



**Late Ordovician (Katian) graptolites and shelly fauna from
the Phu Ngu Formation, north-east Vietnam**

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48
49 TK, MW, HDD, HTT, HBN, and MTN initiated the project and collected the graptolites. TK
50
51 produced Figures 1 and 5; CS drafted Figures 2, 7 and 9; TWWH drafted Figures 3, 4 and 8; CS and
52
53 TWWH drafted Figure 6. TWWH, MW and AR prepared the manuscript with contributions from all
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55 authors.
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Late Ordovician (Katian) graptolites and shelly fauna from the Phu Ngu Formation, north-east Vietnam

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3 **Abstract.** Two new graptolite assemblages are identified from discrete intervals within the Phu
4 **Ngu Formation, Na Ri District, Bac Kan Province, north-east Vietnam. The graptolites occur in**
5 **laminated mud/siltstones thought to be distal turbidite deposits. A low-diversity diplograptid**
6 ***sensu lato* assemblage occurs in mud-rich layers which are interlaminated with silty and sandy**
7 **horizons containing the dendroid graptolite *Dictyonema* sp. This level also contains orthoconic**
8 **nautiloids and conulariids. A few metres stratigraphically above, a second more diverse**
9 **graptolite assemblage comprises a single *Dicellograptus*, tentatively identified as *D. flexuosus*,**
10 **together with *Climacograptus dorotheus* and *Orthograptus truncatus pauperatus* in mud and silt**
11 **laminae that also yield brachiopods, orthoconic nautiloids, conulariids, fragmentary trilobites,**
12 **and ostracods. The ostracods include the first East Asian occurrence of the typically Baltic**
13 **genus *Kinnekullea*, and we describe the new species *Kinnekullea gaia*. The graptolites suggest a**
14 **Late Ordovician Katian age, most probably in the *Dicranograptus clingani* Biozone, this being**
15 **older than previous biostratigraphical constraints on the Phu Ngu Formation.**

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32 **Keywords:** biostratigraphy, graptolites, nautiloids, Ordovician, ostracods, Vietnam

33 34 35 36 **Introduction**

37
38 The Paleozoic faunas of northern Vietnam have been documented since the time of the French
39 Colonial Survey in the early 20th Century (Mansuy, 1915). Recent efforts have been made to revise
40 and refine aspects of Vietnamese lower Paleozoic biostratigraphy, in particular in the Lower
41 Ordovician strata of north-east Vietnam (Rushton *et al.*, 2017), and the Silurian strata of central and
42 north-east Vietnam (Williams *et al.* 2016; Saporin *et al.* in press). Here we describe a new Late
43 Ordovician graptolite and shelly fauna from rocks of the Phu Ngu Formation in the Na Ri district of
44 north-east Vietnam (Figures 1, 2). The fossils include brachiopods, conulariids, graptolites, orthoconic
45 nautiloids, trilobites and ostracods, and represent an assemblage entirely new to this region.
46 Graptolites are geographically and stratigraphically widespread throughout the Ordovician, Silurian,
47 and Lower Devonian rocks of Vietnam and have been used to help establish a biostratigraphic scheme
48 for the country (Nguyen Van Phuc, 2002; Tổng Duy Thanh and Vu Khuc, 2011; Tổng Duy Thanh *et*
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3 *al.*, 2013). However, much of the existing work is based on specimens which have not been figured,
4 making it difficult to assess the resilience of this biostratigraphic framework. Ostracods are not
5 previously documented from the Ordovician of Vietnam, but elsewhere the group has proven very
6 useful for establishing biogeographical patterns for that period (Schallreuter and Siveter, 1985;
7 Vannier *et al.*, 1989; Williams *et al.*, 2003a).

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9 We provide taxonomic notes for the various fossil groups identified, and formal descriptions of
10 a new ostracod species. The new fossil data enable a revision of the stratigraphic range of the Phu
11 Ngu Formation in northern Vietnam, which has generally been considered to belong to the Upper
12 Ordovician and lower Silurian (Tống Duy Thanh and Vu Khuc, 2011; Tống Duy Thanh *et al.*, 2013),
13 but with an uncertain lower age constraint.

24 25 **Geological setting and previous work**

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27 The northern part of Vietnam was a component of the South China paleocontinent during the
28 early Paleozoic (Tống Duy Thanh and Vu Khuc, 2011; Torsvik and Cocks, 2013). Within this region
29 the Bac Bo Province can be divided into three geological zones; the northernmost Eastern Bac Bo
30 Zone contains the Na Ri District of the Bac Kan Province. The Eastern Bac Bo Zone is bound to the
31 south and west by the Western Bac Bo Zone (separated by the Song Chay Fault), and to the east by
32 the Quang Ninh Zone (Figure 1, 2; Tống Duy Thanh *et al.*, 2013). The lower Paleozoic Phu Ngu
33 Formation (Figure 2) crops out regionally in the Eastern Bac Bo Zone and comprises a predominantly
34 siliciclastic succession, approximately 2300 m to 2400 m thick at the type section, with three more-
35 argillaceous lower subunits and three sandier upper subunits, which incorporate mafic and felsic
36 volcanic rocks, respectively (Tống Duy Thanh and Vu Khuc, 2011; Tống Duy Thanh *et al.*, 2013).
37 The Phu Ngu Formation is thought to have been deposited in a deep marine forearc basin setting on
38 the slope of the Paleotethys Ocean during the Late Ordovician and Silurian (Tống Duy Thanh and Vu
39 Khuc, 2011; Tống Duy Thanh *et al.*, 2013).

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41 In the Na Ri District, the Phu Ngu Formation crops out as approximately 250 m of grey and
42 green-grey mudstones, black mudstones, and sandy mudstones (Tống Duy Thanh *et al.*, 2013).
43 However, accurately identifying the stratigraphic positions of localities within the Phu Ngu Formation

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3 in the Na Ri District is complicated by dense vegetation which limits exposure, and by the likely
4 presence of faults between exposures. *Tống Duy Thanh et al.* (2013) reported several Ordovician and
5 Silurian graptolite taxa from the lower Phu Ngu Formation of the Na Ri region, namely:
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7 *Climacograptus* sp., *C. cf. scalaris*, *Diplograptus*, *Glyptograptus*, and *Ptilograptus*, but these
8 graptolites were not figured. In addition, *Tống Duy Thanh and Vu Khuc* (2011, p. 86) reported but did
9 not figure *Dictyonema* and *Climacograptus* (= *Amplexograptus* according to Riva 1988) *latus* from the
10 Na Ri region outcrops. The genera *Climacograptus*, *Glyptograptus*, and *Monoclimacis* were also
11 reported from the stratotype section of the Phu Ngu Formation (*Tống Duy Thanh et al.*, 2013).
12 Previously, *Nguyen Van Phuc* (2002) had reported two distinct assemblages from near Na Dam
13 (sometimes referred to as ‘Nazam’), in the Na Ri District: (1) comprising ‘*Diplograptus bohemicus*’
14 (likely = *Normalograptus ojsuensis* in South China and hence in Vietnam, following *Chen et al.*,
15 2005), ‘*Diplograptus*’ (= *Normalograptus*) *ojsuensis*, *Glyptograptus daedatus*, *G. elegantulus*, and
16 *Normalograptus bicaudatus*; and (2) comprising ‘*Glyptograptus*’ (= *Normalograptus*) *persculptus*, *G.*
17 *gracilis*, *G. elegantulus*, *N. madernii*, *Dictyonema cf. compactum*, and *Thallograptus* sp. None of
18 these graptolites have been figured.

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20 If the identifications are accurate, the strata bearing ‘*Climacograptus*’ (= *Normalograptus*) cf.
21 *scalaris* and *Monoclimacis* are likely to be of early Silurian age (*Tống Duy Thanh et al.*, 2013). The
22 first assemblage of *Nguyen Van Phuc* (2002) including *N. ojsuensis* may belong to the *N.*
23 *extraordinarius*-*N. ojsuensis* Biozone (see *Chen et al.*, 2005), and the second assemblage, including
24 ‘*Glyptograptus*’ (= *Normalograptus*) *persculptus*, may belong to the *N. persculptus* Biozone. These
25 two assemblages would therefore be early and late Hirnantian (Late Ordovician) in age, respectively
26 (Cooper *et al.*, 2012), and these strata of the Phu Ngu Formation would therefore reflect depositional
27 conditions during the icehouse climate of the Hirnantian. Although broadly Late Ordovician to
28 Silurian in age, the precise stratigraphic range of the Phu Ngu Formation remains poorly constrained,
29 as do the ages of individual outcrops of this formation across northern Vietnam (*Nguyen Van Phuc*,
30 2002; *Tống Duy Thanh et al.*, 2013). This hampers a broader understanding of its along-strike
31 lithofacies variation and temporal evolution.

