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3D-Analysis of a non-planispiral ammonoid from the Hunsrück-Slate: natural or pathological variation?

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9 Abstract:

10 We herein examine the only known non-planispirally coiled early Devonian ammonoid, the holotype specimen of *lvoites opitzi*, to investigate if the host was encrusted in vivo and if 11 these sclerobionts were responsible for the trochospiral coiling observed in this unique 12 13 specimen. To test if the presence of runner-like sclerobionts infested the historically collected specimen of *lvoites opitzi* during its life, we used microCT to produce a three-14 dimensional model of the surface of the specimen. Our results indicate that sclerobionts 15 grew across the outer rim (venter) on both sides of the ammonoid conch at exactly the 16 17 location where the deviation from the planispiral was recognized, and where subsequent 18 ammonoid growth would likely preclude encrustation. This indicates in vivo encrustation of the *I. opitzi* specimen, and represents the earliest documentation of the phenomenon. 19 20 Further, this suggests that non-planispiral coiling in *I. opitzi* was pathologically induced and does not represent natural morphological variation in the species. Despite the observed 21 22 anomalies in coiling, the specimen reached adulthood and retains important identifying 23 morphological features, suggesting the ammonoid was minimally impacted by encrustation in life. As such, appointing a new type specimen – as suggested by some authors – for the 24 25 species is not necessary. In addition, we identify the sclerobionts responsible for modifying the coiling of this specimen as hederelloids, a peculiar group of sclerobionts likely related to 26 27 phoronids. Hederelloids in the Devonian are commonly found encrusting on fossils collected 28 in moderately deep environments within the photic zone and are rarely documented in 29 dysphotic and aphotic samples. This indicates that when the ammonoid was encrusted it lived within the euphotic zone and supports the latest interpretations of the Hunsrück Slate 30 depositional environment. 31

32

33 Introduction

34 Ammonoids are an extinct group of externally-shelled cephalopods that are often used to 35 study biostratigraphy, diversity and evolutionary patterns (Ritterbush et al. 2014). The ammonoid shell is typically coiled with touching or overlapping whorls, but some forms – so 36 37 called heteromorphs – deviate from this shape as their shell is not entirely coiled and/or is trochospirally coiled (Landman, Tanabe & Davis 1996). Mesozoic heteromorphs have 38 39 convergently evolved in the Upper Triassic, Middle to Upper Jurassic, and multiple times in the Cretaceous (Wiedmann 1969; Dietl 1978; Cecca 1997)). Early ammonoids were loosely 40 coiled and can therefore also be considered heteromorphs from a morphological 41 perspective. However, early ammonoids differ in important ways from Mesozoic 42 PeerJ Preprints | https://doi.org/10.7287/peerj.preprints.2479v2 | CC BY 4.0 Open Access | rec: 7 Jun 2017, publ: 7 Jun 2017

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heteromorphs as their embryonic shell is also uncoiled (House 1996; De Baets et al. 2012; De 43 44 Baets et al. 2013; De Baets, Landman & Tanabe 2015), and not all types of coiling known 45 from the Mesozoic have been reported from the Paleozoic (e.g., trochospiral coiling is thought to be absent). The sole known possible exception was a specimen of Ivoites opitzi 46 from the Hunsrück Slate of Germany, which showed evidence for non-planispiral coiling (De 47 48 Baets et al. 2013). Originally, the holotype specimen was interpreted to exhibit a transitional 49 morphology in the natural variation from gyroconic to trochospiral coiling as observed in the 50 Jurassic heteromorph Spiroceras (Dietl 1978).

51 However, this specimen is also encrusted by epicoles - "any organism that spent its life 52 attached to or otherwise inhabiting the exterior of any more or less hard object" (Davis, 53 Klofak & Landman 1999). In biology, the term chosen for the encrusting organism implies the relationship it has with its host (e.g. in vivo, post mortem), and a wide variety of terminology 54 55 has been employed for encrusters in the paleontological literature (see discussion in Taylor 56 & Wilson 2002). A general term for encrusting or boring organism being used with growing 57 popularity is 'sclerobiont' and means "organisms living in or on any kind of hard substrate" (Taylor and Wilson, 2002). If these epicoles, or sclerobionts, settled on the ammonoid host 58 59 shell during its life, they could be called epizoa (Davis, Klofak & Landman 1999; Klug & Korn 2001) and may cause deviations from planispiral coiling (oscillations of the shell around the 60 61 median plane to trochospiral coiling) to abnormalities in the whorl cross section when overgrowing the epizoa (Merkt 1966; Keupp 1992; Checa, Okamoto & Keupp 2002) and 62 various other pathologies (Larson 2007; Keupp 2012; De Baets, Keupp & Klug 2015; Keupp & 63 64 Hoffmann 2015). Cephalopod workers have commonly used the term epicoles to refer to organisms which encrust ammonoids post-mortem (Davis, Klofak & Landman 1999; Klug & 65 66 Korn 2001; Rakociński 2011; De Baets, Keupp & Klug 2015; Keupp & Hoffmann 2015). 67 Deviations from planispiral coiling in ammonoids have been attributed to sclerobionts in the past (discussed below), yet distinguishing between in vivo and post-mortem encrustations is rarely 68 straightforward. In some cases it is impossible to tell if encrustation was in-vivo or post 69 70 mortem, but using various lines of evidence (Seilacher 1960; Seilacher 1982; Baird, Brett & Frey 1989; Davis, Klofak & Landman 1999; Keupp 2012; De Baets, Keupp & Klug 2015; Keupp 71 72 & Hoffmann 2015) can sometimes elucidate a live-live interaction between host and encruster. The main criteria used by researchers to identify likely cases of in vivo 73 74 colonization of cephalopod shell are (compare Rakús & Zítt 1993; Davis, Klofak & Landman 75 1999; Klug & Korn 2001; Luci & Cichowolski 2014):

- 76 1.
- 1. both flanks are encrusted but the apertural region remains free of encrusters
- encrusters growth stops precisely at a whorl or are otherwise outpaced by the conch
 growth of the cephalopod
- encrusters show a dominant growth direction consistent with shape and putative life
 position of the cephalopod shell and may express changes in growth direction as the
 host life position changes
- 4. the cephalopod reacts to its encrusters during growth by developing some kind of
 behaviour that is reflected in the shell (usually nonplanispiral coiling and other
 deformations).

