

# A statistical property of fly odor responses is conserved across odors

Charles F. Stevens<sup>a,b,1</sup>

<sup>a</sup>The Salk Institute, University of California, San Diego, La Jolla, CA 92037; and <sup>b</sup>Kavli Institute for Brain and Mind, University of California, San Diego, La Jolla, CA 92037

Contributed by Charles F. Stevens, April 22, 2016 (sent for review March 26, 2016; reviewed by Elissa A. Hallem and Aravinthan D.T. Samuel)

**I have reanalyzed the data presented by Hallem and Carlson [Hallem EA, Carlson JR (2006) *Cell* 125(1):143–160] and shown that the combinatorial odor code supplied by the fruit fly antenna is a very simple one in which nearly all odors produce, statistically, the same neuronal response; i.e., the probability distribution of sensory neuron firing rates across the population of odorant sensory neurons is an exponential for nearly all odors and odor mixtures, with the mean rate dependent on the odor concentration. Between odors, then, the response differs according to which sensory neurons are firing at what individual rates and with what mean population rate, but not in the probability distribution of firing rates. This conclusion is independent of adjustable parameters, and holds both for monomolecular odors and complex mixtures. Because the circuitry in the antennal lobe constrains the mean firing rate to be the same for all odors and concentrations, the odor code is what is known as maximum entropy.**

fly | olfaction | theory | odor code

The projection neurons of the fly antennal lobe present odor information to the Kenyon cells of the mushroom body in the form of a combinatorial code—each odor is specified by a particular pattern of firing rates across the population of projection neurons—and a recent paper (1), using data published in ref. 2, provided preliminary evidence that this odor code is what information theorists call maximum entropy (3). To understand what a maximum entropy code is, suppose that we record the firing rates from, say, 10 different projection neurons, each presented with, say, 10 different odors to give a total of 100 firing rates. Now make a histogram of these firing rates. If the odor code is maximum entropy, this histogram would have nearly the same shape no matter which projection neurons and which odors were chosen. Also, the larger the sample of projection neurons and/or odors, the closer the shapes of histograms would be. Remarkably, if only a single odor and many projection neurons, or a single projection neuron and many odors, are used to generate the rates, the histogram shape is always nearly the same.

Many different maximum entropy codes have been studied, and the type of code is defined by the shape of the histogram that results from a sample of rates. The histogram in each case is an approximation of a probability distribution of rates. For example, if the mean rate is always the same, the maximum entropy code is known to be associated with an exponential distribution of rates, and if both the mean and variance are always the same, a Gaussian distribution of rates is associated (3). For the fly projection neurons, the associated probability distribution of rates is proposed to be an exponential (1) (with always the same mean).

As pointed out earlier (1), a maximum entropy code would be advantageous to the fly because it would permit the most odors to be discriminated with the available number of odorant receptors.

This characterization of the odor code used by antennal lobe projection neurons makes a strong prediction about the odor responses of olfactory receptor neurons (ORNs) in the antennae that supply olfactory information to the antennal lobe. Among the computations carried out by the antennal lobe, we know an important job of this structure is to remove the odorant concentration

dependence from the ORN responses (4–6)—i.e., to make the mean projection neuron rate the same for any odor at almost any concentration. The ORNs must differ from antennal lobe projection neurons insofar as the ORN mean rates depend on odor concentration, whereas projection neuron mean rates do not; otherwise, the population of ORNs is predicted to respond the same way to any odor. This difference means that the probability distribution for ORN firing rates in response to any odor should have an exponential shape, even though the mean rate varies with odor concentration, because the shape of the firing rate distribution should be maintained by the gain control between the ORNs and antennal lobe projection neurons (6).

Testing these predictions is important, because the conclusion that the fly's antennal lobe uses a maximum entropy code was based on a histogram of firing rates constructed from a sample of only 126 projection neuron rates (2), and thus this conclusion remains unproven for at least three reasons. First, a sample of only 126 rates may be too small to detect significant departures from an exponential distribution. Second, because only a small fraction of the projection neurons types and 18 odors (of the many hundreds experienced by the fly) were used to generate the 126 rates, the small sample size raises questions about the generality of the conclusion. Finally, only monomolecular odors were used, whereas most natural odors are mixtures (often hundreds of monomolecular odors at different concentrations), and the idea that the same probability distribution describes both monomolecular odors and odor mixtures—as would be necessary if the odor code is maximum entropy—is untested.

