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# Genome galaxy identified by the circular code theory 

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#### Abstract

The genome galaxy identified in bacteria is studied by expressing the reading frame retrieval (RFR) function according to the $Y Z$-content ( $G C$-, $A G$ - and $G T$-content) of bacterial codons. The classical $G C$-content is the best parameter for characterizing the upper arm, which is related to bacterial genes with a low $G C$-content, and the lower arm, which is related to bacterial genes with a high $G C$-content. The galaxy center has a $G C$-content around 0.5 . Then, these results are confirmed by expressing the $G C$-content of bacterial codons as a function of the codon usage dispersion. Finally, the bacterial genome galaxy is better described with the $G C 3$-content in the 3 rd codon site compared to the $G C 1$-content and $G C 2$-content in the 1st and 2nd codons sites, respectively. Whereas the codon usage is used extensively by biologists, its dispersion, which is an important parameter to reveal this genome galaxy, is surprisingly little known and unused. Therefore, we have developed a mathematical theory of codon usage dispersion by deriving several formulæ. It shows three important parameters in codon usage: the minimum and maximum codon probabilities and the number of codons with high frequency, i.e. with a probability at least $1 / 64$. By applying this theory to the evolution of the genetic code, we see that bacteria have optimised the number of codons with high frequency to maximise the codon dispersion, thus maximising the capacity to retrieve the reading frame in genes. The derived formulæ of dispersion can be easily extended to any weighted code over a finite alphabet.


## 1. Introduction

Based on the circular code theory, a beautiful and intriguing "galaxy" structure has been identified in the genomes of bacteria, as well as of eukaryota and archaea [20]. This genome galaxy has a center and two arms, an upper one and a lower one, a structure that is identified for the three kingdoms [20, Figures 5, 7 and 8]. The aim of this work is to characterise this genome galaxy for bacteria.
The circular code theory has been initiated in 1996 by the identification in genes of bacteria and eukaryotes, of a maximal $C^{3}$ self-complementary circular code, a particular set called $X$ of 20 trinucleotides with interesting mathematical properties allowing to retrieve the reading frame and the two shifted frames in genes [1]. In 2017, it has been shown that this circular code $X$ is also found in genes of archaea, plasmids and viruses [12]. The historical context of this result is

[^0]described in a recent article [13]. We also refer the reader to the reviews $[\mathbf{9}, \mathbf{1 1}]$ for the biological context and the main combinatorial studies of circular codes.
This unexpected biological result has led to several mathematical developments since 1996: (i) the flower automaton [1]; (ii) the necklaces $L D N$ (letter diletter necklace) and $D L N$ (diletter letter necklace) $[\mathbf{1 7}, \mathbf{1 8}, \mathbf{2 3}]$ extended to $(n+1) L D C C N$ (letter diletter continued closed necklaces) [16]; (iii) the group theory [5]; and (iv) the recent and powerful approach based on graph theory in 2016 [8]. The graph approach has recently led to two important generalizations: mixed circular codes [6] and $k$-circular codes $[\mathbf{7}, \mathbf{1 5}, \mathbf{1 9}]$.
These theoretical results have led to biological applications, to name a few recent ones: identification of "universal" circular code motifs in the ribosome leading to a model of genetic code evolution associating codes, translation systems, and peptide products at different stages, from the primordial translation building blocks to the ancestor of the modern ribosome present in the Last Universal Common Ancestor (LUCA) [4]; identification of a circular code periodicity (modulo 3) in a large region of the 16 S rRNA including the 3 ' major domain corresponding to the primordial proto-ribosome decoding center, containing numerous sites that interact with the tRNA and messenger RNA (mRNA) during translation and surrounding the mRNA channel [21]; potential role of the circular code $X$ in the regulation of gene expression [27]; and characterization of accessory genes in coronavirus genomes using the circular code information [14].
On the genetic alphabet, there are $2^{64}-1 \approx 10^{19}$ (non-empty) trinucleotide codes: 64 codes of cardinality $1(\{A A A\}, \ldots,\{T T T\}) ; 2016$ codes of cardinality $2(\{A A A, A A C\}, \ldots,\{T T G, T T T\})$; 41664 codes of cardinality 3 ( $\{A A A, A A C, A A G\}, \ldots,\{T T C, T T G, T T T\})$; and so on up to 1 code of cardinality 64 (the genetic code $\{A A A, \ldots, T T T\}$ ). The recent theory of trinucleotide $k$ circular codes makes it possible to study the property of reading frame retrieval (RFR), called circularity property, for any of these $\approx 10^{19}$ codes $[\mathbf{1 5}, \mathbf{1 9}]$.
The genome galaxy of bacteria will be analysed by the RFR function $f$ (see Definition 2.13) that can be applied to the codon usage, and two codon parameters: dispersion (see Definition 2.7) and $Y Z$-content (see Definition 2.9). The $Y Z$-content of codon is a simple extension of the $G C$ content, a main parameter to study the codon usage bias (CUB) that influences different aspects of protein production [10] and has effects at many biological stages, including transcription [28], translation efficiency [25], mRNA stability [24], protein folding [3] and protein function [2] (recent review in [22]). In addition, from a theoretical point of view, our work puts for the first time the circular code theory with its RFR function $f$ in relation to the codon usage with its GC-content.
This article is organised as follows. The necessary definitions and notation of trinucleotide codes, circular codes and their generalization to $k$-circular codes are gathered in Section 2.1. Section 2.2 defines the dispersion function of codon usage and states a proposition about its range. Section 2.3 defines the $Y Z$-content. Section 2.4 defines the reading frame retrieval (RFR) function and states several propositions concerning its range and its particular value 1 associated with a uniform codon usage. Section 2.5 defines the parameters involved in our mathematical theory of codon usage dispersion. Section 2.6 describes the acquisition of codon usage for the genomes of bacteria from the codon statistics database (CSD) [26].
The results are presented in two main parts parts. Section 3 presents new statistical results of the bacterial genome galaxy. It is divided into three parts. Section 3.1 characterizes the genome galaxy of bacteria with its center, its upper arm and its lower arm. Section 3.2 shows that one parameter, the $Y Z$-content of codon, and mainly the $G C$-content, allows the identification of the three structures of the genome galaxy. Section 3.3 demonstrates that the dispersion of codon
usage is mainly related to the $G C$-content of codon and that the $G C 3$-content in the 3rd codon site is a main factor for the reading frame retrieval (RFR) function of genes.
Section 4 develops a mathematical study of codon usage dispersion, an analysis which, to our knowledge, has never been carried out. It is divided into two parts. Section 4.1 derive several formulæ of codon usage dispersion. Section 4.2 gives three applications of this mathematical study to the evolution of the bacterial genetic code. The maximum dispersion of the current genetic code at 64 codons is analysed as a function of its codon of maximum probability (Section 4.2.1) and that of minimum probability (Section 4.2.2). Moreover, Section 4.2.3 studies the minimum and maximum dispersions of the evolutionary genetic code as functions of its number of codons, from 1 to 64 .

## 2. Method

2.1. Definitions and notation. For the reader's convenience, and to have this article selfcontained, we here recall the most relevant notions. The theoretical aspects, with computer results, proofs, examples, remarks, illustrations and refinements are found in the articles $[\mathbf{1 5}, \mathbf{1 9}, \mathbf{2 0}]$. We work with the genetic alphabet $\mathcal{B}:=\{A, C, G, T\}$, which has cardinality 4 . An element $N$ of $\mathcal{B}$ is called nucleotide. A word over the genetic alphabet is a sequence of nucleotides. A trinucleotide is a sequence of 3 nucleotides, that is, using the standard word-theory notation, an element of $\mathcal{B}^{3}$. If $w=N_{1} \cdots N_{s}$ and $w^{\prime}=N_{1}^{\prime} \cdots N_{t}^{\prime}$ are two sequences of nucleotides of respective lengths $s$ and $t$, then the concatenation $w \cdot w^{\prime}$ of $w$ and $w^{\prime}$ is the sequence $N_{1} \cdots N_{s} N_{1}^{\prime} \cdots N_{t}^{\prime}$ composed of $s+t$ nucleotides.
Given a sequence $w=N_{1} N_{2} \cdots N_{s} \in \mathcal{B}^{s}$ and an integer $j \in\{0,1, \ldots, s-1\}$, the circular $j$-shift of $w$ is the word $N_{j+1} \cdots N_{s} N_{1} \cdots N_{j}$. Note that the circular 0 -shift of $w$ is $w$ itself. A sequence $w^{\prime}$ of nucleotides is a circular shift of $w$ if $w^{\prime}$ is the circular $j$-shift of $w$ for some $j \in\{0,1, \ldots, s-1\}$. The elements in $\mathcal{B}^{3}$ can thus be partitioned into conjugacy classes, where the conjugacy class of a trinucleotide $w \in \mathcal{B}^{3}$ is the set of all circular shifts of $w$.

Definition 2.1. Let $\mathcal{B}$ be the genetic alphabet.

- A trinucleotide code is a subset of $\mathcal{B}^{3}$, that is, a set of trinucleotides.
- If $X$ is a trinucleotide code and $w$ is a sequence of nucleotides, then an $X$-decomposition of $w$ is a tuple $\left(x_{1}, \ldots, x_{t}\right) \in X^{t}$ of trinucleotides from $X$ such that $w=x_{1} \cdot x_{2} \cdots x_{t}$.

We now formally define the notion of circularity of a code, i.e. the property of reading frame retrieval (RFR).

Definition 2.2. Let $X \subseteq \mathcal{B}^{3}$ be a trinucleotide code.

- Let $m$ be a positive integer and let $\left(x_{1}, \ldots, x_{m}\right) \in X^{m}$ be an $m$-tuple of trinucleotides from $X$. A circular $X$-decomposition of the concatenation $c:=x_{1} \cdots x_{m}$ is an $X$ decomposition of a circular shift of $c$.
- Let $k$ be a non-negative integer. The code $X$ is $(\geqslant k)$-circular if every concatenation of trinucleotides from $X$ that admits more than one circular $X$-decomposition contains at least $k+1$ trinucleotides. In other words, $X$ is $(\geqslant k)$-circular if for every $m \in\{1, \ldots, k\}$ and each $m$-tuple $\left(x_{1}, \ldots, x_{m}\right)$ of trinucleotides from $X$, the concatenation $x_{1} \cdots x_{m}$ admits a unique circular $X$-decomposition. The code $X$ is $k$-circular if $X$ is $(\geqslant k)$-circular and not $(\geqslant k+1)$-circular.
- The code $X$ is circular if it is $(\geqslant k)$-circular for all $k \in \mathbf{N}$.

We recall the definition of the graph associated with a trinucleotide code [8].

