

Comments from reviewers are in regular font. **Authors' response to comments are in bold.**

### Authors' response to Anonymous Reviewer 1.

5 Four days' worth of microphysical and dynamical data area analyzed from the COncvective  
Precipitation Experiment (COPE) over Southwest England. The cases are chosen in a spectrum from  
one almost entirely glaciated by  $-10^{\circ}\text{C}$  to one still primarily liquid at  $-13^{\circ}\text{C}$ . The dynamic conditions  
also vary from low shear-low CAPE to high shear-high CAPE. Although the analysis and insight are  
not as deep as in the Taylor et al. COPE study, the work adds to a body of in-situ secondary ice  
10 production observations, and the discussion of ice recycling in different dynamic environments is  
interesting.

While the cases present a nice variety, I am wondering whether it would ease readability to refer to  
them with acronyms or names as opposed to dates. Table 1 is useful in this regard, but I did find  
15 myself flipping back and forth quite often to recall which case was which.  
A strength of the work is that it considers different dynamic environments, but I wonder if this could  
not be made more quantitative. Could shear profiles / hodographs or CAPE evolution (The values in  
Table 1 are spatiotemporally averaged?) be included? This would make the discussion in Section 3a  
more rigorous. My other questions and comments are associated with specific lines or figures:

20 **We thank the reviewer for their constructive comments. We share the reviewer's concern that the  
presentation of the four cases can be quite overwhelming especially given the wide variety of  
information. We tried different methodologies and acronyms, but all seemed to be rather  
confusing. The most logical way we found to label these cases for the reader would be to classify  
25 them as Cases A to D. In the revised manuscript, we refer to these alpha-numeric codings  
(introduced at the beginning of section 3) throughout sections 3 and 4. However, in the  
conclusions section we present the cases by their date.**

30 **Regarding the reviewer's comment on quantification of shear profiles and/or CAPE evolution, we  
are unable to provide an evolution of CAPE for the following reasons below.**

COPE RF10 3 Aug 15 UTC Davidstowe Sounding

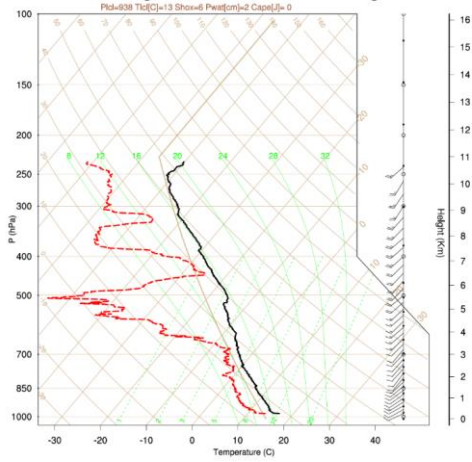


Figure R1. Skew-T diagram of the sounding launch at 15 UTC 03 August. The black line denotes temperature, the red dashed line is dewpoint. The pink dashed line shows the temperature of a parcel lifted from the surface.

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COPE RF10 3 Aug 15 UTC Davidstowe Sounding

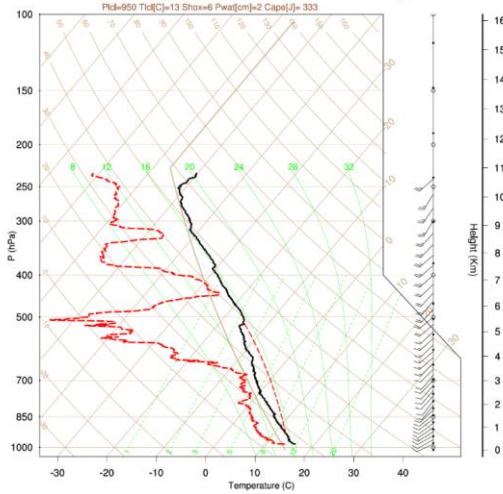


Figure R2. As Figure R1, but after the surface temperature is cooled to 16 degrees Celsius.

When calculating CAPE we carefully selected soundings that were closest to the aircraft penetrations in time. We also found that when we calculated CAPE there is known to be a large sensitivity to both the surface temperature used as well as due to the lifting due to the convergence line (Browning et al. 2007). We had to carefully check whether the calculated thermodynamic profiles were representative of the observed cloud bases and tops on those days. Figure R1 and R2 show an example of this sensitivity. Therefore, we decided to calculate CAPE based on the observed cloud bases and tops throughout the day. Using this process is impossible without detailed information about how cloud tops vary throughout the day to help verify the validity of the CAPE calculation. Therefore, we are unable to provide an evolution of CAPE throughout the day.

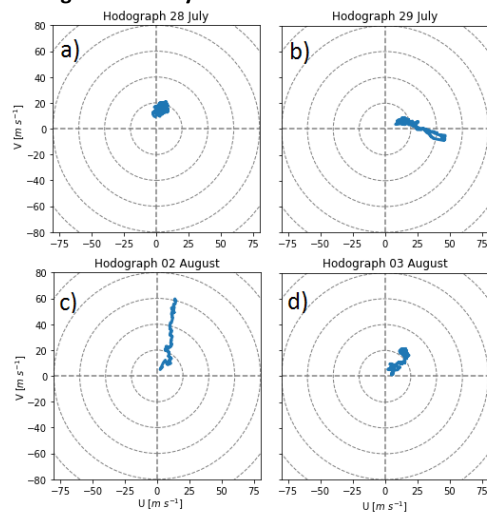


Figure R3. Hodographs for the 4 cases.

The hodographs shown for the 4 cases in Figure R3 does provide a qualitative visual confirmation of calculations of shear provided in Section 3a. However, no real additional information is gained. We see unidirectional shear on all of the days, and the shear is the greatest on 02 August (Case C), the least on 28 July (Case A). Furthermore, we feel that the most representative calculation of shear for these cases is the shear from cloud base to cloud top, as that is what will impact the cloud dynamics and in turn the microphysics. Therefore, we feel that we have, to the best of our ability, provided the most quantitative assessment of the thermodynamic and dynamic profiles on the 4 days that we are able to provide based on the data set available.

#### Specific comments

##### *Particle numbers in different size range*

Page 5, Lines 10, 30-31; Page 6, Line 12 – Could you clarify where particle number concentrations in the different size ranges come from? “CDP sampled particles with diameter  $2 < D < 50 \mu\text{m}$ ”;

5 “Concentrations of particles of  $25 < D < 100 \mu\text{m}$  from the CIP are not reported in this study”;  
“Images ...with diameters less than roughly  $250 \mu\text{m}$  are not included in the ice categorization”.  
Where do the number concentrations between  $50$  and  $125 \mu\text{m}$  come from in Figure 5? Are the  
authors concerned that with a cutoff size of  $250 \mu\text{m}$  for ice that some fragments are not accounted  
for?

10 **To clarify – the CDP measures particles with  $2 < D < 50 \mu\text{m}$ , the CIP nominally measures particles with  
 $25 < D < 1600 \mu\text{m}$ , and the 2DP nominally measures particles with  $200 < D < 6.4 \text{ mm}$ . In our processing  
of the data, since the concentrations from the CIP are unreliable at  $D < 100 \mu\text{m}$ , we removed any  
particles in the CIP data that had  $D < 100 \mu\text{m}$ . For regions of overlap between the CIP and 2DP, we used  
CIP measurements for  $D < 800 \mu\text{m}$  and 2DP measurements for  $D > 800 \mu\text{m}$ . The ‘gap’ in the spectra in  
Figure 5, accounts for particles with  $50 < D < 100 \mu\text{m}$ . We have added a clarifying clause in the last  
paragraph of page 5 to clarify to the reader what size ranges are associated with which probes:**

15 “To account for regions of diameter overlap between probes, and to remove significant uncertainty associated with  
poorly resolved particles from OAPs, for the remainder of the manuscript, concentrations of particles with  $2 < D < 50 \mu\text{m}$  are reported from the CDP,  $100 < D < 800 \mu\text{m}$  from the CIP, and  $800 \mu\text{m} < D < 6400 \mu\text{m}$  from the 2DP.”

20 **Yes, since we do not factor in particles of less than 100 square pixels in our habit analysis, we are  
concerned that some of the smallest ice fragments are not accounted for. However, we cannot provide  
a reliable estimate of how many small ice fragments are being excluded from the analysis, as it is  
nearly impossible to reliably determine the shape of particles from the CIP that are less than 100  
square pixels in area. However, any ice fragments that are produced are expected to rapidly grow in  
regions of ice supersaturation and significant cloud liquid water. Regardless, we acknowledge being  
unable to estimate the number of smaller crystals in our analysis with the addition of the following  
text in the last paragraph of section 2b:**

25 “...corresponds to hydrometeors with diameters less than roughly  $250 \mu\text{m}$ . While this threshold excludes some small  
ice fragments, it is impossible to provide a reliable estimate of how many fragments are excluded.”

30 *Droplet size distribution broadening*

Page 6, Lines 30-31; Page 10, Line 2 – I would make more explicit which droplet number  
concentrations were anomalously high and which were anomalously low on 02 August... for  
example stating on Page 6 that concentration of drops *with diameter greater than  $30 \mu\text{m}$*  “were  
orders of magnitude less.” And on page 10 that there is a “larger cloud droplet number  
concentration” *of less than  $30 \mu\text{m}$  diameter*. Alternatively, the analysis concerning droplet SDs could  
be reworded in terms of the size distribution *broadening* or *narrowing* as in Lawson et al. 2017 JAS.

40 **On page 6 (second paragraph in Section 3), the discussion is focused on *precipitating drops* (i.e.  $D > \sim 500 \mu\text{m}$ ). We clarify this in the revised manuscript stating:**

“...concentrations of drops with  $D \sim 500 \mu\text{m}$  and greater were orders of magnitude less during Case C than on the  
other three days.”

45 **On page 10 (second to last paragraph in section 3b, beginning with “Figure 5 shows...”), at the  
beginning the focus of the discussion is on *cloud droplets*. Here we use a threshold of  $30 \mu\text{m}$ ,**

**because droplets larger than this will likely begin to grow more effectively through collision-coalescence. The following sentence connects that a higher concentration of these drops will result in a smaller median diameter and narrower droplet spectrum:**

5 "...there is a larger concentration of cloud droplets with  $D < 30 \mu\text{m}$  in Case C. This is likely a due to the larger cloud droplet number concentration observed at cloud base in Case C (Table 1) and is consistent with a slower collision-coalescence process as expected given the smaller median droplet diameter, narrower droplet spectra, ..."

#### *Updraft dependence*

10 Page 8, Lines 30-32 – I was rather surprised that neither the size-segregated hydrometeor concentrations nor the aspherical percentages had "any systematic difference ... between observations obtained from cloud penetrations without updrafts." I think more discussion is warranted here because many studies have noted an influence of updraft to secondary ice production rates, e.g. Mossop 1976 *QJRMS*, Heymsfield and Willis 2014 *JAS*, Lawson et al. 2015 *JAS* among others. And one might expect, given the highest percentage of strong updrafts on 02 August, that droplet shattering would be facilitated with a lofting of even larger droplets to high altitudes. That is not the case here, presumably because the aerosol loading is higher. But I do think this should be stated explicitly somewhere in the analysis.

20 **Quite honestly, we too were rather surprised by this finding. Our original analysis focused on just updraft regions. As we expanded our analyses to include cloud penetrations with 'no updraft' (actually updraft less than a 1 m/s threshold), we found no significant difference in our results. After much discussion, we attribute this to our sampling strategy. Since we targeted turrets as they first ascended to and just above the level of the aircraft, every penetration was a 'fresh turret'. All had hard, well-defined edges and none of the penetrations included anvil regions or clouds in their decaying stage. Because these turrets often extended above their equilibrium level, one may expect a rapid transition between a turret with an updraft and one whose updraft had weakened significantly over just a few minutes. It appears the microphysical characteristics of these two types of turrets were quite similar. This discussion is added to the paragraph in section 3b in the revised manuscript.**

35 Figure 5 – Is there a reason that the particle size distributions are not shown for the same temperatures for all cases? Clarifying which particle numbers are shown in which size ranges, the  $N(D)$  before the "break" in the spectra around 80  $\mu\text{m}$ , are exclusively droplet numbers, right? (If not, I am surprised that spectra at different temperatures overlap between 30 and 50  $\mu\text{m}$ .)

40 **We showed size distributions at slightly different temperatures in Figure 5 because there was not always a penetration at the same temperature for each flight that was representative of the overall statistical analysis. We do not show concentrations of particles in the "break" (100  $\mu\text{m}$  in the revised manuscript as per the discussion earlier) as we do not have reliable measurements of the concentrations of particles between 50 and 100  $\mu\text{m}$  in diameter.**

Section 3c – This is a nice comparison, but it would flow more logically to me if the fifth paragraph ("The two penetrations considered here...") came second (after "The observations demonstrate...")

few graupel particles”). This is the motivation of the comparison and the other paragraphs explain the differences.

**We have rearranged section 3c according to this suggestion.**

5

Page 12, Lines 6-8 – This sentence is unwieldy. Could you say “*Variation in the spatiotemporal distribution of ice and precipitation production for these CAPE cases is likely due to a variety of ice production mechanisms.*”?

10 **We have replaced the sentence with your suggestion, except that we used “COPE” in place of “CAPE.”**

Figure 8 – This figure is not mentioned in the text. Some explanation should be incorporated, or it should be removed.

15 **Figure 8 is referred to in the text in line 14 of page 11.**

**References:**

Browning, K.A., A.M. Blyth, P.A. Clark, U. Corsmeier, C.J. Morcrette, J.L. Agnew, S.P. Ballard, D. Bamber, C. Barthlott, L.J. Bennett, K.M. Beswick, M. Bitter, K.E. Bozier, B.J. Brooks, C.G. Collier, F. Davies, B. Deny, M.A. Dixon, T. Feuerle, R.M. Forbes, C. Gaffard, M.D. Gray, R. Hankers, T.J. Hewison, N. Kalthoff, S. Khodayar, M. Kohler, C. Kottmeier, S. Kraut, M. Kunz, D.N. Ladd, H.W. Lean, J. Lenfant, Z. Li, J. Marsham, J. McGregor, S.D. Mobbs, J. Nicol, E. Norton, D.J. Parker, F. Perry, M. Ramatschi, H.M. Ricketts, N.M. Roberts, A. Russell, H. Schulz, E.C. Slack, G. Vaughan, J. Waight, D.P. Wareing, R.J. Watson, A.R. Webb, and A. Wieser, 2007: [The Convective Storm Initiation Project](https://doi.org/10.1175/BAMS-88-12-1939). *Bull. Amer. Meteor. Soc.*, **88**, 1939–1956, <https://doi.org/10.1175/BAMS-88-12-1939>

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## Authors' response to Anonymous Reviewer 2.

