

1 **Historical effect in the territoriality of Ayu fish**

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19 phase transition

20

21 **Abstract**

22 Ayu fish form algae-feeding territories in a river during a non-breeding (growing)
23 season. We build a cost-benefit theory to describe the breakdown and formation of
24 territory. In the early stage of a growing season, all fish hold territories at low densities.
25 Once all territory sites are occupied, excess fish become floaters. When fish density
26 further increases, a phase transition occurs: all the territories suddenly break down and
27 fish form a school. In contrast, when the fish density is decreased, territories are
28 suddenly formed from the school. Both theory and experiments demonstrate that ayu
29 should exhibit a historical effect: the breakdown and formation processes of territory are
30 largely different. In particular, the theory in formation process predicts a specific fish
31 behavior: an “attempted territory holder” that tries to have a small territory emerges just
32 before the formation of territory.

33

34 **1. Introduction**

35 Animals have evolved various behavioral strategies as an adaptation for
36 different ecological circumstances (Krebs and Davies 1987). Territoriality and group
37 foraging are the two different ways of adaptation (Foster 1985). Territorial behavior is a
38 life history adaptation in the solitary state of animals (Brown and Orians 1970; Ebersole
39 1977; Davies and Houston 1984), while group foraging is an adaptation by forming a
40 group (Schaller 1972; Robertson et al. 1976). In many species, mating pairs often form
41 a breeding territory, while they forage in group during non-breeding seasons, e.g., most
42 of migratory birds. However, it is rather rare to see a transition between territoriality and
43 group foraging in a single (non-breeding) season.

44 Whether territory formation is adaptive or not can be answered by usual the
45 cost-benefit analysis comparing the individuals with/without a territory, within a
46 solitary state (Krebs 1971). Group foraging is also compared with solitary foraging in a
47 species with some group foraging (Pulliam and Caraco 1984; Clark and Mangel 1986).
48 These two different evolutionary adaptations may occur in a closely related species, e.g.,
49 fishes (Foster 1985). However, it should be extremely rare to find both territorial
50 foraging and group foraging in a single species. The cost-benefit analyses of these
51 behavioral strategies can provide a single framework to view the adaptive evolution of

52 individual behavior (Stephens and Krebs 1986). We here provide such a unique case
53 study of a fish exhibiting both territorial behavior and group foraging (school) as
54 adaptive responses during a growing season (May to July).

55 Ayu (*Plecoglossus altivelis*, Osmeridae) is an endemic migratory fish in Japan
56 (Kawanabe 1969; Miyadi 1960; Takahashi and Azuma 2006). This fish has a unique life
57 history (Kawanabe 1969; Miyadi 1960; Iguchi 1996). Its life cycle is completed by one
58 year. Eggs that are spawned in the downstream of a river hatch in autumn. The hatched
59 larvae drift to a sea and feed mostly zooplankton in coastal zones. In spring, the juvenile
60 fish migrate to the midstream (and/or upstream) of a river, where algae (diatoms) grow
61 on the rocks of the riverbeds in rapids (swift current). Many young fish form a territory
62 in this stage (Fig. 1). They feed on these algae from spring to fall. In fall, when ayu fish
63 matures, they swim downstream all together. They spawn eggs and die soon afterwards.
64 Thus, ayu is a diadromous fish, but it is strictly anadromous (Iguchi 1996).

65 In the midstream of a river, rapids and pools usually locate in turn (Mizuno and
66 Kawanabe, 1981). In the early stages of a growing season (May), the feeding territory is
67 formed in the rapids, where diatoms grow on the surfaces of rocks (Biggs and Hickey
68 1994; Biggs et al. 1998). In contrast, (deep) pools, without algae, are not suitable for
69 ayu that can only feed on small amounts of drifted algae and insects. The amount of

70 algae growing in one territory is several times more than the necessary amounts for one
71 fish to grow to maturity (Iguchi and Abe 2002; Gill and Wolf 1975). During the
72 growing season, many fish swim into a river and the fish density increases daily.
73 Those that cannot hold a territory become a floater. A floater, usually staying in a pool,
74 cannot feed well. It sometimes intrudes into a territory in the rapids and steals algae
75 while intruding. In order to defend its own territory, the territory holder attacks a floater
76 violently (Fig. 1). The unique “tomo-dsuri” fishing exploits such violent attacks:
77 fishermen use a live decoy as an intruder to catch the territory holder. When the fish
78 number in the midstream increases, all fish form a school. In contrast, when the fish
79 number decreases, the state of fish conversely changes from school to territory. In the
80 present paper, we estimate the fitness (Gross 1982; 1985; Tainaka et al. 2007; Tanaka et
81 al. 2009) of an individual fish, and report a historical effect by the comparison between
82 breakdown and formation processes of territories.

