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Thesis title:	Statistical analysis of rare genetic variants in the rst exon of the ataxin-2 gene in patients with neurodegenerative diseases					
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## Abstract

The ataxin-2 gene (ATXN2) encodes a ribonucleic acid (RNA) binding protein involved in messenger RNA translation and regulation. Large polyglutamine (CAG) expansions or repeat regions in ATXN2 are causative of the neurodegenerative disease spinocerebellar ataxia type 2 (SCA2) and intermediate expansions are considered to be a risk factor for the neurodegenerative disease amyotrophic lateral sclerosis (ALS). However, most variants in the repeat regions of ATXN2 remain unreported because they are di cult to capture with traditional short-read sequencing. We analyze rare genetic variants found in shortread sequencing of exon 1, a polyglutamine repeat region of the ATXN2 gene. The variants were identi ed during diagnostic exome sequencing of patients for neurodegenerative disease. After adjusting for potentially confounding variables such as age, biological sex, and the enrichment kit used in the sequencing, we nd the variants to be associated with neurodegenerative disease, suggesting their involvement in disease pathology. Our preliminary results with short-read sequencing suggest that re-investigation of the ATXN2 gene with long-read sequencing technologies that allow a better resolution of repeat regions shows promise for new insights into neurodegeneration.

Keywords: ATXN2, neurodegeneration, ALS, SKAT

# Dedication

To my parents, Radha and Jitendra Jethnani.

# Acknowledgements

I wish to extend my heartfelt gratitude to my supervisor, Dr. Jinko Graham. Thank you for your encouragement, guidance, support, and patience throughout this journey. My sincere appreciation also goes to Dr. Joanna Lubieniecka; this research would not have been possible without your invaluable support. Additionally, I am deeply thankful to committee member Dr. Brad McNeney and examination chair Dr. Liangliang Wang for their insightful contributions.

I seize this moment to express my gratitude to the faculty members in the Department of Statistics and Actuarial Science. My time at SFU has been enriching and enjoyable, and I am forever indebted to the wealth of knowledge and experiences I have gained. I want to extend a special thank you to Dr. Ailene MacPherson for her invaluable guidance and support. To my family and friends, I o er my deepest appreciation for your enduring presence and unwavering support. Your love, kindness, sacri ces, and constant encouragement have been my pillars of strength. To my friends, my extended family here in BC, this would not have been possible without you all. Finally, thank you Divyansh and Piyu for all the motivation you put into me.

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## Chapter 1

# Introduction

Genes play a big part in how the cells work in our bodies. One such critical gene is the ATXN2 gene. This gene makes a protein that helps with several important jobs inside our cells. It helps bring things into the cell (endocytosis), control how cells grow and stay healthy, and make sure the cell creates the proteins it needs (ribosomal translation). It also helps keep our cell's mitochondria powerhouses working properly.

Central to the exploration, we have the N-terminal region of ATXN2, which represents the starting point or the beginning section of the protein. This N-terminal region contains a polyglutamine tract (PolyQ) which refers to a portion of the protein consisting of a sequence of several glutamine units stacked together akin to having a row of the same type of building block repeated several times in a row. And in this case, there are usually between 14 to 31 of these, also termed residues. When this tract expands, it triggers a cascade of neurological complications, with various disease manifestations [Lubieniecka et al., 2022]. A lot of times these diseases vary according to the length of the expansion. The scienti c community has closely associated intermediate-length expansions of the PolyQ tract (27-34 repeats) with heightened susceptibility to amyotrophic lateral sclerosis (ALS)[Chio et al., 2022]. Even further along the spectrum, when the PolyQ tract expands beyond 34 repeats, it precipitates the onset of spinocerebellar ataxia-2 (SCA2), characterized by a progressive loss of coordination and motor control.[Egorova and Bezprozvanny, 2019].

Various studies have demonstrated that this gene (ATXN2) can modify the toxicity of TDP43, a protein closely linked with ALS pathology in a complex manner. All this research and ndings paved the way for an ongoing clinical trial (Clinical Trial NCT04494256) that harnesses ATXN2 antisense oligonucleotides to lower ataxin-2 protein levels. This could be a potential direction towards the treatment of individuals battling with ALS. However, this clinical trial exclusively recruits patients with PolyQ expansions in the ATXN2 gene. In contrast, we question whether other mutations in the ATXN2 gene, especially those residing in exon 1 where the PolyQ region is nestled, in uence protein function and disease susceptibility similarly.

