

1                   **Modulated Upper-Hybrid Waves Coincident with**  
2                   **Lower-Hybrid Waves in the Cusp**

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12                  **Key Points:**

- 13                  • Modulated upper-hybrid waves coincided with enhanced power near the local lower-
- 14                  hybrid frequency.
- 15                  • The spacings of the banded upper-hybrid waves are correlated with the frequency
- 16                  of the peak spectral density near the lower-hybrid peaks.
- 17                  • Kinematic constraints and energy densities of wave modes suggest wave-wave pro-
- 18                  cess is plausible, with decay more likely than coalescence.

19 **Abstract**

20 During the Twin Rockets to Investigate Cusp Electrodynamics (TRICE-2) High-Flyer  
 21 rocket’s passage through the cusp the high frequency (HF) radio wave receiver observed  
 22 three intervals of banded Upper-Hybrid (UH) waves. The bands begin at the UH fre-  
 23 quency ( $\sim 1.2\text{--}1.3$  MHz), descending to as low as 1.1 MHz, with amplitudes of hundreds  
 24 of mV/m. The spacing of the bands are  $\sim 4.5\text{--}6$  kHz and the number of bands ranges  
 25 from three to ten. Simultaneously, the very low frequency (VLF) radio wave receiver ob-  
 26 served Lower-Hybrid (LH) waves with amplitudes ranging from 1–10 mV/m and frequen-  
 27 cies of 4.5–6 kHz. Slight variations of the spacings of the bands in the UH waves were  
 28 closely correlated with variations in the LH peak frequencies. Two possible wave-wave  
 29 interactions are explored to explain this phenomenon: decay of an UH wave into a lower  
 30 frequency UH wave and a LH wave, and coalescence of independent UH waves and LH  
 31 waves that spawn UH waves. Using a dispersion relation calculator with electron and  
 32 ion distribution functions based off those observed by the particle instruments suggests  
 33 that UH waves, and to a lesser degree LH waves, can be excited by linear instabilities.  
 34 Kinematic analysis of the waves dispersion relations and the wave matching conditions  
 35 show that wave-wave interactions linking UH and LH modes are possible through either  
 36 decay or coalescence. This analysis along with comparisons of the energy densities of the  
 37 waves, and the ratio of their occupation numbers suggest that the decay process is more  
 38 likely than coalescence.

39 **1 Introduction**

40 Many spacecraft missions have reported observations of Upper-Hybrid (UH) waves  
 41 in the ionosphere, for instance as reviewed by LaBelle and Treumann [2002] and Ben-  
 42 son [1993]. However, relatively few missions have observed detailed fine wave structures  
 43 around the UH frequency in the ionosphere. Their high frequency, especially at low al-  
 44 titudes, requires a large bandwidth to measure with any detail. Benson [1993] showed  
 45 the strongest UH emissions observed by the ISIS-2 satellite occurred under similar con-  
 46 ditions required by the mechanism in Swift [1988], who suggested that UH waves are a  
 47 significant source of heating for auroral electrons in the topside ionosphere. Colpitts and  
 48 LaBelle [2008] observed Langmuir and UH waves with the SIERRA sounding rocket. Ben-  
 49 son et al. [2004] observed UH waves with the IMAGE/RPI satellite and used these ob-  
 50 servations with the knowledge of the electron cyclotron frequency,  $f_{ce}$ , to determine the

51 density of the plasma. The HIBAR mission was specifically designed to have a large band-  
 52 width capable of measuring waves up to 5 MHz, and observed two intervals of UH waves  
 53 in the ionosphere at approximately 377 and 390 km altitude [Samara et al., 2004]. These  
 54 waves had electric fields of 2-20 mV/m and occurred just below the upper-hybrid fre-  
 55 quency,  $f_{UH} = 2f_{ce} = 2660$  kHz, with a banded-like structure of frequency spacings  
 56 4 – 8 kHz and banded substructures with bands of 1 – 2 kHz. This structure matches  
 57 the prediction for UH wave eigenmodes. These modes appear when the UH waves are  
 58 excited within a suitable scale of pre-existing density enhancements [Yoon et al., 2000].  
 59 The excitation process explains fine structure in auroral “roar” radio emissions observed  
 60 at ground level [LaBelle et al., 1995; Shepherd et al., 1997].

61 Wave-wave interaction and modulated waves have been observed in plasma waves  
 62 near the electron plasma frequency,  $f_{pe}$ , similar to those observed in this study at the  
 63 UH frequency. Bonnell et al. [1997] performed a statistical study of several hundred Lang-  
 64 muir wave events from the FREJA satellite and SCIFER rocket which showed modu-  
 65 lations occurring from 1-60 kHz. They also showed it was kinematically possible for de-  
 66 cay of these waves with modulation  $> 7$  kHz into oblique Langmuir and whistler waves.  
 67 However, that study did not observed the lower-frequency waves thought to be associ-  
 68 ated with the modulations. However, Stasiewicz et al. [1996] presented studies of wave-  
 69 wave interactions where the low frequency waves were observed, exploring two possible  
 70 interpretations: decay of Langmuir waves into Lower-Hybrid (LH) waves, and coalescence  
 71 of preexisting LH waves with the Langmuir waves, measurements confirmed by Lizunov  
 72 et al. [2001] and Khotyainstev et al. [2001]. Cairns and Layden [2018] studied the the-  
 73 oretical decay of generalized Langmuir waves, which encompass the conventional Lang-  
 74 muir wave and UH wave, into backscattered Langmuir waves and ion acoustic or ion cy-  
 75 clotron waves for both weakly ( $f_{ce} < f_{pe}$ ) and strongly ( $f_{ce} > f_{pe}$ ) magnetized plas-  
 76 mas. For the latter case, the results show that as the wavevectors become more paral-  
 77 lel to the background magnetic field the wave-number should increase, rather than de-  
 78 crease, for a three wave decay process.

79 Many experiments used ground based transmitters to inject powerful high-frequency  
 80 waves into the ionosphere and observing the stimulated electron emissions (SEE). Leyser  
 81 [1991] performed such an experiment wherein high-frequency waves were injected into  
 82 the F-region. They excited UH waves and observed a downshifted maximum feature in  
 83 the o-mode believed to come from the non-linear interaction of the UH waves with a LH

84 wave that produced the EM wave. They used the Murtaza and Shukla [1984] two-fluid  
 85 model of decay of an UH wave into an EM radio wave and a LH wave to explain their  
 86 observations. They determining growth rates based on F-region plasma parameters at  
 87 200 km altitude. Leyser [1994] derived the non-linear dispersion relation for decay of UH  
 88 waves into electromagnetic waves and LH waves for a collisionless, weakly magnetized  
 89 plasma. They determined growth rates for frequencies near the LH frequency for var-  
 90 ious pump waves and F-region conditions. In a similar study, Gurevich et al. [1997] in-  
 91 vestigated the non-linear decay of an initial UH pump wave into a LH wave and a down-  
 92 shifted UH daughter wave in an inhomogeneous plasma when both the pump and daugh-  
 93 ter waves are trapped. They showed that leakage into Z-mode radiation plays an impor-  
 94 tant role in the decay process and determined the critical field required for decay. Shvarts  
 95 and Grach [1995] analyzed the dispersion relation for the decay of an UH wave into a  
 96 lower frequency UH wave and an LH wave, and determined growth rates of waves near  
 97 the LH frequency. These studies all considered overdense plasma conditions,  $f_{pe}^2 \gg f_{ce}^2$ ,  
 98 which is not the case for our experiment, because our observations were at much higher  
 99 altitudes.

100 This study presents observations from the Twin Rockets to Investigate Cusp Elec-  
 101 trodynamics (TRICE-2) mission of banded structures in high frequency waves near the  
 102 UH frequency at  $f_{UH} \approx 1.2$  MHz coincident with low-frequency waves near the LH fre-  
 103 quency at  $f_{LH} \approx 5$  kHz. Section 2 describes the instruments and presents the obser-  
 104 vations showing these phenomena. Section 3 analyzes the stability of normal modes us-  
 105 ing WHAMP, a wave dispersion solver originally developed by Rönmark [1982]. Sec-  
 106 tion 4 derives the wave constraints through the kinematic equations for a three wave pro-  
 107 cess. Section 5 and 6 discuss wave decay and coalescence as possible explanations and  
 108 summarize the results, respectively.

## 109 2 Data Presentation

110 The TRICE-2 (Kletzing 52.003/004) mission consisted of two nearly identically in-  
 111 strumented sounding rockets, denoted High-Flyer and Low-Flyer, launched on 8 Decem-  
 112 ber 2018 at 08:26 and 08:28 UTC from Andoya Space Center, Norway, into active cusp  
 113 aurora, with apogees of 1042 km and 756 km, respectively. The interplanetary magnetic  
 114 field prior to launch had a steady negative  $B_z$  component of  $\sim 5$  nT, with ground opti-  
 115 cal and radar data confirming that ionospheric signatures of reconnection, such as poleward-

116 moving auroral forms, were present during and following the launches (Kletzing et al.,  
 117 2019). Both payloads encountered particle fluxes precipitating down the magnetic field  
 118 lines, enhanced electron densities, and increases in the occurrence and intensity of plasma  
 119 waves seen by the VLF and HF receiver, indicating traversal of an active polar cusp.

120 Dartmouth College provided a double probe antennas (6 cm dia., 30 cm center-center)  
 121 mounted in the forward sections of the rockets, parallel to the spin axis and hence ap-  
 122 proximately parallel to the magnetic field,  $\vec{B}$ , since an attitude control system maintained  
 123 the spin axis within  $10^\circ$  of  $\vec{B}$ . Associated HF receivers measured the resulting electric  
 124 field component waveforms at frequencies of 100–5000 kHz, the upper bound determined  
 125 by the 10-MHz sampling frequency and the lower bound determined by a high-pass fil-  
 126 ter designed to avoid having strong VLF waves saturate the receiver. The HF receiver  
 127 included an automatic gain control (AGC) to optimize use of the dynamic range of the  
 128 analog telemetry link used to transmit the waveforms from rocket to ground station. The  
 129 AGC gain was folded into the data in post analysis using periodic calibration signals.