83

84 **2. Model**

85 An individual fish takes one of three strategies: territorial holder (Th), floater (Fl) and
86 school (Sc). The optimal strategies for the energy (food) gain of an individual fish

87 depend not only on total fish density but also on the time difference of density. We
88 expect the breakdown and formation of a territory as illustrated in Fig. 2. First, we deal
89 with the case that the overall density (N) increases. From the previous studies
90 (Kawanabe 1969; Iguchi 1996; Kawanabe 1958, 1970, 1973), we assume the following
91 three phases:

92 i) Th-phase

93 At low density, all fish can hold territories in the rapids and some territories are not
94 occupied (Kawanabe 1973). When the density of fish increases, all incoming fish can
95 hold a new territory in a vacant site, until all the territory sites are occupied ($N \leq N_{T_{\max}}$).
96 Here $N_{T_{\max}}$ is the maximal number (density) of territories.

97 ii) Coexisting phase: (Th+Fl)-phase

98 When the population size exceeds the territory capacity ($N > N_{T_{\max}}$), newcomers
99 cannot hold territories. These fish become a floater staying in the pool. Hence, we
100 suspect that a floater is not an available option, but a forced action. Each territory holder
101 defends own territory against intruders (floaters).

102 iii) Sc-phase

103 Due to more newcomers, the number of floaters increases. Since territory intrusions by
 104 floaters become frequent, territory holders have to spend much more time in defending
 105 their own territory. They lose the time to feed on algae. When the density of fish
 106 exceeds a critical density (N_1), all the territories suddenly break down (Kawanabe 1958,
 107 1970, 1973). For $N > N_1$, all fish form a school at once (Fig. 2).

108 In summary, in the increasing stage of density, the fish behavior changes as
 109 Th \rightarrow (Th+Fl) \rightarrow Sc. The total density (N) is represented by

$$110 \begin{cases} N = N_T & (N \leq N_{T \max}) \\ N = N_T + N_F & (N_{T \max} < N \leq N_1) \\ N = N_S & (N_1 < N) \end{cases} \quad (1)$$

111 where N_T , N_F and N_S denote the densities of territorial holder, floater and school,
 112 respectively.

113 At the high density, all fish form a school. However, even when the fish
 114 density decreases less than the breakdown point N_1 , territories cannot be observed. The
 115 fish schools should persist up to a very low density, until every fish can hold a territory
 116 at once. This is because the territory formation is very hard. When $N < N_1$, a fish has
 117 two options: either to attempt to make a territory or remain in a school. We call the
 118 former 'attempted territory holders' (Th*). Even if one fish attempts to hold a territory,

119 other remaining fish become intruders. The defense against school fish is very hard,
120 while the defense against a solitary intruder is highly effective (Iguchi 1996; Tachihara
121 and Kimura 1992).

122 However, if the density becomes lower below a critical value ($N < N_2$), then
123 territory holders can emerge at once. The formation point of territory (N_2) can be
124 estimated by the timing when all fish can hold a territory, or when no fish are
125 necessarily forced to be a floater. When $N < N_2$, all fish become territory holders. The
126 formation point N_2 is much less than the breakdown point N_1 , and it should be
127 almost equal to the maximum density $N_{T_{\max}}$ of territory. In the decreasing stage, the
128 fish behaviors change as Sc \rightarrow Th. The density of each strategy is given by

$$129 \quad N = \begin{cases} N_s & N > N_2 \\ N_T & N \leq N_2 \end{cases} \quad (2)$$

130 There is no forced option to be a floater in the decreasing stage (Fig. 2). The attempted
131 territory holder (Th*) can emerge for $N_1 > N > N_2$.

132

133 **3. Theory**

134 **3-1. Cost-benefit theory in an increasing stage**

135 We estimate the fitness of an individual fish for three strategies: territorial holder (Th),
136 floater (Fl) and school (Sc). The fitness is composed of both cost and benefit, where the
137 cost is defined by a defense cost to protect a territory, and the benefit is assumed to be
138 the food amount each fish can eat.

