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Topography Dominates the Hemispheric Asymmetry of Stratospheric Sudden Warmings

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Key Points:

- Climate model simulations are used to quantify the impact of topography and ocean circulation on stratospheric sudden warmings (SSWs)
- Topography is found to play a dominant role in shaping the hemispheric asymmetry of SSWs through its control on eddy heat flux
- Topography amplifies eddy heat flux by increasing the amplitude of eddy meridional wind and temperature while decreasing their phase difference

Supporting Information:

Supporting Information may be found in the online version of this article.

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Abstract Stratospheric sudden warmings (SSWs) predominantly occur in the Northern Hemisphere (NH) with only 1 major event recorded in the Southern Hemisphere in the satellite era. Investigating factors that contribute to this asymmetry can help to reveal the cause of SSWs and lead to improved forecasts. Here we use climate model simulations to investigate the impact of boundary conditions (topography and ocean circulation) on the hemispheric asymmetry. Flattening topography eliminates NH SSWs, while removing the ocean meridional overturning circulation reduces their frequency by half. The SSW response to boundary conditions is controlled by the hemispheric asymmetry of eddy heat flux. The reduction is driven by a decrease in amplitude of both eddy meridional wind and eddy temperature, as well as an increase in the cosine of the difference between their phases. The results suggest boundary conditions play an important role in shaping SSWs, especially topographic forcing, but that the boundary condition interactions are nonlinear.

Plain Language Summary Stratospheric sudden warmings (SSWs) are powerful events that affect surface weather and climate. They mostly happen in the Northern Hemisphere, with very few occurring in the Southern Hemisphere. Understanding why this happens is important. Using climate model simulations, we quantify how boundary conditions, such as topography and ocean circulation, affect SSWs. The results suggest topography is the primary factor influencing the difference between hemispheres in SSWs. Topography is shown to control how much heat is transferred poleward by deviations from the zonal mean, which are known to drive SSWs. More specifically, flattening topography leads to changes in the wave phase and amplitude of meridional wind and temperature, which in turn causes a decrease in poleward eddy heat flux.

1. Introduction

Stratospheric sudden warmings (SSWs) represent abrupt disruptions in the winter stratosphere, characterized by rapid temperature increases and weakened or even reversed zonal-mean zonal winds in the polar vortex region (Baldwin et al., 2021; Butler et al., 2015; Qian et al., 2024). SSWs impact weather and climate in the Northern Hemisphere (NH) (Baldwin & Dunkerton, 1999) and Southern Hemisphere (SH) (Thompson et al., 2005), by shifting jet streams and storm tracks equatorward (Afargan-Gerstman & Domeisen, 2020; Baldwin & Dunkerton, 2001), inducing precipitation and temperature anomalies (Lehtonen & Karpechko, 2016; Lim et al., 2019). Additionally, for the SH, it suppresses strong heterogeneous ozone depletion, consequently impeding the formation of the ozone hole (Varotsos, 2002).

A notable feature of SSWs is the distinct hemispheric asymmetry in their occurrence (Krüger et al., 2005). The primary focus of SSWs has been on the NH, which occur with a frequency of slightly more than once every 2 years (Baldwin et al., 2021). In contrast, only one major SSW in the SH took place in September 2002 (Allen et al., 2003, 2006; Simmons et al., 2005), and a minor one occurred in September 2019 (Hendon et al., 2019; Rao et al., 2020; Yamazaki et al., 2020).

One of the primary factors contributing to SSWs is the breaking of planetary-scale waves that propagate upwards from the troposphere (Matsuno, 1971), an important source of stratospheric variability (Cohen & Jones, 2011; Dunn-Sigouin & Shaw, 2015, 2018, 2020; Polvani & Waugh, 2004; Shaw & Perlwitz, 2013, 2014; Sjoberg & Birner, 2012, 2014). The weaker variability and fewer SSWs in the SH are attributed to weaker tropospheric wave driving (Plumb, 1989). Stationary planetary waves in the troposphere are triggered by various bottom boundary conditions (Garfinkel et al., 2020; Held et al., 2002), including large-scale topography (Charney & Eliassen, 1949), surface thermal forcing such as land-sea contrasts (Smagorinsky, 1953) and asymmetric surface

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energy fluxes (Shaw et al., 2022), and the nonlinear interactions of synoptic-scale eddies (Scinocca & Haynes, 1998). Despite significant advances, the relative importance of these different forcings in driving stratospheric variability remains unclear.

