

Detailed nucleation process and mechanism of the July 2019 Mw 6.4 Ridgecrest, California earthquake

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Abstract

We utilized the Match&Locate method to characterize the detailed spatial and temporal evolution of earthquakes before the July 2019 Mw 6.4 Ridgecrest, California earthquake. The Mw 6.4 mainshock was preceded by 40 foreshocks within ~ 2 h (on July 4, 2017 from 15:35:29 to 17:32:52, UTC). The largest foreshock (M 4.0) separates the foreshock activity into two stages with different nucleation mechanisms. A swarm of repeating earthquakes occurred before the M 4.0 event, implying the earthquake sequence initiated from an aseismic slip process. The majority of aftershocks of the M 4.0 event as well as the Mw 6.4 mainshock, occurred within regions of increasing Coulomb stress, indicating that they were triggered by stress transfer. Our observations demonstrate that neither the preslip model nor the cascade model can explain the entire nucleation process of the Mw 6.4 mainshock. Instead, both mechanisms govern the nucleation process, but at different stages.

25 **Abstract**

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27 evolution of earthquakes before the July 2019 Mw 6.4 Ridgecrest, California earthquake. The
28 Mw 6.4 mainshock was preceded by 40 foreshocks within ~2 h (on July 4, 2017 from 15:35:29
29 to 17:32:52, UTC). The largest foreshock (M_L 4.0) separates the foreshock activity into two
30 stages with different nucleation mechanisms. A swarm of repeating earthquakes occurred before
31 the M_L 4.0 event, implying the earthquake sequence initiated from an aseismic slip process. The
32 majority of aftershocks of the M_L 4.0 event as well as the Mw 6.4 mainshock, occurred within
33 regions of increasing Coulomb stress, indicating that they were triggered by stress transfer. Our
34 observations demonstrate that neither the preslip model nor the cascade model can explain the
35 entire nucleation process of the Mw 6.4 mainshock. Instead, both mechanisms govern the
36 nucleation process, but at different stages.

37

38 **Plain Language Summary**

39 The 2019 Mw 6.4 Ridgecrest, California earthquake was preceded by a significant foreshock
40 sequence in the ~2 h leading up to the main shock, presenting a question: what is the relationship
41 between the Mw 6.4 mainshock and its foreshocks? In this study, we comprehensively analyzed
42 seismograms obtained from nine nearby stations before the Mw 6.4 earthquake using state-of-
43 the-art methods. Our unprecedented high-precision earthquake catalog demonstrates the detailed
44 spatiotemporal evolution of the foreshocks. We investigated the nucleation mechanism for the
45 foreshocks based on the relationship between their accurate hypocenters and the nearby stress
46 changes. Our study suggests that aseismic slip and stress transfer jointly explain the nucleation
47 mechanism of the Mw 6.4 mainshock.

48

49 **1 Introduction**

50 The July 2019 Ridgecrest earthquake sequence broke a nearly 20-year absence of strong
51 earthquakes in southern California. This sequence included two closely-spaced (about 10 km
52 apart; Figure 1) mainshocks: an Mw 6.4 event on 4 July, 2019 (at 17:33:49 UTC) and an Mw 7.1
53 event on 6 July 2019 (at 03:19:53 UTC). The two mainshocks activated a complex fault network,

54 consisting of the main NW-trending fault with about 65 km surface rupture, the NE-trending
55 cross fault with 15 km surface rupture, as well as multiple near-orthogonal buried faults which
56 cut through the main fault (Figure 1) (Liu et al., 2020; Ross et al., 2019; Shelly, 2020; Yang et
57 al., 2020). The Southern California Seismic Network (SCSN) reported 9 foreshocks in ~2 h
58 preceding the Mw 6.4 mainshock. Although the foreshock catalog has been further improved
59 using state-of-the-art techniques, such as the template matching technique (Ross et al., 2019;
60 Shelly, 2020) and a machine-learning-based phase picker (Liu et al., 2020), the relationship
61 between the Mw 6.4 mainshock and its foreshocks (i.e., nucleation mechanism) is not well
62 understood.

63
64 Two opposing models have been proposed to explain earthquake nucleation: the preslip model
65 and the cascade model (Beroza & Ellsworth, 1996; Dodge et al., 1996; Ellsworth & Beroza,
66 1995; Mignan, 2014). In the preslip model, foreshocks are attributed to aseismic slip surrounding
67 the eventual mainshock hypocenter and may appear as repeating earthquakes. This model
68 provides the possibility for earthquake prediction (Bouchon et al., 2011; Chen and Shearer, 2013;
69 Dodge et al., 1996; Kato et al., 2012; McGuire et al., 2005; Savage et al., 2017; Tape et al.,
70 2018). In the cascade model, later earthquakes usually occur in regions of increasing stress,
71 which are triggered by adjacent preceding events (Ellsworth and Bulut, 2018; Felzer et al., 2004;
72 Helmstetter and Sornetter, 2003; Yoon et al., 2019). In other words, under this model,
73 earthquakes, even the large ones, are random outcomes of triggering, implying that earthquake
74 prediction is impossible (Ellsworth & Beroza, 1995). Recently, a combination of both
75 mechanisms has been proposed to understand the complex nucleation process of some large
76 earthquakes (Savage et al., 2017; Yao et al., 2020).

77
78 A comprehensive and high-precision earthquake catalog plays a key role in understanding the
79 underlying earthquake nucleation mechanism. Using a matched filter is a promising technique
80 for small earthquake detection, and involves the application of cross-correlation (CC) between
81 the template events and continuous waveforms (Gibbons & Ringdal, 2006). Because this process
82 assumes that the newly detected earthquakes are co-located with template events, the matched
83 filter is only capable of detecting closely adjacent earthquakes and cannot provide accurate

84 location information. Thus, earthquakes must be relocated separately using sequential algorithms
85 such as cross-correlation and double-difference relocation (e.g., Ellsworth & Bulut, 2018; Yao et
86 al., 2020; Yoon et al., 2019). Each of the above steps may affect the final earthquake catalog,
87 from magnitude completeness to location accuracy. For instance, cross-correlation differential
88 travel times are only maintained for waveform pairs with very high similarity (e.g., $CC > 0.7$),
89 which potentially decreases the number of available template phases/stations and lowers the
90 location resolution. To solve this issue, Zhang and Wen (2015a) developed the Match&Locate
91 method (M&L) to simultaneously detect and locate earthquakes, using all available components
92 and stations, by maximizing the stacked waveform coherence based on the delay-and-sum
93 concept. One remarkable application of this method was the detection and location of a
94 controversial low-yield nuclear test conducted by North Korea in 2010, providing seismological
95 evidence of the nuclear explosion along with radionuclide findings (Zhang & Wen, 2015b).

96
97 To understand the nucleation mechanism of the July 2019 Mw 6.4 Ridgecrest mainshock, we
98 comprehensively investigated the relationship between the Mw 6.4 mainshock and its
99 foreshocks. By applying the M&L method, we built a comprehensive and high-precision
100 earthquake catalog of the foreshocks and determined the rupture directivity of the largest M_L 4.0
101 foreshock, by estimating its initial point and centroid point, as well as the initial point of the Mw
102 6.4 mainshock. Waveform similarity analysis and Coulomb stress change calculations were also
103 adopted, to investigate the nucleation process.

104

105 **2 Detailed spatiotemporal evolution of foreshocks**

106 We used the M&L method to detect and locate earthquakes before the Mw 6.4 mainshock (from
107 15:35:26 to 17:32:52, UTC on July 4, 2019). Continuous seismic data were collected from nine
108 permanent stations within 60 km of the Mw 6.4 mainshock (Figure 1). We selected the M_L 1.5
109 foreshock as the template event (EQ 6; see Table S1 in the supporting information), as it had a
110 moderate magnitude and relatively high similarity to other SCSN cataloged foreshocks. The
111 location of the template event was extracted from the cross-correlation hypoDD catalog (Shelly,
112 2020). We adopted the same 1-D velocity model suggested by Shelly (2020).

113

114 To efficiently conduct the M&L method, we built the foreshock catalog in two steps. The first
115 step involved detecting and roughly locating earthquakes from continuous waveforms, while the
116 second step involved refining their locations. In the first step, we searched for potential
117 earthquakes within a 3D region centered at the template location: $0.006^\circ \times 0.006^\circ \times 600$ m in
118 longitude, latitude, and depth, with a searching interval of 0.0006° laterally (i.e., approximately
119 60 m) and 60 m vertically. Both P and S phases were utilized in the M&L method. We used the
120 TauP software to calculate the theoretical P- and S-wave arrival times for the template event, as
121 well as their horizontal and vertical slowness (Crotwell et al., 1999; Zhang and Wen, 2015a).
122 The template windows were 0.2 s before and 1.8 s after their theoretical arrival times. Such
123 window settings enable us to separate P and S phases into corresponding time windows. We kept
124 the default 100 Hz sampling interval for this step. We filtered the template and continuous
125 waveforms from 2 to 12 Hz to improve the signal-to-noise ratio. With an empirical CC threshold
126 of 0.35, we detected and located 39 foreshocks with magnitudes ranging from -0.39 to 4.0
127 (Figure 1; Table S1). Here, both location and magnitude were determined relative to the template
128 event (see detailed method introduction in Zhang and Wen, 2015a). The second step focuses on
129 refining the location of the events detected in the first step. Waveforms of the 39 detected events
130 were cut from 5 s before and 25 s after their origin time. Earthquake locations were further
131 refined within a smaller 3D region, with a finer search grid size centered at the optimal locations
132 determined in the first step: $0.001^\circ \times 0.001^\circ \times 100$ m in longitude, latitude, and depth with a
133 searching interval of 0.00001° laterally (i.e., approximately 1 m) and 1 m vertically. To match
134 this high spatial resolution, we interpolated the template and continuous waveforms from 100 to
135 5000 Hz. All 39 earthquakes were relocated with high precision, which can be verified by
136 waveform comparison between them and the template event along with their CC spatial
137 convergence (see Text S1). Based on a bootstrapping analysis, the horizontal and vertical
138 location uncertainties are determined to be 3–8 m and 3–10 m, respectively (see Text S1). All 35
139 events reported in the CC hypoDD catalog were recovered with the M&L method (Shelly, 2020).
140 Even though they are independently located with different algorithms and slightly different
141 stations, the common events are consistent in space with an average hypocentral separation of
142 34.2 m, except for the 20190704T17:16:50 event, which was mislocated in the hypoDD catalog
143 (Figures S1-2).

145 This unprecedented high-precision catalog enables us to reveal detailed spatiotemporal migration
146 of foreshocks and delineate the fine-scale structure of the fault zone (Figures 2a-e and Movie
147 S1). On July 4, 2019 at 15:35:26 (UTC), a burst of small earthquakes began activating near the
148 hypocenter of the Mw 6.4 mainshock (Figure 2a). After 45 min of silence, the largest M_L 4.0
149 foreshock nucleated nearby (Figure 2b). In the following 9 min, its early aftershocks occurred
150 along a SW-dipping fault around its hypocenter (Figure 2b). Later on, a NW-trending shallow
151 fault strand and a nearly north-trending deep low-dip fault strand were sequentially activated,
152 and were gradually connected by later earthquakes before the occurrence of the Mw 6.4
153 mainshock, forming a throughgoing fault structure (Figure 2d).

154

155 **3 Rupture directivity analysis of M_L 4.0 foreshock**

156 We conducted rupture directivity analysis for the M_L 4.0 earthquake. Based on the empirical
157 Green's function method, similar to the relative directivity inversion method proposed by Xu and
158 Wen (2019), we directly estimated the initial rupture point and centroid point of the M_L 4.0
159 earthquake using the M&L method. However, instead of minimizing the CC travel-time residual,
160 the M&L method determines the two points by grid-searching the optimal location to maximize
161 the averaged CC coefficient between the target event and the master event. Here, we kept the M_L
162 1.5 event as our master event because of its high signal-to-noise ratio, high similarity, and
163 suitable magnitude. We utilized the initial P phases and full P and S phases to investigate the
164 initial rupture point and centroid point, respectively. We used the same data processing
165 techniques that were used to build the foreshock catalog in step 2. The centroid point was
166 extracted directly from our high-precision foreshock catalog. In the initial point estimation, we
167 manually picked the first P-wave arrivals on vertical components and set a template window of
168 0.03 s before and 0.03 s after the P-wave arrivals. The results indicate that the M_L 4.0 foreshock
169 ruptured unilaterally along the NW fault with a rupture length of 630 m (i.e., twice the distance
170 between the initial rupture point and centroid point), which is consistent with one of the reported
171 nodal fault planes (SCSN; Figures 3a-b). Similarly, we determined the initial rupture point for
172 the Mw 6.4 mainshock, which is located about 75 m SE of the master event (Figures 3c-d). Here,
173 station SLA was not adopted due to the poor similarity between the Mw 6.4 event and the master

174 event (Figure S3). The centroid point of the Mw 6.4 mainshock cannot be estimated in this way
175 because of the complexity of its rupture in space and time.

176

177 **4 Nucleation of the Mw 6.4 mainshock and its foreshocks**

178 We conducted further studies to determine whether the preslip model or cascade model could
179 explain the nucleation mechanism of the Mw 6.4 mainshock. Repeating earthquakes (REs)
180 occur on the same or overlapping fault areas (patch) and support the preslip model, but cannot be
181 explained by the cascade model (Ellsworth & Beroza, 1995). Thus, the identification of REs
182 plays a critical role in distinguishing the two nucleation mechanisms.

183

184 REs are identified using two sequential criteria: 1) events must have high waveform similarity
185 and 2) events must rupture on overlapping faults/patches (Uchida, 2019; Uchida and Burgmann,
186 2019). To perform similarity analysis, we calculated the pairwise cross-correlation for the 40
187 foreshocks based on the vertical component of the closest station, B918 (Figure 1). Waveform
188 windows were cut from 1 s before and 6 s after the first P-wave arrivals, including the whole S-
189 wave phases and most coda waves. A maximum 0.2 s lag was adopted during the cross-
190 correlation. Based on a CC threshold of 0.9 (Uchida and Burgmann, 2019), we grouped
191 corresponding events into clusters using the equivalency class algorithm (Press et al., 1986). Two
192 candidate earthquake clusters were identified: six events before the M_L 4.0 earthquake (EQ 2–7;
193 Table S1) and twelve shallow events following the M_L 4.0 earthquake (Figure 2f). Here, we have
194 assigned the first earthquake (EQ 1) of the whole sequence to the first cluster, even though it
195 possesses a relatively low CC coefficient (0.65–0.73) with others in the cluster. This is because
196 the event is located very close to the center of the cluster (Figure 2a and Movie S1). The low CC
197 value is caused by waveform overlapping (the event was closely followed by a larger event with
198 an origin time separation of 3 s) (Figure 2f). Therefore, we have seven earthquakes in the first

199 cluster. The seven events occurred within a radius of 25 m, which is less than the theoretical 31-
200 m rupture radius of the largest event ($M_L 1.5$) among the cluster (Figure 2a; see Text S2). In other
201 words, their rupture patches were at least partially overlapping. Thus, we regard them as an RE
202 cluster. The second cluster of events shows an NW-trending extent of ~ 200 m (Figure 2d), which
203 is far beyond the theoretical 50-m rupture radius of the largest event ($M_L 2.15$) among the cluster
204 (see Text S2). Thus, we rule out the possibility that they belong to an RE cluster, based on the
205 second criterion. Based on the above analysis, we suggest that the foreshock sequence was
206 activated from a cluster of REs and earthquakes before the $M_L 4.0$ event initiated from an
207 aseismic-slip process.

