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1	Mitochondrial analysis of a Byzantine population reveals the
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3	Claudio Ottoni ^{1,2,3,§,*} , François-X Ricaut ^{4,*} , Nancy Vanderheyden ^{1,*} , Nicolas Brucato ⁴ ,
4	Marc Waelkens ^{2,5} , Ronny Decorte ^{1,2,3}
5	
6	¹ Laboratory of Forensic Genetics and Molecular Archaeology, Universitaire
7	Ziekenhuizen, Belgium.
8	² Center for Archaeological Sciences, Katholieke Universiteit Leuven, Leuven,
9	Belgium.
10	³ Center for Human Genetics, Katholieke Universiteit Leuven, Leuven, Belgium
11	⁴ CNRS FRE 2960, Laboratoire AMIS d'Anthropologie Moléculaire et Imagerie de
12	Synthèse, Université de Toulouse, Toulouse, France.
13	⁵ Sagalassos Archaeological Research Project, Katholieke Universiteit Leuven, Leuven,
14	Belgium.
15	* These authors contributed equally to this work.
16	
17	[§] Corresponding author: Claudio Ottoni, Laboratory of Forensic Genetics and Molecular
18	Archaeology, Universitaire Ziekenhuizen Leuven, Department Forensic Medicine,
19	Kapucijnenvoer 33, B-3000 Leuven, Belgium; Tel: +32-16-345860; Fax: +32-16-
20	345997; E-mail: claudio.ottoni@med.kuleuven.be
21	
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24	

25 ABSTRACT

The archaeological site of Sagalassos is located in Southwest Turkey, in the western part of the Taurus mountain range. Human occupation of its territory is attested from the late 12th millennium BP up to the 13th century AD. By analysing the mtDNA variation in 85 skeletons from Sagalassos dated to the 11th-13th century AD, this study attempts to reconstruct the genetic signature potentially left in this region of Anatolia by the many civilizations which succeeded one another over the centuries until the mid-Byzantine period (13th century BC).

Authentic ancient DNA data were determined from the control region and some SNPs in the coding region of the mtDNA in 53 individuals. Comparative analyses with up to 157 modern populations allowed us to reconstruct the origin of the mid-Byzantine people still dwelling in dispersed hamlets in Sagalassos, and to detect the maternal contribution of their potential ancestors.

By integrating the genetic data with historical and archaeological information we were able to attest in Sagalassos a significant maternal genetic signature of Balkan/Greek populations, as well as ancient Persians and populations from the Italian peninsula. Some contribution from the Levant has been also detected, whereas no contribution from Central Asian population could be ascertained.

44 INTRODUCTION

45 Anatolia, the Asian part of Turkey (Asia Minor) is at the crossroad between the 46 Balkans, the Near East and the Caucasus, and has acted during major population 47 expansions as a bridge between Europe, Africa and Asia. Presence of modern humans in Anatolia is attested since the upper Palaeolithic¹. This region was also suggested to be a 48 refuge during the Last Glacial Maximum², at the end of which an improving climate 49 50 allowed the coastal hunter-gatherers to venture inland, where they established temporary camps in search of game and flint³. Anatolia is also considered as an area 51 through which the 'Neolithic revolution' spread into Europe⁴⁻⁸. However, the major 52 53 cultural changes in Anatolia occurred from the Bronze Age, when various civilization 54 and empires succeeded one another over time and increasing interactions in the eastern 55 Mediterranean resulted in the development of trading networks, military campaigns and 56 human colonizations, particularly during the Mycenaean, the Greco-Hellenistic, Roman Republican and Imperial, and later the Islamic periods⁹⁻¹³. 57

From the early Middle Bronze Age onwards city-states and federations of the Hittites and the Luwians, two originally ethnically and linguistically related groups from Transcaucasia, started to infiltrate Central to Eastern and Western to Southern Anatolia respectively¹⁴⁻¹⁵. Shortly afterward, from the 16th millennium BC, Minoan and Mycenaean colonization took place on the Anatolian west and southwest coast.

63 The Early Iron Age in Central and West Anatolia is characterized by the kingdom of the 64 Phrygians (10th to early 7th century BC), followed after its collapse by the Lydians. 65 From 546 until 334/333 BC Anatolia was incorporated into the Achaemenid Persian 66 Empire, and later into that of Alexander the Great. Then, from the early 2nd century BC 67 onwards Pisidia was part of the realm of the Romans¹⁶⁻¹⁷. It has been estimated that in the Late Roman Period, the size of the Anatolian population reached 12 million
individuals¹⁸.

