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Title:

Surveillance of bat coronaviruses in Kenya identifies relatives of human coronaviruses NL63 and 229E and their recombination history

Running title:

Bat origin of human coronaviruses

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30 **ABSTRACT**

31 Bats harbor a large diversity of coronaviruses (CoVs), several of which are related to
32 zoonotic pathogens that cause severe disease in humans. Our screening of bat samples
33 collected in Kenya during 2007-2010 not only detected RNA from several novel CoVs but,
34 more significantly, identified sequences that were closely related to human CoVs NL63 and
35 229E, suggesting that these two human viruses originate from bats. We also demonstrated
36 that human CoV NL63 is a recombinant between NL63-like viruses circulating in *Triaenops*
37 bats and 229E-like viruses circulating in *Hipposideros* bats, with the break-point located near
38 5' and 3' end of the spike (S) protein gene. In addition, two further inter-species
39 recombination events involving the S gene were identified, suggesting that this region may
40 represent a recombination “hotspot” in CoV genomes. Finally, using a combination of
41 phylogenetic and distance-based approaches we showed that genetic diversity of bat CoVs is
42 primarily structured by host species and subsequently by geographic distances.

43
44 **IMPORTANCE**

45 Understanding the driving forces of cross-species virus transmission is central to
46 understanding the nature of disease emergence. Previous studies have demonstrated that bats
47 are the ultimate reservoir hosts for a number of coronaviruses (CoVs) including ancestors of
48 SARS-CoV, MERS-CoV, and HCoV-229E. However, the evolutionary pathways of bat
49 CoVs remain elusive. We provide evidence for natural recombination between distantly-
50 related African bat coronaviruses associated with *Triaenops afer* and *Hipposideros* sp. bats
51 that resulted in a NL-63 like virus, an ancestor of the human pathogen HCoV-NL63. These
52 results suggest that inter-species recombination may play an important role in CoV evolution
53 and the emergence of novel CoVs with zoonotic potential.

54 **INTRODUCTION**

55 Coronaviruses (CoVs) (subfamily *Coronavirinae*, family *Coronaviridae*, order Nidovirales)
56 are common infectious agents that infect a wide range of hosts including humans, causing
57 respiratory, gastrointestinal, liver, and neurologic diseases, and that possess the largest
58 genomes of any RNA viruses described to date (1). The subfamily *Coronavirinae* is currently
59 classified into four genera: *Alphacoronavirus*, *Betacoronavirus*, *Gammacoronavirus*, and
60 *Deltacoronavirus* (2). The alphacoronaviruses (alpha-CoV) and betacoronaviruses (beta-CoV)
61 are exclusively found in mammals while the gammacoronaviruses (gamma-CoV) and
62 deltacoronaviruses (delta-CoV) are mainly associated with birds. Presently, the greatest
63 diversity of alpha- and beta-CoVs has been documented in bats, which in part reflects the
64 more intensive surveillance of these animals since *Rhinolophus* spp. bats were implicated as
65 the reservoir hosts for SARS-related CoVs (3, 4). This surveillance resulted in the discovery
66 of a potential reservoir host (bat) species for another two human CoVs: Human CoV 229E
67 (HCoV-229E), a relative of which is present in *Hipposideros* bats (5, 6), and Middle East
68 respiratory syndrome coronavirus (MERS-CoV), for which related viruses are present in
69 *Pipistrellus*, *Tylonycteris*, and *Neoromicia* bats (7-10), although the most likely reservoir host
70 of human MERS-CoV identified to date is the dromedary camel (11). Most recently HCoV-
71 229E-like CoVs were also identified in camels, although their role in human infection is
72 unknown (12).

73 Africa is a major hotspot of zoonotic emerging diseases. With its rich biodiversity,
74 Africa is inhabited by many bats of different species including those that serve as reservoirs
75 of important zoonotic diseases such as Marburg hemorrhagic fever and rabies (13). Our initial
76 screening demonstrated the presence of diverse CoVs in African bats, including those
77 collected in the southern parts of Kenya during 2006 (14, 15), and in other countries
78 including South Africa, Nigeria, and Ghana (16). Furthermore, recent studies have provided

79 strong evidence that HCoV-229E originated from bat viruses circulating in Africa (5),
80 underscoring the zoonotic potential of bat-borne CoVs from this continent.

81 One human coronavirus, HCoV-NL63, was first isolated in 2004 from the aspirate of
82 a 8-month-old boy suffering from pneumonia in the Netherlands (17). While the clinical
83 significance of this virus is debated, it has a worldwide distribution and is known to infect
84 both the upper and lower respiratory tract (18). Based on a phylogeny of the RNA-dependent
85 RNA polymerase (RdRp), HCoV-NL63 is related to another human virus HCoV-229E and
86 had no close relatives identified in bats (16). Although Huynh et al. (19) suggested that a
87 virus (ARCoV.2/2010/USA) isolated from the American tricolored bat (*Perimyotis subflavus*)
88 may share common ancestry with HCoV-NL63, the genetic distance between the two viruses
89 is large, and their close relationship has not been corroborated in other phylogenetic analyses
90 (16, 20). Nevertheless, the successful passage of HCoV-NL63 in an immortalized bat cell
91 line suggests its potential association with bats (19).

92 As is well appreciated, recombination leads to rapid changes of genetic diversity in
93 RNA viruses (21). CoVs represent a classic example of viruses with high frequencies of
94 homologous recombination through discontinuous RNA synthesis (22). Indeed, under
95 experimental conditions, the recombination frequency can be as high as 25% for the entire
96 CoV genome (23). Recombination in CoVs is also frequently reported under natural
97 conditions, including some emerging human pathogens such as SARS-CoV (24, 25), MERS-
98 CoV (11), HCoV-OC43 (26), and HCoV-NL63 (27), although most reports are between
99 closely related viruses.

100 The Global Disease Detection Program (GDD) of the Centers for Disease Control and
101 Prevention (CDC, Atlanta, GA) is focused on the detection of emerging infectious agents
102 worldwide. One of the GDD projects was directed toward the detection of such potential
103 zoonotic pathogens in African bats. Since the initial study performed during 2006 in Kenya

104 (14, 15), an expanded surveillance of bat CoVs has been performed in the same and other
105 countries including Kenya, Nigeria, Democratic Republic of Georgia, Democratic Republic
106 of Congo, Guatemala, and Peru. The project included more bat species and geographic
107 locations, allowing a more thorough investigation of the genetic diversity and ecological
108 dynamics of CoVs circulation in bats. In this study, we performed an ecological and
109 evolutionary characterization of CoVs circulating in Kenya and identified distinct CoVs from
110 *Triaenops afer* and *Hipposideros* sp. bats that are phylogenetically related to HCoV-NL63 in
111 different parts of the genome. Based on this data, we propose a scenario for the origin and
112 evolutionary history of HCoV-NL63 and related viruses.

113

114 **MATERIALS AND METHODS**

115 **Sample collection.** Between 2007 and 2010 a total of 2050 bat specimens were collected
116 from 30 different locations in Kenya (Table S1) in collaboration with the CDC GDD regional
117 country office in Kenya and National Museums of Kenya. The bats were captured using mist-
118 nets, hand nets or manually. The protocol (2096FRAMULX-A3) was approved by the CDC
119 IACUC and by Kenya Wildlife Services. Upon capture, each bat was measured, sexed and
120 identified to species by a trained field biologist. Subsequently, fecal and oral swabs (if
121 possible) were collected in compliance with field protocol and were then transported on dry
122 ice from the field to -80°C storage before further processing.

