A characterization of the NGC 4051 soft X-ray spectrum as observed by XMM-Newton

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ABSTRACT

Context. Soft X-ray high resolution spectroscopy of obscured AGNs shows a complex soft X-ray spectrum dominated by emission lines of He and H-like transitions of elements from carbon to neon as well as L-shell transitions due to iron ions.

Aims. In this paper we characterize the XMM-Newton RGS spectrum of the Seyfert 1 galaxy NGC 4051 observed during a low flux state and infer the physical properties of the emitting and absorbing gas in the soft X-ray regime.

Methods. X-ray high-resolution spectroscopy offers a powerful diagnostic tool because the observed spectral features strongly depend on the physical properties of matter (ionization parameter $U$, electron density $n_e$, hydrogen column density $N_H$), which in turn are tightly related to the location and size of the X-ray emitting clouds. We carried out a phenomenological study to identify the atomic transitions detected in the spectra. This study suggests that the spectrum is dominated by emission from a photoionized plasma. Then we used the photoionization code Cloudy to produce synthetic models for the emission line component and the warm absorber observed during phases of high intrinsic luminosity.

Results. The low state spectrum cannot be described by a single photoionization component. A multi-ionization phase gas with an ionization parameter in the range of $\log U \sim 0.63\text{--}1.90$ and a column density $\log N_H = 21.10\text{--}22.72$ cm$^{-2}$ is required, while the electron density $n_e$ remains unconstrained. A warm absorber medium is required by the fit with the parameters $\log U \sim 0.85$, $\log N_H = 23.40$ and $\log n_e \lesssim 5$. The model is consistent with an X-ray emitting region at a distance $\gtrsim 5 \times 10^{-2}$ pc from the central engine.

Key words. galaxies: Seyfert – galaxies: individual: NGC 4051 – techniques: spectroscopic

1. Introduction

It is commonly accepted that the center of active galaxies (Active Galactic Nuclei -AGNs) hosts a massive black hole (with a mass in the range $10^6\text{--}10^9 M_\odot$) accreting the surrounding material via the formation of a disk. How the energy released from the central engine interacts with the local environment and contributes to the history of the host galaxy is one of the crucial questions of present astrophysical research. In this respect, while the mechanisms of energy output in the form of radiation and relativistic jets are quite well understood, it also seems that the outflowing winds have an important role in the overall energy budget. Although the origin of these winds is still controversial, at our current level of understanding the narrow-line regions, the inner part of an obscuring torus (Blustin et al. 2005) and the black hole accretion disk (Elvis 2000) are all possible locations.

X-ray obscured AGNs (with an intrinsic column density $N_H \gtrsim 10^{22}$ cm$^{-2}$) are not completely dark in the soft X-ray band. High resolution XMM-Newton and Chandra observations revealed a complex spectrum dominated by emission lines from He- and H-like transitions of elements from carbon to neon as well as L-shell transitions of Fe XVII to Fe XXI ions (Sako et al. 2000 a; Kinkhabwala et al. 2002; Sambruna et al. 2001; Armentrout et al. 2007). This gas, which shows the signature of a photoionization process (Kinkhabwala et al. 2002; Guainazzi & Bianchi 2007), is sometimes referred to as a warm mirror.

In unobscured AGNs a modification of the output energy spectrum may also occur as a consequence of absorption by a warm ionized gas along the line of sight. The properties of these so called warm absorbers can be summarized as follows: i) average ionization parameter in the range $\log \xi = 0\text{--}3$; ii) total column density in the range $\log N_H = 21\text{--}22$ cm$^{-2}$; iii) outflow velocities of hundred of km s$^{-1}$ (see e.g. Blustin et al. 2005, but also Steenbrugge et al. 2009). Evidence of a multi-phase warm absorber gas was also recently reported for Mrk 841 (Longinotti et al. 2010).

In general, detecting warm mirror signatures is easier in sources in low flux states, because the emission features are not outshone by the continuum radiation. This was the case for the Seyfert 1 galaxy Mrk 335, whose soft X-ray spectrum resembled the spectra of obscured AGNs when the source was observed at low state (Longinotti et al. 2008), but does not show any evidence of a warm absorber in the high flux state (Longinotti et al. 2007).

The overall properties of the warm mirror (even if it is poorly constrained) and the warm absorber (as described above) are similar so that there is the possibility that they represent the same physical system. Conversely, the interplay between the warm absorber and warm mirror regimes is best studied in sources that display both components.

