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4 **High-altitude electrical discharges associated with thunderstorms and**  
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6 **lightning**  
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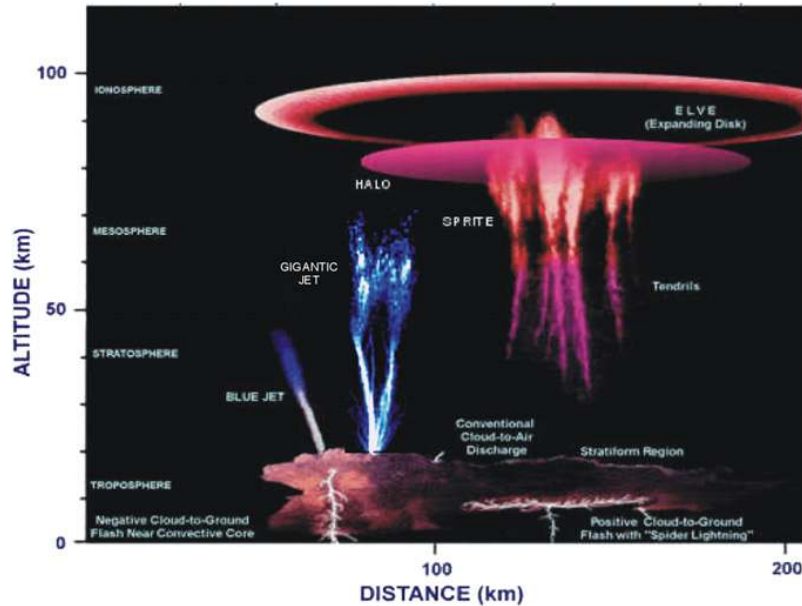
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**Abstract**

The purpose of this paper is to introduce electrical discharge phenomena known as transient luminous events above thunderstorms to the lightning protection community. Transient luminous events include the upward electrical discharges from thunderstorms known as starters, jets, and gigantic jets, and electrical discharges initiated in the lower ionosphere such as sprites, halos, and elves. We give an overview of these phenomena with a focus on starters, jets, gigantic jets, and sprites, because similar to ordinary lightning, streamers and leaders are basic components of these four types of transient luminous events. We present a few recent observations to illustrate their main properties and briefly review the theories. The research in transient luminous events has not only advanced our understanding of the effects of thunderstorms and lightning in the middle and upper atmosphere but also improved our knowledge of basic electrical discharge processes critical for sparks and lightning.

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4 **1. Introduction**  
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7 Observation of electrical discharges above thunderstorms was first reported  
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9 in the scientific literature in the late 19th century [*Lyons et al.*, 2003; *Pasko*, 2008].  
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11 It was, however, only after late 1980s and early 1990s that dedicated and  
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13 systematic scientific studies by using modern optical detectors, radio instruments  
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15 and computer modeling tools started to reveal their physical properties and  
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17 origins [e.g., *Franz et al.*, 1990; *Inan et al.*, 1991; *Sentman et al.*, 1995; *Wescott*  
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19 *et al.*, 1995; *Pasko et al.*, 1997]. They are one of the research subjects actively  
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21 pursued by the research community of atmospheric and space electricity and are  
22  
23 normally referred to as transient luminous events [e.g., *Pasko*, 2010; *Liu*, 2014].  
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25 Transient luminous events come with a variety of forms and are categorized as  
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27 starters, jets, gigantic jets, sprites, halos, and elves. They differ in morphology,  
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29 time duration, home layer of the atmosphere, physical mechanism, etc.  
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31 Nonetheless, they are all related to thunderstorm/lightning activities at  
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33 tropospheric altitudes and manifest direct electrical coupling between  
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35 tropospheric thunderstorms and the middle and upper atmosphere.  
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**Figure 1.** Transient luminous events caused by thunderstorm/lightning activities [Stenbaek-Nielsen et al., 2013]. The figure is adapted from [Lyons et al., 2000], illustrating typical features of transient luminous events present in video observations.

Figure 1 shows the appearances, and the horizontal and vertical extents of a few forms of transient luminous events. Starters (not shown in Figure 1), jets, and gigantic jets are upward electrical discharges from thunderstorms [e.g., Wescott et al., 1995, 1996, 2001a; Pasko et al., 2002, 2003; Lyons et al., 2003; Su et al., 2003; Neubert, 2003; Pasko, 2008; Krehbiel et al., 2008; Liu et al., 2015]. Their tops reach different altitudes: 20-30 km for starters, 40-50 km for jets, and 70-90 km for gigantic jets. Starters and jets typically appear as a cone of blue light shooting upward from thunderstorms with a dimmer fan near their tops [e.g., Wescott et al., 1995, 1996, 2001a; Lyons et al., 2003; Edens, 2011; Chou et al., 2011; Suzuki et al., 2012; Liu et al., 2015]. Gigantic jets, on the other hand, have a tree-like structure and display more complex dynamics [e.g., Pasko et al.,

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4 2002, *Su et al.*, 2003; *Chou et al.*, 2010; *Soula et al.*, 2011; *Liu et al.*, 2015]. The  
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6 top of gigantic jets reaches earth's ionosphere, and they can rapidly transfer a  
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8 large amount of charge between thunderstorms and the ionosphere [*Cummer et*  
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10 *al.*, 2009; *Kuo et al.*, 2009; *Lu et al.*, 2011; *Liu et al.*, 2015]. Among transient  
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12 luminous events, starters, jets, and gigantic jets are the closest kin of ordinary  
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14 lightning, because they share the same underlying discharge process, leaders.  
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19 Sprites are large, luminous electrical discharges in the upper atmosphere  
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21 caused by intense cloud-to-ground lightning flashes [*Franz et al.*, 1990; *Sentman*  
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23 *et al.*, 1995; *Pasko et al.*, 1997]. They were theoretically predicted by Nobel Prize  
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25 Laureate C.T.R. Wilson in 1925 [*Wilson*, 1925]. Their dynamics are governed by  
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27 streamer discharges [e.g., *Pasko et al.*, 1998; *Liu and Pasko*, 2004; *Ebert et al.*,  
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29 2006; *Liu et al.*, 2009a,b; *Luque and Ebert*, 2009, 2010; *Pasko et al.*, 2013; *Liu*,  
30  
31 2014]. Sprites are typically initiated at 70-85 km altitudes with downward  
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33 propagating streamers, which terminate at about 40-50 km altitudes [e.g.,  
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35 *Stanley et al.*, 1999; *Stenbaek-Nielsen et al.*, 2000; *Cummer et al.*, 2006; *McHarg*  
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37 *et al.*, 2007; *Stenbaek-Nielsen et al.*, 2007, 2010, 2013; *Stenbaek-Nielsen and*  
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39 *McHarg*, 2008]. Upward propagating streamers may appear later and can reach  
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41 about 90 km altitude [*Stanley et al.*, 1999; *Cummer et al.*, 2006; *McHarg et al.*,  
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43 2007; *Stenbaek-Nielsen et al.*, 2007, 2010, 2013; *Stenbaek-Nielsen and McHarg*,  
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45 2008]. In Sections 2 and 3, we discuss starters, jets, gigantic jets, and sprites in  
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47 more detail, because similar to ordinary lightning, streamers and leaders  
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49 dominate their dynamics.  
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58 Halos are a homogeneous glow that typically appears within 1-2 ms after an  
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4 intense CG stroke and lasts for several milliseconds [e.g., *Stenbaek-Nielsen et*  
5 *al.*, 2000; *Barrington-Leigh et al.*, 2001; *Wescott et al.*, 2001b; *Miyasato et al.*,  
6 *al.*, 2000; *Barrington-Leigh et al.*, 2001; *Wescott et al.*, 2001b; *Miyasato et al.*,  
7 2002; *Newsome and Inan*, 2010]. Typical halos are centered around 75-80 km  
8 altitude with a horizontal extent of tens of kilometers and vertical thickness of  
9 several kilometers. They may occur as an isolated event or may be preceded by  
10 elves and/or followed by sprites. Intense CG strokes of both positive and  
11 negative polarities can effectively cause halos [e.g., *Williams*, 2006; *Frey et al.*,  
12 2007; *Williams et al.*, 2007; *Taylor et al.*, 2008; *Newsome and Inan*, 2010;  
13 *Williams et al.*, 2012; *Li et al.*, 2012].

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Elves are a fast expanding ring of optical emissions in the lower ionosphere induced by lightning discharges. Similar to sprites, elves were theoretically predicted before their experimental documentation was published in scientific literature. *Inan et al.* [1991] found that the electromagnetic field pulses radiated by CGs can heat the electrons in the lower ionosphere at 90-95 km altitudes to sufficient energies to excite and ionize neutral molecules. This can result in a brief enhancement of airglow, which is now called elves, an acronym for Emissions of Light and VLF perturbations due to EMP Sources [*Fukunishi et al.*, 1996]. Figure 1 includes an elve that looks like a thin ring. Compared to halos, they occur at a slightly higher altitude, ~90 km, appear earlier by about 100-200  $\mu$ s, and last for a shorter period of time (<1 ms) [*Barrington-Leigh et al.*, 2001; *Newsome and Inan*, 2010]. Given that both elves and halos appear as brief diffuse glows in the lower ionosphere, it is generally difficult to differentiate one against the other with video recordings of standard TV frame rates or even

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4 slightly higher [*Barrington-Leigh et al.*, 2001; *Newsome and Inan*, 2010].  
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7       Elves expand at an apparent speed greater than the speed of light, and  
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9 their lateral extent can reach a few hundreds of kilometers [*Inan et al.*, 1996;  
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11 1997]. Their appearance depends on the viewing geometry [*Inan et al.*, 1996;  
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13 1997; *Kuo et al.*, 2007; *Marshall et al.*, 2010; *Marshall*, 2012]. When viewed  
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15 upward from above thunderstorms, an elve appears as a ring, which is also  
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17 known as the doughnut shape of the elve. The minimum intensity at the center of  
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19 the ring is due to the minimum in the radiated EMP intensity above the source  
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21 lightning current. When viewed from a slanted direction on ground, the rapid  
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23 horizontal expansion of the luminous ring results in apparent downward motion of  
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25 the elve.  
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31       According to the survey from the Imager of Sprites and Upper Atmospheric  
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33 Lightning (ISUAL) experiment aboard the FORMOSAT-2 satellite [e.g., *Chern et*  
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35 *al.*, 2004; *Mende et al.*, 2005], the global occurrence rates of elves, sprites, halos,  
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37 and gigantic jets are 3.23, 0.5 0.939, and 0.01 events per minute, respectively  
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39 [*Chen et al.*, 2008]. When the instrumental effects and the area coverage of the  
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41 survey are taken into account, the global occurrence rates of sprites and elves  
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43 are expected to increase by a factor of two and a factor of ten, respectively [*Chen*  
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45 *et al.*, 2008].  
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51       Transient luminous events are driven by the electric field of thundercloud  
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53 charge and lightning. The occurrence of starters, jets, and gigantic jets is  
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55 normally associated with suddenly increased lightning activities in a short time  
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57 window on the order of seconds [e.g., *Wescott et al.*, 1998; *Suzuki et al.*, 2012;  
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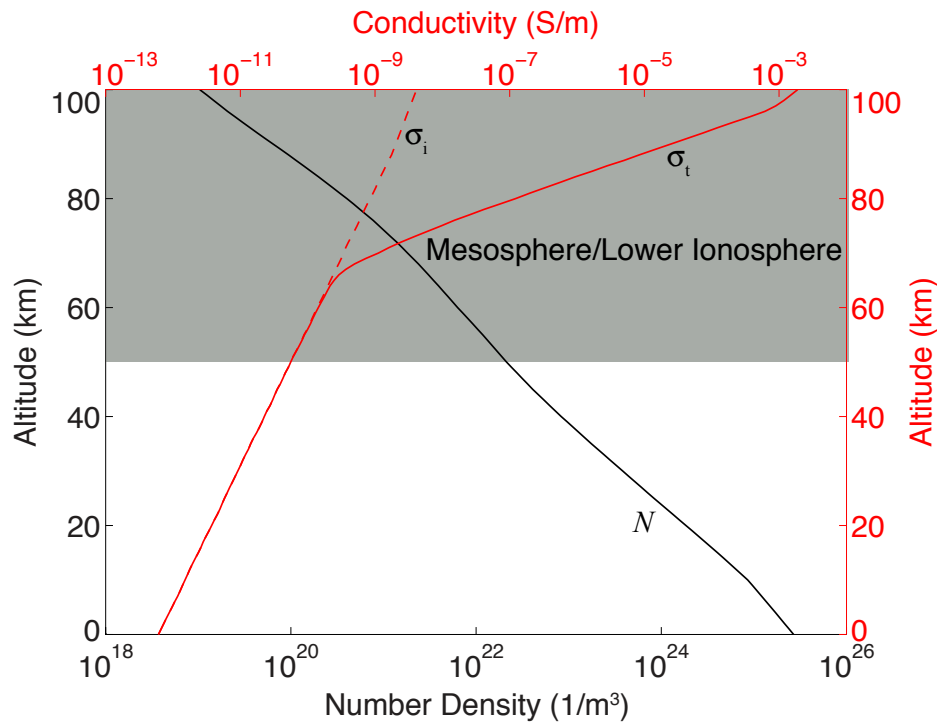
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4 *Liu et al.*, 2015]. They are not coincident with a particular cloud-to-ground (CG)  
5 lightning stroke [e.g., *Wescott et al.*, 1998; *Su et al.*, 2003, *Cummer et al.*, 2009;  
6  
7 *Edens*, 2011; *Lu et al.*, 2011; *Soula et al.*, 2011; *Suzuki et al.*, 2012; *Liu et al.*,  
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9 2015], but preceding CGs can create electrical conditions that promote their  
10 formation [e.g., *Krehbiel et al.*, 2008; *Riousset et al.*, 2010a; *Edens*, 2011].  
11 Normal intra-cloud (IC) lightning discharges can also create favorable conditions  
12 for their formation [*Krehbiel et al.*, 2008; *Riousset et al.*, 2010a; *Lu et al.*, 2011;  
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14 *Liu et al.*, 2015], and in fact, the upward electrical discharges sometimes begin  
15 as part of normal IC flashes [*Lu et al.*, 2011; *Liu et al.*, 2015]. On the other hand,  
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17 elves, halos, and sprites are caused by intense CGs. As mentioned above, elves  
18 are the result of ionospheric electrons accelerated by the electromagnetic field  
19 pulses emitted by CGs, and they appear within 1 ms from the CGs. The peak  
20 current of a CG stroke is the most important parameter to gauge if it will cause an  
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22 elve [*Inan et al.*, 1996; 1997; *Kuo et al.*, 2007; *Marshall et al.*, 2010; *Marshall*,  
23  
24 2012]. Halos and sprites are the products of the excitation and ionization of air  
25 molecules due to collisions with electrons accelerated by the quasi-electrostatic  
26 field (QE) established in the upper atmosphere by the CG and its possible  
27 continuing current [e.g., *Pasko et al.*, 1997; *Barrington-Leigh et al.*, 2001; *Li et al.*,  
28  
29 2008]. The magnitude of the QE field is mainly determined by the amount of the  
30 charge removed by the CG and the altitude from which it is removed [e.g., *Pasko*  
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32 *et al.*, 1997; *Cummer and Inan*, 1997; *Cummer et al.*, 2013]. Halos typically  
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34 appear a few milliseconds later after the CGs, and the delay of sprites from the  
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36 CGs can vary from a few milliseconds to tens or hundreds of milliseconds. If all  
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4 three phenomena are triggered by a CG, elves will come first, then halos, and  
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6 finally, sprites.  
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9 Two important factors determining the dynamics of transient luminous  
10 events are the magnitude of electric field and its duration at the corresponding  
11 atmospheric regions. The accelerated electrons leading to transient luminous  
12 events gain energy from electric field and lose energy via collisions with neutrals.  
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14 Air density, which determines the collision frequency in large part, is therefore an  
15 important parameter. On the other hand, the duration of the electric field depends  
16 on the atmospheric conductivity. Figure 2 shows the altitude profiles of air density  
17 and atmospheric conductivity from 0 km to 100 km altitude. The air density  
18 approximately decreases exponentially with the altitude. The atmospheric  
19 conductivity profile is broken down into two regions: the ion conductivity  
20 dominating region (<~65 km) and the electronic conductivity dominating region  
21 (>~65 km). The duration of the electric field at a particular altitude is roughly  
22 equal to the local Maxwellian relaxation time ( $\epsilon_0/\sigma$ , where  $\sigma$  is the local  
23 conductivity and  $\epsilon_0$  is the permittivity of free space) [Pasko *et al.*, 1997]. The local  
24 Maxwellian relaxation time calculated by using the conductivity shown in Figure 2  
25 is <1 ms above 80 km altitude, 1-10s ms at 70 km, and ~1 s at 30 km, which  
26 characterize the lifetimes of the electrical discharge phenomena at those  
27 altitudes: <1 ms for elves, ~2 ms for halos, 1-10s ms and occasionally 100s ms  
28 for sprites, and 100s ms for jets and gigantic jets. It should be mentioned that the  
29 ionospheric conductivity profile between 60 and 90 km altitudes varies  
30 significantly from day to night and from low latitudes to high latitudes. The profile  
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shown in Figure 2 is only one of a few typical profiles used in the studies of transient luminous events.



