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1 ***IN- SITU* INFRARED MEASUREMENTS OF FREE-FLYING SILICATE**

2 **DURING CONDENSATION IN THE LABORATORY**

3

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5

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13

1 Abstract

2 We developed a new experimental system for infrared (IR) measurements on free-flying
3 nucleating nanoparticles *in situ*, and applied it to studies on silicate particles. We
4 monitored the condensation of magnesium-bearing silicate nanoparticles from thermally
5 evaporated magnesium and silicon monoxide vapor under an atmosphere of oxygen and
6 argon. The IR spectrum of newly condensed particles showed a spectral feature for
7 non-crystalline magnesium-bearing silicate that is remarkably consistent with the IR
8 spectrum of astronomically observed non-crystalline silicate around oxygen-rich
9 evolved stars. The silicate crystallized at <500 K and eventually developed a high
10 crystallinity. Because of the size effects of nanoparticles, the silicate would be expected
11 to be like a liquid, at least during the initial stages of nucleation and growth. Our
12 experimental results therefore suggest decreasing possible formation temperature of
13 crystalline silicates in dust formation environments with relatively higher pressure.

14

15 KEYWORDS: dust; infrared: stars; methods: laboratory: molecular; methods:

16 laboratory: solid state

1 1. INTRODUCTION

2 Silicate dust is one of the most abundant minerals in the universe, and is widely
3 distributing in shells around evolved stars (Waters et al., 1996; Molster et al., 2002;
4 Jones, et al., 2012), disks around young stars (Bouwman et al., 2001, van Boekel et
5 al.,2005, Honda et al. 2006), comets (Hanner et al., 1994, Watanabe et al., 2009), and so
6 on. The 10- μm band feature with a wavelength range of 8 μm to 12.5 μm , arising from
7 Si–O stretching vibrations, holds information on unrevealed evolutionary processes of
8 silicate dust. Data from the Infrared Space Observatory mission revealed the existence
9 of crystalline silicates around evolved stars from the profile of their IR band features,
10 which was mainly attributed to amorphous silicate with contributions from various
11 amounts of crystalline silicate. Molster & Kemper (2005) concluded that 10–15 % of
12 crystalline silicates are present in the outflows of asymptotic giant branch (AGB) stars
13 with high mass-loss rates.

14 Numerous laboratory experiments aimed at reproducing the observed spectra by
15 direct condensation (e.g., Tsuchiyama 1998; Kimura et al., 2009) or by annealing of
16 amorphous silicates (e.g. Hallenbeck et al., 2000; Murata et al., 2009; Kimura et al.,
17 2011a) have produced IR spectra with variations caused by various factors, including
18 crystallinity, chemical composition, temperature, size, and shape. However, in the case

1 of transmittance IR spectra, candidate particles are dispersed in a KBr medium that has
2 destructive effects on the polarization of the particles (called the “medium effect”), and
3 the agglomeration of particles leads to diversification in some IR band features, such as
4 the peak position, full-width of half maximum (FWHM), and relative intensity (Bohren
5 & Huffman 1983). Some studies have predicted a diversification in the 10- μ m band
6 structure of Mg-bearing silicates in KBr media by means of calculation (Jäger et al.,
7 1998; Fabian et al., 2001; Koike et al., 2010). Recently, attempts have been made to
8 extract more-detailed information, such as the magnesium–iron ratio and the
9 temperature of silicate particles, from the fine structure of the IR features (Fabian et al.,
10 2001). In these cases, the effects of the medium in which the spectra are recorded must
11 be eliminated to permit direct comparison with astronomical observations. We have
12 therefore developed a new experimental system to permit recording of transmittance IR
13 spectra of nanoparticles *in-situ* during nucleation and growth of model dust particles
14 without the embedding effects of KBr; we named this system the Free-flying In-situ
15 infrared measurement of Nucleating nanoparticle Experimental (FINE) system. To
16 investigate the formation process of silicates around evolved stars, we monitored the IR
17 spectra of silicate nanoparticles formed by homogeneous nucleation from a thermally
18 evaporated hot vapor by using our FINE system, and directly compared the

1 laboratory-generated spectra with astronomical spectra.

