1 Phylogenetic and Environmental Context of a Tournaisian Tetrapod Fauna

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25 Summary 26 The end-Devonian to mid-Mississippian time interval has long been known for its 27 depauperate palaeontological record, especially for tetrapods. This interval encapsulates 28 the time of increasing terrestriality among tetrapods, but only two Tournaisian localities 29 previously produced tetrapod fossils. Here we describe five new Tournaisian tetrapods 30 (Perittodus apsconditus, Koilops herma, Ossirarus kierani, Diploradus austiumensis 31 and Aytonerpeton microps) from two localities in their environmental context. A 32 phylogenetic analysis retrieved three taxa as stem tetrapods, interspersed among 33 Devonian and Carboniferous forms, and two as stem amphibians, suggesting a deep split 34 among crown tetrapods. We also illustrate new tetrapod specimens from these and 35 additional localities in the Borders Region of Scotland. The new taxa and specimens 36 suggest that tetrapod diversification was well established by the Tournaisian. 37 Sedimentary evidence indicates that tetrapod fossils are usually associated with sandy 38 siltstones overlying wetland palaeosols. Tetrapods were probably living on vegetated 39 surfaces subsequently flooded. We show that atmospheric oxygen levels were stable 40 across the Devonian/Carboniferous boundary, and did not inhibit the evolution of 41 terrestriality. This wealth of tetrapods from Tournaisian localities highlights the 42 potential for discoveries elsewhere. 43 The term "Romer's Gap" was coined <sup>1,2</sup> for a hiatus of approximately 25 million years 44 45

The term "Romer's Gap" was coined "," for a hiatus of approximately 25 million years (Myr) in the fossil record of tetrapods from the end-Devonian to the Mid-Mississippian (Viséan). Following the end-Devonian, the earliest terrestrial tetrapod fauna was known from the early Brigantian (late Viséan) locality of East Kirkton near Bathgate,

Scotland<sup>4,5</sup>. By that time, tetrapods were ecologically diverse, and were terrestrially capable. With five or fewer digits, some had gracile limbs <sup>6,7</sup>, unlike the polydactylous predominantly aquatic fish-like tetrapods of the Late Devonian<sup>8</sup>. Fossils representing transitional morphologies between these disparate forms was almost entirely lacking, limiting both understanding of the acquisition of terrestrial characteristics and the relationships between the diverse mid-Carboniferous taxa. Alternative hypotheses to explain the hiatus have included a low oxygen regime or lack of successful collecting in Tournaisian strata<sup>2</sup>. Although isolated tetrapod limb bones, girdle elements, and trackways are known from the Tournaisian of the Horton Bluff Formation at Blue Beach, Nova Scotia 10,11, only a small fraction has been fully described 12. The only other Tournaisian tetrapod material was the articulated skeleton of *Pederpes finneyae*, from the Tournaisian Ballagan Formation near Dumbarton, western Scotland 13,14. More recently, new taxa from this formation in the Borders Region of Scotland were reported<sup>2</sup>, but further collecting from five localities (Supplementary Fig. 1) has since produced more data about the fauna, its environment, and climatic conditions. Our analysis shows that the Tournaisian included a rich and diverse assemblage of taxa which included close relatives of some Devonian forms on the tetrapod stem, and basal members of the amphibian stem. We diagnose, name and analyse five taxa (Figs 1-5), and summarize at least seven others that are distinct but undiagnosable at present (Fig. 6, Supplementary Figs 2-6). Tetrapods occupied a juxtaposed mosaic of microhabitats including ponds. swamps, streams, and floodplains with highly variable salinity and water levels in a

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- sharply contrasting seasonal climate. Their fossils are most closely associated with
- 72 palaeosols and the overlying sandy siltstones. These indicate exposed and vegetated land
- surfaces that were then flooded <sup>15,16</sup> (**Supplementary Fig 7**). This varied environment
- persisted over the 12 million years of the Tournaisian<sup>3</sup>. We show that atmospheric
- oxygen levels were stable across the Devonian/Carboniferous boundary, and did not
- therefore compromise terrestrial faunal life (contra ref 9).
- Differential diagnoses below give the characters in which each differs from all
- other tetrapods in its combination of autapomorphic and derived (relative to Devonian
- 79 taxa) characters.
- 80 This published work and the nomenclatural act it contains have been registered in
- Zoobank: http://www.zoobank.org:pub:4BFFB544-7B0B-4F2F-80EC-11226C0FDAAB
- 82 Tetrapoda Goodrich, 1930 indet.
- 83 *Perittodus apsconditus* gen. et sp. nov. Clack and Smithson T.R. Fig. 1 e-g.
- 84 Smithson et al., 2012 (fig. 4), new taxon A.
- 85 *LSID.* urn:lsid:zoobank.org:act 69DB72E5-F9BD-49C6-B471-CD8E03767732
- 86 **Etymology.** Genus from *perittos* (Greek) 'odd' and *odus* (Greek) 'tooth' referring to the
- 87 unusual dentition of the mandible. Species from *apsconditus* (Latin) 'covert, disguised,
- hidden, secret or concealed', referring to the fact that key parts were only discovered by
- 89 micro-CT scanning.
- 90 **Holotype.** UMZC 2011.7.2 a and b. Cheek region of skull, lower jaw, and postcranial
- 91 elements in part and counterpart.
- 92 **Locality and Horizon.** Willie's Hole, Whiteadder Water near Chirnside. Ballagan
- 93 Formation. Early mid Tournaisian.
- 94 **Diagnosis.** Autapomorphies: unique adsymphysial and coronoid dentition –
- adsymphysial with two tusks and at least two smaller teeth, anterior coronoid with two

