# Low and high gamma oscillations deviate in opposite directions from zerophase synchrony in the limbic corticostriatal loop

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Running head: Low and high gamma directionality

Keywords: accumbens, prefrontal cortex, synchrony, phase-slope index, cell assembly, neural ensemble

Number of Figures: 9

# 1 Abstract

The loop structure of cortico-striatal anatomy in principle enables both descending (cortico-striatal) and 2 ascending (striato-cortical) influences, but the factors that regulate the flow of information in these loops 3 are not known. We report that low- and high-gamma oscillations ( $\sim$ 50Hz and  $\sim$ 80Hz respectively) in the 4 local field potential of freely moving rats are highly synchronous between the infralimbic region of the 5 medial prefrontal cortex (mPFC) and the ventral striatum (vStr). Strikingly, high-gamma oscillations in 6 mPFC preceded those in vStr, whereas low-gamma oscillations in mPFC lagged those in vStr, with short 7  $(\sim 1 \text{ms})$  time lags. These systematic deviations from zero-phase synchrony were consistent across measures 8 based on amplitude cross-correlation and phase slopes, and were robustly maintained between behavioral 9 states and different individual subjects. Furthermore, low- and high-gamma oscillations were associated with 10 distinct ensemble spiking patterns in vStr, even when controlling for overt behavioral differences and slow 11 changes in neural activity. These results imply that neural activity in vStr and mPFC is tightly coupled at the 12 gamma timescale, and raise the intriguing possibility that frequency-specific deviations from this coupling 13 may signal transient leader-follower switches. 14

# 15 Introduction

The parallel loops that recurrently interconnect the cortex, basal ganglia, and thalamus are a major struc-16 tural feature of the mammalian nervous system, generally thought to be broadly involved in the selection, 17 initiation, and refinement of actions across domains from motor to cognitive (Alexander and Crutcher, 1990; 18 Pennartz et al., 2009; Humphries and Prescott, 2010). In each loop, the signal flows from cortex to stria-19 tumm, through other basal ganglia nuclei, and out through the thalamus back to cortex. However, within 20 these loops there are back-projections, and particularly in the limbic loop that includes prefrontal cortex 21 and the ventral striatum, nodes receive input from other brain areas such as the hippocampus and amygdala 22 (Haber et al., 2000; Voorn et al., 2004). The question thus arises how the flow of information is controlled in 23 this architecture: for instance, are the nodes that form a loop always coupled, or can one transiently become 24 a "leader" while others follow? 25

One approach for addressing this issue is though examination of oscillations in local field potentials (LFPs), 26 which are thought to reflect temporal organization in meso-scale neural activity arising primarily from 27 summed synaptic currents (Mitzdorf, 1985; Nunez and Srinivasan, 2006; Buzsáki et al., 2012). Influen-28 tial proposals such as "communication through coherence" and its relatives ("CTC"; Singer 1999; Fries 29 2005) suggest that effective connectivity between networks and brain structures can be modulated at fine 30 timescales by the degree of coherence (synchrony) between oscillations in participating regions. This notion 31 has found substantial modeling and experimental support in a variety of neural systems and rhythms (Akam 32 and Kullmann 2014; Bosman et al. 2012; Lisman and Jensen 2013; although is not free of pitfalls, see e.g. 33 Buzsáki and Schomburg 2015), raising the possibility that neural synchrony reflected in LFP oscillations 34 may also contribute to regulating the flow of information in cortico-striatal loops. 35

Even in the absence of postulating a mechanistic role for LFP oscillations in such routing or gain control, such oscillations can serve as markers that provide information about the spatial and temporal organization of neural activity within and across brain regions (Friston et al., 2014). In the corticostriatal network specif-

ically, LFP activity is known to change with learning (Howe et al., 2011; Koralek et al., 2013; Thorn and 39 Graybiel, 2014) and different behavioral states (Berke, 2009; Gruber et al., 2009; Leventhal et al., 2012), and 40 serves as a biomarker of behavioral and neurological disorders in humans (Boraud et al., 2002; Hammond 41 et al., 2007) and animal models (Courtemanche et al., 2003; Cruz et al., 2011; Lemaire et al., 2012; Dejean 42 et al., 2012). Importantly, a number of studies have shown that spike timing is systematically related to 43 these oscillations (Berke et al., 2004; Sharott et al., 2009; Howe et al., 2011) demonstrating that although the 44 sources of the LFP oscillations in the basal ganglia may not yet be completely clear, they contain information 45 about local spiking activity. 46

Here we focus on gamma oscillations, which are prominent in prefrontal cortex, ventral striatum, and other 47 nodes of the limbic system (van der Meer et al., 2010; Dejean et al., 2011; Stujenske et al., 2014; Donnelly 48 et al., 2014) and therefore provide a potential access point for determining how the temporal dynamics 49 of neural activity across this network are organized. Classically, gamma oscillations are thought of as a 50 relatively local phenomenon, generated by the interplay of fast excitatory-inhibitory feedback loops (Bartos 51 et al., 2007; Buzsáki and Wang, 2012; Womelsdorf et al., 2014). However, observations and computational 52 models of long-range gamma synchrony in the face of significant conduction delays (Traub et al., 1996; 53 Gollo et al., 2014) have shown that even distant regions can exhibit coordinated activity in this frequency 54 range, potentially playing a role in binding, gain control or routing, and plasticity (Fries et al., 2007; Uhlhaas 55 et al., 2009; Bastos et al., 2015). 56

<sup>57</sup> Specifically, by recording simultaneously in mPFC and vStr, we show that gamma oscillations in these <sup>58</sup> regions are strongly synchronized. Strikingly, amplitude and phase lags between the two sites were very close <sup>59</sup> to zero, as in the classic long-range zero phase lag results (Traub et al., 1996; Buzsáki and Schomburg, 2015), <sup>60</sup> but also suggestive of volume conduction from a common source. However, closer examination revealed that <sup>61</sup> low- and high-gamma frequencies, previously shown to have different relationships to behavior, learning and <sup>62</sup> spiking activity (van der Meer and Redish, 2009b) were in fact associated with systematic deviations from <sup>63</sup> zero phase lag, in opposite directions. Furthermore, these oscillations were associated with distinct neural ensembles, as shown with a multivariate classifier.

