



ALMA MATER STUDIORUM  
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The dawn of dentistry in the late upper Paleolithic: An early case of pathological intervention at Riparo Fredian

This is the final peer-reviewed author's accepted manuscript (postprint) of the following publication:

*Published Version:*

The dawn of dentistry in the late upper Paleolithic: An early case of pathological intervention at Riparo Fredian / Gregorio Oxilia; Flavia Fiorillo; Francesco Boschini; Elisabetta Boaretto; Salvatore A. Apicella; Chiara Matteucci; Daniele Panetta; Rossella Pistocchi; Franca Guerrini; Cristiana Margherita; Massimo Andretta; Rita Sorrentino; Giovanni Boschian; Simona Arrighi; Irene Dori; Giuseppe Mancuso; Jacopo Crezzini; Alessandro Riga; Maria C. Serrangeli; Antonino Vazzana; Piero A. Salvadori; Mariangela Vandini; Paola Tassi; Adriana Moroni; Robin N. M. Feeney; John C. Willman; Jacopo Moggi-Cecchi; Stefano Benazzi. - *AMERICAN JOURNAL OF PHYSICAL ANTHROPOLOGY*. ISSN 0002-0483. - STAMPA. - 163:3(2017), pp. 446-461. [10.1002/ajpa.23216]

*Published:*

DOI: <http://doi.org/10.1002/ajpa.23216>

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1 This is the peer reviewed version of the following article:

2 [Oxilia, G, Fiorillo, F, Boschin, F, et al. The dawn of dentistry in the late upper  
3 Paleolithic: An early case of pathological intervention at Riparo Fredian. *Am J Phys*  
4 *Anthropol.* 2017; 163: 446– 461],

5 which has been published in final form at [<https://doi.org/10.1002/ajpa.23216>].

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69 Number of text pages: 32

70 Number of references: 84

71 Total number of tables/Figures: (main text: 8 Figures); (Supporting Information: 5 Figures and 1  
72 Table)

73 **Headline:** An early case of probable dentistry.

74 **Keywords:** Late Upper Paleolithic, Paleopathology, Dental treatment, Dental Filling, Oral Hygiene.

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**ABSTRACT**

93 **Objectives:** Early evidence for the treatment of dental pathology is found primarily among food-  
94 producing societies associated with high levels of oral pathology. However, some Late Pleistocene  
95 hunter-gatherers show extensive oral pathology, suggesting that experimentation with therapeutic  
96 dental interventions may have greater antiquity. Here we report the second earliest probable evidence  
97 for dentistry in a Late Upper Paleolithic hunter-gatherer recovered from Riparo Fredian (Tuscany,  
98 Italy).

99 **Materials and Methods:** The Fredian 5 human consists of an associated maxillary anterior dentition  
100 with antemortem exposure of both upper first incisor (I<sup>1</sup>) pulp chambers. The pulp chambers present  
101 probable antemortem modifications that warrant in-depth analyses and direct dating. Scanning  
102 electron microscopy (SEM), microCT and residue analyses were used to investigate the purported  
103 modifications of external and internal surfaces of each I<sup>1</sup>.

104 **Results:** The direct date places Fredian 5 between 13,000-12,740 calendar years ago. Both pulp  
105 chambers were circumferentially enlarged prior to the death of this individual. Occlusal dentine  
106 flaking on the margin of the cavities and striations on their internal aspects suggest anthropic  
107 manipulation. Residue analyses revealed a conglomerate of bitumen, vegetal fibers, and probable  
108 hairs adherent to the internal walls of the cavities.

109 **Discussion:** The results are consistent with tool-assisted manipulation to remove necrotic or infected  
110 pulp *in vivo* and the subsequent use of a composite, organic filling. Fredian 5 confirms the practice of  
111 dentistry – specifically, a pathology-induced intervention – among Late Pleistocene hunter-gatherers.  
112 As such, it appears that fundamental perceptions of biomedical knowledge and practice were in place  
113 long before the socioeconomic changes associated with the transition to food production in the  
114 Neolithic.

115

116

## START MANUSCRIPT

117 To date, the earliest examples of definitive prehistoric dentistry come from Neolithic  
118 contexts. A Neolithic graveyard (MR3) at Mehrgarh in Pakistan contained 11 drilled teeth, belonging  
119 to nine individuals, of which at least four of the teeth had associated decay (Coppa et al., 2006). It is

120 not possible determinate whether the lack of decay in the remaining seven teeth was due to successful  
121 removal of infected dental tissue. An individual from a Danish Neolithic passage grave at Hulbjerg  
122 exhibits drilling near the bifurcation of the right M<sup>2</sup> roots (Bennike and Alexandersen, 2003; Bennike  
123 and Fredebo, 1986). The individual also exhibits periodontal disease and caries suggesting that  
124 drilling was related to pathological intervention (Bennike and Alexandersen, 2003). A final example  
125 of an early dental intervention concerns a ‘beeswax’ filling from Neolithic Slovenia, which was  
126 probably used to seal an antemortem/perimortem crown fracture for palliative purposes (Bernardini  
127 et al., 2012). While many more chronologically-recent cases of pathology-induced dental  
128 interventions are well-documented among both food-producers and hunter-gatherers from Old and  
129 New World contexts (Bennike and Alexandersen, 2003; Ortiz et al., 2016, Schwartz et al., 1995;  
130 Seidel et al., 2005; Turner, 2004, White et al., 1997), there is little evidence for similar pathological  
131 interventions preceding the Neolithic.

132         An exception is a Late Upper Paleolithic specimen from Villabruna (Sovramonte – Belluno,  
133 Italy, directly dated to 14,160-13,820 calendar years ago [cal BP]) (Vercellotti et al., 2008). The  
134 Villabruna 1 individual exhibits caries on the right M<sub>3</sub> that was clearly manipulated with a lithic tool  
135 *in vivo* in an effort to partially clean decay through scraping and levering actions (Oxilia et al., 2015).  
136 However, the location of the caries in the distal-most portion of the mouth would have made it very  
137 difficult to fully clean and may explain why this manipulation was less extensive than many of the  
138 more obvious drilling interventions in later prehistoric and historic examples (e.g. Bennike and  
139 Alexandersen, 2003; Coppa et al., 2006; Ortiz et al., 2016; Schwartz et al., 1995; Seidel et al., 2005;  
140 Turner, 2004; White et al., 1997).

