



**Improvement from the satellite-derived NO_x emissions on
air quality modeling and its effect on ozone and secondary
inorganic aerosol formation in Yangtze River Delta, China**

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Abstract

We developed a “top-down” methodology combining the inversed chemistry transport modeling and satellite-derived tropospheric vertical column of NO_2 , and estimated the NO_x emissions of Yangtze River Delta (YRD) region at a horizontal resolution of 9 km for January, April, July and October 2016. The effect of the top-down emission estimation on air quality modeling, and the response of ambient ozone (O_3) and secondary inorganic aerosols (SO_4^{2-} , NO_3^- , and NH_4^+ , SNA) to the changed precursor emissions were evaluated with the Community Multi-scale Air Quality (CMAQ) system. The top-down estimates of NO_x emissions were smaller than those in a national emission inventory, MEIC (i.e., the “bottom-up” estimates), for all the four months, and the monthly mean was calculated at 260.0 Gg/month, 24% less than the bottom-up one. The NO_2 concentrations simulated with the bottom-up estimate of NO_x emissions were clearly higher than the ground observation, indicating the possible overestimation in current emission inventory attributed to its insufficient consideration of recent emission control in the region. The model performance based on top-down estimate was much better, and the biggest change was found for July with the normalized mean bias (NMB) and normalized mean error (NME) reduced from 111% to -0.4% and from 111% to 33%, respectively. The results demonstrate the improvement of NO_x emission estimation with the nonlinear inversed modeling and satellite observation constraint. With the smaller NO_x emissions in the top-down estimate than the bottom-up one, the elevated concentrations of ambient O_3 were simulated for most YRD and they were closer to observation except for July, implying the VOC (volatile organic compound)-limit regime of O_3 formation. With available ground observations of SNA in the YRD, moreover, better model performance of NO_3^- and NH_4^+ were achieved for most seasons, implying the effectiveness of precursor emission estimation on the simulation of secondary inorganic aerosols. Through the sensitivity analysis of O_3 formation for April 2016, the decreased O_3 concentrations were found for most YRD region when only VOCs emissions were reduced or the reduced rate of VOCs



emissions was two times of that of NO_x , implying the crucial role of VOCs control on O_3 pollution abatement. The SNA level for January 2016 was simulated to decline 12% when 30% of NH_3 emissions were reduced, while the change was much smaller with the same reduced rate for SO_2 or NO_x . The result suggests that reducing NH_3 emissions was the most effective way to alleviate SNA pollution for YRD in winter.

57

1. Introduction

Nitrogen oxides ($\text{NO}_x = \text{NO}_2 + \text{NO}$) play an important role on the formation of ambient ozone (O_3) and secondary inorganic aerosol (SIA). The NO_x emission inventories are necessary input of the air quality model (AQM), and have a great influence on the simulation particularly for NO_2 , O_3 and SIA (Zhou et al., 2017; Chen et al., 2019a). Moreover, it is crucial for exploring the sources of atmospheric pollution of O_3 and fine particles (particles with aerodynamic diameter smaller than $2.5\text{ }\mu\text{m}$, $\text{PM}_{2.5}$) with AQM.

The NO_x emission inventories were usually developed with a bottom-up method, in which the emissions were calculated based on the activity data (e.g., fuel consumption and industrial production) and emission factors (the emissions per unit of activity data) by source category and region. Bias existed commonly in the bottom-up inventories, due mainly to the uncertainty of economic and energy statistics and fast changes in the emission control measures, especially in developing countries like China (Granier et al., 2011; Saikawa et al., 2017; Zhang et al., 2019). To improve the emission estimation, an inversed “top-down” method has been developed based on satellite observation and AQM (Martin et al., 2003; Zhao and Wang et al., 2009; Zyrichidou et al., 2015; Yang et al., 2019a). The emissions were corrected based on the difference between the modeled and observed tropospheric vertical column densities (TVCDs) of NO_2 , and the response coefficient of NO_2 TVCDs to emissions ((Martin et al., 2003; Cooper et al., 2017). With higher temporal and spatial resolution than other instruments, the NO_2 TVCDs from Ozone Monitoring Instrument (OMI) were frequently used (Kurokawa et al., 2009; Gu et al., 2014; de



81 Foy et al., 2015; Kong et al., 2019; Yang et al., 2019a).

82 Currently, the top-down methods were mainly developed at the global or national
83 scale with relatively coarse horizontal resolution (Martin et al., 2003; Miyazaki et al.,
84 2012; Jena et al., 2014). For example, Martin et al. (2003) and Miyazaki et al. (2012)
85 estimated the global top-down NO_x emissions at the horizontal resolution of 2 ° × 2.5 °
86 and 2.8 ° × 2.8 °, respectively. As reported by Martin et al. (2003), the satellite-derived
87 NO_x emissions for 1996-1997 were higher than bottom-up ones by 50-100% in the Po
88 Valley, Tehran, and Riyadh urban areas. Miyazaki et al. (2012) suggested that the
89 NO_x emissions were underestimated with the bottom-up method over eastern China,
90 eastern United States, southern Africa, and central-western Europe. In India, the
91 top-down estimation of annual NO_x emission at the horizontal resolution of 0.5 ° ×
92 0.5 ° was 7-60% smaller than various bottom-up ones in 2005 (Jena et al., 2014). With
93 the TVCDs from OMI and another instrument (Global Ozone Monitoring Experiment,
94 GOME), the difference in NO_x emission estimation for China was quantified at 0.4
95 Tg N/yr at the resolution of 70 × 70 km (Gu et al., 2014). The estimates were limited at
96 the regional scale with finer resolution. In China, great differences exist in the levels
97 and patterns of air pollution across the regions, attributed partly to a big variety of air
98 pollutant sources across the country. To achieve the target of air quality improvement
99 required by the central government, varied air pollution control plans were usually
100 developed and implemented at the city/provincial levels. Therefore, the top-down
101 estimates in NO_x emissions at finer horizontal resolution are in great need for
102 understanding the primary sources of NO₂ pollution and demonstrating the effect of
103 emission control at the regional scale.

104 Biases existed in the top-down estimates resulting from the uncertainties of the
105 inversed method and satellite observation (Cooper et al., 2017; Ding et al., 2017; Liu
106 et al., 2019; Yang et al., 2019a; b), and they could further influence the reliability of
107 AQM and the rationality of control measures. At present, those estimates of NO_x
108 emissions were usually evaluated with satellite observation. For example, the bias
109 between the NO₂ TVCDs from OMI observation and AQM based on the top-down
110 NO_x emission estimation was $-30.8 \pm 69.6 \times 10^{13}$ molecules cm⁻² in winter in India



(Jena et al., 2014). The linear correlation coefficient (R^2) between OMI and AQM with the top-down emission estimates could reach 0.84 in Europe (Visser et al., 2019). Compared to the satellite observation with relatively large uncertainty (Yang et al., 2019b; Liu et al., 2019), surface concentrations that better represent the effect of air pollution on human health and the ecosystems were less applied in the evaluation of the top-down estimates of NO_x emissions. Limited studies were conducted at coarse horizontal resolutions at the national scale. For example, Liu et al. (2018) found that the normalized mean error (NME) between the observed and simulated NO_2 concentrations based on the top-down estimate of NO_x emissions could reach 32% in China at the resolution of $0.25^\circ \times 0.25^\circ$. Besides NO_2 , the estimation of NO_x emissions also play an important and complicated role on simulation of secondary air pollutant concentrations including O_3 and SIA, and the response of secondary pollution to the primary emissions was commonly nonlinear. For example, Wang et al. (2019) found that the simulated O_3 concentrations in Shanghai (the most developed city in eastern China) could increase over 20% with a 60% reduction in NO_x emissions in summer 2016, implying a clear “VOC-limit” pattern for the O_3 formation in the mega city. For the response of SIA to NO_x emissions, the NH_4^+ and SO_4^{2-} concentrations at an urban site in another mega city Nanjing in eastern China were simulated to increase 1.9% and 2.8% with a 40% abatement of NO_x emissions in autumn 2014, respectively, due to the weakened competition of SIA formation against SO_2 (Zhao et al., 2020). To our knowledge, however, the relatively new information from the inversed modeling of NO_x emissions has not been sufficiently incorporated into the SIA and O_3 analyses with AQM in China.

Located in eastern China, the Yangtze River Delta (YRD) region including the city of Shanghai and the provinces of Anhui, Jiangsu and Zhejiang is one of the most developed and heavy-polluted regions in the country. The air quality for most cities in YRD failed to meet National Ambient Air Quality Standard (NAAQS) Class II in 2016 (MEPPRC, 2017). NO_x emissions made great contributions to the severe air pollution in the region. Based on an offline-sampling and measurement study, for example, the annual average of the NO_3^- mass fraction to the total $\text{PM}_{2.5}$ reached 19%



141 in Shanghai in 2014, and it was significantly elevated in the pollution event periods
 142 (Ming et al., 2017). In this study, we chose the YRD to estimate the NO_x emissions
 143 with the inversed method and to explore their influence on the air quality modeling.
 144 The top-down estimates in NO_x emissions were firstly obtained with the nonlinear
 145 inversed method and OMI-derived NO₂ TVCDs for 2016. The advantage of the
 146 top-down estimation against on the bottom-up one was then evaluated with the AQM
 147 and abundant ground-based NO₂ concentrations. The influences of the top-down
 148 estimation in NO_x emissions were further detected on O₃ and SIA modeling.
 149 Sensitivity analyses were conducted by changing the emissions of precursors to
 150 investigate the sources and potential control approaches of O₃ and SIA pollutions for
 151 the region.