139 When the overall density N is increased, the choice changes according to the
140 following three phases:

141 i) Th-phase ($N \leq N_{T\max}$)

142 When all fish have territories, the fitness of a territory holder (W_T) takes the maximum
143 value. Let K_r be the algal food amount in the rapids, then W_T can be expressed as

$$144 \quad W_T = K_r / N_{T\max} = W_{T\max} = \text{const.} \quad (3)$$

145 ii) Coexisting phase ($N_{T\max} < N \leq N_1$)

146 The territory holder bumps its body against the intruding floater repeatedly until the
147 floater leaves its territory. Let τ_f and τ_d be the dimensionless ratios of the feeding

148 and defense time durations of a territory holder, respectively ($\tau_f + \tau_d = 1$) (Brown
149 1964; Pyke 1979). The fitness of a territory holder W_T can be expressed as

$$150 \quad W_T = (K_r / N_{T_{\max}}) \tau_f - c_{dF} \tau_d \quad (4)$$

151 where c_{dF} is the defense cost of a fish against a floater. For simplicity, we assume τ_d
152 is a linear function of floater density:

$$153 \quad \tau_d = aN_F \quad (5)$$

154 where a is a constant. Equation (5) comes from the experimental data as listed in
155 Table 1. We find from this table that the attack frequency increases as the floater
156 number increases.

157 Next, we evaluate the fitness W_F of a floater. Since the floater is the forced
158 option, W_F is always smaller than W_T . The floater fitness is not important to
159 determine the optimal strategy. Note the profile of W_F has the following properties: (i)
160 if the density (N_F) of floaters is low, W_F is nearly constant. (ii) On the contrary, if
161 N_F is high, W_F may be represented by K_p / N_F , where K_p is the food amount in
162 the pools.

163 iii) Sc-phase ($N > N_1$)

164 Now, we evaluate the fitness W_S of a school fish for Sc-phase. Since the school fish
165 feeds both in the rapids and pools, the fitness of a school fish is given by

$$166 \quad W_S = (rK_r + K_p) / N \quad (6)$$

167 where r is the feeding rate of school fish in rapids relative to a territory holder ($r < 1$).

168 In Fig. 3, both W_F and W_T are depicted against the total density N . The breakdown
169 point N_1 of territoriality can be determined by

$$170 \quad W_S = W_T \quad (7)$$

171 In the above model, to guarantee the cross point at N_1 , we assume that $K_r > rK_r + K_p$.

172 The optimal strategy is territory holder ($W_T \geq W_S$) for $N \leq N_1$, while school fish is
173 optimal ($W_S > W_T$) for $N > N_1$ (Fig. 3).

174

175 **3-2. Cost-benefit theory in a decreasing stage**

176 At high density, the fitness W_S of school fish is same as that in the increasing stage
177 [see Eq. (6)]. With decreasing fish density ($N < N_1$), the fitness W_S becomes smaller
178 than W_T . Here a fish has two options: either to attempt to make a new territory or
179 remain in a school. We specifically consider the fitness of an attempted territory holder

180 (W_T^*). Note that there is an essential difference between increasing and decreasing
 181 stages: in the increasing stage, the intruders are floaters, while in the decreasing stage
 182 the intruders are school fish. Hence, the defense time ratio τ_d is proportional to the
 183 density of school fish.

$$184 \quad \tau_d = aN_s \quad (8)$$

185 The fitness W_T^* of an attempted territory holder can be expressed as

$$186 \quad W_T^* = (K_r / N_{T_{\max}})\tau_f - c_{dS}\tau_d \quad (9)$$

187 where c_{dS} is the defense cost of a fish against school fish. Note that the defense cost
 188 against school fish is much larger than that of floaters, such that $c_{dS} \gg c_{dF}$. This
 189 difference is very important. Below the critical density ($N < N_2$), all school fish should
 190 switch to the territory option; we have the critical point (N_2) of territory formation by

$$191 \quad W_T^* = W_S \quad (10)$$

192 When all fish can hold a territory, they become territory holder. Their fitness jumps up
 193 to the maximum value $W_{T_{\max}}$.

194

195 3-3. Numerical estimations

196 We insert the empirical data into the model to estimate the expected dynamics and
197 transition points numerically. Since an ayu fish forms a territory of ca. 1 [m²] (Miyadi
198 1960; Kawanabe 1973), we set that $N_{T_{\max}} = 1$ [/m² rapids]. (We consider the fitness
199 based on 1 m² rapids in a midstream of a river.) In a typical Japanese river, the
200 midstream consists of about 55% of rapids and about 45% of pools (Kawanabe 1973).
201 This means that 1 m² rapids are associated with 0.81 [m² pools]. The defense time (τ_d)
202 and feeding time (τ_f) are estimated from empirical studies (Kawanabe 1969, Kawanabe
203 1970) as follows. Let n_f and n_d be the times (numbers: [/min]) of feeding and defense
204 (attack), respectively, per one territory holder. The maximum number of defense in a
205 minute is 15 times, whereas that of feeding is 30 times. Therefore, we get $\tau_d = n_d/15$
206 and $\tau_f = n_f/30 = 1 - n_d/15$, since $\tau_d + \tau_f = 1$. Because the times of defense (attack) n_d ,
207 increases with the number of floaters, we assume that $n_d = aN_F$. From low density ($N_F \leq$
208 1) experiments in pools, the attack rate is estimated that $a = 1.8\sim 6.3$, on average, ca. 3.4
209 (Table 1). Therefore, we set $a = 3.0$.

