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**Research Articles: Systems/Circuits**

**Selective modulation of orbitofrontal network activity during negative occasion setting**

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1 **Selective modulation of orbitofrontal network activity during negative occasion setting**

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4 **Abbreviated title (50 character maximum)**

5 OFC encoding of negative occasion setting

6

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49 **Abstract:**

50 Discrete cues can gain powerful control over behavior in order to help an animal anticipate and  
51 cope with upcoming events. This is important in conditions where understanding the  
52 relationship between complex stimuli provides a means to resolving situational ambiguity.  
53 However, it is unclear how cortical circuits generate and maintain these signals that  
54 conditionally regulate behavior. To address this, we established a Pavlovian serial feature  
55 negative conditioning paradigm, where male mice are trained on a trial in which a conditioned  
56 stimulus (CS) is presented alone and followed by reward, or a feature negative trial in which the  
57 CS is preceded by a feature cue indicating there is no reward. Mice learn to respond with  
58 anticipatory licking to a solitary CS, but significantly suppress their responding to the same cue  
59 during feature negative trials. We show that the feature cue forms a selective association with  
60 its paired CS, because the ability of the feature to transfer its suppressive properties to a  
61 separately rewarded cue is limited. Next, to examine the underlying neural dynamics, we  
62 conduct recordings in the orbitofrontal cortex (OFC). We find that the feature cue significantly  
63 and selectively inhibits CS-evoked activity. Finally, we find that the feature triggers a distinct  
64 OFC network state during the delay period between the feature and CS, establishing a potential  
65 link between the feature and future events. Taken together, our findings suggest that OFC  
66 dynamics are modulated by the feature cue and its associated conditioned stimulus in a manner  
67 consistent with an occasion setting model.

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74 **Significance Statement:**

75 The ability of patterned cues to form an inhibitory relationship with ambiguously rewarded  
76 outcomes has been appreciated since early studies on learning and memory. However, it was  
77 often assumed that these cues, despite their hierarchical nature, still made direct associative  
78 links with neural rewarding events. This model was significantly challenged, largely by the work  
79 of Holland and colleagues, who demonstrated that under certain conditions cues can inherit  
80 occasion setting properties whereby they modulate the ability of a paired cue to elicit its  
81 conditioned response. Here we provide some of the first evidence that the activity of a cortical  
82 circuit is selectively modulated by such cues, thereby providing insight into the mechanisms of  
83 higher order learning.

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100 **Introduction:**

101 Animals routinely learn to anticipate events by extracting information from their environments.  
102 However, this can be particularly challenging when individual cues only provide partial predictive  
103 information as is often the case in naturalistic scenarios. In these situations, animals will  
104 attempt to use disambiguating ‘features’ in order to accurately predict outcomes (Schmajuk and  
105 Holland, 1998). A good example of this type of learning is feature negative conditioning  
106 because behavioral success requires an animal to learn the pattern of cues that best predicts  
107 reward (Holland, 1984; Lamarre and Holland, 1987; Bueno and Holland, 2008). In the serial  
108 version of this task, animals learn that a single conditioned stimulus (CS) predicts a reward but  
109 when this same cue is preceded (with a temporal delay) by a separate feature cue, the trial  
110 goes unrewarded (Holland, 1985; 1992). Thus, the single cue elicits anticipatory behavior, but  
111 animals withhold their responses when the same cue is presented in feature negative trials.  
112 Studies have shown that the ability to conditionally discriminate between rewarded and  
113 unrewarded trials can occur in a wide range of species, from insects to humans (Pace et al.,  
114 1980; Nallan et al., 1981; Pace and McCoy, 1981; Abramson et al., 2013), and under a variety  
115 of stimulus conditions (Holland, 1992; 1997). In the mammalian brain there is evidence that  
116 these functions are mediated by specific circuits, including the retrosplenial cortex (Robinson et  
117 al., 2011), striatum, and orbitofrontal cortex (Meyer and Bucci, 2016). Despite these studies,  
118 there is still a relatively poor understanding of the relationship between feature cues and their  
119 associated conditioned stimuli that function to bias behavioral decisions.

120 There are two contrasting models that attempt to account for how neural circuits solve this  
121 problem. One model views the animal’s ability to discriminate rewarded and unrewarded trials  
122 as a basic function of elemental conditioning, where a CS acquires a positive associative  
123 relationship to the reward to promote conditioned responding, and the feature acquires a  
124 negative relationship to suppress responding (Rescorla, 1969; Rescorla and Wagner, 1972;  
125 Rescorla and Holland, 1977). On trials in which both cues are present, the feature cue’s

126 inhibitory influence simply overrides the CS's excitatory influence, due to the feature cue's direct  
127 negative association with the reward representation (conditioned inhibition model). In the  
128 opposing model, the feature cue functions as a negative occasion setter that does not make a  
129 direct association with the reward representation (Lamarre and Holland, 1987; Holland, 1984,  
130 1989; 1995a). Instead it modulates the ability of the CS to retrieve the reward association by  
131 acting as a kind of inhibitory gate (Holland, 1989; 1995a).

132 To gain mechanistic insight into these opposing models at the level of single-neuron spiking  
133 activity, we establish a Pavlovian feature negative conditioning paradigm in head-restrained  
134 mice, which is compatible with large-scale neural recordings using silicon-based microprobes.  
135 In our task, a CS predicts the delivery of reward, but there is no reward when this CS is  
136 preceded by a feature cue (Holland, 1995b; 1995a). We find that mice predominantly solve this  
137 task by using a strategy consistent with the second model (negative occasion setting), because  
138 the feature acquires the ability to specifically inhibit the reward association of its paired CS  
139 (Holland, 1984; 2008). Moreover, we find that neural activity within the OFC is consistent with  
140 this model because the feature appears to selectively modulate cue-evoked firing in a manner  
141 that correlates with behavioral performance. Finally, we also observe an 'activity silent' state  
142 (Stokes, 2015) in OFC network dynamics that could function to relay information during the time  
143 gap between the feature and CS cue. To our knowledge this is the first demonstration of a  
144 modulatory cortical circuit mechanism that specifically supports the occasion setting model.