Definition 2.3. Let $X \subseteq \mathcal{B}^{3}$ be a trinucleotide code. We define a graph $\mathcal{G}(X)=(V(X), E(X))$ with set of vertices $V(X)$ and set of $\operatorname{arcs} E(X)$ as follows:

- $V(X):=\bigcup\left\{N_{1}, N_{3}, N_{1} N_{2}, N_{2} N_{3}\right\}$; and
- $E(X):=\left\{\begin{array}{l}N_{1} N_{2} N_{3} \in X \\ \left.N_{1} \rightarrow N_{2} N_{3}: N_{1} N_{2} N_{3} \in X\right\} \cup\left\{N_{1} N_{2} \rightarrow N_{3}: N_{1} N_{2} N_{3} \in X\right\} .\end{array}\right.$

The graph $\mathcal{G}(X)$ is the graph associated with $X$.
The length of a directed cycle in a graph $\mathcal{G}$ is the number of arcs of the cycle. We note that every arc of $\mathcal{G}(X)$ joins a nucleotide and a dinucleotide. Thus, the graph $\mathcal{G}(X)$ cannot contain a directed cycle of odd length. A theorem [7, Theorem 3.3] implies that a cycle in $\mathcal{G}(X)$, if any, must have length in $\{2,4,6,8\}$ and, in particular, that a trinucleotide ( $\geqslant 4$ )-circular code must be circular. As noted in a previous article [15], it follows that all trinucleotide codes over $\mathcal{B}$ can be naturally partitioned into 5 classes using the following definition.

Definition 2.4. We define the circularity $\operatorname{cir}(X)$ of a non-empty trinucleotide code $X$ to be the largest integer $k \in\{0,1,2,3,4\}$ such that $X$ is $(\geqslant k)$-circular.

Thus, the possible values of $\operatorname{cir}(X)$ for a trinucleotide code $X$ are $0,1,2,3,4$, which determine the 5 classes.
Next we introduce two functions, which turn out to be correlated. The first one deals with the dispersion of the codon usage, and the second one, which uses the graph, deals with the property of reading frame retrieval (RFR) of genes. These two functions are also analysed as a function of the mean number of codons per gene in each genome.
2.2. Dispersion of codon usage. We recall the definition and the proposition of codon usage introduced in a previous work [20]. A codon usage is uniform if every codon has the same occurrence frequency. We shall introduce a function to measure the dispersion of codon usage with respect to the uniform one. We write $X_{g}$ for the genetic code of cardinality 64 (maximal cardinality in $\mathcal{B}^{3}$ ).

Definition 2.5 (Codon usage). Given any trinucleotide code $X$, a weight function on $X$ is a function $\omega: X \rightarrow[0,1]$ such that $\sum_{x \in X} \omega(x)=1$.

Definition 2.6. A weighted trinucleotide code is a pair $(X, \omega)$ where $X$ is a trinucleotide code and $\omega$ is a weight function on $X$.

We can now define the dispersion of codon usage.
Definition 2.7 (Dispersion of codon usage, [20, Definition 2.8]). For every weight function $\omega: X_{g} \rightarrow[0,1]$, the dispersion of codon usage in $\left(X_{g}, \omega\right)$ is the function d given by

$$
\begin{equation*}
\mathrm{d}\left(\left(X_{g}, \omega\right)\right)=\sum_{x \in X_{g}}\left|\omega(x)-\frac{1}{64}\right| \tag{2.1}
\end{equation*}
$$

The next proposition gives the extremal values taken by the function d .
Proposition 2.8 ([20, Proposition 2.9]). For every weight function $\omega: X_{g} \rightarrow[0,1]$, we have

$$
0 \leqslant \mathrm{~d}\left(\left(X_{g}, \omega\right)\right) \leqslant \frac{63}{32} \approx 1.97
$$

Moreover, $\mathrm{d}\left(\left(X_{g}, \omega\right)\right)=0$ if and only if $\omega(x)=\frac{1}{64}$ for each trinucleotide $x \in X_{g}$. The upper bound is attained if and only if there is a trinucleotide $x \in X_{g}$ such that $\omega(x)=1$ (and hence $\omega\left(x^{\prime}\right)=0$ if $x^{\prime} \neq x$ ).

## 2.3. $Y Z$-content.

Definition 2.9. Let $n_{A}, n_{C}, n_{G}$ and $n_{T}$ be the number of the nucleotide $A, C, G$ and $T$ of $\mathcal{B}$ in the 3 codon sites. Let $Y$ and $Z$ be 2 different nucleotides of $\mathcal{B}$. Then the $Y Z$-content is the probability

$$
\begin{equation*}
Y Z \text {-content }=\frac{n_{Y}+n_{Z}}{N} \tag{2.2}
\end{equation*}
$$

where $N=n_{A}+n_{C}+n_{G}+n_{T}$.
Note that the number of codons is $N / 3$. Obviously, $Y Z$-content $=Z Y$-content and $Y Z$-content + $\bar{Y} \bar{Z}$-content $=1$ where the complementary nucleotide $\bar{N}$ of a nucleotide $N \in \mathcal{B}$ is given by $\bar{A}=T$, $\bar{T}=A, \bar{C}=G$ and $\bar{G}=C$. The classical biological parameter is the $G C$-content. In this work, we will also study the parameters $A G$-content and $G T$-content.
The definition of the $Y Z$-content can easily be generalized to $Y Z k$-content associated with the $k$ th codon site where $k \in\{1,2,3\}$. Note that, using the above notation, the normalisation factor (i.e., the denominator) is not $N$ but $N / 3$, i.e. the number of codons. The classical biological parameter is the $G C 3$-content. In this work, we will also study the parameters $G C 1$-content and GC2-content.
2.4. Gene reading frame retrieval (RFR) function associated with a codon usage. Theoretical considerations over trinucleotide codes led to the following definition [19, Definition 6.1] as a measure of the reading frame retrieval of genes. Indeed, the number and length of cycles in the graph are associated with ambiguous sequences that do not retrieve the reading frame. Short cycles are associated with short ambiguous sequences, i.e. the reading frame is lost quickly (e.g., after 1 trinucleotide), in contrast to long cycles where the ambiguous sequences are long, i.e. the reading frame is lost after several trinucleotides, up to 4 trinucleotides (see $[\mathbf{1 5}, \mathbf{1 9}]$ for details).

Definition 2.10 ([19, Definition 6.1]). The reading frame loss function $f$ of a trinucleotide code $X$ is the mapping $f: \mathcal{B}^{3} \rightarrow \mathbf{R}$ given by

$$
\begin{equation*}
f(X):=\mathrm{q}_{8}(\mathcal{G}(X))+\frac{4}{3} \mathrm{q}_{6}(\mathcal{G}(X))+2 \mathrm{q}_{4}(\mathcal{G}(X))+4 \mathrm{q}_{2}(\mathcal{G}(X))=\sum_{i=1}^{4} \frac{4}{i} \cdot \mathrm{q}_{2 \cdot i}(\mathcal{G}(X)) \tag{2.3}
\end{equation*}
$$

where $\mathrm{q}_{i}(\mathcal{G})$ is the number of directed cycles of length $i$ in the graph $\mathcal{G}$ for every positive integer $i$.
The next proposition gives the minimum and maximum values taken by $f$ over all trinucleotide codes.

Proposition 2.11 ([19, Proposition 6.2]). For every trinucleotide code $X$, we have $0 \leqslant f(X) \leqslant$ 301056. Moreover, $f(X)=0$ if and only if $X$ is a trinucleotide circular code, and $f(X)=301056$ if and only if $X$ is the genetic code $X_{g}$, where

$$
\mathrm{q}_{2}\left(X_{g}\right)=64, \quad \mathrm{q}_{4}\left(X_{g}\right)=1440, \quad \mathrm{q}_{6}\left(X_{g}\right)=26880, \quad \mathrm{q}_{8}\left(X_{g}\right)=262080
$$

The function $f$ generalises to the codon usage, where each trinucleotide $x$ has occurrence frequency $w(x)$.

Definition 2.12 ([20, Definition 2.12]). Let $(X, \omega)$ be a weighted trinucleotide code. The weighted graph associated with $\omega$ is the pair $\left(\mathcal{G}(X), \omega^{\prime}\right)$ where $\mathcal{G}(X)$ is given by Definition 2.3 with respect to $X$, and $\omega^{\prime}$ is a function assigning to each of the two arcs of $\mathcal{G}(X)$ coming from a trinucleotide $N_{1} N_{2} N_{3} \in X$ the rational number $\frac{\omega\left(N_{1} N_{2} N_{3}\right)}{2} \in[0,1]$.
In other words, the arcs of the weighted graph $\left(\mathcal{G}(X), \omega^{\prime}\right)$ can be written as follows:

$$
\left\{N_{1} \xrightarrow{\omega(x) / 2} N_{2} N_{3}: x=N_{1} N_{2} N_{3} \in X\right\} \cup\left\{N_{1} N_{2} \xrightarrow{\omega(x) / 2} N_{3}: x=N_{1} N_{2} N_{3} \in X\right\} .
$$

The generalised function $f$ associated with every weighted trinucleotide code that has identified the genome galaxy in bacteria, archaea and eukaryota, has been defined as follows.

Definition 2.13 ([20, Definition 2.13]). Let $(X, \omega)$ be a weighted trinucleotide code and $\left(\mathcal{G}(X), \omega^{\prime}\right)$ its associated weighted graph. Let $\mathcal{C}$ be the set of all directed cycles of $\mathcal{G}(X)$. The loss of reading frame retrieval ( $R F R$ ) function $f$ of a $(X, \omega)$ is the mapping $f$ given by

$$
\begin{equation*}
f((X, \omega)):=\frac{1}{|\mathcal{C}|} \sum_{c \in \mathcal{C}}(2|X|)^{|c|} \prod_{a \in E(c)} \omega^{\prime}(a) \tag{2.4}
\end{equation*}
$$

where $E(c)$ is the set of arcs of the directed cycle $c$.
For the convenience of the reader, we recall three propositions (without proof).
Proposition 2.14 (Uniform codon usage, [20, Proposition 2.14]). Let $X_{g}$ be the genetic code and let $\omega$ the uniform distribution over $X_{g}$, that is, $\omega: X_{g} \rightarrow[0,1]$ is constant and equal to $\frac{1}{64}$. Then $f\left(\left(X_{g}, \omega\right)\right)=1$.

The next proposition implies that for circular codes, the weight function $\omega$ has no significance for $f$, in the sense that all distributions yield the same value as the uniform one, namely 0 .

Proposition 2.15 (Circular code, [20, Proposition 2.15]). Let ( $X, \omega$ ) be a weighted trinucleotide code. Then $f((X, \omega))=0$ if and only if $X$ is a circular code.

The function $f$ seems to be maximised by codes obtained from a circular code of maximal size (20) by adding a periodic trinucleotide $x$ (i.e. $A A A, C C C, G G G$ or $T T T$ ), with a weight function tending to 1 on $x$ and 0 on all other trinucleotides, leading to the following observation.