210 The algal food amount in the rapids, K_r , is estimated 3.3 [g /day/ (m² rapids)]
211 for a 20cm long fish (11 Kcal equivalent) (Kawanabe 1969). Since the defense cost c_{dF}

212 against a floater is estimated between 0.01 ~ 0.2 (Iguchi and Hino 1996), we set $c_{dF} =$
 213 0.1. Numerically, we derive that $W_T = K_r - (K_r + c_{dF})(a/15)(N-1)$ Next, we estimate the
 214 amount of food available in pools, K_p . The average diatom dry weight for rapids and
 215 pools are 6.25 and 0.42 [g/m²] (Miyadi 1960). Therefore, numerically, we get $K_p =$
 216 $[(0.42 \cdot 0.81)/6.25]K_r = 0.054K_r$.

217 Now we estimate the fitness of a school fish, W_S . The relative feeding rate of
 218 fish is estimated that $r = 0.4$ from the relative sizes of territory holders and school fish
 219 (Kawanabe 1969). Therefore, we get $W_S = 0.454K_r$ (if $N \leq 1$) or $0.454K_r/N$ (if $N > 1$).
 220 Finally, we estimate the fitness W_T^* of an attempted territory holder. We estimate the
 221 defense cost against school fish, $c_{dS} = 10$ (Iguchi 1996). Therefore, the defense time of
 222 an attempted territory holder is $T_d^* = (a/15)(N-1)$. Then we derive numerically that W_T^*
 223 $= K_r - (K_r + c_{dS})(a/15)(N-1)$.

224

225 **4. Analysis and Results**

226 We compare the theory with empirical data which were obtained previously.
 227 First we deal with the case that the fish density increases. The fitnesses of ayu fish
 228 against the population density are plotted in Fig. 3. When the density exceeds $N_{T_{\max}}$,

229 floaters emerge in the pool. Above the breakdown point ($N > N_1$), territory holders
230 should give up the territory and switch to schooling. The breakdown point is given by
231 $N_1 = 5.486$ [fish/m²] in the current model.

232 Table 2 shows the sensitivity of the attack rates and the defense cost against
233 floaters for their observed ranges and selected values. These results indicate that the
234 defense costs against floaters (c_{dF}) have almost no effects on the outcomes. On the
235 other hand, the attack rates have much more profound effects on the optimal switching
236 points from 2 to 8 individuals. As our best estimate, we here keep the optimal switching
237 point for $a = 3$ and $c_{dF} = 0.1$.

238 Table 3 shows the observation data of fish state in increasing fish density.
239 From Table 3, territoriality is maintained for $N < 4.1$ [fish/m²] and schooling is seen for
240 $N > 5.5$ [fish/m²]. These data mean $4.1 < N_1 < 5.5$, which are consistent with the
241 theoretical estimation ($N_1 = 5.486$). We should also note that the estimated breakdown
242 point is fairly robust in the estimated range of defense cost c_{dS} (=5~15).

243 Next, we deal with the case that the fish density decreases. At a high density,
244 all fish form a school ($N > N_1$). In Fig. 4, the fitnesses in decreasing process are
245 depicted against the density N . When the density decreases below N_1 , a school fish

246 attempts to have a territory. The fitness of territory holders (W_T) is not available for an
247 attempted territory holder. Even if $N < N_1$, the fitness of attempted territory holder
248 (W_T^*) may be smaller than that of school fish (W_S). However, when $N < N_2$
249 ($W_T^* > W_S$), all school fish should switch to the territory option.

250 The observation data of fish state in decreasing process are listed in Table 4.
251 When $N > 25.0$, all fish form school. In contrast, when $N < 1.5$, all have territories. In
252 the intermediate case, the fitness W_S is lower than W_T , but larger than W_T^*
253 ($W_T > W_S > W_T^*$). Thus, few school fish attempt to have their territories, but they
254 cannot have stable territories. The data $N = 5.0$ in Table 4 just indicate the emergence
255 of attempted territory holders (Th*). In this case, the territories are small and unstable
256 and a floater never emerges. This observation agrees with the theoretical prediction at
257 $N_2 < N < N_1$. When the density further decreases at or below N_2 , then every fish can
258 hold a territory. Hence, the fish switch to territoriality to keep a higher fitness. The
259 critical value may be close to $N_{T_{max}}$. Although $N_{T_{max}}$ is unity for natural river, it takes
260 a value larger than unity in experimental (rich food) condition.

