



STANFORD

Lecture 15
Decision Feedback Equalizers
February 29, 2024

JOHN M. CIOFFI

Hitachi Professor Emeritus (recalled) of Engineering

Instructor EE379A – Winter 2024

Announcements & Agenda

■ Announcements

- PS7 due next Wed (March 6) – last required
- PS8 is optional (but relatively easy) and due March 12 (solutions immediate)

■ Today

- Continue Decision Feedback MMSE
- Examples
- The Whitened Matched Filter and Zero Forcing
- FIR Implementation

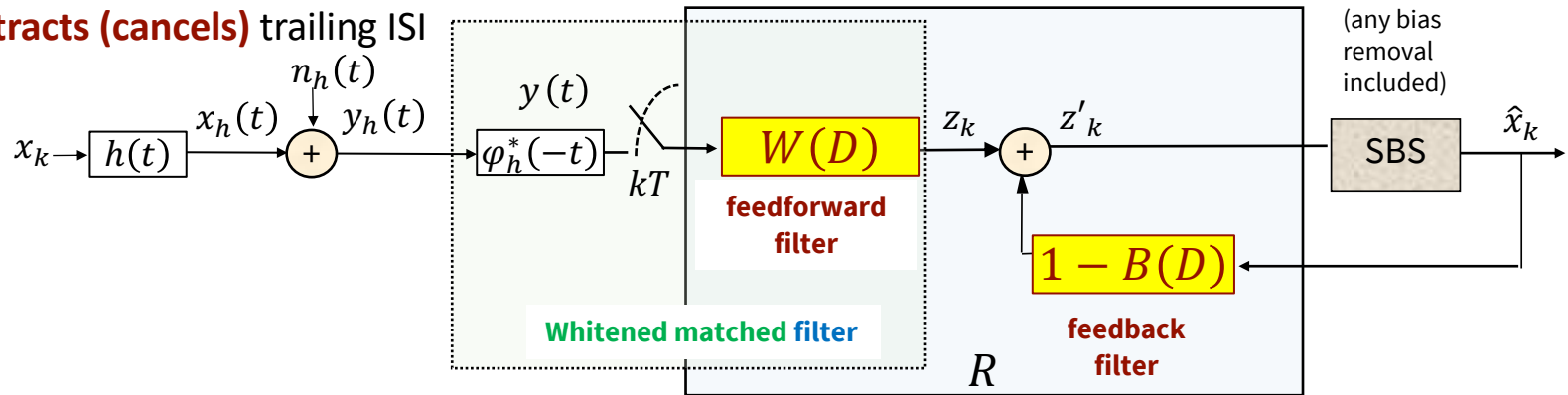


Decision Feedback (successive decoding)

Section 3.6

Add previous-decision use

- DFE Subtracts (cancels) trailing ISI



- MMSE optimizes both feedforward, $W(D)$, and feedback, $B(D)$, filters.

Definition 3.6.1 [Mean Square Error (for DFE)] The MMSE-DFE error signal is

$$e_k = x_k - z'_k \quad (3.218)$$

The MMSE for the MMSE-DFE is

$$\sigma_{MMSE-DFE}^2 \triangleq \min_{w_k, b_k} \mathbb{E} [|x_k - z'_k|^2] \quad (3.219)$$

- Subtraction of ISI eliminates noise enhancement (almost entirely, even though only “past” ISI),
 - but lowers received message energy w.r.t. MFB.



MMSE-DFE Solution

- MMSE estimates are linear (see Appendix D), so for any given $B(D)$ acting on x_k :

$$W_{MMSE-DFE}(D) = B(D) \cdot W_{MMSE-LE}(D) = \frac{B(D)}{\|h\| \cdot \left[Q(D) + \frac{1}{SNR_{MFB}} \right]}$$

Full math
details in 3.6

$$E_{MMSE-DFE}(D) = B(D) \cdot E_{MMSE-LE}(D)$$

- Further
$$\underbrace{R_{ee,dfe}(D)}_{DFE \text{ error autocorrelation}} = B(D) \cdot \underbrace{R_{ee,le}(D)}_{LE \text{ error autocorrelation}} \cdot B^*(D^{-*})$$

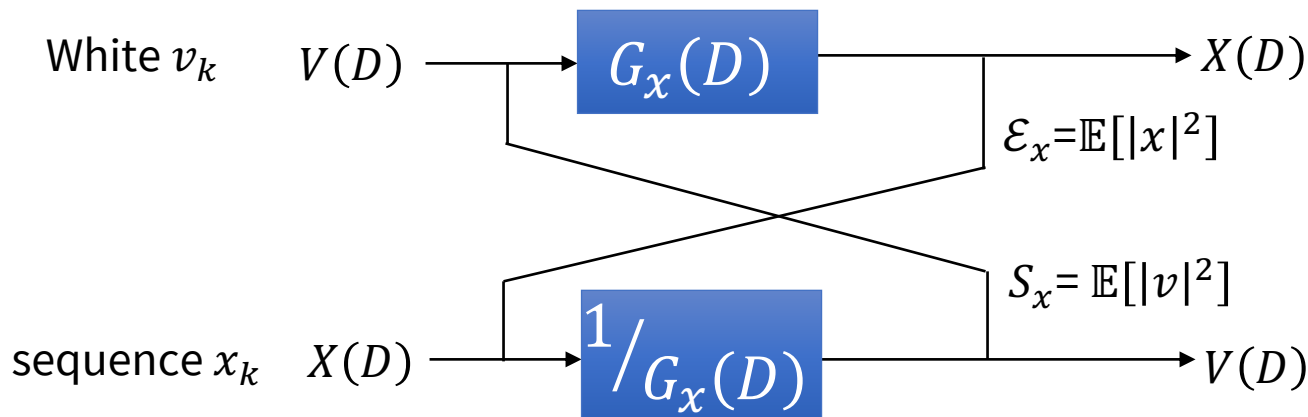
- Optimization considers all causal monic ($b_0 = 1$) $B(D)$.

