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## Neural Mechanisms of Mutualistic Fish Cleaning Behaviour: a Study in the Wild

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34 **Abstract**

35 One crucial interaction for the health of fish communities in coral reefs is performed by the cleaner  
36 fish by removing ectoparasites and other particles from the body of other fish, so called clients.  
37 Studying the underlying mechanisms of this behaviour is essential to understanding how species react  
38 to social stimuli and defining the drivers of mutualism. Here, we pinpoint the neural molecular  
39 mechanisms in the cleaning behaviour of *Labroides dimidiatus* in the wild through an *in-situ*  
40 interaction experiment at a coral reef in New Caledonia. Five cleaners and clients (*Abudefduf*  
41 *saxatilis*) were placed into underwater aquaria to interact, while five were not presented with a client.  
42 The brain transcriptomes revealed 291 differentially expressed genes in cleaners that were interacting  
43 with a client. Among these genes, *grin2d*, *npv*, *slc6a3* and immediate early genes (*fosb*; *fosl1*; *nr4a1*)  
44 were related to learning and memory, glutamate and dopamine pathways, which confirm molecular  
45 pathways observed in laboratory studies. However, a new potential mechanism was found with *npv*  
46 (Neuropeptide Y) as a driver of feeding behaviour. These results show that *in-situ* experiments are  
47 essential for corroborating interpretations inferred from experiments in captivity and identify drivers  
48 of interspecific interactions.

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50 Keywords: mutualism, cleaner fish, brain transcriptome, neuroethology, cleaning behaviour

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## 67 **Introduction**

68 Social behaviour affects individual fitness in animal populations, influencing their persistence (1).  
69 The interaction between two species can lead to conflictual situations, such as competing for the same  
70 limited resources (competition) but can also be a beneficial collaboration (mutualism) where both  
71 parties gain an advantage from the interaction (2). Over time, the expression of such interaction  
72 behaviours has been shaped by natural selection by finetuning the ability of individuals to maximize  
73 the benefits of social interactions (3). This led some species to specialize and evolve sophisticated  
74 social behaviours, using interaction with other individuals to cover basic biological needs such as  
75 feeding or predator defence (4,5). Mutualistic interactions are frequent in nature and require a high  
76 grade of social skills and cognition of the social environment (5–7). Thus, species involved in a  
77 mutualistic interaction can exploit the most marginal environments, capitalizing on unoccupied  
78 niches and avoiding competition (8). Therefore, mutualisms are drivers of ecosystem complexity and  
79 functions (9).

80 In coral reefs, the blue streak cleaner wrasse *Labroides dimidiatus* relies on social interactions as its  
81 main trophic source (10). Its survival is based on the ability to clean other fish (called clients)  
82 consuming parasites, mucus, and dead skins from their bodies (11). This cleaner fish can have over  
83 2200 interactions per day and is considered a "dedicated cleaner" due to its persistence in cleaning  
84 throughout its life (12). Due to the central role of its social interactions, the cleaner wrasse has evolved  
85 decision-making, reputation management, and social skills to better manage its reputation and  
86 clientele in every social context (13,14). Indeed, *L. dimidiatus* has the capacity to prioritize different  
87 clients based on their ecological patterns (accessibility to only one or multiple cleaning station within  
88 the home range) and adjust cooperation levels (the ratio between parasites and mucus eaten) in the  
89 presence of a bystander client fish (4,14). Therefore, the ability to use social skills and the phenotypic  
90 flexibility shown in cleaning interactions make *L. dimidiatus* an ideal species for examining the  
91 drivers of such social interaction behaviour.

92 Gene expression is one of the main processes involved in the phenotypic response to the social  
93 environment, modulating species' plasticity in the short- and long-term (15,16). For instance,  
94 differential expression of Vitellogenin drives the division of labour in Hymenoptera (16) and  
95 knocking out the *Hrh1* gene reduces aggressiveness in mice and zebrafish when exposed to an  
96 unfamiliar individual (17,18). For cichlids, *Astatotilapia burtoni*, behavioural responses to intruders  
97 or gravid females are regulated by nonapeptides and sex steroid gene expression (19). For the cleaning  
98 behaviour in *L. dimidiatus*, glutamatergic receptors, immediate early genes (IEGs), isotocin, estrogen  
99 and progesterone receptors as well as dopaminergic pathway genes play a central role in the brain

100 (20). Processes of learning and memory in the cleaner wrasse are suggested to be mediated by  
101 glutamate through different expression of both ionotropic and metabotropic receptor genes, while  
102 partner recognition, which is a key factor influencing the interaction behaviour, may be driven by  
103 IEGs (20). In addition, reduction of dominance towards the client and promotion of prosocial  
104 behaviour have been associated with the expression of estrogen and progesterone (20). Thus, different  
105 gene expression patterns modulate the species' response to social stimuli, influencing their cleaning  
106 success by promoting their capacity to react to the social environment.

