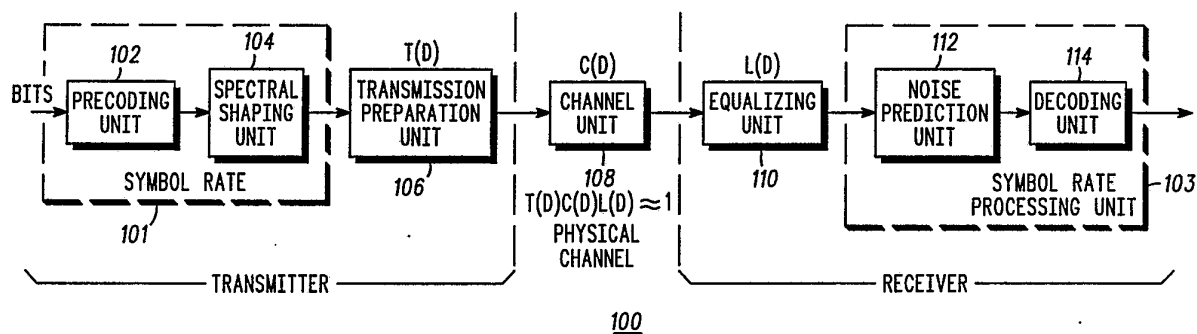




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(54) Title: DEVICE AND METHOD FOR COMBINING PRECODING WITH SYMBOL-RATE SPECTRAL SHAPING**(57) Abstract**

A device and method provide a variety of operational modes for realizing equalization methods (110) and desired transmitter spectral shaping (104), allowing selection of precoding (102), general and trellis, with and without spectral shaping, and of linear equalization, both optimal and suboptimal, with spectral shaping.

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DEVICE AND METHOD FOR COMBINING PRECODING WITH SYMBOL-RATE SPECTRAL SHAPING

Field of the Invention

5 This invention relates to systems that communicate signals representative of digital information, and more particularly to systems that spectrally shape said communicated signals.

10 Background of the Invention

In a typical data transmission system, a physical channel may be effectively modeled by utilizing filtration at the transmitter, channel filtration, an additive white Gaussian noise source, and receiver filtration. Certain methods have been developed for reliably transmitting digital information over linear distorting channels using linear modulation methods such as quadrature amplitude modulation (QAM) and phase shift keying (PSK). Powerful coded modulation methods have been utilized in a sufficiently high signal to noise ratio (SNR) environment to allow approaching a capacity of a Gaussian channel with intersymbol interference (ISI) if the system can attain ideal decision feedback equalizer (DFE) performance followed by Maximum Likelihood decoding. However realization of DFE in a coded system poses problems in obtaining reliable decision feedback, and hence, enhances severity of error propagation.

In the early 1970's Tomlinson modulo-precoding was introduced as a means to avoid error propagation in DFE for pulse amplitude modulation (PAM) systems by implementing a feedback filter of a DFE in a transmitter where a transmit symbol is utilized for feedback filtration. This method completely precompensates for postcursor ISI without increasing a transmitted power where moderate to high transmission rates are used. Modulo arithmetic is used to

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bound a dynamics range and to recover power loss implied by the filtration. More recently, the concept of precoding has been generalized to coded systems on partial response channels, onto higher dimensional signal sets such as QAM, and
5 has been combined with trellis shaping to achieve substantial shape gain without reducing coding gain.

A precoding system may be realized using a noise predictive form of DFE together with a training procedure. Under moderate to high rate of operation, spectral properties
10 of a precoded sequence remain statistically white, preserving characteristics of an input scrambled sequence to the precoding process.

In certain types of channel there is a need for a transmitted sequence to achieve certain spectral properties.
15 For example, when a severe nonlinear distortion source is present in an output signal of a channel filtration, it may be desirable to include pre-emphasis filtration on the transmitted sequence such that a peak-to-average ratio of the channel output signal is reduced. However, typically pre-
20 emphasis filtration as a component of linear equalization geared pre-emphasis spectrally shaping the transmit sequence imposes a power penalty on a transmit power-limited system, that penalty being independent of any previous coding, shaping and/or equalization method utilized in the transmission
25 system. Higher than symbol-rate filtering is a convenient filtering rate for conventional transmit filters. However, at the present time, symbol-rate spectral shaping independent of the higher than symbol rate transmit filter is not available.

Thus, there is a need for a device and method that
30 provide at least a substantially symbol-rate transmitter spectral shaping of signals representative of digital information that is independent of the higher than symbol-rate transmit filter.

Summary of the Invention

A device and method of the present invention provide at least a substantially symbol-rate transmitter spectral shaping of signals representative of digital information, the digital information being represented by at least an initial symbol sequence, comprising at least one of: a modulation unit for at least modulating information; and a demodulation unit for at least demodulating information; wherein: the modulation unit comprises at least: a precoding unit, where desired, operably coupled to the digital information input, for substantially precoding the at least initial symbol sequence utilizing a predetermined equivalent channel response; a spectral shaping unit, operably coupled to one of: the digital information input and the precoding unit, for substantially utilizing a spectral shaping filtering function and a first scaling factor to provide a spectrally shaped sequence, the spectral filtering function also being provided, where desired, to the precoding unit; a transmission preparation unit, where desired, operably coupled to the spectral shaping unit, for providing at least one of: preselected filtering and preselected equalization, to obtain a spectrally shaped transmission sequence for transmission on a selected channel of a channel unit; and the demodulation unit comprises at least: an equalizing unit, where desired, operably coupled to the channel unit, for receiving and equalizing one of the spectrally shaped sequence and the spectrally shaped transmission sequence, and a symbol-rate processing unit, operably coupled to one of the equalizing unit and the channel unit, for receiving one of the spectrally shaped sequence and the spectrally shaped transmission sequence, equalized where desired, substantially determining a noise prediction filtering function, and utilizing that noise prediction filtering function and at least a second scaling factor to provide at least a first symbol sequence for a symbol-rate spectrally shaped signal;

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the noise prediction filtering function also being provided, where desired, to the precoding unit.

Brief Description of the Drawings

5 FIG. 1 is a block diagram of a first embodiment of a device in accordance with the present invention.

10 FIGs. 2A, 2B, and 2C are block diagrams further illustrating exemplary block diagram embodiments of the precoding unit, spectral shaping unit, and symbol-rate processing unit block diagrams, respectively, of the first embodiment of the device in accordance with the present invention.

15 FIG. 3 is an exemplary representation of a 128 point signal constellation S that consists of two 64-point constellations S_{00} and S_{01} in quadrants 1 and 2, respectively, utilized in an embodiment of the present invention.

FIG. 4 illustrates an exemplary embodiment of an encoding unit together with an information shaping bit insertion unit for encoding in accordance with the present invention.

20 FIG. 5 illustrates an exemplary embodiment of an inverse syndrome former unit of a device with trellis precoding in accordance with the present invention.

25 FIG. 6 illustrates an exemplary embodiment of a Tomlinson precoding unit of a device with precoding in accordance with the present invention.

FIG. 7 is a schematic representation of a 45° rotated square region (shaded) for a modulo determiner that reduces precoded symbols in accordance with the present invention.

30 FIG. 8A illustrates an exemplary embodiment of a trellis decoding unit of a device with precoding in accordance with the present invention; FIG. 8B is a schematic representation of an exemplary trellis code T diagram showing all sequences whose subset labels $\{b_n\}$ belong to a 4-state rate-1/2 convolutional code C .

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FIG. 9 illustrates an embodiment of a device with a symbol-rate processing unit with trellis precoding in accordance with the present invention.

FIG. 10 is an exemplary representation of a 256 point signal constellation S' that consists of four-64 bit constellations S_{00} , S_{01} , S_{10} , and S_{11} , utilized in an embodiment of the present invention.

FIG. 11 illustrates an exemplary embodiment of a syndrome former unit of a device with trellis precoding in accordance with the present invention.

FIG. 12, illustrates a system model utilized for determination of an optimal spectral shaping function of the present invention.

FIG. 13 is a flow diagram of steps of a method in accordance with the present invention.

Detailed Description of a Preferred Embodiment

The device and method of the present invention provide for at least substantially precoding and symbol-rate transmitter spectral shaping of signals representative of digital information in addition to providing flexibility in selection of operational modem modes and to improve received signals in the presence of non-ideal channel noise. The flexibility of the present invention allows selection of desired equalization, typically linear, precoding without spectral shaping, and precoding with spectral shaping.

FIG. 1, numeral 100, is a block diagram of a first embodiment of a device in accordance with the present invention. The device provides for at least a substantially symbol-rate transmitter spectral shaping of signals representative of digital information, where the digital information is typically represented by at least an initial symbol sequence, and comprises at least one of: a modulation unit for at least modulating information; and a demodulation

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unit for at least demodulating information; wherein: the modulation unit comprises at least:

5 a precoding unit (102), where desired, operably coupled to the digital information input, for substantially precoding the at least initial symbol sequence utilizing a predetermined equivalent channel response; a spectral shaping unit (104), operably coupled to one of: the digital information input and the precoding unit (102), for substantially utilizing a spectral shaping filtering function and a first scaling factor to provide

10 a spectrally shaped sequence, the spectral filtering function also being provided, where desired, to the precoding unit (102); a transmission preparation unit (106), where desired, operably coupled to the spectral shaping unit (104), for providing at least one of: preselected filtering and preselected

15 equalization, to obtain a spectrally shaped transmission sequence for transmission on a selected channel of a channel unit (108); and the demodulation unit comprises at least: an equalizing unit (110), where desired, operably coupled to the channel unit (108), for receiving and equalizing one of the

20 spectrally shaped sequence and the spectrally shaped transmission sequence, and a symbol-rate processing unit (103), operably coupled to one of the equalizing unit (110) and the channel unit (108), for receiving one of the spectrally shaped sequence and the spectrally shaped transmission

25 sequence, equalized where desired, substantially determining a noise prediction filtering function, and utilizing that noise prediction filtering function and at least a second scaling factor to provide at least a first symbol sequence for a symbol-rate spectrally shaped signal, the noise prediction

30 filtering function also being provided, where desired, to the precoding unit (102). One advantage of the present invention is allowance of substantially symbol-rate spectral shaping that is independent of a higher than symbol-rate transmit filter.

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Training for determining coefficients utilized in spectral shaping is typically in accordance with training methods known in the art, for example, least-mean-square (LMS) and Least-Square acquisition of predictive coefficients. In one embodiment, for example, a combination of a matched filter and a mean-square-error (MSE) linear equalizer are implemented as a digital transversal equalizer that has a fractional tap-spacing of T/M , where T is a symbol interval and M is a predetermined value sufficiently large to avoid aliasing. A known training sequence is typically transmitted, and a desired adaptive training algorithm, for example, the LMS algorithm, is utilized to learn the equalizer. Then, an adaptive minimum MSE linear predictor is typically determined such that it has a tap-spacing of T and steady state coefficients that form a desired channel response $h(D)$. After the desired length of training, $h(D)$ information is transmitted back to the transmitter. Thus, once the equivalent channel response $h(D)$ is determined, $h(D)$ information is transmitted to the precoding unit (102) and, where desired, to the spectral shaping unit (104), depending on a selected mode of operation. For pure precoding, $h(D)$ information is transmitted to the precoding unit (102). For pure pre-emphasis, an optimal coefficient is transmitted to the spectral shaping unit (104). For precoding with spectral shaping, $h(D)$ information is transmitted to the precoding unit (102) and the spectral shaping unit (104) utilizes $a(D)$, as described more fully below. As desired, an adaptive algorithm may also adjust linear equalizer coefficients to minimize variations in channel response, but the symbol-rate processing unit (103) is typically fixed. Where updating of the symbol-rate processing unit (103) is desired, such updating information is also transmitted to the transmitter for synchronization. Also, as is known in the art, a receiver may monitor values of symbol-

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rate processing coefficients and, where such coefficients vary more than a predetermined level, may initiate new training.

In a trellis precoding system information data input may be expressed typically in terms of shaping bits and coding bits, where the coding bits also include so-called scaling bits, bits that typically do not directly enter a convolutional coding device. For example, in FIG. 4, described more fully below, an 11 bits input into the encoding unit (402, 404, 404) are coding bits.