In the mid of the 6th century AD the late Roman civilisation and Empire, to which 70 71 Anatolia belonged, became part of the Byzantine culture and Empire, Greek in language and ideology, but Christian in religion (6th-15th century AD). Under Byzantine rule the 72 73 intermittent Arabic invasions took place, before the Seljuk Turks conquered Anatolia in the late 11th century AD. After their crushing by the Mongols, followed by the Beylik 74 75 period (Turkish principalities), the Anatolian peninsula was unified again into the Ottoman Empire, from the 14th to the early 20th century AD, when it became the major 76 part of the current Republic of Turkey^{9-10,19}. 77

78 Evidently, the Anatolian population history is the result of complex processes involving 79 different population groups, the impact and contribution of which to the genetic pool of 80 the Anatolian population is still relatively unknown. Molecular genetic analyses of 81 modern human populations provided important clues to reconstruct the past migratory trajectories in the eastern Mediterranean and Anatolia^{2,20-24}. Nevertheless, these results 82 83 are limited by the fact that various demographic events could have obscured over time 84 the evolutionary history inferred from modern populations. In this context, genetic 85 analysis of ancient populations appears to be a promising way to investigate the origin 86 of human populations and to validate hypotheses based on modern genetic data and 87 other fields of study (e.g. historical and archaeological data).

In the present study, we describe the mitochondrial DNA (mtDNA) variation of a Byzantine population (11th-13th century) from the archaeological site of Sagalassos, in Southwestern Anatolia. The importance of this population is due to both (i) a continuous human occupation of its territory from the later 6th millennium BP up to the

92 13th century AD²⁵, and (ii) its very well known historical and archaeological background 93 resulting from 25 years of research (<u>http://www.sagalassos.be</u>) which revealed the 94 different influences that Sagalassos had undergone since the Bronze Age through its 95 affiliation to successive empires/civilizations in this region (see Ricaut & Waelkens²⁶ 96 for a more detailed review of the historical context of Sagalassos).

97 The purpose of this study is to estimate the maternal genetic signature potentially left in 98 the Byzantine population from Sagalassos by the historic events impacting the 99 Sagalassos region and South-western Anatolia since the Bronze Age, and whether these 100 events may have been associated to large population movements, to more restricted elite 101 dominance, or only to cultural diffusion. More particularly, on the basis of the available 102 historical and archaeological records, our objective is to test whether differential 103 contributions to Sagalassos population were made by populations from the 104 Mediterranean area (Balkan and Italian peninsula), the Caucasus, the Near/Middle East 105 and Central Asia.

106

107 MATERIALS AND METHODS

108 Samples

109 The Classical to early Byzantine archaeological site of Sagalassos is located in the 110 Taurus Mountains of Southwestern Turkey at an altitude of around 1,500 m (Figure 1). 111 The excavations of this site revealed a city with monumental architecture and several 112 *necropoles*, which were given up during the 13th century AD¹¹.

The present work analyzed 85 individuals excavated from two different locations: 57 skeletons were recovered from pits in the context of a slope composed of earthquake debris caused by a seismic event in the late 6th century AD, flanking the area of the 116 'Lower Agora', while 28 individuals were found in a neighbouring churchyard, within 117 the adjoining 'Apollo Klarios Shrine'¹¹. The archaeological context pointed to low-118 social status burials which followed the Christian tradition (see Supplementary text).

All graves have been dated to the 11th-13th century cal AD by AMS carbon-14 dating of human bones (Analytic Inc. <u>http://www.radiocarbon.com</u>) and/or from the stratigraphical sequencing coupled with the general historical reconstruction of the site. DNA extractions were made from more than 169 bone and tooth samples from the 85 skeletons.

124

125 **Contamination avoidance**

126 Genetic analyses were performed in the ancient DNA (aDNA) facilities of the 127 Laboratory of Forensic Genetics and Molecular Archaeology in Leuven. Standard 128 contamination precautions as previously described in literature were employed for the aDNA analysis²⁷⁻²⁹, amongst which: pre- and post-PCR procedures carried out in 129 130 physically separated laboratories; restricted and controlled access to the pre-PCR 131 laboratory; mock-extraction controls in the DNA extractions and amplification 132 reactions; independent replication of data; analysis of associated fauna remains. More 133 details about contamination avoidance procedures are reported as Supplementary text.

