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6 Gigantism precedes filter feeding in baleen whale evolution

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17 SUMMARY

18 Baleen whales (Mysticeti) are the largest animals on Earth, thanks to their ability to filter feed 19 huge volumes of small prey from seawater. Mysticetes appeared during the Late Eocene, but evidence of their early evolution remains both sparse and controversial [1, 2], with several 20 21 models competing to explain the origin of baleen-based bulk feeding [3-6]. Here, we describe a 22 virtually complete skull of Llanocetus denticrenatus, the second-oldest (ca 34 Ma) mysticete 23 known. The new material represents the same individual as the type and only specimen, a 24 fragmentary mandible. Phylogenetic analysis groups Llanocetus with the oldest mysticete, 25 Mystacodon selenensis [2], into the basal family Llanocetidae. Llanocetus is gigantic (body 26 length ca 8 m) compared to other early mysticetes [7-9]. The broad rostrum has sharp, widelyspaced teeth with marked dental abrasion and attrition suggesting biting and occlusal 27 shearing. As in extant mysticetes, the palate bears many sulci, commonly interpreted as 28 29 osteological correlates of baleen [3]. Unexpectedly, these sulci converge on the upper alveoli, 30 suggesting a peri-dental blood supply to well-developed gums, rather than to inter-alveolar

racks of baleen. We interpret *Llanocetus* as a raptorial or suction feeder, revealing that whales
 evolved gigantism well before the emergence of filter feeding. Rather than driving the origin of
 mysticetes, baleen and filtering likely only arose following an initial phase of suction-assisted
 raptorial feeding [2, 4, 5]. This scenario strikingly differs from that proposed for odontocetes,
 whose defining adaptation – echolocation – was present even in their earliest representatives
 [10].

37

38 RESULTS

- 39 Systematics
- 40 Cetacea; Neoceti; Mysticeti; Llanocetidae; Llanocetus denticrenatus

41 Holotype

42 National Museum of Natural History, Smithsonian Institution (Washington DC, USA; USNM),

43 specimen 183022; virtually complete skull, partial hyoid apparatus, and assorted postcrania (Figures

44 1–3, Table S1, Data S1).

45 Locality and horizon

- 46 Seymour Island, Antarctica; 64°14'51.09"S, 56°37'31.61"W; near the top of unit Telm 7 of the La
- 47 Meseta Formation. Mollusc-based ⁸⁷Sr/⁸⁶Sr dating suggests an age of 34.2 ± 0.87 Ma, or latest
- 48 Eocene [11].

49 Emended diagnosis

50 Differs from all known cetaceans in having markedly palmate-denticulate, widely-spaced teeth, and a

51 robust mandibular crest [new term] immediately lateral to the lower tooth row. Differs from

52 archaeocetes, *Mystacodon* and mammalodontids in having a supraoccipital that projects anteriorly

53 well beyond the anterior border of the squamosal fossa. Shares with mysticetes, but not archaeocetes

- or odontocetes, the presence of a dorsoventrally flattened and laterally expanded maxilla, and a
- 55 transversely thickened basioccipital crest. Differs from all known mysticetes in having palatal sulci that
- 56 converge on the alveoli. Further differs from all mysticetes except *Mystacodon* in having a sagittal
- 57 trough on the parietals; from all mysticetes except mammalodontids, *Mystacodon* and
- 58 *Morawanocetus* in having teeth with strong enamel ornament both lingually and labially; from all
- 59 mysticetes except *Mystacodon* and eomysticetids in having extremely elongate nasals; from all

chaeomysticetes in retaining a functional dentition and unfused basi- and thyrohyals; and from
 Mystacodon, mammalodontids and aetiocetids in its larger size, and in having a lateral lamina of the
 pterygoid that underlies the anterior process of the periotic.

