

1                   **Dispersal and Population Connectivity in the Deep North Atlantic**  
2                   **Estimated from Physical Transport Processes.**

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6 Ron J. Etter\*  
7 Biology Department  
8 University of Massachusetts Boston,  
9 Boston 02125 USA  
10 E-mail address: ron.etter@umb.edu  
11 Corresponding Author

12

13 Amy S. Bower  
14 Department of Physical Oceanography  
15 Woods Hole Oceanographic Institution  
16 Woods Hole, Massachusetts, 02543, USA  
17 E-mail address: abower@whoi.edu

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19 \* Both authors contributed equally to this work

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22 Running title: Dispersal and connectivity in the deep Atlantic

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32 **Abstract**

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34 Little is known about how larvae disperse in deep ocean currents despite how  
35 critical estimates of population connectivity are for ecology, evolution and  
36 conservation. Estimates of connectivity can provide important insights about the  
37 mechanisms that shape patterns of genetic variation. Strong population genetic  
38 divergence above and below about 3000m has been documented for multiple  
39 protobranch bivalves in the western North Atlantic. One possible explanation for  
40 this congruent divergence is that the Deep Western Boundary Current (DWBC),  
41 which flows southwestward along the slope in this region, entrains larvae and  
42 impedes dispersal between the upper/middle slope and the lower slope or abyss. We  
43 used Lagrangian particle trajectories based on an eddy-resolving ocean general  
44 circulation model (specifically FLAME - Family of Linked Atlantic Model Experiments)  
45 to estimate the nature and scale of dispersal of passive larvae released near the sea  
46 floor at 4 depths across the continental slope (1500, 2000, 2500 and 3200 m) in the  
47 western North Atlantic and to test the potential role of the DWBC in explaining patterns  
48 of genetic variation on the continental margin. Passive particles released into the  
49 model DWBC followed highly complex trajectories that led to both onshore and  
50 offshore transport. Transport averaged about 1 km d<sup>-1</sup> with dispersal kernels  
51 skewed strongly right indicating that some larvae dispersed much greater distances.  
52 Offshore transport was more likely than onshore and, despite a prevailing  
53 southwestward flow, some particles drifted north and east. Dispersal trajectories  
54 and estimates of population connectivity suggested that the DWBC is unlikely to  
55 prevent dispersal among depths, in part because of strong cross-slope forces

56 induced by interactions between the DWBC and the deeper flows of the Gulf Stream.  
57 The strong genetic divergence we find in this region of the Northwest Atlantic is  
58 therefore likely driven by larval behaviors and/or mortality that limit dispersal, or  
59 local selective processes (both pre and post-settlement) that limit recruitment of  
60 immigrants from some depths.

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62 **Keywords:** Dispersal, population connectivity, circulation model, North Atlantic,  
63 protobranch bivalve, deep-sea

64

## 65 **1. Introduction**

66 Understanding how populations are connected through dispersal is of fundamental  
67 importance in ecology, evolution, conservation and management, and will play a crucial  
68 role in predicting how organisms might respond to contemporary anthropogenic stresses.  
69 From an evolutionary perspective, dispersal influences gene flow among populations,  
70 which in turn affects genetic diversity, phylogeographic patterns, adaptation to local  
71 selective pressures, and ultimately the likelihood of speciation (reviewed in Nosil, 2012).  
72 At an ecological scale, dispersal can influence demographic processes (Roughgarden et  
73 al., 1985), source-sink dynamics (Holt, 1985), metapopulation (Hanski ,1999) and  
74 metacommunity persistence (Leibold et al., 2004), the maintenance of biodiversity  
75 (Mouquet and Loreau, 2003; Hubbell 2001), the spread of invasive species (Neubert and  
76 Caswell, 2000; Byers and Pringle, 2006; Caswell et al., 2011) and play a vital role in  
77 management and conservation (Palumbi, 2003; Botsford et al., 2003; 2009; Gaines et al.,

78 2003; 2010). Connectivity links dynamics at different scales and integrates local  
79 heterogeneity affecting regional-scale dynamics and long-term persistence. Quantifying  
80 the scale over which populations are connected is vital to understand the relative  
81 importance of various ecological processes, identify the appropriate scales of  
82 environmental influence in driving population dynamics and determine how local  
83 communities might respond to environmental change.

84 The extent to which populations are connected is determined by the scale, intensity,  
85 direction and frequency of dispersal among populations as well as post-settlement  
86 processes that influence the fitness of recruits. For many sessile marine invertebrates,  
87 dispersal occurs during the larval stage. Larvae (or gametes) are released into the water  
88 column where they are dispersed by the currents due to both advective and diffusive  
89 processes. The speed, variability and direction of the currents have a strong effect on  
90 where larvae move, especially if they exhibit little behavior and disperse essentially as  
91 passive particles. However, the interaction between larval behavior and physical  
92 transport processes (Paris et al., 2007; North et al., 2008; Sakina-Dorothee et al.,  
93 2010; Morgan, 2014) as well as environmental heterogeneity in productivity, local  
94 fecundity and larval mortality (White et al., 2014) can profoundly influence the  
95 patterns and magnitude of connectivity among populations. Post-settlement processes  
96 can also alter patterns of connectivity if recruits do not survive to reproduce or have  
97 reduced fitness. Connectivity thus represents the integration of both biological and  
98 physical processes and involves complex interactions between benthic and pelagic forces.

99 Measuring connectivity in marine organisms with small propagules that drift for various  
100 lengths of time in the ocean is extremely difficult. Although the length of time larvae

101 drift in ocean currents has been estimated, how that translates to distance and  
102 direction traveled and thus connectivity among populations is not well understood.  
103 Because of its obvious importance in ecology, evolution and conservation, a number of  
104 techniques have been developed to estimate dispersal based on a variety of  
105 complementary approaches including larval ecology, hydrographic models, coupled bio-  
106 physical models and empirical estimates based on genetics and geochemistry (reviewed  
107 in Levin, 2006; Thorrold et al., 2007; Cowen and Sponaugle, 2009; Lowe and Allendorf,  
108 2010; Leis et al., 2011; Kool et al., 2013). Each technique has inherent advantages and  
109 disadvantages such that a combined approach, when possible, provides a more accurate  
110 estimate of connectivity and a more complete understanding of the forces that shape  
111 patterns of connectivity (Levin, 2006; Lowe and Allendorf, 2010; Leis et al., 2011).

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113 While considerable advances have been made in estimating dispersal in shallow-water  
114 ecosystems (e.g. Kinlan and Gaines, 2003; Bradbury et al., 2008; Shanks, 2009; Selkoe  
115 and Toonen, 2011; López-Duarte et al., 2012; Riginos et al., 2014), much less is known  
116 about dispersal in the deep ocean, except perhaps around hydrothermal vents (e.g. Marsh  
117 et al., 2001; Mullineaux et al., 2002; 2010; 2013; Adams and Mullineaux, 2008;  
118 McGillicuddy et al., 2010). Recent estimates of the scale of dispersal in deep-sea  
119 organisms based on Planktonic Larval Duration (PLDs – e.g. Young et al., 2012) or  
120 genetic patterns of isolation by distance (Baco et al., 2015) suggest larvae can disperse  
121 100s of km and are quite similar to shallow-water organisms in dispersal distance, despite  
122 lower temperatures that likely extend PLDs (e.g. O'Connor et al., 2007; Peck et al., 2007;  
123 Kelley and Eernisse, 2007) and weaker current velocities typically associated with

124 increasing depth. In the deep sea, few have estimated dispersal based on physical  
125 processes (e.g. Yearsley and Sigwart, 2011; Young et al., 2012; Sala et al., 2013) and  
126 rarely have the predictions from physical transport models and/or PLDs been compared  
127 to inferences derived from patterns of genetic variation (e.g. Henry et al., 2014). Such a  
128 combined approach provides a powerful framework to test the validity of various  
129 hypotheses and provides a more complete understanding of the potential explanations for  
130 observed patterns of genetic variation (e.g. Sotka et al., 2004; Baums et al., 2006;  
131 Galindo et al., 2006; 2010; Weersing and Toonen, 2009; White et al., 2010; Alberto et al.,  
132 2011; Sunday et al., 2014). Here we use simulated Lagrangian particle trajectories based  
133 on an eddy-resolving ocean general circulation model (specifically FLAME - Family of  
134 Linked Atlantic Model Experiments) to estimate the nature and scale of dispersal at  
135 bathyal depths in the western North Atlantic and to test the potential role of the Deep  
136 Western Boundary Current (DWBC) in explaining patterns of genetic variation on the  
137 continental margin.

138 In particular, we test the hypothesis that the strong genetic divergence at bathyal depths  
139 in the western North Atlantic might be due to the DWBC impeding gene flow between  
140 upper and lower bathyal depths. Population genetic analyses of protobranch bivalves  
141 have repeatedly indicated strong genetic breaks along depth gradients in the western  
142 North Atlantic such that populations above and below approximately 3000m are highly  
143 divergent (Etter et al., 2005; Zardus et al., 2006; Jennings et al., 2013; Glazier and Etter,  
144 2014). Populations separated by as little as 40km distance and 100m depth exhibited  
145 pronounced divergence at multiple loci (see Fig. 1). The strong divergence at such small  
146 scales is very surprising because dispersal over that distance is likely within the dispersal

147 window of their lecithotrophic larvae (Zardus, 2002; Scheltema and Williams, 2009) and  
148 no obvious topographic features exist in this region that would impede gene flow.

149 The present day DWBC flows equatorward along the continental slope between 700 –  
150 4000 m (Fig 2) with mean flows of 5-10 cm s<sup>-1</sup> (Pickart and Watts, 1990; Toole et al.,  
151 2011). The genetic break occurs within the DWBC, so one possible explanation for the  
152 observed divergence is that the relatively strong mean southwestward flow of the DWBC  
153 entrains passively (or weakly swimming) dispersing demersal larvae advecting them  
154 equatorward, preventing cross slope dispersal between the upper/middle slope and the  
155 lower slope or abyss. Despite the relatively strong mean flows oriented along the  
156 isobaths, neutrally buoyant free-drifting floats released at depth and Lagrangian  
157 simulations of particle trajectories in the DWBC suggest that circulation is highly  
158 complex and departs considerably from time-averaged mean southwestward flow (Bower  
159 and Hunt, 2000a; 2000b; Bower et al. 2009; 2011; 2013; Lozier et al. 2013). Both  
160 empirical and simulated trajectories indicate considerable mesoscale variability with a  
161 high potential of cross-slope movement (i.e. between depth regimes), especially where  
162 the DWBC interacts with the Gulf Stream and its associated eddies. The highly complex  
163 mesoscale flows and the high probability of floats and simulated particles to move  
164 across-slope raises questions about whether the DWBC impedes larval exchange between  
165 upper and lower bathyal populations. To test the hypothesis that connectivity between  
166 populations from upper and lower bathyal depths might be precluded by the DWBC, we  
167 estimated dispersal trajectories of simulated passive larvae (neutrally buoyant particles)  
168 released along a depth gradient adjacent to our genetic samples in the western North  
169 Atlantic (Fig. 1). Specifically, we examined whether particles would move across slope

170 and the distance they moved given certain PLDs.