The source NGC 4051, a narrow-line Seyfert galaxy at the redshift of 0.00234, was at the center of many past investigations...
in the X-ray band because it offers a unique laboratory where to test present theories and models about the physics of AGNs. The X-ray emission is characterized by rapid variations (Lamer et al. 2003; Ponti et al. 2006) sometimes showing periods of low activity (see Lawrence et al. 1987 and Uttley et al. 1999). Its power spectral distribution (PSD) in high state resembles the behavior of a galactic black hole system (McHardy et al. 2004). At high X-ray flux, the spectrum of the galaxy is characterized by a power law with photon index $\Gamma \sim 1.8$–2 which becomes harder above 7 keV where a reflection component from cold matter has been observed. On long time-scales, the X-ray light curve of NGC 4051 shows low state flux periods of several months during which the spectrum in the energy range 2–10 keV becomes harder ($\Gamma \approx 1$) and shows a strong iron Kα line (as found by Guainazzi et al. 1998 in Beppo-SAX data). A soft X-ray excess is also evident.

As reported by Ogle et al. (2004), the high state X-ray spectrum of NGC 4051 in the soft band is a combination of continuum and emission line components. Curvature in the spectrum cannot be explained with simple models, i.e. a single power law or a black body, because an ionized absorber-emitter has to be taken into account as well. In this context, Krongold et al. (2007) showed that the evolution in time of the properties of the warm absorber can constrain the physical parameters of the absorbing gas. In particular they find that at least two different ionization components are required with matter densities of $\sim 10^4$ cm$^{-3}$ and $\gtrsim 10^5$ cm$^{-3}$, thus placing the warm absorber in the vicinity of the accretion-disk. Dynamical arguments permit us to infer that the warm absorber gas originates in a radiation-driven high-velocity outflow in accretion disk instabilities (Krongold et al. 2007).

On the other hand, as shown by Pounds et al. (2004), the low state flux spectrum of NGC 4051 is dominated by narrow emission lines and radiative recombination continua (RRC) from hydrogenic and He-like carbon, oxygen, neon and nitrogen. To be specific, a fit to the identified RRCs yields a mean temperature for the emitting gas of $T \approx 4 \times 10^{4}$ K, which favors a scenario invoking a photoionization process. In this case, the soft X-ray spectrum of NFG 4051 in low state is similar to that observed for the prototype Seyfert 2 galaxy NGC 1068 (see Kinkhabwala et al. 2002).

Below we do not repeat the analysis of the EPIC data but refer to Pounds et al. (2004) for more details on the main results obtained in the energy band 0.3–10 keV. We only say that a comparison between the EPIC PN data for the 2001 and 2002 observations shows that the high state observation flux level is a factor ~5 greater with respect to the low state. Furthermore, the spectrum shows a gradual flattening of the continuum slope from 3 keV up to 6.4 keV. It was also noted that when the fit to the 0.3–10 keV band continuum is extrapolated down in the soft X-ray (0.3–3 keV) a strong excess appears in both the two observations, and as is clear from the RGS spectrum, it can be explained by a blending effect of line structures (emission lines).

Here we first conducted a phenomenological study of the emission lines identified in the spectrum of NGC 4051 and compare our results with those known in literature. We further compared the RGS emission line spectrum with synthetic spectra generated with the photoionization code Cloudy 8 (Ferland et al. 1998). For this purpose we followed a similar approach as in Armentrout et al. (2007) (to which we refer for more details) on NGC 4151.

The paper is structured as follows: in Sect. 2 we briefly describe the reduction of the XMM-Newton data set and describe our phenomenological analysis of the soft X-ray spectrum of NGC 4051. In Sects. 3 and 4 we give details on the Cloudy model developed and address some conclusions.

## 2. A phenomenological study of the low state of NGC 4051: data reduction and line identification

The source NGC 4051 ($\alpha = 12^h 03^m 09.6^s$ and $\delta = 44^\circ 31' 53.0''$) was observed by the XMM-Newton satellite on two occasions: on May 2001 for $\sim 122$ ks and on November 2002 for $\sim 52$ ks. While the former observation coincided with a period where the central engine was bright (with luminosity of $7 \times 10^{41}$ erg s$^{-1}$ in the 0.3–10 keV, Pounds et al. 2004), the latter corresponded to a low state X-ray flux (corresponding to a luminosity of $1.5 \times 10^{41}$ erg s$^{-1}$ in the 0.3–10 keV, Pounds et al. 2004) due to a low nuclear activity. This observation was conducted ~20 days after the onset of the low state (Pounds et al. 2004). Below we focus on the low state data analysis, because the warm absorber observed at high state was already well studied with physical models (Ogle et al. 2004; Krongold et al. 2007; Steenbrugge et al. 2009). On the contrary, no attempt has yet been made to model the warm mirror in the low state with a self consistent physical model.

The ODF files (OM, MOS, PN and RGS) were processed with the XMM-Science Analysis System (SAS version 8). Hence the raw data were reduced using SAS tasks with standard settings and the most update calibration files to produce the source and background spectra as well as the corresponding response matrices for the RGS cameras.

We used XSPEC 12.5.1 (Arnaud et al. 2007) for our quantitative analysis and adopted the cosmological parameters $H_0 = 70$ km s$^{-1}$ Mpc$^{-1}$, $\Omega_0 = 0.73$ and $\Omega_m = 0.27$.

