

1 **The integration of sociality, monoamines, and stress neuroendocrinology in fish**  
2 **models: Applications in the neurosciences<sup>1</sup>**

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4 Running head: Sociality, monoamines, and stress in fish

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6 Marta C. Soares<sup>1</sup>, Robert Gerlai<sup>2</sup>, Caio Maximino<sup>3\*</sup>

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8 <sup>1</sup> Centro de Investigação em Biodiversidade e Recursos Genéticos – CIBIO, Universidade do Porto,  
9 Vairão, Portugal

10 <sup>2</sup> Department of Psychology, University of Toronto Mississauga, Mississauga, Canada

11 <sup>3</sup> Laboratório de Neurociências e Comportamento “Frederico Guilherme Graeff”, Instituto de  
12 Estudos em Saúde e Biológicas – IESB, Universidade Federal do Sul e Sudeste do Pará, Marabá,  
13 Brazil

14

15 \* Author to whom correspondence should be addressed

16 Caio Maximino

17 Laboratório de Neurociências e Comportamento – Instituto de Estudos em Saúde e Biológicas,  
18 Universidade Federal do Sul e Sudeste do Pará, Unidade III

19 +55-94-2101-7161

20 Av. dos Ipês, S/N, s/ CEP, Bairro Cidade Jardim, Marabá/PA, Brazil

21 cmaximino@unifesspa.edu.br

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## 22 **The integration of sociality, monoamines, and stress neuroendocrinology in fish** 23 **models: Applications in the neurosciences**

24

### 25 **Abstract**

26 Animal-focused research has been crucial for scientific advancement however, in this matter,  
27 rodents are still taking a starring role. Coming out from merely being supportive of evidence found  
28 in rodents, the use of fish models has slowly taken a more central role and expanded its overall  
29 contributions in areas such as social sciences, evolution, physiology, and recently in translational  
30 medical research. In neurosciences, zebrafish has been widely adopted, contributing to our  
31 understanding of the genetic control of brain processes, and the effects of pharmacological  
32 manipulations. However, discussion continues regarding the paradox of function versus structure,  
33 when fish and mammals are compared, and on the potentially evolutionarily conserved nature of  
34 behaviour across fish species. From the behavioural stand point we explored aversive/stress and  
35 social behaviour in selected fish models, and refer to the extensive contributions of stress and  
36 monoaminergic systems. We suggest that, in spite of marked neuroanatomical differences between  
37 fish and mammals, stress and sociality are conserved at the behavioural and molecular levels. We  
38 also suggest that stress and sociality are mediated by monoamines in predictable and non-trivial  
39 ways, and that monoamines could “bridge” the relationship between stress and social behaviour. To  
40 reconcile the level of divergence with the level of similarity, we need neuroanatomical,  
41 pharmacological, behavioural, and ecological studies conducted in the laboratory and in nature.  
42 These areas need to add to each other to enhance our understanding of fish behaviour and ultimately  
43 how this all may translate to better model systems for translational studies.

44 **Keywords:** Neuroendocrinology, Social behaviour network, Mesolimbic reward system, Aversive  
45 behaviour network

## 46 **1. Introduction**

47 While the study of fish behaviour goes back to the origins of ethology, with von Frisch's (1938)  
48 studies on alarm pheromones and Tinbergen's (1951) on behavioural co-adaptations in sticklebacks,  
49 increased interest in that (very heterogeneous) group has soared in the last few years (Gerlai, 2014).  
50 The use of classical and modern tools for brain research is enabling the means to answer  
51 mechanistic questions in relation to fish behaviour. Moreover, the enormous diversity of  
52 behavioural and physiological adaptations in fish allows for these methods to be applied to  
53 questions on specific adaptations as well as general neurobehavioural trends. As a result, fish  
54 behaviour – especially stress-related and social behaviour – is increasingly being recognized as a  
55 tool in the neurosciences (Gerlai, 2014; Maximino et al., 2015; Stewart et al., 2015; Soares et al.,  
56 2017). A picture is emerging in which complex relationships between fish social behaviour and  
57 stress are becoming prominent, and special attention now is given to the applications of these  
58 relationships (Oliveira, 2013; Soares et al., 2017).

59 The present article discusses different neurobehavioural questions using fish as models,  
60 focusing on stress-related behaviour, monoamines, and sociality in model species. We set the stage  
61 by discussing the neuroanatomical underpinnings of social and stress-related behaviour and its  
62 equivalents in teleosts, as well as by briefly presenting the monoaminergic innervation of the  
63 “social behaviour network”, the “aversive behaviour network”, and the “mesolimbic reward  
64 system”. The modulation of aversive behaviour by monoamines follows that, as well as a discussion  
65 on coping strategies in fish and its relations to stress and monoamines. Stress both modifies social  
66 behaviour (e.g., the defensive functions of shoaling) and is modified by it (e.g., the stressful nature  
67 of dominant-subordinate interactions), and different coping styles are associated with different  
68 reactivities to social interaction. We give an overview of the monoaminergic modulation of social  
69 behaviour, focusing on shoaling in zebrafish and cooperation in cleaning wrasses and gobies.  
70 Finally, we outline applications in biological psychiatry and psychopharmacology. The article

71 provides a larger picture on the frontiers between social behaviour and stress in different fish  
72 species, as well as their common modulation by neurotransmitter systems, as well as the open  
73 avenues in fish neurobehavioural research on these fields.

74

## 75 **2. Stress and sociality networks in the vertebrate brain**

76 Monoaminergic systems modulate the activity of specific behavioural circuits which have been  
77 implicated in a plethora of functions, from cognition to emotional behaviour (Cools et al., 2007;  
78 Rogers, 2010). For vertebrates, a “social behaviour network” (SBN; Newman, 1999) has been  
79 proposed which overlaps a “mesolimbic reward system” to form a “social decision making  
80 network” (O’Connell & Hofmann, 2011a, 2011b, 2012). The SBN involves, in mammals, the lateral  
81 septum, extended medial amygdala, preoptic area/paraventricular nucleus (POA/PVN), anterior  
82 hypothalamus, ventromedial hypothalamus, and periaqueductal gray area (Figure 1). The SBN is  
83 involved in multiple forms of social behaviour, including sexual behaviour and courtship,  
84 aggression, and parental care, and its nodes are reciprocally and massively connected (Goodson,  
85 2005; O’Connell & Hofmann, 2011b). By definition, these nodes express sex hormone receptors  
86 (Forlano & Bass, 2011; O’Connell & Hofmann, 2011a, 2012). The mesolimbic reward system of  
87 mammals involves projections from the ventral tegmental area (VTA) to the nucleus accumbens,  
88 lateral septum, ventral pallidum, striatum, pallial amygdala, and hippocampus (Figure 1A). This  
89 latter circuit has been proposed to be involved in reward and/or reward seeking (Ikemoto &  
90 Panksepp, 1999b; Alcaro & Panksepp, 2011) by allowing the individual to evaluate the relative  
91 value and consequence of making choices among external stimuli, and by “mobilizing” goal-  
92 directed behaviour that directs the animal to important environmental resources.

93 In addition to its roles in reward and resource seeking, the mesolimbic system is also involved  
94 in coping and in the individual’s ability to adapt to chronic social stress (Kvetnansky et al., 2009;  
95 Trainor, 2011). Mice that mount active responses after social stress show increased excitability of

96 VTA neurons and associated brain-derived neurotrophic factor (BDNF) release in the nucleus  
97 accumbens (Krishnan et al., 2007). Mesolimbic DA has also been implicated in encoding predictors  
98 of aversive stimuli and forming operant associations as to avoid them (Ilango et al., 2012). Stress-  
99 induced increases in tonic levels of DA in the mesolimbic system have been implicated in  
100 supporting active coping responses – that is, responses that aim to remove and avoid stressors  
101 (Cabib & Puglisi-Allegra, 2012).

102 The latter examples also underline the role of these circuits in regulating responses to stressful  
103 and aversive stimuli. Indeed, another layer that could be added to the overlap between SBN and  
104 mesolimbic reward system is that of an “aversive behaviour network” (Misslin, 2003; Cezario et al.,  
105 2008; Panksepp, 2011; LeDoux, 2012a; Sternson, 2013; Canteras & Graeff, 2014; Andersen et al.,  
106 2016). This system is equivalent to the stress/anxiety/fear circuit. In mammals, this network consists  
107 of the septum, frontotemporal and striatal amygdaloid systems, periaqueductal gray area (PAG), and  
108 extensive and mutual projections with the hypothalamus-pituitary-adrenal axis (Figure 1). These  
109 structures are highly responsive to stressful and aversive stimuli, including social and non-social  
110 stressors, in a variety of species. In addition, this circuit selects appropriate defensive and stress  
111 coping responses as a function of threat probability (Fanselow & Lester, 1988; McNaughton &  
112 Corr, 2004a; Perusini & Fanselow, 2015). Part of this circuit comprises the fight/flight/freeze “fear”  
113 system that has been widely studied in behavioural neuroscience (Misslin, 2003; Panksepp, 2006).  
114 Another part of this circuit is associated with responses to uncertain threat, with important  
115 behavioural correlates of anxiety-like states (Davis, 2002; Gray & McNaughton, 2003;  
116 McNaughton & Corr, 2004a; Maximino, 2012). In theory, anxiety-like behaviour is triggered by  
117 uncertain threat, while fear-like behaviour is triggered by distal or proximate threat, i.e. clearly  
118 detectable aversive stimuli (Fanselow & Lester, 1988; Perusini & Fanselow, 2015). Whether or not,  
119 in fish, those responses are also segregated at the behavioural and neuroanatomical levels is still  
120 debated (Kalueff et al., 2012).

121

122 **2.1. A tale of homologies**

123 It is difficult to establish direct homologies between structures found in the SBN, the  
124 mesolimbic system, and the aversive behaviour network of amniotes and anamniotes (O'Connell &  
125 Hofmann, 2011a), to the point that Goodson & Kingsbury (2013) argued that the SBN is “not yet  
126 supported as a pan-vertebrate model”. One of the main reasons of that difficulty is that in teleosts,  
127 the developmental eversion of the telencephalon makes it very difficult to establish direct  
128 homologies on the basis of topology (Nieuwenhuys, 2011); moreover, the lack of cytoarchitectonic  
129 and hodological data on a variety of species also impairs judgments of homology. Numerous  
130 homologies that have been proposed for these regions in teleost fish are only partial (Goodson,  
131 2005; O'Connell & Hofmann, 2011b; Goodson & Kingsbury, 2013); and important structures (such  
132 as mesolimbic DAergic pathways) are absent in teleosts (Rink & Wullimann, 2001; Wullimann &  
133 Mueller, 2004; Maximino et al., 2015a). Based on topology, hodology, and expression of receptors  
134 for sexual hormones, O'Connell & Hofmann (2011b) proposed direct one-to-one homologs of the  
135 periaqueductal gray area and POA in fish, and the anterior and ventral tuberal regions as  
136 homologues for anterior and ventromedial hypothalamus, respectively; these structures would  
137 comprise the social behaviour network in fish. In the mesolimbic reward system, homologues have  
138 been proposed for the basolateral (pallial) amygdala (= dorsomedial telencephalon, Dm; Maximino  
139 et al., 2013); and hippocampus (= dorsolateral telencephalon, Dl; Demski, 2013). Subpallial  
140 structures in the mesolimbic reward system probably represent partial homologies, with the ventral  
141 telencephalon (Vd, Vv, Vc) presenting a pallidal portion and a striatal portion that are equivalent to  
142 the pallidum and striatum (including a subpallial amygdala), respectively (Ganz et al., 2012, 2014;  
143 Maximino et al., 2013a). Dopaminergic VTA-NAcc projections are central in the mesolimbic  
144 reward system, however, and, while no homologue of the VTA has been described in teleosts, a  
145 functional (analogical) equivalent is the ascending dopaminergic projection that originates in the  
146 posterior tuberculum (Rink & Wullimann, 2001, 2004; Tay et al., 2011). As a result, while the

147 defining projection does not appear to exist in teleosts, a mesolimbic reward system has been  
148 identified, with an analogue in the ascending projections of the posterior tuberculum. In relation to  
149 the aversive behaviour network, based on expression of ancillary markers, topology, and function, it  
150 has been proposed that the supracommissural subpallium (Vs) is a partial homologue of the  
151 mammalian extended amygdala, including the striatal component and the bed nucleus of the stria  
152 terminalis, while the dorsomedial telencephalon (Dm) is homologous to the frontotemporal  
153 component of the amygdala (Maximino et al., 2013a). Finally, the shared structures (bed nucleus of  
154 the stria terminalis, lateral septum) are partially homologized to the Vs and ventral (Vv) and lateral  
155 (Vl) parts of the ventral telencephalon, respectively (Moreno et al., 2009; Ganz et al., 2012). These  
156 homologies and analogies are summarized in Table 1 and Figure 1B.