To address this question, our clinical-genetics collaborators in the diagnostic genome-sequencing facility at the Ruhr University, Bochum, evaluated rare genetic variants, including single nucleotide variants (SNVs) and insertions/deletions (indels), within the rst exon of the ATXN2 gene. They aim to evaluate and understand rare genetic variants in the exon 1 of ATXN2 and their potential contributions to the pathogenesis of neurodegenerative diseases. Their study aims to contribute to understanding the genetic underpinnings of neurological disorders, with potential implications for diagnosis and treatment.

Our collaborators collected data from patients with various diseases. They classi ed the

## Chapter 2

## Data

This analysis focuses on the ATXN2 gene, speci cally, the variants found in exon 1 of the gene. We look at their association with neurodegenerative diseases. In this chapter, we perform some exploratory analysis to understand the data provided to us by our clinical genetics collaborators. We received the data from 358 people, comprising 134 cases with neurodegenerative diseases, 161 cases with non-neurodegenerative diseases, and 63 unclassi ed cases due to mixed symptoms. All of them had a normal number of polyglutamine repeats in exon 1 of the ATXN2 gene.

The data was delivered in two Excel les for the analysis. These were the persons data le and the <variants > data le respectively. The <persons> data le consists of the information about the subjects including the disease they su er from, its classi cation (ND or not), the clinical information, the variants in the exon 1 of the ATXN2 gene found in the sample (if any), etc. The sample index column indicates the suspected diagnosis (disease). As speci ed by our collaborators, the abbreviations used for the sample index are as stated: P-ALS = Amyotrophic lateral sclerosis, P-SPG = Spastic paraplegia, P-AX = Spinocerebellar ataxia paraplegia, P-AMY = Amyloidosis, P-SY = Syndromes/Global developmental delay, P-MH = Malignant hyperthermia, P-MY = Myopathy, P-NP = Neuropathy, P-DIV = Diverse/Rare/Unclassi able, P-SW = Metabolic disease, P-DYT = Dystonia, P-BGW = Connective tissue diseases, P-TM, = Cancer, P-HL = Hearing loss and EX = `Healthy' individuals. The second data le details the 19 di erent variants of the ATXN2 gene under study. Our collaborators refer to the publicly available gnomAD database to nd the corresponding allele frequency of the variants. For 3 of the 19 variants, no allele frequencies are reported in the gnomAD database. We call these variants `Questionable' in our analysis and assess their relationship with disease status separately to check for potential bias from removing them in the analysis.

The exploratory analysis aims to uncover data patterns and insights that may guide further investigations into the relationship between the variants found in the exon 1 of the gene and neurodegeneration (ND status). We use R programming for the exploratory analysis,

including the readxl R package for reading Excel data and the *ggplot2* and *dplyr* libraries for visualization and data manipulation.

## 2.1 The <persons> data

The data comprises 15 variables with 358 observations, representing the total number of samples. To facilitate analysis, the data is pre-processed as follows. The `ND' (Neurodegenerative Disease) column is converted to a factor with levelsyes, *no*, and *maybe* where *yes* corresponds to 1 implying the disease is ND*no* corresponds to 0 implying the disease is non-ND and *maybe* corresponds to 3 in the original data le implying the disease couldn't be classi ed due to overlapping symptoms. Additionally, a new column, `Variant,' is created to signify the presence of a genetic variant, with entries yes or no implying presence or absence respectively. Another column, `Total\_Variants,' is added to indicate the number of



Figure 2.1: Histogram of the age distribution of the sampled individuals.

Amongst the enrichment kits, Twist Comprehensive Exome Refseq vs2 is the most frequently used (67 %), followed by Twist Comprehensive Exome plus Refseq (22 %), Twist Mix (Comprehensive plus 2.0)(9 %), SureSelect All Exon v7(1.2 %) and Twist Comprehensive Exome plus Refseq, Twist Exome 2.0, Twist Mix (Comprehensive plus 2.0) (0.8%). According to our collaborators the enrichment-kit categories of Twist Comprehensive Exome plus Refseq, Twist Exome 2.0, Twist Mix (Comprehensive plus 2.0)" and Twist Mix (Comprehensive plus 2.0)" should be merged whereas the SureSelect All Exon v7" enrichment kit is from a di erent vendor and needs to be kept separate from the others. These enrichment kits have long names, so we have used abbreviations throughout the analysis to avoid complexity. The abbreviations used are as follows: Twist Comprehensive Exome Refseq vs2 =TCER vs2, SureSelect All Exon v7 = Exon v7 , Twist Comprehensive Exome plus Refseq = TCE (RefSeq), Twist Comprehensive Exome plus Refseq, Twist Exome 2.0, Twist Mix (Comprehensive plus 2.0) = TCE(R, Ex, Mix) and Twist Mix (Comprehensive plus 2.0)= T Mix.

