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Proxy Panels enable Privacy-aware Outsourcing of Genotype Imputation

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ABSTRACT

One of the major challenges in genomic data sharing is protecting participants' privacy in collaborative studies and when genomic data is outsourced to perform analysis tasks, e.g., genotype imputation services and federated collaborations genomic analysis. Although numerous cryptographic methods have been developed, these methods may not yet be practical for population-scale tasks in terms of computational requirements, rely on high-level expertise in security, and require each algorithm to be implemented from scratch.

In this study, we focus on outsourcing of genotype imputation, a fundamental task that utilizes population-level reference panels, and develop protocols that rely on using “proxy-panels” to protect genotype panels while imputation task is being outsourced at servers. The proxy panels are generated through a series of protection mechanisms such as haplotype sampling, allele hashing, and coordinate anonymization to protect the underlying sensitive panel's genetic variant coordinates, genetic maps, and chromosome-wide haplotypes. While the resulting proxy panels are almost distinct from the sensitive panels, they are valid panels that can be used as input to imputation methods such as Beagle. We demonstrate that proxy-based imputation protects against well-known attacks with a minor decrease in imputation accuracy for variants in a wide range of allele frequencies.

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INTRODUCTION

Decreasing cost of DNA sequencing and genotyping brought about a massively increase the number of personal genomes (Muir et al. 2016). Starting with the small-scale population-wide sequencing(Chen et al. 2022) efforts such as The HapMap Consortium(Locke et al. 2006; International HapMap Consortium 2005), The 1000 Genomes Project(The 1000 Genomes Project Consortium 2015) and the population scale projects such as UK Biobank, Genomics England, Trans-omics for precision medicine (TOPMed)(Kowalski et al. 2019), and *AllofUs* research program(All of Us Research Program Investigators et al. 2019), millions of personal genomes are available for analysis including underrepresented populations which are vital for increasing diversity in research(Popejoy and Fullerton 2016; Matalon et al. 2023; Bentley et al. 2017) and for the inclusion of underrepresented populations(Choudhury et al. 2020; Stark et al. 2019).

Some of the most critical use cases of the large datasets are their secondary usage as reference datasets(Martyn et al. 2024), e.g. to evaluate allele counts via beacon servers(Fiume et al. 2019) and variant databases (e.g., gnomAD(Karczewski et al. 2020), dbSNP(Sherry et al. 2001)), and for building genotype imputation outsourcing services(Sun et al. 2022; Das et al. 2016). For example, NIH's Trans-Omics for Precision Medicine (TOPMed) (Kowalski et al. 2019; Taliun et al. 2021) and Haplotype Reference Consortia(McCarthy et al. 2016) serve as the reference panels for genotype imputation, which is a fundamental step in genetic analysis and a computationally resource intensive process that requires access to large protected reference panels. It is therefore performed using an outsourcing approach via "imputation servers," e.g., Michigan Imputation Server(Loh et al. 2016). A client (query site) has a sparsely genotyped panel (e.g., genotyping arrays). The client wants to impute the genotypes for the remaining set of "untyped" variants in the reference panel, e.g., TOPMed panel. Most popular imputation algorithms, e.g., (Browning et al. 2018; Van Leeuwen et al. 2015), use hidden Markov models (Li-Stephens model) for imputation. Imputation servers offer convenient services to perform imputation where the client submits

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the typed variant genotypes to the server; the server imputes the variants exclusive to the reference panel and sends the results back to the client(Sun et al. 2022).

Of specific concern to our study are the numerous privacy-related risks in this basic outsourcing protocol(Bonomi et al. 2020): The servers share the alleles and variant coordinates with the client without a tunable protection mechanism, which may pose unexplored risks. For example, the reference panels contain a very large number of rare untyped variants. The knowledge of the coordinates for these rare variants can be directly used in a beacon-type attack (Shringarpure and Bustamante 2015) to re-identify individuals, even without the knowledge of the alleles. This risk is currently not considered in many data analysis methods and data reporting policies (e.g., gnomAD, 1000 Genomes, AllofUS), and substantial changes may be required to how variant coordinates are reported and shared. Additionally, the client submits the typed variant genotypes in cleartext form to the imputation server, which may pose a risk to the confidentiality of these subjects, which complicates the compliance with regulations and may require further agreements(Rayner et al. 2024). These agreements only set a point of accountability, rather than protecting the data meaningfully. Since the privacy risks are multidimensional and complex(Hubaux et al. 2017; Wan et al. 2022; Erlich and Narayanan 2014; Erlich et al. 2014), e.g., usage for forensic purposes and concerns about discrimination(Niemiec and Howard 2016; Pulivarti 2023), it Is important to build the technological means to improve data protection and protect against unforeseen attack surfaces. As public awareness of genetic privacy is becoming more evident(Sherburn et al. 2023; Jamal et al. 2014), it is important to develop these techniques to be as transparent and easy to use as possible while considering the factors around other ethical concerns about discrimination(2010; Garrison 2013). While GDPR and HIPAA consider genetic data as identifying information, their interpretation is not clear about protection since genetic data is very hard to irreversibly de-identify(Cohen and Mello 2018) and consent may not be sufficient for the protection of downstream and secondary tasks(Greenbaum et al. 2011).

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The privacy risks related to genetic information stem from its high dimensionality and complex correlative structure(Lin et al. 2004), which to re-identification (Shabani and Marelli 2019; Greenbaum et al. 2011; Gymrek et al. 2013), and linking (Harmanci and Gerstein 2016, 2018) (Supplemental Methods). Even at summary statistics can lead to membership inference attacks, including Homer's t-statistics(Homer et al. 2008), Sankararaman's LRT(Sankararaman et al. 2009), and their extensions(Visscher and Hill 2009; Im et al. 2012), including beacon-type data release mechanisms(Fiume et al. 2019) (Shringarpure and Bustamante 2015), and through knowledge of haplotype information (Bu et al. 2021; Jacobs et al. 2009). Privacy risks can also impact relatives(Branum and Wolf 2015; Telenti et al. 2014; Ayday and Humbert 2017) (Ayoz et al. 2021; Thenen et al. 2018). Although privacy risks have been excessively studied, retrospective studies argued that some of these risks may be overestimated because these attacks must be applied in well-controlled scenarios and may lack of formal treatment of the false positive rates (Egeland et al. 2012) when the assumptions are not satisfied (Sampson and Zhao 2009)..

In the context of imputation outsourcing, the imputation server (which are sometimes referred to as the "processors"), and the data owners/controllers (query and reference data owners) must make sure to take precautions to minimize the risks and evaluate them effectively. This process is very challenging while individual-level datasets (from both the client and the reference panel owners) are shared with the imputation servers. For instance, even the knowledge of rare variant positions can be used to identify an individual's participation in the reference panels (e.g., TOPMed Imputation Server).

The most popular genetic data-sharing model is the restricted access model, which relies on users signing agreements for each new dataset. Differential privacy(Dwork and Roth 2013; Dwork 2014) (DP), and Homomorphic-Encryption-based approaches(Gentry 2009; Kim and Lauter 2015) are the most rigorous route to share genetic data securely. Cryptographic approaches were applied to the field of genotype imputation(Kim et al. 2021; Yang et al. 2022) and association studies (Froelicher et al. 2021; Cho et al. 2018; Blatt et al. 2020; Li et al. 2023b; Orlandi 2011; Zhao et al. 2019) database sequence queries (Shimizu

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et al. 2016), and read mapping(Nakagawa et al. 2022; Popic and Batzoglou 2017). These methods require careful reformulation of algorithms under cryptographic primitives (Dowlin et al. 2017) and require large storage, network, and maintenance costs.

Synthetic datasets can be useful for protecting privacy(Gonzales et al. 2023), where the entities generate a representative synthetic dataset using their locally sensitive datasets. This approach was used in genotype imputation(Yelmen et al. 2021; Cavinato et al. 2024), and for analysis of ancestral simulations(Wohns et al. 2022; Anderson-Trocmé et al. 2023). While promising, privacy is not explicitly introduced into the synthetic data generation models. For example, RESHAPE(Cavinato et al. 2024) uses a sampling procedure to build a "mosaicized" panel starting from the reference datasets under the assumption that the mosaic panel protects all reference panel participants, which can be shared publicly and used as an imputation panel. However, the allele frequencies and coordinates for the variants at the rare and ultra-rare categories (including singletons that leak immediate membership information) are preserved in the synthetic data. This may make the synthetic datasets vulnerable to well-known re-identification attacks.

Here, we present ProxyTyper, a framework for generating and using "proxy panels" to develop privacy-preserving genotype imputation protocols that can be used while imputation is being outsourced on an imputation server. Proxy panels are generated through a series of randomized protection mechanisms that anonymize the original sensitive panel's variants, coordinates, genetic maps, the genotypes. When compared with each other, the proxy panels and original panels are distinct in terms of statistical properties, such as allele frequencies and local haplotype frequencies. The proxy-generating mechanisms involve basic operations used in cryptographic schemes such as noise addition, random permutations and augmentations, haplotype resampling, and randomized partitioning.

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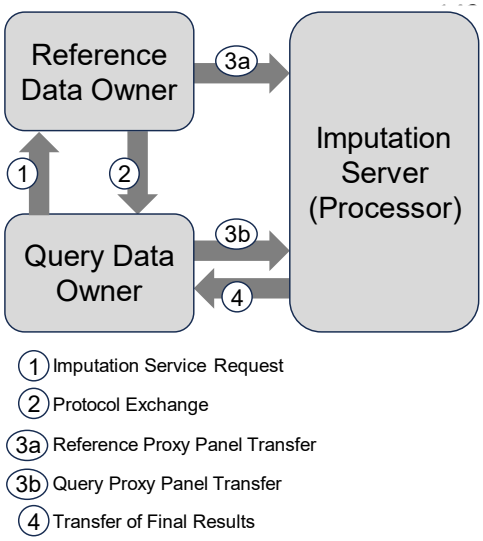

Figure 1: Illustration of the 3 entities involved in genotype imputation using proxy-panel-based outsourcing. Query and Reference panels are owners (or controllers) of the respective panels. Imputation server is designated as the processor of the panels. Each step of the protocol is denoted with the corresponding index. (1) Query site initiates the protocol by sending the typed variant loci to the reference site. (2) Reference site generates and sends proxy mechanism parameters. (3ab) Reference and query sites generate proxy panels and upload to the imputation server. (4) Imputation server sends the imputed results to the query site.