Do all boundary conditions contribute equally to the asymmetry of SSWs, or does one dominate? Previous research has largely focused on idealized topography. Dry dynamical core models show that increasing the amplitude of idealized wave-2 topography promotes SSWs (Dunn-Sigouin & Shaw, 2018, 2020; Gerber & Polvani, 2009; Lindgren et al., 2018; Sheshadri et al., 2015; Taguchi & Yoden, 2002). Smaller topography amplitudes weaken the SH variability, while larger amplitudes enhance the NH variability. However, many studies neglect realistic topography with land effects.

Oceanic processes, such as the meridional overturning circulation (MOC), also influence stratospheric circulations by modulating planetary waves through sea surface temperature gradients (Hu et al., 2014). While White et al. (2017) examined localized topographic contributions to NH wintertime circulation, they did not consider other forcings, such as ocean processes. Similarly, Garfinkel et al. (2020) analyzed the role of various forcings in driving NH stationary waves but did not address how they contribute to the hemispheric asymmetry of SSWs. These limitations underscore the need to explore how different boundary conditions contribute to the hemispheric asymmetry of SSWs.

To address this, our study examines the relative contributions of boundary conditions, including realistic topography and surface energy flux over the ocean, to the hemispheric asymmetry of SSWs. Specifically, we aim to answer: (a) What are the relative contributions of boundary conditions to the hemispheric asymmetry of SSWs? (b) Through what mechanisms do boundary conditions affect stratospheric variability? We explore these questions using climate model simulations with modified surface (land and ocean) boundary conditions.

2. Data and Methods

2.1. Climate Model Simulations

We use ECHAM6 slab-ocean atmosphere general circulation model simulations previously reported by Shaw et al. (2022), which incorporates a realistic land surface featuring topography, a 50-m mixed layer ocean depth, and prescribed monthly varying surface energy fluxes over the ocean quantified by the difference of NASA CERES TOA radiative flux and the atmospheric energy flux divergence derived from ERA-Interim reanalysis data (Frierson et al., 2013; Shaw et al., 2022). Similar results were found when using q-flux (the ocean heat flux) derived from a prescribed sea surface temperature simulation.

The impact of boundary conditions on SSWs hemispheric asymmetry is quantified by comparing 60-year simulations with realistic boundary conditions to those with flattened topography (FLAT) and symmetric surface energy fluxes. As discussed in Shaw et al. (2022), in the FLAT experiment, surface geopotential and mean orography are set to zero. In the symmetrized surface energy flux experiment, surface energy fluxes are averaged across hemispheres, effectively removing the ocean MOC (Frierson et al., 2013) and east-west sea-surface temperature gradients.

2.2. Reanalysis

The ERA5 reanalysis (Hersbach et al., 2020) from 1958 to 2022 is used in this study. We used daily zonal and meridional wind and temperature to evaluate the model's ability to simulate a reasonable frequency of SSWs and eddy meridional heat flux.

2.3. SSW and Eddy Heat Flux Definitions

The identification of a major SSW in both hemispheres follows the method in Charlton and Polvani (2007), where a major SSW occurs when zonal mean westerlies at 60°N/60°S and 10 hPa reverse to easterlies for at least 3 days during winter (November-March for the NH, May-September for the SH). The wind reversal date is the onset date, and subsequent events within 20 days are excluded. SSWs where easterlies do not return to westerlies before April are also omitted.