145

146 **Materials and Methods:**

147 *Animals and surgical procedures*

148 All procedures were approved by the University of California, Los Angeles Chancellor's Animal  
149 Research Committee. Singly housed male C57Bl/6J mice (n = 8, 15-22 weeks old at the time of  
150 recording, The Jackson Laboratory) were used in the experiments. Animals underwent an initial  
151 head bar implantation surgery under isoflurane anesthesia in a stereotaxic apparatus to  
152 bilaterally fix, with dental cement, stainless steel head bars on the skull. After training, animals  
153 underwent a second surgery under isoflurane anesthesia on the recording day to make a single  
154 craniotomy for acute silicon microprobe recordings. An additional craniotomy was made over  
155 the posterior cerebellum for placement of an electrical reference wire. All behavioral training  
156 and recording sessions were carried out in fully awake head-restrained animals.

157

158 *Behavioral task*

159 We started food restriction one week after the initial head bar implantation surgery. Mice were  
160 fed daily after each training session to maintain ~90% of their baseline weight whereas water  
161 remained freely accessible in the home cage. To begin each training session, we mounted  
162 animals on the head bar restraint bracket and placed them on a polystyrene treadmill ball (200  
163 mm diameter, Graham Sweet Studios) that freely rotated in a forward/backward direction.  
164 Behavioral training consisted of four successive phases: 1) habituation, 2) odor and air puff  
165 conditioning, 3) feature negative conditioning, and 4) behavioral testing and electrophysiology.  
166 In the first phase, mice were initially habituated to the head restraint system and trained to  
167 consume a liquid reward (5  $\mu$ L, 10% sweetened condensed milk) delivered by actuation of an  
168 audible solenoid valve (Neptune Research). Licking was continuously monitored via an infrared  
169 lick meter placed in front of the reward delivery tube (Island Motion). During these sessions,  
170 animals were given rewards and exposed to a constant stream of pure air through a tube with a  
171 hole positioned in front of the nose (50 rewards per session, 13-21 s inter-trial interval (ITI), 1.5

172 L/min air flow). After mice learned to lick to at least 90% of the delivered rewards for two  
173 consecutive days, we began the second training phase. Mice received trials containing one of  
174 either two types of olfactory conditioned stimuli (CS1 or CS2, 1 s duration, 17-29 s ITI), or a mild  
175 air puff to the vibrissal pad. The air puff was odorless and thus provided a distinct (from the  
176 CS1 and CS2) but highly salient form of stimulus, which has been effectively used in head-fixed  
177 mouse behavioral paradigms (Guo et al., 2014). Aromatic compounds (isoamyl acetate in CS1,  
178 citral in CS2, Sigma-Aldrich) were diluted 1:100 in mineral oil (Sigma-Aldrich). Air (0.15 L/min)  
179 was bubbled through this liquid and combined with the 1.5 L/min stream of pure air. An  
180 additional air puff tube (which was separate from the odor delivery tubing system to prevent  
181 odors being mixed with the air puff) delivered a pulse of pure air to the vibrissal pad (0.5 s at 0.8  
182 L/min) on the side contralateral to the recording hemisphere. This intensity level did not evoke  
183 any noticeable startle response such as blinking. CS1 and CS2 were always associated with  
184 reward, which was delivered 2.5 s after odor onset. The 1.5 s gap between the offset of the  
185 odor and the reward allows cue-evoked behavior and neural activity to be examined in the  
186 absence of potentially confounding reward stimulus signals. The air puff was not followed by  
187 any explicit outcome. Animals received 30 presentations of each trial type (CS1, CS2, air puff)  
188 in pseudorandom order during daily sessions in the second phase of training. The solenoid  
189 valves controlling the olfactory cues were sound-isolated and thus inaudible to the animal.  
190 Typically, within two days of training, animals began predicting the delivery of reward following  
191 CS1 or CS2 cues by exhibiting anticipatory licking during the interval between the cue and  
192 reward. After mice demonstrated anticipatory licking on at least 90% of both CS1 and CS2  
193 trials, we began the third phase of training, in which the air puff was now set to serve as the  
194 feature cue. On unrewarded trials the air puff was presented starting 2.5 s before CS onset.  
195 The third training phase contained an equal proportion (33%) of CS1<sup>+</sup>, CS1<sup>-</sup>, and CS2<sup>+</sup> trials  
196 presented in pseudorandom order (approximately 100 trials per session; Figure 1B, left). The  
197 superscript '+' denotes that a CS was not preceded by a feature cue and was followed by

198 reward, while the superscript '-' denotes that a CS was preceded by a feature cue and was not  
199 followed by reward. The minimum reaction time for animals to initiate anticipatory licking was  
200 found to be around 0.5 s. Throughout the manuscript we define correct CS<sup>+</sup> trials as those  
201 containing anticipatory licking (when licking occurred between 0.5 and 2.5 s following odor  
202 onset), correct CS<sup>-</sup> trials as those in which animals withheld licking during this time period, and  
203 incorrect CS<sup>-</sup> trials as those when animals licked during this time period. When mice achieved  
204 at least 90% correct CS<sup>+</sup> trials and less than 10% incorrect CS<sup>-</sup> trials, we began the last training  
205 phase, comprised of a single session which coincided with electrophysiological recordings.  
206 Here we introduced transfer trials (TT) in which the CS2 cue was preceded by an air puff feature  
207 cue (a novel pairing) and followed by reward (Figure 1B, right). This last phase consisted of  
208 28% CS1<sup>+</sup>, CS1<sup>-</sup>, CS2<sup>+</sup> trials, and 15% transfer trials. Since the feature had never been  
209 previously associated with CS2, we used these transfer trials to determine which of two models  
210 (see Introduction) are implemented by the animals. To calculate the behavioral discrimination  
211 score, we subtracted the percentage of incorrect CS1<sup>-</sup> trials from the percentage of correct CS1<sup>+</sup>  
212 trials.

