Response to reviewers

We thank both reviewers for their useful comments on our paper. Please note that all line numbers refer to the version with *tracked changes*.

Reviewer #1

Significant comments:

However, I am very concerned whether their results are not unduly influenced - or even artefact - of the way they initialize their trajectory model.

If the initiation level is indeed 370K (and this is not a typo), then the model is essentially initialized with the driest possible state in the colder regions (over the cold Western Pacific, the tropopause is around 370K), and it is trivial that the model has a dry bias below that level - which is a problem particularly for the 100hPa level. (I should add that the display of data on pressure levels - necessary for MSL - makes it very difficult for the reader to understand whether the model is initialized above or below that pressure level.) Above 370K, this model may have trajectories that never experienced a true cold point, but the biggest problem is below that level: in this model, anything below 370K is populated only by descending pathways - and none have just directly come up from the troposphere (which can be expected to be at local saturation, and hence much moister). This most certainly biases the results strongly.

The serious concerns with the initialization preclude further discussion of the results since the quantitative numbers for convective moistening may be strongly affected. This paper tackles an important problem, but the authors need to demonstrate that their results are not unduly influenced by the initialization - which should be done in the troposphere and not at the tropopause. Major revisions are therefore inevitable, unfortunately.

This is a good point. We have re-run all the trajectory models with parcels initialized at 360 K. The 360-K potential temperature is above the average level of zero heating rates and below the cold point level, so parcels will ascend upon initialization and experience the cold point. For MERRA-2, the average heating rates below ~365 K in the NH subtropics are negative. To deal with this problem, we released those parcels above the level of zero heating rates for MERRA-2 simulations. See detailed information on our new initialization at 360 K (Section 2.4, Lines 218-255).

We have updated all our trajectory results (Figures 1-2 and Figures 5-9) and discussion accordingly throughout the paper.

While some quantitative details of the analyses have changed, our conclusion is unchanged: The trajectory models are still unable to simulate the seasonal cycle in the NH subtropics when water vapor is influenced only by temperature; Our simulations still show that convective ice evaporation is important for the NH subtropical seasonal cycle.

Minor comments:

Further - are the authors really initializing the trajectories in the extratropical stratosphere up to 60 degrees latitude with 200ppmv as stated in the text? This seems dramatically off - I am puzzled how this would produce the (reasonably looking) patterns shown in Figure 5?

The answer is, yes, we initialize parcels well into mid-latitudes. The reason these parcels do not impact the 100-hPa water values is that most of these mid- and high-latitude parcels are descending, so they never reach 100 hPa. Any that do ascend and advected into the TTL are dehydrated by cold TTL temperatures, so their water vapor values are set by TTL temperatures by the time they get to 100 hPa. We have edited the texts in the paper to make sure that there is no confusion (Lines 214-217 and Lines 254-255).

Reviewer #2

Since this is mostly diagnosing an output result from the GEOSCCM I dont see what the pupose of the model runs done with ERAi and MERRA-2 add to this. I think figures 1 and 2 could have been made from just using trajectories driven from GEOSCCM thus simplifying the analysis and figures. I assume that driving the trajectory model with any of these wind and temperature fields will produce similar results. Ie compare figure 5 to 1 and 2. Maybe I just missed something here.

We disagree with this comment. Without the plots showing ERAi- and MERRA2-based trajectory simulations, our paper would be a model-only analysis. We would not be able to connect the GEOSCCM results with observations. The fact that the results produced by ERAi and MERRA2 trajectory without convection look similar to those from the GEOSCCM trajectory without convection is a key link in the chain of logic of our paper. Thus, we will leave the figures in.

On page 11 line 325 it \rightarrow in.

We have updated the text. (Line 764)

1 Impact of convectively lofted ice on the seasonal cycle of water vapor

- 2 in the tropical tropopause layer
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Abstract. We use a forward Lagrangian trajectory model to diagnose mechanisms that produce water vapor seasonal cycle 8 observed by the Microwave Limb Sounder (MLS) and reproduced by the Goddard Earth Observing System Chemistry Climate 9 10 Model (GEOSCCM) in the tropical troppause layer (TTL). We confirm in both the MLS and GEOSCCM that the seasonal 11 cycle of water vapor entering the stratosphere is primarily determined by the seasonal cycle of TTL temperatures. However, we find that the seasonal cycle of temperature predicts a smaller seasonal cycle of TL water vapor between 10°N-40°N than 12 13 observed by MLSe or simulated by the GEOSCCM. Our analysis of the GEOSCCM shows that including evaporation of 14 convective ice in the trajectory model increases both the simulated maximum value of the 100-hPa 10°N-40°N water vapor 15 seasonal cycle as well as increasing the seasonal-cycle amplitude. We conclude that the moistening effect from convective ice 16 evaporation in the TTL plays a key role regulating and maintaining seasonal cycle of water vapor in the TTL. Most of the 17 convective moistening in the 10°N-40°N range comes from convective ice evaporation occurring at the same latitudes. A small contribution to the moistening comes from convective ice evaporation occurring between 10°S-10°N. Within the 10°N-40°N 18 band, the Asian monsoon region is the most important region for convective moistening by ice evaporation during boreal 19 20 summer and autumn

21 **<u>1 Introduction</u>**

- 22 Stratospheric water vapor is important for the radiative budget of the atmosphere and the regulation of stratospheric ozone
- 23 (e.g., Solomon et al., 1986; Dvortsov and Solomon, 2001). One of the key features of the tropical lower stratospheric (LS)
- 24 water vapor is its seasonal cycle often referred to as the "tape recorder" (Mote et al., 1995, 1996). The amount of water vapor
- 25 entering the stratosphere and its seasonal cycle is primarily controlled by temperatures in the tropical tropopause layer (TTL)
- 26 (Brewer, 1949; Holton et al., 1995; Fueglistaler et al., 2009). The low TTL temperatures freeze-dry the air, reducing the
- 27 water vapor mixing ratios and imprinting the seasonal cycle on air ascending into the stratosphere through the TTL (e.g.,
- 28 Mote et al., 1996; Fueglistaler, 2005; Schoeberl et al., 2008; Fueglistaler et al., 2009).
- 29 Analyses of observations have suggested that deep convection reaching the TTL may also be important for regulating the

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~(r	Deleted: by 1.9 ppmv (47%) and increases
	Deleted: by 1.26 ppmv (123%), which improves the prediction of _S water vapor annual cycle
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Stratospheric water vapor is important for the radiative budget of the atmosphere and the regulation of stratospheric ozone (e.g. Solomon et al., 1986; Dvortsov and Solomon, 2001). One of the key features of the tropical lower stratospheric (LS) water vapor is its seasonal cycle often referred to as the "tape recorder" (e.g. Mote et al., 1995; 1996). The amount of water vapor entering the stratosphere and its seasonal cycle is primarily controlled by temperatures in the tropical tropopause layer (TTL) (e.g. Brewer, 1949; Holton et al., 1995; Fueglistaler et al., 2009). The low TTL temperatures freeze-dry the air, reduce the water vapor mixing ratio to local saturation, and imprint the seasonal cycle on air ascending into the stratosphere (e.g. Mote et al., 1996; Fueglistaler, 2005; Schoeberl et al., 2008; Fueglistaler et al., 2009).

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56 amount of water vapor entering the stratosphere. Nielsen et al. (2007) and Corti et al. (2008) suggested that deep penetrating

57 convection deposits ice particles above the cold point tropopause, where ice may evaporate and cause a moistening effect.

