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1  
2 **Dual function of thalamic low-vigilance state oscillations:**  
3 **rhythm-regulation and plasticity**  
4

5 Vincenzo Crunelli<sup>1,2\*#</sup>, Magor L. Lőrincz<sup>3#</sup>, William M. Connelly<sup>4#</sup>, Francois David<sup>5</sup>, Stuart  
6 W. Hughes<sup>6</sup>, Régis C. Lambert<sup>7</sup>, Nathalie Leresche<sup>7</sup> and Adam C. Errington<sup>8\*</sup>  
7  
8

9 <sup>1</sup>Department of Physiology and Biochemistry, University of Malta, Msida, Malta;  
10 <sup>2</sup>Neuroscience Division, School of Bioscience, Cardiff University, Cardiff, UK; <sup>3</sup>Research  
11 Group for Cellular and Network Neurophysiology of the Hungarian Academy of Sciences,  
12 Department of Physiology, Anatomy, and Neuroscience, University of Szeged, Szeged,  
13 Hungary; <sup>4</sup>Eccles Institute of Neuroscience, John Curtin School of Medical Research,  
14 Australian National University, Canberra, Australia; <sup>5</sup>Lyon Neuroscience Research Center,  
15 CNRS UMR 5292- INSERM U1028-Université Claude Bernard, Lyon, France; <sup>6</sup>Vertex  
16 Pharmaceuticals, Oxford, UK; <sup>7</sup>Sorbonne Universités, UPMC Univ. Paris 06, INSERM,  
17 CNRS, Neurosciences Paris Seine - Institut de Biologie Paris Seine (NPS - IBPS), Paris,  
18 France; <sup>8</sup>Neuroscience and Mental Health Research Institute, School of Medicine, Cardiff  
19 University, Cardiff, UK.  
20  
21

22 #denotes equal contribution  
23

24 \*Correspondence: vincenzo.crunelli@um.edu.mt; erringtonac@cardiff.ac.uk  
25  
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36 **ABSTRACT**

37 **During inattentive wakefulness and non-REM sleep, neocortex and thalamus co-**  
38 **operatively engage in rhythmic activities that are exquisitely reflected in the EEG as**  
39 **distinctive rhythms spanning a range of frequencies, from <1 Hz slow waves to 13 Hz**  
40 **alpha waves. In thalamus, these diverse activities emerge through the interaction of cell-**  
41 **intrinsic mechanisms and local and long-range synaptic inputs. One crucial feature,**  
42 **however, unifies thalamic oscillations of different frequencies: repetitive burst firing**  
43 **driven by voltage-dependent Ca<sup>2+</sup> spikes. Recent evidence reveals that thalamic Ca<sup>2+</sup>**  
44 **spikes are inextricably linked to global somatodendritic Ca<sup>2+</sup> transients and are essential**  
45 **for several forms of thalamic plasticity. Thus, we here propose that alongside their**  
46 **“rhythm-regulation function”, thalamic oscillations of low-vigilance states have a**  
47 **“plasticity function” that, through modifications of synaptic strength and cellular**  
48 **excitability in local neuronal assemblies, can shape on-going oscillations during**  
49 **inattention and non-REM sleep and may potentially reconfigure thalamic networks for**  
50 **faithful information processing during attentive wakefulness.**

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55 From the moment we enter a state of relaxed inattentive wakefulness through to the  
56 deepest stages of non-REM sleep, the human EEG expresses a range of distinctive waves,  
57 progressively increasing in amplitude and decreasing in frequency, the most prominent of  
58 which are the alpha rhythm, sleep spindles, delta waves and slow waves<sup>1</sup> (Fig. 1, left column).  
59 The emergence of these EEG rhythms is reliant upon finely-tuned interactions between  
60 neocortical and thalamic neuronal assemblies, with strong modulation from many subcortical  
61 regions including brain stem and hypothalamus<sup>2,3</sup>. Although in the thalamus these low-  
62 vigilance state-dependent activities are generated by diverse cellular, synaptic and network  
63 mechanisms, intracellular recordings from **thalamocortical (TC) [G]** and **nucleus reticularis**  
64 **thalami (NRT) [G]** neurons highlight a critical common feature: the rhythmic occurrence of  
65 action potential bursts driven by voltage-dependent Ca<sup>2+</sup> spikes<sup>4-10</sup> (Figs. 1, middle and right  
66 columns, & 2). During **sleep spindles [G]**, delta and slow waves of non-REM sleep, these action  
67 potential bursts have high intra-burst frequencies (100-500 Hz) in both TC and NRT neurons  
68 and are driven, following relatively short periods of membrane hyperpolarization, by a Ca<sup>2+</sup>  
69 spike reliant on the opening of low voltage-gated T-type Ca<sup>2+</sup> channels (T-VGCCs)<sup>11</sup>. This  
70 Ca<sup>2+</sup>-spike is commonly known as the low-threshold spike (LTS)<sup>12,13</sup> (Fig. 2 & Box 1). During  
71 alpha waves of relaxed, inattentive wakefulness and theta waves of light non-REM sleep, action  
72 potential bursts in TC neurons have a notably lower frequency (50-70 Hz) and are driven by  
73 high-threshold Ca<sup>2+</sup> spikes (HTSs) (Box 1) that likely involve both T-VGCCs and high voltage-  
74 gated L-type Ca<sup>2+</sup> channels (L-VGCCs)<sup>10</sup> (Figs. 1, middle column, & 2). The near ubiquitous  
75 presence of LTSs and HTSs in TC and NRT neurons during low-vigilance states raises the  
76 question of why individual thalamic neurons are paradoxically engaged in the energetically  
77 expensive generation of rhythmic burst firing<sup>14</sup> during periods of attentional and behavioural  
78 inactivity that are classically associated with energy preservation.

79 Here, we provide an up-to-date synopsis of the roles of LTSs and HTSs in thalamic  
80 oscillations of low-vigilance states and then appraise recent evidence regarding the cellular  
81 mechanism of thalamic LTS generation and the inextricable link between LTSs, T-VGCCs and  
82 global somatodendritic Ca<sup>2+</sup> signalling in TC and NRT neurons. Finally, we review the crucial  
83 involvement of rhythmic LTSs at frequencies relevant to low-vigilance state oscillations in  
84 several forms of thalamic cellular and synaptic plasticity. These recent insights lead us to  
85 propose that, alongside their role in providing an essential contribution to the full expression  
86 of the corresponding EEG rhythm (which hereafter we refer to as the ‘rhythm-regulation  
87 function’), thalamic oscillations of low-vigilance states, through their dependence on global  
88 Ca<sup>2+</sup> spikes, have a ‘plasticity function’ that can modify synaptic strength and intrinsic cellular

89 excitability in thalamic networks to stabilize and control on-going oscillations and potentially  
90 contribute to optimal information processing during attentive wakefulness.

91

## 92 **LTS and HTS role in EEG rhythms**

93 In the nearly 90 years since the first description of a physiologically relevant rhythm in  
94 the human EEG<sup>15</sup>, significant effort has been directed towards gaining a deep understanding of  
95 the mechanisms and physiological significance of EEG waves. The complex picture that has  
96 emerged reveals that, although the source of the EEG signals resides within neocortical  
97 supragranular layers, the rhythm generator(s) of different EEG waves are found within both  
98 the neocortex and thalamus (Fig. 2). In this section, we briefly review the current state of  
99 knowledge regarding the neocortical and thalamic rhythm-generators of delta, slow, spindle  
100 and alpha and theta waves with emphasis on the key role of rhythmic burst firing of thalamic  
101 neurons (for detailed mechanisms of low-vigilance state oscillations, see Refs. 11,16-20).

102 *Delta Waves (0.5-4Hz)*. Under standard conditions, neocortical slices do not express delta  
103 oscillations. However, pharmacological modifications that re-instate the modulatory  
104 neurotransmitter tone found *in vivo* during deep non-REM sleep can produce oscillations at  
105 delta frequency in slices of primary and association cortices, which are mainly driven by  
106 powerful reciprocal excitation of layer 5 intrinsically bursting neurons<sup>21,22</sup>.

107 TC neurons of **first-order [G]**, **higher-order [G]** and **intralaminar thalamic nuclei [G]**,  
108 as well as NRT neurons, can all exhibit relatively short periods of delta oscillations *in vivo*  
109 (usually a few cycles), whereas sustained delta oscillations are consistently observed in  
110 decorticated animals<sup>23,24</sup>. In contrast to the neocortex, delta oscillations in thalamic neurons  
111 occur via **cell-intrinsic mechanisms [G]**. Specifically, the dynamic interaction of T-VGCCs  
112 with hyperpolarization-activated cyclic-nucleotide gated (HCN) channels in TC neurons<sup>4,20,25</sup>  
113 and Ca<sup>2+</sup>-activated K<sup>+</sup> currents in NRT neurons<sup>26</sup> forms the pacemaker mechanism that enables  
114 individual thalamic neurons to elicit LTS-bursts at delta frequency (Figs. 1, middle and right  
115 column, & 2). Consequently, although no study has, as yet, directly investigated the relative  
116 contribution of neocortex and thalamus to EEG delta waves of natural sleep, the presence of  
117 delta frequency-generators in both brain regions suggests that neocortex and thalamus might  
118 both have a role in producing this EEG rhythm (Fig. 2).

