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# **Novel genetic loci affecting facial shape variation in humans**

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## 84 Abstract

The human face represents a combined set of highly heritable phenotypes, but knowledge on its 85 genetic architecture remains limited, despite the relevance for various fields. A series of genome-86 wide association studies on 78 facial shape phenotypes guantified from 3-dimensional facial images 87 of 10,115 Europeans identified 24 genetic loci reaching study-wide suggestive association (p<5x10<sup>-</sup> 88 <sup>8</sup>), among which 17 were previously unreported. A follow-up multi-ethnic study in additional 7,917 89 individuals confirmed 10 loci including 6 unreported ones (p<sub>adiusted</sub> < 2.1x10<sup>-3</sup>). A global map of 90 91 derived polygenic face scores assembled facial features in major continental groups consistent with anthropological knowledge. Analyses of epigenomic datasets from cranial neural crest cells revealed 92 abundant *cis*-regulatory activities at the face-associated genetic loci. Luciferase reporter assays in 93 94 neural crest progenitor cells highlighted enhancer activities of several face-associated DNA variants. These results substantially advance our understanding of the genetic basis underlying human facial 95 variation and provide candidates for future *in-vivo* functional studies. 96

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# 98 Introduction

The human face represents a multi-dimensional set of correlated, mostly symmetric, complex 99 phenotypes with high heritability. This is illustrated by a large degree of facial similarity between 100 101 monozygotic twins and, albeit less so, between other relatives (Djordjevic et al., 2016), stable facial features within and differences between major human populations, and the enormous diversity 102 among unrelated persons almost at the level of human individualization. Understanding the genetic 103 basis of human facial variation has important implications for several disciplines of fundamental and 104 applied sciences, including human genetics, developmental biology, evolutionary biology, medical 105 genetics, and forensics. However, current knowledge on the specific genes influencing human facial 106 appearance and the underlying molecular mechanisms forming facial morphology is limited. 107

108 Over recent years, 9 separate genome-wide association studies (GWASs) have each highlighted 109 several but largely non-overlapping genetic loci associated with facial shape phenotypes (*Adhikari et* 110 *al., 2016; Cha et al., 2018; Claes et al., 2018; Cole et al., 2016; M. K. Lee et al., 2017; Liu et al., 2012;* 111 *Paternoster et al., 2012; Pickrell et al., 2016; Shaffer et al., 2016*). The overlapping loci from

independent facial GWASs, thus currently representing the most established genetic findings,

include DNA variants in or close to 10 genes i.e., CACNA2D3 (Paternoster et al., 2012; Pickrell et al.,

114 2016), DCHS2 (Adhikari et al., 2016; Claes et al., 2018), EPHB3 (Claes et al., 2018; Pickrell et al., 2016),

115 HOXD cluster (Claes et al., 2018; Pickrell et al., 2016), PAX1 (Adhikari et al., 2016; Shaffer et al., 2016),

116 PAX3 (Adhikari et al., 2016; Claes et al., 2018; Liu et al., 2012; Paternoster et al., 2012; Pickrell et al.,

117 2016), PKDCC (Claes et al., 2018; Pickrell et al., 2016), SOX9 (Cha et al., 2018; Claes et al., 2018;

118 *Pickrell et al., 2016*), *SUPT3H* (*Adhikari et al., 2016; Claes et al., 2018; Pickrell et al., 2016*), and *TBX15* 

119 (*Claes et al., 2018; Pickrell et al., 2016*), which were identified mostly in Europeans.

Indicated by the small effect size of the previously identified face-associated DNA variants, 120 together with the high heritability of facial phenotypes, the true number of genes that influence 121 122 polygenetic facial traits is likely to be much larger than currently known. Despite the previous work, our understanding of the complex genetic architecture of human facial morphology thus remains 123 124 largely incomplete. This emphasizes on the need for well-powered GWASs that can be achieved through large collaborative efforts, which has been recently demonstrated for appearance traits 125 126 involving pigmentation variation (Hysi et al., 2018; Visconti et al., 2018), but is currently missing for the human face. 127

A most recent study (Claes et al., 2018) suggested that variants at genetic loci implicated in 128 human facial shape are involved in the epigenetic regulation of human neural crest cells, suggesting 129 130 that at least some of the functional variants may reside within regulatory elements such as enhancers. Although this is in line with evidence for other appearance phenotypes such as human 131 pigmentation traits, where experimental studies have proven enhancer effects of pigmentation-132 associated DNA variants (Visser et al., 2012; Visser et al., 2014, 2015), experimental evidence for 133 understanding the functional basis of DNA variants for which facial phenotype associations have 134 been previously established is missing as of yet. 135

Led by the International Visible Trait Genetics (VisiGen) Consortium and together with its study partners, the current study represents a collaborative effort to identify novel genetic variants involved in human facial variation in the largest set of multi-ethnic samples available thus far. Moreover, it demonstrates the functional consequences of identified face-associated DNA variants based on in-silico work and *in-vitro* experimental evidence.

## 141 **Result**

#### 142 **Facial phenotypes**

143 The current study included seven cohorts, totaling 18,032 individuals. Demographic characteristics and phenotyping details for all cohorts are provided in **Methods** and **Supplementary Table 1**. A 144 variety of different phenotyping methods are available for 3D facial image data, where some 145 approaches (*Claes et al., 2018*) require access to the underlying raw image datasets, which often 146 cannot be shared between different research groups. In order to maximize sample size via a 147 collaborative study, we focused on linear distance measures of facial features that can be accurately 148 derived from facial image datasets. In our cohorts with 3D facial surface images, we focused on 149 150 distances between a common set of thirteen well-defined facial landmarks (Figure 1). In the 151 Rotterdam Study (RS) and the TwinsUK study (TwinsUK), we used the same ensemble method for automated 3D face landmarking that was specifically designed for large cohort studies with the 152 flexibility of landmark choice and high robustness in dealing with various image qualities (de Jong et 153 al., 2018; de Jong et al., 2016). Facial landmarking in Avon Longitudinal Study of Parents and their 154 Children (ALSPAC) and Pittsburgh 3D Facial Norms study (PITT) was done manually. Generalized 155 Procrustes Analysis (GPA) was used to remove affine variations due to shifting, rotation and scaling 156 157 (Figure 1-figure supplementary 1). A total of 78 Euclidean distances involving all combinatorial pairs of the 13 facial landmarks were considered as facial phenotypes. 158

159 Detailed phenotype analyses were conducted in RS. In RS, almost all (72 out of 78, 92%,) of the facial phenotypes followed the normal distribution as formally investigated by applying the Shapiro-160 Wilk normality test and obtaining non-significant results (Supplementary Table 2). For only 6 161 phenotypes, this test revealed significant results; however, their histogram looked largely normal. A 162 highly significant sex effect (min  $p = 2.1 \times 10^{-151}$ ) and aging effect (min  $p = 8.0 \times 10^{-44}$ ) were noted, 163 164 together explained up to 21% of the variance per facial phenotype (e.g. between alares and Ls; Figure 1-figure supplementary 2A-2C, Supplementary Table 3). Intra-organ facial phenotypes 165 (e.g. within nose or within eyes) showed on average higher correlations than inter-organ ones (e.g. 166 167 between nose and eyes), and symmetric facial phenotypes showed higher correlations than non-

168 symmetric ones. Genetic correlations (*Zhou & Stephens, 2014*) estimated using genome-wide data

169 were similar to correlations obtained directly from phenotype data, with on average higher absolute

values seen based on genotypes (Figure 1-figure supplementary 3, Supplementary Tables 4 and
5).

172 Unsupervised hierarchical clustering analysis identified four distinct clusters of facial shape 173 phenotypes, e.g. many distances related to pronasale were clustered together (Figure 1-figure **supplementary 2D**). Twin heritability of all facial phenotypes was estimated in TwinsUK as  $h^2$ 174 mean(sd) = 0.52(0.15), max = 0.86 and in Queensland Institute of Medical Research study (QIMR) as 175 176  $h^2$  mean(sd) = 0.55(0.19), max = 0.91 (**Supplementary Table 6**). The most heritable features were linked to the central face (i.e., the outer- and inter- orbital distances, the nose breadth, and the 177 178 distance between the subnasion and the inner eye corners; Figure 1-figure supplementary 2E and **2F**). These twin-derived heritability estimates were generally higher than those obtained from 179 180 genome-wide SNPs in the same cohorts (Supplementary Table 6). These results were overall consistent with expectations and suggest that the phenotype correlation within the human face may 181 182 be explained in part by sets of shared genetic components.

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#### 184 **GWASs and replications**

We conducted a series of GWASs and meta-analyses to test the genetic association of 7,029,494 185 autosomal SNPs with 78 face phenotypes in RS, TwinsUK, ALSPAC, and PITT, totaling 10,115 subjects 186 of European descent, used as the discovery dataset. Inflation factors were in an acceptable range in 187 188 all meta-analyses (average  $\lambda$ =1.015, sd=0.006; Figure 1-figure supplementary 4), and were thus 189 not further considered. A matrix spectral decomposition analysis estimated the effective number of 190 independent facial traits as 43, which corresponds to a Bonferroni corrected study-wide significant threshold of 1.2×10<sup>-9</sup>. A power analysis showed that under this threshold, our discovery data had 191 192 over 90% power to detect an allelic effect explaining 0.54% variance for individual phenotypes 193 (Figure 1-figure supplementary 5A). In the discovery GWAS meta-analysis, a total of 221 SNPs from 6 distinct loci showed study-wide significant association ( $P < 1.2 \times 10^{-9}$ ) with facial phenotypes, 194 among which 2 have not been previously reported: 4g28.1 *INTU* (top SNP rs1250495 p= $3.03 \times 10^{-10}$ ), 195 and 12q24.21 TBX3 (rs1863716  $p=1.47 \times 10^{-10}$ ). The other 4 have been described in previous GWASs 196 of facial variation, including 2g36.1 PAX3, 4g31.3 SFRP2, 17g24.3 CASC17, and 20p11.22 PAX1 197 (Figure 1 and Supplementary Table 7) (Liu et al., 2012; Paternoster et al., 2012; Adhikari et al., 198

2016; Shaffer et al., 2016; Claes et al., 2018). Considering the traditional genome-wide significant threshold of  $5 \times 10^{-8}$  as our study-wide suggestive significance threshold for replication studies, the power analysis showed that under this threshold, our discovery data had over 90% power to detect an allelic effect explaining 0.43% variance for individual phenotypes (**Figure 1-figure** 

supplementary 5B). In addition to the study-wide significant ones, 273 SNPs from 18 distinct loci 203 passed the  $5 \times 10^{-8}$  threshold (**Supplementary Table 7**), of which 15 were novel and 3 (1p12 *TBX15*, 204 9q22.31 ROR2 and 17q24.3 SOX9) have been reported in previous studies (Cha et al., 2018; Claes et 205 al., 2018; Pickrell et al., 2016). Thus, in total, we identified 24 face-associated genetic loci, of which 17 206 were not reported in previous face GWASs, that we followed-up via a multi-ethnic replication 207 analysis (see below). In general, no significant heterogeneity was observed for the 24 top SNPs of 208 209 the study-wide significant and suggestive associated loci, i.e., only one SNP (rs3403289 at 2q36.1 PAX3) showed nominally significant (Cochran's Q test p=0.04, Table 1) heterogeneity between the 210 211 discovery cohorts, but was not significant after multiple testing correction.

The association signals at the 24 genetic loci involved multiple facial phenotypes clustered to 212 213 the central region of the face above the upper lip (Figure 1), and closely resembled the twins-based face heritability map (Figure 1-figure supplementary 2E and 2F). All seven previously reported loci 214 showed largely consistent allele effects on the same or similar sets of facial phenotypes as described 215 in previous GWASs (Supplementary Table 8). Four (2q36.1 PAX3, 9q22.31 ROR2, 17q24.3 CASC17, 216 217 and 20p11.22 PAX1) out of the 24 face-associated loci have been noted in the GWAS catalog for face morphology or related phenotypes i.e., nose size, chin dimples, monobrow thickness, and male 218 pattern baldness (Supplementary Table 9). Five out of the 24 loci showed genome-wide significant 219 association (p<5e-8) with non-facial phenotypes and / or diseases in the GeneATLAS database 220 221 (Canela-Xandri et al., 2018) (Supplementary Table 10), suggesting pleiotropic effects. Six out of the 222 24 loci showed a high degree of diversity among the major continental groups in terms of both allele frequency differences (>0.2) and Fst values (empirical p < 0.05), including 1p31.2 RPE65, 223 2q36.1 PAX3, 4q28.1 INTU, 16q12.1 SALL1, 16q12.2 RPGRIP1L and 17q24.3 CASC17 (Supplementary 224 225 Tables 11 and 12). Three out of the 24 face-associated loci showed signals of positive selection in 226 terms of the integrated haplotype scores (iHS, empirical p<0.01), including *RPE65*, *RPGRIP1L* and CASC17 (Supplementary Table 12). None of the 24 loci overlapped with the previously reported 227

signals of singleton density score (SDS, empirical p < 0.01) in Europeans (*Field et al., 2016*), which may indicate that the observed selection signals are unlikely the consequences from the recent selective pressures detectable via SDS analysis.

We selected the 24 top-associated SNPs (Table 1), one SNP per for each of the identified 24 231 genetic loci passing the study-wide suggestive significance threshold ( $P < 5 \times 10^{-8}$ ), for replication 232 233 studies in a total of 7,917 multi-ethnic subjects from three additional cohorts i.e., the Consortium for 234 the Analysis of the Diversity and Evolution of Latin America (CANDELA) study involving Latin Americans known to be of admixed Native American and European ancestry, the Xinjiang Uyghur 235 (UYG) study from China known to be of admixed East Asian and European ancestry, and the 236 Queensland Institute of Medical Research (QIMR) study from Australia involving Europeans. We 237 238 used a "combined test of dependent tests" (Kost & McDermott, 2002) to account for the incompatibility among facial traits from the three replication cohorts, which tests for H0: no 239 240 association for all facial phenotypes in all replication cohorts vs. H1: associated with at least one facial phenotypes in at least one replication cohorts. After Bonferroni correction of multiple testing 241 of 24 SNPs, significant evidence of replication ( $p < 2.1 \times 10^{-3}$ ) was obtained for 10 SNPs, among which 242 6 were novel loci: 1p36.22 CASZ1, 4q28.1 INTU, 6p21.2 KIF6, 12q24.21 TBX3, 14q32.2 C14orf64, and 243 16q12.2 RPGRIP1L (Figure 2), and 4 have been described in previous face GWASs: 2q36.1 PAX3, 244 4q31.3 SFRP2, 9q22.31 ROR2, and 20p11.22 PAX1 (Adhikari et al., 2016; Claes et al., 2018; 245 246 Paternoster et al., 2012; Pickrell et al., 2016; Shaffer et al., 2016).

The allelic effects of the replicated SNPs were highly consistent across all participating cohorts, 247 while the individual cohorts were underpowered (Figure 2-figure supplementary 1-6), further 248 emphasizing on the merit of our collaborative study. The associated phenotypes of the replicated 249 SNPs demonstrated a clear pattern of facial symmetry i.e., the same association was observed on 250 both sides of the face, while such a symmetric pattern was less clear for most phenotypes involved 251 in the non-replicated loci (Figure 2-figure supplementary 7-17). Several novel replicated loci 252 253 showed effects on the similar sets of facial shape phenotypes; for example, 1p36.22 CASZ1 and 254 4q28.1 *INTU* (Figure 2A and 2C) both affected the distances between pronasion and alares. 255 Moreover, several novel replicated loci affected phenotypes in multiple facial regions e.g. 4g32.1 C14orf64 and 12q24.1 TBX3 (Figure 2D and 2E) both affected many distances among eyes, alares 256

257 and mouth. It should be noted however, that the discovery dataset is of European ancestry while the 258 replication dataset is multi-ethnic and the facial phenotypes could not be obtained in the same way 259 as in the discovery set; hence, the replication results were rather conservative, i.e., the possibility of 260 false negatives in this replication study cannot be excluded. This was evident from the results of the replication attempts of the 7 known loci (1p12 TBX15, 2q36.1 PAX3, 4q31.3 SFRP2, 9q22.31 ROR2, 261 262 17q24.3 CASC17, 17q24.3 SOX9, 20p11.22 PAX1) (Figure 2-figure supplementary 18-24). Out of 263 these 7, only 4 were replicated (PAX3, SFRP2, ROR2 and PAX1, Table 1). For this reason, we considered all of the 494 SNPs from the 24 loci passing the study-wide suggestive threshold in the 264 subsequent polygenic score analyses and in the functional annotation analyses. 265

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#### 267 Integration with previous literature knowledge

In our discovery GWAS dataset, we also investigated 122 face-associated SNPs reported in 268 previously published facial GWASs (Adhikari et al., 2016; Cha et al., 2018; Claes et al., 2018; Cole et 269 al., 2016; M. K. Lee et al., 2017; Liu et al., 2012; Paternoster et al., 2012; Pickrell et al., 2016; Shaffer et 270 al., 2016). Out of those, a total of 44 (36%) SNPs showed significant association on either the same 271 set of facial phenotypes or at least one facial phenotypes in a combined test, after Bonferroni 272 correction for the number of SNPs (adjusted p<0.05) (**Supplementary Table 8**). Notably, none of 273 274 the 5 SNPs reported in a previous African GWAS (*Cole et al., 2016*) was replicated in our European 275 dataset. This is unlikely explained by the allele frequency differences between Sub-Saharan African (AFR) and Europeans (EUR) (absolute frequency differences between AFR and EUR were less than 0.1 276 in the 1000 Genomes project) but more likely due to different phenotypes, i.e. in the previous study 277 278 these loci were primarily associated with facial size, which was not tested on our study.

