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1 Silvicultural interventions and agroforestry systems increase the economic and

2 ecological value of *Bertholletia excelsa* plantations in the Amazon

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21 Abstract

- 22 Bertholletia excelsa is a native tree of the Amazon that has great economic importance e
- 23 in producing multiple products (wood, nuts, and oil). It has an important role in the
- 24 carbon cycle in the Amazon basin. Its ecophysiological characteristics indicate that it
- 25 can be part of various tree-planting systems. We have compiled important information
- 26 on B. excelsa growing in forest restoration, forest enrichment plantations, homogeneous
- 27 plantations, and agroforestry systems to assess how the species responds to silvicultural
- 28 interventions. Plantation studies on *B. excelsa* are relevant in implementing sustainable
- 29 forestry systems in the Amazon region. Silvicultural interventions are crucial tools to
- 30 ensure greater productivity, increase production capacity, and reduce cost and return
- 31 time. Bertholletia excelsa is usually recommended for planting in agroforestry systems
- because of their physiological plasticity, maturation time for nuts, and substantial wood
- 33 production, providing employment and income with a significant social impact in the
- 34 field. B. excelsa can be successfully planted to restore degraded environments with
- 35 satisfactory survival rates linked to physiological strategies, which allow for responses
- 36 to spacing, fertilization, and thinning treatments demonstrating the potential for
- 37 increasing both biomass production and yields of nuts.

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- 39 **Keywords**: Forest plantations, productive plantations, reforestation, silvicultural treatments,
- 40 sustainability.

41 Highlights:

- 42 Optimal practices for nut and wood production of planted *B. excelsa* have been
- 43 identified.
- 44 Planting to recover degraded areas requires fertilization to gain productivity.
- 45 Enrichment of secondary forests requires thinning and understory cleaning.
- 46 Reforestation and avoiding deforestation are complementary, not competitive processes.
- 47 Planting *Bertholletia excelsa* in agroforestry systems provides income and sustainability.

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50 Introduction

Tree planting is a means of recovering of forest cover in deforested areas and is 51 one of the possibilities for carbon neutralization (Koch and Kaplan 2022). If the 52 potential benefits of tree planting are to be obtained, forest plantation projects must include the local community and have efficient forestry and cultivation systems. Otherwise, the enterprise could become ecologically and economically unsustainable, as in the case of large unmonitored, and underdeveloped restoration projects (Holl and 56 Brancalion 2020). In the Amazon region, ecosystem degradation drives this important 57 biome toward an ecological collapse (Lovejoy and Nobre 2018). The southeastern 58 portion of the forest has already changed from a carbon sink to a carbon source (Gatti et al. 2021). Deforestation continues to increase in the Brazilian Amazon, with the annual 60 total reaching 13,235 km² in 2021, a record for the decade (INPE 2022). This forest loss 61 must be halted as a first priority, and degraded areas must then be restored. Restoring 62 63 degraded areas requires species selection that interacts with local fauna, enriches the food chain, and ensures ecosystem services (Giannini et al. 2016). 64

Bertholletia excelsa Bonpl is a large, tropical, evergreen tree in the family Lecythidaceae that can reach 60 m in height and 4 m in diameter (Mori and Prance 1990). This species has adaptive plasticity to the availability of nutrients, water, and light in sites and tolerance to different types of abiotic stresses, according to several studies conducted in different phenological phases and cultivation conditions of B. excelsa (Morais et al. 2007; Ferreira et al. 2012, 2015, 2016; Schimpl et al. 2018; Lopes et al. 2019; Costa et al. 2020; da Costa et al. 2022). This tree produces an indehiscent capsule fruit with nutritious seeds, called Brazil nuts, that are sold throughout Brazil and exported to other countries (Muller et al. 1995; Scoles and Gribel 2011). Each fruit contains around 18 seeds and can weigh up to 2.5 kg (Mori and Prance 1990; Scoles and Gribel 2011). Brazil nut has a high content of calcium, phosphorus, magnesium, potassium, barium, and selenium (Gonçalves et al. 2002; Silva Junior et al. 2022).