5 The paper examines 4 convective cases from the recent COPE campaign using aircraft and radar data. I found the paper generally well written. The approach is largely qualitative and I would like to see more work done to provide quantification of secondary ice processes that would be useful to the modelling community. My comments are generally minor in that I do not expect them to undermine the main messages of the paper. However, I think they would strengthen the paper and make it more useful to the community.

10 General comment This was a multi aircraft campaign. The BAe146 data is referred to in terms of reports from the Taylor paper. Why wasn't the data included in the C1 analysis to confirm or extend the observations from the Wyoming King Air? I only mention this because whenever observationalists request resources for aircraft there are often cases made for the use of two aircraft. This would be an excellent opportunity to demonstrate the success of using multi-aircraft that future proposals can point to.

15 **We thank the reviewer for their constructive comments.**

20 **COPE was a multi-aircraft campaign, with the intention of coordinating sampling strategy between platforms to leverage the strengths of each platform and provide much greater spatial and temporal coverage within the study domain. However, it is not possible to utilize the data from the BAe146 for this study for three important reasons. This study utilizes a statistical approach to characterize the microphysics near the top of turrets as they grew through specific levels. For this, it is important to be able to measure the distance to cloud top from the penetration level. In the UWKA data set this is provided by the WCR. Indeed it was shown in this study that more than 80% of cloud penetrations were within 1 km of cloud top. No such verification is available in the BAe146 data.**

25 **Because of the instrument complement on both aircraft, the UWKA flew at a higher altitude than the BAe146. During multi-aircraft missions, while the UWKA was penetrating the tops of turrets, the BAe146 was obtaining measurements much lower down in cloud. We feel that combining these two datasets would be mixing apples with oranges.**

30 **As detailed in Taylor et al. (2016b), the study utilizing -146 measurements from 3 August detailed how that aircraft made repeated penetrations in clouds along the convergence line in order to study the development along the line and also the time evolution. However this study focuses only on cloud characteristics as clouds first ascended through a specific level. These are two fundamentally different strategies.**

**Lastly, of the four cases examined in this study, the -146 only flew on 29 July and 03 August. No additional data would be available for 02 August or 28 July. For these three reasons we believe it best**

not to include the -146 data in this study but rather use this study to provide a compliment to the results of Taylor et al. (2016b).

In the revised manuscript, we add additional text at the beginning of section 3b describing in more detail the sampling strategy of the UWKA for this study.

5 **We have embedded the responses to the reviewer's specific comments in bold.**

Specific comments:

Section 1 – there is also a recent COPE modelling study by Miltenberger (<https://www.atmos-chem-phys.net/18/3119/2018/>) and another by Yang that looks at updraughts from COPE that may provide some nice context (<https://www.atmos-chemphys.net/16/10159/2016/>).

10 **We have added text in Section 1 briefly describing the key points of these two papers as they relate to the current study in order to provide a better overview of previous COPE studies relevant to current work.**

15 P7 line 17-27: I agree that threshold need to be chosen to make the analysis tractable but it would be worth a statement to say if there was any sensitivity to the choice of these thresholds (0.05g/m<sup>3</sup>, 300m, 100m, 1m/s, 3m/s) in terms of the results and conclusions drawn.

**We conducted various sensitivity tests to the choice of the thresholds for LWC, updraft width, and the minimum velocity. We found that our overall conclusions were not sensitive to the choice of our thresholds. We have attached an example of a sensitivity test where we define a penetration using a 0.03 g/m<sup>3</sup> threshold and one with a 0.05 g/m<sup>3</sup> in Figures R1 and R2 that show the analyses in Figures 3 and 4 using these thresholds. In Figure R3 we have attached a version of Figures 3 and 4 using a minimum penetration (or updraft) depth of 300 m in place of 100 m. We notice little change in the conclusions drawn when such analyses are conducted with these new thresholds. In order to summarize these sensitivity tests, we added a sentence to the first paragraph in Section 3b:**

25 *“Sensitivity tests conducting analyses using differing thresholds for LWC and updraft width showed that this conclusion was insensitive to the thresholds used to define a penetration or updraft core (not shown).”*



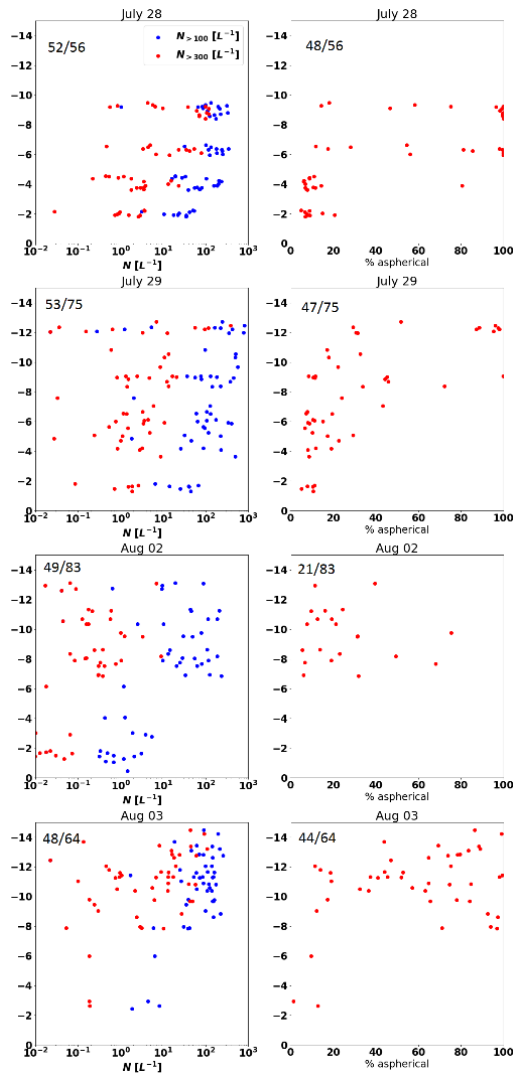


Figure R1. (left) The median total number concentration and (right) percentage of aspherical particles in each penetration defined by  $LWC > 0.03 \text{ g m}^{-3}$ .

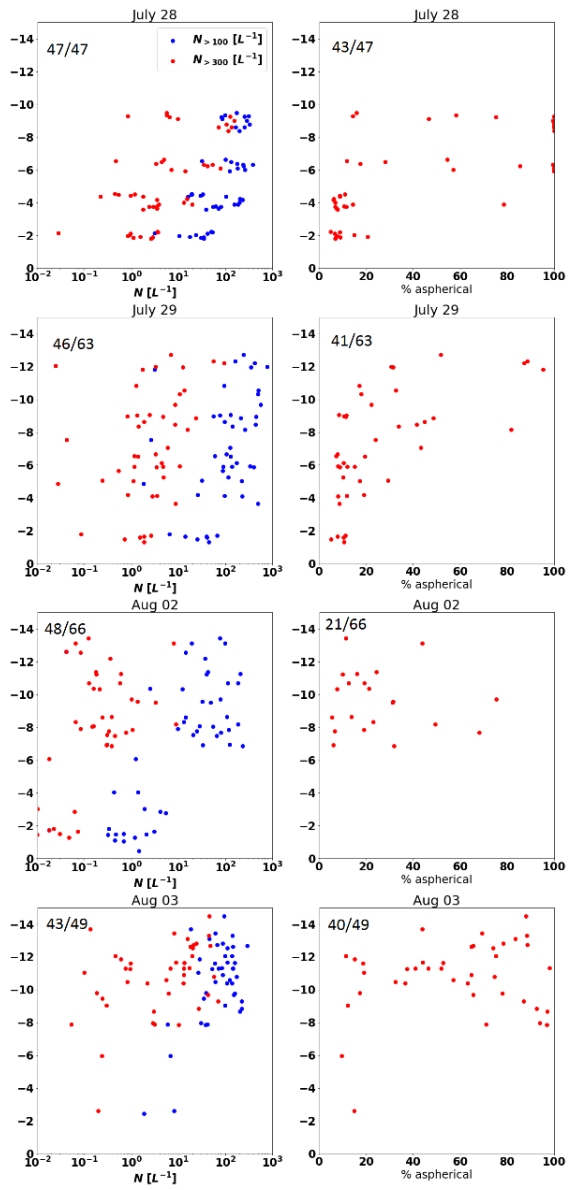


Figure R2. As Figure R1, but defining a penetration using a LWC > 0.05 g m<sup>-3</sup> threshold.

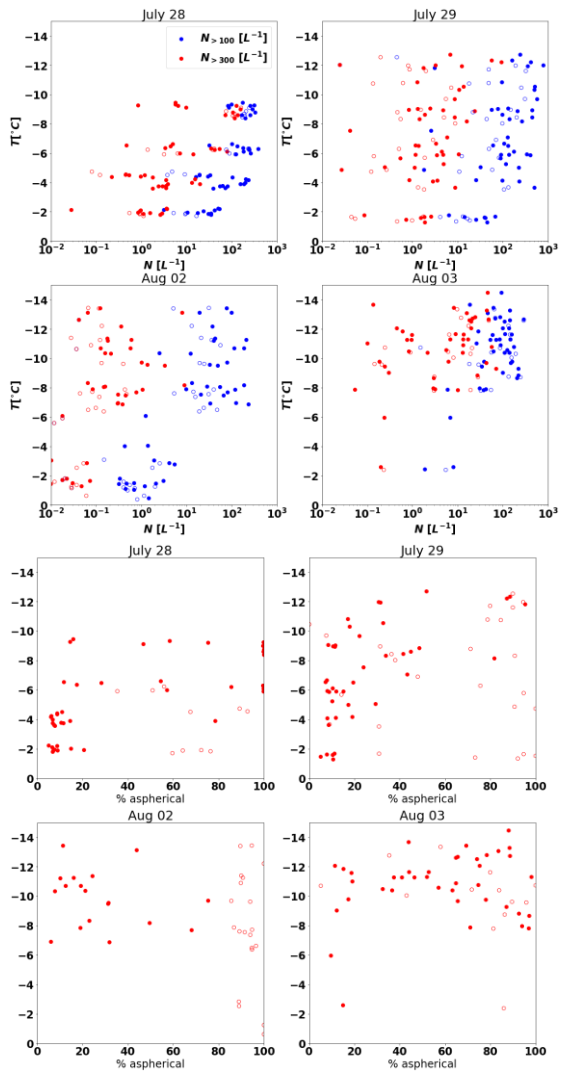


Figure R3. As Figure R1, but with a minimum penetration (updraft) length of 300 m.

P8 line 30: this is a surprising result given the underlying hypothesis that secondary production is active and linked to processes in the updraft rather than the anvil regions. Is this lack of difference between the updraft and non-updraft region supported by the other aircraft observations? For the discussion - what do models show when segregated like this?

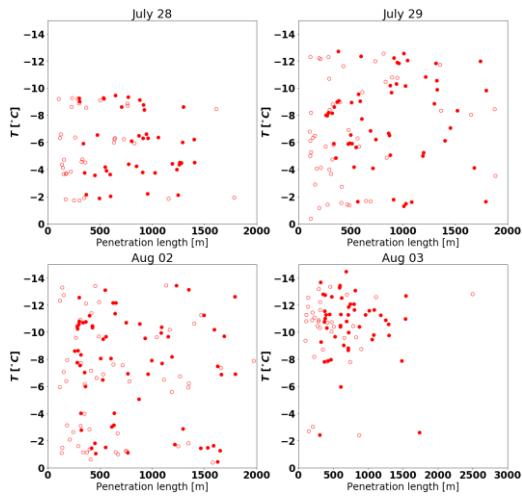
5 **Reviewer 1 had a similar comment, below is our response to reviewer 1. It should also be noted that our sampling strategy focused on turrets as they were just passing through the UWKA level, so those devoid of updrafts were not anvil regions, but rather likely turrets that had just begun transitioning.**

10 **Our original analysis focussed on just updraft regions. As we expanded our analyses to include cloud penetrations with 'no updraft' (actually updraft less than a 1 m/s threshold), we found no significant difference in our results. After much discussion, we attribute this to our sampling strategy. Since we targeted turrets as they first ascended to and just above the level of the aircraft, every penetration was a 'fresh turret'. All had hard, well-defined edges and none of the penetrations included anvil regions or clouds in their decaying stage. Because these turrets often extended above their equilibrium level, one may expect a rapid transition between a turret with an updraft and one whose updraft had weakened significantly over just a few minutes. It appears the microphysical characteristics of these two types of turrets were quite similar. This discussion is added to the paragraph in section 3b in the revised manuscript.**

20 P9 line 1 – do you have plots of the penetration lengths as a function of T for the different days? Perhaps these figures would be improved by including some measure of the variability along the penetration. Could add 25th, 75th percentiles for example.

25 **Figure R4 shows the length of each penetration. The penetrations lengths generally varied between 0.2 km to 2 km, and wording has been added to this paragraph to state the overall lengths of each penetration:**

“The penetrations ranged from 0.2 km to 2 km in length.”



**Figure R4. The length of the penetration (solid circles) or updrafts (hollow circles) as a function of temperature.**

5 Regarding the inclusion of quartiles of these penetration plots; An early version of this manuscript had included just such information, however, we found that it was difficult to create a figure that was easily readable with this information included. Further, it did not alter the outcome of the analysis and therefore, in the end, we decided to only include the medians.

P9 line 1 – what do the droplet concentrations look like from CDP or something similar? Do they show a difference in and out of the updrafts?