141         Other evidence for the palliative treatment of inflamed gingiva among Pleistocene hunter-  
142 gatherers derives from interproximal grooves caused by dental probing or “toothpicking” (Lozano et  
143 al., 2013; Ungar et al., 2001). However, these features are also documented throughout the Holocene  
144 and are not always clearly associated with pathology (Brown and Molnar, 1990, Lukacs and Pastor,  
145 1988;, Molnar, 2008; Molnar, 1971). By contrast, for Late Upper Paleolithic tooth extractions (i.e.,  
146 avulsion or ablation) that were likely related to cultural modification of the dentition as an expression

147 of social identities (Bocquentin, 2011; De Groote and Humphrey, 2016; Humphrey and Bocaege,  
148 2008; Stojanowski et al., 2014; Willman et al., 2016). While not related to the treatment of  
149 pathology, ablation does offer evidence of invasive dental modifications in Late Upper Paleolithic  
150 contexts. Thus, toothpicking, caries manipulation, and ablation among Late Pleistocene hunter-  
151 gatherers experiencing high rates of dentognathic pathology (e.g., Capasso, 2011; Frayer, 1989;  
152 Humphrey et al., 2014; Lacy, 2014, 2015; Willman et al., 2016), suggest that the prerequisite stimuli  
153 (i.e., pathological affliction) and cultural practices for developing early dentistry practices may have  
154 much greater antiquity than currently documented.

155         Here we analyze two upper central incisors from a modern human recovered from the Late  
156 Upper Paleolithic site of Riparo Fredian (Molazzana, Lucca, Italy) (Boschian et al., 1995). Both I<sup>1</sup>s  
157 exhibit antemortem modification to their pulp chambers in the form of striations and the presence of  
158 a composite material (bitumen and organic fibers) on the walls of the pulp cavities (Fig. 1). We  
159 provide a differential diagnosis for these features, and suggest that the modifications are intentional  
160 anthropogenic by-products of a pathology-induced therapeutic dental intervention.

161

162 **[Figure 1 here].**

163

164

### **Archaeological context**

165         The Riparo Fredian is a mountainous area in northern Tuscany situated between the Alpi  
166 Apuane ridge to the west and the Apennines to the east. The site is located within the valley of the  
167 Turrite Secca River (in the territory of Molazzana, near Lucca), a tributary of the Serchio River (Fig.  
168 2).

169

170 **[Figure 2 here].**

171

172         Thorough archaeological surveys carried out within the area brought to light several  
173 prehistoric settlements ascribed to the Late Upper Paleolithic (Late Epigravettian) and Mesolithic

174 (Sauveterrian and Castelnovian) (Biagi et al., 1981; Guidi, 1989; Tozzi, 1995). The results reveal that  
175 the area was completely abandoned during the Late Alpine Glacial, when the glacial fronts expanded  
176 downward to an elevation of about 700-800 m. The first groups re-entered the area during the Late  
177 Glacial Interstadial, and occupied sites at the bottom or on the lower sides of the valleys, whereas  
178 sites at higher elevation were not colonized until the Early Holocene. Riparo Fredian was found  
179 during these surveys, and systematic excavations were carried out from 1987 to 1990. It is situated on  
180 a river terrace about 2-3 m above the bottom of the valley, at about 360 m above sea level, and  
181 includes a habitation area of a few square meters.

182         The stratigraphic sequence (Fig. 2) is rather thin (1.60 m). The bottom of the sequence  
183 includes sandy river deposits (layers 8, 7 and 6), overlain by an archaeological sequence that includes  
184 Late Epigravettian (layer 5) and Mesolithic (layers 4 and 3) lithic industries. The sequence is  
185 terminated by thin lenses (layers 2 and 1) containing a few minute fragments of coarse pottery  
186 (Boschian et al., 1995). A cobble pavement of limited size was found at the top of layer 5 in the  
187 innermost area of the rock shelter (Fig. 3). This pavement included several large river cobbles that  
188 were irregularly distributed on a surface of about 2 m<sup>2</sup> and slightly protruded upwards into layer 4.  
189 Layer 4 also overlies layer 5 in the other areas of the shelter, where the two layers are in direct  
190 contact, and lack the cobble pavement. Most of the teeth found in the outer part of the cobble  
191 pavement were included in layer 4, whereas those found in the inside of the pavement were included  
192 mostly in layer 5. The following processes explaining the stratigraphic position of the human remains  
193 can be reconstructed by observing the architecture of the stratigraphic unit and the characteristics of  
194 the sediments.

195

196 **[Figure 3 here].**

197

198         An erosion process, subsequent to the formation of layer 5 but preceding the deposition of  
199 layer 4, eroded layer 5 on the outer side of the shelter and excavated a shallow trough. The cobbles of  
200 the outer part of the pavement slid into the trough and rotated towards the outside of the shelter and

201 were found leaning slightly outwards. Sediments of layer 5, reworked by the erosion, accumulated  
202 into the trough together with the cobbles and formed the foundation for the outer part of layer 4. This  
203 process operated less intensely inside the rockshelter and reworked only the topmost part of layer 5,  
204 leaving the cobbles *in situ* and originating the inner part of layer 4, which is much thinner than the  
205 outer one. Consequently, layer 4 is thicker in the outer area of the shelter, whereas layer 5 is thicker  
206 in the inside area. As a result, layer 4 is largely composed of reworked parts of layer 5. Thus, it  
207 appears that the teeth were all originally embedded in layer 5, but those within the outer part of the  
208 cobble pavement were incorporated within layer 4 after reworking; conversely, those found in the  
209 inner part, where reworking was limited, remained *in situ* and hence were mostly associated with  
210 layer 5. Layer 5 was <sup>14</sup>C AMS dated on charcoal to 10,870±119 BP (AA10952, 13040 - 12600 cal BP  
211 for ±2σ calibrated range), and layer 4 to 9,458±91 BP (AA10951, 11106 - 10500 cal BP for ±2σ  
212 calibrated range).

213 The human remains from Riparo Fredian mostly consist of isolated teeth and these teeth have  
214 been attributed to six individuals (three subadults, three adults) based on dental anatomical features  
215 and levels of macroscopic wear (Boschian et al., 1995; Vierin, 2012). All of the teeth attributed to  
216 individual Fredian 5 (Fig. 4) were recovered from layer 5 next to an cobblestone artificially placed at  
217 its top (Boschian et al., 1995), which is attributed to the Final Epigravettian and dated by <sup>14</sup>C on  
218 charcoal between 13,040-12,600 cal BP (Boschian et al., 1995; D'Errico et al., 2011).