261

262 **5. Discussion and Conclusion**

263 We apply a fitness theory (Gross 1982; Tainaka et al. 2007; Tanaka et al. 2009)
264 to obtain both cost and benefit for three behavioral strategies: territory holder (Th),
265 floater (Fl), and school fish (Sc). The empirical data (see Tables 1 and 3) show the
266 behavior of ayu fish changes depending on its density. When the density (N) increases,
267 the fish state changes as $Th \rightarrow (Th+Fl) \rightarrow Sc$ (see Fig. 2 a \rightarrow b \rightarrow c). In contrast, in the
268 decreasing process of N , the phase changes as $Sc \rightarrow Th$ (Fig. 2 c \rightarrow a). The different
269 phase transitions between increasing and decreasing processes denotes the historical
270 effect (hysteresis). The breakdown point (N_1) of territory should be larger than the
271 formation point (N_2). This is because each fish easily forms the territory in increasing
272 stage, but the territory formation is very hard against school fish in decreasing stage.
273 The value N_1 is determined by $W_T = W_S$ [see Eq. (7)], while N_2 is determined by
274 $W_T^* = W_S$ [see Eq. (10)].

275 Our results show the unique properties of ayu decisions along with the increase
276 (decrease) in density. When the density increases, the decision maker is not a floater,
277 but a territory holder (Th). When $W_T = W_S$, then the Th fish gives up the territoriality. In
278 contrast, when the density decreases, a school fish is a decision maker: when $W_T^* = W_S$,
279 then the Sc fish gives up schooling. In both processes, the floater is not an option but a

280 forced option. No fish wants to be a floater (loser)! Such a difference of transition
281 points causes the emergence of attempted territory holder (Th^*) in the decreasing
282 process of fish density. Even if a fish tries to hold a territory (Th^*), school fish ignore
283 and swim over the territory and feed algae freely (Iguchi 1996; Tachihara and Kimura
284 1992). The fitness of Sc is much smaller than that of Th , but is larger than that of Th^* .
285 This is because Th^* defends against school fish, while Th defends against
286 scattered/sporadic floaters. Note that the defense against school fish is known to be very
287 hard (Iguchi 1996; Tachihara and Kimura 1992).

288 The historical effect (hysteresis) is well known in physics, such as ice-water
289 transition and magnetism. However, biological hysteresis was rare (Caraco 1980; Ronce
290 and Kirkpatrick 2001). Caraco (1980) dealt with dynamics of avian flocks foraging in
291 two patches, and reported the animal hysteresis. When a population size increases, the
292 incoming birds continue to join a single crowded feeding ground, until choosing a
293 vacant risky site becomes better than joining the already crowded patch. When the
294 population size decreases with birds leaving the feeding grounds, the number of birds in
295 both grounds becomes much less than the optimal flock size. The dynamics of flock
296 sizes are shifted from the optimal flock size (a single transition point) when flock sizes
297 are increasing or decreasing (Caraco 1980). The territoriality in ayu is another case of

298 animal hysteresis. We show the different phase transitions as illustrated in Fig. 2.
299 Moreover, we report a distinct property never seen in other hysteresis systems. Namely,
300 we can see the historical effect in fish behaviors. In the decreasing process of the
301 population size N , attempt territory holders (Th*) often appear instead of floaters.

302 The empirical data in increasing stage (Table 3) indicate that the breakdown
303 point (N_1) of territoriality can be represented by $4.1 < N_1 < 5.5$. This result is
304 consistent with the theoretical estimation ($N_1=5.486$). On the other hand, empirical data
305 in decreasing stage (Table 4) suggest that $1.5 < N_2 < 5.0$. This slightly differs from our
306 prediction ($N_2 \approx 1$). The discrepancy may come from the estimation of parameters. In
307 particular, the number of fish which intrudes into the territory of Th* may be
308 overestimated [see Eq. (8)]. Our model is an extremely simple cost benefit model, so
309 that other important factors are not included, e.g., individual variations in fish traits
310 (Katano and Iguchi 1996), interference by other fish species (Katano et al. 2000), the
311 quality and size variations of the territories (Iguchi and Hino 1996), and the time scale
312 of increasing/decreasing fish densities. The reproduction (regeneration) of algae after
313 feeding may be also important, because the rate of regeneration is different between
314 territorial feedings and school foraging (Katano et al. 2000).

