



# Discovery of Protoclusters at $z \sim 3.7$ and 4.9: Embedded in Primordial Superclusters

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Received 2018 August 31; revised 2019 December 2; accepted 2019 December 2; published 2020 January 13

## Abstract

We have carried out follow-up spectroscopy on three overdense regions of  $g$ - and  $r$ -dropout galaxies in the Canada–France–Hawaii Telescope Legacy Survey Deep Fields, finding two new protoclusters at  $z = 4.898$  and  $3.721$  and a possible protocluster at  $z = 3.834$ . The  $z = 3.721$  protocluster overlaps with a previously identified protocluster at  $z = 3.675$ . The redshift separation between these two protoclusters is  $\Delta z = 0.05$ , which is slightly larger than the size of typical protoclusters. Therefore, if they are not the progenitors of a  $>10^{15} M_{\odot}$  halo, they would grow into closely located independent halos like a supercluster. The other protocluster at  $z = 4.898$  is also surrounded by smaller galaxy groups. These systems including protoclusters and neighboring groups are regarded as the early phase of superclusters. We quantify the spatial distribution of member galaxies of the protoclusters at  $z = 3.675$  and  $3.721$  by fitting triaxial ellipsoids, finding a tentative difference: one has a pancake-like shape, while the other is filamentary. This could indicate that these two protoclusters are in different stages of formation. We investigate the relation between redshift and the velocity dispersion of protoclusters, including other protoclusters from the literature, in order to compare their dynamical states. Although there is no significant systematic trend in the velocity dispersions of protoclusters with redshift, the distribution is skewed to higher velocity dispersion over the redshift range of  $z = 2$ – $6$ . This could be interpreted as two phases of cluster formation, one dominated by the steady accretion of galaxies and the other by the merging between group-size halos, perhaps depending on the surrounding large-scale environments.

*Unified Astronomy Thesaurus concepts:* Lyman-break galaxies (979); Galaxy environments (2029); High-redshift galaxy clusters (2007)

## 1. Introduction

The universe starts with a nearly uniform distribution of dark matter, and gravity gradually attracts matter to local density peaks to make virialized halos. The inhomogeneity of mass density keeps increasing; especially, mass density grows nonlinearly in higher-density regions (see Peebles 1980). Galaxies are formed according to the distribution of dark matter halos. As dark matter halos become more massive by merging with surrounding halos, the contrast of the number density of galaxies will also be higher. In the local universe, as the result of hierarchical structure formation across cosmic time, we can see various regions, such as galaxy clusters, groups, filaments, or voids, that compose the large-scale structure of the universe or cosmic web (e.g., de Lapparent et al. 1986; Geller & Huchra 1989; Alpaslan et al. 2014; Libeskind et al. 2018). Galaxy clusters are usually located at the knots of the cosmic web; especially, massive clusters tend to be surrounded by other clusters or groups, known as “superclusters,” which are overdense regions in a few tens of Mpc scale. About half of local clusters are found to reside in superclusters based on the Abell cluster catalog or X-ray survey (Bahcall & Soneira 1984; Chon et al. 2013). Therefore, galaxy clusters are key components

of the large-scale structure of the universe, where mass density is drastically increased over the initial small fluctuation.

In addition, galaxy clusters are good laboratories to understand environmental effects on galaxy evolution. In the local universe, it is well known that galaxy properties in higher-density regions are significantly different from those in lower-density regions: red, massive elliptical galaxies tend to reside in galaxy clusters, and cluster galaxies make a tight sequence on a color–magnitude diagram (e.g., Dressler 1980; Lewis et al. 2002; Kauffmann et al. 2004; Bamford et al. 2009). The stellar populations of these galaxies imply that they are generally formed at higher redshifts than their field counterparts and experience short and intense star formation activity, like a starburst phase early in their formation history (Thomas et al. 2005; Raichoor et al. 2011; Gu et al. 2018). Furthermore, the physical properties of the brightest cluster galaxies depend on the internal structure or dynamical state of their host clusters at  $z \lesssim 0.5$  (Wen & Han 2013), and, in the local universe, the morphology of superclusters correlates with, e.g., the stellar mass and star formation rate (SFR) of member galaxies (Einasto et al. 2014). Although in the local universe, we can see the differences of galaxy properties, which are attributed to environmental effects, it is still unclear when and how galaxies

are affected by surrounding environments. In parallel with galaxy evolution in high-density environments, the large-scale structure itself is developing over cosmic time. The redshift evolution of both galaxies and large-scale structure is intricately connected due to anisotropic galaxy/mass assembly along the filaments (Kraljic et al. 2018). This complexity would prominently appear in galaxy clusters, as they are at the knots of the cosmic web. Thus, the existence of environmental effects on galaxy evolution is clearly confirmed by the studies of local galaxy clusters. However, in order to reveal the physical mechanisms of environmental effects over the long history of cluster formation, we need to directly observe the early stage of cluster formation, which would allow us to understand the physical properties on their way to mature galaxy clusters. The progenitors of galaxy clusters at high redshifts, or protoclusters, are good laboratories for investigating the relation between galaxy evolution and cluster formation (Overzier 2016).

Galaxy clusters having extended X-ray emission are found up to  $z = 2.5$  (Gobat et al. 2013; Wang et al. 2016), and quiescent galaxies reside in some clusters at  $z \sim 2$  (Newman et al. 2014; Strazzullo et al. 2018). Beyond  $z \sim 2$ , young star-forming galaxies, such as Lyman break galaxies (LBGs) and Ly $\alpha$  emitters (LAEs), tend to be a dominant galaxy population even in high-density regions (Kuiper et al. 2010; Spitler et al. 2012; Contini et al. 2016), though some quiescent galaxies are also clearly found in protoclusters at  $z \sim 2$ –3 (Kodama et al. 2007; Kubo et al. 2013; Shi et al. 2019b). Thus, protoclusters are found to harbor a wide range of galaxy populations. Shimakawa et al. (2018) showed that protocluster galaxies at  $z \sim 2$ –4 are more actively forming stars than in fields, and Forrest et al. (2017) found that extreme [O III]+H $\beta$  emission line galaxies are clustered in an overdense region. Similarly, dusty starburst galaxies identified by submillimeter imaging are frequently discovered in protoclusters (Casey 2016; Umehata et al. 2017; Miller et al. 2018; Zeballos et al. 2018). However, Tran et al. (2017) reported that H $\alpha$  emitters exhibit similar stellar growth regardless of environments. It is still unclear what causes the diversity of protocluster properties, such as star-forming activity. Some studies imply that there is a large amount of cold gas around protoclusters (Cucciati et al. 2014; Lemaux et al. 2018). Such cold gas could enhance the star formation of protocluster galaxies or ignite a starburst if it falls into the core of a halo as a cold stream. Even if the total amount of cold gas around protoclusters is the same, how much star formation is enhanced can largely vary because the accretion rate of such cold gas is dependent on surrounding large-scale structures, such as the number of filaments connected to knots (Dekel et al. 2009; Aragón-Calvo et al. 2010; Liao & Gao 2019). Although there are other possible physical mechanisms, investigating protoclusters from the viewpoint of the large-scale structure is one of the approaches to reveal galaxy evolution in high-density environments.

However, the rarity of protoclusters at high redshifts makes it difficult to conduct a systematic study. So far, the number of known protoclusters is only a few tens at  $z \gtrsim 2$  (only  $\sim 10$  at  $z \gtrsim 4$ ). To find such rare objects, many studies have used radio galaxies (RGs) or quasars (QSOs) as the signpost of overdense regions (e.g., Venemans et al. 2007; Wylezalek et al. 2013) because such galaxies are expected to be located in massive dark matter halos (e.g., Shen et al. 2007; Orsi et al. 2016). However, the relation between these objects and their environment is still under debate; Noirot et al. (2018) confirmed protoclusters

around RGs at  $1.4 < z < 2.8$ , while Uchiyama et al. (2018) found that there is no correlation between QSOs and environments at  $z \sim 4$ . The fraction of active galactic nuclei (AGNs) is different among protoclusters (Lehmer et al. 2013; Krishnan et al. 2017; Macuga et al. 2019). Thus, the method of using signposts has the potential to pick up only a subset of protoclusters. Complementary protocluster searches based on blank surveys without such signposts of protoclusters have been extensively performed recently. For example, the spectroscopic survey of the VIMOS Ultra-Deep Survey (Le Fèvre et al. 2015) has found many protoclusters at  $z \sim 3$ –5 by the direct investigation of spatial and redshift clustering of galaxies (Cucciati et al. 2014, 2018; Lemaux et al. 2014, 2018); the wide-field imaging survey of the Hyper SuprimeCam (Aihara et al. 2018) has made a systematic sample of protocluster candidates up to  $z \sim 6.6$  based on the projected overdensity of LBGs and LAEs (Higuchi et al. 2019; Toshikawa et al. 2018). It should be noted that even blank searches would identify only another subset of protoclusters. Photometric surveys require a certain selection of galaxy population; on the other hand, spectroscopic surveys tend to observe brighter targets compared with photometric surveys, though most of them observe down to well below the characteristic luminosity at a given redshift. From these various searches, the number of known protoclusters is gradually increasing (Bădescu et al. 2017; Oteo et al. 2018), which enables us to see a large variety of protoclusters (e.g., overdensity, size, galaxy population, and physical properties of member galaxies).

Toshikawa et al. (2016, hereafter T16) also carried out a blank protocluster search in the  $4 \text{ deg}^2$  area of the Canada–France–Hawaii Telescope Legacy Survey (CFHTLS) Deep Fields (Gwyn 2012) and identified 21 protocluster candidates at  $z \sim 3$ –6, which are defined as  $>4\sigma$  significance overdense regions of  $u$ -,  $g$ -,  $r$ -, or  $i$ -dropout galaxies. By comparison with the theoretical model (Henriques et al. 2012), 76% of candidates are expected to be in real protoclusters. Following this search for protocluster candidates, a follow-up spectroscopic observation is conducted on several of them. Three among four spectroscopically observed candidates are confirmed as genuine protoclusters at  $z = 3.13$ , 3.24, and 3.67, with more than five members spectroscopically confirmed. Although we have made follow-up spectroscopy for only four candidates at  $z \sim 3$ –4, this success rate is consistent with theoretical expectations. In other two candidates, close galaxy pairs are found at  $z = 4.89$  and 5.75, suggesting the existence of protoclusters, though more complete follow-up spectroscopy is required to reach a conclusion. In this study, we will extend follow-up spectroscopy for the protocluster candidates found by T16 to discover more protoclusters and make a close investigation into each protocluster. We observe three overdense regions using Keck II/DEIMOS (Faber et al. 2003): the first includes a plausible protocluster candidate at  $z = 4.89$  because a close galaxy pair was found, the second is not observed by the previous follow-up spectroscopy of T16, and the last contains a known protocluster at  $z = 3.67$  in order to make a more detailed investigation by increasing the number of confirmed member galaxies. The wide field of view (FoV) of Keck II/DEIMOS allows us to discuss the spatial and redshift distribution of galaxies from the viewpoint of large-scale structure. Here we present the results of our follow-up spectroscopy, including newly confirmed protoclusters.

The structure of this paper is as follows. Section 2 describes new observations and the details of the targets. In Section 3, the results of follow-up spectroscopy are shown, and the probability of the existence of protoclusters is estimated. We discuss the primordial large-scale structure and the internal structures of protoclusters in Section 4. The conclusions are provided in Section 5. We assume the following cosmological parameters:  $\Omega_M = 0.3$ ,  $\Omega_\Lambda = 0.7$ ,  $H_0 = 70 \text{ km s}^{-1} \text{ Mpc}^{-1}$ , and magnitudes are given in the AB system.

## 2. Observations

### 2.1. Targets

We have obtained follow-up spectroscopy on three overdense regions in the CFHTLS Deep Fields, which are identified by T16. Here is a brief description of the imaging data set and protocluster search in T16. The CFHTLS Deep Fields consist of four separate fields, and, in each field, five optical broadband data sets are available over  $\sim 1 \text{ deg}^2$ . The depth is almost uniform from field to field, and the  $3\sigma$  limiting magnitudes are  $\sim 28.1$ ,  $28.3$ ,  $27.8$ ,  $27.3$ , and  $26.4 \text{ mag}$  at the  $u$ ,  $g$ ,  $r$ ,  $i$ , and  $z$  bands, respectively. This corresponds to about  $M_{UV}^* + 2$  at  $z \sim 4-5$  (where  $M_{UV}^*$  is the characteristic magnitude of the Schechter function; Bouwens et al. 2007; van der Burg et al. 2010). From these wide and deep fields, we have selected  $u$ -,  $g$ -,  $r$ -, and  $i$ -dropout galaxies by the standard Lyman break technique over an  $\sim 4 \text{ deg}^2$  area. Local surface galaxy number density is calculated by counting dropout galaxies within an aperture of  $0.75$  ( $1.0$ )  $\text{Mpc}$  radius in physical scale for  $u$ -,  $g$ -, and  $r$ -dropout ( $i$ -dropout) galaxies because about 65% of the mass of the progenitors of  $(1-3) \times 10^{14} M_\odot$  halos is enclosed in this radius according to theoretical predictions (Chiang et al. 2013). Although larger apertures can include protocluster galaxies more completely, the excess of number density by a protocluster will weaken due to the contamination of foreground/background galaxies due to the large redshift uncertainty of the Lyman break technique ( $\Delta z \sim 1$ ). The apertures are distributed over all of the CFHTLS Deep Fields, and protocluster candidates are defined as regions where the number density excess from the average is  $>4\sigma$  significance. Comparing with a theoretical model (Henriques et al. 2012), 76% of  $>4\sigma$  overdense regions are expected to grow into galaxy clusters with a halo mass of  $>10^{14} M_\odot$  (refer to T16 for details). Due to the large redshift uncertainty of Lyman break selection, the completeness of our protocluster search is very small ( $\sim 10\%$ ). In particular, the progenitors of smaller galaxy clusters would be largely affected. Thus, it should be noted that our search by using dropout galaxies preferentially identifies more massive protoclusters.

By this criterion, 21 protocluster candidates are identified from  $z \sim 3$  to  $6$ . Eight (two at each redshift) of them were observed by follow-up spectroscopy in T16. Based on the theoretical model, we have evaluated the spatial distribution of protocluster members, which will merge into the same halo at  $z = 0$  (see Figure 8 in T16), and a typical redshift size of protoclusters is found to be  $\Delta z \lesssim 0.03$ . Then, three of the targeted eight candidates show strong redshift clustering within this redshift range, and we have investigated whether these observed concentrations can coincidentally be reproduced from a random galaxy distribution drawn from the redshift selection function of dropout galaxies. As a result, they cannot be reproduced from a random distribution  $>99\%$  of the time. Therefore, these three

candidates are confirmed to be real protoclusters at  $z = 3.13$ ,  $3.24$ , and  $3.67$ . In the same manner, since the redshift distribution in one overdense region of  $g$ -dropout galaxies is consistent with a random distribution probability of 21%, it is not regarded as a confirmed protocluster. In the other four candidates of  $r$ - and  $i$ -dropout galaxies, we cannot conclude whether they are real protoclusters or not because of the insufficient follow-up observations for higher-redshift candidates. The interested reader should refer to T16 for more details.

In this study, we focus on protocluster candidates at  $z \gtrsim 4$  because the number of known protoclusters is particularly small at these redshifts. Also, it would be observationally difficult to confirm protoclusters at  $z \sim 6$  ( $i$  dropouts) due to the shallow images of the  $z$  band in the CFHTLS Deep Fields. Therefore, we have made follow-up spectroscopic observations of the three overdense regions of  $r$ - and  $g$ -dropout galaxies in the D1 and D4 fields, which are termed “D1RD01,” “D1GD02,” and “D4GD01” in T16. Table 1 shows the basic information for these three target regions (e.g., R.A., decl., or overdensity). The overdense regions of D1RD01 and D4GD01 were already observed by follow-up spectroscopy in T16, while follow-up spectroscopy is performed for the first time for the overdense region of D1GD02 in this study. In the two overdense regions that are spectroscopically observed in T16, the slits of the previous spectroscopic observation are allocated to less than half of the dropout galaxies. Thus, even for the previously observed overdense regions, further follow-up spectroscopy is necessary in order to make a closer investigation and draw firm conclusions about the possible protocluster. We briefly summarize information regarding the follow-up spectroscopy for these three target regions below and give further details in Section 4 of T16.

**D1RD01.** We have identified the redshifts of only six  $r$ -dropout galaxies in total. Although two galaxies out of six are clustered in redshift as well as spatial space, this is too small a number to conclude that it is a protocluster. The high overdensity of the projected number of galaxies can be attributed to the chance alignment of some small groups along the line of sight, instead of a single massive structure like a protocluster.

**D1GD02.** This region is not the target of the previous follow-up spectroscopy of T16.

**D4GD01.** The overdense region of D4GD01 is already confirmed to include a protocluster at  $z = 3.67$  composed of at least 11 member galaxies. An AGN is also found in this region, but it would be hard to regard it as a member of the protocluster because the AGN is located far behind the protocluster (the line-of-sight separation between the AGN and the protocluster is  $\Delta z = 0.05$ , or  $\sim 8 \text{ Mpc}$  in the physical scale at  $z = 3.7$ ).