85

Cases in which deformation of the shell and/or deviation from the normal planispiral coiling 86 87 were caused by encrusters provide incontrovertible evidence that the encrusters colonized the shell while the host lived (Checa, Okamoto & Keupp 2002; Luci & Cichowolski 2014). 88 Asymmetrical encrustations during life result in deviations from the planispiral; this has been 89 experimentally demonstrated in gastropods and has been observed in various taxa of 90 ammonoids (Merkt 1966; Klug & Korn 2001; Keupp 2012). Patterns related with Criteria 1 91 and 3 are the only criteria which can be used to infer in-vivo encrustation when host growth 92 has already stopped (Seilacher 1960; Keupp 2012), but could potentially also develop in 93 94 postmortem sclerobiont attachment during necroplanktonic drift. However, post-mortem 95 drift seems unlikely when ammonoid shells are small (< 200 mm: Wani et al. 2005; Rakociński 2011). Large, well-preserved or heavily colonized ammonoids were likely also 96 97 encrusted *in-vivo*, because the length of time required for significant encrustation to occur is greater than the length of necroplanktonic drift, even when the additional weight of the 98 sclerobiont is not considered (Keupp 2012). Furthermore, a vertical position resembling the 99 living position of the ammonoid is not always preserved in necroplanktonic drift, and a 100 subhorizontal position can be achieved after asymmetrical postmortem encrustation as a 101 result of added weight (e.g., loosely coiled Spirula; Donovan 1989). 102

103 Although post-mortem encrustations of ammonoids on the seafloor can be common (Rakociński 2011), there are many examples for different organisms settling on the shells of 104 living and fossil cephalopods including foraminifers, bivalves, sponges and corals (Baird, 105 Brett & Frey 1989; Davis & Mapes 1999; Keupp 2012; Wyse Jackson & Key Jr 2014). These 106 107 live-live interactions are not necessarily beneficial for the host or the sclerobiont. Often the cephalopods are disadvantaged, because encrustation increases drag and provides an 108 additional weight burden that the cephalopod must carry, potentially limiting speed and 109 mobility (Keupp 2012). In some cases the encrusters have a disadvantage. As the host 110 111 cephalopod grows, the encruster may rotate away from their preferred position, losing 112 access to valuable currents for filter feeding, and might eventually be overgrown by the shell 113 in coiled ammonoids (Meischner 1968). However, encrusters largely profit from establishing 114 on a pelagic host. Sessile organisms obtain a pseudoplanktic method of locomotion, providing the potential for greater and more varied nutrition and increased reproductive 115 breadth. 116

Mobile organisms can potentially use the shell as temporary pasture (Keupp 2012), while 117 sclerobionts can use it as benthic island surrounded by soft and unconsolidated sediment 118 119 (Seilacher 1982). For pathological reactions in shell form and growth to occur, the 120 sclerobionts must settle on still growing, younger hosts. Sclerobionts that settle on the shell 121 of adult animals that have already reached their final shell size do not induce a pathological change in the host. In those situations, it is only possible to infer that these sclerobionts 122 encrusted *in-vivo* because of their preferential orientation with respect to water currents or 123 the life position of its host (Seilacher 1960; Seilacher 1982; Keupp, Röper & Seilacher 1999; 124 Hauschke, Schöllmann & Keupp 2011). 125

 If encrustation happens after the host's death, the organisms can colonize both the exterior
 and interior of empty shells (Bartels, Briggs & Brassel 1998). Shells which are lying on the PeerJ Preprints | https://doi.org/10.7287/peerj.preprints.2479v2 | CC BY 4.0 Open Access | rec: 7 Jun 2017, publ: 7 Jun 2017

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seabottom are typically substantially overgrown on one side (the portion above the 128 129 sediment-water interface) and is usually taken as good evidence for post-mortem encrustation (Seilacher 1982; Schmid–Röhl & Röhl 2003; Lukeneder 2008; Keupp 2012). 130 Encrustation on both sides can potentially also develop in reworked shells and internal 131 moulds; however these typically show a more complex history of encrustation involving 132 133 multiple generations and a variety of taxa (Macchioni 2000; Luci & Cichowolski 2014; Luci, Cichowolski & Aguirre-Urreta 2016). More importantly, resedimentation typically results in 134 shell breakage and reworked ammonoids (sensu Fernández-López 1991) differ considerably 135 from normally preserved ammonoids (e.g., abrasional features, differences in infilling and 136 137 preservation: Fernández-López & Meléndez 1994). Post-mortem encrustation can also be 138 recognized when structures normally believed to be covered with soft-parts (inside of the shell) or additional objects are encrusted by the epicoles (Bartels, Briggs & Brassel 1998; Klug 139 & Korn 2001). Different generations of sclerobionts with clearly diverging orientations or 140 different taxa on both sides of the ammonoid are also indicative of a post-mortem 141 142 encrustation (Macchioni 2000; Klug & Korn 2001; Luci & Cichowolski 2014).

Our main goal is to test if the sclerobionts settled on the ammonoid during lifetime, which 143 can tested by investigating the criteria listed above – particularly if they are growing on both 144 sides of the shell (criterium 1) and if the beginning of non-planispiral coiling (criterium 4) 145 146 correlates with the settling of these sclerobionts. If these encrustations happened during 147 lifetime and can be linked with severe pathological reactions (e.g., non-planispiral coiling), this might have important implications for taxonomy and indirectly for biostratigraphy 148 149 (Spath 1945). Pathological specimens with strongly different morphologies have occasionally been described as different species (Spath 1945; Keupp 2012). 150

An additional goal is to identify the identity of the sclerobionts, which were preliminary determined to be auloporid tabulate corals (De Baets et al. 2013). Some taxa of auloporid corals have traditionally been confused with other sclerobionts with runner-like morphologies (Lescinsky 2001) like hederelloids and cyclostomate bryozoans (Fenton & Fenton 1937; Elias 1944; Bancroft 1986).

In testing these questions, it was important to avoid using destructive analyses because the 156 157 specimen is an important historical specimen (Opitz 1932) and the holotype of lvoites opitzi (De Baets et al. 2013) from the famous Hunsrück Lagerstätte. The Hunsrück Slate is a facies 158 typical for the Lower Devonian (Emsian) of the Rhenish Massif which consists predominantly 159 of dark fine-grained argilites metamorphosed into slates (Bartels, Briggs & Brassel 1998). In 160 the Bundenbach-Gemünden area, these strata can contain fossils with remarkable 161 162 preservation including articulated echinoderms and vertebrates as well as preserved soft 163 tissues of arthropods and other groups without hard tissues (Bartels et al., 1998). Although 164 some fossils reveal remarkable preservation, they are all typically flattened and it is difficult to impossible to prepare such thin, compressed fossils from both sides without destroying 165 parts of it. This is for example illustrated by the only known specimen and holotype of 166 Palaeoscorpius devonicus, where some parts of the shale that are thinner than 1 mm are 167 very fragile or missing altogether after preparation (Kühl et al. 2012b). This might be one of 168 the reasons why fossils with hard parts commonly studied for biostratigraphic or 169 170 paleoenvironmental purposes at other sites where they are more three-dimensionally

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preserved have been comparable little studied in the Hunsrück Slate (Bartels, Briggs & Brassel 1998; Südkamp 2007). This is also the case for ammonoids, which are important index fossils to date this deposit and are often extremely flattened hampering also their taxonomic assignment (Bartels, Briggs & Brassel 1998; De Baets et al. 2013).