Our main goal in this study is to demonstrate that proxy panels can be used for outsourcing genotype imputation without any modifications to the existing imputation methods (e.g., Beagle(Browning et al. 2018, 2021)) with only a minor decrease in imputation accuracy. We also aim to highlight the flexibility of the protocols that can be built using proxy panels, which indicates that new mechanisms can improve imputation accuracy.

RESULTS

We first present the mechanisms used by ProxyTyper framework to build proxy panels. Next, we study the characteristics of proxy panels, re-identification attacks, and finally, we present the modified imputation outsourcing protocol and its accuracy. We focus on genotype imputation as the focus task and describe the different ways of protecting the typed and untyped variants and alleles.

Outsourcing of Genotype Imputation

Three entities are involved in a genotype imputation outsourcing task (Fig. 1). First is the query site (or the client), which initiates the imputation process by sending the typed variant loci to the reference site (Fig. 1). The Query site is the *data owner and controller* for the query panel, which is composed of the typed variants (e.g., from an array platform). The reference site is the data owner/controller for the reference panel with typed and untyped variants. The imputation server provides the computational infrastructure for performing the imputation process using the proxy panels generated from query and reference panels. The imputation server implicitly separates the query and reference sites. After the reference site receives

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the typed variant loci, it generates and sends the randomized proxy mechanism parameters for generating the typed variant proxy panel to the query site. These parameters serve as the protection "model" parameters (akin to symmetric keys) and generate the proxy panels for the typed variants. Untyped variants are only protected by the reference site.

Proxy Panel Building

We describe the protection mechanisms used by ProxyTyper for building mosaic panels at the reference and client sites, protecting the variant coordinates and genetic maps, and finally, the shared alleles.

Mosaic Haplotype Generation by Resampling Original Sensitive Panels

Resampling a panel disrupts the one-to-one correspondence of subjects in query and reference panels and reduces the risks around linking subjects to external sources. Given a panel of haplotypes, a mosaic haplotype panel is generated by the panel's hidden Markov model (HMM) sampling. In this model, each haplotype represents a state, and transitions are performed probabilistically using modifications of the Li-

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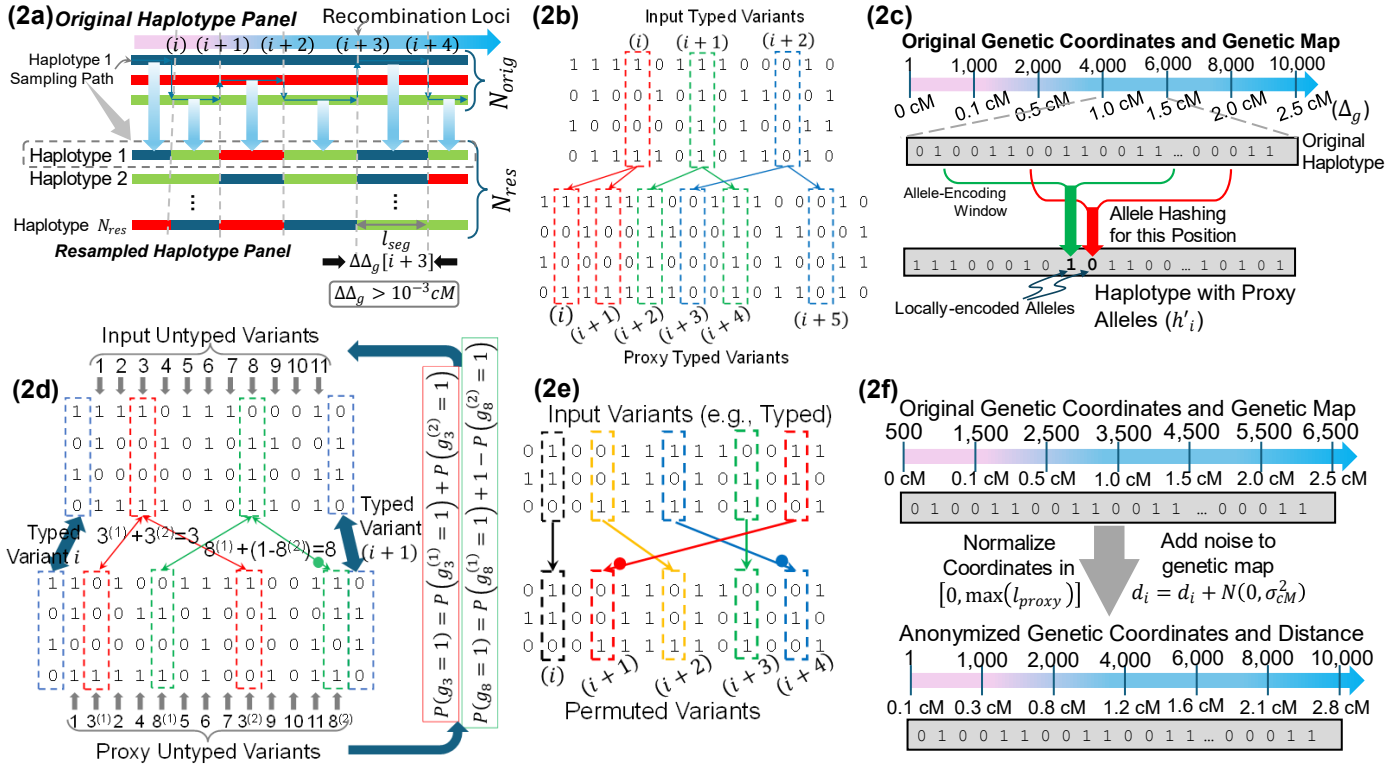

Figure 2. Illustration of proxy panel generation mechanisms. **(a)** Illustration of typed variant resampling. The original haplotypes are traced from left to right and recombinations (indicated by switches between haplotypes) are randomly generated using the genetic map (depicted on top). Recombinations are checked at the *recombination loci* shown with vertical dashed positions. The consecutive recombination loci have at least 0.001cM genetic distance between each other. ProxyTyper constrains the maximal segment length (l_{seg}) to minimize chances of copying of long haplotype segments. **(b)** Typed variant augmentation. Given 3 consecutive typed variants (shown in dashed rectangles), each typed variant is copied to a random position in the vicinity of itself. Each augmented proxy-typed variant is assigned the same genotypes of the original variant (by default). After augmentation, the number of typed variants increased from 3 to 6, adding 3 new augmented variants. **(c)** Illustration of allele encoding (hashing). Given two windows (depicted with red and green windows), the allele on the proxy haplotype is calculated as a combination of the alleles on the original haplotype. The two windows have independent encoding functions. The function takes the alleles and the genetic distance as parameters to calculate the hashed (encoded) alleles on the proxy haplotype (shown at the bottom). The proxy haplotype is calculated by encoding all windows. **(d)** Protection of untyped variants by haplotype partitioning. Two variants at positions 3 and 8 are partitioned to 4 new proxy-variants denoted by $3^{(1)}$, $3^{(2)}$, $8^{(1)}$, $8^{(2)}$. The probabilities of imputed alleles for these variants are recovered from proxy-variants. Denote the inversion of allele on $8^{(2)}$ (Methods) **(e)** Protection of untyped variants using (rolling) permutation between typed variant blocks. Untyped variant positions are randomly shuffled between two consecutive typed variants. **(f)** Protection of the variant coordinates and the genetic distance. The coordinates are normalized to a preselected value l_{proxy}, which obfuscates the typed and untyped variant positions. Genetic map is obfuscated using addition of Gaussian noise with predefined variants σ^2_{cM}

Stephens model(Li and Stephens 2003). At each variant, a new haplotype is sampled based on the recombination rates. The allele on the selected haplotype is emitted as the sampled haplotype's allele (Fig. 2a). Mosaic panel generation uses two tunable parameters for privacy-utility tradeoff: 1) Effective population size (N_e), which tunes the average number of recombinations in sampling. 2) The maximum segment length ($l_{seg}^{(max)}$), which limits the length of the longest continuous haplotype segment.

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The query and reference sites perform resampling independent of each other without exchanging any input. This is advantageous since sites can perform resampling offline and store the data for future use, which is especially useful for the reference site.

Typed Variant Augmentation

ProxyTyper augments typed variants at random positions in the vicinity of the original variant to randomize the number of typed variants used in the imputation (Fig. 2b), which helps to flexibly conceal the exact number of typed variants and their positions. Each round of augmentation probabilistically increases the number of typed variants while placing the new variants at a nearby random position. By default, we use three recursive augmentations with a 0.99 probability of augmentation at each locus.

Protection of Typed and Untyped Alleles

ProxyTyper uses hashing, partitioning, and permutation-based mechanisms to protect the variant alleles.

Hashing Typed Variant Alleles (Fig. 2c). When phased panels are available on reference and query sites, ProxyTyper can use a locality-sensitive hashing of the alleles to encode the typed variant alleles (not untyped variants). Given variant i on haplotype j, ProxyTyper replaces the original (sensitive) allele of the variant using a randomly weighted combination of the alleles of the typed variants in its vicinity, i.e., locality-based hashing (Methods). The hash is calculated in modulo-2 arithmetic, which results in a binary "proxy" allele, and they look like valid alleles, albeit with virtually no correlation to the original (sensitive) alleles. The proxy allele protects the original typed variant allele since it is not easy to invert the proxy allele back to the original allele without the knowledge of the hashing function.

