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1 **Wave-particle energy exchange directly observed in a kinetic Alfvén-branch wave**

2

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30 **Abstract.** Alfvén waves are fundamental plasma wave modes that permeate the universe.
31 At small kinetic scales they provide a critical mechanism for the transfer of energy
32 between electromagnetic fields and charged particles. These waves are important not only
33 in planetary magnetospheres, heliospheres, and astrophysical systems, but also in
34 laboratory plasma experiments and fusion reactors. Through measurement of charged
35 particles and electromagnetic fields with NASA’s Magnetospheric Multiscale (MMS)
36 mission, we utilize Earth’s magnetosphere as a plasma physics laboratory. Here we
37 confirm the conservative energy exchange between the electromagnetic field fluctuations
38 and the charged particles that comprise an undamped kinetic Alfvén wave. Electrons
39 confined between adjacent wave peaks may have contributed to saturation of damping
40 effects via non-linear particle trapping. The investigation of these detailed wave
41 dynamics has been unexplored territory in experimental plasma physics and is only
42 recently enabled by high-resolution MMS observations.

43

44 **Introduction**

45 The Alfvén wave is a ubiquitous plasma wave mode wherein ions collectively
46 respond to perturbations in the ambient magnetic field direction¹. No net energy is
47 transferred between the field and the plasma particles in ideal Alfvén waves. However,
48 ion motion decouples from electron motion when wave dynamics are faster than ion
49 orbital motion around the local magnetic field or are on scales smaller than the ion orbit
50 size, defined by the gyrofrequency (ω_{ci}) and gyroradius (ρ_i), respectively. When the
51 perpendicular spatial scale of an Alfvén wave approaches ρ_i , the wave can support
52 significant parallel electric and magnetic field fluctuations that enable net transfer of
53 energy between the wave field and plasma particles via Landau or transit-time
54 interactions²⁻⁴.

55 The transition of an ideal fluid-scale Alfvén wave to a kinetic-scale Alfvén wave
56 (KAW) occurs at $k_{\perp}\rho_i \sim 1$ and $k_{\perp} > k_{\parallel}$, where \mathbf{k} is the wave vector and ‘ \perp ’ and ‘ \parallel ’
57 are defined with respect to the local magnetic field direction. These KAWs are essential for
58 energy transfer processes in plasmas. Broadband KAWs have long been associated in
59 space physics with turbulent heating in the solar wind and magnetosheath⁵⁻⁷, and are also
60 thought to account for a substantial amount of the energy input into Earth’s auroral
61 regions that can drive charged particle outflow and atmospheric loss⁸⁻¹³. In the laboratory,
62 KAWs can transport energy away from the core regions of fusion plasmas, resulting in
63 the unwanted deposition of energy at the reactor edges^{14,15}. Understanding kinetic-scale
64 wave generation, propagation, and interaction with charged particles is critical to
65 unraveling and predicting the relevant physics of these fundamental processes.

66 Alfvén wave theory predicts that transverse fluctuations in the current density (\mathbf{J})
67 and electron-pressure-gradient-driven electric field ($\mathbf{E}_p = -\nabla \cdot \mathbf{P}_e / (n_e e)$) are 90° out of
68 phase with one another, such that the plasma heating term, $\Delta(J_{\perp} E_{p\perp})$, can be
69 instantaneously non-zero but averages to zero over a wave period¹. In such an undamped

70 wave, power sloshes back and forth between the wave-field and particles with no net
71 energy transfer. There are no corresponding fluctuations in $\Delta E_{p\parallel}$ and ΔJ_{\parallel} in an ideal
72 Alfvén wave. For kinetic-scale Alfvén waves, however, non-zero $\Delta E_{p\parallel}$ fluctuations enable
73 the Landau resonance, where particles with $V_{\parallel} \sim \omega/k_{\parallel}$ can gain or lose energy through
74 interaction with the wave field. These interactions, combined with an imbalance in the
75 number of particles that are moving faster than or slower than the wave, result in net
76 plasma heating or cooling⁴. Here, fluctuations in ΔJ_{\parallel} and $\Delta E_{p\parallel}$ become in-phase such that
77 the wave-averaged $\Delta(J_{\parallel}E_{p\parallel})$ is non-zero^{3,16}. Likewise, fluctuations in ΔB_{\parallel} result in transit-
78 time damping effects, the magnetic analog of Landau damping, where the magnetic
79 mirror force takes the place of \mathbf{E}_p ^{2,4}. For non-linear KAWs, parallel fluctuations can be
80 sufficiently large in amplitude to trap electrons between adjacent wave peaks. The
81 oscillatory bounce motion of these electrons produces equal numbers of particles moving
82 faster than or slower than the wave, limiting the effects of Landau and transit-time
83 damping, and enabling stable wave mode propagation^{4,17}.

84 The detailed properties of KAWs (e.g., $\Delta \mathbf{J}$, $\Delta \mathbf{E}_p$, \mathbf{k}) have been difficult to characterize
85 due to their small spatial and temporal scales with respect to the capabilities of laboratory
86 or on-orbit plasma instrumentation. Accurate estimates of current density and the
87 characterization of particle populations require full three-dimensional distribution
88 functions of both electron and ions on time-scales faster than the wave frequency in the
89 observation frame of reference. In addition, estimates of pressure gradients and
90 wavevectors rely on multiple observation points being available within a single wave
91 peak. However, NASA's recently launched Magnetospheric Multiscale (MMS) mission¹⁸
92 consists of four identical observatories deployed in a tetrahedron configuration that
93 measure charged particle and electromagnetic fields orders of magnitude more quickly
94 than previous space missions. This increased temporal sampling combined with a small
95 MMS inter-spacecraft separation enables plasma parameters and their spatial gradients to
96 be determined at kinetic scales.

97 Here we use observations from MMS to characterize the microphysics of a
98 monochromatic Alfvén wave. Through the calculation of $\Delta \mathbf{J} \cdot \Delta \mathbf{E}$, we provide a direct
99 measurement of the conservative energy exchange between the wave's electromagnetic
100 fields and particles. A perpendicular spatial scale of $k_{\perp} \rho_i \sim 1$, non-zero $\Delta E_{p\parallel}$ and ΔJ_{\parallel}
101 fluctuations, and a parallel wave speed close to the local Alfvén speed confirm that the
102 wave packet is an ion-scale KAW. Finally, analysis of the velocity distribution function
103 of electrons reveals a population that is non-linearly trapped within the wave's magnetic
104 minima. These trapped electrons may have enabled non-linear saturation of damping
105 processes, resulting in marginally stable wave propagation and providing evidence in
106 support of early analytical theories of wave-particle interactions in collisionless plasmas.