119 *Slow (< 1 Hz) Waves*. Together with delta waves, EEG slow waves of stage N3 of non-REM  
120 sleep also contain slow (< 1 Hz) waves<sup>27</sup> that reflect the synchronous, rhythmically alternating

121 depolarized “Up” [G] and hyperpolarized “Down” states [G] observed in almost all neocortical  
122 and thalamic neurons so far investigated *in vivo*<sup>5,6,28-31</sup> and *in vitro*<sup>9,22,32-35</sup>, termed slow (< 1  
123 Hz) oscillations<sup>5</sup> (Fig. 1, middle and right columns). Despite the long-standing view that these  
124 oscillations are generated by intracortical mechanisms and imposed upon a passive thalamus  
125 (reviewed in Ref. 36), it has now been conclusively demonstrated both in naturally sleeping  
126 and anesthetized animals that the full expression of sleep slow waves in the EEG requires active  
127 thalamic participation<sup>30,37</sup>. Thus, whereas both neocortex and thalamus in isolation have  
128 different generators of slow oscillations (see below) (Fig. 2), the co-operation between these  
129 brain regions is essential to generate slow (<1 Hz) waves in the EEG during stage N3 of natural  
130 non-REM sleep.

131 When synaptic transmission is blocked, only a small number of neocortical neurons  
132 exhibit slow (< 1 Hz) oscillations *in vitro*<sup>21,22,38</sup>. Consequently, this activity in neocortical  
133 networks is primarily generated by the interaction between synaptic excitation and  
134 inhibition<sup>22,32</sup>. In contrast, in the TC neurons of sensory, motor and intralaminar thalamic nuclei  
135 slow (<1 Hz) oscillations are generated by a cell-intrinsic mechanism that requires the finely  
136 tuned interplay between the leak K<sup>+</sup> current, the T-VGCC window current (I<sub>Twindow</sub>) [G], the  
137 Ca<sup>2+</sup> activated non-selective cation current (I<sub>CAN</sub>) and the HCN current<sup>9,11,17,39</sup>. A similar  
138 mechanism drives slow (< 1 Hz) oscillations in NRT neurons except for the additional  
139 requirement of Na<sup>+</sup>- and Ca<sup>2+</sup>-activated K<sup>+</sup> currents<sup>34</sup>. Importantly, due to the critical voltage-  
140 dependence of I<sub>Twindow</sub><sup>11,17,39</sup>, slow (< 1 Hz) oscillations in individual TC and NRT neurons can  
141 be easily transformed into delta oscillations (and vice-versa) by altering the membrane  
142 potential and hence the magnitude of I<sub>Twindow</sub><sup>9,33,34</sup> (cf. Figs. 1,2,6-8 in Ref. 34). Notably,  
143 periods of delta oscillations can be observed during the Down states of slow (< 1 Hz)  
144 oscillations in TC and NRT neurons both *in vivo* and *in vitro*<sup>5,6,9,34</sup> (referred to as delta waves  
145 nested within slow waves) (Fig. 1, middle and right column), thus contributing to the  
146 concurrent expression of these two waves in the EEG during stage N3 of natural sleep.

147 Thalamic LTS-bursts have numerous important involvements in slow (< 1 Hz)  
148 oscillations. First, in both TC and NRT neurons the transitions from Down-to-Up state are  
149 always marked *in vitro*, and very often *in vivo*, by the occurrence of an LTS-burst<sup>5,6,9,30,33,34</sup>  
150 (Figs. 1 & 2). Second, as indicated earlier, LTS-bursts at delta frequency can be present during  
151 the Down state of slow (< 1 Hz) oscillations in both TC and NRT neurons<sup>5,6,9,34</sup> (Fig. 1, middle  
152 and right column). Third, LTS-bursts at spindle frequency are observed both during the Up  
153 states and the Up-to-Down state transitions of slow (< 1 Hz) oscillations in single NRT

154 neurons<sup>6,28,34</sup> (Fig. 1, right column), reflecting the presence of spindles in the corresponding  
155 states of sleep slow waves in the EEG<sup>40,41</sup>.

156 *Sleep Spindles (7-14 Hz)*. Originally suggested by Morison and Bassett (1945)<sup>42</sup>, a thalamic  
157 generator for sleep spindles was conclusively demonstrated by studies in the mid/late '80<sup>43,44</sup>.  
158 In subsequent years, *in vitro* experiments showed that the LTS-driven, mutual synaptic  
159 interaction between excitatory TC and inhibitory NRT neurons is the generator of sleep  
160 spindles<sup>7,8</sup> (Fig. 2). Both *in vivo*<sup>43-46</sup> and *in vitro*<sup>7,8</sup>, an LTS is not present at each cycle of the  
161 spindle wave in TC neurons, whereas individual NRT neurons can fire an LTS at each cycle  
162 (Figs. 1, middle and right column, & 2). The neocortex is not equipped with spindle wave-  
163 generating networks, thus elimination of the thalamic input to the neocortex abolishes spindles  
164 in the EEG during natural sleep<sup>43,44,46</sup>. However, the neocortical feedback to TC and NRT  
165 neurons provides essential contributions to some sleep spindle properties<sup>47,45,48</sup>.

166 *Alpha (8-13 Hz) and Theta (4-7 Hz) Waves*. Alpha waves are present in the EEG during relaxed  
167 inattentive wakefulness, i.e. in the behavioural state that falls between fully attentive  
168 wakefulness and stage N1 of non-REM sleep<sup>1,27</sup> (Fig. 1, left column), and also during attentive  
169 perception<sup>49,50</sup>. The mechanisms underlying the alpha waves of these two behavioural states  
170 might be different, and here we will restrict the discussion to those occurring during inattentive  
171 wakefulness. Similarly, we will discuss the theta waves that are present in the EEG of humans  
172 and higher mammals during stage N1 of non-REM sleep<sup>1,27</sup> (Fig. 1, left column) and not those  
173 generated during fully awake conditions<sup>51</sup>, which have different underlying mechanisms.

174 Although occurring during very different behavioural states, alpha waves of inattentive  
175 wakefulness and theta waves of N1 non-REM sleep share a similar mechanism in thalamus. As  
176 shown *in vitro* and *in vivo*<sup>10</sup>, both waves are driven by a subset of gap junction-linked TC  
177 neurons<sup>10,52</sup> that generate HTSs phase-locked to each cycle of the corresponding EEG rhythm  
178 (Figs.1, middle column, & 2) (Box 1). This HTS-burst-based rhythm entrains the firing of local  
179 thalamic interneurons and other non-HTS-bursting TC neurons giving rise to a thalamic output  
180 at alpha or theta frequency, depending on the behavioural state<sup>53</sup>. Significantly, periods of alpha  
181 waves supported at the cellular level by HTS-burst firing are occasionally present during the  
182 Up states of slow (< 1 Hz) oscillations in TC neurons *in vitro*<sup>9,10,33</sup> and *in vivo*<sup>54</sup> (Fig. 1, middle  
183 column). From a functional perspective, inhibition of HTSs and HTS-bursts within a small (<  
184 1 mm<sup>3</sup>) area of lamina A of the dorsal lateral geniculate nucleus (LGN) in freely moving cats  
185 markedly, selectively and reversibly decreases alpha waves in the surrounding thalamic  
186 territory and in the EEG recorded from the primary visual cortex by 90% and 75%,

187 respectively<sup>53</sup>. NRT neurons do not exhibit HTSs and HT-bursts and the firing of the vast  
188 majority (90%) of these neurons is not correlated to the EEG alpha rhythm in freely behaving  
189 cats<sup>53</sup>.

190         Alpha wave-generating intrinsic and network mechanisms, mostly involving layer 5  
191 neurons, have been described in the neocortex *in vitro*<sup>55,56</sup> though no *in vivo* study has  
192 conclusively shown whether these cortical generators play an essential role in the alpha rhythm  
193 of relaxed wakefulness. On the other hand, many studies *in vivo* provide indirect support for a  
194 cortical involvement in “classical” EEG alpha waves<sup>57,58</sup>. Thus, whereas the precise nature of  
195 neocortical alpha-generating networks is at present not clear, it is reasonable to suggest that the  
196 alpha and theta waves that characterize the EEG of relaxed inattentive wakefulness and N1  
197 non-REM sleep, respectively, are strongly, though not exclusively, driven by the thalamic  
198 HTS-burst-generating mechanism described above (Fig. 2).

199

#### 200 **“Rhythm-regulation function”**

201         As summarized in the previous section and illustrated in Fig. 2, intrinsic and network  
202 generators exist in both neocortex and thalamus which are capable of locally eliciting  
203 oscillations at alpha and theta, spindle, slow and delta frequency. However, simply on the basis  
204 of the structurally widespread and functionally powerful reciprocal connections between  
205 neocortex and thalamus it would be unreasonable to argue that the alpha, theta, spindle, slow  
206 and delta rhythms recorded in the EEG during low-vigilance states solely and uniquely rely on  
207 the rhythm-generating processes of one of these brain regions without any contribution from  
208 the other. Indeed, in all studies where this question has been directly addressed under  
209 unrestrained fully behaving conditions (see earlier discussion) the EEG rhythms of low-  
210 vigilance-states have been found to be either modulated, regulated or controlled (to various  
211 degrees and in different properties) by neocortex and/or thalamus. Thus, as neocortical  
212 dynamics affects thalamically-generated oscillations so does thalamic activity influence  
213 neocortically-generated waves, with these interactions facilitating/reinforcing the overall  
214 synchrony in large thalamic and cortical neuronal populations<sup>59</sup>. Notably, the extent of this  
215 “rhythm-regulation function” of thalamic low-vigilance state oscillations varies greatly among  
216 different EEG rhythms, ranging from the strong rhythm imposed on the neocortex by the  
217 thalamically-generated sleep spindles to the more subtle thalamic modulation of slow  
218 oscillations recorded in neocortex. Within this scenario, therefore, referring to some of these

219 EEG rhythms as “thalamic spindles” or “cortical slow oscillation” is misleading unless  
220 appropriately qualified and has contributed to inaccurate views on their mechanisms.