130 The University of California, Berkeley, provided 8 cm diameter probes E-field sen-  
 131 sors mounted on the tips of 6.5-meter stacer booms oriented perpendicular to the rocket  
 132 spin axes. Associated VLF receivers measured both resulting perpendicular electric field  
 133 components over the frequency range 0–25 kHz. The DC electric field in the plane per-  
 134 pendicular to the magnetic field was also measured with this instrument, as well as the  
 135 payload potential relative to the various probes. In addition, three-axis flux-gate mag-  
 136 netometers on each payload measured magnetic fields with  $\pm 10\mu\text{T}$  resolution over the  
 137 frequency range 0–1.25 kHz.

138 Both The University of Iowa and Southwest Research Institute provided top-hat  
 139 style electrostatic analyzers, the former measuring electrons (Energetic Electron Pitch  
 140 Angle Analyzer–EEPAA) from 60–11486 eV with a time resolution of 50 ms and the lat-  
 141 ter ions (Ion Electrostatic Analyser–IESA) from 10eV–20keV with a time resolution of  
 142 384 ms. The University of Oslo provided Langmuir probes to measure the electron den-  
 143 sity with a 10kHz sample rate.

144 Figure 1a shows spectrograms of the HF (top panel) and VLF (middle panel) elec-  
 145 tric fields from the TRICE-2 High-Flyer, covering frequencies of 0–2 MHz and 0–25 kHz,  
 146 respectively. The main part of the trajectory is included, starting at 08:29 (204 km), con-  
 147 tinuing through apogee at 08:36 UTC, and ending at 08:43 UTC (449 km). For this en-

148 tire portion of the flight, the plasma frequency ( $f_{pe}$ ) is less than the electron gyrofrequency  
 149 ( $f_{ce}$ ), which is around 1000 kHz. In this regime, the plasma frequency is evident as an  
 150 upper cut-off of whistler mode auroral hiss; this cutoff can clearly be seen decreasing from  
 151  $\sim 1000$  kHz at 08:29 UTC to  $\sim 250$  kHz at 08:34 UTC as the rocket increased in alti-  
 152 tude from  $\sim 204$ - $987$  km, encountering decreasing electron density in the topside. The  
 153 cutoff is again observed at the end of the interval increasing from 350 kHz and 08:40 UTC  
 154 to 750 kHz and 08:43 UTC, as the rocket decreased in altitude from 857-449 km and en-  
 155 countered increasing electron density. In between, from 08:34:30-08:39:30 UTC, this pat-  
 156 tern is interrupted by an increase in  $f_{pe}$  along with the intensity of the plasma waves them-  
 157 selves; during this interval the rocket traverses the polar cusp. In this region, UH waves  
 158 also occur at frequencies exceeding  $f_{pe}$  and intense whistler waves occur below  $f_{pe}$ . (The  
 159 apparent cutoff at approximately 100 kHz is due to the instrument's high pass filter as  
 160 discussed above.) The VLF data (middle panel) also show a significant increase in the  
 161 intensity of the waves in the cusp which persists poleward of the cusp. The VLF spec-  
 162 trum is dominated by whistler mode waves with lower frequency cutoff at the LH fre-  
 163 quency  $f_{LH} \sim 5$  kHz. Figure 1c (bottom panel) shows the differential energy flux of  
 164 60-2000 eV downgoing electrons from The University of Iowa EEPAA instrument. The  
 165 cusp stands out as an interval of precipitating electrons up to 1000 eV from 08:34:30-  
 166 08:39:00 UTC. The instrument detects low counts ( $\sim 10$ - $20$ ) of precipitating electrons  
 167 before and after the rocket encounters the cusp.

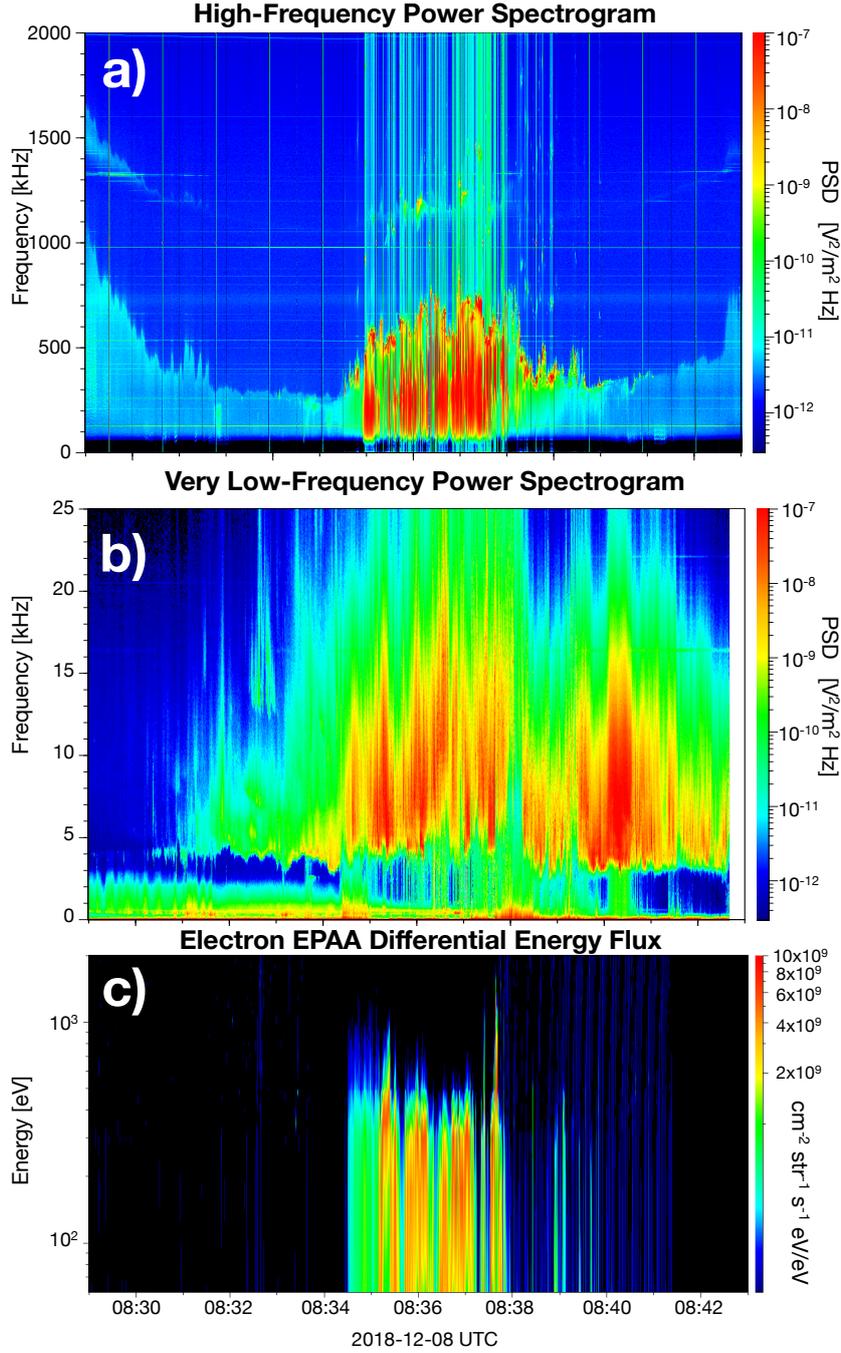


Figure 1: Spectrograms from 08:29–08:43 UTC during TRICE-2 High-Flyer’s passage through the cusp. (a) HF wave power from 100–2000 kHz, showing an increase in the intensity and frequency of Langmuir waves between 08:34:30–08:39:30 UTC (frequencies 400–800 kHz) corresponding to the increase in density in the cusp. (b) VLF wave power from 0–25 kHz with intense broadband whistler waves occurring above the LH cutoff at  $\sim 5$  kHz within and poleward of the cusp. The Power Spectral Density (PSD) ranges from  $10^{-13}$  to  $10^{-6}$  for both the UH and LH spectrograms. (c) Differential Energy Flux of the electrons, increasing during the interval when the rocket is within the cusp.

168 Figure 2 shows expanded HF and VLF spectrograms that focus on two 25-second  
 169 intervals when UH waves are observed. Figures 2a and 2c, covering 1080-1280 and 1150-  
 170 1350 kHz, respectively, show details of the UH waves. The UH frequency,  $f_{UH}$ , calcu-  
 171 lated using the observed magnetic field and the plasma frequency implied by the Lang-  
 172 muir waves (wave cutoff in Figure 1) coincides with the upper boundary of these waves  
 173 and is shown by a dashed white line in Figure 2. The distinctive feature of these waves  
 174 is banded structures which intermittently occur and consist of up to 10 bands separated  
 175 by approximately 5 kHz. For example from 08:35:49–08:35:51 UTC at 1170–1200 kHz  
 176 there are roughly 6 distinct peaks at and below the UH frequency, and from 08:36:05–  
 177 08:36:11 UTC from 1150–1240 kHz there are a varying number of distinct bands appear-  
 178 ing at and below the UH frequency and again at 08:36:59–08:37:07 UTC from 1180–1300  
 179 kHz. Figures 2b and 2d, covering 0-25 kHz, show details of whistler mode and LH waves.  
 180 Broadband whistler mode waves extending from near the LH frequency,  $f_{LH}$ , to above  
 181 25 kHz occur throughout these intervals. Separate from the broadband whistler mode  
 182 waves are narrowband signals at  $\sim 5$  kHz, which may be interpreted as  $f_{LH}$ . In many  
 183 cases, it is evident that the banded structure in the UH waves coincide with the distinc-  
 184 tive narrow-band waves at the LH frequency, most notably starting at 08:36:04 UTC,  
 185 but also near 08:35:50 UTC and 08:37:02 UTC.

