

Seasonal Prediction of Winter Haze Days in the North-Central North China Plain

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Abstract. Recently, the winter (December–February) haze pollution over the North-Central North China Plain (NCP) has become severe. By treating the year-to-year increment as the predictand, two new statistical schemes were established using the multiple linear regression (MLR) and the generalized additive model (GAM). By analyzing the associated increment of atmospheric circulation, seven leading predictors were selected to predict the upcoming winter haze days over the NCP (WHD_{NCP}). After cross validation, the root mean square error and explained variance of the MLR (GAM) prediction model was 3.39 (3.38) and 53% (54%), respectively. For the final predicted WHD_{NCP}, both of these models could capture the interannual and interdecadal trends and the extremums successfully. Independent prediction tests for 2014 and 2015 also confirmed the good predictive skill of the new schemes. The predicted bias of the MLR (GAM) prediction model in 2014 and 2015 was 0.09 (−0.07) and −3.33 (−1.01), respectively. Compared to the MLR model, the GAM model had a higher predictive skill in reproducing the rapid and continuous increase of WHD_{NCP} after 2010.

1. Introduction

In recent years, the North-Central North China Plain (NCP; 34–43°N, 114–120°E) has suffered from increasingly severe winter (December–February) haze pollution (Ding et al. 2014), particularly after persistent heavy fog and haze in January 2013 (Zhang et al. 2014; Zhao et al. 2014). After 2000, the combined effects of a rapid increase in total energy consumption

and the influence of climate change intensified the haze pollution in central North China (Wang et al. 2016). In conditions of
 25 heavy and slowly varying pollutant emissions, the fine particles in the atmosphere reach their saturation levels easily, and the
 climate conditions become another critical contributors of haze. Some new climatic studies should be helpful for diagnosing
 seasonal predictors of winter haze days over the NCP (WHD_{NCP}). The East Asian winter monsoon (EAWM) has a
 significantly negative relationship with WHD_{NCP} (Yin et al. 2015a; Yin et al. 2015b; Li et al. 2015). By weakening EAWM
 circulations, negative Sea Surface Temperature (SST) anomalies over the subtropical western Pacific could significantly
 30 intensify WHD_{NCP} (Yin et al. 2016). Furthermore, the decline of preceding autumn (September–November) Arctic Sea Ice
 (ASI) has led to favorable environments for haze with high static stability and greatly intensified haze pollution in eastern
 China (Wang et al. 2015). Although recent studies on the changes in WHD_{NCP} and their associated mechanisms are new and
 still insufficient, they support the possibility of seasonal prediction.

The climate variables in East Asia showed obvious characteristics of tropospheric biennial oscillation, based on which,
 35 a new interannual increment approach was applied for short-term climate prediction (Wang et al. 2000; Wang et al. 2012).
 This new approach treated the year-to-year increment of a variable, i.e., the difference between the current and previous year
 (DY), as the predictand. Because the DY approach utilized the observed information from the previous year and the features
 of biennial oscillation, the interannual variation and interdecadal trend could be captured well. In addition, the signals (i.e.,
 variance) of the predictors and predictand were both amplified (Huang et al. 2014) and, thus, of benefit to improve the
 40 prediction skill. If the predictive objects (Y), e.g., haze days, were cross-influenced by socio-economic factors and climatic
 conditions, the predictand could be represented by $Y = YS + YC$, where YS and YC were the slowly varying socio-economic
 and climatic components, respectively.

$$DY = Y_t - Y_{t-1} = (YS_t + YC_t) - (YS_{t-1} + YC_{t-1}) = (YS_t - YS_{t-1}) + (YC_t - YC_{t-1})$$

where the subscripts t and $t-1$ indicated the current and previous years, respectively.

Commonly, the difference in pollutant emissions between current and previous year was very small, resulting
 45 in $(YS_t - YS_{t-1}) \approx 0$, so $DY \approx (YC_t - YC_{t-1})$. To some extent, the WHD_{NCP} DY reflected the fluctuations caused by
 climate variability. After adding the predicted WHD_{NCP} DY to the observed WHD_{NCP} of the previous year, the interdecadal
 and socio-economic components were contained in the final prediction. In prior studies, the DY approach has been used to

explore the prediction of summer rainfall in China (Fan et al. 2008), heavy winter snow activity in Northeast China (Fan et al. 2013), summer Asian-Pacific Oscillation (Huang et al. 2014) and winter North Atlantic Oscillation (Tian et al. 2015).
50 Furthermore, some variables cross-influenced by socio-economic and climatic factors were predicted successfully using the DY approach, e.g., rice production in Northeast China (Zhou et al. 2014) and the discoloration day for *Cotinus coggygia* leaves in Beijing (Yin et al. 2014). Considering the seriously negative impact of winter haze and the substantial need to predict WHD_{NCP}, we made it the goal of this study to apply the DY approach to the seasonal prediction of WHD_{NCP}.

The data and methods employed were introduced in section 2. Section 3 described the predictors and associated
55 circulations. We applied the DY approach to build the prediction models for WHD_{NCP} in section 4. In this section, the statistical models were built based on multiple linear regression (MLR) and generalized additive model (GAM). Then, leave-one-out cross-validation and independent tests were performed to assess the statistical schemes of WHD_{NCP} prediction.

2. Datasets and methods

Monthly atmospheric data, such as geopotential height and surface air temperature (SAT), were derived from the
60 National Centers for Environmental Prediction/National Center for Atmospheric Research (NCEP/NCAR) global reanalysis dataset with a horizontal resolution of $2.5^{\circ} \times 2.5^{\circ}$ from 1979 to 2016 (Kalnay et al. 1996). The monthly mean Extended Reconstructed SST datasets with a horizontal resolution of $2^{\circ} \times 2^{\circ}$ from 1979 to 2016 were obtained from the National Oceanic and Atmospheric Administration (NOAA) (Smith et al. 2008). ASI extent was calculated from the ASI concentration data, downloaded from the Hadley Center with a horizontal resolution of $1^{\circ} \times 1^{\circ}$ from 1979 to 2016 (Rayner et al. 2003). The
65 monthly gridded soil moisture data from 1979 to 2016 were downloaded from NOAA's Climate Prediction Center, with a horizontal resolution of $0.5^{\circ} \times 0.5^{\circ}$ (Huug et al. 2003). The monthly Antarctic Oscillation (AAO) indices from 1979 to 2016 were also obtained from the Climate Prediction Center (Mo et al. 2000).

China ground observations from 39 NCP stations, collected by the National Meteorological Information Center of
China 4 times per day from 1979 to 2016, were used to reconstruct the climatic WHD data (Yin et al. 2016). Here, haze was
70 defined as visibility less than a certain threshold and relative humidity less than 90%. After excluding other weather

phenomena affecting visibility, a day with haze at any time was defined as a haze day. Site WHD data were converted into grids after Cressman interpolation (Cressman, 1959), and then the WHD_{NCP} was computed as the mean value of the gridded data.