107 108 **Results**

109 **Event Overview.** On 30 December 2015 the four MMS observatories were near the
110 dayside magnetopause i.e., the interface between the interplanetary magnetic field and the
111 Earth's internal magnetic field, at [7.8, -6.9, 0.9] R_e ($1 R_e = 1$ Earth radius = 6730 km).
112 Magnetic reconnection at the magnetopause boundary^{19,20} generated a southward flowing
113 exhaust at $\sim 22:25$ UT denoted by a $-V_z$ jet, an increase in plasma density, and a decrease
114 in plasma temperature [see Fig. 1]. There was no discernable rotation in the magnetic
115 field suggesting that the spacecraft constellation remained inside the Earth's
116 magnetosphere throughout this interval. Low frequency (~ 1 Hz) waves were observed in
117 the exhaust in a ~ 4 min interval localized to a region of strong proton temperature
118 anisotropy ($T_{H+\perp}/T_{H+\parallel} \sim 2$). MMS partially crossed the magnetopause into the
119 magnetosheath for the first time at $\sim 22:35$ UT (not shown) at [8.0, -6.9, 0.9] R_e . For the
120 subsequent ~ 2 hours, multiple magnetopause crossings resulted in the MMS spacecraft
121 sampling both $+V_z$ and $-V_z$ jets, i.e., above and below the reconnection site. However, ~ 1
122 Hz waves were only observed in the short interval shown in Figure 1. The MMS
123 observatories were in a tetrahedron configuration (quality factor²¹ ~ 0.9) separated by ~ 40
124 km, a distance which corresponded to a local thermal ion gyroradius ($\rho_i = 35$ km).

125 The reconnection exhaust plasma consisted of mostly H^+ and some He^{2+} with
126 number density ratio $n_{He^{2+}}/n_{H^+}$ less than 0.02 throughout the interval. The local ratios of
127 ion thermal parallel and perpendicular pressure to magnetic pressure were $\beta_{\parallel} \approx 0.2$ and
128 $\beta_{\perp} \approx 0.5$, respectively. In addition, the average plasma flow velocity during this interval
129 was $\mathbf{V}_0 = [-17, 73, -183]$ km s^{-1} . This velocity corresponded to a jet flowing nearly anti-
130 parallel to the background magnetic field ([0.10, -0.52, 0.85] direction) with speed ~ 0.5
131 V_A , where V_A is the Alfvén speed i.e., the characteristic speed in which information can
132 be transferred along a magnetic field. For this interval, with $n_{H^+} = 10$ cm $^{-3}$ and $B = 55$ nT,
133 the local Alfvén speed was estimated to be 380 km s^{-1} . Variations were observed in the
134 number density (Δn), bulk velocity ($\Delta \mathbf{v}_e$), temperature (ΔT_{\parallel} , ΔT_{\perp}) of both ions and
135 electrons, and in the electric ($\Delta \mathbf{E}$) and magnetic fields ($\Delta \mathbf{B}$) [see Fig. 2]. The amplitude of
136 these ~ 1 Hz fluctuations were non-linear with $\Delta n_{H^+}/n_{H^+} \sim 0.2$. The magnetic field
137 fluctuations exhibited both left-handed and right-handed polarization [see Supplementary
138 Figure 1]. Finally, bursts of electron phase space holes measured in the total parallel
139 electric field (ΔE_{\parallel}) were bunched with the wave in locations of strong electron pressure
140 gradients.

141
142 **Wave Properties.** Accurate determination of the wavevector (\mathbf{k}) was critical to identify
143 the observed wave mode. *In situ* estimation of \mathbf{k} , especially for broadband wave spectra,
144 is non-trivial, and often relies on multi-spacecraft²². Fortunately, the monochromatic
145 nature of the observed wave enabled the application of several independent methods of
146 wavevector determination. Here we utilized four methods to provide a robust estimate of
147 \mathbf{k} : (1) parallel component of the wavevector derived from the correlation between
148 velocity and magnetic field fluctuations¹⁶, (2) \mathbf{k} -vector estimation from current and

149 magnetic field fluctuations measured in the spacecraft frame^{23,24}, (3) comparison of
150 spacecraft-measured gradients with their corresponding spacecraft-averaged quantities,
151 i.e., the plane-wave approximation⁴, and (4) phase differencing of the magnetic field
152 fluctuations between each spacecraft²⁵.

153 In the first method we estimated the parallel component of the wavevector
154 through comparison of four-spacecraft-averaged electron velocity and magnetic field
155 fluctuations. Alfvén-branch waves have parallel wave speeds close to the local Alfvén
156 speed, i.e., $|\omega/k_{\parallel}| \approx V_A$ and correlated transverse fluctuations¹⁶, $\Delta \mathbf{V}_{e\perp} = -(\omega/k_{\parallel})\Delta \mathbf{B}_{\perp}/B$.
157 Positively-correlated ($R^2 = 0.92$) $\Delta \mathbf{V}_{e\perp}$ and $\Delta \mathbf{B}_{\perp}$ indicated that $\omega/k_{\parallel} = -1.15 \pm 0.03 V_A$, i.e.,
158 the wave propagated anti-parallel to the background magnetic field near the Alfvén speed
159 [see Supplementary Fig. 2]. Although qualitatively similar ~ 1 Hz fluctuations have been
160 observed near Earth’s bow shock that are more consistent with magnetosonic wave
161 modes²⁶, a parallel phase speed well above the local sound speed of $\sim 0.5 V_A$ and the anti-
162 correlation between density and magnetic field fluctuations were inconsistent with slow
163 and fast magnetosonic wave modes, respectively.