## 158 **2.2 Monoaminergic innervation in teleosts**

159 These three circuits are heavily innervated by monoamines in all vertebrates (O'Connell &  
160 Hofmann, 2012). However, the anatomical organization of monoaminergic systems presents  
161 significant differences between teleosts and mammals (Kaslin & Panula, 2001; Herculano &  
162 Maximino, 2014; Maximino et al., 2015a, 2016). For example, the serotonin (5-HT) neurons in  
163 amniotes are restricted to the raphe nuclei (cluster 5-8), while anamniotes present four extra clusters  
164 (Lillesaar, 2011; Gaspar & Lillesaar, 2012; Cornide-Petronio et al., 2013; Herculano & Maximino,  
165 2014; López & González, 2014). Moreover, genomic events (the “fish-specific duplication event;  
166 Meyer & Van de Peer, 2005) resulted in duplication of most the synthesizing enzyme tryptophan  
167 hydroxylase, 5-HT receptors, the serotonin transporter, and the vesicular monoamine transporter in  
168 teleosts (Norton et al., 2008; Sourbron et al., 2016); similar changes were observed in the  
169 catecholaminergic systems, with duplication of the synthesizing enzyme tyrosine hydroxylase and  
170 most dopamine receptors (Yamamoto & Vernier, 2011). Teleosts also lack a mesolimbic DAergic  
171 system, as described above (Rink & Wullimann, 2001, 2004; Tay et al., 2011).

172 Teleosteans present pretectal and hypothalamic 5-HTergic clusters whose projections and  
173 function are poorly described (Lillesaar, 2011; Maximino et al., 2013c; Herculano & Maximino,  
174 2014). Nevertheless, one of the most well characterized teleosts in this respect is the zebrafish  
175 (*Danio rerio* Hamilton 1822). The axonal projections from the superior and inferior raphe of  
176 zebrafish have been described, with moderate to dense innervation of regions in the mesolimbic  
177 reward network, such as the Dl, Dm, Vv/Vl, and posterior tubercular area; low to moderate  
178 innervation of nodes in the SBN, including POA, tuberal regions and GC; and moderate innervation  
179 of regions in the aversive behaviour network, including Dm, Vs, and caudal hypothalamus  
180 (Lillesaar et al., 2009). Other regions which receive serotonergic innervation (Kaslin & Panula,  
181 2001) do not appear to be part of the SBN, aversive behaviour network, or mesolimbic reward  
182 systems.

183 Catecholaminergic projections have also been characterized in zebrafish (Rink & Wullimann,  
184 2001; Ma, 2003; McLean & Fetcho, 2004; Tay et al., 2011). The POA receives only weak local  
185 DAergic projections, and does not appear to receive noradrenergic projections in zebrafish larvae  
186 (Tay et al., 2011). In adult animals, low to moderate catecholaminergic innervation of regions of the  
187 SBN are found, with moderate innervation of regions in the aversive behaviour network and  
188 moderate to high innervation of regions in the mesolimbic reward system (Kaslin & Panula, 2001).  
189 A summary of this innervation patterns, as well as the homologies proposed for the teleostean brain,  
190 can be found in Table 1.

### 192 **3. The aversive behaviour network of fish: Modulation by 5-HT and DA**

193 Stress is an important risk factor in many diseases, including psychiatric disorders. In the latter  
194 case, stress is especially relevant to anxiety and mood disorders, as well as to trauma- and stressor-  
195 related disorders (Belzung & Lemoine, 2011). The neurocircuitry associated with these disorders is  
196 partially elucidated (Coplan & Lydiard, 1998; Etkin & Wager, 2007; Hartley & Phelps, 2009; Hayes



197 & Northoff, 2011; Jovanovic & Norrholm, 2011), and overlaps extensively with the aversive  
198 behaviour network (LeDoux, 2012b).

199 Defensive behaviours<sup>2</sup> have been explored in different fish species, including *Xiphophorus*  
200 *nigrensis* (Rosen 1960) (Ramsey et al., 2014), sticklebacks (*Gasterosteus aculeatus* L.) (Thompson  
201 et al., 2016), and guppies (*Poecilia reticulata* Peters 1859)(Maximino et al., 2010b). Nonetheless,  
202 zebrafish is the most widely studied species when it comes to responses to threatening and aversive  
203 stimuli (Jesuthasan & Mathuru, 2008; Maximino et al., 2010a; Kalueff et al., 2012; Gerlai, 2013).  
204 Two assays – the novel tank test (Egan et al., 2009) and the light/dark test (Maximino et al., 2010b)  
205 – are widely used in this regard, with good pharmacological validation and construct validity for  
206 both tests (Maximino et al., 2012; Kysil et al., 2017); in both cases, threat is merely potential, as no  
207 predator or partial predator stimuli are present. In the novel tank test, the novelty of the environment  
208 elicit bottom-dwelling (also termed a “diving” response) that is associated with erratic swimming  
209 and freezing, representing defensive behaviour in this assay (Egan et al., 2009). In the light/dark  
210 test, the preference for a black compartment over a white one, associated with risk assessment  
211 behaviours, erratic swimming, thigmotaxis, and freezing is interpreted as defensive behaviour  
212 (Maximino et al., 2010b). Moreover, a relationship between stress and behaviour in these tests is  
213 established, as both acute (Giacomini et al., 2016) and chronic (Chakravarty et al., 2013; Marcon et  
214 al., 2016) stress increases defensive behaviour in these assays, and exposure to the apparatuses  
215 induce cortisol levels (Kysil et al., 2017). A causal link between neuroendocrine and behavioural  
216 responses to stress has not been ascertained; since these are modulated by monoamines, these  
217 neurotransmitters could link both functions. However, as we will show, the behavioural roles of  
218 monoamines in unstressed animals are discordant from its functions in neuroendocrine responses,  
219 underlining the need for more thorough analyses at both the behavioural and the physiological  
220 levels.

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4 <sup>2</sup>The term “defensive behaviour” is used to refer to behavioural responses to threatening and aversive stimuli, and is  
5 thought to be mediated by the aversive behaviour network. The terms “anxiety-like behaviour” and “fear-like  
6 behaviour” are commonly used to refer to defensive behaviour in rodents, and increasingly being used to describe  
7 behavioural patterns in fish (especially zebrafish; cf. Kalueff et al. (2012) for a discussion). For the sake of clarity, the  
8 term “defensive behaviour” is used to refer to these tests and assays.

221

222 **3.1. Serotonin and the aversive behaviour network of zebrafish**

223 Some of the behavioural functions of the serotonergic system have been described in zebrafish  
224 (Herculano & Maximino, 2014). It has been proposed that serotonergic projections to the  
225 telencephalon compute the aversive expectation value necessary for the zebrafish to mount an  
226 active response to aversive stimuli (Amo et al., 2014). Consistent with that hypothesis, drugs which  
227 increase 5-HT levels in the zebrafish brain increase defensive behaviour in the light/dark test and  
228 decrease it in the novel tank test (Egan et al., 2009; Sackerman et al., 2010; Maximino et al., 2011,  
229 2013b, 2014a; Iturriaga-Vásquez et al., 2012; Kyzar et al., 2013; Stewart et al., 2013; Herculano &  
230 Maximino, 2014; Cheng et al., 2016). Moreover, there is a correlation between 5-HT levels in the  
231 extracellular fluid *ex vivo* and behaviour in the light/dark test, with higher levels associated with  
232 more defensive behaviour in the light/dark test and less defensive behaviour in the novel tank test  
233 (Maximino et al., 2013b).

234 A role for specific 5-HT receptors has also been proposed. In both the light/dark and novel tank  
235 tests, the 5-HT<sub>1A</sub> receptor antagonist WAY 100,635 decreases defensive behaviour (Maximino et al.,  
236 2013b); however, the antagonist p-MPPF *increases* anxiety-like behaviour in the novel tank test  
237 (Nowicki et al., 2014). Antagonists at 5-HT<sub>2</sub> and 5-HT<sub>3</sub> receptors were shown to increase defensive  
238 behaviour in the novel tank test (Nowicki et al., 2014), while 5-HT<sub>1B</sub> receptor antagonists decrease  
239 it (Maximino et al., 2013b; Nowicki et al., 2014).

240 These results suggested that serotonin has a dual role in controlling defensive behaviour in  
241 zebrafish, with opposite effects on the light/dark test and the novel tank test. These discrepancies  
242 could be due to differences in stimulus control in both tests: while white avoidance/dark preference  
243 in the light/dark test is controlled by an approach/avoidance conflict, bottom-dwelling/top  
244 avoidance in the novel tank test is controlled by escape from the top (Maximino et al., 2012). This  
245 stimulus control is reminiscent of Gray's theory on the difference between fear and anxiety (Gray &

246 McNaughton, 2000; McNaughton & Corr, 2004b), suggesting that 5-HT could have a differential  
247 role in fear vs. anxiety in zebrafish (as suggested, for mammals, by the Deakin/Graeff hypothesis;  
248 cf. Deakin & Graeff, 1991; Graeff et al., 1996; Paul et al., 2014). Alternative explanations have  
249 been proposed; for example, Stewart et al. (2013) suggested that the effects of 5-HT on the novel  
250 tank test are better explained as a “serotonin syndrome-like” phenotype. To test both hypotheses, a  
251 clearer threatening stimulus is needed, an example of which is the alarm substance, a “panicogenic”  
252 stimulus.

253 The alarm substance is produced by club cells of Ostariophysan fish; when these cells are  
254 damaged (by, for example, predator attack), the substance is released to the water, immediately  
255 producing a dramatic fear-like behaviour (von Frisch, 1938; Jesuthasan & Mathuru, 2008; Døving  
256 & Lastein, 2009). When zebrafish are exposed to this alarm substance and subsequently tested in  
257 the light/dark test, an increase in defensive behaviour is observed that is blocked by acute pre-  
258 treatment with fluoxetine (Maximino et al., 2014b). Interestingly, the same fluoxetine dose  
259 *increases* the same behaviour in this test when given to animals that were not exposed to alarm  
260 substance (Maximino et al., 2014b), suggesting that this drug is anxiogenic and panicolytic. Alarm  
261 substance also increases plasma levels of norepinephrine, epinephrine, and glucose, effects which  
262 were blocked by fluoxetine (Maximino et al., 2014b). Both behavioural and autonomic effects,  
263 however, were not blocked by treatment with WAY 100,635 (Maximino et al., 2014b); interestingly,  
264 when animals are exposed to the alarm substance during the novel tank test, WAY 100,635 and  
265 methysergide (a 5-HT<sub>2</sub> receptor antagonist) potentiate the effect of alarm substance (Nathan et al.,  
266 2015).

