAs that contain sequences  
312 similar to contigs generated by assemblers like ABYSS, Velvet or Trinity, which pick only  
313 one of the two variants at a heterozygous site, we merged the sequences within each  
314 coalescent species in pairs of two (equivalent to pairs of allele sequences). Each pair of  
315 allele sequences was joined into one contig sequence by randomly picking one of the two  
316 variants at each heterozygous site across all loci. As in the empirical contig assembly  
317 approach, our simulation approach may generate chimeric contig sequences.

318 *3. Simulated IUPAC consensus alignments.*— Next, we generated IUPAC consensus MSAs  
319 in the same manner as we generated the simulated contig MSAs in the previous step, with  
320 the exception that all heterozygous sites were coded with IUPAC ambiguity codes instead

321 of randomly picking one of the two variants.

322 *4. Simulated chimeric allele alignments.*— We generated chimeric allele sequence MSAs  
323 from the simulated allele MSAs by randomly shuffling the heterozygous sites between each  
324 pair of sequences using the same pairs as in the previous two steps.

325 *5. Simulated SNP alignment.*— Finally, we extracted two different SNP datasets from the  
326 simulated phased allele MSAs. The first SNP dataset (SNPs complete) was extracted in  
327 the same manner as described for the empirical data (one SNP per locus for all loci) which  
328 resulted in a total alignment length of 820 SNPs for the simulated data. We extracted an  
329 additional SNP dataset (SNPs reduced) from only the subset of the 150 simulated allele  
330 alignments that were used for the sequence-based MSC analyses (see next section below).  
331 The resulting dataset of 150 SNPs was used to compare the phylogenetic inference based  
332 on SNP data versus that based on full sequence data, if the same number of loci is being  
333 analyzed. This enabled us to evaluate the direct effect of reducing the full sequence  
334 information in the MSAs to one single SNP for each of the selected 150 loci.

335 *MSC Analyses of Empirical and Simulated UCE Data*

336 *Sequence-based tree estimation.*— To jointly infer gene trees and species trees, we analyzed  
337 each of the generated sets of MSAs (processing schemes 1-4 for empirical and simulated)  
338 under the MSC model, using the DISSECT method (Jones et al. 2014) implemented in  
339 STACEY (Jones 2017), which is available as a BEAST2 (Bouckaert et al. 2014) package.  
340 STACEY allows \*BEAST analyses without prior taxonomic assignments, searching the tree  
341 space while simultaneously collapsing very shallow clades in the species tree (controlled by  
342 the parameter collapseHeight). This collapsing avoids a common violation of the MSC  
343 model that occurs when samples belonging to the same coalescent species are assigned to

344 separate taxa in \*BEAST. This feature makes STACEY suitable for analyzing allele  
345 sequences, because they do not have to be constrained to belong to the same taxon and can  
346 be treated as independent samples from a population. STACEY runs with the usual  
347 \*BEAST operators, but integrates out the population size parameter and has new MCMC  
348 proposal distributions to more efficiently sample the species tree, which decreases the time  
349 until convergence. In order to reach even faster convergence, we reduced the number of loci  
350 for this analysis by selecting the 150 allele MSAs with the most parsimony informative  
351 sites. This selection was made for both the empirical and the simulated allele MSAs. The  
352 same 150 loci were selected for all other processing schemes.

353 Prior to analysis, we estimated the most appropriate substitution model for each of  
354 the 150 loci with jModeltest (Supplementary Table S1) using BIC. We used BEAUTI  
355 v2.4.4 to create an input file for STACEY in which we unlinked substitution models, clock  
356 models and gene trees for all loci. We did not apply any taxon assignments, thereby  
357 treating every sequence as a separate taxon. We chose a strict clock for all loci and fixed  
358 the average clock rate for one random locus to 1.0, while estimating all other clock rates in  
359 relation to this locus. To ensure that all resulting species trees were scaled to an average  
360 clock rate of 1.0, we rescaled every species tree from the posterior distribution (post  
361 analysis) using the average clock rate of the respective MCMC step. We applied the  
362 STACEY-specific BirthDeathCollapse model as a species tree prior, choosing a value of  
363 1e-5 for the collapseHeight parameter. Other settings were: bdcGrowthRate = log normal  
364 (M=4.6, S=1.5); collapseWeight = beta (alpha=2, beta=2); popPriorScale = log normal  
365 (M=-7, S=2); relativeDeathRate = beta (alpha=1.0, beta=1.0). For the IUPAC consensus  
366 data, we enabled the processing of ambiguous sites by adding useAmbiguities="true" to  
367 the gene tree likelihood priors for all loci in the STACEY XML file. All analyses were run  
368 for 1,000,000,000 MCMC generations or until convergence (ESS values >200), logging every  
369 20,000 generations. Convergence was assessed using Tracer v1.6 (Rambaut et al. 2013). We

370 then summarized the posterior tree distribution into one Maximum Clade Credibility tree  
371 (i.e. tree in the posterior sample that has the maximum product of posterior clade  
372 probabilities) with TreeAnnotator v2.4.4, discarding the first 10% of trees as burn-in.

373 For the simulated data, we analyzed the posterior species tree distributions of each  
374 analysis with the program SpeciesDelimitationAnalyser (part of the STACEY  
375 distribution). This program produces a similarity matrix that contains the posterior  
376 probabilities of belonging to the same cluster for each pair of sequences. This analysis was  
377 run with a collapseHeight value of 1e-5 (identical to the collapseHeight used in the  
378 STACEY analysis), while discarding the first 10% of trees as burn-in.

379 *SNP-based tree estimation.*— To estimate the species tree phylogeny from the extracted  
380 SNP data, we analyzed the empirical and simulated SNP data in SNAPP. We did not  
381 apply prior clade assignments to the samples in the SNP alignment (each sample was  
382 assigned as its own taxon). We set coalescent rate and mutation rates to be estimated  
383 based on the input data, and we chose a Yule species tree model with default settings ( $\lambda =$   
384 0.00765). We ran the analysis for 10,000,000 generations, sampling trees and other  
385 parameters from the posterior every 1,000 generations. Unlike STACEY, SNAPP assumes  
386 correct assignments of all sequences to coalescent species. Using the simulated SNP data,  
387 we therefore tested how our approach of assigning every individual as its own coalescent  
388 species affects the resulting phylogenetic inference. We did so by running a separate  
389 analysis for both simulated SNP datasets (complete and reduced) with correct species  
390 assignments (assignments as in Figure 4g).

