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1   **Ecological imperatives for aquatic carbon dioxide concentrating mechanisms**

2

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19   Running title: Ecological imperatives for aquatic CCMs

20

21   Highlight: The interactions between cellular processes and environmental conditions that  
22   determine whether or not there is an ecological advantage to operating a CCM in aquatic  
23   environments are explored. (27 words)

24

25    **Abstract**

26    In aquatic environments, the concentration of inorganic carbon is spatially and temporally  
27    variable and CO<sub>2</sub> can be substantially over-saturated or depleted. Depletion of CO<sub>2</sub> plus low  
28    rates of diffusion cause inorganic carbon to be more limiting in aquatic than terrestrial  
29    environments and the frequency of species with a CCM, and their contribution to productivity is  
30    correspondingly greater. Aquatic photoautotrophs may have biochemical or biophysical CCMs  
31    and exploit CO<sub>2</sub> from the sediment or the atmosphere. Though partly constrained by phylogeny,  
32    CCM activity is related to environmental conditions. CCMs are absent or down-regulated when  
33    their increased energy costs, lower CO<sub>2</sub> affinity or altered mineral requirements outweigh their  
34    benefits. Aquatic CCMs are most widespread in environments with low CO<sub>2</sub>, high HCO<sub>3</sub><sup>-</sup>, high pH  
35    and high light. Freshwater species are generally less effective at inorganic carbon removal than  
36    marine species but have a greater range of ability to remove carbon, matching the  
37    environmental variability in carbon availability. The diversity of CCMs in seagrasses and marine  
38    phytoplankton and detailed mechanistic studies on larger aquatic photoautotrophs are  
39    understudied. Strengthening the links between ecology and CCMs will increase our  
40    understanding of the mechanisms underlying ecological success and will place mechanistic  
41    studies in a clearer ecological context.

42

43    **Keywords:** Aquatic CCM, CO<sub>2</sub>, inorganic carbon, macroalgae, macrophytes, photosynthesis,  
44    phytoplankton, seagrasses

45

46 **Introduction**

47 Photosynthesis on land contributes ~50% to the total global net primary productivity of about  
48 105 Pg C y<sup>-1</sup> (Field *et al.*, 1998) and is performed by approximately 300,000 species of terrestrial  
49 photoautotrophs (Kreft and Jetz, 2007), almost exclusively within the Plantae. About 275,000  
50 (92%) of the terrestrial species perform C<sub>3</sub> carbon-fixation and contribute about 77% of  
51 terrestrial productivity (Still *et al.*, 2003). C<sub>3</sub> photosynthesis involves passive diffusion of CO<sub>2</sub>  
52 down a concentration gradient that is produced by carbon fixation by the primary carboxylating  
53 enzyme, ribulose-1,5-bisphosphate carboxylase-oxygenase (Rubisco). In theory, this is all that is  
54 required to fix carbon, but Rubisco's low rates of catalysis, low affinity for CO<sub>2</sub> and ability to fix  
55 oxygen can lead to photorespiration, and limit rates of net photosynthesis (Laing *et al.*, 1974;  
56 Raven and Johnston, 1991; Giordano *et al.*, 2005).

57 While C<sub>3</sub> plants rely on 'pull down' of CO<sub>2</sub> by Rubisco fixation, some terrestrial plants  
58 have a biochemical CO<sub>2</sub> concentrating mechanism (CCM) that 'pushes in' CO<sub>2</sub> towards Rubisco,  
59 increasing the concentration of CO<sub>2</sub> around the active site and minimising photorespiration.  
60 This mechanism involves pre-fixation of carbon by the carboxylating enzyme  
61 phosphoenolpyruvate carboxylase (PEPC), that is unaffected by oxygen and produces a four-  
62 carbon compound that is decarboxylated to generate CO<sub>2</sub> around Rubisco. Plants with a CCM  
63 based on C<sub>4</sub> carboxylation contribute the remaining 23% of terrestrial productivity. Two related  
64 types of C<sub>4</sub>-based CCMs are found in terrestrial plants. In C<sub>4</sub> photosynthesis, there is an intra-  
65 cellular or inter-cellular spatial separation of C<sub>4</sub> carboxylation and decarboxylation  
66 (Voznesenskaya *et al.*, 2001; Sage, 2002), while in crassulacean acid metabolism (CAM), there is  
67 a temporal separation of daytime C<sub>4</sub> de-carboxylation and night-time C<sub>4</sub> carboxylation. C<sub>4</sub>  
68 photosynthesis evolved independently at least 66 times and is present in about 8,100 species  
69 (about 2.7%) of terrestrial plants (Sage, 2016), while CAM also evolved in multiple lineages, and  
70 is found in 16,800 species (about 6% of terrestrial plants; (Silvera *et al.*, 2010)). These  
71 additional pathways have costs but can also confer ecological benefits. On land, plants with a  
72 CCM have an ecological advantage in sub-tropical, tropical and arid or saline environments  
73 where reduced stomatal conductance decreases water loss but also reduces the internal CO<sub>2</sub>  
74 concentration (Osborne and Freckleton, 2009; Sage, 2016).

75 Aquatic ecosystems contribute the remaining ~50% of global net primary productivity,  
76 which, unlike terrestrial productivity, is carried out by a large phylogenetic diversity of  
77 organisms. Although marine angiosperms, seagrasses, (72 species; (Les and Tippery, 2013)) and  
78 submerged freshwater angiosperms, macrophytes, (about 6000 species; (Cook, 1990)), can be  
79 very important local 'ecosystem engineers' they cover a low area of the globe and consequently  
80 these Plantae contribute relatively little to global productivity (van der Heijden and Kamenos,

81 2015). Instead, most aquatic primary production is performed by planktonic cyanobacteria and  
82 eukaryotic microalgae in the ocean with a small contribution from eukaryotic macroalgae  
83 (about 1 Pg C y<sup>-1</sup>, 2% of ocean productivity (Field *et al.*, 1998) and about 0.17 Pg C y<sup>-1</sup>  
84 contribution to carbon-sequestration (Krause-Jensen and Duarte, 2016)). The global number of  
85 photoautotrophic algal species (including cyanobacteria) is poorly constrained but might be in  
86 the region of 150,000 (Guiry, 2012; Mann and Vanormelingen, 2013). In contrast to terrestrial  
87 primary producers, CCMs are widespread in aquatic primary producers, make a major  
88 contribution to aquatic primary productivity and include the biochemical C<sub>4</sub> and CAM CCMs,  
89 found in their terrestrial counterparts, and also biophysical CCMs based on active uptake of  
90 HCO<sub>3</sub><sup>-</sup> or CO<sub>2</sub> or both that are largely absent in land plants.

91 The aim of this review is to set the ecological context for aquatic CCMs. To do this, we  
92 outline the availability of inorganic carbon in water, summarise the strategies that aquatic  
93 photoautotrophs use to maximise carbon uptake, quantify the effectiveness (used herein to  
94 refer to the ability to exploit the in carbon reserves) in CCMs in different types of  
95 photoautotroph, examine the costs and benefits of operating a CCM and describe the ecological  
96 conditions where a CCM appears to increase fitness and creates an ecological advantage.

97

## 98 Availability of inorganic carbon in water

### 99 Concentration of CO<sub>2</sub> and O<sub>2</sub> at air-equilibrium

100 The solubility of CO<sub>2</sub> and O<sub>2</sub> are described by Henry's law and are independent of variables such  
101 as pH. At 15°C and standard pressure, the concentration of CO<sub>2</sub> in fresh water in equilibrium  
102 with an atmosphere containing 400 ppm CO<sub>2</sub>, is ~18 mmol m<sup>-3</sup> (Fig. 1A). In sea water with a  
103 salinity of 34, and the same temperature, the concentration will be ~20 % lower at ~15 mmol  
104 m<sup>-3</sup>. Under these conditions, the concentration of oxygen will be 314 mmol m<sup>-3</sup> in fresh water  
105 and ~19% lower in seawater at 256 mmol m<sup>-3</sup>. In both fresh water and sea water, the solubility  
106 of CO<sub>2</sub> declines with temperature by about 2.3% °C<sup>-1</sup> between 5 and 25 °C, while the solubility of  
107 O<sub>2</sub> declines by about 1.7% °C<sup>-1</sup> over the same temperature range. Consequently, at equilibrium  
108 with the atmosphere, the molar ratio of CO<sub>2</sub> to O<sub>2</sub> declines from about 0.064 at 5°C to 0.053 at  
109 25°C in both environments.

### 110 Rate of diffusion

111 A major difference between photosynthesis in water and air is the rate of gas diffusion which for  
112 CO<sub>2</sub> in water at 25°C is 2 10<sup>-9</sup> m<sup>2</sup> s<sup>-1</sup>, about 10,000 lower than in air (Raven, 1970; Zeebe, 2011).  
113 Since materials have to diffuse through the boundary layer that surrounds all cells, thalli or  
114 leaves in a fluid (Vogel, 1994), the external transport resistance to carbon fixation can be high

115 (Black *et al.*, 1981) particularly for larger objects in areas of low water velocity. Rates of O<sub>2</sub>  
116 diffusion in water are similarly lower than in air (Verberk *et al.*, 2011) and as a result rates of  
117 loss of O<sub>2</sub> out of a photosynthesising cell or tissue, will also be restricted by transport limitation,  
118 increasing internal O<sub>2</sub> concentrations and further promoting the tendency for photorespiration  
119 (Mass *et al.*, 2010). As a consequence, half-saturation concentrations for CO<sub>2</sub> for photosynthesis  
120 in water are frequently substantially above air-equilibrium, especially in the larger  
121 photoautotrophs. For example, half-saturation constants for CO<sub>2</sub> in freshwater macrophytes  
122 without a CCM, are about seven-times greater than air-equilibrium (Maberly and Madsen, 1998)  
123 while C<sub>3</sub> photosynthesis in air is only stimulated by about 30% at elevated CO<sub>2</sub> levels (Lloyd and  
124 Farquhar, 1996; Ainsworth and Long, 2005).

