### CS612 - Algorithms in Bioinformatics

Sequence Alignment

February 12, 2019

# Searching for Sequence Similarity

- **Problem:** Determine possible biological function associated with a decoded gene sequence
- Approach/Process:
- Treat given gene sequence as a query sequence
- Search over a database of functionally-annotated gene sequences
  - Gene sequences for which the function is determined and deposited
- If the query sequence x is similar to a sequence y in the database
  - Then we add function(y) to the list of possible functions of x
- **Assumption:** similar sequences have similar functions
  - In other words, sequence is the main determinant of function



### Searching for Sequence Similarity

- **Problem:** Determine possible biological function associated with a decoded gene sequence
- **Subproblems** (of general interest to computer scientists):
  - How do we measure sequence similarity?
  - How do we align two sequences? Do they have to match exactly or as long as they overlap significantly, we can make the same prediction?
  - Over what threshold of similarity does the assumption hold?
  - Can we associate a confidence as a function of similarity?
  - What if we want to compare more than two sequences?

#### Database Search and Sequence Alignment

# Why do We Want to Compare Sequences?

- Evolutionary relationships
  - Phylogenetic trees can be constructed based on comparison of the sequences of a molecule (example: 16S rRNA) taken from different species
  - Residues conserved during evolution play an important role
- Prediction of protein structure and function
  - Proteins which are very similar in sequence generally have similar 3D structure and function as well
  - By searching a sequence of unknown structure against a database of known proteins the structure and/or function can in many cases be predicted

### Database Search and Sequence Alignment

#### Definition (Sequence alignment/comparison)

The arrangement of two or more amino acid or nucleotide sequences in such a way as to maximize their similarity under some scoring function. Alternatively – we want to minimize the *edit distance* between the sequences

#### Definition (Edit distance)

The minimum number of **substitutions**, **deletions** or **insertions** required to convert one string into another

## Database Search and Sequence Alignment

Example: How do we align "kitten" and "sitting"?

- **1 k**itten  $\rightarrow$  **s**itten (substitution)
- ② sitten → sittin (substitution)
- $\bullet$  sittin  $\rightarrow$  sitting (insertion)

KITTEN-

SITTING

### Things to Keep in Mind

- How do we determine the score?
  - What is the reward for a match? Same for all matches?
  - What it the penalty for a mismatch? Are all mismatches the same? (Usually not. We use substitution matrices to estimate this)
  - Gap penalty Same penalty for opening a gap vs. extending it?
- How do we perform the alignment? (Dynamic programming or variants)
- How do we statistically evaluate the significance of our results?

## Things to Keep in Mind When Working With Alignments

- Pairwise alignment programs always find the optimal alignment of two sequences
  - They do so even if it does not make any sense at all to align the two sequences
  - "Optimal" means optimal according to the substitution matrix and gap penalties you choose – also if you choose the wrong ones
- Generally the underlying assumptions are wrong
  - The frequency of substitution is not the same at all positions
  - Nor is the frequencies of insertions and deletions the same
  - Affine gap penalties do not properly model ins/del events

## Using Sequence Alignment to Search Databases

- The most common usage of pairwise sequence alignment is searching databases for related sequences
- Although the alignments themselves may be unreliable the alignment scores gives a lot of information about which sequences are related and which are not
- Having a set of related sequences is a lot more informative than just one sequence – even if nothing is known about the related sequences

#### Requirements for Sequence Alignment

- A very fast method to find potentially related sequences
  - Systematically searching through the databases with the alignment methods take too long even though dynamic programming is fast
  - Some method to initially identify possible matches is therefore needed to speed up the search
- A method to evaluate which matches to trust
  - Statistics on the alignment score distributions can be used to calculate the significance of an alignment
  - This way we can not only rank which matches are better than others but also tell if any of them are good at all

