

Distinguishing neural correlates of context-dependent advantageous- and disadvantageous-inequity aversion

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Humans can integrate social contextual information into decision-making processes to adjust their responses toward inequity. This context dependency emerges when individuals receive more (i.e., advantageous inequity) or less (i.e., disadvantageous inequity) than others. However, it is not clear whether context-dependent processing of advantageous and disadvantageous inequity involves differential neurocognitive mechanisms. Here, we used fMRI to address this question by combining an interactive game that modulates social contexts (e.g., interpersonal guilt) with computational models that enable us to characterize individual weights on inequity aversion. In each round, the participant played a dot estimation task with an anonymous coplayer. The coplayer would receive pain stimulation with 50% probability when either of them responded incorrectly. At the end of each round, the participant completed a variant of dictator game, which determined payoffs for him/herself and the coplayer. Computational modeling demonstrated the context dependency of inequity aversion: when causing pain to the coplayer (i.e., guilt context), participants cared more about the advantageous inequity and became more tolerant of the disadvantageous inequity, compared with other conditions. Consistently, neuroimaging results suggested the two types of inequity were associated with differential neurocognitive substrates. While the context-dependent processing of advantageous inequity was associated with social- and mentalizing-related processes, involving left anterior insula, right dorsolateral prefrontal cortex, and dorsomedial prefrontal cortex, the context-dependent processing of disadvantageous inequity was primarily associated with emotion- and conflict-related processes, involving left posterior insula, right amygdala, and dorsal anterior cingulate cortex. These results extend our understanding of decision-making processes related to inequity aversion.

advantageous inequity | disadvantageous inequity | guilt context | insula | fMRI

Inequity aversion, or the preference for fairness, is an other-regarding preference observed widely in human society (1, 2). Individuals can be averse to inequity both when they receive more (i.e., advantageous inequity) and when they receive less (i.e., disadvantageous inequity) than others (2). The distinction between these two types of inequity aversion has been demonstrated in different disciplines. Behavioral studies showed that, although individuals dislike both types of inequity, their responses to advantageous inequity are usually not as strong as to disadvantageous inequity (2–4). Both evolutionary and developmental evidence demonstrated variations in the onset of the two types of inequity aversion. Disadvantageous-inequity aversion emerges at early stages of evolution and of human development, whereas advantageous-inequity aversion has only been seen in chimpanzees (5) and humans above 8 y old, who have relatively mature social and cognitive control abilities (6). These findings provide a

theoretical motivation for investigating potentially differential psychological and neural mechanisms underpinning the two types of inequity aversion. Increased knowledge of the psychological and neural bases underlying individuals' attitudes toward inequity can provide valuable clues for understanding various social and economic phenomena, such as the asymmetrical responses to inequity when individuals are in advantageous vs. disadvantageous status in financial crises (3, 7). However, despite extensive research on disadvantageous inequity, little is known about advantageous inequity and whether these two types of inequity involve differential psychological and neural mechanisms.

Previous evidence has linked disadvantageous-inequity aversion with negative emotions (e.g., envy) elicited by receiving less than others (2, 6). Specifically, a number of studies have investigated the psychological and neural mechanisms of disadvantageous-inequity aversion using ultimatum game (UG), in which participants decide whether to accept a fair or unfair (i.e., disadvantageous) division of money suggested by a proposer (8). Participants'

neural mechanisms underlying context-dependent advantageous- and disadvantageous-inequity aversion in experiment 3, in which participants performed the same task as experiment 2 in the fMRI scanner.

Results

Dissociable Contextual Effects on Advantageous- and Disadvantageous-Inequity Aversion at the Behavioral Level. For all of the three experiments, 2 (Agent: Self vs. Other) \times 2 (Outcome: Pain vs. Nopain) repeated-measures ANOVAs on the self-reported guilt ratings in the postscan questionnaire yielded significant interactions between Agent and Outcome (Fig. 3*A* and *SI Appendix, Table S3*). Participants felt guiltier when they themselves inflicted the pain upon the coplayers (Self_Pain) than when the coplayers themselves inflicted the pain (Other_Pain); this Agent effect was decreased in Nopain conditions (i.e., Self_Nopain vs. Other_Nopain), demonstrating the robustness and validity of our paradigm to induce guilt.

