

1 **Multi-instrument observation of nonlinear**
2 **EMIC-driven electron precipitation at sub-MeV**
3 **energies**

4 **A. T. Hendry¹, O. Santolik^{1,2}, C. A. Kletzing³, C. J. Rodger⁴, K. Shiokawa⁵,**
5 **D. Baishev⁶**

6 ¹Department of Space Physics, Institute of Atmospheric Physics, Prague, Czechia

7 ²Faculty of Mathematics and Physics, Charles University, Prague, Czechia

8 ³Department of Physics and Astronomy, University of Iowa, Iowa City, Iowa, USA

9 ⁴Department of Physics, University of Otago, Dunedin, New Zealand

10 ⁵Institute for Space-Earth Environmental Research, Nagoya University, Nagoya, Japan

11 ⁶Yu.G. Shafer Institute of Cosmophysical Research and Aeronomy of Siberian Branch of the Russian
12 Academy of Sciences, Yakut Scientific Centre of Siberian Branch of the Russian Academy of Sciences,
13 Yakutsk, Russia

14 **Key Points:**

- 15 • Closely correlated EMIC wave activity and sub-MeV electron precipitation is ob-
16 served across multiple satellites.
- 17 • Both local and global dropouts in trapped electron flux are observed, down to hun-
18 dreds of keV.
- 19 • Nonlinear test particle simulations show consistency between the observed elec-
20 tron precipitation and the observed wave.

Abstract

In recent years, experimental results have consistently shown evidence of electromagnetic ion cyclotron (EMIC) wave-driven electron precipitation down to energies as low as hundreds of keV. However, this is at odds with the limits expected from quasi-linear theory. Recent analysis using nonlinear theory has suggested energy limits as low as hundreds of keV, consistent with the experimental results, although to date this has not been experimentally verified. In this study, we present concurrent observations from POES, RBSP, GPS, and ground-based instruments, showing concurrent EMIC waves and sub-MeV electron precipitation, and a global dropout in electron flux. We show through test particle simulation that the observed waves are capable of scattering electrons as low as hundreds of keV into the loss cone through nonlinear trapping, consistent with the experimentally observed electron precipitation.

1 Introduction

Electromagnetic Ion Cyclotron (EMIC) waves are Pc1-2 (0.1–5 Hz) pulsations that have long been known as a source of electron scattering loss from the radiation belts (e.g., Thorne & Kennel, 1971). Despite almost half a century of scientific inquiry, however, there are still basic characteristics of these interactions that we do not fully understand. In particular, the minimum electron energy at which these interactions are possible is still a matter of considerable debate. Determining this minimum interaction energy is crucial to better understanding the role that EMIC waves play in driving radiation belt dynamics and shaping the radiation belts as a whole.

Since the first direct experimental observations of EMIC-driven electron precipitation were made a decade ago (Miyoshi et al., 2008; Rodger et al., 2008), there has been a growing body of experimental observations of EMIC-driven electron precipitation. While some of these have been restricted to relativistic energies >2 MeV (e.g., Rodger et al., 2008; Usanova et al., 2014), a significant number of these observations have shown electron precipitation occurring at energies as low as a few hundred keV (e.g., Clilverd et al., 2015; Millan, Lin, Smith, & McCarthy, 2007; Rodger et al., 2015; Woodger et al., 2015). In particular, a recent study of hundreds of EMIC-driven electron precipitation events by Hendry, Rodger, and Clilverd (2017) showed the majority producing electron precipitation in the <1 MeV energy range.

52 These published experimental results are to a certain extent at odds with the dom-
53 inant theory of EMIC-electron interactions. To date, the majority of theoretical inves-
54 tigations of EMIC-electron resonant scattering have used quasi-linear diffusion theory
55 and typically estimate that, barring edge cases, EMIC-electron resonance is expected to
56 be limited to energies >2 MeV (e.g., Meredith et al., 2003). However, recent studies us-
57 ing nonlinear theory have suggested that this energy could drop as low as ~ 500 keV for
58 waves very close to the ion cyclotron frequencies (e.g., Omura & Zhao, 2013), although
59 to the authors' knowledge this has yet to be verified experimentally.

60 In this paper, we present a case study representing a remarkable simultaneous ob-
61 servation of EMIC waves and energetic electron precipitation by the Van Allen Probes
62 (also known as the Radiation Belt Storm Probes – RBSP) and the Polar-orbiting Op-
63 erational Environmental Satellite (POES) constellation, with supporting data from other
64 spacecraft and ground-based instrumentation. These observations provide us with a unique
65 opportunity to calculate the expected electron precipitation driven by the EMIC waves
66 via test particle simulation, and directly compare these results to the precipitation ob-
67 served by the POES spacecraft.

68 1.1 Instrumentation

69 We utilize magnetic field data from the RBSP Electric and Magnetic Field Instru-
70 ment Suite and Integrated Science (EMFISIS), as well as pitch-angle resolved energy-
71 dependent fluxes from the Energetic Particle, Composition, and Thermal Plasma (ECT)
72 suite. The triaxial EMFISIS fluxgate magnetometer (MAG) samples the local magnetic
73 field at 64 Hz, making it ideal for the study of EMIC waves. The ECT Magnetic Elec-
74 tron Ion Spectrometer (MagEIS) instrument measures pitch-angle resolved electron fluxes
75 from 20–4800 keV, allowing a detailed look at the trapped electron flux near the satel-
76 lite.