134

135 **DNA extraction and PCR amplifications**

After bone and tooth samples decontamination and pulverization, aliquots of 0.5-1 g powder were digested in a Proteinase-K lysis buffer and DNA was extracted through silica-based spin columns³⁰. Analysis of the first and the second hypervariable segments (HVS-I and HVS-II) of the mtDNA control region was accomplished by amplifying and

140 direct sequencing respectively five and two overlapping fragments (ranging from 109 to 141 166 bp in size), in order to read respectively 357 bp, from nucleotide position (np) 142 16009 to 16365, and 217 bp, from np 49 to 265. Furthermore, a selection of samples 143 was used for cloning of the PCR products. This allowed us to confirm the results 144 obtained by direct sequencing and to have an indication about post-mortem DNA 145 damage in the samples (Supplementary text). Eight diagnostic markers in the mtDNA 146 coding region were selected and analysed by means of multiplex amplification and 147 minisequencing reactions in order to confirm and in some instances to resolve the 148 haplogroup classification. List of primers used and details about the amplification, 149 sequencing and minisequencing reactions are reported in Supplementary table 1 and 150 Supplementary text.

151

152 Data analysis

153 On the basis of the HVS-I/HVS-II haplotype and the SNPs in the mtDNA coding region 154 each individual was assigned to a haplogroup (hg) according to the latest mtDNA phylogeny³¹ (http://www.phylotree.org/). Comparative surveys with mtDNA data of up 155 156 to 157 African and Eurasian populations reported in literature (Supplementary tables 157 2,3,4, Supplementary text) were done in order to detect the genetic signature left by the populations considered descendant of those which, from historical documents and 158 archaeological evidence, may have contributed culturally and/or demographically to the 159 ethnogenesis of the Sagalassos population since the Bronze Age^{11,16,32}. Search of 160 161 haplotypes shared and analysis of Fst genetic distances based on the HVS-I and HVS-II 162 variation were carried out in order to infer relationship between Sagalassos and the 163 comparative populations (ARLEQUIN 3.11 software). The statistical significance of Fst

values was estimated by permutation analysis, using 10,000 permutations. The pattern of genetic differentiation was visualized by MDS (XLstat v.7.5.2) and geographical interpolation method (Surfer v.8.0, *Golden Software Inc* 2002). Furthermore, a Principal Component Analysis (PCA) was carried out on the basis of haplogroup frequencies from 80 Eurasian populations present in literature (Statistica v.8, *StatSoft Inc*). See Supplementary text for detailed method.

170

171 **RESULTS**

Even when applying strict precautions, contamination from modern human DNA cannot yet be totally ruled out²⁹, and a strong logical chain of evidence is required to authenticate aDNA results³³. In the present study, on the basis of the procedures followed and the criteria used to assess the reliability of results, we could exclude contamination with a high level of confidence and attest to the authenticity of our aDNA data (Supplementary text).

178

179 Genetic diversity and kinship

180 HVS-I and HVS-II sequences were determined in 53 out of the total 85 initial 181 individuals (62%). Analysis of SNPs in the coding region of the mtDNA was done in a 182 selection of samples and haplogroup affiliation could be ascertained in all the 183 individuals (Supplementary table 5). Ten haplotypes were shared between two or more 184 individuals. On the basis of the burial location in the cemetery we assumed a putative 185 maternal relationship in two couples of individuals buried in relatively close graves (SA2005 AK41a, SA2005 AK41b2 and SA2005 AK41b, SA2005 AK41c; see 186 187 Supplementary text).

After excluding the related individuals, the final Sagalassos dataset encompassed 51 individuals, revealing 39 different haplotypes. This accounts for the fairly high haplotype diversity observed in Sagalassos (H= 0.989 ± 0.006).

All Sagalassos sequences fall into a set of haplogroups within macrohaplogroups N (X,
W and N1b) and R (R0a, H, V, HV, U, K, J, T) that are characteristic of West
Eurasians. None of the sequences from Sagalassos belong to the East/South Asian
macrohaplogroup M, and sub-Saharan haplogroups (L1, L2, and L3A).

195

Population comparisons

197 To infer phylogenetic relationships between the Sagalassos population and 76 Eurasian 198 and African populations we performed a non-metric multidimensional scaling (MDS) 199 analysis based on the Fst distance matrix calculated from the HVS-I/HVS-II haplotypes 200 (Supplementary table 6). The results of the MDS (figure 2) suggest that geography can 201 explain the grouping of populations on the two-dimensional plot. Sagalassos is located very close to the samples from Turkey, Crimea and Iran³⁴⁻³⁶ which present a non-202 203 significant differentiation with Sagalassos (Fst<0.01) (Supplementary table 8) and their 204 position in the middle of the plot reflects a geographic bridge between Asia and Europe. 205 Regarding Asian populations, a genetic proximity in the MDS plot of some Uzbek 206 samples (Fst<0,01) to Sagalassos has been observed.