391 *Additional Analyses*

392 We ran additional analyses of the contig and the phased allele MSAs for both the empirical  
393 and simulated data using a summary coalescent approach as implemented in MP-EST (Yu

<sup>394</sup> et al. 2007), which can be found in online Appendix 3 (Supplemental Material) and  
<sup>395</sup> Supplementary Figures S1-S3.

<sup>396</sup> **RESULTS**

<sup>397</sup> *UCE Summary Statistics*

<sup>398</sup> *Alignment statistics.*— In the following we use the term “polymorphic sites” for those  
<sup>399</sup> positions within a MSA alignment of a given locus where we find at least two different  
<sup>400</sup> states at a particular position among the sequences for all samples. This does not require a  
<sup>401</sup> particular individual being heterozygous for the given position, since we do not search for  
<sup>402</sup> SNPs on a per sample basis but rather for SNPs within the genus *Topaza*. In this manner,  
<sup>403</sup> we found that the empirical UCE contig sequence alignments had an average of 2.8  
<sup>404</sup> polymorphic sites per locus and an average alignment length of 870 bp. In contrast,  
<sup>405</sup> phasing the empirical UCE data to create allele alignments led to 4.5 polymorphic sites per  
<sup>406</sup> locus and an average alignment length of 848 bp, representing a 60% increase in  
<sup>407</sup> polymorphic sites per locus. This increase of polymorphic sites was attributable to the fact  
<sup>408</sup> that many variants get lost during contig assembly, because ABYSS and other tested  
<sup>409</sup> contig assemblers, namely Trinity and Velvet, often eliminate one of the two variants at  
<sup>410</sup> heterozygous positions (see below). The reduced length of the allele alignments in  
<sup>411</sup> comparison to the contig alignments was due to conservative alignment clipping thresholds  
<sup>412</sup> implemented in PHYLUCE, which clips alignment ends if less than 50% of sequences are  
<sup>413</sup> present. Because the allele phasing algorithm divides the FASTQ reads into two allele bins  
<sup>414</sup> and because a nucleotide is only called if it is supported by at least three high-quality  
<sup>415</sup> FASTQ reads, we lost some of the nucleotide calls at areas of low read coverage (mostly at

416 the ends of a locus) when comparing the allele sequences to the contig sequences. More  
417 information about the distribution of lengths and variable sites within the empirical UCE  
418 data can be found in the Supplementary Figures S4 and S5. The simulated contig MSAs  
419 had an average of 3.2 polymorphic sites per locus, after excluding the outgroup (average  
420 calculated across all 10 simulation replicates). The simulated allele MSAs, on the other  
421 hand, contained an average of 5.4 polymorphic sites (69% increase) across 10 independent  
422 simulation replicates. An overview of parsimony informative sites, variable sites and length  
423 of each alignment (simulated and empirical data) can be found in Supplementary Table S2.

424 *MSC Results of Empirical UCE Data*

425 The MSC species tree results for all tested processing schemes of the empirical UCE data  
426 (contig sequences, allele sequences, IUPAC consensus sequences, chimeric allele sequences  
427 and SNPs) strongly support the monophyly of both *T. pyra* and *T. pella* with 100%  
428 Bayesian posterior probability (PP) (Fig. 3 and Supplementary Fig. S6). In all MSC  
429 analyses, we also see strongly supported genetic structure within *T. pella* ( $\geq 97\%$  PP),  
430 separating the northern samples (5 and 6, sampled north of the Amazon River) from the  
431 southern ones (7, 8 and 9, sampled south of the Amazon River). Additionally, within the  
432 shallow southern *T. pella* clade, all datasets, with exception of the IUPAC consensus data  
433 (Fig. 3c), strongly support a genetic distinction ( $\geq 99\%$  PP) between sample 7 from the  
434 Amazon River delta and the other southern *T. pella* samples (8 and 9). Further, the  
435 analysis of the phased allele MSAs returns a phylogenetic signal, possibly also tracking a  
436 genetic divergence between a northern and a southern clade within *T. pyra*, but their  
437 monophyly is not very strongly supported (Fig. 3b). This pattern is further supported by  
438 the mitochondrial phylogeny, which shows the same divergence within *T. pyra*, dated at  
439 0.68 million years ago (Fig. 2 and online Appendix 1).

440

## MSC Results of Simulated Data

441 *Species tree topology.*— We analyzed six different datasets under the MSC model for each  
442 of the ten simulation replicates: contig sequence MSAs (n=150, STACEY), allele sequence  
443 MSAs (n=150, STACEY), IUPAC consensus MSAs (n=150, STACEY), chimeric allele  
444 MSAs (n=150, STACEY), reduced SNP data (n=150, SNAPP), and the complete SNP  
445 dataset (n=820, SNAPP). All resulting species trees (Fig. 4a-f) correctly return the  
446 topology of the species tree that was used to simulate the data (Fig. 4g) across all ten  
447 simulation replicates (Supplementary Fig. S7). All central nodes in the species trees are  
448 supported by  $\geq 90\%$  PP in all analyses, with the exception of the species tree resulting  
449 from the reduced SNP dataset, which shows very weak support for two nodes and has a  
450 large uncertainty interval around the root-height (Fig. 4e). However, these shortcomings  
451 disappeared when we added more (unlinked) SNPs to the dataset (Fig. 4f). The full SNP  
452 dataset (n=820) produced the correct species tree topology with high node support  
453 consistently throughout all ten independently simulated datasets (Supplementary Fig. S8).  
454 The SNAPP species tree topology appeared to be unaffected by the chosen clade  
455 assignment model; while we allowed every sequence to be its own taxon in Figure 4e and f,  
456 we also applied the correct species assignment (as in Fig. 4g) in two additional analyses for  
457 one of the simulation replicates (reduced and complete SNP data) that returned the same  
458 tree topology (Supplementary Figs. S9 and S10).

459 *Species delimitation.*— Although the inferred species tree topology was consistent among  
460 all four sequence-based MSC analyses (Fig. 4a-d), the inferred node heights varied  
461 considerably between the species trees resulting from the different data processing schemes.  
462 For the contig sequence data (Fig. 4a) and the chimeric allele data (Fig. 4d), the node  
463 heights within the five simulated species (D,E,X,Y,Z) were too high, which led to an  
464 overestimation of the number of coalescent species in the dataset (see similarity matrices).

465 Conversely, the phased allele data (Fig. 4b) and the IUPAC consensus data (Fig. 4c)  
466 correctly delimited the five coalescent species from the simulation input tree (Fig. 4g). The  
467 STACEY results showed the same pattern in all ten simulation replicates (Fig. S7).