107 Most of our understanding of molecular drivers underlying social behaviours comes from mechanistic  
108 experiments conducted in captivity, and the lack of in-situ experimental data is evident. Gathering  
109 data in natural settings eliminates a potential distortion in phenotypic signals caused by captivity  
110 conditions in lab-based experiments (21,22). Thus, in-situ experiments are essential to corroborate  
111 or contest conclusions observed in ex-situ experiments. Therefore, our aim is to unravel the neural  
112 molecular drivers involved in the interaction behaviour of *L. dimidiatus* and its client through an in-  
113 situ experiment in the wild. As observed in previous studies in captivity, we may expect to find  
114 differential expression of Immediate Early Genes and genes related to neurotransmitters such as  
115 dopamine, isotocin and glutamate as main molecular drivers of cleaning interaction. Understanding  
116 the underlying mechanisms of wild cleaner's interactions with clients will elucidate the drivers that  
117 prompt two species to engage in a mutually beneficial relationship.

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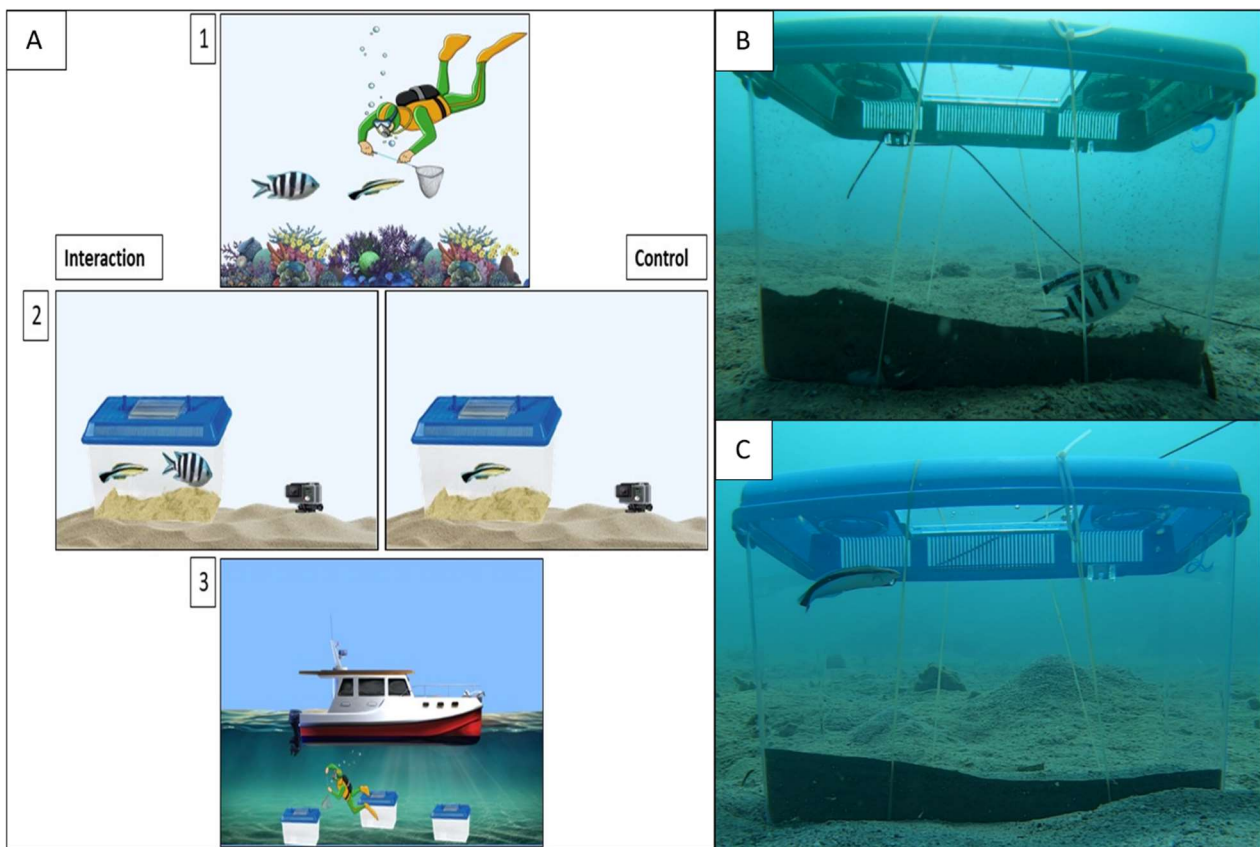
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130 **Methods**