267 These results are in line with clinical data (Mortimore & Anderson, 2000; Graeff et al., 2001;  
268 Garcia-leal et al., 2014), as well as preclinical data on mammals (Pinheiro et al., 2007; Guimarães et  
269 al., 2010; Paul et al., 2014; Graeff, 2016). The participation of this monoamine in behavioural and  
270 neuroendocrine responses to stressors appears to be different, however. While it has long been  
271 shown that social stressors increase brain 5-HTergic activity in fish that is accompanied by

272 increased cortisol levels (Winberg & Nilsson, 1993), a causal role is more difficult to ascertain. 5-  
273 HT<sub>1A</sub> receptors expressed at all levels of the hypothalamus-pituitary-interrenal (HPI) axis of  
274 teleosts, but the mRNA levels in the preoptic region and the head kidney are 12- to 16-fold higher  
275 than in the pituitary (Norton et al., 2008; Lim et al., 2013). In goldfish (*Carassius auratus* L.) and  
276 Arctic charr (*Salvelinus alpinus* L.), 5-HT<sub>1A</sub> and 5-HT<sub>4</sub> receptor activation increase cortisol  
277 responses by acting directly in steroidogenic cells in the interrenals (Lim et al., 2013). However,  
278 these effects appear to be different in stressed animals, as fluoxetine blocks cortisol responses after  
279 chasing stress in zebrafish (de Abreu et al., 2014), and the 5-HT<sub>1A</sub> receptor agonist 8-OH-DPAT  
280 does the same in the Arctic charr (Höglund et al., 2002). Höglund et al. (2002) observed that fish  
281 receiving this drug with a permanent intraperitoneal catheter, thus decreasing the stress of injection,  
282 showed increased cortisol and adrenocorticotrophic hormone (ACTH) levels, while animals which  
283 received (stressful) intraperitoneal injections responded with decreased plasma cortisol and ACTH  
284 levels. Similarly, 8-OH-DPAT increases cortisol levels in catheterized rainbow trout (*Oncorhynchus*  
285 *mykiss* Walbaum 1792) (Winberg et al., 1997). Thus, it looks as if 5-HT phasically increases basal  
286 cortisol levels but decreases cortisol responses to stressors, as well as behavioural and physiological  
287 responses to stress.

288 There are some methodological issues in mapping behavioural and neuroendocrine roles for 5-  
289 HT in stress, as well. One of them regards concerns the post-stress time intervals chosen for testing.  
290 Fluoxetine blocks the increases in defensive behaviour in the novel tank test that are observed 2 min  
291 after chasing stress (Giacomini et al., 2016). However, peak levels of whole-body cortisol are  
292 observed 15 min after stress (de Abreu et al., 2014), an effect that is also blocked by fluoxetine. If  
293 stress-induced cortisol responses were causally related to the pro-defensive effect of stress, the  
294 temporal order of these effects should be inverted. As it stands, it appears that serotonin phasically  
295 inhibits both behavioural and neuroendocrine effects of stress independently.

### 3.2. Dopamine and the aversive behaviour network of zebrafish

Similarly to the serotonergic system, a plethora of differences can be found in the dopaminergic system of teleosts in relation to mammals. As described above, important neuroanatomical (absence of the A9/mesolimbic projection) and genomic (duplication of tyrosine hydroxylase and of some receptors) differences exist between teleosts and mammals, and many of these differences are plesiomorphic in Gnathostomata (Yamamoto & Vernier, 2011). Some roles for dopamine receptors have been described in zebrafish defensive behaviour. Treatment with the dopamine transporter blocker D-amphetamine increases defensive behaviour in the novel tank test without apparent locomotor effects (Kyzar et al., 2013). Similarly, the D<sub>1</sub> receptor antagonist SCH 23390 decreases defensive behaviour (Kacprzak et al., 2017) and reduces social preference (Scerbina et al., 2012) in zebrafish. A developmental role for catecholamines is also suggested by experiments with morpholino knockdown of the tyrosine hydroxylase-coding gene *th1*, which decreases defensive behaviour when the animal reaches adulthood (Formella et al., 2012). Moreover, dopamine transporter-null zebrafish are more sensitive to the D<sub>2</sub>/D<sub>3</sub> receptor antagonist sulpiride (Kacprzak et al., 2017).

There is also some evidence for a role of dopamine receptors in behavioural and neuroendocrine stress responses, although they are much less developed than in the case of serotonin. Stress induces dopaminergic activity in the brain of tilapia *Oreochromis mossambicus* (Peters 1852) (Chabbi & Ganesh, 2015). Risperidone, which acts as an antagonist at dopamine D<sub>2</sub> and serotonin 5-HT<sub>2A</sub> receptors, blocks stress-induced cortisol increases in zebrafish, without apparent behavioural effects (Idalencio et al., 2015). The tyrosine hydroxylase blocker  $\alpha$ -methyltyrosine produces a similar neuroendocrine effect (Idalencio et al., 2017). Differently from serotonin, then, catecholamines appear to have concordant effects on basal defensive behaviour and on neuroendocrine responses to stress in zebrafish, promoting stress-induced cortisol release.

321 In both the case of 5-HT and catecholamines, the assumption of anatomical and neurochemical  
322 conservation in zebrafish (in relation to mammals) is not fully supported by the data; in fact, the  
323 most parsimonious interpretation is that the mammalian state is derivative (Parent, 1984; Yamamoto  
324 & Vernier, 2011; Herculano & Maximino, 2014; Maximino et al., 2015a). The paradox, however, is  
325 that, at least in the case of some roles of monoamines in the aversive behaviour network, *function*  
326 appears to be conserved instead of neuroanatomy and genetics (Herculano & Maximino, 2014;  
327 Maximino et al., 2016). Questions remain on whether this conservation of function can be explained  
328 at the molecular level – that is, if active sites from duplicated proteins are conserved, or if their  
329 function is duplicated.

### 331 3.3. Coping mechanisms and monoamines in fish

332 While these responses to stressful manipulations appear to differentiate between the  
333 neuroendocrine and behavioural roles of 5-HT (but not of catecholamines) in zebrafish, there is a  
334 potential confounding variable that has not been accounted for: coping. While many different  
335 definitions exist for the term, “coping” usually refers to coherent and stable sets of individual  
336 behavioural and physiological differences in responses to stressors. Coping styles are a result of  
337 individual differences in perceiving and reacting to the environment. From an eco-physiological  
338 point of view, coping styles fundamentally affect the robustness of individuals to challenges such as  
339 stress and diseases (Koolhaas et al., 1999; Réale et al., 2007; Coppens et al., 2010; Vindas et al.,  
340 2017). behavioural and physiological differences prompted classifying animals into “proactive” and  
341 “reactive” coping styles, with the first describing individuals which are “bolder” (which can mean  
342 lower anxiety and/or increased impulsivity), more aggressive, dominant, and less flexible to  
343 fluctuations in the environment, and the second describing individuals which are “shyer”, less  
344 aggressive, usually submissive, and more flexible to fluctuations (Øverli et al., 2007; Coppens et al.,  
345 2010). In outbred populations, however, there is consistent evidence (e.g., Frost et al., 2007, 2013;

346 Thomson et al., 2012, 2016) that bold rainbow trout are more flexible than shy fish. These  
347 discrepancies suggest that the reduced flexibility in bold individuals results from inbreeding and/or  
348 artificial selection, and is rare in the wild.

349 Neuroendocrine responses usually vary between proactive and reactive individuals. For  
350 example, it has been suggested that proactive individuals show low basal stress axis activity and  
351 less prominent cortisol responses to stress, with higher sympathetic responses to challenges  
352 (Koolhaas et al., 1999). For example, Pottinger & Carrick (1999) selected rainbow trout  
353 (*Oncorhynchus mykiss*) selected for responsiveness of the HPI axis by assessing cortisol responses  
354 to repeated confinement stress, and selectively breeding animals at extremes of the endocrine  
355 response. These lines show divergent behavioural profiles, with high responding (HR) fish more  
356 frequently becoming subordinate (Øverli et al., 2005), habituating more slowly to transfer to a new  
357 tank (Øverli et al., 2005; Ruiz-Gomez et al., 2008), showing more behavioural arousal after the  
358 introduction of an intruder (Øverli et al., 2005) and more attacks to the intruder (Schjolden et al.,  
359 2005a) than low responding (LR) fish. Interestingly, differences were also observed in the intestinal  
360 mucosal barrier: Rosengren et al. (2017) identified high responding trout in an ordinary hatchery  
361 population that show lower intestinal permeability during basal conditions, but this was reversed  
362 after stress. Thus, it appears that HR trout show a reactive coping style, while LR trout show a  
363 proactive style.

364 The notion that coping styles are causally related to cortisol levels, however, has been disputed  
365 many times (Øverli et al., 2007; Koolhaas et al., 2010). In juvenile rainbow trout, a mild  
366 environmental stressor (exposure to an unfamiliar environment) produces consistent individual  
367 differences in cortisol responses, with some animals showing high reactivity and other showing low  
368 reactivity (Schjolden et al., 2005b). Moreover, individual differences in aggression in a resident-  
369 intruder context and speed of recovery after social isolation were also observed; however, these  
370 behavioural differences, while consistent over time and contexts, did not correlate with the  
371 individual differences in cortisol responsiveness (Schjolden et al., 2005b). In zebrafish larvae,

372 proactive animals (selected on the basis of latency to emerge into a novel well-lit environment)  
373 show higher cortisol levels after netting stress, but faster recovery (Tudorache et al., 2015). These  
374 observations might be restricted to larvae, however, as adult proactive animals do not show more  
375 cortisol after stress, although their recovery is faster (Tudorache et al., 2013).

376 In zebrafish, proactive vs. reactive coping is usually assessed at the behavioural level, because  
377 the size of the animal impairs cortisol analysis without euthanasia. A “boldness-aggression  
378 syndrome” is sometimes identified in zebrafish that is reminiscent to the proactive-reactive  
379 dimension, with a correlation between aggression and boldness at the population level (Wright et  
380 al., 2003; Moretz et al., 2007; Dahlbom et al., 2011; Norton et al., 2011). Animals selected for 5  
381 generations on the basis of position on the tank (bold animals were defined by higher position in the  
382 tank in relation to shy animals) did not differ in terms of cortisol levels; however, shy animals had  
383 higher expression of the  $11\beta$ -hydroxysteroid dehydrogenase-coding gene *11b-hsd*, the  
384 glucocorticoid receptor-coding genes *gr-a* and *gr-b*, the corticotropin releasing factor-coding gene  
385 *crf*, and the brain-derived neurotrophic factor-coding gene *bdnf* in relation to bold animals (Oswald  
386 et al., 2013). It should be noted, however, that it is yet to be addressed whether these bold/shy  
387 animals correspond to proactive/reactive coping styles.