125 *Forms of inorganic carbon in water*

126 Unlike air, four forms of inorganic carbon exist in water. When CO<sub>2</sub> dissolves, a small proportion  
127 (<0.2%; (Stumm and Morgan, 2012)) reacts with water producing carbonic acid (H<sub>2</sub>CO<sub>3</sub>), which  
128 together with dissolved CO<sub>2</sub> comprises free CO<sub>2</sub>. Carbonic acid can dissociate forming  
129 bicarbonate (HCO<sub>3</sub><sup>-</sup>), and CO<sub>2</sub> can also react with water, or OH<sup>-</sup> at high pH, to form HCO<sub>3</sub><sup>-</sup>  
130 directly. Bicarbonate can dissociate further forming carbonate (CO<sub>3</sub><sup>2-</sup>). Free CO<sub>2</sub>, HCO<sub>3</sub><sup>-</sup> and CO<sub>3</sub><sup>2-</sup>  
131 in aggregate comprise the concentration of total dissolved inorganic carbon (C<sub>T</sub>). The equilibria  
132 between the different forms of inorganic carbon is controlled by temperature, ionic strength  
133 and particularly pH. At 15°C in fresh water with the average global river ion concentration  
134 (ionic strength 1.1 mol m<sup>-3</sup>; (Meybeck, 2003)), the first and second dissociation constants (pK<sub>1</sub>'  
135 and pK<sub>2</sub>' representing the pH where the concentrations of CO<sub>2</sub> and HCO<sub>3</sub><sup>-</sup> and HCO<sub>3</sub><sup>-</sup> and CO<sub>3</sub><sup>2-</sup>  
136 are equal) are 6.41 and 10.38 respectively. In sea water at the same temperature they are 5.95  
137 and 9.11; which is 0.46 and 1.27 pH units lower than fresh water for pK<sub>1</sub>' and pK<sub>2</sub>' respectively  
138 (Fig. 1B). As a consequence, CO<sub>3</sub><sup>2-</sup> ions are a larger proportion of C<sub>T</sub> at a given pH in sea water  
139 compared to fresh water.

140 Although under many circumstances, the different forms of inorganic carbon can be  
141 considered to be in equilibrium, the kinetics of hydration and dehydration between CO<sub>2</sub> and  
142 HCO<sub>3</sub><sup>-</sup> are relatively slow and can be exceeded by high rates of CO<sub>2</sub> or HCO<sub>3</sub><sup>-</sup> exchange per unit  
143 volume. This can cause the concentration of CO<sub>2</sub> or HCO<sub>3</sub><sup>-</sup> to be pulled out of equilibrium from  
144 the concentration set by the physico-chemistry. The enzyme carbonic anhydrase acts to  
145 maintain chemical equilibrium between CO<sub>2</sub> and HCO<sub>3</sub><sup>-</sup> and is widely involved in different CCMs  
146 (Raven, 1995).

147 *Variation in inorganic carbon availability*

148 Alkalinity is the sum of bases formed from weak acids, roughly equivalent to acid neutralising  
149 capacity and usually mainly represented by  $\text{HCO}_3^-$ . Variable geology leads to a variable alkalinity  
150 in fresh waters (Meybeck, 2003). It can exceed 1000 equiv  $\text{m}^{-3}$  in soda lakes where evaporation,  
151 rather than outflow, is the major process of water loss (Talling, 1985). It can also be very low or  
152 negative (net acidity) in acid sites affected by acid deposition (Battarbee, 1990), at peaty sites  
153 with a high concentration of organic acids, or at sites in the vicinity of volcanic activity or acid  
154 mine drainage where sulphide oxidation generates protons (Evangelou and Zhang, 1995;  
155 Pedrozo *et al.*, 2001). Based on the GLORICH database of river chemistry, (Hartmann *et al.*,  
156 2014) and site average values for 5303 streams or rivers with a Strahler order of 3 or greater,  
157 alkalinity as a proxy for the concentration of bicarbonate, had a median concentration of 1,559  
158 mequiv  $\text{m}^{-3}$  (Table 1). In contrast, the contemporary ocean has a comparatively constant  
159 alkalinity of about 2,300 mequiv  $\text{m}^{-3}$ .

160 At air-equilibrium, pH can vary from less than 2 in highly acid sites, to around 5 to 8 in  
161 lakes with low to moderate alkalinity, to over 10 in lakes with very high alkalinity (Fig. 1C)  
162 (Talling, 1985). At 15°C, the air-equilibrium pH of sea water is about 8.1 (equilibrium with an  
163 atmosphere of 400 ppm) and the concentration of  $\text{CO}_2$  represents about 0.7% of the dissolved  
164 inorganic carbon, while in fresh water, at a slightly high equilibrium concentration, it can vary  
165 between 100% of the inorganic carbon in acid sites, to less than 0.2% at sites with a high  
166 alkalinity (i.e.  $> 10$  equiv  $\text{m}^{-3}$ )

167 Overlying the variation in pH at equilibrium with the atmosphere, biological production  
168 of  $\text{CO}_2$  by respiration or removal of  $\text{CO}_2$  or  $\text{HCO}_3^-$  by photosynthesis, can alter  $\text{C}_\text{T}$  and pH and  
169 consequently the concentration and proportions of the different forms of inorganic carbon.  
170 Accordingly, the concentration of  $\text{CO}_2$  and the other forms of inorganic carbon can be under- or  
171 over-saturated compared to air-equilibrium (Fig. 2). Globally, annual average concentrations of  
172  $\text{CO}_2$  are oversaturated in most lakes and rivers (Cole *et al.*, 1994; Raymond *et al.*, 2013). This  
173 results from microbial activity and photodegradation of organic carbon produced on land  
174 (Sobek *et al.*, 2007) within the water body and also from lateral transfer of  $\text{CO}_2$ -rich water  
175 produced by microbial breakdown of terrestrial organic carbon within the catchment (Maberly  
176 *et al.*, 2013). Analyses of large-scale global datasets have shown median values for  $\text{CO}_2$   
177 concentration of 1598  $\mu\text{atm}$  in streams and rivers and 736  $\mu\text{atm}$  in lakes and reservoirs (Table  
178 1) (Raymond *et al.*, 2013). At an assumed mean temperature of 15°C this is roughly equivalent  
179 to median  $\text{CO}_2$  concentrations of 73 mmol  $\text{m}^{-3}$  in streams and rivers and 34 mmol  $\text{m}^{-3}$  in lakes  
180 and reservoirs. Concentrations of  $\text{CO}_2$  are higher in tropical regions than in temperate or boreal  
181 regions (Lauerwald *et al.*, 2015). Given the values of alkalinity for rivers from the GLORICH  
182 database noted above and in Table 1, median values of  $\text{CO}_2$  are about 20-times lower than

183 median values of  $\text{HCO}_3^-$  in rivers and, assuming similar alkalinity in lakes and rivers, about 46-  
184 times lower than the median concentration of  $\text{HCO}_3^-$  in lakes. Particularly high concentrations of  
185  $\text{CO}_2$  can also be generated in heterotrophic environments, especially those with restricted  
186 access to the atmosphere. For example, respiration can produce  $\text{CO}_2$  concentrations over 2,000  
187  $\text{mmol m}^{-3}$  at depth in a lake (Casper *et al.*, 2000), between 300 and 5,000  $\text{mmol m}^{-3}$  in aquatic  
188 sediments (Madsen *et al.*, 2002), over 400  $\text{mmol m}^{-3}$  in groundwaters (Demars and Tremolieres,  
189 2009; Stets *et al.*, 2009; Maberly *et al.*, 2015) and for Swedish and Finnish lakes under ice,  
190 median values of 160 to 340  $\text{mmol m}^{-3}$  and maximum values of 580 to 870  $\text{mmol m}^{-3}$  (Denfeld *et*  
191 *al.*, 2016).