2

3 2. EXPERIMENTAL PROCEDURE

4 Silicate particles were produced in a specially designed vacuum chamber attached
5 to a Fourier-transform IR (FT-IR) spectrometer (Fig. 1). The original chamber was made
6 of stainless steel with two windows to provide an optical path for FT-IR consisting of
7 KRS5 (thallium bromoiodide), which has a high transmittance in the mid-IR region and
8 shows no cleavage. The inner diameter of the chamber was 9 cm, and the height of the
9 chamber where the dust-model nanoparticles were produced was 20 cm. The cylinder of
10 the chamber was connected to a turbo molecular pump (50 L/s) to permit evacuation.
11 When the pressure in the chamber had fallen to below 1×10^{-4} Pa, the gate valve was
12 closed and high-purity O₂ (99.9%) and Ar (99.9999%) were injected. Initially, the
13 pressure was raised to $3.0 \pm 0.5 \times 10^2$ Pa with O₂ gas, and then it was raised to a total
14 pressure of 1.0×10^4 Pa with Ar. The gas pressure was measured by means of a
15 capacitance manometer (ULVAC, GM-1000). The evaporation source was a V-shaped
16 Ta boat (30 mm in length, 5 mm in width, and 0.03 mm in thickness, with a purity of
17 99.95%); this was connected to Cu electrodes to permit rapid electrical-resistance
18 heating to 2200 ± 200 K. The source temperature was monitored by using a radiation

1 thermometer ($\lambda = 0.8\text{--}1.6\ \mu\text{m}$; FTZ2, Japan Sensor Co). Several tens milligram of Mg
2 (99.9% pure) and SiO powder (99.95% pure) on the evaporation source were thermally
3 evaporated. The resulting gas flowed upward due to thermal convection generated by
4 the evaporation source and then it cooled to induce homogeneous nucleation of
5 nanoparticles, which became visible as a smoke. An optical path for FT-IR just above
6 the evaporation source permitted measurement of the IR spectra of the nascent
7 condensate. A series of experiments were carried out under the regulated atmosphere
8 while the height of the measurement position above the evaporation source was changed
9 from 1 cm to 4, 6, 8 and 10 cm. The diameter of the IR beam was 2 cm at the
10 measurement point. The resolution of the FT-IR spectrometer was $2\ \text{cm}^{-1}$. The flowing
11 nanoparticles were captured by a collector fixed 10.5 or 18 cm above the evaporation
12 source for the measurement at 1-8 cm or 10 cm, respectively, from the evaporation
13 source. The collected particles were picked up by an amorphous thin film of carbon
14 mounted on a standard copper grid for transmission electron microscopy (TEM). The
15 produced particles were observed by TEM (Hitachi H-8100 or JEOL JEM-2100F) at an
16 acceleration voltage of 200 kV. Particles from the collecting holder were agitated with
17 KBr powder, which was used to prepare pellets by the conventional method for
18 subsequent FT-IR observation.

1

2 3. RESULTS

3 We analyzed the metamorphosis of the Mg-bearing silicate particles by studying
4 the 10- μm band in their IR spectra. Figure 2 shows typical 10- μm -band IR spectra of
5 Mg-bearing silicate particles obtained by the FINE system at various heights above the
6 evaporation source, which was heated to 2200 ± 200 K. The 10- μm band obtained at
7 observation heights of 1 and 4 cm has a broad feature at 9.7 μm , attributed to
8 amorphous silicate with a Mg-rich composition. On the other hand, the spectra recorded
9 at 6, 8 and 10 cm showed double-peak crystalline features, typical of forsterite. The
10 left-hand band starting at about 9.7 μm was named the shorter-wavelength band, and the
11 right-hand band arising at about 10.8–10.9 μm was named the longer-wavelength band.
12 After the experiments, the produced particles were embedded in KBr pellets, and their
13 IR spectra were recorded (Fig. 3); their size, shape, and crystalline structure were also
14 determined by means of TEM (Fig. 4). The TEM analysis showed the presence of
15 spherical particles with a diameter of 30–150 nm, together with a minor fraction of
16 small cubic particles. The mean diameter of the spherical particles was 90.3 nm.
17 Electron-diffraction patterns of the spherical and cubic particles were consistent with
18 those of forsterite and MgO, respectively [Fig. 4(b)]. Although electron-beam

1 irradiation during the TEM observations induced deposition of contaminants and
2 damage to the particles, as shown in Fig. 4(a), the alteration of the external shape of the
3 particles was negligible, and the electron-diffraction patterns contain structural
4 information on the nascent particle, because these were obtained before the bright-field
5 image was recorded.

