

1 Abstract

Current limitations of our knowledge of AGNs in low-luminosity galaxies hinder our understanding of intermediate-mass black holes (IMBHs) and primordial BH seeding. This is significantly due to the lack of direct detections of X-ray obscured low-mass AGNs suggested by high-redshift X-ray stacking results for star-forming dwarf galaxies. As current X-ray observations shown anomalously weak X-ray emission compared to their optical emission lines, we propose to obtain 120-ks *XMM-Newton* observations for four *Spitzer* IRS characterized IMBH candidates hosted by Seyfert 2 galaxies. This will triple the sample size of such systems with both IRS and X-ray observations and provide key insights into IMBH populations.

2 Motivation: Towards a complete census of low-mass AGNs

As a means of constraining different primordial black hole (BH) seeding scenarios (e.g., Volonteri 2010; Bellovary et al. 2011; Greene 2012; Reines & Comastri 2016), much effort has been made in searches for active galactic nuclei (AGNs) powered by intermediate-mass black holes (IMBHs, $10^4 M_\odot \leq M_{\text{BH}} \leq 10^6 M_\odot$) in the centers of local low-luminosity galaxies. To date, the largest sample of low-mass AGN¹ come from studies that search for AGN signatures in low-redshift ($z \leq 0.3$) low-luminosity galaxies in large optical spectroscopic surveys such as SDSS (e.g., Greene & Ho 2007; Barth et al. 2008; Reines et al. 2013; Moran et al. 2014). While these studies have provided crucial first steps toward understanding the IMBH-powered low-mass AGN population, **obscured low-mass AGNs remain elusive**. This is primarily due to optical low-mass AGNs being either selected based on the presence of broad emission lines (i.e., unobscured) or lacking the crucial X-ray observations to confirm the presence of obscuring material.² **Therefore, many or even most of the accreting IMBHs remain elusive.**

Recently, we have shown that obscured low-mass AGNs can be identified by combining optical spectroscopic, mid-IR, and X-ray observations (Chen et al. 2017a). Due to the limited area of most sensitive extragalactic X-ray surveys, only ~ 10 of low-mass AGNs are confirmed to be X-ray obscured (i.e., $N_{\text{H}} \gtrsim 10^{22} \text{ cm}^{-2}$), including one AGN discovered in the *NuSTAR* serendipitous survey (Chen et al. 2017a), and another optically selected Seyfert 2 galaxy with *XMM-Newton* follow-up observations (Thornton et al. 2009). Collecting a larger sample of X-ray obscured low-mass AGNs in the local universe is, therefore, essential for using IMBHs reliably as a boundary condition to study different BH-seed formation and galaxy evolution scenarios.

Search for obscured low-mass AGNs with X-ray and optical emission lines: The key to revealing the obscured low-mass AGN population is through sensitive X-ray observations with sufficient spatial resolution, because these can effectively avoid confusion due to diffuse X-ray emission and off-nuclear ultra-luminous X-ray sources (ULXs) while confirming the presence of intervening gas/dust toward the AGN. Currently, there are only ~ 10 “dwarf” Seyfert 2 galaxies ($M_\star < 3 \times 10^9 M_\odot$) with follow-up observations in the soft X-rays ($< 10 \text{ keV}$).³ Intriguingly, all of them have soft X-ray fluxes 10 to > 100 times lower than the expected values based on the tight $L_{\text{X}} - L_{[\text{O III}]}$ relation for typical AGNs (Figure 1–left). Low-mass AGNs with similarly weak X-ray emission (compared to [O III], UV continuum, or broad emission lines) were also found in several type 1 systems with *XMM-Newton* or *Chandra* observations (e.g., Dong et al. 2012, Baldassare et al. 2017, Plotkin et al. 2016, Simmonds et al. 2016, also see Figure 1–left). Many of these previous observations have very limited X-ray counts that prohibit even basic hardness-ratio spectral shape analysis.

A *Spitzer*/IRS sample of Seyfert 2 low-mass AGNs: Although AGNs that are intrinsically X-ray weak do exist, they are mostly found in a rare population of weak emission-line quasars that might be powered by slim-disk super-Eddington accretion (e.g., Wu et al. 2011, 2012, Luo et al. 2015). At higher redshift ($z \sim 1$), X-ray stacking analyses have suggested that star-forming dwarf galaxies host a substantial population of obscured AGNs (Xue et al. 2012, Mezcuca et al. 2015). It is therefore *unlikely* that the

¹We refer to AGNs powered by accretion onto IMBHs as “low-mass” AGNs.

