

# UFKW propagation in the dissipative thermosphere

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## Key Points:

- UFKW with periods less than about 4 days can effectively penetrate above 100 km altitude.
- Dissipation broadens UFKW latitude structures with increasing height and lengthens vertical wavelengths with increasing latitude.
- Ion drag dampens UFKW amplitudes with increasing efficiency at higher solar activity levels.

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**Abstract**

“Ultra-fast” Kelvin waves (UFKWs) serve as a mechanism for coupling the tropical troposphere with the mesosphere, thermosphere and ionosphere. Herein, solutions to the linearized wave equations in a dissipative thermosphere in the form of “Hough Mode Extensions (HMEs)” are employed to better understand the vertical propagation of the subset of these waves that most effectively penetrate into the thermosphere above about 100 km altitude; namely, UFKWs with periods  $\lesssim 4d$ , vertical wavelengths ( $\lambda_z$ )  $\gtrsim 30$  km, and zonal wavenumber  $s = -1$ . Molecular dissipation is found to broaden latitude structures of UFKWs with increasing height while their vertical wavelengths ( $\lambda_z$ ) increase with latitude. Collisions with ions fixed to Earth’s magnetic field (“ion drag”) are found to dampen UFKW amplitudes, increasingly so as the densities of those ions increase with increased solar flux. The direct effect of ion drag is to decelerate the zonal wind. This leads to suppression of vertical velocity and the velocity divergence, and related terms in the continuity and thermal energy equations, respectively, that lead to diminished perturbation temperature and density responses. Access is provided to the UFKW HMEs analyzed here in tabular and graphical form, and potential uses for future scientific studies are noted.

**1 Plain Language Summary**

In earth’s atmosphere, Kelvin waves (KWs) are eastward-propagating oscillations with periods of days to weeks that are centered on the equator and confined to low latitudes. They are forced by the spatial-temporal variability of the heat of condensation (“latent heating”) that is released when rising moist air forms rain droplets, mainly in the tropics. As with many atmospheric waves, they propagate vertically and grow exponentially with height in concert with the decrease in atmospheric density and pressure. The KWs that survive the trip from near the surface to about 100 km altitude are called ‘ultra-fast’ Kelvin waves, or UFKWs. Just above 100 km, they reach maximum amplitudes where their exponential growth is curtailed by the viscosity of this part of the atmosphere. Here they interact with ionized particles (the ionosphere) and generate electric fields that ultimately drive ionospheric variability at higher altitudes ( $> 200$  km), thus presenting an element of “space weather” to navigation and communications systems. In this paper we model a set of UFKWs to better understand how their amplitudes, vertical and latitudinal structures change as they propagate above 100 km, and

44 in so doing advance our knowledge of the physical processes underpinning near-earth space  
45 weather.

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## 2 Introduction

In the classical theory of waves in a rotating, horizontally-stratified atmosphere without dissipation, the linearized wave equations are separable in height and latitude, giving rise to an eigenfunction-eigenvalue problem wherein the eigenfunctions(eigenvalues) of Laplace’s tidal equation (LTE) define the waves’ latitudinal(vertical) structures (e.g., Chapman and Lindzen, 1970; Longuet-Higgins, 1968; Volland, 1988). When the eigenvalues are plotted versus wave frequency, both gravity-type (“Class I”) and rotational (“Class II”) waves can be identified, both eastward- and westward-propagating, with positive and negative eigenvalues. Positive eigenvalues are generally associated with vertical propagation, while negative eigenvalues are generally associated with vertically-trapped or evanescent solutions. Kelvin waves are the first symmetric modes of the eastward-propagating Class I oscillations. They are characterized by Gaussian-shaped horizontal structures centered on the equator for zonal winds, temperature, vertical velocity, density, and pressure, and comparatively small meridional winds that are antisymmetric about the equator. Kelvin waves are thought to be primarily generated by latent heating associated with tropical convection. This paper is concerned with the subset of Kelvin waves with high enough phase speeds to survive filtering and dissipation in the mesosphere and stratosphere, and with large enough amplitudes to measurably impact the dynamics and electrodynamics of the thermosphere and ionosphere; these are referred to as “ultra-fast Kelvin waves” (UFKW, Salby, 1984). Based on measurements that reflect UFKW activity in the vicinity of 100 km as well as the F-region ionosphere (e.g., Chang et al., 2010; Forbes et al., 2009; Gu et al., 2014; Liu et al., 2015; and references therein), and theoretical constraints imposed later in this paper, in practice this means UFKW periods between about 2 and 5 days (hereafter 2d and 5d) and zonal wavenumber  $s = -1$ , where  $s < 0$  implies eastward propagation (see below).

UFKWs and solar tides are similar in many respects, and in fact the same mathematical formulation can be adopted for both. The expression

$$A(z, \theta) \cos(\omega t + s\lambda - \phi(z, \theta)) \quad (1)$$

represents a global-scale atmospheric oscillation in any atmospheric variable (e.g., temperature, wind speed, etc.), where  $A(z, \theta)$  is its amplitude;  $z$  is altitude;  $\theta$  is latitude;  $\omega$  is wave frequency;  $t$  is Universal Time, UT;  $s$  is the zonal wavenumber;  $\lambda$  is longitude; and  $\phi(z, \theta)$  is its phase (UT of amplitude maximum at  $\lambda = 0$ , or longitude of maximum

77 at UT = 0). In this notation  $s < 0$  ( $s > 0$ ) implies eastward (westward) propagation.  
 78 Expression (1) applies to tides if  $\omega = n\Omega$  where  $\Omega = 2\pi \text{ d}^{-1}$  and integer  $n = 1, 2, 3$   
 79 refers to diurnal, semidiurnal and terdiurnal oscillations, respectively. Expression (1) ap-  
 80 plies to UFKWs if  $n$  is replaced by non-integer  $\delta = 1/\tau$  in the definition of  $\omega$ , where  
 81  $\tau$  is the wave period (d); for instance,  $\delta = 0.5$  corresponds to a 2d UFKW, and  $\delta = 0.25$   
 82 corresponds to a 4d UFKW.

83 Observations of solar tides and UFKWs that identify their zonal wavenumbers are  
 84 practically absent within the 110 km to 300 km height regime where these waves undergo  
 85 dissipation, maximize in amplitude, and approach asymptotic values due to increasingly  
 86 efficient molecular diffusion of heat and momentum. Most of what we know is inferred  
 87 from modeling, which has been mainly devoted to solar tides. In this regard, a method-  
 88 ology has been developed to “extend” the Hough modes of classical tidal theory into the  
 89 dissipative thermosphere. This methodology involves solving the linearized tidal equa-  
 90 tions for an oscillation of a given frequency and zonal wavenumber in the thermosphere  
 91 where dissipation in the form of molecular diffusion and anisotropic ion drag dominate  
 92 the solutions. And, in order for HMEs to serve as basis functions that are universally  
 93 applicable, the background atmospheric state is assumed to be horizontally-stratified (i.e.,  
 94 latitude-independent). This also implies zero mean winds. These constraints are con-  
 95 sistent with the assumptions leading to the existence of Hough modes in an atmosphere  
 96 without dissipation. Thermosphere dissipation combined with planetary rotation ren-  
 97 ders the solutions inseparable; that is, the horizontal structures are a function of height,  
 98 or equivalently, the vertical structures are a function of latitude. The inseparability also  
 99 requires a numerical solution. The resulting height-latitude structures for each Hough  
 100 Mode are referred to as ‘Hough Mode Extensions’ (HMEs; Lindzen et al., 1977; Forbes  
 101 and Hagan, 1982).

102 HMEs are global, extending pole to pole and from the source to 400 km altitude.  
 103 They are forced with a heat source confined to the troposphere, and with latitude shape  
 104 given by the corresponding classical Hough mode. The HMEs consist of perturbation  
 105 zonal, meridional and vertical winds ( $U, V, W$ ), temperature ( $\Delta T$ ), relative density ( $\Delta\rho/\rho_0$ )  
 106 and geopotential height ( $\Delta\Phi_h$ ) that possess internally self-consistent relative amplitude  
 107 and phase relationships for any given HME. So, if the amplitude and phase of the per-  
 108 turbation wind field is known for a given HME at a single latitude and height, then all  
 109 the fields  $U, V, W, \Delta T, \Delta\rho/\rho_0, \Delta\Phi_h$  are known for all latitudes and all heights. This lat-

110 ter property of HMEs lends itself to the fitting of observational data. For example, Forbes  
111 et al. (1991) used HMEs to simultaneously fit SW2 winds and temperatures between 80  
112 and 150 km, and by reconstruction arrived at a monthly climatological model of hori-  
113 zontal and vertical winds, temperatures and densities in this height region.

