

***Interactive comment on “Impacts of solar-absorbing aerosol layers on the transition of stratocumulus to trade cumulus clouds” by Xiaoli Zhou et al.***

**P. Zuidema (Reviewer #1)**

This manuscript examines the behavior of a stratocumulus to cumulus transition (SCT) in the presence of sunlight-absorbing aerosols distributed both inside and above the boundary layer, using the well-respected DHARMA model. The transition is based on the template of a northeast Pacific transition. Different impacts have been postulated to occur over the past 30 years in this complex regime. These are capable of either strengthening or diminishing the overall radiative impact of the low clouds on climate; this study adds to a nascent literature attempting to unravel the significance of the different effects. In this study, the increase in cloud droplet number concentration ( $N_c$ ) reigns dominant in both hastening the SCT, by increasing entrainment, and in the overall radiative impact, through the Twomey effect. The study is valuable for encouraging continuing thought and discussion on the various effects and is generally well-presented.

Recommendation: Acceptance with minor revisions

Main comment:

The aerosol representation does not allow for new sources or sinks so that the total particle number concentration ( $N_a$ ) is conserved. From what I can tell, once the initially-specified aerosol concentrations are activated, the cloud drops also don't leave the boundary layer, in both lightly-drizzling and heavily-drizzling conditions. This would be consistent with the conservation of  $N_a$ . Thus in both the sulfate and soot aerosols, the  $N_c$  approach a value of 1000/cc after 1-2 days with basically no decrease thereafter. Is this interpretation correct? There is not much discussion of the actual precipitation rates: the authors characterize light/heavy drizzle as a sulfate  $N_a$  of 150 or 25/mg respectively, with no discussion of the actual precipitation rates, including of the amount reaching the surface. It would be nice to see the model precipitation rates, and to see some discussion of this feature. If it is true that  $N_d$  can't leave the boundary layer, then the conclusion that the microphysical interaction is the dominant effect is to some extent built into the model setup, it seems to me. With the power of hindsight it is easy for me to say that the post-activation  $N_d$  amount of 1000/cc is at the high end of what measured in the southeast Atlantic. The attached plot shows the number of CCN at Ascension Island, where soot is often present near the surface. At 0.4% supersaturation, an unrealistically high supersaturation, CCN only reach 1000/cc occasionally. This just meant to provide context for the modeling results.

While cloud droplet number concentration is prognostic in our simulations (clarification added at line 164), the reviewer's interpretation is correct in that there is no aerosol consumption via collision-coalescence in these simulations (contrast to Y15 now noted at lines 499-503. The properties for the absorbing aerosol layer are based on published studies as cited, with the number concentrations for the sake of heating rates and extinction, as stated. Coincidentally, the absorbing aerosol number concentrations are

comparable to those in Y15. In future work that is ongoing we will use vetted measurements from the ORACLES field campaign to explore sensitivities beyond those considered in this study, among them aerosol consumption and absorbing aerosol number concentrations (see line 503).

We now show cloud-base precipitation rates in Figs. 2 and 10 and refer to them at lines 258 and 440.

Specific comments:

1. abstract, line 4: include “to cumulus”

Added.

2. line 85: the Feingold et al 2005 study pertains to smoke-laden clouds over the Amazon. Decreases in cloudiness were explained by reductions in surface fluxes because of attenuation by the smoke layers aloft. The current study does not examine how changes in surface fluxes related to the absorbing aerosol aloft (if surface fluxes do change) affect cloudiness, and during the SCT I suspect surface fluxes most likely change because of changes in SST. It would be useful to at least provide the SST range the clouds experience during the simulations (I don't see it anywhere).

We only model the atmosphere and over rather short time spans here, and thus do not consider any effects on ocean temperatures. We have added text clarifying our approach on lines 144-146: "Surface fluxes are computed following similarity theory as in Ackerman et al. (1995). Note that because sea surface temperature is prescribed, it is not impacted by changes in the overlying atmosphere." The SSTs used for the SCT setup are documented by Sandu and Stevens (2011) as well as by de Roode et al. (2016) and in the intercomparison specifications; we now also document them on lines 133-135: "Following Sandu and Stevens (2011) and de Roode et al. (2016), SST increases steadily from 293.75 K at 0 h to 299.17 K at 72 h..."

But what might be more relevant to the study's focus and introduction is to mention the observational results of Wilcox et al. (2010), who found increased cloud LWP when smoke was present overhead, and Loeb and Schuster (2008) and A15, who document increased cloud cover and TOA albedo when absorbing aerosols are present aloft. These observational results seem to suggest support for a negative (cooling) semi-direct effect (though in truth given how much the thermodynamic profiles in the aerosol composites shown in A15 fig. 14 differ from those depicted in the study in review, one has to wonder if perhaps associated changes in the large-scale circulation end up dominating the cloud response).

Our simulations capture a variety of responses when variations of the height of the absorbing aerosol layer and properties of the ambient atmosphere are considered, but feedbacks with large-scale dynamics are beyond the scope of this small-scale, atmosphere-only modeling study. We have added references to Wilcox et al. (2010), Loeb and Schuster (2008) and A15 to the introduction (lines 9-20 where we summarize previous studies. Global modeling studies are now recommended at line 542.

3. in line 116 and in other places (line 202), the authors connect humidity increases with outflow from a deep continental boundary layer. It's also worth mentioning the role of the large-scale circulation, as for much of the year the smoke flows westward rather than eastward. Strong easterly winds aloft are needed to advect both the aerosol and moisture offshore, with some portion caught up in an anticyclonic circulation induced by a heat low over southern Africa, that further disperses both aerosol and humidity offshore. This characterization is the focus of Adebisi and Zuidema, 2016.

We now specifically mention the easterly component of equatorward flow when first discussing the SCT in the Introduction, mention that the humidity aloft "accompanies the absorbing aerosol that results from biomass burning" on lines 80, 97 and 105, and state the following on lines 104-107: "We note that in our modeling framework it is simply assumed that the model domain is advected equatorward by the trade winds, thus implicitly treating the flow aloft as being easterly, despite observations that indicate circulation in the South Atlantic to be far more complex (e.g., Adebisi and Zuidema, 2016)."

4. lines 197-206: a table of the different experiments would be useful, including within it a column listing the figures in which their results are shown.

We have added such a table in Section 2.

5. line 204: should 'impact' be preceded by 'microphysical'?

No—here we investigated the total impact (direct, semi-direct, and indirect effect) of overlying absorbing aerosol on heavily precipitating stratocumulus, not just the microphysical impact.

6. line 238: worth mentioning that higher-level clouds are not considered.

Added on line 24.

7. line 243 or elsewhere: it would be useful to see the precipitation rates and vertical structure associated with both the lightly and heavily drizzling cases. . .and the SST values imposed on the simulation.

We have included the precipitation rates at the cloud base to Fig. 2. The SST values are addressed in our response to comment #2.

8. Figs 1, 2 and elsewhere: It would also be useful to mark the daylight (e.g. 6am-6pm LT) portions on the figures, and include mention of the starting time of the simulation in the caption of at least fig. 1. I also don't see discussion anywhere of how the large-scale subsidence is prescribed. It is not connected to the radiative warming I'm pretty sure, which would also be good to mention.

We now indicate the nominal night time (6 pm – 6 am LT) in gray shading in Fig. 1a-and reiterate the simulation starting time in its caption. The treatment of large-scale subsidence in the SCT setup is documented by Sandu and Stevens (2011) and de Roode

et al. (2011), and we now also provide that information on lines 133-137 "Following Sandu and Stevens (2011) and de Roode et al. (2016) ... a uniform divergence of large-scale horizontal winds of  $1.86 \times 10^{-6} \text{ s}^{-1}$  is imposed up to an altitude of 2000 m, above which the large-scale subsidence is constant."

9. section 3.3: it looks to me from fig. 5 that the microphysical effect is still included from the absorbing aerosol experiments intended to focus on the semi-direct effect, is that correct?

Correct. We have clarified our approach by adding the following text on lines 324-326: "By doing so we build upon the results of the previous section, effectively evaluating semi-direct effects in the presence of microphysical effects, rather than in their absence."

10. section 4.1, line 384: I don't think the simulations allow the radiative heating to translate into anomalous ascent. ERA-I reanalysis (A15, fig. 15 and the simulations of Sakaeda et al 2011 do suggest the larger-scale subsidence is weaker when absorbing aerosols are present). It's worth mentioning.

Large-scale subsidence in our simulations is indeed prescribed, and beyond the additional detail added in response to comment #8, we have also added the following text on lines 137-139: "Because the large-scale subsidence is imposed rather than interactive, we omit any possible decrease in subsidence associated with solar heating by absorbing aerosol (cf. Sakaeda et al. 2011)."

11. line 383: 'owning' should be 'owing'

Corrected.

12. Figures: see comment 7 above

Please see our response to that comment.

13. Tables: I had difficulty interpreting Table 4, perhaps it was just my printout. The physical processes sometimes span two lines, other times not. Why does increased evaporation not get a '+' in the SW column and '-' in the LW column? Why are other SW/LW columns left blank?

We have improved the readability of that table (now Table 5) by adding a comma to the cell that includes two effects, replacing blanks with zeros, and adding clarification to the caption: "Plus signs refer to positive responses, negative signs to negative responses, and zeros to negligible or absent responses".

14. Tables 7 and 8: I think this is the first time I see an ensemble of the same simulations mentioned. would be useful to mention in section 2 somewhere if ensembles were indeed done.

It was mentioned on line 177 that the baseline case is an ensemble of three simulations. We now clarify that Fig. 1 shows a single baseline ensemble member whereas Fig. 2

shows the baseline ensemble range (lines 252 and 258).

## Reviewer #2

### General Comments:

This study performs a comprehensive investigation of the impact of solar-absorbing aerosol and moisture on the Stratocumulus-to-Cumulus Transition of lightly and heavily drizzling clouds. By using large-eddy simulation, it is indicated that the overlying aerosol can substantially modify the stratocumulus due to an increase in the number concentration of cloud droplets induced by entrained aerosol. Meanwhile, the impacts of additional moisture in aerosol layer are also investigated. The results are generally well presented and structured, and the topic is suitable for publication in Atmos. Chem. Phys. after addressing some specific comments listed below.

### Specific Comments:

In the baseline and further simulations, ammonium sulphate are assumed to be uniformly distributed vertically. Since it is a typical anthropogenic aerosol and mainly formed near the surface, its concentration is more likely to decrease with height through the troposphere. Thus, it would be better to characterize its vertical distribution according to climatological profile that provided by pre-existing long-term simulation using chemical transport model or available observations.

Agreed. Please see our response to the main comment of the first reviewer.

Several parallel numerical simulations are conducted to isolate the microphysical effect, semi-direct effect and direct effect of aerosols. Using an additional table in Sect. 2 to illustrate the numerical experiment design and how these aforementioned effects are derived based on these simulations may help clarify the link and difference.

Agreed. Please see our response to comment #4 of the first reviewer.

Another issue is that the input of meteorological conditions and the characteristics of aerosol layer are derived from different locations, northeast Pacific Ocean and south-east Atlantic, respectively. Using the observations in the same region could make this work more practical and representative.

Agreed. We already noted and addressed this head-on on lines 536-552 Use of meteorological and aerosol conditions over the Atlantic is the subject of a future study that we have begun, using very recently released measurements. The present study is intended to identify the most relevant aspects of observed variability for our next study, as summarized in the concluding sentence.

### Technical Corrections:

Page 8 Line 155: Some basic information like initial time and spin-up duration need to be specified here. It would help to understand the following figures since the x axis are

relaxation time.

The starting time of the simulation was already stated (see line 143). We now reiterate in the caption of Fig. 1 that “The simulation starts at midnight local time”.

We have added “After ~2 h of boundary layer turbulence spin-up (Fig. 1b)” at lines 251-252.

Fig.1 and 2: It would be more clear to label the local time in the x axis.

Please see our response to comment #8 of the first reviewer.

Line 199: It is better to use “model top” rather than “domain”.

Done.

# **Impacts of solar-absorbing aerosol layers on the transition of stratocumulus to trade cumulus clouds**

Xiaoli Zhou<sup>1</sup>, Andrew S. Ackerman<sup>2</sup>, Ann M. Fridlind<sup>2</sup>, Robert Wood<sup>3</sup> and  
Pavlos Kollias<sup>4,5</sup>

1. Department of Atmospheric and Oceanic Sciences, McGill University, Montreal,  
Quebec, CA

2. NASA Goddard Institute for Space Studies, New York, New York, USA

3. University of Washington, Seattle, Washington, USA

4. School of Marine and Atmospheric Sciences, Stony Brook University, Stony Brook,  
New York, USA

5. Department of Environmental and Climate Sciences, Brookhaven National Laboratory,  
Upton, New York, USA

*Correspondence to:* Xiaoli Zhou (xiaoli.zhou@mail.mcgill.ca)

## Abstract

The effects of an initially overlying layer of solar-absorbing aerosol on the transition of stratocumulus to trade cumulus clouds are examined using large-eddy simulations. ~~The transition of~~ For lightly drizzling cloud the transition is generally hastened, resulting mainly from increased cloud droplet number concentration ( $N_c$ ) induced by entrained aerosol. The increased  $N_c$  slows sedimentation of cloud droplets and shortens their relaxation time for diffusional growth, both of which accelerate entrainment of overlying air and thereby stratocumulus breakup. However, the decrease in albedo from cloud breakup is more than offset by redistributing cloud water over a greater number of droplets, such that the diurnal-average shortwave forcing at the top of atmosphere is negative. The negative radiative forcing is enhanced by sizable longwave contributions, which result from the greater cloud breakup and a reduced boundary layer height associated with aerosol heating. A perturbation of moisture instead of aerosol aloft leads to greater liquid water path and a more gradual transition. Adding absorbing aerosol to that atmosphere results in substantial reductions in LWP and cloud cover that lead to positive shortwave and negative longwave forcings on average canceling each other. Only for heavily drizzling clouds is the breakup delayed, as inhibition of precipitation overcomes cloud water loss from enhanced entrainment. Considering these simulations as an imperfect proxy for biomass burning plumes influencing Namibian stratocumulus, we expect regional indirect plus semi-direct forcings to be substantially negative to negligible at the top of atmosphere, with its magnitude sensitive to background and perturbation properties.



2

|

|

2

### 3        1. Introduction

4            Aerosols affect the earth's radiation budget in at least three ways. First, they  
5 directly absorb and scatter solar radiation. Second, they affect radiative fluxes indirectly  
6 through their role as cloud condensation nuclei, influencing cloud microphysics and  
7 thereby affecting cloud albedo and cloud cover. Third, solar-absorbing aerosols can alter  
8 atmospheric heating rates and stability, leading to rapid adjustments in cloud properties;  
9 the resulting impact on radiative fluxes is referred to as the semi-direct effect (Hansen et  
10 al., 1997).

11            Aerosols have been identified as contributing the greatest uncertainty to  
12 anthropogenic climate forcing (Forster et al. 2007). ~~For instance, with regard to semi-~~  
13 ~~direct forcings,~~ For instance, the observational study of Indian Ocean Experiment  
14 (INDOEX) (Jayaraman et al., 1998; Satheesh and Ramanathan, 2000) and some general  
15 circulation model (GCM) studies (e.g., Hansen et al., 1997; Lohmann and Feichter, 2001;  
16 Jacobson, 2002; Cook and Highwood, 2004) have found a net decrease in low-level cloud  
17 cover when solar-absorbing aerosols are present, which corresponds to a positive  
18 radiative forcing at the top of the atmosphere (TOA) that tends to warm the climate  
19 system, while ~~others~~ other observational studies (e.g., Loeb and Schuster, 2008; Wilcox et  
20 al., 2010; Adebiyi et al. 2015, hereafter A15) have found the opposite, in which the cloud  
21 cover increases. Some GCM studies (e.g., Menon et al., 2002, Penner and Zhang, 2003;  
22 Sakaeda et al, 2011) have found ~~the opposite, in which the cloud water increases and that~~  
23 the radiative forcing depends crucially on the height of the absorbing aerosol. To better  
24 constrain radiative forcing in climate models, a comprehensive understanding of regional  
25 cloud-aerosol interactions and the corresponding radiative forcings is of value.

26 Here we focus on warm (liquid-phase) clouds in the planetary boundary layer  
27 (PBL). Higher-level clouds are not considered. Process-level understanding of the  
28 physical mechanisms underlying indirect and semi-direct aerosol radiative forcings has  
29 been largely advanced through studies with large-eddy simulation (LES) models and in  
30 situ observations. Regarding aerosol indirect forcing, with all else equal (particularly  
31 cloud cover and liquid water path), increased cloud droplet number concentration ( $N_c$ )  
32 resulting from increased aerosol concentration ( $N_a$ ) increases cloud optical thickness and  
33 thus albedo, thereby exerting a negative radiative forcing at TOA (Twomey 1974, 1991).  
34 For precipitating clouds, increasing  $N_c$  can reduce precipitation and thereby enhance  
35 liquid water path (LWP) and cloud cover (e.g., Albrecht, 1989; Ackerman et al., 1993;  
36 Pincus and Baker, 1994; Hindman et al., 1994). However, for clouds with little  
37 precipitation, modeling studies indicate that increased  $N_c$  tends to reduce LWP and cloud  
38 cover by increasing PBL entrainment (Ackerman et al., 2004; Wood et al., 2007;  
39 Ackerman et al., 2009), which can dry the PBL and reduce LWP when the overlying air  
40 is sufficiently dry (Randall, 1984). Such a tendency is consistent with satellite  
41 observations of LWP reduction in ship tracks, on average (Coakley and Walsh, 2002). At  
42 least three microphysical mechanisms have been found to play a role in the entrainment  
43 increase. First, in what we shall refer to as the "sedimentation effect", increased  $N_c$  leads  
44 to smaller droplets that fall more slowly, which increases the amount of cloud water  
45 available for evaporative cooling during entrainment events, thereby strengthening  
46 entrainment (Bretherton et al., 2007). Second, in what we shall refer to as the  
47 "evaporation effect", smaller droplets increase the total surface area of cloud droplets,  
48 accelerating evaporation and driving stronger entrainment (Xue et al., 2008). Third,

49 increased  $N_c$  also suppresses drizzle, enhancing convective intensity and entrainment (e.g.,  
50 Stevens et al. 1998, Wood et al. 2007). Under dry overlying air, all three effects tend to  
51 reduce cloud cover and LWP, leading to a positive radiative forcing. However, if the  
52 entrained air is sufficiently moist, entrainment can be expected to increase LWP (Randall,  
53 1984).

54 Aerosol semi-direct effects have been studied by Ackerman et al. (2000) in the  
55 context of trade cumulus under a sharp inversion, in which absorbing aerosol within the  
56 boundary layer increases solar heating in a manner that stabilizes the PBL, reducing the  
57 moisture supply from the surface and the amount of cloudiness, leading to a positive  
58 radiative forcing at TOA. More directly in such a scenario the relative humidity of the  
59 PBL is reduced by enhanced solar heating, reducing cloudiness as originally found in  
60 global model simulations by Hansen et al. (1997). In contrast, Johnson et al. (2004)  
61 conducted large-eddy simulations of marine stratocumulus and found that an absorbing  
62 aerosol immediately above the PBL (and not entrained) strengthens the inversion,  
63 reducing entrainment and thereby increasing cloud cover, leading to a negative radiative  
64 forcing, while they found the opposite (positive radiative forcing) for aerosol heating  
65 within the PBL. That study was motivated at least in part by measurements of absorbing  
66 aerosol from biomass burning advected from Africa over Namibian stratocumulus, where  
67 biomass burning aerosol plumes may also be well separated from the PBL (Keil and  
68 Haywood, 2003, Haywood et al., 2003b), a factor that has been found to be critical to  
69 absorbing aerosol effects on cloud fraction (Feingold et al., 2005).

70 Further complexity arises when considering the possibility that absorbing aerosol  
71 can act as cloud condensation nuclei (CCN) and thereby increase  $N_c$ , which was

72 neglected in the early studies of Johnson et al. (2004) and Feingold et al. (2005) and only  
73 represented quite crudely by Ackerman et al. (2000), who simply imposed a sequence of  
74 uniform  $N_c$  values in their simulations. Here we will consider both roles of absorbing  
75 aerosol.

76 By considering two trade cumulus regimes, one transitional case with a sharp  
77 inversion (ATEX) and a more downstream case with greatly reduced cloud cover  
78 (BOMEX), Johnson (2005) found the semi-direct aerosol forcing to depend strongly on  
79 the cloud regime, with the magnitude of the forcing increasing with (unperturbed) cloud  
80 cover. This regime dependence is relevant to the stratocumulus-to-cumulus transition  
81 (SCT), a climatological feature downstream of subtropical marine stratocumulus (Klein  
82 and Hartmann, 1993; Sandu et al., 2010; Zhou et al., 2015). The SCT has been found in  
83 modeling studies to be driven by easterly, equatorward advection over increasing sea  
84 surface temperatures (SST), which increases surface latent heat fluxes, enhancing  
85 buoyancy fluxes in the cloud layer and hence entrainment. The PBL deepening from  
86 progressive entrainment inhibits the ability of circulations forced at cloud top to maintain  
87 a well-mixed boundary layer, reducing the surface moisture supply and eventually drying  
88 out the stratocumulus clouds (Bretherton and Wyant, 1997; Wyant et al., 1997). A recent  
89 observational study has found that the time scale of the SCT over the eastern Pacific can  
90 depart considerably from that in an idealized model framework driven only by increasing  
91 SST (Zhou et al., 2015), suggesting that other factors, such as meteorological variability,  
92 might play important roles in the time scale of SCT. -Yamaguchi et al. (2015) (hereafter  
93 Y15) investigated the impact of overlying absorbing aerosol and associated enhanced

94 moisture on the SCT and found that entrained absorbing aerosol in general delays the  
95 SCT with a net negative change in TOA shortwave (SW) cloud radiative forcing (CRF).

96 It has been documented in recent observational studies near northern Namibia and  
97 remote St. Helena Island in the South Atlantic ~~Ocean~~ that the sampled absorbing aerosol  
98 is often accompanied by enhanced humidity, with an average moisture perturbation of  
99  $\sim 1 \text{ g kg}^{-1}$  relative to the underlying air (Haywood et al., 2003b; [Adebiyi et al. 2015](#)).  
100 This humidity is associated with the outflow from the deep, continental boundary layer,  
101 and accompanies the absorbing aerosol that results from biomass burning. The enhanced  
102 humidity induces additional radiative heating, which can regulate cloud processes by  
103 reducing cloud-top longwave (LW) cooling (~~Adebiyi et al. 2015; hereafter~~ A15) and by  
104 simply reducing the dryness of air entrained into the PBL. Y15 located a stationary moist  
105 layer above the PBL and found that the additional moisture itself enhances cloud breakup  
106 during the SCT, although they acknowledge that their perturbation of  $\sim 3 \text{ g kg}^{-1}$  likely  
107 represents an upper limit compared with A15. We note that in our modeling framework it  
108 is simply assumed that the model domain is advected equatorward by the trade winds,  
109 thus implicitly treating the flow aloft as being easterly, despite observations that indicate  
110 the circulation over the South Atlantic to be far more complex (e.g., Adebiyi and  
111 Zuidema, 2016).