171

## 172 **2. Methods**

### 173 2.1 Physical Transport Model

174 The ocean general circulation model used in this analysis to simulate particle trajectories  
175 is the highest resolution member of the Family of Linked Atlantic Modeling Experiments  
176 (FLAME) (Böning et al., 2006; Biastoch et al., 2008). This model uses a primitive  
177 equation, z-coordinate framework (Pacanowski, 1996) that includes isopycnal mixing,  
178 biharmonic friction and a bottom boundary layer parameterization for temperature and  
179 salinity (Beckmann and Döscher, 1997). In the vertical, the model domain is divided into  
180 45 levels whose spacing increases from 10 m at the surface to a maximum of 250 m at the  
181 deepest levels. The ETOPO5 digital bathymetric database defines the seafloor for the  
182 model. This regional model spans 18°S to 70°N on a Mercator grid with a resolution of  
183  $1/12^\circ$  latitude x  $1/12^\circ \cos(y)$  longitude, where y is latitude. The initial temperature and  
184 salinity fields of the model are specified by the superposition of January 1990 monthly  
185 mean anomalies (Levitus et al., 1994a,b) and annual means (Boyer and Levitus, 1997).  
186 During the simulation, sea surface salinity was restored to the monthly climatology with a  
187 15-day time scale. At the open boundaries of the model, temperature and salinity were  
188 maintained at climatological values. Flow through the southern boundary was specified  
189 by the Sverdrup relation while the northern boundary transport was based on output from  
190 a regional Arctic Ocean model (Brauch and Gerdes, 2005). The model was spun up from  
191 rest with 10 yrs of ECMWF (European Center for Medium-Range Weather Forecasting)



192 climatological forcing. The model was then forced with a superposition of the 1990–2004  
193 monthly anomalies of the NCEP/NCAR (National Center for Environmental  
194 Prediction/National Center for Atmospheric Research) reanalysis data (Kalnay et al.,  
195 1996) and the climatological forcing applied during the spin up. Model temperature,  
196 salinity, and velocity fields were stored as snapshots once every 3 days during the 1990–  
197 2004 period.

198 Numerical trajectories of Lagrangian particles were calculated offline by integrating the  
199 FLAME three-dimensional velocity field (Getzlaff et al., 2006; Hüttl-Kabus and Böning,  
200 2008). More information about the trajectory calculation algorithm is documented in  
201 Gary et al. (2011). Since vertical velocity information was not stored during the original  
202 model run to conserve space, the vertical integral of the horizontal velocity divergence is  
203 used to determine the vertical velocity at each time step.

204 FLAME output has been shown to compare favorably with observations in several  
205 studies. Eden and Böning (2002) found good agreement in the width, maximum velocity  
206 and transport of the mean boundary currents (West Greenland and Labrador Currents)  
207 and with the spatial distribution, magnitude and seasonality of surface eddy kinetic  
208 energy (EKE) in the Labrador Sea. Böning et al. (2006) showed that FLAME reproduced  
209 the gradual increase in sea surface height in the Labrador Sea following the switch in the  
210 sign of the North Atlantic Oscillation (NAO) index after 1994 that was observed with  
211 altimetric sea surface height measurements (Hakkinen and Rhines, 2004), as well as the  
212 decadal trends in the transport of the DWBC observed with current meters at 53°N  
213 (Dengler et al., 2006). Getzlaff et al. (2006) found good agreement between FLAME and  
214 direct observations of the mean western boundary current transport at 53° and 43°N, as

215 well as with subsurface EKE levels at 43°N, where the model captured about 90% of the  
216 observed variability at 1500 m depth.

217 FLAME has been used to investigate particle dispersal in the subsurface North Atlantic in  
218 a number of studies (Bower et al., 2009; 2011; Burkholder and Lozier, 2011a; 2011b;  
219 2014; Gary et al., 2011; 2012; 2014; Lozier et al., 2013; Kwon et al., 2014). Particularly  
220 relevant to the present study is a quantitative comparison between Lagrangian  
221 observations in the North Atlantic DWBC and simulated particle trajectories from  
222 FLAME by Lozier et al., (2013). These authors applied the Kolmogorov–Smirnov  
223 statistical test specifically designed for Lagrangian data by van Sebille et al. (2009) to  
224 compare (a) acoustically tracked subsurface float trajectories at 3000 dbar released in the  
225 DWBC between Newfoundland and Cape Hatteras in 1994 and 1995 (Bower and Hunt,  
226 2000a, 2000b) to (b) similarly initiated numerical particle trajectories computed using  
227 FLAME. The time-varying test statistic,  $D_n$ , is the instantaneous maximum difference  
228 between cumulative probability distributions computed for the scatter of observed and  
229 simulated floats at each time step. If the trajectories in both ensembles are identical,  
230  $D_n=0$ : the maximum value of  $D_n$  is 1. The power of the van Sebille et al. (2009) test is  
231 quantified by performing Monte Carlo iterations to determine the confidence level, alpha,  
232 around the test statistic. If alpha <0.05, we reject the null hypothesis that the trajectory  
233 ensembles come from the same spatial distribution. As documented in Lozier et al.  
234 (2013), visual comparison between the observed and simulated trajectories was  
235 favorable: the simulated pathways show evidence of offshore detrainment upstream of  
236 Cape Hatteras on a spatial scale comparable to the observed pathways. Also, the along-  
237 DWBC pathways simulated by the numerical particle trajectories were qualitatively

238 similar to the observed trajectories. The time average value of  $Dn=0.26 \pm 0.05$  with a  
239 confidence level of  $\alpha=0.92 \pm 0.08$ . Lozier et al. (2013) concluded therefore that the  
240 spatial distributions of the observed and simulated trajectories were statistically  
241 indistinguishable. This result is consistent with a similar comparison between observed  
242 and simulated trajectories initiated in the DWBC near 50°N at 700 and 1500 dbar (Gary  
243 et al., 2011).

244 Figure 2a shows the time-mean model current speed perpendicular to the transect shown  
245 in Figure 1a, which coincides with "Line W", a section that was occupied with a moored  
246 array including current meters, T/S sensors and moored profilers from 2004-2014 (first  
247 four years are described in Toole et al., 2011). The four simulated particle release sites  
248 are shown by black dots with circle. The model DWBC is evident as negative mean flow  
249 blanketing the continental slope between the 400-m and 4000-m isobaths. The strongest  
250 mean DWBC flow exists at about 700 m, where it is more than 10 cm/s toward the  
251 southwest. A second velocity extremum is at 3400 m over the 3800 m-isobath, where  
252 mean current speed is about 4 cm/s. The strong northeastward mean model flow is  
253 indicative of the Gulf Stream, located just offshore of the DWBC in this location (Figure  
254 1a). For comparison, Figure 2b shows the 4-year mean along-slope current speed from  
255 the Line W current observations. The shallow and deep DWBC velocity cores in Figure  
256 2a are also apparent in the observations: centered at about 600 m over the mid-slope,  
257 where peak southwestward speeds were about 8 cm/s, and above the 3700-m isobath,  
258 where the mean DWBC speed was about twice as large as in the model at 8 cm/s. A third  
259 slightly weaker velocity core not seen in the model was observed at about the 2750-m  
260 isobath. As in the model section, the opposing Gulf Stream flow was observed by the

261 Line W array, although at a more offshore position. This data-model difference is not  
262 surprising: EGCMs are notorious for not accurately reproducing the exact Gulf Stream  
263 separation latitude. While this may impact the details of where exactly individual  
264 particles first encounter the Gulf Stream, it is not expected to significantly affect the  
265 general results for several reasons: (1) the release positions for the model particles are all  
266 well within the DWBC as defined in both the model and observations; (2) the more  
267 inshore position of the model Gulf Stream may in fact be more representative of the  
268 position of the Gulf Stream relative to the benthic sampling sites, which are closer to  
269 Cape Hatteras (Figure 1a) where the Gulf Stream is closer to the slope; and (3) Lozier et  
270 al. (2013) showed good statistical agreement between simulated and observed trajectories  
271 at 3000 m in this region.

## 272 2.2 Particle release details

273 Particle trajectories were initialized at 4 depths across the continental slope (Fig. 1) in the  
274 deepest model layer at each location, which has a thickness of 250 m. Model velocity in  
275 this layer is representative of the flow above the frictional bottom boundary layer.  
276 Particles were released every 15 days from January 1, 1990 until the end of 2004  
277 generating 360 simulated trajectories at each site. Their positions were recorded every 3  
278 days. Releases were continuous throughout the years to better capture inter-annual  
279 variability in deep-water flows and because it more closely mimics the year-round  
280 reproductive biology typical of deep-water protobranchs (Tyler et al., 1994; Sheltema and  
281 Williams, 2009). Protobranch bivalves release pericalymma larvae that are thought to  
282 disperse demersally for days to weeks (Zardus, 2002; Sheltema and Williams, 2009),  
283 although the low temperatures at bathyal depths may extend development rates and PLDs

284 (O'Connor et al., 2007; Peck et al., 2007; Kelley and Eernisse, 2007). Recent estimates of  
285 PLDs for some deep-sea invertebrate larvae exceeded one year (Young et al., 2012). To  
286 estimate how larvae might disperse from sites on the continental slope near where  
287 bivalves have been sampled, we analyzed particle distributions and potential connectivity  
288 maps at 4 time scales; one month to approximate the PLD time inferred based on  
289 shallow-water relatives, 6 months and 1 year to consider potential dispersal if  
290 development times are extended due to the lower temperatures at bathyal depths and 5  
291 years to quantify patterns based on multi-generational stepping-stone dispersal.  
292  
293 To provide a statistical description of particle trajectories (potential connectivity) we  
294 created contour maps that depict the frequency of particle visits to a particular model  
295 location (defined by a box with the same resolution as the model,  $1/12^\circ \times 1/12^\circ$ ) over a  
296 specified time scale (i.e. 30, 180, 360, 1500 days). The position of each particle was  
297 recorded every 3 days and grid box counters were incremented by the number of particle  
298 visits in each box. This provides a contour plot of the particle positions (on 3 day  
299 intervals) integrated over the first 30 (180, 360 or 1500) days. Although this allows a  
300 single particle to increment a specific grid box more than once (either due to repeat visits  
301 resulting from convoluted trajectories or by slow advection where they remain in a single  
302 grid for more than three days) it represents a quantitative picture of the integrated  
303 potential connectivity. The probability that a larva settles within a particular spatial grid  
304 should be proportional to the particle visits. Since we do not know the exact PLDs of  
305 most deep-sea organisms or when they become competent to settle, it seems prudent to  
306 estimate connectivity using PLD "windows" (e.g. 0-30 days, 0-180 days, etc.).