### 2.2. Follow-up Spectroscopy

Our spectroscopic observations in the two overdense regions were conducted as part of Keck Observatory programs U033D in 2015 and U130D in 2016. We used Keck II/DEIMOS with multi-object spectroscopy (MOS) mode. The slits have a length of  $4''0$  at minimum and a width of  $1''0$ . We use gratings 830G and 900ZD, which have high efficiency at wavelengths of  $\sim 5000-8000 \text{ \AA}$  corresponding to the wavelength of the redshifted Ly $\alpha$  emission line of  $g$ - or  $r$ -dropout galaxies. The spectral resolution of this configuration ( $2.1-2.5 \text{ \AA}$ ) is high enough to resolve the [O II] doublet (the wavelength separation



**Table 1**  
Overview of the Targets of the Follow-up Spectroscopy

| Name   | R.A. (J2000) | Decl. (J2000) | Population        | Overdensity <sup>a</sup> | $N_{\text{L BG}}^b$ | T16 <sup>c</sup> |
|--------|--------------|---------------|-------------------|--------------------------|---------------------|------------------|
| D1RD01 | 02:24:45.3   | −04:55:56.5   | <i>r</i> -dropout | $4.4\sigma$              | 40                  | Yes (15)         |
| D1GD02 | 02:25:56.2   | −04:48:30.4   | <i>g</i> -dropout | $4.2\sigma$              | 153                 | No               |
| D4GD01 | 22:16:47.3   | −17:16:52.7   | <i>g</i> -dropout | $4.3\sigma$              | 153                 | Yes (60)         |

**Notes.**

<sup>a</sup> Overdensity at the peak.

<sup>b</sup> Number of dropout galaxies within 3′ radius from the overdensity peak. Note that DEIMOS can observe more galaxies, since its FoV is wider than 6′.

<sup>c</sup> The overdense regions observed by follow-up spectroscopy in T16 are marked as “Yes.” The number of spectroscopically observed galaxies in T16, which are located within 3′ radius from its overdensity peak, is given in the parentheses.

**Table 2**  
Overview of Our Spectroscopic Observations<sup>a</sup>

| Target | Date              | Grism | $t_{\text{exp}}$ (minutes) | Seeing | $N_{\text{obs}}^b$ | $N_{\text{det}}^c$ |
|--------|-------------------|-------|----------------------------|--------|--------------------|--------------------|
| D1RD01 | 2015 Sep 14       | 830G  | 175                        | 0″.8   | 47 (4)             | 15                 |
|        | 2016 Sep 9 and 10 | 900ZD | 313                        | 0″.9   | 38 (20)            | 8                  |
| D1GD02 | 2015 Sep 15       | 900ZD | 157                        | 0″.8   | 101                | 21                 |
|        | 2016 Oct 28       | 900ZD | 270                        | 0″.7   | 85 (2)             | 29                 |
| D4GD01 | 2016 Oct 28       | 900ZD | 200                        | 0″.7   | 90 (9)             | 10                 |

**Notes.**

<sup>a</sup> Each row shows the information on one mask.

<sup>b</sup> Number of observed galaxies. The number of galaxies observed in previous observations is given in parentheses. A DEIMOS mask can typically contain ∼90–100 slits; thus, we have also observed dropout galaxies at other redshifts as mask fillers. For example, the masks targeting *r*-dropout overdense regions include *g*-dropout galaxies as well. Since such mask fillers do not belong to the candidates of protoclusters, they are not used in this study.

<sup>c</sup> Number of spectroscopically detected galaxies.

is 3.9–5.6 Å in the observed frame). The wide spectral range of DEIMOS enables us to fully cover the expected wavelength range of Ly $\alpha$  emissions from *g*- or *r*-dropout galaxies or to detect H $\alpha$ , H $\beta$ , and [O III] emission lines simultaneously if they are from contaminating low-redshift galaxies. Therefore, we can distinguish a single Ly $\alpha$  emission line from these other possible low-redshift contaminants. Furthermore, we calculate weighted skewness,  $S_w$ , which is a good indicator of asymmetry, to distinguish the Ly $\alpha$  emission line from the [O II] doublet (Kashikawa et al. 2006). In case that doublet is detected as a single line due to low spectral resolution, it should not show a large skewness. Section 4.2 of T16 gives more details about line contamination.

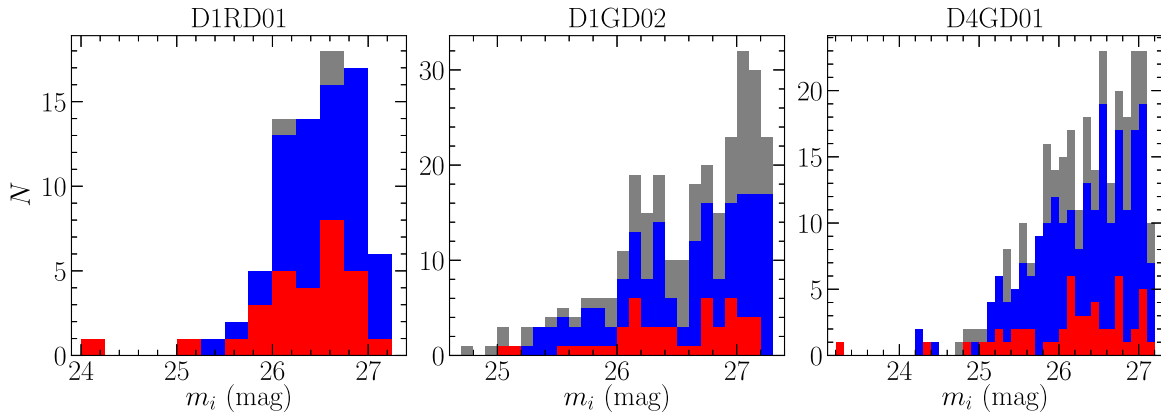
We have used five masks in total: two masks for the D1RD01, two for the D1GD02, and one for the D4GD01 region. The details of configuration and sky condition for each mask observation are summarized in Table 2. We put a higher priority on allocating slits to galaxies that were not observed by the previous follow-up spectroscopy in T16. Our masks also include observed but unconfirmed galaxies in order to detect their possible faint Ly $\alpha$  emission. In particular, the mask for the overdense region of D1RD01 used in 2016 September has many duplicated targets. The pipeline of spec2d<sup>11</sup> is used to reduce the data taken by DEIMOS (Cooper et al. 2012; Newman et al. 2013). The pipeline involves dividing the raw images into individual slits, flat-fielding, calculating a wavelength solution, subtracting sky background, and combining separate exposures into one spectrum with cosmic-ray removal. In addition to the science targets, slits in each mask are

allocated for bright stars (∼20 mag) to monitor the time variations of seeing size or atmospheric transmission between exposures. The differences of seeing size and transparency between exposures are found to be  $\lesssim 0''.1$  and  $\lesssim 10\%$ , respectively. Table 2 also shows seeing sizes and total exposure times, and the integration time for each individual exposure is typically 20 minutes.

Based on one-dimensional spectra produced by the pipeline, we have made the crude identification of possible emission lines with the criterion of three connected pixels having a signal-to-noise ratio (S/N) of more than 1.0 pixel<sup>−1</sup>. The fake emission lines caused by sky residuals and ghosts can be removed by visual inspection on two-dimensional spectra. Because the predicted position from the mask design could be shifted by up to a few pixels, one-dimensional spectra are manually extracted again so that we can correctly trace object positions. Then, we have estimated the S/N of emission lines by integrating all pixels in a line profile, and insignificant lines with S/N < 3 are removed from the sample of detected emission lines. For flux calibration, we have observed the spectroscopic standard stars of Feige 15 or BD +28d4211 with a 1″.0 long slit and the same grating as science targets each night. The standard stars are reduced in the same way as science targets, and the slit loss is corrected based on the ratio between slit width and seeing size, in which its light profile is assumed to be a Gaussian function whose width is the seeing size. The sensitivity as a function of wavelength is estimated by the IRAF tasks standard and sensfunc with the correction of airmass and extinction and applied to science targets with the IRAF task fluxcalib.

In this study, we have allocated 361 slits for dropout galaxies in the overdense regions of *r*- and *g*-dropout galaxies, and 83

<sup>11</sup> The data-reduction pipeline was developed at the University of California, Berkeley, with support from National Science Foundation grant AST 00-71048.



**Figure 1.** The  $i$ -band magnitude distributions of dropout (gray), spectroscopically observed (blue), and  $\text{Ly}\alpha$ -detected (red) galaxies within  $3'$  radius of the overdensity peaks of the D1RD01 (left), D1GD02 (middle), and D4GD01 (right) regions.

galaxies are newly confirmed by detecting their  $\text{Ly}\alpha$  emission lines (Table 2). Although our spectroscopy may detect continuum only from bright galaxies ( $\lesssim 24$  mag), its S/N is not high enough to identify absorption lines, and we cannot precisely determine redshifts by the Lyman break. Therefore, it should be noted that we can spectroscopically confirm only dropout galaxies having a  $\text{Ly}\alpha$  emission. Combining with the previous work of T16, the total numbers of spectroscopically observed (confirmed) galaxies are 76 (29), 184 (50), and 224 (52) in the overdense regions of D1RD01, D1GD02, and D4GD01, respectively. Figure 1 shows the magnitude distributions of dropout and spectroscopically observed/confirmed galaxies in the three target regions. The fractions of spectroscopically observed galaxies among dropout galaxies located within  $3'$  radius from the overdensity peak are 93% ( $=37/40$ ), 32% ( $=49/153$ ), and 53% ( $=81/153$ ) for the D1RD01, D1GD02, and D4GD01 regions, respectively. Based on the Kolmogorov–Smirnov (K-S) test, the magnitude distributions of spectroscopically observed/confirmed galaxies are consistent with those of dropout galaxies located in the overdense regions (the  $p$ -values of the K-S test are  $p_{\text{K-S}} > 0.5$  for any combination). There is no clear contamination of low-redshift galaxies in our follow-up spectroscopy. However, since the possible contaminants of the color selection of dropout galaxies are mainly dwarf stars or quiescent galaxies rather than  $\text{H}\alpha$ ,  $[\text{O II}]$ , or  $[\text{O III}]$  emitters, we need continuum detections with high S/N in order to spectroscopically confirm them. Although faint low-redshift galaxies or dwarf stars could contaminate the sample of unconfirmed dropout galaxies, the contamination rate expected by the color selection of dropout galaxies may be up to  $\sim 5\%$  at worst (refer to T16 for details).

We use only confirmed dropout galaxies for the following analysis. The observed properties, such as redshift,  $\text{Ly}\alpha$  luminosity ( $L_{\text{Ly}\alpha}$ ), UV absolute magnitude ( $M_{\text{UV}}$ ), and rest-frame  $\text{Ly}\alpha$  equivalent width ( $\text{EW}_0$ ), of newly confirmed galaxies are described in Table 3, and their one- and two-dimensional spectra are shown in Figure 2. Their IDs are continued from T16; thus, ID = 1–6 in the D1RD01 region and ID = 1–42 in the D4GD01 region are also shown in Table 4 and Figure 9 of T16. The redshifts are derived by the peak wavelength of the  $\text{Ly}\alpha$  emission line, assuming the rest wavelength of  $\text{Ly}\alpha$  to be 1215.6 Å. These measurements could be overestimated if there is a galactic outflow. When emission lines are located near strong sky lines, the position of the peak could be shifted. These effects of sky lines and the wavelength resolution are taken into account when estimating the

uncertainty. The observed line flux,  $f_{\text{Ly}\alpha}$ , corresponds to the total amount of the flux within the line profile. The slit loss is corrected based on the ratio of slit width and seeing size for each observation, and its uncertainty is estimated from the combination of the line width and noise level at wavelengths blueward of  $\text{Ly}\alpha$ . Since continuum flux is too faint to be detected in the observed spectra,  $M_{\text{UV}}$  is estimated from the broadband photometry. It is derived from  $r$ -band ( $i$ -band) magnitudes for  $g$ -dropout ( $r$ -dropout) galaxies after correcting the contribution of the absorption of intergalactic medium (IGM) and the  $\text{Ly}\alpha$  emission. In this calculation, we assume flat UV spectra ( $f_\lambda \propto \lambda^\beta$ , where  $\beta = -2$ ) and the IGM transmission model of Madau (1995). It should be noted that the shape of UV spectra can differ according to various galaxy properties (e.g., dust, age, or metallicity; Bouwens et al. 2012), and IGM absorption also varies depending on the line of sight (Thomas et al. 2017). Although it is difficult to predict physical properties with these UV spectra, an observed broadband magnitude can be converted into pure continuum flux with the spectroscopic measurements of  $f_{\text{Ly}\alpha}$  and redshift. We have confirmed that  $M_{\text{UV}}$  changes  $\sim 5\%$  when UV slope or IGM transmission fluctuate between  $\pm 1.0$  or  $\pm 15\%$ , respectively. This systematic error is smaller than the photometric error of our data set. In addition,  $\text{EW}_0$  is estimated by combining  $f_{\text{Ly}\alpha}$  and  $M_{\text{UV}}$ .

### 3. Results

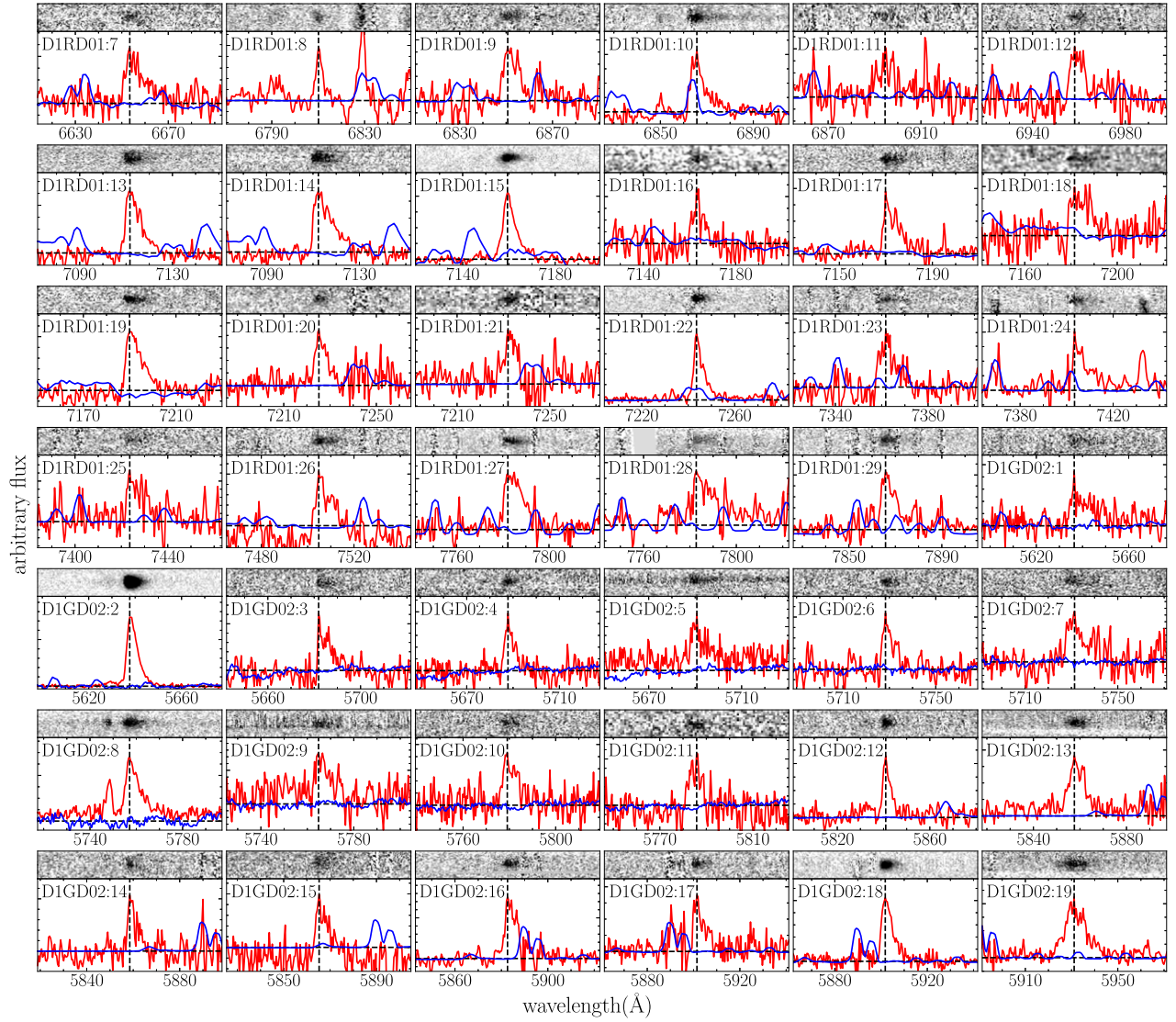
In the following subsections, we will investigate whether or not there are protoclusters in each overdense region based on the spatial and redshift concentrations of galaxies. At first, in Sections 3.1–3.3, we will make a statistical test to see whether the number of galaxies contained in a three-dimensional region is high enough to discard the possibility that the overdensity is due to a random fluctuation. In this test, we set the significance level at 5%. Then, in Section 3.4, we will perform a theoretical comparison in order to connect observed galaxy concentrations to halo masses. If the expected descendant halo masses at  $z = 0$  of such significant galaxy concentrations are expected to be  $> 10^{14} M_\odot$ , we will be able to confirm the existence of protoclusters. In this process of protocluster confirmation, we need to set some arbitrary criteria or assumptions. The first is a box size to calculate three-dimensional galaxy overdensity, while a second assumption is related to the observational bias of galaxy populations for tracing underlying structures. We will