In essence, hashing maps the local haplotypes and their local frequency spectrum to a distinct domain defined by the hashing parameters while protecting the identity of the original allele. For the imputation outsourcing task, the query and reference sites must use the same hashing mechanism to generate hashed

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panels so that they map their haplotypes concordantly. This property motivates our expectation that the hashed haplotypes should provide utility for imputation.

Partitioning and Permutation of Untyped Variants (Fig. 2d, 2e). ProxyTyper uses partitioning and permutations to protect the untyped variants. Given an untyped variant i that resides between typed variants a and b, the haplotypes that harbor the alternate allele of the untyped variant are randomly split into two sets. Next, ProxyTyper generates two proxy untyped variants at random positions i_1 and i_2 between a and b (Fig. 2d) and the alleles in the first haplotype set are assigned to i_1 and those in the second set of haplotypes are assigned to i_2. This procedure effectively partitions the alleles of the untyped variants into two new proxy untyped variants such that the allele frequency of the original untyped variant is the sum of the two proxy-variant allele frequencies (Methods). Finally, the partitioned untyped variants between the typed variants are randomly permuted and inverted (Fig. 2e). Although this procedure obfuscates the variant positions and alleles extensively, the imputed genotype probabilities can be mapped back to the original variants perfectly when the partitioning/permuting parameters are known (Methods). These parameters are stored in a file that reference site and are only used for reconstructing the untyped variants after imputation at the imputation server.

Obfuscation of Variant Positions and Genetic Maps (Fig. 2f). Homer(Homer et al. 2008) and LRT-type re-identification attacks(Sankararaman et al. 2009) attacks require matching the variant positions between the reference panel and the mixture panel so that attack statistics can be calculated to identify a target individual with known genotypes. To ensure that the proxy variant positions are not directly linkable to external panels, ProxyTyper obfuscates the variant positions by replacing uniformly distributing on an anonymous chromosome with length of, by default, 10^8 nucleotides (Fig. 2f, Methods, Supplemental Methods). Even though the variant positions are obfuscated, genetic maps can be aligned to public sources to match them and reveal exact locations. To protect the genetic maps that are shared among the sites, ProxyTyper perturbs the maps by noise addition with a user-specified deviation σ_{map}, measured in

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centiMorgans (cM). ProxyTyper generates anonymized genetic maps only for the typed variants because untyped variant genetic maps are interpolated by imputation software from typed variants. The coordinate anonymization for typed and untyped variants is basically a one-to-one mapping between original and anonymized coordinates. ProxyTyper stores these in extended BED files. The anonymized genetic maps for typed variants (in anonymized coordinates) are stored in Plink(Purcell et al. 2007) formatted genetic distance map files.

Genotype Imputation Outsourcing Protocols

We present two imputation outsourcing protocols (Fig. 3), which can be used depending on whether the query site has access to a well-phased panel. When the query panel is phased, both query and reference sites can use the resampling and hashing mechanisms to protect the typed variant alleles. Otherwise, the

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238 unphased query protocols rely on permutations and augmentations to protect typed variants (Fig. 3a,

239 Supplemental Methods). The query site initiates the imputation protocols by sending the typed variant

240 loci to the reference site. The reference site initiates all proxy panel generation model parameters (e.g.,

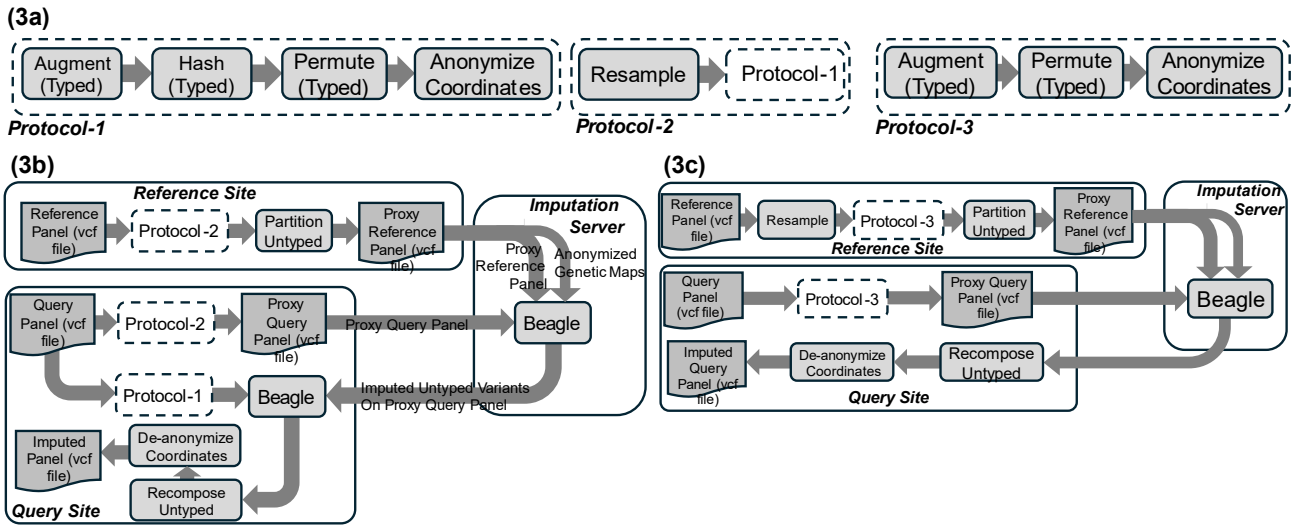

Figure 3. Illustration of Phased and unphased query protocols using the mechanisms as building blocks that map and mutate panels. (a) Protocol-1 is a sub-block to process typed variants in phased panel protocols. It starts by augmenting the typed variants, then hashing the alleles, followed by permuting the variants and finally anonymizing coordinates. Protocol-2 prepends resampling mechanism to protocol-1. Protocol-3 is similar to Protocol-1 but does not include a hashing step. Protocol-3 is a sub-block used in unphased query protocol. **(b) Phased query protocol:** Reference site processes its panel with Protocol-2. Then protects the untyped variants by "partition untyped" mechanism. Query also processes its panel with Protocol-2. Both sites send the proxy panels to Imputation Server, which runs Beagle and sends the results to query site. Note that imputation server also receives the anonymized genetic maps from reference site. After receiving the imputed panel from the server, query site first processes its panel with Protocol-1 (no resampling) and performs local re-imputation using this panel as the input to Beagle. After re-imputation, query re-composes untyped variants and de-anonymizes coordinates. Final result is a vcf file with imputed variant genotypes. **(c) Unphased query protocol:** Reference panel first resample and process its panel with Protocol-3. It finally partitions untyped variants. Query site processes its panel with Protocol-3. Both sites send the proxy panels to Imputation Server. After running Beagle, server returns results to query site, which recomposes untyped variants, and de-anonymizes coordinates.

241 hashing, permutations, augmentation coordinates, obfuscates typed variant coordinates) and sends them

242 to the query site. In phased protocol, sites can protect panels by resampling. Sites protect the typed

243 variants using hashing (for phased protocol, Fig. 3b), permutation, and augmentation mechanisms (for

244 both protocols, Fig. 3b, 3c). Next, the reference site generates the partitioning parameters for the untyped

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variants and partitions the untyped variants on the reference site. The coordinates are finally anonymized using the obfuscated coordinates on both sites. The proxy panels are sent to the imputation server, which runs Beagle(Browning et al. 2018, 2021), and sends the results back to the query site. When resampling is used in the phased protocol, a local re-imputation step is necessary at the query site since the resampled panels do not correspond to the original query panel (Fig. 3b). After imputation is completed, the reference site sends the untyped variant partitioning parameters to the query site. The query site maps the partitioned untyped variants to their original (sensitive) positions and decodes the final imputed genotype values. Finally, the coordinates are de-anonymized, and the query site obtains the imputed genotypes.

Genotype Imputation Accuracy

We test ProxyTyper's protocols using the panels from 1000 Genomes Project(The 1000 Genomes Project Consortium 2015), GTEx Consortium(Ardlie et al. 2015), and the Haplotype Refence Consortium (HRC)(McCarthy et al. 2016). In total, we test 6 protocols that can be used for outsourcing of genotype imputation tasks: Two phased query protocols with and without augmentation mechanism, two unphased query protocols with and without augmentation mechanism. We use imputation using the plaintext query and reference panels with Beagle(Browning et al. 2018, 2021) as the baseline imputation with no protections. We also include RESHAPE as an external method that uses a single sampling step to be applied only to the reference panel. RESHAPE uses only sampling as a way to protect the reference panel and make it publicly available. Therefore, RESHAPE does not provide protection for the query panel and the variant positions and genotypes. ProxyTyper's protocols are more flexible and task-specific for genotype imputation, and they aim to protect many more attack surfaces. We nevertheless include RESHAPE as a baseline method that provides a basic level of protection for the reference panel.

First, we test the accuracy of the protocols with respect to different allele frequencies. Next, we assess the population-specific variant imputation accuracies described below.

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Impact of Parameter Selections

We used the African genomes from the 1000 Genomes Project and estimated the impact of different parameters (Supplemental Methods, Supplemental Fig. S1) on imputation accuracy with the phased imputation protocol. We found that the weight selection parameters (the first-order hashing weight, $p_1^{(w)}$, and the locality constraint parameter ($N_e^{(w)}$) used to select the variants used in hashing) have the largest impact on accuracy (Methods, Supplemental Fig. S1a, S1b, S1c, S1d, S1e). We found that increasing vicinity, n_{vic}, size used for hashing increases accuracy before decreasing (Supplemental Fig. S1f). This indicates that integrating vicinity information provides not only protection but also slight accuracy improvement. The standard deviation for the genetic map anonymizing noise, σ_g, had observable impact on accuracy below 0.01cM (Supplemental Fig. S1g). Finally, the permutation window length for protecting untyped variants did not immediately affect imputation accuracy (Supplemental Fig. S1h).