221

## 222 **Mechanisms of LTS generation**

223 As illustrated in the previous sections, the importance of LTS-bursts of TC and NRT  
224 neurons for low-vigilance-state oscillations has been known for several decades. However, the  
225 precise site of generation of LTSs and the extent of their propagation through the  
226 somatodendritic tree of thalamic neurons have remained unclear. Early experiments in inferior  
227 olive neurons (another class of LTS-bursting neurons) proposed a somatic and/or perisomatic  
228 origin for LTSs<sup>60</sup>, aligning them with fast Na<sup>+</sup>-action potentials that originate in the axon initial  
229 segment before spreading to the soma and dendrites<sup>61</sup>. In contrast, subsequent *in vitro* studies  
230 indicated that the majority of T-VGCCs underlying thalamic neuron LTSs are in the  
231 dendrites<sup>62-66</sup>, a finding seemingly incompatible with a perisomatic origin. Indeed,  
232 computational models demonstrated that thalamic LTS-bursts can be most readily reproduced  
233 with T-VGCCs located in the dendrites<sup>67,68</sup>. Therefore, until recently, it has generally been  
234 assumed that LTSs are locally initiated in thalamic neuron dendrites. However, *in vitro*  
235 experiments combining dendritic patch clamp recordings and 2-photon Ca<sup>2+</sup> imaging from TC  
236 and NRT neurons with computational modelling have now invalidated this assumption. In fact,  
237 unlike the focal mechanisms (i.e. initiation in a specific subcellular region) that underlie other  
238 all-or-none neuronal signals (e.g. Na<sup>+</sup>-action potentials, dendritic Ca<sup>2+</sup> or NMDA spikes<sup>69,70</sup>),  
239 LTSs are generated by a unique global mechanism that requires depolarization of the whole  
240 cell and simultaneous widespread recruitment of spatially distributed T-VGCCs<sup>68</sup> (Fig. 3a,b).  
241 This is made possible by the specific **electrotonic [G]** properties of TC and NRT neurons (Box  
242 2). Therefore, in thalamic neurons LTSs cannot be focally generated in dendrites and are unable  
243 to be spatially constrained to specific subcellular compartments, as is the case, for example, for  
244 dendritic Ca<sup>2+</sup> spikes in cortical neurons<sup>69,70</sup>.

245 This mechanism inextricably links LTSs in thalamic neurons to synchronous, transient  
246 increases in intracellular Ca<sup>2+</sup> concentration throughout the entire somatodendritic tree<sup>64,68</sup>. As  
247 such, whenever an LTS is recorded at the soma of TC and NRT neurons it is also  
248 simultaneously present along their whole somatodendritic axis (Fig. 3a) and this process is  
249 accompanied by a transient and substantial increase in intracellular Ca<sup>2+</sup> throughout the entire  
250 dendritic tree (Fig. 4). This ‘whole cell LTS Ca<sup>2+</sup> transient’ ( $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$ ) is mediated by T-  
251 VGCCs, with a contribution from L-VGCCs in TC neurons<sup>71</sup> and voltage-gated R-type Ca<sup>2+</sup>

252 channels in NRT neurons<sup>72</sup>, but does not rely on dendritic **backpropagating action potentials**  
253 **[G]** (bAPs), as demonstrated by its insensitivity to tetrodotoxin<sup>62,64,71</sup>. In fact, when TC and  
254 NRT neurons are depolarized (and thus T-VGCCs are mostly inactivated), action potentials  
255 backpropagate very inefficiently into the dendritic tree<sup>62,64,72,73</sup> (Fig. 3b). As a result, bAP-  
256 evoked Ca<sup>2+</sup> transients in thalamic neurons, unlike  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$ , are spatially restricted to the  
257 soma and proximal dendrites<sup>62,64,71,74</sup> (Fig. 4b). Significantly,  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$  have now been  
258 demonstrated in TC neurons of the rat LGN, ventrobasal (VB) and posterior medial (PoM)  
259 nuclei<sup>64,67</sup>, cat medial geniculate body (MGB)<sup>74</sup> and in mouse and rat NRT neurons<sup>62,75,76</sup>,  
260 highlighting their conservation in both glutamatergic and GABAergic neurons as well as in  
261 functionally different thalamic nuclei and across species. Due to the known similarities in  
262 morphological and electrophysiological properties of TC neurons in limbic and intralaminar  
263 thalamic nuclei, it would seem unlikely that global  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$  will not be present in these  
264 thalamic populations.

265 In summary, during low-vigilance states, where rhythmic LTSs predominate, burst  
266 firing of both TC and NRT neurons is associated with global somatodendritic intracellular Ca<sup>2+</sup>  
267 signalling, whereas during attentive wakefulness, where tonic firing is more typical, Ca<sup>2+</sup>  
268 signalling is spatially constrained, a feature with important consequences for thalamic function  
269 (see below).

270

### 271 $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$ phase-locked to waves

272 In many neurons, when action potentials backpropagate into the dendrites, their  
273 interspike intervals are often considerably shorter than the time required for subsequent Ca<sup>2+</sup>  
274 extrusion/buffering and as a consequence Ca<sup>2+</sup> can accumulate progressively during spike  
275 trains<sup>64,70</sup>. In contrast, the long refractory period of the LTS (determined by the inactivation  
276 and recovery from inactivation of T-VGCCs)<sup>77</sup> relative to the decay time of individual  
277  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$  (determined by Ca<sup>2+</sup> uptake by sarco/endoplasmic reticulum Ca<sup>2+</sup> ATPases<sup>64,74</sup>)  
278 prevents summation of  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$  and substantial Ca<sup>2+</sup> accumulation. Indeed, as it has been  
279 demonstrated directly in TC neurons of the cat MGB *in vitro*, rhythmic  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$  are tightly  
280 phase-locked to LTS-bursts of both delta and slow (< 1 Hz) membrane potential oscillations<sup>74</sup>  
281 (Fig. 4c). Significantly,  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$  during slow (< 1 Hz) oscillations have longer decay times  
282 than during delta oscillations<sup>74</sup> (Fig. 4c), probably as a result of the activation of I<sub>CAN</sub> and  
283 I<sub>Twindow</sub> during the former, lower frequency activity<sup>9,17,39</sup>. It is tempting, therefore, to speculate

284 that  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$  transients associated with oscillations of different frequencies may serve  
285 diverse roles in thalamic neurons, as we previously suggested<sup>36</sup>.

286 Although it is yet to be demonstrated, the requirement of LTSs in TC and NRT neurons  
287 for sleep spindle generation strongly suggests that rhythmic  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$  should also occur  
288 during these oscillations. Since NRT neurons can fire LTS-bursts at spindle frequency, it will  
289 be interesting to determine whether the main T-VGCC subtype ( $\text{Ca}_v3.3$ )<sup>77,78</sup> and  $\text{Ca}^{2+}$   
290 buffering/uptake processes of these GABAergic neurons permit  $\text{Ca}^{2+}$  oscillations during  
291 spindles or whether, unlike delta and slow ( $< 1$  Hz) oscillations,  $\text{Ca}^{2+}$  will accumulate in NRT  
292 dendrites.

293 Unlike LTSs, the mechanism(s) underlying the generation of the HTSs that underlie  
294 alpha waves of inattentive wakefulness and theta waves of stage N1 sleep in TC neurons<sup>10,53</sup>  
295 still remain somewhat elusive. Nevertheless, the partial contribution of T-VGCCs to HTSs<sup>10</sup>  
296 (Fig. 2) (Box 1) indicates that they may share a mechanism similar to LTSs and require  
297 involvement of dendritic  $\text{Ca}^{2+}$  channels. Indeed, individual HTSs are associated with  
298 significant dendritic  $\text{Ca}^{2+}$  transients (unpublished observations), although the somatodendritic  
299 membrane potential changes and  $\text{Ca}^{2+}$  signals that accompany HTSs at alpha and theta  
300 frequencies remain to be determined.

301

### 302 **New function of thalamic oscillations**

303 So far we have outlined the essential contribution of thalamic low-vigilance state  
304 oscillations to the full expression of these rhythms in the EEG (i.e. their “rhythm-regulation  
305 function”) and the critical involvement of  $\text{Ca}^{2+}$  spike-dependent burst firing in these thalamic  
306 oscillations. The question then arises as to why these oscillations use the energetically more  
307 expensive LTSs (with accompanying  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$ ) and HTSs and not single (or trains of) action  
308 potentials<sup>14</sup> during behavioural states which are commonly associated with energy  
309 preservation. One answer might be that, compared to tonic action potentials, bursts provide a  
310 higher reliability of signal transmission<sup>79–82</sup> since they are less sensitive to noise<sup>83</sup>, and more  
311 effectively trigger responses in some classes of neocortical neurons<sup>84–86</sup>, probably by  
312 selectively engaging the resonance properties of the postsynaptic cells<sup>87</sup>. However, recent  
313 studies (see next section) that have investigated the impact of rhythmic LTSs for synaptic and  
314 cellular plasticity in thalamic neurons suggest a different, though complementary, answer to  
315 this energy conundrum, which leads us to propose a novel ‘plasticity function’ for thalamic  
316 oscillations of low-vigilance states. Note that, whereas below we are exclusively discussing

317 plasticity mechanisms elicited by rhythmic LTSs at frequencies relevant to low-vigilance state  
318 oscillations, isolated LTS-bursts do occur in TC neurons of sensory thalamic nuclei during  
319 attentive wakefulness<sup>79,88,89</sup>. Whether LTS-dependent plasticity may also occur in thalamus  
320 during the latter behavioural state remains to be demonstrated.

