



1                   **Late Neogene evolution of modern deep-dwelling plankton**

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13    The fossil record of marine microplankton provides insights into the evolutionary drivers which  
14    led to the origin of modern deep-water plankton, one of the largest component of ocean biomass.

15    We use global abundance and biogeographic data combined with depth habitat reconstructions to  
16    determine the environmental mechanisms behind speciation in two groups of pelagic microfossils

17    over the past 15 million years. We compare our microfossil datasets with water column profiles

18    simulated in an Earth System model. We show that deep-living planktonic foraminiferal

19    (zooplankton) and calcareous nannofossil (mixotroph phytoplankton) species were virtually absent

20    globally during the peak of the middle Miocene warmth. Evolution of deep-dwelling planktonic

21    foraminifera started from subpolar-midlatitude species during late Miocene cooling, via allopatry.

22    Deep-dwelling species subsequently spread towards lower latitudes and further diversified via

23    depth sympatry, establishing modern communities stratified hundreds of meters down the water

24    column. Similarly, sub-euphotic zone specialist calcareous nannofossils become a major

25    component of tropical and sub-tropical assemblages during the latest Miocene to early Pliocene.

26    Our model simulations suggest that increased organic matter and oxygen availability for



27 planktonic foraminifera, and increased nutrients and light penetration for nannoplankton, favored  
28 the evolution of new deep water niches. These conditions resulted from global cooling and the  
29 associated increase in the efficiency of the biological pump over the last 15 million years.

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## 31 **1. Introduction**

32 The biodiversity of planktonic and nektonic organisms is difficult to explain given the uniform  
33 character and vastness of pelagic environments, where genetic isolation seems difficult to maintain  
34 (Norris, 2000). Planktonic microorganisms with mineralized shells have often been used as a  
35 model to study the mode and tempo of species origination in the open ocean, due to the abundance,  
36 widespread distribution, and temporal continuity of their fossil record (e.g., Pearson et al., 1997;  
37 Norris, 2000; Bown et al., 2004; Ezard et al., 2011; Norris et al., 2013). Because of the great  
38 fossilization potential of their calcium carbonate tests across much of the global ocean, their  
39 relatively simple and well-established taxonomy, and highly resolved biostratigraphy, planktonic  
40 foraminifera and calcareous nannofossils are amongst the best studied fossil groups. Planktonic  
41 foraminifera are heterotrophic zooplankton, with different species specialized to feed on different  
42 types of food, from other plankton to sinking detritus. In the modern ocean, planktonic  
43 foraminifera live stratified across a range of depths spanning from the surface to hundreds of  
44 meters down the water column (Rebotim et al., 2017; Meilland et al., 2019). Properties such as  
45 food quantity and quality, oxygen, light and pressure all change markedly across the first few  
46 hundreds of meters of the ocean. Depending on such down-column variability in environmental  
47 conditions, planktonic foraminifera can actively control their living depth of preference, which  
48 remains relatively stable during their adult life-stage (Hull et al., 2011; Weiner et al., 2012;  
49 Rebotim et al., 2017; Meilland et al., 2019; Duan et al., 2021). A key advantage of using planktonic



50 foraminifera for evolutionary studies is the ability to extract ecological information from their shell  
51 chemistry. This provides invaluable information about species-specific functional ecology (e.g.,  
52 feeding strategy) and habitat preferences (e.g., surface versus deep waters), which in combination  
53 with biogeographic, taxonomic, biometric, and stratigraphic data have often been used to infer  
54 speciation and extinction mechanisms (Norris et al., 1993; Norris et al., 1994; Pearson et al., 1997;  
55 Hull and Norris, 2009; Pearson and Coxall, 2012; Woodhouse et al., 2021 ) and reconstruct  
56 phylogeny (Aze et al., 2011).

57 Calcareous nannoplankton also have a highly resolved and continuous fossil record; they are  
58 the most abundant microfossils in oceanic pelagic sediments, and similar to planktonic  
59 foraminifera, their spatial distribution ranges from tropical to subpolar latitudes (Poulton et al.  
60 2017). In the modern ocean they also live stratified in the water column, with species adapted to  
61 euphotic waters, and species adapted to live deeper (Poulton et al., 2017). In contrast to planktonic  
62 foraminifera, nannoplankton are predominantly autotrophic, performing photosynthesis in water  
63 where light penetration is sufficient, although there is evidence for heterotrophy (mixotrophic  
64 behavior) in some extant (Godrjian et al., 2020) and fossil (Gibbs et al., 2020) species. In euphotic  
65 waters, organic matter production from nannoplankton is at the base of pelagic food chains and of  
66 the functioning of the ocean biological carbon pump. Taxonomic, biometric and stratigraphic data  
67 have been used to establish phylogenetic relationships between fossil nannoplankton species  
68 (Young and Bown, 1997).

69 Little emphasis has been given to the long-term drivers of evolutionary patterns observed in  
70 fossil plankton from species to phylum level, although more recently, a broad connection with  
71 changing climate and ocean properties has been suggested (e.g., Ezard et al., 2011; Norris et al.,  
72 2013; Frass et al., 2015; Henderiks et al., 2020; Lowery et al., 2020). Boscolo-Galazzo, Crichton



73 et al. (2021) showed that over the last 15 million years the remineralization of particulate organic  
74 carbon (POC) in surface waters declined markedly driven by climate and ocean cooling (Kennett  
75 and Von der Borch, 1985; Kennett and Exon, 2004; Cramer et al., 2011; Zhang et al., 2014; Herbert  
76 et al., 2016; Sosdian et al., 2018; Super et al., 2020), increasing the efficiency of the ocean  
77 biological pump in delivering organic matter at depth. Such a mechanism was key to promote the  
78 evolution of life in deep waters, allowing the development of the modern twilight zone ecosystem  
79 (Boscolo-Galazzo, Crichton et al., 2021). The goal of this study is to combine the fossil record of  
80 two ecologically complementary calcareous microplankton groups seldom analyzed together,  
81 planktonic foraminifera and nannoplankton, and together with model simulations, help disentangle  
82 the evolutionary drivers of modern deep-dwelling plankton. We use the planktonic foraminiferal  
83 dataset from Boscolo-Galazzo, Crichton et al. (2021) and extend our analysis to calcareous  
84 nannofossils in coeval sediment samples to assess their abundance and distribution pattern. We  
85 compare the results from these two groups and contrast them against time and site-specific model  
86 water column profiles for POC and oxygen (O<sub>2</sub>) obtained from the cGENIE Earth System model.  
87 Further, using stable isotopes, depth habitat reconstructions, abundance and biogeography data we  
88 reconstruct the speciation mechanisms which led to the evolution of modern deep-dwelling  
89 planktonic foraminiferal species.

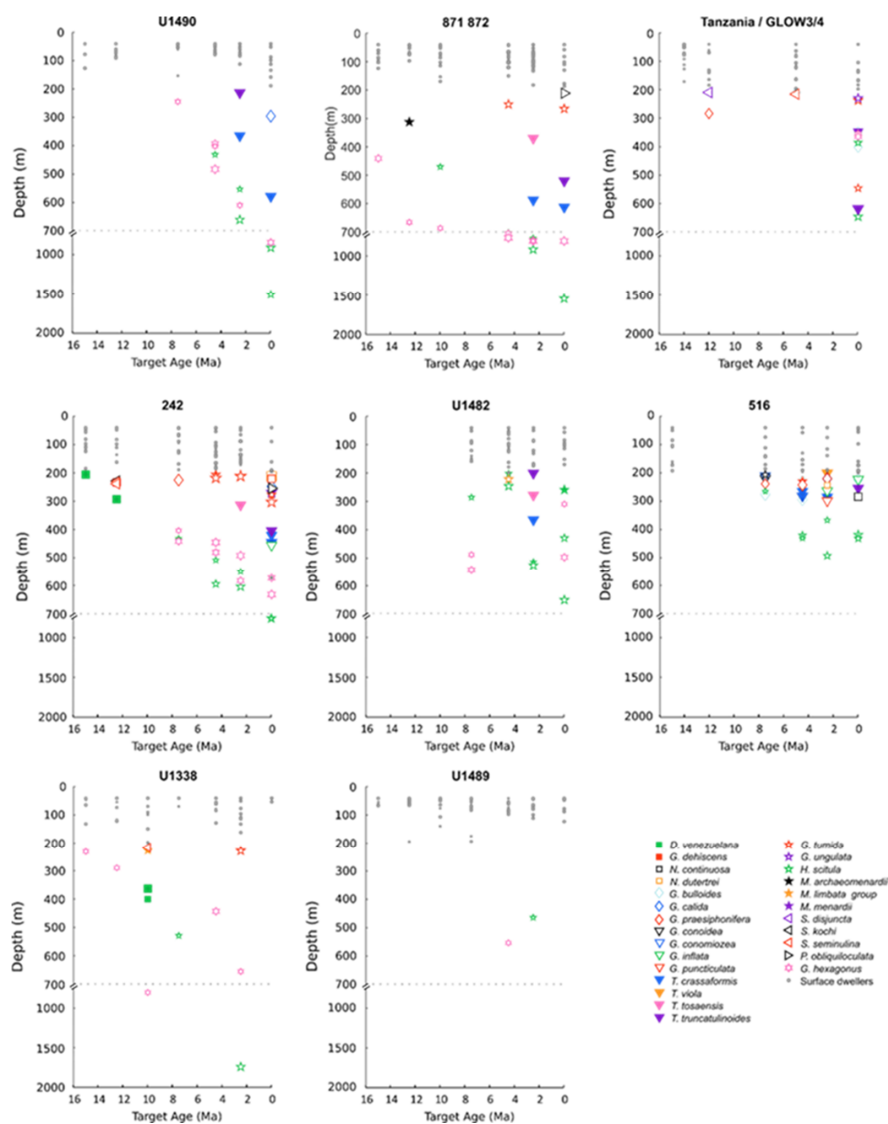
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## 91 **2. Methods**

### 92 **2.1 Planktonic foraminifera**

93 In this study we focus on the deep-dwelling groups of macroperforate planktonic foraminifera  
94 of the hirsutellids, globorotaliids, truncorotaliids and globoconellids, which in the modern ocean  
95 calcify and live mostly in the twilight zone of the ocean, i.e. between 200-1000 m (Birch et al.,





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97 **Figure 1.** Depth-habitat reconstructions for middle Miocene to present planktonic foraminiferal  
 98 species at the investigated sites. Surface dwellers (species living at depths shallower than 200 m)  
 99 are indicated with a grey dot, deeper species are indicated with colored symbols. Relative size of  
 100 symbols represents the size fractions of the sample. Reproduced from Boscolo-Galazzo, Crichton  
 101 et al. (2021).