388 Zebrafish selected for low vs. high stationary behaviour (LSB vs. HSB), which have been  
389 argued to exhibit characteristics of proactive and reactive coping styles, respectively, show  
390 interesting behavioural and transcriptomic differences (Wong et al., 2012, 2015). LSB animals  
391 display less anxiety-like behaviour in the novel tank test and light/dark test, a lower fear-like  
392 behaviour during alarm substance exposure, lower latency to feed after a disturbance, and a higher  
393 probability of orienting towards a human observer than HSB animals (Wong et al., 2012). 62 genes  
394 were found to be upregulated in the brains of proactive (LSB) animals, including genes involved in  
395 the biosynthesis and metabolism of organic acids, carboxylic acids, and fatty acids (Wong et al.,  
396 2015). The authors suggested that these differences could be related to dealing with oxidative stress  
397 in the brain. Moreover, stationary behaviour was positively correlated, in LSB animals, with the



398 expression of the methylsterol monooxygenase-coding gene *msmo1* and 11 $\beta$ -hydroxysteroid  
399 dehydrogenase-coding gene *hsd11b2*, and negatively correlated with *gabbr1a* expression, a gene  
400 which codes for the GABA<sub>B</sub> receptor.

401 As described above, there is some evidence for a role of the mesolimbic reward system on  
402 coping styles in vertebrates – especially in coping with chronic stress (Kvetnansky et al., 2009;  
403 Trainor, 2011). There are some suggestions that monoamines participate in these coping responses  
404 (Coppens et al., 2010; Koolhaas et al., 2010). Telencephalic levels of *mra* (mineralocorticoid  
405 receptor A), *slc6a4b* (serotonin transporter B), and *htr1ab* (5-HT<sub>1AB</sub> receptor) are higher in HR trout  
406 (Rosengren et al., 2017). Likewise, *spiegeldanio* zebrafish – which show increased aggression,  
407 exploration, and boldness (i.e., proactive coping) – show higher levels of *slc6a4a* (serotonin  
408 transporter A) in the raphe nucleus (Norton et al., 2011); this does not appear to be causal,  
409 however, since acute treatment with a serotonin transporter inhibitor does not rescue the  
410 behavioural differences. In Atlantic salmon (*Salmo salar* L.) that escaped an imposed hypoxia by  
411 swimming into an adjacent normoxic tank (proactive coping) showed lower DA and DOPAC levels  
412 in the Dl than reactive animals (i.e., animals which did not escape hypoxia) (Vindas et al., 2017).  
413 While 5-HIAA levels were identical between reactive and proactive animals, it increased in the Dm  
414 of proactive animals after stress (Vindas et al., 2017). These later effects might be related to the 5-  
415 HT<sub>1A</sub> receptor, as proactive animals had higher levels of *htr1aa* (5-HT<sub>1AA</sub> receptor) and *htr1ab* (5-  
416 HT<sub>1AB</sub> receptor) mRNA levels in the Dm than reactive animals (Vindas et al., 2017); while  
417 differences in *crf* and *crfbp* (CRF binding protein) were not observed, proactive animals had higher  
418 levels of *crhr1* (CRF receptor 1) in the Dl (Vindas et al., 2017). Reactive individuals also showed  
419 higher levels of the neural proliferation marker *pcna* (proliferating cell nuclear antigen) in the Dl  
420 (Vindas et al., 2017). This suggests that proactive fish are characterized by a stress-induced increase  
421 in 5-HT signaling in the Dm and lower DAergic neurotransmission in the Dl.

422 In conclusion, coping styles appear to be a promising avenue of investigation that could solve  
423 the paradox of a dissociation between neuroendocrine and behavioural roles of monoamines in fish.

424 A more thorough operational definition of coping is still needed, to underline discrepancies between  
425 results from experimental evolution experiments and tests assessing inter-individual differences, as  
426 well as between experiments that select on the basis of behaviour and cortisol responses.  
427 Nonetheless, the research program carries the potential to suggest solutions linking behavioural and  
428 neuroendocrine functions of these amines.

429

#### 430 **4. Shoaling and the dopaminergic system in zebrafish**

431 The last common ancestor of modern teleosts (bony fishes) and mammals lived about 400  
432 million years ago. Despite this long period of time, the zebrafish has turned out to possess numerous  
433 evolutionarily conserved features (Gerlai, 2014), and has been proposed for the modelling and  
434 analysis of more complex human neuropsychiatric and neurodevelopmental brain disorders (Gerlai,  
435 2010, 2012; Kalueff et al., 2014). A number of such human disorders, albeit mechanistically and  
436 causally perhaps unrelated, are characterized by abnormal social behaviour. For example, symptoms  
437 and/or diagnostic criteria of Autism Spectrum Disorders (ASD), schizophrenia or fetal alcohol  
438 spectrum disorders (FASD) all contain some form or level of social behaviour abnormality (Gillberg  
439 et al., 1996; Greenbaum et al., 2009; Hoertnagl & Hofer, 2014). These disorders represent  
440 substantial unmet medical needs mostly because their mechanisms and/or causes are poorly  
441 understood, and thus development of proper treatments has been difficult.

442 The zebrafish has been proposed to model such disorders to facilitate discovery of their  
443 mechanisms and development of treatment (Kalueff et al., 2014; Stewart et al., 2015; Shams et al.,  
444 2018). However, this type of research suffers from an inherent paradox: in order for one to properly  
445 model the chosen human disorder, one has to first know its mechanism, the latter being the reason  
446 why the disease model would be created at the first place. Breaking through this conundrum, similar  
447 to what is described in the novel *Catch 22* by Joseph Heller, is not an easy task. One way to start the  
448 process is to focus on phenotypical features (face validity of the model), and subsequently test

449 whether these features have similar mechanistic underpinnings (construct validity of the model).  
450 For example, social behaviour in humans, although a lot more sophisticated and complex than in  
451 zebrafish, may share common mechanisms with social behaviour in fish (Oliveira, 2013). For one to  
452 model a human disorder with abnormal social behaviour, one first needs to understand unaltered  
453 “normal” social behaviour in the chosen model organism. Thus, studying zebrafish social behaviour  
454 and its mechanisms, may allow to eventually identify underlying mechanisms common to human  
455 and fish, and to start the modeling and analysis of human disorders associated with abnormal social  
456 behavioural responses.

457 In this section, we describe the first steps of this research line. First, we will discuss how one  
458 can induce and measure social behaviour in zebrafish. Next, we will examine a potential mechanism  
459 that may underlie social behaviour in mammals and fish, a proof of concept analysis. Last, we will  
460 present an experimental example on how one can utilize the analysis of social behaviour of  
461 zebrafish and the knowledge we gained about its mechanism in an empirical model of a human  
462 disorder, fetal alcohol spectrum disorder.

463

#### 464 **4.1. Zebrafish social behaviour**

465 Although a small and simple vertebrate, the zebrafish possesses a sophisticated social  
466 behavioural repertoire. Detailed description of this repertoire is beyond the scope of this review, but  
467 briefly, zebrafish have an elaborate courtship display/spawning behaviour, show transient  
468 territoriality, exhibit numerous agonistic behaviours, and most importantly shoal, the focus of the  
469 current review (Darrow & Harris, 2004; Miller & Gerlai, 2007, 2011; Spence et al., 2008;  
470 Suriyampola et al., 2016; Teles & Oliveira, 2016). Shoaling is a form of group forming, or  
471 aggregation behaviour, in which subjects stay in close proximity to each other. Fish in a shoal stay  
472 in a relatively well-defined distance from each other. Shoaling is a dynamic behaviour in which  
473 shoal members monitor each other and constantly adjust their position relative to each other. This  
474 dynamism translates to rapid oscillation of shoal cohesion (Miller & Gerlai, 2008), a short time

475 scale (tenth of a second to a second) change. Shoal cohesion also changes on a longer time scale  
476 (hours to days). For example, when fish habituate to a novel environment shoal cohesion gradually  
477 decreases (Miller & Gerlai, 2007). Whereas when a predator approaches, shoal cohesion is rapidly  
478 broken (escape reaction), which is followed by a robust tightening of the shoal, increase of shoal  
479 cohesion (Miller & Gerlai, 2007; Speedie & Gerlai, 2008). The strength of shoaling also changes  
480 (increases) as zebrafish develop (Buske & Gerlai, 2011). Another dynamic feature of the shoal is its  
481 polarization, i.e. its synchronized movement direction. In case of synchronized movement, the shoal  
482 is called a school, and the behaviour is called schooling. A recent study confirmed that, as suspected  
483 based upon anecdotal accounts, zebrafish group forming is bimodal: fish either shoal (unpolarized  
484 aggregate of shoal members moving in an asynchronous manner), or school, polarized group in  
485 which members move in synchrony, i.e. in the same direction (Miller & Gerlai, 2012).

486

#### 487 **4.2. Induction and quantification of shoaling**

488 Shoaling is an inherent feature of the zebrafish, a behaviour that can be observed in nature, and  
489 can be easily induced and quantified in the laboratory. There are two distinct ways with which  
490 shoaling may be induced. One is to allow a group of zebrafish to swim freely in their test tank, the  
491 other is to present the single experimental fish with social stimuli. First, we discuss the former.

492 Shoaling is defined as forming a group of 3 or more individuals. The distance among shoal  
493 members is relatively stable. What constitutes an ideal, or usual, or natural, shoal size has started to  
494 be empirically investigated only recently, but in nature shoals containing only a few to several  
495 hundred zebrafish have been described (Fernandes et al., 2015b).

496 Shoal cohesion of freely moving zebrafish groups can be measured using video-tracking  
497 systems that can quantify distances among the fish. Two of the most frequently employed measures  
498 to quantify shoal cohesion have been the inter-individual distance, Delaunay distance, or the nearest  
499 neighbour distance (Miller & Gerlai, 2007; Saverino & Gerlai, 2008; Lima et al., 2016). The first  
500 two are the average of all distances between the focal fish and its shoal members (inter-individual

501 distance) or between all shoal members (Delaunay distance). The latter is the distance between the  
502 focal fish and another shoal member closest to it. Each measure has some advantages and  
503 disadvantages. Inter-individual distance utilizes all distances one can measure, and thus it does not  
504 suffer from loss of information, unlike the nearest neighbour distance. But the value of inter-  
505 individual distance is dependent upon the size of the shoal, whereas the value of nearest neighbour  
506 is not. Thus, as long as the same number of shoal members are used in experimental analyses,  
507 interindividual distance is the recommended measure. Irrespective of which measure one uses, the  
508 problem with using live shoals to induce and measure shoaling is that behaviour of the shoal is  
509 dependent upon all shoal members: fish in the shoal interact, and this dynamism may complicate  
510 interpretation of results.

511 The second way to induce and evaluate shoaling responses in zebrafish is to present social  
512 stimuli (live, or computer animated images of, conspecifics) to a single experimental subject  
513 (Saverino & Gerlai, 2008; Fernandes & Gerlai, 2009; Qin et al., 2014). A single experimental  
514 subject in a novel test tank is highly motivated to join the shoal, thus upon presentation of the social  
515 stimuli, it usually approaches the stimuli and stays in close proximity of the stimuli. This response  
516 is simple to quantify using video-tracking by measuring the distance between the test fish and the  
517 stimulus presentation tank or computer screen. Furthermore, computer animated images can be  
518 experimentally controlled and will remain consistent across test sessions. This reduces experimental  
519 error variation and contributes to enhanced replicability of results (Gerlai, 2018). Further using this  
520 method, one can monitor the behaviour of a single subject, which allows identification of mutation  
521 or drug induced changes more precisely than when measuring interactions among multiple shoal  
522 members.