96 or three larger tusks, middle coronoid with two larger and two or three smaller teeth, 97 posterior coronoid row of small teeth; lozenge-shaped dorsal scales bearing concentric 98 ridges centred close to one edge nearer to one end. Derived characters: deeply excavated 99 jugal with narrow suborbital bar; lateral line an open groove on jugal. 100 **Plesiomorphies & characters of uncertain polarity:** No mesial lamina of postspenial 101 (state of angular not known); 35 dentary teeth including spaces; 29 maxillary teeth 102 including spaces; room for possibly 6 teeth on premaxilla; marinal teeth similar in size; 103 short broad phalanges, rounded unguals longer than wide with ventral ridge. 104 **Attributed specimen.** UMZC 2016.1. Isolated dentary and adsymphysial (in micro-CT 105 scan) from Burnmouth Ross end cliffs, 373.95 m above the base of the Ballagan 106 Formation. Mid Tournaisian. 107 **Remarks**: Lower jaw length 68 mm. Maxilla of holotype visible in micro-CT scan. 108 UMZC 2016.1 is almost identical in size and dentition to the holotype. The pattern is most similar to but not identical with, that of the Devonian taxon *Ymeria* <sup>17</sup>. A distinct 109 110 denticulated ridge on the prearticular is set off from the remainder of the bone by a 111 ventral groove. Radius and ulna are of approximately equal length. A partial ischium reveals similarities to that of *Baphetes* <sup>18</sup>. 112 113 114 **Koilops herma** gen. et sp. nov. Clack and Smithson T.R. Fig. 1 a-b. 115 Smithson et al., 2012 (fig. 2C), 'probable new taxon'. 116 LSID. urn:lsid:zoobank.org:act 8C43E66A-3822-49B4-B3B5-E43C79FA9C70 117 **Etymology.** Genus from *koilos* (Greek) 'hollow or empty', and *ops* (Greek) 'face', 118 referring to the skull mainly preserved as natural mould. Species from *herma* (Greek) 119 'boundary marker, cairn, pile of stones'. The specimen, from the Borders Region of 120 Scotland, has transitional morphology between Devonian and Carboniferous tetrapods.

121 **Holotype**. NMS G. 2013.39/14. Isolated skull mainly as a natural mould. 122 **Locality and Horizon.** Willie's Hole, Whiteadder Water near Chirnside. Ballagan 123 Formation. Early mid Tournaisian. 124 **Diagnosis.** Autapomorphies: fine irregular dermal ornament with conspicuous curved 125 ridges around the parietal foramen and larger pustular ornament anterior to parietal 126 foramen. Derived characters: deeply excavated jugal with narrow suborbital bar; large 127 parietal foramen. 128 **Plesiomorphies & characters of uncertain polarity:** Orbit oval with slight anterior 129 embayment; prefrontal-postfrontal contact narrow, anterior to orbit mid-length; about 8 130 premaxillary teeth recurved, sharply pointed, ridged towards base; closed palate, 131 denticulated pterygoid; vomers bearing tusks and smaller teeth, at least four moderately 132 large teeth on palatine; short rounded snout, only slightly longer than maximum orbit 133 length. 134 **Remarks**. Skull length 80 mm. The dermal bones are robust and well integrated so the 135 individual was almost certainly not a juvenile. 136 137 Ossirarus kierani gen. et sp. nov. Clack and Smithson T.R. Fig. 2. 138 LSID. urn:lsid:zoobank.org:act FC9FAB5C-CC3E-4D0D-B7D7-8030FBAA4F0C 139 **Etymology.** Genus from *ossi* (Latin) 'bones' and *rarus* (Latin) 'scattered or rare.' 140 Specific name to honour Oliver and Betty Kieran, representing the Burnmouth 141 community, who have supported us and encouraged local interest and co-operation. 142 **Holotype.** UMZC 2016.3. A single block containing scattered skull and postcranial 143 remains. 144 **Locality and Horizon.** Burnmouth Ross end cliffs, 340.5 m above the base of the 145 Ballagan Formation. Mid Tournaisian.

146 **Diagnosis.** Autapomorphies: tabular elongate triangle forming a conspicuous tabular 147 horn with a convex lateral margin. Derived character: tabular-parietal contact; 148 exoccipital separate from basioccipital. 149 **Plesiomorphies & characters of uncertain polarity:** Jugal with extensive posterior 150 component, with anteriorly placed shallow contribution to orbit; lozenge-shaped 151 interclavicle; humerus with elongate and oblique pectoralis process comparable with the 152 ventral humeral ridge of elpistostegalians and Acanthostega; multipartite vertebrae with 153 diplospondylous widely notochordal centra and neural arches as unfused bilateral 154 halves. 155 **Remarks:** Estimated skull length 50 mm based on comparisons with *Acanthostega*, *Ichthyostega* and *Greererpeton* <sup>19-21</sup>. The primitive jugal morphology, with an elongated 156 157 postorbital region and an anteriorly placed orbital margin contributing less than 25% of the orbit margin, is similar to that in *Acanthostega* <sup>19</sup> and *Ichthyostega* <sup>20</sup>. The tabular has 158 159 an elongated posterior process, but its lateral margin does not show an embayment for a 160 spiracular notch. The bones are robust, with well defined overlap areas for 161 interdigitating sutures. Though disarticulated, these suggest that the individual was not a 162 juvenile. The specimen shows the earliest known occurrence of a separate exoccipital. 163 164 *Diploradus austiumensis* gen. et sp. nov. Clack and Smithson T.R. Fig. 3. 165 LSID. urn:lsid:zoobank.org:act 268DDD4F-289D-4F83-8172-1A18A1007B7C 166 Etymology. Genus from diplo (Greek) 'double' and radus (Greek) 'row' referring to the 167 double coronoid tooth row. Species from austium (Latin) 'mouth of a river or stream' 168 referring to Burnmouth. 169 Holotype. UMZC 2015.55.4. Small disrupted skull with lower jaw, palate and skull 170 roofing bones.