In this study, the statistical models were built based on MLR and GAM methods. The MLR approach, a model-driven method, was ultimately expressed as a linear combination of K predictors (x_i) that could generate the least error for prediction of \hat{y} (Wilks 2011). With coefficients β_i , intercept β_0 and residual ε , the MLR formula could be described as follows:

$$\hat{y} = \beta_0 + \sum_{i=1}^K \beta_i x_i + \varepsilon \quad (1)$$

The GAM approach was more advanced and was developed from MLR and the generalized linear model (Hastie et al. 1990). This method was particularly effective at handling the complex non-linear and non-monotonous relationships between the predictand and the predictors, whose expressions were replaced by unspecified smooth functions (s). Similar to the generalized linear model, the dependent variable in GAM could have different probability distributions, such as Gaussian, Poisson, and Binomial, any of which could be transferred by the link function (g). The GAM was data-driven rather than model-driven. The resulting fitted values did not come from an apriori model that was adopted by MLR and generalized linear model. The rationale behind fitting a nonparametric model was that the structure of data should be examined first to choose an appropriate smooth function for each predictor; i.e., the GAM allowed the data to determine the shape of the smooth function (Yee et al. 1991). The GAM could be written in the form:

$$g(\hat{y}) = \beta_0 + \sum_{i=1}^K \beta_i s(x_i) + \varepsilon \quad (2)$$

The normalized datasets from 1979 to 2013 were trained as the basic samples to fit the models, and those from 2014 to 2015 were treated as test data for independent prediction. Thereafter, the root mean standard error (RMSE), mean absolute error (MAE) and explained variance were calculated for evaluation by simple fitting and leave-one-out cross validation.

90 3. The predictors and associated circulations

To choose the DY predictors, the correlated DY atmospheric circulations were identified, as shown in Figure 1. The positive phase of the East Atlantic/West Russia (EA/WR) and West Pacific (WP; Barnston et al. 1987) patterns and the negative phase of the Eurasia (EU; Wallace et al. 1981) pattern were obvious, and we took the anti-cyclone circulation over North China as an intermediary that led to a more stable atmosphere to analyze the associated physical process. The positive anomaly over the NCP could confine the particles within a thinner boundary layer by suppressing vertical movement and, together with the cyclone; they could induce an easterly to weaken the East Asian Jet Stream (EAJS), producing weaker cold air. Meanwhile, the water vapor transportation was also enhanced by anomalous southeaster in the lower troposphere (Figure omitted), creating favorable conditions for more WHD_{NCP} than in the previous year.

The pivotal local anti-cyclone over the NCP was the most important contributor; we therefore speculated that pre-autumn SAT DY around the NCP should be effective to impact WHD_{NCP} DY. There were significantly negative correlations between WHD_{NCP} DY and pre-autumn SAT DY from the Japan Sea to the Stanovoy Range (35–65°N, 130–140°E), the area mean of which was selected as predictor x_1 (Figure 2). The correlation coefficient (CC) between WHD_{NCP} DY and predictor x_1 was -0.47 , exceeding the 99% confidence level. The features of negative EU and positive WP pattern could be identified clearly and the anomalous cyclone over South China and South China Sea was significant in the circulations associated with predictor x_1 ($\times -1$) (Figure 3). Although the associated land-air interaction, especially in the DY field, was complicate and still unclear, according to the analysis of Figure 1, the horizontal and vertical diffusion of pollutant particles would be restricted efficiently.

The pre-autumn SST anomalies and their associated winter SST of the Pacific could influence WHD_{NCP} significantly via the air-sea interaction (Yin et al. 2016). Figure 4 shows the CC between WHD_{NCP} DY and pre-autumn Pacific SST DY. The most significant CC distributed around the Alaska Gulf (36–56°N, 130–170°W), and the area-averaged SST DY here was defined as predictor x_2 , whose CC with WHD_{NCP} DY was 0.47 , above the 99% confidence level. Chen et al. (Chen et al. 2015) found that the severe winter haze events in the North China were closely related with the weaker and northward EAJS. The positive SST DY around the Alaska Gulf could induce obviously anomalous cyclone over eastern China and the adjacent

ocean, and the stimulated easterly weakened the core of EAJS. Furthermore, there was significantly anomalous southerly at
115 the high latitude that restricted the cold activities from their source region and intensified the haze pollution over NCP
(Figure 5).

Prior studies have documented that the triple SST pattern was a dominant mode of the northern Atlantic SST in autumn
(Czaja et al. 1999). When the pre-autumn SST anomalies were distributed in a “+—+” pattern from south to north, the
subsequent EAWM was stronger, and the surface temperature of North China was lower (Shi 2009). Xiao et al (Xiao et al.
120 2015) proved the SST anomalies over the North Atlantic from summer to the following winter exhibit a significant
relationship with winter haze days on both decadal and interannual timescale. Similarly, the CC between WHD_{NCP} DY and
pre-autumn SST DY of the Atlantic was distributed in a “+—+” pattern (Figure 6). The area-averaged SST DY of the northern
center was defined as predictor x_3 , whose CC with WHD_{NCP} DY was -0.50 , passing the 99% confidence test. The most
obvious DY atmospheric circulations related with predictor x_3 ($\times -1$) were the positive WP pattern, whose south center
125 linked with a subtropical high (Figure 7). The continental high and marine low was both weakened by the anomalous
geopotential height form the lower to middle layer that led to weaker EAWM and weaker cold air. The pressure gradient over
the east coast of China also resulted in significant southerly anomalies, indicating smaller surface wind and more moisture
and resulting in more WHD_{NCP} .

ASI decreased dramatically with significant variance and was a significant contributor influencing WHD in eastern
130 China (Wang et al. 2015; Wang et al. 2016). The CC between pre-autumn ASI DY and WHD_{NCP} DY was calculated (Figure 8)
and was significantly positive around Beaufort Sea ($73-78^{\circ}N$, $130-165^{\circ}W$). The area-averaged ASI extent DY of Beaufort
Sea was selected as the fourth predictor (x_4), and its CC with WHD_{NCP} DY was 0.37 , above a 95% confidence level. A
positive center of geopotential height at 500 hPa was located over the Central Siberian and Mongolia Plateau, and negative
centers were distributed zonally from southern China to the subtropical Pacific (Figure 9). Thus, the EAJS was weakened by
135 the induced easterly and shifted northward that illustrated less cold activities over NCP (Yang et al. 2002) and generated
more haze days.

Following SST, the soil moisture was another important factor for seasonal prediction (Guo et al. 2007). The WHD_{NCP}
was closely correlated with the moisture conditions due to the hygroscopicity of the atmospheric particles (Yin et al. 2015a).