102



103 2012; Rebotim et al., 2017), and have a more complete fossil record than deep-dwelling  
104 microperforate planktonic foraminifera (Kennett and Srinivasan, 1983).

105 Planktonic foraminiferal data and depth habitat reconstructions (Fig. 1) are from Boscolo-  
106 Galazzo, Crichton et al. (2021). They were obtained from globally and latitudinally distributed  
107 DSDP/ODP/IODP sites and from cores drilled onshore and offshore Tanzania, all characterized  
108 by abundant calcareous microfossils (Boscolo-Galazzo, Crichton et al., 2021). The work was  
109 focused on seven target ages (15 Ma, 12.5 Ma, 10 Ma, 7.5 Ma, 4.5 Ma, 2.5 Ma, 0 Ma/Holocene).  
110 To avoid sample-aliasing, bulk sediment stable isotopes were measured on an average of ten  
111 samples per target age at each site. The sample displaying mean oxygen stable isotope values was  
112 chosen for subsequent analyses (Boscolo-Galazzo, Crichton et al., 2021). Ages were determined  
113 based on biostratigraphic analysis mostly following the biozonation scheme by Wade et al. (2011).

114 Foraminiferal picking for stable isotope measurements were conducted from the size fractions:  
115 180-250  $\mu\text{m}$ , 250-300  $\mu\text{m}$ , 300-355  $\mu\text{m}$  (Boscolo-Galazzo, Crichton et al., 2021). Stable isotopes  
116 were measured on an average of 15 different species per sample, using ~25 specimens for common  
117 species, and as many specimens as possible for rare species. Stable isotopes were measured at  
118 Cardiff University. Stable isotope results are shown in Figs. S1 to S9 in the Supplement. Only data  
119 from the largest of the three measured size fractions are shown when data from more than one size  
120 fraction are available. Data from size fractions other than those above are shown only when a  
121 species did not occur within the preferred size interval. Foraminiferal abundance counts were  
122 carried out in two size fractions, 180-250  $\mu\text{m}$  and >250  $\mu\text{m}$ , counting up to 300 specimens in each.  
123 Total abundances were derived by summing up abundances from these two size fractions.

124 Boscolo-Galazzo, Crichton et al. (2021) reconstructed planktonic foraminiferal depth habitat  
125 (Fig. 1) using a combined model-data approach, solving the paleotemperature equation of Kim and



126 O'Neill (1997) for each data point using measured foraminiferal  $\delta^{18}\text{O}$ , global ice volume estimates,  
127 and the cGENIE modeled salinity field to determine local water  $\delta^{18}\text{O}$ , and then use the model  
128 temperature-depth curve to determine depth. The full method is described in Boscolo-Galazzo,  
129 Crichton et al. (2021).

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## 131 **2.2 Calcareous Nannofossils**

132 Quantitative calcareous nannofossil data were collected from the same samples as used for  
133 planktonic foraminiferal analysis or, when this was not possible, stratigraphically adjacent samples  
134 (Table S1 in the Supplement). A cascading count technique was used to maximise nannofossil  
135 diversity recovery and quantification of low abundance species (Styzen, 1997). Nannofossils were  
136 counted per field of view (FOV) until a minimum of 400 specimens were achieved for each sample.  
137 However, if a high abundance species exceeded an average of 25 specimens per FOV, it was  
138 excluded from subsequent counts in that sample and its abundance scaled-up based on its average  
139 abundance and the total numbers of FOV counted. Only specimens directly counted contributed  
140 to the minimum count threshold of 400 specimens. An additional scan of two slide transects were  
141 undertaken to record rare species not observed during the extended count and are included in the  
142 total species richness and diversity analyses. Samples for nannofossil analysis were prepared using  
143 the smear slide technique (Bown & Young, 1998). Calcareous nannofossils were observed using  
144 both plane-polarised (PPL) and cross-polarised light (XPL) on a Zeiss Axioscope light-microscope  
145 at x1000 magnification. Identification and taxonomy used herein follows Young et al. (1997) and  
146 is coherent with the recent Neogene calcareous nannofossil taxonomy (Ciummelli et al., 2016;  
147 Bergen et al., 2017; Blair et al., 2017; Boesiger et al., 2017; Browning et al., 2017; de Kaenel et  
148 al., 2017).



### 149 2.3 Plankton Ecogroups

150 In order to compare the datasets obtained from the planktonic foraminiferal and nannofossil  
151 analysis, we grouped species into ecogroups based on depth-habitat preferences. Planktonic  
152 foraminiferal ecogroups are defined based on paleodepth habitat reconstructions from Boscolo-  
153 Galazzo, Crichton et al. (2021): the euphotic zone ecogroups includes species with an average  
154 depth habitat shallower than 200 m (the bottom of the euphotic zone), the twilight zone ecogroup  
155 includes species with an average depth habitat coinciding with the twilight zone (200-1000 m).  
156 The twilight zone ecogroup is largely composed of species within the globoconellids, the  
157 *Globorotalia merotumida-tumida* lineage, the hirsutellids and the truncorotaliids, but also includes  
158 species from other genera, such as *Globigerinella calida*, *Globorotaloides hexagonus*, *G.*  
159 *variabilis*, and *Pulleniatina obliquiloculata*. *Dentoglobigerina venezuelana* has a changeable  
160 depth habitat through time (see discussion in Wade et al., 2018); following the depth habitat  
161 reconstructions from Boscolo-Galazzo, Crichton et al., (2021) it was grouped as euphotic zone  
162 species for target ages 15, 12.5, 7.5, 4.5 Ma and as twilight zone species for target age 10 Ma.  
163 Species were excluded from the grouping when they are known to have a marked seasonality in  
164 abundance and depth habitat (*Globigerina bulloides*, *Globigerinella praesiphonifera* and the  
165 neogloboquadrinids) (e.g., Jonkers and Kucera, 2015; Greco et al., 2019), and if they were too rare  
166 and depth habitat reconstruction was not possible (*Candeina nitida*).

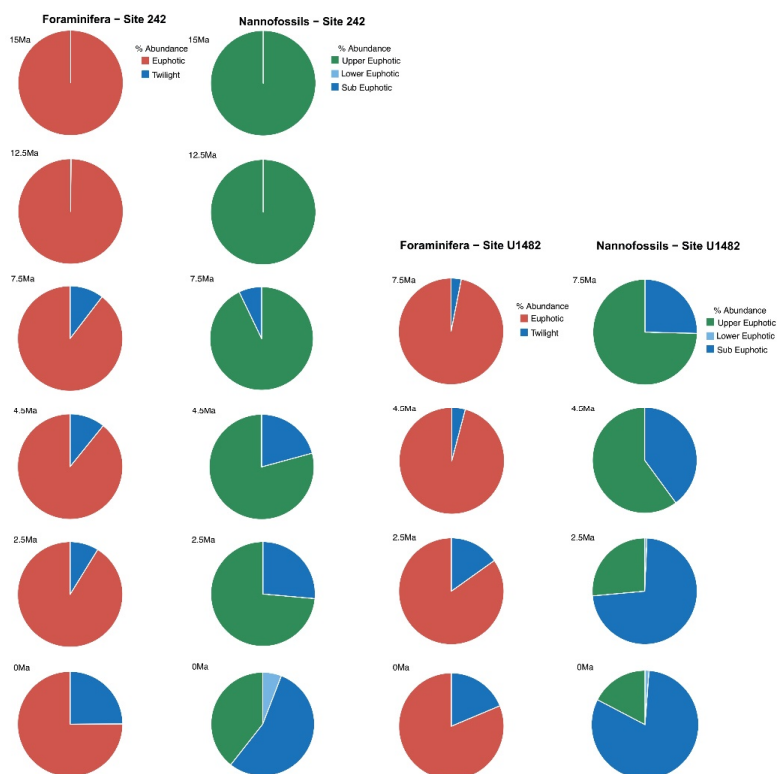
167 Three ecogroups for calcareous nannofossils are used: upper-euphotic, lower-euphotic and  
168 sub-euphotic. The upper-euphotic group is represented by: *Discoaster* spp., *Rhabdosphaera*  
169 *xiphos*, *Reticulofenestra* spp. and *Gephyrocapsa* spp. (excluding *G. ericsonii*); the lower-euphotic  
170 ecogroup contains: *Rhabdosphaera clavigera*, *Gephyrocapsa ericsonii* and *Ceratolithus* spp.,  
171 finally the subeuphotic ecogroup includes: *Florisphaera profunda* and *Calciosolena murrayi*.



172 Because species specific stable isotope measurements and depth habitat reconstructions are  
173 difficult for calcareous nannofossils, species depth-habitat preference was assigned based on the  
174 literature (Poulton et al., 2017; Tangunan et al., 2018). In particular, Poulton et al. (2017) described  
175 vertically separated coccolithophores communities sampled during a meridional cruise in the  
176 Atlantic Ocean. Here we use their criteria for assigning nannofossil species into ecogroups,  
177 whereby in the upper-euphotic zone ecogroup we include species found to live in waters with  
178 >10% surface irradiance, in the lower-euphotic zone ecogroup we group species found to live in  
179 waters with 10-1% irradiance, and in the sub-euphotic zone ecogroup we group species found to  
180 live in waters with <1%, i.e. too low to support photosynthesis (Poulton et al., 2017). *Discoaster*  
181 become extinct in the early Pleistocene, therefore, its depth habitat remains under debate as the  
182 group has no extant relative (Schueth and Bralower, 2015; Tangunan et al., 2018). However,  
183 geochemical evidence from oxygen isotope values of *Discoaster* and planktonic foraminifera  
184 (*Globorotalia menardii*, *Dentoglobigerina altispira* and *Globigerinoides obliquus*), reveal  
185 comparable values and signifies that *Discoaster* likely inhabited the upper euphotic zone  
186 (Minoletti et al., 2001).

187 For each target age, the relative abundance of ecogroups was calculated summing up the  
188 abundance counts of all the individual species pertaining to an ecogroup at each site, hence,  
189 ecogroup abundance data represent global mean values. For both nannofossils and planktonic  
190 foraminifera, the percentage of each ecogroup per time bin was converted into pie-charts (Figs. 2-  
191 5). Diversity indexes for both foraminiferal and nannofossil ecogroup were calculated using the  
192 statistical software Past (Hammer et al., 2001) (Fig. 6).

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195 **Figure 2.** Foraminiferal and nannofossil ecogroup abundance at Site 242 and U1482.