164 In the second method we combined fluctuations of current and magnetic field in
165 the spacecraft frame to estimate \mathbf{k} as a function of frequency using spectral techniques
166 recently developed by *Bellan*^{23,24}. Here, the \mathbf{k} -vector was derived directly from
167 fluctuations in $\Delta \mathbf{J}$ and $\Delta \mathbf{B}$ measured in the spacecraft frame [see Fig. 3]. Although this
168 technique could have been applied to data from a single spacecraft, in order to maximize
169 spectral resolution we used the four-spacecraft average of $\Delta \mathbf{B}$ and the average $\Delta \mathbf{J}$
170 determined from magnetometer data using the four-spacecraft ‘curlometer’ technique²⁷.
171 The value of \mathbf{k} at the frequency of maximum spectral power, 0.9 Hz, was $\mathbf{k} = [7.1 \times 10^{-3}, -$
172 $2.0 \times 10^{-2}, -2.2 \times 10^{-2}] \text{ km}^{-1}$, which corresponded to a wavevector angle (θ) of $\sim 100^\circ$ with
173 respect to the background magnetic field and $k_{\perp} \rho_i \sim 1.0$.

174 In the third method we used the phase difference²⁵ measured between each pair of
175 MMS spacecraft for each component of the magnetic field to derive additional estimates
176 of \mathbf{k} . At the spectral peak of 0.9 Hz, the \mathbf{k} -vector determined from the phase-differencing
177 of the B_X , B_Y , and B_Z fluctuations (using MMS3 as a reference) were: $[-7.4 \times 10^{-5}, -8.5 \times 10^{-$
178 $3}, -1.5 \times 10^{-2}] \text{ km}^{-1}$, $[2.9 \times 10^{-2}, 4.7 \times 10^{-3}, -1.1 \times 10^{-2}] \text{ km}^{-1}$, and $[2.3 \times 10^{-2}, -3.5 \times 10^{-3}, -1.0 \times 10^{-2}]$
179 km^{-1} respectively. Although similar phase shifts were observed in all components of $\Delta \mathbf{B}$
180 between MMS2, MMS3, and MMS4, there were significantly different shifts of MMS1
181 with respect to the other observatories for each component [see Supplementary Fig. 3].
182 These differences demonstrated that this wave packet was not truly planar and exhibited
183 spatial structure on the order of an ion gyroradius. Because MMS1 was farthest from the
184 magnetopause (i.e., the X direction), the k_X component was most strongly affected by this
185 structure. Despite this discrepancy, all determinations of \mathbf{k} result in $k_{\perp} \rho_i \sim 1$ and the phase
186 differencing of B_X and B_Y components, those with the largest fluctuation power, both
187 produced $\omega/k_{\parallel} = -1.1 V_A$.

188 Finally, in the fourth method, the small MMS spacecraft separations and high
 189 quality tetrahedron formation enabled gradients of particle and field quantities to be
 190 estimated directly from MMS data. These gradients were compared with those predicted
 191 by the plane-wave approximation (i.e., ' $\nabla\bullet$ ' $\approx i\mathbf{k}$ and ' $\nabla\times$ ' $\approx i\mathbf{k}\times$ at a single frequency⁴) to
 192 both evaluate the validity of this approximation to the observed wave packet and to
 193 provide further validation of \mathbf{k} [see Fig. 4]. The current was calculated from three
 194 methods: (1) direct particle observations, i.e., $en_e(\mathbf{V}_i - \mathbf{V}_e)$, (2) magnetic field
 195 'curlometer'²⁷, i.e., $\nabla\times\mathbf{B}/\mu_0$, and (3) the plane-wave approximation, i.e., $i\mathbf{k}\times\mathbf{B}/\mu_0$. All
 196 three estimates of $\Delta\mathbf{J}$ are shown in Figure 4. k_y and k_z most strongly influenced the plane-
 197 wave derived currents such that this intercomparison was relatively insensitive to errors
 198 in the determination of k_x . The electron-pressure-gradient-driven electric field determined
 199 from four spacecraft measurements (i.e., $-\nabla\bullet\mathbf{P}_e/(n_e e)$), when compared with its plane-
 200 wave approximated value (i.e., $-i\mathbf{k}\bullet\mathbf{P}_e/(n_e e)$), provides further confidence in the
 201 determination of \mathbf{k} [see Fig. 4]. Here, all three components of \mathbf{k} contributed to this result.
 202 The X -component comparison demonstrates that k_x is of the correct sign but may
 203 underestimate the four-spacecraft gradient.

204 We adopted the \mathbf{k} -vector derived using the *Bellan*^{23,24} method $\mathbf{k} = [7.1\times 10^{-3}, -$
 205 $2.0\times 10^{-2}, -2.2\times 10^{-2}] \text{ km}^{-1}$ because it simultaneously leveraged data from all four spacecraft
 206 and all components of the magnetic field. Allowing for $\sim 30\%$ ($3\text{-}\sigma$ level) uncertainty in
 207 each individual component, we found $k_{\perp}\rho_i = 1.02\pm 0.07$ with wavevector angle $104\pm 4^\circ$
 208 from the magnetic field. The 0.9 Hz peak observed in the spacecraft frame (ω_{sc}) was then
 209 Doppler-shifted by $\omega = \omega_{sc} - \mathbf{k}\bullet\mathbf{V}_0$ to obtain a frequency of $\omega/\omega_{ci,H^+} = 0.61\pm 0.08$ in the
 210 plasma frame. We conclude that multiple independent methods indicated that MMS
 211 resolved a kinetic-scale Alfvén branch wave.

212
 213 **Modeled Wave Growth Rates.** Growth rates ($\gamma = \text{Im}\{\omega/\omega_{ci}\}$) and polarization
 214 ($\text{Re}\{iE_y/E_x\}$) solutions along the Alfvén-branch dispersive surface were estimated using a
 215 linear dispersion solver and are shown as a function of θ in Figure 5. The dispersion
 216 solver predicted that the large ion temperature anisotropy of $T_{i\perp}/T_{i\parallel} \sim 2$ produced a nearly
 217 monochromatic ion cyclotron wave mode that propagated parallel/anti-parallel to the
 218 background magnetic field ($\theta = 0^\circ, 180^\circ$) with $\omega/\omega_{ci} \sim 0.5$, $k\rho_i \sim 0.4$ and left-handed
 219 polarization. At increasingly oblique wavevector angles, the predicted wave growth was
 220 substantially reduced. There was no slow or fast magnetosonic wave growth predicted for
 221 the measured plasma parameters. Several Alfvén-branch dispersion curves are shown in
 222 Figure 5 as a function of $k\rho_i$ and θ . The observed KAW mode ($\omega/\omega_{ci} = 0.6$, $k\rho_i = 1$,
 223 $\theta = 100^\circ$) was close to, but not precisely on the solution surface. Nearby Alfvénic solutions
 224 to the measured data (matching two of the three wave parameters) were $\{\omega/\omega_{ci} = 0.3, k\rho_i$
 225 $= 1, \theta = 100^\circ\}$, $\{\omega/\omega_{ci} = 0.6, k\rho_i = 1.6, \theta = 100^\circ\}$, and $\{\omega/\omega_{ci} = 0.6, k\rho_i = 1, \theta = 110^\circ\}$. All of
 226 these nearby solutions were weakly damped ($|\gamma| \sim 10^{-2}$) such that local generation of the
 227 observed KAW was not predicted by linear wave theory. However, local spatial gradients

