- 1 Production of nanoparticles during experimental deformation of smectite and
- 2 implications for seismic slip
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18 Highlights

- Nanoparticles are common constituents of seismogenic fault zones
- Smectite nanoparticles are produced by mechanical amorphization during slip
- The largest production of nanoparticles occurs at intermediate slip rates (0.0003-0.1 ms⁻¹)
- Only when sheared at seismic slip rates (~1 ms⁻¹) nanoparticles promote fault weakening

Abstract

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Nanoparticles and amorphous materials are common constituents of the shallow sections of active faults. Understanding the conditions at which nanoparticles are produced and their frictional properties can further improve our understanding of fault mechanics and earthquake energy budgets. Here we present the results of 59 rotary shear experiments conducted at roomdry (20-45% relative humidity) on gouge mixtures of smectite (Ca-montmorillonite, Ca-mnt) and quartz. The mixtures having 60, 50, 25, 0 wt.% Ca-mnt, are analogues to natural fault gouges with variable clay content. All experiments were performed at a normal stress of 5 MPa, slip rate of $0.0003 \le V \le 1.5 \text{ ms}^{-1}$ and displacement of 3 m. To monitor the development of fabric and the mineralogical changes during the experiments, we investigated the deformed gouges using advanced electron microscopy combined with X-ray powder diffraction quantitative phase analysis. This integrated analytical approach reveals that, at all slip rates and compositions, the nanoparticles (grain size of 10-50 nm) are partly amorphous and result from cataclasis, wear and mechanical solid state amorphization of smectite. The maximum production of amorphous nanoparticle occurs in the intermediate slip rate range $(0.0003 \text{ ms}^{-1} \le V \le 0.1 \text{ ms}^{-1})$, at the highest frictional work and is associated to diffuse deformation and slip strengthening behavior. Instead, the lowest production of amorphous nanoparticles occurs at co-seismic slip rates ($V \ge 1.3 \text{ ms}^{-1}$), at the highest frictional power and is associated to strain and heat localization and slip weakening behavior. Despite the experiments presented here were conducted at room humidity conditions, they suggest that, independently of the amount of smectite nanoparticles, fault weakening in nature occurs only when typical seismic slip rates (> 0.1 ms⁻¹) are achieved and that estimates of the fracture surface energy dissipated during earthquakes might be extremely difficult to constrain.

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Keywords: smectite, earthquakes, friction, nanoparticles, clay amorphization

1. Introduction

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Amorphous and crystalline nanoparticles are common constituents of the shallow sections of natural faults [Chester et al., 2005; Ma et al., 2006]. As a consequence, a general issue in fault mechanics is how nanoparticles form and what role they have in the seismic cycle [Sammis and Ben-Zion, 2008]. For instance, the presence of nanoparticles can favor the activation of grain sizedependent deformation processes [De Paola et al., 2015] and the reaction kinetics at both seismic and sub-seismic slip rates [Hirono et al., 2013]. Moreover, the reduction in grain size of fault materials during seismic rupture propagation and slip affects the earthquake energy budget [Chester et al., 2005; Reches and Dewers, 2005; Ma et al., 2006]. Production of nanoparticles increases some energy sinks (e.g., the breakdown work or the energy dissipated during rupture propagation, [Tinti et al., 2005]) at the expenses, for instance, of the seismic radiated energy [Kanamori and Rivera, 2006]. Here, given the abundance of smectite-rich gouges in natural faults, we focus on the investigation of the deformation conditions that lead to the production of nanoparticles in these materials. Smectite minerals, i.e. hydrous aluminum phyllosilicates, are common gouge constituents in shallow fault zones, and are among the major components of fault cores sampled during the scientific drilling of several seismogenic faults (e.g., [Ohtani et al., 2000; Kuo et al., 2009; Schleicher et al., 2010; Holdsworth et al., 2011; Chester et al., 2013]). Detailed microstructural studies on gouge samples from scientific drilling in the Nojima fault [Janssen et al., 2013], the San Andreas fault [Janssen et al., 2010] and the Chelungpu fault [Kuo et al., 2009; Janssen et al., 2014] reported amorphous and nanocrystalline materials associated with smectite-rich fault rocks. These materials included glass, amorphous rims around quartz grains and partly/fully amorphous nanoparticles, often associated with recrystallized smectite minerals [Kuo et al., 2009; Schleicher et al., 2010; Janssen et al., 2013]. Amorphous materials and nanoparticles have also been described in exhumed fault rocks, formed at expenses of granite [Ozawa and Takizawa, 2007] and graphite-rich gouges [Nakamura et al., 2015]. In general, understanding the processes and conditions that lead to

nanoparticles and amorphous materials production in fault rocks, will help to interpret the chemical and physical processes active during the seismic cycle at shallow depths.

The production of nanoparticles can occur by cataclasis, wear and mechanical solid state amorphization, which can reduce initial grain size down to less than 100 nm and introduce lattice defects in the crystals (e.g., [Yund et al., 1990; Hadizadeh et al., 2015]). During and immeditely after seismic slip, because of the temperature increase in the slipping zone due to frictional heating and subsequent cooling, diffusional processes may facilitate the recovery of lattice defects and decrease the degree of amorphization [De Castro and Mitchell, 2002].

The effect of nanoparticles on bulk friction has been explored mainly for granitoid and carbonatic rocks and gouges. The extremely small size and high specific surface area of nanoparticles may promote flash melting and grain-size dependent deformation processes (i.e. superplastic behavior [*Ashby and Verrall*, 1973]), resulting in fault weakening at seismic slip rates (~1 m/s) and rate-weakening behavior at sub-seismic slip rates [*Verberne et al.*, 2014]. However, despite nanoparticles production and its effect on bulk friction at seismic slip rates in clay-rich gouges remain poorly understood, they have not been systematically studied yet [*Remitti et al.*, 2015].

Here we quantify the production of nanoparticles in smectite-bearing gouges and their effects on friction combining rotary shear experiments with a systematic mineralogical and microstructural characterization of the experimental products. The experiments were conducted at slip rates of 0.0003 to 1.5 ms⁻¹, displacement of 3 m, and 5 MPa of normal stress, on room-dry (20-45% relative humidity) gouges composed of quartz, opal and 0 to 60 wt.% smectite (Camontmorillonite). Nanoparticles are produced in all the sheared smectite-bearing gouges with the largest abundance measured at intermediate slip rates $(0.0003 \le V \le 0.1 \text{ ms}^{-1})$. The production of nanoparticles results from cataclasis, wear and mechanical amorphization of smectite. The effect of nanoparticles production on bulk friction is slip strengthening at intermediate slip rates and slip weakening at co-seismic slip rates. Despite the experimental results presented here were obtained

under room humidity conditions, they imply that robust estimates of energy partitioning during earthquakes may be challenging to achieve. Moreover, the presence of nanoparticles may allow the more efficient activation of thermo-chemical pressurization and of grain size-dependent processes that, together with thermal pressurization of pore fluids, will contribute to the coseismic weakening of natural faults.

