

- 1) Short summary of general concepts
- 2) Single particle image processing and 3D reconstruction: pre-processing steps

→ getting prepared for the practicals

Bruno Klaholz 2017, ReNaFoBis, Oléron School

<http://www.igbmc.fr>

<http://igbmc.fr/Klaholz>

Electron microscopy: application examples - Summary

Negative staining

2D observation + 3D reconstruction

Spreading

2D observation only

Shadowing

2D observation only

Cryo-EM

(2D observation +) 3D reconstruction

2D crystals

(2D observation +) 3D reconstruction

Tomography of cellular structures

(2D observation +) 3D reconstruction

Freeze-fracture

2D observation only

Sample preparation

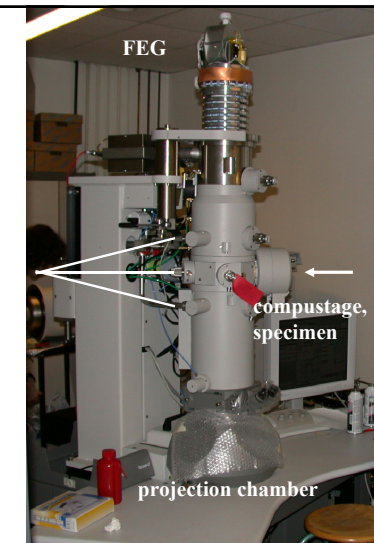
A new research project – steps to cross for single particle cryo-EM:

- functional studies
- purification and biophysical characterization of complexes (very important)
- optimization of the sample for imaging:
 - fast freezing (vitreous ice)
 - buffer composition
 - support type (holey carbon vs continuous carbon film)
 - concentration (~0.5 mg/ml)
 - ice thickness
 - absence of contamination

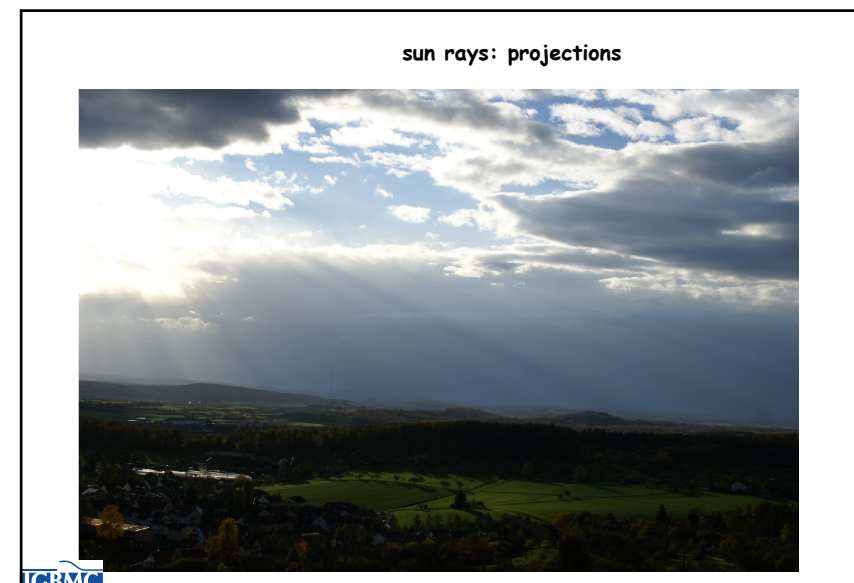
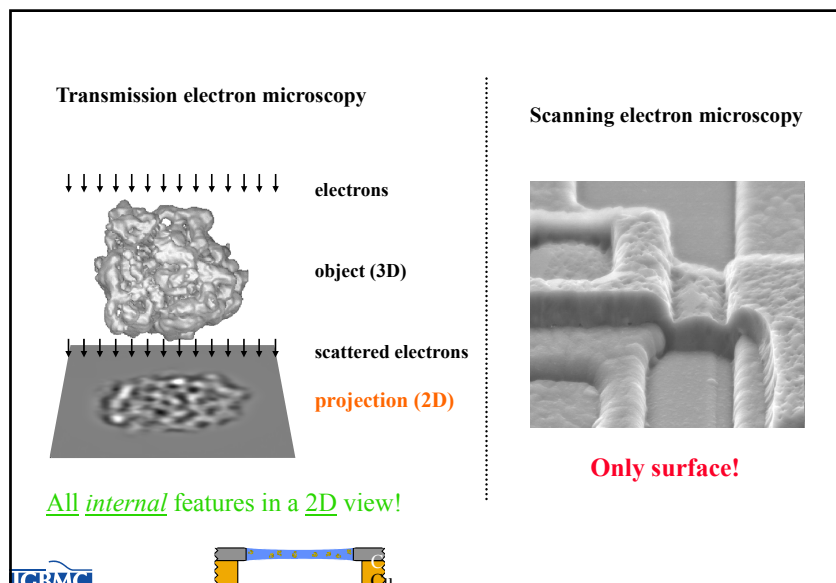
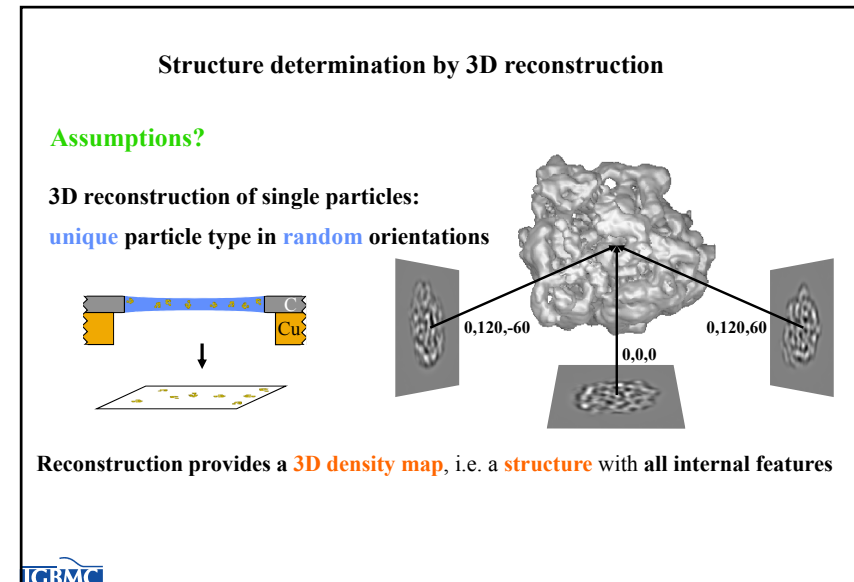
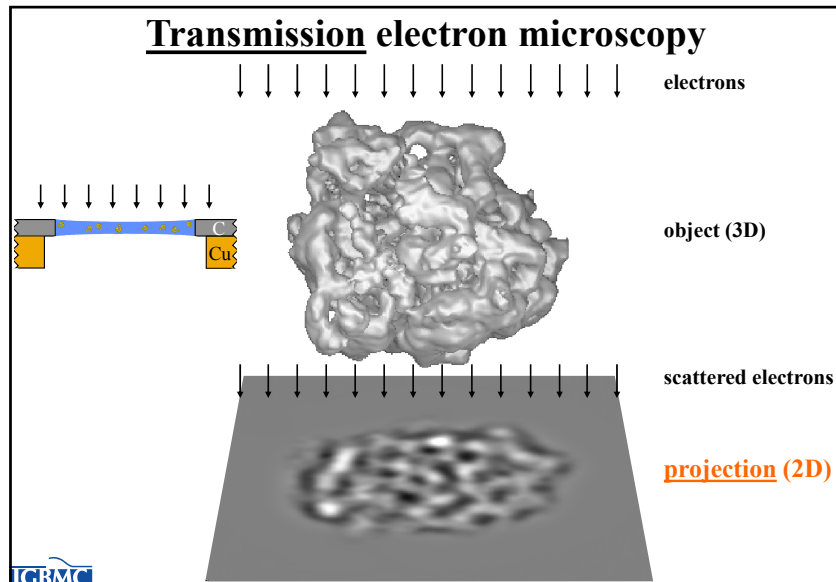


