Equalization

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Adaptive Filter Introduction

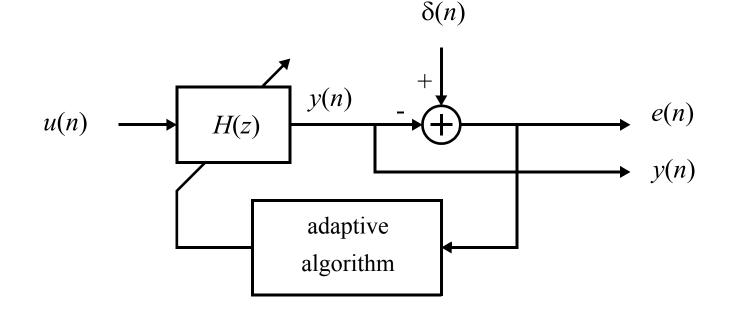
- Adaptive filters are used in:
 - Noise cancellation
 - Echo cancellation
 - Sinusoidal enhancement (or rejection)
 - Beamforming
 - Equalization
- Adaptive equalization for data communications proposed by R.W. Lucky at Bell Labs in 1965.
- LMS algorithm developed by Widrow and Hoff in 60s for neural network adaptation



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Adaptive Filter Introduction

• A typical adaptive system consists of the following two-input, two output system



- *u*(*n*) and *y*(*n*) are the filter's input and output
- $\delta(n)$ and e(n) are the reference and error signals



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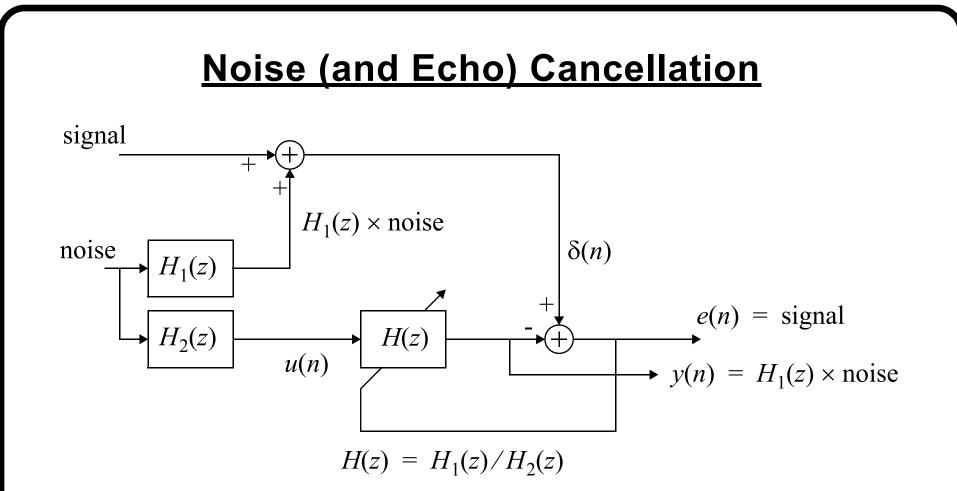
Adaptive Filter Goal

- Find a set of filter coefficients to minimize the power of the error signal, *e*(*n*).
- Normally assume the time-constant of the adaptive algorithm is *much slower* than those of the filter, *H*(*z*).
- If it were instantaneous, it could always set *y*(*n*) equal to δ(*n*) and the error would be zero (this is useless)

• Think of adaptive algorithm as an optimizer which finds the best set of *fixed* filter coefficients that minimizes the power of the error signal.



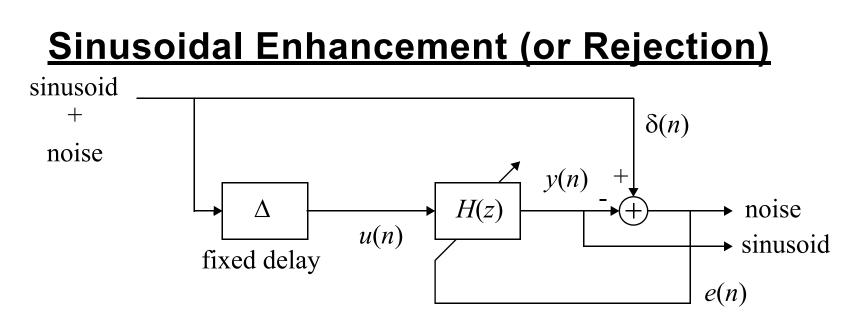
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 Useful in cockpit noise cancelling, fetal heart monitoring, acoustic noise cancelling, echo cancelling, etc.



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- The sinusoid's frequency and amplitude are unknown.
- If H(z) is adjusted such that its phase plus the delay equals 360 degrees at the sinusoid's frequency, the sinusoid is cancelled while the noise is passed.
- The "noise" might be a broadband signal which should be recovered.



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Adaptation Algorithm

- Optimization might be performed by:
 - perturb some coefficient in H(z) and check whether the power of the error signal increased or decreased.
 - If it decreased, go on to the next coefficient.
 - If it increased, switch the sign of the coefficient change and go on to the next coefficient.
 - Repeat this procedure until the error signal is minimized.
- This approach is a steepest-descent algorithm but is slow and not very accurate.
- The LMS (Least-Mean-Square) algorithm is also a steepest-descent algorithm but is more accurate and simpler to realize



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Steepest-Descent Algorithm

- Minimize the power of the error signal, $E[e^2(n)]$
- General steepest-descent for filter coefficient *p_i(n)*:

$$p_i(n+1) = p_i(n) - \mu\left(\frac{\partial E[e^2(n)]}{\partial p_i}\right)$$

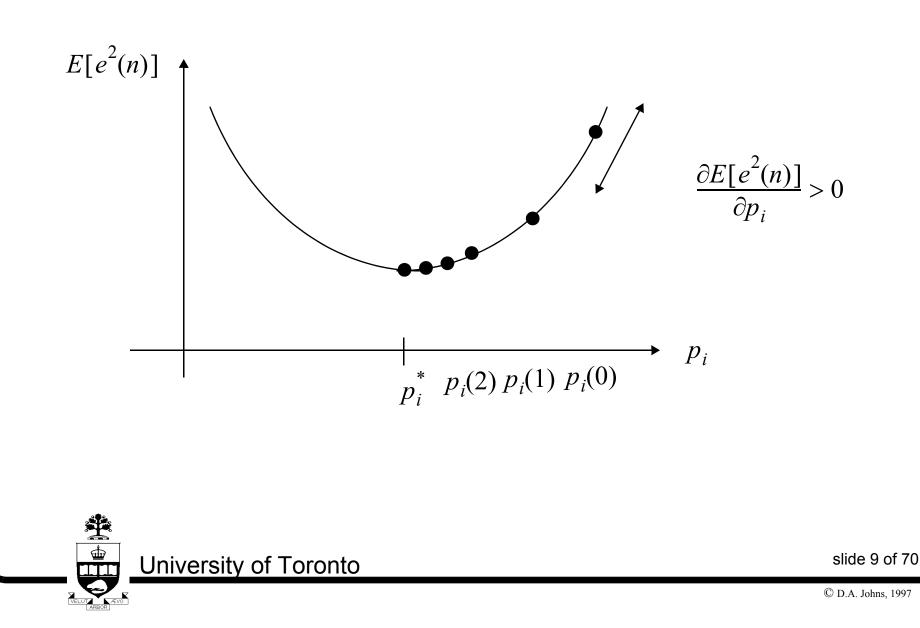
• Here $\mu > 0$ and controls the adaptation rate



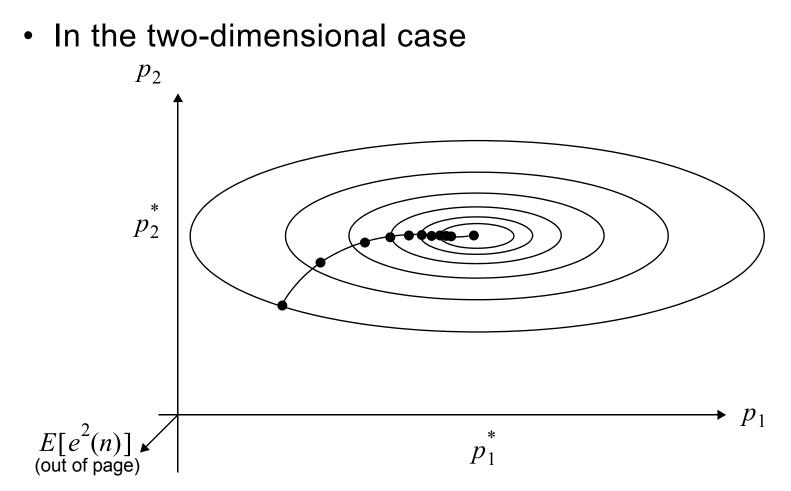
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Steepest Descent Algorithm

• In the one-dimensional case



Steepest-Descent Algorithm



• Steepest-descent path follows perpendicular to tangents of the contour lines.



