

Lecture 14 Linear Equalizers February 27, 2024

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Announcements & Agenda

Announcements

- PS6 due tomorrow
- FB PS5:
 - 10-18 hours
 - Interleavers less covered, but on homework
 - LLRs?

Probl	Problem Set 7 = PS7 due Wednesday March 6			
1.	3.7	DFE is even better		
2.	3.8	Noise Predictive DFE		
3.	3.19	Two-Band Equalizer		
4.	3.23	Finite-Delay Tree Search		
5.	3.28	IIR channel DFE		

Today

- Finish Zero-Forcing Equalization (3.4)
- MMSE-LE (3.5)
- Fractional Spacing and Passband Equalization (3.5)





Zero-Forcing Equalization (ZFE)

Section 3.4

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ZFE – Just filter with channel inverse

• The ZFE Forces ISI to Zero.

Don't confuse Q's ! (sorry)



• Calculate $\sigma_{ZFE}^2 = \frac{N_0}{2} \cdot \frac{w_{ZFE,0}}{\|h\|}$; where $w_{ZFE,0}$ is the time-zero value of $w_{ZFE,k}$.

• SNR of SBS then is
$$SNR_{ZFE} = \frac{\bar{\varepsilon}_x}{\sigma_{ZFE}^2} = SNR_{MFB} \cdot \gamma_{ZFE}$$
. Loss Factor γ_{ZFE}

$$\gamma_{ZFE}^{-1} = \frac{T}{2\pi} \cdot \int_{-\frac{\pi}{T}}^{\frac{\pi}{T}} \frac{d\omega}{Q(e^{-j\omega T})} = [q^{-1}]_0 = w_{ZFE,0} \cdot ||h||$$



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Sec 3.4

Our Example channel: $H(D) = 1 + .9 \cdot D^{-1}$

$$H(\omega) = \begin{cases} \sqrt{T} \cdot (1 + .9e^{j\omega T}) & |\omega| \le \frac{\pi}{T} \\ 0 & |\omega| > \frac{\pi}{T} \end{cases} \quad \Phi_h(\omega) = \begin{cases} \sqrt{\frac{T}{1.81}} \cdot (1 + .9 \cdot e^{j\omega T}) & |\omega| \le \frac{\pi}{T} \\ 0 & |\omega| > \frac{\pi}{T} \end{cases}$$
$$\|h\|^2 = 1.81 \quad \sigma^2 = 0.181 \qquad SNR_{MFB} = 10 \ (= 10 \text{ dB also})$$

- Real baseband, so is symmetric lowpass about DC.
- It has significant ISI (2nd large tap).
- The SNR is already not so good.
 - SNRmfb is 10 dB.
 - So, design needs a code outside the receiver!
 - One designed for AWGN.





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Sec 3.4.2

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Corresponding ZFE Spectrum and Time Response



Edge noise increases 50dB (with respect to center).

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- Very long response (delay, or complexity if realized as FIR).
- The integral of $W_{zfe}(e^{-j\omega T})$ can be done in closed form for this example $\rightarrow \sigma_{ZFE}^2 = 5.26 \cdot \sigma^2$ (see Example 3.4.1)

Sec 3.4.3

 $\gamma_{ZFE} = 10 \log_{10} (1.81 \cdot 5.26) \approx 9.8 \text{dB}$

Big Loss!