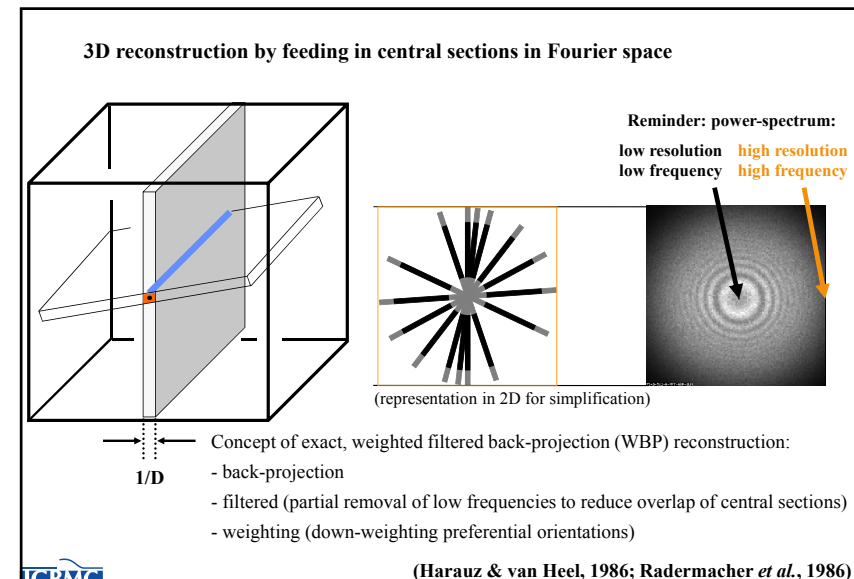
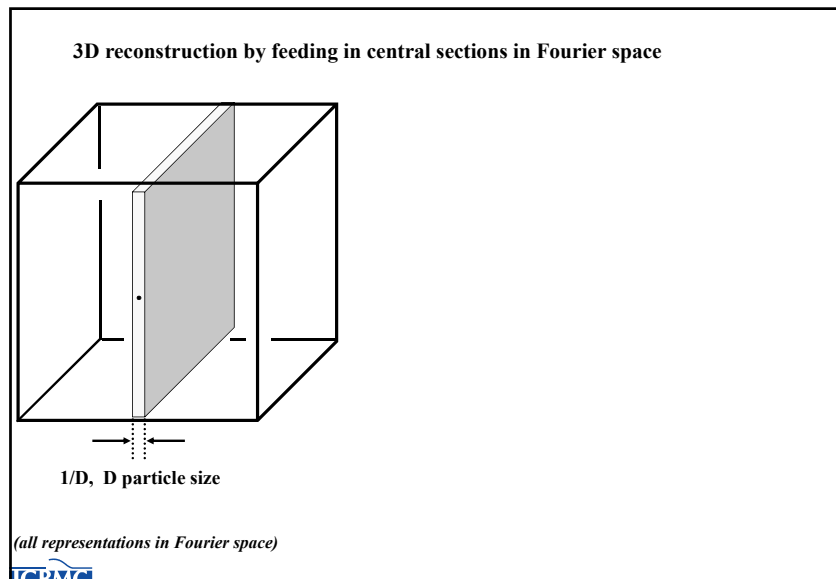
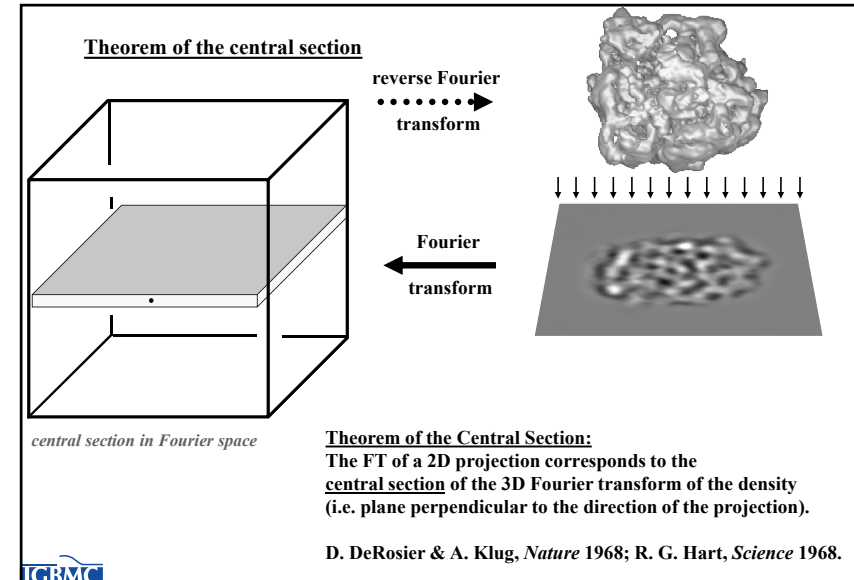
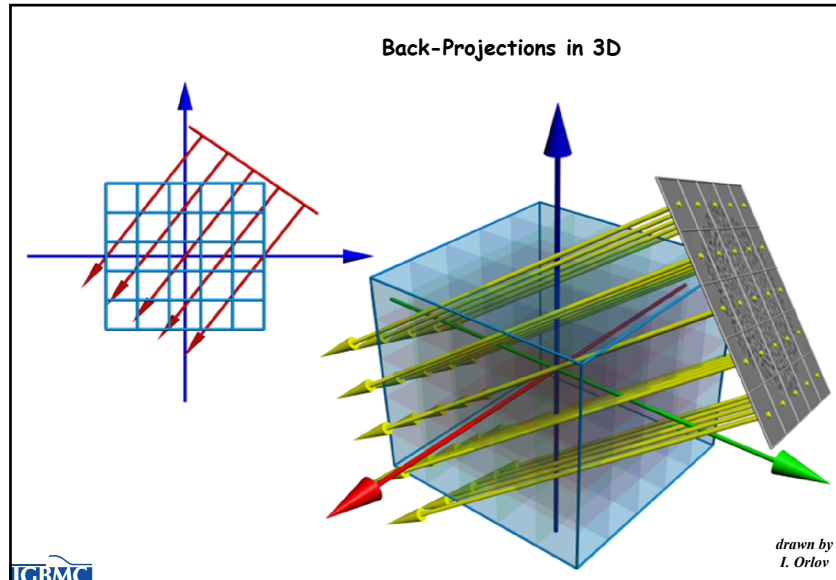
A transmission electron microscope (TEM)

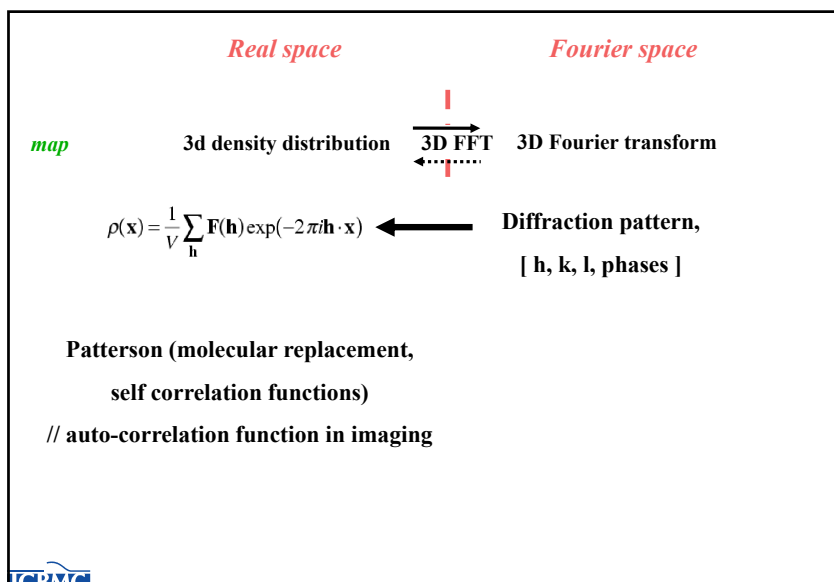
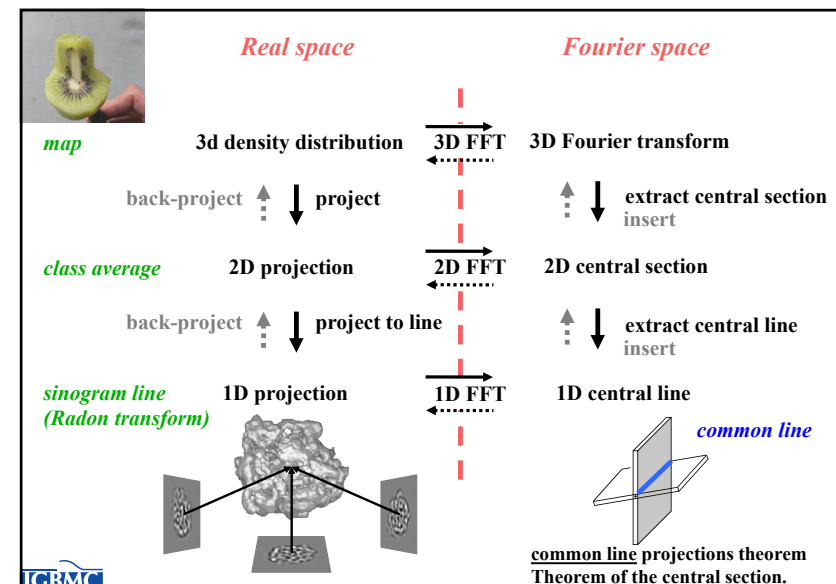
apertures



Field emission gun (FEG) electron microscope (Tecnai20, IGBMC)







Single particle image processing and 3D reconstruction

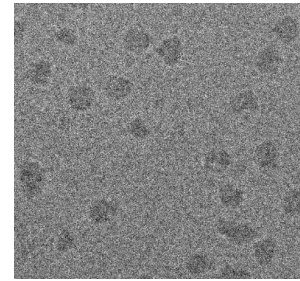
Single particle image processing and 3D reconstruction

I. Pre-processing

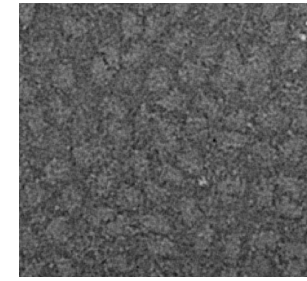
- image acquisition (CCD/CMOS camera; digitization of micrographs / negatives)
- particle selection, « boxing »
- correction of the contrast transfer function
- band-pass filtering and normalisation of particle images

I. Pre-processing

- Digitization of micrographs (negatives); not needed if CCD/CMOS images



CCD image (positive contrast)



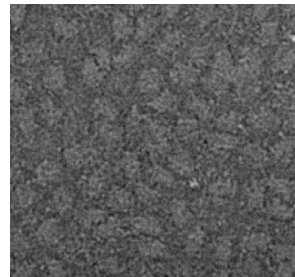
micrograph (negative contrast)

I. Pre-processing

- Digitization of micrographs (negatives)



high-resolution scanner (5000 dpi)



Sampling = Pixel size / Magnification

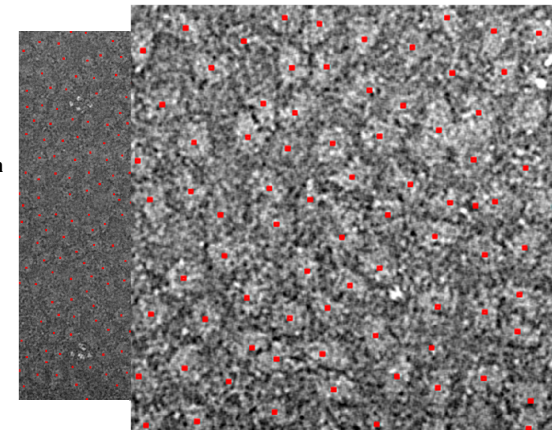
$5 \mu\text{m} / 50\,000 = 1 \text{ \AA} / \text{pixel}$ at specimen level

I. Pre-processing

- particle selection, « boxing »

What is important when selecting particles?

Proper centering!



I. Pre-processing

- correction of the contrast transfer function

Background: A cryo-TEM is a **Phase Contrast** Microscope



Frederik Zernike
Phase-contrast micr. (1930),
Nobel prize for physics 1956.

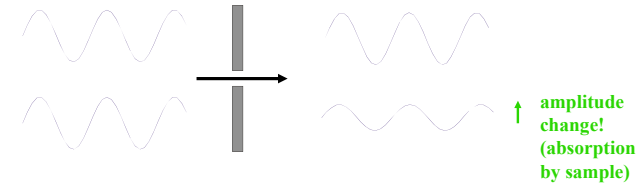
The electron microscope primarily is a phase contrast microscope.

Otto Scherzer formulated the contrast transfer theory for EM in 1949.