307

308

### 309 **3. Results**

#### 310 3.1 Trajectories

311 Individual particle trajectories indicated that neutrally buoyant particles did not typically  
312 remain trapped in the mean southwest flow of the DWBC, but instead followed complex,  
313 highly convoluted paths that often resulted in cross slope transport (Fig. 3). While initial  
314 particle transport was often southwest, particles soon began to drift more eastward or  
315 westward moving across slope, indicating dispersal across depth regimes was possible.  
316 Off-shore transport appeared to be considerably more likely than on-shore, although both  
317 occurred.

318

#### 319 3.2 Potential Connectivity Maps

320 The trajectory contour maps (Fig. 4-7) depict the frequency of particle visits at a specific  
321 model location providing an estimate of potential connectivity - where passive-dispersing  
322 larvae could have settled during a particular dispersal time frame (e.g. during the first 30  
323 days). Essentially, these figures represent average (integrated over 15 years – 1990-2004)  
324 potential connectivity maps. Through time the contour maps show how the cloud of  
325 particles spread and how connectivity might change with different PLDs. The figures  
326 also include the position of particles (orange dots) at a specific time (30, 180, 360 or 1500  
327 days).

328

329 After 30 days (Fig. 4), the connectivity maps and particles overlap among adjacent depths  
330 indicating they are likely to exchange some larvae despite the clear influence of the  
331 DWBC. The least overlap occurs between the two deepest stations, which were  
332 separated by somewhat larger distances (99 km). However, at longer time scales (Fig. 5-  
333 7) the density maps overlap considerably suggesting even the two deeper sites would be  
334 well connected.

335

336 The influence of the DWBC was most intense at the shallowest release points (1500 and  
337 2000 m) and during the first 30 days as shown by the shape of the connectivity maps and  
338 the position of the particles (Fig. 4). However, even at these depths and short time  
339 frames, some particles moved north and east from the release points, against the  
340 prevailing flow due to mesoscale variability. As with the individual particle trajectories  
341 (Fig. 3), these synoptic patterns indicate that initial dispersal is southwestward, but  
342 through time is strongly influenced by cross-slope processes that result in a more  
343 eastward spreading cloud (Fig. 5-7). For example, at 1500 m, particles drifted primarily  
344 southwestward along slope with little cross-slope transport for the first 30 days (Fig. 4).  
345 By 180 days (Fig 5), across-slope transport increased with many particles dispersing  
346 eastward from the release point. By 1500 days (Fig. 7), transport includes many  
347 trajectories that spread north and east, probably because they were entrained in the deep  
348 flows of the Gulf Stream and were advected northeast (see also Bower and Hunt, 2000a,  
349 2000b). Surprisingly, for particles released at 1500m, relatively few trajectories made it  
350 south of 30° N.

351

352 In contrast, at 3200m, the initial spread of particles (first 30 days) is much more uniform  
353 around the release point, probably because of the weaker bottom slope and/or weaker  
354 mean flows compared to the variability at this depth (Fig. 4). By 180 or 360 days (Fig. 5-  
355 6), dispersal appears largely similar to that at 1500m, but with a somewhat reduced  
356 southwestward drift. Interestingly, by 1500 days, the deeper sites experience a much  
357 greater southwestward drift, with many trajectories moving south of 30°N, probably  
358 because the particles have slipped under the deeper flows of the Gulf Stream and were  
359 advected southwest by the DWBC (Bower and Hunt, 2000a; 2000b). The trajectories at  
360 3200m also include a considerable number that have moved eastward and some that have  
361 moved westward onshore. Table 1 gives the percentage of particles at each release depth  
362 that are offshore (in deeper water) of their release isobath after each of the time steps  
363 examined. Particles are transported offshore more quickly at the shallower depths, and  
364 after 30 days, the deepest site shows a slight onshore tendency. These results are  
365 consistent with the idea that the Gulf Stream presents a more formidable barrier to  
366 continuous southwestward transport along the slope in the DWBC for the shallower  
367 particles (Bower and Hunt, 2000a, b).

368

369 In general, advection to the southwest appears to be a function of depth, with greater  
370 southwest transport for the shallower sites during the first 360 days, especially the first 30  
371 days (note the shape and dimensions of the red regions). By 1500 days, the pattern  
372 reverses with greater southwest transport for the deeper release points and a surprising  
373 northeastward spread for the shallowest site. At all depths, some trajectories moved  
374 across slope through time.



375

### 376 3.3 Particle Displacement

377 If we consider only displacement from the release points, the distance traveled by  
378 particles varied with depth, but not in a simple predictable manner. The mean distance of  
379 particles from their release point after 30 days was greatest for the 2000 and 3200 m sites  
380 and least at 2500 m (Fig. 8). After 180 days, particles released at the two shallower  
381 depths (1500 and 2000 m) were displaced further than those at the deeper sites, and this  
382 was also true at 360 days. By 1500 days, displacements were similar for the 3 deepest  
383 release points and somewhat smaller for the shallowest depth.

384 The distribution of displacement distances typically had strong modes and were skewed  
385 right with a long tail of particles that dispersed much greater distances than the mean.  
386 After 30 days, the mean displacement was 27-58 km (depending on release depth), but  
387 some particles were more than 200 km from the release point. Similarly, after 1500 days,  
388 the mean displacement was  $\approx$  1100-1400 km, but some particles traveled nearly 5000 km  
389 from their release point.

390

## 391 **4. Discussion**

### 392 4.1 Dispersal Rates and Geography

393 Despite its importance to the ecology, evolution, and conservation of deep-sea organisms,  
394 little is known about how larvae might disperse at depth in the deep ocean and what  
395 implications that might have for the nature, scale and intensity of connectivity. Our

396 results are based on passively dispersing neutrally buoyant particles that provide a  
397 qualitative picture of how the physics might move larvae, without any biology. Larvae  
398 are unlikely to remain passive or neutrally buoyant during development, so the results  
399 provide an important initial null model of how deep-water currents might affect dispersal.

400 The numerical simulations indicated that larvae would disperse on average about 1-2 km  
401  $d^{-1}$  at mid to lower bathyal depths in the western North Atlantic. This is considerably less  
402 than dispersal estimates based on numerical simulations of coastal circulation in shallow  
403 water ( $< 200$  m) (Siegel et al., 2008, Mitari et al., 2009, Watson et al., 2010, Drake et al.,  
404 2011, Kim and Barth, 2011) and often less than what has been found at shallower bathyal  
405 depths (Yearsley and Sigwart, 2011; Young et al., 2012; Sala et al., 2013). For example,  
406 simulated passive dispersal based on models of coastal circulation varied from 3-7 km  $d^{-1}$   
407  $d^{-1}$ , depending on depth (1-75 m), along the Oregon coast (Kim and Barth, 2011) and 2-8  
408 km  $d^{-1}$  for depths  $< 20$  m along the California coast (Drake et al., 2011). Even at deeper  
409 upper bathyal depths median dispersal rates were 1-6 km  $d^{-1}$ , depending on depth (100 or  
410 500 m) and taxon, in the Northwest Atlantic and Gulf of Mexico (Young et al., 2012),  
411 while dispersal rates were 1- 4 km  $d^{-1}$  at 800-1440 m in the tropical South Pacific  
412 (Yearsley and Sigwart, 2011) and only about 0.5 km  $d^{-1}$  at 600-2000m in the Northeast  
413 Atlantic (Sala et al., 2013). At abyssal depths, dispersal rates are likely to be significantly  
414 less because the currents are substantially slower (Hogg and Owen 1999). Dispersal rates  
415 in general appear to decline with depth, however, the distances larvae disperse and the  
416 degree of connectivity will also depend on PLDs, which are likely to be longer in the  
417 deep sea due to slower developmental rates at lower temperatures (O'Connor et al.,  
418 2007). The PLDs of some deep-water taxa are greater than a year and can exceed 600

419 days (Arellano and Young, 2009; Bennett et al., 2012; Young et al., 2012).

420 Although the mean distance our simulated particles dispersed was relatively small, the  
421 dispersal kernel was skewed strongly to the right with some particles dispersing much  
422 greater distances – up to 4-times the mean (Fig. 8). Rare long distance transport of larvae  
423 may have little impact demographically, but play an important role on longer time scales  
424 because it can maintain evolutionary-connectivity among distant populations, affect the  
425 spatial and temporal scales of divergence, foster range shifts or expansions, enhance  
426 metapopulation and metacommunity persistence, and provide a mechanism to escape  
427 localized disturbances (Trakhtenbrot et al., 2005; Nathan, 2006; Hellberg, 2009).

#### 428 4.2 Genetic Patterns, Connectivity and the Influence of the DWBC

429 Both the individual particle trajectories and their distributions indicate that the DWBC is  
430 unlikely to impede larval exchange between upper and lower bathyal depths in this region  
431 of the Northwest Atlantic. This is consistent with empirical estimates of dispersal from  
432 floats released within the DWBC (Bower and Hunt, 2000a; 2000b; Bower et al., 2009;  
433 Bower et al., 2011; 2013) and with simulated trajectories (based on FLAME) from  
434 thousands of e-floats released into the DWBC at various locations within the North  
435 Atlantic (Bower et al., 2009; Gary et al., 2011; Lozier et al. 2013). Most trajectories were  
436 highly convoluted and departed significantly from the mean southwestward flow of the  
437 DWBC. Movement across depths (east or west) was common indicating that the DWBC  
438 is unlikely to prevent the exchange among depths of passively dispersing larvae,  
439 assuming larvae survive the environmental changes (e.g. temperature, pressure, etc.) that  
440 attend changes in depth.

441 The cross-slope dispersal of particles documented here and in earlier work is not  
442 necessarily representative of the entire continental slope of the western North Atlantic,  
443 but nor is it unique. The primary cause of the large cross-slope excursions in the vicinity  
444 of the bottom sampling sites is interaction between the DWBC and Gulf Stream. At about  
445 35N, the present-day Gulf Stream curves from its northward path toward the northeast  
446 and crosses the continental slope and proceeds generally eastward over deep water. This  
447 separation latitude is not fixed but wanders north and south due to meandering of the  
448 Gulf Stream. Particles being carried southwestward by the DWBC over the mid- and  
449 upper-slope north of the separation point are almost always entrained into the Gulf  
450 Stream as the two currents converge near the separation latitude. This results in particles  
451 being swept offshore into deeper water (see Bower and Hunt, 2000a; 2000b).

