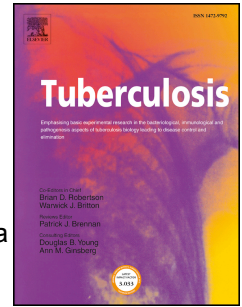


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**Tuberculosis origin: the Neolithic scenario**

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33 **Summary**

34 This paper follows the dramatic changes in scientific research during the last 20 years  
35 regarding the relationship between the *Mycobacterium tuberculosis* complex and its hosts –  
36 bovids and/or humans. Once the *M. tuberculosis* and *M. bovis* genomes were sequenced, it  
37 became obvious that the old story of *M bovis* evolving into the human pathogen should be  
38 reversed, as *M. tuberculosis* is more ancestral than *M. bovis*. Nevertheless, the timescale and  
39 geographical origin remained an enigma.

40 In the current study human and cattle bone samples were examined for evidence of  
41 tuberculosis from the site of Atlit-Yam in the Eastern Mediterranean, dating from 9250-8160  
42 (calibrated) years ago. Strict precautions were used to prevent contamination in the DNA  
43 analysis, and independent centers used to confirm authenticity of findings. DNA from five *M*  
44 *tuberculosis* genetic loci was detected and had characteristics consistent with extant genetic  
45 lineages. High performance liquid chromatography was used as an independent method of  
46 verification and it directly detected mycolic acid lipid biomarkers, specific for the *M.*  
47 *tuberculosis* complex. These, together with pathological changes detected in some of the bones,  
48 confirm the presence of the disease in the Levantine populations during the Pre-pottery  
49 Neolithic C period, more than 8,000 years ago.

50 **Key words:**

51 Ancient DNA; Neolithic; origin of tuberculosis; paleopathology;

52

## 53 1. Introduction

54 Human tuberculosis (TB) persists as a global epidemic with disproportionate effects on low-  
55 income populations. Modern genetic data supported by the archaeological evidence indicate  
56 that the *Mycobacterium tuberculosis* complex (MTBC) may have co-existed with humans for at  
57 least 15,000 years since the Neolithic.<sup>1,2</sup> The disease reached near-epidemic proportions in the  
58 rapidly urbanizing and industrializing societies of Europe and North America in the 18th and  
59 19th centuries.<sup>3</sup>

60 Despite extensive research over period of more than 100 years, the timing, cause and  
61 geographical origin of TB in humans is still under debate. Until the end of the previous  
62 century, it was commonly believed that animals, especially bovine, transmitted the ancestral  
63 *Mycobacterium* to humans – divergent evolution. As infection with tuberculosis spreads in two  
64 major ways, by the respiratory route directly from another infected person (e.g., *M.*  
65 *tuberculosis*) or by the gastrointestinal route mainly by drinking milk infected or milk  
66 products with the bovine tubercle bacillus (*Mycobacterium bovis*),<sup>4</sup> the notion that newly  
67 domesticated cattle, sheep or goats in the Eastern Mediterranean region during the  
68 agricultural revolution (ca. 8,300-5,500 BC), is the source of the disease in humans, became  
69 common.<sup>5</sup> Even when this idea of zoonotic transmission of *M. bovis* to Early Neolithic farmers  
70 was widespread, we pointed out the following criticisms:<sup>6</sup> 1) It was unclear when and how  
71 the *M. bovis* spread among domesticated cattle; 2) The oldest known human skeletal evidence  
72 of TB from the Mediterranean region, other than those of the Pre-Pottery Neolithic (PPN) C  
73 site of Ain Gaazal,<sup>7</sup> were all roughly dated to a much later period – the fourth millennium BC  
74 or later.<sup>6,8</sup> Also, this later date was reflected by pathological and molecular findings reported  
75 for Egyptian mummies (some dating back to the XXI<sup>st</sup> Dynasty) and skeletons (the oldest  
76 dated to 3300 BC) that were reported to have tuberculosis pathology;<sup>9,10</sup> 3) The spread of TB  
77 from cattle to human occurs largely by drinking infected milk, yet milk consumption did not  
78 start until the “Secondary Products Revolution” in the fifth-fourth millennium BC.<sup>11</sup>  
79 Furthermore, according to Keusch et al.,<sup>12</sup> by two years of age virtually all Neolithic children