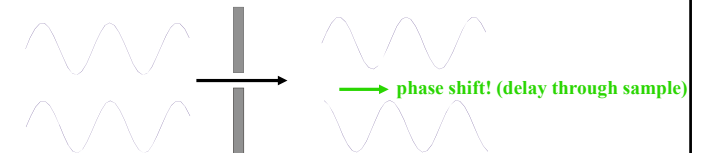
I. Pre-processing

- correction of the contrast transfer function

Amplitude contrast (inelastic scattering, absorption)



Phase contrast (elastic scattering)



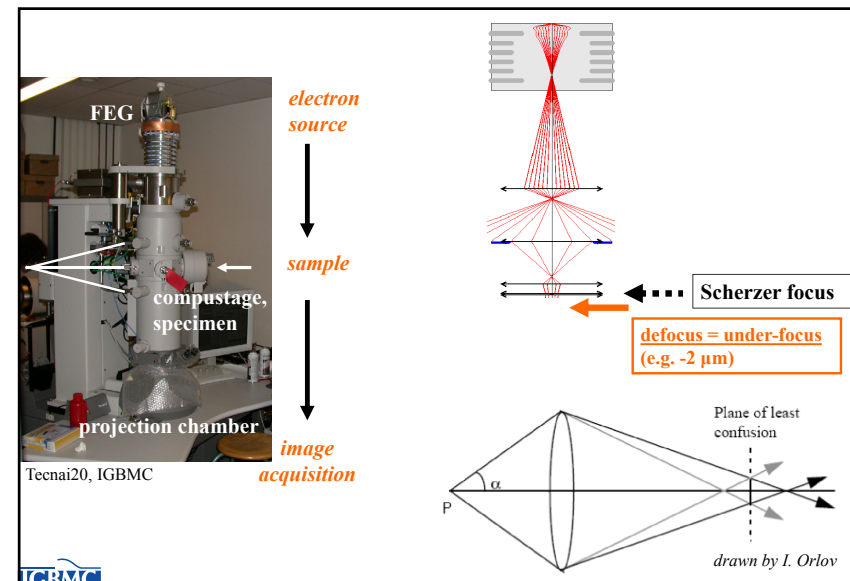
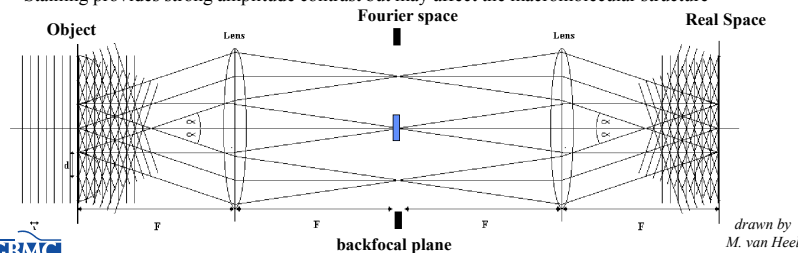
biological specimens are weak phase objects

I. Pre-processing

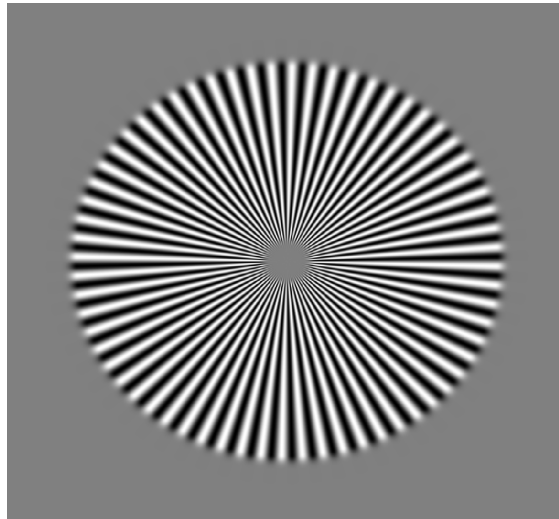
- correction of the contrast transfer function

Background: **Phase Contrast Microscope**

- Small phase difference difficult to observe
- Limited to study of thin specimens ($<1000\text{\AA}$)
- **Phase contrast is converted to amplitude contrast by defocusing the specimen**
- Same technique used in light microscopy to study unstained specimens
- Staining provides strong amplitude contrast but may affect the macromolecular structure



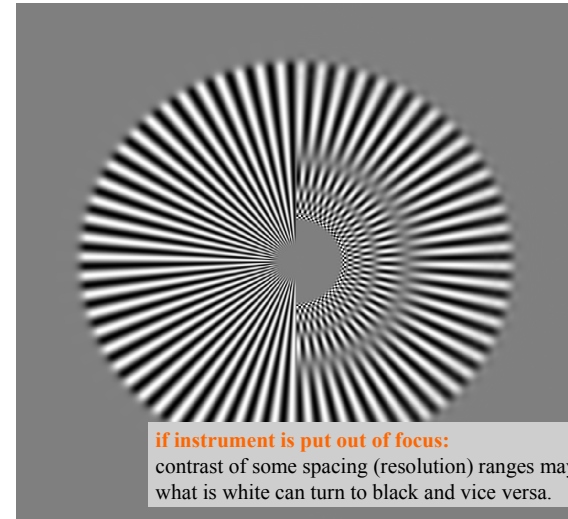
Siemens stars: a whole range of spacings / frequencies / resolutions in a single image



drawn by
M. van Heel



Calculated effect of an electron microscopical PhCTF on the image of a Siemens star



if instrument is put out of focus:
contrast of some spacing (resolution) ranges may be reversed,
what is white can turn to black and vice versa.

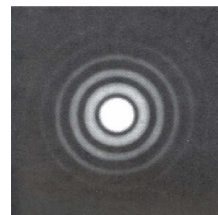
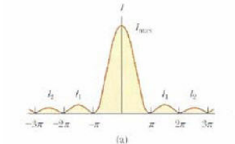
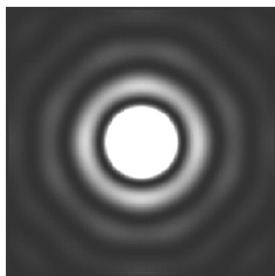


Contrast Transfer Function (CTF)

The phase contrast of heavy atoms theoretically is sufficient for imaging single atoms.

The image of a single atom will be a diffraction disc surrounded by diffraction fringes

→ contrast reversals.



drawn by I. Orlov



Analogy with X-ray diffraction (Fourier space!)

cryo-EM:
powerspectrum



Thon rings
(at zero crossing)

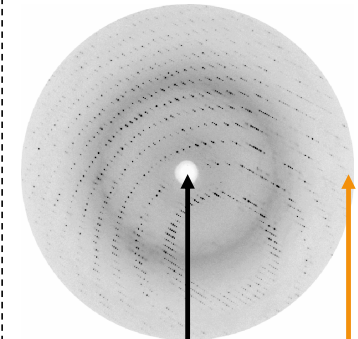
low resolution
low frequency

high resolution
high frequency

$\lambda = \sim 0.01 \text{ \AA}$



crystallography:
diffraction pattern

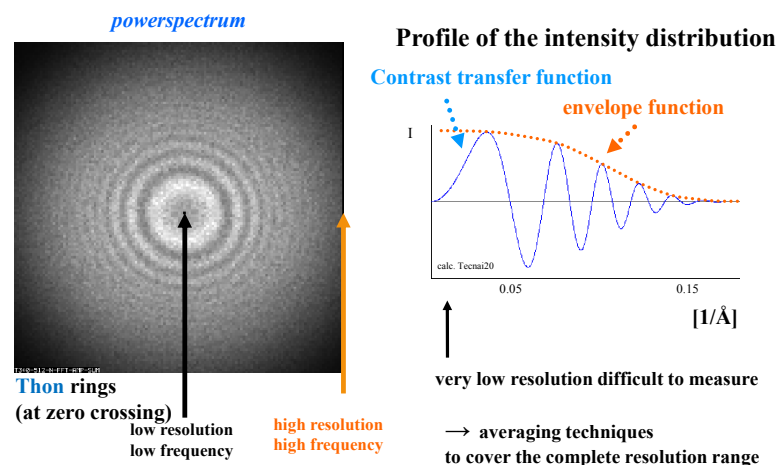


low resolution

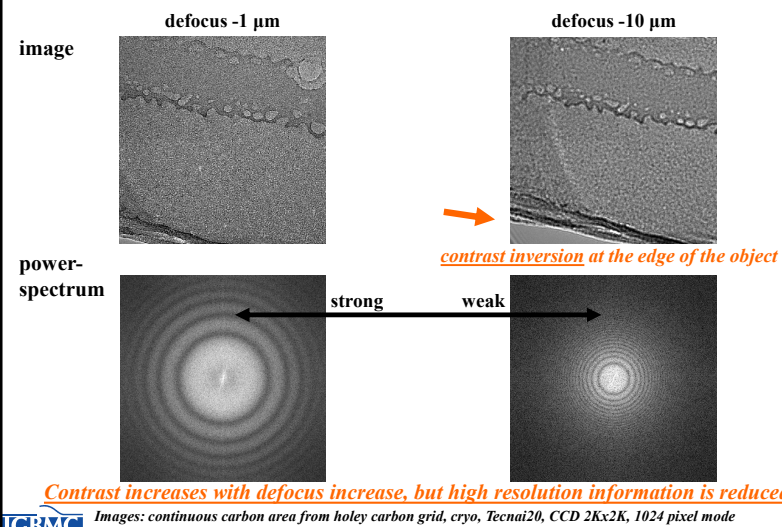
high resolution

$\lambda = \sim 1 \text{ \AA}$

Powerspectrum = Fourier Transformation of the image

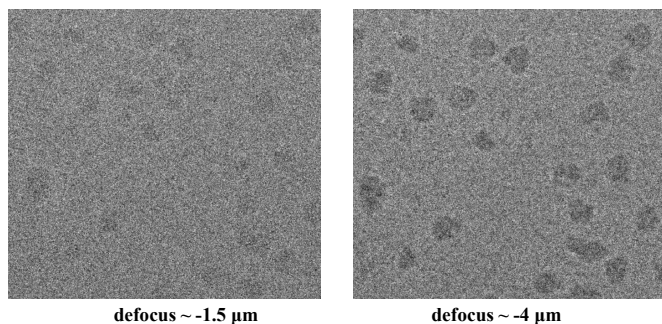


Defocusing: effect on contrast, power-spectrum and max. resolution



Defocusing: effect on contrast, power-spectrum and max. resolution

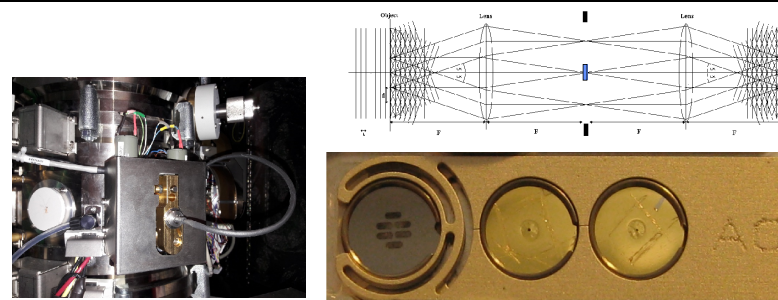
Images of single particles:



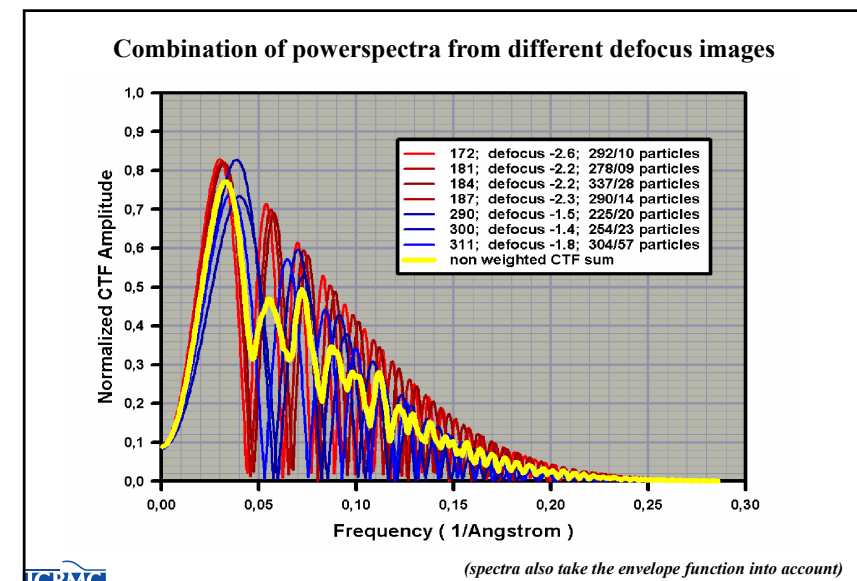
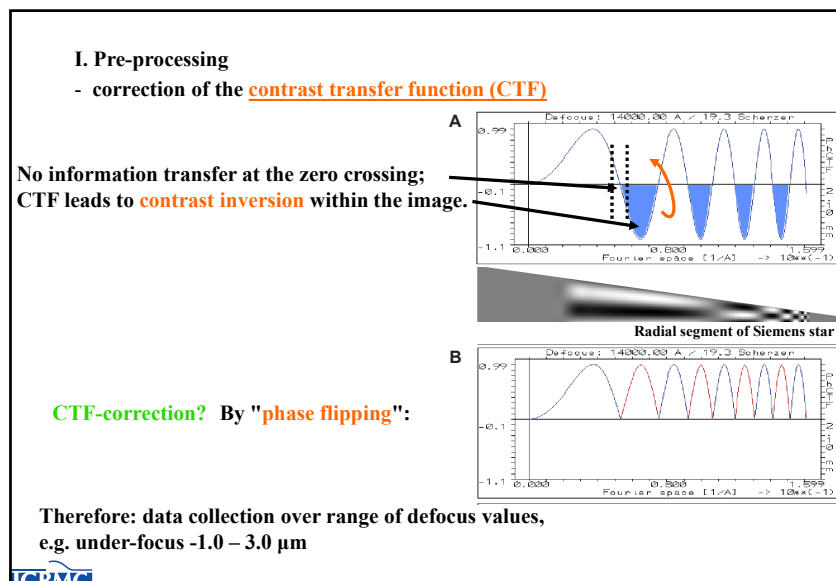
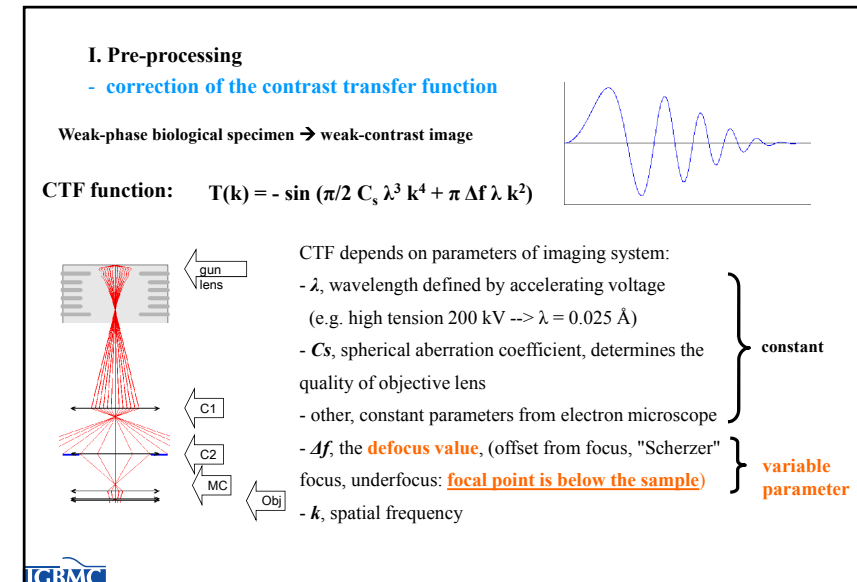
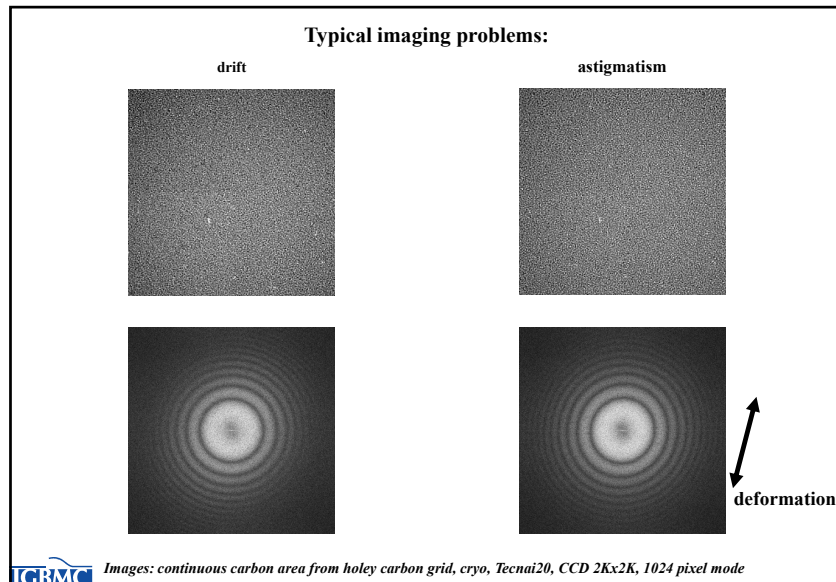
contrast inversion at the edge of the object

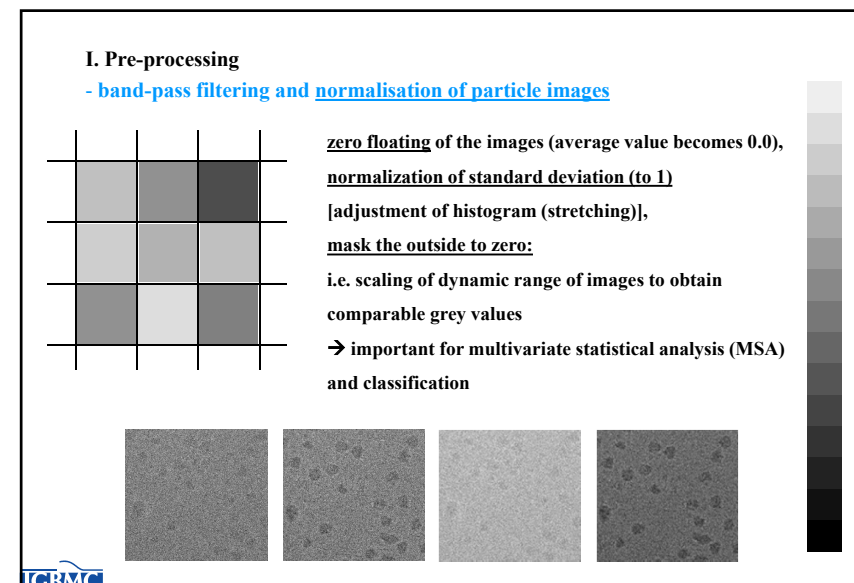
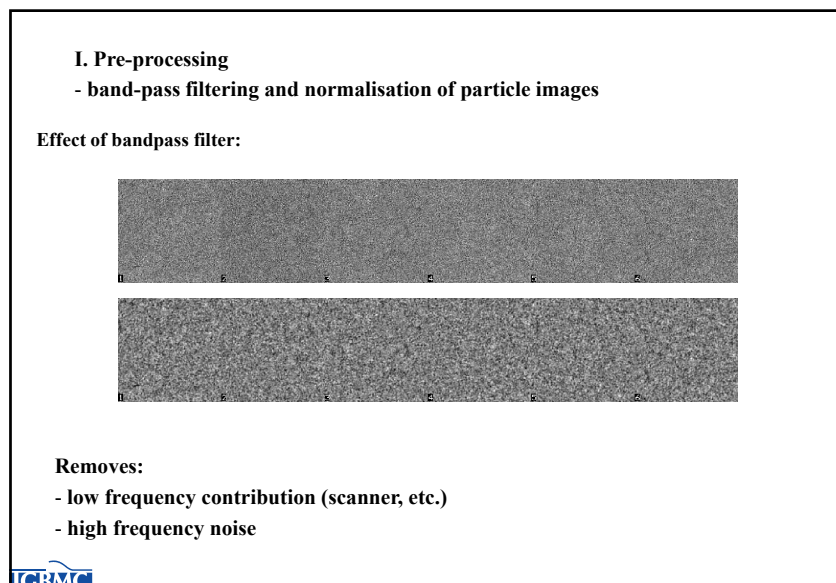
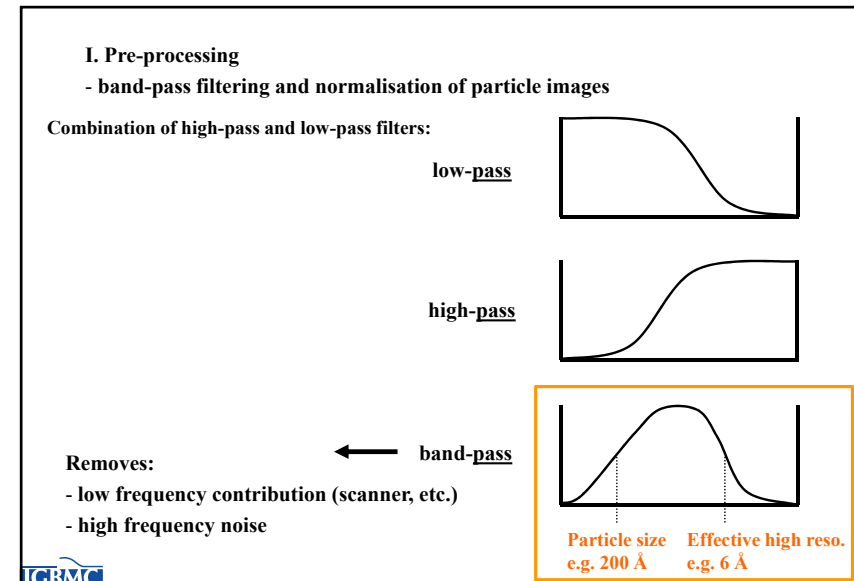
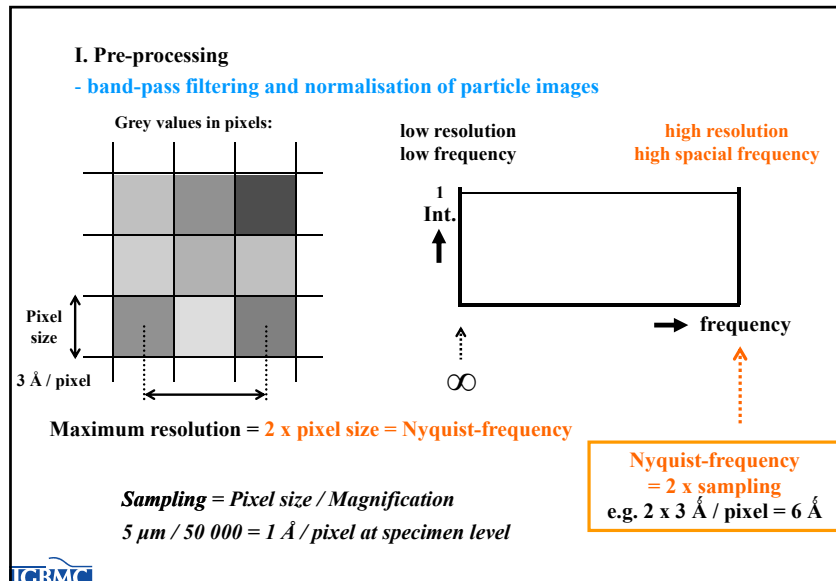
Contrast increases with defocus increase, but high resolution information is reduced

[comment: this contradiction is resolved with phase plates]



see pioneering work by
Danev & Nagayama, 2001 & 2006; Danev *et al.*, 2014; Khoshouei *et al.*, 2017; Danev *et al.*, 2017.