2. Methods

2.1 Starting material

Since variable proportions of smectite and quartz occur in fault cores of plate boundary faults (e.g. [Kameda et al., 2015]), we used four different compositions to control the effect of smectite content on nanoparticles production. We tested four materials including (i) STx-1b source clay with 60 wt.% Ca-Montmorillonite (Ca-mnt), 20 wt.% opal-CT (opal) and 20 wt.% amorphous material, purchased from Clay Minerals Society (see Section 3.2 and Table 1 for their mineral composition) [Chipera and Bish, 2001], (ii) pure crystalline quartz powder, commercially known as "micronized quartz", (iii) 80:20 weight proportions of STx-1b and micronized quartz to obtain 50 wt.% Ca-mnt-rich gouges, and (iv) 40:60 weight proportions of STx-1b and micronized quartz to obtain 25 wt.% Ca-mnt-rich gouges. Before each experiment, the starting materials were equilibrated at room-dry conditions (20-45% relative humidity).

Scanning electron microscope (SEM) investigations conducted on 60 wt.% Ca-mnt showed that the gouge had a granular appearance, with grain sizes of <100 μ m (Supplementary Figure 1). The individual grains consisted of micrometer-sized Ca-mnt with a fibrous-like appearance, wrapping opal grains (grain size < 5 μ m). Because of their intimate association, we could not separate the Ca-mnt grains from the opal ones. The micronized quartz powder had an initial grain size of <100 μ m.

2.2 Rotary shear experiments

Rotary shear apparatuses are currently the only experimental equipment imposing deformation conditions at seismic slip rates $(0.0001 \le V \le 10 \text{ ms}^{-1})$ for displacements (> 0.3 m) typical of moderate to large in size earthquakes. To ensure reproducibility of the experiments we used two different rotary shear apparatuses.

We performed 47 experiments using the vertical configuration rotary shear apparatus ROSA (Rotary Shear Apparatus, model MIS-233-1-77 from MARUI & CO., LTD [Rempe et al., 2014]), installed at the Dipartimento di Geoscienze of the University of Padova (Padua, Italy). Additional 12 experiments were performed with the horizontal configuration rotary shear apparatus SHIVA (Slow to High Velocity Apparatus [Di Toro et al., 2010]), installed at the HP-HT laboratory of the Istituto Nazionale di Geofisica e Vulcanologia (Rome, Italy). All experiments and their run conditions are listed in Supplementary Table 1. The sample assemblages for ROSA (HCR) and SHIVA (HCS) rotary apparatuses are described in Figure 1a.

The gouges were sheared for 3 m of equivalent displacement under a normal stress of 5 MPa (for definition of equivalent displacement, velocity, etc. see [*Di Toro et al.*, 2010]). Hereafter, equivalent velocity and equivalent displacement will be referred to as slip rate and displacement, respectively. In ROSA, experiments with 60, 50 and 25 wt.% Ca-mnt were performed at slip rates of 0.0003, 0.001, 0.01, 0.1, 0.3, 1.3, 1.5 ms⁻¹, while experiments with pure quartz powders were performed at slip rates of 0.01, 0.1, 1.3 ms⁻¹ (see Supplementary Table 1). In SHIVA, all experiments were performed at slip rates of 0.01, 0.1 and 1.3 ms⁻¹ (see Supplementary Table 1). In all experiments, the gouge layer thickness w was determined as $w=|z-z_0|$, with z_0 the axial position measured with no gouge in the sample holder and z the axial position during the experiment. The initial gouge layer thickness w_0 was measured after compacting the gouge layer at 5 MPa normal stress, before the onset of shear. All experiments had an initial gouge layer thickness w_0 =2±0.15 mm prior to deformation. The thickness w during the experiment was divided by w_0 (normalized thickness = w/w_0) to compare axial shortening data from experiments with slightly different initial

thickness (Figures 2d-f). The ratio of measured shear and normal stresses is defined as the friction coefficient μ . The spurious friction contribution due to the sample assemblage to the total measured friction coefficient and the differences in the mechanical data between ROSA and SHIVA experiments are discussed in Supplementary Material 3.

2.3 X-ray powder diffraction quantitative phase analyses

X-ray powder diffraction (XRPD) with internal standard measurement and subsequent Rietveld refinement of the diffractograms allowed us to quantify the effect of shear deformation on the mineral assemblage and on the amount of amorphous material.

XRPD data were collected for 25, 50, 60 wt.% Ca-mnt, on both the starting and deformed materials retrieved from the experiments performed with ROSA (Table 1). We analyzed the entire gouge layer to avoid compositional variability due to incomplete sampling. Before each measurement, ca. 10 wt.% of alumina internal standard (NIST 676A) was added to the samples.

Data were collected with a θ/θ diffractometer (PANalytical X'Pert Pro) equipped with a fast, real time multiple step detector, and CuK α radiation (40 kV and 40 mA). To secure a random smectite orientation and thus avoid grain orientation bias, sample powders were mounted on a silica glass holder using the side loading technique. We used the following instrumental conditions: 3-80 °2 θ range, virtual step scan of 0.0167 °2 θ and virtual time per step of 50 s. The incident beam pathway included: 0.125° divergence slit, 0.125° anti-scattering slit, 0.02 rad soller slits and a 10-mm copper mask. The pathway of the diffracted beam included a Ni filter, soller slits (0.02 rad) and an antiscatter blade (5 mm).

Quantitative phase analysis (i.e., determination of both crystalline and amorphous weight content) was performed using the combined Rietveld and refined intensity ratio methods [*Gualtieri*, 2000]. Rietveld data analysis was performed using the Profex-BGMN software [*Bergmann et al.*, 1998], which allowed us to simulate the contribution of the instrument to the broadening of the Braggs' peaks and to implement complex structural models required by smectite and opal-CT mineralogy (i.e. smectite turbostratic disorder and opal cristobalite-tridymite interlayering).

Structural models of the minerals recognized in the gouge were taken from the BGMN library for quartz and for the alumina internal standard (NIST 676a) [Bergmann et al., 1998]. For Ca-mnt, we used the structural model comprising the turbostratic disorder [Ufer et al., 2004], and for opal-CT we used a supercell model simulating the irregular cristobalite-tridymite interlayering (R. Kleeberg, personal communication). Refinement was limited to the 12-60° 20 interval to exclude the 001 peak of Ca-mnt from the refinement. The Ca-mnt 001 peak intensity is sensitive to preferred orientation, and its position to humidity in the measuring chamber. In general, the use of models accounting for Ca-mnt turbostratic disorder and opal-CT interlayered structure strongly improved the accuracy of the refinement.