219

220 **[Figure 4 here].**

221

## 222 MATERIALS AND METHODS

223

224

### The dental remains of Fredian 5.

225 Teeth 133 and 161 are right and left maxillary canines (C<sup>1</sup>s), respectively. The occlusal cross-  
226 sections are asymmetrically oval, broad anteriorly, tapered distally, and the roots are long. Both C<sup>1</sup>s  
227 have wear scores of 7 (Smith, 1984), but wear is slightly more advanced on the left C<sup>1</sup>. Teeth 31 and  
228 134, the subjects of the present study, are right and left maxillary central incisors (I<sup>1</sup>s), respectively.

229 Siding is based primarily on the distolateral projection of the root apices. The right I<sup>1</sup> preserves a  
230 hairline rim of enamel on its anterior face (stage 7: Smith, 1984). The left I<sup>1</sup> is more circular in cross-  
231 section due to its greater degree of occlusal wear (stage 8: Smith, 1984). Both I<sup>1</sup> roots are  
232 mediolaterally and anteroposteriorly broad, a characteristic of maxillary central incisors that  
233 distinguishes them from the heavily worn C<sup>1</sup>s and the maxillary second incisors (I<sup>2</sup>s). Teeth 5 and 21  
234 have been identified as right and left I<sup>2</sup>s, respectively. The occlusal cross-sections are relatively  
235 round (compared to the canines and central incisors) and small in size. Siding is based primarily on  
236 wear associations between adjacent teeth. Each left tooth (134, 21, and 161) has a total length (root  
237 apex to occlusal surface) that is several millimetres less than that of their right-side antimeres.

238 Further evidence for tooth siding is provided through wear pattern associations. For instance,  
239 there is continuity in the wear planes and edge-rounding by side, which suggest that the behaviors  
240 resulting in wear differed between right and left sides of the mouth. The differential wear suggests  
241 that the left-side anterior teeth were used more extensively for masticatory and paramasticatory  
242 behaviors given that compensatory hypereruption would have kept the teeth in the same occlusal  
243 plane as the right-side anterior teeth despite progressive occlusal wear. However, the cause of  
244 differential wear is not immediately apparent. One possibility is that the anterior dental wear  
245 asymmetries may relate to the handedness of Fredian 5 during masticatory and non-masticatory  
246 behaviors. Another possibility is related to the timing of pulp exposure, infection, and subsequent  
247 antemortem modification of the pulp chambers. These explanations need not be mutually exclusive  
248 but are difficult to disentangle.

249 The subsequent analyses will focus on the pathological nature of the teeth as well as  
250 purported antemortem modifications indicative of probable dentistry.

251

### 252 **MicroCT and digital reconstruction**

253 High-resolution MicroCT images of the two upper central incisors were obtained with a Xalt  
254 MicroCT scanner (Panetta et al., 2012). All teeth were scanned at 50 kVp, 2 mm Al filtration, 960  
255 projections over 360°, 0.9 mAs/projection for a total scan time of 50 minutes per sample. All the

256 tomographic images were reconstructed using a modified Feldkamp algorithm (Feldkamp et al.,  
257 1984) with embedded compensation for mechanical misalignments and raw data pre-correction for  
258 beam-hardening and reduction of ring artifacts in the digital images. All images were reconstructed  
259 on a volume dataset of 600x600x1000 cubic voxels, each with a size of 18.4  $\mu\text{m}$ . The image stacks  
260 were segmented using a semiautomatic threshold-based approach in Avizo 7 (Visualization Sciences  
261 Group Inc.) to distinguish between the dental tissues and the residue filling the pulp chamber as well  
262 as to reconstruct 3D digital models of the teeth.

263

### 264 **Scanning electron microscope (SEM) and energy dispersion X-ray spectroscopy (EDS)**

265 Back-scattered electron images and EDS spectra were collected on a low-vacuum ESEM FEI  
266 Quanta 200, equipped with an Oxford energy dispersive spectrometer. The analyses were conducted  
267 using an acceleration voltage up to 30 kV and EDS analyses performed at a working distance of 10  
268 mm for 100 seconds. No sample preparation was required.

269

### 270 **3D digital microscope**

271 Multifocal images of anthropic cavities (up to 160X) were obtained using a Hirox KH-7700  
272 Digital Microscope equipped with MX(G)-5040Z lens and an AD-5040LOWS adapter. Multifocal  
273 images of vegetal fibers as well as 3D images of microstriations (up to 7000X) were captured using a  
274 MX(G)-10C lens equipped with a OL-140II and OL-700II adapters and an AD-10S Directional  
275 Lighting Adapter. Multifocal and 3D images were created by overlapping a series of 120 photographs  
276 taken at different focus levels (Crezzini et al., 2014; Moretti et al., 2015). This procedure enables the  
277 observation of analyzed surfaces from different points of view, creation of cross-sections of the  
278 microstriations, and allows collection of linear, angular, and areal measurements (Boschin and  
279 Crezzini, 2012; Crezzini et al., 2014).

280

### 281 **Fourier-Transformed Infrared Spectroscopy (FTIR)**

282 FTIR spectroscopy was chosen because its sensitivity allows information to be gained from  
283 the small amount of material extracted from the teeth, which is otherwise insufficient for  
284 chromatographic analyses. Moreover, the advantages of FTIR (i.e., speed, economical and permits  
285 sample size) are added to the Attenuated Total Reflection (ATR) mode, which does not require  
286 sample preparation because the powdered sample is placed directly on the ATR prism. In this way,  
287 the impact preparation in KBr pellet and chemical alterations that may occur with chromatography  
288 are avoided (Hollund et al., 2013).

289 Once the incrustation of secondary dentine and matrix adhering at the bottom of the cavity  
290 was removed, FTIR-ATR was performed on the black film found inside the pulp cavities of both  
291 teeth. The samples were obtained with a scalpel scraping the inner surface subsequent to analysis of  
292 surface striae. Samples were also collected from the soil in which the teeth were embedded to control  
293 for possible contamination from exogenous materials.

294 FTIR analyses were performed in ATR mode with a Tensor 27 FTIR Spectrometer equipped  
295 with a diamond crystal. Spectra were recorded in the range of 4000-400  $\text{cm}^{-1}$  at a spectral resolution  
296 of 4  $\text{cm}^{-1}$  and 128 scans. Data acquisition was carried out using OPUS 7.2 software, the spectra were  
297 baseline corrected, the  $\text{CO}_2$  was removed and a smooth performed.