208
209 To determine whether the cascade model can explain the events following the $M_L 4.0$ earthquake
210 and the Mw 6.4 mainshock, we verified the potential triggering mechanism by investigating the
211 relationship between the hypocenters of those events and the nearby stress changes. Two
212 different approaches were applied to estimate the stress changes. In the first approach, we
213 inverted the Coulomb stress change according to the focal mechanism solution of the $M_L 4.0$
214 event (Lin & Stein, 2004). The initial rupture point of the $M_L 4.0$ foreshock estimated by the
215 M&L method, one of the fault planes that matched rupture directivity (i.e., strike = 318° , rake =
216 167° , and dip = 81° ; SCSN), and a recommended friction coefficient of 0.4 were adopted in the
217 Coulomb stress change inversion (Lin & Stein, 2004; Toda et al., 2005). The majority of the
218 aftershocks of the $M_L 4.0$ event, as well as the Mw 6.4 mainshock, nucleated in the regions with
219 increasing Coulomb stress (Figures 4a-c), which suggests they were triggered by stress transfer.
220 In the second approach, we empirically inferred the stress change imparted by the $M_L 4.0$ event in
221 space based on a simple circular crack (Kanamori & Anderson, 1975). From our previous
222 directivity analysis, we know that the largest possible rupture radius of the $M_L 4.0$ event is 315 m
223 (blue circle in Figure 4d). Earthquakes following the $M_L 4.0$ earthquake as well as the Mw 6.4
224 mainshock, dominantly occurred outside of the rupture zone of the $M_L 4.0$ event (Figure 4d),
225 which usually indicates increased stress (Ellsworth & Bulut, 2018; Yoon et al., 2019). The two
226 independent analyses suggest that the majority of aftershocks of the $M_L 4.0$ earthquake and Mw

227 6.4 mainshock were triggered by stress transfer, which is in line with the cascade model. We also
228 noticed that a few earthquakes likely re-ruptured the source zone of the M_L 4.0 event (Figure 4d),
229 which may be explained by aseismic slip or rupture heterogeneity (Ellsworth & Bulut, 2018).
230

231 **5 Discussion**

232 Direct and robust evidence indicates that the preslip model and cascade model jointly governed
233 the nucleation process of the Mw 6.4 mainshock. A cluster of REs preceding the largest M_L 4.0
234 foreshock occurred within a radius of 25 m (Figure 2a), consistent with the small nucleation zone
235 of an M_L 4.0 earthquake (Dodge et al., 1996; Ellsworth & Beroza, 1995). The magnitude of the
236 members in the RE cluster shows an overall increasing trend prior to the occurrence of the M_L
237 4.0 foreshock (Figure 2e), in accordance with the reported accelerating slip process (Kato et al.,
238 2012, 2016; Tape et al., 2018). The majority of aftershocks of the M_L 4.0 earthquake, as well as
239 the Mw 6.4 mainshock, were triggered by the stress change imparted by the M_L 4.0 event (Figure
240 4), consistent with the cascade triggering process described in previous studies (Ellsworth &
241 Bulut, 2018; Yao et al., 2020; Yoon et al., 2019). A similarly complex nucleation process was
242 also observed in the foreshock sequence of the 2010 Mw 7.2 EI Mayor-Cucapah earthquake
243 (Yao et al., 2020). Here, as a complete explanation for the nucleation process of the Mw 6.4
244 earthquake, we suggest that the aseismic slip process initiated the nucleation, and cascade
245 triggering dominated the following events. The coalescence of aseismic slip and transferred
246 stress triggering in earthquake nucleation has been implied from laboratory experiments and
247 numerical models (Dublanche, 2018; McLaskey, 2019; McLaskey & Lockner, 2014; Noda et
248 al., 2013). Our study bridges the gap between laboratory experiments and field observations.

249
250 Immature fault systems that are transitioning into new major tectonic boundaries are usually
251 characterized by a geometrically complex fault distribution and slow earthquake rupture (Crider
252 & Peacock, 2004). Source inversion suggests that the Mw 6.4 and Mw 7.1 events ruptured with a
253 slow velocity of about 1-2 km/s (Chen et al., 2020; Goldberg et al., 2020; Ross et al., 2019; Yang
254 et al., 2020). Goldberg et al. (2020) concluded that the 2019 Ridgecrest sequence occurred on an
255 immature fault. In this study, our foreshock catalog reveals a complex seismogenic structure,
256 consisting of at least three fault strands with variable orientations (Figure 2), which

257 independently supports the notion that the 2019 Ridgecrest sequence nucleated on an immature
258 fault system. These individual fault strands are in fact small and may not be optimally oriented
259 for large-scale earthquake failure (Crider & Peacock, 2004). However, a throughgoing fault
260 structure was connected by the earthquakes following the Mw 4.0 event (Figure 2d), and
261 accommodated the Mw 6.4 mainshock (Goldberg et al., 2020; Manighetti et al., 2007; Perrin et
262 al., 2016; Thomas et al., 2013; Wesnousky, 1988).

263

264 **6 Conclusions**

265 We applied the M&L method to comprehensively investigate the detailed spatiotemporal
266 evolution of foreshocks of the Mw 6.4 earthquake and to directly estimate rupture directivity and
267 rupture length of its largest foreshock (M_L 4.0). We identified 40 foreshocks that occurred ~2 h
268 before the mainshock, with magnitudes ranging from -0.39 to 4.0. The largest M_L 4.0 foreshock
269 separated the sequence into two stages with different nucleation mechanisms. The nucleation
270 process was initiated by a swarm of repeating earthquakes, prior to the M_L 4.0 event, which
271 suggests aseismic slip and fits with the preslip model. Following the M_L 4.0 event, the majority of
272 its aftershocks, and the Mw 6.4 earthquake, were triggered by stress transfer, indicating a
273 cascade triggering mechanism. Our observation suggests that the nucleation of the Mw 6.4
274 mainshock and its foreshocks can be jointly explained by the preslip and cascade models.

275

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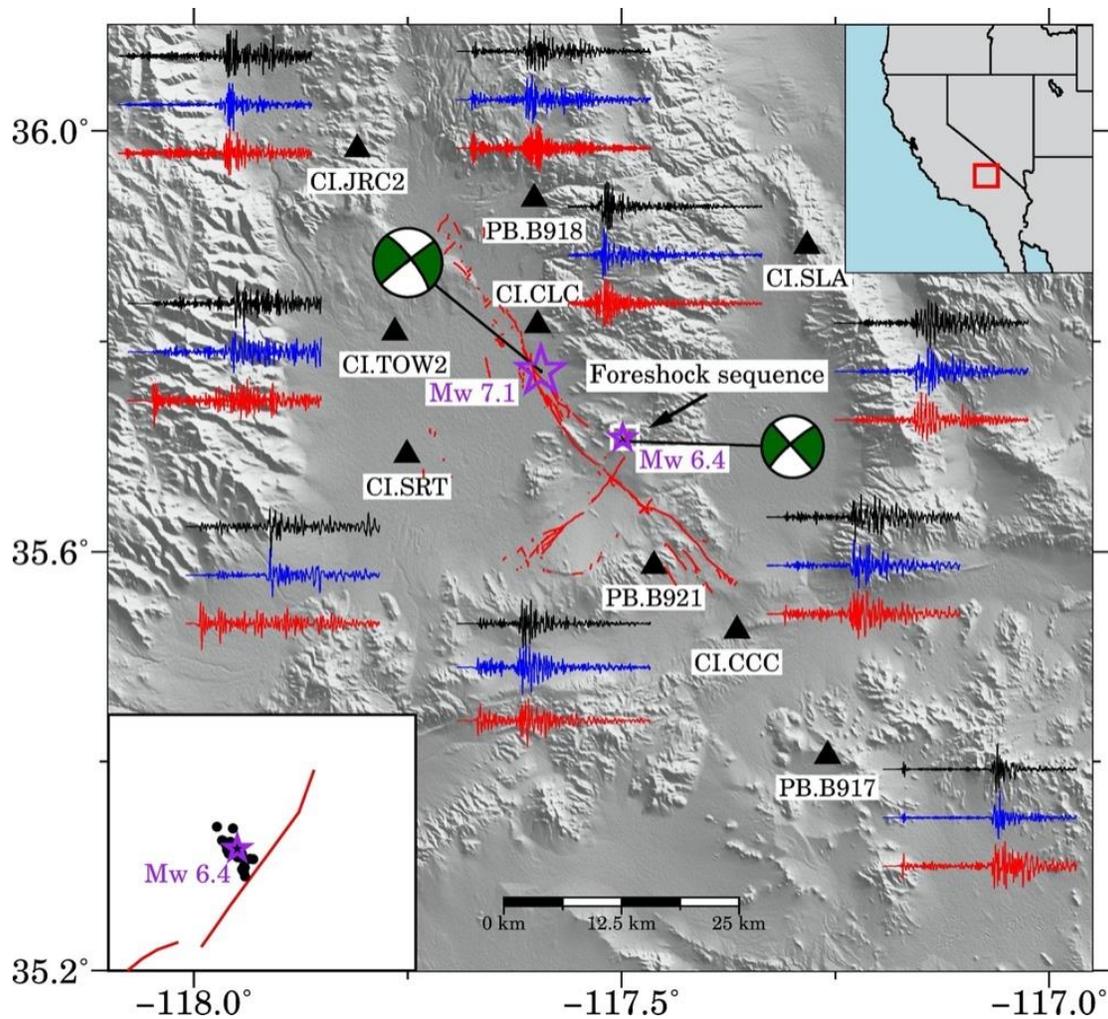
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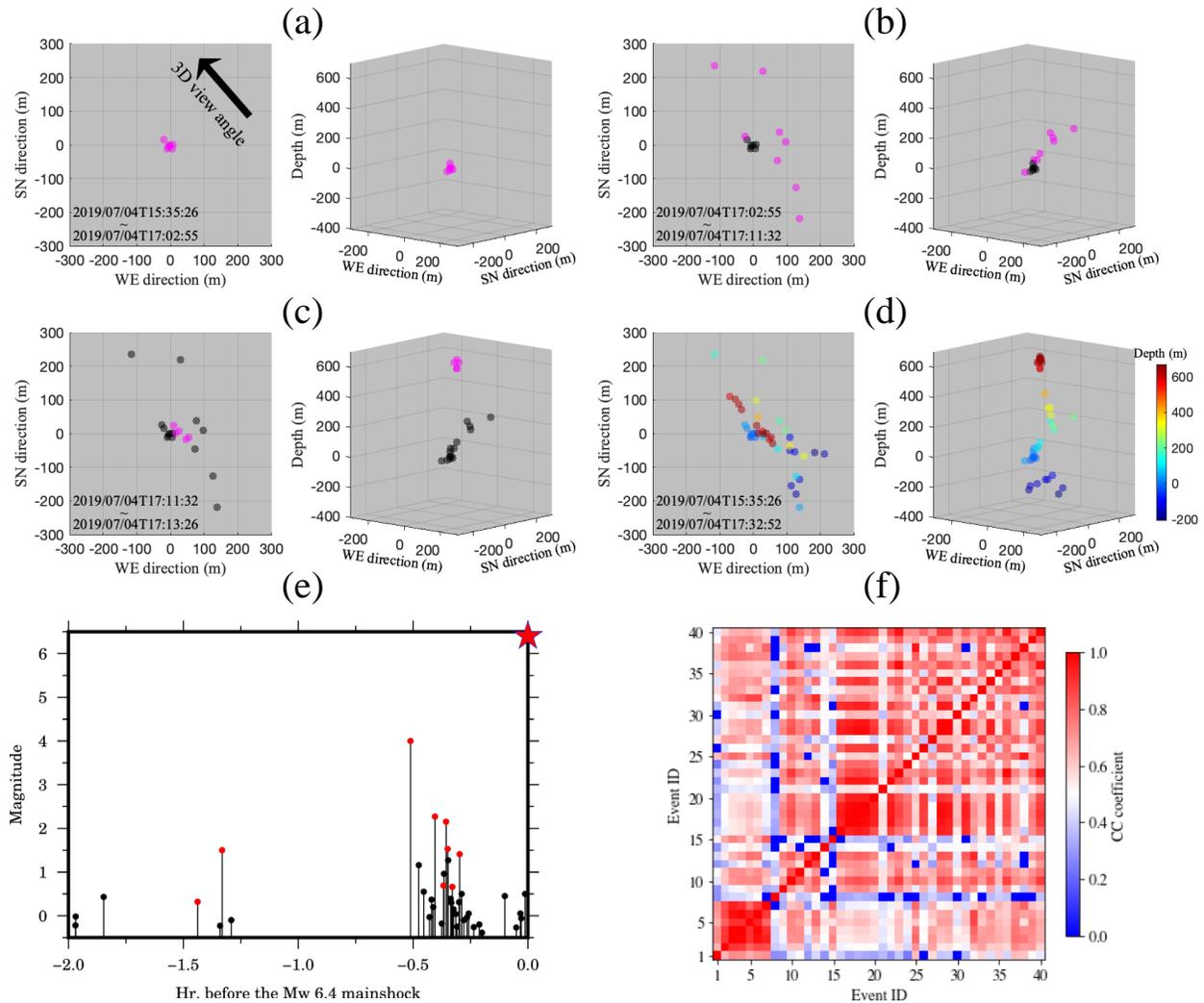
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424 **Figure 1.** Map view of the study region. Epicenters and focal mechanisms of the Mw 6.4 and
 425 Mw 7.1 earthquakes are indicated by purple stars and beach balls, respectively. Black triangles
 426 denote the seismic stations used in this study. Red lines mark the surveyed surface ruptures
 427 (Kendrick et al., 2019). Three-component seismograms of the template event are plotted close to
 428 their corresponding stations. (left bottom inset) The 40 identified foreshocks, along with the Mw
 429 6.4 mainshock, are shown in the zoomed-in area (white rectangle in main figure). The top-right
 430 displays a regional map of the United States, with the red rectangle indicating the study region.

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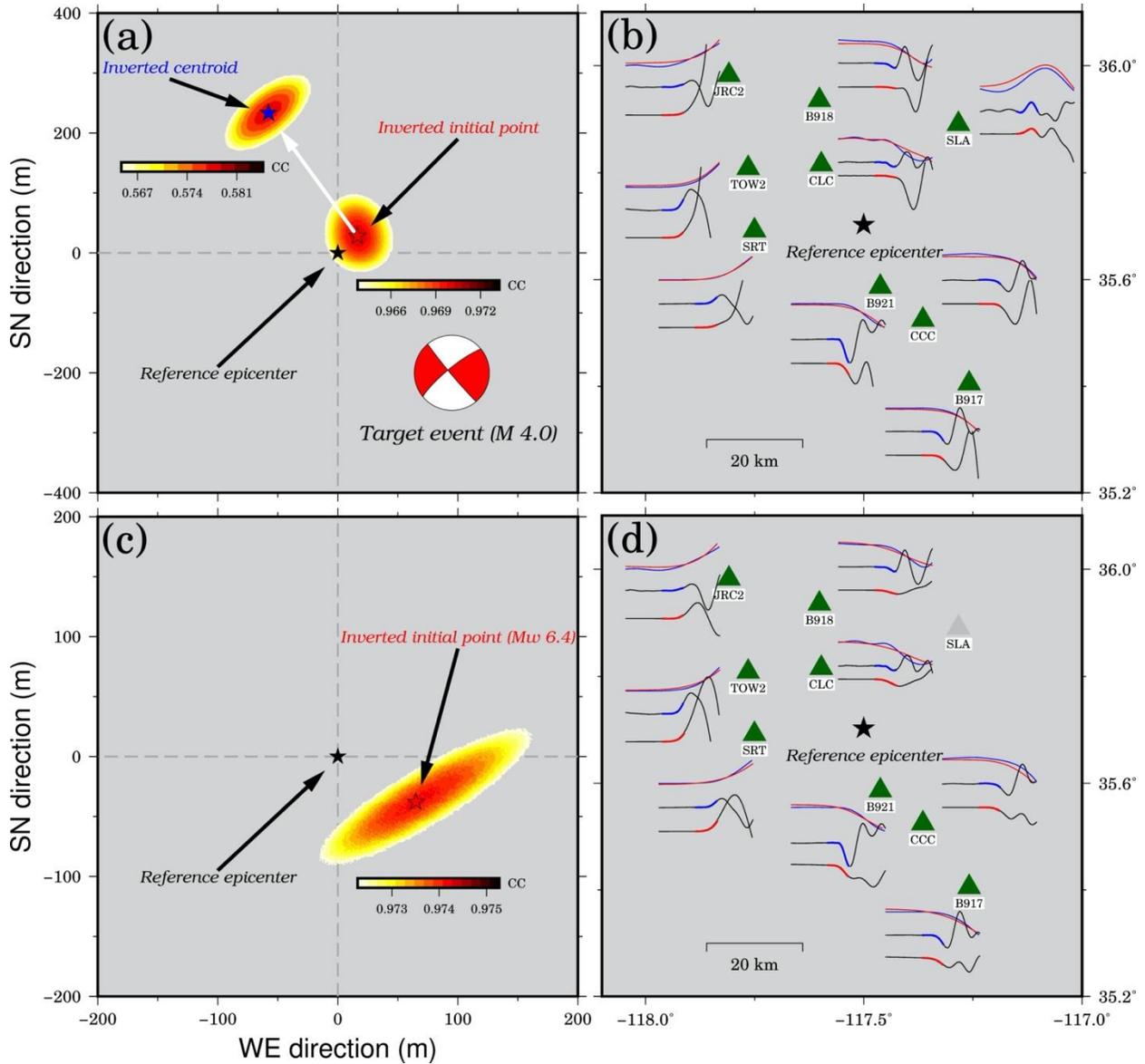


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433 **Figure 2.** Detailed spatial-temporal evolution of foreshocks and their waveform similarity
 434 analysis. (a) Left panel shows the map-view epicenters of foreshocks (purple dots) that occurred
 435 on July 4, 2019, from 15:35:25 to 17:02:55 (UTC; EQ 1-7). The right panel displays a 3D view,
 436 with a view angle indicated by the black arrow in the left panel. All event locations are relative
 437 to the hypocenter of the template event. (b) Similar to (a), but for the foreshocks that occurred
 438 from 17:02:55 to 17:11:32 (UTC; EQ 8-15). Black dots represent events that occurred within the
 439 previous time window. (c) Similar to (b), but for the foreshocks that occurred from 17:11:32 to
 440 17:13:26 (UTC; EQ 16-20). (d) All foreshocks that occurred before the Mw 6.4 mainshock,
 441 colored by depth. (e) Magnitude-time distribution of the foreshocks in our catalog (dots), along
 442 with the Mw 6.4 event (red star). Red dots indicate events that are only cataloged by the SCSN.