321

### 322 **LTS-dependent thalamic plasticity**

323 Hebbian plasticity requires temporal association between pre- and postsynaptic activity  
324 to modify synaptic strength, and several Hebbian cellular learning processes that require bAPs  
325 have been identified that can enhance or reduce synaptic efficacy based on the timing between  
326 bAPs and postsynaptic potentials<sup>90</sup>. Similarly, a number of non-Hebbian learning rules that do  
327 not rely on temporal association of pre- and postsynaptic activity have also been described<sup>91</sup>.  
328 The weak bAPs of TC and NRT neurons<sup>62,73</sup> (Fig. 3a,b) cannot alone strongly depolarize the  
329 dendritic tree and are thus unlikely to be a reliable mechanism for induction of Hebbian  
330 synaptic plasticity in these neurons. In contrast, the global and substantial depolarization  
331 provided by the LTS and the associated somatodendritic  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$  (Figs. 3 & 4) are strong  
332 candidates for mechanisms of plasticity in thalamic neurons, as indicated by the *in vitro* studies  
333 summarized below.

334 *Inhibitory synaptic plasticity.* GABAergic synapses (of presumed NRT origin) onto TC  
335 neurons of the PoM nucleus have been shown to undergo non-Hebbian long-term potentiation  
336 (iLTP)<sup>71</sup> (Fig. 5a). This plasticity occurs via retrograde signalling by nitric oxide (NO) (whose  
337 production is stimulated by postsynaptic  $\text{Ca}^{2+}$  entry) to presynaptic NO-dependent guanylyl  
338 cyclase. This  $\text{Ca}^{2+}$ -dependent iLTP is reliant upon postsynaptic L-VGCCs (since it is abolished  
339 by the L-VGCC blocker nimodipine) and is induced by repetitive LTSs at slow oscillation  
340 frequency (0.1 Hz for 10 min) but not by tonic action potential firing. Interestingly, delivering  
341 LTSs at delta frequency (1 or 5 Hz) drastically reduces (by 60%) or fails to elicit iLTP,  
342 respectively. At first glance, a plasticity that requires L-VGCCs and occurs during LTS-  
343 bursting but not tonic firing seems counterintuitive. However, when considering the spatial  
344 distribution of GABAergic synapses across the TC neuron dendritic tree<sup>92</sup>, alongside the global  
345 mechanism of LTS generation<sup>68</sup> and strong attenuation of bAPs in thalamic neurons<sup>62,73</sup>, the  
346 picture becomes clear. As such, whereas L-VGCCs are crucial for this form of iLTP at  
347 GABAergic synapses on TC neurons, they can only be recruited by the robust global membrane  
348 potential depolarization provided by T-VGCC-dependent LTSs ( $\Delta V$  in Fig. 5, panel a) and not  
349 by weakly depolarizing bAPs.

350 An LTS-dependent inhibitory long-term depression (iLTD) has been described at the  
351 NRT-to-TC neuron synapses in the VB nucleus<sup>93</sup> (Fig. 5b). Unlike iLTP, which can be induced  
352 by postsynaptic LTSs without pairing to synaptic activity, iLTD requires coincident activation  
353 of synaptic input with rhythmic postsynaptic LTSs and is elicited using a short (70 sec) protocol  
354 that reproduces delta waves nested within slow (< 1 Hz) oscillations, i.e. 7 trains of LTSs, with  
355 each train containing 4 LTSs at delta frequency (1.6 Hz) and being delivered at 0.1 Hz (cf. Fig.  
356 1, middle column). Consequently, despite the LTS-dependent induction of a global  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$   
357 in TC neurons and unlike iLTP where all inhibitory synapses are potentiated, only synapses  
358 activated during the induction protocol undergo iLTD. Critically, iLTD, unlike iLTP, is not  
359 triggered by recruitment of high voltage  $\text{Ca}^{2+}$  channels. In fact, even when evoked dendritic  
360 high-voltage  $\text{Ca}^{2+}$  transients match the amplitude and spatial extent of those observed during  
361 T-VGCC activation, iLTD is absent, suggesting a specific signalling pathway requiring T-  
362 VGCCs. Finally, this form of iLTD requires the  $\text{Ca}^{2+}$ -phosphatase calcineurin and is of both  
363 homosynaptic and heterosynaptic origin since it is gated by activation of metabotropic  
364 glutamate receptors of TC neurons via glutamate released from corticothalamic afferents.

365 Thus, two forms of plasticity exist at GABAergic NRT-TC synapses that can potentiate  
366 or depress them depending on TC neuron burst-firing frequency. In particular, since iLTP is  
367 preferentially elicited by rhythmic LTSs at 0.1 Hz whereas iLTD by LTSs at 1.6 Hz it is  
368 possible that during sleep slow waves NRT-TC synapses may be strengthened by slow (< 1  
369 Hz) oscillations and weakened by delta (0.5-4 Hz) waves nested within slow oscillations.

370 *Excitatory synaptic plasticity.* As well as plasticity at thalamic inhibitory synapses, excitatory  
371 synapses onto TC and NRT neurons have also been found to undergo LTS-dependent forms of  
372 LTP. At the synapses of VB TC neurons onto NRT neurons, pairing presynaptic input with  
373 postsynaptic LTS-bursts results in LTP<sup>94</sup> (Fig. 5c). This plasticity requires GluN2B NMDA  
374 receptor subunits and cannot be triggered if the postsynaptic depolarization is provided by  $\text{Na}^{+}$ -  
375 dependent firing without T-VGCC activation or if LTSs are suppressed by genetic ablation of  
376 Cav3.3 channels. Moreover, the TC-NRT LTP is selectively evoked by postsynaptic LTS-  
377 bursts at delta frequency (1 Hz for 3 or 6 min), providing further evidence for potential T-  
378 VGCC- and LTS-dependent thalamic plasticity during non-REM sleep.

379 At the cortico-thalamic synapses on VB TC neurons, Hsu et al.<sup>95</sup> have described LTP  
380 induction by LTS-bursts (at 0.167 Hz) but not by high frequency (125 Hz) tonic action  
381 potentials. The same group previously reported Hebbian NMDA-dependent LTP and non-  
382 Hebbian L-VGCC-dependent LTD selectively at cortico-thalamic but not lemniscal synapses

383 on VB TC neurons<sup>96</sup>. Interestingly, both forms of plasticity require postsynaptic depolarization  
384 which, under physiological conditions, can only be provided in thalamic neurons by LTSs, and  
385 possibly HTSs, but not by bAPs<sup>68</sup>.

386 *Electrical synapse plasticity.* Rhythmic LTS-burst firing elicited at delta frequency (2 Hz for 5  
387 min) in either one or both of paired-recorded, connexin-36-coupled NRT neurons can trigger  
388 robust LTD of the gap-junction coupling strength<sup>97</sup> (Fig. 5d). This gap-junction coupling LTD  
389 requires  $\text{Ca}^{2+}$  entry through voltage-gated channels<sup>98</sup> but is insensitive to tetrodotoxin<sup>97</sup>,  
390 demonstrating that LTSs are capable of inducing gap-junction plasticity even in the absence of  
391 action potentials. On the other hand, although spike trains delivered from depolarized potentials  
392 also evoke gap-junction LTD, the magnitude is smaller (by 50%) than that induced by repetitive  
393 LTSs. It is possible that the difference in LTD strength associated with each firing mode relates  
394 to the spatial distribution of gap-junctions on NRT neuron dendrites<sup>99</sup>, i.e. LTSs might  
395 modulate electrical synapses throughout the dendritic tree, whereas bAPs can only affect those  
396 relatively close to the soma.

397 *Cell-intrinsic plasticity.* Together with a role for plasticity at chemical and electrical thalamic  
398 synapses, LTSs can also induce short-lasting plasticity of intrinsic excitability in TC neurons.  
399 Rhythmic  $\text{Ca}^{2+}$  entry during repetitive LTSs at delta/spindle frequency (2 - 8 Hz for 5 sec)  
400 stimulates the release of cAMP which in turn causes increased activation of HCN  
401 channels<sup>100,101</sup> (Fig. 5e). This effect outlasts the period of LTS-dependent cellular  $\text{Ca}^{2+}$   
402 elevation, thus creating a form of ‘short-term cellular plasticity’ that restrains LTS-burst  
403 generation in TC neurons and should help shaping thalamic spindle and delta oscillations and  
404 thus, in turn, the corresponding EEG rhythms.

405

## 406 **The “plasticity function”**

407 In the sections above, we have presented a framework by which thalamic oscillations  
408 of low-vigilance states, by virtue of their rhythmic LTS-dependent global somatodendritic  
409 depolarization and  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$ , can serve a ‘plasticity function’. A likely setting where this  
410 ‘plasticity function’ may be operational is the homeostatic regulation of thalamic circuits  
411 during sleep. Homeostatic modification of synaptic strength is a common feature of current  
412 theories of sleep function<sup>102–104</sup>, suggesting downscaling of strength at particular synapses  
413 during sleep, whilst preserving enhanced strength at synapses that had been strongly activated  
414 by novel features during the preceding period of wakefulness. Indeed, evidence in support of  
415 these views are starting to accumulate for neocortical synapses<sup>105–107</sup>. Like their neocortical

416 counterparts, thalamic neurons receive continuous synaptic bombardment during wakefulness  
417 from peripheral, subcortical and cortical inputs. Consequently, modifications of intrathalamic  
418 synaptic strength may occur during wakefulness that could require re-scaling during  
419 subsequent periods of inattention, and the previously described forms of intrathalamic  
420 plasticity associated with the rhythmic occurrence of LTSs during low-vigilance state  
421 oscillations offer different mechanisms for such homeostatic modifications in thalamic  
422 neuronal assemblies.

