



1 **A statistical examination of the effects of stratospheric sulphate geoengineering**
2 **on tropical storm genesis**

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30 **Abstract**

31 The thermodynamics of the ocean and atmosphere partly determine variability in
32 tropical cyclone (TC) number and intensity and are readily accessible from climate
33 model output, but a complete description of TC variability requires much more
34 dynamical data than climate models can provide at present. Genesis potential index
35 (GPI) and ventilation index (VI) are combinations of potential intensity, vertical wind
36 shear, relative humidity, midlevel entropy deficit, and absolute vorticity that can
37 quantify both thermodynamic and dynamic forcing of TC activity under different
38 climate states. Here we use six CMIP5 models that have run the RCP4.5 experiment
39 and the Geoengineering Model Intercomparison Project (GeoMIP) stratospheric
40 aerosol injection G4 experiment, to calculate the two TC indices over the 2020 to 2069
41 period across the 6 ocean basins that generate tropical cyclones. Globally, GPI under
42 G4 is lower than under RCP4.5, though both have a slight increasing trend. Spatial
43 patterns in the effectiveness of geoengineering show reductions in TC in the North
44 Atlantic basin, and Northern Indian Ocean in all models except NorESM1-M. In the
45 North Pacific, most models also show relative reductions under G4. Most models
46 project potential intensity and relative humidity to be the dominant variables affecting
47 genesis potential. Changes in vertical wind shear are significant, but both it and vorticity
48 exhibit relatively small changes with large variation across both models and ocean
49 basins. We find that tropopause temperature is not a useful addition to sea surface
50 temperature in projecting TC genesis, despite radiative heating of the stratosphere due
51 to the aerosol injection, and heating of the upper troposphere affecting static stability



52 and potential intensity. Thus, simplified statistical methods that quantify the
53 thermodynamic state of the major genesis basins may reasonably be used to examine
54 stratospheric aerosol geoengineering impacts on TC activity.

55 Key word: tropical cyclone, hurricanes, ENSO, statistical methods

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57 **1 Introduction**

58 Anthropogenic greenhouse gases emission are changing climate (IPCC, 2007). The best
59 solution for limiting climate change is to reverse the growth in net greenhouse gases
60 emissions. It is doubtful that reductions in emission can be done fast enough to limit
61 global mean temperatures rises to targets such as the 1.5° or 2°C pledged at the Paris
62 climate meeting (Rogelj et al., 2015). Geoengineering is the deliberate and large-scale
63 intervention of Earth's climate system to retard climate warming (Crutzen, 2006;
64 Wigley, 2006). Geoengineering by solar radiation management (SRM) attempts to
65 lessen the incoming sunlight to counteract the effect of global warming. The
66 Geoengineering Model Intercomparison Project (GeoMIP) (Kravitz, et al., 2011) is a
67 standardized set of experiments designed to facilitate earth system model (ESM)
68 simulations of geoengineered climates, and is supported by about 12 model groups
69 globally, with further experiments planned under CMIP6 (Kravitz et al., 2015). Climate
70 system thermodynamics will certainly change under SRM geoengineering where the
71 reduction in short wave radiation is designed to offset increases in long wave absorption
72 (Huneus et al., 2014).



73 Tropical cyclones (TCs) are one of the most disastrous weather phenomena
74 influencing agriculture, human life, and property (Chan et al., 2005). The large-scale
75 changes in surface temperatures under greenhouse gas forcing will impact cyclogenesis
76 changing both the frequency and intensity of tropical cyclones (Grinsted et al., 2012;
77 2013). Hence, how tropical cyclones would change in a geoengineered world is of
78 general as well as scientific interest for its enormous social and economic impact.
79 However, since almost all climate models do not, at present, possess the resolution
80 required to simulate directly the response of tropical cyclones to changing patterns of
81 radiative forcing, methods that rely on the statistical links between the thermodynamics
82 of the ocean and atmosphere with cyclone dynamics have been the topic of studies.

83 Many methods have used to study the changes in typhoons under climate warming.
84 Some focus on the movement of tropical storm tracks, tropical cyclone intensity and
85 frequency by downscaling (Emanuel, 2006). The most direct way is to use historical
86 climate and storm records to quantitatively study tropical cyclone activity and its
87 relation to key variables such as local, tropical and global sea surface temperatures, and
88 various teleconnection patterns (Grinsted et al., 2012; Emanuel, 2008; Landsea, 2005;
89 Gray, 1979). Potential intensity theory (Bister et al., 1998; Emanuel et al., 2004)
90 predicts the dependence of typhoon wind speed on the air-sea thermodynamic
91 imbalance and the temperature of the lower stratosphere. For example, many studies
92 suggest that wind shear has inhibitory effect on the TC activity (Vecchi et al., 2007).
93 Others have also identified changes in the large-scale environmental factors influencing



94 the tropical storm activity to assess the TC activities in the future (Tippett et al., 2011;
95 Grinsted et al., 2013).

96 While much is known about which factors influence genesis, a quantitative theory
97 is lacking, so empirical methods have been used to define the relationship between
98 large-scale environmental factors and tropical cyclogenesis. The GPI uses four
99 environmental variables: potential intensity, low-level absolute vorticity, vertical wind
100 shear, and relative humidity. Tang et al. (2012) introduced the VI, defined as the flux of
101 low-entropy air into a tropical disturbance or TC, because ventilation disrupts the
102 formation of a deep, moist column that is hypothesized to be necessary for the spin up
103 of the vortex (Bister et al., 1997; Nolan, 2007; Rappin et al., 2010). For the Atlantic
104 hurricane region, Tippett et al. (2011) formulated a genesis potential index using the
105 relative sea surface temperature, defined as the tropical Atlantic sea surface
106 temperatures minus the tropical mean sea surface temperatures, and midlevel relative
107 humidity in lieu of the potential intensity and non-dimensional entropy deficit,
108 respectively. Dynamic potential intensity (DPI) is yet another index designed to
109 describe the ocean's impact on tropical cyclones (Balaguru et al., 2015). These indices
110 represent the climatological thermodynamic spatial and seasonal control of TC genesis
111 and not the dynamic development of individual storms, which is more or less beyond
112 the abilities of contemporary climate models. The relative contribution of the individual
113 large-scale environmental factors to TC genesis may be different in different ocean
114 basins (Wang et al., 2012).



115 An increase in future global TC frequency has been projected based on dynamical
116 downscaling CMIP5 models (Emanuel, 2013). However, the same downscaling applied
117 to the CMIP3 models projected a decrease in global TC frequency (Tory et al., 2013;
118 Emanuel et al., 2006). Some models show that although Atlantic TC frequency will
119 decrease, the frequency of severe TC will increase, and different TC basins are
120 predicted to behave differently (Emanuel et al., 2008; Thomas et al., 2015; Kang et al.,
121 2012).

122 There has been little research about TC changes under geoengineering. Moore et al.
123 (2015) used statistical relation between Atlantic tropical storm surges and spatial
124 patterns of global surface temperature to deduce that moderate amounts of SRM could
125 reduce the frequency of the most intense hurricanes relative to greenhouse gas only
126 climates. Jones et al. (2017) show that applying aerosol injection to northern and
127 southern hemispheres separately reduced the numbers of TC in North Atlantic if the
128 northern hemisphere was cooled, while increasing them if aerosol was released only in
129 the southern hemisphere, relative to both greenhouse gas forcing both with, and without,
130 global stratospheric aerosol injection.

131 Here we examine ESM simulations of global TC evolution under stratospheric
132 sulphate injection geoengineering and greenhouse gas forcing based on the
133 climatological GPI and VI. We explore the effects of geoengineering on TC
134 thermodynamics, and study regional characteristics of typhoon and hurricane
135 development after implementation of geoengineering.



136 Section 2 introduces the methods and data used in this study. Section 3 describes
137 the temporal and spatial variations of the GPI and ventilation index in six models, in
138 greenhouse gas and SRM simulations. We quantify the contribution of each variable to
139 TC genesis using two statistical methods. Finally we study the effect of ENSO on TC
140 and TC track of HadGEM2-ES model. A discussion and conclusions are provided in
141 section 4.