443 (f) Pairwise CC coefficients for 40 foreshocks. Event IDs are ordered by their origin time (see
 444 Table S1).

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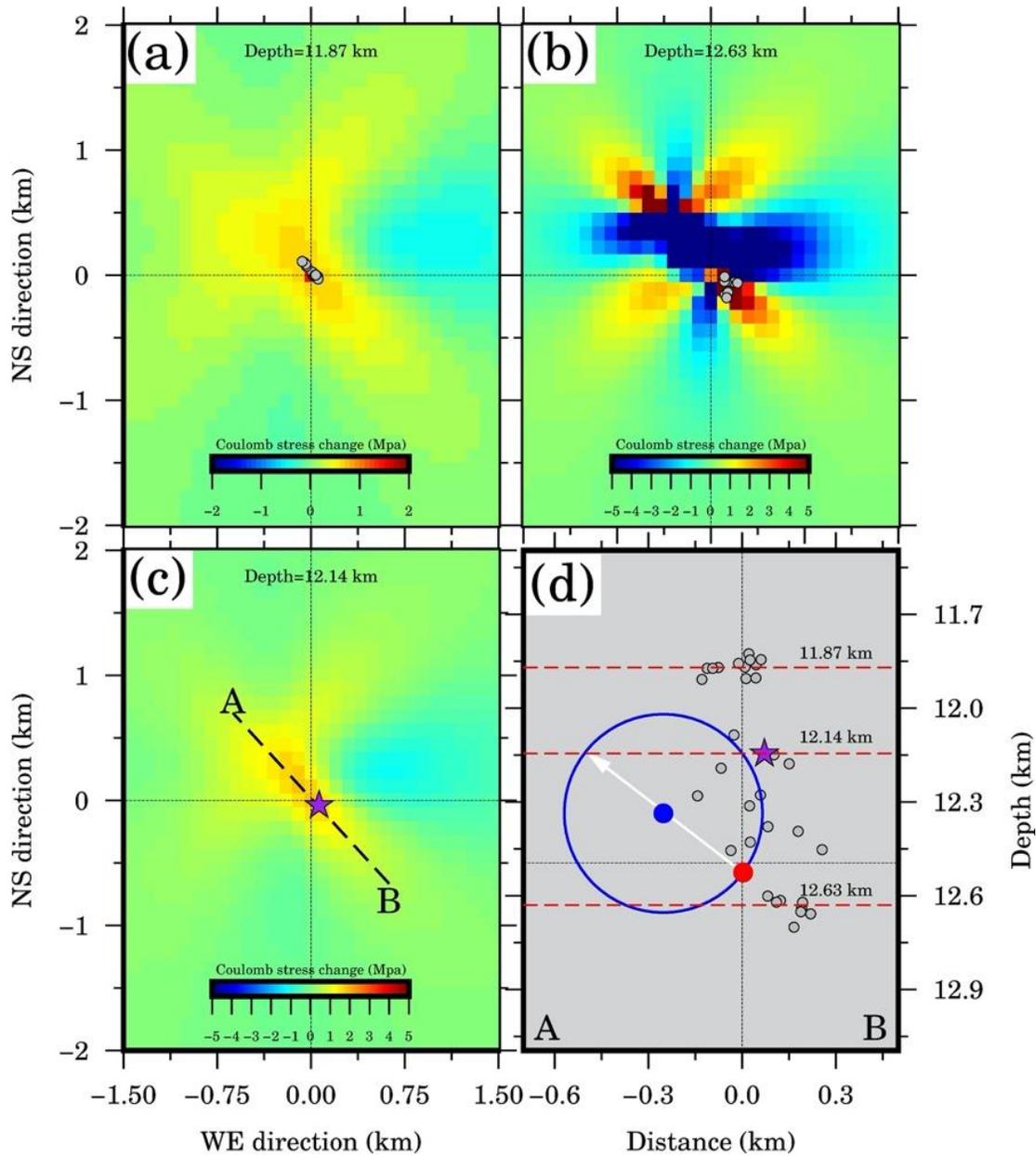


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448 **Figure 3.** Rupture directivity analysis of the M_L 4.0 event and the initial rupture point of the Mw
 449 6.4 mainshock determined by the M&L method. (a) Rupture directivity (white arrow) of the M_L
 450 4.0 event. The black star indicates the epicenter of the reference event. Red and blue stars
 451 represent the initial rupture point and centroid point of the M_L 4.0 foreshock, respectively. The
 452 distributions of their averaged CC coefficients are shown with the corresponding color bars.
 453 Beach ball shows the focal mechanism solution of the M_L 4.0 event (SCSN). All locations are

454 relative to the epicenter of the master event, in meters. (b) Initial P phase comparison between
455 the M_L 4.0 event (red) and the M_L 1.5 reference event (blue) after travel time correction by
456 M&L, which is used for the initial rupture point determination of the M_L 4.0 event. Initial P
457 phases are plotted along with their early P phases over an extended time window (bottom two
458 traces). Dark-green triangles represent the stations used for location determination by the M&L
459 method. (c) Similar to (a), but for the initial rupture point determination of the Mw 6.4
460 mainshock. (d) Similar to (b), but for the initial rupture point determination of the Mw 6.4
461 mainshock. Gray triangle represents the discarded station.

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463

464 **Figure 4.** Earthquake triggering mechanism following the M_L 4.0 event. (a) Coulomb stress
 465 change imparted by the M_L 4.0 earthquake at a depth of 11.87 km. Event epicenters (gray dots)
 466 are relative to the epicenter of the M_L 1.5 master event. (b) Similar to (a), but for the seismicity
 467 at a depth of 12.63 km. (c) Similar to (a), but for the depth of the initial rupture point of the M_w
 468 6.4 mainshock (12.14 km). The purple star shows the epicenter of the initial rupture point of the
 469 M_w 6.4 mainshock. (d) Cross-section of the foreshock distribution along the strike direction of
 470 the M_L 4.0 event (A-B in (c)). The blue circle represents the possible rupture region of the M_L
 471 4.0 foreshock inferred from twice the distance between its initial rupture point (red dot) and

472 centroid point (blue dot). The purple star shows the initial rupture point of the Mw 6.4
473 mainshock. Gray dots represent the hypocenters of events that occurred after the M_L 4.0 event
474 and before the Mw 6.4 mainshock. The three red dashed lines mark the depths shown in Figures
475 4a-c.

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Geophysical Research Letters

Supporting Information for

Detailed nucleation process and mechanism of the July 2019 Mw 6.4 Ridgecrest, California earthquake

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Contents of this file:

Texts S1 to S2

Figures S1 to S43

Additional Supporting Information (Files uploaded separately)

Caption for Table S1

Caption for Movie S1

Introduction

This supporting information provides two texts, 43 figures, one table (separate from this file) and one movie (separate from this file) to support the discussions in the main text.

32 **Text S1. Earthquake locaiton uncertainty**

33 Location uncertainty is essential for evaluating the confidence of earthquake locations. However, there
34 is no standard method for assessing the uncertainty of locations obtained with waveform-based
35 methods. To estimate the location uncertainty of foreshocks listed in the Match&Locate (M&L) catalog,
36 we conducted a bootstrapping analysis for the two detections with the highest and lowest averaged
37 cross-correlation (CC) values (EQ 3 with CC of 0.8851 and EQ 30 with CC of 0.3635; See event ID in Table
38 S1), which roughly represent the best and worst location results, respectively. The principle is to
39 repeatedly perform the M&L relocation and remove one phase (P or S) recorded at one three-
40 component station in each round. We adopted nine stations (18 phases and 54 components) in the M&L
41 relocation, which means the M&L relocation was repeated 18 times, with one phase removed each
42 time. The detailed procedure was the same as step 2 of the foreshock catalog creation (see Section 2 in
43 the main text). The results of the bootstrapping analysis indicate that the event with the highest CC
44 value has a location uncertainty of approximately 3 m, both horizontally and vertically, and the event
45 with the lowest CC value has a slightly larger location uncertainty, of 8 m horizontally and 10 m vertically
46 (Figure S4). We assumed the location uncertainty of the other foreshocks was within the range of these
47 two events. Thus, our horizontal and vertical location uncertainties are 3–8 m and 3–10 m, respectively.
48 Following Zhang and Wen (2015a), we show the plan-view CC convergence and waveform comparison
49 between each event with the template event (M_L 1.5) after relatively travel-time correction based on
50 their location difference (Figure S5-43).

51 **Text S2. Estimation of rupture radius from local magnitude**

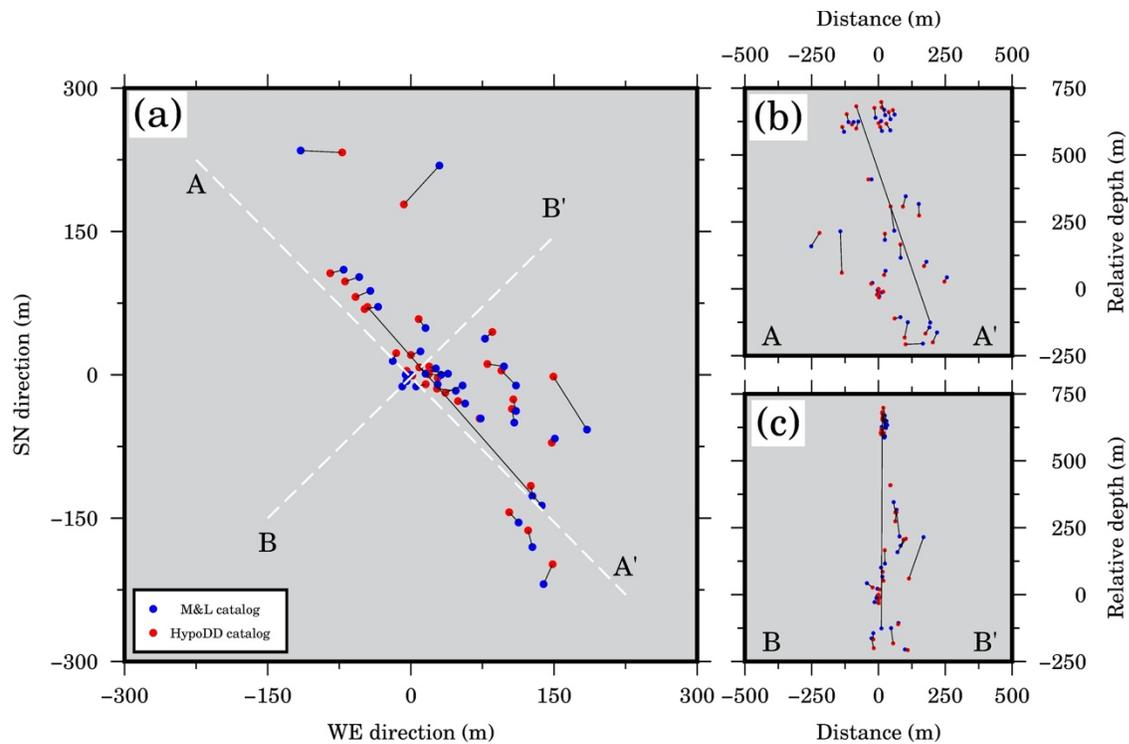
52 We estimated the rupture dimensions for the M_L 1.5 and M_L 2.15 events based on their local magnitude
53 (M_L) and a simple circular crack model. We first converted the M_L to the scalar moment (M_0) based on
54 the moment-magnitude relationship (Abercrombie, 1996) in the region, as below:

$$55 \quad \log(M_0) = 9.8 + M_L \quad (1)$$

56 We then estimated the rupture radius r from M_0 , based on a simple circular crack model and the scaling
57 relationship proposed by Kanamori & Anderson (1975) :

$$58 \quad r = \left(\frac{7M_0}{16\Delta\sigma}\right)^{1/3} \quad (2)$$

59 Here, an empirical stress drop ($\Delta\sigma$) of 3 MPa was adopted in the calculation of the rupture radius (Yoon
60 et al., 2019). Thus, the rupture radiuses of the M_L 1.5 and M_L 2.15 events were 31 m and 50 m,
61 respectively.

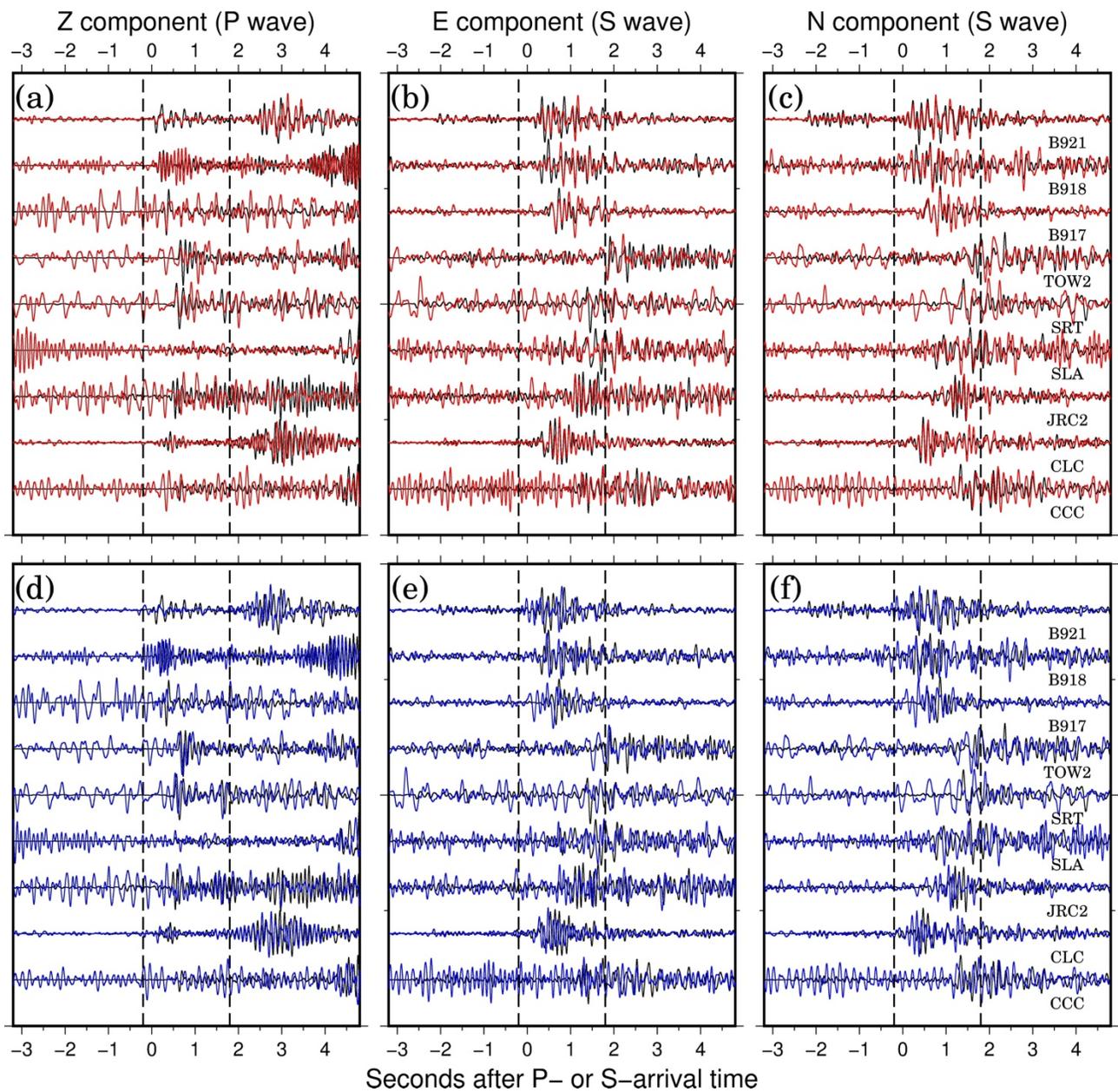


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63 **Figure S1.** (a) Plan-view comparison of locations of the 35 foreshocks common to both the M&L catalog
 64 (blue dots) and the hypoDD catalog (red dots). Event locations are relative to the hypocenter of the M_L
 65 1.5 event. The corresponding event-pairs in the two catalogs are connected by black lines. (b) Similar to
 66 (a), but for the cross-section along AA', which corresponds to one of the fault planes of the M_L 4.0
 67 foreshock. (c) Similar to (b), but for the cross-section along BB'. The event-pair with a large location
 68 difference is further analyzed in Figure S2.

