

1 **The propagation of internal solitary waves over variable topography in a**
2 **horizontally two-dimensional framework**

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ABSTRACT

11 In this paper we present a horizontally two-dimensional theory based
12 on a variable-coefficient Kadomtsev-Petviashvili equation, which is devel-
13 oped to investigate oceanic internal solitary waves propagating over variable
14 bathymetry, for general background density stratification and current shear.
15 To illustrate the theory, we use a typical monthly averaged density stratifica-
16 tion, for the propagation of an internal solitary wave over either a submarine
17 canyon or a submarine plateau. The evolution is essentially determined by
18 two components, nonlinear effects in the main propagation direction, and the
19 diffraction modulation effects in the transverse direction. When the initial
20 solitary wave is located in a narrow area, the consequent spreading effects
21 are dominant, resulting in a wave field largely manifested by a significant
22 diminution of the leading waves, together with some trailing shelves of the
23 opposite polarity. On the other hand, if the initial solitary wave is uniform in
24 the transverse direction, then the evolution is more complicated, albeit can be
25 explained by an asymptotic theory for a slowly varying solitary wave com-
26 bined with the generation of trailing shelves needed to satisfy conservation of
27 mass. This theory is used to demonstrate that it is the transverse dependence
28 of the nonlinear coefficient in the Kadomtsev-Petviashvili equation rather than
29 the coefficient of the linear transverse diffraction term which determines how
30 the wave field evolves. The MIT general circulation model is used to provide a
31 comparison with the variable-coefficient Kadomtsev-Petviashvili model, and
32 we find good qualitative and quantitative agreements.

33 **1. Introduction**

34 Interest in the nonlinear internal solitary waves (ISWs) that occur in the coastal ocean has been
35 particularly strong during the last several decades owing to their important role on the marine
36 ecosystem, marine geology and in coastal engineering. ISWs often have large amplitudes and
37 strong currents, for instance, Huang et al. (2016) recorded an extreme ISW with an amplitude of
38 $240m$ and a peak westward current velocity of $2.55ms^{-1}$ in the northern South China Sea. The
39 scale of these waves implies that they could pose potential hazards for underwater drilling, see
40 Osborne et al. (1978). Moreover, the ability of these internal waves to propagate horizontally
41 provides a mechanism for the transport of energy and momentum over large distances.

42 A large number of observations demonstrate the existence of ISWs in numerous locations around
43 the world's ocean, both from the perspective of field measurements in Farmer and Smith (1978);
44 Sandstrom and Elliott (1984); Ramp et al. (2004); Shroyer et al. (2010); Huang et al. (2016)
45 and remote sensing images in New and Da Silva (2002); Zhao et al. (2004); Da Silva et al.
46 (2009); Liu et al. (2013). These observations, together with numerical simulations (see Vlasenko
47 and Stashchuk (2007) for instance), illustrate that due to the complicated and essentially two-
48 dimensional (2D) bathymetry, wave refraction and diffraction can occur, indicating that the hori-
49 zontal 2D effect is important and in some circumstances cannot be ignored, especially when there
50 are strong variations in the transverse direction.

51 The Korteweg-de Vries (KdV) equation embodying the cumulative and competing nonlinear and
52 dispersive effects is commonly used to investigate internal waves in the coastal ocean, see Helfrich
53 and Melville (2006); Ostrovsky and Stepanyants (2005) or the book by Vlasenko et al. (2005).
54 There are various extensions, such as the variable-coefficient KdV equation and the extended KdV
55 equation with a cubic nonlinear term, see Lamb and Yan (1996); Grimshaw et al. (1997, 2004,

2007, 2010) and the references therein. In the present context, an important extension from one to two horizontal space dimensions is the Kadomtsev-Petviashvili (KP) equation, which describes weakly nonlinear, long waves propagating along a predominant direction (say the positive x direction) in a 2D domain, see Kadomtsev and Petviashvili (1970) for the original derivation, and the subsequent work by Johnson (1980); Katsis and Akylas (1987); Grimshaw and Melville (1989). However, these works and other more recent studies took a constant depth assumption, which, to some degree, limits its practical application, so several extended KP equations have been derived to take additional physical background factors into account, albeit we note that the general derivation by Grimshaw (1981) allowed for variable depth, and also for horizontally varying background density and current fields. Although a large amount of closely related work has been done in many physical settings, for instance on surface waves in shallow water, see the review by Akylas (1994), our attention here will be confined to internal waves. A further extension to take account also of the Earth's background rotation leads to the rotation-modified KP equation, Grimshaw (1985) for the case of internal waves in a rotating constant-depth channel. Taking the effect of rotation and a steady background current into account, Chen and Liu (1995) derived a unified KP equation for surface and interfacial waves propagating in a channel with varying topography and sidewalls.

In summary, for internal waves, the existing KP-type equations are able to take one or some of the effects of rotation, background current, varying topography and also boundary walls into consideration, but nonetheless many of them are still based on model density stratifications, such as a two-layered system. Especially we note that Pierini (1989) used the two-layered so-called regularised long wave equation, a slightly different version of the KP equation, to simulate internal solitary waves in the Alboran Sea under some quite simple assumptions, namely that there is no background rotation, that the topography is constant, that the interface depth is constant and that there is no background current. Subsequently Cai and Xie (2010) invoked a similar model, again

80 in the configuration of two-layered fluid, to investigate the propagation of ISWs in the northern
81 South China Sea. Despite the apparent simplicity of the two-layered model and its wide adoption,
82 the oceanic density stratification is better represented as continuous when examining oceanic sce-
83 narios, see Grimshaw et al. (2017) for instance. The main objective of this paper is to describe
84 and use a new variable-coefficient KP equation, which is based on quite general continuous den-
85 sity stratification, and importantly has variable 2D topography. The basis of this model was first
86 proposed by Grimshaw (1981) in a theoretical analysis, and here we develop it further for use in
87 practical applications, and also provide some supplementary analyses. A detailed comparison be-
88 tween *in situ* observations and our presented theory is not shown here, as it is difficult to follow the
89 space-time evolution of observed ISWs in detail. Instead we compare numerical simulations of the
90 KP model with those from the fully nonlinear and non-hydrostatic MIT general circulation model
91 (MITgcm). We focus on two scenarios, propagation of ISWs over a canyon and propagation over
92 a submarine plateau.

93 In Section 2, we present the variable-coefficient KP equation, together with some preliminary
94 analysis of how variable 2D topography affects the propagation of ISWs. In Section 3, we describe
95 a numerical scheme incorporating both a finite difference and a pseudo-spectral method to solve
96 this equation accurately, and this is followed by the numerical simulations for the propagation of
97 ISWs over a submarine canyon and over a submarine plateau. In Section 4 we describe the set-up
98 and analogous results from the MITgcm model. We conclude with a discussion in Section 5.

99 **2. Formulation**

100 *a. Kadomtsev-Petviashvili equation*

101 In the absence of dissipation and background rotation, and in a uniform background environ-
 102 ment, that is the topographic depth is constant and the background density field and current do
 103 not vary horizontally, the KP equation in the usual physical variables pertinent to oceanographic
 104 applications is given by, see Grimshaw (1981, 1985) and the review by Helfrich and Melville
 105 (2006),

$$\{A_t + cA_x + \alpha AA_x + \beta A_{xxx}\}_x + \frac{\gamma}{2}A_{yy} = 0, \quad (1)$$

106 where $A(x, y, t)$ is the amplitude of the wave, x, y and t are space and time variables respectively,
 107 and subscripts denote derivatives. Here x is chosen to be along the primary wave propagation di-
 108 rection, where the waves have a linear long-wave phase speed c , while y is the transverse direction
 109 where there are weak diffraction effects. The nonlinear coefficient α , and dispersive coefficients
 110 β, γ are determined by the waveguide properties, and for the specific oceanic application, are
 111 defined below.

112 To leading order in an asymptotic expansion, the vertical particle displacement relative to the
 113 basic state is

$$\zeta(x, y, z, t) = A(x, y, t)\phi(z), \quad (2)$$

114 where $\phi(z)$ is the modal function, defined by

$$\left\{ \rho_0 (c - u_0)^2 \phi_z \right\}_z + \rho_0 N^2 \phi = 0, \quad \text{for } -h < z < 0, \quad (3)$$

115

$$\phi = 0 \quad \text{at } z = -h, \quad (c - u_0)^2 \phi_z = g\phi \quad \text{at } z = 0. \quad (4)$$

116 Here $\rho_0(z)$ is the background density distribution of a stable stratified fluid, which is mostly char-
 117 acterised by the buoyancy frequency N , represented by $\rho_0 N^2 = -g\rho_{0z}$, and $u_0(z)$ is a background

118 horizontal shear flow. Note that if the rigid lid approximation is assumed, then the free surface
 119 boundary condition is replaced by $\phi = 0$ at $z = 0$. Then the coefficients α and β in equation (1)
 120 are given by the usual expressions as for the well-known KdV equation,

$$I\alpha = 3 \int_{-h}^0 \rho_0 (c - u_0)^2 \phi_z^3 dz, \quad (5)$$

$$I\beta = \int_{-h}^0 \rho_0 (c - u_0)^2 \phi^2 dz, \quad (6)$$

$$I = 2 \int_{-h}^0 \rho_0 (c - u_0) \phi_z^2 dz, \quad (7)$$

123 whereas the coefficient γ is given by $\gamma = c$ when there is no shear flow, $u_0(z) \equiv 0$, but when there
 124 is a shear flow it is given by

$$I\gamma = I_2, \quad I_2 = 2 \int_{-h}^0 \rho_0 (c - u_0)^2 \phi_z^2 dz. \quad (8)$$

125 The KP equation (1) has two important conservation laws,

$$\int_{-\infty}^{+\infty} A dx = [B]_{-\infty}^{+\infty} = f(t), \quad B_x = A, \quad (9)$$

$$\frac{\partial}{\partial t} \int_{-\infty}^{+\infty} \frac{A^2}{2} dx + \frac{\gamma}{2} \frac{\partial}{\partial y} \int_{-\infty}^{+\infty} AB_y dx = 0, \quad (10)$$

127 for solutions $A(x, y, t)$ localized (or periodic) in x . They represent the conservation of mass and
 128 wave action flux respectively.