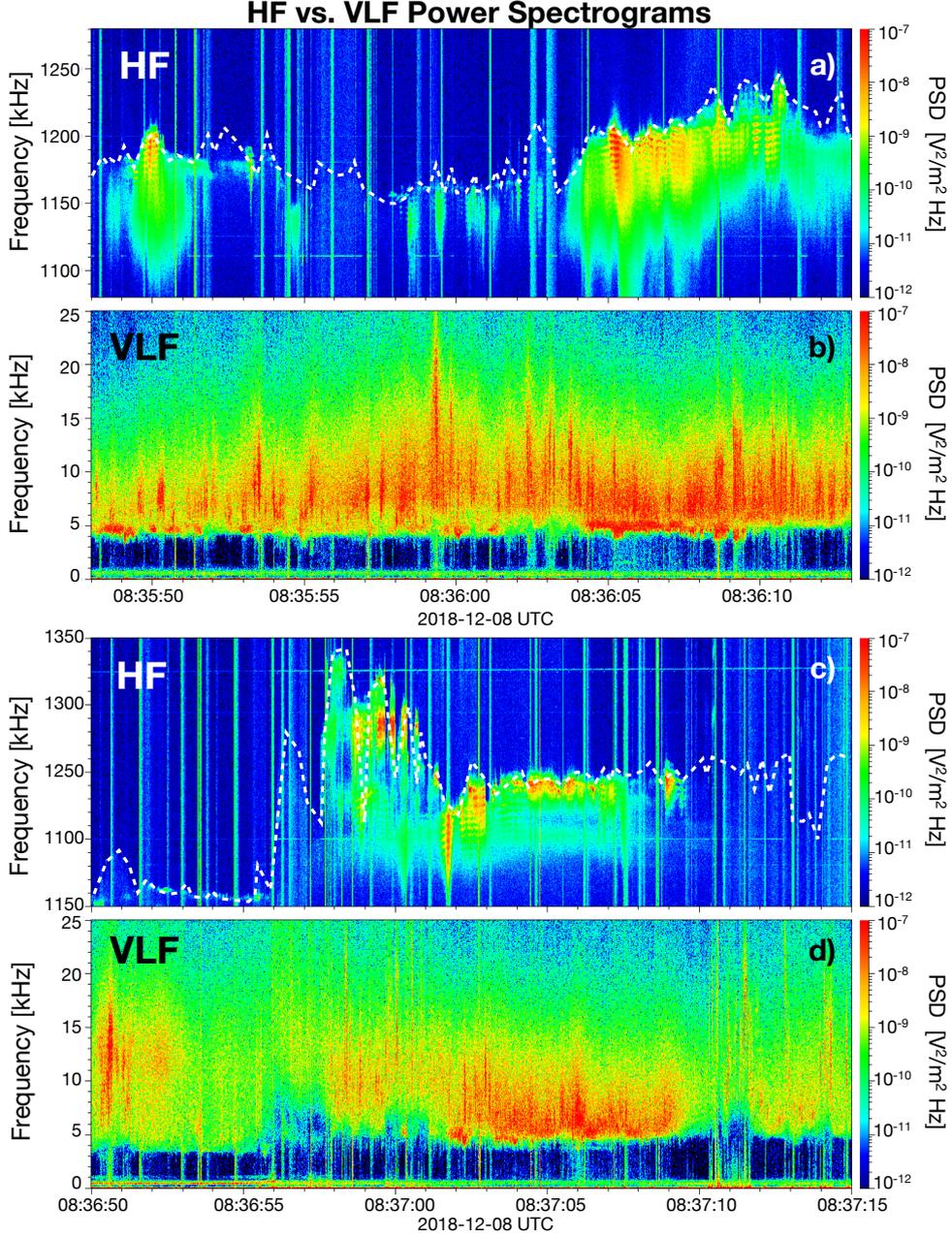


Figure 2: Expanded views of the HF and VLF spectrograms, showing the banded structure in the UH waves in the HF spectrograms and the distinct LH waves that occur below the broadband whistler mode waves in the VLF spectrograms at  $\sim 5$  kHz. The white line in panels (a) and (c) is  $f_{UH}$  calculated using the plasma frequency cutoff and the magnetometer data, at an altitude of  $\sim 1000$  km.

186            Figures 3a and 3e are even more greatly expanded HF and VLF spectrograms from  
 187            08:36:04.6-08:36:05.6 UTC (604.6-605.6 s post launch) at 1042 km altitude, one of the  
 188            intervals identified above when banded UH waves coincide with narrowband waves at  
 189            the lower hybrid frequency, intended for comparing the UH banding spacings with the  
 190            LH wave frequencies. Figure 3a shows the HF spectrogram has up to 10 banded struc-  
 191            tures, while Figures 3b-d show individual spectra (slices through the spectrogram) at three  
 192            selected times indicated by vertical lines in the spectrogram. The UH bands have rms  
 193            amplitudes on the order of hundreds of mV/m. An automated method was developed  
 194            to identify each of the spectral peaks, which are indicated by color coding in panels b-  
 195            d. The position of each peak, and hence the frequency spacing between each pair of peaks,  
 196            are calculated by finding the weighted centroid of each colored section of the spectrum.  
 197            The mean value for all peak-to-peak differences detectable within each spectrum is given  
 198            in the upper left corner of panels b-d. This mean band spacing significantly narrows across  
 199            the three selected time intervals, from  $5.18 \pm 0.11$  kHz at 604.8 s to  $4.79 \pm 0.13$  kHz at  
 200            605.18 s to  $4.50 \pm 0.09$  kHz at 605.38 s.

201            Figure 3e shows the VLF spectrogram for the same time interval as Figure 3a, re-  
 202            vealing the narrowband waves centered around the LH frequency, as well as broadband  
 203            whistler mode waves extending above that frequency. The narrow band waves at  $f_{LH}$   
 204            exhibit slight variations in their peak frequency over time. Figure 3f-h show sets of three  
 205            spectra for each of the three selected times as above, indicated by vertical lines in the  
 206            spectrogram. The LH peak has rms amplitudes on the order of 1-10 mV/m. The same  
 207            method used to identify the HF peaks was used to identify the centroids of the LH peaks.  
 208            In panels f-h the main LH peak was identified as the distinctively strong signals start-  
 209            ing at the lower bound where the spectra show a sharp cutoff and ending where the peaks  
 210            drop off again before the broadband whistler waves begin. Peaks determined by this cri-  
 211            terion are color coded in panels f-h. The frequency of the LH wave peak at each time  
 212            interval was calculated as a weighted centroid for each of the colored spectra. The mean  
 213            values of the three peaks measured in each panel are shown in the upper left corners of  
 214            panels f-h. The frequency of maximum amplitude in the LH regime varies over each of  
 215            the sub-intervals, and there are often several candidate peaks in the spectrum at any one  
 216            time. This indicates a fairly non-stationary VLF spectrum, either from true temporal  
 217            variation, spatial structure, or both, and complicates our interpretation of it relative to  
 218            the spectral features in the UH regime. Even with this spectral variation, one can see

219 that the mean frequency defined above decreases significantly from  $5.08 \pm 0.11$  kHz at  
220 604.8 s to  $4.82 \pm 0.11$  kHz at 605.18 s to  $4.56 \pm 0.11$  kHz at 605.38 s.

221 What is most striking about these observations is that the peak frequency of the  
222 LH waves not only closely matches the mean spacing of the UH bands ( $5.18 \pm 0.11$  ver-  
223 sus  $5.08 \pm 0.11$  kHz in the first,  $4.79 \pm 0.13$  versus  $4.82 \pm 0.11$  kHz in the second, and  
224  $4.50 \pm 0.09$  versus  $4.56 \pm 0.11$  kHz in the third time interval), but these frequencies vary  
225 in the same manner as a function of time. This close correlation strongly suggests a con-  
226 nection between these waves.

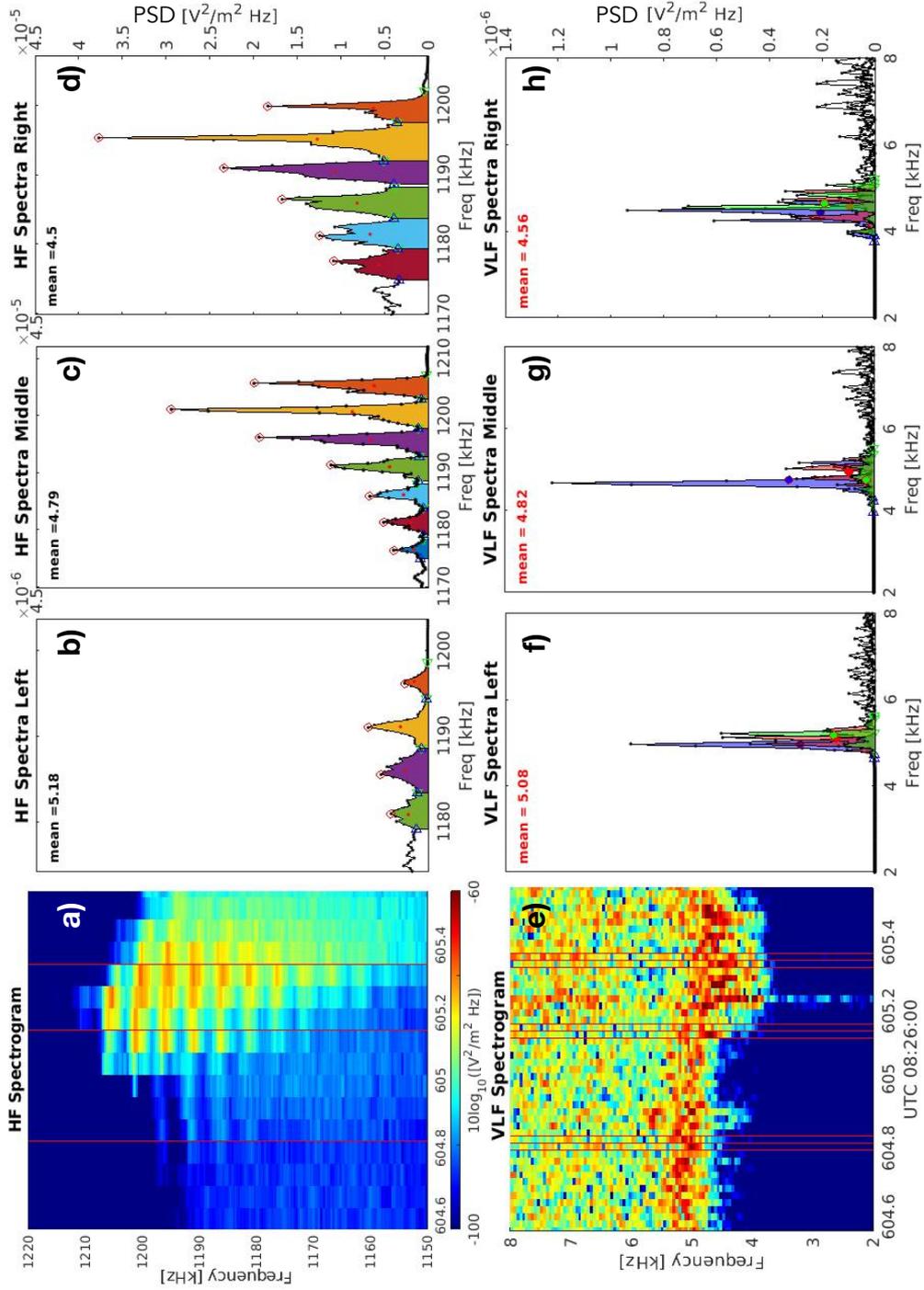


Figure 3: (a) Expanded HF spectrogram of banded structures for the time interval 08:36:04.6-08:36:05.6 UTC for frequencies 1150-1220 kHz. (e) Same time interval for the expanded VLF spectrogram from 2-8 kHz, showing peaks at  $f_{LH}$ . (b-d) Three selected spectra from the HF data showing the variation in peak spacings. (f-h) Nine selected spectra, three for each HF spectra, showing the peak variations over time. The HF spacing changes with the changes in frequency of the VLF peaks.