58 This idea is also supported by observations of enrichment of the deuterated isotopologue of water vapor (HDO) in the

59 tropical LS_r(Moyer et al., 1996; Dessler et al., 2007; Steinwagner et al., 2010). The role of convective ice evaporation in the

60 stratospheric entry water vapor has also been addressed in several model studies. <u>Schoeberl et al. (2014, 2018, 2019)</u>

61 quantified the global impact of convective ice on winter 2008/2009 water vapor between 18-30 km, and concluded that, for

62 global average water vapor between 18-30 km during winter, the convective ice evaporation plays a small role, since

63 convection rarely reach the level of the tropopause cold point During El Niño events, convective ice evaporation appears to

64 play a larger role in the interannual variability of TTL and LS water vapor, (Avery et al., 2017; Ye et al., 2018). On longer

65 time scales, convective ice evaporation was found to contribute to an important fraction of the increase of stratospheric entry

66 water vapor over the next century in two chemistry-climate models (Dessler et al., 2016).

67 The goal of this paper is to investigate the impact of convective moistening on the seasonal cycle of water vapor entering the

68 stratosphere. Previous analyses have separately investigated the winter/summer impact, interannual variability, and the long-

69 term trend (Ueyama et al., 2015, 2018; Dessler et al., 2016; Avery et al., 2017; Schoeberl et al., 2014, 2018; Ye et al., 2018).

70 However, less work has been done on understanding the impact of convective ice on the seasonal cycle. The basics of the

71 water vapor seasonal cycle can be understood simply: more water vapor enters the LS during boreal summer, when TTL

72 temperatures are generally higher and vice versa during boreal winter. Observations (Fig. 1a-c) reveal that zonal mean water

73 yapor is observed to have a larger amplitude seasonal cycle in the NH subtropics near the tropopause level (e.g., Rosenlof,

74 1997; Randel et al., 1998, 2001, and references therein), despite the fact that the temperature seasonal cycle is symmetric about

75 the equator (Figs. 1b-c). We will refer to this as "the hemispheric asymmetry". At higher altitudes, the hemispheric asymmetry

76 gradually disappears (Fig. 1a) (e.g., Randel et al., 1998, 2001).

77 Previous studies have suggested that this hemispheric asymmetry structure in the water vapor seasonal cycle is due to processes

78 within the Southeast Asian monsoon and North American monsoon region, including both diabatic and adiabatic transport in

79 the TTL (Rosenlof, 1997; Randel et al., 1998; Dethof et al., 1999; Bannister et al., 2004; Gettelman et al., 2004; Pan et al.,

80 1997, 2000, Park et al., 2004, 2007; Wright et al., 2011; Ploeger et al., 2013). Indeed, the MLS data (Fig. 2c) show that the

81 summertime maxima of the 100-hPa water vapor is confined in the Asian monsoon and North American monsoon anti-

82 cyclones (Rosenlof, 1997; Jackson et al., 1998; Randel et al., 1998, 2001; Dessler and Sherwood, 2004; Randel and Park,

83 2006; Park et al., 2007; Bian et al., 2012) and become weaker above 100 hPa (Figs. 2a-b).

84 Many previous studies have investigated impact of convection within the monsoon regions on the budget of the stratospheric

85 entry water vapor. Dessler and Sherwood (2004) used a budget model with and without convection and concluded that, during

86 summer, moistening by deep penetrating convection increases the northern hemisphere (NH) extratropical water vapor at 380-

87 <u>K isentrope by 40%</u>. Fu et al. (2006) suggested that the deep convection over the Tibetan Plateau acts as a short circuit of water

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Deleted: The goal of this paper is to investigate the impact of convective ice on the seasonal cycle of water vapor in the TTL and LS. Previous analyses have focused on global impact, interannual variability, and the longterm trend (e.g. Ueyama et al., 2015; Dessler et al., 2016: Avery et al., 2017: Schoeberl et al., 2014, 2018: Ye et al., 2018). However, there is a strong seasonal cycle in LS water vapor and less work has been done on understanding the impact of convective ice. The basics of the water vapor seasonal cycle can be understood simply: more water vapor enters the LS during boreal summer, when TTL temperatures are generally higher and vice versa during boreal winter. But closer examination of the data reveals some deficiencies in this simple picture. Figures 1b-c show the MLS seasonal cycle of water vapor. At 100 hPa and 82.5 hPa, the zonal mean water vapor is observed to have maximum seasonal oscillation in the northern hemispheric subtropics (e.g. Rosenlof, 1997; Randel et al., 1998, 2001, and references therein) despite the fact that the temperature seasonal cycle is symmetric about the equator (Figs. 1b c). As water vapor is transported further upward, the hemispheric asymmetry feature in the seasonal cycle gradually disappears (Fig. 1a) (e.g. Randel et al., 1998, 2001). The lower altitude hemispheric asymmetry indicates that processes other than dehydration by largescale TTL temperatures may play a role in the LS water vapo budget.

Previous studies have suggested that this hemispheric asymmetry structure in the water vapor seasonal cycle is due to processes within the Southeast Asian monsoon and North American monsoon region, including both diabatic and adiabatic transport in the TTL and lowermost stratosphere (e.g. Rosenlof, 1997; Randel et al., 1998; Dethof et al., 1999; Bannister et al., 2004; Gettelman et al., 2004; Pan et al., 1997, 2000, Park et al., 2004; Qottelman et al., 2004; Ploeger et al., 2013). Indeed, the MLS data (Fig. 2c) show that the summertime maxima of the LS water vapor is confined in the Asian monsoon and North American monsoon anti-cyclone at 100 hPa (e.g. Rosenlof, 1997; Jackson et al., 1998; Randel et al., 1998, 2001; Dessler and Sherwood, 2004; Randel and Park, 2006; Park et al., 2007; Bian et al., 2012) and become weaker above 100 hPa (Figs. 2a-b). ¶

Other studies have investigated impact of convectively injected water vapor and overshooting deep convection within the monsoon regions on the budget of the topical LS water vapor.

146	vapor ascending across the tropical tropopause. James et al. (2008) used a trajectory model and concluded that air parcels are
147	lifted by convection over Southeast Asia and then transported into the TTL by the monsoon anticyclone, avoiding the cold
148	pool in the deep tropics. However, they pointed out that direct convective injection has a limited impact on the 100-hPa water
149	vapor budget, contributing to 0.3 ppmv of the water vapor in the Asian monsoon region. Schwartz et al. (2013) provided
150	evidence of occasional enhanced 100-hPa and 82.5-hPa water vapor by convective injection over the Asian and North
151	American monsoon regions using satellite observations. Randel et al. (2015) investigated subseasonal variations in 100-hPa
152	water vapor in <u>NH</u> monsoon regions and suggested that stronger convection leads to lower TTL temperatures in the monsoon
153	regions, which results in less LS water vapor there, thereby concluding that the LS water vapor in the monsoon regions is
154	mainly controlled by large-scale transport and TTL temperatures there. Ueyama et al. (2018) investigated the convective
155	moistening effect on 100-hPa water vapor during boreal summer. They used a trajectory model that includes cloud formation,
156	gravity waves, and convective moistening and concluded that convection moistens the water vapor averaged over 10°S-50°N
157	by 0.6 ppmv (~15%) and that convective moistening over the Asian monsoon region plays an important role.