Coding is selectable and may utilize, for example, a 4D (four dimensional) 16-state Wei code, (See L.-F. Wei, "Trellis coded modulation with multi-dimensional constellations," I.E.E.E. Trans. Inform. Theory, Vol. IT-33, pp. 483-501, 1987) to transmit 19.2 kbits at 2954 symbols/sec, such that, for example, a total number of 7 coded bits per symbol, of which 1/2 bit per symbol represents a redundancy of coding, are transmitted. Other selected symbol rates may be used.

FIG. 3 , numeral 300, illustrates a 128 point signal constellation S that consists of two 64-point constellations S₀₀ and S₀₁ in quadrants 1 and 2, respectively. S is partitioned into four subsets as indicated by different markings, and two coded bits determine a subset. Selection between S₀₀ and S₀₁ is accomplished by identifying a sign of a first coordinate in two's complement representation, i.e., selecting between a positive coordinate x and its complement x-1.

FIG. 4, numeral 400, depicts a block diagram of an exemplary generic 16-state, rate-3/4, convolutional encoder (402) suitable for utilizing as a encoding unit for the present invention, configured such that two symbols from the 64 point mapping, S₀₀, are generated (at 404; at 406). Every two bauds, 3 information bits enter a rate-3/4, 16-state trellis code whose 4 output bits select two subsets for two 2D (two dimensional) points in S₀₀. The 4 'uncoded' information bits

select a first point s_{2j} , and another group of 4 'uncoded' information bits select a second point s_{2j+1} , both from the 64 point constellation S_{00} and from the subsets chosen by the coded bits. Every baud, in the case of trellis precoding, a
5 desired information shaping bit(s) is precoded, for example, in an inverse syndrome former (414). The information shaping bit(s), precoded where desired (for example, precoded as $t_{n,0}$), is combined by an insertion unit (412) with the coded sequence, s_n , to form a coded, shaped sequence. Thus, the
10 information data encoding unit (402, 404, 406) is typically utilized for converting information into a selected number of bits to provide coded symbols. In one embodiment, trellis encoding, generally an efficient coding method, may be utilized. Where desired, more than one bit may be utilized in
15 shaping.

Typically, an information shaping bit inserting unit (410), for an information shaping bit(s) input, performs a binary precoding, where desired, of the information shaping bit(s) in the inverse syndrome former (414) and utilizes an
20 insertion unit (412) to combine the the coded symbols with the information shaping bit(s), altered by shaping bit precoding where desired. When an embodiment in which precoding with a trellis code is utilized, the inverse syndrome former (414), typically a binary precoder, is utilized in the information
25 shaping bit inserting unit (410). In one embodiment, for Tomlinson precoding, described further below, there is no shaping gain, allowing omission of the inverse syndrome former (414).

In a preferred embodiment, the precoding unit (102) is
30 typically operated as a Tomlinson/generalized precoding unit, or alternatively, a trellis precoding unit. In Tomlinson precoding a transmitted sequence $x(D) = i(D) - c(D)$, where $x(D)$ is a discrete-time precoding unit response and $i(D)$ is typically an input sequence. For Tomlinson precoding, $c(D)$ corresponds

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typically to a member in a lattice MZ^2 where M is a scaling factor and Z^2 is a 2 dimensional integer lattice. Other lattices may be used. For trellis precoding, $c(D)$ corresponds to a sequence in a selected shaping trellis code T . It should be noted that the precoding unit (102) may be selected to receive coded, or alternatively, uncoded information bits as input. For a coded system, for example, where a 4-dimensional 16 state Wei code is utilized, typically a 16 state, rate-3/4 convolutional encoder suitable for use in an encoding unit is then utilized.

Clearly, where a net transfer function of the precoding unit (102) is substantially one, the precoding unit (102) may be omitted. Also, in instances wherein no signal modification after spectral shaping is desired prior to transmission, the transmission preparation unit (106) may be omitted. The transmission preparation unit (106) typically implements at least a transmit filter at a higher rate than the symbol-rate to allow spectral shaping for excess bandwidth and the like. The spectral shaping unit (104) and the the precoding unit (102) together substantially comprise a symbol-rate transmitter processing unit (101) that typically utilizes bits at the symbol-rate. The noise prediction unit (112) also typically utilizes the symbol-rate.

Utilization of the spectral shaping unit (102) in the present invention for at least one of symbol-rate spectral shaping and precompensation typically provides improvement over implementation of spectral shaping in the transmission preparation unit (106) since the transmission preparation unit (106) typically requires greater design intricacy, more computation complexity and operation at a higher rate.

Generally the channel unit (108) comprises at least a first physical channel, as is known in the art, having a channel unit response $C(D)$. $T(D)$, a transmission preparation unit response, and $L(D)$, an equalizer unit response, are typically

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selected to provide a desired value for $T(D)C(D)L(D)$. The equalizing unit $L(D)$ that is installed to compensate for an effect of $T(D)$ and $C(D)$ is typically trained utilizing Minimum Mean Square Error criterion (MMSE). In an absence of noise, an MMSE solution to $L(D)$ will be substantially $1/T(D)C(D)$. Hence, in that case, concatenation of $T(D)C(D)L(D)$ is substantially unity. In the presence of noise, the $L(D)$ will be trained so that the error or noise power at the output of $L(D)$ is minimized. However, $T(D)C(D)L(D)$ in the latter case may not be exactly unity. Since minimization of noise power by further processing of the $L(D)$ output sequence is desired, such an MMSE solution is acceptable. $L(D)$ is typically determined at a sampling rate that is higher than the symbol-rate. Thus, a sampling rate equalizer is typically utilized to compensate for the transmission preparation unit (106) and the channel unit (108). Compensation for a symbol-rate pre-emphasis filter is usually implemented in the symbol-rate processing unit (103). Hence, the symbol-rate transmitter processing unit (101) may be added after training without recomputation of a typical equalizer (110).

Also, the equalizing means (110) may be replaced by other known methods of channel transmission deficiency adjusters such as adaptive algorithm adjusters.

Utilizing D-transform symbol sequence notation, the precoding unit (102) system utilizes an equivalent linear discrete-time channel response, $h(D)$, where $h(D) = \sum h_i D^i$, $i=0,1,2,\dots$ in a presence of white Gaussian noise. Without a loss of generality, h_0 is taken as one. An inverse of $h(D)$ is always defined, and is denoted as $q(D) = 1/h(D) = 1 + q_1 D + q_2 D^2 + \dots$. An output sequence of the precoding unit (102) is denoted $x(D)$ and is generated according to $x(D) = [i(D) - c(D)]q(D)$, where $c(D)$, in a case of general precoding, is a sequence with elements chosen from an integer lattice MZ^2 ; being modulo 2, to minimize an energy $|x(D)|^2$ of the output

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sequence. For trellis precoding, $c(D)$ corresponds to a valid code sequence in a shaping trellis code C that attains energy minimization. It is clear that other integer lattices may be utilized for other selected modulo operations.

5 In the present invention, the equivalent channel response $h(D)$ is represented by the combined response $a(D)b(D)$, where $a(D)$ typically represents a monic, minimum phase spectral shaping filter at a transmitter and $b(D)$ typically denotes a monic, minimum-phase prediction filter in a receiver. $g(D)$ is defined to be $1/a(D)$. Thus, $h(D)$ is substantially $b(D)/g(D)$.
 10 Thus $h(D)=a(D)b(D)$ generally represents an equivalent channel response seen by the precoding unit (102) that is present in data sequence transmissions, but not in training transmissions. Thus, the transmitted sequence, $x(D)$, is
 15 substantially:

$$x(D) = i(D) - x(D)[b(D)-1] + [i(D)-x(D)][g(D)-1] - c(D) ,$$

where $i(D)$ is an input sequence. Typically, $b(D)$ is an all zero FIR filter, and $a(D)$ is an all pole filter. Thus, $g(D)$ is typically an all zero filter.

20 FIG. 2A, numeral 200, further illustrates a block diagram of an exemplary embodiment of the precoding unit (102). In the exemplary embodiment, the precoding unit (102) utilizes one simple feedback system (for a modulo unit (206) having a transfer function mod) that utilizes a $b(D)-1$ transfer function
 25 unit (202), and one combined system comprising $i(D)$ summed at a second summer (210) with the modulo unit (206) output, then implemented with a $g(D)-1$ transfer function unit (208). Upon input of an initial symbol sequence, $i(D)$, the initial symbol sequence is input to a first summer (204) and is fed
 30 forward to the second summer (210). The first summer (204) sums $i(D)$, an output from the simple feedback determination unit (for feedback from the modulo unit) wherein the transfer function $b(D)-1$ was utilized (202), and an output from the combined system that implemented a $g(D)-1$ transfer function

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unit (208). An output of the first summer (204) is input into the modulo unit (206), feedback is as described above, and $x(D)$ is the output of the modulo unit (206).

FIG. 2B, numeral 225, further illustrates a block diagram of an exemplary embodiment of the spectral shaping unit (104). The precoding unit output sequence $x(D)$ is passed through a symbol-rate spectral shaping filter (212) with response $a(D)$ and is multiplied (214) by a first scaling factor, $1/\sqrt{A}$ (216) to generate transmit sequence $x'(D)$, where $A = \sum |a_k|^2$ is defined as a power enhancement in the spectral shaping filter (212), where a_k is a coefficient of the D transform $a(D)$ in the expression $h(D) = a(D)b(D)$. This scaling ensures that energy of $x'(D)$ is equal to energy of $x(D)$, thus complying with a transmit power limit constraint typical in a data transmission system. Determination of A is described more particularly below.

In one embodiment, wherein a discrete equivalent channel is utilized for the symbol-rate transmitter processing unit (101) and the symbol-rate processing unit (103), the transmission preparation unit (106) typically performs transmit filtering, digital to analog conversion filtering, and the like. As noted above, a non-discrete equivalent channel implementation may be utilized for the equalizing unit (110), the transmission preparation unit (106) and the channel unit (108).

Thus, as set forth in FIG. 2C, numeral 250, a block diagram illustrating an exemplary embodiment of the noise prediction unit, $x'(D)$ is the input to the noise prediction unit (112) such that a noise prediction filter (218) having function $b(D)$ provides an output that is multiplied by a scaling factor (222), $\sqrt{A}$, at a symbol-rate, to provide an output sequence. The output sequence is $i(D) - c(D)$, and is decoded as is known. $b(D)$ is selected to minimize noise power as seen at the input to a decoder, while $a(D)$ is typically utilized to apply desired spectral shaping to a transmit sequence $x'(D)$, or alternatively,

as a pre-emphasis filter in linear equalization. Inclusion of an inverse of $a(D)$ and $b(D)$ in the precoding unit (102) operation ensures that the output sequence is $y(D) = i(D) - c(D)$, and hence that $i(D)$ is recoverable. It is clear that $i(d)$ may be encoded or
5 unencoded sequences.

Where the predetermined equivalent channel response is selected to be substantially one, and the spectral shaping filtering function is selected to be substantially an inverse of the noise prediction filtering function, an output sequence
10 having suboptimal linear equalization with pre-emphasis shaping is achieved. Further, in the preceding case, where the noise prediction filtering function is also a first order function, substantially $b(D) = 1 + b_1z^{-1}$, $a(D)$ can be formulated to obtain a closed form expression for filter
15 coefficients.

Where the predetermined equivalent channel response is selected to be substantially equivalent to the noise prediction filtering function and the spectral shaping filtering function is selected to be substantially one, general precoding without
20 spectral shaping is obtained.

Where the predetermined equivalent channel response is selected to be substantially a product of the spectral shaping filtering function and the noise prediction filtering function, and the spectral shaping filtering function is a selected
25 shaping response, an output sequence having combined precoding with spectral shaping is obtained.

Where the spectral shaping filtering function and the noise prediction filtering function substantially equal one, the system reduces to a conventional PAM or QAM transmission,
30 another case of suboptimal linear equalization.