523 The question whether animated conspecific images are equivalent to live, moving and  
524 interactive, conspecifics has been addressed in a recent study, which compared the effect of live  
525 conspecifics inside the test tank (cues of all modalities available, stimulus fish interacting), live  
526 conspecifics outside the test tank (only visual cues available, stimulus fish interacting), live

527 stimulus fish video-taped and the recording replayed (only visual cues available, stimulus fish not  
528 interacting, but move in 3D), computer animated images (only visual cues available, stimulus fish  
529 not interacting, and move in 2D) using two different software applications were presented (Qin et  
530 al., 2014). The results indicated that experimental zebrafish responded equally well to all these  
531 stimuli, i.e., interaction with conspecifics, 3D movement, and cues other than visual were found not  
532 necessary to induce maximal shoaling responses, as defined by the distance between test fish and  
533 the stimulus, in zebrafish (Qin et al., 2014). In summary, presentation of animated conspecifics is a  
534 reliable, and consistently controllable stimulus that induces a robust shoaling response that lasts as  
535 long as the stimulus is presented.

536 Experiments exploring what may be the “Platonic” essence of “zebrafishness”, i.e. what  
537 specific aspects of the shoaling stimulus zebrafish are sensitive to, has also started to be explored  
538 (Saverino & Gerlai, 2008; Gerlai, 2017). For example, zebrafish have been found to be sensitive to  
539 certain cues, while ignore others, when making decisions about whether the stimulus is a shoal-mate  
540 or not. Rectangles moving with the same speed as live zebrafish and occupying the same overall  
541 area on the screen as the image of an adult zebrafish and containing scrambled pixels (overall  
542 matching color to that of a zebrafish) do not induce a shoaling response (Saif et al., 2013a).  
543 Although such moving objects elicit an exploratory approach, the experimental subject quickly  
544 moves away from them. On the other hand, in response to a realistic moving image of a zebrafish,  
545 the experimental zebrafish not only approaches, but also stays in close proximity of the stimulus.  
546 Altering the stripe pattern (vertical vs horizontal stripes, or no stripes at all) makes no difference in  
547 the effectiveness of the stimulus. But elongating the stimulus, while keeping its overall surface area  
548 constant induces avoidance. Making the stimulus more yellow enhances the shoaling response  
549 compared to what a normal (wild type) image of conspecific would induce (Saverino & Gerlai,  
550 2008). In summary, computerized presentation of animated conspecifics is a precisely controlled  
551 and reliable way with which shoaling may be induced and with which the importance of particular  
552 aspects of the social stimulus may be dissected. After achieving robust induction and precise

553 quantification of behaviour, one may be able to explore the biological mechanism underlying the  
554 behaviour. What are the mechanisms of shoaling in zebrafish?

555

### 556 **4.3. Mechanisms of shoaling**

557 Likely, shoaling is under the control of, or influenced by, many neurobiological mechanisms,  
558 brain areas, neuronal circuits, biochemical pathways and molecular targets. Where should one begin  
559 unrevealing such complexity? Systematic analysis of this question would require labor intensive  
560 screening of drug targets, mutations, genome wide gene expression changes, and or mapping of  
561 gene expression or other neuronal activity related phenotypes in the brain. While ultimately such  
562 studies must be conducted, we decided to start instead with a relatively simple proof of concept  
563 analysis. That is, we picked a single mechanism, one target, and explored whether it is involved in  
564 shoaling. The target was the dopaminergic system.

565 We chose the dopaminergic system as our focus for two main reasons. One, we observed that  
566 zebrafish is highly motivated to join shoals. That is, we found social stimuli (sight of conspecifics)  
567 to be able to serve as an Unconditioned Stimulus (US), a reward, in learning tasks employed for  
568 zebrafish (Al-Imari & Gerlai, 2008). Two, the dopaminergic system has been shown to be involved  
569 in reward/reinforcement in mammals (Ikemoto & Panksepp, 1999a; Ikemoto, 2010). We assumed  
570 that observing, approaching and/or joining a shoal is a rewarding experience for the zebrafish, one  
571 which engages the dopaminergic system. This idea is supported by the notion of the intersection  
572 between “social behaviour network” (SBN) and the “mesolimbic reward system” (O’Connell &  
573 Hofmann, 2011b).

574

### 575 **4.4. The dopaminergic system and shoaling**

576 The above described assumption turned out to be correct. Using HPLC, neurochemical  
577 responses to the presentation of conspecific images were quantified, and the authors found that the  
578 images induced a robust increase of the level of dopamine and the dopamine metabolite DOPAC,

579 indicating elevated dopamine production (dopamine levels) as well as increased dopamine release  
580 (elevated DOPAC levels) (Saif et al., 2013a). The results also indicated that the strength of the  
581 dopaminergic response was not linearly correlated with the length of stimulus presentation, a  
582 temporal trajectory that suggested that it was the appearance not the constant presence of the social  
583 stimuli that triggered the elevated dopaminergic response. It is also important to note that the  
584 increased dopaminergic response was found to be specific, i.e. other neurotransmitter systems, e.g.  
585 the serotonergic system, were found not to respond to the social stimuli.

586 Another independent piece of evidence suggesting the involvement of the dopaminergic system  
587 in shoaling came from a psychopharmacology analysis. A D1 dopamine receptor antagonist was  
588 found to dose dependently disrupt shoaling (Scerbina et al., 2012) without altering motor function  
589 or perception (but see (Echevarria et al., 2008). 5-HT<sub>2</sub>ergic signalling has also been implicated, as a  
590 5-HT<sub>1A</sub> receptor agonist promotes shoaling (Barba-Escobedo & Gould, 2012). Furthermore, strong  
591 correlation between developmental changes in dopamine levels (relative to total brain protein) and  
592 the strength of shoaling during ontogenesis of zebrafish was also demonstrated (Buske & Gerlai,  
593 2011). Last, Mahabir et al. (2013) found alcohol administered during embryonic development to  
594 significantly impair both shoaling and the dopaminergic system, a result that brings up the last point  
595 to be discussed in this section: how one can utilize the knowledge one has gained about social  
596 behaviour of zebrafish in modelling and the analysis of a human CNS disorder.

597

#### 598 **4.5. Fetal Alcohol Spectrum Disorders: Zebrafish as a potential model system**

599 Despite the clear and known adverse effects of alcohol on the developing fetus, pregnant  
600 women continue to consume this substance. Fetal Alcohol Spectrum Disorders (FASD) still occur  
601 in high frequency (about 1% of live births) and represent the largest number of patients suffering  
602 from preventable mental retardation (Lange et al., 2017). FASD means a lifelong suffering for the  
603 patient and his/her family and caregivers. The societal burden of FASD in terms of lost productivity  
604 and health care costs is also enormous (Popova et al., 2016). There is no cure, nor even appropriate



605 treatment for the disease, mainly because the neurodevelopmental and functional changes resulting  
606 from exposure of the embryo to alcohol are poorly understood. The zebrafish has been suggested as  
607 a potentially useful tool or model organism for uncovering the effects and mechanisms of  
608 embryonic alcohol exposure (Seguin & Gerlai, 2018). Earlier studies utilized high concentrations of  
609 alcohol administered for prolonged period of time during embryonic development of the zebrafish  
610 and indeed found abnormalities resulting from this treatment that appeared similar to what has been  
611 reported for the most severe forms of FASD in humans (Arenzana et al., 2006). We attempted to  
612 model/mimic a less severe form of the disease, one which is most prevalent among FASD patients.  
613 We employed only low concentrations of alcohol and administered the substance solely for a short  
614 period of time during embryonic development of zebrafish (Fernandes & Gerlai, 2009). The low  
615 concentrations ranged between 0.25 and 1.00 % (vol/vol %) external bath concentration. We  
616 emphasize that these concentrations are of the external bath, into which the zebrafish eggs (with the  
617 embryo inside the egg developing) were immersed. It is notable that if these alcohol concentrations  
618 were blood alcohol levels, they would be certainly lethal. However, the chorion (the eggshell) of the  
619 zebrafish egg protects the embryo and, according to our own findings, allowed only 1/25<sup>th</sup> of the  
620 external concentration to of alcohol to enter the egg (Fernandes & Gerlai, 2009). In other words, the  
621 actual alcohol concentration that reached the brain of the developing zebrafish embryo was below  
622 of the legal limit of blood alcohol level for driving in North America, i.e. less than 0.08 %.

623 Phenotyping of drug and mutation effects requires a thorough and systematic analysis (Gerlai,  
624 2002). We tested many aspects of the behaviour of the embryonic alcohol exposed fish, including  
625 their motor function, perception, fear and anxiety, and found no significant alterations. The treated  
626 fish appeared to develop normally, looked healthy, and suffered from no obvious defects. However,  
627 one test did reveal a robust change. Fish exposed to alcohol at their 24<sup>th</sup> hour post-fertilization  
628 developmental stage for 2 hours exhibited impaired shoaling responses when tested 6 months later,  
629 i.e. at their fully grown adult stage. Furthermore, the alcohol effect was found highly dose  
630 dependent (Fernandes & Gerlai, 2009). Fish exposed to 0.25% alcohol showed a modest but

631 significant impairment in shoaling, 0.5% and 0.75% alcohol exposed fish showed a stronger  
632 impairment in shoaling, and 1% alcohol exposed fish showed such robust impairment that their  
633 response to social stimuli was statistically indistinguishable from chance, i.e. they exhibited no  
634 shoaling at all (Fernandes & Gerlai, 2009).

635 Interestingly, the impaired shoaling response was found to be accompanied by altered  
636 dopaminergic function. When isolated for 24 hours, fish of all groups, i.e. both control and  
637 embryonic alcohol treated fish showed similar baseline dopamine and DOPAC levels. However,  
638 upon presentation with social stimuli (animated images of zebrafish), control fish robustly increased  
639 their dopamine and DOPAC levels, but fish treated with 0.5% and 1.0% alcohol during their  
640 embryonic development did not respond to these stimuli at all. i.e. exhibited no change in their  
641 dopamine and DOPAC levels (Fernandes et al., 2015).

642 The strong correlation between the blunted or abolished behavioural and neurochemical  
643 responses to social stimuli is highly suggestive, but the question of how embryonic alcohol may  
644 have impaired the development of dopaminergic system remains unanswered. Alcohol is known to  
645 enhance apoptotic cell death. In zebrafish, using tunnel staining, we have found evidence that  
646 embryonic alcohol treatment results in elevated number of apoptotic neurons in the developing  
647 zebrafish brain. Furthermore, we have also found increased expression of Bax in the brain, a pro-  
648 apoptotic protein whose level we quantified using Western blot (Mahabir, Chatterjee, Gerlai,  
649 unpublished results). Whether these changes directly affected the development of dopaminergic  
650 neurons, or whether other neurons connecting to, or mediating the activity of, the dopaminergic  
651 neurotransmitter system have been affected is unknown at this point.

652 Although clearly at the early stages of model development, the zebrafish mild embryonic  
653 alcohol exposure model already showed good face and construct validity. Whether the model will  
654 be useful for unraveling the potentially complex and target rich mechanisms underlying fetal  
655 alcohol spectrum disorders remains to be seen. Similarly, whether the model will turn out to have

656 predictive validity, i.e. treatments, e.g. pharmacotherapeutic applications, would work the same way  
657 in the zebrafish and humans, is also an open question.

