

# A molecular perspective for global modeling of upper atmospheric NH<sub>3</sub> from freezing clouds

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**Ammonia plays a key role in the neutralization of atmospheric acids such as sulfate and nitrates. A few in situ observations have supported the theory that gas-phase NH<sub>3</sub> concentrations should decrease sharply with altitude and be extremely low in the upper troposphere and lower stratosphere (UTLS). This theory, however, seems inconsistent with recent satellite measurements and is also not supported by the aircraft data showing highly or fully neutralized sulfate aerosol particles by ammonium in the UTLS in many parts of the world. Here we reveal the contributions of deep convective clouds to NH<sub>3</sub> in the UTLS by using integrated cross-scale modeling, which includes molecular dynamic simulations, a global chemistry transport model, and satellite and aircraft measurements. We show that the NH<sub>3</sub> dissolved in liquid cloud droplets is prone to being released into the UTLS upon freezing during deep convection. Because NH<sub>3</sub> emission is not regulated in most countries and its future increase is likely persistent from agricultural growth and the warmer climate, the effect of NH<sub>3</sub> on composition and phase of aerosol particles in the UTLS can be significant, which in turn can affect cirrus cloud formation, radiation, and the budgets of NO<sub>x</sub> and O<sub>3</sub>.**

ammonia | molecular dynamics simulation | global model | deep convection | freezing clouds

Ammonia, the most abundant gas-phase alkaline species in the atmosphere, contributes considerably to the neutralization of atmospheric acids produced by the oxidation of sulfur and nitrogen oxidizes with major anthropogenic sources (1, 2). NH<sub>3</sub> mainly comes from fertilizers and animals, and other sources include industry, fossil fuels, oceans, crops, soils, and biomass burning (3, 4). Primarily emitted from land surfaces, ammonia has a lifetime of several hours due to its high affinity to water, which facilitates its effective removal via atmospheric scavenging and its incorporation in aqueous and acid particles (1, 2). Hence, gas-phase NH<sub>3</sub> concentrations are expected to decrease sharply with altitude and to be extremely low in the upper troposphere and lower stratosphere (UTLS), especially over the ocean (1, 5–7). This expectation is supported by several in situ observations (1, 5–7). However, in situ measurements of NH<sub>3</sub>, a sticky, semivolatile compound with ambient concentrations that vary by several orders of magnitude, may have large uncertainties in the UTLS (8). Recent satellite measurements give different insights and show significant amounts of NH<sub>3</sub> (above 15 pptv) in the UTLS over the subtropical regions of the southeastern Asian continent (20–30°N, 70–110°E) during the summer monsoon season (9). Furthermore, although NH<sub>3</sub> and NH<sub>4</sub><sup>+</sup> in the UTLS are widely thought to be in extremely low concentrations, the aircraft data showed the relative high ratio of [NH<sub>4</sub><sup>+</sup>]/(2 × [SO<sub>4</sub><sup>2−</sup>]) in the UTLS in many parts of the world, including over the remote southern Pacific Ocean (10, 11). To solve the puzzle concerning the missing source of NH<sub>3</sub> in the UTLS, we utilize a cross-scale modeling approach that includes molecular dynamic (MD) simulations and a global chemistry transport model. We show that the NH<sub>3</sub> dissolved in liquid cloud droplets is released into the UTLS upon freezing and that there is a subsequent collision of ice particles during deep convection, thereby explaining the unexpectedly high concentrations of NH<sub>3</sub> in many parts of the world.