129 *b. Variable background*

130 When the depth h , background current u_0 and density ρ_0 vary slowly with x and y , the KP
 131 equation (1), see Grimshaw (1981), is replaced by the variable-coefficient KP (vKP) equation

$$\{A_t + cA_x + \frac{cQ_x}{2Q}A + \alpha AA_x + \beta A_{xxx}\}_x + \frac{\gamma}{2}A_{yy} = 0, \quad (11)$$

132 where $Q = c^2I$ is the linear magnification factor, usually scaled to

$$\bar{Q} = \frac{c^2I}{c_0^2I_0}, \quad (12)$$

133 where the subscript 0 indicates the values at a specific location, say $x = x_0$ where Q is normalised
 134 to be unity, and hereafter we will omit the $\bar{\cdot}$. The modal function ϕ and speed c now depend
 135 and hence the coefficients α, β, γ also depend (slowly) on both x and y . The derivation of the
 136 evolution equation (11) requires the introduction of two small parameters δ and ε , respectively
 137 characterising the wave amplitude and dispersion, and they relate to each other by $\delta = \varepsilon^2$ in the
 138 usual KdV balance. Then to leading order of the asymptotic analysis, see Grimshaw (1981),
 139 the amplitude is $\varepsilon^2 \hat{A}(\varepsilon x, \varepsilon^2 y, \varepsilon t)$ and the coefficients depend on the slow variables $\hat{x} = \varepsilon^3 x$ and
 140 $\hat{y} = \varepsilon^3 y$. As a consequence, to keep the vKP equation (11) in a valid asymptotic regime, in essence,
 141 the y -variations should be suppressed *vis-a-vis* the x -variations, since x is the dominant direction.
 142 Although this property might seem to impose another limitation on any application, in practice this
 143 is often the situation in the real ocean, that is, if the wave propagation direction is selected to be x ,
 144 then the variations along the transverse y direction are much smaller. Also note that the derivation
 145 of the vKP equation by Grimshaw (1981) was along the ray path determined by the linear long
 146 wave speed c , and then taking account of diffraction relative to this ray. But here we choose the
 147 x -direction as the ray, consistent with our choice of topography being symmetric about that axis.

148 It is now useful for both analysis and numerical simulation, to transform equation (11) to a more
 149 convenient “spatial” evolution form,

$$X = \int_{x_0}^x \frac{dx}{c} - t, \quad T = \int_{x_0}^x \frac{dx}{c}. \quad (13)$$

150 Then to leading order of the asymptotic approximation,

$$\left\{ A_T + \frac{Q_T}{2Q} A + \mu A A_X + \lambda A_{XXX} \right\}_X + \frac{\sigma}{2} A_{yy} = 0, \quad (14)$$

$$\mu = \frac{\alpha}{c}, \quad \lambda = \frac{\beta}{c^3}, \quad \sigma = c\gamma. \quad (15)$$

152 All terms are now of the same order, that is, $A \sim \varepsilon^2$, $\partial/\partial X \sim \varepsilon$, $\partial/\partial T \sim \varepsilon^3$, $\partial/\partial y \sim \varepsilon^2$. Here
 153 the coefficients μ, λ, σ, Q depend on T and y , but note that the y -dependence in these coefficients

154 is order $\mathcal{O}(\varepsilon^3)$, much slower than the y -variation of A , which is order $\mathcal{O}(\varepsilon^2)$ formally. Further
 155 simplifications are

$$U = A\sqrt{Q}, \quad \left\{U_T + \frac{\mu}{Q^{1/2}}UU_X + \lambda U_{XXX}\right\}_X + \frac{\sigma}{2}U_{yy} = 0. \quad (16)$$

156 Without loss of generality, we can assume that the wave propagate in the positive x -direction, so
 157 that $\lambda > 0$. Then (16) can be further transformed exactly to

$$\{U_\zeta + vUU_X + U_{XXX}\}_X + \tau U_{yy} = 0, \quad (17)$$

158

$$\text{where } \zeta = \int_0^T \lambda(T') dT', \quad v = \frac{\mu}{\lambda\sqrt{Q}}, \quad \tau = \frac{\sigma}{2\lambda}. \quad (18)$$

159 The vKP equation (17) can be written in a form of a ‘‘forced’’ KdV equation,

$$U_\zeta + vUU_X + U_{XXX} + \tau V_{yy} = 0, \quad V_X = U, \quad V = -\int_X^{+\infty} U(X', y, \zeta) dX'. \quad (19)$$

160 Here it is assumed that $V \rightarrow 0$ as $X \rightarrow +\infty$ since small amplitude waves all propagate in the
 161 negative X -direction. The vKP equation (19) has two conservation laws, analogous to (9, 10),

$$\int_{-\infty}^{+\infty} U dX = [V]_{-\infty}^{+\infty} = 0, \quad (20)$$

162

$$\frac{\partial}{\partial \zeta} \int_{-\infty}^{+\infty} \frac{U^2}{2} dX + \tau \frac{\partial}{\partial y} \int_{-\infty}^{+\infty} UV_y dX = 0, \quad (21)$$

163 for solutions $U(X, y, \zeta)$ localised (or periodic) in X . Note that four expressions of the vKP equa-
 164 tion are available, that is (11, 16, 17, 19), of which (16, 17, 19) are exactly equivalent, while
 165 (11) is asymptotically equivalent to each. Which one should be chosen depends on the specific
 166 application. For example, if the intention is to make comparisons with the data captured from a
 167 fixed mooring site, then the form (16) could be used, and no extra interpolations are needed. But
 168 for numerical simulations of a process model as here, and analytical analyses, the form (17) is
 169 recommended as all the variability is represented by just two coefficients v and τ .

170 It is useful to clarify here the relationship between the wave amplitude in the transformed space
 171 and the wave amplitude in the physical space. For a solitary wave in the transformed space
 172 (X, y, ζ) , along a fixed y section line ($y = 0$ for instance), the maximum amplitude at “time” ζ
 173 can be expressed as

$$U_m = U(\zeta, X_m(\zeta)), \quad \text{where} \quad U_X = 0 \text{ at } X = X_m(\zeta), \quad (22)$$

174 where $|U_m|$ is a local maximum, and the y -dependence is suppressed. Analogously in the physical
 175 space, the maximum amplitude at the location x is written as

$$A_m = A(t_m(x), x), \quad \text{where} \quad A_t = 0 \text{ at } t = t_m(x), \quad (23)$$

176 where $|A_m|$ is a local maximum. Then since $U = A\sqrt{Q}$ (16), and using the transforms (13),

$$\lambda U_\zeta = (A\sqrt{Q})_t + c(A\sqrt{Q})_x, \quad U_X = -(A\sqrt{Q})_t. \quad (24)$$

177 Since here it transpires that the variation of Q is quite small, see figure 6 in our cases, we see that
 178 the maximum in the transformed and physical spaces approximately coincide. Importantly, note
 179 that the maximum in the transformed space is a maximum over X at a fixed “time” ζ , and this
 180 coincides, modulo any small variation in Q , with a maximum over time t in the physical space at
 181 a fixed location x , such as would be observed at a fixed mooring site.

182 *c. Slowly varying solitary waves*

183 One of the basic assumptions of this vKP model is that the y -variations should be sufficiently
 184 slow relative to a typical solitary wave scale in the x -direction. This suggests an asymptotic anal-
 185 ysis for a slowly varying solitary wave solution of (17) represented by,

$$U \sim a \operatorname{sech}^2\{\kappa[X - P(y, \zeta)]\}, \quad W = P_\zeta = \frac{Va}{3} = 4\kappa^2, \quad (25)$$

$$V = - \int_X^{+\infty} U dX = \frac{a}{\kappa} \{\tanh[\kappa(X - P)] - 1\}. \quad (26)$$

187 In this scenario, the amplitude a and hence the wavenumber κ and the nonlinear phase speed
188 W vary slowly with y, ζ . Note that (25) is defined in a reference frame with linear phase
189 speed c , so that from the mappings (13, 18), the total phase speed in the physical space is
190 $c_{sol} = c(1 - W\lambda)^{-1} \approx c(1 + W\lambda)$ since the solitary wave amplitude is required to be small. Using
191 the transformations in (13, 18) $c_{sol} = c + \alpha a_{sol}/3$ where $a_{sol} = a/Q^{1/2}$ as expected. To determine
192 the variation on the amplitude it is sufficient to substitute (25) into the conservation law (21), with
193 the outcome

$$\left(\frac{2a^2}{3\kappa}\right)_{\zeta} = \tau \left[\frac{4a^2}{3\kappa} P_y + \left(\frac{a^2}{\kappa^2}\right)_y \right]_y. \quad (27)$$

194 Using the relations that $\nu a = 12\kappa^2, P_{\zeta} = 4\kappa^2$ this reduces to

$$\left(\frac{\kappa^3}{\nu^2}\right)_{\zeta} = \tau \left[\frac{2\kappa^3}{\nu^2} P_y + \left(\frac{3\kappa^2}{2\nu^2}\right)_y \right]_y, \quad P_{\zeta} = 4\kappa^2, \quad (28)$$

195 which can be written in the convenient form,

$$\theta_{\zeta} = \tau \left[2\theta P_y + \left(\frac{3\theta^{2/3}}{2\nu^{2/3}}\right)_y \right]_y, \quad P_{\zeta} = 4\nu^{4/3}\theta^{2/3}, \quad \theta = \frac{\kappa^3}{\nu^2}. \quad (29)$$

196 This is a nonlinear mixed hyperbolic-parabolic type system for θ, P , where the first term on the
197 right-hand side of the first equation generates the hyperbolic part and the second term generates the
198 parabolic part. It seems quite difficult to obtain an analytical solution, and hence in the following
199 sections we will numerically solve this equation system with the constant initial condition that
200 $\theta = \theta_0, P = P_0$.

