

完全表型同型交配群体母子间基因型的联合分布及信息熵

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[摘要] 【目的】研究完全表型同型交配群体母子间基因型的联合分布及其信息学性质,以丰富群体遗传学的研究方法。【方法】从随机交配下的 Hardy-Weinberg 平衡开始,施以完全表型同型交配的群体,利用概率统计方法推导母子间基因型联合分布的规律,利用 Shannon 信息熵方法研究母子间基因型联合信息熵的变化规律,并进行数学模拟。【结果】在世代交替中,母子间基因型联合信息熵逐代减少,但逐代减少的趋势越来越慢,经过一个非常漫长的过程后,母子间基因型联合信息熵趋向于固定值,最终极限情况是群体完全纯合。这是一个远离 Hardy-Weinberg 平衡状态、趋向于非平衡定态的过程,数学模拟验证了所得结论的正确性。【结论】在完全表型同型交配下,母子间基因型联合信息熵逐代减少,使纯合体逐渐增加、杂合体逐渐减少,群体从多型共存走向纯合。

[关键词] 表型同型;联合分布;Shannon 信息熵;基因型

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The associated distribution and genotype Shannon entropy between a female genotype and its descendant genotypes in mating of the whole homologous phenotypes

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Abstract: 【Objective】The associated probability distribution and information laws between a female genotype and its descendant genotypes were discussed, so that study methods of population genetics could be broadened. 【Method】By theory of probability, the aforesaid associated probability distribution was deduced on a population forced a mating of the whole homologous phenotypes; and by method of Shannon entropy, the laws of associated genotypes Shannon entropy on the population were obtained. 【Result】The associated genotypes Shannon entropy of the population reduced with alternation of generations, but the tendency became slow so that the associated genotypes Shannon entropy of the population can be prone to a definite value, and the population would become as homozygote, then reached gradually a non-equilibrium steady state, far from Hardy-Weinberg equilibrium state, and the mathematical simulation results illustrated the correctness of the obtained conclusions. 【Conclusion】In a mating of whole homologous phenotypes, the associated genotypes Shannon entropy of the population reduced with alternation of generations, more populaion appered and developed into homozygous.

Key words: homologous phenotype; associated distribution; Shannon entropy; genotype

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群体遗传的世代传递过程是一个信息传递过程,近十多年来一些学者应用信息论方法研究群体遗传学问题,并取得了较多的成果。信息论方法是应用Shannon信息论的熵和互信息等知识,研究群体遗传变化规律以及种群演化规律,其优点是可以避免因对等位基因赋值而导致的不合理性,并能将所得结果推广到一般情形,不仅为群体遗传学的发展提供了新思路,而且可以将其广泛应用于群体遗传学所涉及的领域。

应用信息论方法研究群体遗传学问题,不仅得到了与传统数学方法一致的结论,而且还获得了一些新成果、新的信息学解释。有研究认为,Shannon信息熵作为度量群体遗传多样性的数量指标比以往的数量指标更优,并证明了其可行性和合理性^[1-3];在单基因座、两对等位基因的基因座以及多对等位基因的基因座下,Hardy-Weinberg平衡群体是信息量最大的群体,即在一定条件下遗传多样性最丰富的群体,Hardy-Weinberg平衡定律与信息论的最大信息熵原理具有一致性,并说明了Hardy-Weinberg平衡在配子平衡和基因型平衡之间的等价性,以及Hardy-Weinberg平衡与最大信息熵原理一致性的适用范围^[3-7]。杜俊莉等^[8]应用Shannon信息熵理论,对复等位基因平衡群体中的亲属关系进行了研究,推导了其信息学性质。刘建军等^[9]指出,性连锁群体的基因型信息熵和配子间互信息均呈振荡变化的态势。张宏礼等^[10-12]研究表明,近亲繁殖群体的基因型信息熵、母子间基因型联合信息熵逐代减少,配子间互信息逐代增加。张宏礼等^[13]、张鸿雁等^[14]应用Shannon信息熵理论,对表型同型交配群体的基因型信息熵和配子间互信息进行了研究,并与近亲交配群体做了对比。张宏礼等^[15]比较详细地阐述了十多年来关于群体遗传信息模型的一些重要研究成果。