298

### 299 **Raman microscopy**

300 A small amount of material containing the black patina encrusted on the internal surface of  
301 the teeth was investigated by Raman microscopy. The Raman spectra were collected with a Bruker  
302 Senterra Microscope interfaced with an Olympus microscope (20x-50x objective lens) fitted with a  
303 785nm laser. The analyses were carried out with a 10mW laser power in the 50-2600  $\text{cm}^{-1}$  spectral  
304 region and a resolution of 3  $\text{cm}^{-1}$ .

305

### 306 **Identification of the fibers**

307 The samples were stained with the fluorochrome Calcofluor White M2R (Fluorescent  
308 Brightener 28, Sigma) that readily binds to cellulose and chitin. A working stock solution of 10 mg

309 ml<sup>-1</sup> of Calcofluor white M2R was made in distilled water and then filtered through a 0.22 µm filter.  
310 The samples, mounted between slides and glass coverslips in distilled water, were treated with one  
311 drop of the Calcofluor solution. After removing the excess water, the presence of lignin was analyzed  
312 through acid Phloroglucinol staining (Phloroglucinol Sigma). The samples mounted between slides  
313 were treated with the stain (1% in ethanol) and then acidified with a drop of concentrated  
314 hydrochloric acid. The stained samples were observed under an inverted epifluorescence microscope  
315 Zeiss Axiovert 100, equipped with an UV filter (BP 365, FT 395, LP 397). The microscope was  
316 equipped with a Nikon color video camera Digital Sight DS-Fi2 with a DS-U3 control unit for image  
317 capture and Nis Elements-3 software was used for image analysis.

318

## 319 **Radiocarbon dating**

### 320 *Fourier-Transform Infrared Spectroscopy*

321 Both dentine and enamel from the Fredian 5 canine were analyzed with FTIR analysis to  
322 determine the state of preservation. A few dozen micrograms of dentine and enamel were separately  
323 powdered and homogenized in an agate mortar and pestle, mixed with a few milligrams of anhydrous  
324 KBr (Aldrich), and formed into a pellet. Infrared spectra were obtained at 4 cm<sup>-1</sup> resolution Nicolet  
325 380 FT-IR in transmission mode. The infrared splitting factors were calculated from the spectra  
326 following the method of Weiner and Bar-Yosef (Weiner and Bar-Yosef, 1990). The splitting factor  
327 for the enamel and dentine were 4.0 and 3.1, respectively. These values are in the range of well-  
328 preserved enamel and dentine (Asscher et al., 2011a,b). The FTIR spectrum of dentine mineral also  
329 showed absorption peaks at 1,651 cm<sup>-1</sup> (amide I) and 1,556 cm<sup>-1</sup> (amide II), indicating the presence  
330 of collagen clearly.

331

### 332 *Dentine Collagen Extraction, Purification and Characterization*

333 Some 193 mg of dentine was dissolved in 1N HCl to remove the mineral phase, centrifuged  
334 and rinsed three times in deionized water by centrifugation (6000 rpm for 2 min), and resuspension of  
335 the pellet. The pre-treatment procedure (Boaretto et al., 2009) for radiocarbon dating uses the acid-

336 alkali- acid (AAA) technique and filtration, after gelatinization, with Eezi filter and ultrafiltration  
337 (Yizhaq et al., 2005). Prior to the AMS (Accelerator Mass Spectrometry) target preparation the  
338 extracted collagen was analyzed with FTIR (Asscher et al., 2011a) The spectrum showed the three  
339 aminoacid peaks of amide I, II and hydroxyproline at 1650, 1550 and 1450  $\text{cm}^{-1}$ , respectively. No  
340 other minerals were detected.

341

### 342 *Target Preparation and AMS Analysis*

343 The extracted collagen sample RTD-8546 was combusted to  $\text{CO}_2$  in vacuum sealed quartz  
344 tubes containing approximately 200 mg of copper oxide (Merck) and heated to 900°C for 200  
345 minutes. The  $\text{CO}_2$  was divided into 3 aliquots and then each was reduced to graphite using cobalt  
346 (Fluka) (approximately 1mg) as a catalyst and hydrogen, and heated to 700°C for 20 hours. The  
347 graphite produced was analyzed for  $^{14}\text{C}$  content at the D-REAMS Radiocarbon Laboratory at the  
348 Weizmann Institute. Calibrated ranges in calendar years have been obtained from calibration tables  
349 (Reimer et al. 2013) by means of OxCal v4.2.4 (Bronk Ramsey and Lee, 2013).

350

351

## RESULTS

352

353 Both upper central incisors are heavily worn with occlusal exposure of each pulp chamber  
354 ( $\text{RI}^1$ : mesio-distal =2.82 mm; labio-lingual=3.08 mm;  $\text{LI}^1$ : mesio-distal=2.77 mm; labio-lingual=2.84  
355 mm). The pulp chambers show a rounded perforation (hereafter called “cavity”) that appear to be  
356 circumferentially (albeit unevenly) enlarged (Fig. 1a, d) and extend into the root for 4.82 mm ( $\text{RI}^1$ )  
357 and 4.25 mm ( $\text{LI}^1$ ), with a sudden transition with the preserved portion of the pulp canal, which is  
358 partially filled with organic residue (Fig. 1c, f). Scanning Electron Microscopy (SEM) analysis  
359 showed microwear in the form of small scratches on the polished incisal surface and occlusal margins  
360 of the cavities (Fig. 5).

361

362 **[Figure 5 here].**

363

364 Additional SEM analysis revealed striations in the internal cavity surface (Fig. 6), which  
365 differ from the typical dental microwear pattern, along with two dentine chips on the lingual (RI<sup>1</sup>)  
366 and labial (LI<sup>1</sup>) margins, respectively (Fig. 1a, d). The margins of the chipped dentine exhibit smooth  
367 and rounded edges, similar to antemortem enamel chipping (Bonfiglioli et al., 2004; Scott and Winn,  
368 2011), which indicates some degree of *in vivo* occlusal wear and tool-use following exposure of the  
369 pulp cavity and the chipping of the dentine. Together, the scratches and rounding of the dental chips  
370 on the margins of the cavities suggest that Fredian 5 survived initial pulp exposure and continued to  
371 use their anterior teeth for daily activities prior to death.