468 *Accuracy of divergence time estimation.*— For all four sequence-based analyses (Fig. 4a-d)  
469 the average substitution rate across all loci was set to '1'. Under these settings, we  
470 expected the absolute values of the sequence-based analyses to return the node height  
471 values of the simulation input tree, which used substitution rates scaled in the same  
472 manner. The phased allele MSAs produced the most accurate estimation of divergence  
473 times out of all tested datasets (see proximity of estimates to simulation input value,  
474 represented by green line in Figure 5). This was the case for all nodes in the species tree,  
475 namely (D,E), (Y,Z), (X,(Y,Z)), and ((D,E)(X,(Y,Z))). The divergence time estimates  
476 resulting from the phased allele data accurately recovered the true values and did not show  
477 any bias throughout ten simulation replicates (Supplementary Fig. S11). This contrasts  
478 with the contig MSAs and the chimeric allele MSAs that consistently overestimated the  
479 height of all nodes and the IUPAC consensus MSAs which consistently underestimated the  
480 height of all nodes (Figs. 5 and S11).

## 481 DISCUSSION

### 482 *Phased Allele Sequences Return The Most Accurate Phylogeny*

483 We tested whether phylogenetic inference improves by phasing sequence capture  
484 data into allele sequences, in comparison to the standard workflow of analyzing contig  
485 sequences (Faircloth et al. 2012; McCormack et al. 2012; Smith et al. 2014; Faircloth 2015).  
486 The answer is yes. We find that phased allele data outperform contig sequences in terms of

487 species delimitation (Fig. 4) and divergence time estimation (Fig. 5). Contig sequence  
488 MSAs on the other hand lead to a consistent overestimation of divergence times (Fig. 5),  
489 which in turn lead to an overestimation of the number of coalescent species in our  
490 simulated data (Fig. 4a). These results support earlier work by Lischer et al. (2014), who  
491 concluded that consensus sequences introduce a bias towards older node heights. Because  
492 both our empirical and simulated data represent rather shallow phylogenetic relationships,  
493 future research is required to determine if these findings also apply to datasets representing  
494 divergence events occurring in deeper time.

495 Besides these practical advantages of using phased allele sequences for phylogenetic  
496 analyses, there are further theoretical arguments for compiling and analyzing allele  
497 sequence MSAs from sequence capture datasets.

498 First, allele sequences represent the smallest evolutionary unit on which selection  
499 and other evolutionary processes act. Therefore, the coalescent models that underlie our  
500 phylogenetic methods, including the MSC model Degnan and Rosenberg (2009), have been  
501 developed for allele sequences. Contig sequences, on the other hand, represent an artificial  
502 and possibly chimeric sequence construct that arises from merging all read variation at a  
503 given locus into a single sequence. This process masks information by eliminating one of  
504 the two variants at a heterozygous site (online Appendix 2). This shortcoming of the most  
505 common assemblers (e.g. ABYSS, Trinity and Velvet) is due to the fact that they were  
506 designed to assemble sequences of haploid genomes and they are not optimized for  
507 heterozygous sequences or genomes (Bodily et al. 2015).

508 Second, not only are allele sequences the more appropriate data type, but phasing  
509 sequence capture data also leads to a doubling of the effective sample size, since two  
510 sequences are compiled for a diploid individual, in contrast to the single sequence per  
511 individual that is recovered when taking the contig approach. Here, we demonstrate how  
512 these sequences can be properly applied as independent samples from a population by

513 using the assignment-free BirthDeathCollapse model as implemented in STACEY. Because  
514 STACEY requires no *a priori* assignment of sequences to taxa, it avoids a violation of the  
515 MSC that would occur when analyzing allele sequences as separate taxa in \*BEAST, since  
516 \*BEAST assumes each taxon constitutes a separate coalescent species.

517 Third, sequence capture datasets such as UCEs are optimal for allele phasing  
518 because they contain high read coverage collected across short genomic intervals that are  
519 optimal for read-connectivity based phasing. The workflow developed in this study is now  
520 fully integrated into the PHYLUCE pipeline, making allele phasing for sequence capture  
521 data easily available to a broad user group.

## 522 *Phasing of Heterozygous Sites Matters*

523 Several studies have accounted for heterozygosity by inserting IUPAC ambiguity codes into  
524 their sequences at variable positions (Potts et al. 2014; Schrempf et al. 2016), rather than  
525 phasing SNPs to produce separate allele sequences. Here, we directly compared these two  
526 approaches, and found that the IUPAC consensus sequences performed equally well to the  
527 phased allele sequences for estimating the species tree topology (Fig. 4). However, IUPAC  
528 consensus sequence data led to a consistent underestimation of the divergence times of all  
529 nodes in the species tree (Fig. 5). Our results contrast with those of (Lischer et al. 2014),  
530 who reported an overestimation of divergence times for alignments containing IUPAC  
531 ambiguity codes. The differences between our results may simply be caused by the different  
532 tree inference programs used. Lischer et al. (2014) applied a Neighbour Joining (NJ) tree  
533 algorithm as implemented in the software PHYLIP (Felsenstein 2005) that treats two  
534 sequences containing the same ambiguity codes as identical. In effect, the approach used by  
535 Lischer et al. (2014) did not directly investigate the effect of IUPAC ambiguity codes on  
536 phylogenetic estimates but rather the effect of removing heterozygous sites. Our approach  
537 of analyzing IUPAC consensus sequences under the MSC in STACEY, on the other hand,

538 properly integrates these IUPAC ambiguity codes into the calculation of the gene tree  
539 likelihoods. Thus, we conclude that IUPAC ambiguity codes introduce a bias towards  
540 younger divergence times, even when properly integrated into the phylogenetic model. The  
541 underlying cause of this discrepancy should be further investigated in future studies.

542 We also tested whether the improved performance of phased allele sequences in  
543 comparison to contig or IUPAC consensus sequence data may merely be an effect of  
544 doubling the number of sequences in the MSAs, by analyzing a dataset of chimeric allele  
545 sequences with randomly shuffled SNPs. As with the contig data, the chimeric allele data  
546 led to an overestimation of the number of coalescent species (Fig. 4d) and to a biased  
547 estimation towards older divergence times (Fig. 5). The fact that contig sequences and  
548 chimeric allele sequences produce very similar results in our analyses is not surprising,  
549 because contigs, themselves, represent chimeric consensus sequences of the variation found  
550 at a locus within an individual. The similarity of the results between contig MSAs and  
551 chimeric allele MSAs also shows that the number of sequences being analyzed does not  
552 affect the estimated topology, species delimitation or divergence time estimates (Figs. 4  
553 and 5).

