

## UNDERSTANDING THE RISKS ASSOCIATED WITH INHERITANCE AND CROSS-RESISTANCE IN CRY AND VIP3A RESISTANCE OF *HELICOVERPA ZEA*

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### Abstract

The cotton bollworm or corn earworm, *Helicoverpa zea*, is a major target of Bt cotton and pyramided Bt corn in the U.S. In recent years, field-evolved resistance of *H. zea* to Cry1 and Cry2 proteins has been widely reported in the U.S., especially in the southern states. In addition, a recent study provided strong evidence that *H. zea* has developed field-evolved resistance to Vip3Aa protein in the southern U.S. that meets the criteria for early warning of resistance but not practical resistance. Currently, high dose/refuge and gene-pyramiding are the two main IRM strategies implemented for planting Bt crops in the U.S. Information on the genetic basis and cross-resistance of Cry and Vip3Aa resistance in *H. zea* can help evaluate the risks associated with the resistance in the field. In this study, we characterized the Cry2Ab and Vip3Aa resistance in *H. zea* to test whether it meets the assumptions of IRM as recessive resistance and no cross-resistance.

### Introduction

Crops genetically engineered to produce Cry and Vip proteins from the bacterium *Bacillus thuringiensis* (Bt) have been planted for control of some major lepidopteran and coleopteran pests for more than two decades.[1] Environmental and economic benefits associated with the adoption of Bt crops, which include pest suppression, reduced use of conventional insecticides, and increased yields, have been documented in numerous studies.[2-7] However, widespread adoption of Bt crops has placed intense selection pressure on the pest populations and challenged the long-term sustainability of the Bt technology.[8, 9] To date, field-evolved resistance to Bt crops with practical consequences has been globally reported in at least 23 cases.[10-15] Thus, implementing effective insect resistance management (IRM) strategies is essential to combat evolution of insect resistance and ensure the sustainable use of Bt crop technology. Currently, the high dose/refuge and gene-pyramiding are the two main IRM strategies implemented for Bt crops globally.[16, 17]

The high dose/refuge strategy is based on the concept that rare homozygous resistant individuals originating from Bt plants will mate with susceptible insects developed from non-Bt refuge plants and produce heterozygous offspring. The 'high dose/refuge' strategy is expected to work most effectively when resistance is inherited as a functionally recessive trait so that heterozygous progeny can be killed by the high dose Bt proteins expressed in the Bt plants; when resistance is not recessive and heterozygous offspring can survive on the Bt plants, the strategy is less effective.[16] Therefore, understanding the genetic basis of Bt resistance is essential in developing IRM strategies for the sustainable use of Bt crop technology.

Pyramided Bt crops are primarily adopted to delay insect resistance development by producing multiple distinct Bt proteins to kill the same insect pest. A key assumption favoring the success of pyramiding strategy is that insects resistant to one Bt protein are still susceptible to other Bt proteins.[17, 18] However, the efficacy of pyramiding strategy for resistance management could be jeopardized by cross-resistance, which is defined as insects resistant to one Bt protein also exhibit resistance against other Bt proteins.[18, 19] Therefore, understanding the cross-resistance patterns of Bt resistance in pyramided Bt crops is also critical in developing IRM strategies for the sustainable use of Bt crop technology.

The corn earworm/cotton bollworm, *Helicoverpa zea* (Boddie) (Lepidoptera: Noctuidae), is a major target pest of both Bt cotton and Bt corn in North America. Currently, field-evolved resistance of *H. zea* to Cry1 and Cry2 proteins has been widely reported in the U.S., especially in the Southern states.[15, 20-23] The widespread occurrence of Cry1 and Cry2 resistance challenges the long-term efficacy of pyramided Bt crop technologies against *H. zea*. In the lab, we have successfully developed the *H. zea* strains showing highly resistance to Cry2Ab2 and Vip3Aa proteins, respectively, using F<sub>2</sub> screen methods with populations collected from the Southern U.S. The availability of these resistant strains offered a valuable opportunity to understand the genetic basis of Cry2Ab2 and Vip3Aa resistance in *H. zea*, and its impact on the efficacy of other Bt proteins used in current Bt crops. In this study, we characterized the

genetic bases and cross-resistance of Cry2Ab2 and Vip3Aa resistance in *H. zea* to test whether it meets the assumptions of IRM as recessive resistance and no cross-resistance.

