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Is the Stratospheric QBO affected by Solar Wind Dynamic Pressure via an Annual Cycle Modulation?

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Abstract: In this study, statistical evidence of a possible modulation of the equatorial stratospheric Quasi-biennial Oscillation (QBO) by the solar wind dynamic pressure is provided. When solar wind dynamic pressure is high, the QBO at 30-70 hPa is found to be preferably more easterly during July to October. These lower stratospheric easterly anomalies are primarily linked to the high frequency component of solar wind dynamic pressure with periods shorter than 3-years. In annually and seasonally aggregated daily averages, the signature of solar wind dynamic pressure in the equatorial zonal wind is characterized by a vertical three-cell anomaly pattern with westerly anomalies both in the troposphere and the upper stratosphere and easterly anomalies in the lower stratosphere. This anomalous behavior in tropical winds is accompanied by a downward propagation of positive temperature anomalies from the upper stratosphere to the lower stratosphere over a period of a year. These results suggest that the solar wind dynamic pressure exerts a seasonal change of the tropical upwelling which results in a systemic modulation of the annual cycle in the lower stratospheric temperature, which in turn affects the QBO during Austral late winter and spring.

42

43 **1. Introduction**

44 The quasi-biennial oscillation (QBO) of the equatorial stratosphere is characterized by
45 alternating easterly and westerly wind regimes and dominates the variability of the tropical
46 lower stratosphere [*Naujokat, 1986; Baldwin et al., 2001*]. The winds descend from 10 hPa to
47 100 hPa at an averaging speed of 1 km/month and repeat at intervals from 18-36 months,
48 with an average periodicity of ~28 months [*Pascoe et al., 2005*]. Our current understanding
49 of the QBO is largely based on the theoretical argument of *Holton and Lindzen [1972]* who
50 showed how vertically propagating equatorial waves are absorbed at a critical layer by the
51 mean flow and in turn generate alternating acceleration of the zonal flow in either easterly or
52 westerly directions [*Plumb and Bell, 1982*].

53 In addition to this wave-driven mechanism, seasonal or interannual variation of the QBO
54 may also arise from seasonal changes in tropical upwelling [*Dunkerton, 1991; 2000; Holton*
55 *et al., 1995; Kinnersley and Pawson, 1996*], shifting of latitudinal gradients in the subtropics
56 [*Randel et al., 1998*], or variation of the semi-annual oscillation (SAO) in the tropical upper
57 stratosphere [*Dunkerton and Delisi, 1997*]. Additional temperature change may be caused by
58 the secondary circulation, induced by the QBO itself, which consists of an increase in the
59 upwelling at the easterly shear zone and a suppression of the upwelling at the westerly shear
60 zone [*Plumb and Bell, 1982*].

61 While the QBO is primarily driven by internal wave dynamics, a possible modulation of
62 the QBO *via* external forcing cannot be ruled out. There is increasing evidence that part of
63 variability in the stratosphere may be linked to the solar activity [*Haigh, 2003; Labitzke et al.,*
64 *2006; Lockwood et al., 2010; Gray et al., 2010*]. Studies have indicated that solar variability
65 may indirectly modulate the QBO through the variation in solar UV irradiance [*Salby and*

66 *Callaghan, 2000; Soukharev and Hood, 2001; McCormack, 2003; Mayr et al., 2005; 2006;*
67 *McCormack et al., 2007*]. Absorption of solar ultraviolet (UV) radiation by ozone may cause
68 changes in temperature and hence in the QBO near the equatorial stratosphere [*Hood, 2004;*
69 *Crooks and Gray, 2005; Pascoe et al., 2005*]. Such anomalous heating in the upper
70 stratosphere may alter Rossby wave propagation and breaking [*Cordero and Nathan, 2005;*
71 *McCormack et al., 2007*] and hence cause an indirect dynamic feedback through modulation
72 of the polar vortex and the Brewer-Dobson (BD) circulation [*Kodera and Kuroda, 2002*].
73 *Salby and Callaghan [2000]* examined the radiosonde equatorial zonal wind at 45 hPa for the
74 period of 1956–1996 and found that the average duration of the westerly QBO (wQBO)
75 around solar maxima is ~3–6 months shorter than that around solar minimum. *Soukharev and*
76 *Hood [2001]* performed composite analysis using the radiosonde-derived equatorial zonal
77 wind at 50 to 10 hPa from 1957 to 1999 and found that the duration of both QBO phases was
78 shorter at solar maxima than at solar minima. Using ECMWF ERA-40 reanalysis, *Pascoe et*
79 *al. [2005]* found that the average time required for the eQBO to descend from 15 hPa to 44
80 hPa is ~2 months less at solar maxima than at solar minima. By using a fully interactive 2D
81 Chemical/Dynamical Model, *McCormack [2003]* and *McCormack et al. [2007]* found that the
82 duration of the wQBO can be 1-3 months shorter at solar maximum than solar minimum.
83 They suggested that the ozone heating induced by solar UV in the upper stratosphere reduces
84 the tendency for a westerly wind and hence produces an anomalously stronger easterly wind
85 in the tropical upper stratosphere. By generating the QBO internally using a high resolution
86 general circulation model (GCM), *Palmer and Gray [2005]* showed that the durations of both
87 QBO phases may be reduced by up to 2 months at solar maximum. *Cordero and Nathan*
88 *[2005]* showed that prescribing higher solar UV inputs produces a QBO with shorter duration
89 and larger amplitude. In addition to the direct ozone heating, wave-ozone feedback has been
90 shown to modify the refraction of tropical quasi-stationary Rossby waves, reducing the

91 tropical upwelling and resulting in faster descent of eQBO [*Nathan and Cordero, 2007*].
92 *Mayr et al.* [2006] prescribed a synthetic period of 10-years with varying amplitude of
93 radiative forcing at three different heights (0.2% – surface, 2% – 50 km, 20% –100 km) and
94 their model simulation also resulted in a modulation of the QBO in the stratospheric
95 equatorial region which appeared to be generated by this synthetic SC modulation. *Mayr et*
96 *al.* [2005] suggested that an annual oscillation can originate near 60 km, through which the
97 prescribed 10-year modulation could be transferred downward and amplified by tapping the
98 momentum from the upward propagating gravity waves.

99 In contrast, other studies have been unable to find a significant link between solar UV
100 and QBO variability. *Hamilton* [2002] used data from 1950 to 2000 and found a quasi-
101 decadal variation in the duration length of the wQBO at 40-50 hPa but the connection with
102 the 11-year solar cycle noted by *Salby and Callaghan* [2000] did not always hold and the
103 correlation coefficient was only -0.1 when computed over a longer period which included 22
104 westerly phases. *Fischer and Tung* [2008] used radiosonde measurements for 1953-2005 and
105 showed that the correlations between the duration of the QBO and the 11-yr SC for either
106 phase of the QBO were close to zero. In addition, oppositely-signed correlations were found
107 to exist in the pre-1990 and post-1990 periods. More recently, *Kuai et al.* [2009] also dismiss
108 the solar cycle modulation of the QBO period. With exceedingly long model runs, those
109 authors found that a strong synchronization of the QBO period with integer multiples of the
110 Semi-Annual Oscillation (SAO) in the upper stratosphere may generate “decadal” variability
111 in the QBO period causing a waxing and waning of the correlation between solar forcing and
112 the QBO period. They therefore suggested that the SC-QBO duration relationship reported
113 previously reflects only a chance behaviour resulting from the use of relatively short
114 observational records.

115 In addition to solar UV, signature of the solar wind streaming out from the Sun has also
116 been found in various climate records [Lu *et al.*, 2008a; Lockwood *et al.*, 2010a,b; Woollings
117 *et al.*, 2010]. The solar wind variability manifests itself at Earth in a number of ways but most
118 prominently through geomagnetic activity, thermospheric heating and the aurorae.
119 Observational studies have shown that the solar wind induced geomagnetic activity may alter
120 stratospheric chemistry indirectly through particle precipitation [Solomon *et al.* 1982; Randall
121 *et al.*, 2005; 2007; Seppälä *et al.* 2007; Siskind *et al.*, 2007]. Chemical-dynamical coupled
122 general circulation models (GCMs) have indicated that odd nitrogen (NO_x) induced by
123 energetic charged particle precipitation during geomagnetic storms may cause temperature
124 changes in both the polar and equatorial regions and in the stratosphere and the troposphere
125 [Langematz *et al.*, 2005; Rozanov *et al.*, 2005; Seppälä *et al.* 2009].

126 Other studies suggested that solar wind induced geomagnetic activity may perturb
127 atmospheric circulation through a change in planetary wave reflection conditions [Arnold and
128 Robinson, 2001; Lu *et al.* 2008b]. Model simulations by Arnold and Robinson [2001] have
129 indicated that a change in planetary wave reflection conditions at the lower thermospheric
130 boundary caused by thermospheric heating induced by solar wind driven geomagnetic
131 activity can reduce planetary wave propagation into the stratosphere, leading to a
132 strengthening of the stratospheric polar vortex and a weakening of the BD-circulation.
133 Significant correlations have also been established between geomagnetic activity and lower
134 stratospheric temperature by Lu *et al.* [2007]. They found that the temperature response to
135 the 11-yr SC and geomagnetic Ap index tend to enhance each other in the tropical upper
136 troposphere and lower stratosphere, the magnitude of the response to geomagnetic activity
137 being slightly larger than that associated with the 11-yr SC. de Artigas and Elias [2005]
138 have shown that, when solar flux is high, the eQBO (at 15-50 hPa) is more likely to be
139 associated with high geomagnetic activity and the wQBO is more likely to be associated with

140 low geomagnetic activity; at solar minimum, this relationship is reversed. *Lu et al.* [2008a]
141 have shown that there is a robust relationship between solar wind dynamic pressure and the
142 zonal wind and temperature in the northern polar winter. Stratospheric wind and temperature
143 variations are positively projected onto the Northern Annular Mode (NAM) when the 11-yr
144 SC is at its maximum phase, and negatively projected onto the NAM during the 11-yr SC
145 minimum phase. This implies a weakening of the BD-circulation with reduced upwelling into
146 the lower stratosphere at low-latitude under high solar wind forcing, consistent with the
147 tropical warming signals detected by *Lu et al.* [2007].