The maternal gene pool of Sagalassos was then compared to a higher number of populations (i.e. 157 populations) but from a shorter mtDNA fragment (HVS-I), and the Fst values obtained (Supplementary table 7) have been graphically plotted on a map of Eurasia and North Africa (Figure 3). Results are consistent with those from the HVS-I/HVS-II comparisons, showing the genetic proximity of Sagalassos with its neighbouring populations, particularly some Eastern Mediterranean groups
 (Turkey/Anatolia), the Balkans (mainland Greece, Bulgaria, Croatia) and Crimea^{20,34,37-}
 ³⁹.

Overall, it is remarkable that the Fst values point to a proximity of Sagalassos with the samples from Turkey, Crimea, Iran, Italy (Campania, Puglia), Cyprus and the Balkans (Bulgaria, Croatia, Greece), which show the lowest non-significant Fst values (Fst<0.005, Supplementary Table 8).

Haplogroup composition in Sagalassos was investigated by means of the PCA (Supplementary table 9). In the two-dimensional plot (Figure S1), which explains 32% of the total variation, Sagalassos is located in a marginal position, close to a cluster of populations from the Caucasus (the Georgian sample being the closest to Sagalassos), the East Mediterranean (Cyprus and Rhodes), and the samples from the Near/Middle East. In this pool of populations, contribution of haplogroups U3, N1, U1, and HV to the first and second PC was found to be particularly high (Figure S2).

226 Twenty HVS-I/HVS-II haplotypes from Sagalassos were found to match modern 227 sequences (Supplementary table 10 and Supplementary text). In agreement with the 228 results of the Fst based analyses, we detected relevant haplotype matches with the 229 populations that historically may have contributed to the make-up of the Sagalassos 230 mtDNA pool, particularly the Balkan area (e.g. Northern Greece, Macedonia, Bosnia 231 and Bulgaria), Italy and Iran. Of particular note is the presence of haplotype LA35 232 exclusively in Macedonia (frequency 0.5%), and AK41a and LA20 exclusively in Italy (both at 0.25%), as well as the high frequency of AK15a in Iran (15%). Shared 233 234 haplotypes were also found in the Near/Middle East (e.g. AK62 and AK56-69 2, 2.33% 235 in Saudi Arabia), in particular LA54 found only in Jordan (1%). Finally, two matches with Central Asian samples, one with Tajiks (the haplotype AK15a, assigned to
haplogroup N1b) and one with Uygurs (AK60, assigned to haplogroup T2b) were
detected.

239

240 **DISCUSSION**

241 The high rate of successful genetic analyses (i.e. 62% of the total individuals sampled) 242 indicates the good state of preservation of the aDNA in the Byzantine samples from 243 Sagalassos. This is likely related to the high altitude of the archaeological site (i.e., 244 approximately 1,500 m), which provides suitable thermal conditions for the 245 preservation of DNA even at the low latitudes of South-West Turkey. Among the 246 samples resulting in unsuccessful analyses, a large fraction (91%) is from the Lower 247 Agora site. This site was excavated 10 to 15 years ago, and differently from Apollo 248 Klarios, skeletons from the Lower Agora were unearthed without the necessary 249 precautions for avoiding contamination, this confirming how crucial the post-250 excavations procedures are for aDNA investigations⁴⁰.

251 Within the context described in the introduction, the mtDNA pool of the Byzantine 252 population of Sagalassos brings new elements to estimate the genetic signature 253 associated to the historic/demographic events which took place in this region since the 254 Bronze Age. The results of our study point to a West-Eurasian composition of the mtDNA gene pool of the 11th-13th-century Byzantine population. This genetic pattern is 255 256 in agreement with results from previous studies investigating Anatolian/Turkish 257 populations history and obtained from different biological markers, e.g. proteins, Alu sequences, mtDNA, Y chromosome, and morphological data^{2,20-21,26,34,41-42}. 258

More particularly, a genetic affinity of Sagalassos with Anatolian and Balkan populations has been revealed by our study (Figure 2, Figure 3, Supplementary tables 8 and 10), suggesting a relatively similar background of the maternal gene pool in these populations. The affinity with current Anatolian populations, suggests that the same historic and demographic events that shaped the mtDNA pool of Sagalassos, might have left a genetic signature in the modern Turkish populations.