²For low-luminosity Seyfert 2 galaxies, the lack of broad emission lines alone is not conclusive evidence for the presence of obscuration, see Trump et al. (2011); Elitzur et al. (2014) for details.

³*Chandra* ObsID 13969–13974 (Moran 2011), *XMM* ObsID 0740620301 (Schawinski 2014), Thornton et al. (2009), Chen et al. (2017).

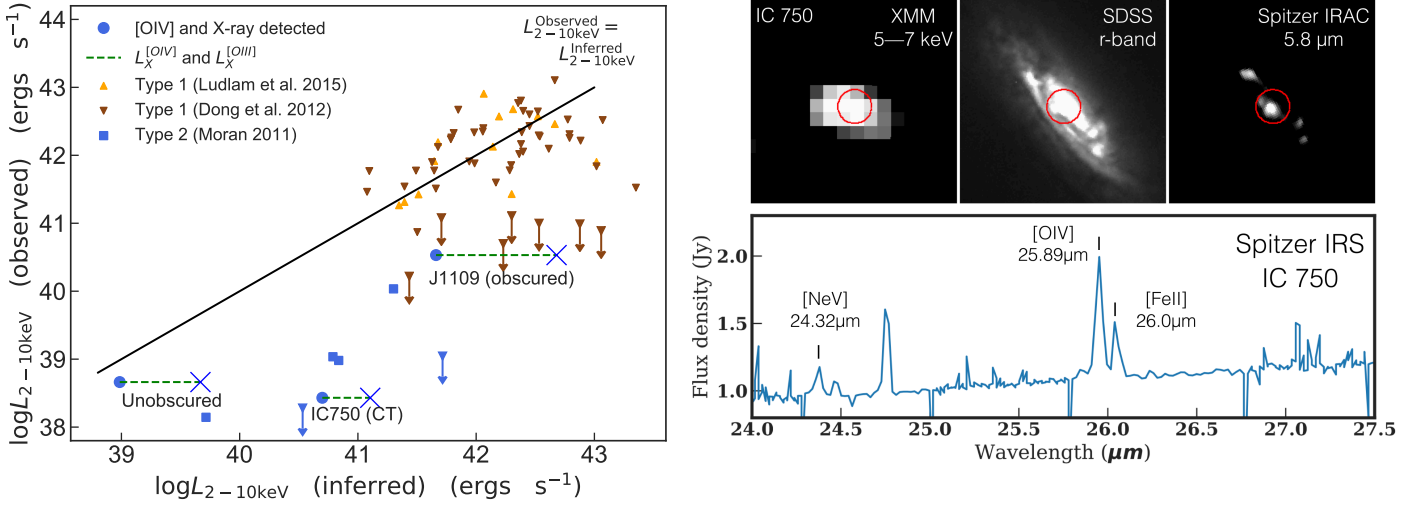


Figure 1 – *Left*: L_X^{Observed} vs. L_X^{Inferred} based on the Panessa et al. (2006) $L_X - L_{[\text{OIII}]}$ relation. Many Seyfert 1 galaxies have $L_X^{\text{Observed}} \sim L_X^{\text{Inferred}}$, but the majority of Seyfert 2 galaxies have very weak L_X^{Observed} compared to L_X^{Inferred} . This may simply be caused by host-galaxy contamination of their $L_{[\text{OIII}]}$. On the other hand, the L_X^{Observed} for three low-mass AGNs with IRS spectra (blue circles, derived based on the Goulding et al. 2010 $L_X - L_{[\text{OIV}]}$ relation) suffers from less host-galaxy contamination than their L_X^{Inferred} (blue crosses). However, the existing sample with both [O IV] and X-ray observations is extremely small, and only two of them are Seyfert 2 galaxies. *Right*: Illustration of the synergy between *XMM-Newton* and *Spitzer* for IC 750 (Chen et al. 2017 and *Spitzer* archival data). The red circles (5'' radius) represent the optical location. For this source, the [O IV] and [Ne V] lines from *Spitzer* IRS provide the unobscured accretion-rate indicator. The high throughput *XMM-Newton* observation yield sufficient source counts in 5–7 keV, revealing the presence of a heavily obscured AGN at the galactic center.