**Table 3**  
Observed Properties of Spectroscopically Confirmed Dropout Galaxies

| ID                   | R.A.<br>(J2000) | Decl.<br>(J2000) | $m_i$<br>(mag) | Redshift                   | $M_{UV}$<br>(mag) | $f_{Ly\alpha}$<br>( $10^{-18}$ erg s $^{-1}$ cm $^{-2}$ ) | $L_{Ly\alpha}$<br>( $10^{42}$ erg s $^{-1}$ ) | EW $_0$<br>(Å) | $S_w$<br>(Å) |
|----------------------|-----------------|------------------|----------------|----------------------------|-------------------|---|---|----------------|--------------|
| DIRD01 (23 galaxies) |                 |                  |                |                            |                   |   |   |                |              |
| 7                    | 02:24:33.40     | −04:57:58.4      | 26.92 ± 0.09   | 4.473 $^{+0.001}_{-0.001}$ | −19.33 ± 0.23     | 1.90 ± 0.30   | 0.38 ± 0.06                                   | 8.00 ± 2.25    | 10.11 ± 1.99 |
| 8                    | 02:24:58.59     | −04:56:25.6      | 26.36 ± 0.06   | 4.602 $^{+0.001}_{-0.001}$ | −19.93 ± 0.14     | 3.22 ± 0.48   | 0.69 ± 0.10                                   | 8.34 ± 1.71    | 4.15 ± 0.80  |
| 9                    | 02:25:24.73     | −04:53:10.1      | 25.13 ± 0.02   | 4.635 $^{+0.001}_{-0.001}$ | −21.17 ± 0.05     | 6.39 ± 0.89   | 1.39 ± 0.19                                   | 5.38 ± 0.79    | 4.44 ± 1.79  |
| 10                   | 02:24:52.51     | −04:56:08.5      | 24.21 ± 0.01   | 4.648 $^{+0.001}_{-0.001}$ | −22.10 ± 0.02     | 20.07 ± 1.02  | 4.40 ± 0.22                                   | 7.22 ± 0.39    | 9.68 ± 0.56  |
| 11                   | 02:25:20.08     | −04:52:54.8      | 26.91 ± 0.09   | 4.671 $^{+0.001}_{-0.001}$ | −19.41 ± 0.23     | 1.06 ± 0.30   | 0.24 ± 0.07                                   | 4.62 ± 1.69    | 8.26 ± 9.97  |
| 12                   | 02:25:33.61     | −04:56:43.1      | 26.37 ± 0.06   | 4.724 $^{+0.001}_{-0.001}$ | −19.96 ± 0.15     | 4.01 ± 0.60   | 0.91 ± 0.14                                   | 10.80 ± 2.24   | 4.15 ± 1.55  |
| 13                   | 02:24:31.90     | −04:55:46.6      | 26.00 ± 0.04   | 4.850 $^{+0.001}_{-0.001}$ | −20.12 ± 0.14     | 21.90 ± 1.45  | 5.31 ± 0.35                                   | 53.77 ± 8.25   | 10.47 ± 1.02 |
| 14                   | 02:24:30.17     | −04:55:59.5      | 25.97 ± 0.04   | 4.851 $^{+0.001}_{-0.001}$ | −20.24 ± 0.13     | 17.51 ± 1.17  | 4.24 ± 0.28                                   | 38.77 ± 5.46   | 9.84 ± 0.99  |
| 15                   | 02:24:52.95     | −04:57:56.2      | 25.96 ± 0.04   | 4.889 $^{+0.001}_{-0.001}$ | −20.31 ± 0.12     | 15.23 ± 0.56  | 3.76 ± 0.14                                   | 31.99 ± 4.03   | 9.31 ± 0.63  |
| 16                   | 02:25:32.22     | −04:55:40.0      | 26.65 ± 0.07   | 4.892 $^{+0.001}_{-0.001}$ | −19.87 ± 0.19     | 1.12 ± 0.27   | 0.28 ± 0.07                                   | 3.56 ± 1.08    | 3.06 ± 2.01  |
| 17                   | 02:24:47.88     | −04:54:28.9      | 26.52 ± 0.07   | 4.898 $^{+0.001}_{-0.001}$ | −19.71 ± 0.21     | 11.60 ± 1.03  | 2.88 ± 0.26                                   | 42.64 ± 10.04  | 7.27 ± 0.97  |
| 18                   | 02:24:51.79     | −04:54:56.7      | 26.18 ± 0.05   | 4.907 $^{+0.001}_{-0.001}$ | −20.33 ± 0.13     | 2.14 ± 0.44   | 0.53 ± 0.11                                   | 4.46 ± 1.07    | 4.11 ± 2.44  |
| 19                   | 02:24:32.96     | −04:55:05.0      | 26.51 ± 0.06   | 4.914 $^{+0.001}_{-0.001}$ | −19.79 ± 0.20     | 9.96 ± 0.87   | 2.49 ± 0.22                                   | 34.43 ± 7.65   | 9.55 ± 1.19  |
| 20                   | 02:25:16.85     | −04:57:01.3      | 25.95 ± 0.04   | 4.943 $^{+0.001}_{-0.001}$ | −20.62 ± 0.10     | 2.46 ± 0.36   | 0.62 ± 0.09                                   | 4.00 ± 0.71    | 4.59 ± 1.22  |
| 21                   | 02:25:20.12     | −04:53:10.0      | 26.55 ± 0.07   | 4.949 $^{+0.001}_{-0.001}$ | −19.94 ± 0.18     | 4.40 ± 0.70   | 1.12 ± 0.18                                   | 13.37 ± 3.26   | 2.22 ± 1.07  |
| 22                   | 02:25:26.32     | −04:54:32.8      | 26.50 ± 0.06   | 4.958 $^{+0.002}_{-0.001}$ | −19.54 ± 0.27     | 20.08 ± 0.85  | 5.13 ± 0.22                                   | 88.61 ± 24.87  | 5.38 ± 0.32  |
| 23                   | 02:24:42.76     | −04:55:45.3      | 26.56 ± 0.07   | 5.056 $^{+0.001}_{-0.001}$ | −20.06 ± 0.20     | 6.80 ± 0.70   | 1.82 ± 0.19                                   | 19.49 ± 4.35   | 6.61 ± 1.21  |
| 24                   | 02:25:16.35     | −04:55:04.9      | 25.70 ± 0.03   | 5.090 $^{+0.001}_{-0.001}$ | −21.01 ± 0.09     | 12.58 ± 1.31  | 3.41 ± 0.35                                   | 15.26 ± 2.07   | 6.29 ± 0.88  |
| 25                   | 02:25:32.46     | −04:54:37.8      | 26.51 ± 0.06   | 5.107 $^{+0.001}_{-0.001}$ | −20.25 ± 0.18     | 4.08 ± 0.81   | 1.11 ± 0.22                                   | 10.04 ± 2.67   | 5.92 ± 2.33  |
| 26                   | 02:25:18.42     | −04:55:53.6      | 26.61 ± 0.07   | 5.173 $^{+0.001}_{-0.001}$ | −20.23 ± 0.20     | 5.39 ± 0.47   | 1.52 ± 0.13                                   | 13.97 ± 3.03   | 10.67 ± 1.41 |
| 27                   | 02:25:17.94     | −04:57:24.9      | 26.86 ± 0.09   | 5.402 $^{+0.001}_{-0.001}$ | −19.83 ± 0.38     | 19.41 ± 1.23  | 6.05 ± 0.38                                   | 80.58 ± 34.20  | 3.96 ± 0.88  |
| 28                   | 02:25:24.23     | −04:54:25.4      | 26.75 ± 0.08   | 5.402 $^{+0.001}_{-0.001}$ | −20.26 ± 0.27     | 12.94 ± 0.78  | 4.04 ± 0.24                                   | 36.05 ± 10.33  | 4.32 ± 0.70  |
| 29                   | 02:25:33.51     | −04:54:16.7      | 27.07 ± 0.11   | 5.470 $^{+0.001}_{-0.001}$ | −20.19 ± 0.32     | 7.26 ± 0.54   | 2.33 ± 0.17                                   | 22.25 ± 7.70   | 8.17 ± 0.89  |
| D1GD02 (50 galaxies) |                 |                  |                |                            |                   |   |   |                |              |
| 1                    | 02:26:02.53     | −04:49:03.0      | 26.20 ± 0.05   | 3.636 $^{+0.001}_{-0.001}$ | −19.70 ± 0.08     | 4.42 ± 0.72   | 0.54 ± 0.09                                   | 8.11 ± 1.47    | 3.35 ± 1.14  |
| 2                    | 02:25:59.84     | −04:50:37.0      | 25.51 ± 0.03   | 3.638 $^{+0.001}_{-0.001}$ | −20.54 ± 0.04     | 84.45 ± 1.35  | 10.36 ± 0.17                                  | 71.69 ± 2.88   | 8.18 ± 0.49  |
| 3                    | 02:25:11.74     | −04:47:47.8      | 25.80 ± 0.03   | 3.674 $^{+0.001}_{-0.001}$ | −20.02 ± 0.06     | 3.25 ± 0.46   | 0.41 ± 0.06                                   | 4.56 ± 0.70    | 5.56 ± 0.97  |
| 4                    | 02:25:18.03     | −04:49:13.7      | 27.01 ± 0.10   | 3.679 $^{+0.001}_{-0.001}$ | −18.43 ± 0.26     | 3.74 ± 0.69   | 0.47 ± 0.09                                   | 22.71 ± 7.36   | 4.24 ± 1.82  |
| 5                    | 02:25:49.68     | −04:48:13.9      | 26.87 ± 0.09   | 3.681 $^{+0.001}_{-0.001}$ | −19.08 ± 0.15     | 3.97 ± 0.81   | 0.50 ± 0.10                                   | 13.30 ± 3.33   | 2.96 ± 0.98  |
| 6                    | 02:25:23.34     | −04:45:53.9      | 26.55 ± 0.07   | 3.712 $^{+0.001}_{-0.001}$ | −19.21 ± 0.14     | 2.54 ± 0.43   | 0.33 ± 0.05                                   | 7.71 ± 1.66    | 7.25 ± 1.35  |
| 7                    | 02:25:42.21     | −04:50:11.4      | 26.21 ± 0.05   | 3.715 $^{+0.001}_{-0.001}$ | −19.62 ± 0.10     | 6.08 ± 0.93   | 0.78 ± 0.12                                   | 12.63 ± 2.26   | 7.51 ± 1.81  |
| 8                    | 02:25:52.18     | −04:51:13.7      | 25.62 ± 0.03   | 3.736 $^{+0.001}_{-0.001}$ | −20.38 ± 0.05     | 21.77 ± 1.18  | 2.85 ± 0.15                                   | 22.74 ± 1.62   | 6.37 ± 0.54  |
| 9                    | 02:26:01.69     | −04:47:38.7      | 26.04 ± 0.04   | 3.742 $^{+0.001}_{-0.001}$ | −19.83 ± 0.08     | 4.57 ± 0.89   | 0.60 ± 0.12                                   | 7.96 ± 1.66    | 6.81 ± 1.61  |
| 10                   | 02:25:21.96     | −04:50:39.9      | 26.93 ± 0.10   | 3.754 $^{+0.001}_{-0.001}$ | −19.02 ± 0.17     | 5.14 ± 0.91   | 0.68 ± 0.12                                   | 19.03 ± 4.62   | 5.60 ± 1.56  |
| 11                   | 02:25:23.21     | −04:49:28.5      | 26.40 ± 0.06   | 3.759 $^{+0.001}_{-0.001}$ | −19.52 ± 0.11     | 3.27 ± 0.64   | 0.43 ± 0.08                                   | 7.68 ± 1.70    | 4.70 ± 5.55  |
| 12                   | 02:26:02.08     | −04:52:07.2      | 26.72 ± 0.08   | 3.805 $^{+0.001}_{-0.001}$ | −19.08 ± 0.17     | 8.87 ± 0.96   | 1.21 ± 0.13                                   | 31.99 ± 6.39   | 4.27 ± 1.43  |
| 13                   | 02:25:49.65     | −04:50:47.4      | 26.83 ± 0.09   | 3.818 $^{+0.001}_{-0.001}$ | −19.18 ± 0.16     | 14.51 ± 1.28  | 2.00 ± 0.18                                   | 48.06 ± 8.57   | 7.21 ± 1.33  |
| 14                   | 02:25:44.86     | −04:49:51.6      | 26.75 ± 0.08   | 3.819 $^{+0.001}_{-0.001}$ | −19.17 ± 0.16     | 5.55 ± 0.79   | 0.76 ± 0.11                                   | 18.68 ± 3.96   | 4.11 ± 1.00  |
| 15                   | 02:25:44.45     | −04:48:37.0      | 26.30 ± 0.05   | 3.825 $^{+0.001}_{-0.001}$ | −19.59 ± 0.11     | 5.70 ± 1.02   | 0.79 ± 0.14                                   | 13.04 ± 2.72   | 7.71 ± 1.43  |
| 16                   | 02:25:40.97     | −04:49:30.9      | 26.94 ± 0.10   | 3.839 $^{+0.001}_{-0.001}$ | −19.00 ± 0.19     | 9.68 ± 0.80   | 1.35 ± 0.11                                   | 38.41 ± 7.86   | 5.27 ± 0.85  |
| 17                   | 02:25:55.72     | −04:50:06.2      | 26.12 ± 0.04   | 3.854 $^{+0.001}_{-0.001}$ | −19.89 ± 0.09     | 8.36 ± 0.92   | 1.18 ± 0.13                                   | 14.80 ± 2.05   | 4.58 ± 0.72  |
| 18                   | 02:25:48.95     | −04:51:29.9      | 27.07 ± 0.11   | 3.855 $^{+0.001}_{-0.001}$ | −18.85 ± 0.22     | 31.52 ± 1.60  | 4.44 ± 0.22                                   | 145.71 ± 32.86 | 8.54 ± 0.65  |
| 19                   | 02:25:45.69     | −04:50:26.7      | 25.16 ± 0.02   | 3.879 $^{+0.001}_{-0.001}$ | −20.68 ± 0.04     | 22.96 ± 1.26  | 3.28 ± 0.18                                   | 20.00 ± 1.38   | 3.44 ± 0.73  |
| 20                   | 02:25:33.56     | −04:49:31.9      | 27.13 ± 0.11   | 3.890 $^{+0.001}_{-0.001}$ | −18.72 ± 0.24     | 3.07 ± 0.71   | 0.44 ± 0.10                                   | 16.26 ± 5.56   | 3.75 ± 1.05  |
| 21                   | 02:25:42.44     | −04:51:13.2      | 26.91 ± 0.09   | 3.896 $^{+0.001}_{-0.001}$ | −18.95 ± 0.20     | 6.79 ± 0.66   | 0.98 ± 0.09                                   | 29.23 ± 6.63   | 7.86 ± 0.90  |
| 22                   | 02:25:43.65     | −04:49:41.9      | 26.91 ± 0.09   | 3.897 $^{+0.001}_{-0.001}$ | −19.31 ± 0.15     | 5.38 ± 0.82   | 0.78 ± 0.12                                   | 16.61 ± 3.51   | 3.36 ± 0.75  |
| 23                   | 02:25:51.29     | −04:49:26.1      | 25.98 ± 0.04   | 3.910 $^{+0.001}_{-0.001}$ | −20.02 ± 0.09     | 44.70 ± 2.76  | 6.52 ± 0.40                                   | 72.73 ± 7.50   | 9.63 ± 0.60  |
| 24                   | 02:25:18.82     | −04:50:19.4      | 27.17 ± 0.12   | 3.961 $^{+0.001}_{-0.001}$ | −18.78 ± 0.25     | 8.84 ± 1.17   | 1.33 ± 0.18                                   | 46.51 ± 13.62  | 3.92 ± 0.78  |