112 Here we perform an expanded investigation of the impact of absorbing aerosol  
113 and moisture on the SCT. Because Y15 was published during the course of this work, our  
114 simulation setups are similar but not identical, and we highlight similarities and  
115 differences below. Like Y15, we adopt the Sandu and Stevens (2011) SCT case study,  
116 with some modifications. Here we separate the responses to aerosol heating above and

117 within the PBL and on microphysical processes. We consider the impacts on lightly and  
118 heavily drizzling stratocumulus decks. We also assess the impacts of additional overlying  
119 moisture on the SCT and how it influences the effects of absorbing aerosol. The radiative  
120 forcings in our study consider not only changes in SW but also LW fluxes. Our results  
121 differ from Y15 in that initially overlying plumes of absorbing aerosol lead to positive  
122 changes in SW CRF at TOA, and the aerosol and moisture perturbations never delay the  
123 SCT in our simulations (unless we omit well-established physical processes).

124 The remainder of this manuscript is organized as follows. Section 2 documents  
125 the model setup and case description. Section 3 presents analysis of the microphysical  
126 and heating effects of absorbing aerosol during the transition of lightly drizzling  
127 stratocumulus. In sect. 4, we investigate the impact of additional moisture in the aerosol  
128 layer, and the influence of the initial altitude of the moist aerosol layer. The impacts of an  
129 absorbing aerosol on the SCT of heavily drizzling stratocumulus are discussed in sect. 5.  
130 In sect. 6 we discuss and summarize our findings.

131

## 132 **2. Model setup and simulated cases**

133 The Distributed Hydrodynamic Aerosol and Radiative Modeling Application  
134 (DHARMA) (Ackerman et al., 2004 and references therein) simulations here are based  
135 on the "reference case" 3-day Lagrangian SCT setup of Sandu and Stevens (2011). The  
136 basis for the case is a composite of the large-scale conditions encountered along  
137 trajectories over the northeast Pacific from June to August of 2006 and 2007. [Following](#)  
138 [Sandu and Stevens \(2011\) and de Roode et al. \(2016\), SST increases steadily from 293.75](#)  
139 [K at 0 h to 299.17 K at 72 h, and a uniform divergence of large-scale horizontal winds of](#)

140 | 1.86×10<sup>-6</sup> s<sup>-1</sup> is imposed up to an altitude of 2000 m, above which the large-scale  
141 | subsidence is constant. Because the large-scale subsidence is imposed rather than  
142 | interactive, we omit any possible decrease in subsidence associated with solar heating by  
143 | absorbing aerosol (cf. Sakaeda et al. 2011). An intercomparison of six different LES  
144 | models shows that DHARMA results are consistent with others in representing the SCT  
145 | (de Roode et al., 2016), although differences between models do exist, as discussed  
146 | further below. Unlike Sandu and Stevens (2011) and Y15, here we begin simulations at  
147 | midnight local time (when turbulent mixing is vigorous, to accelerate spin-up) rather than  
148 | 10:00 local time. Surface fluxes are computed following similarity theory as in Ackerman  
149 | et al. (1995). Note that because sea surface temperature is prescribed, it is not impacted  
150 | by changes in the overlying atmosphere.

151 |         The DHARMA domain size is 10.8 km x 10.8 km x 3.2 km and horizontal  
152 | resolution is set to  $\Delta x = \Delta y = 75$  m. Vertically 240 levels are distributed between 0 and  
153 | 3200 m, with variable vertical resolution ranging from 30 m near the surface to 10 m near  
154 | the inversion and up to 60 m near the model top; before using this grid with twice as  
155 | coarse of a grid as in de Roode et al. (2016), we confirmed that the DHARMA results  
156 | were not sensitive to the difference. The microphysics scheme is an adaptation of the  
157 | two-moment scheme of Morrison et al. (2005) with prognostic saturation excess  
158 | following Morrison and Grabowski (2008) and assuming the shape factor of the cloud  
159 | droplet size distribution to be 10.3 (equivalent to relative dispersion of 0.3) following  
160 | Geoffroy et al. (2010). Radiative transfer is calculated for each column every minute  
161 | using a two-stream model (Toon et al., 1989). An isothermal layer for the radiative  
162 | transfer calculations overlies the LES grid, with an ozone column following the



163 specifications of de Roode et al. (2016) and with temperature (180 K) and water vapor  
164 column ( $0.5 \text{ g cm}^{-2}$ ) chosen to match the profile of downwelling LW flux of the other  
165 models in the intercomparison. The ocean surface albedo is spectrally uniform at 7%.  
166 Activation of aerosol follows Abdul-Razzak and Ghan (2000) using supersaturation  
167 computed after the condensational adjustment of Eq. A10 in Morrison and Grabowski  
168 (2008). The ~~aerosol~~ number and mass concentrations of cloud droplet and raindrops are  
169 ~~semi-prognostic~~; prognostic in ~~that~~ the two-moment cloud microphysics scheme, but for  
170 aerosol it is only the number concentration of unactivated plus activated ~~aerosol~~ particles  
171 for each aerosol species that is prognostic ~~(advected), but~~; there is no evolution of the size  
172 and breadth of the underlying aerosol size distribution for each species, nor are there  
173 sources or sinks of aerosol number, ~~and thus the scheme is diagnostic in the sense that~~  
174 ~~total particle number concentration is conserved.~~

175 Two species of aerosol are prescribed: ammonium sulfate and a solar-absorbing  
176 aerosol; both aerosol types act as CCN and interact with the radiation before and after  
177 activation. The optical properties for aerosol particles and hydrometeors are computed  
178 following Ackerman et al. (1995) using Mie calculations on a 25-bin grid with geometric  
179 spacing, in which we average over six sub-intervals within each bin to smooth any Mie  
180 resonances. Soot cores with a fixed size are included in the Mie calculations for solar  
181 absorbing aerosol (following Ackerman et al., 2000) as well as for the fraction of cloud  
182 droplets in each grid cell that activated on solar absorbing CCN. The baseline case is an  
183 ensemble of three simulations with different pseudo-random seeds for the initial  
184 temperature perturbation field in the PBL, and includes only ammonium sulfate aerosol,  
185 which are uniformly distributed in the vertical with  $N_{a, \text{sulfate}} = 150 \text{ mg}^{-1}$  (without a vertical

186 gradient the aerosol scheme is completely diagnostic). Further simulations are conducted  
187 that incorporate an absorbing aerosol profile initialized to increase linearly from zero  
188 below 1250 m altitude up to  $N_{a, \text{absorb}} = 5000 \text{ mg}^{-1}$  at 1300 m, maintain a uniform value up  
189 to 2800 m, then decrease to zero at 2850 m and above. Log-normal size distributions are  
190 specified for the sulfate and absorbing aerosol, with geometric mean radii of  $0.05 \mu\text{m}$  and  
191  $0.12 \mu\text{m}$  and geometric standard deviations of 1.2 and 1.3, respectively. The  
192 hygroscopicity parameter  $\kappa$  (Petters and Kreidenweis, 2007) is set to 0.55 for ammonium  
193 sulfate and 0.2 for the absorbing aerosol. The size distribution for the absorbing aerosol is  
194 based on the measurements of Haywood et al. (2003b) and the hygroscopicity (for aged  
195 biomass burning aerosol) from those of Englehart et al. (2012). The absorbing aerosol  
196 optical properties follow the approach of Ackerman et al. (2000) but here a soot core  
197 radius of  $0.04 \mu\text{m}$  is specified, resulting in a single scattering albedo (SSA) of 0.88 at  
198 wavelength  $0.55 \mu\text{m}$ . The extinction coefficient within the absorbing aerosol layer is  
199 about  $0.16 \text{ km}^{-1}$  at  $0.55 \mu\text{m}$ , consistent with the measurements reported by Haywood et al.  
200 (2003a). The absorbing aerosol induces a heating rate of  $\sim 2.6 \text{ K d}^{-1}$  at noon and a diurnal-  
201 average heating rate  $\sim 1.2 \text{ K d}^{-1}$ , consistent with observations exploited by Johnson et al.  
202 (2004) and Ackerman et al. (2000). The initial absorbing aerosol layer physical thickness  
203 of 1.5 km is loosely based on observations over the southeast Atlantic by Chand et al.  
204 (2009), Haywood et al. (2003b), and Labonne et al. (2007), who report characteristic  
205 layer thickness over the Atlantic of 1 to 2 km. Sensitivities of the results to the assumed  
206 SSA of the absorbing aerosol and to their initial number concentration are briefly  
207 discussed.

208 To examine variations in bulk properties of the overlying aerosol layer, a further  
209 simulation is performed with the initial location 400 m higher, in which the model  
210 domain<sub>top</sub> is extended to 3.5 km and the column of overlying water vapor and ozone  
211 used for radiative fluxes adjusted accordingly. An additional baseline case with a 3.5-km  
212 deep grid was run for computing differences. Two other simulations consider a moist  
213 perturbation of  $1 \text{ g kg}^{-1}$  based on observations at St. Helena Island of equatorward  
214 outflow from the continental boundary layer (A15), scaled to the initial height of  $N_{a, \text{absorb}}$   
215 with and without absorbing aerosol. Finally, the impact of overlying absorbing aerosol on  
216 heavily precipitating stratocumulus is examined by reducing  $N_{a, \text{sulfate}}$  to  $25 \text{ mg}^{-1}$ . To  
217 isolate the microphysical effects of the overlying aerosol, a group of simulations with  
218  $N_{a, \text{sulfate}} = 150 \text{ mg}^{-1}$  is performed where the interaction of the absorbing aerosol with  
219 radiation is omitted. The aforementioned sedimentation and evaporation effects are  
220 examined by additional simulations that exclude cloud droplet sedimentation and that fix  
221 the cloud droplet relaxation time scale (instead of computing it per Equation A5 of  
222 Morrison and Grabowski, 2008). Semi-direct aerosol effects are dissected through  
223 simulations that restrict aerosol heating to the free troposphere (FT) or the PBL. Table 1  
224 summarizes the setups for all simulations in the main text and its last column lists the  
225 figures in which each simulation appears.

226 Radiative forcings are computed from hourly time slices, which yield daily  
227 averages that differ negligibly from those using radiative fluxes updated every minute.  
228 We compute aerosol forcings following Ghan (2013), in which total forcing from a  
229 perturbation is calculated as the change in net downward radiative flux at TOA relative to  
230 the baseline:  $\Delta F = F(\text{perturbed}) - F(\text{baseline})$ . The sum of the indirect and semi-direct

231 forcings from the absorbing aerosol is computed similarly but with the absorbing aerosol  
232 omitted when calculating  $F(\text{perturbed})$ . The direct aerosol forcing is then derived by  
233 subtracting the sum of indirect and semi-direct forcings from the total forcing.

234 For the sake of comparison with Y15, in one instance we also compute cloud  
235 radiative forcing as the difference of net downward radiative fluxes at TOA with and  
236 without cloud:  $F(\text{all sky}) - F(\text{clear sky})$ . The difference between  $\Delta F$  and the aerosol-  
237 induced change in cloud radiative forcing is the direct aerosol forcing for clear sky:  
238  $\Delta\text{CRF} = \Delta F - \Delta F(\text{clear sky})$ . The enhancement of aerosol absorption associated with SW  
239 reflection by an underlying cloud layer, which tends toward a positive forcing (e.g.,  
240 Chand et al., 2009) and is implicitly included in  $\Delta F$ , is offset in  $\Delta\text{CRF}$  by the subtraction  
241 of a direct forcing that tends more negative here, because the ocean surface is less  
242 reflective than the cloud layer. Subtraction of a negative direct forcing thereby yields a  
243  $\Delta\text{CRF}$  that tends to be more positive than total forcing  $\Delta F$ .

244 In all forcing calculations for this study, net LW fluxes at TOA are scaled from  
245 net LW fluxes at the top of the model domain using  $F_{\text{TOA}} = 2.627F_{3.2\text{km}} + 0.0054F_{3.2\text{km}}^2$   
246 for the 3.2-km deep grid, and using  $F_{\text{TOA}} = 2.469F_{3.5\text{km}} + 0.0046F_{3.5\text{km}}^2$  for the 3.5-km  
247 deep grid. These correlations were derived from the baseline case run on a 40-km deep  
248 grid, with root mean square (RMS) errors of 0.3 and 0.2  $\text{W m}^{-2}$  on the shallower grids,  
249 with biases of less than 0.001  $\text{W m}^{-2}$ . No TOA corrections for SW fluxes are made  
250 because the radiative transfer scheme (Toon et al., 1989) provides accurate TOA fluxes  
251 by treating Rayleigh scattering in the overlying atmosphere.

252

253 **3. Impacts on lightly drizzling SCT**

254 **3.1. Overview of SCT with and without absorbing aerosol layer**

255 Figs. 1 and 2 illustrate the transition from a compact stratocumulus layer to more  
256 broken fields of cumulus as a response to increasing SST for the lightly drizzling baseline  
257 case ( $N_{a, \text{sulfate}} = 150 \text{ mg}^{-1}$ ,  $N_c \sim 100 \text{ cm}^{-3}$ ). TheAfter ~2 h of boundary layer turbulence  
258 spin-up in one member of the baseline ensemble (Fig. 1b), the PBL depth in general  
259 increases with SST and reaches 2 km at the end of day 3 (Fig. 1a). The thinning of the  
260 stratocumulus is observed in the afternoon of day 1 as solar heating offsets some of the  
261 LW cooling that drives PBL mixing, when vertical wind variance profiles show bimodal  
262 structure with a local minimum near cloud base (~12 h in Fig. 1b). Convection revitalizes  
263 after sunset and deepens the stratocumulus-, when the mean precipitation rate at cloud  
264 base peaks at ~0.1 mm d<sup>-1</sup> in the baseline ensemble (Fig. 2i). Starting around sunrise of  
265 day 2 (~30 h), the PBL becomes continuously stratified, with a persistent cumulus layer  
266 developing under the stratocumulus (Fig. 1a). This stratification reduces the subsequent  
267 nocturnal recovery, and leads to further reduction in LWP (Fig. 2b) and cloudiness (Fig.  
268 2c) after sunrise on day 3. Following Sandu and Stevens (2011) by defining the SCT as  
269 the time at which cloud cover (the fraction of columns with LWP  $\rightarrow \geq 10 \text{ g m}^{-2}$ ) first  
270 decreases to half of its initial value, the transition in the baseline case is at ~62 h.

271 When incorporating an overlying absorbing aerosol layer, the clouds and PBL  
272 evolve in a notably different way with an evident radiative impact (Figs. 2 and 3; Table  
273 42).  $N_c$  increases gradually after the bottom of the ramp of subsiding aerosol contacts the  
274 deepening PBL at ~15 h (Fig. 2a). The full strength of the aerosol layer reaches the PBL  
275 at ~20 h (Fig. 2d). Before the subsiding aerosol layer contacts the deepening PBL,

276 absorption of SW radiation in the aerosol layer dominates the radiative impact and  
277 reduces the diurnal-average upwelling SW radiative fluxes at TOA by  $\sim 7 \text{ W m}^{-2}$  on day 1  
278 (Fig. 2f, Table 42). This SW absorption by the aerosol layer decreases with time when the  
279 cloud field is more broken, since less upwelling SW radiation is reflected back into the  
280 layer (cf. Chand et al., 2009) and when it is mixed below cloud, where less SW radiation  
281 reaches the absorbing aerosol. On day 3, SW absorption is overcome by scattering,  
282 resulting in a negative direct forcing (Table 42).

283 As the absorbing layer approaches the PBL, the inversion strengthens (Fig. 2h),  
284 which would tend to slow entrainment. However, as the layer makes contact with the  
285 clouds, the entrained aerosol activate cloud droplets and lead to a pronounced increase of  
286  $N_c$ , which is ultimately increased by a factor of  $\sim 10$  over the baseline to  $\sim 1000 \text{ cm}^{-3}$  (Fig.  
287 2a). The increased  $N_c$  acts to accelerate entrainment through the sedimentation and  
288 evaporation effects, and opposes but does not overcome the opposing tendency from the  
289 strengthening of the inversion (Figs. 2d and 2e). The entrainment of warmer air with less  
290 RH leads to a reduction of LWP (Fig. 2b) and cloud cover (Fig. 2c), hastening and  
291 enhancing the SCT on day 2 (Fig. 2c). This SCT acceleration is opposite to Y15 who  
292 found that entrained absorbing aerosol delays the SCT and leads to overcast conditions  
293 during the second half of 72-h simulations. As a result of substantially reduced LWP,  
294 here the overlying absorbing aerosol case yields a positive change in TOA SW CRF  
295 relative to the baseline during the 3-day simulation (Table 23). The daytime average SW  
296  $\Delta\text{CRF}$  after the soot contacts the PBL is  $9.3 \text{ W m}^{-2}$ , opposite in sign to that of Y15.  
297 Meanwhile, the negative LW contributions to  $\Delta\text{CRF}$  are enhanced during the transition,  
298 and overcome the positive SW  $\Delta\text{CRF}$  on day 3. As explained further below, such LW

299 contributions result from microphysical and heating effects. While such LW forcings are  
300 often ignored when considering aerosol impacts on low-lying clouds, much of the  
301 subtropical and tropical atmosphere is not particularly moist, with column water vapor of  
302 less than 30 mm (cf. Lindstrot et al. 2014) as it is here (initial and final values  
303 respectively about 25 and 30 mm), allowing changes in low-level clouds to impact LW  
304 fluxes at TOA.

305

### 306 **3.2 Microphysical effects**

307 The microphysical effects of the subsiding aerosol are isolated by omitting aerosol  
308 heating and comparing to the same baseline (Fig. 4). The substantial increase of  $N_c$  as a  
309 result of the entrained aerosol is seen to largely explain overall reductions of both LWP  
310 and cloud cover relative to the baseline simulation, leading to a hastened SCT. Such  
311 disparity in LWP and cloud cover with and without entrained aerosol is reduced when  
312 either the sedimentation effect is excluded (by omitting cloud droplet sedimentation from  
313 both simulations) or when the evaporation effect is excluded (by fixing the cloud droplet  
314 diffusional growth relaxation time in both simulations). When both effects are excluded,  
315 simulations with and without entraining aerosol exhibit negligible differences in LWP  
316 and a reversed difference in cloud cover. Thus, the hastened SCT from absorbing aerosol  
317 in DHARMA simulations can be attributed primarily to the microphysical effects of  
318 increased  $N_c$ , specifically via sedimentation and evaporation effects.

319 With the semi-direct effect now excluded by omitting aerosol absorption, the  
320 indirect forcing is isolated (Table 34). Despite the substantial reduction in cloud cover,  
321 the entrained aerosol results in only a modest positive aerosol indirect forcing on day 2

322 | and a negative forcing on day 3 (Table 34). The negative forcing is driven by a negative  
323 | LW forcing, as a result of more broken clouds and emission from a warmer SST, and by a  
324 | significant Twomey effect, which does not fully offset the opposed, comparable SW  
325 | forcing induced by the sedimentation and evaporation effects (Table 45).

326 |

### 327 | **3.3 Semi-direct effecteffects**

328 |       Next we isolate the semi-direct effecteffects of aerosol heating by considering  
329 | aerosol absorption in the FT, PBL and throughout the atmosphere and comparing to the  
330 | preceding case that only included microphysical effects of the entrained aerosol layer. By  
331 | doing so we build upon the results of the previous section, effectively evaluating the  
332 | semi-direct effect in the presence of microphysical effects rather than in their absence. As  
333 | seen in Fig. 5, aerosol heating in the FT substantially strengthens the PBL inversion as  
334 | the aerosol layer approaches the PBL (Fig. 5e), enhancing LWP and cloud cover (Figs. 5b  
335 | and 5c) by inhibiting entrainment (Fig. 5d). The increase of LWP delays and weakens the  
336 | SCT, contributing to a negative SW forcing (Table 56). In contrast, aerosol heating in the  
337 | PBL reduces LWP and cloud cover in the daytime (Figs. 5b and 5c) by lowering the  
338 | relative humidity in the PBL and by stabilizing the PBL (Fig. 6a), hampering the  
339 | moisture supply from the surface (Fig. 6b). The reduction in cloud amount amplifies the  
340 | diurnal contrast of cloud fraction and hastens the SCT, resulting in a positive SW forcing  
341 | (Table 56).

342 |       The competing effects of aerosol heating in the FT versus the PBL serve to  
343 | increase cloud water at night while reducing it during daytime, enhancing its diurnal  
344 | cycle (Fig. 5c). Diurnally averaged, the effect of aerosol heating in the FT is dominant



345 and leads to increased LWP and cloud cover and therefore a negative average SW forcing  
346 during the 3-day transition (Fig. 5c, Table 56). The net SW forcing is smaller than the  
347 sum of the SW forcings via individual FT and PBL aerosol heating, indicating  
348 interactions that reduce the component forcings when combined (Table 56). Specifically,  
349 aerosol absorption in the FT slightly reduces the SW flux available for aerosol heating in  
350 the PBL, while the greater cloud breakup in the daytime reduces the reflected upwelling  
351 SW flux, in turn reducing aerosol heating in the FT. The combined effects also result in  
352 LWP and cloud cover intermediate between the results when considered separately (Fig.  
353 5).

354 In contrast to the counteracting impacts on cloud water, FT and PBL aerosol  
355 heating both inhibit entrainment by intensifying the inversion and by stratifying the PBL  
356 (Fig. 5c). The reduced PBL depth corresponds to warmer cloud tops, which emit more  
357 LW radiation upwards, leading to net negative LW forcing on days 2 and 3 despite an  
358 increase of LWP and cloud cover (Table 56).

359

### 360 **3.4. Combined effects**

361 Comparing Tables 1, 32, 4 and 56 it is seen that net SW forcing is weakened with  
362 all effects included because the increased LWP from aerosol heating compensates for  
363 some of the LWP loss from microphysical effects on day 2 (Table 12, Fig. 6), and the  
364 direct aerosol heating on day 1 greatly counteracts the negative radiative forcings after  
365 the aerosol layer contacts the PBL. As a result, the mean SW impact over the 3-day  
366 transition nearly vanishes (Table 12). The LW radiative forcing, however, accumulates  
367 and strengthens during the transition, and therefore is the dominant contributor to a

368 | negative average forcing during the transition (Table 42). In a nutshell, although the  
369 | subsiding aerosol layer directly absorbs solar radiation and breaks up the clouds faster  
370 | and more thoroughly, the CCN source serves to distribute cloud water over a greater  
371 | number of drops, increasing the optical thickness of the remaining clouds but at a lower  
372 | altitude, increasing both upwelling SW and LW radiative fluxes, leading to a net negative  
373 | forcing. We note that day 3 net SW forcing is only negative when the aerosol is absorbing  
374 | ( $-1.2 \text{ W m}^{-2}$  in Table 42); otherwise, the Twomey effect is not strong enough to  
375 | counteract the reduction in cloud fraction and day 3 net SW forcing is equally positive  
376 | ( $1.2 \text{ W m}^{-2}$  in Table 34).