Proposition 2.16 ([20, Proposition 2.16]). We have

$$
\sup \{f(X, \omega):(X, \omega) \text { weighted trinucleotide code }\} \geqslant 441 .
$$

That is, for every $\varepsilon>0$, there exists a weighted trinucleotide code $(X, \omega)$ such that $f(X, \omega)>$ $441-\varepsilon$.
2.5. Parameters of a codon usage. Given a codon usage, or equivalently a weighted trinucleotide code $\mathcal{W}=\left(X_{g}, \omega\right)$ over the genetic code $X_{g}$, we retain several parameters that seem to influence in a non-trivial way the gene reading frame retrieval (RFR) function.
First, we discriminate between the trinucleotides that occur, and those that do not - or are so rare that are considered not to occur. Second, over these trinucleotides, we retain the lowest and the highest possible value of $\omega$, and also the number of trinucleotides with "high frequency".

Definition 2.17. Let $\mathcal{W}=\left(X_{g}, \omega\right)$ be a trinucleotide code. We define
(1) $\mathrm{p}_{\mathrm{M}}(\mathcal{W})=\max \left\{\omega(x): x \in X_{g}\right\}$;
(2) $\mathrm{p}_{\mathrm{m}}(\mathcal{W})=\min \left\{\omega(x): x \in X_{g}\right.$ and $\left.\omega(x)>0\right\}$;
(3) the number $\mathrm{n}(\mathcal{W})$ of trinucleotides $x$ that occur, that is such that $\omega(x)>0$; and
(4) the number $\mathrm{n}_{\mathrm{h}}(\mathcal{W})$ of trinucleotides $x$ of high frequency, that is such that $\omega(x) \geqslant \frac{1}{\mathrm{n}(\mathcal{W})}$.
2.6. Data. From the codon statistics database (CSD, http://codonstatsdb.unr.edu) [26], we have extracted (July 2022) the codon usage of genomes of bacteria from the union of the 22 following bacterial classes: Acidobacteria (Id 57723), Actinobacteria (Id 201174), Aquificae (Id 187857), Bacteroidetes (Id 976), Balneolia (Id 1853221), Chlamydiia (Id 204429), Chloroflexi (Id 200795), Cyanobacteria (Id 1117), Deferribacteres (Id 68337), Deinococcus-Thermus (Id 1297), Epsilonproteobacteria (Id 29547), Firmicutes (Id 1239), Fusobacteria (Id 32066), Mycoplasmatales (Id 2085), Nitrospirae (Id 40117), Planctomycetes (Id 203682), Pseudomonadales (Id 72274), Spirochaetes (Id 203691), Synergistetes (Id 508458), Thermodesulfobacteria (Id 200940), Thermotogae (Id 200918) and Verrucomicrobia (Id 74201). The few exceptional genomes in which the codon usage of the stop codons is not given, are not considered. Thus, the bacterial kingdom contains 8,345 genomes, $34,020,997$ genes and $11,087,876,805$ codons.
The calculus of the codon usage in this bacterial kingdom is given in Appendix Table 1.

## 3. Statistical study of the bacterial genome galaxy

3.1. Genome galaxy of bacteria identified by the gene reading frame retrieval (RFR) function. By expressing the gene reading frame retrieval (RFR) function $f$ (2.4) according to the dispersion function $d(2.1)$ of codon usage in the bacterial genomes, a "genome galaxy" with a center and two arms has been identified in a previous work [20, Figure 5, Section 3.2]. By using the linear regression $y=-1.35881 x+1.37993$ between d and $f$ (with a Spearman rank correlation coefficient $\rho=-0.83$ and $p$-value $<10^{-180}$ ), we characterize in this work these 3 structures. The galaxy center $\mathcal{G C}$ is defined by the bacterial genomes such that

$$
\begin{equation*}
\mathcal{G C}:=\mathrm{d} \leqslant 0.6 \tag{3.1}
\end{equation*}
$$

The upper $\operatorname{arm} \mathcal{G U} \mathcal{A}$ is defined by the bacterial genomes such that

$$
\mathcal{G U A}:=\left\{\begin{array}{l}
\mathrm{d}>0.6  \tag{3.2}\\
f>y \\
f>0.2
\end{array}\right.
$$

The lower $\operatorname{arm} \mathcal{G} \mathcal{L} \mathcal{A}$ is defined by the bacterial genomes such that

$$
\mathcal{G} \mathcal{L A}:= \begin{cases}f<y & \text { if } \mathrm{d} \in] 0.6,0.9]  \tag{3.3}\\ f<0.2 & \text { if } \mathrm{d}>0.9\end{cases}
$$

Figure 1 describes this genome galaxy of bacteria with its center $\mathcal{G C}$ (3.1) in blue, its upper arm $\mathcal{G U} \mathcal{A}$ (3.2) in green and its lower $\operatorname{arm} \mathcal{G} \mathcal{L} \mathcal{A}$ (3.3) in violet.
Several parameters are now investigated to analyse this codon dispersion. Surprisingly, in the next section, one parameter, the $Y Z$-content of codon (Section 2.3), allows the identification of the three structures of the genome galaxy.
3.2. Genome galaxy of bacteria identified by the $G C$-content of codon. By expressing the gene reading frame retrieval (RFR) function $f(2.4)$ according to the $G C$-content of codon, the 3 structures: center $\mathcal{G C}$ (3.1), upper arm $\mathcal{G U \mathcal { A }}$ (3.2) and lower arm $\mathcal{G} \mathcal{L} \mathcal{A}$ (3.3) are well characterized in Figure 2(A). The variation of the $G C$-content is important and in the interval $[0.2,0.8]$. Note that, $A T$ being complementary to $G C$, the $A T$-content leads to a symmetrical figure with respect to $y=0.5$ (not shown). Thus, the upper arm is related to genomes with a low $G C$-content while the lower arm is related to genomes with a high $G C$-content, the center being related to genomes with a $G C$-content around 0.5.


Figure 1. Genome galaxy of bacteria ( 8,345 genomes, $34,020,997$ genes, $11,087,876,805$ codons) with its center $\mathcal{G C}$ (3.1) in blue, its upper arm $\mathcal{G U \mathcal { A }}$ (3.2) in green and its lower arm $\mathcal{G} \mathcal{L A}$ (3.3) in violet. Each point represents all the genes of a bacterial genome. The $x$-axis shows the dispersion function $\mathrm{d}(2.1)$ of codon usage. The $y$-axis shows the reading frame retrieval function $f$ (2.4).

The variation of the $A G$-content (or equivalently $G A$-content as already mentioned) is restricted to the interval $[0.45,0.60]$. The upper and lower arms are still separated but to a lesser extent (Figure 2(B)).
The variation of the $G T$-content is restricted to the interval [ $0.45,0.55$ ]. The upper and lower arms are neighbours (Figure 2(C)). Thus, the $G T$-content is not a parameter for characterizing the genome galaxy.
3.3. Dispersion of codon usage related to the $G C$-content of codon. According to the previous results, it is natural to express the dispersion function d (2.1) of codon usage in the bacterial genomes according to their $Y Z$-content of codon (Section 2.3). Figure 3(A) confirms that the $G C$-content better identifies the three structures of the galaxy compared to the $A G$-content (Figure 3(B)) and the $G T$-content (Figure 3(C)).
In order to further analyse the results with the $G C$-content, we express the gene reading frame retrieval (RFR) function $f(2.4)$ according to $G C$-content in each of the 3 codon sites. The three galaxy structures are well characterized with the $G C 3$-content in the 3rd codon site (Figure 4(C)). The variation of the $G C 3$-content covers almost the entire interval $[0.1,1]$. The upper arm is related to genomes with a low $G C 3$-content while the lower arm is related to genomes with a high $G C 3$-content, the center being related to genomes with a $G C 3$-content around 0.5 .
The variation of the $G C 1$-content is restricted to the interval [ $0.30,0.80]$. The upper and lower arms are still separated but to a lesser extent (Figure 4(A)).
The variation of the $G C 2$-content is restricted to the interval [0.25, 0.55$]$. The upper and lower arms are separated but close (Figure 4(B)).
In summary, the genome galaxy of bacteria with its center $\mathcal{G C}$, its upper arm $\mathcal{G U} \mathcal{A}$ and its lower $\operatorname{arm} \mathcal{G} \mathcal{L A}$ is mainly related to the $G C$-content of codon, compared to the $A G$-content and the $G T$-content, and in particular to the $G C 3$-content in the 3rd codon site, compared to the $G C 1$-content and $G C 2$-content.


Figure 2. Genome galaxy of bacteria ( 8,345 genomes, $34,020,997$ genes, $11,087,876,805$ codons) with its center $\mathcal{G C}$ (3.1) in blue, its upper arm $\mathcal{G U A}$ (3.2) in green and its lower $\operatorname{arm} \mathcal{G \mathcal { L A }}$ (3.3) in violet, identified by the $Y Z$-content of codon, and mainly by the $G C$-content. Each point represents all the genes of a bacterial genome. The $y$-axis shows the reading frame retrieval function $f(2.4)$. The $x$-axis shows the $Y Z$-content of codon in the 3 cases: (A) $G C$-content; (B) $A G$-content; (C) $G T$-content.


Figure 3. Genome galaxy of bacteria ( 8,345 genomes, $34,020,997$ genes, $11,087,876,805$ codons) with its center $\mathcal{G C}$ (3.1) in blue, its upper arm $\mathcal{G U \mathcal { A }}$ (3.2) in green and its lower arm $\mathcal{G} \mathcal{L A}$ (3.3) in violet, identified by the $Y Z$-content of codon, and mainly by the $G C$-content. Each point represents all the genes of a bacterial genome. The $x$-axis shows the dispersion function $\mathrm{d}(2.1)$ of codon usage. The $y$-axis shows the $Y Z$-content of codon in the 3 cases: (A) $G C$-content; (B) $A G$-content; (C) $G T$-content.


Figure 4. Genome galaxy of bacteria ( 8,345 genomes, $34,020,997$ genes, $11,087,876,805$ codons) with its center $\mathcal{G C}$ (3.1) in blue, its upper arm $\mathcal{G U \mathcal { A }}$ (3.2) in green and its lower arm $\mathcal{G} \mathcal{L A}$ (3.3) in violet, identified by the $G C$-content in each of the 3 codon sites, and mainly by the $G C 3$-content. Each point represents all the genes of a bacterial genome. The $y$-axis shows the reading frame retrieval function $f(2.4)$. The $x$-axis shows the $G C$-content in the 3 codon sites: (A) $G C 1$-content in the 1st codon site; (B) $G C 2$-content in the 2nd codon site; (C) GC3-content in the 3rd codon site.