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LMS Algorithm

• Replace expected error squared with instantaneous error squared. Let adaptation time smooth out result.

$$p_i(n+1) = p_i(n) - \mu\left(\frac{\partial e^2(n)}{\partial p_i}\right)$$

$$p_i(n+1) = p_i(n) - 2\mu e(n) \left(\frac{\partial e(n)}{\partial p_i}\right)$$

• and since $e(n) = \delta(n) - y(n)$, we have

 $p_i(n+1) = p_i(n) + 2\mu e(n)\phi_i(n)$ where $\phi_i = \partial y(n) / \partial p_i$

• e(n) and $\phi_i(n)$ are uncorrelated after convergence.

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Variants of the LMS Algorithm

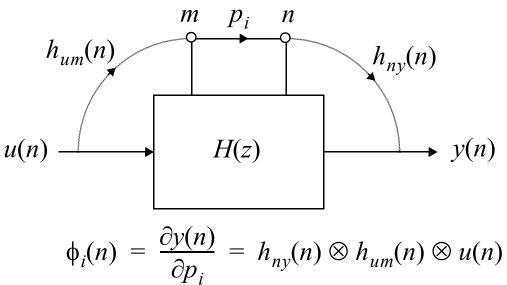
- To reduce implementation complexity, variants are taking the sign of *e*(*n*) and/or φ_i(*n*).
- **LMS** $p_i(n+1) = p_i(n) + 2\mu e(n) \times \phi_i(n)$
- Sign-data LMS $p_i(n+1) = p_i(n) + 2\mu e(n) \times \operatorname{sgn}(\phi_i(n))$
- **Sign-error LMS** $p_i(n+1) = p_i(n) + 2\mu \operatorname{sgn}(e(n)) \times \phi_i(n)$
- Sign-sign LMS $_{i}(n+1) = p_{i}(n) + 2\mu \operatorname{sgn}(e(n)) \times \operatorname{sgn}(\phi_{i}(n))$
- However, the sign-data and sign-sign algorithms have gradient misadjustment — may not converge!
- These LMS algorithms have different dc offset implications in analog realizations.



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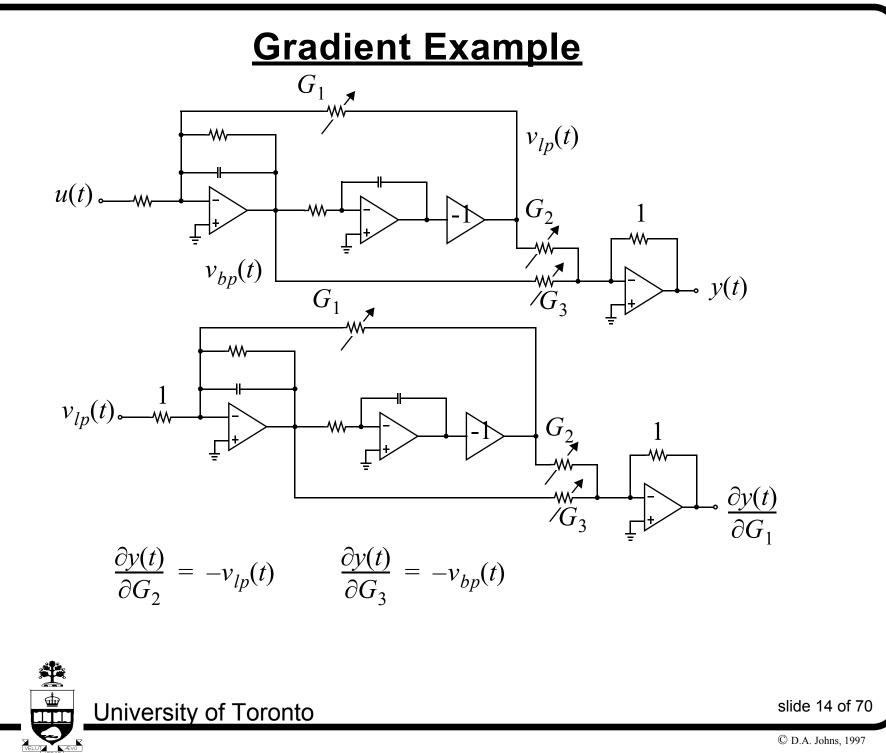


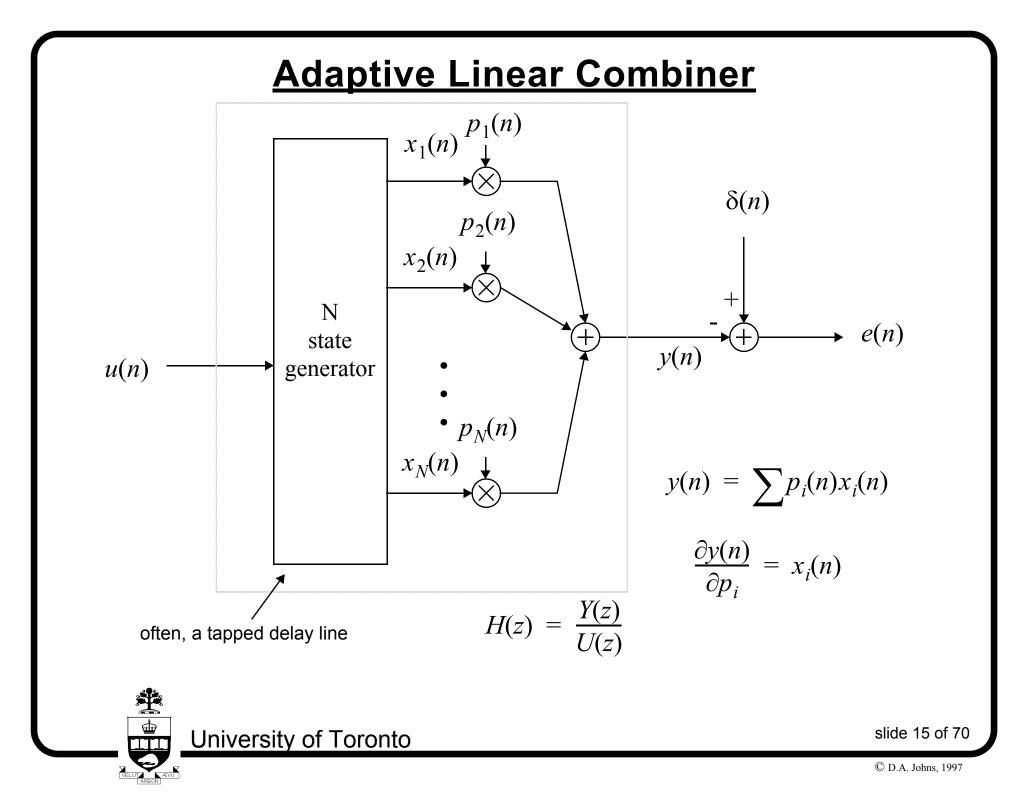
- H(z) is a LTI system where the signal-flow-graph arm corresponding to coefficient p_i is shown explicitly.
- $h_{um}(n)$ is the impulse response of from *u* to *m*
- The gradient signal with respect to element p_i is the convolution of u(n) with $h_{um}(n)$ convolved with $h_{ny}(n)$.



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Adaptive Linear Combiner

- The gradient signals are simply the state signals $p_i(n+1) = p_i(n) + 2\mu e(n)x_i(n)$
- Only the zeros of the filter are being adjusted.
- There is no need to check that for filter stability (though the adaptive algorithm could go unstable if μ is too large).
- The *performance surface is guaranteed unimodal* (i.e. there is only one minimum so no need to worry about being stuck in a local minimum).
- The performance surface becomes ill-conditioned as the state-signals become correlated (or have large power variations).



