

# 1 **Chemical composition of ultrafine aerosol particles in central** 2 **Amazonia during the wet season**

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14 **Abstract** Central Amazonia serves as an ideal location to study atmospheric particle formation since it often represents  
15 nearly natural, pre-industrial conditions but can also experience periods of anthropogenic influence due to the presence  
16 of emissions from large metropolitan areas like Manaus, Brazil. Ultrafine (sub-100 nm diameter) particles are often  
17 observed in this region, although new particle formation events seldom occur near the ground despite being readily  
18 observed in other forested regions with similar emissions of volatile organic compounds. This study focuses on  
19 identifying the chemical composition of ultrafine particles as a means of determining the chemical species and  
20 mechanisms that may be responsible for new particle formation and growth in the region. These measurements were  
21 performed during the wet season as part of the GoAmazon2014/5 field campaign at a site located 70 km southwest of  
22 Manaus. A Thermal Desorption Chemical Ionization Mass Spectrometer (TDCIMS) characterized the most abundant  
23 compounds detected in ultrafine particles. Two time periods representing distinct influences on aerosol composition,  
24 which we label as “anthropogenic” and “background” periods, were studied as part of a larger ten-day period of  
25 analysis. Higher particle number concentrations were measured during the anthropogenic period, and modelled back-  
26 trajectory frequencies indicate transport of emissions from the Manaus metropolitan area. During the background  
27 period there were much lower number concentrations and back-trajectory frequencies showed that air masses arrived  
28 at the site predominantly from the forested regions to the north and northeast. TDCIMS-measured constituents also  
29 show distinct differences between the two observational periods. Although bisulfate was detected in particles  
30 throughout the ten-day period, the anthropogenic period had higher levels of particulate bisulfate overall. Ammonium  
31 and trimethyl ammonium were positively correlated with bisulfate. The background period had distinct diurnal  
32 patterns of particulate cyanate and acetate, while oxalate remained relatively constant during the ten-day period. 3-  
33 Methylfuran, a thermal decomposition product of particulate phase isoprene epoxydiol (IEPOX), was the dominant  
34 species measured in the positive ion mode. Principal Component Analysis (PCA) was performed on the TDCIMS-  
35 measured ion abundance and Aerosol Mass Spectrometer (AMS) mass concentration data. Two different hierarchical  
36 clusters representing unique influences arise: one comprising ultrafine particulate acetate, hydrogen oxalate, cyanate,  
37 trimethyl ammonium and 3-methylfuran and another made up of ultrafine particulate bisulfate, chloride, ammonium

38 and potassium. A third cluster separated AMS-measured species from the two TDCIMS-derived clusters, indicating  
39 different sources or processes in ultrafine aerosol particle formation compared to larger submicron-sized particles.

## 40 **1. Introduction**

41 Atmospheric aerosols are ubiquitous in the troposphere and, organics contribute a large fraction to their chemical  
42 composition (Jimenez et al., 2009). Models continue to have difficulty estimating the organic contribution to aerosols  
43 in regions with both biogenic and anthropogenic influence (Shrivastava et al., 2017). Anthropogenic emissions have  
44 increased with global population and the resulting influences of such emissions on secondary organic aerosol (SOA)  
45 formation continue to be assessed (Hofmann, 2015). The reactive chemistry of organics in the presence of different  
46 regulating species from urban sources, like sulfur dioxide (SO<sub>2</sub>) and oxides of nitrogen, remains uncertain (Shrivastava  
47 et al., 2017), although recent efforts have successfully incorporated this chemistry into air quality models simulated  
48 for the southeastern United States (Carlton et al., 2018). Models are unable to predict the relationships between particle  
49 physico-chemical properties and cloud formation and precipitation (IPCC, 2013). Reducing this uncertainty requires  
50 an understanding of the mechanisms by which particles form and grow in the atmosphere, which mostly determine  
51 the potential of these particles to serve as cloud condensation nuclei (CCN).

52 The Amazon basin is an ideal location to study how biogenic emissions, anthropogenic trace gases and oxidants, and  
53 biomass burning impact the number and composition of atmospheric aerosol particles. The Amazon basin is one of  
54 the few remaining tropical regions on Earth in which near-natural conditions, free of direct anthropogenic influence,  
55 can be found. It has been referred to as the “Green Ocean,” since particle concentrations can be as low as that seen  
56 over the ocean and, like the marine atmosphere, small changes in particle properties can have a major impact on clouds  
57 and climate (Andreae et al., 2004). While isoprene is the most abundantly emitted biogenic volatile organic compound  
58 (BVOC), monoterpenes and sesquiterpenes are observed in amounts potentially sufficient to influence particle  
59 composition (Alves et al., 2016; Jardine et al., 2015, 2011; Yáñez-Serrano et al., 2015; Yee et al., 2018). While, on an  
60 annual basis, aerosol particle sources in the Amazon basin are dominated by the oxidation of BVOCs by OH and O<sub>3</sub>,  
61 in many parts of the Amazon, anthropogenic emissions of trace gases and oxidants, as well as human-caused-biomass  
62 burning, can have a significant impact on shorter timescales (Martin et al., 2010; de Sá et al., 2017, 2019). Biomass  
63 burning events, both for land clearing as well as pasture and cropland maintenance, can produce particles at high  
64 number and mass concentrations. Increased urbanization in the Amazon, for example the city of Manaus, Brazil, with  
65 a 2017 population of 2.1 million, represents a large emission source of both gases and particles and has led to increased  
66 regional transportation infrastructure and resulting increases in oxides of nitrogen (NO<sub>x</sub>) (IBGE, 2017). The latter will  
67 have important implications on the reactive pathways of BVOCs and the formation of secondary organic aerosol  
68 (SOA) (de Sá et al., 2018). With the opportunity to observe aerosol particles under pristine conditions, combined with  
69 the presence of growing urban centers and increased land use change that represent significant regional sources of  
70 oxidants and other key trace gases, this region presents opportunities to understand both past and future drivers of  
71 atmospheric chemistry and climate.

72 Aerosol properties in the Amazon basin show a seasonal dependence, reflecting seasonal variability in emissions and

73 deposition. During the wet season (December through March), the region is dominated by natural emissions, as  
74 accumulation mode (particle diameters between 0.1 and 2.5  $\mu\text{m}$ ) and coarse mode (diameters above 2.5  $\mu\text{m}$ ) particles  
75 tend to be lower in concentration due to wet deposition (Andreae, 2009). In the wet season, ambient particle number  
76 concentrations often represent pristine, near- natural concentrations and are in the range of 300-600  $\text{cm}^{-3}$  (Zhou et al.,  
77 2002). Previous measurements of particle number-size distributions in Amazonia during the wet season show ultrafine  
78 particles are present intermittently, most likely linked to times of local pollution events, while both Aitken and  
79 accumulation mode are continuously present (Zhou et al., 2002). While the wet season episodically experiences high  
80 particle number concentrations, the dry season (June through September) experiences higher number concentrations  
81 most of the time, which can alter cloud microphysics, radiative effects, and the hydrological cycle (Andreae et al.,  
82 2002, 2004; Rcia et al., 2000). While it was previously thought that particle composition during the dry period is  
83 dominated by biomass burning, recent measurements of sub-micron particle ( $\text{PM}_{10}$ ) composition show a larger  
84 influence from BVOCs due to decreased wet deposition, resulting in positive feedbacks on oxidants and emissions  
85 (de Sá et al., 2019). Seasonal variations of isoprene, sesquiterpenes and monoterpenes have been measured, with  
86 higher mixing ratios in the dry season (Alves et al., 2016). Additionally, with the lack of rainfall, in-basin pollution  
87 may be more prevalent, especially in areas downwind of cities and settlements (Martin et al., 2010).