77 To complement the wave data from RBSP, we also investigate data from an Insti-
78 tute of Space-Earth Environmental Research (ISEE) 64 Hz ground-based induction coil
79 magnetometer located in Zhigansk (ZGN), Russia (Shiokawa et al., 2017, 2010).

80 From POES, we investigate data from the MEPED instrument suite. We focus pri-
81 marily on the 0° directional electron and proton telescopes, which ostensibly measures
82 loss-cone particle fluxes. The electron telescope reports integral electron fluxes in three

83 energy channels, > 30 , > 100 , and > 300 keV, named E1, E2, and E3 respectively. The
84 proton telescope reports integral proton fluxes across 6 energy channels, from 30 to $>$
85 6900 keV. A full description of the POES MEPED suite can be found in Evans and Greer
86 (2000). We also make use of the ersatz E4 electron channel, an electron-contaminated
87 proton channel which can be used to measure relativistic electron fluxes. A full descrip-
88 tion of the E4 channel can be found in Peck, Randall, Green, Rodriguez, and Rodger (2015).

89 We also use electron flux data from the Global Positioning System (GPS) Com-
90 bined X-ray Dosimeter (CXD) instrument. The CXD instrument is carried by 21 GPS
91 satellites, and reports electron flux over eleven energy channels from 140 keV to > 5.8 MeV
92 (Cayton, 2004).

93 **2 Case study**

94 On 24 September 2016, at 19:51:22 UT, the POES NOAA-19 satellite observed a
95 sudden burst of relativistic electron precipitation in each of the E1–E4 electron chan-
96 nel, shown in Figure 1(a), concurrently with a burst of energetic proton precipitation in
97 the P1 proton channel. These bursts were flagged by the Carson, Rodger, and Clilverd
98 (2013) EMIC detection algorithm as a potential EMIC-driven scattering event. At this
99 time, the NOAA-19 satellite was located at $L = 5.0$ and 1.5 MLT, with a (IGRF+T89
100 (Tsyganenko, 1989)) footprint located at -50.8° N, 95.4° E. This precipitation burst was
101 very short lived, lasting roughly 8 s and spanning $\Delta L = 0.15$. No energetic proton flux
102 was observed in the P3–P5 channels, so contamination of the electron channels is assumed
103 to be negligible.

104 Between 19:39–19:54 UT the RBSP-A EMFISIS instrument observed clear EMIC
105 wave activity in the helium and hydrogen wave bands, between 0.25–0.55 Hz and 0.60–
106 0.95 Hz respectively, either side of the hydrogen gyrofrequency; the y -component (field-
107 aligned coordinates) of this wave is shown in Figure 1(c). At this time, the southern satel-
108 lite footprint traced from -50.2° N, 93.0° E to -50.5° N, 92.5° E; in other words, at the time
109 of the RBSP-A wave observations, the satellite was essentially collocated on the same
110 field line as the NOAA-19 satellite. Examination of the EMFISIS Waves instrument places
111 RBSP-A just inside the plasmopause at the event time. Rising-tone structures similar
112 to those seen in Cluster data (e.g., Grison et al., 2013; Omura et al., 2010; Pickett et

113 al., 2010) are clearly visible within the overall wave structure, primarily in the helium
114 band.

115 From roughly 19:30–20:35 UT, concurrently with the RBSP observations, an IPDP-
116 type EMIC wave was observed in the ZGN magnetometer (66.78N, 123.37E, $L = 4.4$),
117 shown in Figure 1(d). As well as a gradual increase in overall wave frequency of ~ 0.4 Hz/hr,
118 we see a number of fine-structure rising-tone elements within the wave, each lasting roughly
119 2 minutes.

132 Although the spatial separation of the ZGN magnetometer from the Northern foot-
133 print of the RBSP-A and POES satellites ($\sim \Delta 45^\circ$ longitude) makes the causal relation
134 between the two wave observations uncertain, EMIC waves are known to undergo sig-
135 nificant ionospheric ducting (e.g., Manchester, 1966), allowing their detection far from
136 the initial field-line footpoint. The similarities in the timing and frequency extent of the
137 two wave observations suggest that these are indeed observations of the same wave. The
138 EMFISIS-observed hydrogen-band wave is conspicuously absent from the ground-based
139 observation, however we note that this is a known phenomenon (e.g., Usanova et al.,
140 2008).

141 Coincident with this wave activity, the RBSP-A MagEIS instrument observed a sud-
142 den dropout in the trapped energetic electron flux. Although there is evidence of pitch-
143 angle scattering at energies as low as ~ 150 keV, the dropout is clearest in the MagEIS
144 energy channels from 346–1728 keV, with near simultaneous dropouts ranging from a
145 factor of 2-9 observed across the channels. No dropout can be seen in the 2280 keV chan-
146 nel and above, although the fluxes are very low in these channels, which makes detect-
147 ing a dropout difficult. The 597 keV channel is shown in Figure 1(e). We note a strik-
148 ing similarity between the MagEIS data seen in this event and that seen by Rodger et
149 al. (2015), who observed five separate EMIC wave events in RBSP EMFISIS data, each
150 resulting in a similar butterfly pitch-angle distribution as is seen in Figure 1(e).