To study the soft X-ray spectra of NGC 4051 in more detail, we then examined the first order spectra obtained by the XMM-Newton gratings. The spectral resolution of RGS in the first order spectrum is $FWHM \approx 72$ mÅ and the calibration in wavelength is accurate up to 8 mÅ corresponding to $FWHM \approx 620$ km s$^{-1}$ at $\Delta \lambda \approx 69$ km s$^{-1}$ at 35 Â (XMM-Newton Users Handbook 2009). Below we use the unbinned RGS 1 and RGS 2 spectra for the quantitative analysis. In Fig. 1, we show the fluxed RGS spectrum in the wavelength range 5–38 Â.

As can be clearly seen, the 2002 RGS spectrum of NGC 4051 shows an unresolved continuum with a predominance of emission lines (see for comparison the RGS spectrum of NGC 1068 presented in Kinkhabwala et al. 2002). By contrast, the high state RGS spectra of the same source show a higher continuum flux level with a pronounced curvature around ~15 Â and several absorption features (Pounds et al. 2004) typical of a warm absorber. Interestingly, the N VI, O VII and Ne IX forbidden lines are seen in both observations with the same flux level (Pounds et al. 2004).

The phenomenological spectral analysis follows the local fits method described in Guainazzi & Bianchi (2007). In particular, the unbinned spectra are divided in intervals of $\sim 100$ channels wide and Gaussian profiles are used to account for all identified emission lines, with the line centroid energy as the only free parameter of the fit.

Analogously, free-bound transitions (i.e. Radiative Recombination Continua) were also modeled as Gaussian profiles with free line width. Best-fit values of these widths are reported in Table 2 together with their errors. The local continuum was modeled as a power law with a fixed photon index $\Gamma = 1$ and free normalization. For line triplets and for
The electron temperature $T_e$ can be inferred by studying the profiles of the radiative recombination continua (RRC). In the RGS spectrum of NGC 4051 the RRCs detected with $\Delta C \geq 2.3$

2.1. Radiative recombination continua (RRC)

The electron temperature $T_e$ can be inferred by studying the profiles of the radiative recombination continua (RRC). In the RGS spectrum of NGC 4051 the RRCs detected with $\Delta C \geq 2.3$

Table 1. Best-fit parameters for the transitions identified in the soft X-ray spectrum of NGC 4051.

| Line ID | $\lambda_{\text{obs}}$(Å) | $\lambda_{\text{cal}}$(Å) | $v$ (kms$^{-1}$) | Flux ($\times 10^{-14}$ erg cm$^{-2}$ s$^{-1}$) | $\Delta C$ |
|---------|----------------|----------------|----------------|--------------------------------|---------|
| Ne X Ly-α | 12.134 12.134 | 12.134 12.134 | $-23^{+25}_{-20}$ | $1.5^{+10}_{-1.5}$ | 3 |
| Ne IX (r) | 13.447 13.447 | 13.447 13.447 | $-7^{+2}_{-20}$ | $<0.81$ | - |
| Ne IX (i) | 13.550 13.550 | 13.550 13.550 | $23^{+20}_{-20}$ | $<0.77$ | - |
| Ne IX (f) | 13.700 13.700 | 13.700 13.700 | $-40^{+20}_{-20}$ | $<4.7^{+10}_{-1.5}$ | 50 |
| Fe XVII 3s-2p | 17.073 17.073 | 17.073 17.073 | $-135^{+20}_{-20}$ | $3.3^{+10}_{-1.5}$ | 21 |
| O VIII Ly-α | 18.969 18.969 | 18.969 18.969 | $150^{+10}_{-10}$ | $7.0^{+10}_{-1.5}$ | 135 |
| O VII (r) | 21.600 21.600 | 21.600 21.600 | $-202^{+20}_{-20}$ | $<0.80$ | - |
| O VII (i) | 21.790 21.790 | 21.790 21.790 | $194^{+20}_{-20}$ | $7.2^{+10}_{-1.5}$ | 74 |
| O VII (f) | 22.101 22.101 | 22.101 22.101 | $32^{+20}_{-20}$ | $15.0^{+10}_{-2.5}$ | 238 |
| N VII Ly-α | 24.781 24.781 | 24.781 24.781 | $196^{+20}_{-20}$ | $2.0^{+10}_{-0.5}$ | 17 |
| N VII (r) | 28.787 28.787 | 28.787 28.787 | $-104^{+20}_{-20}$ | $<0.92$ | - |
| N VII (i) | 29.083 29.083 | 29.083 29.083 | $-94^{+20}_{-20}$ | $1.3^{+10}_{-0.5}$ | 6 |
| N VII (f) | 29.534 29.534 | 29.534 29.534 | $-103^{+20}_{-20}$ | $3.6^{+10}_{-0.5}$ | 38 |
| C VI Ly-α | 33.736 33.736 | 33.736 33.736 | $233^{+20}_{-20}$ | $3.5^{+10}_{-0.5}$ | 29 |