- The LE had autocorrelation
$$R_{ee,le}(D) = \frac{\frac{N_0}{2}}{\|h\|^2 \cdot (Q(D) + 1/SNR_{MFB})}$$



USE: Canonical (Spectral) Factorization (D.3.4)

- Realizes a spectrum magnitude with white input into a causal, and 1-to-1 invertible, filter.



stationary

- The power spectral density of x_k is $R_{xx}(D)$ with $D = e^{-j\omega T}$.
- Find $G_x(D)$?

$$R_{xx}(D) = \underbrace{G_x(D)}_{\substack{\text{monic} \\ \text{min-phase}}} \cdot \underbrace{S_x}_{\substack{>0 \\ \text{real}}} \cdot G_x^*(D^{-*})$$

$$G_x(D) = 1 + g_1 \cdot D + g_2 \cdot D^2 + \dots$$

All poles/zeros outside unit circle

$$G_x^*(D^{-*}) = 1 + g_1^* \cdot D^{-1} + g_2^* \cdot D^{-2} + \dots$$

All poles/zeros inside unit circle

**Spectral factorization
of $R_{xx}(D)$**

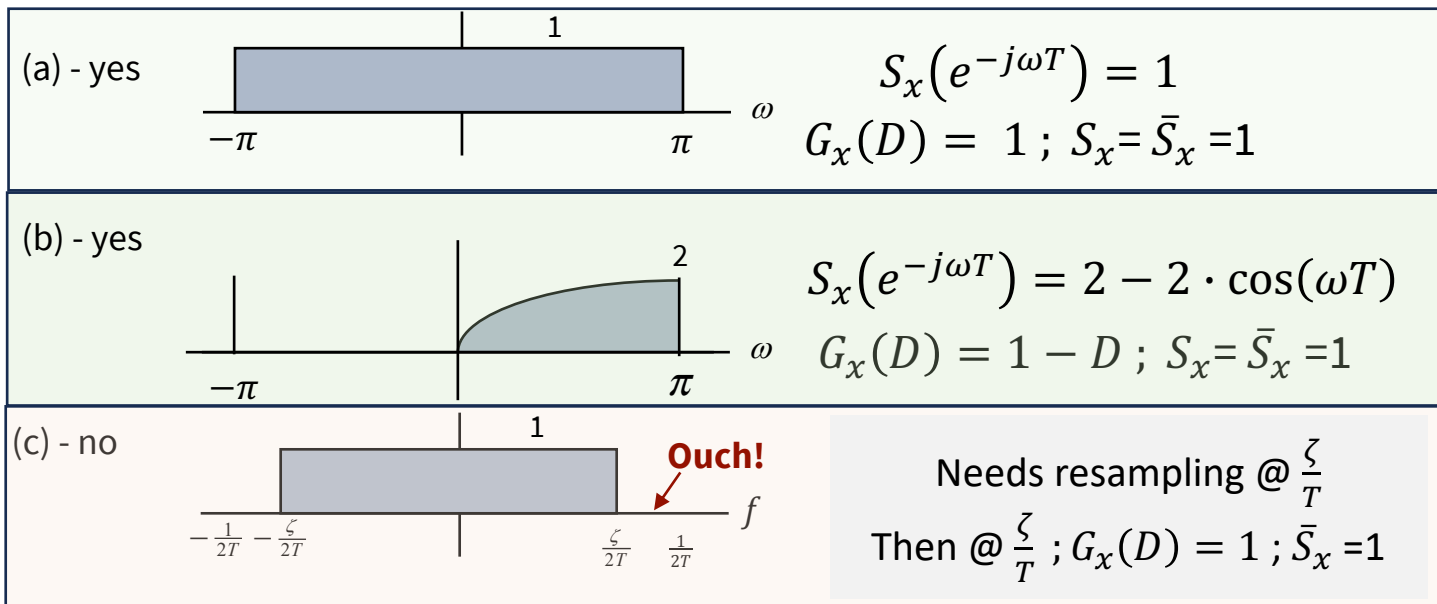


Paley Weiner Criterion

- Well, but we cannot always do this factorization (even if it is a power spectral density); it must satisfy:

$$\frac{1}{2\pi} \int_{-\frac{\pi}{T}}^{\frac{\pi}{T}} |\ln R_{xx}(e^{-j\omega})| d\omega < \infty$$

- No “dead zones”



Back to DFE MMSE (error autocorrelation)

$$Q(D) + \frac{1}{SNR_{MFB}} = \gamma_0 \cdot G(D) \cdot G^*(D^{-*});$$

- Always satisfies PWC for finite $SNR_{MFB} > 0$.

$$\begin{aligned}\bar{r}_{ee}(D) &= \frac{B(D) \cdot B^*(D^{-*})}{Q(D) + 1/SNR_{MFB}} \cdot \frac{\frac{\mathcal{N}_0}{2}}{\|h\|^2} \\ &= \frac{B(D)}{G(D)} \cdot \frac{B^*(D^{-*})}{G^*(D^{-*})} \cdot \frac{\frac{\mathcal{N}_0}{2}}{\gamma_0 \cdot \|h\|^2} = \frac{\frac{\mathcal{N}_0}{2} \cdot \|b/g\|^2}{\gamma_0 \cdot \|h\|^2}\end{aligned}$$

The fractional polynomial inside the squared norm b/g is necessarily monic and causal, and therefore the squared norm has a minimum value of 1.

Minimum when $B(D) = G(D)$

$$\bar{r}_{ee,0} \geq \frac{\frac{\mathcal{N}_0}{2}}{\gamma_0 \cdot \|h\|^2}$$

Minimum value for MSE-DFE



MMSE-DFE Best Settings

- Detailed math to check previous slides sketch is in Section 3.6.

Lemma 3.6.1 [MMSE-DFE] *The MMSE-DFE has feedforward section*

$$W(D) = \frac{1}{\|h\| \cdot \gamma_0 \cdot G^*(D^{-*})} \quad (3.232)$$

(realized with delay, as it is strictly noncausal) and feedback section

$$B(D) = G(D) \quad (3.233)$$

where $G(D)$ is the unique **canonical factor** of:

$$Q(D) + \frac{1}{SNR_{MFB}} = \gamma_0 \cdot G(D) \cdot G^*(D^{-*}) \quad (3.234)$$

*This text also calls the joint matched-filter/sampler/ $W(D)$ combination in the forward path of the DFE the “**Mean-Square Whitened Matched Filter (MS-WMF)**”. These settings for the MMSE-DFE minimize the MSE as was shown above.*

MS-WMF =
WMF, if infinite SNR



The MMSE value itself

- Take log of factorization:

$$\begin{aligned} \frac{T}{2\pi} \int_{-\frac{\pi}{T}}^{\frac{\pi}{T}} \ln \left(Q(e^{-\mathcal{I}\omega T}) + \frac{1}{SNR_{MFB}} \right) \cdot d\omega &= \ln(\gamma_0) + \frac{T}{2\pi} \int_{-\frac{\pi}{T}}^{\frac{\pi}{T}} \ln (G(e^{-\mathcal{I}\omega T}) \cdot G^*(e^{-\mathcal{I}\omega T})) \cdot d\omega \\ &= \ln(\gamma_0) . \end{aligned} \quad \text{Periodic over one period (0 ave)} \quad (3.236)$$

- Salz Formula (1977):

$$\sigma_{MMSE-DFE}^2 = \frac{\frac{\mathcal{N}_0}{2}}{\|h\|^2} \cdot e^{-\frac{T}{2\pi} \int_{-\frac{\pi}{T}}^{\frac{\pi}{T}} \ln \left(Q(e^{-\mathcal{I}\omega T}) + \frac{1}{SNR_{MFB}} \right) \cdot d\omega}$$

- Finally, back to our receiver SNR-based analysis:

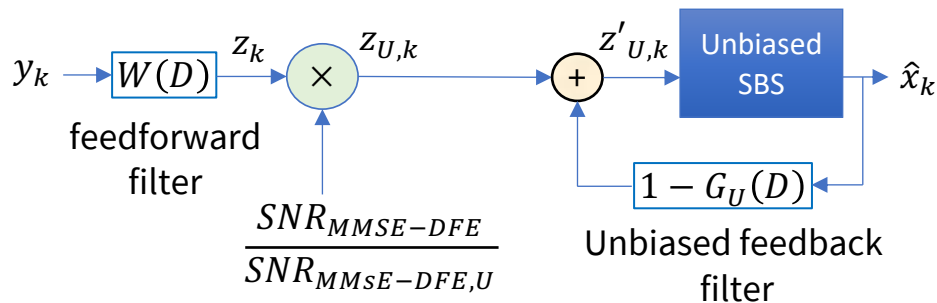
$$SNR_{MMSE-DFE} = \frac{\bar{\mathcal{E}}_{\mathbf{x}}}{\sigma_{MMSE-DFE}^2} = \gamma_0 \cdot SNR_{MFB}$$

$$\begin{aligned} SNR_{MMSE-DFE,U} &= SNR_{MMSE-DFE} - 1 \\ &\leq SNR_{MFB} \end{aligned}$$



Unbiased MMSE-DFE

- Final result



$$G_U(D) = 1 + \frac{SNR_{MMSE-DFE}}{SNR_{MMSE-DFE,U}} \cdot [G(D) - 1]$$

- Can absorb unbiasing multiply into feedforward filter
- Must always perform at least as well as LE, why?



Examples

Section 3.6.4

Return to $H(D) = 1 + .9 \cdot D^{-1}$

- Refresh $\|h\|^2 = 1.81$, $SNR_{MFB} = 10$

$$H(\omega) = \begin{cases} \sqrt{T} \cdot (1 + .9e^{j\omega T}) & |\omega| \leq \frac{\pi}{T} \\ 0 & |\omega| > \frac{\pi}{T} \end{cases}$$

$$Q(D) + \frac{1/10}{1/SNR_{MFB}} = \left(\frac{1}{\underbrace{1.81}_{\|h\|^2}} \right) \cdot [9 \cdot D^{-1} + 1.991 + .9 \cdot D]$$

$$= \underbrace{.785}_{\gamma_0} \cdot \underbrace{(1 + .6334 \cdot D)}_{G(D)=B(D)} \cdot \underbrace{(1 + .6334 \cdot D^{-1})}_{G(D^{-1})}$$

$$W(D) = \frac{1}{\sqrt{1.81}(.785)(1 + .633 \cdot D^{-1})} = \frac{.9469}{1 + .633 \cdot D^{-1}}$$

% Q is positive real – roots are in conjugate-reciprocal pairs.

>> roots([.9 1.991 .9]) =

-1.5788

-0.6334

>> .9/(1.81*.6334) = 0.7850

% follows from last (or first) coefficient

- Performance $SNR_{MMSE-DFE,U} = .785 \cdot 10 - 1 = 6.85 \cdot \mathbf{(8.4 \text{ dB})}$

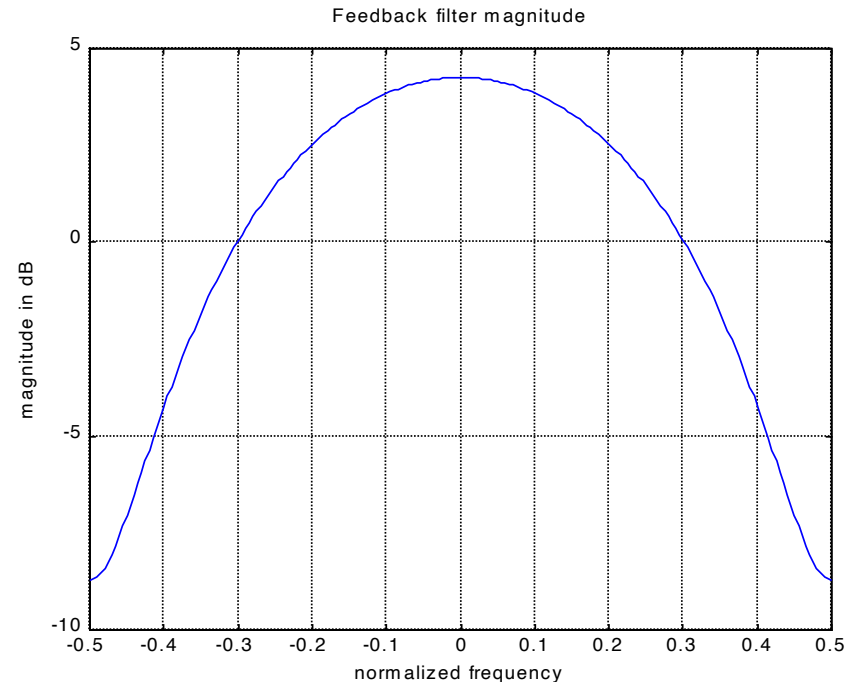
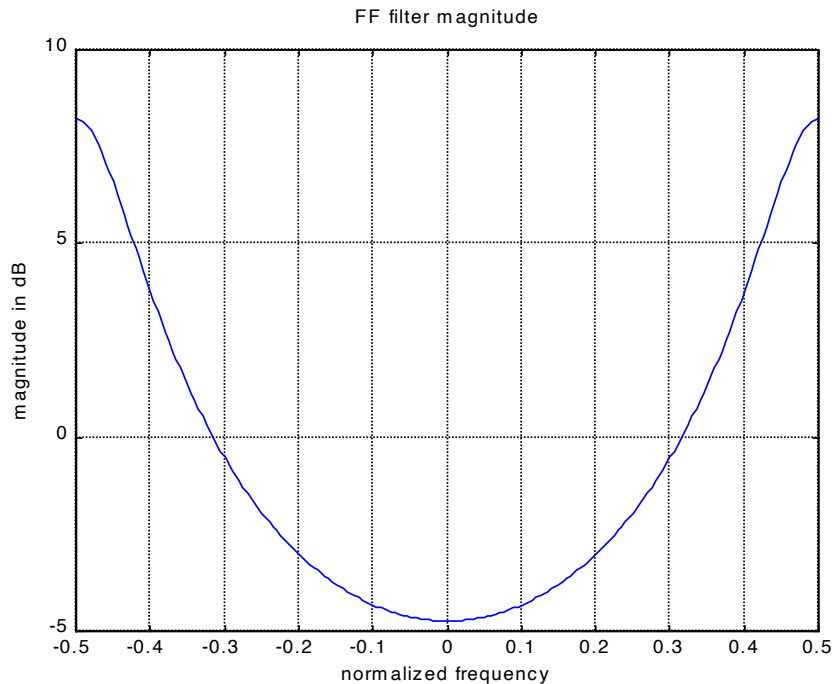
- 1.6 dB less than MFB –**
- $G_U(D) = (1 + .7259 \cdot D)$