Tropical deep convection is a critical mechanism for the transfer of surface air masses and insoluble trace gases (such as CO) from the lower to the upper atmosphere with many important implications for atmospheric chemistry (12, 13). Liu and Zipser (14) found that the deepest convection was located over South America and Africa. Penetration of these trace gases to high altitudes (16–18 km) has also been observed in northern Australia (15, 16) and over tropical cyclones (10, 17, 18). Southeast Asia is one of the tropical regions with frequent deep convection associated with the Asian summer monsoon anticyclone (19). Major source regions of NH<sub>3</sub> are located in southeast China and northern India (9, 20, 21). Very few measurements of NH<sub>3</sub> have been made in the middle and upper atmosphere (9). Before 2008, measurements of ammonia were almost exclusively based on in situ technologies, and most of them focused on ground-level concentrations with few observations above the boundary layer (22). By contrast, satellite measurements of infrared spectra have been used in the past decade to derive the amounts of NH<sub>3</sub> in the atmosphere (3, 23–27), and limb-sounding techniques have been proposed to measure the vertically resolved profiles of NH<sub>3</sub> in the UTLS (28–30). Before 2016, no data from in situ measurements and limb-sounding remote-sensing data (9) showed ammonia to be present at altitudes above 8 km. Höpfner et al. (9) presented the first evidence of the presence of ammonia in the UTLS

## Significance

The retentions of gases upon freezing of water from available studies are conflicting. Using molecular dynamic simulations, we have revealed that the retention efficiency of NH<sub>3</sub> upon freezing cloud is close to 0 rather than 1 during deep convection. Our results further provide theoretical framework to explain the first-ever satellite-observed high concentration of NH<sub>3</sub> in the upper troposphere and lower stratosphere (UTLS). As NH<sub>3</sub> emission continues to increase, this study calls upon the emergent need to assess the role of NH<sub>3</sub> in UTLS chemistry especially in the deep convective regions. Methodologically, the molecular dynamics simulation is demonstrated as a tool for improving parameterization of interactions between trace gases and cloud (including ice) particles in global atmospheric models.

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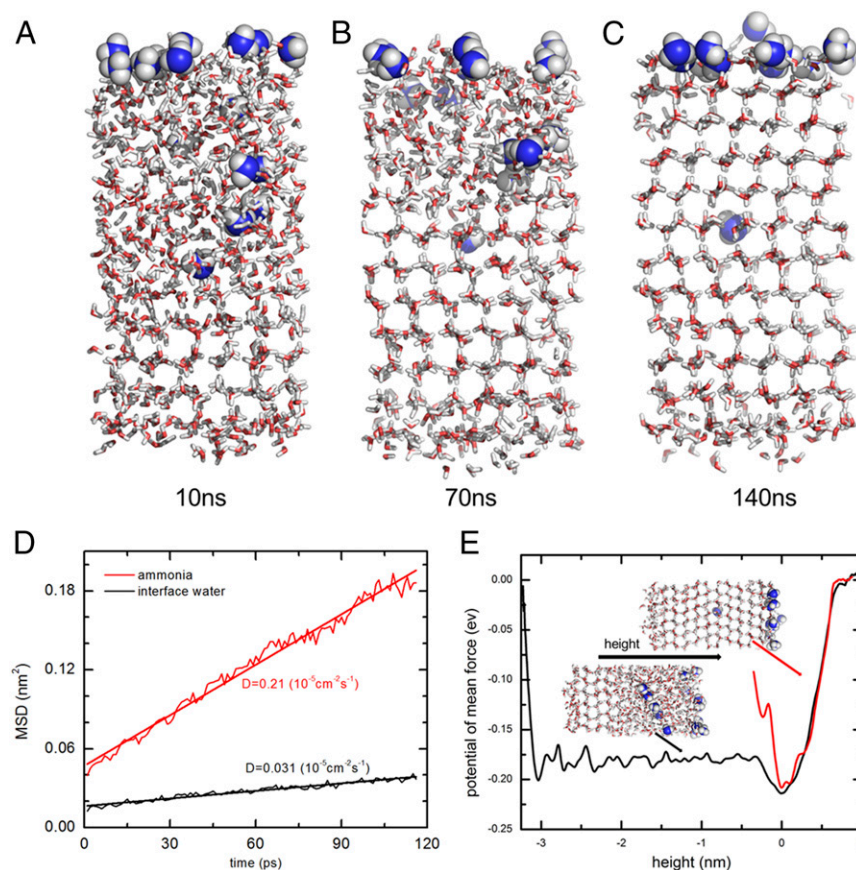
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**Fig. 1.** MD simulations of ice growth with  $\text{NH}_3$  initially dissolved in the liquid layer. Snapshots from the MD simulation. (A) 10 ns, (B) 70 ns, and (C) 140 ns. N and H are denoted by the blue and white spheres, respectively. (D) The computed MSDs of the water molecules and ammonia molecules in the liquid layer versus time. The starting/zero point of the time axis is set at 140 ns in the MD simulations. The self-diffusion constant of the interface water at 200 K ( $D = 0.031 \times 10^{-5} \text{ cm}^2/\text{s}$ ) is considerably higher than that of the bulk ice whose diffusion constant is typically on the order of  $10^{-9} \text{ cm}^2/\text{s}$ . This confirms the presence of liquid phase at the interface. Because of the high mobility of the interface water, the self-diffusion constant for the ammonia ( $D = 0.21 \times 10^{-5} \text{ cm}^2/\text{s}$ ) at the interface is also very high, which will facilitate the evaporation of ammonia molecules. (E) The computed PMF of the ammonia molecule from the ice–water interface, passing through the liquid layer, to the air–liquid interface at (A) 10 ns (black line) and (B) 140 ns (red line). For 10 ns, two local minima are placed at the ice–water interface (–0.2 eV) and at the air–water interface (–0.22 eV). For 140 ns, only one minimum is observed suggesting ammonia molecules prefer to stay at the air interface.