**Table 3**  
(Continued)

| ID | R.A.<br>(J2000) | Decl.<br>(J2000) | $m_i$<br>(mag) | Redshift                   | $M_{UV}$<br>(mag)    | $f_{Ly\alpha}$<br>( $10^{-18}$ erg s $^{-1}$ cm $^{-2}$ ) | $L_{Ly\alpha}$<br>( $10^{42}$ erg s $^{-1}$ ) | EW $_0$<br>(Å) | $S_w$<br>(Å) |
|----|-----------------|------------------|----------------|----------------------------|----------------------|---|---|----------------|--------------|
| 25 | 02:26:00.37     | −04:51:42.6      | 26.20 ± 0.05   | 3.976 $^{+0.001}_{-0.001}$ | −19.78 ± 0.11        | 17.44 ± 1.68  | 2.64 ± 0.25                                   | 36.61 ± 5.28   | 6.08 ± 0.91  |
| 26 | 02:25:32.24     | −04:50:36.8      | 27.08 ± 0.11   | 3.979 $^{+0.001}_{-0.001}$ | −18.57 ± 0.30        | 4.71 ± 0.97   | 0.72 ± 0.15                                   | 30.16 ± 11.57  | 4.40 ± 1.84  |
| 27 | 02:26:10.02     | −04:49:55.6      | 26.40 ± 0.06   | 3.979 $^{+0.001}_{-0.001}$ | −19.78 ± 0.11        | 3.75 ± 0.74   | 0.57 ± 0.11                                   | 7.92 ± 1.77    | 3.63 ± 0.95  |
| 28 | 02:25:56.95     | −04:52:00.6      | 26.76 ± 0.08   | 4.008 $^{+0.001}_{-0.001}$ | −18.88 ± 0.25        | 10.97 ± 1.52  | 1.69 ± 0.23                                   | 53.76 ± 15.64  | 6.23 ± 1.80  |
| 29 | 02:25:30.80     | −04:50:08.0      | 26.34 ± 0.06   | 4.032 $^{+0.001}_{-0.001}$ | −19.22 ± 0.19        | 14.39 ± 1.34  | 2.26 ± 0.21                                   | 52.69 ± 11.12  | 6.40 ± 0.86  |
| 30 | 02:26:02.73     | −04:47:59.7      | 27.06 ± 0.11   | 4.038 $^{+0.001}_{-0.001}$ | −19.18 ± 0.20        | 8.21 ± 1.16   | 1.29 ± 0.18                                   | 31.10 ± 7.66   | 9.22 ± 2.40  |
| 31 | 02:25:42.96     | −04:49:06.8      | 26.65 ± 0.07   | 4.039 $^{+0.001}_{-0.001}$ | −19.45 ± 0.16        | 4.91 ± 0.74   | 0.77 ± 0.12                                   | 14.61 ± 3.19   | 3.70 ± 1.12  |
| 32 | 02:25:48.14     | −04:50:14.6      | 26.97 ± 0.10   | 4.048 $^{+0.001}_{-0.001}$ | −18.98 ± 0.24        | 8.11 ± 1.57   | 1.28 ± 0.25                                   | 37.22 ± 11.60  | 5.40 ± 2.27  |
| 33 | 02:25:51.19     | −04:49:15.3      | 26.30 ± 0.05   | 4.121 $^{+0.001}_{-0.001}$ | −19.86 ± 0.12        | 16.19 ± 1.20  | 2.67 ± 0.20                                   | 34.34 ± 4.79   | 6.43 ± 0.60  |
| 34 | 02:25:40.55     | −04:49:04.0      | 26.19 ± 0.05   | 4.131 $^{+0.001}_{-0.001}$ | −19.88 ± 0.12        | 9.75 ± 0.77   | 1.62 ± 0.13                                   | 20.46 ± 2.87   | 3.66 ± 0.49  |
| 35 | 02:25:26.36     | −04:50:34.1      | 27.00 ± 0.10   | 4.155 $^{+0.001}_{-0.001}$ | −19.19 ± 0.22        | 5.97 ± 0.80   | 1.00 ± 0.14                                   | 23.99 ± 6.36   | 5.14 ± 1.33  |
| 36 | 02:25:16.65     | −04:49:46.8      | 26.87 ± 0.09   | 4.156 $^{+0.001}_{-0.001}$ | −19.23 ± 0.22        | 9.12 ± 1.56   | 1.54 ± 0.26                                   | 35.44 ± 9.97   | 6.45 ± 1.35  |
| 37 | 02:26:09.32     | −04:51:25.2      | 26.71 ± 0.08   | 4.209 $^{+0.001}_{-0.001}$ | −19.25 ± 0.23        | 5.47 ± 1.03   | 0.95 ± 0.18                                   | 21.43 ± 6.50   | 3.27 ± 9.24  |
| 38 | 02:25:10.34     | −04:48:34.8      | 26.06 ± 0.04   | 4.250 $^{+0.001}_{-0.001}$ | −20.25 ± 0.10        | 20.04 ± 1.24  | 3.56 ± 0.22                                   | 32.14 ± 3.79   | 11.03 ± 0.78 |
| 39 | 02:25:29.32     | −04:47:49.8      | 26.40 ± 0.06   | 4.278 $^{+0.001}_{-0.001}$ | −19.91 ± 0.15        | 21.27 ± 1.37  | 3.84 ± 0.25                                   | 47.48 ± 7.55   | 9.91 ± 0.63  |
| 40 | 02:25:50.08     | −04:50:27.9      | 25.82 ± 0.03   | 4.313 $^{+0.001}_{-0.001}$ | −20.14 ± 0.13        | 6.75 ± 1.22   | 1.24 ± 0.22                                   | 12.37 ± 2.70   | 2.55 ± 1.45  |
| 41 | 02:26:06.44     | −04:49:58.8      | 25.01 ± 0.02   | 4.314 $^{+0.001}_{-0.001}$ | −21.00 ± 0.06        | 15.67 ± 1.92  | 2.88 ± 0.35                                   | 13.01 ± 1.75   | 5.77 ± 1.19  |
| 42 | 02:25:37.04     | −04:48:35.4      | 26.20 ± 0.05   | 4.318 $^{+0.001}_{-0.001}$ | −19.91 ± 0.15        | 16.81 ± 1.50  | 3.10 ± 0.28                                   | 38.10 ± 6.72   | 5.98 ± 1.09  |
| 43 | 02:25:29.80     | −04:50:37.2      | 26.25 ± 0.05   | 4.321 $^{+0.001}_{-0.001}$ | −20.03 ± 0.14        | 3.68 ± 0.71   | 0.68 ± 0.13                                   | 7.48 ± 1.76    | 2.64 ± 0.77  |
| 44 | 02:25:17.87     | −04:47:58.1      | 27.12 ± 0.11   | 4.363 $^{+0.001}_{-0.001}$ | −18.93 ± 0.38        | 5.83 ± 1.44   | 1.10 ± 0.27                                   | 33.49 ± 16.12  | 5.23 ± 1.65  |
| 45 | 02:25:21.37     | −04:46:50.2      | 26.10 ± 0.04   | 4.371 $^{+0.001}_{-0.001}$ | −20.10 ± 0.14        | 24.74 ± 1.26  | 4.69 ± 0.24                                   | 48.50 ± 7.26   | 8.80 ± 0.48  |
| 46 | 02:25:34.96     | −04:50:25.5      | 26.16 ± 0.05   | 4.436 $^{+0.001}_{-0.001}$ | −19.77 ± 0.21        | 12.31 ± 1.97  | 2.42 ± 0.39                                   | 34.01 ± 9.13   | 6.12 ± 1.65  |
| 47 | 02:25:36.93     | −04:49:27.1      | 26.09 ± 0.04   | 4.442 $^{+0.001}_{-0.001}$ | −20.20 ± 0.15        | 13.10 ± 1.36  | 2.58 ± 0.27                                   | 24.31 ± 4.29   | 7.61 ± 0.92  |
| 48 | 02:25:11.51     | −04:48:28.9      | 26.78 ± 0.08   | 4.471 $^{+0.001}_{-0.001}$ | −19.12 ± 0.37        | 35.58 ± 1.71  | 7.12 ± 0.34                                   | 182.13 ± 75.23 | 6.68 ± 0.46  |
| 49 | 02:25:11.85     | −04:50:18.0      | 27.15 ± 0.12   | 4.534 $^{+0.001}_{-0.001}$ | −19.16 ± 0.39        | 13.66 ± 1.83  | 2.83 ± 0.38                                   | 69.58 ± 31.77  | 6.02 ± 0.93  |
| 50 | 02:25:45.42     | −04:50:13.7      | 26.73 ± 0.08   | 4.638 $^{+0.001}_{-0.001}$ | −19.72 ± 0.30        | 15.65 ± 1.31  | 3.41 ± 0.29                                   | 50.01 ± 16.57  | 5.87 ± 0.77  |
|    |                 |                  |                |                            | D4GD01 (10 galaxies) |   |   |                |              |
| 43 | 22:16:56.09     | −17:19:39.0      | 25.04 ± 0.02   | 3.649 $^{+0.001}_{-0.001}$ | −20.68 ± 0.04        | 4.24 ± 0.74   | 0.52 ± 0.09                                   | 3.18 ± 0.57    | 4.74 ± 1.11  |
| 44 | 22:16:43.36     | −17:16:37.9      | 26.13 ± 0.05   | 3.678 $^{+0.001}_{-0.001}$ | −19.89 ± 0.08        | 7.18 ± 1.01   | 0.90 ± 0.13                                   | 11.32 ± 1.81   | 5.52 ± 0.89  |
| 45 | 22:16:48.25     | −17:20:18.9      | 27.01 ± 0.12   | 3.679 $^{+0.001}_{-0.001}$ | −18.72 ± 0.22        | 1.31 ± 0.43   | 0.16 ± 0.05                                   | 6.10 ± 2.43    | 5.10 ± 11.14 |
| 46 | 22:16:48.21     | −17:21:21.8      | 26.16 ± 0.05   | 3.719 $^{+0.001}_{-0.001}$ | −19.96 ± 0.08        | 9.00 ± 1.15   | 1.16 ± 0.15                                   | 13.67 ± 2.02   | 5.91 ± 0.96  |
| 47 | 22:16:56.07     | −17:15:31.9      | 25.68 ± 0.03   | 3.736 $^{+0.001}_{-0.001}$ | −20.13 ± 0.07        | 3.64 ± 0.82   | 0.48 ± 0.11                                   | 4.78 ± 1.12    | 3.98 ± 1.88  |
| 48 | 22:17:10.34     | −17:27:41.6      | 25.55 ± 0.03   | 3.988 $^{+0.001}_{-0.001}$ | −20.73 ± 0.05        | 5.20 ± 1.22   | 0.79 ± 0.19                                   | 4.60 ± 1.10    | 5.93 ± 2.48  |
| 49 | 22:16:47.70     | −17:22:27.6      | 26.38 ± 0.07   | 4.070 $^{+0.001}_{-0.001}$ | −19.58 ± 0.16        | 9.87 ± 1.33   | 1.58 ± 0.21                                   | 26.44 ± 5.50   | 7.73 ± 1.38  |
| 50 | 22:16:47.71     | −17:21:36.2      | 27.05 ± 0.12   | 4.095 $^{+0.001}_{-0.001}$ | −19.24 ± 0.21        | 5.40 ± 1.12   | 0.88 ± 0.18                                   | 20.04 ± 6.02   | −2.14 ± 6.22 |
| 51 | 22:16:53.40     | −17:21:26.0      | 26.30 ± 0.06   | 4.288 $^{+0.001}_{-0.001}$ | −19.54 ± 0.22        | 6.38 ± 1.33   | 1.16 ± 0.24                                   | 20.06 ± 6.08   | 2.77 ± 1.05  |
| 52 | 22:16:55.57     | −17:30:05.8      | 26.67 ± 0.09   | 4.546 $^{+0.001}_{-0.001}$ | −19.76 ± 0.26        | 3.51 ± 1.08   | 0.73 ± 0.22                                   | 10.35 ± 4.26   | 2.70 ± 1.30  |



**Figure 2.** Spectra of all dropout galaxies having Ly $\alpha$  emission lines. The field and object IDs are indicated at the upper left corner (column 1 of Table 3). The vertical and horizontal dashed lines show the wavelength of Ly $\alpha$  emission and the zero level of flux, respectively.

discuss criteria and possible biases for the estimate of three-dimensional overdensity in the following.

In T16, we have estimated the expected distribution of protocluster galaxies based on the light-cone models constructed by Henriques et al. (2012). The typical sizes of protoclusters in redshift and spatial coordinates ( $L_z$ ,  $L_{\text{sky}}$ ) are found to be  $L_z \lesssim 0.03\text{--}0.04$  and  $L_{\text{sky}} \lesssim 10'$ . The size of the protoclusters is strongly dependent on the descendant mass at  $z = 0$ ; for example, the size of the progenitors of  $>10^{15} M_\odot$  halos is about twice as large as that of  $\sim 10^{14} M_\odot$  halos. Even for such rich protoclusters, a significant excess of galaxy density can be found with the above scale because galaxy density in a protocluster tends to increase toward the center. Thus, we will estimate the strength of galaxy clustering within the three-dimensional space of  $L_z \sim 0.04$  and  $L_{\text{sky}} \sim 10'$  to find out protoclusters. It should be noted that redshift can be dependent on both line-of-sight distance and radial velocity; however, the redshift difference between protocluster members is mainly caused by their spatial separation. Based on the light-cone model, the typical difference between apparent and geometrical redshifts is 0.001–0.004, which is about 10 times smaller than the expected protocluster

size in redshift space. Even for the progenitors of rich clusters ( $>10^{15} M_\odot$ ), it is 0.001–0.006. Thus, we effectively regard redshift as the parameter of radial distance.

In addition, we have to consider the possible bias of overdensity depending on galaxy population. Since we rely on Ly $\alpha$  emission to determine the redshifts of dropout galaxies, we would miss old or dusty galaxies, from which Ly $\alpha$  emission cannot escape easily. Even among star-forming galaxies, their Ly $\alpha$  strength can vary widely depending on the kinematics, geometry, and column density of the interstellar medium (e.g., Du et al. 2018; Marchi et al. 2019). As for the environmental dependence of Ly $\alpha$  emission, there are some controversial results; for example, Dey et al. (2016) reported that Ly $\alpha$  luminosity is enhanced in a protocluster at  $z = 3.87$ , while Shimakawa et al. (2017) found Ly $\alpha$  depletion in a protocluster at  $z = 2.53$ . Furthermore, Shi et al. (2019a) conducted a follow-up investigation of LAE distribution around a  $z = 3.13$  protocluster that was initially identified by the overdensity of dropout galaxies in T16. They found that the peak of LAE overdensity (3.6 times higher than the average) is  $\sim 10'$  ( $\sim 4.6$  physical Mpc) away from the



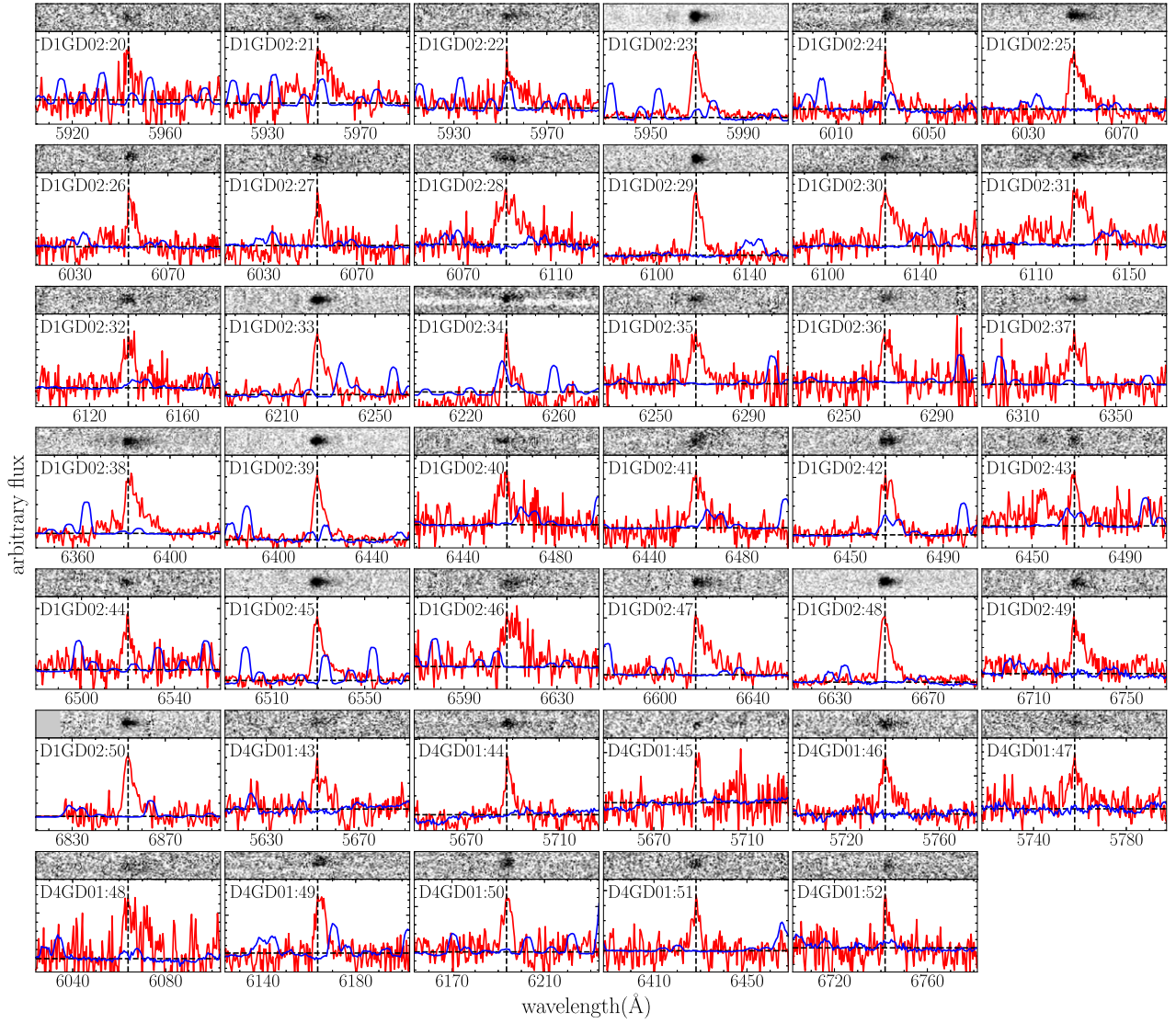


Figure 2. (Continued.)

protocluster, though the LAE overdense region is elongated toward the protocluster, and the protocluster itself is centered on a 1.8 times higher dense region of LAEs. These studies suggested that the overdensity fluctuates depending on what galaxy population is used to trace it, as expected. However, taking into account that star-forming galaxies are dominant even in protoclusters and the strength of Ly $\alpha$  emission is mainly affected by galaxy internal properties rather than environments, it is feasible to confirm the existence of protoclusters by the combination of the overdensity of dropout galaxies and follow-up spectroscopy of Ly $\alpha$  emissions. It should be noted that such protoclusters would be only a subsample of all protoclusters, and confirmed protocluster galaxies themselves are only a subset of all the members in a protocluster. Deep multiwavelength observation and complete spectroscopy are necessary to reveal a complete sample of protoclusters, and this is beyond the scope of this study. The results of follow-up observations on each overdense region are described in the following subsections, and Table 4 summarizes the results of our protocluster confirmation.