228 of plasma density may have increased the θ of the ion cyclotron mode during its
229 propagation, converting it into an oblique Alfvén wave⁴. Furthermore, non-linear effects
230 and parametric forcing (e.g., magnetopause motion), were not taken into account by the
231 homogenous dispersion solver, yet may have played a role in the evolution of the
232 observed KAW.

233

234 **Wave-Particle Interactions.** Given the demonstrated validity of the plane-wave
235 approximation for $\Delta\mathbf{E}_p$, the electron-pressure-gradient-driven electric field was estimated
236 at a single spacecraft, e.g., MMS4, using $-\mathbf{ik} \cdot \mathbf{P}_e / (n_e e)$. Fluctuations of $\Delta\mathbf{E}_p$ and $\Delta\mathbf{J}$ in
237 magnetic coordinates on MMS4 are shown in Figure 6. In addition to the transverse
238 electric-field fluctuations expected for all Alfvén waves, fluctuations in $\Delta E_{p\parallel}$ further
239 confirmed the presence of kinetic-scale effects. These parallel fluctuations were an order
240 of magnitude smaller than those in $\Delta E_{p\perp}$ as expected from KAW theory¹⁶. Furthermore,
241 fluctuations in all components of $\Delta\mathbf{J}$ and $\Delta\mathbf{E}_p$ (both perpendicular and parallel) were each
242 $\sim 90^\circ$ out-of-phase with one another. These phase differences resulted in a non-zero
243 instantaneous value of $\Delta(\mathbf{J} \cdot \mathbf{E}_p)$ with $\Delta|\mathbf{J} \cdot \mathbf{E}_p|_{\max} \approx 50 \text{ pW m}^{-3}$ and near-zero wave-
244 averaged $\Delta(J_{\perp} E_{p\perp})$ and $\Delta(J_{\parallel} E_{p\parallel})$ quantities. These data demonstrated the conservative
245 energy exchange between the particles and fields that comprise an undamped KAW.

246 Because $k_{\perp} \rho_e \ll 1$, electrons should have remained magnetized throughout the
247 wave packet. Close examination of the electron velocity distribution function in the
248 parallel wave frame revealed three distinct populations of electrons in the wave packet:
249 (1) an isotropic thermal core, (2) suprathermal beams counterstreaming along the
250 magnetic field, and (3) trapped particles with near $\sim 90^\circ$ magnetic pitch angles (Fig. 7).
251 Thermal and counterstreaming electrons are commonly observed in the magnetopause
252 boundary layer in the absence of analogous wave activity²⁸. However, trapped electron
253 distributions are atypical of ambient boundary layer plasmas. Furthermore, these trapped
254 electrons were dynamically significant: they accounted for $\sim 50\%$ of the density
255 fluctuations within the KAW. Although these electrons also resulted in a $\sim 20\%$ increase
256 in $T_{e\perp}$, they were not indicative of heating but rather of a non-linear capture process.

257 The depth of the parallel potential well was estimated from $\Delta E_{p\parallel}$ and k_{\parallel} to be
258 $\sim 10\text{V}$ [Fig. 7]. In addition, the parallel magnetic field of the wave generated a mirror
259 force that resulted in a kinetic-scale magnetic bottle between successive wave peaks. This
260 mirror force supplemented the force from the wave's parallel electric field, enabling
261 trapping of electrons with magnetic pitch-angles between $\sim 75^\circ$ and $\sim 105^\circ$
262 ($B_{\min}/B_{\max}=0.96$). To understand the combined effects of these forces, electrons measured
263 in the magnetic minima were Liouville-mapped to other locations along the wave using
264 various parallel potential well depths [Figure 8]. The full-width at half maximum distance
265 along the wave at a pitch-angle of 90° was calculated for each potential and compared
266 with the measured data. The best match between measured and Liouville-mapped
267 distributions was found for a potential well depth of $|\Phi_{\max}|=10\text{V}$. Such agreement

268 provided additional validation of $\Delta E_{p\parallel}$ and k_{\parallel} . In addition, these distributions
269 demonstrated that the effect of the parallel electric field was to confine magnetically
270 trapped electrons closer to magnetic minima.

271

272 **Discussion**

273

274 KAWs in turbulent space plasmas are thought to account for heating of plasmas at
275 kinetic scales⁵⁻⁷. In previous studies^{29,30}, such waves were found to have $k_{\perp} \gg k_{\parallel}$, i.e.,
276 $\theta \sim 90^{\circ}$. This plasma heating was accompanied by significant reductions in field
277 fluctuation power. The wave presented here had a somewhat higher frequency ($\omega_{ci,He2+} <$
278 $\omega < \omega_{ci,H+}$) than those considered in these previous KAW studies ($\omega \ll \omega_{ci,H+}, \omega_{ci,He2+}$).
279 Furthermore, its comparatively non-perpendicular wavevector ($\theta \approx 100^{\circ}$) and large scale
280 ($k_{\perp} \rho_i \approx 1$) indicated that the observed wave was close to the transition point between ideal
281 and kinetic regimes. Nonetheless, the wave had non-zero ΔJ_{\parallel} and $\Delta E_{p\parallel}$ fluctuations,
282 confirming that it contained kinetic-scale structure not present in an ideal Alfvén wave.
283 These observations demonstrated that the mere presence of a KAW or parallel electric
284 field fluctuations do not necessarily imply heating via Landau damping. Only in-phase
285 fluctuations in $\Delta \mathbf{J}$ and $\Delta \mathbf{E}_p$ result in such net transfer of energy from the wave-field to the
286 plasma particles.