Thus, the questions with respect to soil moisture were whether pre-summer or autumn soil moisture would be effective for seasonal prediction of WHD_{NCP} DY. The area-averaged pre-autumn soil moisture DY of the Bohai rim (35–42°N, 117–127°E), defined as predictor x_5 , showed a significantly negative correlation with WHD_{NCP} DY, i.e., the CC was -0.59 , exceeding a 99% confidence test (Figure 10). The CC between predictor x_5 and geopotential height at 500 hPa was distributed in a similar way as in Figure 1. The positive EA/WR and WP phases and the negative EU phase was obvious and led to more WHD_{NCP} than in the previous year (Figure 11). Being specific to local circulations, the cyclone over South China and the anti-cyclone over NCP and West Pacific stimulated significant southeaster between them (Figure omitted) that transported more moisture but decelerated the surface wind in the NCP. As shown in Figure 12, the pre-summer soil moisture DY in the east of Mongolia (48–52°N, 115–125°E) also had a close relationship with WHD_{NCP} and with WHD_{NCP} DY. The area-averaged soil moisture DY in the east of Mongolia was defined as predictor x_6 , whose CC with WHD_{NCP} DY was 0.41, above a 95% confidence level. The negative EU pattern could be recognized from the associated atmospheric circulation with predictor x_6 (Figure 13). The anomalous geopotential height was distributed zonally at high latitude indicating that the meridional circulations that transported cold air were weak. The positive high over NCP could confine the vertical motion and the vertical diffusion of atmospheric particles and intensify the haze pollution over the NCP.

Recently, some studies documented that Antarctic Oscillation (AAO) could affect the East Asian climate through cross-equatorial flow, e.g., the Somali jet (Fan et al. 2004; Fan et al. 2006; Fan et al. 2007a; Fan et al. 2007b). After the late-1990s, global sea level pressure and geopotential height at 300 hPa in boreal January were characterized by the concurrence of the Aleutian low and the negative phase of the AAO (Li et al. 2014). We investigated the relationship between WHD_{NCP} DY and geopotential height at 850 hPa in the Southern Hemisphere and found that the distribution was remarkably similar to that of the negative phase of AAO (Figure 14). Furthermore, the CC between the September–October AAO DY and WHD_{NCP} DY was -0.54 , exceeding a 99% confidence test. As shown in Figure 15, the positive phases of the EA/WR and WP patterns were closely correlated with the negative phase of AAO and were responsible for more WHD_{NCP} than in the previous year. The anomalous anti-cyclone over NCP and adjacent ocean not only led to stable atmosphere but also resulted in small wind and high humidity. Hence, the September–October mean AAO index was selected as the last predictor (x_7) to forecast the interannual increment of WHD_{NCP} .

4. The prediction models and validations

165 In total, seven DY predictors ($x_1, x_2, \dots, \text{and } x_7$) were chosen to build the seasonal prediction model (SPM) for WHD_{NCP} DY (Table 2). Among the predictors were 21 types of pair combinations, of which only 5 pairs presented significant linear correlation. Thus, the multicollinearity would not be a problem when modeling with the MLR approach. Although the linear correlation between the predictand and each predictor was significant, the non-linear interaction would also affect the WHD_{NCP} and should be taken into account. In this section, seasonal prediction models were established using MLR
170 (SPM_{MLR}) and GAM (SPM_{GAM}) and validated in detail.

The WHD_{NCP} DY showed obvious features of biennial oscillation (Figure 16), illustrating the DY approach was suitable for its prediction. The SPM_{MLR} of WHD_{NCP} DY was as follows: $\text{DY} \times 10 = -2.774x_1 + 2.582x_2 - 1.631x_3 + 2.528x_4 - 2.229x_5 + 2.555x_6 - 1.812x_7$. After leave-one-out cross validation, the RMSE_{CV} of SPM_{MLR} was 3.39 days, and the CC between fitted and observed WHD_{NCP} DY was 0.73, accounting for 53% of the total variance (Table 2). The percentage of
175 same sign (i.e., same sign means the mathematical sign of the fitted and observed WHD_{NCP} DY was the same) was 79.4%. The SPM_{MLR} showed good ability to predict the negative and minimum WHD_{NCP} DY but did not adequately capture the continuous positive value after 2011 (Figure 16a). The fitted WHD_{NCP} DY from 2011 to 2013 varied similarly to that before 2010 and did not reflect the rapid rising trend after 2010. As an independent prediction test, the predicted bias, i.e., the predicted value minus the measurement, in 2014 was 0.09, illustrating good performance, but the bias in 2015 was larger, i.e.,
180 -3.33 .

We also applied the GAM approach to build a prediction model that would contain the non-linear relationship with smooth functions. The SPM_{GAM} of WHD_{NCP} DY was as follows: $\text{DY} \times 10 = -2.164s(x_1) + 2.036s(x_2) - 1.721x_3 + 2.588s(x_4) - 2.157s(x_5) + 2.187x_6 - 2.506x_7$. During the simple fitting, the SPM_{GAM} performed very well. The RMSE was 1.56 days, and the CC between the fitted and observed WHD_{NCP} DY was 0.95. The SPM_{GAM} could fit the minimum (in
185 2003) and maximum (in 2013), and show the trend well, indicating an advantage to process the non-linear relationship. After cross validation, the performance of SPM_{GAM} decreased dramatically, meaning that its stability was worse than that of SPM_{MLR}. The RMSE_{CV} of SPM_{GAM} was 3.38 days and the CC between fitted and observed WHD_{NCP} DY was 0.74,

accounting for 54% of the total variance (Table 2). The percentage of same sign of SPM_{GAM} results was 73.5%, which was close to the result from SPM_{MLR} . The SPM_{GAM} also showed good ability to predict the negative and minimum WHD_{NCP} DY and better performance to fit the maximum in 2013 (Figure 16b). The predicted bias in 2014 and 2015 was -0.07 and -1.01 , and the results were slightly better than those from SPM_{MLR} . The CC between the bias of SPM_{MLR} and SPM_{GAM} from 1980 to 2013 was 0.83, above a 99.99% confidence level. If the SPM_{MLR} performed well in some years, the SPM_{GAM} also showed good ability in these years, and *vice versa*. We speculated that the reason was that some useful factors were not diagnosed and included here.

After adding the predicted WHD_{NCP} DY to the observed information in the previous year, the predicted WHD_{NCP} in the current year was obtained. For example, the predicted WHD_{NCP} DY in 2012 was added to the measured WHD_{NCP} in 2011, and the result was the final predicted WHD_{NCP} in 2012. In Figure 17, the simulated WHD_{NCP} anomaly was fitted by cross-validation from 1980 to 2013 and predicted in 2014 and 2015. For SPM_{MLR} and SPM_{GAM} , the CC between the original (detrended) observed and simulative WHD_{NCP} was 0.89 (0.87) and 0.90 (0.88), respectively. Both of these prediction models could capture the interannual and interdecadal trend and the extremums. The percentage of same sign of the anomalies from the two models was 100%, meaning these two models could predict the sign of WHD_{NCP} anomaly successfully. The SPM_{GAM} could simulate the abrupt rising trend in 2010 better than SPM_{MLR} , which was important for the prediction of recent years.

5. Conclusions and Discussions

In this paper, we treated the WHD_{NCP} DY as the predictand and built two prediction models using the MLR and GAM approach. In the DY atmospheric circulation, the positive phases of the EA/WR and WP patterns and the negative phase of the EU pattern intensified the haze pollution by inducing positive anomalies over the NCP and Japan Sea. Finally, seven leading predictors were selected and were listed in Table 2.