To test whether our context manipulation modulated individuals' advantageous- and disadvantageous-inequity aversion, we used the Fehr-Schmidt inequity aversion model (2, 50) to capture individuals' weights on advantageous (α) and disadvantageous (β) inequity aversion for each of the four conditions, at both the group level (experiments 1–3) and the individual level (experiments 2 and 3) (*Materials and Methods*). The Fehr-Schmidt inequity aversion model explained participants' choices significantly better than six other plausible models (*SI Appendix, SI Methods and Table S11*). These results indicate that participants' behavioral changes in the guilt context were derived, to a large extent, from increased advantageous-inequity aversion and decreased disadvantageous-inequity aversion, but not from increased subjective values of other-payoff, changes in participants' attitudes toward inequity aversion in general, or changes in their perceived fairness norms.

Both group-level model fitting in the three experiments (Fig. 3*B–D*) and individual-level model fitting (*SI Appendix, Fig. S1*) in experiments 2 and 3 demonstrated that, compared with the Other_Pain condition, participants' α increased and β decreased in the Self_Pain condition, while these effects were absent or decreased in the Nopain conditions (i.e., Self_Nopain vs. Other_Nopain) (*SI Appendix, Tables S3 and S4*). Patterns of model-free results in all of the three experiments were consistent with the model-based results (*SI Appendix, SI Results and Fig. S2*).

To test whether the contextual effects on advantageous and disadvantageous inequity are dissociable at the behavioral level, we examined the correlation between the contextual effects (i.e., the interactions between Agent and Outcome) on α and β in both experiments 2 and 3. To this end, we estimated α and β for each participant in each condition, and estimated the contextual effect [i.e., (Self_Pain – Other_Pain) – (Self_Nopain – Other_Nopain)] on α and β for each participant. Results showed that the contextual effects on the two types of inequity aversion were uncorrelated (experiment 2: $r = -0.023$, $P = 0.911$; experiment 3: $r = -0.152$, $P = 0.479$), indicating that the individuals with higher contextual effects on α did not necessarily exhibit higher or lower contextual effects on β (Fig. 3*E* and *F*).

Neural Response to Inequity in Advantageous and Disadvantageous Frames. To identify brain regions involved in advantageous- and disadvantageous-inequity processing, we classified binary choices shown to the participants into the advantageous frame and the disadvantageous frame according to the relative status of self-payoff compared with other-payoff implemented in the unequal option of each binary choice. Then in each frame, all of the binary choices were further median split into the high-inequity condition (HI) and the low-inequity condition (LI) according to the amount of self/other-payoff differences implemented in the unequal option of each binary choice (*SI Appendix, Table S2*). This procedure of choice classification was independent of participants' actual choices, resulting in a balanced design for fMRI analysis. In close correspondence to the behavioral analysis, we