Notes. From left to right we give the name of the detected ion transition, the expected centroid wavelength ($\lambda$) in the rest-frame as extracted from the CHIANTI database (Dere et al. 2001), the observed wavelength ($\lambda$), the corresponding shift in velocity (km s$^{-1}$), the line flux (in units of 10$^{-14}$ erg cm$^{-2}$ s$^{-1}$) and the associated difference in C-statistics, i.e. $\Delta C$. All lines that were not identified ($\Delta C < 2.3$) but are part of triplet features are also reported.

correspond to O VII, C V and C VI (see Table 2 for details). Expressing the temperature widths in eV to $kT_e$ (Liedhal 1999), we estimate them to be

$$T_{O VII} = \left(5.0^{+1.0}_{-1.0}\right) \times 10^6 \text{ K},$$

$$T_{C VI} = \left(3.0^{+1.0}_{-1.0}\right) \times 10^6 \text{ K},$$

$$T_{C V} = \left(1.2^{+0.5}_{-0.5}\right) \times 10^4 \text{ K},$$

(1)

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Table 2. The same as in Table 1 but for the identified RRCs.

| Line ID | \(\lambda\) (Å) | \(v\) (kms\(^{-1}\)) | Flux (\(\times 10^{14}\) cgs) | \(\Delta C\) |
|---------|-----------------|-----------------|-----------------|-------|
| O\(\text{vii}\) RRC | 16.771 | 0.16 | 220 | 3.8 | 38 |
| C\(v\) RRC | 31.622 | 0.16 | -1070 | 3.4 | 9 |
| C\(vi\) RRC | 25.304 | 0.16 | -1250 | 6.4 | 24 |

![Fig. 2. Distribution of residual velocity for all lines in Table 1 with respect to the cosmological one. Note that the observed shifts are consistent with the cosmological ones, i.e. no outflow or inflow is observed. The solid line represents the Gaussian best-fit to the data.](image)

respectively, so that the average gas temperature is \(T_e = (3.1^{+2.5}_{-1.6}) \times 10^4\) K, which agrees well with the result quoted by Pounds et al. (2004). It is to note that the low temperature found in this way is an indication that collisional ionization and excitation processes are negligible (Liedhal 1999).

In this phenomenological analysis, we used Gaussian profiles to fit the RRC features, which are in principle asymmetric. Still we verified that the use of a more appropriate model, as e.g. `redge` in XSPEC, gives consistent results.

### 2.2. He-like triplet diagnostic

![Fig. 3. Zoom around the O\(\text{vii}\) triplet lines in the low flux state. The emission lines correspond to the f, i and r components, respectively. Only an upper limit to the resonance line r can be obtained (see text). The solid line represents the best-fit obtained with a power law + Gaussian lines model (details in text).](image)

We detected the most intense lines of He-like ions in the range 5–35 Å. The transitions between the \(n = 2\) shell and the \(n = 1\) ground state shell as the resonance line \(\nu_1: 1s^2 1S_0 - 1s 2p^1 P_1\), the two inter-combination lines \(\nu_2: 1s^2 1S_0 - 1s 2p^2 P_{2,1}\), and the forbidden line \(\nu_3: 1s^2 1S_0 - 1s 2s^2 S_{1/2}\) were detected. As demonstrated by Porquet & Dubau (2000) the relative emission strength of the \(r, i\) and \(f\) lines are good indicators of the physical conditions of density and temperature of the gas. Using standard notation we defined the ratios \(R = f/i, L = r/i\) and \(G = (f + i)/r\) (Porter & Ferland. 2007). Figure 3 shows the triplet of the O\(\text{vii}\) complex (forbidden, inter-combination and resonance lines) locally fitted by a power law and three Gaussian. In this case, following the phenomenological fit approach described in the previous section, we only had a measurement for the fluxes of the \(f\) and \(i\) components (see Table 1).

With the flux measurements quoted in Table 1, the previous relations give \(R = 2.1^{+0.3}_{-0.6}, L = 0.07 \pm 0.06\) and \(G = 47^{+34}_{-29}\). Analogously, for the NV\(\text{i}\) triplet we get \(R = 2.7^{+1.2}_{-1.9}, L \leq 0.69\) and \(G \geq 5.4\) (poorly constrained because we only got an upper limit to the \(r\) line flux value), respectively. For Ne\(\text{ix}\) we had a lower limit only on the \(R(\geq 5.6)\) ratio, while the ratio of the O\(\text{viii}\) Ly-\(\alpha\) to the O\(\text{vii}\) forbidden intensity lines results in \(0.47^{+0.14}_{-0.13}\). These line ratios are consistent with the results by Pounds et al. (2004).