We also investigated the potential links between facial phenotypes and 60 SNPs in 38 loci previously implicated in non-syndromic cleft lip and palate (NSCL/P) phenotype, which is linked with normal variation of facial morphology as suggested previously (*Beaty et al., 2010; Beaty et al., 2011; Birnbaum et al., 2009; Grant et al., 2009; Leslie et al., 2017; Ludwig et al., 2017; Ludwig et al., 2012; Mangold et al., 2010; Sun et al., 2015; Y. Yu et al., 2017*). Among these, 17 SNPs in 13 loci showed significant face-associations in the discovery cohorts after Bonferroni correction for the number of SNPs and phenotypes, and many (11 SNPs in 8 loci) involving cleft related facial landmarks as

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expected, e.g. subnasale, labliale superius, and labiale inferius (Supplementary Table 13).

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#### 288 Multivariable model fitting and polygenic face scores

In the RS cohort, a multiple-regression conditioning on the effects of the 24 lead SNPs identified 31 289 SNPs showing significant (adjusted p<0.05) independent effects on sex- and age-adjusted face 290 phenotypes (Supplementary Table 14). These 31 SNPs individually explain less than 1%, and 291 together explain up to 4.62%, of the variance for individual phenotypes (Figure 3A and 3B). The 292 293 top-explained phenotypes clustered to the central region of the face, i.e. the distances between nasion, subnasale, pronasale, left endocanthion and right endocanthion. The variance explained was 294 potentially overestimated in RS cohort since the SNP selection and model building were conducted 295 296 using the same dataset. However, potential overfitting is unexpected to have a drastic effect, given 297 that some of the selected SNPs showed weaker effects in RS than in other cohorts used

298 (Supplementary Table 7). We then used the fitted models to derive a set of polygenetic face scores for EUR, AFR and East Asian (EAS) subjects (total N=1,668) from the 1000-Genomes Project. The 299 300 polygenic face scores based on the 31 SNPs were largely reversely distributed between EUR and AFR, with EAS situated in between (Figure 3C). EUR showed the longest distances among the 301 vertical phenotypes, while AFR had the widest of the horizontal phenotypes. EAS was consistently in-302 between with the most differential phenotype scores observed for nose wing breadth (AFR > EAS > 303 304 EUR) and the nose length (EUR > EAS > AFR). An exception was for mouth phenotypes, where AFR had the largest values in both mouth width and lip thickness (Figure 3D). The nose-related score 305 distribution, e.g. nose breadth and length, thus largely assembled the facial features in major 306 307 continental groups, consistent with the hypotheses regarding adaptive evolution of human facial morphology (Noback et al., 2011; Weiner, 1954), e.g. nose width and nose length have been found 308 to correlate with temperature and humidity. It should be noted, however, that the possibility of 309 310 potential bias cannot be excluded due to the fact that the discovery GWAS was conducted in only Europeans. Notably, the polygenic scores of the NSCL/P-associated SNPs explained up to 1.2% of 311 312 the age- and sex- adjusted phenotypic variance for phenotypes mostly between nose and mouth, 313 e.g. right alare – right cheilion and pronasale – right cheilion (Figure 3-figure supplementary 1).

#### **Gene ontology of face-associated genetic loci**

A gene ontology enrichment analysis for the 24 face-associated genetic loci (Table 1) highlighted a 316 total of 67 biological process terms and seven molecular function terms significantly enriched with 317 different genes group (FDR < 0.01 or q value < 0.01, **Supplementary Table 15**), with the top 318 significant terms being 'embryonic digit morphogenesis' and 'embryonic appendage 319 morphogenesis' (FDR <  $1 \times 10^{-8}$ , Figure 4-figure supplementary 1). Biological process terms were 320 categorized in four broader categories, 'morphogenesis', 'differentiation', 'development' and 321 322 'regulation'. These results underlined the important role of embryonic developmental and regulatory processes in shaping human facial morphology. Furthermore, *cis*-eQTL effects of the 494 face-323 associated SNPs at the 24 loci (Supplementary Table 7) were investigated using the GTEx data. 324 325 Significant multi-tissue *cis*-eQTL effects (adjusted p<0.05) were found around three genes, ARHGEF19, RPE65, and TBX15 (Supplementary Table 16). No significant tissue-specific eQTL effects 326 were observed, likely due to the lack of cell types indexed within the GTEx database that are directly 327 involved in craniofacial morphology. 328

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#### 330 **Expression of face-associated genetic loci in embryonic cranial neural crest cells**

Embryonic cranial neural crest cells (CNCCs) arise during weeks 3-6 of human gestation from the 331 332 dorsal part of the neural tube ectoderm and migrate into the branchial arches. They later form the embryonic face, consequently establishing the central plan of facial morphology and determining 333 species-specific and individual facial variation (Bronner & LeDouarin, 2012; Cordero et al., 2011). 334 Recently, CNCCs have been successfully derived *in-vitro* from human embryonic stem cells or 335 induced pluripotent stem cells (Prescott et al., 2015). Taking advantage of the available CNCC RNA-336 seq data (Prescott et al., 2015) and other public RNA-seq datasets compiled from GTEx (G. T. 337 Consortium, 2013) and ENCODE (E. P. Consortium, 2012), we compared 24 genes, which were 338 nearest to the top-associated SNPs at the 24 face-associated genetic loci identified in our discovery 339 340 GWAS meta-analysis, with the background genes over the genome for their expression in CNCCs 341 and 49 other cell types. In 89% of 9 embryonic stem cells, 65% of 20 different tissue cells, and 15% of 20 primary cells these 24 genes showed significantly higher expression in all cell types (p<0.05) 342

343 after multiple testing correction compared to the background genes (Figure 4A), and the most significant difference was observed in CNCCs ( $p=3.8\times10^{-6}$ ). Furthermore, these 24 genes also 344 showed preferential expression in CNCCs compared to their expression in other cell types, i.e., in 345 65% of 20 different tissue cells, in 60% of 20 primary cells, and in 22% of 9 embryonic stem cells 346 (Figure 4A). Specifically, 16 (66.7%) of these 24 genes showed preferential expression in CNCCs 347 compared to 49 other cell types. The top-ranked three preferentially expressed genes were PAX3 348  $(p=1.3 \times 10^{-29})$ , *INTU*  $(p=8.3 \times 10^{-25})$ , and *ROR2*  $(p=4.5 \times 10^{-23})$ , **Figure 4B**). Furthermore, some mid-349 preferentially expressed genes like *DCAF4L2* and non-preferentially expressed genes like *RPE65* 350 351 became top-ranked preferentially expressed genes when testing sub-groups of cell types (Figure **4B**). Although not necessarily is the nearest gene the causative gene and not necessarily is there 352 353 only one causative gene per locus, the observation of significant preferential expression of the nearby genes considered in this analysis does support the hypothesis that variation of facial shape 354 355 may indeed originate during early embryogenesis (Claes et al., 2018), and provide a priority list in different stages of cell differentiation with genes likely involved in embryo ectoderm derived 356 357 phenotypes such as facial variation for future in-vivo functional studies.

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#### 359 **Cis-regulatory signals in face-associated genetic loci**

It is becoming increasingly clear that cis-regulatory changes play a central role in determining 360 361 human complex phenotypes (Carroll, 2008; Wray, 2007). In our study, apart from those at KIF6 and ROR2, all identified face-associated DNA variants were non-exonic. With preferential expression 362 pattern validated in CNCCs, we explored the potential *cis*-regulatory activity of the face-associated 363 364 DNA variants using the CNCC epigenomic mapping datasets (*Prescott et al., 2015*). This includes ChIP-seq data on transcription factor (*TFAP2A* and *NR2F1*) binding, general coactivator (p300) 365 binding, or histone modifications associated with active regulatory elements (H3K4me1, H3K4me3, 366 and H3K27ac), as well as ATAC-seq data on chromatin accessibility. Abundant entries of *cis*-367 regulatory signals were detected surrounding the face-associated loci. In particular, 6 (25%) of the 368 369 24 face-associated loci, i.e., 1p36.13 ARHGEF19, 2q36.1 PAX3, CMSS1, 4q28.1 INTU, 16q12.1 SALL1, and 16q12.2 RPGRIP1L, showed significant enrichment of cis-regulatory entries at the top 0.1% of 370 371 the genome level in at least one epigenomic tracks after Bonferroni correction (adjusted P<0.05,

Figure 5-figure supplementary 1). We selected 5 SNPs as candidate regulatory SNPs (Figure 5A and 5B, Supplementary Table 17) as they not only overlapped with the putative enhancers defined in CNCCs (*Prescott et al., 2015*) and penis foreskin melanocyte primary cells (*Chadwick, 2012; E. P. Consortium, 2012*), but also showed high LD ( $r^2$ >0.7) with at least one of the face-associated SNPs at the study-wide suggestive significance level. These 5 candidate regulatory SNPs were further studied

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#### 379 Confirmation of cis-regulatory enhancer effects in neural crest progenitor cells

via functional experiments as described in the following section.

We performed *in-vitro* luciferase reporter assays to guantify the potential regulatory effect of the 5 380 face-associated SNPs suggested by the *in-silico* analyses outlined above as regulatory candidates 381 382 i.e., rs13410020 and rs2855266 from the 2q36.1 PAX3 region, rs17210317 and rs6828035 from the 4q28.1 *INTU* region, and rs4783818 from the 16q12.2 *RPGRIP1L* region (Supplementary Table 17). 383 Luciferase reporter assays in CD271+ neural crest progenitor cells demonstrated that both SNPs in 384 2q36.1 and 4q28.1, respectively, showed statistically significant allele-specific effects on enhancer 385 386 activity (Figure 5C). In the 4q28.1 region, the derived SNP alleles were associated with decreased luciferase expression (33.5×~10.4×, Supplementary Table 18) as well as a reduced length of some 387 nose features (-0.087 < beta < -0.078, Supplementary Table 7). In the 2q36.1 region, the derived SNP 388 alleles were associated with increased luciferase expression (1.5×~3.7×, **Supplementary Table 18**) 389 390 as well as an increased length of some nasion-related features (0.131<beta<0.149, Supplementary 
 Table 7). Using a luciferase assay for rs4783818 from the 16q12.2 region in CD271+ neural crest
 391 progenitor cells, we obtained an allele-specific effect on enhancer activity, although it was not 392 393 statistically significant (Figure 5C). Additional luciferase reporter assays using G361 melanoma cells provided similar results, indicating that the regulatory activity associated with the DNA variants is 394 conserved across the neural crest cell lineage (Supplementary Table 18). These results provide 395 396 evidence that the tested face-associated SNPs impact the activity of enhancer elements and thus 397 have regulatory function.

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## 400 **Discussion**

This study represents the largest genome scan to date examining facial shape phenotypes in 401 402 humans guantified from 3D facial images. We identified 24 genetic loci showing study-wide suggestive association with normal-range facial shape phenotypes in Europeans, including 17 novel 403 ones, of which 10 were successfully replicated in additional multi-ethnic population cohorts 404 including 6 novel loci. Significant gene enrichment in morphogenesis related pathways and cis-405 regulation signals with preferential CNCC expression activities were observed at these genetic loci, 406 407 underlining their involvement in facial morphology. Our findings were additionally supported by a strong integration with previous genetic association and functional studies. Moreover, via *in-vitro* 408 cell culture experiments, we functionally exemplified the regulatory activity of selected face-409 410 associated SNPs at two newly identified (INTU and RPGRIP1L) and one established (PAX3) face shape genes. 411

The six replicated novel face-associated loci included 1p36.22 CASZ1 4q28.1 INTU 6p21.2 KIF6, 412 12q24.21 TBX3, 14q32.2 C14orf64, and 16q12.2 RPGRIP1L. For 4q28.1 INTU and 16q12.2 RPGRIP1L, 413 414 we demonstrated an impact of selected DNA variants on enhancer activity. INTU, also known as planar cell polarity (PCP) effector, has been reported to compromise proteolytic processing of Gli3 415 by regulating Hh signal transduction (Zeng et al., 2010). Notably, SNPs in the GLI3 region have been 416 previously associated with human nose wing breadth (Adhikari et al., 2016), supporting a link 417 418 between INTU and facial morphogenesis. In addition, rare frameshift mutations in INTU have been found to cause human Oral-Facial-Digital (OFD) syndromes as characterized by abnormalities of the 419 face and oral cavity (Bruel et al., 2017). A previous study found that Rpgrip1/mutant mouse embryos 420 421 displayed facial abnormalities in cleft upper lips and hypoplastic lower jaws (Delous et al., 2007). FTO, a proximate gene to RPGRIP1L, has also been found essential for normal bone growth and 422 bone mineralization in mice (Sachse et al., 2018). TBX3, a member of the T-box gene family, causes 423 Ulnar-mammary syndrome which is a rare disorder characterized by distinct chin and nose shape 424 together with many other abnormal morphological changes (Bamshad et al., 1997; Joss et al., 2011). 425 426 Intriguingly, TBX3 and TBX15 associated facial phenotypes showed an asymmetric pattern, particularly for nose phenotypes (TBX3) and eye-mouth distances (TBX15). These two genes are thus 427 428 good candidates for further studying the genetic basis of facial asymmetry and related disorders. A

429 synonymous variant (rs7738892) in the transcript coding region of *KIF6* was associated with facial 430 traits. It has been shown that the homologous *Kif6* transcript sequence was necessary for spine 431 development in zebrafish, likely due to its role in cilia, which is known to utilize neural crest cells for 432 regulating ventral forebrain morphogenesis (*Buchan et al., 2014*). For the remaining two novel loci 433 (*CASZ1* and *C14orf64*), there is current lack of existing literature evidence supporting their 434 involvement in facial variation.

435 The four replicated previously reported face-associated loci included 2g36.1 PAX3, 4g31.3 SFRP2, 9g22.31 ROR2, and 20p11.22 PAX1. Their effects observed in the current study were all 436 consistent with the previous findings, e.g. PAX3 was associated with position of the nasion (Liu et al., 437 2012; Paternoster et al., 2012), SFRP2 with distance between inner eye corners and alares (Adhikari 438 439 et al., 2016; Claes et al., 2018), PAX1 with nose wing breadth (Adhikari et al., 2016; Shaffer et al., 2016), and ROR2 with nose size (Pickrell et al., 2016). The face-associated rs2230578 at 9q22.31 is in 440 441 the 3'-UTR of *ROR2*. A *Ror2* knockout mouse has been used as a model for the developmental pathology of autosomal recessive Robinow syndrome, a human dwarfism syndrome characterized 442 443 by limb shortening, vertebral and craniofacial malformations, and small external genitalia (Schwabe et al., 2004). Among the 11 non-replicated novel loci, two are worth mentioning: KIAA1715 maps to 444 about 100kbp upstream of the HOXD cluster (homeobox D cluster), which has been highlighted by 445 two independent facial variation GWAS (Claes et al., 2018; Pickrell et al., 2016). DCAF4L2 gene 446 447 variants were previously associated with NSCL/P (Leslie et al., 2017; Ludwig et al., 2012; Y. Yu et al., 2017) and we revealed a significant effect on the distance between alares and the upper-lip. We 448 therefore regard it as likely that true positive findings exist among the 11 non-replicated novel loci. 449 This is further supported by our finding that among the total of 14 non-replicated loci, 3 loci (21%) 450 i.e., TBX15 (Claes et al., 2018; Pickrell et al., 2016), CASZ17 (Claes et al., 2018; Pickrell et al., 2016), and 451 SOX9 (Cha et al., 2018; Claes et al., 2018; Pickrell et al., 2016) correspond to previously identified 452 face-associated loci. As such, their re-identification in our discovery GWAS meta-analysis represents 453 a confirmation per se, even without significant evidence from our replication analysis. Moreover, 454 455 pleiotropic effects of TBX15 on skeleton, e.g. stature, were previously demonstrated by a large-sized 456 GWAS (*Wood et al., 2014*). Loss of function of *TBX15* in mice has been shown to cause abnormal skeletal development (Singh et al., 2005). Thus, the fact that these three previously reported face-457

associated loci were identified in our discovery GWAS, but were not confirmed in our replication analysis, likely is explained by relatively low statistical power, especially for the European replication dataset (N=1,101) being most relevant here as these three genes were highlighted in Europeans in the previous and in our study. Moreover, for the European QIMR samples in the replication set, no direct replication analysis was possible due to the availability of 2D images, but not 3D images as in the discovery dataset. Therefore, future studies shall further investigate these 11 novel faceassociated loci.

Of the previously identified face-associated genetic loci, several candidate genes e.g. Pax3 (Zalc 465 et al., 2015), Prdm16 (Bjork et al., 2010), Tp63 (Thomason et al., 2008), Sfrp2 (Satoh et al., 2008), and 466 Gli3 (Hui & Joyner, 1993) have been shown to play important roles in cranial development of 467 468 embryonic mice. Moreover, in adult mice only *Edar* has been investigated for its effect on normal facial variation (Adhikari et al., 2016), but the respective face-associated missense EDARV370A is 469 470 nearly absent in Europeans (Kamberov et al., 2013). Here we showed via direct experimental evidence in neural crest cells that face-associated SNPs in *INTU, PAX3,* and *RPGRIP1L* are likely 471 472 involved in enhancer functions and regulate gene activities. Future studies shall demonstrate functional evidence for more SNPs and genes identified here or previously to be significantly 473 association with facial shape phenotypes. As demonstrated here, this shall go beyond evidence on 474 the bioinformatics level (Claes et al., 2018) and shall involve direct functional testing of the 475 476 associated DNA variants in suitable cell lines or mouse models.