With the Rietveld method, the accuracy of the estimation of amorphous material content depends on: (i) the actual amount of amorphous material, (ii) the amount of internal standard added prior to the XRPD measurements and (iii) the error of Rietveld refinement model [Westphal et al., 2009]. In the analysis presented in this study, the actual amount of amorphous material varied between ±6.7-10.1 wt.% with respect to the estimated content (Table 1, error bars in Figure 4). Such variation was calculated considering: (i) 10 wt.% of internal standard, (ii) 1% of Rietveld error and (iii) actual amount of amorphous material of 25, 10 and 5 wt.% (for 60, 50 and 25 wt.% Ca-mnt, respectively).

2.4 Microstructural analysis

Starting material and deformed gouge layers were (i) embedded within epoxy resin (Araldite2020®, Epofix), (ii) cut perpendicular to the slip surface (radial or tangential sections, Figure 1b) and (iii) polished in dry conditions for SEM investigations. Twenty-four gouge layers (ROSA experiments) were cut and polished along a tangential section (Figures 1a-b). The polished blocks were investigated using backscattered electron (BSE) imaging within a CamScan MX3000 SEM (University of Padova).

Four additional samples with 60 wt.% Ca-mnt (starting and sheared materials at V=0.01, 0.1 and 1.5 ms⁻¹) deformed with SHIVA were cut and polished along a radial section (Figure 1b).

Ultrathin, electron-transparent lamellae (100-150 nm thick), were prepared using a FEI Helios Nanolab FIB-SEM (Utrecht University). The FIB-SEM lamellae were oriented parallel to the slip vector (Figure 1c). The FIB-SEM lamellae were analyzed in FEI Tecnai and FEI Talos transmission electron microscopes (TEM) (Utrecht University), using bright field (BF) and high angle annular dark field (HAADF) imaging as well as selected area electron diffraction (SAED) and energy dispersive X-ray spectroscopy (EDS).

3. Results

3.1 Rotary shear experiments

3.1.1 Evolution of the friction coefficient with displacement

We obtained reproducible mechanical data using ROSA and SHIVA at identical imposed deformation conditions (see discussion in the Supplementary Material 2).

Experiments performed at $V=0.01~{\rm ms^{-1}}$ were representative of the mechanical data in the 0.0003-0.01 ms⁻¹ slip rate range (Figure 2a, Supplementary Table 1). Friction coefficient μ in pure quartz gouges decreased with displacement (slip-weakening behavior), whereas μ in Ca-mnt bearing gouges increased with displacement (slip-strengthening behavior), after a short weakening phase in the first ~0.1 m of slip (Figure 2a). A second peak of friction coefficient and a subsequent, reproducible, friction drop occurred after ca. 0.75 m of displacement on 50 wt.% Ca-mnt gouges (arrow in Figure 2a; Supplementary Material 2).

Experiments performed at $V=0.1~\rm ms^{-1}$ were representative of the mechanical data in the 0.1-0.3 ms⁻¹ slip rate range (Figure 2b). Pure quartz gouge was slip-strengthening in the first ~0.4 m of displacement, after which it attained a monotonic slip-weakening behavior. Instead, gouges with Ca-mnt had an initial peak friction coefficient followed by slip-weakening and, after ca. 0.1 m of displacement, by slow and monotonic slip-strengthening until slip ceased. In general, slip-strengthening was less pronounced compared to the experiments performed at $0.0003 \le V \le 0.01$

ms⁻¹. The 50 wt.% Ca-mnt gouge had a second peak in μ after ~1 m of displacement and a subsequent drop in friction (arrow in Figure 2b).

Experiments performed at $V=1.3~{\rm ms}^{-1}$ were characterized by the approx. exponential decay of μ as was observed in experiments performed by [Mizoguchi et al., 2007]. Similar to the experiments performed at lower slip rates, quartz gouges had a short (< 0.3 m) slip-strengthening behavior before μ decreased monotonically with displacement (Figure 2c). In contrast, all Ca-mnt-bearing gouges had a similar initial rapid decay of μ towards a minimum that decreased with increasing Ca-mnt content (Figure 2c). For 50 and 60 wt.% Ca-mnt, after an initial monotonic slip weakening, the frictional behavior was irregular, with the occurrence of a second peak in friction between 1 and 2 meters of displacement (stars in Figure 2c).

3.1.2 Evolution of gouge thickness with displacement

Pure quartz gouges compacted at all imposed slip rates. In particular, large compaction at the onset of displacement was concomitant with slip-strengthening and followed by reduced to negligible compaction associated to monotonic slip-weakening until the end of the experiment (Figures 2d-f). For all Ca-mnt gouge mixtures and independently of the imposed slip rate, compaction was concomitant with slip-weakening at the onset of displacement. With increasing slip and at all slip rates, initial compaction was followed, by pronounced dilatancy for 60 wt.% Ca-mnt gouge mixtures, negligible dilatancy for 50 wt.% Ca-mnt mixtures and further compaction for 25 wt.% Ca-mnt mixtures (Figures 2d-f). In our experiments, extrusion of powders from the sample holder occurred in the 25 and 50 wt.% Ca-mnt mixtures sheared at V=0.01 ms⁻¹ for displacements larger than ca. 1.5 m (large w/w_0 decrease indicated by the arrow in Figure 2d).

3.1.3 Evolution of friction coefficient with slip rate

To compare the friction coefficient values of all experiments, we calculated $\mu_{2.75}$ as the averaged friction coefficient at 2.75 ± 0.025 m of displacement (Figure 3, Supplementary Table 1). Any variation of $\mu_{2.75}$ with slip rate is described here as either rate-weakening (friction coefficient

decreases with slip rate) or rate-strengthening (friction coefficient increases with slip rate) but not in terms of the rate and state friction law [*Dieterich*, 1979]. In pure quartz gouges, $\mu_{2.75}$ was rate-weakening. Instead, in Ca-mnt gouges $\mu_{2.75}$ evolved from rate-strengthening to rate-weakening with increasing slip rate. The slip rate at which the frictional behavior changed was composition-dependent: V=0.01 ms⁻¹ in 60 wt.% and V=0.001 ms⁻¹ in 50 and 25 wt.% Ca-mnt.