To quantify wave activity entering the stratosphere, we calculate the monthly mean meridional eddy heat flux $\overline{v^*T^*}$ at 100 hPa (Polvani & Waugh, 2004), where v is the meridional wind, T is temperature, and the overline and

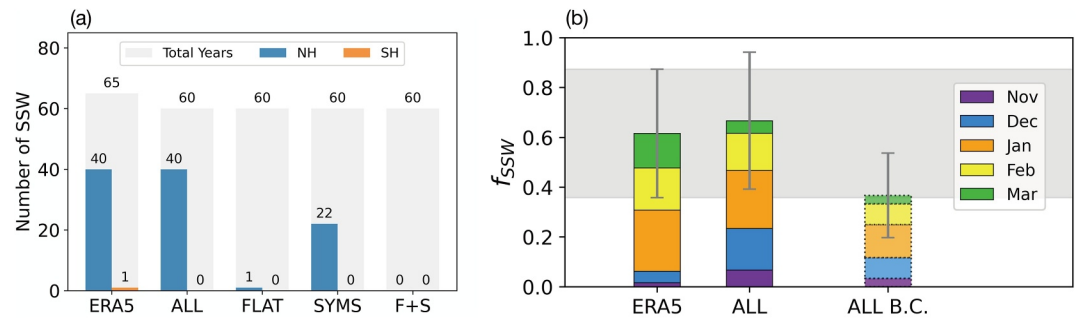


Figure 1. (a) Numbers of stratospheric sudden warming (SSW) in Northern (blue) and Southern (orange) Hemisphere in ERA5 reanalysis (1958–2022) and in the climate model simulations forced with realistic boundary conditions, including observationally derived climatological surface energy fluxes (ALL). Frequency of SSW is also shown for simulations with perturbed boundary conditions: flattened topography (FLAT), symmetrized surface energy fluxes (SYMS), and FLAT and symmetrized surface energy fluxes (F + S). Gray bars in the background represents the total length of the data. (b) Monthly distribution of the SSW frequency (f_{SSW}) in the Northern Hemisphere of ERA5 (1958–2022) and climate model simulations (ALL). Each color-coded bar represents the percentage of years exhibiting an SSW in a given month. The third column is the bias corrected ALL (ALL B. C.) simulation where the daily zonal-mean zonal wind climatology at 10 hPa and 60°N (U_{1060}) is corrected by replacing it with ERA5. The gray shading represents the 95% confidence interval of ERA5 and the gray whisker on each bar represents the 95% confidence interval of each simulation.

asterisk indicate monthly means and zonal deviations. We also decompose v and T at 60°N and 100 hPa into wavenumbers, calculating the amplitude and phase of each wave component as per Watt-Meyer and Kushner (2018).

3. Results

3.1. SSWs in Climate Model Simulations

In ERA5, the frequency of SSWs per year (f_{SSW}) in the NH is approximately 0.61/year while there is only 1 major SSW in the SH, consistent with previous studies (Baldwin et al., 2021; Butler et al., 2015). The model with realistic boundary conditions, including observationally derived climatological surface energy fluxes (hereafter referred to as ALL), reproduces the observed f_{SSW} in the NH (Figure 1a, ALL), outperforming most CMIP5/6 simulations (Rao & Garfinkel, 2021). It also accurately captures the hemispheric asymmetry in f_{SSW} , as no SSWs are simulated in the SH.

No SH SSWs are simulated in the climate model, which may seem like a bias but is expected. Jucker and Reichler (2023) show that SSWs in the SH occur once every 62 years in a 9,990-year coupled climate model simulation, making it plausible for no events to appear in a 60-year simulation.

To further assess the model's capability in simulating stratospheric variability, Figure 1b illustrates the monthly distribution of SSW frequency in the NH. Unlike the common CMIP5/6 bias where SSWs peak in late winter (February–March) (Rao & Garfinkel, 2021; Wu & Reichler, 2020), the model's climatology simulation (ALL) places SSWs mainly in midwinter (January–February).

The simulated f_{SSW} can be affected by biases in the polar vortex mean state (Rao et al., 2019; Wu & Reichler, 2020). To address this, we apply a correction to align the model's mean state with observed values, generating an adjusted U_{1060} time series for detecting SSWs and calculating a refined f_{SSW} .