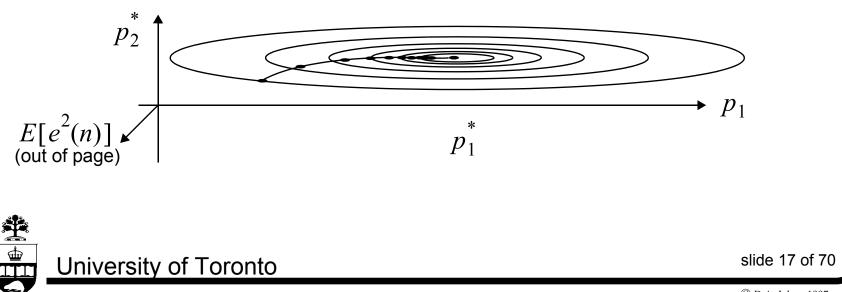
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(1)

Performance Surface

- Correlation of two states is determined by multiplying the two signals together and averaging the output.
- Uncorrelated (and equal power) states result in a "hyper-paraboloid" performance surface — good adaptation rate.
- Highly-correlated states imply an ill-conditioned performance surface — more residual mean-square error and longer adaptation time.



Adaptation Rate

Quantify performance surface — state-correlation matrix

$$R \equiv \begin{bmatrix} E[x_1x_1] & E[x_1x_2] & E[x_1x_3] \\ E[x_2x_1] & E[x_2x_2] & E[x_2x_3] \\ E[x_3x_1] & E[x_3x_2] & E[x_3x_3] \end{bmatrix}$$

- Eigenvalues, λ_i , of *R* are all positive real indicate curvature along the principle axes.
- For adaptation stability, $0 < \mu < \frac{1}{\lambda_{max}}$ but adaptation rate

is determined by least steepest curvature, $\lambda_{\text{min}}.$

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 Eigenvalue spread indicates performance surface conditioning.

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Adaptation Rate

- Adaptation rate might be 100 to 1000 times slower than time-constants in programmable filter.
- Typically use same μ for all coefficient parameters since orientation of performance surface not usually known.
- A large value of μ results in a larger coefficient "bounce".
- A small value of μ results in slow adaptation
- Often "gear-shift" μ use a large value at start-up then switch to a smaller value during steady-state.
- Might need to detect if one should "gear-shift" again.



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Adaptive IIR Filtering

- The poles (and often the zeros) are adjusted useful in applications with long impulse responses.
- Stability check needed for the adaptive filter itself to ensure the poles do not go outside the unit circle for too long a time (or perhaps at all).
- In general, a multi-modal performance surface occurs. Can get stuck in local minimum.
- However, if the order of the adaptive filter is greater than the order of the system being matched (and all poles and zeros are being adapted) — the performance surface is unimodal.
- To obtain the gradient signals for poles, extra filters are generally required.



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Adaptive IIR Filtering

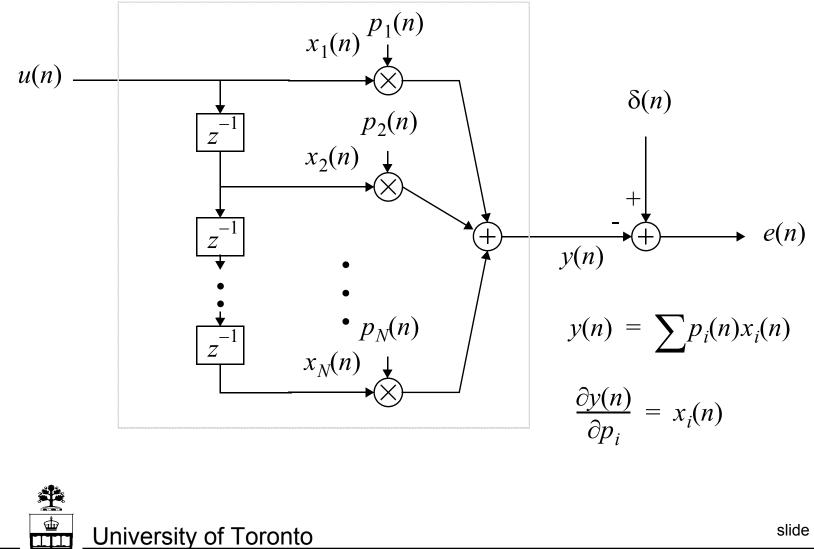
- Direct-form structure needs only one additional filter to obtain all the gradient signals.
- However, choice of structure for programmable filter is VERY important — sensitive structures tend to have ill-conditioned performance surfaces.
- Equation error structure has unimodal performance surface but has a bias.
- SHARF (simplified hyperstable adaptive recursive filter) — the error signal is filtered to guarantee adaptation — needs to meet a strictly-positive-real condition
- There are few commercial use of adaptive IIR filters



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Digital Adaptive Filters

• FIR tapped delay line is the most common



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FIR Adaptive Filters

- All poles at z = 0 and zeros only adapted.
- Special case of an adaptive linear combiner
- Unimodal performance surface
- States are uncorrelated and equal power if input signal is white hyper-paraboloid
- If not sure about correlation matrix, can guarantee adaptation stability by choosing

 $0 < \mu < \frac{1}{(\# \text{ of taps})(\text{ input signal power})}$

Usually need an AGC so signal power is known.



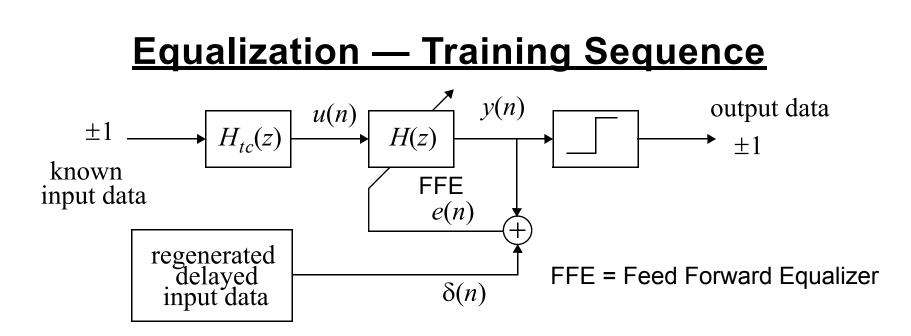
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FIR Adaptive Filter

- Coefficient word length typically 2 + 0.5log₂(# of taps) bits longer than "bit-equivalent" dynamic range
- Example: 6-bit input with 8-tap FIR might have 10-bit coefficient word lengths.
- Example: 12-bit input with 128-tap FIR might have 18-bit coefficient word lengths for 72 dB output SNR.
- Requires multiplies in filter and adaptation algorithm (unless an LMS variant used or slow adaptation rate)
 — twice the complexity of FIR fixed filter.



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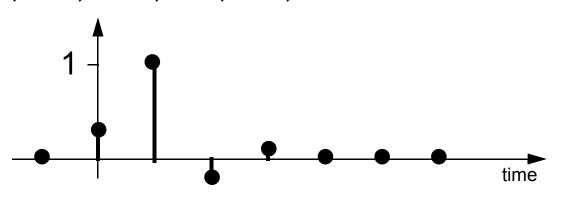
- The reference signal, δ(n) is equal to a delayed version of the transmitted data
- The training pattern should be chosen so as to ease adaptation — pseudorandom is common.
- Above is a feedforward equalizer (FFE) since y(n) is not directly created using derived output data



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FFE Example

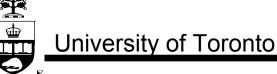
Suppose channel, *H_{tc}(z)*, has impulse response
 0.3, 1.0, -0.2, 0.1, 0.0, 0.0



• If FFE is a 3-tap FIR filter with

$$y(n) = p_1 u(n) + p_2 u(n-1) + p_3 u(n-2)$$
(2)

- Want to force y(1) = 0, y(2) = 1, y(3) = 0
- Not possible to force all other y(n) = 0



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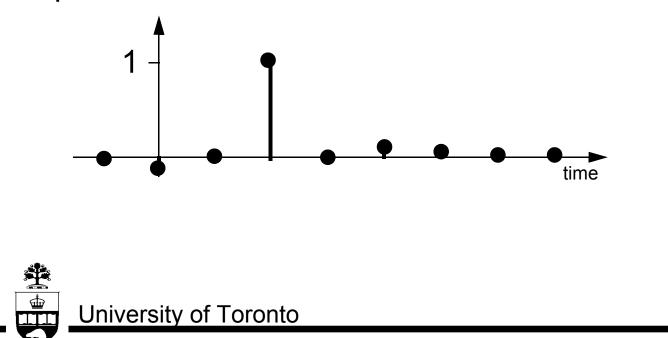
FFE Example

$$y(1) = 0 = 1.0p_1 + 0.3p_2 + 0.0p_3$$

$$y(2) = 1 = -0.2p_1 + 1.0p_2 + 0.3p_3$$

$$y(3) = 0 = 0.1p_1 + (-0.2)p_2 + 1.0p_3$$
(3)

- Solving results in $p_1 = -0.266$, $p_2 = 0.886$, $p_3 = 0.204$
- Now the impulse response through both channel and equalizer is: 0.0, -0.08, 0.0, 1.0, 0.0, 0.05, 0.02, ...