3.2 Quantitative phase analysis and the amount of amorphous material

The weight fraction of the amorphous material (Section 2.3) increased with respect to its initial concentration in all the sheared Ca-mnt gouges. However, for the gouge with a 25 wt.% Camnt mixtures, the increase was below the detection limit (Figure 4, Table 1). The increase or production of amorphous material was associated to the decrease of Ca-mnt abundance and was higher in the experiments performed at low slip rates. Instead, the opal and quartz content was the same as the starting material across all the tested slip rates. The quantitative phase analysis suggests that the production of amorphous material occurred at the expense of Ca-mnt at all slip rates and that it was more efficient at $V \le 0.1 \text{ ms}^{-1}$.

3.3 Microstructures

Following previous investigations conducted on clay-rich gouges deformed with rotary shear machines [Kitajima et al., 2010; French et al., 2014], we describe below the microstructures found in our experiments by defining four types of microstructural domains distinguished by grain size and by the presence of clay clast aggregates (CCAs) and micro-foliations [Boutareaud et al., 2008; Ferri et al., 2011] (Figures 5-6). The occurrence of the four domains in the deformed gouges as a function of the initial Ca-mnt content and of the imposed slip rate is reported in Figures 7-8.

Domain U (Undeformed) has angular quartz clasts and sub-rounded aggregates of opal and Ca-mnt, with a relative abundance depending on the starting composition (Figure 5a). At the nanoscale, the Ca-mnt is interlayered with opal (Figures 6a-b). Selected area electron diffraction (SAED) of Ca-mnt crystals showed a pattern with diffraction rings, implying a partially crystalline to

crystalline structure (inset in Figure 6a). Domain U is identical to the undeformed starting material (Supplementary Figure 1).

Domain LS (**Low Strain**) has sub-rounded opal and quartz clasts, with grain size smaller than in domain U. In gouges with Ca-mnt ≥50 wt.%, clasts are surrounded by a Ca-mnt-rich matrix and form CCAs with Ca-mnt cortex wrapping opal or quartz nuclei (Figure 5b). In gouges with 25 wt.% Ca-Mnt, CCAs are absent and matrix is more quartz-rich.

Domain HSf (High Strain foliated) is organized in two subdomains: A and B (Figure 5c). Both subdomains include individual nanoparticles, clusters of nanoparticles, nanocrystals and CCAs with opal or quartz core and nanoparticles cortex (Figures 6c-e). Subdomain A has a foliated texture, sub-micrometric grain size and few CCAs. Subdomain B has a granular texture with abundant CCAs. The widespread presence of CCAs in B suggests lower shear strain compared to A (see [Rempe et al., 2014] for a discussion). In subdomains A and B, SAED patterns show both diffuse scattering and diffraction rings, due to the coexistence of amorphous nanoparticles and Camnt nanocrystals (subset in Figure 6d). Based on EDS-TEM element mapping, nanoparticles contain Al and Si suggesting a smectitic composition (Figure 6f).

Domain HS (**High Strain**) is similar to subdomain HSf-A (i.e., presence of nanoparticles, Ca-mnt crystals and CCAs), but is not foliated (Figures 5d and 6g-h). Ca-mnt crystals have periodic lattice spacing and are ubiquitous (Figure 6h). With increasing initial quartz content (> 40% in wt.), the domain HS is enriched in micrometric in size sub-rounded quartz grains and is systematically cut or bounded by Y-shears (e.g., [*Logan et al.*, 1992]) (Figures 5e-f).

In general, independently of the initial gouge composition and of the imposed slip rate, high strain domains (HSf, HS) sharply crosscut the low strain (LS) or undeformed (U) domains (Figure 7). The association of domain LS with HSf was found in the gouges sheared at the lowest slip rates, which were also the gouges that recorded diffuse deformation (Figure 7) and the largest production of amorphous material (i.e. amorphous material measured after the experiment minus amorphous material in the starting material, Figure 8). Instead, the association of domains U or LS with HS was

found in the gouges sheared at seismic slip rates, which were also the gouges that recorded localized deformation, represented by Y-shears in HS (Figure 7), and the lowest amorphous production (Figure 8).

4. Discussion

4.1 The amorphous nature of smectite nanoparticles

The XRPD quantitative phase analysis of the sheared gouges show that, comparing deformed gouges (independently of the imposed slip rate) with the starting material, the amorphous material content increases and Ca-mnt content decreases, while the quantities of all the other phases remain constant (Figure 4, Section 3.2). Consequently, Ca-mnt is the source for the produced amorphous material. Additionally, amorphous material is increased in the sheared gouges compared to undeformed ones, indicating a net production of amorphous material. The production of amorphous material represents a bulk increase of lattice disorder (i.e. decreased scattering power under X-rays) of Ca-mnt grains due to the formation of lattice defects within the grains and the increase of grain boundaries due to reduced grain size.

SEM imaging showed that high strain domains (HS and HSf) had an average grain size below 1 µm (Figures 5c to 5f). In gouges with 60 wt.% Ca-Mnt, TEM imaging revealed that nanoparticles were abundant in the high strain domains (Figures 6c-d). SAED and TEM imaging showed that nanoparticles were either predominantly amorphous (domain HSf, Figure 6d) or crystalline (domain HS, Figure 6h). We conclude that the amorphous material measured with XRD in the bulk gouge is representative of the abundance of nanoparticles (both amorphous and crystalline). However, amorphous material production may be higher when associated with amorphous nanoparticles in domain HSf, due to the combination of domain thickness (Figure 9a) and increased amorphization degree of the single nanoparticles (Figure 6).

4.2 Formation of nanoparticles and mechanical properties

In gouges with 50 and 60 wt.% Ca-mnt, the thickness of the domain HSf and thus the content of amorphous nanoparticles varies with slip rate (Figure 9a): amorphous nanoparticles are more abundant when associated to slip strengthening ($V \le 0.1 \text{ ms}^{-1}$), and less abundant when associated to slip neutral ($0.1 \le V \le 0.3 \text{ ms}^{-1}$) or weakening ($V \ge 1.3 \text{ ms}^{-1}$) behavior, respectively (Figure 2).

The slip strengthening behavior results in work hardening which induces cataclasis, wear and mechanical amorphization. Nanoparticles have a high strength as their grain size is close to the minimum one attainable by fracturing and wear processes [Sammis and Ben-Zion, 2008]. If nanoparticles reach the minimum grain size by fracturing, further deformation is accommodated by plastic processes (i.e. dislocation glide at low temperatures or high slip rates), possibly leading to accumulation of lattice defects and therefore to solid state amorphization. During deformation, if nanoparticles have high strength, shear deformation may transfer (strain delocalization) to the coarser and weaker low strain (LS) domain. During the experiment this process could lead to the thickening of amorphous nanoparticle-rich high strain foliated (HSf) domain and, possibly, to slip strengthening behavior.

