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This is the abstract part of the paper...

1. Introduction

Collisionless shock waves are a topic of considerable interest in space and laboratory plasma physics due to their ability to efficiently energize and/or accelerate charged particles. Energy dissipation mechanisms in collisionless shocks have been theorized about since the prediction of their existence [Kellogg, 1962]. The possible mechanisms include dispersion [Mellott and Greenstadt, 1984], anomalous resistivity due to wave-particle interactions [Kennel *et al.*, 1982], and an anomalous viscosity due to ion reflection [Thomsen *et al.*, 1985a]. Ion reflection occurs when a shock has a Mach number that exceeds some theoretical critical Mach number (M_{cr}) above which the shock can no longer dissipate enough energy through resistive or dispersive effects to remain stable [Edmiston and Kennel, 1984; Kennel, 1987]. We will not focus on dispersive effects in this paper.

The terrestrial bow shock has received a great deal more attention [Bale *et al.*, 1997, 1998a, 2002a] than the usually lower Mach number interplanetary (IP) shocks observed near 1 AU [Fitzenreiter *et al.*, 2003; Gurnett *et al.*, 1979a; Wilson III *et al.*, 2007]. Particle heating was studied by Thomsen *et al.* [1985a] at 10 low Mach ($M_f < 2.5$) bow shock crossings finding strong perpendicular ion heating ($\Delta T_{\perp i} \geq 6$), roughly adiabatic (and semi-isotropic) electron heating ($\Delta T_{\perp, ||e} \sim 2-5$), and relatively little parallel ion heating ($\Delta T_{||i} \leq 2$). $\Delta T_{\perp i}$ was found to greatly exceed the electron heating and adiabatic estimates. They concluded that the observed ion heating was probably due to a modified two-stream instability (MTSI) and possibly field-aligned electron beam driven ion-acoustic waves (IAWs).

Wilson III *et al.* [2007] studied a set of 67 IP shocks using waveform capture data from the Wind spacecraft. They found that the peak-to-peak amplitude of the largest wave observed in the shock ramp or transition region increased with increasing Mach number and the shock compression ratio. They also found that the probability of observing large amplitude (≥ 5 mV/m peak-to-peak) ion-acoustic waves (IAWs) approached unity in the ramp region when normalized by time.

Gosling *et al.* [1982]; Paschmann *et al.* [1982]; Meziane and D'Uston [1998]; Thomsen *et al.* [1983a, 1985b] studied gyrating and specularly reflected ions upstream of the terrestrial bow shock. Gosling *et al.* [1984] examined suprathermal ions upstream of IP shocks. Gosling *et al.* [1989a] examined suprathermal electrons upstream of the bow shock. They suggest SDA should produce perpendicular anisotropies in the shock layer. They also mention an anti-correlation between diffuse ions and suprathermal

electron distributions, but this anti-correlation breaks down further into the magnetosheath near the magnetopause. The suprathermal electrons are observed first (upstream to downstream) in the foot as a FA-beam escaping upstream. Suprathermal electrons can contribute significantly to downstream total electron temperature.

Bipolar electrostatic (ES) electric field signatures with Debye scale-lengths parallel to the background magnetic field have been shown to be associated with electron beams [Ergun *et al.*, 1998a]. Bale *et al.* [2002a] examined solitary waves near the terrestrial bow shock finding the structures to consistent with BGK electron phase space holes. They surmised the free energy source to be the cross-shock potential driven beam mode which would nonlinearly evolve into electron holes. The bipolar electric field structures have been seen at the Earth's geomagnetic tail near the plasma sheet boundary layer [Cattell *et al.*, 2005; Ergun *et al.*, 1998b], the magnetopause [Cattell *et al.*, 2002a, 2003], the terrestrial bow shock [Bale *et al.*, 2002a; Cattell *et al.*, 2003], and at an IP shocks near ~ 1 AU [Wilson III *et al.*, 2007] and ~ 8.7 AU [Williams *et al.*, 2005]. All the observations outside the auroral acceleration region have been consistent with electron, not ion, holes. We will refer to these structures as solitary waves.