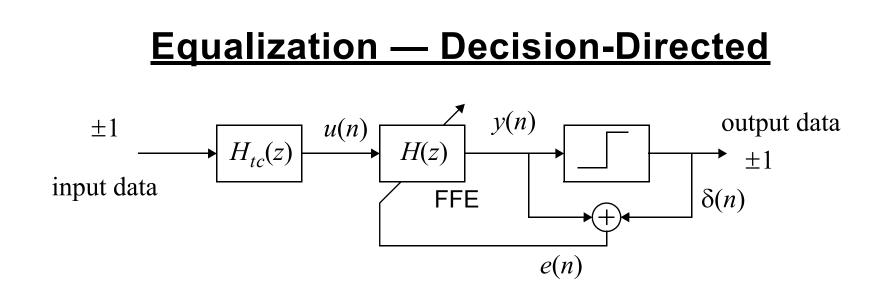
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FFE Example

- Although ISI reduced around peak, introduction of slight ISI at other points (better overall)
- Above is a "zero-forcing" equalizer usually boosts noise too much
- An LMS adaptive equalizer minimizes the mean squared error signal (i.e. find low ISI and low noise)
- In other words, do not boost noise at expense of leaving some residual ISI



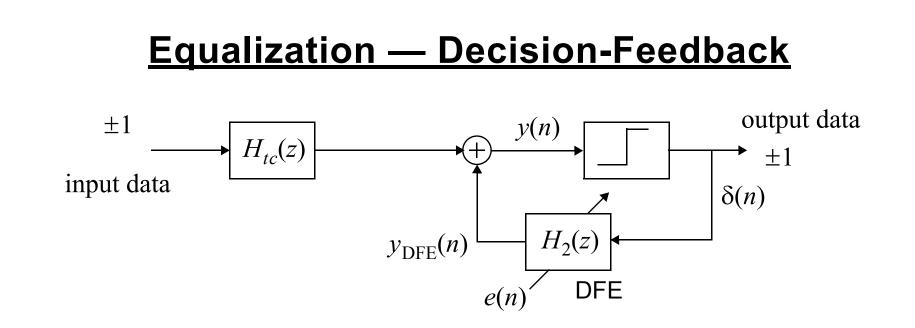
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- After training, the channel might change during data transmission so adaptation should be continued.
- The reference signal is equal to the recovered output data.
- As much as 10% of decisions might be in error but correct adaptation will occur



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- **Decision-feedback equalizers** make use of $\delta(n)$ in directly creating y(n).
- They enhance noise less as the *derived* input data is used to cancel ISI
- The error signal can be obtained from either a training sequence or decision-directed.



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DFE Example

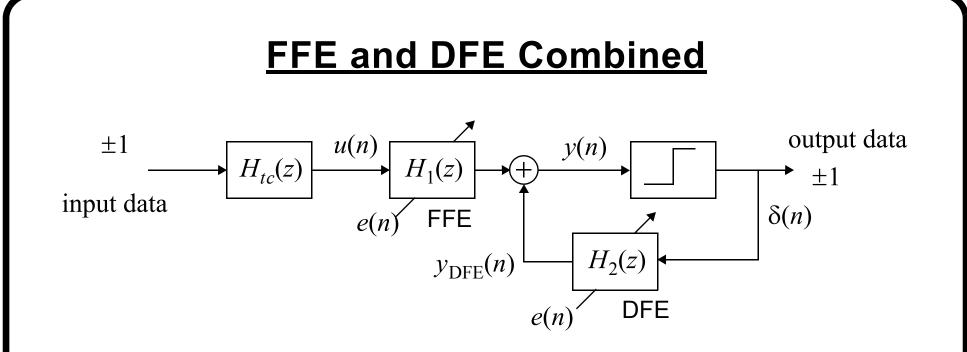
- Assume signals 0 and 1 (rather than -1 and +1) (makes examples easier to explain)
- Suppose channel, $H_{tc}(z)$, has impulse response 0.0, 1.0, -0.2, 0.1, 0.0, 0.0
- If DFE is a 2-tap FIR filter with

$$v_{\rm DFE}(n) = 0.2\delta(n-1) + (-0.1)\delta(n-2)$$
 (4)

• Input to slicer is now 0.0, 1.0, 0.0, 0.0 0.0 0.0



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- Assuming correct operation, output data = input data
- *e*(*n*) same for both FFE and DFE
- *e*(*n*) can be either training or decision directed

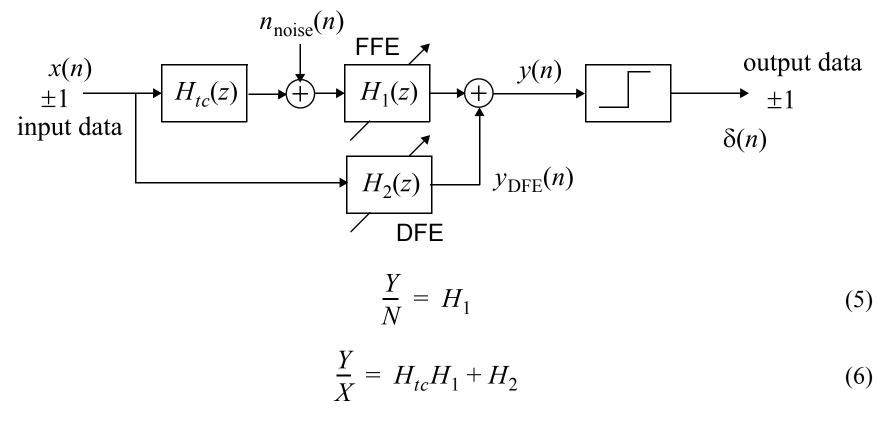


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FFE and DFE Combined

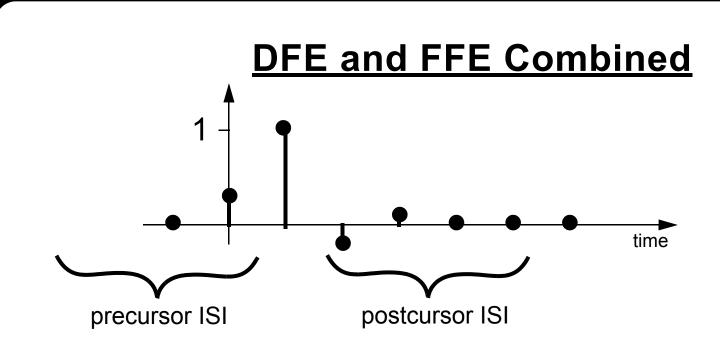
Model as:

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• When H_{tc} small, make $H_2 = 1$ (rather than $H_1 \rightarrow \infty$)

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- FFE can deal with precursor ISI and postcursor ISI
- DFE can only deal with postcursor ISI
- However, FFE enhances noise while DFE does not

When both adapt

 FFE trys to add little boost by pushing precursor into postcursor ISI (allpass)



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Equalization — Decision-Feedback

- The multipliers in the decision feedback equalizer can be simple since received data is small number of levels (i.e. +1, 0, -1) — can use more taps if needed.
- An error in the decision will propagate in the ISI cancellation error propagation
- More difficult if Viterbi detection used since output not known until about 16 sample periods later (need early estimates).
- Performance surface might be multi-modal with local minimum if changing DFE affects output data



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Fractionally-Spaced FFE

- Feed forward filter is often a FFE sampled at 2 or 3 times symbol-rate — fractionally-spaced (i.e. sampled at T/2 or at T/3)
- Advantages:

 Allows the matched filter to be realized digitally and also adapt for channel variations (not possible in symbol-rate sampling)

 Also allows for simpler timing recovery schemes (FFE can take care of phase recovery)

• Disadvantage

Costly to implement — full and higher speed multiplies, also higher speed A/D needed.