80 were lactase-deficient, i.e., they lacked the ability to metabolize milk. Biological tolerance of  
81 adult populations to bovine milk and milk products only began in the Neolithic period.<sup>13</sup> In  
82 this case only infants would have consumed milk and thus contracted bovine TB; 4) When  
83 considering TB infection, herd size is of greater relevance than human population size.<sup>14</sup> With  
84 few exceptions, the harsh unpredictable Mediterranean environmental conditions, including  
85 large arid zones and hilly topography, are suitable for goats but not for raising large herds of  
86 cattle. Based on the above arguments, at that time we rejected the 'domesticated-bovine-  
87 hypothesis' for TB and concluded that the appearance of human TB was probably associated  
88 with the beginning of urbanization in the Fertile Crescent region during the fifth-fourth  
89 millennium BC, during the Chalcolithic-Early Bronze Age c. 3.500 BC.

90 In the last decade of the 20<sup>th</sup> century it was shown that the identification of *M. tuberculosis*  
91 DNA in ancient bones is possible.<sup>15</sup> Less than 10 years later, the plethora of molecular studies  
92 of the MTBC – both ancient and modern – showed that there is no direct evolutionary  
93 relationship between *M. bovis* and *M. tuberculosis* but these were divergent evolutionary  
94 lineages, with *M. tuberculosis* being more ancestral.<sup>16</sup> Genetic analysis of the pathogen from a  
95 Pleistocene bison bone (17,000 years) showing tubercular-like infection indicated greater  
96 similarity to *Mycobacterium tuberculosis* and *M. africanum* rather than to *M. bovis*.<sup>17</sup>  
97 Furthermore, the overwhelming majority of studies that have examined MTB complex aDNA  
98 by spoligotyping<sup>17,18</sup> demonstrate that the organisms are not *M. bovis*. The sole exception to  
99 date is the detection of *M. bovis* in a group of Iron Age semi-nomadic pastoralists from Siberia  
100 dating from the 4<sup>th</sup> century BC to 4<sup>th</sup> century AD.<sup>19</sup> Further genetic studies, based on  
101 coalescence analysis have even suggested the possibility of human to bovine transmission of  
102 TB, whereby the most ancestral human MTB may have infected livestock and through a  
103 parallel evolutionary process established tuberculosis in cattle (*M. bovis*) and goats  
104 (*Mycobacterium caprae*).<sup>20</sup> Nonetheless, this and other DNA studies adhered to two basic  
105 notions: the first that the origin of the disease in humans is within the Fertile Crescent; the  
106 second that the transition from human to domesticated animal hosts is linked to the  
107 development of agriculture some 13,000 years ago.<sup>1,16,20</sup>

108 As TB is still one of the leading infectious diseases worldwide, with an estimated 1.4 million  
109 deaths in 2011<sup>21</sup> the questions of the time and conditions surrounding the emergence of *M.*  
110 *tuberculosis* are important. The primary aim of the current research was to present both the  
111 published and later findings from the Pre-pottery Neolithic C site of Atlit-Yam in an attempt  
112 to answer those questions.