171 **Locality and Horizon.** Burnmouth Ross end cliffs, 373.95 m above the base of the 172 Ballagan Formation. Mid Tournaisian. 173 **Diagnosis.** Autapomorphies: lower jaw with irregular double row of denticles along the 174 coronoids; around 51 dentary teeth and spaces, with enlarged tusk at position 3 and the 175 largest teeth in positions 8-13; parietals short, pineal foramen anteriorly placed; ?narrow 176 curved pre- and postfrontals. Derived characters: deeply excavated jugal with narrow 177 suborbital bar; parasphenoid with broad, flattened posterior portion with lateral wings, 178 earliest known occurrence of a parasphenoid crossing the ventral cranial fissure, 179 cultriform process flat, narrow. 180 **Attributed specimen**. UMZC 2016.4 a and b. The anterior end of a mandible from 341 181 m above the base of the Ballagan formation at Burnmouth. 182 Plesiomorphies & characters of uncertain polarity: Unsutured junction between 183 prearticular and splenial series; adductor fossa dorsally placed; adsymphysial plate 184 possibly lacking dentition; closed, denticulated palate; broad pterygoid, quadrate ramus 185 narrow with vertically orientated medial ascending lamina; ossified hyobranchial 186 elements; maxilla and premaxilla with spaces for 35 and 10-12 teeth respectively; 187 maxilla-premaxilla contact narrow, lacking interdigitations; dermal ornament with low 188 profile, irregular on skull table, ridged on squamosal and quadratojugal. **Remarks.** Lower jaw length 30 mm, superficially resembling that of *Sigournea* <sup>22</sup>, 189 190 although a relationship is not supported by cladistic analysis. The thinness of the bones 191 and their distribution suggest a juvenile. 192 193 Aytonerpeton microps gen. et sp. nov. Otoo, Clack and Smithson T.R. Fig. 4. 194 LSID. urn:lsid:zoobank.org:act E1E094A8-FAC0-4A2A-A13D-487D7775FBE1

195 **Etymology.** Genus name from Ayton, the parish in the Scottish Borders from which the 196 specimen came, and *erpeton* (Greek) 'crawler' or 'creeping one'. Species name from 197 micro (Greek) 'small' and ops (Greek) 'face'. 198 Holotype. UMZC 2015.55.8. Partial skull and scattered postcrania visible only in micro-199 CT scan (Supplementary Movie Files) 200 **Locality and Horizon.** Burnmouth Ross end shore exposure, 340.6 m above the base of 201 the Ballagan Formation. Mid Tournaisian. 202 **Diagnosis.** Autapomorphies: two enlarged premaxillary teeth plus one large tooth space 203 at posterior end of premaxilla; 5 teeth on premaxilla; adsymphysial with a single tooth; 204 coronoids apparently lacking shagreen; L-shaped lacrimal; vomer with at least one tooth, 205 palatine with one large fang but lacking smaller teeth, ectopterygoid with at least two 206 teeth and possible smaller teeth. Derived characters shared with colosteids: course of 207 lateral line on maxilla and nasal; dentary teeth larger and fewer than upper marginal 208 teeth; single large Meckelian fenestra; interpterygoid vacuities longer than wide; single 209 large parasymphysial fang on dentary; ilium with a single strap-shaped iliac process. 210 **Remarks**. Reconstructed skull length about 50 mm. Other distinguishing features: short 211 snout, approximately similar in length to orbit diameter; naris and choana both very 212 large relative to skull size – relatively larger than in *Greererpeton*. The enlarged premaxillary teeth prefigure those of more derived colosteids e.g.21, but the dentary lacks 213 214 the corresponding reciprocal notch. This appears an early expression of a feature that 215 becomes more elaborate in later taxa. All coronoids bear at least one tooth. Some 216 colosteids lack coronoid teeth, and instead bear shagreen, a variable condition among individuals<sup>23</sup>. The small size of the skull but the strong integration of the lower jaw 217 218 bones suggest a subadult or adult in which case the large orbit is unlikely to be a

juvenile feature (c.f. juvenile Greererpeton CMNH 11095<sup>24</sup>). Its gracile limbs, 219 220 metapodial bones and phalanges resemble Colosteus rather than Greererpeton. Clavicular ornament is similar to that of other colosteids <sup>25,26</sup>. The single iliac process is 221 222 shared with other colosteids and with temnospondyls. The earliest known occurrence of 223 this feature. 224 225 Results 226 **Cladistic Analysis** 227 We performed parsimony and Bayesian analyses of a new data matrix (Supplementary 228 **Data Character list and Data matrix**) incorporating the new tetrapods. No taxon could be safely deleted<sup>27</sup>. Parsimony with all characters unordered and equally weighted 229 230 produced 4718 shortest trees, a poorly resolved strict consensus (Fig. 5, **Supplementary** 231 **Fig. 8**), and moderate branch support. Four parsimony analyses with implied weighting, each using a different value (3, 232 4, 5, 10) of the concavity constant K<sup>28</sup> produced many fewer trees (Fig. 5a, b), with 233 234 novel topologies and increased stability for most of the new taxa. In these analyses, the 235 relative positions of Ossirarus, Perittodus, and Diploradus remain unaltered (Methods 236 and Supplementary Fig. 8). Except in the analysis with K=10, Koilops and Aytonerpeton emerge as stem amphibians 29-31, but see 32,33 with Aytonerpeton close to 237 238 Tulerpeton+colosteids. With characters reweighted by their rescaled consistency index, 239 all new taxa emerge as stem tetrapods. 240 We also performed a Bayesian analysis (Fig. 5c). The results were largely similar 241 to the parsimony analysis, except for the position of *Ossirarus*. In the Bayesian analysis, 242 Ossirarus appears as a stem amniote, whilst Perittodus, Diploradus, Koilops, and

Aytonerpeton are stem tetrapods.

Despite inconsistencies, these results imply a substantial reshuffling of the branching sequence of Carboniferous stem tetrapods relative to previous studies <sup>29-33</sup>, with interspersed Carboniferous and Devonian taxa pointing to a more ramified stem of tetrapod diversification. If corroborated by further evidence, a firmer placement of *Aytonerpeton* and *Koilops* within crown tetrapods would suggest a deep split between stem amphibians and stem amniotes within the Tournaisian..

## **Geology and Environment**

The Ballagan Formation (Inverclyde Group) underlies much of the Midland Valley of Scotland and the northern margin of the Northumberland Basin. At Burnmouth the vertically dipping strata probably span the entire Tournaisian <sup>2,34</sup>. Environmental interpretation was based on a 490 m core from a borehole through the formation, a complete logged succession at centimetre scale intervals through 520 m at Burnmouth, and an 8 m section at Willie's Hole (Fig. 6, **Methods and Supplementary Fig. 7**).