88 Unlike in other forested regions, particles with a diameter smaller than 30 nm are rarely observed over the Amazon  
89 basin, suggesting that new particle formation events seldom occur near the ground (Martin et al., 2010). In other  
90 regions, new particle formation has been seen to occur during the daytime under sunny conditions, suggesting that  
91 both boundary layer dynamics and photochemistry are important factors (Bzdek et al., 2011). Rizzo et al. (2018)  
92 recently analyzed four years of particle size distributions acquired at the TT34 tower site located 60 km northwest of  
93 Manaus. Regional new particle formation and growth events were detected in only 3% of total days observed, whereas  
94 bursts of ultrafine particles that lasted as least an hour occurred during 28% of the days. Those “burst events” were  
95 equally likely to occur during the daytime as the night, and the authors hypothesized that daytime events were caused  
96 by interrupted photochemical new particle formation, whereas nocturnal events might be due to emissions and/or  
97 fragmentation of primary biological particles. Recent airborne observations in the Amazon suggest that particle  
98 nucleation and growth can be initiated in the upper troposphere, with upwelling air masses transporting reactants into  
99 the free troposphere and downwelling air masses transporting aerosol particles and condensable compounds back into  
100 the boundary layer where particles can continue to grow via condensation and coagulation (Andreae et al., 2018; Fan  
101 et al., 2018; Wang et al., 2016). Once formed, ultrafine particles can be key participants in a variety of atmospheric  
102 processes. One example of this is the subject of a recent study by Fan et al. (2018), who have suggested that ultrafine  
103 particles can increase the convective intensity of deep convective clouds. High concentrations of ultrafine particles,  
104 when present with high water vapor concentrations that are typical in the Amazon atmosphere, can form high  
105 concentrations of small cloud droplets that release latent heat and thereby result in more powerful updraft velocities.

106 While recent research is providing some clarity on the origin, transport, and climate impacts of ultrafine particles in  
107 the Amazon, very little is known about the chemical composition of these particles. Globally, measurements show a  
108 major component of atmospheric ultrafine aerosol are organic compounds produced from BVOC oxidation (Bzdek et

109 al., 2011; Riipinen et al., 2012; Smith et al., 2008; Smith and Rathbone, 2008). Many of these direct measurements of  
110 the composition of atmospheric ultrafine particles have been performed using the Thermal Desorption Chemical  
111 Ionization Mass Spectrometer (TDCIMS) (Voisin et al., 2003). For example, TDCIMS measurements performed  
112 outside of Mexico City attribute about 90% of the growth of freshly nucleated particles to oxidized organics (Smith  
113 et al., 2008). In the Boreal forest of Finland, the contribution of oxidized organics is close to 100% and an analysis of  
114 composition suggests that marine emissions can play an important role in that process (Lawler et al., 2018). For the  
115 smallest particles measurable by TDCIMS, with diameters from 8 to 10 nm, between 23% to 47% of the constituents  
116 may be derived from organic salt formation, a reactive uptake mechanism that requires the presence of strong bases  
117 such as gas phase amines (Smith et al., 2010).

118 Similar to other parts of the world, particles in the Amazon basin are typically composed of 70-80% organics by mass  
119 in both the fine and coarse size ranges (Graham et al., 2003). The composition of ultrafine particles has not been  
120 directly measured, although one study has proposed the major component could be oxidized organics that have  
121 condensed onto potassium salt-rich primary particles emitted from active biota (Pöhlker et al., 2012). An  
122 understanding of the origin and chemical composition of ultrafine particles in the Amazon gives insight into their  
123 formation and growth processes. To improve upon modelling the coupling of chemistry and climate in this sensitive  
124 region, incorporating accurate representations of particle formation and growth processes is required.

125 The most recent, and currently the largest, field campaign to study the Amazon atmospheric chemistry and cloud  
126 processes was the Observations and Modeling of the Green Ocean Amazon (GoAmazon2014/5), which took place  
127 outside of Manaus, from 1 January 2014 to 31 December 2015 (Martin et al., 2016). Two intensive observational  
128 periods (IOPs) were carried out during GoAmazon2014/5, corresponding to wet and dry seasons in 2014. This  
129 manuscript explores the chemical composition of ultrafine particles observed by the TDCIMS during IOP1, which  
130 took place from February 1 to March 31, 2014. Specifically, we focus on ten consecutive days that experienced air  
131 masses from both remote, primarily forested regions, as well as from the large metropolitan region of Manaus. This  
132 study investigates the influence of anthropogenic and biogenic emissions on the chemical composition of ultrafine  
133 particles in this region, from which one can infer the chemical processes that led to the formation and growth of  
134 ambient ultrafine particles in this region. The time evolution of select compounds in ambient ultrafine particles is  
135 analyzed, and compared to AMS measurements, using Principal Component Analysis (PCA), in order to gain  
136 additional insights into the contribution of various emission sources to ultrafine particle composition.

## 137 **2. Methodology**

### 138 **2.1 T3 Site Description**

139 All data presented were collected at the T3 site (3.2133 °S, 60.5987 °W), located 70 km west of Manaus, Brazil, during  
140 the GoAmazon2014/5 campaign (Martin et al., 2016). The T3 site is located within pasture land located 10 km  
141 northeast of Manacapuru, Brazil. The site included the Atmospheric Radiation Measurement (ARM) Mobile Facility  
142 #1 (AMF-1), the ARM Mobile Aerosol Observing System (MAOS), and four modified shipping container laboratories  
143 containing instruments deployed by universities and other research organizations.

## 144 **2.2 Thermal Desorption Chemical Ionization Mass Spectrometry**

145 Ambient ultrafine particle composition was characterized using TDCIMS. The TDCIMS is an instrument designed  
146 specifically for the measurement of the molecular composition of size-resolved ultrafine aerosol particles (Smith et  
147 al., 2004; Voisin et al., 2003). In brief, sampled atmospheric particles are charged by a unipolar charger and are  
148 collected via electrostatic deposition on a platinum (Pt) filament over varying collection times. During this campaign,  
149 collection times were either for 1 hour or 30 minutes, depending on the anticipated sample mass. Typical sample mass  
150 collected on the filament ranged from 10 to 100 ng. After collection, the filament was moved into an atmospheric  
151 pressure chemical ionization source region and resistively heated to desorb the particulate phase components. These  
152 desorbed components were chemically ionized and detected using a quadrupole mass spectrometer (Extrel Corp.). A  
153 zero air generator (Parker Hannifin, model HPZA-3500) provided the source of reagent ions  $(\text{H}_2\text{O})_n\text{H}^+$  and  $(\text{H}_2\text{O})_n\text{O}_2^-$   
154 ( $n=1-3$ ); TDCIMS operation with these ion chemistries is, referred to as either positive and negative ion mode,  
155 respectively. Complete mass spectra of desorbed compounds were obtained at the beginning of IOP1 (Fig. S1) to  
156 determine ions with the highest ion abundances. These ions were then measured for the duration of the campaign by  
157 operating the quadrupole mass spectrometer in “selected ion mode,” in which the quadrupole mass spectrometer  
158 rapidly switched among approximately 12 ions to optimize sensitivity with high temporal resolution.