## **Materials and Methods**

### **Insect Sources**

In this study, we used a Cry2Ab2-resistant strain (Cry-RR), a Vip3Aa-resistant (Vip-RR) strain and a susceptible (SS) strain of *H. zea* as the original insect sources. SS was obtained from a commercial source, Benzon Research Inc., Carlisle, PA. Study has shown that SS is susceptible to the Cry1Ac, Cry2Ab2, and Vip3Aa proteins in diet-overlay bioassays.[24] The Cry-RR strain of *H. zea* was established using an F<sub>2</sub> screen method with populations collected from Genuity VT Double Pro corn fields in Snook, TX in 2018.[25] Compared to SS, the Cry2Ab2-resistant *H. zea* strain exhibited a significant level of resistance to Cry2Ab2 corn-leaf powder protein with a resistance ratio of more than 400-fold.[25] The Vip-RR strain was isolated through F<sub>2</sub> screening with insects light-trapped in Texas, U.S. in 2019.[26] Vip-RR has demonstrated more than 588.0-fold resistance to Vip3Aa39 purified protein compared to the SS strain.[26] Prior to the inheritance study, backcross and reselection between RR (Cry-RR and Vip-RR) and SS had been conducted twice to ensure a similar genetic background for the tested strain. The backcrossed re-selected resistant strains were used in this study.

To characterize the Cry2Ab2 and Vip3Aa resistance in *H. zea*, we first conducted reciprocal crosses between the SS and RR (Cry-RR and Vip-RR) strains to generate F<sub>1</sub> strains (F<sub>1a</sub>: RR \*SS, and F<sub>1b</sub>: RR \*SS), to evaluate for dominance and sex linkage. Then we crossed the two F<sub>1</sub> strains to generate F<sub>2</sub> strains (F<sub>2a</sub>: F<sub>1a</sub>\*F<sub>1a</sub>, and F<sub>2b</sub>: F<sub>1b</sub>\*F<sub>1b</sub>) to determine whether the resistance is controlled by a single gene. Finally, we crossed the F<sub>1</sub> strains with RR to further determine if the resistance is controlled by a single gene.

### **Bt Proteins**

Bayer CropScience (St. Louis, MO) provided the Cry1Ac, Cry1A.105 and Cry2Ab2 proteins, and Dr. Juan-Luis Jurat-Fuentes, University of Tennessee supplied the Vip3Aa39 protein. The Cry1Ac protein was lyophilized MVPII powder with 20.0% AI. The Cry1A.105 protein was a liquid formulation with a concentration of 1.116 mg/ml. The Cry2Ab2 protein was lyophilized (freeze-dried) Bt corn leaf powder expressing ~5.2 mg of Cry2Ab2 protein/g. The Vip3Aa39 protein was a liquid formulation with a concentration of 0.9 mg/ml.

### **Dose-Response Bioassay**

Larval susceptibility of *H. zea* to the four Bt proteins described above was determined using a diet-overlay bioassay as described in Yang et al.[26] For each Bt protein, a full-range bioassay consisting of 6-9 protein concentrations plus a negative control lacking Bt protein was conducted using 128-well bioassay trays (C-D International, Pitman, NJ). The concentrations ranged from 0.01 to 31.6 µg/cm<sup>2</sup> for Cry1A.105, 0.01 to 100 µg/cm<sup>2</sup> for Cry1Ac, 0.0316 to 20 µg/cm<sup>2</sup> for Cry2Ab2, and 0.0316 to 10 µg/cm<sup>2</sup> for Vip3Aa39. For each Bt concentration, 40 µl of protein solution was overlaid onto the surface of each cell for Cry1A.105, Cry1Ac, and Vip3Aa39 proteins, and 200 µl of protein solution was overlaid on the surface of each cell for the Cry2Ab2 protein. Once the protein solution was dry, each cell was infested with one *H. zea* neonate (< 24 h) and covered with vented lids (C-D International, Pitman, NJ). Each combination of insect genotype and Bt protein concentration was replicated four times with 16 neonates per replication. After infestation, the insects were maintained under conditions of 50% RH, 26 ± 1 °C, and a photoperiod of 16h (L):8h (D). Larval instar and mortality were recorded on the 7th day after inoculation.