148 While variations in solar radiation are most strongly seen in the 11-year solar cycle, the
149 solar wind induced geomagnetic activity exhibits a strong variability at shorter time scales.
150 *Lu et al.* [2008a] shows that the solar wind dynamic pressure and F10.7 solar flux are poorly
151 correlated, largely due to those shorter time variations. Their weak statistical dependence
152 allows the signals associated with the 11-year solar irradiance and the solar wind dynamic
153 pressure to be separated. However, their mechanisms may not be mutually exclusive and they
154 could be acting together to either enhance or cancel the overall atmospheric responses.

155 Motivated by these results and rather strong extra-tropical signals in NH winter and
156 spring observed by *Lu et al.* [2008a], a statistical analysis is conducted here to study possible
157 solar wind dynamic pressure perturbations near the tropics, with a primary focus on detecting
158 possible solar wind perturbation of the QBO. We use solar wind dynamic pressure, instead of
159 geomagnetic indices, because geomagnetic indices are measured through the interaction of
160 the terrestrial environment with the solar wind and are therefore not completely independent
161 of internal Earth atmospheric processes. For instance, *Sugiura and Poros* [1977] identified a
162 QBO-like periodicity in the disturbed storm time current (Dst) and hence in geomagnetic
163 activity, and *Jarvis* [1996] has shown a QBO periodicity in geomagnetic daily range induced
164 by the semidiurnal tide. Conversely, the solar wind dynamic pressure is measured well

165 outside of Earth's magnetosphere and is therefore wholly independent to the internal
166 variability of the Earth's atmosphere. Nevertheless, it can be shown that similar but slightly
167 weaker results are obtainable by using geomagnetic A_p index.

168 **2. Data and Methods**

169 In this study, daily QBO is defined as the deseasonalized daily zonal-mean zonal wind
170 averaged over the latitude band of 5°S - 5°N for five pressure levels at 70, 50, 30, 20 and 10
171 hPa. Zonal-mean zonal winds are extracted from the ECMWF (European Centre for Medium
172 Range Weather Forecasting) ERA40 Reanalysis (September 1957 to August 2002) and
173 ECMWF Operational analyses (September 2002 to December 2009). The ERA-40 Reanalysis
174 was assimilated using direct radiosonde and satellite measurements [Uppala *et al.*, 2005]. It
175 has a spectral resolution of T159, corresponding to a 1.125° horizontal resolution in latitude
176 and longitude and are available at 23 standard pressure surfaces from 1000 hPa to 1 hPa. The
177 ECMWF Operational data were output from the ongoing analyses produced by the most
178 recent ECMWF Integrated Forecasting System (IFS) model. Data from September 2002 to
179 the present day are available on the same 1.125° grid and but on 21 pressure levels (before
180 07/11/2007) and 25 pressure levels (since 07/11/2007). The ERA-40 and the Operational data
181 sets share 21 pressure levels; the exceptions are four levels in the lower troposphere (*i.e.* 600,
182 775, 900, and 950 hPa) which are excluded from this analysis. Nevertheless, the two data sets
183 share the same five pressure heights where the QBOs are estimated.

184 It has been established that before the satellite era (*i.e.* before September 1978), the
185 scarcity of SH radiosonde measurements and lack of direct measurement at altitudes above
186 10 hPa resulted in unreliable estimations in ERA-40, particularly in the southern hemisphere
187 and in the upper stratosphere. In the tropics, however, Baldwin and Gray [2005] showed that
188 the QBO extracted from ERA-40 is consistent with rocketsonde winds (that were not

189 assimilated by ERA-40) measured at Ascension and Kwajalein up to the 2-3 hPa altitude
190 level, even for those years before the satellite era. *Pascoe et al.* [2005] also found that the
191 ERA-40 accurately describes the QBO and the tropical stratospheric circulation. We also
192 compared the monthly averaged QBO with those available at the Free University of Berlin
193 (FUB) [*Naujokat*, 1986] for the five pressure levels used here. The two data sets are in good
194 agreement with a correlation coefficient greater than 0.9 for all five pressure levels. In
195 addition, the response to solar wind dynamic pressure reported in this paper is found
196 primarily below 10 hPa. Hence, for these reasons, the results reported here make use of all
197 available data since 1963. Figure 1 shows latitudinally integrated zonal-mean zonal wind at
198 5°S-5°N as a function of height (1-100 hPa) for the period of 1958-2009.

199 **[insert figure 1 here]**

200 The upper two panels of figure 1 display the original monthly mean data while the lower
201 two panels show its deseasonalized anomalies. A prominent Semi-Annual Oscillation (SAO)
202 exists near the stratopause level when the data is not deseasonalized. Once deseasonalization
203 is applied, the descending alternating easterly and westerly winds of the QBO are the
204 dominant feature, with maximum amplitude of $\sim 40 \text{ m s}^{-1}$ at $\sim 3\text{-}5 \text{ hPa}$, where the QBO is
205 initialized. In the upper stratosphere, discernible enhancement of easterly anomalies occurred
206 in the 1970s while an enhancement of westerly anomalies occurred from the mid- 1980s to
207 the late 1990s. From 2000 onwards, it becomes comparable to the earlier pattern again. It has
208 been suggested that the enhanced westerly anomalies seen in the upper stratosphere during
209 the 1980s and 1990s might be a result of data assimilation pre-/post- satellite era [*Punge and*
210 *Giorgetta*, 2007]. The extended data seem to suggest it is more likely to be a real
211 phenomenon in which a multi-decadal variation is superimposed upon the upper stratospheric
212 SAO.

213 Solar wind dynamic pressure (P_{sw}) measured in Geocentric Earth Magnetic (GEM)
214 coordinates is obtained from the NASA-OMNI site (<http://omniweb.gsfc.nasa.gov/>). This
215 data set is produced from solar wind and interplanetary magnetic field measurements from 15
216 geocentric satellites and 3 spacecraft in orbit around the L1 Sun-Earth Lagrange point and has
217 been carefully compiled through cross-calibration. P_{sw} has been calculated by NASA-OMNI
218 as $P_{sw} = 1.6726 \times 10^{-6} N_{sw} V_{sw}^2$, where N_{sw} is the flow density in number of particles per cm^3
219 and V_{sw} is the solar wind speed in km s^{-1} . In physical terms, P_{sw} represents the momentum
220 flux of the solar wind and has a unit of nPa (nano Pascals). Daily averages of solar wind P_{sw}
221 from January 1963 to December 2009, covering ~ 4.5 solar cycles, together with its monthly
222 mean are used here. The main advantage of using the daily data over the monthly mean is that
223 the downward decent of the signals can be studied in more detail.

224 There are a few missing data periods of P_{sw} due to inappropriate positioning of satellites
225 or instrument failure. For instance, before August 1965, and also between September 1982
226 and October 1994, the data availability is below 50% at hourly resolution, with 8–15
227 complete days showing as missing data in each month [King and Papitashvili, 2005]. For up
228 to 3 days of missing values, a simple interpolation is used to fill the gap. For longer missing
229 data periods, no treatment is applied and those days are ignored by the analysis. For the
230 months with more than 15 day missing values, monthly P_{sw} is treated as missing data. The
231 effect of missing data for running composite/regression is that different months or seasons
232 under investigation may involve different sample lengths. While the monthly P_{sw} varies from
233 1.2 to 6.7, the daily P_{sw} varies from 0.1 to 27 nPa with an arithmetic mean value of 2.5 nPa
234 and standard deviation of 1.5 nPa (not shown).

235 Figure 2 shows monthly mean P_{sw} and its high and low frequency components, where the
236 separation cutoff period is 36-month. The low frequency P_{sw} shows a quasi-decadal variation
237 superimposed on a slow varying trend. Its quasi-decadal variation peaks at the minimum

238 phase of the 11-year solar cycle suggesting an 11-year solar cycle modulation on P_{sw} . There
239 is clear evidence of slow-varying 11-year cycle in its high frequency component.
240 Nevertheless, over the period 1963-2009, the correlation coefficient between P_{sw} and sunspot
241 number or F10.7 solar flux is below 0.1 on a daily timescale and remains below 0.2 for the
242 monthly mean. This is largely due to the high frequency variation of P_{sw} . Thus, any
243 significant P_{sw} signals especially those associated with its high frequency component, should
244 be fairly statistically independent to the signature associated with the 11-year solar cycle.

245 **[Insert figure 2 here]**

246 For simplicity, we use $\bar{P}_{sw} < -0.25$ and $\bar{P}_{sw} > 0.25$ to define low and high solar wind
247 dynamic pressure either for the raw P_{sw} or its high frequency component, where \bar{P}_{sw} stands
248 for the median-normalized values of P_{sw} ; transition periods where $|\bar{P}_{sw}| \leq 0.25$ are excluded.
249 The same rule is applied to differentiate the westerly and easterly QBO phases. Qualitatively
250 similar results can be obtained if other definitions, such as mean instead of median for \bar{P}_{sw} ,
251 are used. Hereinafter, high and low solar wind dynamic pressure are abbreviated as HP and
252 LP.

