



## On statistical tests of phylogenetic tree imbalance: The Sackin and other indices revisited

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### Abstract

We investigate the distribution of statistical measures of tree imbalance in large phylogenies. More specifically, we study normalized versions of the Sackin's index and the number of subtrees of given sizes. Using the connection with structures from theoretical computer science, we provide precise description for the limiting distribution under the null hypothesis of Yule trees. Corrected  $p$ -values are then computed, and the statistical power of these statistics for testing the Yule model against a model of biased speciation is evaluated from simulations. As an illustration, the tests are applied to the HIV-1 reconstructed phylogeny. © 2005 Elsevier Inc. All rights reserved.

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### 1. Introduction

Phylogenetic trees are widely used in biology to represent evolutionary relationships between species [13]. A second kind of application is to the study of cladogenesis. In this case, the shape of a phylogenetic tree conveys useful information about the process by which it has grown [7]. It may reflect for example the fingerprint of the rates of species formation and extinction. Measuring

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the degree of imbalance or asymmetry of a tree topology may therefore provide support for the hypothesis that species have different potential for speciation.

Several statistics have been introduced for assessing the level of asymmetry of a tree. These statistics are often used to test whether the tree topology differs significantly from a null model in which the rates of speciation are constant among species [9,12]. The null model is commonly known as the equal-rates Markov model or *Yule model* [24]. In the Yule model on rooted trees, each external branch has an equal probability of splitting [3].

Among imbalance statistics, the most classical are Sackin's index [20,21] and Colless' index (Colless, 1982). Sackin's index is the average path length from a tip to the root of the tree. Colless' index inspects the internal nodes, partitioning the tips that descend from them into groups of sizes  $r$  and  $s$ , and computes the sum of absolute values  $|r - s|$  for all nodes. Colless' index is often renormalized for giving the value one to the totally pectinate tree. More recently, McKenzie and Steel [11] proposed to count the number of *cherries*, i.e. the number of pairs of leaves that are adjacent to a common ancestor node.

The power of five imbalance statistics have been evaluated by Kirkpatrick and Slatkin [9] who concluded that Sackin and Colless [5] statistics were among the most powerful with respect to an alternative model of biased speciation. These works were extended by Agapow and Purvis [1] regarding more biologically motivated alternative models. These authors reached similar conclusions.

In this article, we consider fully dichotomous trees (binary trees) with  $n$  leaves (and  $(n - 1)$  internal nodes). We focus on Sackin's index and its connection to a series of statistics that are similar to the number of cherries. Our emphasis is on the fact that all these measures are relevant to the same empirical distribution, namely the distribution of the size of subtrees. Sackin's index is connected to the expectation of the empirical distribution while cherries merely correspond to subtrees of size two.

The main results presented in this article can be summarized as follows. First, we give a description of the limiting distribution of the Sackin's index for large  $n$ . The limiting distribution is non-Gaussian, and can be defined as the solution of a functional fixed-point equation. Second, we extend McKenzie and Steel's result for the number of cherries in a Yule tree to the number (or frequencies) of subtrees of size larger than two.

These extensions are based on a link with existing results in theoretical computer science regarding binary search trees. These trees appear as formal representation for *divide-and-conquer* algorithms [19,8]. We exploit the one-to-one correspondence between binary search trees and Yule trees in order to describe the asymptotic distributions of the Sackin's Index and the size of subtrees.

In addition, we propose a new statistic based of the computation of a  $\ell_1$  distance between the empirical distribution of the number of subtrees and the theoretical distribution. The power of all statistics to reject the null hypothesis of a Yule tree against a model of biased speciation are then evaluated.

The article is organized as follows. Section 2 presents the asymptotic theory for the Sackin's index and the number of subtrees of a given size. Section 3 describes statistical tests with proper corrections based on the theory and their 5% confidence intervals. Section 4 evaluates the statistical power of these tests based on simulation studies. An example of application to the HIV tree is discussed in Section 5.