192 Although lakes, and especially rivers, tend to be over-saturated with  $\text{CO}_2$  at an annual  
193 scale, during periods of high photosynthetic demand, the concentration of  $\text{CO}_2$  can become  
194 depleted below air-equilibrium in many aquatic systems. Even lakes which are oversaturated  
195 with  $\text{CO}_2$  on an annual scale can experience substantial depletion in  $\text{CO}_2$  during productive  
196 periods ((Maberly, 1996) Fig. 2) and the same can be true in rivers (Jarvie *et al.*, 2017). The least  
197 variable aquatic systems in terms of  $\text{CO}_2$  are those of low productivity such as the open ocean  
198 where pH is fairly constant at about 8 to 8.1 (Hofmann *et al.*, 2011) and the  $\text{CO}_2$  concentration is  
199 always close to air equilibrium. However, at decadal scales as atmospheric  $\text{CO}_2$  has increased,  
200 the air-equilibrium concentrations of  $\text{CO}_2$  has also increased and ocean pH has decreased  
201 (Doney *et al.*, 2009). In the coastal ocean, with higher productivity and in dense beds of  
202 macroalgae with high demand, pH can become elevated and the  $\text{CO}_2$  concentration depleted  
203 below air-equilibrium (Delille *et al.*, 2000; Middelboe and Hansen, 2007; Hofmann *et al.*, 2011;  
204 Cornwall *et al.*, 2013; Krause-Jensen *et al.*, 2016). There can also be substantial daily and semi-  
205 diurnal changes in  $\text{CO}_2$  concentration over 24 hours and extreme depletion in sites with  
206 extremely high biomass such as rockpools (Maberly, 1992). In productive lakes, large summer  
207 populations of phytoplankton, especially cyanobacteria (e.g. (Talling, 1976; Maberly, 1996;  
208 Ibelings and Maberly, 1998)), or dense macrophyte beds (Van *et al.*, 1976) can reduce photic-  
209 zone concentrations of  $\text{CO}_2$  close to zero for extended periods in the summer when demand  
210 outstrips supply ((Maberly, 1996); Fig. 2). Under these circumstances, a CCM is essential for  
211 continued photosynthesis, especially since high concentrations of oxygen (up to 4-fold air  
212 equilibrium, (Van *et al.*, 1976)), normally co-occur with carbon-depletion. Furthermore, under  
213 extreme carbon-depletion, even  $\text{HCO}_3^-$ , the uptake of which is a widespread aquatic CCM, can  
214 start to become depleted (Fig. 2C).

215 An example calculation illustrates the potential mismatch between rates of transport of  
216  $\text{CO}_2$  across the air-water interface and the rates of biological transformation of inorganic into  
217 organic carbon. Using the data and calculations for 1993 in a productive UK lake, Esthwaite

218 Water, (Maberly, 1996) and assuming a subsurface boundary layer thickness of 300 µm, an  
219 atmospheric CO<sub>2</sub> partial pressure of 360 ppm and allowing for chemical enhancement, the  
220 maximum rate of CO<sub>2</sub> influx across the air-water interface is 0.8 µmol m<sup>-2</sup> s<sup>-1</sup> and the average  
221 summer values are about 0.2 µmol m<sup>-2</sup> s<sup>-1</sup>. If one assumes a surface mixed layer thickness of 5 m,  
222 a chlorophyll *a* concentration of 40 mg m<sup>-3</sup> (the summer mean for 1993 in Esthwaite Water) and  
223 an average rate of photosynthesis of 100 µmol mg<sup>-1</sup> Chla h<sup>-1</sup>, the demand for carbon per unit  
224 surface area in the upper mixed layer will be about 5.6 µmol m<sup>-2</sup> s<sup>-1</sup>, which is nearly 30-times the  
225 average rate of CO<sub>2</sub>-influx and about 7-times the maximum rate of CO<sub>2</sub>-influx. In these types of  
226 systems as a consequence, the concentration of CO<sub>2</sub> can routinely vary 10-fold in 24 hours,  
227 driven by the light-dark cycle.

228

## 229 **Biochemical, biophysical and morphological responses to CO<sub>2</sub> availability**

230 Aquatic photoautotrophs respond to variable and often limiting supply of CO<sub>2</sub> and HCO<sub>3</sub><sup>-</sup> in ways  
231 that involve Rubisco characteristics, biochemical pathways, physiological processes and  
232 morphological and anatomical changes.

### 233 *Relationship between Rubisco kinetics and presence of a CCM*

234 The form of Rubisco and its kinetic properties differ among photoautotrophs and can be seen, in  
235 part, as an adaptation to CO<sub>2</sub> availability. Many forms of Rubisco exist as a consequence of the  
236 diverse evolutionary origin of oxygenic photoautotrophs (see Table 1 and Fig. 3 in (Tabita *et al.*,  
237 2008). The Forms IA ( $\alpha$ -cyanobacteria), IB ( $\beta$ -cyanobacteria, glaucophytes, green algae,  
238 euglenophytes (Zahonova *et al.*, 2016) chlorarachniophytes and embryophytes) and ID (red  
239 algae, cryptophytes, haptophytes and heterokonts) are hexadecamers made up of eight large  
240 and eight small subunits, while the Form II of dinophyceae (and anoxygenic photosynthetic  
241 bacteria) (Morse *et al.*, 1995) are either dimers or multimers of the large subunit, although  
242 dinophytes with tertiary endosymbiosis may also contain chloroplasts with Form IB and ID  
243 (Tamura *et al.*, 2005; Minge *et al.*, 2010). The ID isoform, present in the ecologically important  
244 coccolithophores and diatoms within the heterokonts, differs substantially in amino acid  
245 sequence from the well-studied IB isoform (Clement *et al.*, 2017b).

246 The structural types of Rubisco do not match their kinetic properties however. The  
247 average Rubisco specificity factor,  $\tau$ , defined as  $V_c K_o / V_o K_c$  (where  $V_c$  and  $V_o$  are the maximal  
248 velocities of carboxylation and oxygenation, respectively, and  $K_c$  and  $K_o$  the Michaelis constants  
249 for CO<sub>2</sub> and O<sub>2</sub>), represents the propensity to catalyze the carboxylation *versus* the oxygenation  
250 reactions that lead to photorespiration. Although C<sub>3</sub> and C<sub>4</sub> land plants, diatoms and

251 coccophores have different forms of Rubisco, the specificity factor is similar at about 80 to  
252 90 while those from cyanobacteria and dinoflagellates are lower and those from red algae twice  
253 as high (Tortell, 2000; Young *et al.*, 2016). Conversely, although diatoms and red algae have  
254 Form ID Rubisco, their specificity factors are very different (Tortell, 2000). Within C<sub>3</sub> land  
255 plants, the Rubisco specificity factor is higher in species in environments where water supply is  
256 limited which is consistent with lower internal concentration of CO<sub>2</sub> in relation to stomatal  
257 closure (Galmes *et al.*, 2005). The K<sub>c</sub> for Rubisco is also variable with average values of about 31  
258 mmol m<sup>-3</sup> in green algae (3 species), 16 and 13 mmol m<sup>-3</sup> in bryophytes and ferns (two species  
259 each), about 10 mmol m<sup>-3</sup> in C<sub>3</sub> land plants (23 species) and red algae (five species) and 47  
260 mmol m<sup>-3</sup> in diatoms (ten species) ((Young *et al.*, 2016) their SI and Table 1). Thus these values  
261 bracket typical air-equilibrium CO<sub>2</sub> concentrations (at 25°C about 11 and 14 mmol m<sup>-3</sup> in sea  
262 and fresh water respectively, Fig. 1), reinforcing the benefit of a CCM for species that have a  
263 Rubisco with a poor affinity for CO<sub>2</sub>. In cyanobacteria, for which a CCM has been shown in all  
264 studied photoautotrophic species, Rubisco has an even lower affinity for CO<sub>2</sub> which is often >  
265 200 mmol m<sup>-3</sup> (Moroney and Somanchi, 1999) and as high as 750 mmol m<sup>-3</sup> in low light adapted  
266 strains of *Prochlorococcus marinus* (Scott *et al.*, 2007), concentrations that are rarely found in  
267 photic aquatic environments. Therefore, the kinetic properties of Rubisco appear to be related  
268 to CCM activity. For example, many red macroalgae such as *Lemanea* and *Batrachospermum* in  
269 fresh water and *Lomentaria* and *Delessertia* in marine systems with an assumed high specificity  
270 factor, lack a CCM (Raven and Beardall, 1981; Maberly, 1990). Tortell showed in an analysis of  
271 seven phytoplankters from different phylogenetic groups that there was an inverse relationship  
272 between  $\tau$  and the extent of a CCM (Tortell, 2000). Thus carbon uptake can either be supported  
273 by Rubisco with a high specificity for CO<sub>2</sub> or Rubisco with a lower affinity compensated for by a  
274 CCM that is more effective in terms of concentrating CO<sub>2</sub>.

275 *Responses to CO<sub>2</sub> availability not involving a CCM*

276 Not all photoautotrophs have a CCM (Raven *et al.*, 2005) and not all aquatic systems have low  
277 concentrations of CO<sub>2</sub>, at least as an annual mean as outlined above (Table 1). Thus, plants with  
278 an 'avoidance strategy' (*sensu* Klavsen *et al.* (2011)), may simply grow in environments where  
279 CO<sub>2</sub> is sufficient for their photosynthetic needs and therefore do not require a CCM. In the  
280 'exploitation strategy', morphological and anatomical adaptations allow sources of CO<sub>2</sub> that are  
281 more reliable than the bulk water to be exploited. Concentrations of CO<sub>2</sub> within the sediment  
282 are high as photosynthesis is absent and organic matter is mineralised generating CO<sub>2</sub>. Many  
283 freshwater macrophytes have extensive lacunae that can be continuous from root to shoot  
284 (Sculthorpe, 1967), providing a transport route for CO<sub>2</sub> from the sediment to the leaves. The  
285 possibility of this path as a carbon source was suggested in the older literature but first shown

286 experimentally for the short isoetid *Lobelia dortmanna* (Wium-Andersen, 1971). This  
287 exploitation strategy is present in most isoetids (Winkel and Borum, 2009) but diffusion  
288 resistance within the lacunae limits its ability to supply CO<sub>2</sub> to species of short stature and  
289 consequently in taller species such as *Myriophyllum spicatum*, root uptake contributes little to  
290 total carbon uptake (Loczy *et al.*, 1983). In the case of *Isoetes australis*, achlorophyllous leaf  
291 bases within the sediment also act as sources of CO<sub>2</sub>-entry to the internal lacunae (Pedersen *et*  
292 *al.*, 2011). Borum *et al.* (Borum *et al.*, 2015) showed that oxygen concentrations in the buried  
293 base of the shoot of the seagrass *Zostera polychlamys* were 29% higher when the CO<sub>2</sub>  
294 concentration around the shoot was saturating compared to 9 mmol m<sup>-3</sup>. This implies some  
295 diffusion of gases between root and shoot but the extent to which this supplies CO<sub>2</sub> to leaves is  
296 likely to be low given the diffusion distance; more work is warranted on this. It has also been  
297 suggested that early terrestrial lycopsids may also have benefitted from tapping into elevated  
298 CO<sub>2</sub> within the sediment (Green, 2010).