123
124 **CoV RNA detection.** Each fecal and oral swab was suspended in 200 µL of a phosphate
125 buffered saline. Viral total nucleic acids (TNA) were extracted using the QIAamp Mini Viral
126 Spin kit (Qiagen, Valencia, CA, USA) according to the manufacturer's instructions, followed
127 by semi-nested RT-PCR (SuperScript III One-Step RT-PCR kit and Platinum Taq kit,
128 Invitrogen, San Diego, CA, USA) using primer sets designed to target the conserved genome
129 region of alpha-, beta-, gamma- and delta-CoVs, respectively (15). PCR products of the
130 expected size (~ 400 nucleotides) were purified by gel extraction using the QIAquick Gel
131 Extraction kit (Qiagen, Valencia, CA, USA) and sequenced in both directions on an ABI
132 Prism 3130 automated sequencer (Applied Biosystems, Foster City, CA, USA). As
133 validation, the RT-PCR procedure was repeated for each of the CoV positive specimens.

134
135 **Bat mitochondrial gene sequencing.** Bat species were further confirmed by sequencing the
136 host mitochondrial cytochrome b (cytB) gene in each of the CoV-positive specimens. Both
137 the method and the primers used have been described previously, and a final 1104 bp
138 fragment of the cytB gene was amplified and sequenced as described previously (14, 15).

139

140 **Phylogenetic analyses.** This study generated a total of 240 CoV RdRP sequences (402 bp)
141 from Kenyan bats. These sequences were first aligned in MAFFT v7.013 (28), using amino
142 acid sequences as a guide for the nucleotide sequence alignment. Phylogenetic trees were
143 then inferred using the maximum likelihood (ML) method available in PhyML version 3.0
144 (29) assuming a general time-reversible (GTR) model with a discrete gamma distributed rate
145 variation among sites (Γ_4) and the SPR branch-swapping algorithm. To produce a more
146 condensed data set, we clustered the highly similar sequences from the same geographic
147 location and host species, and randomly chose one or two to represent each cluster. This
148 condensed data set was subsequently combined with 121 reference sequences representative
149 of the genetic diversity of alpha- and beta-CoVs on a global scale taken from GenBank. ML
150 phylogenetic trees of these final alignments were inferred using the same procedure and
151 substitution models as described above.

152

153 **Comparisons of viral genetic, geographic, and host genetic distance matrices.** To
154 determine the relationship between viral genetic, geographic, and host genetic distances, we
155 compiled a data set containing the Kenyan CoV samples generated in this study. The genetic
156 distance matrices were produced from pairwise comparisons either in the form of uncorrected
157 percentage differences or calculated from the phylogenetic trees (patristic distance) using the
158 Patristic v1.0 program (30) The geographic distances (Euclidean distance) were calculated
159 using the formula “distance = (acos((sin(latitude1) * sin(latitude2)) + (cos(latitude1) *
160 cos(latitude2) * cos(longitude2 - longitude1)))) * 6371”, with spatial coordinates of the
161 samples derived from the geographic location information.

162 We used Mantel correlation analyses to test the extent of the correlation between
163 these matrices (31). Both simple Mantel’s test and partial Mantel’s test were performed, and

164 the correlation was evaluated with 10000 permutations. To access which of the two factors –
165 geographic or host genetic distance – best explained total variation in the virus genetic
166 distance matrices, we performed multiple linear regression on these distance matrices (32).
167 The statistical significance of each regression was evaluated by performing 10000
168 permutations. To examine whether the degree of virus genetic relatedness corresponded to
169 the scale of geographic distance or host relatedness, we generated Mantel correlograms. In
170 each correlogram, 10-12 distance classes were assigned following an equal-frequency
171 criterion: each class had similar number of pairwise comparisons. All statistical analyses
172 were performed using the Ecodist package implemented in R3.0.2 (33), and all statistical
173 results were considered significant at the $P = 0.05$ level.

174

175 **Full genome sequencing and sequence analyses.** Five viruses representative of the full
176 diversity of the CoVs newly described here were selected for full genome sequencing:
177 BtKY229E-1, BtKY229E-8, BtKYNL63-9a, BtKYNL63-9b, and BtKYNL63-15. We first
178 sequenced a number of conserved regions throughout the genome using several semi-nested
179 or nested consensus degenerate RT-PCR amplicons. These regions were then bridged using
180 sequence-specific RT-PCR followed by Sanger sequencing (< 2 kb) or using the PacBio
181 platform (> 2 kb). The assembled consensus genome sequences from PacBio sequencing
182 were later confirmed by sequence-specific RT-PCR and Sanger sequencing (GenBank
183 accession numbers KY073744-KY073748). The 5' and 3' genome termini were not
184 determined due to the limited RNA remaining, and were derived with PCR primers based on
185 the conserved genome regions in alpha-CoVs.

186 For each complete genome sequence, potential ORFs were predicted based on the
187 conserved core sequence, 5'-CUAAAC-3', with a minimum length of 66 amino acids.
188 Ribosomal frameshifts were identified based on the presence of the conserved slippery

189 sequence, “UUUAAAC”. For phylogenetic analyses, the data set was first separated into six
190 ORFs, namely; ORF1a, ORF1b, Spike (S), Envelope (E), Membrane (M), and Nucleoprotein
191 (N) genes. The data set for each gene was translated into amino acid sequences and aligned
192 using MAFFT v7.013. Phylogenetic trees were then inferred using PhyML as described
193 above. Recombination events were first identified from the occurrence of incongruent
194 topologies in these initial phylogenies, and were then confirmed and characterized using
195 Simplot v3.5.1 (34). In the Simplot analysis, seven sequences were analyzed, including the
196 potential recombinant, the parental viruses, as well as an outgroup. The similarity
197 comparisons of recombinant and the other sequences were plotted using a sliding window
198 with a size of 1000 bp and a step size of 10 bp.

199

200 **RESULTS**

201 **Prevalence of CoV in Kenyan bats.** We examined bats from at least 27 species (17 genera)
202 collected over a four year period (2007-2010) from 30 locations across the southern part of
203 Kenya (Figure 1). A total of 2,050 bats samples were screened for CoV RNA using a pan-
204 coronavirus RT-PCR assay. We found an overall prevalence of 11.7% (240/2,050 bats)
205 (Table S1). This overall prevalence is in line with recent reports of CoVs in bats from
206 numerous locations including South Africa, Mexico, Philippines, Kenya, United Kingdom,
207 Japan, Italy, and Ghana (6, 14, 15, 35-40).

208 Bats of the species tested (*Chaerephon pumilus*, *Coleura afra*, *Lissonycteris*
209 *angolensis*, *Miniopterus africanus*, *Neoromicia tenuipinnis*, *Neoromicia* sp., *Nycteris* sp.,
210 *Pipistrellus* sp., and *Scotoecus* sp.) did not yield CoV positive samples although the sample
211 number was limited and might not reflect the real prevalence (Table S1). Conversely, in bats
212 of several other species the CoV prevalence was high (*Cardioderma cor*, 25%; *Eidolon*
213 *helvum*, 21%; *Epomophorus labiatus*, 28.6%; *Hipposideros* sp., 27.6%; *Miniopterus minor*,

214 22.6%; *Otomops martiensseni*, 28.6%; *Rhinolophus hildebrandtii*, 31.3%; *Rhinolophus* sp.,
215 28.9%; *Triaenops afer*, 26.7%). Most species (21/27) were sampled at more than one
216 location. Of note, we detected CoVs in 21% of *E. helvum* bats tested in Kenya, whereas a
217 previous study in Ghana failed to detect any CoVs in a similar number of bats from this
218 species (6).

219

220 **Phylogenetic diversity of Kenyan bat CoVs.** The viral sequences identified in Kenyan bats
221 showed a remarkable diversity within both alpha- and beta-CoVs (Figure 2). Based on our
222 phylogenetic analysis, the CoVs newly identified here can be grouped into 20 phylogenetic
223 lineages (Figure 2). Many of the sampled bat genera are associated with more than one viral
224 lineage. Furthermore, in some cases, the divergence of the CoVs within the same host genera
225 may also be associated with possible differences in sample types. For example, we found two
226 lineages of CoV in *Rousettus aegyptiacus* bats, one of which was present in oral swabs
227 (Figure 2: L7 *Rousettus*) while the other one was identified in fecal swabs (L17 *Rousettus*).
228 The default tissue tropism for bat CoVs is believed to be intestinal and samples of choice are
229 fecal swabs. In agreement with this, only four viruses were identified from oral swab samples
230 (L7 *Rousettus*) as indicated in the phylogeny (Figure 2).