658 Nevertheless, the past decade of behavioural neuroscience research conducted with the  
659 zebrafish suggests this small teleost will continue to make headway in biomedical research, and  
660 may enhance our ability to model and mechanistically analyze human central nervous system  
661 disorders.

662

## 663 **5. Stress, monoamines and cooperation: Insights from the cleaner fishes**

664 This section explores the proximate and behavioural links between stress, monoamines and co-  
665 operation in fish, aiming specifically at the cleanerfish system. Marine cleaning interactions  
666 between varied species have long been considered as textbook examples of mutualistic cooperation  
667 (Trivers, 1971; Cushman & Beattie, 1991; Vaughan et al., 2016). By definition, cleaners are usually  
668 small fishes and shrimp that inspect the body surface, the gill chambers and mouth of other visiting  
669 larger fishes, known as clients, in search of ectoparasites, mucus and dead or diseased tissue (Côté,  
670 2000). These cleaners are found at specific sites or territories known as cleaning stations which cli-  
671 ents actively visit, several times a day and sometimes repeatedly to the same cleaner (Grutter, 1995;  
672 Bshary & Côté, 2008). For instance, the Indo-pacific cleaner wrasse *Labroides dimidiatus* (Valen-  
673 ciennes 1839) is able to engage in thousands of interactions a day and may feed on more than 1200  
674 “clients” daily (Grutter, 1999). The behaviour of these cleaners has been described in detail over the  
675 last few decades (Bshary & Côté, 2008; Soares, 2017; Soares et al., 2017c), which deemed them to  
676 be appropriate for developing and testing new paradigms on the proximate mechanisms that render  
677 altruistic behaviour as psychologically rewarding (Soares, 2017).

678

### 679 **5.1. Stress mediation of cleaning behaviour: fine-tuning cleaners’ performance**

680 One of the most notable behaviours by these animals, is the entering of predators' mouths  
681 (while cleaning), a behaviour that has been interpreted as altruistic on behalf of the clients that may  
682 simply eat the cleaner (Trivers, 1971). This seemingly fearless behaviour became a paradoxical fea-  
683 ture of cleaners' proactivity and 'gutsy' cooperative behaviour but also of putative anxiety and  
684 stress control.

685 Indeed, cleaners change behaviour crucially when dealing with piscivorous clients, that is, they  
686 seem to have evolved behavioural strategies that enable them to remain safe despite putting them-  
687 selves at risk. For instance: field observations showed that cleaning gobies do clean preferentially  
688 clients with more parasites but also that both predatory and non-predatory clients usually harbour  
689 similar ectoparasite loads; nevertheless, predators are attended immediately upon arrival at cleaning  
690 stations (Soares et al., 2007). On the other hand, cleaner wrasses are known to start any interaction  
691 with predators with the exclusive provision of tactile stimulation (also known as 'massages' – clean-  
692 ers touch clients with their pectoral and pelvic fins; a behaviour that is incompatible with foraging),  
693 particularly when inspecting hungry piscivores (Bshary & Würth, 2001; Grutter, 2004). This raised  
694 questions regarding cleaners' appraisal of fear, or if these fish could be suffering from a kind of  
695 "heterospecific boldness syndrome (HBS)" which would enable them to happily deal with danger-  
696 ous clients. This hypothesis (HBS) was later refuted, as cleaners were found to respond with higher  
697 cortisol levels when exposed (visually) to piscivores compared to other harmless clients (Soares et  
698 al., 2012b). The authors interpreted cleaners' proactivity towards these clients, that rapidly ap-  
699 proached predators and reduced the time elapsed between client approach and the start of the inter-  
700 action process, as a way to interrupt the potentially harm of the physiological consequences elicited  
701 by predatory clients and to secure a safe outcome to these interactions (Soares et al., 2012b).  
702 Moreover, client interactions that follow those involving predators, are increasingly more cooperat-  
703 ive (Bshary et al., 2008; Gingins et al., 2013), pointing towards a greater role of stress mechanisms  
704 to the short-term modulation of cleaners' cooperative levels. These mechanisms have been further  
705 investigated in natural conditions, with the exogenous effects of cortisol level changes being found

706 to propitiate cleaners behavioural switch from cooperation to cheating (Soares et al., 2014). Spe-  
707 cifically, cleaners behavioural change occurs under influence of rising cortisol levels, with these  
708 providing more tactile stimulation to smaller clients as to gain access to bigger ones, that are then  
709 bitten (Soares et al., 2014). And also, mediated by the antagonism of the glucocorticoid receptors,  
710 which produced a positive improvement of cleaning service (more tactile stimulation to bigger cli-  
711 ents, those that have more ectoparasites and more mucus), and thus contributing to a reinforcement  
712 of current and future relationships (Soares et al., 2014).

713 To facilitate a mechanistic approach to this system, six main cognitive modules have been  
714 proposed (Soares, 2017), aiming to summarize and organize the main categories of behaviour used  
715 by these individuals but also to establish grounds for future testing. These modules are: 1) Predis-  
716 position to approach partners, 2) Impulsivity and deception, 3) Social recognition and inference, 4)  
717 Learning and memory, 5) Communication and levels of investment and 6) Bonding (see Table 2).  
718 Building on information currently available, we present in Table 2, several putative stress-related ef-  
719 fects related to each socio-cognitive module, for the cleanerfish system. At this point, more research  
720 is needed, not only to continue with pharmacological testing but also to integrate new behavioural  
721 studies coupled with new molecular approaches.

## 722

### 723 **5.2. Stress influence on cleaner fish behavioural plasticity: Caribbean cleaning gobies as al-** 724 **ternative systems**

725 Advances in the evolutionary understanding of social behaviour have come from systems in  
726 which individuals exhibit flexible social phenotypes (Richards et al., 2003). For instance, the exist-  
727 ence of behavioural polymorphisms between individuals and populations of a single species may  
728 arise in response to ecological or social challenges-constraints, thus imposing on individuals the  
729 need to adapt to different contexts (Sih & Bell, 2008; Bergmuller et al., 2010). Such adaptive beha-  
730 vioural correlations usually underline physiological trade-offs that will play a key role in explaining

731 much of an animal's plasticity to perform within their socio-environmental challenges and which  
732 should ultimately bear fitness consequences.

733 The role of behavioural plasticity in the context of cleaning behaviour emergence, and more  
734 specifically, the proximate mechanisms that underlie its adaptive expression are yet to be dis-  
735 covered. In this regard, the Caribbean cleaning gobies *Elacatinus* spp appear as a good model can-  
736 didate. Indeed, in the *Elacatinus* clade, the absence of cleaning appears to be associated with a  
737 sponge-dwelling habitat or, conversely, the presence of cleaning is associated with living on sub-  
738 strata other than sponge (Rüber et al., 2003; Taylor & Hellberg, 2005). That is the case of the Barba-  
739 dian broadstripe cleaning goby *E. prochilos* (Böhlke and Robins 1968), which occurs on both  
740 sponge and live coral (Whiteman & Côté, 2004b), and its foraging mode and social systems differ  
741 between the two substrata. Coral-dwelling *E. prochilos* are active full-time cleaners (Arnal & Côté,  
742 2000; Whiteman & Côté, 2002), are found living alone but mostly in pairs (male-female couples;  
743 Soares et al., 2009) or in small groups (Whiteman & Côté, 2002) and feed mostly on fish ectopara-  
744 sites, while sponge-dwelling *E. prochilos* occur in large, highly aggressive dominance-structured  
745 groups and feed predominantly on polychaete worms that burrow within sponge tissues (Whiteman  
746 & Côté, 2004a; Côté & Soares, 2011).

747 Nevertheless, it has been suggested that occupiers of both habitats retain foraging and behavi-  
748 oural plasticity: coral dwelling gobies do not rely exclusively on client-gleaned items while sponge  
749 dwelling ones appear to engage opportunistically in cleaning (Côté & Soares, 2011). The risk of  
750 predation becomes a crucial factor here: sponge dwellers particularly those occupying inner posi-  
751 tions in the sponge (dominants) seem to have a more protected live style (White et al., 2007). Seem-  
752 ingly, it is solely amongst those that are "forced" out from the inner and richer areas (less competit-  
753 ive individuals) that opportunistic cleaning is observed (Whiteman & Côté, 2002). Cleaners, while  
754 protected by conspicuous color stripes, chemical signals and specific behaviour, which serve to at-  
755 tract cooperative clientele (Lettieri & Strelman, 2010) and help clients recognize cleaners (Stum-  
756 mer et al., 2004), are nevertheless increasingly exposed to potential predators. There has even been

757 a suggestion that adopting a cleaning lifestyle is making the best of a dire situation, based on the ob-  
758 servation that the growth rates of juvenile and survival rates of adult sponge dwellers are higher  
759 than those that live on coral and clean for a living (White et al., 2007).

760 Stress-related mechanisms should most certainly be crucial mediators of this system. As men-  
761 tioned above, cleaning gobies exhibit distinct preferences towards some client species over others:  
762 e.g. they express these biases by cleaning a greater proportion of visiting individuals of some spe-  
763 cies over others (Soares et al., 2007), spending more time inspecting these species (Arnal & Côté,  
764 2000), and by attending to these preferred visitors most quickly (Soares et al., 2007). Notably, pisci-  
765 vorous clients are hardly made to wait (Soares et al., 2007) as a fast response of cleaners helps to  
766 mitigate potential harmful consequences (see Soares et al., 2012). However, these tests were done  
767 with *E. evelynae* (Böhlke and Robins 1968), which are solely observed as cleaners and never as  
768 sponge dwellers. In Barbados, both species – *E. evelynae* and *E. prochilos* – are reported inhabiting  
769 coral reefs, but only *E. prochilos* is observed to have a dual strategy: cleaners and sponge-dwellers.  
770 We decided to extend the tests done by Soares et al (2012b) to *E. prochilos*, wondering if cortisol  
771 response mechanisms could be related to the increase in socio-ecological challenges seen in this  
772 species (for methodology, please see Soares et al (2012)). Thus, specimens from both species were  
773 collected in similar habitats (coral heads) and all were identified as cleaners (aka, none of the gobies  
774 were collected in sponges). In previously published trials to validate the hormone assay, in *E.*  
775 *evelynae* individuals, cortisol immunoreactivity in holding water varied significantly over time and  
776 in interaction between treatment and time (for methods and results Soares et al. (2012b) but also the  
777 caption of Figure 2). On the other hand, *E. prochilos* individuals had a significantly wider physiolo-  
778 gical range regarding cortisol secretion (Figure 2). Visual inspection of Figure 2A. shows the ampli-  
779 fied range of cortisol response in *E. prochilos* by the second hour, which is maintained up to the  
780 fourth hour, as it starts to decrease. Indeed, *E. prochilos* wider level of response to the ACTH chal-  
781 lenge (Figure 2A) contrasts with its exposure response to harmless and predatory clients (Figure

782 2B): when compared to a close species of cleaner (*E. evelynae*), *E. prochilos* individuals were not  
783 found to react to predatory risk significantly (Figure 2B).

784 The difference between these two species of cleaning gobies, one reported to have an exclusive  
785 cleaner strategy and another with the potential to exhibit two alternative behavioural phenotypes,  
786 presents an interesting variation: *E. prochilos* can respond more strongly to stressful contexts how-  
787 ever these individuals may not develop finer mechanisms enabling them to react to smaller trophic  
788 differences between clients. The robust response of *E. prochilos* may confer them with the ability to  
789 be part of an aggressive, structured group as well as being a cleaner, if the opportunity arises or if  
790 necessary due to a shortness of available food-patch (sponges). However, the relative bluntness in  
791 reacting to clients may expose them to a greater predatory risk while similarly reducing their  
792 cleaner-specialist status in comparison to their sympatric competitors, *E. evelynae*. Some of these  
793 fundamental ecological features of cleaning gobies warrant for additional studies, to better evaluate  
794 the validity of these assumptions.