63 **Overview and phylogenetic placement**

Llanocetus denticrenatus is the second-oldest described mysticete, exceeded only by *Mystacodon selenensis* from the Late Eocene of Peru (ca 36 Ma) [2]. Our new material, discovered by REF in 1987, is fractured but relatively complete (Figures 1–3). It is the same individual as the holotype, a fragmentary mandible and cranial endocast [1], as confirmed by two mandibular fragments that perfectly connect with the original specimen (Figure 3). The loss of both epiphyses on the single preserved cervical vertebra suggests a juvenile. A full description is included as Supplementary Information (Data S1).

71 The skeleton of *Llanocetus* is dominated by traits generally considered archaic for mysticetes, 72 including minor cranial telescoping, heterodont teeth, an elongate temporal fossa, a well-developed 73 superior process of the periotic, and unfused basi- and thyrohyals (Figures 1-3; Data S1). Assuming 74 the presence of three incisors and one canine, the dental formula would have been 3.1.4.2/3.1.4.3, as 75 in basilosaurid archaeocetes. Nevertheless, the broad rostrum and wide palate of Llanocetus differ 76 strikingly from the relatively narrow snout of archaeocetes (Figure 1). The elongate nasals may be 77 developmentally linked to the lengthened basal portion of the rostrum, resulting in a wide palate and 78 anterior external nares that contrast with the long-term cetacean trend of facial telescoping [12]. A 79 similar prolongation of the basal rostrum is apparent in Mystacodon and eomysticetids [2] and, in the 80 absence of pronounced polydonty, could explain the presence of variably-sized diastemata in archaic 81 mysticetes.

82 Our phylogenetic analysis groups Llanocetus with Mystacodon and a smaller, undescribed 83 specimen (Otago University Geology Museum, OU GS10897) from the Early Oligocene of New 84 Zealand (Figure 4). Diagnostic features of this clade, the Llanocetidae, include the markedly elongate 85 nasals and a sagittal trough on the parietals (Figure 1). Unlike all other basal mysticetes, llanocetids also retain large cheek teeth with two entirely separate roots, as well as strong labial and lingual 86 87 enamel ornament (uncertain in Mystacodon). Our results, albeit with low support, suggest 88 Llanocetidae to be the basalmost mysticete lineage, with the exception of Coronodon. Previous 89 studies support the basal placement of Coronodon [6, 8, 13], but – with one exception [8] –

90 interpreted *Llanocetus* as more crownward [6, 14, 15]. Crownward of Llanocetidae, there is a ladder-

91 like succession comprising Mammalodontidae, *Morawanocetus*, Aetiocetidae, and Chaeomysticeti.

92 Unlike in several previous studies [6, 14, 16], mammalodontids and aetiocetids do not form a clade.

93 **DISCUSSION**

94 Feeding strategy

95 Several models compete to explain how baleen whales derived their signature filter feeding strategy 96 from a raptorial ancestry, ranging from tooth-based filtering as seen in extant crabeater and leopard 97 seals [1, 6], to a transitional morphology combining teeth and baleen [3], to an intermediary phase of 98 suction feeding that gave rise to filtering only later [4, 5]. *Llanocetus* combines a basal phylogenetic 99 position with well-developed teeth and, crucially, osteological features usually correlated with baleen. 90 As a result, it provides a perfect opportunity to test alternative origins for mysticete filter feeding.

101 *Raptorial feeding.* The cheek teeth of *Llanocetus* are robust, notably emergent from the jaws, 102 and highly denticulate. Attrition on p4–m2 indicates shearing occlusion, and thus the ability to slice 103 through food. In addition, most teeth (and especially m1 and m2) show pronounced abrasion of the 104 main and accessory denticles (Figure 2), suggesting their use in grasping prey. Nevertheless, prey 105 processing would have been impeded by the wide diastemata, which separate the cutting surfaces 106 along the posterior tooth row. Likewise, the broad, flattened maxilla would likely be less resistant to 107 large bite forces than the more tubular rostrum of archaeocetes.