以上研究中,还未见采用Shannon信息熵理论,对完全表型同型交配群体母子间基因型联合分布信息学性质进行研究的报道,故笔者对此进行研究,以丰富群体遗传的研究方法,为育种者提供参考。

1 母子间基因型的联合分布

假设一个没有迁移、突变、选择和随机漂变的大孟德尔群体的基因座A有1对等位基因,则群体的基因频率为:

$$(A, p) : (A, a) = (p, q) \quad (1)$$

式中: p, q 分别是A、a的基因频率,而且 $0 \leq p \leq 1$, $0 \leq q \leq 1$, $p+q=1$ 。各世代的基因型频率(正、反交分开)为:

$$\begin{aligned} (G(t), p) : & (AA, Aa, aA, aa) = \\ & (p_{11}(t), p_{12}(t), p_{21}(t), p_{22}(t)) \end{aligned} \quad (2)$$

式中: t 为世代数, $t=0$ 为初始世代; $0 \leq p_{11}(t)、p_{12}(t)、p_{21}(t)、p_{22}(t) \leq 1$,且 $p_{21}(t)=p_{12}(t), p_{11}(t)+p_{12}(t)+p_{21}(t)+p_{22}(t)=1$ 。若群体为Hardy-Weinberg平衡群体,则基因型频率(正、反交分开)为:

$$(G_0, P) : (AA, Aa, aA, aa) = (p^2, pq, pq, q^2) \quad (3)$$

若群体全部为纯合体,则基因型频率(正、反交分开)为:

$$(G_1, P) : (AA, Aa, aA, aa) = (p, 0, 0, q) \quad (4)$$

若从 $t=1$ 世代开始,群体全部进行表型同型交配,则式(1)中的基因频率世代不变。如果A对a无显性,则群体进行的是随机交配;如果A对a共显性,则群体进行的是遗传同型随机交配。当A对a完全显性时,在世代交替中各连续世代间的基因型频率的变化关系(正、反交分开)为:

$$\begin{aligned} AA: p_{11}(t+1) &= p_{11}(t) + \frac{p_{12}^2(t)}{p_{11}(t) + 2p_{12}(t)}; \\ Aa: p_{12}(t+1) &= p_{12}(t) - \frac{p_{12}^2(t)}{p_{11}(t) + 2p_{12}(t)}; \\ aA: p_{21}(t+1) &= p_{12}(t) - \frac{p_{12}^2(t)}{p_{11}(t) + 2p_{12}(t)}; \\ aa: p_{22}(t+1) &= p_{22}(t) + \frac{p_{12}^2(t)}{p_{11}(t) + 2p_{12}(t)}. \end{aligned} \quad (5)$$

第 t 代雌性亲本(简称母)和第 $t+1$ 子代(简称子)的母子间基因型联合分布规律(正、反交分开)如表1所示。

2 母子间基因型的联合信息熵及其变化规律

若令 $G(t)、G(t+1)$ 分别表示第 t 代雌性亲本和第 $t+1$ 子代的基因型信源,则由表1及Shannon信息熵的定义可知,母子间基因型联合信息熵(正、反交分开)为:

$$\begin{aligned} S(G(t) \cdot G(t+1)) = & -\frac{p_{11}(t)[p_{11}(t) + p_{12}(t)]}{p_{11}(t) + 2p_{12}(t)} \ln \frac{p_{11}(t)[p_{11}(t) + p_{12}(t)]}{p_{11}(t) + 2p_{12}(t)} - \\ & -\frac{p_{11}(t)p_{12}(t)}{p_{11}(t) + 2p_{12}(t)} \ln \frac{p_{11}(t)p_{12}(t)}{p_{11}(t) + 2p_{12}(t)} - \\ & -2 \frac{p_{12}(t)[p_{11}(t) + p_{12}(t)]}{p_{11}(t) + 2p_{12}(t)} \cdot \\ & \ln \left\{ \frac{1}{2} \cdot \frac{p_{12}(t)[p_{11}(t) + p_{12}(t)]}{p_{11}(t) + 2p_{12}(t)} \right\} - \end{aligned}$$

$$2 \frac{p_{12}^2(t)}{p_{11}(t)+2p_{12}(t)} \ln \left\{ \frac{1}{2} \cdot \frac{p_{12}^2(t)}{p_{11}(t)+2p_{12}(t)} \right\} - p_{22}(t) \ln p_{22}(t)。$$