213

#### 214 *Electrophysiological recordings*

215 One recording was performed per animal with a microprobe containing a total of 256 electrodes  
216 divided across 4 prongs that were spaced 0.2 mm apart. An array of 64 electrodes on each  
217 prong spanned 1 mm along the dorsal-ventral axis. We recorded from the orbitofrontal region of  
218 the prefrontal cortex (2.3 to 2.5 mm anterior, 0.5 to 1.5 mm lateral, -2.0 to -3.0 mm ventral,  
219 relative to bregma). The silicon prongs were coated with a fluorescent dye (DiD, Thermo  
220 Fisher) prior to insertion, to facilitate post hoc histological reconstruction of the recording sites.  
221 Procedures for recording with silicon microprobes are described elsewhere (Shobe et al., 2015).  
222 After the recordings, animals were overdosed with isoflurane and perfused with 10% formalin  
223 solution (Sigma-Aldrich). The brain was extracted and fixed for a minimum of 24 hr at 4 °C.

224 Tissue was cut into 100  $\mu\text{m}$  sections on a vibratome and stained for DAPI (4  $\mu\text{g}/\text{mL}$ ) to visualize  
225 cell nuclei. Confocal imaging of DiD and DAPI fluorescence confirmed that recordings in all  
226 mice were located in approximately the same subregions of the OFC.

227

228 *Firing rate analysis, and identification of significantly discriminating or modulated cells*

229 Spike sorting was performed using custom, semi-automated scripts written in MATLAB  
230 (Mathworks, Cambridge MA) for the identification of putative single units. The analysis  
231 combined all types of units (putative pyramidal cells and interneurons). The mean firing rate per  
232 unit was calculated by binning spike count data into 5 ms time steps, convolving with a  
233 Gaussian kernel (SD = 25 ms), and averaging across trials of the same stimulus type (either  
234 CS1<sup>+</sup>, CS1<sup>-</sup>, CS2<sup>+</sup>, transfer). To determine whether a unit's activity significantly discriminated  
235 between CS1<sup>+</sup> and CS1<sup>-</sup> trials, we used a permutation test to detect significant differences in  
236 observed firing rate for each time step between these trials (Bakhurin et al., 2016). The firing  
237 rate was sampled from  $t = 0$  to 1 s post CS1 onset in time steps of 5 ms. For each time step,  
238 the data from CS1<sup>+</sup> and CS1<sup>-</sup> trials were shuffled, and a new absolute difference in firing rate  
239 was calculated. This was repeated 10,000 times to obtain a distribution of permuted differences  
240 in firing rates. A unit was defined as being discriminating if the absolute value of the observed  
241 rate difference was higher than the 99<sup>th</sup> percentile of the permuted distribution ( $p = 0.01$ ). To  
242 calculate whether a unit's activity was significantly modulated we applied the same permutation  
243 analysis to compare cue-related firing with baseline activity. In each case, we used a 1 s  
244 period, corresponding to the duration of the cue, to determine cue-related firing, and compared  
245 this to a 4 s within-trial baseline period (-7 to -3 s, 4 s duration chosen to provide a smooth  
246 baseline average).

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250 *Onset, offset cell and population overlap analysis*

251 Latency to peak firing during the period between the feature cue and CS ( $t = -2$  to  $0$  s from CS  
252 onset) was estimated from the maximum average firing rate using 5 ms time bins and a  
253 Gaussian kernel convolution. Firing rate was calculated from the average of both CS1<sup>-</sup> and  
254 transfer trials (i.e., all trials containing a feature cue). The observed latency distribution across  
255 all recorded cells (Figure 4C) showed a good fit to the sum of two Lorentzian distributions. We  
256 defined the cutoff between onset and offset cells at the local minimum in the latency distribution,  
257 which occurred at  $t = -1.9$  s from CS onset. The range of latency values was bounded from  $-2.5$   
258 to  $-1$  s. To determine the overlapping population size predicted by chance between the feature,  
259 CS1<sup>-</sup> and CS1<sup>+</sup> cues, we first calculated the percentage of neurons per animal ( $n = 8$ ) that was  
260 significantly modulated in response to these three individual cues. We then multiplied these  
261 three percentage values together to determine each animal's percentage of overlapping cells  
262 predicted by chance. This, in turn, was statistically compared to the observed overlap value of  
263 the corresponding animal using a paired t-test.

264

265 *Network state prediction analysis*

266 Analysis of cortical network state (Figures 5B, 5C) was performed separately for each animal,  
267 using both CS1<sup>-</sup> and transfer trials (i.e., all trials containing a feature cue). For the network state  
268 analysis, these two trial types were behaviorally indistinguishable because during the delay  
269 period, the animal had no prior knowledge of which CS it would subsequently receive. For each  
270 trial, the spike count for each unit was calculated for the 1 s period prior to the feature  
271 presentation (defined as the baseline, BL), and for the 1 s period occurring prior to the odor  
272 stimulus presentation (defined as the delay, DL). This resulted in two paired population rate  
273 vectors for each trial to be used in the classification algorithm. We used a binary support vector  
274 machine (SVM) classifier with a linear kernel, implemented in the LIBSVM library (version 3.21,  
275 (Chang and Lin, 2011)). The classifier was trained to distinguish between population rate

276 vectors on BL and DL periods (Figure 5B). We used a repeated five-fold cross-validation  
277 strategy, so that each training set contained four folds of trials, leaving the remaining fold for  
278 testing. Each fold of the data was used once for testing, ensuring that each trial was tested  
279 exactly once. During testing, each population rate vector in the tested fold was classified as  
280 belonging to either BL or DL periods. The classifier's performance was defined as the  
281 percentage of correctly classified BL and DL periods across all tested folds. We repeated this  
282 procedure 500 times, each time shuffling the order of trials allocated to the folds, to account for  
283 potential variability across trials in the population and to ensure the most accurate estimate of  
284 classifier performance. The average of all 500 accuracy scores was defined as the decoder  
285 accuracy score for each data set. To maximize decoder performance, we determined the  
286 optimal SVM misclassification cost parameter,  $C$ , via an iterative search across a range of  
287 parameters (also using five-fold cross-validation). The final value of  $C$  ranged from 0.002 to  
288 0.0625. To determine the chance level of performance for each population, we shuffled the BL  
289 and DL labels on the data. We then applied the binary classifiers that were trained on observed  
290 data to the randomized datasets in a parallel cross-validation procedure. The mean decoder  
291 accuracy score on the randomized data (approximately 50%) was used as chance level for each  
292 data set.