201 When there are no y -variations, equation (29) reduces to the well-known adiabatic law θ is
202 a constant, that is $\kappa \propto |\nu|^{2/3}$ and so $a \propto |\nu|^{1/3}$. However when there are y -variations, then we
203 note that the y -dependence in the coefficients ν, τ can be taken as parametric, consistent with the
204 assumptions made in the derivation of the vKP equation (11). Assuming here without loss of

205 generality that $v > 0$, the system (29) can be simplified to an asymptotically equivalent form

$$\theta_\zeta = \frac{\tau}{v^{2/3}} \left[2\theta v^{2/3} P_y + \left(\frac{3\theta^{2/3}}{2} \right)_y \right], \quad \theta = \frac{\kappa^3}{v^2}, \quad P_\zeta = 4v^{4/3} \theta^{2/3}. \quad (30)$$

206 But further analytical progress still seems quite difficult without further approximation. Hence, to
 207 provide some insight into the structure of the solutions, we linearise this system with respect to the
 208 ‘‘constant’’ state $\theta = \theta_0$, noting that this is the adiabatic solution $\kappa \propto v^{2/3}$, and so put $\theta = \theta_0 + \tilde{\theta}$.

209 Linearisation then yields

$$\tilde{\theta}_\zeta = 2\tau\theta_0\tilde{P}_{yy} + \frac{\tau}{v^{2/3}\theta_0^{1/3}}\tilde{\theta}_{yy}, \quad \tilde{P}_\zeta = \frac{8v^{2/3}}{3\theta_0^{1/3}}\tilde{\theta}. \quad (31)$$

210 The first term on the right-hand side generates a linear hyperbolic equation and small disturbances
 211 propagate outward in the y -direction with a speed $y/\zeta \sim v^{1/3}\theta_0^{1/3}(16\tau/3)^{1/2}$, whereas the second
 212 term on the right-hand side generates a linear diffusion equation with a diffusion scale y_d where
 213 $y_d^2/\zeta \sim \tau/(v^{2/3}\theta_0^{1/3})$, and it is apparent these two terms together constitute the spreading effect
 214 in the y -direction. This analysis is similar to that of Kadomtsev and Petviashvili (1970) for the
 215 stability of a KdV solitary wave to transverse modulations, but more generally, here it demonstrates
 216 the extension of that result to the vKP equation (17).

217 As in the well-known KdV theory for a slowly-varying solitary wave, this asymptotic solution
 218 does not conserve the mass invariant (20), and the resolution is that as the solitary wave deforms a
 219 trailing shelf is generated to conserve the total mass. This trailing shelf is essentially a linear long
 220 wave of small amplitude but long wavelength and so can carry mass of the same order as that of
 221 the solitary wave. The solitary wave mass is $2a/\kappa$ and this varies as $24\theta^{1/3}v^{-1/3}$. Relative to the
 222 constant state $\theta = \theta_0$, it follows that when v increases (decreases), the solitary wave amplitude
 223 $a = 12v^{1/3}\theta^{2/3}$ increases (decreases), then the trailing shelf has the same (opposite) polarity as the
 224 solitary wave. However, note that this conclusion could change if θ also has significant variations
 225 in the y -direction.

226 3. Two-dimensional topographic effects

227 a. Model set-up

228 As noted in the Introduction, 2D effects will be especially significant in an area with an abrupt
 229 change in the oceanic background state, such as in the bathymetry, or in the background density
 230 and current fields. A typical instance is the New York Bight, which is characterised by a large area
 231 of continental shelf containing the Hudson Canyon, see figure 1. This area is also affected by the
 232 strong Gulf Stream current, as well as by coastal river inflow, and all these factors together make
 233 the local wave dynamics quite complicated. As ISWs propagate up the shelf from deep water,
 234 and pass through the Hudson Canyon, we expect that wave diffraction and refraction will occur.
 235 Motivated by this and similar examples we set up an idealised undersea canyon-type topography
 236 $h(x, y)$ with typical oceanic length scales, see figure 2,

$$237 \quad h = \frac{\tanh \Omega + 1}{2} \cdot (h_1 - h_2) + h_2, \quad (32)$$

$$238 \quad \text{where } \Omega = \frac{K_2 - K_1 M_y}{x_1 - x_0} \cdot (x - x_0) + K_1 M_y, \quad (33)$$

$$239 \quad \text{and } M_y = \left[\tanh\left(\frac{y + y_{ts}}{y_{tw}}\right) - \tanh\left(\frac{y - y_{ts}}{y_{tw}}\right) \right] \cdot L_y + 1.0. \quad (34)$$

239 Here we set $y_{ts} = 6000m$, $y_{tw} = 2000m$, $L_y = 0.7$, $K_1 = -2.7$, $K_2 = 2.7$, and the topography is
 240 confined in a domain with size $x \times y = [0 : 80] \times [-40 : 40] km^2$, so that two edges in the x direction
 241 are $x_0 = 0$ and $x_1 = 80 km$, while the water depth parameter $h_1 = 350m$ and $h_2 = 500m$ respectively.
 242 We also consider an idealized plateau-type topography, see figure 2, whose expression is the same
 243 as that of the canyon case, except that

$$244 \quad M_y = \left[\tanh\left(\frac{y - y_{ts}}{y_{tw}}\right) - \tanh\left(\frac{y + y_{ts}}{y_{tw}}\right) + 2 \right] \cdot L_y + 1.0. \quad (35)$$

244 Using these idealized topographies makes it feasible to conduct analytical work in the sequel. Al-
 245 though realistic topography is not considered here, we contend the framework used here can be

246 easily and effectively migrated to the implementation of real topography, whose transverse varia-
 247 tion is relatively slower than that in the wave propagation direction. Further, as customary, since
 248 the surface disturbances induced by ISW are usually very small (typically $\mathcal{O}(10^2)$ smaller), we
 249 make the rigid lid approximation, and also set the background current, $u_0(z) \equiv 0$. The background
 250 temperature and salinity profiles are the monthly averaged data from the World Ocean Atlas 2013.
 251 We choose data in July at 37.5°N , 72.5°W , in the vicinity of the Hudson Canyon, which is shown
 252 in figure 3.

253 When examining 2D effects, another important issue is the preparation of the initial condition.
 254 To simulate the waves from a generation site, here we select the well-known KdV solitary wave
 255 but with a y -envelope imposed,

$$U(X, y, \zeta = 0) = E(y) \{a_0 \operatorname{sech}^2[\kappa_0(X - X_0) + D(X)]\}, \quad v_0 a_0 = 12\kappa_0^2. \quad (36)$$

256 Here X_0 is chosen to place the solitary wave in the deep water where $v = v_0$. $E(y)$ is an envelope
 257 function in the transverse y direction, equal to unity in a specified region $|y| < L$ and tapering to
 258 zero outside that range,

$$E(y) = \frac{1}{2} \left\{ \tanh\left(\frac{y + y_e}{y_w}\right) - \tanh\left(\frac{y - y_e}{y_w}\right) \right\}. \quad (37)$$

259 Note that the attenuation in the y -direction should be greater than that in the X -direction, so we
 260 choose $y_w \gg 1/\kappa_0$, and also we require $y_e \gg y_w$ to ensure a large value of L . To isolate the
 261 dynamics of the 2D topography, we also did simulations with a y -independent initial condition,
 262 that is $E(y) \equiv 1$. The mass constraint (20) must be satisfied, which implies that in the Fourier
 263 space, solutions have no energy at the zero wavenumber. As a consequence, a pedestal $D(X)$
 264 needs to be superimposed on the KdV solitary wave. For a numerical domain of total length $2L_X$
 265 in the X direction, the simplest choice is $D(X) = -12\kappa_0/(v_0 L_X)$, so that the initial mass is zero,

$$\int_{-\infty}^{\infty} \{a_0 \operatorname{sech}^2[\kappa_0(X - X_0)] + D(X)\} dX = \frac{2a_0}{\kappa_0} - \frac{24\kappa_0}{v_0} = 0. \quad (38)$$

266 The expression (38) is a good choice for a periodic domain. However because here two sponge
 267 layers are deployed at the two edges of the X -domain (details below), a form with an envelope
 268 which avoids possible end effects is used,

$$D(X) = \frac{D_0}{2} \left\{ \tanh\left(\frac{X+L_e}{L_w}\right) - \tanh\left(\frac{X-L_e}{L_w}\right) \right\}, \quad \int_{-\infty}^{\infty} D(X) dX = 2D_0L_e = -\frac{24\kappa_0}{v_0}. \quad (39)$$

269 In principle, the lengths L_e and L_w can be chosen freely, but to facilitate the numerical calculations,
 270 it is better to keep the pedestal small, that is to say $|D_0| \ll a_0$, and hence $|\kappa_0|L_e \gg 1$, so one
 271 combination of the typical values is $L_e = L_X/2, L_w = L_X/4$.