6

7 4. EFFECTS OF EMBEDDING IN POTASSIUM BROMIDE

8 Figure 3 shows the infrared spectrum of the Mg-bearing silicate nanoparticles
9 obtained by the FINE system at a recording point 10 cm above the evaporation source
10 together with the corresponding spectrum of the sample which was collected at 10.5 cm
11 embedded in a KBr pellet. IR band features such as the peak wavelength, FWHM, and
12 relative intensity for the collected nanoparticles embedded in KBr differed from those of
13 the free-flying Mg-bearing silicate nanoparticles. The wavelengths of both the
14 longer-wavelength and shorter-wavelength peaks were shifted by about 0.1 μm toward a
15 longer wavelength after embedding in the KBr medium. This shift in the peak positions
16 had been predicted by theoretical calculations using optical constants obtained from
17 reflectance spectra (Fabian et al., 2001; Koike et al., 2010). Our new method succeeded
18 in confirming that a shift in peak positions does indeed occur in the conventional

1 method using KBr pellets; Tamanai et al. (2006) have also demonstrated a shift in peak
2 position to a longer wavelength as a result of a medium effect by using an aerosol
3 technique with micrometer-sized forsterite particles having elliptical and irregular
4 shapes. Our spherical nanoparticles showed the longer wavelength band with a peak at
5 10.8–10.9 μm , which is the first report for spherical nanoparticles and is consistent with
6 the spectrum predicted by theoretical calculations (Fabian et al., 2001; Koike et al.,
7 2010). The position of the peak of the longer wavelength band is more sensitive to
8 chemical composition and is therefore a significant indicator of the concentration of iron
9 (Fabian et al., 2001). To estimate the concentration of iron in silicate dust particles from
10 astronomical spectra, a shift of $\sim 0.1 \mu\text{m}$ is taken as corresponding to about a 25%
11 addition of iron instead of magnesium (Fabian et al., 2001). We will record the
12 free-flying IR spectra of iron-containing silicate (i.e., olivine) in future work and discuss
13 carriers for iron in astronomical environments.

14

15 5. NUCLEATION AND GROWTH PROCESSES OF SILICATE PARTICLES

16 The relative intensity of the forsterite double bands at shorter and longer
17 wavelengths varies with the annealing temperature of the amorphous silicate and it
18 depends on the degree of crystallinity (Hallenbeck et al., 2000; Koike et al., 2010).

1 Forsterite samples annealed at higher temperatures, and therefore having higher degrees
2 of crystallization, show more-intense longer-wavelength bands. This previously
3 identified difference in the relative intensities of the peaks as a result of a difference in
4 crystallinity can be applied to this study and illustrated our experiments. Newly
5 condensed particles are carried upward by thermal convection, and subsequently
6 crystallize gradually, as shown in Fig. 2. In particular, a sudden crystallization was
7 observed at a height of between 6 and 10 cm [between Fig. 2(c) and Fig. 2(e)]. We
8 evaluated the amount of crystalline forsterite that was present by fitting the measured
9 spectra at each height from the evaporation source to spectra of amorphous silicate (Min
10 et al., 2007) and crystalline silicate (Fabian et al., 2001), on the assumption that
11 amorphous silicate and crystalline silicate were individually present. Spectral fitting
12 revealed only <1% of crystalline silicate was present at 1–6 cm, as much as ~10% of
13 crystalline silicate was present at 8 cm above the evaporation source, and more than
14 20 % at 10 cm. Lower crystallinity compared with the physical appearance of the
15 crystalline feature is a result of significant difference in mass absorption coefficients
16 between amorphous ($2200 \text{ cm}^2 \text{ g}^{-1}$) and crystalline ($13000 \text{ cm}^2 \text{ g}^{-1}$). But we can see
17 crystallization proceeding efficiently at 6-10 cm region.

18 There are at least four possibilities to explain the increase of crystallinity shown by

1 the IR feature: direct nucleation of forsterite from residual vapor, oxidation of nuclei,
2 annealing of amorphous particles and secondary nucleation from molten particles.

3 First, direct nucleation of forsterite particles from residual vapor is unfavorable.
4 Condensation of silicates was confirmed within 1 cm above the evaporation source at
5 significantly high supersaturation. In that case, generally, evaporated vapor can be
6 exhausted by nuclei immediately due to very high growth rate compared with the
7 convection velocity of the rising vapor (10-15 cm/s) and then the partial pressure of the
8 remaining evaporant is negligible due to very low equilibrium vapor pressure (Kimura
9 et al. 2011c). Therefore, additional condensation to form new particles does not occur
10 above 1 cm, i.e., there is no possibility of direct condensation of crystalline silicate at
11 6-10 cm.

12 Secondly, we discuss oxidation of Mg and SiO used as starting material into MgO
13 and SiO₂ and its effects on crystallization. When experimental powders of Mg and SiO
14 evaporate, these molecules are oxidized by surrounding O₂ atmosphere during
15 nucleation. Though equilibrium vapor pressure of Mg metal at the source temperature of
16 2200 K is significantly higher (10^7 Pa in order of magnitude) than partial pressure of O₂
17 (3.0×10^2 Pa), However, Mg powder may evaporate in thermally disequilibrium.
18 Rapidly evaporated Mg vapors will be oxidized by fresh oxygen supplied by thermal