Single particle image processing and 3D reconstruction

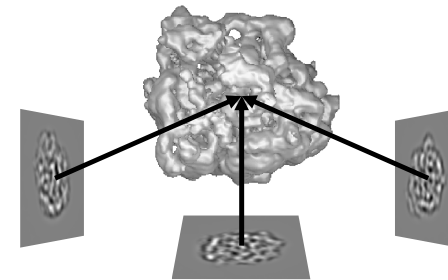
I. Pre-processing

- image acquisition (CCD/CMOS camera; digitization of micrographs / negatives)
- particle selection, « boxing »
- correction of the contrast transfer function
- band-pass filtering and normalisation of particle images

II. Structure determination

- particle centering / alignments
 - MSA (multivariate statistical analysis) + classification
 - angle assignment
 - angular reconstitution
 - projection matching
 - 3D reconstruction (first map)
 - structure refinement
 - resolution assessment
 - map interpretation; fitting of known structures, atomic model building
- } details in next lectures

Single particle image processing and 3D reconstruction.



Concept of 3D reconstruction: **back-projection (franc.: rétro-projection)**

(requires to have **angles** assign beforehand)

Reconstruction provides a **3D density map**, i.e. a **structure** with all internal features

Some basic concepts of cryo-EM & 3D reconstruction

Correct terms are important (be precise and rigorous in science:-) :

By cryo-EM, we obtain:

- a "3D reconstruction" (initial or refined)
- a "cryo-EM map" or "density"
- a "structure"

technically:

- back-projection
- angular reconstitution
- random conical tilt
- tilt series / tomogram

NOT:

- an "envelope" (would be SAXS or neg. stain. EM)
 - a "volume", units would be \AA^3 (e.g. volume of a pocket, volume x density = mol. mass)
 - a "surface", units would be \AA^2 (e.g. interaction surface between 2 proteins)
 - a "model", would be a **molecular model fitted to the map** (crystallography/cryo-EM)
or a model *compatible with* SAXS data or NMR restraints;
- other models: "homology model", "error model", "hypothetical model", "working model"

Single particle image processing and 3D reconstruction

I. Pre-processing

- image acquisition (CCD/CMOS camera; digitization of micrographs / negatives)
- particle selection, « boxing »
- correction of the contrast transfer function
- band-pass filtering and normalisation of particle images

II. Structure determination

- particle centering / alignments
- MSA (multivariate statistical analysis) + classification
- angle assignment
 - angular reconstitution
 - projection matching
- 3D reconstruction (first map)
- structure refinement
- resolution assessment
- map interpretation; fitting of known structures, atomic model building



*Overview of the concept:
align – classify – reconstruct in 3D*

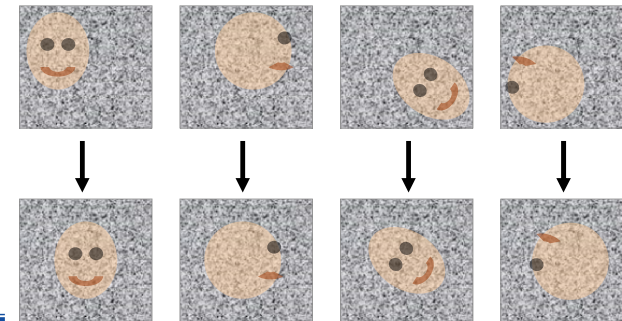
II. Structure determination

- particle centering / alignments

“reference-free” alignment (if structure unknown)
(or multiple reference alignment, if similar structure already known)

Translational Alignment

- Requires reference image(s) to align to



*drawn by
A. Patwardhan*



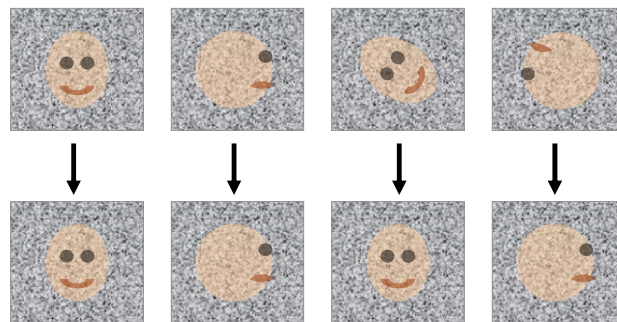
II. Structure determination

- particle centering / alignments

*Overview of the concept:
align – classify – reconstruct in 3D*

Rotational Alignment

- Requires reference image(s) to align to



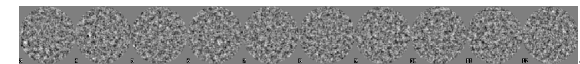
*drawn by
A. Patwardhan*



II. Structure determination

- particle centering / alignments

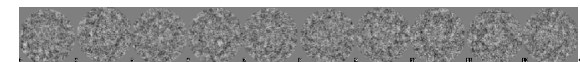
“reference-free” alignment (if structure unknown)
(or multiple reference alignment, if similar structure already known)



aligned to total sum of particles



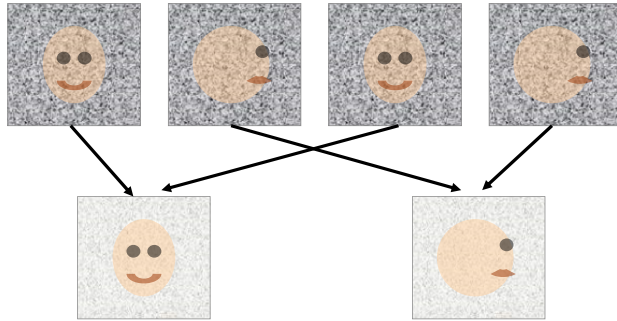
provides centered particle images:



II. Structure determination

- MSA (multivariate statistical analysis) + classification

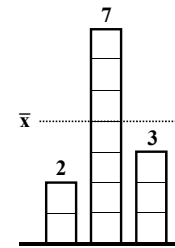
- Combine like views to improve signal to noise: **how?** Requires statistical analysis of the pixel intensities



*Overview of the concept:
align – classify – reconstruct in 3D*

Some "basic statistics"

example for 3 values (measurements)



$$n = 3$$

$$\sum x_i = 2 + 7 + 3 = 12$$

$$\bar{x} = 1/n \sum x_i = 1/3 (2 + 7 + 3) = 4$$

$$\sigma^2 = 1/n \sum (x_i - \bar{x})^2 = 1/3 [(2-4)^2 + (7-4)^2 + (3-4)^2] = 14/3$$

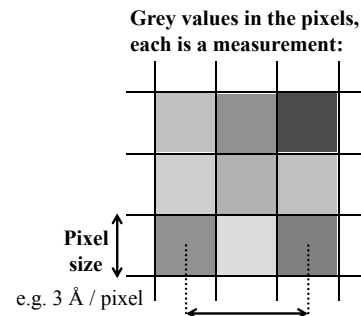
$$\sigma = \sqrt{1/n \sum (x_i - \bar{x})^2} = \sqrt{14/3} = 2.16$$

"normalization"

"how variable are the data"

variance
standard deviation

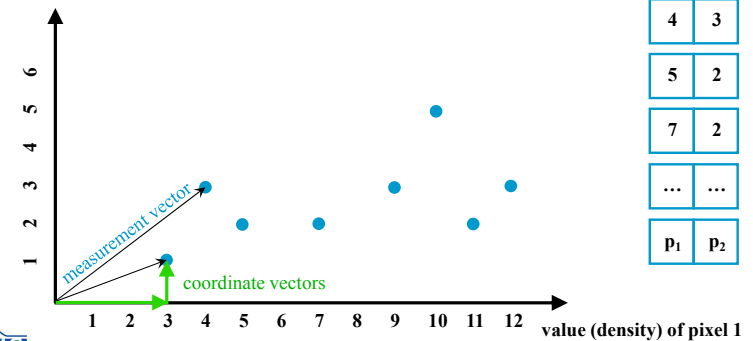
Images are composed of pixels:



Maximum resolution = 2 x pixel size (**Nyquist frequency!**)

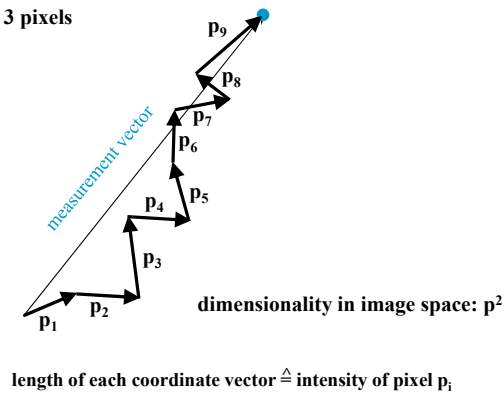
example: stack of n images with only 2 pixels
(2-dimensional hyperspace)

value (density) of pixel 2



extension to more dimensions,
example: image with 3 x 3 pixels

p ₁	p ₂	p ₃
p ₄	p ₅	p ₆
p ₇	p ₈	p ₉



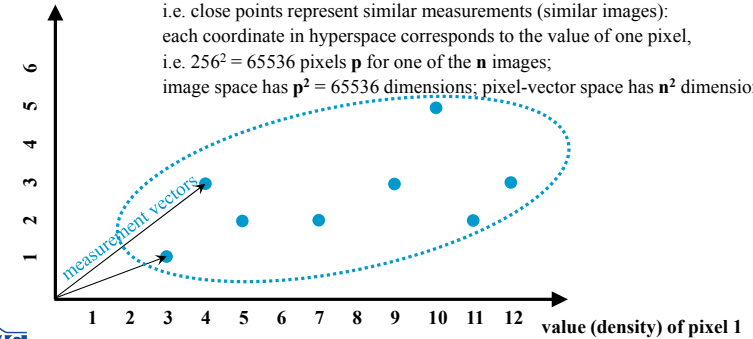
Large number of comparable measurements: stack of n images with the same size
(e.g. 256x256)

Describe image pixels as a vector of numbers (individual pixel values / densities).

This vector is positioned in hyperspace:

→ each measurement corresponds to a point in hyperspace,
all measurements thus create a data cloud.