315

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409

410

411 **Tables**

412

413 Table 1. The attack frequency of a territory holder against an intruder at low density in
414 experimental running-water pools of 2 × 5 square meter in 1991 in Japan (Iguchi 1996).

415

416	TF	NT	NF	F/T	Territory size	Attack frequency	Attack frequency
417					[m ²]	[1/min]	[1/min/holder]
418							
419	3	2	1	0.5	3.68	2.12	4.24
420					2.00	3.14	6.28
421							
422	6	5	1	0.2	0.32	0.55	2.75
423					0.96	0.35	1.75
424					0.80	0.74	3.70
425					0.40	0.60	3.00
426					0.56	0.40	2.00
427							

428 Entries are: TF: total fish; NT: number of territory holders; NF: floater number; F/T: the
429 ratio of floater per a territory holder. The average attack frequency/min/holder is 3.39
430 times. Estimation of attack frequency is based on the 5 minutes observation of every
431 fish per day. Attack includes against both floaters and other territory holders.

432

433 Table 2. The switching point from territory holders (T) to school (S) in relation to the
 434 attack rates (a) and the defense cost against floaters (c_{dF}). The unit is the number of
 435 individuals /unit area.

436	Defense cost		Attack cost	
437	against floaters	1.8	3	6.3
439				
440	0.01	8.8	5.6	3.0
441	0.1	8.6	5.4	3.0
442	0.2	8.4	5.3	2.9
443				
444				
445				

446 Table 3. The existence of territoriality against an increasing fish density.

447

448

449	Year	River or Pond	Natural or experiment	Density N [1/m ² rapids]	State of fish	Reference
450						
451	1955	Ukawa	Natural	5.5	School	[1]
452	1956	Ukawa	Natural	0.9	Territory	[1]
453	1957	Ukawa	Natural	0.3	Territory	[1]
454	1958	Inukai	Experiment	4.1	Territory	[1]
455	1987	Pond	Experiment	195.2	School	[2]
456	1987	Pond	Experiment	97.6	School	[2]
457	1989	Pond	Experiment	120.4	School	[2]
458	1989	Pond	Experiment	25.0	School	[2]
459	1991	Experimental stream		1.0	Territory	[3]
460	1991	Experimental stream		0.6	Territory	[3]
461	1999	Pond	Experiment	1250.0	School	[4]
462	1999	Pond	Experiment	400.0	School	[4]
463	1999	Pond	Experiment	100.0	School	[4]

464

465 References [1] Kawanabe 1969, [2] Iguchi and Yamaguchi 1994, [3] Iguchi 1996, and

466 [4] Iguchi et al. 2003.

467

468 Table 4. The state of fish in an decreasing stage.

469

470	Year	River or	Natural or	Density	State	Reference
471		pond	experiment	[1/m ² rapids]	offish	
472						
473	1958	Inukai	Experiment	1.5	Territory	[1]
474	1958	Inukai	Experiment	0.5	Territory	[1]
475	1987	Pond	Experiment	195.2	School	[2]
476	1987	Pond	Experiment	97.6	School	[2]
477	1989	Pond	Experiment	120.4	School	[2]
478	1989	Pond	Experiment	25.0	School	[2]
479	1991	Experimental stream		5.0	School(Th*)	[3]
480	1991	Experimental stream		1.5	Territory	[3]
481	1991	Experimental stream		1.0	Territory	[3]
482	1991	Experimental stream		0.6	Territory	[3]
483	1991	Experimental stream		0.3	Territory	[3]

484

485 Th*: Attempted territory holders appear; their territories are small and unstable.

486 References [1] Kawanabe 1969, [2] Iguchi and Yamaguchi 1994, and [3] Iguchi 1996.

487

488

489 **Figure Captions**

490 **Fig. 1.** The territoriality in ayu. (a) Two fish check with each other at the boundary of
491 both territories. (b) A territory holder (behind) attacks against an intruder.

492

493 **Fig. 2.** The breakdown and formation models of territoriality. When the fish density
494 increases, phases (stages) change as $a \rightarrow b \rightarrow c$. Stage a: when the density is low, all fish
495 hold a territory. Stage b: when the density increases, some fish become a floater. Stage
496 c: when the density further increases, all the territories break down and fish swim in
497 schools. When the fish density decreases, the change $c \rightarrow a$ occurs: when the density
498 decreases to a low density, all the fish begin to form a territory almost simultaneously.

499

500 **Fig. 3.** The theoretical result with increasing of fish density. The fitnesses of a territory
501 holder (W_T , red), a floater (W_F , blue) and a school fish (W_S , green) are depicted against
502 the density (N). The maximum density (capacity) of territory is assumed $N_{T_{\max}}=1$,
503 and the transition (breakdown) point is given by $N_1=5.486$. The unit for fitness is

504 (gram diatom food)/[day(1m² rapids+0.81m² pools)]. The parameter settings are: $a=3$, c
505 $= 0.1$, $K_r=3.3$, $K_p=0.1782$ and $r=0.4$.