158 The role of convective ice evaporation in the TTL during boreal summer is still under debate. Furthermore, it's impact on the

159 TTL water vapor seasonal cycle has not been fully explored. In this study, we quantitatively investigate the impact of 160 convective ice evaporation on the seasonal cycle of water vapor in the TTL.

161 2 Models and Data

162 2.1 MLS water vapor

163 We analyze here version 4.2 level 2 water vapor retrieved from the Earth Observing System (EOS) Microwave Limb Sounder (MLS) instrument on the Aura spacecraft (Livesey et al., 2017). Since August 2004, the MLS provides ~3500 vertical scans 164 of the earth's limb from the surface to 90 km each day, covering a latitude range of 82°S to 82°N with a horizontal resolution 165

166 of 1.5° along the orbit track (Lambert et al., 2007). The MLS water vapor retrieval has a vertical resolution of about 3 km in

167 the TTL, with precision at 100 hPa and 82.5 hPa of 15% and 7%, respectively. The accuracy of the water vapor at 100 hPa and 82.5 hPa is 8% and 9%, respectively (Livesey et al., 2017). We composite the daily standard water vapor between August 168

169 2004 to October 2018 to produce monthlymeans on a horizontal grid of 4° latitude by 8° longitude following the data-screening

170 in Livesey et al., (2017).

171 2.2 Ice Water Content from Cloud-Aerosol Lidar with Orthogonal Polarization

172 The Cloud-Aerosol Lidar with Orthogonal Polarization (CALIOP) is a two-wavelength polarization elastic backscatter lidar

that detects global tropospheric and lower stratospheric aerosol and cloud profiles (Hu et al., 2009; Liu et al., 2009; Vaughan 173

et al., 2009; Winker et al., 2009, 2010; Young and Vaughan, 2009; Avery et al., 2012; Heymsfield et al., 2014). We use the 174

175 CALIOP Level 2 Cloud Profile Product in version 4.2, with horizontal resolution of 5 km along-track and 60 m vertically in

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191 the TTL and LS. The CALIOP cloud Ice Water Content (IWC) is derived from a parameterized function of the CALIOP 532

nm cloud particle extinction profiles (Avery et al., 2012; Heymsfield et al., 2014). We use the IWC from all clouds minus the

193 IWC from thin cirrus clouds (clouds that are not opaque) above 146 hPa, which is a rough estimate of convective ice in the

- 194 TTL region, since the CALIOP does not separate convective from non-convective IWC measurements. These CALIOP IWC
- 195 data, obtained between May 2008 and December 2013, are then monthly averaged onto the same horizontal and vertical grids
- 196 as were used for the MLS data.

197 2.3 GEOSCCM

198 We also analyze simulations, from the Goddard Earth Observing System Chemistry Climate Model (GEOSCCM). The

- 199 GEOSCCM couples the GEOS-5 general circulation model (Rienecker et al., 2008; Molod et al., 2012) to a comprehensive
- 200 stratospheric chemistry module (Oman and Douglass, 2014; Pawson et al., 2008). The GEOSCCM uses a single-moment
- 201 cloud microphysics scheme (Bacmeister et al., 2006; Barahona et al., 2014). The run analyzed here starts in 1998 and ends in
- 202 2099 and driven by the Representative Concentration Pathway (RCP) 6.0 greenhouse gas scenario (Van Vuuren et al., 2011)
- 203 and the A1 scenario for ozone depleting substances (World Meteorological Organization, 2011). Sea surface temperatures
- and sea ice concentrations were prescribed from Community Earth System Model version 1 simulations (Gent et al., 2011).
- 205 The model has a horizontal resolution of 2°latitude by 2.5°longitude and 72 vertical levels up to the model top at 0.01 hPa
- 206 (Molod et al., 2012),

207 2.4 Trajectory Model

208 We also use the forward, domain filling, diabatic trajectory model described in Schoeberl and Dessler (2011) and updated in

- 209 subsequent publications. The trajectory model uses 6-hourly instantaneous horizontal winds and 6-hourly average diabatic
- 210 heating rates to advect parcels using the Bowman trajectory code (Bowman, 1993; Bowman and Carrie, 2002)
- 211 Meteorological fields used to drive the model in this paper come from the European Centre for Medium-Range Weather
- 212 Forecasts (ECMWF) ERA-interim (ERAi), and Modern-Era Retrospective analysis for Research and Applications-2
- 213 (MERRA-2) (Molod et al., 2015; Gelaro et al., 2017), and the GEOSCCM.
- In this study, the trajectory model initializes 1350 parcels daily in the upper troposphere on an equal area longitude-latitude
- 215 grid covering 0-360° longitude and \pm 60° latitude, and with initial water vapor mixing ratio of 200 parts per million by volume
- 216 (ppmv). This value is well above saturation, so the parcels are dehydrated to saturation after the first time step of the
- 217 trajectory model run. Sensitivity tests show that our results are not impacted by the initialization values.
- The initialization level is at 360-K potential temperature, which is above the average level of zero heating (~355-360 K)
- (Fueglistaler et al., 2009) but below the tropical cold point. In the MERRA-2, the average heating rates below ~365 K in the
- 220 NH subtropics are negative during boreal summer (not shown), which results in parcels in that region immediately

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Moved down [1]: here starts in 1998 and ends in 2099 and driven by the Representative Concentration Pathway (RCP) 6.0 greenhouse gas scenario (Van Vuuren et al., 2011) and the A1 scenario for ozone depleting substances (World Meteorological Organization, 2011). Sea surface temperatures and sea ice concentrations were prescribed from Community Earth System Model version 1 simulations (Gent et al., 2011). The model has a horizontal resolution of 2°latitude by 2.5°longitude and 72 vertical levels up to the model top at 0.01 hPa (Molod et al., 2012).

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247 descending back to the troposphere after initialization. To deal with this problem, we initialize parcels at 360 K in MERRA-248 2 simulations. But if the local heating rate at 360 K is negative, we raise the initialization level to the lowest isentropic level 249 with positive heating rate at the same horizontal position. However, we note that the level of zero heating rate is higher (~370 K) over the NH monsoon regions in MERRA-2. Releasing parcels at ~370 K over the NH monsoon regions results in 250 251 insufficient dehydration and a moist bias there (Schoeberl et al., 2013; Uevama et al., 2018). To avoid this bias, we set the 252 local initialization level to 366 K (1 K above the tropical average level of zero heating rate) for those parcels. At the end of 253 each day, parcels below the 250-hPa pressure surface or above the 5000-K isentrope are removed because they are 254 considered outside of the model boundaries. We note that the parcels initialized at mid-latitudes mostly descend into the 255 troposphere. 256 Along each trajectory, an instant dehydration scheme is used. In this scheme, anytime the relative humidity (hereafter RH, 257 always with respect to ice) exceeds the dehydration threshold, water vapor is instantly removed to reduce the parcel's RH to 258 the dehydration threshold. The RH calculation uses 6-hourly temperatures linearly interpolated in time and space to parcel 259 locations at each time step; the RH is computed using the saturation mixing ratio at that temperature Murphy and Koop 260 (2005). The pre-set dehydration threshold is 100% RH for the ERAi trajectory runs and MERRA-2 trajectory runs. For the

261 GEOSCCM trajectory runs, the pre-set dehydration threshold is 80% RH, since in the GEOSCCM dehydration occurs when
 262 the grid-average RH is around this value (Molod et al., 2012). The same parameterization for the pre-set RH threshold of
 263 80% was used successfully analyzing the water vapor interannual variability in the GEOSCCM in Dessler et al. (2016) and
 264 Ye et al. (2018). We will refer to this version as the "standard" trajectory model – another version that includes ice

265 evaporation will be introduced later.