## 2. Theory

### 2.1. Sackin's statistic

Sackin's statistic is one of the oldest measure that summarizes the shape of a tree [20,21]. It adds the number of internal nodes between each leaf of the tree and the root to form the following index

$$I_s^n = \sum_{i=1}^n N_i,$$

where the sum runs over the  $n$  leaves of the tree and  $N_i$  is the number of internal nodes crossed in the path from  $i$  to the root (including the root). An equivalent formulation of  $I_s^n$  is by counting the number of leaves under each internal nodes

$$I_s^n = \sum_{j=1}^{n-1} \tilde{N}_j,$$

where  $\tilde{N}_j$  is the number of leaves that descend from the ancestor  $j$ . This is a well-known result in systematic biology that the expectation of  $I_s^n$  under the Yule model is of order  $2n \log n$  (e.g., [9])

$$E[I_s^n] = 2n \sum_{j=2}^n 1/j.$$

The variance is more complex, but it can be estimated by noticing the analogy with a classical problem in theoretical computer science. This analogy is a crucial step in defining the proper correction for indices of large phylogenies. Let us explain this briefly. Binary trees are data structures often encountered in computer science, more specifically in connection with *divide and conquer* algorithms. To each Yule tree corresponds a binary search tree in a unique manner (see [2]). Using this one-to-one correspondence, Sackin's statistic is equal to the number of comparisons used by the quicksort algorithm to sort a random input (e.g., [19]). This can also be seen directly because the Sackin's index is involved in a stochastic recurrence equation

$$I_s^n = I_s^J + I_s^{n-J} + n, \tag{1}$$

where  $J$  is a uniform random variable over the subset  $\{1, \dots, n-1\}$ . The recurrence equation is obtained by splitting the tree at the root into two sister clades (the left and right subtrees). Conditional on  $J$ , the values  $I_s^J$  and  $I_s^{n-J}$  are independent random variables which correspond to the indices of the left and right subtrees.

Standard computations lead to the result that the variance of  $I_s^n$  is of order  $\sigma^2 n^2$  where  $\sigma^2$  is independent of  $n$  (e.g., [8]). In addition, the normalized Sackin's index (to which we refer in the sequel) can be defined as

$$I_s = \frac{I_s^n - E[I_s^n]}{n}. \tag{2}$$

The normalized index  $I_s$  converges in distribution as the number of leaves  $n$  grows to infinity. According to Rösler [19], the limit  $X$  satisfies a (functional) fixed-point equation of the following type

$$X = UX + (1 - U)X^* + 2U \log U + 2(1 - U) \log(1 - U) + 1, \quad (3)$$

where  $X$ ,  $X^*$ ,  $U$  are independent random variables,  $X$  and  $X^*$  are identically distributed,  $U$  is uniformly distributed over the interval  $(0, 1)$ , and the equality holds for distributions. Using Eq. (3), the variance of the limiting distribution can be computed in an exact way

$$\sigma^2 = 7 - \frac{2\pi^2}{3}.$$

## 2.2. Number of cherries

McKenzie and Steel [11] considered a simple and easily computed statistic for evaluating tree shape: the number of cherries of the tree. A *cherry* is a pair of leaves that are adjacent to a common ancestor node. The authors analyzed the distribution of this statistic under the Yule model. They obtained exact formulae for the mean and variance of the number of cherries, and showed that this distribution is asymptotically normal as the number of leaves grows to infinity. More specifically, if we denote by  $C_n$  the number of cherries in a tree of size  $n$ , their results can be summarized as follows

$$E[C_n] = \frac{n}{3}$$

and

$$\text{Var}[C_n] = \frac{2n}{45}.$$

Using an argument based on extended Polya urns, McKenzie and Steel obtained that

$$\frac{C_n - n/3}{\sqrt{2n/45}} \rightarrow \mathcal{N}(0, 1).$$

## 2.3. The number of subtrees of fixed size

Sackin's statistic and the number of cherries are two distinct aspects of the same distribution: the number of leaves under a randomly chosen node. Let  $Z_n$  denote this number. On the one hand,  $Z_n$  is connected to Sackin index by the fact that