Perittodus apsconditus occurs within a 6 cm thick laminated grey siltstone <sup>16</sup> that contains a network of cracks filled with sandy siltstone identical to that of the overlying bed. Occurring within laminated siltstones, this may record an autochthonous lake dweller. Associated fossils comprise plants, actinopterygians, myriapods and ostracods. *Koilops* occurs within a unit comprising four beds of alternating black and green siltstone in which abundant palaeosol clasts indicate erosion and transport of land-surface sediment during flooding events.

*Diploradus* occurs in a 40 cm thick, bedded, black sandy siltstone that lies between pedogenically modified grey siltstones. Associated fossils comprise fish scales, abundant plant fragments, megaspores, and shrimp and scorpion cuticle.

Ossirarus and Aytonerpeton occur within a complex 15 cm thick grey-black sandy siltstone that overlies a gleyed palaeosol and grades upwards into a laminated grey siltstone with brecciation cracks (Fig. 6, Methods and Supplementary Fig. 7).

Ossirarus occurred just above the palaeosol in a light grey clay-rich sandy siltstone, whereas Aytonerpeton occurred within an overlying black sandy siltstone with abundant plant material. Associated fauna comprise abundant plants, megaspores, unusually abundant rhizodont bones and scales, actinopterygians, chondrichthyans (Ageleodus, Gyracanthus), dipnoans, eurypterids and ostracods.

An association between wetland palaeosols and tetrapod-bearing facies has emerged from our studies, significant because those horizons indicate a vegetated land surface (Fig. 6)<sup>15,16</sup>. The flood-plain environments of semi-permanent water bodies, marsh, river banks and areas of dry land with trees were laid down at a time of change in the land plant flora of the Mississippian following the end-Devonian extinctions. The new flora initiated a change in fluvial and floodplain architecture <sup>35-37</sup>. Progymnosperms had been almost eliminated in the extinctions, but thickets and forests were reestablished in the early-mid Tournaisian with lycopods as the dominant flora. At Burnmouth many beds with abundant spores of the creeping lycopod *Oxroadia* include tetrapods. Terrestrial ground-dwelling arthropods, such as myriapods and scorpions fossils of which have been found at Burnmouth and at Willie's Hole, formed a possible food supply for tetrapods..

## Atmospheric oxygen levels in the Tournaisian

To address the low oxygen hypothesis we examined fossil charcoal (fusinite) in the Ballagan Formation to compare atmospheric oxygen levels in the Tournaisian with the Late Devonian and later Mississippian.

Charcoal, either as microscopic dispersed organic matter (DOM) or visible in hand specimens is relatively common at Burnmouth and Willie's Hole. Although charcoal is reported from the Tournaisian Horton Bluff Formation, Nova Scotia  $^{38}$  as indicating  $O_2$  concentrations above 16%, no quantitative study to validate this result has been undertaken.

We analysed DOM from 73 rock samples from Burnmouth shore and Willie's Hole. For comparison with wildfire activity before and after Romer's Gap, we also analysed 42 samples from the Viséan of East Fife, Scotland (Strathclyde Group) and 9 samples from the Famennian of Greenland (Stensiö Bjerg Formation) (**Supplementary Fig. 9 and Supplementary Table 1**). All were found to contain fusinite, with a mean abundance relative to total phytoclasts of 2.2%, 2.3% and 2.6% for the Famennian, Tournaisian and Viséan, respectively. We also analysed 12 samples from Willie's Hole which had a mean value of 2.0% (**Supplementary Table 1**). Not only do these results mean that fire activity persisted through Romer's Gap and indicate that atmospheric O<sub>2</sub> did not fall below 16%, but also that there was no significant change in charcoal production compared with the Famennian and Viséan (**Supplementary Fig. 9**). This strongly suggests that atmospheric O<sub>2</sub> was stable across this time interval, directly refuting hypoxia<sup>9</sup> as an explanation for Romer's Gap.

## Discussion

Although an extinction event at the end of the Devonian saw the demise of many archaic fish groups <sup>39</sup>, our studies provide new perspectives on the recovery and diversification of surviving groups, which went on to found the basis of modern vertebrate diversity <sup>40,41</sup>.

The new tetrapods show no close relationship to each other, exhibiting different combinations of plesiomorphic and derived characters. Some taxa cluster with Devonian forms, suggesting a possible relict fauna, whereas others appear more crownward, even clustering near the base of the crown group. They imply an early radiation of tetrapods during the Tournaisian, and at the same time, suggest a blurring of the Devonian-Carboniferous (D-C) boundary in respect of tetrapod evolution, a feature also noted in tetrapod remains from Nova Scotia 12.

If confirmed, our results imply a deep split between stem amphibians and stem amniotes in the earliest Carboniferous. This accords with most molecular dates for the split that place it at an average of 355 Ma<sup>42,43</sup> a date only 4 Ma after the end-Devonian. It suggests that the origin of the tetrapod crown group occurred soon after the extinction event as tetrapods began to recover. Their radiation into a range of new taxa parallels that of lungfish<sup>40</sup> and chondrichthyans<sup>41</sup> as they adapted to a post-extinction world.

The occurrence of probable plesiomorphic members of the Crassigyrinidae<sup>2</sup> and Colosteidae indicates an inception 20-24 Myr earlier than the Late Mississippian as previously considered<sup>44</sup>. Other tetrapod material of uncertain attribution are distinct and increase known tetrapod diversity in the Tournaisian (Fig. 6 and **Supplementary Figs 2-6**).

The preponderance of small animals throughout the sequence is unusual, notably a very small tetrapod in a horizon 33 m above the D-C boundary, around 1 Myr after the extinction event (Fig. 6). None of the five taxa described above has a skull length of more than 80 mm. This could indicate preservational or collector bias, but they occur throughout different lithologies, horizons and localities (Fig. 6 and **Supplementary Figs 2-6**). Larger tetrapod taxa are found at Willie's Hole, about one quarter of the way up the sequence, probably representing about 3 or 4 Myr above the D-C boundary. Larger sizes seem to have appeared relatively rapidly in the Tournaisian, as also documented by trackways and challenge suggestions of a prolonged period of reduced body size in vertebrates following the DC extinction event 45.