Considering the size and the preservation of our specimen, as well as the expected x-ray 175 contrast between pyritic fossils and the slate matrix, we elected micro-CT to create a three-176 dimensional model to answer these questions. This method is well suited for these purposes 177 (Sutton, Rahman & Garwood 2014). Many CT-studies have focused on analyzing ontogeny or 178 morphological traits for phylogenetic purposes (Monnet et al. 2009; Garwood & Dunlop 179 180 2014; Naglik et al. 2015a), but they can be used to test ecological or paleobiological aspects 181 (Kruta et al. 2011; Kühl et al. 2012b; Hoffmann et al. 2014) such as the interpretation of pathologies (Anné et al. 2015) and bioerosion (Beuck et al. 2008; Rahman et al. 2015). 182 Tomographic studies in ammonoids have focused on functional morphology, empirical 183 184 buoyancy calculations and ontogeny of the chambered shell (Lukeneder 2012; Hoffmann et al. 2014; Tajika et al. 2014; Lemanis et al. 2015; Naglik et al. 2015a; Naglik et al. 2015b; Tajika 185 186 et al. 2015; Lemanis et al. 2016; Lemanis, Zachow & Hoffmann 2016; Naglik, Rikhtegar & Klug

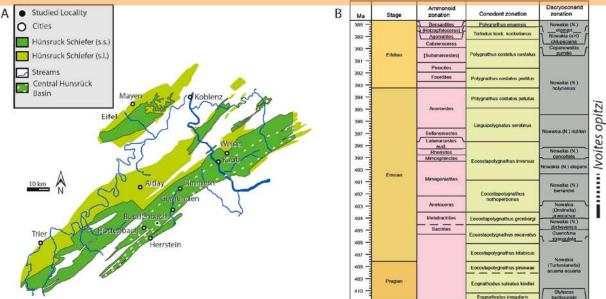
187 2016).

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189 Material and geological setting

The studied fossil specimen is the holotype of Ivoites opitzi, which was collected from the 190 Hunsrück Slate in the Central Hunsrück, now known as the Middle Kaub Formation 191 192 (Schindler et al. 2002), at the Schieleberg-quarry near Herrstein, Germany (De Baets et al. 2013; see Fig.1 for a map and stratigraphic provenance of this specimen). It is reposited in 193 the Karl-Geib-Museum in Bad Kreuznach: KGM 1983/147. The Middle Kaub Formation 194 195 contains some of most completely preserved early ammonoids (De Baets et al. 2013) and 196 belong the oldest known ammonoid faunas (Becker & House 1994) together with similar 197 aged faunas from China (Ruan 1981; 1996) and Morocco (De Baets, Klug & Plusquellec 2010). The exact stratigraphic position of our specimen is not known. However, Ivoites is restricted 198 199 to Early Emsian. This particular species (I. opitzi) has been found associated with 200 dacryoconarid *Nowakia praecursor* in samples deriving from Eschenbach-Bocksberg Quarry, but they have also been found in overlying layers of the Obereschenbach quarry 201 (Wingertshell member sensu Schindler et al. 2002), which might range into the Barrandei 202 Zone (De Baets et al. 2013). Other ammonoids, including those from the same genus (I. 203 schindewolfi, Erbenoceras solitarium), which have been reported from the early Emsian 204 205 strata of the Schieleberg quarry in Herrstein, speak for a Praecursor to the Barrandei zone 206 age of the strata (De Baets et al. 2013).

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Fig.1: Geographic and Stratigraphic Context. (A) map of the locality (modified from De Baets 2012) and (B) stratigraphic provenance of *lvoites opitzi* (time-scale based on Becker, Gradstein & Hammer 2012: created with time-scale creator 6.4: http://engineering.purdue.edu/Stratigraphy/tscreator/)

We investigated the taxonomy, provenance and taphonomy of 342 ammonoids from the Central Hunsrück Basin in a recent monograph (De Baets et al. 2013) including 82 specimens of *lvoites* and 7 additional specimens of closely related *Metabactrites*.

215 The investigated specimen was chosen as the holotype above 19 other specimens of *lvoites* 216 opitzi as it was the most complete, three-dimensional and well-preserved specimen of the 217 species. It has three complete whorls and a diameter of 105 mm (Fig. 2; De Baets et al., 2013). The specimen is mostly preserved as an internal, pyritic mould as evidenced by traces 218 of suture lines and other structures (e.g., opitzian pits) internal to the shell (taphonomic 219 220 category IIB of De Baets et al., 2013). The last half-whorl probably corresponds to the body 221 chamber as indicated by faint traces of a suture in hand piece and x-ray images (Kneidl 1984), lack of pyrite infilling of the last whorl, terminal uncoiling as well as the large lateral 222 extension of the end of the whorl interpreted to be the apertural edge (De Baets et al. 2013). 223

224

The infilling of the shell with pyrite in this taphonomic category is interpreted to have happened early in the diagenesis, below the sediment-water interface and before the dissolution, compaction, and breakage of the shell. These observations were used successfully to interpret preservation of ammonoids in the Jurassic bioturbated shales (Hudson 1982), and were additionally supported by fracture patterns (De Baets et al. 2013).

The whorls of this specimen touch and overlap each other, but this is interpreted to be a consequence of compression and tectonic deformation as the inner whorl lies completely above the following whorl (De Baets et al. 2013). Oblique embedding can result in one bit of whorl lying on top of one whorl, but the opposite side should then lie below this whorl (see for example De Baets et al. 2013, Plate 5, Fig. 3 for an example), which is not the case in our specimen. Compaction on an umbilical concretion can also results in asymmetric deformation, but affect similar quadrants is the same way and the concretion should still be PeerJ Preprints | https://doi.org/10.7287/peerj.preprints.2479v2 | CC BY 4.0 Open Access | rec: 7 Jun 2017, publ: 7 Jun 2017

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present, which is not the case in our specimen (see De Baets et al. 2013, Plate 10, Fig. 11 for an example). Compaction of a horizontally embedded specimen would result in subsequent whorl (with a thicker whorl section) to lie above previous whorls. The only way the preservation observed in KGM 1983/147 could occur is if the specimen was already torticonic before burial.

During the initial investigation of the holotype of *I. opitzi*. the possibility of a live-live 242 relationship between the host and the sclerobionts was excluded because of an inferred lack 243 of conclusive evidence (De Baets et al. 2013). The sclerobionts nearer the aperture did not 244 provide any evidence that could support in situ or post-mortem encrustation. The 245 246 sclerobiont colony on the phragmacone near the point of non-planispiral coiling was 247 seemingly not growing across both sides of the whorl, and again, the authors were unable to infer the relationship between host and sclerobiont. But only the left side was prepared in 248 this historically collected material (Opitz, 1932, p. 121, Fig. 117). A microCT of the specimen 249 allowing to study the specimens from both sides, now gives us the unique opportunity to 250 251 reevaluate this interpretation.

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Fig. 2: Holotype of *lvoites opitzi*. Several sclerobionts can be seen encrusting specimen KGM 1983/147.
Scalebar: 1 cm.