整理得:

$$\begin{aligned} S(G(t) \cdot G(t+1)) = & \frac{1}{p_{11}(t)+2p_{12}(t)} \{ -p_{11}^2(t) \ln p_{11}(t) - \\ & p_{11}^2(t) \ln [p_{11}(t)+p_{12}(t)] - p_{11}(t)p_{12}(t) \ln p_{11}(t) - \\ & p_{11}(t)p_{12}(t) \ln [p_{11}(t)+p_{12}(t)] - p_{11}(t)p_{12}(t) \cdot \\ & \ln p_{11}(t) - p_{11}(t)p_{12}(t) \ln p_{12}(t) - 2p_{11}(t)p_{12}(t) \cdot \\ & \ln p_{11}(t) - 2p_{11}(t) \ln [p_{11}(t)+p_{12}(t)] - \\ & 2p_{12}^2(t) \ln p_{12}(t) - 2p_{12}^2(t) \ln [p_{11}(t)+p_{12}(t)] - \\ & 4p_{12}^2(t) \ln p_{12}(t) + [p_{11}(t)+2p_{12}(t)] \cdot \end{aligned}$$

表 1 母子间基因型的联合分布列

Table 1 Associated probability distribution between a female genotype and its descendant genotypes

第 t 代 Female genotype No. t	第 t+1 代群体 The descendant genotype of the female parent No. t			
	AA	Aa	aA	aa
AA	$\frac{p_{11}(t)[p_{11}(t)+p_{12}(t)]}{p_{11}(t)+2p_{12}(t)}$	$\frac{p_{11}(t)p_{12}(t)}{p_{11}(t)+2p_{12}(t)}$	0	0
Aa	$\frac{1}{2} \cdot \frac{p_{12}(t)[p_{11}(t)+p_{12}(t)]}{p_{11}(t)+2p_{12}(t)}$	$\frac{1}{2} \cdot \frac{p_{12}^2(t)}{p_{11}(t)+2p_{12}(t)}$	$\frac{1}{2} \cdot \frac{p_{12}(t)[p_{11}(t)+p_{12}(t)]}{p_{11}(t)+2p_{12}(t)}$	$\frac{1}{2} \cdot \frac{p_{12}^2(t)}{p_{11}(t)+2p_{12}(t)}$
aA	$\frac{1}{2} \cdot \frac{p_{12}(t)[p_{11}(t)+p_{12}(t)]}{p_{11}(t)+2p_{12}(t)}$	$\frac{1}{2} \cdot \frac{p_{12}^2(t)}{p_{11}(t)+2p_{12}(t)}$	$\frac{1}{2} \cdot \frac{p_{12}(t)[p_{11}(t)+p_{12}(t)]}{p_{11}(t)+2p_{12}(t)}$	$\frac{1}{2} \cdot \frac{p_{12}(t)}{p_{11}(t)+2p_{12}(t)}$
aa	0	0	0	$p_{22}(t)$
合计 Sum	$\frac{[p_{11}(t)+p_{12}(t)]^2}{p_{11}(t)+2p_{12}(t)}$	$\frac{[p_{11}(t)+p_{12}(t)]p_{12}(t)}{p_{11}(t)+2p_{12}(t)}$	$\frac{[p_{11}(t)+p_{12}(t)]p_{12}(t)}{p_{11}(t)+2p_{12}(t)}$	$\frac{p_{12}^2(t)}{p_{11}(t)+2p_{12}(t)} + p_{22}(t)$

定理 1 若从式(3)的 Hardy-Weinberg 平衡群体开始,没有迁移、突变、选择和随机漂变,群体进行完全的表型同型交配,则在世代交替中母子间基因型联合信息熵逐代减少。

证明:只需证明母子间基因型联合信息熵 $S(G(t) \cdot G(t+1))$ 是关于世代数 t 的减函数。

根据式(3)和式(5)可知:

$$\begin{aligned} AA: p_{11}(t) &= p^2 + \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq}; \\ Aa: p_{12}(t) &= pq - \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq}; \\ aA: p_{12}(t) &= pq - \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq}; \\ aa: p_{22}(t) &= q^2 + \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq}。 \end{aligned} \quad (7)$$