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72 **Figure S2.** Investigation of the location reliability for the event pair with large location difference in
 73 Figure S1 (see main text). We allocated the corresponding locations and origin times, listed in the M&L
 74 and hypoDD catalogs, to the event, and compared its waveforms with the M_L 1.5 event after location
 75 correction. (a–c) Red and black waveforms represent the three-component seismograms of the event
 76 located by M&L and the reference event (M_L 1.5), respectively. The two black dashed lines highlight the
 77 template windows used in the M&L method. (d–f) Similar to (a–c), but for the hypoDD location. Clearly,
 78 the event was mislocated in the hypoDD catalog.

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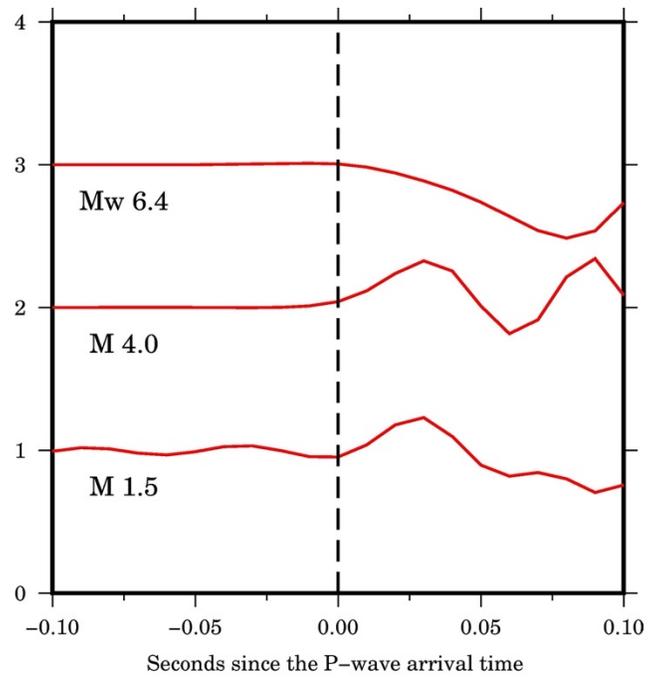
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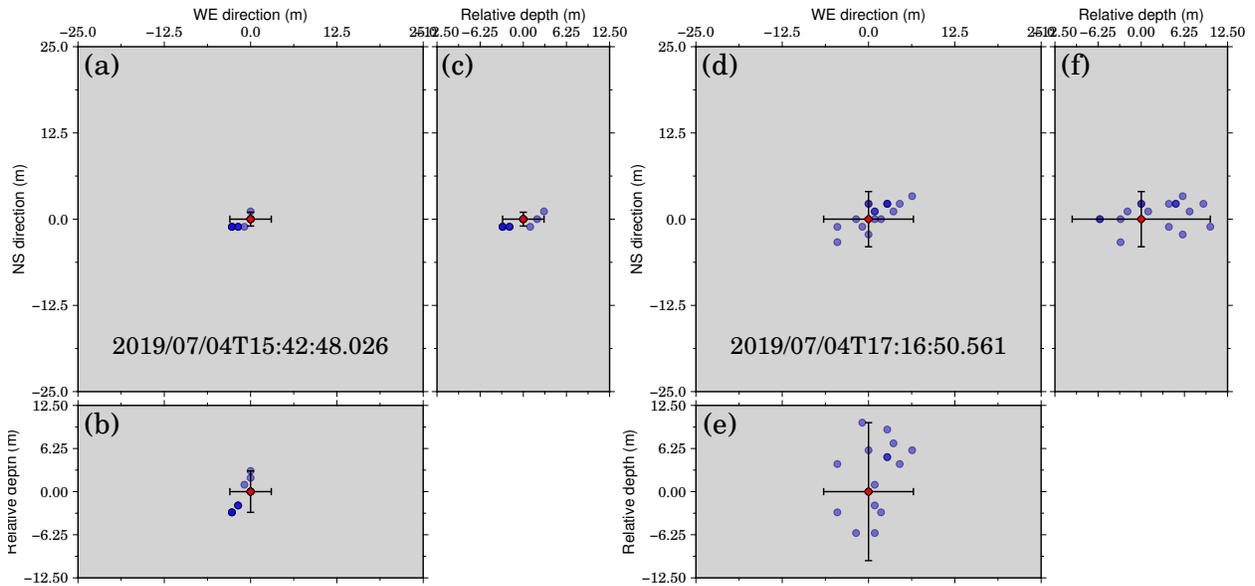
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86 **Figure S3.** Comparison of the early P phases between the M_L 1.5, M_L 4.0 foreshocks, and the Mw 6.4
87 mainshock. All traces were aligned at the manual P first arrivals.

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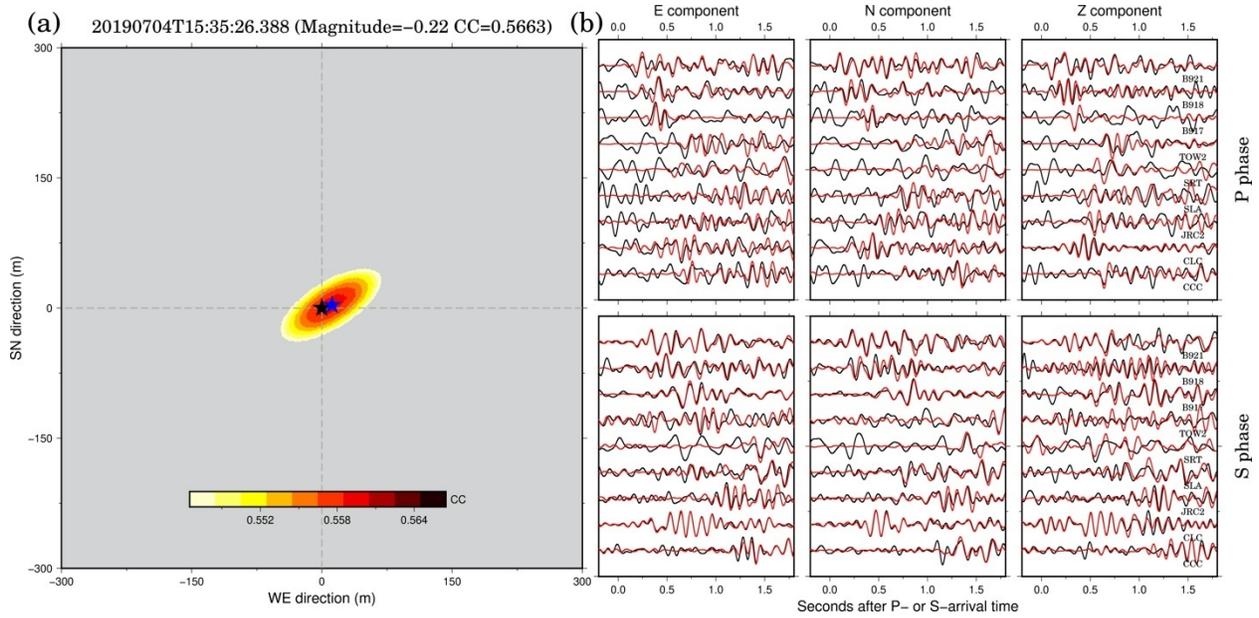
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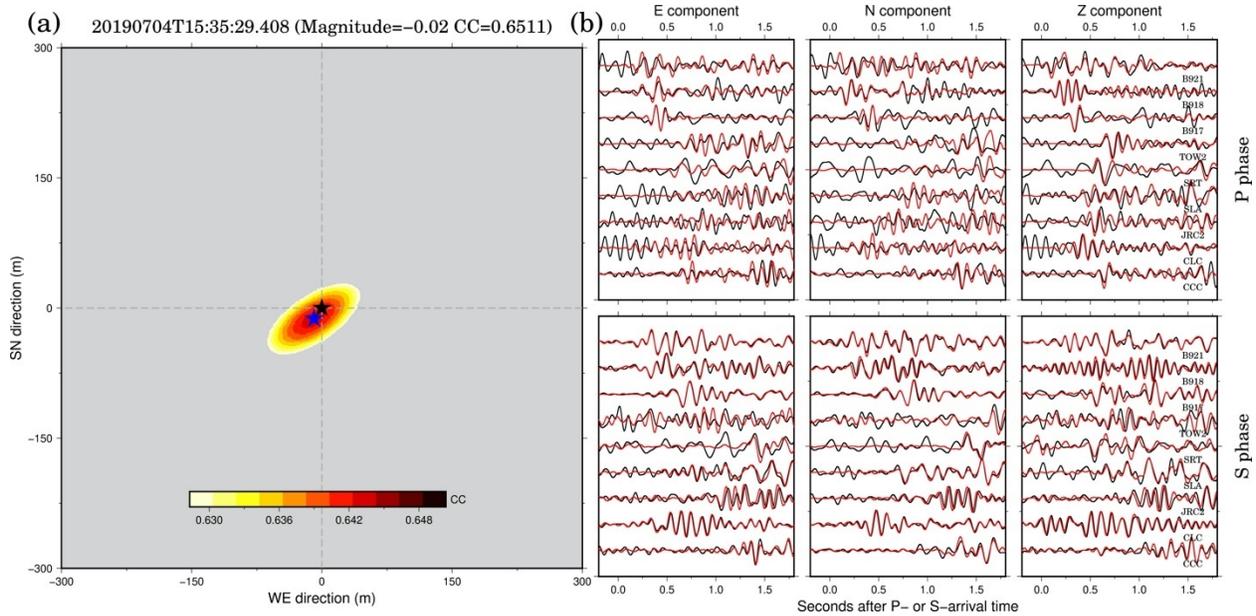
92 **Figure S4.** Location uncertainty of the two events with the highest and lowest CC values. (a) Red
 93 diamonds represent the epicentral location of the event located with the M&L method with the highest
 94 CC value (EQ 3 with a CC of 0.8851; See event ID in Table S1). Blue dots indicate the relocations based on
 95 the bootstrapping analysis. Blueness is proportional to the number of overlapping locations. The black
 96 error bar indicates the horizontal location uncertainty revealed by the bootstrapping analysis. (b–c)
 97 Similar to (a) but for the two cross-sections along the WE and NS directions. Black error bars represent
 98 the vertical location uncertainty. (d–e) Similar to (a–c) but for the event with the lowest CC value (EQ 30
 99 with CC of 0.3635; See event ID in Table S1).

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101

102 **Figures S5.** Horizontal CC convergence of EQ 1 (see event ID in Table S1) and its waveform comparison
 103 with the template event (M_L 1.5). (a) Black and blue stars represent the epicenters of the template and
 104 detected events, respectively. The distribution of averaged CC coefficients is shown with a color bar. (b)
 105 Waveform comparison of P phases (top panel) and S phases (bottom panel) between EQ 1 (red) and
 106 template (black) event, from nine three-component stations after relative travel time correction.
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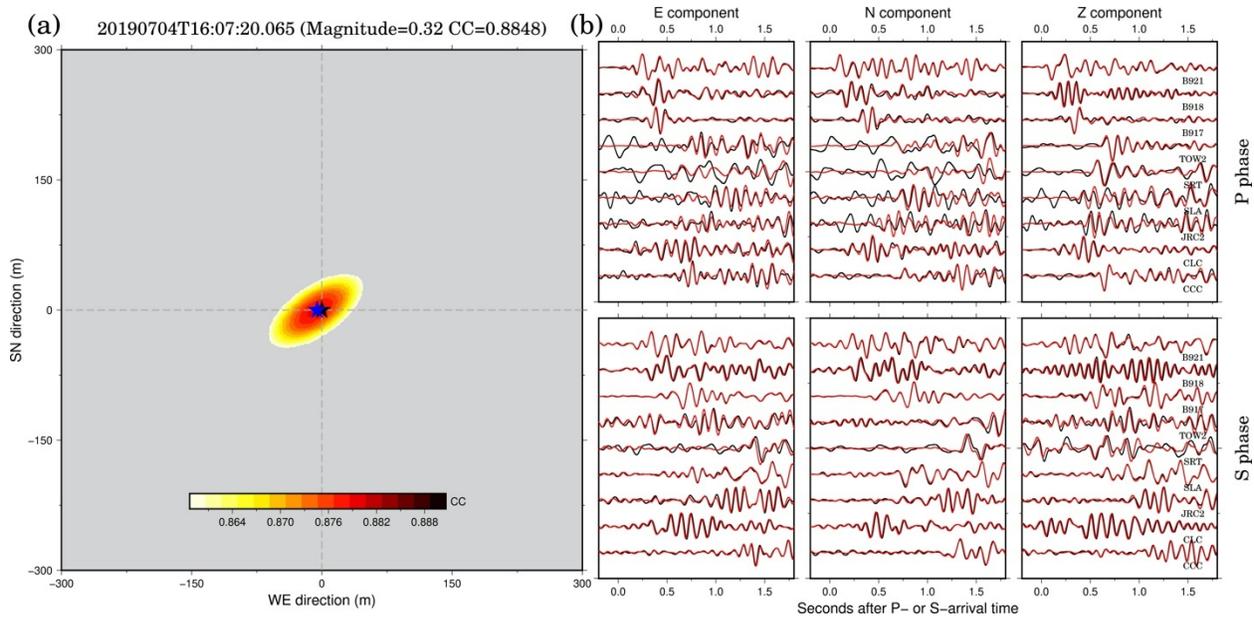
109 **Figures S6.** Similar to Figure S5, but for EQ 2.