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3 The fossil specimens examined in this study were collected from two roadside localities,
4 separated by approximately 100 m, in the Na Ri District near the village of Na Dam (Figure 1), close
5 to the 'Nazam' Section 25 of Nguyen Van Phuc (2002). At both localities, strata dip at approximately
6 40° to the east. Locality 1 comprises black mudstones interlaminated with lighter-coloured siltier and
7 fine sand-rich layers, sandwiched between greenish-grey to grey mudstones (Figure 1). This locality
8 yields graptolites, orthoconic nautiloids and conulariids. Locality 2 (see Figure 1) is stratigraphically
9 above Locality 1 and comprises beige-coloured sandy mudstones that yield graptolites, ostracods,
10 orthoconic nautiloids, conulariids, brachiopods and trilobites. A 5 m stratigraphical interval with no
11 exposure separates the two localities (Figure 1).
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24 **Materials, methods, and repositories**

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26 Figured specimens from this paper are curated in the collection of the Vietnam National
27 Museum of Nature, Hanoi (Table 1). Graptolites from Locality 1 (Figure 3) are preserved as flattened
28 specimens with a slight tectonic overprint discernible. Graptolite specimens from Locality 2 (Figure
29 4) are preserved either as flattened remains preserving the periderm, or three-dimensionally by iron
30 hydroxide, likely after pyrite. There is no tectonic overprint on the specimens from Locality 2. The
31 shelly fauna is preserved as moulds, the original shell material having decomposed.
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39 Graptolites and other fossil specimens were examined using reflected light microscopy and,
40 where necessary, were developed using a fine mounted needle. All specimens were photographed
41 using a Canon EOS 5D DSLR camera which was mounted to a Leitz Aristophot apparatus with Leica
42 12 mm Summar lens for high magnification photography. Graptolite illustrations were drawn in
43 pencil using a camera lucida attached to a Wild Heerbrugg M8 binocular microscope; the pencil
44 drawings were traced in ink and digitised. Photographs and camera lucida drawings were used to
45 make precise measurements of and identify the graptolite specimens. Graptolite biozones are
46 established based on the known biostratigraphical ranges of key species, especially biozonal index
47 species.
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57 Ostracods are preserved as moulds on rock slabs, so silicone casts were made using 'Silcoset
58 101'. Due to the heavily weathered rock surface and high porosity, the specimens were first
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3 consolidated using a solution of 1% 'Paraloid B72' in acetone. To further prevent the silicone from
4 adhering to the specimen 'Ambersil HD' silicone release agent was applied to the consolidated
5 surface prior to applying the Silcoset with a syringe. Positive internal moulds on the surface of slabs
6 could not be directly imaged with SEM due to the high porosity preventing the use of gold coating.
7 Therefore, epoxy replicas of these specimens were made from the silicone casts, using a black epoxy
8 resin placed in a pressure chamber at 2 bar overnight to reduce bubbles. The resulting silicone and
9 epoxy casts were gold-coated and stereo-images taken using a Hitachi S-3600N environmental
10 scanning electron microscope in the University of Leicester School of Geography, Geology and the
11 Environment.

Graptolite biostratigraphy

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26 Previous work on the Phu Ngu Formation has identified graptolites of the *Normalograptus*
27 *extraordinarius*-*N. ojsuensis* and *N. persculptus* biozones (latest Ordovician), as well as the
28 definitively Silurian genus *Monoclimacis* (Nguyen Van Phuc, 2002; Tống Duy Thanh and Vũ, Khúc,
29 2011; Tống Duy Thanh *et al.*, 2013). The graptolite-bearing section examined here is close to Section
30 25 of Nguyen Van Phuc (2002) who identified two different graptolite assemblages in the Phu Ngu
31 Formation in Na Ri, both of Hirnantian (latest Ordovician) age. We also recovered two different
32 graptolite faunas from the Phu Ngu Formation outcrops in Na Ri, a stratigraphically lower fauna from
33 the black mudstones of Locality 1 (Figures 1, 3), and an upper, more diverse, fauna from the sandy
34 mudstones of Locality 2 (Figures 1, 4).

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45 Normalograptids dominate the low-diversity assemblage of Locality 1 (Figure 3). The majority
46 of these are identified as *Normalograptus* (formerly *Glyptograptus*) *daviesi* (Williams 1982), though
47 other *Normalograptus* species are present. Graptolites of the dendroid (acanthograptid) *Dictyonema*
48 are also found at Locality 1, though they are exclusive to the silty and sandy laminae and therefore
49 likely belong to an allochthonous fauna only brought deeper into the basin during events of rapid
50 deposition (Figures 5, 6A, C-E). Species-level identification of these *Dictyonema* has not been
51 possible, and their use for biostratigraphy is limited. The presence of *N. daviesi* is indicative of the
52 *Dicranograptus clingani* Biozone (Zalasiewicz *et al.*, 1995, 2009), which is divided into lower
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3 *Ensigraptus caudatus* and upper *Dicellograptus morrisoni* subzones. *Normalograptus daviesi* has been
4 used as a marker of the *morrisoni* Subzone in the Southern Uplands of Scotland (Williams, 1982;
5 Zalasiewicz *et al.*, 2009), though a similar form may occur in the underlying *caudatus* Subzone at
6 Whitland, Wales (Zalasiewicz *et al.*, 1995).
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11 The graptolite fauna of Locality 2 (Figure 4) has greater taxonomic diversity, though lower
12 specimen abundance, than that of Locality 1. Alongside *Climacograptus* and *Orthograptus* species is
13 a single *Dicellograptus*, tentatively identified as *D. flexuosus* Lapworth 1876 which may be indicative
14 of the *morrisoni* Subzone (Zalasiewicz *et al.*, 1995), though it is found in the underlying *caudatus*
15 Subzone in southern Wales (Williams *et al.*, 2003b). There are other biostratigraphically informative
16 species at Locality 2, including *Climacograptus dorotheus* Riva 1976 which is diagnostic of the
17 *morrisoni* Subzone in the Southern Uplands of Scotland (Zalasiewicz *et al.*, 1995), but is found more
18 widely throughout the *clingani* Biozone in Wales where the subzones are not well established
19 (Williams *et al.*, 2003b). The occurrence of a specimen likely referable to *Orthograptus truncatus*
20 *pauperatus* Elles and Wood 1907 provides further support for a *clingani* Biozone age, though as this
21 species also occurs throughout both subzones in Wales and possibly also in Scotland (Williams, 1982;
22 Williams *et al.*, 2003b; Zalasiewicz *et al.*, 2009) it does not help refine the graptolitic age estimate of
23 these two localities. The co-occurrence of a low-diversity normalograptid-dominated assemblage and
24 a higher diversity *Dicellograptus*-climacograptid-orthograptid assemblage may find a comparison in
25 the Upper Ordovician strata of Scotland and Wales (Zalasiewicz *et al.*, 1995; and Williams *et al.*,
26 2003b, respectively).
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45 Only tentative graptolite biozone assignments can be justified at this stage, but there is
46 sufficient evidence to support revising the graptolite age of the lower part of the Phu Ngu Formation
47 in the Na Ri District from the *Normalograptus extraordinarius*-*N. ojsuensis* and *N. persculptus*
48 graptolite biozones (early and late Hirnantian, respectively) to the *Dicranograptus clingani* Biozone
49 (early Katian). Although the assemblage of Locality 2 is most strongly associated with the
50 *Dicellograptus morrisoni* Subzone, further collecting is required to fully resolve the subzone affinities of
51 these strata.
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Regional correlation based on graptolites

Correlation of lower Paleozoic strata across Vietnam is hampered by a lack of well-documented graptolites and other fossils regionally (but see Figure 2). Although the Tan Mai and Co To formations are described as Middle to Upper Ordovician, no diagnostic taxa younger than the early Silurian are known (Tống Duy Thanh *et al.*, 2013). The same is true of the Song Ca Formation, farther south in the Viet Laos Region of central Vietnam (Tống Duy Thanh and Vu Khuc, 2011). The Long Dai Formation in the Viet Laos Region preserves both Early Ordovician and early Silurian graptolite faunas, but Middle and Late Ordovician graptolites are unrecorded (Tống Duy Thanh and Vu Khuc, 2011).

Correlating these lower Paleozoic strata more widely across the South China paleocontinent is challenging. The Sandbian-Katian boundary in the Yangtze region lies within the non-graptolitic, mostly calcareous, Pagoda Formation (Chen *et al.*, 2010). The *Nemagraptus gracilis* graptolite Biozone is known from the underlying Miaopo Formation, and the local *Dicellograptus elegans* Biozone (correlated to the *Pleurograptus linearis* Biozone) has been identified in the overlying graptolite-sparse Linxiang (Linhsiang) Formation. Chen *et al.* (2017a) also recorded a slightly higher upper Katian graptolite assemblage of the *Dicellograptus complexus* Biozone, correlated to the *D. ornatus* Biozone, from the Wufeng Formation, and the *ornatus* Biozone has also been recognised in the uppermost Linxiang and Wufeng formations in a drill core from the Yichang region of South China (Maletz *et al.*, 2019). However, graptolites of the highest Sandbian and lowest Katian biozones have not been recovered from these successions in South China (Chen *et al.*, 2010, Maletz *et al.*, 2019). Therefore, strata of the Phu Ngu Formation provide an important early Katian graptolite age constraint on the South China paleocontinent.

Correlation with strata of the North China paleocontinent is more promising. *Dicellograptus flexuosus* is known from the *Climacograptus spiniferus* Biozone of North China, coming in above the *Ensigraptus caudatus* Biozone (Chen *et al.*, 2017b). The *caudatus* and *spiniferus* biozones of Australasia are correlated with the *caudatus* and *morrissi* subzones of the *Dicranograptus clingani* Biozone of Britain (Cooper *et al.*, 2012). This provides further support for the hypothesis that Locality

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3 2 lies within the upper part of the *clingani* Biozone. However, species of this interval in the
4 Australasian region, such as *Amplexograptus praetypicalis* Riva 1987, *Climacograptus*
5 (*Diplacanthograptus*) *lanceolatus* VandenBerg 1990, and *Climacograptus* (*Diplacanthograptus*)
6 (*Diplacanthograptus*) *lanceolatus* VandenBerg 1990, and *Climacograptus* (*Diplacanthograptus*)
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35 (*Diplacanthograptus*) *lanceolatus* VandenBerg 1990, and *Climacograptus* (*Diplacanthograptus*)
36 (*Diplacanthograptus*) *lanceolatus* VandenBerg 1990, and *Climacograptus* (*Diplacanthograptus*)
37 (*Diplacanthograptus*) *lanceolatus* VandenBerg 1990, and *Climacograptus* (*Diplacanthograptus*)
38 (*Diplacanthograptus*) *lanceolatus* VandenBerg 1990, and *Climacograptus* (*Diplacanthograptus*)
39 (*Diplacanthograptus*) *lanceolatus* VandenBerg 1990, and *Climacograptus* (*Diplacanthograptus*)
40 (*Diplacanthograptus*) *lanceolatus* VandenBerg 1990, and *Climacograptus* (*Diplacanthograptus*)
41 (*Diplacanthograptus*) *lanceolatus* VandenBerg 1990, and *Climacograptus* (*Diplacanthograptus*)
42 (*Diplacanthograptus*) *lanceolatus* VandenBerg 1990, and *Climacograptus* (*Diplacanthograptus*)
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46 (*Diplacanthograptus*) *lanceolatus* VandenBerg 1990, and *Climacograptus* (*Diplacanthograptus*)
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59 (*Diplacanthograptus*) *lanceolatus* VandenBerg 1990, and *Climacograptus* (*Diplacanthograptus*)
60 (*Diplacanthograptus*) *lanceolatus* VandenBerg 1990, and *Climacograptus* (*Diplacanthograptus*)

Non-graptolite fauna of the Phu Ngu Formation

17 Brachiopods, conulariids, orthoconic nautiloids, ostracods, and fragments of trilobites have
18 been recovered from the Phu Ngu Formation, in addition to graptolites. The graptolite and non-
19 graptolite faunas of Locality 1 are similarly depauperate. There is a single conulariid specimen
20 (Figure 6B) from the *Dictyonema*-bearing coarser-grained laminae, and abundant orthocone nautiloids
21 that occur in both the sandier-siltier and mud-rich layers. The conulariid specimen is at least 62 mm
22 long, missing the basal attachment, and is preserved as a flattened mould stained orange-brown,
23 presumably iron hydroxides after pyrite. Although the state of preservation hampers robust
24 identification of this specimen, it shares characteristics, such as a lack of nodes on the transverse ribs
25 and no evidence of inflection of the ribs at the interradii, with the genus *Conulariella* which is known
26 from Lower and Middle Ordovician strata in South China (Van Iten *et al.*, 2013). The orthoconic
27 nautiloids at Locality 1 (Figure 7A-E) likely belong to the genus *Michelinoceras*, though there is
28 insufficient siphuncular detail visible to allow a more precise identification.