159 Both positive and negative ion mode chemical analyses were performed during the two IOPs, and are publicly  
160 available on the campaign data archive (Smith, 2016). During IOP1, several days of measurements were impacted by  
161 intermittent power outages and brownouts. IOP2 was characterized by comparatively lower concentrations of ultrafine  
162 particles, which is consistent with prior observations (Martin et al., 2010; Rizzo et al., 2018). Because of this, we focus  
163 our analysis on ten consecutive days during IOP1 when instruments were operating consistently. This period also  
164 happened to coincide with the arrival of two distinct and consecutive air masses, which allows for more accurate side-  
165 by-side comparison of aerosol properties during these periods.

166 Ambient particles were sampled through a 3 m length of Cu tubing with 0.63 cm inside diameter. The inlet extended  
167 0.5 m above the roof of the laboratory, and was curved downward and covered with screen to prevent rain and insects  
168 from entering. Ambient particles during GoAmazon2014/5 were not size-selected prior to collection on the filament  
169 because of low ambient concentrations. The collection process, however, is inherently dependent on particle mobility  
170 (McMurry et al., 2009). In order to determine the size-dependent collection efficiency, tests were run at the start of  
171 the campaign by generating and collecting ammonium sulfate particles in the diameter range of 8-90 nm. The size-  
172 dependent, TDCIMS sampling collection efficiencies were used to determine the volume mean diameter and estimated  
173 mass of each sample, as described in Smith et al. (2004).

## 174 **2.3 Meteorological data and complementary datasets**

175 To complement the TDCIMS dataset, High-Resolution Time-of-Flight Aerosol Mass Spectrometry (AMS; Aerodyne,  
176 Inc.) was used to characterize non-refractory compounds in  $\text{PM}_{10}$  at the T3 site (ARM, 2018a; de Sá et al., 2018). A 7-  
177 wavelength aethalometer was located at MAOS and measured black carbon mass concentration (ARM, 2018b). The  
178 planetary boundary layer height (ARM, 2018c), determined using the Heffter number method (Heffter, 1980), was  
179 measured at MAOS. A Scanning Mobility Particle Sizer (ARM, 2018d) determined the number-size distributions

180 spanning the mobility diameter range of 10 - 460 nm. Wind direction, wind speed, relative humidity, temperature and  
181 rainfall were measured at AMF-1 (ARM, 2018e). Six hour back-trajectory frequency simulations were determined for  
182 the time period of interest using NOAA HYSPLIT transport model, using the GDAS 1° meteorology (Rolph et al.,  
183 2017; Stein et al., 2015).

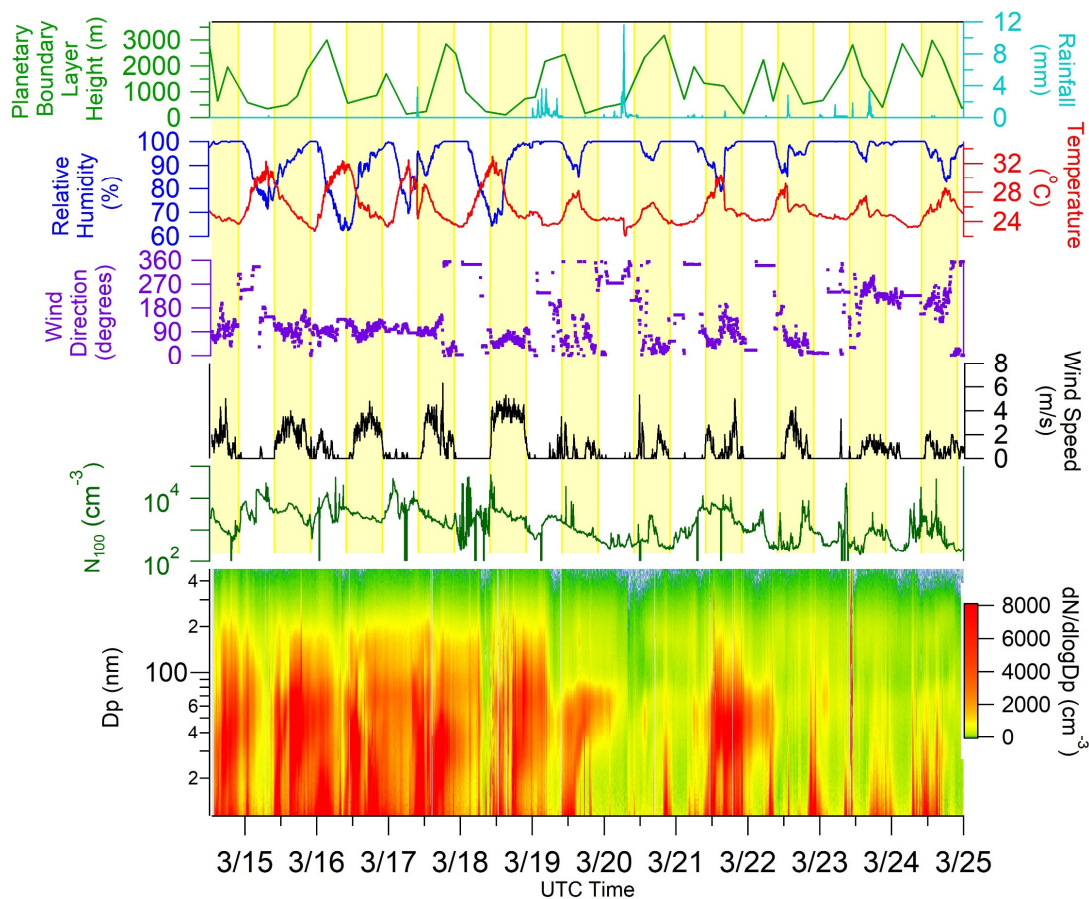
#### 184 **2.4 Principal Component and Hierarchical clustering analyses**

185 Principal Component Analysis (PCA) was performed using the “princomp” function of the R statistical software  
186 package (R, 2011). A hierarchical cluster analysis was performed using Ward’s averaging method in the “hclust”  
187 function in R. Ward’s minimum variance method of hierarchical clustering was used, which groups species within the  
188 same cluster to minimize the total variance (Wilks, 2011). The purpose of this analysis is to identify species or groups  
189 of species that may have unique sources, trajectories or other physicochemical characteristics. Cluster analysis was  
190 done for the following TDCIMS negative and positive ion mode species:  $C_2H_4N^-$  ( $m/z$  42),  $C_2H_3O_2^-$  ( $m/z$  59),  $HSO_4^-$   
191 ( $m/z$  97),  $Cl^-$  (isotopes  $m/z$  35 and 37),  $HC_2O_4^-$  ( $m/z$  89),  $NH_4^+(H_2O)$  ( $m/z$  36),  $K^+$  ( $m/z$  39 and 41),  $C_3H_{10}N^+$  ( $m/z$  60),  
192  $C_5H_7O^+$  ( $m/z$  83),  $C_5H_8NO^+$  ( $m/z$  98), and  $C_7H_9O_2^+$  ( $m/z$  125) and the following AMS species: organic, ammonium,  
193 nitrate, sulfate and chloride. A separate cluster analysis was performed for quality assurance and demonstrated that  
194 the three clusters presented in Section 3.3 are statistically significant and different from one another.