When the ALL simulation's zonal wind climatology at 10 hPa and 60°N is replaced with ERA5 values, f_{SSW} decreases (Figure 1b, ALL B.C.), indicating an underestimation of U_{1060} (Figures S1a and S1m in Supporting Information S1). Despite biases in mean wind magnitude, the model effectively captures the vertical profile and seasonality of U_{1060} (Figure S1 in Supporting Information S1). Both the original and corrected f_{SSW} remain within the 95% confidence interval of ERA5, outperforming many CMIP5/6 models, which often fall outside this range (Rao & Garfinkel, 2021). Thus, despite some discrepancies, the model is a strong tool for exploring SSW frequency under different boundary conditions (compare Figure 1b to Figure 2 in Rao and Garfinkel (2021)).

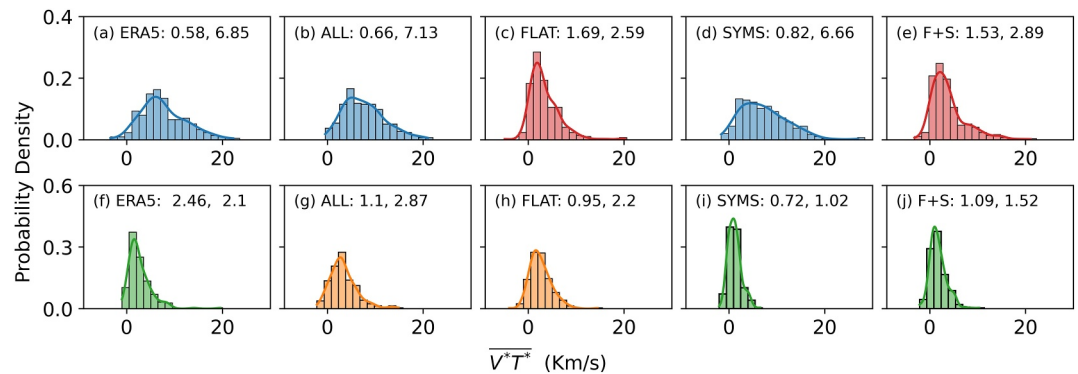


Figure 2. Distribution of the monthly mean meridional eddy heat flux ($\overline{v^*T^*}$, Km s^{-1}) at 100 hPa averaged poleward of 45°N/S in the stratospheric sudden warming related season (NH: Nov-Mar and SH: May-Sep) in (a, f) ERA5 and (b, g) ALL, (c, h) flattened topography, (g, i) SYMS, and (e, j) F + S simulations. The top row is for the Northern Hemisphere and the bottom row is for Southern Hemisphere (SH) (heat flux values in the SH are multiplied by -1 for visual clarity). The value at the top of each panel are the skewness and median value of the distribution, respectively. Distributions that are significantly different from ALL (statistical significance at 95% level based on K-S test) have different colors.

3.2. The Impact of Boundary Conditions on SSWs

Flattening topography in the model nearly eliminates SSWs in the NH and the hemispheric asymmetry, with only one SSW occurring in February (Figure 1a, FLAT). When the model is forced with symmetrized surface energy fluxes, removing the ocean MOC, NH SSWs decrease by half (Figure 1a, SYMS). With both FLAT and symmetrized fluxes (Figure 1a, F + S), no SSWs occur in either hemisphere during the 60-year simulation. These results suggest topography dominates the SSW hemispheric asymmetry, with a smaller contribution from ocean circulation, and that boundary conditions interact nonlinearly in affecting SSWs.

3.3. The Asymmetry of Meridional Eddy Heat Flux

To explain changes in SSW frequency, we examine the meridional eddy heat flux, which represents the upward propagation of tropospheric planetary waves. In ERA5, the NH eddy heat flux distribution at 100 hPa is positively skewed (Figure 2a), with the ALL simulation closely replicating this pattern (Figure 2b). The skewed distribution, particularly the long tail, implies that there is ample opportunity for internal variability to trigger strong planetary wave pulses that induce SSWs (Matsuno, 1971; Watt-Meyer & Kushner, 2018).