**Figure 2.** Altitude profiles of neutral density and conductivity [Liu, 2012]. The neutral density profile is obtained from the MSIS model ([http://omniweb.gsfc.nasa.gov/vitmo/msis\\_vitmo.html](http://omniweb.gsfc.nasa.gov/vitmo/msis_vitmo.html)). The ion conductivity  $\sigma_i$  is taken from [Holzworth et al., 1985]. The electron density to calculate the electronic conductivity is taken from [Wait and Spies, 1964; Pasko and Stenbaek-Nielsen, 2002]. The total conductivity  $\sigma_t$  is dominated by the ion component below  $\sim 65$  km altitude and by the electronic component above that altitude.

A large body of literature has been published in the research field of transient luminous events. Many recent papers reviewed the current state of this field [Pasko, 2010; Inan et al., 2010; Ebert et al., 2010; Pasko et al., 2011, 2013; Stenbaek-Nielsen et al., 2013; Liu, 2014], and papers published in journal special

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issues or sections [*Ebert and Sentman, 2008; Sentman, 2010; Gordillo-Vázquez and Luque, 2013*] presented recent studies on different aspects of transient luminous events. Detailed discussion of earlier work in this field can be found in the book edited by *Füllekrug et al. [2006]*, and earlier review papers [e.g., *Pasko, 2007, 2008; Neubert et al., 2008; Stenbaek-Nielsen and McHarg, 2008*]. Interested readers are referred to those publications. In the sections below, we present a few observations of starters, jets, gigantic jets, and sprites to illustrate their main properties and to show how the research work in this field advances our understanding of basic electrical discharge processes in air.

## 2. Starters, jets, and gigantic jets

### 2.1 Overview

In contrast to frequent occurrences of cloud-to-ground lightning strokes during thunderstorms, upward electrical discharges from thunderstorm tops are rare, and only a limited number of reports of their observation exist in the scientific literature [e.g., *Lyons et al.*, 2003; *Pasko*, 2008; *Meyers et al.*, 2013]. The meteorological conditions of the storms producing them have been investigated by several studies, but it is unclear why the upward electrical discharges are so rare [e.g., *Lyons et al.*, 2006; *van der Velde et al.*, 2007, 2010; *Meyers et al.*, 2013].

Starters and jets are upward electrical discharges from thundercloud tops reaching about 25 km and 40 km altitude, respectively. The starters and jets reported by different studies share common main features in temporal and spatial properties but may differ in details [*Wescott et al.*, 1995, 1996, 2001a; *Lyons et al.*, 2003; *Chou et al.*, 2011; *Suzuki et al.*, 2012; *Liu et al.*, 2015]. Their principal properties are depicted by a series of papers published by Wescott and his colleagues [*Wescott et al.*, 1995, 1996, 1998, 2001a], who analyzed the results obtained from a few observation campaigns including the successful Sprites94 aircraft campaign. The starters and jets observed in the Sprites94 campaign occurred in two very active thunderstorm cells, with an unusually large lightning flash rate of 200-300 flashes/min, in the Midwest of United States. A total of 51 jets that appeared as narrow cones of blue light shooting upward from the tops of thunderstorms were recorded from a distance of 100 km or so [*Wescott et al.*,

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4 1995]. They originated from an average altitude of 17.7 km and reached 37.2±5.3  
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6 km. Few of them developed in the vertical direction, and the mean angle between  
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8 the propagation direction and the vertical was 10.8°±7.0°. The average angle of  
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10 the luminous cone of the jet was 14.7°±7.5°. Note that the number following each  
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12 mean value represents the range of the parameter not the error. The lifetime of a  
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14 jet varied from 200 to 300 ms. Starters with a terminal altitude ranging from 18.1  
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16 to 25.7 km were also recorded during this campaign [Wescott *et al.*, 1996]. They  
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18 originated from a similar altitude as the jet [Wescott *et al.*, 1996], and their  
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20 speeds varied in a wide range from 27 km/s to 153 km/s.  
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26 The connection between the activities of ordinary lightning flashes and  
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28 jets/starters has been investigated in detail by the studies reporting observation  
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30 of many jet and starter events from a single storm. It was found that the lightning  
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32 flash rates of both CGs [e.g., Wescott *et al.*, 1995, 1996, 1998; Suzuki *et al.*,  
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34 2012] and ICs [Suzuki *et al.*, 2012] suddenly increased 1 s before the jets and  
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36 then quickly decreased afterward. Although the CG activities displayed the same  
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38 pattern for the starter events [e.g., Wescott *et al.*, 1995, 1996, 1998; Suzuki *et al.*,  
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40 2012], the IC flashes were very active within ±1 s time window from the starters  
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42 [Suzuki *et al.*, 2012]. The flash rate within 30 km from jets was about 25 percent  
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44 higher than the rate within the same distance from starters, suggesting that more  
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46 charge was transferred to ground before the jets than before the starters  
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48 [Wescott *et al.*, 1995, 1996, 1998]. It was also found that neither jets nor starters  
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50 were coincident with a particular CG flash [Wescott *et al.*, 1995, 1996, 1998], but  
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52 the correlations with the lightning rates may indicate that the jets were strongly  
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4 connected with –CGs, and starters were more affected by ICs [Suzuki *et al.*,  
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7 2012]. The charge moment changes within  $\pm 1$  s of jets/starters were on the order  
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9 of -100-200 C km, and assuming that charge was removed from an altitude of 8  
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11 km, the corresponding charge transferred was about -12.5 C to -25 C [Suzuki *et*  
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13 *al.*, 2012]. In addition, the peak of the distribution of the histogram of the time  
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15 interval between two successive jets was 60-70 s, while the same peak for the  
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17 starters was less than 5 s [Suzuki *et al.*, 2012].  
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21 The in-cloud electrical breakdown processes initiating/accompanying a jet  
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23 [Krehbiel *et al.*, 2008] and a starter [Edens, 2011] have been mapped by a three-  
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25 dimensional very high-frequency (VHF) lightning mapping array (LMA) [Rison *et*  
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27 *al.*, 1999] that is efficient at detecting negative breakdown during thunderstorms  
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29 [Krehbiel *et al.*, 2008]. According to LMA data, both events were initiated midway  
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31 between the upper cloud charge and the cloud top screening charge. The  
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33 electrical breakdown process began about 10 s after an intracloud discharge  
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35 selectively neutralized positive cloud charge in the volume right below the  
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37 initiation location of the jet [Krehbiel *et al.*, 2008]. The starter occurred during an  
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39 NLDN (U. S. National Lightning Detection Network) negative CG flash of 7  
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41 strokes [Edens, 2011]. The LMA data showed that the starter originated as a  
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43 bidirectional discharge at ~14 km altitude. The positive discharge propagated  
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45 upward, exited the top of the cloud at 15.2 km altitude, and was observed  
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47 optically as the starter. The downward negative discharge extended into the  
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49 positive charge region but the associated LMA sources associated were only  
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51 observed in a relatively localized volume, indicating only a small amount of  
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4 positive cloud charge was tapped into by the negative discharge. The author  
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6 suggested this was probably the reason why the starter did not evolve into a full-  
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8 scale jet.  
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11 Gigantic jets were first discovered in September 2001 over an oceanic  
12  
13 thunderstorm near the Arecibo Observatory, Puerto Rico [*Pasko et al.*, 2002].  
14  
15 They are electrical discharges originating in cloud tops and extending upward to  
16  
17 lower ionospheric altitudes of 70-90 km [*Pasko et al.*, 2002; *Su et al.*, 2003;  
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19 *Pasko*, 2003]. They can rapidly transfer a large amount of charge between  
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21 thunderstorms and the conducting ionosphere [*Su et al.*, 2003; *Cummer et al.*,  
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23 2009; *Kuo et al.*, 2009; *Lu et al.*, 2011; *van der Velde et al.*, 2010; *Liu et al.*,  
24  
25 2015]. Gigantic jets mainly occur above tropical or tropical-like storms [*Chen et al.*,  
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27 2008, *Chou et al.*, 2010; *van der Velde et al.*, 2010; *Meyer et al.*, 2013]. The  
28  
29 altitude of the top of the parent cloud is typically greater than 15 km [e.g., *Meyer*  
30  
31 *et al.*, 2013]. A noticeable exception is a winter storm with a cloud top altitude of  
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33 6-7 km [*van der Velde et al.*, 2010]. They occur predominately in tropical and  
34  
35 subtropical regions, but have also been observed at high latitudes of 35.6-42°N  
36  
37 [*van der Velde et al.*, 2010; *Yang and Feng*, 2012]. They typically have a tree-like  
38  
39 structure [*Pasko et al.*, 2002; *Su et al.*, 2003; *Soula et al.*, 2011; *Liu et al.*, 2015].  
40  
41 The color images show that the lower part (~20-40 km altitude) of gigantic jets is  
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43 bluish, the upper part (> 65 km) is red, and a color transition zone spans between  
44  
45 those two regions [*Soula et al.*, 2011]. Compared to other TLEs, they are rare,  
46  
47 but similar to other TLEs, multiple gigantic jets can be produced by a single storm  
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49 [*Su et al.*, 2003; *Soula et al.*, 2011; *Huang et al.*, 2012; *Liu et al.*, 2015].  
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4           Gigantic jets are not associated with a particular CG flash but are  
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6 connected to intracloud discharge activities [Su et al., 2003, Cummer et al., 2009;  
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8 Lu et al., 2011; Soula et al., 2011; Liu et al., 2015]. The accompanying cloud  
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10 flashes are clearly visible in the videos recorded from a close distance [Soula et  
11  
12 al., 2011; Liu et al., 2015]. For the seven upward electrical discharges (one  
13  
14 starter, two jets, and four gigantic jets) observed above Tropical Depression  
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16 Dorian [Liu et al., 2015], NLDN IC event rate suddenly increased in a short time  
17  
18 interval of 1-2 s containing each event, and CG activity was detected by NLDN  
19  
20 only for one of the gigantic jet events. The in-cloud discharges  
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22 initiating/accompanying gigantic jets have also been investigated in detail by  
23  
24 using VHF lightning mapping networks [Lu et al., 2011]. Two negative gigantic  
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26 jets from two different storms were analyzed, and both of them occurred as part  
27  
28 of flashes that began as ordinary intracloud lightning. For both events, the data  
29  
30 show that two distinct upward negative leaders developed sequentially. The first  
31  
32 leader propagated into the upper positive cloud charge layer and resulted in  
33  
34 many detections by the LMA system. The second leader was initiated about 100  
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36 ms after the first leader stopped propagation. Then it penetrated through the  
37  
38 cloud top and developed into gigantic jets. The authors suggested that this  
39  
40 specific discharge development might have created conditions more favorable for  
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42 an upward negative leader to escape the cloud vertically.  
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52           The upward electrical discharges can be of either positive or negative  
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54 polarity depending on the polarity of the initiating upward leader. For normal  
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56 polarity storms (i.e., the main positive charge layer of the storm resides over its  
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4 main negative charge layer), if the initiating upward leader begins between the  
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6 main negative charge and the upper positive charge, the resulting event is of  
7  
8 negative polarity; if it begins between the upper positive charge and the cloud top  
9  
10 screening charge, the resulting event is of positive polarity. If the storm is of  
11  
12 inverted polarity, the polarity of the event is reversed.  
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16 In the sections below, we first review the current theory of the upward  
17  
18 electrical discharges, and then discuss a few upward electrical discharge events  
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20 observed above Dorian in September 2013 from a close distance [*Liu et al.*,  
21  
22 2015] to illustrate their basic properties in more detail.  
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## 26 27 28 **2.2 Theory**

### 29 30 **2.2.1 Formation of upward electrical discharges**

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33 *Krehbiel et al.* [2008] and *Riousset et al.* [2010a] proposed a unifying view  
34  
35 of how electrical discharges originating inside thunderstorms escape to form  
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37 cloud-to-ground lightning, bolt-from-the-blue discharges, jets, or gigantic jets.  
38  
39 According to this theory, in order for an electrical discharge originating inside a  
40  
41 thunderstorm to escape from it, a charge imbalance condition in the  
42  
43 thunderstorm (either globally or locally) must be created by electrical or  
44  
45 meteorological processes. There are two principal mechanisms for creating the  
46  
47 upward electrical discharges from thunderstorms. Consider the standard model  
48  
49 of the charge structure of thunderstorms that consists of two cloud charge layers  
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51 of opposite polarities centered at different cloud altitudes and a screening charge  
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53 layer around the cloud top, which has the same polarity as the lower cloud  
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4 charge. The upward electrical discharges can be developed from electrical  
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6 breakdown beginning either between the two cloud charge layers or between the  
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8 upper cloud charge and the screening charge, where electric field is typically  
9  
10 strongest. If a proper charge imbalance condition exists, the initiated upward  
11  
12 electrical discharge can penetrate through the charge layer it is directed to, and  
13  
14 escape from the cloud top. Because the directions of the electric field are  
15  
16 opposite at those two regions, the resulting upward electrical discharges have  
17  
18 different polarities. This theory has been verified by observations reported later  
19  
20 indicating that the upward discharges beginning between the upper cloud charge  
21  
22 and the screening charge tend to develop into starters or jets [Edens, et al.,  
23  
24 2011], while those beginning between two cloud charge layers evolve into  
25  
26 gigantic jets [e.g., Cummer et al., 2009; Lu et al., 2011].  
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34 An example of the electrical processes for creating the required charge  
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36 imbalance condition to produce upward discharges is a CG stroke. For normally  
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38 electrified thunderstorms that are charged negatively (see detailed discussion in  
39  
40 [Riousset et al., 2010a]), negative CGs can suddenly change the charge polarity  
41  
42 of the thunderstorms and make it possible for an initiated upward positive  
43  
44 discharge between the upper positive charge layer and the screening charge to  
45  
46 escape from the cloud tops. According to fractal modeling results, the escaped  
47  
48 discharges tend to develop into jets.  
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53 On the contrary, when the positive charge of normally electrified  
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55 thunderstorm is depleted due to mixing with the screening charge, an upward  
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57 negative discharge as part of an intracloud flash (i.e., initiated between the main  
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4 negative charge and the upper positive charge, or positive IC) may continue  
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6 propagating upward upon reaching the cloud top, and form gigantic jets. In this  
7  
8 sense, gigantic jets share a very similar scenario of development as more  
9  
10 familiar “bolt-from-the-blue” lightning discharges that instead of propagating  
11  
12 upward to exit the cloud, the discharge originating inside the cloud exits sideways  
13  
14 and turns downward to ground [Krehbiel *et al.*, 2008; Riousset *et al.*, 2010a].  
15  
16 According to this theory, jets are of positive polarity and gigantic jets are of  
17  
18 negative polarity for normally electrified thunderstorms; for thunderstorms with  
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20 inverted polarity, the polarity is reversed.  
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26 Note that according to *Liu et al.* [2015], not every upward leader  
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28 originating between the main cloud charges and successfully escaping upward  
29  
30 into space develops into a gigantic jet.  
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### 35 36 **2.2.2 Leaders in upward electrical discharges**