372

373 **[Figure 6 here].**

374

375 The striations on the internal surfaces of the pulp cavities are distinguished from the scratches  
376 on the occlusal surface by a difference in orientation and by a distinct morphological appearance.  
377 The shape and cross-section of the striations are diagnostic of the instrument used to produce them  
378 and the activities involved. Some are “V” shaped in transverse section and have a combination of  
379 attributes similar to the recognition criteria of slicing cut marks (Fig. 6d) (morphological categories  
380 2, 4 and 5 [Boschin and Crezzini, 2012]) produced by stone tools, while others are shallower with  
381 more rounded cross-sections (Fig. 6b, f). The latter resemble those produced during experimental  
382 tests in dentine with bone tool (Oxilia et al., 2015).

383 The residue filling the pulp canals was removed and analyzed by SEM and stereomicroscopy.  
384 SEM analysis shows the presence of dentinal tubules, suggesting the residue has extensive dentine  
385 adhering to it postmortem (Supporting Information Figure S1). Moreover, a number of microscopic  
386 materials with a fibrous-like morphology were found; however, only a few could be isolated due to  
387 their small dimensions and fragmented state. The fibers were observed using an optical microscope  
388 and examined by means of histochemical methods. Two main morphological classes were  
389 documented. The Type 1 fiber had a length of 51.56  $\mu\text{m}$  and an irregular width with a mean diameter  
390 of 24.4  $\mu\text{m}$  (Fig. 7a). It was flexible with some distinct folds and reacted with the staining specific for

391 cellulose and chitin (Fig. 7b), but not with the one specific for lignin. Due to the size and  
392 morphology, this fiber type was more consistent with a plant fiber classification rather than fungi.  
393 The Type 2 fiber had a light brown pigmentation, a round morphology with a diameter of  
394 approximately 60  $\mu\text{m}$ , and was also flexible but seemingly hollow (Fig. 7c). This fiber did not react  
395 with either cellulose (Fig. 7d) or lignin (Fig. 7e) stains. The size, morphology and histochemical  
396 results obtained from this fiber suggest it should be classified as hair.

397

398 **[Figure 7 here].**

399

400           Fourier transform infrared spectroscopy (FTIR) analysis was carried out on the black patina  
401 adhering to the inner walls of the cavities and on the soil from the deposit from which the teeth were  
402 retrieved. First, it was possible to discard external contamination as the soil analyses showed a  
403 composition of calcite, silicates and quartz (Supporting Information Figure S2). The FTIR spectra  
404 obtained on the black patina are similar in both samples (Fig. 8). The peaks at 1022, 600 and 562  $\text{cm}^{-1}$   
405 <sup>1</sup> (stretching and bending modes of  $\text{PO}_4$ ) are related to hydroxyapatite, due to the contamination of  
406 dentine adhering to the black patina. Furthermore, the sharp and strong peaks at 2922 ( $\text{CH}_3$  bending  
407 bond) and 2850  $\text{cm}^{-1}$  ( $\text{CH}_2$  bending bond) and the weak peak at 2956  $\text{cm}^{-1}$  show the presence of  
408 organic matter with strong absorption of aliphatic CH. The lack of a defined peak in the 1750-1650  
409  $\text{cm}^{-1}$  region suggests the organic material does not have a carbonyl group, thereby excluding the  
410 presence of oil, wax, gums, natural resin or proteinaceous material, such as egg or animal glue (Daher  
411 et al., 2010; Derrick et al., 1999). According to previous studies (Cârciumaru et al., 2012; Hassan et  
412 al., 2013; Lamontagne et al., 2001), the two characteristic peaks at 1472 and 1382  $\text{cm}^{-1}$  could indicate  
413 the presence of  $\text{CH}_2$  and  $\text{CH}_3$  bending bonds, respectively. The closest spectral match is with a  
414 reference spectrum gained from the IRUG online database (Harvard University Database, 2016) and  
415 is ascribable to bitumen.

416

417 **[Figure 8 here].**

418

419 A Raman spectrum was additionally acquired on the internal surface of the pulp cavities to  
420 distinguish the characteristic peaks of hydroxyapatite at  $962\text{ cm}^{-1}$  (Supporting Information Figure  
421 S3). The spectrum of interest on the black patina, instead, shows broad peaks around 1305 and 1595  
422  $\text{cm}^{-1}$ , which can be associated with amorphous carbon, probably attributable to bitumen.

423 Bitumen is an organic material with a very complex chemistry (Vandenabeele et al., 2007)  
424 because it is a mixture mostly of hydrocarbons with a small number of heterocyclic species and  
425 functional groups containing sulphur, nitrogen and oxygen. Accordingly, the energy dispersion X-ray  
426 spectroscopy (EDS) spectra were acquired on a small grain of material containing the black patina  
427 encrusted on the tooth's inner surface. An increasing degree of carbon (C) and the presence of  
428 sulphur (S) and nitrogen (N) were found in addition to the elements related to the chemical  
429 composition (Ca, P, O) of the teeth (Supporting Information Figure S4). This result can therefore be  
430 explained by the presence of sulphur, nitrogen and oxygen in the bitumen composition as  
431 heterocyclic atoms (McNally, 2011).

432 A direct radiocarbon date for Fredian 5 was obtained from the dentine of the right canine  
433 (RTD 8546) (Supporting Information Figure S5; Supporting Information Table S1). The new  
434 radiocarbon date,  $11,000\pm 40\text{ }^{14}\text{C}$  year BP is well in the range of the Epigravettian period with a  
435 95.4% probability calibrated range of 13,000-12,740 cal BP.

436

437

## DISCUSSION

438

439

440 Fredian 5 exhibits occlusal pulp exposure of both I<sup>1</sup>s, but this affliction is not an unusual  
441 occurrence among Late Upper Paleolithic hunter-gatherers (e.g., Capasso, 2001; Da-Gloria and  
442 Larsen, 2014; Lieverse et al., 2007; Lukacs, 1988; Porr and Alt, 2006) that warrants further  
443 explanation. However, the internal surface modifications to the pulp cavities, in addition to the  
444 presence of bitumen and organic fibers, is an unusual occurrence among Late Upper Paleolithic  
445 hunter-gatherers that begs further explanation. Caries manipulation was previously recorded in the  
penecontemporaneous (Epipaleolithic) individual Villabruna 1 individual (Oxilia et al., 2015),

446 suggesting that the presence of the above features could be the result of similar pathology  
447 manipulation in Fredian 5. Thus, we offer a differential diagnosis for the suite of characteristics  
448 associated with the pulp cavity modifications documented for Fredian 5. We have identified four  
449 possible diagnoses: 1) Postmortem/Taphonomic Modifications; 2) Ingestive Behaviors and Teeth-as-  
450 Tools; 3) Cultural Modification for Social Expression; and 4) Therapeutic Dentistry. We explore  
451 each diagnosis in detail below and discuss potential overlap between them.