108 Tooth-based filter feeding. Extant crabeater and leopard seals use intricate postcanines as a 109 lattice-like sieve [17]. Unlike in other carnivorans, the teeth of these seals are notably blunt, with 110 broad, rounded intercusp notches that facilitate water flow [5]. Tooth-based filtering has furthermore been hypothesized in the archaic toothed mysticete Coronodon (but see [5]), based on its intricate 111 112 and largely unworn dentition [6]. The teeth of Llanocetus are broad and palmate-denticulate, and thus 113 superficially consistent with filtering; however, they are also quantitatively sharp, with no obvious 114 adaptations for water flow [5]. Purely tooth-based filtering furthermore seems unlikely given the large 115 diastemata, which show no prey-trapping mechanism. This is especially true along the posterior tooth row, where the opposing teeth occlude, rather than interdigitate. Loss of small prey in the absence of 116 117 a continuous filter has been demonstrated experimentally in California sea lions, whose teeth are far 118 more closely spaced than in Llanocetus [17]. Finally, the pronounced dental wear implies biting of

prey and tooth-on-tooth shearing, unlike in both *Coronodon* [6] and extant filter feeding seals [17, 18].
Together, these observations suggest that *Llanocetus* did not employ its teeth as a filter.

Baleen-based filter feeding. Llanocetus shares with extant mysticetes the presence of a broad rostrum, typical of both suction and filter feeders [3, 19], as well as palatal sulci, widely considered as an osteological correlate of baleen [3]. The sulci in *Llanocetus* do not enter the diastemata, however; rather, they are grouped into peri-dental bundles converging directly on the upper cheek teeth, where baleen would be of little use (Figures 1, 2). This pattern is particular pronounced in P3, where the sulci terminate immediately medial to the alveoli, implying that any baleen did not extend beyond the margins of the tooth (Figure 2).

Steep attritional facets suggest that the posterior cheek teeth occluded, and that the upper and lower jaws approached each other vertically, rather than mediolaterally as in modern mysticetes [4]. In extant baleen whale fetuses, teeth and baleen develop in approximately the same region of the maxilla, near the gingival edge of the rostrum [20]. Any peri-dental baleen in *Llanocetus* would therefore have been at risk of being crushed by the interdigitating anterior teeth, or sheared between the posterior premolars and molars. Together, these observations suggest that *Llanocetus* lacked baleen, and we propose that its palatal sulci instead supplied well-developed gums (see below).

Suction feeding. Overall, the rostral and dental morphology of *Llanocetus* suggests a feeding strategy that involved neither filtering (sharp teeth, large diastemata, pronounced wear, no baleen) nor purely raptorial feeding (widely spaced teeth, flattened maxilla). By process of elimination, and in the absence of evidence to the contrary, we therefore propose that *Llanocetus* was a suction-assisted raptorial feeder. Alternative strategies no longer employed by living marine mammals could perhaps also be envisaged, but are necessarily speculative and, thus, less parsimonious.

141 Suction is widespread among marine mammals [21, 22], many of which may use it to transport prey intraorally [19]. Suction feeding leads to a decrease in prey size [23], which abrogates 142 143 the need to process food [21, 22] and may have allowed the evolution of large diastemata in early 144 mysticetes [6]. In Llanocetus, suction would furthermore have been facilitated by the broad rostrum [19]; the presence of a strong sternohyoideus muscle [24], as inferred from the large sternum (Data 145 S1) [8]; and the presence of a mandibular crest (Figure 3). In lateral view, this crest partially obscures 146 147 the lower teeth, and in life may have supported a raised lower lip that narrowed the lateral gape during suction [19]. A similar bony support occurs in suction-feeding odontocetes such as beaked 148

whales and *Australodelphis* (precoronoid crest) [25, 26], the pygmy right whale, *Caperea marginata*,
and, arguably, the grey whale, *Eschrichtius robustus*.

Like *Llanocetus*, other llanocetids [2, 5] and mammalodontids [8, 27] also show no signs of filtering, and evidence for bulk feeding in *Coronodon* [6] and aetiocetids [3] has been questioned on grounds of tooth function, dental wear, and stable isotope data [4, 5, 28, 29]. Conversely, evidence for various degrees of suction has emerged in *Mammalodon* [8], an unnamed aetiocetid [4], and *Mystacodon* [2]. Together, these observations are consistent with a suction-based intermediary phase in mysticete evolution that smoothed the transition from raptorial to filter feeding [4, 21, 28, 30].