The tetrapods of the Ballagan Formation lived in a mosaic of floodplain environments. Some were under water for long periods, others alternated between land surface and standing water. A recent study of the development of *Polypterus* shows how early in life, their skeletons can be differentially modified in response to exposure to water-based or land-based conditions <sup>46</sup>. Such skeletal flexibility might have contributed to the origin of tetrapod terrestrial morphology in the varied environments of the Ballagan Formation.

The wealth and diversity of tetrapod taxa from the Tournaisian refutes the proposal of depauperate Tournaisian stage, and our charcoal studies show that atmospheric oxygen levels, stable from the Famennian to the Viséan, were not a causal factor for the apparent gap. We emphasise the importance of exploring or re-exploring non-marine Tournaisian sites elsewhere in the world, and examining previously overlooked lithologies.

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579 80. Astin, T. R., Marshall, J. E. A., Blom, H. and Berry, C. M. The sedimentary 580 environment of the Late Devonian East Greenland tetrapods. 93 – 109 in: Vecoli, 581 M., Clement, G. and Meyer-Berthaud, B. (eds.) The terrestrialization process: 582 modelling complex interactions at the biosphere-geosphere interface. Geol. Soc. 583 Lond. Spec. Publ. **339** (2010) 584 585 586 587 Figure legends 588 **Figure 1. a-b** *Koilops herma* gen. et sp. nov. (National Museum of Scotland NMS G. 589 2013.39/14). **a**, Photograph of specimen, mainly preserved as natural mould. **b**, 590 Interpretive drawing of specimen. **c-g**, *Perritodus apsconditus* gen. et sp. nov. 591 (University Museum of Zoology, Cambridge UMZC 2011.7.2a). c, Photograph of main 592 specimen block. d, Reconstruction of lower jaw in external view, from scan data and 593 part and counterpart specimens. e, Reconstruction of lower jaw in internal view made 594 from scan data and part and counterpart specimens. f, Segmented model from scans of 595 lower jaw in internal view. g, segmented model from scans of lower jaw in internal 596 view. Colour code in f.: orange, dentary; red, adsymphysial plate; turquoise, part of 597 prearticular; yellow, first coronoid; blue, second coronoid; cerise, third coronoid; pink, 598 splenial; violet, angular; purple, prearticular; green, splenial; external bones greyed out. 599 In g, green, splenial. Scale bar in a, b, and c, 10 mm. Abbreviations: add foss, adductor 600 fossa; adsymph, adsymphysial; ang, angular; cor, coronoid; dent, dentary; ecto, 601 ectopterygoid; fro, frontal; intemp, intertemporal; jug, jugal; l, left; lac, lacrimal; llc, 602 lateral line canal; max, maxilla; oa, overlap area for pterygoid; pal, palatine; par, 603 parietal; pofr, postfrontal; porb, postorbital; pospl, postsplenial; preart, prearticular;

prefro, prefrontal; premax, premaxilla; psph, parasphenoid; pteryg, pterygoid; quad, quadrate; quj, quadratojugal; surang, surangular; vom, vomer.

**Figure 2**. *Ossirarus kierani* gen. et sp. nov. (UMZC 2016.3) **a**, Photograph of complete specimen. Leaders point to **b**, Map of skull bones. **c**, Drawing of right tabular, supratemporal and a partial unidentified bone. **d**, Drawing of exoccipital. **e**, Drawing of quadrate. **f**, Photograph enlargement of part of postcranial portion of specimen, **g**, Drawings of left and right parietal bones placed in articulation, **h**, Drawing of jugal and postorbital placed in articulation, **i**, Photograph of jugal. **j**, Photograph enlargement of right humerus. Scale bar in **b** 10 mm, scale bars in **c-j** 5 mm. Abbreviations: clav, clavicle; cleith, cleithrum; exocc, exoccipital; iclav, interclavicle; jug, jugal; par, parietal; porb, postorbital; quad, quadrate; r, right; rad, radius; sutemp, supratemporal; tab, tabular.

**Figure 3.** *Diploradus austiumensis* gen. et sp. nov. (UMZC 2015.55.4). **a,** Photograph of complete specimen. Scale bar 10 mm, **b,** Map of specimen showing distribution of elements, **c,** Drawing of right maxilla, **d,** Upper, interpretive drawing of specimen; lower, reconstruction of jaw in internal view. **e,** Drawing of parasphenoid. **f,** Drawing of right jugal in internal view. **g,** Drawing of skull table. **h,** Drawing of pterygoid in dorsal view. Scale bars in **b-h,** 5 mm. Abbreviations as for Figures 1 and 2 except for: nat mould popar, natural mould of postparietal.

**Figure 4.** Aytonerpeton microps gen. et sp. nov. (UMZC 2015.55.8). **a,** Still from micro-CT scan of block containing most of the specimen. **b,** Interpretive drawing of right side of skull and palate. **c,** Stills from micro-CT scan of right lower jaw in (upper image)

dorsal view and (lower image) mesial view. **d**, Still from micro-CT scan of right palate in approximately ventral view. **e**, Still from micro-CT scan of entire specimen in the main block. Arrows point to elements in **g**. **f**, Enlargement of ilium in lateral (left image) and medial (right image) views. **g**, Elements of hind limb. In **c**, and **d**, note the sutures between pterygoid and marginal palatal bones, and the lower jaw bones, are tightly sutured and difficult to see in the scan. Abbreviations as for Figures 1 and 2, except for: mar Meck fen, margin of Meckelian fenestra; sym, symphysis; septomax, septomaxilla. Scale bars for all except **f** are 10 mm. Scale bar for f is 5 mm.

**Figure 5.** Three cladograms: two from TNT analysis and one from Bayesian analysis. **a,** Single most parsimonious tree obtained from implied weights search with k=3 (see text and Supplementary Data for details). **b,** strict consensus of four equally parsimonious trees obtained from implied weights search with k=4. **c,** Bayesian analysis tree. See main text, methods, and Supplementary Data for details.