10 The range of CDP concentrations for all of the penetrations: 98 cm<sup>-3</sup> on July 28, 75 cm<sup>-3</sup> on July 29, 175 cm<sup>-3</sup> on Aug 02 and 96 cm<sup>-3</sup> on Aug 03. We have added these values to Table 1 and modified the wording to say that there is no systematic difference between the ice concentrations and habits between updrafts and penetrations.

P9 line 6 – are growing turrets the penetrations with updrafts?

15 We attempted to sample *only* growing turrets. Turrets that were obviously collapsing and/or did not have sharp, well-defined edges were not sampled. We expect those that were still actively rising at the time of penetration were the ones that contained updrafts. Those that did not contain updrafts had likely lost all of their buoyancy at the time of penetration.

20 P9 line 10– what was the strategy for sampling clouds with the UWKA? Was it the same on all days? Was the sampling strategy for the BAe146 the same? The difference in results suggests that it would be good to combine datasets from both aircraft to provide C2 a fuller picture of the cloud characteristics.

We provide the answer to this in our first response above. Yes, we did seek to sample the clouds with the same strategy on all four days and it did differ from the strategy employed by the -146. The first paragraph of section 3b in the revised manuscript contains discussion of the sampling strategy.

5 P9 line 35 – figure 5 is from the updraft penetrations. Have you got the same plot for the non-updraft penetrations?

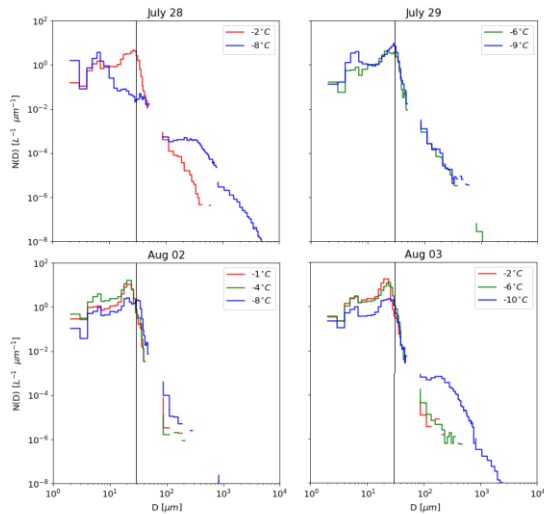


Figure R5. As Fig. 5 in the manuscript, but for penetrations without updrafts.

10 Fig R5 is the same as Figure 5 in the manuscript except for the penetrations without updrafts. For the precipitation size particles, we see similar trends compared to the analysis in the manuscript, except with fewer precipitation particles on 29 July outside of the updrafts. However, for the cloud droplets, we do generally see reduced number concentrations all days except July 29 as we approach colder temperatures, as presumably without an updraft the precipitation particles would act to deplete the cloud droplets via accretion and secondary ice production.

15 P10 line 2- agreed that there are twice as many droplets near cloud base and that would lead to smaller droplets for the same liquid water content – but it will only be 20% smaller. For 2 aug, the cloud base is also warmer suggesting that more liquid water would be available that could offset the effect of increased droplet numbers. . .

The cloud bases between the days did not differ by more than 4 degrees Celsius. The modelling of the 02 August case by Lasher-Trapp et al. (2018) is consistent with the notion that the increased droplet

numbers provided narrower droplet size distributions that led to the inhibition of the warm rain process.

P10 line 1 – some mention of the 30 micron threshold here, but not its importance to the Hallett-Mossop process as suggested in the caption to figure 5. There should be some more discussion about this here or earlier in the paper.

The Hallet-Mossop threshold is 24  $\mu\text{m}$ . In Figure 5, this vertical line is meant to provide a reference diameter for the reader to easily compare distribution modes between the 4 days. We do not make an assertion that there are more (or fewer) droplets that have achieved this threshold diameter and therefore act as the principal controlling factor for the onset of H-M. Rather we assert that the lack of warm-rain production on 02 Aug leads to a dearth of drops that can freeze and become ‘instant rimers’. In the revised manuscript we remove the reference to ‘minimum size water drops needed for the Hallett-Mossop process to occur.’ from the caption in Figure 5.

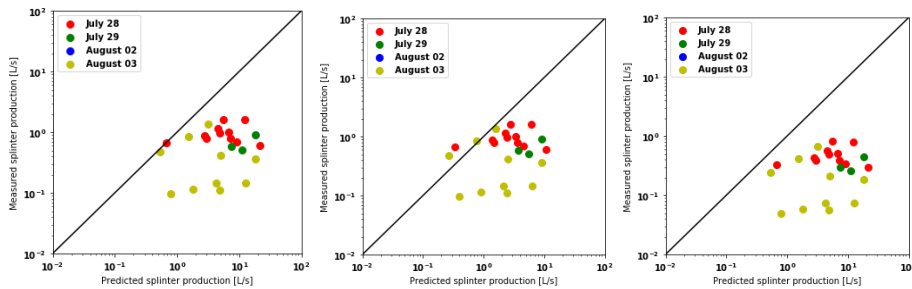
P10 line 12 – Fig 4 2d imagery suggests that July 29th when secondary production was thought to be less effective also has large rimed particles present. . .

The 2D images in Figure 4 are *examples* of particles from the penetrations, but not necessarily every penetration has particles with those habits. The aspherical percentage on July 29 at temperatures from -3 to -8 C (and even lower temperatures) is significantly less than on July 28 and August 03, suggesting that ice production at those levels (ie secondary production) is less effective on that day.

P10 line 20. If invoking the H-M process then I think you also need to comment on the conditions that are felt necessary for it to be active (e.g. p10 line 1 comment). Beside the temperature range there are other parameters such as the range of liquid droplet sizes present and accretion rate that could also be explored to understand if conditions satisfy what was observed in the laboratory. Additionally, to be useful to modellers some estimates of the splintering rate as a function of temperature, accretion rate etc would be a useful step.

We agree with the reviewer that a more quantitative analysis of the splintering production rate and accretion rate of the Hallett-Mossop process would strengthen the paper. However, there are two quantities required by the calculation of the measured and predicted splinter production rate from Harris-Hobbs and Cooper (1987) that are difficult to quantify with our dataset. One is the number concentration of columns of sizes 87 to 140  $\mu\text{m}$  that are needed to calculate the measured splintering rates. The other is the number concentration of graupel particles that is required to calculate the predicted splintering rates according to the laboratory studies. There are large uncertainties in the measurements taken from CIP and 2DP probes for both such measurements, so therefore it is

important to check the sensitivity of such process rate calculations to the measured concentrations of columns and graupel.



- Figure R6. The splinter production rate measured versus those rates predicted using the methodology from Harris-Hobbs and Cooper (1987) assuming that all particles with  $D$  of 100 to 140  $\mu\text{m}$  are columns (left) and all particles with  $D > 800 \mu\text{m}$  are graupel. (middle) as (left) but assuming only half of the particles with  $D > 800 \mu\text{m}$  are graupel. (right) as (left) but assuming that only half of the particles with  $D$  from with  $D$  of 87 to 140  $\mu\text{m}$  are columns. Only penetrations with aspherical percentages  $> 80$  percent are included to ensure that most of the precipitation is ice.
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- 10
- 15

P10 line 19. To be pedantic, the role of primary nucleation has not been ruled out. There was no ice nucleation information available, but there needs to be some discussion about the fact that these concentration likely outstrip the primary production rates. Perhaps using DeMott 2010 and tying that to observed large aerosol in the boundary layer is a means to estimating a bound for the primary ice nucleated particles. I see that this discussion occurs in section 4 but it might be good to combine this discussion with the comments about primary ice concentrations.

- The original manuscript included text in the discussion demonstrating that the measured ice crystal concentrations were orders of magnitude higher than those that would be predicted by DeMott et al. (2010) {Paragraph 1, section 4 original manuscript}. In the revised manuscript we modified that to include a reference to the analysis from Taylor et al. (2016a)'s paper on the observed aerosol concentrations during COPE. They predicted that the concentrations of INP using the DeMott et al. (2010) parameterizations applied to measured boundary layer aerosol concentrations that the number
- 25



**of INP would range from 0.1 to 10 L<sup>-1</sup>. Therefore, this shows that secondary ice production mechanisms must be occurring.**

References:

- 5 DeMott, P. J., Prenni, A.J., Liu X., Kreidenweis S. M., Petters M. D., Twohy C. H., Richardson M. S., Eidhammer, T., and Rogers, D.C.: Predicting global atmospheric ice nuclei distributions and their impacts on climate. *Proc. Natl. Acad. Sci.*, 107, 11217–11222, doi:10.1073/pnas.0910818107, 2010
- Harris-Hobbs, R. L., and W. A. Cooper: Field Evidence Supporting Quantitative Predictions of Secondary Ice Production Rates. *J. Atmospheric Sci.*, 44, 1071–1082, doi:10.1175/1520-0469(1987)044<1071:FESQPO>2.0.CO;2, 1987
- 10 Lasher-Trapp, S., Kumar, S., Moser, D.H., Blyth, A.M., French, J.R., Jackson, R.C., and Plummer, D.M., On different microphysical pathways to convective rainfall, *J. Appl. Meteor. Climatol.*, under review, 2018
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# Observations of the microphysical evolution of convective clouds in southwest United Kingdom

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**Abstract.** The COncvective Precipitation Experiment (COPE) was designed to investigate the origins of heavy convective precipitation over the South Western UK, a region that experiences flash flooding due to heavy precipitation from slow-moving convective systems. In this study, the microphysical and dynamical characteristics of developing turrets during four days in July and August, 2013 are analyzed. In situ cloud microphysical measurements from the University of Wyoming King Air and vertically pointing W-band radar measurements from Wyoming Cloud Radar are examined, together with data from the ground-based NXPoI radar.

The four days presented here cover a range of environmental conditions in terms of wind shear and instability, resulting in a similarly wide variability in observed ice crystal concentrations, both across days as well as between clouds on individual days. The highest concentration of ice was observed on the days in which there was an active warm rain process supplying precipitation-sized liquid drops. The high ice concentrations observed ( $> 100 \text{ L}^{-1}$ ) are consistent with the production of secondary ice particles through the Hallett-Mossop process. Turrets that ascended through remnant cloud layers above the  $0^\circ \text{C}$  level had higher ice particle concentrations, suggesting that entrainment of ice particles from older clouds or previous thermals may have acted to aid in the production of secondary ice through the Hallett-Mossop process. Other mechanisms such as the shattering of frozen drops may be more important for producing ice in more isolated clouds.

## 1. Introduction

Raindrop formation at temperatures greater than 0 °C begins with the growth of liquid cloud droplets by condensation and then their further growth to drizzle and eventually rain by collision and coalescence, commonly called the warm rain process. Past observations of ice in warm-based cumulus clouds noted that rapid glaciation often requires the presence of liquid raindrops that can act as embryos for the production of graupel (Koenig, 1963; Hobbs and Rangno, 1990; Huang et al., 2008). These raindrops, once lofted into the updraft above the 0 °C level can freeze, and under the right conditions, generate ice through secondary processes.

Numerous mechanisms have been implicated in the production of ice through secondary processes, defined here as the production of ice through mechanisms not requiring the presence of an ice nucleating particle (Field et al., 2017). In this study we consider two such processes: the first is rime-splintering also known as the Hallett-Mossop process and the second is drop(let) freezing/shattering. The better-known and characterized of these two mechanisms is the Hallett-Mossop process (Hallett and Mossop, 1974). It is active in a narrow temperature regime, -3 to -8 °C, and is believed to require the presence of both actively riming ice particles (typically graupel) and cloud droplets with diameters larger than about 25 μm. Splinter production rates have been quantified based on laboratory measurements allowing this process to be implemented in numerical schemes (Chisnell and Latham, 1976; Mossop, 1978; Cotton et al., 1986; Blyth and Latham, 1997; Huang et al., 2008). Several past studies indicate the importance of rime-splintering for controlling ice number in a range of cloud conditions (e.g. Harris-Hobbs and Cooper, 1987; Blyth and Latham, 1993; Huang et al., 2008; Crosier et al. 2011).

Unlike the Hallett-Mossop process, which requires the presence of graupel and is active over a relatively narrow temperature range, drop freezing/shattering may produce secondary ice particles in regions where graupel is not already present or at temperatures colder than -10 °C. Here we focus on two processes, that, although are different, result from the freezing of a liquid drop. The first is the pure shattering of a liquid cloud droplet or raindrop upon freezing. Early experiments demonstrated that liquid drops with diameters ranging from 30 μm to 1 mm can produce ice fragments through the shattering of an ice shell during freezing and the number of fragments largely depends on the degree of supercooling (Bigg, 1957; Mason and Maybank, 1960). Pruppacher and Schlamp (1975) demonstrated through laboratory experiments that a drop can shatter into various distributions of fragments depending on whether the drop totally or only partially ruptures upon freezing. The process they described can produce “very small” fragments of unknown number and size. More recently, Wildeman et al. (2017) show that raindrops with diameters on the order of 1 mm or larger can explode upon freezing resulting in possibly hundreds of frozen particles. In a related process, Leisner et al. (2014) demonstrated that as drops freeze small ‘spicules’ could be emitted. In some cases, the freezing of large cloud droplets, with diameters less than 100 μm, could also produce spicules. Both processes have recently been suggested as a potential source of secondary ice in some convective clouds, especially when ice production appears to occur at temperatures too cold for the Hallett-Mossop process to occur (Lawson et al., 2015; 2017). Sullivan et al. (2018) used a parcel model to show that, for clouds with single updrafts and bases warmer than 0 °C and tops as cold as -20 °C, both the Hallett-Mossop process and drop freezing/shattering may be important and that, in general, one does not dominate over the other.