FIG. 5, numeral 500, illustrates an exemplary embodiment of an inverse syndrome former unit (510) of a device in accordance with the present invention. This exemplary embodiment utilizes a first summer (502) to add

input information shaping bit(s) to a sum of two immediately preceding successive input information shaping bit(s) (504, 506) obtained utilizing a second summer (508). Typically the summer is implemented with an exclusive OR.

5 FIG. 6, numeral 600, illustrates an exemplary embodiment of a Tomlinson precoding unit (608) of a device with precoding in accordance with the present invention.

Again, the transmitted sequence, $x(D)$, is substantially:

10 $x(D) = i(D) - x(D)[b(D)-1] + [i(D)-x(D)][g(D)-1] - c(D)$, where $x(D)[b(D)-1]$ corresponds to a feedback term and $[i(D)-x(D)][g(D)-1]$ corresponds to a new "modified coupled feedforward feedback" term since it involves both feedforward symbol $i(D)$ and the feedback symbol $x(D)$ in the filtering process $g(D)-1$. $b(D)$ is typically of a form $1 + b_1D + b_2D^2 + \dots + b_{K1}D^{K1}$ and $g(D)$ is typically of a form $1 + g_1D + g_2D^2 + \dots + b_{K2}D^{K2}$, where $K1$ is a highest order of coefficients for the feedback filter (606) and $K2$ is a highest order of coefficients for the feedforward/feedback filter (610). Previously encoded symbols x_{n-k} , $k=1, 2, 3, \dots, K$, are passed through a feedback filter (606) providing a feedback signal $f_n = \sum_{1 \leq k \leq K1} x_{n-k} b_k$, where b_k corresponds to the

coefficients of the D-transform $b(D)$, typically with b_0 normalized to unity without loss of generality. When $g(D) \neq 1$, then a feedforward/feedback term of substantially a form

25 $q_n = \sum_{1 \leq k \leq K2} [i_{n-k} - x_{n-k}] g_k$ is required, with g_k corresponding

to the coefficients of the D-transform $g(D)$, again typically with g_0 normalized to unity without loss of generality. The precoder combiner (602) subtracts f_n and adds q_n to i_n to form $p_n = i_n - f_n + q_n$. In the case of Tomlinson precoding the modulo determiner (604) provides at its output $x_n = p_n - c_n$ where c_n is a symbol from lattice RZ^2 that is closest (in Euclidean distance) to p_n , and so forth. In the case of trellis precoding, a Viterbi algorithm is typically utilized. A

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precoder combiner (602), typically an adder, subtracts the feedback signal f_n from the input symbol i_n and adds the signal q_n to form $p_n = i_n - f_n + q_n$. A modulo determiner (604) provides encoded symbols relative to a 2D lattice $\Lambda = RZ^2$ configured such that, for a p_n input to the modulo determiner (604), an output is substantially

5 $x_n = i_n - f_n + q_n - c_n = p_n - c_n$, where c_n is a symbol from $\Lambda = RZ^2$ that is closest (in Euclidean distance) to p_n , minimizing an instantaneous energy $|x_n|^2$ of the precoded symbol without

10 delay. A feedforward feedback filter (610) is utilized where $g(D) \neq 1$, the previously encoded symbols x_{n-k} being fed back into the $g(D)-1$ block as further described for FIG. 2A. a second combiner (612) is utilized to subtract modulo determiner (604) output from input i_n and provide input to the

15 feedforward feedback filter (610). The modulo determiner (604) substantially reduces precoded symbols to a 45° rotated square region (shaded)(702), illustrated in FIG. 7, numeral 700, (where a larger square (704) is a boundary in the case of shaping) to reduce signal peaks, wherein a normalized average

20 energy of the precoded symbol has substantially the same energy as that of a 128-point quadrature amplitude modulated (QAM) signal constellation with a square boundary (702). Trellis coding is a method of increasing distances between symbols of a signal constellation such that symbols likely to

25 be confused are separated by maximized distances, while substantially not increasing average power. Shaping, a method of reducing the energy of coded symbols, may be utilized to provide shaping gain such that more noise can be handled with a same transmit power.

30 FIG. 8A, numeral 800, illustrates an exemplary embodiment of a trellis precoding unit in accordance with the present invention. The trellis precoding unit is configured to utilize a modulo determiner(604) on a sequence basis with respect to a trellis code T to determine $x_n = p_n - c_n$, c_n being a

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sequence in C such that the precoded symbols x_n have a small average energy. (Obtaining the sequence c_n necessarily invokes some delay.) For example, about 0.7-0.9 decibels of shaping gain may be obtained with a simple 4-state 2D

5 Ungerboeck code. Shaping gain depends on the response of the feedback (prediction) filter $h(D)$, but only slightly. Required delay in this example is 6-10 symbols. The symbols of the trellis code T lie on an integer lattice Z^2 , the symbols

10 belonging to one of 4 subsets that are represented by a two bit subset label b_n . The exemplary trellis code T consists of all sequences whose subset labels $\{b_n\}$ belong to a 4-state rate-1/2 convolutional code C whose trellis diagram is set forth in FIG 8B, numeral 850.

In trellis precoding the modulo determination is

15 implemented using a Viterbi algorithm (VA), for example in a 4-state Viterbi decoding unit (802), wherein inputs to the VA are encoded symbols, and outputs are precoded symbols x_n . The VA searches for a code sequence $\{c_n\}$ from C such that an average energy of $x_n = p_n - c_n$ is minimized. At any given

20 time, the VA has in storage four path histories (candidate paths) $\{x_k(i)\}$, $i=0,1,2,3$, with $k < n$, where each path is associated with a different state of the convolutional code. The VA also has in storage, as path metrics, a total energy (E) of each path, accumulated up to time n:

$$25 \quad E(i) = \sum_{k < n} |x_k(i)|^2 .$$

When a new encoded symbol i_n arrives, the VA extends each candidate path into two possible directions according to the trellis diagram being implemented (the trellis diagram set forth above for the exemplary embodiment) and increments

30 each path metric.

Specifically, for a branch (i->j) from state i to state j, a path metric is incremented according to:

$$E(i \rightarrow j) = E(i) +$$

$$|i_n - \sum_{1 \leq k \leq K1} x_{n-k(i)} b_k + \sum_{1 \leq k \leq K2} [i_{n-k(i)} - x_{n-k(i)}] g_k - c_n(i \rightarrow j)|^2$$

where $x_{n-k(i)}$ denotes the transmit symbol, $i_{n-k(i)}$ denotes the initial symbol, and $c_n(i \rightarrow j)$ is a symbol in a subset associated with a branch $(i \rightarrow j)$ that minimizes a value of

- 5 $E(i \rightarrow j)$, the VA retaining only a path that has a smallest path metric, and updating path history accordingly. For example, if for new state j the path that comes from old state i has a smallest metric, then the new path history of state j will be the old path history of state i , with a new symbol

$$10 \quad |i_n - \sum_{1 \leq k \leq K1} x_{n-k(i)} b_k + \sum_{1 \leq k \leq K2} [i_{n-k(i)} - x_{n-k(i)}] g_k - c_n(i \rightarrow j)|$$

appended.

After completion of the above steps, the VA determines a state j that has a smallest total energy and releases an oldest symbol $x_{n-Y}(j)$ from its path history as a precoded symbol,

- 15 where Y is delay. To ensure that an ultimately selected sequence $\{c_n\}$ is a legitimate sequence from trellis code T , the VA assigns very large path metrics to all paths that are not a continuation of the most recently released symbol.

- As illustrated in FIG. 8A, numeral 800, in the exemplary
 20 embodiment, a trellis precoding unit utilizing the VA (802) effectively has one Tomlinson precoder (804, 806, 808; 810, 812, 814; 816, 818, 820; 822, 824, 826) for each state of the trellis code that work in parallel, each using feedback from its own path history. Where the delay in the VA of the 4 state
 25 Viterbi decoding unit (828) is zero, the trellis precoding unit has a complexity and performance of a Tomlinson precoding unit, operating on a symbol by symbol basis yielding precoded symbols within a square boundary of side square root of two and with essentially a uniform probability density so that for
 30 every baud only one precoding filter is necessary. Where the delay is non-zero, shaping gain is obtained, and precoded symbols will have a square boundary of length two and a probability density resembling a truncated Gaussian density.

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The precoded, shaped symbols are typically passed through a transmission preparation unit (106), where desired, typically simply a pulse-shaping filter unit appended to a digital-to-analog converter unit and an analog filter unit, operably connected to the precoding unit, configured to generate shaped signal samples. The present invention may be implemented without utilizing a transmission preparation unit in selected applications.

The receiver typically includes at least a linear equalizer and a symbol-rate processing unit (103). Output r_n of the receiver filtering unit typically has a form:

$$r_n = i_n - c_n + w_n = s_n - (t_n, 0, 0) - c_n + w_n = y_n + w_n$$

where w_n is a distortion sequence, c_n is a code sequence from a shaping trellis code, and $y_n = s_n - (t_n, 0, 0) - c_n$ is

substantially a noise-free desired signal and is a valid code sequence from the Wei code. Thus, the decoding unit operates as usual to find an estimate y_n' .

FIG. 9 illustrates an embodiment of a receiver of a device with precoding in accordance with the present invention. The receiver typically includes at least: an equalizing unit (110) and a symbol-rate processing unit (103). The symbol-rate processing unit (103) typically includes: a noise prediction unit (112) and a decision unit (114). The noise prediction unit (112) typically operates at the symbol-rate. The decision unit (114) typically includes at least: a receiver Viterbi decoding unit (VA)(not shown), operably coupled to the equalizing unit (112), for decoding received equalized signals; an information shaping bit determiner (not shown), operably coupled to the Viterbi decoding unit, for determining an estimated information shaping bit sequence; a binary decoding unit (not shown), operably coupled to the receiver Viterbi decoding unit, for substantially determining an estimated information data input symbol sequence for received information symbols; and an information determiner

20

(not shown), operably coupled to the information shaping bit determiner and to the binary decoding unit, for substantially determining estimated desired, substantially distortion free, information data. The information shaping bit determiner
5 substantially determines an information shaping bit sequence of a received signal. Where desired, a syndrome former unit (not shown) operably coupled to the information shaping bit determiner is utilized for providing an estimated information shaping bit sequence. The estimated desired, substantially
10 distortion free, information signal is substantially determined in the information determiner from the estimated information shaping bit sequence $\{i_n\}$ and estimated input symbol sequence $\{s_n\}$. The syndrome former unit (1101) is more fully described below, with reference to FIG. 11. The noise
15 prediction unit (112) typically comprises at least one noise filter unit (1206), as described more fully below with reference to FIG. 12.

The receiver Viterbi decoding unit (902) typically 'folds' a signal r_n into a square boundary of a signal constellation to
20 form r_n' , decodes the folded point utilizing the VA, and operates to determine, with a predetermined decoding delay, a most likely symbol y_n' from the signal constellation.

For example, where the signal constellation is a 256 point signal constellation S' , FIG. 10, numeral 1000, r_n is
25 'folded' into the square boundary of S' by reducing its coordinates to an interval $[-1.0, 1.0]$ modulo 2 to obtain a folded point, and is decoded according to the VA to obtain y_n' from S' . As shown in the exemplary signal constellation in FIG. 10, where S' is partitioned into four 64-point
30 subconstellations, S_{00} , S_{01} , S_{11} and S_{10} , in quadrants 1 through 4, respectively, each subconstellation is labelled by two shaping bits. Shaping affects only a shaping bit of the encoded symbol in two's complement representation.

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For example, where the symbol is correctly estimated, s_n is recovered by folding y_n' into S_{00} by extracting the information shaping bits from the output of the receiver Viterbi decoding unit (902). To recover the information

5 shaping bits i_n , the extracted information shaping bits z_n' of the estimate y_n' are passed through the syndrome former (910), where desired (typically where a precoder introduced shaping gain), to the information determiner (912) that

10 substantially determines the estimated desired, substantially distortion free, information signal from the estimated information shaping bit sequence $\{i_n\}$ and the estimated input symbol sequence sequence $\{s_n\}$.