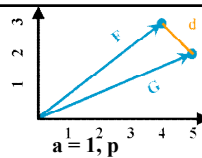
Distance between points in hyperspace defines similarity,
i.e. close points represent similar measurements (similar images):
each coordinate in hyperspace corresponds to the value of one pixel,
i.e. $256^2 = 65536$ pixels p for one of the n images;
image space has $p^2 = 65536$ dimensions; pixel-vector space has n^2 dimensions.



Similarity between two measurement vectors F and G :
inner product of the vectors (= correlation = covariance):

$$C_{FG} = 1/p \sum F_a \cdot G_a$$

covariance



$$C_{FF} = 1/p \sum F_a \cdot F_a = 1/p \sum F_a^2$$

variance

$a = 1, p$

Euclidian square distance:

e.g. unit cube:



$$d = \sqrt{1^2 + 1^2 + 1^2} = \sqrt{3}$$

$$D_{FG}^2 = \sum (F_a - G_a)^2$$

$$= \sum F_a^2 + \sum G_a^2 - 2 \sum F_a \cdot G_a$$

$a = 1, p$

(variances in F and G) minus $(2 \cdot \text{correlation between } F \text{ and } G)$:

short distance means high correlation

PCA metric (principal component analysis)

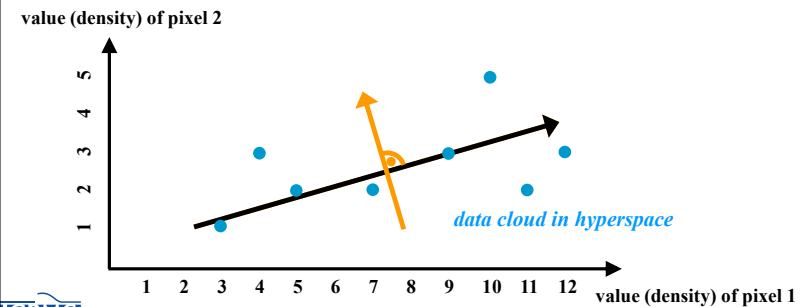
[for comparison: discrete correlation function: $C_{FG} = \sum F_a \cdot G_{(a-x)}$ with shift x ;

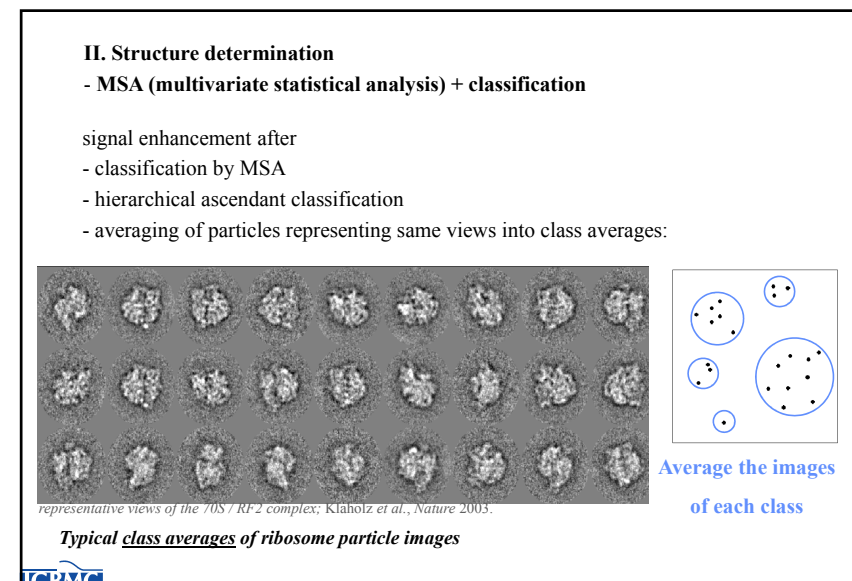
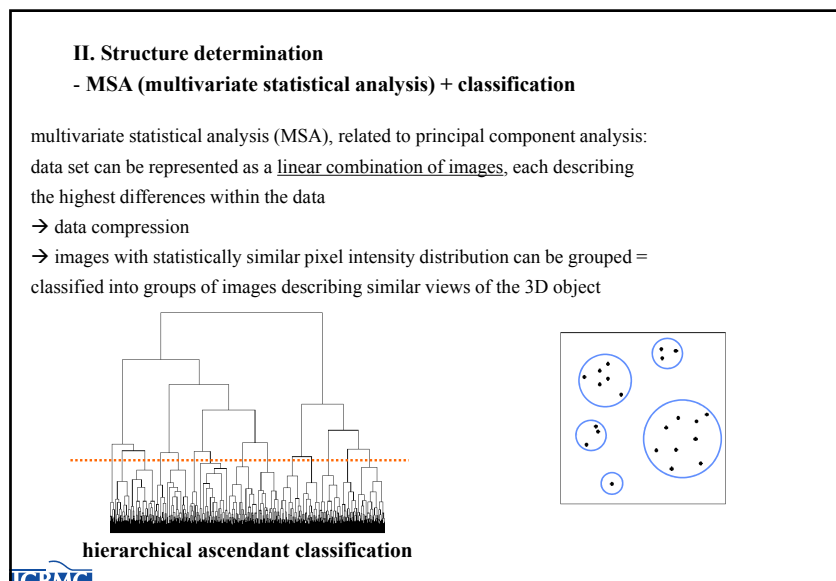
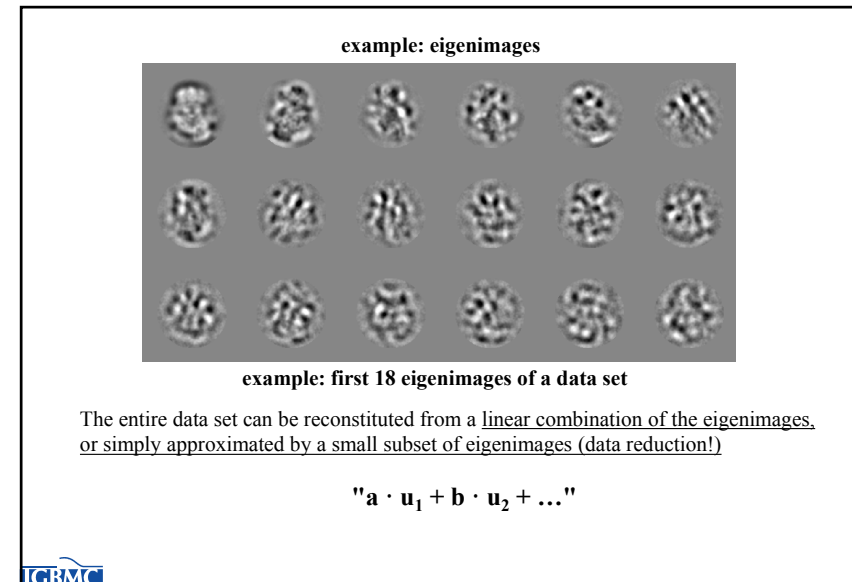
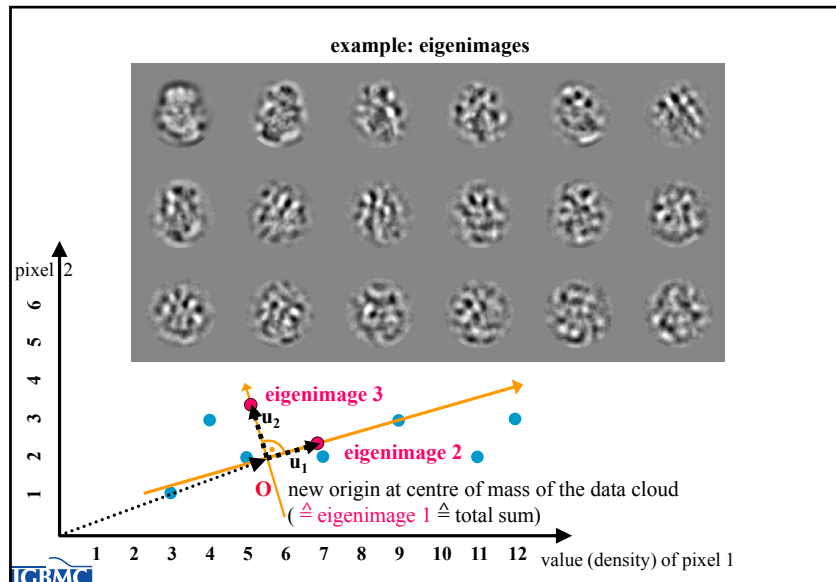
cross-correlation coefficient $CCC = \sum F_a \cdot G_a / \sqrt{(\sum F_a^2 \cdot \sum G_a^2)}$]

Aim of MSA: adapt the coordinate system of the hyperspace to the shape of the data cloud.

First axis of the rotated coordinate system will correspond to the largest elongation of the data cloud,
i.e. highest variance; the next (orthogonal) axis corresponds to the next-strongest variance.

Data reduction: use first few components that describe the strongest variations / main components;
reduction of dimensionality: e.g. 20 or 50 instead of p^2 (here 65536); gain factor **>1000**;
reduction of noise: by omitting higher components which describe only variance in noise;
main directions of variations: given by eigenvectors





Correct terms are important:

A classification is based on a statistical analysis:

- multivariate statistical analysis (MSA) provides information on variance (variability) which serves to merge similar images into class averages (classes); is independent of a reference
- classes **are NOT**: the sum of images that correlate best with a reference (through a multi-reference alignment)



Some references

- L. Borland & M. van Heel; Classification of image data in conjugate representation spaces, *J. Optic. Soc. Am. A*, 7 (1990) 601-610.
- M. van Heel *et al.*; Single-particle cryo electron microscopy: towards atomic resolution; *Quart. Rev. Biophys.* 33 (2000) 307-369.
- M. van Heel, Multivariate Statistical Classification of Noisy Images (Randomly Oriented Biological Macromolecules) *Ultramicroscopy* 13 (1984) 165-183.
- M. van Heel, Classification of very large electron microscopical image data sets, *Optik* 82 (1989) 114-126.
- E.R. Malinowski, *Factor Analysis in Chemistry*, 3rd ed. (2002)
- Benzécri J.-P. , L'Analyse des Données Vol 2, L'analyse des correspondances (1973-1980) Dunod Paris.
- Frank J: Three-Dimensional Electron Microscopy of Macromolecular Assemblies, Oxford University Press (2006).
- van Heel M, Frank J: Use of multivariate statistics in analyzing the images of biological macromolecules, *Ultramicroscopy* 6 (1981) 187-194.
- van Heel M: Multivariate Statistical Classification of Noisy Images (Randomly Oriented Biological Macromolecules), *Ultramicroscopy* 13 (1984a,)165-183.
- Ward JH: Hierarchical grouping to optimize an objective function. *J. Amer. Statist. Assoc.* 58 (1982) 236-244.



What can we apply MSA to?