## 4. A mathematical study of codon usage dispersion

Codon usage, i.e. the association of probabilities (frequencies) (Definition 2.5) with the 64 codons, is a biological parameter that has been the most widely studied and published. Surprisingly, the dispersion of codon usage (Definition 2.7) is a basic statistical parameter which, as far as we know, has been completely ignored in biology. This section is divided into two parts. In the first part, we develop a mathematical theory of dispersion by deriving various formulæ. In the second part, we apply this theory to the evolution of the genetic code. In particular, we address the following problem. In the current genetic code, not all 64 codons code for amino acids. Indeed, there are 3 unused codons, precisely the 3 stop codons $\{T A A, T A G, T G A\}$, with a probability equal to (close to) 0. The hypothesis that the genetic code evolves with the appearance of codons, i.e. with a non-zero probability, over time will therefore be studied.
4.1. Formulæ of codon usage dispersion. We study the dispersion of the weighted trinucleotide codes $\mathcal{W}=\left(X_{g}, \omega\right)$ over the genetic alphabet $X_{g}$ that satisfy certain properties. According to Definitions 2.6 and 2.17, we must have $\mathrm{p}_{\mathrm{M}}(\mathcal{W}) \geqslant \frac{1}{\mathrm{n}(\mathcal{W})}$ and $\mathrm{p}_{\mathrm{m}}(\mathcal{W}) \leqslant \frac{1}{\mathrm{n}(\mathcal{W})}$. To ease the exposition, we consider an arbitrary enumeration $x_{1}, \ldots, x_{64}$ of $X_{g}$, and set $\omega_{i}=\omega\left(x_{i}\right)$. Accordingly, any weighted trinucleotide code over $X_{g}$ can be viewed as the data of 64 non-negative real numbers summing to 1 . We use this identification in the sequel.
We want to fix the number of trinucleotides that occur, the number of those of high frequency, and bounds on the minimum and maximum frequencies. To this end, we fix integers $n \in\{1, \ldots, 64\}$ and $n_{h} \in\{1, \ldots, n\}$, along with positive real numbers $p_{m}, p_{M}$ such that $p_{m} \leqslant \frac{1}{n} \leqslant p_{M}$. Indeed, if each of the $n$ trinucleotides that occur has frequency at most $p_{M}$, then $n \cdot p_{M} \geqslant 1$, since $n \cdot p_{M} \geqslant$ $\sum_{i=1}^{64} \omega_{i}=1$. Similarly, if each of the $n$ trinucleotides that occur has frequency at least $p_{m}$, then necessarily $n \cdot p_{m} \leqslant 1$. Furthermore, at least one trinucleotide must have frequency at least $\frac{1}{n}$, so we always assume that $n_{h} \geqslant 1$. We note that for every $n_{h} \in\{1, \ldots, n-1\}$,

$$
n \cdot p_{m} \leqslant 1 \Leftrightarrow p_{m} \leqslant \frac{1}{n} \Leftrightarrow\left(n-n_{h}\right) \cdot p_{m} \leqslant \frac{n-n_{h}}{n} \Leftrightarrow \frac{n_{h}}{n}+\left(n-n_{h}\right) \cdot p_{m} \leqslant 1
$$

We consider only trinucleotide codes satisfying the following three properties:
(1) for every $i \in\left\{1, \ldots, n_{h}\right\}$ we have $\frac{1}{n} \leqslant \omega_{i} \leqslant p_{M}$;
(2) for every $i \in\left\{n_{h}+1, \ldots, n\right\}$ we have $p_{m} \leqslant \omega_{i} \leqslant \frac{1}{n}$; and
(3) for every $i \in\{n+1, \ldots, 64\}$ we have $\omega_{i}=0$.

In other words, and referring to Definition 2.17, we require that

$$
\mathrm{n}(\mathcal{W})=n ; \quad \mathrm{n}_{\mathrm{h}}(\mathcal{W}) \geqslant n_{h} ; \quad \text { and } \quad p_{m} \leqslant \mathrm{p}_{\mathrm{m}}(\mathcal{W}) \leqslant \frac{1}{n} \leqslant \mathrm{p}_{\mathrm{M}}(\mathcal{W}) \leqslant p_{M}
$$

Another observation is that if $p_{m}=\frac{1}{n}$, then Conditions (2) and (3) totally determine a unique weighted trinucleotide code, having $w_{i}=\frac{1}{n}$ for $i \in\{1, \ldots, n\}$ and $\omega_{i}=0$ for $i \in\{n+1, \ldots, 64\}$. It is similar if $p_{M}=\frac{1}{n}$. We thus assume in the rest of this section that

$$
\begin{equation*}
p_{m}<\frac{1}{n}<p_{M} \tag{4.1}
\end{equation*}
$$

We are interested in determining the minimum value and the maximum value taken by the dispersion over all weighted trinucleotide codes satisfying Conditions (1)-(3). We derive closed formulæ for these - along with weighted trinucleotides code attaining them.

Definition 4.1. Given Conditions (1)-(3) above and assuming (4.1), we define the maximum dispersion $d_{M}$ and the minimum dispersion $d_{m}$ as follows:

$$
\begin{equation*}
d_{M}=\mathrm{d}_{\mathrm{M}}\left(n, n_{h}, p_{m}, p_{M}\right)=\sup \left\{\mathrm{d}(\mathcal{W}): \mathcal{W}=\left(\omega_{1}, \ldots, \omega_{64}\right) \text { satisfies }(1)-(3)\right\} \tag{4.2}
\end{equation*}
$$

and

$$
\begin{equation*}
d_{m}=\mathrm{d}_{\mathrm{m}}\left(n, n_{h}, p_{m}, p_{M}\right)=\inf \left\{\mathrm{d}(\mathcal{W}): \mathcal{W}=\left(\omega_{1}, \ldots, \omega_{64}\right) \text { satisfies }(1)-(3)\right\} \tag{4.3}
\end{equation*}
$$

The determination of the minimum dispersion $d_{m}$ is quick. It shows in particular that the value of $\mathrm{d}_{\mathrm{m}}\left(n, n_{h}, p_{m}, p_{M}\right)$ does not depend on $n_{h}$.

Proposition 4.2. Suppose that Conditions (1)-(3) as above and (4.1) are satisfied. Then

$$
\begin{equation*}
d_{m}=2\left[1-\frac{n}{64}\right] . \tag{4.4}
\end{equation*}
$$

Proof. We start by defining a weighted trinucleotide code $\mathcal{W}=\left(\omega_{1}, \ldots, \omega_{64}\right)$ that satisfies Conditions (1)-(3) by setting $\omega_{i}=\frac{1}{n}$ if $1 \leqslant i \leqslant n$, and $\omega_{i}=0$ if $n_{h}+1 \leqslant i \leqslant 64$. Then $\mathcal{W}$ readily satisfies Conditions (1)-(3). Moreover, $\mathrm{d}(\mathcal{W})=2-\frac{n}{32}$. Indeed, if $i \in\{1, \ldots, n\}$ then $\omega_{i}=\frac{1}{n} \geqslant \frac{1}{64}$, so $\sum_{i=1}^{n}\left|\omega_{i}-\frac{1}{64}\right|=1-\frac{n}{64}$; moreover if $i \in\{n+1, \ldots, 64\}$ then $\omega_{i}=0$ so $\sum_{i=n+1}^{64}\left|\omega_{i}-\frac{1}{64}\right|=\frac{64-n}{64}=1-\frac{n}{64}$.
It remains to show that if a weighted trinucleotide code $\mathcal{W}^{\prime}=\left(\omega_{1}^{\prime}, \ldots, \omega_{64}^{\prime}\right)$ satisfies Conditions (1)-(3), then $\mathrm{d}\left(\mathcal{W}^{\prime}\right) \geqslant \mathrm{d}(\mathcal{W})$. First, note that if $n=64$, then $\mathrm{d}(\mathcal{W})=0$, which is trivially minimum. So we now assume that $n \leqslant 63$, and we proceed as follows. Since the function $\mathrm{d}_{\mathrm{m}}$ is the minimization of a convex function over a convex domain, it suffices to prove that $\mathrm{d}(\mathcal{W})$ is a local minimum, that is, if a weighted trinucleotide code $\mathcal{W}^{\prime}$ still satisfying Conditions (1)-(3) is produced by small enough modifications of the values $\omega_{1}, \ldots, \omega_{64}$, then $\mathrm{d}\left(\mathcal{W}^{\prime}\right) \geqslant \mathrm{d}(\mathcal{W})=2-\frac{n}{32}$. Fix $\varepsilon>0$ small enough that $\frac{1}{64}+\varepsilon<\frac{1}{n}$, which is possible since $n \leqslant 63$ by our assumption. Now, if $\left|\omega_{i}^{\prime}-\omega_{i}\right| \leqslant \varepsilon$ for $i \in\{1, \ldots, 64\}$, then since $\mathcal{W}^{\prime}$ satisfies Condition (1) we have $\omega_{i}^{\prime} \geqslant \omega_{i}=\frac{1}{n}>\frac{1}{64}$ if $1 \leqslant i \leqslant n_{h}$, and $\omega_{i}^{\prime} \geqslant \omega_{i}-\varepsilon=\frac{1}{n}-\varepsilon>\frac{1}{64}$ if $n_{h}+1 \leqslant i \leqslant n$. So $\left|\omega_{i}^{\prime}-\frac{1}{64}\right|=\omega_{i}^{\prime}-\frac{1}{64}$ for $i \in\{1, \ldots, n\}$. Consequently,

$$
\begin{equation*}
\sum_{i=1}^{n}\left|\omega_{i}^{\prime}-\frac{1}{64}\right|=\sum_{i=1}^{n}\left(\omega_{i}^{\prime}-\frac{1}{n}\right)+\sum_{i=1}^{n}\left(\frac{1}{n}-\frac{1}{64}\right) . \tag{4.5}
\end{equation*}
$$

As a result, using that $\omega_{i}^{\prime}=0=\omega_{i}$ if $n+1 \leqslant i \leqslant 64$ since $\mathcal{W}^{\prime}$ must satisfy Condition (3), we infer from (4.5) that

$$
\begin{aligned}
\mathrm{d}\left(\mathcal{W}^{\prime}\right) & =\sum_{i=1}^{n}\left(\omega_{i}^{\prime}-\frac{1}{n}\right)+\mathrm{d}(\mathcal{W}) \\
& =\left(\sum_{i=1}^{n} \omega_{i}^{\prime}\right)-1+\mathrm{d}(\mathcal{W}) \\
& =\mathrm{d}(\mathcal{W}) .
\end{aligned}
$$

This concludes the proof.
The determination of the maximum dispersion $d_{M}$ is slightly more technical. We have the following proposition.