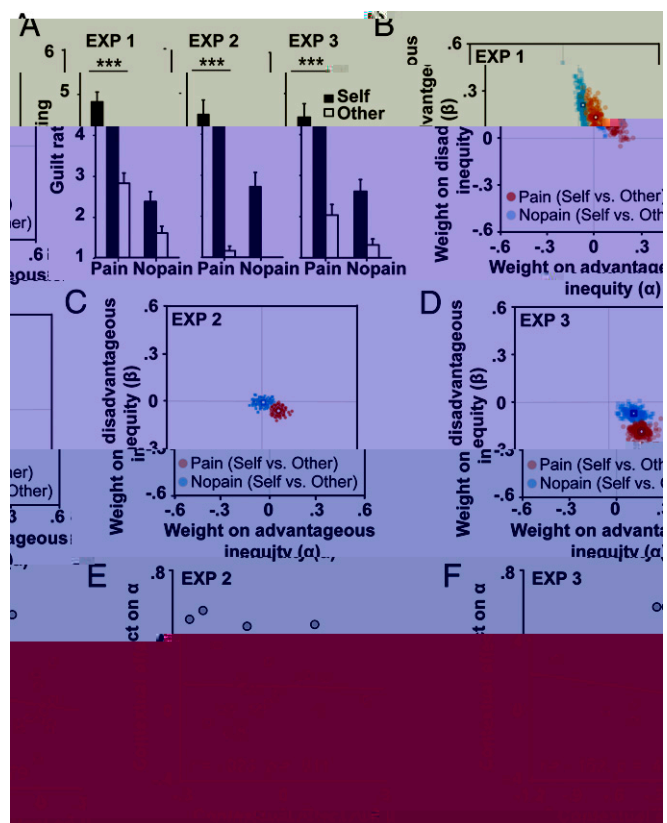


Fig. 3. Behavioral results. (A) Significant 2 (Agent: Self vs. Other) \times 2 (Outcome: Pain vs. Nopain) interaction effects were observed for postscan guilt ratings in all of the three experiments. Participants felt guiltier when they themselves inflicted the pain upon the coplayers (Self_Pain) than when the coplayers themselves inflicted the pain (Other_Pain); this Agent effect was decreased in Nopain conditions (Self_Nopain vs. Other_Nopain), demonstrating the robustness and validity of our paradigm to induce guilt. (B–D) Group-level model-based results for participants' choices during DG in experiments 1, 2, and 3, respectively. The x-axis and y-axis represent the weight on advantageous inequity (α) and the weight on disadvantageous inequity (β), respectively. The red dots represent the difference between bootstrap pseudosample estimates ($M_{Self_Pain} - M_{Other_Pain}$) for the Self_Pain condition and the Other_Pain condition, while the blue dots represent the difference between bootstrap pseudosample estimates for the Self_Nopain condition and the Other_Nopain condition. Thus, the location of red dots relative to blue dots captures the interaction effect between Agent and Outcome [i.e., the guilt effect: (Self_Pain – Other_Pain) > (Self_Nopain – Other_Nopain)] on α and β . In all three experiments, red dots move down-right relative to the blue dots (i.e., increased α and decreased β), indicating that when participants felt guilty, their advantageous-inequity aversion increased and their disadvantageous-inequity aversion decreased, compared with other conditions. (E and F) Individual-level model-based results for participants' choices during DG in experiments 2 and 3, respectively. The x-axis represents the contextual effect [i.e., (Self_Pain – Other_Pain) – (Self_Nopain – Other_Nopain)] on individual weight on disadvantageous inequity (β). The y-axis represents the contextual effect on individual weight on advantageous inequity (α). Results showed that the contextual effects on α and β were uncorrelated with each other in both experiments, suggesting that individuals with a higher contextual effect on α did not necessarily have the same trend for β . Error bars represent SEM. *** $P < 0.001$.

established hypotheses for fMRI analysis showing the potential response patterns for brain regions that were involved in advantageous- and disadvantageous-inequity aversion processing (Fig. 4). Specifically, given the increased advantageous-inequity aversion observed in the Self_Pain condition, we hypothesized that brain regions involved in context-dependent processing of advantageous inequity would show greater sensitivity to advantageous inequity