#### Local or Global Alignment

- Global alignment "forces" the alignment of the entire sequence.
- Generally local alignment is used for performing database searches
  - For most cases you would be interested in knowing if any parts of you sequences looks like something else
  - The protein sequence databases have not been split into domains
- It is not always the optimal thing to do but ...
  - In the case where the complete sequence should match the local alignment score will be almost identical to the global one
  - If you really want a global alignment you can make it afterwards

```
Global FTFTALILLAVAV
F--TAL-LLA-AV
Local FTFTALILL-AVAV
--FTAL-LLAAV--
```

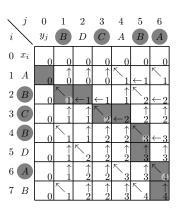


#### Local or Global Alignment

- Because you can to start a new alignment anywhere dynamic programming scores cannot become negative
- The trace-back is started at the highest values rather than the lower right corner
- The trace-back is stopped as soon as a zero is encountered

## Global Alignment – Generic Example

- Here we use the basic edit distance for demonstration purposes.
- We allocate an  $(m+1) \times (n+1)$  table, where m and n are the sizes of the sequences, plus a  $0^{th}$  row and a  $0^{th}$  column.
- The dynamic programming equation below tells us how to fill the table, from top to bottom and left to right.
- In global alignment, C[m, n] is the final result.



#### Global Alignment – Generic Example

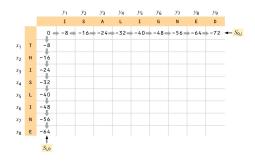
We fill the table top to bottom, left to right, as:

$$c[i,j] = \begin{cases} 0 & \text{if } i = 0 \text{ or } j = 0 \\ c[i-1,j-1] + 1 & \text{if } i,j > 0 \text{ and } x_i = y_j \\ \max\{c[i-1,j],c[i,j-1]\} & \text{if } i,j > 0 \text{ and } x_i \neq y_j \end{cases}$$

- c[i,j] represents the match score between  $x[1 \dots i]$  and  $y[1 \dots j]$ .
- If any of the indices is 0, this is a match with an empty string, which is by definition 0.
- Our final score is c[m, n].



### Global Alignment: Needleman-Wunsch



x = THISLINE y = ISALIGNED

 $S_{i,j}$  stores the score of the optimal alignment of all characters/residues up to  $x_i$  of x will all residues up to  $y_i$  of y.

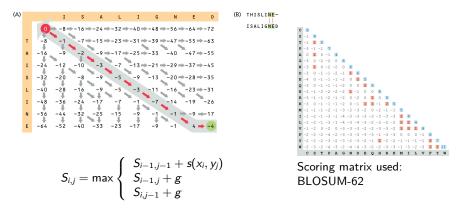
The first row and columns are gaps.

Optimal alignment:
THIS-LI-NE--TSALTGNED

$$S_{i,j} = \max \left\{ egin{array}{l} S_{i-1,j-1} + s(x_i,y_j) \ S_{i-1,j} + g \ S_{i,j-1} + g \end{array} 
ight.$$



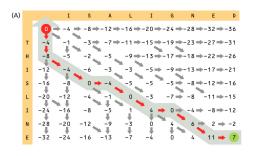
### Global Alignment: Needleman-Wunsch



The gap penalty is so high (-8) that there is no incentive to add gaps rather than allow mismatches (the most severe of which has a penalty of -4) The "fault" is with the scoring matrix used the alignment is optimal within the scoring matrix used.



#### Global Alignment: Needleman-Wunsch



$$S_{i,j} = \max \left\{ egin{array}{l} S_{i-1,j-1} + s(x_i,y_j) \ S_{i-1,j} + g \ S_{i,j-1} + g \end{array} 
ight.$$

Scoring matrix used matches the gap penalty (-4) to the most severe mismatch (-4).