152 2. Data and Methods

153 2.1 The top-down estimation of NO_x emissions

154 The top-down estimation of NO_x emissions was conducted for January, April,
 155 July, and October of 2016, representing the situations of the four seasons in the YRD
 156 region, and the horizontal resolution was 9×9 km. The inversed method assumed a
 157 nonlinear and variable correlation between NO_x emissions and NO₂ TVCDs (Cooper
 158 et al., 2017), and the a posterior daily emissions (top-down estimates) were calculated
 159 with the following equations:

$$160 \quad E_t = E_a \left(1 + \frac{\Omega_o - \Omega_a}{\Omega_o} \beta \right) \quad (1)$$

$$161 \quad \frac{\Delta E}{E} = \beta \frac{\Delta \Omega}{\Omega} \quad (2)$$

162 where E_t and E_a represent the a posterior and the a prior daily NO_x emissions,
 163 respectively; Ω_o and Ω_a represent the observed and simulated NO₂ TVCDs,
 164 respectively; β represents the response coefficient of the simulated NO₂ TVCDs to a
 165 specific change in emissions, and was calculated based on the simulated changes in
 166 TVCDs ($\Delta \Omega$) from a 10% changes in emissions (ΔE). For a given month, the a
 167 posterior daily emissions were used as the a priori emissions of the next day, and the



168 monthly top-down estimate of the NO_x emissions was scaled from the average of the
169 a posterior daily emissions of the last three days in the month, as the top-down
170 estimate of daily NO_x emissions usually converged within a one-month simulation
171 period (Zhao and Wang, 2009; Yang et al., 2019b).

172 The NO_2 TVCDs were from OMI onboard the Aura satellite. It crosses the
173 equator at 1:30 PM of local time. The horizontal resolution of OMI was 24×13 km at
174 nadir (Levelt et al., 2006), one of the finest resolutions available for NO_2 TVCD
175 observation before October 2017. We applied the Peking University Ozone
176 Monitoring Instrument NO_2 product (POMINO v1, Lin et al., 2014; Lin et al., 2015)
177 to constrain the NO_x emissions. POMINO v1 modified the retrieval methodology of
178 the Dutch Ozone Monitoring Instrument NO_2 product (DOMINO v2) in China, and
179 provided better linear correlation of NO_2 TVCDs between the satellite and available
180 ground-based observations with the multi-axis differential optical absorption
181 spectroscopy (MAX-DOAS) (Lin et al., 2015). The original NO_2 TVCDs from
182 POMINO v1 (level 2) were resampled into an 18×18 km grid system based on the
183 area weight method, and then downscaled to 9×9 km with the Kriging interpolation.
184 As an example, the NO_2 TVCDs for July 2016 in the YRD are shown in Figure S1 in
185 the supplement, and larger TVCDs were found in the east-central YRD.

186 2.2 Model configuration

187 The Models-3 Community Multi-scale Air Quality (CMAQ) version 5.1 was
188 used to conduct the inversed modeling of NO_x emission estimation and to simulate
189 the ground-level concentrations of NO_2 , O_3 and SIA. As a three-dimensional Eulerian
190 model, CMAQ includes complex interactions of atmospheric chemistry and physics
191 and is one of the most widely applied AQM to evaluate the sources and processes of
192 air pollution in China (UNC, 2012; Xing et al., 2015; Zheng et al., 2017). As shown in
193 Figure 1, the two nested modeling domains were applied with their horizontal
194 resolutions set 27 and 9 km, respectively. The mother domain (D1, 177×127 cells)
195 included most parts of China, and the second (D2, 118×121 cells) covered the YRD
196 region. The model included 28 vertical layers and the height of the first layer (ground



layer) was approximately 60 m. The carbon bond gas-phase mechanism (CB05) and AERO6 aerosol module were used in the CMAQ. The initial concentrations and boundary conditions for the D1 were derived from the default clean profile, while those of D2 were extracted from the CMAQ Chemistry Transport Model (CCTM) outputs of its mother domain. The first 5 days of each simulated month were chosen as the spin-up period. Details on model configuration were described in Zhou et al. (2017) and Yang and Zhao (2019).

The Multi Resolution Emission Inventory for China (MEIC, <http://www.meicmodel.org/>) was applied as the initial input of anthropogenic emissions in D1 and D2, with an original horizontal resolution at $0.1^{\circ} \times 0.1^{\circ}$. In this study, the MEIC emissions from residential source were downscaled to the horizontal resolution of 9×9 km based on the spatial density of population, and those from power, industry and transportation based on the spatial distribution of gross domestic product (GDP). The NO_x emissions from soil were originally obtained from Yienger and Levy (1995) and were doubled as advised by Zhao and Wang (2009). The emissions of Cl, HCl and lightning NO_x were collected from the Global Emissions Initiative (GEIA, Price et al., 1997). Biogenic emissions were derived from the Model Emissions of Gases and Aerosols from Nature developed under the Monitoring Atmospheric Composition and Climate project (MEGAN MACC, Sindelarova et al., 2014).

Meteorological fields were provided by the Weather Research and Forecasting Model (WRF) version 3.4, a state-of-the-art atmospheric modeling system designed for both numerical weather prediction and meteorological research (Skamarock et al., 2008). The simulated parameters from WRF for D2 in January, April, July and October of 2016 were compared with the observation dataset of US National Climate Data Center (NCDC), as summarized in Table S1 in the Supplement. The index of agreement (IOA) of wind speed for the four months between the two datasets was larger than 0.8. The Root Mean Square Error (RMSE) of wind directions for the four months was smaller than 40° , and the index of agreement (IOA) of temperature and Relative humidity between the two datasets was larger than 0.8 and 0.7, respectively.



226 The simulated meteorological parameters in D2 could reach the benchmarks derived
227 from Emery et al. (2001) and Jiménez et al. (2006).

228 The hourly NO_2 and O_3 concentrations were observed at 230 state-operated
229 stations of air quality monitoring in 41 cities within the YRD region, and they were
230 applied to evaluate the model performance. Locations of the stations are indicated in
231 Figure 1, and the observation data were derived from the China National
232 Environmental Monitoring Center (<http://www.cnemc.cn/>). The observations of SO_4^{2-} ,
233 NO_3^- and NH_4^+ (SNA) concentrations in $\text{PM}_{2.5}$ for the YRD region during 2015-2017
234 were collected and applied to evaluate the influence of the top-down estimation of
235 NO_x emissions on SNA simulation. In particular, the hourly SNA concentrations of
236 $\text{PM}_{2.5}$ at Jiangsu Provincial Academy of Environmental Science, an urban site in the
237 capital city of Jiangsu Province, Nanjing (JSPAES; Chen et al., 2019b), were
238 observed with the Monitor for Aerosols and Gases in ambient Air (MARGA;
239 Metrohm, Switzerland) for January, April, July and October 2016. Meanwhile, the
240 daily average concentrations of SNA were also available from MARGA measurement
241 for the four months at the Station for Observing Regional Processes and the Earth
242 System, a suburban site in eastern Nanjing (SORPES; Ding et al., 2019). Besides, the
243 seasonal average concentrations of SNA were available at another four sites in YRD,
244 including the Nanjing University of Information Science & Technology site in
245 Nanjing (NUIST, Zhang, 2017), and three sites respectively in the cities of Hangzhou
246 (HZS; Li, 2018), Changzhou (CZS; Liu et al., 2018) and Suzhou (SZS; Wang et al.,
247 2016). Details of the collected SNA measurement studies are summarized in Table S2
248 in the supplement, and the locations of those sites are illustrated in Figure 1.

249 2.3 Scenario setting of sensitivity analysis

250 In general, there are two categories of chemical regimes (VOC-limited and
251 NO_x -limited) in O_3 formation (Wang et al., 2009; Jin et al., 2017). In the VOC-limited
252 regime, growth in O_3 concentrations occurs with increased VOCs emissions and
253 declined NO_x emissions, while the increased NO_x emissions result in enhancement of
254 O_3 concentrations in the NO_x -limited regime. To explore the sources and potential



control approaches of O_3 pollution, the sensitivity of O_3 formation to its precursor emissions was analyzed with CMAQ modeling in the YRD region. As summarized in Table S3 in the supplement, eight cases were set besides the base scenario with the top-down NO_x estimates for April 2016, the month with the largest O_3 concentration observed during the research period. Cases 1 and 2 reduced only the NO_x emissions by 30% and 60%, and Cases 3 and 4 reduced only the VOC_s emissions by 30% and 60%, respectively. To explore the co-effect of $VOCs$ and NO_x emission controls on O_3 concentrations, Cases 5-8 with different reduction rates of $VOCs$ and NO_x emissions were designed. The emissions of NO_x and $VOCs$ in Case 5 were decreased by 30% and 60%, and in Case 6 by 60% and 30%, respectively. Both NO_x and $VOCs$ emissions were reduced 30% and 60% in Cases 7 and 8, respectively.