231 Our phylogenetic analyses also revealed a number of cross-species transmission
232 events at the genus level, many of which appeared to be transient spill-overs with no evidence
233 of onward transmission. This pattern was observed as CoV sequences recovered from bats of
234 a particular genus located as tree tips within the phylogenetic diversity that is mainly
235 associated with a different bat genus. From our Kenyan data set, there were seven such cross-
236 species transmission events in total, each represented by a single sequence (dotted red in
237 Figure 2), suggesting these are most likely viruses with limited transmission within new hosts,
238 although this hypothesis requires confirmation on a larger set of samples.

239 A more comprehensive and informative phylogeny (Figure 3) was obtained after
240 including the representative global CoV sequences from GenBank, which also included the
241 Kenyan viruses previously reported (15). The phylogeny, which included viral sequences
242 recovered from bats of more than 50 species (30 genera), resulted in an accurate phylogenetic
243 assignment of the viruses described in this study (Figure 3). Importantly, the newly
244 discovered viruses from Kenya have greatly extended our previous work (15) in terms of: (i)
245 expanding the diversity of existing lineages, including the *Miniopterus*, *Rhinolophus*, and
246 *Scotophilus* associated CoV clusters in the genus *Alphacoronavirus*, and the *Rousettus* and
247 *Rhinolophus* associated CoVs clusters in the genus *Betacoronavirus*; and (ii) the discovery of
248 new viruses from either a novel bat host (i.e. *Triaenops*) or new divergent CoV clusters in
249 known hosts (i.e. *Rhinolophus*, *Rousettus*, *Chaerephon*, etc) (Figure 3).

250 The phylogeny suggests both ancient virus-host co-divergence and recent cross-
251 species transmission of CoVs between bats and other mammalian hosts. The phylogeny
252 clearly demonstrates that CoVs from two host groups, one dominated by bats and the other
253 exclusively by non-chiropteran mammals, formed sister clades for both alpha- and beta-CoVs
254 (Figure 3), suggestive of an ancient divergence between them. Conversely, several non-
255 chiropteran CoVs are nested within the diversity of bat CoVs, suggesting that these viruses
256 are relatively recent introductions from bats. These cross-species transmission events resulted
257 in emergence of severe (SARS-CoV and MERS-CoV) and mild (HCoV-NL63 and HCoV-
258 229E) human pathogens, as well as animal pathogens (Porcine epidemic diarrhea virus
259 [PEDV] and Alpaca respiratory CoV). Interestingly, HCoV-NL63, previously thought to be
260 related to North American tricolored bat (*P. subflavus*) (19), in our phylogeny is deeply
261 nested within the newly identified CoVs from African *Triaenops afer* bats (Figure 3), while
262 the *P. subflavus* virus (labeled green in Figure 3) grouped with a North American CoV
263 sampled from a *Myotis volans* bat (Figure 3). Therefore, *Triaenops afer* bats likely represent

264 the most recent chiropteran reservoir host of viruses ancestral to HCoV-NL63. In addition,
265 our results identified 16 additional 229E-like viruses (L14, Figure 2), providing further
266 evidence that *Hipposideros* bats in Africa harbor viruses that are ancestral to HCoV-229E (5,
267 6).

268

269 **Host and spatial dynamics of bat CoVs in Kenya.** We used Mantel's test to compare the
270 virus and host genetic distance matrices, as well as virus and geographic distance matrices.
271 Notably, the correlation values were positive and highly significant in both comparisons
272 (Table 1), suggesting that both host and geography have shaped the structure of virus genetic
273 diversity. This conclusion remained following partial Mantel analyses and multiple linear
274 regression analyses in which we tested the effect between two matrices while controlling for
275 the third (Tables 1 and 2). Importantly, however, in both simple and partial Mantel analyses,
276 the virus genetic distance matrices had much higher correlation with host genetic distance
277 matrices than with geographic distance matrices (Table 1), indicating that bat CoV diversity
278 is more structured by host than by geographic distance.

279 Next, we used Mantel autocorrelograms to examine the effect of (i) geographic
280 distance (Figure 4A) and (ii) host genetic distance on virus diversity (Figure 4B). Host
281 genetic distance decreased from highly significantly positive at short taxonomic distances to
282 highly significantly negative at long distances. Importantly, the crossing-over point was at a
283 host genetic distance of around 0.15-0.19, which marks the boundary of intra- and inter-
284 genera host diversity (Figure 4B). However, no obvious clinal patterns in geographic distance
285 were observed within the Kenyan data set.

286

287 **Full genome characterization and recombination analyses of NL63-like and 229E-like**
288 **viruses.** To further explore the evolution of the NL63-like and 229E-like viruses, we

289 generated the complete genome sequences of five representative bat-derived CoVs: three
290 (BtKYNL63-9a, BtKYNL63-9b, and BtKYNL63-15) were from the NL63-like group and
291 two (BtKY229E-1 and BtKY229E-8) from the 229E-like group (L12-L14, Figure 2). For all
292 the viruses newly described here, the genome structures follow an identical ORF
293 arrangement: ORF1ab-S-ORF4-E-M-N-ORF8 in 229E-related viruses and ORF1ab-S-ORF3-
294 E-M-N-ORF_x in NL63-related viruses (Figure 5, Tables 3 and 4). The additional
295 ORF8/ORF_x was identified at the 3' end of the genome in all bat NL63-like and 229E-like
296 viruses characterized in this study, although it was missing in both human viruses (HCoV-
297 229E and HCoV-NL63). The ORF8 in bat 229E-like genomes is named in analogy with the
298 ORF8 of Ghanaian bat and dromedary 229E-like CoVs (5, 12). The ORF8 of BtKY229E-1
299 shared 60% protein identity with its closest relatives while BtKY229E-8 has a shorter and
300 highly divergent ORF8. The ORF_x of NL63-like viruses shared very low identity (21-33% at
301 the amino acid level). Similarly to the bat 229E-like CoVs recently discovered in Ghana (5),
302 the S genes in our bat 229E-like CoVs have a considerably longer 5' S1 portion (additional
303 185 amino acids) compared to HCoV-229E and alpaca and dromedary 229E viruses (12).

304 For comparison, we also included 21 genome sequences representative of the
305 diversity in the genus *Alphacoronavirus*. The phylogeny based on the ORF1b protein
306 alignment confirmed that NL63-like and 229E-like groups are monophyletic (Figure 6).
307 Given that each group is associated with a specific bat genus, it is likely that the ORF1b
308 genes of the human viruses (i.e. HCoV-NL63 and HCoV-229E) were ultimately derived from
309 *Triaenops*-associated CoVs and *Hipposideros*-associated CoVs, respectively. The
310 relationship between *Hipposideros* bat CoVs and HCoV-229E was also demonstrated by
311 Corman et al. (5) based on specimens obtained in Ghana. Compared to the viruses described
312 in that study, the newly identified Kenyan viruses (BtKY229E-1 and BtKY229E-8) were
313 among those more distantly related to HCoV-229E (Figure 6 and Table 3). As for the NL63-

314 like group, HCoV-NL63 was nested within the diversity of three lineages of *Triaenops*-
315 associated CoVs, among which BtKYNL63-9a showed the closest relationship in all genome
316 regions with the exception of the S gene (Figure 6 and Table 3).