FIG. 11 illustrates an exemplary embodiment of a syndrome former unit (1101) of a device with precoding in

15 accordance with the present invention. Defining $z_n = [z_{n,0}, z_{n,1}]$ as a two-bit label of a subconstellation where an estimated single point lies, it is clear that $z_n = t_n \oplus b_n$, where $\{b_n\}$ is a sequence from the convolution code C and $t_n = (t_{n,0}, 0)$ for an inverse syndrome former output $t_{n,0}$.

20 A primary first delay unit is operably connected to the information shaping bit determiner (914) output having a primary bit label output, $z_{n,0}$, and to a primary second delay unit (1108). A third summer (1102), operably coupled to the information shaping bit determiner output (914) having the

25 primary bit label output and to the primary first delay unit (1106), sums the received $z_{n,0}$ and a first delayed $z_{n-1,0}$ to provide a first sum. A fourth summer (1104), operably coupled to the third summer (1102) and to the primary second delay unit (1108), sums the first sum and a second delayed $z_{n-1,0}$ to

30 provide a second sum. A secondary first delay unit is operably coupled to the information shaping bit determiner (914) output having a secondary bit label output, $z_{n,1}$, and to a secondary second delay unit (1112). A fifth summer (1114), operably coupled to the information shaping bit determiner output

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having the secondary bit label output and to the secondary second delay unit (1112) sums the received $z_{n-1,1}$ and a second delayed $z_{n-2,1}$ to provide a third sum. A sixth summer (1116), operably coupled to the fourth summer (1104) and to the fifth summer (1114), sums the second sum and the third sum to provide an estimated information shaping bit sequence, i_n . In a preferred embodiment summer operations are typically exclusive OR operations.

In another embodiment at least one of: the precoding unit; the spectral shaping unit; the transmission preparation unit; the equalizing unit; and the symbol-rate processing unit; may be implemented utilizing a computer program storage medium having a computer program to be executed by a digital computer stored thereon, the computer program comprising at least one of:

first unit for converting information into a selected number of bits to provide coded symbols and the information shaping bit inserting unit at least provides modified, where desired, information shaping bit(s);

second unit for utilizing the modified, encoded symbols to generate precoded, modified, encoded symbols, termed a first symbol;

third unit for substantially spectrally shaping the first symbol to obtain substantially a shaped symbol and for transmitting the shaped symbol, where desired;

fourth unit for receiving information symbols, for at least utilizing an equalizing unit to generate filtered, received information symbols;

fifth unit for utilizing a symbol-rate processing unit to obtain selectably filtered, received noise predicted information symbols;

eighth unit for determining substantially the estimated information data input symbol sequence for the received information symbols; and a

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ninth unit for at least one of:

obtaining information shaping bits of the
information input sequence; and

substantially obtaining estimated information
5 shaping bits of information input.

In another embodiment at least one of: the precoding
unit; the spectral shaping unit; the transmission preparation
unit; the equalizing unit; and the symbol-rate processing unit;
may be implemented utilizing at least a first digital signal

10 processor configured to provide at least one of:

first unit for converting information into a selected
number of bits to provide coded symbols and the information
shaping bit inserting unit at least provides modified, where
desired, information shaping bit(s);

15 second unit for utilizing the modified, encoded symbols
to generate precoded, modified, encoded symbols, termed a
first symbol;

third unit for substantially spectrally shaping the first
symbol to obtain substantially a shaped symbol and for
20 transmitting the shaped symbol, where desired;

fourth unit for receiving information symbols, for at
least utilizing an equalizing unit to generate filtered, received
information symbols;

fifth unit for utilizing a symbol-rate processing unit to
25 obtain selectably filtered, received noise predicted
information symbols;

eighth unit for determining substantially the estimated
information data input symbol sequence for the received
information symbols; and a

30 ninth unit for at least one of:

obtaining information shaping bits of the
information input sequence; and

substantially obtaining estimated information
shaping bits of information input.

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FIG. 12, numeral 1200, sets forth a system model utilized to illustrate determination of an optimal spectral shaping function of the present invention, the spectral shaping function being utilized for transmission. Where input symbol sequence $\{x_k\}$ represents information to be transmitted, $\{w_k\}$ represents a symbol sequence for a white noise process, $H(z)$ represents a transfer function of a receiver symbol rate filter unit (1208), $H^{-1}(z)$ represents an inverse of the transfer function $H(z)$ of an inverse filter unit (1202), $G(z)$ represents a transfer function of a noise filter unit (1206) of the noise prediction unit (112), and the noise filter unit output is summed (1204) with the inverse filter unit output, an output $\{y_k\}$ of the receiver symbol rate filter unit is composed of $\{x_k\}$, a symbol sequence, and $\{n_k\}$, a noise sequence. Clearly, the symbol sequence is not altered, and $\{x_k\} = \{x_k\}$. $H(z)$ is designed such that $E[n_k^2]$ is minimized, where, S_{nn} being a noise-power spectrum, also known as a power spectral density,

$$E = E[n_k^2] = \frac{1}{2\pi} \int_{-\pi}^{\pi} S_{nn}(e^{j\omega}) |G(e^{j\omega})|^2 |H(e^{j\omega})|^2 d\omega ,$$

and is subject to a constraint that limits power/energy:

$$\theta(e^{j\omega}) = \frac{1}{2\pi} \int_{-\pi}^{\pi} \frac{d\omega}{|H(e^{j\omega})|^2} - C = 0.$$

Applying a classical Lagrangian method, substantially minimizing

$$V = \frac{1}{2\pi} \int_{-\pi}^{\pi} S_{nn}(e^{j\omega}) |G(e^{j\omega})|^2 |H(e^{j\omega})|^2 d\omega + \frac{\lambda}{|H(e^{j\omega})|^2} d\omega ,$$

25

$\frac{dV}{d\delta}$ is determined. One solution for $\frac{dV}{d\delta} = 0$ for $\delta=0$ is

$$S_{nn}(e^{jw})|G(e^{jw})|^2 = \frac{\lambda}{|H(e^{jw})|^4},$$

which yields

$$|H(e^{jw})| = \frac{\lambda^4}{[S_{nn}(e^{jw})]^{1/4}} \frac{1}{(|G(e^{jw})|)^{1/2}}.$$

5

Thus, the optimal $|H(e^{jw})|$ to be utilized, $|H_{op}(e^{jw})|$, in the receiver assumes a spectral shape of a square root response of the inverse of a noise shape $|G(e^{jw})|$ scaled by a constant. Deriving λ by imposing the above constraint, and
 10 supposing $S_{nn}(e^{jw})$, a noise prediction filter function, is a constant of $N_0/2$,
 for

$$B = \frac{1}{2\pi} \int_{-\pi}^{\pi} |G(w)| dw \quad \text{and} \quad E_T = C = \frac{1}{2\pi} \int_{-\pi}^{\pi} \frac{dw}{|H_{op}(e^{jw})|^2},$$

15 then $\lambda = \frac{N_0}{2} \left(\frac{B}{E_T} \right)^2.$

Normalizing, $E_T = 1$, and

$$|H_{op}(e^{jw})| = \frac{1}{(2\pi)^{1/2}} \frac{\int_{-\pi}^{\pi} |G(e^{jw})| dw}{[|G(e^{jw})|]^{1/2}}.$$

20

For practical application, most lines may be modelled by a single pole model of a form $A(z) = 1/[1 + A(z)^{-1}]$. Thus, utilizing $A(z)$ for optimization and limiting $B(z)$ to a first order form of $1 + b_1 z^{-1}$, it is clear that optimal $b_{op}(z)$ depends

only on the magnitude of the noise pole g , and an optimal noise prediction pole, b_{op} , is substantially:

$$5 \quad b_{op} = \left[\frac{1 - \sqrt{1 - r^2}}{r^2} \right] g, \text{ where } r \text{ denotes a magnitude of } g.$$

This solution retains a same angular orientation as the unconstrained solution. Thus, for a first order prediction model, the noise model is essentially unconstrained.

10 Additionally, for first order systems, by training noise predictive coefficients first, then optimizing utilizing a magnitude of $\frac{1 - \sqrt{1 - r^2}}{r^2}$ as an optimal coefficient for a first

order noise filter function, an optimal transmission spectral shaping is obtained. It is clear that an order of the noise prediction filtering function is selectable, for example, said
15 function may be selected to be a second order function, substantially $b(D) = 1 + b_1 z^{-1} + b_2 z^{-2}$.

FIG. 13, numeral 1300, illustrates the steps of one embodiment of the method of the present invention, providing for a substantially precoded symbol-rate transmitter spectral
20 shaping of signals representative of digital information, the digital information being represented by at least an initial symbol sequence, comprising at least one of the sets of steps of: (A) precoding, where desired, the at least initial symbol sequence utilizing a predetermined equivalent channel response (1302); utilizing a spectral shaping filtering function
25 and a first scaling factor to provide a spectrally shaped sequence (1304); providing at least one of: preselected filtering and preselected equalization, to obtain a spectrally shaped transmission sequence for transmission, where desired
30 (1306); and (B) utilizing an equalization unit (1308) and determining a noise prediction filtering function such that the noise prediction filtering function and a second scaling factor

are utilized to provide at least a first symbol sequence for a symbol-rate spectrally shaped signal (1310).

As more particularly set forth above for the device of the present invention, selected embodiments may be utilized in the method of the invention: the predetermined equivalent channel response may be selected to be substantially a product of the noise prediction filtering function and the spectral shaping filtering function; the predetermined equivalent channel response may be selected to be substantially one and the spectral shaping filtering function to be substantially an inverse of the noise prediction filtering function; the noise prediction filtering function may be further selected to be a first order function, substantially $b(D) = 1 + b_1z^{-1}$; the noise prediction filtering function may be further selected to be a second order function, substantially $b(D) = 1 + b_1z^{-1} + b_2z^{-2}$; the predetermined equivalent channel response may be selected to be substantially equivalent to the noise prediction filtering function and the spectral shaping filtering function to be substantially one; and the predetermined equivalent channel response may be selected to be substantially a product of the spectral shaping filtering function and the noise prediction filtering function and the spectral shaping filtering function to be a selected shaping response.

Although exemplary embodiments of the device and method of the present invention are set forth above, it will be obvious to those skilled in the art that many alterations and modifications may be made without departing from the invention. Accordingly, it is intended that all such alterations and modifications be included within the spirit and scope of the invention as defined in the appended claims.

Clearly, the present invention may be utilized in data communication equipment, particularly modems, to provide a variety of operational modes relative to equalization method and transmitter spectral shaping desired, ranging from

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generalized (also trellis) precoding with and without spectral shaping to optimal linear equalization and suboptimal linear equalization with spectral shaping.

5

Claims:

1. A device for providing at least a substantially symbol-rate transmitter spectral shaping of signals representative of digital information, the digital information being represented by at least an initial symbol sequence, comprising at least one of:
- modulation means for at least modulating information;
and
demodulation means for at least demodulating information;
wherein:
the modulation means comprises at least:
a precoding means, where desired, operably coupled to the digital information input, for substantially precoding the at least initial symbol sequence utilizing a predetermined equivalent channel response;
a spectral shaping means, operably coupled to one of: the digital information input and the precoding means, for substantially utilizing a spectral shaping filtering function and a first scaling factor to provide a spectrally shaped sequence, the spectral filtering function also being provided, where desired, to the precoding means; and
a transmission preparation means, where desired, operably coupled to the spectral shaping means, for providing at least one of: preselected filtering and preselected equalization, to obtain a spectrally shaped transmission sequence for transmission on a selected channel of a channel means;
and the demodulation means comprises at least:
an equalizing means, where desired, operably coupled to the channel means, for receiving and equalizing one of the spectrally shaped sequence and the spectrally shaped transmission sequence; and

a symbol-rate processing means, operably coupled to one of the equalizing means and the channel means, for receiving one of the spectrally shaped sequence and the spectrally shaped transmission sequence, equalized where
5 desired, substantially determining a noise prediction filtering function, and utilizing that noise prediction filtering function and at least a second scaling factor to provide at least a first symbol sequence for a symbol-rate spectrally shaped signal, the noise prediction filtering function also being provided,
10 where desired, to the precoding means.