$$Z_n = \tilde{N}_J,$$

where  $J$  is a uniform random variable over that subset  $\{1, \dots, n-1\}$  (recall that  $\tilde{N}_j$  is the number of leaves that descend from the ancestor  $j$ ). Given the tree structure  $T$ , one actually has

$$E[Z_n|T] = \frac{1}{n-1} \sum_{j=1}^{n-1} \tilde{N}_j = \frac{I_s^n}{n-1}.$$

On the other hand, the empirical frequency of cherries in a Yule tree  $f_n(2) = C_n/(n - 1)$  is an unbiased estimator of the probability of the event  $(Z_n = 2)$ . The distribution of  $Z_n$  has been described by Blum and François [4] using results from coalescent theory.

**Theorem 1** [4]. *Let  $n \geq 2$  and  $Z_n$  be the number of individuals in a uniformly chosen random clade of a Yule tree with  $n$  leaves. We have*

$$p_n(z) = P(Z_n = z) = \frac{n}{(n - 1)} \frac{2}{z(z + 1)}, \quad z = 2, \dots, n - 1$$

and

$$p_n(n) = P(Z_n = n) = \frac{1}{n - 1}.$$

By the above remarks, we can check that  $(n - 1)Z_n$  has the same average value that Sackin’s statistics (both are equal to the average complexity of the quicksort algorithm). In addition, we find that the frequencies of subtrees of size 2 is connected the number of cherries as follows

$$f_n(2) = \frac{C_n}{n - 1} = \frac{1}{n - 1} \sum_{j=1}^{n-1} \mathbb{1}_{(N_j=2)}.$$

Taking expectation, this leads to

$$E[f_n(2)] = E\left[\frac{1}{n - 1} \sum_{j=1}^{n-1} \mathbb{1}_{(N_j=2)}\right] = P(N_J = 2) = \frac{n}{3(n - 1)}, \tag{4}$$

and we can recover the fact that  $E[C_n] = n/3$ .

*Normality of frequencies of subset sizes.* For a Yule tree  $T$  with  $n$  leaves, let  $f_n(z)$  denote the frequencies of subtrees of size  $z$  in the tree ( $z \geq 2$ ). Eq. (4) tells that the frequency  $f_n(2)$  is an unbiased estimator of the probability  $p_n(2)$ . The same argument applies to proving that  $f_n(z)$  is an unbiased estimator of the probability  $p_n(z)$  for all  $z \geq 2$ . In addition, we obtain that the limiting distribution of  $f_n(z)$  is Gaussian as  $n$  goes to infinity.

**Theorem 2.** *Let  $z \geq 2$ . The empirical probabilities  $f_n(z)$  have variances of order  $1/n$*

$$\text{Var}[f_n(z)] = \frac{\sigma^2 n}{(n - 1)^2} \sim \frac{\sigma^2}{n}.$$

*In addition, the following convergence in distribution holds*

$$\sqrt{n}(f_n(z) - p_n(z)) \rightarrow \mathcal{N}(0, \sigma^2(z)), \quad \text{as } n \rightarrow \infty,$$

where, for all  $z \geq 2$ ,

$$\sigma^2(z) = \frac{2(z - 1)(4z^2 - 3z - 4)}{z(2z + 1)(2z - 1)(z + 1)^2}.$$

**Proof.** Let  $X_n^z = (n-1)f_n(z)$  denote the number of families of size  $z$ . The case  $z=2$  is a direct consequence of McKenzie and Steel's results [11] because  $X_n^2 = C_n$  is equal to the number of cherries in a coalescent or Yule tree. In addition,  $\sigma^2(2)$  is equal to  $2/45$ . Let us give a sketch of proof for the general result. For  $z \geq 3$ , the random variable  $X_n^z$  can be involved into a quicksort-like recurrence equation (see [8])

$$X_n = X_J + X_{n-J}^* + t_n, \quad (5)$$

where  $J$  is uniformly taken from the set  $\{1, \dots, n-1\}$  and the *toll* function  $t_n$  is equal to

$$t_n = \delta_{n,z},$$

where  $\delta_{n,z}$  denotes the Kronecker symbol. In this equation,  $X$  and  $X^*$  are independent copies which correspond to the values obtained for the left and right subtrees after a split at the root of the tree. The formal expression of the variance of  $X_n^z$  was computed using Eq. (5) and elementary programming in MAPLE. For  $n \geq 2z+1$ , we obtained that  $\text{Var}[X_n^z] = \sigma^2(z)n$  with  $\sigma^2(z)$  given by the theorem. The final result follows from Hwang and Neininger [8].  $\square$