317 Strikingly, the phylogeny of the S protein suggested an entirely different evolutionary
318 history for HCoV-NL63 compared to the rest of the genome (Figure 6). Specifically, for all
319 the proteins with the exception of S, HCoV-NL63 clustered with the NL63-like group.
320 However, in the S protein, HCoV-NL63 was deeply nested within the 229E-like group,
321 associated exclusively with viruses from *Hipposideros* bats, and particularly similar to the
322 sequences BtKY229E-1 and BtKY229E-8 newly identified during this study (Figure 6).
323 Interestingly, BtKY229E-1 exhibited the closest resemblance to HCoV-NL63 in the receptor
324 binding domain (RBD, (41)), especially in the three receptor binding motifs (RBM), whereas
325 other viruses exhibited less similarity in these regions (Figure 7A). A phylogeny based on
326 the RBD region confirmed our observation (Figure 7B), although it remains uncertain
327 whether these bat viruses utilize the same host cell receptor.

328 To further characterize this recombination event, we performed genome-scale
329 similarity comparisons between HCoV-NL63 and related viruses (Figure 8). The analysis
330 confirmed the chimeric nature of the HCoV-NL63 genome with only the spike protein
331 involved in recombination via two break-points: one located near the 5' end of the S gene and
332 the other at around 200 nucleotides upstream of the 3' end. To exclude the possibility of any
333 artificial recombination, the break-point was further confirmed by RT-PCR and Sanger
334 sequencing, using a single amplicon to cover each break-point. Collectively, these data show
335 that HCoV-NL63 evolved from a recombination event between CoVs from the NL63-like
336 and 229E-like groups.

337 In addition to HCoV-NL63, we identified a number of other recombination events
338 between divergent CoVs involving the S gene. One example is the BtKYNL63-15 newly

339 identified here. Throughout the genome, BtKYNL63-15 showed strong similarity (79% -
340 99% protein identities in the ORF1ab, ORF4, M, E, and N genes) with BtKYNL63-9b. In
341 contrast, the genetic identity between S protein sequences of these viruses was only 53%. In
342 the S protein phylogeny, BtKYNL63-15 did not cluster with NL63-like viruses but instead
343 clustered with *Miniopterus* bat CoV HKU8 and *Chaerophon* bat CoV KY22 (Figure 6).
344 Interestingly, HKU8 itself is a recombinant in the S gene region (Figure 6). These results
345 suggest that the spike protein of CoVs is subject to relatively frequent recombination even
346 between divergent viruses.

347

348 DISCUSSION

349 In this study we significantly extended existing knowledge on CoV diversity, their
350 association with specific bat species, the relatedness between bat and human CoVs, and
351 natural recombination events in the CoV spike (S) protein gene between viruses from
352 different lineages.

353 Notably, we found that host species poses a greater influence on CoV diversity in bats
354 than the geographic distance, which can be explained by the ability of bats to fly (including
355 long-distance migrations typical for some species) and disperse their pathogens over vast
356 territories (42). A closer inspection of the Mantel correlogram suggests the presence of less
357 structured (homogenous, mantel statistic $r > 0$), and highly structured (mantel statistic $r < 0$)
358 diversity which, strikingly, corresponds to the division between intra-genera (10% ~ 20%)
359 and inter-genera ($> 20\%$) host genetic distances (Figure 4B). This suggests that within-genus
360 virus transmissions occur significantly more frequently than between-genera transmissions,
361 which is consistent with the previous observations that phylogenetic clustering is less
362 constrained at the host species level than at the genus level (16, 43). While it is commonly
363 accepted that host phylogeny constrains virus cross-species transmission to some extent (44),

364 the stronger demarcation at the genus level is of particular interest. In fact, bats of different
365 species, genera, and families frequently roost together (in caves, tree holes, and other
366 shelters), sometimes in dense aggregations, which provide abundant opportunity for
367 mechanical transmission of pathogens between host species. Therefore, our data suggests that
368 distinctions between bats at the genus level might mark a threshold where the differences in
369 cellular and immunological environment become a major challenge for a virus to switch hosts.
370 This, in turn, will lead to the pattern of 'preferential host switching' that has been observed in
371 a number of other viruses (45).

372 The detection of distinctive HCoV-NL63-like and HCoV-229E-like sequences in bats
373 sheds new light on CoV evolution. In particular, we provide strong evidence that HCoV-
374 NL63 has a zoonotic recombinant origin. Although the majority of the HCoV-NL63 genome
375 originates from the viruses circulating in *Triaenops afer* bats, its spike protein gene is derived
376 from a 229E-like virus circulating in *Hipposideros* spp. bats. However, despite the strong
377 signal for recombination, both putative parental strains show substantial genetic distances
378 from human CoVs. This most likely reflects extensive post-recombination sequence
379 divergence, which in turn suggests that the recombination event has occurred prior to the
380 emergence of HCoV-NL63 in humans.

381 Most of the recombination events reported here involve breakpoints around the S
382 gene. Indeed, similar breakpoints are also reported for SARS-CoV and SARS-like CoVs (24,
383 25), HCoV-OC43 (26), and a feline CoV (46) such that it is seemingly a recombination
384 'hotspot' in many CoVs. It has been argued that a strong secondary structure between ORF1a
385 and S gene may promote transcriptional pulsing, facilitating recombination (47). However,
386 there is also evidence that this recombination hotspot does not exist under non-selective
387 conditions (48), such that it may reflect the successful spread of beneficial recombinants

388 rather than an elevated rate of recombination per se. This hypothesis is supported by the fact
389 that the spike protein is intimately involved in the interaction with the host immune system.

390 Importantly, our results also revealed that recombination has resulted in similar S
391 proteins in the two human viruses HCoV-NL63 and HCoV-229E, such that acquisition of a
392 229E-like S protein may have contributed to the emergence of NL63-like viruses in humans.
393 However, despite this similarity of S protein sequences, these two human viruses utilize
394 different receptors (ACE2 and aminopeptidase-N for HCoV-NL63 and HCoV-229E,
395 respectively) to enter human cells. Within the 229E-like group, the RBD of HCoV-NL63 is
396 more closely related to BtKY229E-8 than to HCoV-229E. The RBD of BtKY229E-8 exhibits
397 greater similarity with that of HCoV-NL63 (Figure 7), and is therefore more likely to be the
398 prototype of RBD in HCoV-NL63.

399 Until recently, most reported recombination events in CoVs involved viruses
400 associated with closely related host species, although recombination between highly
401 divergent CoVs has been demonstrated experimentally (49-51). The apparent lack of
402 interspecies recombination under natural conditions is most likely due to the insufficient
403 collection of complete genome sequences that are truly representative of coronavirus
404 diversity. Indeed, a number of viruses, such as HKU2, display phylogenetic incongruence
405 across different parts of the genome (52), although the lack of one of the putative parental
406 strains has prevented clear identification of a recombinant history.

407 Finally, our study provides insights into the evolution history of CoVs. Although it is
408 unclear whether bats are direct ancestors of all alpha- or beta-CoVs due to the presence of
409 non-bat CoV clades at the basal phylogenetic positions of both genera (Figure 3), bat-borne
410 CoVs constitute a substantial part of the diversities of alpha- or beta-CoVs. In addition, six
411 lineages of non-bat CoVs are nested within the bat-borne clades. These likely represent
412 independent and successful adaptations via shifts from the progenitor reservoir species (bats)

413 to other mammals. Four well-characterized human CoVs lie within these clades. However, it
414 is worth noting that bats may not have directly transmitted the viruses to humans. Indeed,
415 HCoV-229E is more closely related to viruses circulating in camels than those in bats,
416 suggesting that camels may be intermediate hosts between bats and humans (12). Similarly,
417 other human CoVs such as SARS-CoV and MERS-CoV all use terrestrial mammals rather
418 than bats as intermediate hosts, which have an increased chance of contact with humans. This
419 underlines a typical zoonotic link of bat-associated CoV to humans via terrestrial mammals.

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422

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608

609 **Figure Legends**

610 **Figure 1. Map of Kenya showing the geographic locations of 30 bat collection sites.**

611

612 **Figure 2. Phylogeny of RdRp of all CoVs discovered in this study.** The host (bat genus),

613 number of sequences, and operational classification (lineage) are shown on the right of the

614 tree. Branches that represent the minority host genera within the lineage defined by a single

615 dominant host genus are marked with red and labeled with solid circle. The tree is mid-point

616 rooted for clarity only and support values are only shown for internal branches.