272 The asymptotic theory developed in section c can be applied to estimate the deformation of the
 273 solitary wave amplitude a , ignoring any effect of the small pedestal. First, we use the asymptotic
 274 solution for $\theta \sim \theta_0$ in equation (30) where $\theta^2 \propto a^3/v$ to estimate that overall the amplitude a
 275 will deform adiabatically as $|v|^{1/3}$, with a consequent effect on the phase speed. In the physical
 276 variables x, t this is $c/(1 - W\lambda) \approx c(1 + W\lambda)$ since $W = va/3 \sim |v|^{4/3}$ is a small perturbation.
 277 Then, in addition, the effect of the envelope function $E(y)$ can be estimated using the linearised
 278 system (31). It is clear that the main variation will then come from the end-points $y = \pm y_e$ of
 279 the envelope. These will generate small disturbances propagating in the y -direction with speeds
 280 proportional to $v^{1/3}\theta_0^{1/3}(16\tau/3)^{1/2}$, and at the same time diffusing on a length scale y_d where
 281 $y_d^2/\zeta \sim \tau/(v^{2/3}\theta_0^{1/3})$. Both processes are enhanced as the initial wave amplitude increases through
 282 the dependence on $\theta_0^{2/3} \propto a_0$, and also enhanced as y_w decreases, that is sharper fronts at the ends
 283 of $E(y)$.

284 *b. Numerical method and results*

285 Although the formulation of the vKP equation (11) is for any mode, in this paper we focus on
 286 only mode-1 waves, which are the most commonly observed in the ocean, although there are some

287 observations of mode-2 waves, see for instance, Shroyer et al. (2010); Liu et al. (2013). Using
288 the background profiles shown in figures 2 and 3, the nonlinear coefficient $\nu < 0$, see figure 5,
289 indicating that mode-1 ISWs are waves of depression. To ensure the simulations are in the weakly
290 nonlinear regime, here we choose $-15m$ as the initial amplitude in all cases.

291 The numerical simulations are carried out in the transformed space, using the vKP equation (17).
292 A pseudo-spectral method based on a Fourier interpolant is used in the primary wave propagation
293 (that is X here) direction, and the dispersion along the y direction is simulated by a fourth order
294 central finite difference scheme, while a classical Runge-Kutta fourth-order method, together with
295 a very fine time step, provides an accurate outcome in the time domain. Two sponge layers are
296 added in the X direction to absorb the incident waves and so avoid any reflection, while in the
297 y direction, when $E(y) \equiv 1$ then a periodic boundary condition is used, otherwise two sponge
298 layers are deployed at edges as that in the X direction. Once the results have been obtained in
299 the transformed space, a 2D interpolation is implemented to transform back to the physical space,
300 that is, from U in equation (17) to A in (11) or (14). Clearly the interpolation will introduce
301 some further errors, but they are found with some experimentation to be quite small and can be
302 ignored, and the following quantitative comparisons with the MITgcm model will put this claim
303 on a firmer footing, see figure 11. Note that the essential dynamics takes place in the transformed
304 space, and the mapping back to the physical space can only change the amplitude magnitudes in
305 the evolving wave field, and cannot by itself generate new wave features, since $U = A\sqrt{Q}$ (16) and
306 the transformations (13) affect only the time and space scales. Note especially that the profile for
307 U in the X -space at a fixed “time” ζ corresponds to a time series for A at a fixed place x , see (24).

308 In both cases of the undersea canyon-type and plateau-type topography, the initial solitary wave
309 with the envelope $E(y)$ defined in (37) immediately disperses along the transverse y direction
310 when the simulations start, and importantly the wave fronts are not straight, but instead are curved

311 backwards relative to the x direction, see figure 4. This is because the local phase speed is a
 312 function of the local wave amplitude, which decays on both sides away in the y -direction from the
 313 initial main wave centred at $y = 0$. This permanent cross-domain dispersion results in a dramatic
 314 decrease of the amplitude of the main wave with distance in the x -direction of propagation. On the
 315 other hand, after propagating away from the flat bottom and up the slope, the waves also begin to
 316 deform in the x -direction due to the effect of the nonlinear coefficient ν in (17) which combines the
 317 physical nonlinear coefficient α with the physical linear dispersive coefficient β , and also absorbs
 318 the magnification factor Q , see figure 6. The asymptotic theory developed in section c predicts
 319 the deformation of the main wave is determined by two components in the mapping space, that
 320 is, the terms related with ν and τ respectively, see equation (30). More specifically, let us focus
 321 on the central line in the y direction, that is $y = 0$. Figure 5 shows that along the propagation
 322 direction $|\nu|$ increases, and hence the amplitude of the evolving main wave will increase, since it
 323 deforms as $|\nu|^{1/3}/Q^{1/2}$ in the physical space, but at the same time the afore-mentioned spreading
 324 in the y -direction will lead to some amplitude decay. It turns out the latter is overwhelmingly
 325 significant and causes the wave amplitude to decay, see figure 4. To conserve the total mass, this
 326 decay generates a trailing shelf with positive polarity, and there is evidence that this shelf begins
 327 to fission into several small ISWs, see figure 11.

328 The features described above occur for both the canyon and plateau cases, and the main differ-
 329 ence between these two cases is that the central part of the wave field around $y = 0$ is propagating
 330 faster over the canyon than over the plateau, see figure 4. This can be partly attributed to the topo-
 331 graphic variations in the linear phase speed c , see figure 6, which shows that c is greater over the
 332 canyon than over the plateau. However the difference is quite small, of $\mathcal{O}(5\%)$, and comparable
 333 with the change in c from deep to shallow water, due to scaling dependence on \sqrt{h} . Furthermore,
 334 this effect is purely kinematic and linear, whereas the simulations of the nonlinear vKP equation

335 (17) are in a reference frame moving with the speed c , and will contain dynamic effects due to
 336 the amplitude-dependent phase speed W for the evolving ISW. This can be estimated from our
 337 simulations as follows. Suppose that the y -variations (the canyon or plateau) are removed from
 338 the topography, then the evolving ISW will deform according to the adiabatic law $\kappa \propto |\mathbf{v}|^{1/3}$ and
 339 then $W = 4\kappa^2$, see (25). This forms a base level to determine the effect of a canyon, or plateau,
 340 on the nonlinear phase speed W . Then with the canyon or plateau topography restored we use the
 341 asymptotic expression that $\theta = \theta_0$, see (30) and the accompanying discussions. Of course, this
 342 adiabatic estimate is within the confines of a slowly-varying assumption, so that at fixed “time”
 343 ζ , the state θ is asymptotically equivalent no matter whether or not there are y -variations in the
 344 background topography. Then from equation (30) we get that

$$\frac{W_c}{W_r} = \left(\frac{v_c}{v_r} \right)^{4/3} \quad \text{and} \quad \frac{W_p}{W_r} = \left(\frac{v_p}{v_r} \right)^{4/3}, \quad (40)$$

345 where the subscript r indicates the reference level without y -variations, while c and p indicate
 346 the canyon and plateau case respectively. The results of (40) are shown in figure 7. Initially, the
 347 waves are over the flat bottom where there are no y -variations, but with the propagation up the
 348 slope, which will then become more and more significant. We note immediately an important
 349 consequence, in view of the nonlinear effects of y -variations on W , the canyon-type topography
 350 actually slows down the propagation ($W_c/W_r < 1$), contrasting with the speed-up of the plateau-
 351 type topography ($W_p/W_r > 1$). Nevertheless, the magnitude of $W\lambda = \nu a\lambda/3$ ($\mathcal{O}(10^{-1})$) is much
 352 smaller than the corresponding linear phase speed c ($\mathcal{O}(1)$), which is to say, although the effects
 353 of the y -variations can slightly modulate the phase speed $c_{sol} \approx c(1 + W\lambda)$, the linear phase speed
 354 c is still dominant, and this is precisely what is seen in figure 4 and 8.

355 Although the simulations shown in figure 4 are intended to describe the propagation of ISW over
 356 2D topography in the ocean, the underlying dynamics induced by the topography alone is not very

357 well exhibited, since it is mostly hidden by the significant y spreading induced by the truncated
 358 initial condition. In practice oceanic ISWs are limited in the transverse direction, however this
 359 scale could be quite long, and hence in figure 8 we show the simulations when the initial condition
 360 on the flat bottom before the waves reach the slope has no y -dependence, that is $E(y) \equiv 1$. The
 361 evolution of the wave again obeys the adiabatic law in the physical space, the amplitude of the
 362 leading wave $|a| \sim |\nu|^{1/3}/Q^{1/2}$, and due to mass conservation, a trailing shelf (indicated by light
 363 green colour) of the same polarity is generated. Initially, the wave evolution at the central part
 364 around $y = 0$ behave qualitatively similar to the previous cases, that is, it is largely determined by
 365 the linear phase speed c , but at the same time, is slightly modulated by the small nonlinear phase
 366 speed W , which has an opposite effect to that of c . Then after moving up the slope, the effects
 367 of the y -variations in the bathymetry become important and so the adiabatic law fails, and the y -
 368 dependence has to be taken into account in equation (28) or (29). With the gradual propagation up
 369 the slope, the waves in the canyon (plateau) propagate ahead (behind) the waves outside, and the
 370 non-adiabatic effects due to the y -variations of the topography become further enhanced, leading
 371 to a significant distinction between the wave amplitudes at different y -locations. Nevertheless, the
 372 total mass along the x direction on each y -section has to be conserved, which, together with the
 373 spreading effect in the y direction, leads to a complicated transverse modulation (shown by the
 374 dark blue colour).