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## 205 **2.4 cGENIE model**

206 We extracted model output for Particulate Organic Carbon (POC) and oxygen concentration  
207 from the cGENIE simulations for each of the seven target ages as described fully in Boscolo-  
208 Galazzo, Crichton et al. (2021). To facilitate a general discussion of near-surface changes, we  
209 divided the data latitudinally by calculating the arithmetic mean for low latitudes ( $<16^\circ$  latitude),  
210 two mid-latitude bands (mid 1:  $16^\circ$  to  $40^\circ$ , mid 2:  $40^\circ$  to  $56^\circ$ ) and high latitudes ( $>56^\circ$ ). The  
211 cGENIE simulations take account of changing boundary conditions including  $\text{CO}_2$  forcing,  
212 bathymetry and ocean circulation (Crichton et al., 2020). The model's ocean biological carbon  
213 pump is temperature dependent, where temperature affects both nutrient uptake rates at the surface  
214 and remineralization rates of sinking particulate organic matter down the water column (Crichton  
215 et al., 2021).

## 216 **3. Results**

### 217 **3.1 Plankton Ecogroups**

218 For both calcareous nannoplankton and planktonic foraminifera, the variation in abundance  
219 of euphotic zone and deeper-dwelling ecogroups show global patterns recognised across sites.  
220 Additionally both group indicate a long-term directionality towards increased abundance of deep-  
221 dwelling ecotypes. Among planktonic foraminifera, the twilight zone ecogroup increases in  
222 abundance through time starting at 7.5 Ma (Fig. 6). The relative abundance of the twilight zone  
223 ecogroup in the middle Miocene is 15% and it increases to ~30% in the Holocene time slice (Fig.  
224 6). The average abundance of the euphotic zone species ecogroup in the middle Miocene is 85%  
225 and it decreases through time until reaching 60% in the Holocene (Fig. 6). In the twilight zone  
226 ecogroup we observe an increase in the total number of species from about 1-2 species at 15 Ma,  
227 to 14 species in the Holocene (Fig. 6). In the middle Miocene this group comprised 1/6 of the total



228 number of species in our samples, while in the Holocene it represents almost the half. All the  
229 diversity indexes show a late Miocene to Holocene increasing trend for the twilight zone ecogroup  
230 (Fig. 6).

231 Calcareous nannofossil assemblages are dominated by the upper-euphotic ecogroup from  
232 15 to 10 Ma at all sites (Figs. 2-5). At 7.5 Ma the sub-euphotic ecogroup first becomes a significant  
233 component of assemblages at Indian Ocean sub-tropical Sites U1482 and to some extent Site 242,  
234 but it is not until the 4.5 Ma time slice that the sub-euphotic ecogroup becomes a significant  
235 component of assemblages at the majority of locations (Sites 516, 871/872, 242, U1338, U1482,  
236 U1489; Figs. 2-5). By the Holocene time slice, coccoliths of sub-euphotic species are dominant at  
237 most locations, except at Eastern Equatorial Pacific Site U1338 (Figs. 6 and 4). At the southern  
238 high latitude Site 1138 there is no significant contribution from coccoliths of either lower-euphotic  
239 or sub-euphotic species at any point, although there is no data from the Pliocene to Holocene time  
240 slices at this location (Fig. 5). Global average compositions of calcareous nannofossil assemblages  
241 reflect the changes noted above, with a marked and rapid decline in the relative contribution of the  
242 upper-euphotic ecogroup, and a corresponding increase in the sub-euphotic zone ecogroup through  
243 the Pliocene and to Holocene (Fig. 6).

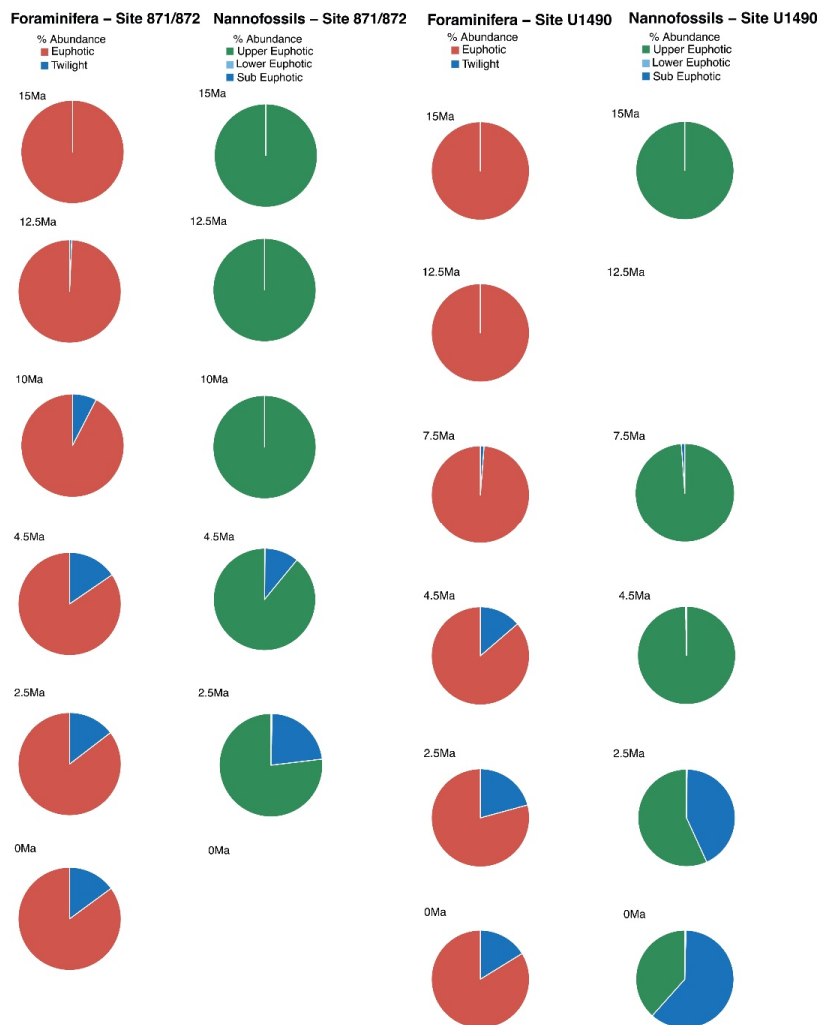
## 244 **3.2 Planktonic foraminiferal deep-dwelling species: depth habitat, abundance and** 245 **biogeography**

### 246 **3.2.1 Hirsutellids**

247 The only hirsutellid species occurring in our Miocene samples is *Hirsutella scitula*. At 15 Ma this  
248 morphospecies is common only at Site 1138 (~8%), sporadically occurs at Site 516 (<1%) and is  
249 absent at the other investigated sites (Figs. 7). Oxygen isotopes range from 0.5 to 1.3‰ (Figs. S1-

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253 **Figure 3.** Foraminiferal and nannofossil ecogroup abundance at Site 871/872 and U1490.

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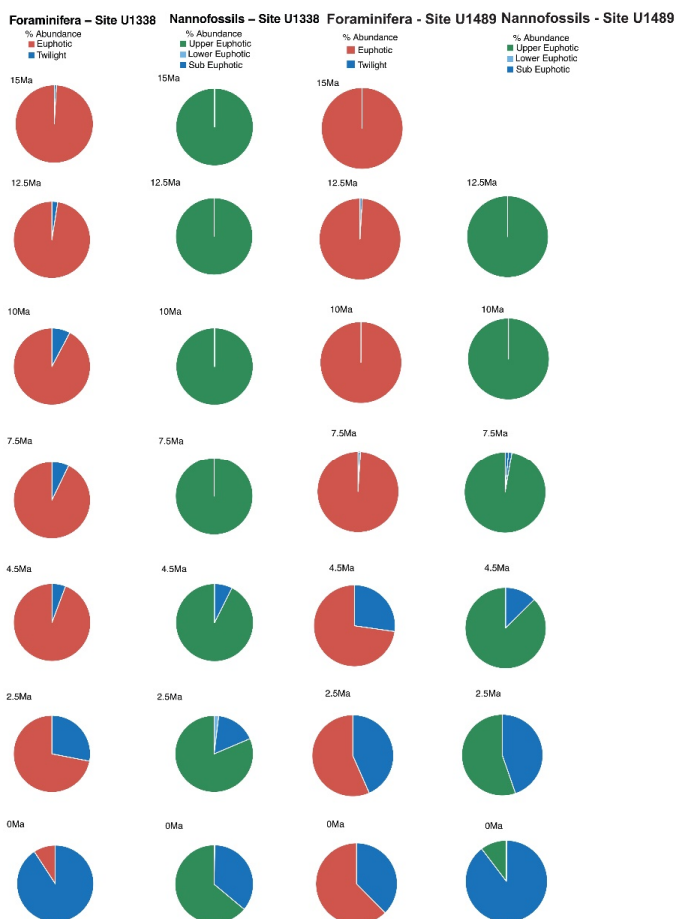
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260 S2). Depth-habitat reconstructions for Site 1138 are unattainable from  $\delta^{18}\text{O}$  data due to the  
261 overprinting effect of subpolar front shifts at this location, but habitat reconstruction at Site 516  
262 suggests a paleodepth habitat shallower than 200 m. By 12.5 Ma, *H. scitula* appears at Site U1338  
263 and U1489 in very low abundance (<0.5%) (Fig. 7). At Site U1489 the species was so rare that it  
264 was encountered when picking for stable isotopes and no more when counting for species  
265 abundances, despite the use of different splits of the residue. No differences were observed  
266 between 12.5 and 10 Ma in the biogeography of *H. scitula* (Fig. 7). However, by 7.5 Ma, *H. scitula*  
267 occurs at all our low latitude sites (Fig. 8) with oxygen isotopes ranging from -0.5 to 2.0‰ (Figs.  
268 S3-S9), which according to depth habitat reconstructions translates to 250 and 500 m water depth  
269 (Boscolo-Galazzo, Crichton et al., 2021). This is similar to that of *Globorotaloides hexagonus*  
270 (Fig. 1), the only twilight zone dweller we observed at tropical sites at 15 Ma, displaying stable  
271 isotopes ranging from 0 to 1‰, which translates to depths around 300-500 m. In the late middle  
272 Miocene the stable isotope values of *G. hexagonus* increase to 2-2.5‰ (Figs. S3-S9). Similarly,  
273 the oxygen isotope values of tropical *H. scitula* increased through time, reaching 2-3‰ in the  
274 youngest target ages. In line with this, the reconstructed depth habitat of *H. scitula* and *G.*  
275 *hexagonus* increases through time in a stepwise fashion, and in the Holocene it reaches down to  
276 800-1500 m (Fig. 1) (Boscolo-Galazzo, Crichton et al., 2021). *Hirsutella scitula* becomes  
277 gradually more common at low latitude sites through the Miocene-Pliocene, although it never  
278 becomes abundant. In our record, *Hirsutella margaritae* and *H. theyeri* first appear in the early  
279 Pliocene at a depth between 200-300 m (Fig. 1) (oxygen isotopes range -1 to -0.5‰), similar to  
280 that of *H. hirsuta* (oxygen isotopes range 0 to 1‰) when it first appears in the Holocene (Figs. S3-  
281 S9).