253 **3. Results**

254 *3.1 Perturbations caused by Solar Wind Dynamic Pressure*

255 Figure 3 shows the QBO phase occurrence by month as a percentage separated into high
256 (upper panel) and low (lower panel) solar wind dynamic pressure for 70hPa (left), 50 hPa
257 (central) and 30hPa (right) estimated using daily data. Under HP, the difference in occurrence
258 between eQBO and wQBO is noticeably smaller than it is under LP at all three pressure
259 levels and the difference even reverses at 30 hPa. The largest difference occurs under LP
260 conditions during the Austral winter and spring and reduces with increasing altitude. The
261 departure between the QBO phase occurrence under HP and LP begins in June to July. By

262 assuming that both the QBO and P_{sw} follow a first-order auto-regressive (AR1) process, we
263 use a Monte Carlo trial-based test [Wang *et al.*, 2006] to determine the significance of the
264 differences. It is found that the differences under LP at 50 hPa and 70 hPa are significant at
265 the 95% confidence level only for July to October while the difference at 30 hPa are
266 significant at the 95% for almost the entire year (except December and January). As a whole,
267 the behavior of the QBO phase occurrence differs from January to June, when the occurrence
268 of wQBO hardly changes from LP to HP, to July to December when the occurrence of
269 wQBO increases and the occurrence of eQBO decreases significantly under LP. This
270 suggests a higher eQBO to wQBO occurrence ratio in the lower stratosphere under HP than
271 under LP conditions. It suggests that under HP conditions there is either anomalously more
272 eQBO descent down from higher altitudes or a slower descent rate of the eQBO at 30-70 hPa.
273 The difference becomes weaker and not significant at higher altitudes.

274 **[Insert Figure 3 here]**

275 The same conclusion can be reached if the QBO phase occurrence is grouped according
276 to QBO phase and then the occurrence percentages calculated for HP and LP conditions (see
277 figure 4). At 70 hPa during September, nearly 50% of eQBO occurrence takes place under
278 HP compared with only 20% under LP; the difference becomes considerably smaller for
279 wQBO. The differences under eQBO for August-October for the all three pressure levels
280 from 30 to 70 hPa are significant at the 95% confidence level or above and at the 90%
281 confidence level for July. This confirms that significantly more eQBO occurred in the lower
282 stratosphere during the Austral late winter and spring and a positive relationship exists
283 between P_{sw} and increased eQBO occurrence.

284 **[Insert Figure 4 here]**

285 Figure 5a shows the vertical profile of annual mean equatorial zonal wind (solid line) plus
286 and minus its one standard deviation. Greater variability exists in the stratosphere than in the
287 troposphere largely due to the QBO. Figure 5b;c;d shows the vertical profile of tropical zonal
288 wind anomalies for separated HP and LP conditions under three different sampling
289 conditions, *i.e.* for (b) for 1963-2009, (c) for 1979-2009 and (d) for 1963-2009 but with
290 volcanic eruption affected data excluded. All the vertical profiles of zonal wind anomalies are
291 calculated by using daily deviation from its long-term mean and then aggregating to its
292 annual average. It shows that the modulation of solar wind dynamic pressure on daily
293 equatorial zonal wind is marked by a vertically 3-cell structure with westerly anomalies
294 ($\sim 0.3\text{-}0.5\text{ m s}^{-1}$) in the troposphere, easterly anomalies ($\sim 2\text{ m s}^{-1}$) at 20-70 hPa and westerly
295 anomalies ($\sim 3\text{ m s}^{-1}$) at 3-10 hPa under HP-LP. As a whole, this vertical structure accounts
296 for $\sim 5\text{-}10\%$ of one standard deviation of the tropical zonal wind for each associated vertical
297 region and these wind differences are significant at the 95% confidence level. Changing the
298 data period from 1963-2009 (figure 5b) to 1979-2009 (figure 5c) or excluding the years
299 affected by major volcanic eruptions (figure 5d) does not alter its general pattern or
300 significant levels. Similar results can also be obtained by excluding the years affected by the
301 major Niño events.

302 **[Insert Figure 5 here]**

303 Figure 6 shows that the same vertical profile of equatorial zonal wind anomalies also
304 holds on a seasonal time scale and the general vertical structure remains across all four
305 seasons (*i.e.* December-February, March-May, June-August, and September-November). In
306 the lower stratosphere, the largest and most significant departure from zero wind occurs
307 during Austral winter (June-August). A closer examination also suggests that there is a
308 noticeable seasonal variation in its vertical structure. From December to February, an upward
309 shift is obtained for the bottom cell of the stratosphere; from September to November, a

310 downward shift is apparent for both top and bottom cells in the stratosphere. The largest
311 differences between HP and LP conditions in the upper stratosphere occur in SON and DJF
312 while in the lower stratosphere they occur in MAM and JJA. Similar results can also be
313 obtained by excluding the years affected by either the major Niño events or the major
314 Volcanic eruptions.

315 **[Insert Figure 6 here]**

316 Figure 7a shows the 31-day running composite difference (HP – LP) of the equatorial
317 zonal mean zonal wind from June to October. Significant easterly anomalies ($\sim 8 \text{ m s}^{-1}$) are
318 found in 30-70 hPa pressure levels while westerly anomalies ($\sim 1 \text{ m s}^{-1}$) are simultaneously
319 detected in the upper troposphere. It is apparent that the stratospheric easterly anomalies
320 descend from 10 hPa or above from June and become significant from late July to early
321 October. Figure 7b shows the same running composite difference except that a high pass
322 filter with a cut-off period of 1095-days (~ 3 years) is applied to the daily P_{sw} . Note that both
323 the strength of the composite difference and the statistical confidence level are enhanced in
324 the stratosphere, suggesting that not the decadal-scale variability of P_{sw} but the variation of
325 P_{sw} at periods below 3 years is responsible for the easterly anomalies at 30-50 hPa. Longer
326 term variation of P_{sw} appears to be responsible to the anomalies at and below 70 hPa.

327 **[Insert Figure 7 here]**

328 The radiative heating induced by volcanic aerosols may also influence the lower
329 stratospheric temperature which in turn may lead to stalling of the downward propagation of
330 the QBO [Dunkerton, 1983]. To examine possible contamination by the temporary heating
331 caused by volcanic aerosols, Figure 7c shows the same composite difference as Figure 7b but
332 with the major volcanic affected data (*i.e.* Agung in March, 1963, El Chichón in March,
333 1982, and Pinatubo in June, 1991) excluded. A quantitatively similar result is obtained,

334 suggesting that those easterly anomalies in the lower stratosphere are not strongly biased by
335 the major volcanic induced warming in the lower stratosphere. Note that there are quite a lot
336 of missing data in the daily P_{sw} during 1963, 1964, 1982 and 1983 (see figure 2), the
337 contamination of those years are already excluded in the analysis of figure 7a;b, meaning that
338 the data affected by Pinatubo volcanic eruptions are the only difference between figure 7b
339 and 7c.

340 It has been observed that ozone concentrations and temperature in the tropical lower
341 stratosphere (~70 hPa) are anomalously low during the El Niño phase of the El Niño –
342 Southern Oscillation (ENSO) [Randel *et al.*, 2009]. To examine possible bias due to the large
343 cooling effect caused by the major El Niño events, figure 7d shows the same analysis as
344 figure 7b but with the major El Niño (*i.e.* 1972, 1973, 1982, 1983, 1997, and 1998) affected
345 years excluded. Note that, due to missing P_{sw} in 1982 and 1983, the data affected by 1972,
346 1973, 1997 and 1998 represent the only difference between figure 7b and 7d. Again a
347 quantitatively similar result is obtained, suggesting that the major El Niño events do not alter
348 the QBO- P_{sw} relationship significantly.

349 Figure 8 summarizes the effect of the higher frequency (< 3-yrs, the red line in figure 2)
350 components of P_{sw} on the QBO at 50 hPa and 30 hPa (figure 8a;d), where both P_{sw} and the
351 QBO are averaged from July to October. These pressure levels and months are chosen
352 because the results shown in figures 3, 4 and 7 suggest the largest effect of P_{sw} on the QBO at
353 those levels and during those months. At both pressure levels, there are significant negative
354 correlations between mean P_{sw} and the mean QBO. Neither Volcanic eruption nor El Niño
355 affected years are found to dominate or alter the correlations significantly. This helps to rule
356 out a possible linear contamination of the QBO- P_{sw} relationship by volcanic eruption and the
357 major El Niño events. However, it does not rule out the possibility that the ENSO might
358 modulate the QBO- P_{sw} relationship through non-linear processes and a possibility

359 modulation in other calendar months or at different frequency. This is beyond the scope of
360 the current study.

361 **[Insert Figure 8 here]**

362 Figure 9 shows the running composite HP – LP difference of the equatorial zonal mean
363 temperature from January to December. The largest positive anomalies (~2 K) are found from
364 August to November at 30-50 hPa. Positive anomalies (~ 1 K) are also found at 70-150 hPa
365 (becoming significant between 100 and 150 hPa) during the December to June period while
366 significant negative anomalies (~ 0.5 K) are detected at 300-700 hPa between July and
367 October. The two most striking and significant features of figure 9 are: 1) downward
368 propagation of positive temperature anomalies in the upper stratosphere from December of
369 the previous year to the lower stratosphere in December of the following year; 2) the
370 anomalous warming at ~100 hPa during the Boreal winter and spring and anomalous cooling
371 at 700-300 hPa during the Austral winter. The combined effect of these temperature
372 anomalies is a systematic annual modulation of the annual oscillation of temperature in the
373 lower stratosphere related to solar wind dynamic pressure.