375 To examine this explanation in more detail, a set of calculations based on the equation system
 376 (29) is shown in figure 9 where we plot the amplitude of the leading wave using the expressions
 377 for $\theta = \kappa^3/\nu^2$ in (29) and the solitary wave expression $\nu a = 12\kappa^2$ (25) so that $a = 12(\theta^2\nu)^{1/3}$.
 378 Note that the asymptotic theory (29) is based on the (21) and so conservation of wave action flux
 379 is automatically satisfied. It is apparent that in the canyon case, over the slope, the amplitude of
 380 the leading wave $|a| = 12(\theta^2|\nu|)^{1/3}$ in the canyon increases, contrasting with the decline in the

381 periphery of the canyon. Moreover, this feature expands with “time” ζ and exerts more influence
382 on the wave field, as the asymptotic theory based on (29) predicts. Simultaneously, at the central
383 part, the increase of the mass represented by the leading wave $24(|\theta/\nu|)^{1/3}$ leads to an opposite
384 polarity trailing shelf (see the dark blue colour in figure 8) in order to conserve the total mass in
385 the X direction. In contrast, the mass undergoes a decrease outside the submarine canyon, and so
386 using the mass conservation law again, a trailing shelf of the same polarity forms, which further
387 develops into several small ISWs (see the light green colour in figure 8). A similar interpretation
388 can be applied to the plateau case, but with an opposite structure. As we have noted, small y -
389 variations of the topography can lead a significant distinction through the coefficients ν and τ . In
390 order to examine which coefficient is the more effective, we show in figure 10 calculations from
391 the system (29) when the y -dependence of ν and then τ are separately removed. We see that when
392 only the y -dependence of the coefficient ν is removed, the wave field is quite different from that
393 using the full expression for ν , see figure 9. However if instead only the y -variations in τ are
394 removed, then the wave structure is almost the same as when the full expression for τ is used.
395 We infer that it is the y -variations in the nonlinear coefficient ν which essentially determine the
396 evolving wave field, at least for the system parameters used here.

397 **4. MITgcm model simulations**

398 Access to 2D observational data which incorporates a complete shoaling process is impractical.
399 Thus here we use instead a fully nonlinear and non-hydrostatic three-dimensional (3D) primitive
400 equation model, MITgcm, to do both qualitative and quantitative comparisons. For details of the
401 MITgcm model, see Marshall et al. (1997).

402 Since our presented KP theory is non-dissipative, the dissipation (eddy viscosity) in the MITgcm
403 model is also set to be zero, so that formally it solves the incompressible Boussinesq equations.

404 The simulation domain, topography and background profiles are exactly the same as in the KP
405 theory, see figure 2 and 3. In the x direction, 60 of a total 800 grid points at the end of the
406 domain are designed to be a boundary layer with a decrease of resolution, telescoped exponentially
407 from 100 to $10^4 m$, whereas the same strategy is used to avoid reflections from boundaries in
408 the y direction, and both sides hold 30 grid points as boundary layers (totally there are 360 grid
409 points), with resolution from 250 to $10^4 m$. In the vertical direction, there are 190 z -levels with $2 m$
410 resolution in the upper 175 layers followed by 15 bottom layers with $10 m$ resolution. Note that
411 as indicated by the modal function, see figure 3, the maximum vertical excursion should occur at
412 approximately depth $h = 165 m$, which is covered by the fine resolution. Time step is $2 s$, short
413 enough compared with the typical temporal scale of a mode-1 ISW.

414 To be succinct, here we only show the results with the truncated initial condition, which can be
415 observed more often in the real ocean. As the KdV-type solitary wave, given by equation (36),
416 is not fully compatible with the Boussinesq equations solved by the MITgcm model (although
417 for small-amplitude waves which are in a weakly nonlinear regime, the difference is very small),
418 thus a 2D simulation is first conducted on a flat bottom (depth $h = 500 m$) environment with a
419 KdV solitary wave as the initial incident wave, using the background profiles in figure 3. Then we
420 let the wave evolve until it reaches a new stable solution, which is cut off and ready to be used.
421 Essentially in the y direction, it is not easy to impose a smooth envelope on the initial solitary
422 wave in the MITgcm 3D simulations, as described in equation (36). A compromise method is
423 to copy this preliminary 2D solution to fill a central region whose y -direction width is almost
424 the same as the central part of the envelope given in equation (37), whereas the other areas are
425 assumed to be at rest. But these sudden jumps between the initial wave and its periphery will
426 undoubtedly modulate the dynamics to some extent. Indeed, the discrepancy induced by the initial
427 conditions is significant within several hours after the model launches, but nevertheless then a

428 good agreement between the MITgcm and the vKP theory is achieved, see figure 11.

429

430 To further examine the robustness of the vKP simulations, the locations of the wavefronts in
431 the x - y space at four different time layers are depicted in figure 11, and these demonstrate that
432 overall a good agreement holds between the vKP simulations and the MITgcm model, except that
433 the curvatures of the wave fronts in the vicinity of canyon (or plateau) topographic features are
434 more abrupt in the KP simulation, which can be partly ascribed to the interpolation used when
435 that is transformed back from the mapping space to the physical space. To make this claim more
436 robust, a quantitative comparison in the amplitude A is also shown in figure 11, in which the wave
437 amplitude of the MITgcm model is calculated using a mode decomposition technique developed
438 by Yuan et al. (2017), which was originally derived in a 2D (x - z) domain. However, since here the
439 y -variations are assumed to be much slower than the x -variations, this technique can be applied
440 in any (x - z) section lines without too much loss of accuracy. Here we will briefly introduce the
441 derivation for our mode-1 wave, there are more details in Yuan et al. (2017). Starting from equation
442 (2), along one (x - z) section line we have

$$c \int_{-h}^0 \zeta_z \phi_z dz = \Lambda S, \quad S = c \int_{-h}^0 \phi_z^2 dz, \quad (41)$$

443 where Λ is the calculated amplitude in the MITgcm model (as shown in figure 11). Note that
444 in (41) the vertical displacement ζ can not be achieved directly from the model output, and also
445 the z -derivative is not easy in practice, so an alternative (asymptotically) equivalent form will be
446 implemented. In the linear long wave approximation

$$\zeta_t \approx w, \quad (42)$$

447 which can be combined with the conservation of mass equation

$$u_x + w_z = 0, \quad (43)$$

448 to yield

$$u_x \approx -\zeta_{tz}. \quad (44)$$

449 Then, also noting that to leading linear long wave order, $\zeta_t + c\zeta_x \approx 0$, the final approximate ex-
450 pression for Λ is

$$\Lambda S \approx \int_{-h}^0 u \phi_z dz, \quad (45)$$

451 where u is the particle velocity in the primary wave propagation (here x) direction, one of the
452 standard outputs from the MITgcm model. We see that the agreement is good, implying that here
453 the variable coefficient KP model and the accompanying analytical interpretations are quite robust.

454 5. Summary and discussion

455 The vKP model can be widely applied to the real ocean, under the assumption that the y -
456 variations are much slower than those in the propagation x -direction. In the simulations reported
457 here we have considered 2D bathymetry which is either a submarine canyon or a submarine
458 plateau, these being prototypes of more complicated topographic scenarios. For slowly-varying
459 solitary waves, if there are no y -variations, then from the well-known KdV theory the evolution
460 scenarios of ISWs can be expressed by the adiabatic law $a \propto |v|^{1/3}$ relating the amplitude a with
461 the nonlinear coefficient v , assuming that, as here, v does not change sign. However, when y -
462 variations are taking into consideration, then an additional spreading effect in the y direction,
463 characterised by a propagation speed proportional to $v^{1/3} \theta_0^{1/3} (16\tau/3)^{1/2}$ and a diffusion scale
464 $y_d^2/\zeta \sim \tau/(v^{2/3} \theta_0^{1/3})$, will also play a crucial role. Our simulations show that this can even be
465 overwhelmingly dominant, depending on the initial conditions, such as in our two cases shown in
466 figure 4. But when the initial KdV solitary wave is y -independent in the flat bottom region before
467 the topographic slope, then a very complicated scenario of evolution occurs, which can be ex-

468 plained by the asymptotic theory of the slowly varying solitary wave, combined with the creation
469 of a trailing shelf, induced by mass conservation in the X direction.

470 For the submarine canyon-type and plateau-type bathymetry, our numerical simulations are per-
471 formed on the transformed equation (17) which indicates that the essential dynamics are controlled
472 by the transformed coefficients ν and τ , representing the effects of nonlinearity and transverse
473 diffraction respectively. For the simulations reported here, we have found that the former is the
474 more effective. We have developed an asymptotic theory of a slowly varying solitary wave which
475 can be used to examine the effect of y -variations in these coefficients. In particular we have found
476 that the nonlinear phase speed W (25) has a tendency to oppose the change of the corresponding
477 linear phase speed c due to the y -variations in the topography, although the nonlinear correction
478 term $W\lambda$ is too small to fully compensate the change in c , as the ratio is typically $\mathcal{O}(10^{-1})$. That
479 is the phase speed (in the physical space) $c_{sol} \approx c(1 + W\lambda)$ is essentially determined by c .

