

**When you smile, the world smiles at you: ERP evidence for self-expression effects on face processing**

Journal:	<i>Social Cognitive and Affective Neuroscience</i>
Manuscript ID:	SCAN-14-243.R1
Manuscript Type:	Original Manuscript
Date Submitted by the Author:	19-Dec-2014
Complete List of Authors:	Sel, Alejandra; Royal Holloway University London, Department of Psychology Calvo Merino, Beatriz; City University London, Department of Psychology Tuettenberg, Simone; City University London, Department of Psychology Forster, Bettina; City University London, Department of Psychology
Keywords:	face processing, emotional embodiment, facial feedback, VEPs, N170

 SCHOLARONE™  
Manuscripts

Review

**Title:**

**When you smile, the world smiles at you: ERP evidence for self-expression effects on face processing**

**Abbreviate title:**

Effects of self-expression

Alejandra Sel<sup>1,2\*</sup>, Beatriz Calvo-Merino<sup>2,3</sup>, **Simone Tuetttenberg<sup>2</sup>**, Bettina Forster<sup>2</sup>

<sup>1</sup> Lab of Action & Body, Department of Psychology, Royal Holloway University London, Egham, Surrey, TW20 0EX, London, U.K.

<sup>2</sup> Department of Psychology, City University London. Northampton Square, EC1V 0HB, London, U.K.

<sup>3</sup> Department of Psychology, Complutense University of Madrid. Campus de Somosaguas 28223. Madrid, Spain.

**Total number of words:** **4811**

**Corresponding Author:**

Dr. Alejandra Sel.  
Department of Psychology,  
Royal Holloway University London.  
Egham, Surrey  
TW20 0EX, London, U.K  
E-mail: [alex.sel@rhul.ac.uk](mailto:alex.sel@rhul.ac.uk)

Effects of self-expression

## Abstract

Current models of emotion simulation propose that intentionally posing a facial expression can lead to changes in one's subjective feelings, which in turn influences the processing of visual input. However, the underlying neural mechanism whereby one's facial emotion modulates the visual cortical responses to other's facial expressions remains unknown. To understand how one's facial expression affects visual processing we measured participants' visual evoked potentials (VEPs) during a facial emotion judgment task of positive and neutral faces. To control for the effects of facial muscles (facial feedback) on VEPs, we asked participants either to smile (adopting an expression of happiness) or to pose with a neutral face, in two separate blocks. Results showed that the expression posed modulates face-specific early visual processing components (N170/vertex positive potential-VPP) to watching other facial expressions. Specifically, when making a happy expression, neutral faces are processed similarly to happy faces. When making a neutral expression, however, responses to neutral and happy face are significantly different. This effect was source localized within multisensory associative areas, angular gyrus, associative visual cortex, and somatosensory cortex. We provide novel evidence that one's own emotional expression acts as a top-down influence modulating low-level neural encoding during facial perception.

**Keywords:** face processing, emotional embodiment, facial feedback, VEPs, N170.

Effects of self-expression

## Introduction

Current models of emotion simulation propose that initial visual processing of facial expressions is followed by a mimicry response of the observed emotion, which is evident in facial electromyography (EMG) (Niedenthal, 2007; Halberstadt et al., 2009). Importantly, the relationship between facial mimicry and the processing of observed emotional facial expression is reciprocal. That is, the facial mimicry triggers afferent feedback from the receptors involved in the facial movements evoking an emotional state that can then influence the observer's perception of emotional expressions in others (Strack et al., 1988; Lee et al. 2006; Kuhn et al., 2011). Whereas the effects of one's own facial and bodily postures on the perception and evaluation of emotional and neutral information at the behavioural level has been well documented (Strack et al., 1988; Niedenthal, 2007; Critchley and Nagai, 2012), it remains unclear how intentionally adopting a particular facial expression may influence visual cortical activity during the processing of observed facial expressions.

Evidence for the impact of bodily states on the processing of external information comes from recent investigations on the interplay between mind and body in social interactions. The key premise of these studies is that facial and bodily states act as a context for emotions, shaping affective processes in a manner similar to the effects of the external context (Bouton, 2001; Niedenthal, 2007; Critchley and Nagai, 2012). Within this frame, clinical studies have shown that the fixed sad facial expression adopted by depressed individuals can negatively bias their stimulus processing and encoding into memory (Critchley and Nagai, 2012).

Together, these observations highlight the role of face and bodily states in shaping emotional brain processes and responses. Interestingly, direct evidence for the effect of deliberately posed facial emotions on the neural processing of facial expressions comes from a series of fMRI studies showing that intentionally adopting a particular emotional facial expression is associated with increased activity within the emotional brain network (Lee et al., 2006, 2008;

Effects of self-expression

1  
2  
3 Kuhn et al., 2011). These studies demonstrate that the engagement of specific facial muscles  
4 is associated to enhanced sensitivity of brain areas that support emotional processing, which  
5  
6 in turn intensifies the experience of the observed emotion and leads to changes in the visual  
7  
8 judgements of these emotions. However, whether the neural processing of the visual stimuli  
9  
10 is likewise modulated remains unknown.  
11  
12

13  
14 To investigate specifically the impact of one's emotional expressions on the visual processing  
15  
16 of observed faces we measured visual-evoked potentials (VEPs) during a facial emotion  
17  
18 judgement task while we manipulated facial mimicry and its associated facial feedback.  
19

20  
21 Previous investigations in facial mimicry suggest that happiness engages more facial muscles  
22  
23 and leads to a greater facial feedback than any other emotion (Ekman, 2004; Oberman et al.,  
24  
25 2007). Accordingly, in two separate blocks participants were asked either to smile (i.e. to  
26  
27 adopt an expression of happiness) or to adopt a neutral face. This allowed us to directly  
28  
29 measured and contrast the neural effects of adopting an expression of happiness on VEPs  
30  
31 elicited by viewing happy or neutral faces. In addition, to further explore whether the effects  
32  
33 on perception of facial expressions of adopting a happy face were associated with changes in  
34  
35 sensorimotor and other multimodal areas, we examined the neural generators of the VEPs, by  
36  
37 using standardized low-resolution brain electromagnetic tomography (s-LORETA).  
38  
39