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258 Methods

259 The specimen of *I. opitzi* under investigation is a holotype, and thus could not be 260 investigated destructively. Thus, the specimen was well-suited to be studied with X-ray microtomography. X-ray microtomography uses x-rays to acquire radiographs (or 261 262 projections) of an object at multiple angles. From these projections, a sequence of parallel and evenly spaced tomograms (individual slice images mapping the X-ray attenuation within 263 264 a sample) are computed indirectly. This tomographic dataset in turn can be used to recreate 265 a virtual model (3D model) without destroying the original object. The prefix micro- refers to the fact that pixel sizes of the cross-sections are in the micrometre range (Sutton, Rahman & 266 Garwood 2014). Markus Poschmann (Mainz) kindly borrowed the specimen from the Karl-267 268 Geib-Museum and brought it to the Steinmann Institute, where it was investigated with Xray micro-tomography. KGM 1983/147 was scanned on a Phoenix v|tome|x s at 150 kV and 269 160 µA with 0.400 s of exposure time by Alexandra Bergmann (Steinmann Institute). This 270 271 resulted in two thousand two hundred unfiltered projections providing a voxel size of 118 272 μm (~ pixel size of 118um). Three-dimensional reconstructions and an animation were 273 produced using the 107 images (tomograms) [in the x-z-plane by Julia Stilkerich using the 274 free software SPIERS (Sutton et al. 2012; http://spiers-software.org). A video as well as files essential for verification can be found in the supplementary material, the latter include the 275 used image stack and a scansheet with description of scan settings and specimen 276 277 information (Davies et al. 2017) The fixed threshold value was manually chosen to maximally 278 separate pyritic fossils from the shale matrix, because the objects of focus (ammonoid and 279 epicoles) are pyritic (see material and methods); Regions of interest were defined using the masking system in SPIERS, allowing them to be rendered separately to have the most 280 281 conservative interpretation of the position of the pyritic ammonoid vs. epicoles (Sutton, 282 Rahman & Garwood 2014). Coloured masks were used in the final representation to 283 distinguish the various features captured: ammonoid (yellow), runner-like epicoles (green), orthoconic nautiloid (red), brachiopod (blue) and dacryoconarids (yellow). This model was 284 important into Blender v 7.28 and enlarged 200% on the z-axis to measure the deviation 285 from the plani-spiral. 286

287

288 Results

289 Position of the epicoles and its relationship with non-planispiral coiling

290 In the model, the first whorl lies on top of the second whorl. The median plane of the first

whorl seems to lie between 1 and 2 mm above that of the second whorl in the model, which

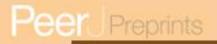
must have been even greater before compaction (see discussion). The 3D-model (see Figs. 3,

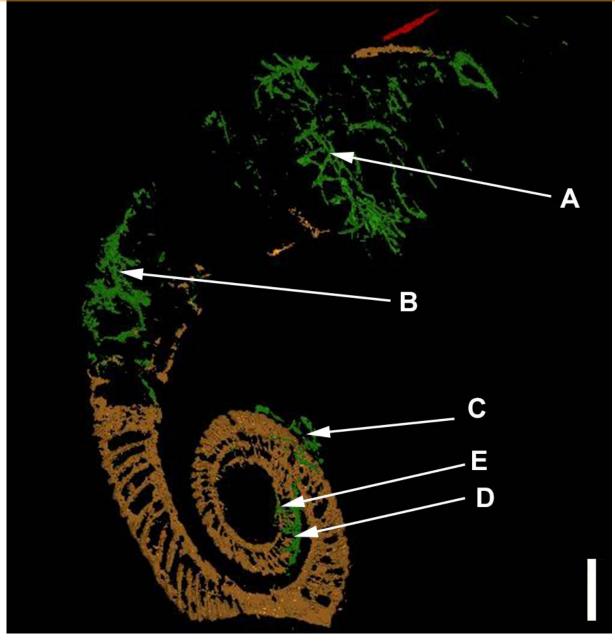
4) therefore substantiates the previously hypothesized suspicion (De Baets et al. 2013) that

the specimen is not entirely coiled planispirally. Five clusters (A-E) of colonial sclerobionts

can be recognized in the 3D-model (see arrows in Figs. 3, 4).

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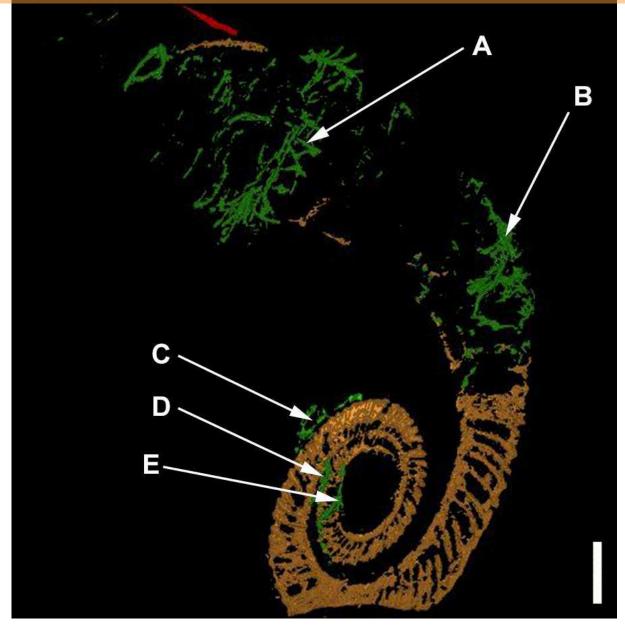
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Fig. 3: The ammonoid (brown), the epicoles (green) and the orthoconic nautiloid (red) in the 3D-model. Fivesclerobiont clusters (A-E) were distinguished. Scalebar: 1 cm.

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Fig. 4: The ammonoid (brown), the runner-like epicoles (green) and the orthoconic nautiloid (red) rotated 180°.
 Scalebar: 1 cm.

304

At least three clusters (C-E) can be recognized on the phragmocone. Additional clusters (A, B) can be found on the final demi-whorl. In the inner whorls, the sclerobionts are located ventrally on both sides of the whorl cross section (see Figs. 3C-E, 4C-E). Their direction of growth and budding follows the spiral axis of the ammonoid shell. The earliest recognizable sclerobionts with respect to the growth direction of the ammonoid (clusters D-E) coincide with the position where non-planispirality can be first recognized (Fig. 5).

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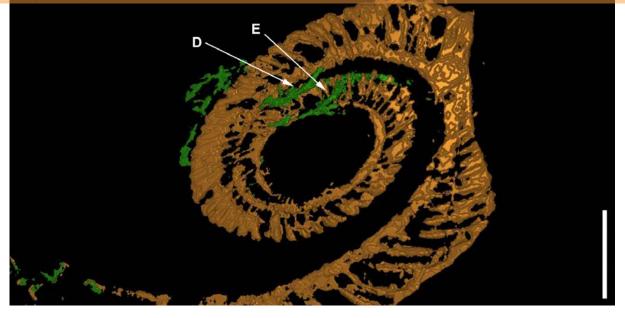


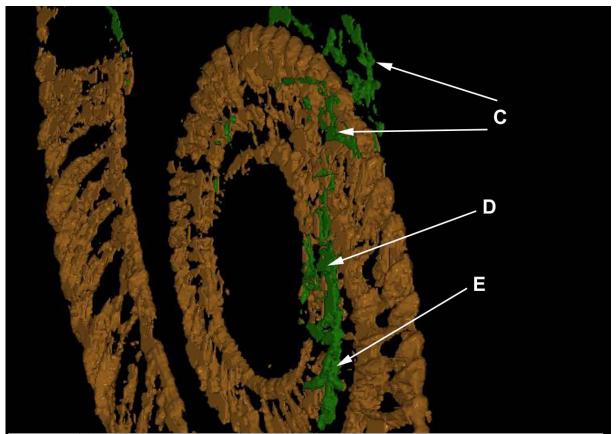
Fig. 5: The white arrows mark the position of the sclerobiont clusters (D and E) close to the position where nonplanispiral coiling can be first recognized. Scalebar: 1 cm.

