

Maximum expected accurate structural neighbors of an RNA secondary structure

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Abstract—Since RNA molecules regulate genes and control alternative splicing by *allostery*, that is, by switching between two distinct secondary structures, it is important to develop algorithms to predict RNA *conformational switches*. It has recently emerged that RNA secondary structure can be more accurately predicted by computing the *maximum expected accurate* (MEA) structure, rather than the *minimum free energy* (MFE) structure. The MEA structure \mathcal{S} has maximum score $2 \sum_{(i,j) \in \mathcal{S}} p_{i,j} + \sum_i \text{unpaired } q_i$, where first sum is taken over all base pairs (i, j) belonging to \mathcal{S} , and the second sum is taken over all unpaired positions in \mathcal{S} , and where $p_{i,j}$ [resp. q_i] is the probability that i, j are paired [resp. i is unpaired] in the ensemble of low energy structures.

Results: Given an arbitrary RNA secondary structure \mathcal{S}_0 for an RNA nucleotide sequence $a = a_1, \dots, a_n$, we say that another secondary structure \mathcal{S} of a is a k -neighbor of \mathcal{S}_0 , if the base pair distance between \mathcal{S}_0 and \mathcal{S} is k . Here we describe the algorithm `RNAborMEA`, which for an arbitrary initial structure \mathcal{S}_0 and for all values $0 \leq k \leq n$, computes the secondary structure $MEA(k)$, having *maximum expected accuracy* over all k -neighbors of \mathcal{S}_0 . We apply our algorithm to the class of *purine riboswitches*.

Availability: Source code for `RNAborMEA` can be downloaded from <http://bioinformatics.bc.edu/clotelab/RNAborMEA/>.

Keywords-RNA secondary structure, maximum expected accurate structure, minimum free energy structure, riboswitch, conformational switch

I. INTRODUCTION

RNA secondary structure conformational switches play an essential role in a number of biological processes, such as regulation of viral replication [3] and of viroid replication [4], regulation of R1 plasmid copy number in *E. coli* by *hok/sok* system [9], transcriptional and translational gene regulation in prokaryotes by riboswitches [15], regulation of alternative splicing in eukaryotes [7], and stress-responsive gene regulation in humans [20], etc. Due to their biological importance, several groups have developed algorithms that attempt to recognize conformational switches – in particular, *riboswitches* [1], [5], [2]. Most current approaches heavily depend on detecting the *aptamer*, located in the 5'-portion of the riboswitch, that is responsible for high affinity binding of a particular ligand ($K_D \approx 5$ nM) that triggers the conformational change [16]. Computational tools that rely

on *stochastic context free grammars*, such as `Infernal` and `CMFinder`, have been trained to recognize riboswitch aptamers; in particular, `Infernal` was used to create the Rfam database [12], which includes 14 families of riboswitch aptamers.

Upon ligand binding, the 3'-portion of a riboswitch, called *expression platform*, undergoes a conformation change, forming a stem-loop that aborts transcription (thus effecting *transcriptional regulation*, as in guanine riboswitches) or that sequesters the Shine-Dalgarno sequence (thus effecting *translational regulation*, as in thiamine pyrophosphate (TPP) riboswitches). Due to evolutionary pressure for accurate ligand recognition, there is generally high sequence identity in the aptamer region; however, there is low sequence identity (data not shown) in the *expression platform*. Since current riboswitch detection algorithms do not attempt to predict the location of the expression platform, we have developed a tool, `RNAborMEA`, that yields information concerning alternative structures of a given RNA sequence. This tool can suggest the presence of a conformational switch; however, much more work must be done to actually produce a riboswitch gene finder, part of the difficulty due to the fact that riboswitch aptamers contain *pseudoknots* that cannot be captured by secondary structure.

In previous work [10], [11], we described a novel program `RNAbor` to predict RNA conformational switches. For a given secondary structure \mathcal{S} of a given RNA sequence s , the secondary structure \mathcal{T} of s is said to be a k -neighbor of \mathcal{S} , if the base pair distance between \mathcal{S} and \mathcal{T} is k . (Base pair distance is defined later.) Given an arbitrary initial structure \mathcal{S}_0 , for all values $0 \leq k \leq n$, the program `RNAbor` [10], computes the secondary structure $MFE(k)$, having minimum free energy over all k -neighbors of \mathcal{S}_0 . In this paper, we extend our work by computing for all values $0 \leq k \leq n$, the secondary structure $MEA(k)$, having maximum expected accuracy (MEA) over all k -neighbors of \mathcal{S}_0 .