299 Freshwater macrophytes form part of a cline from dry land with complete reliance on  
300 photosynthesis in air, to submergence with complete reliance on photosynthesis in water. This  
301 gradation also reflects the evolutionary invasion of terrestrial embryophytes into water (Du and  
302 Wang, 2014). The more constant supply of CO<sub>2</sub> in the atmosphere is an opportunity for  
303 submerged plants to maximise carbon uptake. In the freshwater macrophyte *Callitricha*  
304 *cophocarpa* which lacks a CCM, growth rates were stimulated three-fold when floating leaves  
305 had access to atmospheric CO<sub>2</sub> and submerged leaves were at air-equilibrium (Madsen and  
306 Breinholt, 1995). The benefit of atmospheric CO<sub>2</sub> to amphibious freshwater plants has been  
307 widely demonstrated and promotes flowering in *Nuphar lutea* and *Callitricha hamulata* (= *C.*  
308 *intermedia* (Grainger, 1947), increases soluble carbohydrate reserves in *Hippuris vulgaris*  
309 (Janauer and Englmaier, 1986) and stimulates photosynthesis in *Stratiotes aloides* (Prins and  
310 Deguia, 1986).

311 *The nature of aquatic CCMs*

312 Many types and mechanisms of CCM exist in aquatic photoautotrophs. Several rely on  
313 production of particular localized environments by special structures such as the carboxysome,  
314 pyrenoid, charosome or transfer cells, of which latter, more than one type is found in seagrasses  
315 (Larkum *et al* THIS ISSUE). Some aquatic species possess biochemical CCMs analogous to those  
316 in terrestrial plants. The best known is that of the freshwater angiosperm *Hydrilla verticillata*  
317 that was studied by George Bowes and his group for over four decades (Bowes *et al.*, 2002;  
318 Bowes, 2011). This species is a member of the monocotyledon family Hydrocharitaceae, lacks  
319 Kranz anatomy, but possesses a facultative C<sub>4</sub> metabolism that is induced when CO<sub>2</sub> is limiting  
320 (Holaday and Bowes, 1980). Spatial separation between carboxylation and decarboxylation is

321 achieved by PEPC being located in the cytoplasm while decarboxylation by NADP malic enzyme  
322 (NADP-ME) occurs with Rubisco in the chloroplast (Reiskind *et al.*, 1989; Magnin *et al.*, 1997;  
323 Reiskind *et al.*, 1997). Although also lacking Kranz anatomy, similar C<sub>4</sub> metabolism has been  
324 found in other species of the Hydrocharitaceae including *Egeria densa* (Casati *et al.*, 2000) and  
325 *Ottelia alismoides* (Zhang *et al.*, 2014). Unlike the two other species, *O. alismoides* appears to use  
326 NAD-ME rather than NADP-ME as the decarboxylating enzyme (Zhang *et al.*, 2014), (Shao *et al.*,  
327 2017). There is less detailed evidence for C<sub>4</sub> metabolism in marine angiosperms (seagrasses). It  
328 is possible that *Cymodocea nodosa*, *Halophila stipulacea* and *Thalassia testudinum* possess C<sub>4</sub>  
329 metabolism (Beer *et al.*, 1980; Koch *et al.*, 2013) but further investigations are required. Within  
330 the marine macroalgae, there is good evidence for an ancient form of C<sub>4</sub> metabolism in the  
331 coenocytic, chlorophyte alga *Udotea flabellum* that is based on phosphoenolpyruvate  
332 carboxykinase (PEPCK) which acts as a carboxylase in the cytosol and a decarboxylase in the  
333 chloroplast (Reiskind *et al.*, 1988; Reiskind and Bowes, 1991). There are hints of possible C<sub>4</sub>  
334 metabolism in the brown alga *Dictyota guineensis* and the red alga *Palisada perforata*  
335 (=*Laurencia papillosa*) based on activities of PEPC and PEPCK compared to Rubisco (Holbrook  
336 *et al.*, 1988; Koch *et al.*, 2013); see also (Raven and Giordano, in press). The marine diatom  
337 *Thalassiosira weissflogii* has been proposed to possess single-cell C<sub>4</sub> metabolism (Reinfelder *et*  
338 *al.*, 2000; Reinfelder, 2011), although the evidence for this is not very conclusive (Clement *et al.*,  
339 2017a) (Clement *et al.*, 2017b). Although not fully resolved, recent studies, on *T. pseudonana*  
340 (Tanaka *et al.*, 2014; Clement *et al.*, 2016; Clement *et al.*, 2017b) and *P. tricornutum* (Haimovich-  
341 Dayan *et al.*, 2013; Yang *et al.*, 2016) (Clement *et al.*, 2017a) using different approaches, suggest  
342 these species do not possess C<sub>4</sub> metabolism.

343 Aquatic CAM was first shown in the freshwater lycophyte *Isoetes howellii* (Keeley, 1981;  
344 Keeley, 2014) and has been recorded in all species of *Isoetes* that have been studied (Keeley,  
345 1998). It is also found in other freshwater angiosperms including *Littorella uniflora* (Madsen,  
346 1987b; Robe and Griffiths, 2000), *Crassula helmsii* (Newman and Raven, 1995), *Deinostema*  
347 *violaceum* (Yin *et al.*, in press) and *O. alismoides* (Zhang *et al.*, 2014), (Shao *et al.*, 2017). The  
348 presence of CAM in marine macroalgae is unclear (Koch *et al.*, 2013). Low amplitude diel  
349 changes in acidity have been reported in *Ascophyllum nodosum* (Johnston and Raven, 1987) and  
350 some other fucoid algae (Keeley, 1998) but more research is required to determine whether or  
351 not this constitutes CAM activity.

352 The remainder of aquatic CCMs are based on biophysical active transport of CO<sub>2</sub>, HCO<sub>3</sub><sup>-</sup>  
353 or both (Raven and Beardall, 2016). The most widespread CCM in aquatic plants, is based on  
354 access to HCO<sub>3</sub><sup>-</sup> and is likely to depend on more than one mechanism. One, found notably in  
355 leaves of the monocotyledon genera *Potamogeton*, *Elodea*, *Egeria* and *Hydrilla* involves polar

leaves. Protons are excreted at the abaxial surface, converting bicarbonate to CO<sub>2</sub> some of which will diffuse into the leaf, while at the adaxial surface net hydroxide excretion leads to the deposition of marl (Steemann Nielsenn, 1947; Prins *et al.*, 1980; Prins *et al.*, 1982; Prins and Elzenga, 1989). A similar process occurs in charophytes where acid and alkaline bands are present along the axis of giant cells (Lucas and Smith, 1973).

Some freshwater angiosperms that can use HCO<sub>3</sub><sup>-</sup>, such as the dicotyledon genera *Myriophyllum* or *Ranunculus*, lack spatial patterns of acid and alkaline zones and instead H<sup>+</sup>-HCO<sub>3</sub><sup>-</sup> co-transport has been proposed (Prins and Elzenga, 1989). In marine macroalgae, also without evidence of acid or alkaline zones, there is a range of different proposed mechanisms (Raven and Hurd, 2012). These include bicarbonate transporters in *Ectocarpus siliculosus* (Gravot *et al.*, 2010), anion exchange proteins in *Macrocystis pyrifera* (Fernandez *et al.*, 2014) and proton extrusion acting with external carbonic anhydrase (but not involving acid and alkaline zones) in *Saccharina latissima* (= *Laminaria saccharina*) (Axelsson *et al.*, 2000). The green alga *Ulva lactuca* possesses two mechanisms to use HCO<sub>3</sub><sup>-</sup>, one based on carbonic anhydrase and external acidification of the boundary layer at seawater pH, again without discernible acid and alkaline zones, and one based on an anion transporter that is up-regulated after incubation at high pH (Axelsson *et al.*, 1995).

CCMs in cyanobacteria are among the best studied of any group of photosynthetic organisms. Active transporters of CO<sub>2</sub> and HCO<sub>3</sub><sup>-</sup> produce a large internal pool of HCO<sub>3</sub><sup>-</sup> that is converted to CO<sub>2</sub> around Rubisco within specialized structures that restrict leakage, carboxysomes (Price *et al.*, 2008; Price, 2011). *Chlamydomonas reinhardtii* has the best-studied eukaryotic CCM that involves HCO<sub>3</sub><sup>-</sup> transporters located at the plasmalemma and the outer stromal membrane that generate high concentrations of HCO<sub>3</sub><sup>-</sup> in the chloroplast stroma (Wang *et al.*, 2011). There are at least twelve genes present encoding carbonic anhydrases in different locations (Moroney *et al.*, 2011). The alpha CA in the acid thylakoid lumen (CA3) is believed to increase the rate of conversion of HCO<sub>3</sub><sup>-</sup> to CO<sub>2</sub> which can then diffuse out to the surrounding pyrenoid which is the location of Rubisco. A beta carbonic anhydrase (CA6) in the stroma has been suggested to trap CO<sub>2</sub> that has diffused out of the lumen and bypassed the pyrenoid by speeding its conversion back to HCO<sub>3</sub><sup>-</sup> (Moroney *et al.*, 2011).