After cross validation, the $RMSE_{CV}$ and explained variance of SPM_{MLR} (SPM_{GAM}) was 3.39 (3.38) and 53% (54%). The percentage of same sign of these two prediction models was also similar, i.e., more than 73%. The WHD_{NCP} DY increased rapidly and persistently after 2010, and the SPM_{GAM} could capture this trend better. For the final predicted WHD_{NCP} , both of

these two prediction models could capture the interannual and interdecadal trends and the extremums. The percentage of same sign of the anomalies from two models was 100%, and the SPM_{GAM} simulated the abrupt increase in 2010 better than SPM_{MLR} . The predicted bias of SPM_{MLR} (SPM_{GAM}) in 2014 and 2015 was 0.09 (−0.07) and −3.33 (−1.01), respectively. Both of these models performed well in the independent tests, but the biases of SPM_{GAM} were slightly smaller. The consistence of these two models might indicate that, after including plentiful predictors, the linear relationship dominated the WHD_{NCP} DY prediction. Actually, the studies about the associated physical mechanism, i.e., how the external forcings influenced haze pollutions, were new and still insufficient. In this paper, the underlying physical process was presented mostly from the way that the associated circulations impacted the WHD_{NCP} DY. Thus, the physical mechanism that the external forcings stimulated such associated circulations needed further studies.

Although these two statistical models performed well during most of the past 3 decades and could predict the WHD_{NCP} in 2014 and 2015 with small biases, they showed disadvantages when simulating the rapid rising trend after 2010. The large abrupt change was a common challenge to the statistical models, including the DY approach, so the numerical model should be introduced into the prediction of haze pollution. At the same time, if the SPM_{MLR} performed well in some years, the SPM_{GAM} also showed good ability in these years, and *vice versa*. One possible reason could be that some useful factors, most notably the human activities, were not included here. There was no doubt that the human activities, especial the energy consumption, was the first driver for the increasing of haze pollution. In this paper, we simply assumed that the difference in pollutant emissions between current and previous years was very small and that the socio-economic component of WHD_{NCP} varied slowly. This assumption could support the seasonal prediction of haze days in most of the years, but still was a compromise. In certain years, especially the recent years, this pollutant emission proportion varied rapidly that needed to be taken into account. The preceding autumn energy consumption should be a good choice, but difficult to be measured, and its DY could be introduced into the developed models directly to improve the predictive skill.

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Table and Figure Captions:

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	MLR_s	MLR_{CV}	GAM_s	GAM_{CV}
RMSE	2.39	3.39	1.56	3.38
MAE	1.75	2.37	1.10	2.58
CC	0.87	0.72	0.95	0.74
EV	76%	53%	90%	54%
Bias₁₄		0.09		-0.07
Bias₁₅		-3.33		-1.01

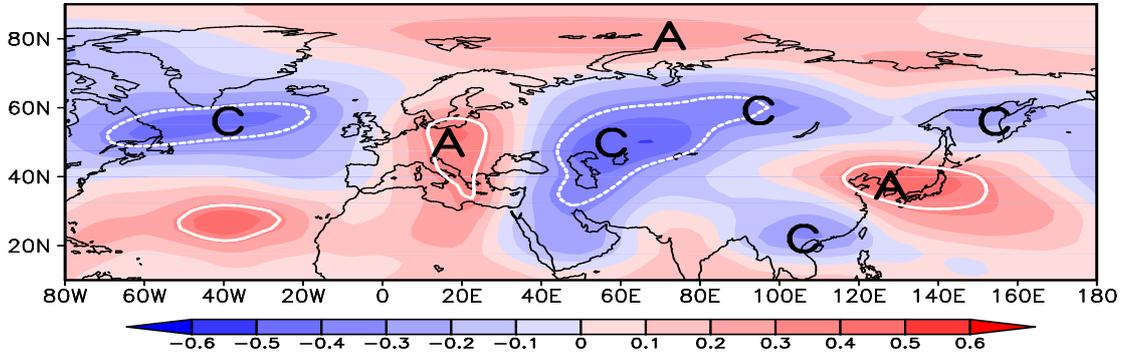
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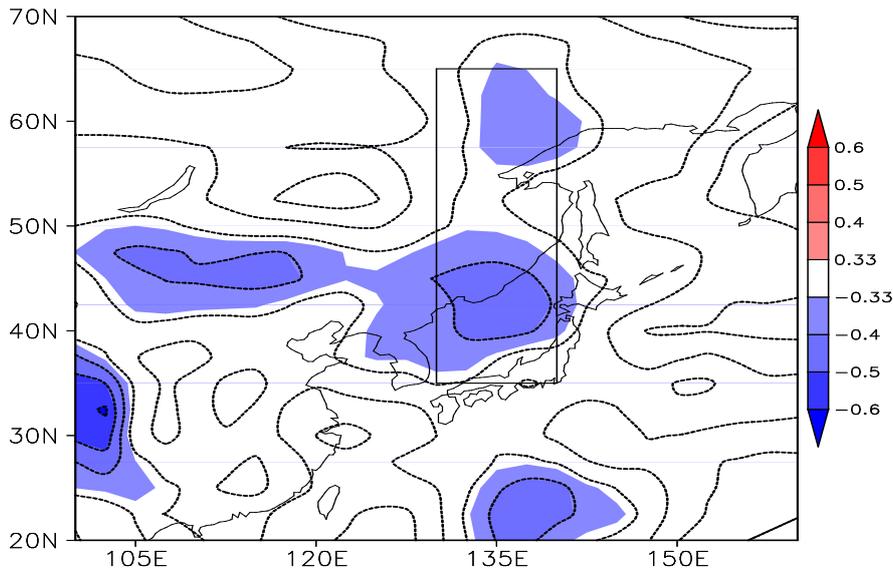
Predictors	Meaning	CC
x_1	pre-autumn SAT DY from Japan Sea to Stanovoy Range	-0.47
x_2	pre-autumn SST DY around Alaska Gulf	0.47
x_3	pre-autumn SST DY to the south of Greenland	-0.50
x_4	pre-autumn ASI extent DY of Beaufort Sea	0.37
x_5	pre-autumn soil moisture DY of the Bohai rim	-0.59
x_6	pre-summer soil moisture DY in the east of Mongolia	0.41
x_7	September–October AAO index DY	-0.54