131 **Sampling and behavioural experiment**

132 This experiment was conducted in southwestern New Caledonia (-21.953529, 166.004627) between  
133 12<sup>th</sup> and 14<sup>th</sup> March 2020. Ten individuals of *L. dimidiatus* and five individuals of the clients  
134 *Abudefduf sexfasciatus* were collected on SCUBA using barrier nets and hand-nets. The experimental  
135 set-up included three experimental tanks (20 x 20 x 30 cm) that were placed underwater on the  
136 seafloor, filled one-fifth with sand and a weight to avoid buoyancy at approximately 30 meters from  
137 the coral reef (fig. 1). A video camera, GoPro Hero 6 Black, was placed in front of each tank.



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139 *Figure 1: A) In-situ experiment: Labroides dimidiatus are collected and placed in aquaria*  
140 *underwater whether with a client (Interaction) or without (Control). After the experiment, the diver*  
141 *brought the cleaner to the surface for brain collection. B) Experimental set up for both condition*  
142 *(interaction (B) and control (C)).*

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144 Collected cleaner fish were placed first into the experimental tanks, followed by the client shortly  
145 after. To isolate the gene expression signal in cleaning interaction, a control condition was adopted  
146 where cleaner fish were placed in the tanks without clients (figure 1A2). The recording was  
147 immediately started as the fish were placed in the tank, and their behaviour was recorded for 50  
148 minutes. Directly after, the fish were collected and brought to the water surface, where the brains

149 were dissected immediately on the boat, stored in RNAlater (Invitrogen), and frozen after 24 hours.  
150 Subsequently, the samples were shipped to The University of Hong Kong for further processing and  
151 kept in the -80° freezer.

## 152 **Behavioural analysis**

153 To determine if the cleaner fish interacted with the client and to detect any abnormal behaviour in the  
154 control cleaner fish, videos were analysed using the software Boris v.8.22.17 (23). The first five  
155 minutes were considered as acclimatization and were not considered in the analysis. For the  
156 interaction treatment, five different behaviours, previously standardized and calibrated in laboratory  
157 conditions (20), were evaluated: Interaction, Dance, Tactile Stimulation, Inactivity and Jolt. The time  
158 of occurrence and the duration of the first four were counted in seconds; while for Jolts only the time  
159 of occurrence was counted. Analysis parameters were considered as follows: Interaction: each time  
160 the cleaner fish approaches and inspects the client or exhibits the typical behaviour of cleaning  
161 interaction such as dancing, tactile stimulation or biting the surface of the client's body. Dance: broad  
162 and smooth symmetrical longitudinal movement to capture the attention of the client, directly linked  
163 with its willingness to interact (24). Tactile Stimulation: the cleaner places itself over the dorsal part  
164 of the client and through slightly inclination rapidly moves the pelvic fins on the back of the client  
165 (25). Inactivity: the time spent by the cleaner lying down without moving for more than two seconds,  
166 which is directly linked to stress (26). Jolt: a sudden movement of the client in response to a bite of  
167 the cleaner during an interaction which is considered cheating behaviour (breaking of the mutualism)  
168 (27).

## 169 **RNA Extraction and Transcriptome Analysis**

170 Total RNA was extracted from cleaner fish whole brain tissue using RNeasy Mini Kit (Qiagen), and  
171 the quality and quantity was checked on a 4200 TapeStation (Agilent) and a nanodrop respectively.  
172 High-quality samples (RIN>8) were used, and cDNA libraries were prepared by KAPA mRNA  
173 HyperPrep Kit and sequenced paired-end 151bp on an Illumina NovaSeq 6000 at the Centre for  
174 PanorOmic Sciences (CPOS) of the University of Hong Kong. An average of 38 ( $\pm 1.23$ ) million reads  
175 per sample were obtained, and the quality was checked by FastQC v. 0.12.1. Illumina adapters and  
176 low-quality reads were removed using Trimmomatic v0.39 (28), using the parameters:  
177 SLIDINGWINDOW:4:30; MINLEN: 40; threads: 32; 2:30:15:8:true (surviving reads 96% ( $\pm 0.13$ )).  
178 Subsequently, to map the reads to the reference genome (29), the software HISAT2 v.2.2.1 (30) was  
179 used adopting default parameters, with a mapping rate average of 83% ( $\pm 10.05\%$ ). To count the  
180 number of reads mapped to each gene in the reference, we used FeatureCounts with default  
181 parameters (31).