Brazil nut is produced in all countries that comprise Pan-Amazonia. This activity represents 2.8% of the production value (Production multiplied by the unit price) of non-timber forest products (NTFPs) extracted in 2020 in Brazil, this being the NTFP 79 with the third-highest production in the Brazilian Amazon (IBGE 2021). In 2021, Brazil 80 produced 33,406 tons of nut, generating 142,367 million reais (approximately 50 million US dollars). Studies indicate a strong connection between B. excelsa to human 82 livelihood strategies in the Amazon region rural areas (Scoles and Gribel 2011; Caetano 83 Andrade et al. 2019) and this species has great relevance to the carbon cycle in the 84 Amazon basin, this being the species with the third greatest cumulative stock of 85 biomass (Fauset et al. 2015; Selaya et al. 2017; Thomas et al. 2018).

Despite its socio-economic and ecological relevance, *B. excelsa* is vulnerable to extinction. Even though in 1994 a ban was decreed on the cutting of Brazil nut trees in native, primitive, or regenerated forests [Decree n° 1282, of October 19, 1994] (Brazil 1994), the native populations of Brazil nuts continue to decrease due to the illegal logging. This fact increases the risk of extinction and compromises the availability of genetic material (IUCN 1998; Angelo et al. 2013; Homma et al. 2014; Chiriboga-Arroyo et al. 2020). The species is also vulnerable to the reduction of environmentally suitable areas caused by climate change (Evangelista-Vale et al. 2021).

The establishment of *B. excelsa* plantations should be considered as an alternative to these scenarios (Homma et al. 2014). In addition, silvicultural interventions can improve the yield and quality of forest products, thus reducing competition for primary resources and the incidence of pests and diseases (Forrester et al. 2013). Recent studies demonstrate how intensive silviculture influences the morphophysiological responses of forest species, such as increasing growth rates, above-ground biomass, leaf area, specific photosynthetic rate, leaf nutrients, and photosynthetic pigments (Costa et al. 2020; Turchetto et al. 2020; da Costa et al. 2022).

Considering the potential gaps in the plantation systems of *B. excelsa*, in this review, we compiled information related to silvicultural interventions potentially required in four different planting arrangements (1. Pure plantations; 2. Plantations for recovery of degraded areas; 3. Enrichment plantations; and 4. Agroforestry) (Figure 1) to provide information to help producers and that these insights can lead to the best decision-making. This new practical knowledge can help to leverage the productive capacity of *B. excelsa* plantations, to enhance tropical silviculture, and to contribute to the prominent role of production and export of Brazil nuts.

1. Plantations for Recovery of degraded areas (RDA)

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120 121 Deforestation in the Amazon basin has remained high over the years, with a record increase in the rate by about 20% of between 2020 and 2021 (Silva Junior et al. 2021, INPE 2022). Deforested areas have higher irradiance and temperature and lose soil fertility (Santos Junior et al. 2006; Jaquetti et al. 2021). Through the selection and plantation of well-adapted species, biomass and ecosystem services can be recovered, restoring important biogeochemical cycles such as C and N (Nogueira et al. 2015; Jaquetti et al. 2016, 2021; Jaquetti and Gonçalves 2017). Introducing commercial species during forest restoration may help to restore unproductive areas to become productive forest systems (Lamb 2012; Homma 2017; Ferreira et al. 2016; Costa et al. 2022).