617

618 **Figure 3. Phylogenies of RdRp of alphacoronaviruses and betacoronaviruses.** The trees

619 are inferred using representative CoV sequences from this study as well as those obtained

620 from the GenBank. The sequences are labeled with accession number/strain name, host

621 (species) and geographic origin (three letter country code). Different colors are used to

622 distinguish the following groups: Kenyan bat CoVs discovered during this study (orange),

623 CoVs identified from non-bat mammals (blue), the *Perimyotis subflavus* virus previously

624 reported to be related to HCoV-NL63 (green), and the remaining bat viruses (black). The

625 lineage information for Kenyan CoVs is shown to the right of the phylogeny and matches that

626 in Figure 2.

627

628 **Figure 4. Mantel correlograms showing the Kenyan bat CoV RdRp sequences stratified**

629 **by (A) geographic distances and (B) host genetic distances.** A Mantel correlation index (r)

630 was calculated for each of the distance classes. Under the null hypothesis of no relationship

631 between the distance matrices, r values would be close to zero. Positive r values suggest

632 lower genetic distances between case pairs, whereas negative r values suggest higher genetic

633 distances between case pairs. Solid dots: r significantly different from zero; hollow dots: r not

634 significantly different from zero. The graph (B) also shows kernel density plots for intra-

635 genus host distances density (grey solid line) and inter-genus host distances density (grey
636 dotted line). The corresponding y-axis for the plot is shown on the right of the figure (B). The
637 grey box in between the two plots marked the transition area between the intra-genus and
638 inter-genus host genetic distances

639

640 **Figure 5. Genome organization of 2 bat 229E-like and 3 bat NL63-like viruses sampled**
641 **from Kenyan bats.** A unified length scale is used for all the genomes. Within each genome,
642 the ORFs (arrow boxes) and ribosomal frame shift sites (vertical lines) are indicated at their
643 corresponding positions.

644

645 **Figure 6. Phylogenetic analyses of major open reading frames of NL63-like and 229E-**
646 **like CoVs in the context of alphacoronaviruses revealing evidence of recombination.**

647 Viruses sequenced in this study are shown in orange. Three potential recombinant genomes
648 of HCoV-NL63, BtKYNL63-15, and HKU8 are indicated with red circles, blue triangles, and
649 brown squares.

650

651 **Figure 7. The relationships between HCoV-NL63 and related viruses at the receptor**

652 **binding domain.** (A) Alignment of NL63-like and 229E-like viruses and related viruses at
653 the receptor binding domain. The positions of three receptor binding motifs (RBMs) are
654 marked with double arrowed line. Residues in the NL63-CoV RBMs that directly contact the
655 ACE2 receptor are marked with red downward arrows. (B) Phylogenetic relationships of
656 NL63-like and 229E-like viruses at receptor binding domain of HCoV-NL63. The tree is
657 based on an amino acid alignment and mid-point rooted.

658

659 **Figure 8. Recombination analyses of HCoV-NL63 using Simplot.** Genome-scale similarity
 660 comparisons of HCoV-NL63 (query) against BtKYNL63-9a (major parental group, blue),
 661 BtKYNL63-9b (green), BtKY229E-8 (minor parental group, red), HCoV-229E (orange),
 662 BtCoV/FO1A-F2/Hip_aba/GHA/2010 (pink), and Alaca respiratory CoV (brown). A full
 663 genome structure, with reference to HCoV-NL63, is shown above the similarity plot, marking
 664 the positions and boundaries of the major open reading frames. At the beginning of the S
 665 gene, the flat-line followed by a sudden drop of similarity is due to a gap (deletion within
 666 HCoV-229E S gene) in the alignment.

667

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670

671 **Tables**

672

673 **Table 1.** Results of Mantel tests and partial Mantel tests comparing two factors (host genetic
 674 distance and geographic distance) that predict the structure of virus genetic diversity

| Model | <i>r</i> value for Kenyan bats (<i>P</i> value) |
|-------------------------------|--|
| Host ^a | 0.5265 (<i>P</i> < 0.0001) ^c |
| Host Geography ^b | 0.5055 (<i>P</i> < 0.0001) ^c |
| Geography ^a | 0.2122 (<i>P</i> < 0.0001) ^c |
| Geography Host ^b | 0.1285 (<i>P</i> = 0.0005) ^c |

675 ^aMantel test; ^bpartial Mantel test; ^csignificant at 0.001.

676

677

678 **Table 2.** Multiple regression of virus genetic distance against host genetic distance and
 679 geographic distance in Kenyan bat CoVs (2007-2010)

| Variable | Correlation coefficient | <i>P</i> -value |
|-----------|-------------------------|-----------------|
| Host | 7.58E-01 | 1.00E-04 |
| Geography | 1.19E-06 | 1.00E-02 |

680

681 **Table 3. Sequence comparisons of the Kenyan bat CoVs with HCoV-229E or HCoV-NL63**

| | Genome identity | Concatenated domains | ADRP | nsp5 | nsp12 | nsp13 | nsp14 | nsp15 | nsp16 | 1ab | S | ORF3/4 | E | M | N |
|--------------------|-----------------|----------------------|------------------------------------|------|-------|-------|-------|-------|-------|-----|----|--------|----|----|----|
| | Nucleotide % | | Amino acid % identity to HCoV-229E | | | | | | | | | | | | |
| BtKY229E-1 | 88 | 98 | 92 | 98 | 97 | 99 | 97 | 96 | 94 | 95 | 75 | 92 | 93 | 90 | 78 |
| BtKY229E-8 | 88 | 97 | 89 | 98 | 98 | 98 | 97 | 97 | 94 | 96 | 74 | 94 | 97 | 90 | 68 |
| | Nucleotide % | | Amino acid % identity to HCoV-NL63 | | | | | | | | | | | | |
| BtKYNL63-9a | 78 | 91 | 75 | 89 | 93 | 94 | 89 | 88 | 94 | 86 | 53 | 67 | 80 | 82 | 69 |
| BtKYNL63-9b | 68 | 83 | 51 | 76 | 88 | 91 | 82 | 81 | 84 | 72 | 52 | 55 | 64 | 61 | 51 |
| BtKYNL63-15 | 68 | 84 | 51 | 76 | 88 | 91 | 82 | 81 | 87 | 72 | 49 | 55 | 62 | 58 | 52 |