Imputation Accuracy by Minor Allele Frequency

To assess the imputation accuracy of the protocols by minor allele frequency spectrum of variants, we used the Haplotype Reference Consortium panel, which consists of 27,165 subjects. We randomly divided the subjects across query and reference panels (13,582 and 13,583 subjects, respectively). To decrease the computational requirements, we focused on variants in Chromosome 20:10,000,000-25,000,000,

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284 which comprises 6,659 typed (Matching to Illumina Duo V3 platform) and 210,090 untyped variants. We

285 ran the 6 imputation protocols and estimated genotype level R2 statistic for all untyped variants. We

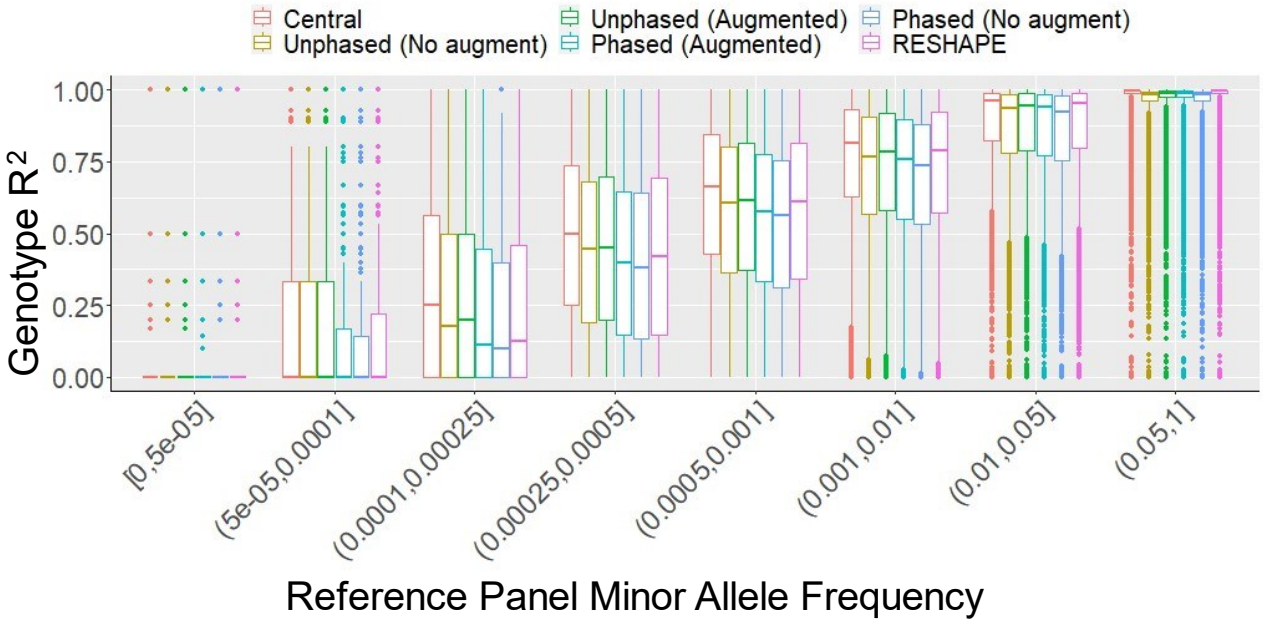

Figure 4. Imputation accuracy (genotype R^2) of imputation protocols using random splitting of Haplotype Reference Consortium (HRC) panel as query and reference. X-axis shows the minor allele frequency bins of the untyped variants. Each boxplot shows the genotype-level R2 distribution of imputed variant genotypes. Phased and unphased protocols were run with and without augmentation ('Augment' / 'No Augment'), as indicated in the legend. 'Central' protocol corresponds to running Beagle with no protection mechanisms.

286 divided the alternate allele frequency spectrum into 8 bins (Fig. 4, Supplemental Fig. S2, Supplemental

287 Table S1) to assess the accuracy of the methods.

288 Plaintext protocol performed the most accurate imputations across all frequency bins (0.580 vs 0.548).

289 Among proxy-panel-based protocols, the protocols that use augmentation imputed variants more

290 accurately than the protocols that do not use augmentation (Phased query with augmentation 0.518 vs

291 without augmentation 0.506). This suggests that augmentation provides protection and improves

292 imputation accuracy by spreading the variant signal. Among the protocols that use typed variant

293 augmentation, the unphased query protocol is slightly more accurate than the phased query protocol

294 across all MAF bins (0.548 vs 0.518). We also observed that the unphased protocol with augmentation

295 imputed slightly more accurately than RESHAPE (0.535 vs 0.548).

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The methods performed similarly for the common variants (MAF>5%). RESHAPE and the augmented phased and unphased-query protocols differ by less than 1% in genotype R2 (plaintext R2=0.982, RESHAPE R2=0.980 vs unphased/phased augmented 0.972/0.972) for the common variants. For the uncommon variants (0.05>MAF>0.01), the general trend is also similar (plaintext R2=0.892, RESHAPE R2=0.874, unphased augmented=0.870, phased augmented=0.860). For the rare (1%>MAF>0.1%) and ultra rare

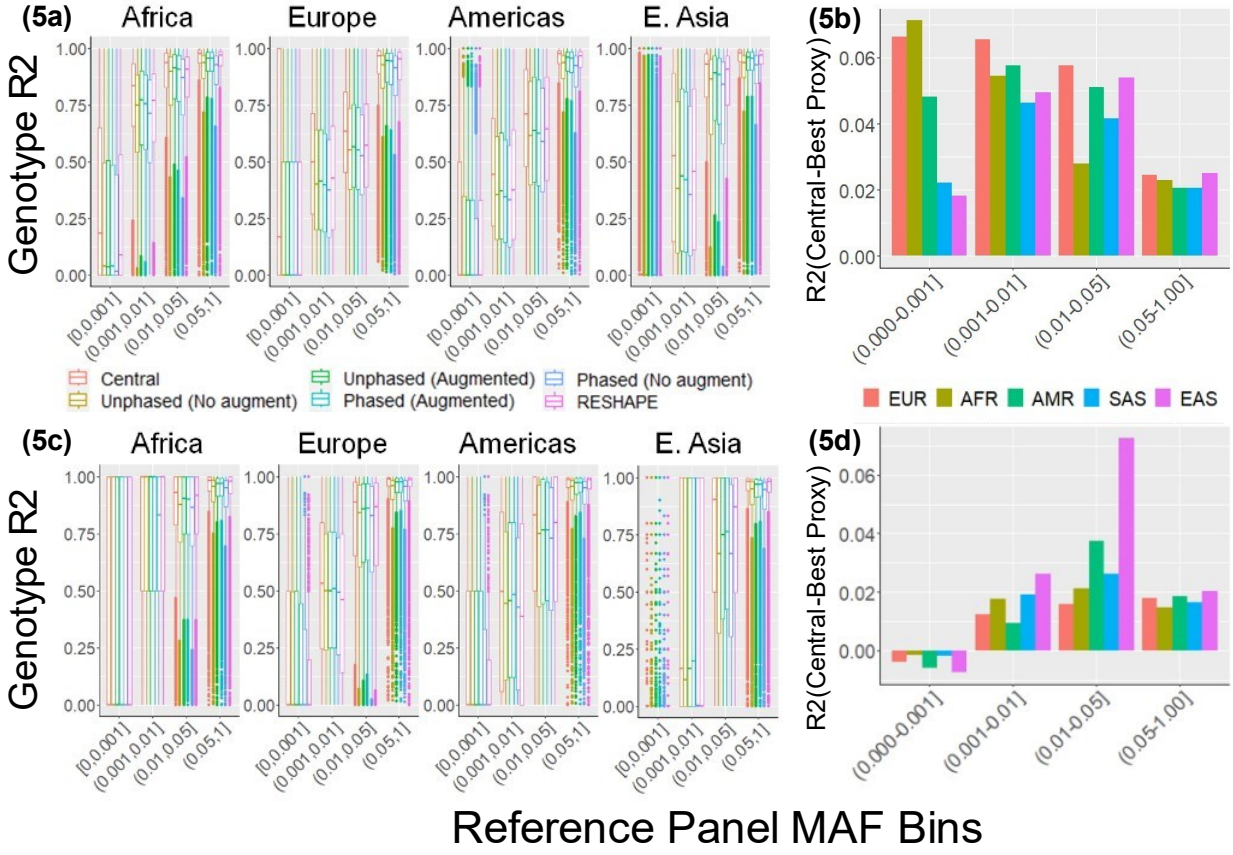

Figure 5. Population specific variant imputation accuracy. (a) Imputation Accuracy for the variants on 4 super-populations using HRC as the reference and 1000 Genomes as the query panel. Each box plot shows the genotype R2 distribution for the variants most frequently observed on the respective population. **(b)** The mean R2 difference between plaintext imputation and the unphased protocol at distinct allele frequency bins with HRC reference and 1000 Genomes as the query panel. Each bar corresponds to a population specific variant set. **(c)** Imputation accuracy for population-specific variants using 1000 Genomes as the reference panel and GTEx as the query panel. **(d)** Mean genotype R2 difference between plaintext protocol and unphased protocol with 1000 Genomes as reference and GTEx panel as query.

(0.1%>MAF) variants, we observed that unphased query protocol with typed variant augmentation provides slightly higher accuracy than other protocols (ultra rare variants plaintext R2=0.395, RESHAPE

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R2=0.333, unphased augmented=0.358). This may indicate that augmentation improves the rare variant imputation accuracy in proxy panel-based protocols. These results also indicate that the unphased protocol with augmentation step can be a good choice as a low complexity (single step protocol with no local imputation, does not explicitly require query panel to be phased) protocol.