**Figure 6.** Burmmouth sedimentary log showing palaeosol and tetrapod fossil

distribution. Left hand column shows the sedimentary log for Burnmouth with the tetrapod horizons indicated. Right hand column shows the distribution of palaeosols and their thicknesses. Photographs a-g show some of the tetrapod specimens found in addition to those in Figs 1-4.

Specimen a, an isolated jugal (UMZC 2016.13) from the same bed that yielded the partial *Crassigyrinus*-like jaw in ref 2, horizon approximately 383 m above the base of the Ballagan Formation. This is a thick localized conglomerate lag containing many isolated vertebrate bones, plant remains and charcoal. The shape of the jugal is unique among the tetrapods so far collected from the Ballagan, in its relative contribution to the

orbit margin. Probable new taxon 1. Specimens **b-f**, tetrapod specimens from a closely juxtaposed set of horizons beyond the resolution of the log to differentiate, between 340-341m above the base of the Ballagan: **b**, an isolated tetrapod maxilla (UMZC 2016.9); **c**, tetrapod belly scales (UMZC 2016.12) and metapodials/phalanges (UMZC 2016.10, 11); d, skull bones and belly scales (UMZC 2016.8); e, Micro-CT scan of the two overlapping bones in **d**. They are probable frontal bones of a *Pederpes*-like tetrapod; **f**, partial skull table and postorbitals from slightly above the Burnmouth horizon yielding Aytonerpeton microps (UMZC 2016.7). Probable new taxon 2? May be associated with those in **Supplementary Fig. 2**, but not with *Aytonerpeton*. Scale bar 10 mm. (Micro-CT by K. Z. Smithson); **g**, phalanges or metapodials and skull elements of a small tetrapod from Burnmouth (UMZC 2016.5 a, b). Probable new taxon 3. Left hand image, largest elements circled. Right hand image, dentigerous bone near top left corner. Other elements include a probable jugal and rib fragments (not figured). These remains are the earliest post-Devonian tetrapod specimens found in the UK. They come from a horizon approximately 33m above the base of the Ballagan Formation that was probably deposited about 1 Myr after the start of the Carboniferous. Scale bars for all except g are 10 mm. Scale for for g is 5 mm. (Photographs by J. A. Clack) METHODS Micro-CT data Specimen UMZC 2016.3 Ossirarus and NMS G. 2013.39/14 Koilops and UMZC 2011.7.2a *Perittodus* were prepared mechanically with mounted needle, some matrix was removed from Ossirarus with a brush and water, consolidated where necessary with Paraloid B72. Specimens UMZC 2011.7.2a Perittodus and UMZC 2015.55.8 Aytonerpeton were scanned at the Cambridge Tomography Centre with a Nikon

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679 XTH225 ST scanner. Scan data:- *Perittodus*: Isotropic voxel size, 0.0444mm. 680 Projections: 1080, Filter: 0.25mm Cu, Xray kV:160, Xray µA: 70, Slices: 1647. 681 Exposure: 1000, Gain: 24 dB. UMZC 2015.55.8 Aytonerpeton: Isotropic voxel size: 682 0.0609mm. Projections: 1080, Filter: None, Xray kV: 120, Xray µA: 125, Slices: 1789, 683 Exposure: 1000, Gain: 24 dB... 684 685 Cladistic analysis 686 A new database of 46 taxa coded for 214 osteological characters (170 cranial, 43 687 postcranial), and was subjected to maximum parsimony analyses. It was designed to 688 include representative early tetrapods. Characters were drawn up to capture the features 689 of the new taxa as far as possible in the context of the range of early tetrapods available for comparison. Most were drawn from recent analyses  $^{14,29-31,44,47,48}$ . Some 690 691 characters were reworded or reformulated and all were independently scored by JAC 692 from personal observation or from the literature. These were checked for accuracy by 693 MR. Characters are arranged in alphabetical order grouped into regions of the anatomy 694 (Supplementary Data Character list and Data Matrix). The data matrix was subjected to maximum parsimony analyses in TNT v. 1.1<sup>49</sup>. 695 696 Several experiments of taxon and character manipulation were carried out, as detailed 697 below, with identical search protocols throughout. Given the size of the matrix, tree 698 searches relied on heuristic algorithms, following a simple series of steps under the 699 'Traditional search' option in the 'Analyze' menu in TNT. Before each search, we 700 modified memory requirements under the 'Memory' option in the 'Settings' menu. One 701 hundred Mbytes of general RAM were allocated, and a total of 50,000 trees were 702 selected as the maximum size of tree space for the exploration of alternative tree 703 topologies. In the initial part of the 'Traditional search' ('Wagner trees' box ticked), we

chose 10,000 replicates (random stepwise addition sequences of taxa), keeping a maximum of five trees at the end of each replicate, using the bisection-reconnection algorithm for tree branch swapping, and retaining all trees found at the end of all replicates. A new round of branch swapping was then applied to all trees retained from the initial search ('trees from RAM' box ticked). For each set of experiments, where applicable, we summarized the results in the form of a strict consensus, a 50% majority-rule consensus.

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Using the search settings expounded above, we carried out three types of parsimony analysis. The first parsimony analysis, employing all taxa and characters from the original matrix, treated all characters as having equal unit weight (default TNT option). The second analysis, again using all taxa and characters, was based on implied character reweighting <sup>28</sup>, briefly described as follows. Given a character, its implied weight (W) is given by K / (K + M - O), where M and O represent, respectively, the greatest number of character-state changes and the observed number of character-state changes for that character. The constant of concavity (K) is an integer, the value of which determines the most parsimonious trees as those trees for which W is maximized across all characters. As the selection of K is arbitrary, we experimented with increasing values (K = 3, 4, 5 and 10) (Fig 5, **Supplementary Fig. 8**). We did not report details of searches with other K values, as our goal was to establish whether the Tournaisian taxa showed stable positions within a minimal range of implied weighting increments. However, we ran analyses with values varying between 6 and 10, with mixed outcomes. In some cases, the Tournaisian taxa are heavily reshuffled, in others the branching sequence of other groups revealed implausible arrangements that, we feel, were dictated by varying amounts of homoplasy in the data, although a proper characterization of this phenomenon requires further testing. Topologies with K=10 are reported as an example.