- 2D classification (reference-free alignment: only centered data, not rotationally aligned)
- alignment by classification (alignment against class averages or a typical eigenimage)
- analysis of symmetry (through symmetry in the eigenimages)
- local MSA (focus on an area with high structural variability)
- re-classification of class averages belonging to an object view
- size-classification (e.g. White et al., *J. Mol. Biol.* 336 (2004) 453-460).
- 3D classification of structures (separation of mixed particle populations):
particles:3D-SC, sub-tomograms
- classification of powerspectra (sorting of defocus classes)

Important to do before MSA:

- normalisation
- filtering
- centered data (aligned if for structure refinement)
- define MSA area: MSA mask



Determining structures of multiple conformational states in a single sample

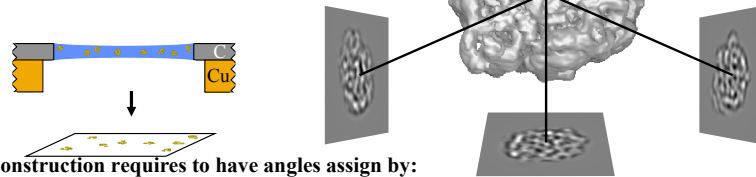


II. Structure determination

- angle assignment
 - angular reconstitution (in early stage of structure determination)
 - projection matching (if structure already well refined): find best correlation between input image and reference images from 3D re-projections)

3D reconstruction of single particles: **assumptions?**

unique particle type in random orientations



Reconstruction requires to have angles assign by:

- angular reconstitution (in early stage of structure determination), or
- projection matching (if structure already refined; reference-dependent; bias), or
- maximum likelihood parameter assignment/refinement

Real space

Fourier space

map

3d density distri

Fourier transform

back-project ↑ ↓ pro

↓ extract central section
insert

class average

2D projection

central section

back-project ↑ ↓ pro

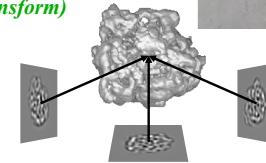
↓ extract central line
insert

*sinogram line
(Radon transform)*

1D projection

1D central line

common line



common line projections theorem
Theorem of the central section.

II. Structure determination

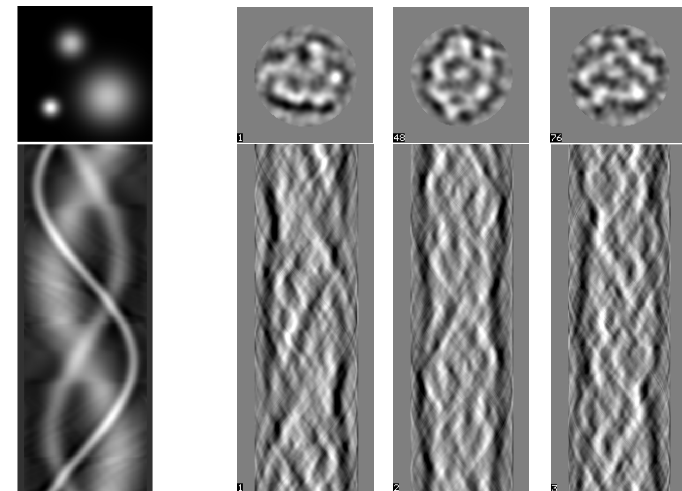
- angle assignment
- angular reconstitution

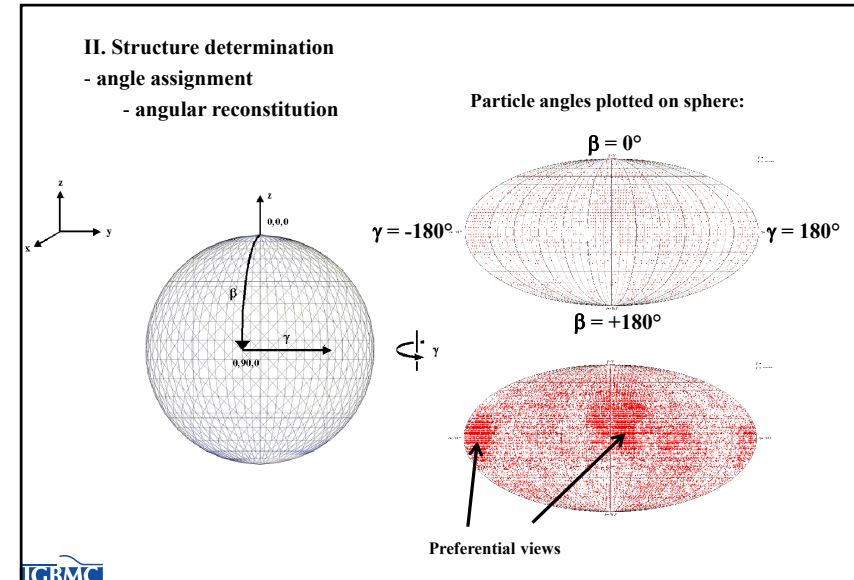
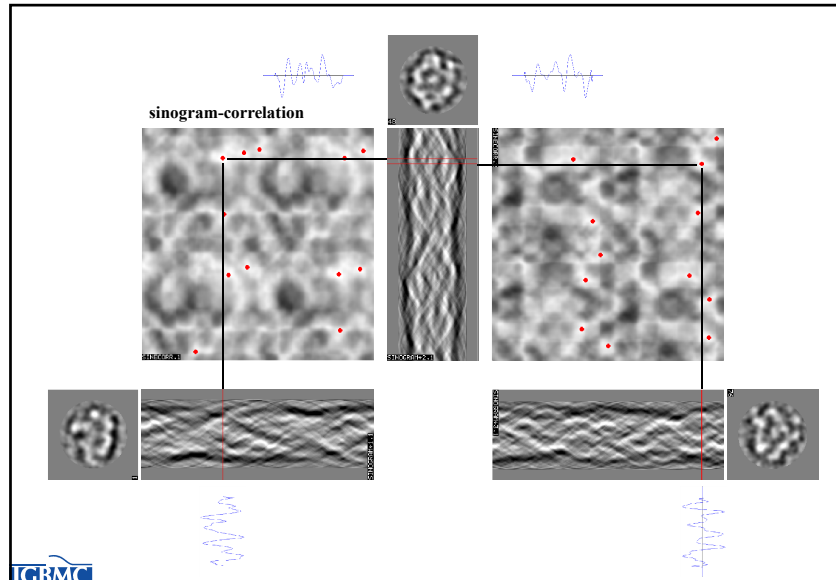


sinogram = **line-projection** of the 2D image
(also called Radon transform)

amplitude-square-root filtered

Select 3 clearly different views (here: class average numbers 1,48,76):





II. Structure determination

- angle assignment
- angular reconstitution

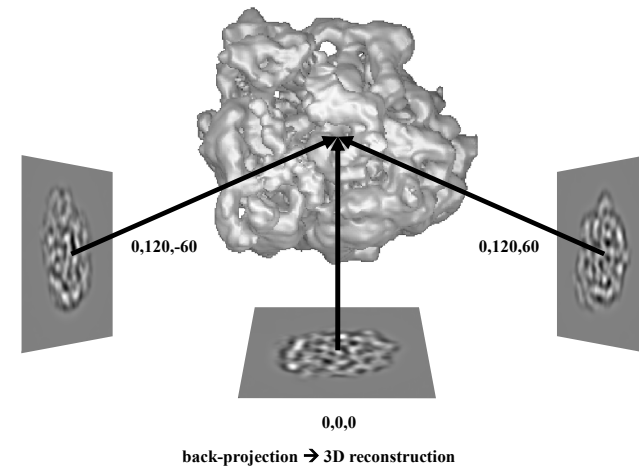
In case of *ab initio* structure determination by reference-free alignment and angular reconstitution:

Does not allow to determine **handedness**, requires either:

- random conical tilt (Radermacher *et al.*, J. Microsc. 1987)
- tomography
- phase residual error using a tilt pair (Rosenthal & Henderson, JMB 2003)
- fitting of crystal structures

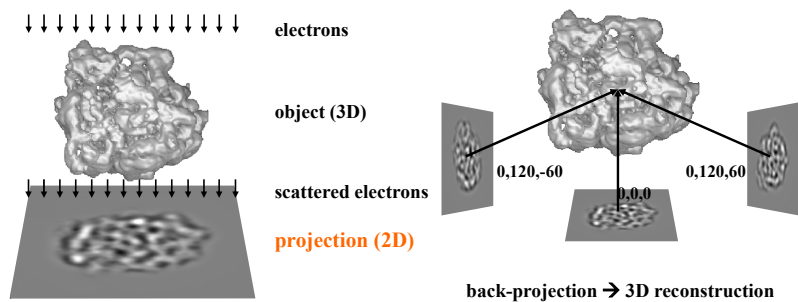
II. Structure determination

- 3D reconstruction



II. Structure determination - 3D reconstruction

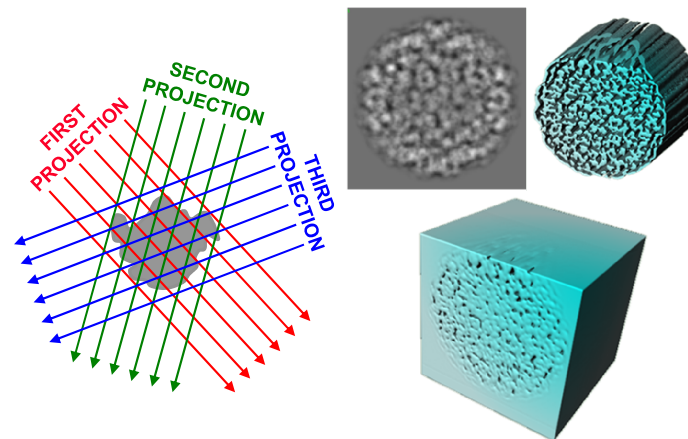
Transmission electron microscopy



All internal features in a 2D view!