287 In linear KAW theory, the electrostatic field formed by parallel gradients in
288 electron pressure enables the energization of particles via the Landau resonance^{4,13,16}.
289 Similarly, the transit-time resonance becomes relevant for systems where there are
290 parallel gradients in magnetic field magnitude. Despite the presence of these field
291 gradients in the observed KAW, out-of-phase $\Delta E_{p\parallel}$ and ΔJ_{\parallel} fluctuations and a finite wave
292 amplitude for several wave periods (i.e., $|\gamma| \ll 1$) indicated the absence of strong wave
293 growth or damping. Although a hot core population ($V_{th,e} \gg |\omega/k_{\parallel}|$) does not lead to
294 strong damping [Fig 5.], the velocity distribution function of electrons was not directly
295 sampled at energies corresponding to $V_{\parallel} \sim \omega/k_{\parallel}$, (i.e., ~ 0.5 eV). Electrons at these low
296 energies are often present as they serve to neutralize a ubiquitous population of ‘hidden’
297 cold ions that flow out from the ionosphere³¹. Such ionospheric electrons may have added
298 structure to the velocity distribution function near $V_{\parallel} \sim \omega/k_{\parallel}$, amplifying damping rates.
299 However, non-linear KAW theories have predicted that trapped electrons with $V_{\parallel} \sim \omega/k_{\parallel}$
300 lead to wave stabilization if their bounce frequency (ω_B) is significantly faster than the
301 damping or growth rate, i.e., $\omega_B/\omega_{ci} \gg |\gamma|$ ^{4,17,32}. We estimated $\omega_B/\omega_{ci} \sim 1$ for this wave,
302 consistent with such a criterion. Therefore, the presence of trapped electrons here could
303 have contributed to non-linear instability saturation in a single-mode wave even if there
304 were low energy structure in the electron distribution function that was not resolved by
305 MMS.

306 Finally, at higher frequencies (~ 1 kHz), fluctuations in the total parallel electric
307 field ΔE_{\parallel} associated with electron phase space holes³³ were bunched in phase with the

308 low frequency wave packet (Fig 1). Because these structures persisted outside of the
309 KAW interval (not shown), it is unlikely that they were related to its initial generation.
310 However, the location of these electron-scale structures within the wave was coincident
311 with the location of electron pressure gradients, suggesting that they could have
312 contributed, in an average sense, to some of the observed ion-scale $\Delta E_{p\parallel}$ fluctuations.
313 Furthermore, electron holes may have been responsible for higher frequency
314 contributions to $\Delta(J_{\parallel}E_{\parallel})$ in the form of non-linear and turbulent terms in the electron
315 momentum equation³⁴.

316 Using MMS data we have experimentally confirmed the conservative energy
317 exchange between an undamped kinetic Alfvén wave field and plasma particles:
318 fluctuations of all three components of $\Delta\mathbf{J}$ and $\Delta\mathbf{E}_p$ were 90° out-of-phase with one
319 another, leading to instantaneous non-zero $\Delta(\mathbf{J}\cdot\mathbf{E}_p)$. Furthermore, we have discovered a
320 significant population of electrons trapped within adjacent wave peaks by the combined
321 effects of the parallel electron-pressure-gradient-driven electric field and the magnetic
322 mirror force. In addition to contributing ~50% of the density fluctuations in the wave,
323 these trapped electrons may have provided non-linear saturation of Landau and transit-
324 time damping. The monochromatic nature of the wave enabled a direct comparison of
325 observations with linear and non-linear KAW theories. It is crucial to understand these
326 dynamics to predict the evolution of kinetic-scale waves in laboratory fusion reactors,
327 planetary magnetospheres, and astrophysical plasmas.

328 **Methods**

329 **Coordinate Systems.** The coordinate system used in this study (unless otherwise noted)
330 was the Geocentric Solar Ecliptic (GSE) coordinate system, where the X -direction
331 pointed towards the Sun along the Earth-Sun line, the Z -direction was oriented along the
332 ecliptic north pole, and the Y -direction completed the right-handed coordinate system³⁵.
333 Local ‘magnetic coordinates’ were derived from GSE vectors where \mathbf{B}_3 was parallel to
334 the local magnetic field direction, \mathbf{B}_1 was in the $\mathbf{X}_{\text{GSE}} \times \mathbf{B}_3$ direction, and \mathbf{B}_2 completed
335 the right-handed coordinate system, i.e., $\mathbf{B}_1 \times \mathbf{B}_2 = \mathbf{B}_3$.

336

337 **Calculation of Plasma Parameters.** The thermal gyroradius was calculated using

338

$$339 \quad \rho_i = \frac{m_{\text{H}^+} \sqrt{\frac{k_{\text{B}} T_{\text{H}^+ \perp}}{m_{\text{H}^+}}}}{eB} \quad (1)$$

340 where k_{B} is Boltzmann’s constant, e is the elementary charge, and m_{H^+} is the mass of H^+ .

341 The ion gyrofrequency was calculated using,

$$342 \quad \omega_{\text{ci}} = \frac{eB}{m_{\text{H}^+}} \quad (2)$$

343

344 The plasma thermal pressure was calculated using $n_{\text{H}^+} k_{\text{B}} T_{\text{H}^+}$. The magnetic pressure was
345 calculated using $B^2/2\mu_0$ where μ_0 is the magnetic permeability of free space. Finally, the
346 Alfvén speed was calculated using

347

$$348 \quad V_{\text{A}} = \frac{B}{\sqrt{\mu_0 n_{\text{H}^+} m_{\text{H}^+}}} \quad (3)$$

349 All calculations were done in SI units.

350

351 **$\Delta \mathbf{V}_e$ - $\Delta \mathbf{B}$ correlations.** The comparison of $\Delta \mathbf{V}_e$ and $\Delta \mathbf{B}$ was done in the direction of
352 minimum current density fluctuations ([0.93,0.32,0.18]) such that ion and electron
353 velocities were approximately equal. This minimum variance direction was nearly
354 perpendicular to the background magnetic field direction $\mathbf{b} = [0.10, -0.52, 0.85]$.