Impact of Typed Variant Sets

To test the impact of the typed variant set that is dependent on the array platform (Infinium Duo V3), we used the typed variants on two other Infinium array platforms: 1) Illumina Infinium Global Diversity Array-8 v1.0 with 1.8 million markers and 2) Infinium Global Screening Array-24 v3.0 with approximately 650 thousand markers. We generated the query and reference panels by equal random splitting of the HRC panel as in the previous experiment. We observed that the comparative accuracy of the protocols is similar for the Duo V3 platform (Supplemental Fig. S3a, S3b). We observed higher imputation accuracy with Diversity Array, which can be explained by a denser coverage of typed variants. In both cases, the unphased query protocol imputed rare and ultra-rare variants more accurately than other protocols.

Population-specific Variant Genotype Imputation Accuracy

Next, we focused on assessing the accuracy of the population-specific imputation of the protocols. For this case, we first used the HRC panel as the reference panel and used all 1000 Genomes subjects as the query panel: We used 2,495 subjects from The 1000 Genomes Project from within the HRC panel as the query panel. The remaining 24,670 subjects were used as the reference site's panel. We used 26,543 variants on Chromosome 20 that overlap with the Illumina Duo array, which were designated as the typed variants. We stratified the remaining 856,199 untyped variants by assigning each variant to one of the five super-populations (AFR, EUR, AMR, EAS, SAS) based on their alternate allele frequency in each population (Fig 5a).

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The plaintext protocol provides the highest imputation accuracy among all methods (plaintext R2=0.399, RESHAPE R2=0.362, and unphased augmented protocol R2=0.358). For all populations, we observed that the protocols that include a typed variant augmentation imputed more accurately than the protocols without the augmentation step, which holds over all frequency bins.

Among the 5 populations, variants most observed in African subjects were imputed most accurately. This can be attributed to the high diversity of the African genomes and the more information contained in the African haplotypes, which makes it more accurate to impute variants. We next evaluated the accuracy difference between the plaintext protocol and the best-performing proxy panel-based protocol (unphased query with typed variant augmentation) (Fig. 5b, Supplemental Tables S2-6). For ultra-rare variants (MAF below 0.1%), European and African (EUR, AFR) variants are imputed with 6% lower accuracy than the plaintext protocol. This difference decreases for both populations quickly as the MAF of the variants increases. For America and Asia (AMR, EAS, SAS) populations, the rare variants are imputed with 2% lower accuracy using proxy panels. This difference increases for rare and uncommon categories for these populations (e.g., EAS variants are imputed with 5.3% higher accuracy by plaintext protocol). The imputation accuracy difference for common variants in all populations is fairly uniform at around 2-2.5% (Fig 5b). These results indicate a complex interplay between proxy mechanisms and imputation accuracy in a population-specific manner.

We next used 2,504 subjects in The 1000 Genomes Project as the reference panel and used the 635 subjects in the GTEx project as the query panel, and ran the 6 imputation protocols (Fig. 5c). Over most of the MAF ranges, we observed that the African variants were again imputed with highest accuracy and East Asian-specific variants were imputed with least accuracy, regardless of protocol selection (Unphased protocols R2 highest 0.381 in AFR variants and 0.102 in EAS variants). When comparing the plaintext imputation with the best ProxyType'd protocol, we observed population-specific differences (Fig. 5d, Supplemental Tables S7-11). We observed that the East Asian variants were imputed with 7.2% lower

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accuracy for the uncommon variant category (5%>MAF>1%) than the plaintext imputation protocol. The accuracy difference for the rare variant category is more concordant than the uncommon variants, ranging between 1-3% difference among all populations.

The population-dependent accuracy of ProxyType'd protocols is expected to a certain extent because proxy-generating mechanisms mutate and map the haplotypes to a new frequency spectrum. Thus, it is likely that some of the less represented but more informative haplotypes (e.g., Asian and American-specific haplotypes) will be over- or under-represented in the proxy panels. Depending on the frequency of variants and the haplotypes, this translates to different imputation accuracies in a population-specific manner.

Time/Memory Requirements

We finally evaluated the time and memory requirements of the ProxyTyper-based protocols. For this, we used a randomly partitioned HRC panel as the reference site panel (13,582 subjects) and the query site panel (13,583 subjects). We focused on Chromosome 20:10,000,000-15,000,000, which contains 2,021 typed variants and 68,443 untyped variants. We ran the phased and unphased query with typed variant augmentation protocols with default configurations using 40 threads.

The longest running portion of both protocols is running Beagle (1,216 seconds for unphased and 761 seconds for phased protocol) (Fig. 6). Most proxy mechanisms take less than 10 seconds to run, except for untyped variant re-composition (or un-partitioning), which takes 58 seconds. In terms of memory usage, the usage by the mechanisms was below 10 gigabytes (Supplemental Fig. S4). In comparison, RESHAPE's sampling finished in 116 seconds. We foresee that these steps can be further tuned to run faster by streamlining multiple steps into one command to decrease the I/O overhead of reading/writing large

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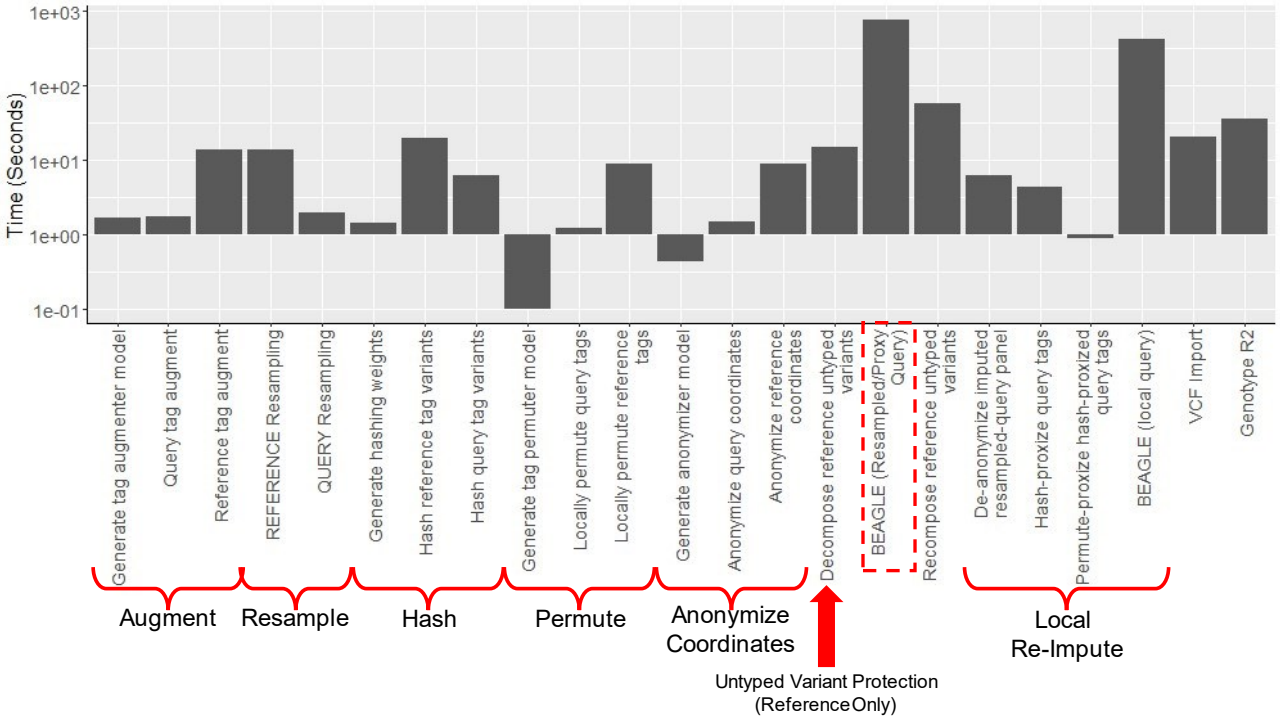

Figure 6. Time requirement for Phased Proxy Protocol. The bars denote the number of seconds spent at each step (including reference and query sites) of the phased protocol. The steps are grouped below to simplify protocol execution. The dashed rectangle shows Beagle running step at the imputation server, which takes the longest time. The local re-imputation steps consisting of de-anonymizing, hashing, permutation, and local Beagle run are shown in one step. Last two steps are for VCF importing and accuracy estimation.

panels. However, we believe that the current partitioning of the codebase enables more readable protocol scripts and provides a good tradeoff between ease of use and time/memory usage.

Privacy Protection Comparisons among Protocols

We first compared the original panels and the proxy panels with respect to the allele, linkage, and local haplotype frequencies when hashing is used. To ensure that the analysis was not affected by population-specific factors, we used subjects from the African population in The 1000 Genomes Project (Supplemental Methods).

We found that the allele and haplotype frequencies exhibit very little resemblance to the original and local haplotype frequencies (Supplemental Fig. S5a, S5b, S5c). Next, we calculated the genotype correlations (Pearson R2 between alleles of variants) to quantify the linkage information between typed variants. Compared with the original panel, the linkage patterns did not show immediate relationships

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(Supplemental Fig. S5d. S5e). Next, we compared the local haplotype frequencies by calculating the frequency of unique *k*-mers at each position and comparing these between the original and proxy panels. We observed that hashing expands the local haplotypes in the proxy panels and increases the number of unique local haplotypes (Supplemental Fig. S5f, S5g). We also observed that when the proxy panels are compared, there is a concordance in the number of unique local haplotypes (Supplemental Fig. S5h, S5i).

We finally asked if the proxy panels could be used to predict ancestral information from subjects. We found that, without resampling, an adversary can see a separation between major populations using principal component analysis (PCA) (Supplemental Fig. S5j). However, after resampling, PCA-based dimensionality reduction does not provide much information for assessing the populations. Resampling should be used to protect the ancestral information from the proxy panels.