Proposition 4.3. Suppose that Conditions (1)-(3) as above and (4.1) are satisfied. If

$$
\begin{equation*}
n_{h} \cdot p_{M}+\left(n-n_{h}\right) \cdot p_{m} \geqslant 1, \tag{4.6}
\end{equation*}
$$

then

$$
d_{M}= \begin{cases}2\left[\left(p_{m}-\frac{1}{64}\right) \cdot n_{h}+1-n \cdot p_{m}\right] & \text { if } p_{m} \leqslant \frac{1}{64},  \tag{4.7a}\\ 2\left[1-\frac{n}{64}\right] & \text { if } p_{m}>\frac{1}{64} .\end{cases}
$$

If (4.6) does not hold, then with

$$
\varepsilon=1-\left(n_{h} p_{M}+\left(n-n_{h}\right) p_{m}\right)>0, \quad t_{0}=\left\lfloor\frac{\varepsilon}{1 / n-p_{m}}\right\rfloor, \quad \text { and } \quad z_{1}=\varepsilon-t_{0} \cdot\left(\frac{1}{n}-p_{m}\right),
$$

we have

$$
d_{M}= \begin{cases}2\left[\left(p_{M}-\frac{1}{64}\right) \cdot n_{h}+t_{0}\left(\frac{1}{n}-\frac{1}{64}\right)\right] & \text { if } p_{m}+z_{1} \leqslant \frac{1}{64},  \tag{4.8a}\\ 2\left[\left(p_{m}-\frac{1}{64}\right)\left(n_{h}+t_{0}+1\right)+1-n \cdot p_{m}\right] & \text { if } p_{m}+z_{1}>\frac{1}{64} \text { and } p_{m} \leqslant \frac{1}{64}, \\ 2\left[1-\frac{n}{64}\right] & \text { if } p_{m}>\frac{1}{64} .\end{cases}
$$

Proof. Suppose first that (4.6) holds. Let $z_{0}=\frac{1-n \cdot p_{m}}{n_{h}}$, and note that $z_{0} \geqslant 0$ by (4.1). We set

$$
\forall i \in\{1, \ldots, 64\}, \quad \omega_{i}= \begin{cases}p_{m}+z_{0} & \text { if } 1 \leqslant i \leqslant n_{h} \\ p_{m} & \text { if } n_{h}+1 \leqslant i \leqslant n \\ 0 & \text { otherwise }\end{cases}
$$

Then $\mathcal{W}=\left(\omega_{1}, \ldots, \omega_{64}\right)$ defines a weighted trinucleotide code, since it consists of non-negative real numbers summing to 1 . This code $\mathcal{W}$ does satisfy the required properties. The only condition that could be violated is (1). However, $\frac{\left(n-n_{h}\right) p_{m}}{n_{h}} \geqslant \frac{1}{n_{h}}-p_{M}$ by (4.6), so $p_{m}+z_{0}=$ $\frac{1-\left(n-n_{h}\right) \cdot p_{m}}{n_{h}} \leqslant p_{M}$ on the one hand, and $\frac{\left(n-n_{h}\right) p_{m}}{n_{h}} \leqslant \frac{1}{n_{h}}-\frac{1}{n}$ by (4.1) so $p_{m}+z_{0} \geqslant \frac{1}{n}$ on the other hand. Consequently, $d_{M} \geqslant \mathrm{~d}(\mathcal{W})$. Moreover, $\mathrm{d}(\mathcal{W})$ is equal to the right side of (4.7a) if $p_{m} \leqslant \frac{1}{64}$, and to the right side of (4.7b) otherwise. To see this, we define $d_{1}=\sum_{i=1}^{n_{h}}\left|\omega_{i}-\frac{1}{64}\right|$ and $d_{2}=\sum_{i=n_{h}+1}^{n}\left|\omega_{i}-\frac{1}{64}\right|$. If $i \in\left\{1, \ldots, n_{h}\right\}$, then $\omega_{i}=p_{m}+z_{0} \geqslant \frac{1}{n} \geqslant \frac{1}{64}$ so

$$
\begin{equation*}
d_{1}=n_{h} \cdot\left(p_{m}+z_{0}-\frac{1}{64}\right)=1-\left(n-n_{h}\right) \cdot p_{m}-\frac{n_{h}}{64}=1+n_{h} \cdot\left(p_{m}-\frac{1}{64}\right)-n \cdot p_{m} \tag{4.9}
\end{equation*}
$$

while if $i \in\left\{n_{h}+1, \ldots, n\right\}$, then $\omega_{i}=p_{m}$, so if $p_{m} \leqslant \frac{1}{64}$,

$$
\begin{equation*}
d_{2}=\left(n-n_{h}\right) \cdot\left(\frac{1}{64}-p_{m}\right)=\frac{n}{64}+n_{h} \cdot\left(p_{m}-\frac{1}{64}\right)-n \cdot p_{m}, \tag{4.10}
\end{equation*}
$$

and if $p_{m}>\frac{1}{64}$,

$$
\begin{equation*}
d_{2}=\left(n-n_{h}\right) \cdot\left(p_{m}-\frac{1}{64}\right)=-\frac{n}{64}-n_{h} \cdot\left(p_{m}-\frac{1}{64}\right)+n \cdot p_{m} \tag{4.11}
\end{equation*}
$$

finally, if $i \in\{n+1, \ldots, 64\}$, then $\omega_{i}=0$ and hence $\sum_{i=n+1}^{64}\left|\omega_{i}-\frac{1}{64}\right|=1-\frac{n}{64}$. Summing this with (4.9) and either (4.10) or (4.11) yields (4.7a) or (4.7b), respectively.
It remains to prove that if a weighted trinucleotide code $\mathcal{W}^{\prime}=\left(\omega_{1}^{\prime}, \ldots, \omega_{64}^{\prime}\right)$ satisfies Conditions (1)-(3), then $\mathrm{d}\left(\mathcal{W}^{\prime}\right) \leqslant \mathrm{d}(\mathcal{W})$. By Condition (3), it suffices to prove that $\sum_{i=1}^{n}\left|\frac{1}{64}-\omega_{i}^{\prime}\right| \leqslant$ $\sum_{i=1}^{n}\left|\frac{1}{64}-\omega_{i}\right|$. For convenience we set $S_{1}=\sum_{i=1}^{n_{h}} \omega_{i}$ and $S_{2}=\sum_{i=n_{h}+1}^{n} \omega_{i}$. We similarly define $S_{1}^{\prime}, S_{2}^{\prime}$ as well as $d_{1}^{\prime}$ and $d_{2}^{\prime}$ with respect to $\mathcal{W}^{\prime}$ instead of $\mathcal{W}$. Our goal is thus to show that $d_{1}^{\prime}+d_{2}^{\prime} \leqslant d_{1}+d_{2}$. Note that $S_{1}+S_{2}=1=S_{1}^{\prime}+S_{2}^{\prime}$.
As $\omega_{i}^{\prime} \geqslant \frac{1}{64}$ for $i \in\left\{1, \ldots, n_{h}\right\}$, we deduce that $d_{1}^{\prime}=S_{1}^{\prime}-\frac{n_{h}}{64}=1-S_{2}^{\prime}-\frac{n_{h}}{64}$, and hence (4.9) implies that $d_{1}^{\prime}-d_{1}=\left(n-n_{h}\right) \cdot p_{m}-S_{2}^{\prime}$.
To express $d_{2}^{\prime}$, let

$$
I_{2}^{+}=\left\{i \in\left\{n_{h}+1, \ldots, n\right\}: \omega_{i}^{\prime}>\frac{1}{64}\right\}
$$

and $I_{2}^{-}=\left\{n_{h}+1, \ldots, n\right\} \backslash I_{2}^{+}$, thus $\left|I_{2}^{+}\right|=\left(n-n_{h}\right)-\left|I_{2}^{-}\right|$and $\sum_{i \in I_{2}^{+}} \omega_{i}^{\prime}=S_{2}^{\prime}-\sum_{i \in I_{2}^{-}} \omega_{i}^{\prime}$. Consequently,

$$
\begin{aligned}
d_{2}^{\prime} & =\sum_{i=n_{h}+1}^{n}\left|\omega_{i}^{\prime}-\frac{1}{64}\right|=\sum_{i \in I_{2}^{+}}\left(\omega_{i}^{\prime}-\frac{1}{64}\right)+\sum_{i \in I_{2}^{-}}\left(\frac{1}{64}-\omega_{i}^{\prime}\right) \\
& =-\frac{1}{64} \cdot\left(\left|I_{2}^{+}\right|-\left|I_{2}^{-}\right|\right)+\sum_{i \in I_{2}^{+}} \omega_{i}^{\prime}-\sum_{i \in I_{2}^{-}} \omega_{i}^{\prime} \\
& =-\frac{1}{64} \cdot\left(\left(n-n_{h}\right)-2\left|I_{2}^{-}\right|\right)+S_{2}^{\prime}-2 \sum_{i \in I_{2}^{-}} \omega_{i}^{\prime} \\
& \leqslant-\frac{1}{64} \cdot\left(\left(n-n_{h}\right)-2\left|I_{2}^{-}\right|\right)+S_{2}^{\prime}-2 \sum_{i \in I_{2}^{-}} p_{m} \\
& =2\left|I_{2}^{-}\right|\left(\frac{1}{64}-p_{m}\right)+S_{2}^{\prime}-\frac{n-n_{h}}{64},
\end{aligned}
$$

where the inequality holds because $\omega_{i}^{\prime} \geqslant p_{m}$ for each $i \in I_{2}^{-}$. Furthermore, if $p_{m}>\frac{1}{64}$, then $d_{2}=\left(n-n_{h}\right) \cdot\left(p_{m}-\frac{1}{64}\right)$, and hence

$$
\begin{aligned}
d_{1}^{\prime}+d_{2}^{\prime}-\left(d_{1}+d_{2}\right) & =d_{1}^{\prime}-d_{1}+d_{2}^{\prime}-d_{2} \\
& =2\left|I_{2}^{-}\right|\left(\frac{1}{64}-p_{m}\right) \leqslant 0,
\end{aligned}
$$

since $p_{m}>\frac{1}{64}$.
Finally, if $p_{m} \leqslant \frac{1}{64}$, then $d_{2}=\left(n-n_{h}\right) \cdot\left(\frac{1}{64}-p_{m}\right)$, and therefore,

$$
\begin{aligned}
d_{1}^{\prime}+d_{2}^{\prime}-\left(d_{1}+d_{2}\right) & =d_{1}^{\prime}-d_{1}+d_{2}^{\prime}-d_{2} \\
& \leqslant 2\left(n-n_{h}\right) \cdot\left(p_{m}-\frac{1}{64}\right)+2\left|I_{2}^{-}\right| \cdot\left(\frac{1}{64}-p_{m}\right) \\
& =2\left(p_{m}-\frac{1}{64}\right) \cdot\left(\left(n-n_{h}\right)-\left|I_{2}^{-}\right|\right) .
\end{aligned}
$$

It follows that $d_{1}^{\prime}+d_{2}^{\prime} \leqslant d_{1}+d_{2}$, because $p_{m}-\frac{1}{64} \leqslant 0$ on the one hand, and $\left(n-n_{h}\right)-\left|I_{2}^{-}\right| \geqslant 0$ on the other hand since $I_{2}^{-}$is a subset of $\left\{n_{h}+1, \ldots, n\right\}$.

Suppose now that (4.6) does not hold, so

$$
\begin{equation*}
n_{h} \cdot p_{M}+\left(n-n_{h}\right) \cdot p_{m}<1 . \tag{4.12}
\end{equation*}
$$

(This implies that $p_{m}<\frac{1}{n}$.) As in the statement of the proposition, we set $\varepsilon=1-\left(n_{h} \cdot p_{M}+(n-\right.$ $\left.\left.n_{h}\right) \cdot p_{m}\right)$ and $t=\frac{\varepsilon}{1 / n-p_{m}}$, so $\varepsilon$ and $t$ are positive; and we also set $t_{0}=\lfloor t\rfloor$ and $z_{1}=\varepsilon-t_{0} \cdot\left(\frac{1}{n}-p_{m}\right)$, so $z_{1} \geqslant 0$. We note that $n_{h}+t_{0}+1 \leqslant n$, for otherwise we infer that $\frac{1}{n} \geqslant p_{M}$, contrary to (4.1). Indeed, if $n_{h}+t_{0} \geqslant n$, then $n_{h}+t \geqslant n$, that is,

$$
n_{h}+\frac{1-n_{h} p_{M}-n p_{m}+n_{h} p_{m}}{\frac{1}{n}-p_{m}} \geqslant n
$$

so

$$
\frac{n_{h}}{n}-n_{h} p_{m}+1-n_{h} p_{M}-n p_{m}+n_{h} p_{m} \geqslant 1-n p_{m}
$$

which yields that $\frac{n_{h}}{n}-n_{h} p_{M} \geqslant 0$ and hence $\frac{1}{n} \geqslant p_{M}$ since $n_{h}>0$.