### **Materials and Methods**

Subjects and overall timeline. This study consists of two experiments, performed on different sets of subjects. Experiment 1 centers on the relationship between mPFC and vStr gamma oscillations in the local field potential (LFP), performed on a new (previously unpublished) data set described in detail here. Experiment 2 relates vStr gamma oscillations to ensemble spiking patterns. Because this latter experiment uses a previously described dataset (van der Meer and Redish, 2009a,b) the experimental procedures are not repeated here; only analysis sections "Gamma event detection" and "Ensemble classification" apply to these data.

<sup>72</sup> Subjects for the mPFC-vStr LFP study (Experiment 1) were four male Long-Evans rats (Harlan, Missis-<sup>73</sup> sauga), 4-5 months old at the start of training and food-restricted to no less than 85% of their maximum <sup>74</sup> pre-training weight. All animals were housed on a 12 hr:12 hr light/dark cycle, with experiments performed <sup>75</sup> during the light phase.

Rats were first familiarized with the experimental environment by daily handling in the experimental room and free exploration of the experimental apparatus for 5 days. Next, rats were trained to shuttle back and forth along a linear track, described below, until a criterion of 100 trials in a 40-minute session was reached (this took  $6 \pm 2$  days, mean  $\pm$  SD). Rats were given two days of full rest with ad-libitum food before surgery. After surgery rats were allowed to recover for at least 5 days (mean:  $8 \pm 2$  days), before any further training. Before neural recording commenced, rats were retrained for  $7 \pm 3$  days until they again reached the performance criterion of 100 trials per 40 minutes.

All procedures were pre-approved by the Animal Care Committee of the University of Waterloo (AUPP

11-06) and in accordance with Canadian Council for Animal Care (CCAC) guidelines.

Behavioral task. The apparatus for Experiment 1 was a 184-cm long elevated linear track (Figure 1A, one 85 run is defined as a trial). Rats could nosepoke into photobeam-equipped receptacles for food reward (two 86 TestDiet 5TUL 45 mg pellets at each end). Reward delivery was triggered following a 700 ms nosepoke into 87 the reward receptacle, with a further 800 ms or more required for pellets released from the pellet dispensers 88 (Coulbourn) to reach the rat. The basic linear track configuration was a "no-choice" task (Figure 1A, left) 89 in contrast with the "one-choice" version of the task (Figure 1A, right; see caption for details) which was 90 started once rats completed 7 recording days on the "no-choice" task. Track configurations (direction of the 91 45-degree ends, and location of the Y-piece) were pseudorandomized across days. The analyses and results 92 reported collapse across the two task versions, since no differences were apparent at the neurophysiological 93 level. 94

95

#### [Figure 1 about here.]

Electrode arrays and surgery. Rats were chronically implanted with a total of twelve independently movable electrodes (stereotrodes or tetrodes): four in the ventral striatum (AP +1.3-1.7mm and ML +1.6-2.4mm relative to bregma), two in the medial prefrontal cortex (AP +3mm and ML +0.6mm), two in the amygdala (AP -2.2mm and ML +5.3mm), four in the ventral hippocampus (AP -4.9mm and ML +5mm; all targets on the right hemisphere). Because ventral hippocampal and amygdala electrodes did not reliably reach their intended targets, only recording data from vStr and mPFC were analyzed here.

Surgical procedures were as described previously (Malhotra et al., 2015). Briefly, rats were deeply anesthetized, initiated by pentobarbital injection (50mg/kg i.p.) and maintained by isoflurane inhalation (0.5-2% in 0.7-1 l/min oxygen). Following administration of an analgesic (Anafen, 10 mg/kg s.c.) and antibiotic (Duplo-cillin, i.m.) the scalp was shaved and disinfected before exposing the skull surface, into which jewelers' screws were inserted and craniotomies were drilled. Dura was removed before the electrode bundle was lowered to the cortical surface. The implant was secured to the skull with dental acrylic (Jet Acrylic,
 Lang Dental Co. and Metabond, Parkell) and a ground connection made to a skull screw on the contralat eral parietal bone. Following surgery, rats were given at least 5 days to recover before behavioral training
 recommenced.

Neural data acquisition. Tetrodes and stereotrodes made from  $17\mu$ m platinum-iridium, teflon-coated wire (California Fine Wire) were plated with platinum black solution to 200-400kΩ impedance (measured at 1kHz, BAK-1 impedance tester, BAK Electronics), assembled into independently movable bundles as described previously (Malhotra et al., 2015), and soldered to a Neuralynx EIB-36-16TT interface board. LFPs were acquired at 2kHz using a Neuralynx preamplifier (HS-36) and data acquisition system (Digital Lynx SX). Importantly, a panel ground reference was used for all recordings to avoid contamination from a common neural reference.

**Recording of synthetic test signals.** To test if filtering at the data acquisition and processing stages, and/or 118 differences in electrode impedance could account for the observed results, we recorded synthetic signals 119 from a signal generator (Minirator MR2, NTi). Using a Buzsaki32L probe (NeuroNexus B-stock) consisting 120 of four 8-site shanks with 32 total recording sites (of which 24 were functional), we first determined the 121 impedance of each recording site (NanoZ, Multi Channel Systems; measured at 1kHz and 100Hz). Next, we 122 recorded 40, 63, 80 and 100Hz signals of 100  $\mu$ V each in amplitude by placing the probe in a 0.9% saline 123 solution connected to the signal generator; thus, all sites are presented with an identical test signal. We then 124 analyzed the phase lag between signals recorded from each pair or recording sites as a function of frequency 125 and impedance to determine (1) if any systematic deviations from the theoretical zero phase lag resulted, and 126 (2) compare these deviations to those observed in the neural data. 127

Experimental control. A custom-written MATLAB script accessed video tracking data and photobeam status through the NetCom interface and software (Neuralynx), such that rewards could be delivered according to the task design. **Histology.** After data collection was complete,  $10\mu$ A current was passed through the electrodes for 10s each. One rat did not undergo this gliosis procedure because of premature detachment of the electrode array. Three days following gliosis, rats were anesthetized with isoflurane, asphyxiated and perfused intracardially with 10% formalin. Brains were extracted and stored in formalin with 30% sucrose before being cut in 50 $\mu$ m sections using a freezing microtome. Sections were mounted on gelatin-coated slides, stained with metachromatic thionin and coverslipped for localization of recording locations. Only data from electrodes with confirmed recording locations in vStr and the infralimbic area of the mPFC were analyzed (Figure 2).