majority of the local low-mass AGNs are either unobscured or intrinsically X-ray weak. The *relatively* weak X-ray emission might simply be caused by the fact that optical emission lines are *not* robust tracers of IMBH accretion rates for low-luminosity obscured AGNs, since they are either susceptible to the presence of intervening dust (e.g., H α and He II 4685 Å) or suffer from severe host-galaxy contamination (e.g., [O III] 5007 Å, see Trump et al. 2015). **For obscured low-mass AGNs, the expected X-ray fluxes derived based on optical emission lines are not reliable.** On the other hand, mid-IR fine-structure lines such as [O IV] 25.89 μm and [Ne V] 14.32, 24.32 μm require an ionizing continuum harder than those of typical optical emission lines and are not sensitive to intervening dust (Meléndez et al. 2008). Mid-IR observations can also trace emission from star-forming gas/dust (e.g., the PAH features) that can be used to better isolate AGN emission, but they cannot provide evidence of the presence of absorbing gas. Therefore, the synergy between *Spitzer* IRS and sensitive X-ray observations from *XMM-Newton* might be the only means for systematically revealing the obscured AGN population powered by IMBHs. To date, only two dwarf Seyfert 2s with detections of mid-IR high-ionization lines have been observed by X-ray facilities, and their X-ray properties suggest that they are indeed X-ray obscured AGNs (see Sec. 4 where the properties of the two objects will be fully presented).⁴ We propose to obtain *XMM-Newton* observations of four low-luminosity Seyfert 2 galaxies hosting IMBH candidates with mid-IR emission-line detections. This will triple the sample size of such systems with both IRS and X-ray measurements, and **establish the first statistically significant sample of obscured low-mass AGNs.**

3 A *Spitzer*/IRS sample of Seyfert 2 low-mass AGNs:

Sample Selection: The proposed four obscured low-mass AGNs are culled from the low-velocity-dispersion Seyfert 2 galaxy sample selected from the SDSS by Barth et al. (2008). Recently, Hood et al. (2017) have studied the *Spitzer* IRS spectra for a subset of 19 galaxies from the Barth et al. (2008) sample. The [O IV] 25.89 μm emission line is robustly detected in eight of the 19 galaxies. The [O IV] 25.89 μm line has a much higher ionization energy and ionization parameter than those of [OIII] 5007 Å (e.g., Meléndez et al. 2008), making it much less affected by host-galaxy contamination. We select the four galaxies with the

⁴J1109 (Thornton et al. 2009) and IC 750 (Chen et al. 2017)

highest [O IV] 25.89 μ m line fluxes for this proposal.

Count rate estimation: All of our proposed targets have a mid-IR spectral index ($\alpha_{20-30\mu\text{m}}$) less than -1 , suggesting small starburst contributions at mid-IR wavelengths (e.g., Deo et al. 2009). Their PAH-inferred star formation rates also indicate that their $L_{[\text{OIV}]}$ have negligible host-galaxy contamination. Therefore, we can reliably estimate the expected L_X using the well-established $L_{[\text{OIV}]} - L_X$ relations (e.g., Meléndez et al. 2008; Goulding et al. 2010; LaMassa et al. 2010). We make use of the [O IV] luminosities calculated based on the *Spitzer* IRS observations (Hood et al. 2017), and the $L_{2-10\text{keV}}^{\text{intrinsic}} - L_{[\text{OIV}]}$ relation reported in Goulding et al. (2010)⁵ to estimate the expected X-ray fluxes. Assuming a simple power-law spectrum with $\Gamma = 1.8$, we created simulated EPIC event files by converting X-ray fluxes to PN and MOS count rates using the CDFS-SIM tool⁶. To ensure the proposed observations will yield robust detections, we conservatively assumed all of our targets have intrinsic $L_{2-10\text{keV}}$ values 1σ lower (by ~ 0.15 dex for the luminosity range of our sample) than the Goulding et al. (2010) relation and are heavily obscured ($N_{\text{H}} = 10^{23.5} \text{ cm}^{-2}$) in addition to Galactic absorption. We create simulations based on a set of exposure maps of real observations with exposure time spanning 10–50 ks. Poissonian backgrounds are also added to the simulated files to mimic real observations. For each target, we set the required exposure time such that we can detect the on-axis simulated source in the 2–10 keV band with 99.9% confidence interval (see Chen et al. 2017b for details for source detection and simulation). Based on the N_{H} distribution of typical Seyfert 2 galaxies (e.g., Merloni et al. 2013), we expect the majority of our proposed targets will only be moderately obscured ($N_{\text{H}} \sim 10^{22} \text{ cm}^{-2}$). We calculate the expected count rates for each source with this moderate obscuration using PIMMS. The estimated count rates for both the conservative and typical cases at the 0.5–2 keV and 2–10 keV bands, along with the basic properties of our sample, are shown in Table 1.