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2. The device of claim 1, wherein the predetermined equivalent channel response is substantially a product of the noise prediction filtering function and the spectral shaping filtering function.

5 3. The device of claim 2, wherein at least one of (3A)-(3C):

(3A) for a noise-power spectrum/power spectral density $S_{nn}(e^{j\omega})$, the noise prediction filtering function is implemented by at least a noise prediction filter having an optimal transfer function substantially of a form:

$$10 \quad |H_{op}(e^{j\omega})| = \frac{1}{(2\pi)^{1/2}} \frac{\int_{-\pi}^{\pi} |G(e^{j\omega})| d\omega}{[|G(e^{j\omega})|]^{1/2}}, \text{ where } |G(e^{j\omega})|$$

comprises a noise spectral shape, and an inverse

$H_{op}^{-1}(e^{j\omega})$ is utilized substantially as a transfer function for the spectral shaping filtering function, such that, where selected, the noise prediction filter is a single tap filter
15 having a first order noise prediction filtering function of a form $b(D) = 1 + b_1 z^{-1}$ having an optimal noise prediction pole

$b_1 = b_{op}$ that is substantially equal to $\left[\frac{1 - \sqrt{1 - r^2}}{r^2} \right] g$, where r denotes a magnitude of a noise pole g ,

(3B) the spectral shaping filtering function is a
20 selected shaping response and the noise prediction filtering function is a first order function, substantially a transfer function of a form $b(D) = 1 + b_1 z^{-1}$, wherein b_1 is a noise prediction pole, and

(3C) the spectral shaping filtering function is a
25 selected shaping response and the noise prediction filtering function is a second order function, substantially a transfer function of a form $b(D) = 1 + b_1 z^{-1} + b_2 z^{-2}$ wherein b_1 and b_2 are selected coefficients.

30 4. The device of claim 1, wherein at least one of (4A)-(4D):

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(4A) the predetermined equivalent channel response is substantially one, and the spectral shaping filtering function is substantially an inverse of the noise prediction filtering function,

5 (4B) the predetermined equivalent channel response is substantially equivalent to the noise prediction filtering function, and the spectral shaping filtering function is substantially one,

10 (4C) the equalizing means comprises substantially a linear equalizer, and

15 (4D) the symbol-rate processing means includes at least a noise prediction means and a decision unit, such that, where selected, the noise prediction means comprises at least a noise prediction filter and a second scaling unit that utilizes a scaling factor of $A^{1/2}$.

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5. A device in a modem for providing at least a substantially symbol-rate transmitter spectral shaping of signals representative of digital information, the digital information being represented by at least an initial symbol sequence, comprising at least:
- 5 modulation means for at least modulating information; and
- demodulation means for at least demodulating information;
- 10 wherein:
- the modulation means comprises at least:
- a precoding means, where desired, operably coupled to the digital information input, for substantially precoding the at least initial symbol sequence utilizing a predetermined
- 15 equivalent channel response;
- a spectral shaping means, operably coupled to one of: the digital information input and the precoding means, for substantially utilizing a spectral shaping filtering function and a first scaling factor to provide a spectrally shaped
- 20 sequence, the spectral filtering function also being provided, where desired, to the precoding means; and
- a transmission preparation means, where desired, operably coupled to the spectral shaping means, for providing at least one of: preselected filtering and preselected
- 25 equalization, to obtain a spectrally shaped transmission sequence for transmission on a selected channel of a channel means;
- and the demodulation means comprises at least:
- an equalizing means, where desired, operably
- 30 coupled to the channel means, for receiving and equalizing one of the spectrally shaped sequence and the spectrally shaped transmission sequence; and
- a symbol-rate processing means, operably coupled to one of the equalizing means and the channel means, for

receiving one of the spectrally shaped sequence and the spectrally shaped transmission sequence, equalized where desired, substantially determining a noise prediction filtering function, and utilizing that noise prediction filtering function and at least a second scaling factor to provide at least a first
5 symbol sequence for a symbol-rate spectrally shaped signal, the noise prediction filtering function also being provided, where desired, to the precoding means.

6. The device of claim 5, wherein the predetermined equivalent channel response is substantially a product of the noise prediction filtering function and the spectral shaping filtering function wherein, where selected, at least one of

5 (6A)-(6D):

(6A) for a noise-power spectrum/power spectral density $S_{nn}(e^{j\omega})$, the noise prediction filtering function is implemented by at least a noise prediction filter having an optimal transfer function substantially of a form:

$$10 \quad |H_{op}(e^{j\omega})| = \frac{1}{(2\pi)^{1/2}} \frac{\int_{-\pi}^{\pi} |G(e^{j\omega})| d\omega}{[|G(e^{j\omega})|]^{1/2}}, \text{ where } |G(e^{j\omega})|$$

comprises a noise spectral shape, and an inverse

$H_{op}^{-1}(e^{j\omega})$ is utilized substantially as a transfer function for the spectral shaping filtering function such that, where selected, the noise prediction filter is a single tap filter
 15 having a first order noise prediction filtering function of a form $b(D) = 1 + b_1 z^{-1}$ having an optimal noise prediction pole

$b_1 = b_{op}$ that is substantially equal to $\left[\frac{1 - \sqrt{1 - r^2}}{r^2} \right] g$, where r denotes a magnitude of a noise pole g ,

(6B) the spectral shaping filtering function is a
 20 selected shaping response and the noise prediction filtering function is a first order function, substantially a transfer function of a form $b(D) = 1 + b_1 z^{-1}$, wherein b_1 is a noise prediction pole,

(6C) the spectral shaping filtering function is a
 25 selected shaping response and the noise prediction filtering function is a second order function, substantially a transfer function of a form $b(D) = 1 + b_1 z^{-1} + b_2 z^{-2}$ wherein b_1 and b_2 are selected coefficients, and

(6D) the spectral shaping filtering function is a
 30 selected shaping response and the noise prediction filtering

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function is a second order function, substantially of a form
 $b(D) = 1 + b_1 z^{-1} + b_2 z^{-2}$.

7. The device of claim 5, wherein at least one of (7A)-(7I):

5 (7A) the predetermined equivalent channel response is substantially one, and the spectral shaping filtering function is substantially an inverse of the noise prediction filtering function,

10 (7B) the predetermined equivalent channel response is substantially equivalent to the noise prediction filtering function, and the spectral shaping filtering function is substantially one,

(7C) the equalizing means comprises substantially a linear equalizer,

15 (7D) the symbol rate processing means includes at least a noise prediction filtering means and a decision unit such that, where selected, the noise prediction filtering means comprises at least a noise prediction filter and a second scaling unit that utilizes a scaling factor of $A^{1/2}$,

20 (7E) further including that, for a first order system, an optimal noise prediction coefficient of the noise prediction

filtering means is substantially $\frac{1 - \sqrt{1 - r^2}}{r^2}$, where r is

substantially a magnitude of a noise pole g , and

$b_{op} = \left[\frac{1 - \sqrt{1 - r^2}}{r^2} \right] g$, where $b_1 = b_{op}$ is an optimal prediction

25 pole,

(7F) the predetermined equivalent channel response is substantially one, and the spectral shaping filtering function is substantially an inverse of the noise prediction filtering function,

30 (7G) the predetermined equivalent channel response is substantially equivalent to the noise prediction filtering

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function, and the spectral shaping filtering function is substantially one,

(7H) wherein at least part of one of:

- the precoding means;
- 5 the spectral shaping means;
- the transmission preparation means;
- the equalizing means; and
- the symbol-rate processing means,

is implemented utilizing a computer program storage
10 medium having a computer program to be executed by a digital computer stored thereon, the computer program comprising at least one of:

- first unit for converting information into a selected number of bits to provide coded symbols and the
15 information shaping bit inserting unit at least provides modified, where desired, information shaping bit(s);
- second unit for utilizing the modified, encoded symbols to generate precoded, modified, encoded symbols, termed a first symbol;
- 20 third unit for substantially spectrally shaping the first symbol to obtain substantially a shaped symbol and for transmitting the shaped symbol, where desired;
- fourth unit for receiving information symbols, for at least utilizing an equalizing unit to generate equalized
25 filtered, received information symbols;
- fifth unit for utilizing a symbol-rate processing unit to obtain selectably filtered, received noise predicted information symbols;
- eighth unit for determining substantially the
30 estimated information data input symbol sequence for the received information symbols; and a
- ninth unit for at least one of:
 - obtaining information shaping bits of the information input sequence; and

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substantially obtaining estimated
information shaping bits of information input, and

(71) wherein at least part of one of:

the precoding means;

5 the spectral shaping means;

the transmission preparation means;

the equalizing means; and

the symbol-rate processing means,

is implemented utilizing at least a first digital signal
10 processor configured to provide at least one of:

first unit for converting information into a
selected number of bits to provide coded symbols and the
information shaping bit inserting unit at least provides
modified, where desired, information shaping bit(s);

15 second unit for utilizing the modified, encoded
symbols to generate precoded, modified, encoded symbols,
termed a first symbol;

third unit for substantially spectrally shaping the
first symbol to obtain substantially a shaped symbol and for
20 transmitting the shaped symbol, where desired;

fourth unit for receiving information symbols, for
at least utilizing an equalizing unit to generate equalized
filtered, received information symbols;

25 fifth unit for utilizing a symbol-rate processing
unit to obtain selectably filtered, received noise predicted
information symbols;

eighth unit for determining substantially the
estimated information data input symbol sequence for the
received information symbols; and a

30 ninth unit for at least one of:

obtaining information shaping bits of the
information input sequence; and

substantially obtaining estimated
information shaping bits of information input.

8. A method for providing at least a substantially symbol-rate transmitter spectral shaping of signals representative of digital information, the digital information being represented by at least an initial symbol sequence, comprising at least one
- 5 of the sets of steps (8A) and (8B):
- (8A) precoding, where desired, the at least initial symbol sequence utilizing a predetermined equivalent channel response;
- utilizing a spectral shaping filtering function and a
- 10 first scaling factor to provide a spectrally shaped sequence;
- providing at least one of: preselected filtering and preselected equalization, to obtain a spectrally shaped transmission sequence for transmission, where desired; and
- (8B) utilizing an equalization unit; and
- 15 substantially determining a noise prediction filtering function such that the noise prediction filtering function and a second scaling factor are utilized to provide at least a first symbol sequence for a symbol-rate spectrally shaped signal, the noise prediction filtering function also
- 20 being provided, where desired, to the unit for precoding.

40

9. The method of claim 8, wherein, in the step of precoding, the predetermined equivalent channel response is substantially a product of the noise prediction filtering function and the spectral shaping filtering function.

5

10. The method of claim 9 wherein at least one of (10A)-(10F):

(10A) for a noise-power spectrum/power spectral density $S_{nn}(e^{j\omega})$, the noise prediction filtering function is implemented by at least a noise prediction filter having an optimal transfer function substantially of a form:

$$|H_{op}(e^{j\omega})| = \frac{1}{(2\pi)^{1/2}} \frac{\int_{-\pi}^{\pi} |G(e^{j\omega})| d\omega}{[|G(e^{j\omega})|]^{1/2}}, \text{ where } |G(e^{j\omega})|$$

comprises a noise spectral shape, and an inverse

$H_{op}^{-1}(e^{j\omega})$ is utilized substantially as a transfer function for the spectral shaping filtering function such that, where selected, the noise prediction filter is a single tap filter having a first order noise prediction filtering function of a form $b(D) = 1 + b_1 z^{-1}$ having an optimal noise prediction pole

$b_1 = b_{op}$ that is substantially equal to $\left[\frac{1 - \sqrt{1 - r^2}}{r^2} \right] g$, where r

20 denotes a magnitude of a noise pole g ,

(10B) the spectral shaping filtering function is a selected shaping response and the noise prediction filtering function is a first order function, substantially a transfer function of a form $b(D) = 1 + b_1 z^{-1}$, wherein b_1 is a noise prediction pole,

(10C) the spectral shaping filtering function is a selected shaping response and the noise prediction filtering function is a second order function, substantially a transfer function of a form $b(D) = 1 + b_1 z^{-1} + b_2 z^{-2}$ wherein b_1 and b_2 are selected coefficients,

30

41

(10D) the spectral shaping filtering function is a selected shaping response and the noise prediction filtering function is a second order function, substantially of a form $b(D) = 1 + b_1z^{-1} + b_2z^{-2}$,

5 (10E) the predetermined equivalent channel response is substantially one, and the spectral shaping filtering function is substantially an inverse of the noise prediction filtering function, and

(10F) the predetermined equivalent channel
10 response is substantially equivalent to the noise prediction filtering function, and the spectral shaping filtering function is substantially one.