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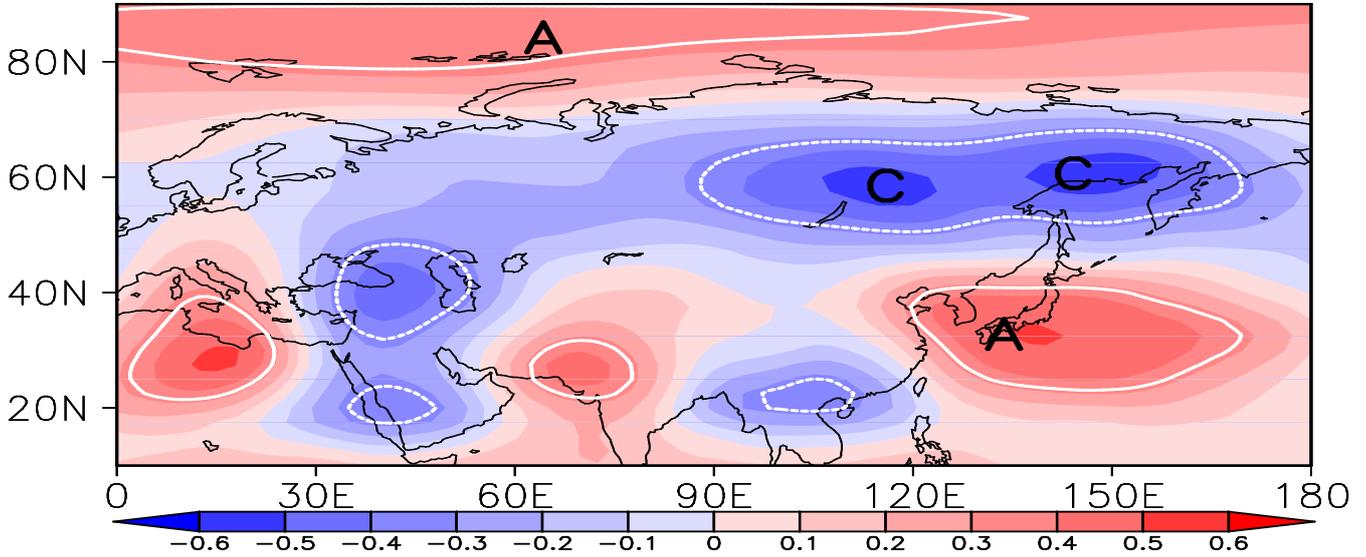


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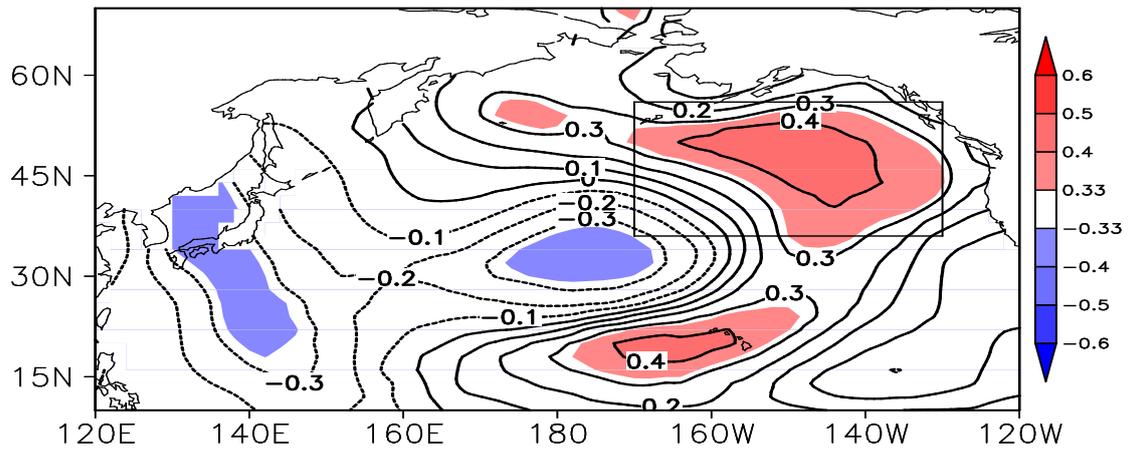


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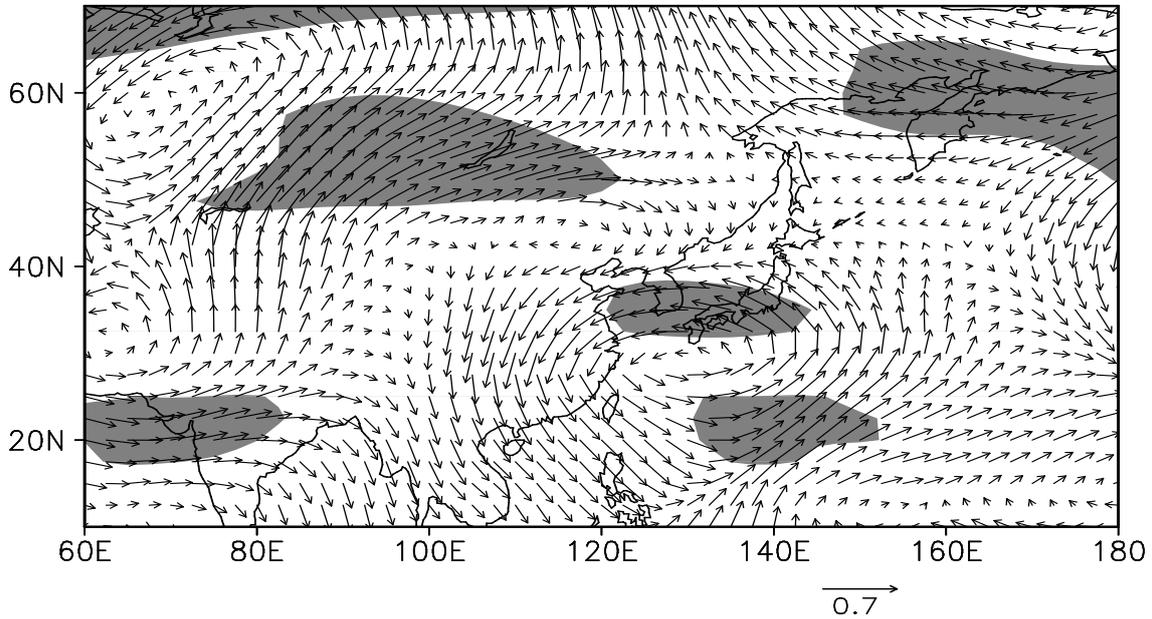
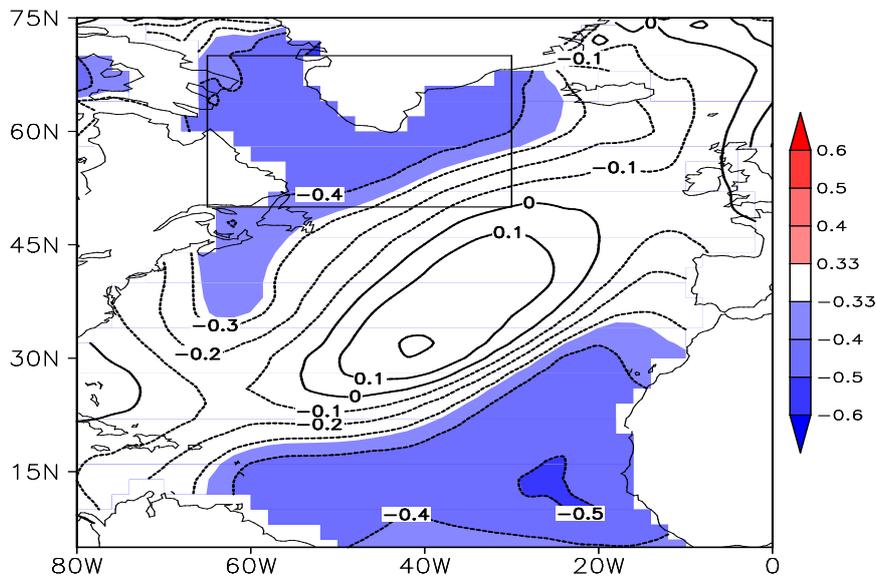
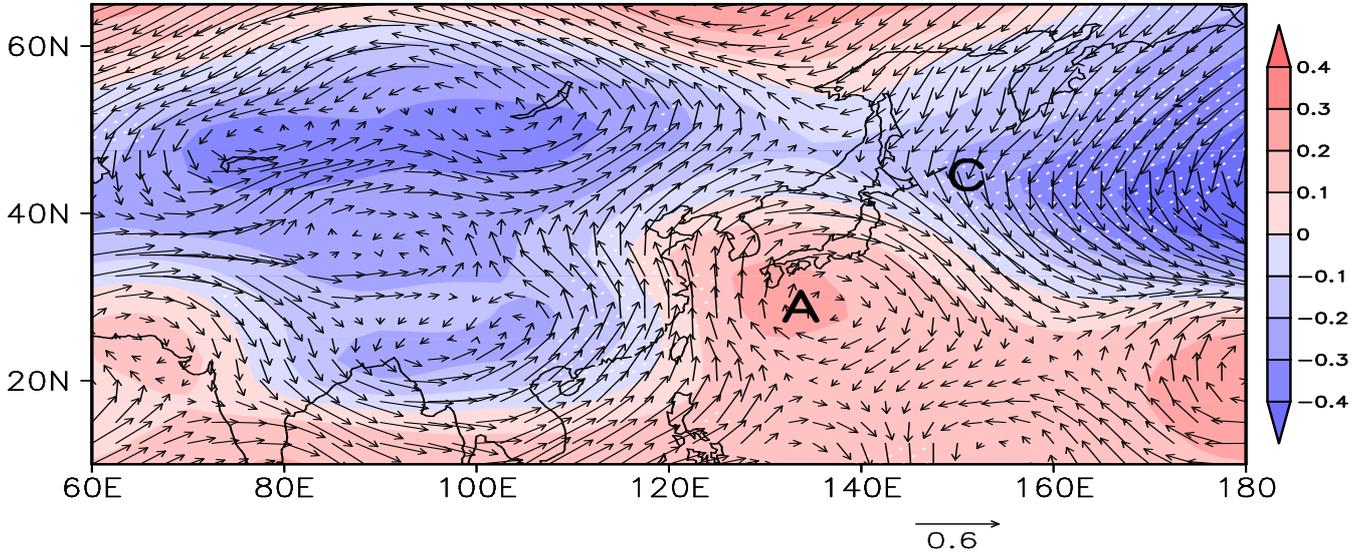