above 10 km over the Asian summer monsoon system and compared against several global modeling results with either low horizontal resolutions (in range of  $\sim 5\text{--}10^\circ$ ) or low vertical resolutions (with total number of vertical layers ranging from 9 to 26). Höpfner et al. (9) concluded that no literature regarding locally resolved model results of  $\text{NH}_3$  during the monsoon period over Asia is available to compare with their novel observations.

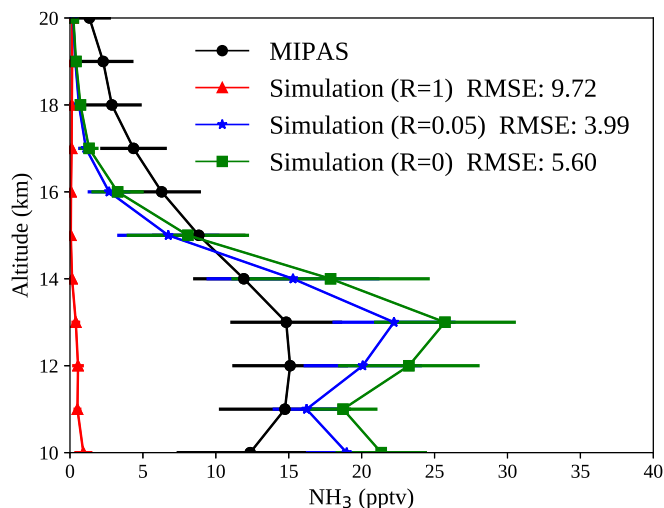
The scavenging of  $\text{NH}_3$  by monsoon convection is hypothesized to incompletely deplete atmospheric  $\text{NH}_3$ , thereby leading to the direct transport of  $\text{NH}_3$  from the boundary layer to the UTLS via convection (9). Our study seeks another pathway for the vertical transport of  $\text{NH}_3$  via the interactions between  $\text{NH}_3$  and clouds. Ammonia gas has a large proton affinity and can therefore serve as a base to neutralize liquid particles (either aerosols or cloud droplets) that are often weakly acidic. The ammonia gas can dissolve in the liquid cloud. During the upward movements driven by deep convection, the liquid droplets of clouds are first supercooled and then frozen in the UTLS before they precipitate with atmospheric downdrafts. During this process of liquid-to-ice conversion, some gases in the liquid cloud droplets might be trapped inside the ice particles, but other trace gases might be released into the atmosphere upon freezing; the relative amount of the gas that is retained in this conversion process is characterized by the retention coefficient of that gas (31). Past studies have derived the retention coefficients of different gas species through several laboratory experiments, aircraft measurements, and theoretical calculations but showed controversial results.  $\text{SO}_2$  is one of the most studied species, and its retention coefficients vary from 0.02 (13, 32), to 0.03–0.14 (33) to 0.25–0.9 (34, 35). For  $\text{H}_2\text{O}_2$ , the retention coefficient is reported as being between 0.64 (31) and 1 (34). As a highly soluble trace gas,  $\text{HNO}_3$  has been reported close to 1 (31, 36).