Revealing the X-ray obscured IMBH AGNs: For typical X-ray obscured AGNs (i.e., $N_{\text{H}} = 10^{22-23} \text{ cm}^{-2}$), we expect to have sufficient counts from PN+MOS (> 100 counts from PN alone, based on simulated spectra using PIMMS) that will enable basic X-ray spectral analysis for confirming the column densities. For heavily obscured sources with N_{H} up to $10^{23.5} \text{ cm}^{-2}$, we will combine the X-ray detections by *XMM* as well as photometric and spectroscopic data from SDSS and *Spitzer* to place constraints on the obscuring column density. For even more heavily obscured sources, an AGN with a simple power-law spectrum will not be detected in our proposed observations. However, it is common for extremely heavily obscured AGNs to show features of a Compton reflection and a strong neutral Fe-K fluorescence line at ~ 6.4 keV. We show the 5–7 keV *XMM* image (OBsID 07440301 with 25 ks exposure) of the low-mass Compton-thick AGN candidate identified in Chen et al. (2017a), which implies the presence of a strong Iron K α line. Since IC 750 has [O IV] fluxes and *XMM* exposure time similar to our proposed sample, we expect that a similar Compton-thick candidates harboring strong fluorescence lines can be identified based on the proposed observations, which will also enable future *NuSTAR* or high spatial resolution radio observations to further explore their properties. In the unlikely case that a proposed target is extremely X-ray-weak, the unique *Spitzer*-IRS data will provide strong constraints on the intrinsic X-ray weakness of the source. The confirmation of a significant population of dwarf Seyfert 2s that are also anomalously X-ray weak will provide an important constraint on the IMBH accretion physics and the MBH-galaxy coevolution scenarios for dwarf galaxies. With the synergy between high-ionization mid-IR lines identified using *Spitzer* IRS spectra and the sensitive *XMM-Newton* observations, our proposed sample will enable the first systematic study of obscured low-mass AGNs. This will provide a key step toward understanding the full AGN population powered by IMBHs.

4 Feasibility assessments based on the two existing [O IV] low-mass AGNs

We further assess the feasibility using the two X-ray obscured low-mass AGNs with [O IV] detections. First is J1109 (Thornton et al. 2009). Based on its $L_{[\text{OIV}]} - L_{2-10\text{keV}}$ ratio, this object is expected to be moderately X-ray obscured. Its *XMM-Newton* hardness ratio is consistent with the prediction, suggesting that $L_{[\text{OIV}]}$ is indeed a reliable tracer of the IMBH accretion rate in a low-mass AGN. Second is IC 750, a dwarf galaxy and a Compton-thick AGN candidate (Chen et al. 2017a). The *XMM-Newton* image of IC 750 appears extended likely due to the diffuse thermal X-ray emission from star formation processes, and

⁵Goulding et al. 2010 derived the relation by first converting $L_{2-10\text{keV}}$ to the bolometric luminosity assuming the Marconi et al. 2004 bolometric correction factors. We have taken this into account when deriving the expected $L_{2-10\text{keV}}^{\text{intrinsic}}$ from $L_{[\text{OIV}]}$.

⁶<https://github.com/piero-ranalli/cdfs-sim>

Table 1. Properties of the obscured low-mass AGN targets

Name	Redshift	g mag	M_{BH} ($\log M_{\odot}$)	$L_{[\text{OIV}]}$ ($\log \text{ergs s}^{-1}$)	0.5–2 keV ^a cts ks ⁻¹	2–10 keV ^a cts ks ⁻¹	XMM Exp (ks)
J021405.9–001637.0	0.0374	17.4	5.8	39.2	3.1 (< 0.01)	4.3 (0.9)	30
J091414.3+023801.8	0.0735	18.2	5.9	39.9	3.9 (< 0.01)	5.1 (0.8)	33
J094716.1+534944.9	0.0382	17.7	5.6	39.2	2.8 (< 0.01)	3.9 (0.8)	33
J162917.4+425439.8	0.0354	17.9	5.8	39.4	5.2 (< 0.01)	7.3 (1.5)	24