Analysis overview. All analyses were performed using MATLAB R2014a, and can be reproduced using code
 on our public GitHub repository (https://github.com/mvdm/papers/Catanese\_vanderMeer2016/).
 Original data files, metadata, and codebase tutorials will be provided on request.

For Experiment 1 (Figures 3-6), local field potentials (LFPs) were recorded from vStr and the infralimbic region of the mPFC. Two sessions per rat were analyzed. For each rat, we selected the session from the nochoice task and the one-choice task with the highest number of trials (except for Rat 3, for which 2 sessions from the no-choice task were selected because no data were available from the one-choice task). The results obtained in the two task conditions were similar, therefore analyses collapsed across tasks (no-choice and choice) and across reversals in the choice version of the task.

For Experiment 2 (Figures 8-9), LFPs and spike waveforms were recorded from the vStr only, as described
in van der Meer and Redish (2009b). All recording sessions with at least 25 simultaneously recorded neurons
were included, for a total of 64 sessions from 4 animals.

**Data pre-processing (both experiments)**. Because neural signals for Experiment 1 were recorded against ground (rather than a skull screw or intracranial reference), removal of mechanical artifacts in the data was required. All intervals exceeding a threshold (+/-  $750\mu$ V), plus 100ms either side, were detected as an artifact and eliminated from analysis.

Next, to detect and eliminate contamination from muscle activity, such as occurs during chewing, LFPs 154 were band-pass filtered between 125-250Hz (this EMG frequency band was determined by visual inspection 155 of spectrograms). Intervals with an amplitude envelope greater than one standard deviation (Experiment 156 1) or 1.5 standard deviations (Experiment 2) from the mean, plus 100ms on either side, were considered 157 chewing events and eliminated from further analysis. (Different thresholds were used because in Experiment 158 1, data were recorded against ground, whereas those in Experiment 2 were recorded against a reference 159 electrode located in the overlying corpus callosum.) Note also that data analyzed during task performance, 160 when chewing was most likely to occur (reward epoch; Figure 1a), were restricted to a window of 0 to 1.5s 161 following the nosepoke, before contact with reward pellets is made. 162

Finally, we found that gamma events could sometimes be partially overlapping with spindle oscillations or Kcomplex like waveforms, associated with transient 25-30Hz power. To avoid potential gamma contamination by these events, LFPs were band-pass filtered between 25 and 30Hz to detect and remove these events; intervals with a power greater than one standard deviation from the mean, plus 100ms either side, were considered as "K-like" event and removed from analysis.

Analysis epoch definition (Experiment 1). Analyses were performed on the full task session, on off-task rest, or on specific task epochs ("Run" and "Reward"), as indicated in the main text. For Run, session data was restricted to on-task times when animals moved at a speed of  $\sim 10$  cm/s or more. For Reward, data was restricted to the pre-reward nosepoke period (0 to 1.5s relative to nosepoke initiation; food pellets do not reach the animal until after 1.5s). "Rest" refers to data acquired while animals rested in their home cage following task completion.

Spectral Analysis (Experiment 1). We first characterized the overall spectral properties of vStr and mPFC LFPs over a broad frequency spectrum for the entire recording session, as well as for specific epochs ("Rest", "Run", "Reward"). Power spectral densities (PSDs) were computed with the MATLAB pwelch () function and normalized by  $1/f^2$ ; coherence was computed with mscohere(), both using a 1-second Hanning <sup>178</sup> window with 50% overlap.

Gamma event detection (both experiments). Next, we focused on gamma-band oscillations by detecting 179 transient events during which the gamma-band envelope exceeded a significance threshold (Figure 1B). This 180 detection was performed on the vStr LFPs because the amplitude of gamma events systematically exceeded 181 that of synchronous events recorded in mPFC (Figure 2B and 3). For this purpose, LFPs were first filtered 182 in the low-gamma (45-65Hz) or high-gamma band (70-90Hz) using a 5th order Chebyshev filter (passband 183 ripple, 0.5 dB) and the MATLAB filtfilt() function. Instantaneous signal amplitude was obtained by 184 taking the modulus of the Hilbert-transformed signal (MATLAB abs (hilbert())). Gamma events were 185 detected when this amplitude envelope exceeded the 95th percentile of the amplitude distribution (across the 186 entire session), and contained at least three oscillation cycles of at least  $50\mu$ V in amplitude. Events separated 187 by 50ms or less were merged (if both were of the same gamma type) or excluded (if different gamma type). 188 All gamma-specific analyses were applied to 400ms windows centered on these events. 189

**Amplitude cross-correlations (Experiment 1).** To determine the temporal relationship between vStr and 190 mPFC LFPs, we first employed an event-based version of the cross-correlation analysis in Adhikari et al. 191 (2010). We obtained gamma-band envelopes for both LFPs as described above, and for each gamma event 192 separately, found the peak of the cross-correlation (from -50 to +50ms, MATLAB xcov () function) com-193 puted on the rank-transformed envelopes. We then tested if the distribution of peak locations was sig-194 nificantly shifted from zero, for the set of low- and high-gamma events separately (one-sample Wilcoxon 195 ranksum test) and if the distribution of cross-correlation peaks was different between low- and high-gamma 196 events (two-sample Wilcoxon ranksum test). To ensure that cross-correlations were computed on gamma 197 events that were present in both mPFC and vStr, the peak cross-correlation for each event was required to 198 pass a permutation test in which the phases of the Fourier transform were randomly reassigned. Only events 199 in which the peak cross-correlation was in the top 5% relative to 1000 such permutations were used in the 200 cross-correlation analysis. 201

Phase slopes and phase-slope index (PSI, Experiment 1). Next, we computed the phase-slope index 202 (PSI, Nolte et al. 2008) using the FieldTrip toolbox (Oostenveld et al., 2011), a measure that quantifies the 203 dependence of phase lag on frequency (Figure 5a). To this end, we first computed the phase lag (angle of 204 the coherency) between vStr and mPFC LFPs across the frequency spectrum (from 40 to 120 Hz, in steps 205 of 1Hz) using a multitaper method (FieldTrip ft\_frequenalysis(), mtmfft method with tapsmofrq 206 set to 4). These parameters were chosen because they performed best in recovering ground truth time lags 207 in simulated data; changing the level of frequency smoothing (tapsmofrq = 8, or to a single Hanning 208 window) resulted in minor numerical differences, but did not change the pattern of results. After verifying 209 that these phase cross-spectra contained linear regions (phase slopes; example phase spectra are shown in 210 Figure 5b and 6a) we computed the phase-slope index using the FieldTrip ft\_connectivity() function 211 with bandwidth 4. 212