### 3.1. The Protocluster at $z \sim 4.9$ in the D1 Field

In the previous work of T16, it was not clear whether or not a protocluster exists in the overdense region of D1RD01 because the total number of redshift identifications was only six, which was too small to draw a firm conclusion. However, two of them are tightly clustered at  $z = 4.89$ . In this study, we have increased the number of confirmed galaxies by a factor of 5. As shown in the updated redshift distribution of Figure 3, there is a significant peak at  $z \sim 4.9$ . As the FoV of DEIMOS ( $16.3 \times 5.0 \text{ arcmin}^2$ ) is larger than the typical size of protoclusters ( $\sim 5'$  radius; see Figure 8 of T16), we focus on the part of the FoV of DEIMOS including the peak of the overdensity. Six galaxies, with ID = 5, 6, 15, 17, 18, and 19, are tightly clustered in both redshift and spatial coordinates ( $\Delta z = 0.025$  at  $z = 4.898$  and  $3/5$  radius from the center of (R. A., decl.) = (02:24:47.03,  $-04:54:43.3$ )). Although the redshift of ID16 is within the redshift range of these six galaxies, its sky position is  $>10'$  away from these six galaxies. We have estimated the probability of finding this clustering structure by chance if galaxies are randomly distributed according to the

**Table 4**  
Results of the Protocluster Confirmation

| Name        | R.A. <sup>a</sup> | Decl. <sup>a</sup> | Redshift <sup>a</sup> | $N_{\text{mem}}$ <sup>b</sup> | $\sigma_v$ (km s <sup>-1</sup> ) |
|-------------|-------------------|--------------------|-----------------------|-------------------------------|----------------------------------|
| D1RD01      | 02:24:47.03       | -04:54:43.3        | 4.898                 | 6                             | 502.6 ± 171.2                    |
| D1GD02      | 02:25:46.90       | -04:50:02.5        | 3.834                 | 6                             | 1025.0 ± 393.5                   |
| D4GD01      | 22:16:51.37       | -17:18:24.6        | 3.675                 | 13                            | 329.2 ± 73.3                     |
| D4GD01-back | 22:16:48.16       | -17:17:47.0        | 3.721                 | 9                             | 229.1 ± 129.9                    |

**Notes.**

<sup>a</sup> Biweight location of protocluster members.

<sup>b</sup> Number of protocluster members.

redshift selection function of  $r$ -dropout galaxies with the following method. In the overdense region, where six clustering galaxies are located (the area of  $\Delta\text{R.A.} < 0$  in Figure 4), there are 16 galaxies including foreground/background galaxies. Using the selection function of  $r$ -dropout galaxies, the same number of galaxies as observed (16 galaxies) is randomly distributed in redshift. Then, we check whether more than six galaxies are clustering within  $\Delta z \leq 0.025$ . We have repeated this random realization 10,000 times, and the probability is found to be  $< 0.2\%$  ( $> 3.1\sigma$  significance). Since the clustering structure cannot be attributed to just a random coincidence, these six galaxies are highly expected to be physically related. This is the evidence for the existence of a protocluster in the overdense region of D1RD01. The close galaxy pair found by T16 turns out to be part of this protocluster. These six galaxies are indicated in red in Figures 3 and 4.

We have also found two galaxy groups that are located closely around the protocluster (indicated by blue and green in Figures 3 and 4). Both groups consist of three galaxies, and their redshift and spatial sizes are less than  $\Delta z = 0.015$  and  $2.4$  radius. Although such a grouping containing three galaxies within  $\Delta z = 0.015$  can be reproduced by random distributions with a probability of 20%–37% ( $0.9\sigma$ – $1.3\sigma$ ), we have found two nearby groups simultaneously. Furthermore, they are surprisingly arranged in the foreground and background of the protocluster, as if they form a filamentary structure in the large-scale structure of the universe. The redshift separation between the protocluster and the foreground/background groups is only 0.05, corresponding to 4.6 Mpc in physical scale. These foreground (blue) and background (green) groups are composed of ID = 4, 13, and 14 and 20, 21, and 22, respectively. The whole redshift range, including the protocluster and foreground/background groups, is  $\Delta z = 0.12$ . We have formally applied the above calculation of the significance of clustering to this large system, and it is found to be 3.3% ( $2.1\sigma$ ). It should be noted that, if there are no neighboring groups, the galaxy distribution of six galaxies within  $\Delta z = 0.12$  can be reproduced from random distribution with a probability of 46%. Thus, the foreground/background groups are essential components, suggesting the existence of a large-scale structure composed of the protocluster and foreground/background groups, though the statistical significance is  $2\sigma$  level. As the FoV of our follow-up spectroscopy is limited to a part of the surrounding area of the protocluster, we need more follow-up observations to cover other surrounding areas, which may result in the finding of other neighboring groups. It should be noted that, due to the wide redshift window of dropout selection, the spatial clustering of dropout galaxies embedded

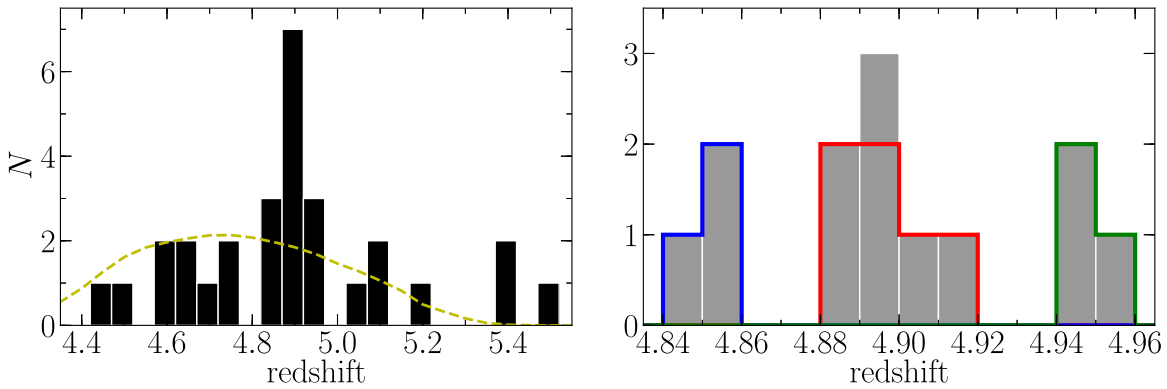
in a projected overdense region might favor elongated large-scale structure that points toward us.

### 3.2. The Possible Protocluster at $z \sim 3.8$ in the D1 Field

The overdense region of D1GD02 is newly observed in this study, and 50 galaxies are spectroscopically confirmed. From the redshift distribution of all galaxies as shown in Figure 5, it is difficult to find a clear redshift spike. However, when we focus only on the typical size of protoclusters including the peak of overdensity (the area of  $\Delta\text{R.A.} > 0'$  in Figure 6), there is a peak at  $z \sim 3.8$  indicated by the black histogram in the left panel of Figure 5. The redshift spike consists of six galaxies (ID = 13–18), ranging over  $\Delta z = 0.036$  and centered at  $z = 3.834$ . As shown by the red points in Figure 6, these six galaxies are also closely clustered in spatial coordinates ( $\sim 2'$  radius). In the same way as we did for  $r$ -dropout galaxies, we find that such a clustering structure can be reproduced by random distribution with a probability of 5.9% ( $1.9\sigma$ ). Based on this probability, the clustering signature of these six galaxies is likely to result from the existence of a protocluster. If these six galaxies form a single protocluster, it should be noted that this protocluster seems to exhibit a bimodal redshift distribution (red histogram in the right panel of Figure 5). In addition, there is another group including five galaxies (ID = 19–23) around  $z = 3.895$  just behind the protocluster at  $z = 3.834$  (blue histogram in the right panel of Figure 5). The redshift width of these five galaxies is  $\Delta z = 0.032$ , and the probability that five galaxies happen to be located within this redshift width by random distribution is  $\sim 20\%$  ( $\sim 1.3\sigma$ ). This probability is not small enough to deny that the background group might be just an apparent clustering, not physically associated with each other. However, it would be unlikely that these two galaxy groups are closely located by chance because the expected redshift distribution of dropout galaxies is  $\Delta z \sim 1$ , which is much larger than their redshift separation of  $\Delta z = 0.061$ . The probability of the reproduction of this large system including 11 galaxies within  $\Delta z = 0.10$  is estimated to be 8.5% ( $1.7\sigma$ ) by a random distribution. In the overdense region of D1GD02, we have found a possible protocluster at  $z = 3.834$  with a moderate ( $1.9\sigma$ ) significance level, which does not allow us to make a definitive identification of the overdense region as a protocluster. We will need more spectroscopic identifications in order to definitely confirm this as a protocluster and reveal the large-scale structure around it.

### 3.3. The Protoclusters at $z \sim 3.7$ in the D4 Field

A protocluster in the overdense region of D4GD01 was originally discovered at  $z = 3.67$  by T16. This study increases the number of spectroscopically confirmed member galaxies for a more detailed investigation. Out of 10 newly confirmed



**Figure 3.** Left panel: redshift distribution of 29  $r$ -dropout galaxies with bin size of  $\Delta z = 0.05$  in and around the D1RD01 region. The yellow dashed line shows the selection function of  $r$ -dropout galaxies. Right panel: close-up of the protocluster redshift range, with a bin size of  $\Delta z = 0.01$ . The red, blue, and green lines indicate the galaxies of the protocluster and foreground/background groups, respectively.

galaxies, two are found to be in the protocluster; thus, there are at least 13 member galaxies (ID = 10–20, 44, and 45), which are indicated by red in Figures 7 and 8. These 13 member galaxies are in the redshift range of  $\Delta z = 0.016$  centered at  $z = 3.675$ . In none of our 10,000 randomly simulated realizations was such a clustering structure reproduced. In addition, we can notice that there is another clustering structure at  $z = 3.721$ , i.e., the background of the protocluster, which is composed of nine galaxies within  $\Delta z = 0.020$  in total: eight galaxies (ID = 21–26, 46, and 47) and an AGN. This background structure also cannot be explained by a random distribution and has a comparable number of member galaxies to other known high-redshift protoclusters (e.g., Ouchi et al. 2005; Cucciati et al. 2014; Lemaux et al. 2018). Therefore, by the further follow-up spectroscopy in this study, we have not only increased the number of member galaxies in the known protocluster at  $z = 3.675$  but also discovered another protocluster just behind it. As shown in Figures 7 and 8, these two protoclusters are near each other ( $\Delta z = 0.046$ , corresponding to 7.4 Mpc in physical scale). These two protoclusters are expected to form a large system because we cannot reproduce such a galaxy distribution from random realizations.

### 3.4. Summary of Protocluster Confirmation

Based on this follow-up spectroscopy, we newly confirm two protoclusters at  $z = 4.898$  and  $3.721$ , and two member galaxies are additionally found in the known protocluster at  $z = 3.675$ . Furthermore, the overdense region of D1GD02 may also include a protocluster at  $z = 3.834$ , though its statistical significance is marginal. We have estimated the three-dimensional galaxy overdensity for these four protoclusters, including a possible one, by comparing with the other foreground/background galaxies as field counterparts. As both the protocluster and field galaxies are selected from the same photometric sample and spectroscopically observed in the same masks, there should be little observational bias. However, it should be noted that protocluster galaxies could have different physical properties from field galaxies, which could cause different LAE fractions among dropout galaxies between the protoclusters and field. In this study, we assume the same LAE fractions in the protoclusters and field. Thus, the three-dimensional galaxy overdensities,  $\delta_{\text{gal}} (=n/\bar{n}$ , where  $n$  and  $\bar{n}$  are the number densities in a protocluster and field, respectively), of protoclusters at  $z = 4.898$ ,  $3.834$ ,  $3.721$ , and  $3.675$  are found to be  $\delta_{\text{gal}} = 6.0^{+3.6}_{-2.4}$ ,  $3.7^{+2.2}_{-1.5}$ ,  $4.5^{+2.0}_{-1.5}$ , and  $6.4^{+2.4}_{-1.7}$ , respectively.

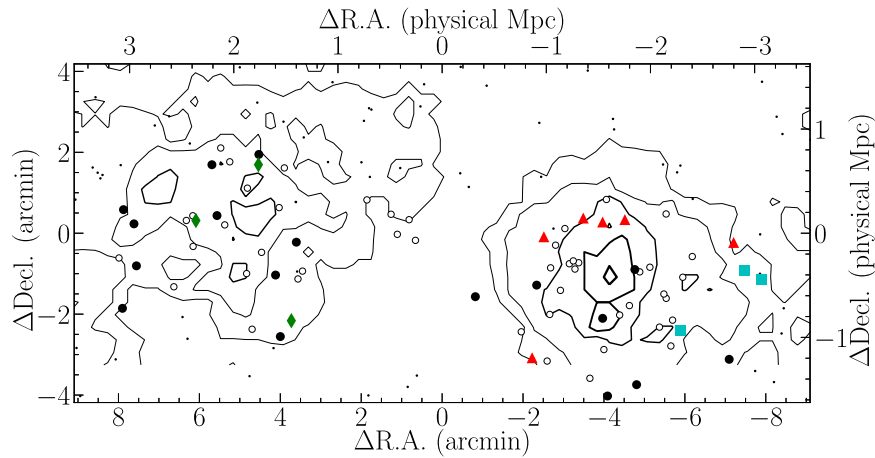
Three-dimensional density enables us to estimate descendant halo mass at  $z = 0$  by using theoretical models. As shown in Section 2, 76% of  $>4\sigma$  overdense regions are expected to grow into galaxy clusters with a halo mass of  $>10^{14} M_{\odot}$  compared with a theoretical model (Henriques et al. 2012). In this model comparison, there are 84  $>4\sigma$  overdense regions, of which 82 show three-dimensional galaxy concentrations with  $\delta_{\text{gal}} > 2$ . It should be noted that such galaxy concentrations can be buried in lower surface dense regions. Since our objective for this model comparison is to predict the descendant halo mass of the observed protoclusters, we have focused on three-dimensional galaxy concentrations embedded in  $>4\sigma$  overdense regions in the same manner as our observations. Then, we can find the relation between three-dimensional overdensity and descendant halo mass. The result is that protoclusters with  $\delta_{\text{gal}} = 3.7$  and  $4.5$  are expected to be  $(1.0\text{--}5.0) \times 10^{14}$  and  $(2.2\text{--}5.1) \times 10^{14} M_{\odot}$  halos (the range between the upper and lower quartiles). As for protoclusters with  $\delta_{\text{gal}} > 6$ , only two comparable regions are identified in the theoretical model, and their descendant halo masses are  $4.0 \times 10^{14}$  or  $1.2 \times 10^{15} M_{\odot}$ . While a descendant halo mass at  $z = 0$  generally tends to be proportional to a galaxy density at high redshifts, there is still a large dispersion. From this theoretical comparison, the three-dimensional galaxy concentrations identified by this study are found to have large overdensities, enough to grow into galaxy clusters ( $>10^{14} M_{\odot}$  halos) by  $z = 0$ . Therefore, we have concluded that the three overdense regions at  $z = 4.898$ ,  $3.721$ , and  $3.675$  are genuine protoclusters, while the overdense region at  $z = 3.834$  is still a possible candidate protocluster due to the small number of confirmed galaxies.