Frictional behavior evolves from slip-neutral (for $0.1 \le V \le 0.3 \text{ ms}^{-1}$) to slip-weakening ($V \ge 1.3 \text{ ms}^{-1}$), with progressively more efficient strain localization in domain HS. In this domain, the larger abundance of crystalline nanoparticles can be related to strain and heat localization determining either a less advanced amorphization process (i.e. because, as mechanical energy is dissipated into heat, less is available for amorphization) or to a more efficient recovery mechanism for lattice defects that reduces the degree of amorphization of the nanoparticles. Here, a positive feedback with strain localization may occur, with heat localization favoring grain size dependent deformation processes, reducing nanoparticles strength and favoring further strain localization. At seismic slip rates ($V \ge 1.3 \text{ ms}^{-1}$), we suggest that smectite nanoparticles have a superplastic behavior which leads to frictional weakening (e.g., [*Verberne et al.*, 2014; *Green et al.*, 2015]). At the same time, we

cannot exclude that part of frictional weakening may occur as a result of Ca-mnt dehydration and consequent pore fluid (liquid or vapored water) overpressure during cataclasis and amorphization [*Brantut et al.*, 2008; *Ferri et al.*, 2011]. However, we did not identify any fluidization texture in domain HS that could be indicative of pore fluid pressurization.

In gouges with 25 wt.% Ca-mnt, the production of amorphous nanoparticles is limited, concomitant to slip strengthening ($V \le 0.001 \text{ ms}^{-1}$) (Figure 9a) and associated to domain HSf (Figure 8c). At higher slip rates, production of amorphous nanoparticles is negligible, concomitant to slip weakening and associated to domain HS. In pure quartz gouges, slip weakening occurs at all tested slip rates ($0.01 \le V \le 0.3 \text{ ms}^{-1}$) and is associated to the formation of domain HS. In these smectite-poor cases, the formation of the HS domain is indicative of efficient strain localization compared to the smectite-rich gouges. Efficient strain localization limits the gouge volume affected by mechanical amorphization, and consequently induces a negligible production of amorphous material. Strain localization can be enhanced at $V \ge 0.001 \text{ m/s}$ as quartz-rich gouges showed efficient dynamic weakening due to silica gel formation [Di Toro et al., 2004].

To generalize the experimental conditions at which amorphous nanoparticles are produced we introduce the frictional work density (*FWD*), representing the total work dissipated in the slipping zone and the frictional power density (*FPD*), representing the total power dissipated in the slipping zone (e.g., [*Di Toro et al.*, 2011]). These can be defined as:

$$FWD = \int_0^X \tau(x) \, dx \qquad \text{Eq.2}$$

with X the total displacement and $\tau(x)$ the shear stress evolution with displacement x, and

$$FPD = FWD/\Delta t$$
 Eq. 3

with Δt the duration of the experiment (Supplementary Table 1).

In the experiments discussed here, the production of amorphous nanoparticles increased with frictional work density (Figure 9b) and decreased with frictional power density (Figure 9c).

The relationships between the production of amorphous material and the occurrence of microstructural domain HSf (Figures 8 and 9a), the frictional work (Figure 9b), the frictional power

(Figure 9c) densities and slip rates (Figure 9), suggest that the largest production of amorphous nanoparticles occurred with frictional work densities larger than 10 MJ m⁻¹ and frictional power densities lower than 0.4 MWm⁻². These trends suggest that the processes of mechanical amorphization are less effective with higher *FPD* and thus higher heat dissipation. This is coherent with the previous studies on the production of nanoparticles by wear and subsequent solid state amorphization in high energy ball milling: mechanical heat dissipation can facilitate recrystallization or recovery of lattice defects [*De Castro and Mitchell*, 2002].

4.3 Geological implications of nanoparticles production

Nanoparticles in smectite-rich fault gouges have been found in all cores of shallow fault sections when systematic nano-analysis were performed [Schleicher et al., 2010; Hirono et al., 2014; Janssen et al., 2015]. In most cases, some nanoparticles were amorphous, though they could have been autogenic smectites formed in the pores of the fault gouge from alteration of silicate-bearing minerals or precipitated from percolating fluids [Schleicher et al., 2010]. Despite the experiments presented here were conducted under room-humidity conditions and under the same normal stress limited to 5 MPa, the systematic analysis of the experimental fault products has the following implications for the mechanics of the shallow sections of brittle faults.

The interpretation of the experimental data suggests that the production of nanoparticles is larger at high frictional works rather than at high work rates (Fig. 9). According to Eq. 2, the frictional work increases with shear stress and, thus, with effective normal stress. As a consequence, at sub-seismic to almost seismic slip rates, the amount of nanoparticle production is expected to increase with depth, till, at higher ambient temperatures, smectite will be replaced by more stable minerals (e.g., illite). Instead, given that frictional work rate is proportional to both the effective normal stress and slip rate (Eq. 3), during seismic slip the amount of nanoparticle production is expected to be further reduced with respect to the experiments discussed here. In fact, the reduction of the slip weakening distance and of the slip distance required for strain localization with

increasing normal stress [Di Toro et al., 2011; Smith et al., 2015]. In addition, the fast growth of nanoparticles during post-seismic cooling [Sammis and Ben-Zion, 2008] will reduce the amount of produced and survived nanoparticles in the slipping zone. In other words, given the same amount of slip accommodated by the fault, most nanoparticles and amorphous materials found (and survived) in natural faults are expected to be produced during aseismic creep.

The clast size distribution in natural slipping zones has been used to estimate the breakdown work component of an earthquake energy budget [Chester et al., 2005; Ma et al., 2006]. The relative abundance of nanoparticles is a major contributor to the measurement of the surface fracture energy. In the case of the Punchbowl and Chelungpu Faults, the clast size distributions allowed the authors to estimate that the formation of new grains dissipated up to 6 % of the breakdown work during seismic faulting, the remnant being dissipated during sliding on fault plane [Chester et al., 2005; Ma et al., 2006]. However, if nanoparticles in nature were mainly produced at low slip rates, possibly sub-seismic, as the experimental results discussed here suggest, and those formed during seismic slip may have been grown up during cooling of the slipping zone, the contribution of ultra-comminution to the breakdown work might be overestimated or extremely difficult to constrain.