374 **[Insert Figure 9 here]**

375 Such annual cycle modulation can be compared to the annual oscillation normally
376 present in the stratosphere. Figure 10a shows the climatological mean annual pattern of the
377 tropical zonal mean zonal wind. The strongest variation appears in the upper stratosphere (1-5
378 hPa) with a semi-annual cycle clearly visible. In the lower stratosphere (50-100 hPa), a
379 weaker semi-annual cycle also exists and this is roughly in phase of that in the upper
380 stratosphere. In addition, there is a pronounced annual cycle both in the upper and lower
381 stratospheres. In the upper stratosphere, the annual cycle is marked by nearly 3 times stronger
382 easterly winds in the Boreal winter (~40 m s⁻¹) than in the Austral winter (~15 m s⁻¹). In the
383 lower stratosphere, the situation reverses with weaker easterlies occurring in the Boreal

384 winter ($\sim 2 \text{ m s}^{-1}$) and stronger easterlies in the Austral winter ($\sim 5 \text{ m s}^{-1}$). In the 10-50 hPa
385 region where the QBO prevails, the magnitude of zonal mean wind is primarily easterly (~ 15
386 m s^{-1}). It also shows a modulation by an annual cycle, albeit weak, with stronger easterly
387 winds occurring in the Austral winter.

388 **[Insert Figure 10 here]**

389 Figure 10b shows the temperature anomaly (shaded contours) compared to the
390 climatological altitude dependent mean value of tropical zonal mean temperature (thick solid
391 lines). In the upper stratosphere, similar to the winds, the SAO dominates. The amplitude of
392 temperature there during the Boreal winter and spring (4-5 K) is about twice as large as it is
393 in Austral winter and spring (2-3 K), implying an additional annual cycle influence. An
394 annual cycle dominates at 50-100 hPa with a magnitude of -3 K during the Boreal winter and
395 4 K in Austral winter, a peak-to-peak value of $\sim 8 \text{ K}$ at 70 hPa. The semi-annual cycle in the
396 upper and the annual cycle in the lower stratosphere oppose each other during the Austral
397 winter, resulting in a close to flat temperature climatology at $\sim 20 \text{ hPa}$. The climatological
398 tropical mean wind and temperature compare well with previously studies [*Baldwin et al.*,
399 2001; *Pascoe et al.*, 2005; *Fueglistaler et al.*, 2009].

400 Thus the annual oscillation linked to solar wind dynamic pressure (figure 9) works in
401 opposition to the normal annual oscillation in the lower stratosphere (*i.e.* 50-100 hPa),
402 reducing its amplitude. It is possible that, because the eQBO is most sensitive to diabatic
403 change in the lower stratosphere and particularly to temperature changes near the tropopause
404 [*Kinnersley and Pawson*, 1996], the modulation effect of solar wind dynamic pressure is
405 stronger for eQBO than for wQBO.

406 The seasonal variations of the equatorial wind and temperature anomalies in relation to
407 the variation of solar wind dynamic pressure can also be compared with the seasonal statistics
408 of QBO phase transitions. Figure 11 shows every major phase transition of the QBO between

409 1953 and 2009 at five different pressure levels grouped by months into histograms, where the
410 transitions before 1958 were determined by using deseasonalized monthly radiosonde data
411 and after 1958 were based daily data. The months where the transitions occurred may differ
412 by a month or two when compared to the earlier findings [*Dunkerton, 1990; Baldwin et al.,*
413 *2001; Hampson and Haynes, 2004; Christiansen, 2010*] as our deseasonalization is based on
414 extended daily (instead of monthly) data from 1958-2009. In terms of the general
415 distribution of the transitions, they remain similar to the previous studies based on radiosonde
416 estimates, especially at 50 hPa. At 30 hPa, the peak of the phase transition tends to occur
417 about two months earlier than those based on monthly NCEP reanalysis [see fig. 1 of
418 *Hampson and Haynes, 2004*].

419 The histograms of transitions at 30-70 hPa show a noticeable annual cycle variation for
420 both QBO phases. It is clear from Figure 11 that at 30 and 50hPa the transitions occur less
421 often from July to November than other months. The months and pressure levels with
422 reduced QBO phase transition coincide with the period/the height when/where the effect of
423 solar wind dynamic pressure on both equatorial zonal wind and temperature is most
424 significant (see figures 9 and 7). Similarly, the transitions of both the QBO phases at 10 hPa
425 occurred far less often during NH winter and spring than during other months. Again, this
426 coincides with the period when solar wind dynamic pressure related positive temperature
427 anomalies were found to be present at that pressure level and above (see figure 9).

428 **[Insert Figure 11 here]**

429 **4. Discussions**

430 The variability of the stratospheric QBO is known to be largely characterized by the
431 “stalling” of easterly QBO (eQBO) near 30 to 50 hPa as the easterly shear zone tends to
432 descend more irregularly than the westerly shear zone [*Naujokat, 1986*]. Modeling

433 simulations have suggested that the “stalling” of the QBO depends critically on whether
434 deposition of easterly momentum at the equator is sufficient to overcome the tendency for the
435 easterly shear zone to be advected upward or held static by the combination of the BD-
436 circulation and the QBO-induced residual circulation [*Dunkerton*, 1991; 2000; *Kinnersley*
437 *and Pawson*, 1996]. The tropical upwelling of the BD-circulation acts to slow down the
438 descent rate of the QBO and consequently extends the QBO period, or increases the
439 occurrence frequency for a given QBO phase. Because of the QBO-induced residual
440 circulation, the effect of the tropical upwelling on the descent of the shear zone depends on
441 the QBO phase. Upward motion is associated with eQBO [*Plumb and Bell*, 1982]: it
442 strengthens the upwelling so that the descent of the easterly shear zone is slowed further.
443 Conversely, downward motion is associated with wQBO: it causes cancellation of the
444 tropical upwelling so that the BD-circulation imposes a smaller slowing effect on the descent
445 of westerly shear zone. As a whole, the descent rate of the wQBO is less affected by
446 variations associated with the BD-circulation than that of the eQBO [*Kinnersley and Pawson*,
447 1996; *Dunkerton*, 2000; *Hampson and Haynes*, 2004].

448 The annual variation of the QBO may arise from a seasonal variation of the BD-
449 circulation, which is explained by the “extratropical stratospheric pump” mechanism
450 [*Holton et al.*, 1995]. This is dynamically driven by momentum dissipation of extratropical
451 waves so that air is drawn upward from the tropical troposphere and then poleward and
452 downward at high latitudes causing a seasonal variation in the BD circulation [*Yulaeva et al.*,
453 1994]. The periods with stronger overturning require stronger diabatic heating at the
454 ascending branch and cooling at the descending branch, which cools the stratosphere in the
455 tropics and warms it in the polar region. Because the planetary wave drag in the stratosphere
456 is stronger in the northern hemisphere (NH) winter than in the southern hemisphere (SH)
457 winter, it drives stronger upwelling and lower temperatures in the tropical lower stratosphere

458 during NH winter. As a result, the descent of the eQBO is preferentially stronger during the
459 months of May to July, when the tropical upwelling in the lower stratosphere is weakest
460 [Baldwin *et al.*, 2001]. Here we show that, on top of the modulation due to the extratropical
461 wave-driven BD-circulation, solar wind dynamic pressure may also perturb the tropical zonal
462 wind in the lower stratosphere and the largest effect is detected during July to October.

463 It is known that the annual cycle in lower stratospheric temperature plays an important
464 role in the QBO phase transition and occurrence [Fueglistaler *et al.*, 2009]. Previous studies
465 have suggested that the annual synchronization of the QBO phase transition is linked to
466 seasonally varying tropical upwelling [Dunkerton, 1990; Hampson and Haynes 2004] and the
467 annual cycle is a consequence of faster (slower) tropical upwelling in the Boreal (Austral)
468 winter [Yulaeva *et al.*, 1994; Holton *et al.*, 1995; Rosenlof, 1995]. More recent studies have
469 however challenged the “extratropical pump mechanism” and have resulted in some debate
470 regarding the processes driving upwelling in the tropical BD branch [Fueglistaler *et al.*,
471 2009]. It has been shown by both observation and numerical calculation that tropical wave
472 forcing produced by convective motion may also be partially responsible for the variation in
473 the lower stratospheric temperature and the QBO [Norton, 2006; Randel *et al.*, 2008; Lu *et*
474 *al.*, 2009; Taguchi, 2009]. Here, we present some statistical evidence of a possible
475 modulation of the lower stratospheric annual cycle via solar wind dynamic pressure P_{sw} and
476 the descent pattern of the QBO and tropical temperature anomalies. We show that there is a
477 significant perturbation of tropical zonal wind, apparently related to P_{sw} , in both the
478 stratosphere and the troposphere. Based on these results, we suggest that, in addition to
479 atmospheric internal variability, solar wind driven modulation may also play a role in causing
480 inter-annual variation in the strength and descent pattern of the QBO.

481 More recently, Lu *et al.* [2009] found that the processes that synchronize the QBO exert
482 different effects on different QBO phases from season to season. During July and August, the

483 phase speed is significantly slowed when westerlies prevail through the pressure levels, and
484 becomes more irregular when easterlies are dominating there. They found that tropical
485 upwelling alone is insufficient to explain the more irregular behaviour of the eQBO shear
486 zone during SH winter and suggested that changes in tropical waves could be involved. A
487 possible modulation of the QBO by solar wind dynamic pressure may provide a partial
488 explanation for their observation. Our results on solar wind dynamic pressure related
489 perturbation of the QBO add another element to this general picture of the QBO variability
490 mechanisms. As tropical upwelling is generally lower during the Austral winter and spring, a
491 seasonal temperature perturbation linked to high P_{sw} may create an environment which
492 favours significantly more easterly shear zone to descend from higher altitudes into the lower
493 stratosphere, and/or a slower descent of the QBO overall.