In diatoms, several biophysical CCM mechanisms are involved including bicarbonate active transporters (Matsuda *et al.*, 2011; Nakajima *et al.*, 2013) and carbonic anhydrase enzymes (Harada *et al.*, 2005; Trimborn *et al.*, 2009; Crawfurd *et al.*, 2011; Hopkinson *et al.*, 2011; Hopkinson *et al.*, 2013; Clement *et al.*, 2016); (Clement *et al.*, 2017a). The nature of the CCM has also been studied in other marine phytoplankton including chlorophytes and other chromalveolates from the dinoflagellates, haptophytes (including coccolithophores) and

391 eustigmatophytes (Huertas *et al.*, 2000; Colman *et al.*, 2002; Rost *et al.*, 2003; Dason *et al.*, 2004;  
392 Hoins *et al.*, 2016; Kottmeier *et al.*, 2016). These and other studies (Clement *et al.*, 2017a)  
393 (Riebesell *et al.*, 1993; Clark and Flynn, 2000) show that there is a large diversity in ability of  
394 marine phytoplankton to utilize the carbon reserves.

395

### 396 **Regulation of CCMs by environmental conditions**

397 It has been known for a long time that algae are phenotypically plastic and their photosynthetic  
398 characteristics can be altered by environmental conditions e.g. (Briggs and Whittingham, 1952).  
399 In microalgae where this regulation has been best studied and for which a substantial literature  
400 exists, a CCM is rapidly up-regulated at low CO<sub>2</sub> and down-regulated at high CO<sub>2</sub> (Giordano *et al.*,  
401 2005). Similar regulation of HCO<sub>3</sub><sup>-</sup> use occurs in freshwater macrophytes (Sand-Jensen and  
402 Gordon, 1986; Madsen *et al.*, 1996; Adamec, 2009). In *Myriophyllum alterniflorum* there are  
403 phenotypic differences between populations from low and high alkalinity sites which largely  
404 disappear after incubation in standard conditions (Maberly and Madsen, 2002a). C<sub>4</sub> metabolism  
405 in freshwater macrophytes is up-regulated when inorganic carbon is limiting in *H. verticillata*  
406 and *E. densa* (Casati *et al.*, 2000; Bowes, 2011) but appears to be constitutive in *O. alismoides*  
407 (Zhang *et al.*, 2014). In contrast, C<sub>4</sub> metabolism is present in leaves of *Eleocharis vivipara* when  
408 in air but absent when in water (Ueno, 1998; Murphy *et al.*, 2007). CAM activity in freshwater  
409 macrophytes is up-regulated at low CO<sub>2</sub> and high light (Madsen, 1987a; Robe and Griffiths,  
410 1990; Baattrup-Pedersen and Madsen, 1999; Klavsen and Maberly, 2010) (Shao *et al.*, 2017) and  
411 can also be down-regulated when leaves are exposed to the more constant supply of CO<sub>2</sub> in air  
412 (Aulio, 1986; Robe and Griffiths, 2000; Yang and Liu, 2015). In the halotolerant *Dunaliella salina*,  
413 high salinity (2.22 kmol m<sup>-3</sup> NaCl) promoted a CCM, presumably because high salinity reduces  
414 the solubility of CO<sub>2</sub> (Booth and Beardall, 1991).

415 Low light can lead to a reduction in CCM activity in eukaryotic and prokaryotic  
416 microalgae (Beardall, 1991; Beardall and Giordano, 2002; Raven and Beardall, 2014). There is  
417 evidence of regulation of CCMs in microalgae by variation in the concentration and form of  
418 nitrogen and the concentration of phosphorus (Beardall and Giordano, 2002; Raven and  
419 Beardall, 2014). However, for both elements, both increases and decreases in inferred activity of  
420 a CCM in response to limitation have been recorded (Raven and Beardall, 2014).

421

### 422 **Costs & Benefits of CCMs**

423 The fact that CCMs occur in some but not all species, are frequently down-regulated when  
424 inorganic carbon is not limiting (Giordano *et al.*, 2005) and can be lost in microalgae evolving  
425 over 1000 generations at high CO<sub>2</sub> (Collins *et al.*, 2006) indicates that their operation incurs  
426 costs as well as conferring benefits.

427 *Energy costs*

428 By definition, a CCM involves an energy cost because it generates a concentration of CO<sub>2</sub> at the  
429 active site of Rubisco above that which could be achieved by passive processes. However, Sage  
430 and Khoshravesh (Sage and Khoshravesh, 2016) point out that locating photorespiratory and  
431 respiratory release of CO<sub>2</sub> close to Rubisco may act as a passive CCM that can mitigate, rather  
432 than overcome, the consequences of Rubisco's properties. An active CCM will incur energy costs  
433 for investing in catalytic machinery and running the CCM (Raven and Lucas, 1985). This has  
434 ecological relevance because light is often, although not always, a limiting resource for aquatic  
435 photoautotrophs because of the relatively high rates of attenuation in aquatic environments  
436 (Maberly, 2014). A detailed calculation of the theoretical minimum energy (photon) running  
437 costs has been undertaken by (Raven *et al.*, 2014) as mol photons absorbed per mol carbon  
438 fixed. They estimated that when a CCM is absent, the minimum photon cost will be between 9.92  
439 and 9.96. Assuming that no leakage of CO<sub>2</sub> is occurring out of the site where it is accumulated,  
440 the minimum photon cost when CCM is active varies between 9.25 and 10 depending on the  
441 precise CCM. Assuming a leakage rate equivalent to the rate of photosynthesis, the photon cost  
442 increases to between 9.5 and 11 mol photons absorbed per mol carbon fixed (Raven and  
443 Beardall, 2016). The additional costs of producing the CCM machinery are more uncertain and  
444 complicated by trade-offs with other resources such as nitrogen and phosphorus.

445 A CCM is present in psychrophilic marine diatom communities from the Western  
446 Antarctic Peninsula, including species such as *Fragilariaopsis cylindrus*. However, it operates with  
447 a relatively low energy cost (Kranz *et al.*, 2015) because at 0°C the Michaelis constant for  
448 Rubisco (K<sub>m</sub>) is only 15 mmol CO<sub>2</sub> m<sup>-3</sup> while the air equilibrium the CO<sub>2</sub> concentration is 25  
449 mmol m<sup>-3</sup> (Young *et al.*, 2015). Even though the ambient CO<sub>2</sub> concentration had been reduced to  
450 about 6 mmol m<sup>-3</sup> in a bloom, the diatoms were nearly saturated with inorganic carbon by the  
451 CCM at a low energy cost (Kranz *et al.*, 2015; Young *et al.*, 2015).

452 *Affinity costs*

453 A less recognised cost of operating at least some types of CCM relates to the affinity for CO<sub>2</sub>. In a  
454 review of the kinetics of CO<sub>2</sub> uptake from a range of freshwater macrophytes, it was shown that  
455 the K<sub>1/2</sub> for CO<sub>2</sub> for species able to use HCO<sub>3</sub><sup>-</sup> as well as CO<sub>2</sub> was about 210 mmol m<sup>-3</sup> but only 108  
456 mmol m<sup>-3</sup> for species restricted to CO<sub>2</sub> (Maberly and Madsen, 1998). The slope of CO<sub>2</sub>-uptake

457 per CO<sub>2</sub> concentration was similarly greater in species restricted to CO<sub>2</sub>. Using experiments in  
458 different gas mixtures, including helium, it was shown that species with the ability to use HCO<sub>3</sub><sup>-</sup>  
459 have a higher internal resistance to CO<sub>2</sub> uptake than species restricted to CO<sub>2</sub> (Madsen and  
460 Maberly, 2003). This also occurs in other types of photoautotrophs; the permeability of  
461 plasmalemma from *Chlamydomonas reinhardtii* grown at high CO<sub>2</sub> is about 1.7-times greater  
462 than those grown at low CO<sub>2</sub>, consistent with these differences (Raven and Beardall, 2016). A  
463 high permeability is obviously advantageous in a species restricted to CO<sub>2</sub> but if a species is  
464 concentrating CO<sub>2</sub> internally with a CCM, a high permeability runs the risk of futile cycling. The  
465 different affinities of macrophytes with and without an ability to use HCO<sub>3</sub><sup>-</sup> has a clear potential  
466 ecological significance in shallow water where light energy is high.

467 *Other costs*

468 There are other largely unquantified costs, or at least trade-offs, involved in the operation of a  
469 CCM. These involve a different element requirement when a CCM is present or absent (Raven  
470 and Johnston, 1991). For example, the enzyme carbonic anhydrase is ubiquitously up-regulated  
471 along with a CCM which will incur some attendant cost including those for the uptake of  
472 elements such as Zn, Co or Cd that can be present at low concentration, especially in the open  
473 ocean (Lane and Morel, 2000). In marine phytoplankton, N and P quotas also vary with CO<sub>2</sub>  
474 concentration (Reinfelder, 2012) but the extent to which these incur a cost or benefit is poorly  
475 constrained.

