

1 **MMS observations of energized He<sup>+</sup> pickup ions at quasi-perpendicular**  
2 **shocks**

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8

9 **Abstract**

10 Accelerated He<sup>+</sup> PUIs, downstream of quasi-perpendicular shocks, are studied as  
11 a function of the fast mode Mach number ( $M_f$ ) and shock obliquity ( $\theta_{Bn}$ ). We  
12 analyze 10 quasi-perpendicular shocks with Mach numbers in the range [1, 7]  
13 observed by the Magnetospheric MultiScale (MMS) mission, and compare upstream  
14 and downstream He<sup>+</sup> velocity distribution functions (VDFs). For each shock  
15 event, we characterize the upstream PUI distribution and derive reduced 1D  
16 velocity distributions for the selected upstream and downstream intervals. We  
17 also compare the upstream to downstream ratio of spectral indices, computed  
18 from the He<sup>+</sup> perpendicular distributions, to  $M_f$  and  $\theta_{Bn}$ . We find a positive  
19 correlation between this spectral index ratio and  $M_f$ , which suggests that  
20 perpendicular energization of He<sup>+</sup> PUIs is enhanced as the shock becomes  
21 stronger. These results inform modeling efforts of PUIs and shock  
22 acceleration processes, particularly those taking place at the termination  
23 shock.

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## 1. Introduction

Collisionless shocks are a ubiquitous phenomenon that occur naturally in space plasma environments. They are characterized by sharp discontinuities in the local magnetic field, bulk plasma density, and bulk flow speed. They mediate the transition between supersonic and subsonic plasma flows. Typically, shocks are classified by the angle ( $\theta_{Bn}$ ) between the upstream magnetic field and the shock normal vector ( $\vec{n}_{sh}$ ), which points into the upstream region. When  $\theta_{Bn} < 45^\circ$ , the shock is referred to as quasi-parallel, whereas shocks with  $\theta_{Bn} > 45^\circ$  are referred to as quasi-perpendicular. The strength of the shock is typically characterized by the Alfvénic Mach number ( $M_A = \frac{v_{up}^n}{v_A}$ ), or the fast mode Mach number ( $M_f = \frac{v_{up}^n}{v_f}$ ). Here,  $v_{up}^n$  is the upstream bulk plasma flow speed normal to the shock surface,  $v_A$  is the Alfvén flow speed, and  $v_f$  is the speed of the fast mode magnetosonic wave. These Mach numbers, along with the shock angle, are useful parameters for the systematic study of ion dynamics at shocks.

Within the heliosphere, shocks are categorized into two types: traveling and stationary shocks. Within each category exists multiple subclasses, resulting in a rich variety of shocks present throughout the heliosphere. Traveling shocks refer to those that move through interplanetary space, relative to the Sun, such as coronal mass ejection (CME)-driven interplanetary shocks (e.g., Desai et al., 2004) or forward/reverse shocks bounding corotating interaction regions (CIR) within the solar wind (SW; e.g., Mason et al., 2008). On the other hand, stationary shocks are those that do not move much with respect to the Sun, such as planetary bow shocks (e.g., Desai et al., 2000) and the termination shock which is one of the boundaries in the outer heliosphere (e.g., Stone et al., 2005). Such variety results in complex interactions between shocks and local particle populations. Indeed, it is understood that collisionless shocks are important generators of energetic particle populations throughout the heliosphere (e.g., Lee, 1983; Jones & Ellison, 1991; Desai & Burgess, 2008).

The leading theory for ion acceleration at shocks is diffusive shock acceleration (DSA; Fisk & Lee, 1980; Lee, 1983, Jones & Ellison, 1991). Encompassed within this theory are two main mechanisms which are thought to accelerate ions: the first order Fermi mechanism (Baring, 1997; Caprioli et al., 2010) and the shock drift acceleration mechanism (SDA; Chen & Armstrong, 1975; Decker, 1981, 1983; Caprioli et al., 2015). For a time, SDA was thought to be separate altogether from DSA. However, as discussed in Jones & Ellison (1991), work by Kota (1979) and Jokipii (1979, 1982) has shown that the energy gain due to curvature and gradient drifts is included in the diffusion-convection equation of DSA (see Jones (1990) for a derivation). While the Fermi mechanism is more efficient for high-energy particles ( $> \sim 10$ s of keV), SDA is capable of accelerating thermal and suprathermal particles (Caprioli et al., 2015). Furthermore, both processes act simultaneously at a shock, however the relative importance of each is thought to depend on the shock geometry ( $\theta_{Bn}$ ; Jones & Ellison, 1991; Jokipii, 1982; Decker & Vlahos, 1986). At quasi-parallel shocks, particles are able to diffuse back and forth across the shock via collisions with magnetic obstacles. Due to the differences in the upstream and downstream bulk motion of these obstacles, the diffusing particles experience a net increase in momentum. This Fermi mechanism is thus thought to be more efficient at quasi-parallel shocks. On the other hand, at quasi-perpendicular shocks, SDA is expected to be the dominant mechanism responsible for particle acceleration. In SDA theory, ions are reflected by the magnetic gradient at the shock, and resample the shock multiple times due to their gyration about the local magnetic field. Upon each interaction with the shock, the ion feels the force of the upstream solar wind (SW) electric field ( $\vec{E}_{SW} = -\vec{v}_{SW} \times \vec{B}_{IMF}$ ) and is accelerated through the upstream region.

80 Eventually the ion is able to escape downstream of the shock with a net  
81 increase in energy. There are other mechanisms which can also play  
82 significant roles in ion acceleration at quasi-perpendicular shocks: specular  
83 shock reflection (SR; Sonnerup, 1969; Sckopke et al., 1983, 1990; Sckopke,  
84 1995), shock surfing (SS; Lee et al., 1996), and multiply reflected ion  
85 acceleration (MRI; Zank et al., 1996). In particular, SR, in which an  
86 incident ion is reflected by the cross-shock electrostatic potential, has  
87 been shown to play a significant role in ion acceleration at near  
88 perpendicular shocks (Oka et al., 2002b; Starkey et al., 2019). While the  
89 process by which an ion resamples the shock is different for each of the  
90 mentioned mechanisms, the energy gain for each is due to drift or gyrotory  
91 motion through the upstream electric field. For instance, an ion that is  
92 specularly reflected at a quasi-perpendicular shock will gyrate through the  
93 upstream electric field, resulting in a net energy gain once the ion escapes  
94 downstream. Thus, at quasi-perpendicular shocks, ions are expected to be  
95 accelerated largely in a direction perpendicular to the magnetic field,  
96 rather than parallel to the field.

97 In this paper we study quasi-perpendicular shocks and how ion  
98 acceleration at these shocks changes with shock parameters. To date, ion  
99 acceleration at Earth's high Mach perpendicular bow shock has been studied  
100 extensively through observations and modeling (Paschmann et al., 1980;  
101 Sckopke, 1995; Sckopke & Paschmann, 1983; Sckopke et al., 1990; Sonnerup,  
102 1969; Burgess et al., 2012). The effect of Mach number and  $\theta_{Bn}$ , regarding the  
103 degree to which ions are accelerated, has also been studied in simulations  
104 (Leroy et al., 1981, 1982). The general consensus is that the acceleration  
105 efficiency should increase with Mach number and that these effects are  
106 largely perpendicular to the magnetic field. However, it is not fully  
107 understood how these acceleration processes act on distinct ion populations  
108 within the solar wind. For example, mechanisms such as SDA and SR require  
109 ions with specific velocity space characteristics in order to be efficient.  
110 Thus, these mechanisms may act differently on ion populations with different  
111 velocity characteristics, such as the interstellar pickup ions, from those of  
112 the bulk solar wind.

113 Interstellar pickup ions (PUI) are interstellar neutral particles that  
114 have become ionized in transit through the heliosphere. Upon ionization, a  
115 freshly born PUI moves with speed  $|\vec{v}_{SW} - \vec{v}_{LISM}|$  relative to the solar wind, where  
116  $\vec{v}_{LISM}$  is the velocity of neutral particle population within the local  
117 interstellar medium (LISM) from which the fresh PUI was born. This motion  
118 consists of a guiding center motion and a gyromotion around the local  
119 interplanetary magnetic field (IMF). The gyrospeed is  $\leq v_{SW} + v_{LISM}$  in the  
120 plasma frame and depends on the direction of the SW flow and the IMF. Thus,  
121 fresh PUI velocity distribution functions (VDF) will resemble a ring in the  
122 SW reference frame, whose axis is aligned with the IMF direction. In the rest  
123 frame of the Sun, or a slowly moving spacecraft, the velocity boundary of  
124 this ring will have a maximum possible speed of  $2 * |\vec{v}_{SW} - \vec{v}_{LISM}|$ . This maximum  
125 cutoff speed has typically been used to identify high energy PUIs in SW ion  
126 distributions (Zirnstein et al., 2018; Zank et al., 1996). Furthermore, due  
127 to their generation mechanism, PUIs are distinguishable from bulk SW ions by  
128 their energy and velocity space characteristics (Möbius & Hovestadt, 1985;  
129 Gloeckler & Geiss, 1998; Gloeckler et al., 2004b; Drews et al., 2013, 2015;  
130 McComas et al., 2017; Gomez et al., 2019; Starkey et al., 2019, 2020). Not  
131 only are PUIs distinguishable from SW ions, but their velocity space  
132 characteristics make them ideal candidates for participation in the drift  
133 acceleration mechanisms discussed above. Indeed, recent theoretical and  
134 simulation work has suggested that due to their generation mechanism, singly  
135 charged PUIs form a possible source for shock-accelerated energetic particle  
136 populations observed throughout the heliosphere (Giacalone & Jokipii, 1995;  
137 Kucharek & scholar, 1995; Lee et al., 1996; Zank et al., 1996; Ellison et al.,

138 1999; Yang et al., 2011). This suggestion has been confirmed through multiple  
139 observations of PUIs at quasi-perpendicular shocks (Gloeckler et al., 1994;  
140 Oka et al., 2002; Gloeckler et al., 2004a; Giacalone & Decker, 2010;  
141 Zirnstein et al., 2018; Starkey et al., 2019, 2020).

