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1 **Title**

2 Multiple origins of dichotomous and lateral branching during root evolution

3

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15 **Abstract**

16 Roots of extant vascular plants proliferate through lateral branching (euphyllophytes) or
17 dichotomy (lycophytes)¹⁻⁴. The origin of these distinct modes of branching was key for plant
18 evolution because they enabled the development of structurally and functionally different
19 root systems that supported a diversity of shoot systems³⁻⁶. It has been unclear when lateral
20 branching originated and how many times it evolved^{4,7,8}. Here we report that many
21 euphyllophytes that were extant during the Devonian and Carboniferous periods developed
22 dichotomous roots. Our data indicate that dichotomous root branching evolved in both
23 lycophytes and euphyllophytes. Then, lateral roots evolved at different times in three major

24 lineages of extant euphyllophytes, the lignophytes, ferns and horsetails. The multiple origins
25 of dichotomous and lateral root branching are extreme cases of convergent evolution that
26 occurred during the Devonian and Carboniferous periods when the land plant flora
27 underwent a radiation in morphological diversity.

28

29 **Main text**

30 Roots of extant vascular plants branch through either endogenous lateral branching or
31 dichotomous branching (Fig. 1). Endogenous lateral branching is a defining feature of the
32 roots of all extant euphyllophytes (the group that includes all seed plants, ferns and
33 horsetails⁹); new roots develop as lateral roots from internal tissues of older roots at a
34 distance from the apex¹ (Fig. 1a-c). Root proliferation through dichotomous branching is a
35 trait of all extant lycophytes; the apex splits to form two daughter roots² (Fig. 1d-f). The fossil
36 record provides evidence that dichotomous branching has been a highly conserved feature
37 of the roots of lycophytes for over 400 million years². However, neither the time at which
38 lateral branching evolved in the euphyllophyte lineage nor the mode of branching in the first
39 euphyllophyte roots is known^{4,7,8}. To define when lateral branching evolved we searched for
40 evidence of root branching among euphyllophyte fossils from the Devonian and
41 Carboniferous periods –among early diverging euphyllophytes, early diverging monilophytes
42 and among lignophytes the group that includes all extant seed plants. Roots of extant
43 vascular plants are defined by development from a root meristem with root cap and often but
44 not always the development of root hairs from the epidermis^{7,10,11}. However, because of the
45 poor preservation of root meristems in early euphyllophyte fossils here we use the term root
46 to describe an axial organ that carries out rooting function, which includes anchorage, water
47 and nutrient uptake, and the term rooting system as the collective name for all of the roots
48 that develop on an individual plant.

49 Roots with lateral or dichotomous branching have never been described in
50 *Eophyllophyton* and the paraphyletic genus *Psilophyton* both early diverging members of the
51 euphyllophytes^{9,12–14}. This suggests that these plants may have been rootless¹⁵ similar to
52 early diverging vascular plants such as the polysporangiophytes preserved in the Rhynie
53 chert^{8,9} and the paraphyletic eutracheophyte genus *Cooksonia*⁴. These fossils indicate that
54 there is no evidence for roots amongst early diverging euphyllophytes.

55 There are five clades or grades of non-lignophyte euphyllophytes that group with
56 either extant ferns or horsetails: Cladoxylopsida, Equisetopsida, Zygoteridales, Marattiales,
57 and leptosporangiate ferns^{9,16}. Collectively we will refer to these groups as early diverging
58 monilophytes following the extensive number of molecular phylogenies that support the
59 grouping of extant ferns and horsetails¹⁷. To our knowledge no survey of root branching in
60 early diverging monilophytes has been carried out. We therefore searched for evidence of
61 root branching in these lineages from the Devonian and Carboniferous periods. Middle
62 Devonian cladoxylopsids are the earliest group of monilophytes for which extensive
63 branching roots are described. Although roots are known from a number of species of
64 cladoxylopsids (Supplementary Table 1) only three members preserve unequivocal evidence
65 of branching (Table 1). The roots of all three species branched dichotomously (Table 1).
66 Since extant euphyllophytes do not typically develop roots that branch dichotomously (with
67 the exception of some symbiotic roots, such as ectomycorrhizal roots of gymnosperms¹⁸) we
68 characterised the root morphology of *Lorophyton goense* to verify that it branched
69 dichotomously. We selected *L. goense*¹⁹ because it developed an extensive rooting system
70 that underwent multiple orders of branching.