142 **2 Methods and data**

143 **a. Methods**

144 We use climate model output from the GeoMIP G4 experiment (Kravitz et al.,
145 2011) and the control simulation, RCP4.5 experiment of CMIP5 (Taylor et al., 2012) to
146 analysis the characteristic of TC changes in the future in different models. G4 is based
147 on the greenhouse gas emissions from the RCP4.5 scenario but short wave radiative
148 forcing is reduced by injection of SO₂ into the equatorial lower stratosphere at a rate of
149 5 Tg per year from the year 2020 to 2069. The experiment continues for a further 20
150 years to 2089 with only greenhouse gas forcing as specified by RCP4.5. The general
151 climate response to G4 forcing has been discussed by Yu et al. (2015). Between 2050
152 and 2069, global surface air temperatures warm by 1.3 °C in RCP4.5, and by 0.79 °C
153 with G4 relative to 2010–2029. Over the same interval, tropical North Atlantic
154 temperatures in the so-called Main Development Region (MDR) of cyclogenesis in the



155 basin warm by 0.8 °C and 0.4 °C with RCP4.5, and G4, respectively (Moore et al.,
156 2015).

157 We assess the large-scale environmental conditions for TC generation primarily in
158 reference to the widely used genesis potential and ventilation index (GPI), and use
159 results for the VI for comparison. While other indices also exist as mentioned above,
160 the data fields required to calculate them are presently not all available. The signal to
161 noise ratio of the G4 experiment is not as large as that of G1 (Yu et al., 2015) where
162 solar dimming offsets quadrupled CO₂ concentrations. It is, however, more interesting
163 for TC studies because the sulphate aerosol injected into the stratosphere causes
164 radiative heating that will potentially affect the deep tropospheric convection systems
165 that characterize intense tropical storms.

166 The GPI has been widely employed to represent TC activities (e.g., Song et al.,
167 2015). We use the Emanuel et al., (2004) method to calculate the GPI as follows:

$$168 \quad GPI = |10^5 \eta|^{3/2} \left(\frac{H}{50} \right)^3 \left(\frac{V_{pot}}{70} \right)^3 (1 + 0.1V_{shear})^{-2} \quad (1)$$

169 where η is the absolute vorticity in s^{-1} , H is the relative humidity at 700 hPa in
170 percent, V_{pot} is the Potential intensity in ms^{-1} , and V_{shear} is the magnitude of the vector
171 shear from 850 to 200 hPa, in ms^{-1} . Potential intensity (Emanuel, 2000) is defined as

$$172 \quad V_{pot}^2 = C_p (T_s - T_o) \frac{T_s}{T_o} \frac{C_K}{C_D} (\ln \theta_e^* - \ln \theta_e) \quad (2)$$



173 Where T_s is the ocean surface temperature, T_o is the mean outflow temperature,
174 which is taken near the tropopause at the 100 hPa level and spatially averaged, C_K is
175 the exchange coefficient for enthalpy, and C_D is the drag coefficient. θ_e^* is the
176 saturation equivalent potential temperature at the ocean surface, and θ_e is the boundary
177 layer equivalent potential temperature.

178 We also use a second and more recent method to estimate TC called the
179 ventilation index (Tang, et al., 2014), defined as:

$$180 \quad VI = \frac{\chi_m V_{s h e a}}{V_{p o t}} \quad (3)$$

181 Where χ_m is the (nondimensional) entropy deficit, defined as:

$$182 \quad \chi_m = \frac{s_m^* - s_m}{s_{SST}^* - s_b} \quad (4)$$

183 where s_m^* is the saturation entropy at 600 hPa in the inner core of the TC, s_m is the
184 environmental entropy at 600 hPa, s_{SST}^* is the saturation entropy at the sea surface
185 temperature, and s_b is the entropy of the boundary layer, which we chose as the 925
186 hPa layer. The numerator of (4) is the difference in entropy between the TC and the
187 environment at mid-levels, while the denominator is the air-sea disequilibrium, both are
188 calculated following Emanuel (1994).

189 **b. Data**

190 Although to date 8 ESM have performed the greenhouse gas and G4 simulations,
191 we selected a subset of 6 models to use here based on access to all required model data



192 fields (Table 1). We use monthly sea surface temperature (SST), relative humidity,
193 vertical wind shear, sea level pressure, specific humidity, air temperature. All the model
194 outputs at different spatial resolutions were interpolated to a common grid (128×64)
195 using the bilinear interpolation method. All the models were weighted equally in the
196 ensemble mean, so the models with more than a single ensemble member were first
197 averaged before taking the overall model ensemble mean.

198 c. TC basins

199 Factors influencing TC change are diverse across different ocean basins. Some
200 researchers (Emanuel, 2010; Knutson et al., 2015) find a decline in the frequency of
201 events in the Southern Hemisphere, but increasing frequency in the Northern
202 Hemisphere. We therefore examine relationships across all the six TC basins listed in
203 Table 2. The observed TC annual mean numbers for the period 1980-2008 for each
204 basin (Emanuel, 2010) are also listed in Table 2. The North Atlantic makes up a
205 relatively small fraction of the total, with the Pacific dominant in the global locations
206 of tropical cyclones.

207 3 Results

208 3.1 The temporal and spatial distribution of GPI and VI

209 The time series of annual GPI over the 6 TC basins and during the appropriate TC
210 season (The Northern Hemisphere peak TC season is defined to be August through
211 October, and the Southern Hemisphere season is defined to be January through March.)



212 are shown in Fig. 1. Hereafter, all analyses are calculated and compared using these
213 monthly periods. The mean differences in the TC indices and their component parts are
214 tabulated in Table 3.

215 The GPI has a rising trend, significant at the 95% level, for all models except BNU-
216 ESM and CanESM2 under RCP4.5, and for all models except CanESM2 and
217 NorESM1-M under G4. Furthermore, the G4 means for all models were significantly
218 lower than their RCP4.5 values. The models we use have considerable range in their
219 absolute values of GPI, which is also a generally observed feature of climate models
220 (Emanuel, 2013). The MIROC-ESM-CHEM model has the largest difference between
221 G4 and RCP4.5 (-16%) while CanESM2 shows the smallest difference (-0.3%). The
222 time series indicate that tropical storms will become more frequent with time and that
223 G4 significantly reduces the numbers.

224 Fig. 1 also shows the evolution of ventilation index in the TC seasons during 2020
225 to 2069 among the six models. Note that following the definition of VI in Tang et al.
226 (2014) we use the median value not its mean. During most years from 2020 to 2069,
227 CanESM2, HadGEM2-ES, MIROC-ESM-CHEM and NorESM1-M show the VI under
228 G4 lies above that under RCP4.5. There are no significant trends throughout the period
229 though all models show slight decreasing trends. Ventilation is disadvantageous for TC
230 genesis. Thus, reducing trends suggest more storms in future, consistent with trends in
231 GPI. As with GPI there is about a factor of 2-3 range in absolute values between the
232 models.



233 Fig. 2 shows that the correlations between model differences G4-RCP4.5 for annual
234 GPI and VI. Most models show significant anti-correlation across all TC basins, with
235 the ensemble having significant anti-correlations for all TC basins except South Pacific.
236 The degree of correlation varies widely across the models, with some having
237 coefficients as great as -0.7 and others as low as 0.1. The ensemble mean correlation is
238 only around -0.25, indicating that GPI and VI are addressing sufficiently different
239 aspects of TC to warrant independent analysis.

240 We next examine the spatial pattern of GPI and VI calculated over the 30-year
241 period: 2040–2069 in the G4 and RCP4.5 experiments. The relative differences as
242 percentages $(GPI_{G4}-GPI_{RCP4.5})/GPI_{RCP4.5}$ during the peak 3-month season of each
243 hemisphere's TC season are shown in Fig. 3. These geographic patterns can be
244 compared with the values in Table 3.

245 Fig. 3a shows that the GPI anomaly varies by region and by model. For instance,
246 all models except NorESM1-M show negative differences in the North Indian basin. In
247 the Western North Pacific, all models except CanESM2 and HadGEM2-ES show
248 negative differences. Negative differences indicate fewer tropical storms with
249 geoengineering than under greenhouse gas forcing alone. Despite model differences,
250 the ensemble result shows robustly that the GPI difference generally negative in the
251 northern hemisphere but positive in the southern hemisphere. At present the vast
252 majority of tropical storms occur in the northern hemisphere (Table 2), so the overall
253 global numbers would likely decrease.