227 The analysis shown in Figure 3, comparing UH band spacings to LH wave peaks,  
 228 was performed for 33 sets of HF and VLF spectra for which banded structures were iden-  
 229 tified in the former and had distinguishable LH wave peaks in the latter. The results are  
 230 shown in Figure 4, where the average of the UH band spacing within each HF spectrum  
 231 is plotted on the vertical axis against the average frequency of the corresponding three  
 232 LH peaks plotted on the horizontal axis, with the standard deviations in each dimen-  
 233 sion ( $\sigma$ ) indicated by bars. The linear correlation coefficient, an indicator of the strength  
 234 of the linear relationship that has values between -1 and 1, is  $r \approx 0.5$ .

235 The data were fit to a straight line by finding the minimum  $\chi^2$  using equation (15.3.2)  
 236 in Press et al. [1996] for linear fitting with errors in both coordinates with a confidence  
 237 interval of 68.3% and an intercept value set to zero. Figure 4 shows the data with the  
 238 fit results plotted as a black dashed lines with a slope of  $1.02 \pm 0.04$  [kHz/kHz] and a  
 239 reduced  $\chi^2/\nu$  of 0.89. The reduced  $\chi^2/\nu$  for the fit is an indicator of goodness-of-fit for  
 240 the data, with values close to 1 indicating very good fits. A second linear fit was per-  
 241 formed where the intercept was allowed to vary using equation (15.3.4) in Press et al.  
 242 [1996] that resulted in a slope of  $1.61 \pm 1.25$  [kHz/kHz] and an intercept of  $-2.94 \pm 9.09$   
 243 [kHz] with a reduced  $\chi^2/\nu$  of 0.53. The fit with zero intercept and a slope close to 1.0  
 244 is preferred based on physical grounds since it is consistent with the hypothesis that these  
 245 banded structures in the UH waves are a result of wave-wave interaction with the LH  
 246 waves. When the fit is allowed to vary both the slope and the intercept, the small fre-  
 247 quency range of the data combined with uncertainties that are a significant fraction of  
 248 the frequency range leads to large uncertainties in the fit that provide little information.  
 249 However, the linear correlation coefficient, along with both slopes from the two fits, in-  
 250 dicate a clear, positive correlation between the UH banding and the LH frequencies.

251 Because of the highly non-stationary aspect of the LH waves, and the multiple peaks  
 252 in the spectra used in the averaging, it is possible the true modes that are correlated are  
 253 not the largest amplitude peaks in all cases. Effect like this create uncertainties beyond  
 254 the random uncertainties estimated as  $\sigma$ 's in Figure 4 within the data used. Moreover,  
 255 the ranges in the UH spacing and LH frequency are  $\sim 10\%$ – $20\%$ , very small for a reli-  
 256 able estimate of the gradient of the fitted line. In summary, the linear correlation coef-  
 257 ficient and the linear fit show a clear correlation suggesting that the banding in the UH  
 258 waves is due to a wave-wave interaction between the UH and LH waves.

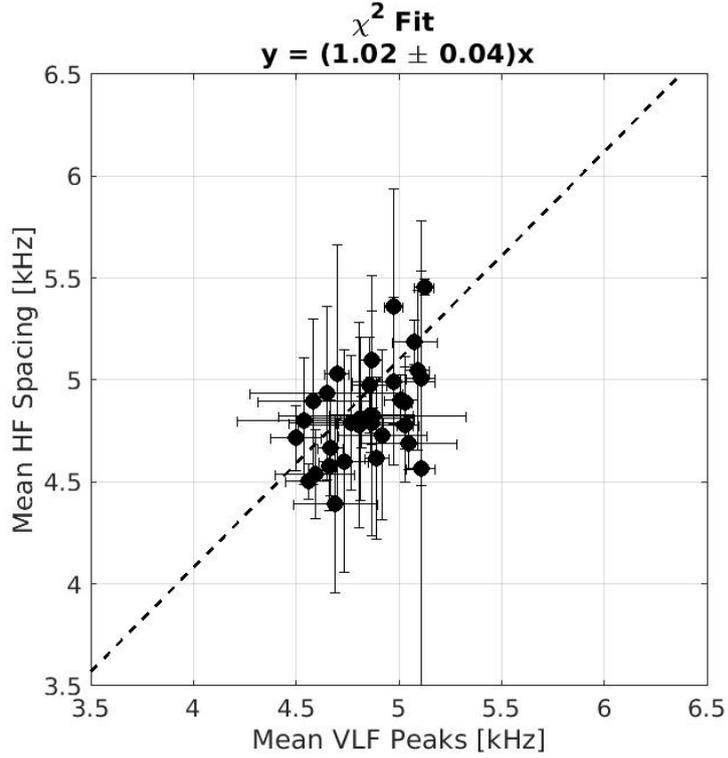


Figure 4: Plots of the average HF bands frequency spacings versus the average LH peak frequencies, with their respective standard deviations plotted as bars on the points. The linear fit (black dashed) is plotted and is based on the variances in both x and y, with a slope of  $1.02 \pm 0.04$  [kHz/kHz].

### 259 3 Instability Analysis

260 To examine linear instabilities of upper hybrid and lower hybrid modes requires in-  
 261 formation about the electron distribution function for both modes, and the ion distri-  
 262 bution function for the latter mode. There are two challenges here. First, even under  
 263 the best circumstances, particle instruments on the TRICE2 High-Flyer rocket provide  
 264 limited information about both distribution functions, limited by energy range and by  
 265 angular, energy, and temporal resolutions. In the case of the ion distribution function  
 266 the information is further limited because the ion detector did not fully deploy on the  
 267 High-Flyer, affecting the measurements. Second, even if the spacecraft measurements  
 268 cover the appropriate energy range with sufficient resolution, because temporal devel-  
 269 opment of a strong instability rapidly reduces the unstable features of the distribution

270 functions, it is rare to observe the fully unstable plasma; spacecraft instruments are be-  
 271 lieved to typically capture partially or even fully stabilized versions of the distributions.

272 With these limitations in mind, we developed a model electron distribution func-  
 273 tion based on data from the TRICE-2 High-Flyer EEPAA instrument. Figure 5a shows  
 274 a selected measured distribution function from 08:36:03.894 UTC, which is during the  
 275 second of three selected bursts of banded UH waves. This type of distribution is observed  
 276 sporadically during the UH bursts, and is a rough guideline for the model distribution.  
 277 Plotted is a cut through the distribution in the  $v_{||}-v_{\perp}$  phase space for the velocity com-  
 278 ponents parallel ( $v_{||}$ ) and perpendicular ( $v_{\perp}$ ) to the magnetic field  $\vec{B}$ ; the 3D distribu-  
 279 tion would be obtained by revolving this plot around the  $v_{||}$  axis. The instrument mea-  
 280 sures angles ranging from -10–190 degrees with respect to  $\vec{B}$ , and gyrotropy is assumed  
 281 to fill out the distribution. This selected distribution is reminiscent of both a ring-beam  
 282 and a losscone, peaked near 600 eV and with greater fluxes in the downgoing direction  
 283 and, as expected, a dearth of flux in the upgoing direction. The peak phase space den-  
 284 sity is  $5 \times 10^{-14} \text{ m}^{-3} (\text{m/s})^{-3}$  and integrating the distribution over the measured en-  
 285 ergy range yields a beam density of  $60 \text{ cm}^{-3}$  which is approximately 1% of the total den-  
 286 sity at this time ( $n_{total} = 6080 \text{ cm}^{-3}$  inferred from the plasma frequency cutoff).

287 The WHAMP code (Rönmark, 1982; Andres, 1985) used in this stability analy-  
 288 sis requires the input distributions to be superpositions of drifting Maxwellians. Figures  
 289 5b and 5d show a model distribution composed of two distribution functions, each de-  
 290 fined by  $f(V_{||}, V_{\perp})$ , a combination of drifting and non-drifting Maxwellians, in the form

$$\begin{aligned}
 f(V_{||}, V_{\perp}) &= \frac{n}{\pi^{3/2} u_{||}^3} e_1 (e_2 - e_3) & (1) \\
 e_1 &= e^{-(V_{||}/u_{||} - v_d)^2} \\
 e_2 &= \frac{\alpha_1 - \alpha_2 \Delta}{\alpha_1 (\alpha_1 - \alpha_2)} e^{-V_{\perp}^2 / \alpha_1 u_{||}^2} \\
 e_3 &= \frac{1 - \Delta}{\alpha_1 - \alpha_2} e^{-V_{\perp}^2 / \alpha_2 u_{||}^2},
 \end{aligned}$$

291 where  $n$  is the beam density,  $u_{||}$  the parallel thermal speed determined from the paral-  
 292 lel temperature,  $T_{||}$ ,  $\alpha_1$  the ratio of  $T_{\perp}/T_{||}$  for the background distribution,  $\alpha_2$  the ra-  
 293 tio of  $T_{\perp}/T_{||}$  for the subtracted losscone,  $\Delta$  the depth of the losscone ( $1 =$  no losscone,  
 294  $0 =$  total losscone), and  $v_d$  the parallel drift velocity normalized to the parallel thermal

295 speed. Table 1 gives the values of these parameters for the two distribution functions used  
 296 to model the electron distribution shown in Figure 5a, which are called the losscone dis-  
 297 tribution and anisotropic Maxwellian, respectively, as well as the parameters assumed  
 298 for the background cold electrons and ions. The cold background is assumed to have a  
 299 temperature 2300 K, as is typical for the auroral ionosphere, and a density sufficient to  
 300 make the total density equal to the value inferred from the plasma frequency cutoff. The  
 301 ion composition is calculated using the equation for the LH frequency for multiple ion  
 302 species:

$$\omega_{LH}^2 = \frac{\Omega_{ce}^2}{\omega_{UH}^2} \sum_{\sigma} \omega_{p\sigma}^2, \quad (2)$$

303 where  $\omega_{LH}$  is the lower-hybrid frequency,  $\omega_{ce}$  is the electron cyclotron frequency,  $\omega_{UH}$   
 304 is the upper-hybrid frequency, and  $\omega_{p\sigma}$  is the ion plasma frequency for each species. Fit-  
 305 ting the data to equation (2) results in an ion composition of 7% hydrogen and 93% oxy-  
 306 gen. This equation reduces to the approximation used in the kinematics derivation be-  
 307 low (see equation (8)) for a single ion species.