71 We characterised root branching in the Paratype of *L. goense* ULG 2057a and ULG
72 2057b, in the collections of the University of Liège, Belgium, in which the vegetative plant,
73 including rooting system, is preserved. The Paratype of *L. goense* has been reconstructed
74 as a juvenile plant that was ca. 30 cm tall (Fig. 2a) and developed a crown of vegetative
75 branching appendages from the top of the shoot with branching roots emerging from the

76 base¹⁹ (Fig. 2a). Roots¹⁹ were preserved as pale axes with dark outlines (Fig. 2 b-h) and are
77 described as adventitious because they were attached to the base of the shoot. Of the eight
78 best-preserved roots six branched; and only two did not branch (Supplementary Fig. 1). The
79 best-preserved branching events are shown in (Fig. 2, c-h). There were two orders of
80 branching in two of the best-preserved roots (Fig. 2d, e). No more than two orders of
81 branching were observed which is likely due to the fragmentary nature of the fossil. The two
82 daughter roots connected at a branch point are of roughly equal diameters and branching is
83 therefore isotomous (Fig. 2 c-h). The morphology of these roots suggests that branching was
84 dichotomous and we found no evidence to suggest root branching was lateral. Narrower
85 radial axes attached to a single larger root, a mode of branching consistent with lateral root
86 branching, was reported to exist¹⁹ but evidence was not presented by Fairon-Dermaret and
87 Li¹⁹ and we found no evidence for this type of root branching in our re-examination of *L.*
88 *goense*.

89 The morphology of the roots suggest that branching was dichotomous, however to
90 verify this observation we examined in detail evidence from anatomy. A vascular trace ran
91 along the centre of each root (illustrated in light grey on the line drawings in Fig. 2c, d, e).
92 The vascular trace was marked as a black carbonised line at the centre of the axes when
93 preserved close to the connection with the shoot system (Fig. 2f, h), and as a faint ridged
94 line in roots further from the connection with the shoot (Fig. 2g). A single central vascular
95 trace ran along the length of each root except where the vascular trace duplicated near the
96 point of dichotomous branching (white arrowheads indicate two vascular strands in an axis
97 prior to the point of bifurcation Fig. 2f-h). This type of vascular anatomy is characteristic of
98 dichotomous branching (Fig. 1d-f), and similar duplication of vascular traces have been
99 observed in compression fossils of lycophyte roots that branch dichotomously²⁰. The
100 organisation of the anatomy of the vascular trace in *L. goense* roots, in combination with
101 branching morphology suggests that these roots branched dichotomously.

102 Given that cladoxyloids developed roots that branched dichotomously we tested if
103 dichotomous branching was a common feature of the roots of early diverging monilophytes.
104 We investigated root branching in representatives of the other four major monilophyte
105 groups from the Devonian and Carboniferous – the Equisetopsida, Zygopteridales,
106 Marattiales, and leptosporangiate ferns (Table 1, Supplementary Table 1). 14 taxa were
107 scored for the presence of lateral and or dichotomous branching. Five developed roots that
108 branched dichotomously, five developed roots that branched laterally and four developed
109 roots that branched both dichotomously and laterally (Table 1). This indicated that
110 dichotomous branching existed in all lineages of early diverging monilophytes.