452 On the other hand, particles being advected by the deeper part of the DWBC are  
453 frequently able to pass under the Gulf Stream and continue equatorward, but this too is  
454 accompanied by cross-slope motion: conservation of potential vorticity (approximated  
455 accurately at these depths by  $f/H$ , where  $f$  is the Coriolis parameter and  $H$  is the water layer  
456 thickness) dictates that the deep part of the water column slide down the slope by  
457 hundreds of meters in order to slip beneath the deep thermocline of the subtropical gyre  
458 (Hogg and Stommel, 1985; Bower and Hunt, 2000a; 2000b). These particles may then  
459 continue equatorward over the slope but following a deeper isobath. This might also help  
460 to explain the genetic similarity between North and South Atlantic populations of the  
461 protobranch bivalve *Nucula atacellana* at lower bathyal depths (Zardus, 2006).

462 Disruption of along-slope flow of the DWBC by another current has also been well-  
463 documented with observations around the Grand Banks of Newfoundland and Flemish

464 Cap, where the Gulf Stream and its northward extension, the North Atlantic Current  
465 sometimes cross the continental slope and interact with the DWBC transport (Lavender et  
466 al., 2000; Fischer and Schott, 2002; Rhein et al., 2002; Bower et al., 2009; 2011). Sharp  
467 corners in the continental slope have also been shown to cause cross-slope motion of float  
468 trajectories in the DWBC and even detrainment of the particles from the DWBC entirely  
469 (Leaman and Vertes, 1996; Bower et al., 2013), likely due to inertial overshoot of the  
470 sharp corner (see Bower et al., 1997 and references therein). In between regions of  
471 current interactions and sharp bathymetric features, the DWBC in the western North  
472 Atlantic generally flows mostly uninterrupted for hundreds of kilometers over the  
473 continental slope, impeded from crossing the slope by potential vorticity (see examples  
474 in Leaman and Vertes, 1996; Bower and Hunt, 2000a). These are regions where the  
475 DWBC is most likely to impede larval exchange among depths. The locations of  
476 enhanced cross-slope motions may have been different in the distant past when the Gulf  
477 Stream may have separated at more southerly latitudes (e.g., Keffer et al., 1988) with  
478 implications for how deep-water flows might influence connectivity over geological time.

479 Given the results from both modeled and empirical float estimates of dispersal, it seems  
480 unlikely that the strong genetic divergence we find among bivalve populations above and  
481 below 3000m in the western North Atlantic (Chase et al., 1998; Etter et al., 2005; Zardus  
482 et al., 2006; Jennings et al., 2013; Glazier and Etter, 2014) reflects the restriction of gene  
483 flow by the DWBC. If populations at different depths are well connected and dispersal  
484 among depths is ongoing, how can such divergence emerge? The lack of obvious  
485 physical transport mechanisms that would impede larval exchange and the small scale  
486 over which divergence has occurred suggest selection may be involved.

487 Recent theoretical and empirical evidence clearly demonstrate that despite ongoing gene  
488 flow a variety of mechanisms can lead to diversification (reviewed in Nosil, 2012) and  
489 that these processes might be considerably more important for population differentiation  
490 and species formation in marine environments where physical barriers to gene exchange  
491 are less common (Bowen et al., 2013). For example, adaptation to local environmental  
492 conditions with ongoing gene flow (Doebeli and Dieckmann, 2003; Irwin, 2012) can lead  
493 to immigrant inviability (Nosil et al., 2005; Marshall et al., 2010), which will reduce gene  
494 flow and promote divergence. It is possible that larvae disperse among depths, but lack  
495 the necessary local adaptations to survive or reproduce.

496 Emerging phylogeographic patterns in the deep sea suggest that environmental gradients  
497 paralleling changes in depth may provide one of the primary mechanisms mediating  
498 population differentiation and species formation in deep-water ecosystems (Etter et al.,  
499 2005; Baco and Cairns, 2012; Jennings et al., 2013; Quattrini et al., 2013). Depth  
500 differences are associated with changes in a wide variety of environmental variables  
501 including temperature, hydrostatic pressure, oxygen, POC flux, habitat heterogeneity,  
502 trophic complexity and the nature and amount of food (reviewed in Gage and Tyler,  
503 1991). These environmental changes have been invoked as key forces in regulating  
504 bathymetric distributions (Carney, 2005), altering ecological processes (Levin et al.,  
505 2001), shaping major macroecological patterns (reviewed in Rex & Etter, 2010),  
506 fostering adaptation (e.g. Somero, 1992; Levin, 2003; Brown & Thatje, 2014), and  
507 promoting diversification (Etter et al., 2005; Jennings et al., 2013). Widespread and  
508 consistent divergence across depth gradients suggests depth and its concomitant  
509 environmental gradients may also play an important role in the origin and evolution of

510 the deep-sea fauna.

### 511 4.3 Paleo-oceanography

512 Our estimates of dispersal and connectivity are based on the contemporary  
513 hydrodynamics of the North Atlantic. The probability that larval exchange occurs among  
514 depths is a function of the intensity of the DWBC and the strength of cross slope  
515 processes. The oceanography of the North Atlantic and in particular the intensity of the  
516 DWBC (Boyle and Keigwin, 1982; Keigwin and Pickart, 1999; McManus et al., 2004;  
517 Lippold et al., 2012) and the position and strength of the Gulf Stream (Keffer et al.,  
518 1988) have varied through time. It is possible that a more intense DWBC in the past  
519 disrupted gene flow between depth regimes long enough for populations to diverge in  
520 regions where cross-slope processes are weak (e.g. away from sharp bathymetric features  
521 or interactions with the Gulf Stream). If divergence in the past was sufficient to prevent  
522 recruitment of larvae from contrasting depth regimes, then even though the contemporary  
523 flows of the DWBC allow larval exchange between depths now, gene flow might be  
524 precluded due to migrant inviability (sensu Nosil et al., 2005). Molecular clock estimates  
525 of the observed genetic divergence between upper and lower bathyal populations in the  
526 protobranch *Nucula atacellana* suggest a recent split 1 mya (Jennings et al., 2013), during  
527 which time the DWBC varied considerably in intensity (Boyle and Keigwin 1982;  
528 Keigwin and Pickart, 1999; McManus et al., 2004; Lippold et al., 2012). The  
529 protobranch *Neilonella salicensis* also exhibits a strong genetic break between depths in  
530 the same general vicinity, but molecular clock estimates of divergence between shallow  
531 and deep clades indicate gene flow has been absent for more than 15 million years  
532 (Glazier and Etter, 2014). Interestingly, the formation of the North Atlantic Deep Water,

533 which drives the DWBC, has progressively weakened over the past 3 million years and  
534 was considerably stronger 3 to 14 mya (Frank et al. 2002). Our estimates of divergence  
535 time in these bivalves coincide with this period of stronger export. As global climate  
536 shifted historically and thermohaline circulation waxed and waned the DWBC may have  
537 periodically disrupted gene flow among populations at different depths fostering repeated  
538 rounds of species formation. If true, we should expect other taxa with distributions that  
539 span the DWBC to exhibit diversification at similar times. In addition, the waxing and  
540 waning of the DWBC might act essentially as a speciation pump by repeatedly disrupting  
541 gene flow in regions of weak cross-slope forces, which might help explain the well  
542 known peak in diversity at bathyal depths in the western North Atlantic.

#### 543 4.4 Caveats

544 Although the estimates of dispersal presented here represent a reasonable first  
545 approximation of how larvae might disperse at depth, a number of factors have not been  
546 included that are likely to alter dispersal and the scale and intensity of connectivity. They  
547 were excluded for simplicity and because we lack reasonable estimates of those factors.  
548 For example, larval behavior such as tidal, diurnal or ontogenetic migration can  
549 dramatically alter the scale and direction larvae disperse (Drake et al. 2013; Morgan  
550 2014). This often depends on stratified water columns where vertical migration over  
551 relatively small scales allows larvae to modulate dispersal by exploiting water masses  
552 moving at different rates or directions. In the deep sea, stratification is less,  
553 environmental cues are less pronounced (e.g. diurnal, tidal) and larvae would in general  
554 need to migrate over much greater distances to find water masses that differ significantly  
555 in speed or direction (e.g. DWBC vs Gulf Stream, Fig. 2). We know little about the



556 behavior of deep-sea larvae, but recent evidence identified bathyal mussel larvae  
557 (*Bathymodiolus*) in the surface waters (Arellano et al. 2014), suggesting such vertical  
558 migrations are possible. Larvae of other deep-sea taxa have also been found in surface  
559 waters (Reviewed in Scheltema, 1994; Bouchet and Waren, 1994; Young, 2003). The  
560 scale and geography of dispersal for larvae in the surface currents would be substantially  
561 different than those dispersing at depth. While dispersing in the surface currents might be  
562 possible for some deep-sea taxa, many species are confined to deep water because their  
563 larvae cannot tolerate the low pressure and high temperature of near-surface waters  
564 (Young and Tyler, 1993; Young et al., 1996; 1998; Brooke and Young, 2009; Bennett et  
565 al., 2012). Demersal larvae might also exploit the slower flows of the benthic boundary  
566 layer to limit dispersal away from natal sites.

567 Another important factor not included in our simulation is how and when larvae descend  
568 through the water column to settle, which might involve considerable changes in depth  
569 and water masses for larvae that migrate ontogenetically to surface waters or for those  
570 advected from the slope into deeper waters. Settlement might be active (e.g. swimming)  
571 or passive (e.g. density changes) (reviewed in Young, 2003), and could alter dispersal  
572 and how populations are connected. Better estimates of dispersal and connectivity in the  
573 deep sea will require more details about larval behavior and development at depth. In  
574 addition, spatial variation in fecundity, mortality during the larval phase and larval  
575 physiological tolerance needs to be included because they can influence dispersal and  
576 population connectivity (Treml et al., 2012; White et al., 2014).

577 Our estimates of dispersal and connectivity are also dependent on the quality of the  
578 hydrographic model driving dispersal. It is important to keep in mind that the resolution

579 of the physical transport model might be inadequate to capture all the forces affecting  
580 dispersal on the scale of minute larvae. Biophysical models can be enormously insightful  
581 in understanding how transport processes might influence dispersal (e.g. Xue et al., 2008;  
582 Siegel et al., 2008; Inzce et al., 2010; Watson et al., 2010; Drake et al., 2011) and to  
583 explore how larval behaviors and life histories might affect connectivity (Drake et al.,  
584 2013; Morgan, 2014; Treml et al., 2012; White et al., 2014). However, before using them  
585 directly to estimate potential impacts of contemporary environmental issues (e.g. resource  
586 exploitation, mining, etc.) or to guide conservation strategies (e.g. MPA design), they  
587 need to be empirically validated on both ecological and evolutionary time scales  
588 (reviewed in Levin, 2006; Kool et al., 2013). Trace element signatures using calcified  
589 structures (e.g. López-Duarte et al., 2012) or genetic analyses of early recruits (e.g. Jones  
590 et al. 2005) could be used to estimate connectivity on ecological (demographic) time  
591 scales. On longer evolutionary time scales, estimates of population genetic divergence  
592 (e.g. Galindo et al., 2006; 2010; Weersing and Toonen, 2009; White et al., 2010; Alberto  
593 et al., 2011) can provide insight into average long-term connectivity.