>> 7.85/6.85*.6334 = 0.7259

>> .9469*(7.85/6.85) = 1.0851



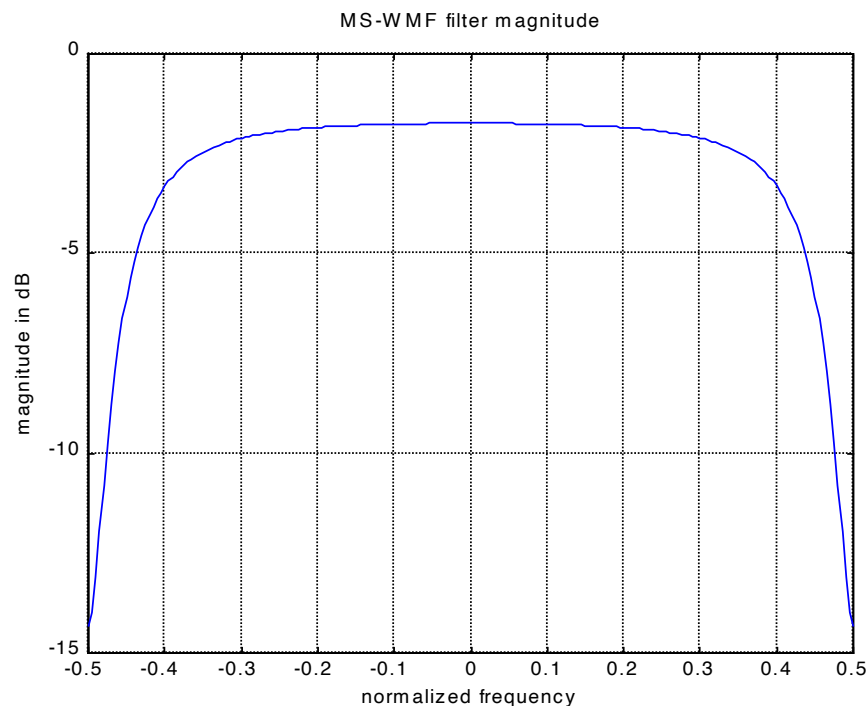
Example continued



- FF is single pole (anticausal) IIR filter, while FB is two-tap causal FIR filter (really 1 tap implemented).
- The anticausal FF is implemented by FIR approximation with delay.



Eliminates Noise Enhancement



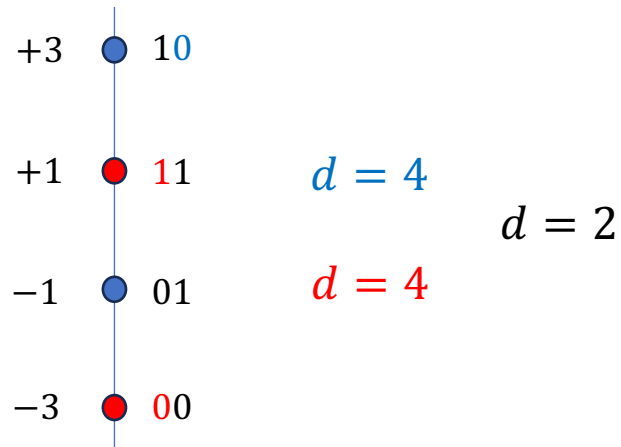
Includes MF also

- The MS-WMF is nearly flat (so noise/error stays pretty flat, and error itself is white).
- It is nearly an “all-pass” filter (MS-WMF just adjusts phase to minimum phase channel):
 - Minimum phase channel has maximum energy at left for all phase equivalents (helpful for best “feedback” to have no advance ISI).



Add a Code?

- BICM, 64-state code with 4PAM
 - Maintains $\bar{b} = 1, r = \frac{1}{2}$
- $\mathcal{E}_{4PAM} = 5 = 5 \cdot \mathcal{E}_{2PAM}$, so 7dB loss
- $d_{free} = 10$, and each code gets $r = \frac{1}{2}$ resources
 - $r \cdot d_{free} \cdot SNR = 6.4 + 7 = 13.4$ dB



Thanks to DFE we've maintained the data rate
And reduced error prob to $P_e \cong 10^{-6}$

- See a problem perhaps?
 - Decision delay of code means FB input could be incorrect



Complex Example?

$$h_k = \frac{1}{\sqrt{T}} \cdot \left[-\frac{1}{2} \left(1 + \frac{j}{4} \right) - \frac{j}{2} \right] \quad (3.5)$$

The $SNR_{MFB} = 10$ dB. Then,

$$\tilde{Q} = \frac{-0.25j \cdot D^{-2} + 0.625(-1 + j) \cdot D^{-1} + 1.5625(1 + .1) - 0.625(1 + j) \cdot D + 0.25j \cdot D^2}{1.5625} \quad (3.5)$$

```
>>p=transpose(roots([-i/4 (5/8)*(-1+i) 1.5625*(1+.1) (5/8)*(-1-i) i/4])) =
2.2130 - 0.1356i -0.1356 + 2.2130i 0.4502 - 0.0276i -0.0276 + 0.4502i
>> gamma0=(i/4)/(p(3)*p(4)*1.5625) = 0.7865 - 0.0000i
>> SNRdfeu=10*log10(10*gamma0-1) = 8.3665 dB
```

```
>> conv([1 -p(3)],[1 -p(4)]) =
1.0000 + 0.0000i -0.4226 - 0.4226i -0.0000 + 0.2034i
>> nh=sqrt(1.5625);
>> 1/(nh*gamma0) = 1.0171
```

$$W(D) = \frac{1.0171}{1 - 0.4226(1 + j) \cdot D^{-1} + 0.2034j \cdot D^{-2}}$$

$$G(D) = (1 - (0.4502 - j \cdot 0.0276) \cdot D) \cdot (1 - (-0.0276 + 0.4502j) \cdot D)$$

- $SNR_{MMSE-DFE,U} = 0.7865 \cdot 10 - 1 = 7.88$ (~ 8.4 dB also – coincidence).

```
>> GU=1+(SNRdfeu+1)/(SNRdfeu)*(1-conv([1 -p(3)],[1 -p(4)])) = 1.0000 2.5926 + 0.4731i 2.1195 - 0.2277i
```



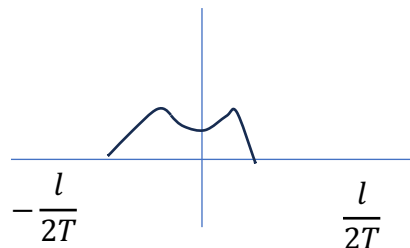
Whitened Matched Filter and the ZF-DFE

Section 3.6.3

ZF-DFE

- Set $SNR_{MFB} = \infty$, so then the spectral factorization is directly of $Q(D) = \eta_0 \cdot P_c(D) \cdot P_c^*(D^{-*})$.
 - $B(D) = P_c(D)$; $\eta_0 = 1/\|P_c\|^2$
 - $W(D) = [\eta_0 \cdot \|h\| \cdot P_c^*(D^{-*})]^{-1}$
 - $SNR_{ZF-DFE} = \eta_0 \cdot SNR_{MFB}$
- However, the spectral factorization is not guaranteed to exist (might not satisfy PWC).
- Subtle mistake is “ZF-DFE has no noise enhancement so same as MMSE-DFE” ?
 - Zero noise enhancement is true ONLY if the entire **transmit** band is energized.
 - And still not as good as MMSE-DFE even then.