Our results indirectly support the hypothesis that the facial differentiation observed among 477 worldwide human populations is shaped by positive selection. For some facial features, it is 478 reasonable to speculate a primary selective pressure on the morphological effects of the associated 479 variants, although many of these variants may have pleiotropic effects on other fitness-related 480 phenotypes. For example, nasal shape, which is essential for humidifying and warming the air before 481 it reaches the sensitive lungs, has been found to significantly correlate with climatic variables such as 482 temperature and humidity in human populations (*Noback et al., 2011*). Notably, many of the SNPs 483 484 highlighted in our study are involved in nasal phenotypes. The overall effect of these SNPs as 485 measured by polygenic scores largely assembled the nasal shape differences among major continental groups, which implies that human facial variation in part is caused by genetic 486

components that are shared between major human populations. However, there are existing
examples of population-specific effects, for example, *EDAR* clearly demonstrates an Asian specific
effect, which impacts on various ectoderm-derived appearance traits such as hair morphology, size
of the breast, facial shape in Asians (*Adhikari et al., 2015; Kamberov et al., 2013; Kimura et al., 2009; Tan et al., 2013*). The respective face-associated missense DNA variant is rare in European and
African populations, demonstrating regional developments in Asia.

493 Nevertheless, the polygenic face scores only explained small proportions of the facial phenotype variance with up to 4.6%. This implies that many more face-predictive genetic 494 information remains to be discovered in future studies, which - in case enough - may provide the 495 prerequisite for practical applications of predicting human facial information from genomic data 496 497 such as in forensics or anthropology. On the other hand, the increasing capacity of revealing personal information from genomic data may also have far-reaching ethical, societal and legal 498 499 implications, which shall be broadly discussed by the various stakeholders alongside the genomic and technological progress made here and to be made in future studies. 500

In summary, this study identified multiple novel and confirmed several previously reported genetic loci influencing facial shape variation in humans. Our findings extend knowledge on natural selection having shaped the genetic differentiation underlying human facial variation. Moreover, we demonstrated the functional effects of several face-associated genetic loci as well as face-associated DNA variants with in-silico bioinformatics analyses and *in-vitro* cell line experiments. Overall, our study strongly enhances genetic knowledge on human facial variation and provides candidates for future *in-vivo* functional studies.

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#### 510 Materials and methods

#### 511 **Cohort details**

The four discovery cohorts, totaling 10,115 individuals, were Rotterdam Study (RS, N=3,193, North-Western Europeans from the Netherlands), TwinsUK (N=1,020, North-Western Europeans from the UK), ALSPAC (N=3,707, North-Western Europeans from the UK), and Pittsburgh 3D Facial Norms

515 study (PITT, N=2,195, European ancestry from the United States). The three replication cohorts, 516 totaling 7,917 individuals, were CANDELA Study (N=5,958, Latin Americans with ancestry admixture 517 estimated at 48% European, 46% Native American and 6% African), Xinjiang Uyghur Study (UYG, 518 N=858, Uyghurs from China with ancestry admixture estimated at 50% East Asian and 50% European), and Queensland Institute of Medical Research Study (QIMR, N = 1,101, North-Western 519 European ancestry from Australia). Three-dimensional facial surface images were acquired in all 520 521 discovery cohorts and UYG, while frontal 2-dimensional photographs were used in CANDELA and 522 QIMR.

Rotterdam Study (RS). The RS is a population based cohort study of 14,926 participants aged 45 523 years and older, living in the same suburb of Rotterdam, the Netherlands (Hofman et al., 2013). The 524 525 present study includes 3,193 participants of Dutch European ancestry, for whom high-resolution 3dMDface digital photographs were taken. Genotyping was carried out using the Infinium II 526 527 HumanHap 550K Genotyping BeadChip version 3 (Illumina, San Diego, California USA). Collection and purification of DNA have been described previously (Kayser et al., 2008). All SNPs were imputed 528 529 using MACH software (www.sph.umich.edu/csg/abecasis/MaCH/) based on the 1000-Genomes Project reference population information (*Genomes Project et al., 2012*). Genotype and individual 530 quality controls have been described in detail previously (Lango Allen et al., 2010). After all quality 531 controls, the current study included a total of 6,886,439 autosomal SNPs (MAF > 0.01, imputation 532 533 R2 > 0.8, SNP call rate > 0.97, HWE > 1e-4). The Rotterdam Study has been approved by the Medical Ethics Committee of the Erasmus MC (registration number MEC 02.1015) and by the Dutch 534 Ministry of Health, Welfare and Sport (Population Screening Act WBO, license number 1071272-535 159521-PG). The Rotterdam Study has been entered into the Netherlands National Trial Register 536 (NTR; R; www.trialregister.nl) an) and into the WHO International Clinical Trials Registry Platform 537 (ICTRP; P; www.who.int/ictrp/network/primary/en/) und under shared catalogue number NTR6831. 538 All participants provided written informed consent to participate in the study and to have their 539 information obtained from treating physicians. 540

*TwinsUK study.* The TwinsUK study included 1,020 phenotyped participants (all female and all of
 Caucasian ancestry) within the TwinsUK adult twin registry based at St. Thomas' Hospital in London.
 All participants provided fully informed consent under a protocol reviewed by the St. Thomas'

544 Hosptal Local Research Ethics Committee. Genotyping of the TwinsUK cohort was done with a combination of Illumina HumanHap300 and HumanHap610Q chips. Intensity data for each of the 545 arrays were pooled separately and genotypes were called with the Illuminus32 calling algorithm, 546 547 thresholding on a maximum posterior probability of 0.95 as previously described (Small et al., 2011). Imputation was performed using the IMPUTE 2.0 software package using haplotype information 548 from the 1000 Genomes Project (Phase 1, integrated variant set across 1092 individuals, v2, March 549 550 2012). After all quality controls, the current study included a total of 4,699,858 autosomal SNPs (MAF > 0.01, imputation R2 > 0.8, SNP call rate > 0.97, HWE > 1e-4) and 1,020 individuals. 551 552 ALSPAC study. The Avon Longitudinal Study of Parents and Children (ALSPAC) is a longitudinal study that recruited pregnant women living in the former county of Avon in the United Kingdom, 553 with expected delivery dates between 1<sup>st</sup> April 1991 and 31<sup>st</sup> December 1992. The initial number of 554 enrolled pregnancies was 14,541 resulting in 14,062 live births and 13,988 children alive at the age 555 556 of 1. When the oldest children were approximately 7 years of age, additional eligible cases who had failed to join the study originally were added to the study. Full details of study enrolment have been 557 558 described in detail previously (Boyd et al., 2013; Fraser et al., 2013; Golding et al., 2001). A total of 9,912 ALSPAC children were genotyped using the Illumina HumanHap550 guad genome-wide SNP 559 genotyping platform. Individuals were excluded from further analysis based on incorrect sex 560 assignments; heterozygosity (0.345 for the Sanger data and 0.330 for the LabCorp data); individual 561 562 missingness (>3%); cryptic relatedness (>10% IBD) and non-European ancestry (detected by a multidimensional scaling analysis seeded with HapMap 2 individuals). The resulting post-quality 563 control dataset contained 8,237 individuals. The post-quality control ALSPAC children were 564 combined with the ALSPAC mothers cohort (Fraser et al., 2013) and imputed together using a subset 565 of markers common to both the mothers and the children. The combined sample was pre-phased 566 using ShapeIT (v2.r644) (Delaneau et al., 2011) and imputed to the 1000 Genomes reference panel 567 (Phase 1, Version3) (Genomes Project et al., 2015) using IMPUTE3 V2.2.2 (Howie et al., 2009). The 568 present study sample included 3,707 individuals with 3D facial images, genotype and covariate data. 569 570 Ethical approval for the study was obtained from the ALSPAC Ethics and Law Committee and the Local Research Ethics Committees. Please note that the study website contains details of all the data 571 that is available through a fully searchable data dictionary and variable search tool: 572

573 http://www.bristol.ac.uk/alspac/researchers/our-data/.

574 Pittsburgh 3D Facial Norms (PITT) sample, United States. The current study included 2,195 575 individuals from the 3D Facial Norms dataset (Weinberg et al., 2016). These individuals were 576 recruited at four US sites (Pittsburgh, Seattle, Houston, and Iowa City), were of self-identified European ancestry, and ranged in age from 3 to 49 years. Exclusion criteria included any individuals 577 with a history of significant facial trauma, congenital defects of the face, surgical alteration of the 578 579 face, or any medical conditions affecting the facial posture. DNA was extracted from saliva samples and genotyped along with 72 HapMap control samples for 964,193 SNPs on the Illumina (San 580 Diego, CA) HumanOmniEx- press+Exome v1.2 array plus 4,322 SNPs of custom content by the 581 Center for Inherited Disease Research (CIDR). Samples were interrogated for genetic sex, 582 583 chromosomal aberrations, relatedness, genotype call rate, and batch effects. SNPs were interrogated for call rate, discordance among duplicate samples, Mendelian errors among HapMap controls 584 585 (parent-offspring trios), deviations from Hardy-Weinberg equilibrium, and sex differences in allele frequencies and heterozygosity. To assess population structure, we performed principal component 586 587 analysis (PCA) using subsets of uncorrelated SNPs. Based on the scatterplots of the principal components (PCs) and scree plots of the eigenvalues, we determined that population structure was 588 captured in four PCs of ancestry. Imputation of unobserved variants was performed using 589 haplotypes from the 1000 Genomes Project Phase 3 as the reference. Imputation was performed 590 591 using IMPUTE2. We used an info score of >0.5 at the SNP level and a genotype probability of >0.9 at the SNP-per-participant level as filters for imputed SNPs. Masked variant analysis, in which 592 genotyped SNPs were imputed in order to assess imputation guality, indicated high accuracy of 593 imputation. Institutional Review Board (IRB) approval was obtained at each recruitment center and 594 all subjects gave written informed consent prior to participation: University of Pittsburgh IRB 595 #PRO09060553 and IRB0405013; Seattle Children's IRB #12107; University of Iowa Human Subjects 596 Office/IRB #200912764 and #200710721; UT Health Committee for the Protection of Human 597 Subjects #HSC-DB-09-0508 and #HSC-MS-03-090. 598

*Xinjiang Uyghur (UYG) study.* The UYG samples were collected at Xinjiang Medical University in
 2013-2014. In total, 858 individuals (including 333 males and 525 females, with an age range of 17 were enrolled. The research was conducted with the official approval from the Ethics Committee

602 of the Shanghai Institutes for Biological Sciences, Shanghai, China. All participants had provided 603 written consent. All samples were genotyped using the Illumina HumanOmniZhongHua-8 chips, 604 which interrogates 894,517 SNPs. Individuals with more than 5% missing data, related individuals, 605 and the ones that failed the X-chromosome sex concordance check or had ethnic information incompatible with their genetic information were excluded. SNPs with more than 2% missing data, 606 607 with a minor allele frequency smaller than 1%, and the ones that failed the Hardy–Weinberg 608 deviation test (P < 1e-5) were also excluded. After applying these filters, we obtained a dataset of 709 samples with 810,648 SNPs for the Uyghurs. The chip genotype data were firstly phased using 609 610 SHAPEIT (O'Connell et al., 2014). IMPUTE2 (Howie et al., 2009) was then used to impute genotypes at un-genotyped SNPs using the 1000 Genomes Phase 3 data as reference. Finally, a total of 611 612 6,414,304 imputed SNPs passed quality control and were combined with 810,648 genotyped SNPs for further analyses. 613

614 CANDELA study. CANDELA samples (Ruiz-Linares et al., 2014) consist of 6,630 volunteers recruited in five Latin American countries (Brazil, Colombia, Chile, México and Perú). Ethics approval was 615 616 obtained from: The Universidad Nacional Autónoma de México (México), the Universidad de Antioquia (Colombia), the Universidad Peruana Cayetano Heredia (Perú), the Universidad de 617 Tarapacá (Chile), the Universidade Federal do Rio Grande do Sul (Brazil), and the University College 618 London (UK). All participants provided written informed consent. Individuals with dysmorphologies, 619 620 a history of facial surgery or trauma, or with BMI over 33 were excluded (due to the effect of obesity 621 on facial features). DNA samples were genotyped on Illumina's Omni Express BeadChip. After applying quality control filters 669,462 SNPs and 6,357 individuals were retained for further analyses 622 (2,922 males, 3,435 females). Average admixture proportions for this sample were estimated as: 48% 623 European, 46% Native American and 6% African, but with substantial inter-individual variation. After 624 all genomic and phenotypic quality controls this study included 5,958 individuals. The genetic PCs 625 were obtained from the LD-pruned dataset of 93,328 SNPs using PLINK 1.9. These PCs were selected 626 by inspecting the proportion of variance explained and checking scatter and scree plots. The final 627 628 imputed dataset used in the GWAS analyses included genotypes for 9,143,600 SNPs using the 1000 629 Genomes Phase I reference panel. Association analysis on the imputed dataset were performed using the best-guess imputed genotypes in PLINK 1.9 using linear regression with an additive 630

631 genetic model incorporating age, sex and 5 genetic PCs as covariates.

632 Queensland Institute of Medical Research (QIMR) study. After phenotype and genotype quality control, data were available for 1,101 participants who were mainly twins aged 16 years. All 633 634 participants, and where appropriate their parent or guardian, gave informed consent, and all studies were approved by the QIMR Berghofer Human Research Ethics Committee. Participants were 635 genotyped on the Illumina Human610-Quad and Core+Exome SNP chips. Genotype data were 636 637 screened for genotyping quality (GenCall <0.7), SNP and individual call rates (< 0.95), HWE failure (P < 1e-6) and MAF (< 0.01). Data were checked for pedigree, sex and Mendelian errors and for non-638 European ancestry. Imputation was performed on the Michigan Imputation Server using the 639 SHAPEIT/minimac Pipeline according to the standard protocols. 640

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#### 642 Facial shape phenotyping

In our study, we focused on 13 facial landmarks available in all cohorts with 3-dimensional digital 643 photographs. These included right (ExR) and left (ExL) exocanthion: points of bilateral outer canthus; 644 645 right (EnR) and left (EnL) endocanthion: points of bilateral inner canthus; nasion (Nsn): the point where the bridge of the nose meets the forehead; pronasale (Prn): the point of the nose tip; 646 647 subnasale (Sbn): the point where the base of the nasal septum meets the philtrum; right (AIR) and left (AIL) alare: points of bilateral nose wing; labliale superius (Ls): the point of labial superius; labiale 648 649 inferius (Li): the point of labial inferius; right (ChR) and left (ChL) cheilion: points of bilateral angulus oris. Slightly different image processing algorithms were applied to 3dMD images to capture facial 650 landmarks in the participating cohorts. In **RS** and **TwinsUK**, the raw 3D facial images were acquired 651 652 using a 3D photographic scanning system manufactured by 3dMD (http://www.3dmd.com/). Participants were asked to keep their mouths closed and adopt a neutral expression during the 653 acquisition of the 3D scans. Ensemble methods for automated 3D face landmarking were then used 654 655 to derived 21 landmarks (de Jong et al., 2018; de Jong et al., 2016). In short, 3D surface model of 656 participants' face obtained with commercial photogrammetry systems for faces called 3dMDface 657 were input to the algorithm. Then a map projection of these face surfaces transformed the 3D data set into 3D relief maps and 2D images were generated from these 3D relief maps. These images 658 659 were subjected to a 2D landmarking method like Elastic Bunch Graph Matching. Finally, registered

660 2D landmarks are mapped back into 3D, inverting the projection. 13 shared facial landmarks coordinate data were processed using GPA to remove variations due to scaling, shifting and 661 662 rotation. Euclidean distances were calculated between all landmarks. Outliers (>3sd) were removed 663 before the subsequent analysis. Shapiro-Wilk test (Royston, 1995) was used to test the normality of phenotype distribution. At 15 years of age, the ALSPAC children were recalled (5,253 attended) and 664 3D facial scans where taken using two high-resolution Konica Minolta VI-900 laser scanners (lenses 665 666 with a focal length 14.5 mm). The set of left and right facial scans of each individual were processed, registered, and merged using a locally developed algorithm implemented as a macro in Rapidform 667 2006<sup>®</sup> (Kau et al., 2004; Paternoster et al., 2012; Toma et al., 2009). 22 landmarks were recorded 668 manually. GPA was used to remove affine variations due to shifting, rotation and scaling. 4,747 669 670 individuals had usable images (506 individuals did not complete the assessment or facial scans were removed due to poor quality). The coordinates of 22 facial landmarks were derived from the scans, 671 672 of which 13 were shared across all other studies. 3D Euclidean distances were calculated between the facial landmarks. 3D facial models from **PITT** were obtained with 3dMD digital stereo-673 674 photogrammetry systems. Facial landmarks were collected on the facial surfaces by trained raters and assessed for common placement errors during subsequent quality control. A set of 78 linear 675 distance variables was then calculated from a subset of 13 of these landmarks, chosen because they 676 were shared among all of the discovery cohorts in this study. These distances were screened for 677 678 outliers. In UYG, the 3DMDface system (www.3dmd.com/3dMDface) was used to collect high-679 resolution 3D facial images from participants. A dense registration was applied to align all the 3D images as described elsewhere (Guo et al., 2013). In brief, 15 salient facial landmarks were first 680 automatically annotated based on the PCA projection of texture and shape information. Afterwards, 681 a facial image of high quality and smooth shape surface was chosen as the reference, and its mesh 682 was re-sampled to achieve an even density of one vertex in each 1mm×1mm grid. The reference 683 face was then warped to register every sample face by matching all the 15 landmarks, via a non-rigid 684 thin-plate spline (TPS) transformation. The mesh points of the reference face were then projected to 685 686 the sample surface to find their one-to-one correspondents. The resulting points of projection were 687 used to define the mesh of the sample facial surface. After the alignment, each sample face was represented by a set of 32,251 3D points and 15 target points were ready to be analyzed. A set of 78 688

689 linear distance variables was calculated from a subset of 13 of these 15 landmarks. In **CANDELA**, 690 ordinal phenotyping was described in prior GWAS (Adhikari et al., 2016). In short, right side and frontal 2D photographs of participants were used to score 14 facial traits, Intra-class correlation 691 692 coefficients (ICCs) were calculated to indicate a moderate-to-high intra-rater reliability of the trait scores. All photographs were scored by the same rater. In **QIMR**, two independent researchers 693 694 manually evaluated all 2D portrait photos and located the coordinates for 36 facial landmarks. 695 Satisfactory inter-rater concordance was obtained (Pearson's correlation coefficient, mean r = 0.76). The average landmark coordinates between the two researchers were used for Euclidian distance 696 697 calculation.