L14:6



How about 1+.9D⁻¹ Eye? \rightarrow eye_eq.m software

• Thank former Students Dr. Jungsub Byun and Dr. Moshe Malikin (at web site).

```
>> help eve eq
function []= eye_eq(h,Ex,noise_var,eq_type);
INPUTS
      = pulse response, example [a^{D^{-1}+1}] = [a 1]
 h
 Ex
       = average energy of signals, Ex_bar
 noise_var = noise variance (sigma squared)
 eq_type = Z => ZERO FORCING (may have numerical issues, so use M with zero
noise instead.)
      M => MMSE
      D => MMSE-DFE
 OUTPUTS, some are graphs
 outputs: pe_(zfe/mmle_dfe/mmse_le)= probability of error with Equalizer from N
input 2PAM[+1/-1] data sequences
 outputs: pe_no_eq = probability of error without Equalizer
 outputs: dfseSNR = receiver(equalizer)SNR, unbiased in dB
 outputs: pe_SNR = error probability estimation from receiver(equalizer)SNR, Pe =
O function of sqrt(dfseSNR)
 this function shows Frequency response of the channel p and equalizer filter, eye
diagram, receiver SNR, and probability of error.
 N = 250; % # of input 2 PAM[+1/-1] data, you can increase the N of input data
sequences in order to calculate the Pe accurately
 created 1/06 by Jungsub Byun and M. Malkin EE379A
```

```
eye_eq([.9 1],1,0,'M')
```

produces several plots, similar to previous slide , &

mainly makes eye diagrams easier.



Eye Diagram, before EQ and After, 1+.9D⁻¹

>> eye_eq([.9 1], Ex,noise,'M')



• Essentially ZFE produces "perfect" eye opening, but of course the noise is huge (not shown).



Sec 3.2

Matlab assistance for this equalizer

Q

Find Q(D) and invert



- p(m) and ¹/_{p*(m)} are always both ZFE poles.
 because Q(D) and W(D) are pos-real (autocorrelation functions).

 - Choose $|p(m)| \leq 1$ for the following, with corresponding r(m),
 - So choose -.9 and -6.3728.
- Write for each pair m as

•
$$W(D) = k + \frac{r(m)/p(m)}{1-p(m)\cdot D} + \frac{r(m)\cdot D^{-1}}{1-p^*(m)\cdot D^{-1}} \rightarrow k \cdot \delta_k - r(m) \cdot [p(m)]^{k-1} \cdot u_k - r(m) \cdot [p^*(m)]^{-k-1} \cdot u_{1-k}$$

 $W(D) = \underbrace{\frac{7.0809}{1+.9\cdot D}}_{causal, \ k=0...\infty} - \underbrace{\frac{6.3728\cdot D^{-1}}{1+.9\cdot D^{-1}}}_{anticausal, \ k=-1...-\infty} \qquad w_0 = 7.0809 \quad \text{See text for written details}$
 $\gg 10^* \log 10^* (7.0809^* \operatorname{sqrt}(1.81)) = 9.8 \text{ dB}$
Feb 27, 2024 $\operatorname{Sec } 3.4.3 \quad \operatorname{PS5.3}(3.6)$ $\operatorname{L14:9}$ $\operatorname{Stanford University}$

$$\begin{aligned} (e^{-j\omega T}) &= \frac{1}{T} \cdot |\Phi_h(\omega)|^2 \\ &= \frac{1}{1.81} |1 + .9 \cdot e^{j\omega T}|^2 \\ &= \frac{1.81 + 1.8 \cdot \cos(\omega T)}{1.81} \\ Q(D) &= \frac{.9 \cdot D^{-1} + 1.81 + .9 \cdot D}{1.81} \\ \end{aligned}$$

Complex Baseband ISI Example



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Sec 3.4.3

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Magnitude shows channel inversion

Eye Diagram, before EQ and After, complex

eye_eq(h,1,0,'M')



However, as with real case, there is enhanced noise.



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Sec 3.2

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Examine this complex-BB equalizer