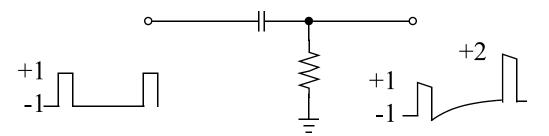


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dc Recovery (Baseline Wander)

- Wired channels often ac coupled
- Reduces dynamic range of front-end circuitry and also requires some correction if not accounted for in transmission line-code



- Front end may have to be able to accomodate twice the input range!
- DFE can restore baseline wander lower frequency pole implies longer DFE
- Can use line codes with no dc content



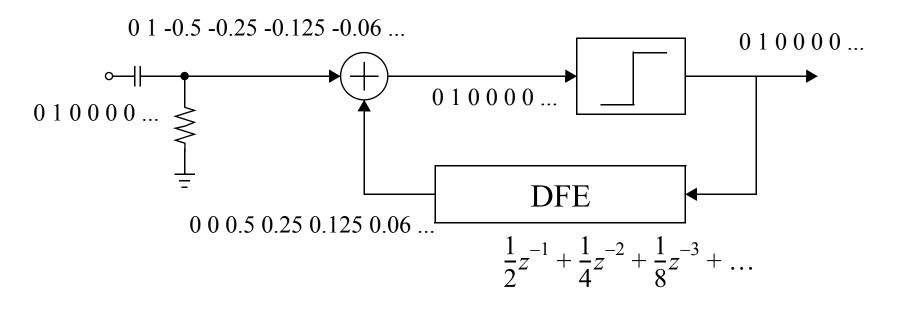
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DFE Based

- Treat baseline wander as postcursor interference
- May require a long DFE

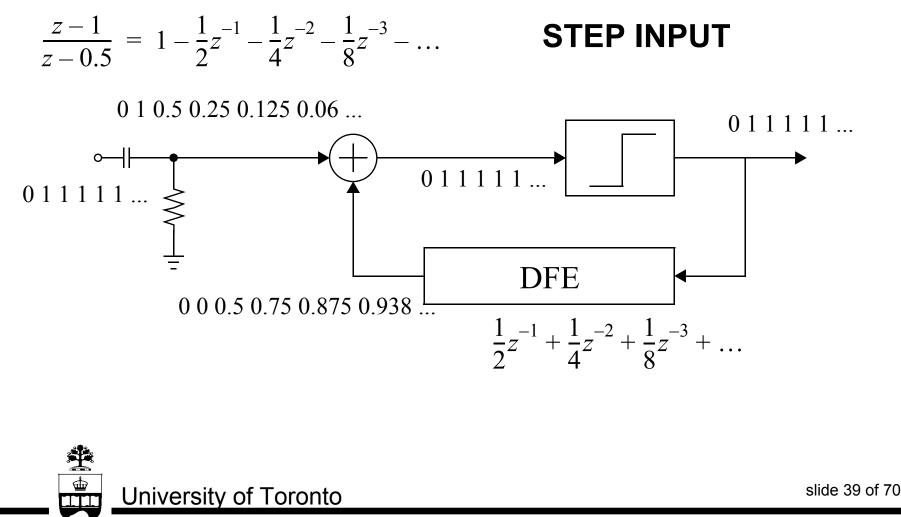
 $\frac{z-1}{z-0.5} = 1 - \frac{1}{2}z^{-1} - \frac{1}{4}z^{-2} - \frac{1}{8}z^{-3} - \dots$

IMPULSE INPUT

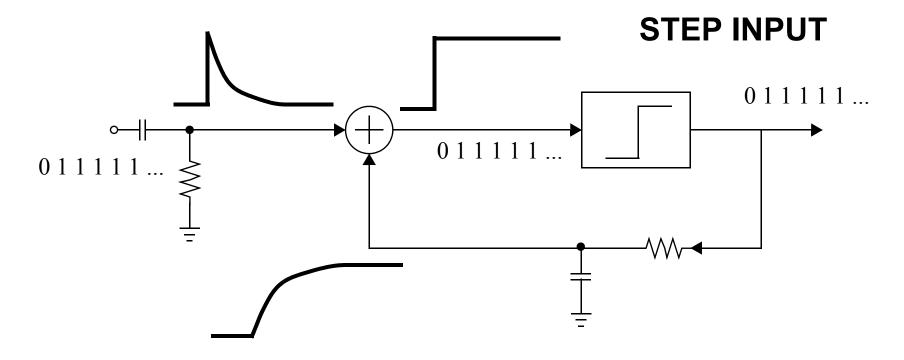


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DFE Based



Analog dc restore

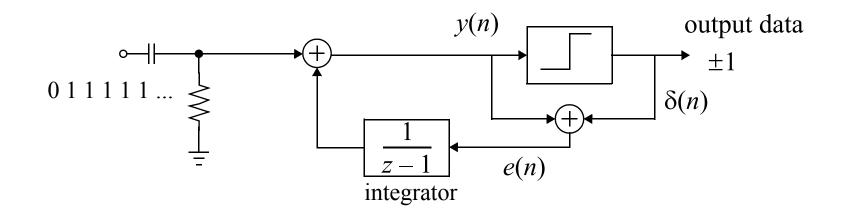


- Equivalent to an analog DFE
- Needs to match RC time constants



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Error Feedback



- Integrator time-constant should be faster than ac coupling time-constant
- Effectively forces error to zero with feedback
- May be difficult to stablilize if too much in loop (i.e. AGC, A/D, FFE, etc)

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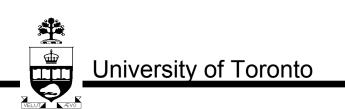
Analog Equalization

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Analog Filters

Switched-capacitor filters

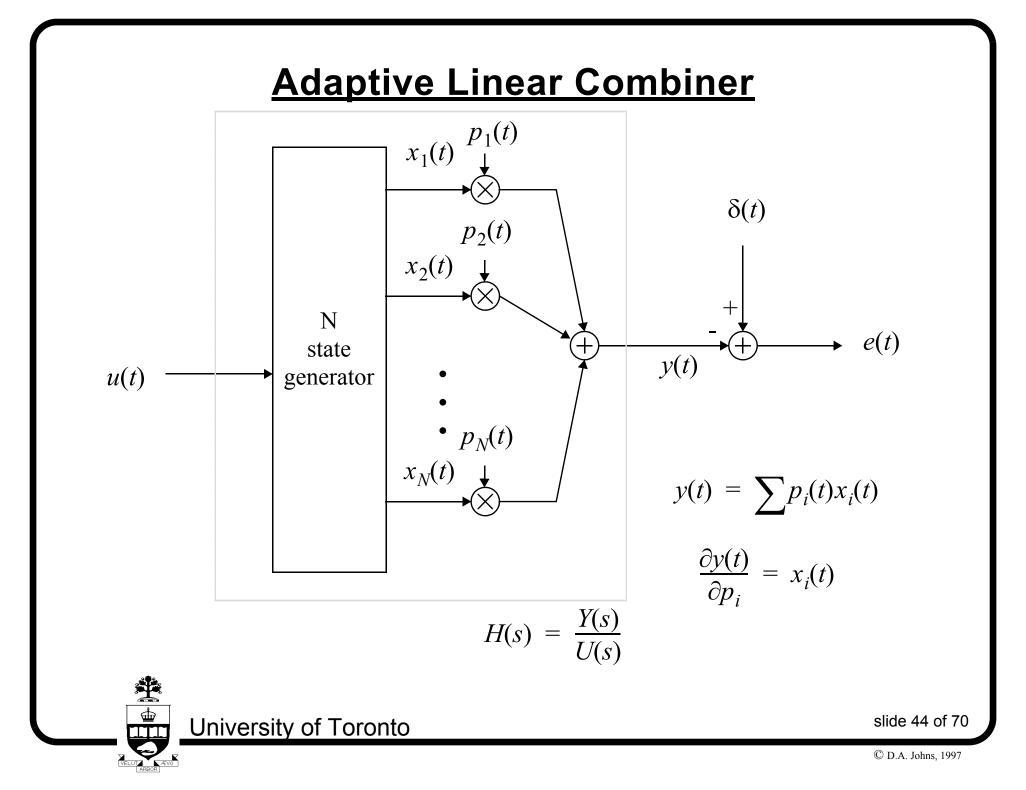
- + Accurate transfer-functions
- + High linearity, good noise performance
- Limited in speed
- Requires anti-aliasing filters

Continuous-time filters

- Moderate transfer-function accuracy (requires tuning circuitry)
- Moderate linearity
- + High-speed
- + Good noise performance



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Adaptive Linear Combiner

- The gradient signals are simply the state signals
- If coeff are updated in discrete-time

$$p_i(n+1) = p_i(n) + 2\mu e(n)x_i(n)$$
 (7)

• If coeff are updated in cont-time

$$p_i(t) = \int_0^\infty 2\mu e(t) x_i(t) dt$$
(8)

- Only the zeros of the filter are being adjusted.
- There is no need to check that for filter stability (though the adaptive algorithm could go unstable if μ is too large).