When topography is flattened (Figures 2c and 2e), the median eddy heat flux decreases, reducing the likelihood of upward wave propagation and SSWs. Symmetrizing the surface energy flux (Figure 2d) has a statistically insignificant impact on wave forcing based on K-S test, though NH SSW frequency drops by 1/3, with the median flux value falling from 7.13 to 6.66 Km/s and a 7% decrease in heat flux values above 10 Km/s. When both topography is flattened and fluxes are symmetrized (Figure 2e), the median flux is significantly reduced, indicating topography is the dominant factor.

In the SH, with lower orography and fewer SSWs, the meridional eddy heat flux has a smaller median and fewer extremes (Figures 2f and 2g). Flattening the topography slightly reduces the median heat flux, but the change is statistically insignificant (Figure 2h). Symmetrizing surface energy flux also lowers the median heat flux (Figures 2i and 2j). This is likely due to the predominance of oceanic areas in the SH, where applying symmetric surface energy flux average out the zonal differences, consequently weakening the stationary circulation.

We further examine the vertically integrated spatial structure of the eddy heat flux. In ERA5, NH heat flux is large in the mid-latitudes, especially around 120°E , which is captured by ALL (Figures S2a and S2d in Supporting Information S1). In contrast, the SH shows smaller, less significant longitudinal flux structure (Figures S2b and S2e in Supporting Information S1). The simulation with topography highlights a strong NH asymmetry, especially near 120°E , downstream of the Tibetan Plateau, with a 40% extratropical asymmetry similar to ERA5's $\sim 50\%$ (Figure 3f).