265 The genetic proximity with Balkan populations may probably be the result of the long term interactions between Anatolia and Balkan regions since at the latest the Early Iron 266 Age, as attested by linguistic, archaeological, mythological and biological studies⁹⁻ 267 ^{10,26,32}. This might be a genetic signature of the Phrygians originating from the Balkans, 268 who filled the political hiatus in Central Anatolia left by the Hittites from the 10th 269 270 century BC onwards. Yet, it is uncertain whether domination of the Phrygians ever 271 extended as far as Sagalassos, although Phrygian influences are present in its territory. Alternatively, the Balkan genetic signature might date back to the 3rd-2nd century BC, 272 273 when Macedonian Seleucid dynasty ruling over Pisidia enlisted many mercenaries in 274 their armies, this leading to mixed marriages. Particularly in Sagalassos a whole series of Seleucid colonies populated by Macedonian veterans and Jews were created⁴³. 275

Our analyses also detected an affinity between Sagalassos and populations from Iran and the Italian peninsula. Within the historical context described above, this pattern may result from historical events which facilitated the installation of Persian and Roman settlers. When ruling over Sagalassos, the Persian Achaemenids (546-333/332 BC) enlisted many Pisidians in their armies, but also acquired estates near the city of Sagalassos and even must have had settlers in the city itself. As for the Italian affinity, this can easily be explained by the fact that Augustus, after his confiscation of the Kingdom of Galatia, to which Sagalassos had belonged from 39 to 25 BC, established at
least eight colonies of Roman veterans from Italy within a radius of a 100 km around
Sagalassos¹⁶.

286 A Levantine component has been also detected in Sagalassos, which is likely related to 287 the high frequencies of haplogroups U3 (5.66%) and N1 (11.32%) (Supplementary table 288 9, Figures S1 and S2). This result may be explained by an intense trade system that was 289 established with the Levantine populations from Archaic, over Hellenistic and Roman Imperial to Early Byzantine time⁴⁴, when Southwest Anatolia formed a kind of cultural 290 291 *koinè* in its material culture with Western Cyprus, Pamphylia and the Levant itself. This 292 is further supported by the proximity of the sample from Cyprus in the PCA (figure S1). 293 As an alternative scenario, it should be mentioned that the introduction of Levantine 294 mtDNAs may result from the allocation of Pisidian mercenaries by the Macedonian 295 dynasty of the Ptolemies in the Levantine coasts, where they may have married local 296 women with whom they eventually returned to their home cities⁴⁵.

It is worth noting that as far as the U3 lineages are concerned, the hypothesis of a Caucasian origin cannot be totally ruled $out^{6,46}$. The presence of this haplogroup in the Sagalassos territory might represent an ancient genetic legacy of the Indo-European tribes from Trans-Caucasus which occupied Anatolia at the latest around the beginning of the 2nd millennium BC. In particular, the Hittites and the Luwians settled in Central and Southern Anatolia, whereby the territory of Sagalassos became part of a Luwian state¹⁴.

304 Overall, the analyses that we performed point to the absence of a significant Central 305 Asian genetic signature in Sagalassos, at least at the maternal side. With this regard, the 306 apparent affinity detected with some Central Asian populations (e.g. the Uzbeks in

307 figure 2, Turkmen and Kurds in figure S1, Tajiks and Uygurs in Supplementary table 308 10) likely result from the high frequencies of West Eurasian specific haplogroup in these samples (up to 42% in Uygurs and Uzbeks⁴⁷). As far as evidenced by the 309 310 archaeological data, presence of the Seljuk Turks, a nomadic tribe from Central Asia which invaded Anatolia in the late 11th century AD, is not attested in Sagalassos before 311 the first half of the 13th century AD, when they built a *hamam* and according to Arabic 312 sources also a caravansary in the neighbour site of Ağlasun⁴⁸. Even if it is not excluded 313 that they had already occupied part of the former territory of Sagalassos before, the 11th 314 to 13th century AD cemetery which is analyzed here shows a clearly homogeneous 315 Christian population. Remarkably, a 12th-13th century AD fortified site on the southern 316 part of Sagalassos was destroyed and erased by the Seljuks in the course of the 13th 317 century AD, making a definitive end to the occupation of the site and showing that the 318 319 relations between the two population groups seem to have been hostile.

