



Prefrontal cortex modulates posterior alpha oscillations during top-down guided visual perception

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Conscious visual perception is proposed to arise from the selective synchronization of functionally specialized but widely distributed cortical areas. It has been suggested that different frequency bands index distinct canonical computations. Here, we probed visual perception on a fine-grained temporal scale to study the oscillatory dynamics supporting prefrontal-dependent sensory processing. We tested whether a predictive context that was embedded in a rapid visual stream modulated the perception of a subsequent near-threshold target. The rapid stream was presented either rhythmically at 10 Hz, to entrain parietooccipital alpha oscillations, or arrhythmically. We identified a 2- to 4-Hz delta signature that modulated posterior alpha activity and behavior during predictive trials. Importantly, delta-mediated top-down control diminished the behavioral effects of bottom-up alpha entrainment. Simultaneous source-reconstructed EEG and cross-frequency directionality analyses revealed that this delta activity originated from prefrontal areas and modulated posterior alpha power. Taken together, this study presents converging behavioral and electrophysiological evidence for frontal delta-mediated top-down control of posterior alpha activity, selectively facilitating visual perception.

top-down control | directional cross-frequency coupling | prefrontal cortex | alpha oscillations | phase–amplitude coupling

Visual perception is flexible, selective, and rapidly integrates sensory evidence with endogenous high-level expectations and predictions (1, 2). It has been suggested that rhythmic brain activity constitutes a key mechanism to coordinate information flow in the human cerebral cortex by transiently forming task-relevant large-scale networks (1). However, it is currently unclear how contextual information is dynamically integrated to support visual perception. Numerous studies have shown that visual perception critically depends on prestimulus alpha-band (8–12 Hz) activity (3–7). The gating-by-inhibition hypothesis postulates that alpha serves as a mechanism to route information to task-relevant cortical sites (8) but might also be under top-down control (6, 7). However, it is currently unclear which cortical regions and mechanisms mediate the directed top-down control of alpha oscillations (2). It has been suggested that slow-frequency activity in the delta range (<5 Hz) might reflect a mechanism for endogenous attentional selection and predictions (9, 10). In particular, endogenous low-frequency entrainment is thought to reflect a substrate of top-down processing (11–14). Importantly, endogenous entrainment does not require rhythmicity in the input stream but reflects an intrinsic mechanism to enable predictions (15). Several studies have demonstrated that visual perception cycles as a function of the alpha phase but only a few reports have demonstrated that multiple rhythms modulate behavior on a fine-grained temporal scale (5, 16–19).

At present, it is uncertain how different temporal scales interact to integrate information and support high-level visual perception. The concept of cross-frequency coupling (CFC), where the phase of a low-frequency oscillation modulates the amplitude of a faster oscillation, may constitute a key element for spatiotemporal organization in the human cortex (20) but has several methodological limitations that must be considered (21–23).

Our goal was to disentangle the role of alpha oscillations in contextual processing and anticipatory attention (24). We sought to identify a mechanism that could mediate long-range top-down control of posterior alpha activity (2, 25). We hypothesized that if the underlying functional architecture is rhythmic in nature, then multiple rhythms should modulate behavior and possibly arise from distinct cortical areas (2, 26).

In a visual target detection task (Fig. 1A), we manipulated the bottom-up sensory evidence by titrating the target luminance to perceptual threshold as well as the degree of high-level top-down predictions (27). Previously, it had been demonstrated that patients with prefrontal cortex (PFC) lesions were unable to use a predictive visual sequence (clockwise left-, up-, rightward facing triangles) in this task to guide behavior, suggesting a key role of the PFC in using predictive information (27). Importantly, in the current study the visual stream was presented either arrhythmically or at 10 Hz to drive cortical alpha activity in a bottom-up manner, but the visual stream did not contain temporal information about the upcoming target. Crucially, we sampled the resulting behavior over a time course of 850 ms to study the temporal evolution of target detection performance. We predicted that the 10-Hz flicker entrains cortical alpha activity and enhances perceptual fluctuations in the alpha band. We expected that the predictive sequence modulates this rhythmic sampling and we considered three possible models (Fig. 1B): (model 1) a suppression of rhythmic sampling in the alpha range; (model 2) an alpha-independent enhancement; or (model 3) a rhythmic comodulation. If higher cognitive functions operate in a rhythmic mode, then perceptual alpha cycles should be modulated by a slower rhythm arising from distinct cortical areas, thus favoring model 3. An interaction of prediction and rhythmicity would indicate an active role of alpha oscillations for top-down control.