111 We next investigated root branching in members of the lignophytes^{9,21}, the group
112 containing all extant seed plants. It is hypothesized that seed plants evolved from a
113 progymnosperm ancestor. Therefore, we first investigated evidence for root branching in
114 progymnosperms. The aneurophytalan progymnosperms developed creeping shoot habits
115 comprising rhizotamous axes from which adventitious roots developed²². Evidence suggests
116 that roots branched by both dichotomy^{8,23} and lateral branching^{23,24} (Table 1).
117 Archaeopteridalean progymnosperms were large woody trees that developed extensive
118 woody rooting systems^{5,25–27}. Evidence from Middle and Late Devonian fossils assigned to
119 the genera *Archaeopteris* and *Eddyia* suggests that roots of archaeopteridalean
120 progymnosperms formed both dichotomous branches and lateral branches (Table 1)^{25,26,28}.
121 Gymnosperm roots are known from the Late Devonian but branching is only known from the
122 Carboniferous period (Supplementary Table 1, Table 1). Root morphology of four taxa from
123 the Carboniferous (Table, 1) indicates that seed plant roots formed lateral branches. Taken
124 together these data indicate that dichotomous root branching and lateral root branching had
125 evolved in the progymnosperms and lateral root branching was subsequently conserved in
126 both extinct and extant gymnosperms, while species with dichotomous root branching went
127 extinct.

128 From this survey of root branching we conclude that dichotomous root branching was
129 a characteristic of many early groups of euphyllophytes in the Devonian period (Table 1).
130 This finding is further supported by the root structure of Devonian taxa of unknown
131 taxonomic affinity (*incertae sedis*) (Table 1). Dichotomous root branches formed on four out
132 of five *incertae sedis* taxa (Table 1). If the majority of euphyllophyte roots branched
133 dichotomously in the Devonian period and today euphyllophytes develop roots that branch
134 laterally it suggests that lateral branching evolved multiple time independently in
135 euphyllophytes. To determine when lateral branching evolved in the different lineages of
136 euphyllophytes, we mapped root branching type for each taxon (Table 1) onto the known
137 ages of their respective groups^{29,30} (Fig. 3). Lateral root branching evolved at different times
138 in at least three distinct lineages, the lignophytes, Equisetopsida and ferns. Lateral root
139 branching was present in the progymnosperm lineage in the Mid Devonian, suggesting that
140 lateral root branching may have evolved earliest in the lignophytes. In the lineage of early
141 diverging monilophytes lateral root branching is only found among the Zygopteridales in the
142 Devonian period. Later, during the Late Carboniferous lateral root branching was present in
143 the Equisetopsida, Marattiales and the leptosporangiate ferns (Fig. 3). The different times at
144 which lateral root branching is first observed are consistent with the multiple, independent
145 origins of lateral root branching in these lineages.

146 Based on our analysis we draw two major conclusions. First, that dichotomous root
147 branching was common among Devonian and Carboniferous euphyllophyte species, a
148 characteristic that today is only present in the lycophyte lineage. Second, that lateral root
149 branching likely evolved independently in the lignophytes, horsetails and ferns. These
150 findings are important because they highlight that developmentally and functionally^{3,6} many
151 early euphyllophytes developed rooting systems distinct from the roots of their living
152 relatives. The absence of lateral branching in many early euphyllophytes is also important
153 because lateral root branching is an essential characteristic for the development of
154 morphologically complex root systems capable of adapting to diverse environments^{3,6}.

155 Morphologically the roots of many early euphyllophytes were more similar to the roots of
156 extinct and extant lycophytes than to extant euphyllophytes, while those capable of both
157 dichotomous and lateral branching (Table 1) have no living analogues.

158 Our data enable us to recognise at least three trajectories in early euphyllophyte root
159 branching evolution (Fig. 3). i) Roots that developed by both dichotomous and endogenous
160 lateral branching evolved in the progymnosperm lineage and then lateral branching was
161 subsequently conserved in extinct and extant seed plants. ii) Roots that branched
162 dichotomously evolved in many early diverging monilophytes. iii) Lateral rooting branching
163 then evolved independently and in a piecemeal fashion in the monilophytes, first in one
164 lineage during the Devonian but later during the Carboniferous in others and is present in all
165 extant monilophytes. These fossils indicate that dichotomously branching roots were a trait
166 of both lycophytes and euphyllophytes in the Devonian and Carboniferous periods. In
167 lycophytes this mode of branching was conserved over the course of 400 million years², by
168 contrast in euphyllophytes dichotomously branching roots went extinct and were instead
169 superseded by lateral branching roots.