The retention coefficients of some other species have also been reported: 1 for  $\text{H}_2\text{SO}_4$  (36); 0 for  $\text{O}_3$ ,  $\text{NO}$ ,  $\text{NO}_2$ ,  $\text{NO}_3$ ,  $\text{N}_2\text{O}_5$ , and  $\text{CO}_2$ ; 0.02 for  $\text{OH}$ ,  $\text{CH}_3\text{O}_2$ , and  $\text{CH}_3\text{OOH}$ ; and 0.65 for  $\text{HO}_2$ ,  $\text{HNO}_2$ ,  $\text{HNO}_4$ ,  $\text{HCHO}$ ,  $\text{HCOOH}$ , and  $\text{CH}_3\text{COOH}$  (37). These studies show that the direct measurement of retention efficiency can be affected by other factors in the laboratory and/or ambient environment, including temperature, strength of dissociation, wet/dry ice cloud growth conditions, riming intensity, concentrations, drop sizes, air speeds, ventilation, etc. (13, 31, 32, 37, 38). Indeed, for  $\text{NH}_3$ , the retention coefficients reported in the literature fall within wide ranges, such as  $<0.01$  (39), 0.29–1 (31), and 1 (32).

In the numerical simulations of the interactions between atmospheric chemistry and freezing clouds, retention is the main process that decides the in-cloud scavenging of trace gases by cloud ice particles (40). Salzmann et al. (41) conducted simulations that assumed that  $\text{H}_2\text{O}_2$  was either completely released or completely retained during freezing because  $\text{H}_2\text{O}_2$  retention coefficients of 0 and 1 were both reported (35, 42). They concluded that the inefficient scavenging of  $\text{H}_2\text{O}_2$  by the ice in clouds of tropical storms in combination with an upper air chemical source can contribute to the observed increases of the mixing ratios of  $\text{H}_2\text{O}_2$  in deep convective outflows. Michael and Stuart (43) calculated the retentions of six trace chemicals,  $\text{SO}_2$ ,  $\text{H}_2\text{O}_2$ ,  $\text{NH}_3$ ,  $\text{HNO}_3$ ,  $\text{CH}_2\text{O}$ , and  $\text{HCOOH}$ , and found that the overall ranges of the simulated retention fractions were between  $1 \times 10^{-8}$  and 1 in different scenarios. Further, these authors proposed using dynamic retention calculations to represent the changing regimes of cloud models. Ervens (44) emphasized that the removal rates of ice and precipitation are still the most uncertain processes in cloud models due to the uncertainties associated with droplets freezing and the retention of molecule species (40). Several chemistry transport models either do not consider this retention process for  $\text{NH}_3$  or treat  $\text{NH}_3$  as being completely scavenged (2).