254 The spatial distribution of VI also has large variation (Fig. 3b). In the West North
255 Pacific, all models except MIROC-ESM and BNU-ESM have increases, suggesting
256 fewer cyclones in agreement with the results of GPI. All six models have increases in
257 the North Atlantic. In the North Indian Ocean, all models show increasing ventilation
258 index except MIROC-ESM-CHEM and NorESM1-M models, but in the South Indian
259 Ocean, BNU-ESM model shows a decrease, while other models increase. The ensemble
260 results are similar as GPI except for the North Indian basin.

261 **3.2 Accounting for changes in GPI and VI**

262 We use two different methods to examine how the contributing climate variables to
263 GPI and VI account for differences between models and across the TC basins. The
264 objectives are 1) learn which are the key variables in the model simulations of cyclones;
265 2) find a subset that can be tested against the understanding of how aerosol injection
266 affects the atmosphere heat and water balance and 3) examine if variations in TC basin
267 extent or cyclone seasons may be expected under aerosol injection.

268 **3.2.1 Monthly differences in GPI and VI components between G4 and RCP4.5**

269 To examine the effects of geoengineering on cyclone seasonality, we look at the
270 monthly contributions of the factors that make up GPI and VI. We can express Equation
271 (1) for GPI as the product of four items, respectively representing an atmospheric
272 absolute vorticity item (*AV*), a vertical wind shear item (*WS*), a relative humidity item
273 (*RH*), and an atmospheric potential intensity item (*PI*).



$$274 \quad GPI = \frac{PI \times RH \times AV}{WS} \quad (5)$$

$$275 \quad \text{Where } PI = \left(\frac{V_{pot}}{70}\right)^3, \quad RH = \left(\frac{H}{50}\right)^3, \quad WS = (1 + 0.1V_{shear})^2, \quad AV = |10^5 \eta|^{\frac{3}{2}}.$$

276 The absolute vorticity and vertical wind shear items can be considered to be
 277 dynamic components, while the relative humidity and potential intensity items are
 278 thermodynamic ones.

279 We follow Zhi et.al. (2013) in identifying the individual monthly contributions
 280 from the four large-scale environmental processes. First taking the natural logarithm of
 281 both sides of Eq. (5), obtains

$$282 \quad \log(GPI) = \log(PI) + \log(RH) - \log(WS) + \log(AV) \quad (6)$$

283 And differentiating yields

$$284 \quad \frac{dGPI}{GPI} = \frac{dPI}{PI} + \frac{dRH}{RH} - \frac{dWS}{WS} + \frac{dAV}{AV} \quad (7)$$

285 Substituting Eq. (5) into Eq. (7), we have

$$286 \quad dGPI = dPI \times \frac{RH \times AV}{WS} + dRH \times \frac{PI \times AV}{WS}$$

$$287 \quad - dWS \times \frac{PI \times RH \times AV}{WS^2} + dAV \times \frac{PI \times RH}{WS} \quad (8)$$

288 Eq. (8) can be expressed as annual means and monthly anomalies:

$$289 \quad \delta GPI = \alpha_1 \times \delta PI + \alpha_2 \times \delta RH + \alpha_3 \times \delta WS + \alpha_4 \times \delta AV \quad (9)$$



$$\alpha_1 = \frac{\overline{RH} \times \overline{AV}}{\overline{WS}}$$

$$\alpha_2 = \frac{\overline{PI} \times \overline{AV}}{\overline{WS}}$$

290 Where

$$\alpha_3 = -\frac{\overline{PI} \times \overline{RH} \times \overline{AV}}{\overline{WS}^2}$$

$$\alpha_4 = \frac{\overline{PI} \times \overline{RH}}{\overline{WS}}$$

291 And $\delta GPI = GPI - \overline{GPI}$

292 In Eq. (9), a bar denotes an annual mean value, and δ represents the difference between
 293 an individual month and the annual mean, assuming constant coefficients for α_1 , α_2 ,
 294 α_3 , and α_4 .

295 We are interested in detecting changes between greenhouse gas forcing alone and
 296 under geoengineering, so we examine the differences G4-RCP4.5 for each model
 297 grouping the TC basins by hemisphere in Fig. 4, and use $\delta GPI_{G4} - \delta GPI_{rcp45}$ to
 298 calculate the difference. Fig. 4 clearly shows that RH and WS make the largest
 299 contribution to GPI differences in both hemispheres in all models except MIROC-ESM-
 300 CHEM. In the Northern Hemisphere, RH and WS items show negative contributions in
 301 the cyclone season. Hence, these are the factors that enables geoengineering to reduce
 302 GPI relative to greenhouse gas forcing. In the Southern Hemisphere there are no clear
 303 difference between GPI under G4 or RCP4.5. Absolute vorticity, AV makes almost no
 304 contribution to the GPI differences under geoengineering in all models.

305 We also do the same mathematical transform for ventilation index. We obtain
 306 annual means and monthly anomalies:



$$307 \quad \delta VI = \alpha_5 \delta(V_{pot}) + \alpha_6 \delta(\chi_m) + \alpha_7 \delta(V_{shear}) \quad (10)$$

$$308 \quad \text{Where } \alpha_5 = -\overline{V_{shear}} \frac{\overline{\chi_m}}{V_{pot}^2} \quad \alpha_6 = \frac{\overline{V_{shear}}}{V_{pot}} \quad \alpha_7 = \frac{\overline{\chi_m}}{V_{pot}}$$

$$309 \quad \delta VI = VI - \overline{VI}$$

310 Analogously as for GPI, we show also results for VI in Fig. 4. V_{shear} makes the
311 largest contribution to ventilation index differences between geoengineering and
312 greenhouse gas forcing in both hemispheres. Fig. 4 shows that the HadGEM2 values
313 tend to be smaller than for other models and often differ in sign of difference from the
314 other models, consistent with the muted spatial patterns in Fig. 3.

315 3.2.2 Contributions to GPI and VI across TC basins

316 The GPI and VI dependencies may be expressed as a regression equation of X on Y
317 where Y is the GPI or VI anomalies under G4 relative to RCP4.5, and the fractional
318 contribution to variance, S_i , of each variable i in X to Y can be written, following Moore
319 et al. (2006) as,

$$320 \quad S_i = M_i C_i \sigma X_i / \sigma Y \quad (11)$$

321 where the σX are the standard deviations of the predictor terms, σY is the standard
322 deviation of the anomalies, C are the correlation coefficients of the X with Y , M are the
323 regression coefficients of the X with Y . The regression can be expressed as a multiple
324 linear regression in log space, and the coefficients simply transformed after fitting.
325 Fitting in log space also allows for the generally heteroscedastic fractional nature of the
326 errors in the variables.



327 The relative contributions to GPI anomalies from its four variable items following
328 the regression Eq. (11) are shown in Fig. 5. RH is the dominant factor for GPI
329 differences in all models except MIROC-ESM-CHEM and all TC basins. A striking
330 feature of Fig. 5 is that there are very similar patterns of variability between models
331 across all the basins for the PI and the RH terms, but not for the WS and AV terms. Fig.
332 5 also shows that AV makes very little contribution to variance explained in the (G4-
333 RCP4.5) differences. For all models except MIROC-ESM-CHEM, WS makes about
334 half the contribution to variance explained as RH .

335 Fig. S1 shows the three variables of the ventilation index in a similar way as Fig.
336 5. V_{shear} makes the largest contribution to VI for all TC basins and all models
337 especially for the BNU-ESM and MIROC-ESM models. Indeed from Fig. S1 it appears
338 that VI may be simply replaced by V_{shear} , but viewing the month by month
339 contributions in Fig. 4 shows that other components are relatively important for some
340 models during some months of the TC season. χ_m has no consistent contribution for
341 the models and basins, and it sometimes make negative contributions to the difference
342 ($GPI_{G4}-GPI_{RCP4.5}$).

343 The statistical power of a regression equation can be expressed as the F-statistic.
344 Given that the different variables in Figs 5 and S1 show notable differences in their
345 contribution to the GPI and VI, we can use the F-statistic to examine if a reduced model
346 with fewer variables is a better statistical model for the differences under G4 and
347 RCP4.5. GPI has four variables, so there are 15 combination to examine as shown in



348 Fig. 6. Only for BNU-ESM and MIROC-ESM do the full set of variables have the
349 highest F-statistic. NorESM1-M and MIROC-ESM-CHEM stand out as different from
350 the other models in their general behavior. MIROC-ESM-CHEM is largely governed
351 by PI and NorESM1-M by RH . In general the models show RH has the largest F-statistic
352 for single parameter models, consistent with Figs. 4 and 5. VI has 3 variables, so there
353 are 7 combinations possible. Fig. S2 shows V_{shear} has largest contribution to VI for
354 most of models, and as for GPI, only BNU-ESM and MIROC-ESM models have largest
355 F-statistic for the full set of model variables.