293 We used a similar approach to classify whether delay period activity prior to incorrect CS1<sup>-</sup>  
294 trials, was more similar to the baseline period prior to correct CS1<sup>+</sup> trials, or the delay period  
295 prior to correct CS1<sup>-</sup> trials (Figures 5D, 5E). For each trial, the spike count for each unit was  
296 calculated for the 1 s baseline period prior to the odor presentation during correct CS1<sup>+</sup> trials  
297 (defined as the baseline prior to licking, BLL), the 1 s delay period occurring prior to the odor  
298 stimulus presentation during correct CS1<sup>-</sup> trials (defined as the delay prior to lick withholding,  
299 DLW), and the 1 s delay period occurring prior to the odor stimulus presentation during incorrect  
300 CS1<sup>-</sup> trials (defined as the delay prior to errant licking, DLL). This resulted in a population rate  
301 vector for each trial of each class to be used in the classification algorithm. Since there were an

302 uneven number of correct trial observations (unlike in the paired situation described for the BL  
303 versus DL activity classification) we equalized the numbers of correct trials by randomly  
304 subsampling the larger population down to the size of the smaller population. This ensured that  
305 classification would not be biased toward the type of trial that contained a greater numbers of  
306 observations. After training the classifier on balanced data from the two correctly performed trial  
307 types, we then tested all of the DLL observations on the model and asked whether the classifier  
308 was more likely to identify activity in the DLL period as a BLL or DLW period. We repeated this  
309 procedure 500 times, each time shuffling the order of trials prior to subsampling, thus creating a  
310 new classifier on new combinations of training trials. To maximize decoder performance, we  
311 determined the optimal SVM misclassification cost parameter,  $C$ . The optimal parameter for  
312 each dataset was determined by first subsampling from BLL and DLW trials, and performing  
313 five-fold cross validation decoding while systematically varying  $C$ . This procedure was  
314 performed 100 times, with each iteration containing a new combination of subsampled trials.  
315 Thus, we chose the  $C$  parameter that resulted in the highest BLL and DLW separation. The  
316 final values of  $C$  ranged from 0.001 to 0.125.

317

#### 318 *Experimental design and statistical analyses*

319 All statistical tests were performed in MATLAB or Prism (GraphPad, La Jolla CA) software. The  
320 sample size, type of test used, and probability value is reported in the text and figure legends.  
321 All  $p$  values lower than 0.0001 are reported as  $p < 0.0001$ . One subject (animal # 1) was  
322 excluded from the analysis of Figure 5E for having only 1 DLL trial, which prevented a  
323 statistically sound analysis.

324

#### 325 **Results:**

##### 326 **Behavioral responses reveal a negative occasion setting strategy**

327 In the feature negative conditioning task, mice ( $n = 8$ ) are exposed to conditioned odor stimuli

328 (CS1 and CS2, 1 s duration) that are either followed by reward if no feature cue (mild air puff)  
329 was present, or not followed by reward if a feature cue was present prior to the odor stimulus  
330 (Figure 1A). Therefore, the presence or absence of the feature cue determines the outcome on  
331 that trial. On training sessions, we presented three trial types with equal likelihood: CS1<sup>+</sup>, CS1<sup>-</sup>,  
332 and CS2<sup>+</sup> (Figure 1B, left). Thus, during this training period, the feature cue was presented in  
333 half of the CS1 trials, but never paired with the CS2 trials. The final training session, which  
334 coincided with electrophysiological recordings, included transfer trials in the form of the same  
335 feature cue followed by the CS2 cue (Figure 1B, right).

336 On the final training session, the percentage of CS1<sup>-</sup> trials with licking was significantly  
337 reduced relative to CS1<sup>+</sup> trials (Figures 1C, 1E;  $p < 0.0001$ , paired t-test). Thus, mice learned  
338 that the feature predicts an unrewarded outcome with respect to the CS1 cue. In order to  
339 determine the specificity of the feature-CS association, we introduced a small percentage (15%)  
340 of transfer trials, which animals encountered for the first time during the recording session.  
341 Animals showed a reduction in licking on transfer trials relative to CS2<sup>+</sup> trials (Figures 1D, 1F;  $p$   
342 = 0.03, paired t-test). However, the inhibitory effect of the feature on licking in CS1<sup>-</sup> trials (62%  
343 median reduction, 28%, interquartile range, IQR) was significantly greater than its effect on  
344 transfer trials (9% median reduction, 21% IQR,  $p < 0.0001$ , paired t-test). Thus, the feature cue  
345 primarily suppressed CS1 elicited anticipatory licking behavior (compared with CS2), as  
346 predicted by the negative occasion setting model. This selectivity also suggests that information  
347 about the feature cue's presence is maintained during the delay period, in order to guide the  
348 animal's decision about whether to lick following the CS presentation.

349

### 350 **Feature cues selectively inhibit OFC encoding of conditioned stimuli**

351 Previous studies suggest that the OFC regulates feature negative behavior (Meyer and Bucci,  
352 2016). However, the neural activity correlates of this behavior have not been studied in this  
353 brain area. We used silicon-based microprobes (4 silicon prongs with 64 electrodes each) to

354 simultaneously record from dozens of orbitofrontal units during the final training session ( $n = 8$   
355 mice, 48 to 119 single units per animal). After each recording, we verified the silicon prong  
356 locations using confocal microscopy (Figure 2A), and used these images to estimate the  
357 recording site and corresponding unit positions. We found that the measurements were  
358 primarily located in the ventral and lateral subregions of the OFC (Figure 2B).