The issue is that best transmit spectrum almost never satisfies PWC



- We'll see as 379's progress that this optimized-input modulator needs care with DFEs.
 - Mistakes dwarf coding-gain improvements.
 - Indeed, using nonero-gap code magnifies the loss.



Return to $H(D) = 1 + .9 \cdot D^{-1}$

- Refresh $\|h\|^2 = 1.81$, $SNR_{MFB} = 10$

$$H(\omega) = \begin{cases} \sqrt{T} \cdot (1 + .9e^{j\omega T}) & |\omega| \leq \frac{\pi}{T} \\ 0 & |\omega| > \frac{\pi}{T} \end{cases}$$

$$\begin{aligned} Q(D) + 1/10 &= \left(\frac{1}{1.81}\right) \cdot [9 \cdot D^{-1} + 1.81 + .9 \cdot D] \\ &= \underbrace{.5525}_{\eta_0} \cdot \underbrace{(1 + .9 \cdot D)}_{P_c(D)=B(D)} \cdot \underbrace{(1 + .9 \cdot D^{-1})}_{P_c(D^{-1})} \end{aligned}$$

$$W(D) = \frac{\sqrt{1.81}}{1 + .9 \cdot D^{-1}} \quad MWF = \frac{1 + .9 \cdot D}{1 + .9 \cdot D^{-1}} \quad (\text{all pass filter, exactly})$$

- Performance $SNR_{ZF-DFE} = .5525 \cdot 10 = 5.25 \cdot (7.4 \text{ dB})$



L phases, FSE – same, but for FF only

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

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

- 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

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

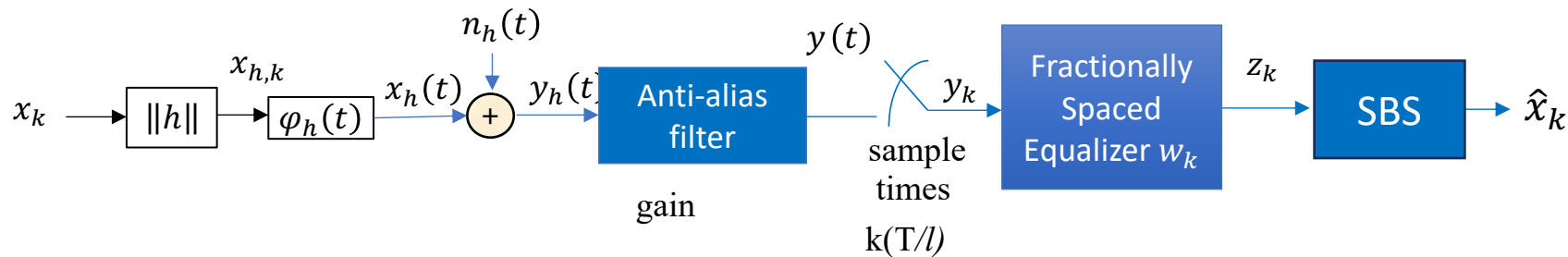
- Retains all timing-offset benefits, matched-filter absorption, etc.



FIR Implementation

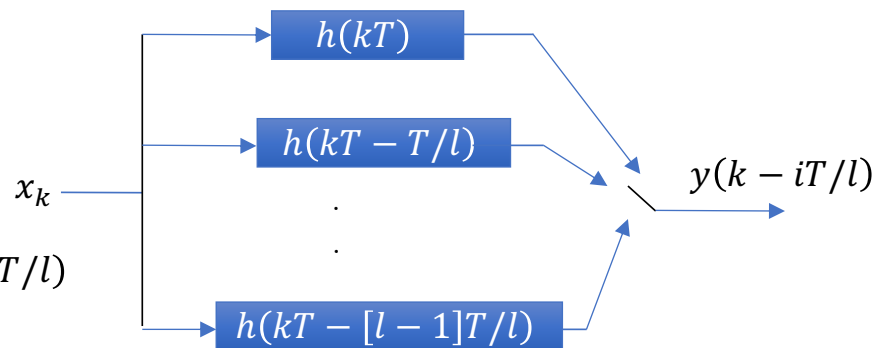
Section 3.7

Sample Fast enough – absorb MF



- Continue polyphase channel model l/T where $l > 1$:
 - Initial example is integer (more generally rational fraction).
 - Channel model is FIR (like with DMT earlier).

$$y(k - iT/l) = \sum_{m=k-l}^k x_m \cdot h\left(kT - \frac{[l-1]T}{l} - mT\right) + n(k - iT/l)$$



- Each mini channel corresponds to one of the l sampling phases per symbol period.



Creating a matrix FIR channel

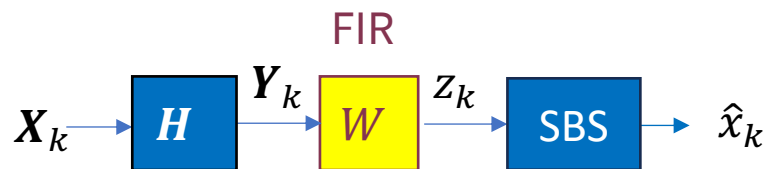
- Creates a vector channel $\mathbf{y}_k = \sum_{m=k-v}^k x_m \cdot \mathbf{h}_{k-m} + \mathbf{n}_k = \sum_{m=0}^v x_{k-m} \cdot \mathbf{h}_m + \mathbf{n}_k$

• where

$$\mathbf{y}_k = \begin{bmatrix} y(kT) \\ y(k - T/l) \\ \vdots \\ y(k - (l+1)T/l) \end{bmatrix} \quad \mathbf{h}_k = \begin{bmatrix} h(kT) \\ h(k - T/l) \\ \vdots \\ h(k - (l+1)T/l) \end{bmatrix} \quad \mathbf{n}_k = \begin{bmatrix} n(kT) \\ n(k - T/l) \\ \vdots \\ n(k - (l+1)T/l) \end{bmatrix}$$