• $W_{zfe}(D)$ directly as $\frac{1}{\|h\|} Q(D)$

F

$$W_{ZFE}(D) = \frac{\sqrt{1.5625}}{(-.25j \cdot D^{-2} + .625(-1+j) \cdot D^{-1} + 1.5625 - .625(1+j) \cdot D + .25j \cdot D^2)}$$

$$\approx [r,p,k] = residue([sqrt(1.5625) 0 0], [-i/4 (5/8)*(-1+i) 1.5625 - 5/8*(1+j) i/4]);$$

$$\approx transpose(r) = -1.9608 + 1.1765i 1.1765 - 1.9608i 0.2941 + 0.4902i 0.4902 + 0.2941i$$

$$\approx transpose(p) = 2.0000 - 0.0000i - 0.0000 + 2.0000i - 0.0000 + 0.5000i 0.5000 + 0.0000i$$

$$\approx k = []$$

$$\approx r(3)/p(3) = 0.9804 - 0.5882i$$

$$\approx r(4)/p(4) = 0.9804 + 0.5882i$$

•
$$W(D) = k + \frac{r(m)/p(m)}{1-p(m)\cdot D} + \frac{r(m)\cdot D^{-1}}{1-p^*(m)\cdot D^{-1}} \to r(m) \cdot [p(m)]^{k-1} \cdot u_k - r(m) \cdot [p^*(m)]^{-k-1} \cdot u_{1-k}$$
 (k>0 terms)

$$W(D) = \underbrace{\frac{.9804 - .5882j}{1 - (\frac{j}{2}) \cdot D} + \frac{.9804 + .5882j}{1 - (\frac{1}{2}) \cdot D}}_{causal, \ k = 0 \dots \infty} - \underbrace{don't \ care \ for \ w_0}_{anticausal, \ k = -1 \dots -\infty}$$

$$w_0 = 1.9608$$
See text for written details
$$\gamma_{ZFE} = 10 \cdot \log_{10}(w_0 \cdot ||h||) = 3.9 \text{ dB}$$

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Sec 3.4.3
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Time Domain Equalizer



• Little easier channel (smaller loss w.r.t. MFB) – shorter equalizer.



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Sec 3.4.3

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MMSE-Linear Equalizer

Section 3.5

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Linear Equalizer to minimize ISI/noise impact



- Like ZFE, SBS = Symbol By Symbol (detector) not ML, not optimum, but maybe much cheaper.
 - All the QAM/PAM, coding formulas apply to this new channel $\overline{b} \cong \frac{1}{2} \cdot \log_2(1+SNR)$, so receiver converts to AWGN (or tries to).
- Linear filter that minimizes Mean-Square Error (maximizes SNR).



MMSE Criterion

- The $SNR = \frac{\mathcal{E}_x}{\mathbb{E}[|z_k x_k|^2]}$ is maximum.
 - Output is biased when W(D) is selected to minimize MSE.
- Appendix D's orthogonality principle, error is orthogonal to input, find W(D).

$$\mathbb{E}[E(D) \cdot Y^*(D^{-*})] = 0$$



Solution (see Sec 3.5) is

$$W_{MMSE-LE}(D) = \frac{\bar{R}_{xy}(D)}{\bar{R}_{yy}(D)} = \frac{1}{\|h\| \cdot \left(Q(D) + \frac{1}{SNR_{MFB}}\right)} \qquad \begin{array}{c} R_{xy}(D) = \mathbb{E}[X(D) \cdot Y^*(D^{-*})] \\ R_{yy}(D) = \mathbb{E}[Y(D) \cdot Y^*(D^{-*})] \end{array}$$

- Differs from ZFE only in the extra $\frac{1}{SNR_{MFB}}$ denominator term, which conditions/controls noise increase.
 - Can't divide by zero or very small number



Sec 3.5.2

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Limits noise enhancement



- Any very low energy region is offset by the 1/SNRmfb term.
- If SNR=∞, then ZF and MMSE-LE are the same.



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Sec 3.5.2

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Receiver Removal of Bias



- Recall the best value of α , when the receiver minimizes MSE, is $\frac{SNR}{SNR-1}$.
- This boosts desired signal as well as distortion/noise, but in a way so that receiver's decision regions based on p_{z_k/x_k} are correct.
- The correct new SNR is always (with any MMSE receiver bias removal) $SNR_{II} = SNR 1$.
- If no noise, bias removal is $\alpha = 1$.