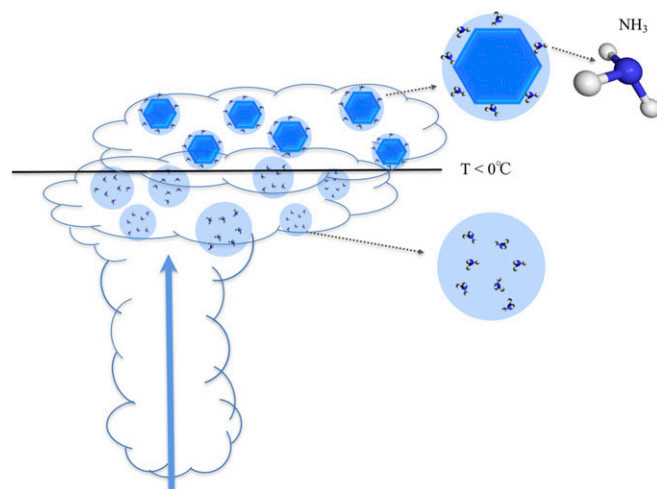


**Fig. 4.** Comparing the simulations with MIPAS-measured seasonal (June, July, and August) vertical profile of  $\text{NH}_3$  over Asia over 6 y (2003 and 2007–2011). The profile of  $\text{NH}_3$  volume mixing ratio is averaged over the eastern part of the Asian monsoon area ( $30\text{--}40^\circ\text{N}$ ,  $70\text{--}110^\circ\text{E}$ ). The  $\text{NH}_3$  simulations are from the R1, R0.05, and R0 modeling results. The SDs are shown as error bars, and also shown are root mean squared error (RMSE).

**The Ratio of  $[\text{NH}_4^+]/(2 \times [\text{SO}_4^{2-}])$ .** To understand the effect of the retention efficiency of  $\text{NH}_3$  on the global UTLS  $[\text{NH}_4^+]/(2 \times [\text{SO}_4^{2-}])$  ratio, we performed two GEOS-Chem (Goddard Earth Observing System - Chemistry model) simulations with retention efficiencies of 0.05 and 1, which are referred to as the R0.05 and R1 simulations, respectively. According to MD simulation, during the growth of ice crystals, the ammonia molecules are pushed to the thin air-liquid interface and can only diffuse into the air and cannot move into the ice phase. In deep convective clouds instead of stable wintertime cloud conditions, the air-liquid interface is unlikely to remain (13). So the high mobility of ammonia at the interface and the low free-energy barrier to ammonia evaporation calculated by the MD model indicate that the ammonia molecules are very unstable and prone to evaporation after the collision of ice particles within deep convection. Here 0.05 is selected as a representative for low retention efficiency value. The details of GEOS-Chem can be found in *Materials and Methods* and in *SI Appendix*. The retention efficiency of  $\text{NH}_3$  is standardized at 1 in most global chemical transport models (CTMs; 2). GEOS-Chem assumes the retention efficiency of  $\text{NH}_3$  as 0.05 (11, 45), which is in line with the evidence from our MD simulations. The sulfate-ammonium particle compositions are characterized by X:  $[\text{NH}_4^+]/(2 \times [\text{SO}_4^{2-}])$ . Fig. 2 shows the vertical profile comparisons between the measured and the GEOS-Chem simulated X. The measurement data are from seven aircraft campaigns from 1991 to 2006 and represent the global climate average (*Materials and Methods* and *SI Appendix*, Table S1). The GEOS-Chem simulation data are for 2005 and were sampled along the aircraft tracks. We focus on the differences between the R1 and R0.05 simulations rather than on quantitative comparisons with the observations. The effect of retention occurs mainly at the freezing cloud level of the UTLS, and the aircraft observation altitudes are mostly below 10 km. Thus, Fig. 2 shows X between 5 and 10 km altitudes. Overall, the X values from the R0.05 simulations are greater than that from the simulation of R1, with a difference of up to 0.2. On average, the consideration of  $\text{NH}_3$  retention efficiency as 0.05 led to modeled X closer to the observation (1.01) by 0.12 (from 0.68 to 0.80), which reflects the contribution of  $\text{NH}_3$  from freezing clouds.