#### From Global to Local Alignment

Main differences over Needleman-Wunsch:

- Whenever the score of the optimal sub-alignment is less than zero, it is rejected (the matrix element is set to 0)
- Traceback starts from the highest-scoring element:

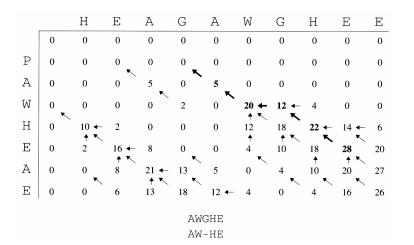
$$S_{i,j} = \max \left\{ egin{array}{l} S_{i-1,j-1} + s(x_i,y_j) \ S_{i-1,j} + g(n_{gap1})_{1 \leq n_{gap2} \leq i} \ S_{i,j-1} + g(n_{gap2})_{1 \leq n_{gap2} \leq j} \ 0 \end{array} 
ight.$$

What does the rejection of a negative optimal sub-alignment mean? **Hint:** many mini global alignments not worth to continue at some point

Note that the score given takes into account affine gap penalties (penalizing more for opening a gap, less for extending a gap)



### The Smith-Waterman algorithm (local alignment)



#### Substitution Matrices

What is a substitution matrix?

	Α	G	С	Т	
Α	+1	-3	-3	-3	
G		+1	-3	-3	
C	-3	-3	+1	-3	
Т	-3	-3	-3	+1	

### An Example of a Substitution Matrices

	Α	G	С	Т	
Α	+1	-3	-3	-3	
G	-3	+1	-3	-3	
C	-3	-3	+1	-3	
Т	-3	-3	-3	+1	

Score 
$$= 19-9 = 10$$

### Why Use Substitution Matrices?

- Determine likelihood of homology between two sequences.
- Substitutions that are more likely should get a higher score,
- Substitutions that are less likely should get a lower score.

## Scoring Matrices

- Log-odds matrix where each cell gives the probability of aligning those two residues
- Score of alignment = Sum of log-odds scores of residues
- Score for each residue given by:

$$s(a,b) = \frac{1}{\lambda} \log(\frac{p_{ab}}{f_a f_b})$$

### Types of Matrices

- Percent Identity Standard scoring matrix to align DNA sequences
- PAM Estimates the rate at which each possible residue in a sequence changes to each other residue over time
- BLOSUM-X Identifies sequences that are X% similar to the query sequence

#### Nucleotide Scoring Matrix

Approximate ratios used on the web page:

Percent identity	Match/Mismatch	
99%	1/-3	
98%	2/-5	
95%	1/-2	
90%	2/-3	
85%	3/-4	
80%	4/-5	
75%	1/-1	
70%	11/-10	
65%	5/-4	
60%	7/-5	
50%	3/-2	

#### Amino Acid PAM Matrices

- Percent Accepted Mutation
- Dayhoff (1978), 1572 changes in 71 families of proteins, at least 85% similar
- For each amino acid, count 20 numbers
- For example, how many F (phenylalanine) stay the same, how many change to the other 19 amino acids
- Normalize: divide each of these 20 numbers by (sum of 20 numbers)
- PAM1: 1% probability of change



#### The Column/Row of F in PAM1

```
F to A: 0.0002
                  F to I: 0.0013
F to R: 0.0001
                  F to K: 0.0000
F to N: 0.0001
                  F to M: 0.0001
F to D: 0.0000 F to F: 0.9946
F to C: 0.0000
              F to P: 0.0001
F to Q: 0.0000
              F to S: 0.0003
F to E: 0.0000
                  F to T: 0.0001
F to G: 0.0001
                  F to W: 0.0001
F to H: 0.0002
                  F to Y: 0.0021
F to I: 0.0007
                  F to V: 0.0001
```

#### Compute PAM250

$$PAM_2 = PAM_1 * PAM_1 = (PAM_1)^2$$
  
 $PAM_{250} = (PAM_1)^{250}$ 

#### Example - PAM120

#### **BLOSUM Matrices**

- BLOcks of amino acid SUbstitution Matrices
- Start with highly-conserved patterns (blocks) in a large set of closely related proteins
- Use the likelihood of substitutions found in those sequences to create a substitution probability matrix
- BLOSUM-n means that the sequences used were n% alike
- BLOSUM62 is "standard"
- Nature Biotechnology: http://www.nature.com/nbt/ journal/v22/n8/abs/nbt0804-1035.html