43 The non-graptolite fauna of Locality 2 is more diverse than that of Locality 1, and includes
44 brachiopods, conulariids, orthocone nautiloids, ostracods, and trilobite fragments (Figures 8, 9). The
45 orthoconic nautiloids (Figure 8D) are more poorly preserved than those from Locality 1 but might
46 also belong to *Michelinoceras*. The conulariids from Locality 2 are smaller than the specimen from
47 Locality 1, though again poor preservation hampers identification. The brachiopods from Locality 2
48 are preserved as moulds (Figure 8A-C). They are all rhynchonelliforms, two of which are
49 strophomenids, possibly belonging to the cosmopolitan Ordovician genera *Leptellina* (Figure 8B) and
50 *Chonetoidea* (Figure 8C; see e.g. Zhan *et al.*, 2008; Popov and Cocks, 2014). A third specimen
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(Figure 8A) resembles an orthid brachiopod in gross morphology, though taxonomically useful features are obscured by an overlapping conulariid.

The ostracods are podocopes. The fauna is notable for the presence of a new species of *Kinnekullea* (Figure 9A-C). This genus is known from several species of Late Ordovician age, especially in the Baltic region. Other ostracod taxa include *Ordovizona?* sp. (Fig. 9D, F) and *Laterophores* sp. (Figure 9E).

Taphonomy and paleoecology of the fauna

Both dendroid and graptoloid graptolites are present at Locality 1, though they are preserved in different sedimentary layers. The graptoloids are densely packed on bedding planes in black mudstone layers (Figure 5). Their periderm has degraded and they are now preserved as mineral films, presumably of clay. These diplograptids *sensu lato* possess straight biserial rhabdosomes and sometimes show a preferred orientation, indicating some remnant current activity during deposition. In contrast, the dendroid *Dictyonema* occur in the yellow-weathering, thin coarse silty, silty-sand, and fine sand-rich laminae (Figures 5, 6A,C-E), some of which may show low-angle cross- and parallel-lamination. The conulariid and the better preserved orthoconic nautiloids of this locality also occur in the silty and sandy laminae. Orthoconic nautiloids are also found in the black mudstone sedimentary layers, though they are not well-preserved. The *Dictyonema* are mostly complete and are preserved as carbonaceous remnants of the original periderm.

At Locality 2, graptoloids occur sparsely in yellow-weathered mudstones and thin silty sandstones of turbiditic origin. Most of the graptoloids preserve a delicate carbonaceous layer, after the original periderm, and in some cases the three-dimensional structure is preserved by iron hydroxide, presumably after pyrite, filling the specimen cavities. Many graptoloids are nearly complete, though several miss their proximal end, which hampers firm identification. The shelly fauna at Locality 2 also includes weakly biomineralised phosphatic conulariids, which at both localities are preserved by iron hydroxide, presumably after pyrite. The originally calcareous taxa, including trilobites, brachiopods, orthoconic nautiloids, and abundant ostracods, have lost their calcite shells and are moulds with or without a coating of iron hydroxide, presumably after pyrite.

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3 The graptolite assemblages suggest a deep marine shelf or slope setting for the Phu Ngu
4 Formation at Na Ri. Overall this area appears to have had limited connection to the open ocean as
5 signaled by the low diversity of the diplograptid fauna in the mudstones at Locality 1. Similar, low-
6 diversity diplograptid faunas of this age have been documented elsewhere in Ordovician marine shelf
7 settings, for example in the Welsh Basin on the Avalonian microcontinent (Zalasiewicz *et al.*, 1995;
8 Williams *et al.*, 2003b). The greater diversity of the graptolite fauna at Locality 2, which includes a
9 single *Dicellograptus*, might signal greater oceanic influences (Williams *et al.*, 2003b), but notably
10 these graptolites are also associated with an ostracod assemblage – albeit likely transported – that
11 includes palaeocopids that strongly suggest a marine shelf (cf. Vannier *et al.*, 1989; Williams *et al.*,
12 2003a). Mixed ostracod and graptolite assemblages are noted elsewhere in mud- and silt-rich
13 lithofacies of the Late Ordovician, for example in the Girvan area of southern Scotland, where they
14 occur in deep shelf or continental slope settings of the early Paleozoic Laurentian margin (e.g. Floyd
15 *et al.*, 1999; Mohibullah *et al.*, 2011). A similar setting might be envisaged in Na Ri during the Late
16 Ordovician and would be consistent with the forearc basin setting interpreted for the Phu Ngu
17 Formation (Tống Duy Thanh and Vu Khuc, 2011; Tống Duy Thanh *et al.*, 2013), with the conulariids,
18 shelly fauna, and *Dictyonema* representing a more proximal benthic biota washed into this deeper
19 marine setting by turbidity currents. Unfortunately, the absence of precise biostratigraphical data
20 elsewhere in north-east Vietnam makes it difficult to correlate the lithofacies of the Phu Ngu
21 Formation at Na Ri over a wider area. Subsequent work should attempt targeted and systematic
22 collection for graptolites and may be fundamental for constraining the overall age of the Phu Ngu
23 Formation, and for identifying facies changes across its basin of deposition.

24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 **Taxonomic notes on the graptolite and shelly fauna**

50 51 **Graptolites**

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53 Herein we provide taxonomic notes germane to the identification of graptolites from the
54 sampled localities (see Table 1). The graptolites are illustrated in Figures 3, 4 and 6.

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57 Graptolites from Locality 1 identify a horizon within the *clingani* Biozone. *Normalograptus*
58 dominate the black mudstones. Three figured specimens compare favourably with *Normalograptus*
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3 *daviesi* (Williams 1982) (Figure 3A-C). These have simple to slightly introverted thecae with gently
4 convex walls typically inclined at 10° to 20° to the long axis of the specimen, though occasionally
5 reaching an inclination of 40°. Where the proximal end is well preserved there is a weakly developed
6 virgella. Where the distal end is well preserved, there is a prominent nema projecting at least 0.27 mm
7 to 0.45 mm beyond the final theca. The virgula produces a clear impression through the periderm. The
8 strong virgula and long nema can be identified in many of the other specimens on the black mudstone
9 bedding planes which are otherwise not sufficiently well-preserved to allow precise identification.

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11 The **rhabdosome** width increases along the length of these specimens, with the increase more
12 pronounced in some specimens than in others. At the proximal end, **rhabdosome** width is 0.77 mm to
13 0.94 mm, increasing up to 1.49 mm at **theca 10**. However, in one specimen (Figure 3C) the
14 **rhabdosome** is only slightly expanded to 0.94 mm at **theca 9**. The two-theca repeat distance (2TRD;
15 *sensu* Howe, 1983) increases slightly from 1.17 mm to 1.42 mm at **theca 2**, to approximately 1.50 mm
16 at **theca 10**, and reaching up to 1.81 mm at the distal end of the longest specimen. Similar to their
17 occurrence in the Phu Ngu Formation, *N. daviesi* occurs in abundance in black shales in North Wales
18 (Williams, 1982).

19
20 There are two other **probable** *Normalograptus* taxa in this assemblage. *Normalograptus* sp. 1
21 (Table 1; Figure 3E) has simple to slightly geniculate thecae with gently convex walls inclined at
22 approximately 20° to the long-axis of the specimen. The sicula is clearly visible, 1.32 mm in length,
23 with a distinct 1.53 mm-long, thin virgella. **Rhabdosome** width increases from approximately 0.88
24 mm at **theca 1** to 0.97 mm at **theca 2**, to 1.03 mm at **theca 3**, reaching 1.21 mm at **theca 5**. The 2TRD
25 is 1.32 mm at **theca 2** and increases to 1.62 mm at **theca 5**. *Normalograptus?* sp. 2 (Table 1; Figure
26 3D) has alternating thecae with gently sigmoidal walls. The **rhabdosome** width increases from
27 approximately 0.87 mm at **theca 1**, 1.00 mm at **theca 2**, 1.19 mm at **theca 4**, and at least 1.29 mm at
28 **theca 5**. The 2TRD is 1.23 mm at **theca 2**, and 1.35 mm at **theca 4**; **theca 6** is not preserved. There is a
29 prominent virgella and probable **antivirgellar** spine.