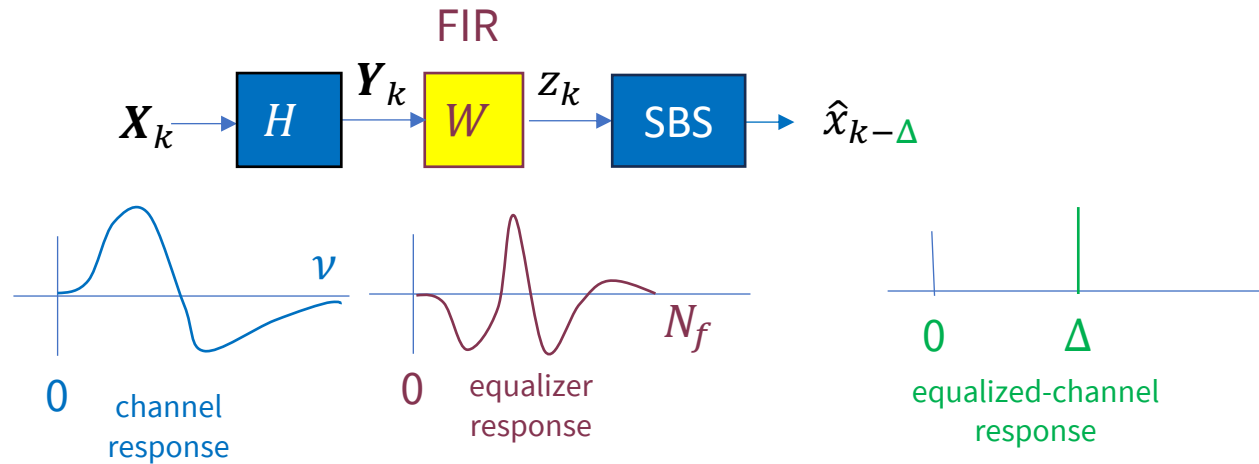
- channel model $\mathbf{y}_k = \underbrace{[\mathbf{h}_0 \mathbf{h}_1 \cdots \mathbf{h}_v]}_{\mathbf{h}} \cdot \underbrace{\begin{bmatrix} x_k \\ x_{k-1} \\ \vdots \\ x_{k-v} \end{bmatrix}}_{\mathbf{X}_k} + \mathbf{n}_k$
- The values in the FIR equalizer's span are

$$\mathbf{Y}_k = \begin{bmatrix} \mathbf{y}_k \\ \mathbf{y}_{k-1} \\ \vdots \\ \mathbf{y}_{k-N_f+1} \end{bmatrix} = \underbrace{\begin{bmatrix} \mathbf{h}_0 & \mathbf{h}_1 & \cdots & \mathbf{h}_v & 0 & \cdots & 0 \\ 0 & \mathbf{h}_0 & \mathbf{h}_1 & \cdots & \mathbf{h}_v & \cdots & 0 \\ \vdots & \ddots & \ddots & \ddots & \ddots & \cdots & 0 \\ 0 & \cdots & 0 & \mathbf{h}_0 & \mathbf{h}_1 & \cdots & \mathbf{h}_v \end{bmatrix}}_{\mathbf{H}} \cdot \mathbf{X}_k + \mathbf{N}_k$$



Delay Δ – FIR is causal, estimates $\hat{x}_{k-\Delta}$

- Implemented receivers must have **delay** Δ (making FIR filters causal)



- Try to estimate $x_{k-\Delta}$

$$\Delta \approx \frac{N_f + v}{2}$$

Not (usually) possible to have $\Delta=0$

- Precise delay may need to be optimized by trying a few (or via algorithm later).



MMSE-LE Design

- The error signal is $e_k = x_{k-\Delta} - z_k$; $\sigma_{MMSE-LE}^2 = \mathbb{E}[|e_k|^2]$
- Orthogonality principle: $\mathbb{E}[e_k \cdot \mathbf{Y}_k] = 0 \rightarrow$ MMSE
 - $\mathbf{w} = \mathbf{R}_{xY} \cdot \mathbf{R}_{YY}^{-1}$ and
 - $\mathbf{R}_{xY} = \mathbb{E}[\mathbf{x}_{k-\Delta} \cdot \mathbf{Y}_k^*]$
 - $\mathbf{R}_{YY} = \mathbb{E}[\mathbf{Y}_k \cdot \mathbf{Y}_k^*]$
- $\mathbf{R}_{xY} = \bar{\mathcal{E}}_x \cdot \mathbf{H}_{\Delta+1}^*$ basically energy x $(\Delta + 1)^{th}$ row of \mathbf{H}^*
- $\mathbf{R}_{YY} = \bar{\mathcal{E}}_x \cdot \mathbf{H} \cdot \mathbf{H}^* + l \cdot \frac{N_0}{2} \cdot \mathbf{R}_{NN}$

$$\mathbf{w} = \mathbf{H}_{\Delta+1}^* \cdot \left(\mathbf{H} \cdot \mathbf{H}^* + \frac{l}{SNR} \cdot \mathbf{R}_{NN} \right)^{-1}$$