170

171 **Methods**

172 The Paratype of *L. goense* ULG 2057a and ULG 2057b was examined in the collections of
173 the University of Liège, Belgium. This was the only fossil specimen for which new images
174 are presented. Photographs of ULG 2057b (Fig. 2b-e) were taken with a Nikon D7500 and
175 Nikon 60mm f/2.8 Micro-NIKKOR AF-D lens mounted on a copy stand under white light.
176 High magnification images (Fig. 2f-h) were taken of the branching roots with a Zeiss Stemi
177 2600 stereomicroscope and Nikon Df camera under polarised light. Line drawings (Fig. 2a,
178 c-e) we made using Inkscape.

179 An extensive literature survey was carried out of root branching in Devonian and
180 Carboniferous euphyllophytes, the results of which are summarised in the Table 1 and

181 Supplementary Table 1. This survey concerned the branching of roots only, where a root
182 branched to produce either lateral roots or daughter roots, and not the origin of adventitious
183 roots from shoots. The presence of either lateral and or dichotomous branching was scored
184 based on descriptions given by the original authors. Branching was scored as dichotomous
185 when the original authors described branching as either dichotomous or bifurcating. In the
186 majority of cases the mode of branching was verified by inspecting the figures in the original
187 papers. Bifurcating roots were recognised in compression fossils by the preservation of
188 multiple orders of isotomous dichotomous branching. In well preserved compression fossils
189 such as *L. goense* which is described in the main text, branching of vascular tissue was also
190 used to identify dichotomous branching. In permineralised fossils with internal anatomy
191 preserved, dichotomous branching was also identified by the presence of a bifurcating
192 vascular trace forming two traces of roughly equal proportions. In compression fossils lateral
193 branching was identified when roots with a relatively small diameter, often in relatively large
194 numbers, were attached to a parent root with a relatively large diameter. In cases where
195 anatomy was preserved, such as permineralised fossils, lateral root branching was identified
196 by the presence of small endogenous lateral root traces perpendicular to the primary tissues
197 of the parent root. For a description of why the original authors interpreted axes as roots see
198 the original papers described in Table 1 and Supplementary Table 1. In all cases roots
199 conformed to the definition of a root used in this study described in the main text.

200

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202

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213

214 **Author contributions**

215 A.J.H. designed the project with advice from L.D. and C.B., A.J.H. carried out the analyses
216 with assistance from C.B., A.J.H. and L.D. wrote the paper with comments from C.B.

217

218

219 **Data availability statement**

220 Paratype ULG 2057a and ULG 2057b of *Lorophyton goense* is housed in the collections of
221 the University of Liège, Belgium. All other data supporting the findings of this study are
222 included in the paper and its Supplementary Information.

223

224

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398

399

400 **Figure 1 Differences between lateral and dichotomous root branching.** **a**, Cartoon of a
401 lateral branching root system. **b**, Three longitudinal sections through a root undergoing
402 lateral root branching, older developmental stages on the right, illustrating the development
403 of a new lateral root. **c**, Transverse sections through the three developmental stages in **b**, at
404 the level of the black arrowheads. **d**, Cartoon of a dichotomously branching root system. **e**,
405 Three longitudinal sections through a root undergoing dichotomous root branching, older
406 developmental stages on the right. **f**, Transverse sections through the three roots shown in
407 **e**, at the level of the black arrowheads. Grey, ground tissues and epidermis. Blue, vascular
408 tissues. Cream, root cap.