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#### 699 **Phenotype characteristics**

Phenotype characteristics were explored for gender and aging effect, phenotypic and genetic 700 correlations, clustering, and twins-heritability. Gender and aging effects were estimated using beta, 701 p, and R<sup>2</sup> values from linear models. Phenotypic correlations were estimated using Pearson's 702 703 correlation coefficients. Genetic correlations were estimated using genome-wide SNPs and the multivariate linear mixed model algorithm implemented in the GEMMA software package (Zhou & 704 Stephens, 2014). Manual clustering was according to the involvement of intra- and inter- organ 705 landmarks. Unsupervised hierarchical clustering was conducted using the 1-abs(correlation) as the 706 707 dissimilarity matrix and each iteration was updated using the Lance - Williams formula (Ward, 1963). we calculated twins heritability for TwinsUK and QIMR twins using the phenotypic correlation 708 derived from monozygotic twins (MZ) and dizygotic twins (DZ), i.e.,  $h^2 = 2[cor(MZ) - cor(DZ)]$ . 709 710 SNP-based heritability was estimated for twins cohorts using the restricted estimated maximum likelihood method implemented in the GCTA software package (Yang et al., 2011). 711

712

#### 713 **GWAS, meta-analysis, and replication studies**

GWASs for face phenotypes were independently carried out in RS, TwinsUK, ALSPAC, PITT,

715 CANDELA, UYG, and QIMR based on linear or logistic models assuming an additive allele effect

adjusted for potential confounders in each cohorts, such as family relationships, sex, age, BMI and

717 genetic PCs using software packages including PLINK (*Purcell et al., 2007*), GEMMA (*Zhou &* 

718 Stephens, 2012), and Rare Metal Worker (Feng et al., 2014). It should be noted that we used the 719 scaled General Procrustes Analysis (GPA) to eliminate potential confounding effect of BMI although 720 in some cohorts BMI was additionally included as a covariate, which shouldn't have affected the 721 results of our meta-analysis. For **RS**, association tests were run between the 78 3D facial distance measurements (after scaled GPA) and 6,886,439 genotyped and imputed SNPs with MAF > 0.01, 722 723 imputation R2>0.8, SNP call rate > 0.97 and HWE > 0.0001. GWAS was performed using linear 724 regression under the additive genetic model while adjusting for sex, age, and the first four genomic PCs derived using GCTA (Yang et al., 2011). For TwinsUK, guality control was performed on SNPs 725 (MAF > 0.01, imputation R2>0.8, SNP call rate > 0.99). One of each pair of monozygotic twins (MZ) 726 were excluded from association tests to reduce relatedness. The final sample included 1,020 727 728 individuals and 4,699,859 autosomal genotyped and imputed variants. GWAS was performed between the 78 3D facial distance measurements (after scaled GPA) and genotyped and imputed 729 730 SNPs using linear regression under the additive genetic model while adjusting for age and the first four genomic PCs. For **ALSPAC**, 3,941 study participants had both genotype and 3D facial 731 732 phenotype data. GCTA was used to remove individuals with excessive relatedness (GRM > 0.05) and quality control was performed on SNPs (MAF > 0.01, imputation R2>0.8, SNP call rate > 0.99). The 733 final sample included 3,707 individuals and 4,627,882 autosomal genotyped and imputed SNPs. 734 GWAS was performed between the 78 3D facial distance measurements (after scaled GPA) and 735 736 genotyped and imputed SNPs using linear regression under the additive genetic model while adjusting for age, sex, and the first four genomic PCs using PLINK 1.9 (Purcell et al., 2007). For PITT, 737 association tests were run between the 78 3D facial distance measurements (after scaled GPA) and 738 9,478,231 genotyped and imputed SNPs with MAF >1% and HWE >0.0001. GWAS was performed 739 using linear regression under the additive genetic model while adjusting for sex, age, age<sup>2</sup>, height, 740 weight and the first four genomic PCs using PLINK 1.9. For the analysis of the X-chromosome, 741 genotypes were coded 0, 1, and 2 as per the additive genetic model for females, and coded 0, 2 for 742 males in order to maintain the same scale between sexes. Note that in the meta-analysis of all 743 744 cohorts, the X-chromosome was not included. For CANDELA, PLINK 1.9 was used to perform the primary genome-wide association tests for each phenotype using multiple linear regression with an 745 additive genetic model incorporating age, sex, BMI and 5 genetic PCs as covariates. Association 746

analyses were performed on the imputed dataset with two approaches: using the best-guess
imputed genotypes in PLINK, and using the IMPUTE2 genotype probabilities in SNPTEST v2.5. Both
were consistent with each other and with the results from the chip genotype data. GWAS results
with using best-guess genotypes were used in the subsequent meta-analysis. For UYG, GWAS were
carried out using PLINK 1.9 and a linear regression model with additive SNP effects was used. Details
was described in prior GWAS (*Qiao et al., 2018*). For **QIMR**, the GWAS was conducted using Rare
Metal Worker with linear regression adjusted for sex, age, BMI and the first five genomic PCs.

Inverse variance fixed-effect meta-analysis were carried out using PLINK to combine GWAS 754 755 results for samples of European origin and having 3dMDface data, i.e., RS, TwinsUK, ALSPAC, and PITT, which included 7,029,494 autosomal SNPs overlapping between the 4 discovery cohorts with 756 757 physical positions aligned according to NCBI human genome sequence build GRCh37.p13. X chromosome was not included in meta-analyses. Summary statistics of all SNPs and all facial 758 759 phenotypes from the GWAS meta-analysis from the four cohorts of European descent (RS, TwinsUK, ALSPAC and PITT) are available via figshare https://doi.org/10.6084/m9.figshare.10298396 and will 760 761 be made available through the NHGRI-EBI GWAS

Catalog https://www.ebi.ac.uk/gwas/downloads/summary-statistics. Meta-analysis results were 762 visualized using superposed Manhattan plots and Q-Q plots. All genomic inflation factors were close 763 to 1 and not further considered. Because many of the 78 facial phenotypes were correlated, we 764 765 applied the matrix decomposition method described by Li and Ji (Li & Ji, 2005) to determine the effective number of independent phenotypes as 43. We then set our study-wide significant 766 threshold at  $p < 1.2 \times 10^{-9}$  using Bonferroni correction of 43 phenotypes, considering significant 767 threshold for single phenotype GWAS as  $P < 5 \times 10^{-8}$ ). We considered the threshold of  $5 \times 10^{-8}$  as the 768 threshold for replication studies in CANDELA, UYG, and QIMR. Since the 3dMDface data were 769 available in UYG, exact replications were conducted, i.e., the genetic association was tested for the 770 corresponding phenotypes in the meta-analysis. Since only 2D photos were available in CANDELA 771 and QIMR, trait-wise replications were conducted to test H0: no association for all face phenotypes 772 773 vs. H1: associated with at least one face phenotypes. We used a combined test of dependent tests to 774 combine genetic association tests involving highly correlated face phenotypes (Kost & McDermott, 2002). In short, the test statistic of the combined test follows a scaled chi-squared distribution when 775

tests are dependent. The mean of the  $\chi^2$  values is:

777

 $E(\chi^2) = 2k$ , and the variance can be estimated as

778 
$$var(\chi^2) = 4k + 2\sum_{1 \le i < j \le k} cov(-2logP_i, -2logP_j), \text{ where}$$

779 **k** is the number of phenotypes,  $P_i$  is the **p** value of the *i*th test. The covariance term 780  $cov(-2logP_i, -2logP_j)$  can be approximated by the following formula using the phenotype 781 correlation matrix:

$$cov(-2logP_{i},-2logP_{j}) pprox 3.263r_{ij}+0.71r_{ij}^{2}+0.027r_{ij}^{3}$$

This approximation has been shown nearly identical to the exact value with difference less than 0.0002 for  $-0.98 < r_{ij} < 0.98$  (*Kost & McDermott, 2002*). We then again used the combined test of dependent tests to combine replication evidence from all three cohorts. Multiple testing was corrected for the number of selected SNPs using the Bonferroni method. Regional linkage disequilibrium  $r^2$  values were calculated in PLINK and visualized using R scripting. Regional association plots were produced using LocusZoom (*Pruim et al., 2010*).

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#### 790 **Genetic diversity and positive selection signal analysis**

To test for signals of allele frequency diversity and positive selection in the face associated genomic 791 regions, we derived two commonly used statistics in population genetics, i.e., the fixation index (FST) 792 793 and the integrated haplotype score (iHS) for all SNPs in the associated regions. The FST is a parameter in population genetics for quantifying the differentiation due to genetic structure 794 between a pair of groups by measuring the proportion of genetic diversity due to allele frequency 795 796 differences among populations potentially as a result of divergent natural selection (Holsinger & Weir, 2009). We performed a genome-wide FST analysis for three pairs of populations (AFR-EAS, 797 EAS-EUR, and EUR-AFR) in the samples from the 1000 Genome Project using the PLINK software. 798 799 The empirical significance cutoff for each of the three population pairs was set to the value corresponding to the top 1% FST values in the genome. The iHS is the integrate of the extended 800 801 haplotype homozygosity (EHH) statistic to highlight recent positive selected variants that have not 802 yet reached fixation, and large values suggest the adaption to the selective pressures in the most 803 recent stage of evolution (Sabeti et al., 2002; Voight et al., 2006). The EHH statistic was calculated for all SNPs in AFR, EAS and EUR samples. Then the iHS statistic, integral of the decay of EHH away from each SNP until EHH reaches 0.05, was calculated for all SNPs, in which an allele frequency bin of 0.05 was used to standardize iHS scores against other SNPs of the same frequency class. Finally, we calculated empirical significance threshold over the genome assuming a Gaussian distribution of iHS scores under the neutral model. The cutoff was based on the top 1% absolute iHS scores calculated in three samples respectively as the absolute score indicate the selection intensity.

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#### 811 Multivariable and polygenic score (PS) analysis

Multivariable and polygenic score analyses were conducted in the RS cohort. For all SNPs showing 812 study-wide suggestively significant association with face phenotypes ( $p < 5x10^{-8}$ ), we performed a 813 814 multivariable regression analysis aiming to select SNPs that still be significant after regressing out the effects of the 24 lead SNPs by including them as covariates in the model, which resulted in 31 815 SNPs for the subsequent modeling. A forward step-wise regression was conducted to access the 816 independent effects of the selected SNPs on sex- and age- adjusted face phenotypes, where the R<sup>2</sup> 817 contribution of each SNP was estimated by comparing the current model fitting R<sup>2</sup> with the R<sup>2</sup> in a 818 previous iteration. Next, we calculated PS for AFR, EUR, EAS individuals of the 1000 Genomes Project 819 using the selected SNPs and the effect sizes estimated from the multivariable analysis, i.e., PS =820  $\sum_{i=1}^{n} \beta_i A_i$ . The mean values and distributions of the standardized PS values for all face phenotypes in 821 822 each continental group was visualized using a face map and multiple boxplots, in which the differences between groups were highlighted according to the p-values from the ANOVA test, which 823 tests H0: PS values are the same in all continental groups and H1: PS values are different in at least 824 825 one of the groups.

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#### **Gene ontology analysis, expression analysis and SNP functional annotation**

To further study the involved functions and regulation relationships of the genome-wide significantly associated SNP markers and candidate genes nearby, the genes located within 100kb up- and down-stream of the SNPs were selected to perform biological process enrichment analysis based on the Gene Ontology (GO) database. The enrichment analysis was performed using the R package 'clusterProfiler' (*G. Yu et al., 2012*). RNA-seq data from the study of Prescott et al. (*Prescott*  833 et al., 2015), GTEx (G. T. Consortium, 2013) and ENCODE (E. P. Consortium, 2012) were used to compare the differences in gene expression levels between our face-associated genes and all genes 834 over the genome in CNCCs. We examined entries in GWAS catalog (Welter et al., 2014) to explore 835 the potential pleotropic effects in our face associated regions. The GTEx (G. T. Consortium, 2013) 836 dataset was used to annotate our face associated SNPs for significant single-tissue *cis*-eQTL effects 837 in all 48 available tissues. We used the CNCC data from Prescott et al. and UCSC (Aken et al., 2016) 838 839 to perform a variety of functional annotations for the face associated SNPs in non-coding regions using the WashU Epigenome Browser, including histone modifications (H3K27ac, H3K4me1 and 840 H3K4me3 tracks), chromatin modifier (p300 tracks), transcription factors (TFAP2A tracks), chromatin 841 accessibility (ATACseq tracks) and conserved regions (PhyloP (Siepel et al., 2005) tracks) from UCSC. 842 To investigate the pattern of regulation within each association region in details, we calculated the 843 log scaled quantile rank and variation of all LD SNP ( $r^2 > 0.25$ ) in 3 replicated measurements from 6 844 845 types of Chip-seq data, and for all significant base-pair in vicinity (within 20kb) of all top-associated SNPs. All analyses were conducted using R Environment for Statistical Computing (version 3.3.1) 846 847 unless otherwise specified.

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#### 849 **Cell culture**

Neural progenitors were derived from human induced pluripotent stem cells as described previously 850 851 (male, age 57 years, derived from primary skin fibroblasts) (Gunhanlar et al., 2018). Written informed consent was obtained in accordance with the Medical Ethical Committee of the Erasmus University 852 Medical Center. Neural progenitors contain a subpopulation of neural crest progenitor cells that 853 854 were enriched by fluorescence-activated cell sorting for CD271 (BD Bioscience 560927, BD FACSAria 855 III) (Dupin & Coelho-Aquiar, 2013; G. Lee et al., 2007). CD271 (p75) is a surface antigen marking neural crest progenitor cells which give rise to craniofacial tissues as well as melanocyte primary 856 857 cells (Morrison et al., 1999). CD271+ cells were grown in DMEM:F12, 1% N2 supplement, 2% B27 supplement, 1% P/S, 20 ng/ml FGF at 37°C/5% CO2. G361 cells were cultured in DMEM/10% FCS at 858 859 37°C/5% CO2. The cell line was tested negative for mycoplasma contamination and its identity was 860 authenticated by STR profiling using PowerPlex 16 System (Promega).

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#### 862 In vitro functional experiments: Luciferase reporter assay

We explored the effect of the 5 selected SNPs on gene expression in CD271+ and G361 melanoma 863 cells by a luciferase reporter assay. Custom 500bp gBlocks Gene fragments (IDT) containing putative 864 enhancers surrounding each of the 5 selected SNPs were cloned into a modified pGL3 firefly 865 luciferase reporter vector (SV40 promoter and 3'UTR replaced by HSP promoter and 3'UTR). For 866 each SNP, constructs containing both ancestral and derived alleles were tested. Equimolar amount 867 of constructs (measured by qPCR detecting the firefly luciferase gene using GoTag qPCR Master Mix 868 869 (Promega) were co-transfected with renilla luciferase control vector into CD271+ and G361 cells using Lipofectamine LTX (Invitrogen). Luciferase activity was measured 48h after transfection using 870 the Dual-Glo Luciferase Assay System (Promega). Data are presented as relative luciferase activity 871 872 (firefly/renilla activity ratio) fold change compared to the construct containing the less active allele and represent at least three independent replicates. Student's t-test was performed to test 873 differences in gene expression. The Key Resources Table summarizing reagents and resources used 874 in the *in-vitro* functional experiments is included in the **Supplementary Table 19 (see** 875 876 Supplementary File 1).

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878

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888

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# **Conflict of Interest Statement**

949 The authors declared that they have no conflicts of interest to this work.

950 **Figures** 

951

Figure 1. Manhattan plot from meta-analysis discovery GWAS (N = 10,115 Europeans) for 78
 Euclidean distances between 13 facial landmarks.

954 Results from meta-analysis of four GWASs in Europeans (N=10,115), which were separately conducted in RS, TwinsUK, ALSPAC, and PITT for 78 facial shape phenotypes that are displayed in a 955 signal 'composite' Manhattan plot at the bottom of the figure. All loci consisting of SNPs reaching 956 study-wide suggestive significance ( $p < 5 \times 10^{-8}$ , red line) were nominated according to the nearby 957 candidate genes in the associated loci, and the top 10 loci were highlighted in colors. The black line 958 indicates study-wide significance after multiple trait correction ( $p < 1.2 \times 10^{-9}$ ). Novel and previously 959 960 established face-associated genetic loci were differentiated using colored and grey text, respectively. Annotation of the 13 facial landmarks used to derive the 78 facial phenotypes and the associated 961 facial phenotypes are illustrated in the upper part of the figure. 962

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# Figure 2. Six novel genetic loci associated with facial shape phenotypes and successfully replicated.

The figure is composed by 6 parts, (A) 1p36.22 CASZ1 region, (B) 4q28.1 INTU region, (C) 6p21.2 966 KIF6 region, (D) 12q24.21 TBX3 region, (E) 14q32.2 C14orf64 region, and (F) 16q12.2 RPGRIP1L 967 968 region. Each part includes two figures, Face map (left) denoting all of the top-SNP-associated phenotypes weighted by the statistical significance (-log<sub>10</sub>P). The dashed line means that the P value 969 was nominally significant (p<0.01) but did not reach study-wide suggestive significance (p>5e-8). 970 971 LocusZoom (right) shows regional association plots for the top-associated facial phenotypes with candidate genes aligned below according to the chromosomal positions (GRCh37.p13) followed by 972 linkage disequilibrium (LD) patterns ( $r^2$ ) of EUR in the corresponding regions. Similar figures for all 973 24 study-wide suggestively significant loci are provided in Figure 2-figure supplementary 1-24. 974 975

976 Figure 3. Polygenic scores of 78 facial phenotypes.

977 (A), Facial phenotype variance is explained by a multivariable model consisting of 31 face-associated
978 SNPs with independent effects. (B) Unsupervised clustering reveals the details on the explained

phenotype variance, where the SNPs were attributed to the candidate genes in the associated
regions. All phenotypes with the total explained variance > 2% are shown. SNPs were colored
according to their raw p-values and those passing FDR < 0.05 were indicated in squares. (C) Mean</li>
standardized polygenic scores calculated by applying the multivariable model trained in the RS
discovery sample to Sub-Saharan Africans (AFR), East Asians (EAS) and Europeans (EUR) in the 1000
Genomes Project data. (D) Examples of the distributions of the face scores in samples of different
ancestry origin/country.