114 Svoboda et al. (2005) subsequently utilized HMEs to fit tidal wind components DE3,  
115 D0, DW1, and DW2 measured by the High Resolution Doppler Imager (HRDI) instru-  
116 ment on the Upper Atmosphere Research Satellite (UARS) at 95 km to similarly arrive  
117 at an internally-consistent global climatology of diurnal tidal temperatures, winds and  
118 densities in the 80 km to 120 km height region. Oberheide et al. (2010) conducted a sim-  
119 ilar tidal fitting/reconstruction investigation, except using monthly- and multi-year-mean  
120 tidal winds and temperatures between about 80 km and 120 km from the Thermosphere  
121 Ionosphere Mesosphere Energetics and Dynamics (TIMED) mission. This resulted in the  
122 Climatological Tidal Model of the Thermosphere (CTMT), consisting of monthly-mean  
123 diurnal and semidiurnal tidal winds, temperatures and perturbation densities extend-  
124 ing from pole to pole and from 0 to 400 km altitude. Six diurnal and eight semidiurnal  
125 tidal components are included in the CTMT. Oberheide et al. (2009) and Häusler et al.  
126 (2012) fit DE3 HMEs to E-region observations, and demonstrated that the HME exten-  
127 sions at 400 km could capture the salient features of DE3 winds, temperatures and den-  
128 sities measured by the CHAMP satellite, which underscores the viability of HMEs to pro-  
129 vide insights into coupling between  $\sim 100$  km and 400 km. More recently, HMEs have  
130 been fit to tidal winds and temperatures measured between 90 km and 110 km by the  
131 Ionospheric Connection (ICON) mission to then serve as global lower boundary condi-  
132 tions at 97 km for the Thermosphere Ionosphere Electrodynamics General Circulation  
133 Model-ICON (TIEGCM-ICON; Maute, 2017) (Forbes et al., 2015; see also Cullens et al.,  
134 2020). This enables self-consistent comparisons between E-region neutral dynamics and  
135 the plasma drifts and density redistributions in the F-region due to electric fields gen-  
136 erated by dynamo action in the E-region.

137 Despite the similarities between solar tides and UFKWs noted previously, and the  
138 relevance of the latter to the dynamics and electrodynamics of the thermosphere-ionosphere,  
139 and to how these regions are influenced by the meteorology of the tropical troposphere,  
140 HMEs for UFKWs have never been computed. It is one objective of this paper to present  
141 computations of HMEs, and to analyze them to provide new insights into how UFKWs  
142 serve to vertically couple the lower and upper regions of the thermosphere and ionosphere.

Specific questions that we seek to answer are as follows: What are the fundamental characteristics of UFKW propagation in the dissipative thermosphere? How do these characteristics vary with wave period? How do UFKW and their propagation characteristics vary with level of solar activity? How are wind, temperature and density responses similar and different, and what is the underlying physics? A second objective of the present work is to document UFKW HMEs and to make them publicly available for future use by the research community. Towards these ends, the following section provides additional details on the computation of HMEs. Section 4 illustrates how UFKW penetration into the thermosphere varies with wave period and solar cycle; what changes in UFKW structure accompany viscous dissipation; the role of ion drag; and the solar cycle variability of  $U, V, \Delta T$  and  $\Delta\rho/\rho_0$  attributable to UFKWs. Conclusions are provided in Section 5.

### 3 Computation of UFKW HMEs

The model used to compute the HMEs is identical to that used by Forbes (1982) to investigate the vertical propagation of diurnal and semidiurnal tides into the thermosphere, except that specification of the background atmosphere and ionosphere through which the waves propagate has been modified. The model is steady-state, and solves the linearized momentum, thermal energy, hydrostatic, continuity and state equations for a specified forcing in the lower atmosphere. Complex solutions of the form  $f' \sim \hat{f} \exp(i\omega t + s\lambda)$  are assumed for the three wind components  $u', v', w'$  (eastward, southward and vertical) and temperature, density and pressure perturbations  $T', \rho', p'$ , on an assumed zonal and diurnal-mean basic state, leading to consolidation into 4 second-order partial differential equations in  $\hat{u}, \hat{v}, \hat{w}, \hat{T}$  with respect to height ( $z$ , 0 to approximately 400 km) and colatitude ( $\theta$ , pole to pole). Perturbation relative densities and geopotential heights are calculated post-facto using the linearized continuity and state equations. A stretched vertical variable is implemented to enable different vertical resolutions in the lower boundary layer, middle atmosphere and thermosphere; tabulations in the Supporting Information (SI) (see below) are consequently based on sampling the output in increments of  $\approx 4$  km. See Forbes (1982) for additional details regarding stretched variable, boundary conditions, method of numerical solution, and so forth.

The molecular and thermal conductivities, and the formulation of ion drag coefficient used in the current work are those specified in Forbes (1982). His “moderate” profile of eddy diffusivity ( $\nu_{eddy}$ ) with maximum value of  $50 \text{ m}^2\text{s}^{-1}$  is also adopted here; UFKW

175 simulations above 100 km are weakly dependent on this choice. As noted in the Intro-  
176 duction, the HME calculation assumes latitude-independent specifications of neutral at-  
177 mosphere properties, ion drag and molecular dissipation. Herein the neutral atmosphere  
178 and ionosphere models used in Forbes (1982) are replaced by the NRLMSIS2.0 model  
179 (Emmert et al., 2020) and the analytic Chiu (1975) model, respectively. In NRMLM-  
180 SIS2.0, the local time, longitude, and intra-annual variations are turned off, reducing the  
181 neutral density and temperature specifications for the HMEs to an annual- and diurnal-  
182 mean specification at the equator. The 10.7-cm solar flux unit (s.f.u.) values input into  
183 the model correspond to F10.7 = 75, 100, 125, 150, 175, and 200, which translate to ex-  
184 osphere temperatures of 753K, 853K, 943K, 1024K, 1096K, and 1159K. The correspond-  
185 ing temperature profiles are illustrated in Figure S1 of the SI.

186 For the ionospheric model, average profiles of electron density and ion drag coef-  
187 ficient for each level of solar activity were calculated that correspond to diurnal means  
188 at 0° longitude, and averaged between -30° and +30° latitude. This choice is consistent  
189 with the observed low-latitude extent of UFKWs near 100 km (e.g., Davis et al., 2012;  
190 Liu et al., 2015, 2019). The corresponding electron density profiles and ion drag coef-  
191 ficients for each level of solar activity are provided as Figures S2 and S3, respectively of  
192 the SI. Given the simple way that the background atmosphere and ionosphere are im-  
193 plemented in the model, use of the HMEs in scientific studies must keep these simpli-  
194 fications in mind.

195 Each HME is forced with a heat source confined to the troposphere, and with lat-  
196 itude shape given by the corresponding Hough mode. The heat source for each HME of  
197 a given period is arbitrarily normalized to yield an equatorial temperature amplitude of  
198 10K at 98 km for F10.7 = 75. The same heat source is used for all HMEs of a given pe-  
199 riod, which means there can be very small differences from the 10K value at 98 km for  
200 other levels of solar activity. The phase at 98 km is also arbitrary, determined by the  $\lambda_z$   
201 of the oscillation and by the arbitrarily chosen phase of heating (UT = 0 at 0° longitude).  
202 Amplitudes and phases (hereafter amps/phzs) of all other variables at all other heights  
203 and latitudes are consistent in a relative sense to this normalization, in keeping with the  
204 HME solutions described in the previous subsection.

205 Given that UFKW events are episodic, one might ask whether a steady-state HME  
206 is applicable to UFKWs in the actual thermosphere. Chang et al. (2010) used a GCM

207 to investigate the ionosphere-thermosphere response to 3d UFKW lower-boundary forc-  
208 ing at 30 km lasting for 10 days. A maximum response (near to steady-state) in neutral  
209 density was achieved at 325 km within 4 days after forcing commenced, a steady-state  
210 was achieved after an additional 4 days, and the response continued at steady-state lev-  
211 els for an additional 6 days after the forcing was set to zero. Given that 3d UFKW events  
212 are observed to occur over 20 day periods (Liu et al., 2017), it is concluded that UFKWs  
213 are regularly long-lived enough to achieve quasi-steady-state conditions similar to those  
214 emulated in the HMEs.

215 As demonstrated in the following section, UFKWs with periods  $> 5$ d do not pen-  
216 etrate efficiently into the thermosphere due to their short  $\lambda_z$  ( $< 37$  km) and relatively  
217 long periods which make them particularly susceptible to dissipation. The existing lit-  
218 erature on UFKWs in the mesosphere/lower thermosphere (MLT), and on ionospheric  
219 coupling by UFKWs, are generally focused on the 3d UFKW. This is due in part to the  
220 fact that satellite-based data are generally required to get both zonal wavenumber and  
221 wave period, which restrict the Nyquist frequency to  $0.5\text{d}^{-1}$ . However, there exists mod-  
222 eling (Pancheva et al., 2016; Forbes, Maute et al., 2020) and observational evidence (Gu  
223 et al., 2014; Forbes, He et al., 2020) that UFKW with periods in the 2d-3d range exist  
224 in the MLT. For these reasons, the present study is focused on UFKW with periods be-  
225 tween 2d and 5d.