Fortunately, two classic papers by Hallem and Carlson (7, 8) provide the data necessary to test the idea that the fly odor code is, in fact, maximum entropy. These papers reported measured firing rates of 24 ORN types (a different odorant receptor gene for each neuron type) in response to a panel of 110 monomolecular odors and extracts from nine types of fruit. The fruit fly olfactory system naturally specializes in odors from biologically relevant fruits and other odor sources. Of the 110 odors studied by Hallem and Carlson (7, 8), many were associated with fruits, but the entire panel of odors included a wide

## Significance

**Although the brain has long been considered to use combinatorial codes (a defined population of neurons whose pattern of rates is specific to a particular object), in no case has the code been well-characterized. Here I characterize the fly odor code by showing it is maximum entropy; what this means is that the response to all odors is statistically the same. This characterization is a significant first step in cracking the odor code.**

Author contributions: C.F.S. designed research, performed research, analyzed data, and wrote the paper.

Reviewers: E.A.H., University of California, Los Angeles; and A.D.T.S., Harvard University. The authors declare no conflict of interest.

<sup>1</sup>Email: [stevens@salk.edu](mailto:stevens@salk.edu).

This article contains supporting information online at [www.pnas.org/lookup/suppl/doi:10.1073/pnas.1606339113/-DCSupplemental](http://www.pnas.org/lookup/suppl/doi:10.1073/pnas.1606339113/-DCSupplemental).







the way the background firing rate is modified by odor inhibition, and by random fluctuations in the empirical histograms.

To estimate the underlying probability distribution function that produces the histograms in Fig. 2C, I have averaged the 36 normalized distributions that appear in this figure. The estimated underlying probability of finding an ORN that fires at a particular rate for a given odor appears in Fig. 2D.

As before, I have fitted an exponential distribution function to the estimated probability distribution. Clearly, the fit is mostly a good one, so the exponential distribution describes the normalized empirical distribution function arising from complex odor mixtures presented at different concentrations; this is the predicted result.

In addition to the data on the nine fruit extracts, table S2 in ref. 8 also has data on 10 of the monomolecular odors from table S1 presented at four concentrations each that range over six orders of magnitude. Fig. S2 presents these data to show that the conclusions for the monomolecular odors at different concentrations are basically the same as those for the complex mixtures.

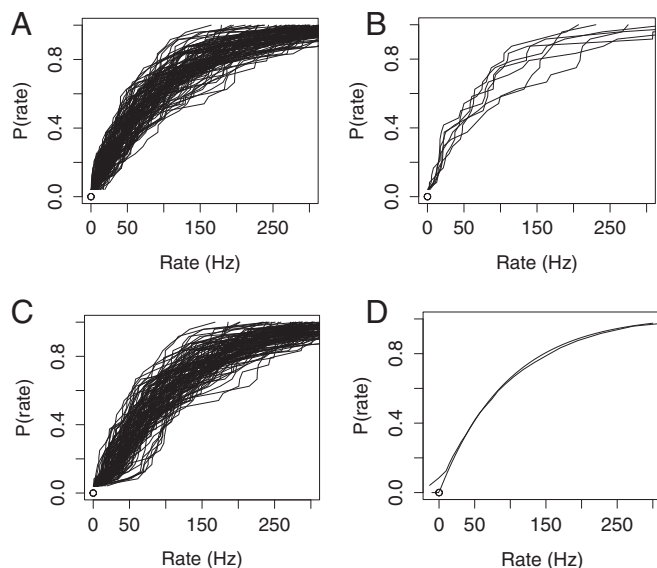
**Model of ORN Properties.** In previous sections, the figures have shown either 36 (Fig. 2C) or 110 (Fig. 1B) superimposed histograms—ones that have been normalized to a mean rate of 100 Hz—that represent cumulative probability as a function of ORN rate. In both cases, a broad band of histograms appears, and I have claimed that this broad band arises from statistical fluctuations due to the small sample size (24) and the variable way in which various odors correct for this background firing through how much they inhibit it. To substantiate this claim, I need to show that these two effects (small sample size and variable correction of background firing) can produce superimposed histograms like those seen in Figs. 1 and 2. That is the goal of this section.