*Comments.* A rather direct proof of Theorem 2 can be found in [6]. Devroye states the result for binary search trees. To obtain the above result, it must be modified according to the one-to-one correspondence between binary search trees and Yule trees. A binary search tree with  $(n-1)$  nodes corresponds identically to a Yule tree with  $n$  leaves (see Aldous [2]). Another proof for the mean and variance formulae was given by Rosenberg [18] by purely combinatorial techniques.

For all  $z \geq 2$  and  $n$  sufficiently large, 5% level confidence intervals for frequencies are given by

$$-1.96\sigma(z)\frac{\sqrt{n}}{n-1} < f_n(z) < +1.96\sigma(z)\frac{\sqrt{n}}{n-1}.$$

The accuracy of the approximation depends on  $z$ . For  $z \leq 10$ , simulation evidences show that Gaussian distributions provide good fit to the empirical distributions of  $f_n(z)$  as soon as  $n \geq 30$ .

#### 2.4. New indices

To conclude this section, we propose a new statistic based on the comparison of the empirical and theoretical distributions of the number of subtrees under the Yule model. This index is defined as a weighted  $\ell_1$  distance

$$D = \sum_{z=2}^n z |f_n(z) - p_n(z)|,$$

where the sum runs over the all possible subset sizes under an arbitrary node.

In spirit, the metric  $D$  is comparable to the Sackin's index, giving importance to the apparition of abnormally large number of leaves under the nodes close to the root. However it has the advantage of providing a one-sided test, whereas Sackin index provides a two-sided test.

### 3. Distribution of indices

In this section, we estimate the quantiles of the distributions of the normalized Sackin's index and the distance index  $D$  for samples of various sizes.

*Experimental design.* In order to estimate the quantiles of the distributions 10000 Yule trees were simulated. All simulations were performed under the object-oriented R language, which provide facilities for manipulating tree data [16]. Empirical cumulative distribution functions were computed and displayed in Figs. 1 and 2. Approximate values of the empirical quantiles can easily be determined from these graphical representations.

*Normalized Sackin.* Normalized values of the Sackin index have been considered earlier by Kirkpatrick and Slatkin [9]. However, these authors proposed the value 1.96 for statistical significance at the 5% level (Gaussian approximation). We propose corrections that account for the fact that the distribution of the normalized Sackin's index is non-Gaussian. For  $n = 30$  taxa, the 5% rejection area can be described as

$$I_s < -0.72 \quad \text{or} \quad I_s > 1.24.$$

For  $n = 100$ , the 5% rejection area is slightly different

$$I_s < -0.87 \quad \text{or} \quad I_s > 1.43.$$

The limiting distribution was computed numerically according to Eq. (1) (using a method developed by Tan and Hadjicostas [22]), and good agreement with the empirical distribution was noticed for  $n = 100$ .

*Distance  $D$ .* Regarding the distance  $D$ , no normalization is available theoretically. Empirical quantiles for samples of size  $n = 30, 100, 200$  can be deduced from Fig. 2. The test is significant at the 5% level if  $D > 5.10$  for  $n = 30$ ,  $D > 8.04$  for  $n = 100$  and  $D > 9.65$  for  $n = 200$ . Simulation results show that  $D$  should be corrected to  $\tilde{D} = D - 2.27 \log(n) + 3.62$  (almost perfect log-linear fit). The 5% rejection area is  $\tilde{D} > 1.25$  for large  $n$ .