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31 In the thin silt laminae within the black mudstones of Locality 1 are specimens of the
32 acanthograptid dendroid *Dictyonema* (see Maletz, 2019). These have a fairly regular mesh-like pattern
33 of stipes connected by thecal bridges and an apparently originally conical morphology, now flattened,
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3 which is discernible from the better-preserved specimens (Fig. 6A, C-E). *Dictyonema* is of low
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5 biostratigraphic utility.
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7 The graptolite fauna of Locality 2 also constrains these strata to the *clingani* Biozone, though it
8 preserves a more diverse assemblage than Locality 1. The fauna includes a *Dicellograptus* (Figure
9 4A-B) from yellow sandy mudstones. This preserves a conspicuous but slender virgella and similarly
10 slender mesial spines, 0.3 mm long, on the first thecal pair. The stipes initially diverge at a declining
11 angle of approximately 153°, before reclining with the growth of the second thecae to an angle of
12 287° and corresponding axial angle of 73°. After this inflexion, for as much of the *rhabdosome* as is
13 preserved, the stipes are straight. After the first thecal pair, the thecae have a low angle of inclination
14 to the direction of stipe growth and the thecal apertures are rather introverted. The 2TRD at *theca* 2 is
15 1.55 mm and at *theca* 5 is 1.69 mm. The basal spines of the Vietnamese specimen are comparable to
16 those of *D. minor*, though shorter than is typical for *D. ornatus* (cf. Štorch *et al.*, 2011), and the axial
17 angle of this specimen distinguishes it from both *D. ornatus* and *D. minor*, being wider and narrower,
18 respectively. This specimen also differs from *D. complanatus* from southern Scotland (Elles and
19 Wood, 1901; Toghill, 1970; Williams, 1987) and *D. ornatus* from the North American midcontinent
20 (Štorch *et al.*, 2011) in having more prominent (*basal*) spines on the first thecal pair. This specimen
21 may be referred to *D. flexuosus* Lapworth 1876, owing to the declined first thecal pair, somewhat
22 introverted thecal apertures, and prominent mesial spines on the first thecal pair. In the Southern
23 Uplands of Scotland, *D. flexuosus* has been considered a surrogate index species for the *morrisi*
24 Subzone, the upper of the two subzones of the *clingani* Biozone (Zalasiewicz *et al.*, 1995). However,
25 in South Wales *D. flexuosus* has been found lower, in strata assigned to the *caudatus* Subzone
26 (Williams *et al.*, 2003b). Therefore, whilst its presence may indicate that Locality 2 lies within the
27 upper of the two subzones, only a broader affiliation with the *clingani* Biozone can be supported by
28 the available specimens.
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53 A single *Climacograptus dorotheus* Riva 1976 is known from Locality 2 (Figure 4K), three-
54 dimensionally preserved in iron hydroxide, presumably after pyrite. This has a gently expanding
55 slender *rhabdosome*, 0.40 mm wide at *theca* 1 and *theca* 2, expanding to 0.55 mm at *theca* 5 and 0.87
56 mm at *theca* 10. The thecae have pronounced genicula, with ventral walls inclined at up to 10° to the
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3 long axis of the specimen. Two short spines, 0.13 mm and 0.15 mm, at the base of the specimen
4 separated by an angle of 150° favour identification as *C. dorotheus*. The 2TRD increases gradually
5 along the growth axis, from 0.77 mm at **theca 2**, to 1.00 mm at **theca 5**, and 1.38 mm at **theca 10**. The
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7 Vietnamese specimen is narrower and with closer-set thecae than *C. dorotheus* from southern
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9 Scotland (Williams, 1982) and southern Belgium (Maletz and Servais, 1998), but overall compares
10 well to descriptions for this species.
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16 Several graptolites from Locality 2 may be assigned to *Climacograptus*, including one slender
17 specimen (Figure 4H-J) preserved flattened with a partial proximal end. Four spines are evident at the
18 proximal end, including a pronounced virgella 0.45 mm long, what is likely an antivirgellar spine, and
19 mesial spines on the first thecal pair. The thecae are strongly geniculate and produce a **rhabdosome**
20 with walls subparallel to the growth axis. The 2TRD increases distally, from 1.33 mm at **theca 2** to
21 1.62 mm at **theca 10**. At approximately the fourth thecal pair, the **rhabdosome** curves through
22 approximately 20° before continuing straight for the rest of its growth. Despite its striking appearance,
23 we have not been able to identify this specimen and it is left in open nomenclature.
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33 There are a further three specimens from Locality 2 referable to *Climacograptus* (Table 1;
34 Figure 4P-R). Unfortunately, they all lack proximal ends which prevents a more precise identification,
35 though they appear to belong to the same species. They are broad and appear to be quite long by
36 comparison to other specimens in this assemblage. The **rhabdosome** gently expands through the
37 length of the specimen, from 0.91 mm to 1.17 mm at the most proximal preserved parts, to 1.80 mm
38 to 1.96 mm at the most distal preserved parts. The thecae have prominent genicula and ventral walls
39 inclined up to 10° to 20° to the long-axis of the specimen. In the longest two specimens, there are 15
40 thecae in the most proximal 10 mm. The 2TRD increases slightly along the length of the **rhabdosome**,
41 from 1.13 mm to 1.20 mm at the proximal parts to 1.50 mm to 1.56 mm at the most distal preserved
42 parts. Due to the lack of preserved proximal ends, these cannot be identified beyond *Climacograptus*
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56 Several specimens from Locality 2 may be referred to *Orthograptus*, of which there are at least
57 two species present. *Orthograptus* sp. 1 is represented by the part and counterpart of a single
58 specimen (Figure 4L-N). This orthograptid has a **rhabdosome** width of 0.89 mm at **theca 1**, 1.36 mm
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3 at **theca** 5, and 1.71 mm at **theca** 10. The proximal end preserves a prominent virgella, 0.42 mm long,
4 and an antivirgellar spine, 0.58 mm long, as well as a mesial spine on the first theca (**theca** 1¹). The
5 thecae are somewhat introverted, and the 2TRD increases slightly along the growth axis, from 1.44
6 mm at **theca** 2, to 1.49 mm at **theca** 5, and 1.60 mm at **theca** 10. Unfortunately, the thecal morphology
7 is not sufficiently clear to allow a more precise identification.
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14 There are four specimens which may be broadly assigned to *Orthograptus* ex. gr. *truncatus*
15 (Table 1; Figure 4C-F). These are steadily expanding orthograptids with simple thecae inclined within
16 the range of 20° to 45° to the long-axis. One of these specimens (Figure 4C) has a well-preserved
17 proximal end with a prominent virgella, 0.36 mm long, and antivirgellar spine, 0.32 mm long. The
18 sicula is 2.68 mm long. The **rhabdosome** width increases steadily from 0.89 mm at **theca** 1, to 1.25
19 mm at **theca** 5, and 1.55 mm at **theca** 10. The thecae are simple and inclined at approximately 25° to
20 35° to the specimen's long axis. The same 2TRD is maintained along the length of this specimen,
21 measuring 1.36 mm at **theca** 2 and 1.30 mm at **theca** 5. It may therefore be referred more precisely to
22 *O. truncatus pauperatus* Elles and Wood 1907. Although the other three specimens are similar to the
23 above-mentioned specimen, they lack well preserved proximal ends and are more safely referred to *O.*
24 *ex. gr. truncatus*.
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37 **Nautiloids**

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39 Several longiconic orthocones with gradual expansion and smooth surface are known from
40 Locality 1 and may be assigned tentatively to *Michelinoceras* (Figures 7A-E). Except for the apical
41 part (phragmocone) of one specimen, where the transverse section of the conch is circular, they are
42 more or less deformed and exhibit oval to flattened lenticular cross-sections. The largest specimen is
43 39 mm in length, of which the adoral half represents the body chamber, and the reconstructed conch
44 diameter reaches approximately 8 mm. The sutures are directly transverse and the cameral lengths
45 moderate. The ratio of cameral length to reconstructed conch diameter is approximately 0.5. The
46 siphuncle is narrow, cylindrical, and subcentral in the conch. Detailed siphuncular structure is not
47 visible and hinders an accurate generic assignment.
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Ostracods

A formal description of the new species of *Kinnekullea* is presented below. Here we add brief notes on two other podocope ostracod taxa that are identified in open nomenclature. *Laterophores* sp. (Fig. 9E) is identified by the clear bipartite subdivision of its anterior node, which distinguishes it from the closely related *Klimphores* (see Vannier, 1986). *Ordovizona?* sp. (Figure 9D, F) has the characteristic adductorial pit and well-developed reticulate ornament of that taxon. Typical *Ordovizona* also possesses a velum (see Ghobadi Pour *et al.*, 2006), but this is only tentatively identified in our material (Figure 9F).

Systematic paleontology

Class Ostracoda Latreille 1802

Subclass Podocopa Sars 1866

Genus *Kinnekullea* Henningsmoen, 1948

Type-species. *Kinnekullea waerni* Henningsmoen, 1948, by original designation. From the Upper Ordovician, Black Tretaspis Shale, Kinnekulle, Vestergötland, Sweden.

Remarks. *Kinnekullea* is a widespread Late Ordovician taxon known from Ireland, Scotland and England (Floyd *et al.*, 1999; Williams *et al.*, 2003a), the Baltic region (Sweden, Lithuania, Latvia, Estonia, Russia, Poland; Neckaja, 1966; Sidaravičiene, 1992; Meidla, 1996; Truuver and Meidla 2015), Ibero-Armorica (Vannier, 1986), the USA (Ulrich, 1890), and Vietnam (this paper). This is the first record of *Kinnekullea* from East Asia.

Kinnekullea gaia sp. nov.

Etymology. From Gaia (Greek), ancestral mother of all life, fancied resemblance of the lateral surface lobation to a mother carrying an embryo, and allusion to the widespread mother goddess mythology of Vietnam.

Holotype. Tecnomorph right valve (VNMN.0182f part) from the Phu Ngu Formation, Na Ri District (Figure 9A).