Significance

Neural oscillations have been shown to support a range of cognitive abilities. Here we demonstrate that delta activity (2–4 Hz) in the prefrontal cortex tracked the current task context and modulated sensory processing in a top-down manner. We show that frontal delta and parietooccipital alpha (8–12 Hz) oscillations are functionally coupled and jointly guide visual perception to integrate sensory evidence with current task demands. We observed strong moment-to-moment behavioral fluctuations, which cycled at the rate of the endogenous prefrontal oscillatory brain activity. Our findings suggest that neuronal oscillations provide the functional basis for context-dependent visual perception.

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Results

Participants ($n = 18$) were asked to detect a near-threshold target occurring after a stimulus train. The last three items of the stream could either carry the predictive sequence (clockwise rotating triangles) (27) or not (Fig. 1A). The stimulus train was presented at either 10 Hz or arrhythmically. We probed 25 bins in steps of 34 ms after the offset of the last item of the flicker sequence to study the temporal evolution of the hit rates.

Predictive Context Facilitates Behavioral Performance. Behavioral performance across all sampled bins was assessed by means of two-way repeated measures ANOVAs with the factors context (predictive/nonpredictive) and rhythmicity (rhythmic/arrhythmic). We focused on hit rates and reaction times in line with previous reports (5, 18) to obtain behavioral time courses. We found a significant effect of context ($F_{1,17} = 17.96$, $P = 0.0006$, $\eta^2 = 0.4687$), indicating higher hit rates for predictive than nonpredictive trials (Fig. 1C and D). No effect for rhythmicity was observed ($F_{1,17} = 0.09$, $P = 0.7674$, $\eta^2 = 0.0003$) and the interaction was not significant ($F_{1,17} = 3.13$, $P = 0.0947$, $\eta^2 = 0.0053$). In addition, predictive context also facilitated reaction times (Fig. S1).

Perceptual Alpha Cycles Are Modulated by Lower Frequencies During Top-Down Processing. Spectral differences between conditions were analyzed by transforming the data into frequency space (Fig. 1E and Fig. S14, for individual spectra). First, we compared the mean power in the canonical alpha band (8–12 Hz) between conditions by means of a two-way repeated measures (RM)-ANOVA (Fig. 1F). We found significantly lower values in the alpha range for the predictive context ($F_{1,17} = 6.67$, $P = 0.0193$, $\eta^2 = 0.1218$), while neither rhythmicity nor the interaction had a significant influence (rhythmicity: $F_{1,17} = 0.95$, $P = 0.3439$, $\eta^2 = 0.0176$; interaction: $F_{1,17} = 0.64$, $P = 0.4333$, $\eta^2 = 0.0086$). These results indicate that predictive contexts decreased perceptual cycles in the alpha range. In contrast to previous studies (18), we did not find alpha-related modulations of reaction times (Fig. S1B). Notably, the overall highest power in the alpha range was observed for the 10-Hz flicker condition without predictive context, in accordance with the hypothesized outcome that sensory alpha entrainment should increase perceptual alpha cycles (26, 28) (Fig. 1B and E).

In a more data-driven approach, we compared the conditions by means of a cluster-based permutation test to estimate the exact spectral extent of the observed differences. We found that the power decrease spanned the high alpha range from 10 to 15 Hz ($P = 0.0016$, $d = -0.9124$), while a weaker effect was observed in the 2- to 4-Hz delta range ($P = 0.0576$, $d = -0.7301$). Subsequently, we aimed to investigate the temporal evolution of the observed spectral differences. Thus, we filtered the individual hit rate time courses in the 2- to 4-Hz and the 10- to 15-Hz ranges (Fig. 2A). The filtered time courses indicated that the alpha amplitude varied over time and was not constant (Fig. 2A and B).