40  
41 We hypothesise that the facial muscular changes during expression of happiness lead to  
42  
43 changes in the sensorimotor representations of this emotion, along with other multimodal  
44  
45 emotional brain areas (Ekman, 2004; Kuhn et al., 2011). We further predict that when  
46  
47 participants adopt a happy face, then the activation of sensorimotor representations of  
48  
49 happiness in multimodal areas will act as a top-down influence on visual facial processing,  
50  
51 compared to when participants adopt a neutral facial expression. Moreover, in line with  
52  
53 previous evidence (Lee et al., 2008; Kuhn et al., 2011) we expect that adopting an expression  
54  
55 of happiness will have a distinctive impact on the neural processing of observed happy and  
56  
57  
58  
59  
60

## Effects of self-expression

neutral faces. In the literature on face processing, the N170/vertex positive potential-VPP complex has been suggested as an index of the structural encoding of visual facial features (Bentin et al., 1996; Conty et al., 2012). The N170 is source localized in the superior temporal cortex, where neurons show selectivity for different facial expressions (Williams et al., 2006). Moreover, electrophysiological evidence shows a selective modulation of the N170/VPP, and other early visual components, to different emotional facial expressions relative to neutral faces (Ashley et al., 2004; Williams et al., 2006), as well as emotional priming effects on early VEPs (Werheid et al., 2005; Li et al., 2008; Lu et al., 2011). We therefore hypothesise that adopting a happy face will lead to changes in early VEPs as compared to putting on a neutral expression. Finally, if one's expression of happiness impacts on VEPs of visual faces, we should expect this effect to be source localized within somatosensory areas, together with neural centres that play a central role in the processing of embodied emotions (Pitcher et al., 2008; Sel et al., 2014), and also those multimodal associative areas where visual and sensorimotor information is integrated.

## Material and Methods

### *Participants*

25 right-handed participants with normal or corrected-to-normal vision took part in the experiment. (One participant was excluded from the analysis because of excessive artifacts in the EEG signal, resulting in a final total of 24 participants (8 males), aged 24–39 years, mean = 28.75. Participants gave informed consent, with approval by the Ethics Committee, School of Social Sciences, City University London.

### *Stimuli and procedure*

A set of 90 pictures depicting happy and neutral emotions was selected from the Karolinska Directed Emotional Faces set (Lundqvist et al., 1998). Faces were grayscale and enclosed in a rectangular frame (140 X 157 inches), excluding most of the hair and nonfacial contours.

## Effects of self-expression

1  
2  
3 Eight volunteers, none of whom participated in the subsequent study, judged the strength of  
4 emotion expressed in the faces on a visual analog scale (VAS-100 = “extremely happy”; 0 =  
5 “not happy at all”). Based on these judgments, we selected 20 happy faces (mean  $\pm$  SD, 76.53  
6  $\pm$  6.95) and 20 neutral faces-faces that had been rated closest to the “not happy at all”  
7 judgment (mean  $\pm$  SD, 10.76  $\pm$  4.74) (half male).

8  
9  
10 As shown in figure 1, trials started with the presentation of a fixation cross (500 ms),  
11 followed by a neutral or happy face (500 ms), and by a VAS (100 = “extremely happy”; 0 =  
12 “not happy at all”) (duration until response). The overall experiment consisted of 320  
13 randomized trials, presented in two blocks (160 trials per block/task, including 80 neutral and  
14 80 happy faces). In the ‘self happy’ block , participants were instructed to assume a happy  
15 expression leading to an activation of their facial muscles involved in smiling. To ensure that  
16 the participants held the smile expression constant across the block they were asked to bite on  
17 a pen horizontally with the teeth so that the pen was pointing perpendicularly away from the  
18 participants’ face. It was emphasized that they should not allow the pen to touch their lips  
19 (Strack et al., 1988; Ito et al., 2006; Blaesi and Wilson, 2010). In the ‘self neutral’ block,  
20 participants were asked to maintain a neutral expression and to relax their facial muscles  
21 during the length of the block, thus preventing them from contracting their facial muscles. In  
22 order to ensure compliance with the task, the experimenter monitored participants’ facial  
23 expression throughout the experiment via a camera placed in the EEG cabin. In the self happy  
24 and self neutral blocks, participants were instructed to closely observe the faces presented on  
25 the screen, and to rate these faces using the VAS scale. Thus, we created situations where  
26 participants observed and rated the perceived intensity of happy and neutral faces while  
27 adopting either a happy (self happy block) or a neutral (self neutral block) facial expression  
28 themselves. Block order was randomized across participants and participants were given a  
29 break between blocks. Participants were seated in a dimly lit, sound-attenuated and  
30  
31  
32  
33  
34  
35  
36  
37  
38  
39  
40  
41  
42  
43  
44  
45  
46  
47  
48  
49  
50  
51  
52  
53  
54  
55  
56  
57  
58  
59  
60

## Effects of self-expression

electrically shielded chamber in front of a monitor, at a distance of 80 cm. Visual stimuli were presented centrally on a black background using E-prime software (Psychology Software Tools).

### *Behavioral performance*

Behavioral performance was measured using a Visual Analogical Scale (VAS) ranging from 100 for “extremely happy” to zero for “not happy at all”. For each trial, participants were asked to judge the perceived intensity of the happiness in the observed face by marking the VAS with the mouse cursor. Responses were averaged across happy and neutral faces and these measures were subjected to a two-way repeated-measures ANOVA, with factors ‘other’s emotion’ (other-happy, other-neutral) and ‘own emotion’ (self-happy, self-neutral).