In the third analysis, characters were reweighted by the maximum value (best fit) of their rescaled consistency indexes, such as were obtained from the first analysis.

Statistical branch support was evaluated through character resampling via bootstrap (resampling with replacement; ref.) and jackknife (resampling without replacement, with 33% of characters removed; ref.), using 1000 replicates in each case and collapsing nodes with less than 50% support.

Of all the new Tournaisian taxa, only *Diploradus* appears in a maximum agreement subtree (a taxonomically pruned tree showing only taxa for which all most parsimonious trees agree upon relationships).

As for the implied weighting analysis, we found stable mutual arrangements for most Tournaisian taxa with K = 3, 4 and 5. With K = 10, the branching sequence of Tournaisian taxa differed from those found with smaller values. In addition, slightly different branching patterns emerge for various early tetrapod taxa/groups following different implied weighting searches. Below, we highlight key differences among various tree topologies.

In trees generated with K = 3, 4 and 5, Ossirarus, Perittodus and Diploradus emerge as increasingly crownward taxa, in that sequence, along the tetrapod stem group, whilst Aytonerpeton and Koilops are placed among stem amphibians and are thus part of the tetrapod crown group. Ossirarus is crownward of a (Ventastega + Ichthyostega) clade, with Ossinodus placed either immediately anti-crownward of (K = 3), in a polytomy with (K = 4), or immediately crownward of Ossirarus (K = 5). Perittodus is the sister taxon to the Devonian Ichthyostega-like taxon Ymeria, and the (Perittodus + Ymeria) clade forms the sister group to Pederpes. Diploradus is immediately crownward of a (Whatcheeria + Occidens) clade, which in turn occurs crownward of (Pederpes + (Perittodus + Ymeria)). However, the branching sequence of Carboniferous stem

754 tetrapods more crownward than *Diploradus* varies. Thus, in trees with K = 3, the 755 branching sequence includes Crassigyrinus, Doragnathus, (Megalocephalus + 756 Baphetes) and Loxomma. In trees with K = 4, the sequence includes only Crassigyrinus 757 and *Doragnathus*, whereas all baphetids form a clade on the amphibian stem 758 (Megalocephalus + (Loxomma + Baphetes)). In trees with K = 5, the baphetid clade is, 759 once again, on the amphibian stem, but the sequence of stem tetrapods crownward of 760 Diploradus differs substantially, and includes (Eucritta + Doragnathus), Sigournea and 761 Crassigyrinus. In trees from K = 3 and 4, the (Aytonerpeton + Sigournea) clade forms 762 the sister group to a (Koilops + (Tulerpeton + (Greererpeton + Colosteus))) clade. In 763 turn, this wider group joins temnospondyls on the amphibian stem, with *Caerorhachis* as 764 a more immediate sister taxon. In trees from K = 5, Aytonerpeton is collapsed in a 765 trichotomy with temnospondyls and the (Koilops + (Tulerpeton + (Greererpeton + 766 Colosteus))) clade. With K = 10, the results match those from the second set of 767 parsimony analyses (reweighting). 768 As for other tetrapod groups, the amniote stem undergoes little reshuffling in 769 trees derived from different K values. The most noticeable difference among such trees 770 is the placement of Silvanerpeton and Gephyrostegus, both of which are immediately 771 crownward of the 'anthracosauroids' (Eoherpeton + (Pholiderpeton + Proterogyrinus)) 772 but swap their positions as the first and second most crownward plesion after 773 anthracosauroids. 774 With characters reweighted by the maximum value of the rescaled consistency 775 index, we found three trees differing only in the relative positions of Whatcheeria, 776 Pederpes and Occidens, all of which form a clade. In those trees, all new Tournaisian 777 taxa appear on the tetrapod stem. In particular, Aytonerpeton and Perittodus are sister 778 taxa, and together they join *Ymeria*. In crownward order, the sequence of stem tetrapods

includes: Acanthostega, Ossinodus, Ventastega, Ichthyostega, Ossirarus, the (Ymeria (Aytonerpeton + Perittodus)) clade, the (Whatcheeria, Pederpes, Occidens) clade, Diploradus, Doragnathus, Sigournea, a (Koilops + (Tulerpeton + (Greererpeton + Colosteus))) clade, Crassigyrinus, and a baphetid clade. Caerorhachis and Eucritta appear as the earliest diverging plesions on the amphibian and amniote stem groups, respectively.

Sedimentological and Environmental Interpretation

The borehole was located at Norham near Berwick-Upon-Tweed (British National Grid Reference [BNGR] 391589, 648135), and the Burnmouth section is at BNGR 396000-661000.

The stratigraphical position of the succession at Willie's Hole is inferred from a nearby borehole (Hutton Hall Barns, BGS Registered number NT85SE1. The exact stratigraphical position of the Willie's Hole (WH) section is uncertain within the overall succession. No direct correlation with the succession recorded in the Hutton Hall Barns borehole is possible because the borehole is an old one and the level of detail insufficient, plus the fact that distinctive markers are not present in the Ballagan Formation. However, that borehole proved 142.5m of Ballagan Formation strata - the log is good enough to define precisely where the base is, resting on Kinnesswood Formation. The proximity of WH to the borehole allows us to infer that the WH section lies approximately 150m above the base of the Ballagan Formation. The palynological samples from WH contained *Umbonatisporites distinctus*, a spore that is only found in the lower part of our borehole core. We argue that therefore the WH section belongs to the lower part of the Ballagan Formation. We indicated some uncertainty in the figure and gave an approximate range.

The dominance of actinopterygians and rhizodonts within these lakes indicates brackish-freshwater salinity levels <sup>50,51</sup>. Diverse palaeosols <sup>15</sup> and palynology suggest habitats including forest, low-growing and creeping flora, wetland and desiccating pools traversed by rivers (predominantly meandering channels) and saline-hypersaline lakes depositing cementstones and evaporites (Fig. 6 and Supplementary Fig. 7) <sup>27-31,52</sup> The saline-hypersaline lake deposits in the Ballagan Formation have been interpreted to represent brackish marginal marine or hypersaline <sup>52-56</sup> conditions. Other dolomitic units from the Mississippian are interpreted as saline coastal marshes <sup>56-61</sup>. Erosive-based, cross-bedded sandstone units (one to tens of metres thick) with basal conglomerate lags cut into all other facies <sup>34</sup>. The lags contain disarticulated vertebrate material including acanthodian, rhizodont and tetrapod bones <sup>16</sup>.