423 Moreover, the diverse induction rules for synaptic and intrinsic plasticity across  
424 thalamic cell types and synaptic connections that have been demonstrated for low-vigilance  
425 state oscillations suggest that another context where the ‘plasticity function’ might be operating  
426 is the modulation of the very same on-going oscillations. For example, GABAergic NRT-TC  
427 synapses may be either potentiated or depressed depending upon whether the postsynaptic cell  
428 is preferentially expressing LTSs at slow (<1 Hz) oscillations<sup>71</sup> or nested delta waves<sup>93</sup>  
429 frequency, respectively (Fig. 5a,b). This bidirectional plasticity may allow TC neuron slow  
430 oscillations to strengthen NRT-TC synapses, leading in turn to larger IPSPs, more robust post-  
431 inhibitory rebound LTS-bursts and enhanced propagation of spindles to the neocortical-  
432 hippocampal axis for active participation in memory processes. Subsequent periods of nested  
433 delta oscillations, as they occur during sleep slow waves could then **rescale [G]** NRT-TC  
434 synapses to ensure continuous optimal transmission. Some of these thalamic plasticity  
435 mechanisms may be operative in the recently described essential and instructive role of delta  
436 and spindle waves in visual cortex plasticity<sup>108</sup>.

437

### 438 **Concluding remarks**

439 In summary, currently available evidence indicates that together with the well-accepted  
440 “rhythm-regulation function”, thalamic oscillations of relaxed wakefulness and non-REM  
441 sleep can have a “plasticity function” that, by virtue of their rhythmic LTSs and associated  
442 global somatodendritic Ca<sup>2+</sup> calcium transients, can modify the strength of excitatory and  
443 inhibitory synapses in local thalamic neuronal assemblies.

444 Clearly, in order to build a comprehensive picture of the proposed ‘plasticity function’  
445 of thalamic low-vigilance state oscillations further investigations are needed. First, the specific  
446 type(s) of oscillations that trigger different forms of plasticity should be systematically  
447 assessed. Specifically, iLTP has only been tested at slow and delta but not spindle frequency<sup>71</sup>,  
448 iLTD was studied at delta but not at other oscillation frequencies<sup>93</sup>, and the LTP at TC-NRT  
449 synapses<sup>94</sup> and the LTD at the NRT-NRT electrical synapses<sup>97</sup> have been investigated only

450 with a delta frequency induction protocol. Second, to help understanding thalamic sensory  
451 processing and the increasingly recognized role of the thalamus in cognition<sup>109</sup>, how  
452 generalizable are these  $\text{Ca}^{2+}$  spike-dependent plasticity mechanisms across different thalamic  
453 nuclei? For example, iLTP has been described in the higher-order PoM nucleus but has not  
454 been investigated in first-order thalamic nuclei<sup>71</sup> whereas iLTD has been demonstrated in the  
455 first-order VB nucleus but not in higher-order nuclei<sup>93</sup>. Moreover, is any of these (or any other)  
456 plasticity mechanisms occurring in motor, limbic and intralaminar thalamic nuclei? Third, how  
457 synapse-specific is the  $\text{Ca}^{2+}$ -spike induced plasticity within particular nuclei? For instance, it  
458 remains to be seen whether the iLTP in the PoM nucleus involves NRT afferents and/or other  
459 non-thalamic GABAergic inputs (zona incerta, anterior pretectal nucleus, basal forebrain,  
460 hypothalamus<sup>2,110</sup>). Furthermore, it may be possible that the parvalbumin- and somatostatin-  
461 containing subsets of NRT neurons<sup>111,112</sup>, which have different spatial distribution,  
462 physiological properties and targets<sup>112,113</sup>, experience different forms of plasticity. Fourth,  
463 plasticity should be tested using induction protocols that more faithfully reproduce the complex  
464 dynamics of natural low-vigilance state oscillations, i.e. spindle waves nested within slow (< 1  
465 Hz) oscillations, alpha waves occurring during slow oscillation Up states, etc. Importantly,  
466 would the longer somatodendritic  $\text{Ca}^{2+}$  signals of the slow (< 1 Hz) oscillation produce  
467 different synaptic or cell-intrinsic plasticity compared to the more rapid  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$  of delta  
468 oscillations (cf. Fig. 4c)? Undoubtedly, the most necessary, though technically demanding,  
469 challenge, however, will be to move beyond *in vitro* approaches and investigate these forms of  
470 thalamic plasticity induced by low-vigilance state oscillations under natural waking-sleeping  
471 conditions and thus identify their behavioural consequences.

472

473 **Box 1. The high-threshold spike.**

474 High-threshold spikes (HTSs) of TC neurons are small, brief depolarizations that occur at  
475 membrane potentials slightly more depolarized than tonic firing (a,b). They were originally  
476 identified with extracellular and intracellular recordings *in vitro* and extracellular recordings in  
477 freely moving cats during relaxed wakefulness<sup>10</sup>. HTSs are present in about 30% of TC neurons  
478 in visual, somatosensory and motor thalamic nuclei of mice, rats and cats (other thalamic nuclei  
479 have not yet been investigated)<sup>10,16,52,53</sup> (a,b,d) and their presence has now been conclusively  
480 confirmed by *in vivo* intracellular recordings in awake mice (e). Though the voltage waveform  
481 of HTSs is entirely contained within membrane potentials > -55 mV (a,b,d,e), they are  
482 generated by the opening of probably both T- and L-type voltage-gated Ca<sup>2+</sup> channels<sup>10</sup>. The  
483 HTSs of TC neurons in the dorsal lateral geniculate nucleus are phase-locked to the thalamic  
484 local field potential (LFP) *in vitro* (d) and to the alpha-frequency LFP recorded simultaneously  
485 in the primary visual cortex *in vivo* during relaxed wakefulness (e). The burst of action  
486 potentials generated by an HTS, i.e. the HTS-burst, is markedly different from the burst elicited  
487 by a low-threshold spike, i.e. the LTS-burst, in that it has i) an intra-burst frequency between  
488 50 and 70 Hz (b,c), and ii) a constant inter-spike interval (ISI) (b,c)<sup>10,16</sup>, i.e. it lacks the  
489 characteristic decelerando pattern of LTS-bursts in TC neurons. Notably, extracellularly  
490 recorded bursts of action potentials with identical features to those of HTS-bursts have been  
491 reported in motor thalamic nuclei of awake monkey<sup>114</sup> and humans<sup>115</sup>.

492

493 **Box 2. The global low-threshold spike.**

494 Simultaneous activation of T-VGCCs at spatially distant locations relies on thalamic neuron  
495 distinctive electrotonic properties. Dendrites are electrically distributed elements and thus,  
496 when they receive input locally, membrane voltage gradients emerge between different points  
497 within the tree. At the opposing ends of a typical dendrite, the non-symmetric ‘boundary  
498 conditions’, represented by the large electrically ‘leaky’ soma and the thin, significantly less  
499 ‘leaky’ sealed dendritic tip, ensure that local membrane potential changes attenuate and shift  
500 in phase significantly more when they spread in the dendrite-to-soma direction (left diagram:  
501 red electrode to blue electrode) than in the opposite direction (left diagram: blue electrode to  
502 green electrode). Consequently, viewed from the soma, most neurons appear somewhat  
503 electrically compact. Although first predicted in computational models, it has only recently  
504 been revealed using dendritic patch clamp recordings that this effect is particularly strong for  
505 TC ( $L = 0.24\lambda$ ) and NRT ( $L = 0.26\lambda$ ) neurons<sup>68</sup>. Thus, whereas their dendritic trees may be  
506 large in physical space, in electrotonic space they appear small. As a result, from the somatic  
507 viewpoint, TC and NRT neurons behave almost as if they do not have dendrites at all and more  
508 like an isopotential sphere. Consequently, as the soma is depolarized by a synaptic input or  
509 experimentally through current injection (right diagram: blue electrode), the membrane  
510 potential in the entire dendritic tree (right diagram: red and green electrodes) follows with very  
511 little amplitude-attenuation or phase-shift between the somatic and dendritic voltage (at least  
512 at low frequencies). This permits co-incident activation of T-VGCCs expressed throughout the  
513 dendritic tree which results in a global somatodendritic LTS and  $\Delta[\text{Ca}^{2+}]_{\text{LTS}}$ . Importantly, when  
514 the membrane potential is changing more rapidly than during an LTS, such as during action  
515 potentials, the membrane capacitance and axial resistance act as low-pass filters, leading to the  
516 significant attenuation of bAPs.

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522 **Figure 1. Cellular thalamic counterparts of EEG rhythms of relaxed wakefulness and**  
523 **non-REM sleep.**

524 Representative intracellular recordings from thalamocortical (TC) (middle column) and  
525 nucleus reticularis thalami (NRT) (right column) neurons depicting the membrane potential  
526 changes occurring in these neurons during the respective EEG rhythms shown in the left  
527 column (N1-N3: non-REM sleep stages<sup>27</sup>). Sleep spindles can occur in isolation or following  
528 a K-complex. A K-complex in the EEG results from a single cycle of the slow (< 1 Hz)  
529 oscillations. In the TC neuron column, yellow boxes highlight alpha and delta oscillations  
530 nested in the Up and Down state, respectively, of slow (< 1 Hz) oscillations in N3. In the NRT  
531 neuron column, yellow boxes highlight spindle waves in the Up state and delta oscillations in  
532 the Down state, respectively, of slow (< 1 Hz) oscillations in N3. NRT neurons do not express  
533 firing coherent with alpha/theta waves (wake state and N1). Action potentials in the traces  
534 depicted in the middle and right column have been truncated for clarity of illustration. Adapted  
535 with permission from Refs. 10,33,34,46,116-118.