Sec 3.2.1 & Appendix D

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MMSE Conclusion / Use

So ok to use MMSE, just remove the bias before entering the SBS detector, and now we have Pe

$$P_e \approx N_e \cdot Q\left(\sqrt{\kappa \cdot SNR_{MMSE-LE,U}}\right)$$

$$\kappa = \frac{3}{2^{2\overline{b}}-1}$$
 for SQ QAM/PAM

 Maximum value would occur when there is no ISI so that all signal energy at receiver MF output sampler is

$$SNR_{MMSE,U} \le \frac{\bar{\mathcal{E}}_x \cdot \|h\|^2}{\sigma^2} \triangleq SNR_{MFB}$$
 Matched-Filter
Bound SNR

• Bound attained with no ISI, so Q(D)=1 in

$$Y(D) = \|h\| \cdot Q(D) \cdot X(D) + N(D)$$

Two Major Repeated Concepts for the Designer

- 1. $P_e \approx N_e \cdot Q(\sqrt{\kappa \cdot SNR_{MMSE-LE,U} \cdot \gamma})$ where γ is any coding gain.
- 2. Minimize MMSE, orthogonality, error and channel output

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Return to 1+.9D⁻¹ ISI Example



Reproduce ZFE commands for MMSE-LE

>> [r,p,k]=residue([sqrt(1.81) 0],[.9 1.991 .9 >> transpose(r) = 2.4962 -1.0014]);			
>> transpose(p) = -1.5788 -0.6334				
>> k = []				
>> r(2)/p(2) = 1.5811				
1.5811 1.	$0014 \cdot D^{-1}$			
$W(D) - \frac{1+.6334 \cdot D}{1+.6334 \cdot D} = \frac{1}{1+.6334 \cdot D}$	$.6334 \cdot D^{-1}$			
$causal, k=0\infty$ anticau	$\overline{usal}, k = -1 \dots -\infty$			
gamma= 10-5.7= <mark>4.3dB << 9.8 dB</mark> !!				
Feb 27, 2024	Sec 3.5.3			

>> w0=r(2)/p(2) %= 1.5811
>> SNRLE=1/(w0*.181/sqrt(1.81)) %= 4.7013
>> SNRLEU=SNRLE-1 %= 3.7013
>> 10*log10(SNRLEU) 5 %= 5.6835 dB
>> WU0=(SNRLE/SNRLEU)*w0 %= 2.0082

$$w_{U,0}\cong 2$$

5.5 dB!: MMSE effect can be large (~ turbo/ldpc/GRAND fight for .2 dB)

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Equalizer Comparison

Equalizers for real-channel example



Less enhancement visible, and some ISI visible in equalized response.



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Sec 3.5.3

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Equalizer Outputs



• Less enhancement is visible, but some ISI is visible in equalized response.



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Sec 3.5.3

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Complex Example

$$W(D) = \frac{\sqrt{1.5625}}{-.25j \cdot D^{-2} + .625(-1+j) \cdot D^{-1} + 1.5625(1+.1) - .625(1+j) \cdot D^{1} + .25j \cdot D^{2}}$$

```
> [r,p,k]=residue([sqrt(1.5625) 0 0],[-i/4 (5/8)*(-1+i) 1.5625*(1+.1) -5/8*(1+j) i/4]);

>> transpose(r) = 1.0079 - 1.5025i - 1.5025 + 1.0079i 0.1662 + 0.3284i 0.3284 + 0.1662i

>> transpose(p) = -0.1356 + 2.2130i 2.2130 - 0.1356i -0.0276 + 0.4502i 0.4502 - 0.0276i

>> k = []

>> A=r(3)/p(3) = 0.7042 - 0.4123i

>> B=r(4)/p(4) = 0.7042 + 0.4123i

>> w0=A+B = 1.4084 + 0.0000i

SNRLE=1/(w0*.181/sqrt(1.81)) = 5.2776

SNRLEU=SNRLE-1 = 4.2776

10*log10(SNRLEU)=6.312 dB
```

- Loss is 3.7 dB < ZFE's 3.9dB</p>
- Why so small?