157 Origin of baleen

Palatal sulci in whales are widely assumed to be a direct correlate of baleen [3]. In extant mysticetes, these sulci carry a well-developed blood supply to the gums, which in turn ontogenetically give rise to baleen racks [31, 32]. Enhanced palatal vascularization is a distinct feature of mysticetes, and we agree that it and baleen are concomitants. Nevertheless, the directionality and timing of this association remain unclear. Because baleen growth is mediated by the phylogenetically older gingiva, its association with an enhanced palatal blood supply is indirect: blood vessels supply the gums, which *in turn* support the baleen [32-34].

There are three equally parsimonious origins for palatal sulci and baleen: both structures originated at the same time, as implied by previous papers arguing for the coexistence of baleen and teeth in archaic mysticetes [3, 35]; enhanced palatal vessels preceded baleen, and even may have been a prerequisite for its evolution, as assumed by recent studies arguing for an intermediary phase of suction feeding [4, 5]; or rudimentary baleen arose before an enhanced palatal blood supply, with the latter appearing only as the filtering apparatus became larger and more nutritionally demanding.

171 Given our phylogenetic hypothesis, and the poor preservation of the palate in Mystacodon 172 and OU GS10897, it is not clear whether the palatal sulci of Llanocetus are homologous to those of 173 later mysticetes. Nevertheless, the feeding morphology and basal position of *Llanocetus* imply that 174 enhanced palatal vascularization in whales is possible *without* the presence of baleen. The only 175 alternatives to this scenario are (i) that Llanocetus evolved baleen independently from 176 chaeomysticetes; (ii) that baleen evolved near the base of Mysticeti, but was independently lost in Mystacodon and mammalodontids; or (iii), baleen was - contrary to all morphological evidence -177 178 present in Mystacodon and mammalodontids. We deem all of these alternatives equally unlikely.

179 The situation in *Llanocetus* implies that palatal vascularization is not always a clear correlate 180 of baleen. This conclusion holds irrespective of whether its sulci are homologous or analogous to 181 those of chaeomysticetes, and casts doubt on the idea that palatal sulci and baleen arose 182 concurrently in the ancestor of modern whales: even if the sulci of Llanocetus had arisen 183 independently, the fact that strong palatal vascularization without baleen exists at all means that these 184 two structures cannot be unequivocally linked. Because palatal sulci directly supply the gingiva, they 185 are best interpreted as an osteological correlate of enlarged gums, such as those that give rise to 186 baleen in modern whales. Well-developed gingivae have been inferred for virtually all archaic 187 mysticetes [4, 6, 8, 28]. In Llanocetus, it seems that gingival enlargement eventually became 188 integrated into the morphology of the palate, without this leading to the emergence of baleen. This 189 situation is analogous to the evolution of flight feathers in birds: although they are undoubtedly 190 correlated with flight, they originally evolved for a different purpose [36].

191 A similar scenario seems plausible for *Morawanocetus* and aetiocetids: as in *Llanocetus*, 192 large gums may initially have induced an enhanced blood supply (i.e. palatal sulci), which 193 foreshadowed, and predated, the emergence of baleen in functionally toothless chaeomysticetes. 194 This idea avoids problems posed by a direct tooth-baleen transition, such as small diastemata 195 offering little room for baleen in Morawanocetus and Fucaia [28, 33, 37], or the presence of dental 196 abrasion consistent with suction feeding, but probably not filtering, in at least one aetiocetid [4, 6]. 197 Furthermore, it is consistent with developmental evidence, including the observation that mysticete 198 fetuses start to develop baleen only once their tooth buds are already degrading [20, 38], and the 199 guidance of baleen formation via a co-opted signaling pathway normally responsible for tooth 200 development [39]. The latter leads to an extreme degree of fetal polydonty not seen in any mysticete 201 fossil, and thus presumably postdates the disappearance of postnatal teeth [39].