To infer the time lag (or lead) between vStr and mPFC from observed phase slopes, we used the following equation:

$$t_{a-b} = \left[\frac{\phi_{a-b}(f+df) - \phi_{a-b}(f)}{df}\right]/360^{\circ}$$
(1)

where  $t_{a-b}$  is the time lag (or lead) in seconds between signals a and b, to be inferred from the phase differences  $\phi_{a-b}$  (in degrees) observed at frequencies f and f + df. For instance, given a phase difference  $\phi_{a-b} = 45^{\circ}$  between signals a and b at f = 25Hz, and  $\phi_{a-b} = 36^{\circ}$  at f = 20Hz,  $t_{a-b} = [(45 - 36)/(25 - 20)]/360 = 5$ ms (Figure 5a). As  $df \rightarrow 0$ , the fraction shown in square brackets above corresponds to the derivative  $\phi'_{a-b}(f)$ , i.e. the phase slope. Positive time lags indicate that a leads b.

**Ensemble classification (Experiment 2).** For the results in Figure 9, we analyzed data from a previously published dataset (van der Meer and Redish, 2009a,b) in which electrodes were located in the vStr only in order to maximize the number of simultaneously recorded units. Experimental procedures for these data were similar to those described for Experiment 1, except that the task used was a modified T-maze instead of a linear track (van der Meer and Redish, 2009a). Gamma events were detected with the same parameters as for Experiment 1, described above, with the exception that no absolute amplitude threshold was used (because LFPs in this data were recorded relative to an intracranial reference, signal amplitudes were generally lower and this threshold was unnecessary). To minimize the impact of overt behavioral differences, only gamma events that occurred off-task (on a terracotta pedestal filled with towels) or at a single reward site on the task ("Feeder 2", van der Meer and Redish 2009a) were included.

To probe the relationship between gamma events and spiking activity, we first converted spike rasters ob-230 tained from simultaneously recorded vStr neurons into vectors of spike counts (one N x 1 vector for each 231 gamma event, where N is the number of neurons in the data set), normalized to firing rates. Using 10-fold 232 cross-validation, we trained a linear discriminant classifier (MATLAB classify() function) to classify 233 these spike count vectors as low-gamma or high-gamma (Figure 8). In increments of 5 cells, we sampled 234 randomly from the total number of neurons in the recorded ensemble (1000 samples per ensemble size) and 235 obtained the classification performance of the best performing ensemble. Thus, classification performance of 236 ensemble size 1 indicates the performance of the single best neuron; classification performance at ensemble 237 size 6 indicates the performance of whichever subset of 6 neurons performed best, and so on. 238

Because different sessions had different numbers of detected low- and high-gamma events, we subsampled from the frequency band with the largest number of events, ensuring that chance performance was at 50% for each session. As a control, we performed the same analysis on a set of spike count vectors with the spike data shifted up to 5s relative to the LFP. The exact time shift was determined on an event-by-event basis by finding the time with the lowest broadband gamma power (40-100 Hz) within 5s either way from each actual event.

We tested a number of different classifiers in addition to the linear discriminant, and found that Naive Bayes, k-nearest-neighbor (with k = 9; other values of k were worse) and a support vector machine (MATLAB svmclassify()) all returned relatively similar performance. Thus, we report only the linear discriminant
results here.

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[Figure 2 about here.]

# 250 **Results**

#### 251 Experiment 1

We recorded local field potentials (LFPs) simultaneously from the infralimbic region of the medial prefrontal cortex (mPFC) and ventral striatum (vStr) from four rats running linear tracks for food reward (Figure 1A). Rats ran an average of  $124 \pm 27$  (mean  $\pm$  S.E.M) trials per 40-minute session. Each task session was immediately followed by a rest session consisting of a 40-minute home cage recording. All recordings were referenced against recording system ground to avoid spurious correlations due to a common reference signal.

As reported previously, vStr and mPFC both exhibited LFP oscillations in the gamma band, with distinct os-257 cillations in the low-gamma (45-65Hz) and high-gamma (70-90Hz) bands that manifest as transient "events" 258 (Figure 1B; van der Meer and Redish 2009b; Berke 2009; Howe et al. 2011; Dejean et al. 2013). These two 259 gamma bands appear as elevated regions in the power spectrum densities for both mPFC and vStr regions 260 (Figure 3A; mean over task sessions). As in our previous reports investigating the behavioral correlates of 261 vStr gamma (Malhotra et al., 2015; van der Meer and Redish, 2009b), the vast majority of low- and high-262 gamma occurred when the animal is stationary, such as occurs at the reward sites on the task, and during 263 off-task rest periods. When gamma events occurred, low- and high-gamma oscillations tended to follow 264 a characteristic fine-timescale alternating pattern in which low-gamma leads high-gamma (Malhotra et al., 265 2015). Other groups have reported similar properties, as well as further behavioral correlates and dissocia-266

tions between the two gamma bands (Kalenscher et al., 2010; Howe et al., 2011; Morra et al., 2012; Donnelly
et al., 2014). Experiment 1 focused on the relationship between gamma oscillations in the vStr and mPFC.

# Gamma oscillations are synchronized in phase and amplitude between ventral striatum and medial prefrontal cortex

Visual inspection of raw LFP traces suggested a clear relationship between gamma oscillations in mPFC and 271 vStr: gamma events in both traces tended to co-occur in time (Figure 1B). We quantified this relationship 272 first by computing the correlation between the signal power of vStr and mPFC LFPs across frequencies 273 (Figure 3B). The elevated correlation in the gamma band – including low and high gamma – indicates that 274 power in the gamma band was more strongly correlated between structures than neighboring frequencies. 275 Comparison of the observed correlation coefficients with a distribution of permuted correlations, obtained 276 from 1000 samples in which one of the two power time series was circularly shifted by a random amount, 277 indicated that the observed correlations were reliably larger than this permuted distribution for both low- and 278 high-gamma ( $p < 10^{-3}$ ). 279

280

### [Figure 3 about here.]

Second, to capture the phase relationship between gamma in mPFC and vStr, we computed the coherence 281 spectrum, which quantifies the phase consistency between signals (Figure 3C). This similarly revealed el-282 evated coherence in the gamma band, including both low and high gamma. To characterize how gamma 283 oscillations were modulated by behavior, we repeated the same set of analyses on three different behavioral 284 epochs: "run"; "reward" and "rest" (see Materials and Methods). All three epochs exhibited power in the 285 gamma band (Figure 3D), and both amplitude (Figure 3E) and phase (Figure 3F) relationships between vStr 286 and mPFC were preserved. As expected from our previous report (Malhotra et al., 2015), gamma power was 287 highest during rest, and the lowest during run, while theta power (7-10 Hz) showed the opposite pattern. 288

Furthermore, during run, the gamma power peak was shifted toward higher frequencies, as has been found in the dorsal striatum (von Nicolai et al., 2014). Taken together, these results indicate that despite these state-dependent changes, gamma amplitude and phase relationships were essentially unaffected.