151 Finally, we examined electron flux data from the GPS constellation CXD instru-
152 ments to obtain a global picture of electron fluxes at the time of the EMIC event. The
153 combined flux measurements of 21 GPS CXD instruments is plotted in Figure 1(f) for
154 the E1–E4 (0.14–1.25 MeV) channels — in each channel we see clear dropouts in elec-
155 tron flux around $L = 5$ at the time of the EMIC wave event.

156 No chorus wave activity was observed by RBSP-A at the time of the EMIC wave
157 event, ruling out chorus-driven scattering as the cause of the POES-observed precipita-
158 tion. A small, weak burst of wave power in the chorus band was observed by RBSP-A
159 shortly after 20 UT, however, as this wave activity occurred after the POES-observed
160 precipitation and the RBSP- and GPS-observed flux dropouts, it cannot explain the ob-
161 served electron precipitation.

162 At the time of the satellite observations none of the geomagnetic indices showed
163 any sign of significant activity ($K_p=2$, $Dst=3$ nT, $AE<200$ nT). Activity appeared to
164 increase in the hours following this event, however, with AE reaching 500 nT a few hours
165 after the EMIC observations.

166 **2.1 Event Analysis**

167 To estimate the energy spectrum of the electron precipitation observed by POES,
168 we use the method presented by Hendry et al. (2017) to fit a "peaked" spectral shape
169 to the POES data. They found that this peaked spectrum was successful in reproduc-
170 ing EMIC-driven electron precipitation observed by the DEMETER and POES satel-
171 lites, and so it is a good candidate for our current study. The result of this fitting pro-
172 cess is shown in Figure 1(b). The peak electron flux appears to occur around 250 keV,
173 with significant precipitation fluxes occurring between roughly 100–5000 keV, consistent
174 with the results of Hendry et al. (2017). This is slightly lower than the expected min-
175 imum resonance energy of this wave – ~ 400 keV (cf. Equation (12) of Omura and Zhao
176 (2013)) – however this may be explained by the limitations of the POES fitting process.

177 This event does not lend itself to analysis using quasi-linear theory. The proxim-
178 ity of the wave-power to the helium gyrofrequency is not reconcilable with linear growth
179 theory, which exhibits strong cyclotron damping near the ion gyrofrequencies (e.g., Chen,
180 Thorne, & Horne, 2009). Nonlinear growth theory does not have such limitations, how-
181 ever, and has been shown to be capable of producing strong rising-tone emissions with
182 wave-power very close to the ion gyrofrequencies (Shoji & Omura, 2013; Shoji et al., 2011).
183 In addition to this, the scattering seen at high pitch-angles in the MagEIS data is not
184 generally considered possible by EMIC waves (Usanova et al., 2014). However, the re-
185 sulting butterfly pitch-angle distribution has been associated with nonlinear EMIC-driven
186 scattering by Kubota and Omura (2017), who saw strong scattering of electrons near 90°

187 in their test-particle simulations due to nonlinear trapping, although primarily at rel-
 188 ativistic energies. Butterfly distributions are also known to be produced by magnetopause
 189 shadowing and drift-shell splitting. However, as with the similar cases observed by Rodger
 190 et al. (2015), these are unlikely for this event due to the distance of the event from mag-
 191 netic noon and due to negligible time-dispersion seen between the energies, respectively.

192 EMIC waves with rising-tone elements have been previously suggested as poten-
 193 tial sources of significant rapid electron loss from the radiation belts due to nonlinear
 194 trapping (e.g. Omura & Zhao, 2013). Although it is difficult to determine the fine-structure
 195 of the wave, rising-tone elements can be seen. The wave data from the ZGN magnetome-
 196 ter, however, shows clear evidence of repeating rising-tone structure, suggesting that this
 197 wave may be a candidate for scattering due to nonlinear trapping.

198 Omura and Zhao (2012) show that nonlinear trapping by rising tone EMIC waves
 199 is possible for electrons that satisfy Equation (50) of Omura and Zhao (2012):

$$V_R - V_{tr} < v_{\parallel} < V_R + V_{tr} \quad (1)$$

200 where V_R is the cyclotron resonance velocity and V_{tr} is the trapping velocity, given
 201 by Equations (3) and (28) of Omura and Zhao (2013), respectively. Together, these de-
 202 fine a range of velocities (and thus energies) for which nonlinear trapping is possible for
 203 a given EMIC wave. Figure 2(a) shows the range of electron energies and pitch-angles
 204 for which Equation (1) is true for any of the frequencies in the range 0.25–0.5 Hz, given
 205 a wave amplitude of 2.7 nT, calculated at the magnetic equator. Also shown in red is
 206 the minimum cyclotron resonant energy for each pitch-angle. It is clear from this figure
 207 that for this wave event nonlinear trapping is possible down to energies lower than the
 208 minimum cyclotron resonance energy, with a minimum nonlinear interaction energy of
 209 ~ 360 keV. At lower energies this interaction is restricted to smaller pitch-angles.