Then setting

$$
\forall i \in\{1, \ldots, 64\}, \quad \omega_{i}= \begin{cases}p_{M} & \text { if } 1 \leqslant i \leqslant n_{h}, \\ \frac{1}{n} & \text { if } n_{h}+1 \leqslant i \leqslant n_{h}+t_{0}, \\ p_{m}+z_{1} & \text { if } i=n_{h}+t_{0}+1, \\ p_{m} & \text { if } n_{h}+t_{0}+2 \leqslant i \leqslant n, \\ 0 & \text { otherwise },\end{cases}
$$

defines a weighted trinucleotide code, since the sequence $\mathcal{W}=\left(\omega_{1}, \ldots, \omega_{64}\right)$ consists of nonnegative real numbers summing to 1 . Conditions (1)-(3) can be violated only if $p_{m}+z_{1}>\frac{1}{n}$. However, since $t_{0}=\lfloor t\rfloor>t-1$,

$$
\begin{equation*}
p_{m}+z_{1}=p_{m}+\varepsilon-t_{0}\left(\frac{1}{n}-p_{m}\right)<\varepsilon-t\left(\frac{1}{n}-p_{m}\right)+\frac{1}{n}=\frac{1}{n} . \tag{4.13}
\end{equation*}
$$

Moreover, if $p_{m} \leqslant \frac{1}{64}$ then $\mathrm{d}(\mathcal{W})$ equals the right side of (4.8a) or of (4.8b), depending on whether $p_{m}+z_{1} \leqslant \frac{1}{64}$ or not, while if $p_{m}>\frac{1}{64}$ then $\mathrm{d}(\mathcal{W})$ equals the right side of (4.8c). This follows from the definitions by a direct computation, recalling that $n_{h} p_{M}=1-\left(n-n_{h}\right) p_{m}-\varepsilon$. Indeed, if $i \in\left\{1, \ldots, n_{h}+t_{0}\right\}$ then $\left|\omega_{i}-\frac{1}{64}\right|=\omega_{i}-\frac{1}{64}$ and hence

$$
\begin{equation*}
\sum_{i=1}^{n_{h}+t_{0}}\left|\omega_{i}-\frac{1}{64}\right|=\left(p_{M}-\frac{1}{64}\right) \cdot n_{h}+\left(\frac{1}{n}-\frac{1}{64}\right) \cdot t_{0} . \tag{4.14}
\end{equation*}
$$

If $p_{m} \leqslant \frac{1}{64}$, then for $i \in\left\{n_{h}+t_{0}+2, \ldots, 64\right\}$ we have $\left|\omega_{i}-\frac{1}{64}\right|=\frac{1}{64}-\omega_{i}$, and hence

$$
\begin{equation*}
\sum_{i=n_{h}+t_{0}+2}^{64}\left|\omega_{i}-\frac{1}{64}\right|=\left(n_{h}+t_{0}+1-n\right)\left(p_{m}-\frac{1}{64}\right)+1-\frac{n}{64}, \tag{4.15}
\end{equation*}
$$

while if $p_{m}>\frac{1}{64}$, then $\left|\omega_{i}-\frac{1}{64}\right|=p_{m}-\frac{1}{64}$ for $i \in\left\{n_{h}+t_{0}+2, \cdots, n\right\}$, and $\left|\omega_{i}-\frac{1}{64}\right|=\frac{1}{64}$ for $i \in\{n+1, \ldots, 64\}$, so that

$$
\begin{equation*}
\sum_{i=n_{h}+t_{0}+2}^{64}\left|\omega_{i}-\frac{1}{64}\right|=\left(n_{h}+t_{0}+1-n\right)\left(\frac{1}{64}-p_{m}\right)+1-\frac{n}{64} . \tag{4.16}
\end{equation*}
$$

Now if $p_{m}+z_{1}>\frac{1}{64}$ then

$$
\begin{equation*}
\left|\omega_{n_{h}+t_{0}+1}-\frac{1}{64}\right|=\left(n_{h}+t_{0}+1-n\right) \cdot p_{m}-n_{h} \cdot p_{M}-\frac{t_{0}}{n}+1-\frac{1}{64}, \tag{4.17}
\end{equation*}
$$

so the sum of $(4.14),(4.15)$ and (4.17) shows that $\mathrm{d}(\mathcal{W})$ equals the right side of (4.8b) if $p_{m} \leqslant \frac{1}{64}$, while the sum of (4.14), (4.16) and (4.17) shows that $\mathrm{d}(\mathcal{W})$ equals the right side of (4.8c) if $p_{m}>\frac{1}{64}$. Moreover, if on the contrary $p_{m}+z_{1} \leqslant \frac{1}{64}$, and in particular $p_{m} \leqslant \frac{1}{64}$ as $z_{1} \geqslant 0$, then

$$
\begin{equation*}
\left|\omega_{n_{h}+t_{0}+1}-\frac{1}{64}\right|=-\left(n_{h}+t_{0}+1-n\right) \cdot p_{m}+n_{h} \cdot p_{M}+\frac{t_{0}}{n}-1+\frac{1}{64}, \tag{4.18}
\end{equation*}
$$

so the sum of (4.14), (4.15) and (4.18) shows that $\mathrm{d}(\mathcal{W})$ equals the right side of (4.8a).
We now prove that $\mathcal{W}$ has the largest dispersion among all weighted trinucleotide codes satisfying Conditions (1)-(3). To this end, let $\mathcal{W}^{\prime}=\left(\omega_{1}^{\prime}, \ldots, \omega_{64}^{\prime}\right)$ be such a code, that moreover maximises the dispersion over all weighted trinucleotide codes satisfying Conditions (1)-(3).
We first show that we can assume that $\omega_{i}^{\prime}=p_{M}$ for each $i \in\left\{1, \ldots, n_{h}\right\}$. Indeed, suppose that there exists $i \in\left\{1, \ldots, n_{h}\right\}$ such that $\omega_{i}^{\prime}=p_{M}-\delta$ for some positive real $\delta$. Because $\omega_{k}^{\prime} \leqslant$ $p_{M}=\omega_{k}$ for any $k \in\left\{1, \ldots, n_{h}\right\}$ and $\sum_{i=1}^{n} \omega_{i}^{\prime}=1=\sum_{i=1}^{n} \omega_{i}$, we infer the existence of a set $J \subseteq\left\{n_{h}+1, \ldots, n\right\}$ such that

- $\sum_{j \in J} \omega_{j}^{\prime} \geqslant \delta+\sum_{j \in J} \omega_{j}$; and
- $\omega_{j}^{\prime}>\omega_{j}$ for each $j \in J$.

Since $p_{m} \leqslant \omega_{j}<\omega_{j}^{\prime} \leqslant \frac{1}{n}$ for $j \in J$, we can define a weighted trinucleotide code $\mathcal{Z}=\left(\zeta_{1}, \ldots, \zeta_{64}\right)$ satisfying Conditions (1)-(3) by setting $\zeta_{i}=p_{M}$, next $\zeta_{k}=\omega_{k}^{\prime}$ if $k \notin J \cup\{i\}$, and finally defining $\zeta_{j}$ for $j \in J$ such that $\zeta_{j} \leqslant \omega_{j}^{\prime}$ and $\sum_{j \in J} \zeta_{j}=\left(\sum_{j \in J} \omega_{j}^{\prime}\right)-\delta$. Now, $\sum_{k \notin J}\left|\zeta_{k}-\frac{1}{64}\right|=$ $\delta+\sum_{k \notin J}\left|\omega_{k}^{\prime}-\frac{1}{64}\right|$ and $\sum_{j \in J}\left|\zeta_{j}-\frac{1}{64}\right| \geqslant-\delta+\sum_{j \in J}\left|\omega_{j}^{\prime}-\frac{1}{64}\right|$, so that $\mathrm{d}(\mathcal{Z})$ is at least, and hence equal to, $\mathrm{d}\left(\mathcal{W}^{\prime}\right)$. Consequently, we can now assume that $\omega_{i}^{\prime}=p_{M}$ for $i \in\left\{1, \ldots, n_{h}\right\}$.
We similarly show that we can assume that $\omega_{i}^{\prime}=\frac{1}{n}$ if $n_{h}+1 \leqslant i \leqslant n_{h}+t_{0}$. Indeed, suppose that there exists $i \in\left\{n_{h}+1, \ldots, n_{h}+t_{0}\right\}$ such that $\omega_{i}^{\prime}=\frac{1}{n}-\delta$ for some positive real $\delta$. Because $\omega_{k}^{\prime} \leqslant \frac{1}{n}=\omega_{k}$ for $k \in\left\{n_{h}+1, \ldots, n_{h}+t_{0}\right\}$, and $\omega_{k}^{\prime}=p_{M}=\omega_{k}$ if $1 \leqslant k \leqslant n_{h}$, we infer the existence of a set $J \subseteq\left\{n_{h}+t_{0}+1, \ldots, n\right\}$ such that

- $\sum_{j \in J} \omega_{j}^{\prime} \geqslant \delta+\sum_{j \in J} \omega_{j}$; and
- $\omega_{j}^{\prime}>\omega_{j}$ for each $j \in J$.