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3 Material and measurements. **Topotypes VNMN.0182e part, VNMN.0182k part, and**
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5 **VNMN.0172h part, and possibly VNMN.0182g and VNMN.0172e part.** Recorded valve length
6
7 ranges from 853 μm to 1690 μm .
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9 Diagnosis. Small, circular preadductorial node connecting with a broad and reticulated arcuate
10
11 lobe that terminates posterodorsally in a stout posteriorly directed node.
12

13 Description. Valves weakly postplete. Dorsum straight, remainder of lateral valve outline
14
15 convex. No adventral or marginal structures. Small, sub-circular preadductorial node connects
16
17 ventrally to a 'comma'-shaped arcuate lobe: the surface of this lobe has reticulate ornament. Arcuate
18
19 lobe envelopes a well-developed broad and crescentic adductorial sulcus. Arcuate lobe terminates
20
21 posteriorly in a short, posteriorly projecting node. Extralobal areas of valves smooth.
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24 Remarks. Floyd *et al.* (1999) note that *Kinnekullea* includes several species of disparate lobal
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26 morphology and the assignment of some of these species warrants further investigation. The type
27
28 species, *K. waerni* has unornamented valves and the characteristic arcuate lobe, which connects
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30 anterodorsally to a node or spine: this arcuate lobe terminates before reaching the posterior part of the
31
32 dorsal margin. Sidaravičiene (1992) figured a specimen referred to *K. waerni* in which the arcuate
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34 lobe was restricted to the anterior part of the valve. *K. hesslandi* Henningsmoen, 1948, is based on a
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36 posteriorly incomplete left valve, which bears a narrow arcuate lobe that terminates short of the
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38 posterodorsal node. It too is unornamented. Sidaravičiene (1992) figured a posteriorly incomplete
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40 right valve referred to *K. hesslandi* that shows a more extensive arcuate lobe with two dorsal
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42 inflations of its structure. *K. comma* Jones, 1879, has unornamented valves, and a 'comma'-shaped
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44 arcuate lobe (Floyd *et al.*, 1999; Williams *et al.*, 2001) that extends to the posterior part of the dorsal
45
46 margin. Although the arcuate lobe terminates in a spine that projects from the posterior margin in *K.*
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48 *martinssoni* Gailite, 1970, and *K. intermedia* Gailite, 1975, both of these species are morphologically
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50 very similar to *K. comma*, and thus distinct from *K. gaia*. The arcuate lobe of *K. thorslundii*
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52 Henningsmoen, 1948, is restricted to the anterior part of the valves. Henningsmoen (*op. cit.*) depicts
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54 this species with punctate ornament. The lateral shape of *K. morzadeci* Vannier, 1986, is distinctly
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56 ample, its arcuate lobe is more ventrally situated than in *K. gaia*, and its posterior node is discrete.
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58 The arcuate lobe of *K. pedigera* Ulrich, 1890, terminates mid-posteriorly and it is unornamented. *K.*
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3 *adjuncta* Sidaravičiene, 1992, *K. slavica* and *K. reducta* Sidaravičiene, 1992, have more discrete
4 anterior and posterior lobes/nodes and if placed in this genus may form a sub-group of lobal
5 morphologies. Although *K. herrigi* Schallreuter, 1971, bears an arcuate lobe, overall it appears to be
6 tri- or quadrilobate, possesses a flattened free-margin to its valves and is distinctly preplete in its
7 lateral outline. Its assignment to *Kinnekullea* needs further investigation. *K. hofsteni* Henningsmoen,
8 1948, has a pronounced anterior lobe, but appears to lack a clearly defined arcuate lobe extending
9 from this and may not be congeneric. The two new species documented by Neckaja (1966), *K.*
10 *henningsmoeni* and *K. semiermis* both warrant further investigation.

11
12 The biogeographical range of species of *Kinnekullea* incorporates the paleocontinents of
13 Laurentia, Baltica, Avalonia, peri-Gondwana, and now the South China plate. Podocopid ostracods
14 are generally regarded to have been benthic, shelf-marine, and endemic during the Ordovician, and
15 have been widely used to discern ancient paleocontinental patterns (e.g. Schallreuter and Siveter,
16 1985; Williams *et al.*, 2003a). On the contrary, our data on *Kinnekullea*, *Laterophores*, and possibly
17 *Ordovizona* from the Phu Ngu Formation suggest that podocopid ostracods were able to translocate
18 between distant paleocontinents. Whether this involved island-hopping routes, or other vectors,
19 remains obscure (see discussion in Schallreuter and Siveter, 1985).

38 Conclusions

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40 This first report of Late Ordovician, Katian-age graptolites, ostracods and other shelly fauna
41 from the Phu Ngu Formation, Na Ri District, north-east Vietnam, includes illustrations of the
42 biostratigraphically important species. We revise the lower graptolite age constraint of the Phu Ngu
43 Formation from the *Normalograptus extraordinarius-N. ojsuensis* Biozone (Hirnantian) to the
44 *Dicranograptus clingani* Biozone (Katian). Ostracods from the Phu Ngu Formation include
45 *Kinnekullea gaia* and species of *Laterophores* and possible *Ordovizona*, that are consistent with a
46 Late Ordovician age. Our work suggests that, with further collecting, a more complete Late
47 Ordovician through early Silurian succession may be identified within the Phu Ngu Formation.

Acknowledgements

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Figure and Table explanations

Figure 1. Geographical and geological setting of the Phu Ngu Formation exposures examined in this study. **A-C**, geographic setting of the study area (localities 1 and 2) near Na Dam, Bac Kan Province, northern Vietnam. **D**, stratigraphic log through localities 1 to 2, with notable fossil occurrences at each locality. **E-G**, field photographs from localities 1 and 2 illustrating the exposures.

Figure 2. Stratigraphic setting of the Phu Ngu Formation and correlated lithostratigraphical units within the lower Paleozoic succession of Vietnam (adapted after Tổng Duy Thanh and Vu Khuc, 2011, figure 3.2). **The informal term 'lower Silurian' means strata of pre-Ludlow Series age.**

Figure 3. Camera lucida illustrations of graptolites from Locality 1, Phu Ngu Formation. **A-C**, *Normalograptus daviesi* (Williams 1982); specimens VNMN.0156c, VNMN.0156d, and VNMN.0161a, respectively. **D**, *Normalograptus?* sp. 2; VNMN.0156b, possibly comparable to *N. brevis*. **E**, *Normalograptus* sp. 1; VNMN.0156a. Scale bar: 1 mm.

Figure 4. Camera lucida illustrations of graptolites from Locality 2, Phu Ngu Formation. **A,B**, *Dicellograptus flexuosus* Lapworth 1876; VNMN.0180a part and counterpart, respectively. **C**, *Orthograptus truncatus pauperatus* Elles & Wood 1907; VNMN.0186a part. **D-F**, *Orthograptus* ex gr. *truncatus*; VNMN.0172b part, VNMN.0181c part, and VNMN.0175b part, respectively. **G, P-R**, *Climacograptus* sp.; VNMN.0188a, VNMN.0182c counterpart, VNMN.0177a, and VNMN.0179a,

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3 respectively. **H-J**, *Climacograptus* sp. 1; VNMN.0183a part (I-J) and counterpart (H). **K**,
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5 *Climacograptus dorotheus* Riva 1976; VNMN.0188b. **L-N**, *Orthograptus* sp. 1; L, N VNMN.0182b
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7 counterpart, M VNMN.0182b part. **O**, possible *Orthograptus*; VNMN.0185a. **S**, graptolite sp. indet;
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9 VNMN.0176a. Scale bars: 0.5 mm (J, N); 1 mm (A-I, K-M, P-S); 2 mm (O).

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14 **Figure 5.** Graptolite taphonomy and sedimentology at Locality 1, Phu Ngu Formation. **A, B**, Modes
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16 of graptolite occurrence on the bedding planes. **C-E**, Vertical thin sections of black mudstone (F). **F**,
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18 **G**, Vertical cross-sections of black mudstone intercalating with very fine sandstone (V. F. S.) and
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20 coarse siltstone (C. S.) layers. *Normalograptus* (n) occur in the dark-coloured background mudstone.
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22 *Dictyonema* (d) occur in the lighter-coloured coarse siltstone laminae which are interpreted as distal
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24 turbidite deposits. The thicker, several millimetre- to centimetre-scale, beds of light-coloured very
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26 fine sandstone are also interpreted as distal turbidite deposits.

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30 **Figure 6.** Non-graptoloid fauna of Locality 1, Phu Ngu Formation. **A, C-E**, dendroid *Dictyonema* sp.;
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32 **A**, VNMN.0152a; **C**, VNMN.0151a part; **D**, magnified detail of E, showing dissepiments; **E**,
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34 VNMN.0150a part (black rectangle represents area magnified in D). **B**, conulariid, *Conulariella?*;
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36 VNMN.0155a. All scale bars are 10 mm.

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40 **Figure 7.** Orthoconic nautiloid, tentatively referred to *Michelinoceras* sp. from Locality 1, Phu Ngu
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42 Formation. **A**, VNMN.0209a; **B**, VNMN.0210c (silicone cast); **C**, VNMN.0210d (silicone cast), and
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44 **D**, VNMN. 0211a; **E**, mould of VNMN.0212a with remnant of siphuncle highlighted (black arrow).
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46 All scale bars are 10 mm.