### 113 *1.1 Background on the site and its inhabitants*

114 Atlit-Yam is one of the major submerged sites discovered and studied during the 1980s and  
115 1990s. Hershkovitz et al. (2008)<sup>22</sup> gives the full bibliography that describes the site, its  
116 structures and occupation. The site is located 300 to 500 m offshore and 8-12 m below sea  
117 level in the North Bay of Atlit, 10 km south of Haifa (34°56' E, 32°42.5' N). Stone foundations  
118 of several rectangular structures, paved floors, long straight walls, hearths, round megalithic  
119 structures, storage and production installations, and water wells have been discovered, all  
120 embedded in dark clay. The structures and installations are sparsely scattered over the site  
121 with wide-open spaces between them. The site was dated to the end of the Pre-Pottery  
122 Neolithic period (PPNC). Radiocarbon dates on charcoal and waterlogged plant remains  
123 range from 8180 to 7250 years BP (9250-8160 BP calibrated). The rich, well-preserved finds of  
124 Atlit-Yam include botanical and faunal remains, stone, flint and bone tool assemblages, and  
125 human bones. The site is one of the earliest prehistoric Mediterranean fishing villages ever  
126 excavated. Human bones were revealed in ninety-one different locations at the site, of which  
127 forty-six were recognized as graves dug into the clay. Most burials (70%) were located in  
128 specific areas, adjacent to walls or installations. No grave showed evidence of stone  
129 construction, or surface marking. Burials were mainly primary, containing mostly (75%)  
130 single interments, situated around the rectangular structures and rarely in within them. In  
131 some cases, grave goods were added to the graves. Secondary burials were rare. Grave goods  
132 were found in fifteen burials.

133 The health status of the Atlit-Yam population was relatively good, as attested by the life  
134 span of the population. The pathologies identified are mainly associated with infectious  
135 diseases, such as ear infections due to diving (auditory exostosis), spondylolysis due to

136 intensive rowing activities, anemia due to the marshy environment and probably tuberculosis  
137 following cattle domestication.<sup>22</sup> Dental wear associated with weaving fishing nets and dental  
138 diseases was also identified.

139

## 140 **2. Materials and Methods**

141

142 The remains of 64 individuals from Atlit-Yam were examined for TB lesions. All human  
143 bones are housed at Tel Aviv University. Identification of TB was based on both  
144 morphological (macro and micro) and molecular analyses. All cases with bony lesions  
145 indicative of TB were sampled for MTBC aDNA, either directly from the lesion itself or  
146 from a bony area with a rich blood supply.

147

### 148 *2.1. Morphological analysis*

149 Osseous criteria for TB: As many infectious diseases tend to produce similar bone  
150 changes, osseous criteria alone are not sufficient to reach a definite diagnosis of TB.

#### 151 *2.1.1. Osseous criteria for the presence of TB in infants, children and adolescents*

152 All skeletons were inspected for the following gross osseous changes, all of which are  
153 indicative for potential presence of tuberculosis in sub adult and children: (a) convoluted  
154 engraving on the inner aspect of the cranial bones, a phenomenon termed '*Serpens Endocrania*  
155 *Symmetrica*' (SES);<sup>23</sup> (b) periosteal reactive bone of tubular bones characterized by destruction  
156 of the cortex and formation of an expanded shell of periosteal reactive bone;<sup>24</sup> (c) growth  
157 deficit and/or intrauterine growth retardation; (d) deformity of long bones (due to foci  
158 destroying a growth plate);<sup>25</sup> (e) presence of multiple lesions throughout the skeleton.

#### 159 *2.1.2. Osseous criteria for the presence of TB in adults*

160 Osseous changes, indicative for potential presence of tuberculosis in adults are: (a) presence  
161 of SES;<sup>23</sup> (b) presence of hypertrophic osteoarthropathy;<sup>23</sup> (c) local destruction and cavitation  
162 in cancellous bone; (d) local changes in the epiphyses of long bones, mainly undermining and  
163 resorptive grooving along the line of the synovial attachments; (e) bony ankylosis;<sup>25</sup> (f)



164 cavitation and or collapse (wedge-shape vertebra) of vertebral body; (g) destruction of hip  
165 and/or knee joints; (h) proliferative bone reaction on the ribs.<sup>24</sup>

## 166 2.2. *Histological sections*

167 Fragments of affected bones were used for histological sections. The bones were cleaned  
168 with water (ultrasonic bath) and immersed in alcohol (90%). The bones were then  
169 embedded in methymethacrylate. The tissue block was cut into 150 µm thick sections  
170 using a slow-speed diamond saw (Isomet: Buehler). The sections were ground and  
171 polished (Phoenix Beta: Buehler) to a final thickness of 15-30 µm and surface stained with  
172 H&E.