480 Further, we have found very good agreement between the vKP simulations and simulations
481 using the MITgcm model, both qualitatively and quantitatively. Note that if we were to simplify
482 our continuous stratification to a two-layer structure, using the modal function shown in figure 3,
483 the thickness of the upper layer and lower layer could be estimated as $h_1 = 165m$ and h_2 from
484 185 to 335m respectively in the whole domain. Since our initial wave amplitude is 15m, then
485 the nonlinearity parameter $a/h_{1,2}$ is $\mathcal{O}(10^{-1})$ and the non-dimensional wavelength $\Delta/h_{1,2}$ (refer
486 to figure 11) is $\mathcal{O}(10^1)$, which formally satisfies the weakly nonlinear long-wave assumptions.
487 But we note that Ostrovsky and Stepanyants (2005) conducted a series of comparisons between
488 the laboratory experiments and theoretical models and concluded that in some circumstances, the
489 KdV equation, the one-dimensional version of the KP equation, is still adequate for the large
490 amplitude ISWs, beyond the formal range of validity. To some extent the theory can be extended
491 to larger amplitudes by incorporating a cubic nonlinear term, but this may also require additional

492 diffraction terms, and at present such a model is not available. Also, the vKP model is restricted to
493 a single mode, here mode-1, and so cannot describe secondary generation of mode-2 waves, such
494 as those found by Shroyer et al. (2010); Liu et al. (2013). Finally, as found by Ostrovsky (1978);
495 Helfrich (2007); Grimshaw and Helfrich (2008), in some circumstances, the effect of the Earth's
496 background rotation may be quite important. This can be incorporated into the present vKP theory,
497 see for instance Grimshaw (1985); Grimshaw and Melville (1989), but here the rotational effect
498 can be neglected, since according to Farmer et al. (2009); Grimshaw et al. (2012), the importance
499 of the rotation can be measured by the Ostrovsky number, essentially a ratio of the nonlinear term
500 to a rotational term, and when written in the coefficients α , β , $O_s = 2c\alpha^2 a^2 / (\beta f^2) \sim \mathcal{O}(10^3) \gg 1$,
501 where f is the Coriolis frequency chosen at latitude 40° N (refer to figure 1). Thus we conclude
502 that here the effect of the background rotation can be neglected.