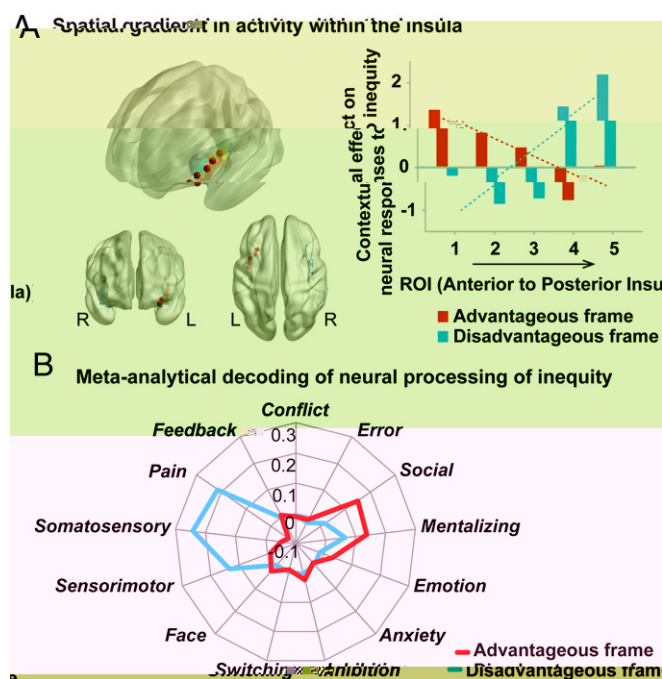


Fig. 6. (A) Spatial gradient for context-dependent inequity processing. Five regions of interest (ROIs) were defined along the axis from the left aINS to the left pINS (Fig. 1), which were identified in the whole-brain analysis for the advantageous and disadvantageous frames. For each ROI, we extracted the β estimates for each condition in the advantageous frame and the disadvantageous frame, respectively, using fMRI data without smoothing in data preprocessing (Fig. 1). In each frame and for each ROI, we computed the contextual effect on neural responses to inequity, taking it as the absolute value of the Agent by Outcome by Inequity level three-way interaction effect [(Self_Pain_HI > Self_Pain_LI) – (Self_Nopain_HI > Self_Nopain_LI) – (Other_Pain_HI > Other_Pain_LI) + (Other_Nopain_HI > Other_Nopain_LI)] (HI represents high-inequity condition, and LI represents low-inequity condition). We then put the values into a 2 (frame: Advantageous vs. Disadvantageous) \times 5 (ROI locations) repeated-measures ANOVA. Results showed that the contextual effect on neural responses to inequity in the disadvantageous frame became stronger in more posterior ROIs, whereas the contextual effect on neural responses to inequity in the advantageous frame became stronger in more anterior ROIs. Dotted lines indicate linear fits of the spatial gradient for advantageous (red) and disadvantageous (blue) frames. (B) Meta-analytical decoding of neural processing of inequity. Results of metaanalytical decoding using Neurosynth Image Decoder (54) demonstrated that the processing of advantageous inequity is associated with terms related to “social” and “mentalizing,” while the processing of disadvantageous inequity is associated primarily with “somatosensory,” “pain,” and “sensorimotor” terms.

these ROIs were located on the insula template of automated anatomical labeling (53) due to the curvy shape of the insular cortex (final MNI coordinates of the five ROIs: [–30, 20, –17], [–33, 14, –11], [–39, 8, –5], [–40, 2, 1], [–42, –4, 7]). For each ROI, we extracted the β estimates for each condition in the advantageous frame and the disadvantageous frame, respectively, using fMRI data without smoothing in data preprocessing. In each frame and for each ROI, we computed the contextual effect on neural responses to inequity, taking it as the absolute value of the Agent \times Outcome \times Inequity level three-way interaction effect [(Self_Pain_HI > Self_Pain_LI) – (Self_Nopain_HI > Self_Nopain_LI) – (Other_Pain_HI > Other_Pain_LI) + (Other_Nopain_HI > Other_Nopain_LI)]. We then put the values into a 2 (frame: Advantageous vs. Disadvantageous) \times 5 (ROI locations) repeated-measures ANOVA. Results showed a clear spatial distinction in the context-dependent processing of advantageous- vs. disadvantageous-inequity aversion, with a significant interaction between frame and ROI location [$F_{(4, 100)} = 4.319$, $P = 0.003$] (Fig. 6A,

Right). The contextual effect on neural responses to inequity in the disadvantageous frame became stronger in more posterior ROIs, with a linear increase from left aINS to left pINS [$F_{(1, 25)} = 5.084$, $P = 0.033$]; the contextual effect on neural responses to inequity in the advantageous frame became stronger in more anterior ROIs, but the linearity did not reach significance [$F_{(1, 25)} = 1.946$, $P = 0.175$]. The results remained the same using smoothed data (SI Appendix, Fig. S4).