Note. — Basic properties of our proposed targets. M_{BH} is estimated based on the velocity dispersion measured by Barth et al. (2008) and the Tremaine et al. (2002) $M_{\text{BH}} - \sigma$ relation. ^a : The expected *XMM-Newton* count rates in the 0.5–2 and 2–10 keV bands. These values were estimated based on $L_{[\text{OIV}]}$ and the Goulding et al. (2010) $L_{[\text{OIV}]} - L_{2-10\text{keV}}$ relation, assuming a $\Gamma = 1.8$ power-law spectrum and $N_{\text{H}} = 10^{22} \text{ cm}^{-2}$ column density. The conservative values in parentheses are estimated based on a similar spectrum assuming all of the sources have $L_{2-10\text{keV}}$ values that are 1σ lower than the Goulding et al. (2010) relation with $N_{\text{H}} = 10^{23.5} \text{ cm}^{-2}$.

its X-ray luminosity ($L_{2-10\text{keV}}$) is only $2.7 \times 10^{38} \text{ erg s}^{-1}$. However, the 5–7 keV X-ray image reveals that an X-ray point source is indeed located at the optical centroid of the galaxy (Figure 1–right), which implies the presence of a strong 6.4 keV Iron $K\alpha$ line. The luminous [O IV] and [Ne V] emission lines and the relatively weak star formation lines provide strong evidence supporting the presence of an AGN in IC 750, demonstrating that the synergy of *Spitzer* and *XMM-Newton* can reveal the presence of heavily obscured AGN in dwarf galaxies. Notably, the large difference between $L_{2-10\text{keV}}$ and $L_{2-10\text{keV}}^{[\text{OIV}]}$ suggests the presence of Compton-thick obscuring material, which is supported by the *NuSTAR* detection of this source (Chen et al. 2017a), but *NuSTAR* do not have sufficient sensitivity and spatial resolution at $< 10 \text{ keV}$ for confirming the location of this object and for isolating the AGN from the diffuse thermal emission. Sensitive *XMM-Newton* observations are essential for identifying low-mass Compton-thick AGN candidates such as IC 750. Neither of the two X-ray obscured low-mass AGNs discussed here are found to be “intrinsically X-ray weak” as suggested by the large difference between their L_{X} and [O III] luminosity shown in Figure 1–left, suggesting that our IRS-characterized sources are indeed an ideal sample for studying obscured low-mass AGNs.

Why *XMM-Newton*: *XMM-Newton* has higher throughput than Chandra, especially at the high energies, which is critical for detecting obscured emission from low-mass AGNs.

5 Most relevant proposer’s publications

Chen, C.-T. et al. 2017, ApJ, 837, 48: Hard X-ray selected AGNs in low-mass galaxies from the *NuSTAR* serendipitous survey.

Chen, C.-T. et al. 2017, in preparation: The XMM-SERVS Survey: first results in the 5 deg² XMM-LSS region

References: • Baldassare et al., 2017ApJ...836...20B • Barth et al., 2008AJ....136.1179B • Bellovary et al., 2011ApJ...742...13B • Brandt & Alexander, 2015A&ARv..23....1B • Chen et al., 2017, 2017ApJ...837...48C • Darling, 2014cxo..prop.4410D • Deo et al., 2009ApJ...705...14D • Dong et al., 2012ApJ...761...73D • Elitzur et al., 2014MNRAS.438.3340E • Goulding et al., 2010MNRAS.406..597G • Greene & Ho 2007ApJ...670...92G • Greene 2012NatCo...3E1304G • Hood et al., 2017, ApJ in press • LaMassa et al., 2010ApJ...720..786L • Ludlam et al., 2015MNRAS.447.2112L • Mezcua et al., 2015arXiv151105844M • Meléndez et al., 2008ApJ...682...94M • Merloni et al., 2014MNRAS.437.3550M • Moran, E., 2011cxo..prop.3434M, 2014AJ....148..136M • Panessa et al., 2006A&A...455..173P • Plotkin et al., 2016ApJ...825..139P • Reines et al., 2013ApJ...775..116R • Reines & Comastri, 2016arXiv160903562R • Simmonds et al., 2016AA...596A..64S • Thornton et al., 2009ApJ...705.1196T • Tremaine et al., 2002ApJ...574..740T • Trump et al., 2011ApJ...733...60T, 2015ApJ...811...26T • Volonteri 2010A&ARv..18..279V • Xue et al., 2012ApJ...758..129X