### EEG recording and data analysis

EEG was recorded with active electrodes from 60 scalp electrodes, mounted equidistantly on an elastic electrode cap (M10 montage; EasyCap). All electrodes were referenced to the right mastoid and rereferenced to the average reference off-line. Vertical and bipolar horizontal electrooculograms were recorded for purposes of artifact correction. Continuous EEG was recorded using a BrainAmp amplifier (BrainProducts; 500 Hz sampling rate). Off-line EEG analysis was performed using Vision Analyzer software (BrainProducts). The data was digitally low-pass-filtered at 40 Hz, and ocular correction was performed (Gratton et al., 1983). The EEG signal was epoched into segments of 600 ms length, starting 100ms before the stimuli onset. Segments were then baseline corrected to the first 100ms, and artifact rejection was computed, eliminating epochs with amplitudes exceeding  $\pm 100 \mu\text{V}$ . Single-subject ERPs for ‘other emotion’ (other-happy, other-neutral) and ‘self emotion’ (self-happy, self-neutral) were calculated and used to compute ERP grand-averages across subjects. To analyse the self-face manipulation effect on early and mid-latency emotional face processing activity, mean voltages of the VEPs, time-locked to the observed face onset, were



## Effects of self-expression

1  
2  
3 computed at occipital, temporal and frontal regions of interest (ROIs; corresponding to  
4  
5 O1/z/2 -occipital-, TP9/10, P9/10 –temporal-, and F1/z/2 –frontal- electrodes of the 10/20  
6  
7 system), where electrophysiological markers of early and mid-latency emotional face  
8  
9 processing are typically observed (Williams et al., 2004, 2006; Conty et al., 2012). ROIs were  
10  
11 defined on the basis of the difference potential maps between the other-neutral and the other-  
12  
13 happy trials in the self-neutral condition. Mean ERP responses were computed by averaging  
14  
15 across electrodes within the ROIs. Repeated-measures ANOVA, with factors other emotion  
16  
17 (other-happy, other-neutral), self emotion (self-happy, self-neutral) and region (occipital,  
18  
19 temporal, frontal) was conducted on mean amplitudes for the time window (TW) of the  
20  
21 P120/N120 (120-150ms), N170/VPP (160-200 ms), P230/N200 (240-320ms) and N250/P300  
22  
23 (320-440ms) according to previous literature (Williams et al., 2006; Conty et al., 2012), and  
24  
25 also according to visual inspection of the topographical maps. Where appropriate,  
26  
27  
28  
29  
30  
31  
32  
33  
34  
35  
36  
37  
38  
39  
40  
41  
42  
43  
44  
45  
46  
47  
48  
49  
50  
51  
52  
53  
54  
55  
56  
57  
58  
59  
60  
Greenhouse–Geisser adjustments to the degrees of freedom were applied, and  $p$  values were  
corrected for multiple comparisons, using Bonferroni correction.

### *Electrophysiological source analysis*

Standardized Low Resolution Brain Electromagnetic Tomography (s-LORETA) was used to  
estimate the brain generators associated with modulations of visual-evoked activity. s-  
LORETA provides an approximate three-dimensional discrete solution to the inverse EEG  
problem. It estimates the most active brain areas using a 5mm resolution brain volume  
template of the Montreal Neurological Institute (MNI). MNI coordinates were translated to  
Talairach coordinates by Talairach Daemon (Pascual-Marqui, 2002). Compared to dipole-  
based methods, s-LORETA has the advantage of estimating activity sources without any *a*  
*priori* assumptions about the number of sources, or their location. Source estimations were  
performed on single-subject data to determine the likely regions differentially activated when

Effects of self-expression

observing happy *versus* neutral ‘other faces’ within the TW where the self-face manipulation affected visual processing of the other’s facial expressions (160-200ms).

## Results

### *Behavioral performance*

The two-way repeated-measures ANOVA with factors ‘other emotion’ (other-happy, other-neutral) and ‘self emotion’ (self-happy, self-neutral) showed a main effect of other emotion ( $F(1,23) = 298.71, p < 0.01$ ) indicating that observed’s happy faces were rated as more happy ( $M = 79.85, SD = 8.94$ ) than neutral faces ( $M = 29.98, SD = 11.47$ ). There were no significant main effects of self emotion or interaction other emotion X self emotion in the behavioural results.

### *Emotional modulation of VEP amplitudes*

We performed a repeated-measures ANOVA of VEP amplitude, with factors ‘other emotion’ (other-happy, other-neutral), ‘self emotion’ (self-happy, self-neutral) and region (occipital, temporal, frontal). Analysis of the N170/VPP time window revealed a significant main effect of other emotion, with enhanced VEP amplitude when participants were observing happy faces relative to neutral faces ( $F(1,23) = 21.95, p < 0.01$ ). Results also showed a significant interaction other emotion X self emotion ( $F(1,23) = 6.88, p = 0.01$ ). Follow-up *t* tests showed a significant difference between other-happy and other-neutral, in the self-neutral condition ( $t(23) = 5.023, p < .001$ ). However other-happy did not differ from other-neutral in the self-happy condition ( $t(23) = 1.93, p = .26$ ). A further contrast of the self-face manipulation effect (by subtracting the amplitudes of other-happy from the other-neutral, in the self-happy and self-neutral conditions separately) demonstrated a selective effect of the self-face manipulation on happy and neutral other faces, with a significant modulation of the N170/VPP component to other-neutral faces in the self-happy condition relative to the self-neutral condition ( $t(23) = 2.32, p = 0.04$ ) (Figure 2). Analysis of the P230/N200 TW revealed

## Effects of self-expression

1  
2  
3 a main effect of the factor self emotion ( $F(1,23) = 5.20, p = 0.03$ ) showing enhanced  
4  
5 amplitudes for VEPs associated to both other-happy and neutral faces in the self-happy  
6  
7 condition as opposed to the self-neutral condition. Furthermore, in the TW of the N250/P300  
8  
9 component, we observed a main effect of the factor 'other emotion' ( $F(1,23) = 8.85, p <$   
10  
11  $0.01$ ), and a significant interaction other emotion X region ( $F(2,46) = 5.25, p = 0.01$ ). Follow-  
12  
13 up  $t$  tests performed on individual ROIs revealed a main effect of other emotion at occipital  
14  
15 sites ( $t(23) = 2.91, p = 0.02$ ), reflecting an enhancement of VEPs to other happy *versus* other  
16  
17 neutral faces. There were no significant main effects, nor any interactions, with other emotion  
18  
19 for the P120/N120 time window. Overall, these results show that the self-face expression  
20  
21 manipulation modulates the visual processing of facial emotions within the N170/VPP TW,  
22  
23 as shown by the significant differences between the observation of other-happy and other-  
24  
25 neutral in the self-neutral condition, but not in the self-happy condition. The pattern of  
26  
27 interaction shown in Figure 2A suggests that the similar pattern of activation for other-happy  
28  
29 and other-neutral in the self happy condition is due to an enhancement of the other-neutral  
30  
31 activity, making this process similar to the ones of other-happy faces. In essences this shows  
32  
33 that adopting a happy face modulates the processing of non-happy (neutral) facial expression.