554 Based on the findings discussed above, we conclude that proper phasing of  
555 heterozygous positions is preferable to the alternative of coding heterozygous sites as  
556 IUPAC ambiguity codes, particularly when the estimation of divergence times is of interest.  
557 Further, allele sequences are theoretically more appropriate input for coalescent models and  
558 should be the preferred data type input to these models. The scalability of this approach  
559 to larger sample sizes and the applicability of our results to studies of older divergences are  
560 questions that should be investigated in future studies.

561 One additional issue that we do not address in this study are the effects of  
562 sequencing errors. While sequencing errors can potentially be a serious issue particularly for  
563 datasets affected by low read coverage, we do not expect sequencing errors to be assembled

564 into our final allele sequences, due to our relatively high read coverage per exported variant  
565 (>three reads each). The effects of sequencing errors and incorrectly inferred read  
566 variability on downstream analyses are subjects that need to be explored in future studies.

567 *Practicality of Using Phased Allele Data in Multilocus Phylogenetics*

568 In this study, we analyze MSAs resulting from the different processing schemes in a MSC  
569 framework using the STACEY BirthDeathCollapse tree model. However, due to the size  
570 (number of samples and loci) of many sequence capture datasets, it is often unfeasible to  
571 analyze all MSAs jointly in one MSC analysis because of computational limitations (Smith  
572 et al. 2014; Manthey et al. 2016). This problem is exacerbated when working with allele  
573 MSAs compared to the contig or IUPAC consensus approach, because each alignment  
574 contains twice the number of sequences, leading to a doubling of tips in all estimated gene  
575 trees. Here we outline three different strategies of addressing this problem:

576 1. One reasonable approach to data reduction is to use a subset of the allele MSAs  
577 for phylogeny estimation. We chose this approach here and reduced the UCE dataset from  
578 820 MSAs to 150 MSAs in order to reach convergence of the MCMC (BirthDeathCollapse  
579 without taxon-assignments) within a reasonable time frame (three to four days, single core  
580 on a Mac Pro, Late 2013, 3.5 GHz 6-Core Intel Xeon E5 processor). This approach has the  
581 advantage that we can fully integrate the allelic sequence information and avoid *a priori*  
582 assignments of allele sequences to taxa. However this approach discards the majority of the  
583 multilocus information by excluding most MSAs from the analysis.

584 2. An alternative approach to data reduction, while keeping the multilocus  
585 information of all loci, is to analyze only a single polymorphic position (SNP) per MSA  
586 using SNAPP (Bryant et al. 2012). We find that phased allele MSAs provide an excellent  
587 template for SNP extraction; since all polymorphisms present in the allele sequences have  
588 already undergone quality and coverage filters, it is very straightforward to extract SNPs

589 directly from the allele MSAs. We provide an open-source script for this purpose which  
590 also converts the extracted SNPs into a SNAPP compatible format. In our study, this  
591 approach produced the correct species tree topology and also estimated the relative  
592 node-heights correctly (Fig. 4f). However, SNAPP can only estimate relative and not  
593 absolute values for divergence times (Bryant et al. 2012), in contrast to sequence-based  
594 analyses (Fig. 4a-d) that deliver absolute divergence time estimates. A more thorough  
595 discussion about extracting SNPs from sequence capture data can be found in online  
596 Appendix 4 (Supplemental Material).

597 3. Another common approach is to abdicate the more appropriate but  
598 computationally heavy co-estimation of gene trees and species trees of the MCMC-based  
599 MSC methods and chose species tree methods that separate gene tree and species tree  
600 estimation into two consecutive steps. This family of methods is often referred to as  
601 summary coalescent methods. In this approach gene trees are estimated separately for each  
602 MSA. In a subsequent step, the estimated gene trees are used to infer the most likely  
603 species tree. The advantage of this approach is that the number of independent loci being  
604 analyzed does not constitute a serious computational limitation, because every gene tree is  
605 estimated independently, which allows for efficient computational parallelization. On the  
606 other hand, summary coalescent methods are sensitive to the number of informative sites  
607 per individual locus (Gatesy and Springer 2014; Springer and Gatesy 2014). Given that  
608 our phased allele MSAs contained on average 60% more polymorphic sites than the contig  
609 MSAs (69% for the simulated data), we argue that phased allele MSAs may lead to more  
610 precise phylogenetic estimates under the summary coalescent approach in comparison to  
611 contig MSAs. In our case, the summary coalescent approach was not very suitable, due to  
612 rather conserved alignments with limited number of informative sites for individual gene  
613 tree inference, which obscured the inference of branch lengths in the species tree (online  
614 Appendix 3). However, in the case of our simulated data, we observed a more precise

615 estimate of the species tree topology based on phased allele MSAs when compared to those  
616 based on contig MSAs (online Appendix 3). In conclusion the summary coalescent  
617 approach can be suitable if the individual alignments contain a sufficient number of  
618 parsimony informative sites for gene tree inference, and for this reason it is likely that  
619 phased allele MSAs might return more precise phylogenetic estimates than contig MSAs.  
620 However, further simulation studies are required to properly test this hypothesis.

621 *Phylogenetic relationships in Topaza*

622 *One or two species?.*— Our results show a separation of two lineages within the genus  
623 *Topaza* that is dated at ca. 2.4 Ma in the mitochondrial tree (Fig. 2 and online Appendix  
624 1). These lineages are consistent with the previously described morphospecies *T. pyra*  
625 (Gould, 1846) and *T. pella* (Linnaeus, 1758) that are generally accepted in the  
626 ornithological community (Hu et al. 2000; del Hoyo et al. 2016a). However, the species  
627 status of *T. pyra* has been challenged by some authors (Ornés-Schmitz and Schuchmann  
628 2011; Schuchmann 1999). These authors concluded that *Topaza* is a monotypic genus with  
629 *T. pyra* being a subspecies of *T. pella*, which they refer to as *T. pella pyra*. Our results  
630 consistently support *T. pyra* as a separate lineage across all analyses, lending no support  
631 for the conspecificity of these two taxa (Fig. 3).

632 *Genetic divergence within morphospecies.*— One aim of this study was to evaluate the  
633 genetic structure within the two morphospecies, *T. pyra* and *T. pella*. The mitochondrial  
634 tree shows two divergent clades within *T. pyra* (Fig. 2 and online Appendix 1), but these  
635 clades are not strongly supported by the UCE data (Fig. 3), even though the allele  
636 sequence data are picking up a signal that possibly indicates two clades are in the process  
637 of diversifying (Fig. 3b). For *T. pella*, on the other hand, we consistently find the same  
638 clades throughout all multilocus MSC analyses (Fig. 3), leading us to distinguish between

639 the following populations that are congruent with previous morphological subspecies  
640 descriptions: a northern *T. pella* population (*T. pella pella*), a southern *T. pella*  
641 population (*T. pella microrhyncha*) and a separate population occupying the estuary  
642 region of Amazon River (*T. pella smaragdula*). We discuss these phylogenetic conclusions  
643 in more detail in online Appendix 5 (Supplemental Material).