536

537 **Figure 2. Contribution of T-type Ca<sup>2+</sup> channels to low-vigilance state oscillations.**

538 Schematic drawings of EEG waves of low-vigilance states with indicated brain regions  
539 of their rhythm generator(s) (top row). Schematic drawings of membrane potential oscillations  
540 in thalamocortical (TC) (bottom row) and nucleus reticularis thalami (NRT) neurons (middle  
541 row) during different low-vigilance states, with shadowed area highlighting the contribution  
542 of T-type voltage-gated Ca<sup>2+</sup> channels in each activity. NRT neurons do not exhibit HTSs and  
543 their firing is not correlated to the EEG alpha rhythm. In most traces, action potentials have  
544 been truncated for clarity of illustration.

545

546 **Figure 3. Low-threshold spikes and action potentials in thalamic neurons.**

547 a) In both thalamocortical (TC) and nucleus reticular thalami (NRT) neurons, paired  
548 somatodendritic recordings reveals that the low- threshold spike (LTS) depolarizes the entire  
549 dendritic tree to the same degree as the soma reflecting the global nature of its generation. The  
550 somatic (blue) and proximal (red) and distal (green) dendritic recordings illustrate the similar  
551 amplitude of the LTS throughout the dendritic tree. b) In contrast, action potentials are  
552 markedly attenuated in both thalamic cell types as they propagate from the soma (blue) into  
553 the proximal (red) and distal (green) dendrites. This can also be observed for the action

554 potentials in the LTS-driven bursts (a). A distance-dependent increase in the peak latency of  
555 the action potential recorded in the dendritic recordings reveals that they are focally generated  
556 in the perisomatic region. Adapted with permission from Ref. 73.

557

558 **Figure 4. Ca<sup>2+</sup> signalling in thalamic neurons during non-REM sleep oscillations.**

559 a) Two-photon Ca<sup>2+</sup>-imaging of pairs of thalamocortical (TC) neuron dendrites (each  
560 originating from different primary dendrites as illustrated on the reconstructed cell) reveals that  
561 synchronous and remarkably similar Ca<sup>2+</sup> transients occur at equivalent distances from the  
562 soma during low-threshold spikes (LTSs). b) Schematic illustration of the dendritic Ca<sup>2+</sup>  
563 transients that occur in TC and nucleus reticularis thalami (NRT) neurons during LTSs and  
564 single action potentials. c) Schematic illustration of dendritic Ca<sup>2+</sup> signalling in TC neurons  
565 during non-REM sleep oscillations. Membrane potential oscillations at delta and slow (< 1 Hz)  
566 frequencies (light blue, top traces) in TC neurons are coupled to synchronous dendritic Ca<sup>2+</sup>  
567 oscillations in proximal (red) and distal (green) dendrites. Notably, Ca<sup>2+</sup> transients throughout  
568 the dendritic tree decay significantly more slowly during slow (< 1 Hz) than delta oscillations.  
569 Adapted with permission from Refs. 64,74.

570

571 **Figure 5. Low-threshold Ca<sup>2+</sup> spike-dependent plasticity in thalamus.**

572 Schematic drawings of the mechanisms of different forms of synaptic and cellular plasticity  
573 elicited by rhythmic low-threshold spikes (LTSs) (and associated Ca<sup>2+</sup> transients) at  
574 frequencies relevant to oscillations of low vigilance states. a) Inhibitory long-term potentiation  
575 (iLTP) at GABAergic NRT-TC neuron synapses. Note the T-VGCC-elicited depolarization  
576 ( $\Delta V$ ) driving activation of L-VGCCs. b) Inhibitory long-term depression (iLTD) at GABAergic  
577 NRT-TC neuron synapses. Note the requirement for metabotropic glutamate receptor (mGluR)  
578 activation by glutamate released from cortical (CX) afferents. c) Excitatory long-term  
579 potentiation (LTP) at glutamatergic TC-NRT neuron synapses. d) Long-term depression (LTD)  
580 at electrical NRT-NRT neuron synapses. e) Cellular plasticity of intrinsic HCN channels in TC  
581 neurons lead to increased I<sub>h</sub> ((+) in inset).

582

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- 871

872 **TOC Summary**

873 During inattentive wakefulness and non-REM sleep thalamic neurons exhibit diverse rhythmic  
874 activities that are essential for the expression of the corresponding EEG rhythm, e.g. alpha,  
875 spindle, delta and slow waves. In this perspective, Crunelli and colleagues propose that  
876 together with this “rhythm-regulation function”, thalamic oscillations of these low-vigilance  
877 states have a “plasticity function” that, by virtue of their calcium spikes and associated global  
878 somatodendritic calcium transients, modifies the strength of excitatory and inhibitory synapses  
879 in local neuronal assemblies.

880

881

882 **Corresponding Authors Contributions:**

883 **Vincenzo Crunelli**

884 Substantial contribution to discussion of content

885 Writing

886 Review/Editing of manuscript before and after submission

887 **Adam (C) Errington**

888 Substantial contribution to discussion of content

889 Writing

890 Review/Editing of manuscript before submission

891

892 **Contributing Author Contributions:**

893 **Magor (L) Lorincz**

894 Researching data for article

895 Substantial contribution to discussion of content

896 Review/Editing of manuscript before submission

897 **William (M) Connelly**

898 Substantial contribution to discussion of content

899 Review/Editing of manuscript before submission

900 **Francois David**

901 Substantial contribution to discussion of content

902 Review/Editing of manuscript before submission

903 **Stuart (W) Hughes**

904 Substantial contribution to discussion of content

905 Review/Editing of manuscript before submission

906 **Regis (C) Lambert**

907 Substantial contribution to discussion of content

908 Review/Editing of manuscript before submission

909 **Nathalie Leresche**

910 Substantial contribution to discussion of content

911 Review/Editing of manuscript before submission

912

913

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915 in Vertex Pharmaceuticals. All other authors declare no Competing Financial Interests.

916 .

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924

925 **Glossary**

926 • **Thalamocortical neurons:** Glutamatergic thalamic neurons that project to the  
927 neocortex.

928

929 • **Nucleus reticularis thalami neurons:** GABAergic neurons of this thin, laterally  
930 located, thalamic nucleus that do not project to the neocortex.

931

932 • **Sleep spindles:** Oscillatory brain activity that constitutes an EEG hallmark of non-rem  
933 sleep and consists of waxing-and-waning 7-14 Hz oscillations lasting a few seconds.

934

935 • **First-order and higher-order thalamic nuclei:** This functional classification of  
936 thalamic nuclei is based on their main driving input: subcortical or cortical. First order  
937 nuclei relay a particular modality of peripheral or subcortical information to a primary  
938 cortical area. Higher order nuclei relay information from layer 5 cortical neurons to  
939 other cortical areas and act like a hub in cortico-thalamo-cortical information pathways.

940

941 • **Intralaminar thalamic nuclei.** A collection of thalamic nuclei involved in specific  
942 cognitive and motor functions that play a key role in the salience of stimuli of various  
943 modalities.

944

945 • **Cell-intrinsic mechanisms:** Electrical behavior of a neuron that results from its passive  
946 and voltage-dependent electrical properties without a contribution of the synaptic  
947 network.

948

949 • **Up and Down states:** Based on their intrinsic properties and/or the influence of the  
950 synaptic network, some neurons present a two-state behavior, characterized by two  
951 membrane potentials, a depolarized “Up” state and a hyperpolarized “Down” state.

952

953 • **I<sub>T</sub> window current:** The partial overlap of the T-type calcium channel activation and  
954 inactivation curves define a range of membrane potential, centered around -60 mV,

955 where a fraction of the channel population is not inactivated and T-channels can open  
956 generating therefore a small tonic current called the window current.

957

958 • **Electrotonic properties:** The combined electrical properties of a neuron that alter the  
959 manner in which subthreshold voltage changes propagates throughout the axon and the  
960 dendritic tree.

961

962 • **Backpropagating action potentials:** The transient depolarization that occurs in the  
963 dendrites as a result of the generation of an action potential in the soma or axon initial  
964 segment.

965

966 • **Rescale (synaptic re-scaling):** indicates to the normalization of the strength of synaptic  
967 connections that had previously been either increased or decreased in response to  
968 (relatively long-term) changes in neuronal activity.

969

970

## 971 **Short Biographies**

972 **Vincenzo Crunelli** received his PhD in Chemistry from the University of Catania (Italy)  
973 followed by postdoc work in Milan (Italy), Cambridge (UK) and Rehovot (Israel). His research  
974 group, currently based at both Cardiff University (UK) and Malta University (Malta)  
975 investigates the cellular and network dynamics of thalamocortical rhythms during sleep and  
976 the pathophysiological mechanisms of absence seizures.

977 **Magor L. Lőrincz** received his PhD from the Eötvös Loránd University in Budapest, Hungary.  
978 As a postdoc in the labs of Vincenzo Crunelli (UK) and Zach Mainen (Portugal) he combined  
979 electrophysiology and optogenetics to investigate brain rhythms and neuromodulation. He is  
980 now an Assistant Professor at the University of Szeged (Hungary) where his research focuses  
981 on cellular and network mechanisms of brain state-dependent neuronal activity in the  
982 thalamocortical system.