359       Based on the finding that the feature cue predominantly diminished levels of anticipatory  
360 licking in response to the CS1, we hypothesized that the feature cue would modulate odor  
361 stimulus-evoked cortical activity. Consistent with this prediction, we observed that the presence  
362 of the feature, on CS1<sup>-</sup> trials, suppressed the OFC population's mean firing rate relative to CS1<sup>+</sup>  
363 trials during the CS presentation period ( $n = 585$  units pooled across 8 mice, Figure 3A). We  
364 then separately examined the mean firing rate in each animal and found that the feature caused  
365 a significant reduction in firing rate during the 1 s CS1 presentation period (Figure 3D;  $p =$   
366 0.016, paired t-test). In contrast, we did not see any feature effect on mean CS2 evoked firing  
367 rate during transfer trials (Figures 3B, 3E;  $p = 0.46$ , paired t-test). Furthermore, we found a  
368 small but statistically significant difference ( $p = 0.045$ , paired t-test) between the feature-induced  
369 reduction in firing rate on CS1 compared to CS2 cues, demonstrating that the feature selectivity  
370 inhibits the encoding of the CS1 representation. We also found the OFC does not appear to  
371 encode choice, because we did not observe any difference in mean firing rate between CS1<sup>-</sup>  
372 trials with anticipatory licking and CS1<sup>-</sup> trials without licking (Figures 3C, 3F;  $p = 0.30$ , paired t-  
373 test).

374       To further examine the feature cue's effect on OFC neuronal responses to CS1 cues, we  
375 compared the firing rates between the CS1<sup>+</sup> and CS1<sup>-</sup> trials for each individual neuron during  
376 the 1 s cue presentation period ( $n = 585$  units pooled across 8 mice). We found that a  
377 significant fraction of neurons had a lower firing rate in the CS1<sup>-</sup> trials (Figure 3G;  $p < 0.0001$ ,  
378 paired t-test), suggesting that the feature suppressed the response of a large proportion of OFC  
379 neurons. We also found that the percentage of cells per animal that could discriminate between

380 CS1<sup>+</sup> and CS1<sup>-</sup> trials during the 1 s CS presentation period was significantly correlated with  
381 behavioral discrimination (Figure 3H;  $n = 8$  mice, Pearson  $r = 0.86$ ,  $p = 0.012$ ). Thus, the  
382 greater the proportion of OFC units that distinguished between non-feature and feature trial  
383 types, the better the animal was at correctly licking to CS1<sup>+</sup> trials and correctly withholding to  
384 CS1<sup>-</sup> trials. Therefore, these electrophysiological measurements, together with the  
385 corresponding behavioral tests, support the negative occasion setting model by showing that  
386 the feature cue selectively suppresses OFC activity and anticipatory behavior following CS1  
387 cues, but not CS2 cues.

388

#### 389 **Temporally specific feature encoders have unique discriminatory properties**

390 To further understand the encoding properties of feature and CS1 cues, we examined the firing  
391 patterns of individual neurons under different stimulus conditions. Across the recorded  
392 population, we found that a large proportion of cells appeared to respond to individual cues  
393 (feature, CS1<sup>+</sup>, or CS1<sup>-</sup>), or a combination of these cues (Figure 4A). To quantify this  
394 relationship, we calculated the proportion of units that were significantly modulated by single  
395 cues or different cue combinations. We found that across  $n = 8$  mice, 53% (median, 20% IQR)  
396 of the neurons responded to the feature whereas 51% (median, 15% IQR) and 42% (median,  
397 28% IQR) of neurons responded to the CS1 in the CS1<sup>+</sup> and CS1<sup>-</sup> trials, respectively (Figure  
398 4B). Notably, 31% (median, 19%, IQR) of the neurons responded to all three cues. This  
399 overlap is significantly higher than chance levels (10%, 11% IQR), based on the total number of  
400 identified units in the OFC (paired t-test,  $p < 0.0001$ ), suggesting a common representation of  
401 the cells that encode these stimuli. These results suggest that not only is OFC encoding of a  
402 reward-associated stimulus (CS1) modulated by the feature cue, but that this circuit is strongly  
403 tuned by stimuli that activate overlapping neuronal subpopulations.

404 In the population of feature responsive cells, we found evidence for heterogeneous  
405 response properties, with some cells responding early, and others later to the feature cue

406 (Figure 4A). We calculated each unit's latency to peak firing during the feature period, and  
407 found that the latency values appeared to cluster into two distinct firing groups (Figure 4C). One  
408 group of neurons fired maximally around the feature onset time (onset cells), whereas another  
409 group preferentially fired around the feature offset time (offset cells). We separately examined  
410 the mean CS1-triggered firing rate of the onset and offset cells, and found that they appeared to  
411 show different responses during the CS1 presentation period (Figure 4D). Specifically, the  
412 mean firing rate of onset cells appeared markedly reduced in CS1<sup>-</sup> relative to CS1<sup>+</sup> trials (Figure  
413 4D, top panel). This suggests that the CS1 representation associated with the onset population  
414 is highly susceptible to suppressive properties of the feature. In contrast, the response of offset  
415 cells to CS1 was less perturbed by the feature (Figure 4D, bottom panel). To quantify these  
416 differences, we compared the number of cells within each group that significantly discriminated  
417 between the CS1<sup>+</sup> and CS1<sup>-</sup> trial types during the 1 s CS1 presentation period. We found that  
418 the onset group contained a significantly larger proportion of discriminating cells relative to the  
419 offset group (Figure 4E;  $p < 0.0001$ , paired t-test).