### 195 **3. Results and Discussion**

#### 196 **3.1 Meteorological Data and Classification of Air Masses**

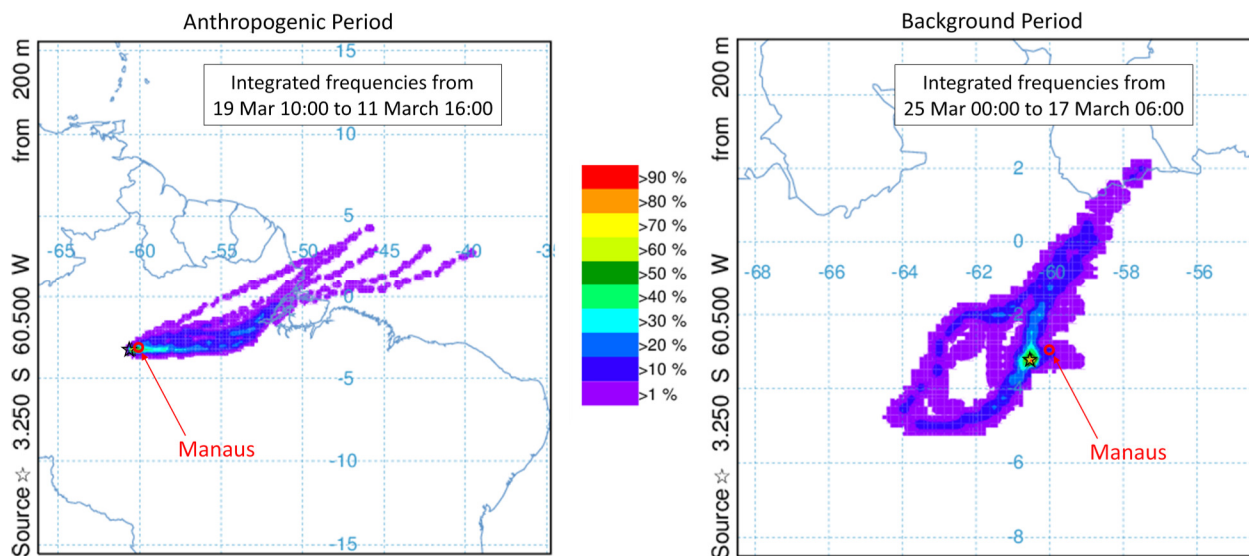
197 The ten consecutive days that are the focus of this study can be characterized by two distinct air mass types, as  
198 determined from meteorological data and AMS-derived PMF factors (de Sá et al., 2018). The first period, referred to  
199 as the “anthropogenic period,” was from 14 March until mid-morning 19 March and the second period, the  
200 “background period,” was from mid-morning 19 March until 24 March. The AMS-derived biomass burning factor  
201 (BBOA), associated with levoglucosan, and anthropogenic-dominated factor (ADOA), associated with mass fragment  
202 91 or “91fac” ( $C_7H_7^+$ ), were as much as three times larger during the anthropogenic period than background period  
203 (de Sá et al., 2018). Anthropogenic influence during this campaign, as determined using ADOA, most strongly  
204 resembled cooking emissions. Correlations between the ADOA factor, cooking emissions, aromatics like benzene,  
205 toluene and xylene and increased particle counts verify the link to anthropogenic influence from Manaus (de Sá et al.,  
206 2018). The particle number-size distribution, shown in Figure 1, for the anthropogenic period saw higher number  
207 concentrations of particles over the diameter range of 10 –100 nm ( $N_{100}$ ). Particle size distributions for the background  
208 period were comparable to previous measurements in the Amazon basin, featuring a bimodal distribution with peaks  
209 at roughly 50 nm and 150 nm and peak concentrations of approximately  $10^3$  particles  $cm^{-3}$  (Fig S2) (Artaxo et al.,  
210 2013; Gunthe et al., 2009; Pöhlker et al., 2016; Rizzo et al., 2018). The average total mass concentration as determined  
211 by the AMS for the anthropogenic period was  $2.5 \pm 0.9 \mu g/m^3$ . The T3 site experienced approximately four hours of  
212 rain on 19 March ending at about noon UTC (all times are presented as UTC time, which is four hours ahead of local  
213 time) and the first and only new particle formation event of this ten-day period was observed. After this event on 19  
214 March, number concentrations of particles were, on average, much lower than the prior period. The average total mass



**Figure 1:** Meteorological data from the T3 site, showing planetary boundary layer height (green), rainfall (light blue), relative humidity (dark blue), temperature (red), wind direction (purple), wind speed (black) and total number concentration of sub 100 nm particles ( $N_{100}$ , dark green). The highlighted yellow bars signify daylight hours (10:00-22:00, UTC time). The particle number- size distribution contour plot shows size distribution function (molecules  $\text{cm}^{-3}$ ) for particles sizes between 10 nm and 400 nm.

215 concentration for the background period was determined to be  $1.2 \pm 0.8 \mu\text{g}/\text{m}^3$ . A similar trend in total mass  
 216 concentration between background and polluted conditions was observed during the Southern Oxidant and Aerosol  
 217 Study (SOAS), where larger particle mass concentrations were observed during times with polluted air mass influence  
 218 and, when followed by a period of rainfall, smaller mass concentrations were observed (Liu and Russell, 2017).  
 219 Occasional rainfall was seen during the background period, resulting in wet deposition of aerosol particles.  
 220 Additionally, a backtrajectory analysis, presented next, provides a more likely reason for these two distinct periods.

221 Wind direction data shown in Figure 1, as well as NOAA HYSPLIT data shown in Figure 2, suggest a reason for the  
 222 two distinct periods. Back-trajectories show that air masses during the anthropogenic period either pass through  
 223 Manaus or south of Manaus prior to arrival at the T3 site. During this period, air masses most frequently passed over  
 224 the main roadway that connects Manaus with Manacapuru, a neighboring city with a population of 93,000. Along this  
 225 roadside are homes, agriculture and brick kilns, all of which contribute to local gas and particle emissions. In contrast,  
 226 during the background period, air masses arrived at the T3 site most frequently from the north east and west. Air



**Figure 2:** Back trajectory frequencies performed using HYSPLIT, showing the different air masses that travel to the T3 site during the anthropogenic period and background period. For each period, twenty trajectories were used to determine integrated frequencies spanning the five days of each period (14 Mar-19 Mar for the anthropogenic and 20 Mar-25 Mar for the background period). Each trajectory duration was for 72 hours. The color scale indicates the frequency of which air masses pass over that area, with the warmer color being more frequently passed over.

227 masses that were measured at the site typically originated from densely forested regions northeast to west of Manaus.  
 228 Less frequent were periods where air masses reaching the site originated from east and were influenced by the Manaus  
 229 metropolitan area. For example, during the evening of 21 March there was a period of increased number concentration  
 230 and, as winds were quite stagnant at night, it is possible that a local emission source could have impacted the site  
 231 during that period. Wind direction on this day corresponded with air masses arriving to the T3 site from the Manaus  
 232 area.