377 |         The study of the effects of absorbing aerosol on the SCT by Y15 considered only  
378 | SW forcings, which seems sensible given that studies of semi-direct effects in  
379 | stratocumulus (Johnson et al., 2004) and trade cumulus (Ackerman et al., 2000; Johnson,  
380 | 2005) have found SW forcings to be dominant. However, here we find interactions of  
381 | aerosol and clouds in response to multiple effects leads to small net SW forcings: for  
382 | example, positive SW forcing from PBL aerosol heating and microphysical effects on  
383 | dynamics offset negative SW forcing from FT aerosol heating and the Twomey effect  
384 | (Table 45). By contrast, the negative LW forcings from multiple effects (i.e., cloud water  
385 | reduction and PBL deepening) work in the same direction and result in a substantial net  
386 | LW forcing for the SCT.

387 |         Sensitivity tests with varying values of the SSA and initial number concentration  
388 | of the absorbing aerosol are summarized in Appendix A1. A decrease of SSA at  $0.55\text{-}\mu\text{m}$   
389 | wavelength from 0.88 to 0.71 hastens the SCT less but leads to a positive radiative  
390 | forcing averaged over the 3-day transition, attributable to direct absorption by the aerosol.

391 A decrease of the initial number concentration for the overlying aerosol with SSA of 0.88  
392 serves to weaken its negative 3-day average radiative forcing.

393

## 394 **4 Variations in bulk properties of overlying aerosol layer**

### 395 **4.1. Higher initial elevation**

396 Increasing the initial height of the base of aerosol layer by 400 m delays contact  
397 with the PBL by about half a day (Fig. 7a). The delayed contact reduces the entrainment  
398 of aerosol relative to the case with the layer starting lower, thereby hindering cloud  
399 breakup (comparing Figs.7b-c with Figs. 2b-c). The enhanced cloud amount leads to a  
400 much greater SW negative forcing on days 2 and 3, despite greater direct absorption  
401 ~~owing~~ to the extended duration of the aerosol aloft on day 2 (Tables ~~12~~ and ~~67~~).

402 The delayed contact also provides for a longer duration of heating aloft and thereby a  
403 stronger inversion on day 3 (Fig. 7e), favoring maintenance of the clouds and thus a  
404 negative SW forcing. Despite increased LWP and cloud cover, the SCT with a higher  
405 elevated aerosol layer is still hastened relative to the baseline (Fig. 7). The greater  
406 negative SW forcing of the more elevated aerosol layer after its contact with the PBL  
407 ultimately leads to a more negative 3-day mean radiative forcing to the case with the  
408 layer starting lower (Tables ~~12~~ and ~~67~~).

409

### 410 **4.2. Additional moisture**

411 Given that observations indicate that biomass burning plumes over Namibian  
412 stratocumulus are moister than the surrounding air (A15), next we additionally consider a  
413 moisture perturbation relative to the baseline. As seen in Fig. 8, the moisture induces

414 additional SW heating and LW cooling (Figs. 8a, b), with the latter dominating. The net  
415 cooling offsets some SW heating especially near the top of the moist layer (Fig. 8c).  
416 Before the moist layer contacts the PBL, the additional downward LW radiative fluxes  
417 from its moisture serve to reduce cloud-top radiative cooling and thereby drive weaker  
418 PBL mixing that results in a more broken cloud field relative to the dry case (Fig. 9c).  
419 Reduced LWP diminishes upwelling SW radiative fluxes, enhancing the positive SW  
420 forcing on day 1 (Table 78). After the moist layer contacts the PBL, the entrained moist  
421 air leads to greater LWP and cloud cover than for the baseline, despite a weaker inversion  
422 (Figs. 8c and 9e). The increased cloud water greatly increases the net outgoing SW flux at  
423 TOA on days 2 and 3 (Table 78), and delays the SCT relative to the dry baseline (Figs. 9b  
424 and 9c). The SW changes in TOA radiative fluxes are seen in Table 78 to dominate the  
425 LW changes.

426         When an absorbing aerosol is then added to the moist layer aloft, the SCT is faster  
427 and more pronounced relative to the case with only a moisture perturbation (Fig. 9c).  
428 Comparison of Tables 42 and 89 reveals that the LW forcings are comparable with and  
429 without the additional moisture, but the SW forcings induced by indirect and semi-direct  
430 effects are about  $4 \text{ W m}^{-2}$  greater on days 2 and 3 with the moisture aloft. A thicker cloud  
431 layer with greater cloud cover has more to lose, and the more dramatic reduction in cloud  
432 cover during daytime predominantly changes the SW forcing. During nighttime, however,  
433 cloud cover diminishes less as a result of the entrained moist air (Fig. 9c). The  
434 counteracting day and night impacts on cloud cover keep the PBL depth close to that in  
435 the absence of the additional moisture (Fig. 9d), leading to little difference in the diurnal

436 average LW forcing (Fig. 9f, Table 89). The net result averaged over the 3-day transition  
437 is a modest positive SW forcing that cancels out the negative LW forcing (Table 89).

438

## 439 5. Impacts on heavily drizzling stratocumulus

440 The background aerosol concentrations in our simulations result in negligible  
441 drizzle for these conditions. As SCT is often observed in association with precipitation  
442 (e.g., Zhou et al., 2015), we next consider the impact of absorbing aerosol on the SCT of  
443 heavily drizzling stratocumulus by reducing the  $N_{a, \text{sulfate}}$  by six-fold, to  $25 \text{ mg}^{-1}$ .  
444 Throughout this section the aerosol layer base is initially at 1.3 km and the layer does not  
445 include additional moisture.

446 The reduced  $N_{a, \text{sulfate}}$  is associated with domain-mean drizzle at cloud base  
447 reaching  $\sim 2 \text{ mm d}^{-1}$  each night (Fig. 10f). With drizzle the stratocumulus deck retains the  
448 essential features of the PBL growth and of the thinning and dissipation of the  
449 stratocumulus layer during the SCT, but exhibits differences associated with a much  
450 weaker diurnal cycle (Fig. 10), as also reported by Sandu and Stevens (2011). As  
451 discussed in Sandu et al. (2008), a weaker diurnal cycle is attributable to depletion of  
452 cloud water and stratification of the PBL via precipitation, which limits the stratocumulus  
453 invigoration during the night. A reduced LWP in turn lessens solar heating after sunrise,  
454 reducing daytime cloud thinning and breakup.

455 As seen in Fig. 10f, entrainment of aerosol inhibits drizzle and thereby thickens  
456 the stratocumulus layer. This inhibition of drizzle restores more than enough cloud water  
457 to overcome PBL drying tendencies from the increased entrainment on day 2. After  
458 sunrise, cloud cover falls sharply as the reduced drizzle strengthens the diurnal cycle.

459 Owing to a thicker nocturnal cloud deck and a stronger inversion from aerosol heating  
460 aloft, cloud breakup is delayed but amplified on day 2. On day 3, the aerosol heating in  
461 the presence of a stronger diurnal cycle results in a hastened SCT.

462         The inhibition of drizzle on day 2 allows for greater mixing and entrainment (cf.  
463 Stevens et al., 1998) despite the stronger inversion from aerosol heating aloft (Fig. 10d).  
464 The deeper PBL is associated with cooler cloud tops that emit less LW radiation, leading  
465 to a positive LW forcing during the transition (Table 910). Such positive LW forcing is  
466 more than offset by the strong SW forcing attributable to a strong Twomey effect  
467 (relative to a cleaner baseline for this heavily drizzling case), and the net impact is  
468 therefore an amplified negative forcing (Table 910).

469

## 470         **6. Discussion and conclusions**

471         In this study we have examined the impact of an initially overlying layer of  
472 absorbing aerosol on the stratocumulus-to-cumulus transition (SCT) of lightly and  
473 heavily drizzling clouds via large-eddy simulations. Our results indicate that the  
474 overlying aerosol can profoundly modify the breakup of stratocumulus as it advects over  
475 increasingly warm SSTs. During the transition of lightly drizzling clouds, an overlying  
476 absorbing aerosol results in a more broken cloud field, hastening the SCT and  
477 strengthening the diurnal cycle. The hastened SCT in our simulations is primarily  
478 attributable to an increased number concentration of cloud droplets leading to faster  
479 evaporation of more cloud water that enhances entrainment. This result holds in the  
480 presence of additional moisture in the aerosol layer and is insensitive to a 400-m increase  
481 in its initial altitude. Drizzle constitutes another degree of complexity. Its inhibition from

482 aerosol entrainment thickens the stratocumulus and leads to a stronger diurnal cloud cycle  
483 that ultimately hastens the SCT.

484         The hastening of the SCT in this study is notable in contrast with Y15, who found  
485 the opposite in a similar study. The entrained aerosol in that study leads to increased  
486 cloudiness and a delay of the SCT before precipitation develops, suggesting that  
487 inhibition of precipitation is not the cause of delayed SCT in Y15. The strength of  
488 sedimentation and evaporation effects in the Y15 simulations are not obvious; we do find  
489 a delay in the SCT for a lightly drizzling case only when sedimentation and evaporation  
490 effects are both omitted (see Appendix A2). It is noteworthy that direct numerical  
491 simulation (DNS) indicates that the sensitivity of cloud-top entrainment is substantially  
492 underpredicted in LES (de Lozar and Mellado, 2016), so in reality the microphysical  
493 effects may be considerably stronger than represented here. Another likely source of  
494 discrepancy between our studies could be differences in model formulations. Y15 use the  
495 System for Atmospheric Modeling (SAM; Khairoutdinov and Randall, 2003) whereas  
496 here we use DHARMA (Ackerman et al., 2004). As seen in the intercomparison of de  
497 Roode et al. (2016), the evolution of cloudiness in SAM and DHARMA for that study's  
498 reference case (after Sandu and Stevens, 2011, from the observational study of Sandu et  
499 al., 2010) is notably different in that DHARMA tends to ultimately develop a more  
500 broken cloud field than SAM. The cloud cover in DHARMA better resembles the  
501 satellite observations of Sandu et al. (2010) than SAM does during the SCT (Fig. 3k in de  
502 Roode et al., 2016), but that is not necessarily proof of model skill since case study large-  
503 scale forcings tend to be insufficiently constrained by available observations (e.g.,  
504 | Vogelmann et al. 2015). Whereas here we neglect consumption of aerosol number

505 | (activation into cloud droplets is reversible through evaporation) owing to an absence of  
506 | constraints on aerosol source terms. In contrast, Y15 include aerosol consumption, and a  
507 | fixed surface source, which together result in their in-cloud droplet number concentration  
508 | dropping rapidly to  $O(10 \text{ cm}^{-3})$  within the final 12 h of their control simulation, inducing  
509 | a dramatic decrease in cloud cover that does not occur when an overlying aerosol layer is  
510 | included. The detailed dynamical and microphysical differences between the ~~models~~  
511 | ~~warrantsstudies~~ warrant further investigation, and future observational studies are  
512 | necessary to provide a firmer foundation ~~ø~~for establishing the impact of absorbing  
513 | aerosol on the timing of SCT.

514 | Our study suggests that even in the case of a hastened transition an initially  
515 | overlying absorbing aerosol layer can produce ~~a~~-net negative aerosol indirect and semi-  
516 | direct radiative forcings during SCT. For lightly drizzling stratocumulus, such negative  
517 | forcing is mainly attributable to greater cloud albedo from a dominant Twomey effect and  
518 | to negative LW forcing from greater cloud breakup over warmer SSTs and reduced PBL  
519 | top height from aerosol heating. Diminishing already from the interactions between  
520 | microphysical and semi-direct processes, when combined with aerosol direct SW forcing,  
521 | the net SW forcing nearly vanishes, ~~and therefore~~thus becoming even less significant  
522 | relative to the negative LW forcing during the SCT. We recommend that such sizable LW  
523 | forcings not be neglected when considering semi-direct aerosol forcings in the context of  
524 | stratocumulus breakup. Further sensitivity tests (Appendix A1) show that when SSA at  
525 | 0.5- $\mu\text{m}$  wavelength decreases further, the negative contributions can be overcome by the  
526 | large positive SW forcing via direct absorption, leading to net positive aerosol forcings.



527 We find it likely that similar positive forcings occur with an increase of aerosol layer  
528 thickness.

529         When the aerosol layer is initially placed at a higher altitude, the extended  
530 duration of aerosol overriding the stratocumulus deck intensifies the positive SW forcing  
531 from direct absorption, while largely enhancing the negative SW indirect and semi-direct  
532 forcings from less LWP reduction owing to less entrained aerosol and a stronger  
533 inversion, leading to a more negative net forcing when averaged over the 3-day transition.

534         A moist layer aloft associated with outflow from a deeper continental PBL tends  
535 to intensify the radiative forcings by reducing cloud-top LW cooling and thus convective  
536 intensity and increasing the positive SW forcing before contact with the PBL, and by  
537 enhancing negative SW forcing after contact via greater LWP resulting from reduced  
538 PBL drying. The net effect of the overlying additional moisture is to modestly increase  
539 cloud water during the 3-day transition. Absorbing aerosol in the presence of additional  
540 moisture tends to break up the cloud more dramatically relative to the effect of absorbing  
541 aerosol without additional moisture aloft. The presence of moisture little affects the LW  
542 forcing but leads to substantially more net downward SW flux at TOA. Averaged over  
543 the 3-day transition, the positive SW forcing cancels out the negative LW forcing.

544         We note that the simulations in this study are derived from observations over the  
545 northeast Pacific Ocean (Sandu et al., 2010) whereas the characteristics of the overlying  
546 absorbing aerosol layer are based on observations from the southeast Atlantic (A15). The  
547 different large-scale meteorological conditions at these two locations may limit the  
548 generality of this study to the SCT over the Atlantic. However, we find it likely that  
549 | similarly complex interactions (as summarized in Table 34) do occur. Future LES and

550 | global modeling studies based on conditions over the southeast Atlantic should be  
551 | developed to evaluate the results presented here and in Y15. This study may help inform  
552 | future analyses primarily by emphasizing the complexity of competing LW and SW  
553 | effects, and giving some indication of their relative strengths, which lead to a wide range  
554 | of indirect plus semi-direct forcings from slightly positive to  $-20 \text{ W m}^{-2}$  over our 3-day  
555 | simulations, depending upon assumptions made (Tables ~~4, 82~~, 9, 10, and A1). The  
556 | duration of time before the absorbing aerosol layer makes contact with the PBL, the  
557 | strength of drizzle prior to contact, the number concentration of aerosol entrained after  
558 | contact and the amount of moisture accompanying the aerosol are all found to be factors  
559 | of leading potential importance to regional radiative impacts of biomass burning over the  
560 | southeast Atlantic and elsewhere.

561

562 | *Acknowledgments.* This research was funded by the NASA ORACLES project  
563 | and the DOE ASR program. Resources supporting this work were provided by the NASA  
564 | High-End Computing (HEC) Program through the NASA Advanced Supercomputing  
565 | (NAS) Division at Ames Research Center. We thank Paquita Zuidema and an anonymous  
566 | reviewer for helpful suggestions.

567

## APPENDIX

568 | **a. Sensitivity to single scattering albedo of cloudiness and absorbing aerosol**

569 | **radiative forcing to SSA and initial number concentration**

570 | Fig. A1 compares the 3-day transition with varying values of ~~SSA~~ (single-scattering  
571 | albedo (SSA), at 0.55- $\mu\text{m}$  wavelength) for the absorbing aerosol. As discussed earlier, the  
572 | microphysical effect of aerosol acts to greatly reduce cloud water and hasten the SCT by

573 | virtue of ~~an~~-enhanced entrainment. This effect is also seen in the “SSA=1” case (~~pure~~  
574 | ~~scattering aerosol~~~~no absorption~~) in Fig. A1. The increased entrainment is reflected by the  
575 | fact that the deepening of the PBL varies little from the baseline simulation, despite  
576 | substantially reduced cloud cover and LWP. A decrease of SSA from 1 to 0.88 (~~the value~~  
577 | ~~used for the absorbing aerosol throughout the study~~) serves to strengthen the inversion  
578 | and enhance the diurnal cycle. These trends are greater when SSA is further reduced to  
579 | 0.71, which strengthens the inversion by ~3 K on day 2 and ~4 K on day 3, and deepens  
580 | the PBL 400 m less by the end of day 3. The strengthened inversion slightly hinders  
581 | cloud breakup, while still hastening the SCT relative to the baseline (Figs. A1b and A1c).  
582 | Although the decrease of SSA amplified the net negative LW forcing via the slower  
583 | deepening of the PBL, that LW forcing is more than offset by the positive SW forcing  
584 | attributable to direct absorption by the aerosol, and therefore the 3-day mean radiative  
585 | forcing increases with the decrease of SSA. Thus, for the strongly absorbing aerosol case  
586 | (SSA = 0.71) it is seen in Table A1 that the net radiative forcing is positive on average.

587 | ~~————The radiative forcing is also sensitive to the initial number concentration of the~~  
588 | ~~overlying aerosol, as a five-fold reduction in  $N_{a, \text{absorb}}$ , to  $1000 \text{ mg}^{-1}$ , leads to the average~~  
589 | ~~radiative forcing nearly vanishing during the transition (Table A1).~~

590 |  
591 |

592 | **b. Combined effects of overlying absorbing aerosol in the absence of**  
593 | **sedimentation and evaporation effects**

594 | As seen in Fig. A2, an overlying absorbing aerosol results in a delayed SCT when  
595 | sedimentation and evaporation effects are both omitted. The lack of microphysical

596 effects on dynamics isolates the influence of aerosol heating, which increases LWP  
597 and especially cloud cover during the night and delays the SCT. We note that Y15  
598 also found a delay in the SCT, but the similarity with this result may be coincidental.

599

600

## REFERENCES

601

Abdul-Razzak, H., & Ghan, S. J. (2000). A parameterization of aerosol activation 2. Multiple aerosol types.

602

*J. Geophys. Res.*, 105, 6837-6844.

603

~~Albrecht, B. A. (1989). Aerosols, cloud microphysics, and fractional cloudiness. *Science*, 245(4923), 1227-~~

604

~~1230.~~

605

Ackerman, A. S., Toon, O. B., & Hobbs, P. V. (1993). Dissipation of marine stratiform clouds and collapse

606

of the marine boundary layer due to the depletion of cloud condensation nuclei by clouds. *Science*,

607

262(5131), 226-229.

608

Ackerman, A. S., Hobbs, P. V., & Toon, O. B. (1995). A model for particle microphysics, turbulent mixing,

609

and radiative transfer in the stratocumulus-topped marine boundary layer and comparisons with

610

measurements. *Journal of the atmospheric sciences*, 52(8), 1204-1236.

611

Ackerman, A. S., Toon, O. B., Stevens, D. E., Heymsfield, A. J., Ramanathan, V., & Welton, E. J. (2000).

612

Reduction of tropical cloudiness by soot. *Science*, 288(5468), 1042-1047.

613

Ackerman, A. S., Kirkpatrick, M. P., Stevens, D. E., & Toon, O. B. (2004). The impact of humidity above

614

stratiform clouds on indirect aerosol climate forcing. *Nature*, 432(7020), 1014-1017.

615

Ackerman, A.S., M.C. van Zanten, B. Stevens, V. Savic-Jovicic, C.S. Bretherton, A. Chlond, J.-G. Golaz, H.

616

Jiang, M. Khairoutdinov, S.K. Krueger, D.C. Lewellen, A. Lock, C.-H. Moeng, K. Nakamura,

617

M.D. Petters, J.R. Snider, S. Weinbrecht, and M. Zulauf, 2009: Large-eddy simulations of a

618

drizzling, stratocumulus-topped marine boundary layer. *Mon. Weather Rev.*, 137, 1083-1110.

619

Adebiyi, A. A., Zuidema, P., & Abel, S. J. (2015). The convolution of dynamics and moisture with the

620

presence of shortwave absorbing aerosols over the southeast Atlantic. *J. Clim.*, 28, 1997-2024.

621

622 [Adebiyi, A. A., & Zuidema, P. \(2016\). The role of the southern African easterly jet in modifying the](#)  
623 [southeast Atlantic aerosol and cloud environments. \*Quarterly Journal of the Royal Meteorological\*](#)  
624 [Society, 142\(697\), 1574-1589.](#)

625 [Albrecht, B. A. \(1989\). Aerosols, cloud microphysics, and fractional cloudiness. \*Science\*, 245\(4923\), 1227-](#)  
626 [1230.](#)

627 Bretherton, C. S., & Wyant, M. C. (1997). Moisture transport, lower-tropospheric stability, and decoupling  
628 of cloud-topped boundary layers. *Journal of the Atmospheric Sciences*, 54(1), 148-167.

629 Bretherton, C. S., Blossey, P. N., & Uchida, J. (2007). Cloud droplet sedimentation, entrainment efficiency,  
630 and subtropical stratocumulus albedo. *Geophysical Research Letters*, 34(3).

631

632 Chand, D., Wood, R., Anderson, T. L., Satheesh, S. K., & Charlson, R. J. (2009). Satellite-derived direct  
633 radiative effect of aerosols dependent on cloud cover. *Nature Geoscience*, 2(3), 181-184.

634 Coakley, J. A., Jr., & Walsh, C. D. (2002). Limits to the aerosol indirect radiative effect derived from  
635 observations of ship tracks. *J. Atmos. Sci.*, 59, 668-680.

636 Cook, J., & Highwood, E. J. (2004). Climate response to tropospheric absorbing aerosols in an intermediate  
637 general-circulation model. *Quarterly Journal of the Royal Meteorological Society*, 130(596), 175-  
638 191.

639 de Lozar, A., and J. Mellado, 2016: Reduction of the entrainment velocity by  
640 cloud droplet sedimentation in stratocumulus. *J. Atmos. Sci.* doi:10.1175/JAS-D-  
641 16-0196.1, in press.

642 de Roode, S. R., Sandu, I., van der Dussen, J. J., Ackerman, A. S., Blossey, P., Jarecka, D., ... & Stevens,  
643 B. (2016). Large eddy simulations of EUCLIPSE/GASS Lagrangian stratocumulus to cumulus  
644 transitions: Mean state, turbulence, and decoupling. *Journal of the Atmospheric Sciences*, (2016).

645 Engelhart, G. J., Hennigan, C. J., Miracolo, M. A., Robinson, A. L., & Pandis, S. N. (2012). Cloud  
646 condensation nuclei activity of fresh primary and aged biomass burning aerosol. *Atmospheric*  
647 *Chemistry and Physics*, 12(15), 7285-7293.

648 Feingold, G., Jiang, H., & Harrington, J. Y. (2005). On smoke suppression of clouds in Amazonia.  
649 *Geophysical Research Letters*, 32(2).

650 Forster, A., Schouten, S., Baas, M., & Damsté, J. S. S. (2007). Mid-Cretaceous (Albian–Santonian) sea  
651 surface temperature record of the tropical Atlantic Ocean. *Geology*, 35(10), 919-922.

652 Geoffroy, O., Brenguier, J.-L., & Burnet, F. (2010). Parametric representation of the cloud droplet spectra  
653 for LES warm bulk microphysical schemes. *Atmos. Chem. Phys.*, 10, 4835-4848.

654 Ghan, S. J. (2013). Technical Note: Estimating aerosol effects on cloud radiative forcing. *Atmospheric  
655 Chemistry and Physics*, 13(19), 9971-9974.