## 173 2.3. *Molecular analysis-Human bones*

174 All molecular work was conducted in dedicated aDNA laboratories, taking strict precautions  
175 against contamination. DNA was extracted from two Atlit-Yam samples, an adult female and  
176 an infant, using guanidine thiocyanate lysis buffer and silica-based purification. The extracted  
177 DNA was amplified via PCR and characterized using deletion analysis, spoligotyping and  
178 sequencing.<sup>22</sup> The presence or absence of the *M. tuberculosis*-specific deletion (TbD1) was  
179 determined by targeted PCR<sup>22</sup> and by spoligotyping pattern.<sup>18</sup> Negative PCR findings are not  
180 proof of absence, due to the damage and breakdown of aDNA over time and the localization  
181 of pathogen molecular markers within the host. However, a positive result does confirm TB,  
182 especially in combination with typical TB-associated morphology, histology and  
183 biochemistry.

## 184 2.4. *Molecular analysis-cattle bones*

185 Samples were taken from five cattle bones with no visible pathological changes and  
186 were processed as described above.

## 187 2.5. *Lipid biomarkers*

188 Extraction, derivatisation and high performance liquid chromatography (HPLC) analysis of  
189 mycobacterial cell wall mycolic acids was carried out on samples from both the infant and  
190 adult. For examination of lipid biomarkers an established protocol was carried out.<sup>22</sup>

191

### 192 3. Results

#### 193 3.1. Paleopathology

194 The skeletal remains of well-preserved individuals from the site of Atlit-Yam were  
195 examined for lesions consistent with a possible diagnosis of tuberculosis. Among the 64  
196 specimens studied, three specimens showed bone pathology suggestive of tuberculosis: a – an  
197 adult woman buried together with an infant (Fig. 1); these skeletons were later sampled for  
198 molecular examination (see below); b – an adult male. The infant, though small in size, was  
199 estimated (on a very fragmented skeleton), to be less than 1 year old based on crown  
200 development and long bone dimensions. The infant shows SES on the inner aspect of the  
201 cranial bones (Fig. 2c) and hypertrophic osteoarthropathy (HOA) lesions – a periosteal  
202 reaction of tubular bones characterised by the formation of an expanded shell of periosteal  
203 reactive bone on the long bones (Fig. 2a,b). Both lesions are indicative of tuberculosis. The  
204 woman, estimated to be around 25 years old based on teeth attrition, epiphyseal ring  
205 ankylosis and separated symphysis pubis, had a periosteal reaction affecting the distal  
206 diaphysis of one tibia, a bony change associated with HOA. The adult male exhibited a  
207 destruction of the anterior vertebral body of a thoracic vertebra (Fig. 3), known as Pott's  
208 disease and characteristic of TB.<sup>26</sup> No proliferative bone reaction was observed on the ribs.  
209 The histological analysis (Fig. 2b) clearly shows that the new bone formation rests on the  
210 original bone surface without infiltrating or destroying it. This indicates that the  
211 inflammatory process originates in the periosteum and/or the surrounding soft tissue, and  
212 not in the medullary cavity, as the consistency of the compact bone is undisturbed.

#### 213 3.2. Molecular analysis

214 Ancient DNA analysis was conducted on the ribs and several limb bones of the woman and  
215 from the long bones of the infant. *Mycobacterium tuberculosis* (MTB) complex DNA was  
216 detected in the bones of both the woman and infant.<sup>22</sup> Multi-copy IS6110 and IS1081  
217 amplicons were obtained and sequenced from the rib of the woman and the infant long bone.  
218 The results were replicated in two laboratories: at UCL an IS6110 123bp product from the  
219 woman (right rib) and a 92 bp nested IS6110 product from the infant were obtained,

220 sequenced and found to be identical to contemporary *M. tuberculosis* sequences.<sup>22</sup>  
221 Additionally, a 104 bp sequence of the IS1081 gene fragment obtained from the infant long  
222 bones was found to be identical to contemporary *M. tuberculosis* sequences.<sup>22</sup> The  
223 amplification and direct sequences of the IS6110 gene region were successfully replicated at  
224 the Hebrew University of Jerusalem.