233 Estimated masses of ultrafine particles sampled by the TDCIMS were determined and compared for the two periods  
 234 (Fig. S3). During the anthropogenic period there was no distinct diurnal pattern observed, with an average of ~100  
 235 ng/sample. This lack of a diurnal pattern in the sampled particles suggests that sources or processes that are responsible  
 236 for these particles could have persisted throughout the day and night or could be from different processes that persisted  
 237 both day and night. In contrast to this, the background period has a diurnal peak in estimated mass collected between  
 238 18:00 to 22:00 UTC, with sampled masses of ~70 ng/sample. The minimum sample sizes occurred in the early morning  
 239 where averages reached as low as 16 ng/sample. Peaks in collected mass during the early afternoon could be linked to  
 240 photochemically produced sources and appear to be unique to the background period. Assuming that the background  
 241 contribution to the mass of particles remains constant between each time period, the average mass loading of ultrafine  
 242 particles increased by a factor of 3 due to anthropogenic influence (Fig. S3).

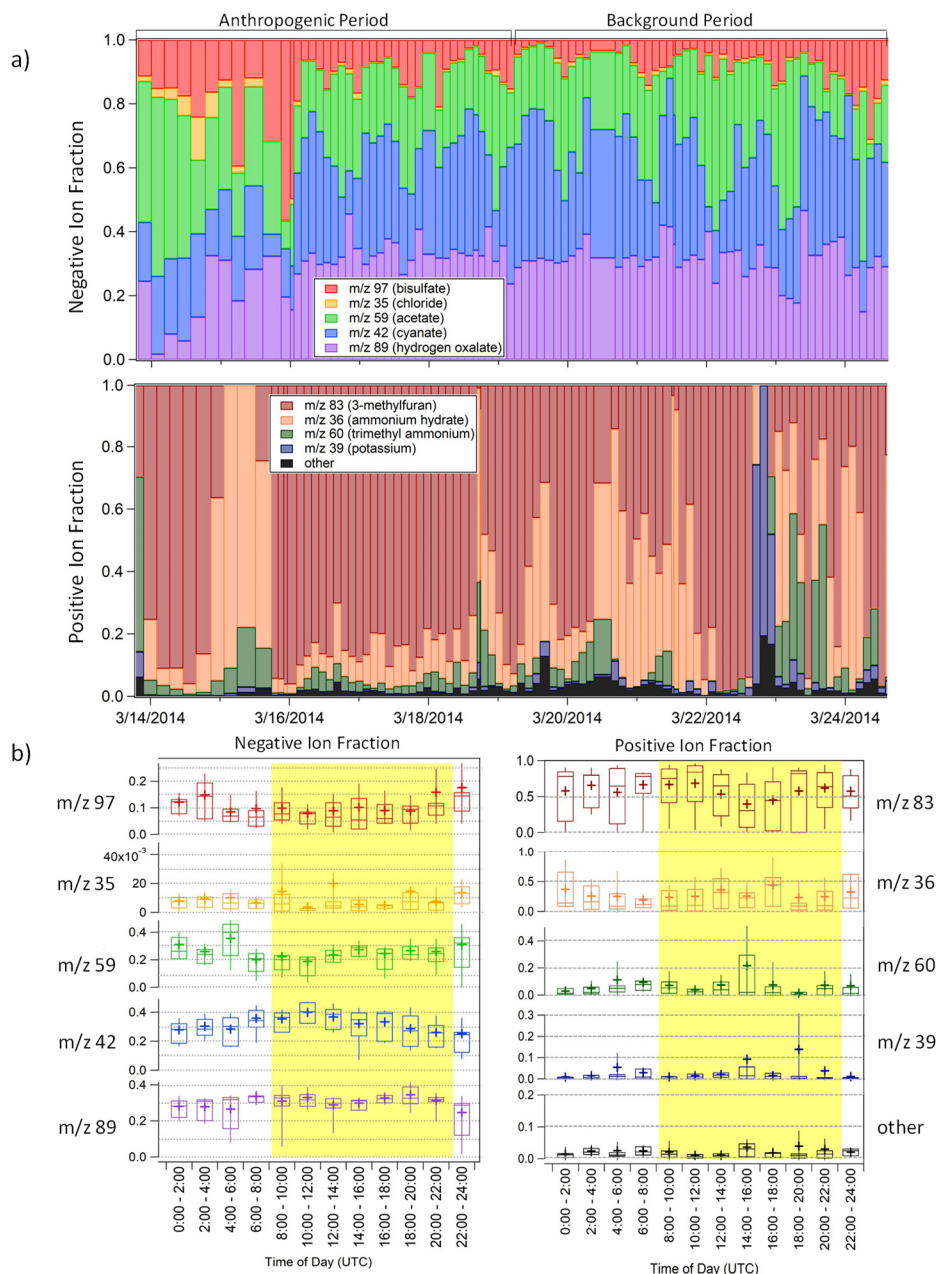
### 243 3.2 Ultrafine particle chemical composition

244 The five most abundant negative ions, as observed in full mass spectra (Fig. S1) taken at the start of the wet season  
 245 campaign, are attributed to CNO<sup>-</sup> (cyanate,  $m/z$  42), C<sub>2</sub>H<sub>3</sub>O<sub>2</sub><sup>-</sup> (acetate,  $m/z$  59), HSO<sub>4</sub><sup>-</sup> (bisulfate,  $m/z$  97), Cl<sup>-</sup> (chloride,  
 246 isotopes  $m/z$  35 and 37) and HC<sub>2</sub>O<sub>4</sub><sup>-</sup> (hydrogen oxalate,  $m/z$  89). The six most abundant positive ions measured were



247 attributed to  $\text{NH}_4^+(\text{H}_2\text{O})$  (ammonium hydrate,  $m/z$  36),  $\text{K}^+$  (potassium, isotopes  $m/z$  39 and 41),  $\text{C}_3\text{H}_{10}\text{N}^+$  (trimethyl  
248 ammonium,  $m/z$  60),  $\text{C}_5\text{H}_7\text{O}^+$  (protonated 3-methylfuran,  $m/z$  83),  $\text{C}_5\text{H}_8\text{NO}^+$  ( $m/z$  98), and  $\text{C}_7\text{H}_9\text{O}_2^+$  ( $m/z$  125). We will  
249 refer to  $\text{C}_5\text{H}_8\text{NO}^+$  ( $m/z$  98), and  $\text{C}_7\text{H}_9\text{O}_2^+$  ( $m/z$  125) collectively as “other” in our positive ion mode analysis as these  
250 were minor components. The major isotopes of chloride were measured in order to understand the role chloride may  
251 have had on particle formation, with potential influence from marine aerosol and fungal spores (Pöhlker et al., 2012).  
252 Potassium (isotopes  $m/z$  39 and 41) was measured during positive ion mode analysis to determine the potential  
253 influence of potassium-rich primary biological particles (China et al., 2016; Pöhlker et al., 2012). Additionally,  
254 potassium-rich particles have been linked to biomass burning, as potassium is found to be associated with soot carbon  
255 (Andreae, 1983; Pósfai et al., 2004). Mass-normalized ion abundances, defined as ion abundance divided by collected  
256 sample mass, for the five most abundant negative ions displayed similar diurnal patterns within each period. During  
257 the anthropogenic period, peaks in mass-normalized ion abundance were observed for all measured species between  
258 6:00-8:00 and 16:00-18:00. For the background period, there was no sharp peak observed between 16:00-18:00 for  
259 any of the five measured species, but peak in the diurnal pattern between 6:00-8:00 for  $m/z$  42,  $m/z$  59 and  $m/z$  89 (Fig.  
260 S4). Diurnal trends in mass-normalized ion abundances give little insight, per se, into sources of individual ions, but  
261 it is interesting to note that ion abundances are typically the lowest when sample mass is largest. A potential reason  
262 for this is that TDCIMS is not sensitive to the specific compounds present in these ultrafine particles when the mass  
263 loading is highest. This could be true, for example, if refractory black carbon is the main constituent during the period  
264 of highest sampled mass, as chemical ionization would be unable to detect these compounds. Since the diurnal patterns  
265 of all individual ions are similar, a comparison of ion fractions, defined as ion abundance divided by the sum of the  
266 total ion abundances measured at the time of analysis, provides a measurement of ion concentration in collected  
267 particles and shows distinct differences between the background and anthropogenic periods.