226 The HME data files described in the SI and accessible through Forbes et al. (2022)  
227 correspond to  $s = -1$  UFKW simulations that extend from pole to pole and 0 to 400  
228 km altitude, and correspond to wave periods between 2d and 5d at increments of 0.5d.  
229 In addition, by analogy with solar tides (e.g., Oberheide et al., 2009), UFKW are expected  
230 to exhibit measurable variability with respect to solar cycle, which warrants some quan-  
231 tification of those effects. Data files are therefore provided for F10.7 values of 75, 125,  
232 and 175 s.f.u. Height versus latitude (hereafter, htvslat) plots of  $U$ ,  $V$  and  $T$  are also in-  
233 cluded in the SI for periods of 2,3,4 and 5d at these levels of solar activity.

234 Also included in the accessible data are files containing tabulations of various quan-  
235 tities related to solutions of LTE for each of the above HMEs. These include Hough func-  
236 tions that define the horizontal structures of heating used to force the HMEs, the cor-  
237 responding  $U$  and  $V$  expansion functions, the eigenvalues of the UFKWs, and an esti-  
238 mate of the UFKW  $\lambda_z$  based on an isothermal atmosphere of 256K (i.e.,  $H = 7.5$  km and

239  $dH/dz = 0$  in Equation (2) below). The eigenfunctions and eigenvalues were calculated  
 240 using the same basic methodology as outlined in Chapman and Lindzen (1970), and were  
 241 validated against a range of independently-determined values cited in , e.g., Flattery (1967)  
 242 and Longuet-Higgins (1968).

## 243 4 Results

### 244 4.1 General UFKW HME characteristics

245 Figure 1 illustrates the htvslat structures of  $U$ ,  $V$  and  $\Delta T$  for the 3d UFKW. This  
 246 3d UFKW with  $\Delta T = 9.92\text{K}$  and  $U = 29.4 \text{ ms}^{-1}$  at  $0^\circ$  latitude is at the high end of ob-  
 247 served 3d UFKW amplitudes quoted in Gu et al. (2014), Liu et al. (2015) and England  
 248 et al. (2012). We note that  $U$  peaks at an altitude of about 110 km, which is where ex-  
 249 ponential growth with height ceases, and molecular viscosity and thermal conductivity  
 250 begin to determine the behavior of the UFKW. Below 110 km, the horizontal structure  
 251 of  $U$  is characterized by the Gaussian shape of its corresponding Hough mode. Above  
 252 this height the phase progression with height begins to measurably change with latitude,  
 253 with longer  $\lambda_z$  occurring at higher latitudes. Also, the latitude structure of  $U$  flattens  
 254 and spreads to higher latitudes with height, and assumes non-zero values at the poles.  
 255 (This extension of UFKW wind amplitudes to the poles cannot occur for  $s \neq -1$  UFKWs,  
 256 since only wind oscillations with  $|s| = 1$  can exist at the poles Hernandez et al. (1992,  
 257 1993).) The htvslat structure for  $\Delta T$  similarly spreads latitudinally and develops longer  
 258  $\lambda_z$  at higher latitudes, although continuity at the poles requires zero amplitudes there.  
 259 The horizontal structure of  $V$  develops maxima at the poles in the strongly dissipative  
 260 regime above 150 km, an unusual characteristic for UFKW which are usually thought  
 261 to be oscillations confined to low latitudes. These modifications to amp/phz structures  
 262 are indicative of the inseparability of the system of equations in the dissipative thermo-  
 263 sphere.

264 A theoretical basis for the vertical evolution of horizontal structures described above  
 265 is provided in the analytic work of Volland (1974; see also Volland and Mayr, 1977) de-  
 266 veloped for solar tides, but which can reasonably be expected to apply to UFKW as well  
 267 (e.g., Forbes, 2000). Volland (1974) approximates the molecular viscosity and thermal  
 268 conductivity diffusion terms in the momentum and thermal energy equations with lin-  
 269 ear friction terms with coefficients that increase exponentially with height, and which

270 enter as the imaginary part of a complex frequency,  $\omega_c$ : ( $\omega_c = \omega + i\nu_{eff}$ ). Volland (1974)  
 271 then discusses the behavior of the solutions to the linearized equations with complex fre-  
 272 quency as  $\nu_{eff}/\omega$  increases from  $\leq 1$  to  $\gg 1$ , i.e., as  $z$  increases from  $\sim 110$  km to  $\sim 200$   
 273 km. In this dissipative regime, he shows that the Class I (gravity) and Class II (rota-  
 274 tional) solutions to LTE pass over to a single ‘thermospheric mode’ of oscillation with  
 275 eigenfunctions characteristic of gravitational modes but with negative eigenvalues, the  
 276 latter traditionally being associated with evanescent solutions. Moreover, as  $\nu_{eff}/\omega$  be-  
 277 comes large, solutions approach  $U \sim \text{constant}$ ,  $V \sim \sin \theta$ , and  $T \sim \cos \theta$ , which char-  
 278 acterize the salient features of the solutions above  $\sim 200$  km depicted in Figure 1. Fur-  
 279 ther details can be found in Volland (1974), Volland and Mayr (1977) and Forbes (2000).

280 Another interesting feature of the structures in Figure 1 is the variation with height  
 281 of the vertical wavelength ( $\lambda_z$ ), as indicated by the spacing of the colored contours. The  
 282  $\lambda_z$  for U transitions from a  $\lambda_z$  of 71 km in the mesosphere (50 km to 80 km) to a  $\lambda_z$  of  
 283 51 km in the lower thermosphere (90 km to 120 km), and then to 165 km (463 km) at  
 284 150 km (200 km) altitude. (At these high altitudes the traditional definition of  $\lambda_z$  as the  
 285 distance between two wave crests does not apply, and the quoted values are “equivalent”  
 286  $\lambda_z$  based on the rate of phase progression extrapolated to  $2\pi/3d$ . In classical tidal the-  
 287 ory, which neglects the effects of dissipation, a quantity of the form  $m^2 = [H(\kappa + dH/dz)/h_n -$   
 288  $1/4]/H^2$  appears in the vertical structure equation that suggests its interpretation as the  
 289 square of a vertical wavenumber  $m = 2\pi/\lambda_z$ . This leads to the following expression for  
 290 the vertical wavelength of a vertically-propagating oscillation:

$$\lambda_z \approx \frac{2\pi H}{\sqrt{\frac{H}{h_n}(\kappa + \frac{dH}{dz}) - \frac{1}{4}}} \quad (2)$$

291 where  $H$  is the scale height of the background atmosphere,  $\kappa = R/c_p$ , and  $h_n$  is the so-  
 292 called “equivalent depth” (eigenvalue) of the associated Hough mode. Taking mesospheric  
 293 values of  $H = 6.78$  Km and  $dH/dz = -.073$  and  $h_n = 2.23$  km, equation (2) yields  $\lambda_z =$   
 294 67 km, in reasonable agreement with the HME value of 71 km noted above. For lower  
 295 thermosphere values of  $H = 6.00$  Km and  $dH/dz = +.20$ , a value of  $\lambda_z = 37$  km is ob-  
 296 tained, in contrast to the HME value of 51 km. However, equation (2) neglects the ef-  
 297 fects of dissipation, the presence of which in the HME likely accounts for much of this  
 298 disparity. At the very least, equation (2) appears to account for the shift from longer  $\lambda_z$   
 299 to shorter  $\lambda_z$  below/above the mesopause as indicated in Figure 1. At higher altitudes

where molecular dissipation is even more influential,  $\lambda_z$  lengthens and approaches  $\infty$  as amplitudes and phases asymptote to constant values in the upper thermosphere.

Figure 2 presents U amps/phzs for the 2d and 4d UFKWs for F10.7 = 75, with mesospheric  $\lambda_z$  of 244 km and 46 km, respectively. These  $\lambda_z$  transition to 81 km and 41 km, respectively in the lower thermosphere, before increasing with height at higher levels. The latitudinal width of the 2d UFKW is wider than that of the 4d UFKW, consistent with expectations from inviscid classical wave theory. The 2d UFKW in Figure 2 achieves a maximum amplitude of 68 ms<sup>-1</sup> at an altitude of 111 km, and effectively penetrates to higher levels ( $\sim 15$  ms<sup>-1</sup> at 250 km). To the contrary, the 4d(5d) UFKWs only achieve maximum amplitudes of 33(28) ms<sup>-1</sup> at 104 km and amplitudes of 3(1.5) ms<sup>-1</sup> at 250 km. These differences can be understood by estimating the relative importance of viscous(thermal conductivity) terms to  $\partial/\partial t$  terms in the UFKW momentum(thermal energy) equations. For molecular viscosity, this ratio is

$$\chi = \frac{4\pi^2}{\lambda_z^2} \frac{\mu_0}{\rho_0 \delta \Omega} \quad (3)$$

where  $\lambda_z$  is the vertical wavelength;  $\mu_0$  is the coefficient of molecular viscosity;  $\rho_0$  is the total mass density, which increases with level of solar activity; and  $\delta\Omega$  is the wave frequency, where  $\delta = 0.5(0.2)$  for 2d(5d) UFKW. For a Prandtl number of unity, a similar condition holds for the thermal energy equation (Forbes and Garrett, 1979). According to expression (3), at a given height the effects of viscosity are greatest for waves with smaller  $\lambda_z$ , smaller  $\delta$  and smaller  $\rho_0$ , consistent with results discussed connection with Figures 1 and 2. The dependence on the square of  $\lambda_z$  is also notable.