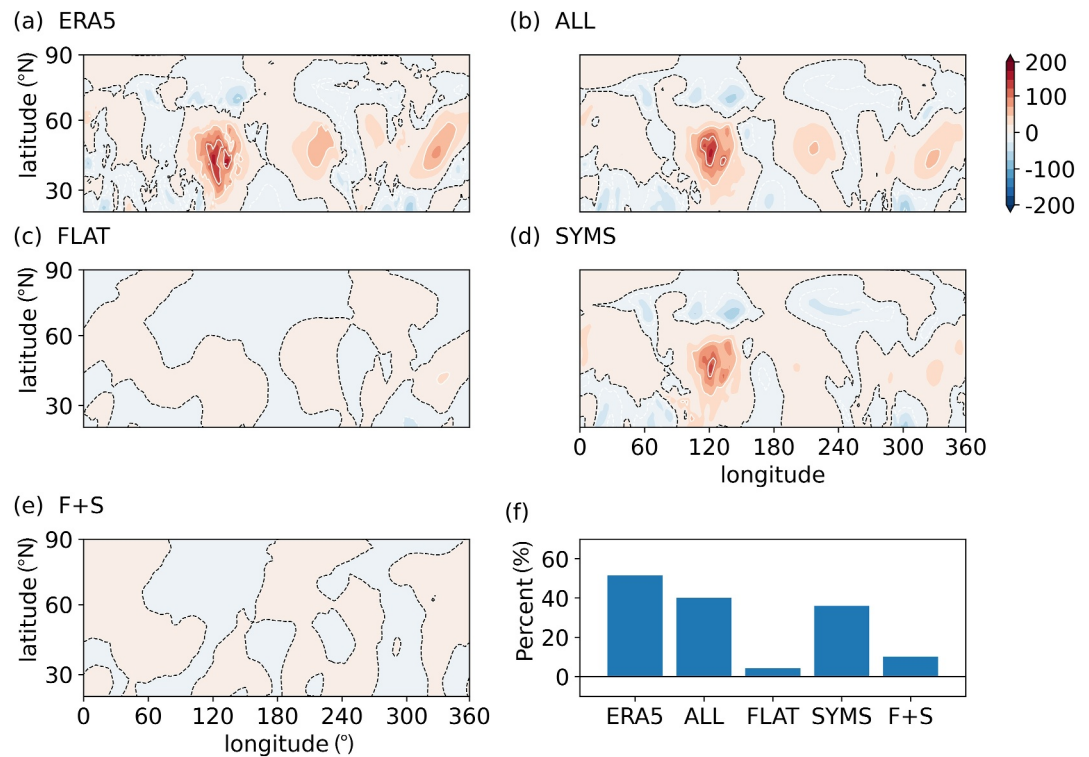


Figure 3. Difference of the amplitude of the vertically integrated monthly mean meridional eddy heat flux ($\overline{v^*T^*}$, Km s^{-1}) between Northern and Southern Hemispheres (heat flux values in the SH are multiplied by -1 for comparison) in stratospheric sudden warming related season (NH: Nov-Mar and SH: May-Sep) in (a) ERA5, (b) ALL, (c) flattened topography, (d) SYMS, and (e) F + S simulations. The dashed black lines indicates where $\overline{v^*T^*}$ is equal to 0 Km s^{-1} . (f) Percentage difference of zonal-mean, vertically integrated stationary eddy heat flux ($\overline{v^*T^*}$, Km s^{-1}) (difference of the Northern and Southern Hemisphere divided by Northern Hemisphere) averaged over poleward of 20° across the simulations.

When topography is flattened, this asymmetry drops to 3% across all longitudes, especially in the extratropics (Figures 3c and 3e), consistent with the NH eddy heat flux reduction (Figures 2c and 2e). The impact of topography on flux asymmetry is evident at multiple levels (850, 300, and 100 hPa, Figures S3–S5 in Supporting Information S1) and is most pronounced in the NH near significant topographic features (e.g., 120°E and 100°W), while the change in the SH is negligible.

In contrast, when surface energy fluxes are symmetrized, the eddy heat flux asymmetry is not significantly reduced (Figure 3d), with the extratropical asymmetry still at 37% (Figure 3f). Symmetrizing surface fluxes reduces meridional eddy heat flux in both hemispheres across all levels (Figures S3h, S4h, and S5h in Supporting Information S1). Finally, when both topography is flattened and surface fluxes are symmetrized, the eddy heat flux asymmetry becomes negligible again (Figure 3e), with the extratropical asymmetry dropping to 7% (Figure 3f). These results indicate that boundary conditions interact nonlinearly in their impact on meridional eddy heat flux.

3.4. How Topography Drives Eddy Heat Flux Asymmetry?

The simulations reveal that flattening topography exerts a dominant control on sudden stratospheric warmings (SSWs) and the hemispheric asymmetry of the meridional eddy heat flux. But how does topography drive this asymmetry of eddy heat flux?

As discussed by Chen (2005), both topography and surface energy flux force stationary waves through similar mechanisms, primarily governed by Rossby wave dynamics. However, the goal of this study is not to investigate how stationary waves are generated by different forcings. Instead, we focus on understanding how topography contributes to the occurrence of asymmetry in eddy heat flux.