## Source localization analysis

34  
35  
36  
37  
38  
39  
40  
41  
42  
43  
44  
45  
46  
47  
48  
49  
50  
51  
52  
53  
54  
55  
56  
57  
58  
59  
60  
Cortical source estimation was performed on the N170/VPP TW (160-200ms), where self-  
face manipulation significantly modulated mean amplitude difference in VEPs. This  
identified a set of regions whose peak of activity was maximal for other-happy *versus* other-  
neutral conditions (Figure 2D). When participants adopted happy expressions, maximum  
differential activity between other-happy and other-neutral faces was source localized in the  
angular gyrus (Brodmann area –BA 39), secondary somatosensory cortices (SCx- BA 40),  
and in the associative visual cortex (BA 19) within the right hemisphere. By contrast, when  
participants adopted neutral expressions, a cluster of sources was found in the inferior

Effects of self-expression

temporal gyrus (ITG- BA 20) and the face fusiform area (FFA- BA 36/37) in the right hemisphere.

### *Specificity of self-happy expression on VEPs*

To determine whether the effects of self-happy expression on visual processing of facial emotions might be due to a mere contraction of one's facial muscles, rather than to the specific effects of smiling, we performed a control EEG study to examine the extent to which the contraction of one's facial muscles impacts on the neural activity underlying facial emotion processing. If the enhancement of the N170/VPP to other-neutral faces can be explained in terms of the general effects of one's facial muscle contraction, then adopting a posture involving contraction of facial muscles should modify the early cortical processing of facial emotions. In two blocks, participants (N=17; 3 males; aged 22–40 years; mean=27.35) performed the facial emotion judgment task, as described in the main study (see material and methods) while they were required to purse their lips in order to hold a pen with their lips only, which is assumed to cause contraction of the facial muscles which is incompatible with smiling (Strack et al, 1988) (the 'self-control' block), or to maintain a neutral facial expression (the 'self-neutral' block). A 2 (other emotion –other-happy, other-neutral) X 2 (facial muscle contraction –self-control, self-neutral) X 3 (ROI –occipital, temporal, frontal region) repeated-measures ANOVA of VEP amplitude showed an effect of other emotion in the N170/VPP TW - 160-200ms- (other emotion,  $F(1,16) = 10.29$ ,  $p = 0.01$ ; other emotion X ROI,  $F(2,32) = 11.35$ ,  $p = 0.01$ ), localized in temporal ( $t(16)=4.01$ ,  $p=0.01$ ) and occipital ( $t(16) = 3.45$ ,  $p = 0.01$ ) regions. Additional analysis showed a main effect of facial muscle contraction in the N250/P300 TW -320-440 ms – ( $F(1,16) = 6.82$ ,  $p = 0.01$ ). Importantly, there were no significant main effects of other emotion or facial muscle contraction or their interaction in the TWs of the P120/N120 (110-140 ms) or the P230/N200 (240-320 ms). These results reveal that engagement of one's own facial muscles does not affect emotion

Effects of self-expression

1  
2  
3 processing of facial expressions. They only show a general, non-specific effect of one's  
4  
5 contraction of facial muscles on later visual processing stages. Taken together, this control  
6  
7  
8 study confirms that the effects on visual processing of facial emotions within the N170/VPP  
9  
10 TW are specific to one's own facial expression of happiness (as reported in the main  
11  
12 experiment).

## 13 14 15 Discussion

16  
17 This study investigated the effect of one's own facial expressions on the visual processing of  
18  
19 other people's facial expressions, by means of cortical-evoked activity. In two separate  
20  
21 blocks, we asked participants to adopt either a happy or a neutral facial expression during a  
22  
23 judgement task of the emotion intensity of observed happy and neutral faces. This allowed us  
24  
25 to directly control and contrasts the effect of one's own emotional expression on the neural  
26  
27 mechanisms underlying visual processing of observed facial expressions. If visual face  
28  
29 processing is independent of one's own emotional expression, then the visual-evoked  
30  
31 potentials of observing other's happy and neutral faces should not be differentially affected  
32  
33 by one's own facial expressions.

34  
35 Our results show that one's own facial expression of happiness significantly modulated the  
36  
37 N170/VPP component in response to other's neutral faces, indicating that they were  
38  
39 processed in a similar manner to the observation of other's happy faces. This modulation  
40  
41 does not happen while observing happy faces or when one is adopting a neutral facial  
42  
43 expression. These results suggest that when adopting a happy facial expression, observed  
44  
45 facial expressions such as non-happy (neutral) faces are processed similarly to the way in  
46  
47 which a happy face is processed. Importantly, we found that the effect of this manipulation  
48  
49 of the participant's own facial expression was source localized within the secondary SCx, the  
50  
51 angular gyrus, and the associative visual cortex. Moreover, we observed an enhancement of  
52  
53 the N170/VPP and the N250/P300 components associated with other-happy faces relative to  
54  
55  
56  
57  
58  
59  
60

Effects of self-expression

1  
2  
3 other-neutral faces, which is in line with the results of previous studies (Williams et al.,  
4  
5 2006). We also found a modulation of the P230/N200 amplitude to both other people's happy  
6  
7 and neutral faces in the self-happy condition, as opposed to the self-neutral condition.  
8  
9

10 Overall, our results contribute to simulationist models of emotions (Niedenthal, 2007; Hussey  
11  
12 and Safford, 2009), showing the first functional manifestation of the impact of self facial  
13  
14 expressions on the electrophysiological response underlying visual face processing.  
15  
16