B. excelsa is one of the native species with the greatest ecological aptitudes for 122 RDA in the Amazon region, including mining areas (Ferreira and Tonini 2009; Salomão et al. 2006; Ferreira et al. 2012, 2015; Locatelli et al. 2015; Costa et al. 2022). Plantations of the species can reach absolute growth rates in diameter (AGR_D) of 1.02 125 cm year⁻¹ and height (AGR_H) of 0.77 m year⁻¹ 18 years after planting (Salomão et al. 126 2006). Studies have been conducted to evaluate silvicultural treatments that favor the 127 recovery of soil quality, increase the efficiency of resource use, and minimize stress factors during the initial establishment of seedlings, which is fundamental for conducting a productive planting (Campoe et al. 2014; Ferreira et al. 2012). Ferreira et 130 al. (2009) demonstrated how chemical and organic fertilization treatments reduced 131 stress responses. Compared to unfertilized plants, fertilized B. excelsa enhanced photosynthesis, water use-efficiency, and photochemical performance as represented by increased values of the performance index (PI_{ABS}) and by the maximum photochemical efficiency (Fv/F_M) values of chlorophyll a fluorescence (Ferreira et al. 2009. 2012, 135 2015). 136

Organic fertilization can recover the quality of degraded soils, since it favors 137 positive changes in the biological, physical, and chemical characteristics of the soil 138 139 (Ferreira et al. 2015; Bhattacharya et al. 2016) and results in performance gains in B. excelsa (Ferreira et al. 2009, 2015). Moreover, the organic fertilization of the 140 141 regenerating vegetation with leaves and branches increased the AGR_D (2.4 mm month⁻¹) and AGR_H (10.4 cm month⁻¹) compared to the unfertilized and chemical fertilization 142 treatments (Ferreira et al. 2012). Under organic fertilization, specific leaf area (SLA) 143 values are lower and the photosynthetic rates, transpiration rates, and water use efficiencies are higher. This increases the physiological and photosynthetic performance 146 of these individuals and makes them more resilient in the face of environmental changes, such as water deficit (Ferreira et al. 2009, 2012). These data provide 147 information about physiological plasticity and the mechanisms for escaping from stress, 148 demonstrating that, if fertilized, plantations of B. excelsa in degraded areas can be more 149 150 efficient and productive than other native species.

2. Enrichment plantations

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Enrichment planting in "capoeiras", an Amazonian popular name for secondary forest, is an important form of economic production and is combined with ecological gains, contributing to an increase in the density of species of interest in underutilized areas (Fantini et al. 2019; Santos et al. 2020). When we relate silvicultural interventions to planting in areas of secondary vegetation, we prioritize is practices that alter the availability of light and reduce the competition between *B. excelsa* seedlings and already-established species.

Some studies have demonstrated that silvicultural interventions to increase light 159 160 availability increase survival and the growth of the B. excelsa in enrichment plantations (Penã-Claros 2002). Scoles et al. (2014) compared the effect of different light 161 environments on the performance of B. excelsa seedlings and observed survival rates of 162 77% when planted in *capoeira* and of 21% when planted in the understories of native castanhais (sites with clusters of B. excelsa trees). These authors found that growth 164 rates in *capoeira* were 21.6 cm year⁻¹ for height and 0.31 cm year⁻¹ for diameter in the 165 sixth year, while in the understory the growth rates were 4.7 cm year⁻¹ for height and 166 0.10 cm year-1 for diameter (Scoles et al. 2014). Higher values of survival and annual 167 growth in height and diameter in seedlings of B. excelsa were observed by Garate-168 Quispe et al. (2020) after canopy-opening interventions. A positive correlation was 169 found between the opening of the canopy (increased irradiance) and growth rates in 170 height and diameter (Garate-Quispe et al. 2020; Santos and Ferreira 2020). Tree 171 mortality was higher in the forest understory (81.2 %) compared to forest gaps (25%) 172 173 (Garate-Quispe et al. 2020). Due to the higher performance and high survival rate of B. excelsa seedlings in the gaps opened by falling trees, enrichment planting is recommended in gaps in natural forests and in *capoeiras* (Garate-Quispe et al. 2020). 175

Studies have begun to assess the impact of thinning on enrichment plantations. Growth rates of *B. excelsa* were enhanced after thinning and understory clearing of natural regeneration in Central Amazonia (Santos and Ferreira 2020). Santos and Ferreira (2020) and Scoles and Gribel (2021) also found *B. excelsa* to have higher mortality in treatments with low irradiance.