We then assessed (i) whether there is a systematic relationship between the slow fluctuations in the delta range and variations in the high alpha amplitude and (ii) whether this relationship is more pronounced for predictive versus nonpredictive contexts. We first analyzed the distribution of alpha amplitude relative to the delta phase across all conditions (Fig. 2C). We binned the delta phase into seven linearly spaced bins and found that the alpha amplitude varied as a function of the delta phase (one-way RM-ANOVA: $F_{2,25, 38,21} = 8.21$, $P < 0.0001$, $\eta^2 = 0.3256$). To quantify conditional differences, we calculated the cross-frequency correlation between the delta phase and the instantaneous phase of the alpha envelope (Fig. S24). We found stronger correlations for predictive contexts (Fig. 2D; $F_{1,17} = 4.65$, $P = 0.0456$, $\eta^2 = 0.0645$), but no main effects of rhythmicity and no interaction effect (rhythmicity: $F_{1,17} = 1.28$, $P = 0.2735$, $\eta^2 = 0.0289$; interaction: $F_{1,17} = 0.01$, $P = 0.9311$, $\eta^2 = 0.0001$). A difference comodulogram indicates that this effect was most pronounced in the delta and high alpha range (Fig. 2E and

Fig. S2B). These findings clearly point toward a rhythmic comodulation of perceptual alpha cycles consistent with model 3 (Fig. 1B). However, some aspects of the data also support model 1 (alpha

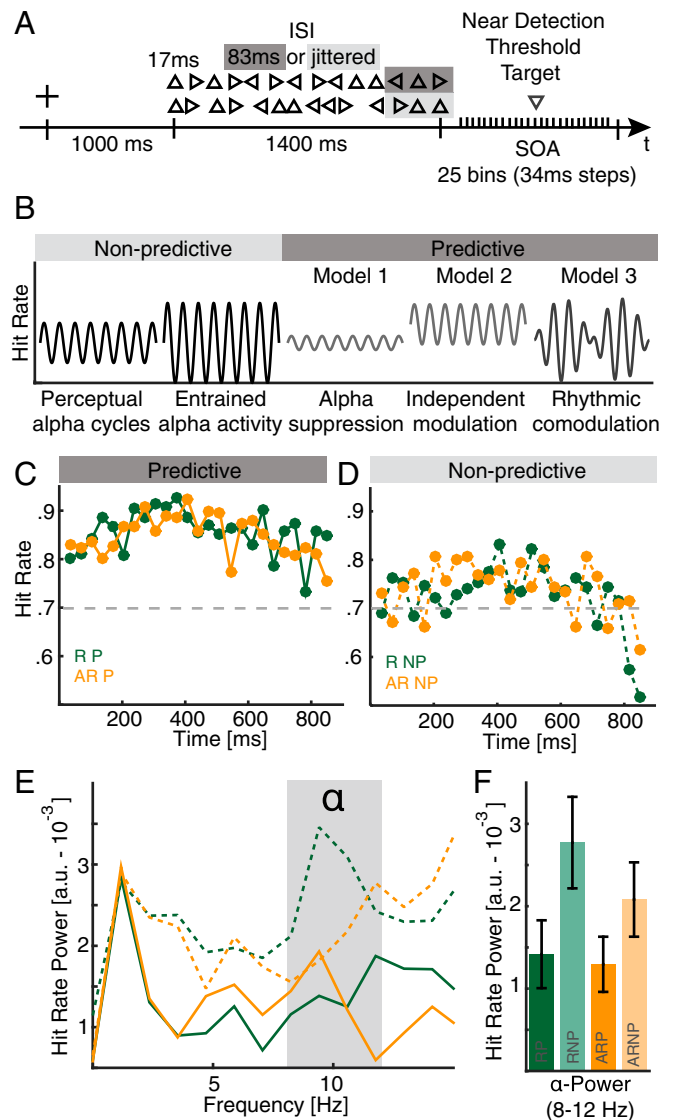


Fig. 1. Behavioral task, hypotheses, and behavioral performance. (A) Schematic task design. Every trial consisted of 14 rapidly flashed triangles (rhythmically at 10 Hz or arrhythmically). After a variable onset delay (34–850 ms in 34-ms steps), a downward facing triangle was presented at perceptual threshold. Participants had to indicate whether they perceived the target. (B) Schematic task outcome. We predicted that visual detection performance would vary as a function of the alpha phase over time (arrhythmic nonpredictive) and that this effect could be enhanced through 10-Hz visual stimulation (rhythmic nonpredictive). For the top-down condition (arrhythmic predictive), we hypothesized three potential outcomes: (i) participants suppress perceptual alpha cycles (model 1), or (ii) they perform better, but still exhibit alpha cycles (alpha independent modulation; model 2), or (iii) top-down processing operates in a rhythmic mode, resulting in a comodulation by a second, slower rhythm (model 3). An interaction of rhythmicity and prediction would indicate a causal role of alpha oscillations for top-down control. (C) Grand-mean hit rate time courses for rhythmic (green) and arrhythmic (orange) predictive trials. The gray dashed line at 70% indicates the intended behavioral performance. (D) Grand-mean hit rates for nonpredictive trials. Same conventions as in C. (E) Hit rate power spectra for all four conditions. Note the strongest peak around 10 Hz is elicited by the nonpredictive rhythmic condition. (F) Average hit rate power in the canonical 8- to 12-Hz alpha range highlights a main effect of predictive context, with overall lower values in the alpha range.