Frequency Analysis on Local Haplotypes

We foresee that an adversarial approach to process proxy panels would involve aiming to decode the alleles of the hashed panels. For this, an adversary can utilize frequency analysis to decode the typed variant alleles of a proxy panel (Supplemental Methods) by striving to match the local haplotype frequencies (i.e., *k*-mer frequencies) of a public panel (e.g., 1000 Genomes Panel) and the proxy panel, under the assumption that proxy haplotype frequencies can leak information about the underlying haplotypes. When combined with the constraint that consecutive *k*-mers match each other with small number of errors, an adversary can try to decode a proxy panel. To test the possibility of re-identifying individuals from proxy panels using a frequency analysis, we implemented a Viterbi-decoder that uses a hidden Markov model for identifying the most likely haplotype, given a proxy panel by comparing it to a public panel (Supplemental Methods). We observed that this complex decoding attack provides minimal improvement over the assignment of maximum frequency alleles (Supplemental Fig. S6a). Further, the test statistic was uncalibrated when the decoded alleles are used for re-identification with a likelihood-

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ratio-test(Sankararaman et al. 2009). We also did not observe a strong separation between the positive and the hold-out subjects (Supplemental Fig. S6b, S6c). For this attack to work in practice, the adversary must also match the coordinates between the public reference panel and the proxy panel. While we assumed coordinate information is roughly available to the attacker, it is not clear how mapping can be performed in practice.

Comparison with Sampling-Only Protection of RESHAPE

When comparing RESHAPE and ProxyTyper's approaches with privacy protection, it is important to consider that these tools assume different threat models: RESHAPE aims to build a semi-synthetic reference panel that could be shared publicly under the assumption that sampling haplotypes up to a certain number of generations provides sufficient privacy. RESHAPE may occasionally generate long segments of haplotypes that can be searched for and linked to other databases. Unlike ProxyTyper, RESHAPE does not protect variant coordinates of typed/untyped variants and the alleles of ultra-rare untyped variants in the reference panels, which leaves a large attack surface open. Furthermore, RESHAPE does not provide a way to protect the query panel in outsourcing scenarios. We tested RESHAPE-protected panels with respect to the privacy tuning parameter and show that the protected panels may inadvertently leak information through complex attacks and simple attacks that can be performed with a Beagle run followed by processing results with an awk script (Supplemental Methods, Supplemental Fig. S7). Importantly, we observed that the privacy parameter we used (number of generations equals 128) in the above accuracy comparisons may not be sufficient to guarantee the expected level of privacy protection for the reference panels. (Supplemental Fig. S7).

DISCUSSION

We presented the mechanisms for generating proxy panels as a framework to protect large-scale haplotype-level datasets and demonstrated their utility for outsourcing genotype imputation. Proxy panels

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combine mosaic haplotype generation, noise addition, locality-sensitive random hashing, and random permutations to protect against well-known linking and re-identification of attacks. Of note, releasing rare untyped variant positions alone (even without genotype information) can lead to re-identification using Bustamante's Beacon Attack, which is currently not considered in the literature. For high-throughput tasks such as genotype imputation, it becomes a major challenge to protect datasets against these risks. The frequencies and alternate alleles of variants, variant coordinates, and genetic maps are protected with different mechanisms through proxy panel generation. These mechanisms add preemptive barriers for deterring the honest-but-curious entities (e.g., white hat hackers, cryptanalysts, and curious researchers) and help defer accidental or intentional re-identifications through linking databases (searching an individual in a forensic database). We therefore believe proxy panels represent an alternative route to anonymized data generation and be classified as such in the context of personal data sharing regulations, e.g., GDPR and HIPAA. Another advantage of proxy panels is that they are optimized for a specific task (e.g., imputation) and unsuitable for direct secondary analyses. We are optimistic that new proxy panel generation mechanisms can be developed to optimize the panels for task-specific scenarios that provide higher utility with low privacy concerns. One mechanism we did not explore here is partitioning the typed variant alleles, similar to partitioning untyped variants. This mechanism can further protect against haplotype decoding by increasing the local haplotype distribution entropy beyond the mechanisms we used in this study. We foresee that new mechanisms can be designed for other tasks, e.g., kinship estimation(Wang et al. 2022b), and collaborative GWAS(Li et al. 2023a), as well. These mechanisms can be combined with encryption-based techniques to decrease privacy risks while increasing efficiency.

Our results demonstrate that proxy panels can be directly used in existing imputation methods without modifying the underlying algorithms. This is advantageous compared to, for example, homomorphic encryption-based methods, which require reformulation and careful implementation of the underlying

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imputation methods. In comparison, proxy panel-based methods require new protocol designs without changes in underlying algorithms.

Our benchmarks also indicate that the accuracy of proxy-panel-based protocols is very similar to the cleartext protocols. However, there is still a need to assess ultra-rare variant imputation accuracy since these variant categories are challenging to impute using the conventional imputation outsourcing scenario we address here. New and highly promising imputation approaches were developed utilizing customized imputation pipelines(Barton et al. 2021). These methods exhibit high imputation accuracy for ultra-ultra-rare variants (MAF<10^{-5}). Future research endeavors can develop new proxy-panel-based protocols to implement these customized protocols using ProxyTyper's mechanisms. Overall, we believe new imputation protocol designs and post-processing tools can help increase the accuracy and efficiency of proxy protocols.

Proxy panels should not be made publicly available since their protection relies on exchanging secret proxy generation parameters between the collaborating entities (akin to symmetric encryption keys). When an adversary gains access to these parameters (e.g., hashing weights), and a proxy panel, they can use the proposed decryption strategy via haplotype-frequency analysis to decode the alleles in the proxy panel. In particular, recent studies showed that similar locality-sensitive hashing approaches (e.g., Google FLoC and Topics) may leak information when the adversary has access to the parameters of the model(Turati et al. 2023). We foresee that proxy panels can enable more collaborative research (rather than public data sharing) since they can be classified as anonymized datasets and exchanged for analysis via non-colluding 3rd parties such as AnVIL and Michigan Imputation Server(Loh et al. 2016). Implementing the protocols that use proxy panels can be seamlessly accomplished because underlying algorithms are not modified, i.e., the analysis server does not have to change its infrastructure to process proxy panel data. It is, however, necessary to establish the infrastructure at each data owner/controller to perform automatic proxy panel generation, i.e., every time imputation is initiated, a reference panel must be processed to

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generate the proxy panels. The successful adoption of proxy panel usage in genotype imputation tasks is implementing an easy-to-use infrastructure. While we do not anticipate that established servers may be reluctant to adopt proxy panel-based imputation protocols, we believe that localized projects and regional local collaborations can use the proxy-based protocols. To manage the computational load of re-generating proxy panels from large reference datasets, it may be useful to generate multiple proxy panels periodically (weekly or monthly), re-cycle these in this period, and then regenerate the proxy panels. This relieves the burden of resampling and variant partitioning from reference sites. This will be an important factor for developing efficient proxy-based analysis infrastructure.

The adoption also relies heavily on continuous analysis of the attack scenarios, the threat actors, and the practicality of the attacks. Currently, the re-identification attacks of Homer and Sankararaman, which are arguably the most well-known attacks in the literature, are popularized because they can be easily executed by honest-but-curious entities. However, these attacks require precise matching between the variants in the panels and between the ancestral compositions of the reference panel, the target individual, and the "pool" of individuals being tested for the participation of the target individual. The ancestral matching is necessary to ensure that the reference panel appropriately controls the test statistic against population-specific biases. Thus, proxy panels can be designed to exploit this shortcoming of the re-identification attacks: Proxy panels can be generated from randomized fractions of multi-ancestral samples that the attacker cannot immediately decompose. These multi-ancestral datasets can be generated once by simulations e.g., SLiM(Haller and Messer 2019), or publicly available panels can be used (The 1000 Genomes Project). The tunability of proxy panel generation can be used to design new proxy-panel generation techniques to thwart future re-identification risks with decoding attacks. Furthermore, ProxyTyper currently protects untyped variants using permutation-based anonymization. When combined with augmentation, permutation, and hashing, the randomization of the ancestral background of the panel would provide strong resilience against potential future re-identification attacks. The accuracy of the

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attacks is contingent upon the adversary correctly de-anonymizing the variant coordinates and un-permuting the variants, i.e., in addition to the ancestral composition matching, it is necessary to match or "align" the anonymized coordinates to the reference panel. Since the genetic noise addition (i.e., noise with standard deviation σ_g) is performed randomly, the coordinates will be randomized at the loci with low recombination rates. However, this mechanism cannot protect the chromosomes as a whole since the genetic length of the anonymized chromosome is sufficient to match it to the original chromosome. It is, therefore, important to make sure that multiple mechanisms are combined to utilize a multi-layered deterrence approach and that the proxy panels are not publicly shared.

Regarding the untyped variants, the partitioning provides strong protection using a "hiding-in-the-crowd" approach. Partitioning may, however, introduce a large computational burden because each partitioning step doubles the number of untyped variants. We foresee that it is necessary to develop new mechanisms that more efficiently protect untyped variants. It may be useful to exploit the redundancy of the untyped variants that share the same haplotype, design a hashing approach, and decrease the redundancies. This way, the mechanisms can also manage the number of untyped variants used in proxy panels. Numerous research directions can use proxy panels with minimal modifications to the underlying imputation methods.

METHODS

We describe proxy panel generation, imputation protocol, parameter selections, and decoding attacks.

Adversarial Entities

We focus on the "honest-but-curious" adversarial model(Paverd et al.) (most prevalent in genetic research), where users do not deviate from general protocols of analysis. In collaborative genetic research, the honest-but-curious adversarial model is more prevalent and relevant than malicious entities actively trying to decode proxy panels to execute attacks. Researchers are generally assumed to be well-intentioned and follow prescribed protocols, but they might still be curious about the data they have

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access to. The data security protocols against malicious entities are computationally challenging to operate and maintain.

Proxy Panel Generation

Mosaic Variant Panel Generation by Resampling.