1 convection from the bottom of the evaporation source. We can find no significant
2 increase of relative intensity at 17 μm band caused by Mg-O to the 10 μm band caused
3 by Si-O from 1 cm to 10 cm in Fig. 2. In addition, there are no magnesium metal
4 particles during TEM observation and the morphology of MgO particles produced as a
5 byproduct was completely cubic, which is characteristic shape of a particle with
6 NaCl-type structure, suggesting direct nucleation of MgO from vapor. If Mg particles
7 oxidize during convection, the morphology will be flower like and excess of 17 μm
8 band will appear as height increases. According to Hallenbeck et al., (2000), peak
9 wavelength attributable to Si-O stretching mode in a silicate shifts from 9.3 μm to 9.7
10 μm after sufficient reduction/oxidation reaction in an annealing process. In present study,
11 corresponding peak wavelength measured at 1 cm from the evaporation source at 9.7
12 μm indicates that oxidation is almost completed at gas phase or just after nucleation.
13 Therefore, it seems that oxidation has almost completed at 1 cm from the evaporation
14 source. If the composition of just nucleated particles is insufficient in oxygen from
15 forsterite composition (Mg_2SiO_4), it can be oxidized in the convection, but not only
16 higher than 6 cm but also in 1-6 cm above the evaporation source. Though we cannot
17 completely exclude the possibility that oxidation induces the crystallization in 500 K
18 atmosphere, the effect will not be significant.

1 Thirdly, amorphous particles might be able to crystallize by thermal annealing. The
2 atmospheric temperature at various distances from an evaporation source at various
3 temperatures under a total pressure of about 1.0×10^4 Pa has already been reported
4 (Kaito 1991; Kaito 2006; Kimura et al., 2011b). Figure 5 shows a summary of the
5 temperature distribution as a distance from the evaporation source. The temperature of
6 the particles can be regarded as identical to that of the gas, because the cooling rate of
7 the particles is two orders of magnitudes faster than that of the gas (Appendix 1).
8 Therefore, the crystallization temperature at 6–10 cm above the evaporation source can
9 be estimated to be about 500 K or less. The temperature of crystallization of amorphous
10 Mg-bearing silicate to form forsterite is more than 500 K lower than that for
11 crystallization by thermal annealing [~ 1000 K; Hallenbeck (2000) Koike et al. (2010)].
12 On the KBr methods, the IR spectra of the samples collected from 10.5 and 18 cm
13 above the evaporation source did not show significant difference in the relative intensity
14 between the double bands of forsterite. Therefore, further crystallization of the samples
15 is insignificant after 10 cm and the radiation heating from the hot evaporation source
16 can also be negligible because of relatively short experimental duration. From this
17 estimation, we conclude that significant crystallization occurred at around 6–10 cm
18 during free-flying in our experiments without thermal heating.

1 Fourthly, secondary nucleation from molten particles will be discussed. Metastable
2 particles preferentially nucleate prior than stable crystalline phase, such as liquid
3 droplets or amorphous structures, because of the advantage of the lower surface free
4 energy of metastable phases than that of crystalline phase; this preference is known as
5 Ostwald's step rule (Ostwald, 1897). Nagashima et al. (2006) reported that
6 crystallization from a free-flying melt with ~1 mm in diameter of forsterite composition
7 is difficult to occur compared to that from a forsterite melt in a crucible, which provides
8 its surface as a nucleation site of crystals, and was observed at a supercooling of $\Delta T =$
9 1000 K. The condensed warmed particles in our experiment cooled and crystallized in a
10 similar manner to crystallization from a free-flying melt with a forsterite composition.
11 The activation energy of crystallization from a silicate droplet ($E_{liq/k} = 23000$ K) is
12 significantly lower than that from the amorphous material ($E_{amo/k} = 39000$ K; Tanaka et
13 al., 2008; Tanaka et al., 2010). These results suggest that our sample underwent
14 crystallization from the melt rather than annealing of amorphous condensates. In the
15 initial stages of nucleation, each nucleus consists of a countable number of molecules.
16 Then, the melting temperature is significantly lower than that of the bulk material (Lee
17 et al., 2009). In addition, the molecules in nanoparticles diffuse much faster in their
18 body than those in the bulk material (e.g., Yasuda et al., 1992). These characteristic

1 phenomena in nano-scale can regard particles being droplets. In consequence, we
2 suggest that low temperature crystallization occurred from supercooled liquid droplets
3 and was enabled by considerably reduced activation energy for crystallization in nano
4 droplets.

5

6 6. ASTRONOMICAL IMPLICATIONS

7 Normalized IR spectra of typical AGB stars with a silicate 10- μm feature (Speck et
8 al., 2000) are compared with our result in Fig. 6. The IR spectrum of the initial
9 condensates before crystallization [Fig. 2(a)] reproduces the features of the “classical”
10 narrowest silicate feature observed around evolved stars at 9.7 μm , including the peak
11 position and the FWHM.