AMENDED CLAIMS

[received by the International Bureau on 13 November 1992 (13.11.92);
original claims 1-10 replaced by
amended claims 1-10 (11 pages)]

1. (Amended) A device for providing symbol-rate transmit spectral shaping of a digital information sequence in a digital transmission system, comprising at least one of:
- modulation means for at least modulating the digital information sequence; and
- demodulation means for at least demodulating the modulated digital information sequence to provide an estimate of the digital information sequence;
- wherein:
- the modulation means comprises at least:
- a precoding means operably coupled to receive the digital information sequence, for precoding said sequence utilizing a predetermined monic equivalent channel response $h(D)$ to generate a precoded sequence;
- a symbol-rate spectral shaping means with a monic filter response $a(D) \neq 1$, operably coupled to the precoding means, for utilizing a spectral shaping filtering function and a first scaling factor to provide a spectrally shaped sequence of precoded symbols; and
- a transmission preparation means operably coupled to the symbol-rate spectral shaping means, for generating a spectrally-shaped transmission sequence for transmission on a selected channel;
- and the demodulation means comprises at least:
- an equalizing means operably coupled to receive the spectrally-shaped transmission sequence, for providing an equalized spectrally-shaped sequence of precoded symbols; and
- a symbol-rate processing means, operably coupled to the equalizing means, comprising:
- noise prediction means, operably coupled to receive the equalized spectrally-shaped sequence of precoded symbols, for substantially utilizing a symbol-rate noise prediction filter with response $b(D) = h(D)/a(D)$ and at least a

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second scaling factor to provide a noise prediction filter output; and

decoding means, operably coupled to the symbol-rate noise prediction means, for providing an estimate
5 of the digital information sequence.

- 44

2. (Amended) The device of claim 1, wherein the predetermined equivalent channel response $h(D)$ is a product of the noise prediction filter with response $b(D)$ and the spectral shaping filter $a(D)$.

5

3. (Amended) The device of claim 2, wherein at least one of (3A)-(3C):

(3A) wherein the noise prediction filter with response $b(D)$ is a first order filter of a form $b(D) = 1 + b_1 z^{-1}$ having a noise prediction coefficient b_1 that is substantially equal to

10 $(\frac{1 - \sqrt{1 - r^2}}{r^2})g$, where g is a noise pole and r denotes a

magnitude of g ,

and

(3B) wherein the noise prediction filtering function is a
15 second order filter function of a form $b(D) = 1 + b_1 D + b_2 D^2$
wherein b_1 and b_2 are selected coefficients.

4. (Amended) The device of claim 1, wherein at least one of (4A)-(4D):

20 (4A) the predetermined equivalent channel response is substantially one, and the spectral shaping filtering function is substantially an inverse of the noise prediction filtering function,

(4B) the equalizing means comprises substantially a
25 linear equalizer, and

(4C) the first scaling factor is substantially equal to $\frac{1}{\sqrt{A}}$

wherein A is the sum of the squares of the coefficients of $a(D)$ and the second scaling factor is substantially equal to $A^{1/2}$.

- 45

5. (Amended) A device in a modem for providing symbol-rate transmit spectral shaping of a digital information sequence in a digital transmission system, comprising at least:

5 modulation means for at least modulating the digital information sequence; and

demodulation means for at least demodulating the modulated digital information sequence to provide an estimate of the digital information sequence;

10 wherein:

the modulation means comprises at least:

a precoding means operably coupled to receive the digital information sequence for precoding said sequence utilizing a predetermined monic equivalent channel response

15 $h(D)$ to generate a precoded sequence;

a symbol-rate spectral shaping means with a monic filter response $a(D) \neq 1$, operably coupled to the precoding means, for utilizing a spectral shaping filtering function and a first scaling factor to provide a spectrally shaped sequence of

20 precoded symbols; and

a transmission preparation means operably coupled to the symbol-rate spectral shaping means, for generating a spectrally-shaped transmission sequence for transmission on a selected channel;

25 and the demodulation means comprises at least:

an equalizing means operably coupled to receive the spectrally-shaped transmission sequence, for providing an equalized spectrally-shaped sequence of precoded symbols; and

a symbol-rate processing means, operably coupled

30 to the equalizing means, comprising:

noise prediction means, operably coupled to receive the equalized spectrally-shaped sequence of precoded symbols for substantially utilizing a symbol-rate noise prediction filter with response $b(D) = h(D)/a(D)$ and at least a

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second scaling factor to provide a noise prediction filter output; and

5 decoding means, operably coupled to the
symbol-rate noise prediction means, for providing an estimate
of the digital information sequence.

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6. (Amended) The device of claim 5, wherein the predetermined equivalent channel response is substantially a product of the noise prediction filtering function and the spectral shaping filtering function wherein, where selected, at least one of (6A)-(6D):

(6A) wherein the noise prediction filter with response $b(D)$ is a first order filter of a form $b(D) = 1 + b_1 z^{-1}$ having a noise prediction coefficient b_1 that is substantially equal to $(\frac{1-\sqrt{1-r^2}}{r^2})g$, where g is a noise pole and r denotes a magnitude of g ,

and

(6B) wherein the noise prediction filtering function is a second order filter function of a form $b(D) = 1 + b_1 D + b_2 D^2$ wherein b_1 and b_2 are selected coefficients and

(6C) the first scaling factor is substantially equal to $\frac{1}{\sqrt{A}}$ wherein A is the sum of the squares of the coefficients of $a(D)$ and the second scaling factor is substantially equal to $A^{1/2}$.

20

7. (Amended) The device of claim 5, wherein at least one of (7A)-(7I):

(7A) the predetermined equivalent channel response is substantially one, and the spectral shaping filtering function is substantially an inverse of the noise prediction filtering function,

(7B) the equalizing means comprises substantially a linear equalizer,

(7C) the first scaling factor is substantially equal to $\frac{1}{\sqrt{A}}$ wherein A is the sum of the squares of the coefficients of $a(D)$ and the second scaling factor is substantially equal to $A^{1/2}$,

30

(7D) wherein the noise prediction filter with response $b(D)$ is a first order filter of a form $b(D) = 1 + b_1 z^{-1}$ having a noise prediction coefficient b_1 that is substantially equal to $(\frac{1 - \sqrt{1 - r^2}}{r^2})g$, where g is a noise pole and r denotes a

5 magnitude of g ,

(7E) the predetermined equivalent channel response $h(D)$ is substantially one, and the spectral shaping filter with response $a(D)$ is substantially an inverse of the noise prediction filter with response $b(D)$,

10 (7F) wherein at least part of one of:

- the precoding means;
- the spectral shaping means;
- the transmission preparation means;
- the equalizing means; and
- 15 the symbol-rate processing means,

is implemented utilizing a computer program storage medium having a computer program to be executed by a digital computer stored thereon, the computer program comprising at least one of:

- 20 first unit for converting information into a selected number of bits to provide coded symbols and the information shaping bit inserting unit at least provides modified, where desired, information shaping bit(s);
- second unit for utilizing the modified, encoded
- 25 symbols to generate precoded, modified, encoded symbols, termed a first symbol;
- third unit for substantially spectrally shaping the first symbol to obtain substantially a shaped symbol and for transmitting the shaped symbol, where desired;
- 30 fourth unit for receiving information symbols, for at least utilizing an equalizing unit to generate equalized filtered, received information symbols;

fifth unit for utilizing a symbol-rate processing unit to obtain selectably filtered, received noise predicted information symbols;

5 sixth unit for determining substantially the estimated information data input symbol sequence for the received information symbols; and a

seventh unit for at least one of:

obtaining information shaping bits of the information input sequence; and

10 substantially obtaining estimated information shaping bits of information input, and

(7G) wherein at least part of one of:

the precoding means;

the spectral shaping means;

15 the transmission preparation means;

the equalizing means; and

the symbol-rate processing means,

is implemented utilizing at least a first digital signal processor configured to provide at least one of:

20 first unit for converting information into a selected number of bits to provide coded symbols and the information shaping bit inserting unit at least provides modified, where desired, information shaping bit(s);

25 second unit for utilizing the modified, encoded symbols to generate precoded, modified, encoded symbols, termed a first symbol;

third unit for substantially spectrally shaping the first symbol to obtain substantially a shaped symbol and for transmitting the shaped symbol, where desired;

30 fourth unit for receiving information symbols, for at least utilizing an equalizing unit to generate equalized filtered, received information symbols;

fifth unit for utilizing a symbol-rate processing unit to obtain selectably filtered, received noise predicted information symbols;

5 sixth unit for determining substantially the estimated information data input symbol sequence for the received information symbols; and a

seventh unit for at least one of:

obtaining information shaping bits of the information input sequence; and

10 substantially obtaining estimated information shaping bits of information input.

8. (Amended) A method for providing symbol-rate transmit spectral shaping of a digital information sequence in a digital transmission system, comprising at least one of the sets of steps:

- 5 (A) precoding the digital information sequence
utilizing a predetermined monic equivalent channel response $h(D)$ to generate a precoded sequence;
 utilizing a symbol-rate spectral shaping filter
with a monic filter response $a(D) \neq 1$, and a first scaling factor
10 to provide a spectrally shaped sequence of precoded symbols;
 generating a spectrally-shaped sequence for
transmission on a selected channel; and
 (B) utilizing an equalization unit to provide an
equalized spectrally-shaped sequence of precoded symbols; and
15 utilizing a symbol-rate noise prediction filter
with response $b(D) = h(D)/a(D)$ and at least a second scaling
factor to provide a noise prediction filter output, and providing
an estimate of the digital information sequence.

9. (Amended) The method of claim 8, wherein, in the step of precoding, the predetermined equivalent channel response $h(D)$ is a product of the noise prediction filter with response $b(D)$ and the spectral shaping filter with response $a(D)$.

5

10. (Amended) The method of claim 9 wherein at least one of (10A)-(10F):

(10A) wherein the noise prediction filter with response $b(D)$ is a first order filter of a form $b(D) = 1 + b_1 z^{-1}$ having a
 10 noise prediction coefficient b_1 that is substantially equal to $(\frac{1-\sqrt{1-r^2}}{r^2})g$, where g is a noise pole and r denotes a magnitude of g ,

and

15

(10B) wherein the noise prediction filtering function is a second order filter function of a form $b(D) = 1 + b_1 D + b_2 D^2$ wherein b_1 and b_2 are selected coefficients.