In [8], Do et al. introduced¹ the notion of *maximum expected accurate* (MEA) secondary structure, determined as follows: (i) compute base pairing probabilities $p(i, j)$ using a trained stochastic context free grammar; (ii) compute probabilities $q(i) = 1 - \sum_{i < j} p(i, j) - \sum_{j < i} p(j, i)$ that position i does not pair; (iii) using a dynamic programming algorithm similar to that of Nussinov and Jacobson [19], determine that secondary structure \mathcal{S} having maximum score $\sum_{(i,j) \in \mathcal{S}} 2\alpha \cdot p(i, j) + \sum_{i \text{ unpaired}} \beta q_i$, where the first sum is over paired positions (i, j) of \mathcal{S} and the second sum is over positions i located in loop regions of \mathcal{S} , and where $\alpha, \beta > 0$ are parameters with default values 1. Subsequently Kiryu et al. [13] computed the MEA structure by replacing the stochastic context free grammar computation of base pairs in (i) by using McCaskill’s algorithm [17], which computes the Boltzmann base pairing probabilities

$$p(i, j) = \frac{\sum_{(i,j) \in \mathcal{S}} \exp(-E(S)/RT)}{\sum_{\mathcal{S}} \exp(-E(S)/RT)} \quad (1)$$

Here $E(S)$ is the free energy of secondary structure S , with respect to the Turner energy model [22], R is the universal gas constant, and T is absolute temperature. Thus $p(i, j)$ is the sum of the Boltzmann factors of all secondary structures that contain the fixed base pair (i, j) , divided by the partition function, which latter is the sum of Boltzmann factors of all secondary structures. In fact, Kiryu et al. [13] describe an algorithm to compute the MEA structure common to all RNAs in a given alignment. Later, Lu et al. [14] rediscovered Kiryu’s method; in addition, Lu et al. computed suboptimal MEA structures by implementing an analogue [23].

In this paper, we extend the MEA technique to compute the maximum expected accurate k -neighbor of a given RNA secondary structure S_0 ; i.e. that secondary structure which has maximum expected accuracy over all structures that differ from S_0 by exactly k base pairs.

II. PRELIMINARIES

Recall the definition of RNA secondary structure.

Definition 1: A secondary structure S on RNA sequence s_1, \dots, s_n is defined to be a set of ordered pairs (i, j) , such that $1 \leq i < j \leq n$ and the following are satisfied.

- 1) *Watson-Crick or GU wobble pairs:* If (i, j) belongs to S , then pair (a_i, a_j) must be one of the following canonical basepairs: (A, U) , (U, A) , (G, C) , (C, G) , (G, U) , (U, G) .
- 2) *Threshold requirement:* If (i, j) belongs to S , then $j - i > \theta$, where θ , generally taken to be equal to 3, is

¹Miyazawa [18] first introduced the concept of *maximum expected accuracy* in the context of sequence alignment of two amino acid sequences a_1, \dots, a_n and b_1, \dots, b_m . Miyazawa computed the Boltzmann pair probability $P(a_i, b_j)$ that a_i is aligned with b_j , for all $1 \leq i \leq n$ and $1 \leq j \leq m$, and then used $P(a_i, b_j)$ as the similarity score between a_i and b_j in the usual Needleman-Wunsch and Smith-Waterman algorithms. Do et al. lifted this method to the context of RNA secondary structure prediction.