409

410 **Figure 2 Dichotomous root branching in *Lorophyton goense*.** **a**, Drawing of the most
411 complete specimen of *L. goense*¹⁹, based on ULG 2057a and ULG 2057b, with the extent of
412 ULG 2057b preserving the rooting system highlighted with blue box. **b**, Specimen ULG
413 2057b showing the tuft of roots attached to the base of the stem with roots preserved as pale
414 axes with dark outlines, arrowheads highlight the roots for which higher magnification
415 images are provided. **c-h**, Higher magnification images showing the defining features of the
416 dichotomously branching roots. **c**, Left, magnified image of root marked by arrowhead A in
417 **(b)**, right, drawing of the root in dark grey with vascular strand highlighted in light grey. **d**,
418 Left, magnified image of two roots marked by arrowhead B in **(b)**, right, drawing of the roots
419 numbered 1 and 2 in dark grey with vascular strands highlighted in light grey. **e**, Top,
420 magnified image of two roots marked by arrowhead C in **(b)**, bottom, drawing of the roots
421 numbered 1 and 2 in dark grey with vascular strand highlighted in light grey. **f-g**, Magnified
422 image of roots illustrated in **(d, e)**, with white arrowheads indicating two vascular strands in
423 an axis prior to point of bifurcation. **f**, magnified image of root **d1**, **g** magnified image root **d2**,
424 **h**, magnified image of roots **e1** and **e2**. Scale bars, 4 cm (**a, b**), 5 mm (**c-e**) and 2 mm (**f-h**).

425

426 **Figure 3 Multiple origins of dichotomous and lateral branching during root evolution.**

427 Root branching type for major lineages of vascular plants during the Devonian and
428 Carboniferous periods based on data in Table 1 and Supplementary Table 1. Dichotomous
429 branching (blue boxes) is common in euphyllophyte lineages during the Devonian and
430 Carboniferous. Lateral root branching (green) evolved at different times in the major groups
431 of euphyllophytes. Many lineages developed roots that branched both dichotomously and
432 laterally (blue and green split boxes) a characteristic not found in extant species. Phylogeny
433 of extant groups based on¹⁷ phylogeny of extinct groups highlighted with (†) based on^{9,16}.
434 Temporal ages of lineages based on^{29,30}. Independent origin of roots in lycophytes and
435 euphyllophytes based on^{4,7,8,11}. Origin of roots (star) in euphyllophytes is predicted as a
436 character of crown group euphyllophytes based on the observation in this study that all
437 major groups of lignophytes and early monilophytes developed roots.

438

439

440

441

442 **Table 1. Root branching types in Devonian and Carboniferous euphyllophytes.**

Group	Species	Branching type		Geological Age
		Dichotomous	Lateral	
Cladoxylopsida				
Cladoxylopsida	<i>Lorophyton goense</i> ¹⁹	Yes		M. Dev.
Cladoxylopsida	<i>Astralocaulis davidii</i> ^{31,32}	Yes		M. Dev.
Cladoxylopsida	<i>Denglongia hubeiensis</i> ³³	Yes		L. Dev.
Equisetopsida				
Equisetopsida	<i>Eviostachya hoegii</i> ³⁴	Yes		L. Dev.
Equisetopsida	<i>Sphenophyllum insigne</i> ³⁵	Yes		E. Carb.
Equisetopsida	<i>Spehnophyllum constrictum</i> ³⁶	Yes		L. Carb.
Equisetopsida	<i>Sphenophyllum sp.</i> ³⁷		Yes	L. Carb.
Equisetopsida	<i>Archaeocalamites sp.</i> ^{35,38,39}	Yes	Yes	E. Carb.
Equisetopsida	<i>Calamites sp.</i> ^{40,41}		Yes	L. Carb.
Zygoterid ferns				
Zygoterid fern	<i>Rhacophyton zygoteroides</i> ⁴²	Yes		L. Dev.
Zygoterid fern	<i>Rhacophyton ceratangium</i> ⁴³		Yes	L. Dev.
Zygoterid fern	<i>Symplocopteris wyattii</i> ^{44,45}	Yes	Yes	E. Carb.
Zygoterid fern	<i>Zygoteris sp.</i> ⁴⁶		Yes	L. Carb.
Marattiales				
Marattiales	<i>Psaronius sp.</i> ⁴⁷	Yes	Yes	L. Carb.
Leptosporangiate fern				
Leptosporangiate fern	<i>Tubicaulis sp.</i> ^{48,49}	Yes		L. Carb.
Leptosporangiate fern	<i>Ankyropteris sp.</i> ^{50,51}		Yes	L. Carb.
Leptosporangiate fern	<i>Botryopteris sp.</i> ⁵²⁻⁵⁴	Yes	Yes	L. Carb.
Progymnosperms				
Progymnosperm	Aneurophytales ^{8,23,24}	Yes	Yes	M-L. Dev.