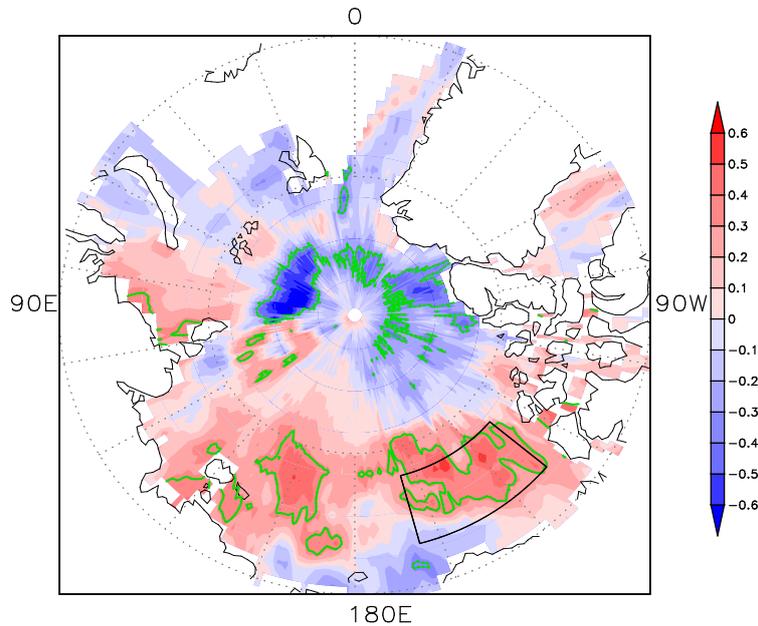
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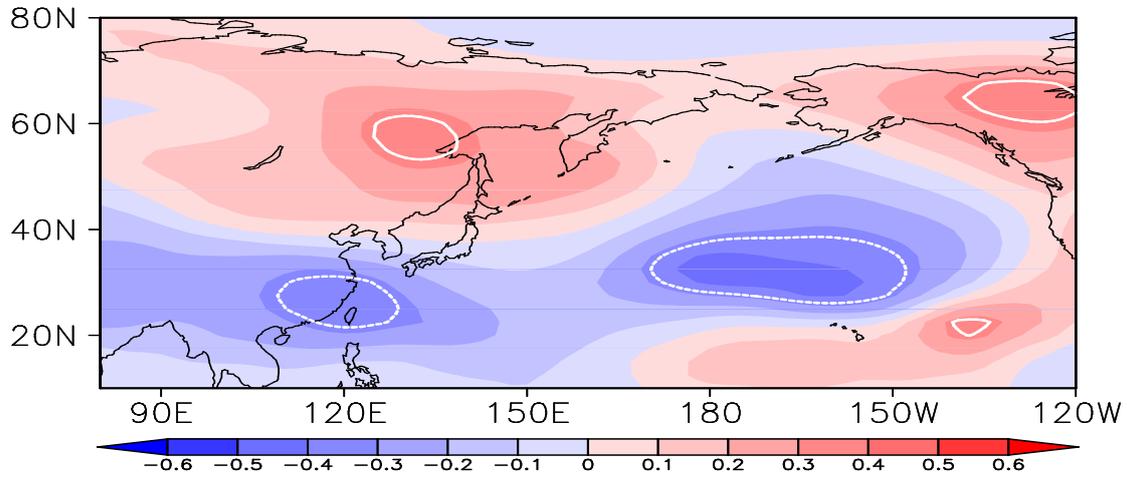
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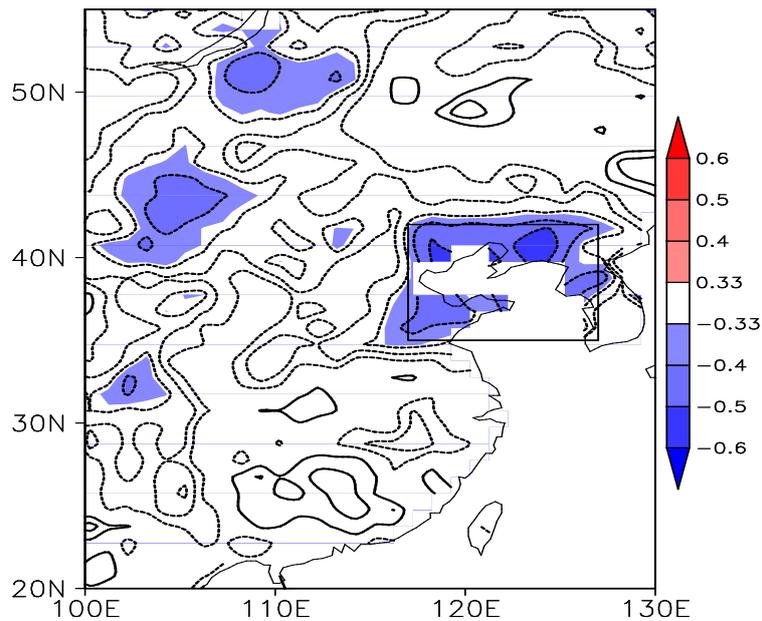
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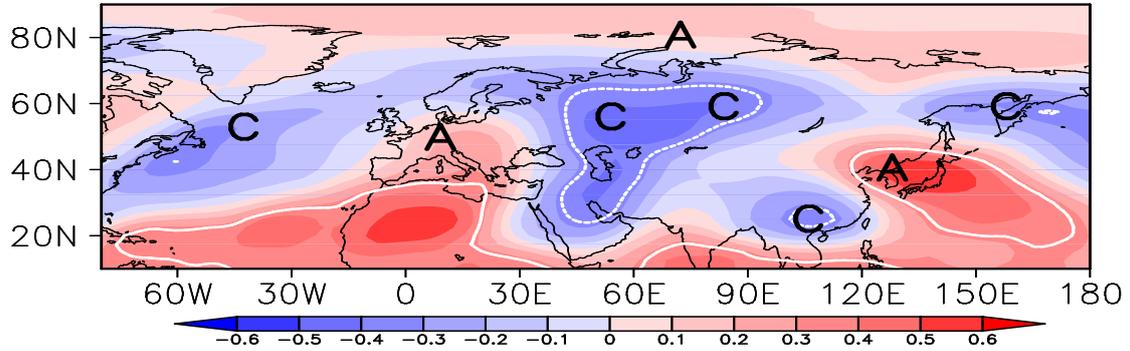
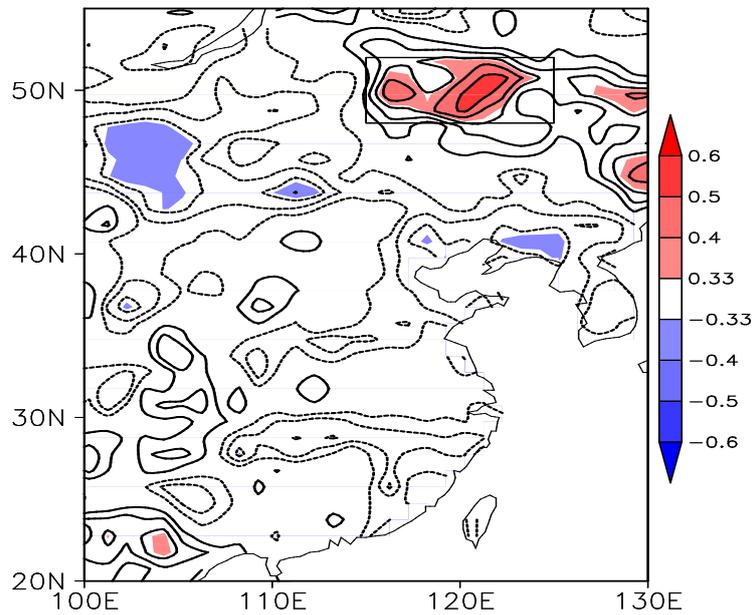
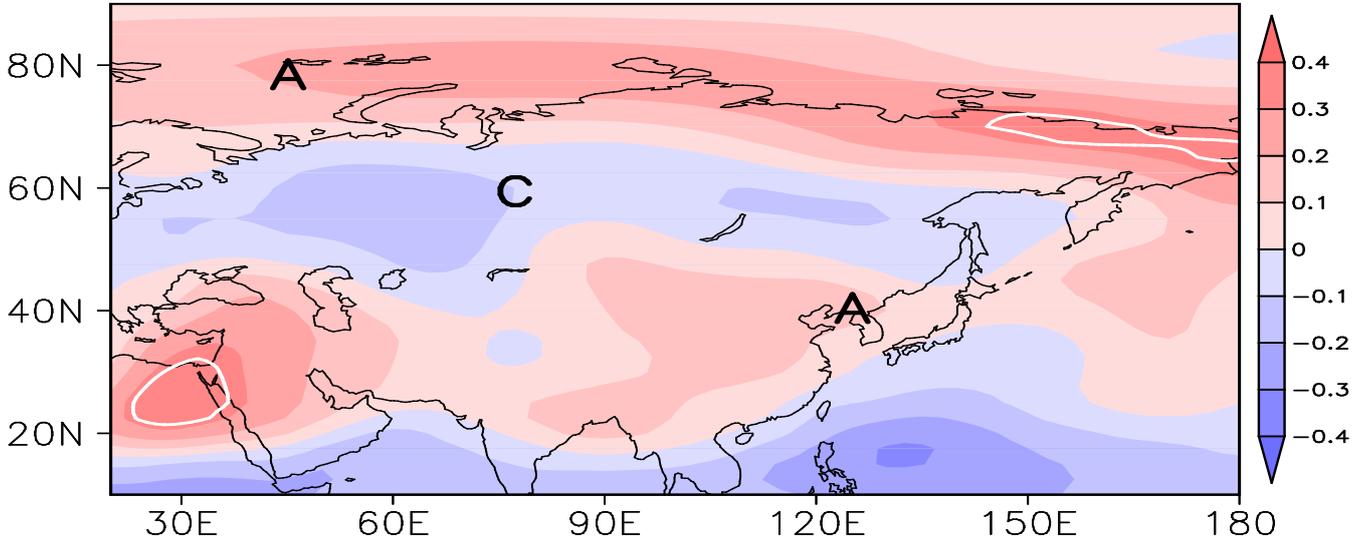