656 Hansen, J., Sato, M., & Ruedy, R. (1997). Radiative forcing and climate response. *Journal of Geophysical  
657 Research: Atmospheres*, 102(D6), 6831-6864.

658 Haywood, J., Francis, P., Dubovik, O., Glew, M., & Holben, B. (2003a). Comparison of aerosol size  
659 distributions, radiative properties, and optical depths determined by aircraft observations and Sun  
660 photometers during SAFARI 2000. *Journal of Geophysical Research: Atmospheres*, 108(D13).

661 Haywood, J., Osborne, S. R., Francis, P. N., Keil, A., Formenti, P., Andreae, M. O., & Kaye, P. H. (2003b).  
662 The mean physical and optical properties of regional haze dominated by biomass burning aerosol  
663 measured from the C-130 aircraft during SAFARI 2000. *Journal of Geophysical Research:  
664 Atmospheres*, 108(D13).

665 Hindman, E. E., Porch, W. M., Hudson, J. G., & Durkee, P. A. (1994). Ship-produced cloud lines of 13  
666 July 1991. *Atmospheric Environment*, 28(20), 3393-3403.

667 Jacobson, M. Z. (2002). Control of fossil-fuel particulate black carbon and organic matter, possibly the  
668 most effective method of slowing global warming. *Journal of Geophysical Research:  
669 Atmospheres*, 107(D19).

670 [Jayaraman, A., Lubin, D., Ramachandran, S., Ramanathan, V., Woodbridge, E., Collins, W. D., & Zalpuri,](#)  
671 [K. S. \(1998\). Direct observations of aerosol radiative forcing over the tropical Indian Ocean during](#)  
672 [the January-February 1996 pre-INDOEX cruise. \*Journal of Geophysical Research: Atmospheres\*,](#)  
673 [103\(D12\), 13827-13836.](#)

674 Johnson, B. T., Shine, K. P., & Forster, P. M. (2004). The semi-direct aerosol effect: Impact of absorbing  
675 aerosols on marine stratocumulus. *Quarterly Journal of the Royal Meteorological Society*,  
676 130(599), 1407-1422.

677 Johnson, B. T. (2005). Large-eddy simulations of the semidirect aerosol effect in shallow cumulus regimes.  
678 *Journal of Geophysical Research: Atmospheres*, 110(D14).

679 Keil, A., & Haywood, J. M. (2003). Solar radiative forcing by biomass burning aerosol particles during  
680 SAFARI 2000: A case study based on measured aerosol and cloud properties. *Journal of*  
681 *Geophysical Research: Atmospheres*, 108(D13).

682 Khairoutdinov, M. F., & Randall, D. A. (2003). Cloud resolving modeling of the ARM summer 1997 IOP:  
683 Model formulation, results, uncertainties, and sensitivities. *Journal of the Atmospheric Sciences*,  
684 60(4), 607-625.

685 Klein, S. A., & Hartmann, D. L. (1993). The seasonal cycle of low stratiform clouds. *Journal of Climate*,  
686 6(8), 1587-1606.

687 Morrison, H., Curry, J. A., & Khvorostyanov, V. I. (2005). A new double-  
688 moment microphysics parameterization for application in cloud and climate models. Part I:  
689 Description. *Journal of the Atmospheric Sciences*, 62(6), 1665-1677.

689 Labonne, M., Bréon, F. M., & Chevallier, F. (2007). Injection height of biomass burning aerosols as seen  
690 from a spaceborne lidar. *Geophysical Research Letters*, 34(11).

691 Lindstrot, R., Stengel, M., Schröder, M., Fischer, J., Preusker, R., Steenbergen, T., & Bojkov, B. R. (2014).  
692 A global climatology of total columnar water vapour from SSM/I and MERIS. *Earth. Sys. Sci.*  
693 *Data*, 6, 221-233.

694 [Loeb, N. G., & Schuster, G. L. \(2008\). An observational study of the relationship between cloud, aerosol](#)  
695 [and meteorology in broken low-level cloud conditions. \*Journal of Geophysical Research:\*](#)  
696 [\*Atmospheres\*, 113\(D14\).](#)

697 Lohmann, U., & Feichter, J. (2001). Can the direct and semi-direct aerosol effect compete with the indirect  
698 effect on a global scale?. *Geophysical Research Letters*, 28(1), 159-161.

699 Menon, S., Hansen, J., Nazarenko, L., & Luo, Y. (2002). Climate effects of black carbon aerosols in China  
700 and India. *Science*, 297(5590), 2250-2253.

701 Morrison, H., Curry, J. A., & Khvorostyanov, V. I. (2005). A new double-moment microphysics  
702 parameterization for application in cloud and climate models. Part I: Description. *Journal of the*  
703 *Atmospheric Sciences*, 62(6), 1665-1677.

704 Morrison, H., & Grabowski, W. W. (2008). Modeling supersaturation and subgrid-scale mixing with two-  
705 moment bulk warm microphysics. *Journal of the Atmospheric Sciences*, 65(3), 792-812.

706 Penner, J. E., Zhang, S. Y., & Chuang, C. C. (2003). Soot and smoke aerosol may not warm climate.  
707 *Journal of Geophysical Research: Atmospheres*, 108(D21).

708 Petters, M. D., & Kreidenweis, S. M. (2007). A single parameter representation of hygroscopic growth and  
709 cloud condensation nucleus activity. *Atmospheric Chemistry and Physics*, 7(8), 1961-1971.

710 Pincus, R., & Baker, M. B. (1994). Effect of precipitation on the albedo susceptibility of clouds in the  
711 marine boundary layer. *Nature*, 372(6503), 250-252.

712 Randall, D. A., Coakley Jr, J. A., Lenschow, D. H., Fairall, C. W., & Kropfli, R. A. (1984). Outlook for  
713 research on subtropical marine stratification clouds. *Bulletin of the American Meteorological*  
714 *Society*, 65(12), 1290-1301.

715 Sakaeda, N., Wood, R., & Rasch, P. J. (2011). Direct and semidirect aerosol effects of southern African  
716 biomass burning aerosol. *Journal of Geophysical Research: Atmospheres*, 116(D12).

717 Sandu, I., Brenguier, J. L., Geoffroy, O., Thouron, O., & Masson, V. (2008). Aerosol impacts on the  
718 diurnal cycle of marine stratocumulus. *Journal of the Atmospheric Sciences*, 65(8), 2705-2718.

719 Sandu, I., Stevens, B., & Pincus, R. (2010). On the transitions in marine boundary layer cloudiness.  
720 *Atmospheric Chemistry and Physics*, 10(5), 2377-2391.

721 Sandu, I., & Stevens, B. (2011). On the factors modulating the stratocumulus to cumulus transitions.  
722 *Journal of the Atmospheric Sciences*, 68(9), 1865-1881.

723 [Satheesh, S. K., & Ramanathan, V. \(2000\). Large differences in tropical aerosol forcing at the top of the](#)  
724 [atmosphere and Earth's surface. \*Nature\*, 405\(6782\), 60.](#)

725 Slingo, A., & Schrecker, H. M. (1982). On the shortwave radiative properties of stratiform water clouds.  
726 *Quarterly Journal of the Royal Meteorological Society*, 108(456), 407-426.

727 Stevens, B., Cotton, W. R., Feingold, G., & Moeng, C.-H. (1998). Large eddy simulations of strongly  
728 precipitating, shallow, stratocumulus-topped boundary layers. *Journal of the Atmospheric Sciences*,  
729 55, 3616-3638.



730 Toon, O. B., McKay, C. P., Ackerman, T. P., & Santhanam, K. (1989). Rapid calculation of radiative  
731 heating rates and photodissociation rates in inhomogeneous multiple scattering atmospheres. *J.*  
732 *Geophys. Res.*, *94*(D13), 16287-16301.

733 Twomey, S. (1974). Pollution and the planetary albedo. *Atmospheric Environment*, *8*(12), 1251-1256.

734 Twomey, S. (1991). Aerosols, clouds and radiation. *Atmospheric Environment. Part A. General Topics*,  
735 *25*(11), 2435-2442.

736 Vogelmann, A.M., A.M. Fridlind, T. Toto, S. Endo, W. Lin, J. Wang, S. Feng, Y. Zhang, D.D Turner, Y.  
737 Liu, Z. Li, S. Xie, A.S. Ackerman, M. Zhang, & M. Khairoutdinov (2015). RACORO continental  
738 boundary layer cloud investigations. Part I: Case study development and ensemble large-scale  
739 forcings. *J. Geophys. Res. Atmos.*, *120*(12), 5962-5992, doi:10.1002/2014JD022713.

740 [Wilcox, E. M. \(2010\). Stratocumulus cloud thickening beneath layers of absorbing smoke aerosol.](#)  
741 [\*Atmospheric Chemistry and Physics\*, \*10\*\(23\), 11769-11777.](#)

742 Wyant, M. C., Bretherton, C. S., Rand, H. A., & Stevens, D. E. (1997). Numerical simulations and a  
743 conceptual model of the stratocumulus to trade cumulus transition. *Journal of the Atmospheric*  
744 *Sciences*, *54*(1), 168-192.

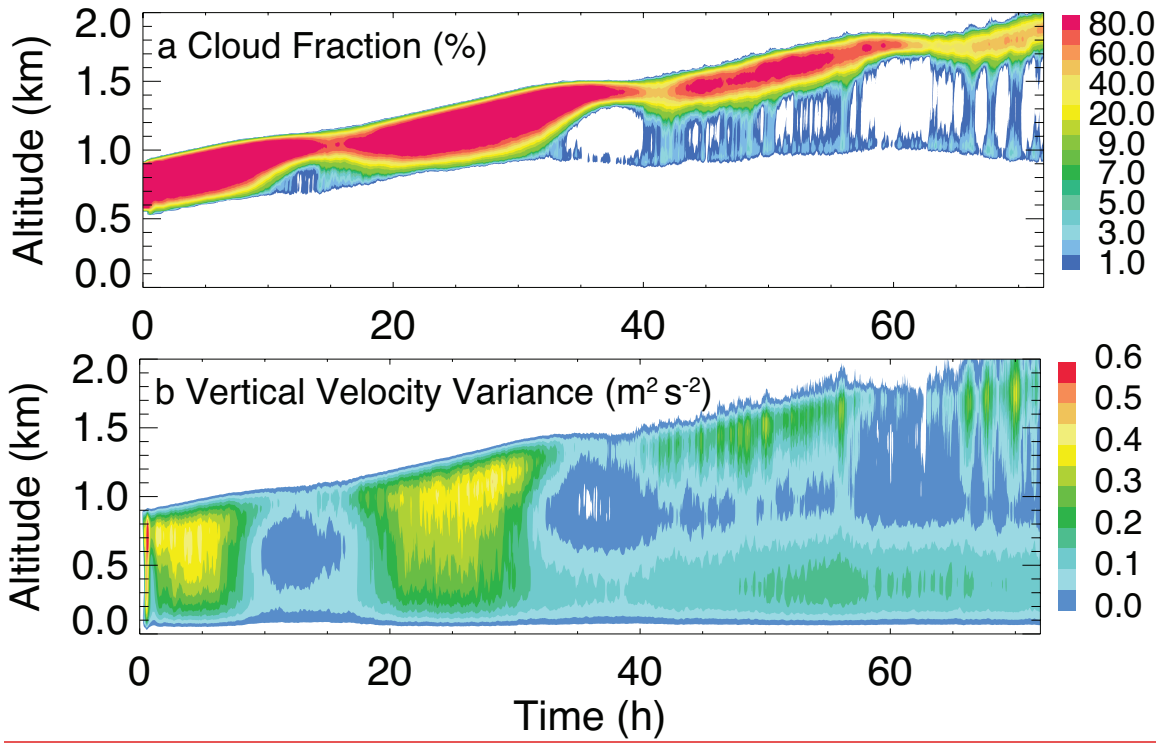
745 Wood, R. (2007). Cancellation of aerosol indirect effects in marine stratocumulus through cloud thinning. *J.*  
746 *Atmos. Sci.* *64*, 2657-2779.

747 Xue, H., Feingold, G., & Stevens, B. (2008). Aerosol effects on clouds, precipitation, and the organization  
748 of shallow cumulus convection. *Journal of the Atmospheric Sciences*, *65*(2), 392-406.

749 Yamaguchi, T., Feingold, G., Kazil, J., & McComiskey, A. (2015). Stratocumulus to cumulus transition in  
750 the presence of elevated smoke layers. *Geophysical Research Letters*, *42*(23).

751 Zhou, X., Kollias, P., & Lewis, E. R. (2015). Clouds, precipitation, and marine boundary layer structure  
752 during the MAGIC field campaign. *Journal of Climate*, *28*(6), 2420-2442.

FIGURES



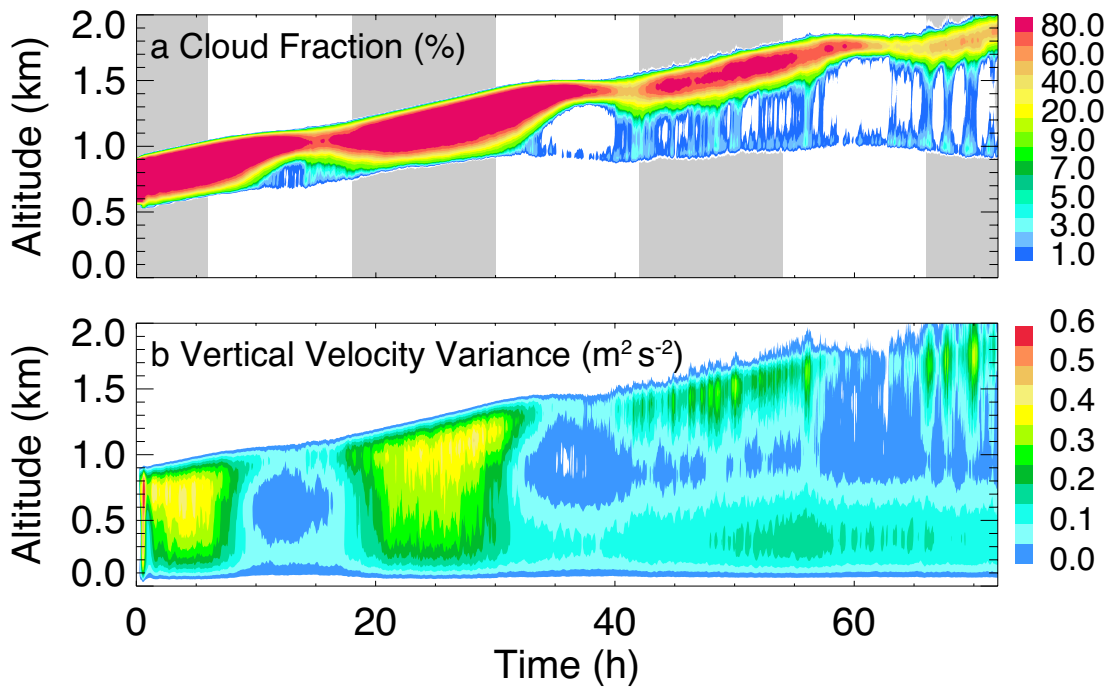
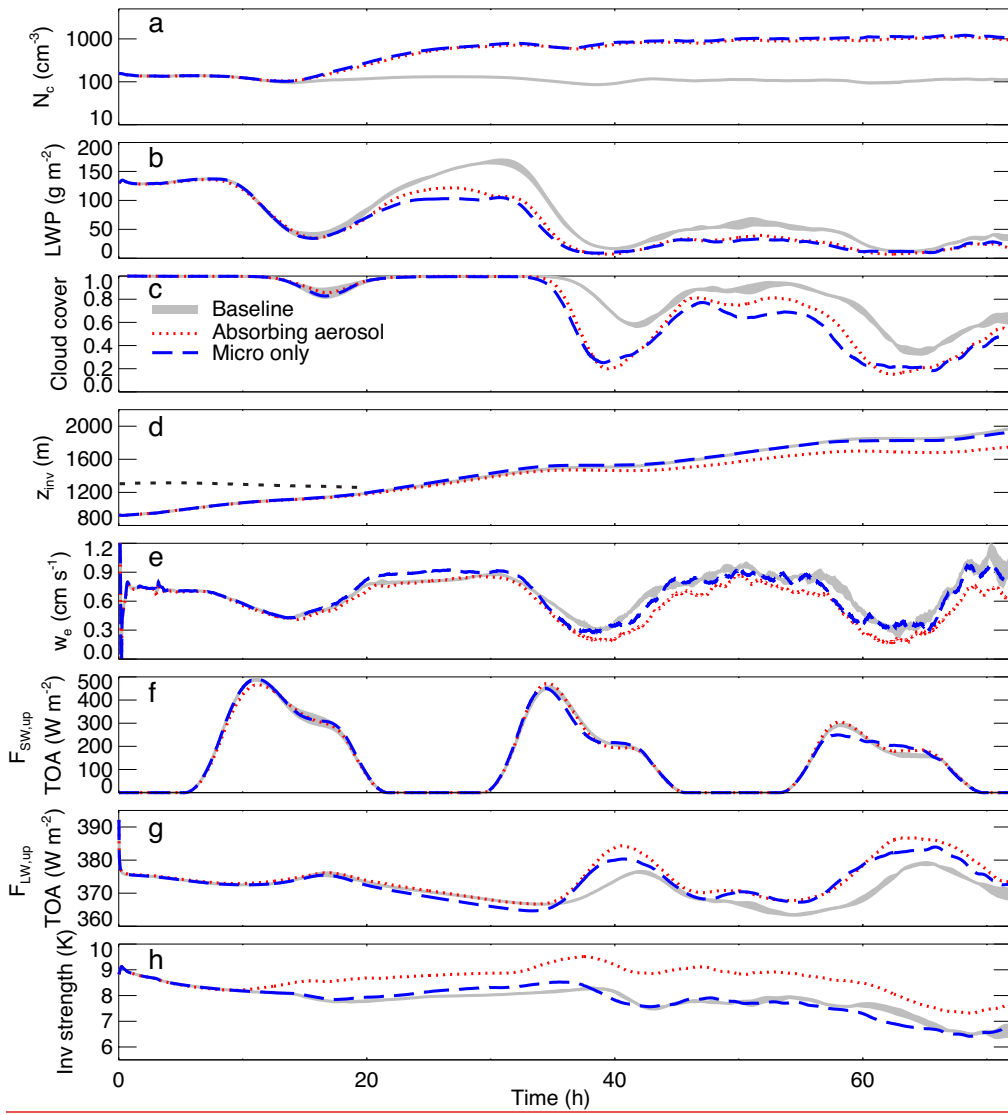
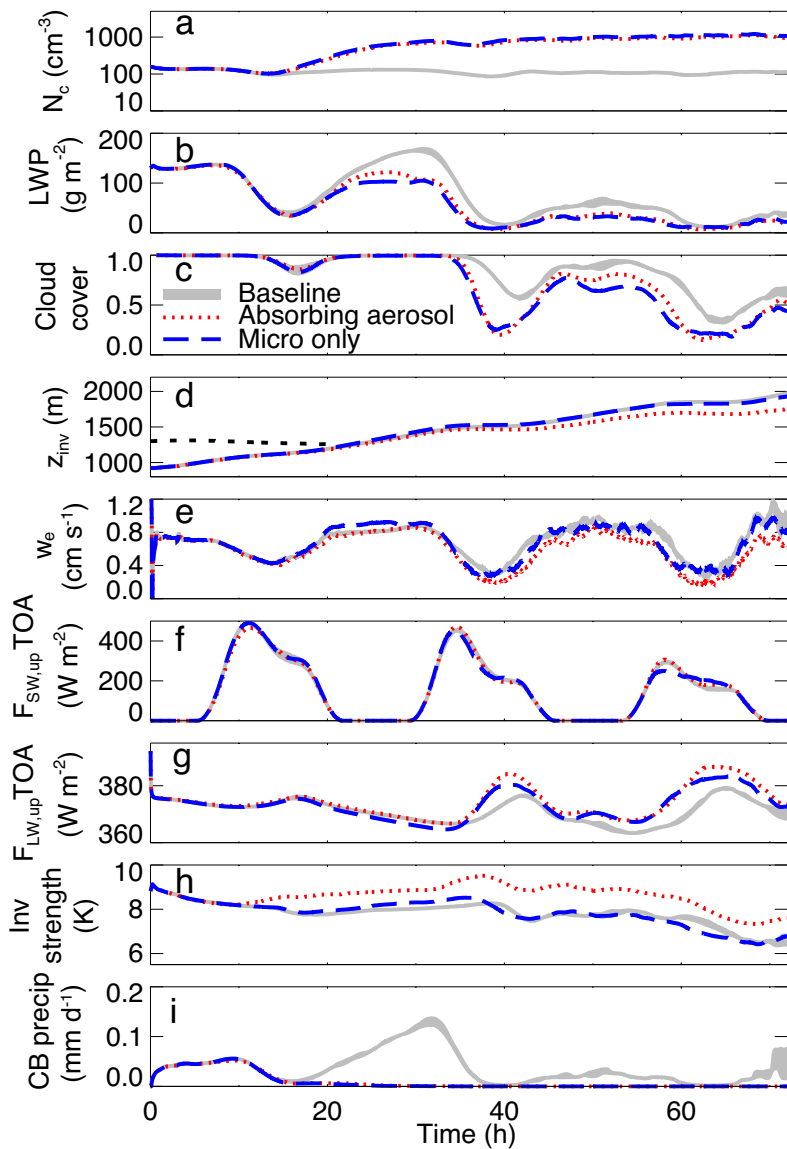


Fig. 1. Evolution of horizontal average profiles of (a) cloud fraction (where defined by  
 5 cloud water mixing ratio exceeds threshold of  $0.01 \text{ g kg}^{-1}$ ) and (b) vertical velocity  
 variance for lightly drizzling baseline case ( $N_{a, \text{sulfate}}=150 \text{ mg}^{-1}$ ). The simulation starts at  
midnight local time. Gray shading indicates nominal nighttime (6 pm~6 am local time).