37  
38 The underlying electrical discharge process driving the development of  
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40 starters, jets, and gigantic jets is leaders [*Petrov and Petrova*, 1999; *Raizer et al.*,  
41  
42 2006, 2007; *Krehbiel et al.*, 2008; *Riousset et al.*, 2010a, b; *da Silva and Pasko*,  
43  
44 2012, 2013a, b, *Liu et al.*, 2015], similar to ordinary lightning. Leader discharges  
45  
46 are responsible for electrically breaking down air to form a hot (>5000 K), highly  
47  
48 conductive channel, and their initiation and propagation mechanisms are not well  
49  
50 understood at present. Meter-long leaders can be generated and studied in  
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52 laboratory experiments. However, the kilometer-long leaders of natural electrical  
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54 discharges possess significantly different characteristics, because the involved  
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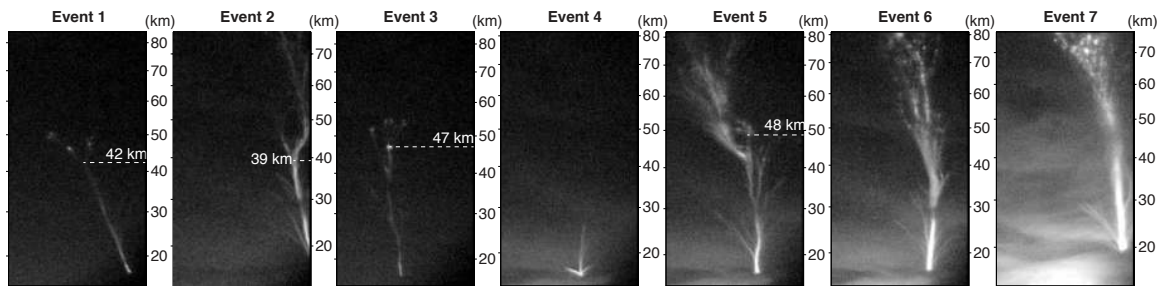
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4 spatial and temporal scales are much larger and there are no well-defined  
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6 counterparts to the electrodes and discharge gaps of laboratory experiments.  
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9 That leaders must be the principal discharge process for the upward  
10 electrical discharges is concluded based on the following considerations. First,  
11 cold plasma channels created by electrical discharges like streamers can only  
12 maintain their conductivity on a timescale of a few microseconds at thundercloud  
13 top altitudes. They are unable to sustain a channel current to support the  
14 development of starters, jets, and gigantic jets on a timescale of tens or hundreds  
15 of milliseconds [Raizer *et al.*, 2006, 2007]. Second, the propagation  
16 characteristics, such as speed, current, linear charge density, and luminosity, of  
17 the channels of starters, jets, and gigantic jets are similar to leaders' [Pasko *et al.*,  
18 2002, Su *et al.*, 2003; Soula *et al.*, 2011; Liu *et al.*, 2015]. Third, theoretical and  
19 modeling studies of the streamer-to-leader transition timescale and leader speed  
20 at higher altitudes give values not inconsistent with the characteristic time scale  
21 of the propagation of the upward electrical discharges [Riousset *et al.*, 2010b; da  
22 Silva and Pasko, 2012, 2013a, b].  
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43 There are, however, notable differences in the properties between the  
44 leaders of the upward electrical discharges and ordinary lightning. The streamer-  
45 to-leader transition requires a much longer timescale or it takes a significantly  
46 longer timescale to create a new section of the leader channel. This timescale is  
47 inversely proportional to the squared of air density [Riousset *et al.*, 2010b; da  
48 Silva and Pasko, 2012, 2013a, b]. The streamer-to-leader transition time  
49 depends on the leader radius and the current carried by the leader. For a typical  
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4 leader (with a radius of 0.3 mm at ground or 10 cm at 40 km altitude) carrying a  
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6 current of 100 A, the transition occurs on the order of 10 ns at ground pressure,  
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8 but takes about 1 ms at 40 km altitude [*Silva and Pasko, 2013b*]. In contrast to  
9  
10 the negative stepping leaders of ordinary lightning, the leaders of the upward  
11  
12 electrical discharges give no radiation in the low frequency (LF) band [*Liu et al.,*  
13  
14 2015]. The absence of LF activities suggests that the stepping of the negative  
15  
16 leader above thunderclouds occurs on a longer timescale, possibly resulting from  
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18 a larger spatial scale of the discharge at higher altitudes, as suggested by the  
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20 scaling laws of electrical discharges in air [*Pasko, 2006; Liu, 2014*].  
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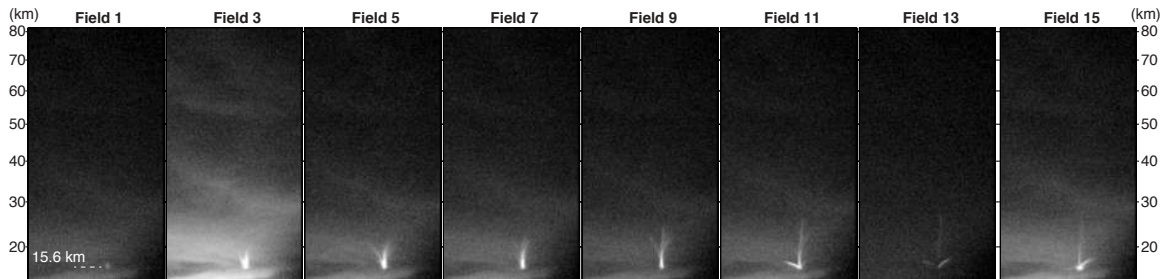
### 29 2.3 Phenomenology of Dorian events



44 **Figure 3.** Low-light-level video fields of seven upward discharges observed  
45 above Tropical Depression Dorian over the Atlantic Ocean on 3 August 2013 [*Liu*  
46 *et al., 2015*]. Events 1 and 3 are jets, event 4 is a starter, and the rest of the  
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48 events are gigantic jets.  
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56 Seven upward electrical discharge events above Tropical Depression  
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58 Dorian over the Atlantic Ocean were recorded from a distance of 80 km between  
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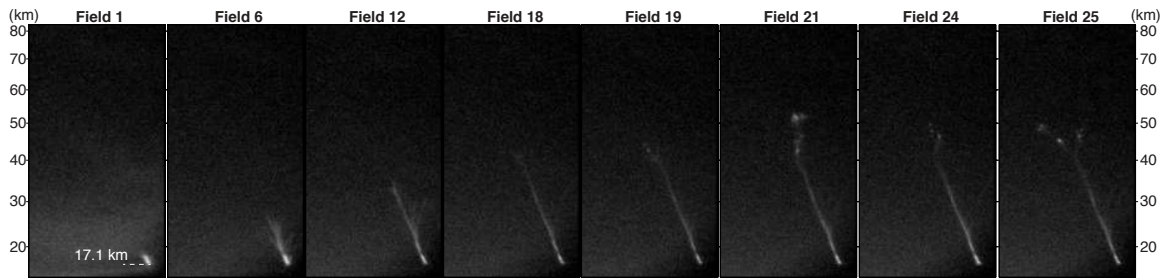
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4 3:45 UTC and 4:12 UTC on 3 August 2013 [Liu et al., 2015]. The images shown  
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6 here are cropped video fields (16.7 ms exposure) that are extracted from the  
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8 videos recorded by a low-light-level TV camera with a standard frame rate of  
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10 29.97 fps. Figure 3 shows the seven events at the moments when they are fully  
11  
12 developed. Events 1 and 3 are jets, and their terminal altitudes are 51 and 55 km,  
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14 respectively; events 2, 5, 6, and 7 are gigantic jets, and their tops are outside the  
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16 field of view of the camera, giving terminal altitudes greater than 77-82 km; event  
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18 4 is a starter and terminates at about 26 km altitude. The images show that all of  
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20 the events have a tree-like structure.  
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38 **Figure 4.** Selected video fields of the starter (event 4).  
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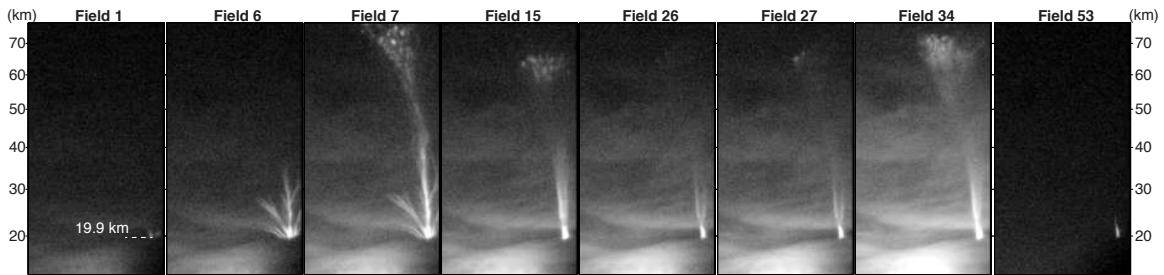
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44 Figures 4-7 show the detailed temporal dynamics of the starter (event 4), a  
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46 jet (event 1), and two gigantic jets (events 5 and 7). The starter lasted about 260  
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48 ms and had multiple branches connecting to a common, bright base.  
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**Figure 5.** Selected video fields of a jet (event 1).

Figure 5 shows event 1 started with an upward propagating leader, which has a single main channel tilting from the vertical with an angle of about 21 degrees. For the next ~270 ms (16 video fields), the leader continued moving in that direction, while constantly spawning dimmer channels in a narrow cone of about 30 degrees. When it reached 42 km altitude (fields 17 and 18), the leader appeared unable to continue its steady propagation, and dimmer channels originated from its top simultaneously and sequentially, as shown in the fields from 19 to 25. In field 19, a short, hardly visible vertical channel extended upward from the leader tip, it disappeared in the next field, and then a small tree-like structure with a relatively larger vertical and horizontal extent suddenly appeared in field 21. After field 25, the luminosity of the entire leader channel decreased rapidly and completely vanished in 4 video fields. The dynamics of the other jet (event 3) were very similar, and the main leader reached about 47 km altitude before it stopped extending upward and generated multiple branches at its tip.

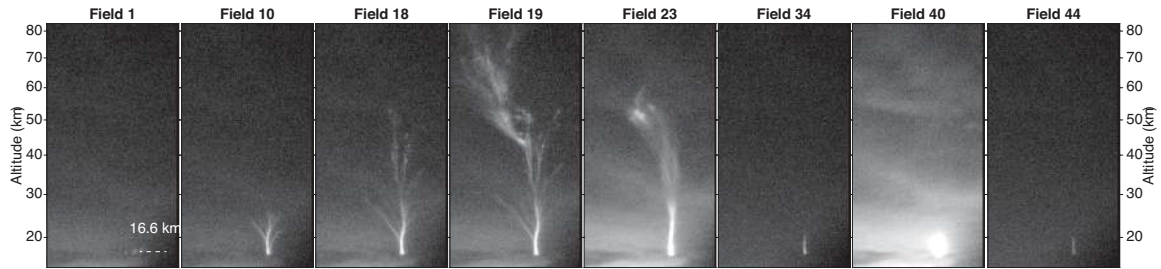


**Figure 6.** Selected video fields of a gigantic jet (event 7).

Figure 6 shows the development of event 7, a gigantic jet, which is the most impulsive event among the seven events. The leader emerged from the cloud top with several distinct branches, but the center branch had the highest top. It reached 34.8 km altitude in field 6, and then jumped to >77.1 km altitude in the next video field. After the jump, relatively stationary bright beads and dimmer glows appeared at the top of the discharge. The luminosity of the top gradually decayed afterwards, while bead-like structures with short trails moved upward from about 50 km altitude along the preexisting channels, as shown in field 15. The luminosity continued to decrease until field 26, when the top of the gigantic started to rebrighten as well as the scattered light from cloud lightning activity. The rebrightening reached its strongest stage in fields 34 and 35, which lasted 7 fields, and upward motion of the beads at the top is visible as well as horizontal displacement of the entire discharge volume. After the main body of the gigantic jet vanished, a short bright column base above the cloud, as shown in field 53, persisted for a while, and the entire duration of the discharge was as long as 1.2 s. This is probably the longest duration of the upward cloud discharges that have ever been reported. The upward propagation of event 6 was very similar, but no



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4 rebrightening occurred for this gigantic jet after the discharge reached the  
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7 ionosphere.  
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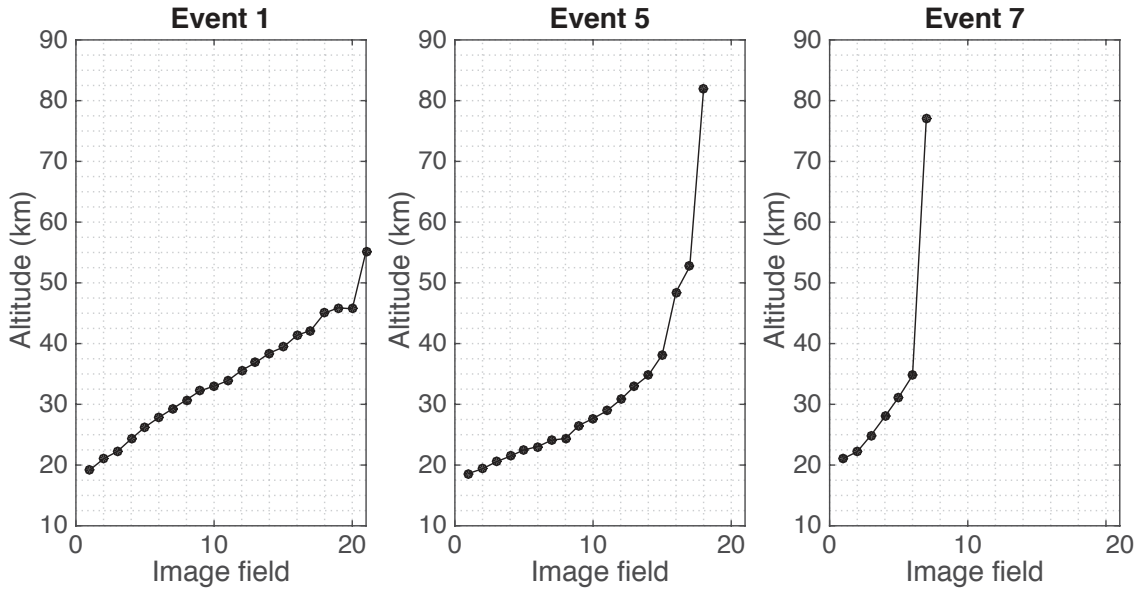
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22 **Figure 7.** Selected video fields of a gigantic jet (event 5).  
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26 The gigantic jets 2 and 5, however, initially propagated upward similarly like  
27 the jets, as shown by Figure 7. When they reached 39 and 48 km altitudes,  
28 respectively, multiple branches were produced at their tops like the jets, and then  
29 in the next video field, one of those branches (event 2) or a branch below the top  
30 (event 5) made the final jump. Both events were followed by an intense lightning  
31 flash, which seems to fuel the short bases of the upward discharges to emit  
32 extremely bright light. This can be clearly seen in field 40 in Figure 7.  
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## 45 **2.4 Electrical discharge characteristics**

### 46 **2.4.1 Speed**

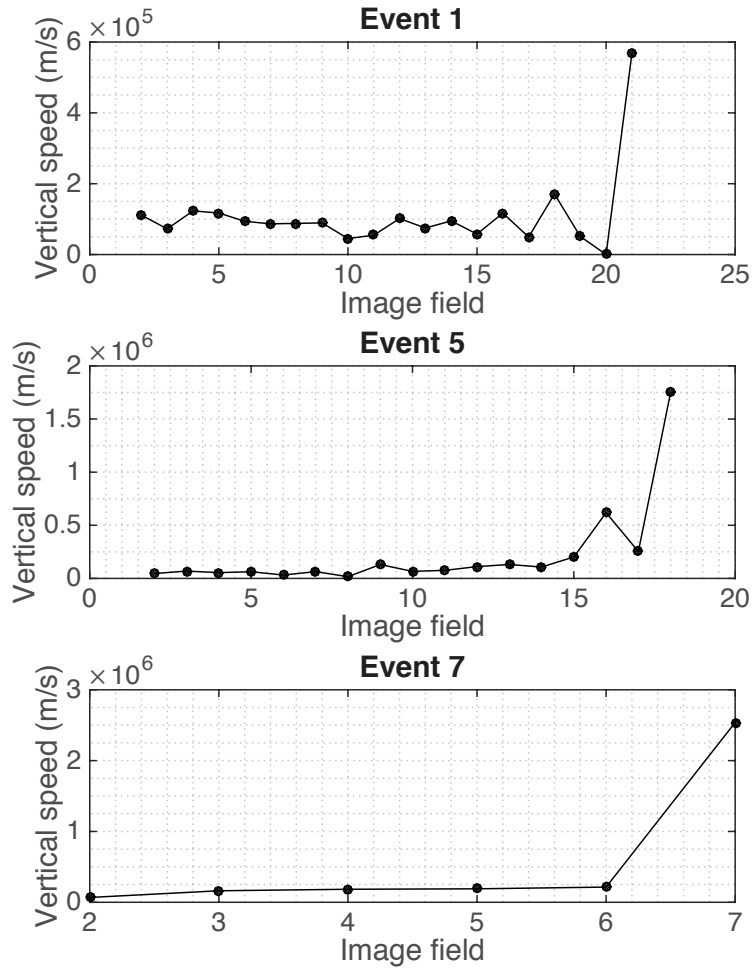
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**Figure 8.** The altitudes of the tops of a jet (event 1) and two gigantic jets (events 5 and 7). The horizontal axis shows the image field number. Note that the horizontal and vertical axes have the same ranges in all three panels.