17 The main finding was that adopting a happy expression, as opposed to a neutral expression,  
18  
19 enhanced N170/VPP amplitude in response to another's neutral facial expression, suggesting  
20  
21 a direct contribution of one's own facial expression to the neural correlates of visual face  
22  
23 processing. Converging evidence suggests that the N170 component, and its fronto-central  
24  
25 concomitant the VPP, are likely to index early stages of face perception where the structural  
26  
27 visual features are encoded (Bentin et al., 1996; Williams et al., 2006). Furthermore,  
28  
29 observing happy faces has been associated with an enhancement of the N170/VPP complex  
30  
31 relative to neutral faces (Ashley et al., 2004; Williams et al., 2006). Here we show that  
32  
33 expressing happiness leads to an enhancement of N170/VPP component of response to  
34  
35 neutral faces, which previously has been only associated to emotional priming effects  
36  
37 (Williams et al., 2004, 2006; Conty et al., 2012). These results are in line with former studies  
38  
39 showing contextual effects of emotion on low level processing of visual information, in  
40  
41 which prior visual emotional information biases the incoming neutral stimulus (Werheid et  
42  
43 al., 2005; Li et al., 2008; Lu et al., 2011). Our findings provide novel evidence that not only  
44  
45 external visual context but also one's own bodily context modulates visual processing of  
46  
47 facial expressions.  
48  
49  
50  
51  
52  
53

54 Our results support the notion that intentionally adopting a particular facial expression can  
55  
56 modulate the subjective feelings corresponding to that emotion, which in turns influences  
57  
58 perception of other's facial expressions (i.e. Khun et al., 2011). Neuroimaging investigations  
59  
60

## Effects of self-expression

1  
2  
3 have demonstrated that intentional imitation of happy expressions heightens the engagement  
4  
5 of brain areas that represent pleasant feelings states and reward (Lee et al., 2006), whereas the  
6  
7 intentional expression of a different emotion, such as sadness, leads to an activation of  
8  
9 multimodal brain areas associated with emotional conflict processing (Lee et al., 2008; Khun  
10  
11 et al., 2011). However, despite the evidence that **one's own** emotional expression **engages**  
12  
13 multimodal brain areas of emotion processing, direct empirical evidence about the effects of  
14  
15 one's facial **emotional expression** on the visual sensory processing of **observed** facial  
16  
17 expressions have not been provided until now. We here show for the first time that **one's own**  
18  
19 happy expression acts as top-down influence on early stages of visual processing, modulating  
20  
21 low-level neural activity when **one observes** neutral faces as compared to happy faces.  
22  
23 Furthermore, one's own **facial** expression modulates specific stages of visual processes  
24  
25 related to the encoding of other's facial expressions.  
26  
27

28  
29 The neural sources of the maximum peak difference between **the** 'other-neutral' and 'other-  
30  
31 happy' face, when participants **assumed** happy expressions, were localized in the right  
32  
33 associative visual cortex and the right angular gyrus. These cortical areas **are** involved in the  
34  
35 integration of visual information and multimodal information from visual, somatosensory and  
36  
37 auditory primary areas, respectively. These results accord well with previous evidence of the  
38  
39 engagement of these cortical areas in response to affective stimuli associated with strong  
40  
41 somatovisceral responses (Phillips et al., 1998; Kesler-West et al., 2001). **Moreover, the**  
42  
43 **secondary SCx was a further** neural focus in source localized activity associated with neutral  
44  
45 *versus* happy other face in the self-happy condition. The secondary SCx is responsible for  
46  
47 integration of sensorimotor signals from the body (Maldjian et al., 1999) **and has** a  
48  
49 fundamental role in the processing of emotional faces (Pitcher et al., 2008; Sel et al., 2014).  
50  
51 **By contrast,** when participants adopted neutral expressions, the maximum peak difference  
52  
53 between happy and neutral other face was source localized in the ITG and the FFA in the  
54  
55  
56  
57  
58  
59  
60

Effects of self-expression

1  
2  
3 right hemisphere. These cortical areas are associated with high level processing of visual  
4  
5 information, with a **principal** role in the integration of visual elements into perceptual wholes  
6  
7  
8 (Haxby et al., 2000; Atkinson and Adolphs, 2011).

9  
10 Taken together, our findings support the hypothesis that facial expression recognition cannot  
11  
12 be performed as a disembodied cognitive process **but rather that** perception of facial  
13  
14 expression relies on the activation of sensorimotor areas which have an active role on the  
15  
16 processing of biologically significant stimuli (Pitcher et al., 2008; Sel et al., 2014). On the  
17  
18 other hand, the lack of modulation of the N170/VPP component **in response** to happy faces as  
19  
20 a result of one's **own** happy expression is perhaps less consistent with previous findings of  
21  
22 facial mimicry (i.e. Lee et al., 2006). However, it should be noted that **the two** accounts are  
23  
24 not mutually exclusive within the context of this study. Considering that, **during** facial  
25  
26 mimicry, the intentional expression of a happy face facilitates the perception of positively  
27  
28 valenced stimuli including smiling faces, one might expect a modulation of the N170/VPP  
29  
30 complex to happy faces when participants **adopted a** happy face. Importantly, however, the  
31  
32 current results show a modulation of the P230/N200 component, in the 'self-happy'  
33  
34 condition, to both happy and neutral **observed** face, indicating a non-valence-specific effect  
35  
36 of one's **own** happy face on visual processing. It **may** thus be possible that the lack of  
37  
38 **recorded effect of one's own facial** expression on the visual processing of **another's** happy  
39  
40 face **in this experiment may have been** hidden by a ceiling effect, that would only **reveal the**  
41  
42 effects **of** other's neutral face **because** the amplitude of the N170/VPP is by nature greater in  
43  
44 happy than neutral expressions. **Potentially** a more demanding paradigm, i.e. presentation of  
45  
46 irrelevant information simultaneously to target stimuli, is required to **resolve** whether one's  
47  
48 **own** expression of happiness affects the visual processing of happy or other emotional faces.  
49  
50 Nonetheless, our findings endorse the **proposal** that emotional facial mimicry is not purely a  
51  
52 motor behaviour but also modulates visual processing of facial expressions.  
53  
54  
55  
56  
57  
58  
59  
60



## Effects of self-expression

1  
2  
3 Furthermore, our results demonstrate that changes in the state of somatosensory and motor  
4 multimodal areas lead to modulations of cortical activity in low-level visual areas. These  
5 observations are consistent with a Predictive Coding (PC) framework, an emerging unifying  
6 theory of cortical function. The key premise of PC is that perception relies on hierarchical  
7 generative representations of the sensory inputs, that arise from multisensory information,  
8 and that are constantly updated through the prediction and integration of unimodal sensory  
9 information (i.e. emotional faces) in multimodal areas (Friston and Kiebel, 2009; Clark,  
10 2013). Likewise, we could argue that the sensorimotor representations of happiness in  
11 multimodal areas, triggered by motor expression, might act as top-down influence on the  
12 visual perception of neutral faces, by updating predictions about the causes of the sensory  
13 signals, and thus induce positive biases in the VEPs. However, although it is tempting to  
14 speculate about the probabilistic nature of the one's own facial expression effects on visual  
15 face processing, further studies are required to confirm such hypotheses.