452

### 453 *1. Postmortem/Taphonomic Modifications*

454           The exposed pulp chambers are undoubtedly antemortem, but the extent to which the  
455 markings on the internal surface of the pulp cavities are of antemortem versus postmortem origin  
456 must be explored further. Dental drilling tends to produce parallel striations or microgrooves around  
457 the circumference of the drilled cavity (e.g., Bennike and Alexandersen, 2003; Coppa et al., 2006;  
458 Ortiz et al., 2016; Schwartz et al., 1995; Seidel et al., 2005; Turner, 2004; White et al., 1997). The  
459 case of Fredian 5 shows less-intensive markings than documented in chronologically more recent  
460 examples of dental drilling and the striations are parallel to the horizontal axis of the tooth. These  
461 markings would be consistent with the twisting of a hard implement (e.g., bone or lithic) placed  
462 inside the pulp cavities, and are similar to the striations created by the scraping and levering actions  
463 during caries manipulation in Villabruna 1 (Oxilia et al., 2015). The same forms of striations are not  
464 found on the occlusal external root surfaces of the Fredian 5 anterior teeth. If the markings on the  
465 internal surface are the product of postmortem damage caused by cleaning, we would expect to see  
466 similar marking on the occlusal surfaces, but there are no such markings. Therefore, we find it  
467 difficult to explain how a postmortem process could preferentially leave marking on internal surfaces  
468 while leaving the external surfaces unmarked.

469           Moreover, bitumen is known to have been used as hafting compound by Pleistocene foragers  
470 from Middle and Upper Paleolithic contexts (Boëda et al. 1996, 2008; Cârciumaru et al., 2012).  
471 Bitumen, along with other hafting materials (e.g., pitch and resin), have been documented in museum  
472 collections derived from decades old excavations (Cârciumaru et al., 2012; Dinnis et al., 2009),

473 which attests to the possibility of long-term preservation of such residues following excavation,  
474 repeated handling, and curation. It is difficult to explain how a postmortem processes that would  
475 cause an organic substance such as bitumen to be preferentially deposited (and preserved) only inside  
476 the two pulp cavities, but be absent on the external surfaces of the teeth and surrounding  
477 archaeological matrix from the site (see Results). Consequently, we view a scenario in which  
478 postmortem, taphonomic processes caused the modifications to the Fredian 5 pulp cavities as  
479 unlikely.

480

## 481 ***2. Ingestive Behaviors and Teeth-as-Tools***

482 The exposure of pulp chambers through attrition in hunter-gatherers is not uncommon, for it  
483 is often found among foragers with extensive anterior tooth wear caused by a combination of  
484 ingestive food processing behaviors and non-masticatory uses of the “teeth-as-tools”. In the case of  
485 Fredian 5 it is evident from the presence of fine occlusal striations and rounding of the dentin chips  
486 around the exposed pulp cavities that the IIs continued to be used after pulp exposure for ingestive  
487 and/or non-masticatory behaviors.

488 Given the presence of occlusal wear following antemortem pulp exposure there is a possibility  
489 that the striations inside the pulp cavities could have been caused by continued anterior tooth-use. For  
490 instance, some hunter-gatherers retouch the working-edge of lithic implements with their anterior  
491 teeth (Gould, 1968), a process that could introduce microflakes into exposed pulp cavities. Grit, bone  
492 fragments, and other abrasive materials from food or various materials worked between the anterior  
493 teeth (e.g., wood, hide, plant and animal fibers) could also have entered the exposed pulp cavities of  
494 Fredian 5 unintentionally. With this scenario, the foreign materials or debris entering the pulp  
495 cavities would had to have moved along a horizontal plane to produce the striations documented in  
496 the Fredian pulp cavities, but such movements are unlikely to be produced by the vertical motions  
497 and compressive forces of the teeth and jaws during ingestive and/or non-masticatory behaviors.  
498 Rather, such striations are more likely to have been induced by movements that involved twisting and  
499 scraping an implement along a horizontal axis within the pulp cavity. A lack of dietary microwear

500 within the cavities also suggests that mastication was unlikely to have contributed greatly to the  
501 expansion of the cavities. The most parsimonious explanation is that Fredian 5, perhaps with the  
502 assistance of another individual, intentionally manipulated an object that produced horizontal  
503 striations on the internal walls of the cavity.

504 Support for this interpretation comes from Villabruna 1, which also lacked dietary microwear  
505 deep within the manipulated caries but does present distinctive, tool-induced striations within the  
506 margins of the caries (Oxilia et al., 2015). Furthermore, experiments show that striations similar to  
507 those in the present (in shape, cross-section, and orientation [horizontal]) are produced through  
508 levering and twisting actions (Oxilia, et al., 2015 SOM).

509 If Fredian 5 used their anterior dentition to manipulate implements covered in bitumen (e.g.,  
510 items waterproofed with bitumen or hafted objects), then it is also likely that the occlusal surfaces of  
511 the I<sup>1</sup>s would be more extensively impregnated with bitumen. Instead, only the edges of the exposed  
512 pulp cavities, the internal surfaces, and the deep recesses within the pulp canal are infilled with  
513 bitumen. Furthermore, there are no traces of bitumen on the occlusal surfaces of the other four  
514 anterior teeth of Fredian 5 despite their similar states of wear. If the bitumen in the pulp cavities  
515 entered unintentionally, we expect that traces of bitumen on the occlusal surfaces to be present on all  
516 six anterior teeth, not just within the pulp cavities of the I<sup>1</sup>s. The majority of the residue is found deep  
517 in the pulp canal rather than distributed throughout the entire pulp chamber/cavity, and it is notable  
518 that no bitumen is found embedded recesses of the antemortem enamel and dentin chips on either  
519 tooth. We expect that the accumulation of residue through unintentional causes would not limit the  
520 majority of bitumen accumulation to the pulp canals, and that the occlusal recesses caused by  
521 chipping would be more likely to retain remnants of bitumen even after continued dietary and non-  
522 masticatory tooth-use. Given neither circumstance is recorded in Fredian 5, we find the presence,  
523 location, and preservation of bitumen in the pulp canals difficult to explain without invoking explicit  
524 anthropogenic intentions.