To summarize, as UFKW periods(frequencies) progressively increase(decrease) from 2d(0.5d<sup>-1</sup>) to 5d(0.2d<sup>-1</sup>), their latitudinal extents progressively increase while their  $\lambda_z$  entering the thermosphere progressively decrease from 244 km to 37 km. According to (3), molecular dissipation is inversely proportional to both the wave frequency and the square of  $\lambda_z$ . Therefore, UFKW with the longer periods are severely dissipated, their vertical penetration severely curtailed, and their amplitudes reduced, compared to those with shorter periods. In our numerical model, it is our experience that diurnal tides ( $\delta = 1.0$ ) with  $\lambda_z < 30$  km do not penetrate efficiently into the thermosphere. This explains why the  $s = -1$  2d-5d first *antisymmetric* propagating modes with  $\lambda_z \leq 15$  km are not considered in the present study. The same applies to UFKWs with periods  $> 5d$  which possess mesospheric  $\lambda_z \leq 37$  km.

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## 4.2 Dependence on solar activity level

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In this section we investigate the dependence of UFKWs on solar cycle, with focus on the 3d UFKW. The role of ion drag in determining the vertical penetration and solar cycle dependence of the 3d UFKW is also examined. For this purpose HMEs were calculated for F10.7 levels of 75 through 200 in increments of 25 s.f.u. All the numerical values are consistent with the same normalizations as Figures 1 and 2; that is, a maximum (equatorial) temperature of 10K at 98 km for F10.7 = 75. Moreover, while  $U$ ,  $\Delta T$  and  $\Delta\rho/\rho_0$  are perhaps the more physically relevant quantities in terms of comparisons with observations and so forth, here we consider  $U$ ,  $W$ ,  $\Delta T/T_0$  and  $\Delta\rho/\rho_0$  since these are the quantities whose physical inter-relationships primarily determine the behavior of the HMEs. For instance, if we omit the terms in the linear perturbation equations delineated in Forbes (1982) that relate to a latitudinally-varying background atmospheric state, then the following forms of the continuity, thermal energy, zonal momentum equation, and state equations, respectively, in the thermosphere relate  $u'$ ,  $w'$ ,  $T'/T_0$ ,  $\rho'/\rho_0$  (the time domain analogs of  $U$ ,  $W$ ,  $\Delta T/T_0$  and  $\Delta\rho/\rho_0$ ):

$$\frac{\partial}{\partial t}\left(\frac{\rho'}{\rho_0}\right) = -w' \frac{1}{\rho_0} \frac{d\rho_0}{dz} - \chi' \quad (4)$$

$$\frac{\partial}{\partial t}\left(\frac{T'}{T_0}\right) = -w' \frac{1}{T_0} \frac{dT_0}{dz} - (\gamma - 1)\chi' + F_\kappa T' \quad (5)$$

$$\frac{\partial}{\partial t}u' + 2\Omega \cos\theta v' = -\frac{RT_0}{a \sin\theta} \frac{\partial}{\partial \lambda} \frac{p'}{p_0} - \epsilon_0 u' + F_\mu u' \quad (6)$$

$$\frac{p'}{p_0} = \frac{\rho'}{\rho_0} + \frac{T'}{T_0} \quad (7)$$

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where  $\theta$  is colatitude,  $a$  is Earth's radius,  $R$  is the gas constant,  $\gamma = c_p/c_v$ ,  $\chi'$  is the divergence of the perturbation velocity field, subscript zeroes represent the zonal- and diurnal-mean averaged basic state (a function of height only), and the primes represent perturbations on that basic state. The quantities

$$F_\mu = \frac{1}{\rho_0} \frac{\partial}{\partial z} \mu_0 \frac{\partial}{\partial z}, \quad F_\kappa = \frac{\gamma - 1}{R\rho_0} \frac{\partial}{\partial z} \kappa_0 \frac{\partial}{\partial z} \quad (8)$$

350 represent the effects of molecular viscosity and thermal conductivity, respectively. The  
 351 UFKW fields plotted in the figures in this paper represent amplitudes and phases of as-  
 352 sumed complex solutions of the primed quantities in the above equations of the form  $e^{i(\sigma t + s\lambda)}$ .

353 The reader is first referred to Figure 3(a), where the solar cycle variations of  $U$  and  
 354  $\Delta T/T_0$  at 400 km altitude are plotted. All values are normalized to a value of unity at  
 355  $F10.7 = 75$ , and the normalization factors are provided below the figure. The figure shows  
 356 that  $U = 8.7 \text{ ms}^{-1}$  at  $F10.7 = 75$ , and reduces to 0.40 times this value for  $F10.7 = 200$ .  
 357 On the other hand,  $\Delta T/T_0 = 1.16\%$  ( $\Delta T = 8.7\text{K}$ ) at  $F10.7 = 75$  and decreases to 0.68  
 358 times this value for  $F10.7 = 200$ . Moreover, when the ion drag coefficients ( $\epsilon_0, \epsilon_0 \sin^2 I$ ,  
 359 where  $I$  is the magnetic dip angle) in the zonal and meridional momentum equations are  
 360 set equal to zero ( $\epsilon_0 = 0$ ), the  $U$  and  $\Delta T/T_0$  amplitudes at  $F10.7 = 75$  increase to  $28.2$   
 361  $\text{ms}^{-1}$  and  $2.46\%$  ( $\Delta T = 18.5\text{K}$ ) with modest changes in the variation with respect to so-  
 362 lar cycle. Notable results of these numerical experiments thus include the smaller vari-  
 363 ation with solar cycle of  $\Delta T/T_0$  compared to  $U$ ; and the influence of ion drag, which serves  
 364 to reduce  $\Delta T/T_0$  by a factor of  $\sim 2$  and  $U$  by a factor of  $\sim 3-4$ , depending on level of so-  
 365 lar activity, from their  $\epsilon_0 = 0$  values.

366 Height profiles of  $U$  and  $\Delta T/T_0$  are presented in Figures 3(d) and 3(e), respectively,  
 367 for  $F10.7 = 75$  and  $F10.7 = 175$ . In Figure 3(d), we see the influences of molecular dis-  
 368 sipation alone in the  $\epsilon_0 = 0$  vertical profiles of  $U$ : the profiles reach a peak near 110 km,  
 369 and then decrease by about a factor of 2 before increasing slightly and then asymptot-  
 370 ing to constant values at higher altitudes. This type of behavior was anticipated in early  
 371 analytical work on atmospheric tides by Lindzen (1968), Yanowitch (1967) and Richmond  
 372 (1975) (see also summary provided in Forbes and Garrett, 1979) wherein it was shown  
 373 (i) that the peak height is influenced by the altitude where  $\chi = 1$ , and by the presence  
 374 of rotation; and that (ii) the shape of the profile above the peak is determined by the  
 375 quantity  $\beta = 2\pi H_D/\lambda_z$ , where  $H_D$  is the scale height for increase in dissipation. Specif-  
 376 ically, as  $\beta$  increases, the more the wave amplitudes above the peak are expected to de-  
 377 crease prior to asymptoting to a constant value in the upper thermosphere. Since the  
 378 vertical wavelengths of UFKW considered here are in the same range as those investi-  
 379 gated in these early works, the same tendencies are expected to apply. In the present 3d  
 380 UFKW case where the inviscid  $\lambda_z$  is fixed at about 71 km, the greater decrease in  $U$   
 381 amplitude above the peak for  $\epsilon = 0$  and  $F10.7 = 175$  (compared to  $U$  for  $\epsilon = 0$  and  $F10.7$

382 = 75 in Figure 3(d)) is qualitatively consistent with the fact that  $H_D$  increases with in-  
 383 creased solar activity.