16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28  
29  
30  
31  
32  
33  
34 In conclusion, this study provides novel evidence for a fundamental role of one's own facial  
35 expressions in the visual processing of the observed facial expressions of other people and  
36 provides support for the colloquial phrase that "if you smile, the world will smile back to  
37 you". Specifically, we have shown that expressing happiness, versus wearing a neutral  
38 expression, biases the processing of neutral facial expressions by enhancing cortical visual-  
39 evoked responses to neutral faces, similar to the VEPs typically observed in response to  
40 positive faces. This effect was source localized in multisensory associative areas and in  
41 associative somatosensory cortex, demonstrating the involvement of multimodal areas in the  
42 top-down modulation of low-level sensory visual cortex. Overall, our results provide support  
43 for simulationist models of emotion as well as demonstrating the specific contribution of  
44 bodily states to visual face processing.

45  
46  
47  
48  
49  
50  
51  
52  
53  
54  
55  
56  
57  
58  
59  
60

Effects of self-expression

1  
2  
3  
4  
5  
6  
7  
8  
**Funding:** This work was funded by the grant AP2008-00664 from the Spanish Ministry of Education (AS), and the grants RYC-2008-03090 and PSI2012-34558 from the Spanish Ministry of Economy and Competitiveness (BCM) and the City University Pump Priming Scheme.

9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28  
29  
30  
31  
32  
33  
34  
35  
36  
37  
38  
39  
40  
41  
42  
43  
44  
45  
46  
47  
48  
49  
50  
51  
52  
53  
54  
55  
56  
57  
58  
59  
60  
**Acknowledgements:** The authors want to thank Karin Chellew for her help in data collection and Vivien Ainley for her help in proofreading the manuscript. The authors declare no competing financial interests.

For Peer Review

1 Effects of self-expression  
2

3 **References**  
4

5 Ashley, V., Vuilleumier, P., Swick, D., (2004). Time course and specificity of event-related  
6 potentials to emotional expressions. *Neuroreport*, 15, 211- 6.  
7

8  
9  
10  
11 Atkinson, A.P., Adolphs, R. (2011). The neuropsychology of face perception: beyond simple  
12 dissociations and functional selectivity. *Philosophical Transactions of the Royal Society of*  
13  
14  
15  
16 *London. Series B: Biological Sciences*, 366, 1726 –38.  
17

18  
19 **Blaesi, S., Wilson, M. (2010). The mirror reflects both ways: action influences perception of**  
20  
21 **others. *Brain and Cognition*, 72, 306-309.**  
22

23  
24  
25 Bentin, S., Allison, T., Puce, A., Perez, E., McCarthy, G. (1996). Electrophysiological studies  
26 of face perception in humans. *Journal of Cognitive Neuroscience*, 8, 551-72.  
27

28  
29  
30 Bouton, M. (2001). Theories of associative learning in animals. *Annual Review of*  
31  
32  
33 *Psychophysiology*, 52, 111-39.  
34

35  
36  
37  
38  
39  
40  
41  
42  
43  
44  
45  
46  
47  
48  
49  
50  
51  
52  
53  
54  
55  
56  
57  
58  
59  
60  
Clarck, A. (2013). Whatever next? Predictive brains, situated agents, and the future of  
cognitive science. *Behavioral and Brain Sciences*, 36, 181-253.

Conty, L., Dezechache, G., Hugueville, L., Grezes, J. (2012). Early binding of gaze, gesture,  
and emotion: neural time course and correlates. *The Journal of Neuroscience*, 32, 4531–39.

Ekman, P. (2004). *Emotions revealed: Recognizing faces and feelings to improve*  
*communication and emotional life*. New York: Owl Books.

Friston, K., Kiebel, S. (2009). Predictive coding under the free-energy principle.  
*Philosophical Transactions of the Royal Society of London. Series B: Biological Sciences*.  
364, 1211-21

1 Effects of self-expression

2  
3 Gratton, G., Coles, M.G., Donchin, E. (1983). A new method for off-line removal of ocular  
4 artifact. *Electroencephalography and Clinical Neurophysiology*, 55, 468–84.

5  
6  
7  
8  
9 Halberstadt, J., Winkielman, P., Niedenthal, P.M., Dalle, N. (2009). Emotional conception:  
10  
11 How embodied emotion concepts guide perception and facial action. *Psychological Sciences*,  
12  
13 20, 1254–1261

14  
15  
16  
17 Haxby, J.V., Hoffman, E.A., Gobbini, M.I. (2000). The distributed human neural system for  
18 face perception. *Trends in Cognitive Sciences*, 4, 223–33.

19  
20  
21  
22 Hussey, E., Safford, A. (2009). Perception of facial expressions in somatosensory cortex  
23 supports simulationist models. *The Journal of Neuroscience*, 29, 301-2.

24  
25  
26  
27  
28 Ito, T.A., Chiao, K.C., Devine, P.G., Lorig, T.S., Cacioppo, J.T. (2006). The influence of  
29  
30 facial feedback on race bias. *Psychological Sciences*, 17, 256-261.

31  
32  
33  
34 Kesler-West, M.L., Andersen, A.H., Smith, C.D., Avison, M.J., Davis C.E., Kryscio R.J.,  
35  
36 Blonder, L.X. (2001). Neural substrates of facial emotion processing using fMRI. *Cognitive*  
37  
38 *Brain Research*, 11, 213–26.

39  
40  
41  
42 Kuhn, S., Muller, B.C., van der Leij, A., Dijksterhuis, A., Brass, M., van Baaren, R.B.  
43  
44 (2011). Neural correlates of emotional synchrony. *Social Cognitive and Affective*  
45  
46 *Neuroscience*, 6, 368–74.

47  
48  
49  
50 Lee, T.W., Josephs, O., Dolan, R.J., Critchley, H.D. (2006). Imitating expressions: emotion-  
51  
52 specific neural substrates in facial mimicry. *Social Cognitive and Affective Neuroscience*, 1,  
53  
54 122-35.