225 A TbD1 flanking PCR, based on a single site on the DNA strand, was successfully  
226 amplified for the infant sample and a complete DNA sequence for the 128bp amplicon with  
227 the outer primers was obtained<sup>22</sup> identical to that in the *M. tuberculosis* reference sequence.  
228 Nested PCR was also successful. Spoligotyping was successfully performed on both adult  
229 and infant specimens. There were several faint or dubious positives, and it was noted that  
230 spacers 33, 35, 37-43 were present and that spacers 2, 8, 21, 34 and 36 were either absent or  
231 only faintly positive on three or more occasions. However, a consensus spoligotype, based on  
232 any positive result, contained no missing spacer regions.

233 None of the 5 bones of cow analyzed for MTB aDNA yielded positive results.

### 234 3.3. Lipid biomarkers

235 Long-chain fatty acids were extracted as pentafluorobenzyl (PFB) esters, and fractions  
236 corresponding to PFB mycolates were obtained.<sup>22</sup> After treatment with pyrenebutyric acid  
237 (PBA) these fractions produced PBA-PFB mycolates, which, after reverse phase HPLC, gave  
238 profiles closely similar to standard *M. tuberculosis*.<sup>22</sup> Further normal and reverse phase HPLC  
239 gave detailed profiles for each sample, reinforcing the identity with *M. tuberculosis*.

240

## 241 4. Discussion

242 The current study sought answers to three basic questions regarding TB, namely when,  
243 where and how did *M. tuberculosis* first infect humans and cause disease? The morphological  
244 (macro and micro) examination, molecular investigations and lipid analysis have shown  
245 clearly that people at the Atlit-Yam site dated to the Pre-pottery Neolithic C period (6,200-  
246 5,500 BC) were infected by *M. tuberculosis* and that it was of a TbD1-deleted lineage. Further  
247 support for this finding is from a contemporaneous PPNC site of Ain Gaazal, in Jordan,

248 where vertebrae with osseous lesions typical of those caused by the TB bacillus were found.<sup>7</sup>  
249 Not surprisingly, TB appeared several hundred years later in the early Neolithic populations  
250 of central Europe, ca. 5400-4800 BC.<sup>2</sup> There are archaeological and genetic studies<sup>27</sup> indicating  
251 that early farmers from the Near East started migrating into Europe during the 6<sup>th</sup> millennium  
252 BC. Did they (or their cattle) carry the TB bacillus with them? The genetic evidence for Near-  
253 Eastern origins of European cattle<sup>28</sup> appears to be significant. Interestingly, sub-typing the  
254 aDNA of the bacillus found in the Neolithic European site of Derenburg revealed that, in  
255 contrast to modern European *M. tuberculosis* lineages, four MTBC strains still harbored the  
256 TbD1 region.<sup>2</sup> In the world today, such TbD1-intact strains are found mainly in the Far East  
257 and Pacific Rim. Also at Derenburg, one strain was found to belong to the RD9-deleted MTBC  
258 lineage that includes *M. africanum* and *M. bovis*.

259 Current data suggest that the MTBC is as old as 40,000 years.<sup>20</sup> However, it is notable that  
260 there are no documented cases of TB among human populations prior to the PPNC period. Of  
261 more than a thousand Natufian and Pre-Pottery Neolithic A and B skeletons excavated in the  
262 eastern Mediterranean region, none demonstrated osseous lesions associated, directly or  
263 indirectly, with TB. This contrasts with the evidence for the rise of infectious diseases among  
264 early farmers compared to their preceding hunter/gatherers.<sup>29</sup> Furthermore, there are global  
265 data to suggest that the transition to farming and animal husbandry not only subjected  
266 humans to new pathogens but also increased the risk of infectious diseases due to living  
267 conditions and diet.<sup>30</sup> It therefore seems the presence of cattle was pertinent for TB after all.  
268 Atlit-Yam is the only Neolithic site where cattle bones dominate the zooarcheologic record  
269 and where cattle were a major component of the diet. In the absence of detectable *M. bovis*,  
270 the cattle may be important by supporting a larger and denser human population, thus  
271 indirectly encouraging the conditions for the long-term maintenance and transmission of *M.*  
272 *tuberculosis*.