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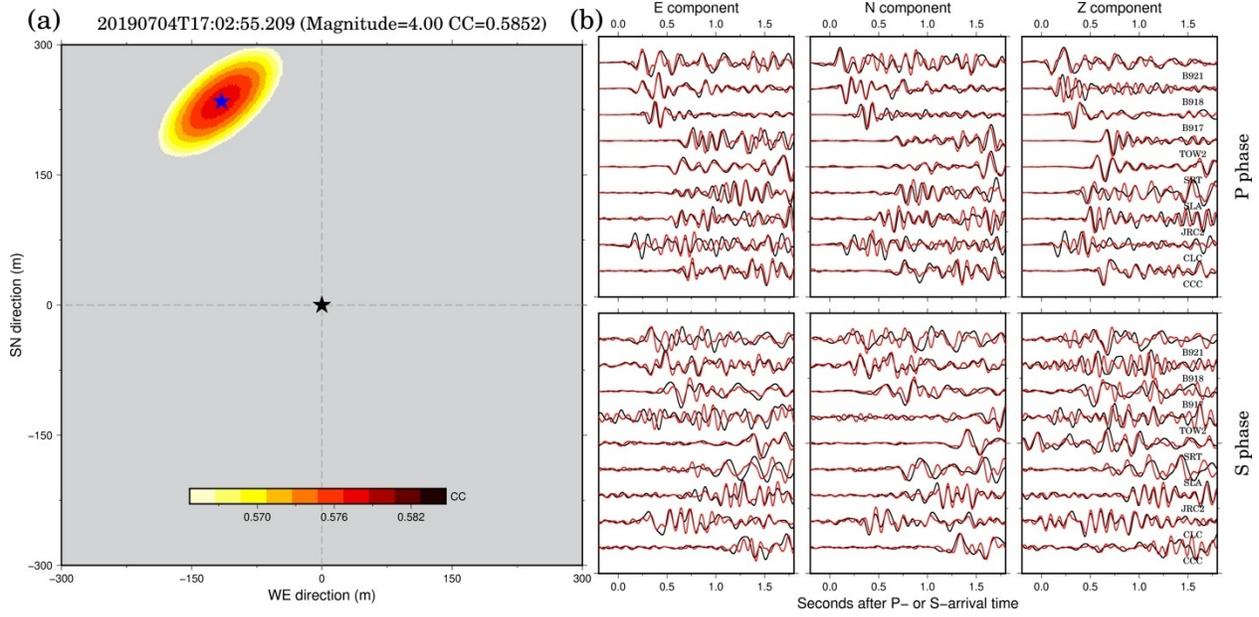
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Figures S8. Similar to Figure S5, but for EQ 4.

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180 **Figures S11.** Similar to Figure S5, but for EQ 8.

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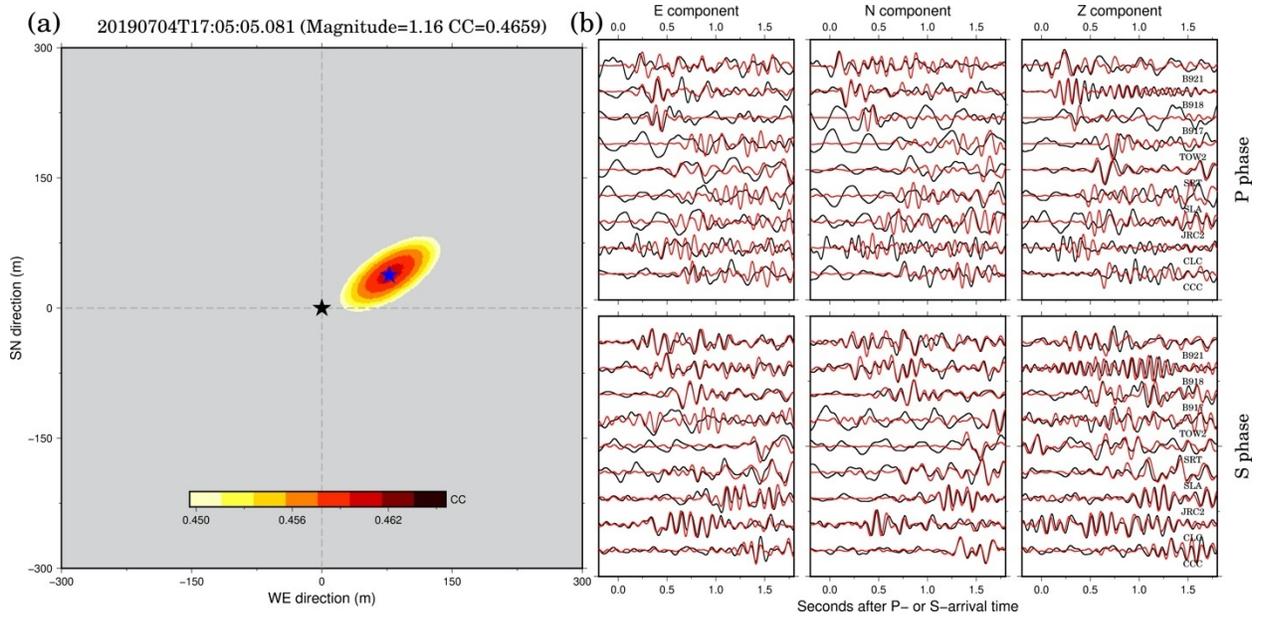
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196 **Figures S12.** Similar to Figure S5, but for EQ 9.

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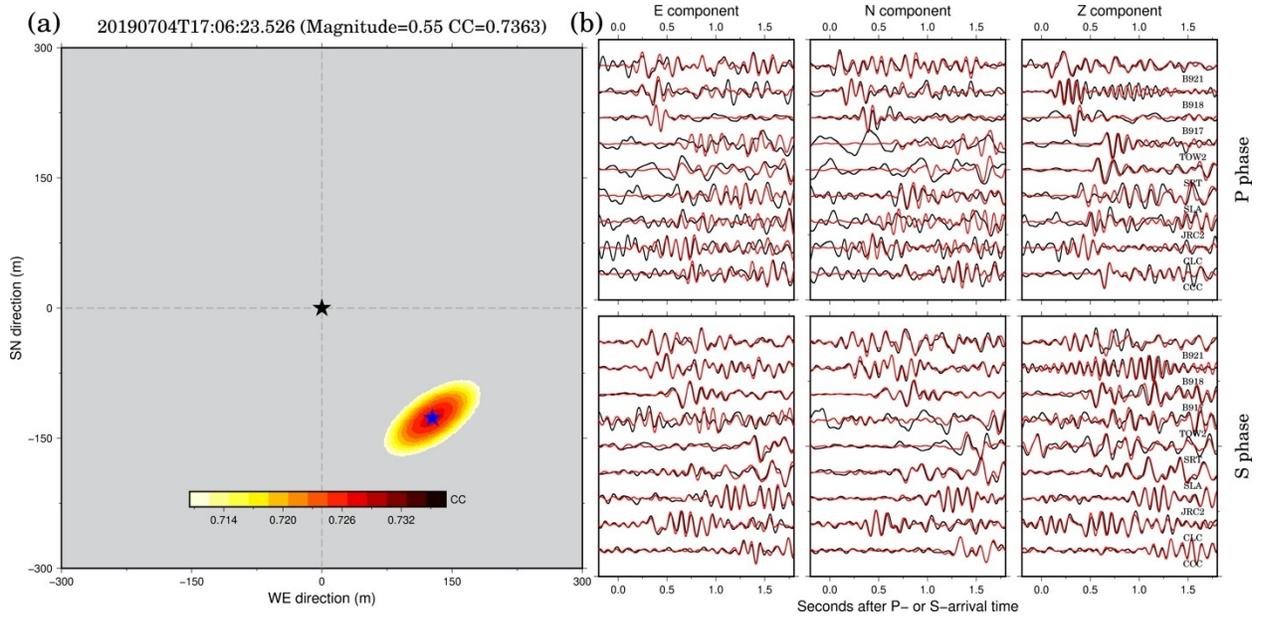
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212 **Figures S13.** Similar to Figure S5, but for EQ 10.

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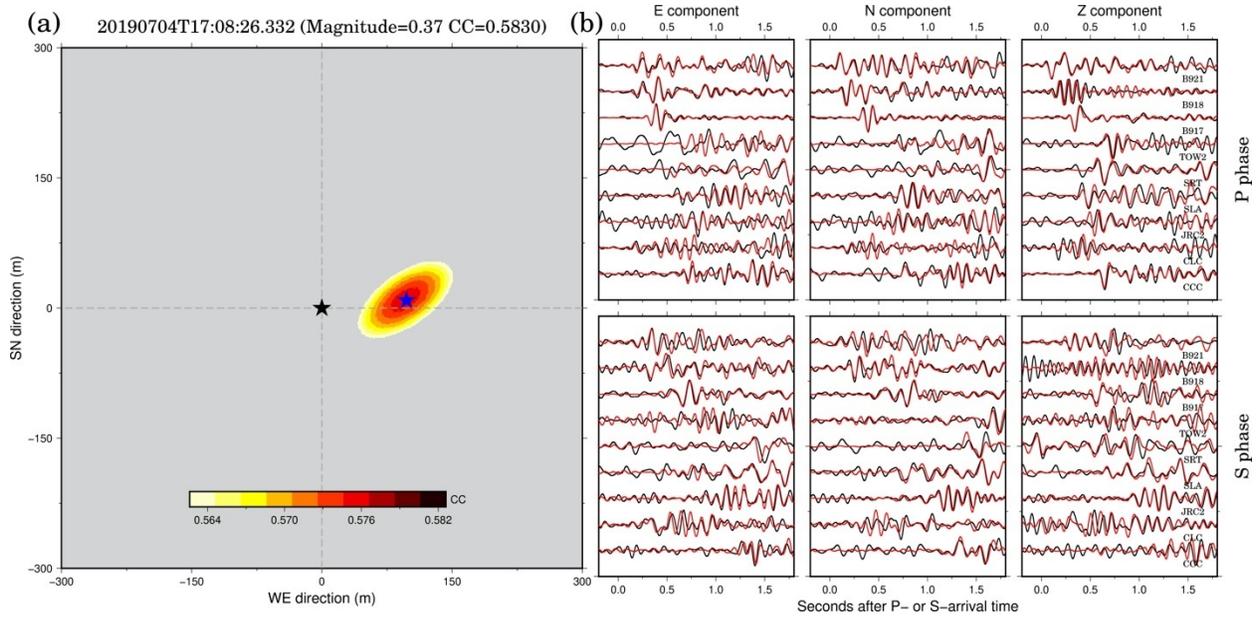
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244 **Figures S15.** Similar to Figure S5, but for EQ 12.

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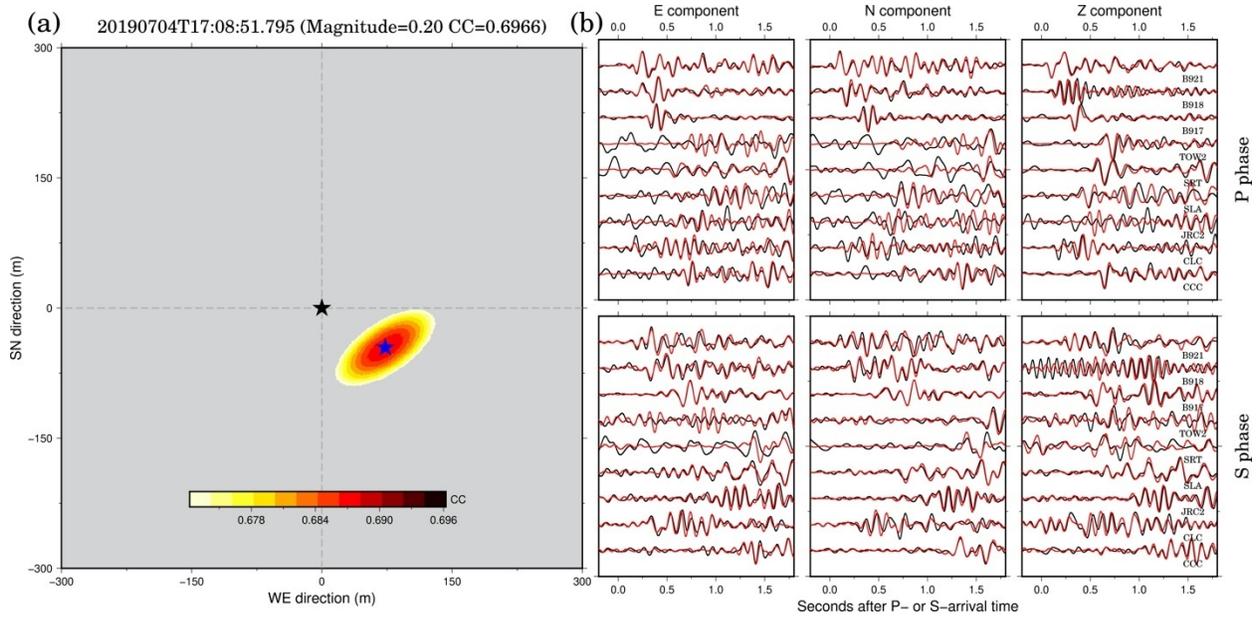
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260 **Figures S16.** Similar to Figure S5, but for EQ 13.

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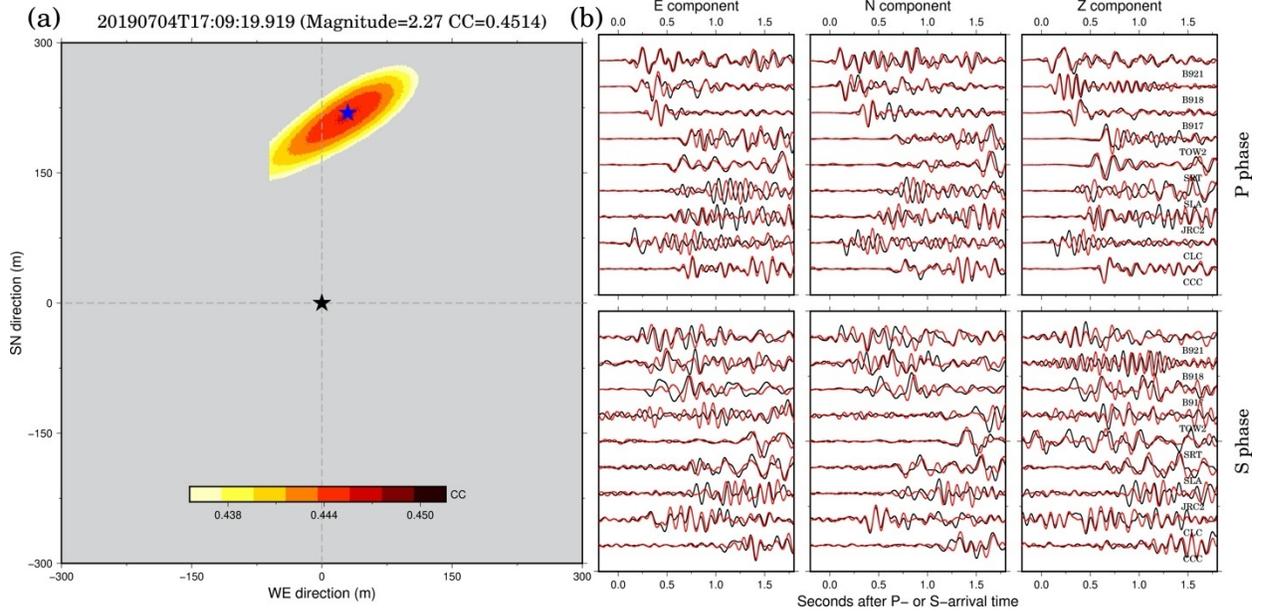
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276 **Figures S17.** Similar to Figure S5, but for EQ 14.