## Charcoal Analysis

Dispersed organic matter (DOM) was extracted by standard palynological demineralisation techniques <sup>62</sup>. Measurement of maceral reflectance in oil was by means of a Zeiss UMSP 50 Microspectrophotometer, housed in the School of Ocean and Earth Science, National Oceanography Centre Southampton, University of Southampton Waterfront Campus. Measurements were made under standard conditions as defined by the International Committee for Coal Petrology <sup>63</sup>.

Model-based estimates of atmospheric oxygen concentration during the early Tournaisian vary from 10-20%, with more recent models favouring the higher figure <sup>64-68</sup>. As an alternative, fossil charcoal (fusinite) is used by several authors as a

proxy for atmospheric oxygen <sup>69-72</sup>, as wildfire activity, and hence charcoal production, is proportional to oxygen supply <sup>73</sup>. Controlled burning experiments <sup>73</sup> have demonstrated that when O<sub>2</sub> exceeds the present atmospheric level (PAL) of 20.9%, fire activity rapidly increases and reaches a plateau at around 24%; therefore, we infer that fusinite abundance is likely insensitive to any further increase. Conversely, fire activity is strongly supressed below 20% O<sub>2</sub> and switched off completely below 16%, even in very dry conditions <sup>73</sup>. The most comprehensive attempt thus far to reconstruct Phanerozoic O<sub>2</sub> in this way <sup>69</sup> indicated 25.6% O<sub>2</sub> during Romer's Gap – substantially higher than PAL and exceeding the presumed upper limit of fusain sensitivity (24%). However, this study was based on the inertinite (= microscopic fusinite) content of coals, which are infrequent during the Tournaisian, so sampling density was relatively low. Furthermore, we assume that large-scale forest fires will have a far greater influence on coal deposits, formed in situ in forest mires, than on the more distal deposits of the kind examined here.

By focusing on DOM extracted from sedimentary rocks other than coal, fusinite content can be measured through stratigraphic successions in which coals are rare or absent. The values reported here represent the proportion of fusinite within the organic matter isolated from each 5g shale sample, based on examination of 500 organic (i.e. plant derived) macerals. This indicates the proportion of plant-derived material in the sample which has been burned at high temperatures, and is therefore independent of sediment supply.

The specific Famennian and Viséan sampling localities chosen were selected because, as well as being of the required age:

• The stratigraphic context of the sampled formations is well understood, with

- well-established biozonation (**Supplementary Table 1**).
- Thermal maturity in these successions is low. This is essential, because with increasing thermal maturity the reflectance of non-pyrolitic macerals (most notably vitrinite) increases, eventually rendering them indistinguishable from fusinite.
  - Both localities represent largely terrestrial environments, containing a succession of fluviodeltaic, lacustrine or nearshore marine deposits (**Supplementary Table 1**). Sediments deposited in such environments represent an accumulation point for river-transported organic material derived from the wider region; this mitigates the distorting effect of local fire activity,

The organic maceral fusinite is considered synonymous with charcoal and can be distinguished from other maceral types by its reflectance under incident light <sup>74</sup>; we have focused solely on fusinite for this study because, although most other members (semifusinite) of the inertinite group are also accepted as pyrolitic in origin <sup>75</sup>, their reflectance forms a continuum between that of vitrinite and fusinite and forms the bulk of the organic matter. This makes the % sum of semi-fusinite and fusinite very large (>90%) and less reliable.

Supplementary Data Table 1b gives the samples taken from Famennian sites, Burnmouth, Willie's Hole and Visean sites. These were analysed for charcoal content. Mean abundance was 2.0%, which is within error of data obtained from Burnmouth Shore, suggesting that the contribution from local fire activity (if any) was similar at both sites (**Supplementary Table 1 and Supplementary Fig. 9**).

Data availability statement. Correspondence and requests for materials should be addressed to Jennifer A. Clack j.a.clack@zoo.cam.ac.uk. Specimen information is

875 available from the respective housing institutions. Micro-CT scan data to be placed in 876 the NERC National Geoscience Data Centre. 877 878 Author contributions 879 JAC is corresponding author and lead PI and with TRS, JAC, BKAO, and KZS 880 collected, described and analysed the tetrapod specimens. CEB, TIK, SJD and DM 881 contributed to the stratigraphical, sedimentological and environmental studies. JEAM, 882 DKC, and EJR contributed to the charcoal, palynological and stratigraphical studies. MR 883 and JAC contributed to the phylogenetic analysis. AJR contributed information on the 884 arthropods, SAW provided additional work on micro-CT scan data. AJR, SAW and 885 NCF organised the Willie's Hole excavation that provided sedimentological 886 information. All authors contributed to discussion, preparation and writing the paper. 887 888 Acknowledgements 889 We acknowledge funding from NERC consortium grants NE/J022713/1 (Cambridge), 890 NE/J020729/1 (Leicester), NE/J021067/1 (BGS), NE/J020621/1 (NMS), NE/J021091/1 891 (Southampton). We thank the following for their support and contributions. Stan and 892 Maggie Wood for discovery of and access to collections, Oliver and Betty Kieran and 893 Burnmouth community for support for the project, Mike Browne for field assistance and 894 information on stratigraphy, Matt Lowe for access to UMZC collections, Sarah Finney 895 for field assistance, conservation advice and preparation of Koilops, Vicen Carrió for 896 conservation and preparation of NMS specimens, Janet Sherwin for stratigraphy and 897 field assistance. Shir Akbari (Southampton) contributed to palynological processing. 898 TIK and DM publish with the permission of the Executive Director, British Geological 899 Survey (NERC). Anne Brown and Colin MacFadyen of Scottish Natural Heritage gave

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