525 The orientation of the striations inside the pulp cavities suggests intentional movements of an  
526 extraneous implement, while the presence of bitumen inside the pulp cavities, but no other surfaces,

527 also suggest intentional placement of the bitumen. However, it is much more difficult to rule out an  
528 unintentional origin of the vegetal and hair fibers in the pulp cavities. These materials could have  
529 been unintentionally adherent to the bitumen when it was placed in the cavities, regardless of whether  
530 bitumen was entered through dietary or non-dietary behaviors, or intentionally placed inside the  
531 cavities. Given the degraded characteristics of the fibers, and the low number recovered, we cannot  
532 rule out their presence as an unintentional result of dietary and/or non-masticatory behavior.  
533 Therefore, we suggest intentional behaviors produced the internal pulp cavity striations and presence  
534 of bitumen, but we cannot determine intentionality for the presence of organic fibers in the pulp  
535 cavities definitively.

536

### 537 ***3. Cultural Modification for Social Expression***

538 Regional traditions of intentional dental modification for purposes of cultural expression of  
539 social identities are well documented in the Late Upper Paleolithic and are best represented by the  
540 practice of dental ablation throughout North Africa, Southwest and Southeast Asia, and Australia  
541 during the Late Pleistocene (see review in Willman et al., 2016). However, ablation generally leaves  
542 large gaps in the dental arcade due to the tooth removal that disrupt for patterns of occlusion and  
543 dental wear (Humphrey and Bocaage, 2008). Occlusal wear is relatively even and extensive across all  
544 six of the maxillary anterior teeth of Fredian 5, which suggests that the individual's mandibular  
545 isomeres were present (i.e., not ablated) and in occlusion. Using the same logic, we can rule out  
546 ablation through "tooth-knocking" (i.e., breaking the crown off at the cervix: Pietruszewsky and  
547 Douglas, 1993), and add that there are no signs of root resorption (Fig. 4) typical of traumatic  
548 fracture (Lukacs, 2007).

549 The filing of anterior dental crowns into specific shapes to express aspects of social identity is  
550 well-documented from prehistory into the ethnographic present (Alt and Pichler, 1998; Fastlicht,  
551 1976; Milner and Larsen, 1991; Stojanowski et al., 2016; Tiesler, 2011), and provides an alternative  
552 for the dental modification found in Fredian 5. However, to date there is only one case of abrasive  
553 wear from a Late Upper Paleolithic context that resembles filing (Bocquentin et al., 2013). The case

554 concerns flattened and polished labial enamel on the upper central incisors of an Early Natufian  
555 individual from Jordan, but the wear cannot be definitively attributed to the use of teeth-as-tools or an  
556 intentional marker of social identity (Bocquentin et al., 2013). Filing generally involves shaping of  
557 the crown without removal of the entire crown (e.g., Alt and Pichler, 1998; Fastlicht, 1976; Milner  
558 and Larsen, 1991; Stojanowski et al., 2016; Tiesler, 2011), which is inconsistent with the complete  
559 loss of crowns in Fredian 5.

560 A last possibility for cultural modification of social expression would be that the pulp  
561 chambers were modified, drilled, or otherwise expanded for the inclusion of a foreign object (e.g.,  
562 inlays), although this is unlikely for a number of reasons. First, inlays are generally associated with  
563 drilling into the labial surfaces of teeth to prepare for the placement of decorative inlays as this would  
564 be readily visible (Alt and Pichler, 1998; Fastlicht, 1976; Milner and Larsen, 1991; Tiesler, 2011),  
565 and there are no documented cases of decorative inlays being placed in modified pulp  
566 chambers/cavities in the archaeological or ethnohistorical literature to our knowledge. Second, while  
567 drilling to prepare inlays shares technological attributes with the drilling procedures used for  
568 therapeutic purposes (Bennike and Alexandersen, 2003; Coppa et al., 2006; Ortiz et al., 2016;  
569 Schwartz et al., 1995; Seidel et al., 2005; Turner, 2004; White et al., 1997), there is no evidence for  
570 this form of extensive drilling prior to the Neolithic (Coppa et al., 2006). Moreover, an exposed and  
571 modified pulp cavity would have been sensitive to non-therapeutic inclusions such as inlays or other  
572 decorative objects, when subjected to any compressive forces during masticatory and/or non-  
573 masticatory behaviors. Lastly, the presence of occlusal wear and rounded edges of dentine chips  
574 provides evidence for the continued use of the well-worn roots as a functional occlusal surfaces  
575 before death. If foreign objects were placed in the pulp cavities for cultural/aesthetic purposes one  
576 would not expect to see microwear related to normal tooth-use on the occlusal surfaces. We therefore  
577 suggest that an antemortem/cultural expression scenario is unlikely to explain the modifications to  
578 the I<sup>1</sup> teeth of Fredian 5.

579

#### 580 ***4. Therapeutic Dentistry***

581 A final possibility for the presence of a suite of antemortem modifications of the I<sup>1</sup> pulp  
582 cavities of Fredian 5 dentition may be through a therapeutic dental intervention. Pulp exposure is  
583 commonly associated with severe anterior dental attrition among foragers (Da-Gloria and Larsen,  
584 2014; Lieverse et al., 2007; Lukacs, 1988; Porr and Alt, 2006), and high rates of oral pathology have  
585 recently become well documented among Terminal Pleistocene foragers (e.g., Capasso, 2001; Frayer,  
586 1989; Humphrey et al., 2014; Lacy, 2014, 2015; Willman et al., 2016). These rates of pathology  
587 suggest a precedent for exploring pathology-induced dental interventions was present among Late  
588 Upper Paleolithic foraging groups. Similarly, the recent documentation of dental manipulation  
589 associated with pathology (caries) in the Late Upper Paleolithic Villabruna 1 fossil (Oxilia et al.,  
590 2015) suggests that other early cases of dental intervention may yet be waiting to be documented.

591 Villabruna 1 exhibits striations consistent with scraping, levering, and probing an occlusal  
592 surface caries on a mandibular third molar – remnants of behaviors that partially removed the caries  
593 (Oxilia et al., 2015). Fredian 5 exhibits a degree of intentional modification that is similar to that of  
594 Villabruna I. The Fredian 5 pulp cavities exhibit horizontal striations produced by scraping and  
595 twisting actions of a sharp, hand-held implement that resulted in circumferential enlargement of the  
596 cavities (in comparison to recent dental drilling interventions). The similarities between the striations  
597 in the two specimens suggests intentional, manually-implemented, behaviors rather than  
598 unintentional byproducts of tooth-using behaviors, aesthetic modifications, or taphonomy.