273 Finally we conclude that the infant had disseminated primary tuberculosis: the only DNA  
274 sequences for single copy sites were obtained from the infant material, which suggests a  
275 higher bacterial load during life. In infants less than a year old the present risk of developing

276 active disease on infection with *M. tuberculosis* is high due to the inadequacy of their immune  
277 system. The size of the infant's bones, and the extent of the bony changes, suggest a case of  
278 acquired neonatal tuberculosis, where an adult suffering from contagious pulmonary  
279 tuberculosis infects an infant shortly after birth. Childhood tuberculosis is closely linked with  
280 adult disease, and is usually a sentinel event in the community, demonstrating recent  
281 transmission. In the absence of any effective treatment, advanced tuberculosis carried  
282 significant mortality for both mother and child, so it is unsurprising for a presumed mother  
283 and child to succumb and be buried together. We believe that these are the earliest confirmed  
284 cases of the disease. Based on the spoligotype and TbD1 deletion, the genetic lineage  
285 resembles the Principal Genetic Group PPG1b. The relationship between genetic variants of  
286 *M. tuberculosis*, geographical location and the presentation of disease is poorly understood at  
287 present. Our study, we believe, provides a marker in real-time to indicate how this major  
288 pathogen has changed its relationship with its human host.

289

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293

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295 Not required

296

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301

302

#### 303 **Author contributions**

304 I.H. and E.G. conducted the archaeological excavation; I.H., H.M. and M.F. assessed the  
305 palaeopathology; H.D.D. did the DNA molecular analysis in London and shares senior  
306 authorship with I.H.; D.E.M. and O.Y-C.L. analyzed lipid biomarkers; M.S. coordinated  
307 the project; B. M. R. was a leading researcher in the TB project; G.K.B. performed PCR and  
308 spoligotyping in Israel and initialized the second stage of the TB aDNA study at Atlit-  
309 Yam.

310 All authors discussed the results and commented on the manuscript.

311

### 312 **Competing interests**

313 The authors declare no conflict of interest

314

315

316

317

318

319

### 320 **Figure legends**

321 **Figure 1:** The mother and the child from Atlit Yam. Both were confirmed positive for TB by  
322 both morphological and aDNA analysis

323

324 **Figure 2:** Evidence for TB on the infant long bones: new bone formation on the shaft of a long  
325 bone - HOA (a), radiating appearance of the appositional bone on the infant long bone (b),  
326 grooves (SES) on the inner table of the calvaria (c).