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1. void RNAborMEA(s, S0, M)
2. // M(i, j, k) is the score of MEA k-neighbor of S0
3. initialize M(i, j, k) = 0 for all 1 ≤ i, j ≤ n, 0 ≤ k ≤ n
4. compute pi,j for all 1 ≤ i ≤ j ≤ n (McCaskill’s algorithm)
5. for i = 1 to n
6.   qi = 1 - ∑j>i pi,j - ∑j<i pj,i
7.   // qi is Boltzmann probability that i is unpaired
8.   for d = 0 to n - 1 // d is diagonal offset value
9.     for i = 1 to n - d
10.      j = i + d
11.      for k = 0 to n
12.        if j - i ≤ θ // θ unpaired bases in hairpin
13.          if k == 0
14.            M(i, j, k) = ∑r=i βqr
15.          else // k > 0
16.            break // for all k > 0 M(i, j, k) = 0
17.          else if j - i == θ + 1
18.            if (i, j) ∈ S0 then
19.              M(i, j, 0) = 2αpi,j + ∑r=i+1 βqr
20.            M(i, j, 1) = ∑r=i βqr
21.            break // for k > 1, M(i, j, k) = 0
22.          else // (i, j) ∉ S0
23.            M(i, j, 0) = ∑r=i βqr
24.            if basePair(i, j) then
25.              M(i, j, 1) = 2αpi,j + ∑r=i+1 βqr
26.            break // for other cases M(i, j, k) = 0
27.          else // j - i > θ + 1

```

Figure 3. Initial portion of pseudocode for RNAborMEA algorithm, which continues in Figure 4. Given RNA sequence $\mathbf{s} = s_1, \dots, s_n$ of length n , initial secondary structure S_0 of \mathbf{s} , RNAborMEA computes for all values of $0 \leq k \leq n$ that structure S with base pair distance k from S_0 , which maximizes the value $M(i, j, k) = \sum_{(i,j) \in \mathcal{S}} 2\alpha p_{i,j} + \sum_{i \text{ unpaired in } S} \beta q_i$. The pseudocode actually computes only values $M(i, j, k)$ for all i, j, k ; the MEA structures are obtained by backtracking. This algorithm clearly runs in $O(n^4)$ time with $O(n^3)$ space.