#### 2.1.2 Bivariate summaries

This section explores the associations between pairs of variables in the persons- data le. These bivariate summaries and association tests provide valuable insights into the relationships between various variables in the dataset, setting the stage for more in-depth multivariate analyses.

#### Categorical categorical variables

We constructed contingency tables for all the possible pairs of categorical variables followed by association tests, but report selected results only. Further tables can be found in Appendix 1.

Sample Index	Female	Male
EX	4	4
P-ALS	49	44
P-AMY	0	

		TCER vs2	Exon v7	TCE(RefSeq)	TCE(R,Ex,Mix)	T Mix
Ì	EX	8	0	0	0	0
	P-ALS	79	0	4		

	yes	no	maybe
EX	0	8	0
P-ALS	93	0	0
P-AMY	0	0	3
P-AX	22	0	0
P-BGW	0	20	0
P-DIV	0	13	2
P-DYT	0	0	6
P-HL	0	3	0
P-MH	0	4	0
P-MY	0	42	0
P-NP	0	0	52
P-SPG	19	0	0
P-SW	0	3	0
P-SY	0	58	0
P-TM	0	10	0

Table 2.3: Sample Index by ND status.

	TCER vs2	Exon v7	TCE(RefSeq)	TCE(R,Ex,Mix)	T Mix
yes	99	2	17	2	14
no	99	2	49	0	11
maybe	42	0	13	1	7

Table 2.4: ND status by Enrichment kits.

	no	yes
yes	112	22
no	151	10
maybe	58	5



no

	Female	Male
yes	71	63
no	80	81
maybe	26	37

Table 2.7: ND Status by sex.

Variable 1	Variable 2	p-value
ND status	Sample Index	0.0001
ND status	Enrichment Kits	0.01
ND status	Presence of a Variant	0.02
ND status	Presence of a Questionable Variant	0.54
ND status	Sex	0.30

Table 2.8: Results of tests of association between ND status and di erent variables.

	TCER vs2	Exon v7	TCE(RefSeq)	TCE(R,Ex,Mix)	T Mix
no	221	0	67	3	30
yes	19	4	12	0	2

Table 2.9: Presence of a variant by enrichment kits.



Figure 2.4: Prediction of ND status `Yes' or `No' as a function of age by a generalized additive-logistic model

Туре		
disruptive_inframe_deletion	5	
disruptive_inframe_insertion, direct_tandem_duplication		
frameshift_elongation		
frameshift_truncation	15	
frameshift_variant	18	

Table 2.10: Univariate summary for the func variable

## Chapter 3

# Analysis

In this chapter, we conduct a formal statistical analysis of the association between neurodegenerative diseases and rare variants in exon 1 of the ATXN2 gene. As discussed in the previous chapter, the data include clinical information from 358 individuals with normal PolyQ repeats. There were 134 cases of neurodegenerative disease, 161 cases of non-neurodegenerative disease, and 63 cases with mixed symptoms where the disease could not be categorized. The dataset containing information on the individuals has 15 variables, including information on whether or not the patient has neurodegenerative disease (ND), the dates of birth and of sampling, the biological sex, the enrichment kit used to sequence the subject's DNA, and information on which of the observed rare variants is carried. The dataset on variants has information about the 19 rare variants observed in the study such as whether or not the variant is thought to be questionable, information on the variant function, the population allele frequency, and the number of allelic copies examined in the gnomAD public database (i.e. the denominator of the population allele frequency).

We use the SNP-set (Sequence) Kernel Association Test (SKAT), which tests the association between a set of SNPS/genes and continuous or dichotomous phenotypes using a kernel regression framework [Wu et al., 2011]. The SKAT package in R ([Lee et al., 2023]) implements this test.