#### Example of BLOSUM62

```
-2
-2
2
-3
```

#### Example of BLOSUM62

```
Negative for less
             likely substitutions
0
                            Positive for more
                            likely substitutions
                                             Common amino acids
                                             have low weight
                                                           Rare amino acids
                                                           have high weight
                                                                           -1
                                                                            Х
```

#### Which Scoring Matrix to Use?

- How can one decide whether to use BLOSUM or PAM when comparing and aligning sequences?
- This decision is also more difficult when the evolutionary distance between the sequences is not known
- What to do: try different ones and compare results
- Different studies have concluded that for the PAM matrices it is generally best to try PAM40, PAM120, and PAM250
- When used for local alignments
  - Lower PAM matrices find short local alignments
  - Higher PAM matrices find longer but weaker local alignments
- Several different matrices should be used, and the alignment that is judged to be evolutionarily the most accurate is the one chosen
  - Question: how can one judge which one is the most accurate?
  - Judgment on a control set where the evolutionary relationship is known



# Heuristic Search Algorithms

- FASTA (Pearson 1995)
- Uses heuristics to avoid calculating the full dynamic programming matrix
- Speed up searches by an order of magnitude compared to full Smith-Waterman
- The statistical side of FASTA is still stronger than BLAST

- BLAST (Altschul 1990, 1997)
- Uses rapid word lookup methods to completely skip most of the database entries
- Extremely fast
- Almost as sensitive as FASTA

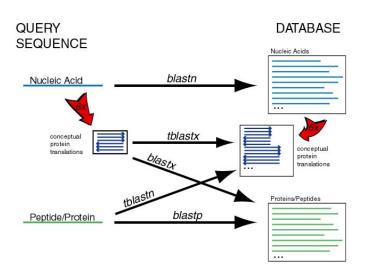
#### **BLAST at NCBI**

#### http://www.ncbi.nlm.nih.gov/BLAST/

- Very fast computer dedicated to running BLAST searches
- Many databases that are always up to date
- Nice simple web interface
- But you still need to knowledge about BLAST to use it properly



#### Different BLAST Programs

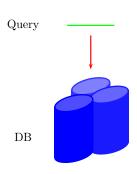


### Pairwise alignment of hemoglobin $\alpha$ chain and myoglobin

#### How BLAST Works

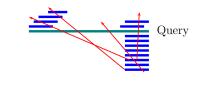
# Basic Local Alignment Search Tool Main idea:

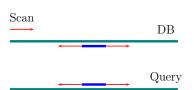
- Construct a dictionary of all the words in the query
- Initiate a local alignment for each word match between query and DB
- Running Time: O(MN)
- However, orders of magnitude faster than Smith-Waterman



### Blast - Original Version

- Dictionary: All words of length k (approx. 11)
   Alignment initiated between words of alignment score approx. T (typically T = k)
- Alignment: Ungapped extensions until score below statistical threshold
- Output: All local alignments with score more than statistical threshold





#### How BLAST works

- The search is accelerated by indexing the sequence databases in a so-called suffix array
  - Three letter subsequences are used as keys to the sequences
  - Closely related substitutions are also included
  - This gives approx. 150 index keys for each sequence
- This is used in two ways
  - To quickly discard sequences that are not similar at all before even beginning to align them
  - To constrain the alignment and thereby speed up the alignment procedure itself

### **Evaluating the Significance of an Alignment**

- Score and bit-score: depend on scoring method.
- **Z-score** =  $\frac{score-mean}{stddev}$
- E-value (Expect value): number of unrelated database sequences expected to yield same or higher score by pure chance
- P-value (Probability): probability that a database yields by pure chance at least one alignment with same or higher score