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51 **Figure 8.** Non-graptolite fauna of Locality 2, Phu Ngu Formation. **A**, possible orthid brachiopod;
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53 VNMN.0181a part. **B**, dorsal external mould of a strophomenid brachiopod, tentatively identified as
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55 *Leptellina?*, from its strongly concavo-convex profile, sub-semicircular outline, and unequal
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57 parvicostellate ornament; VNMN.0184a part. **C**, ventral internal mould of a strophomenid
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59 brachiopod, possibly *Chonetoidea?*, from the radial ornament, weakly parvicostellate towards the
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3 margin, pronounced medium septum and radially arranged septules; VNMN.0182a part. **D**, orthoconic
4 nautiloid; VNMN.0184c part. **E, F**, conulariid, black arrow (E) indicates the brachiopod enlarged in
5 (A); VNMN.0181d part and counterpart, respectively. Scales: 5 mm (A, C-F); 1 mm (B).
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11 **Figure 9.** SEM micrographs of ostracods from Locality 2, Phu Ngu Formation. All images are stereo-
12 pairs and lateral views **A, B**, *Kinnekullea gaia* sp. nov.; **A**, holotype right valve (VNMN.0182f part);
13 **B**, left valve (VNMN.0182e part). **C**, *Kinnekullea gaia?*, incomplete left? valve (VNMN.0172e part).
14 **D, F**, *Ordovizona?* sp.; **D**, right valve (VNMN.0182i part), partly obscured anteriorly; **F**, juvenile
15 valve, with possible velum developed ventrally (VNMN.0167b). **E**, *Latephores* sp. left valve
16 (VNMN.0182l part). All specimens are silicone casts of external moulds. All scale bars represent 100
17 μm .
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28 **Table 1.** List of figured specimens. Presence of an asterisk means that the specific fossil figured in the
29 part cannot be identified on the counterpart.
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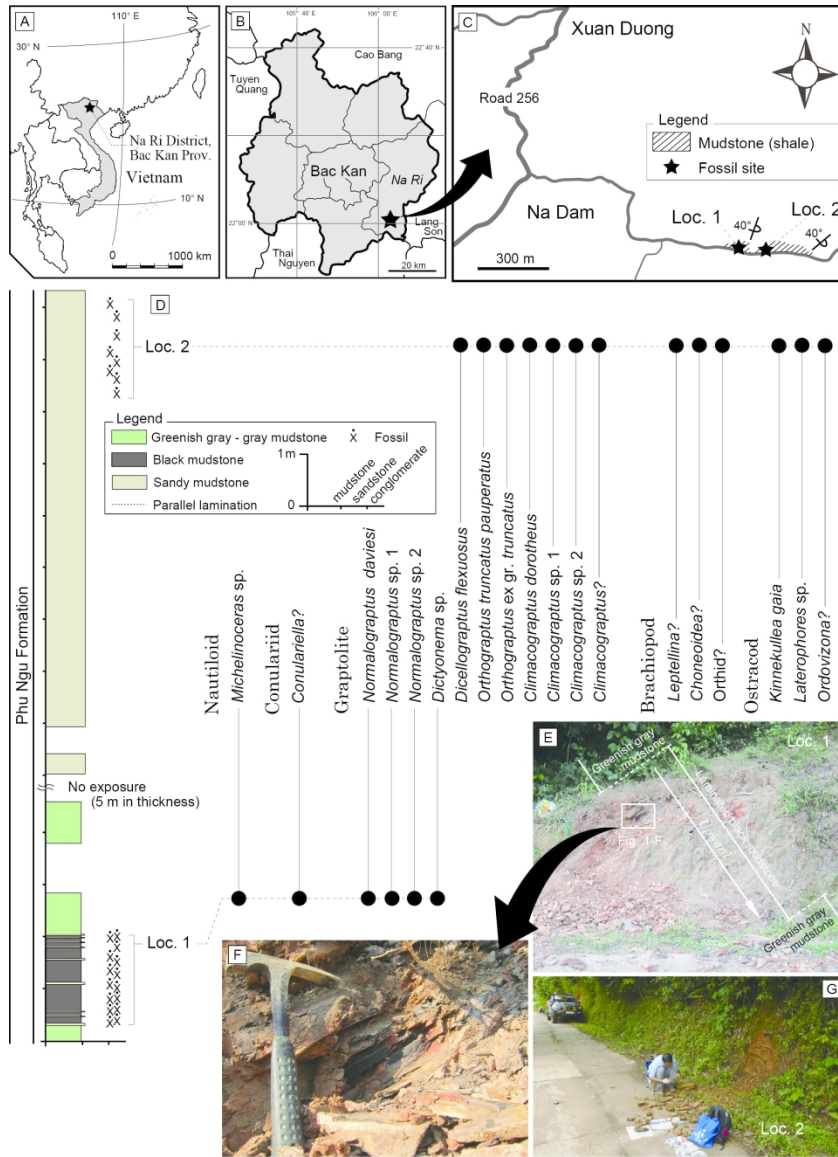


Figure 1. Geographical and geological setting of the Phu Ngu Formation exposures examined in this study. A-C, geographic setting of the study area (localities 1 and 2) near Na Dam, Bac Kan Province, northern Vietnam. D, stratigraphic log through localities 1 to 2, with notable fossil occurrences at each locality. E-G, field photographs from localities 1 and 2 illustrating the exposures.

203x273mm (300 x 300 DPI)

Chronostratigraphy	Bac Bo Region			Viet-Laos Region		Mid Trung Bo Region
	Western Bac Bo Zone	Eastern Bac Bo Zone	Quang Ninh Zone	Dien Bien - Nghe An Zone	Bi Tri Thien Zone	
lower Silurian	Sinh Vinh Formation	Phu Ngu Formation	Co To Formation	Song Ca Formation	Long Dai Formation	?
Upper Ordovician		Na Mo Formation	Tan Mai Formation			Phong Hanh Formation

Figure 2. Stratigraphic setting of the Phu Ngu Formation and correlated lithostratigraphical units within the lower Paleozoic succession of Vietnam (adapted after Tổng Duy Thanh and Vu Khuc, 2011, figure 3.2). The informal term 'lower Silurian' means strata of pre-Ludlow Series age.

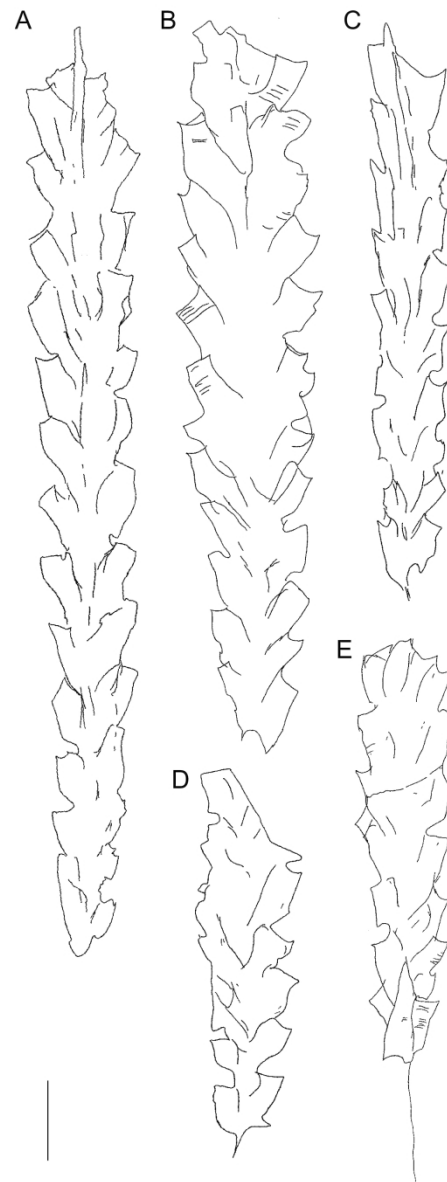


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160x401mm (300 x 300 DPI)

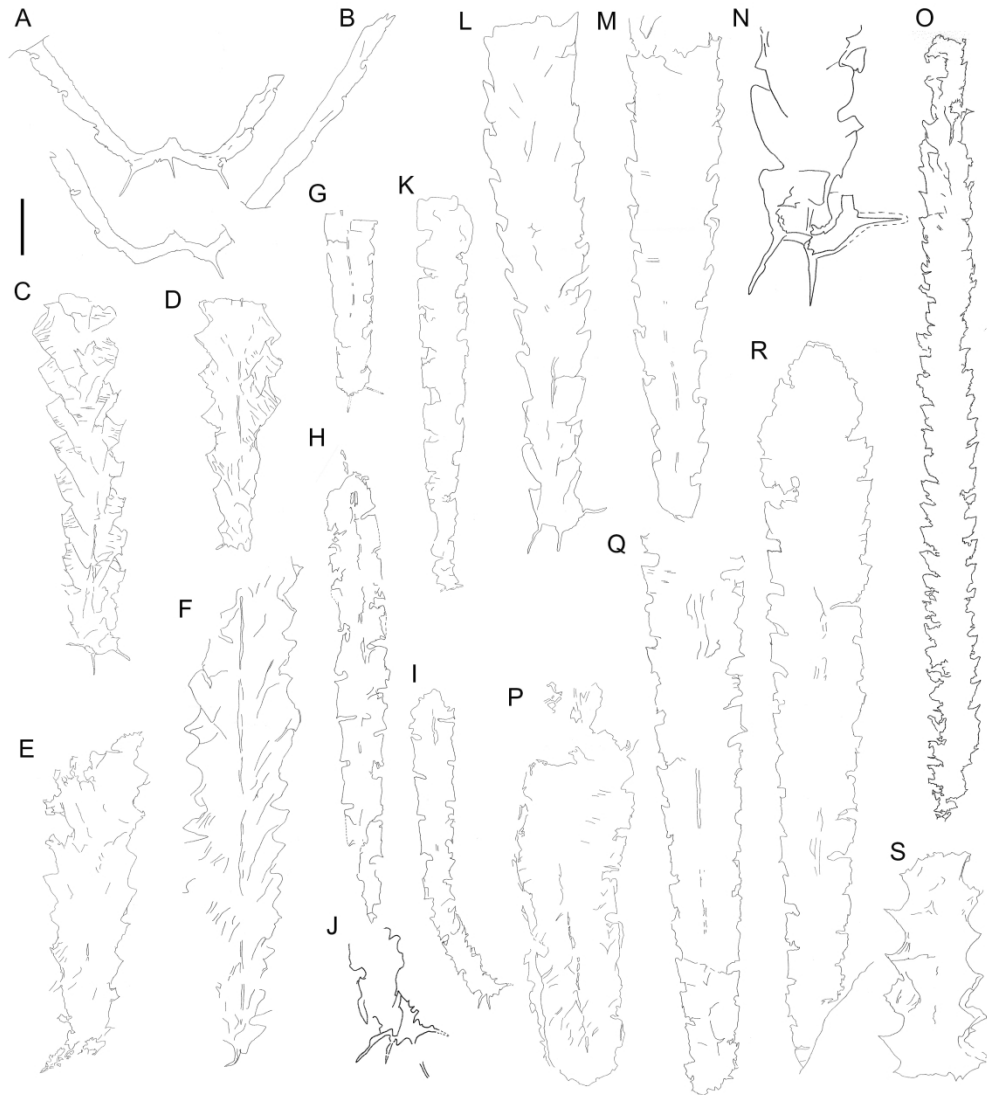


Figure 4. Camera lucida illustrations of graptolites from Locality 2, Phu Ngu Formation. A-B, *Dicellograptus flexuosus* Lapworth 1876; VNMN.0180a part and counterpart, respectively. C, *Orthograptus truncatus pauperatus* Elles & Wood 1907; VNMN.0186a part. D-F, *Orthograptus ex gr. truncatus*; VNMN.0172b part, VNMN.0181c part, and VNMN.0175b part, respectively. G, P-R, *Climacograptus* sp.; VNMN.0188a, VNMN.0182c counterpart, VNMN.0177a, and VNMN.0179a, respectively. H-J, *Climacograptus* sp. 1; VNMN.0183a part (I-J) and counterpart (H). K, *Climacograptus dorotheus* Riva 1976; VNMN.0188b. L-N, *Orthograptus* sp. 1; L, N VNMN.0182b counterpart, M VNMN.0182b part. O, possible *Orthograptus*; VNMN.0185a. S, graptolite sp. indet; VNMN.0176a. Scale bars: 0.5 mm (J, N); 1 mm (A-I, K-M, P-S); 2 mm (O).