315

312

More importantly, there is evidence that clusters (C, D and E) are growing on both sides of the ammonoid (Fig. 6). The last demi-whorl of the host ammonoid was not infilled with pyrite, therefore the growth patterns of the sclerobionts in clusters A and B cannot be established with certainty.

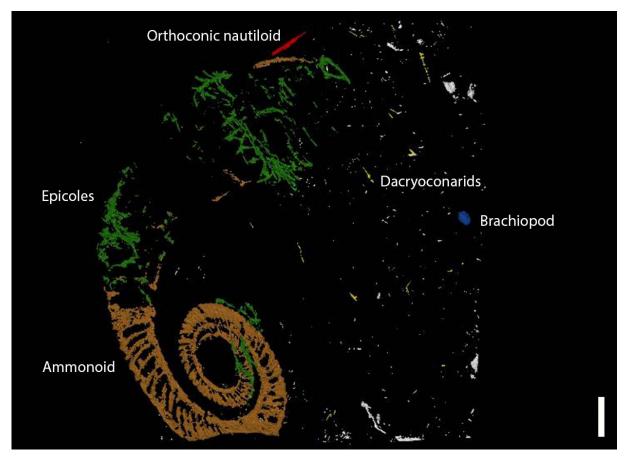
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- 322 Fig. 6: Close-up of the 3D-model showing that sclerobionts are settling on both sides of the shell. Note
- 323 correlation between asymmetrical sclerobiont encrustation of cluster E and the deviation from planispiral324 coiling of the host.
- 325
- 326 Elongated components like the dacryoconarids present in the substrate (marked in yellow in
- Figure 7) along with the *I. opitzi* specimen are often orientated along the direction of the
- paleo-current (Hladil, Čejchan & Beroušek 1991; Hladil et al. 2014; Gügel et al. 2017).
- 329 Neither the dacryoconarids nor the epicoles show a preferential orientation with respect to
- the substrate. Sclerobiont clusters C, D, and E do show a preferential orientation with
- respect to the spiral axis of the ammonoid shell. Unnamed, small, and bulky components
- visible in the matrix are probably pryitic nodules of different sizes.
- 333
- 334



- 335
- Fig. 7: The 3D-model showing all components. A brachiopod is coloured blue and dacryoconarids are shown in yellow. Runner-like epicoles are marked in green and orthoconic nautiloid in red. Scalebar: 1 cm.
- 338
- 339 Morphology of the runner-like sclerobionts

The mode of preservation of the *I. opitzi* specimen, pyritization and internal mould preservation, makes examination of fine details or microstructure of the sclerobionts impossible. Yet the microCT permits three dimensional examination of the branching

patterns of the sclerobiont colonies. The original settlement location of the colonial
 organism cannot be distinguished, but the branching pattern of colonies grow in a direction
 largely parallel to the direction of the aperture of the host.

The colonies in all clusters have the same taxonomic affinity. Zooids in the colonies are long and tubular, and curve slightly near the zooecial opening. Zooids are larger than those commonly observed in bryozoans and bud in alternating directions. Diameter of the more 3D-preserved tubes are typically around 1.5 mm, but this might have been artificially augmented by compaction (De Baets et al. 2013). The tubes widen in the direction of growth expand distally and slightly contracted at the apex giving them a club-like appearance, characters typical of hederelloids (Elias 1944).

Branching morphology in the established colonies on the host are diverse despite many shared characteristics. Morphologies of zooids exhibited in clusters A through D are generally more elongate and acutely curved away from the uniserial plane to those in cluster E which contain zooids that curve more dramatically along multiple, pluriserial branches of the colony. Some of this variation could have been amplified by differential compaction in shales (Ross 1978; Briggs & Williams 1981).

359

360 Discussion

361 The three-dimensional model of *I. opitzi* permitted extensive observation of the relationship

362 between the ammonoid host and the sclerobiont clusters present. The results permit

363 positive identification of the sclerobionts and interpretation of the relationship between

- them and their host.
- 365 Synvivo vs. Post-Mortem encrustation
- Three possible scenarios can explain encrustation on both sides of the ammonoid by a sclerobiont colony, clearly visible in clusters C, D and E:

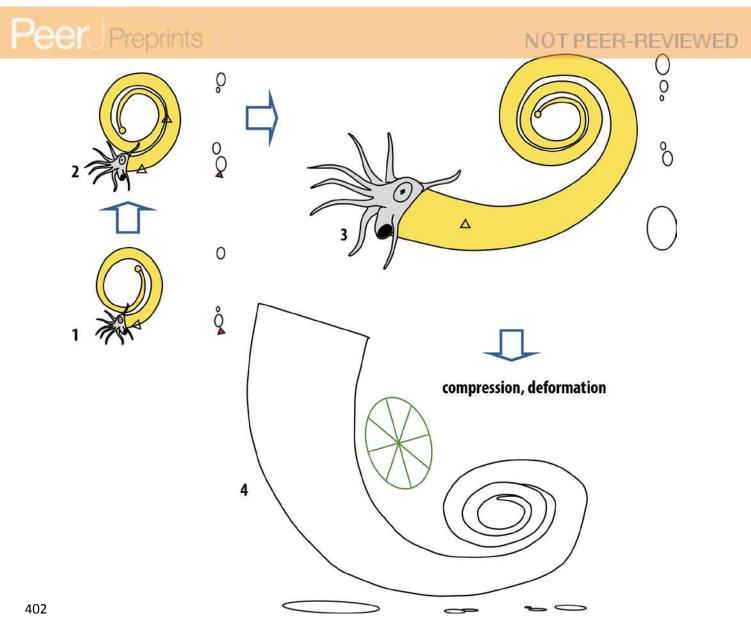
1) In-vivo encrustation: encrustation on both sides of the ammonoid by sclerobiont colonies C, D, and E and the direction of the growth of those sclerobionts matching the growth of the ammonoid, speak for an in-vivo encrustation – at least for sclerobiont clusters C-E. A lack of a similar directional growth for all sclerobiont colonies on the ammonoid and with dacryoconarids in the surrounding substrate, as well as a lack in widespread encrustation across the ammonoid shell, further support the likelihood that the ammonoid was encrusted before the ammonoid settled on the seafloor (see Figure 8).

2) Post-mortem drift: encrustation of such large colonies solely during post-mortem drift 375 seems unlikely due to the small size of our specimen (105 mm diameter). This is below the 376 377 200 mm limit listed for long floating cephalopod shells by Wani et al. (2005) and Rakociński 378 (2011). Interestingly, our specimen would have even a much smaller phragmocone volume 379 than coiled ammonoids at equal diameters used in these experiments. More importantly, 380 the extra weight of the sclerobionts should have made it sink even sooner than a nonencrusted shells so that it would not have resulted in encrustation on both sides. Post-381 382 mortem drift is deemed rare for ammonoids in general; most are implied to sink rather

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383 rapidly (Maeda & Seilacher 1996). Furthermore its vertical position in the water column 384 should have been affected by asymmetric encrustation resulting in a non-vertical position of 385 the shell after loss of soft-part parts which should have led to a more asymmetrical 386 distribution of the sclerobionts as the preferentially attach to the lower part of drifting shells 387 (Donovan 1989).