494 It is worth noting that the seasonal temperature change that we find to be related to solar
495 wind dynamic pressure in the stratosphere is ~ 1 K in the lower stratosphere and ~ 2 K in the
496 upper stratosphere. These values are comparable to the inter-annual variability of tropical
497 temperature associated with ENSO, volcanic eruptions, and the QBO [Randel *et al.*, 2004;
498 Fueglistaler *et al.*, 2009].

499 Our analysis of including or excluding the data affected by the major Volcanic eruptions
500 or the major El Niño events showed no obvious bias on the statistically significant
501 modulation of P_{sw} on the QBO. Nevertheless, more detailed study is needed to separate the
502 effects of Volcano, ENSO, solar UV and solar wind. One obvious method is multivariate
503 regression. However, the main drawback of such analysis is that these mechanisms may not
504 be mutually exclusive and they could act together in a non-linear fashion to either enhance or
505 cancel the overall responses. In addition, multivariate regression effectively reduces the
506 degree of the freedom in the data and results in statistically less significant results. Thus, it
507 remains technically challenging to separate the different origin/cause based on limited

508 observational data, especially when the interaction is non-linear between the regressive
509 variables.

510 *Lu et al.* [2008a] showed that the winter Northern Annular Mode (NAM) is positively
511 correlated with P_{sw} when the 11-yr SC is at its maximum phase while negative correlation
512 between P_{sw} and the stratospheric NAM exists in spring at solar minimum. Those
513 extratropical signals suggested a weakening of the BD-circulation during winter months with
514 reduced upwelling in the low-latitude lower stratosphere when both solar activity and solar
515 wind dynamic pressure are high. The reversed relationship in spring implies enhanced BD-
516 circulation and anomalous stronger upwelling at low latitudes. Our findings here (see figure
517 9) further confirm a seasonal modulation of the BD-circulation, reflected by a significant
518 increase of tropical lower stratospheric temperature which corresponds to an anomalously
519 weaker upwelling near the tropics. . It is also consistent with earlier findings of *Lu et al.*
520 [2007] based on geomagnetic Ap index.

521 It should be noted that distinct differences exist in the extratropical and tropical
522 responses. Firstly, the tropical response reported here does not change sign between winter
523 and spring as opposed to the P_{sw} projection onto the NAM which tends to switch from
524 positive to negative from NH winter to spring [*Lu et al.*, 2008a]. Secondly, the tropical P_{sw}
525 signals are independent of the 11-yr SC while conversely the extratropical signals are only
526 statistically significant once the data are separated into high and low solar activity. Finally, a
527 significant response of the QBO to the P_{sw} variation is detected during SH late winter and
528 spring rather than during NH winter, when the most robust P_{sw} versus NAM relationship
529 holds. Hence, there is no clear evidence to suggest that the tropical response is a direct result
530 of the NH extra-tropical response reported previously by *Lu et al.* [2008a]. This implies that a
531 change in extratropical wave forcing alone is insufficient to explain the signals observed in
532 both the NH polar region during the Boreal winter and spring and the equatorial region

533 during the Austral winter and spring. There must be either extra or different mechanisms at
534 play to cause the incompatible signals in the extratropical NH winter.

535 **5. Summary**

536 By using daily and monthly data extending from 1963 to 2009, we have revealed a
537 significant solar wind dynamics pressure (P_{sw}) relationship to the annual cycle of temperature
538 in the tropical tropopause region, which in turn affects the QBO during Austral late winter
539 and spring. The main characteristics of this relationship can be summarized as follows.

- 540 1) A significant change in both the strength and phase occurrence frequency of the QBO
541 in the lower stratosphere are found in the lower stratosphere in relation to the solar
542 wind dynamic pressure. The signature is manifested by stronger and more frequent
543 occurrence of easterly anomalies associated with high P_{sw} during July-October in the
544 lower stratosphere. The effect is related to much higher frequency variations of P_{sw}
545 than the 11-year solar cycle and the most significant response is found at 30-50 hPa.
- 546 2) The annual averaged vertical profile of the tropical zonal wind anomalies caused by
547 P_{sw} perturbation is characterized by a vertical three-cell anomaly pattern with
548 westerly anomalies in the troposphere, easterly anomalies at 20-70 hPa and westerly
549 anomalies at 3-10 hPa. Despite its smaller amplitude in comparison to those obtained
550 from Austral winter and spring months, this well-structured wind anomaly pattern is
551 statistically significant all-year around. There is additional seasonal variation
552 superimposed on this annual average with noticeable upward movement during the
553 Boreal winter and spring and downward movement during the Austral late winter and
554 spring, consistent with the known annual cycle effect with stronger upwelling during
555 NH winter and weaker upwelling during SH winter.
- 556 3) The tropical temperature response to P_{sw} is characterized by anomalous warming of 2
557 K at 30-50 hPa and up to 1 K near the tropopause during the Boreal winter and spring

558 accompanied by up to 0.5 K cooling in the troposphere during the Austral winter and
559 spring. There is an anomalous downward propagation of positive temperature
560 anomalies from the upper stratosphere to the lower stratosphere over a period of a
561 year starting from December. The combined effect may cause a systematic
562 modulation of the annual cycle in the tropical stratospheric temperature and wind.

563 It remains to be understood what mechanism can cause the observed seasonal
564 modulation of the annual cycle by solar wind dynamic pressure leading to statistically
565 significant changes of the QBO. As the annual cycle in tropical temperature and zonal
566 wind is strongly coupled to the annual cycle in stratospheric water vapour, ozone and
567 wave activity from the troposphere [*Mote et al.*, 1995; *Fueglistaler et al.*, 2009], a next
568 step would be to look for changes in convective water vapour, ozone and/or upward
569 propagating equatorial waves. Through such related research, the pathways by which the
570 effect of solar wind variability, which is observable mainly in the lower thermosphere and
571 above, may propagate to the lower atmosphere can be better understood.

572

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733 **Figure Captions**

734 **Figure 1.** Height-time cross section of the monthly-mean zonal wind (top two panels) and the
735 QBO time series (*i.e.* de-seasonalized monthly mean zonal mean zonal wind averaged over
736 5°S-5°N) (bottom two panels) for the period of 1958-2009. Red and blue colors represent
737 westerly and easterly winds respectively.

738 **Figure 2.** Time series of monthly solar wind dynamic pressure P_{sw} (blue line), with its high &
739 low frequency components shown as the red and dark solid black lines. The frequency
740 separation is done by treating the original monthly P_{sw} with an order 11 Butterworth high-
741 pass filter with a cut-off period of 36 months.

742 **Figure 3.** The QBO phase occurrences under HP (1st row), and under LP (2nd row) at 70-30
743 hPa pressure levels (from left to right), calculated based on daily data. Westerly winds
744 (wQBO) are denoted as solid lines and easterly winds (eQBO) are denoted as gray shaded
745 and dashed contour lines. wQBO and eQBO are defined as > 0.25 and < -0.25 of the
746 normalized monthly mean of the QBO.

747 **Figure 4.** The QBO phase occurrences in relation to high (HP, solid line with +) and low
748 (LP, dashed line with o) solar wind dynamic pressure for eQBO (1st row), under wQBO (2nd
749 row) phases at 70-30 hPa pressure levels (from left to right). HP and LP are defined as $>$
750 0.25 and < -0.25 of the normalized monthly P_{sw} median.

751 **Figure 5.** (a) Vertical profile of the annual mean tropical wind (solid line) and \pm one standard
752 deviation (dotted lines); (b) Departure from the annual mean for HP and LP conditions (solid
753 lines) for the period of 1963-2009; (c) same as (b) but based on data from 1979-2009; (d)
754 same as (b) but based on data when two years after each major volcanic eruption are
755 excluded. In (b), (c) and (d), 95% confidence intervals are shown as dotted lines for both HP
756 and LP conditions. When the dotted lines do not overlap, it indicates that the average

757 differences between the HP and LP groups are significant at or above the 95% confidence
758 level. All the departures are calculated as deviations from the monthly mean based on daily
759 data which is then aggregated to give the annual mean departure.

760 **Figure 6.** Same as figure 5b but for December-February (a), March-May (b), June-August
761 (c), and September-November (d) means. The departures from the seasonal means are
762 calculated based on daily data aggregated into a seasonal mean departure. The usage of the
763 lines and the definition of significant levels are the same as figure 5.

764 **Figure 7.** Height-time cross section of running composite difference of the daily equatorial
765 zonal wind (in m s^{-1}) from 1st of June to 30th of October for HP-LP condition. A 31-day
766 running window is applied to both the wind and P_{sw} without any time lag. (a): the linear
767 regression is based on raw P_{sw} . (b): A high-pass filter with cut-off period of 1095-day (~3-
768 years). (c): same as (b) but data affected by the major volcanic eruptions are excluded. (d):
769 same as (b) but data affected by the major El Niño (1972, 1973, 1982, 1983, 1997, and 1998)
770 are excluded.

771 **Figure 8.** Correlations between the July to October averaged high frequency P_{sw} (*i.e.* with
772 period shorter than 3 years, denoted as $P_{sw \text{ JASO}}$) and the averaged QBO for the same calendar
773 months (denoted as QBO_{JASO}) at 50 hPa (a) and 30 hPa (b), respectively. Individual years are
774 shown as two digital numbers. Years affected by major volcanic eruptions and major El Niño
775 events are highlighted as red and green squares. The correlation coefficient, statistical
776 confidence level (in brackets), and number of samples used are given in the top of the panels
777 (also in brackets).