Examining the effects of the sample size (24) on variability in the shape of the histograms is easy: generating a collection of 24 random numbers according to an exponential distribution with a mean of 100 is a standard operation (see *Experimental Procedures* for more details). I produced 110 such collections and constructed cumulative histograms from them in the same way as I did for the actual Hallem and Carlson (8) data. The result appears in Fig. 3A, and a sample of six of the 110 histograms (every 18th) is displayed in Fig. 3B so the traces do not obscure one another. It is apparent from Fig. 3A and B that the individual traces are about as variable as the single histograms derived as the actual data.

In Fig. 3C, the effect of a variable correction of the background firing has been included by adding a randomly selected background rate (distributed according to exponential distributions with a means of 9 and 5 Hz for the two lowest-firing ORNs). Notice that including these background rates broadens the lower part of the band of 110 distributions and gives the characteristic slow linear rise to the point at which the histograms start to increase rapidly. Thus, the main part of the variability between individual histograms can arise from the small sample size (24), but the effect of the incomplete correction of the background rate has an important effect near the origin of the histograms.

As before, I have also averaged the histograms in Fig. 3C and presented the average in Fig. 3D, where it appears as a smooth curve. Exponential distribution has been superimposed on the simulated distribution function, and the exponential distribution is a mostly accurate description.

I conclude, then, that the random suppression of the background firing, together with the sampling fluctuations from an exponential distribution, are adequate to explain the behavior of the actual data presented in Figs. 1 and 2.



**Fig. 3.** (A) The 110 histograms, each based on 24 rates distributed according to an exponential distribution with a mean rate of 100 Hz. (B) Six individual histograms from A (every 18th). (C) The 110 histograms generated according to an exponential distribution with the two ORNs with the slowest firing ORNs given a randomly selected background firing rate. (D) The average of the 110 histograms in C with an exponential distribution superimposed as in Figs. 1D and 2D.

## Discussion

My result here is a simple one: every odor, pure or complex, produces statistically the same output (one arising from the same probability distribution) from the fly's population of ORNs, except that the mean rate of the population differs according to odor concentration. In detail, however, which ORN types are firing at which rates varies considerably for different odors (tables S1 and S2 in ref. 8).

No obvious exceptions to my simple conclusion are apparent in the data presented in the figures above, but I know this conclusion cannot be completely correct: at least two receptors (Gr21a and Or56a) are known to respond selectively to only CO<sub>2</sub> (13) and geosmin (14), respectively. How well my conclusion for the fruit fly applies across different insect species compared with the alternative “labeled-line” approximation will require further evaluation (15).

Furthermore, an entirely genetically different class of 15 odorant receptor types, the ionotropic receptors (IRs) discovered after the Hallem and Carlson work (16), are present in the fly antennae. These receptors are present in a distinct class of sensilla (coelonic), tend to respond to acids and amines, and are related to the family of ionotropic glutamate receptors present at synapses. The IRs project to distinct glomeruli in the antennal lobe, and from there to Kenyon cells, but the responses of individual IR types to a panel of odors is, as yet, unknown (17), so the IRs responses cannot be related to the OR responses described here.

Hallem and Carlson (8) characterized odorant receptor types according to their “tuning curves,” which were constructed to appear similar to tuning curves for other sensory modalities. To construct a tuning curve, Hallem and Carlson (8) rank ordered the responses of the 24 ORNs to a specific odor (from largest to smallest firing rates), plotted the largest rate on the y axis at  $x = 0$ , and then the even-numbered rates in the positive  $x$  direction and the odd rates in the negative  $x$  direction. The result is a graph of 24 rates on the y axis, one for each ORN, with the largest in the center ( $x = 0$ ) and the other 23 rates decreasing in both directions away from the origin of the  $x$  axis. If the odor studied activated only a few

ORNs strongly, the tuning is very narrow, and if many ORNs are activated more strongly, the tuning curve is very broad. A wide range of tuning widths was found, and the tuning for various odors ranged from narrow to broad for the odors studied.

How does this description of tuning curves relate the description here in terms of cumulative probability distributions of firing rates for 24 ORNs measured for each odor (Fig. 1A; *Cumulative Histograms*)? I have also rank ordered the 24 firing rates (but from small to large rather than large to small), and have plotted these rank-ordered rates on the  $x$  axis and the fraction of rates less than or equal to a given rate on the  $y$  axis (the cumulative probability). The rates for all odors were found to be exponentially distributed, but with different mean rates for each odor (Fig. 1A). Thus, the Hallem–Carlson tuning width is related to the mean firing rate of the present analysis, and Fig. 1A would exhibit the distribution of Hallem–Carlson tuning widths (8).