682

683

684

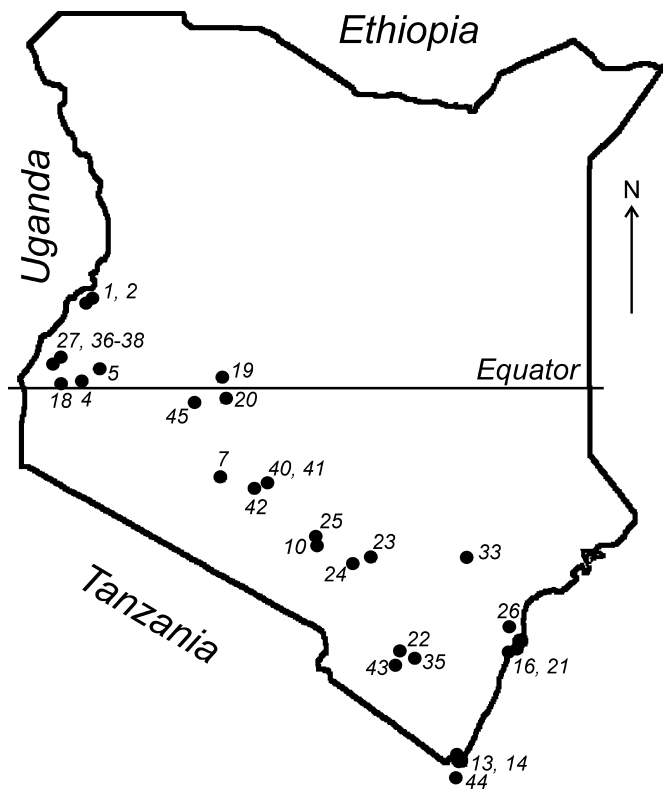
685

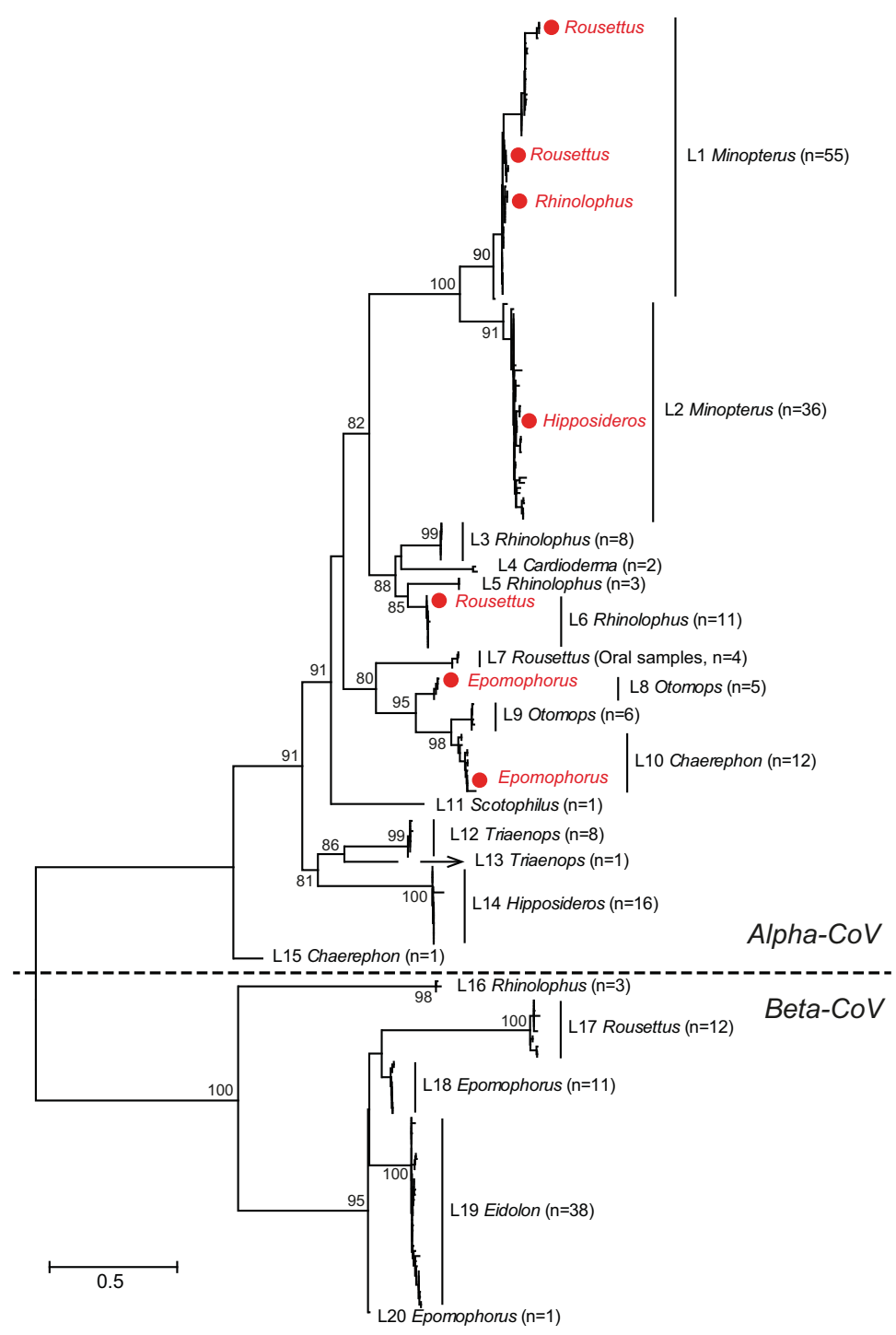
686

687 **Table 4. Genomic features of the open reading frames (ORF) in the Kenyan bat CoVs and their putative transcription regulatory sequences (TRS).**

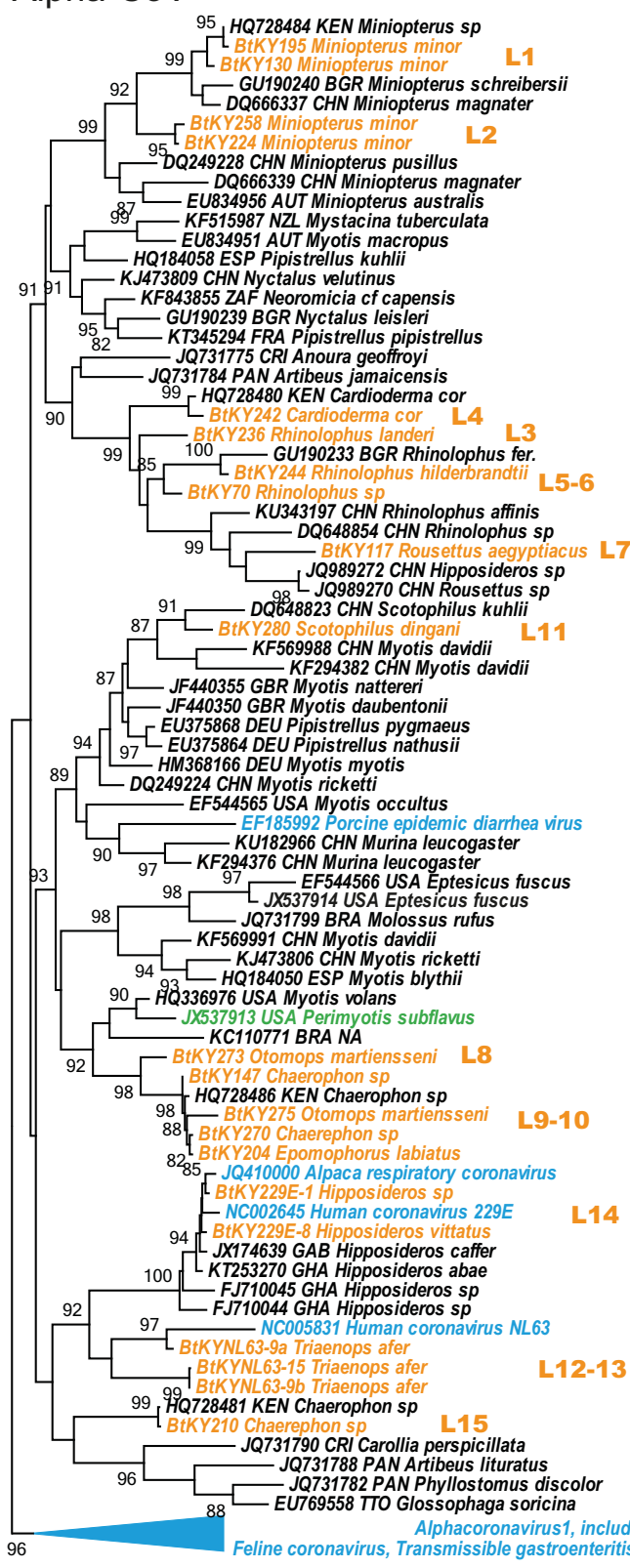
| Virus | 229E-like virus | | | NL63-like virus | | |
|----------------|------------------|---------------------------|----------------------------|---------------------|--------------------------|---------------------------|
| | BiKY229E-1 | BiKY229E-8 | BiKYNL63-9a | BiKYNL63-9b | BiKYNL63-15 | |
| Sequences (nt) | 27837 | 27666 | 28363 | 28677 | 28479 | |
| GC% | 38 | 39 | 39 | 43 | 43 | |
| ORF1ab (nt) | ORF size (nt) | 20286 | 20304 | 20277 | 20349 | 20355 |
| | Putative TRS | TCTCAACTAAAC(N219) AUG | TCTCAACTAAAC(N219) AUG | TCAACTAAAC(N214)AUG | CTCAACTAAAC(N215)AU G | TCTCAACTAAAC(N215) AUG |
| S | ORF size (nt) | 4095 | 4095 | 4119 | 4122 | 4134 |
| | Putative TRS | TCTCAACTAAATAAAA UG | UCTCAACUAAA(4)AUG | TCAACTAAAC(N1)AUG | CTCAACTAAAU G | TCAACTAAAC(N1)AUG |
| ORF3/4 | ORF size (nt) | 681 | 684 | 684 | 684 | 684 |
| | Putative TRS | TCAACTAAAC(N37)AU G | TCAACTAAAC(N37)AUG | TCAACTAAAC(N37)AUG | TCAACTAAAC(N37)AUG | CAACUAAAC(N37)AUG |
| E | ORF size (nt) | 234 | 234 | 234 | 234 | 234 |
| | Putative TRS | TCTCAACTAAAC(N151) AUG | TCTTCAATGTAAC(N281) AUG | TTATAAC(N79)AUG | TCTGCTAAC(N151)AUG | TCTGATAAC(N151)AUG |
| M | ORF size (nt) | 681 | 681 | 693 | 681 | 684 |
| | Putative TRS | CTAAACTAAAC(N4)AU G | CTAAACTAAAC(N4)AUG | CTAAAC(N6)AUG | TCTAAACTAAAC(N4)AUG | UCUAAACUAAA(N4)AU G |
| N | ORF size (nt) | 1161 | 1200 | 1225 | 1302 | 1302 |
| | Putative TRS | TTAATCTAAAC(N11)A UG | ATCTAAAC(N11)AUG | TCTAAACTAAAC(N3)AUG | CTAAACCAAAC(N4)AUG | UCUAAACUAAAC(N4)A UG |
| ORF8/ ORF9 | ORF size (nt) | 288 | 198 | 287 | 291 | 270 |
| | Putative TRS | UCAACUAAAAC(1)AUG | UCAACUAAAAC(4)AUG | CAAAACCUAAC(N12)AUG | TCAACTAAAC(N567)AUG | CAACUAAAC(N234)AUG |