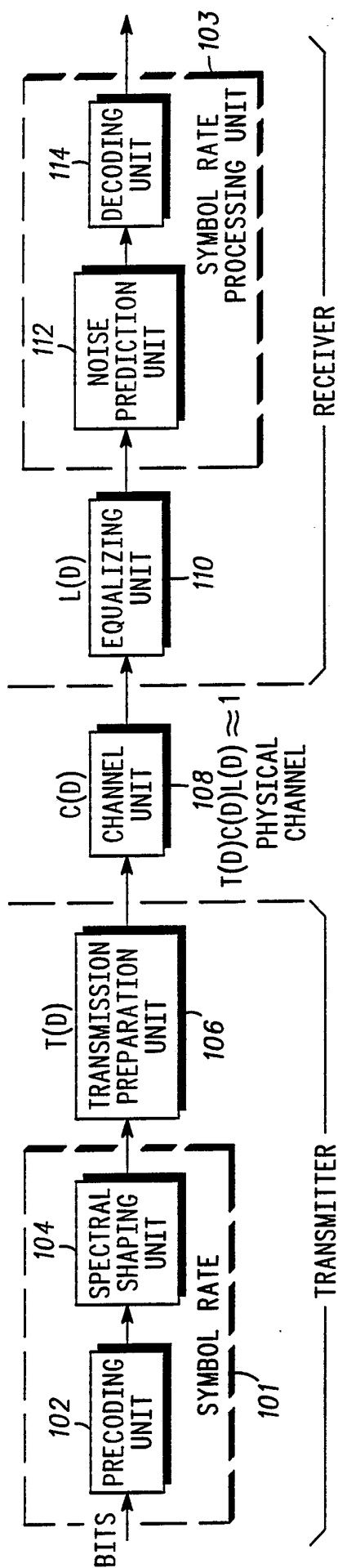


FIG. 2A

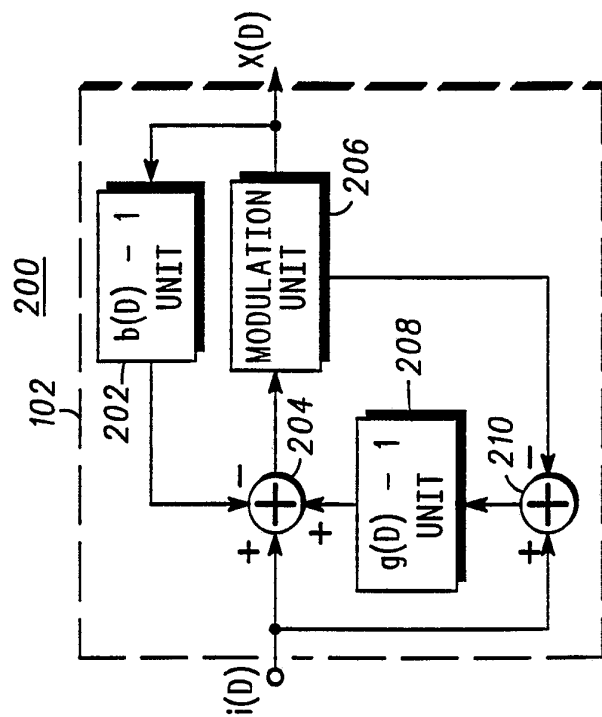
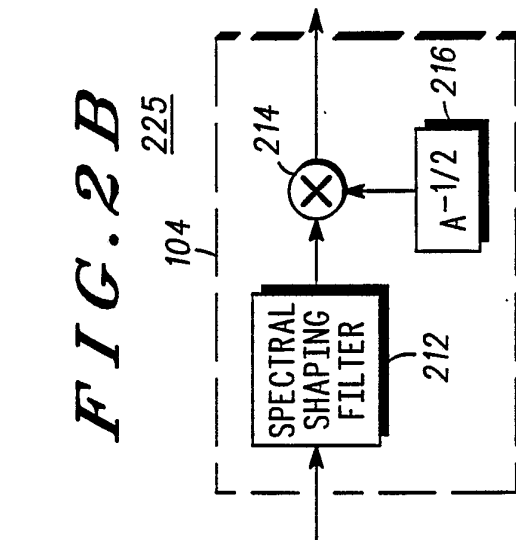
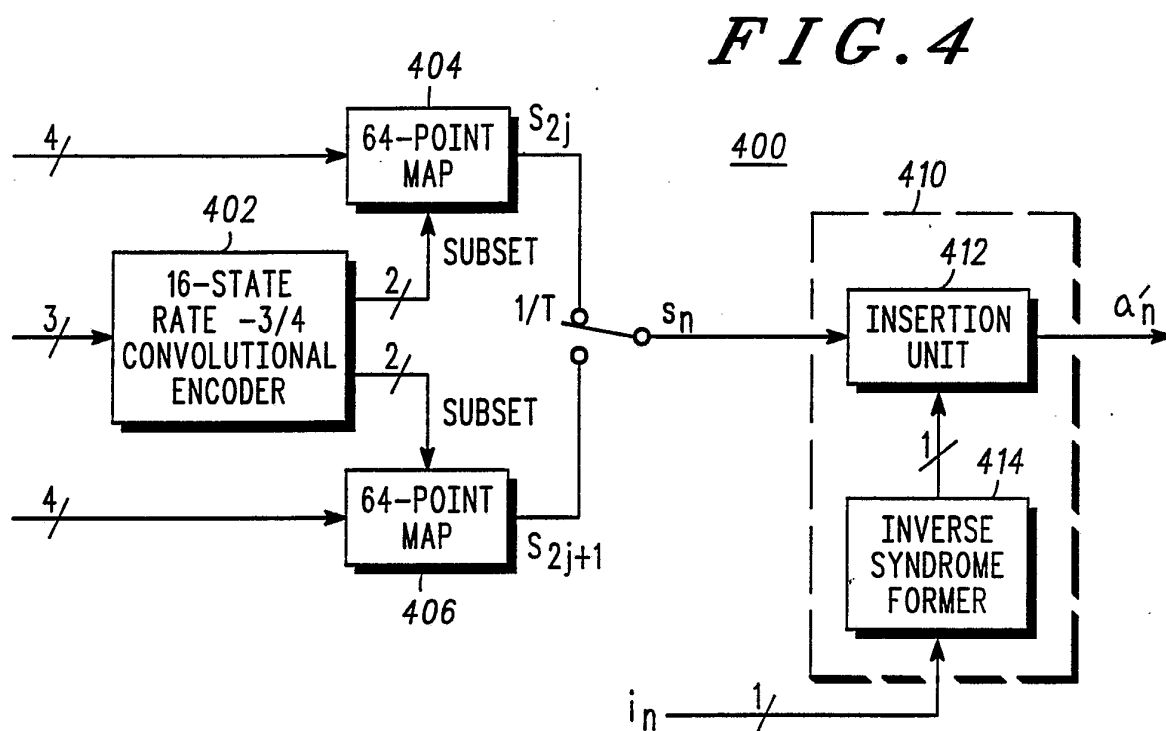
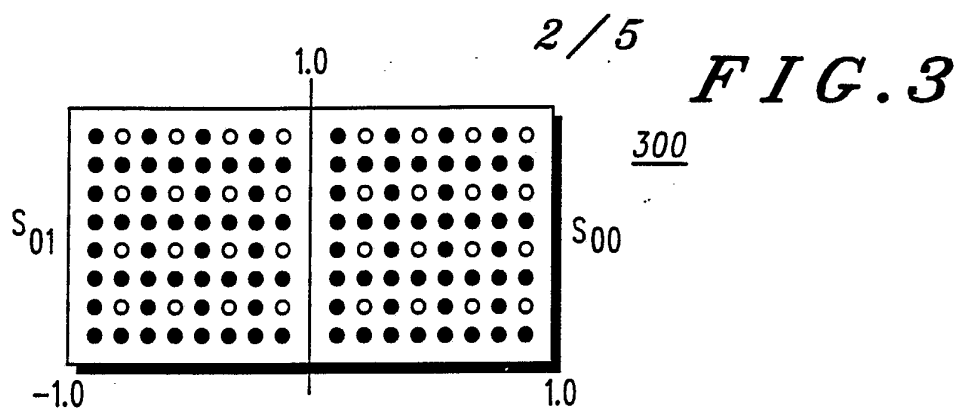
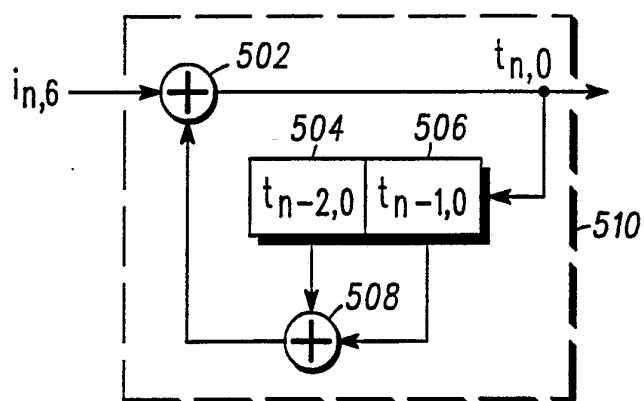
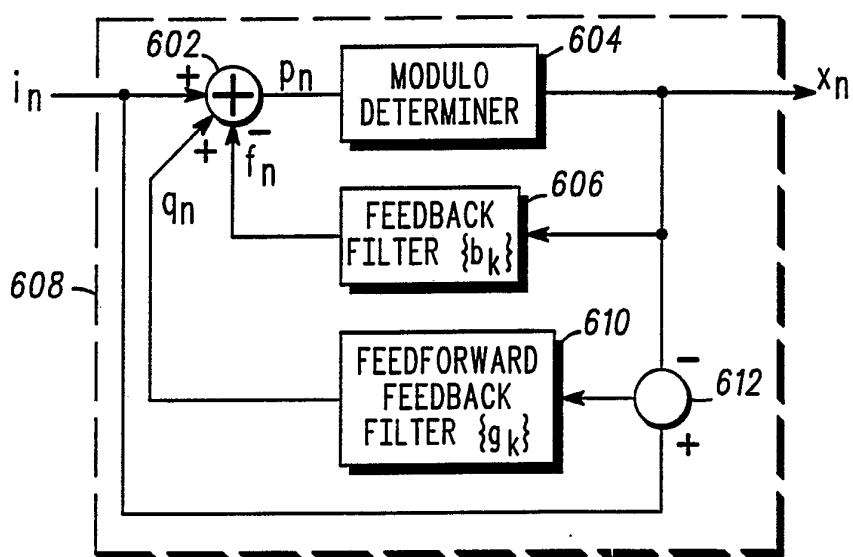
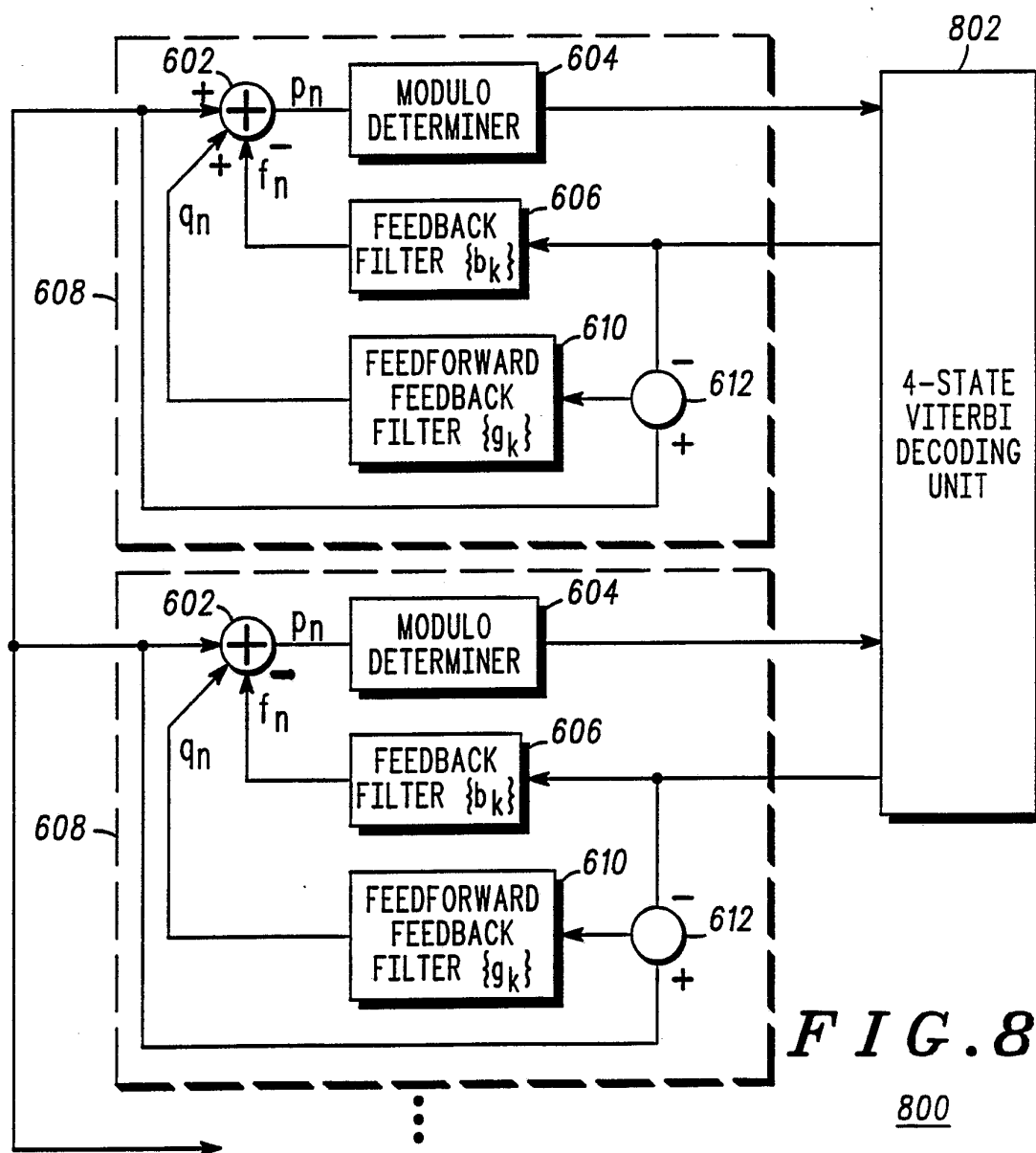