644 *Summarizing biogeographic remarks.*— The presence of genetically similar individuals  
645 sampled at great geographic distances (e.g. samples 5 and 6) suggests that *Topaza*  
646 hummingbirds maintain high levels of gene flow across vast distances of rainforest habitat.  
647 At the same time, we find indicators of phylogenetic structure within species,  
648 distinguishing samples that are separated by only a small geographic distance (see e.g.  
649 samples 6 and 8). These samples are however separated by the Amazon River, which has  
650 been found to constitute a dispersal barrier for various species of birds and many other  
651 animals (Remsen and Parker 1983; Clair 2003; Hayes and Sewlal 2004; Moore et al. 2008;  
652 Fernandes et al. 2012; Ribas et al. 2012; Thom and Aleixo 2015). Even though some  
653 hummingbird species are known to disperse across large distances (Wyman et al. 2004;  
654 Russell et al. 1994), the Amazon River and its associated habitats (such as seasonally  
655 flooded forests) may be part of a complex network of factors that inhibit gene flow among  
656 populations of *Topaza* hummingbirds.

## 657 CONCLUSIONS

658 This study provides evidence that the assembly of phased allele sequence MSAs improves  
659 phylogenetic inference under the MSC model. We find that contig sequences, on the other  
660 hand, which are commonly used for phylogenetic inference, lead to biases in the estimation  
661 of divergence times. Additionally, phased allele sequence MSAs provide a useful template  
662 for the extraction of SNP data, and SNP data can be applied as an alternative dataset for

663 phylogenetic inference, circumventing some computational limitations when analyzing  
664 multilocus full-sequence data with MCMC-based MSC methods. Our empirical results  
665 suggest the separation of two species within the genus *Topaza*, and we further find genetic  
666 structure within one of these species, justifying the definition of separate subspecies. Based  
667 on our empirical and simulated results, we conclude that allele phasing should be  
668 considered as one “best practice” for processing sequence capture data, although the  
669 sample-size, phylogenetic scale, and analytical limitations of this approach have not yet  
670 been well-established.

## 671 SUPPLEMENTARY MATERIAL

672 Supplementary material, including Supplemental Figs. S1-S11, Supplemental Tables S1  
673 and S2, online Appendices 1-5 as well as data files, can be found in the Dryad data  
674 repository at <https://doi.org/10.5061/dryad.hq3vq>.

## 675 AVAILABILITY

676 The documentation for the allele phasing workflow, which we included into the PHYLUCE  
677 pipeline, can be found here:

678 <http://phyluce.readthedocs.io/en/latest/tutorial-two.html>. The script for  
679 extracting SNPs from MSAs is available here:

680 [https://github.com/tobiashofmann88/snp\\_extraction\\_from\\_alignments](https://github.com/tobiashofmann88/snp_extraction_from_alignments). All  
681 processing and analyses steps executed on the data are stored in bash-scripts on our  
682 project GitHub page at [https://github.com/tobiashofmann88/topaza\\_uce](https://github.com/tobiashofmann88/topaza_uce). The raw  
683 sequencing reads are stored in the NCBI Short Read Archive (SRA) at  
684 <https://www.ncbi.nlm.nih.gov/sra/SRP135707>.

685

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Table 1: Sequenced specimens and coordinates of their sampling locations, subspecies identifications based on morphological characters, abbreviation for sample providers: INPA = Instituto Nacional de Pesquisas da Amazônia, MPEG = Museum Paraense Emílio Goeldi, USNM = NMNH, Smithsonian Institution, Washington DC, USA.

ID	Taxon	Subspecies	Voucher number	Latitude	Longitude
1	<i>Topaza pyra</i>	<i>amaruni</i>	INPA A1106	-0.044167	-66.94944
2	<i>T. pyra</i>	<i>pyra</i>	MPEG 62475	-1.559444	-65.88006
3	<i>T. pyra</i>	<i>pyra</i>	MPEG 62474	-4.083889	-60.66050
4	<i>T. pyra</i>	<i>pyra</i>	MPEG 52721	-7.350000	-73.66667
5	<i>T. pella</i>	NA	USNM 586322	7.220000	-60.29000
6	<i>T. pella</i>	<i>pella</i>	INPA A3319	-1.927900	-59.41600
7	<i>T. pella</i>	<i>smaragdula</i>	MPEG 61688	-1.950000	-51.60000
8	<i>T. pella</i>	<i>microrhyncha</i>	MPEG 65603	-5.352417	-57.47500
9	<i>T. pella</i>	NA	INPA A6233	-9.028550	-64.24231
10	<i>Florisuga fusca</i>	NA	MPEG 70697	-15.15972	-39.04500