182 To statistically assess the differential gene expression between the cleaner fish that interacted with  
183 the client and the control group (cleaner fish alone), we employed the package DESeq2 v.3.18 (32)  
184 with a Wald Test statistic while adopting FDR p-adjusted significance value of 0.05 as a cut-off.  
185 Furthermore, to analyse networks of genes with significantly correlated expression patterns, weighted  
186 correlation network analysis was carried out with WGCNA v1.72-5 (33). Gene module networks  
187 were created with the command `blockwiseModules` by using "signed" as topological overlap measure  
188 (TOM) by setting 2000 and 30 as the cut-off for the highest and lowest number of genes in the network  
189 and an elevated power value of 21 due to the relatively low sample size. Then, eigengene values for  
190 each module were correlated with the time (in seconds) spent by the cleaner interacting with the client  
191 by using the Pearson correlation. The expression patterns of the modules of which eigengenes resulted  
192 significantly correlated with the trait ( $p\text{-value} < 0.05$ ) were further analysed with paired t-tests  
193 between interaction and control. Functional enrichment on the DEGs and on the genes of the modules  
194 with significantly correlated expression patterns between interaction and control was carried out by  
195 using OmicsBox v. 3.1 using Fisher's exact test with a cut-off of FDR 0.05 (34).

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## 211 **Results**

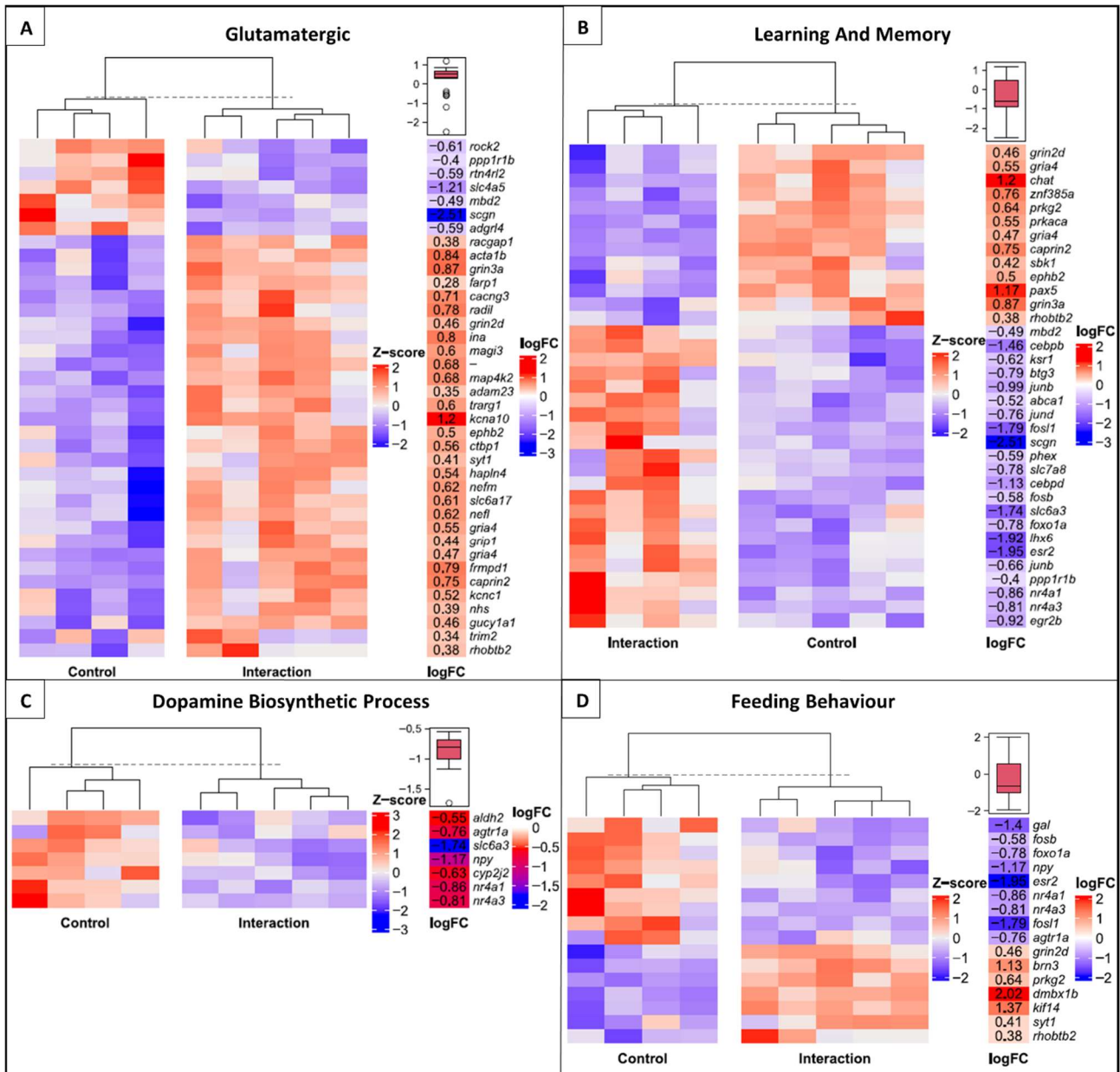
### 212 **Behavioural analysis**

213 The cleaner fish placed in the tank with the client on average spent  $32.5 \pm 20\%$  ( $1069 \pm 672$  seconds)  
214 of the time interacting and  $8 \pm 18\%$  in an inactivity state. Behavioural results are reported in detail in  
215 Supplementary Table 1. Control cleaner fish did not show any abnormal behaviour, except for one  
216 fish, which showed stereotyped movement (recurring circular displacements) and long inactivity time  
217 (2048 seconds; 39% of the total time). Therefore, this fish LD9 was excluded from the transcriptomic  
218 analysis.

### 219 **Transcriptomic analysis**

220 The cleaner fish interacting with the client exhibited 291 differentially expressed genes (DEGs)  