55  
56  
57  
58 Lee, T.W., Dolan, R.J., Critchley, H.D. (2008). Controlling emotional expression: Behavioral  
59  
60 and neural correlates of nonimitative emotional responses. *Cerebral Cortex*, 18, 104–13.

1 Effects of self-expression  
2

3 Li, W., Zinbarg, R.E., Boehm, S.G., Paller, K.A. (2008). Neural and behavioral evidence for  
4 affective priming from unconsciously perceived emotional facial expressions and the  
5 influence of trait anxiety. *Journal of Cognitive Neuroscience*, 20, 95–107  
6  
7

8  
9  
10  
11 Lu, Y., Zhang, Zhang W., Hu W., Luo Y. (2011). Understanding the subliminal affective  
12 priming effect of facial stimuli: an ERP study. *Neuroscience Letters*, 502, 182-5.  
13

14  
15  
16  
17 Lundqvist, D., Flykt, A., Öhman, A. (1998). The Karolinska Directed Emotional Faces -  
18 KDEF, CD ROM from Department of Clinical Neuroscience, Psychology section, Karolinska  
19 Institutet.  
20  
21

22  
23  
24  
25 Maldjian, J.A., Gottschalk, A., Patel, R.S., Detre, J.A., Alsop, D.C. (1999). The sensory  
26 somatotopic map of the human hand demonstrated at 4 Tesla. *Neuroimage*, 10, 55– 62.  
27  
28

29  
30 Niedenthal, P.M. (2007). Embodying Emotion. *Science*, 316, 1002-5.  
31  
32

33  
34 Oberman, L.M., Winkielman, P., Vilayanur, S., Ramachandran, S. (2007). Face to face:  
35 Blocking facial mimicry can selectively impair recognition of emotional expressions. *Social*  
36 *Neuroscience*, 2, 167-78.  
37  
38

39  
40  
41 Pascual-Marqui, R.D. (2002). Standardized low-resolution brain electromagnetic tomography  
42 (sLORETA): technical details. *Methods and Findings in Experimental Clinical*  
43 *Pharmacology*, 24 [Suppl D], 5–12.  
44  
45  
46  
47

48  
49 Pitcher, D., Garrido, L., Walsh, V., Duchaine, B.C. (2008). Transcranial magnetic stimulation  
50 disrupts the perception and embodiment of facial expressions. *The Journal of Neuroscience*,  
51  
52 28, 8929–33.  
53  
54  
55  
56  
57  
58  
59  
60

1 Effects of self-expression

2  
3 Phillips, M.L., Young, A.W., Scott, S.K., Calder, A.J., Andrew, C., Giampietro, V., et al.  
4  
5 (1998). Neural responses to facial and vocal expressions of fear and disgust. *Proceedings of*  
6  
7 *the Royal Society of London B: Biological Sciences*, 265, 1809–17.

8  
9  
10  
11 Sel, A., Forster, B., Calvo-Merino, B. (2014). The emotional homunculus: ERP evidence for  
12  
13 independent somatosensory responses during facial emotional processing. *The Journal of*  
14  
15 *Neuroscience*, 34, 3263-67.

16  
17  
18  
19 Strack, F., Martin, L.L., Stepper, S. (1988). Inhibiting and facilitating conditions of the  
20  
21 human smile: a nonobtrusive test of the facial feedback hypothesis. *Journal of Personality*  
22  
23 *and Social Psychology*, 54: 768-77.

24  
25  
26  
27 Werheid, K., Alpay, G., Jentzsch, I., Sommer, W. (2005). Priming emotional facial  
28  
29 expressions as evidenced by event-related brain potentials. *International Journal of*  
30  
31 *Psychophysiology*, 55: 209-219.

32  
33  
34  
35 Williams, L.M., Liddell, B.J., Rathjen, J., Brown, K.J., Gray, J., Phillips, M., Young, A.,  
36  
37 Gordon, E. (2004). Mapping the time course of nonconscious and conscious perception of  
38  
39 fear: an integration of central and peripheral measures. *Human Brain Mapping*, 21, 64–74.

40  
41  
42  
43 Williams, L.M., Palmer, D., Liddell, B.J., Song, L., Gordon, E. (2006). The “when” and  
44  
45 “where” of perceiving signals of threat versus non-threat. *Neuroimage*, 31, 458–67.

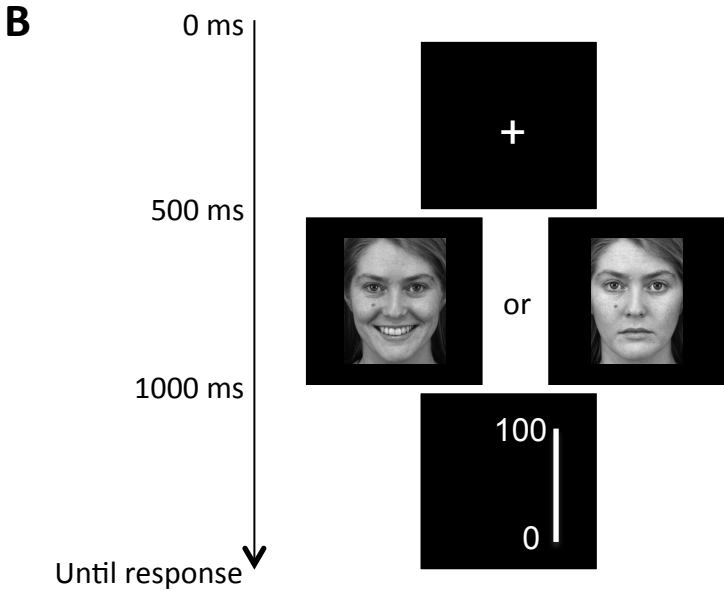
Effects of self-expression

### Figure Legends

Figure 1: (A) Left- Self-neutral block, participants were asked to maintain a neutral expression and relax their face. Right- Self-happy block, participants were instructed to hold a happy expression by biting on a pen horizontally with the teeth. (B) Timeline of the stimuli presentation.