```

27. else // j - i > θ + 1
28.   max = 0 // M(i, j, k) = max of following
29.   // Case 1: j unpaired in S[i, j]
30.   b0 = dBP(S0[i, j - 1], S0[i, j])
31.   // b0 = 1 if j paired in S0[i, j], else 0
32.   val = M(i, j - 1, k - b0) + βqj
33.   if val > max then
34.     max = val
35.     index = (0, 0, 0)
36.   //backtracking: j unpaired
37.   // Case 2: (i, j) ∈ S
38.   if basePair(i, j) //check if i, j can pair
39.     b1 = dBP(S0[i + 1, j - 1] ∪ {(i, j)}, S0[i, j])
40.     val = M(i + 1, j - 1, k - b1) + 2αpi,j
41.     if val > max then
42.       max = val
43.       index = (i, k - b1, 0)
44.     //backtracking: (i, j) ∈ S
45.   // Case 3: (r, j) ∈ S for some i < r < j
46.   for r = i + 1 to j - θ - 1
47.     if basePair(r, j)
48.       b2 = dBP(S0[i, r - 1] ∪ S0[r + 1, j - 1] ∪ {(r, j)}, S0[i, j])
49.       for k0 = 0 to k - b2
50.         k1 = k - b2 - k0 //k0 + k1 + b2 = k
51.         val = M(i, r - 1, k0) + M(r + 1, j - 1, k1) + 2αpr,j
52.         if val > max then
53.           max = val
54.           index = (r, k0, k1)
55.         //backtracking: (r, j) ∈ S
56.       M(i, j, k) = max
57.       M(j, i, k) = index

```

Figure 4. Pseudocode for RNAborMEA algorithm. Given RNA sequence $\mathbf{s} = s_1, \dots, s_n$ of length n , initial secondary structure S_0 of \mathbf{s} , RNAborMEA computes for all values of $0 \leq k \leq n$ that structure S with base pair distance k from S_0 , which maximizes the value $M(i, j, k) = \sum_{(i,j) \in \mathcal{S}} 2\alpha p_{i,j} + \sum_{i \text{ unpaired in } S} \beta q_i$. The pseudocode actually computes only values $M(i, j, k)$ for all i, j, k ; the MEA structures are obtained by backtracking. This algorithm clearly runs in $O(n^4)$ time with $O(n^3)$ space.

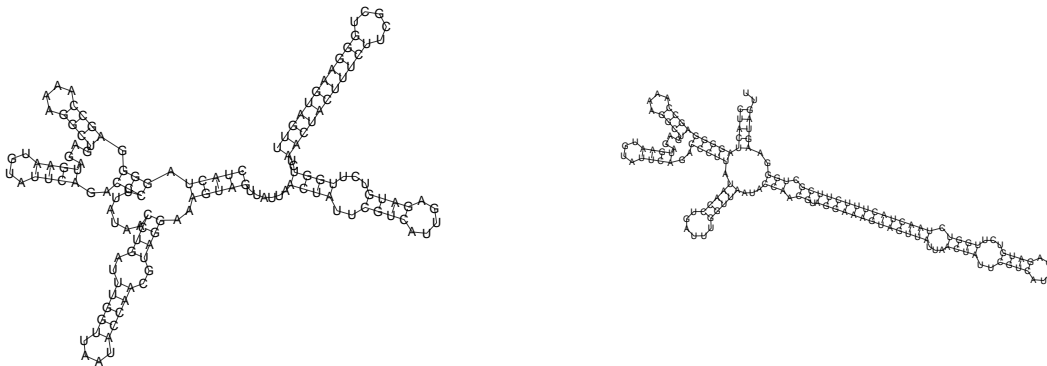


Figure 1. Sample outputs from RNAborMEA on a TPP-riboswitch, AF269819/1811-1669. We took the TPP riboswitch aptamer from the Rfam database [12], then extracted right-flanking nucleotides from the corresponding EMBL file. Displayed from left to right are the structures $MEA(0)$ and $MEA(61)$ (the structure $MEA(52)$ is similar to that of $MEA(61)$ and corresponds to a free energy local minimum in the left figure.) The structure $MEA(61)$ had the highest MEA score over all structural neighbors, including the original structure $S_0 = MEA(0)$, and had free energy, -46.0 kcal/mol, that was equal to that of the initial structure $S_0 = MEA(0)$, which is the minimum free energy structure for the given sequence.

the minimum number of unpaired bases in a hairpin loop; i.e. there must be at least θ unpaired bases in a hairpin loop.

- 3) *Nonexistence of pseudoknots*: If (i, j) and (k, ℓ) belong to S , then it is not the case that $i < k < j < \ell$.
- 4) *No base triples*: If (i, j) and (i, k) belong to S , then $j = k$; if (i, j) and (k, j) belong to S , then $i = k$.

The preceding definition provides for an inductive construction of the set of all secondary structures for a given RNA sequence a_1, \dots, a_n . For all values of $d = 0, \dots, n$ and all values of $i = 1, \dots, n - d$, the collection $\mathbb{S}_{i, i+d}$ of all secondary structures for a_i, \dots, a_{i+d} is defined as follows. If $0 \leq d \leq \theta$, then $\mathbb{S}_{i, i+d} = \{\emptyset\}$; i.e. the only secondary structure for a_i, \dots, a_{i+d} is the empty structure containing no base pairs (due to the requirement that all hairpins contain at least θ unpaired bases). If $d > \theta$ and $\mathbb{S}_{i, j}$ has been defined by recursion for all $i \leq j < i + d$, then

- Any secondary structure of a_i, \dots, a_{i+d-1} is a secondary structure for a_i, \dots, a_{i+d} , in which a_{i+d} is unpaired.
- If a_i, a_j can form a Watson-Crick or wobble base pair, then for any secondary structure \mathcal{S} for

$a_{i+1}, \dots, a_{i+d-1}$, the structure $\mathcal{S} \cup \{(i, j)\}$ is a secondary structure for a_i, \dots, a_{i+d} .

- For any intermediate value $i + 1 \leq r \leq j - \theta - 1$, if a_r, a_j can form a Watson-Crick or wobble base pair, then for any secondary structure \mathcal{S} for a_i, \dots, a_{r-1} and any secondary structure \mathcal{T} for a_{r+1}, \dots, a_{j-1} , the structure $\mathcal{S} \cup \mathcal{T} \cup \{(r, j)\}$ is a secondary structure for a_i, \dots, a_{i+d} .