As before, we can then define a weighted trinucleotide code $\mathcal{Z}=\left(\zeta_{1}, \ldots, \zeta_{64}\right)$ satisfying Conditions (1)-(3) and with dispersion at least $\mathrm{d}\left(\mathcal{W}^{\prime}\right)$ by setting $\zeta_{i}=\frac{1}{n}$, next $\zeta_{k}=\omega_{k}^{\prime}$ if $k \notin J \cup\{i\}$, and finally defining $\zeta_{j}$ for $j \in J$ such that $\zeta_{j} \leqslant \omega_{j}^{\prime}$ and $\sum_{j \in J} \zeta_{j}=\left(\sum_{j \in J} \omega_{j}^{\prime}\right)-\delta$. In total, we can thus assume that $\omega_{i}^{\prime}=\omega_{i}$ if $1 \leqslant i \leqslant n_{h}+t_{0}$.
We now conclude that $\mathrm{d}\left(\mathcal{W}^{\prime}\right)=\mathrm{d}(\mathcal{W})$. This is true if $\omega_{k}^{\prime}=\omega_{k}$ for $k \in\left\{n_{h}+t_{0}+2, \ldots, n\right\}$, since then $\mathcal{W}$ and $\mathcal{W}^{\prime}$ must be equal as both sum to 1 . Recalling that $\omega_{k}^{\prime} \geqslant p_{m}=\omega_{k}$ for each $k \in\left\{n_{h}+t_{0}+2, \ldots, n\right\}$, we can thus suppose that $\sum_{j=n_{h}+t_{0}+2}^{n} \omega_{k}^{\prime}=\delta+\sum_{j=n_{h}+t_{0}+2}^{n} \omega_{k}$ for some positive real $\delta$. Because, in addition $\omega_{k}^{\prime}=\omega_{k}$ if $1 \leqslant k \leqslant n_{h}+t_{0}$, we infer that $\omega_{n_{h}+t_{0}+1}^{\prime}=$ $\omega_{n_{h}+t_{0}+1}-\delta$. Therefore, $\mathrm{d}\left(\mathcal{W}^{\prime}\right)$ is most, and hence equal to, $\mathrm{d}(\mathcal{W})$. We have proved that $\mathcal{W}$ indeed has the largest dispersion among all weighted trinucleotide codes satisfying Conditions (1)-(3). This concludes the proof.

Remark 4.4. One could want to insist that the number of codons of high frequency is precisely $n_{h}$, thereby, replacing Condition (2) by
(2') for every $i \in\left\{n_{h}+1, \ldots, n\right\}$, we have $p_{m} \leqslant \omega_{i}<\frac{1}{n}$.
The extremal values proved in Propositions 4.2 and 4.3 are left unchanged, under our assumption that $p_{m}<\frac{1}{n}<p_{M}$ (for otherwise, as reported above, all $n$ occurring codons must have frequency $\frac{1}{n}$ ). This clearly holds for (4.7a) and (4.7b), since the weighted trinucleotide code provided in the proof already satisfies Condition (2'), as $p_{m}<\frac{1}{n}$.
The other weighted trinucleotide codes provided in the proofs of Propositions 4.2 and 4.3 can be slightly modified to satisfy Condition (2') instead of Condition (2), and have dispersion arbitrarily close to the original one. Indeed, for Proposition 4.2, we can choose $\delta>0$ such that $f_{m}:=\frac{1}{n}-\delta \geqslant p_{m}$ and $f_{M}:=\frac{1}{n}+\frac{n-n_{h}}{n_{h}} \delta \leqslant p_{M}$. We then change the value of $\omega_{i}$ to $f_{M}$ if $1 \leqslant i \leqslant n_{h}$, and to $f_{m}$ if $n_{h}+1 \leqslant i \leqslant n$. Note that the total sum remains 1 , as

$$
\left(n-n_{h}\right) f_{m}+n_{h} f_{M}=\frac{n-n_{h}}{n}-\left(n-n_{h}\right) \delta+\frac{n_{h}}{n}+\left(n-n_{h}\right) \delta=1
$$

Furthermore, $\left|f_{M}-\frac{1}{64}\right|=\left|\frac{1}{n}-\frac{1}{64}\right|+\frac{n-n_{h}}{n_{h}} \delta$ and $\left|f_{m}-\frac{1}{64}\right| \leqslant\left|\frac{1}{n}-\frac{1}{64}\right|+\delta$. Therefore, the obtained weighted trinucleotide code has dispersion at most $2-\frac{n}{32}+2\left(n-n_{h}\right) \delta$, which can be made arbitrarily close to $2-\frac{n}{32}$ by choosing $\delta$ arbitrarily close to 0 (and positive). As a side remark, if $n \leqslant 63$ then $\delta$ can also be chosen small enough that $f_{m} \geqslant \frac{1}{64}$, and then the dispersion of the newly defined weighted trinucleotide code is again exactly $2-\frac{n}{32}$. Indeed, we
have $\left|f_{m}-\frac{1}{64}\right|=\left|\frac{1}{n}-64\right|-\delta$, so that

$$
\left(n-n_{h}\right)\left|f_{m}-\frac{1}{64}\right|+n_{h}\left|f_{M}-\frac{1}{64}\right|=\left(n-n_{h}\right)\left|\frac{1}{n}-\frac{1}{64}\right|+n_{h}\left|\frac{1}{n}-\frac{1}{64}\right|
$$

For the weighted trinucleotide code $\mathcal{W}=\left(\omega_{1}, \ldots, \omega_{64}\right)$ provided to establish (4.8a)-(4.8c), first recall that $p_{m}+z_{1}<\frac{1}{n}$ by (4.13), and hence $\mathcal{W}$ satisfies Condition (2') unless $t_{0} \geqslant 1$, in which case the values $\omega_{n_{h}+1}, \ldots, \omega_{n_{h}+t_{0}}$ are all equal to $\frac{1}{n}$. As already observed in the proof of Proposition 4.3, it holds that $n_{h}+t_{0} \leqslant n-1$. We can choose $\delta>0$ such that $f_{m}:=\frac{1}{n}-\delta>p_{m}$ and $p_{m}+z_{1}+t_{0} \delta<\frac{1}{n}$, recalling that $p_{m}+z_{1}<\frac{1}{n}$. If $p_{m}+z_{1}<\frac{1}{64}$, then up to further reducing the value of $\delta$, we can moreover suppose that $p_{m}+z_{1}+t_{0} \delta<\frac{1}{64}$. We now change the value of $\omega_{i}$ to $f_{m}$ for $i \in\left\{n_{h}+1, \ldots, n_{h}+t_{0}\right\}$, and to $p_{m}+z_{1}+t_{0} \delta$ if $i=n_{h}+t_{0}+1$. We note that the obtained code satisfies Condition (2') as well as Conditions (1) and (3), and one sees similarly as before that its dispersion differs from that of the original code by at most $2 t_{0} \delta$, which can be made arbitrarily close to 0 by choosing $\delta$ arbitrarily close to 0 (and positive). As a side remark, if $p_{m}+z_{1} \geqslant \frac{1}{64}$, then the dispersion of the newly defined code remains unchanged, thus attaining the right side of (4.8b).

It is important to stress that this mathematical theory and its formulæ of dispersion, i.e. Equations (4.4), (4.7a)-(4.7b) and (4.8a)-(4.8c), can be easily extended to any weighted codes over a finite alphabet, e.g. the amino acid alphabet, by replacing $1 / 64$ with the cardinality of the code.
4.2. Application: evolution of the genetic code. In order to study the evolution of the bacterial genetic code and to apply the mathematical theory developed in Section 4.1, three parameters must be obtained from the bacterial codon usage (see Appendix Table 1): the minimum probability, which is $p_{m}=0.06 \%$, given by the codon of lowest occurrence, i.e. $T A G$; the maximum probability, which is $p_{M}=4.32 \%$, given by the codon of highest occurrence, i.e. $G C C$; and the number of codons with high frequency, i.e. with a probability greater than $\frac{1}{64}$, which is $n_{h}=25$. Note that $\frac{n_{h}}{n}=\frac{25}{64}$ since there are $n=64$ occurring codons in the bacterial codon usage.
We start by studying the maximum dispersion of the current genetic code over 64 codons with respect to the frequency of its codon of maximum and minimum probabilities.
4.2.1. Maximum dispersion of the current genetic code as a function of its codon of maximum probability. Figure 5 gives the maximum dispersion $d_{M}$ of the current genetic code with 64 codons as a function of its number $n_{h}$ of codons with high frequency, $n_{h} \in\{1, \ldots, 64\}$, i.e. codons $x$ with a probability at least $\frac{1}{n}=\frac{1}{64}\left(\omega(x) \geqslant \frac{1}{64}\right)$. The minimum probability is $p_{m}=0.06 \%$, given by the codon of lowest occurrence in bacteria, i.e. TAG (see Appendix Table 1). We considered 3 different values for the maximum probability $p_{M}: 4.32 \%$ associated with the codon of highest occurrence in bacteria, i.e. $G C C$ (see Appendix Table 1) (curve with green circles) and 2 arbitrarily chosen surrounding values: $3 \%$ (curve with violet disks) and $6 \%$ (curve with blue stars). Interestingly, for any maximum probability $p_{M}$ the maximum dispersion $d_{M}$ increases to a maximum and then decreases to 0 at $n_{h}=64$. The curves have a common decreasing slope of equation $y=1.9232-0.03005 x$ (see Equation (4.7a), which does not involve $p_{M}$ ), but different increasing slopes, and thus different maxima. The change occurs for $n_{h}=\left\lceil\frac{1-64 p_{m}}{p_{M}-p_{m}}\right\rceil$ (see Equation (4.6)), and the maximum is thus attained for $n_{h}=\left\lfloor\frac{1-64 p_{m}}{p_{M}-p_{m}}\right\rfloor$ or $n_{h}=\left\lceil\frac{1-64 p_{m}}{p_{M}-p_{m}}\right\rceil$. From Appendix Table 1, the number of codons with high frequency is $n_{h}=25$. The maximum dispersion at $n_{h}=25$ is $d_{M}=1.17$. Very interestingly, this value $d_{M}=1.17$ is very close to the


Figure 5. Maximum dispersion $d_{M}$ of the current genetic code with 64 codons for three values of the codon of maximum probability $p_{M}$, the minimum probability $p_{m}=0.06 \%$ being that of the codon $T A G$ in bacteria (see Appendix Table 1). The $x$-axis shows the number $n_{h}$ of codons with high frequency in the genetic code, $n_{h} \in\{1, \ldots, 64\}$, i.e. codons $x$ with a probability at least $\frac{1}{64}$ $\left(\omega(x) \geqslant \frac{1}{64}\right)$. The $y$-axis shows the maximum dispersion $d_{M}$ of codon usage. Three curves corresponding to different values of the codon of maximum probability are displayed: $p_{M}=4.32 \%$ associated with the codon $G C C$ in bacteria (see Appendix Table 1) (curve with green circles) and 2 arbitrarily chosen surrounding values, namely $p_{M}=3 \%$ (curve with violet disks) and $p_{M}=6 \%$ (curve with blue stars).
maximum $d_{M}=1.23$ at $n_{h}=23$ of the curve with $p_{M}=4.32 \%$ that is associated with bacteria (see Figure 5). As a biological consequence, bacteria have optimised the number of codons with high frequency in order to have a maximum of dispersion, and thus a maximum capacity to retrieve the reading frame in genes.
4.2.2. Maximum dispersion of the current genetic code as a function of its codon of minimum probability. Figure 6 gives the maximum dispersion $d_{M}$ of the current genetic code with 64 codons as a function of its number $n_{h}$ of codons with high frequency. The maximum probability is $p_{M}=4.32 \%$, given by the codon of highest occurrence in bacteria, i.e. $G C C$ (see Appendix Table 1). We considered 3 different values for the minimum probability $p_{m}: 0.06 \%$ associated with the codon of lowest occurrence in bacteria, i.e. TAG (see Appendix Table 1) (curve with green circles) and 2 arbitrarily chosen surrounding values: 0 (curve with violet disks) and $0.5 \%$ (curve with blue stars). The value 0 is seen as a sort of limiting case for codons with very small frequencies, that is, when $\mathrm{p}_{\mathrm{m}}(\mathcal{W})$ is a very small positive real. In theory, setting $p_{m}=0$ amounts to allowing the number of occurring codons to vary (case studied in Section 4.2.3), whereas we keep $n=64$ here. As in the previous case (Section 4.2.1), for any minimum probability $p_{m}$ the