142 While interstellar  $H^+$  is certainly the most abundant PUI within the SW,  
143 it is also convolved with SW and suprathermal  $H^+$  and thus difficult to  
144 distinguish observationally. On the other hand, during quiet solar wind  
145 conditions,  $He^+$  in the solar wind is typically of interstellar origin (Möbius  
146 & Hovestadt, 1985). Furthermore, due to the Sun’s gravitational focusing of  
147 neutral Helium, the  $He^+$  PUI density is increased within what is referred to as  
148 the Helium focus cone (Möbius & Hovestadt, 1985). As the Earth orbits the sun  
149 and passes through this focus cone, the higher density of  $He^+$  PUIs enables  
150 better observations of these ions. Thus,  $He^+$  PUIs form a suprathermal seed  
151 population in the solar wind that is distinguishable from SW thermal ions and  
152 readily observable, particularly when Earth is within the focus cone  
153 (Swaczyna et al., 2019). Since the Earth’s bow shock is mediated by the bulk  
154 SW  $H^+$ ,  $He^+$  acts as a test particle at the shock and thus can be used as  
155 tracers of acceleration processes taking place at the shock. This  
156 characteristic makes  $He^+$  a natural test particle species for the study of ion  
157 acceleration at quasi-perpendicular shocks.

158 Understanding how PUIs are accelerated at quasi-perpendicular shocks  
159 informs modeling of PUIs throughout the heliosphere. In particular, it  
160 provides insight into the physics surrounding the heliospheric termination  
161 shock. As the solar wind moves radially outward from the Sun, the relative  
162 density of PUIs increase. In the outer heliosphere, PUIs begin to dominate  
163 the SW dynamic pressure. Thus, PUIs are thought to heavily influence the  
164 termination shock, which is considered a quasi-perpendicular shock (Zank et  
165 al., 1996). By studying how PUIs are accelerated at Earth’s bow shock as a  
166 function of Mach number and  $\theta_{Bn}$ , valuable insights are obtained into the ion  
167 dynamics at the termination shock. This in turn aids in the understanding of  
168 anomalous cosmic rays (ACRs), which are thought to be accelerated at the  
169 termination shock.

170 In this paper we study MMS observations of 10 quasi-perpendicular  
171 shocks (nine terrestrial bow shock crossings and one interplanetary shock)  
172 with varying Mach number and  $\theta_{Bn}$ . We compare  $He^+$  ion VDFs upstream and  
173 downstream of the shock and relative to the local magnetic field in order to  
174 identify signs of preferential ion heating or energization. We sample the  
175 parameter space defined by  $M_f \in [1,7]$  and  $\theta_{Bn} > 60^\circ$ . We also investigate changes in  
176 the power-law index of VDFs in the direction perpendicular to the magnetic  
177 field. These results help to explain how suprathermal  $He^+$  populations interact  
178 with shocks of varying strength and geometry. Furthermore, this work informs  
179 future modelling and simulation efforts of PUI distributions and shock  
180 acceleration processes.

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## 2. Spacecraft and Event Selection

183 We use ion distributions measured by the Hot Plasma Composition  
184 Analyzer (HPCA; Young et al., 2014), magnetic field data from the Fluxgate  
185 Magnetometer (FGM; Russell et al., 2016), and bulk SW velocity and density  
186 measurements provided by the Fast Plasma Investigation (FPI; Pollock et al.,  
187 2016) located on each of the four MMS spacecraft. We also use ion and  
188 electron temperature measurements provided by the Solar Wind Experiment  
189 located on the Wind spacecraft (Ogilvie et al., 1995) in our calculations of  
190 the  $M_f$ .

191 We first compiled a list of shocks (see Table 1) observed by MMS to  
192 include in this study, based on a set of selection criteria ( $M_{ms} > 1$  and  $\theta_{Bn} >$   
193  $60^\circ$ ). We limited our search window to the months of November – January during  
194 the years 2015–2019, which corresponded to dayside sweeps of the MMS  
195 spacecraft. We also chose these months so that the Earth and MMS were within

196 the annual Helium focus cone, thus boosting He<sup>+</sup> measurement statistics. We  
197 identified shocks by sharp discontinuities in the magnetic field and bulk  
198 flow velocity. Most of the shocks that we identified were Earth's bow shock.  
199 However, in an effort to identify interplanetary shocks as well, we cross  
200 referenced the ACE list of interplanetary shocks with times when MMS was in  
201 the SW. We were only able to identify one interplanetary shock that was  
202 observed in the MMS data that conformed to our selection criteria. We next  
203 calculated the shock parameters for each shock and compared them to our  
204 selection criteria. For each of the bow shock observations, we calculated the  
205 shock normal and shock speed using ACE data as input to the Merka2005 model  
206 of Earth's bow shock (Merka et al., 2005). We also calculated the shock  
207 normal and shock speed using the magnetic coplanarity theorem. By comparing  
208 the two resulting vectors with the location of MMS at the time of the  
209 observation, we determined which normal vector and speed was more likely to  
210 represent the true shock parameters. Once the shock normal and shock speed  
211 was determined, we calculated the shock angle,  $\theta_{Bn}$ , and the fast mode and  
212 Alfvénic Mach numbers,  $M_f$  and  $M_A$ , respectively. In these calculations, we  
213 used a 10–20 min averaging window directly upstream of the shock, which  
214 depended on how constant the upstream parameters were. Due to the inability  
215 of FPI and HPCA to resolve the solar wind beam, the resulting density and  
216 temperature measurements are somewhat underestimated. Thus, we use Wind data  
217 to estimate the upstream density and ion and electron temperatures, used in  
218 the calculations of  $M_f$  and  $M_A$ .

219 Table 1 lists the shocks that we included in this study based on this  
220 selection criteria. There are 9 bow shocks (labelled BS in the Type column)  
221 and one interplanetary shock, which was the forward shock of a CIR (labelled  
222 F-CIR). The last column shows the classification results of the upstream 2D  
223 distribution for each shock (see Section 4.1). The shock parameters for the  
224 Jan. 08, 2018 (S2) were taken from Cohen et al., 2019 which provided an in-  
225 depth analysis of this shock using burst data from MMS. The shocks are  
226 organized by increasing  $M_f$ . The last column shows the results of our  
227 classifications of each upstream 2D distribution (see Section 4.1). Table 1  
228 also provides estimates of the magnetic and density compression ratios,  
229 computed using FGM and FPI (when available) data, respectively. The magnetic  
230 compression ratio was calculated using the transverse component of the  
231 magnetic field relative to each shock. Here,  $B_{up}$  and  $n_{up}$  are the upstream  
232 magnetic field strength and ion density, while  $B_{dn}$  and  $n_{dn}$  are the downstream  
233 quantities, respectively. These quantities were averaged over ~20 min  
234 intervals that started/ended ~2 min after/before the shock observation time.  
235 Note that three events (S8, S9, and S10) have magnetic compression ratios >  
236 4, which conflicts with ideal MHD jump conditions. This may be due to a  
237 number of reasons: 1) contribution of relativistic particles to the shock  
238 mediation process, 2) time-dependent changes in the plasma that occur between  
239 measurements of upstream and downstream regions, and/or 3) issues with the  
240 underlying assumptions of ideal MHD. The error in each quantity shown was  
241 calculated by propagating the standard deviation of each measurement used in  
242 the calculation of that quantity. The shock angle relied heavily on the use  
243 of the Merka2005 model of Earth's bow shock, and so it is quite difficult to  
244 determine the error in each value of  $\theta_{Bn}$ . Instead, an error of 5° was assigned  
245 to each value of  $\theta_{Bn}$ , which was based on typical values for quasi-  
246 perpendicular shocks (Gonzalez-Esparza & Balogh, 2000). Our parameter space  
247 coverage includes  $M_f$  within the range ~[1,7] and  $\theta_{Bn}$  within the range ~[60°,90°].

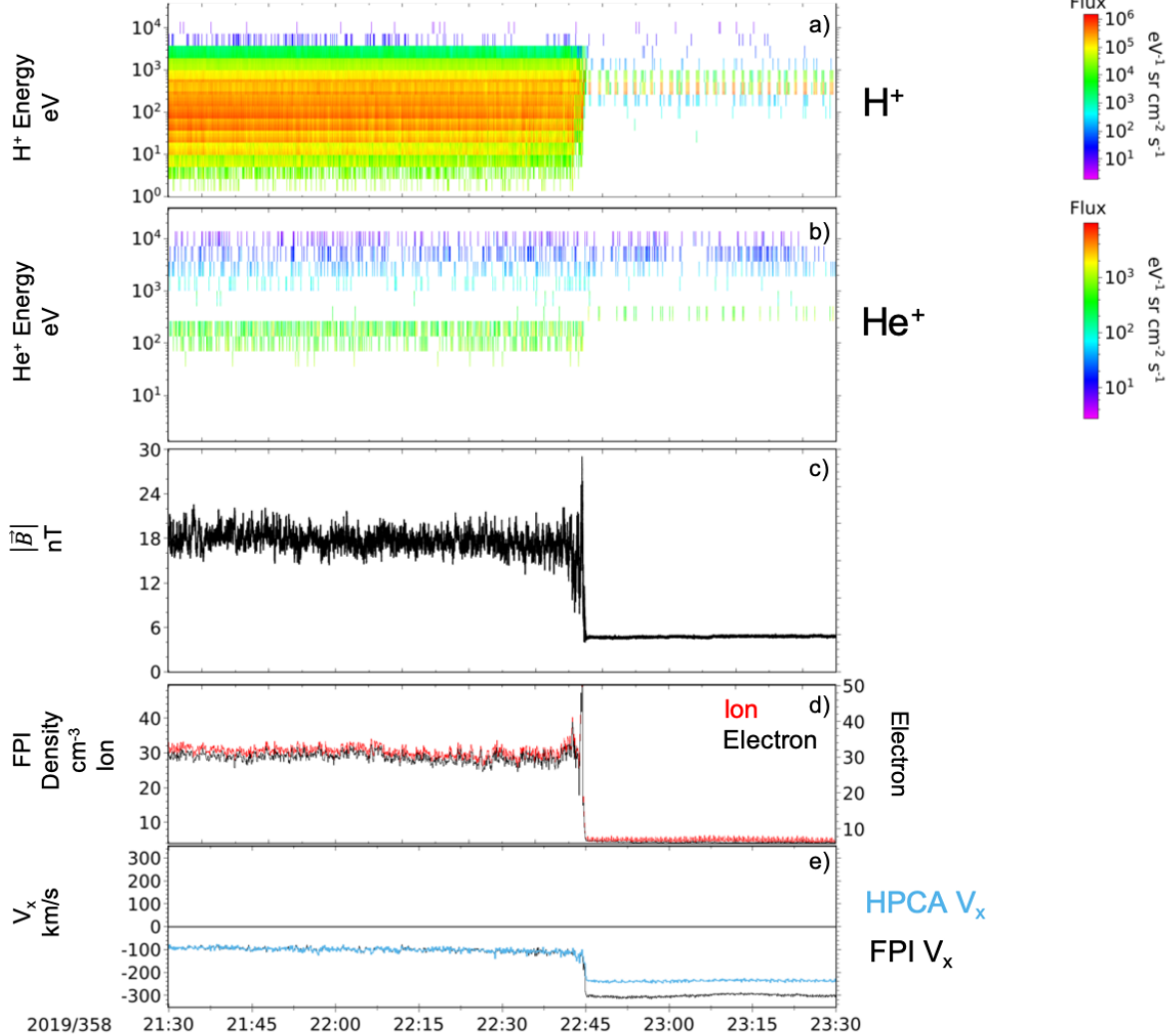
Shock Label	Shock Date	Shock Time (UT)	Type	$\theta_{Bn}$ ( $^{\circ}$ )	$M_A$	$M_f$	$B_{dn}/B_{up}$	$n_{dn}/n_{up}$	Distribution Type (Upstream)
S1	2019-11-02	18:48	BS	$115/65 \pm 5$	$2.7 \pm 1.4$	$1.4 \pm 0.7$	$3.8 \pm 0.8$	$3.5 \pm 4.3$	Partial Shell
S2	2018-01-08	06:40	F-CIR	$113/67 \pm 5$	$2.8 \pm 1.3$	$1.9 \pm 0.9$	$2.5 \pm 0.1$	$2.2 \pm 1.1$	Ring
S3	2019-11-03	07:58	BS	$95/85 \pm 5$	$2.8 \pm 1.3$	$3.1 \pm 1.0$	$4.1 \pm 0.8$	$5.5 \pm 4.7$	Partial Shell
S4	2019-12-24	22:45	BS	$100/80 \pm 5$	$5.3 \pm 2.5$	$3.8 \pm 1.8$	$3.7 \pm 0.2$	$6.1 \pm 1.7$	Undetermined
S5	2019-11-11	10:10	BS	$66 \pm 5$	$5.5 \pm 3.7$	$4.1 \pm 2.2$	$3.2 \pm 0.4$	$2.5 \pm 5.9$	Partial Shell
S6	2016-12-06	11:18	BS	$92/88 \pm 5$	$5.7 \pm 2.7$	$4.4 \pm 2.0$	$4.0 \pm 0.4$	$5.5 \pm 7.9$	Shell
S7	2019-11-16	12:52	BS	$67 \pm 5$	$9.2 \pm 4.3$	$5.0 \pm 2.4$	$2.6 \pm 0.5$	$3.0 \pm 2.9$	Shell
S8	2016-12-06	12:04	BS	$89 \pm 5$	$8.4 \pm 4.0$	$5.7 \pm 2.5$	$5.0 \pm 0.4$	$3.8 \pm 5.1$	Shell
S9	2015-11-20	06:51	BS	$92/88 \pm 5$	$7.8 \pm 3.7$	$5.9 \pm 2.6$	$7.1 \pm 0.7$	$2.9 \pm 2.9$	Ring
S10	2015-12-05	08:44	BS	$85 \pm 5$	$9.5 \pm 4.5$	$6.1 \pm 2.7$	$5.2 \pm 0.8$	$3.9 \pm 1.2$	Shell