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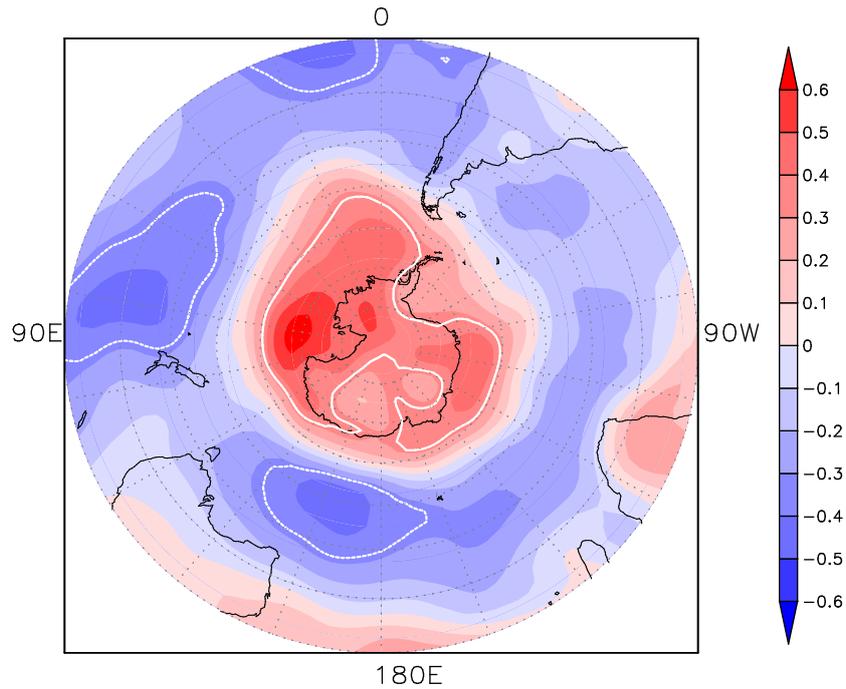