The response of SNA concentrations to the changes in precursor emissions was influenced by various factors including the abundance of NH_3 , atmospheric oxidation, and the chemical regime of O_3 formation (Wang et al., 2013; Cheng et al., 2016; Zhao et al., 2020). To explore the sensitivity of SNA formation to its precursor emissions, four cases were set besides the base scenario for January 2016, the month with the largest observed SNA concentrations. As shown in Table S4 in the supplement, the emissions of NO_x , SO_2 and NH_3 were reduced by 30% in Cases 9-11, respectively, and the emissions of NO_x , SO_2 and NH_3 were simultaneously decreased by 30% in Case 12.

3. Results and discussion

3.1 Evaluation of the bottom-up and top-down estimates of NO_x emissions

Figure 2 compares the magnitude of the NO_x emissions estimated based on the bottom-up (MEIC) and top-down methods by month in the YRD region. The top-down estimates were smaller than the bottom-up ones for all the concerned four months, and the average of the monthly NO_x emissions were calculated at 260.0 Gg/month for 2016 with the top-down method, 24% smaller than the bottom-up estimation. The comparison indicates a probable overestimation in NO_x emissions with current bottom-up methodology, attributed partly to the insufficient consideration of the effect of recent control on emission abatement. Stringent measures have



284 gradually been conducted to improve the local air quality in the YRD region. For
285 example, the “ultra-low” emission policy for power sector started in 2015, requiring
286 the NO_x concentration in the flue gas of coal-fired unit the same as that of gas-fired
287 unit. The technology retrofitting on power units have been widely conducted,
288 significant improving the NO_x removal efficiencies of selective catalytic reduction
289 (SCR) systems. Those detailed changes in emission control, however, could not be
290 fully and timely incorporated into the national emission inventory that relied more on
291 the routinely reported information and policy of environmental management over the
292 country. With the on-line data from continuous emission monitoring systems (CEMS)
293 incorporated, the NO_x emissions from power sector were estimated to be 53% smaller
294 than MEIC for the China in 2015 in our previous work (Zhang et al., 2019). The bias
295 between the top-down and bottom-up estimates could be larger in earlier years and
296 reduced more recently. According to Yang et al. (2019b) and Qu et al. (2017), for
297 example, the top-down NO_x emissions were 44% and 31% smaller than bottom-up
298 ones for the YRD region and the whole China in 2012. Benefiting from the better data
299 availability, the bottom-up inventory has been improved with the inclusion of more
300 information on individual power and industrial plants for recent years (Zheng et al.,
301 2018).

302 The differences in the spatial distribution of NO_x emissions between the
303 bottom-up and top-down estimates are illustrated by month for the YRD in Figure S2
304 in the supplement. The top-down estimates were commonly smaller than the
305 bottom-up ones in the east-central YRD with intensive manufacturing industry and
306 population, and larger than those in most of Zhejiang Province with more hilly and
307 suburban regions. The bias might result from following issues. From a bottom-up
308 perspective, on one hand, more stringent control measures were preferentially
309 conducted for power and industrial plants in regions with heavier air pollution like
310 east-central YRD. As mentioned above, the effects of such actions were difficult to be
311 fully tracked in the bottom-up inventory, leading to the overestimation in emissions
312 for those regions. Due to the lack of precise locations of individual industrial plants
313 (except for large point sources), moreover, the spatial allocation of the emissions



314 relied commonly on the densities of population and economy, assuming a strong
315 correlation with emissions for them. Such assumption, however, would not still hold
316 in recent years, as a number of factories in the relatively developed region were
317 moved to the less developed suburban regions (e.g., southern Zhejiang) for both
318 environmental and economic purposes. The insufficient consideration of the movements
319 of emission sources was thus expected to result in overestimation in emissions for
320 developed regions and underestimation for the less developed. On the other hand, the
321 satellite-derived TVCDs were relatively small in southern Zhejiang (Fig. S1), and
322 larger error in satellite retrieval and thereby emission constraining with the inversed
323 modeling was expected.

324 Figure 3 illustrates the observed and simulated hourly NO_2 concentrations using
325 the bottom-up and top-down estimates of NO_x emissions in the CMAQ by month.
326 The NO_2 concentrations simulated with the bottom-up estimates were clearly larger
327 than the observation in all the four concerned months, with the largest and smallest
328 normalized mean bias (NMB) reaching 111% and 34 % for July and January,
329 respectively. The result suggests again the overestimation in NO_x emissions in the
330 current bottom-up inventory for the YRD. The model performance based on the
331 top-down estimates was much better than that based on the bottom-up ones, indicating
332 that the inversed modeling with satellite observation constraint effectively improved
333 the estimation of NO_x emissions. The biggest improvement was found for July, with
334 the NMB reduced from 111% to -0.4% and the NME reduced from 111% to 33%. As
335 shown in Fig. 2, relatively big reduction from the bottom-up to top-down estimation
336 in NO_x emissions was found for July compared to most of other months.

337 Scatter plots of the annual means of the observed and simulated surface NO_2
338 concentrations are shown in Figure S3 in the supplement. The slope between the
339 observation and simulation with the top-down estimate (0.99) was much closer to 1
340 than that with the bottom-up one (1.57), indicating clearly the advantage of the
341 top-down method on the constraining of the magnitude of the total emissions in the
342 YRD region. The difference in the two slopes implies that the surface NO_2
343 concentrations simulated with the bottom-up estimation were over 50% larger than



344 those based on top-down ones. As a comparison, the total emissions in the bottom-up
345 inventory were only 30% larger than the top-down estimation for the whole YRD
346 region. The larger overestimation in the concentrations than the emissions from the
347 bottom-up inventory could result partly from the bias of the locations of
348 state-operated ground observation sites. Most of those sites were located in the urban
349 areas where excess emissions were allocated according to the high density of
350 economy and population, and elevated concentrations were thus simulated compared
351 to rural areas. The similar correlation coefficients (R) suggested that the spatial
352 distribution of NO_x emissions was not greatly improved in the top-down estimation
353 on an annual basis of urban observation. Uncertainty existed in the satellite
354 observation: the NMB between NO_2 TVCDs in POMINO and available ground-based
355 MAX-DOAS observations was 21% in cloud-free days (Liu et al., 2019). Due mainly
356 to the NO_x transport, moreover, a bias of 13%-33% on the spatial distribution of
357 emissions was estimated for the inversed method at the horizontal resolution of 9 km
358 or finer (Yang et al., 2019b). Inclusion of more available observation in rural areas
359 helps improve the comprehensive evaluation of emission estimation.

360 Figure 4 illustrates the spatial distribution of monthly mean NO_2 concentrations
361 simulated based on the top-down estimates and the differences between the
362 simulations with the top-down and bottom-up ones. The larger NO_2 concentrations
363 existed in the east-central YRD for all the months (left column in Fig. 5), and the
364 difference in spatial distribution of NO_2 concentrations (right column in Fig. 5) was
365 similar with that in NO_x emissions (Fig. S2). Larger reduction in NO_2 concentrations
366 based on the top-down estimates was commonly found in east-central YRD, while the
367 increased concentrations were found in most of Zhejiang.

368 3.2 Evaluation of the O_3 simulation based on the top-down NO_x estimates

369 Figure 5 shows the observed and simulated hourly O_3 concentrations based on
370 the bottom-up and top-down estimates of NO_x emissions by month. Indicated by the
371 smaller NMBs and NMEs, the model performance of O_3 based on the top-down
372 estimates was better than that based on the bottom-up ones for most months. It



suggests that the constrained NO_x emissions with satellite observation could play an important role on the improvement of O_3 simulation. The largest improvement was found in January, for which the NMB and NME were changed from -44% and 49% to 13% and 40%, respectively, attributed to the biggest change in NO_x emissions between the top-down and bottom-up estimates for the month. The worse O_3 modeling performance was found for July when the top-down estimate instead of the bottom-up one was applied in the simulation, indicated by the increased NMB and NME. Besides the changed NO_x emissions, the worse O_3 simulation might result as well from the uncertainty in emissions of the volatile organic compounds (VOCs) and the chemical mechanism of AQM in summer. As suggested by Li (2019), the biogenic VOCs (BVOCs) emissions of the YRD region could be overestimated by 121% in summer attributed to ignoring the effect of droughts, and such overestimation might elevate the O_3 concentrations in AQM. In order to explore the influence of uncertainty of BVOCs emissions on O_3 model performance, we conducted an extra case in which the BVOCs emissions were cut by 50% in CMAQ. As shown in Figure S4 in the supplement, the NMB between the observed and simulated O_3 based on the top-down estimate of NO_x emissions and the reduced BVOCs emissions declined 27% in July. A recent study conducted an intercomparison of surface-level O_3 simulation from 14 state-of-the-art chemical transport models, and implied that the larger overestimation of summer O_3 than winter for eastern China resulted possibly from the uncertainty in the photochemical treatment in models (Li et al., 2019).