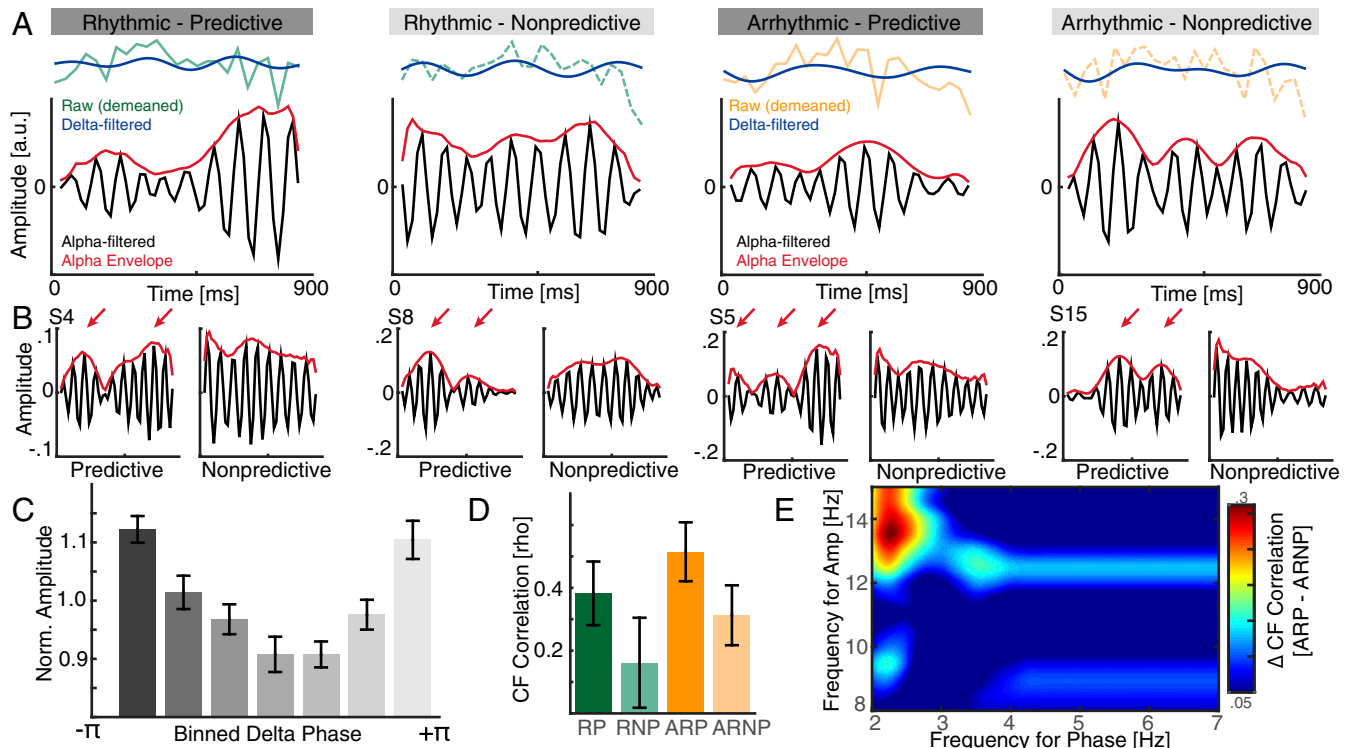


Fig. 2. Comodulation of perceptual cycles during top-down processing. (A, Upper) Demeaned raw hit rates time courses superimposed with the low-pass filtered time course (blue). (Lower) Alpha filtered time course (black) and the corresponding envelope (red). Note that the alpha envelope is not constant over time but exhibits rhythmic modulations. We hypothesized that there might be a relationship between the slow and the faster component. (B) Inspection of single subject time courses for predictive and nonpredictive contexts indicated that this modulation might be pronounced for predicted contexts. (Left) Two examples from rhythmic stimulus presentations; (Right) two arrhythmic examples. (C) Grand average histogram of the nonuniform distribution of the normalized alpha amplitude relative to the delta phase. (D) Cross-frequency correlation analyses revealed a main effect for predicted contexts. However, the group results indicate that the strongest correlation was observed for arrhythmic sensory stimulation with predictive context. The lowest correlation was observed when no predictive cues were present and the sensory input was presented at 10 Hz. (E) Difference comodulogram for the arrhythmic condition (predictive–nonpredictive) indicates that the effect was most prominent between the 2- to 3-Hz phase and the high alpha amplitude.

suppression, Fig. 1 E and F), but we found no behavioral evidence supporting model 2.

Cortical Sources of Alpha and Delta Signatures. To quantify the EEG correlates of the behavioral effects, we used time–frequency analysis and first focused on phase-dependent metrics. Since we only observed a main effect of predictive context in the behavioral metrics, we pooled rhythmic and arrhythmic trials to assess the intertrial phase coherence between predictive and nonpredictive contexts (Fig. 3A and Fig. S3; *Insets* depicts all four conditions). A cluster-based permutation test revealed a large cluster spanning several channels and time–frequency pairs (Fig. 3A; $P < 0.001$). The significant cluster started to emerge around the onset of the predictive sequence and was present during the entire target period, with two spectral peaks at 3–4 Hz and around 8–14 Hz. The delta effect emerged from prefrontal areas centered around the right middle frontal gyrus, while the alpha source was found in ventromedial occipital areas, overlapping with regions that responded most strongly to the flicker stimulus (Fig. 3B and C and Fig. S3B–D). This phase effect was not accompanied by differences in the event-related potentials or spectral power (Fig. S4A and B). Taken together, the electrophysiological findings do not support model 1 (alpha suppression), but support the idea that multiple, possibly interacting rhythms are present during top-down processing.