356 3.3 The key factors affecting TCs

357 The analysis above shows that PI is an important factor affecting TC genesis.
358 According to Eq. (2), V_{pot} is dependent on the static stability of the troposphere, which
359 is related to both sea surface (T_s) and upper tropospheric temperatures (T_o) where
360 rising air flows out of the storm, and which can be represented by tropical tropopause
361 (100 hPa) temperature. Fig. S3 show the correlations across TC basins and seasons for
362 the various fields in RCP4.5 and G4, while Fig. 7 shows the correlations in the
363 differences between G4 and RCP4.5 so that difference made by the geoengineering can
364 be clearly evaluated. Fig. 7a shows the dependence of V_{pot} differences (G4-RCP4.5)
365 on $(T_s - T_o)$ differences for the models. All models have significant correlation for all
366 TC basins except BNU-ESM, which is significant in WNP, ENP, NI and integrated over
367 all TC basins. However, there is an even stronger dependence for V_{pot} on T_s
368 anomalies (Figs. 7b, S3). The model ensemble V_{pot} is better correlated with T_s rather



369 than ($T_s - T_o$) mostly due to better correlations of NorESM1-M and HadGEM2-ES in
370 Fig. 7b. Fig. S3 shows that correlations for both models under RCP4.5 and G4
371 separately are not atypical, simply that their (G4-RCP4.5) differences are small. It is
372 also notable that there are worse correlations for the model ensemble values of ($T_s - T_o$)
373 with V_{pot} under G4 than RCP4.5 (Fig. S3). All models except CanESM2 and NorESM1
374 show significant correlation between GPI and T_s anomalies shown as Fig. 7c. And all
375 except these two models have significant correlations for all TC basins.

376 Figs. S4 and S5 show the seasonal variability of T_s and T_o for all the models. The
377 annual cycle of T_s , is very similar, as expected for all the models, with good agreement
378 on the differences in seasonal cycle between the Northern and Southern Hemispheres.
379 However, for T_o the models show differences in the shapes and phases of the cycles in
380 both hemispheres, for example only the NorESM1-M model shows roughly antiphase
381 seasonality between the hemispheres. Fig. S6 shows the ERA-interim reanalysis T_o data,
382 which has similar seasonality in both hemispheres, with peak temperature anomalies in
383 August ($\sim 1.5^\circ\text{C}$) and a sharp decline to a long minimum by November or December of
384 similar magnitude. Comparing Figs. S5 and S6 shows that the models generally follow
385 similar patterns under both G4 and RCP4.5, except for NorESM1-M and HadGEM2-
386 ES. HadGEM2-ES is also the model with largest amplitude of seasonal cycle, somewhat
387 larger than in ERA-Interim; other models have smaller amplitudes, with many around
388 half that observed at present. This degree of difference in T_o simulation likely explains
389 much of the inter-model differences in GPI.



390 The other common factors across models and basins that affect TCs are relative
391 humidity (H) and vertical wind shear (V_{shear}). In Figs 7d and 7e we plot H and V_{shear}
392 differences between G4 and RCP4.5 as a function of sea surface temperature differences.
393 Relative humidity rises with warming temperatures under both G4 and RCP4.5 (Fig.
394 S3), as expected. But there are obvious differences across the ocean basins with weakest
395 response in ENP, NA and NI and strongest correlations in the Southern Hemisphere
396 basins. Differences G4-RCP4.5 follow a similar spatial pattern, but with a significant
397 anti-correlation in North Atlantic. Across-model differences are larger for correlations
398 of V_{shear} and T_s under both G4 and RCP4.5 (Fig. S3) than for the other key variables. In
399 contrast with the other parameters, there is generally an anti-correlation with T_s across
400 all ocean basins, with the NA basin having the weakest correlations. In terms of the
401 differences in Fig. 7e, all models show clear significant anti-correlations except
402 CanESM2, with the NI and NA basins having weakest correlations. Vecchi et al. (2007)
403 found the tropical Atlantic wind shear increases in model projections under global
404 warming. If the models here capture the effect under G4 and RCP4.5, we would expect
405 positive correlation between V_{shear} and T_s over the tropical Atlantic for G4 and RCP4.5
406 in Fig. S3, but all models show negative correlations, although the Pacific Ocean basins
407 more significantly anti-correlated than NA. Li et al. (2010) showed that under warming
408 there is relative shift of towards the central Pacific Ocean of TC genesis away from the
409 North West Pacific. When we plot the G4-RCP4.5 GPI difference map over the Pacific
410 Ocean, we also see a clear anomaly in the Central Pacific (Fig. S7). Li et al. (2010)
411 showed the same effect when using prescribed sea surface temperature patterns from a



412 suite of models, and they account for the changes in TC by surface temperature
413 gradients that drive trade winds, which changes the wind shear. Our result is thus
414 consistent with their findings of changes under greenhouse gas forcing in the Pacific
415 Ocean if the G4 simulation reverses the effects of RCP4.5 effectively.

416 **3.4 The effect of ENSO on GPI**

417 The El Niño-Southern Oscillation (ENSO) is characterized by interannual sea
418 surface temperature (SST) variations in the eastern and central equatorial Pacific Ocean.
419 The impact of ENSO events on the TC activity over the western North Pacific (WNP)
420 has been studied to provide a better understanding of the large-scale steering flow of
421 TCs and the tendency of TC tracks to shift (Wang et al., 2002). There is also clear
422 evidence of teleconnections between ENSO and North Atlantic hurricane season
423 statistics (Gray, 1984; Grinsted et al., 2013). ENSO may be characterized by measures
424 of atmospheric or oceanic variability. We examined the simulated Niño3.4 index of
425 tropical Pacific SSTs in the box 170°W - 120°W, 5°S - 5°N, and the Southern
426 Oscillation Index (SOI) of standardized sea level pressure differences between Tahiti
427 and Darwin, Australia. Previous analysis of the GeoMIP model ENSO response
428 (Gabriel et al., 2015) preferred SST based estimates than noisier atmospheric
429 representations. They also excluded the BNU-ESM, MIROC-ESM and MIROC-ESM-
430 CHEM models from their analysis because of the model's unrealistic amplitudes of
431 ENSO. However, as in the real world, all models and the ensemble we use, show a
432 significant anti-correlation between Niño3.4 index and SOI, except NorESM1-M under



433 G4, (Fig. 8). This suggests that while many models, are deficient in aspects of their
434 ENSO variability, they all capture at least some important aspects of ENSO. The
435 correlation coefficients are more significant in RCP4.5 than under G4 for most models.
436 We combined Niño3.4 and SOI indices with equal weighting to get a single
437 representative index of ENSO to compare with GPI and VI.

438 Annual GPI for the TC basins and the ENSO index during the TC seasons are, in
439 general, significantly correlated under both G4 and RCP4.5 (Fig. 9). The exception
440 being CanESM2 which exhibits anti-correlation between GPI and ENSO index under
441 both G4 and RCP4.5. The analysis for individual basins indicates most models have
442 significant correlations with ENSO in the WNP and the SP basin, except CanESM2
443 under the G4 experiment, where it is significantly anti-correlated for RCP4.5. BNU-
444 ESM, MIROC-ESM and MIROC-ESM-CHEM have significant correlations in ENP,
445 with NorESM1 and CanESM2 having little or no correlations. Only MIROC-ESM-
446 CHEM has significant correlation between GPI and ENSO in the NA basin, but the R^2
447 is relatively low, around 0.22. Both BNU-ESM and NorESM1 have significant
448 correlations in the SI basin, while CanESM2 has significant anti-correlation there. So
449 the impact of ENSO is most consistently felt in the Pacific Ocean, with perhaps
450 surprisingly low correlation in the North Atlantic considering the well-known
451 teleconnections with hurricane activity there.