778 **Figure 9.** Same as Figure 7(a), except that the equatorial zonal-mean zonal wind is replaced
779 by equatorial zonal-mean temperature and the x-axis are extended from 1st of the January to
780 31st of the December and y-axis from 1000 hPa to 1 hPa.

781 **Figure 10.** (a) Vertical profile of tropical (5°S - 5°N) climatological mean annual pattern of
782 zonal-mean zonal wind in m s^{-1} . Westerly winds are donated as solid lines and easterly winds
783 are donated as gray shaded and dashed contour lines. (b) Vertical profile of tropical
784 climatological mean annual variation of temperature (thick black lines, lower panel) and
785 temperature anomalies from annual mean profile (shaded contour) in K. Negative
786 temperature anomalies are donated with gray shading.

787 **Figure 11.** Histograms of the QBO phase transitions (zero crossings based on daily data) at
788 10hPa, 20hPa, 30hPa, 50hPa and 70hPa (top to bottom) grouped by month. Westerly to
789 easterly transitions are displayed in the left-hand panels, while easterly to westerly transitions
790 are shown in the right-hand panels. The climatology and variability faster than 6 months were
791 removed before the transitions were determined. The years of the transitions are donated by
792 two digital numbers.

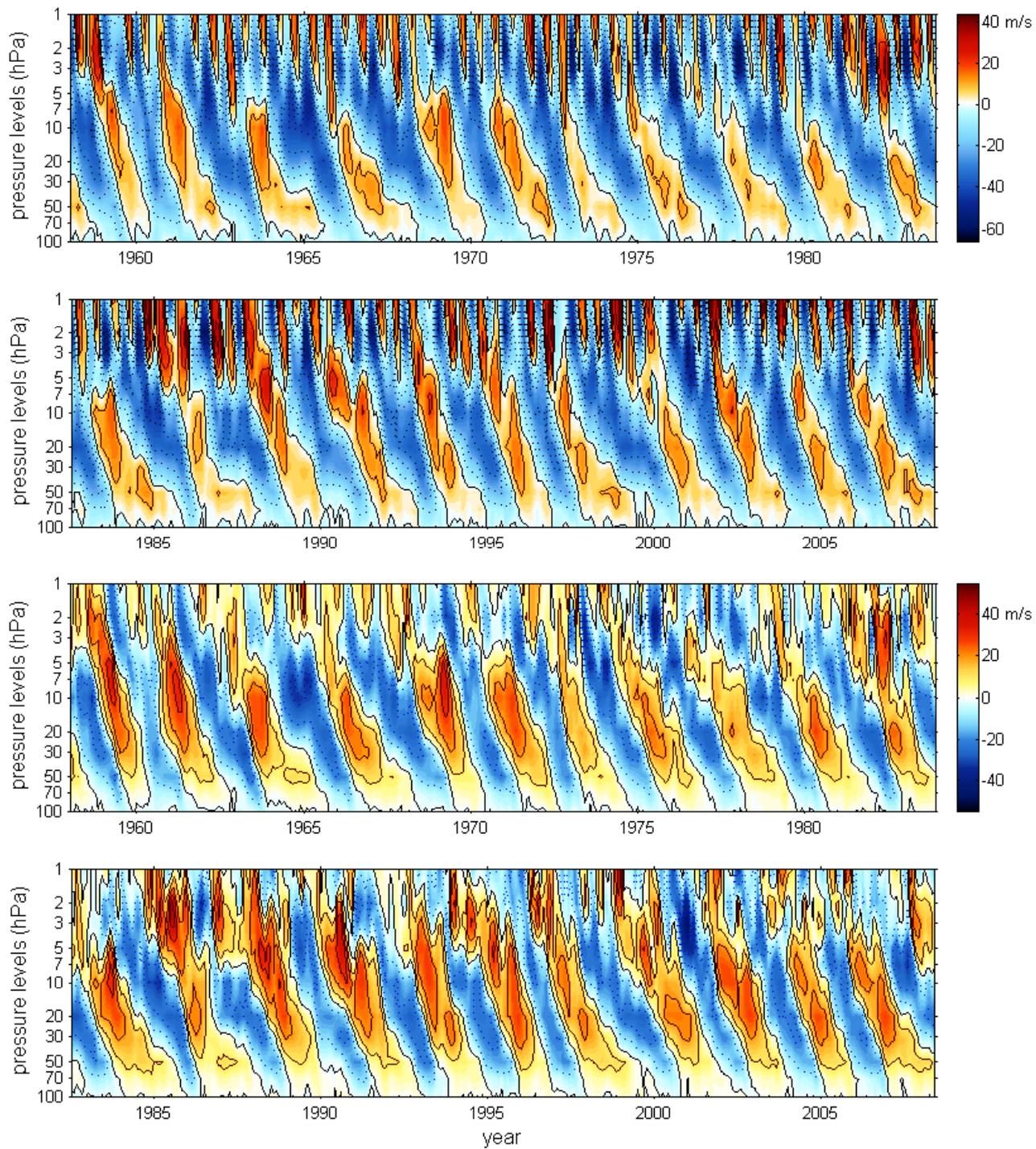


Figure 1

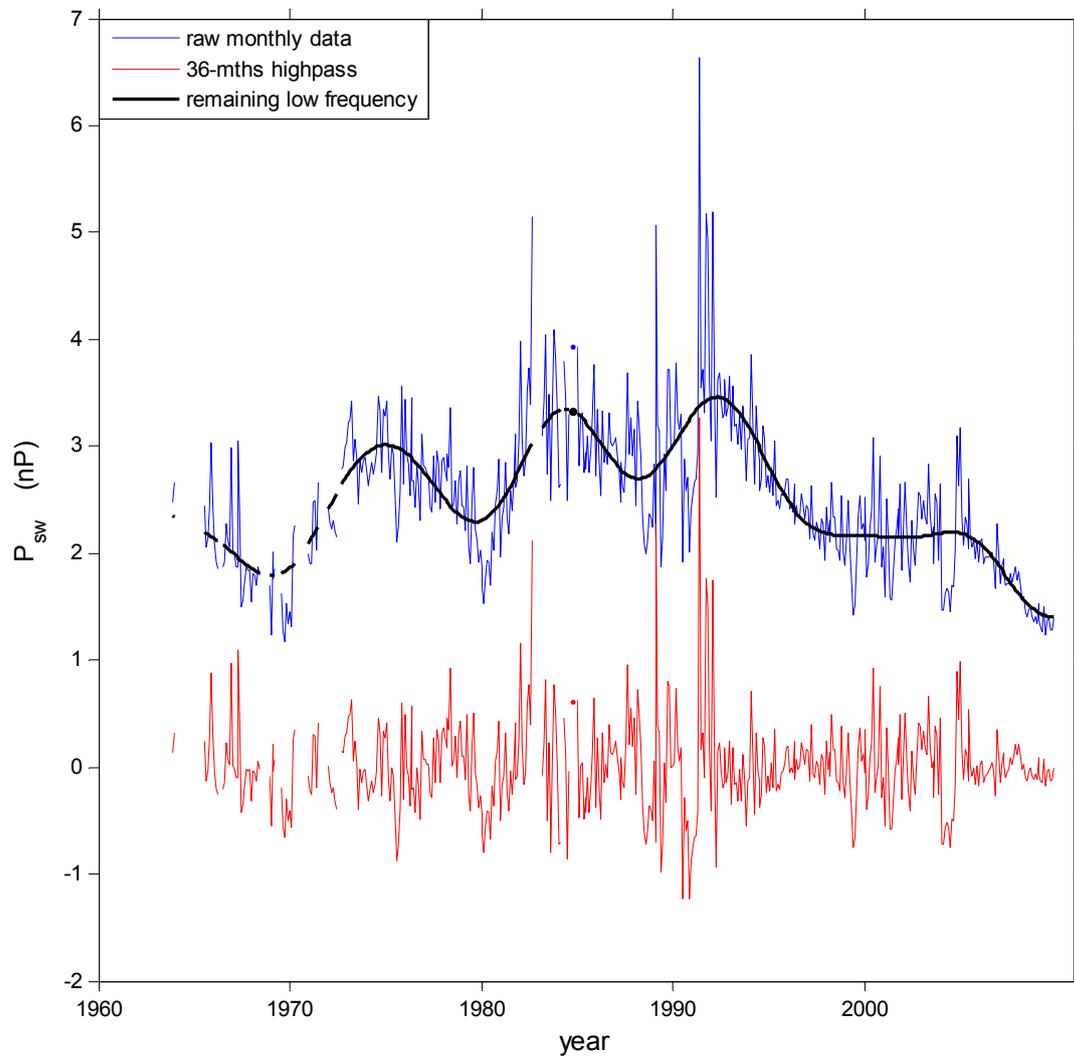


Figure 2

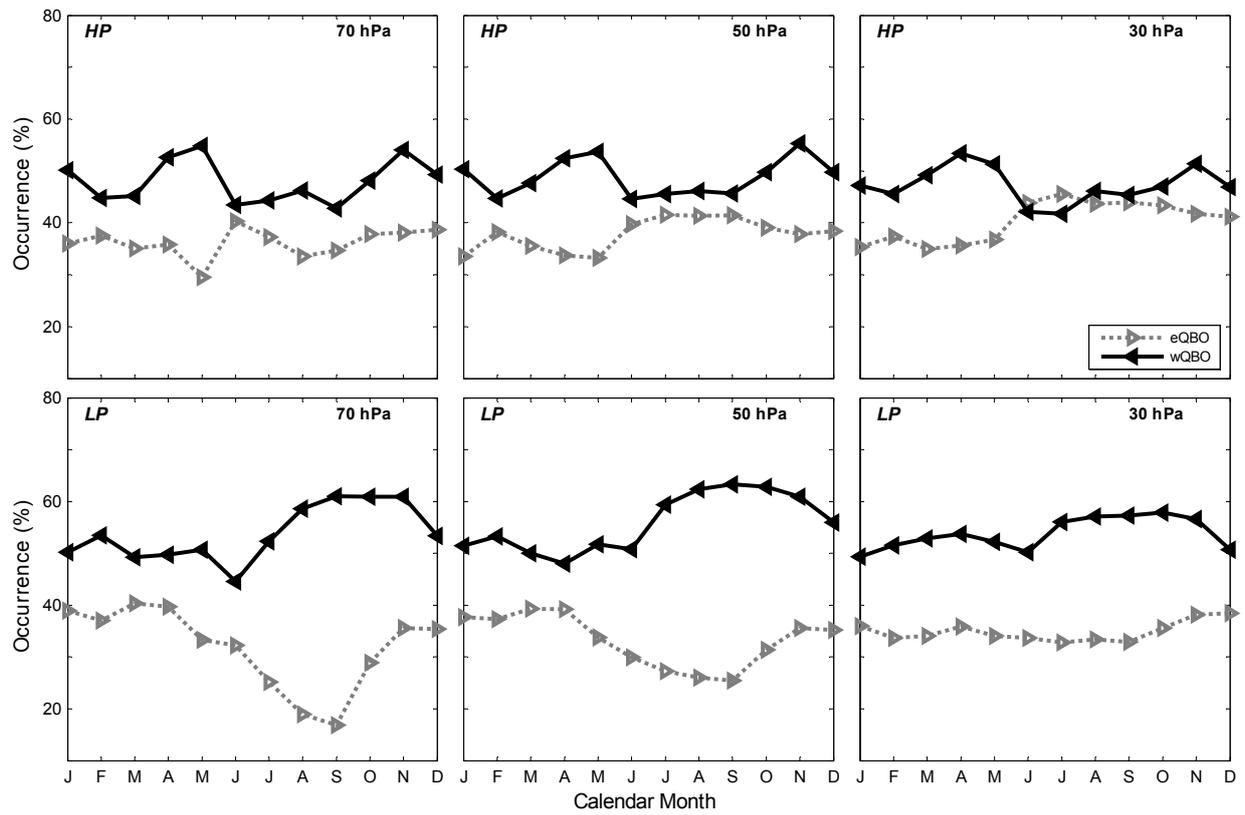


Figure 3

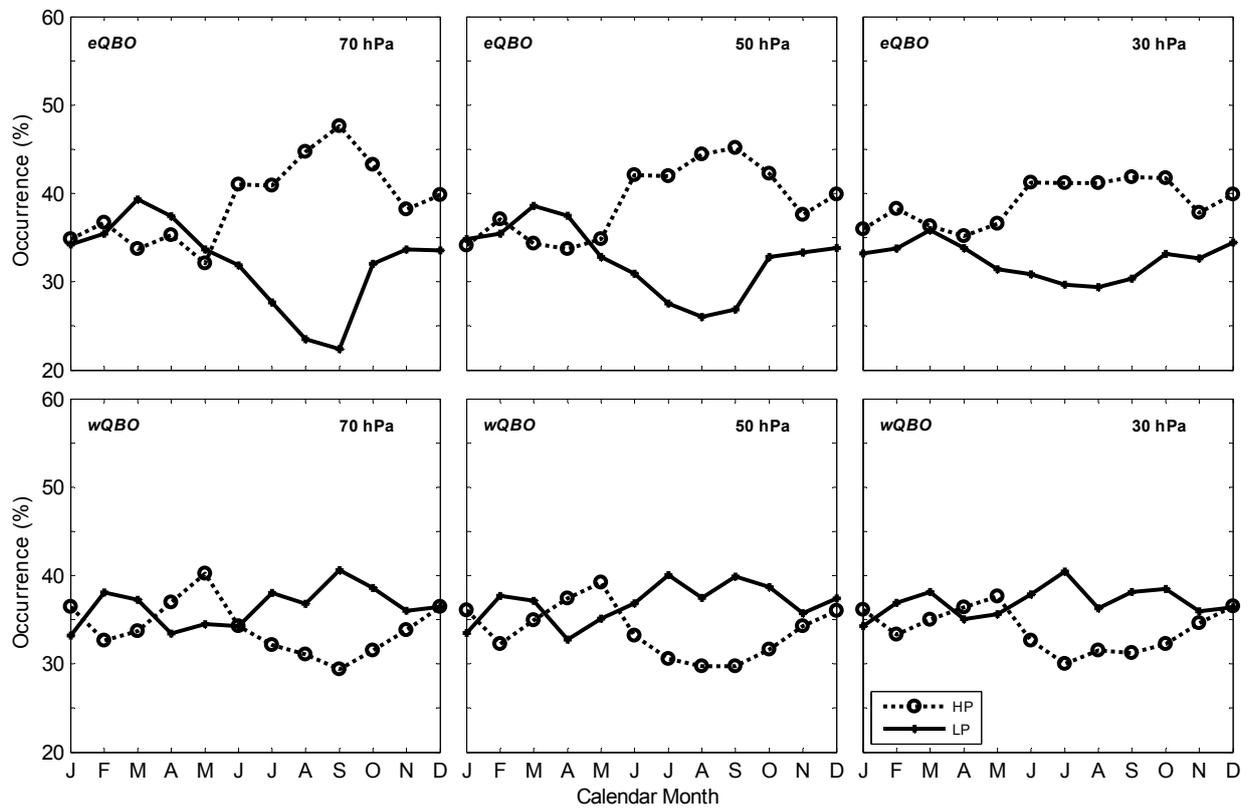


Figure 4

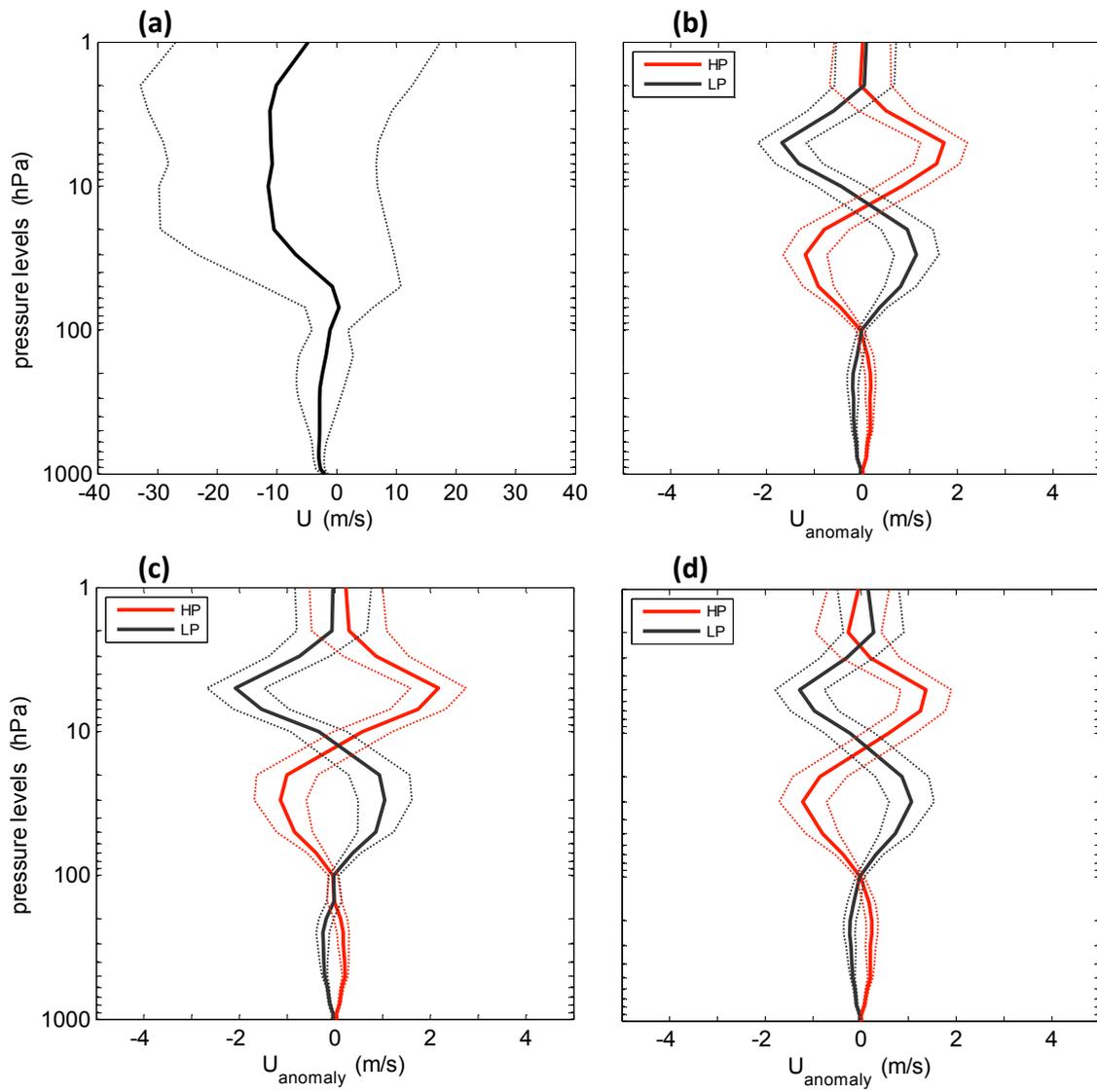


Figure 5

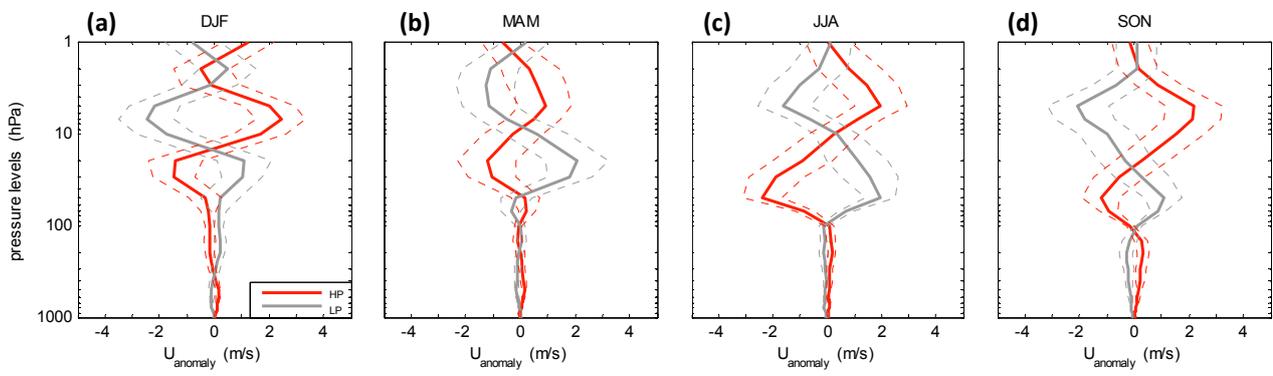


Figure 6

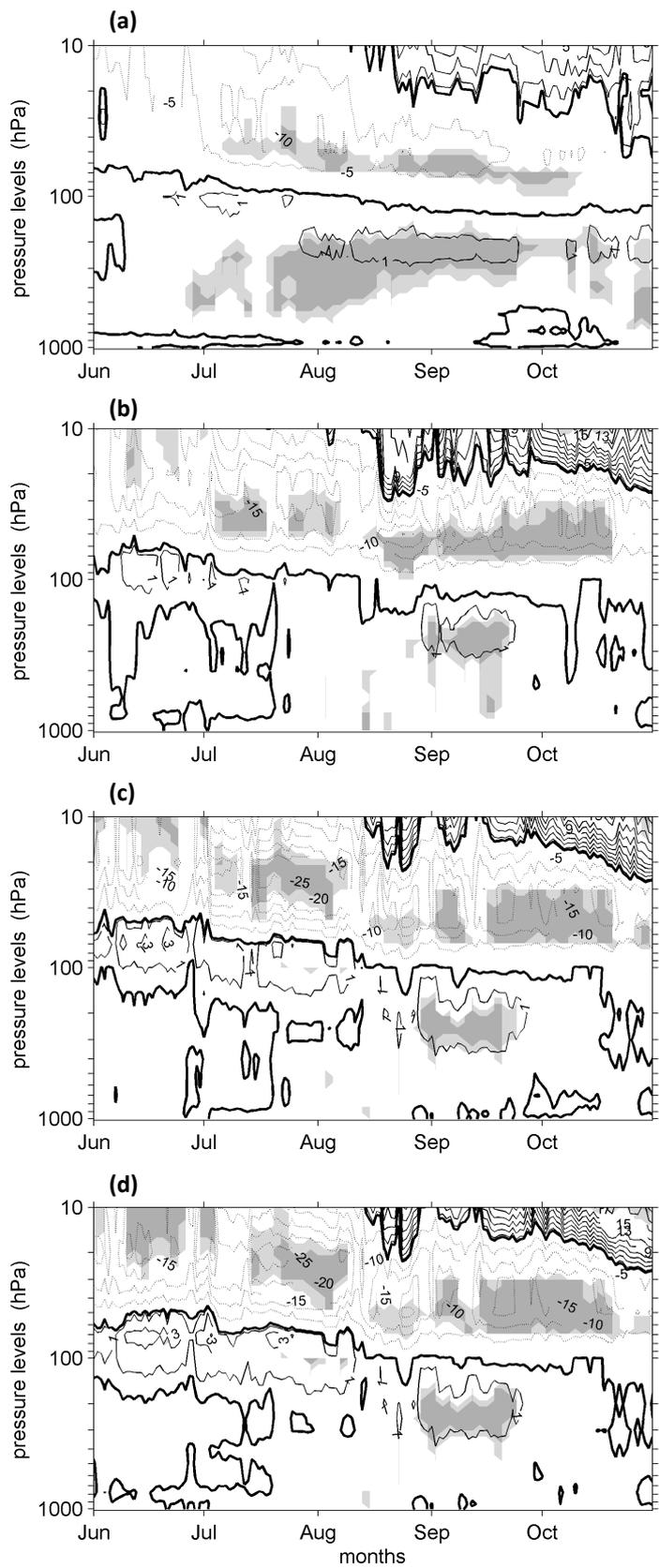


Figure 7

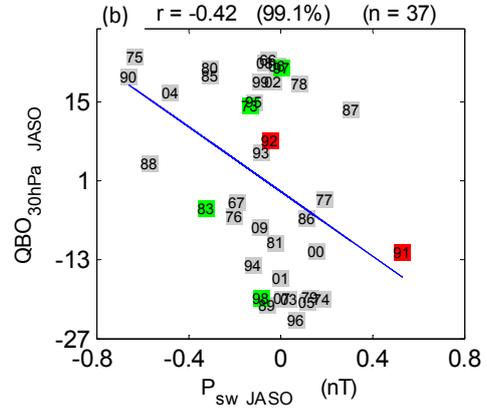
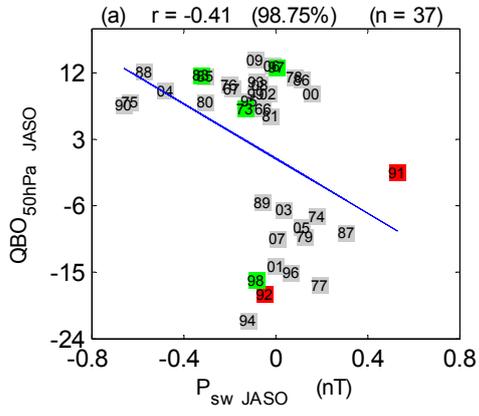


Figure 8

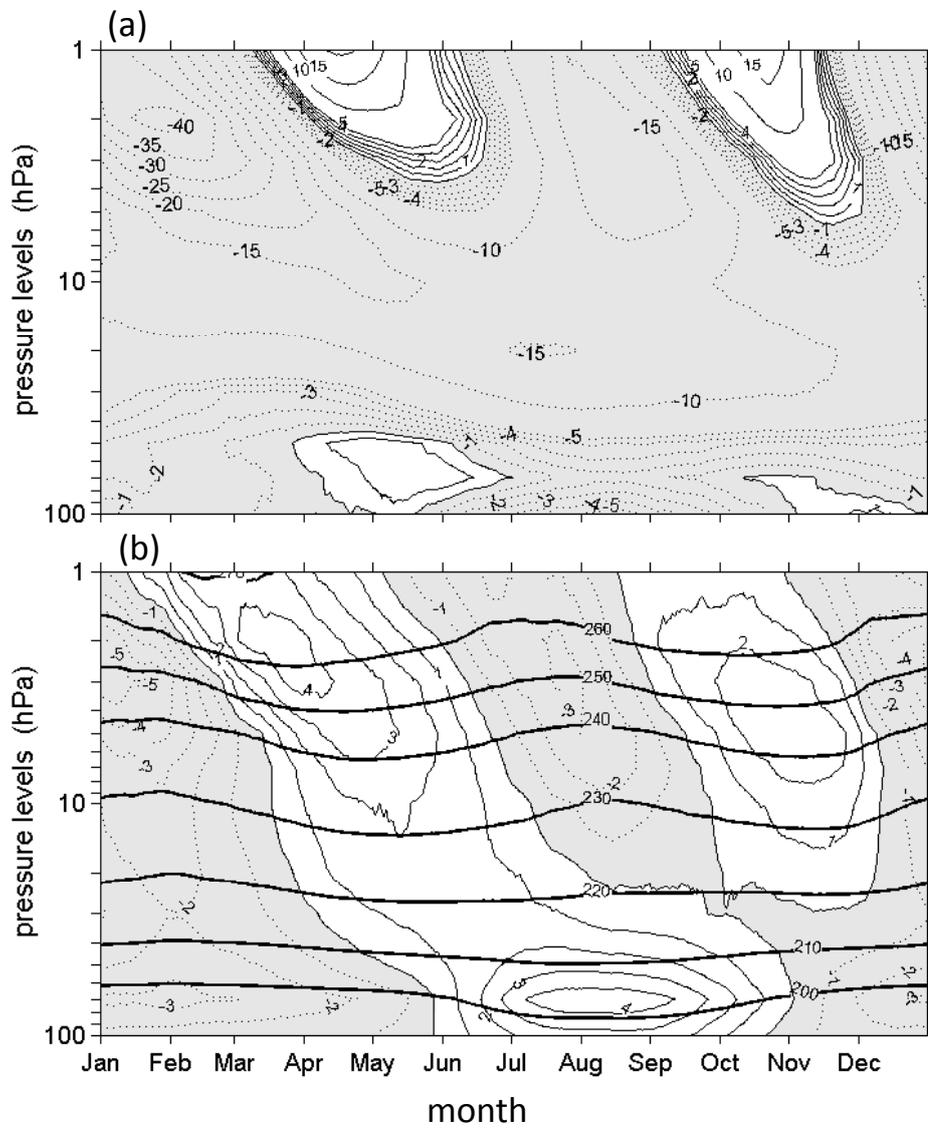


Figure 10