**Table 1.** List of shock events included in this study along with the calculated shock parameters and compression ratios. In the fourth column, BS indicates a bow shock observation while F-CIR indicates the forward shock of a CIR. The last column shows the results of our classifications of the upstream 2D distributions (see Section 4.1).  $B_{up}$  and  $n_{up}$  are the upstream magnetic field strength and ion density, while  $B_{dn}$  and  $n_{dn}$  are the downstream quantities. The magnetic compression ratio was calculated using the transverse components of the magnetic field relative to the shock. The uncertainties shown are the propagated errors in each measurement, due to the temporal averaging of each quantity used in the calculation.

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Figure 1 shows a quasi-perpendicular shock that was observed on Dec. 24, 2019 (S4) by MMS3. Panels a) and b) show the  $H^+$  and  $He^+$  omni-directional differential intensity measured by HPCA, respectively, followed by the FGM magnetic field strength in panel c) and the FPI ion (red) and electron (black) density in panel d). The last panel shows a comparison of the x-component of the HPCA bulk velocity (blue) and the FPI bulk velocity (black) in GSE coordinates. HPCA underestimates the bulk velocity when measuring the solar wind, as seen in panel d). Thus, when available, we use the FPI measured SW speed in this work. This particular shock was observed by MMS at 22:45 UT, and is identified by the sharp decrease in magnetic field strength accompanied by a sharp decrease in ion/electron density and a sharp increase in flow speed. The high  $H^+$  flux to the left of the shock indicates that the MMS spacecraft was initially within the Earth's magnetosheath as the shock moved earthward across the spacecraft. To the right of the shock, the high flow speed (panel e), weak and constant field strength (panel c) and cold  $H^+$  flux (panel a) indicates that MMS had entered the solar wind. Our next step was to analyze  $He^+$  velocity distribution functions upstream/downstream of each of the 10 shocks listed in Table 1.

**S4** Dec. 24 2019:  $M_f = 3.8, M_A = 5.4, \theta_{Bn} = 100/80^\circ$



**Figure 1.** Overview of the bow shock event S4, observed by MMS3. Panels a) and b) show the H<sup>+</sup> and He<sup>+</sup> omni-directional differential intensity. Panels c) and d) show the FGM magnetic field strength and FPI measured ion and electron density. The last panel (f) shows the HPCA V<sub>x</sub> component (blue) and FPI V<sub>x</sub> component (black) of the bulk plasma velocity in GSE. The shock parameters calculated for this event are shown at the top of the plot. The shock is identified by the sharp discontinuities in field strength, density, and velocity, observed at ~22:45 UT.

### 3. Data Analysis

The He<sup>+</sup> distributions shown in this paper were measured by HPCA. HPCA is a toroidal electrostatic analyzer (ESA) optically coupled to a carbon foil time-of-flight (TOF) section and it provides measurements of an ion's energy-per-charge (E/Q) and mass-per-charge (M/Q) ratio, respectively (Young et al., 2014). HPCA produces full 3D velocity distributions for each of the five ion species H<sup>+</sup>, He<sup>2+</sup>, He<sup>+</sup>, O<sup>2+</sup>, and O<sup>+</sup>. In survey mode, HPCA scans through 63 E/Q steps, 16 azimuth look directions, and 16 elevations, which composes the full phase space of E/Q and solid angle (63 energy x 16 azimuth x 16 elevation) every 10 s. Each phase-space pixel is then assigned a velocity vector determined from the E/Q and look direction corresponding to that pixel. These velocity vectors then represent a 3D velocity distribution

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283 function (VDF) in geocentric solar ecliptic (GSE) coordinates, which  
 284 correspond to the measured phase-space density (PSD).  
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### 286 3.1 Constructing 2D and 1D VDFs

287 For each shock analyzed in this paper, we identified intervals upstream  
 288 and downstream of the shock over which ion distributions were averaged. We  
 289 aimed to select long time intervals (on the order of 30 minutes), in order to  
 290 boost He<sup>+</sup> statistics, over which the ion parameters were mostly stable. Once  
 291 the upstream and downstream intervals were determined, we next translated the  
 292 3D VDFs from the spacecraft frame to the bulk plasma frame (determined from  
 293 HPCA ion moments), and then rotated the distributions from GSE to a field  
 294 aligned coordinate system defined by  
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$$296 \hat{x} = \frac{(\hat{b} \times \vec{V}_{Bulk}) \times \hat{b}}{\|(\hat{b} \times \vec{V}_{Bulk}) \times \hat{b}\|} \quad \hat{y} = \frac{(\hat{b} \times \vec{V}_{Bulk})}{\|(\hat{b} \times \vec{V}_{Bulk})\|} \quad \hat{z} = \hat{b} = \frac{\vec{B}_{IMF,GSE}}{\|\vec{B}_{IMF,GSE}\|} . \quad (1)$$

297 This was done for each velocity vector from the 3D VDF, using HPCA plasma  
 298 moments and 10-sec averaged FGM magnetic field data. We next calculated 2D  
 299 distributions from the 3D VDFs by averaging the VDFs around the gyrophase  
 300 ( $\varphi$ ), i.e., the local magnetic field direction:  
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$$303 f(V_{\parallel}, V_{\perp}) = \frac{1}{2\pi} \int_0^{2\pi} f(V_{\perp}, \varphi, V_{\parallel}) d\varphi. \quad (2)$$

304 We first defined a uniformly spaced Cartesian grid of velocities (40 x 40  
 305 km/s bins) of  $V_{\parallel}$  vs.  $V_{\perp}$ , where  $V_{\parallel} = v_z$  and  $V_{\perp} = \sqrt{v_x^2 + v_y^2}$ . Each 2D bin then  
 306 consisted of the average PSD corresponding to a given pair of velocities,  
 307 ( $V_{\perp}, V_{\parallel}$ ). These 2D distributions were computed at the 10 sec cadence of the 3D  
 308 VDFs and then averaged over the selected upstream and downstream intervals.  
 309 This results in our final upstream and downstream 2D distribution. In order  
 310 to identify how He<sup>+</sup> PUI distributions change across the shock and relative to  
 311 the magnetic field, we integrated each 2D distribution over the parallel and  
 312 perpendicular direction. This resulted in 1D distributions ( $f(V_{\parallel})$  and  $f(V_{\perp})$ )  
 313 defined by  
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$$316 f(V_{\parallel}) = \sum_{V_{\perp}} 2\pi f(V_{\parallel}, V_{\perp}) V_{\perp} \Delta V_{\perp}, \quad (3)$$

$$317 f(V_{\perp}) = \sum_{V_{\parallel}} 2\pi f(V_{\parallel}, V_{\perp}) V_{\perp} \Delta V_{\parallel}, \quad (4)$$

318 Each phase space contribution to an integral is the average phase space  
 319 within the contributing phase space pixel.  
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321 In order to identify signs of energization in the perpendicular  
 322 direction, we also computed 1D perpendicular PSD slices by averaging the 2D  
 323 distributions in the parallel dimension near  $V_{\parallel} = 0 \text{ km s}^{-1}$ . These PSD slices are  
 324 defined by  
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$$326 f_{slice}(V_{\perp}) = \sum_{|V_{\parallel}| \leq 60 \frac{\text{km}}{\text{s}}} f(V_{\parallel}, V_{\perp}). \quad (5)$$