According to my analysis of the nine fruit extracts, each at four concentrations, the relation between mean ORN rate and odor concentration follows the equation  $\bar{r} = a(\lambda c_0)^k$ , where  $\bar{r}$  is the mean ORN firing rate (calculated across the 24 ORNs studied),  $\lambda$  is the relative concentration (measured by the dilution from a specific odor concentration),  $c_0$  is the odorant concentration in the dilution of the undiluted extract,  $a$  is the constant 80 (Hz), and  $k = 0.166$ , a unitless constant derived from the slope of the straight line fitted to the observed relation between odor relative concentration and measured mean ORN firing rate on a double-logarithmic plot.

Recall that normalizing the cumulative probability histograms to have the same mean rate [by multiplying all observed rates for one odor by  $100/(\text{mean rate for that odor})$ ] gave histograms that were described by an exponential distribution (except for the lowest rates). Probability distributions that superimpose when normalized in this way are called “self-similar distributions,” and they have a remarkable property: to be self-similar, their mean (and possibly other statistics for certain distributions) must be described by a power law like the one for the mean rate  $\bar{r}$  discussed in the previous paragraph [see Stevens (18) for a simple description of self-similar functions in a biological context and an explanation for why the mean rate must follow a power law]. I confirmed this prediction about the mean rate following a power law in Fig. 2B. Many functions are self-similar, but the exponential probability distribution is known to depend, according to a power law, on only its mean. Another well-known self-similar probability distribution is the Gaussian, and it depends according to power laws on both its mean and variance. Of course, the power law for  $\bar{r}$  cannot be correct for all odor concentrations because saturation must occur when the concentration is sufficiently high and, as saturation occurs, the self-similarity of the probability distributions will also fail (and the shape of the distributions will change).

These observations are important for two reasons. First, my conclusions here can hold only over the low end of the odor concentration range where the odorant receptors are far from saturated. Specifically, the responses to the 110 monomolecular odors are, statistically, only the same in this low-concentration regime. Second, the self-similar behavior in this low-concentration range also explains why all odors, both monomolecular and mixtures, must be, statistically, the same. In this odor concentration range, the mean firing rate across the population of ORNs depends only on concentration and not on the type of odor (see the power law equation above for mean rate vs. odor concentration). Whenever the mean rate as a function of concentration is independent of odor type and the distribution functions are self-similar, the distribution must be an exponential as was found here.

Although the Hallem and Carlson (8) study was extensive—24 ORN types, 110 monomolecular odors, and 9 fruit odor mixtures were studied—the question remains whether my conclusions would apply if more ORN types and more odors were included.

The 24 ORN types represented in the analysis here is a little under half of the 52 odorant receptors expressed by ORNs (11). Although the fly repertoire of receptors is weighted toward fruit odors, the odor panel used for the experiments reanalyzed here was chosen to include 10 functional categories of chemicals (amines, lactones, acids, sulfur compounds, terpenes, aldehydes, ketones, aromatics, esters, and alcohols). Furthermore, the sensilla represented are approximately in proportion—twice as many basiconic as trichoid—to the number present in the antenna (19). Together, short of a complete survey, the Hallem and Carlson (8) work made a significant effort to provide a representative sample of the fly’s encoding of odors. The normalized cumulative probability distributions for the 10 chemical classes of odors appear in Fig. S3, so the reader can judge if the conclusions I draw represent the 10 odor classes.

Although it has been proposed that combinatorial codes may be common in the brain (for two seminal papers, see refs. 20 and 21), to my knowledge, no combinatorial code has been mathematically characterized. Similarities between olfaction in insects and vertebrates (22) raise the possibility that vertebrates might also use a maximum entropy code like the fly, and it would be interesting, then, to see if other combinatorial codes share the maximum entropy property.

## Materials and Methods

**Experimental Procedures.** The work described here depended almost exclusively on forming cumulative probability histograms of ORN firing rates, normalizing these histograms to an arbitrary mean firing rate (selected to be 100 Hz), and estimating the underlying probability distribution function by averaging the normalized histograms. I cover these procedures in turn. All three procedures are simple and straightforward.

The cumulative histogram of ORN firing rates estimates the probability distribution of finding a rate that is less than or equal to some given rate. The probability density function (the probability of finding a rate within a narrow range around a given rate) is more intuitive but requires selecting a bin size for the rates. The cumulative histograms are chosen here because they contain the same information and do not require selecting a bin size.