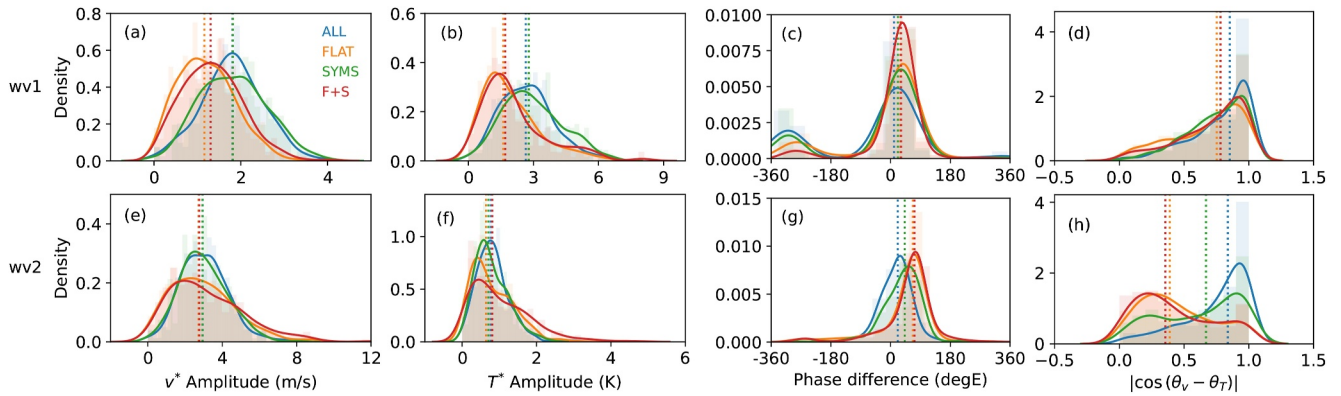


Figure 4. Probability distribution of the amplitude of monthly mean eddy meridional wind (v^* , m s^{-1}) (the first column) and monthly mean eddy temperature (T^* , K) (the second column), the phase difference between the two variables (the third column) and the cosine of the difference between their phases in the Northern Hemisphere (the fourth column) for (a–d) wave-1 and (e–h) wave-2 component at 60°N and 100 hPa in stratospheric sudden warming related season (NH: Nov–Mar) for ALL (blue), flattened topography (orange), SYMS (green), and F + S (red) simulations. Solid curves represent Kernel Density Estimates for a smoothed visualization of the distributions, while histograms provide a discrete representation of the data. The dotted lines represents the median value for each distribution.

Given the minor effect of topography on eddy heat flux distribution in the SH, we examine the changes in asymmetry when NH topography is flattened. If v^* and T^* are represented using the complex exponential representation of a Fourier series, the absolute value of eddy heat flux $|\overline{v^*T^*}|$, which represents the alignment between two quantities, can be written as

$$|\overline{v^*T^*}| = \text{Real} \{A_v A_T e^{i(\theta_v - \theta_T)}\} = A_v A_T |\cos(\theta_v - \theta_T)| \quad (1)$$

where A_v and A_T are the amplitude of v^* and T^* , θ_v and θ_T are the phase of v^* and T^* .

Consequently, the decrease in $\overline{v^*T^*}$ when topography is flattened can result from: (a) a decline in amplitude of eddy meridional wind (A_v) and/or temperature (A_T); (b) a shift in the phase alignment between v^* and T^* , represented by $|\cos(\theta_v - \theta_T)|$, namely the two variables becoming out of phase. A cosine value of 1 indicates perfect alignment, while a value of -1 signifies opposite phases, both having an absolute value of 1. $|\cos(\theta_v - \theta_T)|$ decreases from 1 indicates the phase difference between v^* and T^* deviates from 0° (fully in phase) or 180° (completely out of phase).

Figure 4 shows the probability distribution of the amplitude, and phase difference of monthly mean eddy meridional wind and temperature at 100 hPa and 60°N across the climate model simulations following Watt-Meyer and Kushner (2018). Flattening topography causes a statistically significant decrease of over 30% in the median wave-1 amplitude for both variables (Figures 4a and 4b), with p values $\ll 0.01$ based on K-S test. Additionally, the phase difference between the two variables slightly increases (Figure 4c), leading to a small decrease in the cosine of the phase difference (Figure 4d).

For the wave-2 component, the mode of the amplitude distributions decreases by over 20% when topography is removed (Figures 4e and 4f) while the change in the median value is less significant compared to the wave-1 component. In contrast, the eddy meridional wind and temperature become more out of phase in the absence of topography (Figure 4g). The phase difference increases by $\sim 40\%$ following flattening topography, while the cosine of this difference decreases by roughly 60% (Figure 4h), both of which are statistically significant (p values $\ll 0.01$, K-S test). This contributes to the reduction in NH eddy heat flux. Higher wavenumber components show an evident reduction in eddy temperature amplitude (Figures S6b and S6f in Supporting Information S1), while other variations remain relatively modest.

Overall, wave-1 heat flux reduction is due to decreased v^* , T^* amplitudes and increased phase difference, while the reduction in wave-2 median heat flux is driven mainly by phase difference.