3) Resedimentation or reelaboration/reworking on the seafloor: usually encrustation of the 388 sediment-free side of the ammonoids - which mostly end of horizontally on the seafloor - is 389 taken to be characteristic unless reelaboration/reworking of shells or internal moulds 390 happened (Macchioni 2000). In our cases, we have encrustation on both sides by the same 391 392 colonies and transport by currents and reworking seems unlikely due the completeness of 393 our specimen and similarities in preservation with other specimens of its taphonomic group (De Baets et al. 2013). All their characteristics speak for a relatively rapid burial and infilling 394 395 with pyrite only during early diagenesis (before shell dissolution). Furthermore, the same sclerobionts (C-E) started growing on the venter to both sides of the lateral sides which 396 397 speak rather for a simple encrustation history rather than multiple generations of epibionts encrusting each sediment-free side sequentially (at least one before and after 398 399 resedimentation/reworking and possibly more). No evidence for re-sedimentation or 400 reworking (abrasional features) are present in any of the 82 studied specimens of *lvoites*.



403

404 Fig. 8: Model of in-vivo encrustation and subsequent compression and deformation on Ivoites opitzi. 1) 405 orientation and morphology of the specimen shortly after asymmetrical encrustation of first generation of 406 epizoa (clusters D and E). 2) orientation and morphology of the specimen shortly after the asymmetrical 407 encrustation of the second generation (cluster C) of epizoa (previous cluster of epizoa are currently lodged 408 between the first and second whorl), 3) orientation and morphology of specimen when becoming encrusted 409 with final epizoa (clusters A and B) or shortly before, 4) specimen after deformation; effect of deformation if 410 specimen would have been initially planispirally coiled, effect in whorl section of specimen which was initially 411 non-planispiral.

- 412
- 413
- 414 Pathological variation in the morphology of *I. opitzi*

415 The non-planispiral coiling of this specimen, a unique occurrence in the species, occurs at

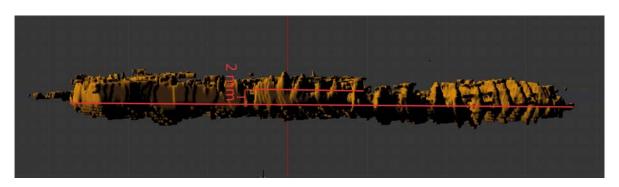
the position of the sclerobiont clusters D and E. This pathological variation in host growth is

- also consistent with encrustation of the cephalopod during its life-time. Even if the deviation
- in coiling plane is only 1 to 2 mm now, it would have been substantially greater before burial

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and compaction. Whorl thickness alone has estimated to reduce up to 248 % in some 419 420 specimens (De Baets et al. 2013), so originally these deviations could have been up at least 2.5 to 5 mm. If we artificially the thickness with 200 %, we obtain a maximum deviation of 421 the median plane of one whorl to the next of about 2 mm (2,5 mm if we augment the 422 423 thickness to 250 %). The same deviations can be observed within a single whorl (Fig. 10). 424 Considering that the specimen has been extremely flattened (one whorl has been pressed on 425 the other). At least another whorl thickness, the differences in whorl thickness between this 426 whorl and the next which would make it a total of about 2 times this amount, ca. 4 mm (5 mm is we artificially augment the whorl thickness to 250%). This is a rather conservative 427 428 estimate, as we cannot know exactly how the specimen was compressed between the 429 whorls.

430



431

Figure 9. Retrodeformed whorl cross section to 200% results in a 2 mm distance betweenthe mid-point of a particular part of the whorl (lateral view).

434 Sclerobionts in clusters D and E are in a position that would have been hard to encrust if the subsequent whorl had already grown at the time of encrustation (e.g., when it was lying on 435 the seafloor, the space between whorls around the venter would only have been between 436 437 around 5 mm, complicating sclerobiont settling. Our specimen suggests that the second whorl lies on top of the first whorl (e.g., in the direction of the more heavily encrusted side, 438 439 see Figure 3) while the last whorl probably lies again below the second whorl (e.g., the coiling had almost normalized until the next encrustation by sclerobiont cluster C). The 440 encrustation and its slightly different weight distribution across the venter would predict a 441 442 deviation of the whorl initially in the direction of the encrusters weight and subsequently in the opposite direction (this seems to be still visible in our specimen despite it been heavily 443 444 flattened). Such a pattern would thus be expected if the specimen was encrusted in-vivo for the first time slightly before it completed about one whorl (Checa, Okamoto & Keupp 2002). 445 446 The non-planispiral coiling observed in this specimen could not be produced by flattening or deformation - not even if the specimen was embedded obliquely (see discussion in Material 447 and Methods). Furthermore, clusters D-E are positioned closely before the position where 448 deviation of planispiral coiling can first be recognized and indicates that the coiling was 449 450 induced by the sclerobiont encrustation. If these clusters grew on the ammonoid during life, 451 as is also suggested by growth on both sides of the shell, the deviations from planispiral coiling would have been unavoidable (Checa, Okamoto & Keupp 2002). 452

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The fact that sclerobiont clusters C, D, and E of runner-like epicoles are growing on both sides of the ammonoid and that clusters (D-E) occur slightly before the position where the deviations from planispiral coiling – where a whorl lies directly on top of the subsequent whorl – can be first recognized are also consistant with an encrustation of the ammonoid during its lifetime.

This specimen, therefore, documents the oldest direct evidence for *in-vivo* encrustation of ammonoids. The previous record holders were *Paranarcestes*, *Latanarcestes* and *Sellanarcestes* from the Upper Emsian interpreted to be encrusted with auloporid corals during their lifetime, also evidenced by deviations from normal planispiral coiling in the host and by the subsequent growth of the ammonoid over the coral (Klug & Korn 2001; De Baets, Keupp & Klug 2015).

- 464
- 465 Identity of the encrusters

Hederelloids are a problematic group of runner-like sclerobionts, which occur in the fossil 466 record from the Silurian through Permian and are most diverse in the Devonian (Solle 1952; 467 468 Solle 1968; Taylor & Wilson 2007). Hederelloids have traditionally been treated as 469 cyclostome bryozoans (Bassler 1939; Elias 1944; Solle 1952; Solle 1968; Dzik 1981), but were 470 redefined based upon differences in branching patterns, skeletal microstructure, lack of an astogenetic gradient, and wide range in tube diameters (Bancroft 1986; Wilson & Taylor 471 472 2001; Taylor & Wilson 2007). They are currently mostly interpreted to be closely related to phoronids (Taylor & Wilson 2007; Taylor, Vinn & Wilson 2010; Frey et al. 2014). Both 473 474 auloporid corals and hederelloids are uncommon in the middle Kaub Formation as their life habit requires a solid substrate upon which to settle; these were rare within the clay 475 476 environments of the Hunsrück Slate (Bartels, Briggs & Brassel 1998).