986

# Figure 4. Expression of 24 genes located at the identified 24 face-associated genetic loci in 50 cell types.

989 Expression levels of the genes nearest to the 24 top-associated SNPs (see Table 1) in 50 cell types were displayed in boxplots based on published data from the study of Prescott et al. (Prescott et al., 990 991 2015), the GTEx database(G. T. Consortium, 2013) and the ENCODE database(E. P. Consortium, 2012). The cell types included CNCC, 20 other tissue cells, 20 primary cells and 9 embryonic stem 992 993 cells. (A) Boxplots of normalized RNA-seq VST values for the 24 genes (in orange) and all genome background genes (~50,000 genes, in blue). Expression difference between the genome background 994 genes and the 24 genes was tested in each cell type using the unpaired Wilcoxon rank-sum test. 995 Distribution of the expression levels in CNCC showed smaller variation than those of several 996 997 embryonic stem cells which showed higher median. The expression of the 24 genes in CNCCs was also iteratively compared with that in other cell types using paired Wilcoxon rank-sum test. 998 Statistical significance was indicated: \*p < 0.05 after multiple correcting test of cell lines amount. (B) 999 Difference significance of normalized RNA-seq VST values in each of 24 genes were displayed using 1000 barplots between CNCCs and all 49 types of cells (purple), CNCCs and 20 tissue cells (blue), CNCCs 1001 and 20 primary cells (green), CNCCs and 9 embryonic stem cells (orange). The difference between 1002 the value of CNCCs and other cell type groups was tested using the one-sample Student's t test. 1003 Dotted line represents Bonferroni corrected significant threshold (p<0.0021). Significant gene labels 1004 1005 were in color compared to non-significant gene labels in black.

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- 1008

#### 1009 Figure 5. Three examples of genetic loci associated with facial shape phenotypes.

Three examples of facial shape associated loci we discovered are depicted in details, including two 1010 1011 novel loci (INTU; RPGRIP1L) and one (PAX3) that overlaps with previous face GWAS findings. The 1012 figure is composed by 3 layers (A-C) organized from the top to the bottom. (A) Denotes the linkage disequilibrium (LD) patterns ( $r^2$ ) of EUR in the corresponding regions and epigenetic annotation of 1013 1014 CNCC's regulatory elements in corresponding regions using WashU Epigenome Browser. Chip-seq 1015 profiles display histone modifications associated with active enhancers (H3K27ac, H3K4me1) or promoters (H3K4me3), and binding of general coactivator p300 and transcription factor TFAP2A. 1016 The ATAC-seq track shows chromatin accessibility. The PhyloP track indicates cross-species 1017 conservation. (B) SNPs in LD ( $r^2 > 0.25$ ) with the top-associated SNP and all base-pairs in vicinity 1018 (within 20kb, p < 0.05) are displayed according to their log scaled quantile rank ( $-\log_{10}p$ , axis scale) 1019 1020 in the circular figure, where the rank is calculated using the Chip-seq values in the whole genome. In 1021 addition, SNPs associated with facial phenotypes in our meta-analysis of GWASs were highlighted according to their association p values ( $P_{Meta}$ , color scale) and their LD ( $r^2$ ) with the top-associated 1022 1023 SNP in the region (points size). (C) Shows results of luciferase reporter assays in CD271+ neural crest progenitor cells by which we tested allele-specific enhancer activity of putative enhancers 1024 surrounding the selected SNPs using the Student's t-test. Data are presented as relative luciferase 1025 activity (firefly/renilla activity ratio) fold change compared to the construct containing less active 1026 1027 allele. Similar figures for layers A and B are provided for all face associated loci in Figure 2-figure supplementary 1-24. 1028

## 1030 Supplementary Figures

- 1031
- 1032 Figure 1-figure supplementary 1. An example of GPA, facial landmarks obtained from 3dMD
- 1033 images in 3,193 participants from the discovery cohorts RS.
- 1034 A, All raw landmarks before GPA process; B, after GPA process.
- 1035

#### **Figure 1-figure supplementary 2. Phenotype characteristics of 78 facial traits.**

- (A) Sex difference (RS, N=3,193); (B) Aging effect (RS, N=3,193); (C) Variance explained by sex and age
   (RS, N=3,193); (D) Unsupervised hierarchical clustering of phenotype correlation matrix resulted in 4
   clusters of phenotypes (RS, N=3,193); (E) Twins heritability estimates in QIMR (N=1,101) using 2D
- 1040 frontal photographs; (**F**) Twins heritability estimates in TwinsUK (N=1,020) using 3D images.
- 1041

# Figure 1-figure supplementary 3. Phenotypic and genetic correlation matrix between all facial phenotypes in cohort RS.

Positive correlations are shown as brown squares; Negative correlations are shown as blue squares. Phenotypic correlation is shown above the diagonal and SNP-based genetic correlation is shown below the diagonal. The matrix was organized according to the involvement of intra- and inter- organ landmarks.

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# Figure 1-figure supplementary 4. Quantile-Quantile plots and genomic inflation factors for 22 significant associated facial traits.

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#### **Figure 1-figure supplementary 5. Power analysis.**

The power of association tests under a variety of sample sizes (N=3,000, 6,000, 10,000 and 15,000) with varied proportions of explained phenotypic variance (R<sup>2</sup>), absolute effect size (|ES|) and minor allele frequency (MAF) are investigated at (**A**) our study-wide significant level ( $1.2 \times 10^{-9}$ ; and (**B**) our study-wide suggestive significance level ( $5 \times 10^{-8}$ ). Power and R<sup>2</sup> are indicated by different colors. The dashed line represents the distribution of 90% power value. For example, under the sample size of 1058 10,000, our study has 90% power to detect suggestive significant SNP explaining at least 0.43% of the 1059 phenotypic variance (R<sup>2</sup>).

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## Figure 2-figure supplementary 1-24. Overviews of association, selection, LD and regulation patterns in 24 associated regions. (1-6 show 6 novel replicated loci, 7-17 show 11 novel nonreplicated loci, 18-24 show 7 previously reported loci)

(A) From up to down, the 1<sup>st</sup> panel shows regional association plots (LocusZoom) for the top-1064 associated facial phenotypes with candidate genes aligned below according to the chromosomal 1065 positions (GRCh37.p13). The 2<sup>nd</sup> panel shows signals of local positive selection using diversity (F<sub>ST</sub>) and 1066 conservation (|iHS|) statistics between and within EUR, AFR, and EAS population samples from the 1067 1000 Genomes Project. The 3<sup>rd</sup> panel denotes the linkage disequilibrium (LD) patterns ( $r^2$ ) in the 1068 associated region. The 4<sup>th</sup> panel shows epigenetic annotation of CNCC's regulatory elements in 1069 1070 corresponding regions using WashU Epigenome Browser. Chip-seq profiles display histone modifications associated with active enhancers (H3K27ac, H3K4me1) or promoters (H3K4me3), and 1071 1072 binding of general coactivator p300 and transcription factor TFAP2A. The ATAC-seg track shows chromatin accessibility. The PhyloP track indicates cross-species conservation. (B) Shows a face map 1073 denoting the significance (-log<sub>10</sub>P) for the associations between the top SNP and facial phenotypes. 1074 The dashed line means that the P value was nominally significant (p < 0.01) but did not reach study-1075 1076 wide suggestive significance (p>5e-8). (C) Effect sizes for the derived allele at index SNPs. Blue, red, and green boxes represent effect sizes estimated in the participating discovery cohort, combined 1077 meta-analysis, and in the replication UYG cohort, respectively. Box sizes are proportional to sample 1078 size. Horizontal bars indicate a 95% confidence interval of width equal to 1.96 standard errors. (D) All 1079 SNPs in LD ( $r^2 > 0.25$ ) with the top-associated SNP and all base-pairs in vicinity (within 20kb, p < 0.05) 1080 are displayed according to their log scaled quantile rank (-log<sub>10</sub>p, axis scale) in the circular figure below, 1081 where the rank is calculated using the Chip-seq values in the whole genome. In addition, SNPs 1082 associated with facial phenotypes in our meta-analysis of GWASs were highlighted according to their 1083 1084 association p values ( $P_{Meta}$ , color scale) and their LD ( $r^2$ ) with the top-associated SNP in the region 1085 (points size).

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- 1087

1088	Figure 2-figure supplementary 1. Association, selection, LD and regulation patterns for
1089	rs143353512 located around <i>CASZ1.</i>
1090	
1091	Figure 2-figure supplementary 2. Association, selection, LD and regulation patterns for
1092	rs12504954 located around <i>INTU.</i>
1093	
1094	Figure 2-figure supplementary 3. Association, selection, LD and regulation patterns for
1095	rs7738892 located around <i>KIF6.</i>
1096	
1097	Figure 2-figure supplementary 4. Association, selection, LD and regulation patterns for
1098	rs1863716 located around <i>TBX3.</i>
1099	
1100	Figure 2-figure supplementary 5. Association, selection, LD and regulation patterns for
1101	rs1989285 located around <i>C14orf64.</i>
1102	
1103	Figure 2-figure supplementary 6. Association, selection, LD and regulation patterns for
1104	rs7404301 located around <i>RPGRIP1L.</i>
1105	
1106	Figure 2-figure supplementary 7. Association, selection, LD and regulation patterns for
1107	rs200243292 located around ARHGEF19.
1108	
1109	Figure 2-figure supplementary 8. Association, selection, LD and regulation patterns for
1110	rs77142479 located around <i>RPE65.</i>
1111	
1112	Figure 2-figure supplementary 9. Association, selection, LD and regulation patterns for
1113	rs10202675 located around <i>LRRTM4.</i>
1114	
1115	Figure 2-figure supplementary 10. Association, selection, LD and regulation patterns for
1116	rs2884836 located around <i>KIAA1715.</i>
1117	

1118	Figure 2-figure supplementary 11. Association, selection, LD and regulation patterns for
1119	rs113663609 located around <i>CMSS1.</i>
1120	
1121	Figure 2-figure supplementary 12. Association, selection, LD and regulation patterns for
1122	rs2225718 located around <i>RNF144B</i> .
1123	
1124	Figure 2-figure supplementary 13. Association, selection, LD and regulation patterns for
1125	rs1700048 located around <i>CSMD1.</i>
1126	
1127	Figure 2-figure supplementary 14. Association, selection, LD and regulation patterns for
1128	rs9642796 located around <i>DCAF4L2</i> .
1129	
1130	Figure 2-figure supplementary 15. Association, selection, LD and regulation patterns for
1131	rs201719697 located around <i>SUPV3L1.</i>
1132	
1133	Figure 2-figure supplementary 16. Association, selection, LD and regulation patterns for
1134	rs7325564 located around <i>LINC00371.</i>
1135	
1136	Figure 2-figure supplementary 17. Association, selection, LD and regulation patterns for
1137	rs16949899 located around <i>SALL1.</i>
1138	
1139	Figure 2-figure supplementary 18. Association, selection, LD and regulation patterns for
1140	rs1229119 located around <i>TBX15.</i>
1141	
1142	Figure 2-figure supplementary 19. Association, selection, LD and regulation patterns for
1143	rs34032897 located around <i>PAX3.</i>
1144	
1145	Figure 2-figure supplementary 20. Association, selection, LD and regulation patterns for
1146	rs6535972 located around <i>SFRP2.</i>
1147	

1148	Figure 2-figure supplementary 21. Association, selection, LD and regulation patterns for
1149	rs2230578 located around <i>ROR2.</i>
1150	
1151	Figure 2-figure supplementary 22. Association, selection, LD and regulation patterns for
1152	rs8077906 located around CASC17.
1153	
1154	Figure 2-figure supplementary 23. Association, selection, LD and regulation patterns for
1155	rs35473710 located around <i>SOX9.</i>
1156	
1157	Figure 2-figure supplementary 24. Association, selection, LD and regulation patterns for
1158	rs4813454 located around <i>PAX1.</i>
1159	
1160	Figure 3-figure supplementary 1. Effects of NSCL/P-associated SNPs to 78 facial phenotypes.
1161	Facial phenotype variance is explained by polygenic scores of 47 NSCL/P-associated SNPs after LD
1162	prune (r <sup>2</sup> >0.5).
1163	
1164	Figure 4-figure supplementary 1. Gene ontology enrichment analysis for 24 face-associated
1165	genes.
1166	Enrichment of the genes annotating the 24 identified face-associated genes. Enriched terms
1167	(FDR<0.01 and n>2, x-axis) are indicated by corrected P-value (FDR, different color), candidate genes
1168	contained by the terms (n, sizes of dots) and ratio of enrichment between test genes and background
1169	genes (y-axis).
1170	
1171	Figure 5-figure supplementary 1. Overview of regulation activity of 24 face-associated loci in
1172	CNCCs.
1173	For the top-associated SNPs at the 24 face associated loci, their base-pairs in vicinity within 20kb (red
1174	bar) and LD ( $r^2 > 0.25$ ) SNPs (blue bar) were examined for <i>cis</i> -regulatory entries in six epigenomic
1175	tracks in CNCCs at three thresholds (top 1%, top 0.5%, top 0.1% of the genome). The proportions of
1176	the base-pairs or LD SNPs at each locus passing the set thresholds were displayed using bars (left y-
1177	axis), and the folds of the increase over the set thresholds were displayed using dashed lines (right y-

1178 axis). Statistical significance was derived using the Fisher's exact test (\*adjust.p < 0.05).

### **Table**

**Table 1.** SNPs significantly associated ( $p < 5x10^{-8}$ ) with facial shape phenotypes from European

discovery GWAS meta-analysis (RS, TwinksUK, ALSPAC, and PITT), and their multi-ethnic replication

1182 (UYG, CANDELA and QIMR).

						Discov	very meta-an	Replication	
							(N=10,115)	(N=7,917)	
Region	SNP	Nearest Gene	EA	OA	Trait	Beta	Р	Q	Com. P
Novel face-associated loci									
1p36.22	rs143353512	CASZ1	А	G	Prn-AIL	-0.29	6.44×10 <sup>-9</sup>	0.73	0.0001
1p36.13	rs200243292	ARHGEF19	Ι	Т	EnR-ChL	-0.11	1.46×10 <sup>-8</sup>	0.54	0.0640
1p31.2	rs77142479	RPE65	С	А	EnL-Sn	-0.08	7.65×10 <sup>-9</sup>	0.90	0.0121
2p12	rs10202675	LRRTM4	Т	С	EnR-AIR	-0.26	4.43×10 <sup>-8</sup>	0.40	0.0226
2q31.1	rs2884836	KIAA1715	Т	С	ExR-ChR	-0.09	3.04×10 <sup>-8</sup>	0.52	0.1096
3q12.1	rs113663609	CMSS1	А	G	EnR-ChR	-0.12	3.46×10 <sup>-8</sup>	0.96	0.0782
4q28.1	rs12504954	INTU	А	G	Prn-AIL	-0.09	3.03×10 <sup>-10</sup>	0.52	0.0015
6p22.3	rs2225718	RNF144B	С	Т	EnR-AIR	-0.09	2.97×10 <sup>-8</sup>	0.60	0.0071
6p21.2	rs7738892	KIF6	Т	С	EnR-N	0.11	1.34×10 <sup>-8</sup>	0.09	0.0018
8p23.2	rs1700048	CSMD1	С	А	ExR-ChL	-0.22	3.94×10 <sup>-8</sup>	0.73	0.1131
8q21.3	rs9642796	DCAF4L2	А	G	AIL-Ls	-0.11	4.52×10 <sup>-8</sup>	0.07	0.3090
10q22.1	rs201719697	SUPV3L1	А	D	ExL-AIL	-0.28	3.42×10 <sup>-8</sup>	0.66	NA
12q24.21	rs1863716	TBX3	А	С	Prn-AIR	-0.09	1.47×10 <sup>-10</sup>	0.53	2.45×10⁻⁵
13q14.3	rs7325564	LINC00371	Т	С	N-Prn	0.09	1.34×10 <sup>-8</sup>	0.16	0.3519
14q32.2	rs1989285	C14orf64	G	С	N-Prn	-0.10	4.54×10 <sup>-8</sup>	0.82	0.0019
16q12.1	rs16949899	SALL1	Т	G	ExR-ChL	-0.13	3.35×10 <sup>-8</sup>	0.76	0.8912
16q12.2	rs7404301	RPGRIP1L	G	А	AIL-Ls	-0.09	3.49×10 <sup>-9</sup>	0.43	2.87×10 <sup>-7</sup>
Previously repo	rted face-associated loci								
1p12	rs1229119	TBX15	Т	С	ExR-ChR	0.08	2.25×10 <sup>-8</sup>	0.26	0.1219
2q36.1	rs34032897	PAX3	G	А	EnR-N	0.14	1.96×10 <sup>-17</sup>	0.04	0.0020
4q31.3	rs6535972	SFRP2	С	G	EnL-AIL	0.12	3.51×10 <sup>-12</sup>	0.12	5.89×10 <sup>-12</sup>
9q22.31	rs2230578	ROR2	С	Т	EnL-Sn	0.09	9.02×10 <sup>-9</sup>	0.66	1.09×10 <sup>-6</sup>
17q24.3	rs8077906	CASC17	А	G	Prn-EnL	-0.09	3.00×10 <sup>-11</sup>	0.24	0.0505
17q24.3	rs35473710	SOX9	G	А	AIR-ChL	0.19	3.95×10 <sup>-8</sup>	0.37	0.2634
20p11.22	rs4813454	PAX1	Т	С	AIL-AIR	-0.10	2.32×10 <sup>-11</sup>	0.58	0.0002

Except rs2230578 (3'-UTR of *ROR2*) and rs7738892 (a synonymous variant of *KIF6*), all SNPs are intronic or intergenic. Gene symbols in bold indicate successful replication after Bonferroni correction of 24 loci ( $p<2.1x10^{-3}$ ). Meta P in bold indicates study-wide significance in the discovery analysis after multiple trait correction ( $p<1.2x10^{-9}$ ). Replication P in bold means significant after Bonferroni correction for multiple tests ( $p<2.1x10^{-3}$ ). Q: p-value from the Cochran's Q test for testing heterogeneity between discovery cohorts. EA and OA, the effect allele and the another allele. Com. P: p-values from a combined test of dependent tests. NA, not available.