420

#### 421 **Feature cues trigger a distinct network state in the delay period**

422 If the feature cue influences subsequent OFC encoding of reward-conditioned stimuli, we  
423 hypothesized that information about whether the feature cue was present is maintained in the  
424 OFC throughout the delay period. Previous work suggests that delay periods in working  
425 memory tasks often coincide with persistent firing patterns in the prefrontal cortex (Fuster and  
426 Alexander, 1971; Goldman-Rakic, 1995; Fuster, 2005; Constantinidis, 2015). However, our  
427 data revealed that the average firing rate in the OFC returns to baseline levels before the CS1  
428 onset (Figures 3A, 4D), suggesting that the feature cue does not trigger persistent changes in  
429 mean spiking activity. In support of this observation, there was no significant difference in mean  
430 firing rate between the final 1 s of the delay period (DL), and a 1 s baseline period prior to  
431 feature cue onset (BL, Figure 5A;  $n = 8$  mice,  $p = 0.11$ , paired t-test). We therefore wondered if

432 the OFC could still maintain the information about the feature cue's presence during the delay  
433 period without any significant persistent activity signal. We speculated that if the OFC is  
434 maintaining this information, it does so through an 'activity silent' but distinct network state  
435 (Stokes et al., 2013; Stokes, 2015), that does not give rise to an overt change in mean firing  
436 rate. An alternative possibility is that another region outside the OFC is exclusively responsible  
437 for maintaining the feature cue information. To determine whether OFC networks exhibit  
438 dynamics during the delay period that are distinct from the baseline period, we used a decoder  
439 to distinguish between population activity in the DL and BL periods from the same trial  
440 containing a feature cue (Figure 5B). The decoder was applied to simultaneously recorded  
441 populations of cells from individual animals. Our results reveal that for all animals tested, the  
442 decoder performed significantly above chance levels in discriminating between activity in the BL  
443 and DL periods (Figure 5C;  $n = 8$  mice,  $p < 0.0001$ , paired t-test). The average accuracy was  
444  $69 \pm 2\%$  (mean  $\pm$  SEM, dashed black line). To rule out any differential interaction between the  
445 paired BL and DL periods and the previous trial, we also compared the BL and DL periods from  
446 separate trials: CS1+ and CS1-, respectively. In this case, the decoder also performed  
447 significantly above chance levels in discriminating between activity in the BL and DL periods ( $n$   
448  $= 8$  mice,  $p < 0.0001$ , paired t-test, data not shown). The average accuracy was  $69 \pm 3\%$   
449 (mean  $\pm$  SEM), which is very close to our value using the paired period method. A direct  
450 comparison revealed no significant differences ( $n = 8$  mice,  $p = 0.96$ , paired t-test), indicating  
451 that both approaches produce the same result. Taken together, these findings suggest that,  
452 despite the absence of an overt change in mean population firing rate, the feature induces a  
453 distinct network state in the OFC during the delay period.

454 Finally, we examined whether OFC network dynamics during the delay period also provide  
455 information about the subsequent behavioral choice of the animal on that trial. In other words,  
456 is there a prospective code during the delay period that predicts whether or not the mouse will  
457 lick? To test this, we took advantage of the observation that mice sometimes licked incorrectly

458 during CS1<sup>-</sup> trials (Figure 1C). We trained a classifier to distinguish between population activity  
459 occurring during the baseline period prior to correct CS1<sup>+</sup> trials (BLL), and the delay period prior  
460 to correct CS1<sup>-</sup> trials (DLW). First, using cross-validation, we found that the classifier could  
461 distinguish these periods above chance levels ( $n = 8$  mice,  $p < 0.0001$ , paired t-test, data not  
462 shown), consistent with a distinct network state during DL and BL periods shown in Figure 5C.  
463 We next examined whether OFC population activity in the delay period prior to incorrect CS1<sup>-</sup>  
464 trials (DLL) was classified more frequently as a BLL or DLW period (Figure 5D). There was a  
465 significant preference for the classifier to label DLL as a DLW period (Figure 5E;  $n = 7$  mice,  $p =$   
466  $0.018$ , paired t-test). The average accuracy was  $64 \pm 4$  % (mean  $\pm$  SEM, dashed black line).  
467 Thus, it appears that in the OFC, the feature rather than the behavioral outcome (i.e., licking)  
468 dictates the delay period network state. This is consistent with our earlier findings showing no  
469 significant difference in mean firing rate between correct and incorrect CS1<sup>-</sup> trials (Figures 3C,  
470 3F). These findings suggest that the feature triggers a network state that is maintained  
471 throughout the delay period, which could function to downregulate the network's response to the  
472 CS1 stimulus.

473

474 **Discussion:**

475 This is, to our knowledge, the first study to show the neural dynamics that may underlie an  
476 occasion setter's ability to modulate behavior. A key insight that this study reveals is the  
477 selective nature of the association between the feature cue and the conditioned odor stimulus  
478 (Holland, 1984). The feature causes animals to suppress their conditioned responding in the  
479 form of anticipatory licking to a trained stimulus (CS1). However, the ability of the feature to  
480 suppress conditioned responding does not transfer to another stimulus (CS2) that had never  
481 previously been paired with the feature. Neural recordings in the OFC complement this finding  
482 by showing that the feature negatively modulates activity triggered by CS1, but this modulation  
483 effect does not transfer to the CS2 cue. This lack of transfer, observed in both our behavioral

484 and neurophysiological data, rules out the simple Rescorla-Wagner model since this model  
485 posits that the feature's inhibitory properties should transfer to any CS paired with that reward.  
486 The fact that we did not observe transfer thus provides strong evidence against a direct  
487 inhibitory link between the feature cue and reward. Furthermore, our data suggest that the OFC  
488 may be involved in the task, because a measure of the level of OFC modulation by the feature  
489 (percent of cells per animal that discriminate between CS1<sup>+</sup> and CS1<sup>-</sup> trials) significantly  
490 correlates with an individual animal's behavioral discrimination. Together, our findings provide  
491 strong evidence for the negative occasion setting model (Holland, 1984; Lamarre and Holland,  
492 1987) in which a feature cue can modulate the ability of a separate cue to retrieve its reward  
493 association.