452 3.5 TC from Track with HadGEM2-ES



453 As a supplemental analysis to the results based on the GPI and VI, we also employ
454 a widely-used feature tracking software (TRACK vn. 1.4.9) to directly track vorticity
455 maxima that characterize cyclones. Hodges (1995) provides a detailed account of
456 TRACK's core functionality. Jones et al. (2017) also used TRACK to assess
457 geoengineering impact on North Atlantic hurricane statistics, and we follow their
458 approach. Firstly, we determine the relative vorticity (ζ) on the 850, 500, and 250 hPa
459 vertical pressure levels from the zonal (U) and meridional (V) wind using the definition:
460 $\zeta = (1/a \times \cos(\theta)) \times (dV/d\lambda - dU \cos(\theta)/d\theta)$, where a is Earth's radius, and θ and λ are the
461 latitude and longitude in radians respectively. U and V are required on 6 hour time steps,
462 but are only available for the HadGEM2-ES model in our ensemble, and limited to the
463 Northern Hemisphere TC season. TRACK detects storms lasting at least 2 days and
464 additionally requires values setting for three parameters. We follow Jones et al. (2017)
465 in selecting: $\zeta_I \geq 4.5$ to express the minimum vorticity intensity required; $\zeta_V \geq 3.5$ for
466 the warmth of cyclone core; ζ_I and ζ_V thresholds must be met for at least 4 consecutive
467 time steps. These criteria represent a relaxation of standard parameters (6, 6, 4) but were
468 tuned to produce a match in the statistics of Atlantic hurricanes contained in the
469 HURDAT2 database (Landsea, et al., 2013) from the HADGEM2-ES historical
470 simulation.

471 In contrast with Jones et al. (2017) which used data from June through November,
472 we confine the analysis to the Northern Hemisphere TC season (August, September,
473 October). The TRACK results suggest that there are significantly more TC under G4
474 than with RCP4.5 (Table 4) in all basins except the Eastern North Pacific. This



475 surprising result is not consistent with the changes in GPI and VI for the Northern
476 Hemisphere (Table 3). Table 3 shows that the G4 cools relative to RCP4.5 and that wind
477 shear increases. Furthermore, the TRACK result is not consistent with i) the findings of
478 the statistical model based on surface temperatures (Moore et al., 2015), ii) the proxies
479 (including wind shear) for TC examined by Jones et al. (2017), iii) the statistical-
480 dynamical downscaling CHIPS model of Emanuel (2013). Jones et al. (2017) show that
481 TCs numbers evaluated using the direct counting of storms using the TRACK scheme
482 (Bengtsson et al., 2007) produce much smaller differences between G4 and RCP4.5
483 than those using statistical downscaling based on either statistical-dynamical
484 downscaling using CHIPS (Emanuel et al., 2004) or simply surface temperatures
485 (Moore et al., 2015).

486 **4 Discussion and Conclusion**

487 Typical ESM are run in coarse-resolution that cannot resolve tropical cyclones and
488 hence do not directly reproduce observed storm intensities and synoptic features related
489 to cyclogenesis (Camargo, 2013). The storms that may be counted using indirect
490 methods such as the TRACK algorithm include the whole climate condition. Statistical
491 methods (Moore et al., 2015) also implicitly include feedbacks between storm and
492 background climate conditions, but dynamical downscaling methods (Emanuel, 2013)
493 cannot include them. The GPI and VI proxies we apply here are useful tools for relating
494 storm activity to meteorological conditions but do not account for changes to TC tracks
495 or intensity. Since they require relatively little data to calculate (monthly means),



496 compared with daily or 6 hourly data required for TRACK or the CHIPS tools, and they
497 convey information from more than simply surface temperature fields, they may give
498 reasonable insights into the complex changes to TC under SRM geoengineering
499 schemes.

500 We evaluated the hurricane index over six TC ocean basins in six CMIP5 and
501 GeoMIP models. We used G4 and RCP4.5 experiments to assess and compare the
502 genesis potential and ventilation indices that diagnose tropical storms in climate models.
503 Based on the climatology of the years 2040-2069, GPI and VI both show small rising
504 trends for TC genesis in all six models under both G4 and RCP4.5 scenarios. Spatial
505 patterns of TCs, show both GPI and VI predicting fewer TC in the North Atlantic and
506 North Indian Ocean under G4 compared with RCP4.5, and more TC in the South Pacific
507 for most models in the ensemble. Thus stratospheric sulphate aerosol injection could
508 lead to fewer TCs in the North Atlantic and Indian Ocean but more TCs in the South
509 Pacific region than under greenhouse gas induced global warming. There is, however,
510 large inter-model variations across the six ocean basins. The impact of ENSO on TCs
511 can be detected in the GPI and shows a rising tendency for GPI under El Niño
512 conditions across the TC basins, especially in the Pacific Ocean.

513 Detailed statistical analysis of the two TC indices indicates that the thermodynamic
514 variables potential intensity and relative humidity are the dominant ones affecting
515 genesis potential, while the dynamic variables such as absolute vorticity and entropy
516 deficit are much less important. Vertical wind shear is a dynamic variable and dominates
517 the ventilation index. By examining the contributions of variables to differences in GPI



518 and VI under geoengineering and greenhouse gas forced climates we show that relative
519 humidity is the dominant factor for GPI differences in all models and all TC basins,
520 except MIROC-ESM-CHEM for which potential intensity is the dominant factor. The
521 analysis suggests that a simplified representation of TCs depending on fewer variables
522 is possible, but does require analysis of particular model behavior before choosing those
523 variables. Although wind shear is important and a dynamic variable, it is encouraging
524 that the thermodynamic state of the system is of prime importance for the GPI,
525 suggesting that statistical methods of predicting changes in hurricane and storm
526 behavior are plausible. But, these indices cannot fully represent the actual TC variations
527 due to the complexity of TC genesis and evolution.

528 Potential intensity is related to the difference between sea surface temperature and
529 outflow temperature (the 100 hPa level). In fact we note that SSTs alone provide a better
530 correlation with both potential intensity and GPI. This result is similar with previous
531 observational (Grinsted et al., 2013) and modeling (Wu and Lau, 1992) studies that
532 suggest it is the geographical distribution of SST anomalies that are crucial for the
533 development of TC. Recent analysis of GeoMIP results by Davis et al. (2016), on the
534 extent of the tropical belt under G1 and 4×CO₂ experiments, demonstrates that tropical
535 upper-tropospheric temperature changes are well-correlated with the change in global-
536 mean surface temperature. This is because changes in the static stability characterized
537 by upper troposphere and surface temperature differences scales with the moist
538 adiabatic lapse rate and surface temperatures. In contrast with the solar dimming G1



539 experiments analyzed by Davis et al., (2016), here we analysis G4 which is an aerosol
540 injection scheme. The aerosol heats the stratosphere mainly between the 16-25 km
541 elevation injection levels with warming at the tropopause of about 0.6 °C relative to
542 RCP4.5 for the MIROC-ESM-CHEM model (Pitari et al., 2014). This is about half the
543 range of the G4-RCP4.5 difference in static stability (Fig. 7). Hence, we would expect
544 to see a significant improvement in correlation of potential intensity and GPI by using
545 100 hPa temperatures in addition to SSTs, but we do not. Table 3 shows that the upper
546 troposphere measured by T_0 does not warm with most models under G4, which is
547 consistent with the impact of G1 on the troposphere. The result is that the models used
548 here have a better relationship with sea surface temperatures than static stability, and
549 suggests that the aerosol heating effects are not influencing simulated TC genesis.

550 The change in relative humidity on the tropical ocean basins in future is a key aspect of
551 TC genesis according to our analysis. Models tend to agree on the sign of change in
552 relative humidity as temperatures rise, but there are consistent differences in strength
553 of response across the ocean basins. The differences in response (G4-RCP4.5) even
554 indicate a difference in sign of North Atlantic response under geoengineering from the
555 other basins. This indicates that although relative humidity is important for most models,
556 changes in TC genesis processes between basins affect its utility as a predictor variable.
557 The final variable, vertical wind shear, shows large scatter across the models, but
558 consistent anti-correlation between V_{shear} and surface temperature, and that relationship
559 is somewhat stronger under G4 than RCP4.5. The changes in GPI over the Pacific



560 Ocean under G4 compared with RCP4.5 are similar to previous results comparing
561 patterns of TC genesis under 20th century surface temperatures relative to 21st patterns
562 (Li et al., 2010). Overall our analysis of the driving parameters in GPI, suggests that
563 despite large model differences, the simple dependence of GPI on surface temperatures
564 is reasonably robust.