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286 **Figure 4.** Foraminiferal and nannofossil ecogroup abundance at Site U1338 and U1489.

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### 294 3.2.2 Truncorotaliids

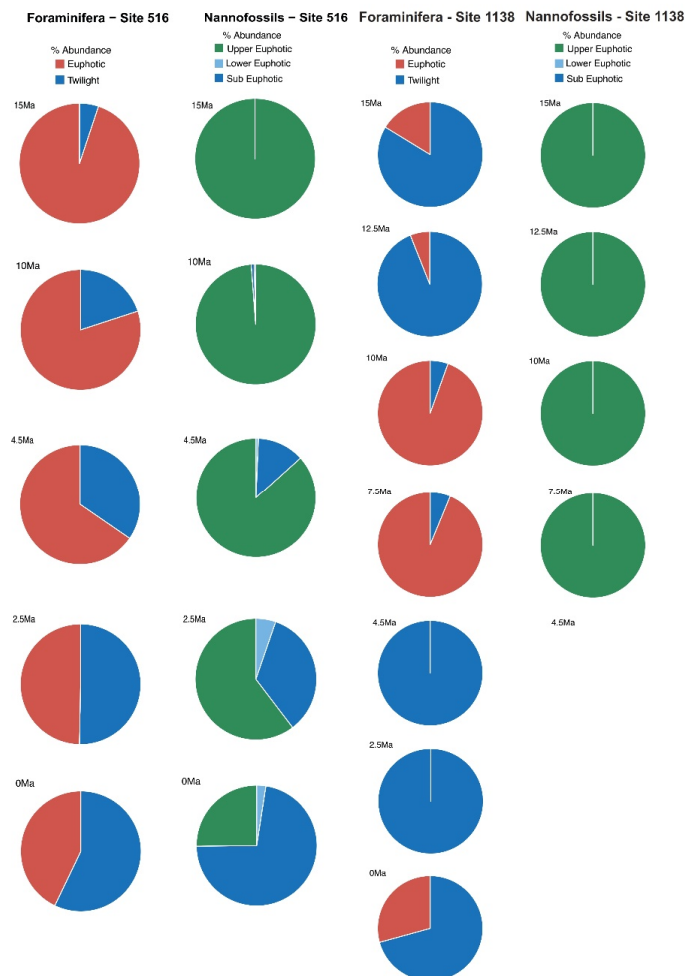
295 The earliest appearances of *Truncorotalia crassaformis* in our record corresponds to our 4.5 Ma  
296 time slice at Site 1138 in the Indian Ocean sector of the Southern Ocean where it represents >20%  
297 of the assemblage, and in coeval sediments at mid-latitude Site 516 in the southwest Atlantic,  
298 where it represents ~9% of the assemblage (Fig. 9), with oxygen isotopes ranging from 1.5 to 3.0‰  
299 (Figs. S1-S2). At Site 516 we observe the co-occurrence of *T. oceanica* (~14%) and *T.*  
300 *crassaformis* in the early Pliocene, and of *T. viola* (~5%) and *T. crassaformis* (~13%) in the late  
301 Pliocene (Fig. 10). We did not observe *T. oceanica* and *T. viola* anywhere else. *T. oceanica* and *T.*  
302 *crassaformis* display almost overlapping  $\delta^{18}\text{O}$  values and depth habitat (Fig. S2) but *T.*  
303 *crassaformis* has 0.5‰ lower  $\delta^{13}\text{C}$  values. Oxygen stable isotope data (1‰; Fig. S2) and habitat  
304 reconstructions for Site 516 indicate that a subsurface habitat (>200 m) was already occupied by  
305 *T. crassaformis* at the beginning of its evolutionary history (Fig. 1). The late Pliocene appearance  
306 of *T. viola* at Site 516, which differs from *T. crassaformis* in having a more convex umbilical side,  
307 a triangular outline and a subacute profile, is associated with a shift to more positive oxygen  
308 isotope values of *T. crassaformis* (1.5‰) and to slightly greater depths (Fig. 1).

309 We find *T. crassaformis* by the late Pliocene at our investigated tropical and subtropical  
310 sites (Figs. 10-11), with oxygen isotope values ranging from 1.0 to 2.0‰ which translate to depth  
311 habitats of 400-600 m (Boscolo-Galazzo, Crichton et al., 2021; Fig.1). The appearance of *T.*  
312 *crassaformis* at our low latitude sites is coeval with the appearance in our record of *Truncorotalia*  
313 *tosaensis*, morphologically transitional between *T. crassaformis* and *T. truncatulinoides* (Lazarus  
314 et al., 1995) (Fig. 10). *Truncorotalia tosaensis* displays oxygen isotopes values ranging from 0 to  
315 0.5‰ (Figs. S1-S9), which translate to 300-350 m depth (Fig. 1). Consistent with earlier findings  
316 (Lazarus et al., 1995), we record the first occurrence of *T. truncatulinoides* in the late Pliocene in



317 the south-west Pacific (Site U1482), and only later in the North Pacific (Site 872), Indian Ocean  
318 (Site 242) and South Atlantic (Site 516) (Fig. 11). *Truncorotalia truncatulinoides* records oxygen  
319 isotope values ranging from -1 to 2‰, more negative than coeval *T. crassaformis* (Figs. S3-S9).  
320 *Truncorotalia truncatulinoides*, although reported in the modern tropical ocean as one of the  
321 species living at the greatest depths, occupies a shallower depth habitat than *T. crassaformis* when  
322 it first appears in our tropical to subtropical records (2.5 Ma).

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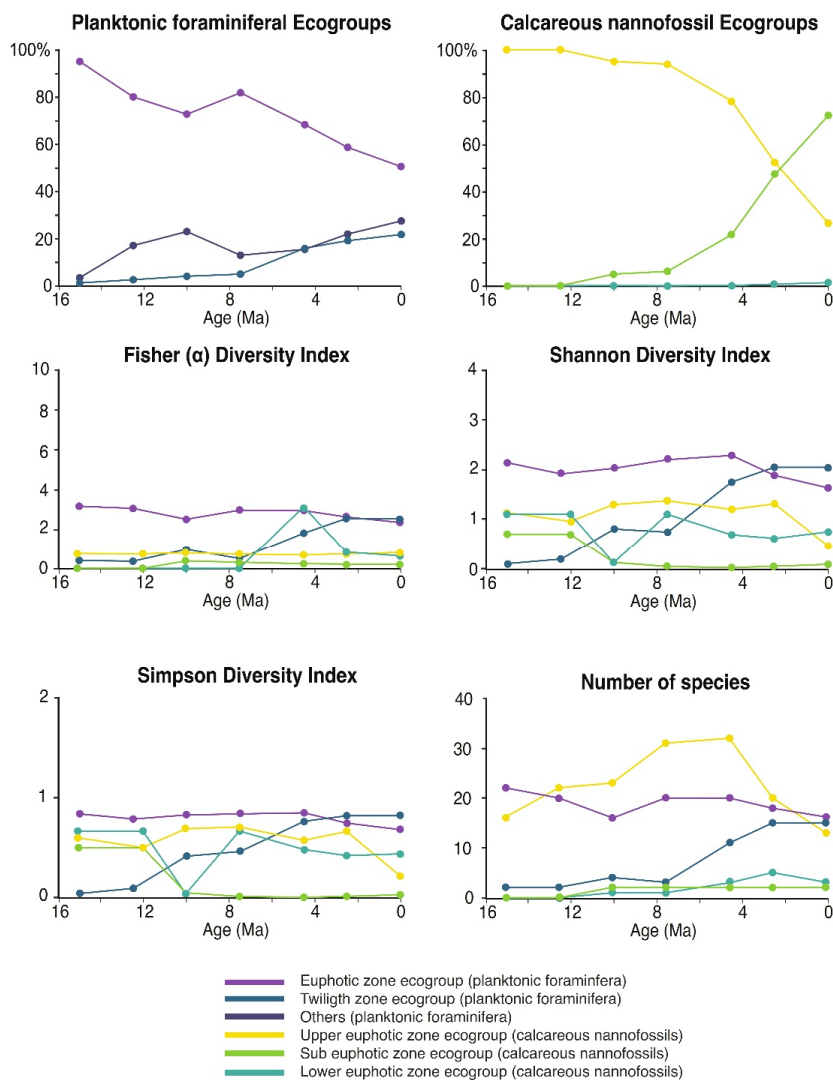
324

325 **Figure 5.** Foraminiferal and nannofossil ecogroup abundance at Site 516 and 1138.

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329

330 **Figure 6.** Planktonic foraminiferal and nannofossil ecogroups relative abundance and diversity  
 331 indexes.

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335



### 336 3.2.3 Globorotaliids

337 With globorotaliids here we refer to the *Globorotalia merotumida-tumida* lineage composed by *G.*  
338 *merotumida*, *G. plesiotumida*, *G. tumida* and *G. ungulata* (Kennett and Srinivasan, 1983). This  
339 group first appears with *Globorotalia plesiotumida* in our 10 Ma time slice at Site 871 (Fig. 7). At  
340 all the investigated low latitude sites, we find *G. tumida* by 4.5 Ma with abundances between 2-  
341 24% (Fig. 9). *Globorotalia plesiotumida* co-occurs with *G. tumida* only at Sites 872 and 242  
342 corresponding to our 4.5 Ma time slice (Fig. 9; Fig. S9). In our records, *G. tumida* consistently  
343 displays oxygen isotope values between -1 to 0‰ (Figs. S3-S9), and an average depth habitat  
344 around 250 m, with a shallowest occurrence at 50 m and a deepest occurrence around 600 m (Fig.  
345 1). Similar oxygen isotope values and depth habitat preference are recorded for *G. plesiotumida*  
346 and *G. ungulata* (Fig. 1 and Figs. S3-S9).