340x375mm (300 x 300 DPI)

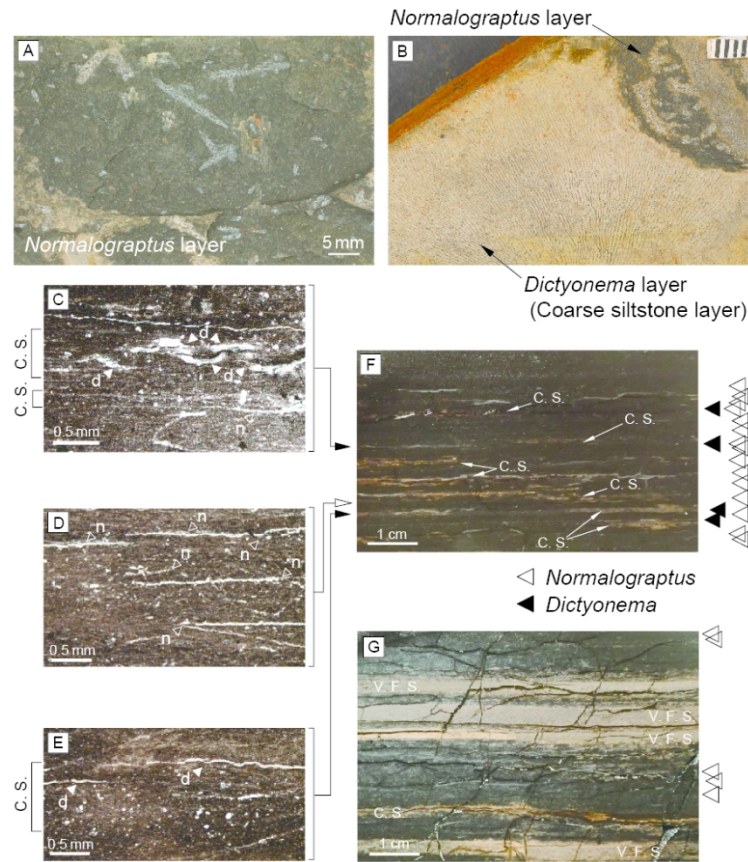


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200x216mm (150 x 150 DPI)

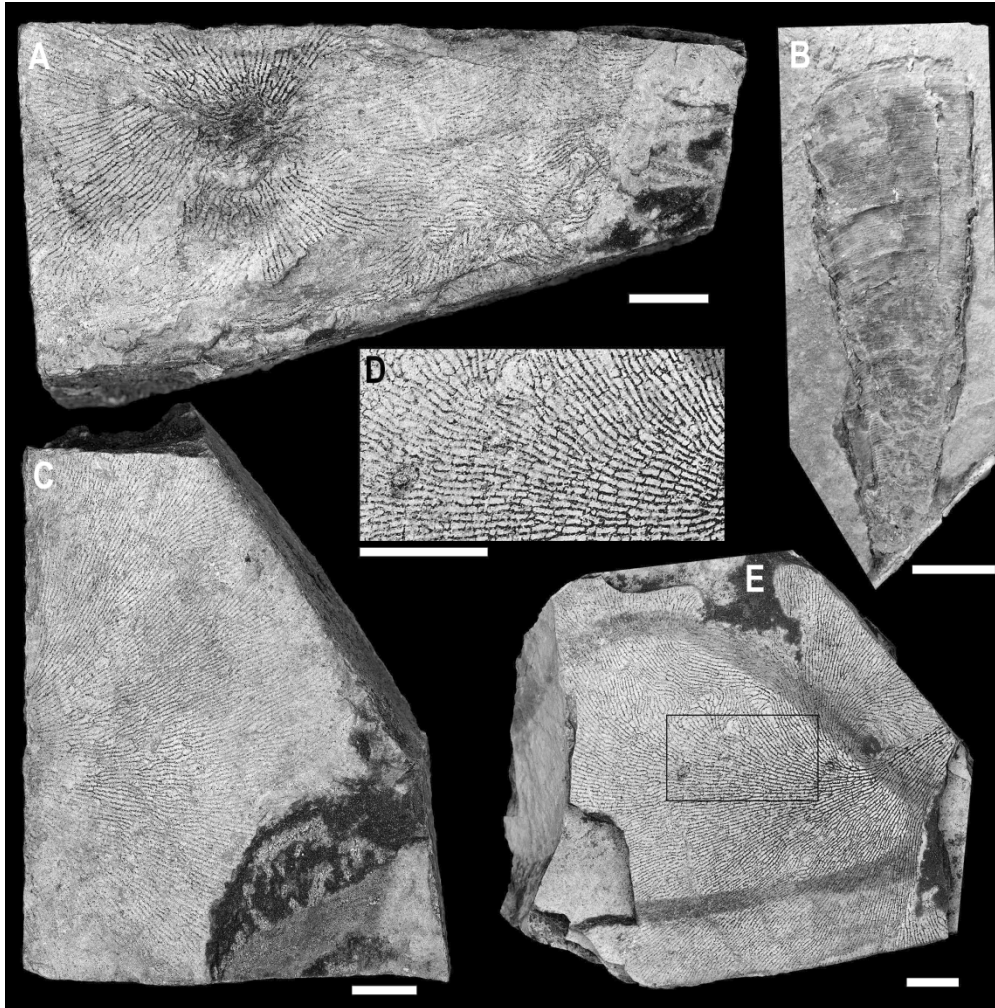


Figure 6. Non-graptoloid fauna of Locality 1, Phu Ngu Formation. A, C-E, dendroid *Dictyonema* sp.; A, VNMN.0152a; C, VNMN.0151a part; D, magnified detail of E, showing dissepiments; E, VNMN.0150a part (black rectangle represents area magnified in D). B, conulariid, *Conulariella*?; VNMN.0155a. All scale bars are: 10 mm.

169x171mm (400 x 400 DPI)

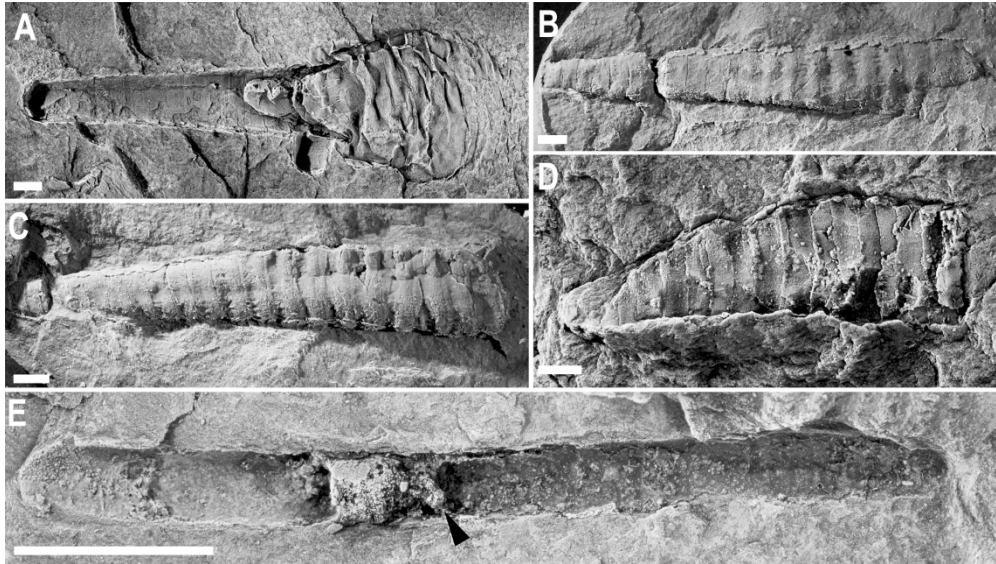


Figure 7. Orthoconic nautiloid, tentatively referred to *Michelinoceras* sp. from Locality 1, Phu Ngu Formation. A, VNMN.0209a; B, VNMN.0210c (silicone cast); C, VNMN.0210d (silicone cast), and D, VNMN. 0211a; E, mould of VNMN.0212a with remnant of siphuncle highlighted (black arrow). All scale bars are: 10 mm.