## 3.1 Preprocessing

After the data exploration, to shape our data for the SKAT package, we perform data preprocessing steps, including:

<sup>^</sup> Creating covariates matrices (X) to account for demographic and non-genetic variables: Based on investigator input and the results of our exploratory analysis of the data, potential confounding variables for the association between ND status and genetic variants are the variables age, sex, and enrichment kit and so we include these in X. As stated in Chapter 2, we merge certain enrichment kits as suggested by our

collaborator. Speci cally, two enrichment kits are combined, the `Twist Comprehensive Exome plus Refseq, Twist Exome 2.0, Twist Mix (Comprehensive plus 2.0)' used for 3 subjects and the `Twist Mix' used for 32 subjects. In X, they have been grouped into the category coded as `TCE(R,Ex,Mix)'. We keep the enrichment kit `SureSelect All Exon v7' coded as `Exon v7' (4 subjects) separate from the others as it is sourced from a di erent vendor. We refer to the most common enrichment kit `Twist Comprehensive Exome Refseq vs2' (240 subjects), coded as `TCER vs2' M, as the baseline category for enrichment kits in all our regression analyses.

- Constructing a kinship matrix (K) to account for relatedness among subjects: The data have some subjects that belong to the same families: 4 parent-child trios, 1 fatherson duo, and one sibling duo. We can account for kinship in the Gaussian regression framework implemented in the SKAT package, so we create a kinship matrix for this analysis.
- <sup> $\hat{}</sup>$  Generating phenotype vector ( $\hat{Y}$ ) to indicate the presence of ND diseases: We create the phenotype or the response vector using the ND column from the persons- data.</sup>
- <sup>^</sup> Constructing genotype matrix (∠): Each row of the genotype matrix represents an individual, and each of the 19 columns represents a rare variant in exon 1 of the ATXN2 gene. The matrix was populated with values indicating the copy number of each variant in each individual. Because these are rare variants, the copy number is either 1 or 0.
- Calculation of allele frequencies and imputation of missing values: We use the allele frequencies of the 19 variants reported in the <variants > Excel data le received from our collaborators. The source of these frequencies is the gnomAD database. Two missing allele frequencies were not found in the database which implied zero frequencies were observed in gnomAD-contributed submissions. For our analysis, these 2 frequencies were imputed using the minimum frequency amongst the variants in our study. The missing frequencies were set to be half the minimum frequency.

## 3.2 SKAT and SKAT-O

Rare-variant association testing plays a crucial role in deciphering the genetic basis of complex traits, particularly with the advent of high-throughput sequencing technologies. Traditional approaches like burden tests, which collapse rare variants into a single genetic variable, su er from limitations in power, especially in the presence of non-causal variants or when protective and deleterious variants coexist. In response to these challenges, [Wu et al., 2011] introduced the Sequence Kernel Association Test (SKAT) in 2011. The Sequence Kernel Association Test (SKAT) is a statistical method for rare-variant association testing in sequencing data, particularly in genome-wide association studies (GWASs).

SKAT is a regression approach that can assess the association between genetic variants (both common and rare) within a speci c genomic region and a continuous or dichotomous

may have neurodegenerative disease, thenaybe ND subjects, and keep only the yes ND subjects as cases and the O ND subjects as controls.

## 3.4 Dataset retaining maybe

- <sup>^</sup> The coe cient for sex (male) is not statistically signi cant ( p = 0.781), suggesting no signi cant di erence in the prevalence of ND between genders.
- ^ `ekit.TCE' is negatively associated with neurodegenerative diseasep(= 0.01).

### ^ c.39\_40del: 0.020

To exclude these questionable variants from the analysis, we set the missing\_cuto parameter for the variants in the SKAT() function to be slightly below the lowest observed frequency, speci cally to 0.005. This strategic adjustment ensures the exclusion of questionable variants.

### Variant weights

Variant weights are important in the analysis framework. The idea is to upweight rare variants relative to common variants, as population-genetics principles predict they are more likely to be deleterious. We use the population allele frequency of each variant in the publicly available gnomAD database to determine its corresponding weight in the SKAT analysis. Leveraging data from gnomAD, the weights for 19 identi ed variants are computed. Notably, two variants in our data have no population allele frequencies recorded in gnomAD. We impute the allele frequencies of these variants to be half the minimum gnomAD frequency of the variants with gnomAD frequencies in our dataset.