10

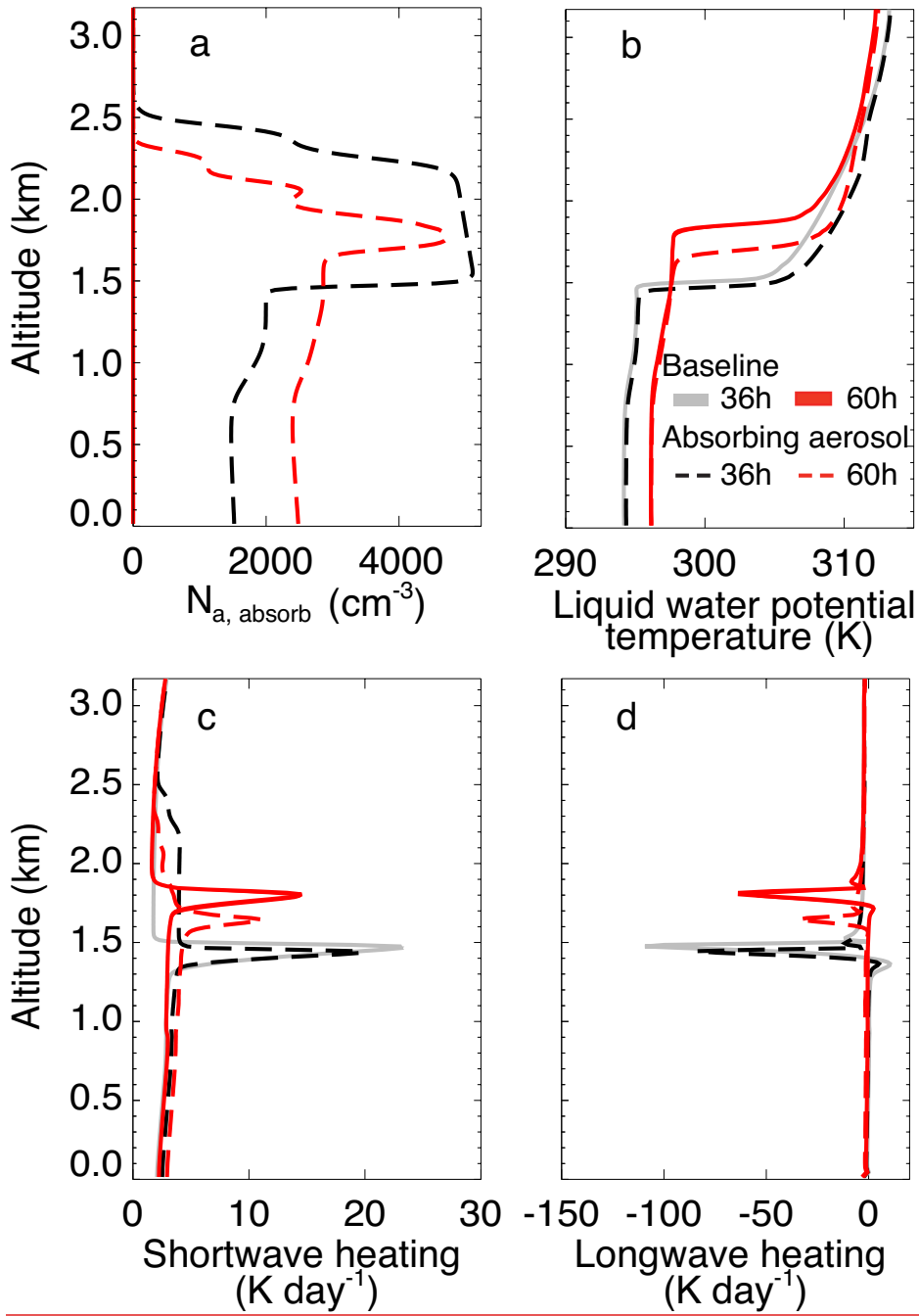
15





20 Fig. 2. Evolution of domain averages of- (a) cloud droplet number concentration ( $N_c$ ,  
 average weighted by cloud water mixing ratio), (b) liquid water path (LWP), (c) cloud  
 cover (columns with  $LWP > 10 \text{ g m}^{-2}$ ), (d) inversion height (height of maximum potential  
 temperature gradient), (e) entrainment rate (difference of inversion height tendency and  
 subsidence rate at inversion height), (f) upwelling shortwave (SW) and (g) longwave  
 25 (LW) radiative fluxes at TOA-and, (h) inversion strength ( $\Delta T$  across inversion defined as  
 the vertical extent with continuous positive temperature gradient-), and (i) precipitation

rate at cloud base (mean over cloudy columns of lowermost height where cloud water mixing ratio exceeds  $0.01 \text{ g kg}^{-1}$ ). Results shown as lagged 3-hour running averages to smooth entrainment rates. Range of ~~3~~three-member lightly drizzling baseline ensemble ( $N_{a, \text{sulfate}} = 150 \text{ mg}^{-1}$ ) in gray. Results with absorbing aerosol layer shown as red dotted line. ~~Aerosol~~Results with aerosol layer excluding radiative interaction shown as blue dashed line. The black dotted line in (d) indicates the base of absorbing aerosol layer (lowest height where  $N_{a, \text{absorb}}$  is full strength) before contacting the boundary layer.



35

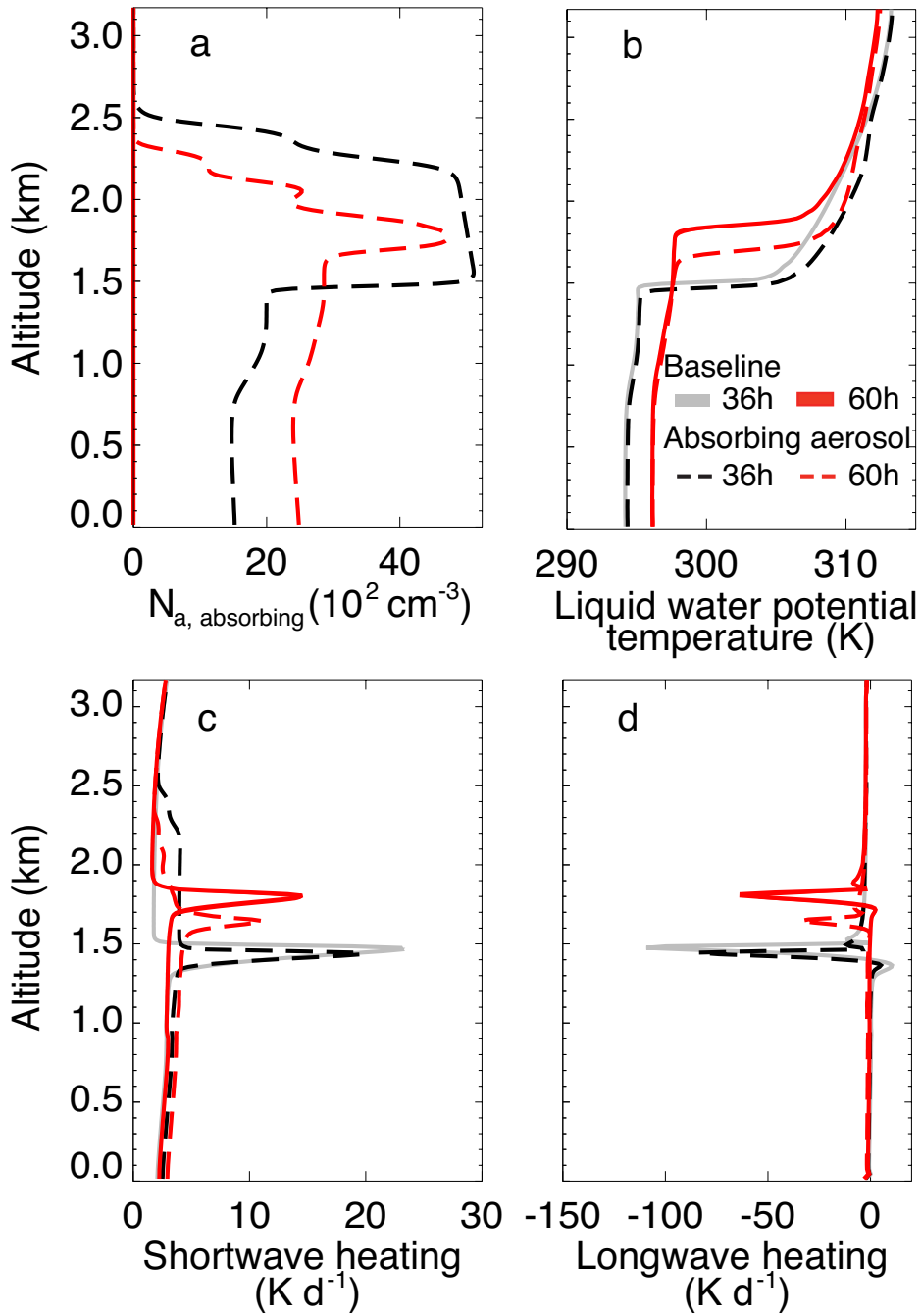
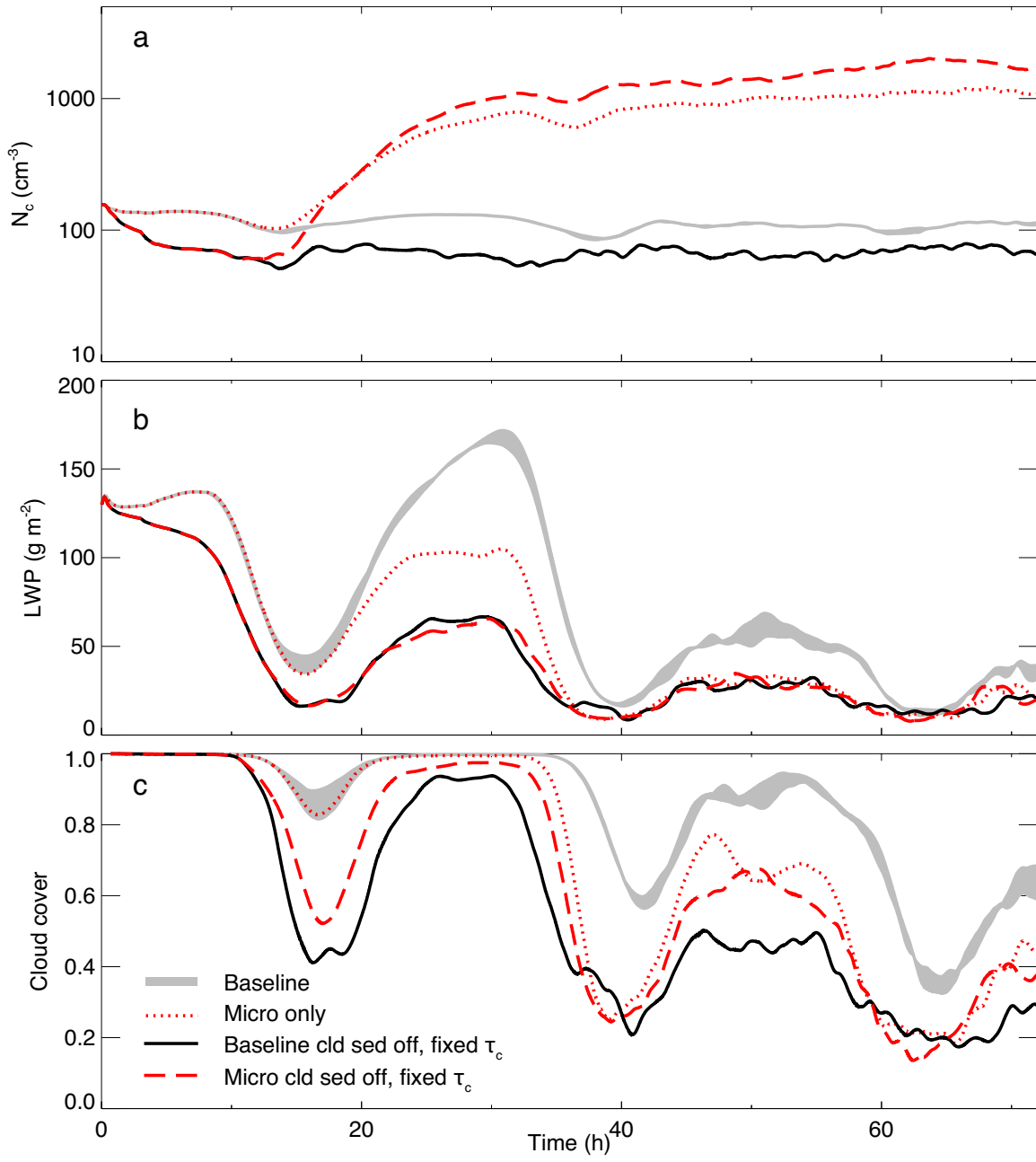


Fig. 3. Horizontally averaged profiles of (a) number concentration of absorbing aerosol, (b) liquid water potential temperature, (c) SW heating rate and (d) LW heating rate at 36<sup>th</sup> 40 hour (gray solid line) and 60<sup>th</sup> hour (red solid line) for lightly drizzling baseline ensemble ( $N_{a, \text{sulfate}} = 150 \text{ mg}^{-1}$ ) and with overlying absorbing aerosol (dashed line).





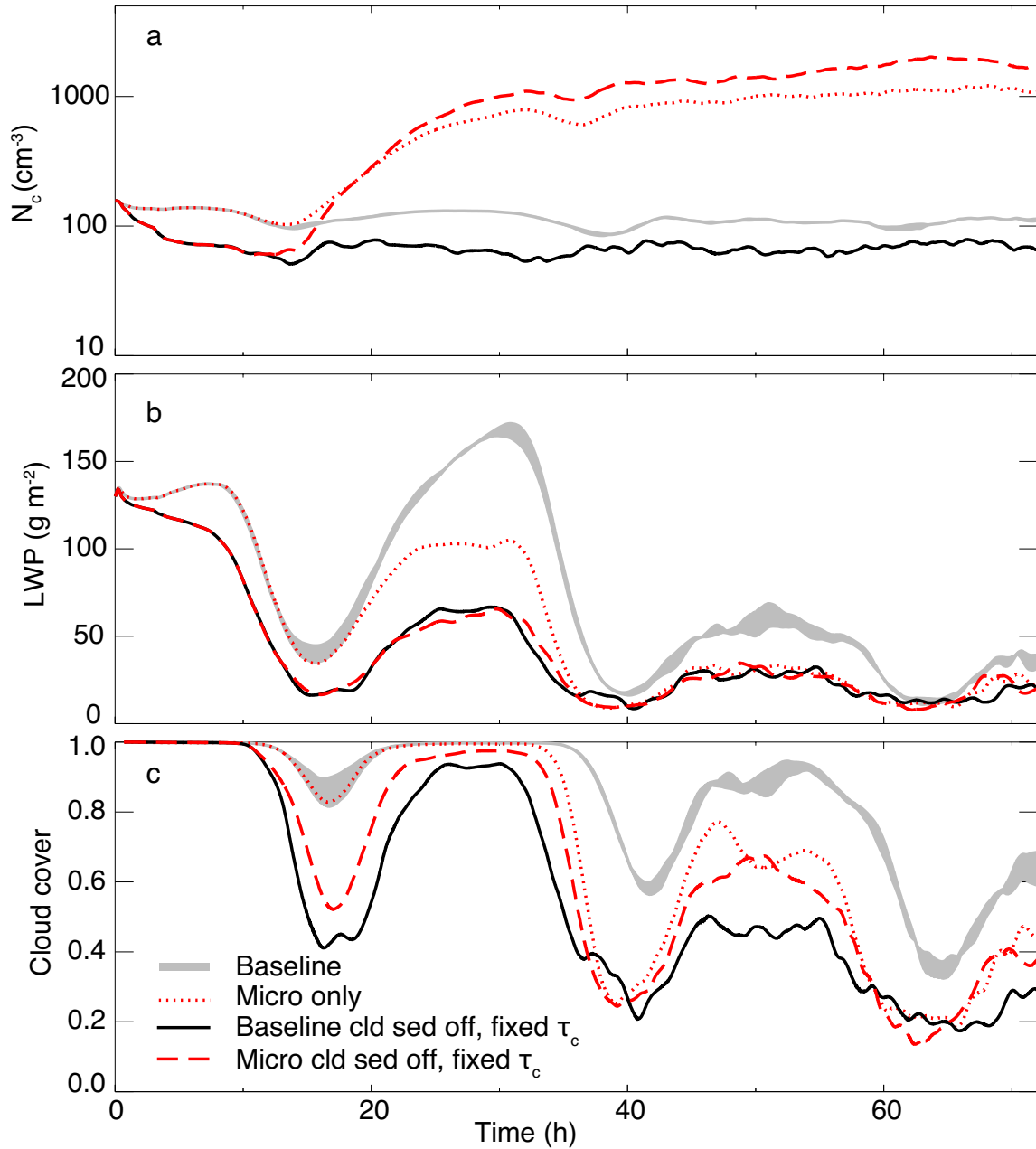
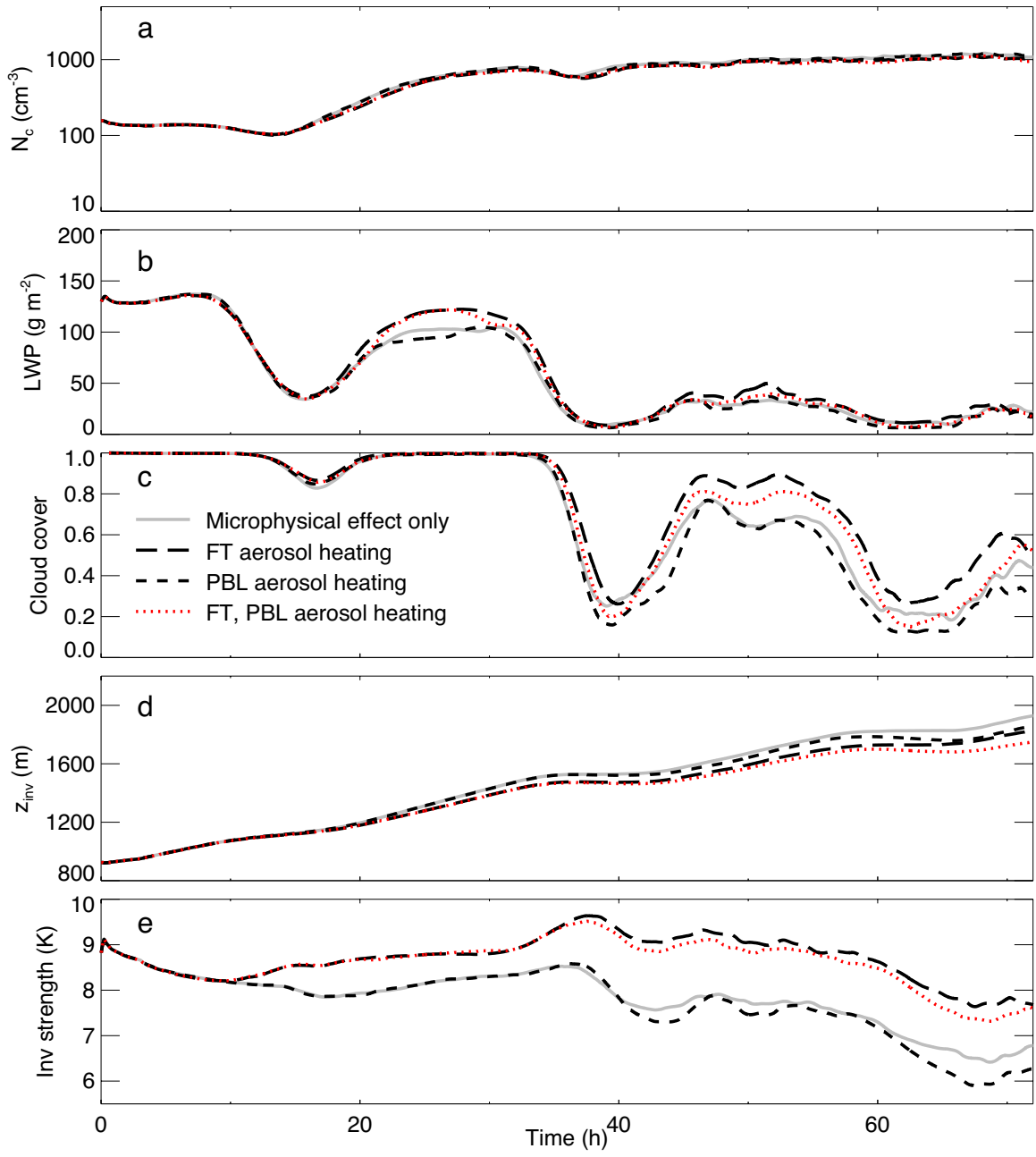
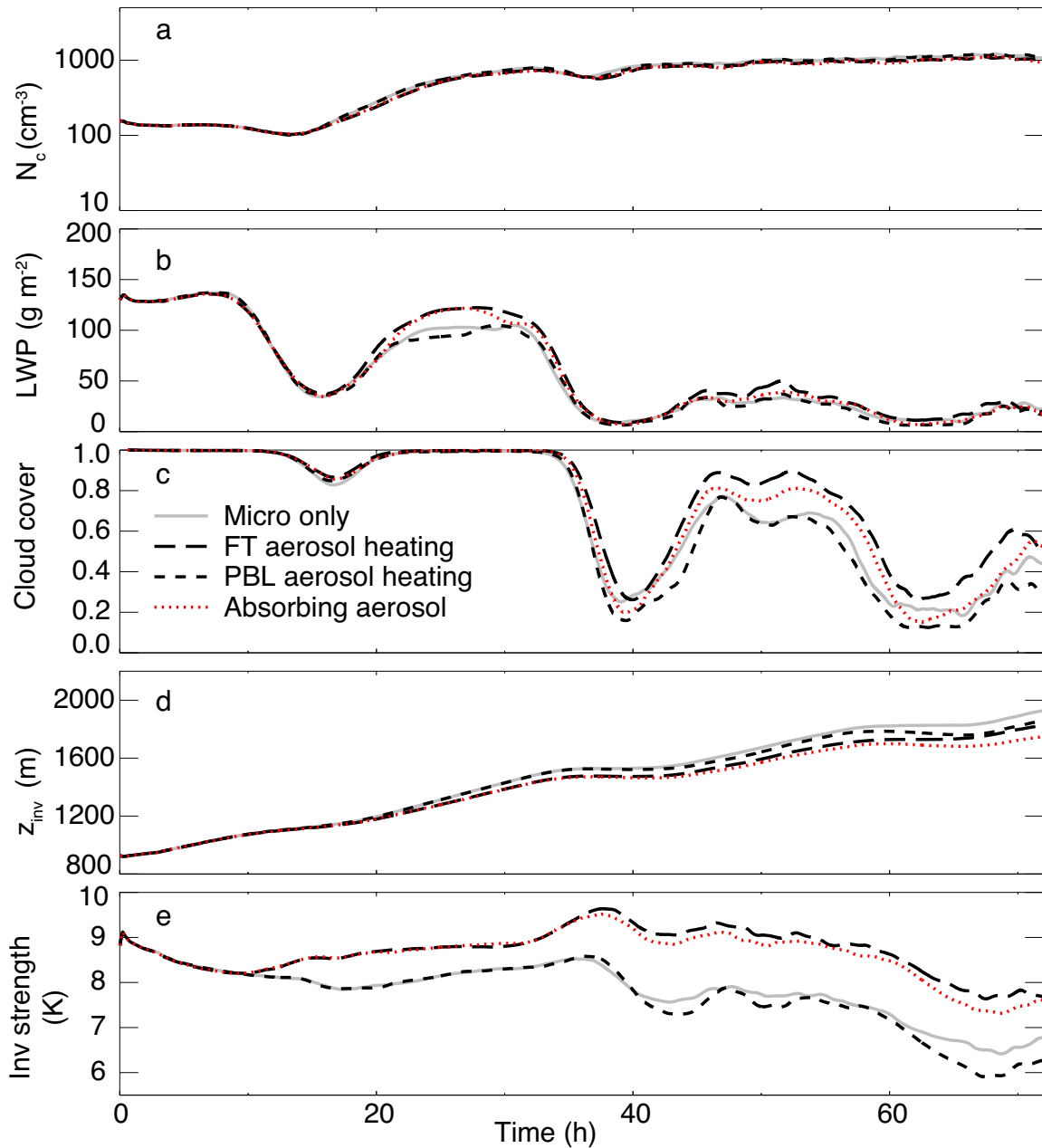


Fig. 4. As in Fig. 2 with baseline in gray and with overlying aerosol that does not affect radiation shown with dotted red line. Baseline and overlying aerosol cases in the absence of cloud-droplet sedimentation and with ~~the~~fixed relaxation time for diffusional growth of cloud droplet ( $\tau_c$ )-fixed are shown with black solid and red dashed lines respectively.