266 As an alternative to instant dehydration we can <u>run</u> a cloud model along the trajectory model, which is described in Schoeberl et al. (2014). The cloud model triggers ice nucleation at a prescribed nucleation RH (NRH) threshold and the number of ice 267 268 particles produced upon nucleation is proportional to the parcel cooling rate using the relationship derived by Kärcher et al. 269 (2006). The ice mixing ratio is carried with the parcel along with number of crystals and size. Ice crystal distribution has a 270 single size mode that varies as the parcels grow or sublimate. Gravitational sedimentation reduces the total ice amount within 271 the parcel. Ice crystals are assumed to be spheres which is reasonable for small crystals in the upper troposphere (Woods et 272 al., 2018). The cloud model uses a fixed cloud geometrical thickness of 500 m based on the TTL cloud thickness distribution 273 observed by CALIOP (Schoeberl et al., 2014). We also assume that ice falling out of the cloud slowly sublimates in sub-274 saturated layers well below the cloud. The cloud model incorporates more realistic physics than the instant dehydration scheme we use in the standard trajectory model and it produces good agreement with observational data from aircraft flights (Schoeberl 275 276 et al., 2015). The physics in the cloud model has a net effect of slowing down the parcels' dehydration rate and increasing

277 water vapor in the LS compared to the instant dehydration scheme (Schoeberl et al., 2014).

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305 All the trajectory model runs include methane oxidation as a water source as described in Schoeberl and Dessler (2011), but

306 this process is unimportant in the TTL and LS. We start all trajectory models on 1/1/2000 and analyze the model results from

307 2005 to October 2018, so that we can compare the ERAi and MERRA-2 driven trajectory results to the MLS observations.

308 The GEOSCCM is a free-running model, so interannual variability of the model will not match MLS observations. We will

309 therefore compare a multi-year average of the GEOSCCM to observations.

310 **3 Results**

311 3.1 Impact of convective moistening on the seasonal cycle

312 Figures 1d-i show the water vapor seasonal cycle at 100 hPa, 82.5 hPa, and 68 hPa simulated by the standard trajectory model 313 driven by ERAi, and MERRA-2 in which dehydration is entirely driven by temperature and there is no convective influence 314 (See Table 1 for summary of the trajectory model cases). To compare with the MLS, we averaged the trajectory water vapor fields in the vertical using the MLS averaging kernels following the instructions from Livesev et al. (2017). The trajectory 315 316 models fail to produce the hemispheric asymmetry, the larger water vapor seasonal cycle in the NH subtropics in August-317 September at 100 hPa and 82.5 hPa (Figs. 1e-f and 1h-i). Specifically, the ERAi and MERRA-2 trajectory models underestimate the 100-hPa seasonal amplitude over 10°N-40°N by 0.5 ppmv (24%) and 0.89 ppmv (43%) respectively. At 68 318 319 hPa, the trajectory models agree with the MLS that the seasonal cycle is approximately centered over the equator, although 320 they underpredict the MLS (Figs. 1a, 1d, and 1g). During June-July-August (JJA) (Figs. 2d-i), the trajectory models 321 underestimate the maxima over the Asian and North American monsoon regions (Figs. 2e-f, 2h-i), which agrees with Ueyama 322 et al. (2018) who also showed that the trajectory model driven by the ERAi without any convective influence fails to reproduce 323 the boreal summer maxima. At 68 hPa, the monsoonal maxima are nearly gone (Figs. 2d and 2g). 324 We also ran the ERAi and MERRA-2 simulation with the cloud model described in Section 2.4 operating along the trajectory 325 model, with 100% NRH (Table 1). Note that this version of the trajectory model does not have any convective ice in it, so 326 water vapor is still regulated entirely by TTL temperatures. Figures 1i-o show that the cloud model produces larger water vapor 327 values in the seasonal cycles at 100 hPa, 82.5 hPa, and 68 hPa. There is also a slight increase in the seasonal maximum poleward of 20°N (Figs 11 and 10) at 100 hPa. The ERAi and MERRA-2 trajectory models with the cloud model increase the 328 329 10°N-40°N seasonal amplitude at 100 hPa by 0.1 ppmv (6%) and 0.08 ppmv (7%) - a small improvement compared to the 330 instant dehydration scheme. However, the cloud model doesn't help reproduce the observed hemispheric asymmetry in the 331 seasonal cycles at 100 hPa and 82.5 hPa - it basically increases water vapor both north and south of the equator. During JJA

- 332 (Figs. 2l and 2o), the cloud model increases the 100-hPa water vapor values over the Asian monsoon and North American
- 333 monsoon regions, but there is still an underestimation compared to the MLS. We note that the NRH threshold of 100% can be
- 334 too low, since previous observations showed that the NRH can be as high as 160%-170% in the TTL region during winter

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Deleted: 2e, 2f, 2h, and 2i). At 68 hPa, the monsoonal maxima are nearly gone and the trajectory models do a reasonable job of simulating the spatial patterns (Figs

Deleted: However, the cloud model doesn't help reproduce the hemispheric asymmetry feature in the seasonal cycles at 100 hPa and 82.5 hPa - it basically increases water vapor both north and south of the equator. During JJA (Figs. 2l and 20), the cloud model helps reproduce the 100-hPa water vapor maxima over the Asian monsoon and North American monsoon regions, but it results in overestimated water vapor values over the Southern hemispheric subtropics. Thus, regardless of dehydration scheme, models that regulate water vapor only through TTL temperatures and large-scale transport do not reproduce important features of the TTL/LS water vapor seasonal cycle, including the observed hemispheric asymmetry.

356 (Jensen et al., 2013). Schoeberl et al. (2016) showed that the sensitivity of trajectory simulated water vapor to the NRH 357 threshold is 0.1-0.2 ppmv per 10 percent NRH, and that an NRH threshold of 140-145% in the trajectory model produces water 358 vapor in better agreement with the MLS observations during winter. However, our result regarding the hemispheric asymmetry 359 and boreal summer maxima agrees with Ueyama et al. (2018), who set the NRH threshold to 160%, indicating that the 360 hemispheric asymmetry is not sensitive to the choice of NRH threshold. Thus, regardless of dehydration scheme, models that 361 regulate water vapor only through TTL temperatures and large-scale transport do not reproduce important features of the 100 362 - 82.5 hPa water vapor seasonal cycle, including the observed hemispheric asymmetry. 363 Our hypothesis is that convective moistening is causing the hemispheric asymmetry in the TTL water vapor seasonal cycle. 364 Previous analyses (e.g., Ueyama et al., 2018) have attempted to test this idea by directly incorporating observed convection into the trajectory model and then evaluating how agreement with water vapor observations improved. However, estimating 365 366 convective height from passive infrared measurements is difficult and Ueyama et al. (2018) noted that errors in the convective heights created issues in their analysis. Given this significant uncertainty in an observation-only approach, we 367 therefore take a different tack. We perform a parallel analysis with the GEOSCCM, a model that we show below reproduces 368 369 the hemispheric asymmetry and we will examine the causes of the asymmetry in that model and then evaluate whether we 370 think that is what is going on the real world. 371 In our analysis, we first run the standard trajectory model driven by meteorology from the GEOSCCM which, like the 372 standard models analyzed above, uses instant dehydration to regulate water vapor exclusively through TTL temperatures. 373 We also run a second version of the trajectory model, the "ice model", in which we add the convective moistening to the

374 trajectory model.