210 **2.2 Test-particle simulation**

211 To test the ability of the observed wave to scatter electrons into the loss-cone, we
 212 carry out a simple test-particle simulation. Following the example of Omura and Zhao
 213 (2013), we assume that the EMIC wave is generated at the equator and propagates par-
 214 allel to the field line towards higher-latitudes in both directions according to:

$$\frac{\partial B_w}{\partial t} + V_g \frac{\partial B_w}{\partial z} = 0 \quad (2)$$

$$\frac{\partial \omega}{\partial t} + V_g \frac{\partial \omega}{\partial z} = 0 \quad (3)$$

$$(4)$$

215 where B_w is the wave amplitude, ω is the wave frequency, z is the distance along
 216 the field line, and V_g is the group velocity given by Equation (23) of Omura et al. (2010).
 217 We use a 70:25:5 (H:He:O) ion composition ratio, with $n_e = 117\text{cm}^{-3}$ — following the
 218 example of Omura and Zhao (2013) we assume that the ion densities vary proportion-
 219 ally with the background magnetic field.

220 For this model we consider a dipole field line, scaled such that the magnetic field
 221 strength B calculated at RBSP-A's magnetic latitude is equal to the (background) mag-
 222 netic field strength, measured by EMFISIS to be 138 nT. This gives an equatorial he-
 223 lium gyrofrequency of 0.51 Hz. We model the interaction between electrons and the wave
 224 field using Omura and Zhao's (2012) formulation of the relativistic equation of motion:

$$\frac{d(\gamma v_{\parallel})}{dt} = v_{\perp} \Omega_w \sin \zeta - \frac{\gamma v_{\perp}^2}{2\Omega_e} \frac{\partial \Omega_e}{\partial z} \quad (5)$$

$$\frac{d(\gamma v_{\perp})}{dt} = \left(\frac{\omega}{k} - v_{\parallel}\right) \Omega_w \sin \zeta + \frac{\gamma v_{\perp} v_{\parallel}}{2\Omega_e} \frac{\partial \Omega_e}{\partial z} \quad (6)$$

$$\frac{d\phi}{dt} = \frac{1}{\gamma v_{\perp}} \left(\frac{\omega}{k} - v_{\parallel}\right) \Omega_w \cos \zeta + \frac{\Omega_e}{\gamma} \quad (7)$$

225 where v_{\parallel} and v_{\perp} are the parallel and perpendicular velocity components, γ is the
 226 relativistic Lorentz factor, $\Omega_w = eB_w/m$, ζ is the difference between the wave and elec-
 227 tron phase angles, $\Omega_e = eB/m$, and ϕ is the electron phase angle (e and m are the elec-
 228 tron charge and mass, respectively).

229 We generate a set of test electrons such that the energy, pitch-angle, and phase space
 230 are each well-represented. We select a range of energies between 20–5000 keV; for each
 231 energy, we generate electrons from 5° – 90° in pitch-angle and 5° – 360° in phase, at discrete
 232 5° intervals for both. These electrons are then initialised at the magnetic equator. If at
 233 any stage during the simulation the altitude of an electron drops below 100 km, we con-
 234 sider it to have been precipitated, and it is removed from further consideration. In to-
 235 tal, we simulate 97,200 electrons.

236 We base our test wave-field on the combined observations from RBSP-A EMFI-
 237 SIS and the ZGN ground-based magnetometer. Although the wave consists of a series
 238 of consecutive rising-tone elements, we consider only a single wave element. This element
 239 increases linearly in frequency from 0.25–0.5 Hz ($0.48\text{--}0.95 \Omega_{He^+}$) over the course of 120
 240 seconds. For simplicity we assume a constant wave amplitude of 2.7 nT, based on the
 241 EMFISIS wave observations. The propagation of the wave is latitudinally limited by the
 242 local crossover frequency, which for this wave means $MLAT < 30$.

243 We note that, due to the one-dimensional nature of this simulation, we have ex-
 244 cluded the effect of drift. We will discuss the implications of this later.

245 **2.3 Simulation results**

246 We start our simulation at 0 s, and run until the full wave element has been gen-
 247 erated (120 s). Despite being out of resonance with the wave, early on in the simulation
 248 we see perturbations in the pitch-angle of the electrons as they pass through the wave.
 249 We believe that this is a manifestation of the non-resonant scattering phenomenon iden-
 250 tified by Chen, Thorne, Bortnik, and Zhang (2016) – close examination of individual par-
 251 ticle traces shows that this scattering occurs when the electron passes through the wave-
 252 front, matching the scattering process described by Chen et al. for non-resonant scat-
 253 tering. For electrons already very close to the loss cone, this scattering can result in the
 254 precipitation of the electron even at very low energies. In a realistic equatorial electron
 255 population, however, the electron population at pitch-angles close to the loss cone is typ-
 256 ically very low, and is thus unlikely to have a significant effect on observed electron pre-
 257 cipitation.