983 **William M. Connelly** completed a PhD (2010) at the University of Otago focused on the  
984 physiology and pathophysiology of GABAergic inhibition. He then moved to the lab of  
985 Vincenzo Crunelli (2011-2015) where he worked on the physiology of thalamocortical

986 neurons. He currently works in the lab of Greg Stuart investigating how cortical neurons  
987 integrate visual information.

988 **François David** received his PhD in 2007 in Cognitive Science (Université Lumière, Lyon,  
989 France) focussing on computational neuroscience. He then investigated the thalamocortical  
990 rhythms in vivo and in vitro with Régis Lambert and Nathalie Leresche in Paris and Vincenzo  
991 Crunelli in Cardiff. He is now back in Lyon studying vigilance states and cognition.

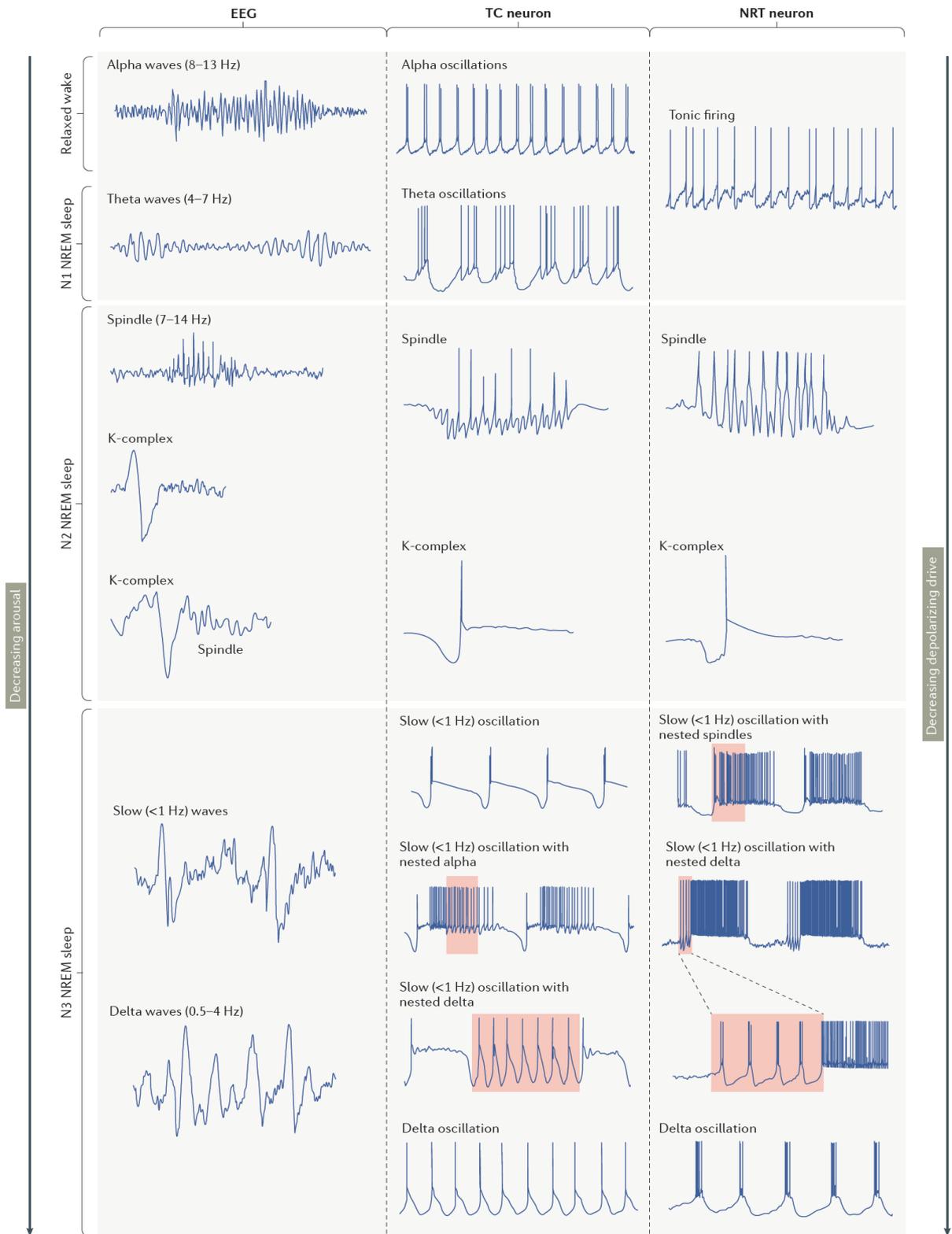
992 **Stuart W. Hughes** received his PhD from Cardiff University (UK). He is currently Director  
993 and Head of Pharmacology at Vertex Pharmaceuticals Europe Ltd (Oxford, UK) where his  
994 main areas of focus are in neuroscience and orphan diseases. He has previously held the  
995 positions of Wellcome Research Fellow and Senior Lecturer at Cardiff University and Principal  
996 Research Scientist at Eli Lilly & Co (UK) and has a longstanding interest in the mechanisms  
997 of sleep-related brain rhythms.

998 **Régis C. Lambert** received his PhD from the University of Strasbourg, France, working in  
999 neuroendocrinology. During his postdoctoral fellowship, he focused on biophysics of calcium  
1000 channels. As a Professor of the University Pierre and Marie Curie, he is currently leading a  
1001 group with Nathalie Leresche in the Department Neuroscience Paris Seine, which focuses on  
1002 thalamic excitability with particular emphasis on T-type calcium channels.

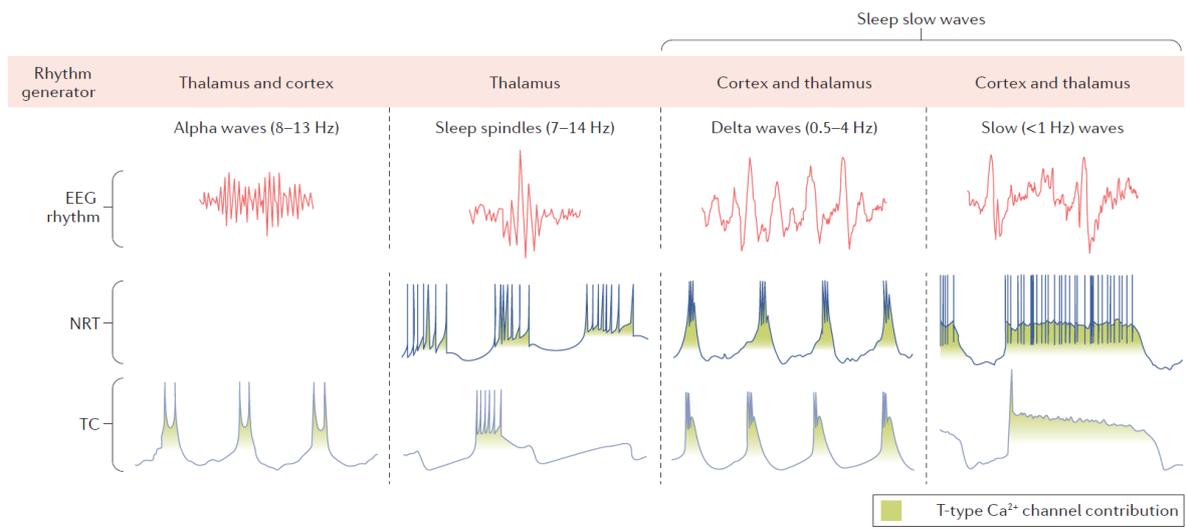
1003 **Nathalie Leresche** received her PhD from the University Pierre and Marie Curie in Paris,  
1004 France, working on visual processing. After postdoctoral fellowship with V. Crunelli at St.  
1005 Georges' Hospital Medical School (London), she came back to France as a CNRS researcher.  
1006 She is currently leading a group with Régis C. Lambert at the Department Neuroscience Paris  
1007 Seine. Her research focuses on thalamocortical mechanisms in sleep and absence epilepsy.

1008 **Adam C. Errington** is a Senior Research Fellow at the Neuroscience and Mental Health  
1009 Research Institute, Cardiff University (UK). His laboratory investigates the structure and  
1010 function of dendrites in the thalamus and their roles in physiology and neurological diseases  
1011 and the role of extrasynaptic GABA signalling in the brain.