327

328 **Figure 3:** Beveled thoracic vertebra of an adult person suggestive of TB

329

330

331

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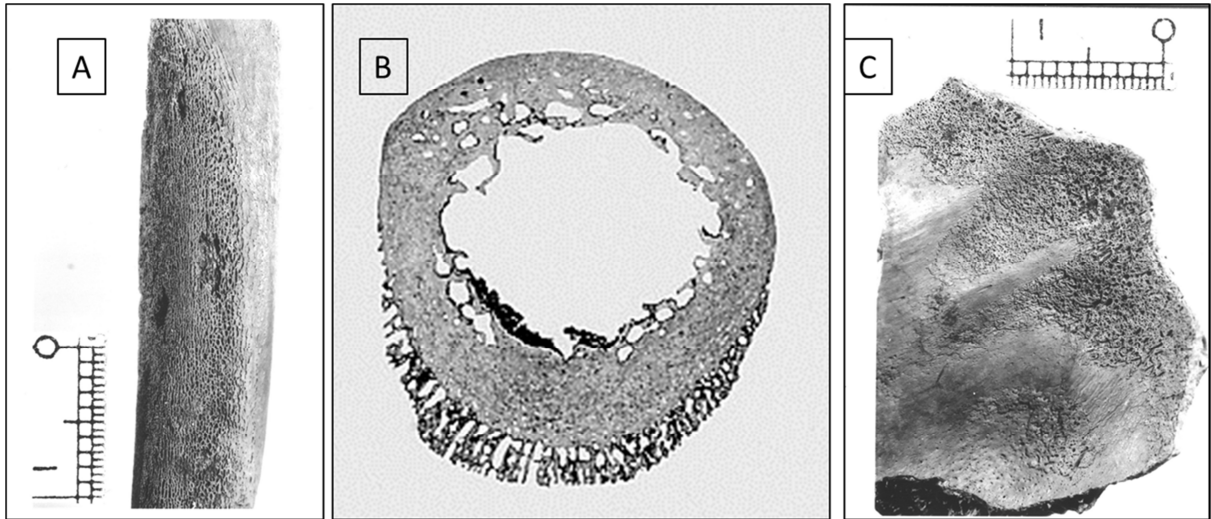
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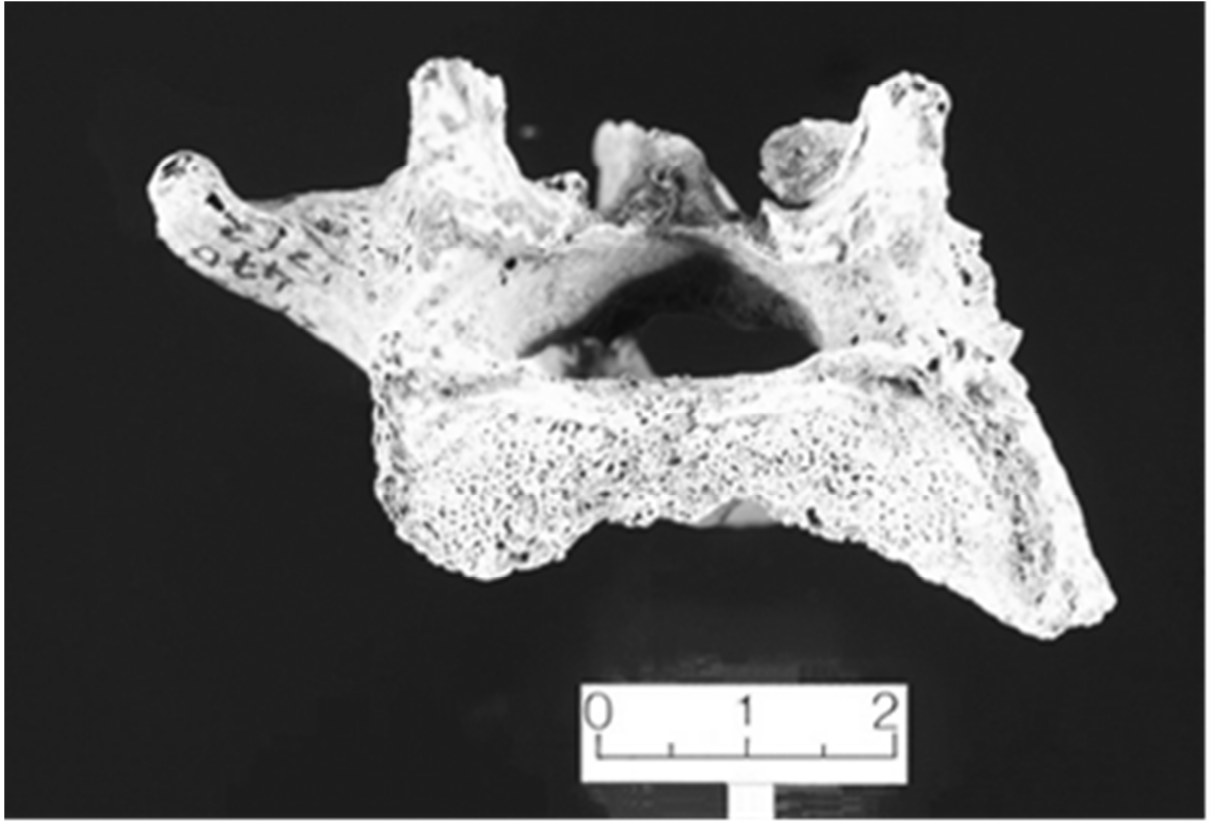
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