258 Although the pitch-angle scattering due to each non-resonant interaction is small,
 259 over the course of the simulation this scattering appears to cause a gradual shift in the
 260 trapped electrons' pitch angles towards the range $\sim 40\text{--}60^\circ$. The side-effects of this are
 261 two-fold. Firstly, this drives the creation of a butterfly distribution, due to the scatter-
 262 ing of electrons away from 90° . Secondly, this drives electrons that are unable to be trapped
 263 by the wave down to pitch angles where nonlinear trapping is possible, into the region
 264 highlighted in Figure 2(a). This results in a much greater loss of electrons at lower en-
 265 ergies than we might expect from just nonlinear trapping alone.

266 For electrons in resonance with the wave, we see very strong pitch-angle scatter-
267 ing characteristic of nonlinear trapping. This scattering often results in the rapid loss
268 of the electron to the atmosphere within a small number of bounce periods. Due to the
269 rising-tone nature of the wave, the point in the simulation where the electrons can reach
270 resonance is strongly energy dependent; lower energy electrons can only reach resonance
271 for wave frequencies very close to the ion gyrofrequency, and thus are scattered much
272 later in the wave generation period. This rapid scattering is demonstrated in Figure 2(c),
273 which shows the equatorial pitch-angle evolution of a sample of the test electrons. The
274 higher energy electrons are scattered early in the simulation, while the lower energy elec-
275 trons, much closer to the minimum nonlinear interaction energy, are only able to be trapped
276 near the end of the simulation. Also evident is the pitch-angle drift of the higher pitch-
277 angle electrons to lower pitch angles due to non-resonant interactions, where they are
278 able to be nonlinearly trapped. This is particularly evident for the yellow trace, which
279 shows a slow drift in pitch-angle from 80° to $\sim 50^\circ$ over the course of the simulation,
280 after which rapid nonlinear scattering occurs.

288 Figure 2(b) shows the evolution in time of the precipitated proportion of our test
289 population. The energy dependence of the scattering is clearly evident, with the higher
290 energy electrons scattering early in the wave generation period and the lower energy elec-
291 trons following later. At the end of the wave generation period, roughly 80–90% of the
292 test electrons with energies > 1.5 MeV have been lost. For electron energies just below
293 1.5 MeV, the proportion of lost electrons slowly decreases. Below roughly 1 MeV the pro-
294 portion of lost electrons begins to drop more rapidly, down to a minimum of $\sim 6\%$ at the
295 lowest energies, indicated by the dashed red line. We note that this corresponds almost
296 entirely to the electrons initiated at a pitch angle of 5° , right at the edge of the loss cone,
297 which make up $5400/97200$ ($\sim 5.6\%$) of the simulated electrons. The rapid loss of these
298 electrons appears to be purely due to non-resonant scattering.

299 To test the validity of this simulation we compare the results to the flux measure-
300 ments made by the POES MEPED detectors. We generate a set of test particles such
301 that the pitch angle and energy distributions reported by RBSP ECT before the wave
302 onset are replicated. To ensure a close match to the data, we interpolate the ECT data
303 to generate a 2D surface in pitch angle and energy space, then use an acceptance-rejection
304 method to randomly generate 1,000,000 electrons. The distribution of these electrons in
305 energy and pitch-angle is shown in Figure 3(a), with the spectrum summed across all

306 pitch-angles over-plotted in white. We also generate a random initial phase for each elec-
 307 tron, assuming that the electrons are uniformly distributed in phase. Finally, we extrap-
 308 olate the results of our simulation to this new set of electrons, using a nearest neighbor
 309 approach to determine how long after wave onset the electron is expected to precipitate.

310 To estimate an electron energy spectrum for our simulation, we bin one second of
 311 simulated precipitation — the accumulation time of the POES MEPED detectors. As
 312 can be seen in Figure 1(c), the POES observed precipitation spike coincides roughly with
 313 the highest wave frequency in the rising tone element, so we use 119–120 s as our inte-
 314 gration period. Figure 3(b) shows the comparison of the simulated electron energy spec-
 315 trum and the POES-estimated spectrum from Section 2.1 — as we arbitrarily chose 1,000,000
 316 particles to simulate, we have scaled the spectra to ensure similar flux ranges.

322 Figure 3(b) shows very close agreement between the POES data and our simula-
 323 tion at energies below ~ 1000 MeV, with peak flux occurring at 250 and 400 keV re-
 324 spectively. Above 1 MeV, we see significantly less flux in the simulation results than is
 325 seen in the POES data. This is in part due to a weakness in the peaked energy spectrum
 326 used in Section 2.1, which tends to overestimate fluxes at ultra-relativistic energies. A
 327 more accurate energy spectrum would likely see an exponential decay in the flux after
 328 a certain energy (e.g., van de Kamp et al., 2016), however due to the limited data points
 329 available from the POES MEPED instrument, this level of detail is simply not possible
 330 without over-fitting the data.

331 We must also consider our exclusion of drift — in a full 3D simulation, some of the
 332 electrons lost due to EMIC scattering would be replenished by electrons drifting in from
 333 outside the event region. As higher energy electrons are both scattered earlier by the EMIC
 334 wave and drift faster, the lack of drift affects higher energy flux more than lower energy,
 335 and thus in a more realistic simulation we would expect to see more precipitation at higher
 336 energies across the simulation period, and hence a better agreement with the experimen-
 337 tal measurements.