Table 1 summarizes the observed and simulated daily maximum 8-hour averaged (MDA8) O_3 concentrations based on the bottom-up and top-down estimates of NO_x emissions are summarized by month for the YRD region. The MDA8 O_3 concentrations simulated with the top-down estimates were larger than those with the bottom-up ones, and were closer to the observation for most months. As most of the YRD was identified as the VOC-limited region (Li et al., 2012; Zhou et al., 2017), the reduced NO_x emissions with the top-down method enhanced the O_3 levels in the AQM. Similar to the hourly concentrations, the most significant improvement for MDA8 was found in January, with the NMB and NME reduced from -35% and 39%



403 to 11% and 28%, respectively. Moreover, the improvement of April and October for
404 MDA8 was larger than that for the hourly concentrations, indicating that the improved
405 NO_x emissions were more beneficial for the simulation of daytime peak O₃
406 concentrations in spring and winter. Figure 6 illustrates the spatial distribution of the
407 monthly mean O₃ concentrations simulated based on the top-down NO_x estimates and
408 the differences between the simulations with the top-down and bottom-up estimates
409 by month. In contrast to NO₂, the smaller O₃ concentrations existed in the east-central
410 YRD for most months, as it was identified as the VOC-limited region with relatively
411 high NO₂ level. Larger O₃ concentrations were found for the surrounding regions in
412 the YRD, e.g., southern Zhejiang, attributed partly to the relatively abundant BVOC
413 emissions. An exception existed for July, with clearly larger O₃ concentrations in
414 east-central YRD. With the largest population density and most developed economy in
415 YRD, the area contains a large number of chemical industrial plants and solvent
416 storage, transportation and usage (Zhao et al., 2017). High temperature in summer
417 promoted the volatilization of chemical products and solvent, and thereby enhanced
418 the seasonal VOCs emissions more significantly compared to other less developed
419 YRD regions. Moreover, the lowest NO₂ concentration found in summer helped
420 increase the O₃ concentration for the region (Gu et al., 2020). Regarding the
421 simulation difference with two emission estimates, application of the top-down
422 estimates instead of the bottom-up ones elevated the O₃ concentrations in most of the
423 YRD region. In particular, the big reduction in NO_x emissions for the east-central
424 YRD (Figure S2) resulted in the more evident growth in O₃ concentrations, reflecting
425 the negative effect of NO_x abatement on O₃ pollution control in the VOC-limited
426 regions.

427 3.3 Evaluation of SIA simulation based on the top-down NO_x estimates

428 Shown in Table 2 is the comparison between the observed and simulated SNA
429 (SO₄²⁻, NO₃⁻ and NH₄⁺) concentrations by season. Larger observed and simulated
430 SNA concentrations were found in winter and spring, and smaller were found in
431 summer and autumn. For most seasons, the simulations of NO₃⁻ concentrations were



moderately improved with the top-down estimates of NO_x emissions for all the concerned YRD cities, with an exception of Nanjing in autumn. The largest improvement was found in summer, with the mean bias between the simulation and observation reduced 35% for all the involved cities. Compared to the bottom-up inventory, the commonly smaller NO_x emissions in the top-down estimates limited the NO_2 concentration and suppressed the formation of NO_3^- , while the enhanced O_3 from the reduced NO_x emissions promoted it (Cai et al., 2017; Huang et al., 2020). In summer, the former dominated the process with the most evident improvement in NO_2 simulation (Figure 3), thus the reduced NO_3^- concentrations that were closer to observation were simulated for all the cities.

The simulations with both top-down and bottom-up estimates of NO_x emissions underestimated the NH_4^+ concentrations for most cases, and such underestimation was slightly corrected with the application of the top-down estimates except for summer. The average change in NH_4^+ concentrations was 2.3%, much smaller than that of NO_3^- at 14%. The moderate improvement in NH_4^+ simulation with the reduced NO_x emissions in the top-down estimates resulted partly from the enhancement of the simulated O_3 concentrations and thereby the promoted NH_4^+ formation. In summer, however, the significant drop in the simulated NO_2 concentration was assumed to reduce the NO_3^- and NH_4^+ formation, and to weaken the consistency between the simulated and observed NH_4^+ . The difference between the simulated SO_4^{2-} with the bottom-up and top-down NO_x emission estimates were small for most seasons, implying a limited benefit of improved NO_x emissions on SO_4^{2-} modeling.

Figure 7 shows the differences in the spatial distribution of SNA concentrations simulated with the bottom-up and top-down estimates of NO_x emissions by month. In most of the region, the differences of NO_3^- concentrations were larger than those of NH_4^+ and SO_4^{2-} for all seasons, and they were mainly controlled by the changed ambient NO_2 or O_3 level. The difference in spatial pattern of NO_3^- was similar to that of O_3 for January, and the larger growth attributed to the application of the top-down estimates was found in northern Anhui and eastern Zhejiang (Fig. 7a). The result implies that the change in NO_3^- concentration in winter could result partly from the



improved O_3 simulation, i.e., the elevated O_3 was an important reason for the enhanced the formation of SNA in winter (Huang et al., 2020). Similarly, the increased NO_3^- was found for more than half of the YRD region in April, along with the growth of O_3 concentrations (Fig. 7d). For July, however, the difference in spatial pattern of NO_3^- (Fig. 7g) was similar with NO_2 (Fig. 4g), and the larger reduction attributed to the application of the top-down estimates was found in northern YRD. The result suggests that the declining NO_x emissions and thereby NO_2 concentration dominated the reduced NO_3^- formation in summer. In October, the growth in NO_3^- concentrations was found again in most YRD when the top-down estimates were applied (Fig. 7j). The growth in the north resulted mainly from the increased O_3 level, while that in the south was associated with the increased NO_2 . The differences in spatial patterns of simulated NH_4^+ concentrations were similar to those of NO_3^- for the four months, suggesting that the change in NH_4^+ was associated with formation and decomposition of NH_4NO_3 . However, the changes of spatial distribution of SO_4^{2-} were similar with those of O_3 concentration. Since NH_4^+ was preferred to react with SO_4^{2-} rather than NO_3^- (Wang et al., 2013), the formation of SO_4^{2-} was mainly influenced by the atmospheric oxidizing capacity when only NO_x emissions were changed.

Figure 8 illustrates the observed and simulated hourly NO_3^- concentrations based on the bottom-up and top-down estimate of NO_x emissions by month at JSPAES. The NMBs and NMEs for simulation with the top-down emissions were smaller than those with bottom-up ones in January and July, implying the benefit of the improved NO_x emissions on hourly NO_3^- concentration simulation in winter and summer. The best model performance with the top-down estimates was found in January, with the hourly variation commonly caught with AQM. However, the NO_3^- concentration was seriously overestimated and the model failed to catch the hourly variations in summer indicated by the large NMB and NME. As shown in Figure S5 in the supplement, both the NO_2 and O_3 concentrations at JSPAES were significantly overestimated for July except O_3 with the bottom-up NO_x emission estimate, and it partly explained the elevated NO_3^- level from CMAQ simulation.

Figures S6 and S7 in the supplement compare the observed and simulated hourly



concentrations at JSPAES by month for NH_4^+ and SO_4^{2-} , respectively. The NMBs and NMEs for NH_4^+ simulation with the top-down estimates were smaller than those with the bottom-up ones for most months, while the changes in SO_4^{2-} concentration were small. The NH_4^+ and SO_4^{2-} concentrations were largely underestimated with the top-down estimates in January, indicated by the NMB at -44% and -38%, respectively. Meanwhile, as shown in Figure S8 in the supplement, the SO_2 concentrations were overestimated by 61% at the site. The results thus imply a great uncertainty in the gas-particle partitioning of $(\text{NH}_4)_2\text{SO}_4$ formation in the model in winter, attributed probably to the missed oxidation mechanisms of SO_2 (Chen et al., 2019c).

3.4 Sensitivity analysis of O_3 and SNA formation in the YRD region

Table 3 summarizes the relative changes in the simulated O_3 concentrations for April 2016 in different cases. The mean O_3 concentration would decline by 8.9% and 19.5% with 30% and 60% VOCs emissions off (Cases 2 and 7), while it would increase by 14.2% and 23.7% with 30% and 60% NO_x emissions off (Cases 1 and 6), respectively. The result confirmed the VOC-limited regime of O_3 formation in the YRD region: controlling VOCs emissions was an effective way to alleviate O_3 pollution, while reducing NO_x emissions alone would aggravate O_3 pollution.

The growth of O_3 concentrations was also found when the reduction rate of NO_x emissions was equal to or larger than that of VOCs. The O_3 concentration would increase by 7.1% and 14.5% respectively when both NO_x and VOCs emissions were reduced by 30% and 60% (Cases 3 and 8), and it would increase by 19.8% when NO_x and VOCs emissions were respectively declined by 60% and 30% (Case 5). In contrast, small abatement of O_3 concentrations (2.1%) was achieved from the 30% and 60% reduction of emissions respectively for NO_x and VOCs (Case 4), implying that the O_3 level could be restrained when the reduction rate of VOCs was twice of or more than that of NO_x . To control the O_3 pollution effectively and efficiently, therefore, the magnitude of VOCs and NO_x emission reduction should be carefully planned and implemented. In actual fact, controlling VOCs is more difficulty than NO_x . Compared to NO_x that comes mainly from fossil fuel combustion (Zheng et al.,



2018), it is more complicated to identify the sources of specific VOCs species that are most active in O_3 formation (Wei et al., 2014; Zhao et al., 2017). Moreover, substantial VOC emissions are from area or fugitive sources, for which the emission control technology can hardly be effectively applied. Therefore, it is a big challenge to control O_3 pollution by reducing more VOCs than NO_x .