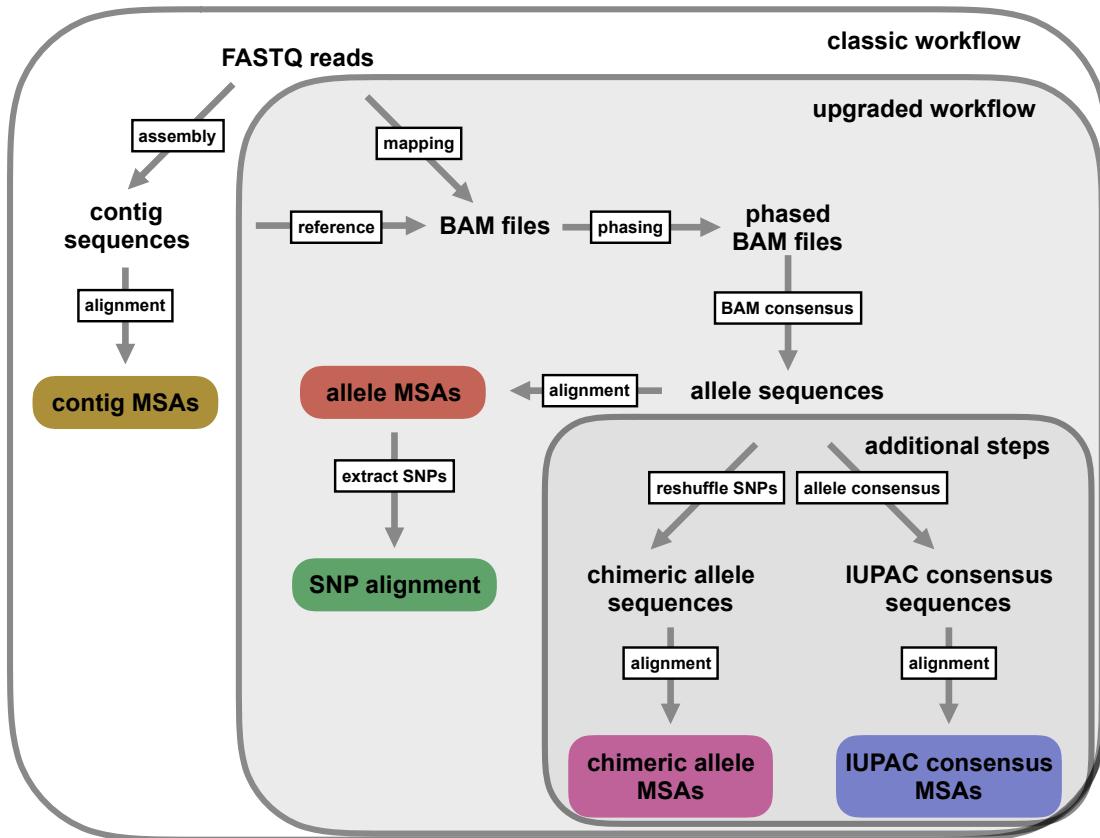


Figure 1: Depiction of the workflow used in this manuscript. Colored boxes represent different types of multiple sequence alignments (MSAs) used for phylogenetic inference in this study. In addition to the standard UCE workflow (boxlabel: classic workflow) of generating contig MSAs (Faircloth et al. 2012; Smith et al. 2014; Faircloth 2015), we extended the bioinformatic processing in order to generate UCE allele MSAs, and to extract single nucleotide polymorphism (SNPs) from these allele MSAs (boxlabel: upgraded workflow). We added these new functions to the PHYLUCE pipeline (Faircloth 2015). Additional data processing steps (boxlabel: additional steps) were executed in this study in order to test different codings of heterozygous positions.

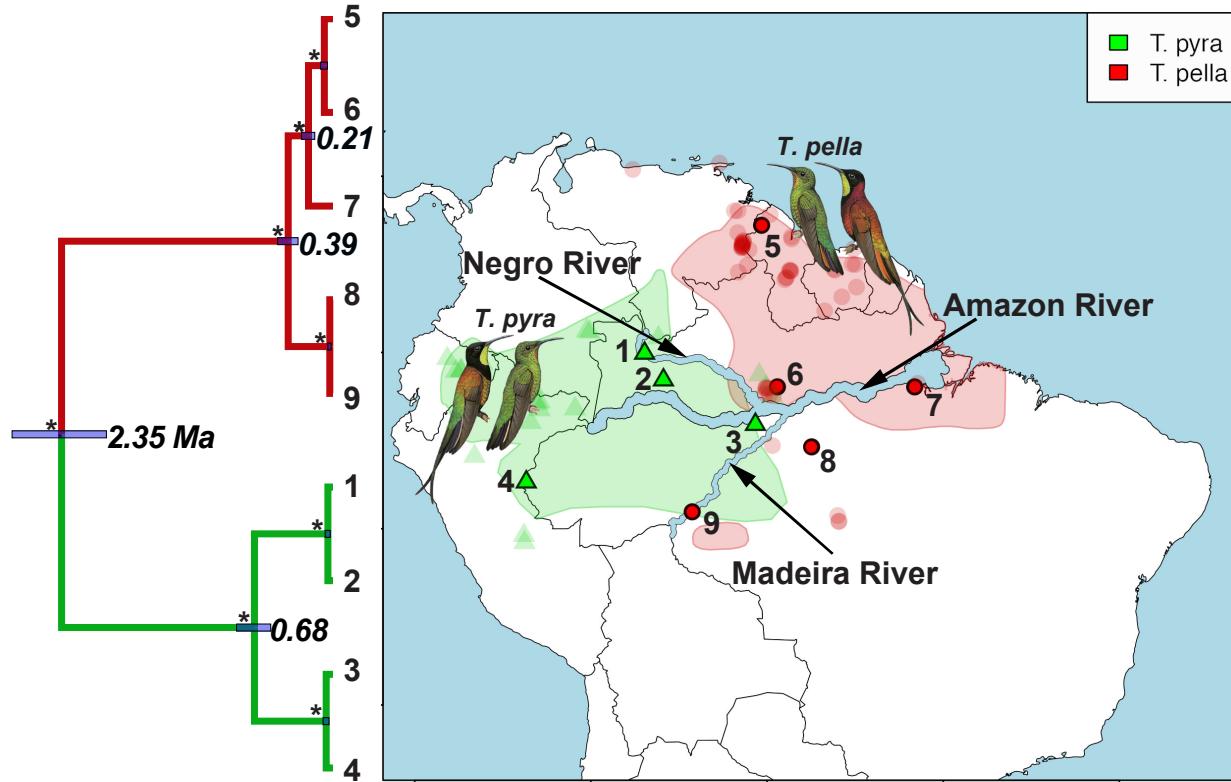


Figure 2: Distribution ranges and mitochondrial phylogeny of the South American hummingbird genus *Topaza*. Tip labels of phylogeny and numbers on map represent sample IDs (Table 1) of sequenced *Topaza* specimens. Node labels in phylogeny show mean divergence time estimates for mitochondrial lineages, with node bars representing the surrounding uncertainty (95% highest posterior density (HPD)). All nodes are supported with 100% posterior probability (PP), as indicated by asterisks. Polygons on map represent distribution ranges of the two morphospecies (*T. pyra* and *T. pella*) as estimated by BirdLife International (<http://www.birdlife.org>). Transparent symbols (triangles and circles) represent *Topaza* sightings, which were downloaded from the eBird database (Sullivan et al. 2009). The major river systems in the Amazon drainage basin are labeled and emphasized in size for better visibility. *Topaza* illustrations were provided by del Hoyo et al. (2016b).