Opening planting lines also enhanced the survival and growth of *B. excelsa* compared to the treatment without the removal of vegetation (Peña-Claros et al. 2002). The 6 m wide opening line was found to be the best treatment 4 years after planting due to increased irradiance. However, only small differences were found between width

treatments. Higher growth rates were found for the 6 m wide planting lines and the total-clearing treatments (Peña-Claros et al. 2002). 186

187 Despite B. excelsa being considered a shade-tolerant species with an emerging canopy in natural forests, the species has higher growth and survival when planted in 188 high light environments. Additionally, the growth rates depend greatly on soil fertility 189 and nutrient additions. In contrast, the use of B. excelsa to enrich the understory of 190 natural forests appears to be unsuitable, as is reflected by the low growth rates and high 191 mortality of individuals. But overall, clearing, and thinning treatments are important for 192 enhancing productivity when used in naturally regenerating areas with the opening of 193 25 to 50 % of the canopy as recommended by Garate-Quispe et al. (2020). Additionally, planting taller seedlings (more than 70 cm) may reduce herbivory and weed 196 competition.

3. Pure plantations

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Monoplantations of *B. excelsa* have been established for nut and wood production. Due to the Brazilian legislation mentioned in the introduction, B. Excelsa wood can only be legally extracted from planted individuals and not from native forests. The effects of thinning, fertilization, spacing, and coppice regrowth have been studied to increase productivity and biomass growth. The species has desirable silvicultural characteristics, with single stems and high-quality wood (Costa et al. 2009; Ferreira and Tonini 2009; Scoles et al. 2011; Machado et al. 2017). Monoplantation goals should be considered when choosing silvicultural practices, including spacing. Pruning, thinning, and mowing are important to reduce weed competition and increase the availability of light and nutrients (Schroth et al. 2015, Machado et al. 2017).

The recommended spacing for the development of the crowns for nut production in commercial monoplantations is 10 x 10 m (Locatelli et al. 2015; Passos et al. 2018). In a monoplantation for nut production in Amazonas state, Brazil, a positive correlation was found between capsule weight and diameter at breast height (DBH) (Passos et al. 2018). Among selected genetic clones from the Brazilian Agricultural Research 212 Corporation (EMBRAPA), the Manoel Pedro, Aruanã, and Santa Fé clones had higher 213 growth in diameter and height 31 years after plantation. With an average production of 80 capsules and 12 kg tree⁻¹ of nut weight, Manoel Pedro was more productive than the 215 other clones studied (Passos et al. 2018). Nevertheless, B. excelsa can take from 15 to 25 years to produce nuts at a commercial scale. This can be a strong limitation for the establishment of productive monoplantations (Homma et al. 2014).

Studies on pruning and thinning silvicultural treatments to produce straight, knot-free trunks have been conducted on reduced spacing (Homma et al. 2014). The spacing of 3×4 m and 5×5 m area indicates for spacing increases wood quality, growth in height, and volumetric production (Lima and Souza 2014; Oliveira 2021). In addition, the spacing of the plantation seems not to influence the survival of B. excelsa seedlings in the first years of the plantation (Oliveira 2021). In a 27-year-old pure plantation in the state of Amazonas, Central Brazilian Amazon, with a spacing of 3 x 3 m, B. excelsa had an average height increase equal to 0.47 m year⁻¹ in diameter of 0.81 cm year⁻¹ and in a volume of 8.77 m³ ha⁻¹ year⁻¹ (Machado et al. 2017).