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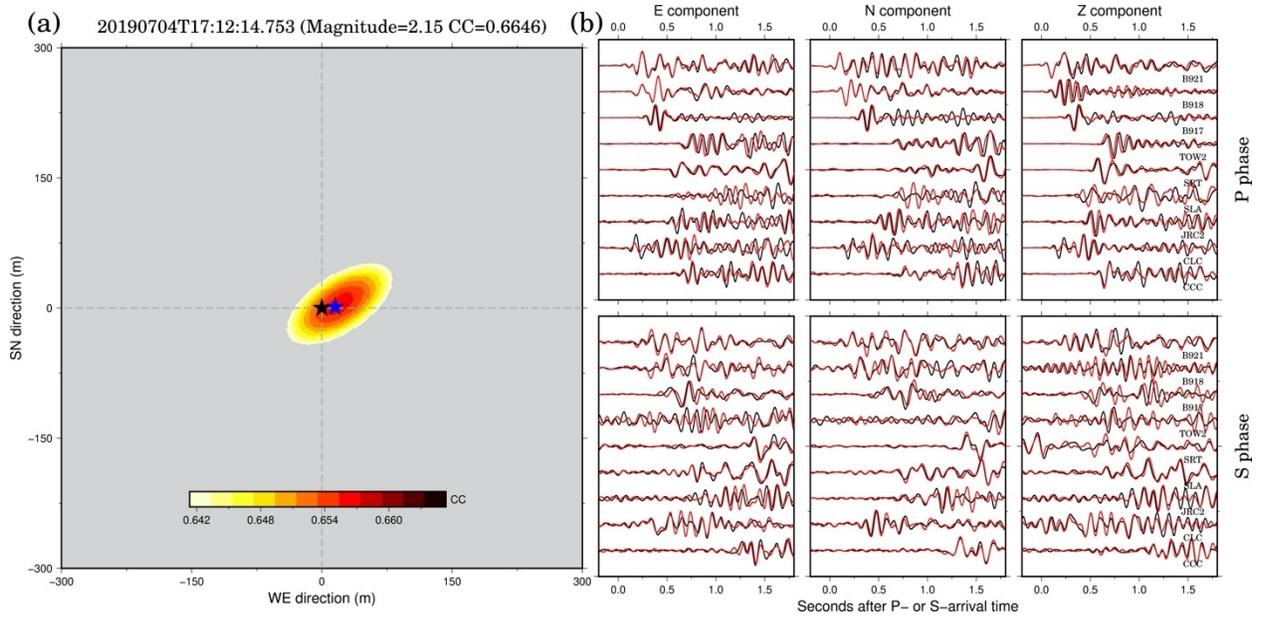
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340 **Figures S21.** Similar to Figure S5, but for EQ 18.

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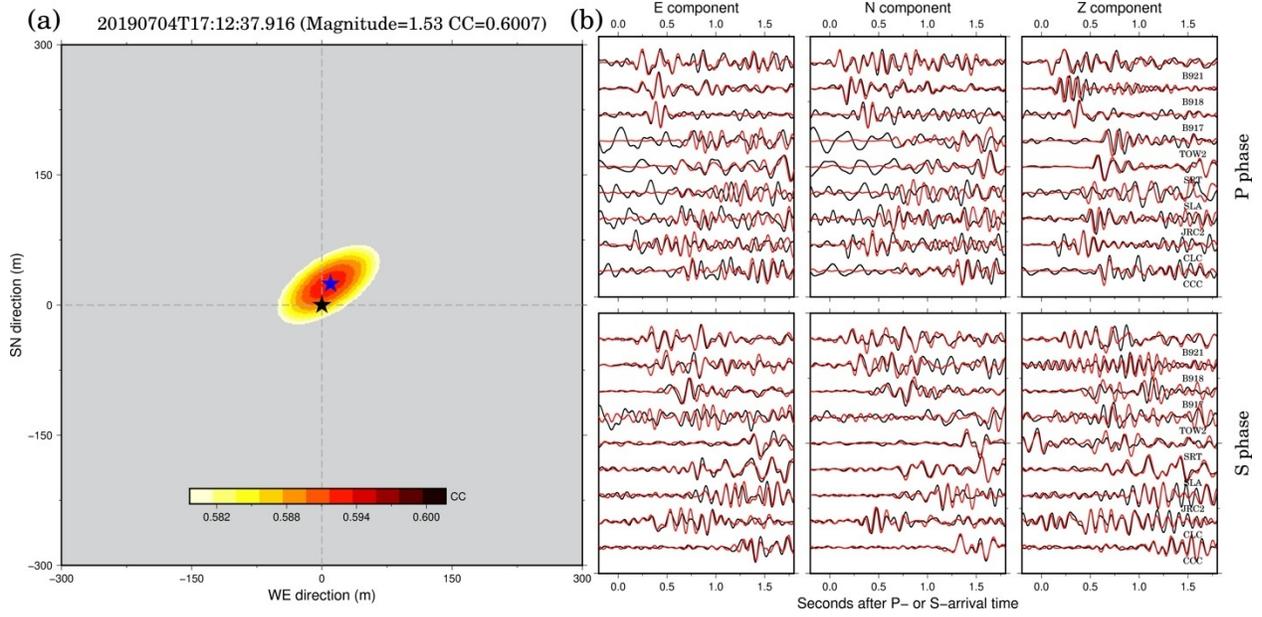
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356 **Figures S22.** Smilar to Figure S5, but for EQ 19.

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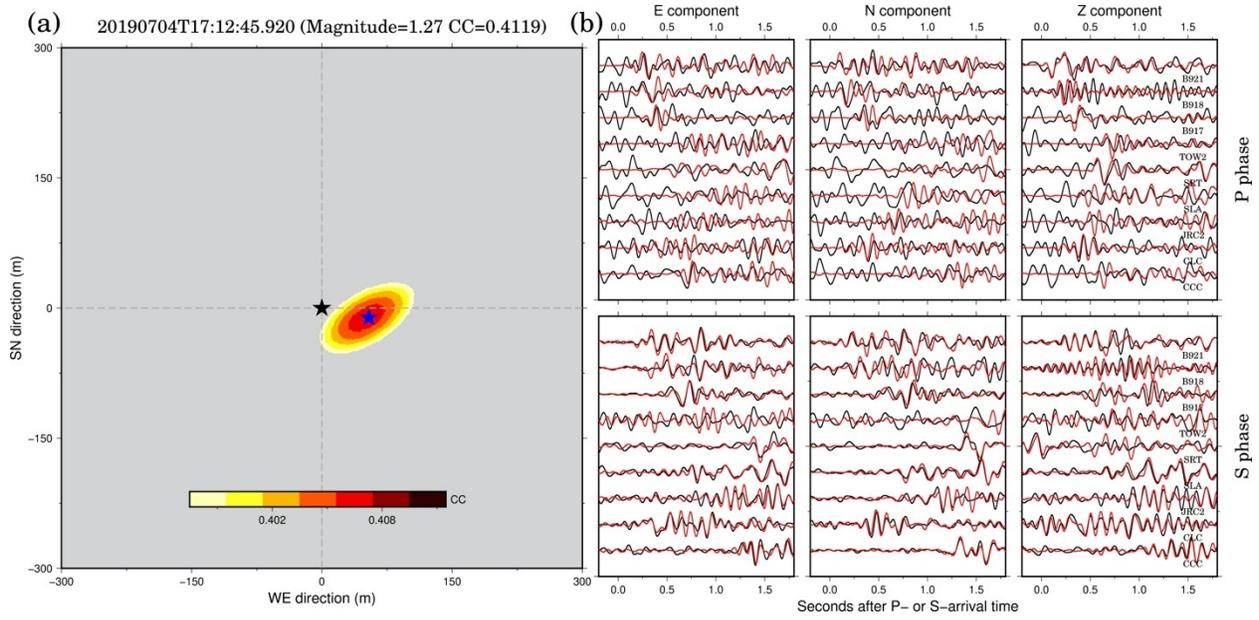
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372 **Figures S23.** Similar to Figure S5, but for EQ 20.

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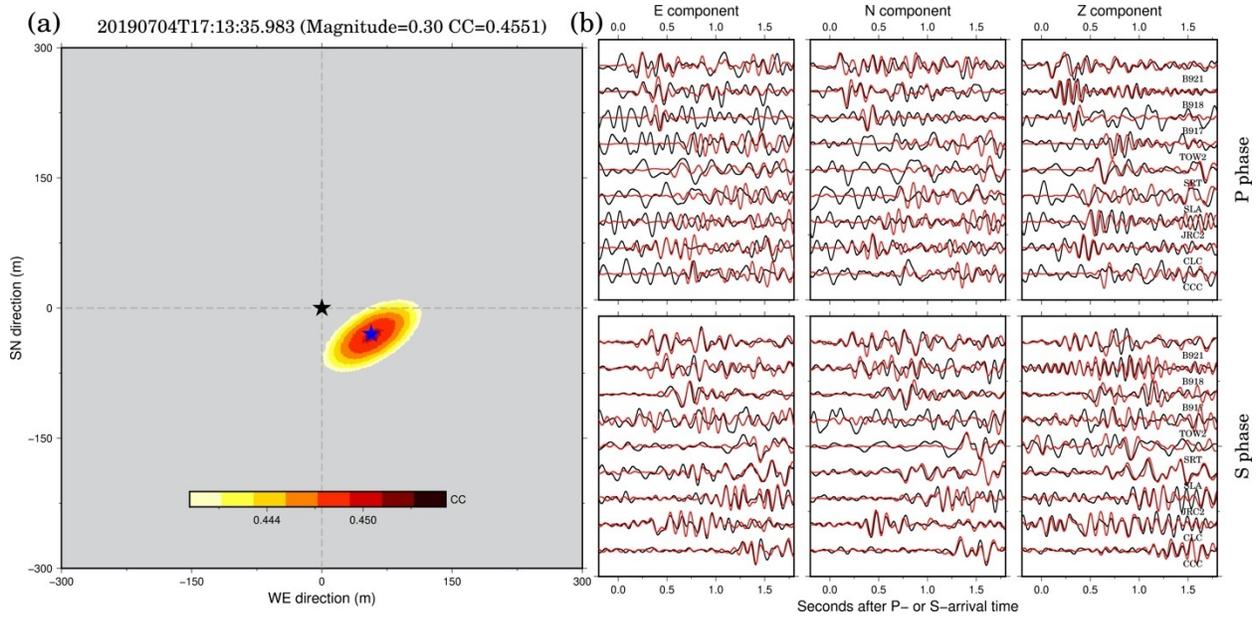
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406 **Figures S25.** Similar to Figure S5, but for EQ 22.

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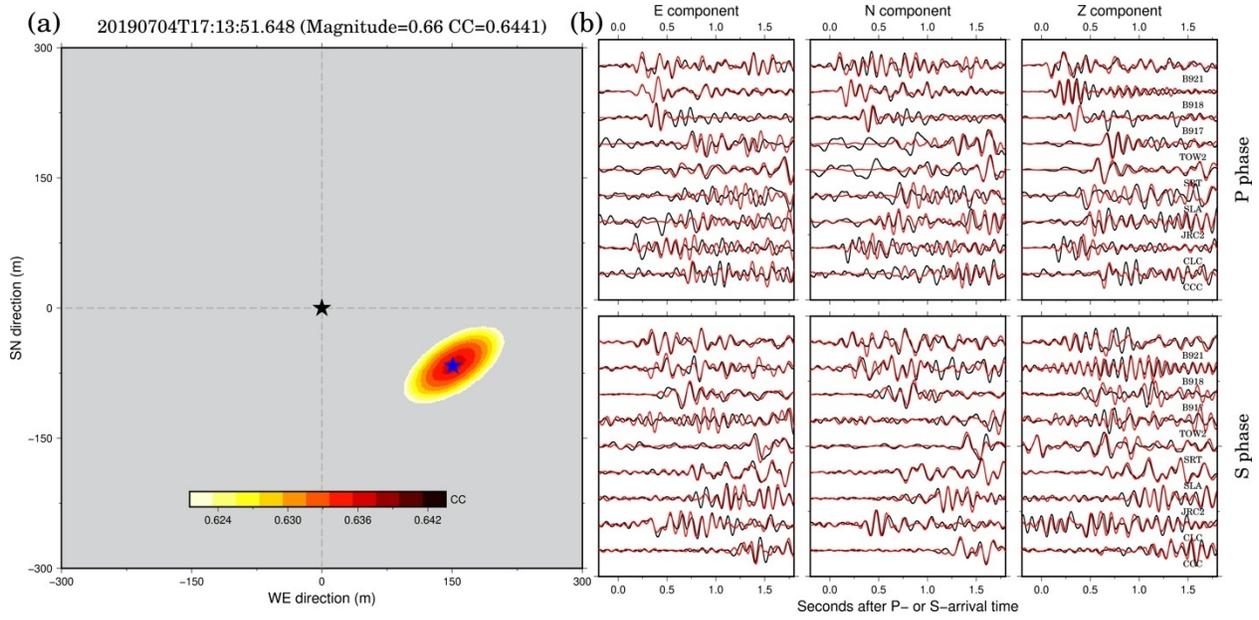
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422 **Figures S26.** Similar to Figure S5, but for EQ 23.

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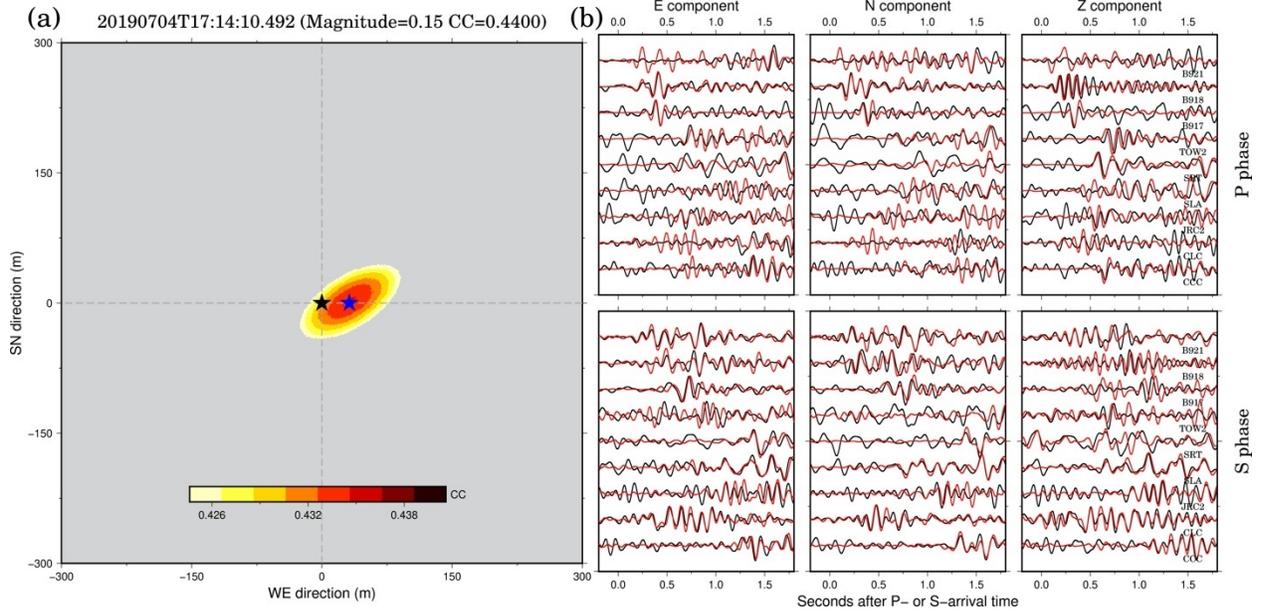
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Figures S27. Similar to Figure S5, but for EQ 24.

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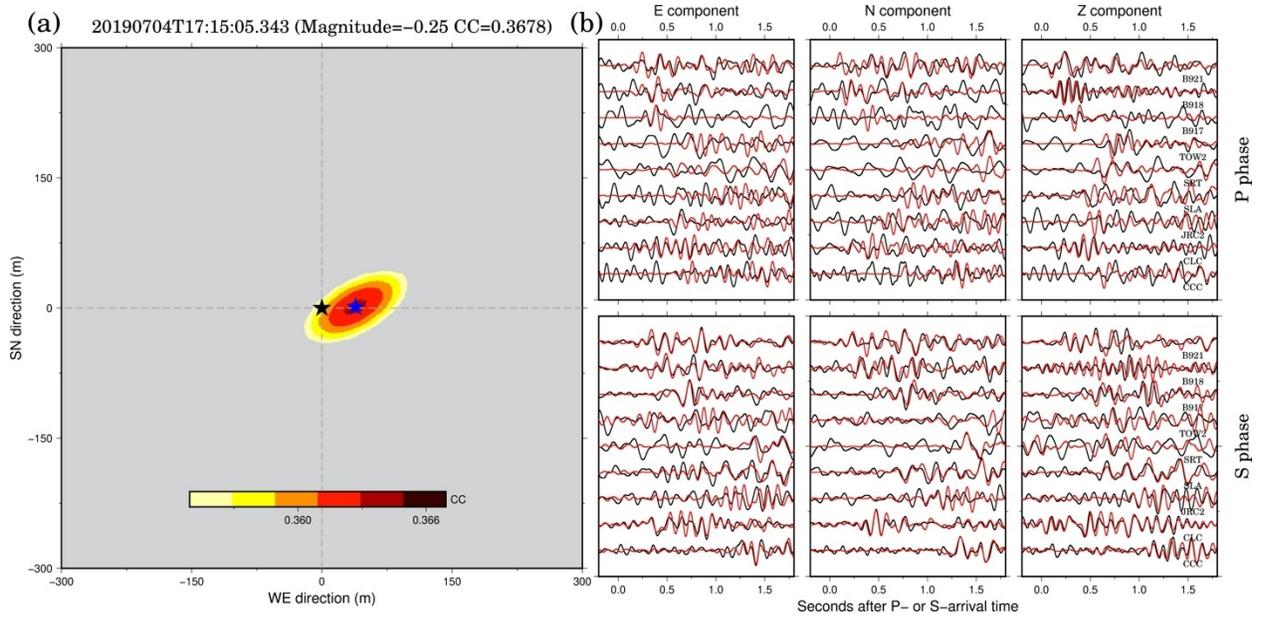
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470 **Figures S29.** Similar to Figure S5, but for EQ 26.