506

507 **Fig. 4.** The result in decreasing stage. The fitnesses of an attempted territory holder
508 (W_T^* , solid purple line) and a school fish (W_S , solid green curve) are plotted against
509 the density (N). For the comparison, the fitness of a territory holder (W_T , broken red
510 line) is shown. The transition (formation) point is represented by N_2 which is much less
511 than the breakdown point (N_1). The parameter settings are the same as in Fig. 3.

512

513

514

515 **Fig. 1**

516 **(a)**

(b)



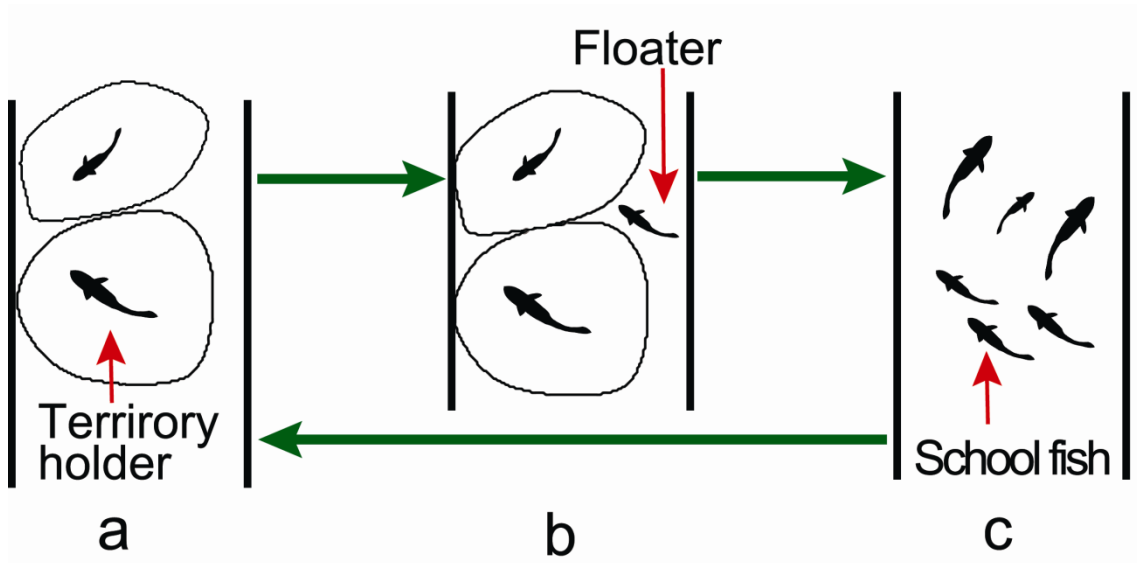
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521 **Fig. 2**