### 347 3.2.4 Globoconellids

348 In our records, *Globoconella miozea* is a dominant component of planktonic foraminiferal  
349 assemblage at Site 1138 at 15 Ma (65%) and occurs in moderate abundance at Site 516 (5%) (Fig.  
350 7). The distribution of globoconellids appears restricted to southern high to mid-latitudes during  
351 the middle Miocene and the late Miocene to Pliocene. At Site 1138 globoconellids decrease in  
352 abundance through time, with *Globoconella panda* the only late Miocene species (<1%; with  $\delta^{18}\text{O}$   
353 of 3‰), followed only by *Globoconella inflata* in the Holocene (4.2%; with  $\delta^{18}\text{O}$  of 3.5‰) (Fig.  
354 11). On the contrary, at Site 516 globoconellids increase in abundance through time becoming a  
355 characteristic feature of the planktonic foraminifera assemblage as noted in previous studies of this  
356 area (Berggren, 1977; Norris et al., 1994) (Figs. 7-11). In the Holocene *G. inflata* is most abundant  
357 at mid-latitude Site 516 (22.7%; with  $\delta^{18}\text{O}$  of 1‰), but also occurs in the subtropical (<0.5%; with  
358  $\delta^{18}\text{O}$  of 0.9‰) and subpolar Indian ocean (4.2%; with  $\delta^{18}\text{O}$  of 3.5‰) (Fig. 11; Figs. S1-S3). Depth





359 habitat reconstructions for the globoconellids show a deepening trend through time although less  
360 marked compared to those of other deep-dwelling groups considered in this study (Boscolo-  
361 Galazzo, Crichton et al., 2021; Fig. 1). At Site 516, the depth habitat is just above 200 m for middle  
362 Miocene *Globoconella miozea* ( $\delta^{18}\text{O}$  0.9‰), just below 200 m for late Miocene *G. conoidea* and  
363 *G. conomiozea* ( $\delta^{18}\text{O}$  1‰), and around 350 m for late Pliocene *Globoconella puncticulata* ( $\delta^{18}\text{O}$   
364 1.6‰) the precursor of *G. inflata*, which shows a similar depth habitat at this site ( $\delta^{18}\text{O}$  1-1.2‰;  
365 Fig. S2), (Fig. 1). At Site 242 the average depth reconstruction for the Holocene *G. inflata* is of  
366 ~450 m ( $\delta^{18}\text{O}$  0.9‰; Fig. S3), similar to that of *T. crassaformis* and *T. truncatulinoides* (Boscolo-  
367 Galazzo, Crichton et al., 2021; Fig. 1).

#### 368 **4. Discussion**

##### 369 **4.1 Evolution of a deep-plankton ecological niche linked to late Neogene cooling**

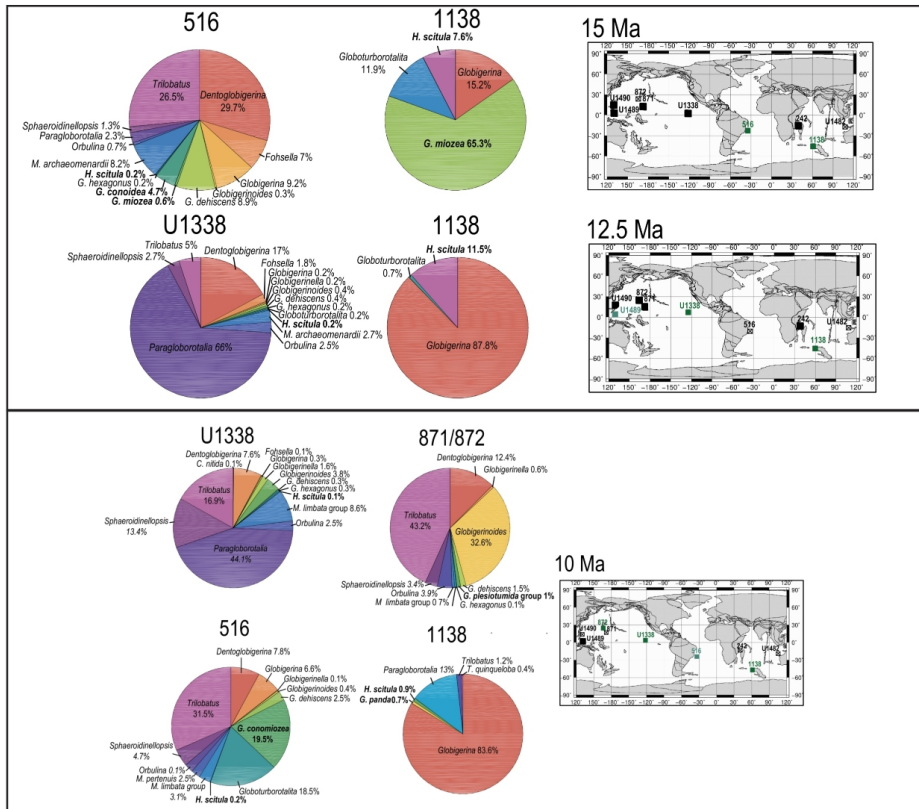
370 We observe a trend of increasing ecological importance of deep-dwelling species in both  
371 calcareous nannofossil and foraminiferal communities from the late Miocene to Recent. The  
372 foraminiferal twilight zone ecogroup shows a marked increase in abundance and diversity at 7.5  
373 Ma, at the same time as the first significant appearance of the sub-euphotic ecogroup within  
374 coccolithophore assemblages, and coinciding with a possible acceleration of global cooling  
375 (Cramer et al., 2011; Crichton et al., 2020). Fossil deep-dwelling coccoliths are dominated by one  
376 species, *Florisphaera profunda*, which is often very abundant in Plio-Pleistocene sediments. This  
377 makes our sub-euphotic ecogroup a low diversity – high abundance assemblage, whose origin  
378 significantly impacts the relative abundance balance between ecogroups, but with little change in  
379 diversity metrics towards the modern. Although there are morphological variants of *F. profunda*  
380 in the modern oceans, potentially representing sub-species or pseudo-cryptic species (Quinn et al.,  
381 2005), these are not distinguished in fossil assemblages and documenting their divergence times



382 requires either further molecular genetic or detailed morphological analyses. The one clear signal  
383 in our diversity analyses is a late Miocene – early Pliocene peak in upper-euphotic species richness,  
384 followed by a marked decline through the late Pliocene to the Holocene. The late Miocene-  
385 Pliocene peak diversity is present in previous global compilations of total nannofossil diversity  
386 (Bown et al. 2004; Lowery et al. 2020), but here we show that this signal is driven by first a  
387 diversification and then progressive extinction almost entirely within upper-euphotic taxa.

388 Modern planktonic foraminifera evolved in two main diversification pulses in the middle Miocene  
389 (16-14 Ma) and during the late Miocene-Pliocene transition (6-4.5 Ma) (Kennett and Srinivasan,  
390 1983; Kucera and Schönfeld, 2007). Our species abundance and diversity data show that this  
391 diversification was mostly driven by the origin of lineages of deep/subsurface dwelling species  
392 (Figs. 7-11 and Fig. 6). Diversity among euphotic zone species remained constant from the middle  
393 Miocene to the early Pliocene, then declined (Fig. 6). This pattern, similar to calcareous  
394 nannofossils, may explain early records pointing to a decrease in Pliocene to Recent planktonic  
395 foraminiferal diversity (Wei and Kennett, 1986).

396 The observed evolutionary patterns in planktonic foraminifera and coccolithophores can  
397 be explained by the development of environmental conditions favourable to deep living plankton



398

399

400 **Figure 7.** Abundance and biogeography of planktonic foraminiferal species at 15, 12.5, and 10

401 Ma. In the pie-charts twilight zone planktonic foraminiferal species are in bold. Sites where

402 twilight zone planktonic foraminifera were found are highlighted in green in the maps. The crossed

403 square symbol in the maps indicate that the time interval of interest was not recovered for a given

404 site. Continental configuration follows: Ocean Drilling Stratigraphic Network (GEOMAR, Kiel,

405 Germany).

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410 with cooling. For the deep-dwelling planktonic foraminifera, survival requires the availability of  
411 food at depth, and with the exception of few species adapted to oxygen minimum zones (Davis et  
412 al., 2021), the absence of severe oxygen depletion. In the published literature there is a general  
413 tendency for planktonic foraminiferal  $\delta^{18}\text{O}$  values to be tightly grouped during times of warm  
414 climate, becoming more spread-out during cooling episodes, for instance the transition from mid-  
415 to late Cretaceous (Ando et al., 2010) and early to middle Eocene (John et al., 2013). Because our  
416 data are restricted to certain time slices and locations, we only capture a part of the overall pattern  
417 for the Neogene, but other examples of depth-related evolution in the Neogene include the  
418 *Fohsella peripheroronda* – *F. fohsi* lineage in the middle Miocene (Hodell and Vayavananda,  
419 1993; Norris et al., 1993) and the appearance of various deep-dwelling digitate species in the Plio-  
420 Pleistocene (Coxall et al., 2007).

421 Deep-dwelling coccolithophores, most notably *Florisphaera profunda*, require dissolved  
422 macronutrients (N, P) and at least some degree of light penetration (Quinn et al., 2005; Poulton et  
423 al., 2017). The requirement for light penetration to depth is most clearly shown by the absence  
424 of *F. profunda* beneath high surface productivity regions where nutrients are not limited at depth  
425 but light is rapidly attenuated by more abundant mixed layer microplankton (Beaufort et al., 1999).  
426 For coccolithophores, the cooling-driven shift from nutrient recycling within to below the mixed  
427 layer, may have provided the ecological driver for species to live in deeper, more nutrient-rich  
428 waters, but, as mixed layer waters cleared, also allowed the irradiance necessary for photosynthesis  
429 to penetrate to these new deeper habitats. Additionally, the capability of coccolithophores to absorb  
430 carbon and nutrients from seawater under low light conditions (Godrjian et al., 2020) may have  
431 also aided in the occupation of new deep water niches.



432 Our model outputs from cGENIE is consistent with this interpretation, organic matter  
433 export (POC at 40 m in Fig. 12) reduced with cooling, suggesting an overall decrease in primary  
434 productivity at all 4 latitudinal bands considered in this study. Fewer particles in surface waters  
435 would have allowed greater light penetration (Fig. 12), at the same time, the model indicates  
436 enhanced organic matter delivery at >200 m with cooling. Greater organic matter delivery below  
437 the euphotic zone, suggests a deeper remineralization depth and increased dissolved nutrients  
438 availability at depth. This is most clearly shown in the modelled low and mid latitudes near-surface  
439 waters. Oxygen availability also increased, particularly below 100 m depth in low latitudes and  
440 further down the water column, below 200 m depth (Fig. 12).

441 Nonetheless, planktonic foraminifera and nannoplankton have distinct trophic statuses  
442 (zoo- versus phytoplankton), further coccolithophore species require light for their dominantly  
443 photosynthetic mode of life. In our data, such differences between the requirements of zoo- and  
444 phytoplankton deep-dwellers is clearly observed in the biogeographic patterns. Sub-euphotic  
445 coccolithophores are consistently more abundant in low nutrient sub-tropical locations (e.g. DSDP  
446 Site 242 and IODP Site U1482; Fig. 2). The end-member of this biogeographic difference is ODP  
447 Site 1138, in the Southern Ocean. Here, twilight foraminifera dominate most time intervals,  
448 presumably due to high export production. However, lower-euphotic and sub-euphotic  
449 coccolithophores are effectively excluded, due to turbid, high-productivity surface waters (Fig. 5).  
450 This pattern is also supported through a comparison of high to low productivity tropical sites in  
451 the Holocene – the Eastern Equatorial Pacific Site U1338 has abundant twilight foraminifera, but  
452 relatively low abundances of sub-euphotic taxa (Fig. 4), whereas the more oligotrophic Site U1482  
453 (Fig. 2) has lower abundances of twilight foraminifera and higher abundances of sub-euphotic  
454 coccolithophores.