50

Fig. 5. As in Fig. 2. All cases include initially overlying absorbing aerosol and allow them to act as CCN. For gray solid line the aerosol does not affect radiation. For long and short dashed lines, the aerosol affects radiation only in the free troposphere (FT) and planetary boundary layer (PBL), respectively. For red dotted line there are no restrictions on aerosol affecting radiation, as in Fig. 2.

55

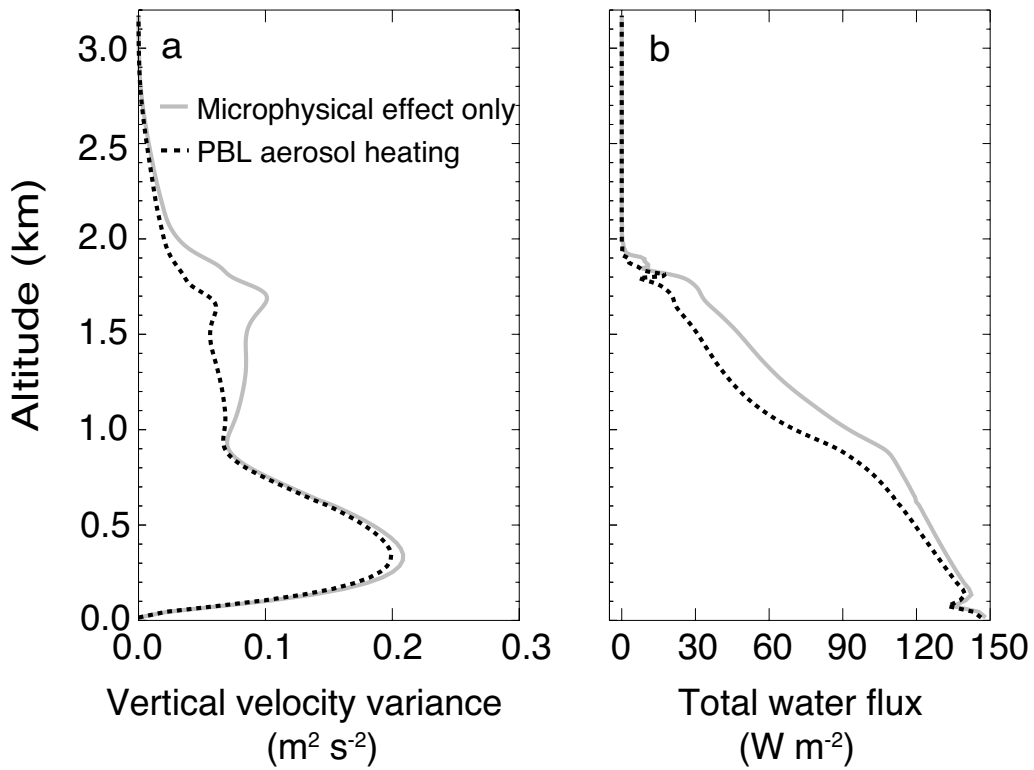
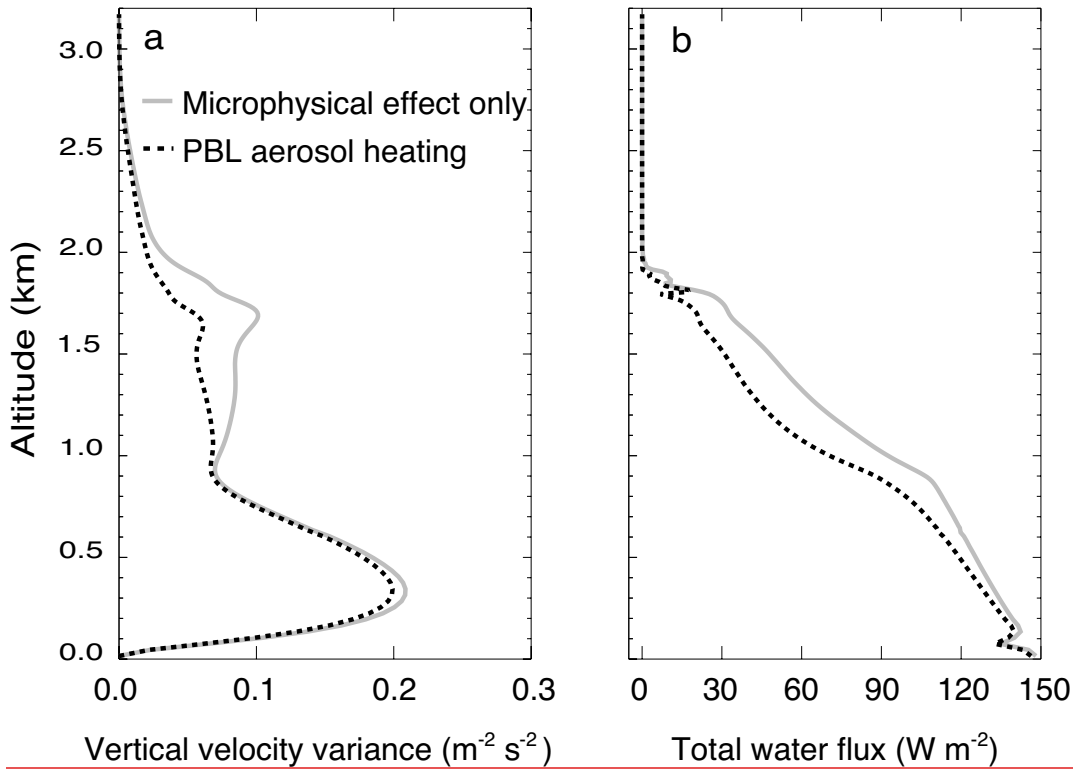


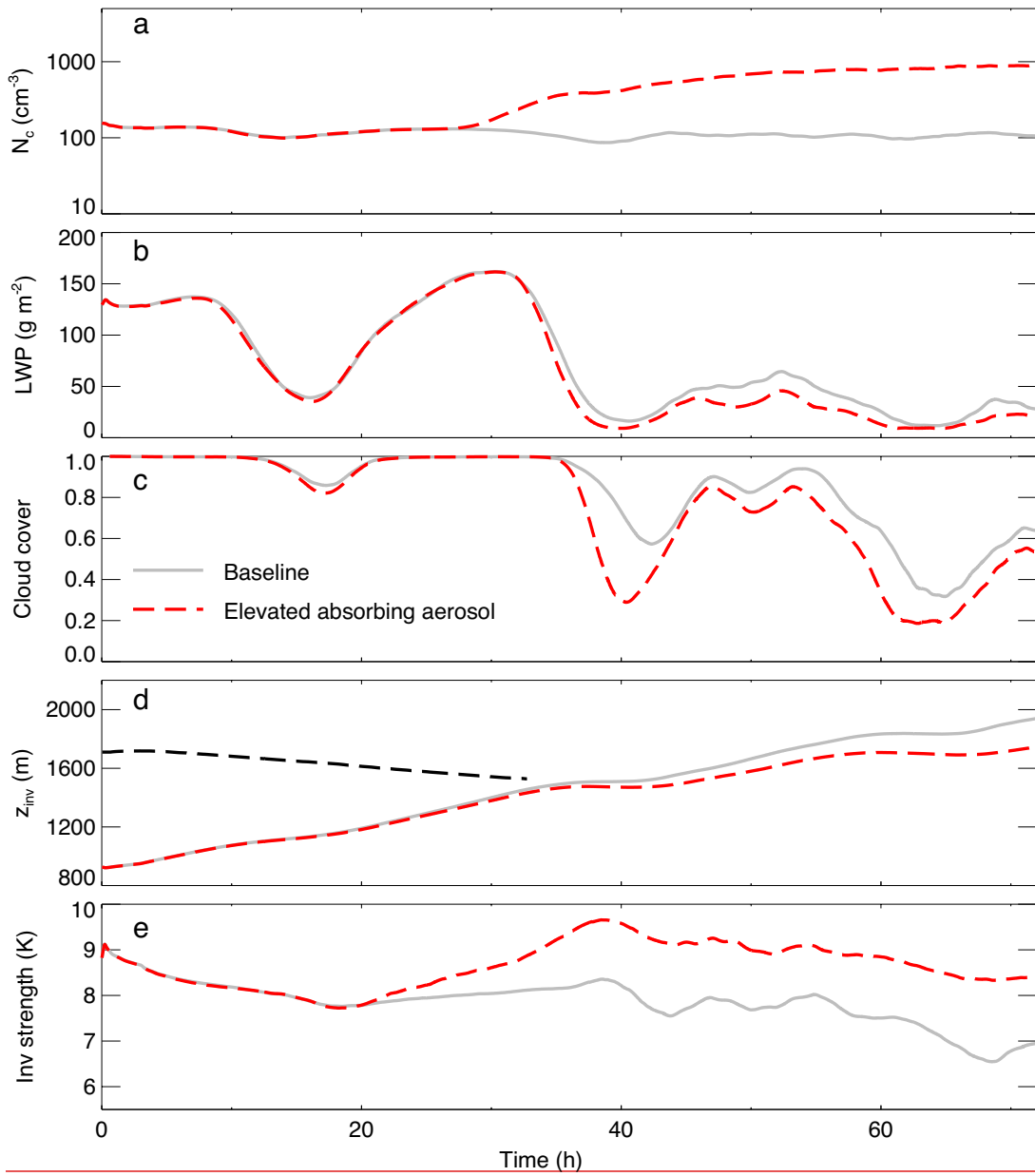
Fig. 6. Horizontally averaged profiles of (a) vertical velocity variance and (b) total water flux averaged over 10 AM to 2 PM local time on day 3 for simulations with [\(gray solid](#)

60 | line) and without (black dotted line) absorbing aerosol affecting radiation in the PBL.

Both simulations include microphysical effects of entrained aerosol layer.

65

70



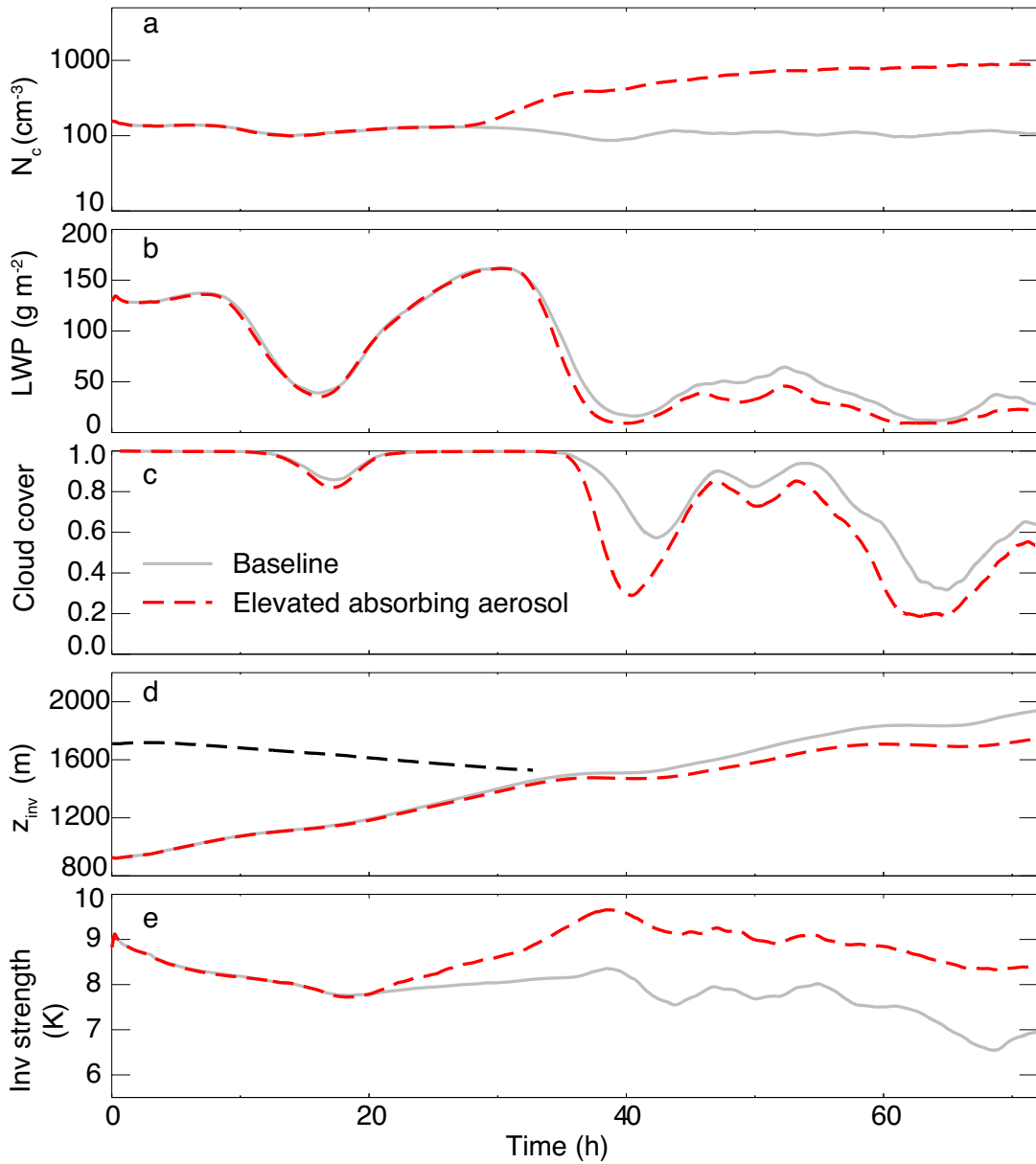
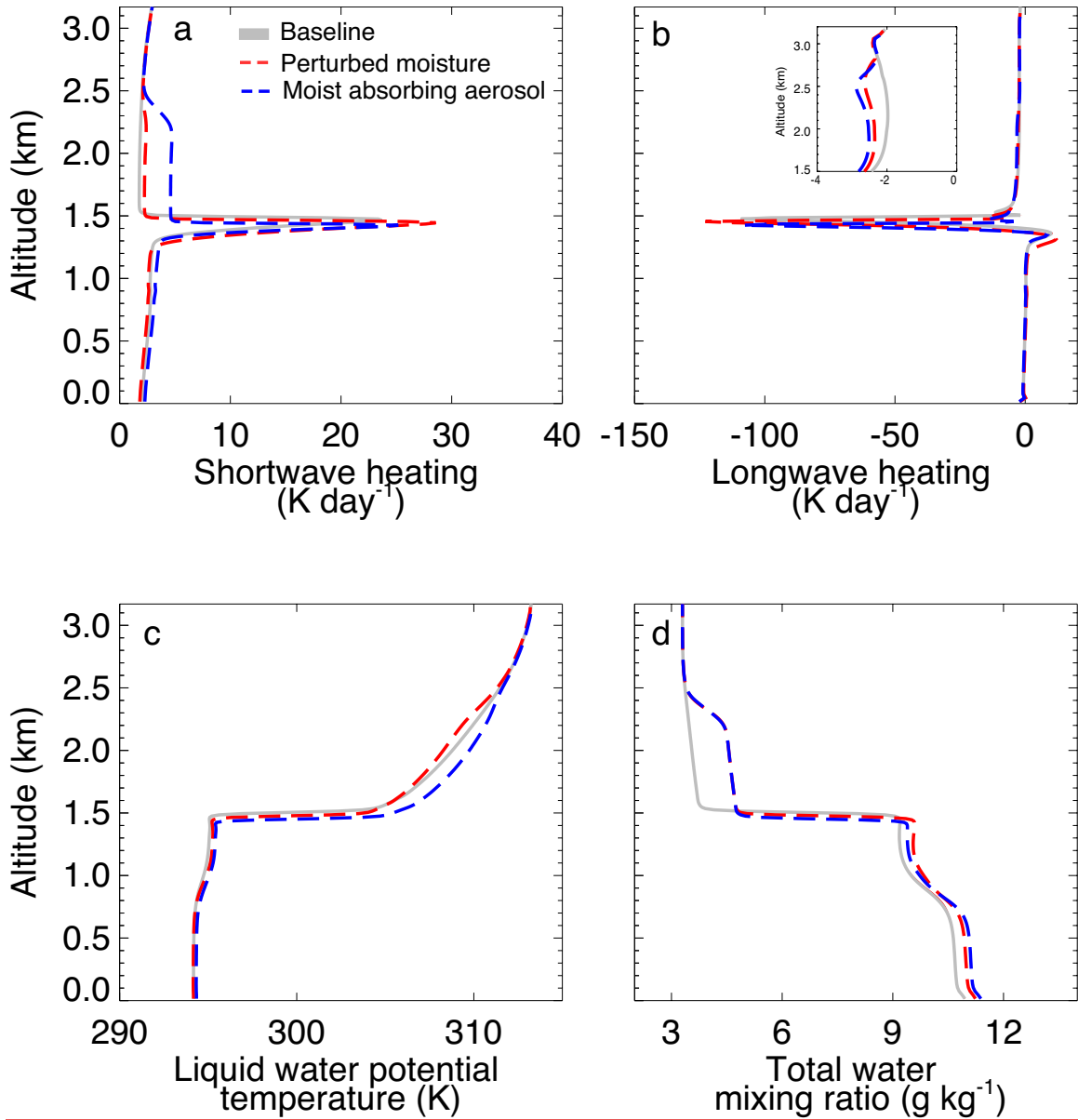


Fig. 7. As in Fig. 2. The baseline with a 3.5-km deep grid ( $N_{a, \text{ sulfate}} = 150 \text{ mg}^{-1}$ ) ~~is shown~~ as gray solid line. Results with aerosol layer initially 400 m higher shown as red dashed line, with corresponding aerosol layer base shown as black dashed line in (d).

75





80

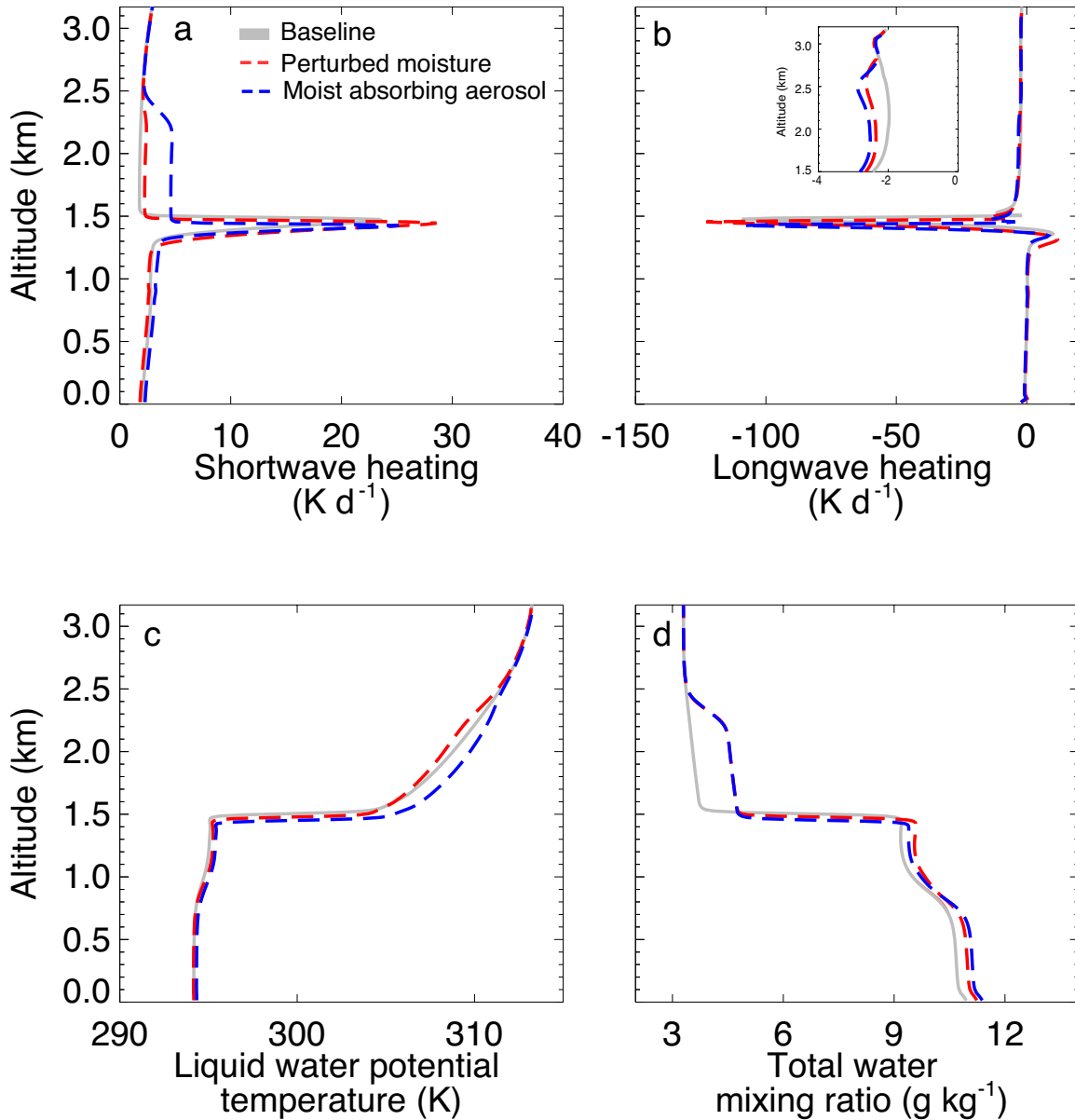
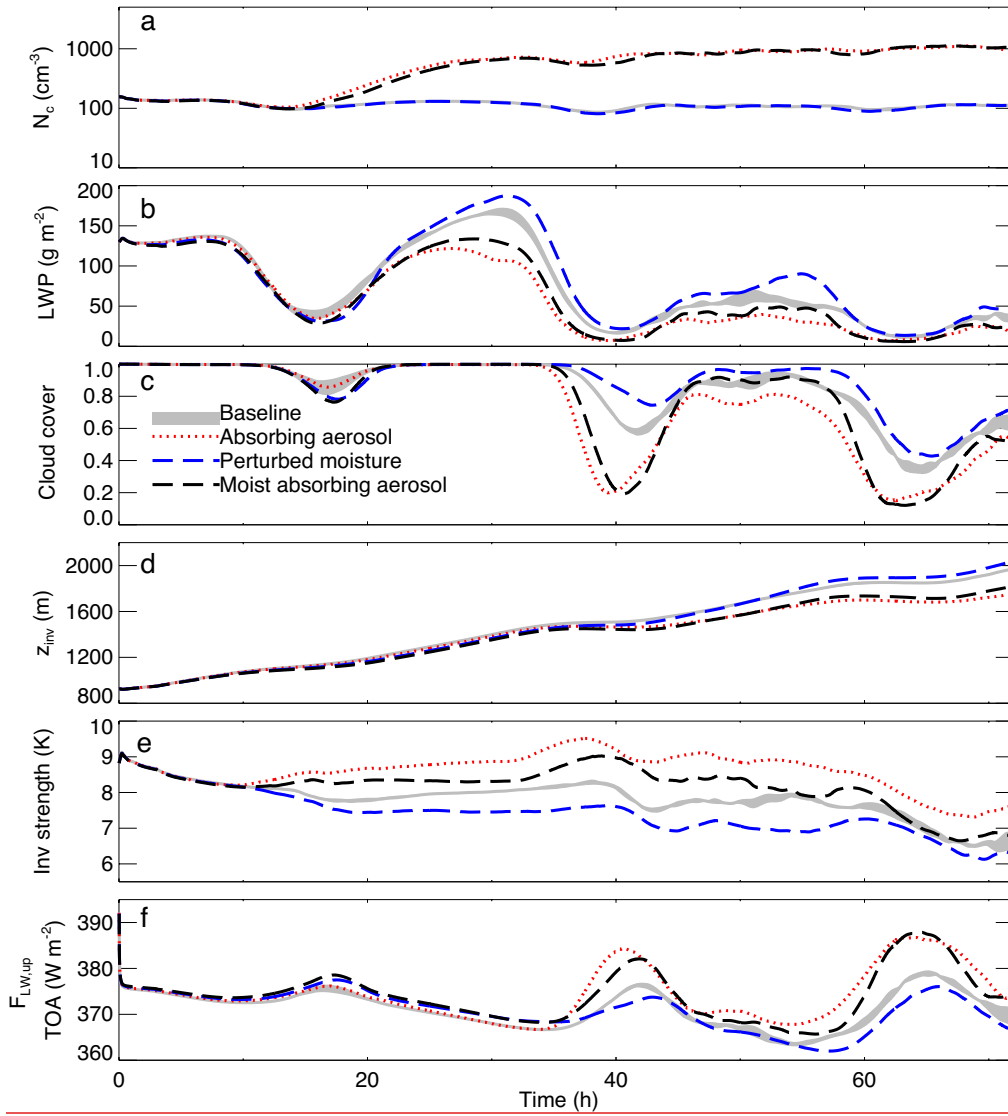


Fig. 8. Horizontally averaged profiles of (a) SW heating rate, (b) LW heating rate, (c) liquid water potential temperature, and (d) total water mixing ratio averaged over hours 85 35-37 for lightly drizzling baseline ensemble ( $N_{a, \text{sulfate}} = 150 \text{ mg}^{-1}$ ) (gray and black), perturbed moist case (red), and perturbed moist absorbing aerosol case (blue). The sub panel in (b) shows diurnal-average LW heating rate profile on day 1 from 1.5 to 3.2 km for the above three cases.