#### 594 4.5 Conclusions

595 The results presented here provide one of the first estimates of how passive larvae might  
596 disperse at deeper bathyal depths in the western North Atlantic and quantifies the scale  
597 and geography of how populations might be connected. Unraveling how populations are  
598 connected is critical for explaining biogeographic patterns of diversity (Levin and Dayton  
599 2009; Gooday et al., 2010), predicting how deep-sea ecosystems might respond to  
600 climate change (Danovaro et al., 2008; 2009; Glover et al., 2010), developing  
601 conservation and management strategies to mitigate the intense exploitation of deep-sea

602 resources (Ramírez-Llodra et al., 2011; Levin and Sibuet, 2012; Mengerink et al., 2014;  
603 Pusceddu et al., 2014) and identifying appropriate locations and scales for MPAs (Harris  
604 and Whiteway, 2009; Clark et al., 2011; Watling et al., 2013).

605

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1031 Table 1: Percentage of particles that are located offshore of release depth (i.e., in  
1032 deeper water) as a function of release depth and time.  
1033

Release Depth (m)	30 days	180 days	360 days	1500 days
1500	81	98	99	100
2000	90	92	98	98
2500	51	79	83	98
3200	38	55	68	92

1034  
1035



1036 **Figure Legends**

1037

1038 Figure 1. a) Map of the locations where previous genetic work was conducted (squares)  
1039 with station numbers given next to each box and the locations where simulated  
1040 trajectories were initiated for Lagrangian estimates of dispersal and connectivity (circles).  
1041 The solid dark rectangle indicates the location of the Line W moored array (Toole et al.  
1042 2011). DWBC and Gulf Stream paths are illustrated schematically by blue and red block  
1043 arrows, respectively. Isobaths are shown every 500 m. Note that the main genetic  
1044 breaks in protobranch bivalves occurred between stations 9 and 14. b) Multilocus  
1045 phylogenetic relationships among individuals from shallow (stations 4, 5, 6, 7, and 9)  
1046 and deep (10, 17, 18) stations for *Deminucula atacellana* based on five loci (from  
1047 Jennings et al. 2013). c) Multilocus phylogenetic relationships among individuals from  
1048 shallow (6, 7, and 10) and deep (14, 17, 18) stations for *Neilonella salicensis* based on  
1049 three loci (from Glazier and Etter 2014).

1050

1051 Figure 2. (a) Section of time mean current speed perpendicular to the Line W section  
1052 from 15-year run of FLAME. Circled black dots indicate model grid points where  
1053 simulated trajectories were initiated. (b) Measured flows derived from the Line W array  
1054 (From Toole et al. 2011; current meters are indicated by black dots,  
1055 temperature/conductivity meters are indicated by green dots) across the same transect in  
1056 (a). Velocity is color coded with negative values indicating southwestern flow and  
1057 positive values northeastern flow. The similarity indicates that the major flow features  
1058 are well characterized in the circulation model.

1059

1060 Figure 3. Ten sample trajectories of neutrally buoyant particles released at 1500 m (a),  
1061 2000 m (b), 2500 m (c) and 3200 m (d) depth in the western North Atlantic. The open  
1062 circle indicates the release point. Trajectories are color-coded based on time since  
1063 release: 0-30 days – red, 31-180 days – green, 181-360 days – blue. Isobaths every  
1064 1000m are color-coded black, cyan, yellow, and brown respectively.

1065

1066 Figure 4. Potential connectivity maps of 360 particles after 30 days for different release  
1067 depths in the DWBC. The shading indicates the number of particle visits at a specific  
1068 model grid point (defined by a box with the same resolution as the model,  $1/12^\circ \times 1/12^\circ$ )  
1069 during the first 30 days after release. The warmer the color, the more particles visited that  
1070 grid box. The position of each particle at 30 days after release is shown as an orange dot  
1071 (note that panel axes were chosen so that the structure of the contours was clear, which  
1072 meant that some orange end point dots fell outside the panel axes). A circle with an X  
1073 indicates the release point. Open circles depict the other three release points used in the  
1074 study. Isobaths are depicted by thin black lines every 1000m.

1075

1076 Figure 5. Potential connectivity maps for different depths of release after 180 days.  
1077 Details and color codes as described in Fig. 4.

1078

1079 Figure 6. Potential connectivity maps for different depths of release after 360 days.  
1080 Details and color codes as described in Fig. 4.

1081

1082 Figure 7. Potential connectivity maps for different depths of release after 1500 days.  
1083 Details and color codes as described in Fig. 4.  
1084  
1085 Figure 8. Particle displacement distributions. The distance of particles from their release  
1086 point (measured as a straight-line distance) after 30, 180, 360 or 1500 days. The lines  
1087 indicate the number of particles at different distances from their release point and are  
1088 color-coded based on release depth. Inset bar graphs indicate the mean and standard  
1089 error (colored bars with blue error bars) and median (black lines) displacement of  
1090 particles after a specific number of days as a function of release depth. (dst = distance).  
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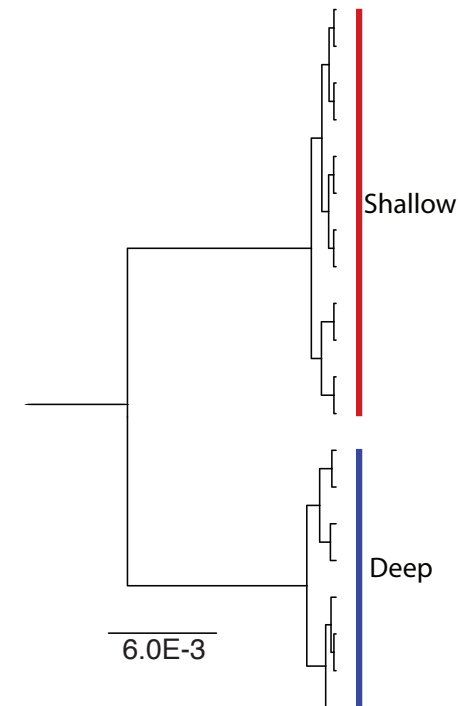
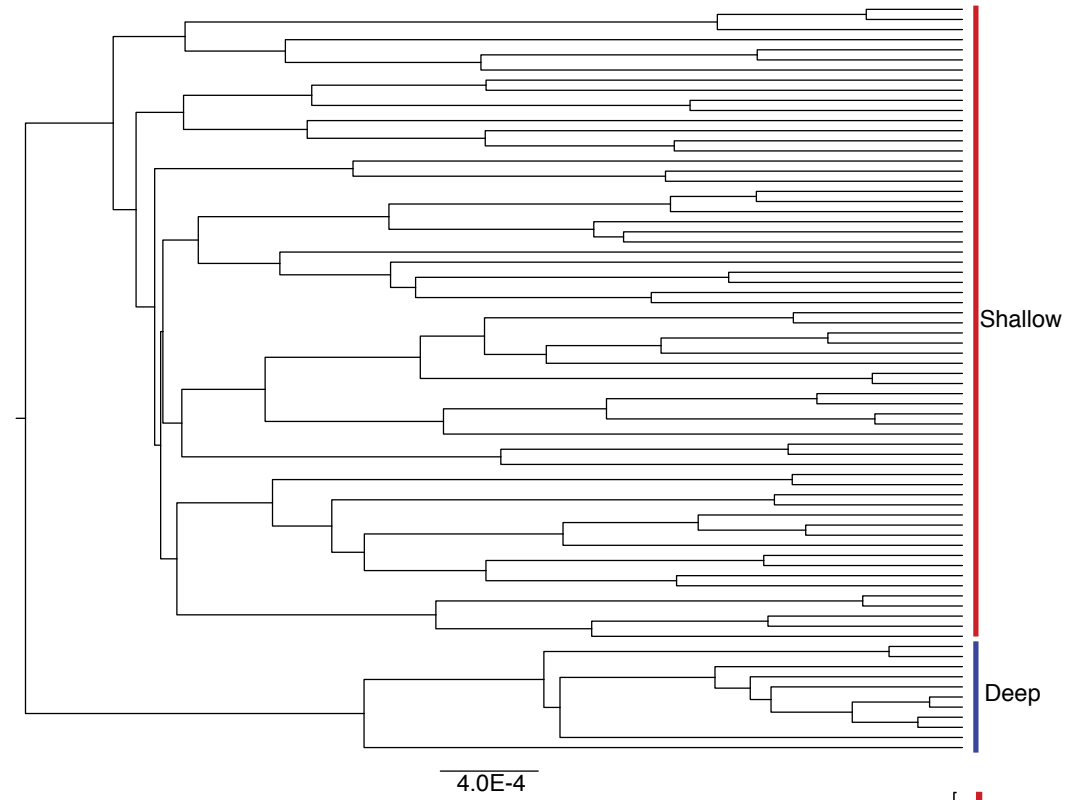
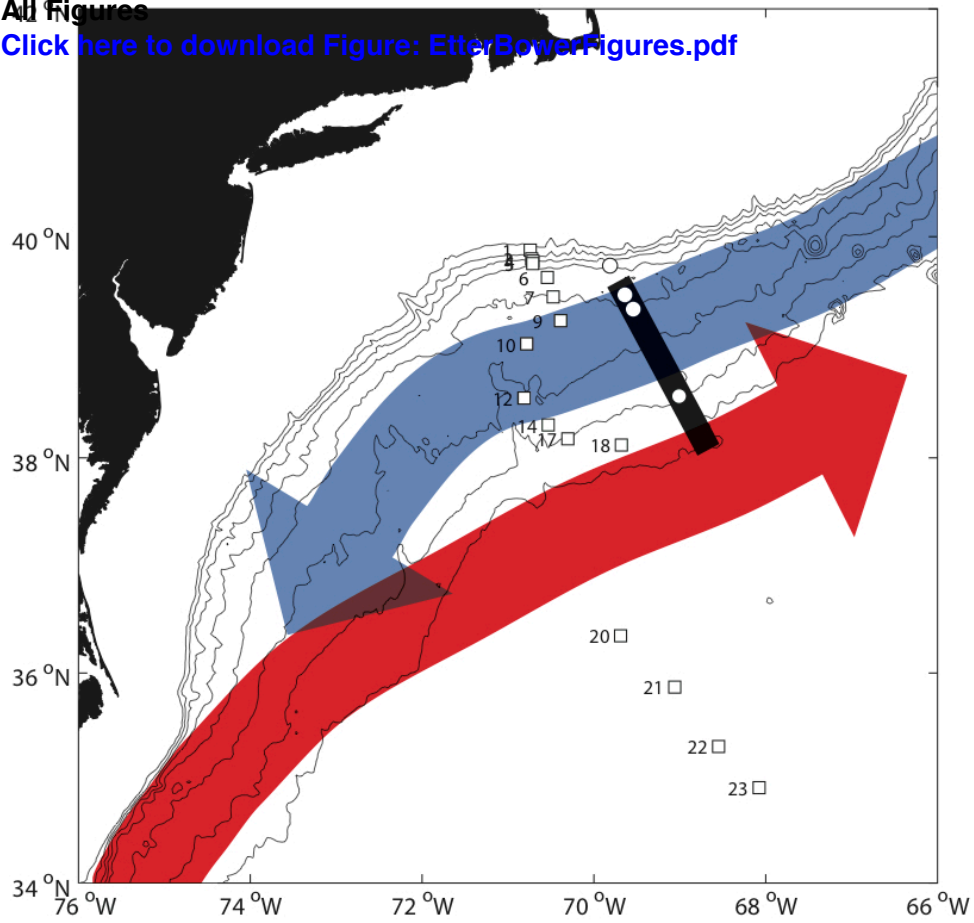


Figure 1.