599 Crediting a motive to the intentional dental modifications in Fredian 5 is made more difficult  
600 by the considerable differences in the form of the modifications compared to other documented cases  
601 from the Holocene – namely those that involved drilling for probable therapeutic purposes (Bennike  
602 and Alexandersen, 2003; Coppa et al., 2006; Ortiz et al., 2016; Schwartz et al., 1995; Seidel et al.,  
603 2005; Turner, 2004; White et al., 1997). The use of levering and scraping in Villabruna 1, rather than  
604 drilling, can be explained by the distal position of the carious lesion in the oral cavity (of the right  
605 M<sub>3</sub>). This is noteworthy because there are no documented cases of third molar dental drilling in more  
606 recent contexts (Bennike and Alexandersen, 2003; Coppa et al., 2006; Ortiz et al., 2016; Schwartz et  
607 al., 1995; Seidel et al., 2005; Turner, 2004; White et al., 1997).

608 In contrast to Villabruna 1, access to the I<sup>1</sup>s of Fredian 5 would not preclude a more invasive  
609 drilling intervention like those found in many Holocene context. Nevertheless, the subtle horizontal  
610 striations and circumferential enlargement of the cavities do show clear evidence intentional  
611 manipulation. However, additional concentric striations may be obscured by remnants of bitumen.  
612 Indeed, no bitumen was associated with the Villabruna 1 caries and the striations associated with  
613 caries manipulated are much clearer (Oxilia et al. 2015).

614 Numerous other explanations could account for the subtle nature of the horizontal striations in  
615 the Fredian 5 pulp cavities (e.g., some striations were erased through later abrasive wear – from  
616 removing and reapplying an organic filling, or from food and other debris entering the cavity  
617 following the initial use of bitumen). Although it is also probable that the intervention was simple  
618 less-invasive than those documented from more recent contexts.

619 The subtle markings from Fredian 5 (and to some extent, Villabruna 1) are infrequently  
620 documented compared to the obvious drill-induced modifications from the Holocene, but this  
621 infrequency may be biased due to the ease of identification in the latter cases. Indeed, the subtle  
622 modifications to the pulp chambers of Fredian 5 and caries manipulation of Villabruna 1 were  
623 difficult to observe macroscopically, and required extensive microscopic, microCT, and residue  
624 analyses to completely characterize. Consequently, the subtle manipulation of pathologies in the two  
625 cases from the Italian Epigravettian suggest that Holocene case studies of purposeful drilling should  
626 not be used as baseline characteristics for all pathology-induced dental interventions. It is probable  
627 that additional cases have gone undocumented given no reference for identifying the subtle  
628 modifications of Fredian 5 and Villabruna 1 existed until recently.

629 The presence of bitumen in the pulp cavities of Fredian 5 is an additional unique finding that  
630 is most likely explained by a therapeutic diagnosis. The lack of bitumen on any surface other than the  
631 inside of the pulp cavities is suggestive of intentional placement. Uses of bitumen are not unknown in  
632 the Paleolithic (Boëda et al. 1996, 2008; Cârciumaru et al., 2012), but have not been documented on  
633 dental surfaces prior to this study. However, residue and microfossil studies of dental surfaces are  
634 relatively recent innovations in paleoanthropology and unique discoveries have been made in most

635 studies to date (Hardy et al., 2012, 2016; Henry et al., 2011; Radini et al., 2016). The presence of  
636 bitumen (and horizontal striations) inside the pulp cavity but not on other surfaces of the teeth  
637 suggests intentionality in their placement in the cavities. Therefore, the bitumen and pathological  
638 exposure of the pulp chambers through attrition may likely have been therapeutic.

639 While it is speculative in the present study, the use of bitumen could have been used as an  
640 antiseptic or to provide an anti-microbial barrier between the body and the environment (Bourée et  
641 al., 2011; Connan, 1999). A similar suggestion has been made for a Neolithic beeswax filling  
642 (Bernardini et al., 2013). Furthermore, the presence of hair and plant fibers could indicate the use of a  
643 composite filling material, but there is no way to be certain that the hair and vegetal fibers were  
644 purposefully placed in the cavities like the bitumen likely was. However, the probable use of  
645 medicinal plants is not without precedence in the Pleistocene (Hardy et al., 2012) and early Holocene  
646 (Aveling and Heron, 1999). There is also ample ethnographic documentation of plants used for the  
647 treatment of toothaches, caries, pulpitis, and other ailments (Buckley et al., 2014; Elvin-Lewis, 1982,  
648 1986; Moerman, 1998; Willey and Hofmann, 1994).

649

650

## CONCLUSIONS

651

652 Given the evidence for probable dentistry in Fredian 5 it is now possible to suggest that the  
653 caries manipulation found in Villabruna (Oxilia et al., 2015) may be part of a broader trend, or  
654 tradition, of pathology-induced dental interventions among Late Upper Paleolithic Italian foragers.  
655 Both Fredian 5 and Villabruna 1 represent cases where implements were used to manipulate dental  
656 pathologies. The Late Pleistocene is a period of increasingly diverse and broad spectrum  
657 socioeconomic activities. The concomitant increase in dentognathic pathology likely called for novel  
658 strategies to cope with changing morbidity profiles. Thus, this discovery marks a much earlier  
659 instance of pathology-induced therapeutic dental interventions than previously known.

660

661

662

## ACKNOWLEDGEMENTS

663  
664  
665 We dedicate this paper to Mario Dini, a young researcher of the University of Pisa who died  
666 prematurely. Mario devoted most of his research to the study of the Paleolithic and Mesolithic sites in  
667 the Serchio river valley. He recovered the human remains from the deposits at Riparo Fredian and  
668 entrusted two of the authors (J. M.-C. and A. R.) to carry out a new and detailed study of them. AMS  
669 date was funded by the Exilarch's Foundation, the DANGOOR Research Accelerator Mass  
670 Spectrometry Laboratory (D-REAMS), and the Max Planck-Weizmann Center for Integrative  
671 Archaeology and Anthropology. JCW was funded by the Leakey Foundation. The authors declare no  
672 potential conflicts of interest with respect to the authorship and/or publication of this article.

673  
674 The datasets supporting this article have been uploaded as part of the Supporting Information.

675

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