#### **Evaluating the Significance of an Alignment**

- The E-value describes the number of hits one can "expect" to seeby chance when searching a database of a particular size.
- It decreases exponentially with the Score (S) that is assigned to a match between two sequences.
- It essentially describes the random background noise that exists for matches between sequences.
- The E-value is used as a convenient way to create a significance threshold for reporting results.
- When increased from the default value of 10, a larger list with more low-scoring hits can be reported.
- E-value approaching zero → significant alignment. Less than 0.01 = almost always homologous; 1e-10 for nucleotide searches of 1e-4 for protein searches= frequently related



#### **Notice**

- In BLAST 2.0, the E-value is also used instead of the P-value (probability) to report the significance of matches. For example, an E value of 1 assigned to a hit can be interpreted as meaning that in a database of the current size one might expect to see 1 match with a similar score simply by chance.
- Be careful when comparing E- or P-values from different searches.
- Comparison is only meaningful for different query sequences searched agains the same database with the same BLAST parameters.

#### How to Interpret Log-odds Matrix

- If you know the scores in a matrix, how do determine what kind of alignments it will find?
- You need to determine the frequencies implied by the scores
- Works backwards of course:

$$s(a,b) = \frac{1}{\lambda} \log(\frac{p_{ab}}{f_a f_b}) \Rightarrow f_a f_b e^{\lambda s(a,b)} = p_{ab}$$

#### How to Interpret Log-odds Matrix

In order to find  $p_{ab}$ , you need to find  $\lambda$ .

$$f_a f_b e^{\lambda s(a,b)} = p_{ab}$$

All probabilities must add up to 1, to set it to 1 and solve for lambda

$$\sum_{a,b} f_a f_b e^{\lambda s(a,b)} = 1$$

#### The E-value

- In the limit of sufficiently large sequence lengths m and n, the statistics of High Scoring Segment Pairs (HSP) scores are characterized by two parameters, K and  $\lambda$ .
- The expected number of HSPs with score at least S is given by the formula:

$$E = Kmne^{-\lambda S}$$

- This formula makes eminently intuitive sense: Doubling the length of either sequence should double the number of HSPs attaining a given score.
- The value also decreases exponentially with the score.
- ullet The parameters K and  $\lambda$  can be thought of simply as natural scales for the search space size and the scoring system respectively.



### A Curse or a Blessing?

- Large databases are a blessing ...
  - They are more likely to contain something similar to the query
- ... and a curse
  - Increasing the size of the database decreases the significance of the hits you get
  - Searching huge databases requires fast computer
- What requirements this puts on software development
  - The programs must be speeded up or database searches will take longer and longer
  - The false positive rate must be reduced to not lose specificity

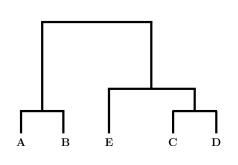
## Multiple Sequence Alignment (MSA)