688

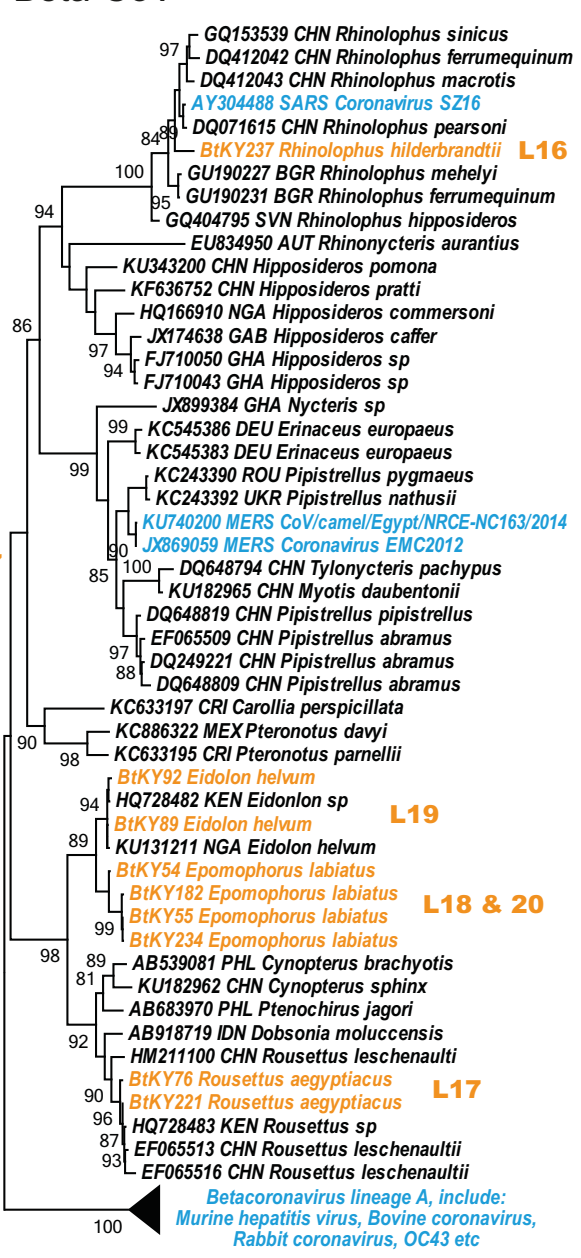


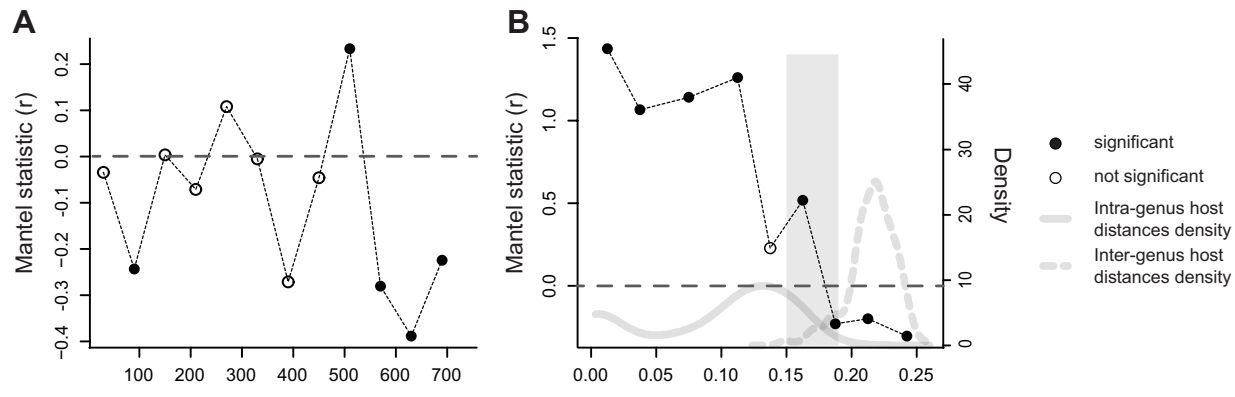


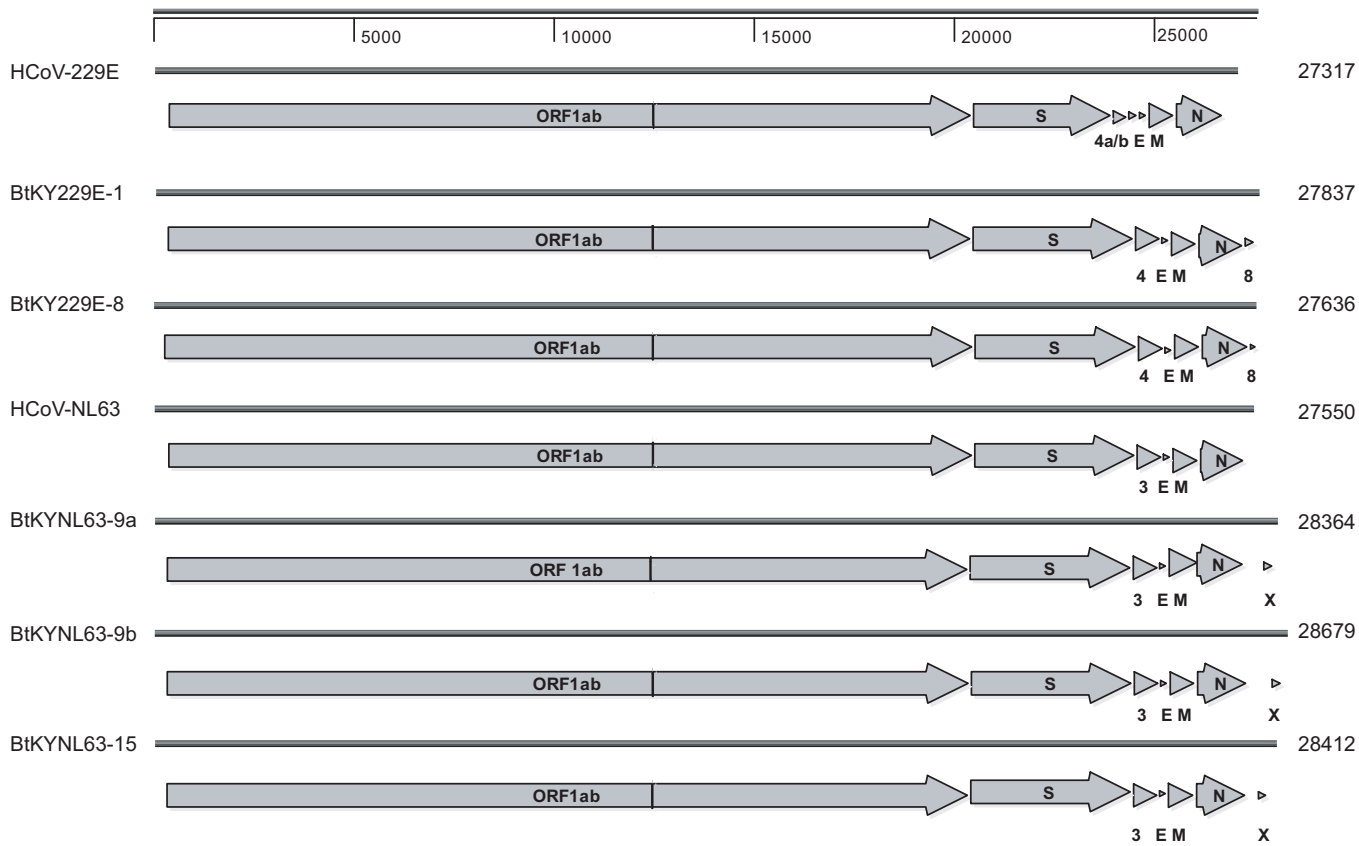
Alpha-CoV



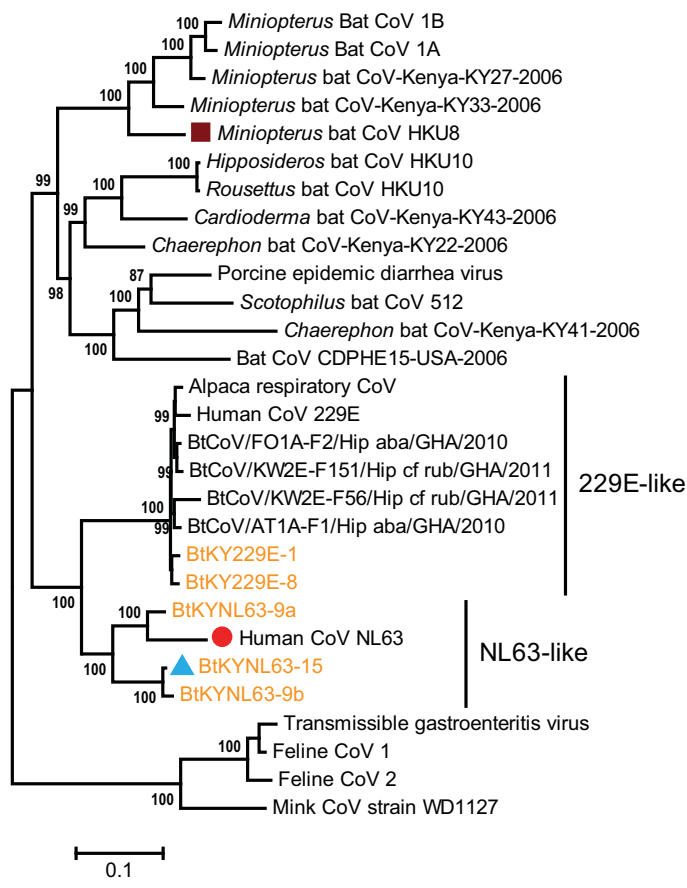
Beta-CoV