### 2.3. Results of the phenomenological study: evidence of photoionized gas

The results obtained from the phenomenological study allow us to highlight some considerations on the physical conditions of the X-ray emitting gas in NGC 4051. Indeed, according to the study of Porquet & Dubau (2000), a value of the \(G\) ratio higher than 4 is a strong indication of a photoionized gas. An estimate of the gas electron density \(n_e\) can be done when the other two line ratios \(L\) and \(R\) are taken into account. In the particular case of the O\(\text{vii}\) triplet line ratios quoted above, the electron density is constrained to be \(n_e \leq 10^{10} \text{ cm}^{-3}\) for a pure photoionized gas (Porquet & Dubau 2000). Note however that the line intensities obtained from the phenomenological study described above do not account for a warm absorber, which is not taken into account in the model.

An additional constraint on the electron density value can be obtained noting that the XMM-Newton observation of NGC 4051 in its low state occurred \(~\)20 days after the source entered this regime. Because the O\(\text{vii}\) triplet line intensity is consistent with that measured during high flux states (Pounds et al. 2004), it is believed that the recombination time of the O\(\text{vii}\) is larger than 20 days, thus implying (for a gas temperature of \(\approx 10^4\) K) a more stringent constraint on the electron density of \(n_e \leq 10^5 \text{ cm}^{-3}\) (Pounds et al. 2004).
3. Fitting the spectra with the photoionization code Cloudy

3.1. General properties of the model

The results of the phenomenological analysis in Sect. 2 show that the bulk of the spectrum, measured by the RGS during the X-ray low state in NGC 4051, is dominated by photoionization as already suggested by other authors (see e.g. Pounds et al. 2004).

In this section we use the photoionization code Cloudy (Ferland et al. 1998) for modeling the overall spectrum of NGC 4051 in its low state assuming a plane parallel geometry with the central engine shining on the inner face of the cloud with a flux density depending on the ionization parameter \( U \).

The spectrum produced by a photoionized nebula critically depends on the spectral energy distribution (SED) of the ionizing continuum. Below we adopt the AGN SED as in Korista et al. (1997b). In a typical AGN the observed continuum can be well represented by a SED characterized by several components: a big blue bump with temperature \( T_{BB} \approx 10^6 \) K (1 Ryd), a power law with a low energy exponential cut-off for energies lower than 1 Ryd, finally, for energies greater than 100 keV an exponential fall as \( \propto \nu^{-5} \) is usually assumed.

We also included in the modeling the cosmic microwave background so that the incident continuum has a non-zero intensity for long wavelengths. Hence the AGN spectrum is described by the law

\[
F(\nu) = \nu^{\alpha_{II}} e^{-\frac{\nu}{T_{BB}}} + A \nu^{\alpha_{PL}} e^{-\frac{\nu}{h(13.6 \text{ keV})}},
\]

where \( \alpha_{II} = -0.50 \), \( \alpha_{PL} \) is the spectral photon index and the constant \( A \) is obtained requiring that \( F(2 \text{ keV})/F(2500 \text{ Å}) \approx 0.25 \) (Korista et al. 1997a), where \( F(2 \text{ keV}) \) and \( F(2500 \text{ Å}) \) are the flux densities at 2 keV and 2500 Å, respectively.

To determine \( \alpha_{II} \) and \( \alpha_{PL} \), we used the Epic data corresponding to the NGC 4051 high state observation. The resulting 0.2–10 keV energy band spectrum was fitted with a photoelectrically absorbed power law model within XSPEC, thus allowing us to measure \( \alpha_{II} \approx 0.96 \pm 0.05 \) and \( F(2 \text{ keV}) \) at \( F(2500 \text{ Å}) \) are the flux densities at 2 keV and 2500 Å, respectively.

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The OM instrument we estimated the aperture photometry of the target in the UVM2 filter (centered at 2310 Å) obtaining a flux density of \( F(2310 \text{ Å}) \approx (1.50 \pm 0.01) \times 10^{-14} \text{ erg s}^{-1} \text{ cm}^{-2} \text{ Å}^{-1} \). From the flux densities at 2 keV and 2500 Å, the X-UV flux density ratio results in \( \alpha_{PL} \approx -1.14 \).

Once the AGN SED (erg s\(^{-1}\) cm\(^{-2}\) Hz\(^{-1}\)) is known, it is straightforward to show that the number of hydrogen-ionizing photons \( Q \), the electron density \( n_e \) and the dimensionless ionization parameter \( U \) are related by \( U = Q/4\pi r^2 n_e c \) with \( r \) the distance between the central engine and the innermost illuminated layer of the clouds. Here we require that integrating over the SED (between 13.6 eV and 13.6 keV) we get the ionizing luminosity \( L_{ion} \approx 4.1 \times 10^{50} \text{ erg s}^{-1} \) (Ogle et al. 2004). In Fig. 4 we compare the SED used in this paper (solid line) with that given in Ogle et al. (2004). We recall that the dimensionless ionization parameter \( U \) does not depend on the flux below 13.6 eV. The two spectral energy distributions give rise to comparable integrated fluxes in the 0.3–10 keV energy band (within a few percent).