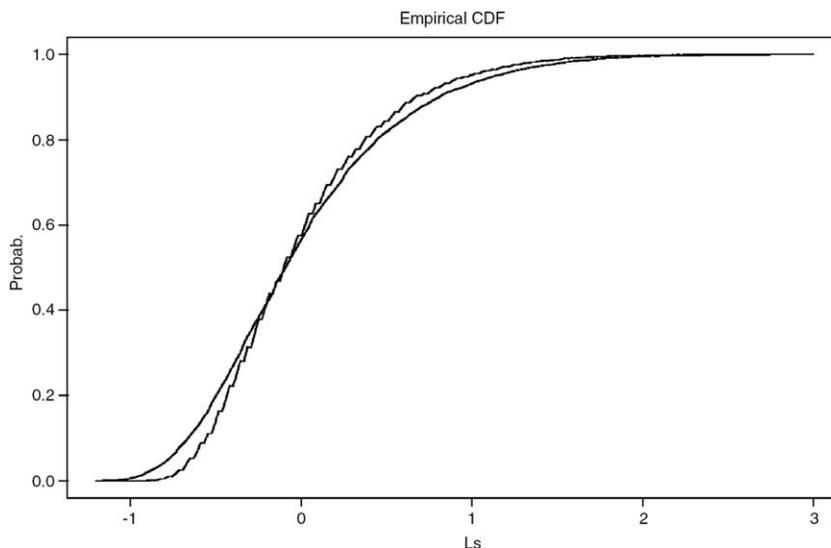


Fig. 1. Empirical cumulative distribution functions of the normalized Sackin's index under the Yule model for random trees of sizes  $n = 30$  and 100 (smooth line). The cdfs were computed from 10000 trees.