# High and low gamma oscillations are associated with distinct directionality through the cortico striatal loop

Amplitude and phase correlations can establish that mPFC and vStr gamma are related, but cannot determine 294 if one leads or lags the other. To address directionality, we used two different methods that rely on amplitude 295 and phase respectively: cross-correlation of gamma amplitude in time (Adhikari et al., 2010), and the phase-296 slope index (PSI, Nolte et al. 2008); for both, we first detected gamma events using an amplitude threshold 297 on the bandpass-filtered signal (low gamma: 45-65 Hz; high gamma: 70-90 Hz; see Materials and Methods). 298 We detected and analyzed a total of 2733 low-gamma and 7390 high-gamma events (task: 456 low-gamma 299 and 1908 high-gamma, 1.4 and 5.8 events/min respectively; rest: 2267 low-gamma and 5439 high-gamma, 300 4.6 and 11.0 events/min respectively). 301

To obtain an estimate of directionality based on the relative amplitudes of mPFC and vStr gamma, we de-302 tected the time shift for which their correlation was maximal, after excluding events in which there was no 303 statistical evidence of a gamma amplitude cross-correlation (Figure 4A,B). The distribution of peak correla-304 tion times for high-gamma was significantly different from zero, indicating a mPFC lead (+0.59 ms; p = 6.98)305 \* 10<sup>-15</sup>; one-sample Wilcoxon test). The low gamma distribution of peak correlation times was also signif-306 icantly different from zero, but in the opposite direction, indicating a vStr lead (-0.30ms;  $p = 1.26 \times 10^{-2}$ ; 307 one-sample Wilcoxon test). This asymmetry was visually apparent both from the average cross-correlation 308 across all events (Figure 4A, top panel) and from the histograms of peak cross-correlation times (bottom 309 panel; note arrows indicating increased vStr lead counts for low-gamma, and increased mPFC lead counts 310 for high-gamma). 311

#### [Figure 4 about here.]

To obtain independent confirmation of the above pattern of results, we used the phase slope index (PSI, 313 Nolte et al. 2008, as implemented in the FieldTrip toolbox; Oostenveld et al. 2011) which is based on the 314 phase relationship between two signals (Figure 5). Specifically, if there is a constant time lag between two 315 signals, as expected if a signal from one structure leads the other, then there is a linear relationship between 316 phase lag and the frequency, whose slope indicates the sign and magnitude of the time lag (illustrated in 317 Figure 5a). Crucially, we chose to use the PSI measure here because unlike typical autoregressive methods 318 (e.g. Granger causality) PSI is relatively insensitive to false positives due to independent noise corrupting a 319 common signal. In particular, since mPFC gamma tends to be lower amplitude than vStr gamma, Granger 320 causality tends to identify vStr as Granger-causal to vStr even for zero time lag (as shown in Nolte et al. 2008 321 and the FieldTrip connectivity tutorial). 322

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#### [Figure 5 about here.]

Starting with the raw phase slopes, obtained from the phase lag as a function of frequency (Figure 5B, top) we 324 observed a slope sign inversion around 65-70 Hz, with a positive slope in the low gamma band and a negative 325 slope in the high gamma band. This pattern indicates a vStr lead in the low gamma band, and a mPFC lead 326 in the high gamma band (Figure 5B, middle). This phase slope reversal between low- and high gamma 327 was consistent across individual subjects (Figure 6A) and clearly evident in the grand average mean phase 328 slope index (Figure 6B). Consistent with this result, the mean phase lag between vStr and mPFC shifted 329 systematically from a vStr lag in the low gamma band to a mPFC lead in the high-gamma band (Figure 330 6D-E). However, it is important to recognize that this measure is inherently circular, as well as sensitive to 331 recording location relative to current sinks and sources (Nunez and Srinivasan, 2006; Buzsáki et al., 2012). 332

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[Figure 6 about here.]

To test if this result was modulated by behavior, we compared the mean PSI and phase lag during rest and 334 task (Figure 6C, E). A similar pattern of directionality was obtained, with a noticeable shift toward lower 335 frequency during rest, consistent with the similar shift in the power spectra (Figure 3). Finally, in order to 336 estimate the time lag/lead between mPFC and vStr for both gamma bands, we used the linear relationship 337 between phase slope and time lag (Equation 1). Based on the grand average phase slope, we found that vStr 338 leads mPFC in the low-gamma band by 1.3 ms, and mPFC leads vStr by 0.52 ms in the high-gamma band. 339 Although these values do not exactly match those obtained from the amplitude cross-correlation method, 340 the millisecond timescale and directionality reversal between low- and high-gamma are preserved across 341 methods. 342

The relatively small, single-millisecond magnitude of the time lags we observed raise the possibility that 343 some property of the recording electrodes and/or the recording system may be a factor. To test this possi-344 bility systematically, we recorded test signals in the 40-100Hz range (40, 60, 83 and 100 Hz sinusoids, 100 345  $\mu$ V magnitude) simultaneously across 24 recording channels with a range of impedances (mean: 0.78M $\Omega$ , 346 minimum:  $0.58M\Omega$ , maximum:  $1.02M\Omega$ ). The phase lags and phase slopes we observed in this setting 347 were about a factor 40 smaller than those experimentally (Figure 7; compare the neural data Figure 6). The 348 synthetic phase lags showed some dependence on signal frequency (mean phase lag for 40 Hz:  $0.0023^{\circ}\pm$ 349 0.12, 100 Hz: -0.0177°  $\pm$  0.15; ANOVA main effect,  $F_{(3)} = 2.7$ , p = 0.047) and impedance (averaged over 350 the two electrodes in the pair, ANOVA main effect,  $F_{(226)} = 9.51$ , p < 10<sup>-5</sup>). Crucially however, there was 351 no evidence of an interaction between impedance and frequency (ANOVA  $F_{(3,226)} = 0.07$ , n.s.). This pattern 352 did not change when taking the absolute value of the phase lags (since the choice of pair order is arbitrary). 353 Thus, the observed phase lags and reversal across low- and high-gamma frequencies cannot be explained by 354 electrical or filtering properties of the recording setup. 355