**Cumulative Histograms.** The procedure for forming a cumulative histogram is as follows: select an odor (one of the rows of the tables S1 or S2 of ref. 8). Each row in the table gives a list of 24 firing rates, and this list is sorted to place the rates in increasing order. Call the sorted list  $f$ . Now plot  $f$  on the  $x$  axis of a graph against a list  $y$  that runs from  $(1-24)/24$  (i.e., in even steps of  $1/24$ th from 0 to 1). For each entry in the list  $f$ , the  $y$  axis is increased by  $1/24$ . The result is a cumulative histogram across all of the ORNs for the odor (the row) chosen.

The original tables S1 and S2 in ref. 8 presented values of the observed firing rate for each ORN with the background firing rate for that ORN subtracted, and this produced negative firing rates when the odor happened to decrease (inhibit) the rate for the ORN below its background. Although the average background firing rates are given in the last row of table S1 in ref. 8, the background firing rates varied around this average for particular experiments, so the information is unavailable to restore the table entries to their (nonnegative) observed values. To avoid having negative rates, I added the absolute value for the most negative firing rate in each list  $f$  to all of the entries in  $f$ . This choice was arbitrary, and does not materially alter the shape of the histograms.

Rather than selecting a row in the table to use for forming the cumulative histogram as just described, an alternative would have been to pick a column (a particular ORN) and construct the cumulative histogram based on the firing rates in that column, which would produce a cumulative histogram for one ORN across all odors. What we care about is the estimate of the probability distribution function of ORN rates, and this is found by averaging across all histograms (as described below). This estimate cannot depend on the order (average cumulative histograms found for each odor vs. averaging the cumulative histograms found for each ORN), and in Fig. S1, I show that the two ways of estimating the probability distribution function produce the same result.

**Normalized Cumulative Histograms.** To form the cumulative histograms, I started by finding the sorted list  $f$  of ORN firing rates for a particular odor arranged in increasing order. To find the normalized cumulative histograms, it is necessary to adjust the mean firing rate  $\bar{r}$  for each odor to some arbitrary value that is the same across all odors. I selected the adjusted mean firing rate

to be 100 Hz. To assign this mean to each odor, I multiplied all of the entries in the list  $f$  by  $100/\bar{r}$ , where  $\bar{r}$  is the mean of  $f$ . The normalized  $f$  is called  $f_n = (100/\bar{r})f$ . Then, I follow the procedure described in the previous section, except that I substitute  $f_n$  for  $f$ .

**Estimate of the Underlying Probability Distribution Function for ORN Rates.** The estimated probability distribution function is just the average across normalized cumulative histograms for all odors. To calculate this average, I find, for each entry  $j$ ,  $\bar{f}_n(j) = \frac{1}{N} \sum_{i=1}^N f_n(i, j)$ , where  $f_n(i, j)$  is the  $j^{\text{th}}$  entry in the  $i^{\text{th}}$  histogram (one histogram for each monomolecular odor, and one histogram for each fruit odor and each concentration), and  $N$  is the number of histograms ( $N = 110$  for data in table S1, and  $N = 36$  for fruit extract data in table S2 in ref. 8). The graph plotted then is  $\bar{f}_n$  on the  $x$  axis and  $1/24, 2/24, 3/24 \dots 24/24$  on the  $y$  axis. Note that I adjusted the first entry of  $f_n$  to zero in the histograms superimposed in Figs. 1 and 2 A–C to eliminate negative firing rates, but I permitted negative firing rates for the estimates of the probability distribution functions in Figs. 1D and 2D. The cumulative exponential distribution I fitted to the estimates was  $p(r) = 1 - \exp(-r/100)$ , which has a value of zero when  $r = 0$ , and the estimates of the underlying distributions are translated along the rate axis until the rising phase of the exponentials matched.