## 4. Discussion

### 4.1. Formation of Superclusters

As shown in Section 3, the two protoclusters at  $z = 4.898$  and  $3.675$  are accompanied by neighboring groups/protoclusters. In the context of the hierarchical structure formation model, it is expected that galaxy clusters are formed from clumps of galaxy groups or smaller structures through repeated halo mergers. Thus, at high redshift, we would observe some groups around a main progenitor. Furthermore, galaxy clusters themselves frequently reside in larger-scale high-density regions, which include some clusters, groups, or filamentary distributions of galaxies. We can see much larger structures beyond the scale of galaxy clusters in the local universe, which are called superclusters (e.g., Bahcall & Soneira 1984). It is a question how the





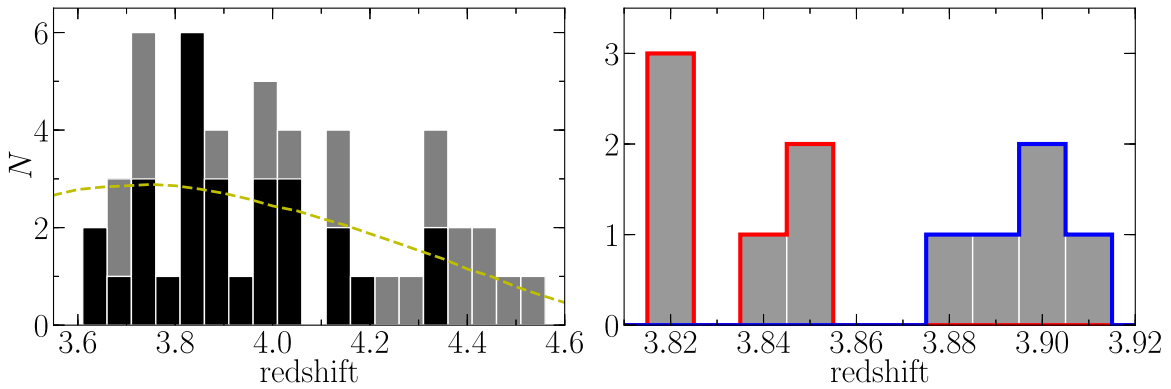
**Figure 4.** Sky distribution of  $r$ -dropout galaxies and number density contours in and around the D1RD01 region. The  $\text{Ly}\alpha$ -detected galaxies are marked by filled symbols (red triangles: protoclusters; cyan squares: foreground groups; green diamonds: background groups; black circles: field galaxies), and  $\text{Ly}\alpha$ -undetected galaxies are indicated by open circles. The dots are spectroscopically unobserved galaxies. The lines correspond to the contours of the surface overdensity from  $4\sigma$  to  $0\sigma$  in steps of  $1\sigma$ . The origin (0, 0) is (R.A., decl.) = (02:25:01.89, -04:54:51.5).

protoclusters we found at  $z = 4.9$  and  $3.7$  will evolve by  $z = 0$ : will they become a single rich galaxy cluster by incorporating their neighboring groups/protoclusters, or will each of them develop into an independent halo as a part of a supercluster? The separation between the main protoclusters and their surrounding groups/protoclusters is  $\Delta z \sim 0.05$ , corresponding to  $\sim 5$  and  $\sim 8$  Mpc in physical scale at  $z = 4.9$  and  $3.7$ , respectively. The size of the protoclusters depends significantly on the descendant halo mass at  $z = 0$ . Chiang et al. (2013) estimated an effective radius of protoclusters, in which 40% of the total mass of a protocluster is distributed, based on  $N$ -body dark matter simulations (Springel et al. 2005). A typical size of the effective radius is  $\sim 1$  Mpc in physical scale at  $z \sim 4-5$  for the progenitors of  $(1-3) \times 10^{14} M_{\odot}$  halos. Even for those of  $>10^{15} M_{\odot}$  halos, the size is  $\lesssim 2$  Mpc. Similarly, Muldrew et al. (2015) also investigated the size of protoclusters at high redshifts based on the stellar mass of protocluster members. They predicted that 90% of the stellar mass of all protocluster members, on average, is enclosed in  $\sim 2$  (4) Mpc in physical scale at  $z \sim 4-5$  for the descendants of  $1-6 \times 10^{14}$  ( $>10^{15}$ )  $M_{\odot}$  halos by the combination of  $N$ -body dark matter simulation and a semianalytic galaxy formation model (Guo et al. 2011). Based on these theoretical predictions, the main protoclusters and their neighboring groups/protoclusters have the potential to merge into a single cluster by  $z = 0$  only if a descendant halo mass at  $z = 0$  is  $>10^{15} M_{\odot}$ . However, according to Toshikawa et al. (2018), who used the same method to search for protoclusters as this study, the typical descendant halo mass of  $z \sim 4$  protoclusters is expected to be  $\sim 4-8 \times 10^{14} M_{\odot}$  at  $z = 0$  based on clustering analysis and abundance matching. Assuming that the protoclusters in this study have similar descendant halo masses, the separation between the main protoclusters and their neighboring groups/protoclusters is larger than those theoretical expectations of typical protocluster size. This suggests that the neighboring groups/protoclusters grow into independent halos from the main protocluster.

However, we should consider the possibility that there is no physical relation between the protoclusters and the neighboring groups (at least not at the supercluster scale), because the redshift separation between the main protoclusters and neighboring groups/protoclusters is only  $\Delta z \sim 0.05$ . This is

much smaller than the redshift window of dropout selection ( $\Delta z \sim 1$ ). Especially, as for the  $z = 4.898$  protocluster, two galaxy groups are simultaneously found at foreground and background. Thus, the proximity of galaxy groups would result from the underlying large-scale structure of the universe. As about half of the clusters are in superclusters at  $z \lesssim 0.5$  (e.g., Bahcall & Soneira 1984; Chow-Martínez et al. 2014), some parts of the protoclusters are expected to reside in a primordial superstructure. In the local universe ( $z \lesssim 0.5$ ), superclusters are typically  $\sim 20$  physical Mpc in size between the maximally separated pair of clusters in a supercluster, and the largest ones are nearly 100 physical Mpc in length, based on extended *ROSAT*-ESO Flux-Limited X-ray Galaxy Cluster Survey data (Chon et al. 2013). Most such superclusters are composed of two or three galaxy clusters, and a few of them include nearly 10 clusters. Alpaslan et al. (2014) also investigated the large-scale structure of the universe by using the Galaxy and Mass Assembly survey, and a typical length of filamentary large-scale structures is found to be  $\sim 20$  Mpc, including eight galaxy groups. Although the spatial size of the superclusters depends on the definition or method to search, it is typically a few tens of Mpc in the local universe. If our large systems are already detached from the Hubble flow, their expected spatial sizes at  $z = 0$  are less than 10 Mpc, which is smaller than that of typical local superclusters. In case the separations between the protoclusters and accompanying groups/protoclusters are increasing according to the Hubble flow, their expected separations at  $z = 0$  are  $\sim 30$  Mpc, comparable to local superclusters. Therefore, the large systems including the protoclusters and accompanying groups/protoclusters would be the progenitors of superclusters rather than the chance alignment of totally unrelated groups/protoclusters. At  $z = 4.9$  and  $3.7$ , we have revealed primordial superclusters with comprehensive follow-up spectroscopy by Keck/DEIMOS, which has a larger FoV than the typical protocluster size. In particular, in the D4GD01 overdensity, we have found a close pair of protoclusters whose separation is 7.5 Mpc in physical scale. According to the two-point correlation function of protocluster candidates at  $z \sim 4$  (Toshikawa et al. 2018), the expected number of protoclusters within  $\sim 8$  Mpc in physical scale from another protocluster can be estimated to be  $\sim 0.20-0.45$ .



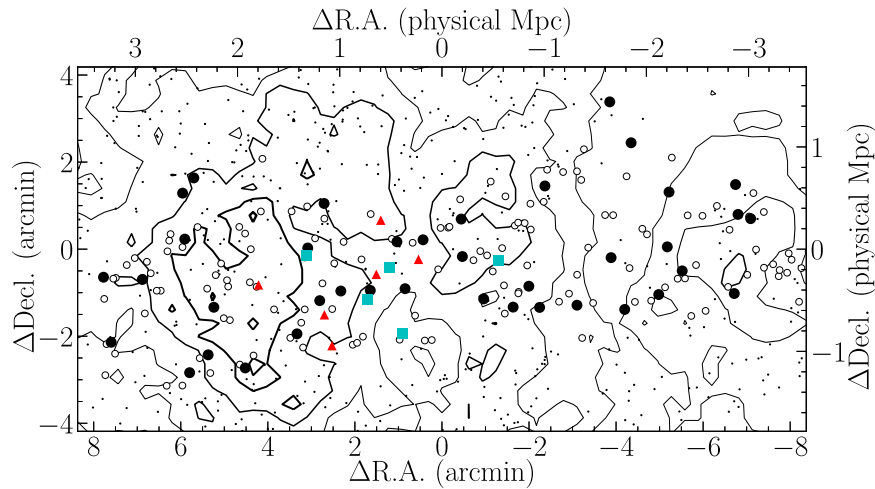


**Figure 5.** Left panel: redshift distribution of 50  $g$ -dropout galaxies with a bin size of  $\Delta z = 0.05$  in and around the D1GD02 region. The gray histogram shows all 50 galaxies over the whole FoV of DEIMOS, and the black one shows only those within the typical size of protoclusters from the overdensity peak (the area of  $\Delta R.A. > 0'$  in Figure 6). In the black histogram, we find a significant peak at  $z \sim 3.8$ , and peaks at  $z \sim 3.7$  or  $4.0$  shown by the gray histogram turn out to be incidental peaks due to the wider FoV than protocluster size. The yellow dashed line shows the selection function of  $g$ -dropout galaxies. Right panel: close-up of the protocluster redshift range, with a bin size of  $\Delta z = 0.01$ . The red and blue lines indicate the galaxies of the protocluster and background group, respectively.

Therefore, if the protoclusters identified in this study are comparable to typical ones (the progenitors of  $\sim 3 \times 10^{14} M_{\odot}$  halos, not  $> 10^{15} M_{\odot}$  halos at  $z=0$ ), the large systems including the protoclusters and neighboring groups would trace primordial large-scale structures instead of multiple progenitors on the same halo merger tree. To predict the fate of these large structures, we need to map out three-dimensional galaxy distribution more precisely with more spectroscopic follow-up observations.

There are other examples of such large-scale structures at  $z \sim 2$ – $6$  (e.g., Ouchi et al. 2005; Kuiper et al. 2012; Dey et al. 2016; Topping et al. 2016; Cucciati et al. 2018; Jiang et al. 2018). Especially, Cucciati et al. (2018) discovered a clear example of a primordial supercluster at  $z = 2.45$  by identifying seven galaxy groups within a volume of  $\sim 60 \times 60 \times 150$  comoving  $\text{Mpc}^3$ . On the other hand, the large-scale structure in the D1RD01 region includes the protocluster and two groups over a volume of  $\sim 33 \times 12 \times 64$  comoving  $\text{Mpc}^3$ , and, in the D4GD01 region, the two protoclusters are embedded in a volume of  $\sim 15 \times 10 \times 50$  comoving  $\text{Mpc}^3$ . When the size of the primordial supercluster of Cucciati et al. (2018) is limited to that of the ones we found, only two or three among the seven galaxy groups identified as the components of the primordial supercluster of Cucciati et al. (2018) can be reconfirmed as its components. Since this number is comparable to ours, we would observe a portion of primordial superclusters like the one found by Cucciati et al. (2018). Topping et al. (2018) also closely investigated a large-scale structure around the SSA22 protocluster at  $z = 3.09$ . They found two galaxy concentrations within a volume of  $\sim 12 \times 14 \times 43$  comoving  $\text{Mpc}^3$  that are predicted to be the size of two separated halos at  $z = 0$ . Our findings of the large-scale structures at  $z = 4.898$  and  $3.675$  seem to exhibit a consistent size and number of components with the clear examples at lower redshifts. However, according to the theoretical comparison in Topping et al. (2018), the occurrence rate of such a large-scale structure around the SSA22 protocluster is expected to be  $7.4 \text{ Gpc}^{-3}$ . On the other hand, the total survey volume of our  $g$ - and  $r$ -dropout galaxies over the CFHTLS Deep Fields ( $\sim 4 \text{ deg}^2$ ) is only  $\sim 0.06 \text{ Gpc}^3$ . Since Topping et al. (2018) predicted that two galaxy concentrations grow into the cluster pair of  $> 10^{15}$  and  $> 10^{14} M_{\odot}$  halos at  $z = 0$ , our findings of the large-scale structures may be composed of the progenitors of smaller clusters.

Although we cannot statistically calculate what fraction of protoclusters are in primordial superclusters or isolated due to the small and heterogeneous sample of protoclusters, these findings, at least, indicate that some components of a supercluster are simultaneously formed at high redshifts despite being a few Mpc away from each other. A similar result is found in a supercluster at  $z \sim 0.9$ , in which three clusters and five groups ( $(4.6\text{--}0.3) \times 10^{14} M_{\odot}$  halos) are contained over an  $\sim 20$  comoving Mpc area (Lemaux et al. 2012). Considering the limited volume of our observation of the primordial superclusters, this supercluster at  $z = 0.9$  would be comparable to our findings; at least, it is worth it to compare with a well-known supercluster at  $z \sim 1$ . This shows that superclusters can be formed around not only rich clusters but also typical ones. Furthermore, Hayashi et al. (2019) newly found some components of these superclusters that are  $\sim 50$  comoving Mpc away from each other at maximum and investigated the stellar ages of red-sequence galaxies in each component based on composite spectra. Although they are  $\sim 10$ – $50$  comoving Mpc away from each other, they are found to have similar mean stellar ages, which possibly indicate that each component is formed at almost the same redshift. Thus, we would be able to identify multiple protoclusters/groups in the progenitors of superclusters at even higher redshifts, as shown in this study or Cucciati et al. (2018). This is qualitatively predicted by the hierarchical structure formation model; however, each path of structure formation would have a large variation due to repeated halo mergers. Therefore, the direct observation of developmental stages will provide us with an important constraint on such stochastic processes. The  $z = 4.898$  protocluster brings two small groups, while the primordial superclusters at  $z = 3.675$  in the D4GD01 overdense region are composed of two protoclusters, which include almost comparable numbers of member galaxies. The number of components in a primordial supercluster and the ratio of galaxy number between each component would be hints to understanding the formation of superclusters or the large-scale structure of the universe. It should be noted that our follow-up spectroscopy focuses on the overdensity peak. Surrounding regions are sparsely observed, and the spatial distribution of galaxies is traced only by dropout galaxies having  $\text{Ly}\alpha$  emissions. This incompleteness of observed surrounding area and galaxy population may cause the apparent difference between



**Figure 6.** Sky distribution of  $g$ -dropout galaxies and number density contours in and around the D1GD02 region. The  $\text{Ly}\alpha$ -detected galaxies are marked by filled symbols (red triangles: protoclusters; cyan squares: background groups; black circles: field galaxies), and  $\text{Ly}\alpha$ -undetected galaxies are indicated by open circles. The dots are spectroscopically unobserved galaxies. The lines correspond to the contours of the surface overdensity from  $4\sigma$  to  $0\sigma$  in steps of  $1\sigma$ . The origin (0, 0) is (R.A., decl.) = (02:25:38.81, -04:49:16.9).

$z = 4.898$  and  $3.675$  due to a bias against large-scale galaxy distribution or an oversight of small accompanying groups. Although we need further follow-up observations to cover the whole structure and investigate the galaxy population in protoclusters, we have directly observed (a part of) the primordial superclusters at  $z = 4.9$  and  $3.7$ .

#### 4.2. Internal Structure and Morphology of Protoclusters

Next, we focus on the internal galaxy distributions of the protoclusters. The six member galaxies of the  $z = 4.898$  protocluster tend to be located at the outskirts of the overdense region rather than at the peak of the overdensity ( $(\Delta\text{R.A.}, \Delta\text{decl.}) = (0.2, 0.0)$ ). Furthermore, three (ID = 5, 6, and 17) of them seem to be strongly clustered compared with the other member galaxies. The member galaxies of the possible protocluster at  $z = 3.834$  may also be distributed to avoid the center of the protocluster, since they tend to be bimodal in the redshift distribution (the  $p$ -value of Hartigan’s dip test is 0.055). A similar internal structure was found in the protocluster at  $z = 6.01$  (Toshikawa et al. 2014), in which member galaxies are widely distributed and divided into four subgroups. These internal structures would be a clue to understanding the assembly process toward galaxy clusters. In these two protoclusters, it is found that the central concentration of member galaxies is not high, and small substructures still exist. On the other hand, it should be noted that galaxy overdensity is calculated by dropout galaxies, while protocluster members are identified by detecting  $\text{Ly}\alpha$  emission. Hathi et al. (2016) showed that star-forming galaxies with strong  $\text{Ly}\alpha$  emission have significantly different properties compared with those without  $\text{Ly}\alpha$  emission at  $z \sim 2\text{--}2.5$ , though the absolute value of the difference is small. Dropout galaxies with strong  $\text{Ly}\alpha$  emission are expected to have less dust, lower SFR, and less mass than those without  $\text{Ly}\alpha$  emission. Therefore, member galaxies may be segregated in a protocluster depending on their properties: newly-formed young galaxies may be in the outskirts, and evolved massive galaxies may be near the center of a protocluster. Cooke et al. (2013) also found that  $\sim 60\%$  of  $\text{Ly}\alpha$ -emitting dropout galaxies at  $z \sim 3$  have shell-like spatial distribution with a radius of  $\sim 3\text{--}6$  Mpc in physical scale. They concluded that dropout galaxies without

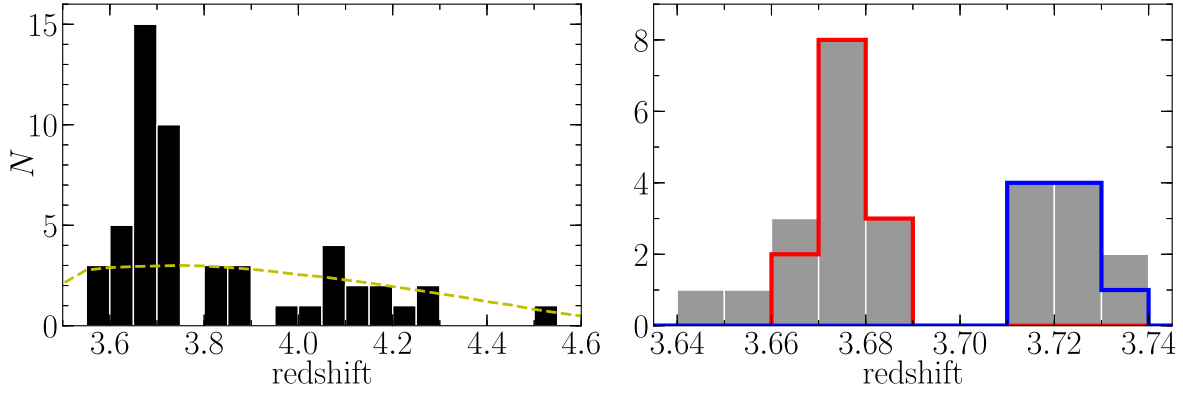
$\text{Ly}\alpha$  emission tend to be in group-like environments, while those with  $\text{Ly}\alpha$  emission would be distributed on the outskirts. Their claim from the statistical method of clustering analysis could be attributed to the contribution of protoclusters as in this study. This implication needs to be checked by direct identification of protocluster members without  $\text{Ly}\alpha$  emission in a central region.