### Logistic regression

Transitioning towards statistical modeling, we apply logistic regression implemented in the SKAT package to the sample of 352 unrelated subjects to assess the association between rare variants in exon 1 of the ATXN2 gene and neurodegenerative diseases. A SKAT-O test based on 100,000 bootstrap replicates under the null hypothesis of no genetic association unveils a signi cant genetic association (p = 0.03) with ND status, following adjustments for potential confounders such as age, sex, and enrichment kit.

#### Gaussian regression

Expanding the analysis, we apply the SKAT methodology for Gaussian regression to the binary response to account for the familial relationships in the dataset. This time, the analysis encompasses 358 related subjects. Despite the incorrect assumption of a continuous Gaussian response, the results remain consistent with those of the logistic regression, afrming a signi cant association (p = 0.02) between the rare variants in exon 1 of ATXN2 and ND status, after adjusting for age, sex, enrichment kit and familial relatedness.

## 3.5 Dataset removing maybe ND subjects

This section analyses the smaller dataset without subjects of *maybe* ND status. The aim of excluding the

We create a new phenotype vector, Y, for this smaller dataset. This vector separates subjects based on their ND status, categorizing them into either *yes* or *no* groups. The *maybe* ND subjects are excluded from this vector, ensuring a more de nitive classi cation. This dataset has 295 subjects with 63 subjects with *maybe* ND status removed. We also set up the covariates matrix (X) and genotype matrix (Z) for this dataset, excluding the persons in the *maybe* ND category.

### 3.5.1 Null models

We then establish a null model for logistic regression to serve as the foundation for subsequent score tests in the SKAT-O framework. This model incorporates demographic and clinical covariates only. For the smaller dataset excluding the ND subjects, We focus only on logistic regression and do not establish a null model for Gaussian regression.

#### Logistic regression analysis

On a similar note, as we do for the previous larger dataset, we then use Rg/m() function to t a null model with logistic regression to be able to see the e ect of the various non-genetic covariates as listed below in Table 3.2.

	Estimate	Std. Error	z value	Pr(> j <i>Z</i> j)
(Intercept)	-2.985171	0.490243	-6.089	1.13e-09***
age	0.052634	0.008225	6.399	1.56e-10***
sexMale	-0.188837	0.259431	-0.728	0.4667
ekit.TCE	0.674749	0.340547	1.981	0.0477*
ekit.TwistMix	0.182780	0.427939	0.427	0.6693
ekit.Exon	-0.163016	1.298819	-0.126	0.9001

Table 3.2: E ect estimates in the logistic regression with unrelated subjects

From the results above, we see that:

- ^ A signi cant positive association is observed between age and the likelihood of neurological disorder (p < 0.001), indicating that older individuals are more likely to have an ND disease.
- <sup>^</sup> The coe cient for sex (male) is not statistically signi cant (p = 0.467), suggesting no signi cant di erence in the prevalence of ND between genders.
- <sup>^</sup> Subjects processed with enrichment kits in the `ekit.TCE' category shows a statistically signi cant association with ND (p = 0.048). As already mentioned, the `ekit.TCE' category corresponds to a combination of two enrichment kits in the original <persons> Excel le received from the investigator: `Twist Comprehensive Exome plus Refseq, Twist Exome 2.0, Twist Mix (Comprehensive plus 2.0)' used for 3 subjects and `Twist Mix (Comprehensive plus 2.0)' used for 32 subjects.

### 3.5.2 Alternative models

For the smaller dataset without the *maybe* ND subjects, we apply only the logistic regression analysis under the alternative hypothesis of genetic association. We do not consider Gaussian regression under the alternative hypothesis.

### Questionable variants

As described in the previous section, we calculated the sample frequencies of the three questionable variants, c.42del, c.80\_85del, and c.39\_40del. The sample frequencies in the smaller dataset were,

- *c.42del* 0.024
- *c.*80\_85*del* 0.0067
- *c.*39\_40*del* 0.02

To ensure the exclusion of the questionable variants, we set the missing cuto parameter in the SKAT() function slightly below the lowest observed frequency, speci cally to 0.005. Note that ve variants are removed from the analysis, including two additional variants present only in subjects with ND status *maybe*. These two additional removals are both deletions, `c.54\_58del' and `c.57\_59del'.

#### Logistic regression analysis

We again apply logistic regression implemented in the SKAT package to the sample of 289 unrelated subjects to assess the association between rare variants in exon 1 of the ATXN2 gene and neurological disorder (ND) status. A SKAT-O test based on 150,000 bootstrap replicates under the null hypothesis of no genetic association unveils genetic association ( $\rho = 0.005 \quad 0.008$ ) with ND status, following adjustments for potentially confounding variables such as age, sex, and enrichment kits.