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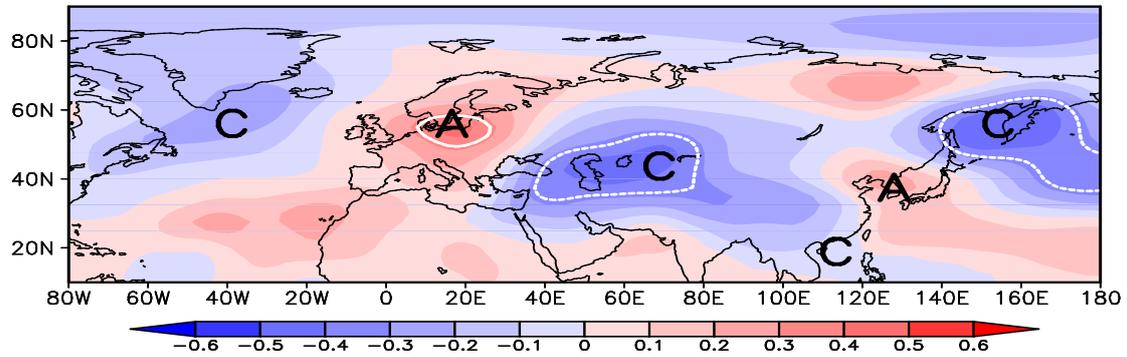


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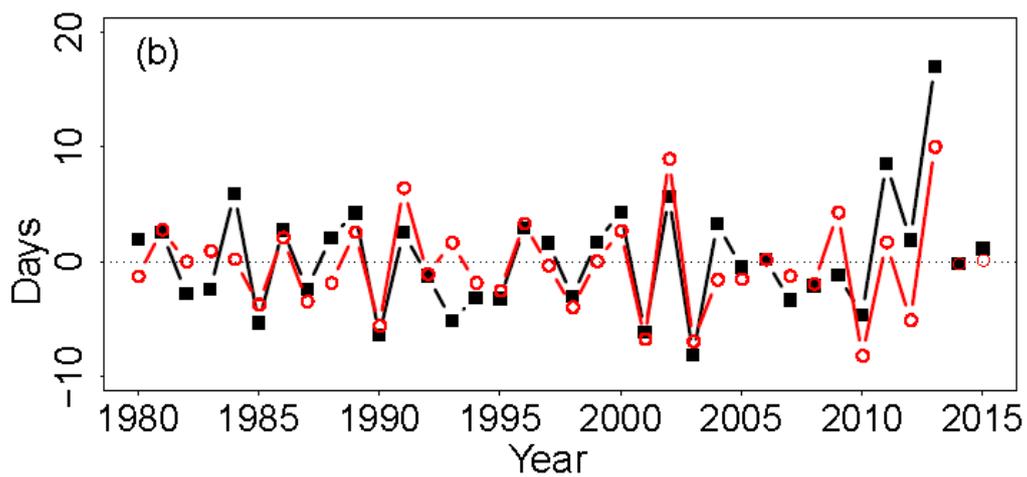
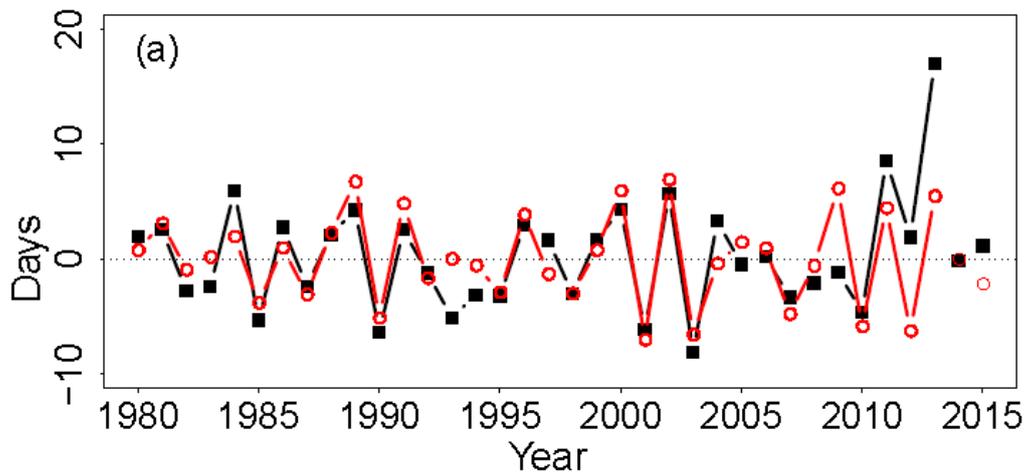
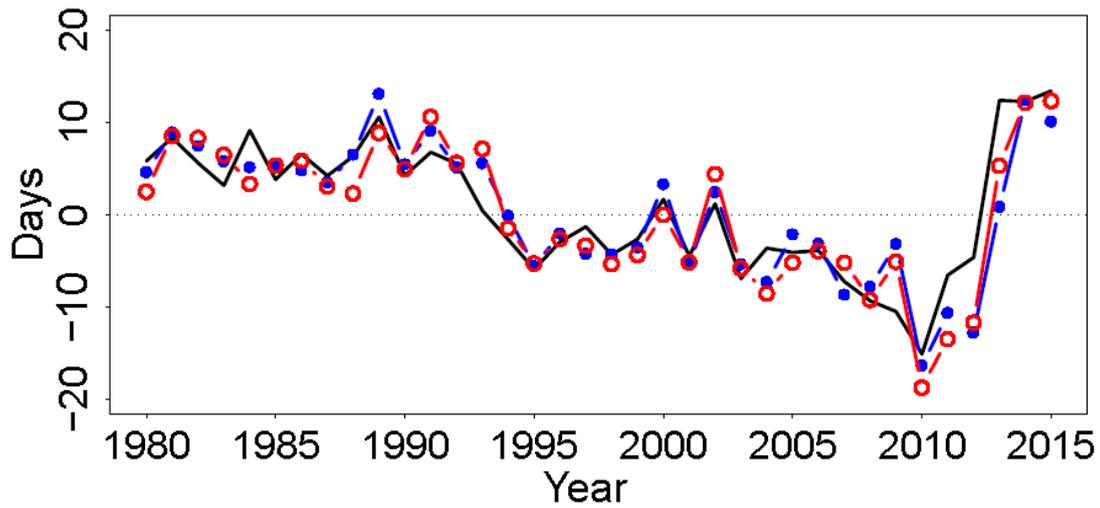


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