Note also that through the well known definitions of the ionizing luminosity \( L_{ion} \), of the number of ionizing photons \( Q \) (Ferland et al. 1998) and the used SED \( F(\nu) \), it is possible to estimate a useful conversion relation between the dimensionless ionization parameter \( U \) and the ionization parameter \( \xi \) as given in Tarter et al. (1969), i.e. \( \xi = 20U \text{ erg cm s}^{-1} \).

3.2. Fit to the RGS spectrum

Assuming the standard AGN continuum described above, we generated a grid of reflected spectra from a photoionized nebula, varying the ionization parameter \( \log Q \) and the total column density \( \log N_H \). The free parameters spanned the ranges \( \log U = [-1.0, 4.0] \), \( \log(n_e/\text{cm}^3) = [2, 12] \) and \( \log(N_H/\text{cm}^2) = [19, 24] \) in steps of 0.1 dex, respectively.

Initially we extracted the line intensities from these simulations for all lines detected in the soft spectrum of NGC 4051. Hence, we tried to determine the best model that can describe the RGS line spectrum in the whole 5–35 Å band. Following the procedure described in Longinotti et al. (2008), we calculated the value of the merit function for each grid model

\[
\chi^2 = \sum \frac{(I_c - I_l)^2}{\sigma^2}
\]

where \( I_c \) is the intensity of each of the identified lines (with statistical error \( \sigma \)), and \( I_c \) is the intensity as predicted by Cloudy, both normalized to the value of the O VIII Ly-\( \alpha \) line.

Minimizing the merit function quoted above gives a best-fit model \( (\chi^2 = 13.8 \text{ with degrees of freedom } \nu = 10) \) corresponding to the parameter values \( \log U = 0.4, \log(n_e/\text{cm}^3) = 4.4 \) and \( \log(N_H/\text{cm}^2) = 21.8 \). A quantitative measure of the fit goodness for the used model is given by the Chi-square Probability Function \( Q(\chi^2, \nu) \) as defined in Press et al. (2004). If the single phase component model is the true representation of the data, the probability to obtain the observed \( \chi^2 \) value is as high as \( Q = 12\% \). In this case, the model consisting of a single ionization state can be statistically rejected.

We therefore investigated more complex models, including an additional warm mirror and one warm absorber covering the combination of emitting components. For this approach to be fruitful the constraints provided by the continuum shape are crucial. Below we will fit the whole RGS spectrum globally.
3.3. Global fit to the RGS spectrum

We generated additive and multiplicative fits tables (with the same grid of parameters as before) to account for both the emission and absorption features observed in the RGS spectrum, and imported them within XSPEC as described in Porter et al. (2006). Our final model can be described by the formula $\text{phabs} \ast \text{mtab}(n_e, N_{\text{H}}, U) \ast \left[ \sum \text{atab}(n_e, N_{\text{H}}, U) \right]$. Here, $\text{mtab}$ and $\text{atab}$ indicate the warm absorber component and the reflected component part of the spectrum depending on the electron density, hydrogen column density and ionization parameter, respectively. In the model, the redshift of each component is fixed to the cosmological value due to the lack of measurable velocity shifts from the phenomenological analysis (Fig. 2), while all the other parameters are free to vary. In the fit procedure we fixed the column density of neutral hydrogen to the average value observed in the Galaxy along the line of sight to NGC 4051, i.e. $1.32 \times 10^{20}$ cm$^{-2}$ (Dickey & Lockman 1990).

The fit does not formally depend on values of $n_e \leq 10^9$ cm$^{-3}$, which is expected because the ratios of the He-like triplets are insensitive to the electron density in this region of the space parameter (Porquet & Dubau 2000). Given the constraint on this parameter derived from the source time variability, we fixed its value to $10^8$ cm$^{-3}$ hereafter.

We recursively increased the number of Cloudy additive components until this operation resulted in a statistically significant improvement of the fit quality. We found that two emission and one absorption components are required to fit the data. In particular, the final model corresponds to a value of the C-statistic of 6300 with 5178 d.o.f. and the model parameters are given in Table 4. Conversely, when the warm absorber component is not taken into account the fit visibly worsens and converges to a C-statistic value of 9452 with 5182 d.o.f. In this case, the line intensities corresponding to the He-like transitions are not correctly estimated, with specifically the recombinations line of the O VII triplet well over-estimated (see Fig. 5).