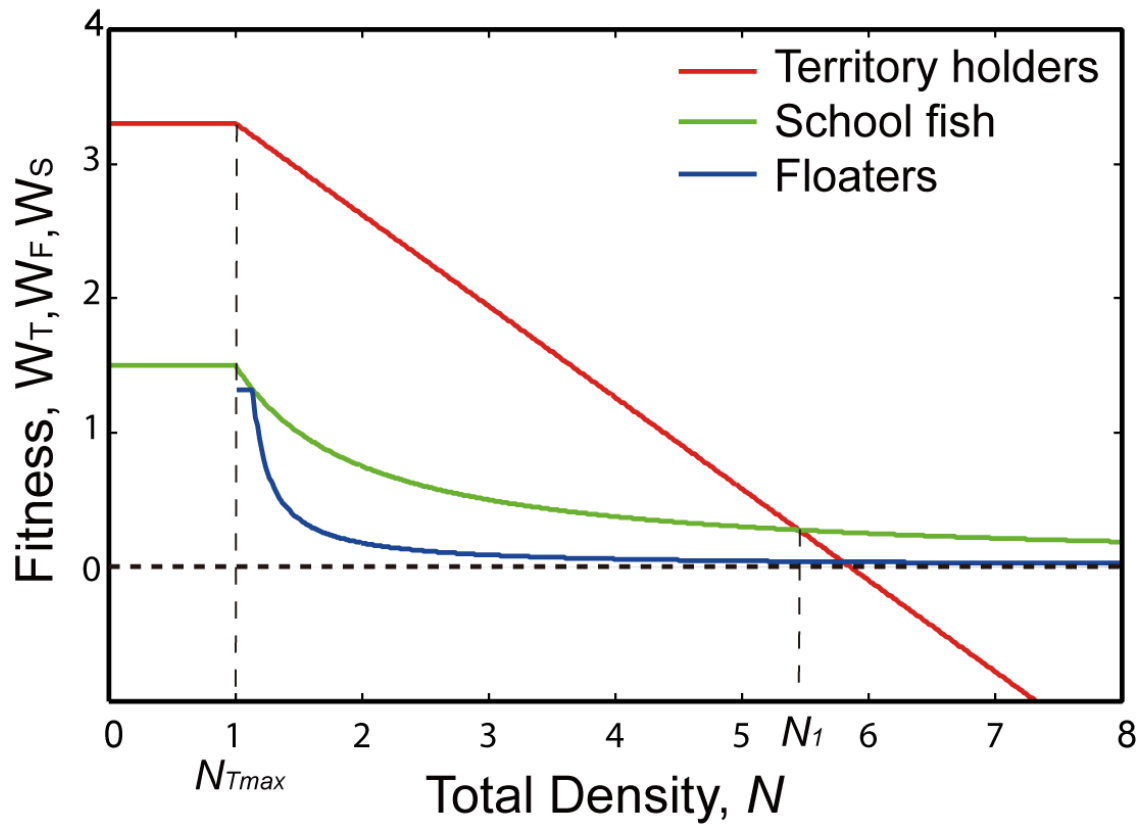


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525 **Fig. 3**



526

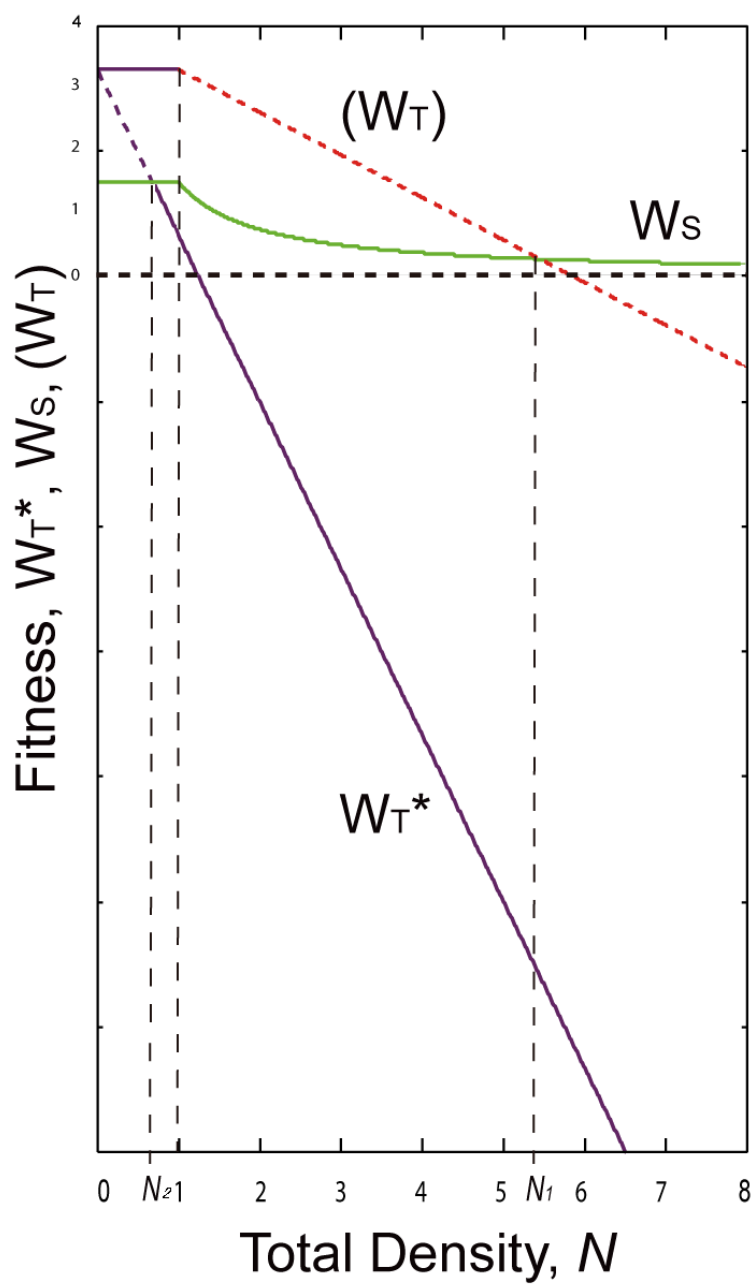
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531 **Fig. 4**



532

533