384 The analytic solutions referred to above were achieved by parameterizing the ef-  
 385 fects of molecular diffusion (e.g., expressions (8)) with an exponentially-increasing lin-  
 386 ear damping coefficient in the thermal energy equation, and thus are at best qualitatively  
 387 relevant to the current results. Moreover, the predicted behavior with respect to  $\beta$  was  
 388 obtained in connection with solution of the parameter  $y_n$  to the vertical structure equa-  
 389 tion in classical tidal theory, and the vertical structures of  $U, W, \Delta T, \Delta \rho$  and  $\Delta p$  are all  
 390 somewhat different (although not explicitly shown in those works) due to the different  
 391 functional dependencies of these variables on  $y_n$ . The different vertical structures of  $U,$   
 392  $\Delta T/T_0$  and  $\Delta \rho/\rho_0$  reflected in Figures 3(d)-3(f) should perhaps not be surprising in light  
 393 of their different dependencies on  $y_n$ . The equatorial amp/phz vertical structures of all  
 394 the variables referred to in Figure 3 ( $U, W, \Delta T/T_0, \Delta T$  and  $\Delta \rho/\rho_0$ ), for  $F10.7 = 75$  and  
 395  $F10.7 = 175$ , and for  $\epsilon_0 = 0$  and  $\epsilon_0 \neq 0$ , appear in Figure S4 of the SI.

396 We return now to the specific influence of ion drag on the solar cycle variability of  
 397  $U, W, \Delta T/T_0, \Delta T$  and  $\Delta \rho/\rho_0$ . Since ion drag occurs in the momentum equations, with  
 398 the predominant effect occurring with respect to  $U$  for the UFKW (e.g., equation (6)),  
 399 we begin with the zonal wind,  $U$ . As indicated in Figure 3(a), the addition of ion drag  
 400 reduces the magnitude of  $U$  in comparison to its  $\epsilon_0 = 0$  value, and intensifies its de-  
 401 crease with increasing  $F10.7$ . However, this solar cycle variation is not monotonic with  
 402 respect to  $F10.7$  at all altitudes, as illustrated in Figure 3(c). There we note that the value  
 403 of  $U$  at 250 km,  $U_{250}$ , decreases from  $F10.7 = 75$  to 125, but then increases from  $F10.7$   
 404 = 125 to 200. This is related to the steady increase in height of the F-layer maximum  
 405 with increasing solar cycle (see Figure S3 in SI), which manifests as an increase(decrease)  
 406 in  $\epsilon_0(U)$  between  $F10.7 = 75$  to 125, and a decrease(increase) in  $\epsilon_0(U)$  from  $F10.7 = 125$   
 407 to 200. This sensitivity underscores the direct influence of level of solar activity on the  
 408 UFKW zonal wind exerted by the ion drag coefficient  $\epsilon_0$ .

409 As illustrated in Figure 3(b), the overall reduction in  $U$  compared with  $\epsilon = 0$  (Fig-  
 410 ure 3(d)), and the monotonic decrease of  $U$  with increasing solar cycle due to ion drag  
 411 (Figures 3(a) and 3(c)), results in similar reductions in vertical velocity  $W$ , which must  
 412 also translate to the velocity divergence,  $\chi'$ . In the context of Equation (4), reductions  
 413 in  $w'$  and  $\chi'$  with increasing  $F10.7$  imply a similar reduction in  $\Delta \rho/\rho_0$ . Moreover, in the

414 upper thermosphere where the scale height ( $H$ ) is approximately constant with altitude,  
 415 the coefficient of  $w'$  reduces to  $1/H$ , and since  $H$  increases with F10.7, this compounds  
 416 the reduction in  $\Delta\rho/\rho_0$  with respect to F10.7 as compared with  $w'$  acting alone. In con-  
 417 trast, in equation (6) the coefficient of  $w'$  involving the vertical gradient of background  
 418 temperature tends to zero in the upper thermosphere, and the coefficient  $\gamma-1$  of  $\chi'$  is  
 419 0.4 as compared to 1.0 in equation (4). These factors indicate that the reduction of  $\Delta T/T_0$   
 420 with respect to increasing F10.7 (Figure 3(a)) should be more muted than that of  $\Delta\rho/\rho_0$   
 421 (Figure 3(b)), and this is indeed the case. In addition, the presence of the  $F_\kappa$  term in  
 422 equation (5), the effect of which is to remove vertical gradients in  $\Delta T$  in the upper ther-  
 423 mosphere, is clearly responsible for the differences in vertical structure between  $\Delta T/T_0$   
 424 and  $\Delta\rho/\rho_0$  reflected in Figures 3(e) and 3(f).

425 As a final point, we note the appearance of  $p'/p_0$  in equation (6) and its relation  
 426 to  $\rho'/\rho_0$  and  $T'/T_0$  in equation (7). From Figure S4 in the SI, it is noted that  $\Delta\rho/\rho_0$  and  
 427  $\Delta T/T_0$  are nearly in phase in the upper thermosphere, and thus both act in concert with  
 428 each other and with  $U$  in terms of solar cycle variabilities displayed in Figures 3(a)-3(c).

### 429 4.3 Discussion of mean wind effects on UFKW HMEs and their use

430 Given that the calculation of HMEs omits background winds, and considering that  
 431 UFKW possess longer periods than solar tides, the question arises as to what effects this  
 432 omission might have on addressing the science questions raised in the Introduction that  
 433 define the objectives of this paper, and on how HMEs might be employed in practice.  
 434 In this subsection we provide and interpret results from numerical models in light of avail-  
 435 able measurements of zonal- and diurnal-mean winds ( $\bar{U}$ ), leading to some new insights  
 436 into how  $\bar{U}$  are expected to influence the vertical propagation of UFKWs in the ther-  
 437 mosphere. The subsection concludes with an assessment of the  $\bar{U} = 0$  assumption on the  
 438 conclusions of our study, and how this assumption potentially impacts the application  
 439 of HMEs in scientific studies.

440 The potential influence of  $\bar{U}$  on tides, UFKWs and planetary waves is often assessed  
 441 in terms of the ratio of the wave's zonal phase speed ( $C_{ph}$ ) to  $\bar{U}$ , although sufficiently  
 442 large meridional gradients in  $\bar{U}$  can also play a role (e.g., McLandress, 2002).  $C_{ph}$  is given  
 443 by  $\frac{-2\pi a \cos \theta}{sP}$  where  $P$  is the wave period in days. Therefore, as a point of reference,  $C_{ph}$   
 444 for the 3d UFKW with  $s = -1$  is equal to that of the diurnal tide with  $s = -3$  (DE3, also

445 an UFKW), or  $154 \text{ ms}^{-1}$  at the equator. Gasperini et al. (2017) diagnose the effects of  
446 mean winds and dissipation on both DE3 and the 3d UFKW in a general circulation model  
447 for solar minimum conditions, and find that the effects of asymmetric mean winds are  
448 to distort the horizontal shapes of these waves, and to shift their centroids towards west-  
449 ward wind regimes.

450 A signature feature of the asymmetric winds depicted in Gasperini et al. (2017)  
451 are the  $\sim \pm 40\text{-}60 \text{ ms}^{-1}$  eastward(westward) jets between the equator and about  $60^\circ$  lat-  
452 itude in the summer(winter) hemisphere, with maxima between about 100 and 120 km.  
453 These jets are actually “secondary” jets that result from the deposition of momentum  
454 by eastward-(westward-) propagating GWs in the summer(winter) hemisphere that do  
455 not encounter critical levels in the westward(eastward) jets below that encompass both  
456 the stratosphere and mesosphere. However, in comparison with  $\bar{U}$  distributions in the  
457 100 km to 120 km height region between  $40^\circ\text{S}$  and  $40^\circ\text{N}$  latitude based on Wind Imag-  
458 ing Interferometer (WINDII) measurements from the Upper Atmosphere Research Satel-  
459 lite (UARS) (Zhang et al., 2007), these jets are much larger in magnitude than the typ-  
460 ical 10 to  $20 \text{ ms}^{-1}$   $\bar{U}$  indicated by WINDII. Also, the secondary jets in WINDII  $\bar{U}$  have  
461 their maxima at about 95 km, as opposed to  $\sim 110$  km in Gasperini et al. (2017). More-  
462 over, influence of these secondary jets on the  $\bar{U}$  distributions in Gasperini et al. (2017)  
463 appears to extend up to  $\sim 150$  km and perhaps beyond, especially for December solstice.  
464 Therefore, any distortions seen in DE3 or UFKW shapes due to  $\bar{U}$  above  $\sim 100$  km in  
465 Gasperini et al. (2017) represent exaggerations of what exists in reality.