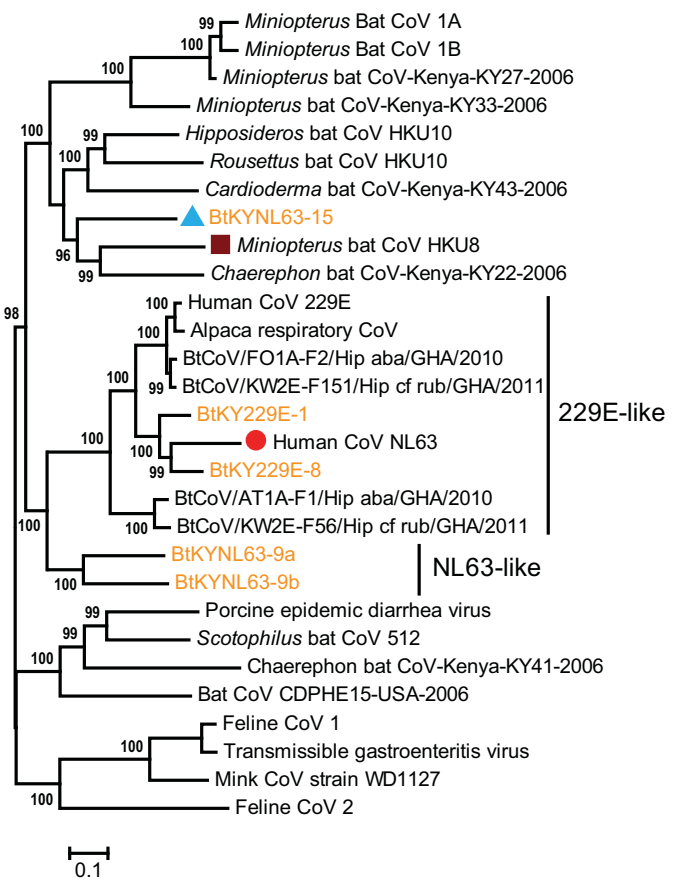




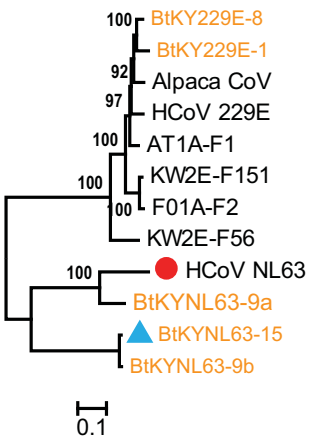
1b Protein



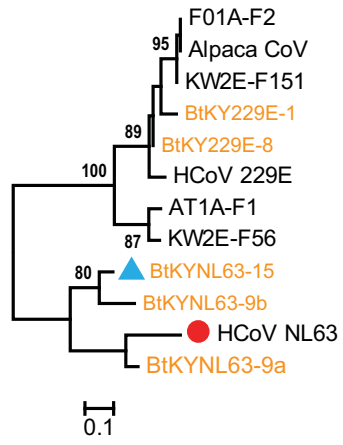
Spike Protein (non-recombinant region)



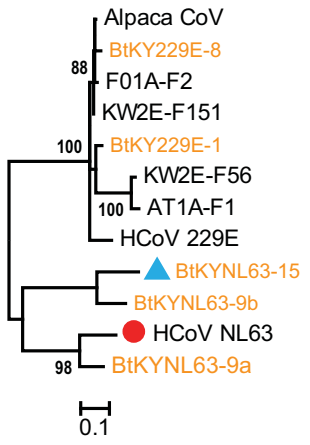
1a



E



M



N