The experiments also indicate that the abundance of nano-particles is not as important as the slip rate in controlling the frictional behavior of the sheared smectite-rich gouges (Figures 2 and 4). Though smectite-rich (≥50% Ca-Mnt) gouges are more velocity-weakening than smectite-poor gouges (< 50% Ca-Mnt), is the slip rate that matters (Figure 3). The direct extrapolation of these experimental observations to nature would imply that the formation of smectite nanoparticles may induce strengthening or weakening depending on the slip rate and, to a less extent, the smectite content. The slip-strengthening behavior observed during large production of nanoparticles at intermediate slip rates (Figures 2 and 4) may have the following implications: at slip rates ~1 mm/s or less (during the late stages of coseismic slip or during afterslip), slip-strengthening would induce either the arrest of fault slip (if the fault core is stronger than the principal slipping zone) or the

thickening of the principal slipping zone (if fault core is weaker than nanoparticle-rich principal slipping zone. Approaching seismic slip rates, the presence of nanoparticles produced by mechanical amorphization, which have high lattice disorder and reduced activation energy for decomposition reactions, will make the release of OH- groups (and thermomechanical pressurization) more efficient [*Hirono et al.*, 2013]. Though thermal pressurization of pore fluids probably have a pivotal role in dynamic weakening of smectite-rich gouges [*Veveakis et al.*, 2007], there is no reason to exclude that, especially with progressive seismic slip, thermochemical pressurization [*Brantut et al.*, 2008; *Ferri et al.*, 2011] and possibly grain-size dependent processes [*Verberne et al.*, 2014; *De Paola et al.*, 2015; *Green et al.*, 2015; *Spagnuolo et al.*, 2015] may contribute to dynamic weakening of natural faults. By looking at Fig. 2, the larger is the abundance of nanoparticles, especially if amorphous because produced during the other stages of the seismic cycle, the faster should be the seismic dynamic weakening in natural slipping zones.

5. Conclusions

We conducted a series of rotary shear experiments on 60-40 wt.%, 50-50 wt.%, 25-75 wt.% smectite (Ca-montmorillonite, Ca-mnt) + quartz + opal mixtures and on pure quartz gouges. All experiments were performed under room-dry conditions (20-45% relative humidity) on a 2-mm thick gouge layer by imposing the same normal stress (5 MPa) and displacement (3 m), whereas slip rates ranged from 0.0003 to 1.5 ms⁻¹ (Supplementary Table 1). We analyzed the starting and the deformed materials with SEM, FIB-SEM, TEM and XRPD quantitative phase analysis to describe the microstructures, determine the mineral content and production of amorphous material depending on the experimental conditions (Figures 4-8). The main conclusions are:

Nanoparticles (Figure 6), found in high strain microstructural domains (HSf and HS; Figure 5), are produced by mechanical solid state amorphization of Ca-mnt (Figure 4).
 Nanoparticles are mainly amorphous in domain HSf and crystalline in domain HS (Figure 6).

- 2) Nanoparticles production and degree of amorphization changes with slip rate and composition depending on strain localization. The maximum production of amorphous nanoparticles (20 wt.%) is at intermediate slip rates (0.0003≤V≤0.1 ms⁻¹), high Ca-mnt abundance (Ca-mnt≥50 wt.%), concomitant to strain delocalization in the gouge layer associated to slip-strengthening behavior. With decreasing smectite content, these conditions are limited to the lowermost slip rates (i.e. at 0.0003≤V≤0.01 ms⁻¹ with 25 wt.% Ca-mnt). In contrast, the production of crystalline nanoparticles (5-10 wt.%) occurs at co-seismic slip rates (V≥1.3 ms⁻¹), concomitant to strain localization in the gouge layer associated to slip weakening behavior.
- 3) Amorphous nanoparticles production changes with slip rate depending on dissipation of mechanical energy. Maximum production of amorphous nanoparticles occurs with large frictional work (10 MJ m⁻¹) and low frictional power (0.4 MWm⁻²) density.
- 4) According to the experimental evidence reported here, in smectite-rich natural faults, nanoparticles are produced by cataclasis, wear and mechanical solid state amorphization.
- 5) Despite the experiments presented here were conducted at room humidity conditions, some implications for natural faults can still be made. First, fault weakening occurs only when typical seismic slip rates (> 0.1 ms⁻¹) are achieved and the amount of weakening increases with the abundance of nanoparticles and amorphous materials. Second, because nanoparticles are more abundant when produced at intermediate and possibly sub-seismic slip rates, estimates of the fracture surface energy dissipated during earthquakes might be extremely difficult to constrain.

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Figures and Tables captions

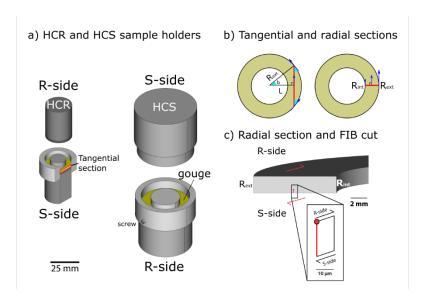


Figure 1. a) The sample assemblage of the experiments performed with ROSA (HCR) and SHIVA (HCS) comprised a couple of hollow stainless steel specimen holders (medium gray) with, respectively, 7.5/12.5 and 15/25 mm inner/outer radii ($R_{\rm int}/R_{\rm ext}$). To confine the gouge (yellow) two Teflon parts (light grey) were used: a cylinder inserted in the inner hole and a ring positioned externally. The outer ring was cut at ca. 60° to its basal surface and tightened to the metal gouge holders with a stainless steel hose clamp. In the SHIVA experiments the Teflon components were fixed with screws to the specimen metal holder. The red cross-sections represent the tangential section on HCR (Figure 1b). b) Tangential and radial sections geometry. The tangential section is cut at distance from the axis $L=0.5 \cdot (R_{\rm int}+R_{\rm ext})$. Because of this, from the center to the edge of the section, radius varies as $R_{\rm ext} \le r \le L$ and b, the angle between the section and the slip vector (blue arrows), varies as $0^{\circ} \le b \le 37^{\circ}$ (according to $b=\arccos(L/R_{\rm ext})$). In the radial section geometry, radius r varies as $R_{\rm int} \le r \le R_{\rm ext}$ and angle b is always 90° . c) Orientation of the FIB cut. The FIB cut is orthogonal to the radial section, therefore is parallel to the slip vector, with shear sense as indicated.

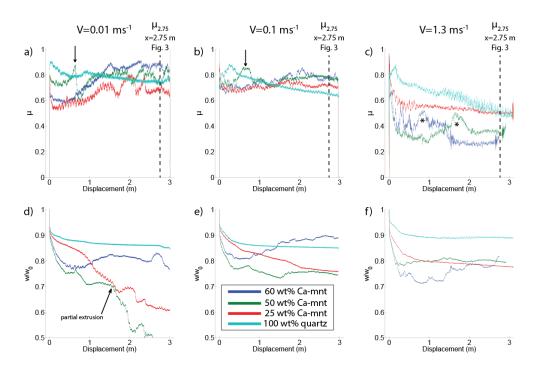


Figure 2. Friction coefficient μ (a to c) and normalized thickness w/w_0 (d to f) versus displacement for experiments performed at V=0.01, 0.1 and 1.3 ms⁻¹ in ROSA. The black dashed lines mark the position for the averaged value $\mu_{2.75}$ (see Figure 3, Supplementary Table 1). Black arrows in a) and b) mark the second peak in friction coefficient observed in 50 wt.% Ca-mnt experiments at $V \le 0.1$ ms⁻¹; the arrow in d) marks the onset of gouge extrusion for 25 and 50 wt.% Ca-mnt experiments at V = 0.01 ms⁻¹. Stars in c) mark large variations in friction coefficient (60 and 50 wt.% Ca-mnt experiments at 1.3 ms⁻¹).