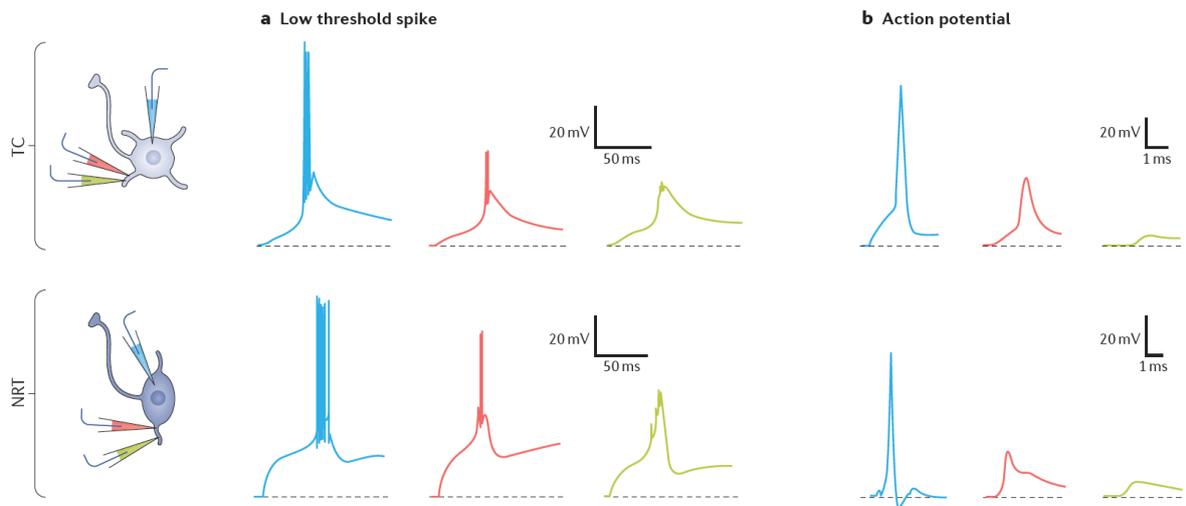
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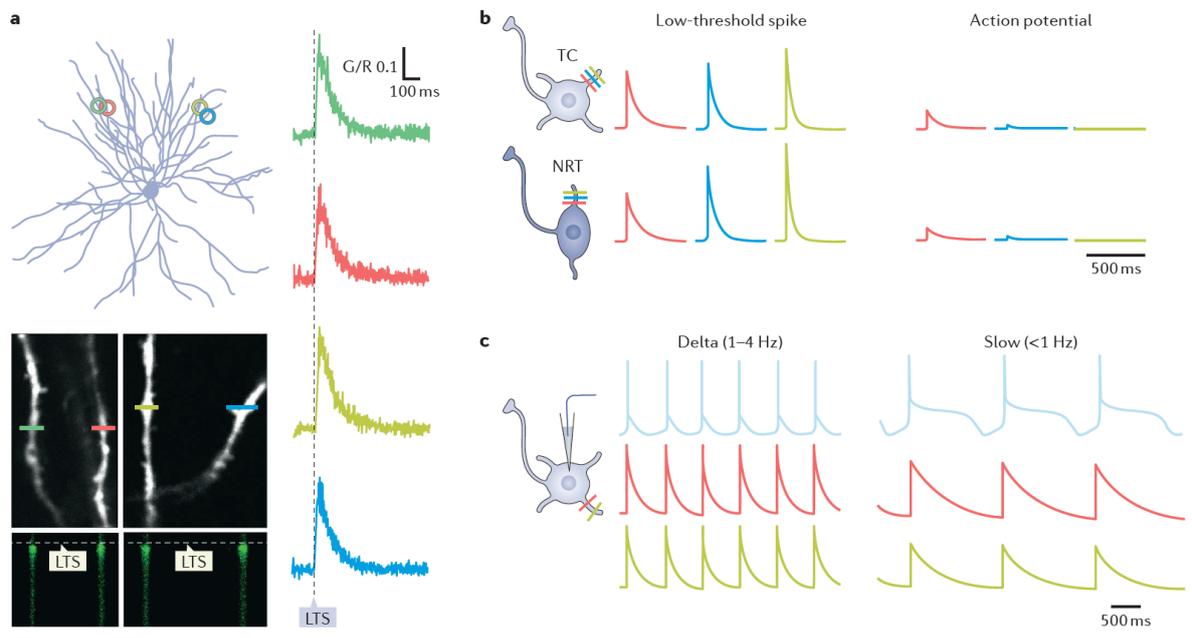


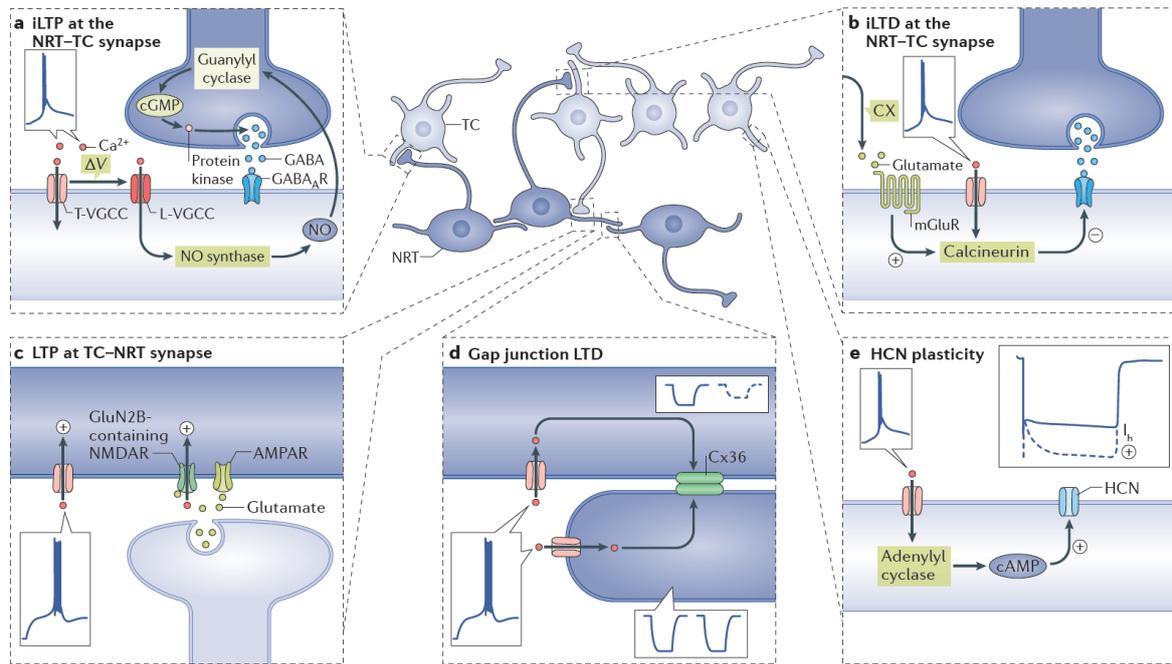
1015 **Figure 2**



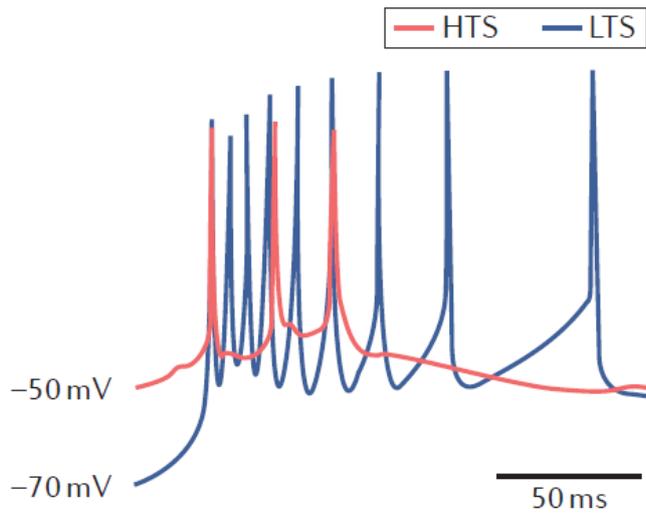
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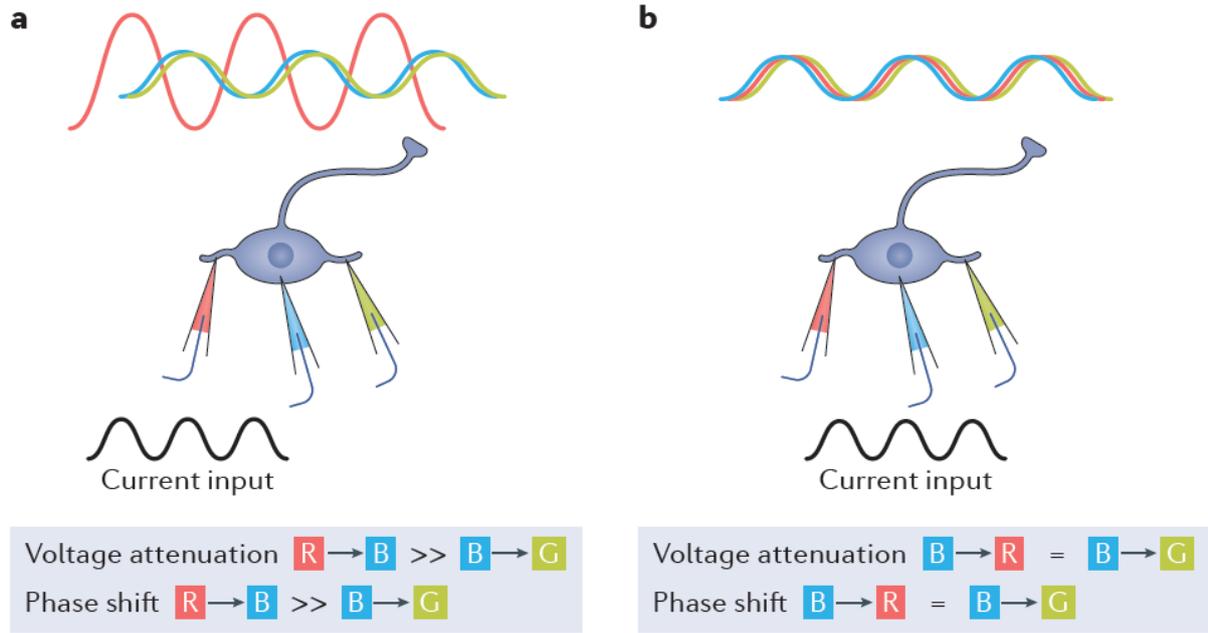


1023 **BOX 1 Figure**



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1025 **BOX 2 Figure**



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