Prefrontal-Dependent Modulation of Parietooccipital Alpha Activity. Therefore, we assessed how the frontal delta signature and the posterior alpha effect might be functionally related. First, we defined a seed region in the right middle frontal gyrus and calculated

whole brain interareal phase-locking values between the frontal delta phase and the instantaneous phase of the alpha envelope separately for the predictive and the nonpredictive conditions (29). We found the strongest conditional difference over medial parietooccipital areas (Fig. 4A). Posterior alpha amplitudes were higher during the trough of the frontal delta (Fig. 4B). Next, we quantified the directionality of this effect, i.e., whether frontal delta leads or lags the posterior alpha envelope [phase slope index (PSI)] (30). We found an increased PSI for directional delta–alpha correlations for predictive (Fig. 4C and Fig. S5; $t_{17} = 2.18$, $P = 0.0438$, $d = 0.7260$), but not for nonpredictive trials ($t_{17} = -0.10$, $P = 0.9236$, $d = -0.0324$). This finding indicates that the frontal delta phase only predicted the posterior alpha amplitude during top-down processing using predictive information. Visual inspection of single trials indicated alpha envelope peaks coincide more regularly with delta troughs for predictive contexts but not for the nonpredictive condition (Fig. 4D and E). This pattern mimicked the delta–alpha interaction as observed in behavioral time courses and strongly supports the idea that cognitive processing operates in a rhythmic mode in accordance with model 3 (Fig. 1B).

Correlated Delta–Alpha Signatures Mediate Top-Down Control. We assessed the behavioral relevance of the observed delta and alpha signatures. Previous studies demonstrated that visual detection performance is enhanced in states of low alpha power and at the trough of the alpha oscillation (3, 4, 8). We calculated the hit rate separately for predictive and nonpredictive contexts as a function of the instantaneous frontal delta phase and the instantaneous posterior alpha phase at target onset (13) and compared the phase

Materials and Methods

Participants. Twenty healthy volunteers (7 female, 13 male, mean age: 20.40 ± 2.28 y, mean ± SD) were recruited from the University of California, Berkeley and were financially compensated for their participation. All participants gave written informed consent according to the local ethics committee (Berkeley Committee for Protection of Human Subjects Protocol No. 2010-02-783) and the Declaration of Helsinki. They all had normal or corrected-to-normal vision.

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Stimuli, Procedure, and Data Analysis. Detailed information can be found in *SI Materials and Methods*.

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