375 The GEOSCCM outputs convective ice at every step. To add convective moistening to our trajectory model, we linearly

376 interpolate the GEOSCCMs' 6-hourly three-dimensional convective ice field to the location and time of each trajectory's

377 time step. Then, at each time step, we assume complete evaporation of the ice into the sub-saturated parcels by adding the ice

378 water content to the parcels' water vapor — although we do not let parcels exceed the pre-set RH threshold of 80%. This is

379 similar to the convective moistening scheme used by Schoeberl et al. (2014), who used MERRA anvil ice to facilitate the

380 convective moistening in the trajectory model. After each encounter, we do not allow parcels to carry any remaining

381 convective ice downstream as Schoeberl et al. (2014) did in their ASC case. Ueyama et al. (2018) used a similar convective

382 moistening scheme, where they saturated the column model up to the observed cloud top when a parcel's trajectory

383 intersects a convective cloud. Because we assume instant dehydration and instant evaporation of the ice, we consider the

384 convective moistening in our trajectory model runs to be an upper limit of the impact of convective ice evaporation on the

385 TTL water content in the GEOSCCM (Dessler et al., 2016).

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404 <u>To test if GEOSCCM convective ice field is realistic</u>, we compare GEOSCCM convective ice with CALIOP ice data (ppmv)

405 (Figures 3 and 4). For the CALIOP, we show IWC from all clouds minus IWC from thin cirrus clouds (not opaque), above

406 146 hPa, which is a rough estimate of convective ice in the TTL region, although it is almost certainly an underestimate of true

407 convective ice amount. There's general agreement between the spatial pattern of GEOSCCM and CALIOP convective ice.

408 However, the GEOSCCM generally produces more convective ice and higher convective top altitudes than the CALIOP, To

409 address these problems in the GEOSCCM, we also show the GEOSCCM convective ice field reduced by 80% (0.2ice), which

410 brings tropical GEOSCCM convective ice into better agreement with the CALIOP values at 121 hPa and above (Figs. 3e-f and

411 4e-f). We show below two sensitivity tests that show our results are not sensitive to the overestimation of convective IWC and

412 <u>convective top altitude by the GEOSCCM</u>

The water vapor seasonal cycles from the GEOSCCM and various GEOSCCM trajectory model runs (Table 1) are shown in Fig. 5. These have been re-averaged in the vertical using the MLS averaging kernels (Livesey et al., 2017) to facilitate comparison with MLS. We focus on the 100-hPa level, where the hemispheric asymmetry is strongest. We note that the 100hPa level is in the TTL and is not strictly above the tropopause, especially in the summer NH monsoon region. However,

417 processes on this level play a key role in determining stratospheric water vapor (Fueglistaler et al., 2009).

The GEOSCCM reproduces the hemispheric asymmetry seen in the MLS observations (compare Fig. 5a with Fig. 1c), and shows that during JJA the 100-hPa water vapor maxima are located over the Asian monsoon and North American monsoon regions (compare Fig. 5b with Fig. 2c). The standard trajectory model driven by GEOSCCM meteorology, which regulates water entirely through TTL temperatures, does not reproduce the hemispheric asymmetry (Fig. 5c). That model also underestimates the JJA water vapor values in the Asian monsoon region and North American monsoon region (Fig. 5d). These results are similar to the comparison between MLS and the standard trajectory models driven by ERAi and MERRA-2 (Figs. 1f, 1i, 2f, and 2i)

425 Fig. 6 shows the 100-hPa water vapor seasonal cycles in the <u>NH</u> subtropics (10°N-40°N), deep tropics (10°S-10°N), and 426 southern hemispheric subtropics (10°S-40°S). To aid in comparison, we have subtracted the annual mean from each data set. 427 The standard model generally agrees well with the GEOSCCM and MLS in the 10°S-10°N and 10°S-40°S region (Figs. 6b-428 d). This suggests that the water vapor seasonal cycle in those regions is mainly controlled by the TTL temperatures and large-429 scale transport and implying that other factors, including convective ice evaporation, are less important. In the 10°N-40°N 430 region, however, the standard model does a poor job, <u>underestimating the MLS and GEOSCCM seasonal amplitude by 1.15</u> 431 ppmv (55%) and 1.23 ppmv (57%) (Figs. 6a and 6d).

432 If we add convective ice evaporation to the trajectory model, then the models show a clear hemispheric asymmetry in the 100-

433 hPa water vapor seasonal cycle and more pronounced seasonal maxima over the monsoon regions (Figs. 5e-h). Fig. 6 shows

that the ice model and the 0.2 ice model (the trajectory model where we add 0.2 ice as shown in Figs. 3e-f) produce boreal

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Deleted: IWC, which sets the groundwork for our

Deleted: moistening scheme. One clear difference is that

Deleted: IWC fields cover a narrower latitude range

Deleted: IWC (Fig. 3) – in particular, there is a tail of IWC in the CALIOP data in the DJF mid-latitudes that is missing in the GEOSCCM. Additionally,

Deleted: tends to have higher amounts of ice at each altitude level below about 100 hPa. The spatial pattern of CALIOP IWC (Fig. 4) is well reproduced by

Deleted: IWC, although the GEOSCCM generally has smaller values as expected since stratiform clouds aren't included in

Deleted: convective IWC.

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Deleted: The GEOSCCM agrees with the MLS (Fig. 1c) that the 100-hPa water vapor has a larger seasonal oscillation over 10°N-40°N than 10°S-40°S, and

(Deleted: Figs. 5a-b).

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Deleted: Fig. 1f and 1i). The ice model, which includes evaporation of convective ice, shows a clear hemispheric asymmetry in the LS water vapor seasonal cycle and more pronounced seasonal maxima over the monsoon regions (Figs. 5e and 5f). Specifically, compared to the standard model, evaporation of convectively lofted ice increases the maximum value of the 10°N-40°N water vapor seasonal cycle by 1.9 ppmv (47%) in September.

Deleted: These results suggest that convective ice evaporation is important to the water vapor seasonal cycle in the northern hemispheric subtropics in the GEOSCCM. Dessler et al. (2016) analysed this same GEOSCCM run and showed that ice evaporation is required to accurately simulate the long-term trend in stratospheric water vapor. Our results are also similar to that obtained by Ye et al. (2018), who also analysed this GEOSCCM and showed that ice evaporation is required to reproduce the model's interannual variability of tropical LS water vapor. They found that the obseryed []

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511	summer and autumn	water vapor values	s in the 10°N-40°N	much closer to the	GEOSCCM and MLS.	The ice model and the

512 0.2ice model increase the 10°N-40°N seasonal maximum by 2.39 ppmv (63%) and 1.65 ppmv (44%), and increase the seasonal

513 amplitude by 1.55 ppmv (169%) and 1.03 ppmv (112%) (Figs. 6a and 6d). This means convective ice evaporation is particularly

514 important to the 100-hPa water vapor mixing ratio in NH subtropics during boreal summer and autumn, thereby playing a key

515 role in the seasonal cycle there.