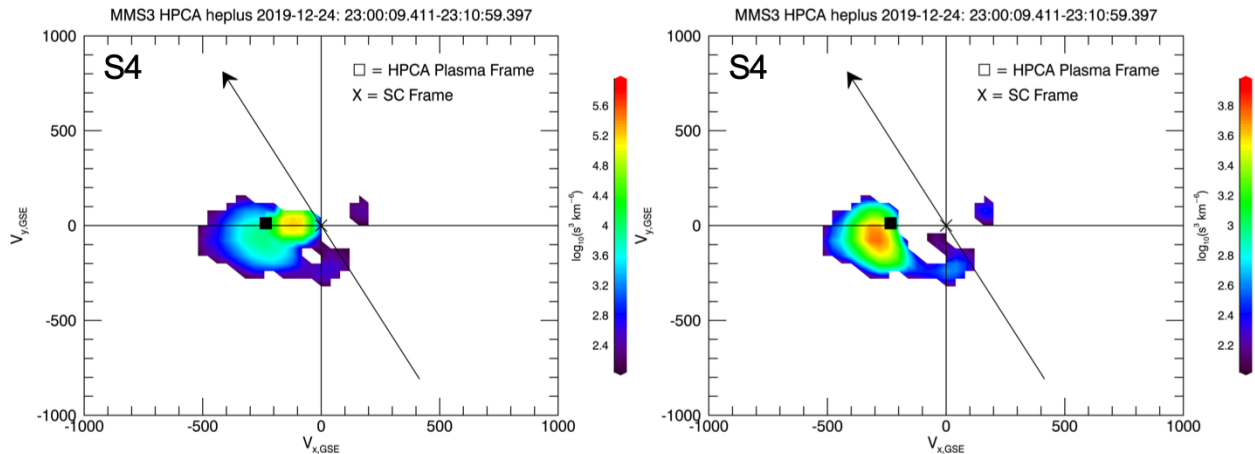
327 These slices were computed for both upstream and downstream distributions.  
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### 330 3.2 Solar Wind Contamination

331 When the HPCA instrument measures environments with high proton fluxes,  
 332 such as the solar wind and magnetosheath, uncorrelated coincidence counts are  
 333 recorded in the TOF section of the instrument. These counts are recorded in  
 334 all TOF bins including those for He<sup>+</sup> and are highest solar wind energies.



335 These so called “bleed-over” counts have been discussed by Gomez *et al.*  
 336 (2019), Starkey *et al.* (2019), and Starkey *et al.*, (2020), and must be  
 337 removed in order to isolate the true He<sup>+</sup> signal. To minimize bleed-over  
 338 counts, energy channels corresponding to solar wind proton energies are  
 339 removed from all He<sup>+</sup> distributions. Thus, we only analyze the higher energy  
 340 portion of the PUI distribution. In HPCA survey mode, due to telemetry  
 341 constraints, counts from every four energy steps are summed together. Since  
 342 all of the data shown in this paper was acquired in survey mode, we  
 343 consecutively removed blocks of 4 energy channels from the distributions in  
 344 order to remove the bleed-over signal. To determine the appropriate energy  
 345 channels to remove, we first plotted reduced 2D distributions in the  
 346 spacecraft frame and in GSE coordinates. These 2D distributions are formed by  
 347 simply summing over the  $z_{\text{gse}}$  dimension. Figure 2 is an example of such a  
 348 distribution for the upstream interval of the bow shock event S4. In both  
 349 panels, the origin represents the spacecraft frame and the black box is the  
 350 projected bulk plasma frame. The black arrow is the projection of the  
 351 magnetic field vector, averaged over the time interval shown at the top of  
 352 both panels. The left panel shows the He<sup>+</sup> distribution without removing any  
 353 energy channels, while the right panel shows the same distribution, but with  
 354 counts from energy channels 0-43 (1.35 – 1639.35 eV) removed (note the change  
 355 in the color bar scale in the right panel). In the left panel, the bleed-over  
 356 proton signal is the PSD (yellow spot) located at  $(V_x, V_y) \cong (-150, 0)$  km/s. The  
 357 bleed-over counts are recorded in He<sup>+</sup> TOF bins corresponding to solar wind  
 358 proton energies. Since these counts are registered as He<sup>+</sup> ions, when converted  
 359 to He<sup>+</sup> velocity they appear with speeds lower than the bulk proton speed by  
 360 the factor  $\sqrt{\frac{m_{\text{He}}}{m_{\text{H}}}} = 2$ . In the right panel, the majority of the bleed-over proton  
 361 signal has been removed and we are left with the high-energy portion of the  
 362 He<sup>+</sup> PUI distribution. We performed the same analysis for all shocks in order  
 363 to remove the bleed-over proton signal. In all cases, we removed energy  
 364 channels 0-43 (1.35 – 1639.35 eV) or 0-47 (1.35 – 3173.78 eV) depending on  
 365 the solar wind energy.



366 **Figure 2.** Comparison plot of 2D He<sup>+</sup> PSD distributions in the GSE x-y plane. The  
 distributions were measured by MMS3 and summed over the  $z_{\text{GSE}}$  dimension. The black  
 367 arrow in both plots is the projection of the upstream magnetic field direction.  
 368 The origin represents the spacecraft frame, while the black box represents the  
 369 projection of the upstream bulk solar wind velocity vector. The left plot shows  
 the distribution with all HPCA energy channels included while in the right plot,  
 energy channels 0-43 (1.35 – 1639.35 eV) have been removed.

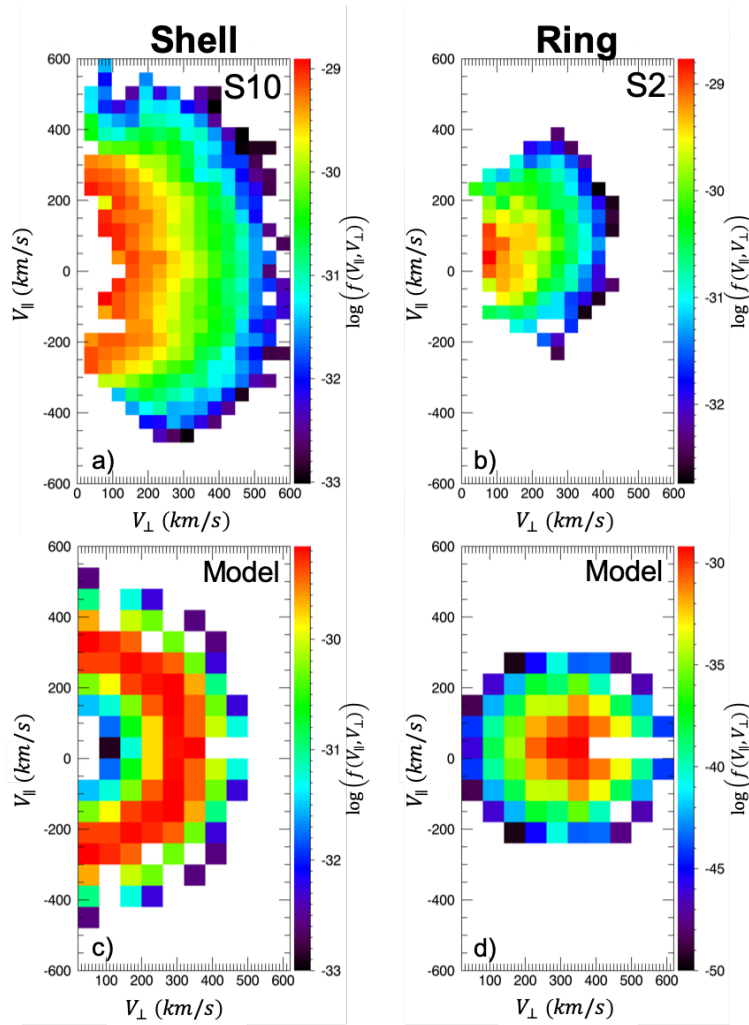
#### 4. Results

370 We compared upstream and downstream distributions in order to identify  
371 signs of preferential heating/energization relative to the local magnetic  
372 field. We first discuss the form of the upstream PUI distributions that we  
373 observed. We next compare  $f(V_{\parallel})$ , upstream and downstream of each shock, and  
374 quantify the observed parallel heating. Then, we compare  $f(V_{\perp})$  across the  
375 shock and discuss the observed signs of heating and preferential ion  
376 energization in the perpendicular direction. Lastly, we compare the change in  
377 power-law indices of  $f_{slice}(V_{\perp})$  across the shock to  $M_f$ .

#### 378 4.1 Upstream PUI Distributions

379 We compared 2D He<sup>+</sup> VDFs from the upstream regions of each shock in order  
380 to determine and categorize their form. Theoretically, initial PUI  
381 distributions are expected to form a ring-like distribution in the bulk  
382 plasma frame, whose outward normal to the plane of the ring aligns with the  
383 local magnetic field direction and with radius  $V_{sw} \sin(\alpha)$ , where  $\alpha$  is the angle  
384 between the magnetic field and bulk solar wind velocity. When  $\alpha < 90^\circ$ , the PUI  
385 distribution's guiding center motion will have a component parallel to the  
386 field. Thus, these distributions are referred to as ring-beam distributions.  
387 For the purposes of this paper, we will refer to them as ring distributions.  
388 This ring can then evolve into a shell-like distribution due to pitch-angle  
389 scattering. In our 2D distributions, an ideal PUI ring distribution would  
390 appear as a localized spot of high PSD located near  $V_{\parallel} = 0$  km/s (depending on  $\alpha$ )  
391 and  $V_{\perp} = V_{sw}$ , whereas an ideal shell distribution should have PSD distributed  
392 around the arc defined by  $\sqrt{V_{\perp}^2 + V_{\parallel}^2} = V_{sw}$ . Note that since our 2D distributions  
393 are gyrophase-averaged, we are unable to distinguish between a gyrotropic and  
394 gyrophase-bunched distribution.