202 Gigantism precedes filtering

Relative to most other cetaceans, *Llanocetus* is a giant: at an estimated minimum length of nearly 8 m, for a presumed juvenile, its size is comparable to that of extant minke whales, and exceeds that of all other toothed mysticetes, eomysticetids, most odontocetes and – until the Late Miocene – even most crown mysticetes [9, 40]. Notably, in a previous study that modelled mysticete body size evolution based on 1000 Brownian motion simulations, *Llanocetus* was the only species besides blue whales that plotted beyond the upper 95% quantile [9: fig 1].

209 Across marine vertebrates, large body size is correlated with filter feeding, likely as a result of 210 its individual and trophic efficiency [41-44]. Nevertheless, extreme gigantism, as characteristic of 211 whales today, appears to be a relatively recent phenomenon: for much of the Oligocene and Miocene, whales rarely exceeded 6 m, and most stayed well below [9]. Toothed mysticetes, in particular, tend 212 213 to be diminutive (2–5 m), and suggest that whales may have evolved from a relatively small ancestor 214 [40]. Optimizing body size on our topology confirms this view, and indicates that, for the most part, 215 large size only arose in the ancestor of chaeomysticetes (Figure 4). This pattern holds even if 216 borderline taxa, such as Coronodon, Eomysticetus and Tohoraata, are treated as large instead of 217 small, and suggests that bulk feeding indeed arose in chaeomysticetes, rather than their toothed 218 ancestors [6].

In light of this general pattern, *Llanocetus* is exceptional, with its unusually large size perhaps related to its polar habitat or to long-distance foraging [45]. Nevertheless, *Llanocetus* demonstrates that large size in baleen whales need not always be related to bulk feeding. Further, our results support the notion that large body size may have originated multiple times in baleen whale evolution [40], and show that mysticetes themselves emerged well before the key adaptation of modern whales: baleen and bulk feeding (Figure 4). This scenario markedly differs from that of odontocetes, whose major hallmark – echolocation – appears to be as old as themselves [10, 46, 47].

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237 AUTHOR CONTRIBUTIONS

- 238 Conceptualization, R.E.F and F.G.M.; Formal Analysis, F.G.M.; Investigation, all authors; Resources,
- 239 R.E.F.; Writing, all authors; Funding Acquisition, all authors.

240 DECLARATION OF INTERESTS

241 The authors declare no competing interests.

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369 Figures



370

371 Figure 1. Skull of *Llanocetus denticrenatus* (USNM 183022). (A) dorsal view, (B) ventral view. See

372 Table S1 and Data S1 for additional details. pter., pterygoid.



Figure 2. Feeding apparatus of *Llanocetus denticrenatus* (USNM 183022). (A) left palate in
ventral view, showing alveoli and palatal sulci; (B) lower posterior check teeth, in labial view, showing
abrasion and attrition; (C) lower dentition, in labial view. Photographs marked by an asterisk have
been mirrored to facilitate comparisons. See Data S1 for additional details.



Figure 3. Periotic and mandible of *Llanocetus denticrenatus* (USNM 183022). (A) left periotic, in ventral view (*in situ*); (B) fragment of left mandible originally described by [1], in posterior (left) and medial (right) view; note the previously undescribed fragment matching the original material; (C), right mandible, in lateral view. See Data S1 for additional details.





405 STAR METHODS

406

407 CONTACT FOR REAGENT AND RESOURCE SHARING

408 Further information and requests for resources and reagents should be directed to and will be fulfilled

409 by the Lead Contact, Felix G. Marx (felix.marx@monash.edu).

410 EXPERIMENTAL MODEL AND SUBJECT DETAILS

- 411 The description is based on the holotype of *Llanocetus denticrenatus*, USNM 183022. Comparisons
- 412 primarily focus on other toothed mysticetes, including *Mystacodon selenensis* (MUSM 1917), an
- 413 unnamed skull from the Early Oligocene of New Zealand (OU GS10897), Coronodon havensteini
- 414 (CCNHM 108), Janjucetus hunderi (NMV P216929), Mammalodon colliveri (NMV:P199986),
- 415 Aetiocetus spp. (AMP 12, UCMP 122900, USNM 25210), Fucaia spp. (LACM 131146, UWBM
- 416 84024), and Morawanocetus yabukii (AMP 01, AMP 14). A full list of specimens included in the
- 417 phylogenetic analysis is available from MorphoBank (<u>www.morphobank.org</u>), project P2044.