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Adaptive Linear Combiner

- The *performance surface is guaranteed unimodal* (i.e. there is only one minimum so no need to worry about being stuck in a local minimum).
- The performance surface becomes ill-conditioned as the state-signals become correlated (or have large power variations).

Analog Adaptive Linear Combiner

- Better to use input summing rather than output summing to maintain high speed operation
- Requires extra gradient filter to obtain gradients



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Analog Adaptive Filters

Analog Equalization Advantages

- Can eliminate A/D converter
- Reduce A/D specs if partial equalization done first
- If continuous-time, no anti-aliasing filter needed
- Typically consumes less power and silicon for highfrequency low-resolution applications.

Disadvantages

- Long design time (difficult to "shrink" to new process)
- More difficult testing
- DC offsets can result in large MSE (discussed later).



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Analog Adaptive Filter Structures

Tapped delay lines are difficult to implement in analog.

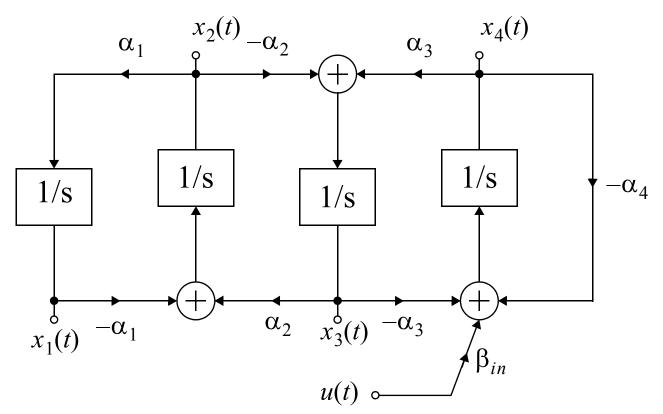
To obtain uncorrelated states:

- Can use Laguerre structure cascade of allpass first-order filters — poles all fixed at one location on real axis
- For arbitrary pole locations, can use orthonormal filter structure to obtain uncorrelated filter states [Johns, CAS, 1989].



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Orthonormal Ladder Structure



• For white noise input, all states are uncorrelated and have equal power.



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Analog's Big Advantage

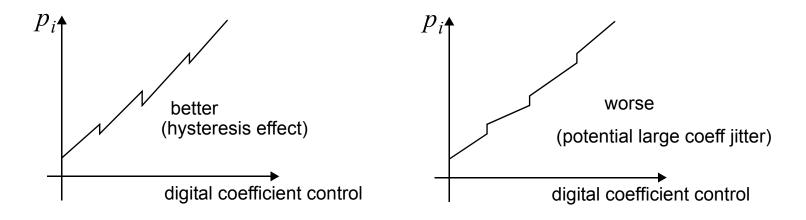
- In digital filters, programmable filter has about same complexity as a fixed filter (if not power of 2 coeff).
- In analog, arbitrary fixed coeff come for free (use element sizing) but programming adds complexity.
- In continuous-time filters, frequency adjustment is required to account for process variations — relatively simple to implement.
- If channel has only frequency variation use arbitrary fixed coefficient analog filter and adjust a single control line for frequency adjustment.
- Also possible with switched-C filter by adjusting clock frequency.



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Analog Adaptive Filters

- Usually digital control desired can switch in caps and/or transconductance values
- Overlap of digital control is better than missed values



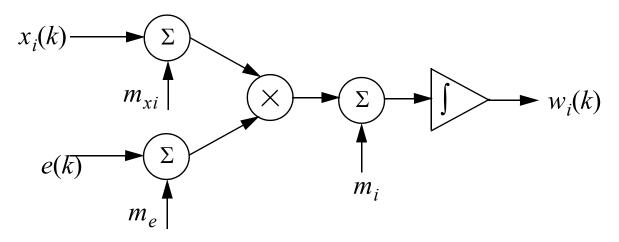
- In switched-C filters, some type of multiplying DAC needed.
- Best fully-programmable filter approach is not clear



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<u>Analog Adaptive Filters — DC Offsets</u>

• DC offsets result in partial correlation of data and error signals (opposite to opposite DC offset)



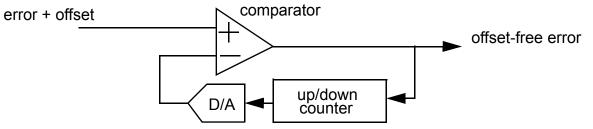
- At high-speeds, offsets might even be larger than signals (say, 100 mV signals and 200mV offsets)
- DC offset effects worse for ill-conditioned performance surfaces



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<u>Analog Adaptive Filters — DC Offsets</u>

- Sufficient to zero offsets in either error or statesignals (easier with error since only one error signal)
- For integrator offset, need a high-gain on error signal
- Use *median-offset cancellation* slice error signal and set the median of output to zero
- In most signals, its mean equals its median



 Experimentally verified (low-frequency) analog adaptive with DC offsets more than twice the size of the signal.



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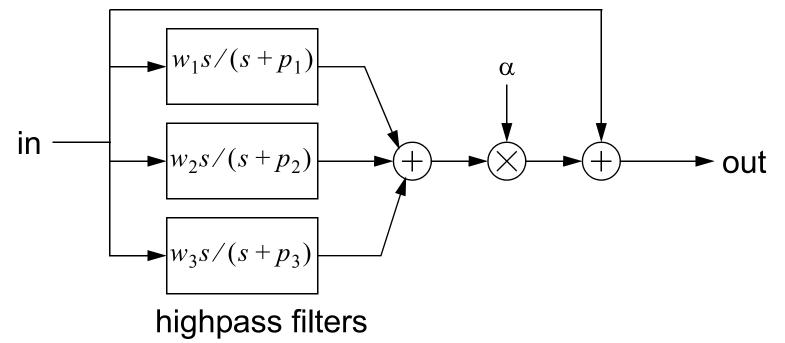
DC Offset Effects for LMS Variants

5

					$\neg \int \sigma_e^2$	
Test Case	LMS	SD-LMS	SE-LMS	SS-LMS	Residual Mean Squared Error	•
input power	$\sigma_e^2 \propto 1/\sigma_x^2$	no effect	$\sigma_e^2 \propto 1/ln[\sigma]$		-10-	-
no offsets	$\sigma_e^2 \to 0$ for $\mu \to 0$	$\begin{array}{c} \sigma_e^2 \to 0 \\ \text{for } \mu \to 0 \end{array}$	$\sigma_e^2 \propto \mu^2 \sigma_x^4$	$\sigma_e^2 \propto \mu^2 \sigma_x^2$	SD-LMS	
	σ_e^2 weakly depends on μ		σ_e^2 strongly depends on μ		-20- LMS	-
algorithm circuit complexity	1 multiplier/tap 1 integrator/tap	1 slicer/tap 1 trivial multiplier/tap 1 integrator/tap	1 trivial multiplier/tap 1 integrator/tap 1 slicer/filter	1 slicer/tap 1 XOR gate/tap 1 counter/tap 1 DAC/tap 1 slicer/filter	-30- -30-	-
convergence	no gradient misalignment	gradients misaligned	no gradient misalignment	gradients misaligned		
					-40 SS-LMS SE-LMS -50	
					10^{-6} 10^{-5} 10^{-4} 10^{-3} 10^{-2}	10
					μ Step Size	
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VELUT	R R				© D.A. Johns, 199	7