268 Figure 3a shows the trend in ion fraction for five most abundant negative ions and four most abundant positive ions  
269 during the ten-day period of analysis. During the anthropogenic period, the observed bisulfate ion ( $m/z$  97) fraction  
270 was larger than during the background period. Of the ions measured, bisulfate is the predominant indicator of urban  
271 influence. The bisulfate anion has been previously noted in TDCIMS analysis as a stable ion formed from the thermal  
272 desorption of particulate sulfate (Voisin et al., 2003), and it is likely that emissions from Manaus could serve as the  
273 major source for sulfate found at the T3 site. Thus as air masses during the anthropogenic period primarily travelled  
274 from, or south of, Manaus, bisulfate is expected to have a higher measured ion fraction. Additionally, in-basin  
275 emissions of various gaseous precursors like dimethyl sulfide and hydrogen sulfide could contribute to particulate  
276 sulfate of non-anthropogenic origin, as bisulfate was measured during the whole ten-day period of interest, even  
277 without observed direct influence from Manaus. When the bisulfate ion was the largest of the negative ions, the largest  
278 fractions of ammonium ( $m/z$  36) and trimethyl ammonium ( $m/z$  60) in the positive ion mode were observed as well.  
279 Additionally, the largest chloride ( $m/z$  35) signal was observed at the beginning of this period, reaching a maximum  
280 of about 10% of the total ion fraction on 14 March. During the background period, the ion fraction of hydrogen oxalate  
281 ( $m/z$  89) remained relatively constant, averaging  $31\% \pm 5\%$  of the total ion fraction. Diurnal patterns of these ion  
282 fractions, shown in Figure 3b, show small diurnal variations for most of the observed ions. The diurnal pattern of  $m/z$   
283 42 (cyanate) peaks between 10:00 and noon and both  $m/z$  59 and  $m/z$  89 show slight decreases between 10:00 and



**Figure 3:** a) The negative ion fraction and positive ion fraction shown over the ten-day period of interest. b) Diel patterns of the five measured negative ions shown and of the four major positive ions, “other” refers to sum of fractions of  $m/z$  125 and  $m/z$  98. The crosses are average values, the boxes show 25<sup>th</sup> and 75<sup>th</sup> percentiles as well as medians, and the whiskers show maximum and minimum values. Signals are averaged between the two-hour time blocks noted. Highlighted region denotes daylight hours.

284 noon, as well. Roughly 70% of measurements over both periods had potassium ( $m/z$  39 and 41) ion fractions less than  
 285 or equal to 20% of the total positive ion fraction, with few “potassium episodes” of higher abundance observed.  
 286 Interestingly,  $m/z$  42 was the most abundant ion present in TDCIMS spectra. Due to its even mass-to-charge ratio, this  
 287 ion almost certainly contains nitrogen. This ion distinguishes itself from other detected compounds by a peak in ion  
 288 fraction during the morning (Figure 3b). Prior TDCIMS measurements during the 2006 MILAGRO campaign in the  
 289 Mexico City Metropolitan Area, detected  $m/z$  42 as a major ion fragment in sub-20 nm diameter particles; that ion

290 was identified as cyanate ( $\text{CNO}^-$ ), which may be linked to isocyanic acid from biomass burning or industrial processes  
291 (Smith et al., 2008). The  $m/z$  42 fragment observed in this study is not likely of anthropogenic origin since this ion  
292 was observed during very clean periods when we expect anthropogenic emissions and biomass burning to be low. In  
293 addition, TDCIMS-measured  $m/z$  42 during the dry season did not show an increase in ion intensity relative to the wet  
294 season (Smith, 2016), which one might expect if this ion were sourced to biomass burning. We hypothesize that this  
295 ion is cyanate ( $\text{CNO}^-$ ) which we associate with organic nitrogen related to aerosol formation from biogenic emissions  
296 of VOCs. Natural emissions of amino acids, water soluble organic species, and other proteinaceous biogenic material  
297 have been measured in the gas phase, particle phase and in precipitation across the globe, and have been estimated to  
298 account for as much as half or more of the bulk aerosol composition over the Amazon basin (Artaxo et al., 1988, 1990;  
299 Kourtchev et al., 2016; Mace et al., 2003; Zhang and Anastasio, 2003). While all prior field measurements in the  
300 Amazon basin have been made on particles larger than those measured in this study, similar sources may influence  
301 ultrafine particle composition. If true, these observations suggest that organic nitrogen compounds play a crucial role  
302 in both ultrafine particle formation as well as growth to large particles, which make this mechanism for particle growth  
303 climatologically important in this region.