## 1190 Supplementary File 1

- 1192 Which include:
- **Supplementary Table 1.** Characteristics of the all cohorts.
- **Supplementary Table 2** Characteristics of 78 facial phenotypes in RS.
- **Supplementary Table 3** Effects of 6 covariates to 78 facial phenotypes in RS.
- **Supplementary Table 4.** Phenotype correlations between all facial phenotypes in RS.
- **Supplementary Table 5.** Genetic correlation between all facial phenotypes in RS.
- Supplementary Table 6. Twins heritability and SNP-based heritability of all facial phenotypes in
   TwinsUK and QIMR.
- **Supplementary Table7.** 494 SNPs associated (P<5e-8) with facial shape phenotypes in meta-1201 analysis of GWAS.
- **Supplementary Table 8.** Replication of reported variants of facial variation.
- **Supplementary Table 9.** GWAS Catalog entries (release on 2018-01-01), for polymorphisms that 1204 were significantly associated with facial traits in meta-analyses.
- Supplementary Table 10. Significant pleiotropic effect of study-wide suggestive SNPs onGeneATLAS traits.
- **Supplementary Table 11.** Frequency distribution of 24 top-associated SNPs.
- **Supplementary Table 12.** Population differentiation and positive selection at the suggestive 1209 significant GWAS SNPs.
- **Supplementary Table 13.** Replication of reported variants of NSCL/P trait.
- Supplementary Table 14. Multiple linear regression for 31 top-associated SNPs fitting with SEX andAGE in RS.
- **Supplementary Table 15.** Enrichment of the genes annotating the associated 24 regions.
- **Supplementary Table 16.** Significant expression quantitative trait loci effects for 494 SNPs 1215 significantly associated with facial traits and the target genes.
- **Supplementary Table 17.** Overviews of 5 selected candidate regulatory SNPs.
- **Supplementary Table 18.** Luciferase reporter assay results overview presented as relative luciferase
- activity fold change compared to construct containing less active allele ± standard deviation.
- **Supplementary Table 19.** Key Resource Table for functional experiments.

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
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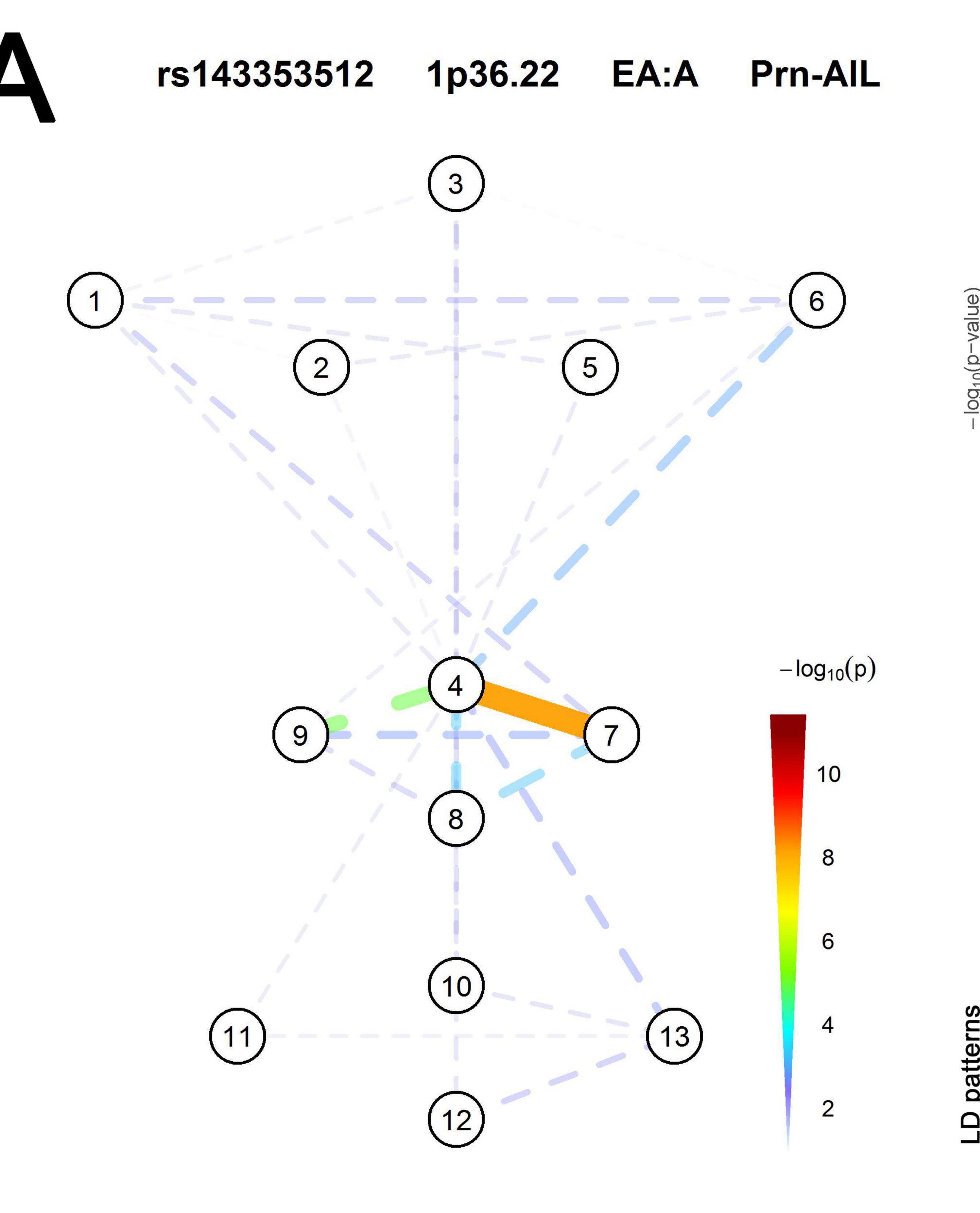
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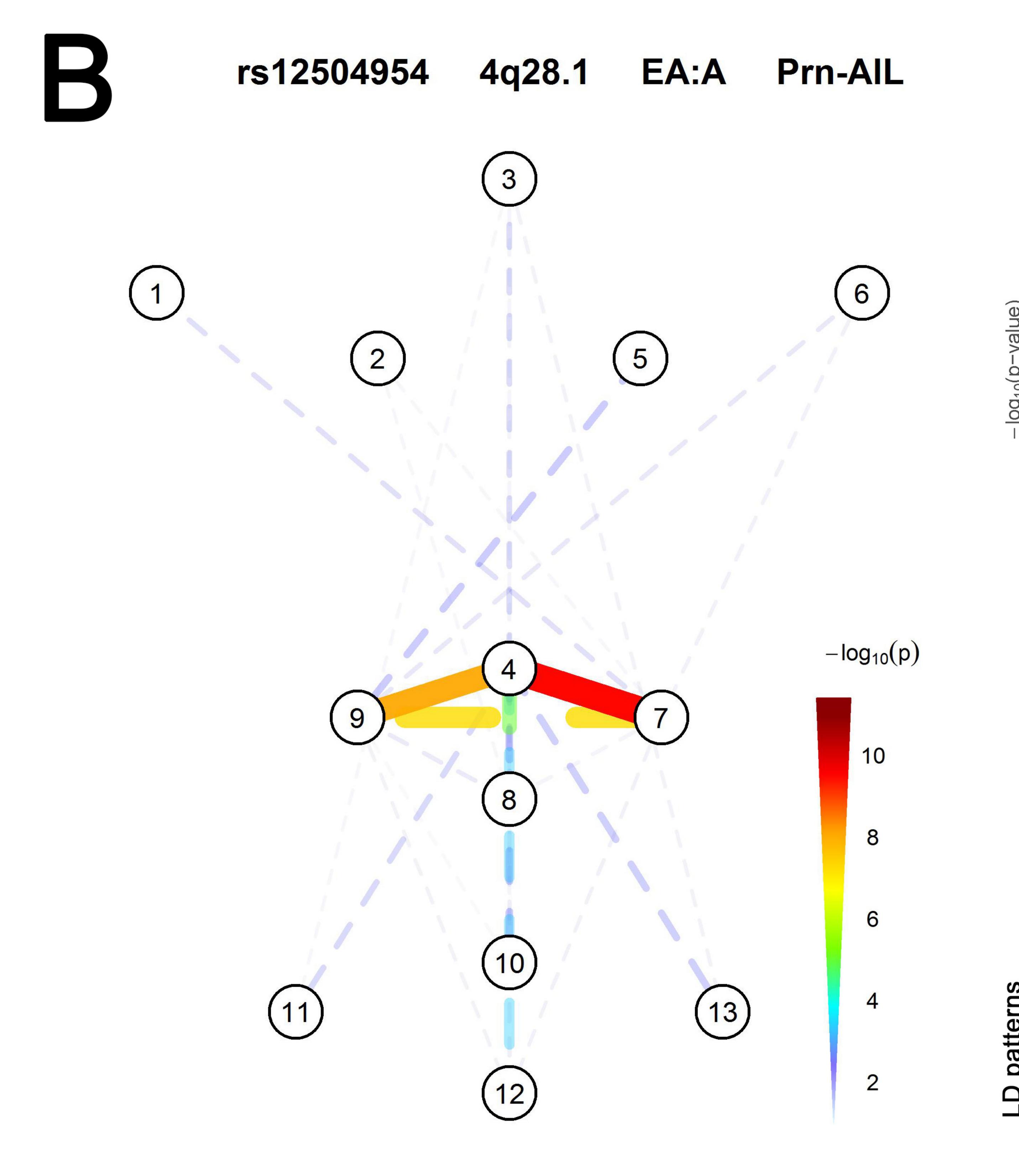


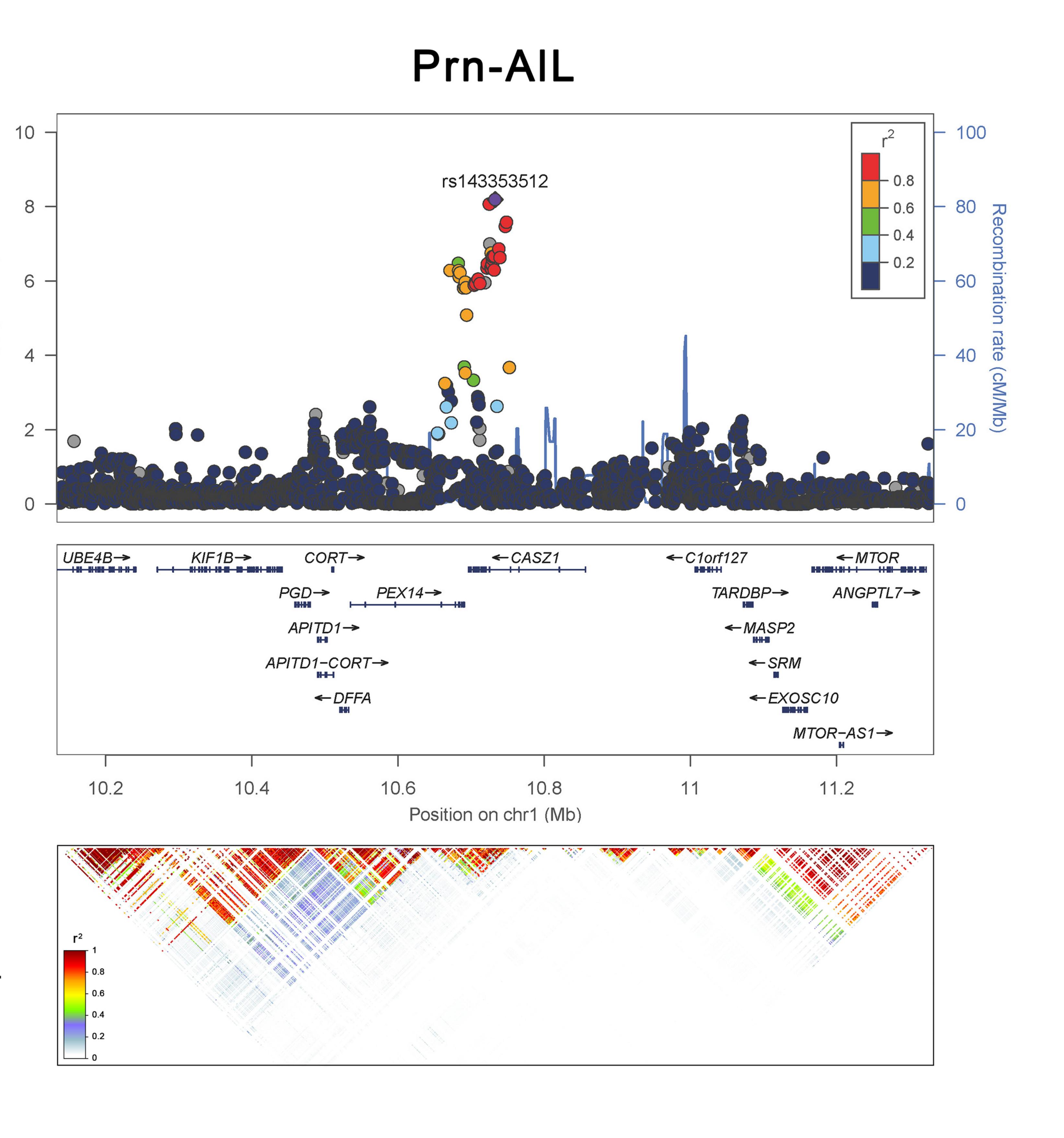
No	Abbreviation	Name
1	ExR	Right Exocanthion
2	EnR	<b>Right Endocanthion</b>
3	Ν	Nasion
4	Prn	Pronasale
5	EnL	Left Endocanthion
6	ExL	Left Exocanthion
7	AIL	Left Alare
8	Sn	Subnasale
9	AlR	Right Alare
10	Ls	Labliale superius
11	ChR	Right Cheilion