Coax Cable Equalizer

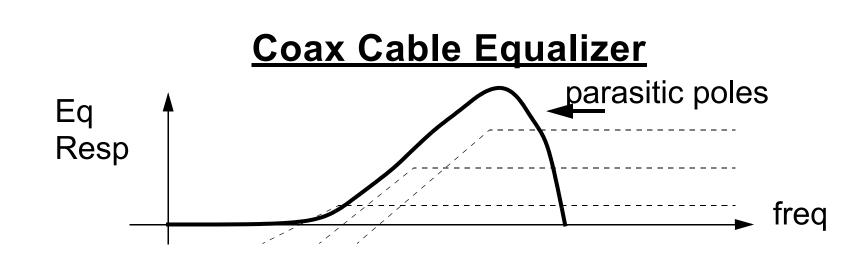
- Analog adaptive filter used to equalize up to 300m
- Cascade of two 3'rd order filters with a single tuning control



• Variable α is tuned to account for cable length



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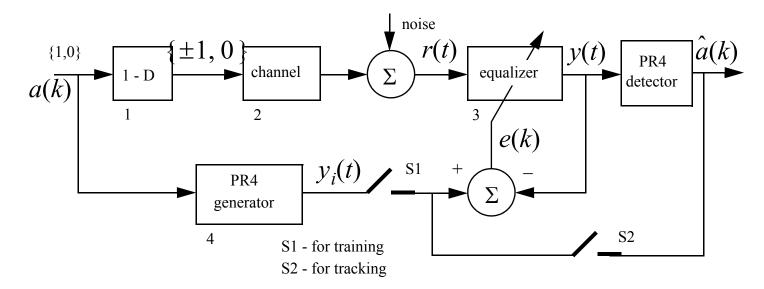
- Equalizer optimized for 300m
- Works well with shorter lengths by tuning α
- Tuning control found by looking at slope of equalized waveform
- Max boost was 40 dB
- System included dc recovery circuitry
- Bipolar circuit used operated up to 300Mb/s



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Analog Adaptive Equalization Simulation



- Channel modelled by a 6'th-order Bessel filter with 3 different responses — 3MHz, 3.5MHz and 7MHz
- 20Mb/s data
- PR4 generator 200 tap FIR filter used to find set of fixed poles of equalizer
- Equalizer 6'th-order filter with fixed poles and 5 zeros adjusted (one left at infinity for high-freq roll-off)

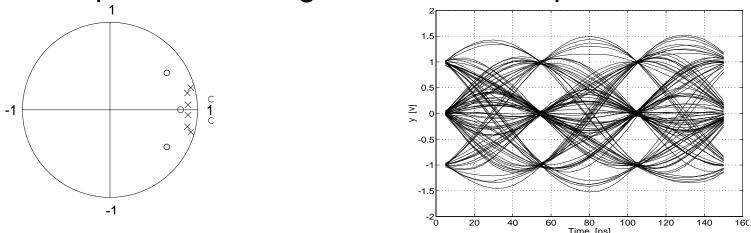


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Analog Adaptive Equalization Simulation

- Analog blocks simulated with a 200MHz clock and bilinear transform.
- Switch S1 closed (S2 open) and all poles and 5 zeros adapted to find a good set of fixed poles.



- Poles and zeros depicted in digital domain for equalizer filter.
- Residual MSE was -31dB

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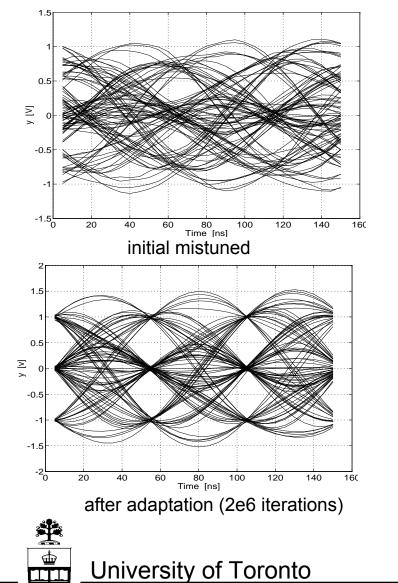
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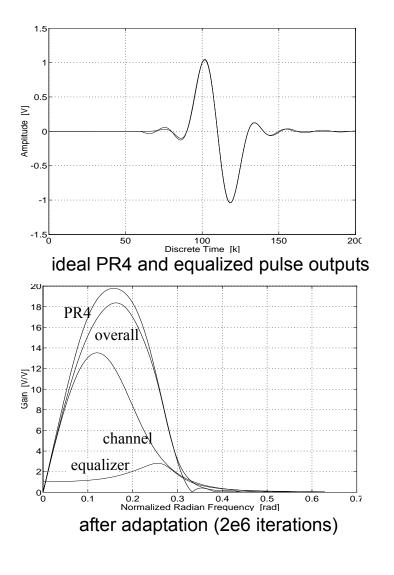
- Switch S2 closed (S1 open), all poles fixed and 5 zeros adapted using
 - e(k) = 1 y(t) if (y(t) > 0.5)
 - e(k) = 0 y(t) if $(-0.5 \le y(t) \le 0.5)$
 - e(k) = -1 y(t) if (y(t) < -0.5)
- all sampled at the decision time assumes clock recovery perfect
- Potential problem AGC failure might cause y(t) to always remain below ±0.5 and then adaptation will force all coefficients to zero (i.e. y(t) = 0).
- Zeros initially mistuned to significant eye closure



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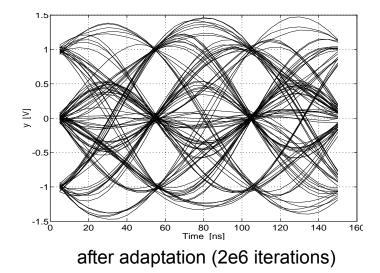
• 3.5MHz Bessel

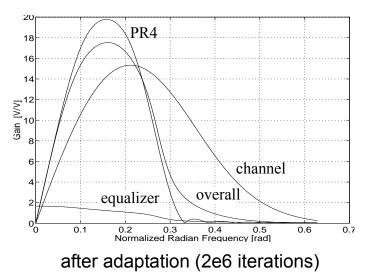




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- Channel changed to 7MHz Bessel
- Keep same fixed poles (i.e. non-optimum pole placement) and adapt 5 zeros.



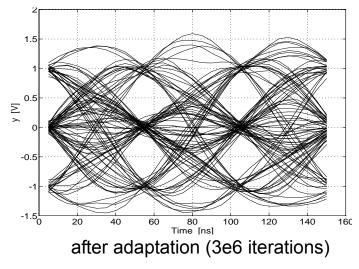


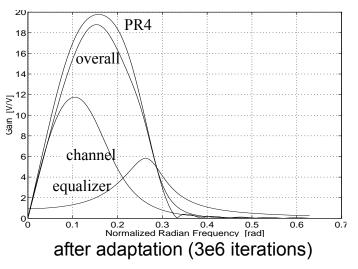
- Residual MSE = -29dB
- Note that no equalizer boost needed at high-freq.



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- Channel changed to 3MHz Bessel
- Keep same fixed poles and adapt 5 zeros.





- Residual MSE = -25dB
- Note that large equalizer boost needed at high-freq.
- Probably needs better equalization here (perhaps move all poles together and let zeros adapt)



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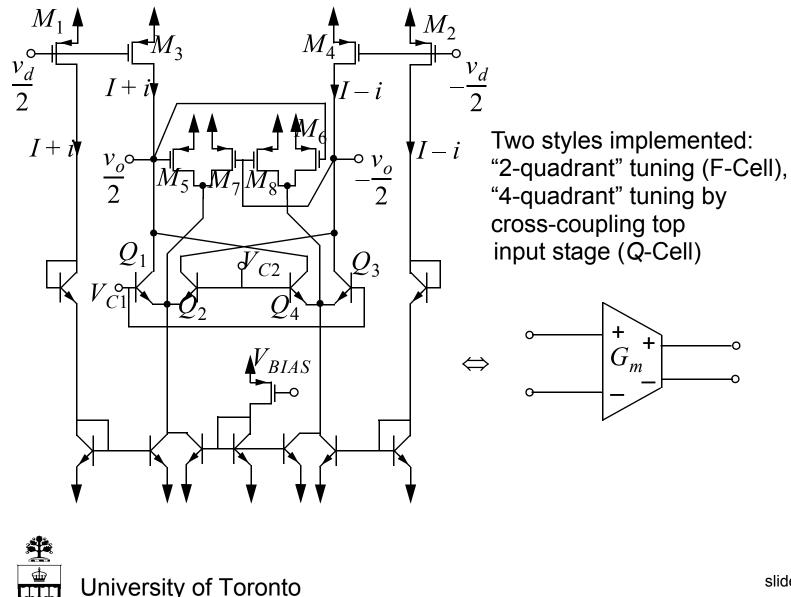
BiCMOS Analog Adaptive Filter Example