221 compared to the cleaner fish in the control group (Supplementary Table 2). In total, 154 enriched  
222 functions emerged from these DEGs, 114 of which were biological processes (Supplementary Table  
223 3). Several differentially expressed genes (*gria4*, *grin3a*, *grin2d*) were related to glutamatergic  
224 synapse, and glutamate-gated receptor activity GO terms (fig. 2A, Supplementary Table 3). Several  
225 immediate early genes (IEGs) (*fosl1*, *fosb*, *foxo1a*, *nr4a1* & 3), *egr2b*) (fig. 3) and second cellular  
226 messengers such as *zfp36l3*, *cnga3* and *map4k2* related to learning and memory processes were also  
227 differentially expressed (fig. 2B, Supplementary Table 3). Dopamine was further altered by the  
228 interaction behaviour, reflected in dopamine biosynthetic process and regulation of dopamine  
229 metabolic process with genes *slc6a3*, *npy*, *nr4a1* and *nr4a3* underlying these functions (fig. 2C).  
230 Furthermore, the gene *npy* encoding for neuropeptide Y is involved in feeding behaviour function  
231 among other genes (fig. 2D; fig. 3). Considering the WGCNA analysis, 193 gene modules were  
232 produced, of which 12 significantly correlated with the interaction trait (Supplementary Table 4,  
233 Supplementary Figure 1). Functional enrichment analysis produced results for two modules (Sky  
234 Blue and Dark Red) (Supplementary Figure 2, 3). The module Sky Blue showed enrichment in  
235 functions related to tRNA processing and regulation of chromosome segregation (Supplementary  
236 Table 5; Supplementary Figure 2), while the module Dark Red was related to metabolism, such as  
237 lipids, protein, pyrimidine-containing compounds, regulation of glucose import and catabolic  
238 processes (Supplementary Table 6; Supplementary Figure 3). Metabolism was also a predominant  
239 function of genes in two other modules such as Powder Blue (*apoo*, *ddhd1*, *trmt61b* and *pgs1*) and  
240 Chocolate (*bdh1*, *mmut*). Genes in the Powder Blue module are also related to glutamate pathway  
241 (*frrs11*, *dglucy*), neurotransmitter GABA (*slc6a13*), glucocorticoids (*gmeb1*), vision (*opn3*) and  
242 epigenetic processes (*setd7*) while in the module Chocolate genes are involved in synaptic plasticity  
243 (*arf1* and *sstr5*) and circadian rhythm (*prkg1*, *per2*, and *nfil3*) (Supplementary Table 4).