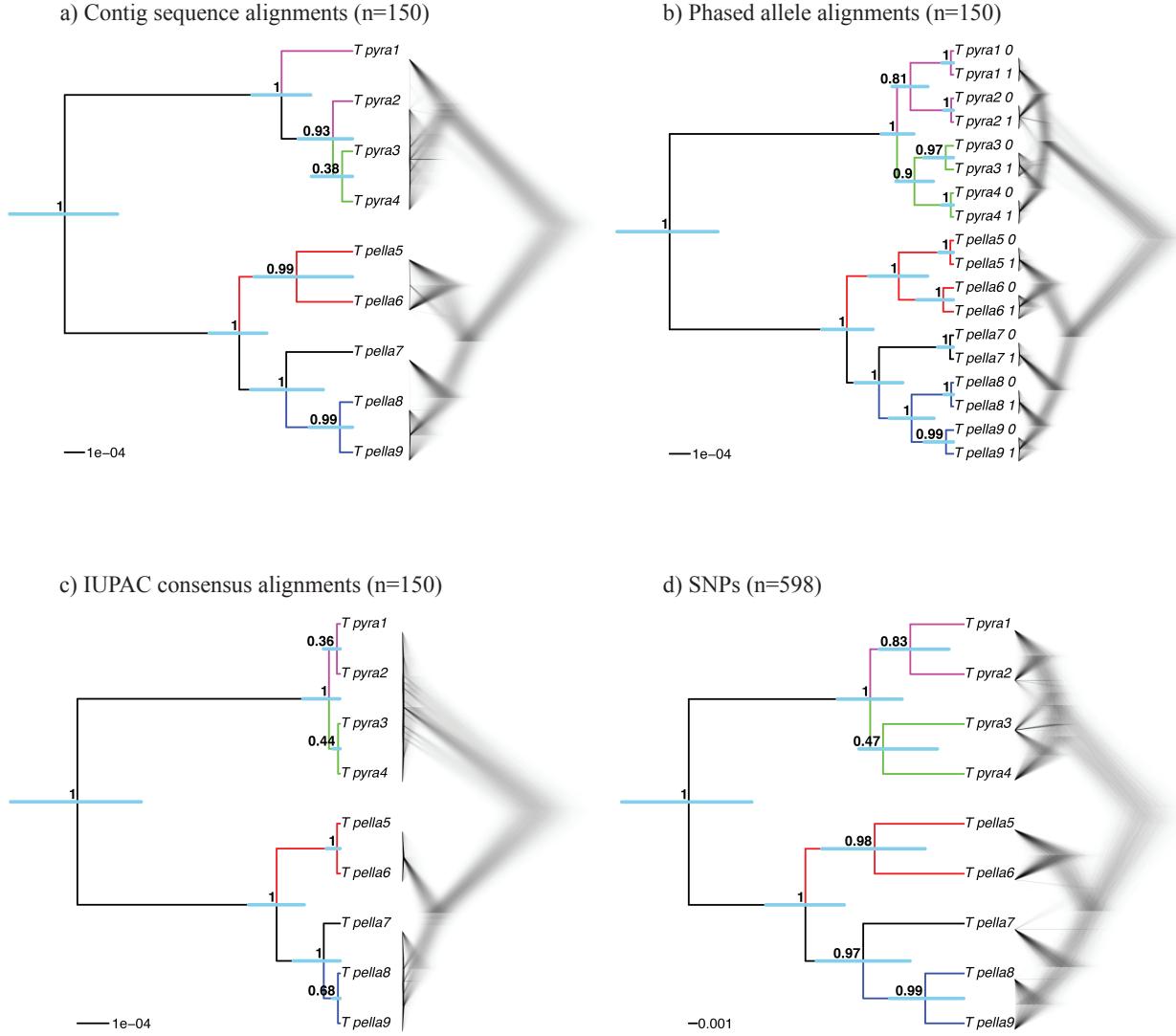


Figure 3: Multispecies Coalescent (MSC) species trees for the empirical *Topaza* data, based on four different data types used in this study: contig sequence MSAs, phased allele sequence MSAs, IUPAC consensus sequence MSAs and SNP data. a) STACEY species tree from UCE contig alignments (n=150), b) STACEY species tree from UCE allele alignments (n=150), c) STACEY species tree from UCE IUPAC consensus alignments (n=150) and d) SNAPP species tree from UCE SNP data (1 SNP per locus if present, n=598). Shown are the Maximum Clade Credibility trees (node values = PP, error-bars = 95% HPD of divergence times) and a plot of the complete posterior species tree distribution (excluding burn-in).