Progymnosperm	<i>Archaeopteris sp.</i> ^{5,25-27,55}	Yes	Yes	M-L. Dev.
Progymnosperm	<i>Eddyia sullivanensis</i> ²⁸	Yes	Yes	L. Dev.
Progymnosperm	Protopytales ^{56,57}		Yes	E. Carb.
Gymnosperm				
Gymnosperm	<i>Amyelon sp.</i> ⁵⁸⁻⁶¹		Yes	E-L. Carb.
Gymnosperm	<i>Heterangium sp.</i> ^{62,63}		Yes	E-L. Carb.
Gymnosperm	<i>Lyginopteris sp.</i> ⁶³⁻⁶⁵		Yes	L. Carb.
Gymnosperm	<i>Medullosa anglica</i> ⁶⁶⁻⁶⁸		Yes	L. Carb.
<i>Incertae sedis</i>				
<i>Incertae sedis</i>	<i>Incertae sedis</i> ⁶⁹	Yes		M. Dev.
<i>Incertae sedis</i>	<i>Protopteridophyton devonicum</i> ⁷⁰	Yes		M-L. Dev.
<i>Incertae sedis</i>	<i>Pinnularia devonica</i> ⁷¹		Yes	L. Dev.
<i>Incertae sedis</i>	<i>Incertae sedis</i> ⁷²	Yes		L. Dev.
<i>Incertae sedis</i>	<i>Sphenopteris flaccida</i> ⁷¹	Yes		L. Dev.

443 Middle Devonian = M. Dev. Late Devonian = L. Dev. Early Carboniferous = E. Carb. Late
444 Carboniferous = L. Carb.

445

446

447 **Supplementary Table 1. Review of root branching types in Devonian and**

448 **Carboniferous euphyllophytes including species for which roots are known but**

449 **branching is unknown.**

450

451 **Supplementary Fig. 1. *Lorophyton goense* roots.** Specimen ULG 2057b showing the tuft

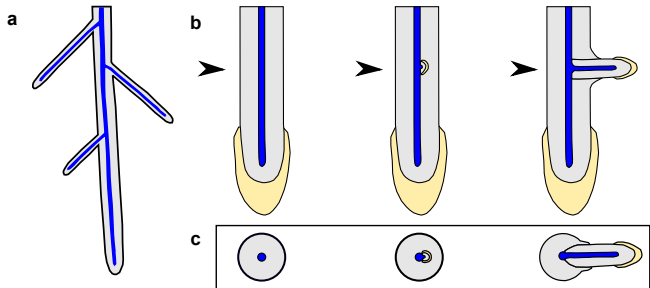
452 of roots attached to the base of the stem with roots preserved as pale axes with dark

453 outlines. Arrowheads highlight the eight best-preserved roots. Black arrowheads highlight

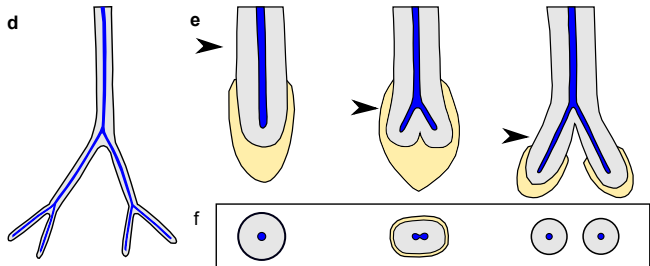
454 the six roots that branch and blue arrowheads highlight two unbranched roots. Scale bar, 4