Figure 9 illustrates the differences in spatial patterns of the simulated monthly mean O_3 concentrations between the base and sensitivity cases in April. The O_3 concentrations were expected to decline for the whole YRD region in the cases of 30% and 60% VOCs emissions off (Fig. 9b and 9d), indicating the VOC-limited regime of O_3 formation for the entire YRD. For other cases, the O_3 concentrations were clearly elevated in the central-eastern YRD with relatively large population and developed industry, particularly for the cases with NO_x control only (Fig. 9a and 9c) or relatively large NO_x abatement together with VOC control (Fig. 9f and 9g). Even for the case with 60% of VOCs reduction and 30% of NO_x (Fig. 9h), there was still small increase in O_3 concentration in central-eastern YRD, in contrast to the slight O_3 reduction found for most of YRD areas. Those results reveal the extreme difficulty in O_3 pollution control for the region. In southwestern Zhejiang, the O_3 concentrations were found to decline in the cases with large abatement of NO_x emissions (Fig. 9b, 9f and 9g), suggesting a shifting from VOC-limited to NO_x limited region for the O_3 formation.

Table 4 summarizes the change in the simulated monthly means of SNA (NO_3^- , NH_4^+ and SO_4^{2-}) concentrations between the base case and sensitivity cases in January. The SNA concentrations were decreased in most cases, implying that the reduction in precursor emissions was useful for mitigating the SNA pollution. Compared to that of precursor emissions, however, the reduction rate of SNA was much smaller attributed to the strong nonlinearity of SNA formation. The largest reductions were found at 11.7% and 12.4% when emissions of NH_3 and all the three precursors were decreased by 30% (Cases 11 and 12), respectively. In contrast, the SNA concentrations declined slightly by 1% and increased by 0.5% when NO_x and SO_2 emissions were reduced by 30% (Cases 9 and 10), respectively. The results suggest that most of YRD was in an



551 NH_3 -neutral or even NH_3 -poor condition in winter, consistent with the judgment
552 through AQM based on an updated NH_3 emission inventory (Zhao et al., 2020), as the
553 NH_3 volatilization in winter was much smaller than other seasons. Reducing NH_3
554 emissions was the most efficient way to control SNA pollution for the region in winter.
555 In Case 11 with NH_3 control only, the reduced NO_3^- and NH_4^+ were much larger than
556 that of SO_4^{2-} . As NH_3 reacted with SO_2 prior to NO_x , NH_4NO_3 was assumed easier to
557 decompose than $(\text{NH}_4)_2\text{SO}_4$ when NH_3 emissions were reduced. The growth of NO_3^-
558 concentrations was found for Case 10 (SO_2 control only), since the free NH_3 from the
559 reduced SO_2 emissions could react with NO_x in the NH_3 -poor condition. Similarly, the
560 SO_4^{2-} concentrations increased for Case 9 (NO_x control only), as the elevated O_3
561 attributed to the reduction of NO_x emissions promoted the SO_4^{2-} formation.

562 4. Summary

563 From a “top-down” perspective, we have estimated the monthly NO_x emissions
564 for the YRD region in 2016, based on the nonlinear inversed modeling and NO_2
565 TVCDs from POMINO, and the bottom-up and top-down estimates of NO_x emissions
566 were evaluated with AQM and ground NO_2 observation. Due to insufficient
567 consideration of improved controls on power and industrial sources, the NO_x
568 emissions were probably overestimated in current bottom-up inventory (MEIC),
569 resulting in significantly higher simulated NO_2 concentrations than the observation.
570 The simulated NO_2 concentrations with the top-down estimates were closer to the
571 observation for all the four seasons, suggesting the improved emission estimation with
572 satellite constraint. Improved O_3 and SNA simulations with the top-down NO_x
573 estimates for most months indicate the importance role of precursor emission
574 estimation on secondary pollution modeling for the region. Through the sensitivity
575 analysis of O_3 formation, the mean O_3 concentrations were found to decrease for most
576 YRD when only VOCs emissions were reduced or the reduced rate of VOCs was
577 twice of NO_x , and the result indicates the effectiveness of controlling VOCs
578 emissions on O_3 pollution abatement for the region. For part of southern Zhejiang,
579 however, the O_3 concentrations were simulated to decline with the reduced NO_x



emissions, implying the shifting from VOC-limited to NO_x-limited region. Compared to reducing NO_x or SO₂ only, larger reduction in SNA concentrations was found when 30% of emissions were cut for NH₃ or all the three precursors (NO₂, NH₃ and SO₂). The result suggests that reducing NH₃ emissions was crucial to alleviate SNA pollution of YRD in winter.

Limitations remain in this study. Due to the limited horizontal resolution of OMI, relatively big bias existed in the spatial distribution of the constrained NO_x emissions at the regional scale compared to national or continental one, and the uncertainty could exceed 30% for the YRD region (Yang et al., 2019b). Therefore the improvement on the top-down estimates of NO_x emissions can be expected when the more advanced and reliable products of satellite observation get available at finer horizontal resolution (e.g., TROPOspheric Monitoring Instrument, TROPOMI). Besides, more SNA observations from on-line measurement are recommended for a better space coverage and temporal resolution, to explore more carefully the response of SNA to the changes in emissions of NO_x and other precursors.

Data availability

All data in this study are available from the authors upon request.

Author contributions

YY developed the strategy and methodology of the work and wrote the draft. YZ improved the methodology and revised the manuscript. LZ provided useful comments on the methodology. JZ and XH provided observation data of secondary inorganic aerosols. XZ, YZ, MX and YL provided comments on air quality modeling.

Competing interests

The authors declare that they have no conflict of interest.



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Acknowledgements

609 This work was sponsored by Natural Science Foundation of China (91644220 and
610 41575142) and the National Key Research and Development Program of China
611 (2017YFC0210106). We would also like to thank Tsinghua University for the free use
612 of national emissions data (MEIC), and Peking University for the support of satellite
613 data (POMINO v1).
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FIGURE CAPTIONS

Figure 1. The modeling domain and locations of meteorological and air quality monitoring sites. The map data provided by Resource and Environment Data Cloud Platform are freely available for academic use (<http://www.resdc.cn/data.aspx?DATAID=201>), © Institute of Geographic Sciences & Natural Resources Research, Chinese Academy of Sciences.

Figure 2. The bottom-up and top-down estimates of NO_x emissions by month for the YRD region in 2016.

Figure 3. The observed and simulated hourly NO_2 concentrations based on the bottom-up and top-down NO_x emissions for January, April, July and October 2016.

Figure 4. The spatial distribution of the simulated monthly mean NO_2 concentration with the top-down estimates and differences between the simulations with the top-down and bottom-up NO_x emissions in January, April, July and October 2016 (top-down minus bottom-up).

Figure 5. The observed and simulated hourly O_3 concentrations with the bottom-up and top-down NO_x emission estimates for January, April, July and October 2016.

Figure 6. The spatial distribution of the simulated monthly mean O_3 concentration with the top-down NO_x estimates and the spatial differences between the simulations with the top-down and bottom-up NO_x emissions in January, April, July and October 2016 (top-down minus bottom-up).

Figure 7. The spatial differences between the simulated SNA concentrations with the bottom-up and top-down NO_x emission estimates for January, April, July and October 2016 (top-down minus bottom-up).

Figure 8. The observed and simulated hourly NO_3^- concentrations with the bottom-up and top-down NO_x emission estimates for January, April, July and



October 2016 at JSPEAS.

Figure 9. The spatial differences of monthly mean O₃ concentrations between the simulations based on base case (top-down estimates) and sensitivity cases in April 2016 (sensitivity case minus base case).



TABLES

Table 1. The model performance statistics of daily maximum 8-hour averaged (MDA8) O₃ concentrations in January, April, July and October 2016 with the bottom-up and top-down NO_x emissions.

Month	Emission input	Observed (µg/m ³)	Simulated (µg/m ³)	NMB	NNE
January	Bottom-up	50.6	33.0	-34.8%	38.6%
	Top-down		56.3	11.3%	27.7%
April	Bottom-up	101.5	87.2	-14.1%	20.2%
	Top-down		108.5	6.9%	16.1%
July	Bottom-up	107.4	117.3	9.2%	15.7%
	Top-down		140.7	31.0%	31.0%
October	Bottom-up	65.9	53.9	-18.3%	23.2%
	Top-down		73.4	11.3%	21.7%



Table 2. Comparison of observed and simulated NO_3^- , NH_4^+ and SO_4^{2-} concentrations by site and season in 2016 (unit: $\mu\text{g}/\text{m}^3$). The information of SNA observation sites is provided in Table S2 in the supplement. BU and TD indicate the CMAQ modeling with the bottom-up and top-down estimate of NO_x emissions, respectively.