将世代数 t 看做是在 $[0, +\infty)$ 上连续取值的变量,对世代数 t 求导数得:

$$\begin{aligned} p'_{11}(t) &= \frac{pq^2}{(tq+1)^2} > 0; \\ p'_{12}(t) &= -p'_{11}(t) < 0; \\ p'_{22}(t) &= -p'_{11}(t) > 0. \end{aligned} \quad (8)$$

$$\begin{aligned} &\ln[p_{11}(t)+2p_{12}(t)] + 2p_{12}(t)\ln 2 - \\ &p_{22}(t)\ln p_{22}(t) = -p_{11}(t)\ln p_{11}(t) - 3p_{12}(t) \cdot \\ &\ln p_{12}(t) - [p_{11}(t)+p_{12}(t)]\ln[p_{11}(t)+p_{12}(t)] - \\ &p_{22}(t)\ln p_{22}(t) + [p_{11}(t)+2p_{12}(t)] \cdot \\ &\ln[p_{11}(t)+2p_{12}(t)] + 2p_{12}(t)\ln 2 = -p_{11}(t) \cdot \\ &\ln p_{11}(t) - 3p_{12}(t)\ln p_{12}(t) - p\ln p - \\ &p_{22}(t)\ln p_{22}(t) + [p_{11}(t)+2p_{12}(t)] \cdot \\ &\ln[p_{11}(t)+2p_{12}(t)] + 2p_{12}(t)\ln 2. \end{aligned} \quad (6)$$

初始群体为 Hardy-Weinberg 平衡群体,即初始的基因型频率 $(G(0), P) = (G_0, P)$ 时,母子间基因型联合信息熵具有如下的性质。

再将母子间基因型联合信息熵 $S(G(t) \cdot G(t+1))$ 对世代数 t 求导数,并将式(8)代入其中得:

$$\begin{aligned} \frac{d}{dt} S(G(t) \cdot G(t+1)) = & -[\ln p_{11}(t)+1] \cdot p'_{11}(t) - 3[\ln p_{12}(t)+1] \cdot \\ & p'_{12}(t) - [\ln p_{22}(t)+1] \cdot p'_{22}(t) + 2p'_{12}(t)\ln 2 + \\ & \{\ln[p_{11}(t)+2p_{12}(t)]+1\} \cdot [p'_{11}(t)+p'_{12}(t)] = \\ & -\ln p_{11}(t) + 3\ln p_{12}(t) - \ln p_{22}(t) - \\ & \ln[p_{11}(t)+2p_{12}(t)] - \ln 2 \cdot p'_{11}(t) = \\ & \ln \frac{p_{12}^3(t)}{p_{11}(t) \cdot p_{22}(t) \cdot [p_{11}(t)+2p_{12}(t)]} \cdot p'_{11}(t) - \\ & 2 \ln 2 \cdot p'_{11}(t) < \ln \left(\frac{(pq)^3}{p^2 \cdot q^2 \cdot pq} \right) \cdot p'_{11}(t) - \\ & 2 \ln 2 \cdot p'_{11}(t) < 0. \end{aligned} \quad (9)$$

由式(9)可知,母子间基因型联合信息熵是关于世代数 t 的减函数,随着世代交替逐代减少。

定理 2 若从式(3)的 Hardy-Weinberg 平衡群体开始,没有迁移、突变、选择和随机漂变,群体进行完全的表型同型交配,则在世代交替中母子间基因型联合信息熵逐代减少的趋势越来越慢。

证明:考虑极限

$$\begin{aligned} \lim_{t \rightarrow +\infty} \frac{d}{dt} S(G(t) \cdot G(t+1)) &= \lim_{t \rightarrow +\infty} \ln \frac{p_{12}^3(t)}{p_{11}(t) \cdot p_{22}(t) \cdot [p_{11}(t) + 2p_{12}(t)]} \cdot p'_{11}(t) - 2 \ln 2 \cdot p'_{11}(t) = \\ &\quad \lim_{t \rightarrow +\infty} \ln \frac{\left(pq - \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq} \right)^3 \cdot \frac{pq^2}{(tq+1)^2}}{\left(p^2 + \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq} \right) \cdot \left(q^2 + \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq} \right) \cdot \left(p^2 + 2pq - \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq} \right)} - \\ &\quad 2 \ln 2 \cdot \frac{pq^2}{(tq+1)^2} = 0. \end{aligned} \quad (10)$$