338 **3 Summary and Discussion**

339 We have observed an IPDP-type EMIC wave both in-situ and on the ground, with
 340 repeated rising-tone wave elements understood to be capable of driving rapid electron
 341 precipitation. We identify electron precipitation and a global electron flux dropout as-

342 sociated with this wave. Analysis of the POES-observed electron precipitation flux sug-
343 gests an energy spectrum with precipitation down to ~ 100 keV, peaking at around 250 keV.

344 We test the ability of the wave to produce the observed precipitation with a sim-
345 ple one-dimensional test-particle simulation. We see rapid pitch-angle scattering char-
346 acteristic of nonlinear trapping down to hundreds of keV, with reduced efficacy at lower
347 energies. We also see evidence of non-resonant scattering, resulting in a shift of the elec-
348 trons in pitch-angle away from 90° . Comparison between the simulation results and the
349 POES-derived electron energy spectra shows remarkable similarities, with clear corre-
350 lation in the peak precipitation energy.

351 To simplify our simulation, we did not allow for electron drift. However we can posit
352 the effects that including this drift would have. Due to finite width of the EMIC source
353 region and the rapid nature of the electron scattering that occurs at resonance, often on
354 the order of 1-2 bounce periods, it is unlikely that drift would have a significant impact
355 on the scattering of high energy electrons, nor on the lower energy electrons that were
356 within the trapping region shown in Figure 2(a). Indeed, we would likely see an increase
357 in the precipitation of higher energy electrons, due to the replenishing of the populations
358 due to drift. However for lower energy electrons at high pitch-angles, where a pitch-angle
359 shift due to non-resonant scattering is required to bring the electrons into the trapping
360 region, we may see lower levels of precipitation, with the electrons drifting out of the source
361 region before they can be scattered into the trapping region.

362 The inclusion of drift also helps to explain the global nature of the flux dropout
363 observed by the GPS satellites. From the ground-based data, we know that the EMIC
364 wave event was long-lived, lasting at least an hour, with the rising-tone elements repeat-
365 ing throughout this period. Given the drift periods of energetic and relativistic electrons
366 at $L = 5$, this is sufficient for the entire trapped population to make multiple passes
367 through the EMIC source region, resulting in the global dropout in electron flux seen
368 in the GPS data.

369 The butterfly pitch-angle distribution that we observed in the MagEIS data ap-
370 pears to be a result of non-resonant scattering causing a slow shift of electrons in pitch-
371 angle away from 90° . Interaction with repeated wave elements, such as those seen in the
372 ZGN data, would exacerbate this effect. The rate of this pitch-angle shift may be exag-
373 gerated in this simulation due to the constant-amplitude wave used, leading to much sharper

374 wave-fronts than might otherwise be seen in a more realistic simulation. Further inves-
375 tigation is needed to determine how this pitch-angle shift would change with a more re-
376 alistic wave-model.

377 The electron precipitation observed in this event was likely driven into the loss cone
378 due to a combination of nonlinear and non-resonant scattering by strong EMIC wave with
379 rising-tone sub-elements. This result provides important context for the study by Hendry
380 et al. (2017) who observed a significant population of EMIC-driven electron precipita-
381 tion events in the sub-MeV energy range, but were unable to provide a conclusive an-
382 swer as to the mechanism driving the precipitation. In the light of our results, it seems
383 likely that nonlinear and non-resonant EMIC wave interactions explain a significant pro-
384 portion of the lower-energy precipitation observed by Hendry et al. (2017).

385 This conclusion raises an interesting issue. If it was a simple matter of stronger waves
386 scattering lower energy electrons, through nonlinear processes, then we would expect a
387 bias towards the afternoon sector, where the strongest waves occur (e.g., Saikin et al.,
388 2015). Instead, most studies of EMIC-driven electron precipitation (e.g., Hendry et al.,
389 2017; Yahnin, Yahnina, Raita, & Manninen, 2017) identify the post-midnight MLT sec-
390 tor as the primary event location, where little wave activity is seen at all. It may be that
391 the midnight region is preferentially associated with the generation of rising-tone EMIC
392 waves, however further research is needed to determine if this is true.