ISI is less

- See the vertical scale for ZFE
 - MMSE is better when an equalizer is really needed





Fractionally Spaced Equalizers

Section 3.5.4

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Fractional Spacing (integer multiple *l*)

- There is some channel passband energy above the (designer selected) Nyquist frequency.
- Then simple sampling (without matched filter) at symbol rate is not sufficient.
- Designer wants the equalizer to absorb the matched filter.



L phases

There are l phases of input samples for each symbol-sample-time output ("polyphase system")

$$y_i(kT) = y(kT - iT/l)$$
, $i = 0, ..., l - 1$.

- Each phase has a *D*-Transform $Y_i(D) = H_i(D) * X(D) + N_i(D)$
 - This is a form of what is called "diversity" where several channels carry the same input to different outputs.

$$\underline{\mathbf{Y}(D)} = \underline{\mathbf{H}(D)} \cdot X(D) + \underline{\mathbf{N}(D)}$$
$$\underbrace{\mathbf{W}(D)}_{l \times 1} \quad \underbrace{\mathbf{W}(D)}_{l \times 1}$$

There is an *l*×1 channel-output vector for each symbol period, creating an FSE with *l* times more coefficients:

$$\mathbb{E}\left[E(D)\cdot\boldsymbol{Y}^{*}(D^{-*})\right] = \boldsymbol{R}_{x\boldsymbol{Y}}(D) - \boldsymbol{W}(D)\cdot\boldsymbol{R}_{\boldsymbol{Y}\boldsymbol{Y}}(D) = 0 \quad ,$$

$$\begin{aligned} \boldsymbol{R}_{\boldsymbol{x}\boldsymbol{Y}}(D) &\stackrel{\Delta}{=} & \mathbb{E}\left[X(D)\cdot\boldsymbol{Y}^*(D^{-*})\right] = \bar{\mathcal{E}}_{\boldsymbol{x}}\cdot\boldsymbol{H}^*(D^{-*}) \\ \boldsymbol{R}_{\boldsymbol{Y}\boldsymbol{Y}}(D) &\stackrel{\Delta}{=} & \mathbb{E}\left[\boldsymbol{Y}(D)\cdot\boldsymbol{Y}^*(D^{-*})\right] = \bar{\mathcal{E}}_{\boldsymbol{x}}\cdot\boldsymbol{H}(D)\cdot\boldsymbol{H}^*(D^{-*}) + \ell\cdot\frac{\mathcal{N}_0}{2}\cdot\boldsymbol{I} \end{aligned}$$



MMSE-FSE otherwise follows same format

$$W(D) = \boldsymbol{R}_{\boldsymbol{x}\boldsymbol{Y}}(D) \cdot \boldsymbol{R}_{\boldsymbol{Y}\boldsymbol{Y}}^{-1}(D) = \boldsymbol{H}^*(D^{-*}) \cdot \left[\boldsymbol{H}(D) \cdot \boldsymbol{H}^*(D^{-*}) + \ell/SNR\right]^{-1}$$

The corresponding error sequence has autocorrelation function

$$\bar{R}_{ee}(D) = \bar{\mathcal{E}}_{\boldsymbol{x}} - \boldsymbol{R}_{x}\boldsymbol{Y}(D) \cdot \boldsymbol{R}_{\boldsymbol{Y}\boldsymbol{Y}}^{-1}(D)\boldsymbol{R}_{\boldsymbol{Y}x}(D) = \frac{\ell \cdot \frac{N_0}{2}}{\boldsymbol{H}^*(D^{-*}) \cdot \boldsymbol{H}(D) + \ell/SNR}$$

The MMSE is then computed as

Time zero value is found from integration of Fourier Transform

$$\text{MMSE}_{MMSE-FSE} = \frac{T}{2\pi} \int_{-\frac{\pi}{T}}^{\frac{\pi}{T}} \frac{\ell \cdot \frac{N_0}{2} d\omega}{\|\boldsymbol{H}(e^{-j\omega T})\|^2 + \ell/SNR} = \text{MMSE}_{MMSE-LE}$$

- FSE only computes 1/l FSE outputs (so the complexity only grows by l).
- Analysis no longer needs the Q(D) explicitly because sampling rate is twice highest frequency.
- Everything else follows like earlier symbol-spaced, but matched filter is implemented within the FSE.