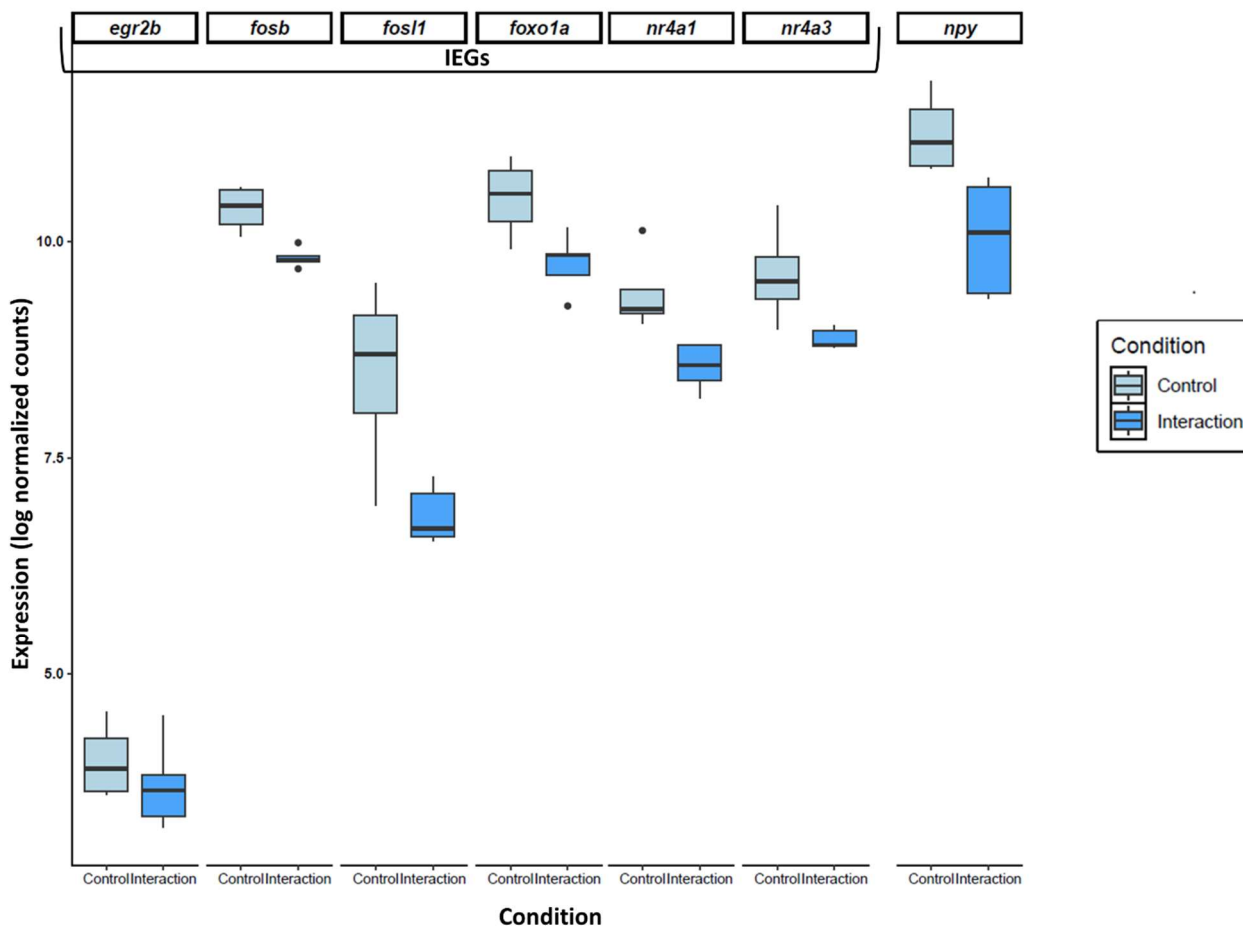




244 Figure 2: Enriched functions in the differentially expressed genes between cleaner fish that were not  
 245 exposed to the client (control) and cleaner fish that were exposed (Interaction) for A) glutamatergic  
 246 synapse, B) learning and memory function, C) dopamine biosynthetic processes and D) feeding  
 247 behaviour. For each enriched function genes names are indicated and the Z-score related to the  
 248 heatmap indicates the level of differential expression of each gene, while the column logFC refers to  
 249 the log<sub>2</sub>fold change of each gene. The boxplot above logFC column shows the average of the gene  
 250 expression related to the function in the cleaner fish that interacted with the client.

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253 *Figure 3: Differential gene expression of Immediate Early Genes (IEGs) and npy gene. In light blue*  
254 *the control cleaner fish and in blue the cleaner fish that interacted with the client. The differential*  
255 *gene expression is showed as log normalized counts.*

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## 266 Discussions

267 This study reveals the transcriptional drivers in *L. dimidiatus* when interacting with a client in the  
268 wild. The interaction behaviour provoked changes in genes related to glutamate pathway, immediate  
269 early genes and dopamine pathways, but did not detect changes in genes related to isotocin as found  
270 in studies in captivity (20). However, we discovered novel gene expression changes, such as the  
271 neuropeptide Y. Therefore, our study corroborates previous findings in *L. dimidiatus*, but also adds  
272 additional molecular drivers underlying the interaction behaviour.