### **Data Analysis**

Larval mortality was calculated as mortality (%) = 100\* number of dead larvae plus number of surviving larvae still in the first instar divided by total number of insects assayed.[26] Larval mortality for each Bt protein concentration was corrected based on the control mortality according to the method of Abbott.[27] The median lethal concentration (LC<sub>50</sub>) that caused 50% mortality and the corresponding 95% confidence limit (CL) were calculated using probit analysis.[28] Resistance ratio for each Bt protein was calculated using the LC<sub>50</sub> of an insect genotype divided by the LC<sub>50</sub> of SS. Differences among LC<sub>50</sub> of insect genotypes were tested by comparing the 95% confidence interval of the LC<sub>50</sub> for each insect genotype. If the confidence intervals overlap, the differences between LC<sub>50</sub>s are not significant, otherwise the differences are significant.

Effective dominance (D<sub>ML</sub>) was calculated using the equation:  $D_{ML} = (ML_{RS} - ML_{SS}) / (ML_{RR} - ML_{SS})$ , where ML<sub>SS</sub>, ML<sub>RR</sub>, and ML<sub>RS</sub> are the mortality of the SS, RR, and RS at a given Bt concentration, respectively. D<sub>ML</sub> ranges from

0 to 1, where  $D_{ML}=0$  indicates completely recessive resistance and  $D_{ML}=1$  means resistance is completely dominant.[29] Maternal effects of resistance in *H. zea* was evaluated by comparison of the  $LC_{50}$  values and mortality between  $F_{1a}$  and  $F_{1b}$ . [30] To determine whether the resistance is monogenic or polygenic, we used the Chi-square ( $\chi^2$ ) tests for goodness of fit based on a Mendelian monogenic.[30]

## **Results and Discussion**

### **Resistance to Cry2Ab2 Protein in Diet Bioassay**

On Cry2Ab2 corn-leaf powder, the  $LC_{50}$  values for SS and Cry-RR were 0.70  $\mu\text{g}/\text{cm}^2$  and 286.35  $\mu\text{g}/\text{cm}^2$ , respectively (Table 1). The difference in the  $LC_{50}$ s of SS and Cry-RR was significant based on the non-overlapped 95% CLs, resulting in a resistance ratio of 409.1-fold for Cry-RR (Table 1). The results indicate that the Cry-RR strain was resistant to Cry2Ab2 corn-leaf powder. The  $LC_{50}$  values of the two  $F_1$  strains were not different based on the overlapped 95% CLs and ranged from 14.96 to 15.73  $\mu\text{g}/\text{cm}^2$ , which was 21.4 to 22.5-fold greater than the SS strain. These results suggest that maternal effects and sex linkage were not present in the Cry2Ab2 resistance, and thus the inheritance of the Cry2Ab2 resistance was considered to be autosomal.

Based on the mortality at each Cry2Ab2 concentration in the concentration-response bioassays, the effective dominance level ( $D_{ML}$ ) of the resistance varied depending on the concentration of both Cry2Ab2 corn-leaf powder (Table 2). At the concentrations of 1.0-10.0  $\mu\text{g}/\text{cm}^2$  of Cry2Ab2 corn-leaf powder,  $D_{ML}$  ranged from 0.80 to 0.98, suggesting that the resistance was functionally incompletely to nearly completely dominant (Table 2). However, at the highest concentration of 31.6  $\mu\text{g}/\text{cm}^2$  of Cry2Ab2 corn-leaf powder,  $D_{ML}$  was 0.42, indicating that the resistance was incompletely recessive (Table 2). The direct test for a monogenic (single-gene) mode of inheritance of Cry2Ab2 resistance showed significantly greater mortality ( $P < 0.001$ ) than expected at concentrations of 1.0-31.6  $\mu\text{g}/\text{cm}^2$  for the  $F_2$  strains (except for 3.16  $\mu\text{g}/\text{cm}^2$ ), and backcrosses between  $F_1$  and RR (Table 3). These results suggested that more than one locus is involved in conferring Cry2Ab2 resistance in *H. zea*.