565 Smyth et al. (2017) report the seasonal migration of the Intertropical Convergence
566 Zone (ITCZ) in G1, associated with preferential cooling of the summer hemisphere,
567 and annual mean ITCZ shifts in some models that are correlated with the warming of
568 one hemisphere relative to the other. ITCZ location is correlated with tropical cyclone
569 and season. Our analysis of seasonality of TCs shows that there appears to be a
570 difference in behavior between the Southern and Northern Hemispheres, with the
571 southern one showing no consistent changes between models under RCP4.5 and G4
572 scenarios. Davis et al. (2016) show that there are differences in the evolution of the
573 northern and southern Hadley cells under greenhouse forcing, with the expansion of the
574 northern one scaling non-linearly with temperature. Differences seem to be driven
575 fundamentally by the equator-pole temperature gradient, and therefore may be expected
576 given the far larger polar amplification in the Northern compared with Southern
577 Hemisphere.

578 Many models, owing to their low resolutions, produce much weaker and larger TCs
579 (Camargo et al., 2005) than seen observationally. Considering the insufficient resolution
580 of most models, evaluating the GPI and VI may be a better diagnostic of TC variations



581 under different climates. The results presented here suggest that SRM produces
582 reductions in TCs across most of the major storm basins, and would be primarily due
583 to reduced sea surface temperatures in the genesis regions.

584

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- 762

763 **Tables and Figures**

764

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Table 1. Climate models used in this study

Model	Reference	Resolution (Lon×Lat)	ensemble members
BNU-ESM	Ji et al. (2014)	128×64	1
CanESM2	Chylek et al. (2011)	128×64	3
HadGEM2-ES	Collins et al.(2011)	192×144	3
MIROC-ESM	Watanabe et al. (2011)	128×64	1
MIROC-ESM- CHEM	Watanabe et al. (2011)	128×64	9
NorESM1-M	Bentsen et al. (2013)	144×96	1

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Table 2. Definitions of Regions and numbers of observed TC

Region	Latitudes	Longitudes	Annual Mean Numbers and percentages (1980-2008)
North Atlantic (NA)	6-18°N	20-60°W	12 (15%)
Eastern North Pacific (ENP)	5-16°N	90-170°W	15 (19%)
Western North Pacific (WNP)	5-20°N	110-150°E	25 (32%)
North Indian (NI)	5-20°N	50-110°E	4 (5%)
South Indian (SI)	5-20°S	50-100°E	23 (29%)
South Pacific (SP)	5-20°S	160E-130°W	

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772 Table 3. Differences (G4-RCP4.5) in TC basins and season during 2040-2069 year
 773 calculated point-by-point. Northern Hemisphere numbers are above and Southern
 774 Hemisphere below Bold fonts are significant at 95% level. The ensemble means are
 775 not normalized

Models	T_s (°C)	T_o (°C)	T_s-T_o (°C)	GPI	V_{pot} (ms ⁻¹)	H (%)	V_{shear} (ms ⁻¹)	η ($\times 10^{-8}$ s ⁻¹)	VI ($\times 10^3$)	χ_m ($\times 10^3$)
BNU-ESM	-0.51	0.023	-0.53	-0.62	-0.59	-0.26	0.012	-1.2	20	17
	-0.43	-0.044	-0.38	0.057	-0.040	0.73	0.076	0.83	7.2	19
MIROC-ESM	-0.32	-0.52	0.20	-0.50	-1.0	-0.28	0.28	1.3	15	-4.9
	-0.24	-0.52	0.28	0.0027	-0.28	0.12	-0.16	-0.32	1.6	8.6
MIROC-ESM- CHEM	-0.29	-0.50	0.27	-2.6	6.62	4.6	1.9	0.56	8.7	-11
	-0.24	-0.48	0.29	0.19	6.34	3.5	2.3	-0.76	-5.8	1.2
CanESM2	-0.50	-0.13	-0.37	-0.017	-0.86	0.17	-0.045	-0.08	13	19
	-0.46	-0.086	-0.37	-0.044	-0.44	-0.21	0.026	-5.3	-2.7	4.9
NorESM1-M	-0.27	-0.13	-0.15	-2.7	-1.0	-0.24	0.33	-3.7	19	2.8
	-0.24	-0.14	-0.095	1.9	-0.65	-0.52	0.085	-1.9	-21	-9.8
HadGEM2-ES	-0.75	0.13	-0.88	-0.30	-1.2	0.43	0.083	5.8	23	52
	-0.70	0.075	-0.73	0.053	-0.66	-0.018	-0.028	1.7	3.4	37
Ensemble	-0.44	-0.17	-0.24	-1.1	0.33	0.73	0.43	0.44	16	12
	-0.38	-0.20	-0.17	0.38	0.71	0.60	0.38	-0.98	-3.0	10

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784 Table 4. Mean TC frequency in Northern Hemisphere basins from the 3-member
785 ensemble of HadGEM2-ES using TRACK (4.5, 3.5, 4) during August, September,
786 October 2020-2069. Bold indicates regions with significantly more TC under G4
787 than RCP4.5 at the 95% level.

Region	Mean	St.Dev	Mean	St.Dev
	G4	G4	RCP4.5	RCP4.5
WNP	5.0	2.0	4.4	1.8
ENP	11.5	3.4	11.7	3.3
NA	1.2	1.0	0.8	0.8
NI	3.5	1.5	3.0	1.7