A principal objective of the Convective Precipitation Experiment (COPE) was to investigate how differences in the strength of the warm rain process impact the development of ice in warm-based convective clouds (Leon et al., 2016). COPE was motivated, in part, by a major flash flooding event that occurred on 16 August 2004, where a line of convective clouds produced peak rainfall rates of more than 300 mm/hr over Boscastle in southwest England (Golding et al., 2005). Ground-based radar observations of the Boscastle storm suggest tops were likely no higher than -15 to -20 °C, but no in situ microphysical observations were available for this case. Convective clouds that form in SW England typically have bases warm enough (~10 °C) to provide sufficient depth for precipitation to form through collision-coalescence by the time turrets ascend to the level where significant freezing begins (e.g. Huang et al., 2008; 2017). Such conditions are conducive for warm-rain initiation and secondary ice production.

COPE was a two-month field campaign conducted in southwest England during July and August, 2013. Multiple instrumented aircraft collected detailed measurements of cloud microphysical, thermodynamic, and dynamic parameters. A ground-based, scanning X-band radar provided ~5-minute resolution volume scans over the study area (Bennett, 2017). Experiments focused on growing cumulus with cloud tops ranging from 0°C to -25°C.

~~Five~~Three recent studies from COPE are particularly relevant to this work. Yang et al. (2016) used in situ measurements to investigate widths and strengths the gust probe measurements onboard aircraft to observe the widths and strengths of the updrafts observed during COPE and compared them with similar statistics from convective clouds in other regions around the world. Their statistical analysis showed little difference between updraft widths or strengths between clouds sampled in COPE and those sampled in a maritime, near tropical environment. Plummer et al. (2018) used ground-based radar measurements to examine the microphysical characteristics of several cases during COPE. Their investigation of the occurrence and structure of ZDR columns implicates that precipitation often formed through collision-coalescence and the resulting large raindrops were then lofted above the 0°C level. Lasher-Trapp et al. (2018) presented results from idealized 3D simulations based on two days from COPE. In their simulations they demonstrated that a stronger warm-rain process produces graupel earlier leading to increased production of ice through secondary processes. Their simulations showed that the Hallett-Mossop process could produce high ice number concentrations in the modelled clouds, consistent with previous results of Huang et al. (2008; 2017), but also that the effectiveness of this process could be inhibited by strong vertical wind shear leading to loss of large particles from the updrafts. Lasher-Trapp et al. (2018) also showed that, while the Hallett-Mossop process could explain the rapid conversion of rainwater to graupel, the amount of precipitation reaching the surface was only minimally affected by the shift in microphysical pathway from warm rain to graupel. Taylor et al. (2016b) examined a single case from COPE focusing on aircraft in situ measurements and found that the first ice particles were frozen drizzle-sized drops and that high concentrations of small ice crystals were subsequently produced through secondary processes. Miltenberger et al. (2018) presented results from operational forecasting runs with a new cloud-aerosol microphysics module to demonstrate that, under higher aerosol conditions, precipitation is suppressed before the convection becomes organized, but is enhanced under higher-aerosol conditions when the convection is organized into a seabreeze convergence line.

This study focuses on analyses of the microphysical and dynamical characteristics of four cases where cloud tops were colder than  $-10^{\circ}\text{C}$  and cloud bases were sufficiently warm to allow production of rain through collision-coalescence. These conditions are also expected to be suitable for production of ice through secondary processes. Our examination of observations from these four cases demonstrates substantial variability in the microphysical characteristics of the clouds and allows us to explore the origins of the variability.

In order to describe the microphysical and dynamical properties of growing turrets and compile evidence for which processes were responsible for hydrometeor growth and development in the observed warm-based convective clouds, we analyze observations from four days during COPE (28 and 29 July and 02 and 03 August, 2013). In Section 2 the data used in this study are introduced and the collection and processing is described. Section 3 presents the main results: first, similarities and differences in bulk cloud properties for the four days are examined; second, using a statistical approach, ice and liquid precipitation particle number concentration and hydrometeor phase are examined to elucidate where and when significant ice production occurred in the clouds; and third, observations from two individual penetrations are examined in detail to explore how secondary ice production could relate to cloud structure and to examine relationships between the production of ice and other microphysical processes. In Section 4, the results presented in the previous sections are combined to explore the principal mechanisms responsible for producing ice on each of the days. Conclusions are presented in Section 5.

## 2. Measurements and Data Processing

On all four days a trough of low pressure was located west of the study area resulting southerly winds at the surface over the SW peninsula of the UK on one day and southwesterly winds on the other three. Within the southwesterly flow, a sea-breeze that led to an environment favorable for the development of convergence lines formed on 29 July and 02 and 03 August while the southerly flow led to more widespread convective activity on 28 July (Fig. 1). The clouds on these days had similar cloud base temperatures (from 9 to  $12^{\circ}\text{C}$ ) and tops as cold as  $-25^{\circ}\text{C}$ . The data used in this study come primarily from measurements collected onboard the University of Wyoming King Air (UWKA) research aircraft as it made penetrations in clouds at and above the  $0^{\circ}\text{C}$  level (University of Wyoming Research Flight Center; 2016a,b). Leon et al. (2016) provide a comprehensive list of instrumentation carried onboard the UWKA as part of COPE. Here we discuss only on those measurements directly relevant to our analysis.

### 2a. Airborne and ground radar data

Data from two ground-based radars provided information on cloud structure. The National Centre for Atmospheric Science (NCAS) ground-based X-band radar (NXPol), located near Davidstow in the southwest United Kingdom as shown in Figure 2 of Leon et al. (2016), was used to provide general information about cloud structure and stage of development (Bennett, 2017). During the four days analyzed in this study, the NCAS radar performed plan position indicator (PPI) scans at 10 elevations ranging from  $0.5^{\circ}$  to  $9.5^{\circ}$  at  $1^{\circ}$  intervals. The scans covered an area of approximately 100 km by 100 km at a typical spatial resolution of 200 m. Approximately five minutes was

required to complete a single volume scan. The Python ARM Radar Toolkit was used to visualize the X-band radar data (Helmus and Collis, 2016).

The Wyoming Cloud Radar (WCR; Wang et al., 2012; University of Wyoming Research Flight Center, 2016b), an airborne W-band radar installed on the UWKA with two near-vertical beams (up and down), measured radar reflectivity and the near-vertical component of Doppler velocity. Profiles were provided roughly 15 times per second, approximately every 6 m along the UWKA flight track at nominal research flight speeds ( $90 \text{ m s}^{-1}$ ). Processing of data from the WCR included thresholding all data at 3 standard deviations above the noise and removal of surface returns and ground clutter. Doppler velocities were corrected for the motion of the aircraft (Haimov and Rodi, 2013).

Echo-top height was estimated from WCR measurements following the methodology of Rosenow et al. (2014) and Plummer et al. (2015) using the texture  $\sigma$  of the Doppler velocity of the 8 adjacent pixels surrounding each point. Reflectivity factor from W-band radars is strongly affected by attenuation from cloud and drizzle droplets (Lhermitte, 1990; Pujol et al., 2007) and even more severely from raindrops (Lhermitte, 1990). No attempt was made to correct for attenuation, as these data are used qualitatively to describe cloud structure near the aircraft.

## **2b. UWKA in situ measurements**

A Droplet Measurements Technology (DMT) Cloud Droplet Probe (CDP) sampled particles with diameter,  $D$ ,  $2 < D < 50 \text{ }\mu\text{m}$  and derived their sizes from the intensity of forward scattered light assuming spherical water droplets and Mie-Lorenz theory (Lance et al., 2010). Cloud liquid water content (LWC) was derived from the third moment of the size distribution measured by the CDP. Comparisons between CDP-derived LWC and that from various bulk methods including a DMT LWC-100 hotwire, a Nevzorov probe (Korolev et al., 1998), and a Gerber Particle Volume Monitor-100A (PVM; Gerber 1994) show agreement generally within 10 to 15 % over the entire COPE campaign (Sulskis et al., 2016; Faber et al., 2018).

Two optical array probes (OAPs) were used to derive information about hydrometeors larger than a few tens of microns. A gray-scale Cloud Imaging Probe (CIP-Gray), with tips designed to mitigate contamination by shattering of ice on the probe tips (Korolev et al., 2013), captured two-dimensional gray-scale silhouettes of particles with a nominal range of  $25 < D < 1600 \text{ }\mu\text{m}$ . A 2D Precipitation (2DP) Probe captured two dimensional images of particles with a nominal range of  $200 < D < 6400 \text{ }\mu\text{m}$ .

A Reverse-flow temperature probe provided a measure of temperature. Vertical wind was derived from measures provided by a 9-hole gust probe and a coupled GPS-INS inertial reference system (Leon et al. 2016, online supplement).

## **2cb. OAP processing strategy**

Data acquired by the CIP and 2DP were processed using the University of Illinois OAP Processing Software (UIOPS) described in detail by Jackson et al. (2014). Although the CIP installed on the UWKA recorded shaded intensity at 3 threshold levels for each pixel, we consider only the 50% threshold level rendering the data the

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same as that provided by a standard binary OAP. Due to the poorly defined depth of field of OAPs for small particles (Baumgardner and Korolev; 1997), concentrations of particles of  $25 < D < 100 \mu\text{m}$  from the CIP are not reported in this study. To account for regions of diameter overlap between probes, and to remove significant uncertainty associated with poorly resolved particles from OAPs. Therefore, for the remainder of the manuscript, concentrations of particles with  $2 < D < 50 \mu\text{m}$  are reported from the CDP,  $100 < D < 800 \mu\text{m}$  from the CIP, and  $800 \mu\text{m} < D < 6400 \mu\text{m}$  from the 2DP.

Korolev et al. (2011) demonstrate the impact on OAP-measured size distributions due to particle shattering on probe tips and inlets. Korolev et al. (2013) and Jackson et al. (2014) estimated that shattering can cause particle number concentrations to be overestimated by up to an order of magnitude and recommended that mitigation approaches should include both modified probe tips coupled with processing algorithms to identify and remove shattered artifacts. The CIP was equipped with modified 'anti-shatter' tips and the inter-arrival time algorithm of Field et al. (2006) was applied during processing of the OAP data. In order to determine the threshold used to identify shattered artifacts, an analysis of inter-arrival times was first applied to time periods where only ice was seen in the CIP imagery and the CDP number concentrations were  $< 1 \text{ cm}^{-3}$  in order to ensure that liquid particles were not present. Based on this analysis, all particles with inter-arrival times of less than  $10^{-5} \text{ s}$  were rejected as artifacts. These contributed about 7% to the total number concentration.

To distinguish between spherical particles (assumed to be liquid) and ice particles, the habit identification algorithm of Holroyd (1987) was used and applied to CIP images. This algorithm sorts particles into nine categories: sphere, tiny, linear, oriented, graupel, aggregate, irregular, and hexagonal. However, in order to reduce the possibility of misidentification of ice due to over-categorization, in this study, particles are classified as either spheres (likely liquid) or non-spherical (ice). Images with areas of less than 100 pixels that are classified as tiny by the Holroyd algorithm are not included in the spherical/ice categorization for this study. For the CIP this corresponds to hydrometeors with diameters less than roughly  $250 \mu\text{m}$ . While this threshold excludes some small ice fragments, it is impossible to provide a reliable estimate of how many fragments we are excluded. We further restrict this analysis to particles that are entirely imaged within the diode array, to reduce misclassification due to partially-imaged particles. The spherical classification may contain some ice, especially recently frozen drops and lightly rimed graupel; however the non-spherical (ice) classifications will rarely contain significant concentrations of liquid hydrometeors. Habit identification was not applied to 2DP data because graupel and spherical raindrops are nearly impossible to distinguish due to the coarse resolution of the probe.

### 3. Results

Here, we present analyses of measurements obtained in convective clouds sampled on four days during COPE (28, 29 July and 02, 03 August). For easier reference, these days will be referred to as Cases A (July 28), B (July 29), C (02 August), and D (03 August) for the remainder of the manuscript. These ~~cases~~ days were chosen because the clouds grew above the  $0 \text{ }^\circ\text{C}$  level, providing an environment where ice formation is possible. Despite

broadly similar synoptic and thermodynamic conditions on these days, the microphysical evolution of the clouds differed significantly from one day to another particularly with respect to ice formation.

The observations will show that, on each day, as clouds ascended up to and above the 0 °C level, the initial development of precipitation resulted from the warm rain process: condensation followed by collision-coalescence, in agreement with conclusions based on analysis of ZDR columns, corresponding to regions of millimeter-sized drops, presented by Plummer et al. (2018). However, concentrations of ~~millimeter-sized drops~~ *drops with  $D > 30$   $\mu\text{m}$  - 500  $\mu\text{m}$  and greater* were ~~significantly~~ *orders of magnitude* less ~~during Case C on 02 August~~ than on the other three days. Measurements at or just above the 0 °C level reveal the presence of mm-diameter drops ~~during Cases A, B, and D on 28 and 29 July and 03 August~~, but ~~not on 02 August~~ *not during case C* until the clouds ascended to about -6 °C; even then drop concentrations were orders of magnitude less than on the other three days.

In all cases, ice particles began to appear in measurable concentrations by the time cloud tops reached -6 to -8 °C. Here too, significant differences between the four ~~cases~~ *days* were observed. ~~During Case A on 28 July~~, significant ice production occurred at higher temperatures as the precipitation (defined as particles with  $D > 300$   $\mu\text{m}$ ) was composed almost entirely of ice by the time cloud tops reached -10 °C. On the other end of the spectrum, most of the precipitation in clouds sampled ~~during Case C on 02 August~~ remained liquid at  $T = -13$  °C, the coldest level sampled on that day. Observations from clouds ~~on 29 July and 03 August~~ *during Cases B and D* fall between these two extremes. On ~~Case D 03 August~~, more than half of the clouds sampled were composed mostly of ice precipitation as clouds tops cooled to -8 to -10 °C. In contrast, on ~~Case B 29 July~~, much less than half of the precipitation particles appeared to be ice at the -8 °C level, and glaciation occurred more slowly with height as roughly half of the clouds sampled at -12 °C were still dominated by liquid precipitation at that level.

In the following sections, we investigate environmental factors that may be responsible for the observed differences in ice and liquid precipitation development on the four ~~cases~~ *days*.