Figures 8 and 9 show the altitudes and vertical speeds of the tops of a jet (event 1) and two gigantic jets (event 5 and 7). As shown by the figures, the speed of the upward leaders of all three events is on the order of  $10^5$  m/s before they almost reach their full extents. However, the speed of the jet leader shows a slight decrease over an extended time period (i.e., from the beginning to image field 15), while the speeds of the gigantic jets leaders increase. The vertical speed of event 7 is initially  $6.8 \times 10^4$  m/s, and then increases from  $1.6 \times 10^5$  to  $2.1 \times 10^5$  m/s. The final jump of the leader to reach the ionosphere corresponds to a speed greater than  $2.5 \times 10^6$  m/s. The jet event indicates even if an upward leader reaches a relatively high altitude, it may not make the final jump to reach the ionosphere. On the other hand, events 5 and 7 show that the final jump of

gigantic jets can be made at different altitudes. Consistently, the duration of the upward propagation stage before the final jump varies.



**Figure 9.** The vertical speeds of the tops of a jet (event 1) and two gigantic jets (events 5 and 7).

#### 2.4.2 Charge and current

The information of the current flowing along the upward electrical discharge can be inferred from remote measurements of the ultra-low-frequency radio emission radiated by the discharge [Cummer et al., 2009; Liu et al., 2015]. The

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4 parameter directly found from the measurement is current moment that is the  
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6 integral of the current over the entire discharge channel. The charge moment  
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8 change can then be obtained by integrating the current moment over the  
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10 discharge period.  
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14 The current moment of event 1 varies in a range of 1.5-2.5 kA-km during its  
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16 steady upward propagation. Assuming a 25 km vertical channel, the current  
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18 varies from 60 to 100 A [*Liu et al.*, 2015]. As the discharge propagates upward,  
19  
20 the current moment gradually decreases, so the current decreases given that the  
21  
22 channel length increases. When its tip reaches 42 km altitude, the current is  
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24 about 25 A, assuming that the lower end of the discharge is at 13 km altitude.  
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26 The measured total charge moment change due to the event is 0.98 kC km,  
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28 corresponding to 56 C charge transfer if the channel is assumed to be uniformly  
29  
30 charged and have a length of 35 km. Since there is only a single leader channel,  
31  
32 the linear charge density of the channel can be readily estimated and the  
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34 obtained value is about 1.5 mC/m, which is consistent with the linear charge  
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36 density of a lightning leader [*Rakov and Uman*, 2003, p. 123-126].  
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43 The total charge moment change caused by event 7 is approximately 8.7  
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45 kC-km, and the total deposited charge in the middle and upper atmosphere is  
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47 about 134 C assuming a channel length of 65 km [*Liu et al.*, 2015]. The initial  
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49 current moment before the final jump is slightly larger than the value of event 1,  
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51 and the resulting charge moment change is about 0.4 kC-km, comparable to the  
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53 0.98 kC km value of event 1. During the final jump, the current moment of the  
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55 gigantic jet rapidly increases to 40 kA-km. The current moment maintains at this  
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4 high level for 30 ms, and then decreases to 20 kA-km and stays there for the  
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6 next 160 ms. About 65% (85 C) of the total amount of charge transferred  
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8 between the thunderstorm and the ionosphere by this event occurs during this  
9  
10 approximately 200 ms period. The rebrightening is accompanied by an increase  
11  
12 in the current flowing in the discharge channel, resulting in a charge moment  
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14 change of 1.8 kC-km (21% of the total charge moment change of the event). The  
15  
16 other gigantic jets (without rebrightening) have similar current moment and  
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18 charge moment waveforms up to the moment of rebrightening, with the charge  
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20 moment change before the final jump varying in the range of 0.3-1 kC-km [*Liu et*  
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22 *al.*, 2015].  
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### 31 **2.4.3 Leader streamer zone size and leader potential**

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33 After the leader of the event 1 reached 42 km altitude, the discharges at the  
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35 leader tip differed from the leader in the spatial structures and temporal dynamics.  
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37 It is reasonable to speculate that they manifest the streamer zone preceding the  
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39 leader tip. If this is true, the vertical extent of the streamer zone is about 11 km  
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41 for this particular leader tip at 42 km altitude. For gigantic jets, the accepted view  
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43 is that the streamer zone extends from the tip of the leader right before the final  
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45 jump up to the ionosphere [*Raizer et al.*, 2006, 2007; *da Silva and Pasko*, 2013a,  
46  
47 b]. The streamer zone extends upward from approximately 35 km altitude for  
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49 event 7 and approximately 45 km altitude for event 5. Therefore, the streamer  
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51 zone size can vary significantly for the leader at high altitude, but the leader tip  
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53 potential does not vary as significantly as the streamer zone size because the  
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4 streamer zone field is believed to decrease exponentially as altitude increases.  
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7 From the leader theory, the electric potential difference between the leader  
8 tip and the ionosphere can be determined if its altitude and streamer zone size  
9 are known, assuming that the electric field in the streamer zone is the critical field  
10 for streamer propagation [*Raizer et al.*, 2006, 2007; *da Silva and Pasko*, 2013a,  
11 b]. For event 1, if this field is assumed to be the critical field for negative streamer  
12 propagation, which is about 2-3 times larger than that field for positive streamers,  
13 the current derived from a simple leader model [*Bazelyan and Raizer*, 2000, p.  
14 62] with the known potential and speed is about 3 times larger than the value  
15 found from the measured current moment with an assumption of the lower end of  
16 the leader at 13 km altitude [*Liu et al.*, 2015]. We therefore assume that the  
17 electric field in the streamer zone is smaller and that it is the critical field for  
18 positive streamers.  
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36 With this assumption, the leader tip potential and current of event 1 are  
37 estimated to be 10 MV and 35 A, respectively, when it reaches 42 km altitude.  
38 The current agrees reasonably well (about 40% larger) with the value derived  
39 from the current moment. The two quantities for the event 7 right before the final  
40 jump are 28 MV and 180 A, respectively. However, when the leaders just exit  
41 from the cloud, their potential and current could be significantly different from  
42 those values. According to the binary leader theory of lightning development  
43 [*Bazelyan and Raizer*, 2000, p. 153], a leader acquires an average potential of  
44 the thundercloud volume occupied by itself, and as the leader develops, its  
45 potential may undergo substantial changes. Assuming the lower end of the  
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leader is at 13 km altitude, the leader current for event 1 is about 340 A and the derived potential is 100 MV, when the leader just exits from the thunderstorm. For event 7, they are 270 A and 70 MV. Surprisingly, the leader of the jet event initially has a larger current and potential than those of the gigantic jet [Liu *et al.*, 2015].

### 3. Sprites

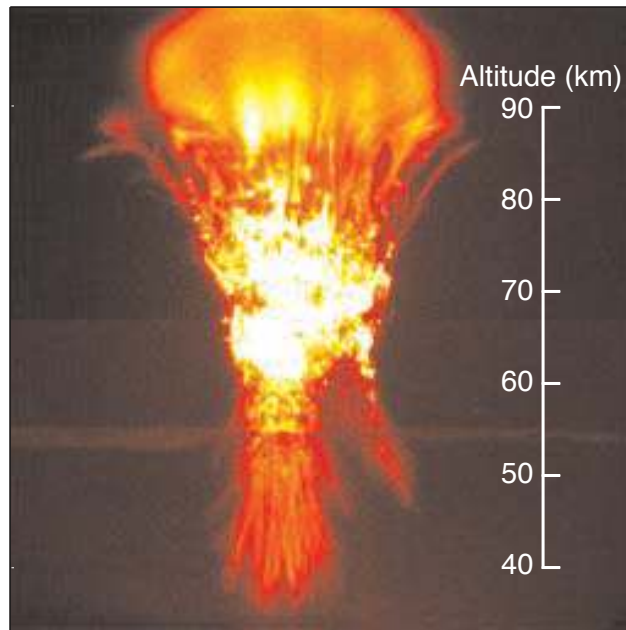
#### 3.1 Overview

In contrast to starters, jets, and gigantic jets that originate either deep inside thunderstorms or near thunderstorm tops, and propagate upward into the middle and upper atmosphere, sprites are initiated at much higher altitudes, about 70-85 km, and mainly propagate downward. They are electrical discharges triggered by sudden establishment of a strong quasi-electrostatic (QE) field above thunderclouds due to intense cloud-to-ground lightning (CG) strokes [e.g., *Pasko et al.*, 1997]. Most of sprites are caused by +CGs that produce a downward electric field above thunderstorms [e.g., *Boccippio et al.*, 1995; *Williams et al.*, 2006, 2007, 2012], and only a few per thousand observed sprites are caused by -CGs [*Barrington-Leigh et al.*, 2001; *Taylor et al.*, 2008; *Li et al.*, 2012; *Cummer et al.*, 2013].

Sprites can span an altitude range of 40-90 km above thunderstorms, with a typical lateral extent of 5-10 km [*Sentman et al.*, 1995; *Stenbaek-Nielsen et al.*, 2000; *Cummer et al.*, 2006; *Stenbaek-Nielsen and McHarg*, 2008; *Neubert et al.*, 2008; *Stenbaek-Nielsen et al.*, 2013]. Therefore, the total volume of the atmosphere affected by sprites can be as large as thousands of cubic kilometers. The luminosity of sprites typically lasts for a few to tens of milliseconds, but the electrical and chemical modifications of the atmospheric volume by sprites may last much longer [*Stenbaek-Nielsen et al.*, 2000]. In color images, they appear to be reddish above ~50 km altitude and transition to be bluish below [*Sentman et al.*, 1995]. Figure 10 shows a bright sprite recorded by a digital, low-light-level,



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4 1000 frame per second intensified CCD imager [Stenbaek-Nielsen et al., 2000].  
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6 The original black and white image is reproduced in false color to show the  
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8 altitude variations of its structure and brightness [Pasko and Stenbaek-Nielsen,  
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10 2002]. The event shows typical morphology of sprites including a diffuse glow at  
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12 the top, tendril structures at the bottom, and a distinct transition region in the  
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14 middle.  
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44 **Figure 10.** A large, bright sprite recorded on 18 August 1999 from the University  
45 of Wyoming Infrared Observatory [Stenbaek-Nielsen et al., 2000; Pasko and  
46 Stenbaek-Nielsen, 2002].  
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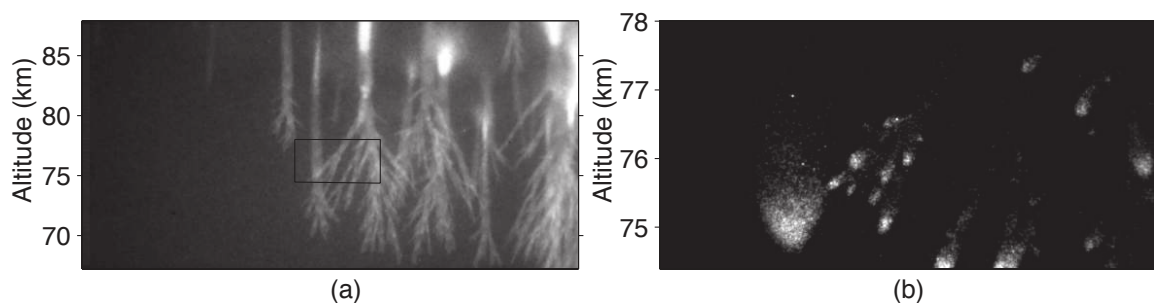
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54 Images recorded with even higher speed and/or improved spatial resolution  
55 indicate that electrical discharge processes known as streamers at atmospheric  
56 pressure are the building blocks of sprites [e.g., Gerken et al., 2000; Gerken and  
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4 *Inan, 2002, 2003; Marshall and Inan, 2005; Cummer et al., 2006; McHarg et al.,*  
5  
6 *2007; Stenbaek-Nielsen et al., 2007; Stenbaek-Nielsen and McHarg, 2008].*  
7  
8 Streamers are nonlinear ionization waves. They create cold (typically less than  
9  
10 400-500 K), filamentary plasma channels as they propagate. The electric field in  
11  
12 the streamer head or the ionization wave front is very large. Electrons are  
13  
14 accelerated to high energies in the streamer head, and collisions between them  
15  
16 and neutral molecules lead to ionization and excitation, resulting in luminous  
17  
18 streamer heads.  
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24 In the figure below and sections 3.2-3.4, we show high speed images of a  
25  
26 few sprite events. The observations were made with two intensified high-speed  
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28 CMOS cameras, a 12 bit Phantom v7.1 and a 14 bit Phantom v7.3 (see [*McHarg*  
29  
30 *et al., 2007; Stenbaek-Nielsen et al., 2007; Stenbaek-Nielsen and McHarg, 2008;*  
31  
32 *Stenbaek-Nielsen et al., 2013]* for a detailed description of the two imaging  
33  
34 systems). Both cameras have 800x600 pixel detectors, but the actual image size  
35  
36 recorded is software controlled and for most of our sprite observations we  
37  
38 typically use a smaller size image to extend recording time. The intensifier units  
39  
40 are VideoScope VS4-1845HS with 1 microsecond phosphors (P-24), and hence,  
41  
42 there is no image signal carried into the following images due to intensifier  
43  
44 phosphor persistence. The intensifier spectral responses are slightly different, but  
45  
46 this does not affect the data and conclusions presented here.  
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53 Figure 11 shows a sprite event captured by the two high-speed imagers  
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55 with different field of views. Panel (a) is a composite image obtained by  
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57 averaging over 13 frames (a total duration of 1.04 ms with 78 microsecond  
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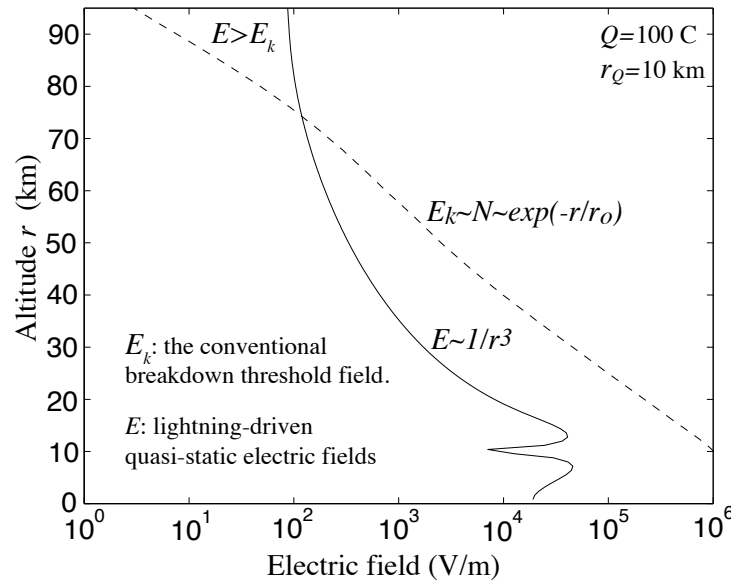
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4 integration time for each frame) recorded by one of the imagers with a relatively  
5  
6 large field of view. It clearly shows tendril structures that are typically observed  
7  
8 by an imager system with an integration time greater than 1 ms. Panel (b) shows  
9  
10 a single frame recorded by the other high-speed imager (20 microsecond  
11  
12 integration time) with a narrow field of view corresponding to the small  
13  
14 rectangular area in the center of Panel (a). The bright blobs in the image are  
15  
16 streamer heads. The tendril structures in images with longer integration time, in  
17  
18 fact, form from continual exposure of the detector to fast moving streamer heads,  
19  
20 and they show the paths of individual bright streamer heads. The streamer head  
21  
22 size varies from many tens to a few hundreds of meters [e.g., *Gerken et al.*,  
23  
24 2000; *Gerken and Inan*, 2002, 2003; *Marshall and Inan*, 2005; *McHarg et al.*,  
25  
26 2007; *Stenbaek-Nielsen et al.*, 2007; *Stenbaek-Nielsen and MchHarg*, 2008;  
27  
28 *McHarg et al.*, 2010; *Kanmae et al.*, 2012]. This event is analyzed in more detail  
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30 in Section 3.4 to study streamer branching dynamics, one of the actively pursued  
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32 research subjects in sprites and streamers.  
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**Figure 11.** (a) A composite image of a sprite event recorded by a high speed imager on 15 July 2010. (b) A telescopic image of the small rectangular area in the center of (a) recorded by another high speed imager.