516 Fig5e shows that our ice model generates too much water vapor, consistent with too much IWC in the TTL. Given that the

517 GEOSCCM's water vapor fields are reasonable (e.g., Fig. 5a vs. Fig. 1c), this further emphasizes that our instant dehydration

518 model evaporates too much water vapor, thus yielding an upper limit of the impact of ice evaporation. It may also indicate a

519 cancelling error in the GEOSCCM: too much water from ice cancelling a too low dehydration threshold (80%). Clearly, more

520 research on this question is warranted.

521 We ran another GEOSCCM trajectory ice model to test the sensitivity of water vapor at 100 hPa to convective ice altitude.

522 This was in response to our observation that convective ice in the GEOSCCM went too high into the stratosphere compared

523 to the CALIOP (Fig. 3a vs. Fig. 3c), and we wanted to see if this influences our results. In this test run, we do not allow any

524 ice above the 90-hPa surface to evaporate, so that we eliminate any convective influence that is above that altitude. The zonal

525 mean seasonal cycle and JJA water vapor at 100 hPa from this run is shown in Figs. 5i-j. The difference between the seasonal

 $\frac{1}{22}$ cycles from the ice model and this test run is less than 0.3 ppmv between $30^{\circ}S - 30^{\circ}N$. The larger moisture difference at higher latitudes comes from convective moistening in the lowermost stratosphere. However, the hemispheric asymmetry is well

528 reproduced by this test run. We thereby conclude that the impact of convective ice evaporation on the 100-hPa water vapor

529 seasonal cycle is insensitive to convective ice occurrence that is too high in altitude.

530 These results suggest that convective ice evaporation in the TTL is important to the 100-hPa water vapor seasonal cycle in the

531 <u>NH subtropics in the GEOSCCM. Combined with the fact that the GEOSCCM has reasonable water vapor and convective</u>

532 fields, and that our results are insensitive to errors in the IWC amount and convective altitudes in the GEOSCCM, we believe

533 this is a plausible explanation for the hemispheric asymmetry. That plausibility is strongly supported by the lack of a competing

534 hypothesis for the asymmetry.

535 3.2 Source regions of convective ice evaporation

536 <u>Our result</u> begs the question of which region contributes most to this convective moistening? Here we define the quantity *net*

537 *convective moistening* to be the water vapor mixing ratio in the ice model minus that in the standard trajectory model. The net

538 convective moistening thus represents the net water vapor added by convective ice evaporation. In this section, we investigate

539 the regional contribution to net convective moistening in the NH subtropics in the GEOSCCM, so we don't use the MLS

540 averaging kernels in the vertical direction, as we did in Section 3.1. The net convective moistening in the NH subtropics

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Deleted: We note that the ice model does a good job reproducing the seasonal variations in the 10°N-40°N region (Fig. 6), but the absolute water vapor values it produced are generally overestimated compared to the GEOSCCM and MLS (Fig. 5). This is likely because the convective moistening scheme we used in the trajectory model instantly evaporates convective ice and hydrates parcels to the saturation threshold. We did another GEOSCCM trajectory analysis, in which we specify that evaporation relaxes the RH towards 80% with an e-folding time scale τ of 6 hours. Figures 5g-h show that this finite time ice evaporation scheme helps reduce the overestimation and produces water vapor values closer to the GEOSCCM. This reinforces the idea that the ice model we use in this paper provides an upper limit of the impact of convective ice evaporation in the water content of the TTL and LS (Dessler et al., 2016)."

Deleted: Our results suggest that convective ice evaporation contributes an important part of the water vapor seasonal cycle in the 10°N-40°N region. This then

Deleted: We also quantify the rate of convective ice evaporation in the ice model.

seasonal maximum and seasonal amplitude is therefore 2.69 ppmv and 1.68 ppmv - slightly different from the values we show

562 in Fig. 5. We also note that the 100-hPa net convective moistening value in the 10°S - 50°N domain produced by our

563 GEOSCCM analysis during boreal summer is larger than the value of 0.6 ppmv produced by the observational analysis of

564 Ueyama et al. (2018)'s observational analysis. This is because the combination of instant dehydration scheme and instant ice

565 evaporation scheme we use in the trajectory model lead to larger net convective moistening. This also reinforces the idea that

the ice model we use in this paper provides an upper limit of the impact of convective ice evaporation on the 100-hPa water

567 content in the GEOSCCM (Dessler et al., 2016). Thus, we view our results to mainly be qualitatively useful.

 $\frac{\text{We also quantify the convective evaporation rate in the ice model.}}{\text{Ye also quantify the convective evaporation rate in the ice model}}. To do this, we record the location and amount of water$ vapor added to each parcel from ice evaporation on every time step. We then grid and average these values to produce a threedimensional field of the ice evaporation rate (in units of ppmv day⁻¹). Note that water vapor added by convection will notnecessarily make it into the stratosphere — the added water vapor may be removed in subsequent dehydration events.

572 Fig. 7a and 7b show that convective evaporation rate generally follows the IWC. However, we see that the highest ice

573 evaporation rates and net convective moistening (Fig. 7d) in regions where IWC is high and RH (Fig. 7c) is low (Dessler and

574 Sherwood, 2004). In regions where both IWC and RH are high, evaporation is suppressed, and any air that is moistened by

575 evaporation is rapidly re-dehydrated.

576 To determine how evaporation in different regions contribute to the 10°N-40°N seasonal cycle, we separately track the amount

577 of water vapor produced by evaporation in specific latitude bands. Fig. 8 shows the seasonal cycle of net convective moistening

578 at 100 hPa averaged in the 10°N-40°N region contributed by evaporation of convective ice between 10°N-40°N and 10°S-

579 10°N. We note that, to obtain the net convective moistening and fractions contributed by specific latitude bands, we have not

580 <u>subtracted</u> annual mean from the seasonal cycles in this plot like we did in Fig. 6.

581 During the winter (DJF), contributions from ice evaporation between 10°S-10°N and 10°N-40°N are about even, <u>with slightly</u> 582 <u>larger contribution from 10°S-10°N. During</u> the summertime (JJA), <u>however</u>, evaporation of convective ice in the 10°N-40°N 583 region is the dominant contributor to the net convective moistening. Specifically, it contributes to <u>63% (17 ppmv</u>) and <u>59%</u> 584 (0.9 ppmv) of the net convective moistening in the 10°N-40°N water vapor seasonal maximum (September) value and seasonal 585 amplitude, <u>respectively</u>. Convective ice evaporation between 10°S-10°N plays a smaller role, contributing to <u>31% (0,83 ppmv</u>) 586 and <u>17% (0,28 ppmv</u>).