SS was susceptible to all three Bt proteins with an estimated  $LC_{50}$  value of 0.027  $\mu\text{g}/\text{cm}^2$  against Cry1Ac, 0.025  $\mu\text{g}/\text{cm}^2$  against Cry1A.105, and 0.112  $\mu\text{g}/\text{cm}^2$  against Vip3Aa39 (Table 4). Cry-RS and Cry-RR were also susceptible to Vip3Aa39 protein with estimated  $LC_{50}$  values of 0.173 and 0.044  $\mu\text{g}/\text{cm}^2$ , respectively (Table 4). In contrast, both Cry-RS and Cry-RR exhibited significant levels of resistance against Cry1Ac, and Cry1A.105 relative to SS based on the non-overlapping of 95% CLs (Table 4). Relative to SS, the resistance ratio for Cry-RS was 128.1-, 56.1-, and 1.5-fold against Cry1Ac, Cry1A.105 and Vip3Aa, respectively (Table 4). Similarly, the resistance ratio for Cry-RR was 779.4-, 4476.7-, and 0.4-fold against Cry1Ac, Cry1A.105 and Vip3Aa, respectively (Table 4).

Based on these results, the risks of Cry2 resistance in *H. zea* may be relatively high because the resistance is non-recessive, autosomal, controlled by multiple single genes, and showing resistant to other Cry1 Bt proteins.

### **Resistance to Vip3Aa Protein in Diet Bioassay**

The resistance ratio was 45,194.1-fold for Vip-RR relative to SS (Table 5). The  $LC_{50}$  value for  $F_{1a}$  and  $F_{1b}$  was 0.14 and 0.10  $\mu\text{g}/\text{cm}^2$ , respectively, which was similar according to the overlapped 95% CLs (Table 5). Compared to SS, the resistance ratio for  $F_{1a}$  and  $F_{1b}$  was 0.8- and 0.6-fold, respectively (Table 5). These results indicate that maternal effects and sex linkage were absent in the Vip3Aa resistant strains of *H. zea*, and thus the inheritance of the Vip3Aa resistance in *H. zea* was autosomal.

Effective dominance ( $D_{ML}$ ) calculated based on the equation showed that  $D_{ML}$  was 0.0 for Vip3Aa39 concentrations ranging from 0.1-31.6  $\mu\text{g}/\text{cm}^2$ , suggesting that the Vip3Aa resistance in *H. zea* was functionally completely recessive (Table 6). The  $\chi^2$  test showed that the observed mortality was not different ( $P > 0.05$ ) from the expected mortality at Vip3Aa39 concentration of 3.16 and 10.0  $\mu\text{g}/\text{cm}^2$  for the pooled  $F_2$ , and pooled backcross between Vip-RR and  $F_1$  (Table 7). These results indicate that the Vip3Aa resistance in *H. zea* was likely controlled by a single gene.

$LC_{50}$  value of SS was 0.11  $\mu\text{g}/\text{cm}^2$  against Cry1Ac, and 0.70  $\mu\text{g}/\text{cm}^2$  against Cry2Ab2 (Table 8).  $LC_{50}$  value of Vip-RR was 0.17  $\mu\text{g}/\text{cm}^2$  against Cry1Ac, and 0.34  $\mu\text{g}/\text{cm}^2$  against Cry2Ab2 (Table 8). Relative to SS, the resistance ratio for Vip-RR was 1.5-, and 0.49-fold against Cry1Ac, and Cry2Ab2, respectively (Table 8).

Based on these results, the risks of Vip3Aa resistance in *H. zea* may be relatively low because the resistance is recessive, autosomal, controlled by a single gene, and not cross-resistant to other Cry1 and Cry2 Bt proteins.

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**Table 1.** Mortality response (LC<sub>50</sub>) of different genotypes of *Helicoverpa zea* to Cry2Ab2-corn leaf powder in diet-overlay bioassays.

Strain	N <sup>#</sup>	LC <sub>50</sub> (95% CL) (µg/cm <sup>2</sup> ) <sup>§</sup>	Slope ± SE	χ <sup>2</sup>	df	Resistance ratio <sup>‡</sup>
SS	512	0.70 (0.51, 0.97)	1.53 ± 0.15	40.2	26	-
Cry-RR	512	286.35 (65.44, 5243)	0.41 ± 0.07	32.6	26	409.1
F <sub>1a</sub> : Cry-RR *SS	512	14.96 (6.06, 105.08)	1.26 ± 0.37	43.3	26	21.4
F <sub>1b</sub> : Cry-RR *SS	512	15.73 (8.88, 37.33)	1.18 ± 0.20	33.7	26	22.5

<sup>#</sup> Total number of neonates assayed.