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7 The occurrence of sprites above thunderclouds was predicted by the Nobel  
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9 Prize Laureate C.T.R. Wilson 90 years ago [*Wilson*, 1925]. He suggested that  
10 strong electric field could appear above thunderstorms due to charge  
11 redistribution by lightning flashes or charge imbalances in thunderstorms. Under  
12 extreme circumstances, the electric field can exceed the electrical breakdown  
13 threshold field of air at high altitudes, resulting in electrical discharges or sprites.  
14  
15 Figure 12 illustrates this idea by showing a comparison of the altitude profile of  
16 the electrical field produced by a CG stroke to the threshold field of conventional  
17 electrical breakdown  $E_k$ . Before a CG stroke, the electric field above  
18 thunderstorms is very small as a result of collective action of cloud charges,  
19 space charges induced in the conducting atmosphere, and their image charges  
20 in ground. A CG stroke quickly neutralizes a certain amount of positive or  
21 negative charge inside thunderstorms. This is equivalent to introduce the same  
22 amount of charge but opposite polarity at the same location. The simplest model  
23 to estimate the electric field produced by a CG stroke is an electric dipole  
24 consisting of the equivalent charge transferred by the lightning to the  
25 thunderstorm altitude and its image in ground. The solid line in Figure 12 shows  
26 the dipole field produced by a cloud charge of 100 C at 10 km altitude [*Pasko*,  
27 2010, and References cited therein]. The field decreases with altitude  $r$  as  $r^{-3}$ .  
28  
29 The conventional breakdown threshold field  $E_k$ , on the other hand, falls  
30 exponentially with increasing altitude, because it is proportional to air density that  
31 exponentially decreases with altitude (see Figure 2). Therefore, “there will be a  
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height above which the electric force due to the cloud exceeds the sparking limit” [Wilson, 1925], resulting in electrical discharges above thunderstorms.



**Figure 12.** Physical mechanism of sprites [Wilson, 1925]: “While the electric force due to the thundercloud falls off rapidly as  $r$  increases, the electric force required to causing sparking (which for a given composition of the air is proportional to its density) falls off still more rapidly. Thus, if the electric moment of a cloud is not too small, there will be a height above which the electric force due to the cloud exceeds the sparking limit” [Pasko, 2010, and references cited therein].

The electric field of an electric dipole is directly proportional to its dipole moment. In the sprite literature, the charge moment change is more commonly used to measure the strength of lightning for triggering sprites [e.g., Cummer and Inan, 1997; Cummer, 2003; Cummer et al., 2013]. It is the amount of charge removed by the lightning multiplied by the altitude from which it is removed, thus

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4 equal to half of the dipole moment of the electric dipole consisting of the charge  
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6 removed by the lightning and its image.  
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9 The physical mechanism of sprites illustrated by Figure 12 has been tested  
10 by careful analyses integrating sprite videos, lightning current measurements,  
11 and lightning field simulations [Cummer and Lyons, 2005; Hu et al., 2007; Li et al.,  
12 2008; Gamerota et al., 2011, Li et al., 2012]. The results indicate that it can  
13 predict the initiation of bright, short-delayed ( $\sim 10$  ms from the parent lightning  
14 return stroke) sprites reasonably well: prompt sprites are initiated when the  
15 lightning field reaches about  $0.8E_k$ . For long delayed or dimmer sprites, those  
16 studies find that sprites can be initiated in a lightning field as low as  $0.2-0.6E_k$  [Hu  
17 et al., 2007; Li et al., 2008; Gamerota et al., 2011]. Recent modeling studies  
18 indicate that the initiation of sprites in the field well below  $E_k$  can be explained by  
19 initiation of streamers from ionospheric inhomogeneities, although details still  
20 need to be worked out [Liu et al., 2012, Kosar et al., 2012, 2013]. To summarize,  
21 sprites are driven by conventional electrical discharge processes, predominately  
22 by streamers, which are caused by the establishment of a QE field in the upper  
23 atmosphere by CGs.  
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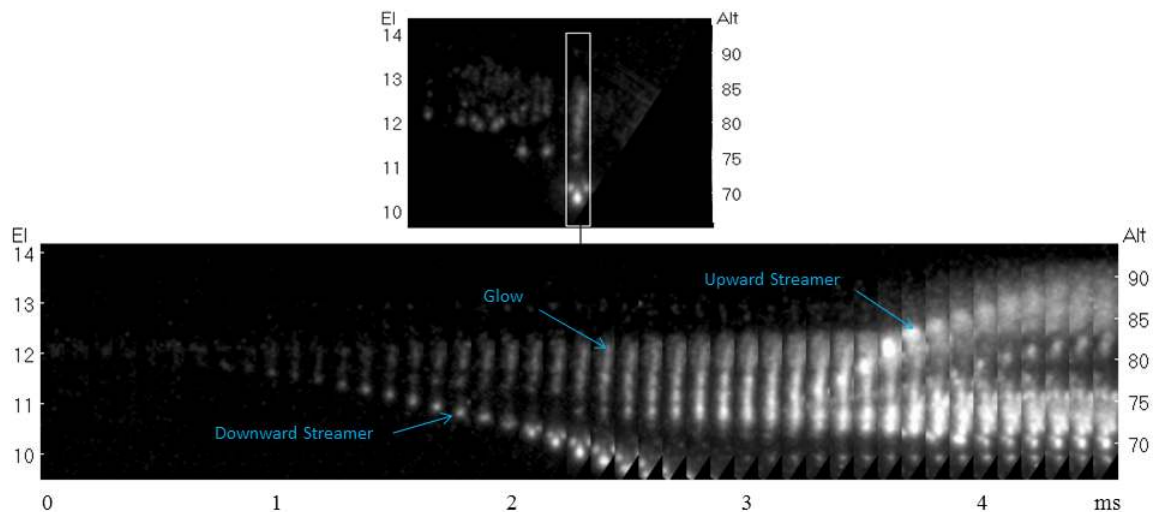
45 In the following sections, we present high-speed images of a few sprite  
46 events to illustrate the spatial and temporal properties of sprites with particular  
47 emphasis on the dynamics of sprite streamers. The characteristic spatial and  
48 temporal scales of streamers at different air densities can be estimated by using  
49 the similarity laws of gas discharge physics, which suggest they scale inversely  
50 with air density [Pasko, 2006; Ebert et al., 2006; Liu, 2014]. Their values at 70 km  
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4 altitude are about 15,000 times larger than at ground pressure. This makes it  
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6 possible to obtain consecutive images of the same streamer by using currently  
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8 available high-speed cameras, which allows for detailed investigation of the  
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10 properties and physics of the streamer. It should be mentioned that many  
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12 research topics in sprites that are actively investigated by various research  
13  
14 groups are not covered here, such as sprite spectra [e.g., *Kuo et al.*, 2005; *Liu et*  
15  
16 *al.*, 2006, 2009b; *Liu and Pasko*, 2007, 2010; *Mende et al.*, 2006; *Liu et al.*,  
17  
18 2009b; *Kanmae et al.*, 2010], radio frequency measurements [e.g., *Cummer et al.*,  
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20 1998; *Füllekrug et al.*, 2001; *Li and Cummer*, 2011; *Füllekrug et al.*, 2010, 2011;  
21  
22 *Cummer et al.*, 2013], effects on the radio wave propagation [e.g., *Moore et al.*,  
23  
24 2003; *Inan et al.*, 2010; *Haldoupis et al.*, 2010, 2012], chemical effects [e.g.,  
25  
26 *Sentman et al.*, 2008; *Gordillo-Vázquez*, 2008; *Arnone et al.*, 2014], and  
27  
28 infrasound emissions [*Liszka*, 2004; *Farges et al.*, 2005; *Farges and Blanc*, 2010;  
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30 *Pasko*, 2009; *de Larquier and Pasko*, 2010; *da Silva and Pasko*; 2014].  
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### 41 **3.2 Streamer initiation**

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43 The initiation of streamers is not well understood. Observations show they  
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45 either originate out of the dark background or originate from structures within a  
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47 preceding halo. In many events the halo is so bright that it saturates images,  
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49 which makes it impossible to extract detailed information about the streamer  
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51 initiation. Figure 13 shows an example with streamers emerging out of the dark  
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53 background. The event was observed from Langmuir Observatory, New Mexico,  
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55 looking east on 9 July 2005 at 04:15:17 UT. The observations were made at  
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4 10,000 frames per second. The top image is one frame 2.3 ms after the  
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6 appearance of the first streamer head. As seen in the image there are multiple  
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8 streamers all moving straight down. Below is an image time series to illustrate  
9  
10 the sprite streamer initiation. The time series was made from consecutive image  
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12 sections covering the dominant streamer as indicated by the box in the image at  
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14 top. The altitude scale to the right is derived assuming that the sprite occurred at  
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16 the range of the causal lightning strike as reported by NLDN.  
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42 **Figure 13.** Streamer initiation in a bright sprite observed from Langmuir  
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44 Observatory, New Mexico, on 09 July 2005 at 04:15:17 UT. The recording was  
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46 made at 10,000 frames per second. The top shows one frame 2.3 ms after first  
47  
48 streamer detection. The image time series (bottom) was created by extracting  
49  
50 strips from 45 successive images starting with the first image in which the  
51  
52 streamer is detected. The strip location within the full image is given by the white  
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54 box. The elevation angle of the observation is shown on the left and altitude on  
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56 the right. The altitude was derived assuming the sprite over the causal lightning  
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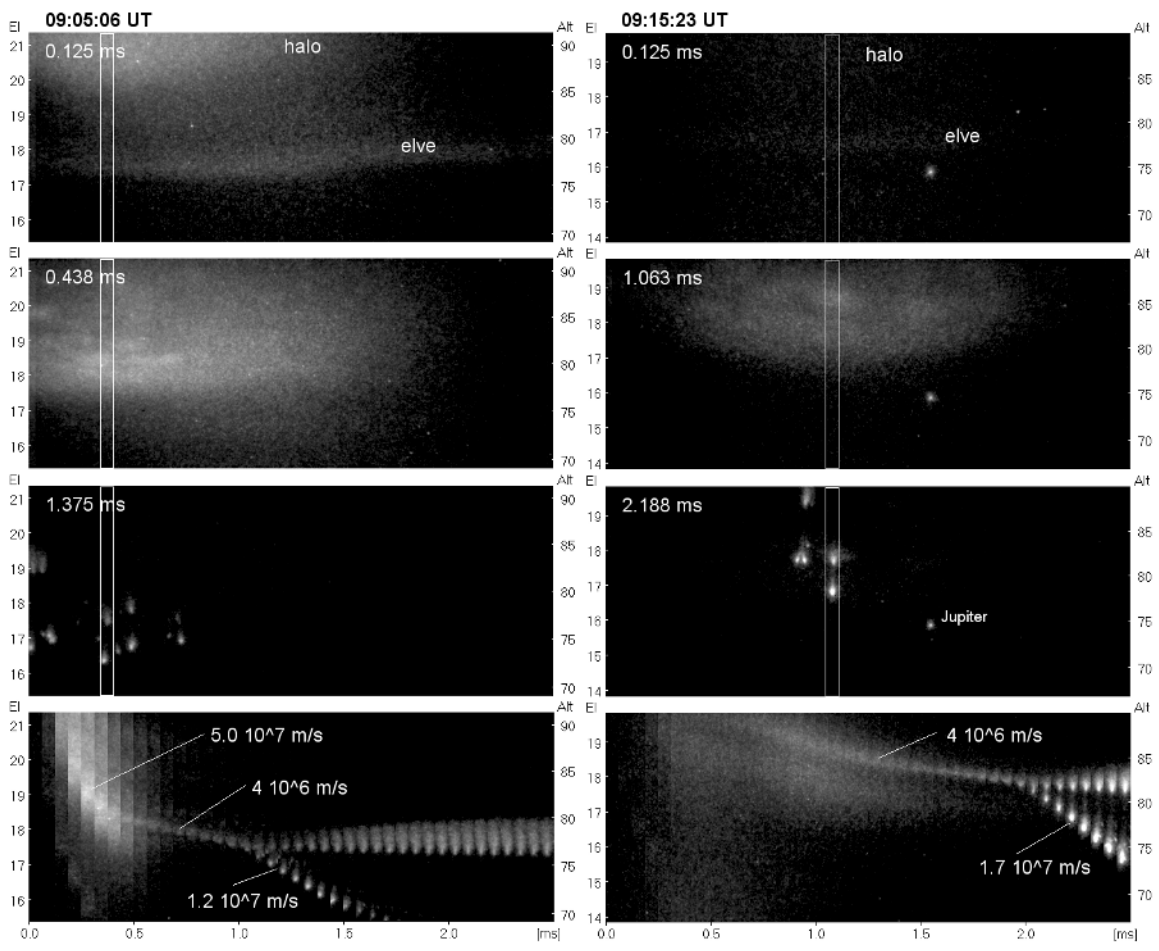
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4 strike as recorded by NLDN. The sprite starts with a downward propagating  
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6 streamer head, and a stationary glow gradually appears in the space around the  
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8 onset altitude. The upward streamer head starts later and from a lower altitude; it  
9  
10 also starts from existing sprite structure. The maximum downward and upward  
11  
12 streamer head velocities are  $1.3 \times 10^7$  m/s and  $2.3 \times 10^7$  m/s respectively.  
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16 Figure 13 illustrates well some main characteristics of sprites. All sprites  
17  
18 start with downward propagating streamers. In this example the onset is at an  
19  
20 altitude of 81 km. The streamer has a bright head that propagates downward at  
21  
22 increasing speed as indicated by the steepening track of the streamer head in  
23  
24 the time series plot. Near the onset altitude a stationary glow gradually appears.  
25  
26 This glow is often the main optical feature in low time resolution images  
27  
28 (photographs or standard 30 fps video recordings). In some events also upward  
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30 propagating streamers may appear. When they do, as in this example, they  
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32 appear later, from a lower altitude, and from near the bottom sprite glow created  
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34 by earlier downward propagating streamers.  
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41 To properly understand the observations of the streamer initiation one has  
42  
43 to recognize that the recording imager has a finite sensitivity and that there is a  
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45 minimum detectable brightness. Thus, the streamer initiation may actually take  
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47 place at some earlier time with the initial optical emissions below the minimum  
48  
49 detectable brightness [Liu et al., 2009a; Qin et al., 2012a]. In the study by Liu et  
50  
51 al. [2009a] we found by comparing the simulations with an observed event that  
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53 the optical emissions from the streamer only became detectable 0.58 ms after  
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55 streamer initiation.  
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4 Many sprite events follow a visible halo within which the streamers form.  
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6 Our many years of sprite observations clearly show that the brightness of the  
7  
8 sprite halo can vary considerably between events. Recognizing this *Luque and*  
9  
10 *Ebert* [2009] have suggested that sprite streamers originate from the collapse of  
11  
12 a screening-ionization wave, which is the halo, but that in some events the halo  
13  
14 may simply not be bright enough to be observed. Other studies indicate that the  
15  
16 streamers originate from mesospheric irregularities [*Qin et al.*, 2011, 2012a, b,  
17  
18 2014; *Liu et al.*, 2012, 2014; *Kosar et al.*, 2012, 2013; *Füllekrug et al.*, 2013].  
19  
20 Figure 14 shows data from two events where streamers appear from visible  
21  
22 structures in the halo. The events were recorded on the NSF supported  
23  
24 Gulfstream V aircraft on 27 August 2009 flying at 14 km altitude over Oklahoma.  
25  
26 Both events had elve, halo and streamers clearly visible in the images. The  
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28 imager was operated at 16,000 frames per second (62.5 microseconds between  
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30 images) with a field of view of 15.2x6.0 degrees.  
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**Figure 14.** Two events with sprite streamers initiated from structure in the halo. The events were recorded at 16,000 fps on a Gulfstream V aircraft flying over Oklahoma on 27 August 2009 at 09:05:06 UT (left) and at 09:15:23 UT (right). The three top panels are selected high speed images showing elve, halo and streamers. The bottom panels show image time series covering 2.5 ms of time illustrating the streamer development and the downward movements of the halo and streamer. The image time series are constructed of image strips from sequential images. The location of the strip within the images is indicated by the white box. The time axis, and the time on the images, is time from the first appearance of the elve. The altitude scale was calculated assuming the sprite at

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4 the range of the causal lightning strike as reported by NLDN. The bright point-like  
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6 feature lower center right in the images from the 09:15:23 UT event is the planet  
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8 Jupiter. The Gulfstream aircraft was operated by NCAR with NSF support.  
9