795

### 796 **5.3. A cleaner is not always a cleaner: Stress involvement in life history changes**

797 Until now, we have focused either on the fine-tuning/ activational variations of individual dif-  
798 ferences in cleaning behaviour, or on the prevalence of alternative-mix strategies (plasticity) in  
799 some species of cleaners. This focus is solely relevant for the category of the so-called obligatory  
800 cleaners, i.e. those species that by being fully specialized, clean during their entire life span. How-  
801 ever, these species occur only in two of the most speciose groups of teleost fish (Labridae and  
802 Gobiidae; Vaughan et al., 2016) while the remaining majority of identified cleaner species are cat-  
803 egorized as facultative, i.e. clean solely during a particular life stage (mostly during their juvenile  
804 phase). Hence, cleanerfish species differ tremendously in life histories, and stress-mechanisms may  
805 well be involved in the regulation of these transitions between life-history stages, knowing that  
806 these vary in relevance when it comes to social engagement. Basically, most of the facultative  
807 cleaner species, at some point (frequently during adulthood), stop interacting with heterospecifics to



808 focus exclusively on their conspecific networks. In comparison with obligate cleaners (with some  
809 exceptions), most facultative cleaner species try to avoid dealing with dangerous clients, which may  
810 be an indicator of a different risk appraisal (Francini-Filho & Sazima, 2008). Predator inspection is  
811 perhaps one of the greatest characteristics of obligate cleaners (see section 5.1.) and that reflects on  
812 their choice of clients; which is the case of the Brazilian obligate cleaning goby *E. figaro* (Moura  
813 and Rosa 1997), which appears to prefer piscivorous clients (Francini-Filho & Sazima, 2008). But  
814 so far, no study has focused on the mechanisms underlying the neuro-cognitive background of fac-  
815 ultative cleaners' the life history transitions, and how the mechanisms of stress may be implicated.

816 There are some insights from tests done on obligate cleaners, focusing on the role of the argin-  
817 ine vasotocin (AVT) system. The nonapeptide arginine vasotocin (AVT), homologous to mam-  
818 malian arginine vasopressin (AVP), is involved in many aspects of fish physiology but most deeply  
819 in the responses to stress (Balment et al., 2006). Studies have shown that AVT mediates the hypo-  
820 thalamic-pituitary-interrenal (HPI) axis activation (Backström et al., 2011; Gesto et al., 2014). In  
821 the obligate cleaner *L. dimidiatus*, an increase in AVT levels, induced with exogenous peripheral in-  
822 fusions, caused them to cease all mutualistic activities, but not conspecific behaviour (Soares et al.,  
823 2012a, 2012c). These results contrast with those found with cortisol treatments, with cleaners alter-  
824 ing strategic tactics towards their clientele (see section 5.1 above, and Soares et al. (2014) and Bin-  
825 ning et al (2017)). Thus, different stress response magnitudes, appear to produce significant behavi-  
826 oural responses. Small variations of cortisol produce new metabolic-dietary demands which justify  
827 a change in behavioural pursuit (Soares et al., 2014) and the mediation of AVT on the structural, life  
828 history changes between cleaning and non-cleaning, ultimately underlying a switch in social and  
829 cognitive output (Soares et al., 2012a, 2012c, Cardoso et al., 2015a, 2015b).

#### 831 **5.4. Stress, monoamines and cleaning: an emergent mixture mediating social complexity**

832 At this point it seems clear that stress plays a relevant role in cleaning behaviour: it works to  
833 fine-tune cleaners' behavioural states, hence contributing to strategic changes, but overall it helps

834 cleaners to cope with socio-environmental challenges. Perhaps, the most remarkable is the way they  
835 deal with predatory vulnerability, but seems also involved in life history changes. While cleaners  
836 make use of behavioural and other structural variables to cope with stress, other physiological  
837 mechanisms are set to regulate its impact.

838 For instance, stress factors are known to induce brain dopamine activity in fish (Chabbi &  
839 Ganesh, 2015). Naturally, because the functions of the dopaminergic (DA) system are multiple, in-  
840 volving decision-making, learning and reward mechanisms (for example, Messias et al (2016a,  
841 2016b); Schultz (2002, 2006); Soares (2017)), the relationship between dopamine and stress will  
842 also be complex, contextual and brain-region specific. As such, the DA system should respond dif-  
843 ferently to distinct types of stressors as it confers to animals the ability to discriminate between  
844 change-related stimuli (Pani et al., 2000). Thus, DA hyperactivity could lead to a higher propensity  
845 to develop addictions, compulsive behaviour, and novel-seeking behaviour, on the other hand, DA  
846 depletion may lead to tremendous cognitive impairments and pathologies (for instance, Brozoski et  
847 al. (1979); Cools et al. (2001)). Both extreme cases should underlie unbalanced states of the indi-  
848 vidual stress response. Exogenous manipulations made to the DA system of cleaners revealed dis-  
849 proportional behavioural changes due to impairment: treatment with D1 and D2-like receptor antag-  
850 onists made cleaners interact more but forage less, resulting in almost exclusive provision of tactile  
851 stimulation to clients (Messias et al., 2016a). This costly investment in clients, when prolonged (in  
852 the case of D1 influence) should work as an omission of the predicted reward (Messias et al.,  
853 2016a) and may elicit an increase in stress response. Moreover, D1 blockage seems also to be re-  
854 lated with an increase of novelty seeking behaviour in cleaners (Soares et al., 2017b). On the other  
855 hand, the increase in DA activity seems to enable the learning abilities of cleaners (Messias et al.,  
856 2016b); this so-called motivational increase to learn new tasks could be coupled with an increase of  
857 stress levels, but at this point is purely speculative. Interestingly, when signal and reward differ (in  
858 time and space), a scenario that in natural conditions occurs when cleaners are being observed by  
859 other potential clients (bystanders) that are yet to decide whether or not to visit, DA blockage seems

860 to reduce cleaner impulsiveness towards the signal, enabling them to continue their current interac-  
861 tions while waiting for those bystanders to finally visit and solicit to be cleaned (see Soares et al.,  
862 2017a)), which suggests that stress-control mechanisms should also be in place.

863 The serotonergic system has also a crucial modulator role in animals stress response and in  
864 helping animals to cope with stress. For instance, social stressors are known to increase brain sero-  
865 tonin turnover in fish (Winberg & Nilsson, 1993; Winberg et al., 1997; Dahlbom et al., 2012; Teles  
866 et al., 2013), indicating that animals make use of available serotonin to cope with stress effects.  
867 Cleaners, whether engaging or not in stressful interactions (depending on the client inspected), need  
868 to cope rapidly if they want to continue to forage. The effect of the so-called “serotonin activity fa-  
869 cilitators”, both fluoxetine and 8-OH-DPAT, motivated cleaners to interact more frequently and be-  
870 come more likely to provide physical contact to clients (tactile stimulation; Paula et al., 2015). On  
871 the other hand, the action of serotonin blockers was mainly a significant reduction in the willingness  
872 to clean but also in a rise of confrontational attitude in relation to other smaller conspecifics (Paula  
873 et al., 2015) and in delaying the learning competence of cleaners (Soares et al., 2016). Whether this  
874 exogenous blockage is eliciting an increase of stress levels in cleaners, beyond what they can nor-  
875 mally cope with while cleaning, its yet to be discovered.

876

## 877 **6. A way forward: Integration between stress and sociality in fish**

878 While there are consistent structural differences in the aversive, social behaviour, and  
879 mesolimbic reward networks between fish and mammals, the degree of behavioural conservation in  
880 functions of aversive behaviour/stress and sociality between fish and mammals appears striking. For  
881 example, an important role for dopamine in shoaling (Buske & Gerlai, 2011; Scerbina et al., 2012;  
882 Saif et al., 2013a) parallels the role of this neurotransmitter in the mesolimbic reward-SBN  
883 interface. Indeed, shoaling appears to be a motivated behaviour (Al-Imari & Gerlai, 2008) that leads  
884 to dopamine release (Saif et al., 2013b). Nonetheless, it is now clear that teleosts do not possess a

885 dopaminergic mesolimbic projection *per se*, having no ventral tegmental area nor a nucleus  
886 accumbens (Yamamoto & Vernier, 2011). Instead, a functional analogue (the posterior tuberculum)  
887 produces dopamine that is released in a partial homologue (the dorsal nucleus of the ventral  
888 telencephalon) (Rink & Wullimann, 2001, 2004; Tay et al., 2011). Thus, a paradox of function vs.  
889 structure is observed when fish and mammals are compared (Figure 3). This underlying theme – of  
890 conserved function without conserved structure – resonates throughout all monoaminergic systems  
891 in teleosts (Figure 3A; Herculano & Maximino, 2014; Maximino et al., 2015b, 2016); indeed, at  
892 least in the serotonergic system, it is the mammalian state that appears to be derived (Herculano &  
893 Maximino, 2014).

894 What, if any, are the shared functions of monoamines in stress and sociality in fish? The work  
895 reviewed here gives a few hints. First, 5-HT contributes to passive behavioural responses in  
896 unstressed animals, increasing avoidance of potentially dangerous places but decreasing avoidance  
897 of certain threat (Figure 3B); in stressed animals, however, 5-HT appears to act differently in  
898 proactive vs. reactive animals, with increased 5-HTergic signaling possibly promoting active  
899 responses to reduce stress and/or eliminate aversive stimuli. DA appears to have a similar role on  
900 anxiety and fear, with the activation of D1 receptors increasing anxiety, and the activation of D2  
901 receptors promoting stress-related cortisol release. However, DA and 5-HT appears to have  
902 opponent roles in modulating sociality, with D1 and D2 receptors inhibiting cleaning mutualisms  
903 but promoting shoaling, and 5-HT<sub>1A</sub> receptors promoting cleaning and shoaling (Figure 3B).

904 The research reported in this review suggests that the same systems which modulate aversive  
905 behaviour and stress also participate in sociality in fish. Moreover, it is now clear that social  
906 interactions are also stressful for fish – especially in the case of mutualistic species, in which every  
907 interaction carries the potential for predation. However, stress tends to increase shoaling and  
908 decrease social preference (Giacomini et al., 2016). Is it possible that cortisol is the mediator of D2-  
909 like effects on cooperation (Figure 3C)? What are the roles of this receptor on shoaling? What, if

910 any, are the roles of D1-like receptors on shoaling? These are all open questions that should clarify  
911 the interaction between monoamines and stress in fish sociality.

912 The relationship between stress coping and sociality is also of interest here. Reactive coping is  
913 associated with submissive behaviour and higher reactivity to social encounters, both of which can  
914 make social interactions highly stressful. As a result, reactive animals should be less adapted to  
915 fluctuating social interactions, showing lower social competence. The suggestion that reactive  
916 coping, in fish, is associated with higher stress-induced 5-HT neurotransmission in the Dl (part of  
917 the mesolimbic reward system) and lower stress-induced increases in 5-HT signaling in the Dm  
918 (part of both the mesolimbic reward system and the aversive behaviour system) suggest that 5-HT  
919 tends to inhibit social approach after stress in the Dl and promote it in the Dm.