477 The nature of the pyritic preservation of the host specimen, *I. opitzi*, does not make it 478 possible to look at the microstructure or fine details of the sclerobionts, but the general 479 morphology supports that all clusters of sclerobionts share a taxonomic affinity. Runner-like sclerobionts common in the Devonian include auloporid coral, paleotubuliporid bryozoans, 480 and hederelloids. The sclerobionts encrusting I. opitzi are colonial, with elongated zooids, 481 482 lateral branching/budding patterns, and relatively large tube diameters which speak for their identification as hederelloids rather than auloporids or bryozoans (Elias 1944; Bancroft 1986; 483 Wilson & Taylor 2006; Taylor & Wilson 2007). 484

The runner-like encrusters were initially thought to be auloporid corals (De Baets et al. 2013), which are known to encrust brachiopods (Zapalski 2005; Mistiaen et al. 2012) and ammonoids (Klug & Korn 2001) during their lifetime. Some auloporid taxa have been confused with hederelloids in the past (Fenton & Fenton 1937; Elias 1944) and can be hard to differentiate when taphonomic conditions have degraded the quality of the specimen due to gross morphological similarities.

Hederelloids have been reported to encrust externally shelled cephalopods before (Thayer
1974; Brassel 1977; Bartels, Briggs & Brassel 1998; Frey et al. 2014), but these are, to our
knowledge, the first reported to encrust an ammonoid *in vivo*. Sclerobionts can provide also

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494 important information on paleoecology, sedimentary environments and taphonomy, both
495 when they encrust shells in vivo or after death of their host (Baird, Brett & Frey 1989; Kacha
496 & Šaric 2009; Rakociński 2011; Brett et al. 2012; Wilson & Taylor 2013; Luci & Cichowolski
497 2014; Wyse Jackson, Key & Coakley 2014; Luci, Cichowolski & Aguirre-Urreta 2016).

The presence of five distinct clusters of hederelloids suggest that colonization of the host by 498 sclerobionts happened numerous times (see Figures 4 and 6). Not all colonizations show 499 clear evidence of in vivo encrustation; clusters A and B were likely the last to settle on the 500 specimen – based upon their location on the shell and the ontogeny of the host – but also do 501 not show evidence of *post-mortem* encrustation. Clusters A and B, however, are the largest, 502 503 which suggest that they had sufficient nutrients to settle, establish, and grow for an 504 extended period of time. This is unlikely to have occurred in the benthos after the death of 505 the *I. opitzi* specimen, but is not impossible. However, because the size of the hederelloid colonies in clusters A and B exceed that of the other colonies, clusters C, D and E were likely 506 507 not living concurrently with clusters A and B.

508 Implications for paleoenvironment of *Ivoites*

509 Some authors have attributed the rarity of encrusters in coiled ammonoids compared with Paleozoic

510 (orthoconic) nautiloids to their ability to (keep) clean or chemical defenses against encrusters

- 511 (Donovan 1989; Davis, Klofak & Landman 1999; Keupp 2012). Potentially, early ammonoid were
- 512 more similar to their orthoconic nautiloid and bactritoid relatives. Furthermore, mechanical removal

of epizoans might have proven more difficult in loosely coiled ammonoids like *lvoites* as the previous

- whorl might have been out of reach of the cephalopod-arm complex (see Figure 8). However, these
 suggestions are all quite speculative it is impossible to find direct evidence for chemical or
- 516 mechanical cleaning or defensive behavior in this fossil group. More importantly, these mechanisms
- 517 are also unnecessary to be invoked for such differences which could equally be explained by the fact
- that many nautiloids would have lived in more shallow environments which show higher
- 519 encrustation rates in general (Brett et al. 2012; Smrecak & Brett 2014; Smrecak 2016). Modern
- 520 *Nautilus* shows differences in encrustations between different environments too (Landman et al.
- 521 1987).
- 522

523 The sedimentary environment of the Hunsrück Slate have been widely interpreted, ranging from shallow sedimentation on tidal flats, at depths from around storm-wave base to 524 significantly deeper (Solle 1950; Seilacher & Hemleben 1966; Erben 1994; Bartels, Briggs & 525 526 Brassel 1998). The sedimentary environment in the central Hunsrück Basin is now thought to be rather complex; depressions between sedimentary fans provided environments below 527 storm wave base and sills which could locally extend into the intertidal zone (Etter 2002). 528 529 The beds with the exceptionally preserved fossils and hemipelagic fauna (ammonoids, dacryoconarids) in the Bundenbach-Gemünden area have been interpreted to be mostly 530 531 deposited below storm-wave base and/or at depths around 100m (Sutcliffe, Tibbs & Briggs 532 2002; Stets & Schäfer 2009). Even in these regions, more sandy layers with neritic 533 brachiopods are intercalated, suggesting occasional shallower depths above storm wave base. It is now generally accepted that the maximum depth was within the photic zone due 534 to the presence in some layers of receptaculitid algae, which are interpreted to be closely 535 536 related to green algae, and good visual capabilities of arthropods (Bartels, Briggs & Brassel

537 1998; Etter 2002; Selden & Nudds 2012). Based on the latter, maximum depths of 200 m
538 have suggested (Rust et al. 2016).

539 Hederelloids are typical encrusters found in Devonian photic zone environments (Brett et al. 2012). They are most diverse and abundant in shallower facies, but persist into the deep 540 euphotic zone (Smrecak 2016). The presence of hederelloids on the specimen, in 541 combination with other evidence described earlier, support an interpretation of in vivo 542 encrustation. The pelagic life habit of *I. opitzi* would allow colonies of hederelloids to settle 543 and grow on the shell with some success. In contrast, at depths of 100+ meters, hederelloid 544 encrustation, and sclerobiont encrustation in general, is significantly less common (e.g., 545 546 Brett et al. 2011; Brett et al. 2012; Smrecak & Brett 2014)). Thus, presence of multiple 547 colonies of hederelloids on the specimen support in vivo encrustation at depths within the photic zone, and lends further support for depositional conditions in line with current 548 interpretations that the Hunsrück Slate interpreted was deposited near storm-wave base 549 550 (Bartels, Briggs & Brassel 1998; Sutcliffe, Tibbs & Briggs 2002).