12 The astronomically observed feature at 9.7 μm arising from warm non-crystalline
13 silicate is reproduced simultaneously by nanometer-sized particles in our experiment.
14 Size effects of nanoparticles lead to nucleation as liquid droplets in our experiment.
15 Nuclei of silicate should therefore be considered as a molten rather than an amorphous
16 material at least in our experimental condition. In particular, nucleation as liquid
17 droplets is significant for the crystallization. This result gives us a brand new picture of
18 silicate crystallization from nanodroplet, which might be occurred in relatively higher

1 vapor pressure environment in dust formation region.

2

3 7. CONCLUSIONS

4 We have investigated a new, in-situ, IR technique for performing measurements
5 on free-flying nucleating nanoparticles, which we named the *Free-flying In-situ infrared*
6 *measurement of Nucleating nanoparticles Experimental (FINE)* system. This technique
7 is free of KBr-embedding effects, and therefore permits direct comparisons to be made
8 with astronomical observations. By using the FINE system, we were able to monitor the
9 nucleation and subsequent growth of silicate nanoparticles *in situ*. These studies showed
10 that size effects of nanoparticles lead to nucleation as droplets and subsequent
11 crystallization at a relatively low temperature (<500 K) in our experiments. The 9.7- μm
12 feature of astronomical silicate was well reproduced by the FINE system.

13

14 ACKNOWLEDGMENTS

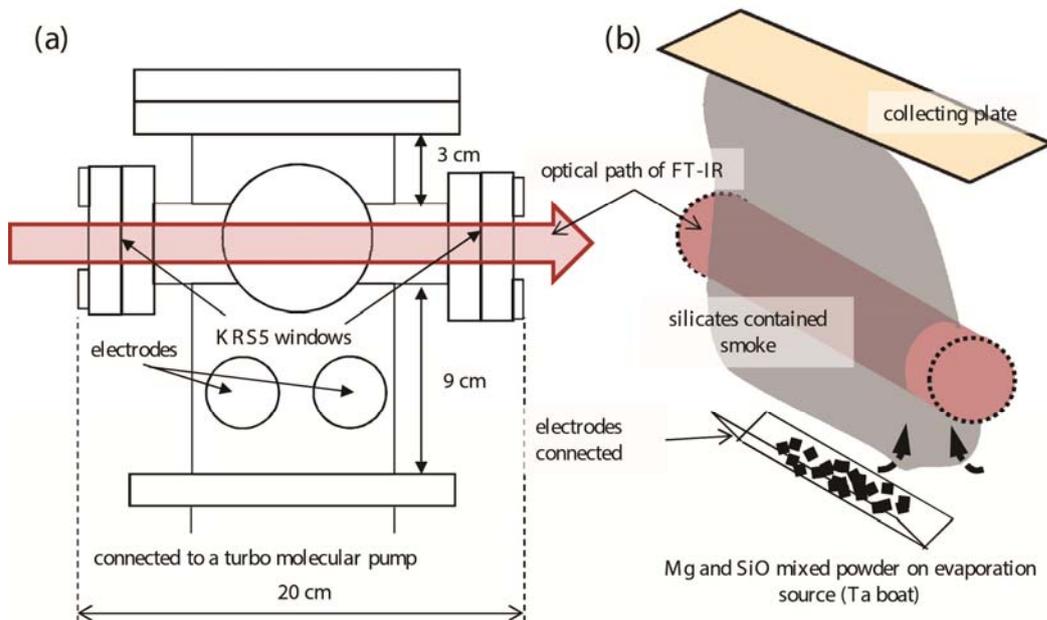
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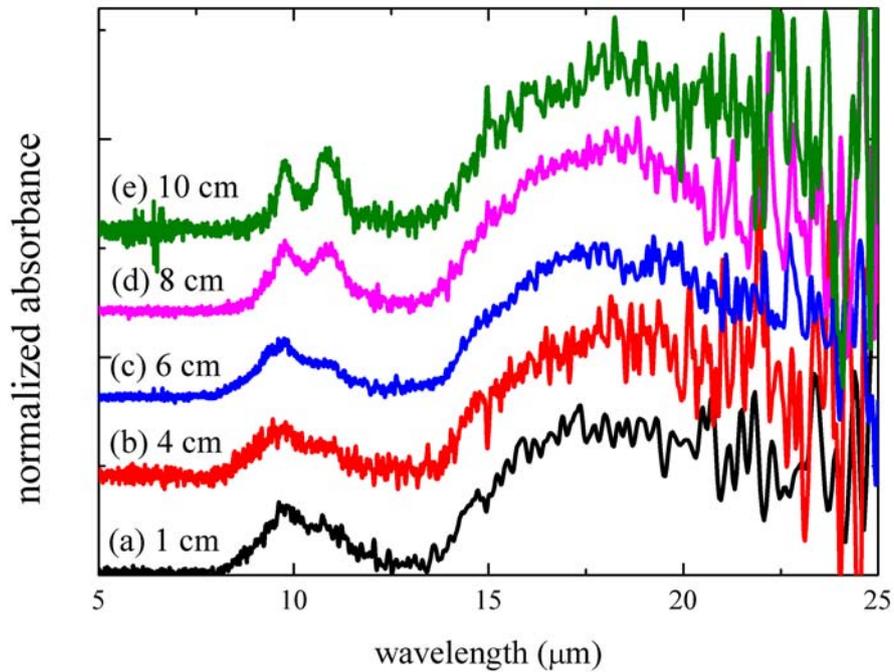