476 *Benefits*

477 The benefits of operating a CCM have been alluded to and include reducing rates of  
478 photorespiration, increasing rates of photosynthesis when CO<sub>2</sub> is limiting and extending the  
479 amount of carbon that is accessible to photosynthesis during carbon depletion. An example of  
480 these benefits is shown in Fig. 3 where rates of carbon uptake for three species of the  
481 freshwater macrophyte *Myriophyllum* which vary in the presence and effectiveness of their CCM  
482 are compared. *M. verticillatum* lacks a CCM, being reliant on CO<sub>2</sub> alone, and had a CO<sub>2</sub>  
483 compensation point of 3.2 mmol m<sup>-3</sup> allowing it to remove only 4% of the available inorganic  
484 carbon. *M. alterniflorum* and *M. spicatum* were able to use CO<sub>2</sub> and HCO<sub>3</sub><sup>-</sup> and while *M.*  
485 *alterniflorum* could remove 51% of the available inorganic carbon, *M. spicatum* was even more  
486 effective and removed 80% of the available carbon. Rates at air-equilibrium, ~15 mmol m<sup>-3</sup>, as a  
487 percentage of those at 200 mmol m<sup>-3</sup>, which was not quite saturating, were 3%, 20% and 34% in  
488 *M. verticillatum*, *M. alterniflorum* and *M. spicatum* respectively (Fig. 3B), showing that the CCM  
489 based on HCO<sub>3</sub><sup>-</sup>-use increased rates of photosynthesis at air-equilibrium in addition to  
490 increasing the pool of available inorganic carbon. For two of these species of *Myriophyllum*,  
491 these photosynthesis differences have recently been shown to translate to benefit growth at low

492 CO<sub>2</sub>: *M. spicatum* growth was much less affected by CO<sub>2</sub> depletion than *M. verticillatum* (Dulger  
493 and Hussner, 2017).

494

#### 495 **Frequency and extent of CCMs in different types of photoautotroph**

496 In addition to phenotypic plasticity in the activity of CCMs within a given species, there are  
497 genotypic differences in the effectiveness of CCMs to exploit the inorganic carbon reserves  
498 among different species which together generate a gradient in ability to deplete inorganic  
499 carbon in freshwater macrophytes and phytoplankton (Talling, 1976; Allen and Spence, 1981).  
500 Fig. 4 presents the compiled published and unpublished results for different types of aquatic  
501 photoautotrophs on the extent to which inorganic carbon can be removed from water based on  
502 pH-drift experiments. Percent carbon availability is calculated from the calculated or measured  
503 concentration of C<sub>T</sub> at the end of a drift compared to the alkalinity of the medium. There is a  
504 wide range of ability to exploit the inorganic carbon reserves within each group, with species  
505 without a CCM only being able to remove a small fraction of the available carbon compared to  
506 species with an effective CCM. The seagrasses and marine phytoplankton had the highest  
507 median ability to remove inorganic carbon and the freshwater macrophytes clearly had the  
508 lowest (Fig. 4). However, freshwater macrophytes, freshwater phytoplankton and marine  
509 macroalgae had the largest range in ability to remove inorganic carbon, while the seagrasses  
510 (although with a limited number of species tested) and marine phytoplankton had the lowest  
511 range. Thus, broadly comparing marine and freshwater photoautotrophs, the marine  
512 photoautotrophs had a 1.7-fold greater median ability to extract inorganic carbon while the  
513 freshwater photoautotrophs had a 1.4-fold greater range in ability to extract inorganic carbon.

514 The lower median capability of freshwater macrophytes to exploit the reserves of  
515 inorganic carbon is consistent with their alternative strategies for acquiring inorganic carbon  
516 described above. Thus, only 50 species of the 110 tested (45%) are able to use HCO<sub>3</sub><sup>-</sup> (Fig. 5A).  
517 Four species perform C<sub>4</sub> photosynthesis and 9 species perform CAM based on diel acidity  
518 changes. All the species with C<sub>4</sub> also use HCO<sub>3</sub><sup>-</sup> while only two species, *Ottelia alismoides* (Zhang  
519 *et al.*, 2014) and possibly *Scirpus subterminalis* (Beer and Wetzel, 1981) and *Vallisneria spiralis*  
520 (Yin *et al.*, in press) combine both CAM and HCO<sub>3</sub><sup>-</sup> use. *O. alismoides*, appears, uniquely, to  
521 combine three different types of CCM, HCO<sub>3</sub><sup>-</sup> - use, C<sub>4</sub> and CAM (Shao *et al.*, 2017). Fifty two  
522 species have no apparent CCM. Of these, 69 % have access to CO<sub>2</sub> from the atmosphere,  
523 sediment or grow in environments where CO<sub>2</sub> is likely to be high locally (Fig. 5B). In contrast,  
524 only about 24% of species with an ability to use HCO<sub>3</sub><sup>-</sup> have alternative strategies, and these  
525 largely comprise C<sub>4</sub> metabolism and access to atmospheric CO<sub>2</sub>.

526            Most groups of eukaryotic algae and aquatic plants contain species with and without  
527 CCMs (Raven *et al.*, 2005). Nevertheless, phylogenetic differences underlie some of the variation  
528 in ability to remove inorganic carbon. Of particular note for their apparently uniform absence of  
529 a CCM is the group of heterokont algae, the Chrysophyceae *sensu latu* (= Synurophyceae and  
530 Chrysophyceae). No species studied from this group has been shown to be able to use HCO<sub>3</sub><sup>-</sup> and  
531 there is no evidence for the operation of a CCM (Saxby-Rouen *et al.*, 1998; Maberly *et al.*, 2009;  
532 Bhatti and Colman, 2011). There are no clearly attested freshwater bryophytes or lycophytes  
533 with a CCM (Spence and Maberly, 1985) apart from in one experiment with *Fontinalis*  
534 *antipyretica* (Penuelas, 1985), and a possible CCM in an aquatic hornwort (Bain and Proctor,  
535 1980), although terrestrial species from this group do have a CCM (Villarreal and Renner, 2012).  
536 Within the freshwater macrophyte genus *Callitrichie*, most species lack a CCM but two of the  
537 three species within the subgenus Pseudocallitrichie (Philbrick and Les, 2000), *C.*  
538 *hermaphroditica* (Maberly and Madsen, 2002b) and *C. truncata* (Whitney & Maberly  
539 unpublished) can also use HCO<sub>3</sub><sup>-</sup>; the third species, has not yet been tested. Within the  
540 prokaryotes, all tested species of cyanobacteria appear to possess a CCM which compensates for  
541 the low affinity of their Rubisco enzyme. This is also the case for a culture of *Merismopedia*  
542 *glauca*, collected from the New Forest, England (Maberly, unpublished), which can grow in  
543 eutrophic lakes e.g. (Yamamoto and Shiah, 2012) but the genus contains species such as *M.*  
544 *tenuissima* that are often dominant in acid sites and absent when pH is increased by liming  
545 (Anderson *et al.*, 1997). Work is required on *M. tenuissima* to determine if this acid-tolerant  
546 cyanobacterium possesses a CCM.

547

#### 548 **Environmental conditions and CCM activity: towards establishing inorganic carbon as an 549 ecological factor**

550 In some circumstances, inorganic carbon can limit the primary productivity of marine  
551 phytoplankton (Riebesell *et al.*, 1993; Hein and Sand-Jensen, 1997; Clark and Flynn, 2000),  
552 freshwater phytoplankton (Ibelings and Maberly, 1998; Jansson *et al.*, 2012), marine  
553 macroalgae (Holbrook *et al.*, 1988), seagrasses (Borum *et al.*, 2015) and freshwater  
554 macrophytes (Madsen and Maberly, 1991). Given this and the environmental variability in  
555 inorganic carbon concentrations and other resources and the wide variability in abilities of  
556 aquatic photoautotrophs to acquire inorganic carbon, it is likely that inorganic carbon is one of  
557 the environment factors that controls the ecological distribution of aquatic photoautotrophs.  
558 Some of the differences between marine and freshwater photoautotrophs in Fig. 4 can be  
559 accounted for, in part, by the availability of inorganic carbon in the respective environments.  
560 The marine environment has a nearly uniform concentration of HCO<sub>3</sub><sup>-</sup> and a lower variability in

561 CO<sub>2</sub> concentrations and CO<sub>2</sub> sources than freshwaters, increasing the benefit of using HCO<sub>3</sub><sup>-</sup> but  
562 not placing a premium on a highly effective CCM. In contrast, the freshwater environment has  
563 highly variable concentrations of both HCO<sub>3</sub><sup>-</sup> and CO<sub>2</sub> and CO<sub>2</sub> from the sediment or atmosphere  
564 can be accessed, so some species would not benefit from using HCO<sub>3</sub><sup>-</sup> however, a highly effective  
565 CCM is needed to continue to photosynthesise during episodes of extreme carbon depletion.  
566 Below, three examples of the interaction between CCMs and ecology are outlined.