	Spring			Summer			Autumn			Winter		
	NO_3^-	NH_4^+	SO_4^{2-}	NO_3^-	NH_4^+	SO_4^{2-}	NO_3^-	NH_4^+	SO_4^{2-}	NO_3^-	NH_4^+	SO_4^{2-}
JSPAES	19.1	16.5	12.7	5.7	9.3	10.5	10.3	6.1	9.7	31.1	16.5	20.3
CMAQ (BU)	20.7	8.5	12.0	14.4	6.0	9.1	10.9	5.0	9.0	25.6	9.3	12.8
CMAQ (TD)	22.3	9.0	12.2	11.8	5.4	9.5	11.6	5.2	9.1	26.2	9.4	12.8
SORPES	14.1	8.6	13.2	7.5	6.6	11.5	8.8	5.2	8.3	23.0	13.4	15.7
CMAQ (BU)	18.5	7.3	8.0	12.2	4.3	5.2	9.3	4.0	5.4	23.6	8.7	10.9
CMAQ (TD)	18.0	7.0	7.4	8.3	3.7	5.0	9.8	4.2	5.4	23.6	8.8	10.1
NUIST	16.9	11.0	15.9	6.8	7.1	13.1	N/A	N/A	N/A	20.9	14.3	16.8
CMAQ (BU)	20.0	7.9	9.9	14.0	5.8	7.5				24.3	9.0	11.3
CMAQ (TD)	21.8	8.5	9.9	11.8	5.3	7.8				24.6	9.1	11.3
HZS	19.9	6.6	19.9	1.9	2.8	6.2	12.7	8.3	13.3	25.3	6.6	19.5
CMAQ (BU)	14.1	5.7	8.8	5.0	1.5	2.1	8.3	3.6	6.5	18.5	6.6	9.1
CMAQ (TD)	16.0	6.3	8.6	3.7	1.3	2.8	9.3	3.9	6.6	19.9	6.8	8.9
CZS	N/A	N/A	N/A	5.1	5.1	10.9	N/A	N/A	N/A	20.4	11.8	10.9
CMAQ (BU)				11.6	4.9	7.1				23.1	9.1	11.3
CMAQ (TD)				10.7	5.0	7.3				23.1	9.1	11.3
SZS	17.8	10.2	14.7	7.9	8.0	14.9	14.2	9.0	13.1	23.2	12.5	15.1
CMAQ (BU)	14.5	6.0	7.1	13.3	5.3	7.1	6.2	2.9	6.3	19.6	7.8	11.7
CMAQ (TD)	15.5	6.3	7.1	11.7	5.0	7.7	6.9	3.0	6.3	19.9	7.9	11.7
Mean	17.6	10.6	15.3	5.8	6.5	11.2	11.5	7.1	11.1	24.0	12.5	16.4
CMAQ (BU)	17.6	7.1	9.1	11.7	4.6	6.3	8.7	3.9	6.8	22.5	8.4	11.2
CMAQ (TD)	18.7	7.4	9.1	9.7	4.3	6.7	9.4	4.1	6.8	22.9	8.5	11.0



Table 3. The changed percentages of ozone concentration based on the sensitivity analysis for April 2016.

	No reduction	-30% VOCs emissions	-60% VOCs emissions
No reduction	-	-8.9% (Case 2)	-19.5% (Case 7)
-30% NO _x emissions	14.2% (Case 1)	7.1% (Case 3)	-2.1% (Case 4)
-60% NO _x emissions	23.7% (Case 6)	19.8% (Case 5)	14.5% (Case 8)



Table 4. The changed percentages of NO_3^- , NH_4^+ and SO_4^{2-} concentrations based on the sensitivity analysis for January 2016.

	NO_3^-	NH_4^+	SO_4^{2-}	SNA
-30% NO_x emissions (Case 9)	-3.3%	-1.2%	3.8%	-1.0%
-30% NH_3 emissions (Case 10)	-16.3%	-14.5%	-0.6%	-11.7%
-30% SO_2 emissions (Case 11)	2.0%	0.2%	-2.4%	0.5%
-30% ($\text{NO}_x + \text{NH}_3 + \text{SO}_2$) emissions (Case 12)	-15.5%	-15.5%	-4.0%	-12.4%



Figure 1.

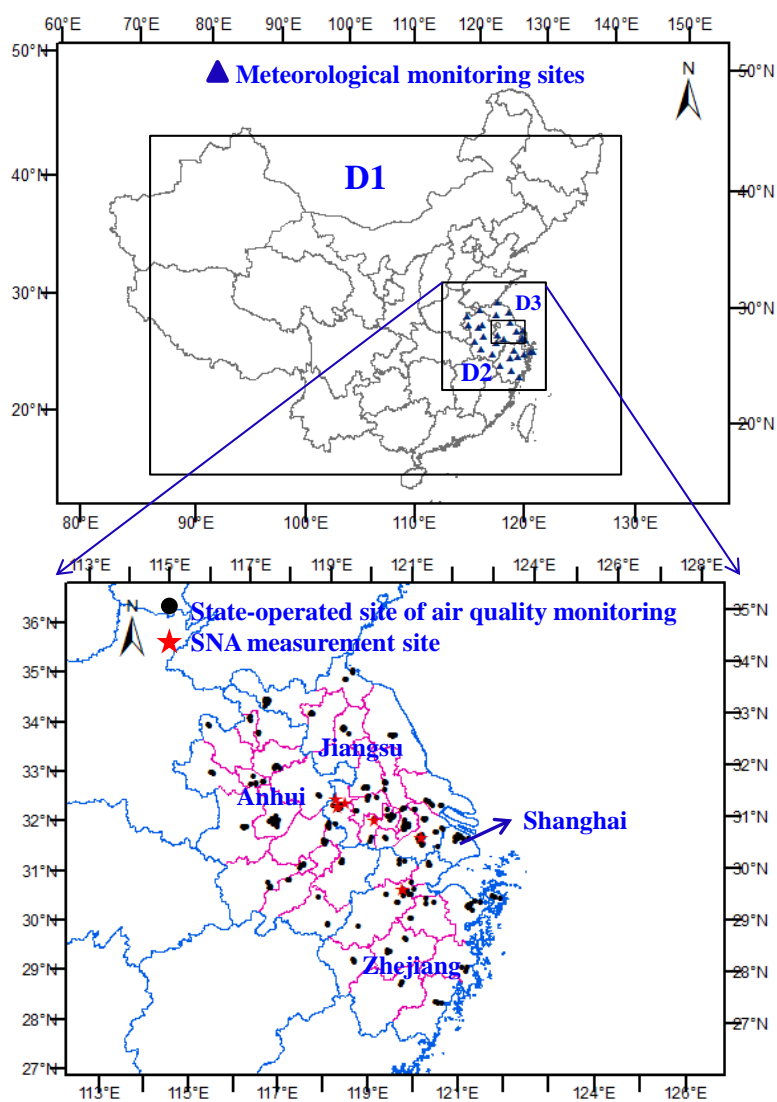




Figure 2.

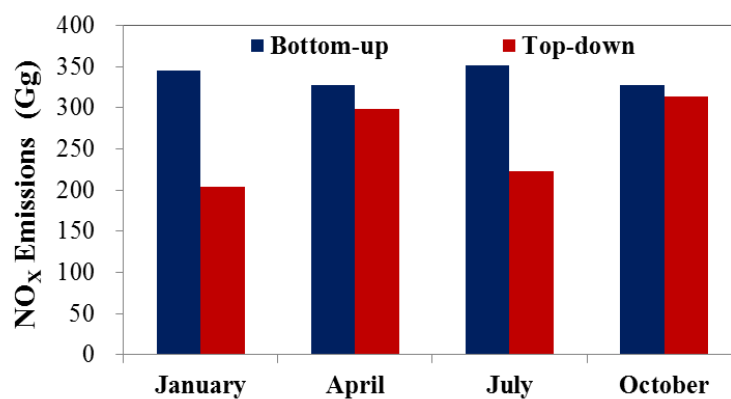




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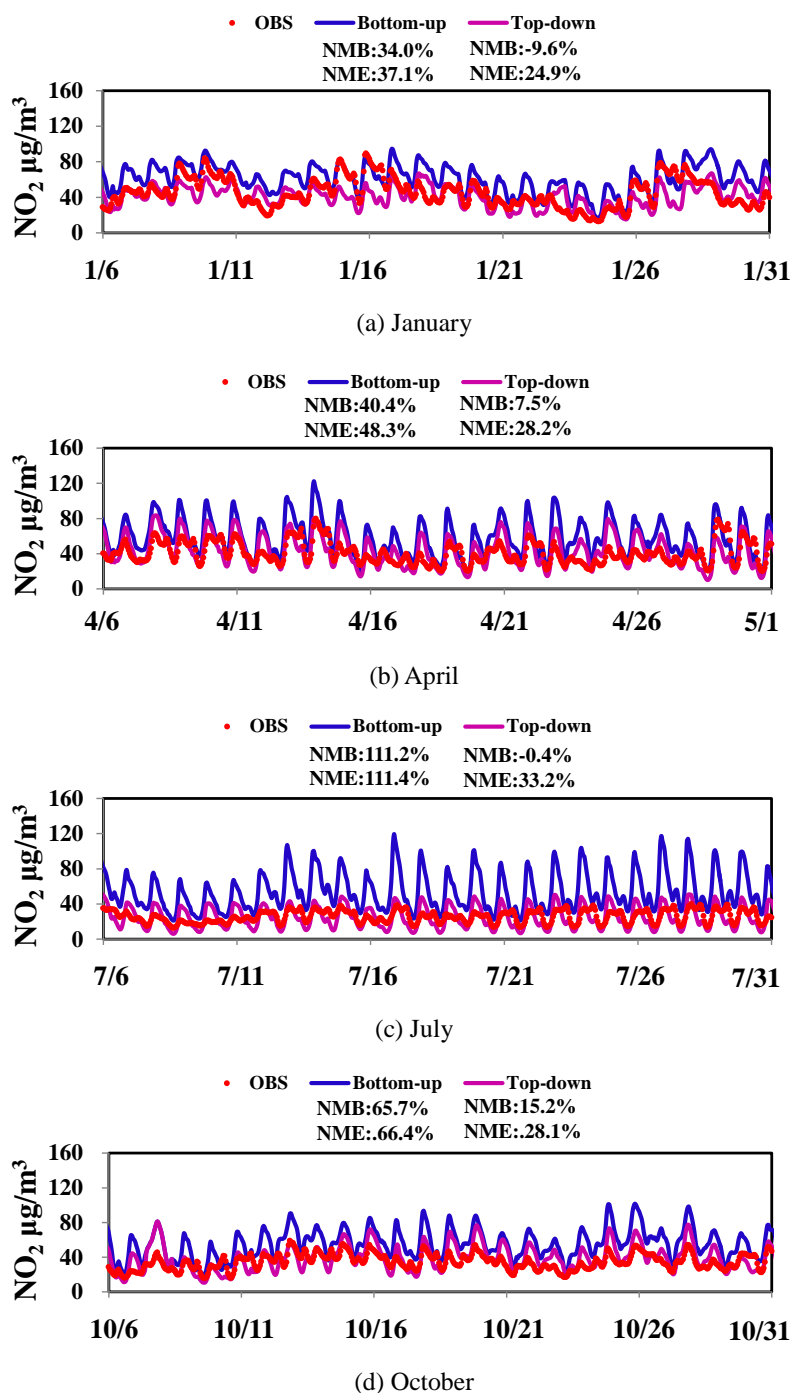