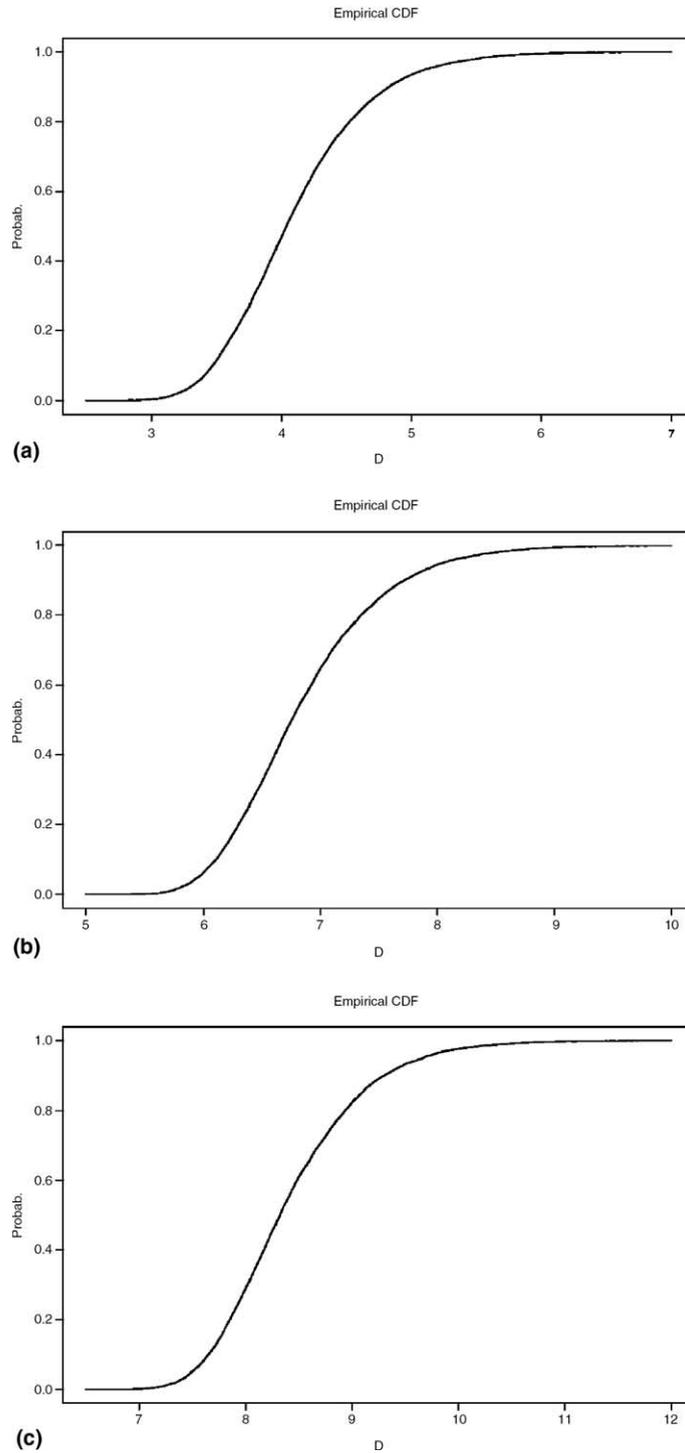


Fig. 2. Empirical cumulative distribution functions of the  $D$  statistic under the Yule model for random trees of sizes  $n = 30, 100,$  and  $200$ .

## 4. Statistical power

### 4.1. Biased speciation model

A basic issue regarding the power of these different statistics is which one is the most sensitive to a departure from the Yule model. This question is also relevant to coalescent models and population genetics where departure from neutrality is an important step in detecting the evolutionary pressures acting on a sample of genes.

The power of statistics depends on the alternative hypothesis and there are many possible choices that may produce imbalanced trees. For instance, Pinelis introduced a family of models that encompass the traditional hypotheses about tree-biased speciation [15]. Kirkpatrick and Slatkin [9] evaluated the power of five tree shape statistics encompassing the Sackin and Colless indices at three tree sizes (10, 20 and 40 species). They generated imbalanced phylogenies by making the instantaneous rates of speciation of every pair of sister lineages differ by a constant factor. They concluded that the Sackin and Colless indices performed well (except for the smallest trees).

Agapow and Purvis considered other processes of non-random speciation in which the rate of speciation in a lineage evolves independently of the rates in other lineages and is directed toward greater biological relevance (see [1]). Among eight studied statistics, they found that the Sackin and Colless indices performed well for models of trait evolution. These indices were a little less powerful when applied to a model of age-dependent rates.

*Biased speciation model.* In this study, we used an alternative model of biased speciation which is similar to the one used by Kirkpatrick and Slatkin. Assume that the speciation rate of a specific lineage is equal to  $r$  ( $0 \leq r \leq 1$ ). When a species with speciation rate  $r$  splits, one of its descendent species is given the rate  $pr$  and the other is given the speciation rate  $(1 - p)r$  where  $p$  is fixed for the entire tree. These rates are effective until the daughter species themselves speciate. Values of  $p$  close to 0 or 1 yield very imbalanced trees while values around 0.5 lead to over-balanced phylogenies.

We simulated this model for different numbers of species  $n = 30, 100, 200$  and different values of  $p$ . The most interesting values are around  $p = 0.12\text{--}0.15$  where it may sometimes be difficult to detect the imbalance visually. Type two errors  $\beta$  were calculated from 10000 independent Monte Carlo repetitions and the type one error  $\alpha$  was fixed at the level of 5%.

*Results.* The results are reported in Tables 1–3. The performance of the statistics  $f_n(z)$  to detect imbalance were weak for small ( $n = 30$ ) phylogenies. They were slightly better for larger trees  $n = 100\text{--}200$ . Among subtrees, counting the number of cherries appeared to be the most efficient way of detecting departure from the Yule model. Overall,  $f_n(z)$  and  $C_n$  showed very low power for all  $z$ , and we would not recommend their use for testing imbalance.