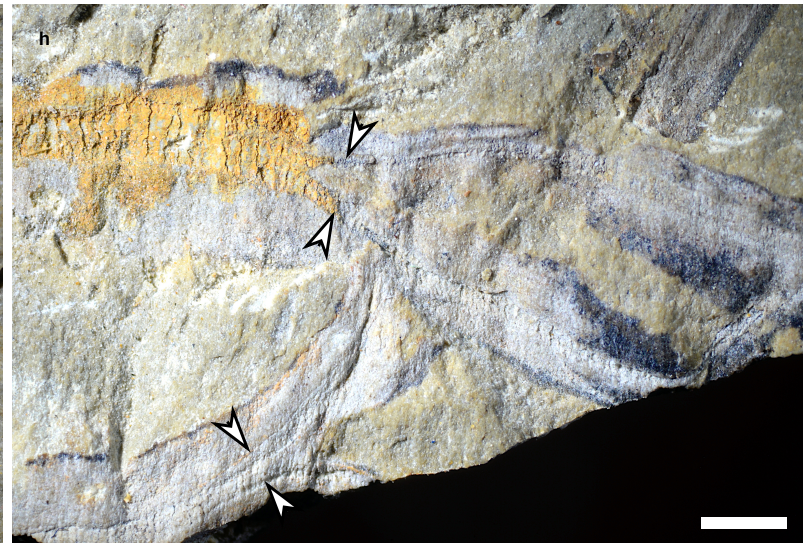
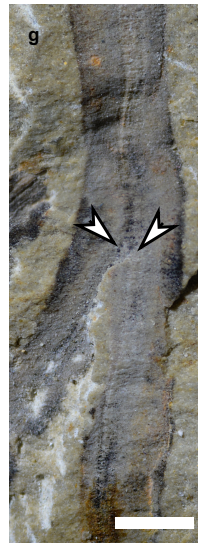
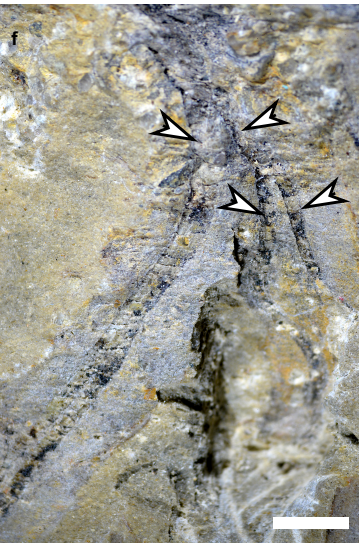
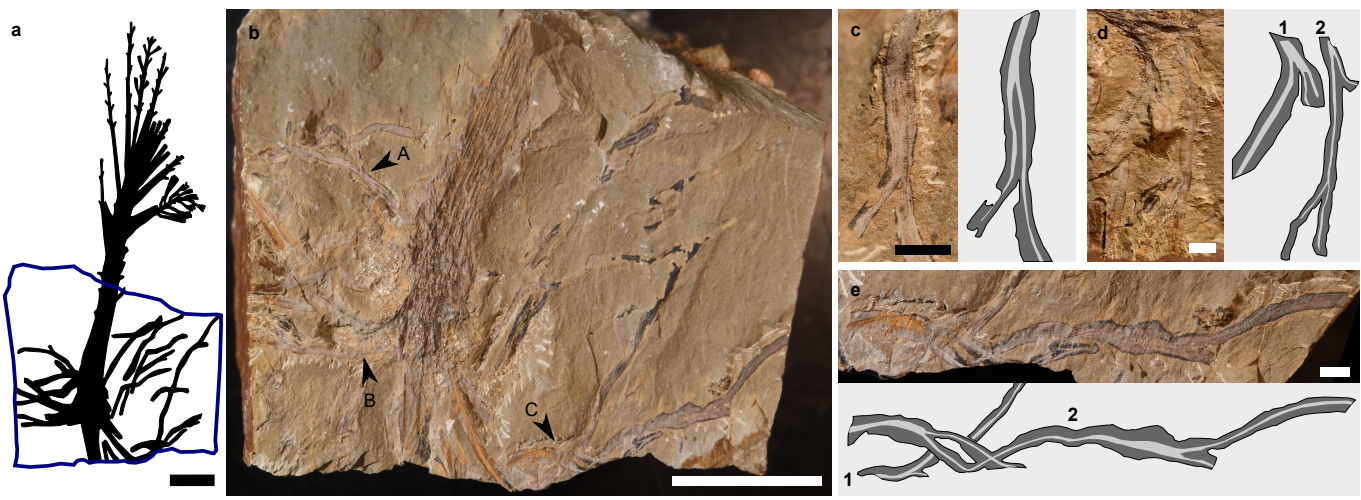
455 cm.