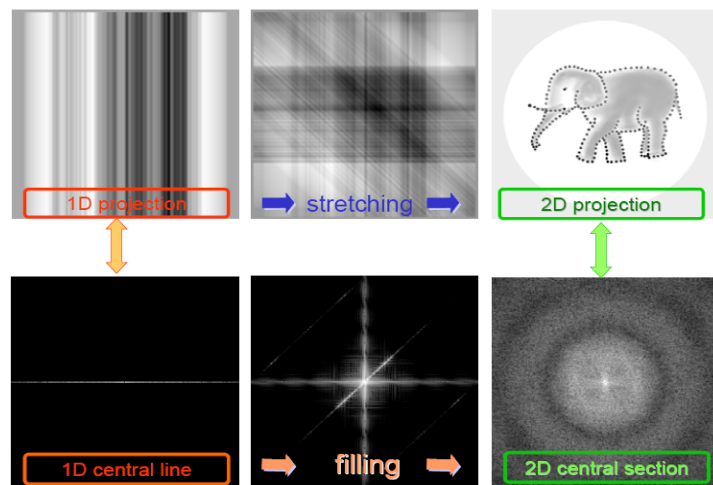


II. Structure determination - 3D reconstruction



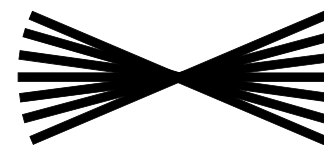
drawn by
I. Orlov

3D Reconstruction in REAL and FOURIER Spaces



From E. Orlov EMBO course for Image Processing for Cryo Electron Microscopy, 2013

Back projection of individual images
fills the reciprocal space by adding central sections:



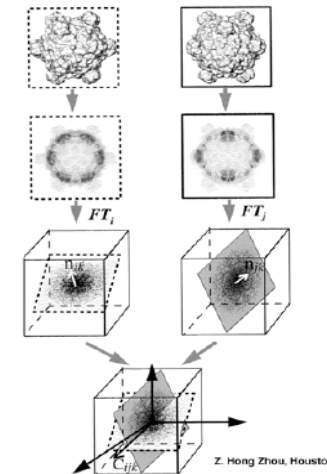
central sections in Fourier space

Filling Fourier space



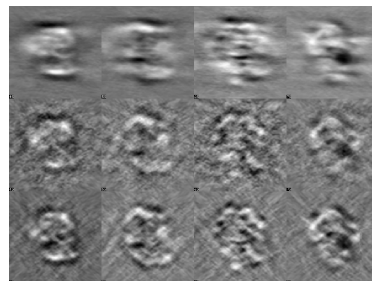
(example from tomography)

3D Reconstruction in REAL and FOURIER Spaces



Z. Hong Zhou, Houston

Importance of proper weighting in the case of preferential views



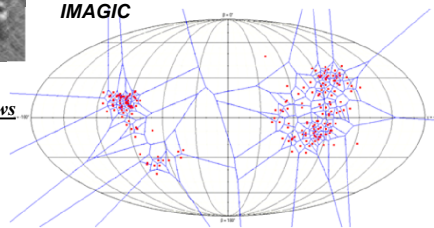
**BKPR
non-
weighted**

strong distortions/artifacts
in 3D reconstruction

**BKPR
weighted**

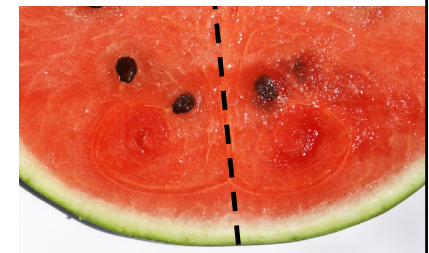
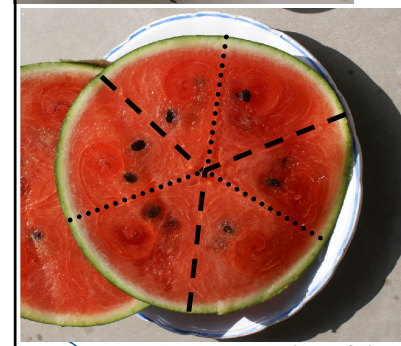
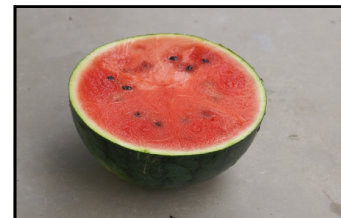
IMAGIC

sections of 3D's calculated from 250
class averages with strong preferential views



Orlov et al., in prep. (2016).

symmetries in nature...



ICRMC pseudo-symmetry: trimer of dimers!

watermelon photos: B. Klaholz, 2011

ICBM

Point group symmetries of biological objects
(e.g. used in single particle reconstructions)

C_n

80S ribosome, Khatter *et al.*

C_1

T

SPP1 bacteriophage, Orlova *et al.*, *EMBO J* 2003.

C_{13}

D_n

O

D_8

Chaperonine complex, Zhang *et al.*, *Structure* 2011

8-fold axis

2-fold axis

I

<http://csi.chemie.tu-darmstadt.de>

Practical Example - Icosahedral Reconstruction

other example:

small asymmetric unit

Careful: imposition of inexplicit symmetry can happen...

ICBM

Icosahedral Triangulation Number

The T-number is calculated by

- (1) applying a grid to the surface of the virus with coordinates h and k ,
- (2) counting the number of steps between successive pentagons on the virus surface,
- (3) applying the formula: $T = h^2 + h \cdot k + k^2$ gives the number of structural units per face, = number of subunits in the asymmetric unit

always 12 pentamers, but variable hexamer insertion

Multi-symmetric polyhedra:
Goldberg, Tôhoku Math., 1937.

Concept of quasi-equivalence:
Caspar & Klug, 1962.

$T = 1$

$T = 3$
 $(h,k) = (1,1)$

$T = 7$
 $(h,k) = (2,1)$

$T = 13$
 $(h,k) = (3,1)$

$T = 16$
 $(h,k) = (4,0)$

$T = 21$
 $(h,k) = (4,1)$

$T = 25$
 $(h,k) = (5,0)$

Subunit

Hexamer

Pentamer

http://viralzone.expasy.org/all_by_protein/1057.html

The two integers h and k describe the number of hexamers ($h+k-1$) one has to "walk over" to get from one pentamer to an adjacent pentamer.

see also Johnson & Speir, *JMB* 1997.

Mannige & Brooks, *PLoS One*, 2010

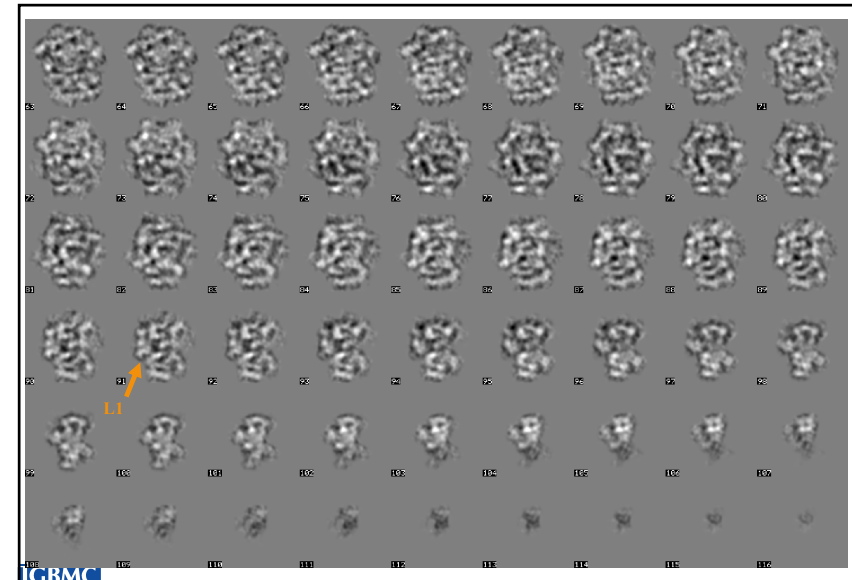
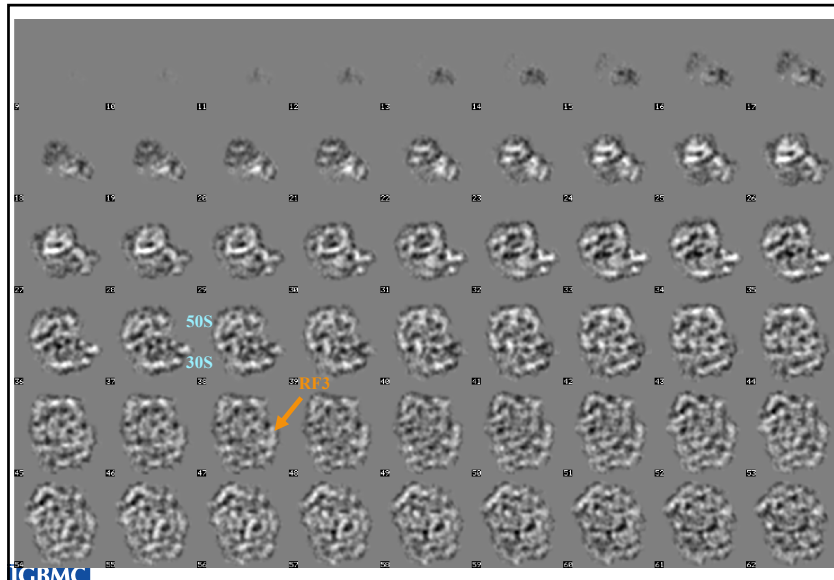
ICBM

II. Structure determination

- 3D reconstruction

Representing 3D structures as consecutive sections through the 3D structure:

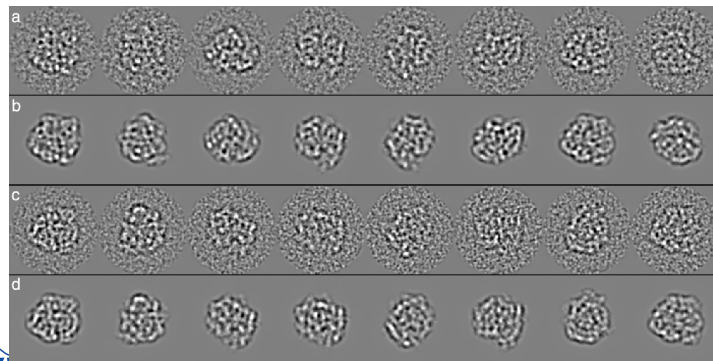
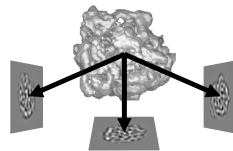
ICBM



II. Structure determination

- 3D reconstruction

cross-validation of angle assignment and image quality by comparison with re-projections according to the same angles



II. Structure determination

- structure refinement

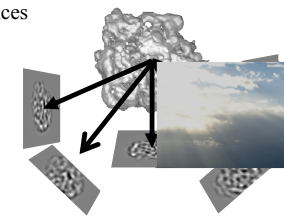
iteration



- centering/alignment
- variance analysis + classification
- angle assignment
- angular reconstitution → 3d-reconstruction
- reprojections = new references

"phase" the particles by aligning/classifying them

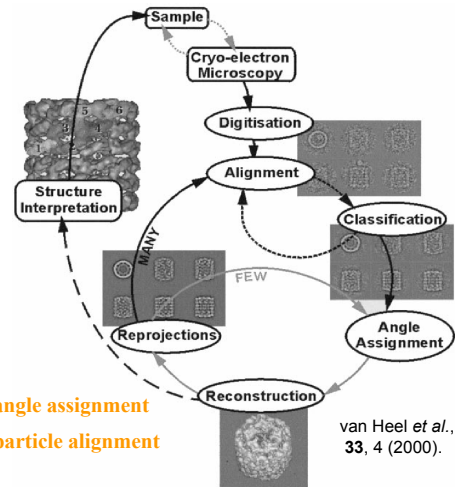
- improve quality of angle assignment
- improve quality of particle alignment



equally distributed
forward-projections
(re-projections)

II. Structure determination

- overview



- improve quality of angle assignment

- improve quality of particle alignment

van Heel *et al.*, Quart. Rev. Biophys.
33, 4 (2000).