In a plantation with 12 x 12-m spacing with phosphorus fertilization and 228 mowing, B. excelsa had an 86% survival rate and a relative growth rate in diameter 229 (RGR_D) of 2.15 cm year⁻¹ 28 years after planting (Locatelli et al. 2015). The species 230 produced an average of 3.1 m³ per tree totaling 269.72 m³ in volume per hectare (Locatelli et al. 2015). The authors projected the technical age of harvest (TAH) at 25 years for the best productivity and income (Locatelli et al. 2015). Annual volume increase reached maximum values 12 years after plantation when thinning treatments were employed to avoid stagnation of diameter growth.

The combination of thinning, phosphorus fertilization, and liming effects on the photochemical performance of B. excelsa have recently been studied in plantations for wood production (Costa et al. 2020). The liming and fertilization treatments were important for maintaining photosynthesis and reducing stress after thinning. The rapid recovery responses and high efficiency of light use were reflected in the F_V/F_M and PI_{ABS} values (Costa et al. 2020). Despite leaves and branches representing only 27% of total individual biomass, the higher concentration of nutrients highlights the importance of leaving the harvest residues in the planted area to maintain soil fertility (Costa et al. 2015; Schroth et al. 2015). However, B. excelsa may export 8.0 Mg ha⁻¹ of carbon (C) in the first thinning 8 years after planting (Costa et al. 2015).

The growth of *B. excelsa* sprouts has been studied in coppice systems in commercial monoplantations. These systems may reduce implementation costs and time to first harvest and increase the C stocks in the soil (Paiva et al. 2011; Scoles 2011; Homma et al. 2014; Fortes 2016; Germon et al. 2019; Johann 2021). Additionally, due to the root system already being developed, coppiced trees may access deeper water and nutrient reservoirs, increasing their tolerance to dry periods (Paiva et al. 2011; Germon et al. 2019).

Despite its good silvicultural and physiological characteristics, basic information on the species in commercial plantations is still lacking. The economic viability of plantation establishment is limited by the relatively long time before large-scale production of nuts or wood begins. Additionally, poor logistics in the region may limit the use *B. excelsa* in many parts of the Amazon region. Therefore, studies to reduce the harvest time are needed. The importance of choosing the right silvicultural treatments is also clear.

4. Agroforestry systems

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As regards referring to the topic of Agroforestry systems (AFS), we choose to 261 take into consideration the conceptions described by Gómez et al (2022) about 262 Traditional agroforestry systems (TAS) and agroforestry research. Agroforestry is a land-use alternative with many advantages over other options for already-deforested areas. Its generation of employment and appropriateness for implementation by small farmers are advantages over monocultural plantations, including those of B. excelsa. 266 They clearly have greater environmental benefits and sustainability as compared to the 267 cattle pastures that dominate deforested landscapes in Brazilian Amazonia. Agroforestry 268 is a sustainable and economic alternative to be implemented in protected areas such as 269 the legal reserves that Brazilian law requires in private properties (Homma et al. 2014; 271 Souza et al. 2017).

In general, agroforestry research with *B. excelsa* combines trees and annual crops to increase income during the first years of *B. excelsa* development. Livestock may also be included in these systems (Homma et al. 2014). Agroforestry can sustain soil fertility after crop rotation due to better exploitation of deeper soil layers by the roots of trees (Tapia-Coral et al. 2005, Costa et al. 2009). Moreover, the biomass production and development of the organic layer induced by *B. excelsa* favor the cycling of important nutrients and increase of C stocks in the soil (Tapia-Coral et al. 2005). *B. excelsa* has been used in AFS in Tomé-Açu in Pará State, Eastern Brazilian

Amazon, since 1970 to increase the diversity of production and to increase the income of local communities (Schroth et al. 2015; Homma et al. 2014).

AFS with *B. excelsa* may also increase growth rates of the species with an average AGR_D of 2 to 3 cm year⁻¹ and AGR_H of 1 to 2 m year⁻¹ between seven and twelve years after planting (Costa et al. 2009; Ferreira and Tonini 2009; Schroth et al. 2015). An AGR_D of 2.13 cm year⁻¹ was observed for *B. excelsa* when interplanted with *Theobroma grandiflorum* 28 years after planting (Locatelli et al. 2015). The great variation in the size and biomass of individuals highlights the potential for genetic improvement of the species (Schroth et al. 2015).