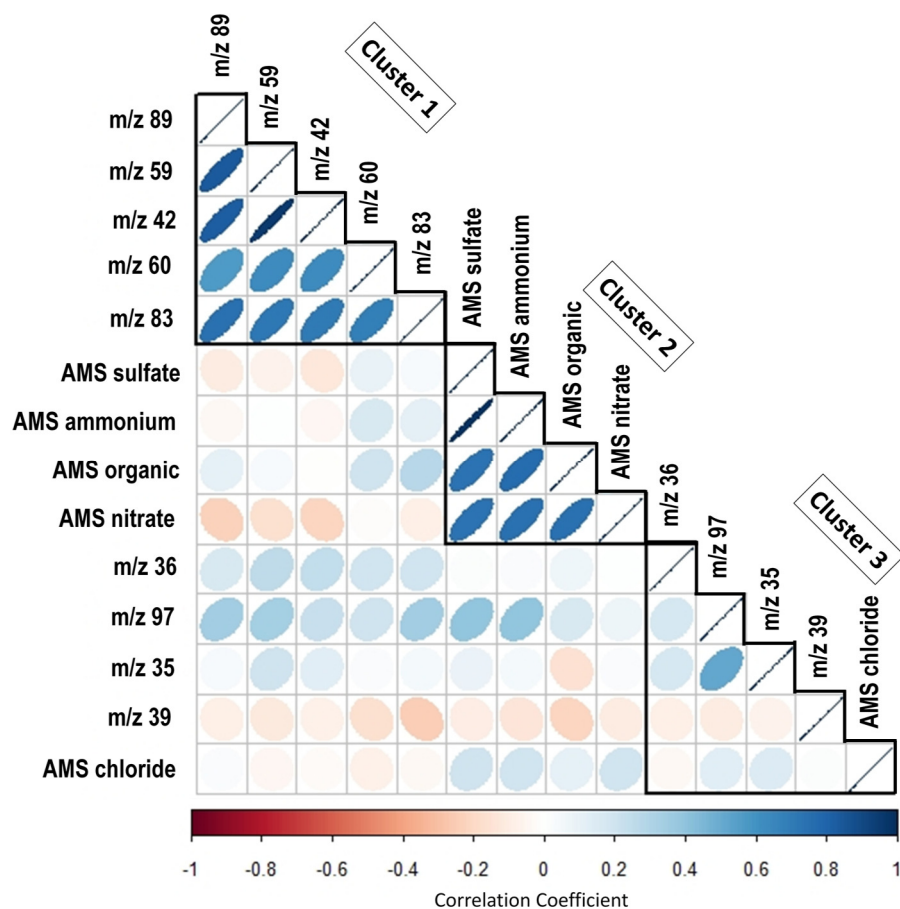
304 Of the measured positive ion species,  $m/z$  83, linked to 3-methylfuran or other C5 oxidized volatile organic compound,  
305 dominated the ion fraction in ultrafine particles. Methylfuran has been observed to be produced as a thermal  
306 decomposition product of isoprene-derived SOA via AMS measurements (Allan et al., 2014), a process that would  
307 likely also occur during TDCIMS analysis. Airborne observations in the Amazon suggest that isoprene SOA can be  
308 formed in the boundary layer under certain conditions, which is confirmed by these observations (Allan et al., 2014).  
309 Since this ion is a marker of isoprene epoxydiol (IEPOX) species present in the particle phase, this confirms a role for  
310 isoprene and isoprene derivatives in the growth of ultrafine particles. Little variability in the diel pattern for  $m/z$  83 is  
311 observed, similar to other particle phase measurements of IEPOX derivatives reported for the GoAmazon2014/5  
312 campaign by Isaacman-Vanwertz, et al. (2016). In that study, weak diurnal patterns for particle phase isoprene  
313 oxidation products were also observed, even while gas phase concentrations of these species increased in the  
314 afternoon. It is important to note that this ion dominates the positive ions fraction during both the anthropogenic and  
315 background influenced periods. Times that experienced lower fractions of  $m/z$  83 had increased fractions of  
316 ammonium and trimethyl ammonium, which also coincided at times with larger amounts of measured bisulfate in the  
317 negative ions. The presence of larger fractions of particulate ammonia and amines at times with less influence from  
318 isoprene-derived species could indicate that both organic salt formation and uptake of isoprene-derived products are  
319 possible mechanisms of ultrafine particle growth. The importance of organic salt formation in growth is consistent  
320 with prior TDCIMS measurements (Smith et al., 2010), although a quantitative comparison cannot be made since this  
321 current study focuses on sub-100 nm diameter particles whereas the prior study focused on size-resolved sub-15 nm  
322 ambient particles. One period of elevated potassium ion ratio was observed at the end of the day on 22 March. To  
323 differentiate between potential sources of potassium in these ultrafine particles, whether it be of primary biological or  
324 biomass burning influence, mass concentrations of black carbon during this ten-day period of interest were used to  
325 examine the extent of influence of biomass burning on the presence of potassium (Fig. S5). During the anthropogenic  
326 period, with significantly elevated concentrations of black carbon, minimal potassium fraction was measured. At times

327 of low black carbon mass concentrations during the background period, like on 20 March, there was some fraction of  
328 potassium observed. During the period of highest fraction observed on the night of 22 March, there were slightly  
329 elevated mass concentrations of black carbon. While partially elevated black carbon mass concentrations on 22 March  
330 may be connected to the large potassium ion fraction, at times with even more significant biomass burning influence,  
331 there was minimal potassium. The larger fraction of potassium observed during the background period, as opposed to  
332 the anthropogenic period, may be connected to potassium rich biological particles or the rupturing of biological spores  
333 (China et al., 2016; Pöhlker et al., 2012). Of all wet season TDCIMS measurements during GoAmazon2014/5, roughly  
334 14% of measurements had potassium fractions greater than 0.1 (Fig. S6). Air masses on the evening of 22 March were  
335 traveling steadily from the Manaus area and coincided with about 5 mm of rain. High ambient concentrations of  
336 biological particles that could be sources of potassium are often associated with rainfall events (China et al., 2016).  
337 Rupturing of fungal spores, leading to the production of sub-100 nm fragments, was observed to occur after long  
338 exposures (above 10 hours) of high relative humidity and subsequent drying, similar conditions to those on 22 March.

### 339 **3.3 Multivariate analysis of TDCIMS and AMS data**

340 Principal Component Analysis (PCA) was performed on TDCIMS and AMS measurements to provide insights into  
341 the possible drivers for ultrafine particle formation. Figure 4 shows the results of this analysis. In these plots, positive  
342 correlations are shown in blue, while negative correlations are shown in red. The intensity of the color and eccentricity  
343 of the ellipse is an indication of the degree of correlation. Pale-colored circles (eccentricity approximately 0) show  
344 little to no correlation, narrow ellipses with a positive slope and darker blue color illustrate strong positive correlations  
345 and narrow ellipses with a negative slope and darker red color show strong negative correlation.

346 Hierarchical clustering of these measurements results in three main clusters of related particle constituents. This  
347 represents a series of clusters where the species within each cluster covary, therefore indicative, in this work, of similar  
348 particle characteristics, processes or sources. The first, labeled “Cluster 1” on Figure 4, grouped TDCIMS-derived  
349 cyanate ( $m/z$  42), acetate ( $m/z$  59) hydrogen oxalate ( $m/z$  89), trimethyl ammonium ( $m/z$  60) and 3-methylfuran ( $m/z$   
350 83); the second, labeled “Cluster 2,” clustered well known co-varying AMS derived constituents (Ulbrich et al., 2009);  
351 the third, labeled “Cluster 3” associated AMS-derived chloride with TDCIMS-derived chloride ( $m/z$  35), bisulfate  
352 ( $m/z$  97), ammonium hydrate ( $m/z$  36) and potassium ( $m/z$  39). The hierarchical clustering approach independently  
353 grouped and separated AMS measurements from TDCIMS measurements. While both represent composition  
354 measurements of the aerosol population, the differences between the size ranges of particles measured by AMS and  
355 TDCIMS techniques would lead to the anticipated differences in clustering. Comparing mass distributions estimated  
356 by size distribution measurements, the presence of particles larger than 100 nm would have a more significant  
357 contribution to the measured mass concentrations by AMS. In contrast, the TDCIMS only measures sub-100 nm  
358 particles, representing a minor contribution to the total mass concentration. This observed separation between the  
359 clustering of AMS and TDCIMS measurements reinforces the importance of direct measurements of ultrafine  
360 particles, as opposed to bulk composition, in accessing the species and mechanisms responsible for new particle  
361 formation.



**Figure 4:** Principal Component Analysis (PCA) of TDCIMS and AMS data. Refer to text for details on the interpretation of these plots. PCA results in which species are grouped into hierarchical clusters, with clusters denoted within weighted black lines. Species are ordered by decreasing correlation to the first principal component from the top to bottom. TDCIMS chemical assignments for fragments are m/z 89 (hydrogen oxalate), m/z 59 (acetate), m/z 42 (cyanate), m/z 60 (trimethyl ammonium), m/z 83 (3-methylfuran), m/z 36 (ammonium hydrate), m/z 97 (bisulfate), m/z 35 (chloride) and m/z 39 (potassium).