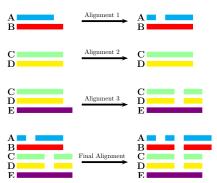
```
HBB HUMAN
            -----VHLTPEEKSAVTALWGKVN--VDEVGGEALGRLLVVYPWTORFFESFGDLST
HBB HORSE
           -----VQLSGEEKAAVLALWDKVN--EEEVGGEALGRLLVVYPWTQRFFDSFGDLSN
HBA HUMAN
           ----VLSPADKTNVKAAWGKVGAHAGEYGAEALERMFLSFPTTKTYFPHF-DLS-
HBA_HORSE
                   --VLSAADKTNVKAAWSKVGGHAGEYGAEALERMFLGFPTTKTYFPHF-DLS-
MYG PHYCA
           -----VLSEGEWQLVLHVWAKVEADVAGHGQDILIRLFKSHPETLEKFDRFKHLKT
GLB5 PETMA
           PIVDTGSVAPLSAAEKTKIRSAWAPVYSTYETSGVDILVKFFTSTPAAQEFFPKFKGLTT
LGB2 LUPLU
           -----GALTESQAALVKSSWEEFNANIPKHTHRFFILVLEIAPAAKDLFSFLKGTSE
HBB HUMAN
           PDAVMGNPKVKAHGKKVLGAFSDGLAHLDN-----LKGTFATLSELHCDKLHVDPENFRL
HBB HORSE
           PGAVMGNPKVKAHGKKVLHSFGEGVHHLDN-----LKGTFAALSELHCDKLHVDPENFRL
HBA_HUMAN
HBA HORSE
           ----HGSAOVKAHGKKVGDALTLAVGHLDD-----LPGALSNLSDLHAHKLRVDPVNFKL
MYG PHYCA
           EAEMKASEDLKKHGVTVLTALGAILKKKGH----HEAELKPLAOSHATKHKIPIKYLEF
GLB5 PETMA
           ADQLKKSADVRWHAERIINAVNDAVASMDDT--EKMSMKLRDLSGKHAKSFQVDPQYFKV
LGB2_LUPLU
           VP--QNNPELQAHAGKVFKLVYEAAIQLQVTGVVVTDATLKNLGSVHVSKGVAD-AHFPV
                  . .:: *. :
```

### Why MSA is Better?

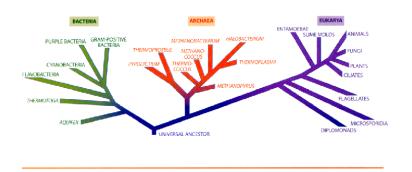
- More sequences contain more information
- Multiple sequence alignment allows us to compare all related proteins simultaneously
- It allows us to identify features that are conserved among the sequences
- Using a multiple sequence alignment (a profile) one can find more related sequences than by simple pairwise comparison

### Building a Phylogenetic Tree





### Assembling the Tree of Life



Assembled from aligned sequences of ribosomal RNA



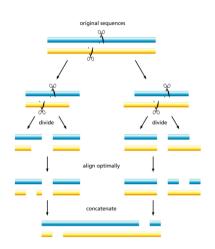
M. Madigan and B. Marrs, 1997

### Multiple Sequence Alignment

- Multiple sequence alignment is NP-hard.
- The most practical and widely used method in multiple sequence alignment is the hierarchical extensions of pairwise alignment methods.
- The principal is that multiple alignments is achieved by successive application of pairwise methods.

#### Divide and Conquer

- Divide the sequences near their midpoint.
- Repeat until length falls below threshold.
- Feed sequences to MSA.
- Merge sequences.



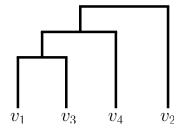
### Multiple Sequence Alignment – Summary of Steps

- Compare all sequences pairwise.
- Perform cluster analysis on the pairwise data to generate a hierarchy for alignment. This may be in the form of a binary tree (guide tree).
- Build the multiple alignment by first aligning the most similar pair of sequences, then the next most similar pair and so on.
- Once an alignment of two sequences has been made, then this
  is fixed.
- Thus for a set of sequences A, B, C, D having aligned A with C and B with D the alignment of A, B, C, D is obtained by comparing the alignments of A and C with that of B and D using averaged scores at each aligned position.

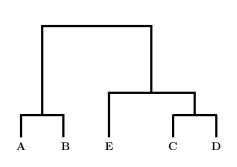
		<i>v</i> <sub>2</sub>			_
$v_1$	_				
<i>V</i> 2	.17	_			.17 means 17% identical.
<i>V</i> 3	.87	.28	_		
<i>V</i> 4	- .17 .87 .59	.33	.62	-	

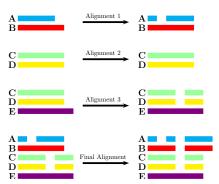
#### Calculate:

$$v_{1,3} = alignment(v_1, v_3)$$
  
 $v_{1,3,4} = alignment((v_{1,3}), v_4)$   
 $v_{1,2,3,4} = alignment((v_{1,3,4}), v_2)$ 



### Example





### Building a Consensus Sequence

- Concatenation of all the sequences can give a consensus sequence
- The consensus character for column i is the character that minimizes the summed distance to it from all the characters in column i
- Distance is measured using the substitution matrix
- A very simple method, but doesn't account for variability.
- Useful for highly conserved sequences.

```
A B A
A B -
B A
C A -
```

#### Sequence Patterns

Patterns are known as regular expressions.