### 3a. Overview of cases and environmental conditions

The four ~~cases~~ *days* in this study had similar aircraft-observed cloud base temperatures, ranging from 9 to 12 °C, with ~~Case A July 28~~ being colder than the rest ~~of the days~~ (Table 1). On each ~~case~~ *of the days*, the UWKA conducted penetrations of growing cumulus clouds within 60 km of the NCAS radar between the 0 and -15 °C level. The tops of rising turrets were penetrated as they first began to reach the level of the UWKA. Repeated sampling through the same cloud was generally avoided. Growing turrets were targeted visually from the cockpit with the intent of penetrating clouds within 1 km of cloud top. For all of the penetrations analyzed here, 81% of the WCR-estimated echo-top heights are within 1 km of the UWKA flight level; some examples are shown in Fig. 2.

Individual penetrations are defined by periods with  $LWC > 0.05$   $\text{g m}^{-3}$  for at least 300 m and separated by more than 100 m. Time periods with  $LWC > 0.05$   $\text{g m}^{-3}$  separated by less than 100 m are classified as one penetration. The total number of penetrations was 225, with the number of penetrations ranging from 47 ~~during Case A on 28 July~~ to 66 ~~on 02 August~~ *during Case C* (Table 1).

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In order to investigate cloud microphysical conditions in ascending regions of cloud, some of the following analyses were restricted to measurements obtained in updrafts. For this, an updraft is defined as a region within a penetration where the vertical velocity exceeds  $1 \text{ m s}^{-1}$  over a continuous region at least 300 m wide. Further, the maximum updraft within that same region must exceed  $3 \text{ m s}^{-1}$ . Using these criteria, a total of 84 updrafts were identified on the four days, ranging from 13 ~~on 03 August during Case D~~ to 34 ~~on 02 August during Case C~~ (Table 1)<sup>1</sup>. More restrictive criteria (larger updraft speeds) would have significantly reduced the number of updrafts identified on all of the days except ~~Case C on 02 August~~.

Although the median value of the maximum updraft speed was greater on ~~29 July Case B~~ compared to ~~C on 02 August~~, the percentage of penetrations containing updrafts was significantly greater ~~during Case C on 02 August~~. The median maximum updraft and the percentage of clouds with updrafts were less ~~on 28 July and 03 August during Cases A and D~~. This corresponds to differences in CAPE (Table 1) that led to significant differences in observed cloud depths on the four ~~cases days~~, with ~~29 July and 02 August cases B and C~~ having strongest updrafts and highest (coldest) observed cloud tops. However, Table 1 also demonstrates significant variability in updraft velocities ~~during on a given case day~~.

There was large variation in the environmental shear and CAPE through the cloud depth for the four ~~cases days~~. In all cases, there was little turning of the wind with height and thus the shear was aligned with the mean wind direction. The convective lines that formed ~~during on 29 July and 02 and 03 August Cases B, C, and D~~ were aligned with the wind direction. This provided an environment favorable for the formation of linear convective systems such as those shown in Fig. 1 for these three days.

The four cases considered here represent a spectrum of cloud strength. Clouds that formed ~~on 28 July during Case A~~ were the weakest, growing in environments with significantly less CAPE and vertical wind shear than the other three days as seen in Table 1. This resulted in clouds that were both shallower with weaker updraft velocities and which tilted less with height. The nature of the convection itself was also different compared to the other three days, being more widespread and less organized. Weaker shear may enhance precipitation growth, as precipitation that forms within the updraft can later fall back through the updraft collecting additional cloud liquid water. Conversely, greater shear may cause precipitation to fall outside of the cloud resulting in conditions less conducive for secondary ice production and growth. Indeed, numerical modeling of ~~the 02 and 03 August cases Cases C and D~~ (Lasher-Trapp et al., 2018) suggested that the strong vertical wind shear ~~on 02 August during Case C~~ would be less favorable for secondary ice production than the much weaker shear ~~during Case D on 03 August~~.

At the other end of the spectrum, both CAPE and vertical wind shear were ~~the greatest during Case C, e-~~ significantly greater ~~on 02 August than on the other days in this study~~. Similar to ~~29 July and 03 August Cases B and D~~, clouds formed along a line, but on ~~02 August Case C~~, the line was relatively narrow (Fig. 1) resulting in clouds

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<sup>1</sup> Not all penetrations contain updrafts meeting our criteria, hence 'updrafts' make up only a subset of 'penetrations.'

that were more isolated<sup>2</sup>, and leaned much more with height. Clouds ~~on 29 July and 03 August during Cases B and D~~ reside between these two extremes. On both days, clouds grew in an environment that was only weakly sheared, and clouds grew within lines that were more filled-in containing clouds more closely spaced together.

Resulting differences in the detailed microphysical structure based on in situ observations from these four ~~cases-study days~~ are analyzed in the next section. In particular, we consider how the differences in the cloud dynamics between the cases described above may explain the evolution of the precipitation and the productivity of warm rain and ice processes.

### 3b. Cloud Microphysical Characteristics

For each of the 225 cloud penetrations on the four days (a subset of which contained 84 updraft regions), statistics related to hydrometeor concentration and particle shape were computed and stratified by day and temperature. These results are shown in Figs. 3 and 4. ~~While cloud liquid water droplet concentrations were lower in the observations obtained from cloud penetrations devoid of updrafts compared to those with updrafts, than from updrafts. There does not appear to be any systematic difference in the ice microphysical characteristics between observations obtained from cloud penetrations without updrafts (closed circles) and those those only from updrafts (open circles). This result seems surprising given that prior studies have linked secondary ice production to processes occurring in the updraft (i.e. Mossop, 1976; Heymsfield and Willis, 2014; Lawson et al., 2015). However, the sampling strategy of the UWKA was to target the tops of clouds as they first grew through the UWKA as, identified by visual inspection visually from the cockpit. This and precluded the sampling of the anvil regions of clouds or clouds in their dissipating stages. Therefore, in the penetrations without updrafts, it is likely that either the updraft had weakened very recently before the UWKA penetrated the cloud or the updraft speeds were is too weak to be detected less than by our threshold value. Sensitivity tests conducting analyses using differing thresholds for LWC and updraft width showed that this conclusion was insensitive to the thresholds used to define a penetration or updraft core (not shown). Therefore, for the following discussion we consider observations from all 225 cloud penetrations.~~

For penetrations between 0 and -3 °C, median concentrations of hydrometeors with  $D > 100 \mu\text{m}$  ( $D > 300 \mu\text{m}$ ) were roughly one to two orders of magnitude greater on ~~cases A, B, and D than on 28 and 29 July and 03 August than on Case C 02 August~~ (Fig. 3). On ~~Cases A and B 28 and 29 July~~, when there were enough identifiable particles present at this level to identify habit, less than 20% of the particles were aspherical, indicating they were likely liquid drops (Fig. 5). CIP imagery also clearly indicates the presence of raindrops with diameters exceeding 1 mm on these two days. No such large raindrops were sampled at this level on ~~Case C 02 August~~ suggesting that there was a less active warm rain process in the ~~growing turrets growing turrets during on Case C 02 August~~ compared to the other ~~days~~. In fact, although several penetrations were made at this level ~~during Case C on 02 August~~, none

<sup>2</sup> The clouds were more isolated at the time of the UWKA flight. Later in the day ~~on 02 August during Case C~~, after the UWKA had landed, the line filled-in and this may have impacted precipitation processes as the cells became more closely packed along the line.

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5 contained sufficient numbers of particles to allow a statistical computation of particle shape (hence no data from between 0 and -3 °C in 02 August are shown in Fig. 3). Only a few penetrations were made by the UWKA at this level ~~on 03 August during Case D~~. However, Taylor et al. (2016b) reported up to 50 L<sup>-1</sup> of spherical precipitation near 0 °C from the BAe-146, providing evidence that the raindrops were being produced through collision-coalescence on this day.

In the Hallett-Mossop zone (Hallett and Mossop, 1974), between the -3 and -8 °C level, concentration of precipitation-sized particles increases relative to the 0 to -3°C level for all ~~of the cases four days~~. For hydrometeors with  $D > 100 \mu\text{m}$  (Fig. 3, blue dots), concentrations were roughly the same at -8 °C on all of the ~~cases days~~. However, for larger hydrometeors, with  $D > 300 \mu\text{m}$  (Fig. 3, red dots), concentrations ~~during Case C on 02 August~~ remain one to two orders of magnitude less than ~~from~~ the other ~~cases three days~~.

10 Significant differences are also found in the percentage of particles imaged by the CIP that were identified as aspherical (Fig. 4). In most penetrations ~~in Case A on 28 July~~, the majority of particles sampled near -8 °C were aspherical (ice). ~~In Case D on 03 August~~, CIP observations from most of the penetrations at this level also revealed that the majority of particles were ice, although a few penetrations contained only a small percentage of ice hydrometeors. For those penetrations that did contain ice, images from the CIP suggest a mix of graupel and small columnar or linear-type crystals similar to that reported by Taylor et al. (2016b) based on measurements from 03 August only. ~~In both Cases B and C, on both 29 July and 02 Aug~~, generally less than 20% of the hydrometeors were aspherical, indicating that most of the precipitation remained in liquid form at this level. Images from the CIP do indicate the presence of a few small columnar-shaped crystals at -8 °C ~~in Case B on 29 July~~ too small ( $D < 300 \mu\text{m}$ ) to be considered in the shape analysis, but suggesting some ice is present here.

15 Just above the Hallett-Mossop zone, between -8 and -10 °C, nearly all of the penetrations ~~in Case A on 28 July~~ were dominated by ice precipitation. At even higher levels (-10 °C level and above) the majority of penetrations ~~in Case D on 03 August~~ (approximately 75%) had precipitation dominated by ice. Contrary to this, penetrations ~~in Cases B and C on 29 July and 02 August~~ remained largely dominated by liquid precipitation. It was not until temperatures reached -12 °C, well outside of the Hallett-Mossop zone, that we began to see many penetrations dominated by ice ~~in Case B on 29 July~~. Penetrations ~~in Case C on 02 August~~ remained largely devoid of ice even at temperatures less than -12 °C, suggesting that the processes responsible for ice production ~~on 28 July, 29 July, and 03 August in Cases A, B, and D~~ were likely less active ~~on 02 August in Case C~~.

20 Figure 5 shows representative hydrometeor size distributions from updraft ~~s-cores~~ at several temperature levels for each ~~cases day~~. For penetrations near the -3 °C level (red lines), ~~there is a larger~~ concentration of cloud droplets with  ~~$D < \text{diameters greater than } 243030 \mu\text{m}$  is an order of magnitude less in Case C on 02 August than on any of the three other days~~. This is likely a due to the larger cloud droplet number concentration observed at cloud base ~~in Case C on 02 August~~ (Table 1) and is consistent with a slower collision-coalescence process as expected given the smaller median droplet diameter, narrower droplet spectra, and stronger updraft velocities, ~~supported by the modelling study of Case C by Lasher-Trapp et al. (2018)~~. Hence, a greater cloud depth was necessary to grow

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precipitation-sized drops in Case Con-02-August compared to the other days, explaining the lower concentrations of 300  $\mu\text{m}$  and larger particles seen in Case C on-02-August in Fig. 3.

On all days, the concentration of particles with diameters greater than a few hundred microns increased significantly at the  $-6$  to  $-8$   $^{\circ}\text{C}$  levels (green lines) compared to their concentrations lower in the cloud. However, on the days when more ice was present at these levels (28 July and 03 August Cases A, D) the increase in concentration, by more than an order of magnitude, was significantly greater than on the days when little or no ice was present (29 July and 02 August Cases B, C). The presence of particles up to a few millimeters in diameter at  $-6$  to  $-8$   $^{\circ}\text{C}$  further supports the idea that graupel and frozen drops likely provided the rimers necessary for the Hallett-Mossop process, secondary ice production. At the  $-10$   $^{\circ}\text{C}$  level (blue lines), hydrometeor size distributions extended to a few mm in Cases B and Con-29 July and 03 August, with lower particle concentrations and mostly liquid precipitation in Case Con-02-August. Thus, the lack of millimeter-size hydrometeors could have inhibited secondary ice production in Case Con-02-August. In cases without updrafts, similar trends were noted in the concentrations of particles greater than a few hundred microns (not shown).

The picture that emerges from this analysis is that formation of precipitation sized drops through collision-coalescence low in the cloud appeared to be less efficient in Case Con-02-August resulting in fewer drizzle and rain drops by the  $0$   $^{\circ}\text{C}$  level than on the other cases three study days. This further retarded growth of larger hydrometeors higher in cloud and ice production through secondary processes. Precipitation sampled by the UWKA remained mostly liquid for the clouds sampled in Case Con-02-August even down to temperatures near  $-14^{\circ}\text{C}$ . The ice concentrations are orders of magnitude higher than that were predicted from the boundary layer aerosol concentrations measured during COPE by Taylor et al. (2016a), indicating that primary nucleation, while possible, alone cannot explain the observed concentrations and therefore secondary ice production must be occurring. Precipitation formation proceeded rapidly to the ice phase on 28 July and 03 August in Cases A and D at temperatures consistent with secondary production through the Hallett-Mossop process. The production of significant ice took place at lower temperatures on 29 July in Case B, outside of the Hallett-Mossop zone, suggesting a different process such as drop freezing/shattering might produce the high ice concentrations observed.

### 3c. Possible Ice Enhancement by Recirculation

The observations demonstrate a large degree of variability not only between days, but also from a single day at a given level. To further investigate the factors impacting ice formation in the COPE clouds, we closely examine observations from two individual penetrations at the  $-8$   $^{\circ}\text{C}$  level. These penetrations, from Case B (29 July), were chosen because the large range of ice crystal concentrations observed in the two clouds together roughly covers the total range measured in all of the COPE clouds from the four days all of the cases at  $-8$   $^{\circ}\text{C}$ . Further, the two clouds show differences in the predominant precipitation phase. In the penetration shown in Fig. 6, precipitation is all-ice with a mix of graupel and columnar-shaped crystals. For the penetration shown in Fig. 7, precipitation appears to be mostly liquid ranging in size from a  $\sim 300$   $\mu\text{m}$  to 1 mm in diameter with a few graupel particles.