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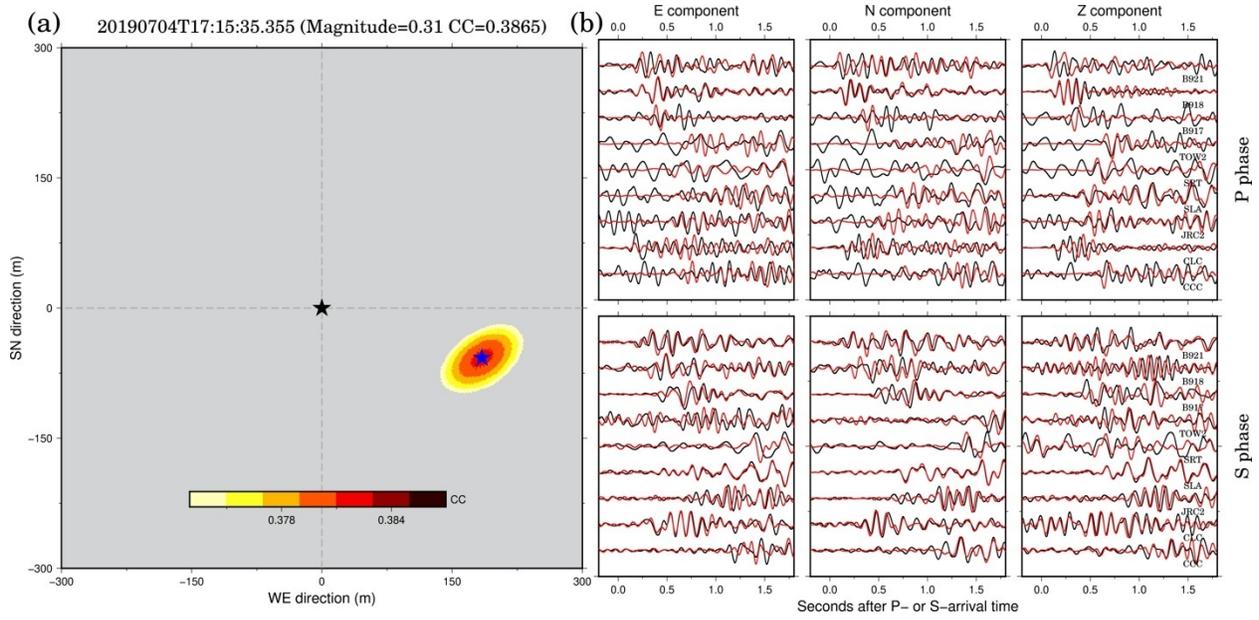
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486 **Figures S30.** Similar to Figure S5, but for EQ 27.

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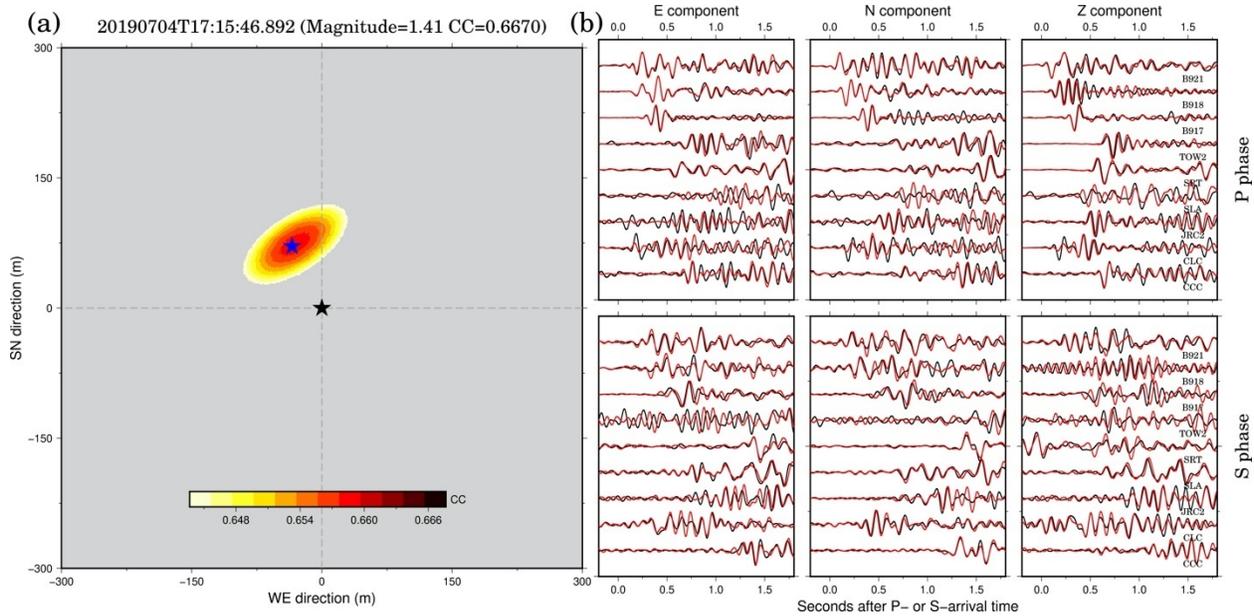
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503 **Figures S31.** Similar to Figure S5, but for EQ 28.

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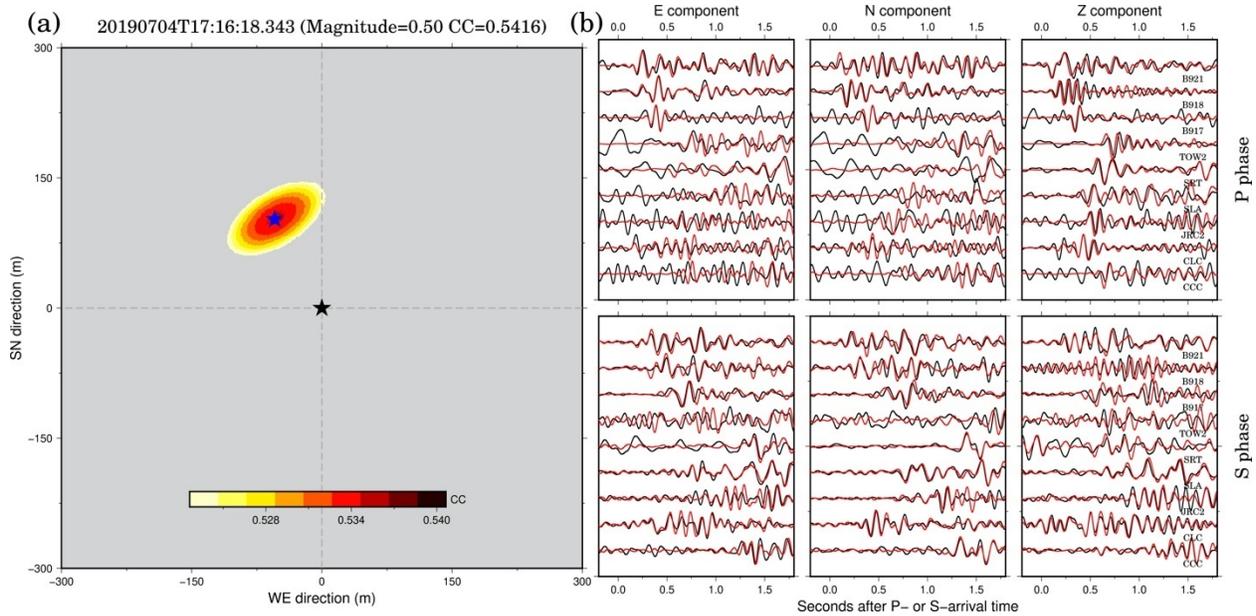
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519 **Figures S32.** Similar to Figure S5, but for EQ 29.

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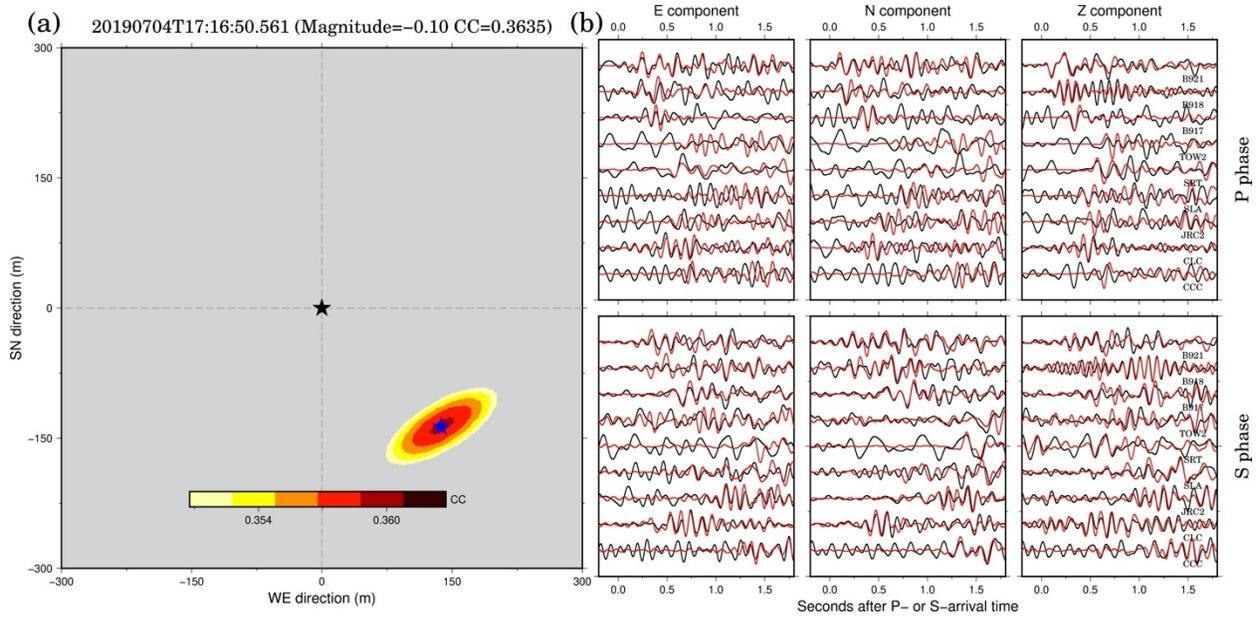
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535 **Figures S33.** Similar to Figure S5, but for EQ 30.

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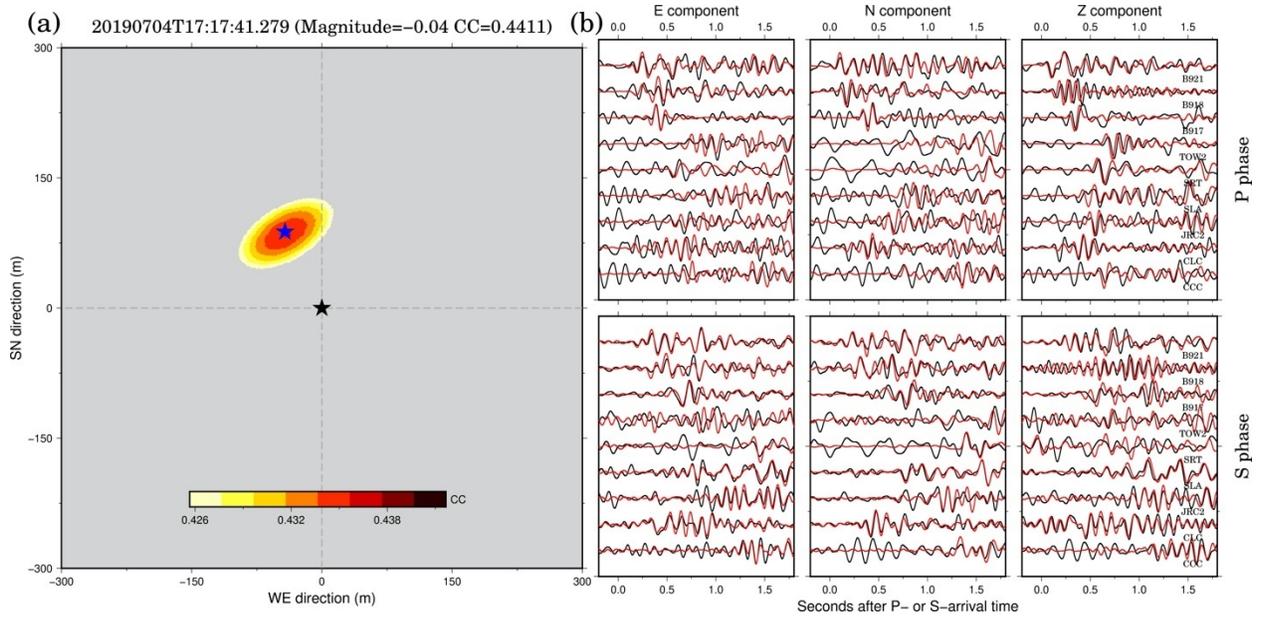
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551 **Figures S34.** Similar to Figure S5, but for EQ 31.

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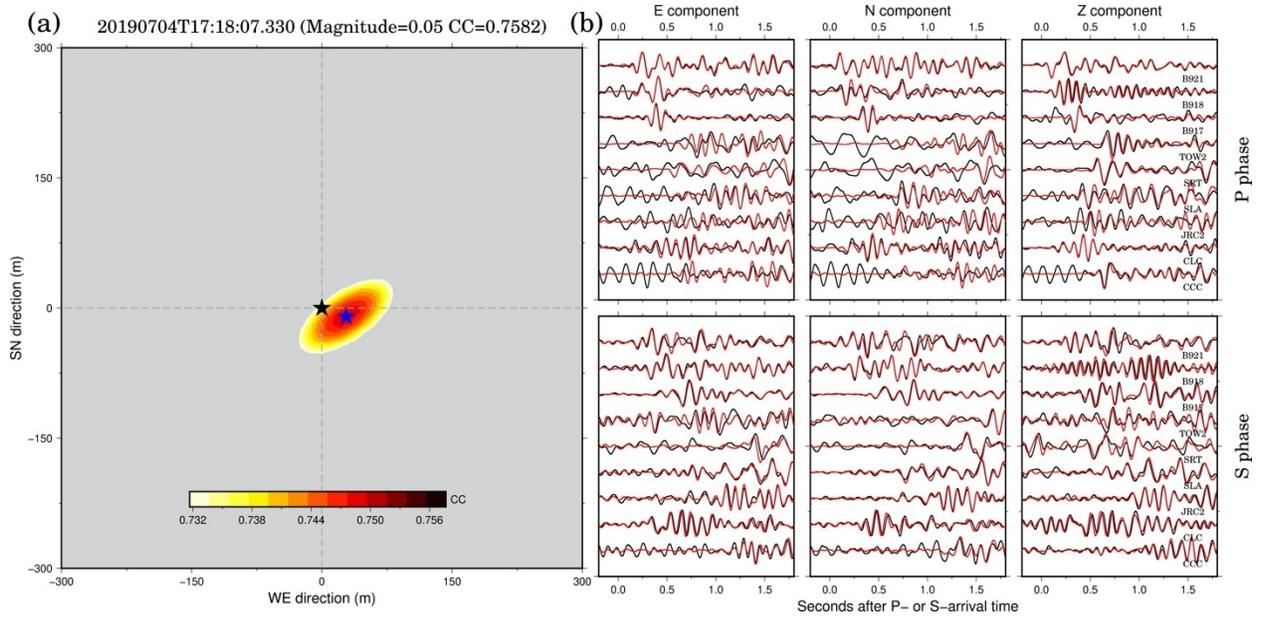
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Figures S35. Similar to Figure S5, but for EQ 32.