To examine the effect of topography on eddy heat flux, we use a linear, quasi-geostrophic (QG) β -plane channel model to simulate stationary planetary wave motions in the middle atmosphere. The detailed equations, boundary conditions, and derivations are provided in Supporting Information S1. While the linear QG model cannot capture higher-order dynamics or the stationary wave field associated with other surface asymmetries, it can isolate the role of topography in modulating wave-mean flow interactions.

Figure S8 in Supporting Information S1 shows that the topographic forcing in the QG model enhances wave amplitudes, eddy heat flux, and phase coupling between eddy meridional wind and temperature. Specifically, by comparing scenarios with realistic and smoothed topography, the figure demonstrates that reduced topography weakens wave amplitudes and increases phase differences, consistent with results from ECHAM6 simulations and further bolstering the findings. Full results and comparisons are detailed in Supporting Information S1.

4. Discussion

This study used climate model simulations to quantify the impact of boundary conditions on the hemispheric asymmetry of SSWs. Our approach aligns with prior studies that used climate models to understand the impact of boundary conditions on the hemispheric asymmetry of atmospheric features (Frierson et al., 2013; Manabe & Terpstra, 1974; Shaw et al., 2022). More specifically, we quantified the impact of topography by flattening it, and the impact of the ocean MOC by symmetrizing the surface energy fluxes in the slab ocean (Stevens et al., 2013).

Our goal was to answer the two questions posed in the Introduction. Namely (a) What are the relative contributions of boundary conditions, including topography and the ocean MOC, on the hemispheric asymmetry of SSWs? (b) Through what mechanisms do boundary conditions affect stratospheric variability?

The answer to the first question is that topography dominates the hemispheric asymmetry of SSWs while the asymmetric surface energy fluxes plays a smaller role in the presence of topography. Topography essentially eliminates SSWs in the NH and eliminates the hemispheric asymmetry. Symmetrizing surface energy fluxes only reduces NH SSWs by 1/3. Notably, the impact of topography on the asymmetry percentage of eddy heat flux is substantial, exceeding 35%, with non-additive contributions from various boundary forcings indicating nonlinear interactions among them. Although our results demonstrate that the boundary conditions interact nonlinearly in terms of their impact on SSWs, it is clear that topography is the more significant factor.

The answer to the second question is that topography affects stratospheric variability by increasing the amplitude of eddy temperature and meridional winds, and decreasing their phase difference. Specifically, removal of topography results in a decrease in the median value of the amplitude for both eddy meridional wind and eddy temperature, particularly for wave number 1. This reduction is accompanied by an increase in the phase difference between the two variables, namely they become more out of phase with each other. These changes in both amplitude and phase induced by topography lead to a regional increase in eddy heat flux, especially over Eurasia, which indicates upward propagation of planetary waves into the stratosphere, thereby disturbing the polar vortex and causing more SSWs.

Our results are consistent with previous work that demonstrated topography significantly affects stationary wave features (Garfinkel et al., 2020; Held, 1983; Manabe & Terpstra, 1974). It is commonly assumed that both topography and land-ocean contrast contribute to the hemispheric asymmetry of SSWs and eddy heat flux. However, our analysis shows topography is the dominant factor.

Previous studies have shown that land-sea thermal contrast contributes to the generation of stationary waves (Garfinkel et al., 2020; Portal et al., 2022); however, our results indicate that its role in the asymmetry of SSWs is minor. While our simulations do not explicitly remove the impact of thermal forcing from land-sea contrast for direct comparison, its effect can still be observed in the FLAT simulations (Figures S3d, S3e, S10e, and S10f in Supporting Information S1). The results show that hemispheric asymmetry in eddy activity remains minimal when topography is removed, despite the presence of land-sea contrast. This suggests that stationary waves generated by land-sea contrast are weak and do not significantly contribute to the asymmetry, while topography exerts a more substantial influence. By flattening the topography, the contributions of both the topography and nonlinear interaction between topographic and thermal forcings are excluded, leaving only the minor contribution from thermal forcing. Reproducing these results in other climate models is important to ensure their robustness.

Data Availability Statement

The data analyzed in this study is available through Shaw et al. (2022).

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