As for the pair of protoclusters at  $z \sim 3.7$ , the main protocluster at  $z = 3.675$  is composed of at least 13 member galaxies, and nine member galaxies are confirmed for the background protocluster at  $z = 3.721$ . These numbers would allow us to make a close investigation of the internal structures of both protoclusters. Figure 9 shows the three-dimensional galaxy distribution of the main and background protoclusters. As already discussed in T16, the member galaxies of the main protocluster are spherically distributed, and nearly half the member galaxies are concentrated into the central small region. In this study, we have added two member galaxies, and this trend is maintained. On the other hand, the background protocluster can be divided into three subgroups. Each subgroup includes three (ID = 21, 22, and 46), five (ID = 23–26 and an AGN), and one (ID = 47) galaxies located around  $(\Delta\text{R.A.}, \Delta\text{decl.}, \Delta z) = (0.0, -1.1, 1.3)$ ,  $(-0.3, 0.6, 0.6)$ , and  $(0.6, 1.4, -1.5)$ , respectively. Except for the AGN, we cannot find significant differences in galaxy properties ( $M_{\text{UV}}$  and  $\text{Ly}\alpha$  EW<sub>0</sub>) between the main and background protoclusters; however, these two protoclusters appear to have clearly different internal structures, as shown in Figure 9.

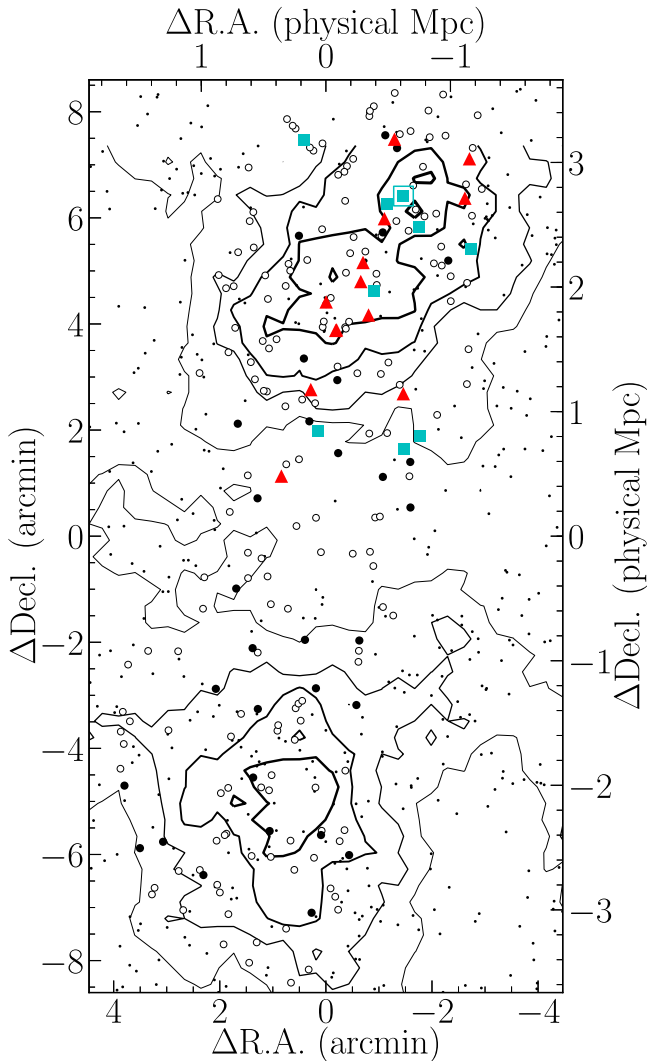
In addition to this visual inspection, a three-dimensional ellipsoid is fitted to the distributions of the member galaxies following the method in Lovell et al. (2018), so that we can quantitatively investigate the shape of the protoclusters. Although an ellipsoid may be too-simple modeling, it is useful to find an overall shape. The best-fitting ellipsoid can be determined from the eigenvalues of the moment of inertia tensor,

$$I_{ij} = \sum_{n=1}^{N_{\text{gal}}} (r_n^2 \delta_{ij} - r_{n,i} r_{n,j}), \quad (1)$$

where  $N_{\text{gal}}$  is the number of member galaxies,  $\mathbf{r}_n$  is the position vector of the  $n$ th galaxies, and  $i$  and  $j$  are the tensor indices. We



**Figure 7.** Left panel: redshift distribution of 52 *g*-dropout galaxies and an AGN with a bin size of  $\Delta z = 0.05$  in and around the D4GD01 region. The yellow dashed line shows the selection function of *g*-dropout galaxies. Right panel: close-up of the protocluster redshift range with a bin size of  $\Delta z = 0.01$ . The red and blue lines indicate the galaxies of the main and background protoclusters, respectively.



**Figure 8.** Sky distribution of *g*-dropout galaxies and number density contours in and around the D4GD01 region. The Ly $\alpha$ -detected galaxies are marked by filled symbols (red triangles: main protoclusters; cyan squares: background protoclusters; black circles: field galaxies), and Ly $\alpha$ -undetected galaxies are indicated by open circles. The dots are spectroscopically unobserved galaxies, and the cyan double square is the AGN. The lines correspond to the contours of the surface overdensity from  $4\sigma$  to  $0\sigma$  in steps of  $1\sigma$ . The origin (0, 0) is (R.A., decl.) = (22:16:54.38, -17:22:59.9).

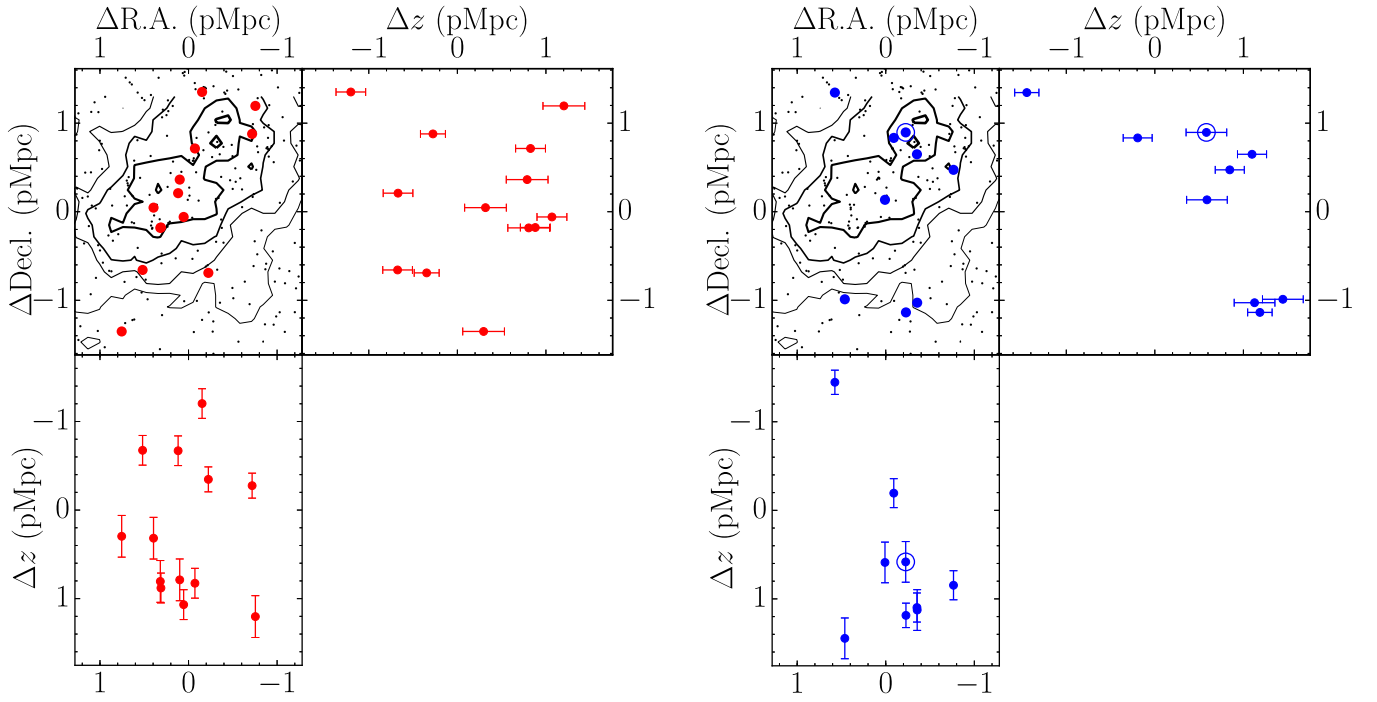
set no weight on each member galaxy to estimate the inertia tensor. The lengths of the primary, secondary, and tertiary axes ( $a_1$ ,  $a_2$ ,  $a_3$ ) can be shown by eigenvalues,  $I_1 \geq I_2 \geq I_3$ , as

$$a_1 = \sqrt{\frac{5}{2N_{\text{gal}}}(I_1 + I_2 - I_3)}, \quad (2)$$

$$a_2 = \sqrt{\frac{5}{2N_{\text{gal}}}(I_3 + I_1 - I_2)}, \quad (3)$$

$$a_3 = \sqrt{\frac{5}{2N_{\text{gal}}}(I_2 + I_3 - I_1)}. \quad (4)$$

Using these axis lengths, we calculate the parameters of sphericity,  $s = a_3/a_1$ , and triaxiality,  $T = (a_1^2 - a_2^2)/(a_1^2 - a_3^2)$ . Where the shape is spherical (aspherical),  $s$  approaches 1 (0). We use  $T$  to quantify the form of asphericity: oblate ( $a_1 > a_2, a_3$ ) and prolate ( $a_1, a_2 > a_3$ ) ellipsoids have  $T \sim 1$  and 0, respectively. Table 5 shows these shape parameters for the main and background protoclusters. As expected by the visual inspection, these two protoclusters seem to have different shapes, especially in the parameter  $T$ . Our identification of protocluster members is far from complete because the fraction of spectroscopically observed dropout galaxies is 53% in this overdense region, and only a portion of dropout galaxies have Ly $\alpha$  emission. This incompleteness would strongly affect the shape estimate, since it is based on only about 10 galaxies. Thus, we have deduced their intrinsic shape parameters as below. First, we select protoclusters at  $z \sim 3.7$  from the Millennium simulation (Springel et al. 2005); the definition of a protocluster is all halos at  $z \sim 3.7$  that will merge into a single halo having  $>10^{14} M_{\odot}$  at  $z = 0$ . Second, we pick up protocluster member galaxies that are similar to dropout galaxies based on galaxy properties, such as stellar mass, SFR, or age, predicted by a semianalytic model (Henriques et al. 2015). Counterpart galaxies in the theoretical model are determined by  $\text{SFR} > 5 M_{\odot} \text{ yr}^{-1}$ , which corresponds to the limiting UV luminosity in our observation (Kennicutt 1998). Then, the shape parameters of  $s$  and  $T$  are calculated for each protocluster by using all member galaxies, which are regarded as intrinsic parameters. In this estimate of intrinsic parameters, there are two assumptions of descendant halo mass and SFR, which are used to pick up

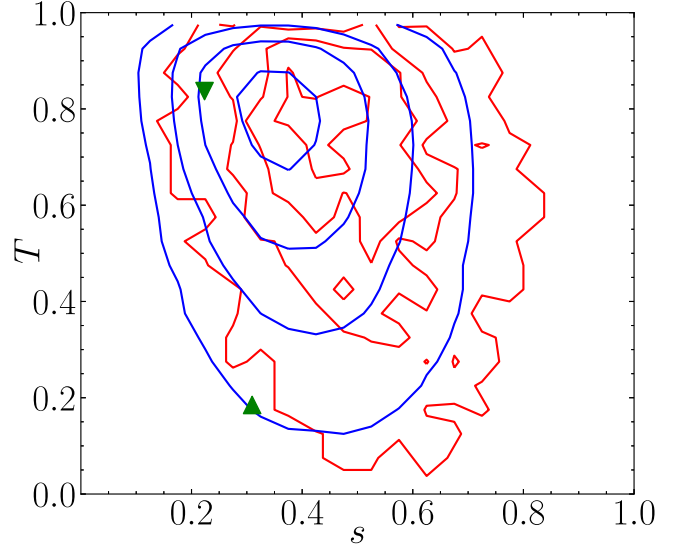


**Figure 9.** Left panel: three-dimensional distribution of the main protocluster galaxies in the D1RD01 region. The filled points represent the 13 protocluster galaxies, and the dots are the other  $r$ -dropout galaxies. The origin (0, 0) is (R.A., decl.) = (22:16:50.44, −17:18:41.6). Right panel: same as the left panel but for the background protocluster. The AGN is indicated by the blue double circle.

**Table 5**  
Shape Parameters of the Protoclusters at  $z \sim 3.7$

|             | Observed |      | Expected Intrinsic |                 |
|-------------|----------|------|--------------------|-----------------|
|             | $s$      | $T$  | $s$                | $T$             |
| D4GD01      | 0.31     | 0.19 | $0.45 \pm 0.12$    | $0.47 \pm 0.20$ |
| D4GD01-back | 0.22     | 0.84 | $0.37 \pm 0.10$    | $0.80 \pm 0.23$ |

protoclusters and member galaxies from the simulation, respectively. However, the large redshift window of dropout selection could enable us to identify only more massive protoclusters than our assumption. The conversion from apparent (dust-uncorrected) UV luminosity to SFR involves some systematic errors due to lack of information on dust attenuation, metallicity, or stellar age. Therefore, we have checked the possible systematic errors on the estimate of shape parameters and confirmed that the shape parameters are not significantly dependent on these changes. The details are shown in the [Appendix](#). Finally, in order to account for the effect of observational bias, the same number of member galaxies as observed ones ( $N_{\text{gal}} = 13$  and 9 for the main and background protoclusters, respectively) is randomly extracted from a simulated protocluster. In this selection of protocluster members from the theoretical model, we have also applied the spatial and redshift windows of  $L_z$  and  $L_{\text{sky}}$ , which are the same as in our observation. It should be noted that the spatial and redshift windows of our observation are large enough to impart no significant bias to the shape parameters ([Appendix](#)). By using randomly selected member galaxies, the shape parameters are recalculated, and we investigated how different they are from intrinsic ones. This random realization is repeated 300 times for each protocluster. As shown in Figure 10, random sampling



**Figure 10.** Shape parameters ( $s$  and  $T$ ) of protoclusters at  $z \sim 3.7$ . The red and blue contours show the expected distribution of intrinsic and apparent values, respectively. The lines from inner to outer correspond to the 25th, 50th, 75th, and 90th percentile contours. The upward and downward triangles are observed values for the main and background protoclusters, respectively.

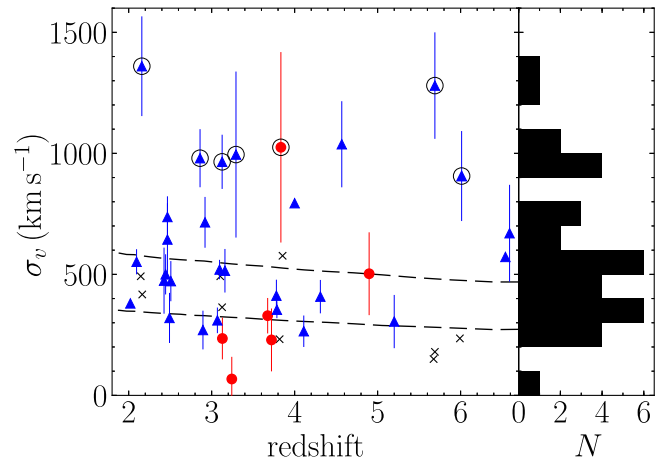
results in a systematic offset on the distribution of  $s$ , though the distribution of  $T$  is not significantly affected. Comparing the shape parameters of the observed protoclusters with the simulated ones, including random sampling, we have found that the main protocluster exhibits an unusual shape (in the 90th percentile), while the background protocluster has a typical shape (in the 50th percentile). Table 5 also shows the expectations of intrinsic values of the shape parameters for the observed protoclusters, which are determined by using the relation between the shape parameters



calculated from the full number of galaxies and random sampling based on the theoretical model. The significance of the shape difference between the main and background protoclusters is found to be  $1.6\sigma$ . The main and background protoclusters indicate pancake-like and filamentary shapes, respectively. Although the significance of the difference is marginal, the following is one of the possible interpretations. As the background protocluster can be divided into three subgroups, it might be in the earlier stage of cluster formation; thus, galaxies or small groups are just accreting along the filamentary cosmic web. On the other hand, in the main protocluster, such building blocks of a galaxy cluster might be merging into a single structure.