We then extracted the line fluxes predicted by the best-fit model and compared them with the observations. In Fig. 6, we show with filled squares the intensities of all observed (see Table 1) and simulated (triangles) lines once normalized to the O VIII Ly-$\alpha$ flux. The lower panel of the same figure shows the residuals between observation and theory. Note that the simulation underestimates the contribution of the Fe XVII transitions, because the Cloudy database is inaccurate for the corresponding atomic parameters (see e.g. Bianchi et al. 2010). The normalized intensities of the observed lines as well as the Cloudy predictions are also reported in Table 3 for clarity with the missing value of the Fe XVI transition.

In Table 4 we give the relevant quantities estimated from the fit procedure (i.e. $n_e$, $N_{\text{H}}$, and $U$) together with their respective errors at the 90% confidence level for one interesting parameter. The 5–35 Å low-state spectrum of NGC 4051 is plotted in Fig. 7 with the best-fit Cloudy model superimposed on the observed RGS 1 (red) and RGS 2 (black) data and residuals in the lower part of each panel.

![Fig. 5](image5.png) Comparison of a model with two emission components (solid line) with the observed RGS spectrum (zoom around the O VII triplet).

![Fig. 6](image6.png) Intensities of the observed (filled squares) and simulated (triangles) lines corresponding to the best-fit and normalized to the O VIII Ly-$\alpha$ flux (see also Table 1). Residuals are in the right bottom panel.

**Table 3.** Intensities of the observed lines and of those simulated by Cloudy corresponding to the best-fit and normalized to the O VIII Ly-$\alpha$ flux (see text and Fig. 6 for more details).

| Line ID | $\lambda_{\text{rest}}$(Å) | Observed ratio | Cloudy predicted ratio |
|---------|--------------------------|----------------|------------------------|
| Ne x Ly-$\alpha$ | 12.134 | 0.2$^{+0.1}_{-0.0}$ | 0.2 |
| Ne IX (r) | 13.447 | $\leq 0.1$ | 0.1 |
| Ne IX (i) | 13.550 | $\leq 0.1$ | 0.2 |
| Ne IX (f) | 13.700 | 0.7$^{+0.2}_{-0.1}$ | 0.6 |
| Fe XVII 3s-2p | 17.073 | 0.5$^{+0.3}_{-0.2}$ | - |
| O VIII Ly-$\alpha$ | 18.969 | 1.0$^{+0.3}_{-0.2}$ | 1.0 |
| O VII (r) | 21.600 | $\leq 0.1$ | 0.3 |
| O VII (i) | 21.790 | 1.0$^{+0.2}_{-0.1}$ | 0.6 |
| O VII (f) | 22.101 | 2.2$^{+0.3}_{-0.2}$ | 2.5 |
| N VII Ly-$\alpha$ | 24.781 | 0.3$^{+0.1}_{-0.1}$ | 0.2 |
| N VI (r) | 28.787 | $\leq 0.1$ | 0.01 |
| N VI (i) | 29.083 | $0.1^{+0.1}_{-0.1}$ | 0.01 |
| N VI (f) | 29.534 | 0.5$^{+0.1}_{-0.1}$ | 0.1 |
| C VI Ly-$\alpha$ | 33.736 | 0.5$^{+0.1}_{-0.1}$ | 0.7 |

The 5–35 Å low-state spectrum of NGC 4051 is plotted in Fig. 7 with the best-fit Cloudy model superimposed on the observed RGS 1 (red) and RGS 2 (black) data and residuals in the lower part of each panel.

Note that to estimate the covering factor of the source, we extracted the luminosity of the most prominent emission line, O VII (f), as predicted by Cloudy. For the two reflection components included in our model, we simulated the expected spectrum the SED described in Sect. 3.1 and fixing the electron density $n_e$ and hydrogen column density $N_{\text{H}}$ to the best-fit values.
the modeling of the resonance line of the O\textsc{vii} triplet (see Fig. 5) which is close to several absorption features. For example, the resonance line could be weakened by the same line in absorption\(^2\) (see e.g. Krongold et al. 2007). Nonetheless, the physical parameters of the warm absorber cannot be well-constrained by the analysis of the low flux state data (see Table 4).

The average distance \(r\) of each of the photoionized plasma-emitting components from the nuclear source can be estimated by the definition of the ionization parameter \(U\) after normalizing to the ionization luminosity \(L_{\text{ion}}\). However, our results are insensitive to values of the electron density \(n_e\) lower than \(10^5\) cm\(^{-3}\).

In this limit, we can only determine a lower limit of the X-ray-emitting gas location (Table 4).

The analysis carried out in this paper allowed us to identify two ionization states for the line emitting gas and one warm absorber medium. It is interesting to note that

- The X-ray emitting region can be placed at a distance of \(r \geq 0.05\) pc.

Indeed, Ogle et al. (2004) found that the NGC 4051 X-ray narrow-line regions can be placed at a distance of the same order of magnitude. This was also confirmed by the Chandra ACIS-S images of the same galaxy (Uttley et al. 1999), which showed a size of the diffuse emission smaller than that of the optical narrow-line regions (30–220 pc, Christopoulou et al. 1997), thus implying a clear separation between the X-ray and optical emissions.