FIG. 2B

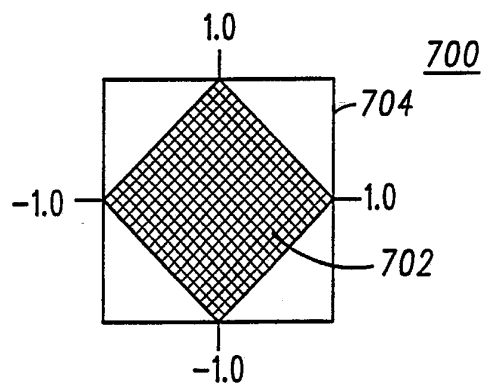
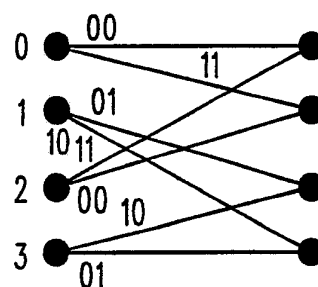
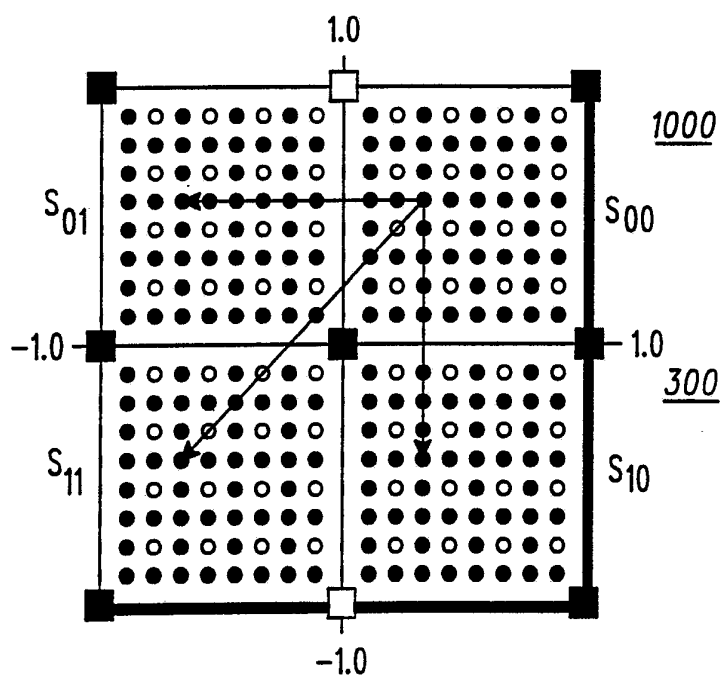
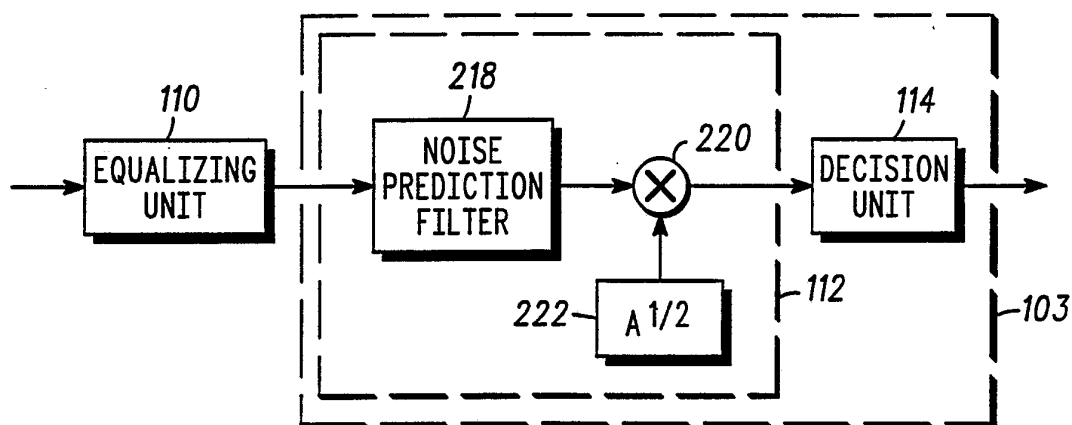


*FIG. 5*500

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**FIG. 6**600**FIG. 8A**800

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FIG. 7*FIG. 8B*850*FIG. 9*900*FIG. 10*

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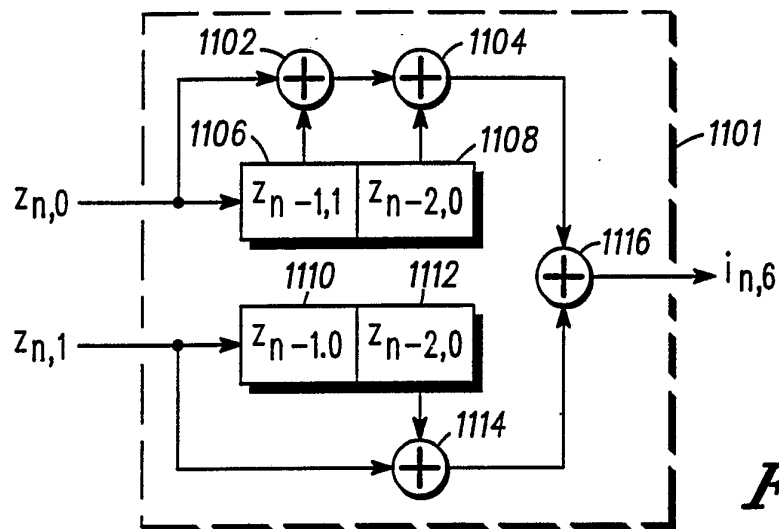


FIG. 12

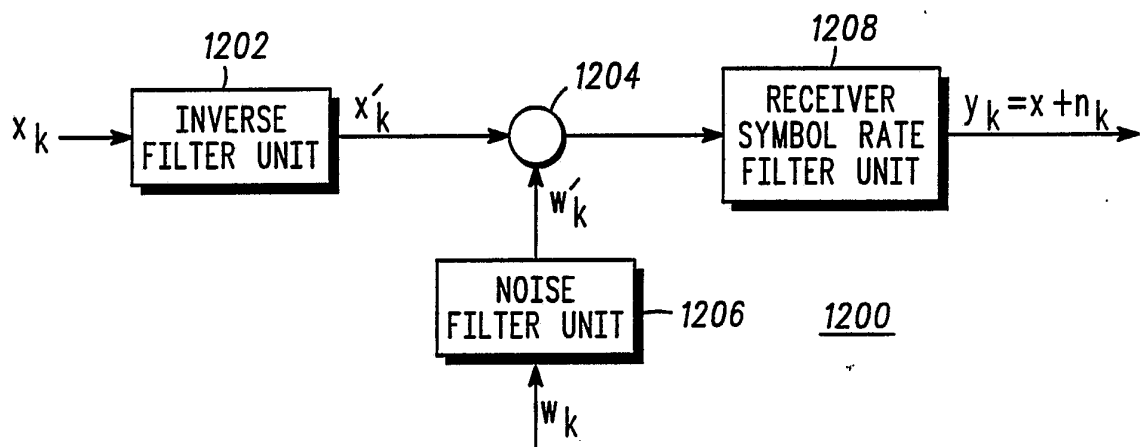
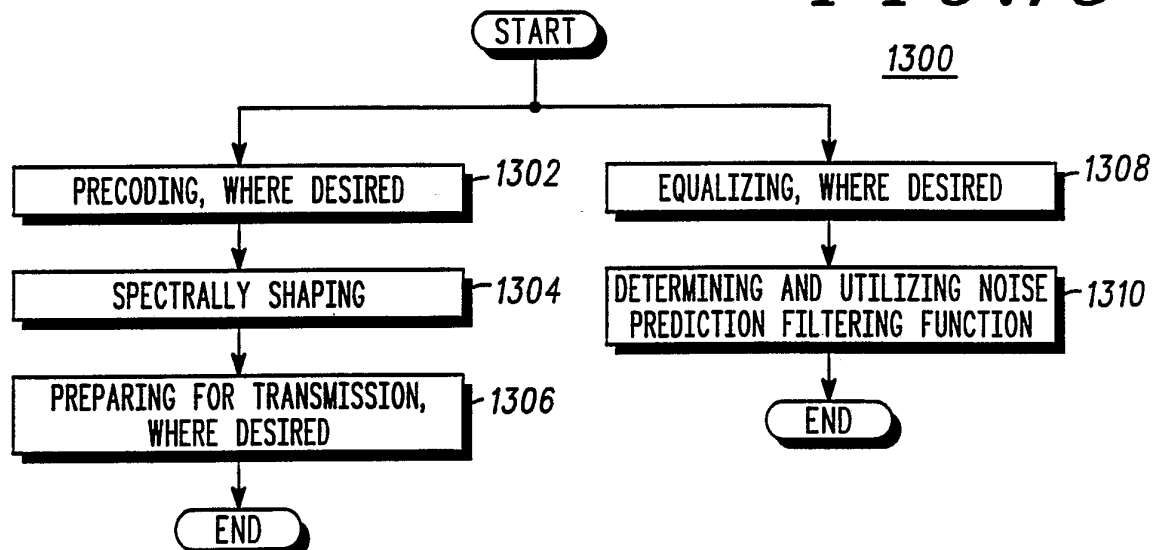


FIG. 13



INTERNATIONAL SEARCH REPORT

International application No.

PCT/US92/05270

A. CLASSIFICATION OF SUBJECT MATTER

IPC(5) :H04B 15/00

US CL :375/58

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 375/18,37,39,57; 371/43,45; 332/159,107; 329/349; 455/50,375/58

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

USPTO APS (MODULATE, PRECODE, SPECTRAL SHAPING FILTER, DEMODULATE, EQUALIZE, NOISE PREDICT)

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
<u>X</u> Y	US, A, 4,631,735 (QURESHI) 23 December 1986, Figs. 1 and 7.	1,2,4,5, <u>8,9</u> 7
A	US, A, 4,713,829 (EYUBOGLU) 15 December 1987, See Figs. 2-5.	1-10
A,P	US, A, 5,093,843 (HIROSAKI ET AL.) 03 March 1992, See Fig. 3.	1-10
A	Peter Galko et al. "Linear Receivers for Correlatively Coded MSK, IEEE Transactions On Communications, Vol. Com-33 No. 4 April 1985, pp. 338-347.	1-10

☐ Further documents are listed in the continuation of Box C.
 ☐ See patent family annex.

* Special categories of cited documents:	"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
"A" document defining the general state of the art which is not considered to be part of particular relevance	"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
"E" earlier document published on or after the international filing date	"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	"&" document member of the same patent family
"O" document referring to an oral disclosure, use, exhibition or other means	
"P" document published prior to the international filing date but later than the priority date claimed	

Date of the actual completion of the international search

02 AUGUST 1992

Date of mailing of the international search report

15 SEP 1992

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