169x95mm (1200 x 1200 DPI)

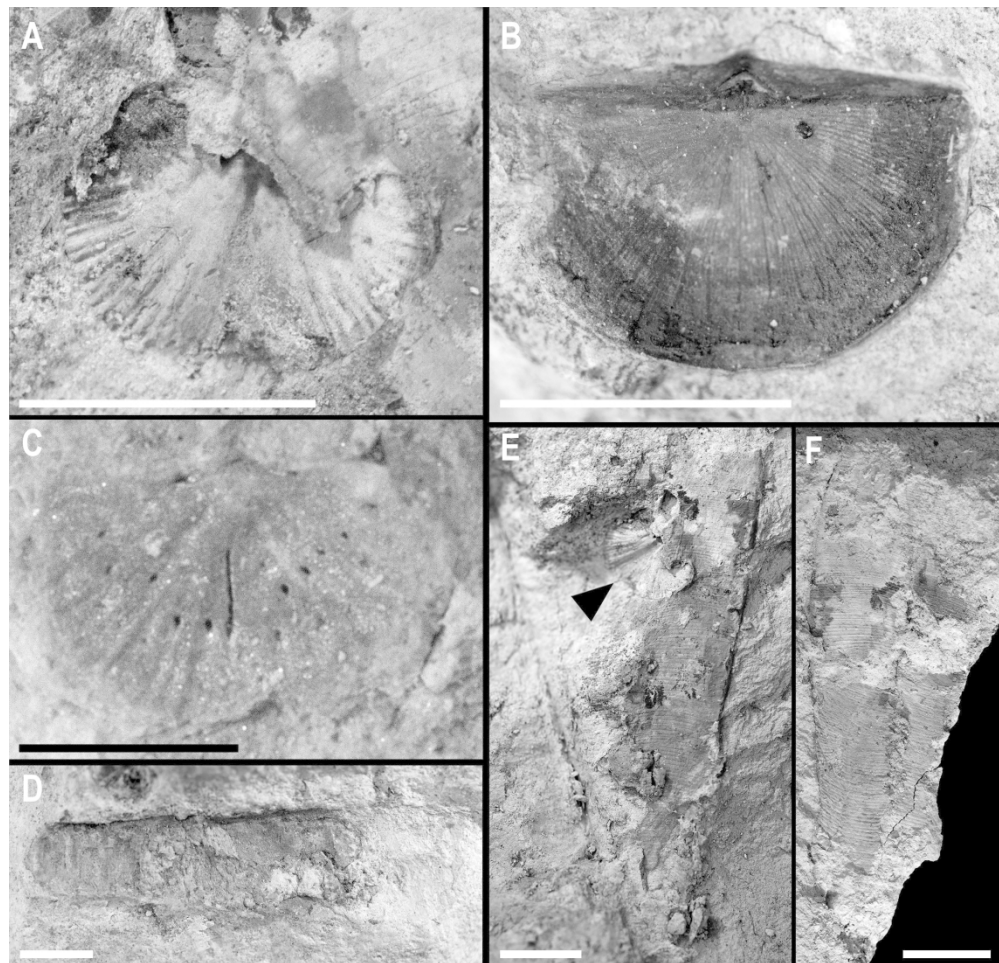


Figure 8. Non-graptolite fauna of Locality 2, Phu Ngu Formation. A, possible orthid brachiopod; VNMN.0181a part. B, dorsal external mould of a strophomenid brachiopod, tentatively identified as *Leptellina*?, from its strongly concavo-convex profile, sub-semicircular outline, and unequal parvicostellate ornament; VNMN.0184a part. C, ventral internal mould of a strophomenid brachiopod, possibly *Chonetoidea*?, from the radial ornament, weakly parvicostellate towards the margin, pronounced medium septum and radially arranged septules; VNMN.0182a part. D, orthoconic nautiloid; VNMN.0184c part. E, F, conulariid, black arrow (E) indicates the brachiopod enlarged in (A); VNMN.0181d part and counterpart, respectively. Scales: 5 mm (A, C-F); 1 mm (B).

170x162mm (400 x 400 DPI)

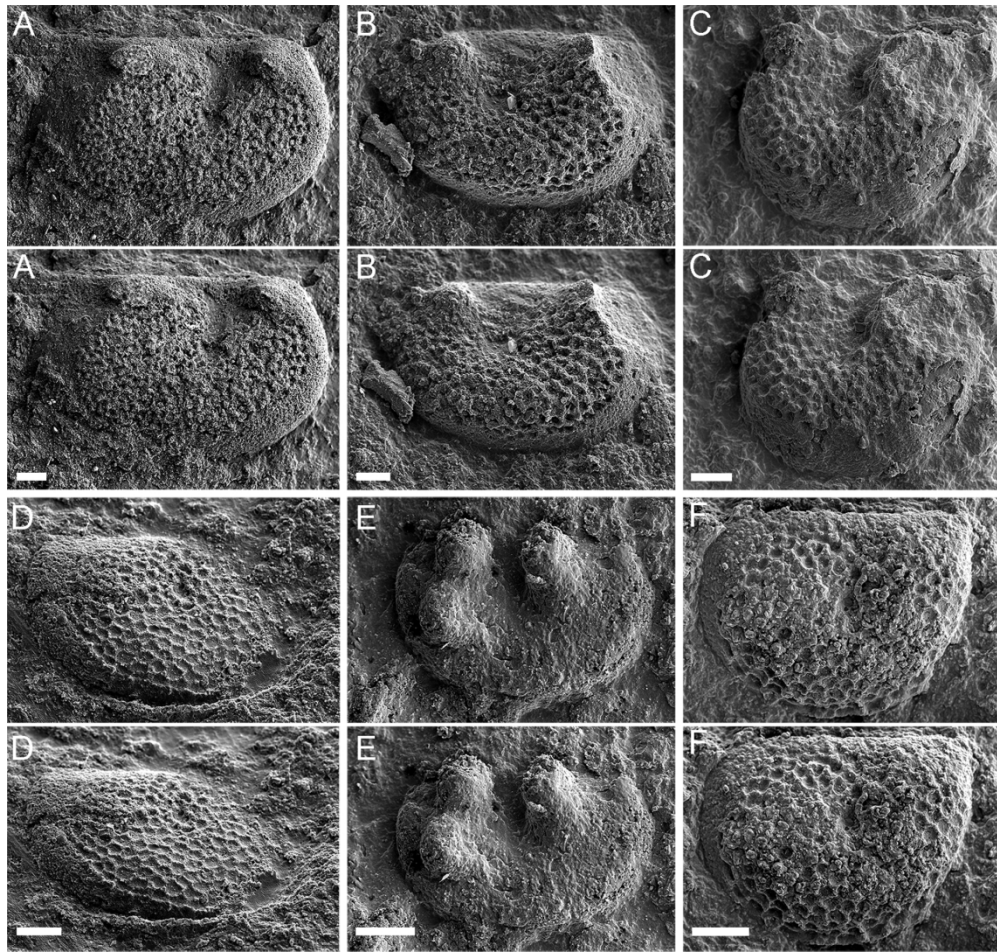


Figure 9. SEM micrographs of ostracods from Locality 2, Phu Ngu Formation. All images are stereo-pairs and lateral views A, B, *Kinnekullea gaia* sp. nov.; A, holotype right valve (VNMN.0182f part); B, left valve (VNMN.0182e part). C, *Kinnekullea gaia?*, incomplete left? valve (VNMN.0172e part). D, F, *Ordovizona?* sp.; D, right valve (VNMN.0182i part), partly obscured anteriorly; F, juvenile valve, with possible velum developed ventrally (VNMN.0167b). E, *Latephores* sp. left valve (VNMN.0182l part). All specimens are silicone casts of external moulds. All scale bars represent 100 μ m.

Museum number fig'd specimen	Locality	Taxon/Type	Figure	Part	C-part
VNMN.0156a	1	<i>Normalograptus</i> sp. 1	3E	X	—
VNMN.0156b	1	<i>Normalograptus?</i> sp. 2	3D	X	—
VNMN.0156c	1	<i>Normalograptus daviesi</i>	3A	X	—
VNMN.0156d	1	<i>Normalograptus daviesi</i>	3B	X	—
VNMN.0161a part	1	<i>Normalograptus daviesi</i>	3C	X	X
VNMN.0180a part, counterpart	2	<i>Dicellograptus flexuosus</i>	4A,B	X	X
VNMN.0186a part	2	<i>Orthograptus truncatus pauperatus</i>	4C	X	X*
VNMN.0172b part	2	<i>Orthograptus</i> ex gr. <i>truncatus</i>	4D	X	X*
VNMN.0181c part	2	<i>Orthograptus</i> ex gr. <i>truncatus</i>	4E	X	X*
VNMN.0175b part	2	<i>Orthograptus</i> ex gr. <i>truncatus</i>	4F	X	X
VNMN.0188a	2	<i>Climacograptus?</i>	4G	X	—
VNMN.0183a part, counterpart	2	<i>Climacograptus</i> sp. 1	4H-J	X	X
VNMN.0188b	2	<i>Climacograptus dorotheus</i>	4K	X	—
VNMN.0182b part, counterpart	2	<i>Climacograptus</i> sp. 2	4L-N	X	X
VNMN.0185a part	2	<i>Orthograptus?</i>	4O	X	X
VNMN.0182c counterpart	2	<i>Climacograptus?</i>	4P	X	X
VNMN.0177a	2	<i>Climacograptus?</i>	4Q	X	—
VNMN.0179a	2	<i>Climacograptus?</i>	4R	X	—
VNMN.0176a	2	graptolite sp. indet.	4S	X	—
VNMN.0152a	1	<i>Dictyonema</i> sp.	6A	X	—
VNMN.0155a	1	<i>Conulariella?</i> [Conulariid]	6B	X	—
VNMN.0151a part	1	<i>Dictyonema</i> sp.	6C	X	X
VNMN.0150a part	1	<i>Dictyonema</i> sp.	6D,E	X	X
VNMN.0209a	1	<i>Michelinoceras</i> sp.	7A	X	—
VNMN.0210c (silicone cast)	1	<i>Michelinoceras</i> sp.	7B	X	—
VNMN.0210d (silicone cast)	1	<i>Michelinoceras</i> sp.	7C	X	—
VNMN. 0211a	1	<i>Michelinoceras</i> sp.	7D	X	—
VNMN. 0212a part	1	<i>Michelinoceras</i> sp.	7E	X	X
VNMN.0181a part	2	orthid	8A	X	X
VNMN.0184a part	2	strophomenid	8B	X	X
VNMN.0182a part	2	strophomenid	8C	X	X
VNMN.0181d part, counterpart	2	Conulariid	8E,F	X	X
VNMN.0182f (silicone cast of part)	2	<i>Kinnekullea gaia</i> sp. nov	9A	X	X
VNMN.182e (silicone cast of part)	2	<i>Kinnekullea gaia</i> sp. nov	9B	X	X
VNMN.172e (silicone cast of part)	2	<i>Kinnekullea gaia?</i>	9C	X	X?
VNMN.182i (silicone cast of part)	2	<i>Ordovizona?</i> sp.	9D	X	X
VNMN.182l (silicone cast of part)	2	<i>Latephores</i> sp.	9E	X	X
VNMN.167b	2	<i>Ordovizona?</i> sp.	9F	X	—