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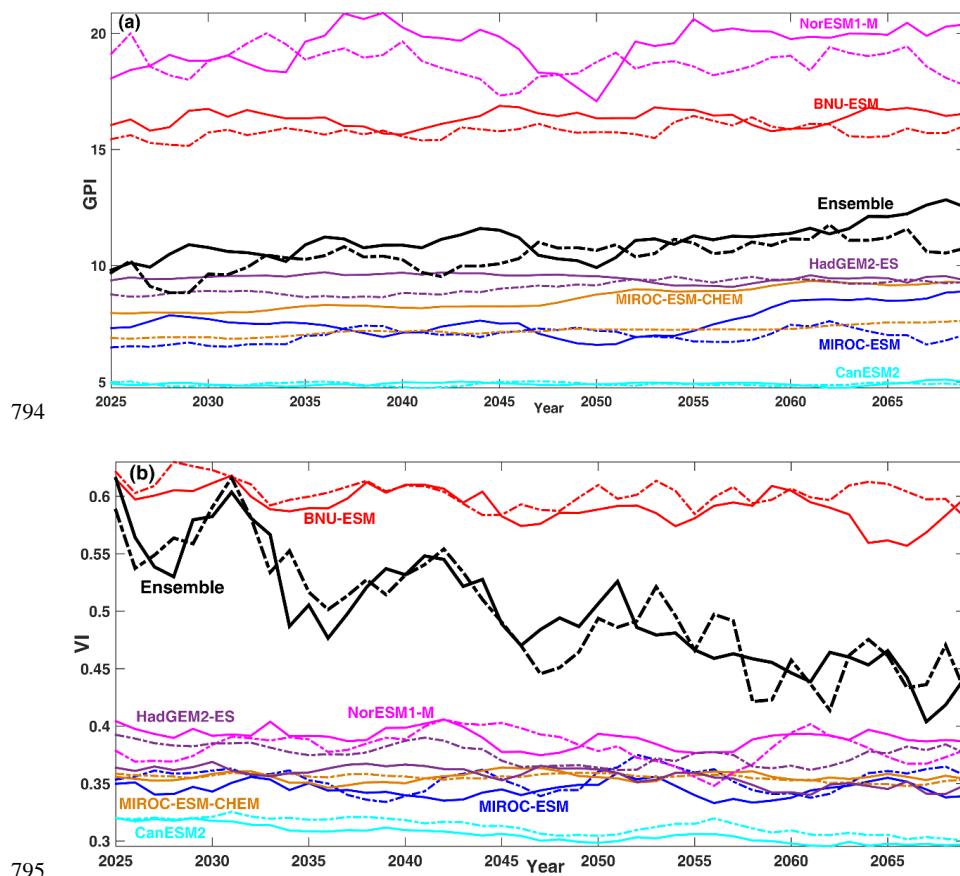
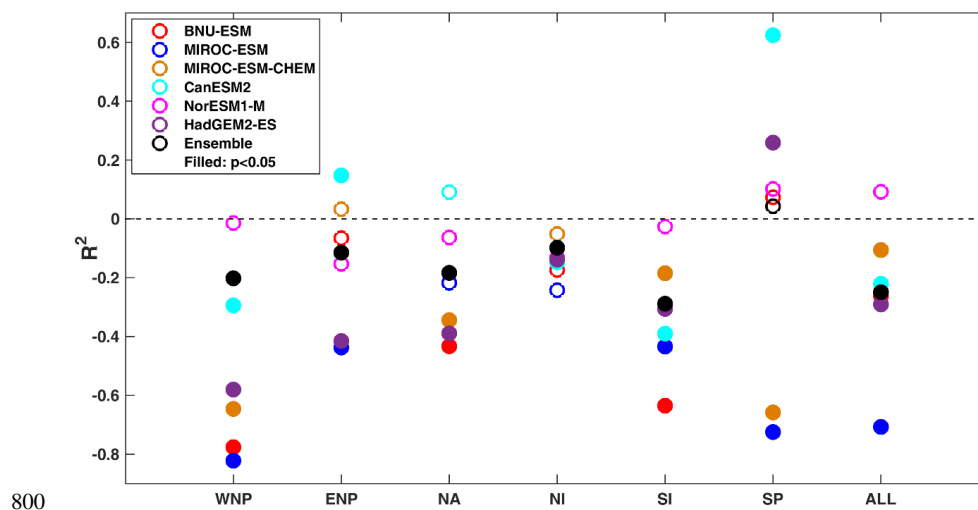
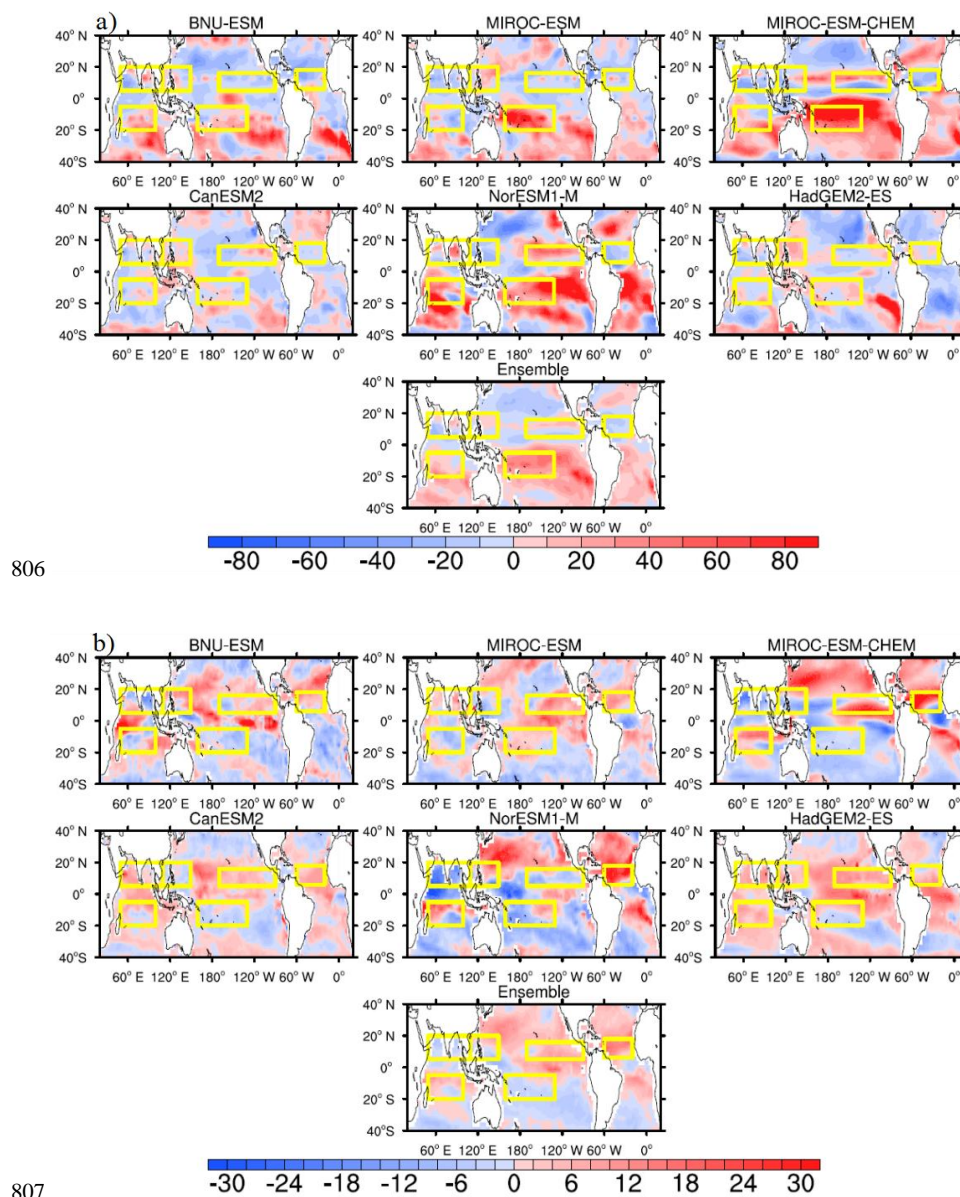


Figure 1. Five yearly moving annual averages, of (a) GPI index and (b) ventilation index in TC season and TC basin. Solid lines denote forcing under RCP4.5 and dotted lines values under G4. Ensemble mean series were calculate using normalized time series, shifted by the ensemble mean.



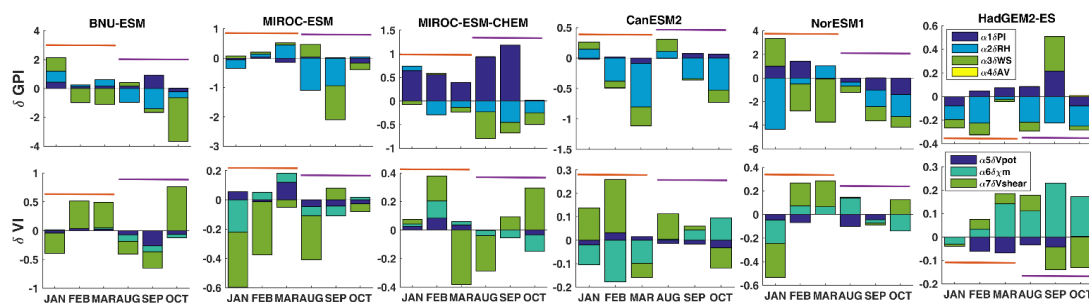
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801 **Figure 2.** The correlation coefficients (R^2) between annual GPI and VI anomalies (G4-
802 RCP4.5) during TC season and six ocean TC basins. The MIROC-ESM-CHEM model
803 has 9 ensemble members, the CanESM2 model has 3 ensemble members, and other
804 models have one member. Each model is weighted equally and normalized for the
805 ensemble regardless of the number of separate realizations. Dashed line represent $R^2=0$.



808 **Figure 3.** Spatial distribution at each grid point during the appropriate TC season
809 between 2040-2069 of the anomaly $(GPI_{G4}-GPI_{RCP4.5})/GPI_{RCP4.5}$ as a percentage, for a)
810 GPI and b) VI. Yellow rectangles delimit the six TC ocean basins. The Northern



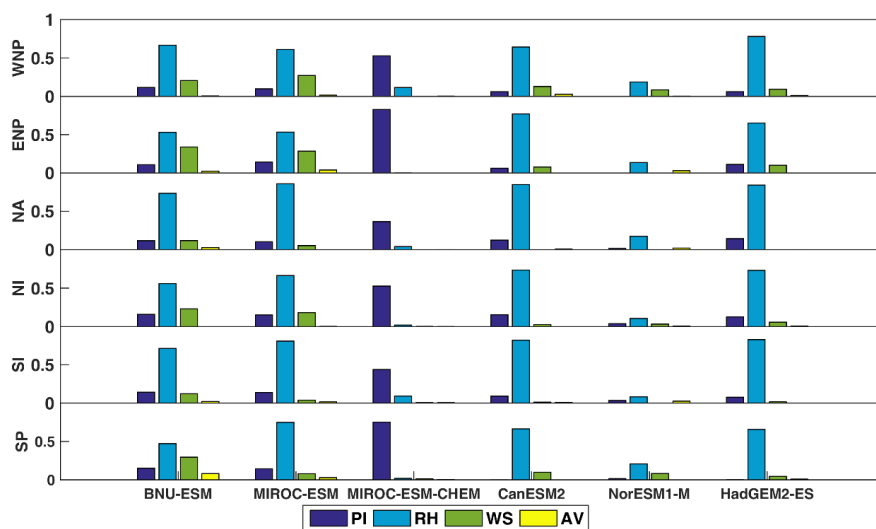
811 Hemisphere peak TC season is defined to be August through October, and the Southern
 812 Hemisphere season is defined to be January through March.