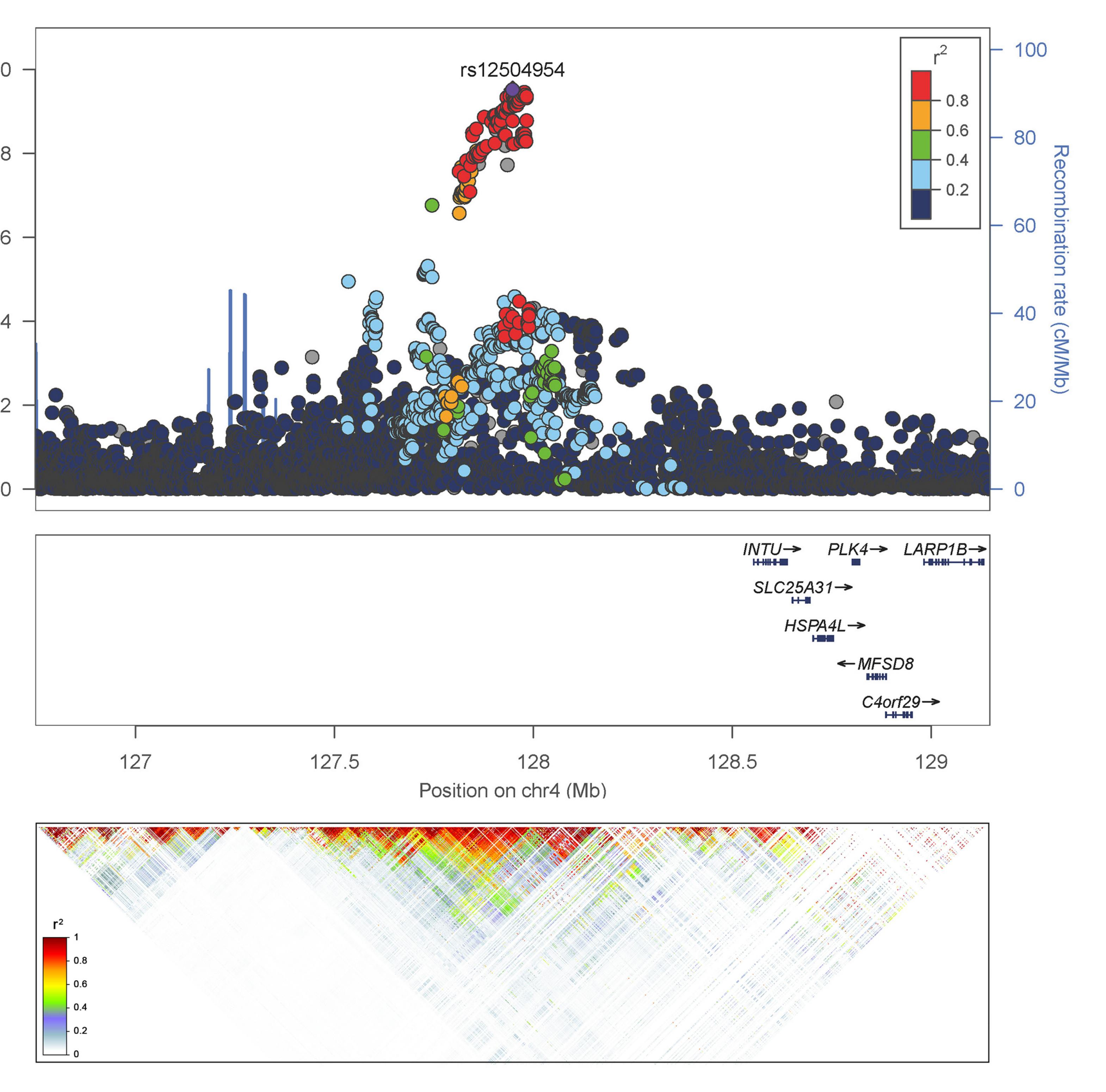
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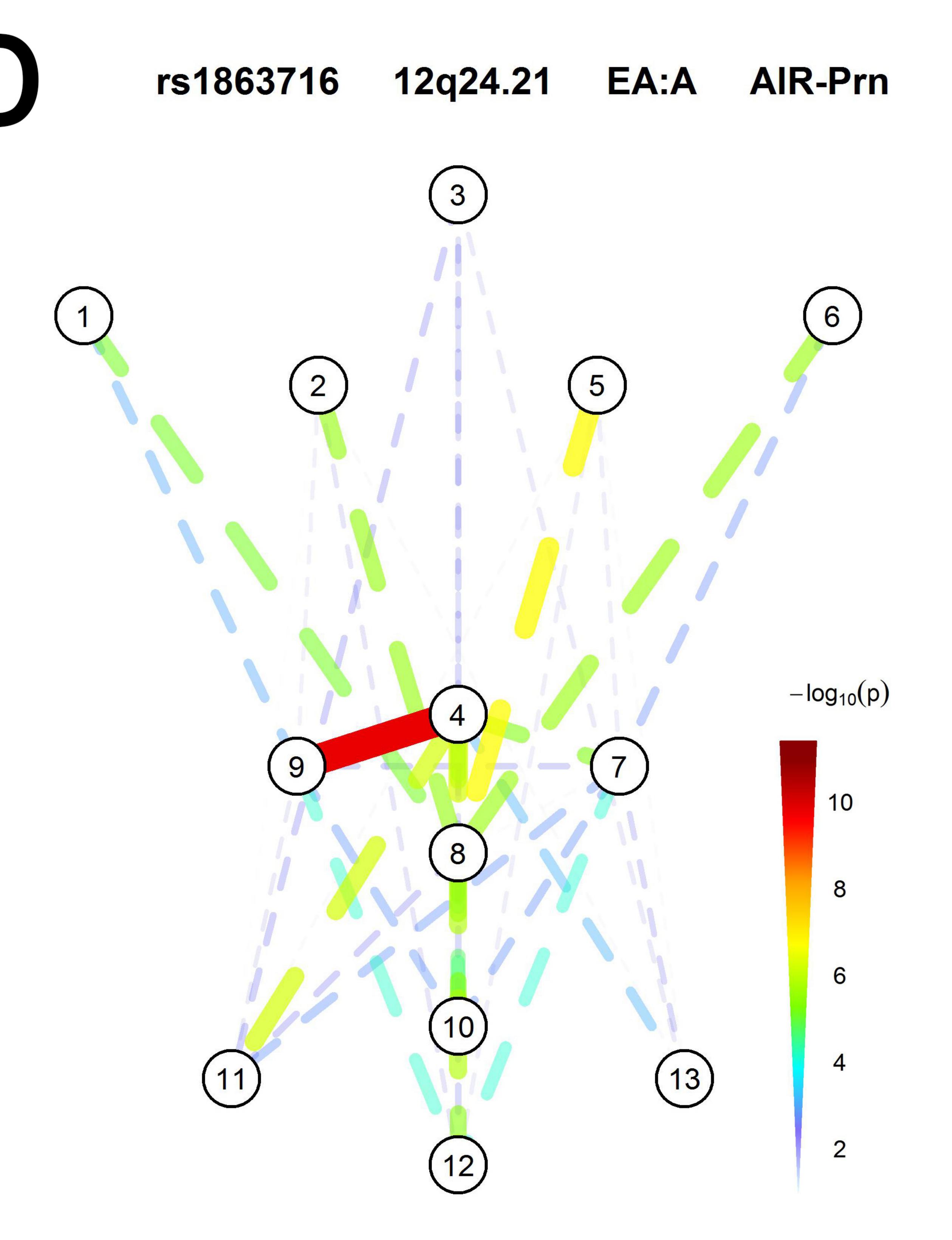


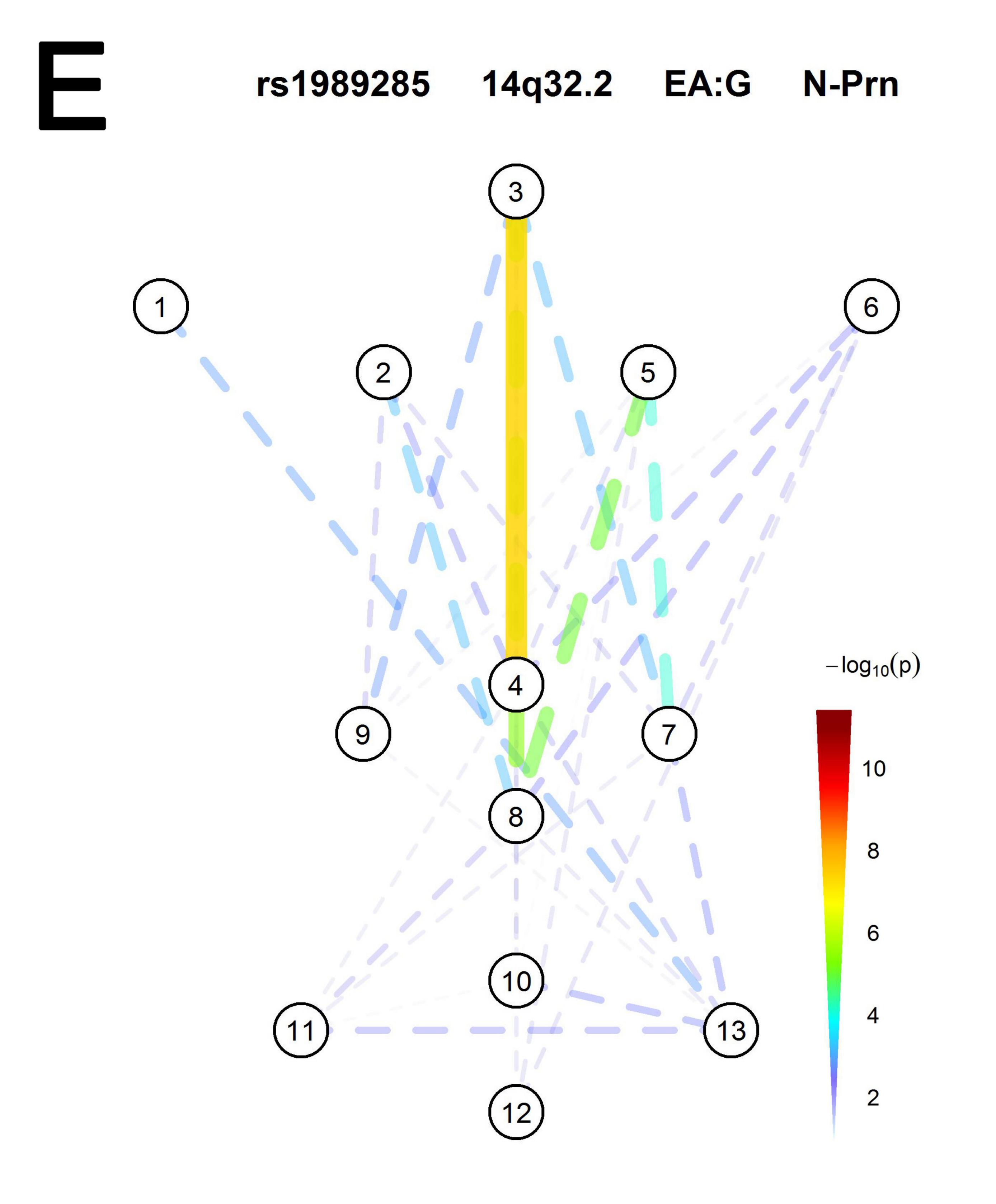


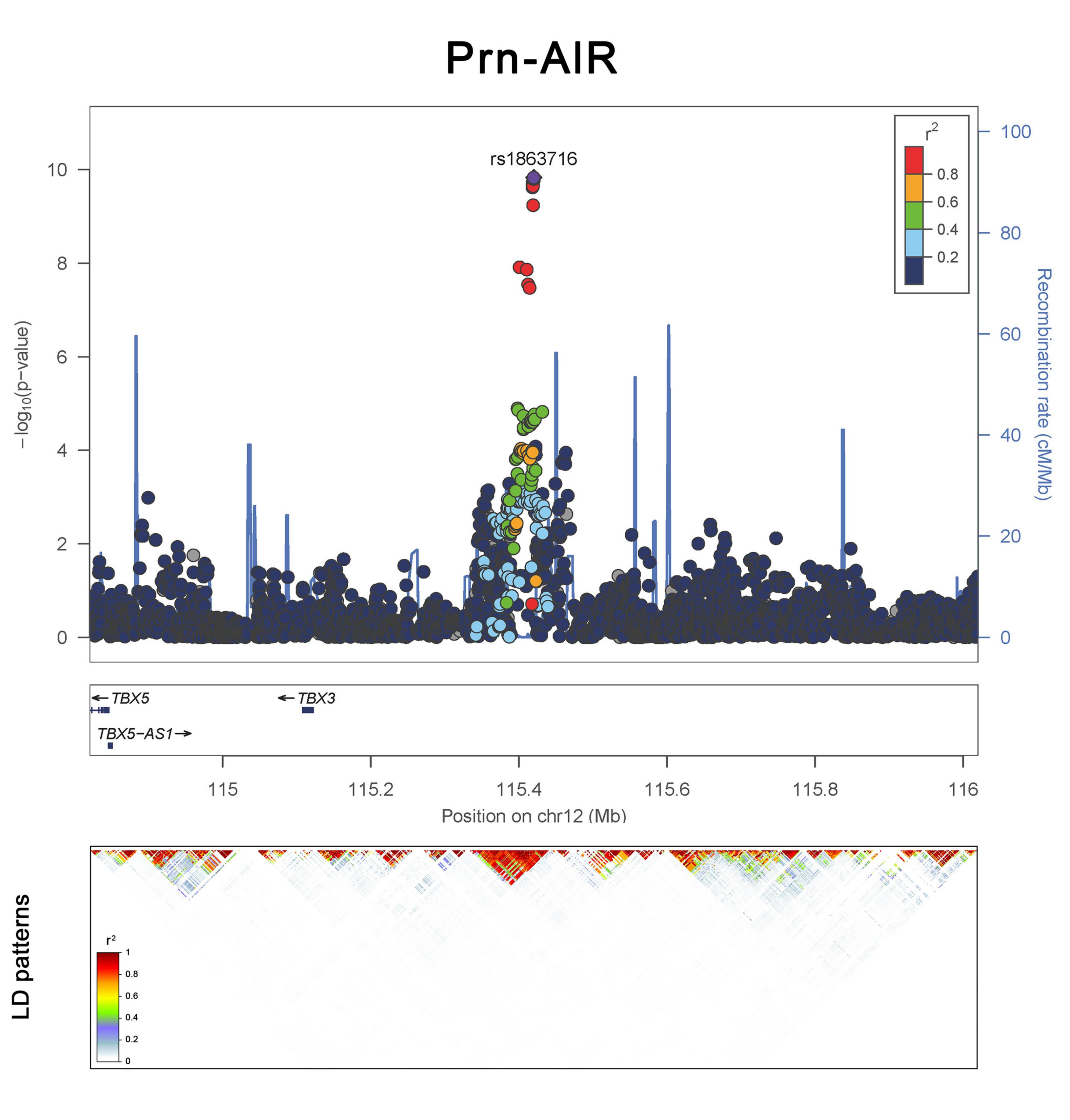


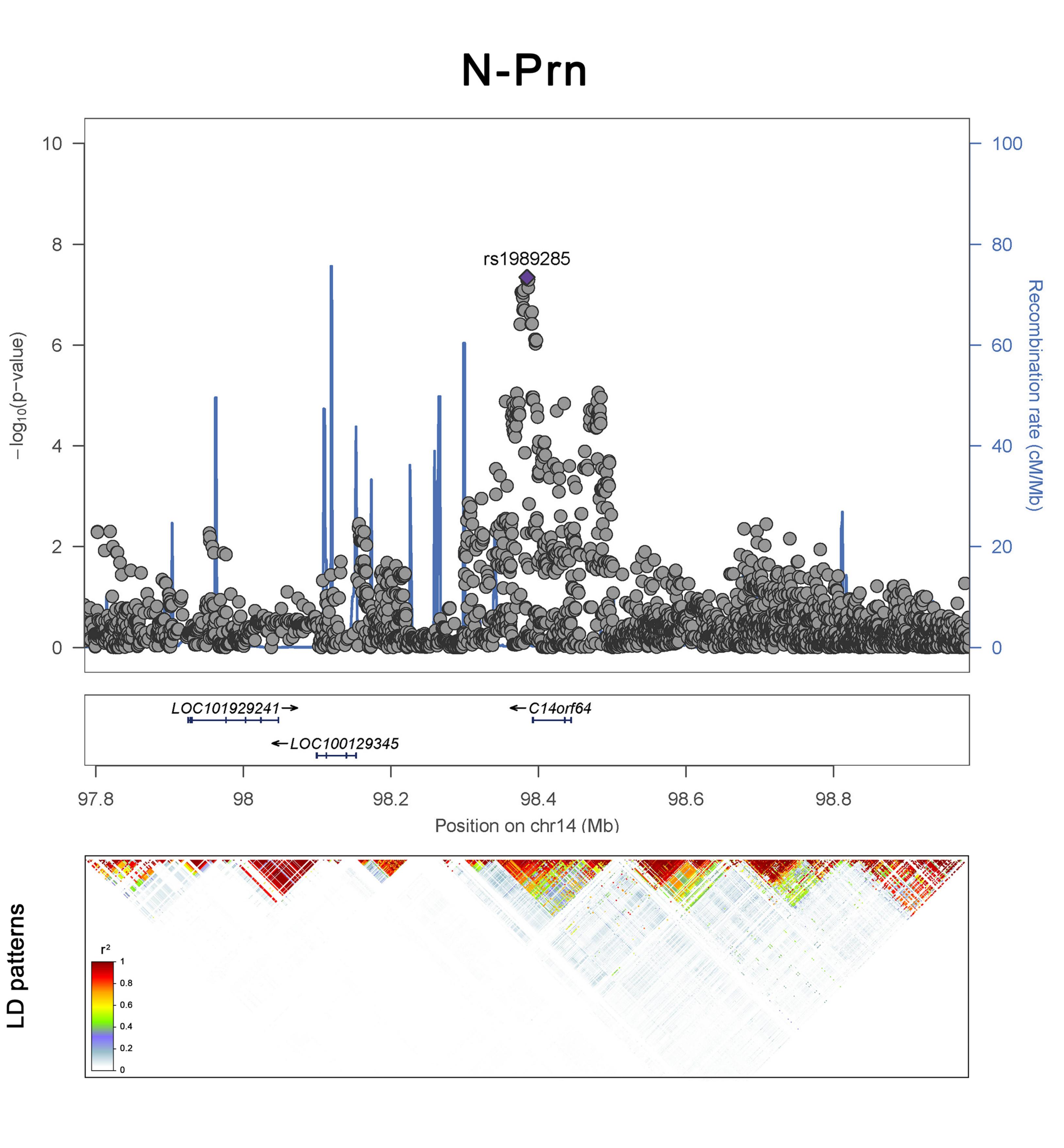
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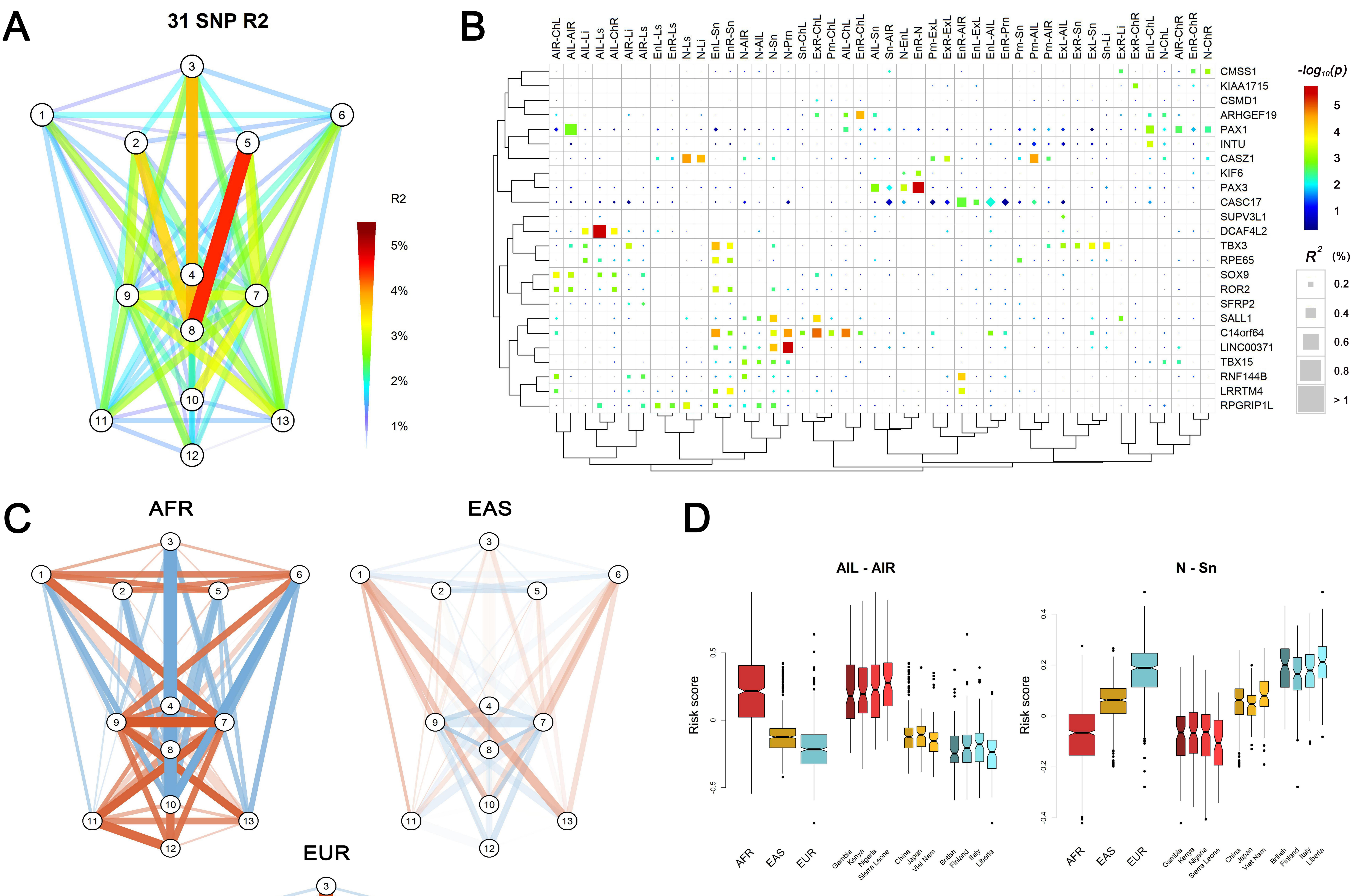