362 With respect to PCA performed on the two datasets, Cluster 1, which includes TDCIMS fragments typically linked to  
 363 organic species (*m/z* 59, 89, 83) and nitrogen species discussed previously (*m/z* 42 and 60), explains most of the  
 364 variance and has the highest correlation with the first principal component. These species' high correlation with each  
 365 other indicate similar sources, most of which can be associated with BVOC emissions. A prior TDCIMS laboratory  
 366 study linked the acetate ion fragment (*m/z* 59) to particulate carboxylic and dicarboxylic acids (Smith and Rathbone,  
 367 2008), which have been linked to the photochemical oxidation of both biogenic and anthropogenic compounds  
 368 (Winkler et al., 2012). During the wet season in the Amazon basin, specific dicarboxylic acids and tricarboxylic acids  
 369 have been identified and proposed to have been formed from the oxidation of semi-volatile fatty acids and terpenes  
 370 (Kubátová et al., 2000). Hydrogen oxalate, measured as *m/z* 89, was one of the two most abundant organic ions  
 371 measured in ultrafine particles at both an urban and rural site in Helsinki, Finland (Pakkanen et al., 2000). Hydrogen  
 372 oxalate was noted to have relatively constant concentrations in ultrafine particles, similar to observations seen during  
 373 the ten-day period of analysis for this study (Figure 3). While Helsinki and the Amazon experience different conditions  
 374 and meteorology, oxalate has been observed in both environments, possibly due to the heavy BVOC influence in both

375 locales. In the positive ion mode, 3-methylfuran, measured as  $m/z$  83, has significant correlation to background linked  
376 negative ions. These species seem to be generally linked to the oxidation of various BVOCs, whether isoprene, for 3-  
377 methylfuran, or other terpenes (Allan et al., 2014). Finally, it should be noted that the clustering of the cyanate ( $m/z$   
378 42) with these organic ions provides further evidence that the source of this ion is likely clean, background chemistry  
379 rather than from biomass burning. Additionally, TDCIMS-measured cyanate ( $m/z$  42) are weakly and negatively  
380 correlated to AMS-measured nitrate. During the anthropogenic period (14 March through mid-morning 19 March),  
381 higher levels of inorganic nitrate were observed by AMS compared to the organic form (de Sá et al., 2018). This  
382 higher mass concentration of nitrate attributed to inorganic nitrate, as opposed to organic nitrate which would be more  
383 similar to TDCIMS-measured cyanate, should explain the slight negative correlation between the two.

384 Hierarchical clustering separates TDCIMS-measured ions into two clusters, with Cluster 3 including TDCIMS-  
385 derived bisulfate ( $m/z$  97), chloride ( $m/z$  35 and 37), ammonium hydrate ( $m/z$  36) and potassium ( $m/z$  39 and 41). The  
386 separation of this cluster suggests that these constituents are linked to different sources or atmospheric processes  
387 compared to those in Cluster 1, potentially with an anthropogenic origin as both chloride, potassium and bisulfate  
388 have been linked previously to biomass burning and anthropogenic emissions, respectively (Allen and Miguel, 1995;  
389 Martin et al., 2010; Voisin et al., 2003). As noted previously, the bisulfate anion is stable ion formed from the thermal  
390 desorption of particulate sulfate (Voisin et al., 2003) and it is likely present in ultrafine particles via pollution emissions  
391 from Manaus. However, in-basin emissions of sulfate gaseous precursors, like dimethyl sulfide and hydrogen sulfide,  
392 could be linked to the measured bisulfate fraction during the entire ten-day period with anthropogenic sources of  
393 sulfate increasing this background level during the anthropogenic period. In-basin chloride emissions could come  
394 from both biomass burning of common regional vegetation and long range transport of marine ultrafine particles from  
395 the Atlantic Ocean under influence of the Trade Winds (Allen and Miguel, 1995; Martin et al., 2010). The clustering  
396 of AMS chloride with TDCIMS species in Cluster 3 might suggest similar sources of chloride in both ultrafine  
397 particles and PM<sub>2.5</sub>. However, it is worth noting that AMS chloride also very weakly correlated with the other species  
398 measured by the AMS. For this reason, its inclusion in this cluster indicates both that AMS chloride is similar to  
399 TDCIMS-derived Cluster 3 species and different enough so as not to cluster with the other AMS species. The  
400 production of potassium, which is potentially linked to rupturing of fungal spores and biomass burning, would have  
401 little correlation to other measured TDCIMS species, as the mechanism for the production of potassium is independent  
402 of SOA formation mechanisms.. This ion is not generally associated to constant background sources, like TDCIMS  
403 species observed in Cluster 1, and may be associated with potential anthropogenic sources, like bisulfate and chloride  
404 seen in Cluster 3. The clustering of TDCIMS ion abundances into two clusters suggests different sources and processes  
405 for these species, as there is little correlation between the species present in Cluster 1 to those present in Cluster 3.

#### 406 **4. Conclusion**

407 The chemical composition of ultrafine particles in the Amazon basin, as measured during the GoAmazon2014/5, has  
408 two distinct influences: sources and processes linked to anthropogenic origin and those related to more natural sources  
409 and processes. During periods of heavier anthropogenic influence, higher number concentrations of sub-100 nm

410 particles were observed (Figure 1). HYSPLIT back trajectories during the anthropogenic period (Figure 2) not only  
411 intersect with the Manaus metropolitan area, but with the main roadway that connects Manaus with the city of  
412 Manacapuru. Influence from anthropogenic sources, which during the study period are primarily linked to Manaus  
413 metropolitan area emissions, may continuously affect the composition of ultrafine particles observed at the T3  
414 measurement site. Particulate sulfate, measured as the bisulfate ion, was an important and dominant contributor to  
415 TDCIMS ion fraction during the anthropogenic period (Figure 3), but was still measured, to a lesser extent, in the  
416 background period, suggesting an omnipresent influence. The most abundant negative ion species measured during  
417 this campaign, likely related to organic nitrogen species at  $m/z$  42, displayed a consistent morning diurnal peak and  
418 was an equally abundant constituent during both the anthropogenic and background periods. The dominance of this  
419 ion during both this study and the 2006 MILAGO campaign in the Mexico City Metropolitan area emphasizes the  
420 potential role of organic nitrogen in ultrafine aerosol particle formation and underscores the need for further research  
421 into the chemical processes and precursors that are responsible for this ion. 3-Methylfuran, measured as  $m/z$  83, was  
422 the most dominant fraction observed in the positive ion mode and is likely associated with IEPOX derivatives present  
423 in ultrafine particles. The presence of these species emphasizes the important of isoprene oxidation to particle  
424 formation in this region. The two different clusters of TDCIMS-derived ions that arise through PCA analysis, of which  
425 Cluster 1 explains most of the variance, give additional insight into the sources and processes that influence the  
426 ultrafine particle population in this part of the Amazon basin. As hierarchical clustering separates TDCIMS-derived  
427 organic species from TDCIMS-derived sulfate and chloride, this suggests these species are present in the particle from  
428 different sources and/or processes. A third cluster separates AMS-measured compounds from those detected by  
429 TDCIMS, which emphasizes the unique characteristics of ultrafine particles compared to bulk aerosol particles. The  
430 lack of correlation between the two TDCIMS-derived clusters supports the observation that anthropogenic emissions  
431 and processes each have a unique role to play in ultrafine particle formation and growth in the Amazon basin.

#### 432 **Author contributions**

433 JNS, PA, STM, OVB, RdS, and JT designed the measurement campaign and JNS, MJL, JO, SSdS carried out  
434 measurements. HSG performed data analysis, assisted by JNS and AC. HSG prepared the manuscript with  
435 contributions from all co-authors.

#### 436 **Competing interests**

437 The authors declare that they have no conflict of interest.

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