395 Figure 3 shows a comparison between measured and theoretically modelled  
396 ring distributions and shell distributions in the plasma rest frame. Panels  
397 a) and b) show measured upstream 2D VDFs from events S10 and S2,  
398 respectively, while panels c) and d) show 2D modelled distributions of an  
399 ideal shell and ring distribution, respectively. Panel a) is representative  
400 of a shell-like distribution due to the high PSD located within the arc  $v =$   
401  $\sim 400$  km/s. Furthermore, the radius of the measured shell distribution agrees  
402 well with the measured upstream solar wind speed ( $V_{sw} = 392$  km/s) (Starkey et  
403 al., 2019). On the other hand, panel b) is representative of a ring  
404 distribution due to the high PSD contributions centered near  $V_{\parallel} = 50$  km/s and  
405 within  $V_{\perp} = 300$  km/s, which agrees well with the measured solar wind speed for  
406 this event of  $V_{sw} = 298$  km/s. Due to the Gaussian falloff of the model ring  
407 distribution, centered on  $V_{sw}$ , the model ring distribution has significant PSD  
408 contributions beyond  $V = V_{sw}$  as opposed to the sharp cutoff that is observed in  
409 the data. Note that the offset from  $V_{\parallel} = 0$  km/s of the peak phase space density  
410 in the right panel is likely due to the underestimation of the HPCA bulk  
411 velocity vector, which is used to define our frame transformation. We also  
412 note that the underestimation of the HPCA SW velocity vector may result in  
413 additional stretching of the upstream 2D distributions in the perpendicular  
414 direction. However, we still observe a sharp drop in PSD in the upstream 2D  
415 distributions for  $V > V_{sw, HPCA}$ , which is consistent with expected PUI SW  
416 distributions. Thus, the underestimation of the HPCA SW vector should not  
417 significantly affect the results of this paper. We see that the measured  
418 shell and ring VDFs compare well to their modelled counterparts,  
419 respectively. Note that since we removed lower energy channels from our VDFs  
420 (due to bleed-over proton counts), we do not see PSD contributions near  $V_{\parallel} = 0$   
421 km/s.  
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**Figure 3.** Examples of upstream 2D  $\text{He}^+$  VDFs computed from Eq. 2. Panel a) shows event S10 and panel b) shows event S2. Panels c) and d) show modelled shell and ring distributions, respectively. Each plot shows the gyrophase averaged PSD with the parallel velocity on the y-axis and perpendicular velocity on the x-axis, relative to the magnetic field. The left plots correspond to PUI shell distributions and the right plots correspond to PUI ring distributions.

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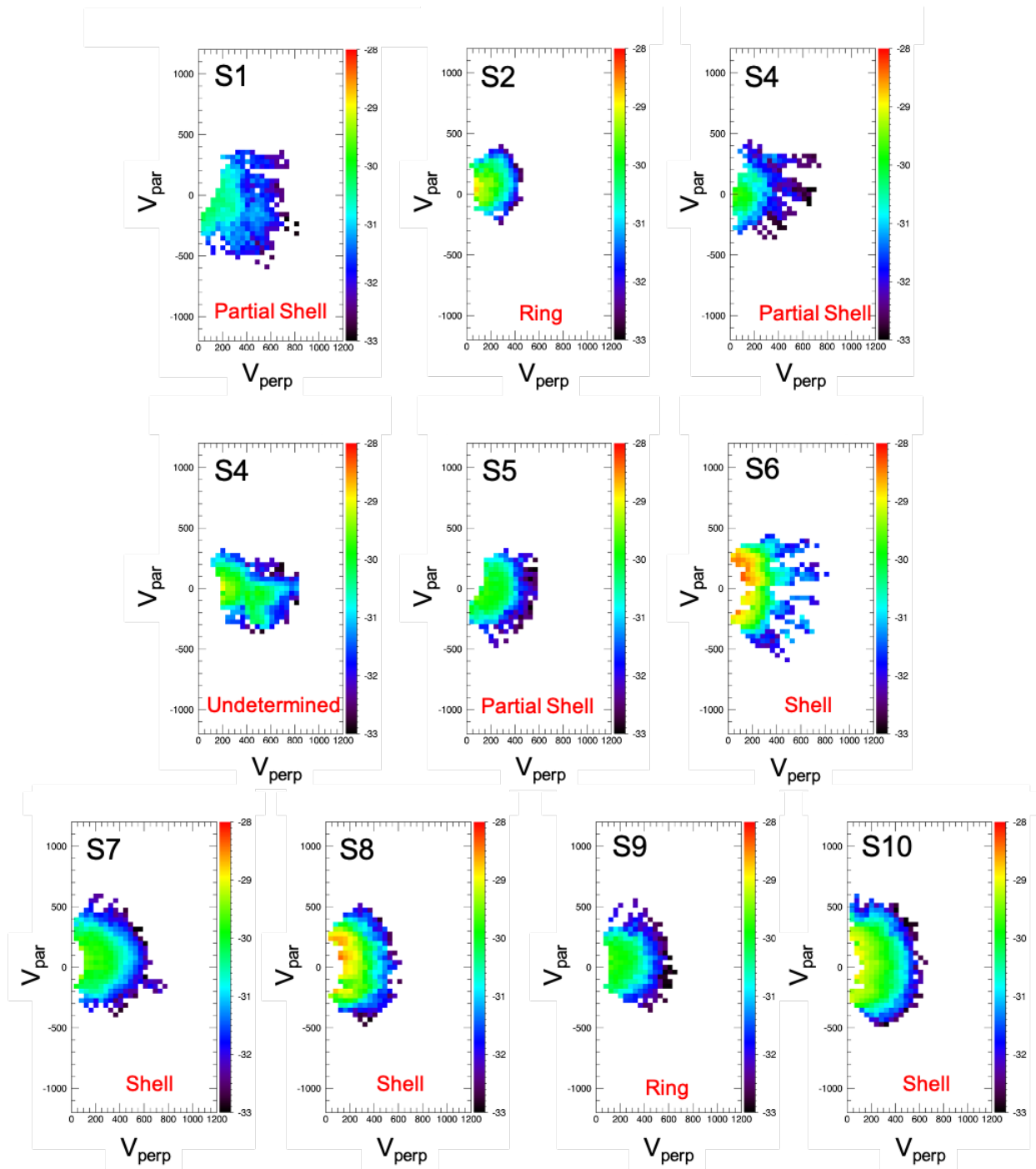
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To classify the form of the upstream VDFs from the 10 events studied in this paper, we defined 4 categories: shell, partial shell, ring, undetermined. The results of this classification are shown in Fig. 4 and are as follows: 4 shell, 3 partial-shell, 2 ring, and 1 undetermined. The distributions thus tend to resemble shell or partial shell distributions for the majority of the cases. Note that the single undefined distribution (corresponding to S4) contained a high energy population of  $\text{He}^+$  ions centered on  $(V_{\perp} = \sim 2V_{sw}, V_{\parallel} = 0)$  in the 2D distribution. This population was in addition to what we would have considered a ring-like distribution.



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**Figure 4.** Upstream 2D He<sup>+</sup> VDFs for each of the 10 shocks. The event label is shown in the top left corner of each plot and the classification for each distribution is shown in red at the bottom of each plot.

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#### 4.2 Comparison of Parallel Distributions

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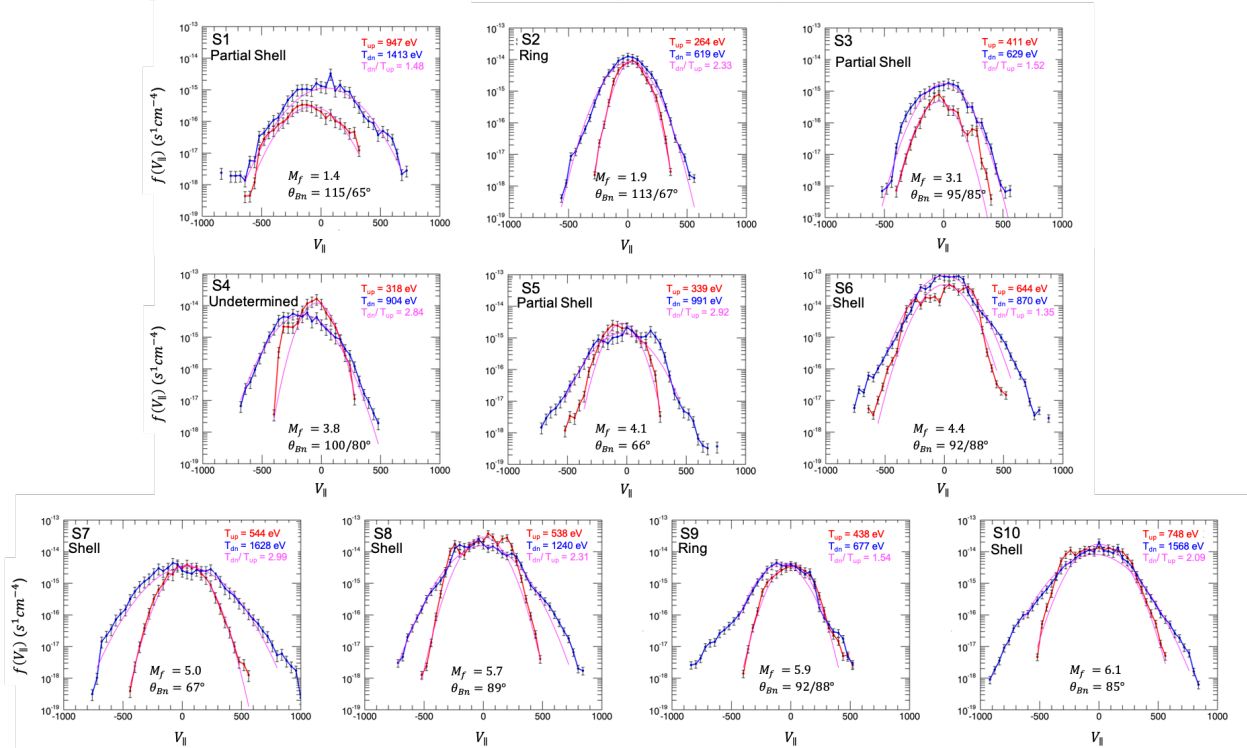
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In this subsection we discuss our results obtained from comparing upstream to downstream  $f(V_{\parallel})$ . In order to quantify the relative amount of heating that occurred across each shock, we estimated the temperature of the upstream and downstream  $f(V_{\parallel})$  using 1D Maxwellian fits of the distributions. Figure 5 shows the resulting upstream to downstream comparisons for each

443 shock event. The panels are ordered by increasing  $M_f$  (S1-S10) from left to  
 444 right and downward. Each panel of the figure corresponds to a different shock  
 445 (labelled in the top left corner) and shows  $f(V_{\parallel})$  upstream (red) and  
 446 downstream (blue) of the shock. The classification of the upstream 2D  
 447 distribution is shown in the top left corner of each panel, below the event  
 448 label. The magenta lines are the Maxwellian fits for both distributions. The  
 449 temperatures of the Maxwellian fits are then shown in the top right corner,  
 450 and are color coded to the upstream and downstream intervals. The ratio of  
 451 these temperatures is also shown in magenta.