466 However, the Gasperini et al. (2017) results are still useful for gaining new insights  
467 into the effects of asymmetric mean wind fields on UFKW. In particular, it is notable  
468 that these effects are significantly more severe for DE3 than for the UFKW despite the  
469 fact that they share the same  $C_{ph}$ , and that their full latitudinal widths at half-maximum  
470 are both about  $30^\circ$ , and thus are exposed to the same mean wind distributions. If we  
471 assume that to first order the above asymmetries in DE3 and the UFKW are accommo-  
472 dated by the linear superposition of one or more antisymmetric modes that are gener-  
473 ated by “mode coupling” (e.g., Lindzen and Hong, 1974) or “cross coupling” Walterscheid  
474 and Venkateswaran (1979a,b), then this disparity between mean wind effects on DE3 and  
475 the UFKW can be plausibly explained as follows. The first antisymmetric mode of DE3  
476 has horizontal structure similar in extent to the first symmetric mode and  $\lambda_z = 30$  km,  
477 whereas the first antisymmetric mode of the UFKW has horizontal structure that is more

478 equatorially confined than that of DE3 and with  $\lambda_z = 7$  km (see Gasperini et al., 2017,  
 479 their Figure 4). (Note: the higher-order modes of DE3 and 3d UFKW have even shorter  
 480  $\lambda_z$ , and likely play secondary roles.) Our interpretation is that relative to DE3, the UFKW  
 481 is constrained in terms of its ability to distort in response to an asymmetric wind field  
 482 through coupling into an antisymmetric mode, and moreover, that antisymmetric mode  
 483 once generated is subject to about 18 times more dissipation than the antisymmetric mode  
 484 of DE3. Note that any antisymmetric modes that result from the presence of mean winds  
 485 have short  $\lambda_z$ , and cannot propagate vertically in the dissipative thermosphere. There-  
 486 fore, their effects on distorting UFKWs are expected to remain local, a conclusion drawn  
 487 in an earlier numerical study by Forbes (2000).

488 The work by Forbes (2000) is one that is specifically directed at assessing mean wind  
 489 effects on the 3d UFKW. The numerical model that is employed is the same one used  
 490 here to create HMEs, except that the background temperature, density and wind spec-  
 491 ifications are based on earlier-era models (Hedin, 1991; Hedin et al., 1996) for July and  
 492 F10.7 = 90 s.f.u. The “realistic”  $\bar{U}$  distribution adopted in that study is provided in Fig-  
 493 ure 4(a). Of particular relevance, the  $-12$  ms $^{-1}$  to  $+24$  ms $^{-1}$   $\bar{U}$  winds between 90 and  
 494 120 km are characterized by similar  $\pm$ wind magnitudes, and meridional and vertical gra-  
 495 dients, to those reported by Zhang et al. (2007) during June, July and August. The  $\bar{U}$   
 496 between 120 km to 250 km is currently unknown, due to the absence of both day and night  
 497 wind measurements. However, the  $\bar{U}$  in Figure 4(a) above 150 km is mainly attached to  
 498 the in-situ solar-driven circulation, and is not open to the degree of uncertainty in  $\bar{U}$  at  
 499 lower altitudes that is thought to be mainly driven by dissipation of the full spectrum  
 500 of waves propagating into the thermosphere from below.

501 Figure 4(b) depicts zonal wind amplitudes for the 3d UFKW based on the  $\bar{U}$  winds  
 502 in Figure 4(a), and Figure 4(c) shows the zonal wind amplitudes when  $\bar{U} = 0$  above 88  
 503 km (corrected from 90 km as stated in Forbes, 2000). The tropospheric forcing is iden-  
 504 tical in both cases, with the horizontal shape given by the Hough function for the first  
 505 symmetric (Kelvin) mode with period = 3d and  $s = -1$ . Comparing the two, the height-  
 506 latitude structures and amplitudes are, as expected, identical below about 90 km. In Fig-  
 507 ure 4(b), there is only modest distortion compared to Figure 4(c) below 150 km, and above  
 508 150 km a nearly symmetric latitudinal shape emerges. This is consistent with the inter-  
 509 pretation that the higher-order modes generated through mode coupling remain trapped  
 510 near their levels of excitation. In Figure 4(c) the greater symmetry near the peak in the

511 absence of mean winds is evident. With the addition of mean winds in Figure 4(b), the  
 512 UFKW amplitude emerges above 150 km with a somewhat reduced amplitude compared  
 513 with the no-wind case, presumably because the UFKW has passed over some of its en-  
 514 ergy to higher-order modes, which remain trapped at lower heights. In Figure 4(b) it is  
 515 also noted that above 150 km the latitudinal structure remains symmetric, despite the  
 516 presence of  $\pm 24 \text{ ms}^{-1} \bar{U}$  winds in the equatorial region; presumably this is due to the  
 517 dominant effects of dissipation.

518 The Forbes et al. (2000) study is confined to July conditions and the 3d UFKW.  
 519 For other months of the year, the WINDII  $\bar{U}$  observations remain within the  $\pm 10\text{-}25 \text{ ms}^{-1}$   
 520 range between 100-120 km, so significant differences in the degree of  $\bar{U}$  effects on the 3d  
 521 UFKW are not expected to occur throughout the year. The  $C_{ph}$  of the 2d(5d) UFKW  
 522 is 1.5(0.6) times faster(slower) than the 3d UFKW, so one might expect mean wind ef-  
 523 fects on the 2d(5d) UFKW to be somewhat less(greater) than that of the 3d UFKW.  
 524 On the other hand, the latitudinal half-width of the 2d(5d) UFKW is about  $60(40)^\circ$ , and  
 525 the first antisymmetric mode of the 2d(5d) UFKW has a  $\lambda_z$  of 15(3) km. Based on the  
 526 reasoning derived from the analysis of DE3 and the 3d UFKW results in Gasperini et  
 527 al. (2017), it could be heuristically argued that inhibition of UFKW distortion in con-  
 528 nection with mode coupling acts in opposition to the  $C_{ph}$  effect; that is, the 2d(5d) UFKW  
 529 is more(less) subject to distortion through mode coupling than the 3d UFKW. However,  
 530 this reasoning would benefit from a series of numerical experiments directed at these spe-  
 531 cific questions.

532 Assuming that the interpretation of the Figure 4 results are correct, then this sug-  
 533 gests that the transfer of energy to higher-order modes might introduce an effective damp-  
 534 ing effect on the symmetric part of the UFKW that is not included in any of the HMEs  
 535 calculated here. That is, that the HME UFKW emerging at, say, 150 km could hypo-  
 536 thetically be somewhat larger than the quasi-symmetric UFKW that would emerge from  
 537 a 100 km to 150 km region containing a typical  $\bar{U}$  distribution. However, based on the  
 538 comparisons between Figures 4(b) and 4(c), this effect does not appear to impact the  
 539 broad conclusions drawn in previous subsections regarding the other effects of dissipa-  
 540 tion on vertically-propagating UFKWs, including broadening latitude structures with  
 541 increasing height; lengthening vertical wavelengths with increasing latitude; the depen-  
 542 dence of vertical penetration on UFKW period and associated  $\lambda_z$ ; and the influences of  
 543 ion drag, including its dependence on solar activity and the underlying physics of how

544 ion drag in the momentum equation manifests in temperature and density responses as  
545 a function solar activity.

546 When fitting UFKW HMEs to data that represent an  $s = -1$  UFKW, e.g., in the  
547 upper mesosphere and/or lower thermosphere, it must be remembered that the HME  
548 will only project onto the symmetric part of that experimentally-determined UFKW, and  
549 the HME will extrapolate that symmetric component to various heights and latitudes.  
550 In such a context, it may or may not matter whether that extrapolation does not include  
551 any asymmetries or distortions that have their origins in mean winds. It depends on the  
552 problem at hand. For instance, if the application involves the dynamo generation of elec-  
553 tric fields, then it is relevant to note that by analogy with DE3 as established by Jin et  
554 al. (2008), it is the component of  $U$  that is symmetric about the equator and in the vicin-  
555 ity of the peak in Hall conductivity near 106 km that is primarily responsible for the ef-  
556 ficient generation of electric fields (see also Forbes, He et al., 2020, on this latter point).  
557 (Recall that  $V$  and amplitudes are small compared to  $U$  amplitudes for UFKW). The  
558 asymmetric part of the wind field primarily exerts its dynamo influence through the gen-  
559 eration of field-aligned currents (Maeda, 1974). Therefore, wind effects that simply pro-  
560 duce asymmetries about the equator may be inconsequential in terms of affecting the  
561 generation of electric fields, whereas mean winds that displace the centroid of the UFKW  
562  $U$  distribution with respect to the equator can result in large reductions in the electric  
563 fields that an UFKW would otherwise generate. Proximity to the Hall conductivity peak  
564 also implies that UFKW over the full range of 2d-5d may be important for generating  
565 electric fields, even though only shortest-period UFKW are effective in penetrating well  
566 into the thermosphere. Finally, in the application wherein an HME is fit to an UFKW  
567 measured in the lower thermosphere for the purposes of specifying lower boundary con-  
568 ditions for TIEGCM-ICON (Maute, 2017), the vertical-latitudinal extrapolation provided  
569 by the HME is not needed, since TIEGCM-ICON will model that UFKW evolution self-  
570 consistently with its own background wind field and dissipation. Therefore, judicious and  
571 effective use of UFKW HMEs requires a firm understanding of the problem at hand, the  
572 nature of the HMEs being fit, and how the simplifying assumptions behind the calcu-  
573 lation of HMEs influences any interpretations that are made on the HME extrapolations  
574 based on that fit.