356

#### [Figure 7 about here.]

Taken together, these results indicate that mPFC high gamma oscillations systematically lead the vStr by

# Experiment 2: High and low gamma oscillations are associated with distinct cell assemblies in the ventral striatum

A crucial indicator of the relevance of local field potential oscillations for information processing is the extent to which they are associated with spiking activity. Given the dissociation in directionality between low- and high-gamma observed in the previous section, we hypothesized that these two distinct gamma oscillations would also be associated with distinct cell assemblies in the ventral striatum. We test this idea in Experiment 2.

Specifically, we used a suite of classifiers that attempted to infer the identity (label) of the gamma oscillation 366 ("low" or "high") based on the firing rates of ensembles of simultaneously recorded neurons. If it is possible 367 to predict better than chance the label of the gamma event from the ensemble firing rates, this implies that 368 there is a systematic relationship between the LFP and the information represented in the ensemble firing 369 rates. Note that this approach tests for a very different relationship between LFP and spiking activity than 370 measures such as spike-field coherence, which quantify entrainment or phase-locking of spiking to the LFP 371 (Berke et al., 2004; van der Meer and Redish, 2009b; Howe et al., 2011), and generalizes our previous 372 results examining single cells (van der Meer and Redish, 2009b). For this analysis, we used a different 373 dataset (4 rats, 13-19 sessions per rat) containing large ensembles of vStr neurons recorded simultaneously 374 along with LFPs as the rats ran a modified T-maze task (data set previously reported in van der Meer and 375 Redish 2009a,b). 376

As in the directionality analysis above, high and low gamma events were first detected, and then associated with the corresponding vector of spiking activity (Figure 8A). Linear discriminant classifiers were trained to associate low-gamma and high-gamma class labels in the training data set with points in N-dimensional space, corresponding to the (normalized) event spike counts for an ensemble of N neurons. Classifier performance was then measured by class label accuracy on spike count vectors in the testing set (withheld from training; 10-fold cross-validation with 100 iterations). The analysis was also repeated for a control condition in which spike counts were taken from a nearby time period of equivalent length, which did not correspond to a detected gamma event (see *Materials and Methods*).

385

#### [Figure 8 about here.]

The results (averaged over 64 sessions) show that the classifier performed significantly better than the control 386 condition (Figure 8B; ANOVA main effect  $F_{(1)} = 201.96$ , p < 10<sup>-16</sup>). Furthermore, the error rate decreased 387 as the number of neurons used was increased (ANOVA main effect  $F_{(4)} = 40.16$ , p < 10<sup>-16</sup>). This pattern of 388 results was consistent across individual subjects (Figure 9). Note that this analysis necessarily underestimates 389 the true performance of the best performing ensemble, due to the large numbers of possible "n-choose-k" 390 subsets which are sampled from, rather than exhaustively tested, here. In any case, it is clear that low and 391 high gamma oscillations in the local field potential are associated with distinct activity patterns in vStr neural 392 ensembles. 393

394

#### [Figure 9 about here.]

Compared to our previous report of single vStr cells modulating their firing rates as a function of low- and/or 395 high-gamma power (van der Meer and Redish, 2009b), the current analysis is improved in several ways. First, 396 most obviously, it generalizes the issue to the ensemble level. Although the observation that the identity of 397 the gamma event can be predicted from the ensemble is necessarily implied by the known single cell firing 398 rate modulation, the ensemble classification permits quantification of the more biologically relevant issue of 399 to what extent multiple cells contain redundant or synergistic information – by showing how classification 400 performance improves as a function of the number of cells. It is also less *ad hoc*, putting the analysis in 401 a common metric (classification performance) which can accommodate other sources of information in the 402

403 future.

In addition, the present analysis contains important controls, in that we (1) only used gamma events at "behaviorally clamped" locations, and (2) compared classification performance to a time-shifted control. Given the known different time courses of low- and high-gamma (van der Meer and Redish, 2009b; Howe et al., 2011) and the known ventral striatal single neuron tuning of e.g. "ramp" neurons, correlations between gamma power and firing rate could arise through independent alignment. These two controls reduce the possible contribution of overt behavioral differences and slow changes in unit activity which may correlate with gamma event occurrence.

# 411 **Discussion**

We have shown that low and high-gamma oscillations in the mPFC and vStr local field potential (LFP) 412 are tightly synchronized, yet associated with opposite time lag/lead and distinct spiking activity patterns 413 in vStr. Gamma-band synchrony between these structures has been noted or implied in previous studies 414 (Berke 2009; Dejean et al. 2013; Donnelly et al. 2014 in rats, Cohen et al. 2012 in humans) but not analyzed 415 in detail. In particular, previous work has been limited to analyses of coherence, which does not address 416 the issue of directionality. Here, we show that mPFC leads vStr during high-gamma, but vStr leads mPFC 417 during low-gamma LFP oscillations. Importantly, this pattern was consistent across subjects, as well as 418 across distinct analysis methods that rely on independent features of the LFP (phase-slope index for phase, 419 and cross-correlation for amplitude), and could not be accounted for based on electrode or recording system 420 properties. In addition, we apply an ensemble classification method for quantifying the relationship between 421 LFP and spiking activity to demonstrate, in a robust and generalizable manner, that low- and high-gamma 422 activity in this circuit are associated with distinct local spiking. 423