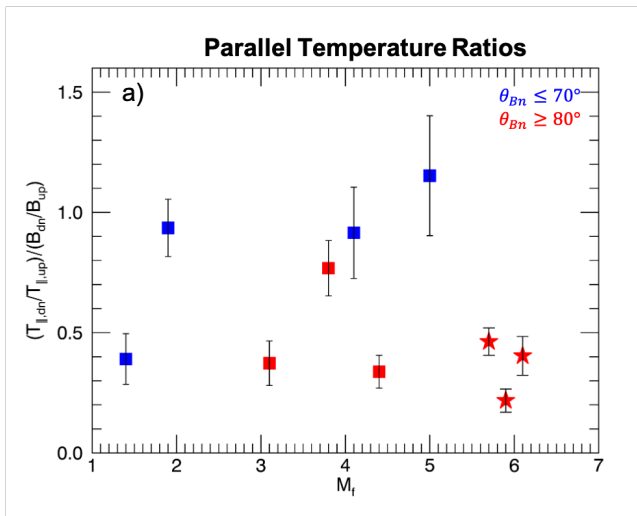


452 **Figure 5.** Comparisons of  $f(V_{\parallel})$ , upstream (red) and downstream (blue) of each shock  
 event (labelled in the top right corner of each panel). The classification of the  
 upstream 2D distribution is shown in the top left corner of each panel, below the  
 event label. The magenta curves are the Maxwellian fits to each distribution and  
 the resulting temperature values are shown in the top right corner of each panel,  
 color coded to the upstream/downstream interval. The ratio of the resulting  
 temperatures is also shown in the top right corner of each panel.

453  
 454 From Fig. 5, we see that in all cases  $f(V_{\parallel})$  have been heated across the  
 455 shock. However, if we first restrict our attention to shocks with  $\theta_{Bn} \leq 70^\circ$   
 456 (S1, S2, S5, and S7), it appears that the core of the downstream parallel  
 457 distribution has broadened relative to the core of the upstream distribution.  
 458 On the other hand, for shocks with  $\theta_{Bn} \geq 80^\circ$  (S3, S4, S6, S8, S9, and S10), the  
 459 core of the downstream distribution seems to track the core of the upstream  
 460 distribution closely with less broadening than the shocks with  $\theta_{Bn} \leq 70^\circ$ .  
 461 However, the tails of these distributions extend to higher speeds and exhibit  
 462 a distinct change in the slope of the distribution away from the Maxwellian  
 463 core. This feature is more pronounced for higher Mach shocks and is not  
 464 generally seen in the downstream distributions of shocks with  $\theta_{Bn} \leq 70^\circ$ . These  
 465 results thus suggest that for lower  $\theta_{Bn}$  and  $M_f$ , the evolution of the  
 466 distribution across the shock is dominated by core heating. On the other  
 467 hand, for higher  $\theta_{Bn}$  and  $M_f$ , the downstream distributions show signs of a  
 468 combination of heating and energization due to the broadening of the cores

469 and the divergence of the tails from a pure Maxwellian distribution,  
 470 respectively.

471 It has been shown by Pesses (1981b) that the first adiabatic invariant  
 472 ( $\mu_B$ ) is on average conserved at perpendicular shocks. We would then expect the  
 473 heating across the shock to scale with magnetic compression ratio. Thus, the  
 474 ratio of temperatures across the shock should be equal to the magnetic  
 475 compression ratio if the heating was due to solely to the conservation of  $\mu_B$ .  
 476 Note that the conservation of  $\mu_B$  initially leads to perpendicular heating, but  
 477 with sufficient scattering this heat can be redistributed into the parallel  
 478 direction. In order to quantify the relative amount of heating that occurs  
 479 across each shock and to investigate this relation, we plotted the ratio,  
 480  $(T_{\parallel,dn}/T_{\parallel,up})/(B_{dn}/B_{up})$ , against  $M_f$  in Fig. 6. Here,  $T_{\parallel,dn}$  and  $T_{\parallel,up}$  are the downstream  
 481 and upstream temperatures derived from the Maxwellian fits of  $f(V_{\parallel})$ ,  
 482 respectively. The quantity  $B_{dn}/B_{up}$  is the transverse magnetic compression ratio  
 483 from Table 1. The data points are color coded to  $\theta_{Bn}$ , and the error bars  
 484 correspond to the  $1-\sigma$  uncertainties in the computed temperature values. Note  
 485 that since the perpendicular distributions are non-Maxwellian in nature, we  
 486 can only estimate their temperatures by performing a second order moment  
 487 calculation. However, due to the removal of lower energy channels, these  
 488 calculations are not accurate and are not an appropriate comparison to the  
 489 Maxwellian-derived parallel temperatures. Thus, we do not provide  
 490 perpendicular temperature calculations in this paper. If we focus on the blue  
 491 points first, for which  $\theta_{Bn} \leq 70^\circ$ , we see that the ratio is near 1 for the  
 492 shocks with  $M_f > 1.5$ . A ratio of 1 suggests that the observed heating may be due  
 493 to the conservation of  $\mu_B$ , where we have assumed that there is sufficient  
 494 scattering to redistribute the heat from the perpendicular to the parallel  
 495 direction. On the other hand, for shocks with  $\theta_{Bn} \geq 80^\circ$  (red points), the ratio  
 496 is less than 1 and decreases slightly with increasing  $M_f$ . This suggests that  
 497 either other mechanisms contribute to the parallel heating, or that there is  
 498 insufficient scattering to redistribute the perpendicular heating resulting  
 499 from the conservation of  $\mu_B$ . Of course, this may also be due to a combination  
 500 of the two. Since the downstream distributions are not isotropic, but highly  
 501 anisotropic, we do not attempt to estimate the amount of energy transferred  
 502 to the parallel component. These results suggest that the significance of  
 503 heating via adiabatic compression may depend on  $\theta_{Bn}$ , and is likely stronger  
 504 for lower  $\theta_{Bn}$ , but that other non-adiabatic processes (e.g., SDA) are required  
 505 to account for the observed level of heating across the shock as  $M_f$   
 506 increases.

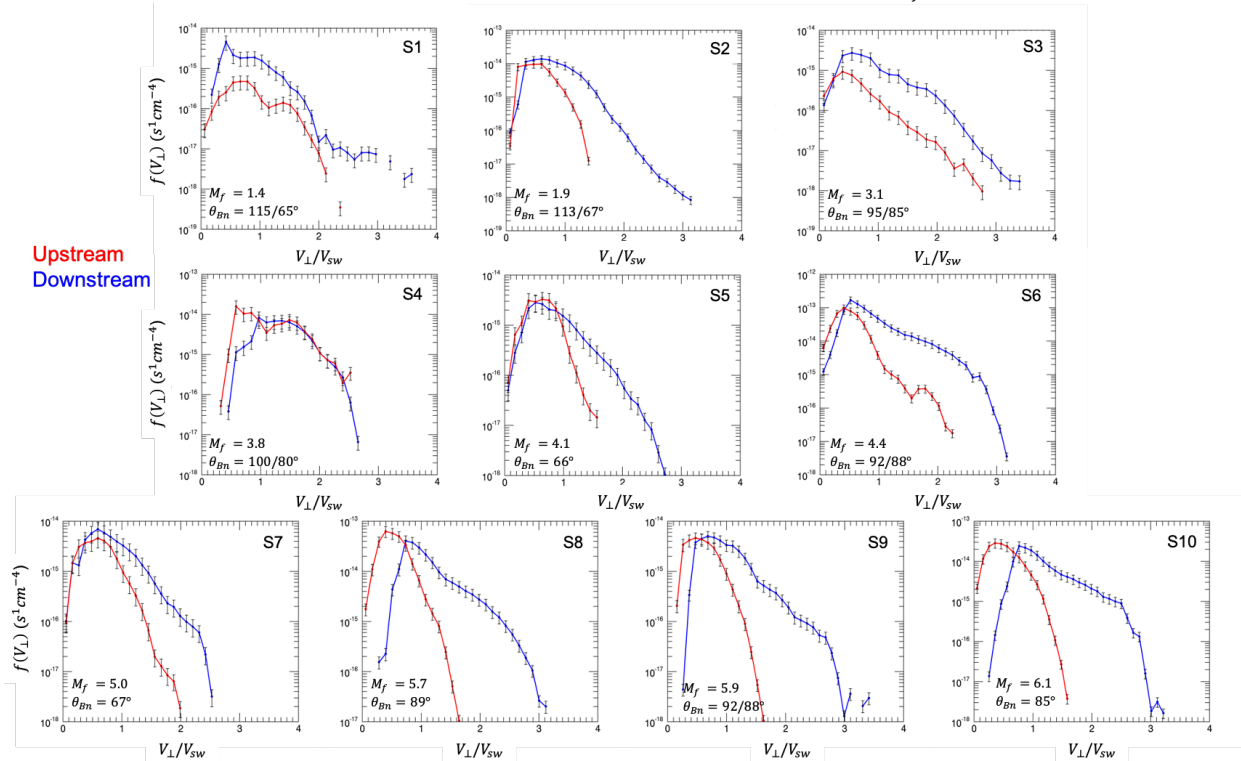


**Figure 6.** Plot showing the downstream-to-upstream ratio of parallel temperatures divided by the magnetic compression ratio as a function of  $M_f$ , for each shock. The data points are color coded to  $\theta_{Bn}$  and the error bars are calculated using the  $1-\sigma$  uncertainties of the temperature values. The starred data points indicate events S8, S9, and S10 for which the magnetic compression ratio was  $> 4$ .

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### 4.3 Comparison of Perpendicular Distributions

We next compared  $f(V_{\perp})$  across the shock in order to identify signs of perpendicular energization of the He<sup>+</sup> PUIs. Similar to Fig. 5, we compare  $f(V_{\perp})$  upstream and downstream of each shock in Figure 7. The panels are ordered by increasing  $M_f$  from left to right and downward, with the event label shown in the top right corner. Each panel shows the upstream (red) and downstream (blue)  $f(V_{\perp})$  plotted against perpendicular speed normalized by the SW speed,  $V_{\perp}/V_{sw}$ . In all cases (except S4), the downstream distribution extends to higher speeds and the slope has flattened. For the shocks with  $\theta_{Bn} \leq 70^\circ$  (S1, S2, S5, and S7), the downstream distribution is broader with tails extending to higher speeds. Similar to observations made from Fig. 5, this suggests that the core of these distributions is heated across the shock, however the tails are more suggestive of energization. On the other hand, for shocks with high  $M_f$  and  $\theta_{Bn} \geq 80^\circ$  (S6, S8, S9, and S10), the core of the distribution has broadened and the downstream distributions exhibit a distinct change in slope that extends to much higher velocities. This effect is much more pronounced for the higher Mach shocks, and is not quite evident in events S3 and S4 (whose downstream distributions tend to resemble the upstream distributions). This distinct change in the shape of the distribution differentiates these spectra from those in Figure 5 and indicates that ions are being energized perpendicular to the field, and that the level of this energization is stronger for shocks with higher  $\theta_{Bn}$  and  $M_f$ .