920 These observations on the relationships between coping, monoamines, and social behaviour  
921 also hint to applications to modeling psychiatric disorders in teleost fish. It has been suggested  
922 (Trower & Gilbert, 1989) that individuals with social anxiety disorder suffer from alterations in  
923 mechanisms that select socially appropriate behaviour, always acting “as if” they are in a  
924 subordinate position. The emergence of fish as model organisms in biological psychiatry (Kalueff et  
925 al., 2014; Soares et al., 2017c) positions the findings reported in this review in this larger context.  
926 An example is the reported application of social behaviour in zebrafish models of FASD, which  
927 shows the potential of these approaches in the discovery of targets and basic mechanisms involved  
928 in brain diseases. The rapid increase in the use of fish in biological psychiatry and  
929 psychopharmacology (Kalueff et al., 2014) suggests the utility of such approaches.

930 The direction pointed by this review suggests novel avenues for understanding stress and  
931 sociality in fishes in at least two levels: the level of taxon-specific innovations, and the level of what  
932 is conserved with vertebrates. For example, understanding fish stress and sociality at the functional  
933 neuroanatomical level is probably going to pinpoint solutions which were found by this specific  
934 taxon, but will also be able to reveal “deep homologies” between fish and mammals. At the

935 functional level, many of these conserved neurobehavioural functions are currently being used to  
936 investigate human diseases, employing fish behaviour (and its modulation by monoamines) as  
937 behavioural models in biological psychiatry and psychopharmacology. To reconcile the level of  
938 divergence with the level of similarity, neuroanatomy, pharmacology, behavioural analysis, and  
939 ecology studies conducted in the lab and in nature need to add to each other and enhance our  
940 understanding of fish behaviour and ultimately how this all may translate to better model systems  
941 for translational studies.

942

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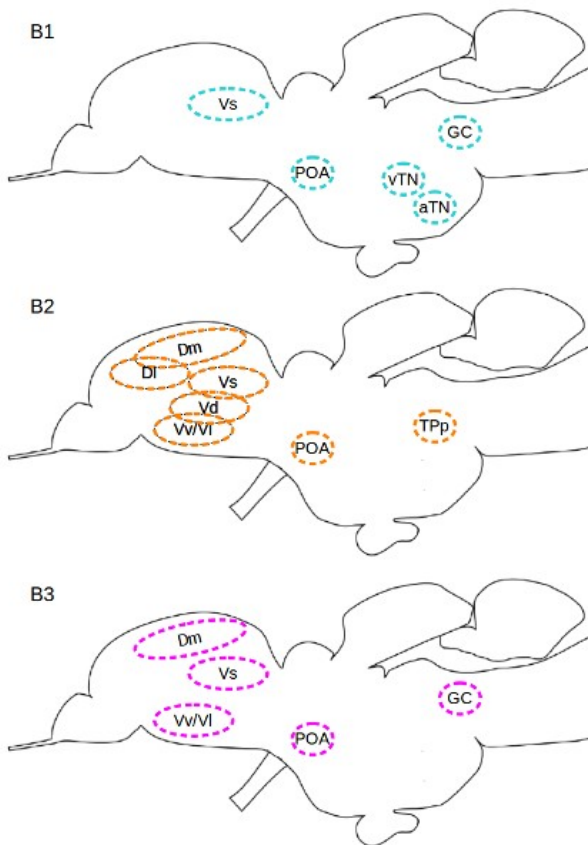
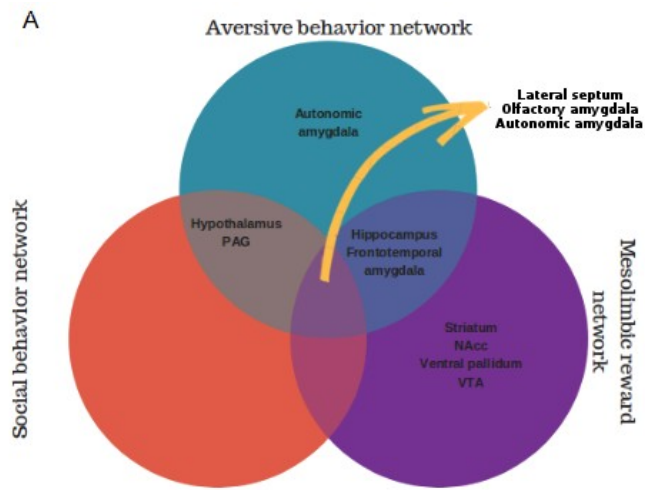
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1575

**Figure captions**

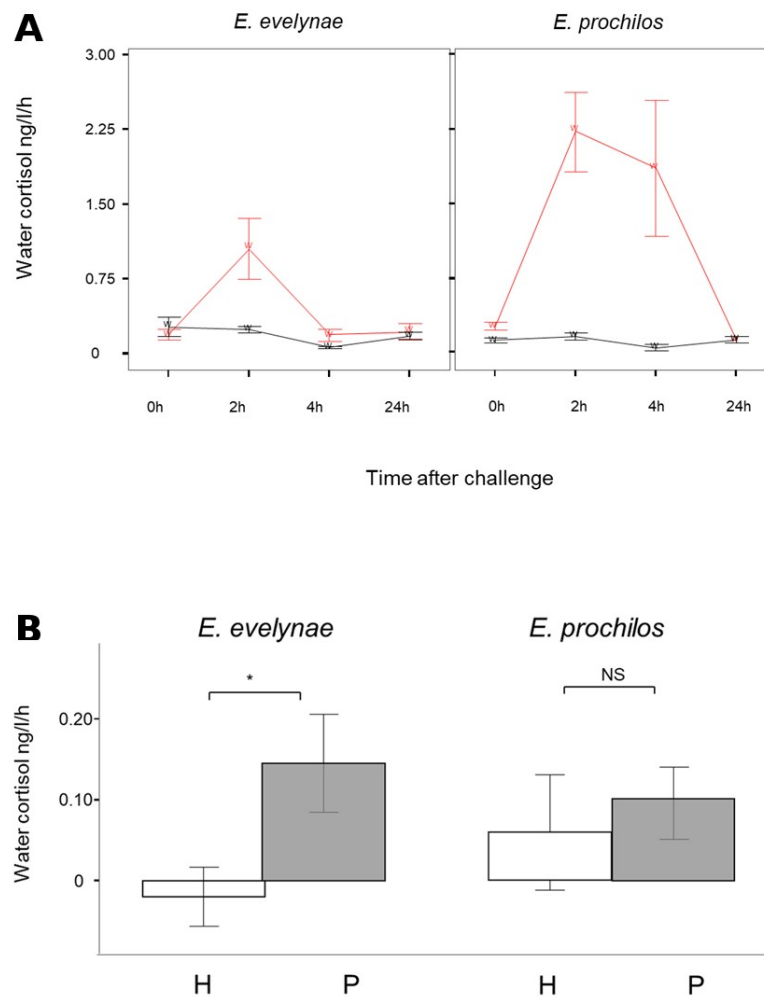
**Figure 1.** (A) Intersections between structures involved in the aversive behaviour network, social behaviour network, and mesolimbic reward network in the vertebrate brain. Structure names refer to mammalian nomenclature. (B1) The mesolimbic reward network in the teleostean brain. (B2) The social behaviour network in the teleostean brain. (B3) The aversive behaviour network in the teleostean brain. (A) Adapted from Soares et al. (2017c); (B1) and (B2) adapted from O'Connell & Hoffman (2011b). Abbreviations in (A): NAcc: nucleus accumbens; VTA: ventral tegmental area. Abbreviations in (B): aTN: anterior tuberal nucleus; Dl: dorsolateral telencephalon/lateral pallium; Dm: dorsomedial telencephalon/medial pallium; GC: griseum centrale/central gray; POA: preoptic area; Vd: dorsal nucleus of the ventral telencephalon/dorsal subpallium; Vl: lateral nucleus of the ventral telencephalon/lateral subpallium; Vs: supracommissural nucleus of the ventral telencephalon/supracommissural subpallium; vTN: ventral tuberal nucleus; Vv: ventral nucleus of the ventral telencephalon/ventral subpallium.





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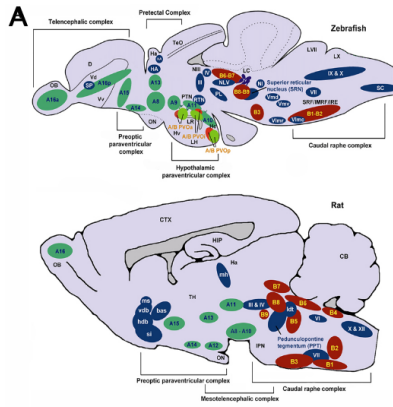
1592 **Figure 2.** (A) Temporal variation of cortisol levels in holding-water of cleaning gobies (*E. evelynae*  
 1593 and *E. prochilos*) individuals challenged with an intra-peritoneal injection of porcine ACTH (red  
 1594 line) or Ringer's solution (black line). Interaction effect: 2-way RM-ANOVA,  $F_{3,27} = 9.83$ ;  
 1595  $p=0.008$ (B) Same individual response variations of holding-water cortisol to either harmless (H)  
 1596 and/or predatory (P) client stimuli. Variation in hormone levels are relative to baseline levels (con-  
 1597 trol). P values refer to pairwise T tests (\*, 0.05; NS > 0.05). Error bars represent  $\pm 1$  SEM. N = 7 for  
 1598 *E. evelynae* and N=10 for *E. prochilos*. M. C. S., unpublished data.



1600

1601 **Figure 3.** (A) Lack of neuroanatomical conservation of main monoaminergic nuclei in teleosts in  
1602 relation to mammals. In teleosts (upper panel), monoaminergic centers proliferate throughout the  
1603 brain; while rodents (lower panel) concentrate 5-HTergic neurons (red) in the raphe complex,  
1604 teleosts have extra nuclei in the hypothalamus and pre-tectum. Likewise, teleosts have extra  
1605 DAergic nuclei in the telencephalon, and no ventral tegmental DAergic neurons. Adapted from  
1606 Parker et al. (2013) and Maximino et al. (2015b). (B) Differential roles of dopamine and serotonin  
1607 receptors on social and aversive behaviour in teleost fish. (C) Putative pathways for dopaminergic  
1608 mediation of shoaling and cooperation in teleosts. Social interaction (with conspecifics, in the case  
1609 of zebrafish, and heterospecific clients, in the case of cleaner wrasse) is known to increase DA  
1610 levels in the brain. The activation of D1-like or D2-like receptors inhibit cooperation in cleaners,  
1611 and the activation of D1-like receptors promote shoaling in zebrafish. Inside the box marked with a  
1612 question mark, a mediation by cortisol of the D<sub>2</sub> receptor response is proposed. Figure made on  
1613 Piktochart (<https://create.piktochart.com/output/7200807-untitled-infographic>)

# Monoaminergic modulation of fish social and aversive behavior



**B**

	Social behavior	Aversive behavior and stress	Other
D1R	Promotes shoaling Inhibits cleaning interactions	Promotes anxiety-like behavior Promotes stimulated CORT release	Inhibits novelty seeking Promotes learning
D2R	Inhibits cleaning interactions	Inhibits stimulated CORT release Promotes anxiety-like behavior Inhibits fear-like behavior	Promotes learning
5HT1AR	Promotes shoaling Promotes cleaning interactions	Promotes anxiety-like behavior Inhibits fear-like behavior	Promotes learning
5HT1BR		Promotes anxiety-like behavior	
5HT2R		Promotes anxiety-like behavior Inhibits fear-like behavior	