In conclusion, despite the limitations of investigating a single maternally inherited locus, and the impossibility to perform statistical methods to test genealogical relationships between past and present populations (within the framework of the Sagalassos project, research is restricted to the period preceding the capture of Constantinople by the Ottoman Turks in 1453 AD), our study provides new clues to pinpoint the impact of historical events, and correspondingly of the related population groups, on the maternal gene pool of the Byzantine population from Sagalassos.

The analysis of the Fst genetic distances and the shared haplotypes highlighted a genetic proximity of Sagalassos with populations from the Balkan and Italian peninsulas, and the Levant. Notably, no signature from Central Asia has been detected, while an ancient genetic legacy of the Indo-European tribes from Trans-Caucasus which occupied

Anatolia at the beginning of the 2nd millennium BC cannot be excluded. Whether this relatively good agreement between female history (mtDNA) and historical/archaeological records is also found in the paternal lineages, will have to be explored through investigation of Y chromosome markers.

335

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343 The mtDNA sequences reported in this paper have been deposited in GenBank

344 (Accession Numbers: HQ007946–HQ008051).

345

346 **CONFLICT OF INTEREST**

347 The authors declare no conflict of interest.

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- 479 Supplementary Information accompanies the paper on European Journal of Human
- 480 Genetics website (http://www.nature.com/ejhg)

482 TITLES AND LEGENDS TO FIGURES

483 **Figure 1.** Geographic location of Sagalassos.

Figure 2. Two-dimensional MDS plot of pairwise Fst values from HVS-I/HVS-II showing relationships among the 77 populations from Eurasia and Africa. The stress value for the MDS plot is 0.204. Yellow diamond represents the Byzantine Sagalassos population. Population codes and the matrix of Fst values are reported in Supplementary tables 3 and 6.

489 **Figure 3.** Spatial distribution of the Fst values calculated from the pairwise comparison

490 of the Sagalassos mtDNAs (HVS-I) with those of 157 populations from Eurasia and

- 491 North Africa (Supplementary table 2). Fst values as reported in the Supplementary table
- 492 7 follow the red colour scale. Black crosses indicate the geographic location of the493 populations surveyed.
- 494

495 SUPPLEMENTARY INFORMATION

- 496 **Supplementary tables** (Ottoni_et_al_Supplementary_tables.xls):
- 497 Supplementary table 1. List of primers used in this study and product size.
- 498 Supplementary table 2. References of the populations compiled in the HVS-I database.
- 499 Supplementary table 3. References of the populations compiled in the HVS-I/HVS-II

500 database.

- 501 Supplementary table 4. References of the populations used in the PCA analysis
- 502 Supplementary table 5. Polymorphic positions observed in the HVS-I, HVS-II and the
- 503 coding region of the mtDNA, and haplogroups affiliation in 53 ancient individuals from
- 504 Sagalassos (11th 13th centuries AD)

- Supplementary table 6. Matrix of Fst genetic distances between the 77 populations
 included in the HVS-I/HVS-II database.
- 507 Supplementary table 7. Matrix of Fst genetic distances between the 158 populations
- 508 included in the HVS-I database.
- 509 Supplementary table 8. Pairwise Fst genetic distances between Sagalassos and the
- 510 populations included in the HVS-I/HVS-II (a) HVS-I (b) databases.
- Supplementary table 9. Relative frequencies (%) of mtDNA haplogroups and
 subhaplogroups in the 80 populations included in the PCA.
- 513 Supplementary table 10. Frequency (%) of 20 HVS-I/HVS-II mtDNAs from
- 514 Sagalassos within modern populations.
- 515 Supplementary table 11. Variable positions in the cloned HVS-I/HVS-II sequences
- 516 from five Sagalassos individuals.
- 517 Supplementary table 12. MtDNA HVS-I (16009-16365) and HVS-II (49-265)
- 518 haplotypes of all persons involved in processing samples.
- 519
- 520 Supplementary text (Ottoni_et_al_Supplementary_text.doc): detailed description of
 521 experimental procedures and data analyses carried out in this study.

- 523 Supplementary figure 1 (Ottoni_et_al_Supplementary_figure _S1.tif): PCA based on
- haplogroup frequencies from 80 Eurasian populations, two-dimensional plot. Population
- 525 codes and the haplogroup frequencies are reported in Supplementary table 4 and 9.

- Supplementary figure 2 (Ottoni_et_al_Supplementary_figure _S2.tif): PCA based on
 haplogroup frequencies from 80 Eurasian populations, contribution of each haplogroup
 to the first and the second PC.