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2 Figure 1. Schematics showing the FINE system. (a) Outside view of the chamber, the
 3 bottom of which is connected to a high-vacuum pumping system for evacuation. The
 4 large arrow shows the optical path for FT-IR. (b) Inside image during experiments. The
 5 gray area indicates the smoke consisting of nanoparticles. The dotted arrows show gas
 6 convection generated by the hot evaporation source, a V-shaped tantalum plate. The
 7 collecting holder is located 10.5 cm above the evaporation source.

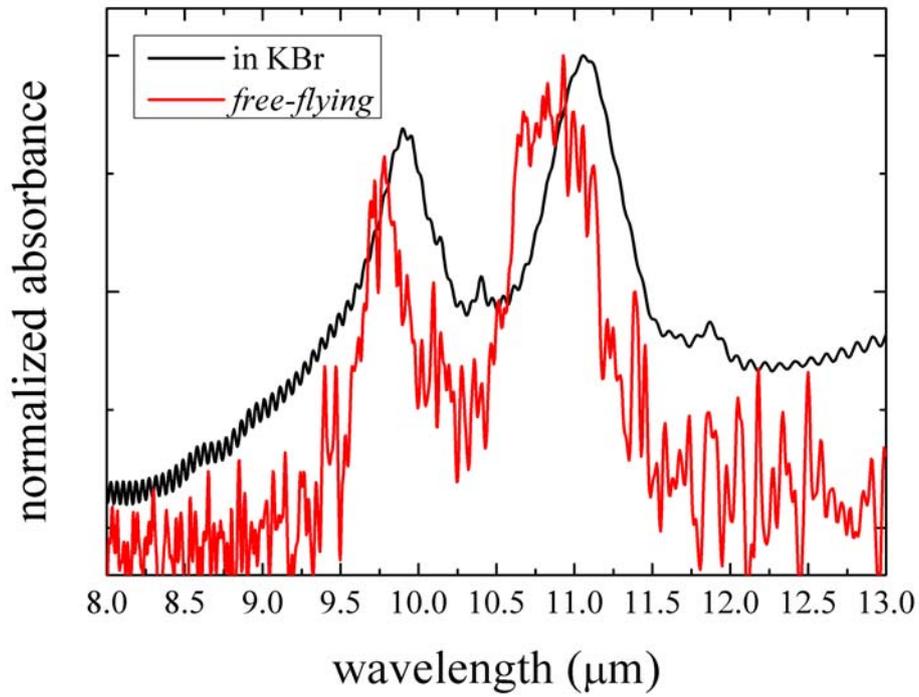
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 2 Figure 2. Representative spectra recorded at various heights above the source,
 3 maintained at 2200 ± 200 K, are shown. Normalized spectra (from the bottom to the
 4 top) correspond to measurements taken at 1, 4, 6, 8 and 10 cm, respectively, over the
 5 range of wavelengths from 5 to 25 μm . The 10- μm feature and the 17- μm feature are
 6 attributable to silicates and MgO, respectively. The lower S/N ratios at wavelengths
 7 longer than 20 μm are the result of lower sensitivity of the detector.

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Figure 3. FT-IR spectra of free-flying silicate nanoparticles at 10 cm from the

3

evaporation source (red line) and of collected silicate nanoparticles deposited on a

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collecting holder fixed 10.5 cm above the evaporation source and subsequently

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embedded in a KBr pellet (black line). The peak wavelength and width were altered as a