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- Shimada and Hoshino [2000] examined electron acceleration at high Mach number shock waves using a PIC simulation with $M_1/m_e = 20$. They found that the interaction between incident electrons and reflected ions, the BI, resulted electron holes and roughly 25-35% of the incident bulk flow energy is converted into electron thermal energy. They found the energy exchange between electrons and ions enhanced the local bipolar field of the electron holes leading to stronger electron thermalization as the Mach number increased.
- Drake et al. [2003] performed full 3D PIC simulations with $M_1/m_e = 100$ to explore self-consistently the development of current-driven instabilities and anomalous resistivity. The study found that lower hybrid waves modulated the spacing of electron phase space holes.
- Matsukiyo and Scholer [2006b] used a 2D PIC simulation with a realistic mass ratio to examine microinstabilities in the foot region of a supercritical shock (perpendicular). The dynamics of the shock foot evolved through the following steps:
1. The interaction between incident ions, electrons, and reflected ions lead to two different MTISs, initially linear in growth.
 2. In the linear growth phase, an electron cyclotron drift instability (ECDI) is excited by a BI which leads to perpendicular electron heating.
 3. The perpendicular temperature anisotropy can give rise to a whistler instability (WI) and a double peaked electron distribution produced by electron holes can give rise to an electron acoustic instability (EAI). Both the WI and the EAI can contribute to parallel electron heating. They found the parallel energy gain to be much greater than the free energy available from the temperature anisotropy, thus they concluded the parallel electron heating was due to the EAI.
 4. Due to the higher saturation levels of the two MTISs, they become dominant after some delay.
 5. The first MTSI, MTSI-1, which results from the interaction of the incident ions and electrons, is largely ES propagating roughly perpendicular to the magnetic field and primarily heats the incident ions which dominates the ion thermalization. However, MTSI-1 does not contribute much to electron thermalization and eventually leads to well defined ion phase space holes.
 6. The second MTSI, MTSI-2, which results from the interaction of the reflected ions and electrons decelerated by MTSI-1, leads to large electron holes. The electron holes scatter and thermalize the electrons leading to a double peaked distribution, unstable to the EAI.
 7. Thus two different two-step heating processes occur: 1) MTSI-2 \rightarrow large electron holes \rightarrow double peaked electron distributions \rightarrow EAI \rightarrow strong parallel electron heating and 2) ECDI \rightarrow perpendicularly heats the electrons \rightarrow WI \rightarrow parallel heating to reduce the anisotropy in temperature.
- Regardless, the increase in electron temperature is substantial with $T_{final,e}/T_{initial,e} \sim 5$. Shimada and Hoshino [2004] found electron phase-space holes to live longer and grow to larger amplitudes in more weakly magnetized plasmas due to a nonlinear evolution of the BI between reflected ions and incident electrons. They found the electron holes heat the electrons giving rise to IAWs which further heat the plasma.
- Shimada and Hoshino [2005] studied the effects of strong thermalization on the dynamics of shock behavior above the critical Mach number. They also found the strong thermalization to result from a two stream instabilities between the incident electrons and reflected and/or incident ions. The ion distributions in the foot region were seen as diffuse and found to result from a nonlinear evolution of IAWs due to the interaction between incident ions and decelerated electrons.
- Dyrud and Oppenheim [2006] examined electron holes generated by electron beams in simulations finding the holes to reduce the electron driven currents, thus a parallel resistivity. The electron holes scatter the beam, steepening the beam distribution, causing IAWs to grow. Then the IAWs cause strong perpendicular ion heating.

2. Theory and Discussion

Shimada and Hoshino [2003] examined electron-ion coupling dynamics in the shock transition region using a 1D PIC simulation where they found a relationship between upstream parameters and the magnitude of the electrostatic (ES) amplitude of the electric field of an electron hole excited by the Buneman instability (BI) between the incident electrons and reflected ions. They estimate the electric field of the electron holes to have an amplitude of roughly:

$$\frac{\delta E_x}{E_{y0}} = 2 \frac{c}{V_A} \sqrt{\alpha \frac{m_e}{M_i}} \quad (1)$$

where α is a conversion ratio from the drift energy between the inflow electron and reflected ion (assumed to be $\sim 0.25 \sim (m_e/M_i)^{1/3}$), V_A is the Alfvén speed, E_{y0} is the upstream motional electric field ($= u_o/c B_o$), and M_i and m_e are the ion and electron masses, respectively. The upstream plasma parameters for the 04/06/2000 event are: $V_A = 64.81 \pm 10.17$ km/s, $u_o = 278.10 \pm 8.30$ km/s, and $B_o = 6.847 \pm 1.109$ nT. Thus, $E_{y0} \sim 2$ mV/m $\ll \delta E_x \sim 150$ mV/m for the solitary waves observed in this study. Note that the RHS of Equation 1 equals ~ 50 , which is slightly less than the ratio of $\delta E_x/E_{y0}$. However, they found that α could be as high as ~ 0.37 which adjusts the RHS of Equation 1 to ~ 65 , much closer to our observed ratio of ~ 75 .

Acknowledgments. Here we put our acknowledgments...

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