## 575 5 Conclusions

576 The htvslat structures and solar cycle variability of winds, densities and temper-  
 577 atures associated with  $s = -1$  UFKWs with periods between 2d and 5d are investigated  
 578 through the use of HMEs analogous to those employed in the literature for diurnal and  
 579 semidiurnal tides. The conclusions drawn are as follows:

- 580 1. UFKW with periods  $\gtrsim 5$ d do not effectively penetrate  $\gtrsim 100$  km altitude due to  
 581 increased dissipation accompanying increasingly short  $\lambda_z$  and long periods.
- 582 2. Dissipation broadens UFKW latitude structures with increasing height and length-  
 583 ens vertical wavelengths with increasing latitude.
- 584 3. Ion drag significantly dampens UFKW amplitudes in the thermosphere, and re-  
 585 duces their amplitudes in concert with changes in background atmospheric con-  
 586 ditions that result from increased solar activity. The direct effect of ion drag is  
 587 to decelerate the zonal wind. This leads to suppression of vertical velocity and ve-  
 588 locity divergence that in turn diminish perturbation temperature and density re-  
 589 sponses.
- 590 4. The 20 to 40  $\text{ms}^{-1}$  3d UFKW E-region wind amplitudes reported herein, which  
 591 are calibrated against observations in the 90 km to 100 km region reported in the  
 592 literature, are of similar magnitude to DE3 winds extracted from ICON observa-  
 593 tions (Forbes et al., 2021), and which were shown to be responsible for F-region  
 594 equatorial vertical drifts and electron density variability of order  $\pm 5$ -10  $\text{ms}^{-1}$  and  
 595 25-35%, respectively. Similar ionospheric impacts are expected from UFKWs.
- 596 5. It was noted herein that UFKWs are episodic, and do not represent responses to  
 597 the type of quasi-steady day-to-day forcing that characterizes solar tides. Based  
 598 on UFKW simulations published by Chang et al. (2020), it was argued that the  
 599 thermosphere response is fast enough, and the typical length of UFKW events long  
 600 enough, that UFKWs arguably achieve steady-state conditions on a regular ba-  
 601 sis; thus, the salient features of their structures are reasonably emulated by HMEs.
- 602 6. The potential effects of background winds ( $\bar{U}$ ) on UFKW propagation in the ther-  
 603 mosphere is assessed herein, based on numerical model results and measurements  
 604 of  $\bar{U}$ . It was concluded through a combination of theoretical reasoning, interpre-  
 605 tation of DE3 and UFKW results in Gasperini et al. (2017), and a simulation with  
 606 a “realistic”  $\bar{U}$  distribution as compared with one wherein  $\bar{U} = 0$  (Forbes, 2000),

607 that these effects are sufficiently modest that their omission in the calculation of  
608 HMEs does not detract from the broad conclusions itemized above. Nevertheless,  
609 the arguments presented herein regarding  $\bar{U}$  could potentially benefit from a se-  
610 ries of numerical simulations that supplement those in Forbes (2000), although the  
611 absence of any observational determinations of the  $\bar{U}$  distribution between 120 km  
612 and 250 km would remain a limiting aspect of any results so produced.

- 613 7. The UFKW HMEs analyzed here are described in the Supporting Information and  
614 accessible through Forbes et al. (2022), and can be used for scientific studies sim-  
615 ilar to those that have been conducted using tidal HMEs, as outlined in the In-  
616 troduction.

617 Users of HMEs are cautioned not to overestimate the capabilities of HMEs with  
618 expectations that some level of *detail* regarding their behavior in the thermosphere can  
619 be emulated. Any fits of HMEs to experimental determinations of UFKWs project only  
620 on to the components of those UFKWs that are symmetric about the equator, and any  
621 HME calibrated in this way will only characterize a symmetric UFKW at various heights  
622 and latitudes outside the fitting domain. Whether this is sufficient for the scientific prob-  
623 lem at hand must be determined by the user. In fact, a major motivation for creation  
624 of the HME data set was to enable characterization of observation-based UFKW lower  
625 boundary conditions for TIEGCM-ICON, by analogy with its currently-designed use for  
626 forcing solar tides (Maute, 2017). In such a scenario an  $s = -1$  UFKW of given pe-  
627 riod based on ICON wind and temperature measurements would be fit the with corre-  
628 sponding HME, thus providing pole-to-pole specifications of all of its dependent variables  
629 as a function of longitude and UT for input into TIEGCM-ICON. TIEGCM-ICON would  
630 then model the latitude-height and time evolution of the UFKW, taking full self-consistent  
631 account of mean winds, dissipation, ion drag and dynamo electric fields, and all of the  
632 corresponding ionospheric consequences. In such a scenario the height-latitude evolu-  
633 tion of the UFKW as provided by the HME is no longer needed or relevant. It is expected  
634 that the degree of utility of UFKWs in scientific studies and their level of veracity will  
635 emerge through their use.

## 6 Data Availability Statement

The Hough Mode and Hough Mode Extension data sets pertinent to this paper can be found at <https://doi.org/10.5281/zenodo.7144325> (Forbes et al., 2022). (note to JGR publications: activation pending JGR publication doi to be placed on Zenodo web site).

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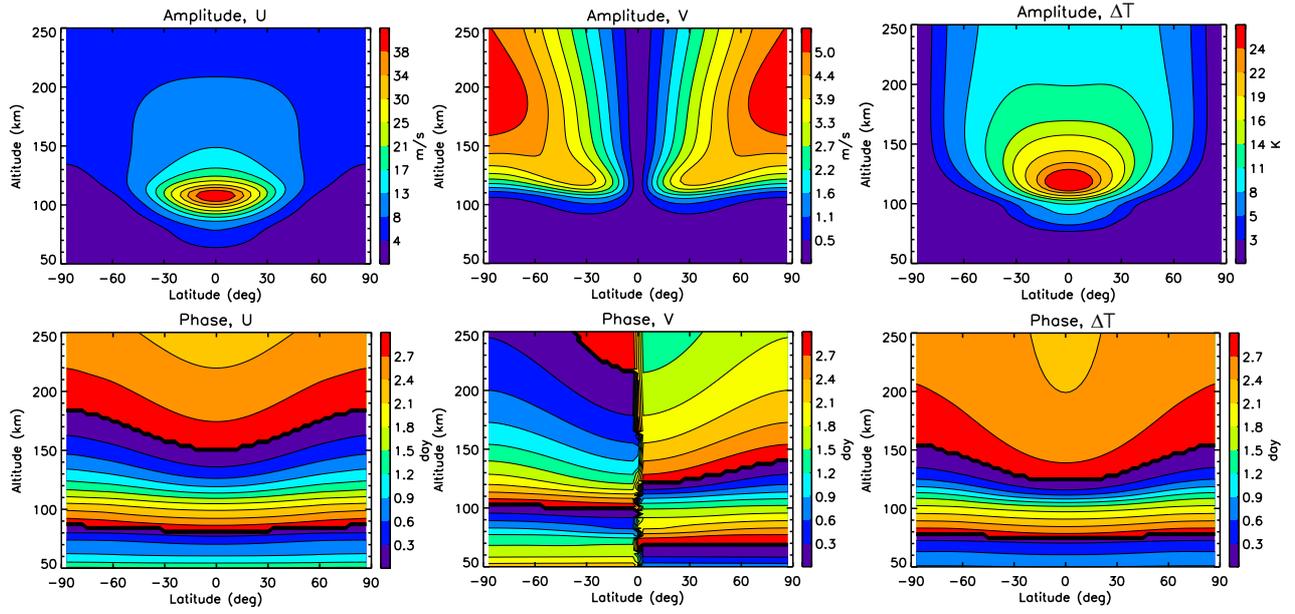
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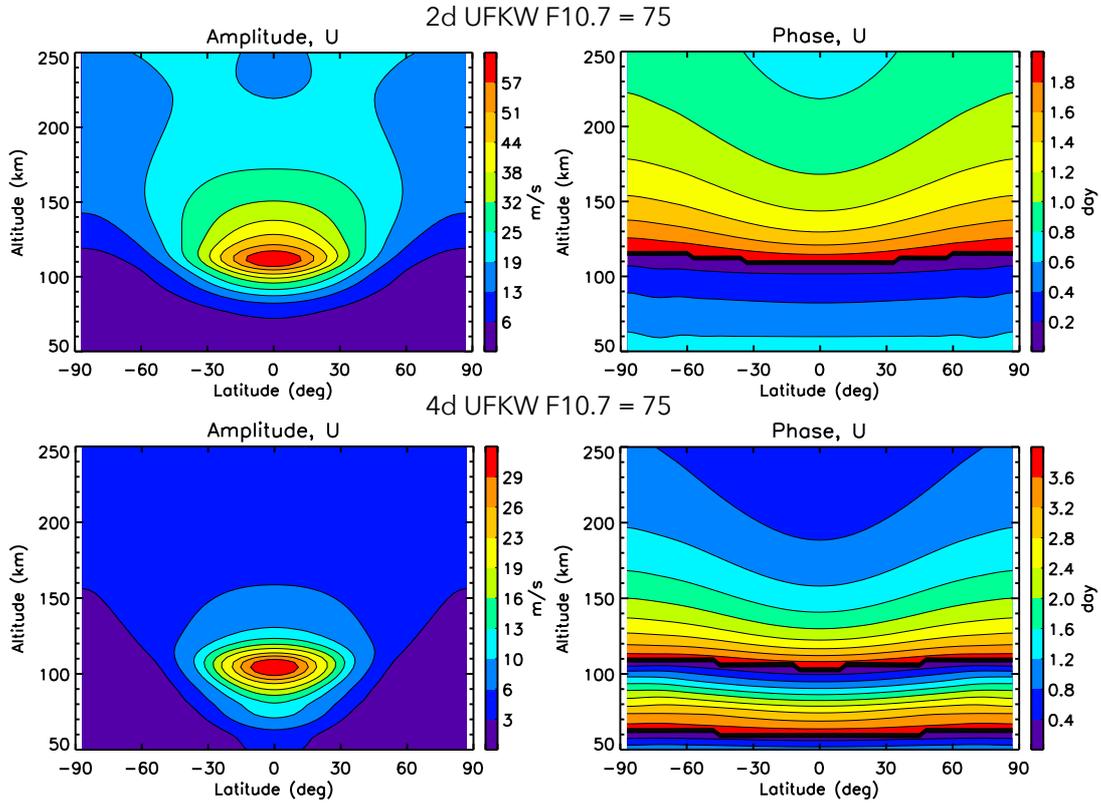
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812 **Figure 1.** U, V, and  $\Delta T$  amplitudes (top) and phases (middle) of the 3d UFKW for F10.7 =  
 813 125 as a function of height and latitude.