由式(10)可知,母子间基因型联合信息熵关于世代数 t 的导函数趋向于零,所以母子间基因型联合信息熵逐代减少的趋势会越来越慢。

定理 3 若从式(3)的 Hardy-Weinberg 平衡群体开始,没有迁移、突变、选择和随机漂变,群体进行完全的表型同型交配,则随着世代交替母子间基因型联合信息熵逐代趋向于固定值 $S(G(+\infty) \cdot G(+\infty)) = -p \ln p - q \ln q$ 。

证明:

$$\begin{aligned} \lim_{t \rightarrow +\infty} S(G(t) \cdot G(t+1)) &= \\ \lim_{t \rightarrow +\infty} -p_{11}(t) \ln p_{11}(t) - 3p_{12}(t) \ln p_{12}(t) - p \ln p - & \\ p_{22}(t) \ln p_{22}(t) + [p_{11}(t) + 2p_{12}(t)] \cdot & \\ \ln [p_{11}(t) + 2p_{12}(t)] + 2p_{12}(t) \ln 2 = & \\ \lim_{t \rightarrow +\infty} -\left(p^2 + \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq} \right) \cdot & \\ \ln \left(p^2 + \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq} \right) - & \\ 3 \left(pq - \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq} \right) \cdot & \\ \ln \left(pq - \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq} \right) - p \ln p - & \\ \left(q^2 + \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq} \right) \cdot & \\ \ln \left(q^2 + \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq} \right) + & \\ \left(p + p^2 + \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq} \right) \cdot & \\ \ln \left(p + p^2 + \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq} \right) + & \\ 2 \left(pq - \frac{t \cdot p^2 q^2}{p^2 + (t+1) \cdot pq} \right) \ln 2 = & \\ -p \ln p - 0 - p \ln p - q \ln q + p \ln p + 0 = & \\ -p \ln p - q \ln q = S(G(+\infty) \cdot G(+\infty)). & \end{aligned} \quad (11)$$

由于 Shannon 信息熵反映了群体的遗传多样性程度,根据以上定理可知,在完全的表型同型交配制度下,随着世代交替母子间基因型多样性程度逐代减少,这种减少的趋势越来越慢,群体最终趋向定

态,定态时的母子间基因型联合信息熵为 $-p \ln p - q \ln q$ 。这可用传统的群体遗传理论解释为:群体的变化趋势是纯合体逐渐增加,杂合体逐渐减少,最终极限情况是完全纯合。这一过程非常漫长,且比完全近亲交配过程明显减慢^[12,14]。但是这一熵减过程并不是群体趋向于平衡的过程,而是一种远离平衡状态,趋向于非平衡定态的过程。

如果群体处于非 Hardy-Weinberg 平衡状态或者某种非平衡定态,则其基因型频率、基因型信息熵、母子间基因型联合信息熵均将随世代交替而发生变化。如果群体处于 Hardy-Weinberg 平衡状态或者非平衡定态,其基因型频率、基因型信息熵、母子间基因型联合信息熵将世代不变,但是 Hardy-Weinberg 平衡状态是在没有任何因素制约下的平衡状态,非平衡定态是在完全表型同型交配制约下的、偏离 Hardy-Weinberg 平衡状态的受迫稳定状态,当表型同型交配制约消失后,群体还会回到 Hardy-Weinberg 平衡状态。

3 数学模拟

考虑一个 Hardy-Weinberg 平衡群体,初始的基因型频率(正、反交分开)为:

$$(G(0), P) : (AA, Aa, aA, aa) = (0.64, 0.16, 0.16, 0.04)$$

假设没有迁移、突变、选择和随机漂变,对群体施以完全表型同型交配,则群体基因型频率的变化规律见式(5),母子间基因型联合分布见表 1。母子间基因型联合信息熵 $S(G(t) \cdot G(t+1))$ 的计算结果见表 2,变化关系见图 1,其导数的变化规律见图 2。由表 2 及图 1 和图 2 可见,即使雌性亲本世代数为 2 000 时,与趋向于定态时的母子间基因型联合信息熵 $(S(G(+\infty) \cdot G(+\infty))) = -0.8 \cdot \ln 0.8 - 0.2 \ln 0.2 = 0.5005$ 还有差距,到 207 876 世代时,才有 $S(G(t) \cdot G(t+1)) = 0.5005$ 。模拟结果表明上述 3 个定理是正确的。