10  
11 In the top image the elve is seen across the center and the halo is just  
12  
13 entering the field of view from above. The second image has the halo with clear  
14  
15 spatial structures which later spawned streamers as evident in the third image.  
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17 To illustrate the streamer development and the downward motion sub-images  
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19 from 40 successive frames, corresponding to 2.5 ms total time, were extracted to  
20  
21 form an image time series starting with the image in which the elve first appears.  
22  
23 The image time series are shown in the bottom panel. The white box on the full  
24  
25 images show the image region extracted in each of the two events. The altitude  
26  
27 scale was derived assuming that the sprite was directly above the causal  
28  
29 lightning strike as recorded by NLDN. The elve and halo in the 09:05:06 UT  
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31 event are roughly 3 times brighter than in the 09:15:23 UT event, but the latter  
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33 has brighter streamers. The event at 09:15:23 UT was a rather small and not  
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35 particularly bright event, but even so, the brightness of the streamers is clearly  
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37 brighter than the planet Jupiter, which happened to be within field of view.  
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46 The two events have visible spatial structures within the halo, and the  
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48 spatial structures form the seed for streamer formation. The larger diffuse halo  
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50 appears to fade prior to streamer formation, which is also observed in many  
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52 events in our larger high speed imager data set. It is important to note that the  
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54 observation of halo structure leading to streamer formation, while not at all  
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56 infrequent, is not generally the case. A significant fraction of our sprite events has  
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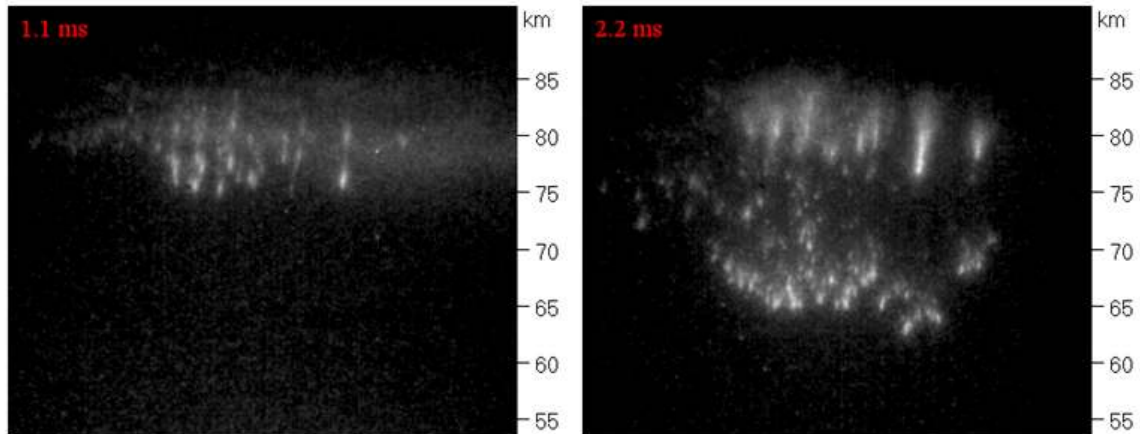
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4 the streamers emerging from the dark background, but, as mentioned above, this  
5 could just be an artifact of the imager sensitivity. A quantitative analysis of the  
6 occurrence rate of halo structure in our large data set has not been done, but  
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11 *Moudry et al.* [2003] reported that about half of 23 halos observed on 18 august  
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13  
14 1999 from the Wyoming Infrared Observatory (WIRO) near Laramie, Wyoming,  
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16 had internal spatial structure.  
17

18  
19 The time from lightning strike to sprite streamer initiation varies  
20 considerably in our observations as does the altitude of streamer onset. In the  
21 two events shown in Figure 14 individual streamers appear over a 6 ms interval  
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23  
24 from the first detection of the elve that is created by the electro-magnetic pulse  
25  
26 radiated from the lightning strike. The appearance of the elve is often used to  
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28 time events. The two events are relatively small sprites. In larger events we  
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30  
31 typically see many streamers form. An example is shown in Figure 15 (top). Here  
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34 more than 20 streamers are initiated within 1.2 ms of the appearance of the elve.  
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37 In other events streamer formation only occurs later. In the example shown in  
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40 Figure 15 (bottom) the streamer onset is at 12.9 ms. These two events were  
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43 observed from two aircraft flying over Iowa and Nebraska, respectively. The  
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45 altitude scales given are based on triangulation. There are observations of  
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47 sprites with streamer onset as late as almost 100 ms after the strike [*Li et al.*,  
48  
49  
50 2008; *Gamerota et al.*, 2011]. The reason for delayed streamer formation is  
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52  
53 uncertain. *Li et al.*, [2008] have suggested that the continuing current, as  
54  
55 originally proposed by *Cummer and Füllekrug* [2001], plays an important role.  
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58 *Luque and Gordillo-Vázquez* [2012] have proposed electron detachment from  $O^-$   
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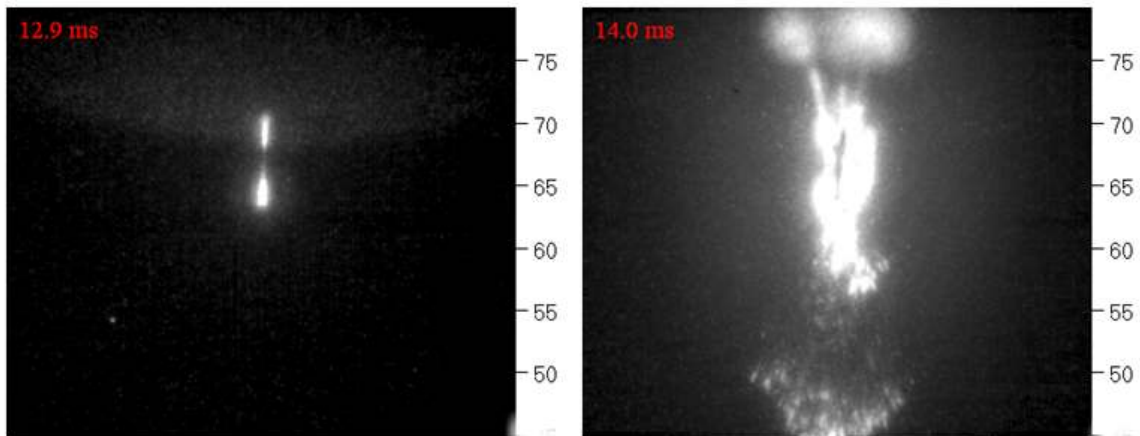
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ions can cause the delay. On the basis of detailed modeling results, *Liu et al.* [2014] have suggested that the delay is the result of streamer initiation from gradually-amplifying mesospheric inhomogeneities near a halo front that may be invisible. In this case, the inhomogeneities can be small-scale, weak-amplitude perturbations created by atmospheric processes such as gravity waves. The amplification can take place in an electric field below the conventional breakdown field because of the electron detachment process from  $O^-$  ions [*Luque and Gordillo-Vázquez, 2012; Liu, 2012; Neubert and Chanrion, 2013*] but requires a longer time, which contributes to the delay of the streamer initiation.

Multiple C-sprite: 11 July 2011, 06:09:57 UT



Carrot sprite: 06 July 2012, 09:01:33 UT



**Figure 15.** Top: Multiple C-sprite event observed from aircraft over Iowa on 11 July 2011 at 06:09:57 UT. Numerous streamers were launched from the halo within 1 ms of the appearance of the elve. Bottom: Carrot sprite observed over Nebraska on 6 July 2011 at 09:01:33 UT. The initial streamer did not appear before 12 ms after the elve. Both events were recorded at 10,000 fps. Observations were made from 2 aircraft flying 30 km apart so the location and altitude of the sprites could be triangulated. The 2011 sprite campaign was sponsored by the Japanese Broadcasting Corporation (NHK).

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4 The altitude of streamer initiation varies as well. Triangulated onset  
5 altitudes from 66 km to 89 km for downward propagating streamers and 64 km to  
6 78 km for upward propagating streamers have been published by *Stenbaek-*  
7 *Nielsen et al.* [2010]. Higher altitude streamer initiation is typically associated with  
8 C-sprites. Sprites with streamer onset in the few millisecond range are  
9 categorized as prompt sprites, and they are expected to have their onset at  
10 relatively high altitude, 80 km or higher [*Hu et al.*, 2007; *Li et al.*, 2008], whereas  
11 delayed sprites have their onset at lower altitudes, which has been verified  
12 through triangulation [*Gamerota et al.*, 2011].  
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16 The propagating streamers define the type of sprites. With only downward  
17 streamers the sprite would be characterized as a C-sprite or multiple C-sprites  
18 (Figure 15 top), while, if there are upward propagating streamers, the sprite  
19 would likely be characterized as a carrot sprite (Figure 15 bottom). It must be  
20 noted that the number of upward streamers vary greatly between events and the  
21 classification of a given sprite event as either C-sprites or carrot sprites is often  
22 subjective [*Stenbaek-Nielsen et al.*, 2008]. It should also be noted that prompt  
23 sprites are typically multiple C-sprites while delayed sprites tend to be carrots.  
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27 Sprite streamers are high-altitude analogs of streamers discharges  
28 observed for spark or lightning discharges [*Pasko et al.*, 1998; *Liu and Pasko*,  
29 2004; *Pasko*, 2006, 2007; *Ebert et al.*, 2006; *Liu*, 2014]. They have been  
30 modeled by several groups [*Liu and Pasko*, 2004; *Ebert et al.*, 2006; *Chanrion*  
31 *and Neubert*, 2008; *Liu et al.*, 2009a, b; *Luque and Ebert*, 2009; *Liu*, 2010; *Luque*  
32 *and Ebert*, 2010; *Luque and Gordillo-Vázquez*, 2011; *Qin et al.*, 2012a, 2012b,  
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4 2013; *Liu et al.*, 2012; *Kosar et al.*, 2012, 2013]. As noted above the cause for  
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6 streamer initiation is uncertain, and in most models the streamer development is  
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8 initiated by an artificially introduced electron density perturbation that serves as a  
9  
10 seed for the streamer. In the mesosphere perturbations of neutral or electron  
11  
12 density may be common as they can result from effects of atmospheric waves,  
13  
14 dust, or metallic ion layers. *Wescott et al.* [2001b] and *Zabotin et al.* [2001]  
15  
16 suggested an association with meteors and meteor dust. *Füllekrug et al.* [2013]  
17  
18 have presented observations of streamer initiation from an existing mesospheric  
19  
20 irregularity. Modeling studies assuming mesospheric irregularities have been  
21  
22 done by *Qin et al.* [2012a, 2012b, 2013, 2014], *Liu et al.* [2012, 2014], and *Kosar*  
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24 *et al.* [2012, 2013].

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31 It should be mentioned that modeling studies [e.g., *Liu and Pasko*, 2004;  
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33 *Qin et al.*, 2012] have suggested that when an electric field greater than the  
34  
35 breakdown field  $E_k$  is suddenly established in the lower ionosphere, sprites can  
36  
37 be initiated from development of double-headed streamers seeded by strong  
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39 inhomogeneities. In such an event two streamers of opposite polarity originate  
40  
41 simultaneously from the same point propagating up and down. However, we  
42  
43 have never identified such events in our substantial data set recorded over nearly  
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45 15 years. According to *Qin et al.* [2011] and *Sun et al.* [2013], when the  
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47 inhomogeneities are relatively weak or no inhomogeneities exist in the lower  
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49 ionosphere, only a halo will result.  
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### 58 **3.3 Streamer propagation characteristics**

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4           Sprite streamers appear to propagate in the direction of the local electric  
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6 field. The direction of the first streamers is typically straight down as seen in  
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8 Figure 15 above. The onset location may not be directly above the causal  
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10 lightning strike, but several tens of km away [*Lyons et al.*, 1996; *Wescott et al.*,  
11  
12 2001b], and in those cases the lower altitude section of the streamer paths may  
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14 bend towards the location of the causal strike [*Stenbaek-Nielsen et al.*, 2000], or  
15  
16 more accurately, towards the location of the charge removed by the lightning.  
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18 Streamers forming later, notably upward propagating streamers, typically have  
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20 large horizontal velocity components, which accounts for the broad tops  
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22 observed in carrot sprites.  
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28           High speed observations of streamers formed after the initial bursts of  
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30 downward streamers often find them propagating towards and connecting with  
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32 earlier formed streamer channels and beads [*Cummer et al.*, 2006, *Stenbaek-*  
33  
34 *Nielsen and McHarg*, 2008; *Montanya et al.*, 2009; *Stenbaek-Nielsen et al.*, 2013].  
35  
36 This is also observed in laboratory discharges [*Nijdam et al.*, 2009]. A  
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38 triangulated example presented by *Stenbaek-Nielsen et al.*, [2013] (their Figure  
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40 7) shows the streamer head to connect at right angles to the streamer channel.  
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42 This indicates that the channel has high conductivity consistent with the concept  
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44 of streamers as ionization waves. *Gordillo-Vázquez and Luque* [2010] find the  
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46 high conductivity channel to last several minutes thus providing a possible  
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48 explanation for the often observed ‘re-ignition’ of sprite structures. In such events  
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50 subsequent lightning activity will cause old sprite structures to re-appear even  
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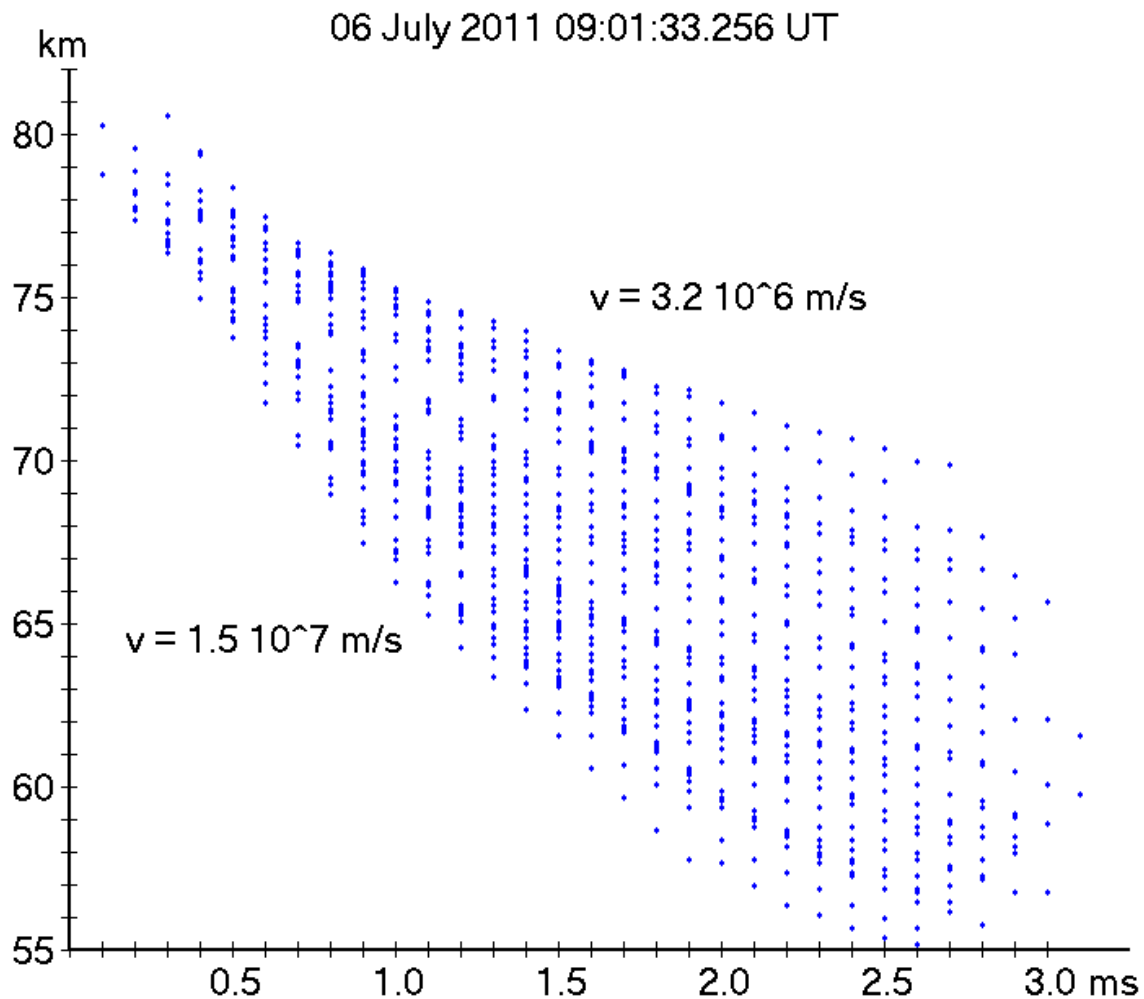
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4 after the initial optical emissions have subsided [*Stenbaek-Nielsen et al.*, 2000;  
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7 *Sentman et al.*, 2008].