308 Figure 5b shows the resulting model electron distribution, which resembles the mea-  
 309 sured distribution. The model ring distribution has a slightly larger beam density of 144  
 310  $\text{cm}^{-3}$ , but a similar peak phase space density of  $5 \times 10^{-14} \text{ m}^{-3}(\text{m/s})^{-3}$ . For reference,  
 311 a horseshoe distribution was also developed to roughly match the measured electron dis-  
 312 tribution. The resulting growth rates were identical for the LH surface, and nearly iden-  
 313 tical for the UH surface.

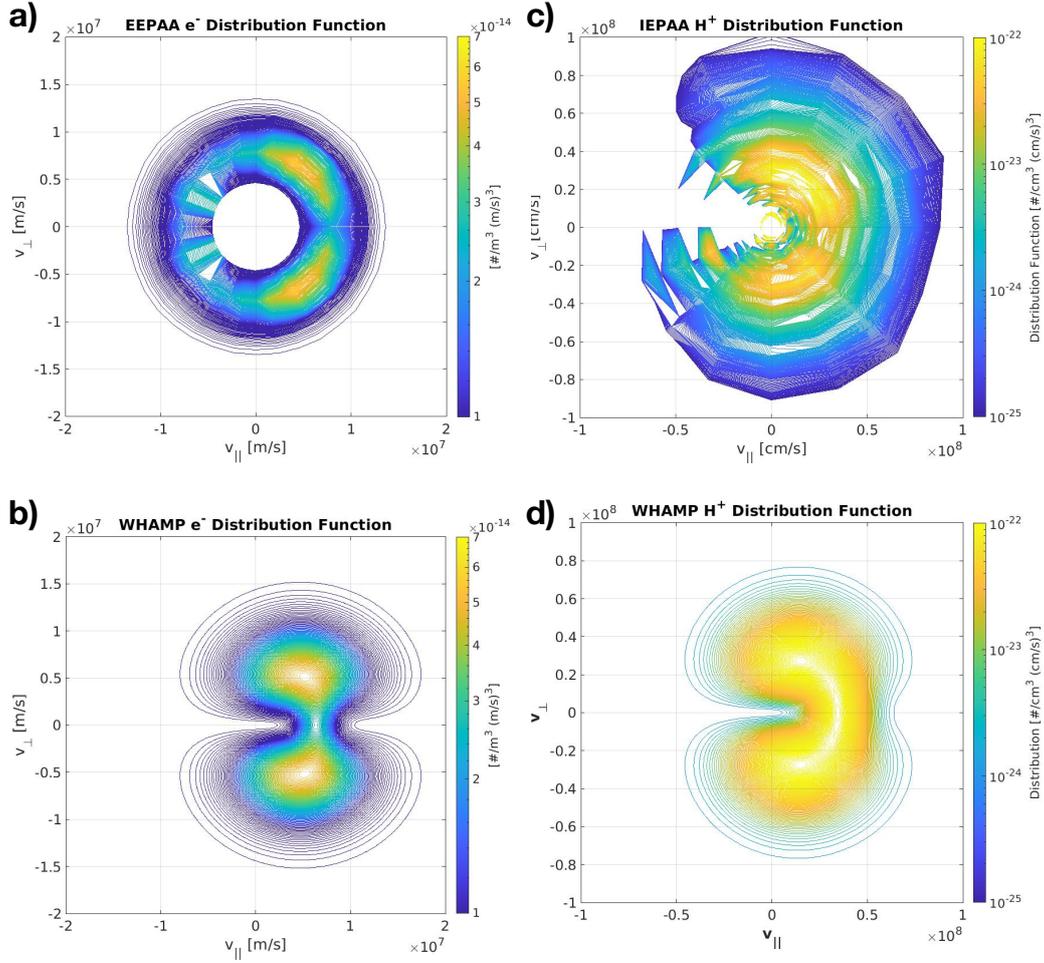


Figure 5: Electron and ion distributions measured during times of UH banding. (a)  $e^-$  distribution at 08:36:03.894 UTC and (c) is the  $H^+$  distribution averaged over 08:35:49–08:37:06 UTC. Panels (b) and (d) are the corresponding model distributions defined by equation (1), with parameters given in Tables 1–2.

314 Full assessment of the growth rate of the LH waves requires the ion distribution  
 315 function in addition to the electron distribution modeled above. For the ions, measure-  
 316 ments provide even less guidance since the instrument did not deploy fully during flight,  
 317 and therefore the data cannot give us a clear image of the distribution for the relevant  
 318 time intervals. The ion instrument measured pitch angles from 0 to 360 degrees with re-  
 319 spect to the background magnetic field. However, the partial deployment of the instru-  
 320 ment resulted in reduced sensitivity, particularly in the upgoing direction (see Sawyer  
 321 et al. 2021 for more details). Figure 5c shows the ion distribution measured by the ion

Table 1: Table of parameters used to generate a model of the observed EEPAA ring distribution, as well as the background electrons and ions species, used to generate the dispersion surfaces using WHAMP. The reference horseshoe distribution is listed in parentheses.

WHAMP Parameters	Losscone Distribution	Anisotropic Maxwellian	Background e <sup>-</sup>	Background H <sup>+</sup>	Background O <sup>+</sup>
$n_e$ [cm <sup>-3</sup> ]	140.0 (250)	4.0 (20)	5936.0	426.0	5654.0
$T_{  }$ [eV]	100.0 (140)	12.0 (30)	0.2	0.2	0.2
$\alpha_1$	0.7 (0.7)	3 (2)	1	1	1
$\alpha_2$	1 (1)	0 (0)	0	0	0
$\Delta$	0 (0)	1 (1)	1	1	1
$v_D/v_{  }$	0.8 (0.5)	3.1 (2.2)	0	0	0

322 ESA averaged over the time interval 08:35:49-08:37:06 UTC where UH waves are observed.  
 323 This figure roughly indicates a loss cone type distribution with energies in the range 150-  
 324 1250 eV and peak phase space density of  $8 \times 10^{-23} \text{ cm}^{-3}(\text{cm/s})^{-3}$  and a density of 20  
 325  $\text{cm}^{-3}$ . Figure 5d shows a model of this distribution function developed in the same man-  
 326 ner as described above for electrons. Table 2 gives the parameters used in equation (1)  
 327 to generate the ion distribution used in WHAMP.

328 Figure 6 shows the dispersion surfaces calculated with the WHAMP code (Rönmark,  
 329 1982; Andres, 1985) for parameters given in Tables 1 and 2. Frequency on the vertical  
 330 axis is normalized by the electron gyrofrequency, and wavevectors are normalized by the  
 331 inverse electron gyroradius. Two surfaces are evident: the UH surface lies predominantly  
 332 near  $1.2f_{ce}$ , with frequency decreasing in the high  $k_{\perp}$  limit and at low  $k_{||}$  where it be-  
 333 comes the Z-mode and is cutoff at the Z-cutoff near  $0.4f_{ce}$ . The whistler-LH surface lies  
 334 at lower frequencies, approaching the lower hybrid frequency at high  $k_{\perp}$  (and small  $k_{||}$ )  
 335 and the plasma frequency at high  $k_{||}$  (and small  $k_{\perp}$ ). Red, orange, and yellow indicate  
 336 regions where positive growth rate occurs exceeding an arbitrary threshold of  $10^{-6}$  (nor-  
 337 malized to  $f_{ce}$ ) in the case of UH waves, and  $10^{-8}$  in the case of LH waves. The LH modes

Table 2: Table of parameters used to generate a model of the observed ion ESA losscone distribution, as well as the background electrons and ions species, used to generate the dispersion surfaces using WHAMP.

WHAMP Parameters	Losscone Distribution	Anisotropic Maxwellian	Background e <sup>-</sup>	Background H <sup>+</sup>	Background O <sup>+</sup>
$n_e$ [cm <sup>-3</sup> ]	35.0	2.75	6080.0	388.25	5654
$T_{  }$ [eV]	400.0	100.0	0.2	0.2	0.2
$\alpha_1$	1.01	2	1	1	1
$\alpha_2$	1	0	0	0	0
$\Delta$	0	1	1	1	1
$v_D/v_{  }$	0.5	2.5	0	0	0

338 can experience growth from the electron and ion distributions separately, represented  
339 by the yellow and orange regions, respectively. These growth rates are exceedingly low,  
340 but as mentioned above spacecraft instruments often do not resolve the unstable distri-  
341 bution because it is quickly reduced by production of the waves. Therefore this calcu-  
342 lation is not intended to model the growth rate accurately for the actual electron and  
343 ion distributions present in the plasma, but instead indicates the frequency and wave-  
344 vector ranges for which wave growth occurs for the model distributions. The growth rate  
345 which generated the observed waves is presumably much larger than that inferred here  
346 from a model based on measured distributions. Electron distributions similar to that used  
347 to construct the model occurred sporadically during the UH wave bursts. Typical mea-  
348 sured electron distributions in and around the cusp on TRICE-2 also had this ring-type  
349 form (see Figure 5a) but with somewhat lower energies. Models based on these lower en-  
350 ergy distributions also yield unstable modes, but at higher  $k_{\perp}$  values.