494 Our data also suggest a possible OFC information transfer mechanism between the feature  
495 and conditioned odor stimulus during the delay period. Many studies on working memory have  
496 found persistent changes in mean population firing activity that accompany the delay period  
497 (Fuster and Alexander, 1971; Goldman-Rakic, 1995; Miller et al., 1996; Miller and Cohen, 2001;  
498 Pasternak and Greenlee, 2005; Liu et al., 2014). While we found that many cortical neurons  
499 were activated within ~1.5 s of the feature cue's presentation, this activity did not appear to  
500 persist into the final 1 s of the delay period, suggesting that the OFC subregions that were  
501 targeted here do not exhibit sustained changes in activity. Of course, this observation does not  
502 rule out the possibility that persistent activity occurs in other brain areas. On the other hand, a  
503 number of studies suggest that sustained activity is not necessary to retain task-relevant  
504 information (Jensen and Tesche, 2002; Howard et al., 2003; Riggall and Postle, 2012; Ester et  
505 al., 2015; Lundqvist et al., 2016). Intriguingly, an 'activity silent' model of working memory  
506 raises the possibility that information is retained in the patterns of network-level activity (Stokes  
507 et al., 2013; Stokes, 2015). To examine whether such an effect could be taking place in the  
508 OFC during the final 1 s of the delay period in our task, we used a machine learning-based  
509 decoding algorithm to assess whether this time period coincides with a distinct network state. In

510 all mice tested the decoder was able to accurately distinguish delay from baseline period activity  
511 at above chance levels, consistent with the activity silent working memory model (Stokes et al.,  
512 2013; Stokes, 2015). Thus, our data indicate that the OFC has the potential to transfer  
513 information about the feature cue across the delay period.

514 Our results suggest that the OFC uses the feature as a source of rule information in order to  
515 regulate behavioral responses. As discussed above, the degree to which the feature cue  
516 suppresses anticipatory licking correlates with its ability modulate neural activity to the  
517 conditioned odor stimulus. In contrast, we found no change in OFC activity during trials when  
518 animals incorrectly lick during a feature negative trial. Moreover, our classifier results suggest  
519 that the network state during the delay period prior to incorrect CS1<sup>-</sup> trials (DLL) is significantly  
520 different from the state during the baseline period prior to correct CS1<sup>+</sup> trials (BLL), even though  
521 both types of trials contain licking. These two pieces of evidence suggest that the OFC code is  
522 relatively insensitive to behavioral choice. Thus, our data are consistent with a number of other  
523 studies indicating the importance of rule encoding in the OFC (Buckley et al., 2009; Tsujimoto et  
524 al., 2009; 2012; Johnson et al., 2016; Sleezer et al., 2016).

525 The information coding properties revealed here provide insight into how the brain could  
526 quickly manipulate information at more abstract levels to regulate behavior. The feature  
527 appears to trigger a distinct network state that specifically interacts with its trained conditioned  
528 odor stimulus. This may occur by inducing a temporary functional reweighting of synaptic  
529 connections within OFC microcircuits (Fujisawa et al., 2008; Stokes, 2015). As a whole, this  
530 model fits well with the viewpoint that the OFC provides the animal with a cognitive map of task  
531 space (Roesch et al., 2006; Wilson et al., 2014; Cooch et al., 2015; Sharpe et al., 2015;  
532 Lopatina et al., 2016; Wikenheiser and Schoenbaum, 2016) because the extent to which the  
533 conditioned odor stimulus alters neural activity is mediated by the network state set by the  
534 feature. Taken together, our observations provide a potential mechanism that helps to explain

535 how animals can rapidly interpret the meaning of a conditionally rewarded cue to make timely  
536 behavioral decisions.

537

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665 **Figure Legends:**

666 **Figure 1. Distinct associations form from feature negative conditioning.**

667 **(A)** Schematic of the four distinct trial types used during training and recording sessions. In  
668 rewarded trials (CS1<sup>+</sup> and CS2<sup>+</sup>), different conditioned odor stimuli (CS1 or CS2, 1 s duration)  
669 predicted the delivery of reward. In unrewarded trials (CS1<sup>-</sup> and transfer trials), when the same  
670 odor stimuli were preceded by a feature cue (mild air puff, 0.5 s duration), there was no reward.  
671 Orange bar denotes the feature, grey bar denotes CS1, green bar denotes CS2, black bar  
672 denotes reward. **(B)** Probability of presenting each trial type during initial training (left) and on  
673 the final training session corresponding to recording (right). All behavioral and  
674 electrophysiological results are from the final day. **(C & D)** Average lick rate as a function of  
675 time during all rewarded and unrewarded trials. Dashed lines represent the onset and offset  
676 times of the indicated cue. Data represent mean  $\pm$  SEM (n = 8 mice). Grey bar: CS1, green  
677 bar: CS2, orange bar: feature. **(E)** The feature significantly reduces the likelihood that animals  
678 express anticipatory licking (t = 0 to 2.5 from odor onset) in CS1 trials ( $p < 0.0001$ , paired t-test).  
679 **(F)** The feature significantly suppresses the likelihood of anticipatory licking in transfer trials ( $p =$   
680 0.03, paired t-test).

681

682 **Figure 2. Silicon microprobe recordings in the OFC.**

683 **(A)** Representative confocal image of a coronal section showing the recording position of the  
684 silicon microprobe containing 4 prongs. Prior to insertion, the prongs were painted with DiI  
685 (red) to facilitate visualization. The section was stained with DAPI (blue). **(B)** Coronal section  
686 from the Franklin and Paxinos mouse brain atlas (2.35 mm anterior to bregma (Franklin and  
687 Paxinos, 1997)) annotated with the estimated position of each putative unit (red dot) in relation  
688 to the OFC structure.