PPI scans from the NCAS radar indicate both clouds were relatively isolated from larger complexes located to the north and east and near-surface reflectivity values were approaching 50 dBZ during the two penetrations (Figs. 6c and 7c). Vertical cross-sections from the WCR indicate for both penetrations, the UWKA passed roughly 0.5 to 1 km below cloud top. The region devoid of radar echo below the cloud (Figs. 6, 7a and b) is due to strong attenuation that is expected in presence of precipitation-sized liquid drops at W-band (Lhermitte 1990).

The two penetrations considered here contained similar amounts of cloud liquid water within their updraft cores, roughly 1 to 2 g m<sup>-3</sup> (Figs. 6c, 7c). Both clouds had peak updrafts between 10 and 15 m s<sup>-1</sup> (Figs. 6d and 7d respectively). The stronger 15 m s<sup>-1</sup> updraft in Fig. 7d is consistent with more vigorous growth of the cloud suggested by the NCAS radar imagery. However, the concentration of hydrometeors with D > 100 μm ranged from a low of 50-100 L<sup>-1</sup> in the cloud composed of mostly liquid precipitation (Fig. 7d) to in excess of 300 L<sup>-1</sup> in the cloud containing all ice-phase precipitation particles (Fig. 6d). CIP images (Figs. 6f) show the presence of graupel and columns in this cloud, consistent with what would be expected if secondary ice production and riming were occurring (Hallett and Mossop, 1974). In fact, 94% of the identifiable particles in the updraft were identified as ice. However, in the cloud containing mostly liquid precipitation, only 33% were identified as ice, and what few ice particles were detected were mostly large graupel (Fig. 7f).

The WCR images also show that echoes surrounding the updrafts were present at altitudes up to 4 km in the ice phase cloud (Fig. 6a and b), but only extend up to 3 km in the cloud composed of mostly of liquid precipitation (Fig. 7a and b). The 0 °C level is roughly 3.2 km in both clouds. In both cases, the updrafts sampled by the UWKA would have grown through the cloud layer seen by the WCR. Any particles entrained into the updraft in Fig. 7 would likely be liquid, since the surrounding cloud existed entirely below the freezing level. However, if the higher growth for the surrounding clouds in Fig. 6 contained ice, then these ice particles could be entrained into the growing updraft and immediately begin to interact with the raindrops already present.

Cross-sections constructed from the NCAS radar scans (Fig. 8, left column) show that the cloud in Fig. 6 grew in the vicinity of another cloud that had echo top heights of around 5 km about 10 minutes before the UWKA penetration at 1237 UTC. Meanwhile, the cloud in Fig. 7 grew in a region of radar echoes extending up to about 3 – 3.5 km (Fig. 8, right column) and it was not until just a few minutes before the UWKA penetrated the cloud at 1242 UTC that any echoes higher than 4 km were detected. This type of growth was relatively common in COPE clouds where turrets, while relatively isolated at the level of the UWKA penetrations, developed in clusters such that the turrets that ascended to the UWKA flight level often passed through regions of existing cloud.

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~~columns in this cloud, consistent with what would be expected if secondary ice production and riming were occurring (Hallett and Mossop, 1974). In fact, 94% of the identifiable particles in the updraft were identified as ice. However, in the cloud containing mostly liquid precipitation, only 33% were identified as ice, and what few ice particles were detected were mostly large graupel (Fig. 7).~~

5 Recycling of ice into the cloud shown in Fig. 6 would increase the amount of ice available for riming and secondary ice production through the Hallett-Mossop process. On the other hand, for the case in which ice recycling was unlikely to occur (based on the WCR and NCAS images), secondary ice production could only proceed after ice was introduced through primary nucleation. In Fig. 7, we note the presence of large frozen graupel and a few smaller ice crystals, but most of the hydrometeors (regardless of size) appear to be spherical and likely remain liquid at the -  
10 8 °C level of the penetration within the strong updraft.

#### 4. Implications for ice production in COPE clouds

Observations of ice crystal concentrations range from hundreds per liter near cloud top at -8 to -10 °C on Case A (28 July) and Case D (03 August) to tens per liter in Case B ~~on~~ (29 July). Such values are ~~up to four~~ orders of magnitude greater than ~~the  $0.1 \text{ L}^{-1}$  to  $10 \text{ L}^{-1}$  predicted from boundary layer aerosol measurements taken during COPE (Taylor et al., 2016a) by the ice nuclei parameterization of DeMott et al. (2010) at -10 °C.~~ Such high concentrations are consistent with observations reported in other studies in convective clouds over SW England (Taylor et al., 2016b; Huang et al., 2008, 2017). Ice production through secondary processes is likely controlling the amount of ice in these clouds. Variation in the spatiotemporal distribution of ice and precipitation production for these COPE cases is likely due to a variety of ice production mechanisms. However, differences in where and when ice was produced and grew to precipitation-sized particles on the three COPE days suggests that the dominant mechanisms of ice production may differ from day to day and even between clouds on any given day.

Of the four ~~days considered in this study~~ cases, glaciation proceeded most quickly ~~on 28 July~~ in Case A. Clouds ~~in this case on this day~~ were the shallowest and least vigorous of the four cases and formed in an environment of widespread, unorganized convection devoid of shear. Precipitation developed through collision-coalescence by the time cloud tops reached -3 °C, raindrops larger than 1 mm in diameter were found throughout the clouds at this level. Nearly all clouds sampled ~~in this case on this day~~ were dominated by frozen precipitation by the time their tops reached the -8 to -10 °C level. The presence of millimeter-sized raindrops prior to the production of significant concentrations of ice-phase precipitation that occurred in the Hallett-Mossop zone is consistent with observations from several recent studies (Taylor et al., 2016b; Lasher-Trapp et al., 2016; Heymsfield and Willis, 2014; Huang et al., 2017) that implicate the Hallett-Mossop process as the principal cause of glaciation in some convective clouds. The other ~~cases~~ days from COPE that show some amount of glaciation in cloud tops between -8 and -10 °C (29 July and 03 August Cases B, D), also produced millimeter-sized raindrops at the -3 °C level. However, glaciation proceeded somewhat differently on these two days, compared to 28 July Case A.

35 The Hallett-Mossop process requires the presence of some initial ice particles to initiate the multiplication process. The source of this initial ice is often believed to be primary nucleation of the raindrops as discussed in the

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previous paragraph. However, environments containing detrained ice or wide-spread cloud that extend above the environmental 0 °C level also provide a source for initial ice. Idealized modeling studies of [Case D \(3 August\)](#) the [3-Aug case](#) by Moser and Lasher-Trapp (2017) suggest that the cloud forcing and weak vertical wind shear would allow for both possibilities. The conditions [in Case A on 28 July](#) were conducive for entrainment of ice particles from outside of the sample turret (see for example Fig. 2a). On this day, ascending turrets often rose through regions in which older clouds were present. Because the turrets were ascending in a low-shear environment, these newly frozen raindrops would remain in the center of the updraft, collocated with high cloud water content. Observations from [Cases B and D 29 July and 03 August](#) are also consistent with this idea. However, because the clouds on these two days formed along lines, some clouds sampled on these days were more isolated than others. Figs. 6 and 7 provided two examples from [Case B 29 July](#) in which turrets ascended through the remnants of other clouds. In one of these [examples](#), the older cloud remnants extended above the environmental 0 °C level and likely contained ice, the precipitation sized particles were frozen by the time the top ascended to -8°C. Taylor et al. (2016b) concluded that for clouds sampled along the convective line on [Case D \(-03 August\)](#), those clouds on the downwind end of the line were more glaciated than new growth that was forming on the upwind end of the line. All of this suggests, that at least for the clouds in this study, the presence of a source of initial ice helped jump start the Hallett-Mossop process and rapid freezing of precipitation sized particles observed in some of the clouds.

Most of the clouds sampled [in Case B and some in Case D on 29 July and some of the clouds sampled on 03 August](#) did not exhibit much ice production by the -10 to -12 °C level. Most of the precipitation in these clouds did not freeze until cloud tops had reached between -12 and -14 °C, suggesting that a mechanism other than the Hallett-Mossop ice multiplication process was likely responsible for ice production. In these cases, turrets were more isolated and remnants from earlier clouds did not extend significantly above the 0 C level. The observation of rapid transition to ice-phase precipitation occurring at -12 °C is more consistent with observations reported by Lawson et al. (2015; 2017) who interpreted their observations as the result of drop freezing/shattering. It is possible that drop freezing/shattering could also take place at lower levels in cloud, but one might expect that the large droplets freeze more easily at lower temperatures, which could explain why we do not observe transition to ice-phase in these cases until -12 °C.

Very few of the clouds sampled [on 02 August in Case C](#) contained any significant concentrations of ice, even as tops approached the -14 °C level. A significant difference on this day was the lack of precipitation-sized liquid drops. However, the detailed in situ observations reported here are somewhat at odds with those reported by Plummer et al. (2018) who showed ZDR columns with values up to 3 dB extending up to 1 km above the 0 °C level [in Case C on this day](#). Such high values suggest raindrops were present at least in some clouds [on 02 August in Case C](#). Our analysis does not completely preclude the existence of raindrops on this day, but rather suggests that the concentration of such drops was significantly less than on the other three days examined in this study.

The locations of raindrops [in Case C on 02 August](#) in relation to updrafts may have influenced ice production. Clouds were most isolated on this day compared to the other three days, thus hydrometeor recycling was not likely. Further, because of relatively strong shear that was present [in Case C on 02 August](#), any precipitation that

did form would be less likely to remain within regions of updraft and cloud liquid water. Lasher-Trapp et al. (2018), created idealized simulations representative of [Cases C and D02 and 03 August](#), and reported that precipitation that was produced in the [02 August](#) clouds [in Case C](#) was transported downshear and fell mostly outside of the cloud. This suggests that the in situ observations discussed may under-report the amount of precipitation produced [in Case C on 02 August](#). It may also be, that the strong shear present [in Case C on 02 August](#), leading to strongly tilted cloud turrets, resulted in an aircraft sampling strategy that favored 'upwind', more isolated clouds. Finally, the UWKA left the area before the convergence line [in Case C on 02 August](#) produced more pronounced precipitation, which also can contribute to the differences in the occurrence of large drops observed by Plummer et al. (2018) and this study.

## 10 5. Summary and Conclusions

The analyses presented focus on measurements within developing convection in Southwest England from four days in July and August, 2013. The UWKA, equipped with *in situ* particle measurement probes and a profiling W-band cloud radar, penetrated turrets within a few hundred meters of their tops as they ascended through the 0 to -15 °C level. Measurements from individual penetrations provide snapshots in time and, taken together, provide details about the cloud microphysical properties in the developing storms. Large variability in the microphysical parameters was observed on these four days, indicating significant differences in processes responsible for ice production in these clouds.

1. The greatest amount of ice was observed on the days in which there appeared to be a vigorous warm rain process, based on measurements made at temperatures exceeding -3 °C. This is consistent with past studies suggesting that the production of rain through collision-coalescence is crucial for providing graupel embryos required for secondary ice production to occur in developing turrets.
2. The high (greater than 100 L<sup>-1</sup>) ice concentrations observed between the -8 and -10 °C level in nearly all clouds on 28 July, most clouds on 03 August, and only a few clouds on 29 July are consistent with the production of ice through the Hallett-Mossop process.
3. In addition to a strong warm rain process, the Hallett-Mossop process appeared to be aided by turrets that ascended through regions of cloudy remnants extending above the 0 °C level. Such regions could provide, through entrainment, a necessary source of ice crystals for initiating the Hallett-Mossop process.
4. In cases that did contain raindrops but turrets were more isolated, the ice concentrations measured at the -8 to -10 °C level suggest that the Hallett-Mossop process was less effective at producing ice precipitation. In such cases, glaciation did occur, but not until turrets reached -12 to -14 °C. In such cases, secondary production may occur through another mechanism such as drop freezing/shattering.
5. Clouds on 02 August were much less efficient at producing precipitation through warm-rain, presumably due to higher droplet concentrations. This, in turn, reduced efficiency in producing ice (both through the Hallett-Mossop process and through drop freezing/shattering) due to the much lower raindrop concentrations.



The conclusions based on this work are in general agreement with others from previous studies (e.g. Blyth and Latham, 1997) and also from observation and modeling studies based on the COPE data set that showed the importance of secondary ice production (Taylor et al., 2016b; Lasher-Trapp et al., 2018), the influence of cloud spacing and potential hydrometeor recycling (Moser and Lasher-Trapp, 2017), and the role of warm-rain in precipitation production (Plummer et al., 2018; Lasher-Trapp et al., 2018). However, the greater number of cases examined in this study compared to other COPE studies highlights the great diversity exhibited by clouds not only on different days but within a single day. This, in turn, illustrates the importance of observing not only cloud structure itself, but the environment in which the clouds are growing. Further, the observations suggest that while in some clouds, one process may appear to dominate ice formation, in another cloud—its near neighbor in some cases—an entirely different process may be important. This too underscores the importance of considering multiple processes and obtaining a diverse set of observations from many clouds in order to elucidate the importance of critical processes.