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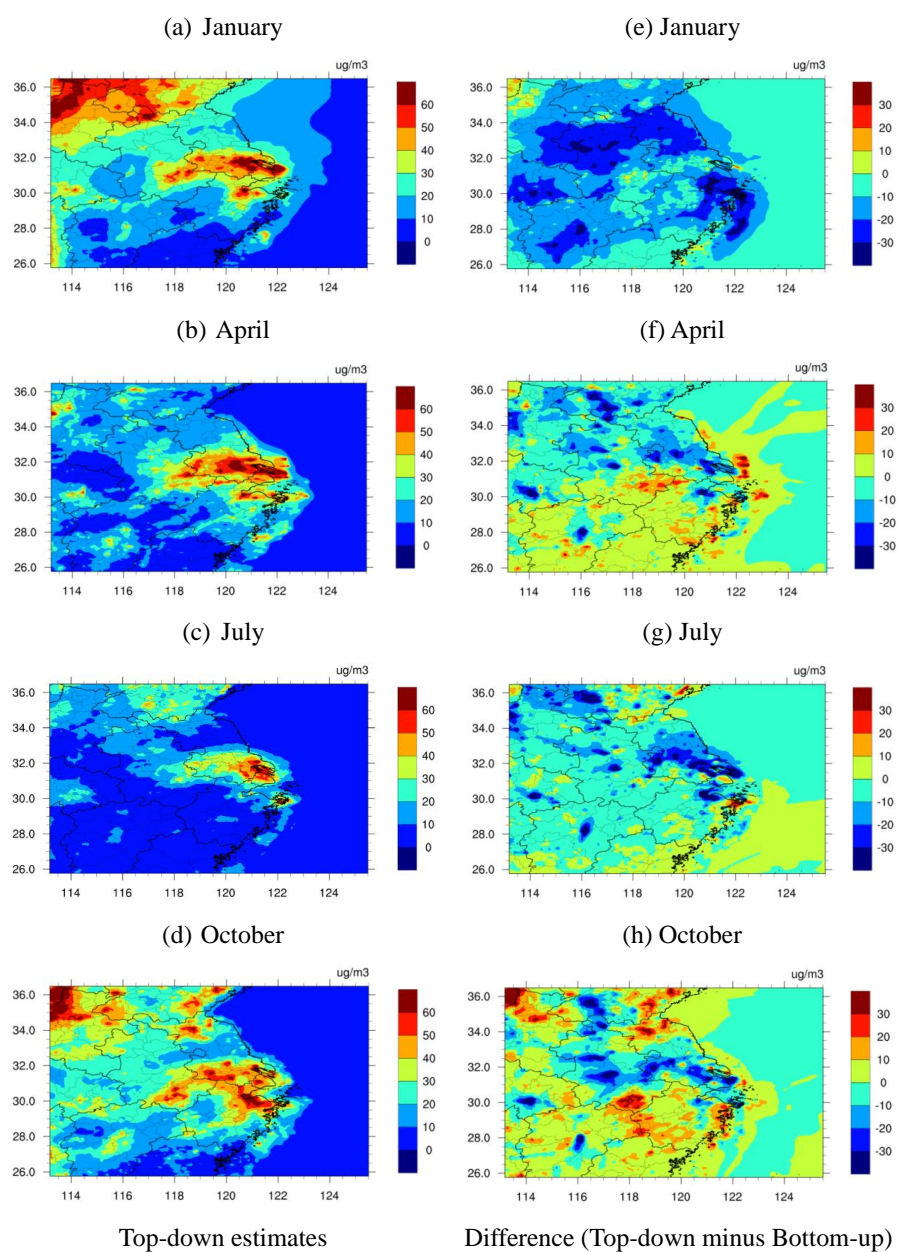




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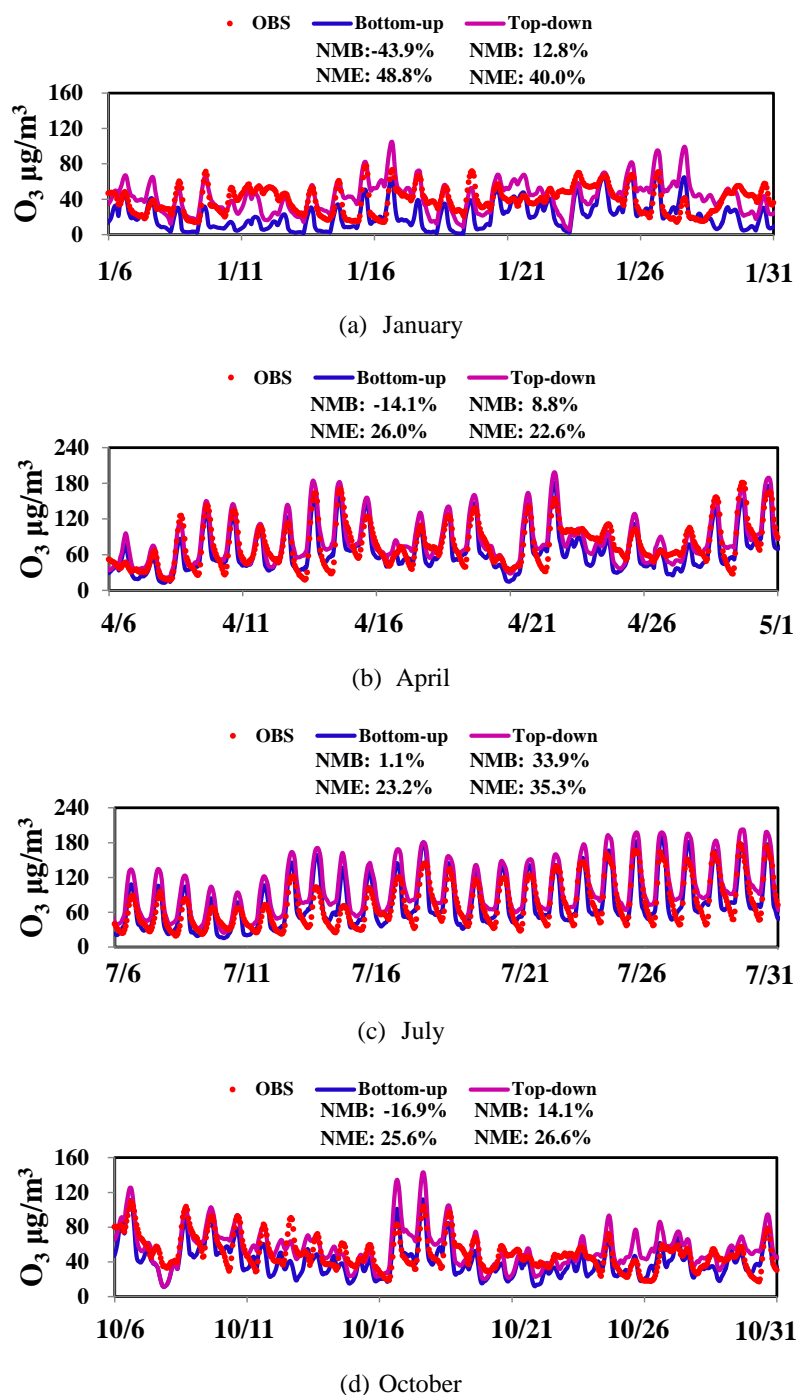