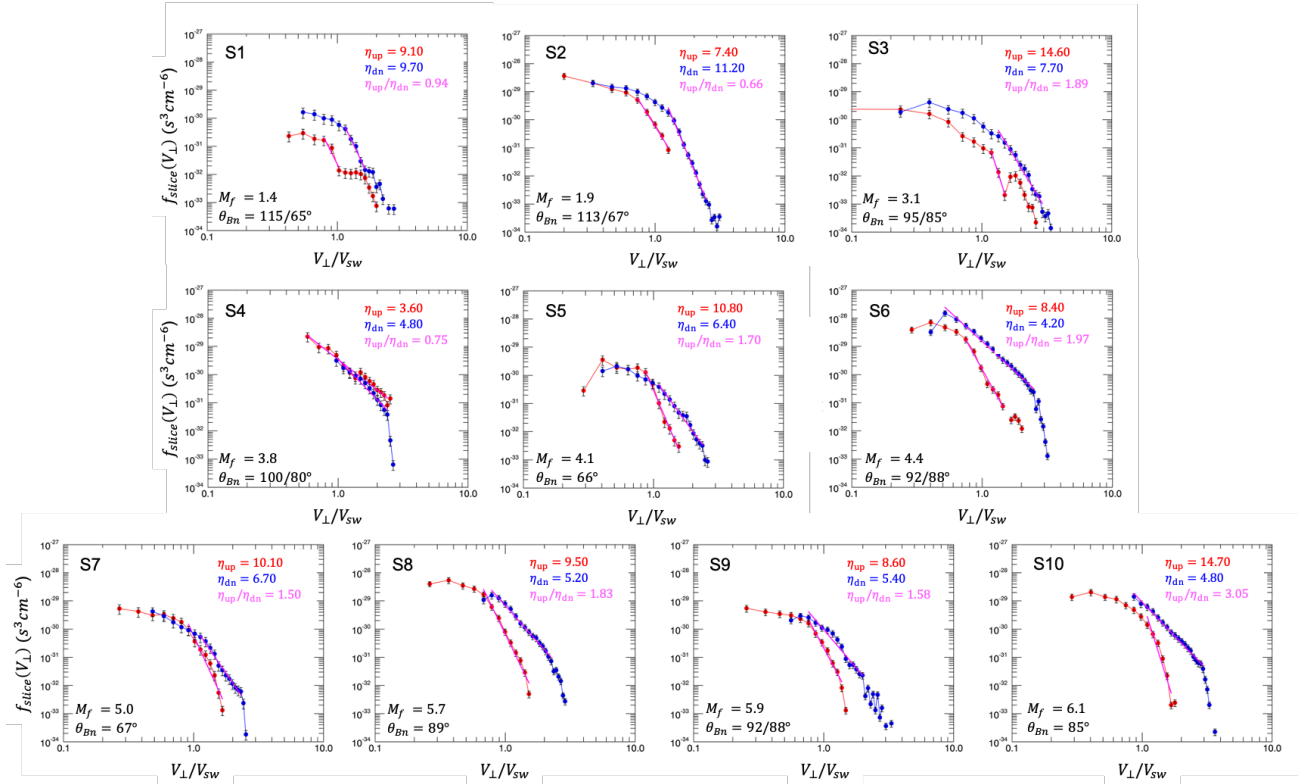
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**Figure 7.** Comparisons of  $f(V_{\perp})$ , upstream (red) and downstream (blue) of each shock event (labelled in the top right corner of each panel). The x-axis has been normalized to the measured solar wind velocity corresponding to each event.

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In order to quantify the observations of perpendicularly energized  $\text{He}^+$  ions from Fig. 7, we next computed  $f_{\text{slice}}(V_{\perp})$  upstream and downstream of each shock. The high energy tails of each of these distributions were then fit to a power-law in velocity:  $f_{\text{slice}}(V_{\perp}) \propto V_{\perp}^{-\eta}$ . This resulted in a spectral index for both the upstream and downstream distribution ( $\eta_{\text{up}}$  and  $\eta_{\text{dn}}$ ). The velocity range of the fit depended on where the distributions exhibited a power-law for speeds  $\geq \sim V_{\text{sw}}$ . The resulting upstream and downstream  $f_{\text{slice}}(V_{\perp})$  distributions and their power-law fits are shown in Fig. 8. The format of this figure is the same as Fig. 5 and Fig. 7, and the event label is shown in the top left corner of each plot. Each panel shows the upstream (red) and downstream (blue)  $f_{\text{slice}}(V_{\perp})$ , plotted against normalized speed  $V_{\perp}/V_{\text{sw}}$ . The magenta lines are the power-law fits to each distribution and the resulting indices are shown in the top right corner, color-coded to the upstream and downstream intervals. The upstream-to-downstream power-law ratio is also shown in magenta in the top right corner. For higher  $M_f$  (S5-S10), the downstream distribution exhibits a clear power-law that has become shallower than that of the upstream distribution. Furthermore, at the lower  $M_f$  shocks (S1-S3) there does not seem to be any significant flattening of the downstream distribution.





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**Figure 8.** Comparisons of  $f_{stice}(V_{\perp})$ , upstream (red) and downstream (blue) of each shock event (labelled in the top left corner of each panel). The x-axis has been normalized to the measured solar wind velocity corresponding to each event. The magenta lines are the power-law fits to the tails of each distribution, and the resulting power-law indices ( $\eta_{up}$  and  $\eta_{dn}$ ) are shown in the top right corner of each panel. The upstream-to-downstream ratio of power-law indices is also shown in the top right corner of each panel.

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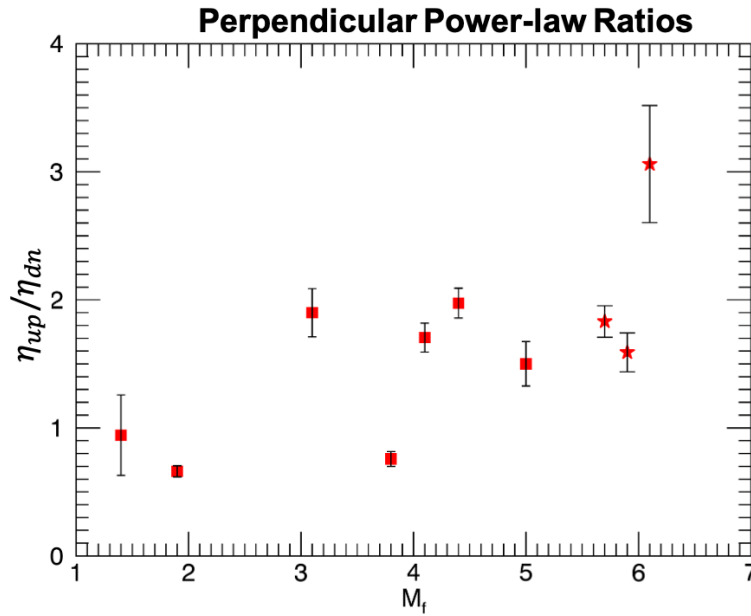
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Lastly, Figure 9 shows the power-law ratio,  $\eta_{up}/\eta_{dn}$ , versus  $M_f$ . The error bars are determined from the 1- $\sigma$  uncertainties of the spectral indices obtained from the power-law fits. A ratio larger than 1 means that the perpendicular distribution has flattened across the shock, and is indicative of energization/heating in the perpendicular direction. From the figure, it appears that for lower Mach shocks this ratio is close to  $\sim 1$ , while for higher Mach shocks the ratio tends towards  $\sim 2$  (excluding the outlier with a ratio of  $\sim 3$ ). Thus, for higher Mach shocks the downstream distribution is perpendicularly energized, resulting in a high-energy power-law tail. The formation of such a power-law tail provides support for ion energization by drift mechanisms such as SDA. Furthermore, due to the underestimation of the HPCA SW velocity, additional stretching of the upstream 2D distribution may occur in the perpendicular direction. This may result in the overestimation of the upstream perpendicular heating, which would decrease the magnitude of  $\eta_{up}$  as well as the ratio  $\eta_{up}/\eta_{dn}$ . Therefore, the power-law ratio is likely a lower bound on the observed heating/energization. These results confirm that  $\text{He}^+$  PUIs are preferentially energized perpendicular to the local magnetic field, and that this energization becomes stronger with increasing  $M_f$ .



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**Figure 9.** The ratio of upstream to downstream power-law index derived from  $f_{slice}(V_{\perp})$ , for each shock versus  $M_f$ . Error bars are calculated using the 1- $\sigma$  uncertainties of the power-law indices obtained from the power-law fit. The starred data points indicate events S8, S9, and S10 for which the magnetic compression ratio was  $> 4$ .

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## 5. Discussion

577

578 For each of the 10 events analyzed in this paper, we first analyzed 2D  
579 He<sup>+</sup> VDFs upstream of the shock and characterized the distributional form. We  
580 found that the majority of cases resembled shell or partial shell  
581 distributions. Note that the formation and evolution of He<sup>+</sup> ring-beam  
582 distributions, while outside the scope of this paper, has been extensively  
583 studied using data from the STEREO spacecraft (Drews et al., 2013, 2015) and  
584 data from the GEOTAIL spacecraft (Oka et al., 2002a). These works helped to  
585 reveal underlying complexities regarding the He<sup>+</sup> PUI ring distribution. Thus,  
586 the observations presented in this work help to inform the study of PUIs in  
the solar wind at 1 AU.