567 *CCMs and distribution of freshwater macrophytes*

568 The high CO<sub>2</sub> concentrations that exist in some freshwater environments allow plants that grow  
569 there to survive without a CCM. For example, the freshwater moss *F. antipyretica* lacks a CCM  
570 but survives in a lake, Esthwaite Water UK, where surface concentrations of CO<sub>2</sub> in summer are  
571 extremely low (Fig. 2). This is possible because it grows close to the sediment surface where CO<sub>2</sub>  
572 concentrations were on average about 120 mmol m<sup>-3</sup> and reached a maximum of 270 mmol m<sup>-3</sup>  
573 and were close to saturating for *F. antipyretica* (Maberly, 1985a, b). In another example,  
574 *Fontinalis antipyretica* and the submerged form of *Berula erecta*, both of which are restricted to  
575 CO<sub>2</sub>, grew immediately downstream of the source of the River La Sorgue, in southern France, fed  
576 by groundwater where the CO<sub>2</sub> concentration was in excess of 400 mmol m<sup>-3</sup> (Maberly *et al.*,  
577 2015). Species of low stature may benefit from the locally high concentrations of CO<sub>2</sub> above the  
578 sediment surface and these may account for at least 15% of the over 100 species tested (Fig. 5)  
579 but this is almost certainly an underestimate of the importance of this strategy since seedlings  
580 or small shoots will also benefit from this carbon source as will species growing in otherwise  
581 heterotrophic areas with generally elevated CO<sub>2</sub> concentrations. Carnivorous plants such as  
582 *Aldrovanda vesiculosa* and species of *Utricularia* that typically grow in dystrophic sites with low  
583 nutrient concentrations, low oxygen concentrations but high CO<sub>2</sub> concentrations also lack a CCM  
584 (Adamec, 1997a, b, 2009). However, one population of *U. australis* from a site with low CO<sub>2</sub>  
585 showed some evidence for HCO<sub>3</sub><sup>-</sup> use (Adamec, 2009) so more work is needed on the extent of  
586 genotypic or phenotypic plasticity in this species. Rivers tend to have higher concentrations of  
587 CO<sub>2</sub> than lakes because they are closer to the source of CO<sub>2</sub> produced by decomposition  
588 processes within the catchment (Sand-Jensen and Frost-Christensen, 1998). Comparing species  
589 of freshwater macrophyte found in both rivers and lakes using the pH-drift technique, those  
590 from rivers had a slightly lower median ability to extract inorganic carbon than those in lakes  
591 (Baatrup-Pedersen *et al.*, 2013).

592 The link between water chemistry and freshwater macrophyte distribution has been  
593 known for many decades (e.g. (Iversen, 1929; Hutchinson, 1970)), and Hutchinson (1970) made  
594 this link explicitly for species of *Myriophyllum*. These patterns, particularly since pH and  
595 alkalinity are often the key variables linked to distribution, have been associated with

macrophyte carbon-physiology e.g. (Spence, 1967) and . An example can be seen for the survey of macrophytes in 82 Danish lakes, reported by (Vestergaard and Sand-Jensen, 2000). The lakes were categorised into five groups based on their macrophyte communities and the concentrations of  $\text{HCO}_3^-$  and  $\text{CO}_2$  in the five lake groups were measured. Here, the macrophytes within each of these groups were assigned to whether or not they could use  $\text{HCO}_3^-$  and the extent to which they could deplete inorganic carbon based on pH-drift experiments using the information compiled in **Supplementary Table 1**. The average difference in the ability of the macrophytes in each group to exploit the inorganic carbon reserves was significantly related to the carbonate chemistry: the percent carbon available increased with  $\text{HCO}_3^-$  concentration and pH and decreased with  $\text{CO}_2$  (Fig. 6). Very similar results were obtained based on the proportion of species able to use  $\text{HCO}_3^-$  instead of ability to extract inorganic carbon (data not shown). While numerous environmental conditions control the distribution of macrophytes, the results in Fig. 6 show that high concentrations of  $\text{HCO}_3^-$  and low concentrations of  $\text{CO}_2$  favour species with an ability to use  $\text{HCO}_3^-$ . These two factors are linked since  $\text{HCO}_3^-$  concentration (alkalinity) along with lake depth can be used to predict background phosphorus concentration in lakes (Vighi and Chiaudani, 1985) and this nutrient often limits lake productivity, and hence controls summer depletion of  $\text{CO}_2$ .

#### 613 *CCMs and distribution of freshwater phytoplankton*

614 Within freshwater phytoplankton, species from acid sites where concentrations of  $\text{HCO}_3^-$  are minimal or absent have a lower ability to remove inorganic carbon than species from neutral or alkaline sites. The ellipsoidal form of the trebouxiophyte *Watanabea* sp., which in culture at pH 2 was the predominant form at low  $\text{CO}_2$  concentrations (Diaz and Maberly, 2009), appeared to operate a CCM but in the absence of  $\text{HCO}_3^-$  at this pH, this must have been based on active uptake of  $\text{CO}_2$ . The spheroidal form of this species and other species tested from the highly acid Lake Caviahue and its inflows in Argentina appeared to largely lack CCMs. Similarly, the acidophile *Chlamydomonas acidophila* and the acidotolerant *C. pitschmannii*, with optima for growth of pH 3.6 and pH 5.3 respectively, mainly relied on  $\text{CO}_2$  as a source of inorganic carbon (Lachmann *et al.*, 2016). In contrast, the neutrophiles *C. reinhardtii* and *Scenedesmus vacuolatus* with optima for growth of pH 6.3 and 8.1 respectively, were effective  $\text{HCO}_3^-$  users. A similar link between pH preference and the presence or effectiveness of a CCM has also been shown for desmids. Species such as *Staurastrum chaetoceras* and *S. planktonicum* found in alkaline lakes were highly effective at removing inorganic carbon, while species such as *S. brachiatum* restricted to acidic water had a much less effective CCM (Spijkerman *et al.*, 2005).

629 To illustrate the spatial and temporal variation in carbon removal ability in freshwater phytoplankton, samples were collected in spring and summer from four lakes in Cumbria which

631 differed in their alkalinity, productivity and extent of carbon depletion (Fig. 7). Net  
632 phytoplankton from each lake were assessed for their ability to remove inorganic carbon using  
633 pH-drift experiments. There were large differences among seasons and lakes in the ability of the  
634 phytoplankton to remove inorganic carbon, but adjusting the concentration of  $\text{HCO}_3^-$  to a  
635 standard value had no significant effect (ANOVA,  $P = 0.000$  for lake and season but  $P = 0.089$  for  
636 bicarbonate treatment). In the least productive lake, Derwentwater, where surface  
637 concentrations of  $\text{CO}_2$  never fell below air-equilibrium, minimum  $\text{CO}_2$  concentrations at the end  
638 of the drift were greater than  $1 \text{ mmol m}^{-3}$  in spring and summer suggesting that the  
639 phytoplankton population as a whole did not have a CCM. In contrast, in the most productive  
640 lake, Esthwaite Water, where summer lake  $\text{CO}_2$  concentrations fell to around 100-times below  
641 air-equilibrium ( $\sim 0.17 \text{ mmol m}^{-3}$ ), the final  $\text{CO}_2$  in drifts were substantially below the nominal  $1$   
642  $\text{mmol m}^{-3}$  threshold in spring and summer. The difference between the lake phytoplankton in  
643 their ability to remove inorganic carbon was closely related to species composition. In the lakes  
644 where low  $\text{CO}_2$  concentrations favoured cyanobacteria (Shapiro, 1997) the phytoplankton  
645 population had a much greater ability to remove carbon than in those dominated by diatoms  
646 and chrysophytes (Fig. 7E,F). Thus, the ability of the phytoplankton population to remove  
647 inorganic carbon decreased with increasing % biovolume of diatoms and chrysophytes and  
648 conversely increased with increasing % biovolume of cyanobacteria. This is consistent with  
649 seasonal difference seen in Esthwaite Water with spring diatoms having a lower ability to  
650 remove inorganic carbon than the summer cyanobacteria (Talling, 1976). These results suggest  
651 that inorganic carbon removal from productive lakes shifts the phytoplankton population  
652 towards species with effective CCMs, although the dynamic nature of these lakes where wind  
653 mixing can entrain pH from depth (Maberly, 1996) means that short-lived windows of higher  
654  $\text{CO}_2$  may occur that could be exploited by rapidly-growing species without a CCM.

655 There is also evidence for intraspecific carbon competition within the widespread  
656 cyanobacterium, *Microcystis* that can dominate during high-pH episodes in nutrient enriched  
657 lakes (Talling, 1976). A study of 20 different strains of *Microcystis aeruginosa* showed variation  
658 in the presence of genes coding for different components of the CCM (Sandrini *et al.*, 2014).  
659 Thus while all 20 strains possessed genes for the  $\text{HCO}_3^-$  uptake system *BCT1*, eleven strains  
660 lacked the  $\text{HCO}_3^-$  transporter gene *BicA* and another strain lacked the  $\text{HCO}_3^-$  transporter gene  
661 *SbtA*. Measurements in a lake, and in laboratory experiments, showed that there was a trade-off  
662 between the activity of these transporters and inorganic carbon availability. When inorganic  
663 carbon availability was high, populations were dominated by genotypes with the *bicA* gene  
664 which had a low affinity for  $\text{HCO}_3^-$  but a high rate of flux, while at low inorganic carbon  
665 availability populations were dominated by genotypes with *SbtA* which has a much higher

666 affinity for  $\text{HCO}_3^-$  but a lower rate of flux (Sandrini *et al.*, 2016). Thus, the effectiveness of  
667 cyanobacterial CCMs, the high phenotypic variability of a given genotype and physiological  
668 differences among genotypes make cyanobacteria powerful competitors for inorganic carbon  
669 with other types of phytoplankton.