Given two secondary structures \mathcal{S}, \mathcal{T} , we define the *base pair distance* between \mathcal{S}, \mathcal{T} , denoted by $d_{BP}(\mathcal{S}, \mathcal{T})$, to be the cardinality of the symmetric difference of \mathcal{S}, \mathcal{T} ; i.e. $d_{BP}(\mathcal{S}, \mathcal{T}) = |(\mathcal{S} - \mathcal{T}) \cup (\mathcal{T} - \mathcal{S})|$.

III. ALGORITHM DESCRIPTION

Given an RNA sequence $a = a_1, \dots, a_n$, a secondary structure S_0 of a , and a maximum desired value $Kmax \leq n$, the RNAborMEA algorithm computes, for each $1 \leq i < j \leq n$ and each $0 \leq k \leq Kmax \leq n$, the maximum score $M(i, j, k)$

$$\sum_{(i,j) \in \mathcal{S}} 2\alpha p_{i,j} + \sum_{i \text{ unpaired}} \beta q_i$$



Figure 2. (Left) Free energy for all $MEA(k)$ structural neighbors, $0 \leq k \leq 99$, of the TPP-riboswitch, AF269819/1811-1669, described in the previous figure. Clearly, $MEA(0)$ and $MEA(61)$ have the least energy, -46.0 kcal/mol, and $MEA(61)$ has the largest MEA score, 134.555, of all secondary structures for the given RNA sequence. (Right) MEA score for all $MEA(k)$ structural neighbors, $0 \leq k \leq 99$, of the TPP-riboswitch, AF269819/1811-1669, described in the previous figure. Clearly, $MEA(61)$ has the largest MEA score, 134.555, of all secondary structures for the given RNA sequence.

where the first sum is taken over all base pairs (i, j) belonging to \mathcal{S} , the second sum is taken over all unpaired positions in \mathcal{S} , and where $p_{i,j}$ [resp. q_i] is the probability that i, j are paired [resp. i is unpaired] in the ensemble of low energy structures, and $\alpha, \beta > 0$ are weights. Our computational experiments, as in Figure 2, were carried out with default values of 1 for α, β . (See Equation 1 for the formal definition of Boltzmann base pairing probability $p_{i,j}$.)

The dynamic programming computation of $M(i, j, k)$ is performed by recursion on increasing values of $j - i$ for all values $1 \leq i \leq j \leq n$ and $0 \leq k \leq Kmax$. The value of $M(i, j, k)$, stored in the upper triangular portion of matrix M , will involve taking the maximum over three cases, which correspond to the inductive construction of all secondary structures on a_i, \dots, a_j , as described in the previous section. At the same time, the value $M(j, i, k)$, stored in the lower triangular portion of matrix M , will consist of a triple r, k_0, k_1 of numbers, such that the following *approximately*² holds. (i) If $r = 0$ then $M(i, j, k)$ is maximized by a k -neighbor \mathcal{S} of $\mathcal{S}_0[i, j]$ for the subsequence a_i, \dots, a_j in

which a_j is unpaired. In this case, $k_0 = k$ and $k_1 = 0$. (ii) If $r = i$, then $M(i, j, k)$ is maximized by a k -neighbor \mathcal{S} of $\mathcal{S}_0[i, j]$ for the subsequence a_i, \dots, a_j in which base pair $(i, j) \in \mathcal{S}$. In this case, $k_0 = 0$ and $k_1 = k - 1$. (i) If $i < r \leq j - \theta - 1$ then $M(i, j, k)$ is maximized by a k -neighbor \mathcal{S} of $\mathcal{S}_0[i, j]$ for the subsequence a_i, \dots, a_j in which base pair $(r, j) \in \mathcal{S}$. The left portion of \mathcal{S} , which is $\mathcal{S}[i, r - 1]$ will be a k_0 neighbor of $\mathcal{S}[i, r - 1]$, while the right portion of \mathcal{S} , which is $\mathcal{S}[r, j]$ must contain the base pair (r, j) and itself be a k_1 neighbor of $\mathcal{S}[r, j]$. In summary, the values r, k_0, k_1 will be used in computing the traceback, where the maximum expected accurate structure that is a k -neighbor of $\mathcal{S}[i, j]$ will be constructed by one of the following: (i) MEA k -neighbor of $\mathcal{S}[i, j - 1]$, in the event that a_j is unpaired in $[i, j]$; (ii) MEA $k - 1$ -neighbor of $\mathcal{S}[i + 1, j - 1]$, in the event that a_i, a_j form a base pair; (iii) MEA k_0 -neighbor of $\mathcal{S}[i, r - 1]$ and the MEA k_1 -neighbor of $\mathcal{S}[r, j]$, where $k_0 + k_1 = k$, in the event that a_r, a_j form a base pair.

Pseudocode for the algorithm `RNABORM` is given in Figures 3 and 4. An array M of size $n \times n \times Kmax$ is required to store the MEA scores in $M(i, j, k)$ for all subsequences $[i, j]$ and all base pair distances $0 \leq k \leq Kmax$ be-