351 Upper hybrid wave growth occurs at frequencies within 20 kHz of the measured  
352 UH frequency, for modes strongly perpendicular to the magnetic field (top surface in Fig-  
353 ure 6b). The values of  $k_{\perp}$  range from 2.5 to 25 m<sup>-1</sup>. The values of  $k_{||}$  are an order of

354 magnitude smaller. Predominantly perpendicular LH waves also exhibit growth, though  
 355 much weaker than the UH waves for perpendicular wavenumbers of  $0.25\text{-}10\text{ m}^{-1}$ .

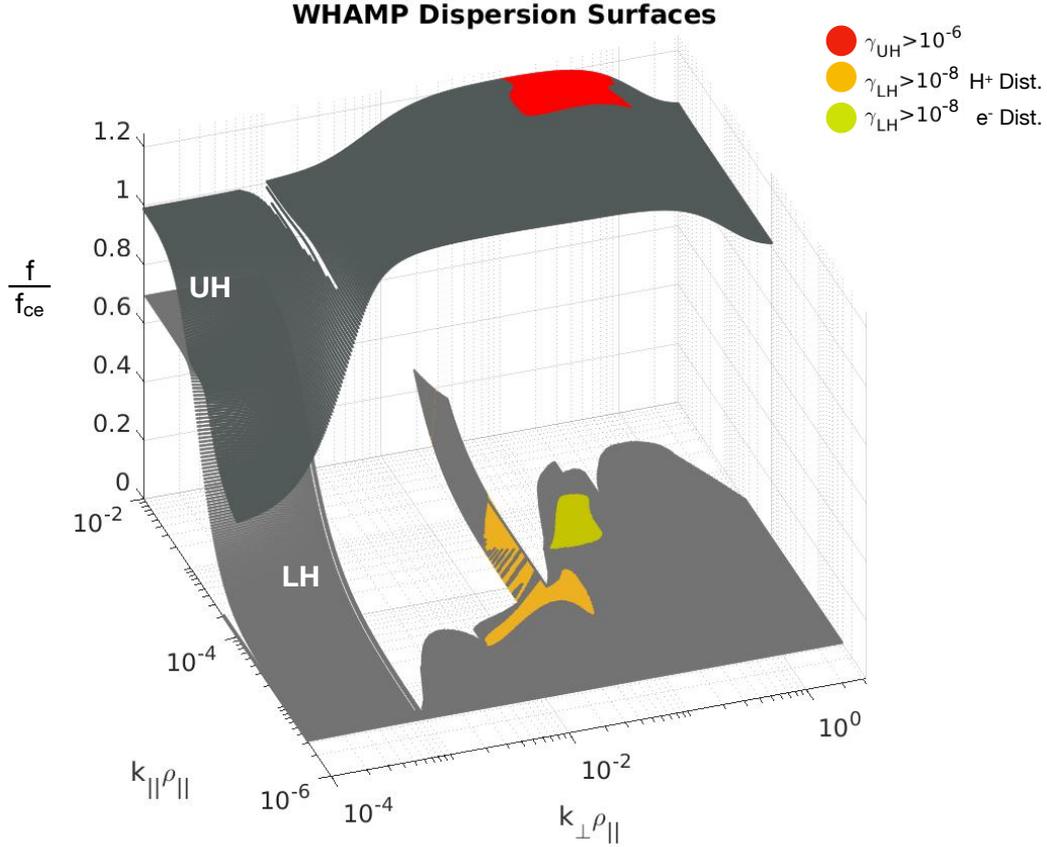


Figure 6: The UH and LH surfaces produced by WHAMP from the input distribution functions defined in Tables 1 and 2. The vertical axis is frequency normalized to the electron gyrofrequency,  $f_{ce}$ , and the perpendicular axes are the wavenumbers multiplied by the electron gyroradius. The highlighted red, orange and yellow regions are modes with growth rates,  $\gamma$ , greater than  $10^{-6}$  for the UH and  $10^{-8}$  for the LH, respectively, normalized to  $f_{ce}$ . The growth rates in the orange region are generated by the ion distribution, but the growth rates in the red and yellow regions are generated by the electron distribution.

356 **4 Kinematics for Wave-Wave Interaction**

357 The kinematics for a three wave non-linear process are determined now for both  
 358 decay, where an initial UH wave decays into a LH wave and another UH wave ( $UH \rightarrow$

359  $UH'+LH$ ), and coalescence, where independent UH and LH waves grow within the same  
 360 volume and combine to form a second UH wave ( $UH+LH \rightarrow UH'$ ). Written together  
 361 as  $UH \rightarrow UH' \pm LH$ , these processes obey conservation of energy and momentum,  
 362 where corresponding conservation conditions are

$$\omega_1 = \omega_2 \pm \omega_{LH} \quad (3)$$

$$\mathbf{k}_1 = \mathbf{k}_2 \pm \mathbf{k}_{LH}, \quad (4)$$

363 where  $\mathbf{k}$  is the wavevector and  $\omega$  the angular frequency. Assuming  $k \approx k_\perp \gg k_\parallel$ , the  
 364 dispersion relation for the UH waves is [Melrose, 1980]

$$\omega^2 = \omega_{UH}^2 + \frac{3k_{UH}^2 V_e^2 \omega_{pe}^2}{(\omega_{UH}^2 - 4\Omega_{ce}^2)} \quad (5)$$

$$\omega_{UH}^2 = \omega_{pe}^2 + \Omega_{ce}^2, \quad (6)$$

365 where the angular upper-hybrid frequency  $\omega_{UH}$  is given by equation (6),  $\omega_{pe}$  is the an-  
 366 gular electron plasma frequency,  $V_e$  is the electron thermal speed, and  $\Omega_{ce}$  is the angu-  
 367 lar electron cyclotron frequency. The dispersion relation for the LH waves is [Melrose,  
 368 1980]

$$\omega^2 = \omega_{LH}^2 \left(1 + \frac{m_i}{m_e} \cos^2(\theta)\right) + \left(3 + \frac{3T_e}{4T_i}\right) k_{LH}^2 V_i^2 \quad (7)$$

$$\omega_{LH}^2 = ((\Omega_{ce}\Omega_{ci})^{-1} + \omega_{pi}^{-2})^{-1} \approx \Omega_{ce}\Omega_{ci}, \quad (8)$$

369 where the lower-hybrid frequency  $\omega_{LH}$  is given by equation (8),  $m_i$  is the oxygen ion mass  
 370 since the background ion composition is  $\sim 93\%$  oxygen,  $m_e$  is the electron mass,  $V_i$  is the  
 371 ion thermal speed,  $\Omega_{ci}$  is the angular ion cyclotron frequency,  $\theta$  is the angle between the  
 372 LH wavevector and the background magnetic field, assumed to be nearly perpendicu-  
 373 lar, and  $T_{i/e}$  are the ion/electron temperatures, assumed to be equal. The term  $\alpha^2 =$   
 374  $1 + \frac{m_i}{m_e} \cos^2(\theta)$  is highly sensitive to the angle of propagation, with values between  $9.9 \geq$   
 375  $\alpha \geq 1$  for angles between  $89^\circ$ - $90^\circ$ . From these assumptions the LH dispersion relation  
 376 becomes

$$\omega^2 \approx \alpha^2 \omega_{LH}^2 + 4k_{LH}^2 V_i^2. \quad (9)$$

377 Substituting the UH and LH dispersion relations (5) and (7), respectively, into (3) leads  
 378 to

$$\omega_{UH} \left( 1 + \frac{3k_1^2 V_e^2 \omega_p^2}{\omega_{UH}^2 (\omega_{UH}^2 - 4\Omega_{ce}^2)} \right)^{1/2} = \omega_{UH} \left( 1 + \frac{3k_2^2 V_e^2 \omega_p^2}{\omega_{UH}^2 (\omega_{UH}^2 - 4\Omega_{ce}^2)} \right)^{1/2} \pm \alpha \omega_{LH} \left( 1 + \frac{4k_{LH}^2 V_i^2}{\alpha^2 \omega_{LH}^2} \right)^{1/2}, \quad (10)$$

379 where the subscripts 1 and 2 denote the initial (UH) and second (UH') wave, respectively.  
 380 Expanding the square root in the small argument limit for the first two terms leads to:

$$\omega_{UH} \left( 1 + \frac{3k_1^2 V_e^2 \omega_p^2}{2\omega_{UH}^2 (\omega_{UH}^2 - 4\Omega_{ce}^2)} \right) = \omega_{UH} \left( 1 + \frac{3k_2^2 V_e^2 \omega_p^2}{2\omega_{UH}^2 (\omega_{UH}^2 - 4\Omega_{ce}^2)} \right) \pm \alpha \omega_{LH} \left( 1 + \frac{4k_{LH}^2 V_i^2}{\alpha^2 \omega_{LH}^2} \right)^{1/2}. \quad (11)$$

381 For the plasma environment presented here,  $\omega_{LH} \ll \omega_{UH}$ , and therefore the third term  
 382 is much less than either of the first two, implying  $k_1 \approx k_2$ . For a more qualitative look  
 383 at the wavevectors, equation (11) can be rearranged in the form

$$k_1^2 = k_2^2 \pm \frac{2\omega_{UH}}{3V_e^2 \omega_p^2} (\alpha^2 \omega_{LH}^2 + 4k_{LH}^2 V_i^2)^{1/2} (\omega_{UH}^2 - 4\Omega_{ce}^2). \quad (12)$$

384 For the given plasma parameters  $\omega_{UH}^2 - 4\Omega_{ce}^2 < 0$ , and for the decay process (+  
 385 sign), the wavevector  $k_2 > k_1$ . That is, the decay  $UH \rightarrow UH' + LH$  must proceed  
 386 from UH waves with smaller wavenumbers  $k_1$  to UH waves with larger wavenumbers  $k_2$   
 387 even as the wave frequency  $\omega_1$  exceeds  $\omega_2$  from equation (3). This is the definition of an  
 388 inverse cascade. Since  $k_1 < k_2$  but  $\mathbf{k}_1 = \mathbf{k}_2 + \mathbf{k}_{LH}$  the LH wave must have a wavevec-  
 389 tor component anti-parallel to  $\mathbf{k}_1$ . For the coalescence process (- sign), the wavevector  
 390  $k_2 < k_1$ , which, leads to the LH wavevector having a component anti-parallel to  $\mathbf{k}_1$ . Fig-  
 391 ure 7 illustrates these two conditions.