355

356 **Electric Field Measurements.** The electric field in the electron frame was defined as
357 $\mathbf{E} + \mathbf{V}_e \times \mathbf{B}$, where \mathbf{E} was the measured electric field in the ion frame²³. Since \mathbf{J} is frame-
358 independent, this electron-frame electric field is conveniently used for estimates of
359 energy transfer, i.e., plasma heating occurs when $\mathbf{J} \cdot (\mathbf{E} + \mathbf{V}_e \times \mathbf{B}) > 0$. At the scales relevant
360 for this KAW packet, electrons remained magnetized such that electron inertia and
361 anomalous resistivity contributions to the electric field were neglected and the pressure
362 gradient term should have been the dominant contributor to $\mathbf{E} + \mathbf{V}_e \times \mathbf{B}$ at low frequencies.
363 The individual amplitudes of \mathbf{E} and $\mathbf{V}_e \times \mathbf{B}$ were measured to be on the order of several
364 mV m^{-1} . Systematic uncertainty in both particle and fields measurements would have led
365 to a challenging recovery of $\mathbf{E} + \mathbf{V}_e \times \mathbf{B}$ because $|\mathbf{E} + \mathbf{V}_e \times \mathbf{B}| \ll |\mathbf{E}|, |\mathbf{V}_e \times \mathbf{B}|$. Therefore,

366 accurate direct estimates of $\mathbf{J} \cdot (\mathbf{E} + \mathbf{V}_e \times \mathbf{B})$ were not recovered for this event. Instead, here
 367 we focused on effects of the electric field generated by the divergence of the electron
 368 pressure tensor, i.e., $\mathbf{E}_p = -\nabla \cdot \mathbf{P}_e / (n_e e)$ and validated the measurement using multiple
 369 methods. In the electron frame, the electrons are not moving so there is no magnetic term
 370 in the electron equation of motion giving $\mathbf{E} \approx \mathbf{E}_p$.

371

372 **Linear Instability Analysis.** To determine the properties of kinetic modes that interact
 373 with ions and electrons at their respective scales we used the linear dispersion solver
 374 PLADAWAN³⁶ (PLAsma Dispersion And Wave ANalyzer) to solve the linearized
 375 Vlasov-Maxwell system for arbitrary wavevector directions. Using measured plasma
 376 parameters of ions and electrons, the dispersion solver produced growth rates and wave
 377 properties as functions of ω and \mathbf{k} . The plasma parameters used as input to the dispersion
 378 solver (assuming stationary plasma) were $n_e = 10 \text{ cm}^{-3}$, $B = 55 \text{ nT}$, $T_{e\pm} = T_{e\parallel} = 35 \text{ eV}$, $T_{H\parallel} =$
 379 $= 175 \text{ eV}$, and $T_{H\perp} = 350 \text{ eV}$. Wave polarization was calculated using the simulated
 380 electric field fluctuations as $\text{Re}\{iE_x/E_y\}$. Left-hand and right-hand polarization
 381 corresponded to $\text{Re}\{iE_x/E_y\} < 0$ and $\text{Re}\{iE_x/E_y\} > 0$, respectively⁴. No growth was
 382 observed for the slow-mode or fast-mode magnetosonic branches of the dispersion
 383 relation. Additional simulations were run to evaluate the influence of He^{2+} on the
 384 observed instability. Increased $n_{\text{He}^{2+}}/n_{\text{H}^+}$ ratios up to 0.02 with $T_{\text{He}^{2+}} = 550 \text{ eV}$ reduced the
 385 maximum wave growth but did not alter the sharpness of the peak in k -space. No new
 386 wave modes appeared to be introduced into the system from the presence of the local
 387 He^{2+} population.

388

389 **Liouville Mapping and Electron Bounce Motion.** Under the assumption that electron
 390 phase space density $f(\mathbf{v})$ was conserved along particle trajectories throughout the wave
 391 interval (i.e., Liouville's theorem), we used $f(\mathbf{v})$ measured in the magnetic minimum,
 392 defined as $f_o(\mathbf{v})$, a sinusoidal profile of the magnetic field strength B with $M = B_{\text{min}}/B_{\text{max}} =$
 393 0.96 , and a sinusoidal profile of electric potential Φ to infer the velocity distribution
 394 along the wave^{37,38}. Velocity space was transformed using equations,
 395

$$396 \quad v_{\parallel o} = \pm \sqrt{v_{\perp}^2(D) \left(1 - \frac{B_o}{B(D)}\right) + v_{\parallel}^2(D) - \frac{2e}{m_e} \Phi(D)}, \quad (4)$$

397 and

$$398 \quad v_{\perp o} = \sqrt{v_{\perp}^2(D) \left(\frac{B_o}{B(D)}\right)}, \quad (5)$$

399

400 where the 'o' subscripts denote values at the magnetic minimum of the wave. The '+' and
 401 '-' branches of equation (4) correspond to the sign of v_{\parallel} . For each $(v_{\parallel}, v_{\perp})$ point in the
 402 reconstructed skymap, equations (4) and (5) provided a point $(v_{\parallel o}, v_{\perp o})$ that was used to
 403 map a phase space density in the reference distribution, i.e., $f(v_{\parallel}, v_{\perp}) = f_o(v_{\parallel o}, v_{\perp o})$.

404

405 In the magnetic minimum ($D = \lambda_{||}/2$), $\frac{B_0}{B(D)} = 1$ and $\Phi = \Phi_0 = 0$. At the magnetic maximum
406 ($D = 0, \lambda_{||}$), $\frac{B_0}{B(D)} = M$ and $\Phi = -|\Phi_{\max}|$, i.e.,

407

$$408 \quad \frac{B_0}{B(D)} = M + (1 - M)\sin\left(\frac{\pi}{\lambda_{||}}D\right) \quad (6)$$

409

$$410 \quad \Phi(D) = -\frac{|\Phi_{\max}|}{2}\left(1 + \cos\left(\frac{2\pi}{\lambda_{||}}D\right)\right). \quad (7)$$

411

412 Finally, bounce frequencies ($\omega_B = 1/\tau_B$) for trapped electrons were estimated using,

413

$$414 \quad \tau_B = 4 \int_{\lambda_{||}/2}^R \frac{dD}{v_{||}(D)}, \quad (8)$$

414

415 where R was defined as the reflection point along the wave (i.e., $v_{||}(R) = 0$). Electrons
416 with pitch angles 75-90° and energies 100-400eV produced bounce frequencies of
417 1.4 ± 0.3 Hz (i.e., $\omega/\omega_{ci} = 1.6 \pm 0.3$) in a $\lambda_{||} = 830$ km wave with $M = 0.96$.