670 *Growth in low light environments*

671 Unlike the other marine photosynthetic organisms, marine macroalgae had a large range of  
672 ability to exploit the reserves of inorganic carbon. In agreement with expectations related to the  
673 additional energy costs of operating a CCM, there are indications that marine macroalgae  
674 growing in subtidal or shaded environments lack or have a low CCM activity. Thus in a survey of  
675 35 marine macroalgae, species from the sublittoral, especially understory species that might be  
676 further shaded by larger kelps, had a significantly lower ability to remove inorganic carbon than  
677 intertidal or rockpool species and largely lacked a CCM (Maberly, 1990). Many of these shaded  
678 subtidal species were Rhodophyta and in a study restricted to this group, Murru and Sandgren  
679 (2004) found a similar pattern and a larger synthesis of data for all types of marine macroalgae  
680 reinforced this (Stepien, 2015; Stepien *et al.*, 2016). Thus the cost of operating a CCM in a low-  
681 light environment appears to outweigh the benefits which are arguably low because light,  
682 rather than inorganic carbon, may be limiting and concentrations of  $\text{CO}_2$  unlikely to be depleted  
683 below air equilibrium.

684 Low light usually restricts the growth of freshwater macrophytes at depth (Spence,  
685 1967). A compilation of depth limits and minimum light requirements for different groups of  
686 freshwater macrophytes showed that bryophytes were often found at the depth limit and had  
687 the lowest light requirement of about 2.2% of surface light (Middelboe and Markager, 1997)  
688 while depth limits for charophytes, elodeid and isoetid macrophytes were at higher light levels.  
689 Since virtually all freshwater bryophytes lack a CCM, the saved energy costs may be one of the  
690 characteristics permitting growth at low light.

691

692 **Conclusions**

693 Dissolved inorganic carbon is potentially more limiting for aquatic photoautotrophs than  $\text{CO}_2$  in  
694 air is for terrestrial plants because of low rates of  $\text{CO}_2$  diffusion in water and, particularly in  
695 fresh waters, strong seasonal depletion of inorganic carbon. CCMs are consequently more  
696 important in aquatic compared to terrestrial systems both in terms of species numbers and  
697 contribution to productivity. There is a large range of CCM mechanisms and carbon-extraction  
698 capabilities in aquatic photoautotrophs, particularly in fresh waters where the range of  
699 concentrations of  $\text{CO}_2$  and  $\text{HCO}_3^-$  is large. Marine photoautotrophs are more similar to one

700 another in terms of ability to remove carbon and generally better able to extract carbon,  
701 probably because the benefit of using  $\text{HCO}_3^-$  is greater given its high concentration and because  
702 alternative reserves of  $\text{CO}_2$  in the sediment or atmosphere are largely unavailable, unlike for  
703 freshwater macrophytes. The variation in inorganic concentration and variability in CCM  
704 capability results in inorganic carbon being an ecological factor that controls ecological  
705 distribution. At low light, because of the energy cost associated with operating a CCM, and the  
706 lower benefits of increasing rates of photosynthesis, photoautotrophs from these environments  
707 often lack or have a low capacity to operate a CCM. Future work should focus on exploring the  
708 diversity of CCMs in the understudied seagrasses and the numerous phylogenetic groups of  
709 marine phytoplankton and exploit the biochemical and molecular tools and approaches that  
710 have been developed for microalgae to generate a mechanistic understanding of CCM  
711 mechanisms in larger aquatic photoautotrophs. Strengthening the links between ecology and  
712 CCMs will increase our understanding of the mechanisms underlying ecological success, aquatic  
713 productivity and species distribution and will place mechanistic studies in a clearer ecological  
714 context.

715

## 716 **Supplementary data**

717 Supplementary methods associated with figures 1 to 7; Supplementary Table 1. Ability of  
718 different species of aquatic photoautotroph to remove inorganic carbon ( $\text{C}_\text{T}$ ) during pH-drift  
719 experiments.

720

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**Table 1. Annual average concentrations of CO<sub>2</sub> from a global dataset of lakes and rivers.**  
**CO<sub>2</sub> data derive from (Raymond *et al.*, 2013) Supplementary Information and the**  
**alkalinity data derive from the GLORICH database (Hartmann *et al.*, 2014).**

Environment	25 percentile	50 percentile	75 percentile
Rivers CO <sub>2</sub> ( $\mu\text{atm}$ )	964	1598	2311
Lakes CO <sub>2</sub> ( $\mu\text{atm}$ )	340	736	915
Rivers CO <sub>2</sub> (mmol m <sup>-3</sup> )*	44	73	105
Lakes CO <sub>2</sub> (mmol m <sup>-3</sup> )*	16	34	42
Rivers alkalinity (mequiv m <sup>-3</sup> )	540	1559	3056

\*Calculated from  $\mu\text{atm}$  for an assumed temperature of 15°C.

## Figure legends

**Fig. 1.** Inorganic carbon chemistry in aquatic systems. A, solubility of CO<sub>2</sub> (solid lines) and O<sub>2</sub> (dashed lines) in fresh water (orange) and sea water (blue) as a function of temperature. B, effect of ionic strength on pK<sub>1'</sub> (solid lines) and pK<sub>2'</sub> (dashed lines) at 5°C (blue), 15°C (grey) and 25°C (orange), seawater values shown by circles. C, pH at equilibrium with water at different alkalinites at 280 ppm (blue) 400 ppm (grey) and 560 ppm (orange); seawater values shown as circles. The black line shows pK<sub>1'</sub> for fresh water. D, Bjerrum plot of CO<sub>2</sub> (orange), HCO<sub>3</sub><sup>-</sup> (grey) and CO<sub>3</sub><sup>2-</sup> (blue) for seawater (solid line) and freshwater with alkalinites representing the 25<sup>th</sup> (dotted line) and 75<sup>th</sup> percentile (dashed line) in Table 1. More detail is provided in Supplementary methods.

**Fig. 2.** Seasonal changes in carbonate chemistry in a productive lake, Esthwaite Water UK, during 1993. A, pH; B, concentration of CO<sub>2</sub>; C, concentration of HCO<sub>3</sub><sup>-</sup>; and D, concentration of CO<sub>3</sub><sup>2-</sup>. Hourly values are shown (blue line) in comparison to values calculated for equilibrium with an atmosphere containing 360 ppm CO<sub>2</sub> (orange line). The insets show the ranked values; note [CO<sub>2</sub>] is on a log scale, with the mean air-equilibrium concentration shown by a circle. More detail is provided in Supplementary methods.

**Fig. 3.** Comparison of rate of carbon uptake vs concentration of total inorganic carbon during a pH-drift experiment for three species of *Myriophyllum*. Rates are expressed as a function of concentration of: A, C<sub>T</sub> and B, CO<sub>2</sub>. Plants were collected from different sites but grown under standard conditions before the experiments. Drift conditions: alkalinity 1 equiv m<sup>-3</sup>, temperature 20°C, light 500 μmol m<sup>-2</sup> s<sup>-1</sup> photosynthetically available radiation (Maberly unpublished). The vertical line shows the air-equilibrium (400 μatm) conditions. More detail is provided in Supplementary methods.

**Fig. 4.** Gradation in ability to remove inorganic carbon based on pH-drift experiments for different groups of aquatic photoautotrophs. These include in order of decreasing median ability: seagrasses (10 species); marine phytoplankton (13 species); filamentous freshwater algae (34 species); marine macroalgae (142 species); freshwater phytoplankton (37 species), freshwater macrophytes (102 species). The vertical line show the median ability for each group. More detail is provided in Supplementary methods and the data are available in Supplementary Table 1.

**Fig. 5.** Number of species of freshwater macrophyte with different strategies for obtaining inorganic carbon in photosynthesis. A, species, categorised following (Klavsen *et al.*, 2011); B, Percentage of CO<sub>2</sub> only or HCO<sub>3</sub><sup>-</sup> species with alternative strategies. More detail is provided in Supplementary methods.

**Fig. 6.** Relationship between the ability of submerged macrophytes to remove inorganic carbon and their presence in groups of Danish lakes of different water chemistry. Lake groups characterised in terms of A, alkalinity, B, CO<sub>2</sub> concentration and C, pH. Error bars show one standard deviation; the group means were fitted to a log or linear equation the parameters of which are shown. Lake data derived from (Vestergaard and Sand-Jensen, 2000). More detail is provided in Supplementary methods.

**Fig. 7.** Seasonal and phylogenetic variation in ability of freshwater phytoplankton to remove inorganic carbon. A, seasonal variation in CO<sub>2</sub> concentration (log scale) for Derwentwater (blue), Ullswater (orange), Windermere South Basin (grey) and Esthwaite Water (Green), the blue shading shows times when the experiments were performed; B, as for panel A, but HCO<sub>3</sub><sup>-</sup> concentration; C, % carbon removal for the four lake in spring at ambient (grey) or a standard (blue) concentration of HCO<sub>3</sub><sup>-</sup> of about 0.55 mmol m<sup>-3</sup>, error bars show one standard deviation; D, as for panel C but for summer; E, % carbon available as a function of % contribution of diatoms plus chrysophytes to total biovolume in spring (blue) or summer (orange) with polynomial fit for combined seasonal data; F, as for panel E, but % contribution of cyanobacteria. More detail is provided in Supplementary methods