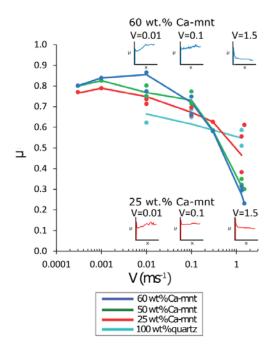


Figure 3. Friction coefficient averaged between 2.725-2.775 m displacement ($\mu_{2.75}$) versus slip rate. Colored lines interpolate $\mu_{2.75}$ at increasing slip rate for different Ca-mnt content. Insets report for reference the evolution of μ with displacement for 60 wt.% (blue line) and 25 wt.% (red line) Ca-mnt.

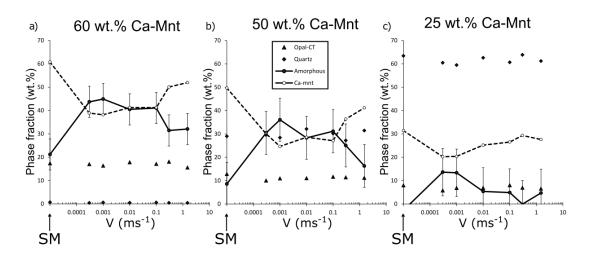


Figure 4. Quantitative phase analysis results (Section 3.2 and Table 1). Phase content is plotted versus slip rate (arrows indicate the undeformed materials), for each composition: a), b) and c) for 60, 50 and 25 wt.% Ca-mnt, respectively. Error bars show the accuracy of the amorphous phase estimate calculated after [*Westphal et al.*, 2009] (Section 2.3, Table 1). Opal and quartz wt.%

are independent of the imposed slip rate. Instead, for all tested initial gouge mixtures, the amount of amorphous material increases at the expense of Ca-mnt with decreasing slip rate.

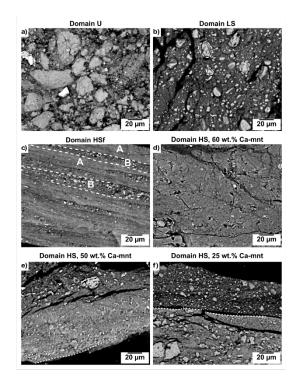


Figure 5. Backscattered SEM images of the microstructural domains. a) domain U (60 wt.% Ca-Mnt) contains angular quartz clasts and sub-rounded aggregates of opal and Ca-mnt (grain size <100 μm); b) domain LS (60 wt.% Ca-Mnt), characterized by sub-rounded opal and quartz clasts (grain size <20-50 μm). Clasts form CCAs and are surrounded by a Ca-mnt-rich matrix; c) domain HSf (60 wt.% Ca-Mnt), with dashed lines delimiting subdomains A and B. A has a foliated, sub-micrometric texture. B has abundant CCAs (<2 μm) in a sub-micrometric matrix. d) Domain HS (60 wt.% Ca-mnt) has a sub-micrometric texture, similar to A, but with no foliation. e) Domain HS (50 wt.% Ca-mnt) is similar to d), despite a higher abundance of quartz in the sub-micrometric matrix and occurrence of occasional wavy Y-shears (white dashed line). f) Domain HS (25 wt.% Ca-mnt) has abundant sub-rounded quartz and opal grains (0.1-5 μm) in a Ca-mnt matrix, crosscut or delimited by wavy Y-shears (white dashed line).

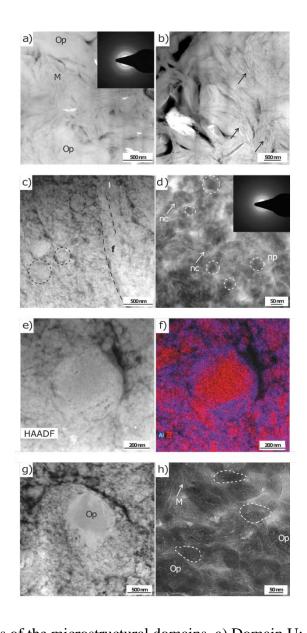


Figure 6. TEM images of the microstructural domains. a) Domain U: Ca-mnt (M) and Opal (Op) at the nanoscale (HAADF image); SAED subset shows Ca-mnt diffraction rings. b) Domain U at higher magnifications: in some areas (black arrow), Ca-mnt and opal are interlayered (HAADF image). c) Domain HSf: rounded clusters of nanoparticles, <200 nm grain size (black dashed circles), are widespread (HAADF image). Nano-foliations appear like densely packed nanoparticles in fiber-shaped clusters, ca. 100 nm thick ("f", black dashed lines). d) Domain HSf at higher magnifications: nanoparticles with grain size of 10-50 nm ("np", white dashed lines) and Ca-mnt nanocrystals having grain size of ca. 50x5 nm ("nc", white arrows) (BF image); SAED diffraction pattern showing diffuse scattering from nanoparticles and diffraction rings from nanocrystals. e) CCA within domain HSf, grain size < 500 nm, having opal or quartz core and nanoparticles cortex

(HAADF image); f) TEM-EDS chemical map of the CCA in e): the nanoparticles of the cortex have a Ca-mnt composition (purple). In the CCA cortex and in the nanoparticles matrix occasionally Sirich areas (red) may be due to the occurrence of smaller opal grains (Al=blue, Si=red). g) Domain HS: CCA, grain size ca. 700 nm, with opal core and nanoparticles in the cortex, surrounded by a nanoparticle-rich matrix (HAADF image). h) Domain HS at higher magnifications: nanoparticles have an internal organization as nano-CCAs (white dashed contour), with opal cores rimmed by Ca-Mnt nanocrystals. Nanocrystals with a visible lattice periodicity are widespread in the matrix between the nano-CCAs (BF image).