²In this section, we provide the motivating idea. The actual algorithm description, which deviates slightly from the description here, is given in the next section and in Figures 3 and 4.

tween structures $\mathcal{S}[i, j]$ and initially given structure $\mathcal{S}_0[i, j]$. For $1 \leq i \leq j \leq n$ and all $0 \leq k \leq Kmax$, the pseudocode in Figure 4 stores a value of the form (x, y, z) in the lower triangular portion, $M(j, i, k)$, of the array. Here, $x = 0$ indicates that the optimal structure on $[i, j]$, i.e. having maximum MEA score over all k -neighbors of $\mathcal{S}_0[i, j]$, is obtained by not pairing j with any nucleotide in $[i, j]$; for values $x > 0$, hence $x \in [i, j - \theta - 1]$, the optimal k -neighbor of $\mathcal{S}_0[i, j]$ is obtained by pairing x with j . The values y, z correspond to the values k_0, k_1 , such that: (i) if $x = 0$, then the optimal k -neighbor of $\mathcal{S}_0[i, j]$ is obtained by first computing the optimal k_0 -neighbor of $\mathcal{S}_0[i, j - 1]$, where $k_0 = k - b_0$, then leaving j unpaired; (ii) if $x = i$, then the optimal k -neighbor of $\mathcal{S}_0[i, j]$ is obtained by first computing the optimal k_1 -neighbor of $\mathcal{S}_0[i + 1, j - 1]$, where $k_1 = k - b_1$, then adding the enclosing base pair (i, j) ; (iii) if $x = r \in [i + 1, j - \theta - 1]$, then the optimal k -neighbor of $\mathcal{S}_0[i, j]$ is obtained by first computing the optimal k_0 -neighbor of $\mathcal{S}_0[i, r - 1]$ as well as the optimal k_1 -neighbor of $\mathcal{S}_0[r + 1, j - 1]$, then adding the base pair (r, j) . This last calculation must be done over all values k_0, k_1 such that $k_0 + k_1 = k$. Using the values $M(j, i, k) = (x, y, z)$, the traceback can be easily computed by recursion; see Figure 5 for pseudocode of traceback.

In a manner similar³ to the pseudocode of Figures 3 and 4, we have developed a program to compute the pseudo-partition function values

$$Z_{i,j}^{(k)} = \sum_{\mathcal{S} \text{ on } [i,j], d_{BP}(\mathcal{S}_0, \mathcal{S})=k} \exp(\text{MEA}(\mathcal{S}/RT))$$

We then graphed the Boltzmann probabilities $\frac{Z_{1,n}^{(k)}}{Z_{1,n}}$ as well as the uniform probabilities $\frac{N_{1,n}^{(k)}}{N_{1,n}}$, where $N_{1,n}^{(k)}$ is the number of k -neighbors, and $N_{1,n}$ is the total number of secondary structures. When $RT = n$, which normalizes the MEA score to a maximum of 1, it appears that the Boltzmann distribution is the *same* as the uniform distribution, as illustrated in figures and data that cannot be shown, due to space restrictions.

IV. RESULTS

We extended the RNABORMEA program to support *structural* constraints; i.e. where structures are required to contain certain designated base pairs or for certain designated positions to be unpaired. Taking the *B. subtilis* XPT riboswitch, whose GENE ON and GENE OFF structures were experimentally determined by in-line probing [21], we applied RNABORMEA to all purine riboswitch aptamers from the Rfam database [12], where additional flanking nucleotides were extracted from the EMBL database. Using the structural alignment program Gardenia [6], we determined

³Essentially, one replaces the operation of taking the *maximum* by the a summation, and one replaces the MEA score by the pseudo-Boltzmann factor $\exp(\text{MEA}(\mathcal{S}/RT))$.

values k_0, k_1 for the most structurally similar structures $MEA(k_0)$ to the XPT GENE OFF structure, resp. $MEA(k_1)$ to the XPT GENE ON structure. Due to space constraints, we can only show one sample result in Figure 6

Quite to our surprise, there appears to be little to no correlation between the structures $MFE(k)$ output by RNABOR [10] and the structures $MEA(k)$ output by our current program RNABORMEA. Thus our current program provides a different manner of probing increasingly distant structural neighbors of a given RNA structure.

ACKNOWLEDGEMENTS

Research of P. Clote and F. Lou was funded by the Digiteo Foundation, in the form of a Digiteo Chair of Excellence to P. Clote. Additionally, P. Clote was partially by the National Science Foundation under grants DMS-0817971 and DBI-0543506. Any opinions, findings, and conclusions or recommendations expressed in this material are those of the authors and do not necessarily reflect the views of the National Science Foundation.

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