689

690

691 **Figure 3. Cue-dependent modulation of OFC activity.**

692 **(A, B & C).** Mean firing rate as a function of time in different trial types. Dashed lines represent  
693 the onset and offset times of the indicated cue. Data represent mean  $\pm$  SEM ( $n = 585$  units).  
694 Grey bar: CS1, green bar: CS2, orange bar: feature. **(A)** Comparison of CS1<sup>+</sup> with CS1<sup>-</sup> trials.  
695 **(B)** Comparison of CS2<sup>+</sup> with transfer trials. **(C)** Comparison of CS1<sup>-</sup> trials with licking or without  
696 anticipatory licking. **(D, E & F)** Mean firing rate per animal during the CS presentation period ( $t$   
697 = 0 to 1 s), in different trial conditions. Data represent individual animals ( $n = 8$ ). **(D)** CS1<sup>-</sup> trials  
698 exhibit significantly lower firing than CS1<sup>+</sup> trials ( $p = 0.016$ , paired t-test). **(E)** There is no  
699 significant difference in mean firing between transfer trials and CS2<sup>+</sup> trials ( $p = 0.46$ , paired t-  
700 test). **(F)** There is no significant difference in mean firing between CS1<sup>-</sup> trials with licking and  
701 those without licking ( $p = 0.3$ , paired t-test). **(G)** Comparison of the average firing rate per unit  
702 during the CS cue presentation period ( $t = 0$  to 1 s) between CS1<sup>+</sup> and CS1<sup>-</sup> trial types. Across  
703 the population ( $n = 585$ ) there was a significant bias toward lower firing during CS1<sup>-</sup> trials ( $p <$   
704  $0.0001$ , paired t-test). **(H)** Behavioral discrimination (percent correct CS1<sup>+</sup> trials minus percent  
705 incorrect CS1<sup>-</sup> trials) is significantly correlated with the percentage of OFC units per animal that  
706 discriminate between CS1<sup>+</sup> and CS1<sup>-</sup> trials (Pearson  $r = 0.82$ ,  $p = 0.012$ ).

707

708 **Figure 4. Identification of temporally distinct feature encoding populations.**

709 **(A)** Mean normalized firing rate as a function of time of the recorded population ( $n = 585$  cells).  
710 Each cell's firing rate is normalized to its peak firing rate on CS<sup>-</sup> trials (top panel) and CS<sup>+</sup> trials  
711 (bottom panel). Units are ordered by latency to peak firing relative to onset of the feature cue  
712 (FT). Units are plotted in the same order in the top and bottom panels (red indicates high firing  
713 rate). **(B)** Venn diagram showing the overlapping relationship between units that were  
714 significantly modulated by the feature (orange), the CS1 cue during CS1<sup>+</sup> trials (magenta), and  
715 the CS1 cue during CS1<sup>-</sup> trials (blue). Values represent the median percentage of modulated  
716 cells across  $n = 8$  animals. **(C)** Distribution of the latency to peak firing for the recorded

717 population ( $n = 585$  units). Two major peaks were resolved using Lorentzian curve fits (red  
718 line). Dashed orange lines demarcate the onset and offset cell populations. **(D)** Mean firing  
719 rate as a function of time during CS1<sup>+</sup> and CS1<sup>-</sup> trials. The top and bottom panels are  
720 comprised of onset and offset cells, respectively. Data represent mean  $\pm$  SEM ( $n = 585$  units).  
721 The orange shaded area represents the time during the feature cue presentation. **(E)** The  
722 percentage of cells that discriminated between CS1<sup>+</sup> and CS1<sup>-</sup> trials was significantly higher in  
723 the onset cell population ( $n = 8$  mice,  $p < 0.0001$ , paired t-test).

724

725 **Figure 5. A distinct network state initiated by the feature cue.**

726 **(A)** There is no significant difference in mean OFC firing rate during the final 1 s of the delay  
727 period (DL) and a 1 s baseline period prior to feature cue presentation (BL,  $p = 0.11$ , paired t-  
728 test). **(B)** Strategy used to determine whether the network state in the BL period is distinct from  
729 that of the DL period. This two-step process required training (top dashed box) and testing  
730 (bottom dashed box) a binary classifier. During testing, each period (BL, green arrows and DL,  
731 blue arrows) was classified as either a correct match (e.g., BL classified as BL, solid arrow) or  
732 an incorrect match (e.g., BL classified as DL, dashed arrow). **(C)** Mean classifier accuracy per  
733 animal of the classifier in B (accuracy defined as the percentage of correctly classified BL and  
734 DL periods across all tested folds, black) was significantly above chance levels shown in red ( $n$   
735  $= 8$ ,  $p < 0.0001$ , paired t-test). The average accuracy across the experimental group was  $69 \pm 2$   
736 % (mean  $\pm$  SEM, dashed black line). **(D)** Strategy used to classify whether delay period activity  
737 prior to incorrect CS1<sup>-</sup> trials (DLL), was more similar to the baseline period prior to correct CS1<sup>+</sup>  
738 trials (BLL), or the delay period prior to correct CS1<sup>-</sup> trials (DLW). The classifier was trained (top  
739 dashed box) to distinguish population activity during BLL periods from DLW periods. During  
740 testing (bottom dashed box) DLL activity was compared to BLL and DLW activity and classified  
741 as more similar to either BLL (dashed line) or DLW (solid line). **(E)** Mean classifier accuracy per  
742 animal of the classifier in D (accuracy defined as the percentage of DLL periods that were

743 labeled as DLW, black) was significantly above chance levels shown in red ( $n = 7$ ,  $p = 0.018$ ,  
744 paired t-test). The average accuracy across the experimental group was  $64 \pm 4$  % (mean  $\pm$   
745 SEM, dashed black line). Note that animal # 1 only had 1 DLL trial and was excluded from the  
746 analysis in E. Error bars in C and E represent 95% confidence intervals across all iterations and  
747 dashed lines represent the average values across all animals.