$$\sigma_{MMSE-LE}^2 = \bar{\mathcal{E}}_x - \mathbf{w} \cdot \mathbf{R}_{Yx}$$

Detailed algebra in
3.7.1

$$SNR_{MMSE-LE} = \frac{\bar{\mathcal{E}}_x}{\sigma_{MMSE-LE}^2}$$

$$SNR_{MMSE-LE,U} = SNR_{MMSE-LE} - 1$$

$$\gamma_{MMSE-LE} = \frac{SNR_{MMSE-LE,U}}{SNR_{MFB}}$$



Return to $1+.9D^{-1}$ example

- Oversampling $l = 1$, 3 taps $N_f = 3$, $\bar{\mathcal{E}}_x = 1$, and $\nu = 1$

```
>> H=[.9 1 0 0
0.9 1 0
0 0.9 1];

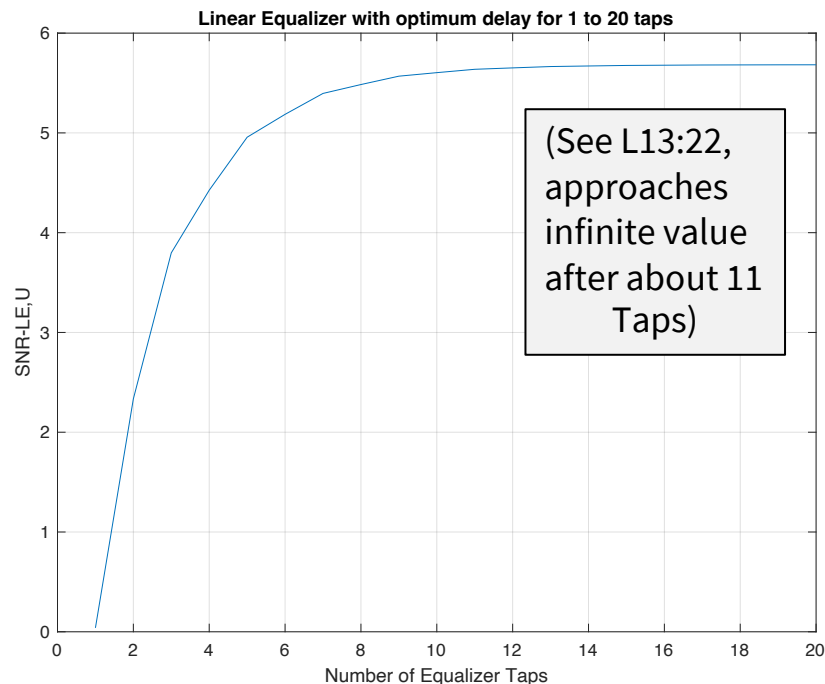
>> Hdelstar=[0 0 1 0]*H' = % 3rd row since Delta = 2
    0 1.0000 0.9000
>> RxY=Hdelstar;
>> RYY=H*H'+.181*eye(3) =
    1.9910 0.9000 0
    0.9000 1.9910 0.9000
    0 0.9000 1.9910

>> w=RxY*inv(RYY) =
    -0.2277 0.5038 0.2243

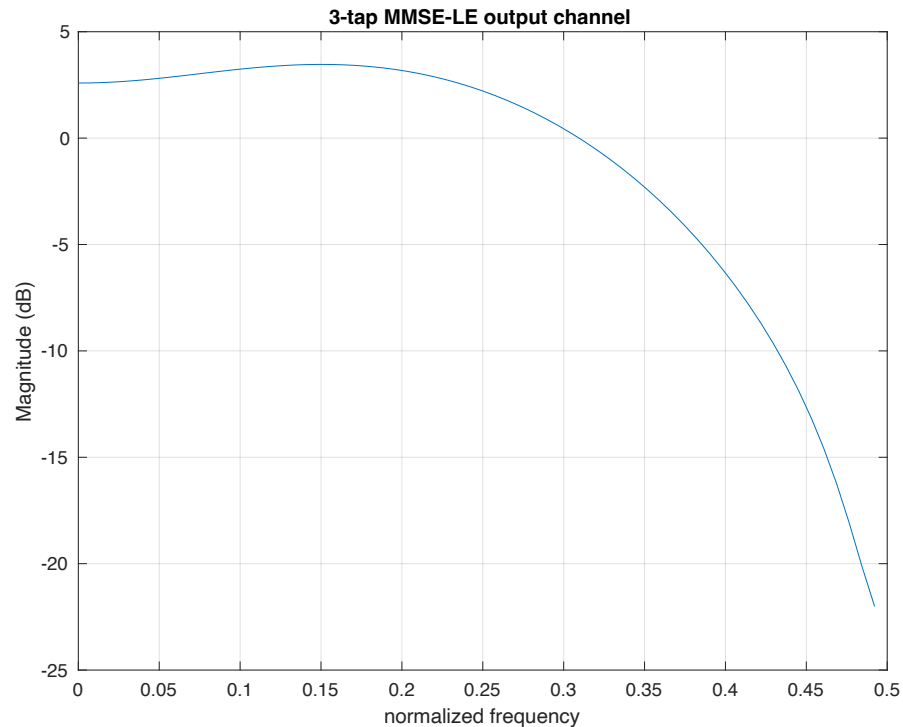
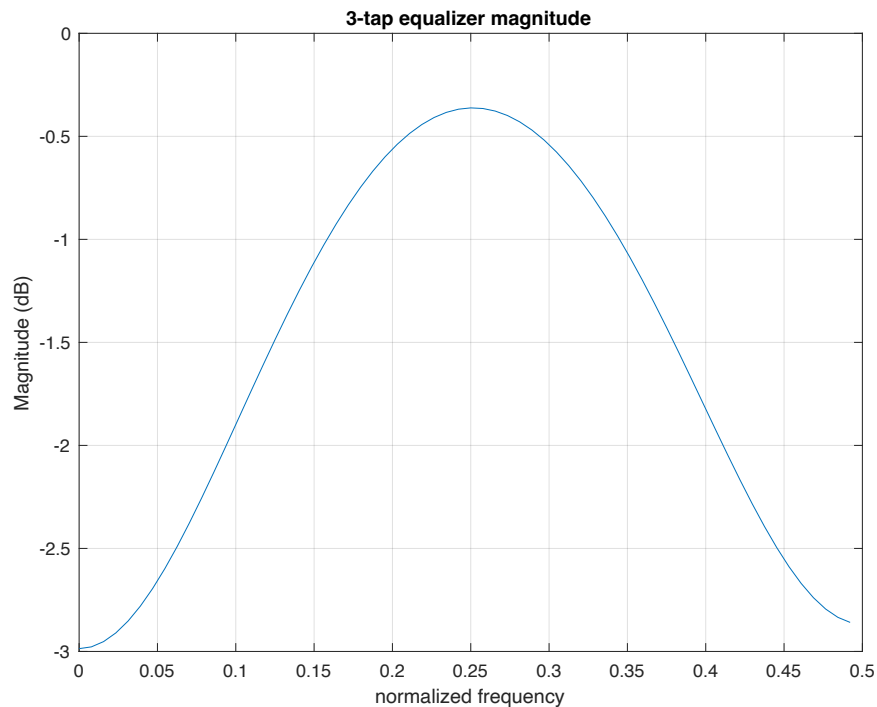
>> MMSE=1-w*RxY' = 0.2943

>> SNRU=10*log10(1/MMSE-1) = 3.7979 dB
```

$\Delta =$ best value (by trial & error)