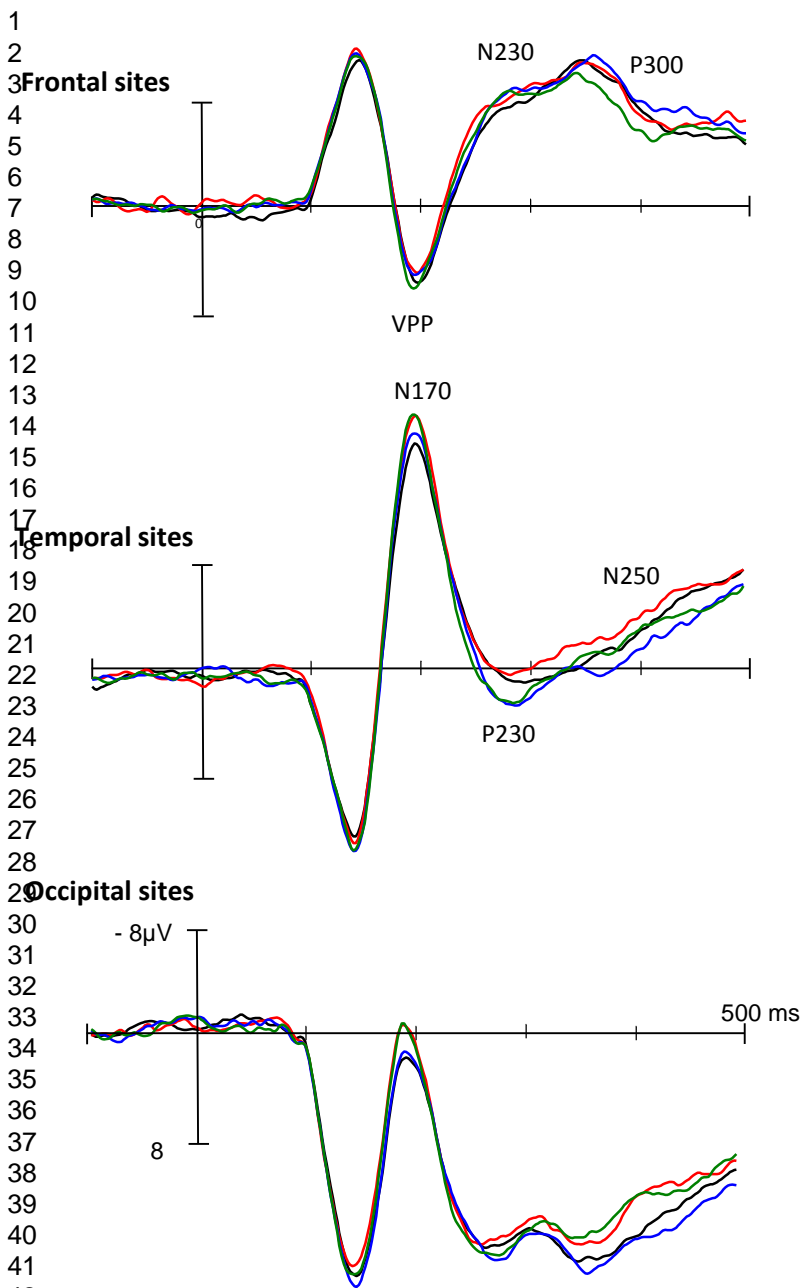
Figure 2: (A) Grand average VEPs when observing happy faces (green: self-happy condition; red: self-neutral condition) and neutral faces (blue: self-happy condition; black: self-neutral condition). (B) Selected electrodes included in the ANOVA. (C) Topographical maps showing differential activity to happy *versus* neutral other face in the self-happy and self-neutral conditions at N170/VPP, P230/N230 and N250/P300 time windows. (D) Three-dimensional representation of sLORETA statistical maps showing candidate regions where maximal happy *versus* neutral differential activity was source localized at N170/VPP latency in the self-happy and self-neutral conditions.

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28  
29  
30  
31  
32  
33  
34  
35  
36  
37  
38  
39  
40  
41  
42  
43

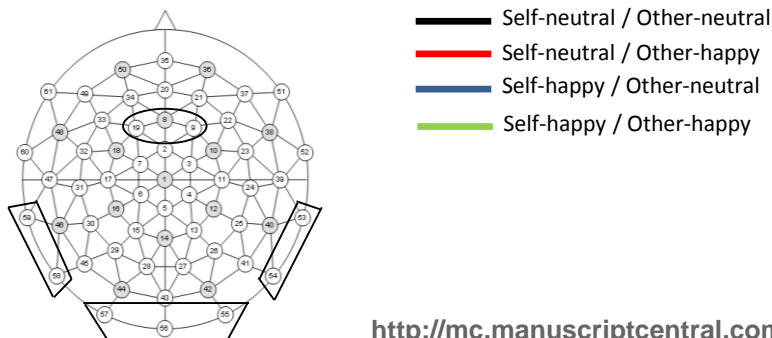




### A Visual evoked potentials

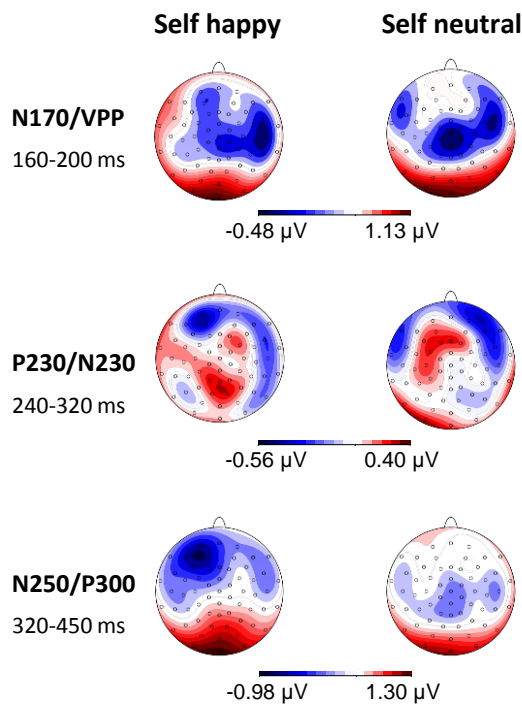


### B Electrode map



### C Topographical maps

Happy vs Neutral other face



### D Source localized activity

Happy vs Neutral other face