Survival rates between 78 and 98.6% have been found in AFS plantations with *B. excelsa* (Schroth et al. 2015; Ferreira and Tonini 2009; Costa et al. 2009; Locatelli et al. 2015). The positive effects on growth rates and nutrient stocks with combined chemical fertilization and liming treatments have been reported in agroforestry plantations with *B. excelsa*. The species appears to be highly demanding of Mg and Ca (Schroth et al. 2015). Increased organic matter and phosphorus, specifically, in the soil may enhance the performance of *B. excelsa* (Costa et al. 2009).

The most-common spacing in AFS with B. excelsa is 10 x 10 m for nut 296 production (Costa et al. 2009; Schroth et al. 2015; Locatelli et al. 2015). However, 297 increasing spacing along with pruning and thinning treatments may reduce the risk of fungal disease spreading (Forrester et al. 2013; Santos et al. 2020). Increased nut production has been reported under 12 x 12-m spacing due to better crown development (Costa et al. 2009). Choosing the right spacing may reduce interspecific and weed 301 competition, thereby increasing growth and allocation of nutrients to aboveground 302 biomass (Schroth et al. 2015). Compared to monoplantations, the nut production of the 303 species may start earlier in AFS, around 8 to 10 years after planting (Costa et al. 2009; 304 Homma et al. 2014; Ferreira and Tonini 2009). 305

Adopting a spacing that induces natural pruning may increase wood quality
(Schroth et al. 2015). As observed by Ferreira and Tonini (2009), 81.16% of individuals
had excellent straight trunks with no defects, while 28.8% had no bifurcations.
Therefore, reduced spacing may influence the growth patterns that increase height
growth and the quality of wood production.

Markets and other factors limit the extent to which AFS can achieve recovery of the vast areas of degraded cattle pasture in Brazilian Amazonia (Fearnside 1995a, 2009). This article emphasizes that the Brazil nut tree has demonstrated in both cases, plantations with silvicultural treatments applied to recover degraded areas and agroforestry, excellent results (Costa et al. 2022). In other words, these results reinforce the importance of agroforestry that includes *B. excelsa* in the Amazon as part of a circular bioeconomy that contributes to improving the environment and local livelihoods.

All in all, we can confirm that *B. excelsa's* responses to spacing, fertilization, and thinning treatments demonstrate the potential for increasing both biomass production and yields of nuts (Figure 2).

Conclusions and future perspectives

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323 B. excelsa has great potential to be used in different forest plantation 324 arrangements. Considering the time required for nut and wood products and the 325 increased growth rates, the species is mostly recommended to be planted in agroforestry

- 326 systems. On the other hand, the species also demonstrates good responses in
- 327 monoplantations. As a native species that produces goods and services, B. excelsa can
- 328 be successfully planted to restore degraded environments showing satisfactory survival
- 329 rates. To enrich the natural regeneration of forests the spacing and light availability
- mainly should be carefully considered. Additionally, leaving pruning and thinning
- 331 residues in the area during harvest is recommended to sustain soil fertility.
- The species shows great physiological plasticity under different levels of
- 333 resource availability. Because of the prominence of the species in sequestering and
- 334 storing carbon, it is relevant to evaluate the opportunities to add value to plantations
- through the carbon market and other initiatives for payment for environmental services.
- Thus, *B. excelsa* can be used as key species for stocking carbon in reforestation programs and climate change mitigation.
- Despite the ecological and economic relevance of *B. excelsa* limitations on basic
- 339 research with the species may be a factor that reduces the implementation of
- 340 commercial plantations in the Amazon region. Therefore, studies are needed on the
- 341 effects of silvicultural treatments to increase productivity and reduce the rotation time in
- 342 agroforestry systems and in monoplantations, covering different scales of forestry
- 343 production.