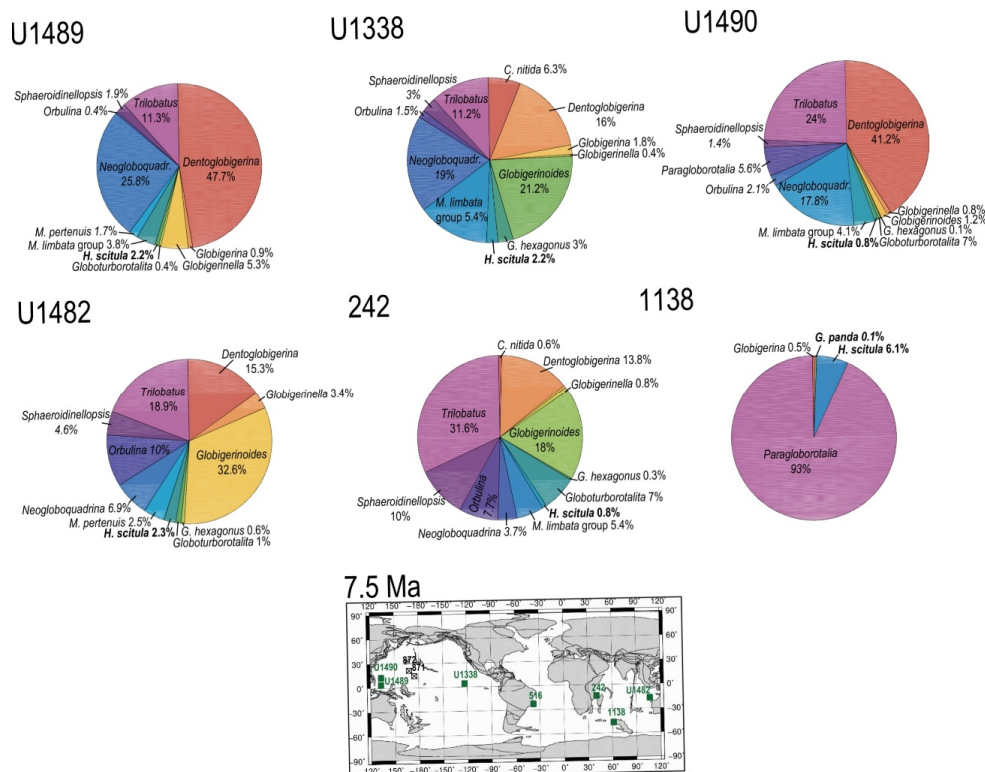
455           Despite these ecological differences between zoo- and phytoplankton, there is a shared  
456 environmental driver for the evolution of deep-dwelling coccolithophores and planktonic  
457 foraminifera linking the evolution of deep-dwelling specialists in each group. Efficient near-  
458 surface recycling of organic carbon in past warm climates, such as the middle Miocene, precluded  
459 the occupation of the deep habitat for both groups by reducing both organic carbon transfer (food  
460 limitation for foraminifera and for foraminiferal preys such copepods) and light penetration  
461 (photosynthesis for coccolithophores) to depth. Global cooling since the middle Miocene (Kennett  
462 and Von der Borch, 1985; Kennett and Exon, 2004; Cramer et al., 2011; Zhang et al., 2014; Herbert  
463 et al., 2016; Sosdian et al., 2018; Super et al., 2020), however, led to a decreased export of organic  
464 matter and a deepening of the mean organic matter remineralization depth, which in turn favoured  
465 the evolution of deep water niches in planktonic foraminifera and nannoplankton via increased  
466 availability of organic matter, oxygen, and likely nutrients at depth, and clearing of surface waters.  
467

#### 468 **4.2 Mechanisms of speciation of deep-dwelling planktonic foraminifera**

469           The hirsutellids gave rise to a large late Neogene radiation among planktonic foraminifera,  
470 leading to the origin of modern phyletic groups such as the menardellids, globoconellids,  
471 truncorotaliids, and the globorotaliids of the *Globorotalia merotumida - tumida* lineage (Kennett  
472 and Srinivasan, 1983; Aze et al., 2011). The majority of the modern representatives of these groups  
473 are lower euphotic zone to twilight zone species. The hirsutellids originated about 18 Ma (Wade  
474 et al., 2011) from *Globorotalia zealandica* (Kennett and Srinivasan, 1983), the first representative  
475 of the group being *Hirsutella praescitula* (Kennett and Srinivasan, 1983; Aze et al., 2011). Extant  
476 hirsutellids include *H. scitula*, *H. hirsuta* and *H. theyeri*; genetic data available for *H. hirsuta*  
477 indicate a single genotype (Schiebel and Hemleben, 2017). Modern *H. scitula* and *H. hirsuta* are



478 deep water forms. Depth habitat reconstructions show *H. scitula* at the greatest water depth  
479 (Boscolo-Galazzo, Crichton et al., 2021; Fig. 1), consistent with it being reported to have a deeper  
480 average depth habitat than *H. hirsuta* in the modern ocean (Birch et al., 2013; Stainbank et al.,  
481 2019), where it feeds on suspended organic matter (Itou et al., 2001). *Hirsutella hirsuta* has been  
482 reported to feed on dead diatoms and to predominantly live at depths around 250 m (Schiebel and  
483 Hemleben, 2017), consistent with our habitat reconstructions placing *H. hirsuta* and other  
484 hirsutellids shallower than *H. scitula*, between the bottom of the euphotic zone and the upper  
485 twilight zone. Our depth habitat reconstruction for *H. scitula* at Site 516 for the 15 Ma time slice,  
486 indicates an initial euphotic zone depth habitat preference for this species. By the 7.5 Ma time  
487 slice, we find *H. scitula* at most of our low latitude sites, at depth comprised between 300-500 m  
488 (Fig. 1). We suggest that the spread of *H. scitula* from high-mid latitudes towards the tropics after  
489 the middle Miocene warmth (Figs. 7-11) tracks increasing availability of POC and oxygen at depth  
490 (Boscolo-Galazzo, Crichton et al., 2021; Fig. 12), allowing this species to find food in deep tropical  
491 twilight zone waters, profiting from a new ecological niche. We suggest that moving from a surface  
492 to a deep-water habitat was for *H. scitula* an ecological innovation which allowed the species to  
493 move outside its high-mid latitude areal, consistent with observations from the modern ocean  
494 documenting *H. scitula* dwelling at progressively deeper depth from high to tropical latitudes  
495 (Schiebel and Hemleben, 2017). The proceeding ocean cooling (and increasing efficiency of the  
496 biological pump) explains the stepwise depth habitat increase of *H. scitula* through time at tropical  
497 and subtropical sites (Fig.1): more food became available at increasingly greater depth in  
498 association with improved oxygen availability (Fig. 12), allowing the species to expand its habitat  
499



500

501 **Figure 8.** Abundance and biogeography of planktonic foraminiferal species at 7.5 Ma. In the pie-  
 502 charts twilight zone planktonic foraminiferal species are in bold. Sites where twilight zone  
 503 planktonic foraminifera were found are highlighted in green in the maps. The crossed square  
 504 symbol in the maps indicate that the time interval of interest was not recovered for a given site.  
 505 Continental configuration follows: Ocean Drilling Stratigraphic Network (GEOMAR, Kiel,  
 506 Germany).

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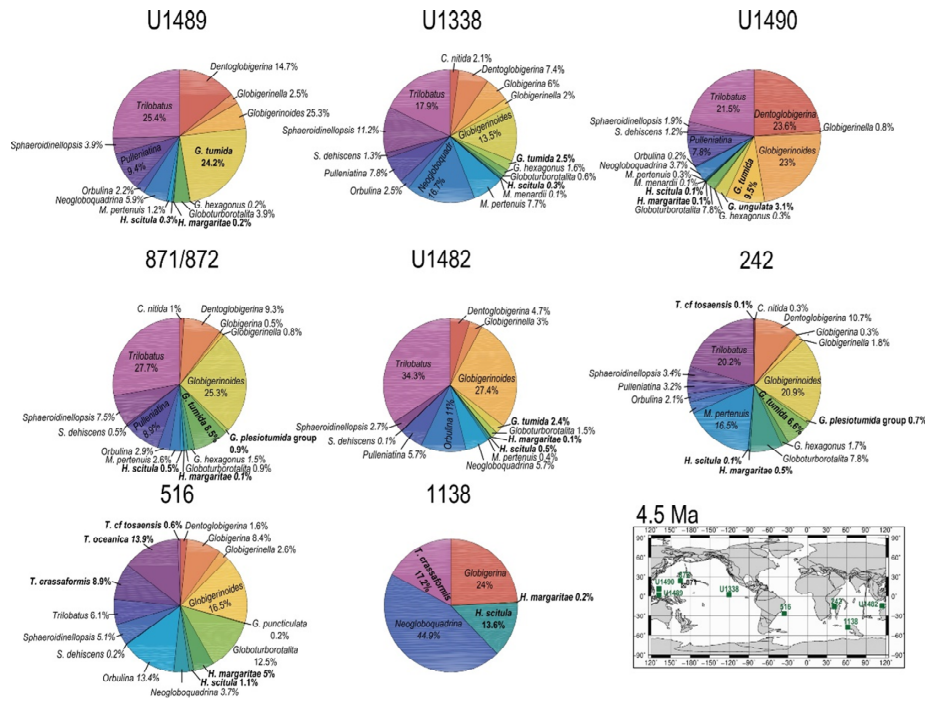
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512

513 **Figure 9.** Abundance and biogeography of planktonic foraminiferal species at 4.5 Ma. In the pie-  
 514 charts twilight zone planktonic foraminiferal species are in bold. Sites where twilight zone  
 515 planktonic foraminifera were found are highlighted in green in the maps. The crossed square  
 516 symbol in the maps indicate that the time interval of interest was not recovered for a given site.  
 517 Continental configuration follows: Ocean Drilling Stratigraphic Network (GEOMAR, Kiel,  
 518 Germany).