ProxyTyper uses a re-sampling approach to generate a mosaic panel that removes the 1-to-1 correspondence of the original haplotypes to the proxy haplotype panel to provide protection against linking attacks. Given the original haplotype panel that contains N_{orig} haplotypes over n_{var} variants (denoted by $H^{(orig)}$ matrix with N_{orig} rows and n_{var} columns), and a genetic map defined on the variant coordinates (i.e., Δ_g vector of length n_{var}) as input, resampling generates N_{res} haplotypes ($H^{(res)}$ matrix with N_{res} rows and n_{var} columns) using a Li-Stephens hidden Markov model. The sampling starts from the leftmost variant (sorted by coordinates) by selecting a random haplotype (i.e., state). At variant i, a new state is selected such that the recombination probability determines the transition to a new state:

$$P_{recomb}(i) = \frac{1 - \exp\left(-4 \times \bar{N}_e \times \left(\Delta_g[i] - \Delta_g[i-1]\right)\right)}{N_{orig}}$$

where $\bar{N}_e$ is the normalized effective population size parameter that tunes the number of recombinations in the resampled panel. The probability of remaining on the same haplotype is calculated as:

$$P_{norec}(i) = 1 - \left(N_{orig} - 1\right) \times P_{recomb}(i)$$

ProxyTyper samples the probabilities over the haplotypes and selects one haplotype as the newly sampled haplotype. The allele on the sampled haplotype is stored as the allele for the resampled haplotype at variant i, i.e., $H^{(res)}_{j,i} = H^{(orig)}_{j_{rand}(i),i}$ where $j_{rand}(i) < N_{orig}$ is the sampled haplotype index. After the sampling, the state is updated at variant i and sampling moves to the next variant. Each haplotype is sampled independently of all other haplotypes. ProxyTyper does not introduce errors by default in the resampling step but has a parameter to introduce random errors in the resampled panels.

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Constraints on Maximum Segment Length. For most variant positions, the non-recombination probability is larger than the recombination probabilities. This may result in long consecutive allelic segments getting copied to the resampled panels. To get around this, ProxyTyper uses a parameter to constrain the length of haplotype segments copied from each haplotype. To ensure that long segments are not copied, ProxyTyper keeps track of the consecutive segment length sampled from the current haplotype. If the length reaches a user-tunable parameter ($l_{max}^{(res)}$), the probability of all haplotypes is set uniformly, i.e.,

$$P_{recomb}(i) = P_{norec}(i) = \frac{1}{N_{orig}}.$$

After the probabilities are reset, a new haplotype is sampled uniformly (Note that $\frac{1}{N_{orig}}$ is uniformly set to sampling each of the N_{orig} haplotypes) Sampling is performed until a different haplotype is chosen similar to a rejection sampling.

Selection of the Recombination Loci. Note that the resampling is performed independently at the reference and query sites. However, when resampling is performed at the reference sites, the number of variants may be prohibitively large, which may impose a large computational burden. We observed that the positions where ProxyTyper evaluates a haplotype switch (i.e.., recombination) can be constrained using a minimum genetic distance cutoff without much impact on the quality of the resampled panels. By default, ProxyTyper selects these “recombination loci” (Fig. 2a) by starting from the first variant on the panel and finding the next variant that is at least $\Delta\Delta_g$ (set to 0.001 cM by default) away from the current recombination locus. While resampling is being performed, ProxyTyper only evaluates recombinations on the recombination loci. Even using a small distance cutoff, we observe a large computational improvement in sampling. Of note, Beagle(Browning et al. 2018) uses a similar genetic distance cutoff while running its imputation HMM, which partially justifies this approach.

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Typed Variant Augmentation

Typed variant augmentation aims to randomize the number of typed variants. Rather than introducing random variants, ProxyTyper re-uses variants and augments them within the vicinity of the original variant.

Given the typed variant i, ProxyTyper selects a random position (in genomic coordinates) between the typed variant at $\left(i - n_{vic}^{(aug)}\right)$ and typed variant at $\left(i + n_{vic}^{(aug)}\right)$ and augments a new proxy typed variant. The genotype values of the augmented typed variant are (by default) copied from the original typed variant's genotype vector. Users can also choose to set the genotypes to 0. To randomize the augmented typed variant set, the augmentation is performed with a certain probability tuned by a user-defined value $p^{(aug)} \in [0,1]$, which is, by default, set to 0.99. At each typed variant, a randomly generated value in $[0, 1]$ is compared to $p^{(aug)}$ and augmentation is performed if the random value is smaller than $p^{(aug)}$. Augmentation can also be performed recursively to increase the number of typed variants in the panels arbitrarily. Augmentation does not modify the panels' untyped variants (if there are any).

Modulo-2 Hashing of Typed Variant Alleles

At the typed variant i of haplotype j, ProxyTyper calculates a hash of the alleles for the surrounding typed variants, $H_{[i-n_{vic},i+n_{vic}],j}$ as the proxy-allele of the variant. To increase hash complexity (non-linearity), the hash includes 2nd and 3rd order interaction terms and a bias term:

$$\widetilde{H}_{i,j} = \left(\begin{array}{c} \sum_{a \in [i-n_{vic},i+n_{vic}]} \left(\phi_{i,a}^{(1)} + H_{a,j} \cdot w_{i,a}^{(1)}\right) + \\ \sum_{a,b \in [i-n_{vic},i+n_{vic}]} \left(\phi_{i,a,b}^{(2)} + H_{a,j} \cdot H_{b,j} \cdot w_{i,a,b}^{(2)}\right) + \\ \sum_{a,b,c \in [i-n_{vic},i+n_{vic}]} \left(\phi_{i,a,b,c}^{(3)} + H_{a,j} \cdot H_{b,j} \cdot H_{c,j} \cdot w_{i,a,b,c}^{(3)}\right) \end{array} \right) \bmod 2.$$

The 3 rows correspond to 1st, 2nd, and 3rd degree interactions of variants at a, b, and c for variants in $(2n_{vic} + 1)$ vicinity of variant i. $w_{i,a}^{(1)}$, $w_{i,a,b}^{(2)}$, and $w_{i,a,b,c}^{(3)}$ are the binary weights (specific to variant i) that

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add the corresponding component into hash. $\phi_{i,a}^{(1)}$, $\phi_{i,a,b}^{(2)}$, and $\phi_{i,a,b,c}^{(3)}$ are the binary bias offsets that effectively flips the contribution of each component's effect on the final hash. The overall hash is calculated by summing all components using modulo-2 arithmetic so that the final proxy-allele, $\widetilde{H}_{i,j}$, is a binary value.

Recombination-dependent Selection of Vicinity Variants. For variant i, the bias terms are selected randomly for each component using Bernoulli distribution, i.e., $\phi_{i,a}^{(1)} \sim B(0.5, 0.5)$. Weight parameters tune the contribution of variants in the vicinity of the variant i, i.e., $[i - n_{vic}, i + n_{vic}]$, to the proxy allele of i. In certain cases, the vicinity may expand a large genetic distance. To ensure that the hashes are calculated in uniform genetic vicinities, the selection of weights is performed using a genetic distance-dependent manner:

$$P(i, a\ interaction) = \left(\exp\left(-4 \cdot N_e^{(w)} \cdot \left(\Delta_g[i] - \Delta_g[a]\right)\right)\right)$$

where $N_e^{(w)}$ tunes the strength of interaction between pairs of variants dependent on their genetic distance, i.e., $\left(\Delta_g[i] - \Delta_g[a]\right)$. Low $N_e^{(w)}$ enables a more relaxed selection of weights and more involving variants i and a that are far from each other. This probability is used for pre-selecting the variants used for hashing the allele for the variant i. In general, setting $N_e^{(w)}$ too high (above 1000) corresponds to focusing on the immediate vicinity of the variant i, i.e., using the variant itself for hashing.

Random Selection of Weights. For each weight in the hash calculation, i.e., $w_{i,a}^{(1)}$, $w_{i,a,b}^{(2)}$, $w_{i,a,b,c}^{(3)}$, we use a Bernoulli random variable:

$$w_{i,a}^{(1)} \sim B\left(p_1^{(w)}, 1 - p_1^{(w)}\right),$$

$$w_{i,a,b}^{(2)} \sim B\left(p_2^{(w)}, 1 - p_2^{(w)}\right),$$

$$w_{i,a,b,c}^{(3)} \sim B\left(p_3^{(w)}, 1 - p_3^{(w)}\right),$$

where $p_1^{(w)}$, $p_2^{(w)}$, $p_3^{(w)}$ denote weight probability for 1st, 2nd, and 3rd order weights, which are input arguments.

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Overall, the variant selection and weight selection steps are performed independently for each variant and are parallelized. The final weights of the model include variant-specific weights and biases stored in a binary file. This file is the hashing "key" and should not be shared with entities other than the collaborating sites. ProxyTyper saves a summary file containing the number of hashing parameters at each vicinity for each typed variant.

Typed and Untyped Variant Permutation on Sliding Windows

Given the typed (or proxy untyped) variants $[k, l]$, we permute the untyped variants' indices $[k, l]$ (Fig. 2e):

$$\forall j \in [1, N_{res}], \qquad \widetilde{H}^{(typed)}_{[k,l],j} = \left(H^{(typed)}_{perm([k,l]),j} + \phi^{(typed)}_{[k,l]}\right) \bmod 2$$

where $\widetilde{H}^{(typed)}_{[k,l],j}$ denotes the shuffled allele vector for typed variants for variants at indices $[k, l]$ on haplotype j, and $perm([k, l])$ denotes a random permutation of indices $k, k+1, \dots, l-1, l$. $\phi^{(typed)}_{[k,l]}$ denotes a random binary bias that randomly flips the alternate alleles of variants in $[k, l]$. Each entry in the bias vector is selected with a Bernoulli variable, i.e., $B(0.5{,}0{,}5)$. To systematically protect the typed variants, ProxyTyper performs permutations recursively on sliding windows of length $l^{(typed)}_{perm}$. Smaller $l^{(typed)}_{perm}$ better preserves the ordering of the variants. The permutation and bias addition does not require the panel to be phased.