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345 Statements and Declarations

346 The authors declare that there is no conflict of interest.

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364 Author contributions

- 365 Jessica Pereira de Souza has written the manuscript with conceptual support from José
- 366 Francisco de Carvalho Gonçalves. The literature search and data analysis were
- 367 performed by Jéssica Pereira de Souza. The first draft of the manuscript was written by
- 368 Jéssica Pereira de Souza and all authors commented on and critically revised the
- 369 versions of the manuscript. All authors read and approved the final manuscript.

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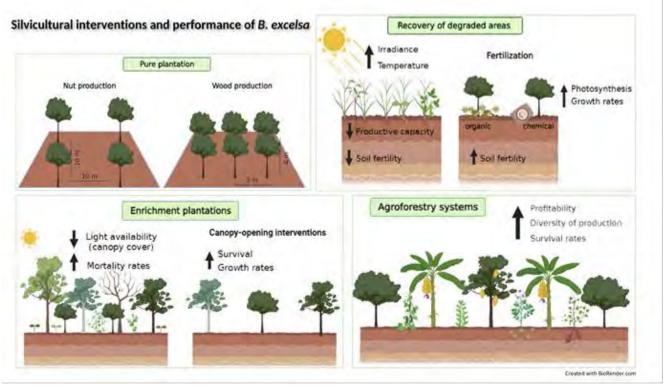


Figure 1) Illustration of the cause-and-effect relationship between silvicultural interventions of *B. excelsa* grown in different planting arrangements.

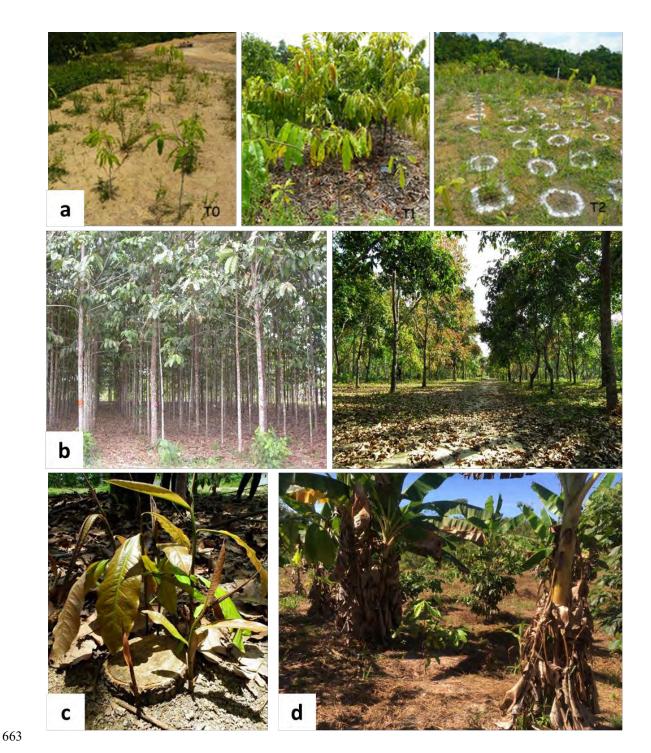


Figure 2) Brazil nut plantations on degraded areas (Fig 1a) without fertilization (T0), organic fertilization (T1) and mineral fertilization (T2). Manaus, Amazonas – Brazil; (Fig 1b) Brazil nut plantations for timber and nuts production, Fazenda Aruanã Itacoatiara, AM, Brazil.; (Fig 1c) Growth of Brazil nut sprouts after thinning. Fazenda Aruanã, Itacoatiara, AM, Brazil. Fonte: Laboratório de Fisiologia e Bioquímica Vegetal – LBFV/INPA; (Fig 1d) Brazil nut in AFS in a degraded area, Marabá, Pará, Brazil. Fonte: Laboratório de Agrobiodiversidade de Carajás – Unifesspa.