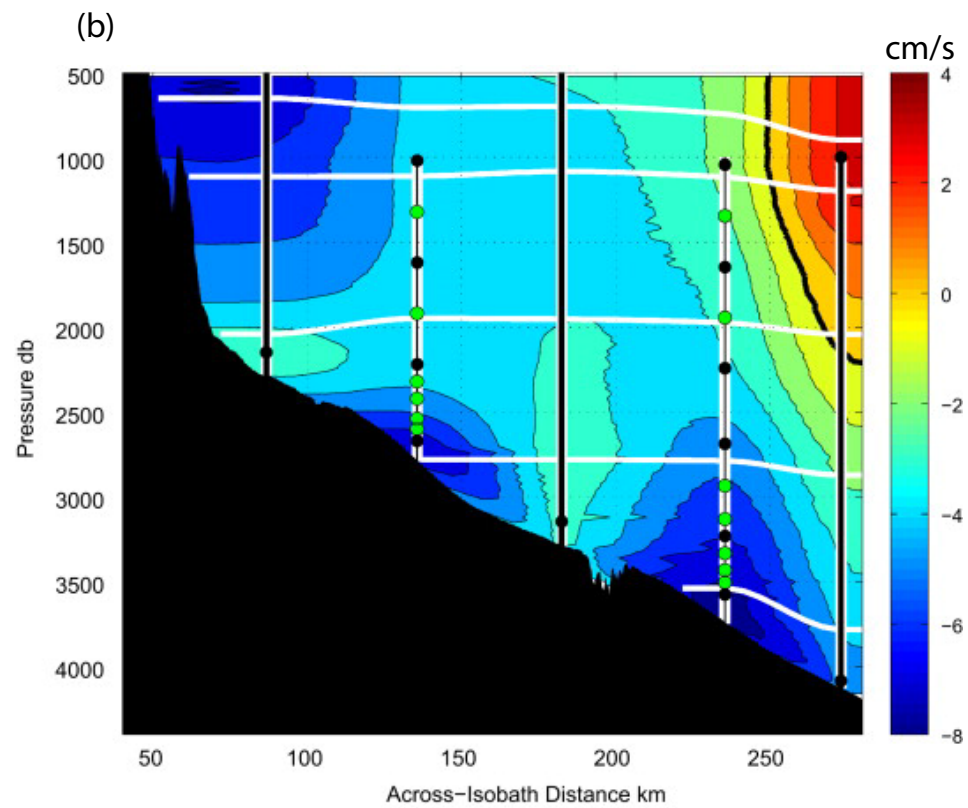
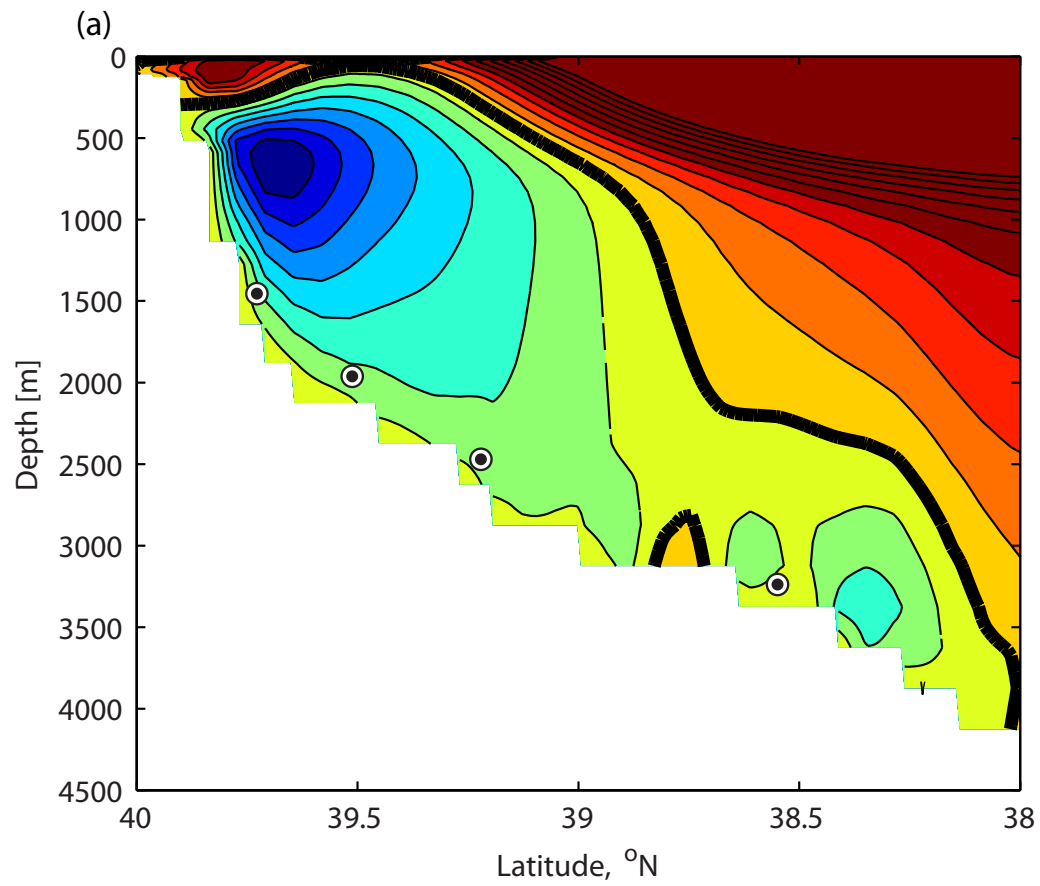


Figure 2

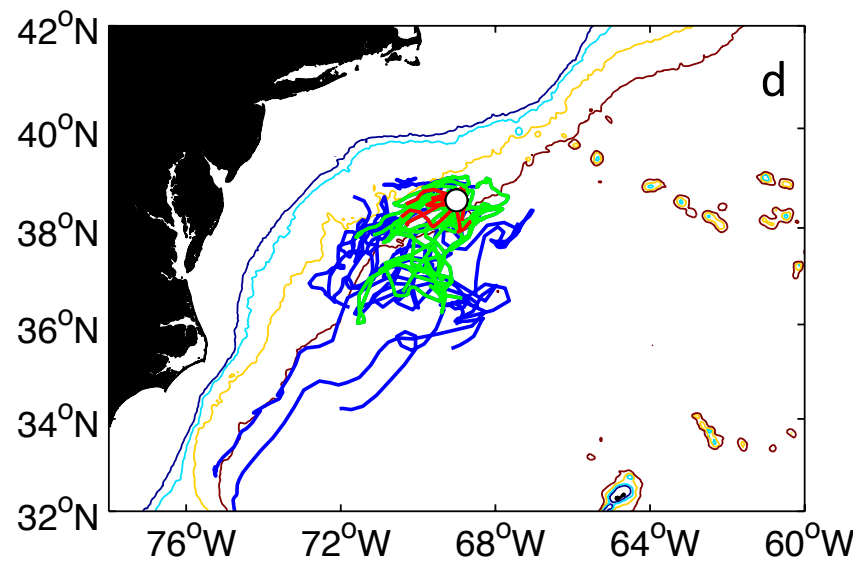
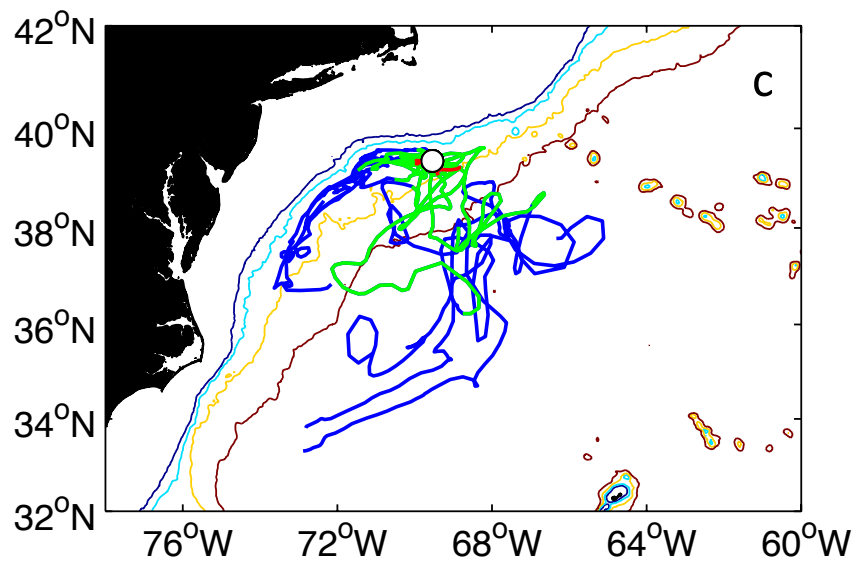
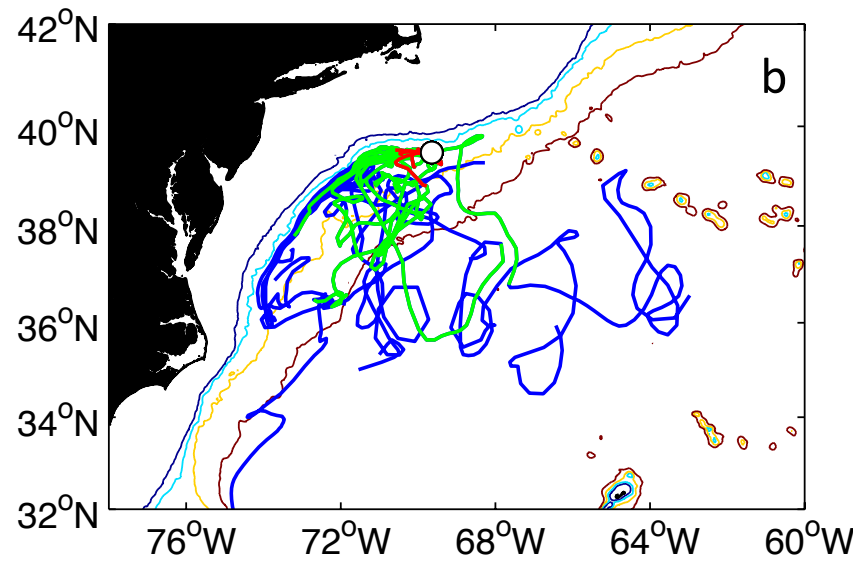
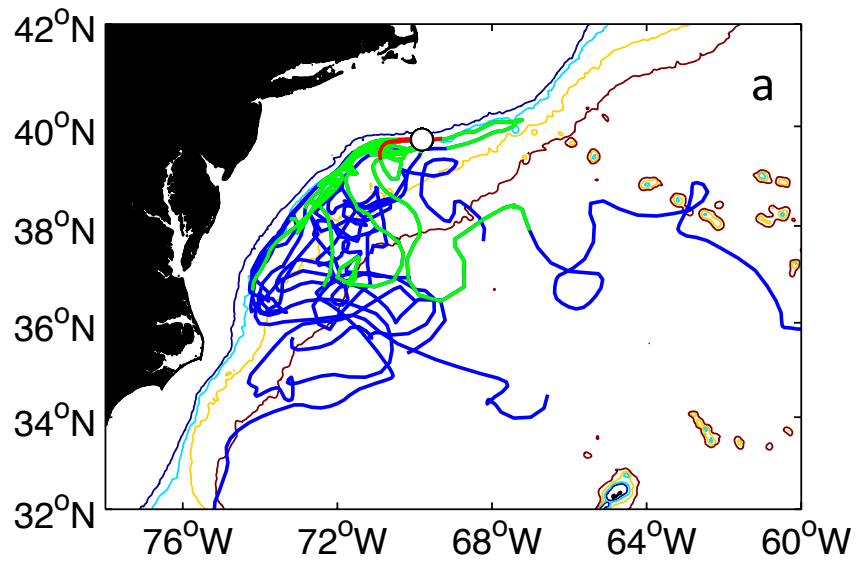