<sup>§</sup> Median lethal concentration (LC<sub>50</sub>) that caused 50% mortality and the corresponding 95% confidence limit (CL). Larval mortality was calculated based on the number of dead larvae plus survivors that were still in the first instar divided by the total number of insects assayed.

<sup>‡</sup> Resistance ratio for an insect genotype was calculated using its LC<sub>50</sub> value divided by the LC<sub>50</sub> of SS.

**Table 2.** Effective dominance level (D<sub>ML</sub>) of Cry2Ab2 resistance in *Helicoverpa zea* based on the larval mortality observed in diet-overlay bioassays.

Concentration (µg/cm <sup>2</sup> )	Dominance (D <sub>ML</sub> )	Conclusion
1	0.87	Incompletely dominant
3.16	0.98	Incompletely dominant
10	0.80	Incompletely dominant
31.6	0.42	Incompletely recessive

**Table 3.** Test for monogenic inheritance for resistance to Cry2Ab2 by comparing expected and observed mortalities of the F<sub>2</sub> backcross populations between F<sub>1</sub> and SS and between F<sub>1</sub> and Cry-RR at different Cry2Ab2 concentrations.

Strain	Concentration (µg/cm <sup>2</sup> )	N <sup>#</sup>	Observed dead (O)	Expected dead (E)	χ <sup>2</sup>	P-value
Pooled BCS: F <sub>1</sub> *SS	1	256	13.8	92.7	105.15	< 0.05
	3.16	256	50.9	116.7	68.16	< 0.05
	10	256	124.4	174.7	45.62	< 0.05
	31.6	256	251.9	223.5	28.45	< 0.05
Pooled BCR: F <sub>1</sub> *Cry-RR	1	256	5.9	14.8	5.74	< 0.05
	3.16	256	8.96	23.6	9.96	< 0.05
	10	256	49.9	72.7	9.97	< 0.05
	31.6	256	204.0	145.4	54.71	< 0.05
Pooled F <sub>2</sub> : F <sub>1</sub> *F <sub>1</sub>	1	128	12.2	26.9	10.20	< 0.05
	3.16	128	27.4	35.1	2.32	0.13
	10	128	49.8	61.9	4.56	< 0.05
	31.6	128	60.9	92.2	38.00	< 0.05

<sup>#</sup> Total number of neonates assayed.

**Table 4.** Mortality response (LC<sub>50</sub>) of different genotypes of *Helicoverpa zea* to Bt proteins in diet-overlay bioassays.

Bt protein	Insect <sup>*</sup>	N <sup>#</sup>	LC <sub>50</sub> (95% CL) (µg/cm <sup>2</sup> ) <sup>§</sup>	Slope ± SE	X <sup>2</sup>	df	Resistance ratio <sup>£</sup>
Cry1Ac	SS	576	0.027 (0.020, 0.035)	1.58 ± 0.16	26.5	30	1.0
	Cry-RS	512	3.459 (2.586, 4.636)	1.13 ± 0.09	26.6	26	128.1
	Cry-RR	512	21.043 (12.393, 41.715)	0.61 ± 0.07	28.2	26	779.4
Cry1A.105	SS	576	0.025 (0.020, 0.030)	2.56 ± 0.29	23.0	30	1.0
	Cry-RS	512	1.402 (0.990, 1.999)	0.88 ± 0.08	30.4	26	56.1
	Cry-RR	512	111.918 (25.350, 2780.000)	0.32 ± 0.07	36.6	26	4476.7
Vip3Aa	SS	448	0.112 (0.094, 0.133)	3.23 ± 0.35	12.9	22	1.0
	Cry-RS	448	0.173 (0.130, 0.229)	2.11 ± 0.25	39.9	22	1.5
	Cry-RR	448	0.044 (0.032, 0.049)	3.13 ± 0.46	4.4	22	0.4

<sup>#</sup> Total number of neonates assayed.

<sup>§</sup> Median lethal concentration (LC<sub>50</sub>) that caused 50% mortality and the corresponding 95% confidence limit (CL). Larval mortality was calculated based on the number of dead larvae plus survivors that were still in the first instar divided by the total number of insects assayed.