90

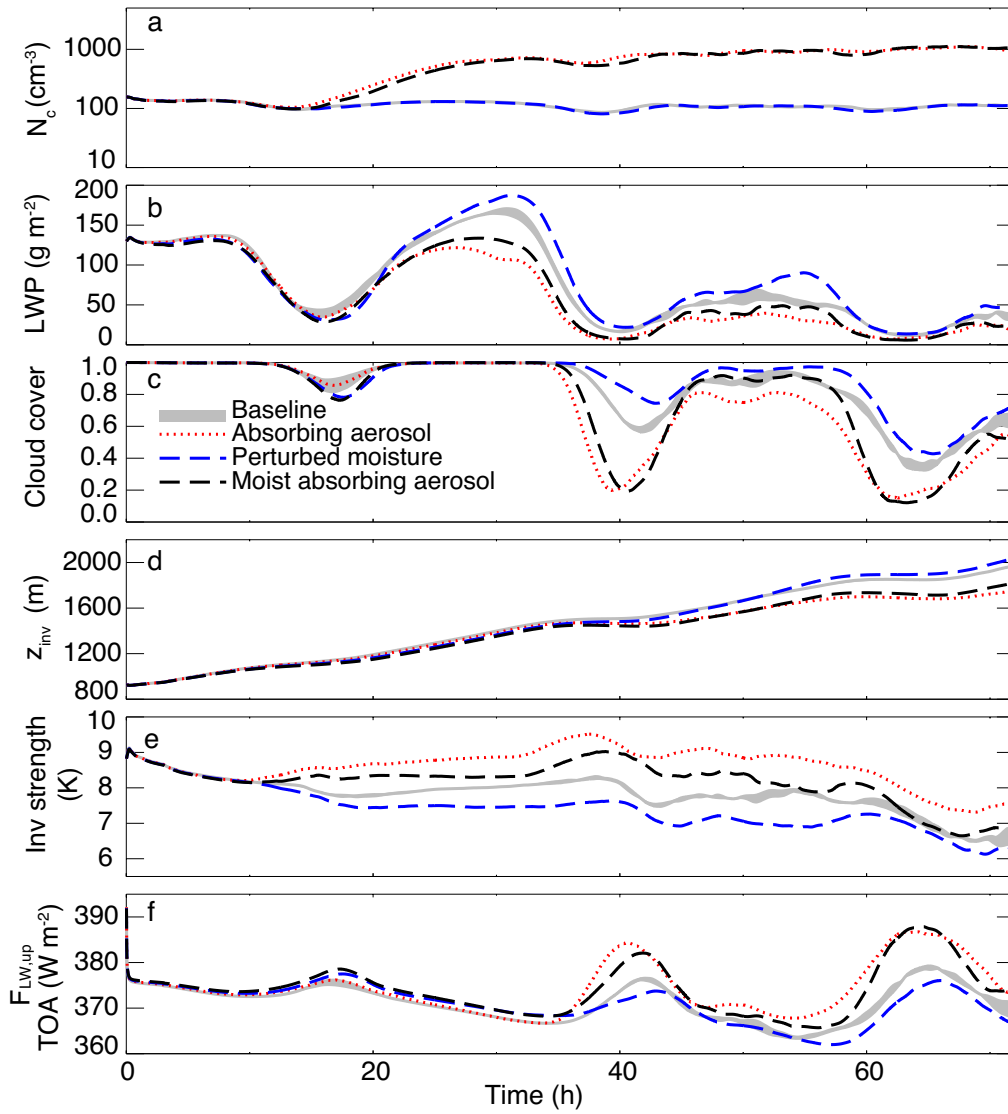
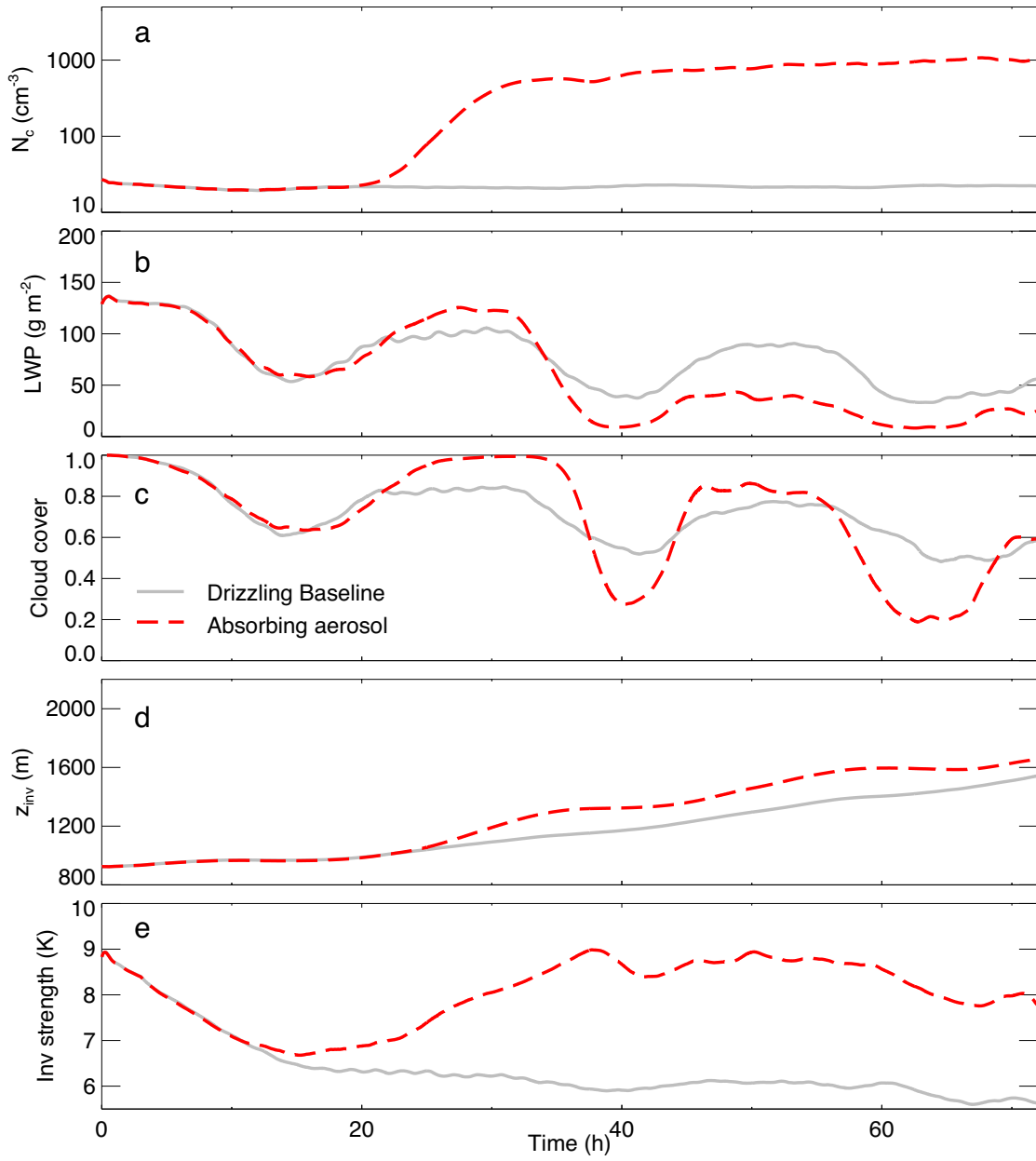


Fig. 9. As in Fig. 2. Range of three-member lightly drizzling baseline ensemble ( $N_{a,-sulfate} = 150 \text{ mg}^{-1}$ ) shown in gray. Results with absorbing aerosol layer shown as red dotted line. Baseline with moist layer aloft shown ~~with~~ blue dashed line. Results with moist absorbing aerosol shown as black dashed line.

95



100

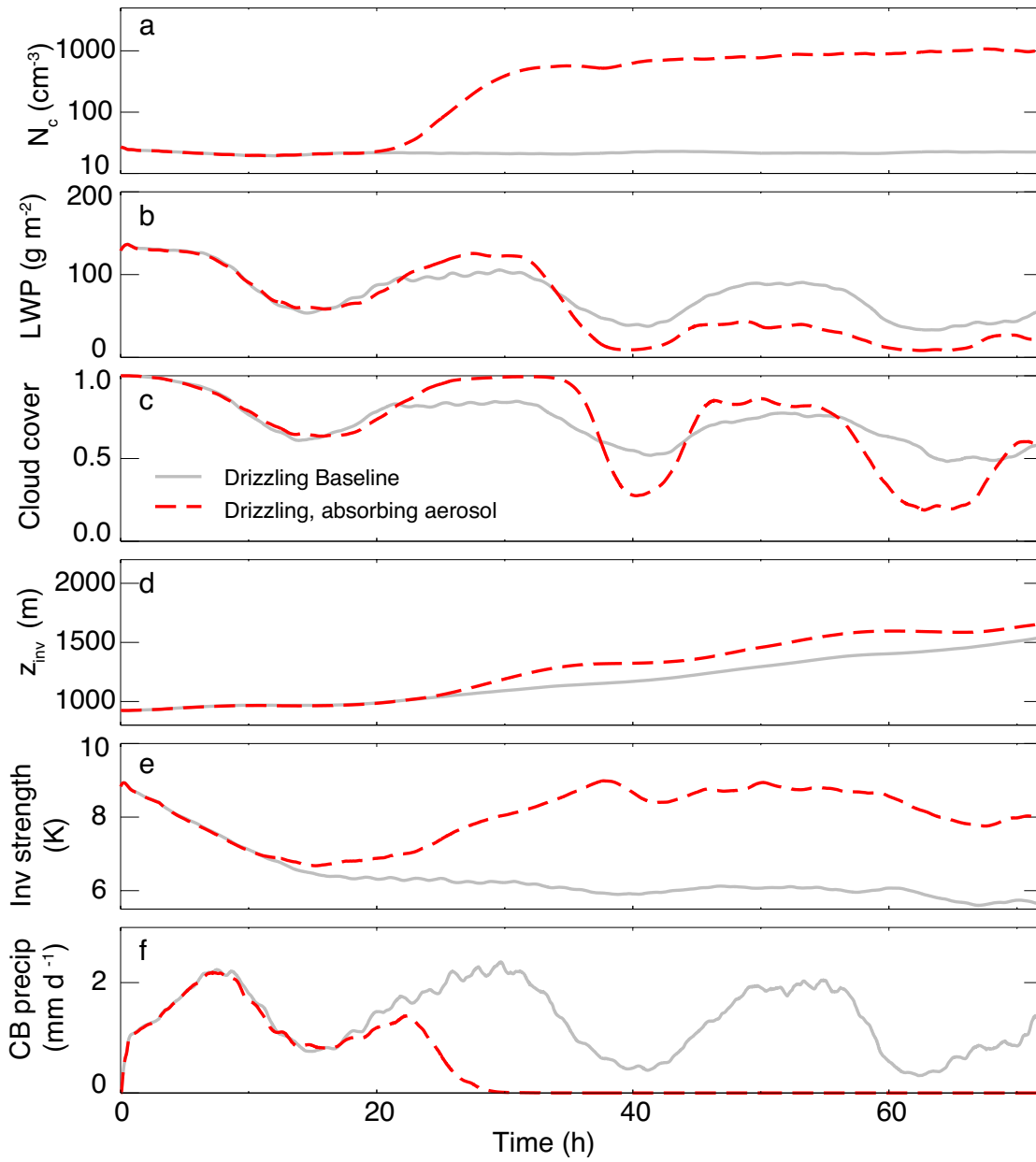
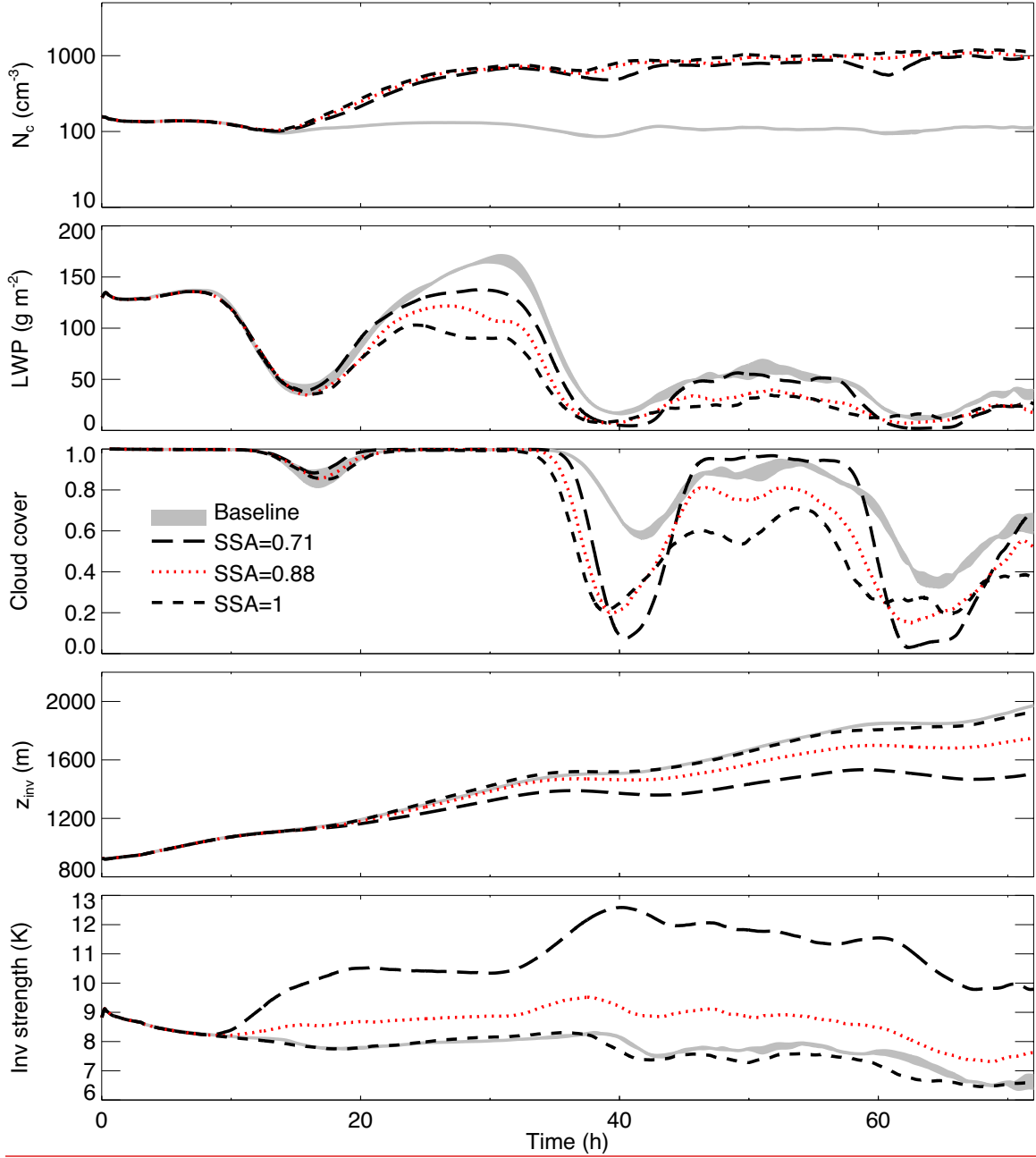
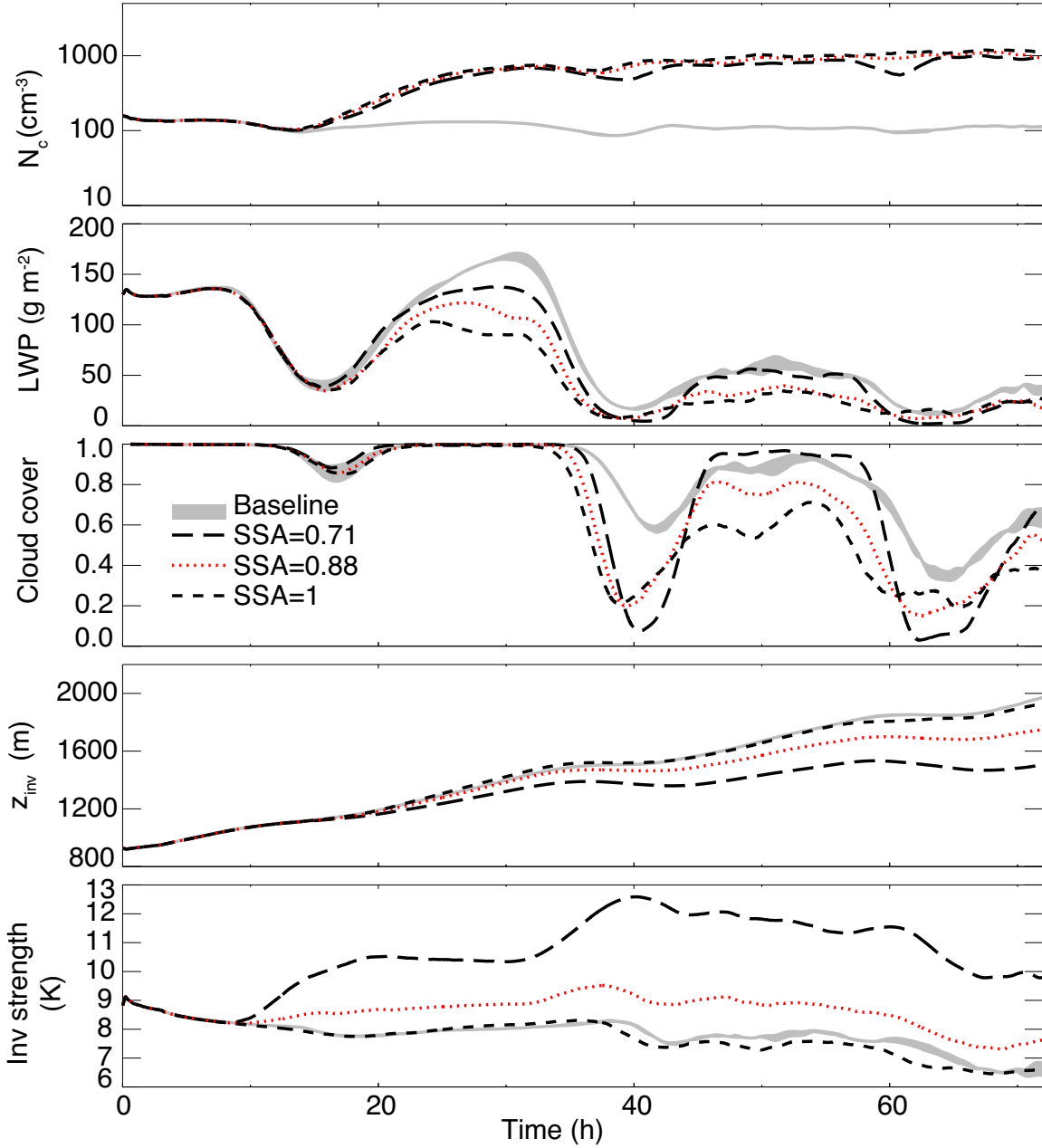


Fig. 10. As in Fig. 2 but for heavily drizzling baseline ( $N_{a, \text{sulfate}} = 25 \text{ mg}^{-1}$ ) and with  
 105 ~~absorbing aerosol layer with the same  $N_{a, \text{sulfate}}$ .~~