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Sec 3.5.4

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Timing Phase compensation

- The FSE needs to know only the symbol rate (i.e, the frequency $\frac{1}{r}$), $kT + t_0$.
- The FSE's sampling device can use any time sampling time t₀ any phase is ok.

$$y(kT + t_0) = \sum_m x_m \cdot \|h\| \cdot q(kT - mT + t_0) + n_k \quad , \tag{3.2}$$

which corresponds to $q(t) \to q(t + t_0)$ or $Q(\omega) \to Q(\omega) e^{-\jmath \omega t_0}$. For the system with sampling offset,

$$Q(e^{-\jmath\omega T}) \to \frac{1}{T} \cdot \sum_{n} Q(\omega - \frac{2\pi n}{T}) \cdot e^{-\jmath(\omega - \frac{2\pi n}{T})t_0} \quad , \tag{3.2}$$

- A $t_0 \neq 0$ simply changes the matched-filter/sampler.
- This is tacitly included (optimized) in the FSE.

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Sec 3.5.4

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Rational fraction versions

- Suppose l = 2 is too fast (think optical/fiber transmission)?
- Can we just do $(l'/l) \cdot T$ where l' < l and both are integers (like 3T/4)?
- Yes, there will be l (4) input phases per every l' (3) output phases
- This creates 12 (more generally least-common multiple of *l* and *l'*) different equalizers over 3 symbol periods of 4 samples (interpolated, ADC does not run this fast usually) samples each. Each equalizer is different (just as the *l* phases of *T/l* were.
 - Fractions closer to 1 create yet more different equalizers for the different phases.
- The FSE becomes cyclostationary and the equalizers' performance needs to be averaged
 - This simplified when l' = 1.

$\|\boldsymbol{H}\|^2 \rightarrow \frac{1}{l_l} \cdot \|\boldsymbol{H}\|^2$ in the integrals and formulas



Passband Equalization "Direct Conversion"

- As long as we're absorbing things into high sampling rate filters that decimate to symbol rate
 - Essentially the equalizer for Chapter 1's carrierless amplitude-phase modulation.
- Why not get the Hilbert Transform / Phase splitter in there also (if carrier is synchronized as rational fraction to symbol clock)? (See Section 1.3.6.2.)

$$\begin{aligned} x_A(t) &= \sum_k x_k \cdot \varphi(t - kT) \cdot e^{j\omega_c t} \\ &= \sum_k x_k \cdot \varphi(t - kT) \cdot e^{j\omega_c t} \cdot e^{-j\omega_c kT} \cdot e^{+j\omega_c kT} \\ &= \sum_k (x_k \cdot e^{+j\omega_c kT}) \cdot \varphi(t - kT) \cdot e^{j\omega_c (t - kT)} \\ &= \sum_k \breve{x}_k \cdot \varphi_A(t - kT) \end{aligned}$$

$$egin{array}{rcl} arphi_A(t) &=& arphi(t) \cdot e^{\jmath \omega_c t} ext{ and } \ ec{x}_k &=& x_k \cdot e^{+\jmath \omega_c kT} \end{array}$$

- $y_A(t) = \sum_k \breve{x}_k \cdot h_A(t kT) + n_A(t)$
- This estimates (using fractional spacing at sufficiently high sampling rate to be twice analytic signal's bandwidth) \breve{x}_k with MMSE-FSE directly. Then rotate by $e^{-j\omega_c kT}$ to get \hat{x}_k (1-to-1 reversibility).
- Modern wireless systems often do this below 6 GHz.

Sec 3.5.4.1

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End Lecture 14