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9         Sprite streamer velocities are typically in the  $10^6$  to  $10^8$  m/s range [*Stanley*  
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11 *et al.*, 1999; *Moudry et al.*, 2002; *McHarg et al.*, 2002; *Cummer et al.*, 2006;  
12  
13 *McHarg et al.*, 2007; *Stenbaek-Nielsen and McHarg*, 2008]. The fastest streamer  
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15 we have observed in our high speed data is  $1.4 \times 10^8$  m/s, half the speed of light,  
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17 inferred from multi-anode photometer observations [*McHarg et al.*, 2002]. The  
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19 velocity range of downward and upward propagating streamers is very similar,  
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21 but with the upward streamers typically slightly faster. The velocity of  $1.4 \times 10^8$  m/s  
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23 was in an upward propagating streamer. In sprite observations streamers  
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25 typically propagate to the lowest altitude near the center axis of the event, and  
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27 these streamers are also the fastest [*Li and Cummer*, 2009].  
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34         In image time-series plots, such as in Figures 13 and 14 above, the  
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36 streamer velocity can be inferred from the slope of the streamer path. The  
37  
38 maximum velocity for the downward streamers shown in Figures 13 and 14 are  
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40  $1.3 \times 10^7$ ,  $1.2 \times 10^7$ , and  $1.7 \times 10^7$  m/s respectively, and for the upward streamer in  
41  
42 Figure 13  $2.3 \times 10^7$  m/s.  
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46         The sprite halo generally descends with a velocity around  $10^6$  m/s. This is  
47  
48 also seen in simulations [e.g., *Liu*, 2012]. The halo in the 09:15:23 UT event  
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50 (Figure 14, left) initially has a velocity in the same range as streamers, but slows  
51  
52 down to near  $10^6$  m/s prior to streamer formation. Figure 16 shows the  
53  
54 distribution of streamer head altitudes as function of time for the multiple C-sprite  
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56 event shown in Figure 15 (top). The event was observed from two aircraft flying  
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4 about 30 km apart and streamer head locations were determined by triangulation.  
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6 The plot has nearly 1200 triangulated positions from more than 30 individual  
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8 streamers. For this event the streamer velocities vary between  $3.2 \times 10^6$  and  
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10  $1.5 \times 10^7$  m/s.  
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51 **Figure 16.** Altitude versus time for nearly 1200 triangulated streamer head  
52 positions. The event was recorded at 10,000 fps on 11 July 2011 at 06:09:57 UT  
53 from 2 aircraft flying 30 km apart over Iowa. 2 frames from the event were  
54 presented earlier in Figure 15 showing the numerous downward propagating  
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4 streamers. There are many splittings in the streamers and around 2 ms in the  
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6 figure more than 30 individual streamers were followed. The streamers are  
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8 mainly going straight down so the velocities can be calculated from the slope of  
9  
10 their path in the plot. The flights were part of a sprite campaign funded by the  
11  
12 Japanese Broadcasting Corporation (NHK).  
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16 The streamers initially accelerate to their maximum speed and then  
17  
18 gradually slow down and fade. In Figure 16 the initial streamer acceleration is not  
19  
20 obvious in the plot, but the deceleration towards the end is clear. The  
21  
22 acceleration observed in this and other examples is generally in the  $10^5$ - $10^{10}$   
23  
24 m/s/s range [McHarg *et al.*, 2007; Li and Cummer, 2009]. Li and Cummer [2009]  
25  
26 note that the deceleration is nearly constant,  $10^{10}$  m/s/s, across most sprites. For  
27  
28 the analysis leading to Figure 16 we did not relate streamer location relative to  
29  
30 the central axis for the event where, as noted by Li and Cummer [2009], we  
31  
32 should expect the largest velocities, but since the data are triangulated such an  
33  
34 analysis could be done. The streamers terminate when the local electric field  
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36 driving the streamers fall below 0.05 of the local breakdown electric field,  $E_k$  [Li  
37  
38 and Cummer, 2009]. With the termination field strength fixed this suggests that  
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40 the streamer termination location can be used to map the spatial structure of the  
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42 electric field.  
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51 Upward propagating streamers typically terminate with a luminous puff in  
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53 contrast to the downward streamers that just fade. Examples of such puffs are  
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55 seen at the top of the carrot sprite shown in Figure 15 (bottom). In Figure 10 the  
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57 large diffuse top of the sprite is from numerous such puffs. Pasko and Stenbaek-  
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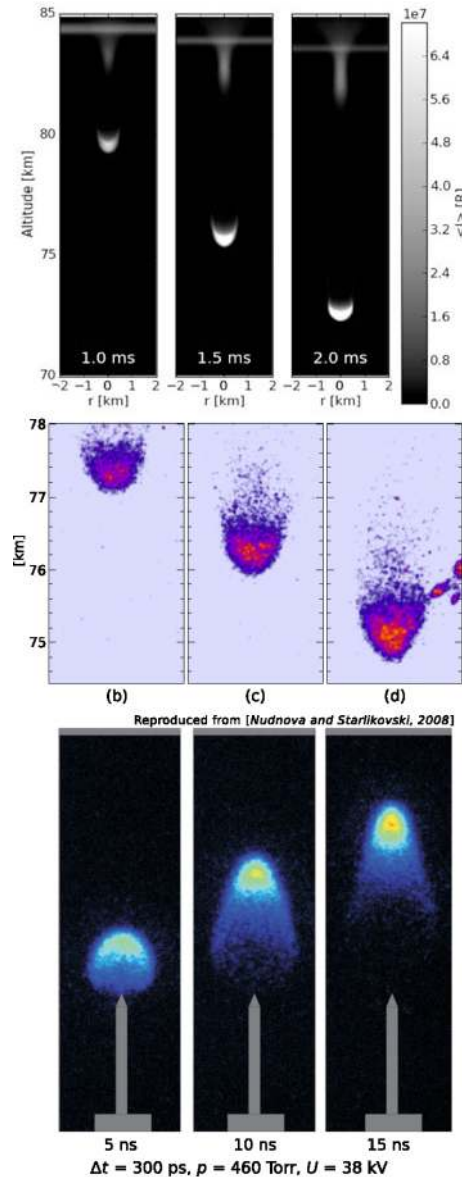
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4 *Nielsen* [2002] speculated that the puff may be related to the altitude where the  
5 electric conductivity becomes too large to support streamer propagation.  
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9 The sprite streamer heads are very bright. But despite this it has actually  
10 been very difficult to assess their brightness from image data. The high velocity  
11 of the streamers will ‘smear’ the image across many pixels during exposure [*Liu*  
12 *et al.*, 2009a], and even so the streamers will typically saturate the image  
13 [*Stenbaek-Nielsen et al.*, 2007]. In addition, atmospheric effects together with  
14 camera optics will slightly distort the image making it appear larger than it  
15 actually is. The same effect is seen with stars, which all are point sources, but in  
16 images bright stars appear larger than dim stars. Additionally, the spatial  
17 resolution in most sprite images is insufficient to show details within the streamer  
18 head. On a positive note, the sprite simulations today are, in general, very good,  
19 and we have found the optical emissions derived from the simulations to be  
20 consistent with our observations [*Liu et al.*, 2009a]. An outline of our efforts over  
21 the last 20 years to estimate the sprite streamer brightness and relate these  
22 estimates to simulation results has been given by *Stenbaek-Nielsen et al.* [2013].  
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43 A more qualitative estimate of the sprite streamer brightness is suggested  
44 looking at the sprite presented in Figure 14 (right). This is a rather small and not  
45 particularly bright sprite, and yet, the streamers are clearly brighter than the  
46 image of planet Jupiter, which happened to be within the field of view. The signal  
47 from a bright sprite could easily be a factor of 10 brighter. This suggests that the  
48 imager should be able to detect sprites in full daylight if sprites do happen in  
49 daylight as well.  
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4 Computer simulations of sprite streamers show the optical emissions from  
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6 the streamer head to come from a ‘saucer’-shaped region at the front of the  
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8 streamer [*Liu and Pasko, 2004; Liu et al., 2009a, b; Luque and Ebert, 2009,*  
9  
10 *2010; Qin et al., 2012a, 2012b, 2013; Kosar et al., 2012, 2013*]. Our high-speed  
11  
12 observations do not typically have enough spatial and temporal resolution for  
13  
14 detailed comparison. However, we do have a few observations that allow some  
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16 comparison. In Figure 17, top, we show simulations published by *Luque and*  
17  
18 *Ebert* [2010]. This simulation used their ‘ionization wave’ model for streamer  
19  
20 formation [*Luque and Ebert, 2009*] with a 200-m-large initial seed. The emissions  
21  
22 are integrated over 50 microseconds and the downward velocity is about  $7 \times 10^6$   
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24 m/s. The saucer shaped streamer head is clearly identifiable. In Figure 17,  
25  
26 middle, we show a streamer head extracted from a recording made at 16,000 fps  
27  
28 with 20 microsecond exposures on 15 July 2010 at 07:06:09 UT from Langmuir  
29  
30 Laboratory, New Mexico. This is the same event shown in Figure 11, which is  
31  
32 also discussed in more detail in the next section. The downward velocity is  $2 \times 10^7$   
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34 m/s. During the 20 microsecond exposure the streamer will move 400 m. The  
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36 apparent length of the streamer in the images is roughly 600 m, so the actual  
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38 length is closer to 200 m. Thus, the shape of the streamer head is more ‘saucer’-  
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40 like with a width of 600 m and a thickness of 200 m. The simulated streamer  
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42 head, with a similar correction for movement during ‘exposure’, is estimated at  
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44 500x200 m, very similar to the observed. This streamer is unusually large. A  
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46 similar analysis by *McHarg et al. [2010]* on a larger data set finds generally  
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48 smaller widths and thicknesses. Other streamer simulations have significantly  
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4 smaller streamers as well, but the shape of the optical emissions from the  
5 streamer head is the same. Finally, in Figure 17, bottom, we show a laboratory  
6 streamer observation by *Nudnova and Starikovskii* [2008]. The similarity to sprite  
7 streamers is quite striking.  
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57 **Figure 17.** Simulation and observations of the saucer shaped streamer head.  
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59 Top panel shows optical emissions in the streamer head reproduced from a  
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4 streamer simulation by *Luque and Ebert* [2010]. The optical emissions are from  
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6 the first positive band of molecular nitrogen responsible for the large majority of  
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8 the sprite optical emissions [*Kanmae et al.*, 2007]. The emissions in the  
9  
10 simulation are integrated in space along a line of sight perpendicular to the  
11  
12 streamer propagation and in time over 50 microseconds. Middle panel shows  
13  
14 three successive images with a large sprite streamer recorded at 16,000 fps from  
15  
16 Langmuir Laboratory, NM, on July 15, 2010 at 07:06:09 UT. The width of the  
17  
18 streamer head assuming that the sprite is over the causal lightning strike as  
19  
20 reported by NLDN is about 500 m. Bottom panel shows laboratory observations  
21  
22 by *Nudnova and Starikovskii* [2008] of a positive streamer in a 3 cm gap with an  
23  
24 applied voltage of 38 kV. The images are 5 ns apart and the diameter of the  
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26 streamer is 4–6 mm. The observations were in air at a pressure of 460 Torr. The  
27  
28 sprite streamer and the laboratory streamer have a remarkable similar  
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30 appearance. The laboratory images were reproduced from *Nudnova and*  
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32 *Starikovskii* [2008].  
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### 43 **3.4 Streamer head branching**

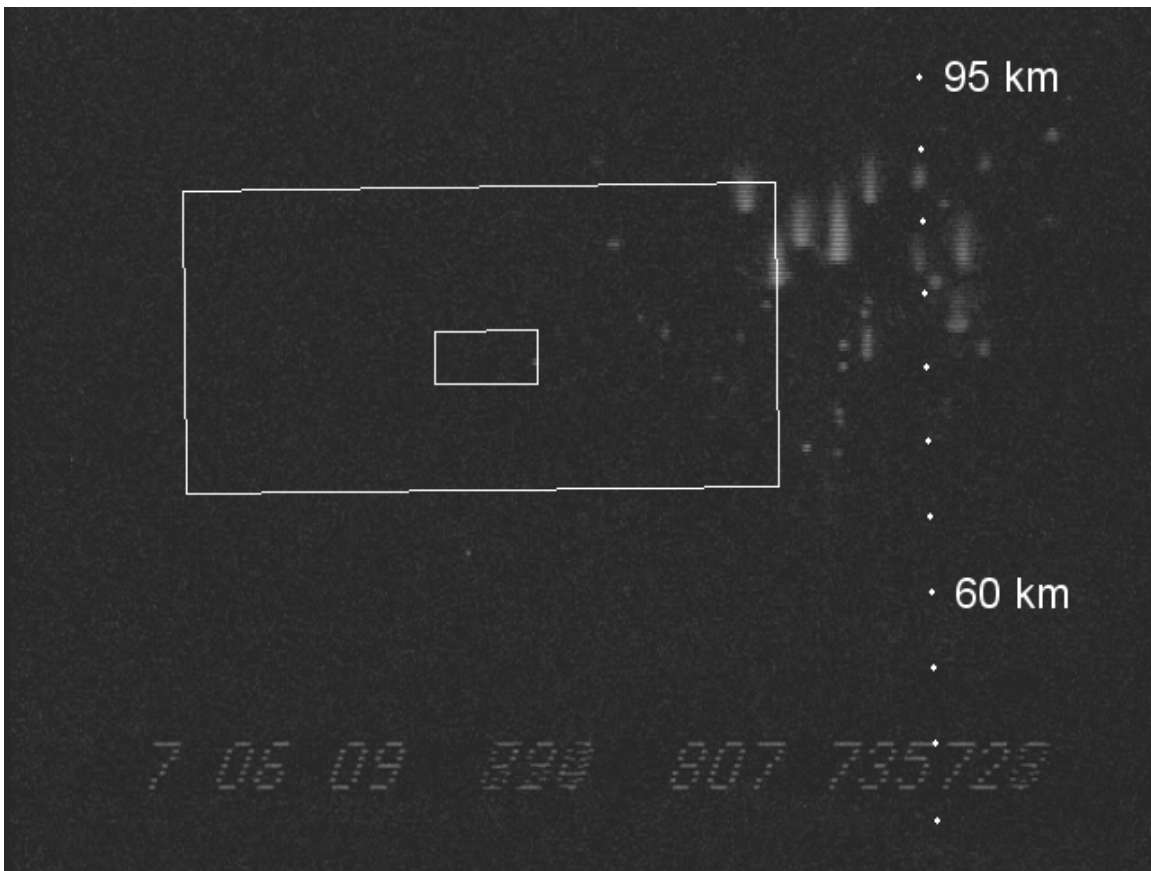
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45 Sprite streamers are of interest to the broader discharge physics  
46  
47 community because they serve as a natural laboratory for the study of streamer  
48  
49 dynamics. The spatial sizes and temporal lifetimes of streamers scale with  
50  
51 neutral density ( $N$ ) as roughly  $1/N$  [*Pasko*, 2006; *Liu*, 2014]. Thus scale sizes of  
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53 sprite streamers are approximately 100 m, and lifetimes are a few tenths of  
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55 milliseconds or longer. A frame rate of 10,000 frames per second (fps) can then  
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4 record several frames of the same streamer tip as it propagates, allowing study  
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6 of the dynamics of streamer splitting.  
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9 Previous work by *McHarg et al.* [2010] have shown that sprite streamers  
10 that propagate without splitting are less bright and smaller in width compared  
11 with splitting sprite streamers. A study of 117 streamer tips reveal the median  
12 streamer tip radius for non-splitting streamers is 193 m, while the median radius  
13 for splitting streamer tips is 389 m. Additionally, *McHarg et al.* [2010] showed a  
14 single event where an individual streamer brightened by a factor of 2.6 at the  
15 same time the radius increased from 199 to 279 m in the 300 microseconds  
16 immediately prior to splitting.  
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28 A good example demonstrating sprite streamer splitting was recorded  
29 from Langmuir Laboratory near Socorro New Mexico on 15 July 2010. In this  
30 recording we configured the two Phantom imagers with smaller fields of view,  
31 7.3x3.7 degrees (Camera 1) and 1.3x0.6 degrees (Camera 2), to provide sprite  
32 images with better spatial resolution. Figure 18 shows the event as recorded by a  
33 Watec scene video camera with the field of views of the two high speed imagers  
34 inserted. The field of view of the Watec camera is 14.2x10.4 degrees.  
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**Figure 18.** Video image of a multiple C-sprite event observed on 15 July 2010 at 07:06:09 UT. The field of view of the image is 14x10 degrees. Inserted are the 7.3x3.7 (Camera 1) and 1.3x0.6 (Camera 2) degree field of view of the two high-speed cameras. Points are at 5 km altitude increments above the NLDN strike.