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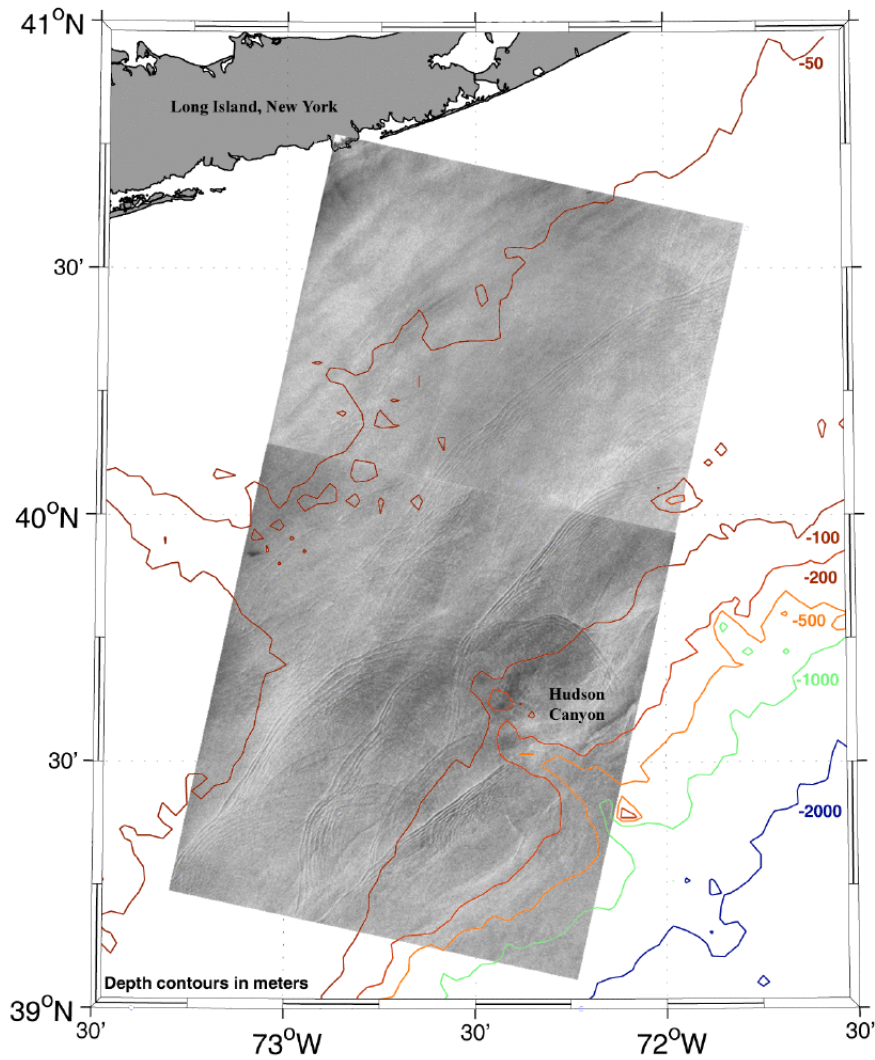
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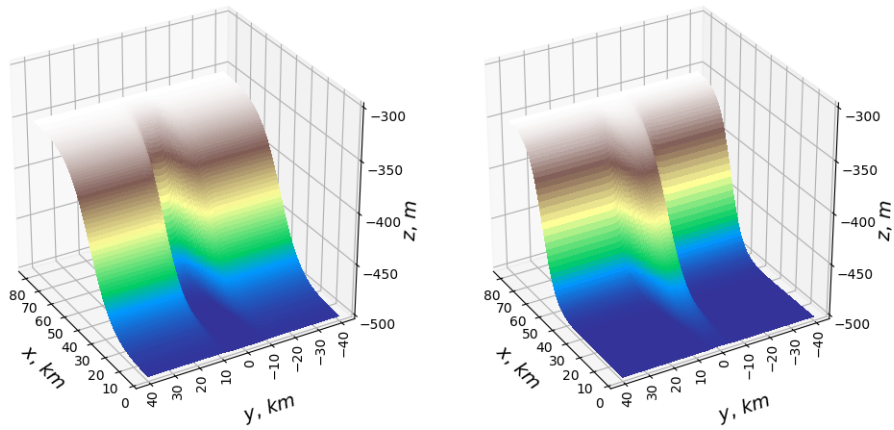
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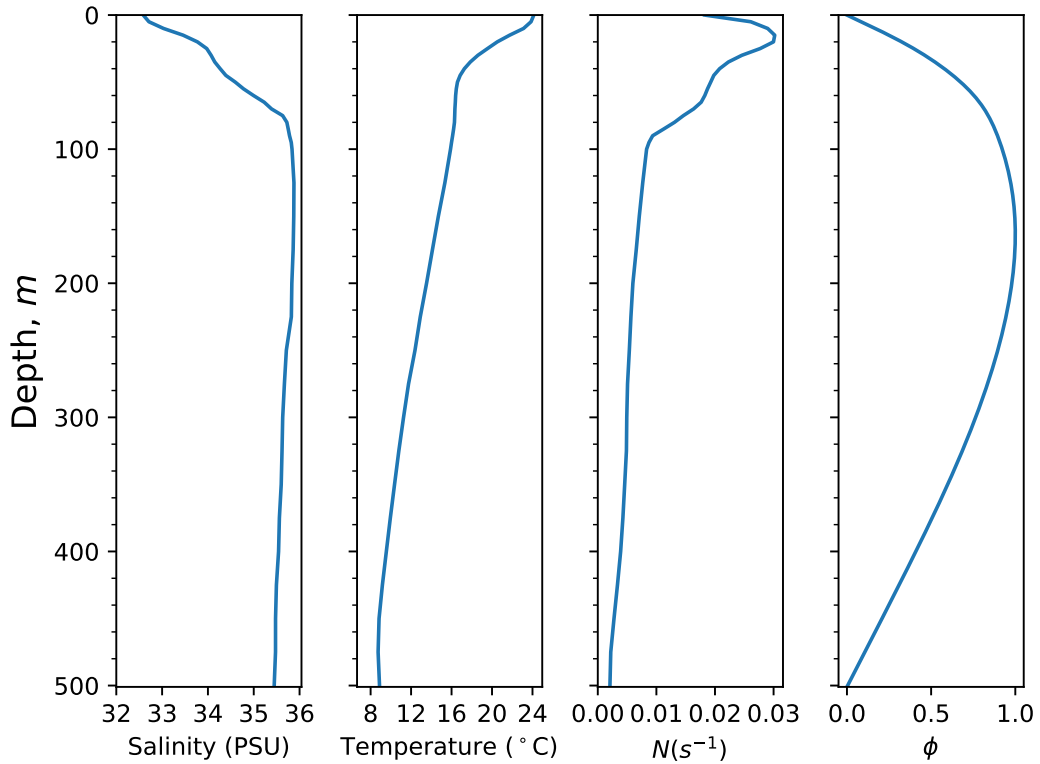
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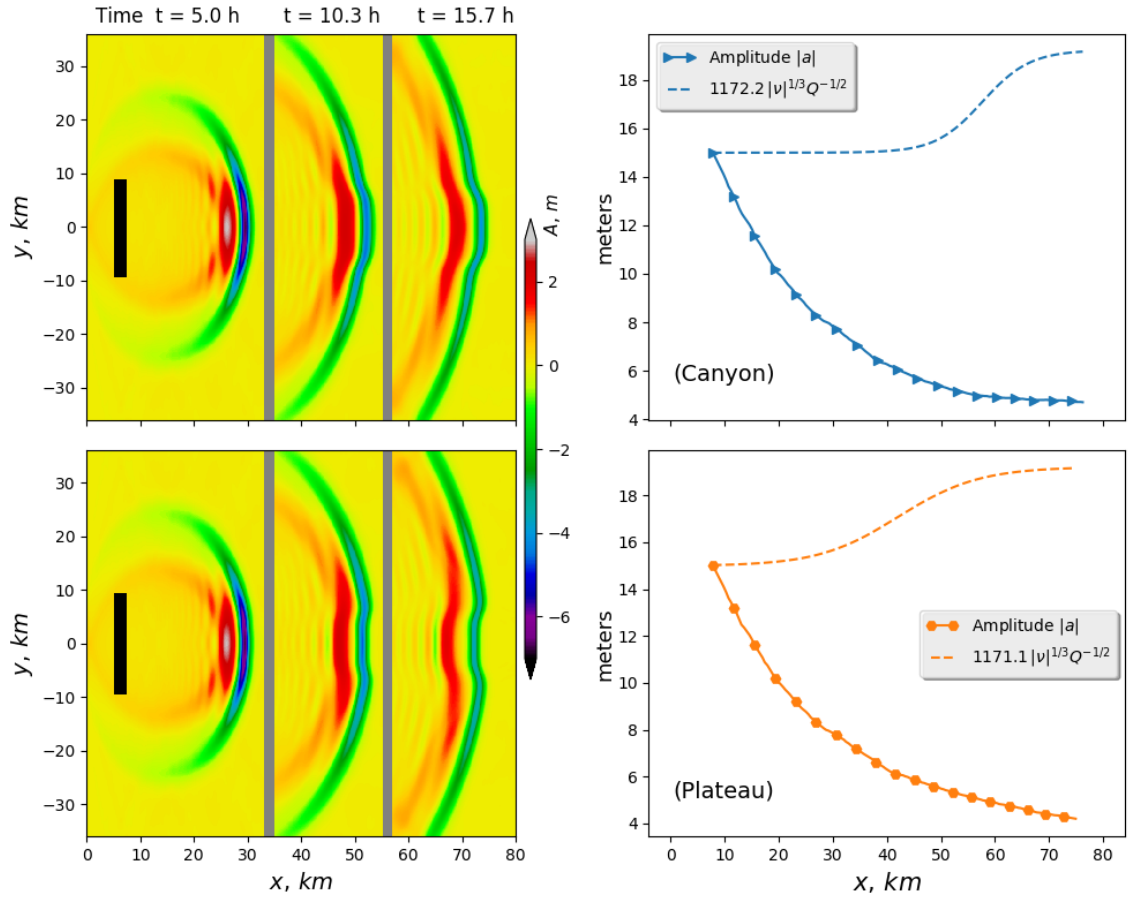
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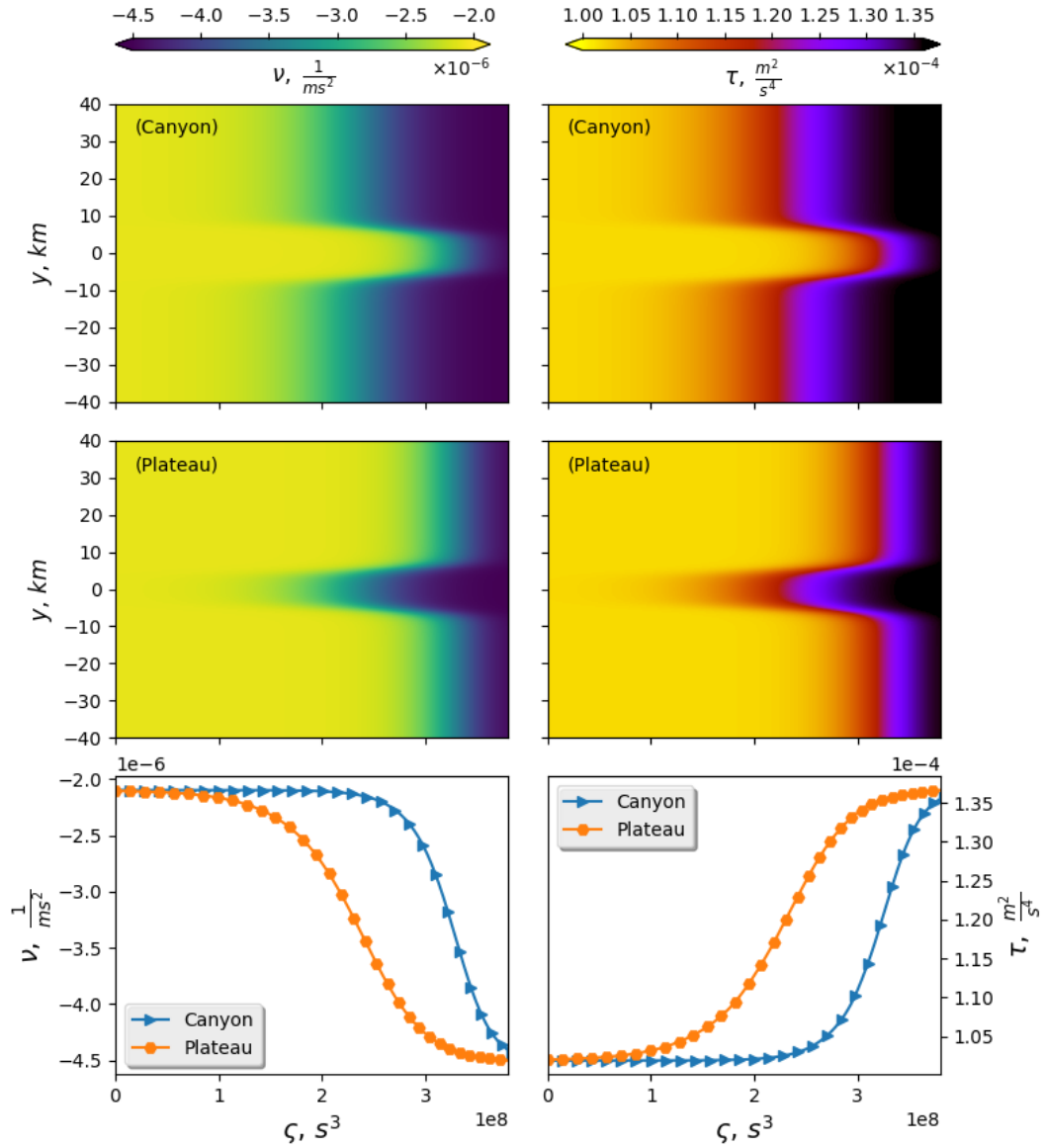
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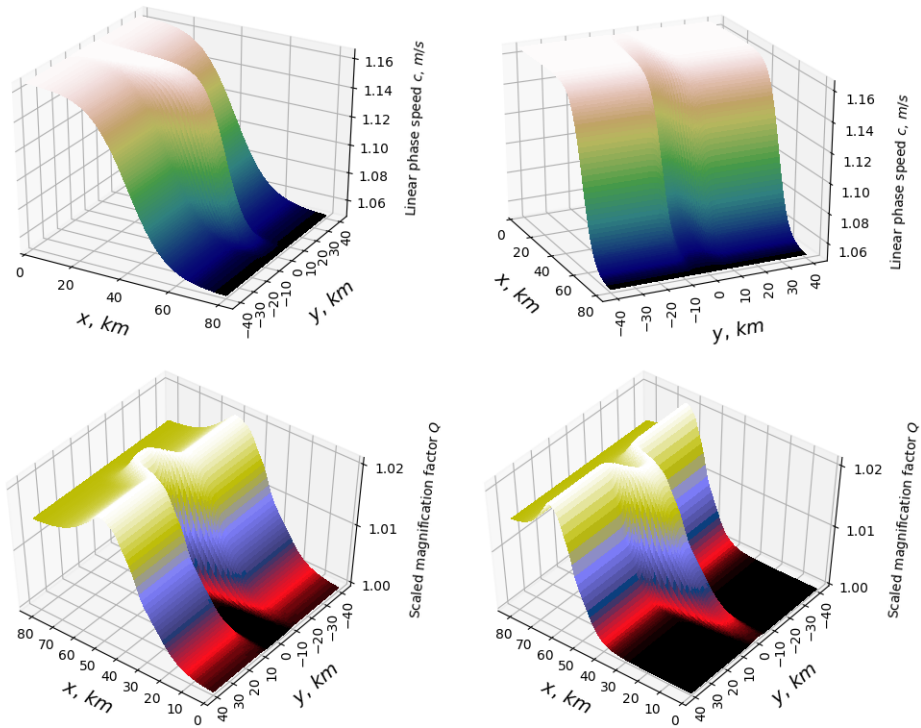