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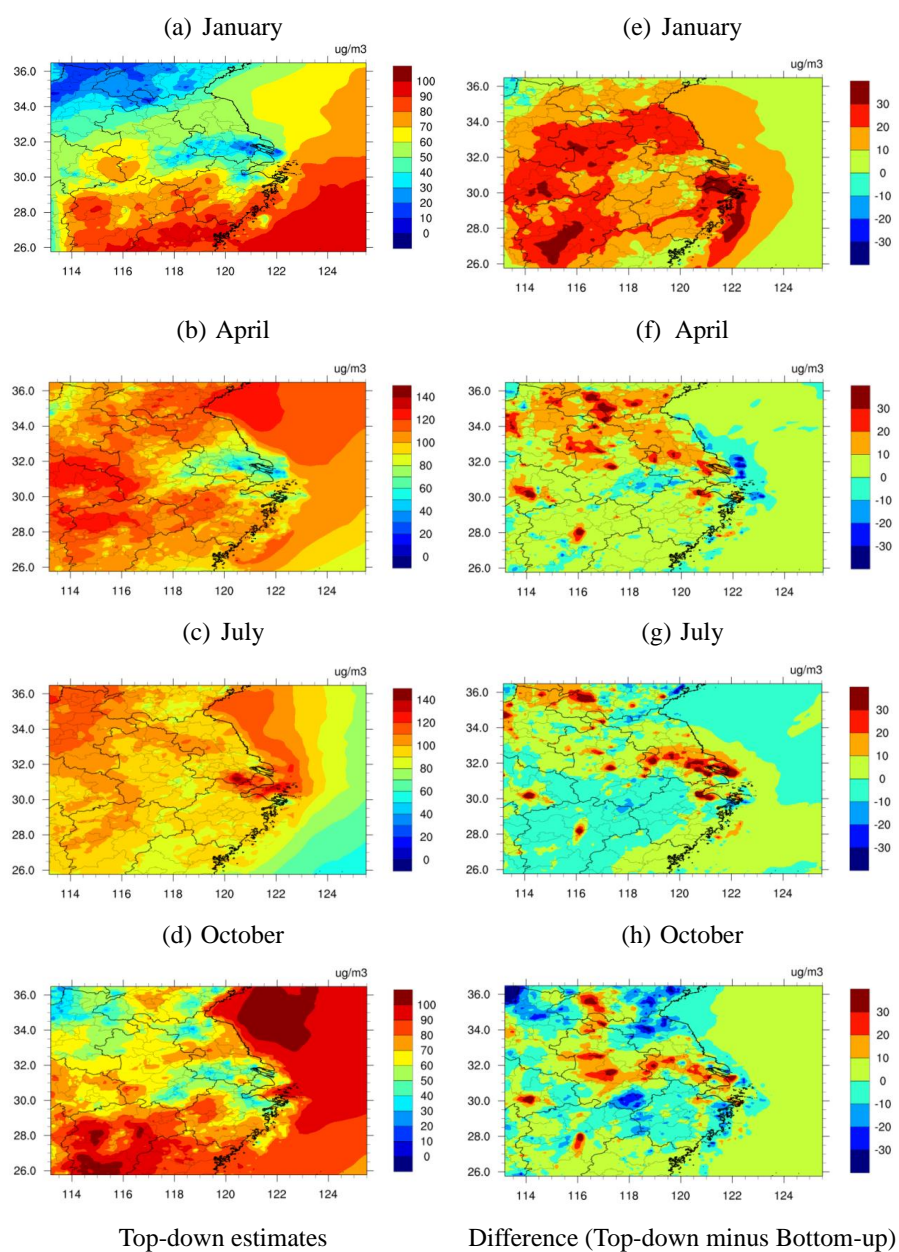




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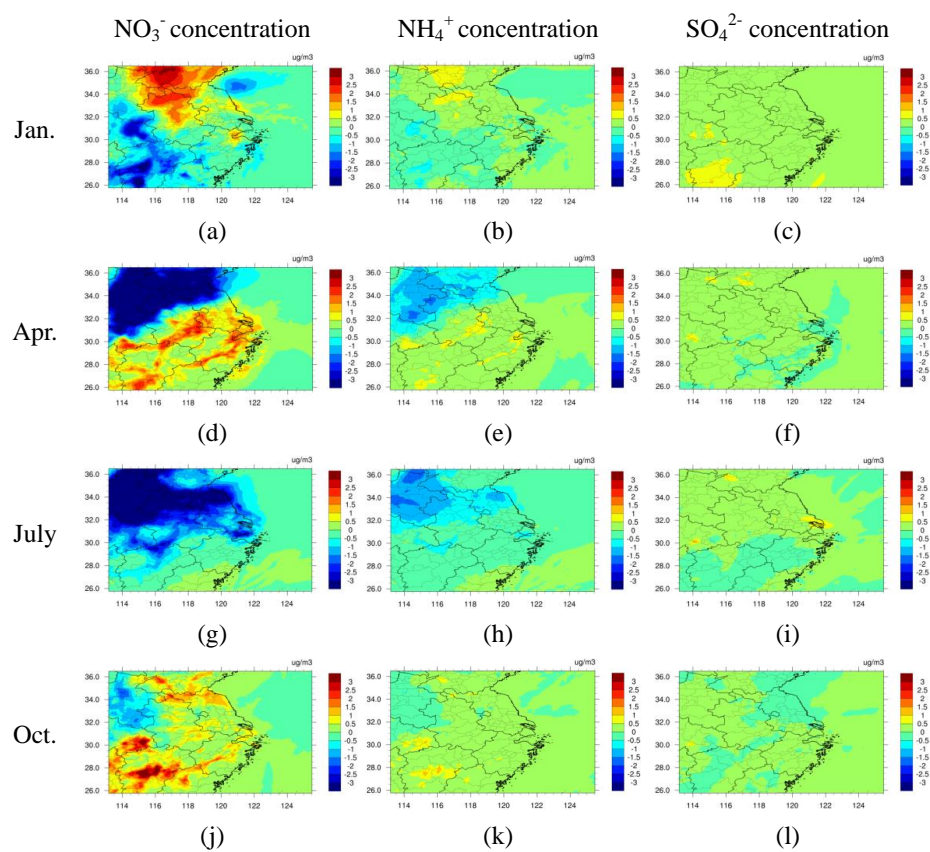




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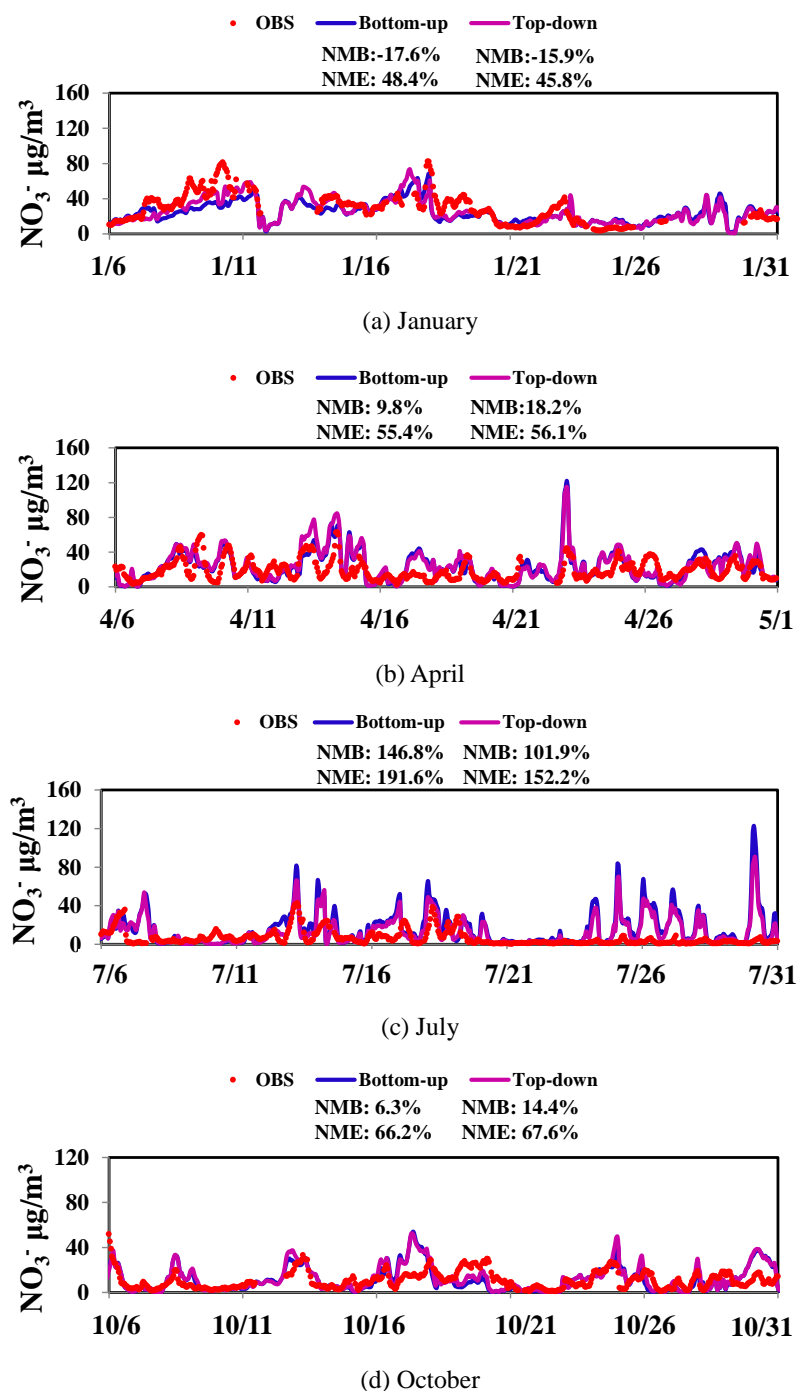




Figure 9.