6

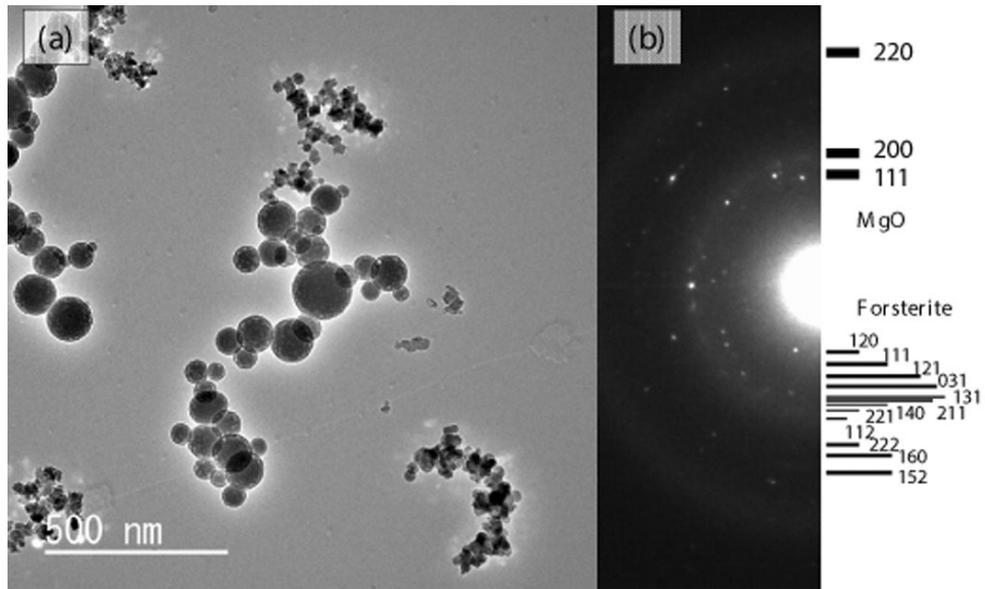
result of embedding in KBr.

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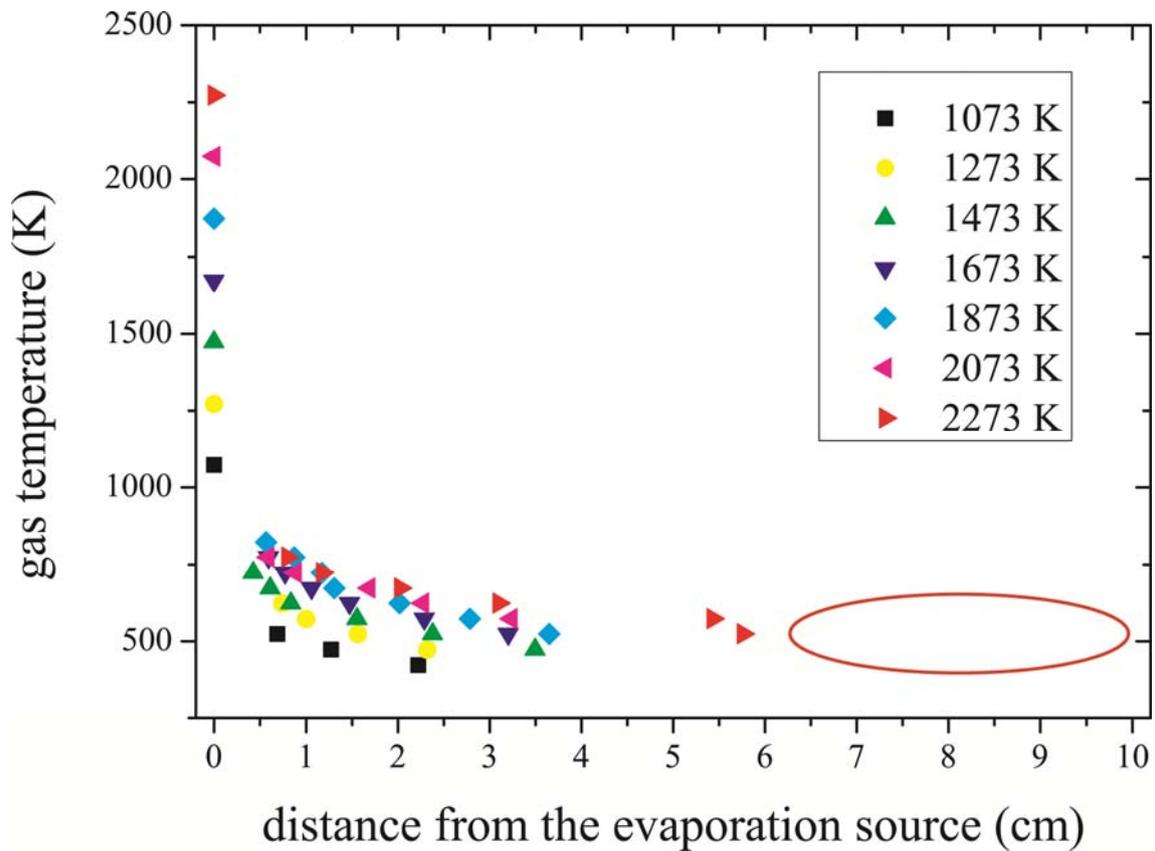
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2 Figure 4. Bright-field TEM image and the corresponding electron-diffraction pattern of