587 Next, we investigate net convective moistening in the <u>100-hPa</u> 10°N-40°N water vapor seasonal cycle contributed by specific regions within the 10°S-40°N domain. To do this, we divide the 10°S-40°N domain into 12 equal-area boxes. We <u>average the</u> net convective moistening contributed by each of these boxes using the same method we used to calculate the contribution by **Deleted:** 7a shows that from January to May, the convective IWC is abundant in the deep tropics between 20°S-20°N, but it doesn't produce large ice evaporation rates (Fig. 7b) or large net convective moistening (

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Deleted: 7d). This is a consequence of high RH during this period (Fig. 7c), which suppresses evaporation of convectively lofted ice. From June to September, on the other hand, RH is lower, so while there is less ice lofted in the TTL, it efficiently evaporates. This can be seen in Figs. 7b and 7d, which show maximum ice evaporation rates and net convective moistening during this time, located between 10°S-40°N, where the convective IWC is abundant. Between 10°S-40°S, however, there is little convective IWC available even though the RH is low, resulting in small evaporation rates and net convective moistening. Thus, the ice evaporation rate and net convective moistening are due to a combination of available convective IWC abundance and RH below saturation

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 $\label{eq:Deleted: the 10^{\circ}N-40^{\circ}N water vapor seasonal cycle is largely contributed by local convective ice evaporation. But there is also a large evaporation rate between 10^{\circ}S-10^{\circ}N ($

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Deleted: 7b). To determine if this tropical evaporation is contributing Deleted: in the 10°N-40°N region that is Deleted: of convective ice (net convective moistening) between 10°N-40°N and 10°S-10°N. Fig. Deleted: absolute values of Deleted: do Deleted: subtract Deleted: but during Deleted: 46 Deleted: (71%) Deleted: 1.09 Deleted: (86%) Deleted: Deleted: 50 Deleted: (24.7%) Deleted: 12 Deleted: (9.9%) of the net convective moistening in the 10°N-40°N water vapor seasonal maximum value and seasonal amplitude. Deleted: calculate

 $\begin{array}{l} 635 \quad 10^{\circ}\text{N}-40^{\circ}\text{N} \text{ and } 10^{\circ}\text{S}-10^{\circ}\text{N}. \text{ Fig. 9 shows the contribution from each box region to the net convective moistening in the <u>100-</u>$ $636 \quad \underline{\text{hPa}}_{1}10^{\circ}\text{N}-40^{\circ}\text{N} \text{ water vapor seasonal maximum value in September and the seasonal amplitude.} \end{array}$

We find that contribution from the box regions over Southeast Asia (10°N-40°N, 60°E-120°E), subtropical Western Pacific 637 638 (10°N-40°N, 120°E-180°E), and North America (10°N-40°N, 120°W-60°W) dominate. The Southeast Asia region is most 639 important, contributing to 20% (0.54 ppmv) and 20% (0.2 ppmv) of the net convective moistening in the 10°N-40°N water 640 vapor seasonal maximum value and seasonal amplitude, respectively. This conclusion is consistent with Ueyama et al. (2018), 641 who showed that parcels in the 10°S-50°N domain at 100 hPa are mainly hydrated by convection over Southeast Asia. 642 Specifically, they showed that convection over the Asian monsoon region (0-40°N,40°E-140°E) contributes approximately 50% of the total convective moistening (10°S-50°N) at 100 hPa during August 2007. We computed the contribution from the 643 same domain and got a contribution of 36%. The reason we produce a smaller contribution from this domain is that the 644 645 GEOSCCM produces more convective ice over the tropical west Indian Ocean (Fig. 4), which results in larger convective 646 moistening contributed by that region.

647 The subtropical Western Pacific also contributes to the net convective moistening in the <u>100-hPa</u> 10°N-40°N water vapor 648 seasonal cycle. This is due to the abundant convective <u>ice</u> over the subtropical west Pacific (Fig. 4b), which is likely related to

649 the east-west oscillation of the Asian monsoon anticyclone (Pan et al., 2016; Luo et al., 2018). The North America region is

less important in the ice model, contributing to 12% (0,2 ppmv) and 13% (0,21 ppmv) of the net convective moistening in the

651 10°N-40°N water vapor seasonal maximum value and seasonal amplitude. The GEOSCCM underestimates the observed

652 convective ice over the North American monsoon above 120 hPa (not shown), which may cause the contribution from the

653 North American region to be underpredicted.

654 4.Summary

In this study, we <u>investigated</u> mechanisms that drive the seasonal cycle of water vapor in the <u>TTL</u>. We use a Lagrangian trajectory model (Schoeberl and Dessler, 2011) to <u>analyze</u> the seasonal cycle in observations of water vapor made by the

algeboly moder (behoever) and Dessier, 2011) to analyze the seasonal open in observations of water rapor made by the

657 Microwave Limb Sounder (MLS) (Lambert et al., 2007; Livesey et al., 2017) as well as simulated fields from the Goddard

- Earth Observing System Chemistry Climate Model (GEOSCCM) (Rienecker et al., 2008; Molod et al., 2012; Pawson et al.,
- 659 2008; Oman and Douglass, 2014).

660 Water vapor's seasonal cycle in the <u>TTL and tropical lower stratosphere (LS)</u>, sometimes referred to as the "tape recorder,"

has highest values of water vapor entering the stratosphere during <u>NH</u> summer. We confirm in both the MLS observations and

in the GEOSCCM that this is mainly due to the seasonal cycle of TTL temperatures. However, closer examination of the data

663 reveals some deficiencies in this simple picture. Both the MLS and GEOSCCM show that the water vapor seasonal cycle in

664 the TTL has a hemispheric asymmetry, with maximum seasonal cycle between 10°N-40°N, despite the fact that the TTL

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temperature seasonal cycle is symmetric about the equator (e.g., Rosenlof, 1997; Randel et al., 1998, 2001, and references

689 therein). The hemispheric asymmetry is strongest at 100 hPa. Trajectory models that only regulate TTL and tropical LS water

690 vapor using temperatures (Schoeberl and Dessler, 2011) from ERAi, MERRA-2, and GEOSCCM all produce weaker water

691 vapor seasonal cycles between 10°N-40°N compared to the MLS and GEOSCCM. These indicate that the 100-hPa seasonal

692 oscillation between 10°N-40°N is too large to be simply explained by TTL temperatures.

693 Recent studies suggested that evaporation of convective ice in the TTL also contributes to the amount of water vapor entering

the stratosphere (Nielsen et al., 2007; Corti et al., 2008; Steinwagner et al., 2010; Dessler et al., 2016; Ueyama et al., 2015,

695 2018 Schoeberl et al., 2014, 2018; Ye et al., 2018). To better understand this, we analyze a chemistry-climate model where

696 evaporation of convective ice is known to add water to the TTL (Dessler et al., 2016; Ye et al., 2018). Previous work (Ye et

697 al., 2018) has shown that the <u>behavior</u> of the <u>GEOSCCM in the TTL is reasonable and agrees well with observations</u>. 698 Comparisons with Cloud-Aerosol Lidar with Orthogonal Polarization (CALIOP) observations (Hu et al., 2009; Liu et al., 2009;

Vaughan et al., 2009; Winker et al., 2009, 2010; Young and Vaughan, 2009; Avery et al., 2012; Heymsfield et al., 2014), show

700 that the GEOSCCM IWC has too much ice in the TTL, but we used two sensitivity tests to show that our results are not

701 sensitive too these disagreements.