Differential Psychological Component Associated with Advantageous- and Disadvantageous-Inequity Processing. To investigate whether the context-dependent processing of advantageous and disadvantageous inequity were associated with differential psychological components, we metaanalytically decoded these two processes using the Neurosynth Image Decoder (neurosynth.org; ref. 54); this allowed us to quantitatively evaluate the representational similarity (27) between any Nifti-format brain image and selected metaanalytical images generated by the Neurosynth database. Using this online platform, we compared the unthresholded contrast maps in advantageous and disadvantageous frames against the reverse inference metaanalytical maps for 13 terms related to the processing of inequity (11, 12) and the function of insula (55) generated from this database. Results demonstrated that the processing of advantageous inequity was associated with terms related to “social” and “mentalizing,” while the processing of disadvantageous inequity was associated primarily with “somatosensory,” “pain,” and “sensorimotor” terms (Fig. 6B).

Functional Connectivity of the pINS in the Disadvantageous Frame.

To test the probability that the processing of context-dependent advantageous- and disadvantageous-inequity aversion relies not only on neural activities but also functional connectivities between brain regions, we performed a psychophysiological interaction analysis (PPI) (56) focusing on left aINS, rDLPFC, and DMPFC identified for the advantageous frame and left pINS identified for the disadvantageous frame. When left pINS was used as the seed, results revealed significant Agent by Outcome by Inequity level three-way interactions on the functional connectivity between left pINS and dACC (peak coordinate extracted from Neurosynth metaanalysis for “conflict” term: [–6, 20, 34]; max T value = 3.59; cluster size = 79 voxels; Fig. 7A, I, and SI Appendix, Table S8), and between left pINS and right amygdala (peak coordinate extracted from Neurosynth metaanalysis for “emotion” term: [27, 2, –20]; max T value = 3.09; cluster size = 18 voxels; Fig. 7A, II, and SI Appendix, Table S8) [small volume correction (SVC), $P_{FWE} < 0.05$, following an initial threshold of $P < 0.005$, uncorrected]. Specifically, compared with Self_Nopain condition, the contrast between the high-inequity (HI) and the low-inequity (LI) conditions in left pINS–dACC connectivity and left pINS–right amygdala connectivity decreased in the Self_Pain condition [dACC: $F_{(1, 25)} = 5.068$, $P = 0.033$, right amygdala: $F_{(1, 25)} = 5.767$, $P = 0.024$], while no difference was observed between the Other_Pain and Other_Nopain conditions [dACC: $F_{(1, 25)} < 0.001$, $P = 0.983$, right amygdala: $F_{(1, 25)} = 0.275$, $P = 0.604$]. These results were consistent with the decreased disadvantageous-inequity aversion in Self_Pain condition suggested by behavioral results. PPI analyses with seeds identified in the advantageous frame failed to survive the whole-brain cluster-level threshold and SVC.

Neural Correlate of Individual Difference in Contextual Effect on Advantageous- and Disadvantageous-Inequity Aversion. We further investigated the neural correlates of individual differences in the contextual effects on advantageous- and disadvantageous-inequity aversion. Here, the strength of neural adjustment was defined as the value of the Agent by Outcome by Inequity level three-way interaction [(Self_Pain_HI > Self_Pain_LI) – (Self_Nopain_HI > Self_Nopain_LI) – (Other_Pain_HI > Other_Pain_LI) + (Other_Nopain_HI > Other_Nopain_LI)]. Given the opposite behavioral and neural interaction effects observed in the advantageous and disadvantageous frames, here, for the advantageous frame, the larger this value of

interaction, the stronger the neural adjustment; for the disadvantageous frame, the smaller this value of interaction, the stronger the neural adjustment. The individual difference in sensitivity to guilt context [i.e., guilt proneness assessed by the Guilt and Shame Proneness scale (GASP) (*Materials and Methods*)] was related to the strength of neural adjustment in

that plays an important role in emotional processing (65). Patients with the post-traumatic stress disorder symptom of hyperarousal have hyperconnectivity between pINS and amygdala, indicating the involvement of pINS–amygdala connectivity in emotional responses (66). Interoceptive awareness, which is mainly represented in pINS (58, 67), modulates the emotional responses to unfair proposals in UG (68). Here, we found that not only pINS activity but also its functional connectivity with amygdala showed significant interactions between context and disadvantageous-inequity level.