Generation of Proxy Untyped Variants by Allele Partitioning

Although permutation obfuscates variant positions, it precisely preserves the allele frequencies of the untyped variants. ProxyTyper generates proxy untyped variants by a mechanism called "Allele Partitioning". Given an untyped variant, the basic idea of partitioning is randomly splitting the alleles among two new proxy variants such that the union of the proxy variants exactly recapitulates the alleles in the original variant (Fig. 2d):

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$$H_{k,\cdot}^{(untyped)} = \left(H_{k1,\cdot}^{(untyped)} + H_{k2,\cdot}^{(untyped)}\right)$$

where we treat the alleles of k^{th} untyped variant as a binary vector across haplotypes. This vector is equal to the summation of two proxy untyped variant allele vectors, $H_{k1,\cdot}^{(untyped)}$ and $H_{k2,\cdot}^{(untyped)}$, which denote the (binary) allele vectors of the proxy untyped variants $k1$ and $k2$. The above equation refers to partitioning the haplotypes that harbor alternative alleles for untyped variant k. For each original untyped variant in the reference panel, ProxyTyper generates two untyped proxy variants by randomly partitioning the haplotypes that harbor alternate allele for the untyped variant. The original untyped variant is no longer included in the proxy untyped reference panel, and it has been replaced with two proxy untyped variants, randomly placed between the nearest tag variants on the left and right. After partitioning, the proxy untyped alleles always have smaller allele frequencies than the original variant.

The motivation for using this partitioning as a mechanism is that it obfuscates the alleles of the original untyped variant k by partitioning its alleles into two proxy variants. Although the original variant is not in the reference panel, the proxy variants preserve the information needed to reconstruct the imputed allelic probabilities of the original variant. For example, given k^{th} untyped variant, the imputed probability of allele 1 is equal to the summation of the HMM probabilities of all haplotypes that harbor allele 1 on this variant:

$$p^{(imp)}\left(H_k^{(untyped)} = 1 \mid H^{(typed)}\right) = \sum_{\forall a, H_{k,a}^{(ref)}=1} p^{HMM}\left(H_{k,a}^{(ref)} \mid H^{(typed)}\right)$$

$p^{(imp)}$ denotes the imputed alternate allele probability of k^{th} variant by Beagle and $p^{HMM}\left(H_{k,h}^{(ref)} \mid \mid H^{(typed)}\right)$ denotes the imputation HMM's forward-backward state probability for haplotype h at variant k, where h^{th} haplotype of the reference panel harbors an alternate allele for the variant k.

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When we partition k^{th} variant's alleles into two proxy untyped variants (k1 and k2), we effectively partition the haplotypes that harbor an alternate allele for variant k to these two variants:

$$h^{(k1)} = \left\{a \text{ such that } H_{k1,a}^{(ref)} = 1\right\}$$

$$h^{(k2)} = \left\{a \text{ such that } H_{k2,a}^{(ref)} = 1\right\}$$

$$h = \left\{a \text{ such that } H_{k,a}^{(ref)} = 1\right\}$$

and

$$h^{(k1)} \cup h^{(k2)} = h$$

$$h^{(k1)} \cap h^{(k2)} = \emptyset.$$

The last equations hold by the partitioning of the alleles such that $H_{k,\cdot}^{(untyped)} = H_{k1,\cdot}^{(untyped)} + H_{k2,\cdot}^{(untyped)}$. The partitioning of haplotypes allows us to reconstruct the imputed alternate allele probability for variant k in terms of the alternate allele probabilities assigned to $k1$ and $k2$. We first decompose the haplotypes in the equation for alternate allele probability at variant k:

$$\sum_{\forall a, H_{k,a}^{(ref)}=1} p^{HMM}\left(H_{k,a}^{(ref)} \mid H^{(typed)}\right) =$$

$$\sum_{\forall a, a \in h^{(k1)}} p^{HMM}\left(H_{k,a}^{(ref)} \mid H^{(typed)}\right) + \sum_{\forall a, a \in h^{(k2)}} p^{HMM}\left(H_{k,a}^{(ref)} \mid H^{(typed)}\right)$$

Given the panel with proxy untyped variants $k1$ and $k2$, we can approximate the HMM haplotype state probabilities using the imputation performed with panel proxy untyped:

$$\forall a \in h^{(k1)}\ ;\ p^{HMM}\left(H_{k,a}^{(ref)} \mid H^{(typed)}\right) \approx p^{HMM}\left(\widetilde{H}_{k1,a}^{(ref)} \mid H^{(typed)}\right)$$

$$\forall a \in h^{(k2)}\ ;\ p^{HMM}\left(H_{k,a}^{(ref)} \mid H^{(typed)}\right) \approx p^{HMM}\left(\widetilde{H}_{k2,a}^{(ref)} \mid H^{(typed)}\right)$$

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These equations hold approximately because of two reasons: First, the state probability at haplotype a of imputation HMM at untyped variants rely only on the closest typed variants on the left and right vicinity of the untyped variant. This is satisfied because $k1$ and $k2$ are constrained to be between the same typed variants as k (Fig. 2d). Second, k1 and k2 are not exactly at the same genetic position as k. Due to the linear interpolation that Beagle uses, the posterior probabilities assigned by Beagle to k1 and k2 will not be exactly the same as k, but the difference should be practically very small since k1 and k2 are placed very close to k while k is being partitioned.

The left-hand side of the equations refers to the Beagle HMM probability for the haplotype a when we perform imputation using typed variants as input and the original reference panel. The right-hand side indicates the same probability when we use the untyped reference panel with proxy variants $k1$ and $k2$, which are new untyped variants that do not exist in the original panel. Replacing the right-hand side of the equations with the above, we get:

$$p^{(imp)}\left(H_k^{(untyped)} = 1 \mid H^{(typed)}\right) \approx \sum_a p^{(imp)}\left(\tilde{H}_{k1,a}^{(ref)} = 1 \mid H^{(typed)}\right) + p^{(imp)}\left(\tilde{H}_{k2,a}^{(ref)} = 1 \mid H^{(typed)}\right) .$$

This equation indicates that we can use the reference panel with proxy untyped variants $\tilde{H}_{\cdot,\cdot}^{(ref)}$, obtain the imputed alternate allele probabilities (using Beagle) for proxy untyped variants at $k1$ and $k2$, and finally map them back to the original untyped variant k by summing their probabilities. ProxyTyper further obfuscates the proxy untyped variants by randomly flipping their alleles with 50% probability. This operation does not accrue any accuracy penalty since it also effectively flips the probability of alternate alleles. Furthermore, allele flipping helps obfuscate the possible linkage between original and proxy untyped variants because the proxy untyped variants can have higher frequency than the original variant. If a proxy untyped variant is flipped, ProxyTyper takes this into consideration by subtracting it from one before mapping it back to the original untyped variant.

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Currently, ProxyTyper can partition each untyped variant into 2 proxy untyped variants, which doubles the number of untyped variants in the proxy panel. The alleles of each proxy untyped variant are independently flipped. The partitioning information is stored in one file (kept secret at the reference site) that describes which proxy variants correspond to which original variants and the allele-flipping states of each proxy variant. Note that each untyped proxy variant is placed to a random position between the surrounding tag variants, similar to the permutation mechanism.

Anonymization of Genetic Maps and Variant Coordinates

After sampling of haplotypes and hashing of alleles, ProxyTyper first maps variant coordinates (including typed and untyped variants) to a uniform range. This is set simply to 100 megabases by default. It should be noted that the variant coordinates are only used for sorting variants and do not change imputation accuracy since genetic maps are provided. After coordinate anonymization, the genetic maps are censored to release the genetic distances for only the typed variants. For this, ProxyTyper first extracts the original cumulative genetic distances for only the typed variants. Next, a Gaussian noise is added to the genetic distances:

$$\Delta'_g[i] = \Delta_g[i] + \epsilon, \epsilon \sim N(0, \sigma_g)$$

where, σ_g is a user-defined standard deviation of genetic distance noise. Next, Δ'_g are sorted over all typed variants and finally assigned as the anonymized coordinates:

$$\widetilde{\Delta}_g[i] = \left[\Delta'_g[1], \Delta'_g[2], \ldots\right]_{(i)} ,$$

where $\widetilde{\Delta}_g[i]$ denotes the anonymized genetic distance for the typed variant i and $\left[\Delta'_g[1], \Delta'_g[2], \ldots\right]_{(i)}$ denotes the i^{th} element in the sorted sequence of noisy genetic distances.

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Imputation Protocols, Benchmarking, and Imputation Accuracy Estimation

The four benchmarked imputation protocols are implemented using pipelines of calls to implement mechanisms in bash command line scripts. The protocols are run on single computers without explicitly simulating the network traffic. The accuracy of imputed genotypes was measured using the genotype level R2 by calculating the square of the Pearson correlation coefficient between the known and imputed genotype vector for each variant. Time and memory requirements of each protocol were measured using "/usr/bin/time" under Linux.

This study made use of data associated with a number of projects. The 1000 Genomes Project Phase 3 genotype data was downloaded from https://ftp.1000genomes.ebi.ac.uk/vol1/ftp/release/20130502/

GTEx project genotype data was accessed under terms of restricted access and can be obtained by application to Database of Genotypes and Phenotypes (dbGaP) accession number phs000424.

Haplotype reference consortium datasets were accessed under terms of restricted access from the European Genome-Phenome archive with the study identifier EGAD00001002729.

SOFTWARE AVAILABILITY

All software developed in this study have been deposited to the github code repository under accession link https://github.com/harmancilab/ProxyTyper.

COMPETING INTERESTS STATEMENT

Authors declare no competing interests.

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DZ, XJ, and AH conceived the idea for building proxy panels. AH and DZ developed the conceptual ideas for implementations and also implemented the software. AH ran the computational experiments and performed the analysis. DZ, AH, and XJ wrote the manuscript. We acknowledge funding from UTHealth startup funds and NHGRI grant R01HG012604 for AH.

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