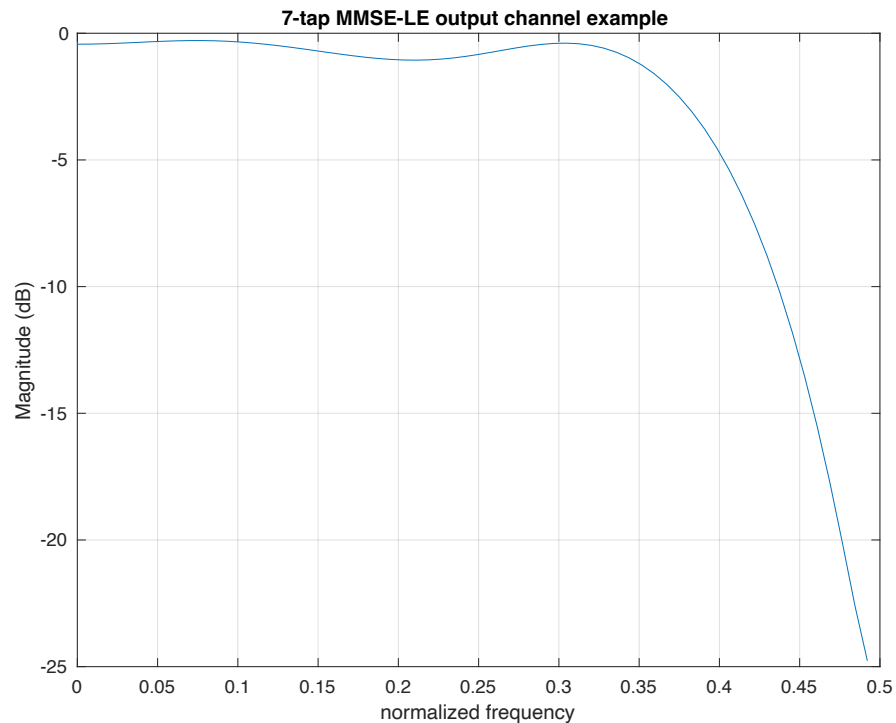
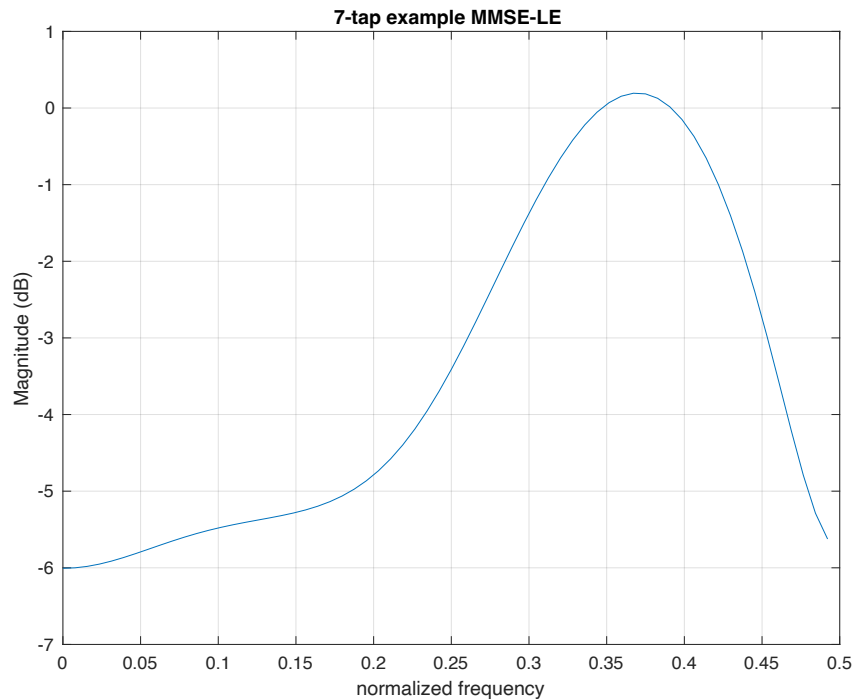
3-tap FIR MMSE-LE and output



- This FIR MMSE LE tries to flatten channel, but not enough taps.



7-taps looks better

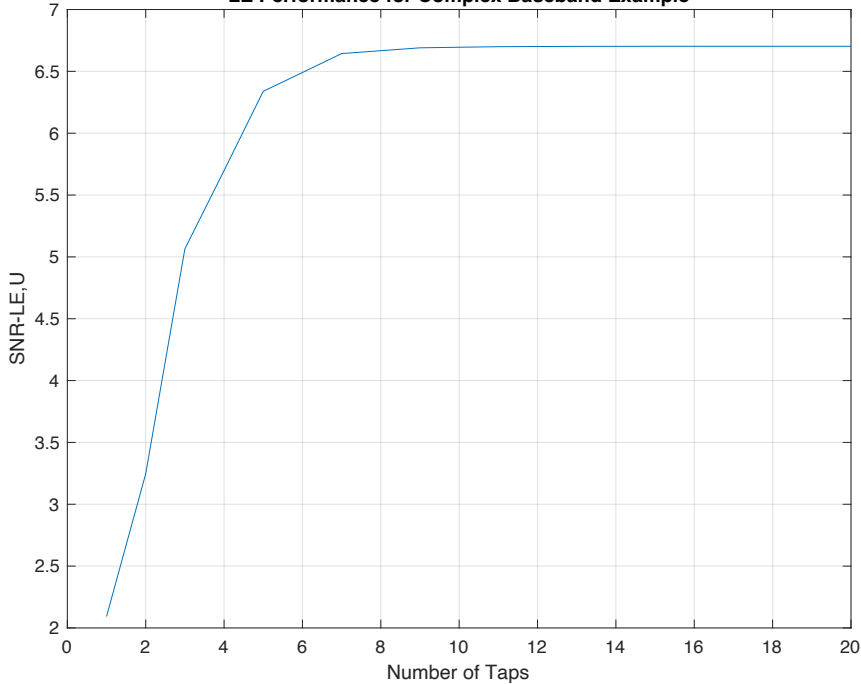


- There will be diminishing performance improvement as length increases.



For the complex example

LE Performance for Complex Baseband Example



6.7dB

```
>> for n=1:20  
[dfeSNR(n),~]=dfecolor(1,[-1/2 1+i/4 -i/2],n,0,-1,1,.15625*[1 zeros(1,n-1)]);  
end
```

- More on **dfecolor** appears shortly.
- Here 8 taps is enough.



FIR ZFE

- Design applies MMSE-LE with infinite SNR.
 - Finite taps cannot guarantee zero ISI, so there is:

$$\sigma_{ZFE-ISI}^2 = \bar{\mathcal{E}}_x - \mathbf{w} \cdot R_{Yx}$$

```
>> wzfe=H(:,4)*inv(H*H') = 0.2702 -0.5434 0.8227
>> MMSEzf=1-wzfe*H(:,4) = 0.1773
```

- The FIR ZFE can still be biased – look at position of $x_{k-\Delta}$ so $\mathbf{w} \cdot \mathbf{H}$ in position $\Delta + 1$

```
chan=wzfe*H = 0.2432 -0.2189 0.1970 0.8227
```

- Bias removal thus inverts, so $\omega_{FIR-ZFE} = 1 / \mathbf{w} \cdot \mathbf{H} \cdot \mathbf{1}_{\Delta}$ this means residual ISI and noise increase by this factor also
- Analysis must also add the scale the enhanced noise $\sigma_{ZFE}^2 = \mathbf{w} \cdot R_{nn} \cdot \mathbf{w}^*$
- Total is $\sigma_{FIR-ZFE}^2 = \omega_{FIR-ZFE} \cdot (\bar{\mathcal{E}}_x - \mathbf{w} \cdot R_{Yx} + \mathbf{w} \cdot R_{nn} \cdot \mathbf{w}^*)$

```
>> chan = wzfe*H % = 0.2432 -0.2189 0.1970 0.8227
>> wnobias=1/chan(4) % = 1.2155
>> MMSEzf=1-wzfe*H(:,4) % = 0.1773
>> SNRzfu=1/MMSEzf-1 % = 4.6402
>> SNRzfu=1/sigzfe2 % = 0.6730
>> (SNRzfu+1)/SNRzfu = 1.2155 % checks bias removal
>> enoise=.181*norm(wzfe)^2 = 0.1892
>> SNRall=10*log10(1/(wnobias*(MMSEzf+enoise))) = 3.0813 dB (< 3.78 dB for MMSE-LE,U)
```





End Lecture 15