## 3.6 Summary of results

Our analysis shows that the rare variants in exon 1 of the ATXN2 gene are associated with ND status.

<sup>^</sup> When subjects who are *maybe* ND are included in the analysis (i.e. *yes* and *maybe* versus *no*), rare variants in exon 1 of the ATXN2 gene are associated with ND status (p = 0.03) in a logistic regression analysis of ND status as a binary response. The logistic regression analysis is based on = 352 unrelated subjects and adjusts for age, sex, and enrichment kit as potential confounding variables.

^ Again, when subjects who are maybe ND are included (i.e. yes and maybe versus no),

## Chapter 4

## Conclusion

We start with an exploratory analysis to understand both the <persons> and <variants > data les that were shared with us. We begin our exploration with univariate summaries, where we examine each variable's unique characteristics and distributions. Through tabular summaries and visual aids such as histograms and box plots, we gain valuable insights into the composition and structure of the data. We identify the key variables: sample index, sex, ND status, enrichment kits, clinical information, age, and presence of a variant, understanding their frequencies, distributions, and potential relationships. We follow this with bivariate summary tables giving us valuable insights into the relationships between various variables in the <persons> data. We use exact association tests between various categorical variables to gain insights about associated variables such as ND status and enrichment kits, enrichment kits and the presence of variant, and ND status and the presence of a variant. We use boxplots to visualize the age distribution from parametric bootstrapping with B = 1000 replicates. The bootstrap F-tests indicate a positive association between ND status and age.

The data chapter lays the groundwork for more in-depth multivariate analyses and further research into the interplay between variants and neurodegenerative diseases. The insights gained in this chapter include the identi cation of the enrichment kit as a potential confounding variable in the association between ND status and the presence of a variant since it is signi cantly associated with both ND status and the presence of a variant. Another insight is that age is signi cantly associated with ND status.

Moving on, the analysis chapter explores the association between neurodegenerative disease and rare variants in exon 1 of the ATXN2 gene by performing a formal statistical analysis using the SKAT-O methodology [Lee et al., 2012]. We look at two datasets. The rst dataset retains the *maybe* ND subjects and considers them as cases along with the *yes* ND subjects. The second dataset excludes th*enaybe* ND subjects from the analysis (it considers the *no* ND subjects as controls and the *yes* ND subjects as cases. Two null models are t for the rst dataset with logistic and Gaussian regression respectively. R's glm() function is used to estimate the e ects of non-genetic covariates in the logistic regression in the absence of genetic e ects. The results of this logistic regression indicate a positive association between age and neurodegenerative disease and a negative association between the `ekit.TCE' enrichment-kit category and neurodegenerative disease. The alternative models are formulated removing the questionable variants below a threshold for their

# Appendix A

# Supplementary Tables

A.1 Univariate summary tables

Sample Index	Count
EX	8
P-ALS	93
P-AMY	3
P-AX	22
P-BGW	20
P-DIV	15
P-DYT	6
P-HL	3
P-MH	4
P-MY	42
P-NP	52
P-SPG	19
P-SW	3
P-SY	58
P-TM	10
<b>~</b>	

Sex	Count	
Female	177	
Male	181	

ND status	Count

	no	yes
EX	8	0
P-ALS	80	13
P-AMY	2	1
P-AX	17	5
P-BGW	19	1
P-DIV	14	1
P-DYT	5	1
P-HL	3	0
P-MH	3	1
P-MY	41	1
P-NP	50	2
P-SPG	15	4
P-SW	1	2
P-SY	53	5
P-TM	10	0

## A.3 R Scripts

An RMarkdown le explaining the R functions described in this thesis along with the entire code used can be found on GitHub at https://github.com/SFUStatgen/DJ

	no	yes
EX	8	0
P-ALS	88	5
P-AMY	3	0
P-AX	19	3
P-BGW	19	1
P-DIV	14	1
P-DYT	6	0
P-HL	3	0
P-MH	2	2
P-MY	37	5
P-NP	51	1
P-SPG	19	0
P-SW	3	0
P-SY	54	4
P-TM	10	0

	TCER vs2	Exon v7	TCE(RefSeq)	TCE(R,Ex,Mix)	T Mix
Female	121	2	37	2	15
Male	119	2	42	1	17