表2 完全表型同型交配群体母子间基因型的联合信息熵

Table 2 Associated Shannon entropy between a female genotype and its descendant genotypes

世代 Generation	$S(G(t) \cdot G(t+1))$						
0	1.433 3	10 000	0.502 7	100	0.618 9	20 000	0.501 7
10	1.011 8	11 000	0.502 5	1 000	0.518 2	207 000	0.500 6
20	0.858 3	12 000	0.502 4	2 000	0.510 1	207 876	0.500 5
30	0.779 7	13 000	0.502 2	3 000	0.507 2	207 877	0.500 5
40	0.731 3	14 000	0.502 1	4 000	0.505 7	207 878	0.500 5
50	0.698 2	15 000	0.502 0	5 000	0.504 7	207 879	0.500 5
60	0.674 0	16 000	0.501 9	6 000	0.504 1	207 880	0.500 5
70	0.655 5	17 000	0.501 9	7 000	0.503 6	207 881	0.500 5
80	0.640 8	18 000	0.501 8	8 000	0.503 3	207 882	0.500 5
90	0.628 9	19 000	0.501 7	9 000	0.503 0	207 883	0.500 5

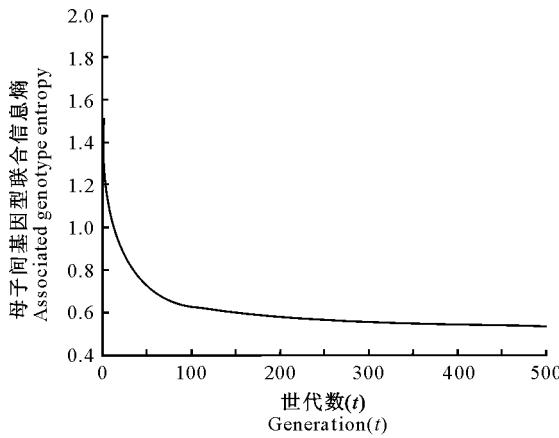
图1 母子间基因型联合信息熵随雌性亲本世代数 t 的变化规律

Fig. 1 Varieties of associated genotype entropy by the female parent No. t

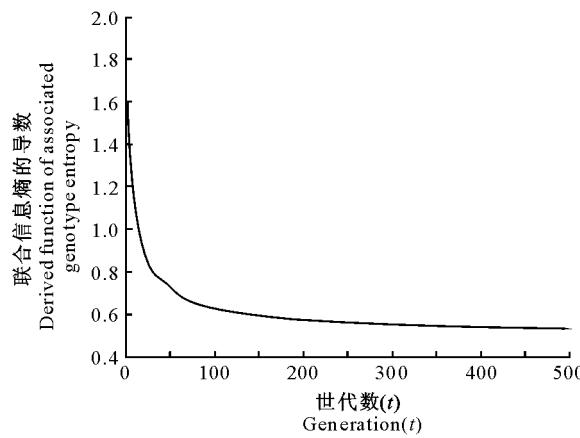
图2 母子间基因型联合信息熵导数随雌性亲本世代数 t 的变化规律

Fig. 2 Varieties of derived function of associated genotype entropy by the female parent No. t

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4 结论

本研究讨论了一个没有迁移、突变、选择和随机漂变的大孟德尔群体的遗传学问题。首先给出了在完全表型同型交配制度下母子间基因型联合分布随世代变化的规律;然后给出了母子间基因型联合信息熵的计算式,指出对于从随机交配下的Hardy-Weinberg平衡状态开始完全表型同型交配的群体,在世代交替中母子间基因型联合信息熵逐代减少,但逐代减少的趋势越来越慢,且经过一个非常漫长的过程后,趋向于固定值 $S(G(+\infty)G(+\infty)) = -p \ln p - q \ln q$ 。在完全表型同型交配制度下,群体的变化趋势是纯合体逐渐增加,杂合体逐渐减少,群体从多型共存走向完全纯合。这一过程是一个远离平衡状态,趋向于非平衡定态的过程,且数学模拟验证了本研究的结论是正确的。

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