De Baets et al. (2013) found encrusted ammonoid shells to be rare (only 6 of 342 studied 551 ammonoids: about 2%). Only two specimens of 82 specimens of *Ivoites* (2%) were found to 552 be encrusted with hederelloids – our specimen and an additional specimen of *lvoites* sp. 553 554 which was interpreted to be encrusted post-mortem (Bartels, Briggs & Brassel 1998). 555 Taphonomic or collection biases (Wyse Jackson & Key Jr 2014) are unlikely to explain the low 556 percentages of encrustation as the ammonites and epibionts are principally preserved in the way 557 (e.g., pyritic compound moulds in our case). So far, bivalves, brachiopods, bryozoans, crinoids, 558 hederelloids and tabulate corals have been reported to encrust conchs of ammonoids or other externally shelled cephalopods from the Hunsrück Slate s.s. or middle Kaub Formation 559 560 (Brassel 1977; Bartels, Briggs & Brassel 1998; Jahnke & Bartels 2000; Kühl et al. 2012a; De Baets et al. 2013), but these have mostly thought to have happened post-mortem due to 561 their heavy encrustation on one side of the fossils or the encrustation of the structures 562 which would normally be covered with soft-parts (Bartels, Briggs & Brassel 1998; Jahnke & 563 Bartels 2000; De Baets et al. 2013). Heavy encrustations seems to be more common in 564 565 nautiloids (Bartels, Briggs & Brassel 1998; Jahnke & Bartels 2000; Kühl et al. 2012a), but 566 these have so far only been qualitatively studied. In environments between 100 and 200m 567 encrustation is generally low, which also consistent with a rare *in-vivo* encrustation of our specimen which have swam in shallower depths when the first encrusters settled rather 568 than the commonly reported post-mortem encrustation. Additional studies on epicoles on 569 570 ammonoid shells and other shells from the Hunsrück Slate would be necessary to further corroborate these hypotheses. 571

572 Implication for mode of life

Loosely coiled early ammonoids are mostly treated as poor swimmers based on their poor streamlining with high drag (Westermann 1996; Klug & Korn 2004; Klug et al. 2015a); additional limitations imposed by epizoa on streamlining and shell orientation might be (even) less important in these forms than in normally coiled ammonoids. The fact that our specimen survived at least three separate encrustations – as evidenced by different settlement locations of the clusters of hederelloids – and growth deformations associated with earlier encrustation further corroborates this idea, although further investigations on PeerJ Preprints | https://doi.org/10.7287/peerj.preprints.2479v2 | CC BY 4.0 Open Access | rec: 7 Jun 2017, publ: 7 Jun 2017

580 additional specimens would be necessary to confirm this hypothesis. Most hederelloid 581 colonies generally grow along the spiral direction and do not cross from one whorl to the 582 next, which provide additional evidence that they encrusted the ammonoid during its 583 lifetime.

We cannot entirely rule out a post-mortem encrustation of clusters A-B. Hederelloid growth 584 in those clusters are preferentially orientated away from the aperture of the ammonoid 585 conch, as opposed to those of the inner whorls (cluster C-E) which are preferentially 586 orientated towards it. Associated dacryoconarids do not show a preferential orientation with 587 respect to the substrate (as would be expected in the case of current alignment: Hladil, 588 589 Čejchan & Beroušek 1991) or the hederelloids. This does not necessarily speak against 590 encrustation during the lifetime of the ammonoid by clusters A and B as the terminal uncoiling of the ammonoid is interpreted to have influenced the life orientation from an 591 upturned aperture in the inner whorls to a downturned aperture (see Figure 8) during the 592 593 terminal uncoiling at the end of the ontogeny (Klug & Korn 2004; De Baets et al. 2013; Klug et al. 2015a). We know the ammonoid specimen reached adulthood because it terminally 594 uncoils, which is typical for many taxa of Anetoceratinae and interpreted as a sign of 595 adulthood (De Baets, Klug & Korn 2009; De Baets et al. 2013; De Baets, Klug & Monnet 2013; 596 597 Klug et al. 2015b).

598 *Hederella* is known to encrust another ammonoid from the Hunsrück Slate, but this is 599 interpreted to have happened post-mortem (Brassel 1977; Bartels, Briggs & Brassel 1998). 600 There is no evidence that this happened in-vivo in the second specimen as these are located 601 on an incompletely preserved body chamber, and have been interpreted as encrusting the 602 inside of the shell (Bartels, Briggs & Brassel 1998) – but this should be further tested with 603 μ CT. Additional studies would be necessary to confirm if our specimen is an isolated case of 604 in vivo encrustation or part of a more common phenomenon.

605 Implications for taxonomy

606 Defining pathological specimens as species can have important taxonomic implications 607 (Spath 1945). According to Spath (1945), such ammonoid species should remain valid, but no new type can be chosen while the holotype is still in existence. Others, like Haas (1946), 608 609 claim assigning a pathological specimen might undermine the status of the species, considering the morphology of the species is described based on a pathological specimen, 610 and that a new neotype should be selected. It is important to note that several authors have 611 erected different ammonoid species based on small differences in coiling. As the only known 612 non-planispirally coiled specimen of *I. opitzi* is pathological, an author like Haas (1946) might 613 614 have suggested to designate another specimen as type for this species to avoid ambiguity. 615 However, our study highlights that non-planispirality does not belong to normal intraspecific variation of this species, nor to the taxonomic definition of this taxon. Paratype SMF-HF 940, 616 which was collected from the same locality as the holotype (De Baets et al. 2013), would be 617 the best candidate among the paratypes. Reassigning a neotype has recently been 618 intensively discussed for the holotype of Homo floriensis (Kaifu et al. 2009; Eckhardt & 619 620 Henneberg 2010), but the severity of deviation has to be considered in this specimen. However, both aspects (electing a neotype for pathological specimens and its dependence of 621 the severity of the pathology) are not specifically discussed in the International Code of 622 PeerJ Preprints | https://doi.org/10.7287/peerj.preprints.2479v2 | CC BY 4.0 Open Access | rec: 7 Jun 2017, publ: 7 Jun 2017

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Zoological Nomenclature (ICZN). According to Article 75.1 of ICZN, "the neotype is ... 623 624 designated under conditions ... when no name-bearing type specimen is believed to be extant ...". In this case, if the holotype, even when pathologically deformed, is extant, the 625 626 proposal of neotype is not granted. A proposal could be submitted to the ICZN to resolve the use of pathologically-induced morphological variation of holotypes, but this falls outside the 627 628 aim of our study. Furthermore, we are confident that original type specimen belongs to same species as the paratypes as it completes the same amount of whorl before uncoiling, 629 630 has a similar rib spacing and only differs from other specimens in its minor coiling deviations (De Baets et al. 2013). As non-planispiral coiling was not part of the original diagnosis, we 631 632 feel it is unnecessary to submit a proposal to appoint a new type specimen, which might not 633 be allowed anyway.

634

635 Conclusions

With the aid of μ CT, we can demonstrate that at least some of the encrustations must have 636 happened during the lifetime of the ammonoid as the sclerobionts are located on both sides 637 of the ammonoid at the place where deviation from planispiral coiling starts. This indicates 638 that the non-planispiral, slight trochospiral coiling in this specimen is probably pathological 639 640 and does not form a part of the natural variation (De Baets et al. 2013). To avoid taxonomic 641 confusion resulting from non-spiral coiling in this taxon, which is not part of the natural variation as initially thought, one could select a neotype. While this practice has been 642 suggested for other taxa (e.g. Haas (1946), this is, in our opinion, not necessary as non-643 644 planispiral coiling did not form part of the original diagnosis. As the specimen survived at least 3 different encrustations and associated deformations through adulthood, the effects 645 646 on its daily life were probably negligible. We re-identify these runner-like epizoa as hederelloids (as opposed to auloporid tabulate corals), which make them the first known 647 hederelloids to encrust an ammonoid in vivo and suggests that the ammonoid probably lived 648 within the photic zone for most of its life. However, more studies on sclerobionts from the 649 650 Hunsrück Slate, preferably with μ CT, are necessary to further corroborate these hypotheses.

651

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