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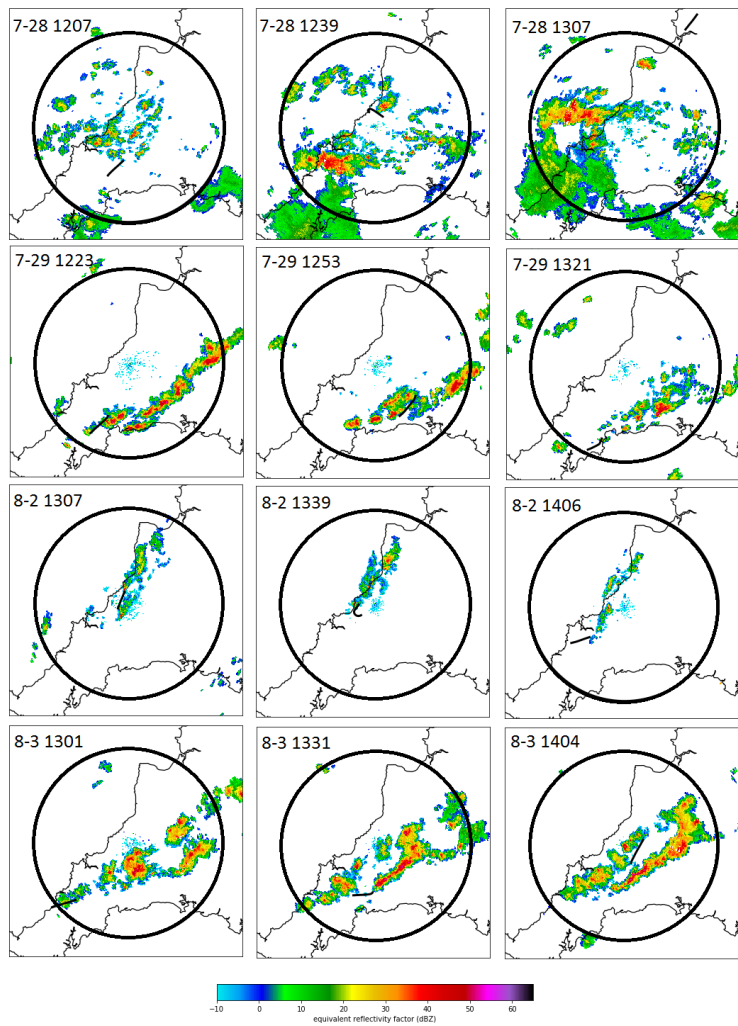
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**Table 1.** Environmental and cloud conditions from the four days sampled in this study. The definition of what constitutes a penetration and updraft ~~ere~~ is provided in the text.

Case	CAPE [J kg <sup>-1</sup> ]	Cloud base T [°C]	Cloud top T [°C]	Cloud base to top wind shear	Cloud Droplet Conc. (updrafts) cm <sup>-3</sup>	# UWKA Pens	# Updrafts	Median max vertical wind [m s <sup>-1</sup> ]	Range of max vertical wind (25/75 quartiles)
28 July. (A)	136	9	-13	1.2 x 10 <sup>-4</sup> s <sup>-1</sup>	98 (375) cm <sup>-3</sup>	47	17	5.7	3.5 to 9.6 m s <sup>-1</sup> (4.7 to 6.8 m s <sup>-1</sup> )
29 July. (B)	301	11	-25	1.0 x 10 <sup>-3</sup> s <sup>-1</sup>	75 (300) cm <sup>-3</sup>	63	20	10.2	3.1 to 14.9 m s <sup>-1</sup> (7.2 to 11.2 m s <sup>-1</sup> )
02 August (C)	615	12	-20	5.2 x 10 <sup>-3</sup> s <sup>-1</sup>	175 (600) cm <sup>-3</sup>	66	34	8.2	3.0 to 18.2 m s <sup>-1</sup> (5.1 to 12.5 m s <sup>-1</sup> )
03 August (D)	247	11	-16	1.7 x 10 <sup>-3</sup> s <sup>-1</sup>	96 (325) cm <sup>-3</sup>	49	13	7.4	3.1 to 14.3 m s <sup>-1</sup> (4.7 to 9.4 m s <sup>-1</sup> )

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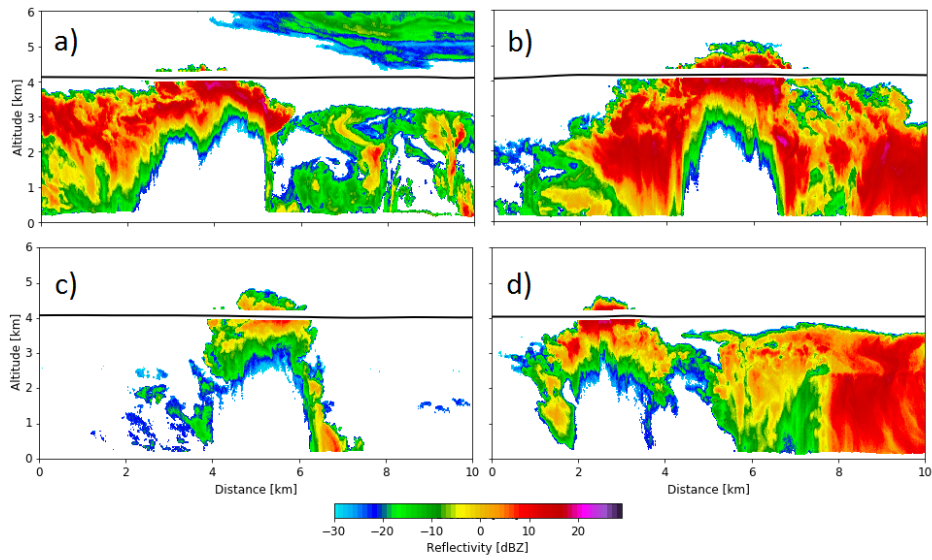
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**Figure 1.** Reflectivity factor from the  $3.5^\circ$  elevation scan from NCAS radar for 3 times during a one-hour period on each of the study days. The first row shows scans from Case A (Jul 28), Case B (Jul 29) on the second, Case C (Aug 02) on the third, and Case D (Aug 03) on the fourth row. The times on each day correspond roughly to the time period centered on the flight of the UWKA. Range rings are shown for 50 km centered on the radar. The thick black line indicates the flight path of the UWKA for a 15-minute period centered on the time of the radar scan.

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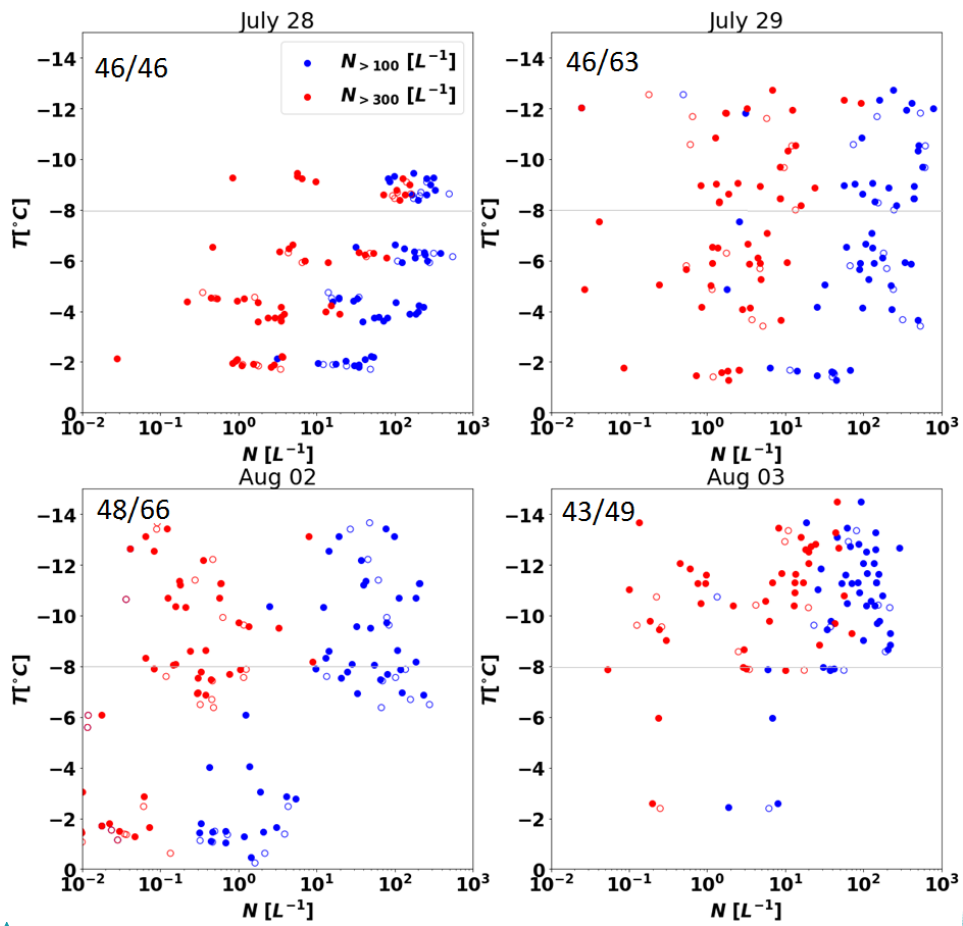




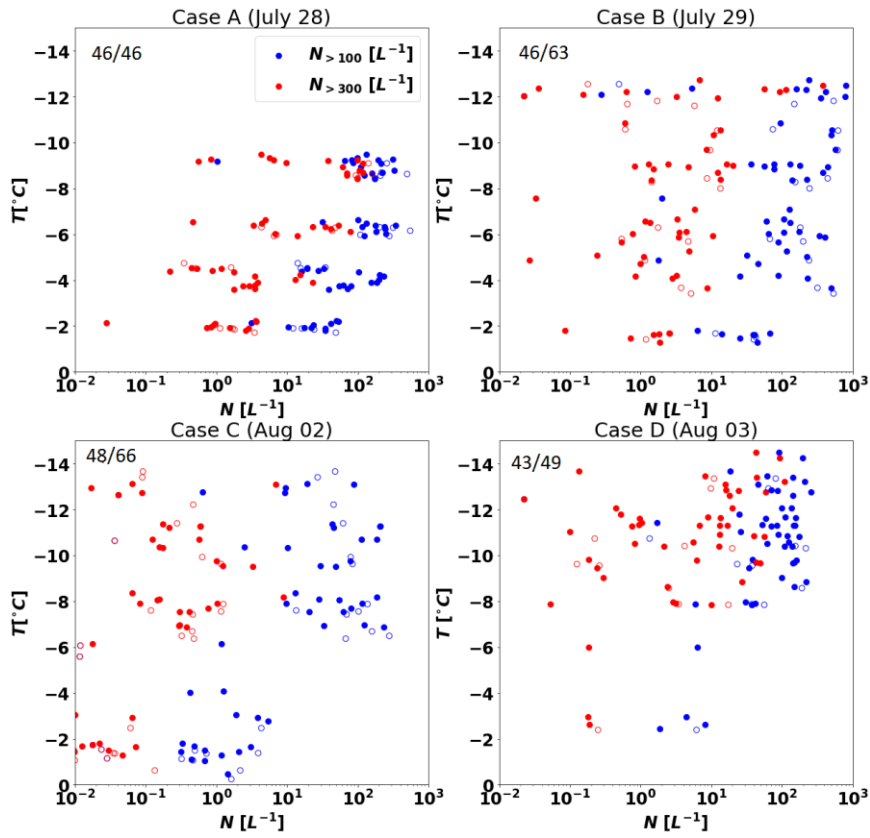
**Figure 2.** Example images or vertical profile of radar reflectivity from the WCR during penetrations on (a) Case A July 28, (b) Case B, July 29, (c) Case C Aug 02, and (d) Case D Aug 03 at temperatures from -6 to -8 °C.

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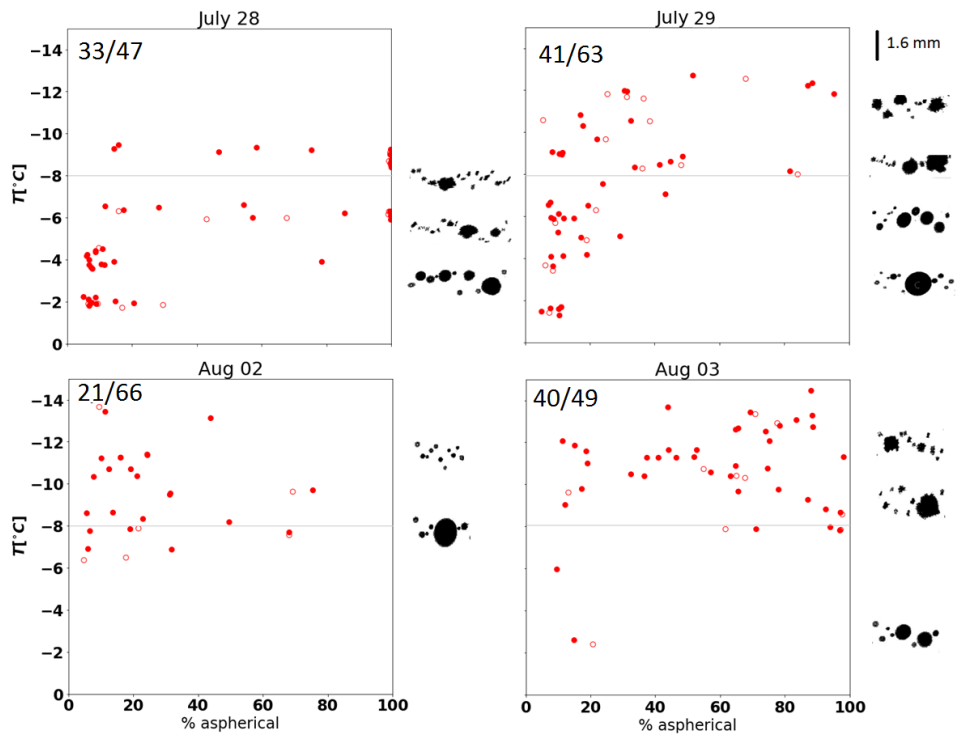


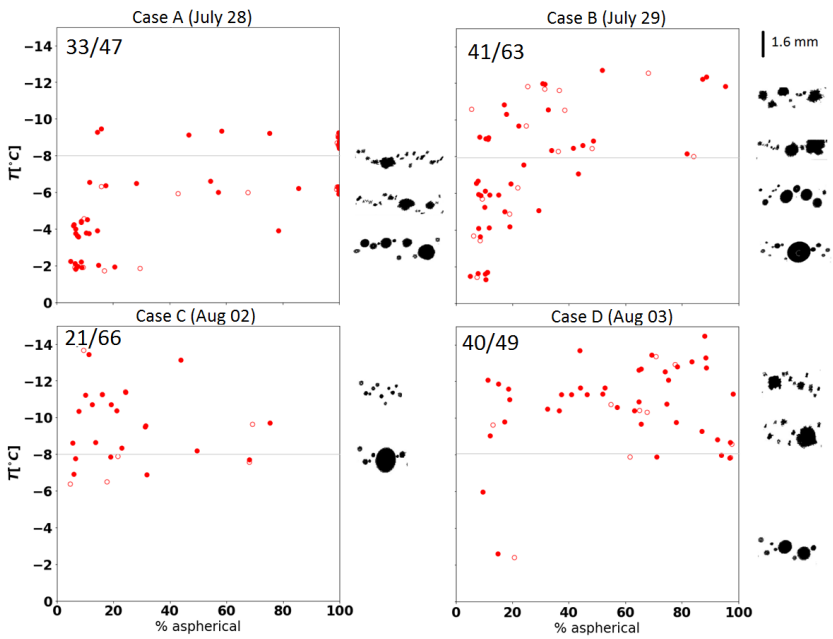
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**Figure 3.** Median hydrometeor concentrations for all particles with  $D > 100 \mu m$  (blue) and  $D > 300 \mu m$  (red) at the corresponding temperature levels for all penetrations for the four cases days. Open circles represent those penetrations that meet the criteria for an updraft core (see text) and closed circles do not.