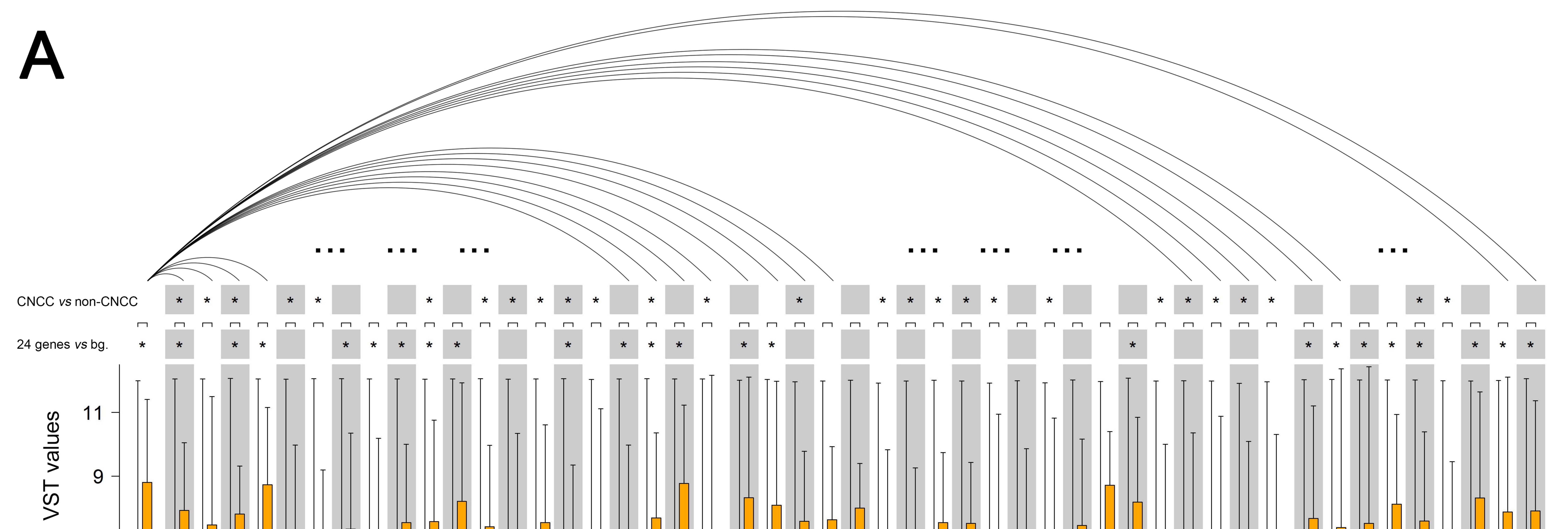






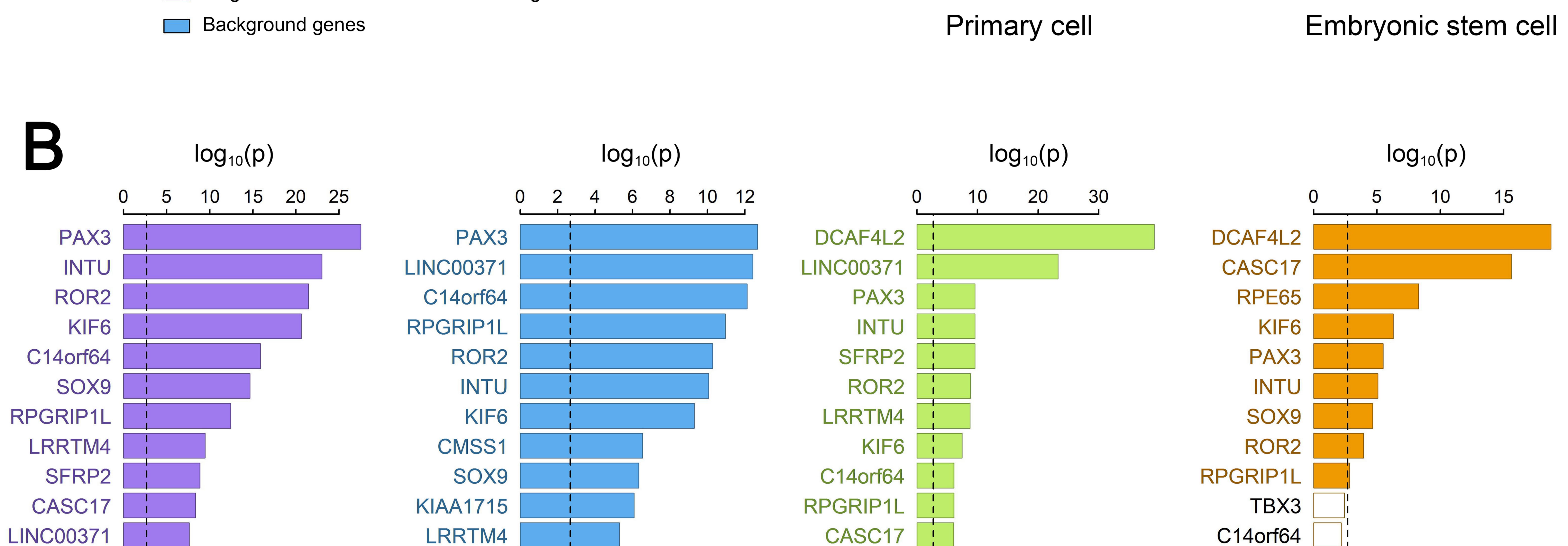


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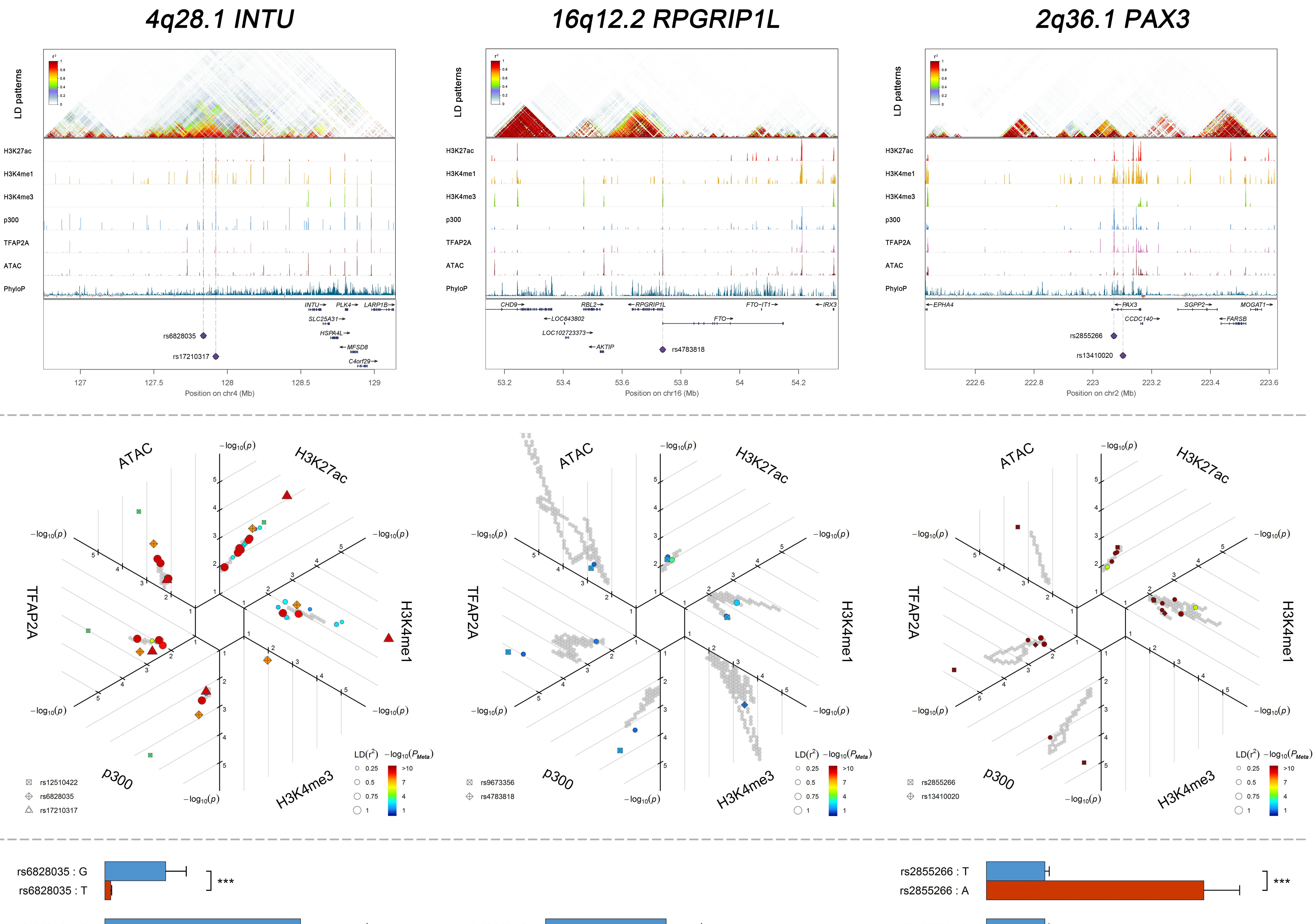
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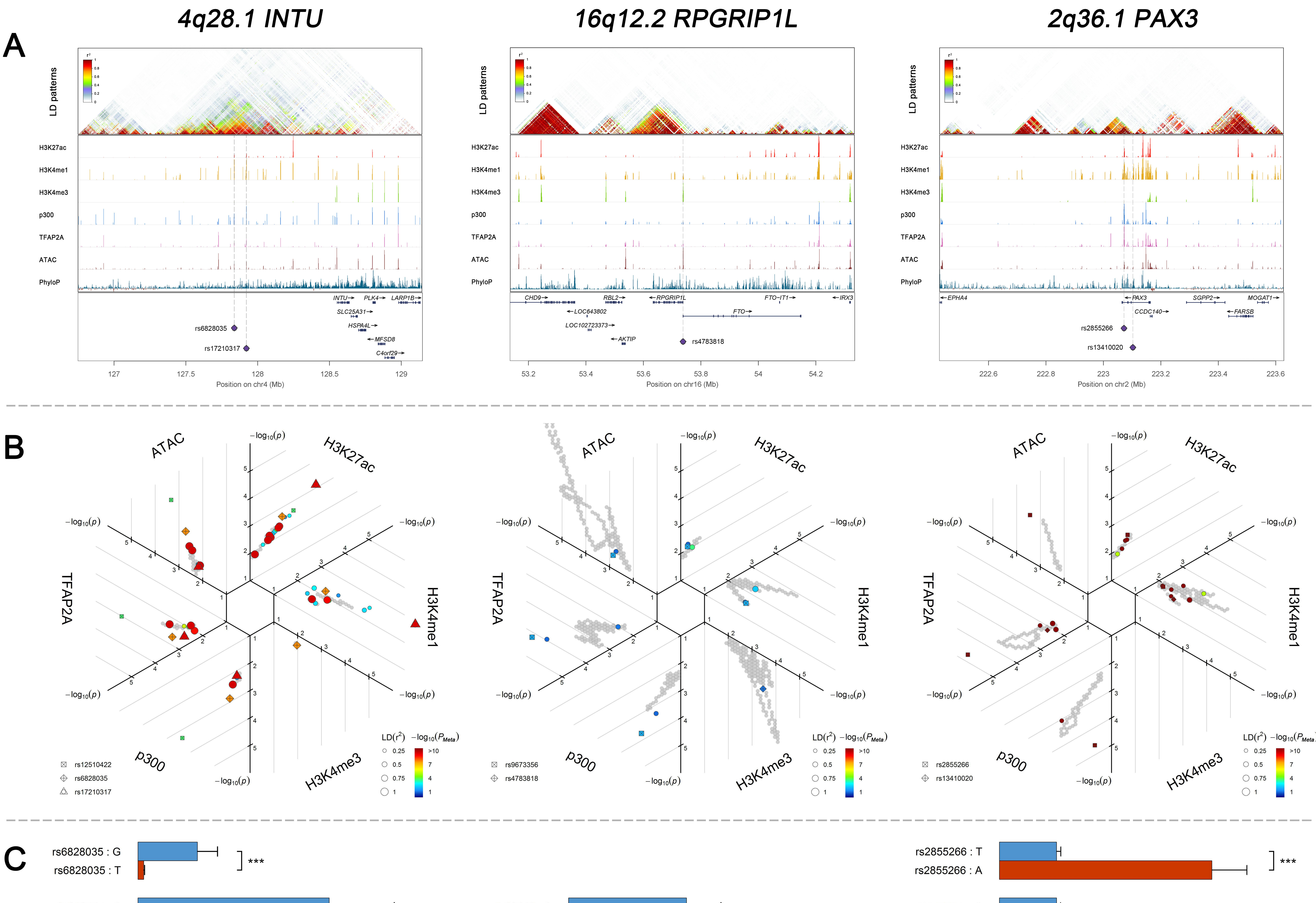
CNCC vs All types (49)

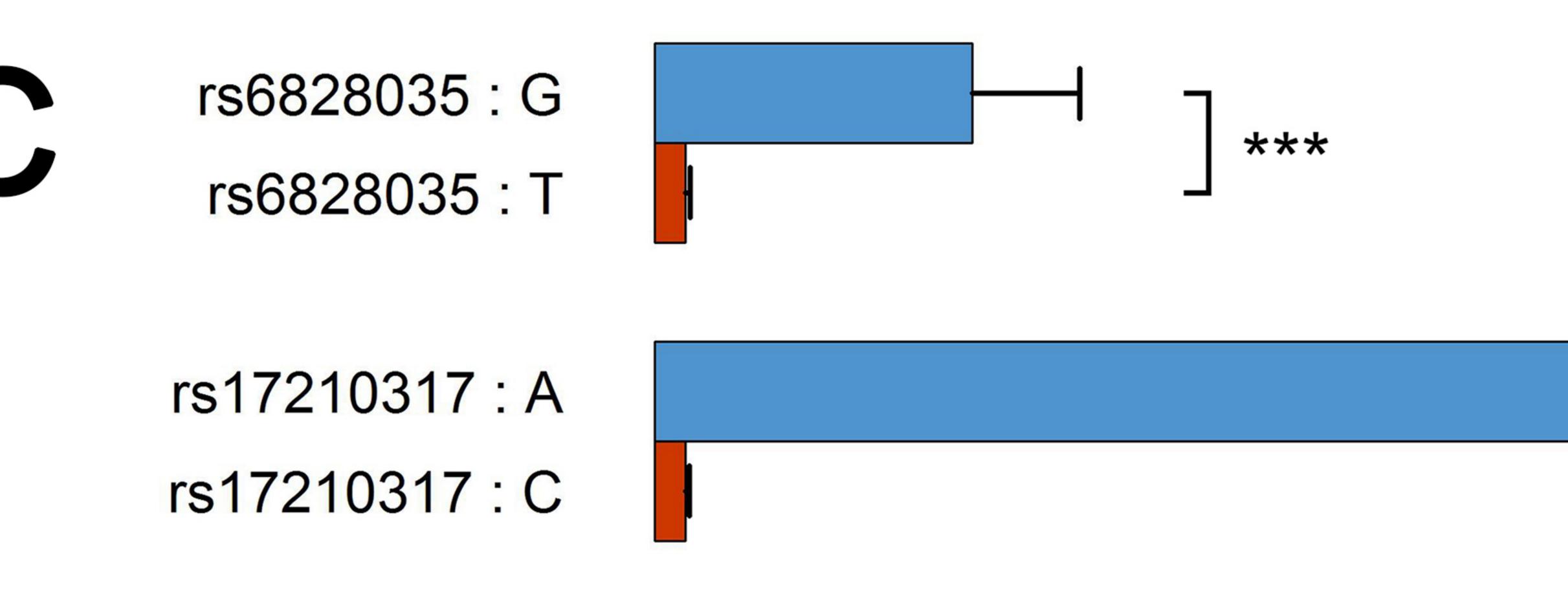
CNCC vs Primary cells (20)

CNCC vs Tissue cells (20)

CNCC vs Embryonic stem cells (9)







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