Figure 3

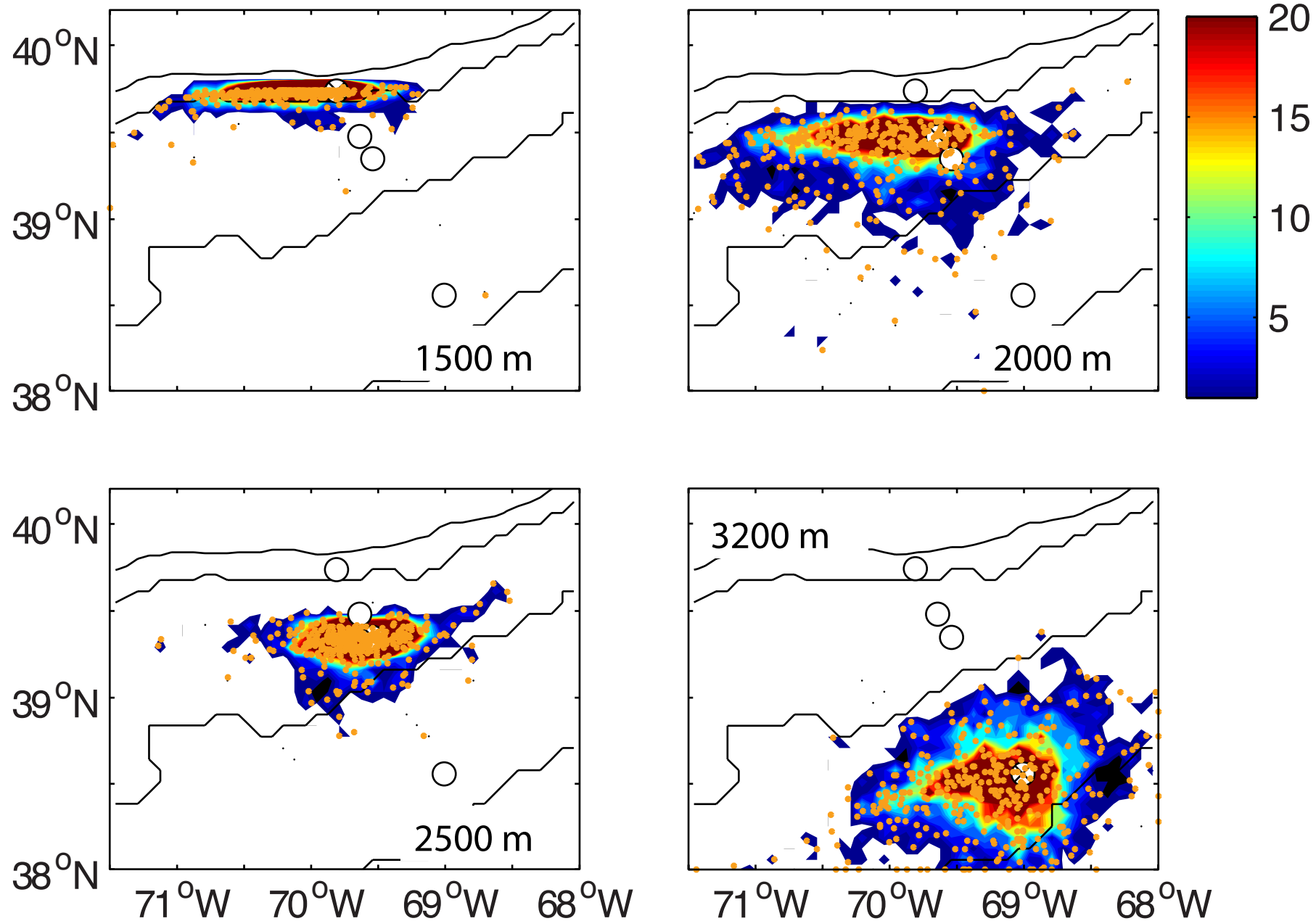


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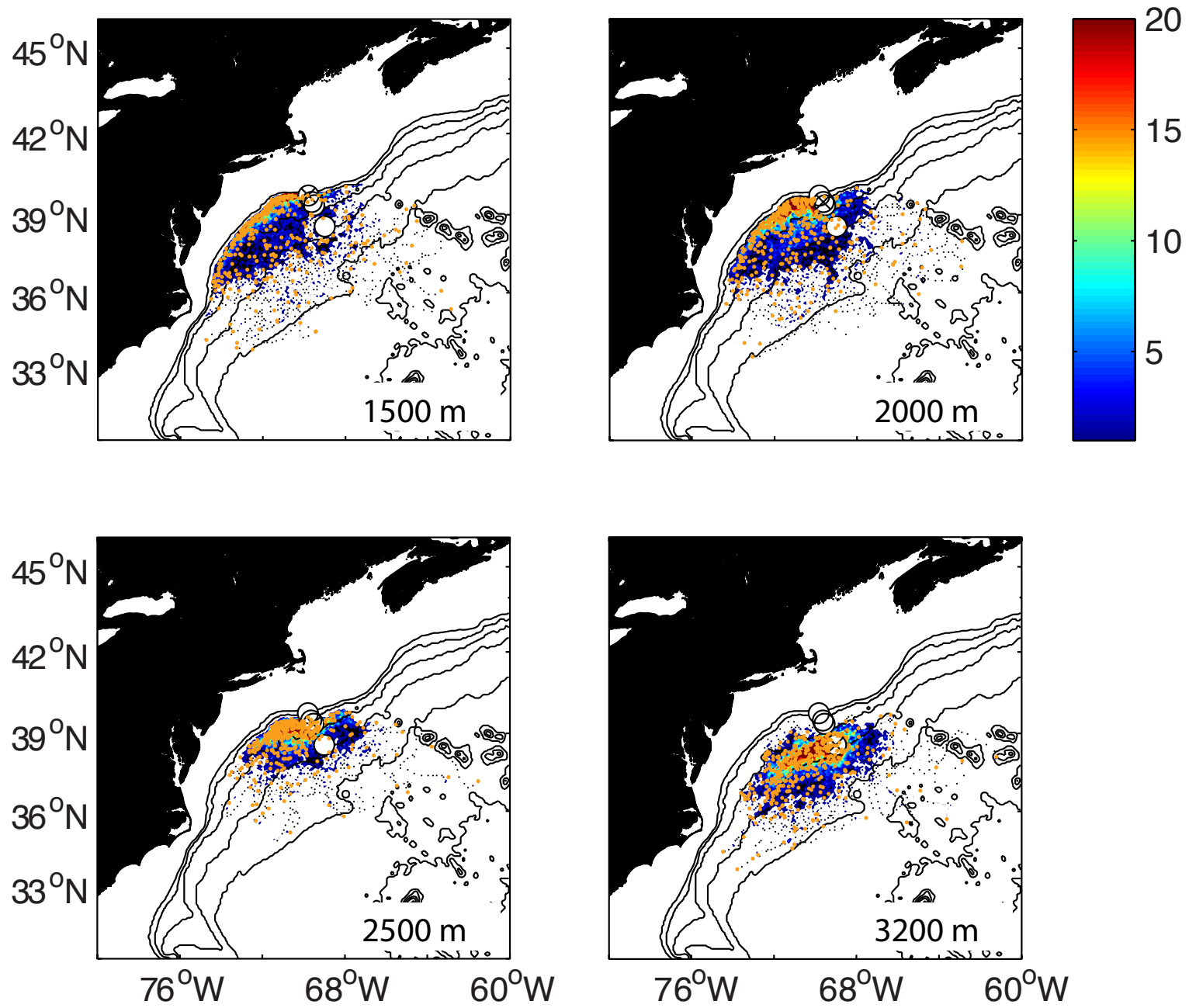