418

419

420 **MMS Data Sources and Processing.** Particle, magnetic field, and electric field data
421 were measured by the Fast Plasma Investigation³⁹ (FPI), the Fluxgate Magnetometers⁴⁰
422 (FGM), and Electric Field Double Probe⁴¹ (EDP) instruments, respectively.

423 Corresponding composition data at ~10s time resolution was obtained from the Hot
424 Plasma Composition Analyzer⁴² (HPCA). Time series data were high-pass filtered with a
425 5th order digital Butterworth IIR filter with coefficients $b = [0.85850229, -$
426 $4.29251147, 8.58502295, -8.58502295, 4.29251147, -0.85850229]$ and $a = [1.0, -$
427 $4.69504063, 8.82614592, -8.30396669, 3.90989399, -0.73702619]$, where b and a
428 correspond to the filter's numerator and denominator polynomials listed in increasing
429 order. This filter had an effective cutoff frequency of 0.5 Hz and no discernable effect
430 (<1%) on the amplitude or phase of a 0.9 Hz input signal.

431

432 **Data Availability.** Data used for this study is available to download from the MMS
433 Science Data Center (<https://lasp.colorado.edu/mms/sdc/>) or from the corresponding
434 author upon request.

435

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551 **End Notes**

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559

560 **Author Contributions.**

561 D. J. Gershman conducted the majority of the scientific and data analysis and was
562 responsible for initial preparation of the manuscript text.

563 A. F-Viñas assisted with the interpretation of wave signatures, plasma wave modeling
564 and with the preparation of the manuscript text.

565 J.C. Dorelli, S. A. Boardsen and L. A. Avanov assisted with the interpretation of plasma
566 wave signatures, detailed analysis of plasma data, and with the preparation of the
567 manuscript text

568 P. M. Bellan assisted with the implementation of the wave vector determination method
569 and with the preparation of the manuscript text

570 S. J. Schwartz assisted with the Liouville mapping of electron data and preparation of the
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573 ensured quality of high-resolution plasma data and assisted with the preparation of the
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575 S. A. Fuselier provided and ensured the quality of the plasma composition data.

576 R. E. Ergun, and R.B. Torbert provided and ensured the quality of high-resolution electric
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582

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584 **Figures and Figure Legends**

585

586 **Figure 1. MMS observations of a reconnection exhaust.** (a) Illustration of the MMS
587 constellation near the dayside magnetopause on 30 December 2015. MMS entered a
588 southward flowing reconnection exhaust in the separatrix region on the magnetospheric
589 (msp) side of the magnetopause. (b-i) Plasma parameters from MMS4 across the jet are
590 shown from 22:23-22:30 UT. The density increased to $\sim 10 \text{ cm}^{-3}$ (d) and $-V_z$ increased by
591 $\sim 200 \text{ km s}^{-1}$ (e). No rotation in the magnetic field (h) indicated that the spacecraft
592 remained inside the magnetosphere during this time period. $\sim 1 \text{ Hz}$ waves (h,i) were
593 observed to be localized in a region of enhanced ion temperature anisotropy, with $T_{\perp}/T_{\parallel} \sim$
594 2 (f). H^+ dominated the ion composition during this time period.

595

596 **Figure 2. MMS observations of a KAW packet.** Plasma parameters measured by the
597 four MMS observatories on 30 December 2015 in a KAW packet. (a,b) Compressive
598 fluctuations are observed in anti-correlated electron density (Δn_e) and magnetic field
599 magnitude (ΔB) measurements. (c,d) Positively correlated fluctuations are observed in
600 near-transverse components of the magnetic field (ΔB_x) and electron bulk velocity
601 (ΔV_{ex}). (e-h) Fluctuations in both parallel and perpendicular temperature of both electrons
602 (ΔT_e) and ions (ΔT_i) are shown, with the strongest relative fluctuations ($\sim 10\%$) observed
603 in the perpendicular electron temperature. (i) Bursts of electron-scale phase space holes
604 measured in the parallel electric field (ΔE_{\parallel}) are bunched with the ion-scale KAW wave
605 and correspond to some of the gradients in the measured electron pressure.

606

607 **Figure 3. Wavevector estimated from current density fluctuations.** (a) Power
608 spectral density of MMS-averaged magnetic field magnitude from 22:26:28.18-
609 22:26:35.83 UT, (b) the imaginary part of the Fourier amplitudes of fluctuations in
610 MMS-averaged $\mathbf{J} \times \mathbf{B}$, and (c) corresponding components of $\mathbf{k}(\omega)$ derived using the
611 *Bellán*^{23,24} technique. At the spectral peak of $\sim 0.9 \text{ Hz}$, $\mathbf{k} = [7.1 \times 10^{-3}, -2.0 \times 10^{-2}, -2.2 \times 10^{-2}]$
612 km^{-1} . This wavevector yielded $k_{\perp} \rho_i \sim 1$ and an angle of $\sim 100^\circ$ with respect to the
613 background magnetic field.

614

615 **Figure 4. Comparison of current and electric field estimates.** (a-c) MMS-averaged
616 current fluctuations ($\Delta \mathbf{J}$) derived from the curlometer technique (blue), four-spacecraft-
617 averaged particle observations (black), and four-spacecraft-averaged plane-wave
618 approximation using $\mathbf{k} = [7.1 \times 10^{-3}, -2.0 \times 10^{-2}, -2.2 \times 10^{-2}] \text{ km}^{-1}$ (red). (d-g) MMS-averaged
619 $\Delta \mathbf{E}_p$ and $\Delta(\mathbf{J} \cdot \mathbf{E}_p)$ derived from the divergence of the electron pressure tensor (blue) and
620 from the plane-wave approximation (red). Agreement between all quantities provides
621 additional confidence in the estimation of \mathbf{k} .