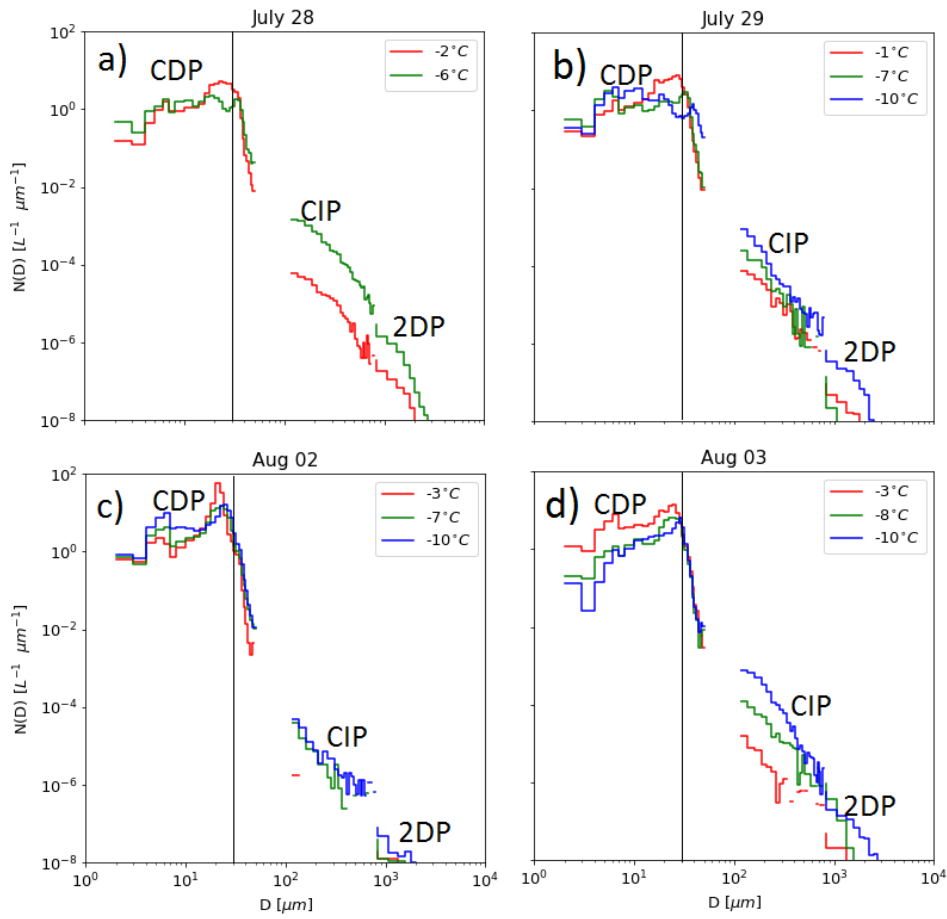
5 The fractional number in the upper left of each graph represents the number of penetrations with median  $N > 10^{-2} L^{-1}$ . The denominator indicates the total number of penetrations from that case on that day.



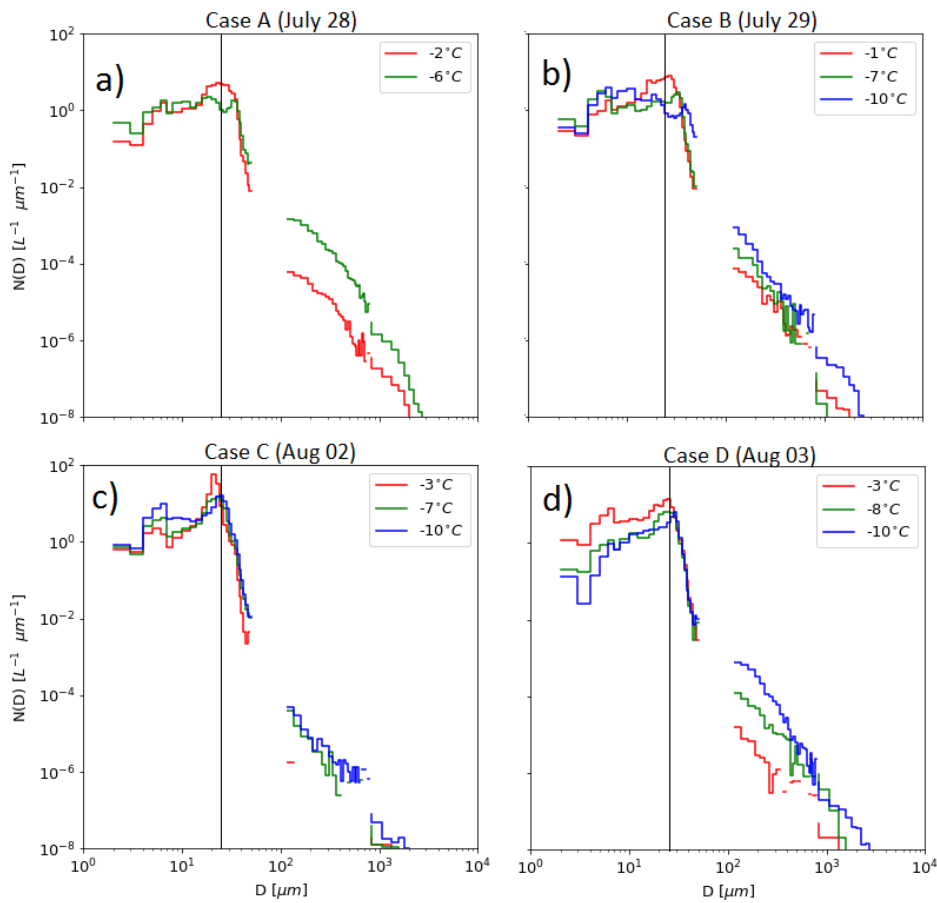


**Figure 4.** The percent of hydrometeors (in red) that were classified as non-spherical at the corresponding temperature for updraft cores (open circles) and penetrations not meeting updraft core criteria (dots) for the four days in the study. Only particles with  $D > 300 \mu\text{m}$  were considered. The fractional number represents the number of penetrations that contained at least 10 such particles. Example images from the OAP CIP of hydrometeors observed during penetrations at the indicated temperature are shown on the right side of the graph for each day. A scale for the images is shown in the upper left panel.

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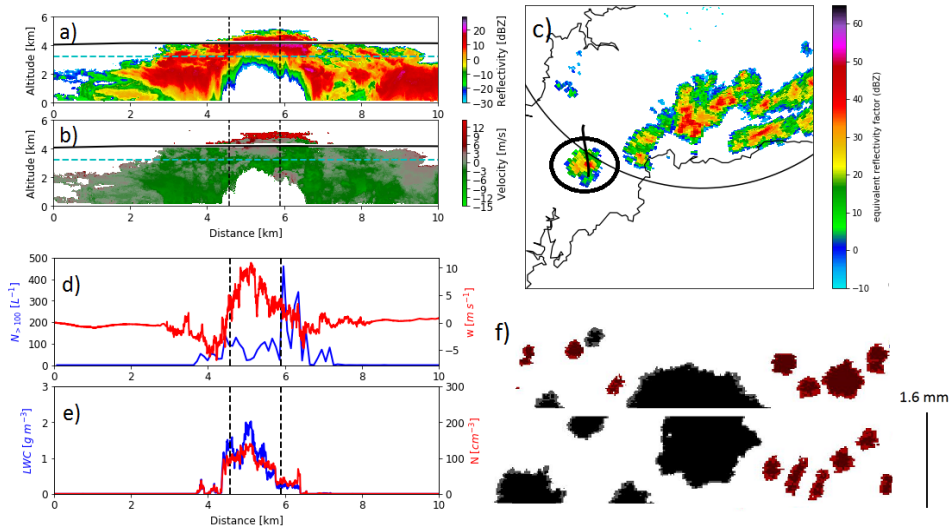
**Figure 5.** Mean  $N(D)$  from the CDP, CIP, and 2DP for the specified penetrations ~~from on~~ (a) Case A, (b) Case B, (c) Case C, and (d) Case D. (a) July 28, (b) July 29, (c) 02 August, and (d) 03 August. The solid black line denotes 2430  $\mu m$ , the minimum size water drops needed for the Hallett-Mossop process to occur.

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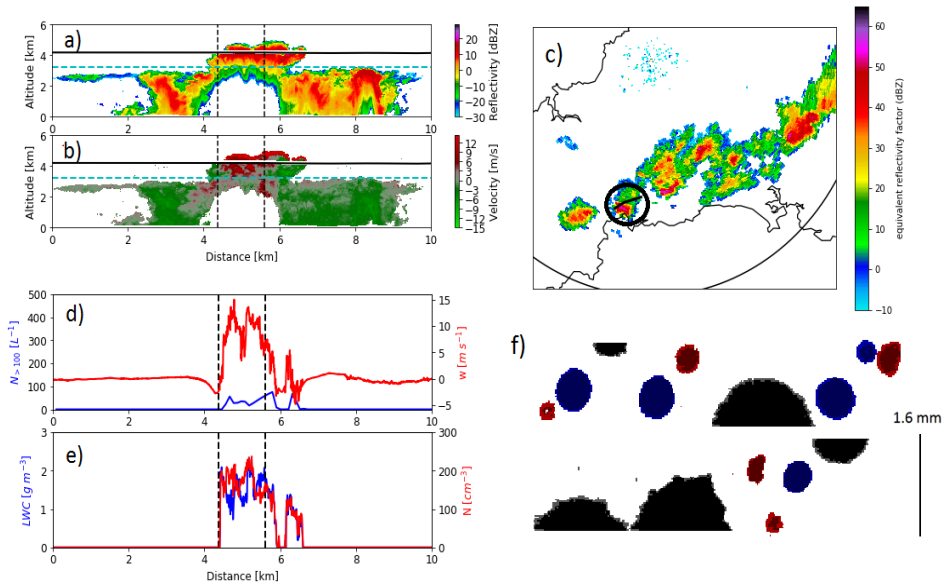
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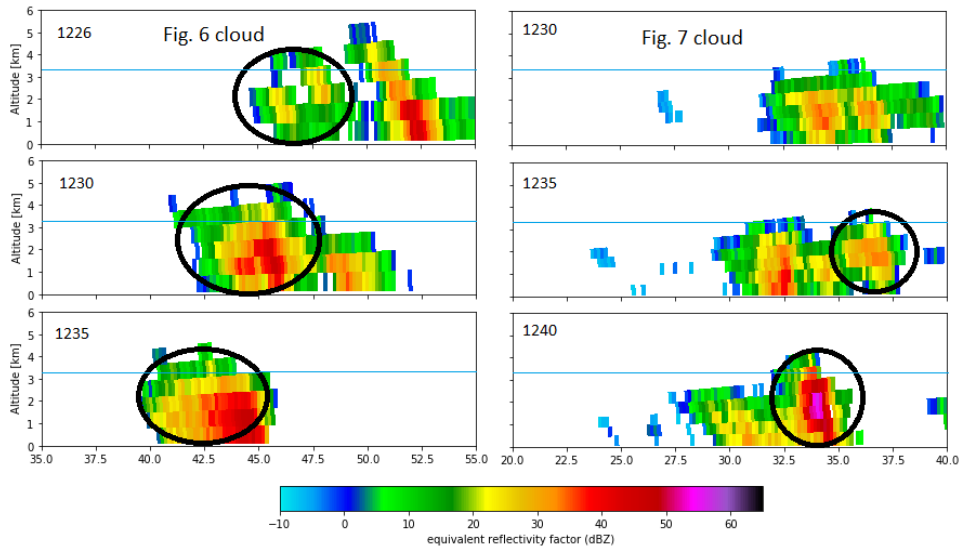




**Figure 6.** (a) WCR radar reflectivity and (b) vertical velocity for a penetration at  $-8^{\circ}\text{C}$  during Case B on (29 July) with ice phase precipitation. (c) PPI of NCAS radar reflectivity at 1.5 km MSL for the scan taken during the time of the penetration. The thick black line indicates the UWKA flight track during the scan and the circle indicates the clouds penetrated by the UWKA. (d) Time-series trace of hydrometeor concentration with  $D > 100 \mu\text{m}$  ( $N_{>100}$ ; blue) and vertical wind ( $w$ ; red) through the penetration. (e) Time-series trace of cloud droplet concentration ( $N$ ; blue) and cloud liquid water content ( $LWC$ ; red) from the CDP. (f) Representative hydrometeor images recorded by the CIP in the updraft core, with particles identified as spherical colored blue, aspherical colored red, and particles not identified by the algorithm colored black. Vertical dotted lines in (a,b,d,e) denote the boundaries of the updraft core.



**Figure 7.** As Figure 6, but for the penetration at  $-8^{\circ}\text{C}$  with mixed phase precipitation on 29 July during Case B.



**Figure 8.** Timeseries of pseudo-range height indicator (RHI) plots of NCAS radar reflectivity during Case Bon 29 July 2013 through the cloud in Fig. 6 (left column) and in Fig. 7 (right column). Circle indicates the location of the cloud penetrated by the UWKA. Blue line indicates location of 0°C isotherm.

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