#### 424 Possible explanations for the mechanisms of gamma synchronization between mPFC and vStr

How should this striking temporal pattern of gamma oscillations in mPFC and vStr be interpreted? Near-425 zero phase lag synchrony in the gamma frequency band between anatomically separated areas has been 426 reported in a number of different brain networks, such as between cortical areas (Traub et al., 1996) and 427 between prefrontal cortex and the amygdala (Likhtik et al., 2014). At first glance, it may seem surprising 428 that such fast oscillations, with cycle times in the range of 10-25 ms, can synchronize despite significant 429 conduction and synaptic delays. However, mathematical analysis and computational modeling studies have 430 shown that even relatively weak and slow long-range anatomical connections, in principle, are sufficient for 431 such synchronization (Traub et al., 1996; Buzsáki, 2006; Vicente et al., 2008; Gollo et al., 2014). In the 432 classic "coupled oscillator" models, the synchronizing elements are reciprocally (symmetrically) coupled, a 433 scenario which is only approximately applicable to the mPFC-vStr circuit: although mPFC projects directly 434 to vStr, the back-projection from vStr to mPFC is indirect, through the pallidum and thalamus (Haber, 2009; 435 Sesack and Grace, 2010). How this specific degree of asymmetry in the mPFC/vStr coupling is expected to 436 affect LFP synchrony is a question that can be addressed with computational models. 437

In any case, the possible interpretation that mPFC-vStr synchrony reflects the coupling of oscillators requires 438 ruling out a number of alternative explanations (Buzsáki and Schomburg, 2015). Looming large among these 439 is the possibility of a common source, whether volume-conducted or synaptically driving. Although a re-440 cent computational model found such a scenario, surprisingly, to be less robust than coupling for generating 441 zero-lag synchrony (Gollo et al., 2014), there are several prominent common sources to consider. First, 442 the piriform cortex is located close to both mPFC and vStr, with a recent study demonstrating vStr gamma 443 oscillations in the LFP are dominated by a piriform source (Carmichael and van der Meer, 2015). Further 444 possibilities for common sources include the intermediate to ventral hippocampus, which projects monosy-445 naptically to both vStr and mPFC (Jay and Witter, 1991; Groenewegen et al., 1987), and generates low and 446 high gamma oscillations (Colgin et al. 2009; Jackson et al. 2011; of course an oscillating common input is 447 not strictly required if the receiving structure generates its own oscillations in response to input). Similarly, 448

the basolateral amygdala LFP exhibits gamma oscillations (although the sources of this have not been clearly
shown; Popescu et al. 2009; Likhtik et al. 2014) and projects to vStr and mPFC (Shinonaga et al., 1994).
Finally, the medial thalamus projects to both structures (Otake and Nakamura, 1998), although reports of
gamma oscillations generated there are few (but see Minlebaev et al. 2011)

Could a single common source account for the result that both amplitude and phase relationships differ from 453 zero with opposite directions for low and high gamma bands? If transmission from the putative common 454 source to mPFC and vStr is homogeneous, the directionality reversal is a logical impossibility: for each 455 frequency band, whichever recording site is closest to the common source would lead the other. Note that 456 this is true even if volume conduction is associated with non-zero propagation speed (as found by e.g. Zhang 457 et al. 2014) and/or the extracellular medium exhibits frequency-dependent capacitance in the gamma range. 458 However, if conduction to both recording sites is not homogeneous (Bédard et al., 2004; Nelson et al., 2013), 459 it is possible in principle that a specific inhomogeneity in the conductance of gamma-band frequencies com-460 bined with a common source, could account for the observed results. For instance, if low-gamma oscillations 461 experienced slower conductance to mPFC than to vStr than high-gamma, something like the observed results 462 could arise. However, such inhomogeneities are thought to be very small, if they exists at all within such a 463 narrow frequency range (Ranck, 1963; Nicholson and Freeman, 1975; Logothetis et al., 2007; Kajikawa and 464 Schroeder, 2015) thus we believe this possibility to be unlikely. Beyond a single common source, mixtures 465 from two distinct sources (one for low-gamma and another for high-gamma) are possible in principle: a low-466 gamma source relatively closer to vStr and a separate, lower-amplitude high-gamma source relatively closer 467 to mPFC, combined with a finite conduction speed, could produce the observed reversal. How this could 468 be reconciled with the striking temporal precision with which low- and high-gamma seem to be coordinated 469 (Dejean et al., 2013; Malhotra et al., 2015) would however remain unclear in such a scenario. 470

<sup>471</sup> Next, it should be pointed out that the known conduction delays between mPFC and vStr (2-6 ms; Fino
<sup>472</sup> 2005; Bosch et al. 2012) seem to be incompatible with an asymmetric, one-area-driving-the-other scenario
<sup>473</sup> in which oscillations in one area (say vStr) are caused by inputs from an oscillating mPFC; this is the

<sup>474</sup> main reason why we suggest the coupled oscillator interpretation as the more likely alternative. Of course the possibility of vStr driving mPFC this way would be less likely still, given the indirect nature of that projection. Finally, it is important to rule out technical reasons for the observed pattern of results. We tested our analysis workflow both with simulated data and with synthetic test signals in the low and high-gamma band fed into the recording system; these controls seem to rule out artifactual causes for the observed results.

Thus, in sum, we suggest that the observed temporal asymmetries between low- and high-gamma are unlikely to arise from a single common source; such explanations would require a highly specific inhomogeneity in volume conduction. Instead, this asymmetry may arise from transient deviations from a perfect coupling with zero phase lag, reflecting one area temporarily leading or lagging as a result of dynamically changing inputs and effective connectivity. Regardless of which interpretation ultimately proves correct, the issue of how the observed temporal asymmetry between low- and high-gamma comes is secondary to the main observation of near-zero lag synchrony between mPFC and vStr.

#### 486 Functional relevance of gamma synchronization between mPFC and vStr

In general, gamma-band synchronization has been suggested as a possible mechanism for binding anatomically segregated features of a coherent cell assembly, as occurs for instance when encoding visual percepts (Tallon-Baudry, 1999; Engel and Singer, 2001). The functional significance of such synchronization is thought to stem from the increased effectiveness of such coordinated assemblies in activating common projection targets; in the case of mPFC and vStr those may include areas such as the ventral tegmental area (VTA; Haber 2009) and perhaps other basal ganglia nuclei such as the subthalamic nucleus (STN; Maurice et al. 1998).