<sup>£</sup> Resistance ratio for an insect genotype was calculated using its LC<sub>50</sub> value divided by the LC<sub>50</sub> of SS.

**Table 5.** Mortality response (LC<sub>50</sub>) of different genotypes of *Helicoverpa zea* to Vip3Aa39 protein in diet-overlay bioassays.

Insect genotype	N <sup>#</sup>	LC <sub>50</sub> (95% CL) (µg/cm <sup>2</sup> ) <sup>§</sup>	Slope ± SE	X <sup>2</sup>	df	Resistance ratio <sup>£</sup>
SS	512	0.17 (0.14, 0.21)	2.84 ± 0.29	10.5	26	-
RR	512	7683.00	1.01 ± 0.73	5.0	25	45194.1
F <sub>1a</sub> : RR *SS	512	0.14 (0.11, 0.16)	2.89 ± 0.31	9.1	26	0.8
F <sub>1b</sub> : RR *SS	512	0.10 (0.08, 0.12)	3.36 ± 0.38	11.1	26	0.6

<sup>#</sup> Total number of neonates assayed.

<sup>§</sup> Median lethal concentration (LC<sub>50</sub>) that caused 50% mortality and the corresponding 95% confidence limit (CL). Larval mortality was calculated based on the number of dead larvae plus survivors that were still in the first instar divided by the total number of insects assayed.

<sup>£</sup> Resistance ratio for an insect genotype was calculated using its LC<sub>50</sub> value divided by the LC<sub>50</sub> of SS.

**Table 6.** Effective dominance level ( $D_{ML}$ ) of Vip3Aa resistance in *Helicoverpa zea* based on the larval mortality observed in diet-overlay bioassays.

Vip3Aa39 concentration ( $\mu\text{g}/\text{cm}^2$ )	Dominance ( $D_{ML}$ )	Description
0.1	-1.2	Completely recessive
0.316	-0.2	Completely recessive
1	0.0	Completely recessive
3.16	0.0	Completely recessive
10	0.0	Completely recessive
31.6	0.0	Completely recessive

**Table 7.** Test for fitting a Mendelian monogenic model for Vip3Aa resistance in *Helicoverpa zea*.

Vip3Aa39 concentration	Insect Strain	N <sup>#</sup>	Observed dead (O)	Expected dead (E)	$\chi^2$	P-value
3.16 $\mu\text{g}/\text{cm}^2$	Pooled Backcross	256	119.8	128.0	1.049	0.306
	Pooled F <sub>2</sub>	128	94.7	96.0	0.068	0.794
10 $\mu\text{g}/\text{cm}^2$	Pooled Backcross	256	130.3	129.7	0.006	0.938
	Pooled F <sub>2</sub>	128	91.8	96.4	0.907	0.341

<sup>#</sup>Total number of neonates assayed.

**Table 8.** Mortality response ( $LC_{50}$ ) of different genotypes of *Helicoverpa zea* to Bt proteins in diet-overlay bioassays.

Bt protein	Insect <sup>*</sup>	N <sup>#</sup>	$LC_{50}$ (95% CL) ( $\mu\text{g}/\text{cm}^2$ ) <sup>§</sup>	Slope $\pm$ SE	X <sup>2</sup>	df	Resistance ratio <sup>£</sup>
Cry1Ac	SS	512	0.11 (0.08, 0.14)	1.39 $\pm$ 0.11	31.6	26	1.0
	Vip-RR	512	0.17 (0.12, 0.23)	1.13 $\pm$ 0.10	24.9	26	1.5
Cry2Ab2	SS	512	0.70 (0.51, 0.67)	1.53 $\pm$ 0.15	40.2	26	1.0
	Vip-RR	512	0.34 (0.26, 0.44)	1.40 $\pm$ 0.11	31.9	26	0.49

<sup>#</sup>Total number of neonates assayed.

<sup>§</sup> Median lethal concentration ( $LC_{50}$ ) that caused 50% mortality and the corresponding 95% confidence limit (CL). Larval mortality was calculated based on the number of dead larvae plus survivors that were still in the first instar divided by the total number of insects assayed.

<sup>£</sup> Resistance ratio for an insect genotype was calculated using its  $LC_{50}$  value divided by the  $LC_{50}$  of SS.