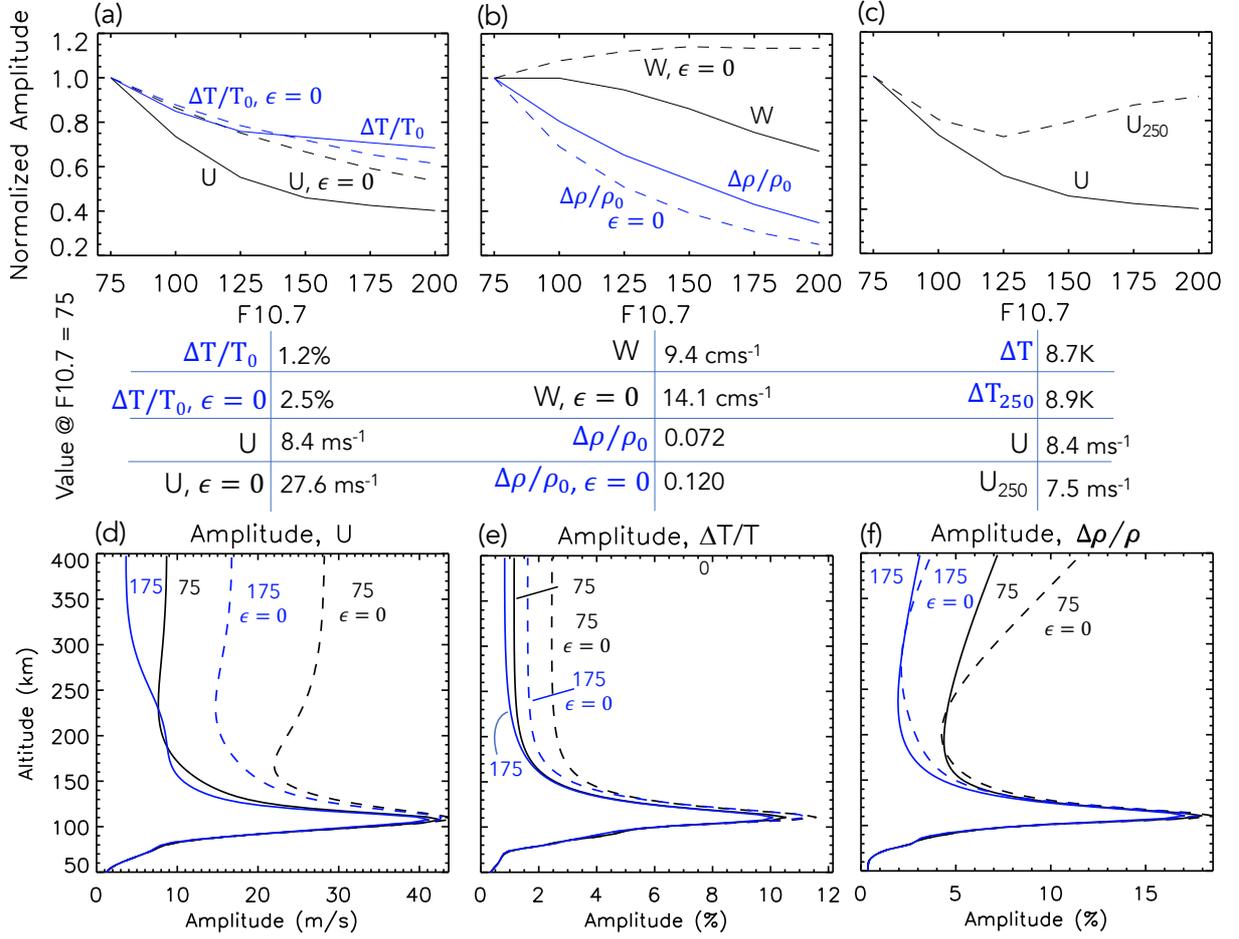


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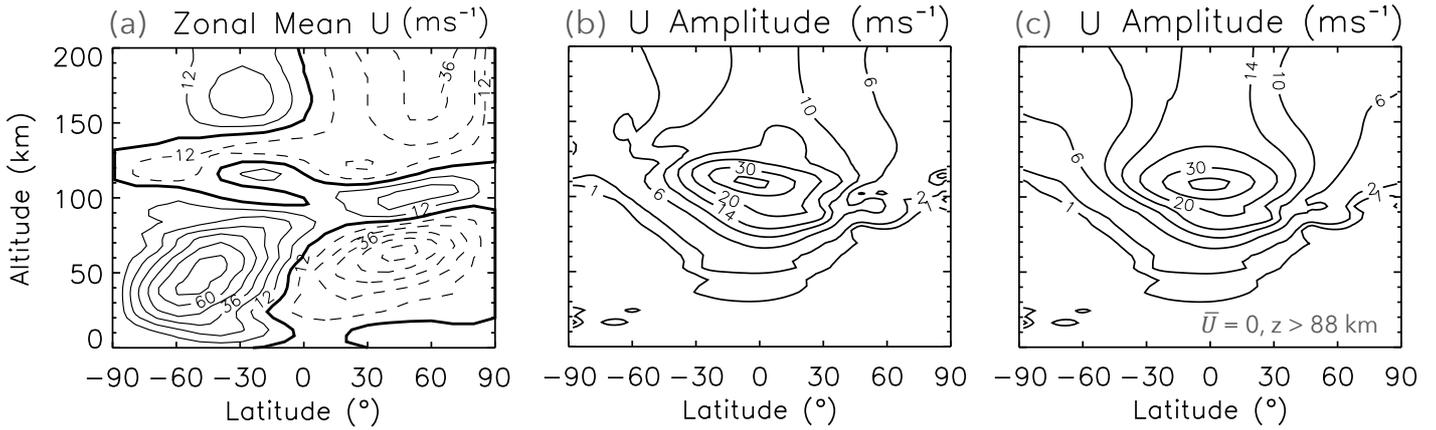
**Figure 2.** Amplitude (left) and phase (right) of U for 2d (top) and 4d (bottom) UFKW as a

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function of height and latitude for F10.7 = 75.



816 **Figure 3.** Panels (a) and (b): Latitude vs. F10.7 variability of various UFKW dependent  
 817 variables at 400 km altitude with and without ( $\epsilon_0 = 0$ ) ion drag, normalized to unity at F10.7 =  
 818 75. Normalization factors are provided just below panels (a) and (b). Panel (c): Amplitude vs.  
 819 F10.7 variability of U at 400 km altitude and U at 250 km altitude ( $U_{250}$ ), normalized to unity  
 820 at F10.7 = 75 according to the factors just below panel (c). Panels (d)-(f): height profiles of U,  
 821  $\Delta T/T_0$  and  $\Delta\rho/\rho_0$ , respectively, for F10.7 = 75 and F10.7 = 175 with and without ( $\epsilon = 0$ ) ion  
 822 drag.



823 **Figure 4.** Results from numerical modeling of the 3d UFKW as described in Forbes (2000),  
 824 replotted here from 0 km to 200 km altitude: (a):  $\bar{U}$  assumed in the calculations. (b): U ampli-  
 825 tude of the UFKW assuming the  $\bar{U}$  distribution in (a). (c): The same as (b), except with  $\bar{U} = 0$   
 826 for  $z > 88$  km altitude. Panel (c) was not shown in Forbes (2000), which only illustrated results  
 827 for temperature and vertical velocity amplitudes for this particular numerical experiment.