This is also naturally expected as a consequence of projection effects: as shown by Schmitt et al. (2003), who studied a sample of 60 Seyfert galaxies with the Hubble Space Telescope, the Seyfert 1 narrow-line regions objects are more circular and compact than those in the Seyfert 2 galaxies, with the Seyfert 2 subsample characterized by more elongated shapes. This agrees well with the unified picture according to which the conical narrow-line region of a Seyfert 1 galaxy is observed close to the axis of symmetry, while that of a Seyfert 2 galaxy is observed from an orthogonal line of sight.

Furthermore, the scale-length found in this paper is consistent with the inner radius of the torus in NGC 4051 as determined by Blustin et al. (2005), i.e. \(r \approx 0.15\) pc.

- The NGC 4051 low state warm absorber is poorly constrained but its existence is nevertheless required by the fit.

\(^2\) As noted by Sako et al. (2000) and Kinkhabwala et al. (2002), the resonance line of the O\textsc{vii} triplet could be also enhanced by photoexcitation. Note however that this would also result in a boost of all the higher order resonance transitions of the \(L\)-like and \(He\)-like ions (\(Ly-\beta\), \(Ly-\sigma\), \(He-\beta\) and \(He-\alpha\)), but this enhancement is not currently observed.

### Table 4: Best-fit parameters for the three components of the adopted Cloudy model used to fit the RGS data.

|          | \(\log U\) | \(\log(n_e/\text{cm}^3)\) | \(\log(N_H/\text{cm}^2)\) | \(d\) (pc) | \(\Delta r_{f,1}\) (pc) |
|----------|------------|--------------------------|---------------------------|----------|-------------------------|
| Low      | 0.63\(\pm0.05\) | \(\leq5\) | 22.10\(\pm0.09\) | \(\leq0.22\) | \(\leq0.04\) |
| High     | 1.90\(\pm0.30\) | \(\leq5\) | 22.72\(\pm0.25\) | \(\geq0.05\) | \(\geq0.20\) |
| Warm Abs. | 0.55\(\pm0.10\) | \(\leq7\) | 23.36\(\pm0.11\) | \(\leq0.02\) | \(\leq0.01\) |

**Notes.** Errors are given at the 90% confidence level for one interesting parameter. Columns are: the ionization parameter, electron density, Hydrogen column density, distance from the central ionizing source, and the average X-ray emitting source size evaluated as \(\Lambda \approx N_H/f_{n_e}\), where \(f\) is the filling factor. Here, for simplicity we have assumed \(f = 1\).
In particular, we found a lower limit of the warm absorber distance \( \gtrsim 0.02 \) pc, i.e. at least a factor 10 larger than that measured in the high state flux (Krongold et al. 2007).

Indeed, by using the long XMM-Newton exposure of NGC 4051 in its high flux state and studying the time evolution of the ionization states of the X-ray absorbers, Krongold et al. (2007) were able to put severe constraints on the physical and geometrical properties of the warm absorber medium.

They specifically found that the warm absorber consists of two different ionization components which are located within 3.5 lt-days (or 0.0029 pc) from the central massive black hole. This result allowed the authors to exclude an origin in the dusty obscuring torus because the expected dust sublimation radius\(^3\) is at least one order of magnitude larger. Hence the authors

\(^3\) The torus inner edge has to be at a distance larger than the dust sublimation radius \( r_{\text{sub}} \). In the particular case of NGC 4051, Krongold et al. (2007) found \( r_{\text{sub}} \approx 0.01 \) pc.
suggested a model in which the black hole accretion disk is at the origin of a X-ray absorber wind, which forms a conical structure moving upward.

If this is the correct picture, when the continuum source is switched off, the compact warm absorber might not be observed anymore during the low state flux of NGC 4051. Our analysis showed instead the existence of a more exterior X-ray absorber, which absorbs the soft X-ray photons emitted from sources (as for example the inner surface of the conical structure proposed by Krongold et al. 2007) located (in projection) at scales larger than the torus and/or the narrow-line regions. Remarkably, this could indicate the existence of a diffuse warm material filling the wind-generated cone.

Figure 8 gives a qualitative representation of the model. During the high state flux (left panel) a two ionization component warm absorber (here labeled as II) lying within a few light-days (<0.003 pc) from the accreting black hole was identified by Krongold et al. (2007). Ogle et al. (2004) found that the NGC 4051 X-ray narrow-line regions can be placed at a distance of r > 0.02 pc, while the optical narrow-line regions are on the scale of ten of parsec (Christopoulou et al. 1997). During the low state flux (right panel), the interior warm absorber might not be observed anymore since the central engine is switched off. A more exterior warm absorber (labeled as I) could now absorb the X-ray photons emitted from sources located on the scale larger than the torus and/or the narrow-line regions.

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