392 A semi-qualitative analysis of the constraints on  $k_{LH}$  derived from the approximated  
 393 LH dispersion equation (9) where we assume the LH waves are within 10% of the LH  
 394 frequency, and  $\alpha^2 = 1$ , implies

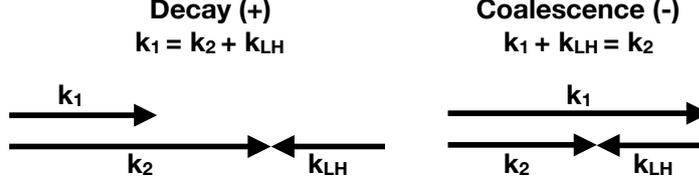


Figure 7: Diagrams of three wavevectors resulting from either decay or coalescence showing the relative size and direction of each wavevector.

$$k_{LH}^2 \approx \frac{|1.1 - 1|\omega_{LH}^2}{4V_i^2} \approx 10 \text{ m}^{-2} \quad (13)$$

395 For  $\omega_{LH} \approx 2\pi \times 5 \text{ kHz}$ , and  $V_i^2 = 2.4 \times 10^6 \text{ m}^2/\text{s}^2$ , ( $k_B T_i = 0.2 \text{ eV}$ , oxygen ions pre-  
 396 dominate), this relation yields  $\rho_{\parallel} k_{LH} \approx 0.14$ , where  $\rho_{\parallel}$  is the parallel electron gyro-  
 397 radius defined in WHAMP as  $\rho_{\parallel} = \sqrt{(2T_e/m_e)}/\Omega_{ce} \approx 0.04 \text{ m}$ . Similarly, a constraint  
 398 on the UH wavevectors can be obtained using equation (4), assuming the UH wave is  
 399 within 1% of the UH frequency,

$$k_1^2 = (0.99 - 1)\omega_{UH}^2 \frac{(\omega_{UH}^2 - 4\Omega_{ce}^2)}{3V_e^2\omega_p^2} \approx 14 \text{ m}^{-2} \quad (14)$$

400 where  $V_e^2 = 7 \times 10^{10} \text{ m}^2/\text{s}^2$  ( $k_B T_e = 0.2 \text{ eV}$ ),  $\omega_{LH} \approx 2\pi \times 5 \text{ kHz}$ ,  $\omega_{UH} \approx 2\pi \times 1220$   
 401  $\text{kHz}$ ,  $\Omega_{ce} \approx 2\pi \times 1000 \text{ kHz}$ ,  $\omega_p \approx 2\pi \times 700 \text{ kHz}$ . This yields  $\rho_{\parallel} k_1 \approx 0.2$ . Figure 7 shows  
 402 the 2-D diagram of the decay and coalescence processes, showing the anti-parallel na-  
 403 ture of the LH wavevector and primary UH wavevector  $\mathbf{k}_1$ , and how these wavevectors  
 404 can be of the same order.

## 405 5 Decay versus Coalescence

406 These constraints on the wavevectors for the UH and LH waves ( $\rho_{\parallel} k_{LH} \propto 10^{-1}$   
 407 and  $\rho_{\parallel} k_1 \propto 10^{-1} \lesssim \rho_{\parallel} k_2$ ) are now compared to the dispersion surfaces. Figure 8 re-  
 408 produces the dispersion surfaces generated by WHAMP; as in Figure 6 highlighted ar-  
 409 eas show ranges of  $\mathbf{k}$ -space for which calculated growth rates exceed thresholds. Super-  
 410 posed on the plot are four sets of possible triplets of wave vectors that meet the crite-  
 411 rion determined from kinematics (equations (3)–(4)). The wavevector for the initial UH  
 412 wave,  $\mathbf{k}_1$ , is constrained to lie within the area of positive growth rate, and have a wave

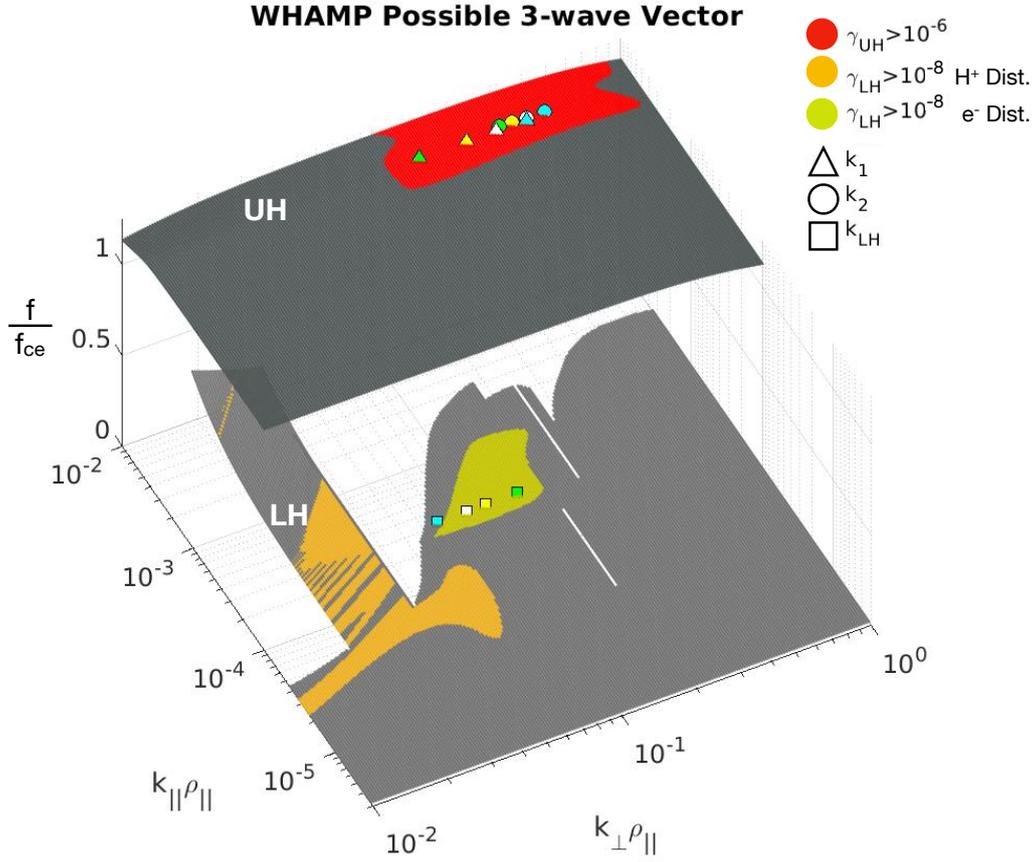


Figure 8: UH and LH dispersion surfaces focused on the areas of growth, where the plateaus roughly equal the UH and LH frequencies. On the UH surfaces, the four differently colored triangle points represent four possible initial UH wave-vectors. The four circles represent the corresponding second UH wave with a frequency difference of 5 kHz, matching in color. The LH surface shows the calculated LH wavevectors from equations (3)–(4) as squares matching in color.

413 frequency near the UH frequency. The wavevector for the secondary UH' wave,  $\mathbf{k}_2$ , must  
 414 be close to the wavevector for the initial wave and correspond to a difference in frequency  
 415 of  $\sim 5$  kHz from the initial UH frequency. For decay,  $k_2 > k_1$  and  $\omega_2 < \omega_1$ , and for  
 416 coalescence,  $k_2 < k_1$  and  $\omega_2 > \omega_1$ . Both constraints are satisfied for the areas that  
 417 exhibit growth on the UH surface in Figures 6 and 8, as the topology of the UH surface  
 418 slopes down towards lower frequencies for higher wavenumbers.

419 The wavenumbers for the LH waves must fall on the portion of the surface in Fig-  
 420 ure 8 where their frequencies closely match the measured frequency; however, whether  
 421 the wavevectors lie within areas of growth could support either decay or coalescence. If  
 422 the LH waves lie within areas of growth, then the LH waves can be generated indepen-  
 423 dent of the UH waves, and, if they occur within the same spatial volume as the UH waves,  
 424 then the two waves could interact and spawn secondary UH waves with frequencies equal  
 425 to the difference of the UH and LH wave frequencies. Of course, under these conditions,  
 426 decay is also possible; in fact, growth or near growth conditions for the LH waves makes  
 427 the decay process more efficient in producing the LH waves, since the LH wave-level is  
 428 then non-thermal and this increases the nonlinear rate (see below). Otherwise, if this  
 429 condition does not hold, then coalescence is unlikely and the waves would likely be gen-  
 430 erated by the decay of the initial UH wave. The WHAMP analysis using the particle dis-  
 431 tributions show that some of the chosen triplets of UH, UH' and LH waves all lie in ar-  
 432 eas of growth and some do not. This suggests that both decay and coalescence are pos-  
 433 sible.

434 Another analysis of the wave modes which may suggest which process is occurring  
 435 involves examining the electric energy densities of the two waves and comparing them  
 436 to the thermal energy density. An estimate of the electric energy densities  $\epsilon_0 E_{rms}^2/2$  for  
 437 the UH waves, using the average of the electric energy density for the 34 HF spectra used,  
 438 is approximately  $2 \times 10^{-13}$  J/m<sup>3</sup>. Similarly, the estimated electric energy density for  
 439 the LH waves from the VLF spectra is  $2 \times 10^{-16}$  J/m<sup>3</sup>, 1000 times smaller than the UH  
 440 waves. The thermal energy density of our system is estimated using  $nk_B T$ , where  $n$  is  
 441 the density of the system  $\sim 6080$  cm<sup>-3</sup>, and  $k_B T$  is the temperature of the background  
 442 plasma, estimated to be  $\sim 0.2$  eV. This results in a thermal energy density on the order  
 443 of  $10^{-10}$  J/m<sup>-3</sup>. The ratio of the electric to the thermal energy densities are on the or-  
 444 der of  $10^{-3}$  for the UH waves and  $10^{-6}$  for the LH waves. These are consistent with the  
 445 UH waves being driven to non-thermal, and probably non-linear levels, presumably by

446 a linear instability. The same is true for the LH waves but less so because their ratio is  
 447 smaller by a factor of 1000.