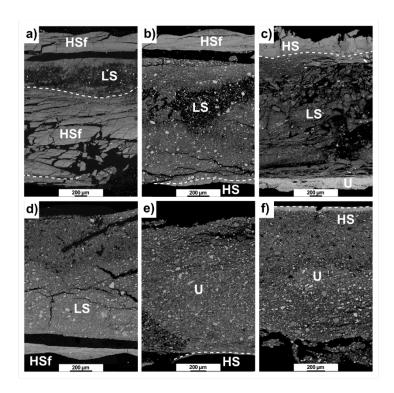


Figure 7. Backscattered SEM images of the sheared gouge layers. Slipping zones from Camnt \geq 50 wt.% (a to c) and Ca-mnt=25 wt.% (d to f) starting material, deformed at V=0.001 ms⁻¹, V=0.1 ms⁻¹ and V=1.3 ms⁻¹, respectively. The distribution of the microstructural domains is dependent on both initial composition and imposed slip rate (see Figure 8). The white dashed lines mark the boundaries between microstructural domains.

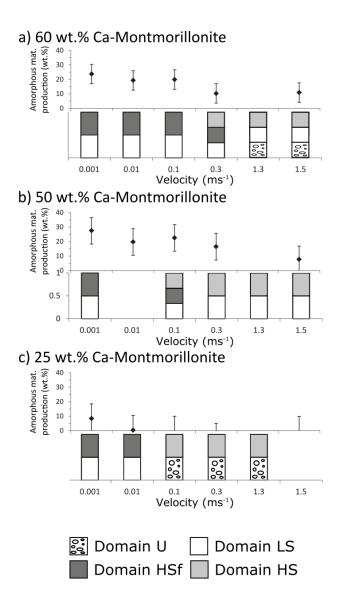


Figure 8. Occurrence of the microstructural domains and amorphous material production (i.e. amorphous material after the experiment minus amorphous material in the starting material) with respect to the composition of the starting materials and slip rate. a) to c) Ca-mnt content of 60, 50 and 25 wt.% in the starting material. Domain U was found in experiments performed at $V \ge 1.3$ ms⁻¹ (60 wt.% Ca-mnt) and at $V \ge 0.1$ ms⁻¹ (25 wt.% Ca-mnt). Domain LS was found in all the experiments except those performed at $V \ge 0.1$ ms⁻¹ (25 wt.% Ca-mnt). Domain HSf was found in the gouges sheared at $V \le 0.1$ ms⁻¹ (Ca-mnt ≥ 50 wt.%), and at $V \le 0.1$ ms⁻¹ in 50 and 25 wt.% Ca-mnt

gouges. The largest production of amorphous materials (25-28 wt.%) occurs for Ca-mnt≥50%, low slip rates and in the presence of domain HSf.

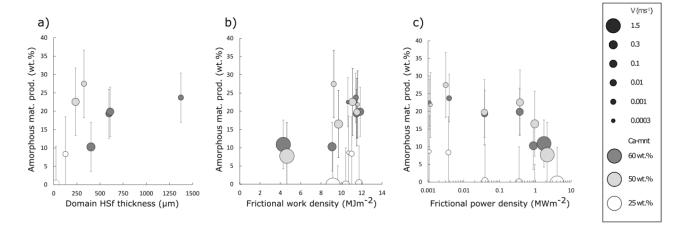


Figure 9. Amorphous material production (i.e. amorphous material after the experiment minus amorphous material in the starting material) as function of domain HSf thickness, frictional work density (FWD) and frictional power density (FPD). Error bars indicate the uncertainty in the amorphous material content estimate (see also Figure 4, Section 3.2 and Table 1). The radius of the symbols is proportional to the imposed slip rate in the experiment; the grey scale is related to the starting material composition. a) The production of amorphous material is proportional to the thickness of domain HSf, the Ca-mnt content in the starting material and to the decrease of the imposed slip rate. b) For all gouge mixtures, the amorphous production is positively correlated with frictional work density (FWD). The highest increase occurs for $V \le 0.1 \text{ ms}^{-1}$. c) The amorphous material production is inversely correlated with frictional power density (FPD) and thus with the slip rate of the experiment.

exp #	V ms ⁻¹	Ca-mnt wt.%	er. ±wt.%	Opal-CT wt.%	er. ±wt.%	Qtz wt.%	er. ±wt.%	Amorph. wt.%	er. ±wt.%	acc. ±wt.%
S.M.	-	60,8	0,3	17,3	0,3	0,7	0,1	21,2	0,6	6,7
218	0,0003	38,9	0,5	16,9	0,5	0,4	0,1	43,7	1,1	6,7
210	0,001	38,2	0,5	16,3	0,5	0,6	0,1	44,9	1,0	6,7
274	0,01	41,3	0,5	17,8	0,5	0,5	0,1	40,5	1,1	6,7
216	0,1	41,3	0,5	17,1	0,5	0,6	0,0	41,1	1,0	6,7
217	0,3	50,1	0,5	18,0	0,4	0,5	0,1	31,5	0,9	6,7
238	1,5	52,0	0,5	15,5	0,5	0,4	0,1	32,1	1,0	6,7
50 wt% C	a-mnt									
S.M.	-	49,7	0,4	12,8	0,3	29,0	0,3	8,6	1,0	9,2
280	0,0003	30,1	0,5	10,0	0,2	29,5	0,3	30,4	1,0	9,2
245	0,001	24,7	0,6	10,9	0,3	28,4	0,3	36,1	1,2	9,2
243	0,01	28,6	0,6	11,0	0,3	32,1	0,4	28,3	1,2	9,2
229	0,1	27,1	0,5	11,6	0,3	30,2	0,3	31,1	1,1	9,2
242	0,3	36,4	0,5	11,3	0,3	27,2	0,3	25,1	1,0	9,2
228	1,5	41,2	0,6	11,1	0,3	31,5	0,4	16,3	1,2	9,2
25 wt% C	a-mnt									
S.M.	-	31,4	0,5	7,9	0,3	63,4	0,4	-2,7	1,3	10,1
279	0,0003	20,2	0,7	5,7	0,3	60,4	0,5	13,6	1,5	10,1
281	0,001	20,4	0,6	6,8	0,3	59,5	0,5	13,4	1,4	10,1
266	0,01	25,2	0,6	6,8	0,3	62,6	0,5	5,4	1,4	10,1
276	0,1	26,5	0,6	7,9	0,3	60,7	0,4	4,9	1,3	10,1
271	0,3	29,3	0,6	6,9	0,4	63,8	0,5	-0,1	1,5	10,1
268	1,5	27,6	0,6	6,5	0,3	61,2	0,4	4,7	1,3	10,1

Table 1. Results of the quantitative XRPD phase analysis. Exp = number of the experiment $V(\text{ms}^{-1}) = \text{slip rate}$; Ca-mnt, Opal-CT, Qtz (wt.%) = Ca-Montmorillonite, Opal-CT and Quartz with err. (wt.%) = error of Rietveld refinement technique; Amorph. (wt.%) = amorphous material content and err. (wt.%) = sum of the errors for each phase; Acc. (wt.%) = accuracy of amorphous material content estimation (Section 3.2).