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406 <http://www.ngdc.noaa.gov/stp/space-weather/satellite-data/satellite-systems/gps/>.
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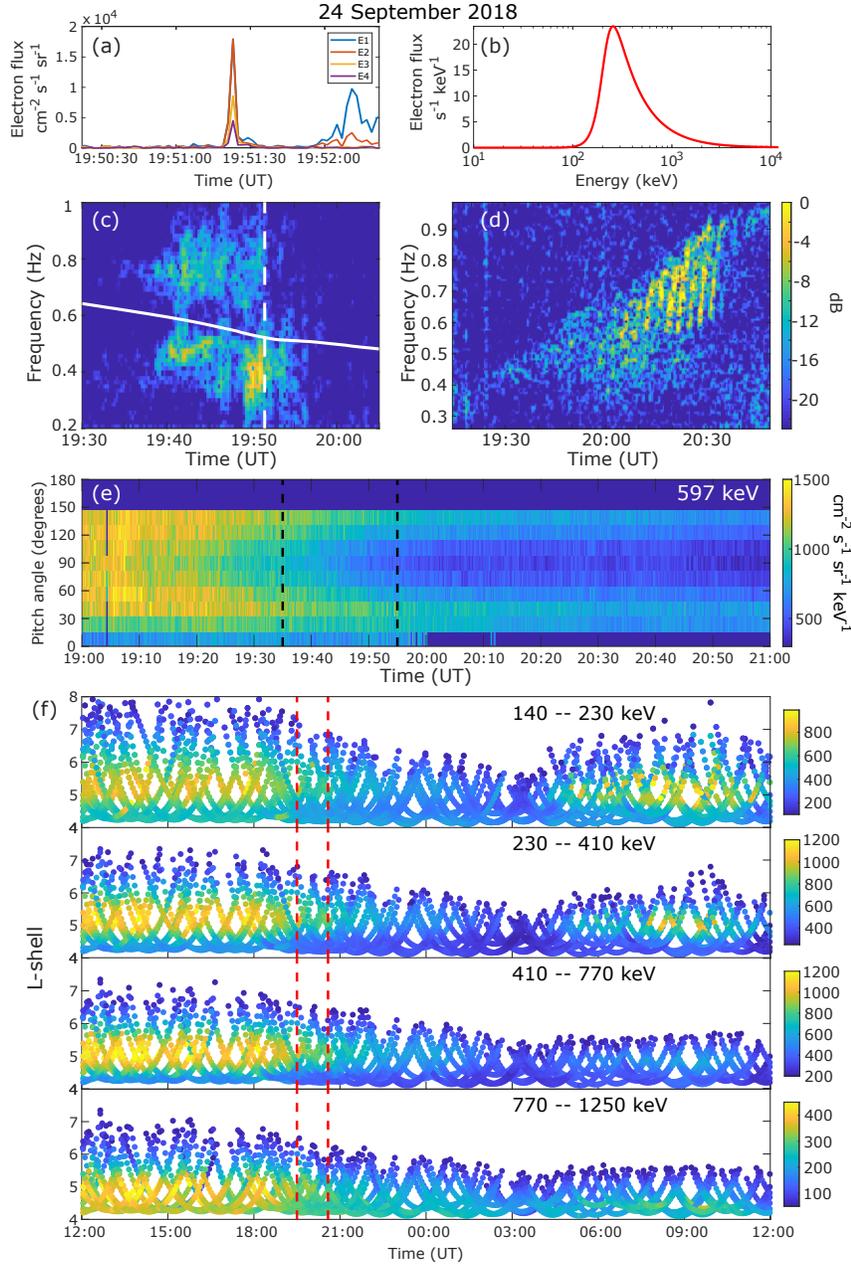
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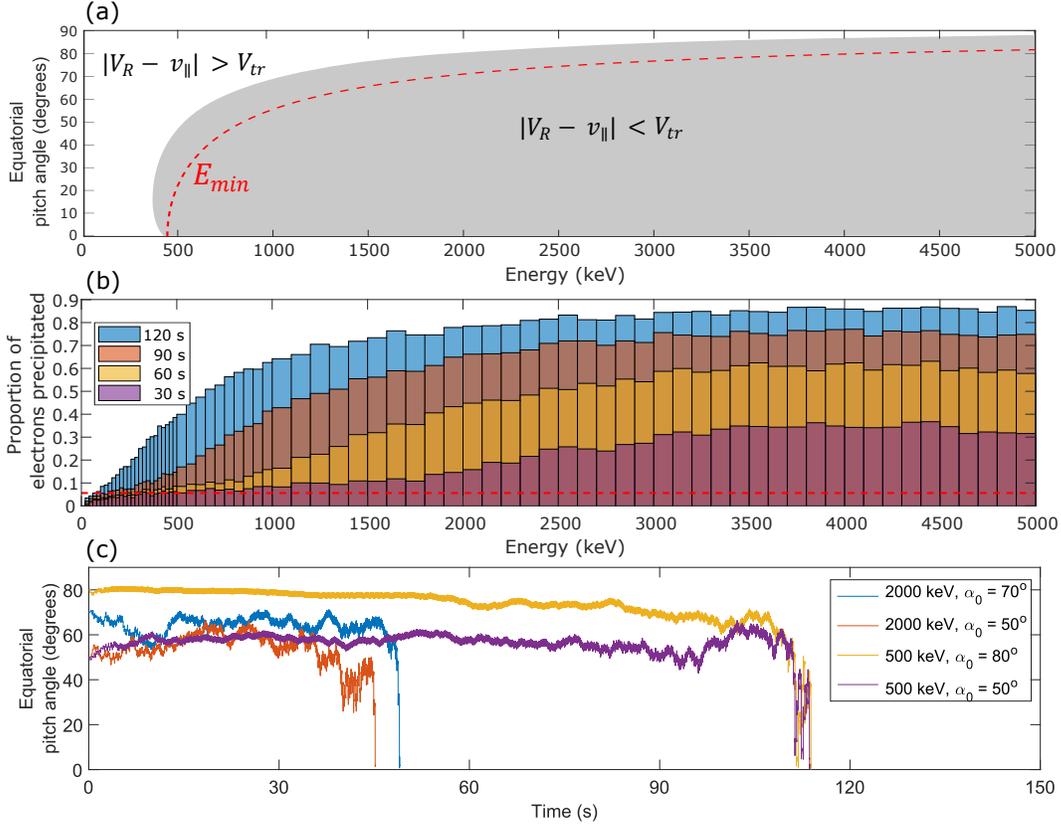
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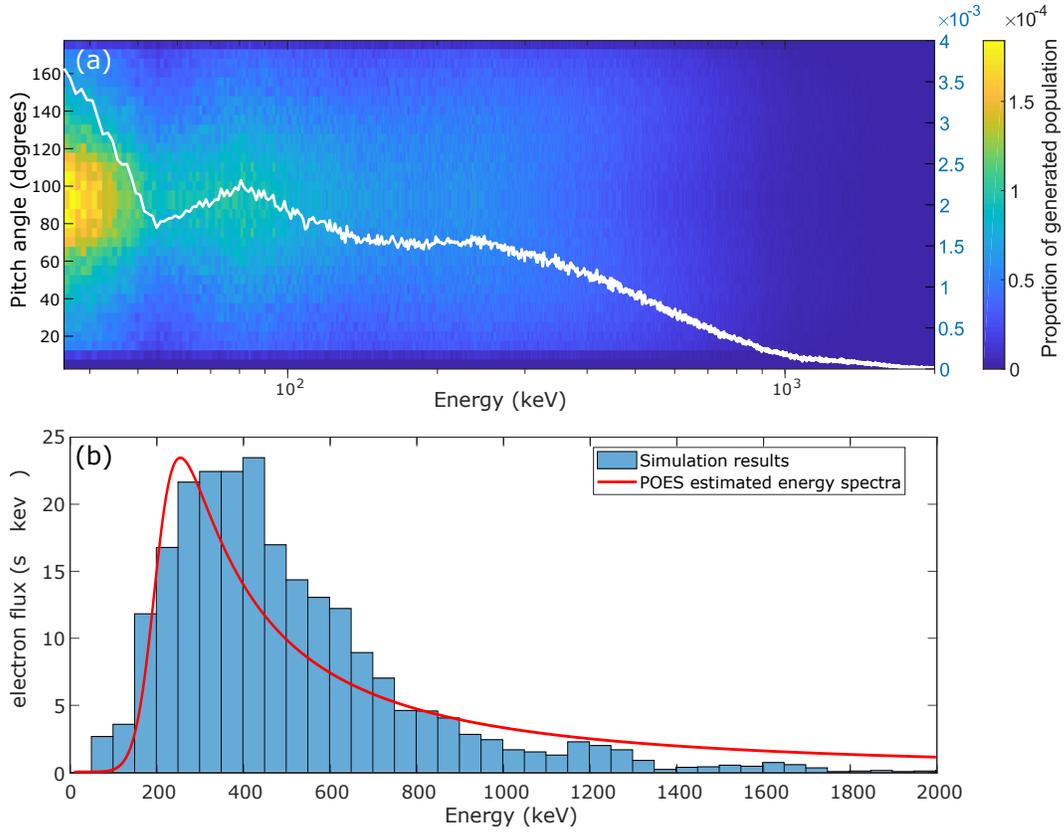
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120 **Figure 1.** (a) POES MEPED 0° E1–E4 flux, showing clear electron precipitation spikes
 121 indicative of EMIC wave activity. Note that the E1 and E2 spikes are identical, and so the
 122 E1 spike is not visible in this plot. (b) Estimated POES MEPED electron precipitation flux
 123 spectrum, with peak flux occurring at roughly 250 keV. (c) Spectrogram of the y -component
 124 (field-aligned coordinates) of the RBSP EMFISIS magnetic field data at the time of the POES
 125 precipitation spike (white dashed line), with a solid white line indicating the He^+ gyrofrequency.
 126 (d) Spectrogram of the dD/dt component of the ZGN induction magnetometer, showing clear
 127 rising-tone elements. (e) RBSP ECT MagEIS pitch-angle resolved electron flux at the event time.
 128 The black dashed lines indicate the period of wave activity as seen in the EMFISIS instrument.
 129 (f) Combined electron flux observations from the 21 GPS CXD instruments, across the E1–E4
 130 (140–1250 keV) channels. The red dashed lines indicate the extent of the EMIC wave activity as
 131 seen from the ZGN magnetometer.



281 **Figure 2.** (a) Depiction of the region in pitch-angle and energy-space for which Equation (1)
 282 holds and thus nonlinear trapping is possible, calculated at the magnetic equator, with the min-
 283 imum resonant energy shown in red. (b) Evolution of the equatorial pitch angles of a sample of
 284 the precipitated test electrons. (c) Evolution of the precipitated population of the test electrons,
 285 binned by energy, at 30, 60, 90, and 120 s. The red dashed line indicates the electron popula-
 286 tion initially located just outside the bounce loss cone, which are rapidly lost due to stochastic
 287 scattering.



317 **Figure 3.** (a) Distribution of the generated electrons in energy and pitch-angle. The white
 318 line represents the energy spectrum of this distribution summed across all pitch-angles. The
 319 scales on the right represent the proportion of the total generated electron population. (b) Com-
 320 parison of the POES-derived electron precipitation flux spectrum (red line) with the precipitation
 321 predicted by the test particle simulation between 119–120 s (cyan histogram).