273 We found differential expression related to glutamatergic synapsis and glutamate receptor activity  
274 that mediate learning and memory processes, confirming previous findings on this species in which  
275 glutamate is one of the main molecular drivers in the cleaning interaction (20). Glutamate ionotropic  
276 receptors (NMDA and AMPA) are known to drive the social recognition memory consolidation after  
277 a social stimulus in rats (35), improving their social recognition potency of familiar or unfamiliar  
278 individuals when treated with NMDA (36). For *L. dimidiatus*, the upregulation of genes related to  
279 these receptors (*gria4*, *grin3a*, *grin2d*) may allow the recognition of clients, which is a key feature as  
280 it interacts over 2000 times daily and can adjust the outcome of the interaction through partner  
281 prioritization or adjusting service (13,37). Moreover, we found upregulation of gene *grip1* in the  
282 cleaners that interacted with the clients, which encodes for AMPAR-binding protein GRIP1 and  
283 promotes synaptic plasticity by inserting AMPARS into synapses that may enhance learning and  
284 memory processes (38), also important for cleaning interactions. Furthermore, synaptic plasticity and  
285 circadian rhythm genes showed correlated expression patterns with clock genes being able to  
286 influence neuronal activity and excitability, affecting memory consolidation and recalling learned  
287 behaviour (39,40). Therefore, no matter if in a wild or a laboratory setting, glutamatergic pathways  
288 are one of the main molecular drivers in the cleaner wrasse brain, and together with clock genes,  
289 regulate synaptic plasticity and learning and memory processes.

290 Immediate Early Genes (IEGs) are modulators of social behaviour in the social brain network, a  
291 highly conserved neural network in the telencephalon and diencephalon (41), and were differentially  
292 expressed when the cleaner interacted with the client. These genes are the first that react to  
293 extracellular stimuli and are associated with neuronal activity (*fosl1*, *fosb*, *egr2b*, *foxo1a*) and neural  
294 plasticity (*nr4a1*, *nr4a3*) that affect social behaviour (42–45). They drive the social decision-making  
295 in *A. burtoni*, whether to cooperate with another male to defend his territory from an intruder or to  
296 exploit the social opportunity to ascend as a dominant male (19,46). Furthermore, the processes  
297 involving IEGs are mediated by second cellular messengers such as mitogen-activated protein kinase  
298 (MAPK) and cAMP pathways, as shown in the fighting fish *Betta splendens*, where the brain-

299 transcriptomic changes during a fight with a conspecific are associated with IEGs and MAPK  
300 pathway genes (47). *Labroides dimidiatus* upregulated the gene *map4k2*, amongst other genes  
301 involved in cAMP pathways such as *zfp36l3* and *cnga3*. Therefore, when exposed to social stimuli,  
302 IEGs together with cAMP and MAPK pathways could synergistically lead to a downstream molecular  
303 response cascade that can drive the decision-making process of *L. dimidiatus* on whether to exploit  
304 the social opportunity to approach the client and choose which behaviour to perform (dancing,  
305 cleaning, tactile stimulation or cheating). Thus, IEGs mediate *L. dimidiatus* cleaning behaviour in the  
306 wild, influencing its decision-making on whether and how to interact with the client.

307 Genes involved in dopamine pathways were also altered with the interaction behaviour in *L.*  
308 *dimidiatus*. An important regulator of synaptic dopamine availability is *DAT1* (Dopamine Transporter  
309 1) encoded by *slc6a*, which was downregulated in interacting cleaner wrasses. Lower expression of  
310 *slc6a*, which is involved in the uptake of dopamine and extracellular clearance, would suggest higher  
311 dopamine levels in cleaner fish that interacted with the client (48). Induction of higher dopamine  
312 levels in rats or primates increases social interactions and an exaggeration of behaviours related to  
313 social rank, such as subordinates becoming more subservient in their social interactions (49,50).  
314 During the cleaning interaction, the client may impose such partner control mechanisms (chasing the  
315 cleaner) to avoid cheating behaviour by the cleaner, and therefore, downregulation of *slc6a3* may  
316 show submissive behaviour in the cleaner fish through increasing extracellular dopamine levels.  
317 Furthermore, pharmacologically blocking the D1 and D2 receptors promotes the willingness of the  
318 cleaner to interact with the client and provide tactile stimulation (51). Here, we detected changes in  
319 genes (*nr4a1* and *nr4a3*) that are linked to D1 and D2 receptor activity. In fact, in mice,  
320 overexpression of *nr4a1* impairs D1 and D2 receptor signalling (the effect of *nr4a3* is still unclear)  
321 (44,45). Therefore, changes in *nr4a(1,3)* could alter D1 and D2 receptor pathways and regulate  
322 cleaner fish behaviour by mediating submissive behaviour via dopamine extracellular concentrations.  
323 Thus, the dopaminergic pathway is another molecular driver of cleaner fish interspecific social  
324 behaviour in the wild.