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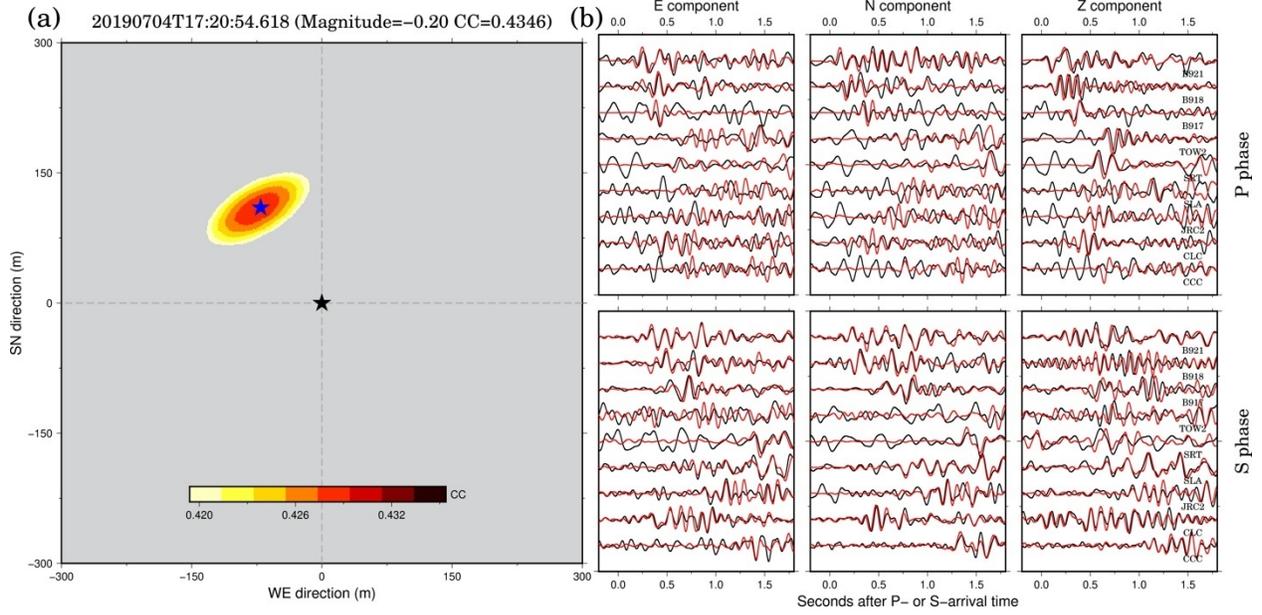
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599 **Figures S37.** Similar to Figure S5, but for EQ 34.

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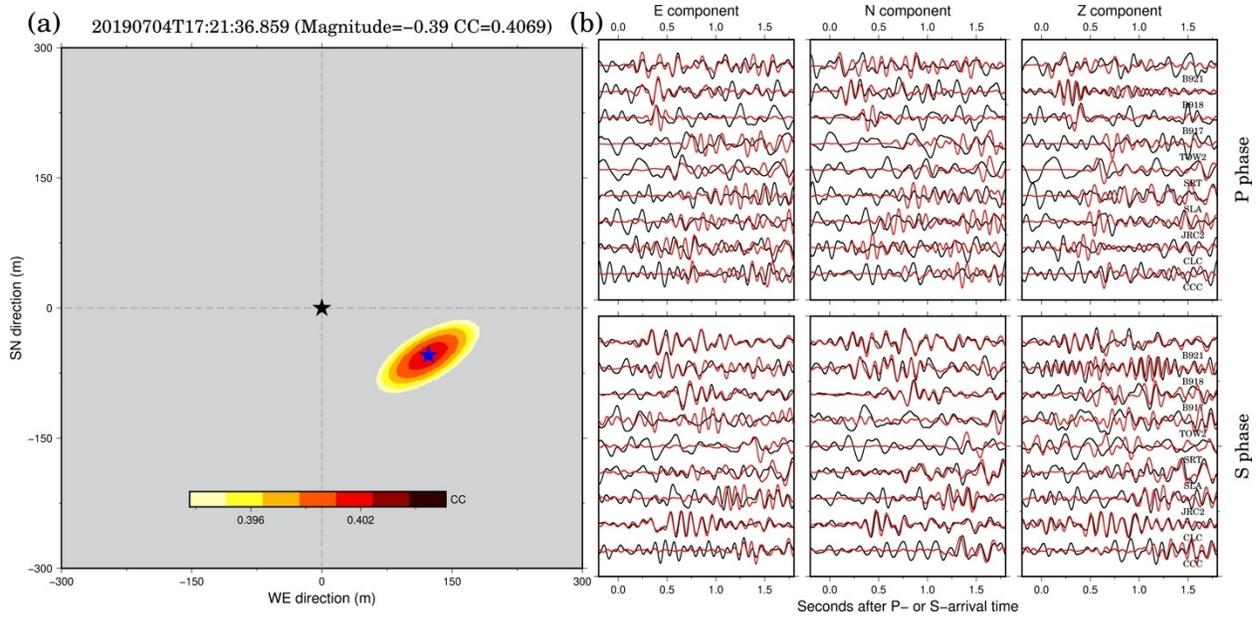
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615 **Figures S38.** Similar to Figure S5, but for EQ 35.

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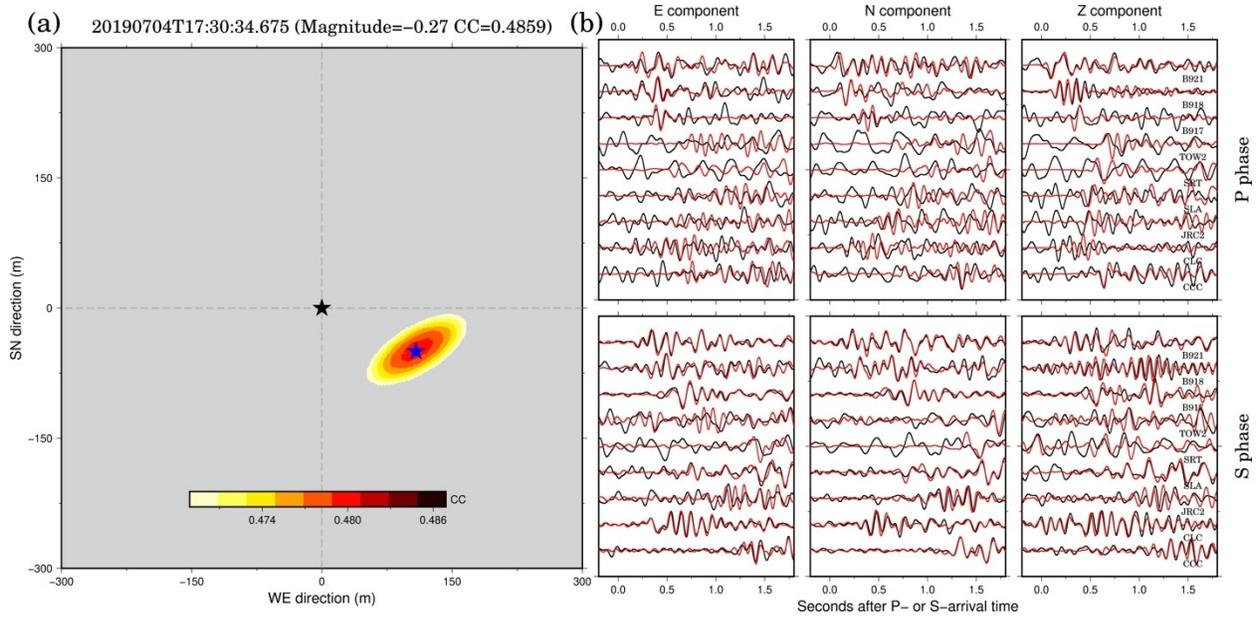
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647 **Figures S40.** Similar to Figure S5, but for EQ 37.

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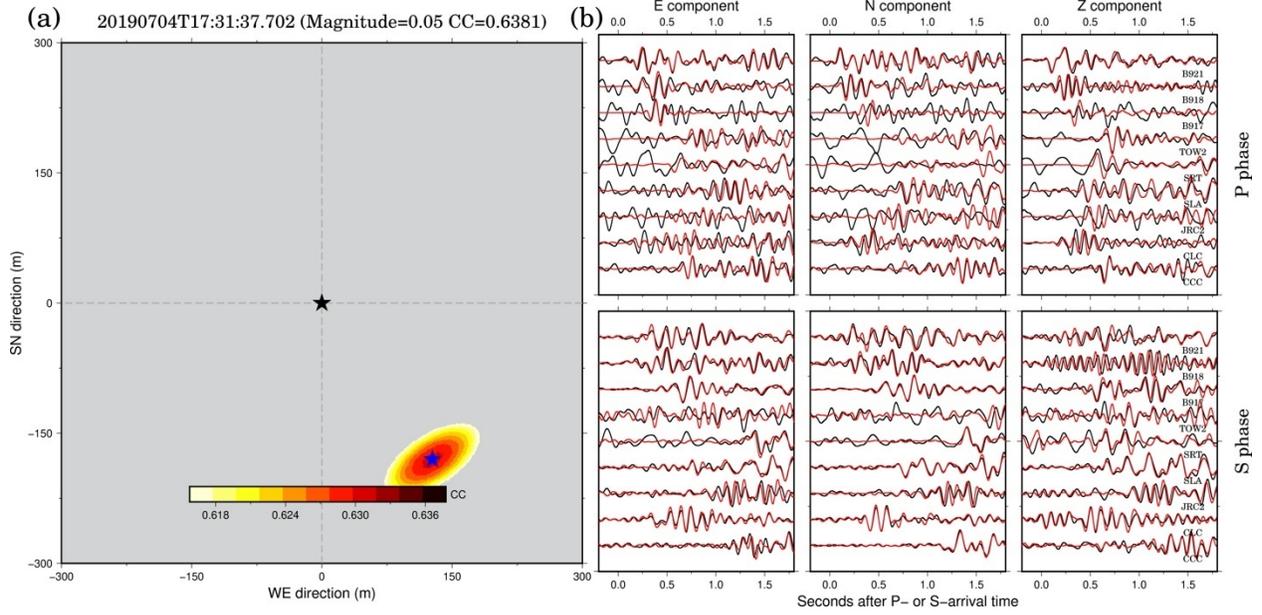
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663 **Figures S41.** Similar to Figure S5, but for EQ 38.

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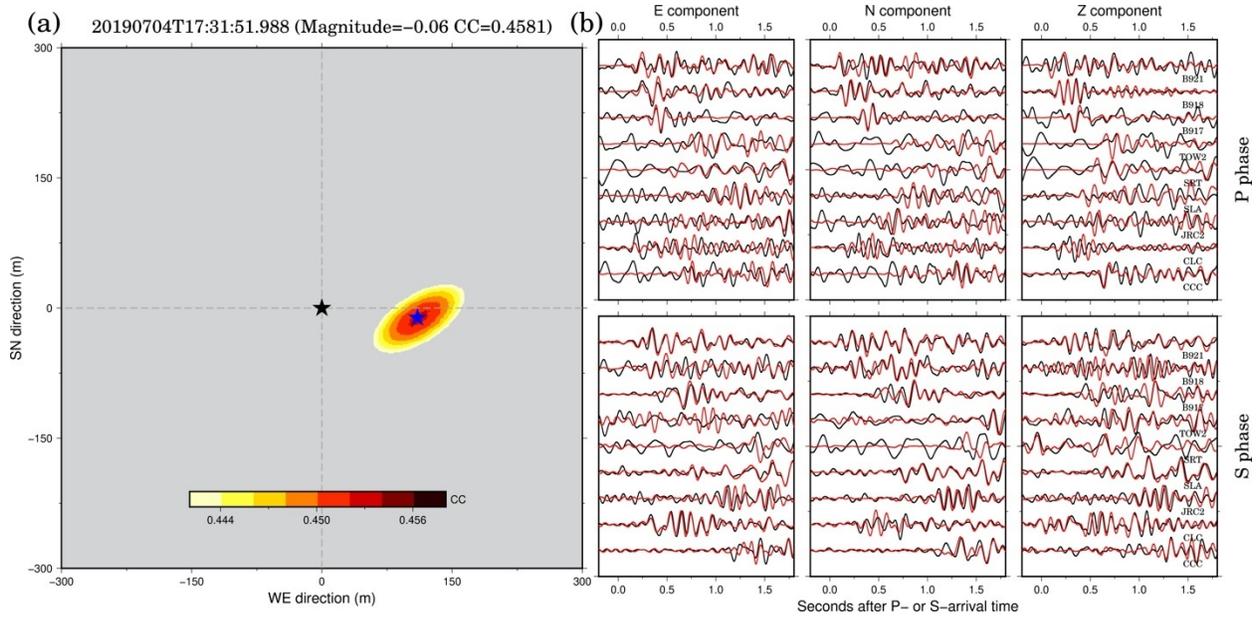
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679 **Figures S42.** Similar to Figure S5, but for EQ 39.

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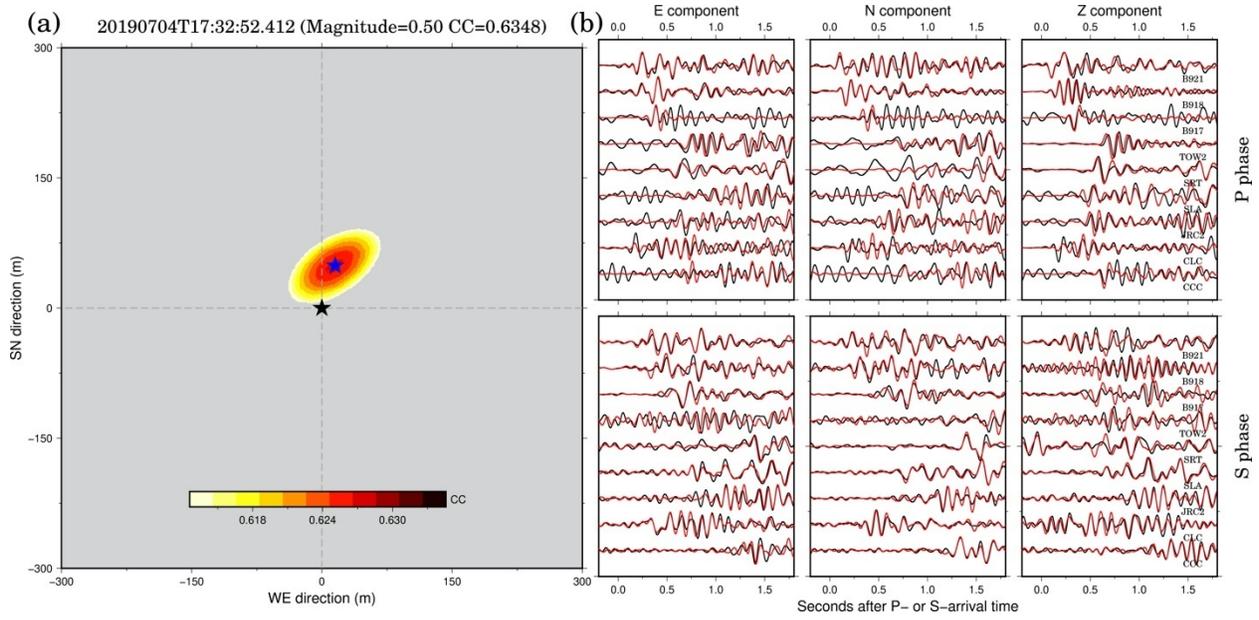
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695 **Figures S43.** Similar to Figure S5, but for EQ 40.

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724 **Table S1.** The M&L foreshock catalog.

725 **Movie S1.** 3D movie showing detailed spatiotemporal distribution of these foreshocks listed in the M&L
726 catalog (also see Figure 2).

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