Sackin statistics  $I_s$  and the  $D$  distance were very powerful as concerned high disequilibrium, i.e.  $p = 0.05$  for  $n = 30$ , and  $p \leq 0.1$  for  $n = 100, 200$ . In this situation,  $I_s$  was slightly more powerful than  $D$ . When imbalance is less evident  $p = 0.125\text{--}0.15$ , the performances of both indices decreased. In this situation, we typically obtained 86% of errors for  $D$  while this ratio was equal to 92% for  $I_s$ . The decrease of power was thus slower for  $D$ . The last rows of Table 1–3 show that  $D$  was unable to detect over-balanced trees while  $I_s$  performed rather well in this regard (due to the two-sided test).

Table 1

Type two error  $\beta$  for the alternative hypothesis  $H_1$  of biased speciation with parameters  $n = 30$ , and  $p = 0.05–0.5$  computed from 10000 repetitions

$n = 30$	$D$	$I_s$	$f_n(2)$	$f_n(3)$	$f_n(4)$	$f_n(5)$	$f_n(6)$	$f_n(7)$	$f_n(8)$
$p$									
$p = 0.05$	0.02	0.005	0.79	0.80	0.95	1	–	–	–
$p = 0.1$	0.42	0.36	0.95	0.96	0.98	1	–	–	–
$p = 0.125$	0.69	0.72	0.96	0.96	0.99	1	–	–	–
$p = 0.15$	0.86	0.92	0.97	0.96	0.98	1	–	–	–
$p = 0.25$	0.99	0.98	0.97	0.95	0.98	0.99	0.99	0.96	0.99
$p = 0.4$	0.99	0.35	0.93	0.94	0.97	1	0.99	0.96	0.99
$p = 0.5$	1	0.11	0.92	0.93	0.97	1	1	0.95	0.98

The type one error is  $\alpha = 0.05$ .

Table 2

Type two error  $\beta$  for the alternative hypothesis  $H_1$  of biased speciation with parameters  $n = 100$ , and  $p = 0.05–0.5$  computed from 10000 repetitions

$n = 100$	$D$	$I_s$	$f_n(2)$	$f_n(3)$	$f_n(4)$	$f_n(5)$	$f_n(6)$	$f_n(7)$	$f_n(8)$	$f_n(9)$	$f_n(10)$
$p$											
$p = 0.05$	0	0	0.21	0.96	0.99	0.99	0.98	0.97	0.90	–	–
$p = 0.1$	0.01	0.00	0.55	0.88	0.99	0.98	0.97	0.94	0.94	–	–
$p = 0.125$	0.24	0.27	0.78	0.90	0.98	0.99	0.98	0.94	0.93	0.92	–
$p = 0.15$	0.77	0.90	0.91	0.92	0.98	0.99	0.98	0.96	0.94	0.96	–
$p = 0.25$	0.99	0.98	0.89	0.95	0.97	0.97	0.97	0.94	–	–	–
$p = 0.4$	0.99	0	0.63	0.92	0.96	0.96	0.96	0.96	0.92	–	–
$p = 0.5$	1	0	0.57	0.91	0.95	0.96	0.95	0.95	0.92	–	–

The type one error is  $\alpha = 0.05$ .

Table 3

Type two error  $\beta$  for the alternative hypothesis  $H_1$  of biased speciation with parameters  $n = 200$ , and  $p = 0.05–0.5$  computed from 10000 repetitions

$n = 200$	$D$	$I_s$	$f_n(2)$	$f_n(3)$	$f_n(4)$	$f_n(5)$	$f_n(6)$	$f_n(7)$	$f_n(8)$	$f_n(9)$	$f_n(10)$
$p$											
$p = 0.05$	0.02	0.01	0.001	0.75	0.99	0.90	0.87	0.88	0.92	0.92	0.96
$p = 0.1$	0.42	0.36	0.49	0.77	0.88	0.97	0.99	0.96	0.93	0.84	0.82
$p = 0.125$	0.69	0.71	0.83	0.92	0.91	0.94	0.98	0.98	0.97	0.92	0.90
$p = 0.15$	0.86	0.92	0.93	0.95	0.94	0.94	0.98	0.98	0.98	0.97	0.95
$p = 0.25$	1	0.92	0.81	0.93	0.93	0.93	0.97	0.97	0.97	0.95	0.95
$p = 0.4$	1	0.0	0.32	0.86	0.92	0.92	0.95	0.96	0.96	0.96	0.95
$p = 0.5$	1	0.0	0.24	0.85	0.91	0.92	0.95	0.96	0.96	0.96	0.95

The type one error is  $\alpha = 0.05$ .