This event would be classified as multiple C-sprites, and it is the same event shown in Figure 11 and in the middle panel of Figure 17. It is a very short duration sprite. The sprite is present in one video frame only, and in the high speed images it lasts less than 10 ms. Most of the C-sprites are outside the view of the high speed imagers, and one might expect little activity in the high speed data, but elve, halo, and streamers were all observed by both high-speed cameras. The lack of corresponding obvious sprite features in the video frame is

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4 due to the very short duration of the event combined with the high velocity  
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6 downward motion of individual sprite features.  
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9 The 7.3x3.7 degree field of view of Camera 1 was recorded at 12,500 fps  
10 (80 microseconds between frames) with an integration time of 78 microseconds  
11 (2 microseconds readout time). Each image is 512x256 pixels. Figure 19 shows  
12 an average of 13 frames (1.04 ms) from camera 1. The altitude scale on the left  
13  
14 was derived assuming the sprite to be at the same range, 310 km, as the causal  
15 lightning strike reported by NLDN. The box inside the image denotes the 1.3x0.6  
16 degree field of view of Camera 2. This integrated image clearly shows the  
17 “tracks” of the streamer tips as they undergo splitting within the field of view.  
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19 Comparison with the Watec image of Figure 18 demonstrates that the high speed  
20 camera is much more sensitive to the short duration sprite streamer dynamics.  
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55 **Figure 19.** Average of 13 frames (1.04 ms) from Camera 1 for the sprite event  
56 observed on 15 July 2010 at 07:06:09 UT. The field of view is 7.3x3.7 degrees.  
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59 This is the same image used for panel (a) in Figure 11.  
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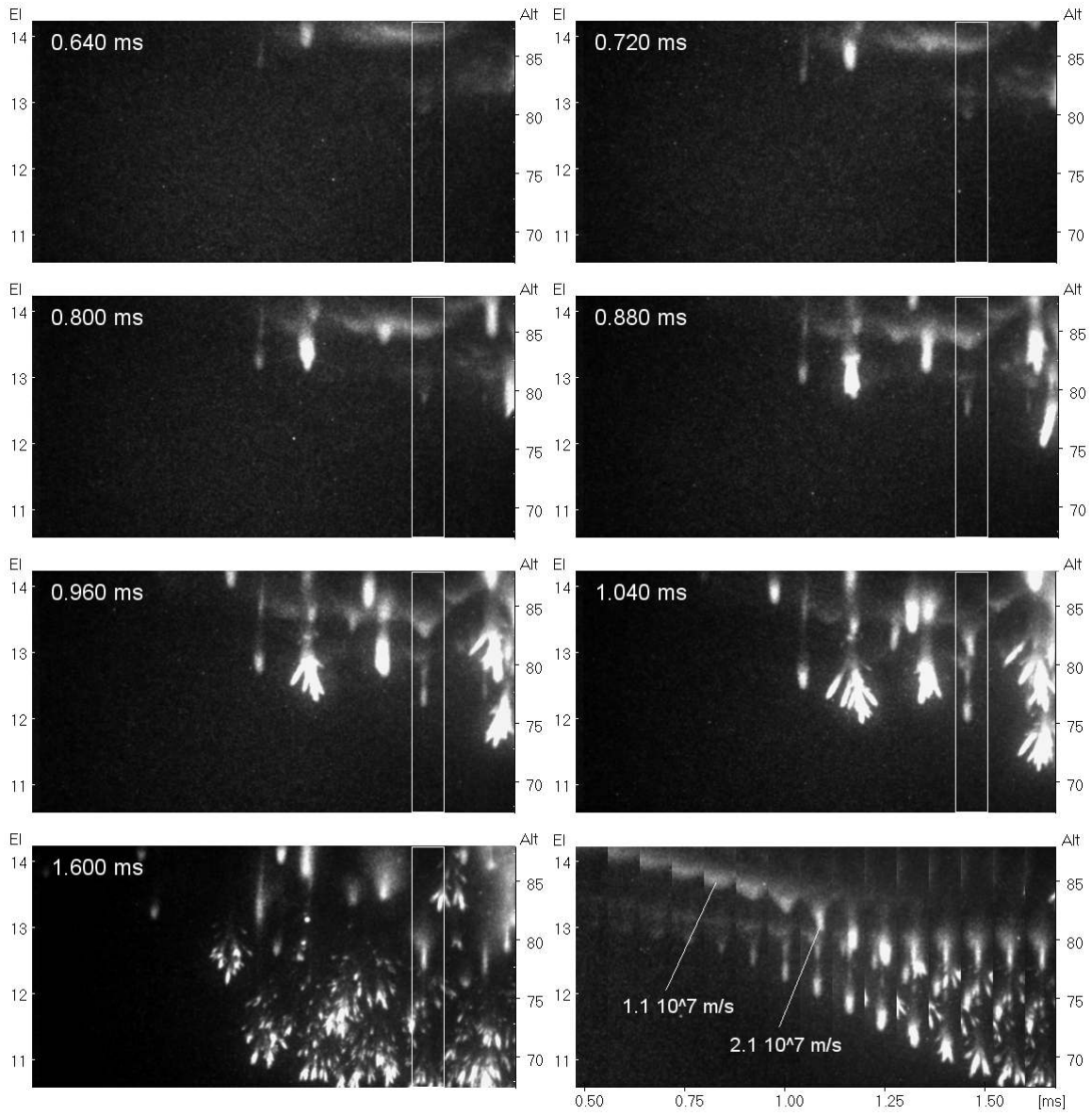
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7 Figure 20 shows six consecutive high speed images from Camera 1 in its  
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9 top three rows. Again, the altitude scale on the right of each panel was derived  
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11 assuming the sprite to be at the same range, 310 km, as the causal lightning  
12  
13 strike reported by NLDN. The onset altitude indicated by the scale appears to be  
14  
15 high. As mentioned in section 3.3 the onset location may not be directly above  
16  
17 the causal lightning strike, but several tens of km away [Lyons *et al.*, 1996;  
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19 Wescott *et al.*, 2001b]. If the sprite appears closer to the observer the elevation  
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21 angle would be higher and we would infer a higher altitude. For example, if the  
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23 sprite were 25 km closer the altitude scale would be 6 km too high.  
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29 The annotation in the upper left of each image is the time from the first  
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31 appearance of the elve, which propagated down through the field of view in 3 or  
32  
33 maybe 4 frames. The selected images start with the appearance of well defined  
34  
35 halo structures moving down into the camera field of view. The horizontal width  
36  
37 of the structures is about 5 km assuming the 310 km range. The halo structures  
38  
39 sharpen into V shapes and a streamer head emerges from its tip. There are  
40  
41 several such examples of streamer formation in the 6 images. The apparent  
42  
43 width of the streamers is 1-2 km, but since most are saturated this would be an  
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45 overestimate. The two streamers within the rectangular box in the right side of  
46  
47 the images form without saturating the detector, and their widths are 0.8 km  
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49 again assuming a 310 km range. The time of streamer formation within this field  
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51 of view is 0.6 to 1.1 ms after the casual lightning strike. At the bottom right of the  
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53 figure is an image time series formed by the image sections within the  
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rectangular box shown from 15 consecutive frames, including the 6 images at the top of the figure. The image time series illustrate the downward propagation of both halo structures and streamers with the slope providing the velocity. As shown on the figure the downward velocity of the halo structure is  $1.1 \times 10^7$  m/s and velocity of the streamer is  $2.1 \times 10^7$  m/s. The full image at bottom left is the last used for the time series showing the spectacular streamer splitting occurring in this event. Comparison with the average image in Figure 19 again demonstrates that streamer tip motion is “smeared” over longer integration times.

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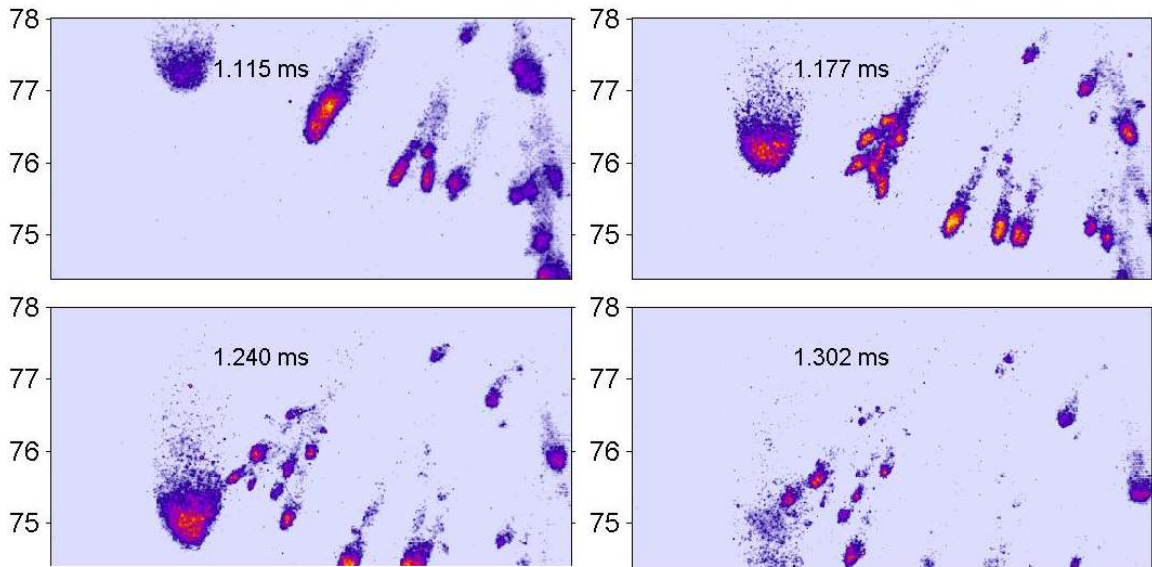


**Figure 20.** Images from event observed on 15 July 2010 at 07:06:09 UT recorded at a frame rate of 12,500 frames per second. The field of view is 7.3x3.7 degrees. Bottom left is the last frame used for the image time series shown in the bottom right. The image time series illustrate the streamer formation and the associated downward velocities. The times indicated are from the first appearance of the elve.

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4        *McHarg et al.* [2010] shows a streamer tip with velocity  $1.8 \times 10^7$  m/s which  
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6 propagates 920 m in 50 microseconds (the image integration time). The  
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8 measured length of the streamer was approximately 890 m (but this number is  
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10 dependent on how far down the intensity profile one goes to measure the length),  
11  
12 and a width of 180 m. This is consistent with a streamer tip shaped like a  
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14 pancake (see also Section 3.3) with a depth less than or equal to the pixel  
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16 resolution, in that case 30 m, and 180 m wide.  
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21        The narrow field Camera 2 recorded data at 16,000 fps, 62.5  
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23 microseconds between images, with an integration time of 20 microseconds.  
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25 Four successive images from Camera 2 are displayed in Figure 21. A false color  
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27 scale is used to enhance the contrast. The annotation in the upper left of each  
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29 image is the time from the first appearance of the elve, similar to Figure 20. A  
30  
31 large streamer tip is seen to the left of each image which propagates vertically  
32  
33 through the field of view. Figure 20 shows that this streamer splits immediately  
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35 after it leaves the field of view of Camera 2. A second streamer is seen  
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37 immediately to the right of the large streamer. In the successive four images it  
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39 propagates down and to the left, splitting in the second image. Close inspection  
40  
41 of the second and third image shows the streamer splitting into at least 6-10  
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43 pieces. At this frame rate, and with the 20 microseconds integration time, it is not  
44  
45 possible to say if the streamer truly falls into 6-10 pieces from one, or if it splits  
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47 repeatedly in the time between the frames. However, it is clear that sprite  
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49 streamers can divide into 6-10 sub-streamers within approximately 60  
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51 microseconds.  
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**Figure 21.** Images of the event observed on 15 July 2010 at 07:06:09 UT recorded at a frame rate of 16,000 frames per second. The field of view is 1.3x0.6 degrees. The annotation in the upper left is the time from the first appearance of the elve. The image pixel values are false colored to enhance the contrast of the splitting streamers.

Laboratory studies of streamers reveal that most streamers split into two branches [Heijmans *et al.*, 2013]. Heijmans *et al.* [2013] studied discharges in 100 mbar (approximately 17 km altitude in the atmosphere) artificial air exposed to 10 kV voltages pulses across a needle electrode 160mm above a grounded plate. The same study reported that approximately every 200 events in the lab results in a splitting into three branches. Using the standard atmosphere, the ratio of the density between 75 km and 17 km (100 mb) is approximately 3000. It is interesting to note that Heijmans *et al.* [2013] report streamer widths of a few mm at 100 mbar pressure. Scaled up by 3000 would be 15 m, and we observe

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4 sprite streamers with scale sizes of tens to hundreds of meters. *Heijmans et al*  
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6 note that the surface area of the streamers before and after branching is about  
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8 the same. This means that the branched streamer radii are less than the original  
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10 streamer. This is very similar to what we observe in sprite streamers, as shown  
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12 by Figure 21.  
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16 Streamer branching is poorly understood at present. Current theory  
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18 suggests it is a deterministic process, but statistical factors do play a role [e.g.,  
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20 *Arrayas et al., 2002; Rocco et al., 2002; Liu and Pasko, 2004; Ebert et al., 2006;*  
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22 *Luque and Ebert, 2011; Savel'eva et al., 2013; Sadighi et al., 2015*]. In general,  
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24 splitting in streamer heads occurs when they grow in size and their fronts flatten.  
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26 Accompanying this change in the streamer head geometry, the streamer  
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28 approaches an “ideal conductivity” state with approximately equipotential  
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30 streamer head and thus, a thin space charge layer forms on the streamer head  
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32 [e.g., *Arrayas et al., 2002; Rocco et al., 2002; Liu and Pasko, 2004; Ebert et al.,*  
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34 *2006*]. This state is dynamically unstable and leads to a Laplacian instability  
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36 resulting in the streamer splitting [e.g., *Arrayas et al., 2002; Rocco et al., 2002;*  
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38 *Ebert et al., 2006*]. According to the theory of the instability of a planar discharge  
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40 wave front [*Ebert et al., 1997; Kyuregyan, 2012*], the planar front is unstable  
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42 when it is subject to transverse perturbations with spatial scales on the order of  
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44 the thickness of the front (the thickness of the space charge layer). The streamer  
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46 head approaching the ideal conductivity condition can be roughly approximated  
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48 as a planar wave front, and perturbations with a spatial scale smaller than its  
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50 width can grow faster than streamer development, leading to branching. *Liu and*  
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4 *Pasko* [2004] suggest that the photoionization range is an important length scale  
5 defining the maximum streamer radius and predict the value of this radius for  
6 sprite streamers. *McHarg et al.* [2010] show that the theoretical radius of 97 m for  
7 stability at altitude of 70 km is close to the observed median radius of 197 m.  
8  
9 *Luque and Ebert* [2011] investigate possible perturbations that can give rise to  
10 streamer branching, and point out that the ratio of the distance between  
11 branching events and the streamer radius is an important parameter to measure.  
12 Laboratory measurements show this ratio to be 12-15 [*Briels et al.*, 2008, *Nijdam*  
13 *et al.*, 2008]. *Luque and Ebert* [2011] theoretically predict this ratio in the lab to  
14 be approximately 8, and note that it may be longer for sprite streamers, due to  
15 the reduced electron density perturbations at mesospheric altitudes. *Savel'eva et*  
16 *al.* [2013] and *Sadighi et al.* [2015] perform analysis of the curvature of the  
17 streamer head surface from simulations and suggest that streamer branching  
18 can naturally occur, because the flattening of the streamer head gradually moves  
19 the maximum field in the streamer head off from its symmetry axis. Nearly all the  
20 streamer simulations that have been reported are conducted by using a 2D  
21 model (3D with cylindrical symmetry), future work by using a fully 3D model is  
22 required to further our understanding of streamer branching, for example, to  
23 understand how streamer branching breaks cylindrical symmetry and how  
24 different pieces result from a single branching event.  
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#### 4. Concluding remarks

This paper gives an introduction to transient luminous events. It focuses on recent ground-based video and high-speed observations of transient luminous events to illustrate their main temporal and spatial features. The theories of transient luminous events are also briefly discussed in order to provide a basic picture of our understanding of those interesting phenomena. Significant progress in understanding various aspects of transient luminous events has been made recently through coordinated and dedicated observational efforts such as satellite missions, aircraft campaigns, ground-based monitoring network, and focused theoretical and simulation studies by using electromagnetic, fluid, particle, hybrid, or fractal modeling approaches and techniques. The work in transient luminous events has benefited tremendously from the studies of electrical discharges at ground or near-ground pressure. On the other hand, the research in transient luminous events has also contributed useful knowledge to advancing our understanding of basic electrical discharge processes in air. In particular, transient luminous events provide a natural experiment to study the electrical discharge processes at low pressure that is impossible to conduct in the laboratory. The research work not only directly gives the properties of the discharges at low pressure, but also gives insight into the scaling laws of the discharges at different pressure and into the conditions of violation of the scaling laws. It also manifests the relative roles of elementary discharge processes in electrical discharges. The community of transient luminous events has traditionally been very open to interactions with researchers from other

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communities, and it, in fact, consists of investigators from different backgrounds and disciplines. We expect that future progress in this field will come from active interactions between our community with other communities, and from close collaborations between experimentalists, observers, modelers, and theoreticians.

### **Acknowledgments**

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