Figure 6. Maximum dispersion $d_{M}$ of the current genetic code with 64 codons for three values of the minimum probability $p_{m}$, the maximum probability $p_{M}=4.32 \%$ being that of the codon $G C C$ in bacteria (see Appendix Table 1). The $x$-axis shows the number $n_{h}$ of codons with high frequency in the genetic code, $n_{h} \in\{1, \ldots, 64\}$, i.e. codons $x$ with a probability at least $\frac{1}{64}\left(\omega(x) \geqslant \frac{1}{64}\right)$. The $y$-axis shows the maximum dispersion $d_{M}$ of codon usage. Three curves corresponding to different values for the minimum possible probability of a codon are displayed: $p_{m}=0.06 \%$ associated with the codon $T A G$ in bacteria (see Appendix Table 1) (curve with green circles) and 2 arbitrarily chosen surrounding values, namely $p_{m}=0$ (curve with violet disks) and $p_{m}=0.5 \%$ (curve with blue stars).
maximum dispersion $d_{M}$ increases to a maximum and then decreases to 0 at $n_{h}=64$. However, the curves have a common increasing slope of equation $y=0.05515 x$ (see Equation (4.8a)), but different decreasing slopes, and thus different maxima.
The curve with $p_{m}=0.06 \%$ and $p_{M}=4.32 \%$ is obviously identical in the two Sections 4.2.1 and 4.2 .2 and the two Figures 5 and 6 . Very interestingly, with $p_{M}=4.32 \%$, the curve with $p_{m}=0.06 \%$ that is associated with bacteria is very close to the curve with $p_{m}=0$ giving the highest value for $d_{M}$. Indeed, at $n_{h}=25$ the maximum dispersion is equal to $d_{M}=1.17$ with $p_{m}=0.06 \%$ and to $d_{M}=1.22$ with $p_{m}=0$. As previously, bacteria have optimised the maximum dispersion, and thus a maximum capacity to retrieve the reading frame in genes.
4.2.3. Minimum and maximum dispersions of the evolutionary bacterial genetic code as a function of its number of codons. Figure 7 gives the dispersion of the evolutionary bacterial genetic code as a function of its number $n$ of codons, $n \in\{1, \ldots, 64\}$, i.e. codons $x$ with a probability $\omega(x)$ greater than 0 . Since $n$ varies from 1 to 64 , and we must have $\frac{1}{n} \leqslant p_{M}$, the parameter $p_{M}$ cannot stay equal to its original value of $4.32 \%$ from the bacterial genome with 64 codons: we normalise it by setting $p_{M}=\frac{4.32}{100} \cdot \frac{64}{n}$. It then seems natural to similarly scale the
minimum probability $p_{m}$ instead of keeping it at the bacterial value $0.06 \%$, and we do so by setting $p_{m}=\frac{0.06}{100} \cdot \frac{n}{64}$. Analogously, we make the parameter $n_{h}$ vary with $n$, keeping the ratio $\frac{n_{h}}{n}$ as close as possible to the bacterial value $\frac{25}{64} \approx 0.39$. Formally, we set $n_{h}$ in $\{1, \ldots, n\}$ to be either $\left\lfloor\frac{25 n}{64}\right\rfloor$ or $\left\lceil\frac{25 n}{64}\right\rceil$, depending on which value is closer to $\frac{25 n}{64}$ (and discarding the value 0 , i.e., setting $n_{h}=1$ when $n=1$, since as reported earlier we can always assume that $n_{h} \geqslant 1$.)
The dispersion function $\mathrm{d}(2.1)$ of codon usage ranges in the interval $\left[0, \frac{63}{32}\right] \approx[0,1.97]$ (Proposition 2.8). The minimum dispersion $d_{m}$ (curve with violet disks in Figure 7) has the maximum value $\frac{63}{32} \approx 1.97$ at $n=1$ and the minimum value 0 at $n=64$. It decreases along the straight line with equation $y=2-\frac{x}{32}$ (see Equation (4.4)). The maximum dispersion $d_{M}$ (curve with green circles in Figure 7) has the maximum value $\frac{63}{32} \approx 1.97$ at $n=1$, as $d_{m}$, and the minimum value 1.17195 at $n=64$. It decreases with $n$, approximately along the straight line with equation $y=1.948-0.012 x$ (see Equation (4.7a), recalling that the values of $p_{m}$ and $n_{h}$ vary with $n$ ). Thus, the dispersion difference $\Delta=d_{M}-d_{m}$ has the minimum value 0 at $n=1$ and the maximum value 1.17195 at $n=64$.
From a biological point of view, this theoretical result quantifies and explains that the more codons a code contains, the greater the dispersion and the greater the capacity of genes to retrieve the reading frame, or equivalently the lower the loss of reading frame retrieval (see the RFR function $f(2.4)$ in Figure 1).

## 5. Conclusion

The reading frame retrieval (RFR) function $f$ of genes expressed as a function of the codon usage dispersion $d$ (from the uniform codon distribution $1 / 64$ ), identifies a genome galaxy in bacteria (Figure 1). This genome galaxy is studied by expressing the RFR function $f$ according to the $Y Z$-content ( $G C$-, $A G$ - and $G T$-content) of codon in bacteria (Figure 2). The classical $G C$-content is the best parameter for characterizing the upper arm, which is related to genomes with a low $G C$-content, and the lower arm, which is related to genomes with a high $G C$-content. The galaxy center has a $G C$-content around 0.5 (Figure 2A). Then, these results are confirmed by expressing the $G C$-content of codon as a function of the codon usage dispersion (Figure 3A). Finally, the bacterial genome galaxy is better described with the $G C 3$-content in the 3rd codon site compared to the $G C 1$-content and $G C 2$-content in the 1st and 2 nd codons sites, respectively (Figure 4C).
Whereas the codon usage is used extensively by biologists, its dispersion is surprisingly little known and unused, even though it is a classical parameter in basic statistics. With this in mind, and also to study the genome galaxy, we have developed here a mathematical theory of codon usage dispersion by deriving several formulæ. It shows three important parameters that should be considered by biologists: the codon of highest frequency (i.e. the parameter $p_{M}$ ), the codon of lowest frequency (i.e. the parameter $p_{m}$ ) and the number of codons with high frequency, i.e. greater than $100 / 64=1.5625 \%$ (i.e. the parameter $n_{h}$ ). The derived formulæ of dispersion can be easily extended to any weighted codes over a finite alphabet, e.g. the amino acid alphabet. The theory developed shows that bacteria have optimised the codon dispersion to be maximal, and thus a maximum capacity to retrieve the reading frame in genes, in two ways: (i) the existence of stop codons with frequencies $p_{m} \approx 0$, e.g. the bacterial codon $T A G$ of lowest frequency $p_{m}=0.06 \%$ (Figure 6); (ii) the number $n_{h}$ of codons with high frequency, e.g. $n_{h}=25$ is almost optimal with the bacterial codon $G C C$ of highest occurrence $p_{M}=4.32 \%$ (Figure 5).

Disclosure of interest: The authors report no conflict of interest.


Figure 7. Dispersion of the evolutionary bacterial genetic code. From the bacterial codon usage (Appendix Table 1), three parameters are used: the (normalised) minimum probability is $p_{m}=0.06 \cdot \frac{64}{n} \%$, based on the frequency of the codon of lowest occurrence in the bacterial genome, i.e. $T A G$; the (normalised) maximum probability is $p_{M}=4.32 \cdot \frac{64}{n} \%$, based on the frequency of the codon of highest occurrence, i.e. GCC; and the (normalised) number $n_{h}$ of codons with high frequency, i.e. with a probability at least $\frac{1}{64}$, defined as the positive integer that is closest to $25 \cdot \frac{n}{64}$. The $x$-axis shows the number $n$ of codons in the genetic code, $n \in\{1, \ldots, 64\}$, i.e. the codons $x$ with a probability greater than 0 $(\omega(x)>0)$. The $y$-axis shows the dispersion function $\mathrm{d}(2.1)$ of codon usage in the range $\left[0, \frac{63}{32}\right] \approx[0,1.97]$ (Proposition 2.8): the curve with violet disks is the minimum dispersion $d_{m}$ (see Proposition 4.2), the curve with green circles is the maximum dispersion $d_{M}$ (see Proposition 4.3) and the curve with blue stars is the dispersion difference $\Delta=d_{M}-d_{m}$.
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## Appendix A. Codon usage of bacterial kingdom

Table 1. Codon usage of $34,020,997$ genes of 8345 bacterial genomes (11, 087, 876, 805 codons) obtained from the codon statistics database (CSD) [26].

| $A A A$ | 2.37 | $C A A$ | 1.20 | $G A A$ | 2.91 | $T A A$ | 0.12 |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- |
| $A A C$ | 1.80 | $C A C$ | 1.27 | $G A C$ | 3.42 | $T A C$ | 1.56 |
| $A A G$ | 2.00 | $C A G$ | 2.16 | $G A G$ | 3.22 | $T A G$ | 0.06 |
| $A A T$ | 1.64 | $C A T$ | 0.78 | $G A T$ | 2.25 | $T A T$ | 1.35 |
| $A C A$ | 0.93 | $C C A$ | 0.63 | $G C A$ | 1.43 | $T C A$ | 0.64 |
| $A C C$ | 2.56 | $C C C$ | 1.39 | $G C C$ | 4.32 | $T C C$ | 1.25 |
| $A C G$ | 1.51 | $C C G$ | 2.14 | $G C G$ | 3.22 | $T C G$ | 1.23 |
| $A C T$ | 0.76 | $C C T$ | 0.67 | $G C T$ | 1.30 | $T C T$ | 0.67 |
| $A G A$ | 0.54 | $C G A$ | 0.43 | $G G A$ | 1.39 | $T G A$ | 0.15 |
| $A G C$ | 1.28 | $C G C$ | 2.26 | $G G C$ | 3.63 | $T G C$ | 0.53 |
| $A G G$ | 0.38 | $C G G$ | 1.64 | $G G G$ | 1.43 | $T G G$ | 1.31 |
| $A G T$ | 0.69 | $C G T$ | 0.80 | $G G T$ | 1.54 | $T G T$ | 0.29 |
| $A T A$ | 0.82 | $C T A$ | 0.45 | $G T A$ | 1.05 | $T T A$ | 1.25 |
| $A T C$ | 2.76 | $C T C$ | 2.23 | $G T C$ | 2.66 | $T T C$ | 2.11 |
| $A T G$ | 2.15 | $C T G$ | 3.86 | $G T G$ | 2.66 | $T T G$ | 1.21 |
| $A T T$ | 1.91 | $C T T$ | 1.01 | $G T T$ | 1.20 | $T T T$ | 1.61 |

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