In contrast to the absence of aINS activity in the disadvantageous frame, we observed context-dependent responses in aINS for the advantageous frame. In DG, the advantageous-inequity aversion is usually interpreted as resulting from the anticipated “guilt” feeling, that is, the negative feeling induced by norm violation (e.g., earning more than others) (2, 45, 46). Chang et al. (69) suggested the role of aINS in minimizing anticipated guilt and motivating adherence to the perceived social norm in trust game. Consistently, previous work on social conformity has revealed the involvement of aINS (70, 71), indicating that one function of aINS is to track deviations from the perceived social norm and bias actions to maintain adherence to this norm. This proposal can also be applied to a series of studies demonstrating the involvement of aINS in deciding to reject unfair offers in UG (11–13). Our results extend the role of aINS and demonstrate its involvement in adjusting advantageous-inequity aversion (or the anticipated guilt) according to social contexts. Taking into account the functions of aINS suggested by the aforementioned studies, we suggest that the increased aINS responses to advantageous inequity when individuals inflict pain upon others reflect their increased sensitivity to anticipated norm violation for choosing advantageous options; this anticipation might prevent them from actually choosing these options.

Neural Correlate of Context-Dependent Advantageous-Inequity Aversion. In addition to aINS, two regions that play critical roles in social decision making, DMPFC and rDLPFC, were identified for the advantageous frame. DMPFC is primarily related to the understanding of other’s mental states (i.e., mentalizing) (for a review, see ref. 15). Given that the ability of mentalizing (i.e., understanding the other’s feeling of being hurt in the interpersonal transgression context) is a foundation of guilt experience (41, 72), it seems natural to extend the mentalizing process to the processing of the anticipated feeling of “guilt,” that is, the advantageous-inequity aversion (2, 45, 46). The recruitment of DMPFC in the context-dependent processing of advantageous inequity here may help individuals to accurately anticipate the coplayer’s feelings of disappointment in getting less across different contexts and adjust their behaviors according to contexts.

Disadvantageous-inequity aversion emerges in early childhood, whereas advantageous-inequity aversion emerges in late childhood, as the latter may require the development of behavioral-control-related brain regions to support norm compliance (for a review, see ref. 6). Consistently, a behavioral study demonstrated that rejecting advantageous inequity requires more cognitive resources than rejecting disadvantageous inequity (73). Here, we provide neural evidence that DLPFC, a region implicated in cognitive control (21) and social norm compliance (74–76), contributes to the adjustment of advantageous-inequity aversion to social contexts. Moreover, individuals with greater neural adjustments in DLPFC activity were associated with higher sensitivity to guilt context in daily life. These findings are congruent with the suggestion that robust cognitive control allows for responding to the dynamically changing environments with increased flexibility (77). Taken together, our findings demonstrate the “social” nature underpinning the context-dependent processing of advantageous in-

were satisfied with the advantageous outcomes due to the context of competition. In contrast, in the current study, the setting that the coplayer may pay for the participant's mistakes created a cooperative relationship, and the participant put negative values on advantageous inequity (positive parameter α) in all of the four conditions, which may explain the absence of reward-related regions. Thus, an empirical question for future research is which psychological and neural mechanisms support the transition from advantageous status enjoyment to advantageous status aversion.

Finally, the ability to flexibly integrate contextual information and adjust decisions and behaviors accordingly is a crucial skill underlying successful social interactions (39, 40, 77). Understanding how individuals make behavioral and neural adjustments to the social context provides valuable insights regarding certain social dysfunctions, such as autism (82) or psychopathy (83), which are associated with reduced sensitivity to social signals. Our results suggest that the strength of neural adjustments in rDLPFC in the advantageous frame and dACC in the disadvantageous frame are correlated with individuals' sensitivity to the guilt context in daily life. Future research is needed to test whether these individual differences in neural adjustment can be applied to other social contexts that influence inequity aversion or social dysfunction.