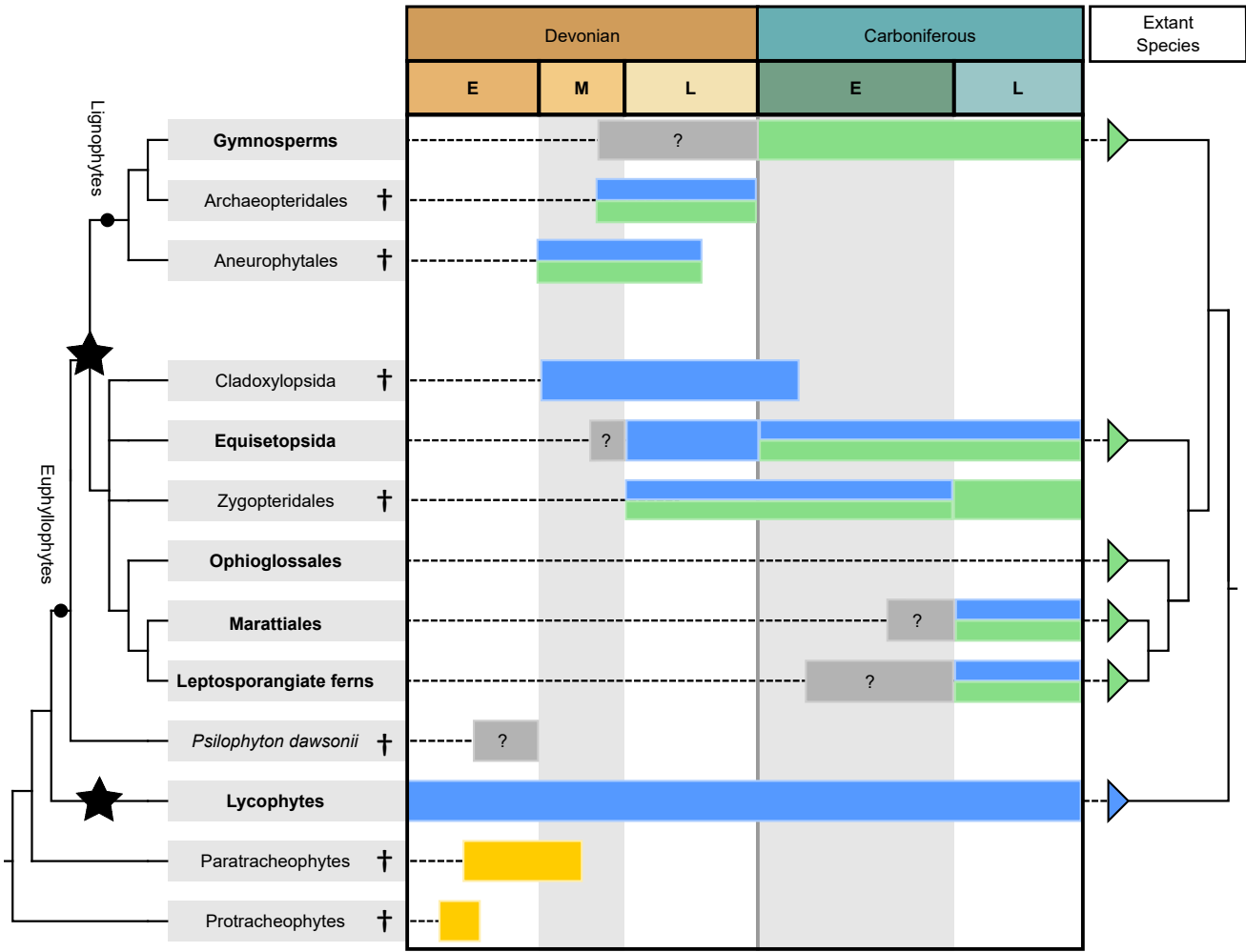
Lateral Branching



Dichotomous Branching







★ Origin of roots

⊗ Rootless

⋏ Dichotomous Branching

⌋ Lateral Branching