- The Prosite syntax for patterns:
  - Uses one-letter codes for amino acids (G=Gly, P=Pro, ...)

  - ullet The symbol 'X' is used where any amino acid is accepted
  - Ambiguities are indicated by square parentheses '[]' ([AG] means Ala or Gly)
  - Amino acids that are not accepted at a given position are listed between a pair of curly brackets '{}' ({AG} means any amino acid except Ala and Gly),
  - Repetitions are indicated between parentheses '()' ([AG](2,4) means Ala or Gly between 2 and 4 times, X(2) means any amino acid twice).
  - A pattern is anchored to the first and last positions in the protein by the symbols ' <' and ' >' respectively.

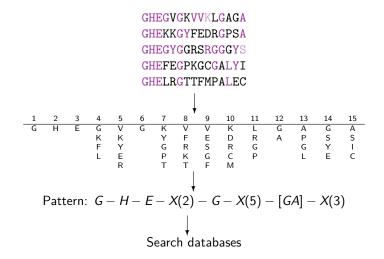


#### Sequence Patterns – Example

The following pattern:  $< A - x - [ST](2) - x(0,1) - \{V\}$  means:

- An Alanine (A) in the first position
- Followed by any amino acid,
- Followed by a Serine (S) or Threonine (T) twice.
- Followed or not by any amino acid.
- Followed by any amino acid except Valine (V).

#### How to Build a Pattern



### Sequence Logo



#### Pros and Cons of Profiles

- Fast and easy to implement and understand.
- Unlike a consensus sequence can accommodate alternative amino acids per position.
- Not sensitive to insertions/deletions.
- Small patterns find a lot of false positives. Long patterns are very difficult to design.

### Searching Similar Sequences Using PSI-BLAST

PSI-Blast = Position Specific Iterated BLAST.

- A standard BLAST search is performed against a database using a substitution matrix (e.g. BLOSUM62).
- A position-specific scoring matrix (PSSM) is constructed automatically from a multiple alignment of the highest scoring hits of the initial BLAST search. High conserved positions receive high scores and weakly conserved positions receive low scores.
- The PSSM replaces the initial matrix to perform a second BLAST search.
- The former steps can be repeated and the new found sequences included to build a new PSSM.
- We say that the PSI-BLAST has converged if no new sequences are included in the last cycle.



### **PSI-BLAST** dangers

- Avoid too close sequences → overfit!
- Can include false homologous! Therefore check the matches carefully: include or exclude sequences based on biological knowledge.
- The E-value reflects the significance of the match to the previous training set, not to the original sequence!
- Choose carefully your query sequence.
- Try reverse experiment to certify.

### ClustalW for Multiple Sequence Alignment

- ClustalW can create multiple alignments, manipulate existing alignments, do profile analysis and create phylogentic trees.
- Scoring alignments by calculating all the pairwise scores and progressively build a tree using a neighbor joining algorithm.
- Alignment can be done by 2 methods: slow/accurate or fast/approximate.

#### State-of-the-art

- MUSCLE MUltiple Sequence Comparison by Log-Expectation. Significantly faster than ClustalW and often gives better results.
- T-Coffee (Tree-based Consistency Objective Function For alignment Evaluation).
- MAFFT (Multiple Alignment using Fast Fourier Transform).

#### General Considerations for MSA

- The more sequences to align the better.
- Don't include similar (> 80%) sequences.
- Sub-groups should be pre-aligned separately, and one member of each subgroup should be included in the final multiple alignment.

#### Sources Cited

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