3 condensates. Spherical particles containing forsterite crystals and cubic-shaped MgO

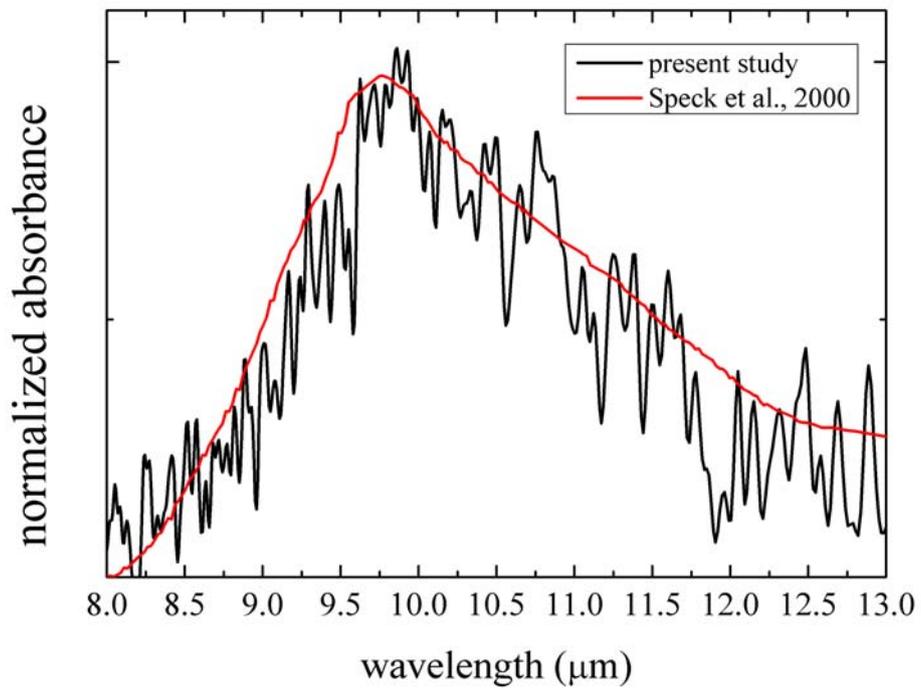
4 were observed

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Figure 5. Temperature distributions in the vertical direction of the gas atmosphere above the evaporation source maintained at various temperatures. The temperature at 0 cm is the temperature of the source, as measured by using a pyrometer; the other temperatures at various heights were measured by using a thermocouple (Kaito. 1991; Kaito. 2006). The yellow triangle markers correspond to the temperature in this work. The red circle indicates the expected temperature range in which crystallization is likely to have occurred.



1

2 Figure 6. Direct comparison of astronomical observations and observations on
3 free-flying silicates made in this study. Broad silicate 9.7- μm band, classified as group
4 A according to Speck et al. 2000 (thick line) and initial condensates measured at 1 cm
5 above the evaporation source (thin line).

6

1

2 Appendix 1

3 In the setup for our experiments, the cooling timescale for particles is determined by
4 collision with ambient Ar gas, and is given by the following expression:

$$5 \quad \tau_{cool,Pa} = \frac{2\rho_d c_p r}{3nk\bar{v}}$$

6 This assumes that the temperature of the particles is sufficiently greater than that of the
7 ambient gas (Tanaka et al., 2010). Here, ρ_d ($\sim 3.0 \text{ g cm}^{-3}$) is the mean density of the
8 particles, c_p ($1.9 \times 10^7 \text{ erg g}^{-1} \text{ K}^{-1}$) is the specific heat of the silicate melt (Navrotsky
9 1995), r (50 nm) is the radius of the particles obtained by TEM observation, n is the
10 number density of the ambient gas under an atmosphere of $1.0 \times 10^4 \text{ Pa}$, k is the
11 Boltzmann constant, and \bar{v} is the thermal velocity calculated from the gas temperature.

12 We can now evaluate the cooling timescale $\tau_{cool,Pa} \approx 1 \times 10^{-5} \text{ s}$ at a gas temperature of
13 500 K; this is shorter than cooling timescale of the ambient gas $\tau_{cool,Gas} \approx 1 \times 10^{-1} \text{ s}$
14 calculated from the mean rising air current, which is of the order of 15 cm s^{-1} . Therefore,
15 the temperature of the particles is the same as that of the ambient gas.

16

17 References

18 Navrotsky, A. 1995, in Mineral Physics and Crystallography, Handbook of Physical
19 Constants, ed. T. J. Ahrens (Washington, DC: AGU), 18