448 Comparing the different occupation numbers for the two waves gives a more quan-  
 449 titative understanding whether the LH waves are independent of the UH waves or a prod-  
 450 uct of them. Melrose [1980] and others (e.g. Cairns [1987, 1988]) defined the relation be-  
 451 tween the occupation number and the measured wave electric fields by

$$\frac{1}{2}\epsilon_0 E^2 = \int \frac{d^3\mathbf{k}}{(2\pi)^3} R_i(\mathbf{k}) \hbar\omega_i(\mathbf{k}) N_i(\mathbf{k}) \quad (15)$$

452 where  $R_i(\mathbf{k})$  is the ratio of electric to total energy in the mode  $i$ ,  $\omega_i(\mathbf{k})$  is the frequency  
 453 of the mode, and  $N_i(\mathbf{k})$  is the plasmon occupation number (related to the wave energy  
 454 density at  $\mathbf{k}$  for the modes  $i = \text{UH, UH}', \text{ and LH.}$ ) The WHAMP dispersion solver shows  
 455 that the ratio of electric energy density to total energy density is approximately  $R_i(\mathbf{k}) =$   
 456  $1/2$  for both the UH and LH waves. If we assume the angular distribution for the two  
 457 sets of waves are symmetric with respect to the magnetic field, then the integral can be  
 458 written

$$\mu_{Ei} = \frac{1}{2}\epsilon_0 E^2 = \int \int_{k_{min}}^{k_{max}} \frac{2\pi k_{\perp} dk_{\perp} dk_{\parallel}}{(2\pi)^3} \frac{\hbar\omega_i(\mathbf{k})}{2} N_i(\mathbf{k}) \quad (16)$$

459 Since we know the frequencies for each wavevector from the dispersion surfaces, and  
 460 they are roughly constant for the areas of interest, we can assume  $\omega_{UH}(k) \approx 2\pi \times 1200$   
 461 kHz for the UH waves, and  $\omega_{LH}(k) \approx 2\pi \times 5$  kHz for the LH waves. From this we can  
 462 evaluate the ratio of the occupation numbers, assumed to be constant over the relevant  
 463 wavevector domains, as

$$\frac{N_{UH}}{N_{LH}} = \frac{\mu_{E,uh}\omega_{lh} \left[ \int \int k_{\perp} dk_{\perp} dk_{\parallel} \right]_{lh}}{\mu_{E,lh}\omega_{uh} \left[ \int \int k_{\perp} dk_{\perp} dk_{\parallel} \right]_{uh}} = 4.17 \times \frac{\left[ \int \int k_{\perp} dk_{\perp} dk_{\parallel} \right]_{lh}}{\left[ \int \int k_{\perp} dk_{\perp} dk_{\parallel} \right]_{uh}} \quad (17)$$

464 If we assume the integrals are over the same  $\mathbf{k}$ -space volumes, which is reasonable  
 465 since the values of the wavevectors of the two waves are similar (see equations (14) and  
 466 (13)), the ratio is approximately 4 in equation (17) using the observed energy densities  
 467 of UH and LH waves. However, the result is highly sensitive to the estimated ranges of  
 468 wavevectors for each mode, which are poorly known. If the integrals are over different  
 469 ranges of  $\mathbf{k}$ -space for each wave, in particular if the LH wave occupies smaller wavevec-

470 tors as suggested by where growth rates occur and our triplet wavevectors lie (see Fig-  
471 ure 8), then the ratio of the occupation numbers may be less than 1.

472 By analogy with results for Langmuir waves and ion sound waves subject to de-  
473 cay and coalescence processes [e.g. Melrose 1980; Cairns 1987, 1988], the rate of change  
474 for the occupation number,  $N_{UH'}$ , for UH' waves in the decay and coalescence process  
475 obeys the approximate equations

$$\frac{dN_{UH'}}{dt} = \alpha - \Gamma_{UH'}N_{UH'} + \beta [N_{LH}(N_{UH} - N_{UH'}) \pm N_{UH}N_{UH'}]. \quad (18)$$

476 Here  $\alpha$  is the rate for spontaneous emission,  $\Gamma_{UH'}$  the linear damping rate of UH' waves,  
477 and  $\beta$  the appropriately averaged nonlinear rate coefficient.

478 Ignoring the spontaneous and linear terms, the nonlinear rate for UH' waves is al-  
479 ways driven positively by the term  $N_{UH}N_{LH}$ . Accordingly, non-thermal levels of LH waves,  
480 corresponding to values of  $N_{LH}$  larger than the thermal level, will favor operation of both  
481 the decay and coalescence processes in (18), provided that  $N_{UH} > N_{UH'}$ . The final term  
482 in the brackets in (18) ( $\pm N_{UH}N_{UH'}$ ) leads to exponential growth of UH' waves for the  
483 decay process (+) but exponential damping for the coalescence process (-). Ignoring the  
484 spontaneous emission and linear terms in equation (18), the decay should saturate ( $dN_{UH'}/dt$   
485 = 0) when

$$N_{LH}(N_{UH} - N_{UH'}) + N_{UH}N_{UH'} \simeq 0 \quad (19)$$

$$\text{or } N_{UH} \simeq \frac{N_{LH}N_{UH'}}{N_{LH} + N_{UH'}} \quad (20)$$

486 Operation of the decay increases  $N_{LH}$  and  $N_{UH'}$  by +1 for each UH plasmon lost from  
487  $N_{UH}$ . Thus, if the decay proceeds towards saturation, i.e.  $N_{UH}$  proceeds from a large  
488 value towards a smaller value and  $N_{UH'}$  and  $N_{LH}$  become much larger than their start-  
489 ing levels, then  $N_{LH} \simeq N_{UH'}$  and equation (20) yields  $N_{UH} \simeq N_{UH'}/2 \simeq N_{LH}/2$ .  
490 Thus, semi-quantitatively, near saturation the decay has

$$N_{UH} \simeq N_{UH'} \simeq N_{LH}. \quad (21)$$

491 On the other hand, for the coalescence process saturation occurs when

$$N_{LH}(N_{UH} - N_{UH'}) - N_{UH}N_{UH'} \simeq 0 \quad (22)$$

$$\text{or } N_{UH'} \simeq \frac{N_{LH}N_{UH}}{N_{LH} + N_{UH}}. \quad (23)$$

492 Even with  $N_{LH}$  and  $N_{UH}$  decreasing by +1 for each UH' plasmon produced, the primary  
 493 constraint is that the process saturates when

$$N_{UH'} \simeq \min(N_{LH}, N_{UH}). \quad (24)$$

494 In this case the nonlinear process is unlikely to significantly affect the levels of LH and  
 495 UH waves produced by their separate instabilities.

496 The results from equation (17), assuming the integrals are over similar  $\mathbf{k}$ -space, show  
 497 that  $N_{UH} \simeq N_{LH}$  to within better than a factor of 10. The same is true for  $N_{UH'} \simeq$   
 498  $N_{LH}$ , because the UH' energy densities are on the same order as the UH energy densi-  
 499 ties based on the observed wave levels in Figures 2 and 3. The simplest interpretation  
 500 based on equations (21) and (24) is that the decay is active and is proceeding close to  
 501 saturation. This explains semi-qualitatively the observed ratio of the UH and LH wave  
 502 energy densities whether or not the wavenumbers are similar in magnitude or different  
 503 in equation (17). This is also qualitatively consistent with multiple generations of de-  
 504 cay proceeding to produce the multiple bands ( $> 2$ ) of UH waves observed in Figures  
 505 2 and 3. An analogous situation is discussed by Cairns [1987, 1988] for 3<sup>rd</sup> and higher  
 506 harmonics of  $f_{pe}$  radiation. If an interpretation involving coalescence is desired, then one  
 507 must explain why the independent instabilities producing the UH and LH waves both  
 508 independently result in very similar plasmon occupation numbers despite the results of  
 509 equation (24) (e.g.  $\min(N_{LH}, N_{UH}) \simeq N_{UH} \simeq N_{LH}$ ). This is a priori very unlikely.  
 510 It is true, though, that if this situation occurs then multiple generations of the coales-  
 511 cence might occur.

## 512 **6 Conclusion**

513 The TRICE-2 High-Flyer HF wave receiver observed several intervals of modulated  
 514 UH waves with frequency spacings of  $\sim 5$  kHz. Coincident with these waves are distinct  
 515 peaks in the VLF power spectrogram near the LH frequency, at  $\sim 5$  kHz, below the broad-  
 516 band whistler mode waves. Analysis of the UH spacing variations compared to the LH

517 peak location using a linear fitting model that took into account the errors in both sets  
 518 of data showed a clear positive correlation between the two; furthermore, the best fit slope,  
 519 for a fixed intercept of 0, was close to 1.0 as expected for wave-wave interaction. This  
 520 result showed that these modes are likely interacting with one another. Using models  
 521 of the electron and ion distribution functions based on measured distribution functions,  
 522 a dispersion solver showed that the UH modes experience weak growth and the LH waves  
 523 weaker or no growth. In both cases the growth rate may be underestimated. The kine-  
 524 matics of a three wave process for the UH and LH modes leads to estimates and con-  
 525 straints on the wave-numbers:  $k_1 \gtrsim k_2 > k_{LH}$  for coalescence, and  $k_1 \lesssim k_2 > k_{LH}$  for  
 526 decay. These values were compared to the dispersion surfaces, and agreed with areas of  
 527 growth. Another comparison was done between the ratio of the UH and LH energy den-  
 528 sities to the thermal energy density, which are on the order of  $10^{-3}$  and  $10^{-6}$ , respec-  
 529 tively. This comparison implies that waves are driven to non-linear levels by an insta-  
 530 bility, more so for the UH than LH. Comparing the occupation numbers of the modes,  
 531 a more rigorous test of the process that is occurring, gives a result sensitive to the un-  
 532 certain range of wavevectors for the different modes. However, if the  $\mathbf{k}$ -range is similar  
 533 for the two modes, which is implied by the areas of growth on the dispersion surfaces  
 534 and the results from equations (13) and (14), then the occupation numbers are roughly  
 535 equal. This suggests the decay process is observed and proceeding towards saturation.  
 536 These results show that the observed modulated UH waves and peak LH waves seen in  
 537 the power spectrum may plausibly result from a wave-wave interaction process.

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545 [https://phi.physics.uiowa.edu/science/tau/data0/rocket/SCIENCE/TRICEII\\_Mission/](https://phi.physics.uiowa.edu/science/tau/data0/rocket/SCIENCE/TRICEII_Mission/)

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