#### 4.3. Redshift Evolution

We have characterized the large-scale and internal structures of the protoclusters, which may help us understand cluster formation in the context of the hierarchical structure formation by combining with other protoclusters from the literature. It should be noted that protocluster samples searched by various methods may be heterogeneous, and the definitions of protoclusters differ depending on studies. The sizes of some protoclusters are also artificially limited by the size of the FoV of their associated observations. In this study, we use velocity dispersion, which indicates the dynamical state of protoclusters, to compare with other protoclusters. In the estimate of the velocity dispersion, we assume that the redshift difference of protocluster members is attributed to the velocity difference, instead of the difference of line-of-sight distance. The biweight scale (Beers et al. 1990) is used as the estimator of velocity dispersion (Table 4). In addition, we have compiled the velocity dispersion of known protoclusters at  $z > 2$  from the literature and investigated the relation between redshift and velocity dispersion (Figure 11). We cannot find a significant correlation, though velocity dispersion is expected to be increasing with protocluster growth. The heterogeneous sample of protoclusters from the collection of many previous studies might dilute a possible trend between velocity dispersion and redshift because the relation is also dependent on the descendant halo mass at  $z = 0$ . However, we can find a distinguishing feature in the histogram of velocity dispersion (right panel of Figure 11). While most protoclusters have velocity dispersions of  $\sim 200\text{--}600 \text{ km s}^{-1}$ , some have large velocity dispersions of  $\sim 1000 \text{ km s}^{-1}$ . This causes the skewed distribution of velocity dispersion, as shown in the right panel of Figure 11. The skewness of this distribution is found to be 0.71, and the null hypothesis that the observed distribution is generated from a single normal distribution can be rejected with a 97% significance level according to the Anderson–Darling test. The lower peak is almost consistent with the redshift evolution of the dark matter velocity dispersion of typical galaxy clusters ( $\sim 1\text{--}5 \times 10^{14} M_{\odot}$ ); on the other hand, it would be difficult to explain the higher peak by halo evolution under virial equilibrium. Either the protoclusters having higher velocity dispersion ( $\gtrsim 1000 \text{ km s}^{-1}$ ) could contain subgroups or the velocity (redshift) distribution of protocluster members may deviate from normal distribution (circles in Figure 11; e.g., Kuiper et al. 2012; Lemaux et al. 2014; Toshikawa et al. 2014). Some previous studies measured the velocity dispersion of each individual subgroup (crosses in Figure 11), and they are almost comparable to that of the lower peak. In the local universe, galaxy clusters of  $\sim 3 \times 10^{14} M_{\odot}$  halos have a velocity dispersion of  $\sim 500 \text{ km s}^{-1}$ , and, even for massive clusters of  $\sim 1 \times 10^{15} M_{\odot}$  halos, their velocity dispersion



**Figure 11.** Left panel: velocity dispersion of protoclusters as a function of redshift. The red points show protoclusters discovered by our protocluster search in the CFHTLS (this study and T16), and the blue points are protoclusters from the literature (Ouchi et al. 2005; Venemans et al. 2007; Kuiper et al. 2011, 2012; Galametz et al. 2013; Cucciati et al. 2014, 2018; Lemaux et al. 2014, 2018; Toshikawa et al. 2014; Yuan et al. 2014; Dey et al. 2016; Topping et al. 2016; Miller et al. 2018; Oteo et al. 2018; Chanchaiworawit et al. 2019; Harikane et al. 2019). The sample of Cucciati et al. (2018) includes the protoclusters discovered by Casey et al. (2015), Chiang et al. (2015), Diener et al. (2015), and Wang et al. (2016). Protoclusters that are reported to have subgroups or deviate from normal distribution in their velocity distributions of member galaxies are indicated by the open black circles. The velocity dispersion of subgroups, if available, is represented by the black crosses. The dashed lines show the redshift evolution of dark matter velocity dispersion of  $1 \times 10^{14}$  and  $5 \times 10^{14} M_{\odot}$  halos at  $z = 0$ . The redshift evolution of velocity dispersion is derived from that of dark matter halo mass by assuming virial equilibrium and an extended Press–Schechter model. Right panel: histogram of the velocity dispersion of protoclusters. The velocity dispersion of subgroups is not included in this histogram. It should be noted that Wang et al. (2016) detected extended X-ray emission; thus, it should be categorized as cluster, not protocluster. However, since cluster formation would be seamless from high to low redshifts, the cluster found by Wang et al. (2016) is also plotted on this figure as an example at  $z = 2.5$ .

is  $\lesssim 1000 \text{ km s}^{-1}$  (e.g., Berlind et al. 2006; Tempel et al. 2014; Wilson et al. 2016). On the other hand, merging galaxy clusters, which can be traced by using radio relics, are found to show high velocity dispersions ( $\gtrsim 1000 \text{ km s}^{-1}$ ; Golovich et al. 2017). Therefore, higher velocity dispersion can be explained if such protoclusters are in a merging phase of galaxy groups on the way to forming more massive structures; thus, their dynamical state may be far from virialization. Systematic merger motions would need to be included in the calculation of velocity dispersion in addition to the random motion of protocluster members. Kuiper et al. (2011) simulated the evolution of velocity dispersion in the case of the Spiderweb protocluster. They found that velocity dispersion is dramatically changed from  $\sim 400\text{--}500$  to  $\sim 900 \text{ km s}^{-1}$  at the point of merger of two halos. As shown in Figure 11, we find that protoclusters with higher velocity dispersion account for about one-fourth of the total, distributed over the whole redshift range. Protoclusters would be evolving by mergers of galaxy groups, as well as steady galaxy accretion, and these two phases are repeated from early to late developmental stages. It should be noted that there is a possibility that higher velocity dispersion has been overestimated by classifying independent groups as a single protocluster. As discovered by Cucciati et al. (2018), protoclusters would bring together many smaller components and form large-scale structures. It is necessary to map out galaxy distribution beyond the scale of a protocluster in order to discuss how they grow into mature clusters.

## 5. Conclusion

In this study, we have presented optical follow-up spectroscopy of the three overdense regions of *g*- and *r*-dropout galaxies in the CFHTLS Deep Fields. In the overdense region of D4GD01, the existence of a protocluster was already confirmed at  $z = 3.675$  by T16. This study increases the number of confirmed member galaxies of this protocluster to 13. In addition, we have newly discovered a protocluster including nine member galaxies at  $z = 3.721$  at the same sky position with the  $z = 3.675$  protocluster. As for the overdense region of D1RD01, we have confirmed a protocluster at  $z = 4.898$ , composed of six member galaxies. Furthermore, a possible protocluster is found at  $z = 3.834$  in the overdense region of D1GD02, though it is a tentative detection. From these protoclusters, including a possible one, we have obtained the major implications as below.

In the vicinity of the  $z = 4.898$  protocluster, there are two small galaxy groups, each including three galaxies. Since the separations between these two groups and the  $z = 4.898$  protocluster are only  $\Delta z \sim 0.05$ , these two groups are expected to become a part of a supercluster at  $z = 0$ , rather than merge into the protocluster to form a single massive dark matter halo. Similarly, in the overdense regions of both D1GD02 and D4GD01, we have found close pair-like structures whose redshift separation is only  $\Delta z \sim 0.05$ . These results suggest that large-scale galaxy/group assembly comparable to the size of superclusters starts by  $z \gtrsim 4$ , and the primordial satellite components of superclusters appear at  $z \sim 4-5$ , in parallel with the formation of central protoclusters. It should be noted that this conclusion depends on descendant halo mass; if this protocluster is the progenitor of a significantly rich cluster ( $>10^{15} M_{\odot}$ ), it is possible to incorporate the neighboring groups into a single halo by  $z = 0$ .

For the protocluster pair at  $z \sim 3.7$  in the D4GD01 overdensity, their detailed internal structures are investigated by fitting a triaxial ellipsoid to the distribution of member galaxies. In this analysis, after carefully considering sampling bias based on theoretical models, we have tentatively found that the two protoclusters have different shapes ( $1.6\sigma$  significance). The main protocluster, which has 13 member galaxies, has a pancake-like shape, while the other protocluster, which is located just behind the main protocluster and composed of nine galaxies, exhibits a filamentary shape. The background protocluster can be divided into three subgroups. These three groups nearly align in three-dimensional space, as suggested by the ellipsoid fitting. This probably indicates that they are on the way to merging along the cosmic web to make a single dark matter halo. On the other hand, the main protocluster would be expected to develop more than the background protocluster, judging from the number of confirmed member galaxies and its shape.

We have also discussed the redshift evolution of protoclusters based on their velocity dispersion by combining with other known protoclusters from the literature. Although there is no significant dependence of protocluster velocity dispersion on redshift, we have found a distribution skewed toward high velocity dispersion. This could be interpreted as the two phases of cluster formation, which are steady galaxy accretion and mergers of galaxy groups. This would be generally consistent with the picture of the hierarchical structure formation model. Although it is difficult to perform quantitative investigations due to the small and heterogeneous sample of protoclusters, the

incidence of mergers or mass ratio between merging groups will be keys to understanding the formation of galaxy clusters.

As we have shown, the protoclusters are characterized from the viewpoints of shape and large-scale structure. We have found that the formation of a supercluster starts in the early universe, and the main and background protoclusters at  $z \sim 3.7$  show different galaxy distributions. However, since our results are derived from a few protoclusters based on the investigation of a single galaxy population, it is difficult to evaluate whether or not they are representative of all protoclusters. Through the multiwavelength observations of more protoclusters, we will be able to reveal how the large-scale structure is built from the early to present-day universe, which is related to the cosmological parameters and the initial perturbations of mass density. Furthermore, this is linked to galaxy evolution across cosmic time because environments have an important influence on star formation activity. In the future, we will systematically observe protoclusters provided by the Hyper SuprimeCam Subaru Strategic Program (Toshikawa et al. 2018) in order to discuss the dynamical evolution of protoclusters and its relation to the physical properties of member galaxies.

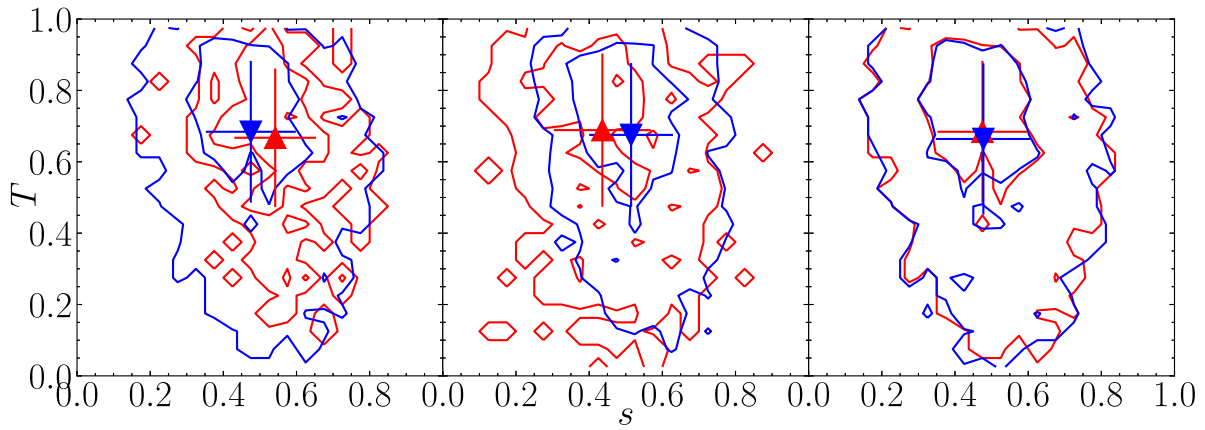
We are really grateful to Dr. Brian Lemaux for valuable comments and suggestions that significantly improved the manuscript. The CFHTLS data used in this study are based on observations obtained with MegaPrime/MegaCam, a joint project of CFHT and CEA/IRFU, at the Canada–France–Hawaii Telescope (CFHT), which is operated by the National Research Council (NRC) of Canada, the Institut National des Science de l’Univers of the Centre National de la Recherche Scientifique (CNRS) of France, and the University of Hawaii. This study is based in part on data products produced at Terapix available at the Canadian Astronomy Data Centre as part of the Canada–France–Hawaii Telescope Legacy Survey, a collaborative project of NRC and CNRS. This study is also based on data collected at the W. M. Keck telescope, which is operated as a scientific partnership among the California Institute of Technology, the University of California, and the National Aeronautics and Space Administration. The W. M. Keck Observatory was made possible by the generous financial support of the W. M. Keck Foundation. We are grateful to the W. M. Keck Observatory staff for their help with the observations, and we wish to recognize and acknowledge the very significant cultural role and reverence that the summit of Maunakea has always had within the indigenous Hawaiian community. This research was supported by the Japan Society for the Promotion of Science through Grants-in-Aid for Scientific Research 18K13575 and 18J01430. N.K. acknowledges support from JSPS grant 15H03645, and R.A.O. is grateful for financial support from FAPERJ, CNPq, and FAPESP.

*Facilities:* CFHT (MegaCam), Keck:II (DEIMOS).

## Appendix

### Systematic Error on Shape Parameters

We make some assumptions to predict the intrinsic shape parameters from observed protoclusters based on the theoretical model. These are mainly the descendant halo mass, SFR, and observing window size. In the following subsections, we have evaluated how large an effect these assumptions have on the estimate of the shape parameters.



**Figure 12.** Comparison of the distribution of shape parameters under various assumptions. Left: blue and red contours showing the shape parameters of the progenitors of  $>1 \times 10^{14} M_{\odot}$  and  $>3 \times 10^{14} M_{\odot}$  halos, respectively. The inner and outer lines indicate the 50th and 95th percentile, respectively. The red contours are noisier than the blue contours due to a smaller sample size caused by its higher mass limit. The triangles with error bars are the average and  $1\sigma$  uncertainty for the two cases (the color code is the same as the contour lines). Middle: blue and red contours showing the shape parameters estimated by using protocluster members with  $\text{SFR} > 2.0$  and  $>20.0 M_{\odot} \text{ yr}^{-1}$ , respectively. The lines and points have the same meaning as the left panel. Right: blue and red contours showing the shape parameters estimated by protocluster members within the observing window of our follow-up spectroscopy and all of them, respectively.

### A.1. Descendant Halo Mass

Ideally, protoclusters are defined as the progenitors of  $>10^{14} M_{\odot}$  halos at  $z = 0$ . However, the large redshift window of dropout selection would dilute the signal of protoclusters, which causes lower completeness for the progenitors of lower-mass clusters. The average of  $>10^{14} M_{\odot}$  halos at  $z = 0$  is  $\sim 2 \times 10^{14} M_{\odot}$ , while the expected average descendant halo mass from the clustering analysis or abundance matching is found to be  $\sim 5 \times 10^{14} M_{\odot}$  (Toshikawa et al. 2018). When the assumption of halo mass limit is changed to  $>3 \times 10^{14} M_{\odot}$ , the average halo mass turns to  $\sim 5 \times 10^{14} M_{\odot}$ . Thus, we have also calculated the shape parameters of protoclusters that are the progenitors of  $>3 \times 10^{14} M_{\odot}$  halos at  $z = 0$ . The left panel of Figure 12 shows the difference of the shape parameters depending on descendant halo mass at  $z = 0$ . Although the progenitors of higher-mass clusters tend to be more spherical (higher  $s$ ), the significance of the difference is small ( $0.4\sigma$ ).

### A.2. SFR

Observable protocluster members in simulated protoclusters are assumed to be  $\text{SFR} > 5 M_{\odot} \text{ yr}^{-1}$ . Although this criterion should be determined by considering both UV luminosity and dust attenuation of our dropout galaxies, it is difficult to correctly estimate dust attenuation based on our data set. Thus, we have tested the cases of  $\text{SFR} > 2.0$  and  $>20.0 M_{\odot} \text{ yr}^{-1}$  in order to evaluate the effect of the uncertainty of dust attenuation, and the difference is found to be  $0.5\sigma$  significance (middle panel of Figure 12).

### A.3. Observing Window Size

If the observing window is smaller than the size of the protoclusters, it could be difficult to properly estimate shape parameters. Protocluster members are typically spread over  $\sim 2'$  radius, or  $\sim 5'$  at maximum. Our follow-up spectroscopy is performed with Subaru/FOCAS and Keck/DEIMOS, whose FoVs are a circle with  $3'$  radius and a rectangle with  $16' \times 4'$ , respectively. Although these FoVs are larger than the typical size of the distribution of protocluster members, some surrounding protocluster members are outside the observing area. Those surrounding members may have a large impact on

the estimate of the shape parameters. We have checked how our observing window alters the shape parameters. As shown in the right panel of Figure 12, the results are consistent with each other, suggesting that our observing window is found to have a sufficient size.

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