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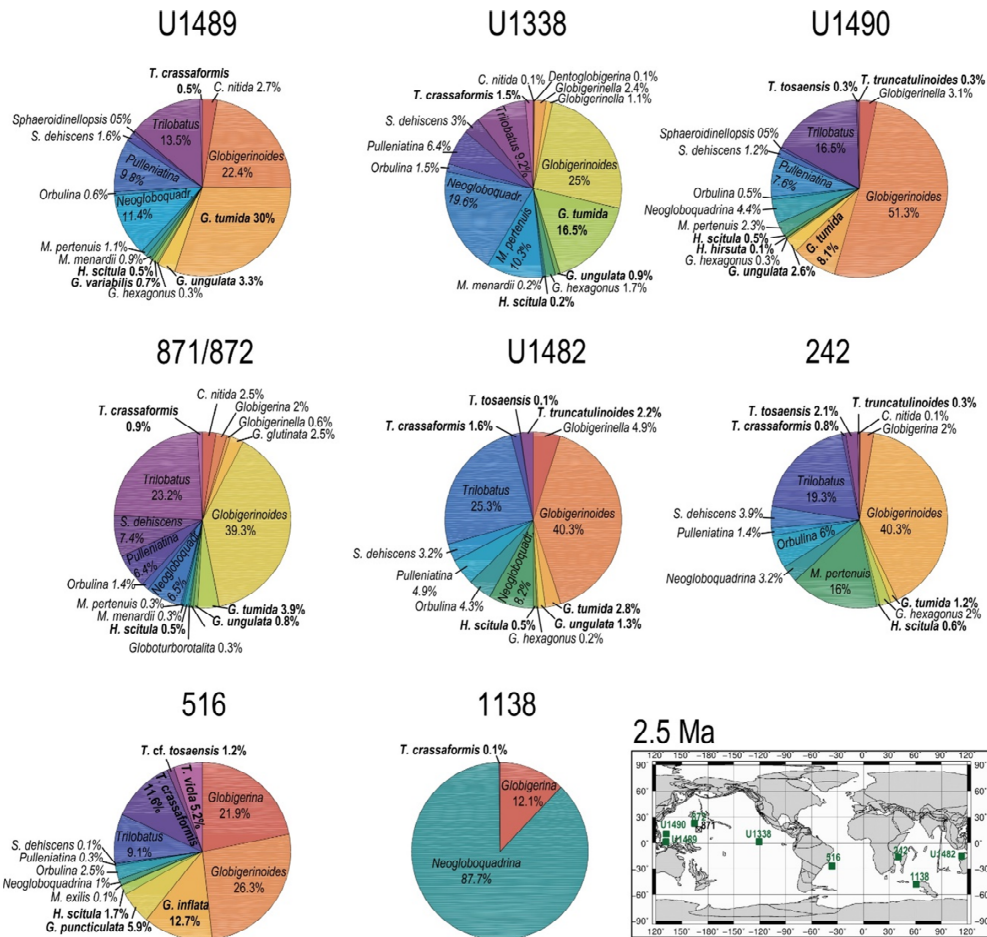
523 vertically other than geographically. At low latitude sites this was accompanied by speciation, with  
524 the appearance of *Hirsutella margaritae* and *H. theyeri* in the early Pliocene, and of *H. hirsuta* in  
525 the Holocene. These new species display depth habitats shallower than *H. scitula* at their  
526 appearance. Hence, we suggest that it was the occupation of a new deep water habitat in tropical  
527 waters that triggered speciation from *H. scitula* through depth sympatry, i.e. genetic isolation  
528 attained in the same area but at different depths (Weiner et al., 2012). Earlier studies on speciation  
529 among planktonic foraminifera based on the fossil record, highlighted a predominance of  
530 sympatric speciation, possibly linked to changes in ecology (Norris et al., 1993; Lazarus et al.,  
531 1995; Pearson et al., 1997). This has more recently been supported by genetic analysis, which  
532 reveals a consistent depth separation between intra-specific genotypes at a global scale, suggesting  
533 that depth sympatry could be a universal mechanism generating diversity among microplankton  
534 (Weiner et al., 2012).

535 Truncorotaliids start their evolutionary history at ~4.31 Ma (Raffi et al., 2020), when  
536 *Truncorotalia crassaformis* splits from *Hirsutella cibaoensis* (Kennett and Srinivasan, 1983; Aze  
537 et al., 2011), one of the first new species originating from *H. scitula* after its spread to low latitudes  
538 (Kennett and Srinivasan, 1983). Our reconstructed geographic and temporal distribution for *T.*  
539 *crassaformis* suggests that the early Pliocene split from the hirsutellids happened in cold subpolar  
540 water. By the early Pliocene *Truncorotalia crassaformis* was an abundant component of the  
541 subpolar assemblage at Site 1138 (>17%) and had already successfully spread to middle latitudes  
542 (>8%) but does not occur in our low latitude samples (Fig.9).

543



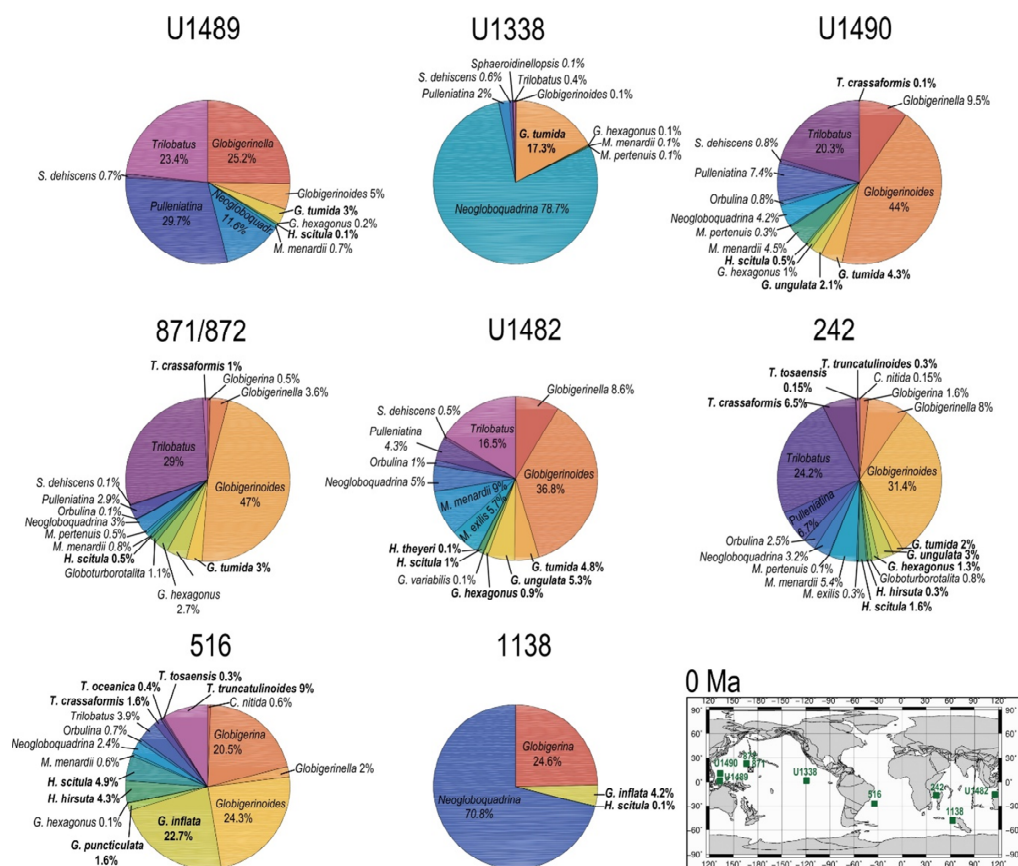
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545

546 **Figure 10.** Abundance and biogeography of planktonic foraminiferal species at 2.5 Ma. In the pie-  
 547 charts twilight zone planktonic foraminiferal species are in bold. Sites where twilight zone  
 548 planktonic foraminifera were found are highlighted in green in the maps. The crossed square  
 549 symbol in the maps indicate that the time interval of interest was not recovered for a given site.  
 550 Continental configuration follows: Ocean Drilling Stratigraphic Network (GEOMAR, Kiel,  
 551 Germany).

552



553

554 **Figure 11.** Abundance and biogeography of twilight zone planktonic foraminiferal species at 0  
 555 Ma. In the pie-charts twilight zone planktonic foraminiferal species are in bold. Sites where  
 556 twilight zone planktonic foraminifera were found are highlighted in green in the maps. The crossed  
 557 square symbol in the maps indicate that the time interval of interest was not recovered for a given  
 558 site. Continental configuration follows: Ocean Drilling Stratigraphic Network (GEOMAR, Kiel,  
 559 Germany).

560



561 We suggest that the evolution of *Truncorotalia crassaformis* from the hirsutellids may have  
562 happened through allopatry, with low latitude population of *H. cibaoensis* becoming isolated from  
563 subpolar populations and eventually evolving into *T. crassaformis*. Similar to *H. scitula*, from  
564 subpolar latitudes, *Truncorotalia crassaformis* appears to have subsequently spread to lower  
565 latitudes occupying progressively deeper habitats (Fig. 1; Figs. 7-11), and originating numerous  
566 daughter species, some of which are intermediate morphospecies with limited geographic  
567 distributions no longer extant today (Lazarus et al., 1995). At Site 516 we find *Truncorotalia viola*,  
568 with lighter  $\delta^{18}\text{O}$  and  $\delta^{13}\text{C}$  values than *T. crassaformis* (Fig. S2), pointing to a clear ecological  
569 differentiation. Together with the marked morphological differentiation between the two, this  
570 suggests *T. viola* may have been a different biological species. *Truncorotalia truncatulinoides*, the  
571 most representative species of this group, appears to have originated from *T. crassaformis* at about  
572 2.7 Ma in the tropical southwest Pacific, and subsequently spread in the global ocean (Dowsett,  
573 1988; Lazarus et al., 1995). According to our reconstruction, depth sympatry associated with  
574 gradual morphological changes characterizes speciation among the truncorotaliids, as depth habitat  
575 deepening of the ancestor/precursor is clear in the transition *T. crassaformis*-*T. viola* and *T.*  
576 *crassaformis*-*T. tosaensis*-*T. truncatulinoides* in our record (Fig. 1). The possibility to colonize  
577 deeper water habitats may have led to progressive reproductive isolation between “deeper” and  
578 “shallower” populations of *T. crassaformis*, resulting in biological speciation. Depth sympatry as  
579 speciation mechanism for the truncorotaliids was already proposed by Lazarus et al. (1995) based  
580 on biogeography, but without a definitive test.