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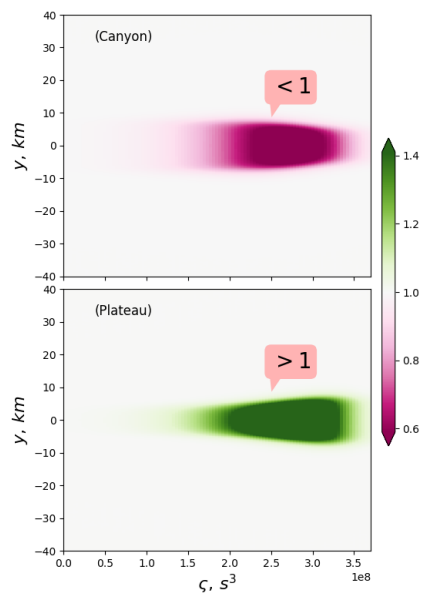
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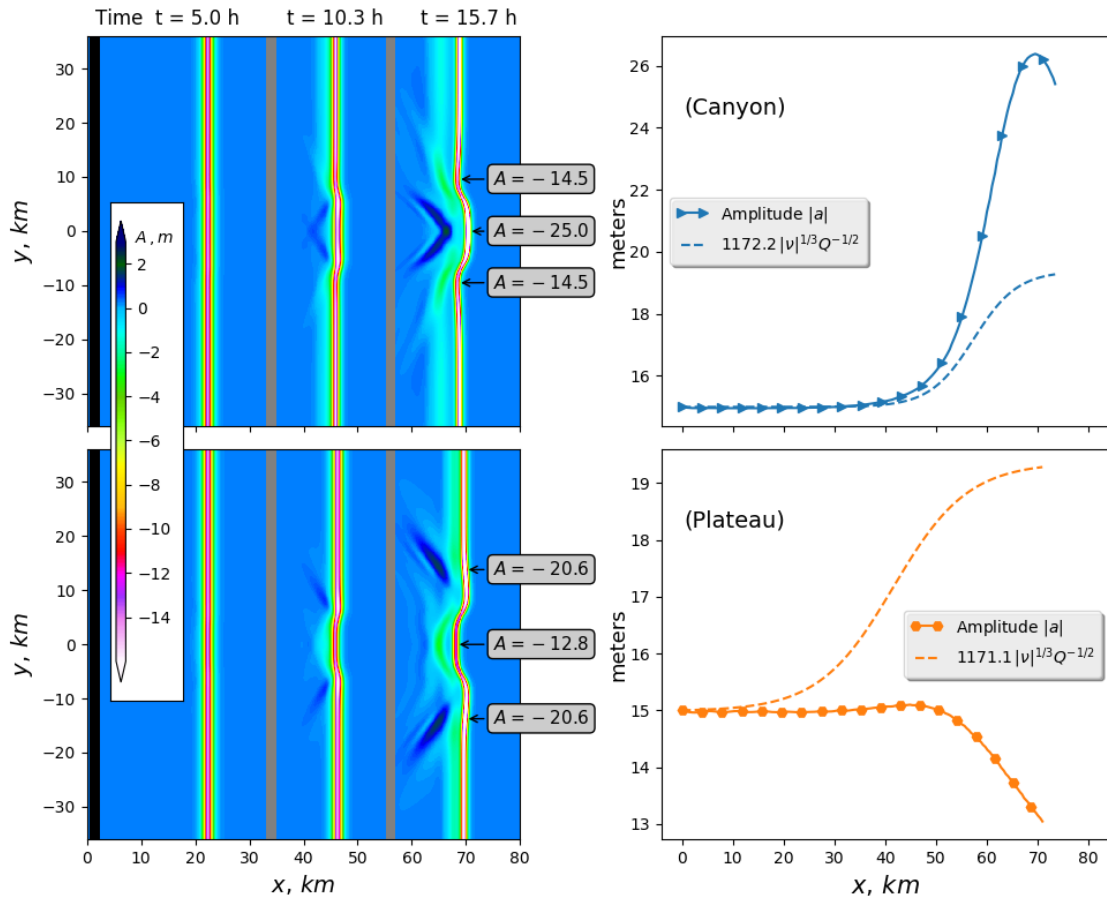
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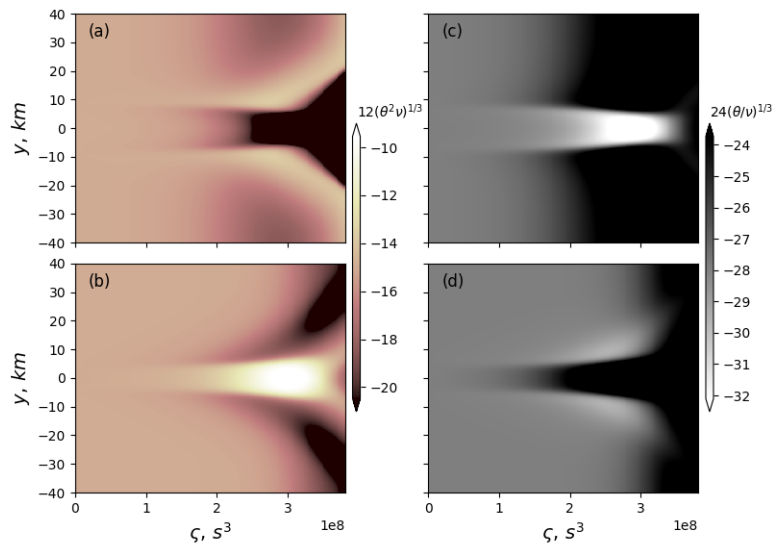
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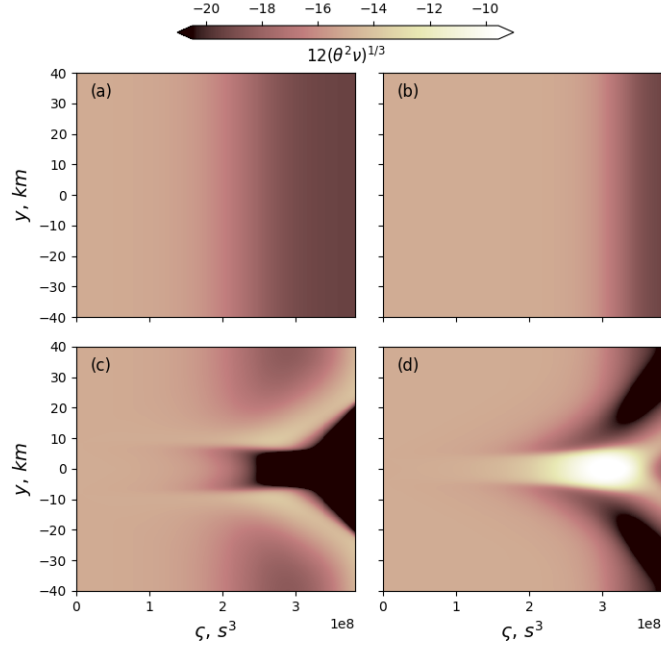
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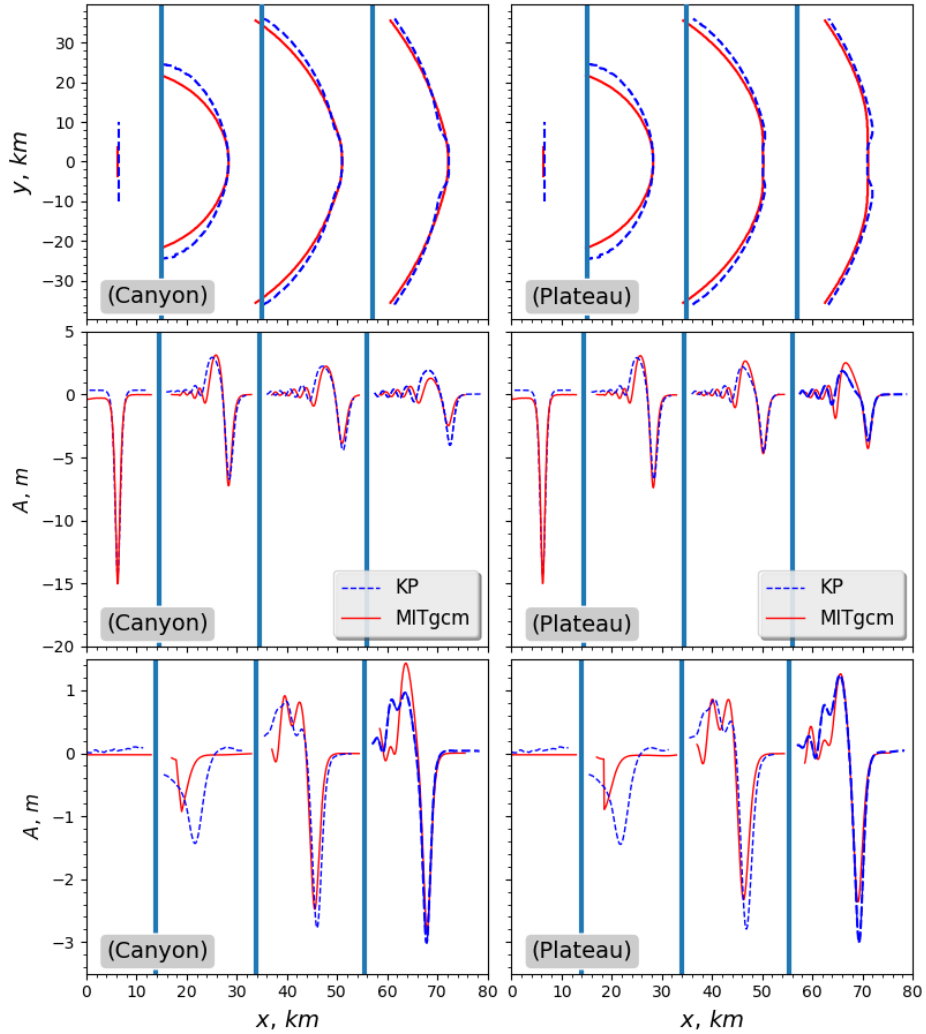
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