702 Using a version of the trajectory model driven by GEOSCCM meteorology that includes evaporation of GEOSCCM convective 703 ice, we obtained a more accurately simulated seasonal cycle of the 100-hPa water vapor between 10°N-40°N and the 704 hemispheric asymmetry compared to the GEOSCCM. We showed results where the GEOSCCM's IWC is reduced to 20% of 705 the original value, and that did not affect our conclusions. In addition, our results are also not sensitive to GEOSCCM putting 706 convective ice too high in altitude (above 90 hPa). In these runs, adding convective ice to the trajectory model increases the 707 100-hPa 10°N-40°N seasonal maximum by 1.65 ppmv (44%), and increases the seasonal amplitude by 1.03 ppmv (112%). 708 We note that our estimate of convective moistening in the NH subtropical seasonal cycle in the GEOSCCM is larger than the 709 value produced by previous studies based on observations (e.g., Ueyama et al., 2018). This could be due to overestimates of 710 IWC by the GEOSCCM or because the instant dehydration scheme and instant ice evaporation scheme we use lead to a greater 711 convective impact on water vapor values overall. Therefore we regard our results as providing insight for understanding the 712 observations, but we caution against assuming that the numbers we calculate for ice evaporation in the GEOSCCM are 713 quantitatively accurate estimates of our atmosphere's values. 714 The majority of the convective moistening at 100-hPa and between 10°N-40°N is contributed by convective ice evaporation

715 in the 10°N-40°N latitudinal range during boreal summer. The maximum convective ice evaporation in this region is due to

716 available convective jee and relative humidity low enough to allow it to evaporate (Dessler and Sherwood, 2004). Ice

717 evaporation between 10°N-40°N contributes to 63% and 59% of the net convective moistening in the 100-hPa 10°N-40°N

718 water vapor seasonal maximum value and seasonal amplitude. Between 10°N-40°N, the Asian monsoon region plays the most

719 important role in convective moistening by ice evaporation. Convective ice evaporation in other regions, including the deep

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tropics between 10°S-10°N, has a smaller influence in 100-hPa water vapor between 10°N-40°N. However, since the 756

757 GEOSCCM underestimates the observed convective ice over the North American monsoon above 120 hPa (not shown), it is

758 likely that this causes an underestimation of the moistening effect of convective ice over the North American region. Previous

759 studies showed that the ratio of isotopic water vapor (HDO), an indicator of sublimation of convective ice and in-mixing (e.g.,

760 Dessler et al., 2007; Hanisco et al., 2007; Randel et al., 2012), enhances over the American monsoon region during boreal

summer, suggesting more convective ice evaporation there (Randel et al., 2012). This paper does not discuss the HDO issue, 761

762 and more work needs to be done in the future.

763 To summarize, we find that TTL temperature variations alone cannot explain the seasonal cycle of water vapor at 100 hPa in

MLS observations over the <u>NH</u> subtropics, 10°N-40°N (although temperature does explain the seasonal cycle in the tropics, 764

765 10°S-10°N and southern subtropics, 10°S-40°S). To try to understand the other mechanisms at work, we analyze a chemistry-

766 climate model, the GEOSCCM, which reproduces the MLS observations and has been shown to accurately simulate the TTL.

767 "We find that, in the GEOSCCM, evaporation of convective ice in the TTL is responsible for the Jarger seasonal cycle in the

768 J00-hPa NH subtropics. We therefore conclude that evaporation of convective ice in the TTL, mainly in boreal summer, is the

769 most likely explanation for the observed larger seasonal cycle in the NH subtropics. We concur that the seasonal cycle of the

770 TTL temperatures is the major driver of the seasonal cycle of water vapor entering the stratosphere, but we find that the

771 contribution from evaporation of convective ice fills in more details of this simple picture. Our findings emphasize the need

772 to better understand and quantify the magnitude and spatial pattern of convective ice evaporation in the TTL.

773 Data availability. The water vapor observed by MLS is available from https://mls.jpl.nasa.gov/. The ice water content

observed by CALIOP is available from https://eosweb.larc.nasa.gov/. The MERRA-2 meteorological fields are available 774

775 from https://disc.gsfc.nasa.gov/. The ERAi meteorological fields are available from

776 https://www.ecmwf.int/en/forecasts/datasets/reanalysis-datasets/era-interim.

777 Competing interests. The authors declare that they have no conflict of interest.

778 Author contribution. Xun Wang performed analysis, and wrote the original draft. Andrew E. Dessler provided the conceptualization, guidance, and editing. Mark R. Schoeberl and Tao Wang contributed to the trajectory model code, 779

780 methodology, discussion, and editing. Wandi Yu contributed to methodology and discussion.

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010 Table 1: Summary of trajectory model cases

Trajectory Model Cases	Description
ERAi standard trajectory model	Instant dehydration with no convective influence
MERRA-2 standard trajectory model	Instant dehydration with no convective influence
ERAi trajectory with cloud model	Dehydration with the cloud model, but with no convective influence
MERRA-2 trajectory with cloud model	Dehydration with the cloud model, but with no convective influence
GEOSCCM standard trajectory model	Instant dehydration with no convective influence
GEOSCCM ice model	Instant dehydration. Convective ice instantly evaporates to sub- saturated parcels
GEOSCCM <u>0.2ice</u> model	Instant dehydration. GEOSCCM convective ice input is decreased by
	80%. Convective ice instantly evaporates to sub-saturated parcels
GEOSCCM ice model below 90 hPa	Instant dehydration. Convective ice evaporation above the 90-hPa surface is not allowed



























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 Figure 6. Seasonal cycles of water vapor at 100 hPa averaged between (a) 10°N-40°N, (b) 10°S-10°N, and (c) 40°S-10°S and their (d)

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 seasonal amplitudes from GEOSCCM, GEOSCCM standard model, GEOSCCM ice model, and GEOSCCM 0.2ice model. We have

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 subtracted the annual mean from each data set.

Deleted: g) Deleted: a finite time Deleted: evaporation scheme. Deleted: ice Deleted: h) Deleted: a finite time Deleted: evaporation scheme. 10° N - 40° N 1.5 1.5 (a) 1.0 1.0 cycle seasonal cycle 0.5 0.5 seasonal (0.0 0.0 -0.5 -0.5 -1.0 -1.0-1.5-1.5J F M A M J J A S O N D м MLS Deleted: Deleted: and



Figure 7. (a) Zonal mean seasonal cycle of 100-hPa convective <u>ice</u> (ppmv) from GEOSCCM. Note the color scale is nonlinear. (b) Zonal mean seasonal cycle of 100-hPa evaporation rate (ppmv day-1) from the <u>GEOSCCM</u> ice model. (c) Zonal mean seasonal cycle of relative humidity (%) with respect to ice at 100 hPa from GEOSCCM. (d) Zonal mean seasonal cycle of net convective moistening (ppmv) at 100 hPa from the ice model. The quantity net convective moistening is the difference between water vapor

106 values from the ice model and standard model.





Figure 8. (a) Net convective moistening (ppmv) in the 10°N-40°N water vapor seasonal cycle and the portions (ppmv) contributed

by convective ice evaporation over 10°S-10°N and 10°N-40°N. (b) Net convective moistening (ppmv) in the 10°N-40°N water vapor

seasonal amplitude and the portions (ppmv) contributed by convective ice evaporation over 10°S-10°N and 10°N-40°N. (c)-(d)

Seasonal amplitude and the portions (ppint) (outcrimed by contreture tee chapt mean after to be the control of the percentage of net convective moistening in the 10°N-40°N water vapor seasonal cycle and seasonal amplitude contributed by convective ice evaporation over 10°S-10°N and 10°N-40°N. The percentage is net convective moistening contributed by 10°S-10°N

or 10°N-40°N region divided by the total net convective moistening.





Figure 9. Portions of net convective moistening (ppmv) in the (a) maximum value and (b) seasonal amplitude of the 10°N-40°N water vapor seasonal cycle contributed by 12 equal-area box regions between 10°S-40°N. (c) and (d): Same as (a) and (b), but for the percentage of net convective moistening contributed by the 12 equal-area box regions.