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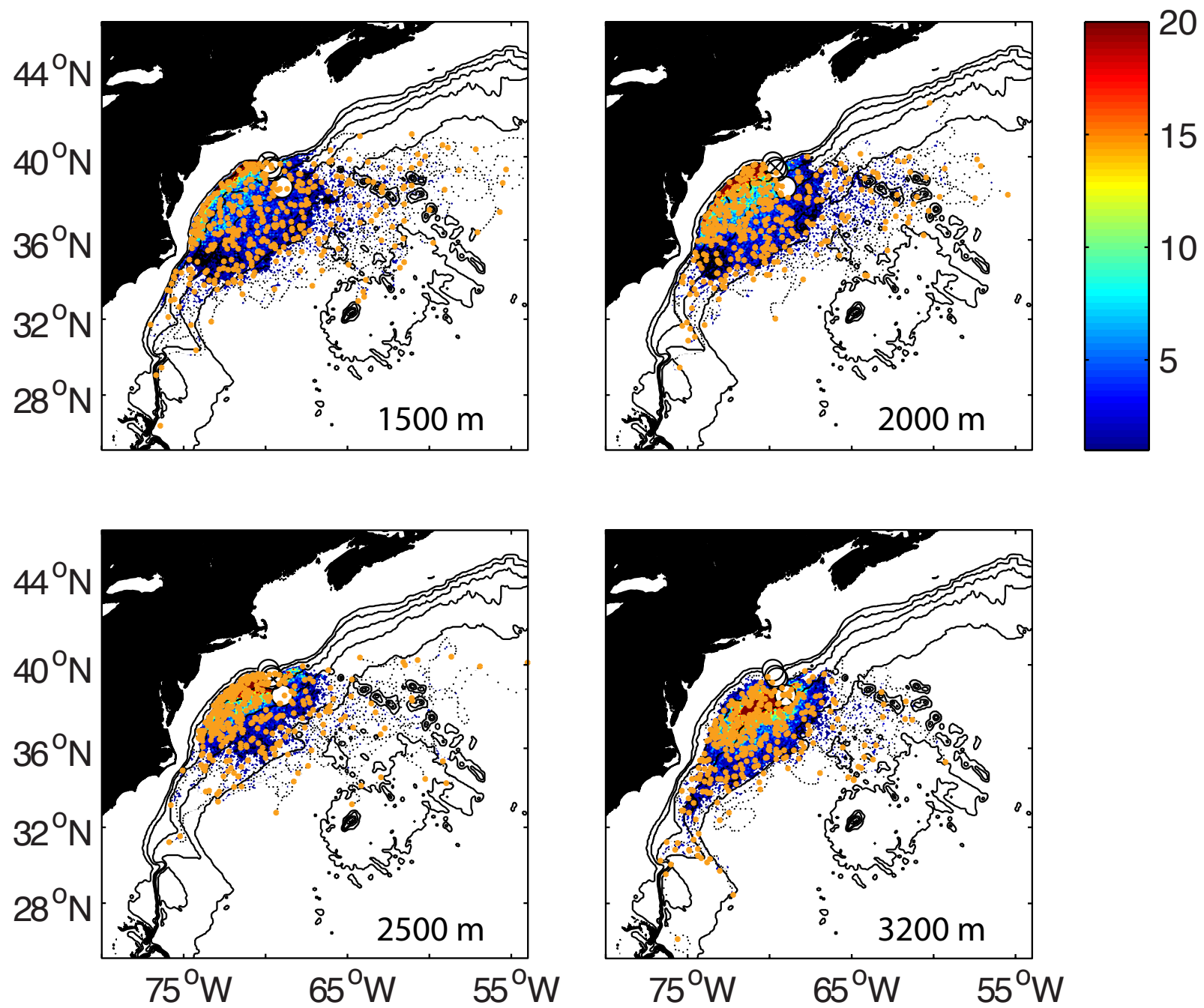


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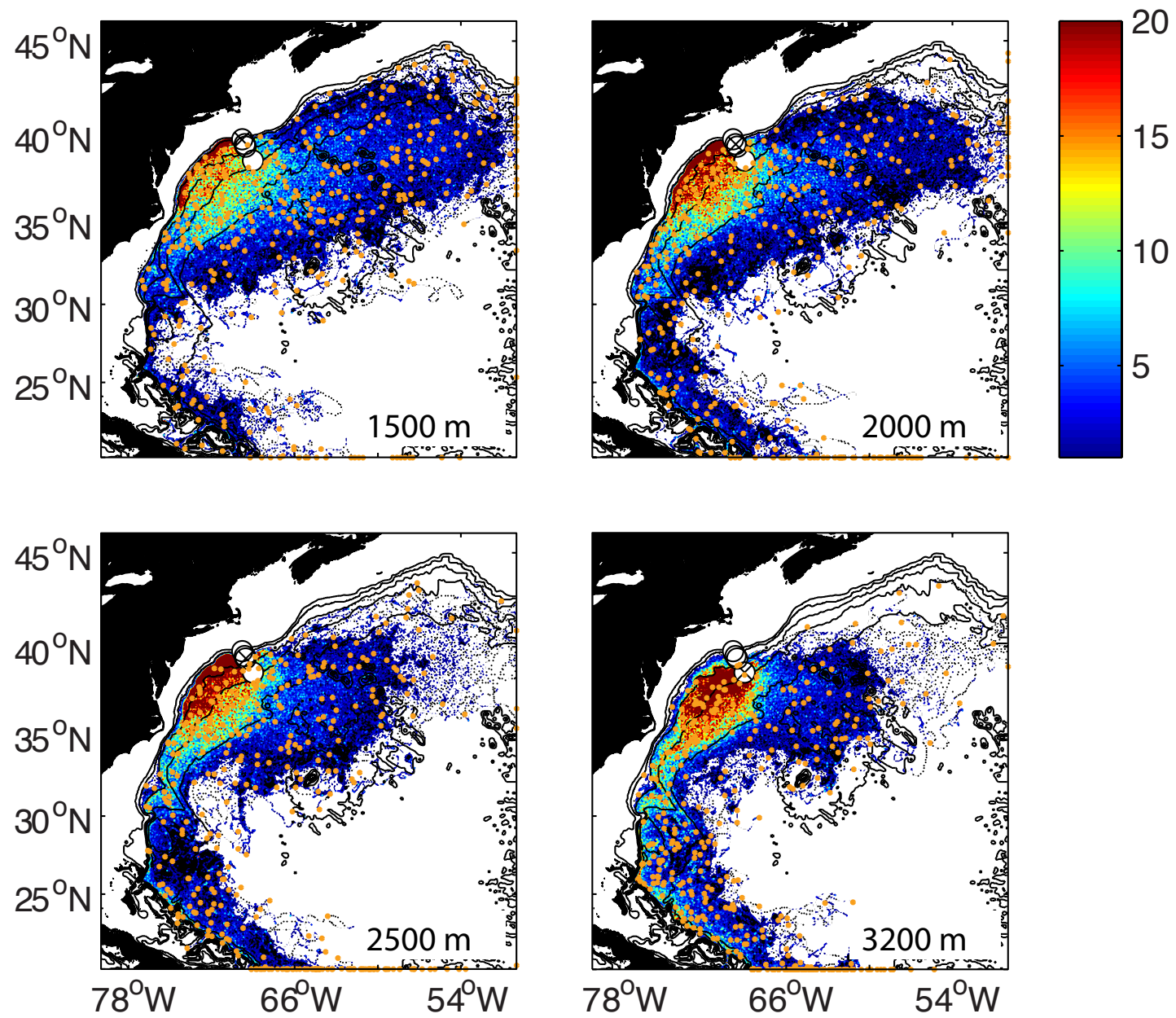


Figure 7

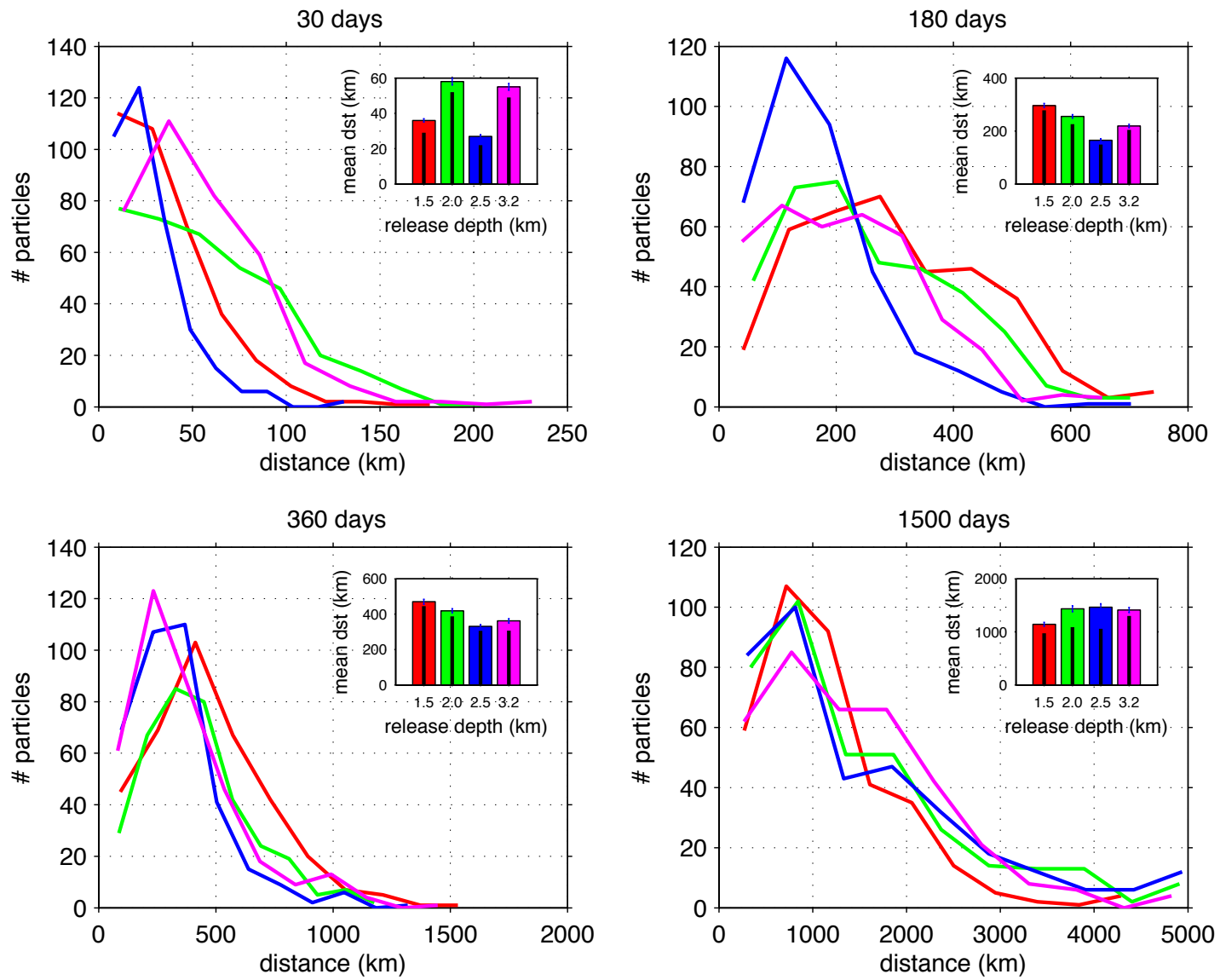


Figure 8