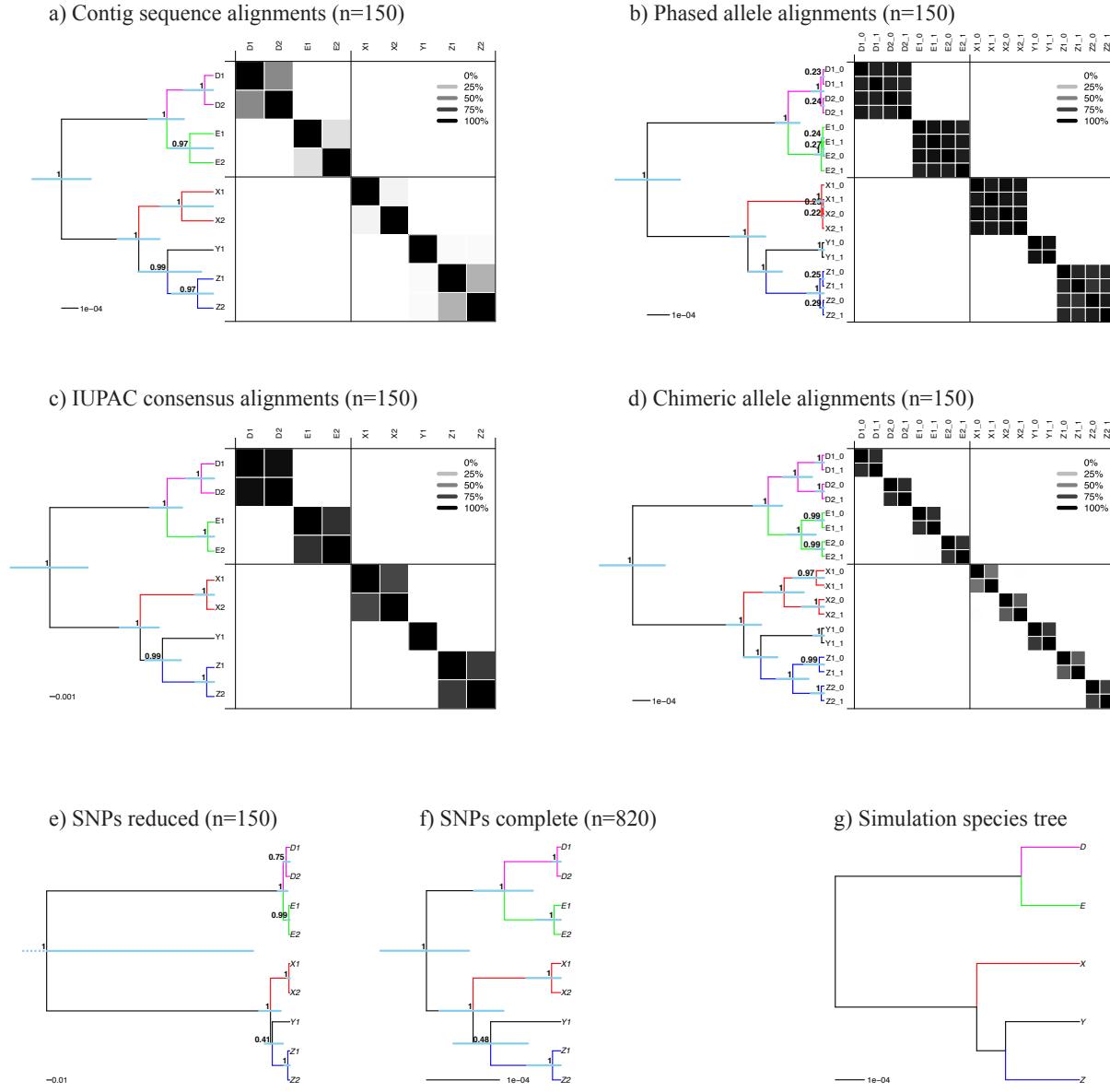


Figure 4: MSC species tree results for different data processing schemes of simulated data. a) to d) show the STACEY results of the four different types of MSAs analyzed in this study. Displayed in these panels are the Maximum Clade Credibility trees and the similarity matrices depicting the posterior probability of two samples belonging to the same clade, as calculated with SpeciesDelimitationAnalyser. Dark panels depict a high pairwise similarity, whereas light panels depict low similarity scores (see legend). e) and f) show the Maximum Clade Credibility trees resulting from SNAPP for our two SNP datasets, (reduced and complete). g) shows the species tree under which the sequence data were simulated in this study. Node support values in PP, blue bars representing 95% HPD confidence intervals.

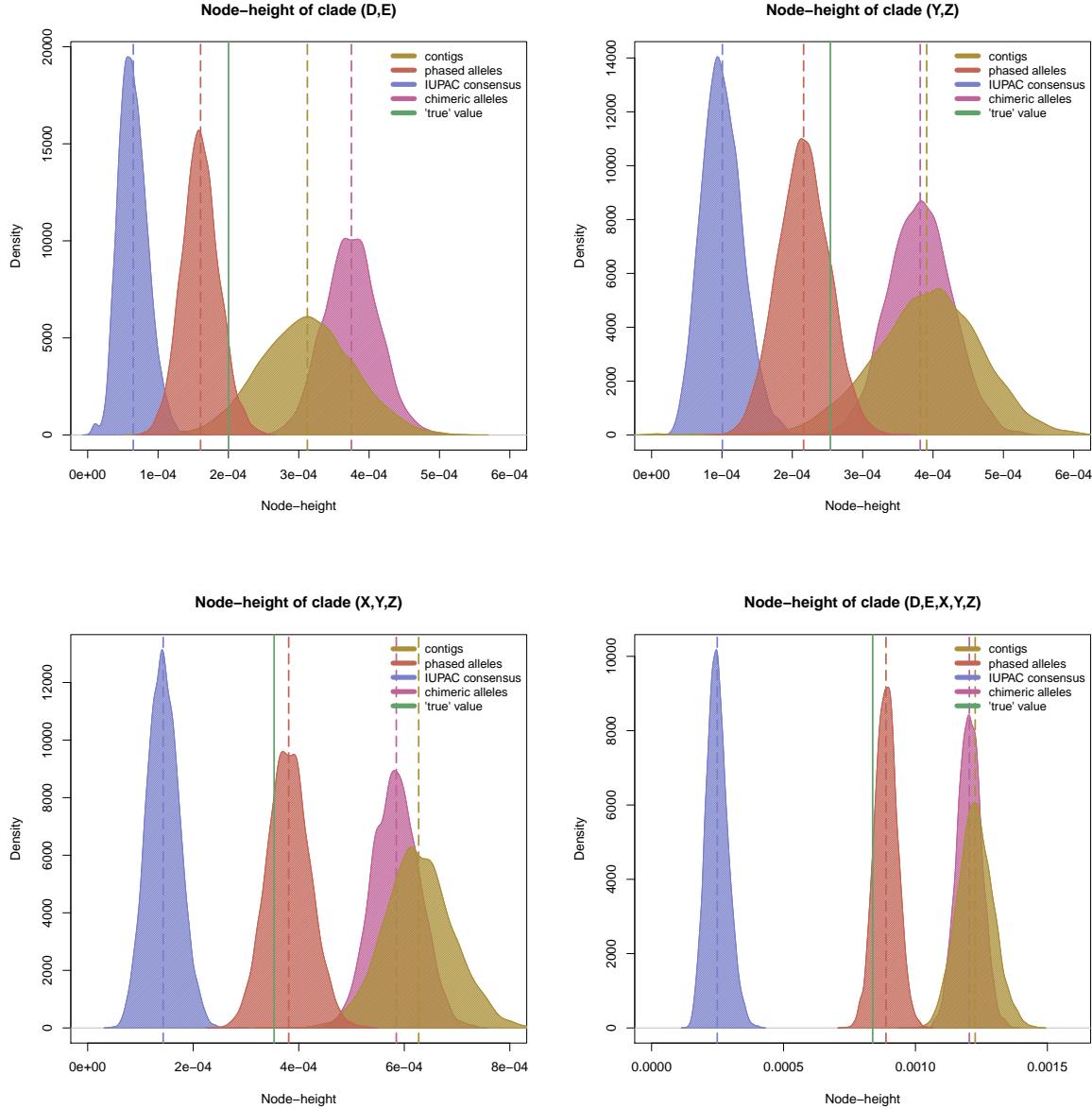


Figure 5: Posterior distributions of divergence times, estimated with STACEY. Each panel represents a different node in the STACEY species tree (see panel titles) and shows density plots of the posterior node-height distribution (excl. 10% burnin) for each of the 4 sequence-based processing schemes: contig sequences, phased allele sequences, IUPAC consensus sequences and chimeric allele sequences (see legend for color-codes). The dotted vertical lines show the means of these posterior distributions. The solid vertical line shows the true node height value, which is the node height for the respective clade in the input species tree, under which the sequence alignments were simulated.