1. Stevens CF (2015) What the fly's nose tells the fly's brain. *Proc Natl Acad Sci USA* 112(30):9460–9465.
2. Bhandawat V, Olsen SR, Gouwens NW, Schlieff ML, Wilson RI (2007) Sensory processing in the *Drosophila* antennal lobe increases reliability and separability of ensemble odor representations. *Nat Neurosci* 10(11):1474–1482.
3. Cover TM, Thomas JA (2012) *Elements of Information Theory* (Wiley, Hoboken, NJ).
4. Root CM, et al. (2008) A presynaptic gain control mechanism fine-tunes olfactory behavior. *Neuron* 59(2):311–321.
5. Asahina K, Louis M, Piccinotti S, Vosshall LB (2009) A circuit supporting concentration-invariant odor perception in *Drosophila*. *J Biol* 8(1):9.
6. Olsen SR, Bhandawat V, Wilson RI (2010) Divisive normalization in olfactory population codes. *Neuron* 66(2):287–299.
7. Hallem EA, Ho MG, Carlson JR (2004) The molecular basis of odor coding in the *Drosophila* antenna. *Cell* 117(7):965–979.
8. Hallem EA, Carlson JR (2006) Coding of odors by a receptor repertoire. *Cell* 125(1):143–160.
9. de Bruyne M, Clyne PJ, Carlson JR (1999) Odor coding in a model olfactory organ: The *Drosophila* maxillary palp. *J Neurosci* 19(11):4520–4532.
10. Kreher SA, Mathew D, Kim J, Carlson JR (2008) Translation of sensory input into behavioral output via an olfactory system. *Neuron* 59(1):110–124.
11. Tanaka NK, Endo K, Ito K (2012) Organization of antennal lobe-associated neurons in adult *Drosophila melanogaster* brain. *J Comp Neurol* 520(18):4067–4130.

**Simulated Histograms.** The simulations were carried out with the R program (<https://www.r-project.org/>) running under RStudio (<https://www.rstudio.com/>). A  $110 \times 24$  matrix, analogous to Hallem and Carlson's table 1 in ref. 8, was generated by the R command `rexp(24, 0.01)`; here, 24 (first variable) specifies the number of exponentially distributed random numbers generated each time the command is executed, and the exponential distribution has a mean of  $100 = 1/0.01$  (second variable). This command was executed 110 times and results collected into the  $110 \times 24$  matrix. The first step in the analysis was to convert this  $110 \times 24$  matrix to a new matrix, called F, by rank-ordering the entries in each row. From there on, this matrix was treated like the one from table S1 in Hallem and Carlson (8).

To produce the variable correction of the background firing, exponentially distributed random numbers were added to the second and third entries in each row.

**ACKNOWLEDGMENTS.** I thank Clare Yu, Saket Navlakha, John Thomas, Chih-Ying Su, and Kenta Asahina for fruitful discussions and helpful comments on an earlier draft. This work was supported by National Science Foundation Grants PHY-1444237 and PHY-1066393 and by the hospitality of the Aspen Center for Physics where much of the work was carried out.

12. Schubert M, Hansson BS, Sachse S (2014) The banana code—natural blend processing in the olfactory circuitry of *Drosophila melanogaster*. *Front Physiol* 5:59.
13. Suh GS, et al. (2004) A single population of olfactory sensory neurons mediates an innate avoidance behaviour in *Drosophila*. *Nature* 431(7010):854–859.
14. Stensmyr MC, et al. (2012) A conserved dedicated olfactory circuit for detecting harmful microbes in *Drosophila*. *Cell* 151(6):1345–1357.
15. Andersson MN, Löfstedt C, Newcomb RD (2015) Insect olfaction and the evolution of receptor tuning. *Front Ecol Evol*, 10.3389/fevo.2015.00053.
16. Benton R, Vannice KS, Gomez-Diaz C, Vosshall LB (2009) Variant ionotropic glutamate receptors as chemosensory receptors in *Drosophila*. *Cell* 136(1):149–162.
17. Silbering AF, et al. (2011) Complementary function and integrated wiring of the evolutionarily distinct *Drosophila* olfactory subsystems. *J Neurosci* 31(38):13357–13375.
18. Stevens CF (2009) Darwin and Huxley revisited: The origin of allometry. *J Biol* 8(2):14.
19. Couto A, Alenius M, Dickson BJ (2005) Molecular, anatomical, and functional organization of the *Drosophila* olfactory system. *Curr Biol* 15(17):1535–1547.
20. Malnic B, Hirono J, Sato T, Buck LB (1999) Combinatorial receptor codes for odors. *Cell* 96(5):713–723.
21. Osborne LC, Palmer SE, Lisberger SG, Bialek W (2008) The neural basis for combinatorial coding in a cortical population response. *J Neurosci* 28(50):13522–13531.
22. Strausfeld NJ, Hildebrand JG (1999) Olfactory systems: Common design, uncommon origins? *Curr Opin Neurobiol* 9(5):634–639.