- Demonstrates a method for tuning the polefrequency and Q-factor of a 100MHz filter — adaptive analog
- Application is a pulse-shaping filter for data transmission.
- One of the fastest reported integrated adaptive filters
 it is a Gm-C filter in 0.8um BiCMOS process
- Makes use of MOS input stage and translinearmultiplier for tuning
- Large tuning range (approx. 10:1)
- All analog components integrated (digital left off)



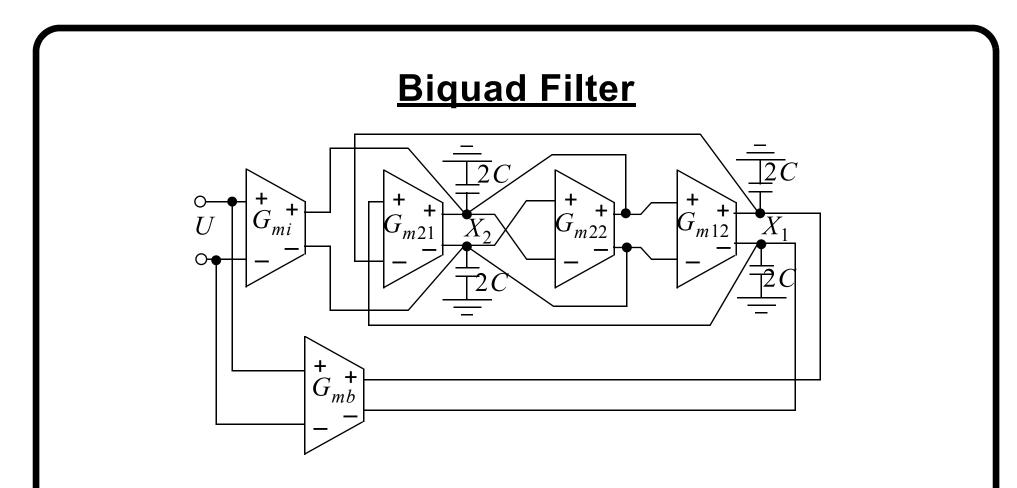
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BiCMOS Transconductor



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- fo and Q not independent due to finite output conductance
- Only use 4 quadrant transconductor where needed



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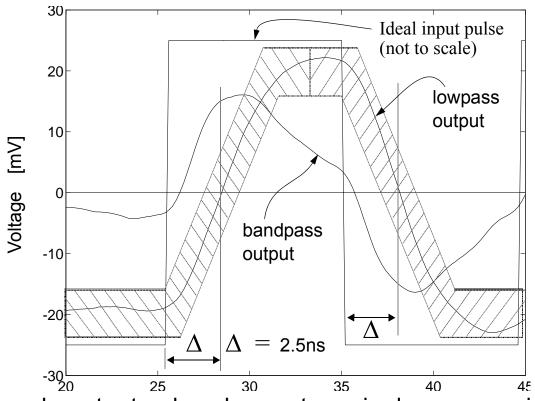
Experimental Results Summary

Transconductor (T.) size	0.14mm x 0.05mm			
T. power dissipation	10mW @ 5V			
Biquad size	0.36mm x 0.164mm			
Biquad worst case CMRR	20dB			
Biquad f_o tuning range	10MHz-230MHz @ 5V, 9MHz-135MHz @ 3V			
Biquad Q tuning range	1-Infinity			
Bq. inpt. ref. noise dens.	$0.21\iota V_{rms}/\sqrt{H_{c}^2}$			
Biquad PSRR+	28dB			
Biquad PSRR-	21dB			
Filter Setting	Output 3rd Order Intercept Point	SFDR		
100MHz, Q = 2, Gain = 10.6dB	23dBm	35dB		
20 MHz, Q = 2, Gain = 30 dB	20dBm	26dB		
100MHz, Q = 15, Gain = 29.3dB	18dBm 26dB			
227MHz, $Q = 35$, Gain = 31.7dB	10dBm 20dB			



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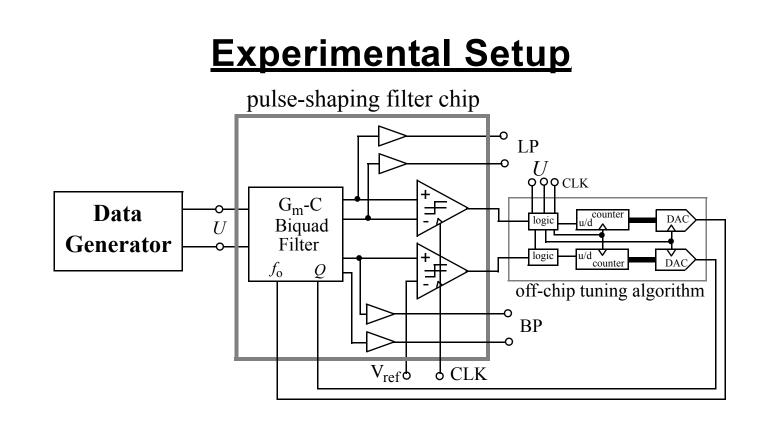
Adaptive Pulse Shaping Algorithm



- Fo control: sample output pulse shape at nominal zero-crossing and decide if early or late (cutoff frequency too fast or too slow respectively)
- Q control: sample bandpass output at lowpass nominal zero-crossing and decide if peak is too high or too small (Q too large or too small)



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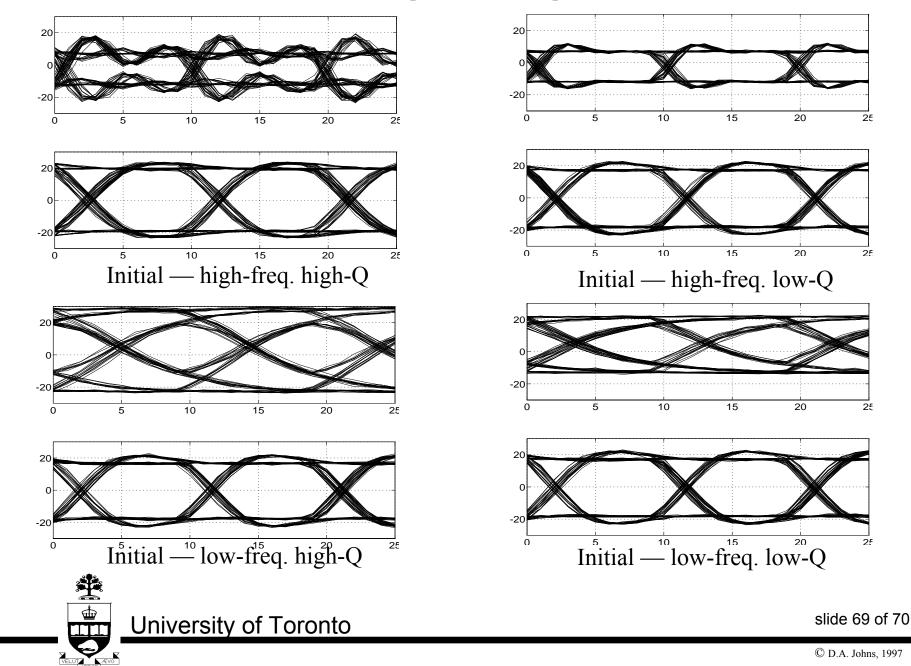


- Off-chip used an external 12 bit DAC.
- Input was 100Mb/s NRZI data 2Vpp differential.
- Comparator clock was data clock (100MHz) time delayed by 2.5ns



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Pulse Shaper Responses



<u>Summary</u>

- Adaptive filters are relatively common
- LMS is the most widely used algorithm
- Adaptive linear combiners are almost always used.
- Use combiners that do not have poor performance surfaces.
- Most common digital combiner is tapped FIR

Digital Adaptive:

• more robust and well suited for programmable filtering

Analog Adaptive:

- best suited for high-speed, low dynamic range.
- less power
- very good at realizing arbitrary coeff with frequency only change.
- Be aware of DC offset effects



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