**High Concentration of  $\text{NH}_3$  over Asia.** To interpret Höpfner's (9) satellite observation, we conduct the simulations with and without considering the new pathway for UTLS  $\text{NH}_3$  through ice cloud formation. Fig. 3 shows the distribution of the  $\text{NH}_3$  volume mixing ratios at altitudes of 12, 15, and 18 km, which is in the range of upper troposphere and lower stratosphere (UTLS) over the subtropical region that has the tropopause in average of 12–13 km in summer (*SI Appendix, Fig. S7*). The modeled seasonal (June, July, and August)  $\text{NH}_3$  is the average for 6 y (2003 and 2007–2011) from the R1 and R0.05 simulations, respectively. The satellite-observed seasonal  $\text{NH}_3$  values are from Michelson Interferometer for Passive Atmospheric Sounding (MIPAS) (9) and are averaged for only for grid boxes with more than 4 y valid data. MIPAS showed that the enhancement of  $\text{NH}_3$  over the Asian monsoon region is prominent at both 12 and 15 km altitudes with  $\sim 10$  pptv against the global background of  $< 5$  pptv. The simulations of both R1 and R0.05 show (Fig. 3) the relative enhancement of  $\text{NH}_3$  over the Asian monsoon region. Only the R0.05 simulation is comparable with the MIPAS observations, with values larger than 12 pptv at both 12 and 15 km altitudes. The simulation from R1 shows a very low enhancement of  $\text{NH}_3$ , with maximum values of up to 1.6 pptv at an altitude of 12 km and up to 0.64 pptv at an altitude of 15 km, both of which are a factor of 6–10 lower than the observed counterparts. The same findings hold for the results at an altitude of 18 km.

The retention efficiency of  $\text{NH}_3$  may vary in different altitudes and in different specific cases depending on the efficacy of breaking up the air–water interface of the ice particles in the convective updrafts. To consider this variation, simulations with  $R$  value of 0 are conducted. By sampling model results to match the valid MIPAS values for each year and each grid box, the profile of the  $\text{NH}_3$  volume mixing ratios is averaged within the eastern part of the Asian monsoon area ( $30\text{--}40^\circ\text{N}$ ,  $70\text{--}110^\circ\text{E}$ ) and compared with the MIPAS observed profile (Fig. 4). The performance of  $R0$  is similar to that of  $R0.05$ , with slightly better (worse) performance above (below) 15 km altitude (Fig. 4). In contrast, the performance of simulation with  $R = 1$  overall is poorer than that of  $R0.05$ . The profile of the MIPAS  $\text{NH}_3$  revealed that the maximum concentrations of  $\text{NH}_3$  in the Asian monsoon area reached  $\sim 15$  pptv at an altitude of 11–13 km. The  $R0.05$  simulation reproduces this feature with averaged  $\text{NH}_3$  of 20 pptv at the same altitude range, whereas the  $R1$  simulation shows less than 2 pptv from the altitude of 10 to 15 km. Statistically,



**Fig. 5.** A schematic of a new pathway for  $\text{NH}_3$  in upper atmosphere.  $\text{NH}_3$  dissolved in the liquid water cloud droplets is prone to release in the upper atmosphere upon freezing (of ice crystals) during deep convection.



## Materials and Methods

**MD Simulation.** The MD simulations are carried out using the Groningen Machine for Chemical Simulations 4.5 program. More detailed methods and models are given in *SI Appendix*.

**Global Chemical Transport Model.** A global 3D CTM, GEOS-Chem (59), is used to simulate the transport, deposition, oxidation, and other related chemical processes of trace gases and aerosols. More detailed model is given in *SI Appendix*.

**Aircraft Measurements.** Aircraft measurements of the  $\text{NH}_4^+$  and  $\text{SO}_4^{2-}$  from seven field campaigns are analyzed in this study. More detailed information is given in *SI Appendix*.

**Satellite  $\text{NH}_3$  Data.** The seasonal (3-monthly)  $\text{NH}_3$  averages within the bins of  $10^\circ$  latitude by  $10^\circ$  longitude and a 1-km altitude are provided at [www.imk-asf.kit.edu/english/308.php](http://www.imk-asf.kit.edu/english/308.php) by Höpfner et al. (9). More detailed information is given in *SI Appendix*.

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