418 Institutional abbreviations

- 419 AMP, Ashoro Museum of Paleontology, Ashoro, Hokkaido, Japan; CCNHM, Mace Brown Museum of
- 420 Natural History, College of Charleston, Charleston USA; LACM, Natural History Museum of Los
- 421 Angeles County, Los Angeles, USA; MUSM, Museo de Historia Natural de la Universidad Nacional
- 422 Mayor de San Marcos, Lima, Peru; NMV, Museums Victoria, Melbourne, Australia; OU, Geology
- 423 Museum, University of Otago, Dunedin, New Zealand; UCMP, University of California Museum of
- 424 Paleontology, Berkeley, USA; USNM, United States National Museum of Natural History, Washington
- 425 DC, USA; UWBM, Burke Museum of Natural History and Culture, Seattle, USA;

426 METHOD DETAILS

427 Phylogenetic Analyses

The phylogenetic analysis was based on a modified and somewhat enlarged version (106 taxa, 275 characters) of the total evidence matrix of Marx and Fordyce [14], fully illustrated with 5,617 individual specimen photographs on MorphoBank (<u>www.morphobank.org</u>; project 2044). The analysis was carried out without any clock assumptions in MrBayes 3.2.6 [49], on the Cyberinfrastructure for Phylogenetic Research (CIPRES) Science Gateway [51] (20 million generations, first 25% of generations discarded as burn-in). All partitions and settings replicated those of Marx and Fordyce

434 [14]. The supermatrix can be downloaded from the Documents section of the associated MorphoBank435 project.

436 Body size

Body size of extinct mysticetes was inferred from bizygomatic width, based on the equations provided by [52] and [53] (see Quantification and Statistical Analysis below). Body size was calculated for *Llanocetus* and its closest possible match, a *Morawanocetus*-like aetiocetid from Japan, which was previously reported as reaching 8 m [7]. Upon recalculating the length of the latter specimen, we found this estimate to be erroneous, with the real length being approximately 6 m, making *Llanocetus* the by far largest toothed mysticete described to date.

443 Character Evolution

444 We traced the evolution of palatal sulci and body size on our phylogeny, using the parsimony and 445 likelihood options of Mesquite 3.11 [50]. The results of both were practically identical, and for 446 convenience only the parsimony is presented here. Because we were primarily interested in archaic 447 mysticetes, we subsumed all species crownward of eomysticetids into a single clade comprising 448 crown Mysticeti and a small number of stem taxa. Sulci were coded as present or absent (present in crown Mysticeti), and body size classified into small (≤ 5m) and large (>5 m; state scored for crown 449 450 Mysticeti), following [40]. Three species - Coronodon selenensis, Eomysticetus whitmorei, and 451 Tohoraata raekohao - are close to 5 m in length, and were thus coded twice (once as small and once as large) to determine the sensitivity of our results to our size threshold. A Nexus file comprising the 452 453 simplified tree, palatal and size codings can be downloaded from the Documents section of the 454 MorphoBank project associated with this study (P2044).

455 QUANTIFICATION AND STATISTICAL ANALYSIS

456 Estimates of Body Size

457 Body length estimates for extinct mysticetes were calculated based on the following equations, where

- 458 TL is total body length and BIZYG is bizygomatic width:
- 459 (1) $\log(TL) = 0.92 * (\log(BIZYG) 1.72) + 2.68$ [53]
- 460 (2) TL = 8.209 * BIZYG + 66.69 [52]

461 DATA AND SOFTWARE AVAILABILITY

- 462 The fully illustrated cladistic matrix and associated 5,617 individual specimen photographs can be
- 463 downloaded from MorphoBank, project 2044 (<u>www.morphobank.org</u>).