325 Interestingly, *npv*, a gene encoding for neuropeptide Y (NPY) known for its role in food intake (52–  
326 54), was downregulated in the fish that interacted with the client. NPY is one of the brain's most  
327 abundant and effective orexigenic peptides (53). In sturgeon fish, for instance, *npv* brain expression  
328 decreased after a meal and in goldfish, injection of Y1 and Y5 receptor agonists increased food intake  
329 while food deprivation increased hypothalamic expression of *npv* mRNA(55–57). Hence, fasting  
330 leads to an increase in *npv* expression promoting food intake behaviour, while following a meal,  
331 expression levels decrease in numerous teleost fish (58–61). In fish, NPY can negatively affect food

332 intake behaviour by inhibiting dopamine neurons through pre-synaptic and post-synaptic mechanisms  
333 in the ventral tegmental area (VTA), the brain region where the mesocorticolimbic dopamine system  
334 controls food intake, food reward and feeding-related behaviours (62). Therefore, we may  
335 hypothesize that upregulated expressed of *npv* in the control cleaner fish, could drive to seek out  
336 clients and initiate cleaning interactions, while a low level of *npv* can prevent cleaner fish from  
337 interacting, modulating the mesocorticolimbic dopamine system through food reward processes.  
338 Moreover, the differences in genes related to metabolism observed in gene networks correlated with  
339 the interaction behaviour show support for physiological mechanisms triggered after a meal. Thus,  
340 overexpression of *npv* may be a promoter of cleaning interaction in *L. dimidiatus*, making this gene  
341 one of the molecular drivers in cleaning behaviour.

342 The brain transcriptomic profile involved in cleaning interaction found in this study corroborate  
343 previous studies in *L. dimidiatus* cleaning behaviour where glutamate, IEGs, and dopamine were  
344 shown to be molecular drivers. Moreover, we indicate *npv* as an additional regulator of this  
345 interspecific interaction revealing that while in-situ studies provide a mechanistic approach to  
346 studying interactions, ex-situ experiments allow important additional insights into wild animal  
347 behaviour. The molecular processes in the cleaning interaction direct the regulation of partner  
348 recognition and memory consolidation to recognize clients and retain information for future  
349 interactions. This allows social decision-making on whether and how to interact with the client,  
350 feeding and submissive behaviour to promote interspecific interaction and honesty while cleaning.  
351 All these features, driven by the molecular pathways, affect the efficiency of cleaner fish behaviour  
352 and thus the persistence of one of the most crucial interspecific interactions for the balance and health  
353 of the coral reef ecosystem.

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363 **Data accessibility**

364 The raw sequencing data can be found NCBI Bioproject number PRJNA1120171. Reviewer link  
365 can be accessed here:

366 <https://dataview.ncbi.nlm.nih.gov/object/PRJNA1120171?reviewer=n10bqpe73p6t48tsvn5r4qvi23>

367 **Authors' contributions**

368 C.S. designed the experiment and sample collection was conducted by S.R.C., C.S., T.R. and R.R-M.  
369 D.R. performed RNA extractions, analyzed the behavioural videos and transcriptomic data with input  
370 from C.S. D.R. and C.S. wrote the first draft of the manuscript and all the authors revised and  
371 approved the final manuscript.

372 **Acknowledgments**

373 We are thankful to Erina Kawai, Michael Izumiyama and Billy Moore for aiding with the sample  
374 collection. We want to acknowledge the Schunter lab members at The University of Hong Kong Dr.  
375 Sneha Suresh, Arthur Yan Chi Chung, Jade Sourisse, Maxine Cutracci, Dr. Lucrezia Celeste Bonzi  
376 and Maddalena Ranucci for their feedback and comments provided to this work. We also thank our  
377 collaborator Dr. José Ricardo Paula, for the stimulating discussions on the topic and the feedback on  
378 data analysis.

379 **Funding**

380 D.R. is funded by a Hong Kong PhD Fellowship (HKPF) (by the Research Grants Council (RGC)).  
381 The project was financially supported by a research seed fund from the University of Hong Kong; the  
382 Excellent Young Scientist Award by the National Natural Science Foundation of China (AR225205)  
383 to C.S and by Flotte Oceanographique Francaise for using the R/V Alis (project SuperNatural 2020  
384 granted to RR-M <https://doi.org/10.17600/18001102>).

385 **Ethics statement**

386 The experiment was performed under the permits granted from Province Sud (New Caledonia),  
387 project SuperNatural N. 34314-2019/3-REP/DENV.

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