622

623 **Figure 5. Modeled dispersion curves for the local plasma environment.** (a) The real
624 part of ω/ω_{ci} , i.e., the wave oscillation frequency, (b) the imaginary part of ω/ω_{ci} , i.e., the
625 wave growth/damping rate, and (c) the real part of iE_x/E_y , i.e., the polarization of the
626 wave, as a function of scaled wave-vector magnitude $k\rho_i$. Colored curves correspond to
627 solutions of a linear dispersion relation solver taken along the Alfvén branch for different
628 wavevector angles (θ) relative to the background magnetic field. The fastest growing
629 wave mode has a wavevector parallel/anti-parallel to the background magnetic field (i.e.,
630 $\theta = 0^\circ, 180^\circ$) at $\omega/\omega_{ci} \sim 0.5$ and $k\rho_i \sim 0.4$ and is left-hand polarized (i.e., $\text{Re}\{iE_x/E_y\} < 0$).
631 A transition to right-hand polarization (i.e., $\text{Re}\{iE_x/E_y\} > 0$) occurred at $\theta \sim 130^\circ$. No
632 strong growth or damping was predicted for the observed KAW ($\theta = 104 \pm 4^\circ$, $\omega/\omega_{ci} =$
633 0.61 ± 0.08 and $k_{\perp}\rho_i = 1.02 \pm 0.07$), indicated with the shaded area in panel (a). The
634 dimensions and color of the shaded area correspond to the reported uncertainties of the
635 measured ω/ω_{ci} and $k_{\perp}\rho_i$ parameters and $\theta \approx 100^\circ$, respectively. Nearby solutions that
636 match two of the measured $\{\omega/\omega_{ci}, k\rho_i, \theta\}$ parameters (but not all three) are shown as
637 solid circles. The color of each circle corresponds to the wavevector angle.

638
639 **Figure 6. Current and electric field fluctuations in a KAW.** Fluctuations in (a)
640 magnetic field magnitude ΔB , (b) parallel electric field $\Delta E_{p\parallel}$ and parallel current ΔJ_{\parallel} , (c)
641 $\Delta(J_{\parallel}E_{p\parallel})$, (d-e) perpendicular electric fields ($\Delta E_{p\perp 1}$ and $\Delta E_{p\perp 2}$) and current ($\Delta J_{\perp 1}$ and
642 $\Delta J_{\perp 2}$), and (f) $\Delta(J_{\perp}E_{p\perp})$ observed by MMS4 on 30 December 2015 between 22:26:27 and
643 22:26:37 UT. Pressure-gradient-driven electric field quantities were inferred from the \mathbf{k} -
644 vector and electron pressure tensor from MMS4 using the plane-wave approximation
645 (i.e., $\mathbf{E}_p = -i\mathbf{k} \cdot \underline{\mathbf{P}}_e/n_e e$). Current densities were derived directly from MMS4 particle
646 observations. Current density and electric field fluctuations were 90° out of phase in both
647 the perpendicular and parallel directions, resulting in non-zero instantaneous $\Delta(\mathbf{J} \cdot \mathbf{E}_p)$,
648 which provided confirmation of the conservative energy-exchange between the wave
649 field and plasma particles. The amplitude of $\Delta(J_{\perp}E_{p\perp})$ was an order of magnitude higher
650 than $\Delta(J_{\parallel}E_{p\parallel})$. The wave-averaged $\Delta(\mathbf{J} \cdot \mathbf{E}_p)$ was approximately zero, indicating that the
651 wave was in a marginally stable state, i.e., was neither growing or damping. Quantities
652 are shown in magnetic coordinates.

653

654

655 **Figure 7. Structure inside of a KAW packet.** Profile of (a) density n_e , (b) perpendicular
656 electron temperature $T_{e\perp}$, (c) magnetic field magnitude B , (d) parallel electric field $\Delta E_{p\parallel}$
657 inferred from electron pressure gradients, and (e) parallel potential Φ integrated from
658 $\Delta E_{p\parallel}$ as a function of position D in the wave for MMS4 from 22:26:29.94-22:26:30.90
659 UT. The reference value for the potential ($\Phi = 0$) was taken at the center of the wave, i.e.,
660 at the magnetic minimum. The wave had a parallel wavelength of $\lambda_{\parallel} \sim 830$ km or $\sim 20 \rho_i$.
661 The ratio of the minimum to maximum magnetic field magnitude was $B_{\min}/B_{\max} = 0.96$,
662 which was sufficient to trap electrons with magnetic pitch angles between $\sim 75^\circ$ and
663 $\sim 105^\circ$. Phase space density as a function of energy and magnetic pitch-angle are shown at
664 the magnetic (f) maximum ($D = 0$) and (g) at the magnetic minimum ($D = \lambda_{\parallel}/2$) in the
665 wave frame of reference (i.e., all measured velocities shifted by $-V_A$ along the magnetic
666 field direction). An illustration of three corresponding populations of electrons is shown
667 in V_{\parallel} - V_{\perp} space in (h). Thermal (energies below $T_e \approx 35$ eV) electrons have nearly isotropic
668 pitch-angle distributions (blue contours). Suprathermal (energies above T_e) electrons
669 were observed as peaks in the phase space density at pitch-angles near 0° and 180° (red
670 contours). Finally, a trapped population with energies above T_e is shown between the
671 dashed vertical lines (purple contours). These trapped electrons were responsible for the
672 increased perpendicular temperature at the magnetic minima, and accounted for $\sim 50\%$ of
673 the increase in density.

674

675 **Figure 8. Liouville-mapped electrons in a KAW.** Measured phase space densities from
676 MMS4 as a function of magnetic pitch angle and position in the wave, D , between
677 successive magnetic field maxima in the KAW packet from Fig. 3 (22:26:29.94-
678 22:26:30.90 UT) for 132 eV electrons. Liouville-mapped distributions are shown for
679 $|\Phi|_{\max} = 0$ V, 5 V, 10 V, 15 V, 20 V, and 25 V (a-g). These distributions were constructed
680 using measured phase space densities at the magnetic minimum (i.e., $D = \lambda_{\parallel}/2$). The
681 mirror ratio of $B_{\min}/B_{\max} = 0.96$ confined particles to pitch-angles between 75° and 105° in
682 all cases. The parallel potential formed from $\Delta E_{p\parallel}$ provided additional spatial localization
683 of the trapped population within the wave minima. Vertical dashed lines denote the full-
684 width at half-maximum along D at a pitch-angle of 90° . The best agreement with the
685 measured data occurred for the distribution mapped using $|\Phi|_{\max} = 10$ V, which was
686 consistent with independent estimates of k_{\parallel} and $\Delta E_{p\parallel}$.