<sup>494</sup> A related but distinct proposal regarding the functional relevance of gamma-band synchronization is the <sup>495</sup> "communication through coherence" hypothesis and its ongoing refinements (Singer, 1999; Fries, 2005; Akam and Kullmann, 2014). This idea contends that circuits with anatomically fixed connectivity can nonetheless dynamically change their effective connectivity through inter-area synchronization of oscillatory activity. However, it is unclear if the very short time lags observed here, on the order of  $\pm 1$  ms in opposite directions from zero lag, would be sufficient to have a meaningful impact on the direction of information flow between mPFC and vStr. Interestingly, Chang et al. (2000) found that the spiking of pairs of neurons, simultaneously recorded in mPFC and vStr, commonly synchronize with zero time lag.

In any case, there is a substantial literature on the behavioral functions of the prefrontal-ventral striatal path-502 way, including disconnection studies in a variety of tasks (Christakou et al., 2004; Goto and Grace, 2008; 503 Bossert et al., 2012) and identification of mPFC-vStr projection neurons as activated by motivationally rel-504 evant stimuli (McGinty and Grace, 2008; Britt et al., 2012). The question of whether gamma oscillations 505 (or indeed, any oscillation) and their inter-area synchrony play a role in mediating these functions, provide 506 a biomarker for joint activation without being causally important for anything, or are merely an epiphe-507 nomenon, is one currently being confronted in many neural systems. Our demonstration that ensemble 508 spiking of vStr neurons can be used to classify the identity of the accompanying gamma oscillation (low- or 509 high-gamma) suggests that at least, these oscillations are linked to spiking activity, and provides a basis for 510 linking specific information content such as stimulus and outcome identities, value-related signals to these 511 oscillations. Our results also inform the interpretation of an increasing number of studies aiming to translate 512 limbic system LFP patterns from animal models to EEG/LFP recordings from human patient populations 513 (McCracken and Grace, 2009; Uhlhaas and Singer, 2010; Donnelly et al., 2014). 514

# 515 Acknowledgments

<sup>516</sup> We thank Jean Flanagan, Nancy Gibson and Martin Ryan for assistance with animal care and husbandry, <sup>517</sup> and Alyssa Carey for technical assistance. This work was supported by NSERC, the National Science and <sup>518</sup> Engineering Research Council of Canada (MvdM) and the Fondation FYSSEN (JC).

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**Figure 3:** Phase and amplitude correlations between vStr and mPFC local field potentials. **A**: Power spectrum density (PSD) for vStr (black solid line) and mPFC (gray dashed line) normalized  $(1/f^2)$  and averaged over 8 sessions (4 rats); showing that the power in the gamma band was higher than the 1/f baseline. **B**: Power correlation (average) between vStr and mPFC. The cross-frequency correlation matrix diagonal band (black) shows high correlation values in the gamma bands; indicating that gamma oscillations tend to occur at similar time across the two structures. Each of the two horizontal bands (light gray: 45-65 Hz, dark gray: 70-90 Hz) show specific correlation increases with the corresponding frequency band in the other structure; indicating that a given gamma type tends to co-occur in mPFC and vStr. **C**: Coherence spectra (average) between mPFC-vStr (black) and vStr-vStr (dashed gray) show high coherence in the gamma band; indicating that gamma oscillations have a consistent phase relationship between the two recorded sites. **D**-F: As A-C, but for different behavioral epochs: running and reward periods on the task, and off-task rest periods. Note that gamma synchrony between structures is preserved.



**Figure 4:** Power cross-correlations between vStr and mPFC reveal asymmetries between low and high-gamma oscillations. **A**: Average cross-correlation between vStr and mPFC (top) for detected low-gamma events (red) and high-gamma events (blue) and histogram of cross-correlation peaks (bottom). Note the asymmetry between the two distributions, indicated by the green arrow highlighting relatively more low gamma cross-correlation peaks on the vStr-lead side, and the red arrow indicating relatively more high-gamma peaks on the mPFC-lead side. **B**: Full distributions of cross-correlation coefficient across time lags; white dots show the time of the peak cross-correlation for each events. Events are ordered according to this time, and the resulting distributions of peak times are shifted from zero in opposite directions for low-gamma (vStr lead, left direction), and high-gamma (mPFC lead, right direction).



Figure 5: Schematic of the rationale underlying phase slopes, and computation of the phase slope index for an example recording session. A: Schematic of the linear relationship between phase lag and frequency used to interpret the phase slope. In this example, the red signal always leads the blue signal by 5 ms, which results in a different phase lag across frequencies (20, 25 and 33.3 Hz in this example). The bottom panel shows the linear relationship between phase lag and frequency for the above examples, resulting a positive slope for the red-blue phase difference indicating a red lead (green phase slope). B: Phase lags, phase slope, and phase slope index (PSI) for a single example "Task" session. Note that the phase lag as a function of frequency (top panel) contains approximately linear regions in the low-gamma (45-65 Hz, green) and high-gamma (70-90 Hz, red) frequency bands, with slopes in opposite directions. Phase lags are computed relative to vStr phase, so a negative phase lag indicates earlier phase in vStr compared to mPFC. The phase slope (middle panel) is the derivative of the raw phase lag, and the reversal of the phase slope sign around 65-70 Hz indicates that high and low gamma are associated with opposite directionality in the vStr-mPFC system, with vStr leading for low gamma and mPFC leading for high gamma oscillations. The bottom panel shows the phase slope index (PSI) which normalizes the raw phase slope by its standard deviation, obtained using a bootstrap (FieldTrip ft\_connectivityanalysis() function).



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testing set: classify spike counts as lg or hg

**Figure 8:** Schematic illustrating the classification of gamma events based on ensemble spiking activity. A linear discriminant classifier was trained to associate spike counts from ensembles of simultaneously recorded ventral striatal neurons with low-gamma (lg, green) or high-gamma (hg, red) events. Classifier performance was tested on events not included in the training set (black dashed lines, "?") and compared to a control condition in which labels were associated with time-shifted events of equivalent length.



**Figure 9:** Low- and high-gamma events in the ventral striatal local field potential (LFP) are associated with distinct neural ensembles. **A**: Proportion of classification errors in associating ensemble spiking with low- or high-gamma LFP events relative the chance level (0.5; 0 indicates perfect classification) as a function of ensemble size. Performance of the linear discriminant classifier on testing data under 10-fold cross-validation (for the best performing ensemble of the given size) is shown in continuous black for the original data; in dashed light gray for the control condition (spike data shifted by up to 5 s relative to the LFP). These results indicate an association between each gamma oscillation type and a distinct pattern of activation at the ensemble level. **B**: As in panel A, but for individual subjects, showing that the pattern of results is robust.