### 5. Example

This section analyzes a dataset taken from the literature [25]. Several authors attempted to infer historical features of the acquired immune deficiency syndrome (AIDS) using human immunodeficiency virus type 1 (HIV-1) sequences. There are three distinctive form of HIV-1 (M,O,N). Group M contains the viruses which cause the global HIV pandemic and appear to have arisen in Central Africa during the last 100 years [10]. Vidal et al. [23] investigated the genetic diversity of HIV-1 group M in this region by obtaining viral gene sequences in 1997 from 197 infected individuals living in the Democratic Republic of Congo. Yusim et al. [25] used a maximum likelihood approach to estimate a phylogeny for this large data set, and it is this phylogeny that we use here. The phylogeny is available from the R package *ape* [14].

Korber et al. [10] estimated the time since the most recent common ancestor of the HIV-1 thanks to this tree, and this was compared with a coalescent approach by Yusim et al. [25]. These works were based on the assumption of a molecular clock, or a constant rate of evolution among each lineage. Rambaut et al. [17] noticed that it is unlikely that this HIV-1 data set has been evolving according to this hypothesis. Therefore, the goodness-of-fit of Yule or coalescent (essentially the same topological model) to this dataset has to be tested.

To assess the fit to a Yule model, we computed the normalized Sackin index, the empirical distribution of subset sizes, and the weighted  $\ell_1$  distance  $D$ . The Sackin’s index was equal to  $I_s = 0.82$  ( $P(I_s > 0.82) = 0.10$ ). The empirical distribution  $f_n(z)$  of subset sizes is given in Table 4. The test provided by Theorem 2

$$|f_n(z) - p_n(z)| > 1.96\sigma^2(z)\sqrt{n/(n-1)}$$

was non-significant for all  $z \leq 10$ . The distance  $D$  was equal to  $D = 9.37$  ( $\tilde{D} = 1.05$ ) and the  $p$ -value was equal  $P(\tilde{D} > 1.05) \approx 0.08$ . We could not conclude to the rejection of the Yule or coalescent models.

To go further, we remark that imbalance might be detected at any level of the tree, and we considered cutting the branches of the tree which were far from the root. Doing so, we kept only the ‘old’ internal branches that corresponded to the 30 oldest ancestors. Under the null hypothesis for the  $n = 192$  sequences, the pruned tree should also be compatible with a Yule model. In this case, the Sackin’s index was equal to  $I_s = 1.21$  ( $P(I_s > 1.21) = 0.03$ ). The empirical distribution  $f_n(z)$  of subset sizes is given in Table 5. The test provided by Theorem 2 was significant for  $z = 2$  (cherries). The distance  $D$  was equal to  $D = 5.17$  and the  $p$ -value was  $P(D > 5.17) \approx 0.04$ . These results probably indicate a change in the evolutionary rate during the evolution which had more impact on cladogenesis during the early expansion of the virus.

Table 4  
Theoretical and empirical distribution  $f_n(z)$  of the size of subsets in the HIV-1 phylogeny group M

	$z = 2$	$z = 3$	$z = 4$	$z = 5$	$z = 6$	$z = 7$
Theoretical	.335	.167	.100	.067	.047	.035
Empirical	.312	.140	.114	.057	.057	.036

The number of sequences is  $n = 192$  and  $z$  denotes the size of subsets.

Table 5

Theoretical and empirical distribution  $f_{30}(z)$  of the size of subsets in the HIV-1 phylogeny group M

	$z = 2$	$z = 3$	$z = 4$	$z = 5$	$z = 6$	$z = 7$
Theoretical	.344	.172	.103	.068	.049	.036
Empirical	.241	.172	.103	.068	.068	.068

The tree was pruned to keep the 30 oldest internal nodes (the top of the tree).

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