814 **Figure 4** The mean month contribution of each variable to the difference (G4-RCP4.5)
 815 for the years 2040-2069 in TC basins and TC season in GPI and VI. Brown lines
 816 represent Southern Hemisphere and purple lines represent Northern Hemisphere TC
 817 seasons.

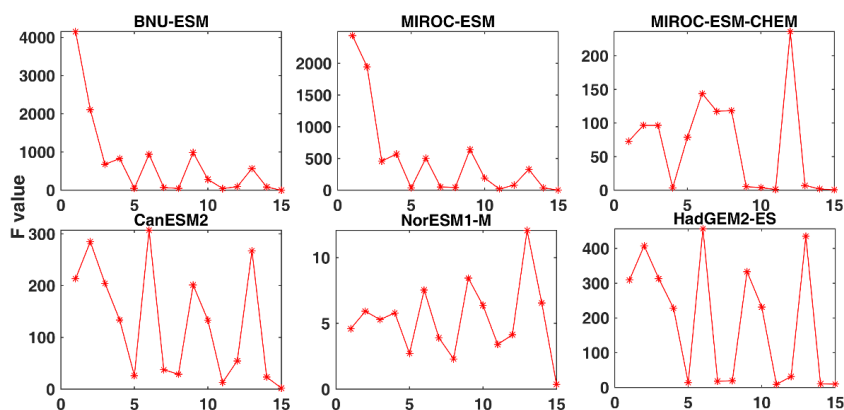
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821 **Figure 5.** The fractional variance contribution of components of GPI during the TC
 822 season and within the six TC basins during 2040-2069.



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824 **Figure 6.** The F-statistic of the 15 different combinations of regression variables for
 825 GPI differences between G4 and RCP4.5. The x-axis on each panel represents the
 826 combination of components used as predictors in each regression equation:
 827 1:(PI,RH,WS,AV), 2:(PI,RH,WS), 3:(PI,RH,AV), 4:(AV,RH,WS), 5:(PI,AV,WS),

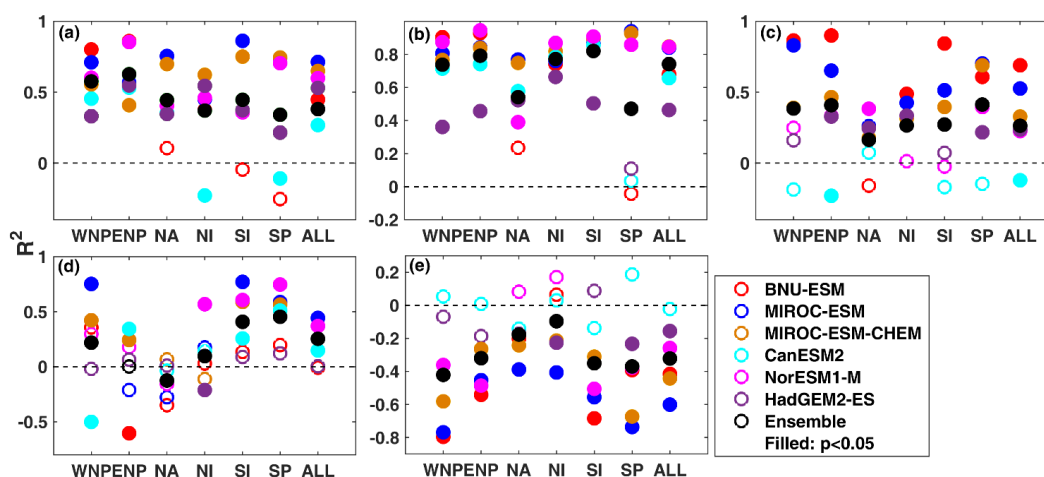


828 6:(PI,RH), 7:(PI,WS), 8:(PI,AV), 9:(RH,WS), 10:(RH,AV), 11:(AV,WS), 12:(PI), 13:(RH),

829 14:(WS), 15:(AV).

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833 **Figure 7.** The correlations (R^2) between differences (G4-RCP4.5) during TC season

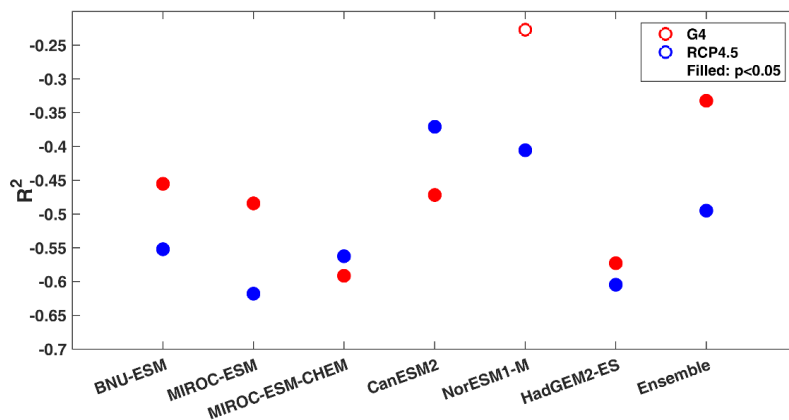
834 and across the six TC basins for the years 2040-2069 for (a) V_{pot} anomalies as a

835 function static stability $T_s - T_o$. Panels b-e show R^2 coefficients for anomalies with sea

836 surface temperature differences (T_s) and: (b) V_{pot} , (c) GPI, (d) relative humidity, (e)

837 vertical wind shear. Each model is weighted equally in the ensembles regardless of

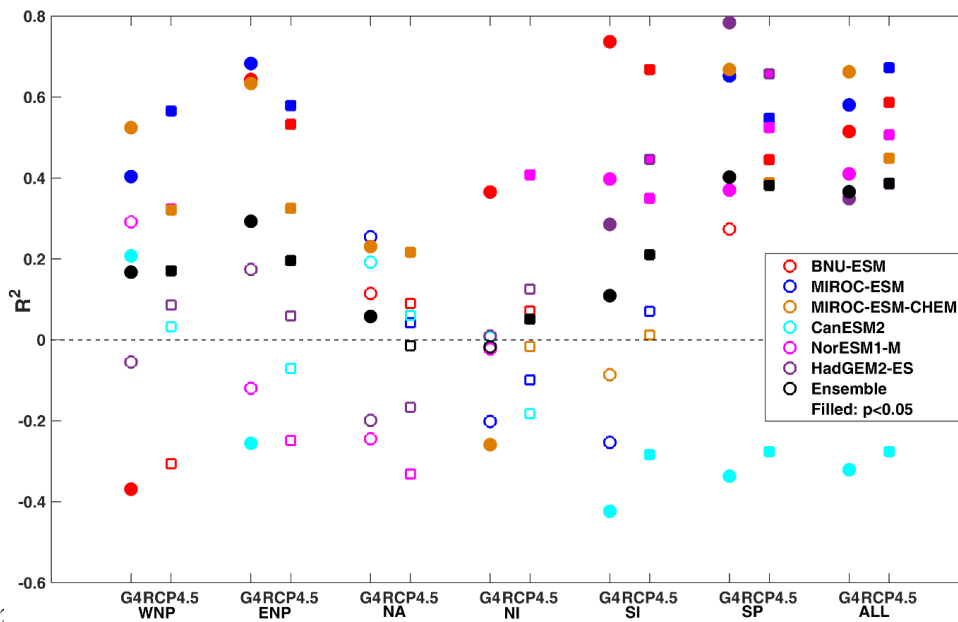
838 number of observations.



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840 **Figure 8.** The model correlation coefficients between annual Niño3.4 index and SOI

841 during TC season for 2040-2069.



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843 **Figure 9.** The correlation of GPI as a function of $(\text{Niño3.4-SOI})/2$ during TC season

844 and six TC basins and all TC basins for the G4 and RCP4.5 experiments.