581 In the modern ocean the *Globorotalia merotumida-tumida* lineage is represented by *G.*  
582 *tumida* and *G. ungulata*, distributed in tropical to temperate regions. Genetic analysis has revealed  
583 that they are two distinct biological species with a single genotype each (Schiebel and Hemleben,



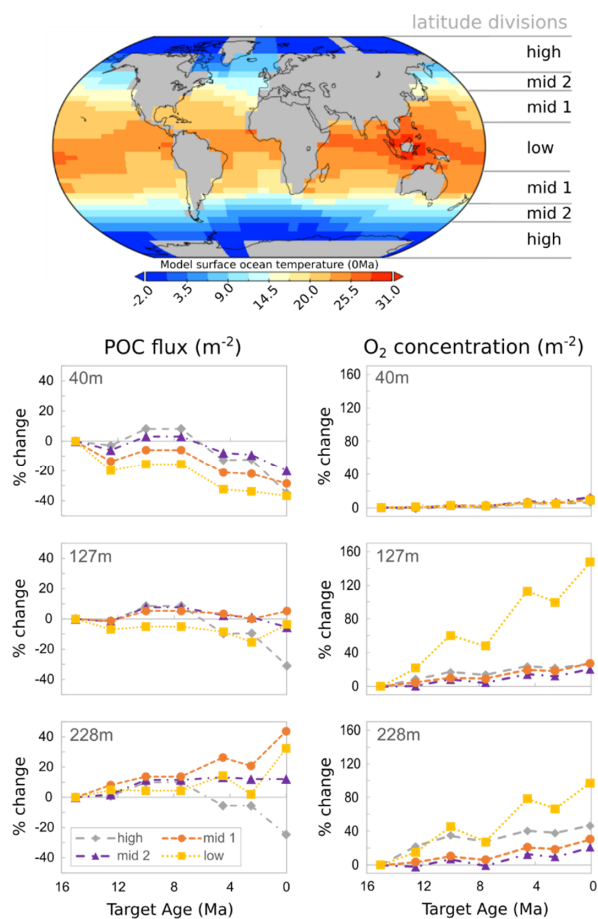
584 2017). Little is known about the ecology of these two species, although *G. tumida* is known to  
585 dwell in subsurface waters at the deep chlorophyll maximum (Schiebel and Hemleben, 2017).  
586 According to the phylogeny of Aze et al. (2011), *Menardella menardii* gave rise to the  
587 *Globorotalia merotumida-tumida* lineage around 9 Ma. However, *Menardella menardii* is absent  
588 in our late Miocene samples while other menardellids such *Menardella limbata* and *M. pertenuis*  
589 are common at several of our investigated middle latitudes to tropical sites. By 4.5 Ma,  
590 *Globorotalia tumida* had evolved and is common at all of our low latitude sites (Fig. 9), while *M.*  
591 *menardii* is extremely rare, occurring only at Sites U1338 and U1490 (0.1%), becoming more  
592 common only by the Holocene. Based on this biogeographic pattern, we propose that the *G.*  
593 *merotumida-tumida* lineage originated from a late Neogene menardellid, such for instance *M.*  
594 *limbata* which is morphologically very similar to *G. merotumida*. Given that *G. plesiotumida* and  
595 *G. tumida* display a deeper habitat (> 200 m) than *M. limbata* and other Miocene menardellids  
596 (100-200 m), we suggest that such transition may have happened through depth sympatry in  
597 tropical waters, with forms which remained reproductively isolated in the twilight zone generating  
598 the *G. merotumida-tumida* lineage. Morphometric measurements on *M. limbata* and *G.*  
599 *merotumida* shells are required to test for an evolutionary relationship between these two species.  
600 According to our depth habitat reconstruction, *G. plesiotumida* and *G. tumida* occupied a similar  
601 depth habitat at 4.5 Ma, so it is not clear from our dataset which evolutionary mechanism may  
602 have led to the origination of the latter from the first. Hull and Norris (2009) analyzed speciation  
603 within this lineage and suggested that the evolution from *G. plesiotumida* to *G. tumida* happened  
604 abruptly within 44 kyr. *Globorotalia unguolata*, appears in our record by the late Pliocene and often  
605 display a habitat shallower than *G. tumida*, suggesting depth sympatry as the evolutionary  
606 mechanism leading from *G. tumida* to *G. unguolata*. However, because depth habitat





607 reconstructions for these two species are more variable and shallower than that of other twilight  
608 zone species, more data are required to more conclusively infer speciation mechanisms.

609         The globoconellids originated in the late early Miocene (~17 Ma) with *Globoconella*  
610 *miozea*, which is considered to descend directly from *Hirsutella praescitula* (Kennett and  
611 Srinivasan, 1983; Norris et al., 1994; Aze et al., 2011). *Globoconella conoidea* originated in the  
612 middle Miocene and, after the extinction of *G. miozea* at about 10 Ma, remained the only  
613 representative of the globoconellids until the latest Miocene. At this time, the evolutionary  
614 turnover within the group accelerated and a number of different morphospecies originate from *G.*  
615 *conoidea* and go extinct very rapidly, until the appearance in the late Pliocene of *G. inflata* which  
616 persists until today (Wei and Kennett, 1988; Wei, 1994; Aze et al., 2011). Compared to other  
617 Neogene to Recent taxa, the globoconellids display a more restricted geographic distribution  
618 throughout their evolutionary history. They tend to be common at mid latitude hydrographic fronts  
619 (Schneider and Kennett, 1999; Schiebel and Hemleben, 2017; Lam and Leckie, 2020), except *G.*  
620 *puncticulata* and *G. inflata*, which extend into low latitude regions (Norris et a., 1994). The  
621 geographic distribution of globoconellids as shown here suggests that this group was already  
622 specialized to live at hydrographic fronts in the middle Miocene, possibly feeding on  
623 phytoplankton. Starting at ~5.5 Ma, cooling and the possibility to feed on sinking detritus in deeper  
624 waters (Boscolo-Galazzo, Crichton et al., 2021) may have stimulated evolutionary turnover within  
625 this otherwise rather static group. The closely spaced temporal succession of morphospecies at this  
626 time may reflect ongoing evolutionary experiments in an attempt to profit from new ecological  
627 possibilities opening up at depth and outside the area of the group. The depth habitat  
628 reconstructions for *G. puncticulata* and *G. inflata* suggests that from the Pliocene this group started



629

630 **Figure 12.** cGENIE model output for changes in Particulate Organic Carbon (POC) flux, and  
 631 dissolved Oxygen in near-surface ocean waters from the middle Miocene to Present, with a  
 632 temperature-dependent biological carbon pump. Inset map shows the modelled Present surface  
 633 ocean temperatures. Depths are the middle of cGENIE's top three ocean layers.

634





635 to progressively adapt to greater depths, consistent with the distinctive change in morphology  
636 between *G. sphericomiozea* (and other Miocene globoconellids) and its Pliocene descendants *G.*  
637 *puncticulata* and *G. inflata* (Kennett and Srinivasan, 1983). We suggest that an evolutionary  
638 transition began with the morphospecies *G. puncticulata*, transitional between *G. sphericomiozea*  
639 and *G. inflata* and led to the late Pliocene speciation of *G. inflata*. It is not clear from our data  
640 whether depth sympatry or allopatry allowed the speciation of *G. inflata*, as *G. puncticulata* and  
641 *G. inflata* show similar depth habitat in our record. It may have been a combination of the two,  
642 given *G. inflata* genotypes display a characteristic allopatric distribution in the ocean (Morard et  
643 al., 2011).

644 Our data indicate that combining stable isotopes and model-derived water column temperature  
645 is a promising approach to quantify the depth habitat of extinct planktonic foraminiferal species.  
646 When combined with abundance and biogeographic data, depth habitat reconstructions offer  
647 insights into speciation mechanisms not resolvable with the use of one technique alone (e.g., stable  
648 isotopes). Our reconstructions indicate that both allopatry and depth sympatry played a role in the  
649 origin of modern deep-dwelling planktonic foraminiferal species. Both allopatry and depth  
650 sympatry appear to have been involved with the cladogenesis of the truncorotaliid and the  
651 globorotaliid lineages, while depth sympatry seems to be mostly involved for intra-lineage  
652 speciation.

## 653 **5. Conclusions**

654 Our global abundance and biogeographic data combined with our depth habitat  
655 reconstructions allow us to piece together the environmental drivers behind speciation in two of  
656 the most extensively studied group of pelagic microfossils, planktonic foraminifera and calcareous  
657 nannofossils over the last 15 million years. The evolution of the new Neogene deep-water lineages



658 of the hirsutellids, globorotaliids, globoconellids and truncorotaliids, and of nanoplankton lower-  
659 euphotic zone and sub-euphotic zone species, resulted in the vertical stratification of species seen  
660 in the modern ocean, in particular at low latitudes. For planktonic foraminifera such vertical  
661 stratification of species, hundreds of meters below the surface, originated through depth sympatry  
662 as well as cladogenesis of new lineages via both sympatry and allopatry.

663 Our study places the evolution of modern plankton groups in the context of large scale  
664 changes in ocean macroecology driven by the global climate dynamics of the past fifteen million  
665 years. The late Miocene to present evolutionary history of planktonic foraminifera and  
666 nanoplankton was linked, wherein increased efficiency of the biological pump with cooling since  
667 the middle Miocene was a shared evolutionary driver. Lower rates of organic matter  
668 remineralization in the upper part of the water column allowed the creation of new ecological  
669 niches in deep waters, by increasing food delivery and oxygen at depth for heterotrophic planktonic  
670 foraminifera, and by clearing surface waters and augmenting the concentration of macronutrients  
671 at depth for nanoplankton.

672



673 **Data availability:** All data associated with this article are available in the Supplement or have  
674 been previously published. The code is tagged as v0.9.18 and is available at DOI:  
675 10.5281/zenodo.4469673 and at: DOI: 10.5281/zenodo.4469678.

676

677 **Author contributions:**

678 Conceptualization, F.B.G. and P.N.P.; investigation, F.B.G. (planktonic foraminifera) and A.J.  
679 (nannofossils); software, K.A.C.; writing–original draft, F.B.G.; writing–review and editing,  
680 F.B.G., A.J., T.D.J., K.A.C., P.N.P., B.S.W.; visualization, F.B.G., A.J., K.A.C.; project  
681 administration and funding acquisition, P.N.P. and B.S.W.

682

683 **Competing interests:**

684 The authors declare that they have no conflict of interest.

685 **Acknowledgements:**

686 Supported by Natural Environment Research Council (NERC) grant NE/N001621/1 to P.N.P.  
687 (F.B.G. and K.A.C.), NERC grant NE/P019013/1 to B.W and NERC grant NE/P016375/1 to  
688 participate in IODP Expedition 363 (P.N.P.). A.J. was founded by a CENTA Doctoral Training  
689 Programme as part of NERC grant: NE/L002493/1 to T.D.J. We thank Ian Hall for becoming  
690 acting Principal Investigator in the later stages of the grant and Jamie Wilson for insightful  
691 discussions.

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