In summary, our findings shed light on how social and economic contexts are taken into account in social decision making and suggest that the resistance to unequal situations when individuals are in disadvantageous or low status may stem from their emotional responses, whereas the resistance to unequal situations when individuals are in advantageous or high status may require the involvement of advanced cognitive functions, such as mentalizing and cognitive control.

Materials and Methods

Participants. In total, 37 (25 females), 28 (17 females), and 34 (21 females) healthy graduate and undergraduate students were recruited for experiments 1, 2, and 3, respectively. All of the experiments were carried out in accordance with the Declaration of Helsinki and were approved by the Ethics Committee of the School of Psychological and Cognitive Sciences, Peking University. Informed written consent was obtained from each participant before each experiment.

DG. Two versions of DG were used. In experiment 1, for each choice, the participant received an endowment and could unilaterally choose to give any integer amount of tokens (from 0 to the amount of endowment) to the coplayer (50). The relative cost and benefit of giving were manipulated by independently varying how much each token was worth to the participant and the coplayer (SI Appendix, Table S1). This DG enabled us to conduct model fitting at the group level. To further conduct model fitting at the individual level and to dissociate advantageous and disadvantageous frames, we developed a binary choice version of DG in experiments 2 and 3. Each binary choice consisted of two options representing the payoffs that the participant and the coplayer would earn. One option was always "10 points for me, and 10 points for the coplayer," and the other option was an unequal option with

different values in each trial. Two types of unequal options were implemented corresponding to the two types of inequity (SI Appendix, Table S2). In both versions of the DG, one trial was selected randomly and actualized after the experiment, determining the final payoffs for the participant and the coplayer.

Computational Modeling. In the Fehr–Schmidt inequity aversion model (2, 50), we defined the subjective value function as follows:

$$U = M - \gamma \cdot \alpha \cdot (M - M') - \gamma \cdot \beta \cdot (M' - M),$$

where M and M' refer to self- and other-payoff, respectively, and γ and α are indicator functions: $\gamma = 1$ if $M \geq M'$ (advantageous inequity), and 0 otherwise; and $\alpha = 1$ if $M < M'$ (disadvantageous inequity), and 0 otherwise. Thus, α and β quantify subjective aversion to inequity under advantageous and disadvantageous frames, respectively.

Additional Measure. Each participant was asked to complete the GASP (84) after the fMRI experiment. This scale measures individual differences in the proneness to experiencing guilt and shame across a range of personal transgressions in daily life. Individuals with higher scores in the guilt–negative-behavior evaluation (NBE) subscale of GASP feel guiltier after harming others and are more empathic and altruistic than those with lower guilt–NBE scores. In the current study, participants' guilt proneness, reflected by scores on guilt–NBE in GASP, was used as an index for individual's sensitivity to interpersonal guilt in daily life; these guilt proneness scores were used to investigate the neural correlates of individual differences in the contextual effects on advantageous- and disadvantageous-inequity aversion.

fMRI Data Acquisition and Analysis. Images were acquired using a GE Healthcare 3.0-T Medical Systems Discovery MR 750 with a standard head coil. We used standard preprocessing in SPM8 (Wellcome Trust Centre for Neuroimaging) and estimated three GLMs for each participant that focused on the neural responses during DG. For whole-brain analyses, all results were corrected for multiple comparisons using the threshold of voxel-level $P < 0.001$ (uncorrected) combined with cluster-level threshold $P < 0.05$ [familywise error (FWE) corrected]. This threshold provides an acceptable family error control (85, 86). SVC was conducted using a cluster-level threshold $P < 0.05$ (FWE corrected), following an initial threshold of $P < 0.005$ (uncorrected). The small volumes of dACC and amygdala were defined as spheres with 10-mm radius, centered on the peak MNI coordinates extracted from the metaanalyses on the "emotion" and "conflict" terms in the Neurosynth database. A detailed description of methods including participants, procedures, computational modeling, and fMRI data analyses are given in SI Appendix.

Note. The behavioral part of this study was presented in a poster at the annual meeting of the Social and Affective Neuroscience Society 2016 (New York, April 28 to May 2, 2016). The whole study was presented as a talk at the Society for Neuroeconomics Annual Conference 2017 (Toronto, October 6–8, 2017).

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