587

588 We next analyzed  $f(V_{\parallel})$  in terms of heating across the shock. For all  
589 events, the cores of the distributions broadened across the shock, indicating  
parallel heating. However, for higher  $\theta_{Bn}$  and  $M_f$ , the tails of the downstream  
590 distributions diverged from the Maxwellian core indicating a combination of  
591 heating and energization. Based on work by Pesses (1981b), we expect that the  
592 heating across the shock should scale with the magnetic compression ratio.  
593 Assuming sufficient scattering in the downstream, this scaling would then  
594 apply to the ratio of parallel temperatures across the shock. In order to  
595 investigate the parallel heating observed in this paper, we compared the  
596 ratio of parallel temperatures normalized by the magnetic compression ratio  
597 to  $M_f$  (Fig. 6). We found a dependence on  $\theta_{Bn}$  such that shocks with  $\theta_{Bn} \leq 70^\circ$  had  
598 ratios  $\sim 1$  (aside from the shock with the lowest  $M_f$ ), while shocks with  $\theta_{Bn} \geq$   
599  $80^\circ$  had ratios  $< 1$  which decreased with increasing  $M_f$ . Typically, for lower  $\theta_{Bn}$   
600 it is easier for ions to stream back and forth across the shock, thus  
601 scattering in the downstream region is more likely and heat is more easily  
602 redistributed from the perpendicular to the parallel direction. It appears  
603 then that adiabatic compression likely contributes to the parallel heating  
604 for quasi-perpendicular shocks (for which scattering in the downstream region

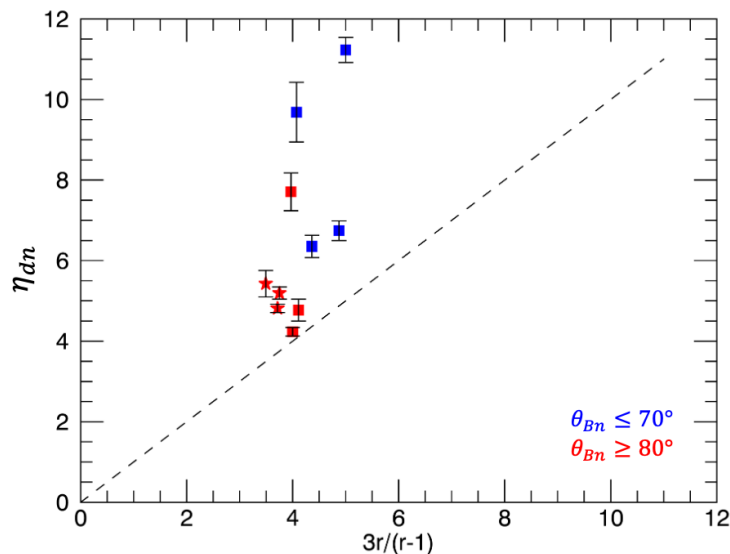
605 is more likely), but that the level of contribution is smaller for nearly  
606 perpendicular shocks as other processes become dominant (e.g., SDA).

607 We next investigated the change in  $f(V_{\perp})$  across the shock and observed  
608 signs of preferential energization in the perpendicular direction. Downstream  
609 of the high Mach and nearly perpendicular shocks, the tail of  $f(V_{\perp})$  exhibited  
610 a distinct change in slope away from the core of the distribution and rather  
611 different than those observed for parallel distributions. This tail then  
612 extended to high speeds, indicating that the ions had been strongly energized  
613 in the perpendicular direction. In order to quantify this preferential  
614 energization, we compared the ratio of upstream-to-downstream power-law  
615 indices with  $M_f$ . We observed a clear increasing trend in  $\eta_{up}/\eta_{dn}$  with  $M_f$ ,  
616 indicating that the relative amount of energization was larger for higher  
617 Mach shocks. These results are consistent with the theory of SDA in the form  
618 of drift acceleration mechanisms such as SDA. As shown in Jokipi (1982), as  
619 the shock angle tends towards  $90^\circ$ , the energy gain becomes entirely due to  
620 particle drifts through the  $\vec{V} \times \vec{B}$  electric field. This tendency then results  
621 in strong energization in the perpendicular direction. Furthermore, as the  
622 Mach number increases, so does the magnitude of  $\vec{V}_{sw}$  normal to the shock, which  
623 in turn increases the magnitude of the upstream  $\vec{V} \times \vec{B}$  electric field in the  
624 shock frame. Thus, the amount of energization in the perpendicular direction  
625 should increase with increasing Mach number. Based on Jokipi (1982), this  
626 effect should then be more pronounced for shocks with  $\theta_{Bn}$  closer to  $90^\circ$ . In the  
627 theory of pure SDA at perpendicular shocks, the energy gain is due to  
628 magnetic gradient drift and is proportional to the magnetic compression  
629 ratio. This implies that the final energy of an ion, energized via SDA, is  
630 proportional to the ion's initial energy and that the spectral shape of the  
631 distribution does not change across the shock. Our results from Fig. 9 show  
632 that at low  $M_f$ , the power-law ratio tends towards  $\sim 1$ , while at higher  $M_f$  the  
633 ratio tends towards  $\sim 2$ . Thus, we suggest that at low  $M_f$ , pure SDA is  
634 responsible for the observed perpendicular energization, leading to no  
635 spectral change across the shock and hence a power-law ratio of  $\eta_{up}/\eta_{dn} = \sim 1$ . On  
636 the other hand, for higher  $M_f$ , other energization mechanisms such as SR, SS,  
637 and MRI contribute towards the flattening of the spectrum across the shock.

638 In DSA theory, it is well established that the power-law spectrum of  
639 shock accelerated ions depends only on the compression ratio of the shock  
640 (Jones & Ellison, 1991). The downstream solution to the diffusion-convection  
641 equation in the local plasma frame exhibits a power-law tail, whose index ( $\sigma$ )  
642 is related to the compression ratio by  $\sigma = \frac{3r}{r-1}$ . In order to compare our results  
643 with these theoretical expectations we plotted this relation using our  
644 estimates of the magnetic compression ratio ( $r = \frac{B_{dn}}{B_{up}}$ ; see Table 1) and the

645 downstream spectral indices derived from  $f_{slice}(V_{\perp})$ . Note that typically the  
646 compression ratio from the transverse magnetic field also depends on other  
647 parameters such as  $\theta_{Bn}$ ,  $v_A$ , and the normal flow speed. However, for the events  
648 presented here (quasi-perpendicular and high Mach shocks) this dependence is  
649 negligible and  $r = \frac{B_{dn}}{B_{up}}$  is a valid assumption. The results are shown in Fig. 10

650 which plots  $\eta_{dn}$  against  $\frac{3r}{r-1}$ . The data points are color coded to the shock angle  
651 and the error bars are the 1-sigma uncertainties of the estimated spectral  
652 indices. Interestingly, the data points for shocks with  $\theta_{Bn} \geq 80^\circ$  are closer to  
653 the theoretical prediction (dashed line) than those with  $\theta_{Bn} \leq 70^\circ$ . We note  
654 however that this theoretical relation relies on the assumption of isotropy  
655 and an ideal plasma. However, PUIs are not required to behave as such an  
656 isotropic ideal gas. Thus, the discrepancy between theory and observations  
657 shown in Fig. 10 is likely due to the underlying assumptions of the theory.



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**Figure 10.** Plot showing the theoretically predicted versus measured power-law index of the downstream distributions. The measured index,  $\eta_{dn}$ , is calculated from  $f(V_{\perp})$  and the value  $r$ , is the magnetic compression ratio. The dashed line is the theoretical prediction of DSA. The starred data points indicate events S8, S9, and S10 for which the magnetic compression ratio was  $> 4$ .

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661 Lastly, these observations of preferentially energized  $\text{He}^+$  PUIs,  
 662 perpendicular to the magnetic field, have strong implications for the ion  
 663 dynamics of the termination shock. At the termination shock,  $\text{H}^+$  PUIs dominate  
 664 the solar wind pressure and are thus thought to be heavily involved in the  
 665 shock formation and mediation process (Holzer, 1972; Lee & Axford, 1988;  
 666 Donohue & Zank, 1993). While the conditions at the termination shock are  
 667 different from those at the Earth's bow shock, which is mediated by solar  
 668 wind protons, the termination shock is still thought to be an efficient  
 669 accelerator of PUIs, which then forms the seed population for ACRs. ACRs are  
 670 thought to form when PUIs in the solar wind are accelerated at the quasi-  
 671 perpendicular termination shock along the shock (Pesses et al., 1981a). The  
 672 accelerated PUIs then charge exchange and become neutral particles. Depending  
 673 on their velocity at the moment of charge exchange, these high-energy fresh  
 674 neutrals can travel towards the inner heliosphere and be observed as  
 675 energetic neutral atoms (ENAs). Our results show that quasi-perpendicular  
 676 shocks are efficient at accelerating  $\text{He}^+$  PUIs perpendicular to the local  
 677 magnetic field. Furthermore, for stronger shocks (higher Mach) the  
 678 acceleration is enhanced. Our observations are consistent with results from  
 679 Zirnstein et al., (2018) in which preferential heating of  $\text{H}^+$  PUIs across an  
 680 interplanetary shock was reported. They found that the  $\text{H}^+$  PUIs contained  
 681 almost half of the downstream energy flux in the shock frame. The results of  
 682 our paper, combined with those of Zirnstein et al., 2018, show that PUIs can  
 683 be efficiently energized at quasi-perpendicular shocks. The shock analyzed in  
 684 Zirnstein et al., 2018 was observed at  $\sim 34$  AU, thus providing evidence that  
 685 PUIs are capable of being accelerated at shocks for which PUIs play a non-  
 686 trivial role in the shock mediation. Putting it all together, these combined  
 687 results support the theory of ACR formation and can be used to further  
 688 understand the physics surrounding the termination shock.  
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## 6. Conclusions

In this paper, we analyzed He<sup>+</sup> PUI distributions upstream and downstream of 10 quasi-perpendicular shocks observed by MMS. These shock observations covered the parameter space of quasi-perpendicular and high-Mach shocks, defined by  $\theta_{Bn} \in [60^\circ, 90^\circ]$  and  $M_f \in [1, 7]$ . We characterized the upstream PUI distributions, finding that a majority of the distributions resembled shell or partial shell distributions in the bulk plasma frame. We next compared 1D VDFs across the shock and relative to the local magnetic field. We observed signs of parallel heating and quantified this by fitting Maxwellian functions to the core of the  $f(V_{\parallel})$  distributions. We then compared the ratio of parallel temperatures, normalized by the magnetic compression ratio, to  $M_f$ . The ratio was near 1 for quasi-perpendicular shocks and less than 1 and decreasing for nearly perpendicular shocks. This suggests that parallel heating resulting from the conservation of  $\mu_B$  depends on the shock geometry and the level of scattering occurring downstream of the shock. Next, we compared upstream and downstream  $f(V_{\perp})$  distributions which revealed signs of energization in the perpendicular direction, particularly in the tail of the spectra. To quantify this energization and relate it to  $M_f$ , we calculated the ratio of upstream to downstream power-law indices from the tails of the  $f_{slice}(V_{\perp})$  distributions. This ratio was observed to increase with increasing  $M_f$ , indicating that ions are preferentially energized in the perpendicular direction more efficiently at higher Mach shocks.

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