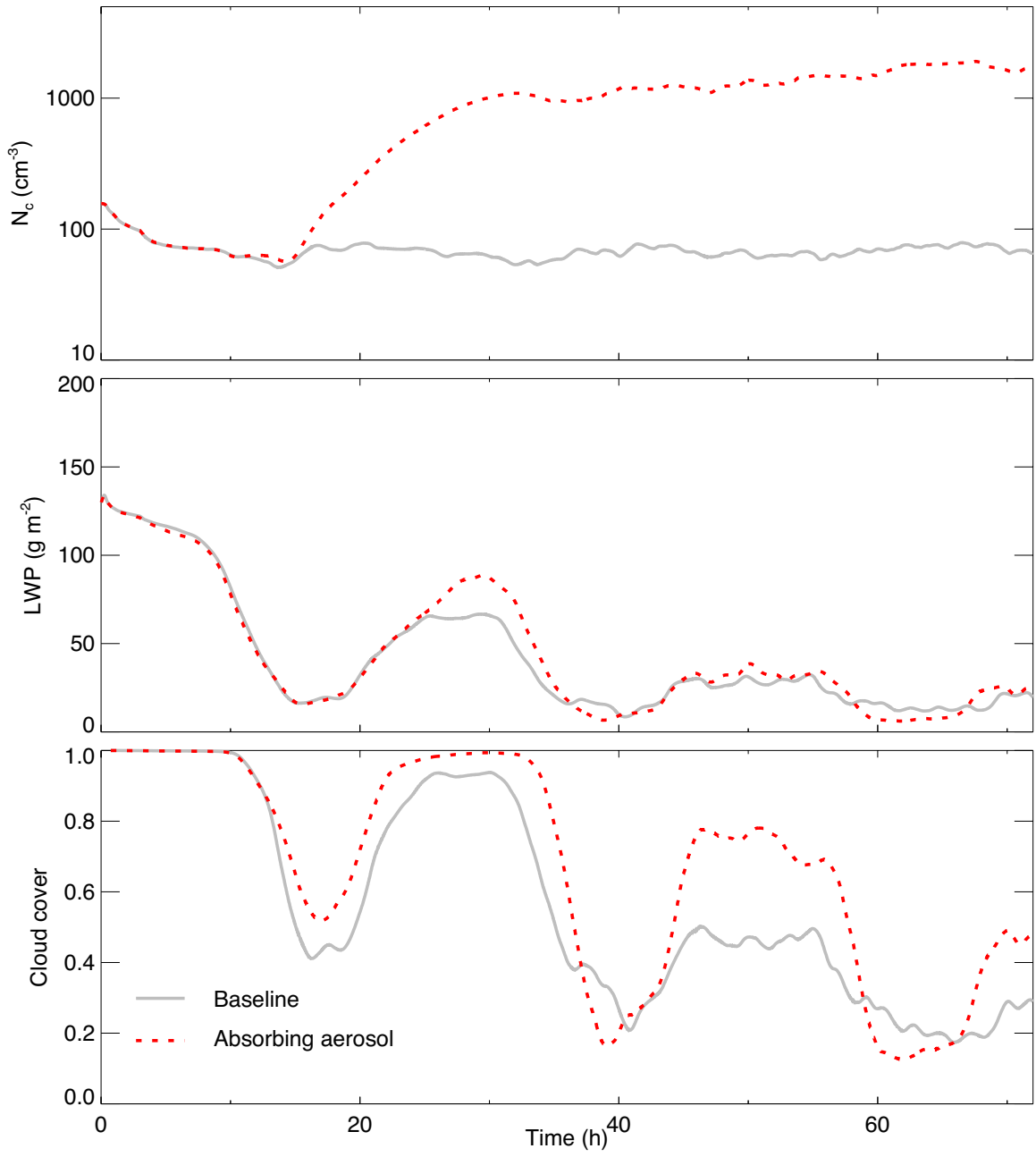


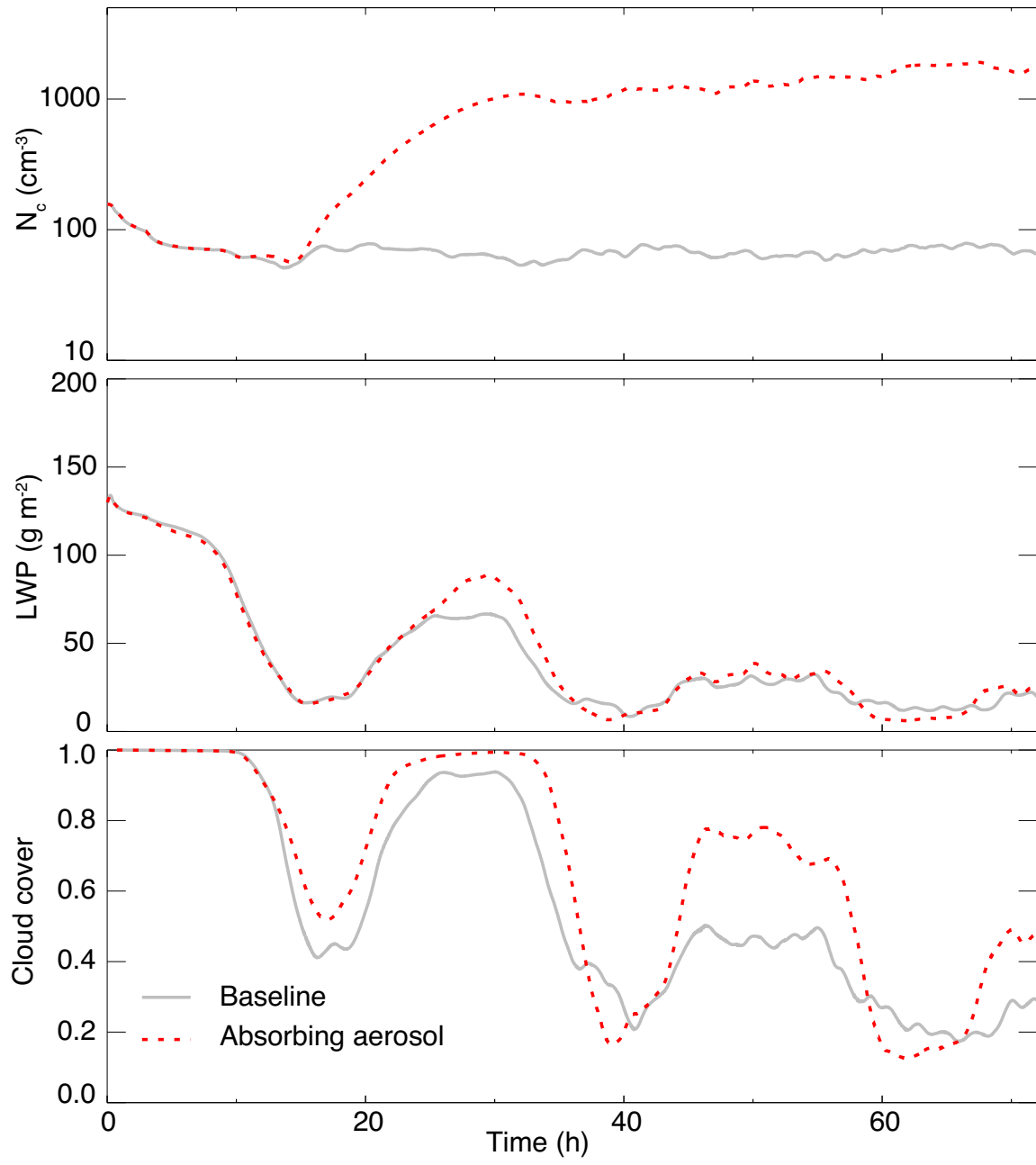
110



115 Fig. A1. As in Fig. 2. Range of three-member lightly drizzling baseline ensemble ( $N_{a,-sulfate} = 150 \text{ mg}^{-1}$ ) in gray. Varying single scattering albedo (SSA) of absorbing aerosol as given in legend.







120

Fig. A2. As in Fig. 2 but for lightly drizzling baseline and with absorbing aerosol in the absence of sedimentation and evaporation effects.

125

Supplement

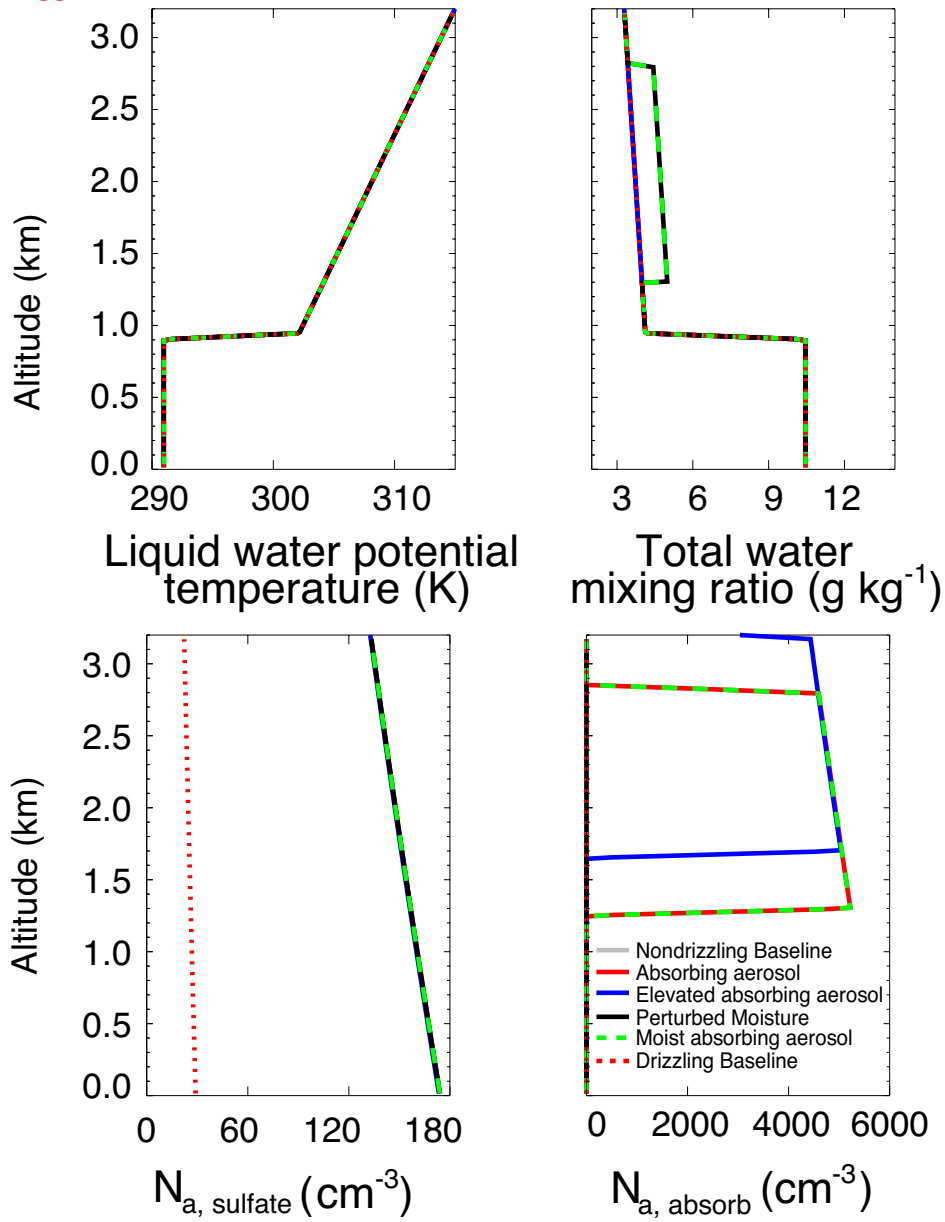


Fig. S1. Horizontally averaged initial profiles, as labelled.

TABLES

Table 1. [Summary of simulation setups. See text for details.](#)

	<u>Ammonium sulfate</u> <u>Absorbing aerosol</u> $N_{a, \text{absorb}}=5000 \text{ (mg}^{-1}\text{)}$						<u>Cloud droplet sedimentation</u>	<u>Prognostic relaxation time for diffusional growth</u>	<u>Figure(s)</u>
	<u><math>N_{a, \text{sulfate}}=150 \text{ (mg}^{-1}\text{)}</math></u>	<u>At 1300 (m)</u>	<u>Additional moisture of 1 g kg<sup>-1</sup></u>	<u>Micro-physics</u>	<u>FT Aerosol heating</u>	<u>PBL Aerosol heating</u>			
<u>baseline</u>	✓	✓	=	=	=	=	✓	✓	<u>1,2,3,4,7,8,9</u>
<u>absorbing aerosol</u>	✓	✓	=	✓	✓	✓	✓	✓	<u>2,3,5,9</u>
<u>micro only</u>	✓	✓	=	✓	=	=	✓	✓	<u>2,4,5,6</u>
<u>baseline cld sed off, fixed <math>\tau_c</math></u>	✓	✓	=	=	=	=	=	=	<u>4</u>
<u>micro cld sed off, fixed <math>\tau_c</math></u>	✓	✓	=	✓	✓	✓	=	=	<u>4</u>
<u>T aerosol heating</u>	✓	✓	=	✓	✓	=	✓	✓	<u>5</u>
<u>BL aerosol heating</u>	✓	✓	=	✓	=	✓	✓	✓	<u>5,6</u>
<u>elevated absorbing aerosol</u>	✓	<u>1700</u>	=	✓	✓	✓	✓	✓	<u>7</u>
<u>perturbed moisture</u>	✓	=	✓	=	=	=	✓	✓	<u>8,9</u>
<u>moist absorbing aerosol</u>	✓	✓	✓	✓	✓	✓	✓	✓	<u>8,9</u>
<u>rizzling baseline</u>	<u>25</u>	✓	=	=	=	=	✓	✓	<u>10</u>
<u>rizzling, absorbing aerosol</u>	<u>25</u>	✓	✓	✓	✓	✓	✓	✓	<u>10</u>

**Table 2.** Diurnal-average direct forcing, indirect ~~and~~**plus** semi-direct ~~forcings~~**forcing**, and ~~all~~**sum of** forcings (in  $W\ m^{-2}$ ) from the overlying absorbing aerosol for the lightly drizzling case ( $N_{a, \text{sulfate}} = 150\ mg^{-1}$ ) on ~~days~~**day** 1 (0-24 h), day 2 (24-48 h) and day 3 (48-72 h). The three-day average radiative forcing is indicated in the last row. Boldface indicates results exceeding the uncertainty range derived from the baseline ensemble spread.

	Direct forcing			Indirect, <b>+</b> semi-direct <del>forcings</del> <b>forcing</b>			<del>All</del> <b>All</b>
	SW	LW	SW+LW	SW	LW	SW+LW	<del>SW+LW</del> <b>forcingsTotal</b>
Day 1	<b>7.3</b>	<b>-0.3</b>	7.0	-1.6	<b>-0.2</b>	-1.8	<b>5.2</b>
Day 2	<b>0.8</b>	<b>-0.2</b>	0.6	-0.5	<b>-2.6</b>	<b>-3.1</b>	<b>-2.5</b>
Day 3	<b>-3.7</b>	0.0	<b>-3.7</b>	<b>-1.2</b>	<b>-6.0</b>	<b>-7.2</b>	<b>-10.9</b>
Mean	1.5	<b>-0.2</b>	1.3	-1.1	<b>-2.9</b>	<b>-4.0</b>	<b>-2.7</b>

145

150

Table 23. Diurnal-average changes in cloud radiative forcings ( $\Delta\text{CRF}$ ; in  $\text{W m}^{-2}$ ) for the overlying absorbing aerosol case relative to the lightly drizzling baseline case ( $N_{a,\text{sulfate}} = 150 \text{ mg}^{-1}$ ). Conventions as in Table 12.

155

	$\Delta\text{CRF TOA (W m}^{-2}\text{)}$		
	SW	LW	SW+LW
Day 1	<b>14.6</b>	-0.2	<b>14.4</b>
Day 2	<b>8.5</b>	<b>-2.0</b>	<b>6.5</b>
Day 3	<b>2.3</b>	<b>-4.8</b>	<b>-2.5</b>
Mean	<b>8.4</b>	<b>-2.3</b>	<b>6.1</b>

160

165

|

|



170 Table 34. Indirect forcing of absorbing aerosol, computed as the diurnal-average difference in radiative fluxes at TOA (in  $\text{W m}^{-2}$ ) of the simulation with absorbing aerosol not directly affecting radiation, relative to the lightly drizzling baseline case ( $N_{a,-\text{sulfate}} = 150 \text{ mg}^{-1}$ ). Conventions as in Table 12.

	<b>Indirect forcing</b>		
	SW	LW	SW+LW
Day 1	-0.7	<b>0.4</b>	-0.3
Day 2	<b>2.5</b>	<b>-0.9</b>	<b>1.6</b>
Day 3	<b>1.2</b>	<b>-5.2</b>	<b>-4.0</b>
Mean	1.0	<b>-1.9</b>	-0.9

175

180



Table 45. Schematic of SW and LW radiative responses (changes in net downward fluxes at TOA) to microphysical and thermal effects of initially overlying absorbing aerosol layer.  $N_c$  refer to cloud-droplet concentrations, CF cloud fraction, and  $Z_i$  inversion height. Plus signs refer to positive responses, negative signs to negative responses, and zeros to negligible or absent responses.

190

		SW	LW
<b>Microphysical effects</b>			
Twomey effect	$N_c \uparrow$	-	<u>0</u>
Cloud-droplet sedimentation $\downarrow\downarrow$ , evaporation $\uparrow$	$CF \downarrow$	+	-
Evaporation $\uparrow$			
<b>FT aerosol heating</b>			
Inversion strength $\uparrow$	$CF \uparrow$	-	+
PBL aerosol heating	$Z_i \downarrow$	<u>0</u>	-
Aerosol heating	$CF \downarrow$	+	-
RH decrease	$Z_i \downarrow$	<u>0</u>	-
Other			
Warming SST		<u>0</u>	-

Table 56. Semi-direct forcing of absorbing aerosol, computed as the diurnal-average difference in radiative fluxes at TOA (in  $W m^{-2}$ ) of simulations with aerosol heating restricted to the FT, PBL, or not restricted, relative to the simulation without aerosol heating. All simulations allow the absorbing aerosol to act as CCN. Boldface indicates results exceeding the uncertainty range derived from the spread of the lightly drizzling baseline ensemble.

		<b>Semi-direct forcing</b>		
		SW	LW	SW+LW
FT aerosol heating	Day 1	-1.9	<b>-0.6</b>	-2.5
	Day 2	<b>-12.4</b>	<b>-0.2</b>	<b>-12.6</b>
	Day3	<b>-20.6</b>	<b>2.7</b>	<b>-17.9</b>
PBL aerosol heating	Day 1	-1.3	0.0	-1.3
	Day 2	<b>5.5</b>	<b>-1.2</b>	<b>4.3</b>
	Day3	<b>15.2</b>	<b>-3.2</b>	<b>12.0</b>
FT, PBL aerosol heating	Day 1	-0.9	<b>-0.6</b>	-1.5
	Day2	<b>-3.0</b>	<b>-1.7</b>	<b>-4.7</b>
	Day3	<b>-2.4</b>	<b>-0.8</b>	<b>-3.2</b>
	Mean	<b>-2.1</b>	<b>-1.0</b>	<b>-3.1</b>

200

Table 67. As in Table 42 but with absorbing aerosol layer initially located 400 m higher. Boldface indicates results exceeding the uncertainty range derived from the spread of the lightly drizzling baseline ensemble.

	Direct forcing			Indirect <sub>7</sub> + semi-direct forcings			All forcings Total
	SW	LW	SW+LW	SW	LW	SW+LW	SW+LW
Day 1	<b>6.5</b>	<b>-0.2</b>	<b>6.3</b>	4.2	<b>-0.6</b>	3.6	<b>9.9</b>
Day 2	<b>3.8</b>	<b>-0.3</b>	<b>3.5</b>	<b>-11.2</b>	<b>-1.9</b>	<b>-13.1</b>	<b>-9.6</b>
Day 3	<b>-3.0</b>	-0.1	<b>-3.1</b>	<b>-5.0</b>	<b>-4.7</b>	<b>-9.7</b>	<b>-12.8</b>
Mean	<b>2.4</b>	<b>-0.2</b>	<b>2.2</b>	<b>-4.0</b>	<b>-2.4</b>	<b>-6.4</b>	<b>-4.2</b>

205

210

215

|

|

Table 78. As in Table 12 but for the response of a lightly drizzling baseline to a perturbation of moisture instead of aerosol. Boldface indicates results exceeding the uncertainty range derived from the spread of the lightly drizzling baseline ensemble.

220

	<b>Net flux change at TOA (W m<sup>-2</sup>)</b>		
	SW	LW	SW+LW
Day 1	<b>11.6</b>	<b>-1.3</b>	<b>10.3</b>
Day 2	<b>-17.5</b>	<b>-0.2</b>	<b>-17.7</b>
Day 3	<b>-9.9</b>	<b>2.4</b>	<b>-7.2</b>
Mean	<b>-5.2</b>	<b>0.3</b>	<b>-4.9</b>

225

230

|

|



235 | Table 89. As in Table 12 but for a lightly drizzling baseline with a moisture perturbation aloft. Boldface indicates results exceeding the uncertainty range derived from the spread of the lightly drizzling baseline ensemble.

	<b>Direct forcing</b>			<b>Indirect<sub>τ</sub> + semi-direct forcingsforcing</b>			<b>All forcingsTotal</b>
	SW	LW	SW+LW	SW	LW	SW+LW	SW+LW
Day 1	<b>6.1</b>	<b>-0.2</b>	<b>5.9</b>	-1.5	<b>-0.3</b>	-1.8	4.1
Day 2	<b>1.8</b>	<b>-0.2</b>	<b>1.6</b>	<b>3.0</b>	<b>-2.2</b>	<b>0.8</b>	<b>2.4</b>
Day 3	<b>-3.5</b>	0.0	<b>-3.6</b>	<b>2.8</b>	<b>-6.8</b>	<b>-4.0</b>	<b>-7.6</b>
Mean	1.5	-0.1	1.4	1.4	<b>-3.1</b>	<b>-1.7</b>	-0.3

240

245

250

Table 910. As in Table 89 but for a heavily drizzling baseline ( $N_{a, \text{ sulfate}}=25 \text{ mg}^{-1}$ ).

	Direct forcing			Indirect, $\pm$ semi-direct <del>forcings</del> forcing			<del>All</del> <del>forcings</del> Total
	SW	LW	SW+LW	SW	LW	SW+LW	SW+LW
Day 1	0.3	-0.1	0.2	-0.5	0.0	-0.5	-0.3
Day 2	<b>2.0</b>	<b>-0.2</b>	<b>1.8</b>	<b>-52.0</b>	<b>6.3</b>	<b>-45.7</b>	<b>-43.9</b>
Day 3	<b>-3.4</b>	-0.0	<b>-3.4</b>	<b>-9.4</b>	<b>3.4</b>	<b>-6.0</b>	<b>-9.4</b>
Mean	-0.4	-0.1	-0.5	<b>-20.6</b>	<b>3.2</b>	<b>-17.4</b>	<b>-17.9</b>

255

260

265

Table A1. As in Table 12 but for absorbing aerosol with different values of single scattering albedo (SSA), and only showing averages over the three-day transition. For the last case the aerosol loading is reduced five-fold.

270

$N_{a, \text{absorb}}$ ( $\text{mg}^{-1}$ )	Direct forcing			Indirect <sub>5</sub> + semi-direct forcing			All forcings Total
	SW	LW	SW+LW	SW	LW	SW+LW	SW+LW
SSA=0.71	15.9	-0.2	15.7	-5.1	-5.2	-10.3	5.4
SSA=0.88	1.5	-0.2	1.3	-1.1	-2.9	-4.0	-2.7
SSA=1.00	-4.9	-0.1	-5.0	0.8	-2.5	-1.7	-6.7
SSA=0.88	0.2	0.0	0.2	2.5	-1.9	0.6	0.8

